



IAPD Report

RANDALL ARTHUR RIDENOUR

CRD# 720899

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



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

RANDALL ARTHUR RIDENOUR (CRD# 720899)

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 **02/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	01/08/2010
IA	MORGAN STANLEY	CRD# 149777	01/21/2010

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **42** 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	UBS FINANCIAL SERVICES INC.	8174	SARASOTA, FL	04/13/2001 - 01/15/2010
B	UBS FINANCIAL SERVICES INC.	8174	SARASOTA, FL	04/12/2001 - 01/15/2010
B	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY	08/13/1984 - 04/19/2001

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
Criminal	1
Customer Dispute	5



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 **42** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MORGAN STANLEY**
Main Address: 2000 WESTCHESTER AVENUE
PURCHASE, NY 10577-2530
Firm ID#: 149777

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	01/08/2010
B NYSE American LLC	General Securities Representative	Approved	06/17/2011
B Nasdaq Stock Market	General Securities Representative	Approved	01/08/2010
B New York Stock Exchange	General Securities Representative	Approved	01/08/2010
B Alabama	Agent	Approved	01/30/2013
B Arizona	Agent	Approved	01/08/2010
B Arkansas	Agent	Approved	12/05/2012
B California	Agent	Approved	01/08/2010
B Colorado	Agent	Approved	07/24/2015
B Connecticut	Agent	Approved	12/05/2012
B Delaware	Agent	Approved	11/07/2024
B District of Columbia	Agent	Approved	01/08/2010
B Florida	Agent	Approved	01/21/2010



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	01/21/2010
B Georgia	Agent	Approved	01/08/2010
B Idaho	Agent	Approved	01/24/2014
B Illinois	Agent	Approved	01/11/2010
B Indiana	Agent	Approved	12/05/2012
B Iowa	Agent	Approved	12/01/2021
B Kentucky	Agent	Approved	01/08/2010
B Louisiana	Agent	Approved	12/10/2012
B Maine	Agent	Approved	02/19/2014
B Maryland	Agent	Approved	01/08/2010
B Massachusetts	Agent	Approved	01/15/2010
B Michigan	Agent	Approved	01/08/2010
B Minnesota	Agent	Approved	01/08/2010
B Missouri	Agent	Approved	12/05/2012
B Nebraska	Agent	Approved	11/03/2021
B Nevada	Agent	Approved	12/06/2012
B New Jersey	Agent	Approved	01/08/2010
B New Mexico	Agent	Approved	08/06/2014
B New York	Agent	Approved	01/08/2010



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	01/08/2010
B Ohio	Agent	Approved	01/08/2010
B Oklahoma	Agent	Approved	01/26/2010
B Oregon	Agent	Approved	05/28/2013
B Pennsylvania	Agent	Approved	01/08/2010
B Puerto Rico	Agent	Approved	03/05/2025
B Rhode Island	Agent	Approved	01/08/2010
B South Carolina	Agent	Approved	01/20/2010
B South Dakota	Agent	Approved	10/30/2023
B Tennessee	Agent	Approved	03/17/2021
B Texas	Agent	Approved	01/08/2010
IA Texas	Investment Adviser Representative	Restricted Approval	04/15/2020
B Vermont	Agent	Approved	01/08/2010
B Virginia	Agent	Approved	01/08/2010
B Washington	Agent	Approved	12/21/2017
B Wisconsin	Agent	Approved	12/05/2012

Branch Office Locations

MORGAN STANLEY
2 North Tamiami Trail
Suite 1100
Sarasota, FL 34236



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, 3 general industry/product exams, and 1 state securities law exam.

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
Interest Rate Options Examination (S5)	Series 5	11/13/1981
General Securities Representative Examination (S7)	Series 7	12/20/1980

State Securities Law Exams

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

Uniform Securities Agent State Law Examination (S63)	Series 63	01/28/1981
--	-----------	------------

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	04/13/2001 - 01/15/2010	UBS FINANCIAL SERVICES INC.	CRD# 8174	SARASOTA, FL
B	04/12/2001 - 01/15/2010	UBS FINANCIAL SERVICES INC.	CRD# 8174	SARASOTA, FL
B	08/13/1984 - 04/19/2001	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	12/30/1980 - 08/10/1984	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	

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
01/2015 - Present	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
01/2010 - Present	MORGAN STANLEY SMITH BARNEY	FA	Y	SARASOTA, FL, 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.

No information reported.



