BrokerCheck Report

CHRISTOPHER DUNCAN BELL

CRD# 1479836

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When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

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:
    - 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
    - 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.
-

Thank you for using FINRA BrokerCheck.

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

For additional information about the contents of this report, please refer to the User Guidance or 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.

CHRISTOPHER D. BELL

CRD# 1479836

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

KINETICS FUNDS DISTRIBUTOR LLC
1270 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10020
CRD# 780
Registered with this firm since: 12/12/2023

KBD SECURITIES, LLC
1270 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YOYK, NY 10020
CRD# 104110
Registered with this firm since: 07/18/2001

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
- 53 U.S. states and territories

This broker has passed:

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

Registration History

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

DUPASQUIER & CO., INC.
CRD# 24750
NEW YORK, NY
11/1998 - 07/2001

LAIDLAW GLOBAL SECURITIES, INC.
CRD# 19018
NEW YORK, NY
03/1995 - 09/1997

JANNEY MONTGOMERY SCOTT INC.
CRD# 463
PHILADELPHIA, PA
08/1992 - 03/1995

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
Customer Dispute	2
Termination	2

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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 53 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **KBD SECURITIES, LLC**

Main Office Address: **1270 AVENUE OF THE AMERICAS**
27TH FLOOR
NEW YORK, NY 10020

Firm CRD#: **104110**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	07/18/2001
B	FINRA	General Securities Representative	Approved	07/18/2001
B	FINRA	Financial and Operations Principal	Approved	08/13/2009
B	FINRA	Operations Professional	Approved	12/14/2011
B	FINRA	Compliance Officer	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	11/04/2026
B	Colorado	Agent	Approved	11/04/2026
B	Connecticut	Agent	Approved	11/12/2026
B	Florida	Agent	Approved	06/19/2013
B	Georgia	Agent	Approved	11/20/2026
B	Illinois	Agent	Approved	11/17/2026
B	Indiana	Agent	Approved	06/11/2013
B	Kentucky	Agent	Approved	11/04/2026

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Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New Hampshire	Agent	Approved	08/22/2013
B	New Jersey	Agent	Approved	11/17/2026
B	New York	Agent	Approved	08/11/2001
B	Ohio	Agent	Approved	05/22/2013
B	South Dakota	Agent	Approved	11/09/2026

Branch Office Locations

KBD SECURITIES, LLC
1270 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10020

KBD SECURITIES, LLC
1270 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YOYK, NY 10020

Employment 2 of 2

Firm Name: **KINETICS FUNDS DISTRIBUTOR LLC**

Main Office Address: **1270 AVENUE OF THE AMERICAS**
27TH FLOOR
NEW YORK, NY 10020

Firm CRD#: **780**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	12/12/2023
B	FINRA	Financial and Operations Principal	Approved	12/12/2023
B	FINRA	General Securities Principal	Approved	12/12/2023
B	FINRA	General Securities Representative	Approved	12/12/2023

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Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date
B	FINRA	Operations Professional	Approved	12/12/2023

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	12/12/2023
B	Alaska	Agent	Approved	12/12/2023
B	Arizona	Agent	Approved	12/21/2023
B	Arkansas	Agent	Approved	01/08/2024
B	California	Agent	Approved	12/13/2023
B	Colorado	Agent	Approved	12/13/2023
B	Connecticut	Agent	Approved	12/12/2023
B	Delaware	Agent	Approved	12/21/2023
B	District of Columbia	Agent	Approved	05/02/2024
B	Florida	Agent	Approved	12/13/2023
B	Georgia	Agent	Approved	12/13/2023
B	Hawaii	Agent	Approved	12/13/2023
B	Idaho	Agent	Approved	12/13/2023
B	Illinois	Agent	Approved	12/18/2023
B	Indiana	Agent	Approved	03/19/2024
B	Iowa	Agent	Approved	12/18/2023
B	Kansas	Agent	Approved	12/13/2023
B	Kentucky	Agent	Approved	12/13/2023
B	Louisiana	Agent	Approved	12/22/2023

