

BrokerCheck Report

JAMES RANDALL PRINGLE

CRD# 1277121

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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



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.



JAMES R. PRINGLE

CRD# 1277121

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

IA WELLS FARGO ADVISORS
200 E EAU GALLIE BLVD
INDIAN HARBOUR BEACH, FL 32937
CRD# 19616
Registered with this firm since: 02/28/2006

B WELLS FARGO CLEARING SERVICES, LLC
200 E EAU GALLIE BLVD
INDIAN HARBOUR BEACH, FL 32937
CRD# 19616
Registered with this firm since: 06/22/2005

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
- 34 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA UBS FINANCIAL SERVICES INC.**
CRD# 8174
WEEHAWKEN, NJ
01/1997 - 06/2005
- B UBS FINANCIAL SERVICES INC.**
CRD# 8174
WEEHAWKEN, NJ
01/1997 - 06/2005
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
NEW YORK, NY
07/1992 - 01/1997

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	6



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 34 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 Cboe Exchange, Inc.	General Securities Representative	Approved	11/19/2021
B FINRA	General Securities Representative	Approved	06/22/2005
B NYSE American LLC	General Securities Representative	Approved	07/29/2011
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	06/22/2005

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	12/26/2024
B California	Agent	Approved	07/30/2021
B Colorado	Agent	Approved	03/25/2015
B Connecticut	Agent	Approved	02/04/2019
B Delaware	Agent	Approved	05/15/2023
B Florida	Agent	Approved	06/22/2005
IA Florida	Investment Adviser Representative	Approved	02/28/2006

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	04/28/2021
B	Hawaii	Agent	Approved	03/21/2011
B	Idaho	Agent	Approved	10/12/2022
B	Illinois	Agent	Approved	05/06/2014
B	Kentucky	Agent	Approved	10/07/2014
B	Louisiana	Agent	Approved	04/15/2020
B	Maine	Agent	Approved	11/17/2023
B	Maryland	Agent	Approved	01/07/2019
B	Minnesota	Agent	Approved	07/14/2016
B	Montana	Agent	Approved	04/27/2022
B	Nebraska	Agent	Approved	07/18/2022
B	Nevada	Agent	Approved	10/13/2022
B	New Hampshire	Agent	Approved	12/07/2021
B	New Jersey	Agent	Approved	01/09/2019
B	New Mexico	Agent	Approved	09/29/2022
B	New York	Agent	Approved	06/22/2005
B	North Carolina	Agent	Approved	06/22/2005
B	Ohio	Agent	Approved	01/13/2021
B	Oregon	Agent	Approved	11/15/2019
B	Pennsylvania	Agent	Approved	07/11/2018
B	South Carolina	Agent	Approved	12/22/2011



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Tennessee	Agent	Approved	01/13/2021
B	Texas	Agent	Approved	10/26/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	10/26/2017
B	Utah	Agent	Approved	04/27/2022
B	Vermont	Agent	Approved	12/02/2022
B	Virginia	Agent	Approved	01/07/2019
B	Washington	Agent	Approved	04/27/2022
B	Wisconsin	Agent	Approved	04/29/2020

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC
 200 E EAU GALLIE BLVD
 INDIAN HARBOUR BEACH, FL 32937



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, 4 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 Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	11/30/1998
B General Securities Representative Examination	Series 7	07/06/1992
B Investment Company Products/Variable Contracts Representative Examination	Series 6	08/31/1984

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	02/17/2006
B Uniform Securities Agent State Law Examination	Series 63	07/28/1992

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
IA 01/1997 - 06/2005	UBS FINANCIAL SERVICES INC.	8174	MELBOURNE, FL
B 01/1997 - 06/2005	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ
B 07/1992 - 01/1997	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 09/1984 - 02/1991	PRUCO SECURITIES CORPORATION	5685	NEWARK, NJ

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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	CAPE CANAVERAL, FL, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	CAPE CANAVERAL, FL, United States

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.

