

## BrokerCheck Report

**MICHAEL JAMES BOCK**

CRD# 1261530

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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:
  - 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
  - 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).



## MICHAEL J. BOCK

CRD# 1261530

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

**IA WELLS FARGO ADVISORS**  
1675 N MILITARY TRAIL STE 500  
BOCA RATON, FL 33486  
CRD# 19616  
Registered with this firm since: 06/20/2018

**B WELLS FARGO CLEARING SERVICES, LLC**  
1675 N MILITARY TRAIL STE 500  
BOCA RATON, FL 33486  
CRD# 19616  
Registered with this firm since: 06/20/2018

## 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:**

- 6 Self-Regulatory Organizations
- 33 U.S. states and territories

**This broker has passed:**

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

### Registration History

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

- IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
CRD# 7691  
NEW YORK, NY  
04/2009 - 06/2018
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
CRD# 7691  
MIAMI, FL  
04/2009 - 06/2018
- IA CITIGROUP GLOBAL MARKETS INC.**  
CRD# 7059  
NEW YORK, NY  
07/2004 - 04/2009

### 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
Criminal	1
Customer Dispute	4
Financial	1



## 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 6 SROs and is licensed in 33 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **WELLS FARGO CLEARING SERVICES, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE  
MAIL CODE: H0004-05E  
ST. LOUIS, MO 63103**

Firm CRD#: **19616**

SRO	Category	Status	Date
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	12/02/2021
<b>B</b> FINRA	General Securities Representative	Approved	06/20/2018
<b>B</b> NYSE American LLC	General Securities Representative	Approved	06/20/2018
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	06/20/2018
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	06/20/2018
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	06/20/2018

U.S. State/ Territory	Category	Status	Date
<b>B</b> Alabama	Agent	Approved	06/21/2018
<b>B</b> Arizona	Agent	Approved	06/20/2018
<b>B</b> California	Agent	Approved	06/21/2018
<b>B</b> Colorado	Agent	Approved	06/25/2018
<b>B</b> Connecticut	Agent	Approved	06/21/2018
<b>B</b> Delaware	Agent	Approved	06/20/2018
<b>B</b> District of Columbia	Agent	Approved	06/20/2018

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	06/21/2018
IA	Florida	Investment Adviser Representative	Approved	06/21/2018
B	Georgia	Agent	Approved	06/21/2018
B	Illinois	Agent	Approved	06/21/2018
B	Indiana	Agent	Approved	06/22/2018
B	Kentucky	Agent	Approved	06/25/2018
B	Louisiana	Agent	Approved	06/20/2018
B	Maryland	Agent	Approved	06/21/2018
B	Massachusetts	Agent	Approved	01/23/2025
B	Michigan	Agent	Approved	06/20/2018
B	Missouri	Agent	Approved	02/04/2019
B	Nevada	Agent	Approved	06/20/2018
B	New Jersey	Agent	Approved	06/20/2018
B	New Mexico	Agent	Approved	06/20/2018
B	New York	Agent	Approved	06/20/2018
B	North Carolina	Agent	Approved	06/20/2018
B	North Dakota	Agent	Approved	10/18/2021
B	Ohio	Agent	Approved	06/20/2018
B	Oregon	Agent	Approved	07/20/2018
B	Pennsylvania	Agent	Approved	06/20/2018
B	Rhode Island	Agent	Approved	06/25/2018

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	South Carolina	Agent	Approved	06/25/2018
B	Tennessee	Agent	Approved	06/20/2018
B	Texas	Agent	Approved	06/20/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	06/20/2018
B	Utah	Agent	Approved	06/20/2018
B	Virginia	Agent	Approved	06/20/2018
B	Wisconsin	Agent	Approved	06/28/2018

### Branch Office Locations

#### WELLS FARGO CLEARING SERVICES, LLC

1675 N MILITARY TRAIL STE 500  
BOCA RATON, FL 33486

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## 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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> National Commodity Futures Examination	Series 3	06/01/1984
<b>B</b> General Securities Representative Examination	Series 7	04/14/1984

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	12/05/1996
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	05/02/1984

