Prudential LINK Advisors
Form ADV Part 2B Brochure Supplements

Prudential Customer Solutions LLC
13001 Bass Lake Road
Plymouth, MN 55442
1-844-778-5465

April 2, 2020

These Brochure Supplements provide information that supplements the Prudential Customer Solutions LLC ("PCS") Brochure. You should have received a copy of that Brochure.

This document contains ADV Part 2B Brochure Supplements for Prudential LINK financial advisors who provide service and support to clients enrolled in PCS managed accounts.

Please contact John Lake at 763-553-6206 if you did not receive PCS’s Brochure or if you have any questions about the contents of these supplements.

Additional information about each Prudential LINK financial advisor is available on the SEC website at www.adviserinfo.sec.gov.
James Brattensborg

Item 2 – Educational Background and Business Experience

Birth: 1968

Education: BS St. John’s University

Business Background (past 5 years):

**Prudential – 12/2017 to Present**

Investment Advisor Representative

Mr. Brattensborg transitioned to an Investment Advisor Representative role in December of 2017. James will support recommendations made through PCS’s (Prudential Customer Solutions LLC) online system that aligns client’s needs and goals with solutions. In addition, Mr. Brattensborg offers insurance and annuities products and services as a Registered Representative of Pruco Securities, LLC (Pruco) and an agent of issuing insurance companies.

**Prudential – 06/2014 to 12/2017**

Life Insurance Internal Wholesaler

James spent his first three and a half years at Prudential as an Internal Wholesaler supporting key financial institutions and Prudential Advisors in delivering Prudential products and services to their customers.

**Small Business Insurance Agency – 10/2013 to 06/2014**

Life Insurance Internal Wholesaler

Mr. Brattensborg was a Life Insurance Internal Wholesaler supporting the Wells Fargo Advisors channels. In this role he provided education, guidance and advanced case design on the many uses of life insurance including estate planning, buy/sell agreements, key person insurance, executive bonus plans, loan rescues, chronic illness situations, and max funding scenarios.

Industry Designation: None

Description of Requirements: N/A

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each Supervised Person providing investment advice. We have no facts or events to report in response to this Item.
James Brattensborg

Item 4 – Other Business Activities

This supervised person is actively engaged in selling annuities and insurance products, through an affiliated Broker Dealer, Pruco Securities. Investment Advisory products are offered through Prudential Customer Solutions. This supervised person does not receive any compensation based on sales of securities, annuities, other investment or insurance products.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Mr. Brattensborg is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

James’s supervisor is responsible for managing the day-to-day activities of investment adviser representatives and assuring that James Brattensborg adheres to the firm’s standards.

James Brattensborg is directly supervised by John Lake, Manager, Investment Advisory Representatives. John Lake can be reached at (763) 553-6206.
Daniel Buchholz

Item 2 – Educational Background and Business Experience

Birth: 1986

Education: BA, University of Minnesota, Twin Cities

Business Background (past 5 years):

**Prudential – 07/2018 to Present**
**Investment Advisor Representative**

Mr. Buchholz transitioned to an Investment Advisor Representative in July 2018. Daniel will support recommendations made through PCS’s (Prudential Customer Solutions LLC) online system that aligns client’s needs and goals with solutions. In addition, Mr. Buchholz offers insurance and annuities products and services as a Registered Representative of Pruco Securities, LLC (Pruco) and an agent of issuing insurance companies.

**Prudential – 10/2013 to 07/2018**
**Financial Advisor**

For four years, Daniel was a financial advisor within the Prudential Advisors division. In that role, he was responsible for helping clients achieve their financial goals, including protection through life insurance, asset growth via investments, and retirement readiness through financial planning.

Industry Designation: Retirement Income Certified Professional (RICP)

Description of Requirements: To be a holder of the right to use the Retirement Income Certified Professional designation (RICP), one must complete three college level courses and complete a two-hour exam for each respective course.

Item 3 – Disciplinary Information

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Item 4 – Other Business Activities

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Item 6 – Supervision

Mr. Buchholz is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Daniel’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Daniel Buchholz adheres to the firm’s standards.

Daniel Buchholz is directly supervised by John Lake, Manager, Investment Advisory Representatives. John Lake can be reached at (763) 553-6206.
Jeff Felton

Item 2 – Educational Background and Business Experience

Birth: 1976

Education: BS U.S. Air Force Academy, Colorado Springs, CO

Business Background (past 5 years):

Prudential – 09/2018 to Present
Investment Advisor Representative

Mr. Felton joined Prudential as an Investment Advisor Representative in September 2018. Jeff supports recommendations made through PCS’s (Prudential Customer Solutions LLC) online system that aligns client’s needs, goals, and solutions.

Unemployed – 08/2018

Wealth Enhancement Group – 03/2014 to 07/2018
New Client Specialist

While with Wealth Enhancement Group, Jeff was a point of contact for all advisory teams. He conducted pre-meeting screenings of potential clients and appropriately matched clients with their most desirable team. Mr. Felton played a key role in converting leads to clients while providing necessary information to prepare for personalized conversations. He was responsible for maintaining securities and insurance licenses for all 50 states, while also testing new initiatives to generate contact with potential clients and upgrades for internal systems or processes.

