



IAPD Report

CHARLES JOHN EHNOT

CRD# 872769

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page
<http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

CHARLES JOHN EHNOT (CRD# 872769)

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 **06/18/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|----------------------|------------|------------------|
| B | SUPREME ALLIANCE LLC | CRD# 45348 | 09/23/2019 |
| IA | SUPREME ALLIANCE LLC | CRD# 45348 | 10/23/2019 |

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **1** 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 | CV BROKERAGE, INC | 462 | WILLIAMSTOWN, NJ | 03/20/2017 - 05/10/2019 |
| IA | L.M. KOHN & COMPANY | 27913 | DUNMORE, PA | 02/01/2012 - 01/23/2017 |
| B | L.M. KOHN & COMPANY | 27913 | DUNMORE, PA | 01/17/2012 - 01/23/2017 |

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 | 30 |
| Judgment/Lien | 3 |



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

Employment 1 of 1

Firm Name: **SUPREME ALLIANCE LLC**

Main Address: CHARLOTTE, NC

Firm ID#: 45348

| Regulator | Registration | Status | Date |
|--|-----------------------------------|----------|------------|
|  FINRA | General Securities Representative | Approved | 09/23/2019 |
|  FINRA | Invest. Co and Variable Contracts | Approved | 09/23/2019 |
|  Pennsylvania | Agent | Approved | 10/23/2019 |
|  Pennsylvania | Investment Adviser Representative | Approved | 10/23/2019 |

Branch Office Locations

SUPREME ALLIANCE LLC
Dunmore, PA



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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

| Exam | Category | Date |
|--|-----------|------------|
|  General Securities Principal Examination (S24) | Series 24 | 07/19/2004 |
|  General Securities Sales Supervisor Examination (Options Module & General Module) (S8) | Series 8 | 01/13/1987 |
|  Registered Options Principal Examination (S4) | Series 4 | 08/22/1986 |

General Industry/Product Exams

| Exam | Category | Date |
|--|------------|------------|
|  Investment Company Products/Variable Contracts Representative Examination (S6TO) | Series 6TO | 01/02/2023 |
|  Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|  Foreign Currency Options Examination (S15) | Series 15 | 03/07/1983 |
|  General Securities Representative Examination (S7) | Series 7 | 10/20/1979 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
|  Uniform Investment Adviser Law Examination (S65) | Series 65 | 12/09/1992 |
|  Uniform Securities Agent State Law Examination (S63) | Series 63 | 10/29/1979 |



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 |
|----|-------------------------|------------------------------------|------------|------------------|
| B | 03/20/2017 - 05/10/2019 | CV BROKERAGE, INC | CRD# 462 | WILLIAMSTOWN, NJ |
| IA | 02/01/2012 - 01/23/2017 | L.M. KOHN & COMPANY | CRD# 27913 | DUNMORE, PA |
| B | 01/17/2012 - 01/23/2017 | L.M. KOHN & COMPANY | CRD# 27913 | DUNMORE, PA |
| B | 02/12/2002 - 01/17/2012 | MIDSOUTH CAPITAL, INC. | CRD# 35039 | DUNMORE, PA |
| B | 10/01/1999 - 02/19/2002 | FIRST UNION SECURITIES, INC. | CRD# 19616 | ST. LOUIS, MO |
| B | 01/01/1998 - 10/01/1999 | FIRST UNION CAPITAL MARKETS CORP. | CRD# 6124 | CHARLOTTE, NC |
| B | 03/17/1997 - 11/25/1997 | FIRST MONTAUK SECURITIES CORP. | CRD# 13755 | RED BANK, NJ |
| B | 10/26/1979 - 06/10/1996 | PRUDENTIAL SECURITIES INCORPORATED | CRD# 7471 | NEW YORK, NY |
| B | 10/24/1979 - 06/17/1982 | ELKINS & CO. | CRD# 6789 | |

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 |
|-------------------|----------------------|---------------------------|--------------------|--------------------------------------|
| 09/2019 - Present | SUPREME ALLIANCE LLC | REGISTERED REPRESENTATIVE | Y | CHARLOTTE, NC, United States |
| 05/2019 - 09/2019 | Unemployed | OTHER-UNEMPLOYED | N | DUNMORE, PA, United States |
| 03/2017 - 05/2019 | C. V . Brokerage | Registered Representative | Y | West Conshohocken, PA, United States |
| 01/2012 - 01/2017 | L.M. KOHN & COMPANY | REGISTERED REPRESENTATIVE | Y | CINCINNATI, OH, 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.

Sherwood Park Youth Association, Dunmore PA. Board member since 2004. 10 hours per month. No compensation. Not investment related.