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Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Maine	Agent	Approved	12/13/2023
B	Maryland	Agent	Approved	12/13/2023
B	Massachusetts	Agent	Approved	12/13/2023
B	Michigan	Agent	Approved	12/14/2023
B	Minnesota	Agent	Approved	12/12/2023
B	Mississippi	Agent	Approved	12/13/2023
B	Missouri	Agent	Approved	12/13/2023
B	Montana	Agent	Approved	12/14/2023
B	Nebraska	Agent	Approved	12/18/2023
B	Nevada	Agent	Approved	12/15/2023
B	New Hampshire	Agent	Approved	12/20/2023
B	New Jersey	Agent	Approved	12/12/2023
B	New Mexico	Agent	Approved	12/13/2023
B	New York	Agent	Approved	12/12/2023
B	North Carolina	Agent	Approved	12/18/2023
B	North Dakota	Agent	Approved	12/18/2023
B	Ohio	Agent	Approved	12/13/2023
B	Oklahoma	Agent	Approved	12/13/2023
B	Oregon	Agent	Approved	12/12/2023
B	Pennsylvania	Agent	Approved	12/13/2023
B	Puerto Rico	Agent	Approved	01/09/2024

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Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Rhode Island	Agent	Approved	12/13/2023
B	South Carolina	Agent	Approved	12/13/2023
B	South Dakota	Agent	Approved	12/12/2023
B	Tennessee	Agent	Approved	12/13/2023
B	Texas	Agent	Approved	12/12/2023
B	Utah	Agent	Approved	12/12/2023
B	Vermont	Agent	Approved	12/12/2023
B	Virgin Islands	Agent	Approved	12/13/2023
B	Virginia	Agent	Approved	12/13/2023
B	Washington	Agent	Approved	12/12/2023
B	West Virginia	Agent	Approved	12/20/2023
B	Wisconsin	Agent	Approved	12/14/2023
B	Wyoming	Agent	Approved	12/14/2023

Branch Office Locations

KINETICS FUNDS DISTRIBUTOR LLC
1270 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10020

KINETICS FUNDS DISTRIBUTOR LLC
1270 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10020

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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. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam		Category	Date
B	Compliance Officer Examination	Series 14	01/02/2023
B	Financial and Operations Principal Examination	Series 27	08/12/2009
B	General Securities Principal Examination	Series 24	10/03/1995

General Industry/Product Exams

Exam		Category	Date
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	03/15/1986

State Securities Law Exams

Exam		Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	05/07/1996
B	Uniform Securities Agent State Law Examination	Series 63	05/22/1986

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/.

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Broker Qualifications

Professional Designations

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 11/1998 - 07/2001	DUPASQUIER & CO., INC.	24750	NEW YORK, NY
B 03/1995 - 09/1997	LAIDLAW GLOBAL SECURITIES, INC.	19018	NEW YORK, NY
B 08/1992 - 03/1995	JANNEY MONTGOMERY SCOTT INC.	463	PHILADELPHIA, PA
B 06/1988 - 07/1992	FIRST ALBANY CORPORATION	298	NEW YORK, NY
B 03/1986 - 07/1988	EQUITABLE SECURITIES OF NEW YORK,INC.	14583	

Employment History

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
07/2001 - Present	HORIZON KINETICS ASSET MANAGEMENT LLC	MANAGING DIRECTOR	Y	NEW YORK, NY, United States
07/2001 - Present	HORIZON KINETICS LLC	MANAGING DIRECTOR	Y	NEW YORK, NY, United States
07/2001 - Present	KBD SECURITIES, LLC	CEO, CFO, DESIGNATED PRINCIPAL, FINOP	Y	NEW YORK, NY, 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.

HORIZON KINETICS LLC (PARENT COMPANY TO THE FIRM, HORIZON KINETICS ASSET MANAGEMENT LLC); INVESTMENT-RELATED; INVESTMENT ADVISER ACTIVITY; MANAGING DIRECTOR; JULY 2001 100+ HOURS/MONTH; KBD SECURITIES, LLC, CEO, INVESTMENT RELATED, 5 HOURS/MONTH

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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:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - 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.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - 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.
   -
4. **There are different statuses and dispositions for disclosure events:**
   - 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.
   - 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
Customer Dispute	0	2	N/A
Termination	N/A	2	N/A