Jeff Felton

Industry Designation: In progress - CFP ® Certified Financial Planner

Description of Requirements: In progress of earning the CFP designation which involves meeting the following requirements: formal education in financial planning, then knowledge assessed by performance on the CFP exam. In addition, completion of 6,000 hours of relevant work experience along with demonstrated professional ethics.

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**Item 4 – Other Business Activities**

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**Item 6 – Supervision**

Mr. Felton is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Jeff’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Jeff Felton adheres to the firm’s standards.

Jeff Felton is directly supervised by John Lake, Manager, Investment Advisory Representatives. John Lake can be reached at 763-553-6206.
Benjamin Goodrich

Item 2 – Educational Background and Business Experience

Birth: 1990

Education: BA St. Cloud State University, St. Cloud, MN

Business Background (past 5 years):

Prudential – 07/2018 to Present
Investment Advisor Representative

Mr. Goodrich joined Prudential as an Investment Advisor Representative in July 2018. Benjamin will support recommendations made through PCS’s (Prudential Customer Solutions LLC) online system that aligns client’s needs and goals with solutions. He joined a team of representatives providing financial solutions for clients through Prudential’s LINK Platform. In addition, Mr. Goodrich offers insurance and annuities products and services as a Registered Representative of Pruco Securities, LLC (Pruco) and an agent of issuing insurance companies.

Eckberg Wealth Management – 06/2017 to 07/2018
Associate Wealth Management Advisor

Benjamin was an Associate Wealth Management Advisor who constructed comprehensive financial plans for prospective clients going through the holistic financial planning process. As part of his role, Benjamin would implement, monitor and trade client investment portfolios.

Unemployment – 03/2017 to 06/2017

Wealth Enhancement Group – 10/2015 to 02/2017
Client Service Manager

Mr. Goodrich was part of an advisory team providing service to clients with account inquiries, monitoring client accounts, preparing annual reviews, setting up appointments and implementing financial plans for prospective clients.

US Bancorp – 08/2013 to 10/2015
Investment Sales Support Representative

Benjamin worked with a team of representatives providing sales support for all US Bancorp Advisors by providing marketing materials, systems support, and responding to account inquiries.
Item 3 – Disciplinary Information

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Item 4 – Other Business Activities

This supervised person is actively engaged in selling annuities and insurance products, through an affiliated Broker Dealer, Pruco Securities. Investment Advisory products are offered through Prudential Customer Solutions. This supervised person does not receive any compensation based on sales of securities, annuities, other investment or insurance products.

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Item 6 – Supervision

Mr. Goodrich is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Benjamin’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Benjamin Goodrich adheres to the firm’s standards.

Benjamin Goodrich is directly supervised by John Lake, Manager, Investment Advisory Representatives. John Lake can be reached at (763) 553-6206.
Daniel Kakach

Item 2 – Educational Background and Business Experience

Birth: 1975

Education: BA Bethel University, Arden Hills, MN

Business Background (past 5 years):

Prudential – 07/2018 to Present
Investment Advisor Representative

Mr. Kakach joined Prudential as an Investment Advisor Representative in July 2018. Daniel will support recommendations made through PCS’s (Prudential Customer Solutions LLC) online system that aligns client’s needs and goals with solutions. He enjoys helping clients develop a personalized financial roadmap to help them achieve what matters most in their financial journey.

Ameriprise Financial – 11/2010 to 07/2018
Wealth Management Specialist – Managed Accounts and Capital Markets Internal Wholesaler

Daniel worked closely with internal and external product partners to help promote and educate advisors on fee based and managed account product offerings. Daniel partnered with Wealth Management product teams to help promote advisor awareness and knowledge of Structured Products, Alternative Investments and Syndicate offerings. He consulted with advisors on product features and benefits, proposals, competitive analysis, product positioning and sales strategies.

Industry Designation: None

Description of Requirements: N/A

Item 3 – Disciplinary Information

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Item 4 – Other Business Activities

If a Supervised Person is actively engaged in any other investment-related business or occupation, we are required to disclose this fact and describe the business relationship, if any, between our advisory business and the other business, and if that creates a material conflict of interest with clients, describe the nature of the conflict and how we address it. Also, if a supervised person receives compensation based on sales of securities or other investment products, we must make disclosures and explain resulting incentives. We have no information to report in response to this Item.

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Item 6 – Supervision

Mr. Kakach is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Daniel’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Daniel Kakach adheres to the firm’s standards.

Daniel Kakach is directly supervised by John Lake, Manager, Investment Advisory Representatives. John Lake can be reached at (763) 553-6206.
Andrew Kilian

Item 2 – Educational Background and Business Experience

Birth: 1984

Education: BSB University of Minnesota Twin Cities, MN

Business Background (past 5 years):

Prudential – 09/2018 to Present
Investment Advisor Representative

Mr. Kilian joined Prudential as an Investment Advisor Representative in September of 2018. Andrew supports recommendations made through PCS’s (Prudential Customer Solutions LLC) online system that aligns client needs, goals, and solutions. Andrew takes a needs-based approach in helping guide clients to their financial goals. He leverages his prior experience with goal-based planning to provide solutions which can help them meet their income and investment needs.

Transamerica – 11/2013 to 09/2018
Retirement Plan Specialist

Andrew worked with job changers and retirees as they transitioned from their old employers into new careers or retirement. He ensured clients were aware of the different options available to them with their employer-sponsored defined contribution and defined-benefit retirement plans. He provided needs-based solutions utilizing mutual funds, managed accounts through NextCapital and Morningstar, fixed annuities, and income annuities. Andrew was instrumental in helping clients with income planning in preparation for retirement.

