

**HARD COPY**

December 20, 2016

RECEIVED  
FEB 21 2017  
OFFICE OF THE SECRETARY

VIA FACSIMILE AND CERTIFIED MAIL

Jonathan Roth Ellis

[REDACTED]

San Antonio, TX [REDACTED]

(No. 9314 8699 0430 0028 7212 64)

3-17741

Re: Bar from Association with any FINRA member (FINRA Rule 9552)  
Jonathan Roth Ellis, CRD No. 6550512  
Matter No. 20160501221-01

APPLICATION FOR REVIEW  
NOTICE OF INTENT TO APPEAL

To whom it may concern:

The first and only letter I have received from FINRA was addressed via Certified and USPS First Class Mail to both an outdated address [REDACTED] Jamaica, NY [REDACTED], and my current address at [REDACTED], San Antonio, TX [REDACTED]. The letter referenced a *Prior Notice of Suspension letter* dated August 19, 2016 and the *Suspension from Association letter* dated September 14, 2016, neither of which I received. I can only suppose they had been sent to an outdated address.

According to the cited FINRA Rule 9552 (b) FINRA has the option to send correspondence via email. Additionally, the only other correspondence I have received was an email from Laura Sankey on August 27, 2016, to which I responded on September 21, 2016. Laura Sankey's contact information was listed in her signature as Examiner, Consumer Assistance Unit for the New York State Department of Financial Services. In responding to this email, I presumed that I had been fully compliant with any investigation that may have been ongoing regarding my wrongful termination from Prudential.

I have had every intention to fully cooperate with any investigative agency regarding the fraudulent scheme that I fell victim to while employed with Prudential. Moreover, I feel that both my termination and any following consequences were ungrounded and lacked the proper notice.

I left Prudential willingly long before any knowledge of Prudential's internal investigation, after meeting with both the Managing Director, Donna Guglielmi and the Manager of Training and Development, Robert Friedman, at which point I moved to Texas. The only contact I received after leaving was from the Human Resources Internal Investigation team asking for information regarding the alleged fraudulent activity of my prior team and superior team members. I complied fully with answering any questions asked of me on April 27<sup>th</sup>, 2016. The next communication I received was informing me of my termination of employment from Prudential.

I am willing to fully cooperate with the SEC and FINRA regarding any documentation or testimony needed from me in this investigation, however, I am no longer in New York City. All remaining correspondence can be sent to my current address [REDACTED] San Antonio, TX [REDACTED] or my email address at [REDACTED]. My current phone number is [REDACTED].

Sincerely,  
Jonathan Roth Ellis

