IAPD Report

JOHN FREDRIK PETERS II

CRD# 1311252

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.

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

JOHN FREDRIK PETERS II (CRD# 1311252)

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 **03/27/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GLOBAL VIEW CAPITAL MANAGEMENT LLC	CRD# 158292	03/28/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
IA	HORTER INVESTMENT MANAGEMENT, LLC	119880	CINCINNATI, OH	11/29/2012 - 03/29/2022
B	THE LEADERS GROUP, INC.	37157	SUMMIT, NJ	06/10/2003 - 12/18/2012
B	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	FORT WAYNE, IN	10/09/1999 - 12/06/2000

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	2
Termination	2

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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **GLOBAL VIEW CAPITAL MANAGEMENT LLC**

Main Address: N14 W23833 STONE RIDGE DR - SUITE 350
WAUKESHA, WI 53188

Firm ID#: 158292

	Regulator	Registration	Status	Date
IA	Ohio	Investment Adviser Representative	Approved	03/28/2024

Branch Office Locations

GLOBAL VIEW CAPITAL MANAGEMENT LLC
LOVELAND, OH

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, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/01/1993

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/20/1995

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
IA	11/29/2012 - 03/29/2022	HORTER INVESTMENT MANAGEMENT, LLC	CRD# 119880	CINCINNATI, OH
B	06/10/2003 - 12/18/2012	THE LEADERS GROUP, INC.	CRD# 37157	SUMMIT, NJ
B	10/09/1999 - 12/06/2000	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	10/23/1997 - 07/20/1999	NATIONAL PLANNING CORPORATION	CRD# 29604	LOS ANGELES, CA
B	09/09/1993 - 07/21/1997	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	09/09/1993 - 05/01/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA

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
03/2024 - Present	GLOBAL VIEW CAPITAL MANAGEMENT, LLC	NATIONAL SALES DIRECTOR	Y	WAUKESHA, WI, United States
11/2019 - Present	TACTICAL INCOME ARCHITECTS, LLC	MEMBER	Y	LOVELAND, OH, United States
10/2012 - 03/2022	HORTER FINANCIAL STRATEGIES	INSURANCE AGENT	Y	CINCINNATI, OH, United States
10/2012 - 03/2022	HORTER INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	CINCINNATI, OH, 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] TACTICAL INCOME ARCHITECTS, LLC; YES-INVESTMENT RELATED; ADDRESS: 6643 PAXTON GUINEA ROAD, LOVELAND, OH 45140; NATURE: FINANCIAL SERVICES-MARKETING; POSITION: MEMBER; STARTED: 11.08.2019; APPROX. 2 HRS/MO OUTSIDE TRADING HOURS; APPROX. ZERO HRS/MO DURING TRADING HOURS; RESPONSIBILITIES: MARKETING, PROSPECTING AND LEAD GENERATION.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

[2] CINCINNATI CHILDREN'S HOSPITAL MEDICAL CENTER; NOT INVESTMENT RELATED: ADDRESS; 3333 BURNET AVENUE, CINCINNAIT, OH 45229; NATURE: MEDICAL-HOSPITAL; POSITION: VOLUNTEER; APPROX. 2 HRS/MO OUTSIDE TRADING HOURS; APPROX. ZERO HRS/MO DURING TRADING HOURS; RESPONSIBILITIES: VOLUNTEER WHERE NEEDED.

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	2
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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/20/2001
Docket/Case Number:	C8B010034
Employing firm when activity occurred which led to the regulatory action:	JOHN HANCOCK DISTRIBUTORS, INC. (N/K/A SIGNATOR INVESTORS, INC.)
Product Type:	Other
Other Product Type(s):	PROMISSORY NOTES
Allegations:	NASD RULES 2110, 3040 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND THE ENTRY OF FINDINGS THAT HE SOLD PROMISSORY NOTES AWAY FROM HIS MEMBER FIRM AND FAILED TO PROVIDE HIS FIRM WITH DETAILED WRITTEN NOTICE OF THE TRANSACTIONS, HIS ROLE THEREIN, AND TO RECEIVE PERMISSION FROM THE FIRM TO ENGAGE IN THE TRANSACTIONS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/20/2001

Sanctions Ordered:	Disgorgement/Restitution Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	FINED $5,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 60 DAYS, AND REQUIRED TO DISGORGE $10,418.47, PLUS INTEREST, IN COMMISSIONS TO PUBLIC CUSTOMERS. THE FINE IS DUE AND PAYABLE IMMEDIATELY UPON REASSOCIATION WITH ANY NASD MEMBER OR BEFORE REQUESTING RELIEF FROM ANY STATUTORY DISQUALIFICATION, WHICHEVER IS EARLIER. DISGORGEMENT AMOUNTS ARE DUE AND PAYABLE IMMEDIATELY UPON REASSOCIATION WITH ANY NASD MEMBER OR BEFORE REQUESTING RELIEF FROM ANY STATUTORY DISQUALIFICATION, WHICHEVER IS EARLIER. ANY UNDISTRIBUTED RESTITUTION AND INTEREST SHALL BE FORWARDED TO THE APPROPRIATE ESCHEAT, UNCLAIMED PROPERTY, OR ABANDONED PROPERTY FUND FOR THE STATE IN WHICH THE CUSTOMER LAST RESIDED. SUSPENSION EFFECTIVE JANUARY 22, 2002 TO CLOSE OF BUSINESS MARCH 22, 2002.

