

BrokerCheck Report

MICHAEL LAWRENCE RULE

CRD# 1972917

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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.

**MICHAEL L. RULE**

CRD# 1972917

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

IA QUINT CAPITAL MANAGEMENT
 230 Park Ave Ste 460
 New York, NY 10169
 CRD# 26586
 Registered with this firm since: 09/07/2018

B QUINT CAPITAL CORPORATION
 230 Park Ave Ste 460
 New York, NY 10169
 CRD# 26586
 Registered with this firm since: 04/27/2015

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
- 21 U.S. states and territories

This broker has passed:

- 0 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 APB FINANCIAL GROUP, LLC**
 CRD# 38235
 NEW YORK, NY
 03/2010 - 04/2015
- B TALLEY & COMPANY**
 CRD# 29203
 NEWPORT BEACH, CA
 12/2007 - 05/2009
- B VISION**
 CRD# 47927
 NEW YORK, NY
 03/2001 - 12/2007

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	3
Termination	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 1 SRO and is licensed in 21 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **QUINT CAPITAL CORPORATION**

Main Office Address: **230 PARK AVE - 361W
NEW YORK, NY 10169**

Firm CRD#: **26586**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/27/2015

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	05/05/2017
B	California	Agent	Approved	05/21/2015
B	Colorado	Agent	Approved	06/15/2017
B	Florida	Agent	Approved	05/29/2015
IA	Florida	Investment Adviser Representative	Approved	09/07/2018
B	Georgia	Agent	Approved	03/13/2023
B	Idaho	Agent	Approved	05/31/2017
B	Louisiana	Agent	Approved	08/11/2017
B	Maryland	Agent	Approved	08/22/2019
B	Massachusetts	Agent	Approved	06/11/2019
B	Michigan	Agent	Approved	12/19/2022
B	Mississippi	Agent	Approved	05/11/2017



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Hampshire	Agent	Approved	08/11/2017
B	New Jersey	Agent	Approved	09/29/2021
B	New York	Agent	Approved	04/27/2015
IA	New York	Investment Adviser Representative	Approved	03/18/2022
B	North Carolina	Agent	Approved	07/24/2017
B	Oklahoma	Agent	Approved	06/01/2017
B	Pennsylvania	Agent	Approved	03/22/2016
B	Rhode Island	Agent	Approved	04/27/2017
B	South Carolina	Agent	Approved	02/23/2023
B	Texas	Agent	Approved	11/16/2018
B	Virginia	Agent	Approved	05/27/2015

Branch Office Locations

QUINT CAPITAL CORPORATION

230 Park Ave Ste 460
New York, NY 10169



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, 2 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 General Securities Representative Examination	Series 7	05/01/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/06/2018
B Uniform Securities Agent State Law Examination	Series 63	10/08/1992

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
B 03/2010 - 04/2015	APB FINANCIAL GROUP, LLC	38235	NEW YORK, NY
B 12/2007 - 05/2009	TALLEY & COMPANY	29203	NEWPORT BEACH, CA
B 03/2001 - 12/2007	VISION	47927	NEW YORK, NY
B 05/2000 - 01/2001	RM STARK & CO INC.	7612	LAKE WORTH BEACH, FL
B 01/1999 - 04/1999	DALTON KENT SECURITIES GROUP, INC.	38813	NEW YORK, NY
B 05/1998 - 12/1998	J.P. TURNER & COMPANY, L.L.C.	43177	ATLANTA, GA
B 08/1997 - 01/1998	NICHOLS, SAFINA, LERNER & CO. INC.	35476	NEW YORK, NY
B 11/1996 - 04/1997	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 02/1994 - 10/1996	SMITH BARNEY INC.	7059	NEW YORK, NY
B 05/1992 - 03/1994	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, 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
01/2010 - Present	APB FINANCIAL GROUP	REGISTERED REP	Y	NEW YORK, NY, 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.

No information reported.

Registration and Employment History



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
Regulatory Event	0	3	0
Termination	N/A	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.

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 3

Reporting Source: Regulator

Regulatory Action Initiated By: Maryland Division of Securities

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/25/1999

Docket/Case Number: 99-0428

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

Product Type:

Other Product Type(s):

Allegations: [The Division issued an Order to Show Cause and Summary Suspension after Rule consented to a censure and a 9 month bar by the NYSE for violation of Exchange Rules. The Order provided that failure to request a hearing within 15 days from the date of the Orders would result in his agent registration being revoked in Maryland.]

Current Status: Final



Resolution: Order

Resolution Date: 05/25/1999

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: No hearing was requested. Final Order of Revocation issued 5/25/99.

Regulator Statement Agent registration revoked 5/25/99. CONTACT: ELLEN E. CHERRY, (410) 576-6494.

Reporting Source: Firm

Regulatory Action Initiated By: STATE OF MARYLAND

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/25/1999

Docket/Case Number: 99-0428

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

Product Type:

Other Product Type(s):

Allegations: THE STATE OF MARYLAND SUSPENDED REGISTRATION BASED ON A PENDING NINE MONTH SUSPENSION BY THE NYSE.

