



IAPD Report

STEVEN ELLIOT GOTTESMAN

CRD# 1500177

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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

STEVEN ELLIOT GOTTESMAN (CRD# 1500177)

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 **02/02/2026**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|--|----------|------------------|
| B | STIFEL, NICOLAUS & COMPANY, INCORPORATED | CRD# 793 | 07/10/2007 |
| IA | STIFEL, NICOLAUS & COMPANY, INCORPORATED | CRD# 793 | 09/27/2007 |

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **26** 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 | RYAN BECK & CO. | 3248 | HEWLETT, NY | 04/29/2002 - 07/10/2007 |
| B | GRUNTAL & CO., L.L.C. | 372 | NEW YORK, NY | 01/29/1997 - 05/17/2002 |
| B | INVESTORS ASSOCIATES, INC. | 958 | HACKENSACK, NJ | 07/10/1996 - 01/23/1997 |

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 | 8 |



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 **26** jurisdiction(s) and 11 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 Cboe BZX Exchange, Inc. | General Securities Representative | Approved | 03/21/2024 |
| B Cboe EDGA Exchange, Inc. | General Securities Representative | Approved | 02/02/2026 |
| B Cboe EDGX Exchange, Inc. | General Securities Representative | Approved | 02/02/2026 |
| B FINRA | General Securities Representative | Approved | 07/10/2007 |
| B Investors' Exchange LLC | General Securities Representative | Approved | 02/02/2026 |
| B NYSE American LLC | General Securities Representative | Approved | 07/10/2007 |
| B NYSE Texas, Inc. | General Securities Representative | Approved | 02/02/2026 |
| B Nasdaq ISE, LLC | General Securities Representative | Approved | 02/02/2026 |
| B Nasdaq PHLX LLC | General Securities Representative | Approved | 07/10/2007 |
| B Nasdaq Stock Market | General Securities Representative | Approved | 07/10/2007 |
| B New York Stock Exchange | General Securities Representative | Approved | 07/12/2007 |
| B Arizona | Agent | Approved | 07/10/2007 |
| B California | Agent | Approved | 07/10/2007 |



Qualifications

| | Regulator | Registration | Status | Date |
|----|----------------------|-----------------------------------|----------|------------|
| B | Colorado | Agent | Approved | 07/10/2007 |
| B | Connecticut | Agent | Approved | 07/10/2007 |
| B | District of Columbia | Agent | Approved | 01/15/2010 |
| B | Florida | Agent | Approved | 07/10/2007 |
| IA | Florida | Investment Adviser Representative | Approved | 12/01/2025 |
| B | Illinois | Agent | Approved | 10/06/2015 |
| B | Iowa | Agent | Approved | 08/05/2021 |
| B | Maine | Agent | Approved | 09/25/2019 |
| B | Maryland | Agent | Approved | 07/10/2007 |
| B | Massachusetts | Agent | Approved | 07/10/2007 |
| B | Michigan | Agent | Approved | 08/24/2021 |
| B | Minnesota | Agent | Approved | 01/09/2020 |
| B | Missouri | Agent | Approved | 02/28/2025 |
| B | Nevada | Agent | Approved | 07/10/2007 |
| B | New Jersey | Agent | Approved | 07/10/2007 |
| B | New York | Agent | Approved | 07/10/2007 |
| IA | New York | Investment Adviser Representative | Approved | 11/04/2021 |
| B | North Carolina | Agent | Approved | 07/10/2007 |
| B | Ohio | Agent | Approved | 05/11/2020 |



Qualifications

| Regulator | Registration | Status | Date |
|-------------------------|-----------------------------------|---------------------|------------|
| B Pennsylvania | Agent | Approved | 07/10/2007 |
| B Rhode Island | Agent | Approved | 09/27/2019 |
| B South Carolina | Agent | Approved | 08/04/2016 |
| B Texas | Agent | Approved | 06/25/2018 |
| IA Texas | Investment Adviser Representative | Restricted Approval | 06/22/2018 |
| B Virginia | Agent | Approved | 07/10/2007 |
| B Washington | Agent | Approved | 03/22/2019 |
| B West Virginia | Agent | Approved | 08/03/2021 |

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
1225 FRANKLIN AVENUE
SUITE 150
GARDEN CITY, NY 11530

STIFEL, NICOLAUS & COMPANY, INCORPORATED
2650 NORTH MILITARY TRAIL
SUITE 400
BOCA RATON, FL 33431



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 |
|------|----------|------|
|------|----------|------|

No information reported.