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	MONETARY SANCTION $5,000.00 - SUSPENSION SANCTION 60 DAYS - DISGORGEMENT/RESTITUTION SANCTION $10,418.47
Date Initiated:	12/20/2001
Docket/Case Number:	C8B010034
Employing firm when activity occurred which led to the regulatory action:	JOHN HANCOCK DISTRIBUTORS, INC./SIGNATOR INVESTERS INC
Product Type:	Other
Other Product Type(s):	PROMISSORY NOTES
Allegations:	VIOLATION OF RULES 2110 & 3040. SELLING PROMISSORY NOTES AWAY FROM MY MEMBER FIRM AND FAILED TO NOTIFY FIRM IN WRITING OF THE TRANSACTIONS AND TO RECEIVE PERMISSION FROM THE FIRM TO ENGAGE IN THE TRANSACTIONS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/20/2001
Sanctions Ordered:	Disgorgement/Restitution Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	FINED $5000.00 DISGORGEMENT OF $10418.47 PLUS INTEREST, IN COMMISSIONS TO PUBLIC CUSTOMERS

	60 DAY SUSPENSION EFFECTIVE 01/22/2002 TO 03/22/2002

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	OHIO DIVISION OF SECURITIES
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	11/30/2000
Docket/Case Number:	00-455
Employing firm when activity occurred which led to the regulatory action:	SIGNATOR INVESTORS, INC. FKA JOHN HANCOCK DISTRIBUTORS
Product Type:	Other
Other Product Type(s):	PROMISSORY NOTES.
Allegations:	VIOLATION OF ORC SECTION 1707.44(C)(1) AND OAC SECTION 1301:6-3-19(A)(19).
Current Status:	Final
Resolution:	Order
Resolution Date:	11/30/2000
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	N/A
Sanction Details:	N/A
Regulator Statement	MR. PETERS VIOLATED SECTION 1707.44(C)(1) AND OAC SECTION 1301:6-3-19(A)(19). A CEASE AND DESIST ORDER WAS ISSUED ON 11/30/00.

Reporting Source:	Firm
Regulatory Action Initiated By:	OHIO DEPARTMENT OF COMMERCE, DIVISION OF SECURITIES
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	SALESPERSON LICENSE IS SUSPENDED FOR 30 DAYS COMMENCING 11/30/2000. CEASE AND DESIST FROM ACTS & PRACTICES AS DESCRIBED WHICH CONSTITUTE VIOLATIONS OF REVISED CODE CHAPTER 1707.
Date Initiated:	01/25/1999
Docket/Case Number:	DIVISION ORDER 00-206
Employing firm when activity occurred which led to the regulatory action:	HANCOCK DISTRIBUTORS INC/SIGNATOR INVESTORS, INC.
Product Type:	Other

Other Product Type(s):	PROMISSORY NOTES
Allegations:	IN 1997 & 1998, REGISTERED REPRESENTATIVE SOLD UNREGISTERED PROMISSORY NOTES TO 3 PUBLIC CUSTOMERS AWAY FROM THE RR'S BROKER/DEALER. ON NOVEMBER 30, 2000, REGISTERED REP. SIGNED A CONSENT AGREEMENT CONCERNING THE SUSPENSION AND CEASE AND DESIST.
Current Status:	Final
Resolution:	Consent
Resolution Date:	11/30/2000
Sanctions Ordered:	Cease and Desist/Injunction Suspension
Other Sanctions Ordered:	
Sanction Details:	OHIO DEPT. OF COMMERCE, DIV OF SECURITIES SUSPENDED 11/30/2000 THRU 12/30/2000

Reporting Source:	Individual
Regulatory Action Initiated By:	OHIO DEPARTMENT OF COMMERCE, DIVISION OF SECURITIES
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	LICENSE SUSPENDED FOR 30 DAYS COMMENCING 11/30/2000
Date Initiated:	01/25/1999
Docket/Case Number:	DIVISION ORDER 00-455
Employing firm when activity occurred which led to the regulatory action:	JOHN HANCOCK DISTRIBUTORS INC/SIGNATOR INVESTORS INC
Product Type:	Other
Other Product Type(s):	PROMISSORY NOTES
Allegations:	IN 1997 & 1998 I SOLD UNREGISTERED PROMISSORY NOTES TO 3 PUBLIC CUSTOMERS AWAY FROM MY BROKER DEALER
Current Status:	Final
Resolution:	Consent
Resolution Date:	11/30/2000
Sanctions Ordered:	Cease and Desist/Injunction Suspension
Other Sanctions Ordered:	
Sanction Details:	OHIO DEPARTMENT OF COMMERCE, DIVISION OF SECURITIES SUSPENDED 11/30/2000 - 12/30/2000