Current Status: Final

Resolution: Order

Resolution Date: 05/25/1999

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: SUSPENDED IN THE STATE OF MARYLAND.

Firm Statement Not Provided



Reporting Source:	Broker
Regulatory Action Initiated By:	MARYLAND DIVISION OF SECURITIES
Sanction(s) Sought:	Revocation
Date Initiated:	05/29/1999
Docket/Case Number:	99-00428
Employing firm when activity occurred which led to the regulatory action:	DALTON KENT SECURITIES
Product Type:	Equity-OTC
Allegations:	THE DIVISION ISSUED AN ORDER TO SHOW CAUSE AND SUMMARY SUSPENSION AFTER I CONSENTED TO A CENSURE AND NINE MONTH BAR BY THE NYSE FOR VIOLATION OF EXCHANGE RULES.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/25/1999
Sanctions Ordered:	Revocation Other: N/A
Broker Statement	AT THE TIME THE ORDER TO SHOW CAUSE WAS ISSUED, I BELIEVED IN GOOD FAITH THAT MY EMPLOYER FIRM WOULD ACT TO RESOLVE THE MATTER ON MY BEHALF. NO HEARING WAS REQUESTED WITHIN 15 DAYS FROM THE DATE OF THE ORDER, AND MY AGENT REGISTRATION WAS SUBSEQUENTLY REVOKED IN MARYLAND.

Disclosure 2 of 3

Reporting Source: Regulator



Regulatory Action Initiated By: NYSE DIVISION OF ENFORCEMENT.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/06/1999

Docket/Case Number: HPD99-20

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

Product Type:

Other Product Type(s):

Allegations: **1/6/1999**STIPULATION AND CONSENT TO PENALTY EXECUTED AND FILED BY NYSE DIVISION OF ENFORCEMENT AND PENDING. CONSENTED TO: 1. FINDINGS THAT HE: (A)VIOLATED EXCHANGE RULE 352(c) IN THAT, ON ONE OR MORE OCCASIONS, HE AGREED TO SHARE IN THE LOSS IN A CUSTOMER'S ACCOUNT. (B)ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE: (1) SIGNED THE NAMES OF ONE OR MORE CUSTOMERS TO A LIQUIDATION ORDER FORM WITHOUT THE CUSTOMERS' AUTHORIZATION;(2)EFFECTED TRADES IN THE ACCOUNT OF ONE OR MORE CUSTOMERS WHICH WERE UNAUTHORIZED; (3) EFFECTED ONE OR MORE TRADES IN A CUSTOMER'S ACCOUNT UTILIZING MARGIN WITHOUT THE CUSTOMER'S AUTHORIZATION; (4)MADE MISSTATEMENTS TO ONE OR MORE CUSTOMERS OF HIS MEMEBR FIRM EMPLOYER; AND(5)FAILED TO DISCLOSE A CUSTOMER COMPLAINT TO HIS MEMEBR FIRM EMPLOYER. 2. THE IMPOSITION BY THE EXCHANGE OF THE PENALTY OF A CENSURE AND A NINE MONTH BAR FROM MEMEBRSHIP,ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH A MEMBER OR MEMBER ORGANIZATION.

Current Status: Final

Resolution: Stipulation and Consent



Resolution Date: 04/29/1999

Sanctions Ordered: Bar
Censure

Other Sanctions Ordered:

Sanction Details: **3/10/1999** VIOLATED EXCHANGE RULE 352(c) IN THAT HE AGREED TO SHARE IN A CUSTOMER'S LOSS, SIGNED CUSTOMERS' NAMES WITHOUT AUTHORIZATION, EFFECTED UNAUTHORIZED TRADES, UTILIZED MARGIN WITHOUT AUTHORIZATION, MADE MISSTATEMENTS TO CUSTOMERS AND FAILED TO DISCLOSE A CUSTOMER COMPLAINT TO HIS FIRM--CONSENT TO A CENSURE AND A NINE MONTH BAR.

Regulator Statement **3/10/1999** UNLESS A REVIEW OF THE NYSE BOARD OF DIRECTORS IS REQUESTED. THIS DECISION WILL BECOME FINAL 25 CALENDAR DAYS AFTER NOTICE OF THE HEARING PANEL'S DETERMINATION HAS BEEN SERVED UPON THE RESPONDENT. **4/29/1999** THE DECISION IS NOW FINAL. THE BAR OR SUSPENSION IMPOSED IS EFFECTIVE THE CLOSE OF BUSINESS MAY 14, 1999. CONTACT: PEGGY GERMINO 212 656-8450.

