



## IAPD Report

# HENRY ANTHONY OTTEN

CRD# 1131860

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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

### HENRY ANTHONY OTTEN (CRD# 1131860)

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 **01/07/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	08/07/2007
<b>IA</b>	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	09/25/2007

### QUALIFICATIONS

This representative is currently registered in **5** SRO(s) and **14** 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>B</b>	UBS FINANCIAL SERVICES INC.	8174	DELAFIELD, WI	08/12/2006 - 08/16/2007
<b>B</b>	PIPER JAFFRAY & CO.	665	DELAFIELD, WI	09/03/1999 - 08/12/2006
<b>B</b>	ROBERT W. BAIRD & CO. INCORPORATED	8158	MILWAUKEE, WI	07/22/1999 - 08/30/1999

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	1
Termination	2



## Report Summary



## 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 **14** jurisdiction(s) and 5 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
Main Address: 501 N BROADWAY  
ST LOUIS, MO 63102  
Firm ID#: 793

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	08/08/2007
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	08/08/2007
<b>B</b> NYSE American LLC	General Securities Representative	Approved	08/08/2007
<b>B</b> NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	08/07/2007
<b>B</b> Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	08/07/2007
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	08/07/2007
<b>B</b> Nasdaq Stock Market	General Securities Sales Supervisor	Approved	08/07/2007
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	08/08/2007
<b>B</b> New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
<b>B</b> Arizona	Agent	Approved	11/21/2007
<b>B</b> California	Agent	Approved	08/08/2007
<b>B</b> Florida	Agent	Approved	08/08/2007



### Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	07/22/2014
B Illinois	Agent	Approved	08/09/2007
B Louisiana	Agent	Approved	06/10/2013
B Maryland	Agent	Approved	09/06/2012
B Massachusetts	Agent	Approved	08/13/2007
B Minnesota	Agent	Approved	08/08/2007
B Ohio	Agent	Approved	08/20/2007
B South Dakota	Agent	Approved	10/19/2021
B Tennessee	Agent	Approved	03/08/2022
B Texas	Agent	Approved	01/06/2022
B Wisconsin	Agent	Approved	09/25/2007
IA Wisconsin	Investment Adviser Representative	Approved	09/25/2007

### Branch Office Locations

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
18000 WEST SARAH LANE SUITE 180  
BROOKFIELD, WI 53045



## 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, 6 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
<b>B</b> General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
<b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	11/02/1987

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> Futures Managed Funds Examination (S31)	Series 31	11/19/2007
<b>B</b> National Commodity Futures Examination (S3)	Series 3	01/20/1992
<b>B</b> Foreign Currency Options Examination (S15)	Series 15	12/11/1989
<b>B</b> Interest Rate Options Examination (S5)	Series 5	11/20/1989
<b>B</b> General Securities Representative Examination (S7)	Series 7	05/21/1983

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	02/25/2002
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	06/06/1983



## 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	08/12/2006 - 08/16/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	DELAFIELD, WI
B	09/03/1999 - 08/12/2006	PIPER JAFFRAY & CO.	CRD# 665	DELAFIELD, WI
B	07/22/1999 - 08/30/1999	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI
B	05/26/1983 - 08/06/1999	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

### 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
08/2007 - Present	STIFEL, NICOLAUS & COMPANY, INCORPORATED	FINANCIAL ADVISOR	Y	BROOKFIELD, WI, 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. Rental Property; Wauwatosa, WI, 53213; Owner of Duplex; 02/13/1985; 5.00 Hour(s) Per Year; Not during securities trading hours; Investment- Related.
2. Rental Property; West Bend WI 53090; Owner; 03/05/2019; 5.00 Hour(s) Per Year; not during securities trading hours; Investment- Related.
3. Knights of Columbus council 4648 in Brookfield WI; 1135 Briarcliff, Brookfield, WI 53045; we perform charitable acts to help the community. pancake breakfasts, food drives, build kids beds, prayer meetings, parades; trustee; supervise financial business of our council 4648; 05/01/2024; 6 Hours per Month; Not during Securities Trading Hours, Not Investment-Related



