User Guidance

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IAPD Report

EDWARD NELSON COLBURN JR

CRD# 1079357

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

EDWARD NELSON COLBURN JR (CRD# 1079357)

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 **03/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	GREAT AMERICAN INVESTORS, INC.	CRD# 28489	12/13/2006
IA	FIRST AMERICAN FINANCIAL ADVISORS, INC.	CRD# 113420	01/15/2008

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	A. G. EDWARDS & SONS, INC.	4	KANSAS CITY, MO	09/18/2006 - 11/02/2006
IA	A. G. EDWARDS & SONS, INC.	4	KANSAS CITY, MO	09/18/2006 - 11/02/2006
B	WACHOVIA SECURITIES, LLC	19616	KANSAS CITY, MO	07/01/2003 - 09/11/2006

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
Regulatory Event	1
Customer Dispute	2
Termination	1

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 **17** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **GREAT AMERICAN INVESTORS, INC.**
Main Address: 6025 METCALF LANE
OVERLAND PARK, KS 66202
Firm ID#: 28489

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/13/2006
B	FINRA	General Securities Principal	Approved	09/22/2008
B	FINRA	Investment Banking Representative	Approved	04/23/2010
B	FINRA	Operations Professional	Approved	11/16/2011
B	FINRA	Registered Options Principal	Approved	12/15/2011
B	FINRA	Municipal Securities Principal	Approved	09/19/2012
B	FINRA	Municipal Securities Representative	Approved	09/19/2012
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	Alabama	Agent	Approved	11/20/2014
B	Arizona	Agent	Approved	07/11/2007
B	California	Agent	Approved	01/04/2007
B	Colorado	Agent	Approved	03/18/2019
B	Florida	Agent	Approved	09/17/2007

Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	03/12/2026
B	Illinois	Agent	Approved	05/23/2012
B	Iowa	Agent	Approved	02/02/2009
B	Kansas	Agent	Approved	12/14/2006
B	Kentucky	Agent	Approved	06/23/2009
B	Louisiana	Agent	Approved	07/16/2012
B	Michigan	Agent	Approved	07/29/2025
B	Minnesota	Agent	Approved	01/10/2007
B	Missouri	Agent	Approved	12/14/2006
B	New Mexico	Agent	Approved	08/09/2022
B	New York	Agent	Approved	05/08/2008
B	Texas	Agent	Approved	07/28/2014

Branch Office Locations

GREAT AMERICAN INVESTORS, INC.
6025 METCALF LANE
OVERLAND PARK, KS 66202

Employment 2 of 2

Firm Name: **FIRST AMERICAN FINANCIAL ADVISORS, INC.**

Main Address: 6025 METCALF LANE
OVERLAND PARK, KS 66202

Firm ID#: 113420

	Regulator	Registration	Status	Date
IA	Kansas	Investment Adviser Representative	Approved	05/09/2012

Qualifications

	Regulator	Registration	Status	Date
IA	Missouri	Investment Adviser Representative	Approved	01/15/2008

Branch Office Locations

FIRST AMERICAN FINANCIAL ADVISORS, INC.
6025 METCALF LANE
OVERLAND PARK, KS 66202

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 3 principal/supervisory exams, 8 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	09/17/2012
B	Registered Options Principal Examination (S4)	Series 4	12/14/2011
B	General Securities Principal Examination (S24)	Series 24	09/15/2008

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
B	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/03/2008
B	National Commodity Futures Examination (S3)	Series 3	08/23/1994
B	Futures Managed Funds Examination (S31)	Series 31	05/03/1993
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/16/1983

Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/14/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/03/1992

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	09/18/2006 - 11/02/2006	A. G. EDWARDS & SONS, INC.	CRD# 4	KANSAS CITY, MO
IA	09/18/2006 - 11/02/2006	A. G. EDWARDS & SONS, INC.	CRD# 4	KANSAS CITY, MO
B	07/01/2003 - 09/11/2006	WACHOVIA SECURITIES, LLC	CRD# 19616	KANSAS CITY, MO
IA	07/01/2003 - 09/11/2006	WACHOVIA SECURITIES, LLC	CRD# 19616	KANSAS CITY, MO
IA	07/24/2002 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	KANSAS CITY, MO
B	08/16/1993 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	02/24/1992 - 08/18/1993	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	02/17/1983 - 08/09/1983	IDS MARKETING CORPORATION	CRD# 6363	

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
12/2006 - Present	GREAT AMERICAN INVESTORS, INC.	REGISTERED REPRESENTATIVE	Y	OVERLAND PARK, KS, 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.