Industry Designation: None

Description of Requirements: N/A

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Andrew Kilian

Item 4 – Other Business Activities

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Item 5 – Additional Compensation

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Item 6 – Supervision

Mr. Kilian is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Andrew’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Andrew Kilian adheres to the firm’s standards.

Andrew Kilian is directly supervised by John Lake, Manager, Investment Advisory Representatives. John Lake can be reached at (763) 553-6206.
John A. Lake

Item 2 – Educational Background and Business Experience

Birth: 1964

Education: St. Thomas University; BA

Business Background (past 5 years):

Prudential – 02/2019 to Present
Manager Investment Advisor Representative

Mr. Lake is a Manager, Investment Advisory Sales for Prudential Customer Solutions LLC. In this role, Mr. Lake will support recommendations made through the PCS online system that aligns client’s needs and goals with solutions. He will also supervise registered representatives of Pruco Securities, LLC (Pruco) offering insurance and annuities products.

Prudential – 04/2018 to 01/2019
Investment Advisor Representative

Mr. Lake transitioned to an Investment Advisor Representative role in April of 2018. John supports recommendations made through PCS’s (Prudential Customer Solutions LLC) online system that aligns client’s needs and goals with solutions. In addition, Mr. Lake offers insurance and annuities products and services as a Registered Representative of Pruco Securities, LLC (Pruco) and an agent of issuing insurance companies.

Burns Brothers Financial Group – 06/2016 to 03/2018
Wealth Manager

John A. Lake was a Wealth Manger providing financial clarity to individuals, business and nonprofit groups. He offered detailed insight with long-term partnerships to give his clients greater success in achieving their respective goals.

Lake Consulting Group – 08/2014 to 06/2016
Business Consultant

Mr. Lake consulted and coached on many aspects of the financial services industry while he worked with financial advisors to small independent broker-dealers in the Midwest. His primary focus was strategic planning for broker-dealers to mass-affluent client acquisition, along with wealth management strategies and practice management for financial advisors.
John A. Lake

Industry Designation: None

Description of Requirements: N/A

Item 3 – Disciplinary Information

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Item 4 – Other Business Activities

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Item 5 – Additional Compensation

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Item 6 – Supervision

Mr. Lake is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

John's supervisor is responsible for managing the day-to-day activities of investment adviser representatives and assuring that John A. Lake adheres to the firm’s standards.

John A. Lake is directly supervised by Matthew Hudnut, Director, Regulatory Supervision. Matthew Hudnut can be reached at (763) 509-1773.
Delores “D” Mills

Item 2 – Educational Background and Business Experience

Birth: 1958

Education: High School Diploma

Business Background (past 5 years):

**Prudential – 09/2018 to Present**
Investment Advisor Representative

Ms. Mills transitioned to an Investment Advisor Representative in September 2018. D supports recommendations made through PCS’s (Prudential Customer Solutions LLC) online system that aligns client’s needs, goals, and solutions. She will provide support to clients by serving as their investment advisor via the online platform and phone. In addition, Ms. Mills offers insurance and annuities products and services as a Registered Representative of Pruco Securities, LLC (Pruco) and an agent of issuing insurance companies.

**Prudential Advisors – 03/2015 to 09/2018**
Financial Planner

D assisted in the clarification, understanding and quantification of client’s financial goals and needs. Created a financial plan that provides information and strategies to assist clients in making better informed financial decisions. She educated clients about the potential risks that may disrupt their financial plan. If desired by client, she met with their family members, executors and other advisors to discuss their financial plan for a concerted effort.

**Prudential Advisors – 07/2009 to 09/2018**
Financial Advisor

Ms. Mills completed a fact-finding process to allow for thorough understanding of clients’ financial goals and needs. She developed customized solutions for each client utilizing investment, protection, and income products.

**Prudential Advisors – 04/2015 to 07/2018**
Manager, Financial Services

D develop relationships with business leaders within local communities. She also developed Financial Professional Associates (FPAs) in the areas of relationship-based sales process, marketing strategy, and client development.
Delores “D” Mills

Prudential Advisors – 04/2012 to 03/2015
Agency Recruiter

Ms. Mills utilized a variety of sources to recruit high-quality Financial Professional Associates (FPAs). She actively participated in community events, networked with community leaders, and maintained relationships with colleges to recruit top talent.

Industry Designation: RICP® Retirement Income Certified Professional®

Description of Requirements: To be a holder of the right to use the Retirement Income Certified Professional designation (RICP), one must complete three college level courses and complete a two-hour exam for each respective course.

Item 3 – Disciplinary Information
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Item 4 – Other Business Activities
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Delores “D” Mills

Item 6 – Supervision

Ms. Mills is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

D’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Delores Mills adheres to the firm’s standards.

Delores Mills is directly supervised by John Lake, Manager, Investment Advisory Representatives. John Lake can be reached at (763) 553-6206.
Lori Reiman

Item 2 – Educational Background and Business Experience

Birth: 1969

Education: BA University of Minnesota, Minneapolis, MN

Business Background (past 5 years):

**Prudential – 07/2018 to Present**
**Investment Advisor Representative**

Ms. Reiman joined Prudential as an Investment Advisor Representative in July 2018. Lori will support recommendations made through PCS’s (Prudential Customer Solutions LLC) online system that aligns client’s needs and goals with solutions. Lori will provide support to clients by serving as the client’s investment advisor via an online platform.

