



IAPD Report

Christian V Ekberg

CRD# 1445715

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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

Christian V Ekberg (CRD# 1445715)

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 **05/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	03/11/2024
IA	EDWARD JONES	CRD# 250	03/11/2024

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **8** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	CARMEL, CA	03/29/2023 - 03/11/2024
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	CARMEL, CA	03/06/2023 - 03/11/2024
B	UNIONBANC INVESTMENT SERVICES, LLC	14455	SAN FRANCISCO, CA	04/01/1996 - 09/17/2007

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	7



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 **8** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **EDWARD JONES**
Main Address: 12555 MANCHESTER RD
ST. LOUIS, MO 63131
Firm ID#: 250

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	03/11/2024
B NYSE American LLC	General Securities Representative	Approved	03/11/2024
B Nasdaq Stock Market	General Securities Representative	Approved	03/11/2024
B New York Stock Exchange	General Securities Representative	Approved	03/11/2024
B Alaska	Agent	Approved	06/26/2024
B Arizona	Agent	Approved	03/11/2024
B California	Agent	Approved	03/11/2024
IA California	Investment Adviser Representative	Approved	03/11/2024
B Florida	Agent	Approved	09/05/2024
B Montana	Agent	Approved	03/11/2024
B Nevada	Agent	Approved	04/23/2024
B Texas	Agent	Approved	07/03/2024
IA Texas	Investment Adviser Representative	Restricted Approval	07/08/2024



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	03/11/2024

Branch Office Locations

EDWARD JONES
126 Clock Tower Place
Suite 101
CARMEL, CA 93923



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 3 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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 General Securities Representative Examination (S7TO)	Series 7TO	03/06/2023
 Securities Industry Essentials Examination (SIE)	SIE	12/21/2022
 General Securities Representative Examination (S7)	Series 7	12/14/1985

State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	03/26/2023
 Uniform Investment Adviser Law Examination (S65)	Series 65	07/08/1992
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/28/1986

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	03/29/2023 - 03/11/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CARMEL, CA
B	03/06/2023 - 03/11/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CARMEL, CA
B	04/01/1996 - 09/17/2007	UNIONBANC INVESTMENT SERVICES, LLC	CRD# 14455	SAN FRANCISCO, CA
B	11/16/1995 - 04/01/1996	BANCAL INVESTMENT SERVICES, INC.	CRD# 17122	
B	07/31/1993 - 07/14/1994	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	02/11/1991 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	12/17/1985 - 02/14/1991	PRUDENTIAL-BACHE SECURITIES INC.	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
03/2024 - Present	Edward Jones	Financial Advisor	Y	St Louis, MO, United States
11/2022 - 03/2024	Bank of America NA	Financial Solutions Advisor	Y	Carmel, CA, United States
11/2022 - 03/2024	Merrill Lynch	Financial Solutions Advisor	Y	Carmel, CA, United States
08/2021 - 11/2022	Spyglass Fiduciary Consultants	Consultant	N	Carmel, CA, United States
12/2007 - 07/2021	Wells Fargo Bank NA	IRT Sales Representative	N	San Francisco, CA, 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.



Registration & Employment History



OTHER BUSINESS ACTIVITIES



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	7

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 7

Reporting Source: Firm

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

Allegations: THE ABOVE CLIENT(S) SUBMITTED CLIAM FORM(S) TO THE CLAIMS RESOLUTION PROCESS RELATING TO LIMITED PARTNERSHIP PURCHASE(S) DURING THE PERIOD 5/88-9/89 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 (OUT-OF-POCKET) IS/ARE APPROXIMATELY: \$22,952

Product Type:

Alleged Damages: \$22,952.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$46,576.00

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: \$46,576 THIS MATTER RESULTED FROM THE UNPRECEDENTED, UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000 INVSTORS WHO PURCHASED LIMITED PARTNERSHIP THROUGH PSI FROM JANUARY 1, 1980 TO JANUARY 1, 1991. THE ABOVE REFERENCED CLIENT(S) SUBMITTED CLAIM FORM(S) IN RESPONSE TO THIS MAILING. THE CLAIM FORM(S) WAS/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 SETTLEMENT(S) AROSE OUT OF THE UNIQUE PROCESS.

Reporting Source: Individual

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

Allegations: I AM NOT AWARE OF ANY COMPLAINT BY THE [CUSTOMERS]. I HAVE NO KNOWLEDGE OF ANY DETAILS OF THE COMPLAINT.

Product Type:

Alleged Damages: \$22,952.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$46,576.00

Individual Contribution Amount:

Broker Statement THE [CUSTOMERS] WERE CLIENTS OF MINE WHILE EMPLOYED AT PRUDENTIAL SECURITIES (FKA PRUDENTIAL). THEY PRUCHASED SEVERAL MUTUAL FUNDS,TAX FOR BONDS. I WAS NOT AWARE OF ANY COMPLAINT. I LEFT PRU-BACHE IN 2/91 AND HAVE NOT HAD ANY TRANSACTIONS WITH THEM SINCE BEFORE 2/91. NOT PROVIDED

Disclosure 2 of 7

Reporting Source: Regulator

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

Allegations: SUITABILITY; MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$250,000.00



Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #95-02849

Date Notice/Process Served: 08/17/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/07/1996

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Firm

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

Allegations: CUSTOMERS ALLEGE UNSUITABLE AND MISREPRESENTED LIMITED PARTNERSHIPS WITH DAMAGES IN EXCESS OF \$499,000.

