



## IAPD Report

# JEFFREY ALAN SCHILLER

CRD# 1017892

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

### JEFFREY ALAN SCHILLER (CRD# 1017892)

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 **12/19/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	06/19/2012
<b>IA</b>	BFC PLANNING, INC.	CRD# 119682	06/25/2012

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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>	MILKIE/FERGUSON INVESTMENTS, INC.	17606	PLANO, TX	01/03/2008 - 06/26/2012
<b>B</b>	MILKIE/FERGUSON INVESTMENTS, INC.	17606	PLANO, TX	01/23/1998 - 06/26/2012
<b>B</b>	SOLOMON & ASSOC., INC.	26610	DALLAS, TX	05/01/1995 - 01/14/1998

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
Customer Dispute	5



## 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 2 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.**  
Main Address: 4201 42ND STREET NE  
SUITE 100  
CEDAR RAPIDS, IA 52402  
Firm ID#: 13609

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	06/19/2012
<b>B</b> Florida	Agent	Approved	02/14/2025
<b>B</b> Texas	Agent	Approved	06/25/2012

#### Branch Office Locations

**BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.**  
PLANO, TX

#### Employment 2 of 2

Firm Name: **BFC PLANNING, INC.**  
Main Address: 4201 42ND STREET NE  
SUITE 100  
CEDAR RAPIDS, IA 52402  
Firm ID#: 119682

Regulator	Registration	Status	Date
<b>IA</b> Texas	Investment Adviser Representative	Approved	06/25/2012

#### Branch Office Locations

**BFC PLANNING, INC.**  
PLANO, TX



## 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 2 state securities law exams.**

#### 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	10/17/1981
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	10/31/2006
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Uniform Securities Agent State Law Examination (S63)	Series 63	11/13/1981
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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	01/03/2008 - 06/26/2012	MILKIE/FERGUSON INVESTMENTS, INC.	CRD# 17606	PLANO, TX
B	01/23/1998 - 06/26/2012	MILKIE/FERGUSON INVESTMENTS, INC.	CRD# 17606	PLANO, TX
B	05/01/1995 - 01/14/1998	SOLOMON & ASSOC., INC.	CRD# 26610	DALLAS, TX
B	04/01/1992 - 07/14/1993	RAUSCHER PIERCE REFSNES, INC.	CRD# 6663	DALLAS, TX
B	09/09/1983 - 04/01/1992	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	11/17/1981 - 09/09/1983	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	

#### 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
06/2012 - Present	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	PLANO, TX, United States
06/2012 - Present	BFC PLANNING, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	PLANO, TX, United States

#### 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.

- 1. CONGREGATION TIFERET ISRAEL-N-PLANO, TX-SYNAGOGUE-FINANCIAL VP-7/2014-15-2-PREPARE BUDGET AND PROVIDE FINANCIAL ADVICE;
- 2. SCHILLER WEALTH ASSET GROUP-Y-PLANO, TX-INVESTMENTS-PRESIDENT-07/2012-160-160-SOLE PROP;



## 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
Customer Dispute	5

### 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 5

**Reporting Source:** Firm

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

**Allegations:** CLAIMANTS ALLEGED COMPENSATORY DAMAGES OF \$245,000, "CONSEQUENTIAL" DAMAGES OF \$136,661 AND TREBLE PUNITIVE DAMAGES FOR ALLEGED UNSUITABLE SALES, WITH MISREPRESENTATION OF LIMITED PARTNERSHIPS.

**Product Type:**

**Alleged Damages:** \$245,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** American Arbitration Association



**Date Notice/Process Served:** 01/25/1993  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 03/24/1994  
**Monetary Compensation Amount:** \$155,000.00  
**Individual Contribution Amount:** \$0.00  
**Firm Statement** PAYMENT OF \$155,000 BY PRUDENTIAL WITH NO CONTRIBUTION BY FORMER FINANCIAL ADVISOR AT THIS TIME.  
 Not Provided

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL  
**Allegations:** MISREPRESENTATIONS OF LTD PARTNERSHIPS  
**Product Type:**  
**Alleged Damages:** \$245,000.00

**Customer Complaint Information**

**Date Complaint Received:**  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:**  
**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** American Arbitration Association  
**Date Notice/Process Served:** 01/25/1993  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 03/24/1994  
**Monetary Compensation Amount:** \$155,000.00  
**Individual Contribution Amount:** \$0.00  
**Broker Statement** PAYMENT OF 155,000 WITHOUT CONTRIBUTION OR CHARGE TO F.A. PRUDENTIAL SPONSORED LIMITED PARTNERSHIPS SOLD PER SALES MATERIAL.