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
Criminal	1
Customer Dispute	5

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	SARASOTA COUNTY COURT, CRIMINAL DIVISION
Location of Court:	SARASOTA, FL
Docket/Case #:	2008 MM 003356 NC
Charge Date:	02/20/2008
Charge(s) 1 of 1	
Formal Charge(s)/Description:	PETIT THEFT, FIRST OFFENCE, SECOND DEGREE, FL § 812.014
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	PLEA DENYING OR NOT GUILTY
Disposition of charge:	Pre-trial Intervention
Current Status:	Final
Status Date:	04/03/2008
Disposition Date:	04/03/2008
Sentence/Penalty:	PAYMENT OF \$150.00 TOWARD COST OF PRETRIAL DIVERSION PROGRAM. 15 HOURS COMMUNITY SERVICE, ONE DAY THEFT CLASS.
Broker Statement	WHILE WAITING AT LENGTH IN LINE AT THE LOCAL GROCERY STORE TO PAY FOR MY FOOD, I STARTED TO EAT SOME OF THE ITEM. THE IN-LINE WAIT CONTINUED SO I PUT DOWN THE FOOD ITEM AND LEFT. I REGRET NOT LEAVING THE \$3.00 FOR THE FOOD ITEM PRIOR TO LEAVING THE



STORE. I HAVE COMPLETED 15 HOURS OF COMMUNITY SERVICE TO MAKE AMENDS FOR THIS ACTION.



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 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	TIME FRAME: CLAIMANTS ALLEGE FROM 2007-2009 THEY WERE NOT SUITABLY DIVERSIFIED AND WERE NOT ADVISED OF THE RISK OF THEIR INVESTMENTS.
Product Type:	Other: MANAGED ACCOUNTS
Alleged Damages:	\$600,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	13-02684
Filing date of arbitration/CFTC reparation or civil litigation:	09/30/2013

Customer Complaint Information

Date Complaint Received:	09/30/2013
Complaint Pending?	No
Status:	Settled
Status Date:	09/10/2014
Settlement Amount:	\$75,000.00
Individual Contribution Amount:	\$0.00

.....

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	TIME FRAME: CLAIMANTS ALLEGE FROM 2007-2009 THEY WERE NOT SUITABLY DIVERSIFIED AND WERE NOT ADVISED OF THE RISK OF THEIR INVESTMENTS.



Product Type: Other: MANAGED ACCOUNTS

Alleged Damages: \$600,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 13-02684

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 09/30/2013

Customer Complaint Information

Date Complaint Received: 09/30/2013

Complaint Pending? No

Status: Settled

Status Date: 09/10/2014

Settlement Amount: \$75,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement FA STATES HE INHERITED ACCOUNT WITH MANAGED EQUITY AND INCOME PORTFOLIO IN 2005 AFTER CLIENT LOAN ALREADY IN PLACE AND IN USE. CLIENT USED LOAN FOR SPECULATIVE HOMEBUILDING AND CONTINUED TO DRAW AGAINST UNTIL MARKET COLLAPSE REDUCED PORTFOLIO ALTHOUGH ADVISED TO PAYOFF LOAN. FA WAS NOT CONSULTED IN SETTLEMENT BETWEEN CLIENT AND UBS.

Disclosure 2 of 5

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** UBS FINANCIAL SERVICES INC.

Allegations: TIME FRAME: MAY 24, 2007 - MARCH 22, 2010 - CLAIMANT ALLEGES INVESTMENT IN REO III FUND WAS UNSUITABLE.

Product Type: Other: HEDGE FUNDS

Alleged Damages: \$0.00

**Alleged Damages Amount
Explanation (if amount not
exact):** UNSPECIFIED

Is this an oral complaint? No

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes



**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 10-05482

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 12/21/2010

Customer Complaint Information

Date Complaint Received: 12/21/2010

Complaint Pending? No

Status: Settled

Status Date: 10/18/2011

Settlement Amount: \$200,000.00

**Individual Contribution
Amount:** \$0.00

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** UBS FINANCIAL SERVICES INC.

Allegations: TIME FRAME: MAY 24, 2007 - MARCH 22, 2010 - CLAIMANT ALLEGES
INVESTMENT IN REO III FUND WAS UNSUITABLE.

Product Type: Other: HEDGE FUNDS

Alleged Damages: \$0.00

**Alleged Damages Amount
Explanation (if amount not
exact):** UNSPECIFIED

Is this an oral complaint? No

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 10-05482

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 12/21/2010

Customer Complaint Information

Date Complaint Received: 12/21/2010

Complaint Pending? No

Status: Settled

Status Date: 10/18/2011



Settlement Amount: \$200,000.00

Individual Contribution Amount: \$0.00

Broker Statement FA STATES UBS SETTLED THIS CASE , WHICH WAS PREVIOUSLY DENIED ON 05/12/2010, WITHOUT HIS INPUT. FA CLAIMS FEES WERE CHARGED ON BREAK OUT OF THE CLIENTS FIXED RATE COLLATERAL LOAN AND COMMISSIONS UBS CHARGED IN SELLING SECURITIES TO COVER THE LOAN. THOSE FEES WERE PAID AFTER FA LEFT UBS. FA STATES CLIENT WAS UNHAPPY WITH UBS REO III ACQUISITION OF HOTELS SINCE THEY OWNED HOTELS THAT WERE DROPPING IN VALUE.

