IAPD Report

Matthew Alan Lesnikowski

CRD# 1530281

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

User Guidance

www.adviserinfo.sec.gov

Report Summary

Matthew Alan Lesnikowski (CRD# 1530281)

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 **12/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PATRICK CAPITAL MARKETS, LLC	CRD# 16518	10/11/2021
IA	SAXONY CAPITAL MANAGEMENT, LLC	CRD# 122692	01/03/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	SAXONY CAPITAL MANAGEMENT, LLC	122692	Minnetrista, MN	01/07/2022 - 12/31/2024
IA	MORGAN STANLEY INVESTMENT MANAGEMENT INC.	110353	EDEN PRAIRIE, MN	10/21/2014 - 09/07/2021
B	MORGAN STANLEY DISTRIBUTION, INC.	30344	NEW YORK, NY	10/21/2014 - 07/29/2021

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
Regulatory Event	1
Customer Dispute	2
Judgment/Lien	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 **2** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **SAXONY CAPITAL MANAGEMENT, LLC**
Main Address: 11152 S TOWNE SQUARE
SAINT LOUIS, MO 63123
Firm ID#: 122692

	Regulator	Registration	Status	Date
IA	Minnesota	Investment Adviser Representative	Approved	01/03/2025

Branch Office Locations

SAXONY CAPITAL MANAGEMENT, LLC
Minnetrista, MN

Employment 2 of 2

Firm Name: **PATRICK CAPITAL MARKETS, LLC**
Main Address: 11152 SOUTH TOWNE SQUARE
ST LOUIS, MO 63123
Firm ID#: 16518

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/11/2021
B	FINRA	General Securities Sales Supervisor	Approved	10/11/2021
B	California	Agent	Approved	10/12/2021
B	Minnesota	Agent	Approved	10/13/2021

Branch Office Locations

Irvine, CA

Minnetrista, MN

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 3 principal/supervisory exams, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/22/1997

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	12/05/1990
B	General Securities Representative Examination (S7)	Series 7	05/25/1989

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/01/2004
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/13/1995
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/08/1989

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
IA	01/07/2022 - 12/31/2024	SAXONY CAPITAL MANAGEMENT, LLC	CRD# 122692	Minnetrista, MN
IA	10/21/2014 - 09/07/2021	MORGAN STANLEY INVESTMENT MANAGEMENT INC.	CRD# 110353	EDEN PRAIRIE, MN
B	10/21/2014 - 07/29/2021	MORGAN STANLEY DISTRIBUTION, INC.	CRD# 30344	NEW YORK, NY
IA	04/20/2006 - 10/09/2014	PIONEER INSTITUTIONAL ASSET MANAGEMENT, INC.	CRD# 138756	BOSTON, MA
B	07/22/2004 - 10/09/2014	PIONEER FUNDS DISTRIBUTOR, INC.	CRD# 24497	BOSTON, MA
IA	11/04/2004 - 04/20/2006	PIONEER INVESTMENT MANAGEMENT, INC.	CRD# 107719	BOSTON, MA
B	07/01/2003 - 08/11/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	03/17/1997 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	01/01/1997 - 04/02/1997	PRUDENTIAL INVESTMENT MANAGEMENT SERVICES LLC	CRD# 18353	NEWARK, NJ
B	06/14/1989 - 01/01/1997	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2021 - Present	Patrick Capital Markets	Registered Representative	Y	St. Louis, MO, United States
09/2014 - 07/2021	MORGAN STANLEY DISTRIBUTION, INC.	SALES ASSOCIATE	Y	MINNETONKA, MN, United States
09/2014 - 07/2021	MORGAN STANLEY INVESTMENT MANAGEMENT INC.	SALES ASSOCIATE	Y	MINNETONKA, MN, 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) Piedment Capital Distributors, LLC; DBA for Investment-Related Business
2) Menards, Not investment related, 12600 Plaza Drive, Eden Prairie, MN 55344, Home Improvement chain store, Customer Sales/Service, 4/20/2024, 68 hours per month, 0 hours during trading, parttime role assisting customers with the purchase of windows and cabinets. Cleaning and stocking duties.