**Unemployment – 06/2018 to 07/2018**

**Ameriprise – 04/2017 to 05/2018**
**Associate Advisor**

Ms. Reiman provided overall administrative, operations support, and guidance to a team of financial advisors. She provided client relationship support through managing, gathering and analyzing client data, helping prepare preliminary financial plans, and other client deliverables. Lori’s main objective was to provide exemplary client focused service, as well as, to assist financial advisors with the financial planning process.

**Thrivent Financial – 05/2015 to 04/2017**
**Financial Representative**

As a financial representative, Ms. Reiman actively engaged clients in providing financial solutions unique to their needs and goals. Prior to this role, Lori held client-centric positions as a support administrator to a financial representative.

**Target Corporation – 09/2012 to 05/2015**
**Human Resources Team Member**

During Lori’s tenure at Target, she held several positions leading up to her human resources team member position. In that role, Ms. Reiman was instrumental in onboarding new team members to Target from initial interviews to orientation, and actively served as the subject matter expert for new employees.
Lori Reiman

Industry Designation:  None

Description of Requirements:  N/A

Item 3 – Disciplinary Information

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Item 4 – Other Business Activities

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Item 6 – Supervision

Ms. Reiman is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Lori’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Lori Reiman adheres to the firm’s standards.

Lori Reiman is directly supervised by John Lake, Manager, Investment Advisory Representatives. John Lake can be reached at (763) 553-6206.
Neal Robinson

Item 2 – Educational Background and Business Experience

Birth: 1990

Education: B.A. The College of St. Scholastica, Duluth, MN

Business Background (past 5 years):

Prudential – 01/2018 to Present
Investment Advisor Representative

Mr. Robinson is an Investment Advisor Representative for Prudential Customer Solutions LLC. In this role, Neal will support recommendations made through the PCS online system that aligns client’s needs and goals with solutions. In addition, Mr. Robinson offers insurance and annuities products and services as a Registered Representative of Pruco Securities, LLC (Pruco) and an agent of issuing insurance companies.

Merrill Lynch – 04/2017 to 01/2018
Financial Advisor

Mr. Robinson met with clients and prospects to review their financial goals. He reviewed and implemented customized financial plans and used financial planning software extensively. Neal partnered with trust services to develop and expand relationships with high net worth clients.

Edward Jones – 01/2014 to 04/2017
Financial Advisor

Neal created comprehensive financial plans for clients to help them achieve retirement and investment goals through tailored financial solutions. He used individual stocks, mutual funds, ETFs, UITs, life insurance, and annuities to help clients reach their financial goals.

Industry Designation: None

Description of Requirements: N/A

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Item 5 – Additional Compensation

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Item 6 – Supervision

Mr. Robinson is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Neal’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Neal Robinson adheres to the firm’s standards.

Neal Robinson is directly supervised by John Lake, Manager, Investment Advisory Representatives. John Lake can be reached at (763) 553-6206.
Nicholas W. VanVonderen

**Item 2 – Educational Background and Business Experience**

Birth: 1990

Education: BA Bethel University, Minneapolis, MN

Business Background (past 5 years):

**Prudential – 09/2018 to Present**
**Investment Advisor Representative**

Mr. VanVonderen joined Prudential as an Investment Advisor Representative in September 2018. Nicholas supports recommendations made through PCS’s (Prudential Customer Solutions LLC) online system that aligns client’s needs, goals, and solutions. Nicholas will provide support to clients by serving as the client’s investment advisor via the LINK online platform or phone appointments.

**Unemployed – 07/2018 to 08/2018**

**Edward Jones – 06/2014 to 06/2018**
**Financial Advisor**

Mr. VanVonderen joined Edward Jones in June of 2014 as a Financial Advisor. Nicholas managed a branch office in Ashland, WI where he assisted clients in meeting retirement goals through a solutions-based investment approach.

Industry Designation: None

Description of Requirements: N/A

**Item 3 – Disciplinary Information**

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Nicholas W. VanVonderen

Item 4 – Other Business Activities

If a supervised person is actively engaged in any other investment-related business or occupation, we are required to disclose this fact and describe the business relationship, if any, between our advisory business and the other business, and if that creates a material conflict of interest with clients, describe the nature of the conflict and how we address it. Also, if a supervised person receives compensation based on sales of securities or other investment products, we must make disclosures and explain resulting incentives. We have no information to report in response to this Item.

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Item 6 – Supervision

Mr. VanVonderen is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Nicholas’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Nicholas VanVonderen adheres to the firm’s standards.

Nicholas VanVonderen is directly supervised by John Lake, Manager, Investment Advisory Representatives. John Lake can be reached at 763-553-6206.
Prudential Retirement Counselors  
Form ADV Part 2B Brochure Supplements

Prudential Customer Solutions LLC  
500 Main Street  
Dubuque, IA 52001  
1-833-778-7526

April 2, 2020

These Brochure Supplements provide information that supplements the Prudential Customer Solutions LLC ("PCS") Brochure. You should have received a copy of that Brochure.

This document contains ADV Part 2B Brochure Supplements for Prudential Retirement Counselors who provide sales support to clients while enrolling in PCS managed accounts.

