

BrokerCheck Report

JOHN THOMAS MYNATT

CRD# 344309

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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:
 - 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.

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.

JOHN T. MYNATT

CRD# 344309

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B** LPL FINANCIAL LLC
CRD# 6413
NASHVILLE, TN
12/1989 - 12/2023
- B** LINSICO FINANCIAL GROUP, INC.
CRD# 524
05/1987 - 12/1989
- B** FIRST AFFILIATED SECURITIES, INC.
CRD# 6871
01/1980 - 03/1987

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	2
Customer Dispute	3

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Registered Options Principal Examination	Series 4	03/29/1983
B General Securities Principal Examination	Series 24	01/29/1982

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	12/22/2008
B Registered Representative Examination	Series 1	02/10/1973

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/02/1997
B Uniform Securities Agent State Law Examination	Series 63	02/15/1983

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/.

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 12/1989 - 12/2023	LPL FINANCIAL LLC	6413	NASHVILLE, TN
B 05/1987 - 12/1989	LINSCO FINANCIAL GROUP, INC.	524	
B 01/1980 - 03/1987	FIRST AFFILIATED SECURITIES, INC.	6871	
B 06/1979 - 09/1983	FSC SECURITIES CORPORATION	7461	
B 01/1980 - 01/1980	WESTAMERICA FINANCIAL CORPORATION	883	
B 04/1978 - 07/1979	J.J.B. HILLIARD, W.L. LYONS, INC.	453	
B 02/1973 - 03/1977	A. G. EDWARDS & SONS, INC.	4	

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
05/1987 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	NASHVILLE, TN, United States
02/2017 - 12/2017	Fiduciary Advisors, LLC	Investment Advisor Representative, CCO	Y	Nashville, TN, 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) 1/31/2020 - John Mynatt & Associates - Investment Related - 3811 Bedford Ave, Ste 204, Nashville, TN 37215 - Real Estate Rental - Started 01/01/2017 - 0 Hours Per Month - Rent office space.

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	2	0
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.

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 2

Reporting Source: Firm
Regulatory Action Initiated By: TENNESSEE
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 09/16/1987
Docket/Case Number: 12.06-A-87-0641J

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 03/15/1988

Firm Statement "MR.
 MYNATT WAS REQUESTED BY THE COMMISSIONER OF SECURITIES FOR



THE
STATE OF TENNESSEE TO WITHDRAW HIS APPLICATION FOR
REGISTRATION
AS AN AGENT OF LINSKO FINANCIAL GROUP, INC., AND TO NOT REAPPLY
FOR A PERIOD OF TWO (2) YEARS AS AN AGENT REGISTERED IN
TENNESSEE. DOCKET NO.
12.06-A-87-0641J, BEFORE THE COMMISSIONER OF COMMERCE AND
INSURANCE OF THE STATE OF TENNESSEE AT NASHVILLE; SECURITIES
DIVISION, PETITIONER V. JOHN THOMAS MYNATT, RESPONDENT. THE
ORDER ALLEGED THAT MYNATT FAILED TO AMEND HIS U4 FILED WITH
FIRST AFFILIATED SECURITIES TO DISCLOSE CERTAIN INFORMATION,
INCLUDING HIS INVOLVEMENT IN FOUR CIVIL ACTIONS, AND FAILED TO
DISCLOSE CERTAIN INFORMATION REGARDING QUESTIONS 19 AND 20 ON
HIS U4 FILED WITH LINSKO FINANCIAL GROUP, INC., IN VIOLATION OF
T.C.A. SECTION 48-2-111(C) AND T.C.A. SECTION 48-2-109(A).
ACCORDINGLY, IT WAS ORDERED THAT: (1) MYNATT WITHDRAW HIS
APPLICATION FOR REGISTRATION WITH LINSKO WITHIN TEN DAYS OF THE
DATE OF THE ENTRY OF THE ORDER; (2) THE DIVISION ACCEPT THE
WITHDRAWAL OF MYNATT'S APPLICATION FOR REGISTRATION WITH
LINSKO;
(3) MYNATT NOT REAPPLY FOR REGISTRATION IN TENNESSEE AS AN
AGENT
FOR A PERIOD OF TWO YEARS FROM THE DATE OF ENTRY OF THE ORDER
AND AS AN INVESTMENT ADVISER, ISSUER-DEALER OR BROKER-DEALER
FOR
A PERIOD OF FIVE YEARS FROM THE DATE OF ENTRY OF THE ORDER; (4)
MYNATT BE BARRED FROM REGISTRATION IN TENNESSEE AS AN AGENT
FOR
A PERIOD OF TWO YEARS FROM THE DATE OF ENTRY OF THE ORDER AND
AS
AN INVESTMENT ADVISER, ISSUER-DEALER, OR BROKER-DEALER FOR A
PERIOD OF FIVE YEARS FROM THE DATE OF ENTRY OF THE ORDER; (5)
THE DIVISION NOT USE THE FACTS AND CIRCUMSTANCES SET FORTH IN
THE FINDINGS OF FACT ABOVE OR THE ALLEGATIONS MADE IN THE
COMPLAINT AND NOTICE FILED SEPTEMBER 16, 1987 IN ADMINISTRATIVE
CASE NO. 12.06-A-87-0641J AS THE BASIS OF *SEE FAQ #1*

