



IAPD Report

Barry David Barton Silver

CRD# 1106944

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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

Barry David Barton Silver (CRD# 1106944)

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 **05/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/01/2025
IA	LPL FINANCIAL LLC	CRD# 6413	05/01/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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
IA	GROVE POINT ADVISORS, LLC	313171	Carefree, AZ	04/01/2021 - 05/01/2025
B	GROVE POINT INVESTMENTS, LLC	1763	CAREFREE, AZ	05/05/2009 - 05/01/2025
IA	H. BECK, INC.	1763	CAREFREE, AZ	05/22/2009 - 04/01/2021

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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/01/2025
B	Arizona	Agent	Approved	05/01/2025
IA	Arizona	Investment Adviser Representative	Approved	05/01/2025
B	California	Agent	Approved	05/01/2025
B	Colorado	Agent	Approved	05/01/2025
B	Florida	Agent	Approved	05/06/2025
B	Nevada	Agent	Approved	05/01/2025
B	Oregon	Agent	Approved	05/01/2025

Branch Office Locations

LPL FINANCIAL LLC
36600 N PIMA RD
STE #303-7
CAREFREE, AZ 85377



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, 4 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
Foreign Currency Options Examination (S15)	Series 15	12/28/1984
National Commodity Futures Examination (S3)	Series 3	03/29/1983
General Securities Representative Examination (S7)	Series 7	03/19/1983

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	02/26/2003
Uniform Securities Agent State Law Examination (S63)	Series 63	12/19/1983

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	04/01/2021 - 05/01/2025	GROVE POINT ADVISORS, LLC	CRD# 313171	Carefree, AZ
B	05/05/2009 - 05/01/2025	GROVE POINT INVESTMENTS, LLC	CRD# 1763	CAREFREE, AZ
IA	05/22/2009 - 04/01/2021	H. BECK, INC.	CRD# 1763	CAREFREE, AZ
B	12/16/2005 - 04/16/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	SCOTTSDALE, AZ
IA	12/16/2005 - 04/16/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	SCOTTSDALE, AZ
IA	12/31/1997 - 12/19/2005	CROWELL, WEEDON & CO.	CRD# 193	LAGUNA HILLS, CA
B	03/08/1993 - 12/19/2005	CROWELL, WEEDON & CO.	CRD# 193	LOS ANGELES, CA
B	04/04/1991 - 02/18/1993	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	09/18/1990 - 03/26/1991	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	05/31/1989 - 10/12/1990	SUTRO & CO. INCORPORATED	CRD# 801	SAN FRANCISCO, CA
B	08/17/1984 - 06/14/1989	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	03/22/1983 - 08/16/1984	PAINWEBBER INCORPORATED	CRD# 8174	

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
05/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	CAREFREE, AZ, United States
04/2021 - 05/2025	GROVE POINT ADVISORS, LLC	Mass Transfer-INVESTMENT ADVISOR REPRESENTATIVE	Y	ROCKVILLE, MD, United States
04/2021 - 05/2025	Grove Point Investments, LLC	REGISTERED REPRESENTATIVE	Y	Rockville, MD, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2009 - 05/2025	SILVER FINANCIAL SERVICES - INSURANCE	Representative	Y	CAREFREE, AZ, United States
05/2009 - 03/2021	H. BECK INC.	Registered Representative / Investment Advisor	Y	Rockville, MD, 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- 05/2025 - Silver Financial Services - DBA for LPL Business (entity for LPL business)- Investment Related - At Reported Business Location(s) - Start Date 01/30/2025- 160 hours per month/ during trading



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 SECURITIES INCORPORATED

Allegations: THE ABOVE REFERENCED CLIENT HAS SUBMITTED A CLAIM FROM THE CLAIMS RESOLUTION PROCESS RELATING TO THE PURCHASES OF VARIOUS LIMITED PARTNERSHIPS DURING THE PERIOD 11/85 TO 2/87. THE ABOVE MENTIONED REGISTERED REPRESENTATIVE WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASES. NO DAMAGES WERE ALLEGED BUT THE APPROXIMATE AMOUNT OF ACTUAL LOSS(OUT-OF-POCKET) IS:\$17,887

Product Type:

Alleged Damages: \$17,887.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$19,563.00

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: \$19,563
 THIS MATTER RESULTED FROM THE UNPRECEDENTED,
 UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000
 INVESTORS WHO PURCHASED LIMITED PARTNERSHIP THROUGH PSI
 FROM
 JANUARY 1, 1980 TO JANUARY 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 SECURTIES

Allegations: SUBMITTED A CLAIM FROM THE CLAIMS RESOLUTION PROCESS RELATING TO THE PURCHASES OF VARIOUS LIMITED PARTNERSHIPS DURING THE PERIOD 11/85-2/87. THE ABOVE MENTIONED REG. REP. WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASES. NO DAMAGES WERE ALLEGED BUT THE APPROXIMATE AMOUNT OF ACTUAL LOSS(OUT-OF-POCKET) IS \$17,887.

