



IAPD Report

DIANE HARRIET ARNSTEIN

CRD# 2313882

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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

DIANE HARRIET ARNSTEIN (CRD# 2313882)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **05/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL ENTERPRISE, LLC	CRD# 8733	11/14/2024
IA	LPL ENTERPRISE, LLC	CRD# 8733	11/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	New York, NY	06/07/2021 - 11/14/2024
B	PRUCO SECURITIES, LLC.	5685	New York, NY	02/10/1993 - 11/14/2024

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	2
Judgment/Lien	8



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **8** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL ENTERPRISE, LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 8733

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	11/14/2024
B FINRA	Invest. Co and Variable Contracts	Approved	11/14/2024
B California	Agent	Approved	05/08/2025
B Connecticut	Agent	Approved	11/14/2024
B Florida	Agent	Approved	01/17/2025
B Indiana	Agent	Approved	11/14/2024
B New Jersey	Agent	Approved	11/14/2024
B New York	Agent	Approved	11/14/2024
IA New York	Investment Adviser Representative	Approved	11/14/2024
B Pennsylvania	Agent	Approved	04/03/2025
B South Carolina	Agent	Approved	05/08/2025

Branch Office Locations

LPL ENTERPRISE, LLC
1270 AVENUE OF THE AMERICAS
STE 1000



Qualifications

NEW YORK, NY 10020



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 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	04/18/1997
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/08/1993

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	06/16/1997
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/09/1993

PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	06/07/2021 - 11/14/2024	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	New York, NY
B	02/10/1993 - 11/14/2024	PRUCO SECURITIES, LLC.	CRD# 5685	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
11/2024 - Present	LPL ENTERPRISE, LLC	Mass Transfer	Y	New York, NY, United States
12/1992 - Present	Prudential Insurance Company of America	FINANCIAL PROFESSIONAL	Y	NEW YORK, NY, United States
12/1992 - 11/2024	Pruco Securities, LLC.	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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) 12/11/2024 - Don't Tell Mama - Sing and entertain in cabarets. Also made cd/DVD of shows - Artist/ Musician - Inv Related - At NEW YORK, NY - Start Date 11/11/2014 - 10hrs/mth - 0hrs/mth During Trading



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	2
Judgment/Lien	8

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:	Individual
Employing firm when activities occurred which led to the complaint:	PRUCO SECURITIES, LLC.
Allegations:	REGARDING THE 1997 PURCHASE OF A VARIABLE APPRECIABLE LIFE INSURANCE POLICY, THE CLIENT ALLEGED MISREPRESENTATION CONCERNING THE PURCHASING OF A LIFE INSURANCE POLICY AS AN INVESTMENT.
Product Type:	Insurance
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	10/01/2008
Complaint Pending?	No
Status:	Denied
Status Date:	10/22/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement THIS MATTER IS BEING REPORTED CONSISTENT WITH FINRA RULES PERTAINING TO THE REPORTING OF CERTAIN WRITTEN CUSTOMER COMPLAINTS. THE COMPANY BY THIS FILING MAKES NO ALLEGATIONS



REGARDING THE ACTIONS OF THE REPRESENTATIVE.

Disclosure 2 of 2

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

Allegations: REGARDING THE 1993 PURCHASE OF A VARIABLE APPRECIABLE LIFE (VAL) INSURANCE POLICY, THE CLIENT ALLEGED MISREPRESENTATION CONCERNING A FUNDING PROPOSAL. COMPENSATORY DAMAGES OF \$8,209 WERE ALLEGED. THE REPRESENTATIVE WAS EMPLOYED BY PRUDENTIAL AT THE TIME OF THE SALE.

Product Type:

Alleged Damages: \$8,209.00

Customer Complaint Information

Date Complaint Received: 01/29/1998

Complaint Pending? No

Status: Closed/No Action

Status Date:

