



IAPD Report

Mark Russel Kean

CRD# 1269587

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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

Mark Russel Kean (CRD# 1269587)

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 **10/13/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	10/28/2021
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	10/28/2021

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **24** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	CARY, NC	08/03/2012 - 11/01/2021
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	CARY, NC	08/03/2012 - 11/01/2021
B	UBS FINANCIAL SERVICES INC.	8174	RALEIGH, NC	08/13/2004 - 08/13/2012

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
Termination	1



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 **24** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 705

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/28/2021
B Investors' Exchange LLC	General Securities Representative	Approved	10/13/2025
B MEMX LLC	General Securities Representative	Approved	10/13/2025
B NYSE American LLC	General Securities Representative	Approved	10/28/2021
B NYSE Arca, Inc.	General Securities Representative	Approved	10/13/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	10/13/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/28/2021
B Nasdaq Stock Market	General Securities Representative	Approved	10/28/2021
B New York Stock Exchange	General Securities Representative	Approved	10/28/2021
B Arizona	Agent	Approved	10/28/2021
B California	Agent	Approved	10/28/2021
B Colorado	Agent	Approved	11/17/2021
B Connecticut	Agent	Approved	10/28/2021



Qualifications

Regulator	Registration	Status	Date
B District of Columbia	Agent	Approved	10/28/2021
B Florida	Agent	Approved	10/28/2021
B Georgia	Agent	Approved	10/28/2021
B Iowa	Agent	Approved	10/28/2021
B Maine	Agent	Approved	01/07/2025
B Maryland	Agent	Approved	10/28/2021
B Mississippi	Agent	Approved	10/28/2021
B Nevada	Agent	Approved	09/23/2022
B New Jersey	Agent	Approved	10/28/2021
B New Mexico	Agent	Approved	10/28/2021
B New York	Agent	Approved	10/28/2021
IA North Carolina	Investment Adviser Representative	Approved	10/28/2021
B North Carolina	Agent	Approved	11/02/2021
B Ohio	Agent	Approved	10/28/2021
B Pennsylvania	Agent	Approved	11/09/2021
B South Carolina	Agent	Approved	12/08/2021
B Texas	Agent	Approved	10/28/2021
IA Texas	Investment Adviser Representative	Restricted Approval	10/28/2021



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	12/01/2021
B Vermont	Agent	Approved	10/26/2023
B Virginia	Agent	Approved	11/10/2021
B Washington	Agent	Approved	10/28/2021

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.

175 Regency Woods Pl
Suite 450
Cary, NC 27518



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, 3 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
National Commodity Futures Examination (S3)	Series 3	06/23/1994
General Securities Representative Examination (S7)	Series 7	06/16/1984

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	03/10/1994
Uniform Securities Agent State Law Examination (S63)	Series 63	07/02/1984

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
B	08/03/2012 - 11/01/2021	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CARY, NC
IA	08/03/2012 - 11/01/2021	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CARY, NC
B	08/13/2004 - 08/13/2012	UBS FINANCIAL SERVICES INC.	CRD# 8174	RALEIGH, NC
IA	08/13/2004 - 08/13/2012	UBS FINANCIAL SERVICES INC.	CRD# 8174	RALEIGH, NC
IA	12/31/2001 - 08/24/2004	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	RALEIGH, NC
B	07/31/1993 - 08/24/2004	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	01/29/1990 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	01/31/1989 - 01/25/1990	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	09/11/1986 - 01/25/1989	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	
B	06/20/1984 - 10/10/1986	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
10/2021 - Present	Raymond James & Associates, Inc.	Registered Representative	N	Cary, NC, United States
09/2012 - 10/2021	BANK OF AMERICA, N.A.	SVP; FINANCIAL ADVISOR	Y	CARY, NC, United States
08/2012 - 10/2021	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	CARY, NC, 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)Name of Business: CB Ave 1 Address: 106 Witham Park Ct, Cary, NC, 27518, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 02/10/2023 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: collect rent, pay mortgage
- (2)Name of Business: CB Ave 2 Address: 106 Witham Park Ct, Cary,\n, NC, 27518, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 08/15/2018 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Paying Bilsl, collecting monthly rent from property management.
- (3)Name of Business: Landmark Free Will Baptist Church Address: 9011 Chapel Hill Rd, Cary, NC, 27513, United States Activity Type: Religious Position/Title: Other Investment Related: Yes Start Date: 01/01/2024 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Trustee - 1 of 4
- (4)Name of Business: Lord Byron Ct Address: Lord Byron Ct #211, Cary, NC, 27513, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 02/10/2023 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: collecting rent, management