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 | 30 |
| Judgment/Lien | 3 |

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 30

| | |
|--|---|
| Reporting Source: | Firm |
| Employing firm when activities occurred which led to the complaint: | L.M. KOHN & COMPANY |
| Allegations: | CLIENT ALLEGES THAT REP DID NOT HAVE AUTHORIZATION TO EXECUTE A TRADE |
| Product Type: | Real Estate Security |
| Alleged Damages: | \$20,000.00 |
| 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: | 03/27/2017 |
| Complaint Pending? | No |
| Status: | Settled |
| Status Date: | 04/05/2017 |
| Settlement Amount: | \$20,000.00 |
| Individual Contribution Amount: | \$0.00 |



Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: L M Kohn & Company
Allegations: Client alleges that rep did not have authorization to execute a trade.
Product Type: Real Estate Security
Alleged Damages: \$20,000.00
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: 03/27/2017
Complaint Pending? No
Status: Settled
Status Date: 04/05/2017
Settlement Amount: \$20,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 30

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: L. M. KOHN
Allegations: UNSUPERVISED BY KOHN. PRICE OF OIL DECLINED BY 2/3 OVER A 4-5 MONTH PERIOD OCTOBER 2014 THRU MARCH 2015. CLIENT HAD A NUMBER OF MLP'S IN THE OIL INDUSTRY AND THE SHARES DECLINED IN PRICE AND SO DID THE DIVIDENDS. CLIENT KEEP ON TAKING MORE AND MORE CASH OUT MAKING IT IMPOSSIBLE TO KEEP UP WITH THEIR REQUESTS FOR MORE CASH.
Product Type: Equity Listed (Common & Preferred Stock)
Oil & Gas
Options
Alleged Damages: \$160,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: PHILADELPHIA, PA
Docket/Case #: 15-01261



Filing date of arbitration/CFTC reparation or civil litigation: 06/02/2015

Customer Complaint Information

Date Complaint Received: 06/09/2015

Complaint Pending? No

Status: Settled

Status Date: 06/02/2016

Settlement Amount: \$49,750.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 30

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MIDSOUTH CAPITAL, INC.

Allegations: SUITABILITY AND PERFORMANCE OF INVESTMENTS RECOMMENDED

Product Type: Other

Other Product Type(s): GENERAL MOTORS NOTE, HARVEST ENERGY TRUST, OCEAN FREIGHT, AND MONEY MARKET FUNDS

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 11/10/2008

Complaint Pending? No

Status: Denied

Status Date: 12/16/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement REQUEST FOR RESTITUTION DENIED BY THE FIRM AND BY THE REGISTERED REPRESENTATIVE.

Disclosure 4 of 30

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MIDSOUTH CAPITAL, INC.

Allegations: ALLEGED FRAUD, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY; LOSSES CLAIMED \$40,000.

Product Type: Equity - OTC

Alleged Damages: \$40,000.00



Customer Complaint Information

Date Complaint Received: 08/05/2006

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/15/2006

Settlement Amount:

Individual Contribution

Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION # 06-02942

Date Notice/Process Served: 08/15/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/31/2007

Monetary Compensation Amount: \$32,500.00

Individual Contribution Amount: \$32,500.00

Disclosure 5 of 30

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC

Allegations: PENNSYLVANIA RESIDENT, ALLEGES THAT FA ENGAGED IN UNSUITABLE, UNAUTHORIZED AND EXCESSIVE TRADING, AND THAT THERE WAS FAILURE TO SUPERVISE FROM 1998 THROUGH 2004. CLAIMANT SEEKS ALLEGED DAMAGES OF \$100,000 PLUS ATTORNEY'S FEES, COSTS, AND PUNITIVE DAMAGES.

Product Type: Other

Other Product Type(s): MISC.

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 07/31/2006

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/31/2006

Settlement Amount:

Individual Contribution

Amount:



Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE NO. 06-01596

Date Notice/Process Served: 07/31/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/07/2007

Monetary Compensation Amount: \$45,000.00

Individual Contribution Amount: \$0.00

Firm Statement SETTLED FOR \$45,000

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC

Allegations: PENNSYLVANIA RESIDENT ALLEGED THAT FA ENGAGED IN UNSUITABLE, UNAUTHORIZED AND EXCESSIVE TRADING, AND THAT THERE WAS FAILURE TO SUPERVISE FROM 1998 THROUGH 2004. CLAIMANT SOUGHT ALLEGED DAMAGES OF \$100,000 PLUS ATTORNEY'S FEES, COSTS AND PUNITIVE DAMAGES.

Product Type: Other

Other Product Type(s): MISC.

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 07/31/2006

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/31/2006

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE NO. 06-01596

Date Notice/Process Served: 07/31/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/07/2007



| | |
|--|----------------------|
| Monetary Compensation Amount: | \$45,000.00 |
| Individual Contribution Amount: | \$0.00 |
| Broker Statement | SETTLED FOR \$45,000 |

Disclosure 6 of 30

| | |
|--|--|
| Reporting Source: | Firm |
| Employing firm when activities occurred which led to the complaint: | FIRST UNION SECURITIES, INC. N/K/A WACHOVIA SECURITIES, LLC |
| Allegations: | PENNSYLVANIA RESIDENTS ALLEGE THAT FROM JANUARY 1998 THROUGH APRIL 2002 THERE WAS UNAUTHORIZED AND EXCESSIVE TRADING IN THEIR JOINT ACCOUNT, AN UNAUTHORIZED USE OF MARGIN, UNSUITABLE PURCHASES OF SECURITIES AND A FAILURE TO SUPERVISE FA CHARLES EHNOT. CLAIMED LOSSES OF \$90,000.00. |
| Product Type: | Equity Listed (Common & Preferred Stock) |
| Alleged Damages: | \$90,000.00 |