**Disclosure 2 of 5**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES, INC.

**Allegations:** CLAIMANTS ALLEGE MISREPRESENTATION AND FRAUD IN CONNECTION WITH THE PURCHASE OF THE PB ENERGY GROWTH 3. THEY SEEK TO RECOVER \$66,000 IN ALLEGED DAMAGES.

**Product Type:**

**Alleged Damages:** \$66,000.00

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Association of Securities Dealers, Inc.; 93-03602

**Date Notice/Process Served:** 09/13/1993

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/10/1994

**Monetary Compensation Amount:** \$24,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** MATTER SETTLED FOR \$24,000. PSI DENIES ALL LIABILITY. THE F.A. HAS NOT BEEN ASKED TO CONTRIBUTE TO THE SETTLEMENT AS OF YET. PSI DENIES ALL LIABILITY. THE F.A. HAS NOT AS OF YET BEEN ASKED TO CONTRIBUTE TO THE SETTLEMENT.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES, INC.

**Allegations:** MISREPRESENTATION OF LIMITED PARTNERSHIPS

**Product Type:****Alleged Damages:** \$66,000.00**Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:****Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** National Association of Securities Dealers, Inc.; 93-03602**Date Notice/Process Served:** 09/13/1993**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 04/10/1994**Monetary Compensation Amount:** \$24,000.00**Individual Contribution Amount:** \$0.00**Broker Statement** 24,000 WITHOUT CONTRIBUTION FROM A.E. NO DISCIPLINE TO A.E. SOLD PARTNERSHIPS PER SALES MATERIAL PROVIDED BY PRUDENTIAL.**Disclosure 3 of 5****Reporting Source:** Firm**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES INCORPORATED**Allegations:** CLAIMANTS ALLEGED UNSUITABILITY AND MISREPRESENTATION IN CONNECTION WITH THE 1988 THROUGH 1989 PURCHASE OF VARIOUS LIMITED PARTNERSHIPS. THEY ALSO ALLEGED CHURNING AND UNAUTHORIZED TRADING. ALLEGED DAMAGES CLAIMED ARE IN EXCESS OF \$200,000.00**Product Type:****Alleged Damages:****Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No



**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** New York Stock Exchange; 1993-003098

**Date Notice/Process Served:** 06/10/1993

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/01/1994

**Monetary Compensation Amount:** \$55,500.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** PRUDENTIAL SECURITIES PAID THE CLAIMANTS \$55,500.00 PRUDENTIAL SECURITIES DENIED ANY AND ALL LIABILITY.  
Not Provided

**Reporting Source:** Individual

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

**Allegations:** UNSUITABLE AND MISREPRESENTATIVE OF LTD PARTNERSHIPS. ALSO CHURNING AND UNAUTHORIZED TRADES.

**Product Type:**

**Alleged Damages:**

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** New York Stock Exchange; 1993-003098

