IAPD Report

MARK JOSEPH VAVRUSKA

CRD# 1081194

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

MARK JOSEPH VAVRUSKA (CRD# 1081194)

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 **11/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	05/18/2023
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	05/18/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	SANDUSKY, OH	03/10/2009 - 06/12/2023
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	SANDUSKY, OH	03/10/2009 - 06/12/2023
IA	BUTLER, WICK & CO., INC.	120	WESTLAKE, OH	06/03/2008 - 03/10/2009

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	3

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 **18** 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	FINRA	General Securities Representative	Approved	05/18/2023
B	FINRA	General Securities Sales Supervisor	Approved	05/18/2023
B	Alabama	Agent	Approved	06/14/2023
B	Arizona	Agent	Approved	03/22/2024
B	California	Agent	Approved	05/18/2023
B	Florida	Agent	Approved	05/18/2023
B	Georgia	Agent	Approved	05/22/2023
B	Indiana	Agent	Approved	07/09/2025
B	Kentucky	Agent	Approved	04/14/2025
B	Maryland	Agent	Approved	05/18/2023
B	Michigan	Agent	Approved	05/18/2023
B	Minnesota	Agent	Approved	05/18/2023
B	New York	Agent	Approved	05/18/2023

Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	05/18/2023
B	Ohio	Agent	Approved	05/18/2023
IA	Ohio	Investment Adviser Representative	Approved	06/12/2023
B	Pennsylvania	Agent	Approved	01/24/2025
B	South Carolina	Agent	Approved	06/13/2023
B	Texas	Agent	Approved	05/18/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	05/18/2023
B	Vermont	Agent	Approved	05/18/2023
B	Virginia	Agent	Approved	05/18/2023

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
2035 Crocker Rd
Ste 201
Westlake, OH 44145-2194

AMERIPRISE FINANCIAL SERVICES, LLC
Rocky River, OH

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 3 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	05/23/1983

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	12/30/2014

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/08/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/23/1984

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	03/10/2009 - 06/12/2023	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	SANDUSKY, OH
IA	03/10/2009 - 06/12/2023	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	SANDUSKY, OH
IA	06/03/2008 - 03/10/2009	BUTLER, WICK & CO., INC.	CRD# 120	WESTLAKE, OH
B	05/23/2008 - 03/10/2009	BUTLER, WICK & CO., INC.	CRD# 120	WESTLAKE, OH
B	02/09/2007 - 06/06/2008	UBS FINANCIAL SERVICES INC.	CRD# 8174	STRONGSVILLE, OH
IA	02/09/2007 - 06/06/2008	UBS FINANCIAL SERVICES INC.	CRD# 8174	AKRON, OH
IA	11/19/1999 - 02/09/2007	MCDONALD INVESTMENTS INC.	CRD# 566	STRONGSVILLE, OH
B	08/01/1991 - 02/09/2007	MCDONALD INVESTMENTS INC.	CRD# 566	STRONGSVILLE, OH
B	12/06/1982 - 08/19/1991	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY

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
05/2023 - Present	Ameriprise Financial Services, LLC.	Registered Rep	Y	Westlake, OH, United States
05/2023 - 05/2023	Ameriprise Financial Services	Registered Rep	Y	Westlake, OH, United States
03/2009 - 05/2023	STIFEL, NICOLAUS & COMPANY, INCORPORATED	BRANCH MANAGER	Y	WESTLAKE, OH, United States
03/2020 - 03/2020	Ameriprise Financial Services, LLC	Registered Rep	Y	Westlake, OH, 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.

No information reported.

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	3

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:	VERMONT SECURITIES DIVISION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/23/1994
Docket/Case Number:	94-004-S
Employing firm when activity occurred which led to the regulatory action:	MCDONALD & COMPANY SECURITIES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	TRANSACTING SECURITIES BUSINESS AS AN UNREGISTERED SALES REPRESENTATIVE IN VIOLATION OF 9 VSA SECTION 4213.
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/23/1994
Sanctions Ordered:	Monetary/Fine $1,000.00
Other Sanctions Ordered:	

Sanction Details:	RESPONDENT ENTERED INTO A CONSENT ORDER WHEREIN HE NEITHER ADMITTED NOR DENIED THE DIVISION'S ALLEGATIONS. RESPONDENT AGREED TO A $1,000.00 FINE.
Regulator Statement	CONTACT: ENFORCEMENT ATTORNEY 802-828-3420