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:	Individual
Firm Name:	LINCOLN FINANCIAL ADVISORS CORP
Termination Type:	Permitted to Resign
Termination Date:	12/06/2000
Allegations:	ON 11/30/2000 I NOTIFIED MY SUPERVISOR THAT I HAD BEEN SUSPENDED BY THE OHIO DIVISION OF SECURITIES. LINCOLN FINANCIAL ADVISORS OPIONION IS THAT I FAILED TO PROMPTLY DISCLOSE OHIO DIVISION OF SECURITIES ACTION
Product Type:	Other
Other Product Types:	PROMISSORY NOTES
Broker Statement	SOLD UNREGISTERED PROMISSORY NOTES. WAS SUSPENDED BY THE OHIO DIVISION OF SECURITIES. LFA BELIEVED I HAD FAILED TO PROMPTLY DISCLOSE THIS INFORMATION TO THEM

Disclosure 2 of 2

Reporting Source:	Individual
Firm Name:	JOHN HANCOCK
Termination Type:	Permitted to Resign
Termination Date:	06/29/1997
Allegations:	ALLEGEDLY VIOLATED COMPANY POLICY REGARDING ALLOWABLE REGISTERED REPRESENTATIVE ACTIVITY. REPRESENTATIVE ALLEGEDLY USED A MARKET TIMING FIRM ON A CUSTOMER'S ACCOUNT WHILE NOT BEING PROPERLY REGISTERED AS AN INVESTMENT ADVISOR.
Product Type:	Annuity(ies) - Variable
Other Product Types:	MUTUAL FUNDS
Broker Statement	WHILE AT JOHN HANCOCK I WAS INVOLVED IN A PARTNERSHIP WHICH WAS FORMED TO DO RETIREMENT PLANNING SEMINARS. WE CHARGED A FEE TO ATTENDEES. THEREFORE, WE NEEDED TO BE REGISTERED AS A REGISTERED INVESTMENT ADVISOR(RIA). I ALSO WANTED TO USE A MARKET TIMIMG COMPANY TO MANAGE SOME OF MY CLIENT'S PORTFOLIO FOR A FEE. I WOULD NEED TO BE A REGISTERED INVESTMENT ADVISOR FOR THAT AS WELL. OUR PARTNERSHIP FORMED A GROUP CALLED CORNERSTONE FINANCIAL GROUP. THAT WAS OUR RIA COMPANY. THE PEOPLE IN THE GROUP WERE RIA ASSOCIATES, MYSELF INCLUDED. THE ALLEGATION THAT I WAS NOT PROPERLY REGISTERED AS AN RIA IS FALSE. WE ALSO RECEIVED A WRITTEN O.K. FROM JOHN HANCOCK TO CHARGE FEES FOR THE SEMINARS AS WELL AS A WRITTEN O.K. TO USE THE THIRD PARTY MARKET TIMING COMPANY FOR A FEE. THE "TERMINATION TYPE" IN SECTION #3 ABOVE IS ALSO INCORRECT. I HAD A "VOLUNTARY" RESIGNATION AT JOHN HANCOCK, NOT "PERMITTED

TO RESIGN". THE REASON I LEFT JOHN HANCOCK IS THAT I HAD ACCEPTED A BROKERAGE MANAGER POSITION AT JACKSON NATIONAL LIFE AND VOLUNTARILY RESIGNED. IN FACT, JOHN HANCOCK NEVER NOTIFIED ME TO LET ME KNOW THAT THERE WAS AN INVESTIGATION BEING CONDUCTED BECAUSE OF MY "ALLEGED VIOLATIONS". THE ONLY WAY I FOUND OUT ABOUT THIS IS WHEN I WENT TO GET REGISTERED WITH MY CURRENT COMPANY, LINCOLN NATIONAL. I ANSWERED ALL THE QUESTIONS ON THE U-4 TRUTHFULLY NOT KNOWING THAT JOHN HANCOCK HAD AMENDED MY U-5 TERMINATION FORM. LINCOLN NATIONAL THEN ASKED ME TO EXPLAIN WHAT WAS ON MY U-5. MY ANSWER TO THEM WAS THAT THERE IS NOTHING AS FAR AS I KNEW. THIS IS ALL COMPLETELY INACCURATE. I HAVE BEEN IN CONTACT WITH JOHN HANCOCK REGARDING THIS MATTER. THEY HAVE SINCE REVIEWED MY FILE AND HAVE FOUND THAT THIS SHOULD HAVE NEVER BEEN REPORTED AS IT IS CURRENTLY. JOHN HANCOCK IS IN THE PROCESS OF REMOVING THE INACCURATE INFORMATION ON MY U-5. IT SHOULD SHOW MY TERMINATION WAS VOLUNTARY AND THAT I DID NOT VIOLATE ANY COMPANY POLICY REGARDING ALLOWABLE REGISTERED REPRESENTATIVE ACTIVITY.

End of Report

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