



IAPD Report

Jeffrey L. Atkinson

CRD# 1679474

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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

Jeffrey L. Atkinson (CRD# 1679474)

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 **01/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	07/09/1997
IA	EDWARD JONES	CRD# 250	01/23/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **34** 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	PRUCO SECURITIES CORPORATION	5685	NEWARK, NJ	07/02/1987 - 07/30/1997

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	9
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 **34** 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	09/04/1997
B FINRA	Invest. Co and Variable Contracts	Approved	01/18/2002
B NYSE American LLC	General Securities Representative	Approved	09/13/2011
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	09/26/1997
B Alabama	Agent	Approved	09/13/2016
B Arizona	Agent	Approved	12/22/2011
B California	Agent	Approved	08/29/2008
B Colorado	Agent	Approved	01/07/2014
B Connecticut	Agent	Approved	01/10/2020
B Florida	Agent	Approved	03/24/2006
B Georgia	Agent	Approved	03/09/2010
B Idaho	Agent	Approved	12/11/2014



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	10/25/2005
B Indiana	Agent	Approved	10/20/1997
B Iowa	Agent	Approved	12/26/2013
B Kentucky	Agent	Approved	04/07/1998
B Louisiana	Agent	Approved	01/19/2007
B Maine	Agent	Approved	07/23/2019
B Maryland	Agent	Approved	04/12/2011
B Massachusetts	Agent	Approved	06/03/2014
B Michigan	Agent	Approved	12/21/2011
B Minnesota	Agent	Approved	09/16/2009
B Mississippi	Agent	Approved	12/18/2008
B Missouri	Agent	Approved	09/19/2019
B Nevada	Agent	Approved	05/09/2017
B New Jersey	Agent	Approved	12/03/2024
B New York	Agent	Approved	10/03/2007
B North Carolina	Agent	Approved	02/05/2009
B Ohio	Agent	Approved	07/31/1997
IA Ohio	Investment Adviser Representative	Approved	01/23/2007
B Oklahoma	Agent	Approved	01/10/2018



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	04/14/2016
B Tennessee	Agent	Approved	12/23/2009
B Texas	Agent	Approved	03/29/2017
IA Texas	Investment Adviser Representative	Restricted Approval	03/06/2019
B Virginia	Agent	Approved	10/13/2005
B Washington	Agent	Approved	06/23/2016
B West Virginia	Agent	Approved	02/05/2018
B Wisconsin	Agent	Approved	12/08/2015
B Wyoming	Agent	Approved	02/03/2026

Branch Office Locations

EDWARD JONES
505 WEST LOVELAND AVE
LOVELAND, OH 45140

EDWARD JONES
Maineville, OH



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 1 state securities law exam.

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
General Securities Representative Examination (S7)	Series 7	08/11/1997
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/12/1987

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	08/14/1997
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	07/02/1987 - 07/30/1997	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

EMPLOYMENT HISTORY

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

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/1997 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	LOVELAND, OH, 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.

JACMA LLC
 Type of business: Real Estate
 Loveland, OH
 Start date: 11/22/2017
 Partner
 Hours per week: 0
 Hours during trading: 0
 Maintain property.



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
Regulatory Event	1
Customer Dispute	9
Termination	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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Date Initiated:	10/19/2001
Docket/Case Number:	C8B010026
Employing firm when activity occurred which led to the regulatory action:	PRUCO SECURITIES CORPORATION
Product Type:	
Allegations:	NASD RULES 2110 AND 3040 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE ENGAGED IN PRIVATE SECURITIES TRANSACTIONS AWAY FROM HIS MEMBER FIRM AND FAILED TO PROVIDE HIS FIRM WITH DETAILED WRITTEN NOTICE OF THE TRANSACTIONS, HIS ROLE THEREIN, AND TO RECEIVE PERMISSION FROM THE FIRM TO ENGAGE IN THE TRANSACTIONS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/19/2001
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement



Regulator Statement Suspension
FINED \$5,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 60 DAYS, AND REQUIRED TO DISGORGE \$5,812.03, PLUS INTEREST, IN COMMISSIONS TO PUBLIC CUSTOMERS. THE FINE SHALL BE DUE AND PAYABLE PRIOR TO REASSOCIATION FOLLOWING THE SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION, WHICHEVER IS EARLIER. SATISFACTORY PROOF OF PAYMENT OF DISGORGEMENT, PLUS INTEREST, SHALL BE A PREREQUISITE FOR REASSOCIATION FOLLOWING THE SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION, WHICHEVER IS EARLIER. ANY UNDISTRIBUTED DISGORGEMENT AND INTEREST SHALL BE FORWARDED TO THE APPROPRIATE ESCHEAT, UNCLAIMED PROPERTY, OR ABANDONED PROPERTY FUND FOR THE STATE IN WHICH THE CUSTOMER LAST RESIDED. SUSPENSION EFFECTIVE NOVEMBER 19, 2001 TO CLOSE OF BUSINESS JANUARY 17, 2002. FINES PAID 01/15/2002.

