



## IAPD Report

# GABRIEL PLAUT

CRD# 874173

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### GABRIEL PLAUT (CRD# 874173)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/29/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/15/2012
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/16/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, INC.	6363	MINNEAPOLIS, MN	04/17/2013 - 12/31/2015
<b>B</b>	GILFORD SECURITIES INCORPORATED	8076	MELVILLE, NY	03/28/2003 - 12/04/2012
<b>B</b>	KSH INVESTMENT GROUP, INC.	41817	GREAT NECK, NY	11/12/1998 - 03/20/2003

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	2



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**  
Main Address: 901 3RD AVENUE SOUTH  
MINNEAPOLIS, MN 55402  
Firm ID#: 6363

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	11/15/2012
<b>B</b>	California	Agent	Approved	11/15/2012
<b>B</b>	Florida	Agent	Approved	09/27/2016
<b>B</b>	Illinois	Agent	Approved	02/03/2015
<b>B</b>	Maryland	Agent	Approved	11/15/2012
<b>B</b>	Missouri	Agent	Approved	10/10/2018
<b>B</b>	New Jersey	Agent	Approved	11/15/2012
<b>B</b>	New York	Agent	Approved	11/15/2012
<b>IA</b>	New York	Investment Adviser Representative	Approved	04/16/2021
<b>B</b>	North Carolina	Agent	Approved	11/15/2012
<b>B</b>	Pennsylvania	Agent	Approved	08/24/2020
<b>B</b>	Texas	Agent	Approved	06/17/2021
<b>IA</b>	Texas	Investment Adviser Representative	Restricted Approval	06/17/2021



## Qualifications

### Branch Office Locations

**AMERIPRISE FINANCIAL SERVICES, LLC**  
1001 Franklin Ave Ste 302  
Garden City, NY 11530

**AMERIPRISE FINANCIAL SERVICES, LLC**  
Fresh Meadows, NY



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams


Exam	Category	Date
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No information reported.

#### General Industry/Product Exams


Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	11/19/1979
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#### State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	01/22/1988
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### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



### Registration & Employment History

#### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	04/17/2013 - 12/31/2015	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MINNEAPOLIS, MN
B	03/28/2003 - 12/04/2012	GILFORD SECURITIES INCORPORATED	CRD# 8076	MELVILLE, NY
B	11/12/1998 - 03/20/2003	KSH INVESTMENT GROUP, INC.	CRD# 41817	GREAT NECK, NY
B	07/24/1998 - 10/15/1998	NATIONAL SECURITIES CORPORATION	CRD# 7569	BOCA RATON, FL
B	10/24/1997 - 07/24/1998	THE BOSTON GROUP	CRD# 37652	LOS ANGELES, CA
B	07/11/1994 - 02/20/1997	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	09/18/1989 - 07/14/1994	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	01/14/1988 - 09/18/1989	THOMSON MCKINNON SECURITIES INC.	CRD# 829	NEW YORK, NY
B	08/08/1989 - 08/19/1989	GRUNTAL & CO. INCORPORATED	CRD# 372	NEW YORK, NY
B	01/12/1987 - 04/14/1987	INVESTORS CENTER INCORPORATED	CRD# 14670	
B	04/01/1981 - 02/26/1985	GRUNTAL & CO. INCORPORATED	CRD# 372	
B	11/23/1979 - 04/21/1981	LEUMI SECURITIES CORPORATION	CRD# 2556	

#### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Garden City, NY, United States
11/2012 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Mitchel Field, NY, United States



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

Other Business Activities; Mishkan Hatorah; forward mail, paperwork to home office and checks are brought to the bank checks to the bank; 73-44 172nd, , Flushing, NY, 11366; Not Investment-Related; 12/01/2017; 1 to 9 hours per month; 0 during trading hours.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	2

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NYSE DIVISION OF ENFORCEMENT.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 05/30/1997

