



IAPD Report

JAMES WILLIAM FORSYTHE

CRD# 1038986

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

JAMES WILLIAM FORSYTHE (CRD# 1038986)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **06/02/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	01/03/2003
IA	OPPENHEIMER & CO. INC.	CRD# 249	11/19/2007

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **27** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY	11/14/1983 - 01/03/2003
B	OPPENHEIMER & CO., INC.	630	NEW YORK, NY	04/03/1988 - 04/18/1995
B	FIRST JERSEY SECURITIES, INC.	6621	NEW YORK, NY	12/21/1982 - 11/11/1983

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	6



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **27** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **OPPENHEIMER & CO. INC.**
Main Address: 85 BROAD STREET
22ND FLOOR
NEW YORK, NY 10004
Firm ID#: 249

Regulator	Registration	Status	Date
B Cboe Exchange, Inc.	General Securities Representative	Approved	01/03/2003
B FINRA	General Securities Representative	Approved	01/03/2003
B NYSE American LLC	General Securities Representative	Approved	01/03/2003
B NYSE Arca, Inc.	General Securities Representative	Approved	08/11/2011
B NYSE Texas, Inc.	General Securities Representative	Approved	08/11/2011
B Nasdaq ISE, LLC	General Securities Representative	Approved	12/03/2007
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/11/2011
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	01/03/2003
B Arizona	Agent	Approved	01/03/2003
B California	Agent	Approved	01/03/2003
B Colorado	Agent	Approved	01/03/2003
B Connecticut	Agent	Approved	01/03/2003



Qualifications

Regulator	Registration	Status	Date
B Delaware	Agent	Approved	10/04/2023
B Florida	Agent	Approved	01/03/2003
B Georgia	Agent	Approved	01/03/2003
B Illinois	Agent	Approved	01/03/2003
B Louisiana	Agent	Approved	01/03/2003
B Maine	Agent	Approved	11/05/2003
B Maryland	Agent	Approved	03/29/2022
B Massachusetts	Agent	Approved	01/03/2003
B Michigan	Agent	Approved	01/03/2003
B Nevada	Agent	Approved	05/21/2021
B New Hampshire	Agent	Approved	03/14/2022
B New Jersey	Agent	Approved	01/03/2003
IA New Jersey	Investment Adviser Representative	Approved	11/19/2007
B New York	Agent	Approved	01/03/2003
IA New York	Investment Adviser Representative	Approved	01/19/2022
B North Carolina	Agent	Approved	01/03/2003
B Ohio	Agent	Approved	01/03/2003
B Oklahoma	Agent	Approved	01/12/2021
B Oregon	Agent	Approved	12/01/2017



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	01/03/2003
B South Carolina	Agent	Approved	02/28/2022
B Tennessee	Agent	Approved	03/27/2013
B Texas	Agent	Approved	01/03/2003
IA Texas	Investment Adviser Representative	Restricted Approval	05/17/2017
B Utah	Agent	Approved	07/26/2023
B Virginia	Agent	Approved	01/13/2022

Branch Office Locations

OPPENHEIMER & CO. INC.
250 PEHLE AVENUE
SUITE 307, PARK 80 WEST - PLAZA ONE, 3RD FLR,
SADDLE BROOK, NJ 07663



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	12/18/1982
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State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	01/18/2022
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Uniform Securities Agent State Law Examination (S63)	Series 63	09/28/1983
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PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	11/14/1983 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	04/03/1988 - 04/18/1995	OPPENHEIMER & CO., INC.	CRD# 630	
B	12/21/1982 - 11/11/1983	FIRST JERSEY SECURITIES, INC.	CRD# 6621	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2003 - Present	FAHNESTOCK & CO. INC.	MASS TRANSFER	Y	NEW YORK, NY, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

No information reported.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	6

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 6

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: Oppenheimer & Co., Inc.

Allegations: James Forsythe was a subject of the customer's complaint against his member firm that asserted the following causes of action: breach of fiduciary duty, misrepresentation, suitability, unauthorized trading, failure to supervise, negligence, and violation of FINRA Rules. The causes of action related to Claimant's allegations that Respondent executed unauthorized trades in Claimant's accounts and invested Claimant's accounts in unsuitable investments, including IShares Russell 2000 Index puts and calls, Proshares Trust PSHS Short S&P 500 ETFs, and the Global Chartist Fund, LLC.