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF TENNESSEE

Sanction(s) Sought: Bar

Other Sanction(s) Sought:



Date Initiated:	09/16/1987
Docket/Case Number:	12.06-A-87-0641J
Employing firm when activity occurred which led to the regulatory action:	LINSCO FINANCIAL GROUP, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	STATE OF TENNESSEE ALLEGED THAT REPRESENTATIVE HAD NOT TIMELY AMENDED HIS FORM U-4 TO DISCLOSE FOUR LAWSUITS IN WHICH HE HAD BEEN NAMED AS A DEFENDANT IN WHICH FRAUD AND COMPENSATORY DAMAGES OF OVER \$10,000 HAD BEEN ALLEGED, AND DID NOT DISCLOSE ASSOCIATION WITH OTHER BUSINESS ENTITIES.
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/15/1988
Sanctions Ordered:	Bar
Other Sanctions Ordered:	
Sanction Details:	EFFECTIVE MARCH 15, 1988, REPRESENTATIVE WAS BARRED FROM REGISTRATION IN TENNESSEE AS AN AGENT FOR TWO YEARS, AND AS AN INVESTMENT ADVISER FOR FIVE YEARS.
Broker Statement	REPRESENTATIVE CONSENTED TO THE ENTRY OF THE ORDER ISSUED BY THE STATE OF TENNESSEE, ACCORDING TO WHICH HE WAS BARRED FROM REGISTRATION IN TENNESSEE AS AN AGENT FOR TWO YEARS AND AS AN INVESTMENT ADVISER FOR FIVE YEARS, EFFECTIVE MARCH 15, 1988. BY ENTERING INTO THE ORDER, REPRESENTATIVE DID NOT ADMIT TO THE STATE'S FINDINGS OF FACT OR CONCLUSIONS OF LAW, AND THE ORDER IS NOT TO BE CONSTRUED AS ANY SUCH ADMISSION.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	GEORGIA
Sanction(s) Sought:	
Other Sanction(s) Sought:	



Date Initiated: 07/12/1988
Docket/Case Number: 50-88-9619
Employing firm when activity occurred which led to the regulatory action: LINSICO FINANCIAL GROUP, INC.
Product Type: Other
Other Product Type(s): UNKNOWN
Allegations: NOT PROVIDED
Current Status: Final
Resolution: Order
Resolution Date: 08/15/1988
Sanctions Ordered: Revocation/Expulsion/Denial
Other Sanctions Ordered:
Sanction Details: ON AUGUST 15, 1988, JOHN THOMAS MYNATT WAS ISSUED AN ORDER OF DENIAL OF REGISTRATION IN GEORGIA. THE STATE OF GEORGIA ISSUED AN "ORDER OF DENIAL" REJECTING MYNATT'S APPLICATION FOR REGISTRATION.

Reporting Source: Broker
Regulatory Action Initiated By: STATE OF GEORGIA
Sanction(s) Sought: Denial
Other Sanction(s) Sought:
Date Initiated: 07/12/1988
Docket/Case Number: 50-88-9619
Employing firm when activity occurred which led to the regulatory action: LINSICO FINANCIAL GROUP, INC.
Product Type: No Product
Other Product Type(s):



Allegations:	ALLEGATION THAT REPRESENTATIVE HAD NOT TIMELY UPDATED HIM FORM U-4 TO DISCLOSE EXISTENCE OF LAWSUITS BY INDIVIDUALS WHO HAD ALLEGED THAT REPRESENTATIVE HAD SOLD THEM UNREGISTERED AND UNSUITABLE LIMITED PARTNERSHIP INVESTMENTS, AND THAT REPRESENTATIVE HAD NOT FULLY DISCLOSED ALL MATERIAL FACTS CONCERNING THOSE INVESTMENTS. ALSO, STATE CONSIDERED ON MARCH 15, 1988, THAT REPRESENTATIVE HAD CONSENTED TO AN ORDER IN TENNESSEE BY WHICH HE WAS BARRED FROM REGISTRATION AS AN AGENT FOR TWO YEARS AND AS AN INVESTMENT ADVISER FOR FIVE YEARS.
Current Status:	Final
Resolution:	Order
Resolution Date:	08/15/1988
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	ON 7/12/1988, COMMISSIONER OF SECURITIES FOR STATE OF GEORGIA PROPOSED TO ISSUE ORDER OF DENIAL OF REPRESENTATIVE'S APPLICATION FOR REGISTRATION DATED 6/1/1988. ORDER WAS ISSUED ON 8/15/1988.
Broker Statement	ON 7/12/1988, COMMISSIONER OF SECURITIES FOR STATE OF GEORGIA PROPOSED TO ISSUE ORDER OF DENIAL OF REPRESENTATIVE'S APPLICATION FOR REGISTRATION DATED 6/1/1988. ORDER WAS ISSUED ON 8/15/1988.