General Industry/Product Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|--|----------|------------|
| Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| General Securities Representative Examination (S7) | Series 7 | 02/11/1989 |

State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|--|-----------|------------|
| Uniform Investment Adviser Law Examination (S65) | Series 65 | 11/04/2021 |
| Uniform Securities Agent State Law Examination (S63) | Series 63 | 03/02/1989 |

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 | 04/29/2002 - 07/10/2007 | RYAN BECK & CO. | CRD# 3248 | HEWLETT, NY |
| B | 01/29/1997 - 05/17/2002 | GRUNTAL & CO., L.L.C. | CRD# 372 | NEW YORK, NY |
| B | 07/10/1996 - 01/23/1997 | INVESTORS ASSOCIATES, INC. | CRD# 958 | HACKENSACK, NJ |
| B | 06/18/1992 - 06/21/1996 | GRUNTAL & CO. INCORPORATED | CRD# 372 | NEW YORK, NY |
| B | 02/20/1991 - 06/12/1992 | LEHMAN BROTHERS INC. | CRD# 7506 | |
| B | 02/14/1989 - 06/12/1992 | LEHMAN BROTHERS INC. | CRD# 7506 | NEW YORK, NY |
| B | 06/23/1989 - 03/01/1991 | PRUDENTIAL-BACHE SECURITIES INC. | CRD# 7471 | 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 |
|-------------------|--|-------------------|--------------------|----------------------------|
| 07/2007 - Present | STIFEL, NICOLAUS & COMPANY, INCORPORATED | FINANCIAL ADVISOR | Y | HEWLETT, 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 | 8 |

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 8

| | |
|--|--|
| Reporting Source: | Individual |
| Employing firm when activities occurred which led to the complaint: | STIFEL, NICOLAUS & COMPANY, INCORPORATED |
| Allegations: | Client alleges churning and unauthorized trading from 2011 through 2015. |
| Product Type: | Equity-OTC Other: Warrants |
| Alleged Damages: | \$0.00 |
| Alleged Damages Amount Explanation (if amount not exact): | No damage amount was alleged, but the firm has made a good faith determination that the damages from the alleged conduct could be \$5,000.00 or greater. |
| 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: | 12/27/2016 |
| Complaint Pending? | No |
| Status: | Settled |
| Status Date: | 07/28/2017 |
| Settlement Amount: | \$62,500.00 |



Individual Contribution Amount: \$15,625.00

Disclosure 2 of 8

Reporting Source: Regulator

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

Allegations: unsuitability; excessive trading; omission of facts; misrepresentation; breach of fiduciary duty; and negligence.

Product Type: Mutual Fund
Unit Investment Trust

Alleged Damages: \$400,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #14-03462](#)

Date Notice/Process Served: 11/13/2014

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/08/2016

Disposition Detail: Gottesman was a subject of the customer's Statement of Claim for this arbitration alleging that he with his member firm contributed to the sales practice violations. On or about February 8, 2016, Claimants notified FINRA Office of Dispute Resolution that the parties had reached a settlement in this matter.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: STIFEL NICOLAUS & COMPANY, INC.

Allegations: CLAIMANTS ALLEGE UNSUITABLE AND EXCESSIVE TRADING.

Product Type: Mutual Fund
Unit Investment Trust

Alleged Damages: \$400,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 14-03462

Filing date of arbitration/CFTC reparation or civil litigation: 11/13/2014

**Customer Complaint Information**

Date Complaint Received: 11/24/2014
Complaint Pending? No
Status: Settled
Status Date: 01/26/2016
Settlement Amount: \$30,000.00
Individual Contribution Amount: \$7,500.00

Disclosure 3 of 8

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: GRUNTAL & CO., L.L.C.
Allegations: CLIENT ALLEGED THAT HER ACCOUNT WAS CHURNED.
Product Type: Equity - OTC
Alleged Damages: \$12,000.00

Customer Complaint Information

Date Complaint Received: 01/17/2002
Complaint Pending? No
Status: Denied
Status Date: 03/13/2002
Settlement Amount:
Individual Contribution Amount:

Broker Statement GRUNTAL & CO., L.L.C. INVESTIGATED THE CLIENT'S ALLEGATION AND DETERMINED THAT THEY WERE WITHOUT MERIT. THE CLAIM WAS DENIED.

Disclosure 4 of 8

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SHEARSON
Allegations: FRAUD; FAILURE TO DISCLOSE, NEGLIGENCE.
Product Type: Other
Other Product Type(s): NOT PROVIDED
Alleged Damages: \$15,983.00

Customer Complaint Information

Date Complaint Received: 09/18/1992
Complaint Pending? No



Status: Settled
Status Date: 11/19/1992
Settlement Amount: \$15,983.00
Individual Contribution Amount: \$0.00

Disclosure 5 of 8

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN BROTHERS INC.

Allegations: VERBAL COMPLAINT ALLEGING UNAUTHORIZED TRADING AND MISHANDLING OF ACCOUNTS. ALLEGED DAMAGES OF APPROXIMATELY \$57,000.