Customer Complaint Information

| | |
|---------------------------------|------------------------|
| Date Complaint Received: | 02/11/2005 |
| Complaint Pending? | No |
| Status: | Arbitration/Reparation |
| Status Date: | 02/11/2005 |

Settlement Amount:

| |
|--|
| Individual Contribution Amount: |
|--|

Arbitration Information

| | |
|---|-------------------------|
| Arbitration/Reparation Claim filed with and Docket/Case No.: | NASDR CASE NO. 05-00595 |
|---|-------------------------|

| | |
|------------------------------------|------------|
| Date Notice/Process Served: | 02/11/2005 |
|------------------------------------|------------|

| | |
|-----------------------------|----|
| Arbitration Pending? | No |
|-----------------------------|----|

| | |
|---------------------|---------|
| Disposition: | Settled |
|---------------------|---------|

| | |
|--------------------------|------------|
| Disposition Date: | 09/29/2005 |
|--------------------------|------------|

| | |
|--------------------------------------|-------------|
| Monetary Compensation Amount: | \$18,500.00 |
|--------------------------------------|-------------|

| | |
|--|--------|
| Individual Contribution Amount: | \$0.00 |
|--|--------|

| | |
|-----------------------|--|
| Firm Statement | WITHOUT ADMITTING ANY LIABILITY THE MATTER WAS SETTLED FOR \$18,500. |
|-----------------------|--|

| | |
|--------------------------|------------|
| Reporting Source: | Individual |
|--------------------------|------------|



Employing firm when activities occurred which led to the complaint:

FIRST UNIONSECURITIES N/K/A WACHOVIA

Allegations:

UNAUTHORIZED AND EXCESIVE TRADING INT HEIR JOINT ACCOUNT, UNAUTHORIZED USE OF MARGIN UNSUITABLE PURCHASES FO SECURITIES AND A FAILURE TO SUPERVISE FA CHARLES EHNOT CLAIME LOSS OF 90000.00

Product Type:

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$90,000.00

Customer Complaint Information

Date Complaint Received: 02/11/2005

Complaint Pending? No

Status: Settled

Status Date: 02/11/2005

Settlement Amount: \$18,500.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: Unknown

Date Notice/Process Served: 02/11/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/29/2005

Monetary Compensation Amount: \$18,500.00

Individual Contribution Amount: \$0.00

Broker Statement MR. EHNOT HANDLED THE ACCOUNT FOR A VERY SHORT PERIOD OF TIME AND RECALLS VERY FEW TRADES DURING THAT TIME PERIOD. HE RECALLS THAT AFTER HAVING A DISPUTE OVER A SELL ORDER PLACED BY THE CUSTOMER, THAT THE CUSTOMER LATTER DENIED DOING WHEN THE STOCK ROSE MR. EHNOT HAD THE OFFICE MANAGER [THIRD PARTY] TAKE OVER THE ACCOUNT AND ASSUMES THAT WHATEVER ISSUES HAPPENED WITH THIS ACCOUNT occurred AFTER HE WAS NO LONGER THE BROKER OF RECORD.

Disclosure 7 of 30

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FIRST UNION SECURITIES INC. N/K/A WACHOVIA SECURITIES, LLC

**Allegations:**

CLIENT ALLEGES BROKER CAPITALIZED ON HIS LIMITED UNDERSTANDING OF THE MARKET AND WRONGFULLY EFFECUTATED THE OPENING OF A MARGIN AND OPTION ACCOUNT AND BEGAN TO TRADE WITH IMPUNITY. CLIENT FURTHER ALLEGES THAT BROKER'S EXCESSIVE TRADING OF HIGH SPECULATIVE SECURITIES RESULTED IN LOSSES IN EXCESS OF \$400,000. DATE OF ACTIVITY NOT SPECIFIED, BUT ACCOUNT OPENED JANUARY 2000. ARBITRATION FILED ON 01/31/2005. ALLEGATIONS: CLAIMANTS ALLEGE THAT FA INVESTED IN UNSUITABLE SECURITIES AND MUTUAL FUNDS AND OPENED A MARGIN ACCOUNT WITHOUT THEIR KNOWLEDGE, CONSENT OR AUTHORIZATION DESPITE THEIR STATED INVESTMENT OBJECTIVES TO PRESERVE PRINCIPAL FOR GROWTH AND INCOME. THEY ALLEGE DAMAGES IN EXCESS OF \$400,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received: 02/28/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/31/2005

Settlement Amount:

Individual Contribution

Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE NO. 2004-08271

Date Notice/Process Served: 01/31/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/17/2006

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Firm Statement ARBITRATION FILED ON 01/31/2005. THE FIRM SETTLED THE CLAIMS FOR \$150,000.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIRST UNION

Allegations: EXCESSIVE TRADING

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): OPTIONS



Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received: 02/26/2002

Complaint Pending? No

Status: Arbitration/Reparation
Settled

Status Date: 02/23/2006

Settlement Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR # 2004-08271

Date Notice/Process Served: 01/31/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/23/2006

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Disclosure 8 of 30

Reporting Source: Firm

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

Allegations: CLAIMANTS ALLEGE THAT BETWEEN 1998 AND 2000, THE FA ENGAGED IN EXCESSIVE, SPECULATIVE TRADING ON MARGIN, AND BOUGHT AND SOLD RISKY OPTIONS IN CLAIMANTS' TRUSTS AND IRA ACCOUNTS.

