IAPD Report

ROBERT ANTHONY BOLEBRUCH

CRD# 1777060

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

ROBERT ANTHONY BOLEBRUCH (CRD# 1777060)

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 **06/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	01/27/2026
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	01/27/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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	OSAIC WEALTH, INC.	23131	Garden City, NY	10/11/2024 - 02/02/2026
IA	OSAIC WEALTH, INC.	23131	Garden City, NY	10/11/2024 - 02/02/2026
IA	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	08/28/2009 - 10/11/2024

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **25** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245

Firm ID#: 13572

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/27/2026
B	FINRA	General Securities Representative	Approved	01/27/2026
B	Alaska	Agent	Approved	02/02/2026
B	Arizona	Agent	Approved	02/13/2026
B	California	Agent	Approved	01/28/2026
B	Colorado	Agent	Approved	02/02/2026
B	Connecticut	Agent	Approved	02/02/2026
B	Delaware	Agent	Approved	01/30/2026
B	Florida	Agent	Approved	01/28/2026
B	Georgia	Agent	Approved	01/28/2026
B	Illinois	Agent	Approved	02/03/2026
B	Maine	Agent	Approved	02/02/2026
B	Maryland	Agent	Approved	02/05/2026

Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	01/29/2026
B	Michigan	Agent	Approved	06/25/2026
B	New Jersey	Agent	Approved	02/02/2026
B	New Mexico	Agent	Approved	02/02/2026
B	New York	Agent	Approved	01/30/2026
B	North Carolina	Agent	Approved	02/09/2026
B	Ohio	Agent	Approved	01/27/2026
B	Oregon	Agent	Approved	02/13/2026
B	Pennsylvania	Agent	Approved	02/02/2026
B	South Carolina	Agent	Approved	02/06/2026
B	Texas	Agent	Approved	02/03/2026
B	Vermont	Agent	Approved	02/02/2026
B	Virginia	Agent	Approved	02/02/2026
B	Wisconsin	Agent	Approved	01/28/2026

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
320 Old Country Road suite 203
Garden City, NY 11530

Employment 2 of 2

Firm Name:	**CETERA INVESTMENT ADVISERS LLC**
Main Address:	1450 AMERICAN LANE 6TH FLOOR, SUITE 650 SCHAUMBURG, IL 60173-2096

Qualifications

Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	01/27/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	02/03/2026

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
320 Old Country Road
Suite 203
Garden City, NY 11530

Qualifications

PASSED INDUSTRY EXAMS

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

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/20/1998

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/20/1988

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	08/23/2009
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/11/1988

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	10/11/2024 - 02/02/2026	OSAIC WEALTH, INC.	CRD# 23131	Garden City, NY
IA	10/11/2024 - 02/02/2026	OSAIC WEALTH, INC.	CRD# 23131	Garden City, NY
IA	08/28/2009 - 10/11/2024	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	02/18/2009 - 10/11/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	Garden City, NY
B	08/28/1996 - 03/13/2009	SANDGRAIN SECURITIES, INC.	CRD# 26004	GARDEN CITY, NY
B	05/01/1990 - 08/23/1996	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	03/08/1988 - 04/30/1990	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	02/23/1988 - 03/07/1988	L. F. ROTHSCHILD & CO. INCORPORATED	CRD# 501	

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
02/2026 - Present	North Ridge Wealth Planning	Financial Professional	Y	EL SEGUNDO, CA, United States
01/2026 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
01/2026 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
10/2024 - 01/2026	OSAIC WEALTH, INC.	Mass Transfer	Y	SCOTTSDALE, AZ, United States
02/2009 - 10/2024	AMERICAN PORTFOLIOS	REGISTERED REPRESENTATIVE	Y	ROCKVILLE CENTRE, NY, 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 OTHER BUSINESS: NORTH RIDGE WEALTH PLANNING
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: FINANCIAL SERVICES,
START DATE: 02/02/2026,
POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL
APX NUMBER OF HOURS PER WEEK: 40,
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5,
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
    - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
    - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

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

DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 4

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INCORPORATED
Allegations:	BRCH OF FIDUCIARY DT; UNAUTHORIZED TRADING; CHURNING; ACCOUNT RELATED - FAILURE TO SUPERVISE
Product Type:	
Alleged Damages:	$150,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #97-03813
Date Notice/Process Served:	08/26/1997
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/11/1998
Disposition Detail:	CASE IS CLOSED, SETTLED *****CASE SETTLED*****

Reporting Source:	Firm

Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INCORPORATED
Allegations:	CLAIMANT ALLEGES UNAUTHORIZED TRADING, CHURNING, EXCESSIVE MARGIN AND OVERCONCENTRATION IN GNMAS WITH ALLEGED COMPENSATORY DAMAGES OF APPROXIMATELY $150,000.00
Product Type:	
Alleged Damages:	$150,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/11/1998
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 97-03813
Date Notice/Process Served:	08/26/1997
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/11/1998
Monetary Compensation Amount:	$20,000.00
Individual Contribution Amount:	
Firm Statement	CLAIMANT, [CUSTOMER] DISMISSED ALL CLAIMS AGAINST FA ROBERT BOLEBRUCH. NOT PROVIDED

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INCORPORATED
Allegations:	DISMISSED 9/15/1998-CLAIMANT- [CUSTOMER] DISMISSED ALL CLAIMS AGAINST F.A. ROBERT A. BOLEBRUCH.
Product Type:	
Alleged Damages:	$150,000.00

Customer Complaint Information

Date Complaint Received:	

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/11/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 97-03813

Date Notice/Process Served: 08/26/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/11/1998

Monetary Compensation Amount: $20,000.00

Individual Contribution Amount:

Broker Statement I AM REQUESTING THAT [CUSTOMER'S] CLAIM #97-03813 BE SWITCHED TO NON-REPORTING STATUS. THIS CLAIM WAS DISMISSED ON SEPTEMBER 15, 1998 WILL ALL CLAIMS AGAINST ME ALSO DISMISSED. [CUSTOMER'S] WAS DISMISSED DUE TO THE EVIDENCE. [SETTLED FOR $20,000]
[CUSTOMER'S] OWN COPIES SHOWED THAT HE WAS AND CONTINUE TO BE A SOFISTICATED INVESTOR IN 6-8 RACE HORSES, WITH AN AVERAGE INCOME EXCEEDING $250,000, VARIOUS REAL ESTATE DEALS AND VARIOUS BROKERAGE ACCOUNTS ALL USING MARGIN.