Product Type:
Alleged Damages: \$57,000.00

Customer Complaint Information

Date Complaint Received: 01/01/1993
Complaint Pending? No
Status: Settled
Status Date: 03/09/1993
Settlement Amount: \$46,000.00
Individual Contribution Amount: \$0.00

Firm Statement SETTLED FOR \$46,000. SETTLEMENT WAS ENTERED INTO WITHOUT THE PARTICIPATION OF THE REGISTERED REPRESENTATIVE. FOR FURTHER INFORMATION CONTACT RALPH SCHIAVO (212) 464-8542
 NO OPTIONS OR COMMODITIES

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN BROTHERS INC.
Allegations: SHEARSON RECEIVED VERBAL COMPLAINT ALLEGING UNAUTHORIZED TRADING AND MISHANDLING OF ACCOUNTS. ALLEGED DAMAGES OF APPROXIMATELY \$57,000.
Product Type:
Alleged Damages: \$57,000.00

Customer Complaint Information

Date Complaint Received: 01/01/1993
Complaint Pending? No
Status: Settled



Status Date: 03/09/1993
Settlement Amount: \$46,000.00
Individual Contribution Amount: \$0.00
Broker Statement SHEARSON SETTLED WITH THE CLIENT FOR \$46,000.

Disclosure 6 of 8

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: GRUNTAL & CO., LLC
Allegations: EXCESSIVE, UNSUITABLE AND UNAUTHORIZED TRADE, MISREPRESENTATION AND FORGERY IN CONNECTION WITH THE PURCHASE OF ECOMAT, INC., STOCK
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$15,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #98-03894](#)
Date Notice/Process Served: 10/19/1998
Arbitration Pending? No
Disposition: Award
Disposition Date: 02/11/2000
Disposition Detail: RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE AND SHALL PAY CLAIMANT \$1,922.43 PLUS INTEREST AT A RATE OF 8% FROM FEBRUARY 4, 2000 UNTIL THE DATE OF PAYMENT. ARBITRATOR DID NOT FIND THAT THERE WAS FRAUD OR MISREPRESENTATION ON THE PART OF RESPONDENTS.

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: GRUNTAL & CO., L.L.C.
Allegations: CLAIMANT ALLEGED EXCESSIVE, UNAUTHORIZED PURCHASE OF STOCK.
Product Type: Equity - OTC
Alleged Damages: \$15,000.00

Customer Complaint Information

Date Complaint Received: 01/22/1999
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 01/22/1999

**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD; 98-03894](#)**Date Notice/Process Served:** 01/22/1999**Arbitration Pending?** No**Disposition:** Award to Customer**Disposition Date:** 02/15/2000**Monetary Compensation Amount:** \$1,922.43**Individual Contribution Amount:** \$0.00**Broker Statement** ARBITRATION AWARD.**Disclosure 7 of 8****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** GRUNTAL & CO., L.L.C.**Allegations:** CLIENT ALLEGE MISREPRESENTATION AND UNSUITABILITY IN THE PURCHASE OF ECOMAT STOCK AS WELL AS EXCESSIVE TRADING OF HIS ACCOUNT. DAMAGES OF \$6,000 WERE CLAIMED.**Product Type:****Alleged Damages:** \$6,000.00**Customer Complaint Information****Date Complaint Received:** 06/24/1998**Complaint Pending?** No**Status:** Denied**Status Date:****Settlement Amount:****Individual Contribution Amount:****Broker Statement** GRUNTAL & CO., L.L.C., INVESTIGATED THE CLIENT'S ALLEGATIONS AND CONCLUDED THAT THEY WERE WITHOUT MERIT. CLIENT COMPLAINED ABOUT THE ONLY STOCK THAT WAS SOLICITED IN 6 YEARS TO RESULT IN A LOSS. CLAIM IS WITHOUT MERIT.**Disclosure 8 of 8****Reporting Source:** Individual



Employing firm when activities occurred which led to the complaint:

GRUNTAL & CO., L.L.C.

Allegations:

ON OR ABOUT MAY 12, 1994, [CUSTOMER] COMMENCED AN ACTION VERSUS GRUNTAL & CO., INCORPORATED AND STEVEN GOTTESMAN. THE CLIENT ALLEGES, AMONG OTHER THINGS, MISREPRESENTATION AND CONVERSION DAMAGES CLAIMED \$24,000

Product Type:

Alleged Damages:

\$24,000.00

Customer Complaint Information

Date Complaint Received:

05/12/1994

Complaint Pending?

No

Status:

Settled

Status Date:

Settlement Amount:

\$16,750.00

Individual Contribution Amount:

\$16,750.00

Broker Statement

GRUNTAL PAID NOTHING. THE GOTTESMANS ARE PAYING \$16,750 OVER TIME. [CUSTOMER] WAS NEVER A CUSTOMER OF GRUNTAL & CO., INCORPORATED AND NO MONEY WAS EVER CONVERTED FROM GRUNTAL & CO., INCORPORATED. [CUSTOMER] IS MY WIFE'S BIRTHMOTHER & THIS ACTION WAS UNRELATED TO ANY ACTIVITIES WITH MYSELF AND OR GRUNTAL & CO WHILE UNDER THEIR EMPLOY.



End of Report

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