Please contact Mark Verity at 860-534-7039 if you did not receive PCS's Brochure or if you have any questions about the contents of these supplements.

Additional information about each Prudential Retirement Counselor is available on the SEC website at www.adviserinfo.sec.gov.
Colin Allison

Item 2 – Educational Background and Business Experience

Birth: 1979

Education: MBA, Clarke University, Dubuque, IA

Business Background (past 5 years):

Prudential – 02/2003 to Present
Retirement Counselor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In July 2019, Colin began offering investment advisory solutions through Prudential Customer Solutions LLC.

Industry Designation: Certified Retirement Counselor (CRC) Certified Retirement Counselor (CRC)

Description of Requirements: To be a CRC designate, one must pass a four-hour, 200-question multiple-choice exam. Once the exam is passed, the candidate must meet additional requirements to keep up the designation by completing 15 hours of approved continuing education annually.

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Colin Allison

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Mr. Allison is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Colin’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Colin Allison adheres to the firm’s standards.

Colin Allison is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Eric Amberg

Item 2 – Educational Background and Business Experience

Birth: 1970

Education: Bachelor’s Business Management Clarke University, Dubuque IA

Business Background (past 5 years):

**Prudential – 11/2002 to Present**

**Retirement Counselor**

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In July 2019, Eric began offering investment advisory solutions through Prudential Customer Solutions LLC.

**Industry Designation:** Certified Retirement Counselor (CRC)

**Description of Requirements:** To be a CRC designate, one must pass a four-hour, 200-question multiple-choice exam. Once the exam is passed, the candidate must meet additional requirements to keep up the designation by completing 15 hours of approved continuing education annually.

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Mr. Amberg is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Eric Amberg’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Eric Amberg adheres to the firm’s standards.

Eric Amberg is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Mark Beadsworth

Item 2 – Educational Background and Business Experience

Birth: 1959

Education: MBA Clarke University, Dubuque IA

Business Background (past 5 years):

Prudential – 07/1999 to Present
Retirement Counselor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In July 2019, Mark began offering investment advisory solutions through Prudential Customer Solutions LLC.

Industry Designation: Certified Retirement Counselor (CRC)

Description of Requirements: To be a CRC designate, one must pass a four-hour, 200-question multiple-choice exam. Once the exam is passed, the candidate must meet additional requirements to keep up the designation by completing 15 hours of approved continuing education annually.

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Mark Beadsworth

**Item 4 – Other Business Activities**

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

**Item 5 – Additional Compensation**

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

**Item 6 – Supervision**

Mr. Beadsworth is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Mark’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Mark Beadsworth adheres to the firm’s standards.

Mark Beadsworth is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Item 2 – Educational Background and Business Experience

Birth: 1969

Education: Associates Degree Northeast Iowa Community College, Peosta, IA

Business Background (past 5 years):

**Prudential – 04/2005 to Present**
*Retirement Counselor*

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In July 2019, Tammy began offering investment advisory solutions through Prudential Customer Solutions LLC.

Industry Designation: Certified Retirement Counselor (CRC)

Description of Requirements: To be a CRC designate, one must pass a four-hour, 200-question multiple-choice exam. Once the exam is passed, the candidate must meet additional requirements to keep up the designation by completing 15 hours of approved continuing education annually.

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Tammy Beasley

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Mrs. Beasley is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Tammy’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Tammy Beasley adheres to the firm’s standards.

Tammy Beasley is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Brad Murphy

Item 2 – Educational Background and Business Experience

Birth: 1981

Education: B.S. Springfield College, Springfield, MA

Business Background (past 5 years):

Prudential – 07/2019 to Present
Retirement Counselor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In August 2019, Brad began offering investment advisory solutions through Prudential Customer Solutions LLC.

Voya Financial – 02/2007 to 07/2019
Financial Advisor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable

Industry Designation: None

Description of Requirements: N/A

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Brad Murphy

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Brad Murphy is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Brad’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Brad Murphy adheres to the firm’s standards.

Brad Murphy is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Brian Buczek

Item 2 – Educational Background and Business Experience

Birth: 1958

Education: Master’s in Finance Northwestern University, Evanston, IL

Business Background (past 5 years):

Prudential – 08/2007 to Present
Retirement Counselor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In July 2019, Brian began offering investment advisory solutions through Prudential Customer Solutions LLC.

Industry Designation: Certified Retirement Counselor (CRC)

Description of Requirements: To be a CRC designate, one must pass a four-hour, 200-question multiple-choice exam. Once the exam is passed, the candidate must meet additional requirements to keep up the designation by completing 15 hours of approved continuing education annually.

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Mr. Buczek is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Brian’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Brian Buczek adheres to the firm’s standards.

Brian Buczek is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Todd Burgess

Item 2 – Educational Background and Business Experience

Birth: 1974

Education: B.A. University of Saint Thomas, Saint Paul, MN

Business Background (past 5 years):

Prudential – 09/2014 to Present
Retirement Counselor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In July 2019, Todd began offering investment advisory solutions through Prudential Customer Solutions LLC.

Sysco Food Service – 04/2007 to 09/2014
Marketing Associate

Responsible for developing new business, penetrate existing accounts, and minimize lost business to achieve profitable sales growth and special objectives within assigned territory. To seek and qualify prospects in accordance with Company account stratification goals. Become a resource for customers toward their business needs and develop a mix of products and service to meet needs. Also evaluated market trends and recommend products to customers, based on business needs and goals.

