IAPD Report

MITCHELL HOWARD HIRSCH

CRD# 1147538

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

MITCHELL HOWARD HIRSCH (CRD# 1147538)

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 **07/27/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ONESEVEN	CRD# 283087	06/15/2018
B	FORTUNE FINANCIAL SERVICES, INC.	CRD# 42150	01/29/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	INTERNATIONAL ASSETS ADVISORY, LLC	10645	CORAL SPRINGS, FL	01/19/2017 - 01/15/2020
IA	HAYDEN ROYAL	170037	Coral Spring, FL	01/24/2017 - 07/10/2018
IA	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	CORAL SPRINGS, FL	10/25/2013 - 01/18/2017

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	4

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

Employment 1 of 2

Firm Name: **ONESEVEN**

Main Address: 24400 CHAGRIN BLVD.
SUITE 310
BEACHWOOD, OH 44122

Firm ID#: 283087

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	06/15/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	07/26/2021

Branch Office Locations

ONESEVEN
5521 N.University Drive
Suite 103
Coral Springs, FL 33076

Employment 2 of 2

Firm Name: **FORTUNE FINANCIAL SERVICES, INC.**

Main Address: 3582 BRODHEAD ROAD
SUITE 202
MONACA, PA 15061

Firm ID#: 42150

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/29/2020
B	FINRA	Investment Banking Representative	Approved	01/29/2020
B	Arizona	Agent	Approved	01/29/2020
B	California	Agent	Approved	01/30/2020

Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	01/29/2020
B	Connecticut	Agent	Approved	01/29/2020
B	Florida	Agent	Approved	01/29/2020
B	Georgia	Agent	Approved	01/30/2020
B	Illinois	Agent	Approved	06/28/2021
B	Maryland	Agent	Approved	01/29/2020
B	New Jersey	Agent	Approved	01/29/2020
B	New York	Agent	Approved	01/29/2020
B	North Carolina	Agent	Approved	01/29/2020

Branch Office Locations

5521 N. University Drive
Suite 103
Coral Springs, FL 33067

5521 N. University Drive
Suite 103
Coral Springs, FL 33067

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	06/11/1999

General Industry/Product Exams

	Exam	Category	Date
B	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	07/16/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/20/2014
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/14/1983

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	01/19/2017 - 01/15/2020	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	CORAL SPRINGS, FL
IA	01/24/2017 - 07/10/2018	HAYDEN ROYAL	CRD# 170037	Coral Spring, FL
IA	10/25/2013 - 01/18/2017	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	CORAL SPRINGS, FL
B	10/23/2013 - 01/18/2017	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	CORAL SPRINGS, FL
IA	01/11/2012 - 10/24/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CORAL SPRINGS, FL
B	12/01/2011 - 10/24/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CORAL SPRINGS, FL
IA	03/08/2010 - 12/01/2011	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	CORAL SPRINGS, FL
B	03/01/2010 - 12/01/2011	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	CORAL SPRINGS, FL
IA	04/28/2008 - 03/08/2010	OPPENHEIMER & CO. INC.	CRD# 249	CORAL SPRINGS, FL
B	04/22/2008 - 03/08/2010	OPPENHEIMER & CO. INC.	CRD# 249	CORAL SPRINGS, FL
IA	03/10/2008 - 04/28/2008	A & J ADVISORY SERVICES, LLC	CRD# 146332	CORAL SPRINGS, FL
B	02/05/2008 - 04/28/2008	LEBENTHAL & CO., LLC	CRD# 145750	CORAL SPRINGS, FL
IA	03/27/2007 - 03/04/2008	ALEXANDRA & JAMES CO.	CRD# 106032	CORAL SPRINGS, FL
B	03/02/2007 - 03/04/2008	ALEXANDRA & JAMES CO.	CRD# 106032	CORAL SPRINGS, FL
B	08/18/2004 - 03/06/2007	MID ATLANTIC CAPITAL CORPORATION	CRD# 10674	CORAL SPRINGS, FL
IA	08/18/2004 - 03/06/2007	MID ATLANTIC FINANCIAL MANAGEMENT, INC.	CRD# 109771	CORAL SPRINGS, FL

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	10/01/1999 - 08/26/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
IA	10/01/1999 - 08/26/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	CORAL SPRINGS, FL
B	01/20/1999 - 10/01/1999	FIRST UNION CAPITAL MARKETS CORP.	CRD# 6124	CHARLOTTE, NC
B	04/23/1994 - 01/14/1999	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	11/08/1990 - 04/11/1994	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	04/13/1987 - 11/16/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	09/18/1984 - 04/27/1987	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	07/21/1983 - 09/07/1984	J. B. HANAUER & CO.	CRD# 6958	

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
01/2020 - Present	FORTUNE FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	MONACA, PA, United States
06/2018 - Present	MGO ONE SEVEN LLC dba Everglades Parkland Advisors	INVESTMENT ADVISOR REPRESENTATIVE	Y	PARKLAND, FL, United States
01/2017 - 01/2020	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REPRESENTATIVE	Y	CORAL SPRINGS, FL, United States
01/2017 - 06/2018	GREAT LAKES AND ATLANTIC WEALTH MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	CHARLOTTE, NC, United States
10/2013 - 01/2017	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	CORAL SPRINGS, FL, 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.