Product Type: Options

Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received: 05/03/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/03/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE DOCKET #2002-010152

Date Notice/Process Served: 05/03/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/03/2003

Monetary Compensation Amount: \$100,000.00

Individual Contribution Amount: \$0.00

Firm Statement FOR BUSINESS REASONS AND WITHOUT ADMITTING ANY LIABILITY ON PART OF THE FIRM, THIS MATTER WAS SETTLED IN THE AMOUNT OF \$100,000.

Reporting Source: Individual

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

Allegations: CUSTOMER ALLEGES THAT UNSUITABLE TRADING LED TO THE LOSS OF THEIR ENTIRE ACCOUNT VALUE.

Product Type: Equity - OTC

Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received: 04/03/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/03/2002

Settlement Amount: \$100,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE #2002-010153

Date Notice/Process Served: 05/03/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/03/2003

Monetary Compensation Amount: \$100,000.00

Individual Contribution \$0.00

**Individual Contribution:**

\$0.00

Amount:**Broker Statement**

FILE A U-4 AMENDMENT ON THIS COMPLAINT IN ERROR. THIS FILING IS TO EDIT THIS COMPLAINT BACK TO ORIGINAL AND CORRECT STATUS.

Disclosure 9 of 30**Reporting Source:** Firm**Employing firm when activities occurred which led to the complaint:****Allegations:**

CUSTOMERS ALLEGE CHURNING, UNSUITABILITY AND FAILURE TO FOLLOW INSTRUCTIONS IN CONNECTION WITH SECURITIES TRADED IN CLIENTS ACCOUNTS FROM 1992-1994. CUSTOMERS SEEK RETURN OF ALL COMMISSIONS AND LOSSES IN AN AMOUNT EXCEEDING \$82,905.

Product Type:**Alleged Damages:****Customer Complaint Information****Date Complaint Received:** 06/23/1994**Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:** 05/03/1997**Settlement Amount:****Individual Contribution****Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 96-01252**Date Notice/Process Served:** 04/01/1996**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 05/03/1997**Firm Statement** MATER SETTLED FOR \$44,000.
Not Provided**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:****Allegations:**

BREACH OF FIDUCIARY DT, ACCOUNT RELATED;
BREACH OF CONTRACT CHURNING, ACCOUNT RELATED NEGLIGENCE.

Product Type:**Alleged Damages:**



Customer Complaint Information

Date Complaint Received: 06/23/1994

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/03/1997

Settlement Amount:

Individual Contribution

Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 96-01252

Date Notice/Process Served: 04/01/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/03/1997

Broker Statement

SETTLED FOR \$44,000.00
MOST OF STOCKS PURCHASED WERE EITHER PRUDENTIAL
TOP PICKS OR CLIENTS PICKS, FIRST TIME CLIENTS CLAIM WAS
REJECTED. THEY WENT TO ANOTHER ATTORNEY AND HE TOOK THE
CASE,
PRUDENTIAL THEN BELIEVED IT WOULD BE CHEAPER TO SETTLE THAN TO
FIGHT THIS CASE, AND AGAIN THE BROKER IS THE SCAPEGOAT. THEY
ARE ROGUE CLIENTS. THE SYSTEM NEEDS SOME TYPE OF REFORM TO
PROTECT THE BROKERS. THESE CLIENTS HAVE MOVED FROM FIRM TO
FIRM SUING EVERYTIME.

Disclosure 10 of 30

Reporting Source: Individual

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

Allegations: THE ABOVE CLIENTS SUBMITTED CLAIM FORMS TO
THE CLAIMS RESOLUTION PROCESS RELATING TO LIMITED PARTNERSHIP
PURCHASES. NO DAMAGES WERE ALLEGED, BUT THE AMOUNTS OF
ACTUAL
LOSS IS/ARE APPROX \$8,416; \$7,448; \$16,533.

Product Type:

Alleged Damages: \$16,533.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:



Settlement Amount: \$28,346.00

Individual Contribution Amount:

Broker Statement

PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FUND
NO DAMAGES WERE ALLEGED, BUT SETTLEMENTS WERE IN THE
AMOUNTS OF
\$20,962, \$16,652.00, \$28,346.00
ALL PARTNERSHIPS WERE PRUDENTIAL SECURITIES
INVESTMENTS THAT WERE SUPPOSED TO BE SOLID INVESTMENTS FOR
EVERYONE RETURNS WERE TO BE WELL ABOVE AVERAGE AS FAR AS
DIVIDENDS AND GROWTH. WE AS BROKERS BELIEVED WHAT PRUDENTIAL
GAVE TO US AS FAR AS INFORMATION. WE WERE LIED TO.

Disclosure 11 of 30

Reporting Source: Individual

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

Allegations: THE ABOVE CLIENTS SUBMITTED CLAIM FORMS TO
THE CLAIMS RESOLUTION PROCESS RELATING TO LIMITED PARTNERSHIP
PURCHASES. NO DAMAGES WERE ALLEGED, BUT THE AMOUNTS OF
ACTUAL
LOSS IS/ARE APPROX \$8,416; \$7,448; \$16,533.

