

BrokerCheck Report

PHILIP Timothy WIELOCH

CRD# 2819327

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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.

PHILIP T. WIELOCH

CRD# 2819327

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

IA LPL FINANCIAL LLC

67 W MAIN ST BLDG 1 STE 111

CLINTON, CT 06413

CRD# 6413

Registered with this firm since: 07/29/2024

B LPL FINANCIAL LLC

67 W MAIN ST BLDG 1 STE 111

CLINTON, CT 06413

CRD# 6413

Registered with this firm since: 07/29/2024

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:

- 2 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):

IA CALTON & ASSOCIATES, INC.

CRD# 20999

TAMPA, FL

04/2019 - 07/2024

B CALTON & ASSOCIATES, INC.

CRD# 20999

Clinton, CT

04/2019 - 07/2024

IA CAPITAL FINANCIAL SERVICES, INC.

CRD# 8408

MINOT, ND

08/2016 - 04/2019

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	5

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 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	07/29/2024
B FINRA	General Securities Representative	Approved	07/29/2024
B FINRA	Invest. Co and Variable Contracts	Approved	07/29/2024
B FINRA	Investment Co./Variable Contracts Prin	Approved	07/29/2024

U.S. State/ Territory	Category	Status	Date
B Connecticut	Agent	Approved	07/29/2024
IA Connecticut	Investment Adviser Representative	Approved	07/29/2024
B Florida	Agent	Approved	07/29/2024
IA Florida	Investment Adviser Representative	Approved	05/05/2025
B Georgia	Agent	Approved	07/29/2024
B Illinois	Agent	Approved	07/29/2024
B Missouri	Agent	Approved	08/19/2025
B North Carolina	Agent	Approved	07/29/2024
B South Carolina	Agent	Approved	07/29/2024

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Texas	Agent	Approved	07/31/2024
IA Texas	Investment Adviser Representative	Restricted Approval	07/31/2024

Branch Office Locations

LPL FINANCIAL LLC
67 W MAIN ST BLDG 1 STE 111
CLINTON, CT 06413

LPL FINANCIAL LLC
BONITA SPRINGS, FL

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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	05/13/2002
Investment Company Products/Variable Contracts Principal Examination	Series 26	05/03/1999

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	10/01/2018
General Securities Representative Examination	Series 7	01/05/2000
Investment Company Products/Variable Contracts Representative Examination	Series 6	11/04/1996

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination	Series 65	07/16/1999
Uniform Securities Agent State Law Examination	Series 63	12/02/1996

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
B 04/2019 - 07/2024	CALTON & ASSOCIATES, INC.	20999	Clinton, CT
IA 04/2019 - 07/2024	CALTON & ASSOCIATES, INC.	20999	Clinton, CT
IA 08/2016 - 04/2019	CAPITAL FINANCIAL SERVICES, INC.	8408	Clinton, CT
B 08/2016 - 04/2019	CAPITAL FINANCIAL SERVICES, INC.	8408	Clinton, CT
IA 06/2005 - 08/2016	INVESTORS CAPITAL ADVISORY	30613	CLINTON, CT
B 02/2002 - 08/2016	INVESTORS CAPITAL CORP.	30613	CLINTON, CT
IA 05/2002 - 06/2005	EASTERN POINT ADVISORS INC.	107123	FORT MYERS, FL
B 09/2000 - 02/2002	QUICK & REILLY, INC.	11217	NEW YORK, NY
B 02/1999 - 09/2000	FIS SECURITIES, INC.	30533	BOSTON, MA
B 07/1998 - 02/1999	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B 07/1998 - 02/1999	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY
B 04/1997 - 07/1998	WALNUT STREET SECURITIES, INC.	15840	EL SEGUNDO, CA
B 11/1996 - 04/1997	HARTFORD EQUITY SALES COMPANY INC.	6604	HARTFORD, CT

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
07/2024 - Present	LPL Financial LLC	Registered Rep.	Y	Clinton, CT, United States
03/2002 - Present	Phil Wieloch Financial	Insurance Rep	Y	CLINTON, CT, United States
04/2019 - 07/2024	Calton & Associates, Inc.	Financial Advisor	Y	Tampa, FL, United States

Registration and Employment History



Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2016 - 04/2019	Capital Financial Services, Inc	Registered Representative	Y	Minot, ND, United States
02/2002 - 08/2016	INVESTORS CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	LYNNFIELD, MA, 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) 07/2024 - CT Insurance for Seniors / Business Owner / Non Inv. Related / Clinton, CT / Start date 09/15/2010 - 15 Hrs per month - 10% Time Spent
- 2) 07/2024- Philip Wieloch Financial LLC / -DBA for LPL Business (entity for LPL business) - Investment related - At reported business location(s)
- 3) 07/2024 - FLORIDA INSURANCE FOR SENIORS / Business Owner / Non Inv. Related / Bonita Springs, FL - Start date 05/20/2024 - 2 Hrs per month - 10% Time Spent
- 4) 02/24/2025- Phil Wieloch Financial LLC- Insurance Agency- INV Related- At Reported Business Location(s)- Start date 03/03/2025- 2 Hours Per Month- 2 Hours During Trading
- 5) 02/24/2025- Phil Wieloch Financial LLC- Insurance Agency- INV Related- At Reported Business Location(s)- Start date 03/03/2025- 6 Hours Per Month- 6 Hours During Trading

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	5	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:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	05/05/2025
Docket/Case Number:	127898-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	CALTON & ASSOCIATES, INC.
Product Type:	No Product
Allegations:	Violated section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered with the Office as an associated person of an investment adviser or a federal covered adviser.
Current Status:	Final
Resolution:	Order



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:	05/05/2025
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	05/05/2025
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	On May 5, 2025, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Philip Wieloch (Wieloch). Wieloch neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Wieloch violated section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Wieloch agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$10,000. The Office agreed to approve Wieloch's application as an associated person (RA) with LPL FINANCIAL LLC effective May 5, 2025.