Industry Designation: Certified Retirement Counselor (CRC)

Description of Requirements: To be a CRC designate, one must pass a four-hour, 200-question multiple-choice exam. Once the exam is passed, the candidate must meet additional requirements to keep up the designation by completing 15 hours of approved continuing education annually.

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Todd Burgess

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Todd Burgess is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Todd Burgess’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Todd Burgess adheres to the firm’s standards.

Todd Burgess is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Alexander R. Cobin

Item 2 – Educational Background and Business Experience

Birth: 1967

Education: AAS: Associates Applied Science, Management
State University of New York at Delhi

Business Background (past 5 years):

Prudential – 4/2008 to Present
Retirement Counselor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In July 2019, Alexander began offering investment advisory solutions through Prudential Customer Solutions LLC.

Industry Designation: None

Description of Requirements: N/A

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Alexander R. Cobin is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Alexander’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Alexander Cobin adheres to the firm’s standards.

Alexander Cobin is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Jesse Dalsing

Item 2 – Educational Background and Business Experience

Birth: 1978

Education: Finance Degree from Loras College, Dubuque, IA

Business Background (past 5 years):

Prudential – 07/1999 to Present
Retirement Counselor

This position is responsible for counseling plan participants on distributions options within a call center environment in Prudential Retirement. The Retirement Counselor will proactively reach out to prospects through outbound calls and handle in-bound calls from participants who are looking to discuss distribution and rollover options. This position must have a knowledge of defined contribution plans, distribution options and an understanding of individual retirement products/services and investment options. In July 2019, Jesse began offering investment advisory solutions through Prudential Customer Solutions LLC.

Industry Designation: Certified Retirement Counselor (CRC)

Description of Requirements: To be a CRC designate, one must pass a four-hour, 200-question multiple-choice exam. Once the exam is passed, the candidate must meet additional requirements to keep up the designation by completing 15 hours of approved continuing education annually.

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Jesse Dalsing is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Jesse Dalsing’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Jesse Dalsing adheres to the firm’s standards.

Jesse Dalsing is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Naomi Feldott

Item 2 – Educational Background and Business Experience

Birth: 1980

Education: Bachelor of Arts, Loras College, Dubuque, IA

Business Background (past 5 years):

**Prudential – 04/2014 to Present**

**Retirement Counselor**

Naomi is responsible for counseling plan participants on their distribution options. She also proactively reaches out to prospects through outbound calls and handles in-bound calls from participants who are looking to discuss distribution and rollover options. She has a strong knowledge of defined contribution plans, distribution options and a superior understanding of individual retirement products/services and investment options. In July 2019, Naomi began offering investment advisory solutions through Prudential Customer Solutions LLC.

Industry Designation: None

Description of Requirements: N/A

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Naomi Feldott

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Ms. Feldott is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Naomi’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Naomi Feldott adheres to the firm’s standards.

Naomi Feldott is directly supervised by Mark Verity, Manger, Retail Sales. Mark Verity can be reached at 860-534-7039.
Jeremy LaVertu

**Item 2 – Educational Background and Business Experience**

**Birth:** 1983

**Education:** B.S. Westfield State University, Westfield, MA

**Business Background (past 5 years):**

**Prudential – 06/2019 to Present**

*Retirement Counselor*

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In July 2019, Jeremy began offering investment advisory solutions through Prudential Customer Solutions LLC.

**Voya – 03/2018 to 06/2019**

*Retirement Counselor - Financial Advisor*

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable

**Voya – 08/2014 to 03/2018**

*Consolidation Specialist*

Educate, explain and help participants understand the rollover in process. Assist clients and participants roll assets into current 401k plans.

**Industry Designation:** None

**Description of Requirements:** N/A

**Item 3 – Disciplinary Information**

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person's use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Jeremy LaVertu is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Jeremy’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Anthony Anzellotti adheres to the firm’s standards.

Jeremy LaVertu is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Mark Konrardy

Item 2 – Educational Background and Business Experience

Birth: 1976

Education: MBA Loras College, Dubuque, IA

Business Background (past 5 years):

Prudential – 03/2008 to Present
Retirement Counselor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In July 2019, Mark began offering investment advisory solutions through Prudential Customer Solutions LLC.

Industry Designation: Certified Retirement Counselor (CRC)

Description of Requirements: To be a CRC designate, one must pass a four-hour, 200-question multiple-choice exam. Once the exam is passed, the candidate must meet additional requirements to keep up the designation by completing 15 hours of approved continuing education annually.

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Mark Konrardy

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Mark Konrardy is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Mark’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Mark Konrardy adheres to the firm’s standards.

Mark Konrardy is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Michael Lacey

Item 2 – Educational Background and Business Experience

Birth: 1970

Education: B.A. Luther College, Decorah, IA

Business Background (past 5 years):

Prudential Financial: 04/2018 to Present
Retirement Counselor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable.

LPL Financial: 10/2017 to 03/2018
Financial Consultant

Developed financial plans to help clients achieve their long-term and short-term financial goals. Advised clients on retirement planning, investments, and insurance decisions, depending on their financial goals.

Prudential Financial: 06/2005 to 09/2017
Retirement Counselor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable.