POWER OF ATTORNEY FOR FAMILY ACCOUNTS; INVESTMENT RELATED; INDIAN HARBOUR BEACH, FL; POA; 06/19/2019; 1 HOUR PER MONTH; NO HOURS DURING TRADING HOURS;

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.
 -
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
Regulatory Event	0	1	0
Customer Dispute	0	6	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:	TEXAS STATE SECURITIES BOARD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/20/1998
Docket/Case Number:	CAF-1291
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	Not Provided
Current Status:	Final
Resolution:	Order
Resolution Date:	08/20/1998
Sanctions Ordered:	Monetary/Fine \$250.00

**Other Sanctions Ordered:****Sanction Details:**

ON AUGUST 20, 1998, THE SECURITIES COMMISSIONER ENTERED A DISCIPLINARY ORDER AGAINST JAMES RANDALL PRINGLE. RESPONDENT FAILED TO DISCLOSE A BANKRUPTCY FILING AS REQUIRED. PURSUANT TO SECTIONS 14.A(6),(7) AND 23-1 OF THE TEXAS SECURITIES ACT AN ORDER OF REPRIMAND AND FINE OF \$250.00 IS ISSUED.

Regulator Statement

CONTACT: ENFORCEMENT (512) 305-8392

Reporting Source:

Broker

Regulatory Action Initiated By:

STATE OF TEXAS, STATE SECURITIES BOARD, DEALER REGISTRATION

Sanction(s) Sought:

Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:**Date Initiated:**

08/20/1998

Docket/Case Number:

CAF-1291

Employing firm when activity occurred which led to the regulatory action:

MERRILL LYNCH

Product Type:

Equity Listed (Common & Preferred Stock)

Other Product Type(s):**Allegations:**

THE STATE OF TEXAS, STATE SECURITIES BOARD, DEALER REGISTRATION DIVISION, ALLEGED THAT THE REGISTRANT FAILED TO DISCLOSE THE FILING OF BANKRUPTCY PETITION ON HIS FORM U-4 APPLICATION FOR REGISTRATION WHILE APPLYING FOR REGISTRATION WITH MERRILL LYNCH, PEIRCE, FENNER & SMITH INCORPORATED. THE BANKRUPTCY PETITION WAS NOT DISCLOSED BY THE REGISTRANT UNTIL HE BECAME EMPLOYED BY PAINWEBBER INC.

Current Status:

Final

Resolution:

Order

Resolution Date:

08/20/1998

Sanctions Ordered:

Monetary/Fine \$250.00



Other Sanctions Ordered:

Sanction Details:

THE REGISTRANT CONSENTED TO THE ENTRY OF A DISCIPLINARY ORDER BY THE SECUTITIES COMMISSIONER OF THE STATE OF TEXAS WHEREBY HIS REGISTRATION APPLICATION WITH THE STATE OF TEXAS WAS APPROVED; HE WAS REPRIMANDED AND ORDERED TO PAY AN ADMINSTRATIVE FINE OF \$250.

Broker Statement

REGISTRANT WAS UNDER THE IMPRESSION THAT HIS FORM U-4 HAD BEEN AMENDED AS REQUIRED DURING THE TENURE OF HIS EMPLOYMENT WITH MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED. UPON LEARNING THAT HIS FORM U-4 HAD NOT BEEN AMENDED, THE REGISTRANT TOOK IMMEDIATE STEPS TO CORRECT THE OMMISSION WHEN HE BECAME EMPLOYED BY PAINWEBBER INC.



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:	Broker
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS
Allegations:	THIS VERBAL COMPLAINT AROSE OUT OF THE SALE OF AN ARS THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008."
Product Type:	Other: ARS
Alleged Damages:	\$5,000.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/05/2008
Complaint Pending?	No
Status:	Settled
Status Date:	08/15/2008
Settlement Amount:	\$175,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHETHER THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR



WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENTS TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.