Product Type:

Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 95-02849

Date Notice/Process Served: 08/17/1995



Arbitration Pending? No
Disposition: Settled
Disposition Date: 06/07/1996
Firm Statement Not Provided
Not Provided

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED
Allegations: LIMITED PARTNERSHIP WERE NOT SUITABLE FOR CLIENT.
Product Type:
Alleged Damages: \$250,000.00

Customer Complaint Information

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

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 95-02849
Date Notice/Process Served: 08/17/1995
Arbitration Pending? No
Disposition: Settled
Disposition Date: 06/07/1996
Broker Statement NA-BOTH PRUDENTIAL & MYSELF DENY ALL ALLEGATIONS BY CLIENT. PLEASE SEE ATTACHED PLEASE SEE ATTACHED.

Disclosure 3 of 7

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED
Allegations: BRCH OF FIDUCIARY DT; SUITABILITY; MISREPRESENTATION; ACCOUNT RELATED-BREACH OF CONTRACT
Product Type:



Alleged Damages: \$70,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #95-00887

Date Notice/Process Served: 02/24/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/19/1996

Disposition Detail: CASE CLOSED,SETTLED/OTHER SPECIFIC PERFORMANCE, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Firm

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

Allegations: CUSTOMERS ALLEGE FRADULENT MISREPRESENTATION, SUITABILITY, BREACH OF FIDUCIARY DUTY, NEGLIGENT MISREPRESENTATION AND VIOLATIONS OF FEDERAL AND STATE LAWS IN REGARDS TO THEIR LIMITED PARTNERSHIP PURCHASES. CLAIMANTS ALLEGE DAMAGES IN EXCESS OF \$70,000.

Product Type:

Alleged Damages: \$70,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 95-00887

Date Notice/Process Served: 02/24/1995



Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/19/1996

Monetary Compensation Amount: \$24,999.00

Individual Contribution Amount: \$0.00

Firm Statement SETTLEMENT OF \$24,999.00 PAID BY PRUDENTIAL SECURITIES TO [CUSTOMERS]. ACCOUNT EXECUTIVE DID NOT CONTRIBUTE TO THE SETTLEMENT. NOT PROVIDED

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Reporting Source: Individual

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

Allegations: THEY WAS PART OF A CLASS ACTION CLAIM AGAINST PRUDENTIAL AS A FIRM NOT ME AS AN INDIVIDUAL BROKER

Product Type:

Alleged Damages: \$70,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 95-00887

Date Notice/Process Served: 02/24/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/19/1996

Monetary Compensation Amount: \$24,999.00

Individual Contribution Amount: \$0.00

Broker Statement PRUDENTIAL PAID CLIENT. BROKER WAS NOT PART OF SETTLEMENT CLIENT REGISTERED A COMPLAINT BASED ON A PARTNERSHIP THEY PURCHASED WHICH WAS ALREADY INCLUDED IN A



CLASS ACTION SUIT AGAINST PRUDENTIAL. I WAS NOT NAMED IN THE SUIT OR SETTLEMENT. ACCORDING TO MY SOURCE AT PRUDENTIAL THIS WILL NOT AND SHOULD NOT APPEAR ON MY CRD

Disclosure 4 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMERS ALLEGE MISREPRESENTATION AND UNSUITABILITY OF LIMITED PARTNERSHIPS, DAMAGES IN EXCESS OF \$10,000.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: CA; 672822

Date Notice/Process Served: 03/22/1994

Litigation Pending? Yes

Firm Statement Not Provided
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGES MISREPRESENTATION AND UNSUITABILITY OF LIMITED PARTNERSHIPS. DAMAGES IN EXCESS OF \$10,000.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:



Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: CA; 672822

Date Notice/Process Served: 03/22/1994

Litigation Pending? Yes

Broker Statement N/A
Not Provided

Disclosure 5 of 7

Reporting Source: Firm

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

Allegations: CUSTOMERS ALLEGED UNSUITABLE RECOMMENDATIONS OF TWO LIMITED PARTNERSHIPS AND EXCESSIVE TRADING ACTIVITY IN PENSION ACCOUNT. CLIENT SUBSEQUENTLY AMENDED COMPLAINT AND ALLEGED MISMANAGEMENT OF ACCOUNT WITH PARTICULAR EMPHASIS ON EXCESSIVE MUTUAL FUND TRADING ACTIVITY. ALLEGE TOTAL DAMAGES OF /\$137,489.31.