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:	FIRST AFFILITATED SECURITIES, INC.
Allegations:	PLAINTIFF CLAIMED THAT BROKER/DEALER AND INDIVIDUALS, INCLUDING THE REPRESENTATIVE, PARTICIPATED IN THE SALE OF UNREGISTERED SECURITIES TO HIM AND MADE MISREPRESENTATIONS REGARDING THOSE INVESTMENTS. REPRESENTATIVE DENIED THAT PLAINTIFF WAS A CUSTOMER OF HIS, DENIED THAT HE PARTICIPATED IN THE SALE OF THOSE INVESTMENTS, AND DENIED MAKE ANY MISREPRESENTATIONS TO THE PLAINTIFF.
Product Type:	Direct Investment(s) - DPP & LP Interest(s)
Alleged Damages:	\$80,000.00

Customer Complaint Information

Date Complaint Received:	12/12/1985
Complaint Pending?	No
Status:	Litigation
Status Date:	04/21/1987

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details:	OREGON, LANE COUNTY CIRCUIT COURT, CASE # 16-85-10442
Date Notice/Process Served:	12/12/1985
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	04/21/1987
Monetary Compensation Amount:	\$70,000.00



Individual Contribution Amount: \$1,533.00

Broker Statement THE REPRESENTATIVE CONTRIBUTED \$1533.00 TO RESOLUTION OF THIS MATTER, WHICH HE PROVIDED AS NUISANCE VALUE ONLY AND WITHOUT ANY ADMISSION OF LIABILITY.

Disclosure 2 of 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: FIRST AFFILIATED SECURITIES, INC.

Allegations: PLAINTIFF CLAIMED THAT IN 1982, BROKER/DEALER AND INDIVIDUALS, INCLUDING REPRESENTATIVE, MADE MISREPRESENTATIONS RE: THAT INVESTMENT AND THE VIABILITY OF THE PLAN FOR THE CATTLE-HERDING INVESTMENT. REPRESENTATIVE DENIED THAT THIS INDIVIDUAL WAS HIS CUSTOMER, AND FURTHER DENIED MAKING ANY MISREPRESENTATIONS.

Product Type: Other

Other Product Type(s): PRIVATE PLACEMENT SECURITIES OFFERING (COMMERCIAL CATTLE HERDS)

Alleged Damages: \$1,566,597.17

Customer Complaint Information

Date Complaint Received: 10/24/1985

Complaint Pending? No

Status: Litigation

Status Date: 05/15/1987

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: OREGON, LANE COUNTY CIRCUIT COURT, CASE NO. 16-85-08417

Date Notice/Process Served: 10/24/1985

Litigation Pending? No

Disposition: Settled



Disposition Date:	05/15/1987
Monetary Compensation Amount:	\$241,666.66
Individual Contribution Amount:	\$5,000.00
Broker Statement	THE REPRESENTATIVE CONTRIBUTED \$5,000 TO THE GLOBAL RESOLUTION OF THIS MATTER AND THE BRITAIN, ET. MATTER, WHICH HE PROVIDED AS NUISANCE VALUE ONLY AND WITHOUT ANY ADMISSION OF LIABILITY.

Disclosure 3 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	FIRST AFFILIATED SECURITIES, INC.
Allegations:	PLAINTIFFS (MEMBERS OF CLASS ACTION) CLAIMED THAT IN 1982 BROKER/DEALER AND INDIVIDUALS, INCLUDING REPRESENTATIVE, MADE MISREPRESENTATIONS RE: THE INVESTMENT AND THE VIABILITY OF THE PLAN FOR THE CATTLE-HERDING INVESTMENT. REPRESENTATIVE DENIED THAT THESE INDIVIDUALS WERE HIS CUSTOMERS, AND FURTHER DENIED MAKING ANY MISREPRESENTATIONS TO THEM.
Product Type:	Other
Other Product Type(s):	PRIVATE PLACEMENT SECURITIES OFFERING (COMMERCIAL CATTLE HERDS)
Alleged Damages:	\$3,983,659.00

Customer Complaint Information

Date Complaint Received:	02/05/1985
Complaint Pending?	No
Status:	Litigation
Status Date:	05/15/1987
Settlement Amount:	\$241,666.66
Individual Contribution Amount:	\$5,000.00

Civil Litigation Information



Court Details:	OREGON, LAND COUNTY CIRCUIT COURT, CASE # 16-85-01020
Date Notice/Process Served:	02/05/1985
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	05/15/1987
Monetary Compensation Amount:	\$241,666.66
Individual Contribution Amount:	\$5,000.00
Broker Statement	THE REPRESENTATIVE CONTRIBUTED \$5000.00 TO THE GLOBAL RESOLUTION OF THIS CLASS ACTION MATTER AND THE JOSEPH MATTER, WHICH HE PROVIDED AS NUISANCE VALUE ONLY AND WITHOUT ANY ADMISSION OF LIABILITY.

End of Report



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