

BrokerCheck Report

ROGER ALLAN DUVAL

CRD# 2503718

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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.

ROGER A. DUVAL

CRD# 2503718

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:

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

Registration History

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

- B PRUCO SECURITIES, LLC.**
CRD# 5685
BELLEVUE, WA
09/2018 - 05/2019
- B MML INVESTORS SERVICES, LLC**
CRD# 10409
SPOKANE, WA
03/2017 - 09/2018
- B MSI FINANCIAL SERVICES, INC.**
CRD# 14251
SPOKANE, WA
11/2007 - 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
Regulatory Event	4
Customer Dispute	5
Judgment/Lien	4

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <https://www.adviserinfo.sec.gov>

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. 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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	05/30/1997

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/09/1994

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/23/2007
B Uniform Securities Agent State Law Examination	Series 63	07/14/1994

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 09/2018 - 05/2019	PRUCO SECURITIES, LLC.	5685	BELLEVUE, WA
B 03/2017 - 09/2018	MML INVESTORS SERVICES, LLC	10409	SPOKANE, WA
B 11/2007 - 03/2017	MSI FINANCIAL SERVICES, INC.	14251	SPOKANE, WA
B 07/2002 - 10/2007	ALLSTATE FINANCIAL SERVICES, LLC	18272	LIBERTY LAKE, WA
B 05/1999 - 05/2001	EDWARD JONES	250	ST. LOUIS, MO
B 09/1998 - 03/1999	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY
B 04/1997 - 09/1998	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO
B 07/1994 - 04/1997	D.A. DAVIDSON & CO.	199	GREAT FALLS, MT

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
09/2018 - Present	Pruco Securities LLC	REgistered Representative	Y	Bellevue, WA, United States
09/2018 - Present	The Prudential Insurance Company of America	Financial Professional	N	Bellevue, WA, United States
03/2017 - 08/2018	MML INVESTORS SERVICES, LLC	Mass Transfer	Y	SPOKANE, WA, United States
07/2016 - 08/2018	Massachusetts Mutual Life Insurance Company	Registered Rep	Y	Springfield, MA, United States
11/2007 - 08/2018	METLIFE SECURITIES, INC	FINANCIAL SERVICE REPRESENTATIVE	Y	SPOKANE, WA, 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.

RETIREMENT BASE CAMP

POSITION: Author NATURE: Book Author INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 09/18/2018

ADDRESS: 23117 E 2nd Ave, Liberty Lake WA 99019, United States

DESCRIPTION: I wrote a book and interviewed Spokane area professionals on a variety of topics. I wrote the book, secured a publisher, and now the book is available on Amazon and Kindle.

SPOKANE VALLEY CHAMBER OF COMMERCE

POSITION: Just a Member. I hold no position. NATURE: Government and Civic Body INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 04/02/2018

ADDRESS: 1421 N Meadowwood Ln, Liberty Lake WA 99019, United States

DESCRIPTION: Attend occasional meetings

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	2	2	0
Customer Dispute	2	3	N/A
Judgment/Lien	4	N/A	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 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 09/18/2020

Docket/Case Number: [2019062789901](#)

Employing firm when activity occurred which led to the regulatory action: MML Investors Services, LLC and Pruco Securities, LLC

Product Type: No Product

Allegations: Without admitting or denying the findings, Duval consented to the sanction and to the entry of findings that he converted approximately \$130,000 from elderly customers for his own personal use. The findings stated that Duval convinced the elderly customers to establish and maintain brokerage accounts at a FINRA member firm, away from his employer member firms. Duval used the customers' login credentials to access these accounts and wrote himself checks without their knowledge or authorization. Duval deposited these checks into his personal checking account and then transferred some of these funds into his personal brokerage account.

Current Status: Final



Resolution: Acceptance, Waiver & Consent(AWC)

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: 09/18/2020

Sanctions Ordered: Bar (Permanent)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Bar (Permanent)

Capacities Affected: All Capacities

Duration: Indefinite

Start Date: 09/18/2020

End Date:



Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Washington
Sanction(s) Sought:	Bar Civil and Administrative Penalty(ies)/Fine(s) Monetary Penalty other than Fines Revocation
Date Initiated:	05/24/2019
Docket/Case Number:	S-19-2683-19-TO01
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Pruco Securities, LLC
Product Type:	No Product
Allegations:	<p>Roger Allan Duval, S-19-2683-19-TO01 - Summary Order.</p> <p>On May 24, 2019, the Securities Division entered a Summary Order to Suspend Registrations and Notice of Intent to Enter an Order to Revoke Registrations, Deny Future Registrations, Impose Fines, and Charge Costs against Roger Allan Duval. The Summary Order alleges that between June 2017 and April 2019, Duval made unauthorized withdrawals totaling \$246,400 from three Washington resident brokerage accounts. Duval misappropriated the funds by depositing them into a credit union account under his control. Two of the accounts are held by elderly residents, and one account was owned by a deceased resident, which Duval withdrew funds from soon after the resident's death in 2017. The Summary Order suspends Duval's investment adviser representative and securities salesperson registration and gives notice of the Securities Division's intent to enter an order to revoke Duval's securities registrations in Washington, to deny future securities registration applications by Duval, and to impose fines and costs. The Respondent has a right to request a hearing on the Summary Order.</p>
Current Status:	Final
Limitation Details:	Suspension
Resolution:	Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	12/12/2019
Sanctions Ordered:	Bar (Permanent) Civil and Administrative Penalty(ies)/Fine(s) Monetary Penalty other than Fines Revocation Other: Cease & Desist
Sanction 1 of 1	
Sanction Type:	Bar (Permanent)
Capacities Affected:	Broker-dealer, securities salesperson, investment advisor representative
Duration:	permanent
Start Date:	
End Date:	
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	No
Is Payment Plan Current:	No
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00



Portion Levied against individual: \$5,000.00

Payment Plan: Yes

Is Payment Plan Current: No

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

On December 12, 2019, the Securities Division entered into a Consent Order with Roger Allan Duval and Roger A. Duval d/b/a Retirement Base Camp. The Securities Division had previously entered a Summary Order to Suspend Registrations and Notice of Intent to Enter an Order to Revoke Registrations, Deny Future Registrations, Impose a Fine, and Charge Costs against Roger Allan Duval. The Summary Order alleged that between June 2017 and April 2019, Duval made unauthorized withdrawals from three Washington resident brokerage accounts, and he misappropriated the funds by depositing them into a credit union account under his control. Two of the accounts are held by elderly residents, and one account was owned by a deceased resident, which Duval withdrew funds from soon after the resident's death in 2017. The findings of fact in the Consent Order contained further allegations, including that Roger A. Duval d/b/a Retirement Base Camp transacted business as an investment adviser while not properly registered in the State of Washington. The Respondent neither admitted nor denied the allegations, but agreed to cease and desist from violating the Securities Act of Washington, to the revocation of his securities registrations in Washington and the denial of any future securities registration applications, and to pay a total of \$10,000 in fines and costs. The Respondent waived his right to a hearing and to judicial review of the matter.



Regulatory - Pending

This type of disclosure event involves a pending formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory agency such as the Securities and Exchange Commission, foreign financial regulatory body) for alleged violations of investment-related rules or regulations.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Washington
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Monetary Penalty other than Fines
Date Initiated:	11/05/2024
Docket/Case Number:	S-23-3690-24-FO01
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Equity-OTC
Allegations:	N/A
Current Status:	Pending

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Washington
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Monetary Penalty other than Fines
Date Initiated:	10/08/2024
Docket/Case Number:	S-23-3690-23-SC01
URL for Regulatory Action:	



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

Product Type: Equity-OTC

Allegations: S-23-3690-24-SC01 - Henry Duval (a/k/a Roger Duval) - Statement of Charges
 On October 8, 2024, the Securities Division entered a Statement of Charges and Notice of Intent to Enter Order to Cease and Desist, to Impose Fines and to Charge Costs ("Statement of Charges") against Henry Duval (formerly known as Roger Duval) ("Respondent") of Liberty Lake, Washington. The Statement of Charges alleges that the Respondent violated the anti-fraud provisions of the Securities Act of Washington in connection with funds that he received from a senior citizen client. The Securities Division intends to order the Respondent to cease and desist from violating the Securities Act of Washington and gives notice of its intent to impose a fine and to charge costs. The Respondent has a right to request a hearing on the Statement of Charges.

Current Status: Pending



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 complainants allege that their representative, beginning on March 28, 2018, solicited them for a \$50,000 investment, that would be structured as a loan to fund the representative's publication of a book. The complainants were promised repayment, but the representative has defaulted.
Product Type:	No Product
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The firm has been unable to make a good faith determination that the damages would be less than \$5000.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-03129
Filing date of arbitration/CFTC reparation or civil litigation:	09/11/2020

Customer Complaint Information

Date Complaint Received:	09/18/2020
Complaint Pending?	No
Status:	Settled
Status Date:	09/15/2021
Settlement Amount:	\$30,000.00



Individual Contribution Amount: \$0.00

Reporting Source: Firm

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

Allegations: Claimants allege that, before becoming associated with the firm, the former representative obtained a loan in March 2018 that was not paid back, and that during and after his association with the firm, beginning January 2019, the representative transferred funds from accounts held away from the firm without their knowledge or consent, and made unspecified unsuitable recommendations.