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/](http://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>IA</b> 04/2009 - 06/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	MIAMI, FL
<b>B</b> 04/2009 - 06/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	MIAMI, FL
<b>IA</b> 07/2004 - 04/2009	CITIGROUP GLOBAL MARKETS INC.	7059	CORAL GABLES, FL
<b>B</b> 07/2004 - 04/2009	CITIGROUP GLOBAL MARKETS INC.	7059	CORAL GABLES, FL
<b>IA</b> 01/1999 - 07/2004	MORGAN STANLEY	7556	BOCA RATON, FL
<b>B</b> 01/1999 - 07/2004	MORGAN STANLEY DW INC.	7556	PURCHASE, NY
<b>B</b> 09/1994 - 01/1999	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
<b>B</b> 04/1988 - 09/1994	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
<b>B</b> 05/1984 - 04/1988	E. F. HUTTON & COMPANY INC	235	

### 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
06/2018 - Present	Wells Fargo Clearing Services, LLC	Registered Rep	Y	Boca Raton, FL, United States
12/2009 - 06/2018	BANK OF AMERICA, N.A.	FINANCIAL ADVISOR	Y	CORAL GABLES, FL, United States
04/2009 - 06/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	CORAL GABLES, FL, 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.

CO-TRUSTEE FOR PARENT'S TRUST, INV RELATED, BOCA RATON, FL, START: 4/9/2020, 1 HR/MONTH, 0 HRS DURING TRADING.

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## 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:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - 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.
  -
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - 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.
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4. **There are different statuses and dispositions for disclosure events:**
  - 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.
  - 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
Criminal	0	1	0
Customer Dispute	0	4	N/A
Financial	0	1	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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Court Details:	CITY AND COUNTY DENVER, COLORADO #82CR1358
Charge Date:	04/01/1982
Charge Details:	CHARGE OF POSSESSION OF SUSPECTED CONTROLLED SUBSTANCE
Felony?	
Current Status:	Final
Status Date:	09/17/1984
Disposition Details:	DISMISSED
Broker Statement	THE CHARGE WAS DISMISSED



## 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:** Regulator

**Employing firm when activities occurred which led to the complaint:** SHEARSON LEHMAN BROTHERS

**Allegations:** MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE; SUITABILITY

**Product Type:**

**Alleged Damages:** \$61,234.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #93-05114

**Date Notice/Process Served:** 01/28/1994

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/11/1995

**Disposition Detail:** PENDING  
Not Provide

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** SHEARSON LEHMAN BROTHERS

**Allegations:** MISREPRESENTATION, FRAUD, RICO, FEDERAL AND STATE SECURITIES LAW VIOLATIONS, UNSUITABLE TRADES, BREACH OF CONTRACT AND FIDUCIARY/AGENCY LAW. CLAIMANTS ALLEGED THAT CERTAIN PURCHASES AND SALES OF SECURITIES RESULTED IN LOSSES OF \$61,234 PLUS

**Product Type:**



**Alleged Damages:** \$61,234.00

## Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 07/11/1995

**Settlement Amount:**

**Individual Contribution Amount:**

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 93-05114

**Date Notice/Process Served:** 01/28/1994

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/11/1995

**Monetary Compensation Amount:** \$19,500.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** MATTER WAS SETTLED FOR \$19,500.00 BROKER DID NOT CONTRIBUTE TO THE SETTLEMENT.  
CONTACT:WILLIAM OLSHAN (212)526-2708

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** SHEARSON LEHMAN BROTHERS

**Allegations:** MISREPRESENTATION, BREACH OF FIDUCIARY DUTY  
ACCT RELATED NEGLIGENCE, SUITABILITY ASKED 183,702.00

**Product Type:**



**Alleged Damages:** \$61,234.00

## Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 07/11/1995

**Settlement Amount:**

**Individual Contribution Amount:**

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 93-05114

**Date Notice/Process Served:** 01/28/1994

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/11/1995

**Monetary Compensation Amount:** \$19,500.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** MATTER WAS SETTLED FOR \$19,500. BROKER DID NOT CONTRIBUTE TO THE SETTLEMENT  
LEHMNA BROTHERS FOUND NO LIABILITY ATTRIBUTABLE TO THE BROKER. LEHMAN DECIDED TO SETTLE THIS MATTER FOR BOTH TIME AND ECONOMIC EFFICIENCY. MR BOCK WAS NOT ASKED TO CONTRIBUTE TOWARD THIS SETTLEMENT IN ANY MANNER

## Disclosure 2 of 2

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** SHEARSON LEHMAN BROTHERS, INC.



