



IAPD Report

MICHAEL KENNETH SELF

CRD# 2246403

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 8
Disclosure Information	9

i 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

MICHAEL KENNETH SELF (CRD# 2246403)

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 **03/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	12/09/2020
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/21/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **39** 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	CETERA ADVISORS LLC	10299	GREENWOOD VILLAGE, IL	12/09/2020 - 03/21/2024
IA	FIRST FINANCIAL EQUITY CORPORATION	16507	SCOTTSDALE, AZ	01/24/2005 - 01/05/2021
B	FIRST FINANCIAL EQUITY CORPORATION	16507	SCOTTSDALE, AZ	01/21/2005 - 01/04/2021

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
Customer Dispute	9



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 **39** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA ADVISORS LLC**
Main Address: 5299 DTC BLVD #800
GREENWOOD VILLAGE, CO 80111
Firm ID#: 10299

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/09/2020
B	Arizona	Agent	Approved	12/16/2020
B	California	Agent	Approved	12/10/2020
B	Colorado	Agent	Approved	01/13/2021
B	Connecticut	Agent	Approved	12/17/2020
B	Delaware	Agent	Approved	12/18/2020
B	District of Columbia	Agent	Approved	12/21/2020
B	Florida	Agent	Approved	12/10/2020
B	Georgia	Agent	Approved	12/18/2020
B	Hawaii	Agent	Approved	12/17/2020
B	Idaho	Agent	Approved	12/19/2023
B	Illinois	Agent	Approved	12/17/2020
B	Indiana	Agent	Approved	01/05/2021



Qualifications

Regulator	Registration	Status	Date
B Iowa	Agent	Approved	12/17/2020
B Kansas	Agent	Approved	12/11/2020
B Maine	Agent	Approved	01/27/2021
B Maryland	Agent	Approved	12/10/2020
B Massachusetts	Agent	Approved	01/08/2021
B Michigan	Agent	Approved	01/05/2021
B Minnesota	Agent	Approved	01/06/2021
B Missouri	Agent	Approved	01/19/2021
B Montana	Agent	Approved	12/10/2020
B Nebraska	Agent	Approved	12/22/2020
B Nevada	Agent	Approved	01/04/2021
B New Hampshire	Agent	Approved	12/18/2020
B New Jersey	Agent	Approved	12/22/2020
B New Mexico	Agent	Approved	12/18/2020
B New York	Agent	Approved	12/19/2020
B North Carolina	Agent	Approved	01/04/2021
B Ohio	Agent	Approved	01/05/2021
B Oklahoma	Agent	Approved	03/23/2026
B Oregon	Agent	Approved	12/16/2020



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	12/10/2020
B Rhode Island	Agent	Approved	12/10/2020
B Tennessee	Agent	Approved	03/18/2025
B Texas	Agent	Approved	12/14/2020
B Utah	Agent	Approved	12/09/2020
B Virginia	Agent	Approved	01/12/2021
B Washington	Agent	Approved	01/05/2021
B Wisconsin	Agent	Approved	01/11/2021

Branch Office Locations

CETERA ADVISORS LLC
 7025 N SCOTTSDALE RD STE 115 & 110
 SCOTTSDALE, AZ 85253

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
 Main Address: 1450 AMERICAN LANE
 6TH FLOOR, SUITE 650
 SCHAUMBURG, IL 60173-2096
 Firm ID#: 105644

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	03/21/2024
IA Texas	Investment Adviser Representative	Restricted Approval	03/21/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
 7025 N SCOTTSDALE RD STE 115 and 110
 SCOTTSDALE, AZ 85253



Qualifications



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
--	-----	------------

General Securities Representative Examination (S7)	Series 7	07/10/1992
--	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Investment Adviser Law Examination (S65)	Series 65	09/27/1996
--	-----------	------------

Uniform Securities Agent State Law Examination (S63)	Series 63	07/16/1992
--	-----------	------------

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
IA	12/09/2020 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	GREENWOOD VILLAGE
IA	01/24/2005 - 01/05/2021	FIRST FINANCIAL EQUITY CORPORATION	CRD# 16507	SCOTTSDALE, AZ
B	01/21/2005 - 01/04/2021	FIRST FINANCIAL EQUITY CORPORATION	CRD# 16507	SCOTTSDALE, AZ
B	01/14/1999 - 01/27/2005	PIPER JAFFRAY & CO.	CRD# 665	MINNEAPOLIS, MN
B	07/13/1992 - 12/21/1998	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
03/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
12/2020 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	ST CLOUD, MN, United States
12/2020 - Present	SELF WEALTH MANAGEMENT	OWNER	Y	SCOTTSDALE, AZ, United States
01/2005 - 12/2020	FIRST FINANCIAL EQUITY CORP	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, 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.

