

Prudential LINK Advisors Form ADV Part 2B Brochure Supplements

Prudential Customer Solutions LLC
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Plymouth, MN 55442
1-844-778-5465

May 1, 2019

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 Savoie at 763-509-1785 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.



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

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.

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. 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 Savoie, Director, Investment Advisory Reps. John Savoie can be reached at (763) 509-1785.

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.

Benjamin Goodrich

Industry Designation: None

Description of Requirements: N/A

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.

Item 5 – Additional Compensation

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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 Savoie, Director of Investment Advisory Sales. John Savoie can be reached at 763-509-1785.

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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Daniel Buchholz

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 Savoie, Director of Investment Advisory Sales. John Savoie can be reached at 763-509-1785.

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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Daniel Kakach

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 Savoie, Director of Investment Advisory Sales. John Savoie can be reached at 763-509-1785.

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 will support recommendations made through PCS’s (Prudential Customer Solutions LLC) online system that aligns client’s needs, goals, and solutions. She will provide needs-based guidance to clients by serving as their trusted 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 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

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 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

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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 Savoie, Director of Investment Advisory Sales. John Savoie can be reached at 763-509-1785.

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

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James Brattensborg

Item 4 – Other Business Activities

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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 Savoie, Director of Investment Advisory Sales. John Savoie can be reached at 763-509-1785.

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.

Unemployed – 02/2014

Edward Jones – 12/2012 to 01/2014 Financial Advisor

Mr. Felton provided tailored solutions for individual investors to suit client needs and goals. He was responsible for managing portfolios to ensure quality investments, broad diversification, and proper asset allocations. Jeff maintained relationships with individual investors to stay attuned to life changing events that may affect current or future financial goals and provided advice appropriately.

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.

Item 3 – Disciplinary Information

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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 Savoie, Director, Investment Advisory Sales. John Savoie can be reached at 763-509-1785.

John A. Lake

Item 2 – Educational Background and Business Experience

Birth: 1964

Education: St. Thomas University; BA

Business Background (past 5 years):

Prudential – 04/2018 to Present Investment Advisor Representative

Mr. Lake transitioned to an Investment Advisor Representative role in April of 2018. John will support recommendations made through PCS's (Prudential Customer Solutions LLC) online system that aligns client's needs and goals with solutions.

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.

Palladiem – 08/2012 to 08/2013 National Sales Director – Head of Sales

Mr. Lake implemented wholesaling strategies for start-up money management firms.

Industry Designation: None

Description of Requirements: N/A

John A. Lake

Item 3 – Disciplinary Information

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Item 4 – Other Business Activities

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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 John Savoie, Director of Investment Advisory Sales. John Savoie can be reached at 763-509-1785.

John Savoie

Item 2 – Educational Background and Business Experience

Birth: 1968

Education: B.A. University of St. Thomas

Business Background (past 5 years):

Prudential – 01/2018 to Present Director, Investment Advisory Sales

Mr. Savoie is a Director, Investment Advisory Sales for Prudential Customer Solutions LLC. In this role, Mr. Savoie 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.

Associated Benefits and Risk Consulting – 11/2011 to 01/2018 Director, Advanced Planning

John developed detailed insurance solutions for prospects and clients. He helped Advisors develop financial plans for their clients.

Industry Designation: None

Description of Requirements: N/A

Item 3 – Disciplinary Information

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Item 4 – Other Business Activities

This supervised person is actively supervising representatives 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.

John Savoie

Item 5 – Additional Compensation

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Item 6 – Supervision

Mr. Savoie 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 advisor representatives and assuring that John Savoie adheres to the firm's standards.

John Savoie is directly supervised by Matthew Hudnut, VP Advisor & Broker Dealer Sales, Service. Matthew Hudnut can be reached at 763-509-1773.

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 needs-based guidance to clients by serving as the client's trusted 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 Savoie, Director of Investment Advisory Sales. John Savoie can be reached at 763-509-1785.