1) Insurance Licensed - appx 10% of his time during trading hours.
2) BROWARD COUNTY GATOR CLUB 2000 UNIVERSITY DRIVE, DAVIE, FL 33317 - NON-PROFIT PROVIDING SCHOLARSHIPS TO BROWARD COUNTY SENIORS - BOARD
MEMBER SINCE 8/2019 - APPROX 7 HRS/MO - NO COMPENSATION
3) 06/2018 INVESTMENT ADVISER REPRESENTATIVE- RIA - MGO ONE SEVEN LLC dba EVERGLADES PARKLAND ADVISORS, LLC (MANAGING MEMBER OF DBA) - 5521 N. UNIVERSITY DRIVE, SUITE 103, CORAL SPRINGS, FL 33076- INVESTMENT RELATED - ADVISORY FEES- APPROX 20 HRS/ WEEK - APPROX 160 HRS/MO
4) 01/2020 FORTUNE FINANCIAL SERVICES, INC - 5521 N. UNIVERSITY DRIVE, SUITE 103, CORAL SPRINGS, FL 33076- INVESTMENT RELATED- REGISTERED REPRESENTATIVE - APPROX 5-7 HRS/ WEEK

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	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	A FLORIDA RESIDENT COMPLAINED ALLEGING THAT HER MUTUAL FUND AND ANNUITY INVESTMENTS WERE UNSUITABLE. THE CLIENT ALSO ALLEGED THTA THE FEES APPLICABLE TO HER MUTUAL FUND INVESTMENTS WERE NOT DISCLOSED. IN HER DAMAGE CLAIM, THE CLIENT STATED THT HER ACCOUNTS WERE VALUED AT $159,000 IN 2000 AND DIMINISHED TO ONE THIRD OF THEIR VALUE UNDER THE FA'S MANAGEMENT, THEREBY CLAIMING DAMAGES OF $106,000.00, ALTHOUGH HER ORIGINAL INVESTMENT PRINCIPAL WAS $74,756.00
Product Type:	Mutual Fund(s)
Alleged Damages:	$106,000.00

Customer Complaint Information

Date Complaint Received:	01/13/2004
Complaint Pending?	No
Status:	Denied
Status Date:	02/18/2004
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLAIM DENIED BY THE FIRM BASED UPON REVIEW OF THE MATTER.

Disclosure 2 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY INC.
Allegations:	THE CLIENT, THROUGH HER ATTORNEY, ALLEGED UNSUITABILITY, UNAUTHORIZED TRADING AND FAILURE TO FOLLOW INSTRUCTIONS.
Product Type:	Mutual Fund(s)
Alleged Damages:	$100,000.00

Customer Complaint Information

Date Complaint Received:	09/10/2002
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/23/2003
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THIS MATTER BECAME A ARBITRATION AND THE FINANCIAL CONSULTANT WAS NOT NAMED IN THE ARBITRATION COMPLAINT. THE MATTER WAS SETTLED BY THE FIRM FOR BUSINESS REASONS.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY INC.
Allegations:	THE CLIENT, THROUGH HER ATTORNEY, ALLEGED UNSUITABILITY, UNAUTHORIZED TRADING AND FAILURE TO FOLLOW INSTRUCTIONS.
Product Type:	Mutual Fund(s)
Alleged Damages:	$100,000.00

Customer Complaint Information

Date Complaint Received:	09/10/2002
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/23/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CUSTOMER WAS REFERRED TO ME IN 1993 WHEN I WAS EMPLOYED BY PAINEWEBBER. WHEN I RECEIVED THE PORTFOLIO IN 1993 IT WAS MADE UP OF HIGH INCOME LIMITED PARTNERSHIPS, INDIVIDUAL STOCKS SUCH AS: GREAT AMERICAN INDUSTRIES, CORPORATE SERVICES GROUP PLC

	ADRS, BURMA MINES LTD, BROADWAY HOLDINGS, INC., MIDLAND RESOURCES, INC., A FORTIS VARIABLE ANNUITY AND A HARTFORD PUTNAM CAPITAL MANAGER ANNUITY. SHE INFORMED ME THAT HER PROTFOLIO HAS NOT GENERATED ENOUGH INCOME TO MEET HER LIVING EXPENSES. SHE WANTED A PORTFOLIO THAT WOULD BE MORE AGGRESSIVE IN ORDER TO GENERATE MORE INCOME. IN THE FORTIS ANNUITY SHE HAD OVER $109,000 ALLOCATED TO THE GROWTH STOCK SUB-ACCOUNT. I SUGGESTED THIS WAS WAY TO AGGRESSIVE AND SHE MOVE TO 50% DIVERSIFIED INCOME AND 50% U.S. GOVT SECURITIES. CUSTOMER DID MAKE THIS CHANGE BUT LATER BECAME UNHAPPY WITH THE RETURN OF THE MORE CONSERVATIVE PORTFOLIO AND SURRENDERED THE POLICY. ALL CUSTOMER'S TRADES WERE DONE WITH THER FULL AUTHORIZATION. CUSTOMER WOULD ALSO CALL FROM TIME TO TIME WITH STOCK IDEAS THAT SHE HEARD OF FROM HER FRIENDS AND HER SON. I INFORMED HER THAT INDIVIDUAL STOCKS WERE TOO RISKY AND REFUSED TO PURCHASE THEM FOR HER.