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*.
  - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - o 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*.
  - o 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.
  - o 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.
  - o A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	2
Judgment/Lien	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	11/20/2003
Docket/Case Number:	C9B030081
Employing firm when activity occurred which led to the regulatory action:	WACHOVIA SECURITIES, LLC
Product Type:	Mutual Fund
Allegations:	NASD CONDUCT RULES 2110 AND 3010 - RESPONDENT MATTHEW ALAN LESNIKOWSKI FAILED TO TAKE APPROPRIATE ACTION TO SUPERVISE AN INDIVIDUAL THAT WAS REASONABLY DESIGNED TO DETECT AND PREVENT THE UNSUITABLE MUTUAL FUND TRANSACTIONS AND ACHIEVE COMPLIANCE WITH APPLICABLE SECURITIES LAWS AND REGULATIONS AND NASD RULES. RESPONDENT LESNIKOWSKI APPROVED THE CLASS B SHARES PURCHASES EXECUTED BY AN INDIVIDUAL. THESE PURCHASES WERE MADE IN VIOLATION OF FIRM POLICY THAT EXPRESSLY REQUIRED PRE-APPROVAL, BY A BRANCH MANAGER, OF MUTUAL FUND TRANSACTIONS OVER $100,000. FURTHERMORE, THESE PURCHASES WERE MADE IN CONTRAVENTION OF A PROHIBITION CONTAINED IN THE FUND PROSPECTUS AGAINST PURCHASES OF CLASS B SHARES OVER $250,000. RESPONDENT LESNIKOWSKI FAILED TO CONSIDER THE CLASS OF MUTUAL FUND PURCHASED WHEN PERFORMING THE SUITABILITY

	REVIEW OF THE TRANSACTIONS. RESPONDENT LESNIKOWSKI'S FAILURE TO SUPERVISE AN INDIVIDUAL IN A REASONABLE AND PROPER MANNER ALLOWED THE INDIVIDUAL TO ENGAGE IN UNSUITABLE TRADING ACTIVITY IN A CUSTOMER'S ACCOUNT.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/27/2004
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT LESNIKOWSKI, CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN A PRINCIPAL OR SUPERVISORY CAPACITY FOR 30 BUSINESS DAYS AND FINED $7,500. THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON SEPTEMBER 7, 2004, AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON OCTOBER 18, 2004. FINES PAID.

Reporting Source:	Firm
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/20/2003
Docket/Case Number:	C9B030081
Employing firm when activity occurred which led to the regulatory action:	WACHOVIA SECURITIES LLC
Product Type:	Mutual Fund(s)
Other Product Type(s):	
Allegations:	NASD CONDUCT RULES 2110 AND 3010 - RESPONDENT MATTHEW ALAN LESNIKOWSKI FAILED TO TAKE APPROPRIATE ACTION TO SUPERVISE AN INDIVIDUAL THAT WAS REASONABLY DESIGNED TO DETECT AND PREVENT THE UNSUITABLE MUTUAL FUND TRANSACTIONS AND ACHIEVE COMPLIANCE WITH APPLICABLE SECURITIES LAWS AND REGULATIONS AND NASD RULES. RESPONDENT LESNIKOWSKI APPROVED THE CLASS B SHARES PURCHASES EXECUTED BY AN INDIVIDUAL. THESE PURCHASES WERE MADE IN VIOLATION OF FIRM POLICY THAT EXPRESSLY REQUIRED PRE-APPROVAL, BY A BRANCH MANAGER, OF MUTUAL FUND TRANSACTIONS OVER $100,000. FURTHERMORE, THESE PURCHASES WERE MADE IN CONTRAVENTION OF A PROHIBITION CONTAINED IN THE FUND PROSPECTUS AGAINST PURCHASES OF CLASS B SHARES OVER