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 align with goals based on the client's financial needs and circumstances.

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. Mr. Robinson independently managed over \$17 million assets under management.

PlaneTechs – 01/2013 to 12/2013 Project Administrator

Neal oversaw the day-to-day operations of over 60 aircraft mechanics. Mr. Robinson monitored the weekly payroll, recruited mechanics from throughout the U.S., and built and sustained over 70% market share of the labor work force.

Industry Designation: None

Description of Requirements: N/A

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Item 4 – Other Business Activities

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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 Savoie, Director of Investment Advisory Sales. John Savoie can be reached at 763-509-1785.

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 will support recommendations made through PCS's (Prudential Customer Solutions LLC) online system that aligns client's needs, goals, and solutions. Nicholas will provide needs-based guidance to clients by serving as the client's trusted 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.

National Sports Complex – 11/2012 to 06/2014 Operations Intern

Nicholas helped manage day-to-day operations at the sports complex as well the planning and coordination of some of the largest amateur hockey tournaments in North America.

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.

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. 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 Savoie, Director of Investment Advisory Sales. John Savoie can be reached at 763-509-1785.

Sean Shepherd

Item 2 – Educational Background and Business Experience

Birth: 1979

Education: High School Diploma

Business Background (past 5 years):

Prudential – 11/2017 to Present Investment Advisor Representative

Mr. Shepherd is an Investment Advisor Representative for Prudential Customer Solutions LLC. In this role, Mr. Shepherd will support recommendations made through PCS's online system that aligns client's needs and goals with solutions.

Unemployed – 07/2017 to 10/2017

Ameriprise Financial – 09/2010 to 06/2017 Wealth Management Consultant

Mr. Shepherd was a Wealth Management Consultant at Ameriprise Financial, providing clients and Financial Advisors recommendations on Managed Accounts and Complex Capital Markets Solutions.

Industry Designations: 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

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.

Sean Shepherd

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

Sean's supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Sean Shepherd adheres to the firm's standards.

Sean Shepherd is directly supervised by John Savoie, Director of Investment Advisory Sales. John Savoie can be reached at 763-509-1785.

Trevor Campbell

Item 2 – Educational Background and Business Experience

Birth: 1980

Education: BA University of Wisconsin, Eau Claire, WI

Business Background (past 5 years):

Prudential – 07/2018 to Present Investment Advisor Representative

Mr. Campbell transitioned to an Investment Advisor Representative in July 2018. He will support recommendations made through PCS's (Prudential Customer Solutions LLC) online system that aligns client's needs and goals with solutions. Utilizing his financial background and tools, Trevor will guide clients through setting up life goals and discuss solutions that will help them reach those goals.

Prudential – 09/2015 to 07/2018 Regional Sales Consultant/Internal Wholesaler

Trevor Campbell spent nearly three years as an Internal Wholesaler supporting Business General Agencies by delivering Prudential products and services to customers. As part of this role, he focused on advanced case design and planning through the life insurance platform.

Ameriprise – 07/2014 to 08/2015 Financial Advice Sales Consultant

Mr. Campbell provided Financial Planning assistance to Ameriprise Financial Group advisors and their clients. He focused on helping advisors transition their business to a more holistic based platform and educated them on the benefits of incorporating financial planning into their practices.

Morgan Stanley – 4/2013 to 7/2014 Wealth Advisory Associate

Mr. Campbell partnered with clients to discuss and compile financial planning information and goals, as well as, produce and present customized Wealth Planning solutions to clients. Through this process, multiple planning and investment scenarios were created and reviewed to create a custom financial plan for the client.

Trevor Campbell

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

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.

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

Trevor's supervisor is responsible for managing the day-to-day activities of investment advisor representatives and assuring that Trevor Campbell adheres to the firm's standards.

Trevor Campbell is directly supervised by John Savoie, Director of Investment Advisory Sales. John Savoie can be reached at 763-509-1785.