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
Termination	1

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:	Individual
Employing firm when activities occurred which led to the complaint:	Merrill Lynch, Pierce, Fenner & Smith Incorporated
Allegations:	The Customers allege failure to follow instructions from September 2015 to January 2016.
Product Type:	No Product
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Damages not specified
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/05/2016
Complaint Pending?	No
Status:	Settled
Status Date:	05/27/2016



Settlement Amount: \$31,432.22

Individual Contribution Amount: \$0.00

Disclosure 2 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC

Allegations: TIME FRAME: 2006 - 2014. CLAIMANT ALLEGES FA UNSUITABLY RECOMMENDED THAT CLAIMANT INVEST IN A JOHN HANCOCK VARIABLE LIFE INSURANCE POLICY AND VARIOUS OTHER EQUITY INVESTMENTS NOT OFFERED BY UBS.

Product Type: Other: VARIABLE LIFE INSURANCE AND

Alleged Damages: \$350,000.00

Arbitration Information

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

Docket/Case #: 15-01162

Date Notice/Process Served: 05/22/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/06/2016

Monetary Compensation Amount: \$165,000.00

Individual Contribution Amount: \$135,000.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC

Allegations: TIME FRAME: 2006 - 2014. CLAIMANT ALLEGES FA UNSUITABLY RECOMMENDED THAT CLAIMANT INVEST IN A JOHN HANCOCK VARIABLE LIFE INSURANCE POLICY AND VARIOUS OTHER EQUITY INVESTMENTS NOT OFFERED BY UBS.

Product Type: Other: VARIABLE LIFE INSURANCE AND

Alleged Damages: \$350,000.00

Arbitration Information

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

Docket/Case #: 15-01162



Date Notice/Process Served: 05/22/2015
Arbitration Pending? No
Disposition: Settled
Disposition Date: 01/06/2016
Monetary Compensation Amount: \$165,000.00
Individual Contribution Amount: \$135,000.00

Disclosure 3 of 5

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC

Allegations: TIME FRAME: JANUARY 2009 THROUGH 2012
CLAIMANT ALLEGES FA UNSUITABLY RECOMMENDED THAT CLAIMANT INVEST THE PROCEEDS FROM HIS HOME EQUITY LOAN IN INVESTMENTS NOT OFFERED BY UBS INSTEAD OF PAYING OFF THE LOAN.

Product Type: Other: EQUITIES

Alleged Damages: \$250,000.00

Arbitration Information

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

Docket/Case #: 15-00862

Date Notice/Process Served: 04/20/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/06/2016

Monetary Compensation Amount: \$145,000.00

Individual Contribution Amount: \$135,000.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC

Allegations: TIME FRAME: JANUARY 2009 THROUGH 2012 CLAIMANT ALLEGES FA UNSUITABLY RECOMMENDED THAT CLAIMANT INVEST THE PROCEEDS FROM HIS HOME EQUITY LOAN IN INVESTMENTS NOT OFFERED BY UBS INSTEAD OF PAYING OFF THE LOAN.

Product Type: Other: EQUITIES



Alleged Damages: \$250,000.00

Arbitration Information

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

Docket/Case #: 15-00862

Date Notice/Process Served: 04/20/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/06/2016

Monetary Compensation Amount: \$145,000.00

Individual Contribution Amount: \$135,000.00

Disclosure 4 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SMITH BARNEY

Allegations: CLIENT IN AN EMAIL ALLEGES HE DID NOT GIVE HIS AUTHORIZATION TO SELL A STOCK. HE ALSO MAKES THE FOLLOWING STATEMENT., " I WOULD ALSO LIKE TO KNOW WHERE THE MONEY THAT WAS STOLEN FROM ME WENT TO".
ALLEGED DAMAGES - UNSPECIFIED

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/09/2005

Complaint Pending? No

Status: Denied

Status Date: 04/06/2005

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SMITH BARNEY

Allegations: CLIENT IN AN EMAIL ALLEGES HE DID NOT GIVE HIS AUTHORIZATION TO SELL A STOCK. HE ALSO MAKES THE FOLLOWING STATEMENT., "I WOULD ALSO LIKE TO KNOW WHERE THE MONEY THAT WAS STOLEN FROM ME