Disclosure 2 of 4

Reporting Source: Individual

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

Allegations: UNAUTHORIZED TRADE, CHURNING, FAILURE TO FOLLOW DIRECTIONS, UNSUITABILITY

Product Type:

Alleged Damages: $110,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/05/1995

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NEW YORK STOCK EXCHANGE; 94-4444
Date Notice/Process Served:	01/01/1995
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/05/1995
Monetary Compensation Amount:	$15,000.00
Individual Contribution Amount:	
Broker Statement	[CUSTOMER] DISMISSED ROBERT BOLEBRUCH FROM THE CASE WITHOUT LIABILITY. PRUDENTIAL SETTLED WITH [CUSTOMER] FOR $15,000. DROPING ME WAS PART OF THE SETTLEMENT. I HAVE REQUESTED THE RELEASE FROM PRUDENTIAL SECURITIES. PRIOR TO THE ARBITRATION, [CUSTOMER] BROUGHT AN ACTION AGAINST SMITH BARNEY FOR THE SAME TYPE OF TRADING. [CUSTOMER'S] ACCOUNT WAS TRADED BY HER HUSBAND [SPOUSE] WHO HAD A POFI FOR THE ACCOUNT. [SPOUSE] IS A FINANCIAL CONSULTANT. HOLDS A SECURITY LICENSE & HAS PUBLISHED SEVERAL OPTION STRATEGIES.

Disclosure 3 of 4

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES, INC.
Allegations:	SUITABILITY; CHURNING
Product Type:	
Alleged Damages:	$150,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #93-04052
Date Notice/Process Served:	11/29/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/14/1994
Disposition Detail:	CASE IS CLOSED, SETTLED Not Provided

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES, INC.
Allegations:	CUSTOMER [CUSTOMER] ALLEGED MISREPRESENTATION, UNSUITABLILITY, AND UNAUTHORIZED TRADES INVOLVING PURCHASE AND SALE OF MUNICIPAL BONDS AND MUTUAL FUNDS WITH ALLEGED DAMAGES OF $150,000.00.
Product Type:	
Alleged Damages:	$150,000.00

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.; 93-04052
Date Notice/Process Served:	11/29/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/14/1994
Monetary Compensation Amount:	$57,000.00
Individual Contribution Amount:	
Broker Statement	CASE WAS SETTLED FOR $57,000. I AGREED TO SETTLE THIS CASE BASED ON [CUSTOMER'S] CLAIM. EXCEPT FOR THE ALLEGED CLAIM OF UNAUTHORIZED TRADING. I HAVE NEVER DONE AN UNAUTHORIZED TRADE IN [CUSTOMER'S] OR ANYONE ELSES ACCOUNT. I STRONGLY DENY ANY SUCH ACCUSATION TO THAT EFFECT. I WROTE MY ABOVE STATEMENT ORIGINALLY ON 8/1/94 AND WAS TOLD THAT IT WOULD BE ENTERED AS SUCH. I WAS ALSO TOLD TO SETTLE THIS CASE BY PRUDENTIAL ADVICE.

Disclosure 4 of 4

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

Allegations: SUITABILITY; CHURNING; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: $75,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #93-01282

Date Notice/Process Served: 04/23/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/05/1994

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

Reporting Source: Individual

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

Allegations: WIFE AND EXECUTOR OF SEATE OF [THIRD PARTY]
BROUGHT ARBITRATION CLAIM ALLEGING UNAUTHORIZED, UNSUITABLE AND
EXCESSIVE. TRADING IN [THIRD PARTY] ACCOUNT. WITH ALLEGED DAMAGES OF $75,000.00.

Product Type:

Alleged Damages: $75,000.00

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.; 93-01282

Date Notice/Process Served:	04/23/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/05/1994
Monetary Compensation Amount:	$12,000.00
Individual Contribution Amount:	
Broker Statement	CASE WAS SETTLED FOR $12,000.00 ONLY TO AVOID THE COSTS ASSOCIATED WITH LITIGATING MATTER OVER SEVERAL DAYS IN CLEVELAND, OH. CASE WAS SETTLED FOR $12,000.00 ONLY TO AVOID THE COSTS ASSOCIATED WITH LITIGATING MATTER OVER SEVERAL DAYS IN CLEVELAND, OH. I AGREED TO THE SETTLEMENT OF THIS CASE BY PRUDENTIAL SEC. BUT NOT TO THE ACCUSATION BY THE [THIRD PARTY] ESTATE. EACH TRADE IN THIS ACCOUNT WAS DISCUSSEDM REASONABLE AND SUITABLE FOR WHAT [THIRD PARTY] INTENDED THEM TO BE. HE WAS MY FRIEND AND MY CLIENT. HIS SONS ACCUSATIONS WERE AND ARE WITHOUT MERIT. PRUDENTIAL SETTLED THIS CASE, AS I WAS TOLD IT WAS A FORM OF PROFESSIONAL COURTESY BETWEEN THE ATTORNEYS.

End of Report

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