Product Type: Other

Other Product Type(s): LIMITED PARTNERSHIPS.

Alleged Damages: \$19,563.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date: 02/10/1996

Settlement Amount: \$19,563.00

Individual Contribution Amount: \$0.00

Broker Statement SEE 5 ABOVE.

Disclosure 2 of 5

Reporting Source: Firm

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

Allegations: THE ABOVE CLIENT(S) SUBMITTED CLAIM FORM(S) TO THE CLAIMS RESOLUTION PROCESS RELATING TO LIMITED PARTNERSHIP PURCHASE(S) DURING THE PERIOD 11/84-10/87. THE ABOVE MENTIONED REGISTERED REPRESENTATIVE WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASE(S). NO DAMAGES WERE ALLEGED



BUT THE AMOUNT(S) OF ACTUAL LOSS (OUT-OF-POCKET) IS/ARE APPROXIMATELY: \$8,520; 39,403

Product Type:

Alleged Damages: \$39,403.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$88,465.00

Individual Contribution Amount:

Firm Statement

SETTLEMENT(S) WITH THE ABOVE CLIENT(S) HAS/HAVE BEEN REACHED IN THE CLAIMS RESOLUTION PROCESS. THE DOLLAR AMOUNT(S) OF THE SETTLEMENT(S) IS/ARE APPROXIMATELY: \$15,306; 88,465 THIS MATTER RESULTED FROM THE UNPRECEDENTD UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000. INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PSI FROM JANUARY 1, 1980 TO JANUARY 1, 1991. THE ABOVE REFERENCED CLIENT(S) SUBMITTED CLIAM FORM(S) IN RESPONSE TO THIS MAILING. THE CLAIM FORM(S) WAS/WERE EVALUATED BY PSI IN ACCORDANCE WITH THE STANDARDS UNDER THE SETTLEMENT BETWEEN PSI, THE SEC, NASD AND THE STATE SECURITIES ADMINISTRATORS. THE REPORTED SETTLEMENT(S) AROSE OUT OF THE UNIQUE PROCESS.

Reporting Source: Individual

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

Allegations: SUBMITTED CLAIM FORMS TO THE CLAIMS RESOLUTION PROCESS RELATING TO LIMITED PARTNERSHIPS PURCHASES DURING THE PERIOD 11/84-10/87.THE ABOVE REG. REP. WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASES. NO DAMAGES WERE ALLEGED BUT THE AMOUNTS OF ACTUAL LOSS(OUT-OFPOCKET) WERE 39403.

Product Type: Other

Other Product Type(s): PARTNERSHIPS.

Alleged Damages: \$39,403.00

Customer Complaint Information

Date Complaint Received: 10/22/1993

Complaint Pending? No

Status: Settled

Status Date: 02/10/1996

Settlement Amount: \$88,465.00



Individual Contribution Amount: \$0.00

Broker Statement SETTLEMENT WITH ABOVE CLIENT HAS BEEN REACHED IN THE CLAIMS RESOLUTION PROCESS.THE DOLLAR AMOUNT OF THE SETTLEMENT ARE APPROXIMATE 88,465.00.THIS MATTER RESULTED FROM THE UNPRECEDENT UNSOLICITED MAILING OF CLAIMS FORMS BY PSI.

Disclosure 3 of 5

Reporting Source: Firm

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

Allegations: THE ABOVE CLIENT(S) SUBMITTED CLAIM FORM(S) TO THE CLAIMS RESOLUTION PROCESS RELATING TO LIMITED PARTNERSHIP PURCHASE(S) DURING THE PERIOD 11/84-10/87. THE ABOVE MENTIONED REGISTERED REPRESENTATIVE WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASE(S). NO DAMAGES WERE ALLEGED BUT THE AMOUNT(S) OF ACTUAL LOSS (OUT-OF-POCKET) IS/ARE APPROXIMATELY: \$8,520; 39,403

Product Type:

Alleged Damages: \$8,520.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$15,306.00

Individual Contribution Amount:

Firm Statement SETTLEMENT(S) WITH THE ABOVE CLIENT(S) HAS/HAVE BEEN REACHED IN THE CLAIMS RESOLUTION PROCESS. THE DOLLAR AMOUNT(S) OF THE SETTLEMENT(S) IS/ARE APPROXIMATELY: \$15,306; 88,465 THIS MATTER RESULTED FROM THE UNPRCEDENTD UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000. INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PSI FROM JANUARY 1, 1980 TO JANUARY 1, 1991. THE ABOVE REFERENCED CLIENT(S) SUBMITTED CLIAM FORM(S) IN RESPONSE TO THIS MAILING. THE CLAIM FORM(S) WAS/WERE EVALUATED BY PSI IN ACCORDANCE WITH THE STANDARDS UNDER THE SETTLEMENT BETWEEN PSI, THE SEC, NASD AND THE STATE SECURITIES ADMINISTRATORS. THE REPORTED SETTLEMENT(S) AROSE OUT OF THE UNIQUE PROCESS.