Reporting Source:	Broker
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist

**Civil and Administrative Penalty(ies)/Fine(s)**

Date Initiated:	05/05/2025
Docket/Case Number:	127898-SR
Employing firm when activity occurred which led to the regulatory action:	CALTON & ASSOCIATES, INC.
Product Type:	No Product
Allegations:	The Florida Office of Financial Regulation alleged that Mr. Wieloch violated Section 517.12(4) of the Florida Statutes in connection with allegations that Mr. Wieloch provided investment advice from a location within Florida without being registered in Florida as an associated person of an investment adviser.
Current Status:	Final
Resolution:	Order
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:	05/05/2025
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	05/05/2025
Was any portion of penalty waived?	No

**Amount Waived:****Broker Statement**

Prior to and before relocating to Florida in 2021, I advised my former firm of my business plans, expected travel plans to and from Florida, and the residency of my clients (in Florida and elsewhere), and asked for their guidance and direction as to what was required in terms of state licensing and registration. The registration department told me that based on the type of business I was conducting and because I had no plans on conducting client meetings from my residence, that investment adviser representative registration was not required. I entered into this stipulation to put this matter behind me and to allow me to continue to serve my clients' investment management and related needs.



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 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	INVESTORS CAPITAL CORP.
Allegations:	APPROXIMATELY SEVEN (7) TO TEN (10) YEARS AFTER ELECTING TO INVEST IN VARIOUS SECURITIES, CLAIMANTS NOW ALLEGE THAT THOSE INVESTMENTS HAD BEEN UNSUITABLE.
Product Type:	Debt-Asset Backed
Alleged Damages:	\$225,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	13-02585
Filing date of arbitration/CFTC reparation or civil litigation:	08/28/2013

Customer Complaint Information

Date Complaint Received:	09/16/2013
Complaint Pending?	No
Status:	Settled
Status Date:	12/10/2014
Settlement Amount:	\$57,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	MATTER SETTLED TO AVOID THE COSTS AND UNCERTAINTY ASSOCIATED



WITH PROTRACTED LITIGATION.

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	INVESTORS CAPITAL CORP.
Allegations:	APPROXIMATELY 7-9 YEARS AFTER ELECTING TO INVEST IN VARIOUS BONDS, CLAIMANTS NOW ASSERT THAT THOSE INVESTMENTS HAD BEEN UNSUITABLE.
Product Type:	Debt-Asset Backed
Alleged Damages:	\$216,352.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	13-01249
Filing date of arbitration/CFTC reparation or civil litigation:	05/01/2013

Customer Complaint Information

Date Complaint Received:	05/06/2013
Complaint Pending?	No
Status:	Settled
Status Date:	04/11/2014
Settlement Amount:	\$90,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	WHILE NOT CONCEDING ANY LIABILITY, A BUSINESS DECISION WAS MADE TO RESOLVE THIS MATTER TO AVOID THE TIME, EXPENSE, AND DISTRACTION ASSOCIATED WITH PROTRACTED LITIGATION.

**Disclosure 3 of 3**

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: INVESTORS CAPITAL CORPORATION
Allegations: CLAIMANTS SUSTAINED MARKET LOSSES RELATIVE TO BOND PURCHASES IN 2006 AND NOW CLAIM THE INVESTMENTS WERE UNSUITABLE.

Product Type: Debt-Asset Backed

Alleged Damages: \$90,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 10-03298

Date Notice/Process Served: 08/02/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/21/2011

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$16,811.25



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: Investors Capital Corp.
Allegations: Client alleged that Collateralized Mortgage Obligations (CMO's) should have been sold before the securities became worthless. Dates of the activities were between 2002-2008. In 2010 the client transferred their account to another Broker Dealer. I was no longer the advisor of record on the account.
Product Type: Debt-Corporate
Alleged Damages: \$310,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 08/17/2018

Complaint Pending? No

Status: Denied

Status Date: 02/28/2019

Settlement Amount:

Individual Contribution Amount:

Broker Statement

My client was with originally with Investors Capital and started a brokerage account with me in 2002. Her objective was income. We put a bond portfolio in her account made up of investment grade bonds. Her portfolio performed well until 2008. Due to unforeseen circumstances the country experienced a financial crash and many people lost money especially those in Lehman Brothers and Bear Sterns CMO's that both had S and P ratings of A- at the time of sale. We were instructed



not to sell these bonds when the CMO market crashed. When I inquired about selling the bonds, they could only be sold for .10 on the dollar or less by my firm's bond expert. It was recommended we not sell for pennies on the dollar and hope they recovered instead. My recommendations and subsequent sales of bonds to my client were in line with her objective.

My client left Investors Capital in 2010 and had a market value on all of the bonds in her portfolio. Some of the bonds my client bought were Ginnie Mae and Freddie Mac bonds and these among others I sold her certainly did not lose principle. Since it was so long ago we do not have the documents showing what the portfolio was worth since she left the firm and moved her account to another broker dealer. We never heard from the client again until receiving a letter asking for her money back in August of 2018, well past the statute of limitations.

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Investors Capital Corp.
Allegations:	Contrary to the account documentation, clients allege that they were unaware of a contract rider.
Product Type:	Annuity-Fixed
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The firm has made a good faith determination that the alleged damages would be greater than \$5K.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/11/2016
Complaint Pending?	No
Status:	Denied
Status Date:	08/09/2016



Settlement Amount:

**Individual Contribution
Amount:**

End of Report



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