1.Trustee of the Pentz Family Trust upon the death of Hans Pentz which was 2-15-2016. Responsibilities are to carry out the wishes of trustor and handle the management and protection of the trust. Estate will be charged my fee of $150/hour. Anticipated time upon death of the trustor is 5%.

2. Based on professional advice from my CPA/Tax Advisor, I established Colburn Financial Group, LLC as a Limited Liability Company in the state of Kansas. Subsequently, I filed for the LLC to be accepted as an "S" Corp. The LLC was established for the receipt of my securities commission income and for the payment of normal business expenses associated with self-employment as a registered representative, 1099 employee and financial advisor with GAI and FAFA.

Per the recommendation of auditor Kohl Juranus, given during our Recent 2018 FINRA Audit, and related to FINRA Rule 3270, I

Registration & Employment History

OTHER BUSINESS ACTIVITIES

now report the LLC as an Outside Business Activity as I am the entity's sole proprietor and officer. My ownership and utilization of CFG, LLC does not present a business conflict for Great American Investors, Inc. or for First American Financial Advisors, Inc. as it is within the scope of the relationship of my member firm.

3. Executor of the Karin V. Pence Last WIll and Testamant. Responsibilities are to carry out the expressed wishes of Karin V. Pence, upon her passing, and to handle the disposition of her estate. The estate will be charged my fee of $150 per hour. Anticipated time is 5%.

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
Regulatory Event	1
Customer Dispute	2
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	06/11/2008
Docket/Case Number:	2007009433801
Employing firm when activity occurred which led to the regulatory action:	WACHOVIA SECURITIES, LLC
Product Type:	Other: UNSPECIFIED TYPES OF SECURITIES
Allegations:	NASD RULES 2110, 2510(B) AND 3110: FOR THE TIME PERIOD MAY 4, 2006 TO JULY 26, 2006, RESPONDENT COLBURN EXECUTED UNAUTHORIZED TRADES IN PUBLIC CUSTOMERS' ACCOUNTS. IN ADDITION, COLBURN, DURING THE SAME PERIOD, EXECUTED DISCRETIONARY TRADES WITHOUT PRIOR WRITTEN AUTHORIZATION IN THE ACCOUNT OF A CUSTOMER. FOR THE TRADES IN QUESTION, COLBURN FALSELY MARKED THE ORDER TICKETS UNSOLICITED, ALTHOUGH THESE TRADES WERE IN FACT SOLICITED.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

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:	06/11/2008
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Requalification Suspension
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE WAS FINED $10,000, SUSPENDED FROM ASSOCIATING WITH ANY FINRA MEMBER FIRM IN ANY CAPACITY FOR A PERIOD OF 75 DAYS AND MUST REQUALIFY BY EXAMINATION AS A GENERAL SECURITIES REPRESENTATIVE. IF HE FAILS TO REQUALIFY AS A GENERAL SECURITIES REPRESENTATIVE WITHIN THIS 75 DAY PERIOD, HE WILL BE SUSPENDED FROM ACTING IN SUCH CAPACITY UNTIL THE EXAMINATION IS SUCCESSFULLY COMPLETED. THE FINE SHALL BE DUE AND PAYABLE EITHER IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE 75 DAY SUSPENSION NOTED ABOVE OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING WHICHEVER IS EARLIER. THE SUSPENSION IN ANY CAPACITY WILL BE IN EFFECT FROM JULY 7, 2008 THROUGH SEPTEMBER 19, 2008. FINES PAID 09/09/2008.

Reporting Source:	Individual
Regulatory Action Initiated By:	NYSE/FINRA
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	MONETARY FINE AND REQUALIFICATION BY EXAMINATION AS A GENERAL SECURITIES REPRESENTATIVE.
Date Initiated:	01/10/2007
Docket/Case Number:	CASE NO 20070094338
Employing firm when activity occurred which led to the regulatory action:	WACHOVIA SECURITIES
Product Type:	Other
Other Product Type(s):	EQUITIES AND CERTIFICATES OF DEPOSIT
Allegations:	ARIZONA CLIENT ALLEGED THAT THE JUNE 29, 2006 PURCHASE OF 750 SHARES OF AMKOR TECHNOLOGIES AND 4 CDS WERE UNAUTHORIZED.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	06/11/2008
Sanctions Ordered:	Monetary/Fine $10,000.00 Suspension

Other Sanctions Ordered:	REQUALIFICATION BY EXAMINATION AS A GENERAL SECURITIES REPRESENTATIVE
Sanction Details:	SUSPENSION IS FOR 75 DAYS FROM JULY 7, 2008 THROUGH SEPTEMBER 19, 2008. REQUALIFICATION BY EXAMINATION AS A GENERAL SECURITIES REPRESENTATIVE MUST BE COMPLETED WITHIN THE 75 DAY PERIOD. MONETARY FINE OF $10000.00 WAS LEVIED AGAINST THE BROKER TO BE PAID IN FULL WITHIN 10 DAYS OF THE EFFECTIVE DATE OF THE SUSPENSION.