Reporting Source: Firm

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/06/1999

Docket/Case Number: HPD99-20

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

Product Type:

Other Product Type(s):

Allegations: FORGING CLIENTS SIGNATURES, AGREED TO SHARE LOSSES IN CUSTOMER ACCOUNTS, UNAUTHORIZED MARGIN TRADING, MISSTATEMENT TO CUSTOMERS, FAILURE TO DISCLOSE CUSTOMER



COMPLAINT, CONDUCT INCONSISTENT

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 04/29/1999

Sanctions Ordered: Bar
Censure

Other Sanctions Ordered:

Sanction Details: REGISTRANT AGREED TO A NINE MONTH SUSPENSION FROM NYSE. SUSPENSION HAS NOT YET STARTED.

Firm Statement Not Provided

Reporting Source: Broker

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE

Sanction(s) Sought: Other

Other Sanction(s) Sought: CONSENT TO CENSURE AND NINE - MONTH BAR.

Date Initiated: 04/29/1999

Docket/Case Number: HPD # 99-20

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

Product Type: Equity - OTC

Other Product Type(s):

Allegations: THE COMPLAINT ALLEGED THAT, ON ONE OR MORE OCCASIONS, MR. RULE AGREED TO SHARE IN THE LOSS IN A CUSTOMER ACCOUNT AND THAT HE SIGNED CUSTOMERS' NAMES WITHOUT AUTHORIZATION ON A LIQUIDATION ORDER FORM, THAT HE EFFECTED TRADES WHICH WERE UNAUTHORIZED, THAT HE MADE MISSTATEMENTS TO ONE OR MORE CUSTOMERS OF HIS MEMBER FIRM EMPLOYER, AND THAT HE FAILED TO DISCLOSE A CUSTOMER COMPLAINT TO HIS MEMBER FIRM EMPLOYER.

Current Status: Final

Resolution: Other



Resolution Date:	04/29/1999
Sanctions Ordered:	Bar Censure Suspension
Other Sanctions Ordered:	
Sanction Details:	SUSPENSION, GENERAL SECURITIES PRINCIPAL, EFFECTIVE CLOSE OF BUSINESS MAY 14, 1999 THROUGH FEBRUARY 14, 2000. TERM OF SUSPENSION IS COMPLETE.
Broker Statement	THE TERM OF THE SUSPENSION PERIOD IS COMPLETE, AND MR. RULE IS ELIGIBLE FOR RE-REGISTRATION, AS OF FEBRUARY 15, 2000.

Disclosure 3 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	SC SECURITIES DIVISION
Sanction(s) Sought:	Denial
Date Initiated:	07/14/1998
Docket/Case Number:	98224
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	J.P. TURNER & COMPANY
Product Type:	No Product
Allegations:	FAILURE TO RESPOND TO DIVISION'S REQUEST FOR INFORMATION IN CONNECTION WITH MR. RULE'S APPLICATION FOR REGISTRATION AS AN AGENT IN SC.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date: 08/27/1998

Sanctions Ordered: Other: AGREEMENT BY MR. RULE TO WITHDRAW HIS APPLICATION FOR REGISTRATION IN SC AND NOT REAPPLY FOR REGISTRATION FOR A MINIMUM THREE YEAR PERIOD.

Regulator Statement MR. RULE HONORED HIS COMMITMENTS SET FORTH IN THE 8/27/1998 CONSENT ORDER. THE 7/14/1998 ORDER OF DENIAL NO LONGER CONSTITUTES A BAR TO REGISTRATION IN SC. CONTACT: SC SECURITIES DIVISION 803-734-4731

Reporting Source: Broker

Regulatory Action Initiated By: SOUTH CAROLINA SECURITIES DIVISION

Sanction(s) Sought: Suspension

Date Initiated: 07/14/1998

Docket/Case Number: 98224

Employing firm when activity occurred which led to the regulatory action: JP TURNER & COMPANY

Product Type: No Product

Allegations: ALLEGED THAT I FILED A MATERIALLY INCOMPLETE APPLICATION

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 07/14/1998

Sanctions Ordered: Prohibition
Other: APPLICANT WITHDREW REGISTRATION IN THE STATE OF SOUTH CAROLINA AND WILL NOT REAPPLY FOR REGISTRATION FOR A MINIMUM OF 3 YEARS.



Broker Statement

THIS WAS AN ADMINISTRATIVE ERROR BY THE FIRM, NOT MYSELF, AND SHOULD NOT HAVE BEEN FILED AGAINST ME.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	PRUDENTIAL SECURITIES INCORPORATED
Termination Type:	Permitted to Resign
Termination Date:	03/27/1997
Allegations:	N/A FORGED SIGNATURE
Product Type:	No Product
Other Product Types:	
Broker Statement	<p>TERMINATED FROM PRUDENTIAL AS A RESULT OF [CUSTOMER]'S COMPLAINT, PRUDENTIAL TERMINATED MY EMPLOYMENT. I AM STILL FIGHTING [CUSTOMER]'S ALLEGATIONS THROUGH THE NYSE. UPON COMPLETION OF THE NYSE INVESTIGATION, I AM CONFIDENT THAT I WILL BE VINDICATED AND THAT THE PRUDENTIAL TERMINATION WOULD BE WITHOUT MERIT.</p>

End of Report



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