

BrokerCheck Report

Curtis Walton Long Jr

CRD# 1577818

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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.



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:

- 4 Self-Regulatory Organizations
- 31 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):

No information reported.

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	3

Curtis W. Long Jr

CRD# 1577818

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

IA EDWARD JONES
6 SOUTH SILVER ST
PAOLA, KS 66071
CRD# 250
Registered with this firm since: 01/31/2007

B EDWARD JONES
6 SOUTH SILVER ST
PAOLA, KS 66071
CRD# 250
Registered with this firm since: 10/22/1986



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 4 SROs and is licensed in 31 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **EDWARD JONES**

Main Office Address: **12555 MANCHESTER ROAD
ST. LOUIS, MO 63131-3710**

Firm CRD#: **250**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/22/1986
B	NYSE American LLC	General Securities Representative	Approved	09/13/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	10/22/1986

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	04/10/2018
B	Arizona	Agent	Approved	01/14/1998
B	Arkansas	Agent	Approved	03/06/1998
B	California	Agent	Approved	07/02/1997
B	Colorado	Agent	Approved	07/23/1998
B	District of Columbia	Agent	Approved	07/09/2013
B	Florida	Agent	Approved	03/26/1996
B	Georgia	Agent	Approved	08/15/2014
B	Hawaii	Agent	Approved	01/14/2015

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Idaho	Agent	Approved	03/26/2021
B	Illinois	Agent	Approved	08/20/1997
B	Indiana	Agent	Approved	02/19/1997
B	Iowa	Agent	Approved	01/14/1997
B	Kansas	Agent	Approved	01/09/1987
IA	Kansas	Investment Adviser Representative	Approved	01/31/2007
B	Louisiana	Agent	Approved	12/17/2009
B	Massachusetts	Agent	Approved	11/12/2024
B	Missouri	Agent	Approved	08/11/1987
B	Montana	Agent	Approved	04/30/2018
B	Nebraska	Agent	Approved	06/16/2004
B	New Mexico	Agent	Approved	08/09/2011
B	New York	Agent	Approved	09/28/2005
B	Ohio	Agent	Approved	05/14/2010
B	Oklahoma	Agent	Approved	01/10/1997
B	Oregon	Agent	Approved	01/16/2021
B	Rhode Island	Agent	Approved	01/08/2021
B	South Carolina	Agent	Approved	12/02/2003
B	South Dakota	Agent	Approved	09/17/2009
B	Texas	Agent	Approved	04/13/1995
IA	Texas	Investment Adviser Representative	Restricted Approval	08/28/2014

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Utah	Agent	Approved	07/23/2019
B	Virginia	Agent	Approved	10/08/1998
B	Washington	Agent	Approved	07/23/2013

Branch Office Locations

EDWARD JONES
6 SOUTH SILVER ST
PAOLA, KS 66071



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 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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/18/1986

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	01/17/2007
B Uniform Securities Agent State Law Examination	Series 63	11/13/1986

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/.

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
No information reported.			

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
05/1986 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	PAOLA, KS, 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.

FIRST LUTHERAN CHURCH ENDOWMENT FUND - NOT INVESTMENT RELATED
 POSITION: TRUSTEE
 ZERO HOURS DEVOTED DURING TRADING HOURS
 DUTIES: BOARD MEMBER.

"Briarwood Enterprises
 Type of business: Cattle/Real Estate
 Paola, KS
 Start date: 1/1/1995
 Owner
 Hours per week: 0
 Hours during trading: 0
 File tax return"

Sonic LP - LLC
 Type of business: Sonic Restaurant
 Stanley, KS
 Start date: 1/1/1994



Registration and Employment History

Other Business Activities, continued

Minority Investor

Hours per week: 0

Hours during trading: 0

No responsibilities

L&S Farms

Type of business: Rental house and 76Acres farm

Paola, KS

Start date: 1/1/1995

Part Owner

Hours per week: 0

Hours during trading: 0

No responsibilities

CED Realty Partners

Type of business: Farm Ground

Paola, KS

Start date: 1/1/1996

Owner

Hours per week: 0

Hours during trading: 0

File tax return

CayMoor Corp

Type of business: Commercial Real Estate

Paola, KS

Start date: 1/1/2004

Owner

Hours per week: 0

Hours during trading: 0

File tax return

USD #368 Endowment Association

Paola, KS

Start date: 1/1/1995

Board Member

Hours per week: 0

Hours during trading: 0

Financial expertise; Board member

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.
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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	3	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.

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:	EDWARD D. JONES & CO., L.P.
Allegations:	COMMON LAW FRAUD; BREACH OF FIDUCIARY DUTY; UNAUTHORIZED TRADING; LACK OF SUITABILITY
Product Type:	Other
Other Product Type(s):	PREFERRED FUNDS
Alleged Damages:	\$48,731.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #05-03338
Date Notice/Process Served:	06/29/2005
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	08/17/2006
Disposition Detail:	LONG IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY CLAIMANTS \$16,520.04.



Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT'S ATTORNEY ALLEGES TRANSACTIONS EFFECTED IN HER ACCOUNT WERE NOT AUTHORIZED. ATTORNEY ALLEGES ALL INVESTMENTS RECOMMENDED BY THE IR WERE PREFERRED MUTUAL FUNDS WITH WHICH "EDWARD JONES HAD UNDISCLOSED AND ILLEGAL SELLING AGREEMENTS". ATTORNEY IS REQUESTING DAMAGES IN THE AMOUNT OF \$70,744.00*****
 ARBITRATION DESCRIPTION: ALLEGATIONS OF UNAUTHORIZED TRADING, OMISSION OF MATERIAL FACT, VIOLATIONS OF THE KANSAS SECURITIES ACT, VIOLATIONS OF NASD RULES OF FAIR PRACTICE INCLUDING SUITABILITY AND FAILURE TO SUPERVISE, COMMON LAW FRAUD AND BREACH OF FIDUCIARY DUTY THROUGH THE SALE OF PREFERRED FUNDS TO THE CLAIMANTS WITHOUT DISCLOSING RESPONDENTS' ALLEGED CONFLICT OF INTEREST. (AMOUNT CLAIMED: CONSIDERATION PAID FOR THE SUBJECT PREFERRED FUNDS PLUS 15% INTEREST LESS PROCEEDS FROM DISPOSITION OF THE SECURITIES IN THE TOTAL AMOUNT OF \$34,731, PLUS COMMISSIONS PAID ON THE PURCHASE AND SALE OF THE SUBJECT PREFERRED FUNDS IN THE APPROXIMATE AMOUNT OF \$14,000, PLUS COSTS OF \$975, PLUS ATTORNEYS' FEES OF \$81,000 AND UNSPECIFIED PUNITIVE DAMAGES)

Product Type: Mutual Fund(s)
Alleged Damages: \$70,744.00

Customer Complaint Information

Date Complaint Received: 04/08/2005
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 04/26/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD; CASE NO: 05-03338](#)



Date Notice/Process Served: 07/07/2005

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 08/17/2006

Monetary Compensation Amount: \$16,520.04

Individual Contribution Amount: \$0.00

Broker Statement

MUTUAL FUNDS WERE PURCHASED IN THE ACCOUNTS AS EARLY AS 2002. AT THE TIME OF THE TRANSACTIONS, THE CLIENT WOULD HAVE RECEIVED TRADE CONFIRMATIONS. IN ADDITION, SHE HAS RECEIVED STATEMENTS, WHICH PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNTS AS WELL AS REFLECTING ACCOUNT ACTIVITY. ACCORDING TO THE IR, ALL TRANSACTIONS EFFECTED IN THE ACCOUNTS WERE AUTHORIZED. HE HAS INDICATED HE HAD MULTIPLE CONVERSATIONS WITH THE CLIENT REGARDING INDIVIDUAL TRANSACTIONS AS WELL AS THE ACCOUNTS AS A WHOLE. BASED ON OUR REVIEW, IT IS OUR OPINION, THE TRANSACTIONS WERE COMPLETED WITH THE CLIENT'S KNOWLEDGE AND AUTHORIZATION. IN REGARD TO CONCERNS RELATED TO REVENUE SHARING, WE ARE WORKING OUT THE DETAILS OF A FREE SWITCH OPPORTUNITY FOR CURRENT PREFERRED MUTUAL FUND CUSTOMERS, AS WELL AS THE DETAILS FOR THE DISTRIBUTION OF THE \$75 MILLION FAIR FUND SETTLEMENT TO ELIGIBLE CUSTOMERS WHO PURCHASED PREFERRED MUTUAL FUND SHARES AFTER JANUARY 1, 1999. THOSE PROGRAMS, AND THE INFORMATION ABOUT THEM, MUST BE REVIEWED BY THE REGULATORS BEFORE WE CAN RELEASE THE INFORMATION. AS SOON AS THE PROGRAMS AND INFORMATION ARE REVIEWED, WE WILL NOTIFY INDIVIDUALS WHO QUALIFY. IN THE MEANTIME, WE HOPE THE INFORMATION ON OUR WEBSITE (WWW.EDWARDJONES.COM) ADDRESSES MANY OF THE CLIENT'S QUESTIONS AND THAT WITHIN THE NEXT FEW MONTHS WE WILL HAVE SATISFACTORILY ADDRESSED ALL OF THE CLIENT'S CONCERNS. CLAIM DENIED.*****ARBITRATION RESOLUTION: AWARD OF \$6,246.22 IN COMPENSATORY DAMAGES AND \$2,498.49 IN ATTORNEY'S FEES TO CLAIMANT #3, PLUS \$10,273.82 IN COMPENSATORY DAMAGES AND \$4,109.20 IN ATTORNEY'S FEES TO CLAIMANT #2.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: 6/08-12/08; CLIENT STATES ALL MONIES INVESTED IN THE ACCOUNT HE SHARES WITH HIS MOTHER WERE TO BE PLACED IN GUARANTEED BONDS. CLIENT HAS STATED HE LEARNED AT THE BEGINNING OF DECEMBER THAT THE FA BEGAN PURCHASING NON GUARANTEED FUNDS AND THAT THIS WAS DONE WITHOUT THEIR PERMISSION.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 12/26/2008