**Date Notice/Process Served:** 06/10/1993



<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	08/01/1994
<b>Monetary Compensation Amount:</b>	\$55,500.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	55,000 PRUDENTIAL DENIES ALL LIABILITY. F.A. NOT ASKED TO CONTRIBUTE. DENIES ALL CHARGES. I HAD NO DIRECT INVOLVEMENT IN THE PRECEEDINGS ALL PARTNERSHIPS WERE SOLD PER SALES INFO PROVIDED BY PRUDENTIAL
<b>Disclosure 4 of 5</b>	
<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	
<b>Allegations:</b>	CUSTOMERS ALLEGED MISREPRESENTATION OF LIMITED PARTNERSHIPS AND BLOCKBUSTER VIDEO STOCK SHORT SALES WITH ALLEGED DAMAGES OF \$289,500.00.
<b>Product Type:</b>	
<b>Alleged Damages:</b>	\$289,500.00
<b>Customer Complaint Information</b>	
<b>Date Complaint Received:</b>	
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation Litigation
<b>Status Date:</b>	
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Arbitration Information</b>	
<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	American Arbitration Association; 71-1360026191
<b>Date Notice/Process Served:</b>	07/06/1991
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	10/09/1992
<b>Monetary Compensation Amount:</b>	\$450,000.00
<b>Individual Contribution Amount:</b>	\$0.00



### Civil Litigation Information

**Court Details:** CIVIL DISTRICT; DALLAS COUNTY, TX; 91-03642-F  
**Date Notice/Process Served:** 04/01/1991  
**Litigation Pending?** No  
**Disposition:** Judgment (other than monetary)  
**Disposition Date:**  
**Firm Statement** CASE WAS SETTLED FOR \$450,000.00.  
Not Provided

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:**  
**Allegations:** CUSTOMERS ALLEGED MISREPRESENTATION OF LIMITED PARTNERSHIPS AND BLOCKBUSTER VIDEO STOCK SHORT SALES WITH ALLEGED DAMAGES OF \$289,500.  
**Product Type:**  
**Alleged Damages:** \$289,500.00

### Customer Complaint Information

**Date Complaint Received:**  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
Litigation  
**Status Date:**  
**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** American Arbitration Association; 71-1360026191  
**Date Notice/Process Served:** 07/06/1991  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 10/09/1992  
**Monetary Compensation Amount:** \$450,000.00  
**Individual Contribution Amount:** \$0.00

### Civil Litigation Information

**Court Details:** CIVIL DISTRICT; DALLAS COUNTY, TX; 91-03642-F



**Date Notice/Process Served:** 04/01/1991

**Litigation Pending?** No

**Disposition:** Judgment (other than monetary)

**Disposition Date:**

**Broker Statement** CASE WAS SETTLED FOR \$450,000  
THE INVESTIGATION OF ALL RELEVANT FACTS,  
INCLUDING A POLYGRAPH, HAS LED THE STATE OF TEXAS TO CONCLUDE  
THAT THE ALLEGATIONS ARE GROUNDLESS AND THE STATE HAS ADVISED  
THE COURTS THE CASE WILL BE DISMISSED.

#### Disclosure 5 of 5

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES, INC.

**Allegations:** CLAIMANT ALLEGED MISREPRESENTATIONS WERE MADE  
IN CONNECTION WITH VARIOUS LIMITED PARTNERSHIPS. CLAIMANT ALSO  
ALLEGED UNSUITABLE RECOMMENDATIONS WERE MADE IN CONNECTION  
WITH  
TRADING. CLAIMANT SOUGHT DAMAGES OF \$400,000.

#### Product Type:

**Alleged Damages:** \$400,000.00

#### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

#### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Association of Securities Dealers, Inc.; 92-03826

**Date Notice/Process Served:** 12/02/1992

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/20/1994

**Monetary Compensation Amount:** \$75,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** THE MATTER WAS SETTLED FOR \$75,000. PSI DENIED  
ALL LIABILITY



PSI DENIES ALL LIABILITY. THE F.A. HAS NOT CONTRIBUTED TO THE SETTLEMENT

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES, INC.  
**Allegations:** ALLEGED MISREPRESENTATION OF RISKS  
**Product Type:**  
**Alleged Damages:** \$400,000.00

### Customer Complaint Information

**Date Complaint Received:**  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:**  
**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Association of Securities Dealers, Inc.; 92-03826  
**Date Notice/Process Served:** 12/02/1992  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 04/20/1994  
**Monetary Compensation Amount:** \$75,000.00  
**Individual Contribution Amount:** \$0.00  
**Broker Statement** SETTLED BY PRUDENTIAL BACHE \$75,000. NO RESPONSIBILITY TO F A NOT PROVIDED



## End of Report

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