

BrokerCheck Report

MARK JOSEPH VAVRUSKA

CRD# 1081194

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

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

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**MARK J. VAVRUSKA**

CRD# 1081194

Currently employed by and registered with the following Firm(s):

IA AMERIPRISE FINANCIAL SERVICES, LLC
 2035 Crocker Rd
 Ste 201
 Westlake, OH 44145
 CRD# 6363
 Registered with this firm since: 05/18/2023

B AMERIPRISE FINANCIAL SERVICES, LLC
 2035 Crocker Rd
 Ste 201
 Westlake, OH 44145-2194
 CRD# 6363
 Registered with this firm since: 05/18/2023

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 19 U.S. states and territories

This broker has passed:

- 3 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- B STIFEL, NICOLAUS & COMPANY, INCORPORATED**
 CRD# 793
 SANDUSKY, OH
 03/2009 - 06/2023
- IA STIFEL, NICOLAUS & COMPANY, INCORPORATED**
 CRD# 793
 ST LOUIS, MO
 03/2009 - 06/2023
- IA BUTLER, WICK & CO., INC.**
 CRD# 120
 YOUNGSTOWN, OH
 06/2008 - 03/2009

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	3

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 19 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**

Main Office Address: **9013RD AVENUE SOUTH
MINNEAPOLIS, MN 55402**

Firm CRD#: **6363**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/18/2023
B	FINRA	General Securities Sales Supervisor	Approved	05/18/2023

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	06/14/2023
B	Arizona	Agent	Approved	03/22/2024
B	Arkansas	Agent	Approved	05/18/2023
B	California	Agent	Approved	05/18/2023
B	Florida	Agent	Approved	05/18/2023
B	Georgia	Agent	Approved	05/22/2023
B	Indiana	Agent	Approved	07/09/2025
B	Kentucky	Agent	Approved	04/14/2025
B	Maryland	Agent	Approved	05/18/2023
B	Michigan	Agent	Approved	05/18/2023
B	Minnesota	Agent	Approved	05/18/2023

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	05/18/2023
B	North Carolina	Agent	Approved	05/18/2023
B	Ohio	Agent	Approved	05/18/2023
IA	Ohio	Investment Adviser Representative	Approved	06/12/2023
B	Pennsylvania	Agent	Approved	01/24/2025
B	South Carolina	Agent	Approved	06/13/2023
B	Texas	Agent	Approved	05/18/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	05/18/2023
B	Vermont	Agent	Approved	05/18/2023
B	Virginia	Agent	Approved	05/18/2023

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

2035 Crocker Rd
Ste 201
Westlake, OH 44145-2194

AMERIPRISE FINANCIAL SERVICES, LLC

Rocky River, OH



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 3 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	05/23/1983

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	12/30/2014

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/08/1997
B Uniform Securities Agent State Law Examination	Series 63	10/23/1984

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 03/2009 - 06/2023	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	SANDUSKY, OH
IA 03/2009 - 06/2023	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	SANDUSKY, OH
IA 06/2008 - 03/2009	BUTLER, WICK & CO., INC.	120	WESTLAKE, OH
B 05/2008 - 03/2009	BUTLER, WICK & CO., INC.	120	WESTLAKE, OH
B 02/2007 - 06/2008	UBS FINANCIAL SERVICES INC.	8174	STRONGSVILLE, OH
IA 02/2007 - 06/2008	UBS FINANCIAL SERVICES INC.	8174	AKRON, OH
IA 11/1999 - 02/2007	MCDONALD INVESTMENTS INC.	566	STRONGSVILLE, OH
B 08/1991 - 02/2007	MCDONALD INVESTMENTS INC.	566	STRONGSVILLE, OH
B 12/1982 - 08/1991	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
05/2023 - Present	Ameriprise Financial Services, LLC.	Registered Rep	Y	Westlake, OH, United States
05/2023 - 05/2023	Ameriprise Financial Services	Registered Rep	Y	Westlake, OH, United States
03/2009 - 05/2023	STIFEL, NICOLAUS & COMPANY, INCORPORATED	BRANCH MANAGER	Y	WESTLAKE, OH, United States
03/2020 - 03/2020	Ameriprise Financial Services, LLC	Registered Rep	Y	Westlake, OH, United States

Registration and Employment History



Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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 Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Customer Dispute	0	3	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	VERMONT SECURITIES DIVISION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/23/1994
Docket/Case Number:	94-004-S
Employing firm when activity occurred which led to the regulatory action:	MCDONALD & COMPANY SECURITIES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	TRANSACTIONING SECURITIES BUSINESS AS AN UNREGISTERED SALES REPRESENTATIVE IN VIOLATION OF 9 VSA SECTION 4213.
Current Status:	Final
Resolution:	Consent



Resolution Date: 06/23/1994

Sanctions Ordered: Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details: RESPONDENT ENTERED INTO A CONSENT ORDER WHEREIN HE NEITHER ADMITTED NOR DENIED THE DIVISION'S ALLEGATIONS. RESPONDENT AGREED TO A \$1,000.00 FINE.