	$250,000. RESPONDENT LESNIKOWSKI FAILED TO CONSIDER THE CLASS OF MUTUAL FUND PURCHASED WHEN PERFORMING THE SUITABILITY REVIEW OF THE TRANSACTIONS. RESPONDENT LESNIKOWSKI'S FAILURE TO SUPERVISE AN INDIVIDUAL IN A REASONABLE AND PROPER MANNER ALLOWED THE INDIVIDUAL TO ENGAGE IN UNSUITABLE TRADING ACTIVITY IN A CUSTOMER'S ACCOUNT.
Current Status:	Final
Resolution:	Settled
Resolution Date:	07/26/2004
Sanctions Ordered:	Monetary/Fine $7,500.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING LIABILITY OR DENYING, FA AGREED TO SETTLE CLAIM BY THE NASD THAT HE FAILED TO SUPERVISE CERTAIN MUTUAL TRANSACTIONS. HE AGREED TO BE SUSPENDED FROM ACTING AS A PRINCIPAL OR IN A SUPERVISORY CAPACITY FOR 30 DAYS AND TO PAY A FINE OF $7,500.00.
Firm Statement	WITHOUT ADMITTING LIABILITY OR DENYING, FA AGREED TO SETTLE CLAIM BY THE NASD THAT HE FAILED TO SUPERVISE CERTAIN MUTUAL TRANSACTIONS. HE AGREED TO BE SUSPENDED FROM ACTING AS A PRINCIPAL OR IN A SUPERVISORY CAPACITY FOR 30 DAYS AND TO PAY A FINE OF $7,500.00.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	ORDER ACCEPTING OFFER OF SETTLEMENT DATED 7/26/04, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OF THE COMPLAINT ORDERED MR. LESNIKOWSKI TO BE SUSPENDED FROM ASSOCIATING WITH ANY NASD MEMBER FIRM IN A PRINCIPAL OR SUPERVISORY CAPACITY FOR A PERIOD OF THIRTY BUSINESS DAYS AND FINED $7,500. THE SANCTIONS IMPOSED SHALL COMMENCE WITH THE OPENING OF BUSINESS ON SEPTEMBER 7, 2004 AND CONCLUDE AT THE CLOSE OF BUSINESS ON OCTOBER 18, 2004.
Date Initiated:	11/20/2003
Docket/Case Number:	C9B030081
Employing firm when activity occurred which led to the regulatory action:	WACHOVIA SECURITIES
Product Type:	Mutual Fund(s)
Other Product Type(s):	
Allegations:	NASD CONDUCT RULES 2110 AND 3010 - RESPONDENT MATTHEW ALAN LESNIKOWSKI FAILED TO TAKE APPROPRIATE ACTION TO SUPERVISE AN INDIVIDUAL THAT WAS REASONABLY DESIGNED TO DETECT AND PREVENT THE UNSUITABLE MUTUAL FUND TRANSACTIONS AND ACHIEVE COMPLIANCE WITH APPLICABLE SECURITIES LAWS AND REGULATIONS AND NASD RULES. RESPONDENT LESNIKOWSKI APPROVED THE CLASS B

	SHARES PURCHASES EXECUTED BY AN INDIVIDUAL. THESE PURCHASES WERE MADE IN VIOLATION OF FIRM POLICY THAT EXPRESSLY REQUIRED PRE-APPROVAL, BY A BRANCH MANAGER, OF MUTUAL FUND TRANSACTIONS OVER $100,000. FURTHERMORE, THESE PURCHASES WERE MADE IN CONTRAVENTION OF A PROHIBITION CONTAINED IN THE FUND PROSPECTUS AGAINST PURCHASES OF CLASS B SHARES OVER $250,000. RESPONDENT LESNIKOWSKI FAILED TO CONSIDER THE CLASS OF MUTUAL FUND PURCHASED WHEN PERFORMING THE SUITABILITY REVIEW OF THE TRANSACTIONS. RESPONDENT LESNIKOWSKI'S FAILURE TO SUPERVISE AN INDIVIDUAL IN A REASONABLE AND PROPER MANNER ALLOWED THE INDIVIDUAL TO ENGAGE IN UNSUITABLE TRADING ACTIVITY IN A CUSTOMER'S ACCOUNT.
Current Status:	Final
Resolution:	Order
Resolution Date:	07/26/2004
Sanctions Ordered:	Monetary/Fine $7,500.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	ORDER ACCEPTING OFFER OF SETTLEMENT DATED 7/26/04, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OF THE COMPLAINT ORDERED MR. LESNIKOWSKI TO BE SUSPENDED FROM ASSOCIATING WITH ANY NASD MEMBER FIRM IN A PRINCIPAL OR SUPERVISORY CAPACITY FOR A PERIOD OF THIRTY BUSINESS DAYS AND FINED $7,500. THE SANCTIONS IMPOSED SHALL COMMENCE WITH THE OPENING OF BUSINESS ON SEPTEMBER 7, 2004 AND CONCLUDE AT THE CLOSE OF BUSINESS ON OCTOBER 18, 2004.