**Docket/Case Number:** HPD# 97-48

**Employing firm when activity occurred which led to the regulatory action:** PRUDENTIAL SECURITIES INCORPORATED

**Product Type:**

**Other Product Type(s):**

**Allegations:** Not Provided

**Current Status:** Final

**Resolution:** Decision

**Resolution Date:** 05/30/1997

**Sanctions Ordered:** Bar  
Censure

**Other Sanctions Ordered:**

**Sanction Details:** \*\*5/1/97\*\* DECISION 97-48 ISSUED BY NYSE HEARING PANEL. PLAUT EFFECTED UNSUITABLE AND EXCESSIVE TRANSACTIONS IN



A CUSTOMER'S ACCOUNT -- CONSENT TO CENSURE AND THREE MONTH BAR.

**Regulator Statement**

THE DECISION IS NOW FINAL AND EFFECTIVE MAY 30, 1997. CONTACT: PEGGY L. GERMINO AT (212) 656-88450

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**Reporting Source:** Firm  
**Regulatory Action Initiated By:** NEW YORK STOCK EXCHANGE  
**Sanction(s) Sought:**  
**Other Sanction(s) Sought:**  
**Date Initiated:** 05/30/1997  
**Docket/Case Number:** HPD# 97-48  
**Employing firm when activity occurred which led to the regulatory action:** PRUDENTIAL SECURITIES INCORPORATED  
**Product Type:**  
**Other Product Type(s):**  
**Allegations:** INVESTIGATION RELATING TO MR PLAUT'S EMPLOYMENT AT PRUDENTIAL SECURITIES. NATURE OF INVESTIGATION IS UNKNOWN.  
**Current Status:** Final  
**Resolution:** Decision  
**Resolution Date:** 05/30/1997  
**Sanctions Ordered:** Bar  
Censure  
**Other Sanctions Ordered:**  
**Sanction Details:** PENDING  
**Firm Statement** Not Provided

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**Reporting Source:** Individual  
**Regulatory Action Initiated By:** NYSE DIVISION OF ENFORCEMENT  
**Sanction(s) Sought:** Other  
**Other Sanction(s) Sought:**  
**Date Initiated:** 05/30/1997  
**Docket/Case Number:** HPD# 97-48  
**Employing firm when activity occurred which led to the regulatory action:** PRUDENTIAL SECURITIES INCORPORATED  
**Product Type:** Other



**Other Product Type(s):**

**Allegations:** NYSE IS INVESTIGATING CUSTOMER COMPLAINTS RELATING TO MR. PLAUT'S FORMER EMPLOYMENT AT PRUDENTIAL SECURITIES. NEITHER THE IDENTITIES OF THE CUSTOMERS NOR THE NATURE OF THE ALLEGATIONS HAVE BEEN SPECIFIED.

**Current Status:** Final

**Resolution:** Decision

**Resolution Date:** 05/30/1997

**Sanctions Ordered:** Bar  
Censure

**Other Sanctions Ordered:**

**Sanction Details:** DECISION 97-48 ISSUED BY THE NYSE HEARING PANEL. PLAUT EFFECTED UNSUITABLE AND EXCESSIVE TRANSACTIONS IN A CUSTOMER'S ACCOUNT-- CONSENT TO CENSURE AND THREE MONTH (90 DAY) BAR.

**Broker Statement** THE DECISION IS NOW FINAL AND EFFECTIVE, MAY 30, 1997. CONTACT PEGGY L. GERMINO AT 212-656-8845.



### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL

**Allegations:** CUSTOMERS ALLEGED THEIR FA ASSURED THEY WOULD BE RETURNED AT LEAST \$10 PER SHARE AT THE END OF THE HYPERION 1997 TERM TRUST. DAMAGES WERE ALLEGED TO BE \$30,000.00.