Reporting Source: Individual

Regulatory Action Initiated By: NASD REGULATION, INC.. CASE NO: C8B010026

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: FINE AND DISGORGEMENT OF COMMISSIONS PLUS INTEREST

Date Initiated: 08/20/2001

Docket/Case Number: EXAM NO E8B000388

Employing firm when activity occurred which led to the regulatory action: PRUCO SECURITIES CORPORATION

Product Type: Other

Other Product Type(s):

Allegations: IN JUNE 1997, MR. ATKINSON SOLD ONE CANKO ENVIRONMENTAL TECHNOLOGIES, I NC. PROMISSORY NOTE, A SECURITIES PRODUCT, TO ONE CUSTOMER AWAY FROM HIS MEMBER FIRM. IN JUNE 1997, MR. ATKINSON SOLD ONE AUTO SHUTTER, INC. PROMISSORY NOTE, A SECURITIES PRODUCT, TO ONE CUSTOMER AWAY FROM HIS MEMBER FIRM. BETWEEN FEBRUARY 1997 AND JUNE 1997, MR. ATKINSON SOLD FOUR WORLD VISION ENTERTAINMENT, INC. PROMISSORY NOTES, A SECURITIES PRODUCT, TO FOUR CUSTOMERS AWAY FROM HIS MEMBER FIRM. IN CONNECTION WITH EACH AND ALL OF THESE TRANSACTIONS, MR. ATKINSON FAILED TO PROVIDE HIS FIRM WITH DETAILED WRITTEN NOTICE OF THE TRANSACTION AND HIS ROLE THEREIN, AND TO RECEIVE PERMISSION FROM THE FIRM TO ENGAGE IN THE TRANSACTION, ALL IN VIOLATION OF NASD CONDUCT RULE 3040 AND 2110.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Resolution Date: 10/17/2001

Sanctions Ordered: Disgorgement/Restitution
Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: MR. ATKINSON HAS A SIXTY (60) DAY SUSPENSION FROM ASSOCIATING WITH ANY MEMBER OF THE NASD IN ANY CAPACITY. SUSPENSION IS EXPECTED TO BEGIN ON 11/15/01. HE IS ALSO REQUIRED TO PAY A FINE OF \$5,000.00 AND DISGORGEMENT OF COMMISSIONS IN THE TOTAL AMOUNT OF \$5,812.03 TO THE FIVE CUSTOMERS INVOLVED WITH THE SIX TRANSACTIONS, WHICH, IF APPROVED BY THE NASDR STAFF AND THE NATIONAL ADJUDICATORY COUNCIL, WILL BE PAID IN INSTALLMENTS.

Broker Statement ON 10/17/01, THE NASD REGULATION INC. ACCEPTED A LETTER OF ACCEPTANCE, WAIVER AND CONSENT FROM JEFFREY LEE ATKINSON. IN THE AWC, MR. ATKINSON ACCEPTED AND CONSENTED, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, TO THE FINDINGS BY NASD REGULATION INC. THAT DURING THE PERIOD BETWEEN FEBRUARY 1997 AND JUNE 1997, MR. ATKINSON SOLD SIX PROMISSORY NOTES TO CUSTOMERS WITHOUT NOTIFYING OR RECEIVING THE PERMISSION OF PRUCO SECURITIES CORPORATION, A MEMBER FIRM AND HIS EMPLOYER DURING THAT PERIOD. THE NASD REGULATION INC. FOUND THAT MR. ATKINSON'S ACTIONS VIOLATED NASD CONDUCT RULES 3040 AND 2110. THE SANCTION MR. ATKINSON CONSENTED TO IN THE AWC WERE A SIXTY (60) DAY SUSPENSION FROM ASSOCIATING WITH ANY MEMBER OF THE NASD IN ANY CAPACITY, A FINE OF \$5,000.00 AND DISGORGEMENT OF COMMISSIONS IN THE TOTAL AMOUNT OF \$5,812.03 TO THE FIVE CUSTOMERS INVOLVED WITH THE SIX TRANSACTIONS.



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 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD D. JONES & CO., L.P.

