

BrokerCheck Report

Jeffrey Paul Weiner

CRD# 2476604

| <u>Section Title</u> | <u>Page(s)</u> |
|-------------------------------------|-----------------------|
| Report Summary | 1 |
| Broker Qualifications | 2 - 3 |
| Registration and Employment History | 5 - 6 |
| Disclosure Events | 7 |



Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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.](http://www.finra.org)

Jeffrey P. Weiner

CRD# 2476604

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B PRUCO SECURITIES, LLC.**
CRD# 5685
NEW YORK, NY
03/2020 - 02/2021
- B MML INVESTORS SERVICES, LLC**
CRD# 10409
ELMSFORD, NY
03/2017 - 02/2020
- B MSI FINANCIAL SERVICES, INC.**
CRD# 14251
ELMSFORD, NY
10/1994 - 03/2017

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 |
|------------------|-------|
| Customer Dispute | 10 |
| 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 broker is not currently registered.



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.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

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 Investment Company Products/Variable Contracts Representative Examination | Series 6 | 10/19/1994 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| B Uniform Securities Agent State Law Examination | Series 63 | 11/09/1994 |

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 03/2020 - 02/2021 | PRUCO SECURITIES, LLC. | 5685 | NEW YORK, NY |
| B 03/2017 - 02/2020 | MML INVESTORS SERVICES, LLC | 10409 | ELMSFORD, NY |
| B 10/1994 - 03/2017 | MSI FINANCIAL SERVICES, INC. | 14251 | ELMSFORD, NY |
| B 10/1994 - 07/2007 | METROPOLITAN LIFE INSURANCE COMPANY | 4095 | ELMSFORD, 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 |
|-------------------|---|---------------------------|--------------------|-----------------------------|
| 03/2020 - Present | PRUCO SECURITIES, LLC | REGISTERED REPRESENTATIVE | Y | NEW YORK, NY, United States |
| 03/2020 - Present | THE PRUDENTIAL INSURANCE COMPANY OF AMERICA | FINANCIAL PROFESSIONAL | N | NEW YORK, NY, United States |
| 03/2017 - 02/2020 | MML INVESTORS SERVICES, LLC | REGISTERED REPRESENTATIVE | Y | ELMSFORD, NY, United States |
| 07/2016 - 02/2020 | MASSMUTUAL LIFE INSURANCE CO | AGENT | Y | ELMSFORD, NY, United States |
| 06/2016 - 03/2017 | MSI FINANCIAL SERVICES INC | FSR | Y | ELMSFORD, NY, United States |
| 08/1993 - 06/2016 | METLIFE SECURITIES INC. | NOT PROVIDED | Y | ELMSFORD, 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.

Registration and Employment History



Other Business Activities, continued

NAME: Bruno & Associates INV REL: Y ADD: 565 TAXER ROAD SUITE 625 ELMSFORD NY 10523 NATURE: P&C POSITION: SALES START DATE: 8/2010 NO HRS/MO: 2 NO HRS/MO DUR TRADING: 2 (2) NAME: JEFFREY WEINER INV REL: Y ADD: 565 TAXTER ROAD SUITE 625 6TH FLOOR ELMSFORD, NY 10523 LIFE INSURANCE RENEWALS ONLY(metlife)-NO NEW BUSINESS POSITION: SALES START DATE: 8/1993 NO HRS/MO: 1 NO HRS/MO DUR TRADING: 1



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 |
|------------------|---------|-------|-----------|
| Customer Dispute | 0 | 10 | N/A |
| 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.

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: | MML INVESTORS SERVICES, LLC |
| Allegations: | The complainant alleges that in 2003, the variable life insurance policy that he purchased was misrepresented by the rep. |
| Product Type: | Insurance |
| Alleged Damages: | \$0.00 |
| Alleged Damages Amount Explanation (if amount not exact): | The Firm has been unable to make a good faith determination that potential damages from the alleged conduct would be less than \$5,000. |
| 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: | 02/14/2021 |
| Complaint Pending? | No |
| Status: | Settled |
| Status Date: | 08/26/2021 |



| | |
|--|------------------------------|
| Settlement Amount: | \$79,585.03 |
| Individual Contribution Amount: | \$0.00 |
| Firm Statement | Internal case #202102190189. |

Disclosure 2 of 2

| | |
|--|---------|
| Reporting Source: | Broker |
| Employing firm when activities occurred which led to the complaint: | METLIFE |

Allegations: CUSTOMER ALLEGED THE REPRESENTATIVE MISREPRESENTED THE VARIABLE LIFE INSURANCE POLICY SHE PURCHASED IN FEBRUARY 2009. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.