Product Type:

Alleged Damages: \$137,489.31

Customer Complaint Information

Date Complaint Received: 12/01/1992

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$55,000.00

Individual Contribution Amount:

Firm Statement PRUDENTIAL SECURITIES INCORPORATED AND CUSTOMERS SETTLED THIS MATTER FOR BUSINESS PURPOSES AND IN THE INTEREST OF CLIENT RELATIONS, WITHOUT ADMISSION OF LIABILITY FOR \$55,000.00.
Not Provided

Reporting Source: Individual

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

Allegations: ALLEGED UNSUITABLE RECOMMENDATIONS OF TWO LIMITED PARTNERSHIPS AND EXCESSIVE TRADING ACTIVITY IN PENSION



ACCOUNT. CLIENT SUBSEQUENTLY AMENDED COMPLAINT AND ALLEGED MISMANAGEMENT OF ACCOUNT WITH PARTICULAR EMPHASIS ON EXCESSIVE MUTUAL FUND TRADING ACTIVITY. ALLEGE DAMAGES OF \$137,489.31.

Product Type:

Alleged Damages: \$137,489.31

Customer Complaint Information

Date Complaint Received: 12/01/1992

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$55,000.00

Individual Contribution Amount:

Broker Statement PRUDENTIAL SEC. AND CUSTOMERS SETTLED THIS MATTER FOR BUSINESS PURPOSES AND IN THE INTEREST OF CLIENT RELATIONS, WITHOUT ADMISSION OF LIABILITY FOR \$55,000.00.
Not Provided

Disclosure 6 of 7

Reporting Source: Firm

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

Allegations: CUSTOMER ALLEGES COLLECTION OF EXCESSIVE MANAGEMENT FEES AND PRUDENTIAL'S CONFLICT OF INTEREST WITH RESPECT TO SALE OF A LIMITED PARTNERSHIP INVESTMENT AND DAMAGES IN THE AMOUNT OF \$40,000.

Product Type:

Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received: 10/28/1991

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$40,000.00

Individual Contribution Amount:

Firm Statement WITHOUT ADMITTING LIABILITY, CLAIM SETTLED FOR \$40,000 IN EXCHANGE FOR 160 UNITS OF PRUDENTIAL ENERGY INCOME FUND P-26.
Not Provided



Reporting Source: Individual

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

Allegations: THERE ARE NO ALLEGATIONS AGAINST ME. THE CLIENT IS NOT STATING THAT I COMMITTED ANY MISREPRESENTATION & IS PLACING BLAME SOLELY ON PRUDENTIAL FOR THEIR MISMANAGEMENT OF THE PARTNERSHIP'S FUND'S. ALSO, THERE IS A CLASS ACTION SUIT NAMING PRUDENTIAL NOT THE [THIRD PARTY]. ALLEGED DAMAGE \$40,000.00

Product Type:

Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received: 10/28/1991

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$40,000.00

Individual Contribution Amount:

Broker Statement CLAIM SETTLED FOR \$40,000 IN EXCHANGE FOR 160 UNITS OF PRUDENTIAL ENERGY INCOME FUND P-26 [CUSTOMER] FELT THAT PRUDENTIAL, BY NOT PLACING HIS FUNDS INTO THE STATED ASSETS UNTIL JUST PRIOR TO THE DEADLINE OF INVESTING, THAT PRUDENTIAL-NOT ME- HAD A CONFLICT OF INTEREST, SINCE THE INVESTOR'S WOULD HAVE RECEIVED THEIR MONEY BACK. [CUSTOMER] AND I STILL ENJOY A VERY GOOD RELATIONSHIP & HE HAS HIS ENTIRE ACCOUNT WITH ME AT PRESENT ANY CHANGE TO MY U-5 AS A RESULT IS WITHOUT CAUSE.

Disclosure 7 of 7

Reporting Source: Firm

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

Allegations: CLIENT ALLEGED MISREPRESENTATIONS RELATED TO AN INVESTMENT IN TWO(2) LIMITED PARTNERSHIPS. ALLEGED DAMAGES IN EXCESS OF 10,000.00

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/21/1991

Complaint Pending? No

Status: Settled



Status Date:

Settlement Amount: \$14,000.00

Individual Contribution Amount:

Firm Statement SETTLEMENT OF \$14,000.00
Not Provided

Reporting Source: Individual

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

Allegations: ALLEGED MISREPRESENTATION IN 2 LIMITED PARTNERSHIPS. ALLEGED DAMAGES OF \$10,000.00. PLUS

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/21/1991

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$14,000.00

Individual Contribution Amount:

Broker Statement PRUDENTIAL SECURITIES SETTLED WITH CLIENT FOR \$14,000. CLIENT'S ALLEGATIONS ARE INCORRECT AS FAR AS MY MISREPRESENTATION OF THE LIMITED PARTNERSHIPS IN QUESTION. PRUDENTIAL SECURITIES IS THE SUBJECT OF NUMEROUS LAWSUITS & CLASS ACTION SUITS FOR ITS LACK OF DUE DILIGENCE AND CONFLICTS OF INTEREST WHICH AROSE FROM PRUDENTIAL-BACHE'S SPONSORSHIP OF THESE PROGRAMS. PRUDENTIAL CONTINUES TO SETTLE THESE CLAIMS WITHOUT REGARD FOR THE INDIVIDUAL BROKERS WHO, LIKE THE CLIENTS, WERE NOT INFORMED OF MATERIAL FACTS AFFECTING THESE FUNDS.



End of Report

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