Reporting Source:	Individual
Regulatory Action Initiated By:	COMMISSIONER OF BANKING, INSURANCE & SECURITIES OF *SEE FAQ #1*
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	
Date Initiated:	06/23/1994
Docket/Case Number:	94-004-S
Employing firm when activity occurred which led to the regulatory action:	MCDONALD & COMPANY SECURITIES, INC.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	IT WAS ALLEGED THAT MR. VAVRUSKA TRANSACTED BUSINESS IN VERMONT WHILE ACTING AS A SALES REP WITHOUT BEING REGISTERED OR EXEMPT FROM REGISTRATION IN VIOLATION OF 9 V.S.A. $4213 OF THE SECURITIES ACT.
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/23/1994
Sanctions Ordered:	Monetary/Fine $1,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, MR. VAVRUSKA ENTERED INTO A CONSENT ORDER BY AND BETWEEN THE COMMISSIONER OF BANKING, INSURANCE & SECURITIES OF THE STATE OF VERMONT, MARK J. VAVRUSKA AND MCDONALD & COMPANY SECURITIES,INC., AND AGREED TO AN ADMINISTRATIVE PENALTY OF $1,000.00.
Broker Statement	NOT PROVIDED

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INC.
Allegations:	THE ABOVE REFERENCED CLIENT HAS SUBMITTED A CLAIM FORM TO THE CLAIMS RESOLUTION PROCESS RELATING TO THE PURCHASE OF VARIOUS LIMITED PARTNERSHIPS DURING THE PERIOD 5/86 TO 10/87. THE ABOVE MENTIONED REGISTERED REPRESENTATIVE WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASE. NO DAMAGES WERE ALLEGED BUT THE APPROXIMATE AMOUNT OF THE ACTUAL LOSS (OUT-OF-POCKET) IS: $15,030
Product Type:	
Alleged Damages:	$15,030.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Litigation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	93-CIV-2164
Date Notice/Process Served:	10/21/1993
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	10/21/1993
Monetary Compensation Amount:	$29,685.00
Individual Contribution Amount:	
Firm Statement	A SETTLEMENT FOR THE ABOVE CLIENT HAS BEEN REACHED IN THE CLAIMS RESOLUTION PROCESS. THE APPROXIMATE DOLLAR AMOUNT OF THE SETTLEMENT IS AS FOLLOWS: $29,685 THIS MATTER RESULTED FROM THE UNPRECEDENTED, UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000

INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PSI FROM
JANUARY 1, 1980 TO JANAURY 1, 1991. THE ABOVE REFERENCED CLIENT SUBMITTED A CLAIM FORM IN RESPONSE TO THIS MAILING. THE CLAIM FORM WAS EVALUATED BY PSI IN ACCORDANCE WITH THE STANDARDS ESTABLISHED UNDER THE SETTLEMENT BETWEEN PSI, THE SEC, NASD AND THE STATE SECURITIES ADMINISTRATORS. THE REPORTED SETTLEMENT AROSE OUT OF THIS UNIQUE PROCESS.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INC. (PSI)
Allegations:	CLIENT SUBMITTED A CLAIM FORM RELATING TO THE PURCHASE OF VARIOUS LIMITED PARTNERSHIPS DURING THE PERIOD 5/86 TO 10/87. MR. VAVRUSKA WAS THE BROKER OF RECORD.
Product Type:	Direct Investment(s) - DPP & LP Interest(s)
Alleged Damages:	$15,030.00

Customer Complaint Information

Date Complaint Received:	10/21/1993
Complaint Pending?	No
Status:	Litigation
Status Date:	10/21/1993
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	SEC VS. PSI - COURT DOCKET - NO. 93-CIV2164 10/21/93, CLAIM PROCESS SUBMISSION 90140172
Date Notice/Process Served:	10/21/1993
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	10/21/1993
Monetary Compensation Amount:	$29,685.00
Individual Contribution Amount:	$0.00
Broker Statement	THIS MATTER RESULTED FROM THE UNPRECEDENTED, UNSOLICITED MAILING OF CLAIM FORMS BY PRUDENTIAL SECURITIES INC. TO OVER 340,000 INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PRUDENTIAL FROM 1/1/80 TO 1/1/91. [CUSTOMER] SUBMITTED A CLAIM FORM IN RESPONSE TO THIS MAILING WHICH WAS EVALUATED BY PRUDENTIAL IN ACCORDANCE WITH THE STANDARDS UNDER TEH SETTLEMENT BETWEEN PRUDENTIAL, THE SEC, THE NASD AND THE STATE SECURITIES ADMINISTRATORS.