Complaint Pending? No

Status: Denied

Status Date: 03/12/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

OUR RECORDS REFLECT THE LORD ABBETT BOND DEBENTURE FUND WAS INITIALLY PURCHASED ON JUNE 27, 2005. FA HAS STATED HE DID DISCUSS THIS INVESTMENT WITH THE CLIENT AND THE CLIENT AGREED TO THE PURCHASE. AT THE TIME OF THE TRANSACTION, THE CLIENT WOULD HAVE BEEN SENT A PROSPECTUS DISCLOSING THE DETAILS OF THE INVESTMENT AND THE CLIENT HAS ALSO BEEN SENT STATEMENTS WHICH WOULD HAVE REFLECTED OWNERSHIP OF THE MUTUAL FUND. IN CLOSING, IT IS OUR BELIEF THAT IF THE CLIENT WAS NOT SATISFIED WITH THE MUTUAL FUND, THE CLIENT WOULD HAVE CONTACTED OUR FIRM AT THE TIME OF THE TRANSACTION. BASED ON THIS, THE REQUEST FOR COMPENSATION WAS DENIED.



Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT FILED A COMPLAINT WITH THE MISSOURI SECURITIES DIVISION IN WHICH CLIENT APPARENTLY ALLEGES LOSSES IN PORTFOLIO VALUE RESULTING FROM RECOMMENDATIONS MADE BY THE IR. ACCORDING TO THE STATE, THE CLIENT HAS ALLEGED HIS ENTIRE PORTFOLIO WAS "ALLOCATED TO INVESTMENTS THAT WERE SUBJECT TO MARKET RISK." LOSSES EXCEED \$5,000.

Product Type: Other

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 03/12/2004

Complaint Pending? No

Status: Denied

Status Date: 03/29/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement

ACCORDING TO IR, DURING INITIAL MEETINGS WITH THE CLIENT, IR EXPLAINED THE FIRM'S INVESTMENT PHILOSOPHY OF BUYING AND HOLDING QUALITY INVESTMENTS FOR THE LONG TERM. IR STATED THAT DISCUSSIONS RELATING TO THE INVESTMENTS PURCHASED IN THE ACCOUNT INCLUDED MARKET RISK, YIELDS, LIQUIDITY, COSTS AS WELL AS POTENTIAL TAX CONSEQUENCES IN TAKING DISTRIBUTIONS. IR ALSO STATED THE CLIENT WAS PROVIDED WITH VARIOUS REPORTS, HYPOTHETICALS, PROSPECTUSES, AND OTHER MATERIALS REGARDING THE INVESTMENTS. IT IS UNDERSTOOD INCOME NEEDS WERE DISCUSSED AND THE DECISION WAS MADE TO WITHDRAW \$24,000 ANNUALLY (\$2,000/MONTH) FROM THE ACCOUNT. ACCORDING TO IR, CLIENT HAD EXPRESSED GROWING CONCERNS REGARDING HIS HEALTH AND WAS INTERESTED IN THE ANNUITY DUE TO THE DEATH BENEFIT. IR ALSO STATED THE CLIENT WAS AWARE OF THE SURRENDER CHARGES



ASSOCIATED WITH REMOVING FUNDS FROM THE ANNUITY AS WELL AS THE PENALTY-FREE WITHDRAWAL LIMITATIONS. IR FURTHER STATED, WITHIN THE FIRST YEAR OF ESTABLISHING THE ACCOUNT, CLIENT BEGAN TAKING MORE IN DISTRIBUTIONS THAN HAD BEEN ORIGINALLY INTENDED. IT IS UNDERSTOOD IR SPOKE WITH THE CLIENT FREQUENTLY REGARDING THE INCREASE IN THE DISTRIBUTIONS AND SUGGESTED REDUCING WITHDRAWALS ON NUMEROUS OCCASIONS. AT THE TIME OF THE TRANSACTIONS (BUYS/SELLS), THE CLIENT WOULD HAVE RECEIVED TRADE CONFIRMATIONS. IN ADDITION, CLIENT HAS RECEIVED STATEMENTS WHICH PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNT AS WELL AS REFLECTING ACCOUNT ACTIVITY. BASED ON OUR REVIEW, THE INVESTMENTS PURCHASED IN THE ACCOUNT DO NOT APPEAR TO BE OUTSIDE THE SCOPE OF THE ACCOUNT'S INVESTMENT OBJECTIVES AND ALL TRANSACTIONS WERE AUTHORIZED. CLAIM DENIED.

End of Report



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