Regulator Statement CONTACT: ENFORCEMENT ATTORNEY 802-828-3420

Reporting Source: Broker

Regulatory Action Initiated By: COMMISSIONER OF BANKING, INSURANCE & SECURITIES OF *SEE FAQ #1*

Sanction(s) Sought: Other

Other Sanction(s) Sought:

Date Initiated: 06/23/1994

Docket/Case Number: 94-004-S

Employing firm when activity occurred which led to the regulatory action: MCDONALD & COMPANY SECURITIES, INC.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Allegations: IT WAS ALLEGED THAT MR. VAVRUSKA TRANSACTED BUSINESS IN VERMONT WHILE ACTING AS A SALES REP WITHOUT BEING REGISTERED OR EXEMPT FROM REGISTRATION IN VIOLATION OF 9 V.S.A. §4213 OF THE SECURITIES ACT.

Current Status: Final

Resolution: Consent

Resolution Date: 06/23/1994

Sanctions Ordered: Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, MR. VAVRUSKA ENTERED INTO A CONSENT ORDER BY AND BETWEEN THE COMMISSIONER OF BANKING, INSURANCE & SECURITIES OF THE STATE



OF VERMONT, MARK J. VAVRUSKA AND MCDONALD & COMPANY
SECURITIES, INC., AND AGREED TO AN ADMINISTRATIVE PENALTY OF
\$1,000.00.

Broker Statement

NOT PROVIDED



Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: PRUDENTIAL-BACHE SECURITIES (PAN AMERICA) INC.

Allegations: Not Provided

Product Type:

Alleged Damages: \$155,480.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #89-02738](#)

Date Notice/Process Served: 11/03/1989

Arbitration Pending? No

Disposition: Other

Disposition Date: 08/27/1990

Disposition Detail: AWARD AGAINST PARTY
ACTUAL/COMPENSATORY DAMAGES, RELIEF
REQUEST HAS BEEN DENIED IN FULL; PUNITIVE/EXEMPLARY DAMAGES,
RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER MONETARY RELIEF,
RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER MONETARY RELIEF,
RELIEF REQUEST HAS BEEN DENIED IN FULL; ACTUAL/COMPENSATOR
DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD
AMOUNT \$14,540.38 JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF,
RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT
\$1,000.00 JOINTLY AND SEVERALL

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL-BACHE SECURITIES (PAN AMERICA) INC.

Allegations: ALLEGED UNSUITABLE AND EXCESSIVE TRADING IN



INDEX OPTIONS WITH ALLEGED COMPENSATORY DAMAGES OF \$77,740
AND
PUNITIVE DAMAGES OF \$100,000.

Product Type:

Alleged Damages: \$155,480.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** [National Assoc. of Securities Dealers; 89-02738](#)

Date Notice/Process Served: 11/03/1989

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 08/27/1990

**Monetary Compensation
Amount:** \$15,540.38

**Individual Contribution
Amount:**

Firm Statement BROKER FOUND JOINTLY AND SEVERALLY LIABLE FOR
COMPENSATORY DAMAGES OF \$14,540.38. NO PUNITIVE DAMAGES
AWARDED.
PREVIOUSLY REPORTED VIA U-4 AMENDMENT ON
10/08/90.

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:	PRUDENTIAL-BACHE SECURITIES (PAN AMERICA) INC.
Allegations:	CUSTOMERS ALLEGED UNSUITABLE AND EXCESSIVE TRADING IN INDEX OPTIONS WITH ALLEGED COMPENSATORY DAMAGES OF \$77,740.00 AND PUNITIVE DAMAGES OF \$100,000.
Product Type:	Other
Alleged Damages:	\$155,480.00

Customer Complaint Information

Date Complaint Received:	11/03/1989
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	11/03/1989
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOC. OF SECURITIES DEALERS; 89-02738
Date Notice/Process Served:	11/03/1989
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	08/27/1990
Monetary Compensation Amount:	\$15,540.38
Individual Contribution Amount:	\$0.00
Broker Statement	BROKER FOUND JOINTLY AND SEVERALLY LIABLE FOR COMPENSATORY DAMAGES OF \$14,540.38. NO PUNITIVE DAMAGES WERE AWARDED. NOT PROVIDED.