Allegations: The client alleges the financial advisor failed to follow his instructions to put "circuit breakers" in his account if the value fell more than 5%, investments would be sold. The client alleges has lost approximately \$140,000.00 year to date.

Product Type: Other: Miscellaneous

Alleged Damages: \$140,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/09/2022

Complaint Pending? No

Status: Denied

Status Date: 06/24/2022

Settlement Amount:

Individual Contribution Amount:

Broker Statement Based on the firm's review, the client's claim was denied.

Disclosure 2 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT CLAIMS THE PACIFIC LIFE VARIABLE ANNUITY ISSUED ON JUNE 24, 2014 IS NOT SUITABLE. LOSSES EXCEED \$5000.00 FILING REQUIRED.

Product Type: Annuity-Variable

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): THE ALLEGED AMOUNT IS \$5000.00 OR MORE.



Is this an oral complaint? No
 Is this a written complaint? Yes
 Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/23/2014
 Complaint Pending? No
 Status: Denied
 Status Date: 01/09/2015
 Settlement Amount: \$0.00
 Individual Contribution Amount: \$0.00

Broker Statement AFTER COMPLETION OF THE FIRM'S INVESTIGATION INTO CLIENT'S ALLEGATIONS, CLAIM WAS DENIED.

Disclosure 3 of 9

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT JEFFREY L. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY WORLD VISION ENTERTAINMENT, INC. WORLD VISION IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 06/18/2001
 Complaint Pending? No
 Status: Settled
 Status Date: 07/17/2001
 Settlement Amount: \$31,602.59
 Individual Contribution Amount: \$0.00

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

PRUCO SECURITIES

Allegations:

CUSTOMER COMPLAINT FROM PREVIOUS FIRM: THE CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT MR. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY WORLD VISION ENTERTAINMENT, INC. WORLD VISION IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type:

No Product

Alleged Damages:

\$0.00

Customer Complaint Information

Date Complaint Received: 06/18/2001

Complaint Pending? No

Status: Settled

Status Date: 07/17/2001

Settlement Amount: \$31,602.59

Individual Contribution Amount: \$0.00

Broker Statement SETTLED FOR \$31,602.59.

Disclosure 4 of 9

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

PRUCO SECURITIES

Allegations:

THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT JEFFREY L. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY AMERITECH PETROLEUM, INC. AMERITECH IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type:

No Product

Alleged Damages:

\$0.00

Customer Complaint Information

Date Complaint Received: 08/22/2001



Complaint Pending? No
Status: Settled
Status Date: 10/29/2001
Settlement Amount: \$20,000.00
Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER COMPLAINT FROM PREVIOUS FIRM: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT MR. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY AMERITECH PETROLEUM, INC. AMERITECH IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 08/22/2001

Complaint Pending? No

Status: Settled

Status Date: 10/29/2001

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED FOR \$20,000.00.

Disclosure 5 of 9

Reporting Source: Firm

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

Allegations: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT JEFFREY L. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY WORLD VISION ENTERTAINMENT, INC. WORLD VISION IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED



THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 06/22/2001

Complaint Pending? No

Status: Settled

Status Date: 07/30/2001

Settlement Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

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

Allegations: CUSTOMER COMPLAINT FROM PREVIOUS FIRM: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT MT. ARKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY WORLD VISION ENTERTAINMENT, INC. WORLD VISION IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 06/22/2001

Complaint Pending? No

Status: Settled

Status Date: 07/30/2001

Settlement Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED FOR \$15,000.00



Disclosure 6 of 9

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT JEFFREY L. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY WORLD VISION ENTERTAINMENT, INC. WORLD VISION IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/31/2001
Complaint Pending? No
Status: Settled
Status Date: 10/29/2001
Settlement Amount: \$24,000.00
Individual Contribution Amount: \$0.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: CUSTOMER COMPLAINT FROM PREVIOUS FIRM: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT MR. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY WORLD VISION ENTERTAINMENT, INC. WORLD VISION IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/13/2001
Complaint Pending? No



Status: Settled
Status Date: 10/29/2001
Settlement Amount: \$24,000.00
Individual Contribution Amount: \$0.00
Broker Statement SETTLED FOR \$24,000.00.