| | |
|----------------------|-----------|
| Product Type: | Insurance |
|----------------------|-----------|

| | |
|-------------------------|--------|
| Alleged Damages: | \$0.00 |
|-------------------------|--------|

Customer Complaint Information

| | |
|---------------------------------|------------|
| Date Complaint Received: | 04/02/2009 |
|---------------------------------|------------|

| | |
|---------------------------|----|
| Complaint Pending? | No |
|---------------------------|----|

| | |
|----------------|---------|
| Status: | Settled |
|----------------|---------|

| | |
|---------------------|------------|
| Status Date: | 04/23/2009 |
|---------------------|------------|

| | |
|---------------------------|--------|
| Settlement Amount: | \$0.00 |
|---------------------------|--------|

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



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 8

| | |
|--|--|
| Reporting Source: | Firm |
| Employing firm when activities occurred which led to the complaint: | MSI FINANCIAL SERVICES, INC. |
| Allegations: | The complainant, [REDACTED], alleges that his former representative misrepresented his variable universal life policy issued on November 06, 2012. The complainant would like his policy restored to its original standards. |
| Product Type: | Insurance Other: Variable Universal Life |
| Alleged Damages: | \$0.00 |
| Alleged Damages Amount Explanation (if amount not exact): | The firm has been unable to make a good faith determination that damages would be less than \$5000. |
| 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: | 08/27/2020 |
| Complaint Pending? | No |
| Status: | Denied |
| Status Date: | 11/11/2020 |
| Settlement Amount: | |
| Individual Contribution Amount: | |
| Firm Statement | Internal Case #202037973 |



| | |
|--|--|
| Reporting Source: | Broker |
| Employing firm when activities occurred which led to the complaint: | MSI FINANCIAL SERVICES, INC. |
| Allegations: | The complainant, alleges that his former representative misrepresented his variable universal life policy issued on November 06, 2012. The complainant would like his policy restored to its original standards. |
| Product Type: | Insurance |
| Alleged Damages: | \$0.00 |
| Alleged Damages Amount Explanation (if amount not exact): | The firm has been unable to make a good faith determination that damages would be less than \$5000. |
| 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: | 08/27/2020 |
| Complaint Pending? | No |
| Status: | Denied |
| Status Date: | 11/11/2020 |
| Settlement Amount: | |
| Individual Contribution Amount: | |

Disclosure 2 of 8

| | |
|--|---|
| Reporting Source: | Firm |
| Employing firm when activities occurred which led to the complaint: | MSI FINANCIAL SERVICES, INC. |
| Allegations: | The complainant alleges that his representative misrepresented the Variable |



Universal Life policy that was issued on March 03, 2017, which was funded by a 1035 exchanged of two Universal Life Policies. The complainant states this resulted in a \$5000 surrender charge that he was never told about. The complainant would like the transaction reversed, and put back into his old policies, with the surrender charge re-credited to the policies.

Product Type: Insurance
Alleged Damages: \$5,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/23/2020
Complaint Pending? No
Status: Denied
Status Date: 07/31/2020

Settlement Amount:

Individual Contribution Amount:

Firm Statement Internal case #202037379.

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: MSI FINANCIAL SERVICES, INC

Allegations: The complainant alleges that his representative misrepresented the Variable Universal Life policy that was issued on March 03, 2017, which was funded by a 1035 exchanged of two Universal Life Policies. The complainant states this resulted in a \$5000 surrender charge that he was never told about. The complainant would like the transaction reversed, and put back into his old policies, with the surrender charge re-credited to the policies.

Product Type: Insurance
Alleged Damages: \$5,000.00



Is this an oral complaint? No
Is this a written complaint? Yes
**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 05/23/2020
Complaint Pending? No
Status: Denied
Status Date: 08/28/2020
Settlement Amount:
**Individual Contribution
Amount:**

Disclosure 3 of 8

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

Allegations: The complainant alleges that his representative misrepresented the VUL policy issued on 09/09/2015. The complainant states the representative never told him, that he would be surrendering his Whole Policy by doing a 1035 exchange into the new VUL. The complainant is looking for a return of his cash value and all of the premiums paid since 2015

Product Type: Insurance

Alleged Damages: \$0.00

**Alleged Damages Amount
Explanation (if amount not
exact):** The firm has been unable to determine that damages would be less than \$5000.

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: 05/19/2020

Complaint Pending? No

Status: Denied

Status Date: 08/13/2020

Settlement Amount:

Individual Contribution Amount:

Firm Statement Internal case #202037342.

Reporting Source: Broker

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

Allegations: The complainant alleges that his representative misrepresented the VUL policy issued on 09/09/2015. The complainant states the representative never told him, that he would be surrendering his Whole Policy by doing a 1035 exchange into the new VUL. The complainant is looking for a return of his cash value and all of the premiums paid since 2015.