(1) FIXED INSURANCE WITH VARIOUS COMPANIES, INVESTMENT RELATED, SAME AS REGISTERED LOCATION, FIXED INSURANCE, START DATE 12/2020, INSURANCE AGENT, APX NUMBER OF HOURS PER WEEK: VARIES, APX NUMBER OF HOURS DURING TRADING HOURS: VARIES, SELLS LIFE, ANNUITIES AND LONG-TERM CARE;

(2) WILDE WEALTH MANAGEMENT GROUP, INVESTMENT RELATED, SAME AS REGISTERED LOCATION, FINANCIAL SERVICES, STARTED 12/2020, FINANCIAL PROFESSIONAL, APX NUMBER OF HOURS PER WEEK: 40, 32.5 DURING TRADING HOURS BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

(3) SELF WEALTH MANAGEMENT, INVESTMENT RELATED, SAME AS REGISTERED LOCATION, FINANCIAL SERVICES, STARTED 12/2020, OWNER,

APX NUMBER OF HOURS PER WEEK: 40, 32.5 DURING TRADING HOURS

BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES

(4) NAME OF OTHER BUSINESS: CLIENT TRUST ;

INVESTMENT RELATED: NO ;

ADDRESS: 7025 N. SCOTTSDALE RD SCOTTSDALE, AZ 85253 ;

NATURE OF BUSINESS: TRUST ;

START DATE: 02/2021

POSITION/TITLE/RELATIONSHIP: TRUSTEE ;

APX NUMBER OF HOURS PER WEEK: 1-2/ MONTH ;

APX NUMBER OF HOURS DURING TRADING HOURS: 1-2/ MONTH ;

BRIEF DESCRIPTION OF DUTIES: PAY FINAL BILLS, DISPOSE OF ASSETS, DISBURSE FUNDS, SIGN FINAL IRS DOCUMENTS ;

5. NAME OF OTHER BUSINESS: N/A

INVESTMENT RELATED: NO,

ADDRESS: SAME AS RESIDENTIAL ADDRESS

NATURE OF BUSINESS: POWER OF ATTORNEY,

START DATE: 12/2021,

POSITION/TITLE/RELATIONSHIP: POA,

APX NUMBER OF HOURS PER WEEK: 5, MAY BE DURING TRADING HOURS,

BRIEF DESCRIPTION OF DUTIES: MPOA AND DPOA FOR LONG TIME FAMILY FRIEND;



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	9

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: U.S. BANCORP PIPER JAFFRAY INC.

Allegations: CLIENT ALLEGES CLOSED-END BOND FUNDS AND INDIVIDUAL STOCKS WERE UNSUITABLE. REALIZED LOSSES TOTAL APPROXIMATELY \$53,000 AND UNREALIZED LOSSES TOTAL APPROXIMATELY \$63,000. NO SPECIFIC DAMAGES ALLEGED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 02/03/2003

Complaint Pending? No

Status: Denied

Status Date: 07/01/2003

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 9

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: U.S. BANCORP PIPER JAFFRAY INC.

Allegations: CLIENT ALLEGES UNSUITABILITY OF INVESTMENTS IN JOINT AND IRA ACCOUNTS SINCE INCEPTION IN 1999.

Product Type: Equity - OTC

Alleged Damages: \$72,000.00

Customer Complaint Information

Date Complaint Received: 05/14/2002

Complaint Pending? No

Status: Denied

Status Date: 11/04/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement THIS CUSTOMER COMPLAINT NO LONGER REPORTABLE.

Disclosure 3 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: U.S. BANCORP PIPER JAFFRAY INC.

Allegations: CLIENT ALLEGES IE PURCHASED \$75,000 OF AGEFX INSTEAD OF THE \$30,000 THAT SHE REQUESTED AS A RESULT OF A CD COMING DUE BY ALSO SELLING A MARICOPA COUNTY MUNI AND A FORD MOTOR BOND ON 8/9/01 WITHOUT HER CONSENT. SEEKS REPLACEMENT OF BONDS SOLD AND CORRECTION ON AGEFX TRADE.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,001.00

