

## BrokerCheck Report

# STEPHEN PAUL FLORIO

CRD# 1186577

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Please be aware that fraudsters may link to BrokerCheck 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.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

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

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. [For more information about FINRA, visit www.finra.org.](http://www.finra.org)

**Thank you for using FINRA BrokerCheck.**



## STEPHEN P. FLORIO

CRD# 1186577

Currently employed by and registered with the following Firm(s):

**B CAMBRIDGE INVESTMENT RESEARCH, INC.**

888 SE 3rd Ave.  
Fort Lauderdale, FL 33316  
CRD# 39543  
Registered with this firm since: 10/10/2018

**IA CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**

888 SE 3rd Ave., Ste 401  
Fort Lauderdale, FL 33316  
CRD# 134139  
Registered with this firm since: 10/26/2018

## Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 8 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

### Registration History

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

**IA RAYMOND JAMES & ASSOCIATES, INC.**

CRD# 705  
ST. PETERSBURG, FL  
06/2015 - 08/2018

**B RAYMOND JAMES & ASSOCIATES, INC.**

CRD# 705  
FT. LAUDERDALE, FL  
06/2015 - 08/2018

**IA MORGAN STANLEY**

CRD# 149777  
PURCHASE, NY  
06/2009 - 07/2015

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	1
Termination	1



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 8 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**

Main Office Address: **1776 PLEASANT PLAIN RD.  
FAIRFIELD, IA 52556-8757**

Firm CRD#: **134139**

U.S. State/ Territory	Category	Status	Date
<b>IA</b> Florida	Investment Adviser Representative	APPROVED	10/26/2018

### Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

### Employment 2 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**

Main Office Address: **1776 PLEASANT PLAIN RD.  
FAIRFIELD, IA 52556-8757**

Firm CRD#: **39543**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	APPROVED	10/10/2018

U.S. State/ Territory	Category	Status	Date
<b>B</b> California	Agent	APPROVED	01/03/2019
<b>B</b> Florida	Agent	APPROVED	10/26/2018
<b>B</b> Illinois	Agent	APPROVED	12/07/2018



## Broker Qualifications

### Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
<b>B</b> New Jersey	Agent	APPROVED	09/16/2019
<b>B</b> North Carolina	Agent	APPROVED	11/28/2018
<b>B</b> Pennsylvania	Agent	APPROVED	10/27/2018
<b>B</b> South Carolina	Agent	APPROVED	10/29/2018
<b>B</b> Virginia	Agent	APPROVED	11/01/2018

### Branch Office Locations

#### CAMBRIDGE INVESTMENT RESEARCH, INC.

888 SE 3rd Ave.  
Ste 401  
Fort Lauderdale, FL 33316

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## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	08/31/2018
<b>B</b> General Securities Representative Examination	Series 7	09/17/1983

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	02/13/2006
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/13/1983

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

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

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 06/2015 - 08/2018	RAYMOND JAMES & ASSOCIATES, INC.	705	FT. LAUDERDALE, FL
B 06/2015 - 08/2018	RAYMOND JAMES & ASSOCIATES, INC.	705	FT. LAUDERDALE, FL
B 06/2009 - 07/2015	MORGAN STANLEY	149777	FT. LAUDERDALE, FL
IA 06/2009 - 07/2015	MORGAN STANLEY	149777	FT. LAUDERDALE, FL
B 04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	FT. LAUDERDALE, FL
IA 04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	FT. LAUDERDALE, FL
IA 02/2007 - 04/2007	MORGAN STANLEY	7556	FT. LAUDERDALE, FL
B 02/2007 - 04/2007	MORGAN STANLEY DW INC.	7556	FT. LAUDERDALE, FL
B 04/2003 - 02/2007	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	FT. LAUDERDALE, FL
IA 04/2003 - 02/2007	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	FT. LAUDERDALE, FL
IA 01/1994 - 04/2003	RAYMOND JAMES & ASSOCIATES, INC.	705	FT LAUDERDALE, FL
B 01/1994 - 04/2003	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL
B 03/1989 - 12/1993	BARNETT INVESTMENTS, INC.	14897	JACKSONVILLE, FL
B 12/1987 - 04/1989	BARNETT BOND SERVICE, INC.	20852	
B 09/1983 - 09/1987	DEAN WITTER REYNOLDS INC.	7556	

### Employment History





## Registration and Employment History

### Employment History, continued

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
10/2018 - Present	Cambridge Investment Research Advisors, Inc.	Investment Advisor Representative	Y	Fairfield, IA, United States
10/2018 - Present	Cambridge Investment Research Inc.	Registered Representative	Y	Fairfield, IA, United States
06/2015 - 08/2018	RAYMOND JAMES AND ASSOCIATES	FINANCIAL ADVISOR	Y	FT LAUDERDALE, FL, United States
01/2015 - 06/2015	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 06/2015	MORGAN STANLEY SMITH BARNEY	FINANCIAL ADVISOR	Y	FT. LAUDERDALE, FL, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

1.Downtown Harbor Church, 401 SW 2ND ST, FT LAUDERDALE, FL, 3/2015 AS BOARD MEMBER. NIR - 10/MO - 0/TRADING.

2.CIRA, 1776 PLEASANT PLAIN RD, FAIRFIELD, IA, AS ADVISORY REP OF A RIA. INV REL - 20/WK - 20/TRADING. SEE EMPLOYMENT HISTORY FOR START DATE.