Product Type:

Alleged Damages: \$7,448.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$16,652.00

Individual Contribution Amount:

Broker Statement

PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FUND
NO DAMAGES WERE ALLEGED, BUT SETTLEMENTS WERE IN THE
AMOUNTS OF
\$20,962, \$16,652.00, \$28,346.00
ALL PARTNERSHIPS WERE PRUDENTIAL SECURITIES
INVESTMENTS THAT WERE SUPPOSED TO BE SOLID INVESTMENTS FOR
EVERYONE RETURNS WERE TO BE WELL ABOVE AVERAGE AS FAR AS
DIVIDENDS AND GROWTH. WE AS BROKERS BELIEVED WHAT PRUDENTIAL
GAVE TO US AS FAR AS INFORMATION. WE WERE LIED TO.

Disclosure 12 of 30

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

PRUDENTIAL SECURITIES INCORPORATED

Allegations:

THE ABOVE CLIENTS SUBMITTED CLAIM FORMS TO THE CLAIMS RESOLUTION PROCESS RELATING TO LIMITED PARTNERSHIP PURCHASES. NO DAMAGES WERE ALLEGED, BUT THE AMOUNTS OF ACTUAL LOSS IS/ARE APPROX \$8,416; \$7,448; \$16,533.

Product Type:

Alleged Damages: \$8,416.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$20,962.00

Individual Contribution Amount:

Broker Statement

PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FUND NO DAMAGES WERE ALLEGED, BUT SETTLEMENTS WERE IN THE AMOUNTS OF \$20,962, \$16,652.00, \$28,346.00 ALL PARTNERSHIPS WERE PRUDENTIAL SECURITIES INVESTMENTS THAT WERE SUPPOSED TO BE SOLID INVESTMENTS FOR EVERYONE RETURNS WERE TO BE WELL ABOVE AVERAGE AS FAR AS DIVIDENDS AND GROWTH. WE AS BROKERS BELIEVED WHAT PRUDENTIAL GAVE TO US AS FAR AS INFORMATION. WE WERE LIED TO.

Disclosure 13 of 30

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

PRUDENTIAL SECURITIES INCORPORATED

Allegations:

CLIENT ALLEGES MISREPRESENTATION AND UNSUITABILITY IN CONNECTION WITH PRUDENTIAL LIMITED PARTNERSHIPS & PRUTECH, SUMMIT, POLARIS, PB ENERGY, & AG SPANOS. DAMAGES OF \$50,000.00 CLAIMED.

Product Type: No Product

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 12/23/1992

Complaint Pending? No

Status: Settled

Status Date: 05/09/1995

Settlement Amount: \$25,000.00



Individual Contribution Amount: \$0.00

Broker Statement IN REGARDS TO REONSE #11, THIS IS A "GOOD FAITH DETERMINATION" BY MR. EHNOT.

Disclosure 14 of 30

Reporting Source: Individual

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

Allegations: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD
NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE APPROX
\$86,543; 13,064; \$7,227; \$20,995; 19,572; \$23,329; \$7,819;
\$20,746

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$20,746.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date: 03/03/1995

Settlement Amount: \$11,656.00

Individual Contribution Amount: \$0.00

Broker Statement (1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522
(5) 39,981 (6) 48,396 (7) 11,656 5 & 6 WERE IN QUESTION 3 WERE
ADDED TOGETHER
MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH
SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY
BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED
PARTNERHSIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL
REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE
SEMINARS BY MYSELF.

Disclosure 15 of 30

Reporting Source: Individual

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

Allegations: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD
NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE APPROX
\$86,543; 13,064; \$7,227; \$20,995; 19,572; \$23,329; \$7,819;
\$20,746

Product Type:



Alleged Damages: \$7,819.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$11,656.00

Individual Contribution Amount:

Broker Statement

(1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522
(5) 39,981 (6) 48,396 (7) 11,656 5 & 6 WERE IN QUESTION 3 WERE
ADDED TOGETHER
MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH
SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY
BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED
PARTNERSHIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL
REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE
SEMINARS BY MYSELF.

Disclosure 16 of 30

Reporting Source: Individual

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

Allegations: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD
NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE
APPROX
\$86,543; 13,064; \$7,227; \$20,995; 19,572; \$23,329; \$7,819;
\$20,746

Product Type:

Alleged Damages: \$23,329.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$48,396.00

Individual Contribution Amount:

Broker Statement

(1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522
(5) 39,981 (6) 48,396 (7) 11,656 5 & 6 WERE IN QUESTION 3 WERE
ADDED TOGETHER
MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH
SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY
BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED



PARTNERHSIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE SEMINARS BY MYSELF.

Disclosure 17 of 30

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED
Allegations: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD
NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE APPROX
\$86,543; 13,064; \$7,227; \$20,995; 19,572; \$23,329; \$7,819;
\$20,746

Product Type:

Alleged Damages: \$19,572.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$39,981.00

Individual Contribution Amount:

Broker Statement
(1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522
(5) 39,981 (6) 48,396 (7) 11,656 5 & 6 WERE IN QUESTION 3 WERE ADDED TOGETHER
MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED PARTNERHSIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE SEMINARS BY MYSELF.