**Product Type:**

**Alleged Damages:** \$30,000.00

#### Customer Complaint Information

**Date Complaint Received:** 03/31/1997

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/12/1997

**Settlement Amount:** \$15,000.00

**Individual Contribution Amount:**

**Firm Statement** SETTLED FOR \$15,000.00 FOR BUSINESS REASONS. THE FA DID NOT PARTICIPATE IN THE DECISION TO SETTLE.  
Not Provided

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL

**Allegations:** CLIENT CLAIMS THAT IN REGARDS TO THEIR INVESTMENT IN THE HYPERION 1997 TERM TRUS, THAT I GUARANTEED A RETURN OF \$10.- A SHARE AT THE FUNDS FINAL MATURITY (APPROX NOV. OF 1997) ALLEGES CURRENT LOSSES OF APPROX. \$30,000.- THIS PURCHASE WAS DONE AT PRUDENTIAL I THINK IN OCT OF 1992.

**Product Type:** Other

**Alleged Damages:** \$30,000.00

#### Customer Complaint Information

**Date Complaint Received:** 03/31/1997

**Complaint Pending?** No



**Status:** Settled

**Status Date:** 08/12/1997

**Settlement Amount:** \$15,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** PRUDENTIAL FOUND THAT THE CLIENT HAD NO BASIS FOR A CLAIM YET FOR BUSINESS REASONS THEY OFFERED THE SCHWARTS \$15,000. THE SCHWARTZ'S TURNED THEM DOWN, AND PRUDENTIAL CLOSED THIS CASE. THE CLIENT PURCHASED THE HYPERION 1997 TERM TRUST FROM ME AT PRUDENTIAL IN 1996 OF ABOUT \$10.- A SHARE. THE FUND WILL TERMINATE IN OR ABOUT NOV. OF 1997, THEY CLAIM THAT I GUARANTEED A FINAL MATURITY OF \$10.- A SHARE. I TOLD THEM THAT THE INTENT OF THE FUND WAS TO RETURN APROX \$10.- A SHARE AT ITS TERMINATION. IF THE FUND CAN OR CANNOT RETURN \$10.- A SHARE IS CERTAINLY NOT SOMETHING I KNOW ONE WAY OR THE OTHER.

**Disclosure 2 of 2**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL

**Allegations:** UNAUTHORIZED & EXCESSIVE TRADING, FORGERY AND DAMAGES OF \$105,000.

**Product Type:**

**Alleged Damages:** \$105,000.00

**Customer Complaint Information**

**Date Complaint Received:** 07/08/1994

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/26/1994

**Settlement Amount:** \$100,000.00

**Individual Contribution Amount:**

**Firm Statement** CASE SETTLED FOR \$100,000  
Not Provided

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL

**Allegations:** CUSTOMERS ALLEGED THAT SIGNATURES ON MARGIN AGREEMENT ARE FORGERIES. UNAUTHORIZED AND EXCESSIVE TRADING.

**Product Type:** Other



**Alleged Damages:** \$105,000.00

**Customer Complaint Information**

**Date Complaint Received:** 07/08/1994

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/26/1994

**Settlement Amount:** \$100,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement**

SETTLED FOR \$100,000  
I DO NOT BELIEVE THE MARGIN AGREEMENT WAS EVER BROUGHT TO MY PERSONAL ATTENTION AND BELIEVE THIS WAS HANDLED BY THE BACK OFFICE. I HAVE NO WAY OF KNOWING IF THE SIGNATURES ON THE AGREEMENT ARE THE [CUSTOMER] OR NOT. ONE THING I AM CERTAIN OF IS THAT I DID NOT SIGN THE MARGIN AGREEMENT WITH THE [CUSTOMER]'S NAME NOR DID I HAVE ANYONE ELSE DO IT. SINCE I HAVE NOW LEFT PRUDENTIAL I DO NOT HAVE ALL THE DOCUMENTATION INVOLVING THE ACCOUNT WHICH WAS LEFT WITH PRUDENTIAL WHEN I TRANSFERRED TO MY CURRENT PLACE OF EMPLOYMENT AT DEAN WITTER.



## End of Report

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