Customer Complaint Information

Date Complaint Received: 08/27/2001

Complaint Pending? No

Status: Settled

Status Date: 10/25/2001

Settlement Amount: \$5,349.80

Individual Contribution Amount: \$4,669.80

Broker Statement THIS CUSTOMER COMPLAINT NO LONGER REPORTABLE. NOT ONLY DID THE CLIENT SIGN HER NAME TO THE MENTIONED TRANSACTIONS, SHE INSISTED ON THE UNSOLICITED TRADES. BOTH THE MARICOPA BONDS AND THE FORD BONDS WERE "BOOK ENTRY". SHE WANTED THE CERTIFICATES AND "NEVER LIKED" GETTING THE INCOME ONLY TWICE PER YEAR. CLIENT ALREADY OWNED FRANKLIN TAX FREE AND ASKED



FOR THE TAXABLE FUND THIS TIME BECAUSE INCOME TAXES WERE NO LONGER A CONCERN. CLIENT WAS TOLD BY HER BANK THAT THEY WOULD BUY THE SAME FUND FOR HER WITH NO COMMISSION. AS OF THIS TIME, WE HAVE REPLACED THE BONDS AND MADE THE CLIENT WHOLE.

Disclosure 4 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: U.S. BANCORP PIPER JAFFRAY INC.

Allegations: CLIENT ALLEGES IE FIALED TO FOLLOW INVESTMENT INSTRUCTIONS.

Product Type: Equity - OTC

Alleged Damages: \$71,189.00

Customer Complaint Information

Date Complaint Received: 09/25/2001

Complaint Pending? No

Status: Denied

Status Date: 03/01/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement THIS CUSTOMER COMPLAINT NO LONGER REPORTABLE.

Disclosure 5 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: U.S. BANCORP PIPER JAFFRAY INC.

Allegations: CLIENT ALLEGES IE FAILED TO FOLLOW THEIR INVESTMENT INSTRUCTIONS.

Product Type: Equity - OTC

Alleged Damages: \$161,939.00

Customer Complaint Information

Date Complaint Received: 09/24/2001

Complaint Pending? No

Status: Denied

Status Date: 03/01/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement THIS CUSTOMER COMPLAINT NO LONGER REPORTABLE.

**Disclosure 6 of 9**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: U.S. BANCORP PIPER JAFFRAY INC.

Allegations: CLIENT, VIA ATTORNEY, ALLEGES HORIZON MANAGED ACCOUNT DEVIATED FROM ORIGINAL RECOMMENDATION WITH AN OVER EXPOSURE IN EQUITY'S AND THE ELIMINATION OF ALL BOND INVESTMENTS FOR INCOME. ALSO ALLEGES UNAUTHORIZED TRADING. CURRENT UNREALIZED LOSSES \$100,000.

Product Type: Equity - OTC

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 03/07/2001

Complaint Pending? No

Status: Settled

Status Date: 08/22/2001

Settlement Amount: \$9,999.00

Individual Contribution Amount: \$0.00

Broker Statement THIS CUSTOMER COMPLAINT IS NO LONGER REPORTABLE.

Disclosure 7 of 9

Reporting Source: Firm

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

Allegations: CUSTOMERS ALLEGE THEY DID NOT WANT TO TAKE UNNECESSARY RISKS WITH THEIR MONEY BUT WERE NEVER TOLD THE DREYFUS PREMIER LIMITED HIGH INCOME FUND WAS A JUNK BOND FUND. ALSO ALLEGED THEY WERE NOT INFORMED OF SURRENDER CHARGES ON MUTUAL FUNDS. ALLEGED LOSS OF \$14,000.

Product Type: Mutual Fund(s)

Alleged Damages: \$14,000.00

Customer Complaint Information

Date Complaint Received: 01/19/1999

Complaint Pending? No

Status: Settled

Status Date: 03/19/1999

Settlement Amount: \$3,584.33

Individual Contribution Amount: \$0.00



Reporting Source: Individual

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

Allegations: CUSTOMERS ALLEGE THEY DID NOT WANT TO TAKE UNNECESSARY RISKS WITH THIER MONEY BUT WERE TOLD THE DREFYS PREMIER LIMITED HIGH INCOME FUND, IN WHICH IT WAS RECOMMENDED THEY INVEST \$100,000 WAS A JUNK BOND FUND THAT INVESTED IN BONDS WITH A HIGH RISK OF DEFAULT. THEY ALSO ALLEGE THEY WERE NOT INFORMED OF THE SURRENDER CHARGES ON MUTUAL FUND. THEY ALLEGE A LOSS OF \$14,000 IN LESS THAN A YEAR IS UNACCEPTABLE AT MR SELFS PREVIOUS FIRM, PRUDENTIAL SECURITIES.

