



IAPD Report

FRANCISCO ANTONIO HERNANDEZ JR

CRD# 2367478

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

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



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

FRANCISCO ANTONIO HERNANDEZ JR (CRD# 2367478)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **07/08/2008**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

Note: Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	CHASE INVESTMENT SERVICES CORP.	25574	CHICAGO, IL	11/11/2005 - 07/08/2008

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

These disclosure events relate to any Investment Adviser Representative who is not currently registered and who: (1) was the subject of a final regulatory event; (2) was convicted of or pled guilty or nolo contendere to a crime; (3) was the subject of a civil injunction or civil court finding involving a violation of any investment-related statute(s) or regulation(s); or (4) was named as a respondent or defendant or was the subject of an arbitration or civil litigation which resulted in an award, decision or judgment for a customer.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is not currently registered as an Investment Adviser Representative.



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/10/2005
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	11/11/2005 - 07/08/2008	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CHICAGO, IL

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2005 - Present	CHASE INVESTMENT SERVICES CORP.	Mass Transfer	Y	CHICAGO, IL, United States



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions are separated by a solid line with the reporting source labeled.

(2) You may wish to contact the Investment Adviser Representative to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided. The following types of events are disclosed about this representative:

Type	Count
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Regulatory Event	1
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Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Prohibition
Other Sanction(s) Sought:	ADMINISTRATIVE PENALTY(IES)/FINE(S)
Date Initiated:	10/30/2007
Docket/Case Number:	0600276
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Annuity(ies) - Variable
Other Product Type(s):	
Allegations:	FAILURE TO DISCLOSE MATERIAL INFORMATION TO SECURITIES CLIENT. FAILURE TO DISCLOSE OUSIDE BUSINESS ACTIVITIY TO ISD.
Current Status:	Final
Resolution:	Stipulation and Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/29/2008
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	PROHIBITED FOR 7 DAYS FROM SELLING SECURITIES. PROHIBITED FOR 5 YEARS FROM SUPVERISING BRANCH OFFICE ACTIVITIES.
Regulator Statement	IF YOU HAVE ANY QUESTIONS PLEASE FEEL FREE TO CONTACT MR.

MILTADIS VERVENIOTIS AT 312-792-2284.
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Reporting Source: Individual

Regulatory Action Initiated By: STATE OF ILLINOIS DIVISION OF SECURITIES

Sanction(s) Sought: Suspension

Other Sanction(s) Sought:

Date Initiated: 10/30/2007

Docket/Case Number: FILE NO 0600276

Employing firm when activity occurred which led to the regulatory action: PRUCO SECURITIES CORPORATION

Product Type: Annuity(ies) - Variable

Other Product Type(s):

Allegations: THE STATE OF ILLINOIS SECURITIES DIVISION HAS ISSUED A HEARING TO DETERMINE WHETHER AN ORDER SHALL BE ENTERED REVOKING FRANCO HERNANDEZ'S ILLINOIS REGISTRATION AS A SALES PERSON AND INVESTMENT ADVISOR. THE GROUNDS FOR THE PROPOSED ACTION ARE: FRAUD, FAILING TO DISCLOSE OUTSIDE BUSINESS ACTIVITY TO THE SECRETARY OF STATE'S OFFICE, UNETHICAL BUSINESS PRACTICE AND MISREPRESENTATION MADE TO THE SECRETARY OF STATE.

Current Status: Final

Resolution: Consent

Resolution Date: 05/29/2008

Sanctions Ordered: Disgorgement/Restitution
Monetary/Fine \$10,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: ON MAY 29, 2008, WHILE NEITHER ADMITTING NOR DENYING THE ALLEGATIONS, REP AGREED TO THE FOLLOWING CONSENT ORDER:

1. THE FORMAL HEARING SCHEDULED ON THIS MATTER IS DISMISSED WITHOUT FURTHER PROCEEDINGS.
2. REP WILL NOT SUPERVISE ANY BRANCH OFFICE ACTIVITIES FOR A PERIOD OF FIVE YEARS FROM THE DATE OF THE ENTRY OF THE CONSENT ORDER.
3. REP IS PROHIBITED FROM OFFERING AND SELLING SECURITIES IN THE STATE OF IL FOR A PERIOD OF SEVEN DAYS FROM THE DATE OF THE ENTRY OF THE CONSENT ORDER.
4. REP IS PROHIBITED FROM ACTING AS AN INVESTMENT ADVISOR AND INVESTMENT ADVISOR REPRESENTATIVE IN THE STATE OF IL FOR A PERIOD OF SEVEN DAYS FROM THE DATE OF THE ENTRY OF THE CONSENT ORDER.
5. REP WILL PAY A FINE TO THE IL SECURITIES DEPT'S INVESTOR EDUCATION FUND IN THE AMOUNT OF \$10,000 ON THE DAY OF THE ENTRY OF THE CONSENT ORDER.
6. REP WILL PAY CLIENT 6% OF THE PURCHASE PRICE OF EACH ALLIANZ EQUITY INDEXED ANNUITY THAT SHE PURCHASED FROM REP, ON THE DAY



OF THE ENTRY OF THE CONSENT ORDER.



End of Report

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