Product Type: Mutual Fund

Alleged Damages: \$2,000,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #16-03687](#)

Date Notice/Process Served: 12/20/2016

Arbitration Pending? No

Disposition: Award

Disposition Date: 06/04/2018

Disposition Detail: James Forsythe was a Subject Of the customer's complaint alleging James Forsythe and his member firm caused sales practice violations. James Forsythe's



member firm is liable for and shall pay to Claimant the sum of \$800,000.00 in compensatory damages.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLAIMANT ALLEGES UNSUITABLE, EXCESSIVE AND UNAUTHORIZED TRADING IN HIS ACCOUNT, AND LACK OF SUPERVISION OVER HIS BROKER. TIME PERIOD 1/1/2011 TO 8/1/2016.

Product Type: Index Option
Options
Other: LEVERAGED ETFS

Alleged Damages: \$2,000,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 16-03687

Filing date of arbitration/CFTC reparation or civil litigation: 12/20/2016

Customer Complaint Information

Date Complaint Received: 12/29/2016

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 06/04/2018

Settlement Amount: \$800,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLIENT ALLEGES THAT AN OPTIONS TRANSACTION IN HIS ACCOUNT WAS NOT CANCELLED AS HE HAD INSTRUCTED,

Product Type: Index Option

Alleged Damages: \$5,000.00



Alleged Damages Amount Explanation (if amount not exact): DAMAGES UNSPECIFIED BUT BELIEVED TO BE OVER \$5000.

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: 11/26/2012

Complaint Pending? No

Status: Settled

Status Date: 05/10/2013

Settlement Amount: \$5,000.00

Individual Contribution Amount: \$2,500.00

Disclosure 3 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLIENT ALLEGES THAT AN UNAUTHORIZED TRANSACTION TOOK PLACE IN HIS ACCOUNT DURING 2007, 2008 AND 2009, AND THAT HIS ACCOUNT WAS CHURNED DURING 2008.

Product Type: Debt-Corporate
Debt-Municipal
Index Option
Options
Other: CLOSED END FUNDS

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO DAMAGES ALLEGED, BUT BELIEVED TO BE OVER \$5000.

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: 01/20/2009

Complaint Pending? No

Status: Denied

Status Date: 11/12/2009



Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: THE CLIENT ALLEGES THAT HIS BROKER MADE UNAUTHORIZED TRADES IN HIS ACCOUNT AND WAS NEGLIGENT IN PROVIDING HIM WITH ADVICE ABOUT HIS INVESTMENTS LEADING TO THE POOR PERFORMANCE OF HIS ACCOUNT. CLIENT'S ALLEGES DAMAGES OF \$205,148.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$205,148.00

Customer Complaint Information

Date Complaint Received: 02/06/2004

Complaint Pending? No

Status: Denied

Status Date: 06/17/2004

Settlement Amount:

Individual Contribution Amount:

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC. / CIBC WORLD MARKETS CORP.

Allegations: UNAUTHORIZED TRADES AND NEGLIGENT IN ACCOUNT MANAGEMENT ADVISE AND RECOMENDATIONS.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): EQUITY/OTC

Alleged Damages: \$205,148.30

Customer Complaint Information

Date Complaint Received: 02/02/2004

Complaint Pending? No

Status: Denied

Status Date: 06/17/2004

Settlement Amount:

Individual Contribution Amount:

**Disclosure 5 of 6**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: CLAIMANT ALLEGED THAT MR. FORSYTHE RECOMMENDED UNSUITABLE SECURITIES IN TWO CUSTODIAL ACCOUNTS AND ONE JOINT ACCOUNT CLAIMANT SHARED WITH HER HUSBAND. CLAIMANT ALSO ALLEGED THAT MR. FORSYTHE PERMITTED CLAIMANT'S HUSBAND TO EXECUTE TRADES IN THE TWO CUSTODIAL ACCOUNTS EVEN THOUGH HE WAS NOT A SIGNATORY TO THOSE ACCOUNTS.