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	GREAT AMERICAN INVESTORS, INC.
Allegations:	INVESTMENT ADVISER FAILED TO MANAGE THE CLAIMANT'S ASSETS IN ACCORDANCE WITH THE CLIENT'S DIRECTIONS.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock) Options
Alleged Damages:	$150,000.00
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 #:	13-00511
Filing date of arbitration/CFTC reparation or civil litigation:	02/19/2013

Customer Complaint Information

Date Complaint Received:	03/08/2013
Complaint Pending?	No
Status:	Settled
Status Date:	04/07/2014
Settlement Amount:	$60,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE CLAIMANT HAS A HISTORY OF EXCESSIVE TRADING AND ACCUMULATING LARGE STOCK POSITIONS IN HIGHLY SPECULATIVE SECURITIES. THE CLAIMANT IDENTIFIED HIMSELF AS A SPECULATIVE TRADER ON HIS NEW ACCOUNT FORM AND SIGNED A TRADING AUTHORIZATION AGREEMENT GRANTING DISCRETION TO BUY, SELL AND TRADE SECURITIES ON MARGIN. CLAIMANT ALSO SIGNED A RISK DISCLOSURE DOCUMENT WARNING HIM OF THE PERILS AND RISKS INVOLVED IN TRADING LOW-PRICED SPECULATIVE STOCKS SUCH AS JAMMIN JAVA (JAMN). ALL RESPONDENTS DENIED ANY AND ALL LIABILITY

TO THIS CLAIM. HOWEVER, IN ORDER TO AVOID THE RISKS AND EXPENSES INHERENT IN ARBITRATION, A SETTLEMENT WAS REACHED PRIOR TO ARBITRATION AND THE CLAIM WAS DISMISSED WITH PREJUDICE. NOTHING IN THE SETTLEMENT AGREEMENT IS OR MAY BE CONSTRUED AS AN ADMISSION OF LIABILITY AND ALL RESPONDENTS SPECIFICALLY DENY ANY AND ALL CLAIMS AS FALSE AND WITHOUT MERIT.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	GREAT AMERICAN INVESTORS, INC.
Allegations:	RESPONDENTS MANAGED THE CLAIMANTS' INVESTMENT ACCOUNTS FROM MARCH, 2008 UNTIL JUNE, 2012. CLAIMANTS' ALLEGE THAT SOMETIME DURING THIS PERIOD THE RESPONDENTS MISMANAGED CLAIMANTS' ACCOUNTS.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock) Mutual Fund Options
Alleged Damages:	$122,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-03606
Date Notice/Process Served:	10/26/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/19/2013
Monetary Compensation Amount:	$52,000.00
Individual Contribution Amount:	$44,000.00
Broker Statement	A CONSTRUCTIVE SETTLEMENT WAS REACHED PRIOR TO ENTERING INTO ARBITRATION AND THE CLAIM WAS DISMISSED WITH PREJUDICE. NOTHING IN THE SETTLEMENT AGREEMENT IS OR MAY BE CONSTRUED AS AN ADMISSION OF LIABILITY. I SPECIFICALLY DENY ANY AND ALL CLAIMS ASSERTED BY CLAIMANTS. THE AGREEMENT WAS A COMPROMISE MADE BETWEEN PARTIES TO FORGO THE RISKS AND EXPENSES INHERENT IN ARBITRATION.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	WACHOVIA SECURITIES, LLC
Termination Type:	Discharged
Termination Date:	08/30/2006
Allegations:	ARIZONA CLIENT ALLEGED THAT JUNE 29, 2006 PURCHASE OF 750 SHARES OF AMKOR TECHNOLOGY AND FOUR CDS WERE UNAUTHORIZED
Product Type:	Other
Other Product Types:	EQUITIES - CERTIFICATES OF DEPOSIT

Reporting Source:	Individual
Firm Name:	WACHOVIA SECURITES, LLC
Termination Type:	Discharged
Termination Date:	08/30/2006
Allegations:	ARIZONA CLIENT ALLEDGED THAT JUNE 29, 2006 PURCHASE OF 750 SHARES OF AMKOR TECHNOLOGIES AND 4 CD'S WERE UNAUTHORIZED.
Product Type:	Other
Other Product Types:	EQUITIES AND CERTIFICATES OF DEPOSIT

End of Report

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