Disclosure 2 of 3

Reporting Source: Firm

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

Allegations: LOSSES OF $9,349

Product Type:

Alleged Damages: $9,349.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 90324845

Date Notice/Process Served: 10/21/1993

Litigation Pending? No

Disposition: Settled

Disposition Date: 10/21/1993

Monetary Compensation Amount: $14,444.00

Individual Contribution Amount:

Firm Statement

A SETTLEMENT FOR $14,444
THIS MATTER RESULTED FROM THE UNPRECEDENTED, UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000 INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PSI FROM
1/1/80 TO 1/1/91. [CUSTOMER] SUBMITTED A CLAIM FORM IN RESPONSE TO THIS MAILING, WHICH WAS EVALUATED BY PSI IN ACCORDANCE WITH THE STANDARDS UNDER THE SETTLEMENT BETWEEN PSI,
AND SEC NASD AND THE STATE SECURITIES ADMINISTRATORS.

Reporting Source: Individual

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

Allegations: LOSSES OF $9,349.00; NO DAMAGES WERE ALLEGED

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $9,349.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Litigation

Status Date: 10/21/1993

Settlement Amount: $0.00

Individual Contribution Amount: $0.00

Arbitration Information

Disposition:

Disposition Date: 10/21/1993

Civil Litigation Information

Court Details: 90324845

Date Notice/Process Served: 10/21/1993

Litigation Pending? No

Disposition: Settled

Disposition Date: 10/21/1993

Monetary Compensation Amount: $14,444.00

Individual Contribution Amount:

Broker Statement A SETTLEMENT FOR $14,444.00 THIS MATTER RESULTED FROM THE UNPRECEDENTED,UNSOLICITED MAILING OF CLAIM FORMS BY PRUDENTIAL SECURITIES,INC. TO OVER 340,000 INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PRUDENTIAL FROM 1/1/80 TO 1/1/91. [CUSTOMER] SUBMITTED A CLAIM FORM IN RESPONSE TO THIS MAILING, WHICH WAS EVALUATE BY PRUDENTIAL IN ACCORDANCE WITH THE STANDARDS UNDER THE SETTLEMENT BETWEEN PRUDENTIAL THE SEC THE NASD AND THE STAE SECURITIES ADMINISTRATORS.

Disclosure 3 of 3

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: PRUDENTIAL-BACHE SECURITIES (PAN AMERICA) INC.

Allegations: Not Provided

Product Type:

Alleged Damages: $155,480.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #89-02738
Date Notice/Process Served:	11/03/1989
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	08/27/1990
Disposition Detail:	AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL; ACTUAL/COMPENSATOR DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT $14,540.38 JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT $1,000.00 JOINTLY AND SEVERALL

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL-BACHE SECURITIES (PAN AMERICA) INC.
Allegations:	ALLEGED UNSUITABLE AND EXCESSIVE TRADING IN INDEX OPTIONS WITH ALLEGED COMPENSATORY DAMAGES OF $77,740 AND PUNITIVE DAMAGES OF $100,000.
Product Type:	
Alleged Damages:	$155,480.00

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 Assoc. of Securities Dealers; 89-02738
Date Notice/Process Served:	11/03/1989
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	08/27/1990

Monetary Compensation Amount:	$15,540.38
Individual Contribution Amount:	
Firm Statement	BROKER FOUND JOINTLY AND SEVERALLY LIABLE FOR COMPENSATORY DAMAGES OF $14,540.38. NO PUNITIVE DAMAGES AWARDED. PREVIOUSLY REPORTED VIA U-4 AMENDMENT ON 10/08/90.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL-BACHE SECURITIES (PAN AMERICA) INC.
Allegations:	CUSTOMERS ALLEGED UNSUITABLE AND EXCESSIVE TRADING IN INDEX OPTIONS WITH ALLEGED COMPENSATORY DAMAGES OF $77,740.00 AND PUNITIVE DAMAGES OF $100,000.
Product Type:	Other
Alleged Damages:	$155,480.00

Customer Complaint Information

Date Complaint Received:	11/03/1989
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	11/03/1989
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOC. OF SECURITIES DEALERS; 89-02738
Date Notice/Process Served:	11/03/1989
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	08/27/1990
Monetary Compensation Amount:	$15,540.38
Individual Contribution Amount:	$0.00
Broker Statement	BROKER FOUND JOINTLY AND SEVERALLY LIABLE FOR COMPENSATORY DAMAGES OF $14,540.38. NO PUNITIVE DAMAGES WERE AWARDED. NOT PROVIDED.

End of Report

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