Product Type: Other: LOAN AND UNSPECIFIED ACCOUNTS

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Unspecified compensatory damages

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA Dispute Resolution

Docket/Case #: 20-03129

Filing date of arbitration/CFTC reparation or civil litigation: 09/10/2020

Customer Complaint Information

Date Complaint Received: 09/11/2020

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:



Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: UNSUITABLE TRADING, EXCESSIVE TRADING, MISREPRESENTATION; BREACH OF DUTY. DAMAGES ARE NOT SPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

Product Type: Options

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/02/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/02/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE NO-00-04156

Date Notice/Process Served: 10/02/2000

Arbitration Pending? Yes

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS

Allegations: CUSTOMERS ALLEGED USE OF OPTIONS IN THEIR ACCOUNTS WERE UNSUITABLE. TIME FRAME WAS FROM FEBRUARY 1996 THROUGH AUGUST 1998. CUSTOMERS REQUESTED THE USE OF OPTIONS AND



SIGNED ALL APPROPRIATE DOCUMENTS ATTESTING TO SUITABILITY.
SETTLEMENT AND COMPLAINT OCCURRED AFTER MY TERMINATION SO I
WAS NOT INFORMED OF THE SETTLEMENT AMOUNT

Product Type: Options
Alleged Damages: \$120,000.00

Customer Complaint Information

Date Complaint Received: 10/02/2000
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 09/17/2001

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** ARBITRATION # 00-04156

Date Notice/Process Served: 10/02/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/17/2001

**Monetary Compensation
Amount:** \$60,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement DUE TO BANKRUPTCY FILED ON 1/11/2001, I WAS LEGALLY EXEMPT FROM
THE ARBRATRATION IN THIS CASE.



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

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRUCO SECURITIES, LLC.
Allegations:	Customer Alleges the rep did not fully disclose all the facts regarding investment objectives and misappropriated funds.
Product Type:	Other: ADVANTAGE/COMMAND
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC DAMAGE AMOUNT WAS ALLEGED.
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:	03/02/2020
Complaint Pending?	No
Status:	Denied
Status Date:	03/24/2020
Settlement Amount:	
Individual Contribution Amount:	



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

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 beginning in or around 2014, the rep stole \$157,000 from their accounts.
Product Type:	Equity Listed (Common & Preferred Stock) Options
Alleged Damages:	\$157,000.00
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:	02/13/2025
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	Case #202503110072.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, LLC
Allegations:	The complainant alleges that beginning in or around 2014, the rep stole \$157,000



from their accounts.

Product Type: Equity Listed (Common & Preferred Stock)
Options

Alleged Damages: \$157,000.00

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: 02/14/2025

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

Firm Statement Case #202503110073



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$25,970.27
Judgment/Lien Type:	Tax
Date Filed with Court:	11/20/2014
Date Individual Learned:	11/22/2014
Type of Court:	IRS DEPARTMENT OF TREASURY
Name of Court:	IRS DEPARTMENT OF TREASURY
Location of Court:	IRS DEPARTMENT OF TREASURY
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	SPOKANE COUNTY
Judgment/Lien Amount:	\$16,880.00
Judgment/Lien Type:	Tax
Date Filed with Court:	08/23/2013
Date Individual Learned:	11/25/2013
Type of Court:	State Court
Name of Court:	SPOKANE COUNTY
Location of Court:	SPOKANE COUNTY, WA
Docket/Case #:	6241455
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 4

Reporting Source:	Broker
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Judgment/Lien Holder:	SPOKANE COUNTY
Judgment/Lien Amount:	\$29,779.00
Judgment/Lien Type:	Tax
Date Filed with Court:	05/31/2011
Date Individual Learned:	11/25/2013
Type of Court:	State Court
Name of Court:	SPOKANE COUNTY
Location of Court:	SPOKANE COUNTY
Docket/Case #:	6002966
Judgment/Lien Outstanding?	Yes

Disclosure 4 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	SPOKANE COUNTY
Judgment/Lien Amount:	\$35,765.00
Judgment/Lien Type:	Tax
Date Filed with Court:	03/15/2011
Date Individual Learned:	11/25/2013
Type of Court:	State Court
Name of Court:	SPOKANE COUNTY
Location of Court:	SPOKANE COUNTY, WA
Docket/Case #:	5985812
Judgment/Lien Outstanding?	Yes

End of Report



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