Disclosure 7 of 9

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT JEFFREY L. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY LIFE BLOOD BIOMEDICAL, INC. LIFE BLOOD IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/10/2001
Complaint Pending? No
Status: Settled
Status Date: 07/31/2001
Settlement Amount: \$12,665.00
Individual Contribution Amount: \$0.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: CUSTOMER COMPLAINT FROM PREVIOUS FIRM: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT MR. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY LIFE BLOOD BIOMEDICAL, INC. LIFE BLOOD IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF



LIABILITY BY PRUDENTIAL. THE CLAIMANTS ASSIGNED ALL CLAIMS THEY HAVE AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/10/2001
Complaint Pending? No
Status: Settled
Status Date: 07/31/2001
Settlement Amount: \$12,665.00
Individual Contribution Amount: \$0.00

Disclosure 8 of 9

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT JEFFREY L. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY ALUMALEX, INC. ALUMALEX IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER FOR \$13,750.00 PRIOR TO LITIGATION. THE CLAIMANT ASSIGNED ALL CLAIMS HE HAS AGAINST THE AGENT TO PRUDENTIAL.

Product Type: No Product
Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/09/2001
Complaint Pending? No
Status: Settled
Status Date: 02/14/2002
Settlement Amount: \$13,750.00
Individual Contribution Amount: \$0.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: CUSTOMER COMPLAINT FROM PREVIOUS FIRM: THIS MATTER WAS A PRELITIGATION DEMAND ALLEGING THAT MR. ATKINSON SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES



ISSUED BY ALUMALEX, INC IN THE AMOUNT OF \$11,910.71. ALUMALEX IS NOT A PRUDENTIAL PRODUCT.

Product Type: No Product
Alleged Damages: \$11,910.71

Customer Complaint Information

Date Complaint Received: 08/09/2001
Complaint Pending? No
Status: Settled
Status Date: 02/14/2002
Settlement Amount: \$13,750.00
Individual Contribution Amount: \$0.00
Broker Statement SETTLED FOR \$13,750.00.

Disclosure 9 of 9

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT INDICATES HE WOULD LIKE TO "GET OUT OF" THE FORTIS ANNUITY PURCHASED THROUGH HIS ACCOUNT. STATES HE WAS LED TO BELIEVE BECAUSE HE WAS OVER THE AGE OF 65, RESTRICTIONS ASSOCIATED WITH WITHDRAWALS WOULD NOT APPLY TO HIM. IN ADDITION, MAKES ALLEGATIONS REGARDING THE SUITABILITY OF THE INVESTMENT FOR A PERSON WHO IS 80 YEARS OLD CONSIDERING THE MAINTENANCE COSTS, COMMISSIONS, ETC. LOSSES OF APPROXIMATELY \$40,000.00.

Product Type: Annuity(ies) - Variable
Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received: 07/26/2001
Complaint Pending? No
Status: Closed/No Action
Status Date: 09/25/2001
Settlement Amount:
Individual Contribution Amount:
Broker Statement ATKINSON INDICATED HE MADE THE CLIENT AWARE OF THE FEATURES OF THE ANNUITY AND THE CLIENT RECEIVED THE ANNUITY CONTRACT. THE CONTRACT DOES



DISCLOSE ALL FEATURES OF THE ANNUITY CONTRACT INCLUDING WITHDRAWALS FROM THE ANNUITY AND PROVIDES A PROSPECTUS WHICH DISCLOSES INFORMATION ON THE VARIOUS SUB-ACCOUNTS WITHIN THE ANNUITY. BASED ON THE CLIENTS CONCERNS, HOWEVER, AN OFFER WAS CONVEYED TO WAIVE ANY CONTINGENT DEFERRED SALES CHARGES (CDSC) WHICH WOULD APPLY IF THE CLIENT ELECTED TO CANCEL THE ANNUITY CONTRACT. OUR OFFER WAS DECLINED BY THE CLIENT AND THE CLIENT HAS INDICATED HE IS HOLDING THE ANNUITY INVESTMENT.



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: PRUCO SECURITIES CORPORATION

Termination Type: Permitted to Resign

Termination Date: 07/04/1997

Allegations: N/A
THE COMPANY INITIATED AN INVESTIGATION INTO FORMER REPRESENTATIVE ATKINSON FOLLOWING THE RECEIPT OF AN ANONYMOUS TELEPHONE CALL BEING PLACED TO THE COMPANY'S ETHICS HOTLINE. THE CALLER ALLEGED THAT I WAS LICENSED WITH AND SELLING FOR ANOTHER INSURANCE COMPANY.

Product Type:

Other Product Types:

Broker Statement AS A RESULT OF THE COMPANY'S INVESTIGATION, IT WAS DETERMINED THAT I FAILED TO DISCLOSE ALL OF MY OUTSIDE BUSINESS AFFILIATIONS ON MY U-4 FORM. I WAS NOT AWARE OF THIS INTERNAL REVIEW UNTIL AFTER I HAD LEFT PRUDENTIAL, AND WAS HIRED BY EDWARD JONES.



End of Report

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