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SMITH BARNEY
Allegations:	THE SMITH BARNEY CLIENT'S ATTORNEY ALLEGED THAT THE CLIENT WAS PLACED IN INAPPROPIATE FINANCIAL INVESTMENTS. ALLEGED DAMAGES-UNSPECIFIED BUT GREATER THAN $5,000. PRODUCT-MUTUAL FUNDS.
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	03/31/1999
Complaint Pending?	No
Status:	Denied
Status Date:	06/04/1999
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THE CLAIM WAS DENIED. NOT PROVIDED.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SMITH BARNEY
Allegations:	ATTORNEY ALLEGED THAT THE CLIENT WAS PLACED IN INAPPROPRIATE FINANCIAL INVESTMENTS. ALLEGED DAMAGES-UNSPECIFIED, BUT GREATER THAN $5K. PRODUCT- MUTUAL FUNDS. EMPLOYING FIRM: SMITH BARNEY.

Product Type: Mutual Fund(s)

Alleged Damages: $5,001.00

Customer Complaint Information

Date Complaint Received: 03/31/1999

Complaint Pending? No

Status: Denied

Status Date: 06/04/1999

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLAIM WAS DENIED BY SMITH BARNEY. NOT PROVIDED.

Disclosure 4 of 4

Reporting Source: Firm

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

Allegations: THE ABOVE CLIENTS HAVE SUBMITTED CLAIM FORMS
TO THE CLAIMS RESOLUTION PROCESS RELATING TO THE PURCHASES OF
VARIOUS LIMITED PARTNERSHIPS DURING THE PERIOD 8/88 TO 9/90 THE ABOVE MENTIONED REGISTERED REPRESENTATIVE W E WAS THE BROKER OF
RECORD AT THE TIME OF THE PURCHASES. NO DAMAGES WERE ALLEGED BUT THE RESPECTIVE AMOUNTS OF ACTUAL LOSS(OUT-OF-POCKET) ARE APPROXIMATELY: $27,450

Product Type:

Alleged Damages: $27,450.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date: 10/21/1993

Settlement Amount: $35,323.00

Individual Contribution Amount:

Firm Statement A SETTLEMENT FOR EACH OF THE ABOVE CLIENTS HAS
BEEN REACHED IN THE CLAIMS RESOLUTION PROCESS. THE RESPECTIVE DOLLAR AMOUNTS OF THE SETTEMENTS ARE APPROXIMATELY AS FOLLOWS:
$35,323
THIS MATTER RESUITED 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 JANUARY 1, 1981. THE ABOVE REFERENCED CLIENTS SUBMITTED CLAIM FORMS IN RESPONSE TO THE MAILING. THE CLAIM FORMS WERE EVALUATED BY PSI IN ACCORDANCE WITH THE STANDARDS ESTABLISHED UNDER THE SETTLEMENT BETWEEN PSI, THE SEC, NASD AND THE STATE SECURITIES ADMINISTRATORS. THE REPORTED
SETTLEMENTS AROSE OUT OF THIS UNIQUE PROCESS.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES, INC.
Allegations:	PRUDENTIAL CLAIMED AFTER SETTLING WITH ALL THE CUSTOMERS THAT FIELD IN THE CLASS ACTION SUIT FOR LIMITED PARTNERSHIPS THAT THE CLIENT (CUSTOMERS) HAD TOO MUCH MONEY IN LIMITED PARTNERSHIP
Product Type:	
Alleged Damages:	$27,450.00

Customer Complaint Information

Date Complaint Received:	10/21/1993
Complaint Pending?	No
Status:	Settled
Status Date:	10/21/1993
Settlement Amount:	$35,323.00
Individual Contribution Amount:	
Broker Statement	PRUDENTIAL PAID ALL PEOPLE INVOLVED IN THE LIMITED PARTNERSHIP CLASS ACTION SUIT. I DON`T KNOW THE AMOUNT FORM THE CUSTOMER'S THE CLIENT ASKED ME IF HE SHOULD GO IN ON THE CLASS ACTION SUIT. I ADVISED HIM TO FILE. THE CLIENT WAS UNHAPPY WITH HOW PRUDENTIAL SEC DID NOT DISCLOSE ALOT OF INFOR ON THE LIMITED PARTNERSHIP THE CUSTOMERS ARE STILL CLIENTS OF MINE TODAY.

End of Report

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