## Disclosure Events

### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
  - o
4. **There are different statuses and dispositions for disclosure events:**
  - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - § A "pending" event involves allegations that have not been proven or formally adjudicated.
    - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - § A "final" event has been concluded and its resolution is not subject to change.
  - o A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
    - § An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - § A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Customer Dispute	0	1	N/A
Termination	N/A	1	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 1

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:**

**Date Initiated:** 08/20/2020

**Docket/Case Number:** [2018059717201](#)

**Employing firm when activity occurred which led to the regulatory action:** Raymond James & Associates, Inc.

**Product Type:** Other: Unspecified Securities

**Allegations:** Without admitting or denying the findings, Florio consented to the sanctions and to the entry of findings that he exercised discretion without written authorization in a customer's account. The findings stated that due to the customer's business and travel schedule, the customer orally authorized Florio to exercise discretion in the account. Florio, however, did not have the customer's written authorization to exercise discretion, nor was the account approved for discretion by his member firm. Florio also incorrectly answered "no" when asked, in two firm annual compliance questionnaires, whether he exercised discretion in any customer's account.

**Current Status:** Final



**Resolution:** Acceptance, Waiver & Consent(AWC)

**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:** 08/20/2020

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?** No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**



**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

#### **Sanction 1 of 1**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	All capacities
<b>Duration:</b>	10 business days
<b>Start Date:</b>	09/21/2020
<b>End Date:</b>	10/02/2020



### Monetary Sanction 1 of 1

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$5,000.00

**Portion Levied against individual:** \$5,000.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 09/01/2020

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement** Fines paid in full on September 1, 2020.

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:**

**Date Initiated:** 08/20/2020

**Docket/Case Number:** [2018059717201](#)

**Employing firm when activity occurred which led to the regulatory action:** Raymond James & Associates, Inc.

**Product Type:** Other: Unspecified Securities

**Allegations:** Without admitting or denying the findings, Florio consented to the sanctions and to the entry of findings that he exercised discretion without written authorization in a customer's account. The findings stated that due to the customer's business and travel schedule, the customer orally authorized Florio to exercise discretion in the account. Florio, however, did not have the customer's written authorization to exercise discretion, nor was the account approved for discretion by his member firm. Florio also incorrectly answered "no" when asked, in two firm annual compliance questionnaires, whether he exercised discretion in any customer's account.

**Current Status:** Final



**Resolution:** Acceptance, Waiver & Consent(AWC)

**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:** 08/20/2020

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** All capacities

**Duration:** 10 business days

**Start Date:** 09/21/2020

**End Date:** 10/02/2020

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$5,000.00

**Portion Levied against individual:** \$5,000.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 08/26/2020

**Was any portion of penalty waived?** No

**Amount Waived:**



## Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	BARNETT SECURITIES, INC.
<b>Allegations:</b>	FRAUD, DECEIT, MISREPRESENTATION, OMISSION, AND DAMAGES OF \$138,579.
<b>Product Type:</b>	
<b>Alleged Damages:</b>	\$138,579.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	
<b>Settlement Amount:</b>	

### Individual Contribution Amount:

### Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	National Association of Securities Dealers, Inc.; 93-03763
<b>Date Notice/Process Served:</b>	10/04/1993
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	09/15/1994
<b>Monetary Compensation Amount:</b>	\$10,000.00
<b>Individual Contribution Amount:</b>	\$0.00





**Firm Statement** SETTLEMENT OF \$10,000  
THE BROKER DID NOT PARTICIPATE IN THE SETTLEMENT.

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** BARNETT SECURITIES, INC.

**Allegations:** [CUSTOMER] ALLEGES FRAUD, DECEIT, MISREPRESENTATION AND OMISSION OF MATERIAL FACTS. ALLEGED COMPENSATORY DAMAGES OF \$138,579.00.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$138,579.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 09/15/1994

**Settlement Amount:** \$10,000.00

**Individual Contribution Amount:** \$0.00

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** National Association of Securities Dealers, Inc

**Docket/Case #:** 93-03763

**Date Notice/Process Served:** 10/04/1993

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 09/15/1994

**Monetary Compensation Amount:** \$10,000.00



**Individual Contribution Amount:** \$0.00

**Broker Statement**

NA  
IN 1989 WHEN I MET AND OPENED [CUSTOMER'S]  
ACCOUNT HE INFORMED ME THAT HIS OCCUPATION WAS THAT OF A  
SELF-EMPLOYED FINANCIAL INVESTOR. ALMOST 100% OF ALL TRADES  
EXECUTED WERE UNSOLICITED AND OVER 85% WERE ENTERED BY A  
SALES  
ASSISTANT. [CUSTOMER] MADE ALL HIS OWN STOCK TRANSACTIONS. I  
MADE THE ONLY RECOMMENDATION TO [CUSTOMER] IN JUNE OF 1991  
FOR A U.S.  
GOVERNMENT SEC. FUND (AAA) TO REPLACE A FIRST MORTGAGE THAT  
HAD  
BEEN PAID OFF.



## Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Firm

**Employer Name:** Raymond James & Associates, Inc.

**Termination Type:** Discharged

**Termination Date:** 08/12/2018

**Allegations:** Financial Advisor was terminated after the Firm identified emails suggesting involvement with an unapproved outside business activity. In addition, the Firm was concerned about the FA's investments in low-priced securities about which he was in frequent communications with an individual with direct contacts with senior management.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Reporting Source:** Broker

**Employer Name:** Raymond James & Associates, Inc.

**Termination Type:** Discharged

**Termination Date:** 08/12/2018

**Allegations:** Financial Advisor was terminated after the Firm identified emails suggesting involvement with an unapproved outside business activity. In addition, the Firm was concerned about the FA's investments in low-priced securities about which he was in frequent communications with an individual with direct contacts with senior management.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Broker Statement** Financial Advisor denies any outside business activity. Also, Financial Advisor asserts he has never had access to or receipt of non public information for any securities.

## End of Report



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