Product Type: Mutual Fund(s)

Alleged Damages: \$14,000.00

Customer Complaint Information

Date Complaint Received: 01/19/1999

Complaint Pending? No

Status: Settled

Status Date: 03/19/1999

Settlement Amount: \$3,584.33

Individual Contribution Amount: \$0.00

Broker Statement THIS CUSTOMER COMPLAINT IS NO LONGER REPORTABLE

Disclosure 8 of 9

Reporting Source: Firm

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

Allegations: CUSTOMER ALLEGES HIS FINANCIAL ADVISOR MADE SOME DRASTIC CHANGES IN HIS ACCOUNT AGAINST HIS INVESTMENT OBJECTIVES WHILE THE ACCOUNT WAS AT PRUDENTIAL SECURITIES INC. ALLEGES THIS "SEEMS TO BORDER ON ACCOUNT CHURNING."

Product Type: Mutual Fund(s)

Alleged Damages: \$11,000.00

Customer Complaint Information

Date Complaint Received: 11/11/1998

Complaint Pending? No

Status: Settled

Status Date: 04/06/1999

Settlement Amount: \$1,093.50

Individual Contribution \$0.00



Amount:
.....

Reporting Source: Individual

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

Allegations: CUSTOMERR ALLEGES HIS FINANCIAL ADVISOR MADE SOME DRASTIC CHANGES IN HIS ACCOUNT AGAINST HIS INVESTMENT OBJECTIVE WHILE THE ACCOUNT WAS MAINTAINED AT PRUDENTIAL SECURITIES INC. ALLEGES A NET LOSS OF \$11,000.00 ALLEGES THIS SEEMS TOI BORDER ON ACCOUNT CHURNING.

Product Type: Mutual Fund(s)

Alleged Damages: \$11,000.00

Customer Complaint Information

Date Complaint Received: 11/11/1998

Complaint Pending? No

Status: Settled

Status Date: 04/06/2000

Settlement Amount: \$1,093.50

Individual Contribution Amount: \$0.00

Broker Statement NOT PROVIDED. CUSTOMER REQUESTED MORE INCOME ON 5-18-98. ON 5-19-98 I GAVE HIM WRITTEN RECOMMENDATIONS ON 6-19-98 HE CAME BY UNAMOUNT ED AND ASKED TO IMPLEMENT THE SUGGESTIONS FROM 5-19-98. UPDATE COMPLETED. LITTLE MENTION OF ANYTHING OTHER THAN NEED FOR INCOME JON GABRIELSON GOT 70% OF GROSS.

Disclosure 9 of 9

Reporting Source: Regulator

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

Allegations: SECURITIES FRAUD IN VIOLATION OF ARS SECTION 44-1991, FRAUD, UNSUITABLE INVESTMENT RECOMMENDATIONS, DISHONEST AND UNETHICAL CONDUCT, BREACH OF FIDUCIARY DUTY, NEGLIGENT SUPERVISION, FAILURE TO SUPERVISE, NEGLIGENT MISREPRESENTATIONS, NEGLIGENCE

Product Type:

Alleged Damages: \$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [UNKNOWN - CASE #96-02809](#)

Date Notice/Process Served: 08/28/1996

Arbitration Pending? No



Disposition: Other
Disposition Date: 11/07/1997
Disposition Detail: AWARD AGAINST PARTY
***THE PANEL AWARDS DAMAGES TO THE
CLAIMANTS AGAINST MICHAEL SELF, JOINTLY AND SEVERALLY IN THE
AMOUNT OF \$40,531.41 PLUS INTEREST***

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

Allegations:**Product Type:**

Alleged Damages: \$100,000.00

Customer Complaint Information**Date Complaint Received:**

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/07/1997

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD; 96-02809](#)

Date Notice/Process Served: 08/28/1996

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/07/1997

Monetary Compensation Amount: \$40,531.41

Individual Contribution Amount:

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

Allegations: CLIENTS ALLEGE COMPENSATORY DAMAGES OF \$100,000.00 IN CONNECTION WITH THEIR SALE OF A MUNICIPAL BOND AND PURCHASE OF TWO ALLEGEDLY UNSUITABLE BOND FUNDS.

Product Type:



Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/07/1997

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD; 96-02809](#)

Date Notice/Process Served: 08/28/1996

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/07/1997

Monetary Compensation Amount: \$40,531.41

Individual Contribution Amount:

Broker Statement PANEL AWARDED DAMAGES TO THE CLAIMANTAS AGAINST PRUDENTIAL SECURITIES AND MICHAEL SELF JOINTLY AND SEVERALLY IN THE AMOUNT OF \$40,531.41.
Not Provided



End of Report

This page is intentionally left blank.