## 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	1
Termination	2

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	WISCONSIN DEPT OF FINANCIAL INSTITUTIONS, DIV OF SECURITIES
<b>Sanction(s) Sought:</b>	Censure
<b>Other Sanction(s) Sought:</b>	PROHIBITION
<b>Date Initiated:</b>	12/23/1999
<b>Docket/Case Number:</b>	S-99263
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	SIGNED THE NAMES OF CERTAIN CUSTOMERS TO THEIR IRA DISTRIBUTION FORMS
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	12/23/1999
<b>Sanctions Ordered:</b>	Censure
<b>Other Sanctions Ordered:</b>	PROHIBITION
<b>Sanction Details:</b>	CONSENT ORDER OF CENSURE AND PROHIBITION



<b>Regulator Statement</b>	CONSENT ORDER OF CENSURE AND PROHIBITION ISSUED BASED ON ALLEGATIONS OF SIGNING CERTAIN CUSTOMERS' NAMES TO THEIR IRA DISTRIBUTION FORMS.
.....	
<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	STATE OF WISCONSIN, DIVISION OF SECURITIES
<b>Sanction(s) Sought:</b>	Censure
<b>Other Sanction(s) Sought:</b>	PROHIBITION
<b>Date Initiated:</b>	11/17/1999
<b>Docket/Case Number:</b>	FILE NO. S-99263(LX)
<b>Employing firm when activity occurred which led to the regulatory action:</b>	MERRILL LYNCH
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	SIGNING THE NAMES OF HIS CUSTOMERS TO DOCUMENTS WITHOUT PRIOR EXPRESS WRITTEN AUTHORIZATION AS PRESCRIBED BY SEC. 551.34(2), WIS. STATS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	12/23/1999
<b>Sanctions Ordered:</b>	Censure
<b>Other Sanctions Ordered:</b>	PROHIBITION
<b>Sanction Details:</b>	CONSENT ORDER OF CENSURE AND PROHIBITION
<b>Broker Statement</b>	UNDER MERRILL LYNCH'S INTERNAL POLICIES A CLIENT IS REQUIRED TO SIGN AN IRA DISTRIBUTION FORM BEFORE THE DISTRIBUTION CAN BE MADE. AN INTERNAL AUDIT REVEALED A FAILURE TO FOLLOW M.L.'S POLICIES ON THE SIGNING OF IRA DISTRIBUTION FORMS. I COOPERATED FULLY & CANDIDLY WITH THE ENSUING INVESTIGATION. SEVEN CLIENTS NAMES WERE SIGNED ON DISTRIBUTION FORMS TO EXPEDITE THE RECEIPT OF THEIR DISTRIBUTIONS. AFTER I SIGNED THESE IRA DISTRIBUTION FORMS, ORIGINALS OF EACH FORM WERE MAILED TO THESE CLIENTS. I RECEIVED EACH OF THOSE ORIGINAL FORMS BACK FROM EACH CLIENT, SIGNED BY THEM. ALL DISTRIBUTIONS (IN AGGREGATE TOTALING \$35,000) WENT DIRECTLY TO CLIENTS. THERE WAS NO BENEFIT WHATSOEVER TO ME. THERE WAS NO DAMAGE, HARM OR PREJUDICE TO ANY OF THE CLIENTS. MY ONLY INTENT WAS TO PROVIDE SUPERIOR SERVICE.



### 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 1

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

**Allegations:** UNAUTHORIZED TRADING; ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED-BREACH OF CONTRACT; BRCH OF FIDUCIARY DT

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$299,100.00

#### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD - CASE #96-04866](#)

**Date Notice/Process Served:** 11/13/1996

**Arbitration Pending?** No

**Disposition:** Award

**Disposition Date:** 02/24/1998

**Disposition Detail:** RESPONDENTS MERRILL LYNCH, PIERCE, FENNER & SMITH INC., AND HENRY OTTEN ARE JOINLTY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANT DAMAGES IN THE AMOUNT OF \$15,550.00.

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

**Allegations:** CLIENT ALLEGES FC ENGAGED IN UNAUTHORIZED SHORT SALE OF DIANA CORP STOCK PRICE SUBSEQUENTLY APPRECIATED AND CLAIMANT ELECTED NOT TO CLOSE OUT SHORT POSITION UNTIL ONE YEAR LATER AT HIGHER PRICE. CLAIMANT SOUGHT ALLEGED "LOST PROFIT" TOGETHER WITH ATTORNEYS' FEES AND COSTS.