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	LAIDLAW GLOBAL SECURITIES, INC.
Allegations:	BRCH OF FIDUCIARY DT; MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE
Product Type:	
Alleged Damages:	$380,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #96-04127
Date Notice/Process Served:	09/19/1996
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	12/29/1997
Disposition Detail:	PENDING ***BELL IS LIABLE FOR $7,734.00 IN COMPENSATORY DAMAGES***

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Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	LAIDLAW GLOBAL SECURITIES, INC.
Allegations:	MR. BELL WAS SAID TO HAVE INDUCED CUSTOMER TO WITHDRAW HER PENSION AND THUS INCURRING PENALTIES AND LOST FUTURE GROWTH IN THE AMOUNT OF $380,000.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$380,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date:	12/29/1997
Settlement Amount:	$7,734.00
Individual Contribution Amount:	$7,734.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	96-04127
Date Notice/Process Served:	09/19/1996
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	12/29/1997
Monetary Compensation Amount:	$7,734.00
Individual Contribution Amount:	$7,734.00
Broker Statement	$7,700 WAS AWARDED TO CUSTOMER AND ARBITRATION FEES WERE TO BE SPLIT 50% BETWEEN CUSTOMER AND MR. BELL. CUSTOMER ASKED MR. BELL FOR ASSISTANCE IN WITHDRAWING HER MONEY FROM A

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PENSION PLAN. MR. BELL HELPED CUSTOMER CALCULATE CUSTOMER'S TAX LIABILITY BUT WAS UNAWARE OF CERTAIN PERSONAL TAX LIABILITIES. CUSTOMER WAS TOLD TO CHECK THE INFORMATION WITH AN ACCOUNTANT. IN THE ARBITRATION CUSTOMER ADMITTED TO THESE FACTS.

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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

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: UNSUITABLE AND EXCESSIVE TRANSACTIONS

Product Type:

Alleged Damages: $750,000.00

Customer Complaint Information

Date Complaint Received: 03/08/1995

Complaint Pending?

Status: Settled

Status Date: 07/26/1996

Settlement Amount: $400,000.00

Individual Contribution Amount:

Firm Statement PAYMENT OF $400,000 MADE TO CLAIMANT
Not Provided

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: JANNEY MONTGOMERY SCOTT INC.

Allegations: IMPROPER INVESTMENTS OVER CONCENTRATION, UNSOLICITED TRADING. THE CLIENT WAS LOOKING TO RECOVER $600,000 IN LOSSES.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $750,000.00

Is this an oral complaint? No

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Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/08/1995
Complaint Pending?	No
Status:	Settled
Status Date:	07/26/1996
Settlement Amount:	$400,000.00
Individual Contribution Amount:	$0.00
Broker Statement	JANNEY MONTGOMERY SCOTT PAID THE CLIENT $400,000 NOT TO PURSUE ANY ACTION AGAINST CURRENT OR FORMER EMPLOYEES OR THE FIRM. MR. BELL RECOMMENDED "BUY" AND "STRONG BUY" STOCKS THAT WERE RESEARCHED BY THE FIRMS ANALYSTS. MR. BELL STRONGLY DENIED THAT THE TRADING WAS UNSOLICITED AND PRODUCED EVIDENCE OF OVER 20 PHONE CALLS PER MONTH TO THE CLIENT. JANNEY MONTGOMERY SCOTT NONETHELESS DECIDED TO SETTLE THE MATTER.

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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 2

Reporting Source:	Broker
Employer Name:	LAIDLAW EQUITIES INC.
Termination Type:	Voluntary Resignation
Termination Date:	09/01/1997
Allegations:	MR. BELL WAS SAID TO HAVE INDUCED CUSTOMER TO WITHDRAW HER PENSION AND THUS INCURRING PENALTIES AND LOST FUTURE GROWTH IN THE AMOUNT OF $380,000.
Product Type:	Equity Listed (Common & Preferred Stock)

Disclosure 2 of 2

Reporting Source:	Broker
Employer Name:	JANNEY MONTGOMERY SCOTT INC.
Termination Type:	Permitted to Resign
Termination Date:	02/08/1995
Allegations:	IMPROPER INVESTMENTS OVER CONCENTRATION, UNSOLICITED TRADING. THE CLIENT WAS LOOKING TO RECOVER $600,000 IN LOSSES
Product Type:	Equity Listed (Common & Preferred Stock)

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End of Report

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