

BrokerCheck Report

ALEXANDRA GARBERS PRUNER

CRD# 5307004

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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.

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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)

ALEXANDRA G. PRUNER

CRD# 5307004

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:

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

Registration History

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

- B PERELLA WEINBERG PARTNERS LP**
CRD# 138618
Houston, TX
11/2016 - 02/2025
- B TUDOR PICKERING HOLT & CO ADVISORS LP**
CRD# 158253
HOUSTON, TX
02/2012 - 12/2018
- B TUDOR, PICKERING, HOLT & CO. SECURITIES, INC.**
CRD# 129772
HOUSTON, TX
05/2007 - 12/2018

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? **No**

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 2 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Financial and Operations Principal Examination	Series 27	10/02/2010
B General Securities Principal Examination	Series 24	05/24/2007

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/16/2007

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	12/05/2012

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 11/2016 - 02/2025	PERELLA WEINBERG PARTNERS LP	138618	Houston, TX
B 02/2012 - 12/2018	TUDOR PICKERING HOLT & CO ADVISORS LP	158253	HOUSTON, TX
B 05/2007 - 12/2018	TUDOR, PICKERING, HOLT & CO. SECURITIES, INC.	129772	HOUSTON, TX

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
12/2018 - Present	Perella Weinberg Partners LP	Senior Advisor	Y	Houston, TX, United States
11/2016 - 11/2018	PERELLA WEINBERG PARTNERS LP	CHIEF FINANCIAL OFFICER	Y	NEW YORK, NY, United States
06/2011 - 11/2018	TUDOR, PICKERING, HOLT & CO. ADVISORS, LLC	FINOP/CFO	Y	HOUSTON, TX, United States
02/2007 - 11/2018	TUDOR PICKERING HOLT & CO SECURITIES INC	MANAGEMENT	Y	HOUSTON, TX, United States
12/2017 - 05/2018	PERELLA WEINBERG PARTNERS LP	CHIEF COMPLIANCE OFFICER	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.

1) IN SEPTEMBER 2017, MS. PRUNER BECAME AN EMERITUS DIRECTOR OF THE DEVELOPMENT BOARD (PREVIOUSLY A MEMBER OF THE CENTRAL ADVISORY BOARD) OF AMEGY BANK LOCATED IN HOUSTON, PROVIDING PERSPECTIVE TO THE BANK FROM THE ENERGY INVESTMENT BANK SECTOR. APPROXIMATELY 1 HOUR PER MONTH IS DEVOTED TO THIS ACTIVITY, (0 DURING SECURITIES



Registration and Employment History

Other Business Activities, continued

TRADING HOURS).

2) SINCE DECEMBER 2018, MS. PRUNER HAS BEEN PRESIDENT OF DEVLIN GARBERS, LLC, A PRIVATE CONSULTING COMPANY (20 HOURS PER MONTH DURING TRADING HOURS).

3) SINCE DECEMBER 2018, MS. PRUNER HAS SERVED AS AN INDEPENDENT DIRECTOR TO PLAINS ALL AMERICAN, A MIDSTREAM ENERGY COMPANY (16 HOURS PER MONTH DURING TRADING HOURS).

4) SINCE OCTOBER 15, 2019, MS. PRUNER HAS SERVED AS AN INDEPENDENT DIRECTOR ON THE BOARD OF DIRECTORS OF NRG ENERGY, INC. AS OF AUGUST 1, 2024, MS. PRUNER IS CHAIR OF THE AUDIT COMMITTEE. SHE SPENDS APPROXIMATELY TEN HOURS PER MONTH ON THIS ACTIVITY, ALL OF WHICH OCCUR DURING SECURITIES TRADING HOURS.

5) IN NOVEMBER 2019, MS. PRUNER JOINED THE BOARD OF ENCINO ACQUISITION PARTNERS, LLC, ("EAP") AS AN INDEPENDENT DIRECTOR. IN DECEMBER 2021, MS. PRUNER WAS ELECTED CHAIR OF THE BOARD. EAP IS A PRIVATE UPSTREAM ENERGY COMPANY LOCATED IN HOUSTON, TEXAS. MS. PRUNER SPENDS 20 HOURS PER MONTH ON THIS ACTIVITY, 10 OF WHICH ARE DURING SECURITIES-TRADING HOURS.

6) THE TEXAS MEDICAL CENTER, 6550 BERTNER AVENUE, HOUSTON, TX, 77030, BOARD MEMBER, OVERSEE LAND AND SERVICES USE OF THE HOUSTON MEDICAL CENTER WITH POSSIBILITY TO SERVE ON COMMITTEE OVERSEEING INVESTMENTS (BY AN OUTSIDE MANAGER), BEGAN JUNE 14, 2021, 2 HOURS PER MONTH, ALL DURING SECURITIES TRADING HOURS.

7) SINCE DECEMBER 2021, MS. PRUNER HAS OFFERED FOR SALE ARTWORK (DRAWINGS AND PAINTINGS) THAT SHE HAS CREATED IN HOUSTON, TX. THIS ACTIVITY IS NOT INVESTMENT RELATED. MS. PRUNER SPENDS 5 HOURS PER MONTH OUTSIDE SECURITIES TRADING HOURS ON THIS ACTIVITY.

8) ON APRIL 5, 2022, MS. PRUNER BECAME THE CHAIR OF THE BOARD OF MALTA INC., LOCATED AT ONE BROADWAY, 14TH FLOOR, CAMBRIDGE, MA. MS. PRUNER SPENDS APPROXIMATELY 25 HOURS PER MONTH ON THIS ACTIVITY, 20 OF WHICH ARE DURING SECURITIES TRADING HOURS. MALTA INC IS A BREAKTHROUGH ENERGY VENTURES / GOOGLE X RENEWABLES COMPANY.

9) ON MARCH 5, 2024, MS. PRUNER BECAME BOARD MEMBER OF THE VENTURE CAPITAL FUND OF THE TEXAS MEDICAL CENTER, LOCATED AT 6550 BERTNER AVENUE. BOARD MEMBERS REVIEW AND MAKE INVESTMENTS IN MEDICAL START UPS. MS. PRUNER SPENDS APPROXIMATELY 3 HOURS PER MONTH ON THIS ACTIVITY, 2 OF WHICH ARE DURING SECURITIES TRADING HOURS.

End of Report



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