Disclosure 2 of 2

Reporting Source: Broker

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

Allegations: CUSTOMER ALLEGES THAT FA FAILED TO FOLLOW HER INSTRUCTIONS TO PURCHASE 133 SHARES OF CISCO AT \$61.124 IN JULY 1999. DAMAGES NOT SPECIFIED BUT GREATER THAN \$5000.

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/08/2000

Complaint Pending? No

Status: Settled

Status Date: 07/17/2000

Settlement Amount: \$2,000.00

Individual Contribution Amount: \$0.00

Broker Statement FINANCIAL ADVISOR STATES THAT HE WAS NEVER GIVEN A FIRM ORDER TO PURCHASE 133 SHARES OF CISCO.



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 4

Reporting Source: Firm

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

Allegations: CLIENT THROUGH HIS ATTORNEY, ALLEGES "EXCESSIVE FEES WERE CHARGED TO HIS INSIGHTONE RESOURCE MANAGEMENT ACCOUNT[CLIENT] CONTENDS THAT HE AGREED TO PAY YOUR FIRM 50 BASIS POINTS TO MANAGE HIS ACCOUNT AND WAS INSTEAD CHARGED 1% MANAGEMENT FEE"

Product Type: Other

Other Product Type(s): INSIGHT ONE MANAGED ACCOUNT

Alleged Damages: \$5,889.93

Customer Complaint Information

Date Complaint Received: 10/12/2005

Complaint Pending? No

Status: Denied

Status Date: 04/05/2007

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

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

Allegations: CLIENT THROUGH HIS ATTORNEY ALLEGES" EXCESSIVE FEES WERE CHARGED TO HIS INSIGHTONE RESOURCE MANAGEMENT ACCOUNT. CLIENT CONTENTS THAT HE AGREED TO PAY YOUR FIRM 50 BASIS POINTS



TO MANAGE HIS ACCOUNT AND WAS INSTEAD CHARGED 1% MANAGEMENT FEE.

Product Type: Other
Other Product Type(s): INSIGHT ONE MANAGED ACCOUNT
Alleged Damages: \$5,889.93

Customer Complaint Information

Date Complaint Received: 10/12/2005
Complaint Pending? No
Status: Denied
Status Date: 04/05/2007
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00
Broker Statement CLIENT CHARGED APPROPRIATE AMOUNT.

Disclosure 2 of 4

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

Allegations: CLIENT ALLEGES THAT ON OR ABOUT MARCH 9, 2005, CLIENT CALLED THE FA AND INSTRUCTED HIM "TO SELL THE FORD AND GM NOTES". THE CLIENT STATES THAT WHEN SHE "DID NOT RECEIVE THE CONFIRMATION OF THE SALE IN THE MAIL, SHE CALLED MR. PRINGLE AND LEARNED THAT HE NEGLECTED TO SELL THE NOTES AS SHE HAD INSTRUCTED".

Product Type: Debt - Corporate
Alleged Damages: \$9,500.00

Customer Complaint Information

Date Complaint Received: 08/09/2005
Complaint Pending? No
Status: Closed/No Action
Status Date: 04/20/2006



Settlement Amount:

Individual Contribution Amount:

Firm Statement

CLIENT FILED FOR ARBITRATION BUT DID NOT NAMED MR. PRINGLE AS A RESPONDENT.

Reporting Source:

Broker

Employing firm when activities occurred which led to the complaint:

UBS FINANCIAL SERVICES INC.

Allegations:

CLIENT ALLEGES THAT ON OR ABOUT MARCH 9, 2005, CLIENT CALLED THE FA AND INSTRUCTED HIM "TO SELL THE FORD AND GM NOTES". THE CLIENT STATES THAT WHEN SHE "DID NOT RECEIVE THE CONFIRMATION OF THE SALE IN THE MAIL, SHE CALLED MR. PRINGLE AND LEARNED THAT HE NEGLECTED TO SELL THE NOTES AS SHE HAD INSTRUCTED".