WENT TO". ALLEGED DAMAGES - UNSPECIFIED

Product Type: Equity Listed (Common & Preferred Stock)**Alleged Damages:****Customer Complaint Information****Date Complaint Received:** 03/09/2005**Complaint Pending?** No**Status:** Denied**Status Date:** 04/06/2005**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

CLIENT SENT A LETTER TO SMITH BARNEY RECINDING HIS ALLEGATION OF ANY WRONG DOINGS AGAINST MARK & FOR THEM TO CEASE THEIR ACTION / INQUIRY IMMEDIATELY. CLIENT ALSO STATES HE BEEN HAPPY WITH MARK' S OVERALL FINANCIAL ACCOUNTING WHILE HE WAS WITH SMITH BARNEY

Disclosure 5 of 5**Reporting Source:** Firm**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES INC.**Allegations:** CLIENTS ALLEGE THE UNAUTHORIZED PURCHASE OF PB ENERGY LIMITED PARTNERSHIP IN 1989 VALUED AT \$13,000 BY FA ROBERT BALUNAS. ADDITIONALLY CLIENTS ALLEGE PSI ENGAGED IN FRAUD AND MISREPRESENTATION CONCERNING THE INVESTMENTS. CLIENTS SEEK THE RESCISSION OF THE TRADES PLUS INTEREST OR \$43,125.**Product Type:****Alleged Damages:** \$43,125.00**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:** 04/06/1993



Arbitration Pending? No
Disposition: Settled
Disposition Date: 08/17/1993
Monetary Compensation Amount: \$10,000.00
Individual Contribution Amount:
Firm Statement SETTLED \$10,000.00
 Not Provided

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

Allegations: THE PRUDENTIAL SECURITIES CLIENTS' ALLEGED FRAUD, MISREPRESENTATION AND UNAUTHORIZED TRANSACTIONS ALLEGED DAMAGES-REQUESTED RECISSION OF TRADES & INTEREST OR \$43,125.00. PRODUCT-DIRECT INVESTMENT(S)-DPP AND LP INTEREST(S).

Product Type:
Alleged Damages: \$43,125.00

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: 04/06/1993
Arbitration Pending? No
Disposition: Settled
Disposition Date: 08/17/1993
Monetary Compensation Amount: \$10,000.00
Individual Contribution Amount:
Broker Statement SETTLED FOR \$10,000.00
 PRU SETTLED FOR \$10,000.00FOR "BUSINESS



CONSIDERATION" I RECOMMENDED MR. FLEMINO PURCHASE 15,000 OF
PB
ENERGY LP 23 AS PART OF AN OVERALL PORTFOLIO. CLIENT WAS
SUITABLE WITH NET WORTH IN EXCESS OF 100K. CLIENT PURCHASED
ANOTHER R 13,500 FROM A SUBSEQUENT BROKER, WHICH WAS ALSO THE
SUBJECT OF THE CLAIM. PRU SETTLED WITH CLIENT (THERE WERE 2
CAUSED OF ACTIONS IN COMPLAINT WERE PRU WAS NAMED IN EVERY
ONE). I WAS NOT INVOLVED NOR TOLD OF THE DECISION TO SETTLE
UNTIL I HAD TO CALL TO ANSWER THIS UPDATE. THIS WAS A PRODUCT
PROBLEM DUE TO PRU'S NEGLIGENCE.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	PRUDENTIAL SECURITIES
Termination Type:	Permitted to Resign
Termination Date:	01/01/1989
Allegations:	NA I ALLEGEDLY SIGNED A MUTUAL FUND LIQUIDATION LETTER FOR A CLIENT - NO CUSTOMER COMPLAINT IS PENDING
Product Type:	
Other Product Types:	
Broker Statement	TERMINATION FROM PRUDENTIAL IN DEC 1988, I WAS TERMINATED BY PRUDENTIAL FOR ALLEGEDLY FORGING A MUTUAL FUND LIQUIDATION LETTER FOR A CLIENT. I DENY HAVING DONE THIS. THERE HAS NEVER BEEN A COMPLAINT BY MY CLIENT AND HE REMAINS MY CLIENT TODAY.



End of Report

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