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INCORPORATED
Allegations:	CUSTOMER ALLEGES FAILURE TO SUPERVISE AND INFORM WITH RESPECT TO HIS ACCOUNT
Product Type:	Other
Other Product Type(s):	EQUITY
Alleged Damages:	$104,040.00

Customer Complaint Information

Date Complaint Received:	04/30/2004
Complaint Pending?	No
Status:	Denied
Status Date:	08/10/2004
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THIS MATTER IS DENIED

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INCORPORATED
Allegations:	CUSTOMER ALLEGES FAILURE TO SUPERVISE AND INFORM WITH RESPECT TO HIS ACCOUNT.
Product Type:	Other
Other Product Type(s):	EQUITIES
Alleged Damages:	$104,040.00

Customer Complaint Information

Date Complaint Received:	04/30/2004
Complaint Pending?	No
Status:	Denied
Status Date:	08/10/2004

Settlement Amount:

Individual Contribution Amount:

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INCORPORATED
Allegations:	CUSTOMER ALLEGES FAILURE TO SUPERVISE AND INFORM WITH RESPECT TO HIS ACCOUNT
Product Type:	Other
Other Product Type(s):	EQUITY
Alleged Damages:	$104,040.00

Customer Complaint Information

Date Complaint Received:	04/30/2004
Complaint Pending?	No
Status:	Denied
Status Date:	08/10/2004
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INCORPORATED
Allegations:	CUSTOMER ALLEGES FAILURE OF SUPERVISION WITH RESPECT TO HIS ACCOUNT
Product Type:	Other
Other Product Type(s):	EQUITY
Alleged Damages:	$93,000.00

Customer Complaint Information

Date Complaint Received:	04/23/2004
Complaint Pending?	No
Status:	Denied
Status Date:	08/10/2004
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THIS MATTER IS DENIED

Reporting Source: Firm

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

Allegations: CUSTOMER ALLEGES FAILURE OF SUPERVISION WITH RESPECT TO HIS ACCOUNT

Product Type: Other

Other Product Type(s): EQUIT

Alleged Damages: $93,000.00

Customer Complaint Information

Date Complaint Received: 04/23/2004

Complaint Pending? No

Status: Denied

Status Date: 08/10/2004

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

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

Allegations: CUSTOMER ALLEGES FAILURE OF SUPERVISION WITH RESPECT TO HIS ACCOUNT

Product Type: Other

Other Product Type(s): EQUITY

Alleged Damages: $93,000.00

Customer Complaint Information

Date Complaint Received: 04/23/2004

Complaint Pending? No

Status: Denied

Status Date: 08/10/2004

Settlement Amount:

Individual Contribution Amount:

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	$118,203.61
Judgment/Lien Type:	Tax
Date Filed with Court:	05/07/2019
Date Individual Learned:	05/10/2019
Type of Court:	Recorder Office
Name of Court:	County Recorder Hennepin
Location of Court:	Minneapolis, MN
Docket/Case #:	Serial No: 354203819
Judgment/Lien Outstanding?	Yes

End of Report

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