Disclosure 18 of 30

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED
Allegations: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD
NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE APPROX
\$86,543; 13,064; \$7,227; \$20,995; 19,572; \$23,329; \$7,819;
\$20,746
Product Type:
Alleged Damages: \$20,995.00



Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$32,522.00

Individual Contribution Amount:

Broker Statement

(1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522
(5) 39,981 (6) 48,396 (7) 11,656 5 & 6 WERE IN QUESTION 3 WERE
ADDED TOGETHER
MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH
SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY
BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED
PARTNERSHIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL
REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE
SEMINARS BY MYSELF.

Disclosure 19 of 30

Reporting Source: Individual

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

Allegations: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD
NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE
APPROX
\$86,543; 13,064; \$7,227; \$20,995; 19,572; \$23,329; \$7,819;
\$20,746

Product Type:

Alleged Damages: \$7,227.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$11,185.00

Individual Contribution Amount:

Broker Statement

(1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522
(5) 39,981 (6) 48,396 (7) 11,656 5 & 6 WERE IN QUESTION 3 WERE
ADDED TOGETHER
MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH
SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY
BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED
PARTNERSHIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL
REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE



SEMINARS BY MYSELF.

Disclosure 20 of 30

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED
Allegations: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD
NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE APPROX
\$86,543; 13,064; \$7,227; \$20,995; 19,572; \$23,329; \$7,819;
\$20,746

Product Type:

Alleged Damages: \$13,064.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$22,397.00

Individual Contribution Amount:

Broker Statement

(1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522
(5) 39,981 (6) 48,396 (7) 11,656 5 & 6 WERE IN QUESTION 3 WERE ADDED TOGETHER
MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED PARTNERSHIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE SEMINARS BY MYSELF.

Disclosure 21 of 30

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED
Allegations: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD
NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE APPROX
\$86,543; 13,064; \$7,227; \$20,995; 19,572; \$23,329; \$7,819;
\$20,746

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$86,543.00

Customer Complaint Information

Date Complaint Received: 10/21/1993



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|--|---|
| Complaint Pending? | No |
| Status: | Settled |
| Status Date: | 03/03/1995 |
| Settlement Amount: | \$140,109.00 |
| Individual Contribution Amount: | \$0.00 |
| Broker Statement | (1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522 (5) 39,981 (6) 48,396 (7) 11,656 5 & 6 WERE IN QUESTION 3 WERE ADDED TOGETHER MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED PARTNERSHIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE SEMINARS BY MYSELF. |

Disclosure 22 of 30

| | |
|--|---|
| Reporting Source: | Individual |
| Employing firm when activities occurred which led to the complaint: | PRUDENTIAL SECURITIES INCORPORATED |
| Allegations: | PRUDENTIAL SECURITIES LTD PARTNERSHIP SETTLEMENT RD NO DAMAGES WERE ALLEGED. ACTUAL LOSSES ARE APPROX \$65,013; \$20,699; \$27,168; \$16,851; \$16,963; \$26,690. |
| Product Type: | |
| Alleged Damages: | \$26,690.00 |

Customer Complaint Information

| | |
|--|--|
| Date Complaint Received: | 10/21/1993 |
| Complaint Pending? | No |
| Status: | Settled |
| Status Date: | |
| Settlement Amount: | \$51,265.00 |
| Individual Contribution Amount: | |
| Broker Statement | A SETTLEMENT FOR \$119,532; \$41,376; \$40,768; \$48,976; \$29,353; \$20,199; \$51,265. ALL THESE PEOPLE ATTENDED A SEMINAR AND BOUGHT WHAT WAS PROMISED TO HAVE HAPPENED TO OVER A PERIOD OF 7-10 YEARS OBVIOUSLY NONE OF THESE PROMISES HAVE EVER COME TO FRUITION THANK YOU PRUDENTIAL SECURITIES. |

Disclosure 23 of 30

| | |
|--------------------------|------------|
| Reporting Source: | Individual |
|--------------------------|------------|



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

Allegations: PRUDENTIAL SECURITIES LTD PARTNERSHIP
SETTLEMENT RD NO DAMAGES WERE ALLEGED. ACTUAL LOSSES ARE APPROX \$65,013; \$20,699; \$27,168; \$16,851; \$16,963; \$26,690.

Product Type:

Alleged Damages: \$16,963.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$20,199.00

Individual Contribution Amount:

Broker Statement A SETTLEMENT FOR \$119,532; \$41,376; \$40,768;
\$48,976; \$29,353; \$20,199; \$51,265.
ALL THESE PEOPLE ATTENDED A SEMINAR AND BOUGHT
WHAT WAS PROMISED TO HAVE HAPPENED TO OVER A PERIOD OF 7-10
YEARS OBVIOUSLY NONE OF THESE PROMISES HAVE EVER COME TO
FRUITION THANK YOU PRUDENTIAL SECURITIES.

Disclosure 24 of 30

Reporting Source: Individual

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

Allegations: PRUDENTIAL SECURITIES LTD PARTNERSHIP
SETTLEMENT RD NO DAMAGES WERE ALLEGED. ACTUAL LOSSES ARE APPROX \$65,013; \$20,699; \$27,168; \$16,851; \$16,963; \$26,690.