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THIS CASE HAS BEEN REFERRED FOR SETTLEMENT UNDER THE COMPANY'S REMEDIATION PLAN. IN ACCORDANCE WITH THE NASD DIRECTIVE, SETTLEMENTS UNDER THE COMPANY'S REMEDIATION PLAN ARE NOT REPORTABLE.
CUSTOMER WAS A REFERRAL FROM A FRIEND. SHE WAS DIVORCING. SHE HAD 2 YOUNG DAUGHTERS AND NO LIFE INSURANCE. SHE ALSO HAD VERY LITTLE SAVED FOR HER RETIREMENT. VARIABLE APPRECIABLE LIFE INSURANCE PROVIDED HER WITH PROTECTION AND BUILT UP CASH FOR HER FUTURE. SHE SAID SHE WAS AN ACTOR AND HAD "EXOTIC" INCOME BUT WOULD "DROP IN" SMALL AMOUNTS FROM TIME TO TIME. I TOLD HER VAL WOULD ACCEPT IRREGULAR AMOUNTS. SHE SAID SHE WOULD PUT \$20-\$25 A MONTH INTO IT BUT DID NOT. SHE WENT TO HER STOCK BROKER WHO TOLD HER VAL WAS A STUPID PRODUCT AND SHE MUST "HAVE BEEN DRUNK" TO BUY IT. A MASS MUTUAL AGENT TOLD HER IT WAS NOT A GOOD POLICY. SHE TOLD ME SHE WAS GOING TO WORK WITH THEM IN THE FUTURE. SHE NEVER ADDED TO THE POLICY, BUT MOVED THE INVESTMENT TO BONDS.



Judgment/Lien

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

Disclosure 1 of 8

Reporting Source: Individual
Judgment/Lien Holder: NY State Dept of Taxation
Judgment/Lien Amount: \$1,177.00
Judgment/Lien Type: Tax
Date Filed with Court: 04/05/2018
Date Individual Learned: 09/27/2024
Type of Court: State Court
Name of Court: NY State Court
Location of Court: NY NY
Docket/Case #: Unknown
Judgment/Lien Outstanding? Yes

Disclosure 2 of 8

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$24,063.00
Judgment/Lien Type: Tax
Date Filed with Court: 06/17/2010
Date Individual Learned: 09/27/2024
Type of Court: Federal Court
Name of Court: US Court
Location of Court: NY NY
Docket/Case #: Unknown
Judgment/Lien Outstanding? Yes

Disclosure 3 of 8

Reporting Source: Individual
Judgment/Lien Holder: NY State Dept of Taxation
Judgment/Lien Amount: \$2,206.00
Judgment/Lien Type: Tax
Date Filed with Court: 06/01/2023
Date Individual Learned: 09/27/2024
Type of Court: State Court
Name of Court: NY State Court



Location of Court: NY NY
Docket/Case #: Unknown
Judgment/Lien Outstanding? Yes

Disclosure 4 of 8

Reporting Source: Individual
Judgment/Lien Holder: STATE OF NEW YORK
Judgment/Lien Amount: \$4,934.03
Judgment/Lien Type: Tax
Date Filed with Court: 07/17/2019
Date Individual Learned: 08/02/2019
Type of Court: N/A
Name of Court: N/A
Location of Court: N/A
Docket/Case #: 2019000225073
Judgment/Lien Outstanding? Yes

Disclosure 5 of 8

Reporting Source: Individual
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$15,928.37
Judgment/Lien Type: Tax
Date Filed with Court: 12/08/2018
Date Individual Learned: 03/19/2019
Type of Court: INTERNAL REVENUE SERVICE
Name of Court: N/A
Location of Court: N/A
Docket/Case #: 2017121500201015
Judgment/Lien Outstanding? Yes

Disclosure 6 of 8

Reporting Source: Individual
Judgment/Lien Holder: Capital One Bank
Judgment/Lien Amount: \$188.17
Judgment/Lien Type: Civil
Date Filed with Court: 01/26/2018
Date Individual Learned: 02/21/2018



Type of Court: New York City Department of Consumer Affairs
Name of Court: N/A
Location of Court: New Yor
Docket/Case #: N/A
Judgment/Lien Outstanding? Yes

Disclosure 7 of 8

Reporting Source: Individual
Judgment/Lien Holder: CAPITAL ONE BANK CAPITAL ONE BANK (RONALD MOSES, MARSHAL CITY OF NEW YORK)
Judgment/Lien Amount: \$3,072.63
Judgment/Lien Type: Civil
Date Filed with Court: 07/08/2010
Date Individual Learned: 07/08/2010
Type of Court: State Court
Name of Court: CIVIL COURT OF THE CITY OF NEW YORK
Location of Court: NY, NY
Docket/Case #: Q206076
Judgment/Lien Outstanding? Yes

Disclosure 8 of 8

Reporting Source: Individual
Judgment/Lien Holder: INTERNAL REVENUE SERVICE FEDERAL PAYMENT LEVY PROGRAM
Judgment/Lien Amount: \$1,960.00
Judgment/Lien Type: Tax
Date Filed with Court: 09/23/2009
Type of Court: State Court
Name of Court: N/A
Location of Court: STOP 686 PO BOX 57 BENSALEM, PA 19020
Judgment/Lien Outstanding? Yes



End of Report

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