Industry Designation:

Description of Requirements:

Item 3 – Disciplinary Information
We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Michael Lacey

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses to roll over their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our supervised person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Mr. Lacey is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Michael’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Michael Lacey adheres to the firm’s standards.

Michael Lacey is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Corinna Lawler

Item 2 – Educational Background and Business Experience

Birth: 1978

Education: MBA University of Phoenix, Phoenix, AZ

Business Background (past 5 years):

Prudential – 02/2008 to Present
Retirement Counselor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In July 2019, Corinna began offering investment advisory solutions through Prudential Customer Solutions LLC.

Industry Designation: None

Description of Requirements: N/A

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Corrinn Lawler

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Mrs. Lawler is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Corinna’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Corinna Lawler adheres to the firm’s standards.

Corinna Lawler is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Collin Long

Item 2 – Educational Background and Business Experience

Birth: 1995

Education: B.A. Loras College, Dubuque, IA

Business Background (past 5 years):

Prudential – 5/2019 to Present
Retirement Counselor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In October 2019, Collin began offering investment advisory solutions through Prudential Customer Solutions LLC.

Ameriprise Financial – 05/2015 to 05/2019
Financial Advisor

Worked with individual clients in areas such as: financial goal-setting, planning, and portfolio construction. Provided brokerage and managed-money services.

Loras College – 08/2013 to 05/2017
Full-Time Student

Mr. Long was a full-time college student.

Industry Designation: Certified Financial Planner (CFP)

Description of Requirements: One must complete a college-level set of courses to qualify to sit for the exam. Once coursework is completed, candidates sit for comprehensive exam. Certificants are responsible for completing 30 hours of continuing education every two years.

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Collin Long

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our supervised person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Mr. Long is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Collin’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Collin Long adheres to the firm’s standards.

Collin Long is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Michael Otting

Item 2 – Educational Background and Business Experience

Birth: 1970

Education: B.S. Economics Iowa State University, Ames, IA

Business Background (past 5 years):

Prudential – 03/2000 to Present
Retirement Counselor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In July 2019, Michael began offering investment advisory solutions through Prudential Customer Solutions LLC.

Industry Designation: Certified Retirement Counselor (CRC)

Description of Requirements: To be a CRC designate, one must pass a four-hour, 200-question multiple-choice exam. Once the exam is passed, the candidate must meet additional requirements to keep up the designation by completing 15 hours of approved continuing education annually.

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Michael Otting

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Mr. Otting is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Michael’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Michael Otting adheres to the firm’s standards.

Michael Otting is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Jason Sartori

Item 2 – Educational Background and Business Experience

Birth: 1975

Education: M.B.A. University of Dubuque, Dubuque, IA

Business Background (past 5 years):

Prudential – 04/2005 to Present
Retirement Counselor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In July 2019, Jason began offering investment advisory solutions through Prudential Customer Solutions LLC.

Industry Designation: Certified Retirement Counselor

Description of Requirements: To be a CRC designate, one must pass a four-hour, 200-question multiple-choice exam. Once the exam is passed, the candidate must meet additional requirements to keep up the designation by completing 15 hours of approved continuing education annually.

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Jason Sartoni

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Mr. Sartori is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Jason’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Jason Sartori adheres to the firm’s standards.

Jason Sartori is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Spencer Sell

Item 2 – Educational Background and Business Experience

Birth: 1980

Education: Bachelor’s degree, University of Dubuque
Dubuque, IA

Business Background (past 5 years):

Prudential – 10/2004 to Present
Retirement Counselor

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In July 2019, Spencer began offering investment advisory solutions through Prudential Customer Solutions LLC.

Industry Designation: None

Description of Requirements: N/A

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Spencer Sell

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Mr. Sell is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Spencer’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Spencer Sell adheres to the firm’s standards.

Spencer Sell is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
David Trapper

Item 2 – Educational Background and Business Experience

Birth: 1985

Education: Bachelor’s Degree Fordham University Gabelli School of Business, New York, NY

Business Background (past 5 years):

**Prudential – 10/2018 to Present**
**Retirement Counselor, Core Sales Team**

This position is responsible for counseling plan participants on distributions options within a call center environment in Prudential Retirement. The Retirement Counselor will proactively reach out to prospects through outbound calls and handle in-bound calls from participants who are looking to discuss distribution and rollover options. This position must have a knowledge of defined contribution plans, distribution options and an understanding of individual retirement products/services and investment options. In September 2019, David began offering investment advisory solutions through Prudential Customer Solutions LLC.

**Prudential – 05/2014 to 10/2018**
**Retirement Counselor, Rollover In Team**

Responsible for assisting participants with consolidating assets into plan, servicing Income Flex participants and having holistic, consultative conversations around asset allocations with active participants in Prudential Retirement.

Industry Designation: Certified Retirement Counselor (CRC)

Description of Requirements: To be a CRC designate, one must pass a four-hour, 200-question multiple-choice exam. Once the exam is passed, the candidate must meet additional requirements to keep up the designation by completing 15 hours of approved continuing education annually.
Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Mr. Trapper is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

David’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that adheres to the firm’s standards.
David Trapper is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Mark Verity

Item 2 – Educational Background and Business Experience

Birth: 06/10/1985

Education: University at Buffalo, Bachelor’s Degree – Finance

Business Background (past 5 years):

**Prudential Retirement: 2/2020 - present**
**Manager: Retail Sales**

Manage the Prudential Retail Retirement Counselors that educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable.