Product Type:

Alleged Damages: \$16,851.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$29,353.00

Individual Contribution Amount:

Broker Statement A SETTLEMENT FOR \$119,532; \$41,376; \$40,768;
\$48,976; \$29,353; \$20,199; \$51,265.
ALL THESE PEOPLE ATTENDED A SEMINAR AND BOUGHT



WHAT WAS PROMISED TO HAVE HAPPENED TO OVER A PERIOD OF 7-10 YEARS OBVIOUSLY NONE OF THESE PROMISES HAVE EVER COME TO FRUITION THANK YOU PRUDENTIAL SECURITIES.

Disclosure 25 of 30

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED
Allegations: PRUDENTIAL SECURITIES LTD PARTNERSHIP
SETTLEMENT RD NO DAMAGES WERE ALLEGED. ACTUAL LOSSES ARE APPROX \$65,013; \$20,699; \$27,168; \$16,851; \$16,963; \$26,690.

Product Type:

Alleged Damages: \$27,168.00

Customer Complaint Information

Date Complaint Received: 10/21/1993
Complaint Pending? No
Status: Settled
Status Date:
Settlement Amount: \$48,976.00
Individual Contribution Amount:
Broker Statement A SETTLEMENT FOR \$119,532; \$41,376; \$40,768;
\$48,976; \$29,353; \$20,199; \$51,265.
ALL THESE PEOPLE ATTENDED A SEMINAR AND BOUGHT
WHAT WAS PROMISED TO HAVE HAPPENED TO OVER A PERIOD OF 7-10
YEARS OBVIOUSLY NONE OF THESE PROMISES HAVE EVER COME TO
FRUITION THANK YOU PRUDENTIAL SECURITIES.

Disclosure 26 of 30

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED
Allegations: PRUDENTIAL SECURITIES LTD PARTNERSHIP
SETTLEMENT RD NO DAMAGES WERE ALLEGED. ACTUAL LOSSES ARE APPROX \$65,013; \$20,699; \$27,168; \$16,851; \$16,963; \$26,690.

Product Type:

Alleged Damages: \$21,284.00

Customer Complaint Information

Date Complaint Received: 10/21/1993
Complaint Pending? No
Status: Settled
Status Date:



Settlement Amount: \$40,768.00

Individual Contribution Amount:

Broker Statement
A SETTLEMENT FOR \$119,532; \$41,376; \$40,768;
\$48,976; \$29,353; \$20,199; \$51,265.
ALL THESE PEOPLE ATTENDED A SEMINAR AND BOUGHT
WHAT WAS PROMISED TO HAVE HAPPENED TO OVER A PERIOD OF 7-10
YEARS OBVIOUSLY NONE OF THESE PROMISES HAVE EVER COME TO
FRUITION THANK YOU PRUDENTIAL SECURITIES.

Disclosure 27 of 30

Reporting Source: Individual

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

Allegations: PRUDENTIAL SECURITIES LTD PARTNERSHIP
SETTLEMENT RD NO DAMAGES WERE ALLEGED. ACTUAL LOSSES ARE
APPROX \$65,013; \$20,699; \$27,168; \$16,851; \$16,963; \$26,690.

Product Type:

Alleged Damages: \$20,699.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$41,376.00

Individual Contribution Amount:

Broker Statement
A SETTLEMENT FOR \$119,532; \$41,376; \$40,768;
\$48,976; \$29,353; \$20,199; \$51,265.
ALL THESE PEOPLE ATTENDED A SEMINAR AND BOUGHT
WHAT WAS PROMISED TO HAVE HAPPENED TO OVER A PERIOD OF 7-10
YEARS OBVIOUSLY NONE OF THESE PROMISES HAVE EVER COME TO
FRUITION THANK YOU PRUDENTIAL SECURITIES.

Disclosure 28 of 30

Reporting Source: Individual

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

Allegations: PRUDENTIAL SECURITIES LTD PARTNERSHIP
SETTLEMENT RD NO DAMAGES WERE ALLEGED. ACTUAL LOSSES ARE
APPROX \$65,013; \$20,699; \$27,168; \$16,851; \$16,963; \$26,690.

Product Type:

Alleged Damages: \$65,013.00



Customer Complaint Information

| | |
|--|--|
| Date Complaint Received: | 10/21/1993 |
| Complaint Pending? | No |
| Status: | Settled |
| Status Date: | |
| Settlement Amount: | \$119,532.00 |
| Individual Contribution Amount: | |
| Broker Statement | A SETTLEMENT FOR \$119,532; \$41,376; \$40,768; \$48,976; \$29,353; \$20,199; \$51,265. ALL THESE PEOPLE ATTENDED A SEMINAR AND BOUGHT WHAT WAS PROMISED TO HAVE HAPPENED TO OVER A PERIOD OF 7-10 YEARS OBVIOUSLY NONE OF THESE PROMISES HAVE EVER COME TO FRUITION THANK YOU PRUDENTIAL SECURITIES. |