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source: Firm

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

Allegations: THE ABOVE REFERENCED CLIENT HAS SUBMITTED A CLAIM FORM TO THE CLAIMS RESOLUTION PROCESS RELATING TO THE PURCHASE OF VARIOUS LIMITED PARTNERSHIPS DURING THE PERIOD 5/86 TO 10/87. THE ABOVE MENTIONED REGISTERED REPRESENTATIVE WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASE. NO DAMAGES WERE ALLEGED BUT THE APPROXIMATE AMOUNT OF THE ACTUAL LOSS (OUT-OF-POCKET) IS: \$15,030

Product Type:

Alleged Damages: \$15,030.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 93-CIV-2164

Date Notice/Process Served: 10/21/1993

Litigation Pending? No

Disposition: Settled

Disposition Date: 10/21/1993



Monetary Compensation Amount: \$29,685.00

Individual Contribution Amount:

Firm Statement

A SETTLEMENT FOR THE ABOVE CLIENT HAS BEEN REACHED IN THE CLAIMS RESOLUTION PROCESS. THE APPROXIMATE DOLLAR AMOUNT OF THE SETTLEMENT IS AS FOLLOWS: \$29,685 THIS MATTER RESULTED FROM THE UNPRECEDENTED, UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000 INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PSI FROM JANUARY 1, 1980 TO JANUARY 1, 1991. THE ABOVE REFERENCED CLIENT SUBMITTED A CLAIM FORM IN RESPONSE TO THIS MAILING. THE CLAIM FORM WAS EVALUATED BY PSI IN ACCORDANCE WITH THE STANDARDS ESTABLISHED UNDER THE SETTLEMENT BETWEEN PSI, THE SEC, NASD AND THE STATE SECURITIES ADMINISTRATORS. THE REPORTED SETTLEMENT AROSE OUT OF THIS UNIQUE PROCESS.

Reporting Source: Broker

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

Allegations: CLIENT SUBMITTED A CLAIM FORM RELATING TO THE PURCHASE OF VARIOUS LIMITED PARTNERSHIPS DURING THE PERIOD 5/86 TO 10/87. MR. VAVRUSKA WAS THE BROKER OF RECORD.

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

Alleged Damages: \$15,030.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Litigation

Status Date: 10/21/1993

Settlement Amount:

Individual Contribution Amount:



Civil Litigation Information

Court Details:	SEC VS. PSI - COURT DOCKET - NO. 93-CIV2164 10/21/93, CLAIM PROCESS SUBMISSION 90140172
Date Notice/Process Served:	10/21/1993
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	10/21/1993
Monetary Compensation Amount:	\$29,685.00
Individual Contribution Amount:	\$0.00
Broker Statement	THIS MATTER RESULTED FROM THE UNPRECEDENTED, UNSOLICITED MAILING OF CLAIM FORMS BY PRUDENTIAL SECURITIES INC. TO OVER 340,000 INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PRUDENTIAL FROM 1/1/80 TO 1/1/91. [CUSTOMER] SUBMITTED A CLAIM FORM IN RESPONSE TO THIS MAILING WHICH WAS EVALUATED BY PRUDENTIAL IN ACCORDANCE WITH THE STANDARDS UNDER THE SETTLEMENT BETWEEN PRUDENTIAL, THE SEC, THE NASD AND THE STATE SECURITIES ADMINISTRATORS.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES, INC.
Allegations:	LOSSES OF \$9,349
Product Type:	
Alleged Damages:	\$9,349.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Litigation
Status Date:	

**Settlement Amount:**

**Individual Contribution
Amount:**

Civil Litigation Information

Court Details: 90324845

Date Notice/Process Served: 10/21/1993

Litigation Pending? No

Disposition: Settled

Disposition Date: 10/21/1993

**Monetary Compensation
Amount:** \$14,444.00

**Individual Contribution
Amount:**

Firm Statement

A SETTLEMENT FOR \$14,444
THIS MATTER RESULTED FROM THE UNPRECEDENTED,
UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000
INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PSI
FROM
1/1/80 TO 1/1/91. [CUSTOMER] SUBMITTED A CLAIM FORM IN
RESPONSE TO THIS MAILING, WHICH WAS EVALUATED BY PSI IN
ACCORDANCE WITH THE STANDARDS UNDER THE SETTLEMENT
BETWEEN PSI,
AND SEC NASD AND THE STATE SECURITIES ADMINISTRATORS.

Reporting Source: Broker

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

Allegations: LOSSES OF \$9,349.00; NO DAMAGES WERE ALLEGED

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$9,349.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No



Status: Litigation
Status Date: 10/21/1993
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Arbitration Information

Disposition:
Disposition Date: 10/21/1993

Civil Litigation Information

Court Details: 90324845
Date Notice/Process Served: 10/21/1993
Litigation Pending? No
Disposition: Settled
Disposition Date: 10/21/1993
Monetary Compensation Amount: \$14,444.00
Individual Contribution Amount:

Broker Statement

A SETTLEMENT FOR \$14,444.00 THIS MATTER RESULTED FROM THE UNPRECEDENTED,UNSOLICITED MAILING OF CLAIM FORMS BY PRUDENTIAL SECURITIES,INC. TO OVER 340,000 INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PRUDENTIAL FROM 1/1/80 TO 1/1/91. [CUSTOMER] SUBMITTED A CLAIM FORM IN RESPONSE TO THIS MAILING, WHICH WAS EVALUATE BY PRUDENTIAL IN ACCORDANCE WITH THE STANDARDS UNDER THE SETTLEMENT BETWEEN PRUDENTIAL THE SEC THE NASD AND THE STAE SECURITIES ADMINISTRATORS.

End of Report



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