Disclosure 3 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CLIENT ALLEGES THE AUCTION RATE SECURITIES WERE RECOMMENDED AS BEING HIGHLY RATED MUNICIPAL AND GOVERNMENTAL BONDS THAT WERE CASH EQUIVALENT. CLIENT FURTHER STATES THAT AT NO TIME WAS HE ADVISED OF THE POSSIBILITY OF A FROZEN MARKET. DAMAGES ESTIMATED TO BE IN EXCESS OF \$5,000.

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$5,000.00

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: 08/08/2008

Complaint Pending? No

Status: Settled

Status Date: 09/17/2009

Settlement Amount: \$950,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE COMPLAINT AROSE IN CONNECTION WITH THE INDUSTRY WIDE BREAKDOWN OF LIQUIDITY IN THE MARKET FOR AUCTION RATE SECURITIES ("ARS"). THE FIRM AGREED TO REPURCHASE THE ARS SECURITIES AT ISSUE AT PAR VALUE FROM THE CLIENT PURSUANT TO A GLOBAL REPURCHASE AGREEMENT IT ENTERED INTO WITH SEVERAL REGULATORY BODIES. THIS WAS NOT A SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE AND WAS NOT BASED ON THE MERITS OF THE CLIENT'S SPECIFIC CONCERNS OR ANY FINDING OF FAULT OR WRONGDOING BY THE NAMED REPRESENTATIVE. THE NAMED REPRESENTATIVE WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND THE RELEVANT REGULATORY BODIES. THE NAMED REPRESENTATIVE



DID NOT MAKE ANY PAYMENTS TO THE CLIENT AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT. THE LISTED "SETTLEMENT AMOUNT" REPRESENTS ONLY THE GROSS INITIAL PAR VALUE OF THE ARS POSITION AND DOES NOT TAKE INTO ACCOUNT THE ACTUAL VALUE OF THE ARS POSITION AT THE TIME THE FIRM RECEIVED IT BACK FROM THE CLIENT IN CONNECTION WITH THE SETTLEMENT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.

Disclosure 4 of 5

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

Allegations: CLIENT ALLEGES UNSUITABLE PURCHASES WERE MADE IN THEIR ACCOUNT. ALSO CLAIMS UNAUTHORIZED TRADING REGARDING PURCHASES MADE IN THEIR CHILDREN'S ACCOUNTS.

Product Type: Equity-OTC

Alleged Damages: \$5,000.00

Is this an oral complaint? Yes

Is this a written complaint? No

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

Customer Complaint Information

Date Complaint Received: 09/20/2002
Complaint Pending? No
Status: Closed/No Action

Status Date: 01/16/2004

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

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

Allegations: CLIENT ALLEGES UNSUITABLE PURCHASES WERE MADE IN THEIR ACCOUNT. ALSO CLAIMED UNAUTHORIZED TRADING REGARDING PURCHASES MADE IN THEIR CHILDREN'S ACCOUNTS.

Product Type: Equity - OTC

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 09/20/2002



Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 5

Reporting Source: Firm

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

Allegations: THE CUSTOMER HAS ALLEGED THAT MR. RIDENOUR'S RECOMMENDATION OF DANKA BONDS, WAS UNSUITABLE FOR HER ACCCOUNTS, WHILE CUSTOMER DOES NOT ALLEGE A SPECIFIC AMOUNT, DAMAGES ARE BELIEVED TO BE IN EXCESS OF \$5,000.

Product Type: Debt-Corporate

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT THE ALLEGED DAMAGES ARE IN EXCESS OF \$5,000.

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: 10/17/2000

Complaint Pending? No

Status: Settled

Status Date: 01/10/2001

Settlement Amount: \$4,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

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

Allegations: THE CUSTOMER HAS ALLEGED THAT MR. RIDENOUR'S RECOMMENDATION OF DANKA BONDS, WAS UNSUITABLE FOR HER ACCOUNTS. WHILE CUSTOMER DOES NO ALLEGE A SPECIFIC AMOUNT, DAMAGED ARE BELIEVED TO BE INEXCESS OF \$5,000.00.

Product Type: Debt - Corporate

Alleged Damages: \$0.00

Customer Complaint Information



Date Complaint Received:	10/17/2000
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THIS MATTER IS PENDING



End of Report

This page is intentionally left blank.