Product Type: No Product

Alleged Damages: \$91,584.00

Customer Complaint Information

Date Complaint Received: 09/19/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/19/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE 2002-010726

Date Notice/Process Served: 09/19/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/30/2004

Monetary Compensation Amount: \$27,256.00

Individual Contribution Amount: \$0.00

Firm Statement WITHOUT ADMITTING ANY LIABILITY, ON APRIL 30, 2004, CIBC PAID CLAIMANT \$27,256 IN EXCHANGE FOR A FULL AND FINAL RELEASE OF ALL CLAIMS AGAINST CIBC OR MR. FORSYTHE.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: CLAIMANT ALLEGES THAT MR. FORSYTHE RECOMMENDED UNSUITABLE SECURITIES IN TWO CUSTODIAL ACCOUNTS AND ONE JOINT ACCOUNT CLAIMANT SHARED WITH HER HUSBAND. CLAIMANT ALSO ALLEGES THAT MR. FORSYTHE PERMITTED CLAIMANT'S HUSBAND TO EXECUTE TRADES



IN THE TWO CUSTODIAL ACCOUNTS EVEN THOUGH HE WAS NOT A SIGNATORY TO THOSE ACCOUNTS. CLAIMANTS FURTHER ALLEGES THAT MR. FORSYTHE ACCEPTED ORDERS FOR THE JOINT ACCOUNT FROM CLAIMANT'S HUSBAND AFTER CLAIMANT INFORMED MR. FORSYTHE THAT HER HUSBAND WAS "[REDACTED]" AND SUFFERED FROM "DELUSIONS OF GRANDEUR".

Product Type: No Product

Alleged Damages: \$91,584.00

Customer Complaint Information

Date Complaint Received: 09/19/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/19/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE #2002-010726

Date Notice/Process Served: 09/19/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/30/2004

Monetary Compensation Amount: \$27,256.00

Individual Contribution Amount: \$0.00

Broker Statement WITHOUT ADMITTING ANY LIABILITY, ON APRIL 30, 2004, CIBC PAID CLAIMANT \$27,256 IN EXCHANGE FOR A FULL AND FINAL RELEASE OF ALL CLAIMS AGAINST CIBC OR MR. FORSYTHE.

Disclosure 6 of 6

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: OPPENHEIMER AND CO.

Allegations: SUITABILITY; CHURNING; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-OTHER

Product Type:

Alleged Damages: \$1,499,000.00

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #91-00459](#)

Date Notice/Process Served: 04/09/1991

Arbitration Pending? No

Disposition: Other

Disposition Date: 02/12/1992

Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$150,000.00 JOINTLY AND SEVERALL

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER AND CO.

Allegations: THE CLIENT ALLEGED UNSUITABILITY AND CHURNING. THE CLAIMANT SOUGHT DAMAGES IN EXCESS OF \$2.0 MILLION.

Product Type:

Alleged Damages: \$1,499,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-00459](#)

Date Notice/Process Served: 04/09/1991

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 02/12/1992

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount:

Broker Statement THE NASD ARBITRATION PANEL DETERMINED THAT OPPENHEIMER AND I ARE JOINTLY AND SEVERALLY LIABLE TO THE



CLAIMANT AND SHALL PAY CUSTOMER THE SUM OF \$150,000. ALL OTHER CLAIMS ASSERTED BY THE CLAIMANT WERE DENIED IN THEIR ENTIRETY. DOCUMENTS ADMITTED INTO EVIDENCE AT THE HEARING IN NOVEMBER-DECEMBER 1991, REVEALED THAT CUSTOMER'S CHIEF FINANCIAL OFFICER, CONTROLLED THE ACCOUNT AND THAT THE ACCOUNT TRADED IN A MANNER CONSISTENT WITH CUSTOMER'S OBJECTIVES (INCLUDING SPECULATION AND OPTION TRADING). DOCUMENTS ADMITTED INTO EVIDENCE ALSO DEMONSTRATED THAT CUSTOMER HAD SUBSTANTIAL ASSETS AND REVENUE TO ENGAGE IN THE ACTIVE LEVEL OF TRADING IN THE ACCOUNT AND THAT OPPENHEIMER MANAGEMENT SUPERVISED THE ACCOUNT BY, AMONG OTHER THINGS, MEETING PERSONALLY WITH CUSTOMER'S CHIEF FINANCIAL OFFICER.



End of Report

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