Product Type: Insurance

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The firm has been unable to determine that damages would be less than \$5000

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: 05/19/2020

Complaint Pending? No



Status: Denied
Status Date: 09/18/2020
Settlement Amount:
Individual Contribution Amount:
Broker Statement Internal case #202037342.

Disclosure 4 of 8

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: MSI Financial Services, Inc.
Allegations: The customer alleged that the representative misled her with regards to the future premium costs of her VUL policy, in order to earn a commission, when the solicitation occurred in and around October of 2013.
Product Type: Insurance
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): The Firm has been unable to make a good faith determination that potential damages from the alleged conduct would be less than \$5,000.
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: 01/02/2020
Complaint Pending? No
Status: Denied
Status Date: 01/29/2020
Settlement Amount:
Individual Contribution Amount:



Firm Statement Internal Case #202036288

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MSI Financial Services, Inc.

Allegations: The customer alleged that the representative misled her with regards to the future premium costs of her VUL policy, in order to earn a commission, when the solicitation occurred in and around October of 2013.

Product Type: Insurance

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): The Firm has been unable to make a good faith determination that potential damages from the alleged conduct would be less than \$5,000.

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: 01/02/2020

Complaint Pending? No

Status: Denied

Status Date: 01/29/2020

Settlement Amount:

Individual Contribution Amount:

Broker Statement Internal Case #202036288

Disclosure 5 of 8

Reporting Source: Broker



| | |
|--|--|
| Employing firm when activities occurred which led to the complaint: | MSI Financial Services, Inc. |
| Allegations: | Customer alleged the advisor did not fully disclose the premium payment requirements when a variable life insurance policy was purchased in January 2015. No specific compensatory damages were alleged. |
| Product Type: | Insurance |
| Alleged Damages: | \$0.00 |
| Alleged Damages Amount Explanation (if amount not exact): | It is believed the potential damages would exceed the reporting threshold. |
| 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: | 02/15/2018 |
| Complaint Pending? | No |
| Status: | Denied |
| Status Date: | 04/06/2018 |
| Settlement Amount: | |
| Individual Contribution Amount: | |

Disclosure 6 of 8

| | |
|--|--|
| Reporting Source: | Broker |
| Employing firm when activities occurred which led to the complaint: | METLIFE SECURITIES |
| Allegations: | CUSTOMER ALLEGED THE REPRESENTATIVE MISREPRESENTED THE FEATURES OF A VARIABLE ANNUITY PURCHASED IN APRIL 2013. CUSTOMER HAS ALLEGED DAMAGES FOR A WAIVER OF THE SURRENDER PENALTY. |



Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): IT IS BELIEVED THE POTENTIAL DAMAGES WOULD EXCEED THE REPORTING THRESHOLD.

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: 07/22/2014

Complaint Pending? No

Status: Denied

Status Date: 08/05/2014

Settlement Amount:

Individual Contribution Amount:

Disclosure 7 of 8

Reporting Source: Broker

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

Allegations: CUSTOMER ALLEGED THEN WHEN A VARIABLE LIFE INSURANCE POLICY WAS PURCHASED FROM THE REPRESENTATIVE IN MARCH 2012, THE REPRESENTATIVE DID NOT EXPLAIN PREMIUMS MAY NEED TO BE INCREASED IN THE FUTURE. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.

Product Type: Insurance

Alleged Damages: \$0.00

Is this an oral complaint? No

Is this a written complaint? Yes



**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 05/04/2012

Complaint Pending? No

Status: Denied

Status Date: 05/22/2012

Settlement Amount:

**Individual Contribution
Amount:**

Disclosure 8 of 8

Reporting Source: Broker

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

Allegations: CLIENT ALLEGES THE SALE OF HER VARIABLE ANNUITY WAS MISREPRESENTED AS SHE WAS NOT INFORMED OF THE SURRENDER CHARGES. CLIENT WANTS A WAIVER OF THE \$7,291.42 SURRENDER CHARGES.

Product Type: Annuity-Variable

Alleged Damages: \$7,291.42

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: 10/04/2000

Complaint Pending? No

Status: Denied

Status Date: 10/30/2000



Settlement Amount:

**Individual Contribution
Amount:**



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: | Firm |
| Employer Name: | Pruco Securities, LLC |
| Termination Type: | Discharged |
| Termination Date: | 01/25/2021 |
| Allegations: | Registered Representative impersonated clients in calls to an external company's Customer Service Center, in violation of industry and company standards of conduct. |
| Product Type: | Annuity-Variable |

End of Report



This page is intentionally left blank.