**Allegations:** ALLEGED VIOLATIONS OF ERISA AND UNSUITABILITY

**Product Type:**

**Alleged Damages:**

### **Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Litigation

**Status Date:** 09/04/1992

**Settlement Amount:**

**Individual Contribution  
Amount:**

### **Civil Litigation Information**

**Court Details:** U.S. DISTRICT; DISTRICT OF CO; 92.F-42

**Date Notice/Process Served:** 01/14/1992

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 09/04/1992

**Broker Statement** SHEARSON LEHMAN BROTHERS CONTRIBUTED 12,363.30  
TO SETTLEMENT.  
BROKER WAS NEVER MADE A PARTY TO THE LAWSUIT  
INVESTMENTS IN QUESTION WERE MADE BY ASPEN AIRWAYS  
(DEFENDENT)  
BEFORE MR BOCK WAS ASSOCIATED WITH DEFENDENT'S 401K PLAN AS  
THE  
ADVISOR.





## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

### Disclosure 1 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DW, INC.

**Allegations:** CUSTOMER ALLEGES THAT INVESTMENTS IN HIS ACCOUNT WERE NOT IN ACCORD WITH HIS INVESTMENT OBJECTIVES. DAMAGES UNSPECIFIED.

**Product Type:** Equity - OTC

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 10/20/2004

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/17/2005

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DEAN WITTER

**Allegations:** THE CUSTOMER COMPLAINED THAT THE THREE SECURITIES WERE DOWN IN VALUE. THE CUSTOMER HAS TAKEN NO OTHER ACTION.

**Product Type:** Equity - OTC

**Alleged Damages:** \$0.00

### Customer Complaint Information



**Date Complaint Received:** 10/20/2004

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/17/2005

**Settlement Amount:**

**Individual Contribution Amount:**

#### Disclosure 2 of 2

**Reporting Source:** Firm

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

**Allegations:** PRUDENTIAL SECURITIES RECEIVED A COMPLAINT ALLEGING THAT MR. BOCK PROMISED SUBSTANTIAL PROFITS BUT INSTEAD THE STOCKS PURCHASED DECLINED IN VALUE. ALLEGED DAMAGES LOSSES OF \$50,000.

**Product Type:**

**Alleged Damages:** \$50,000.00

#### Customer Complaint Information

**Date Complaint Received:** 01/26/1999

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 02/25/1999

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** CLAIM REJECTED IN WRITING BY PRUDENTIAL SECURITIES AND SUBSEQUENTLY WITHDRAWN IN WRITING BY CLIENT.  
N/A



**Reporting Source:** Broker

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

**Allegations:** PRUDENTIAL SECURITIES RECEIVED A COMPLAINT ALLEGING THAT MR. BOCK PROMISSED SUBSTANTIAL PROFITS BUT INSTEAD THE STOCK PURCHASED DECLINE IN VALUE. ALLEGED LOSSES OF \$50,000.

**Product Type:**

**Alleged Damages:** \$50,000.00

**Customer Complaint Information**

**Date Complaint Received:** 01/26/1999

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 02/25/1999

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** COMPLAINT WITHDRAWN AGAINST MR BOCK. THIS COMPLAINT WAS PRODUCT RELATED ONLY. THE CLIENT HAS WITHDRAWN THE COMPLAINT IN WRITING TO PRUDENTIAL FEB 23, 1999. ADDITIONALLY THE CLIENT HAS CONTINUED TO DO BUSINESS WITH MR. BOCK AT HIS NEW FIRM MORGAN STANLEY DEAN WITTER.

**Financial - Final**

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

**Disclosure 1 of 1**

**Reporting Source:** Broker

**Action Type:** Compromise

**Action Date:** 10/22/2015

**Organization Investment-Related?**

**Action Pending?** No

**Disposition:** Satisfied/Released

**Disposition Date:** 10/22/2015

**If a compromise with creditor, provide:**

**Name of Creditor:** CITIGROUP GLOBAL MARKETS, INC

**Original Amount Owed:** \$835,812.28

**Terms Reached with Creditor:** Representative and Creditor settled for \$350,000.

## End of Report



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