Disclosure 29 of 30

| | |
|--|---|
| Reporting Source: | Regulator |
| Employing firm when activities occurred which led to the complaint: | PRUDENTIAL SECURITIES INCORPORATED |
| Allegations: | BRCH OF FIDUCIARY DT; ACCOUNT RELATED-BREACH OF CONTRACT; CHURNING; ACCOUNT RELATED-NEGLIGENCE |
| Product Type: | |
| Alleged Damages: | \$82,906.18 |

Arbitration Information

| | |
|---|--|
| Arbitration/Reparation Claim filed with and Docket/Case No.: | NASD - CASE #96-01252 |
| Date Notice/Process Served: | 04/01/1996 |
| Arbitration Pending? | No |
| Disposition: | Settled |
| Disposition Date: | 04/23/1997 |
| Disposition Detail: | CLOSED - PARTIES SETTLED THRU MEDIATION ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, 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; OTHER COSTS, 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; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, 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;
OTHER COSTS, 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;
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
INTEREST, 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; OTHER COSTS, 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; ACTUAL/COMPENSATORY DAMAGES,
RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY
AND SEVERALLY; INTEREST, 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;
OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD
AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST
IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY A*See FAQ #1*

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED
Allegations: BREACH OF FIDUCIARY DT; ACCOUNT RELATED; BREACH OF CONTRACT, CHURNING, ACCOUNT RELATED-NEGLIGENCE.

Product Type:

Alleged Damages: \$82,906.1

Customer Complaint Information

Date Complaint Re

Complaint Pending?

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim NATIONAL ASSOC. OF SECURITIES DEALERS; 96-01252
filed with and Docket/Case
No.:

Date Notice/Process Served: 04/01/1996

Arbitration Pending?

Disposition: Settled



Disposition Date: 04/23/1997
Monetary Compensation Amount: \$44,000.00
Individual Contribution Amount:
Broker Statement
SETTLEMENT PAPERS WERE SIGNED FOR \$44,000.00 TO SPLIT BETWEEN ALL PARTIES INCLUDING THE [OTHER CUSTOMERS NAMED] BECAUSE ALL THESE PEOPLE ARE RELATED. NEVER WAS A TRADE MADE IN ANY OF THESE ACCOUNTS WITHOUT CALLING AND GETTING APPROVAL. IF I DID SUCH A BAD JOB WHY DID THEY KEEP ON REFERRING PEOPLE TO ME? PURCHASES OF STOCK WERE EITHER PRUDENTIAL TOP PICKS OR THE CLIENTS WITH THE EXCEPTION OF ONE STOCK AS FAR AS I CAN REMEMBER, I MET WITH THESE PEOPLE VERY OFTEN AND THEY WERE VERY HAPPY UNTIL THE MARKET FELL A FEW HUNDRED POINTS AND THEN EVERYTHING THAT WAS EVER DONE IN THE ACCOUNTS WAS ALL WRONG. THIS WAS ALL TOALLY UNFAIR.

Disclosure 30 of 30

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INC.
Allegations: PRUDENTIAL SECURITIES LIMITED PARTNERSHIP SETTLEMENT FD. NO DAMAGES WERE ALLEGED. ACTUAL LOSS ARE APPROX \$9,529.00

Product Type:

Alleged Damages: \$9,529.00

Customer Complaint Information

Date Complaint Received: 10/21/1993
Complaint Pending? No
Status: Settled
Status Date:
Settlement Amount: \$23,349.00
Individual Contribution Amount:
Broker Statement
\$23,349 PAID TO CLIENT CLIENT CAME TO SEMINAR AND LIKED WHAT WAS PRESENTED BY WHOLESALER. BOUGHT INVESTMENT THAT CAME NOWHERE NEAR WHAT THEY WERE TOLD. AGAIN, THE BROKER IS HELD LIABLE FOR WHAT PRUDENTIAL AND THE GENERAL PARTNERS SAID WOULD HAPPEN TO THESE HORRIBLE INVESTMENTS.





Judgment/Lien

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

Disclosure 1 of 3

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$5,893.00
Judgment/Lien Type: Tax
Date Filed with Court: 05/13/2025
Date Individual Learned: 05/20/2025
Type of Court: Federal Court
Name of Court: Federal
Location of Court: Philadelphia, PA
Docket/Case #: Unknown
Judgment/Lien Outstanding? Yes
Broker Statement The IRS has put Charles on a repayment schedule of \$200 per month.

Disclosure 2 of 3

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$19,000.00
Judgment/Lien Type: Tax
Date Filed with Court: 06/07/2018
Date Individual Learned: 06/07/2018
Type of Court: Tax Lien
Name of Court: Tax Lien
Location of Court: Philadelphia PA
Judgment/Lien Outstanding? Yes
Broker Statement RR was not aware of this tax lien and believes it to be in error. He is in process of resolving.

Disclosure 3 of 3

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$25,065.79
Judgment/Lien Type: Tax
Date Filed with Court: 06/07/2018
Date Individual Learned: 06/07/2018



Type of Court: TAx Lien

Name of Court: Tax Lien

Location of Court: Philadelphia PA

Judgment/Lien Outstanding? Yes

Broker Statement RR was not aware of the tax lien and believes it to be in error. He is in process of resolving.



End of Report

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