**Product Type:**

**Alleged Damages:**

#### Customer Complaint Information

**Date Complaint Received:**



<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	02/24/1998
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Arbitration Information</b>	
<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	<a href="#">NASD; 96-04866</a>
<b>Date Notice/Process Served:</b>	11/13/1996
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Award to Customer
<b>Disposition Date:</b>	02/24/1998
<b>Monetary Compensation Amount:</b>	\$15,500.00
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	ARBITRATION AWARD JOINTLY AND SEVERALLY AGAINST HENRY OTTEN AND MERRILL LYNCH. DAMAGES AWARDED OF \$15,550 (LESS THAN 3% OF TOTAL DAMAGES SOUGHT). ARBITRATION PANEL MADE DISCIPLINARY REFERRAL. NOT PROVIDED



## 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 2

**Reporting Source:** Firm

**Firm Name:** UBS FINANCIAL SERVICES INC.

**Termination Type:** Discharged

**Termination Date:** 07/20/2007

**Allegations:** ON JULY 20, 2007, FINANCIAL ADVISOR HENRY OTTEN WAS DISCHARGED FROM UBS FINANCIAL SERVICES INC. BECAUSE HE PARTICIPATED IN THE SUBMISSION OF AN IRA DISTRIBUTION FORM WHICH HE ACKNOWLEDGED KNOWING HAD BEEN BACKDATED, AND WHICH CONTAINED A PHOTOCOPIED CLIENT SIGNATURE.

**Product Type:** No Product

**Other Product Types:**

.....

**Reporting Source:** Individual

**Firm Name:** UBS FINANCIAL SERVICES INC.

**Termination Type:** Discharged

**Termination Date:** 07/20/2007

**Allegations:** I WAS INFORMED THAT I WAS TERMINATED BECAUSE I WAS AWARE THAT MY ADMINISTRATIVE ASSISTANT HAD SUBMITTED A COPY, NOT AN ORIGINAL, OF BACKDATED IRA DISTRIBUTION FORM DURING FEBRUARY 2007, AND THAT I WAS AWARE IT WAS BACKDATED.

**Product Type:** No Product

**Other Product Types:**

**Broker Statement** THE REASONS GIVEN ME FOR TERMINATION ARE WITHOUT BASIS. I WAS NOT AWARE THAT A COPY OF THE FORM, NOT AN ORIGINAL, HAD BEEN SUBMITTED BY MY ASSISTANT, NOR WAS I AWARE THAT IT WAS BACKDATED. MY ASSISTANT INFORMED ME SHE HAD BACKDATED THE FORM, WHICH THE CUSTOMER SIGNED IN FEBRUARY 2007, TO MATCH THE DATE OF A DECEMBER 2006 DISTRIBUTION FORM.

### Disclosure 2 of 2

**Reporting Source:** Individual

**Firm Name:** MERRILL LYNCH

**Termination Type:** Permitted to Resign

**Termination Date:** 07/09/1999

**Allegations:** N/A  
WHILE WORKING AT MERRILL LYNCH, I SIGNED IRA DISTRIBUTION FORMS FOR CERTAIN CUSTOMERS.



**Product Type:**

**Other Product Types:**

**Broker Statement**

I WAS TERMINATED FROM MERRILL LYNCH. I WAS REQUESTED BY 7 CLIENTS TO SEND OUT DISTRIBUTIONS FROM THEIR IRA'S IMMEDIATELY. BASED ON THEIR IMMEDIATE NEED AND ASSUMING IN GOOD FAITH THAT EACH OF THESE CLIENTS WAS AUTHORIZING ME TO WHATEVER WAS NECESSARY TO EXPEDITE THEIR DISTRIBUTIONS, I SIGNED THEIR NAMES TO AN IRA DISTRIBUTION FORM. NO CLIENT WAS DAMAGED, HARMED, OR IN ANY WAY PREJUDICED. AFTER I SIGNED THE FORMS, I MAILED THE ORIGINAL FORMS TO EACH CLIENT FOR THIER SIGNATURES. EACH CLIENT SIGNED THE ORIGINAL FORM AND RETURNED THIS TO ME. THERE WAS ABSOLUTELY NO BENEFIT TO ME IN DOING THIS. I AM CONFIDENT THAT EACH OF THE 7 CLIENT'S WOULD PROVIDE ME WITH AN AFTER-THE-FACT WRITTEN AUTHORIZATION RATIFYING MY CONDUCT IN SIGNING THEIR NAMES TO THE FORMS.



## End of Report

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