Product Type:

Debt - Corporate

Alleged Damages:

\$9,500.00

Customer Complaint Information

Date Complaint Received:

08/09/2005

Complaint Pending?

No

Status:

Closed/No Action

Status Date:

04/20/2006

Settlement Amount:

Individual Contribution Amount:

Broker Statement

ORDER ENTERED WHEN CLIENT INSTRUCTIONS WERE GIVEN.

Disclosure 3 of 4

Reporting Source:

Broker

Employing firm when activities occurred which led to the complaint:

UBS PAINWEBBER INC.



Allegations: CLIENT ALLEGES FA RECOMMENDED UNSUITABLE POSITIONS FOR HIS ACCOUNTS. ALLEGED DAMAGES:UNSPECIFIED BUT DETERMINED TO EXCEED \$5000.

Product Type: Equity - OTC

Other Product Type(s): MUTUAL FUNDS

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/30/2001

Complaint Pending? No

Status: Denied

Status Date: 02/05/2002

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 4

Reporting Source: Firm

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

Allegations: REGARDING THE 1986 PURCHASE OF A VARIABLE APPRECIABLE LIFE (VAL) INSURANCE POLICY, THE CLIENT ALLEGED MISREPRESENTATION CONCERNING A FUNDING PROPOSAL. THE INSURED DID NOT ALLEGE ANY SPECIFIED DAMAGES; HOWEVER, THE COMPANY'S GOOD FAITH DETERMINATION ESTIMATES THEM TO BE APPROXIMATELY \$7,876.13.

Product Type: Insurance

Alleged Damages: \$7,876.13

Alleged Damages Amount Explanation (if amount not exact): THE COMPANY'S GOOD FAITH DETERMINATION ESTIMATES THEM TO BE APPROXIMATELY \$7,876.13.

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: 09/30/1997

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/14/1998

Settlement Amount:

**Individual Contribution
Amount:**

Firm Statement

THIS CASE HAS BEEN REFERRED FOR SETTLEMENT UNDER
THE COMPANY'S REMEDIATION PLAN. IN ACCORDANCE WITH THE NASD
DIRECTIVE, SETTLEMENTS UNDER THE COMPANY'S REMEDIATION PLAN
ARE
NOT REPORTABLE.
THIS MATTER IS BEING REPORTED CONSISTENT WITH
NASDR RULES PERTAINING TO THE REPORTING OF CERTAIN WRITTEN
CUSTOMER COMPLAINTS. THE COMPANY BY THIS FILING MAKES NO
ALLEGATIONS REGARDING THE ACTIONS OF THE REPRESENTATIVE.

Reporting Source: Broker

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

Allegations: REGARDING THE 1986 PURCHASE OF A VARIABLE APPRECIABLE LIFE
(VAL) INSURANCE POLICY THE CLIENT ALLEGED MISREPRESENTATION
CONCERNING A FUNDING PROPOSAL THE INSURED DID NOT ALLEGE ANY
SPECIFIED DAMAGES: HOWEVER THE COMPANY GOOD FAITH
DETERMINATION ESTIMATED THEM TO BE APPROXIMATELY \$7,876.13.

Product Type: Insurance

Alleged Damages: \$0.00



Alleged Damages Amount Explanation (if amount not exact): DID NOT ALLEGE ANY SPECIFIED DAMAGES, HOWEVER THE COMPANY GOOD FAITH DETERMINATION ESTIMATED THEM TO BE APPROXIMATELY \$7,876.13.

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: 09/30/1997

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/14/1998

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FUNDING PROPOSAL WAS COMPANY STANDARD PROPOSAL. IT WAS NOT PERSONALLY GENERATED. IT WAS DOWNS UNING COMPANY NUMBERS AND COMPANY SOFTWARE.

End of Report



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