**Pruco Advisors 6/2015 – 2/2020**
**Financial Advisor**

Consult with clients about their current financial position and financial goals. Collect financial information relevant to financial goals with an emphasis on retirement planning. Use financial data to create a strategy to meet financial goals. Implement strategy through the sale of appropriate financial products.

**AXA Advisors 6/2008 – 6/2015**
**Financial Advisor/District Manager**

Consult with clients about their current financial position and financial goals. Collect financial information relevant to financial goals with an emphasis on retirement planning. Use financial data to create a strategy to meet financial goals. Implement strategy through the sale of appropriate financial products.

Recruit and develop team of financial advisors. Conduct weekly trainings and accountability sessions. Supervise financial advisors to maintain compliant business practices. Provide and facilitate joint work partnership. Manage the distribution of established business units within territory.

Industry Designation: None

Description of Requirements: N/A
Mark Verity

Item 3 – Disciplinary Information
We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.

Item 4 – Other Business Activities
This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This supervised person does not receive any compensation based on sales of securities, annuities, or other investment or insurance products.

Item 5 – Additional Compensation
If someone who is not our client provides an economic benefit to our supervised person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision
Mr. Verity is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Mark’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Mark Verity adheres to the firm’s standards.

Mark Verity is directly supervised by Michael Knowling, VP. Michael Knowling can be reached at (860) 534-2915.
Gabriel Ward

Item 2 – Educational Background and Business Experience

Birth: 1979

Education: M.B.A. Clarke University, Dubuque, IA

Business Background (past 5 years):

Prudential – 06/2002 to Present
Retirement Counselor

This position is responsible for counseling plan participants on distributions options within a call center environment in Prudential Retirement. The Retirement Counselor will proactively reach out to prospects through outbound calls and handle in-bound calls from participants who are looking to discuss distribution and rollover options. This position must have a strong knowledge of defined contribution plans, distribution options and a superior understanding of individual retirement products/services and investment options. In July 2019, Gabriel began offering investment advisory solutions through Prudential Customer Solutions LLC.

Industry Designation: Certified Retirement Counselor (CRC)

Description of Requirements: To be a CRC designate, one must pass a four-hour, 200-question multiple-choice exam. Once the exam is passed, the candidate must meet additional requirements to keep up the designation by completing 15 hours of approved continuing education annually.

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Gabriel Ward

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Mr. Ward is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Gabriel’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Gabriel Ward adheres to the firm’s standards.

Gabriel Ward is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.
Jennifer Wardle

Item 2 – Educational Background and Business Experience

Birth: 1972

Education: High School Degree, Dubuque, IA

Business Background (past 5 years):

**Prudential – 10/2007 to Present**

**Retirement Counselor**

Educate, explain and help participants understand their options regarding their retirement plan(s) after separation of service from their employers. Retain assets either in the plan or an IRA program if suitable. In July 2019, Jennifer began offering investment advisory solutions through Prudential Customer Solutions LLC.

Industry Designation: Certified Retirement Counselor (CRC)

Description of Requirements: To be a CRC designate, one must pass a four-hour, 200-question multiple-choice exam. Once the exam is passed, the candidate must meet additional requirements to keep up the designation by completing 15 hours of approved continuing education annually.

Item 3 – Disciplinary Information

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. We have no facts or events to report in response to this Item.
Jennifer Wardle

Item 4 – Other Business Activities

This supervised person is actively engaged in selling investments and insurance products, through an affiliated Broker-Dealer, Prudential Investment Management Services LLC (PIMS). Investment Advisory products are offered through Prudential Customer Solutions. This Supervised Person is compensated through a salary, bonus, and retention incentive program. Under the retention incentive program, this Supervised Person receives additional compensation, if a Participant, after speaking to the Supervised Person, either chooses to keep funds in their employer sponsored plan or to roll over their plan account to a Prudential IRA (including PMA Strategic). This compensation is greater when a Participant chooses rollover their assets into an IRA, reflecting the greater amounts of time and effort typically required to assist with a rollover transaction. The amount of compensation also increases when assisting a Participant with a large account (over a certain threshold). As a result, this Supervised Person has an incentive to recommend rollover transactions (including rollovers into PMA Strategic), especially to Participants with large accounts. This conflict, however, is substantially mitigated by the Supervised Person’s use of a neutral tool in assessing options for individual Participants. This Supervised Person is also eligible to receive a discretionary annual bonus, the amount of which varies depending on a number of factors, including whether they have met asset retention goals, creating an incentive to recommend either remaining in the plan or a rollover to Prudential. Further detail on these conflicts is available in the PCS Form ADV Part 2A.

Item 5 – Additional Compensation

If someone who is not our client provides an economic benefit to our Supervised Person for providing advisory services, we are required to describe the arrangement. Economic benefits include sales awards or other prizes or a bonus that is based at least in part on the number or amount of sales, client referrals or new accounts. We have no information to report in response to this Item.

Item 6 – Supervision

Ms. Wardle is subject to compliance with the written policies and procedures, standards of conduct, and general oversight of Prudential Customer Solutions.

Jennifer’s supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Jennifer Wardle adheres to the firm’s standards.

Jennifer Wardle is directly supervised by Mark Verity, Manager, Retail Sales. Mark Verity can be reached at 860-534-7039.