Reporting Source: Individual



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

Allegations: SUBMITTED CLAIM FORM TO THE CLAIMS RESOLUTION PROCESS RELATING TO LIMITED PARTNERSHIPS DURING PERIOD 11/84-10/87. THE ABOVE MENTIONED REP. WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASE. NO DAMAGES WERE ALLEGED BUT THE AMOUNTS OF ACTUAL LOSS (OUT OF POCKET) WAS APPROXIMATE \$8,520,394.03.

Product Type: Other

Other Product Type(s): PARTNERSHIPS.

Alleged Damages: \$8,520.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date: 02/10/1996

Settlement Amount: \$15,306.00

Individual Contribution Amount: \$0.00

Broker Statement SEE 5 ABOVE.

Disclosure 4 of 5

Reporting Source: Firm

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

Allegations: CLIENT ALLEGES MISREPRESENTATION AND UNSUITABILITY IN CONNECTION WITH 1987 PURCHASE OF POLARIS LIMITED PARTNERSHIP. MR. SILVER WAS NOT NAMES AS A PARTY OF THIS ACTION.

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.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 93-02718

Date Notice/Process Served: 07/07/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/14/1994

Monetary Compensation Amount: \$28,500.00

Individual Contribution Amount: \$0.00

Firm Statement THIS MATTER SETTLED BETWEEN PRUDENTIAL SECURITIES INCORPORATED AND [CUSTOMERS] FOR \$28,500.00. MR. SILVER IS NOT BEING ASKED TO CONTRIBUTE TO THE SETTLEMENT
NOT PROVIDED

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES MISREPRESENTATION AND UNSUITABILITY IN CONNECTION WITH 1987 PURCHASE OF POLARIS LIMITED PARTNERSHIP. MR. SILVER WAS NOT NAMES AS A PARTY OF THIS ACTION.

Product Type:

Alleged Damages: \$28,500.00

Customer Complaint Information

Date Complaint Received: 07/07/1993

Complaint Pending? No

Status:

Status Date: 04/14/1994

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): NASD

Docket/Case #: 93-02718

Date Notice/Process Served: 07/07/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/14/1994



Monetary Compensation Amount: \$28,500.00

Individual Contribution Amount:

Broker Statement THIS MATTER SETTLED BETWEEN PRUDENTIAL SECURITIES, INC. AND [CUSTOMER] FOR \$28,500.00.MR SILVER IS NOT BEING ASKED TO CONTRIBUTE TO THE SETTLEMEN.

Disclosure 5 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL-BACHE SECURITIES

Allegations: CLAIMANTS ALLEGED UNSUITABLE INVESTMENTS IN THEIR RESPECTIVE AND JOINT ACCOUNTS ALLEGEDLY RESULTING IN \$300,000.00 IN LOSSES.

Product Type:

Alleged Damages: \$300,000.00

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.: PACIFIC STOCK EXCHANGE; ARL-07060

Date Notice/Process Served: 07/03/1990

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 05/24/1991

Monetary Compensation Amount: \$206,000.00

Individual Contribution Amount: \$0.00

Firm Statement CLAIMANT [CUSTOMER] WAS AWARDED \$146,000.00; CLAIMANT [OTHER CUSTOMER NAMED] WAS AWARDED 60,000.00 NOT PROVIDED

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: PRUDENTIAL-BACHE SECURITIES

Allegations: CLAIMANTS ALLEGED UNSUITABLE INVESTMENTS IN THEIR RESPECTIVE & JOINT ACCOUNTS ALLEGEDLY RESULTING IN LOSSES OF \$300,000.

Product Type:

Alleged Damages: \$300,000.00

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.: PACIFIC STOCK EXCHANGE; ARL-07060

Date Notice/Process Served: 07/03/1990

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 05/24/1991

Monetary Compensation Amount: \$206,000.00

Individual Contribution Amount: \$0.00

Broker Statement CLAIMANT [CUSTOMER] WAS AWARDED \$146,000. CLAIMANT [OTHER CUSTOMER NAMED] WAS AWARDED \$60,000. AWARD PAID 100% BY PRUDENTIAL SECURITIES. NOT PROVIDED



End of Report

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