



IAPD Report

Dean Edwin Meyers

CRD# 1518725

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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

Dean Edwin Meyers (CRD# 1518725)

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 **03/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	06/25/1986
IA	EDWARD JONES	CRD# 250	02/27/2006

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **37** 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
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No information reported.

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	4



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 **37** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **EDWARD JONES**
Main Address: 12555 MANCHESTER RD
ST. LOUIS, MO 63131
Firm ID#: 250

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	06/25/1986
B NYSE American LLC	General Securities Representative	Approved	09/13/2011
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	06/30/1986
B Alabama	Agent	Approved	05/02/2005
B Alaska	Agent	Approved	09/07/2018
B Arizona	Agent	Approved	11/17/1998
B Arkansas	Agent	Approved	02/22/2002
B California	Agent	Approved	09/22/2004
B Colorado	Agent	Approved	03/30/1999
B Connecticut	Agent	Approved	04/16/2004
B Delaware	Agent	Approved	04/12/2000
B Florida	Agent	Approved	01/06/1987



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	04/19/2002
B Hawaii	Agent	Approved	08/18/2010
B Illinois	Agent	Approved	09/04/1986
B Indiana	Agent	Approved	07/16/1986
IA Indiana	Investment Adviser Representative	Approved	02/27/2006
B Iowa	Agent	Approved	08/14/2006
B Kansas	Agent	Approved	11/30/2016
B Kentucky	Agent	Approved	09/24/2004
B Maine	Agent	Approved	06/18/2013
B Maryland	Agent	Approved	10/20/2023
B Massachusetts	Agent	Approved	04/03/2013
B Michigan	Agent	Approved	07/07/2000
B Minnesota	Agent	Approved	12/22/2008
B Missouri	Agent	Approved	11/06/1996
B Nevada	Agent	Approved	06/08/2015
B New Hampshire	Agent	Approved	02/12/2021
B New Jersey	Agent	Approved	12/18/2008
B New York	Agent	Approved	02/20/2015
B North Carolina	Agent	Approved	10/08/2004



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	09/05/1986
B Oklahoma	Agent	Approved	12/22/2008
B Oregon	Agent	Approved	08/01/2011
B Pennsylvania	Agent	Approved	07/10/2014
B South Carolina	Agent	Approved	04/25/2013
B Tennessee	Agent	Approved	07/27/2011
B Texas	Agent	Approved	05/25/2004
IA Texas	Investment Adviser Representative	Restricted Approval	01/17/2019
B Virginia	Agent	Approved	12/13/2001
B Washington	Agent	Approved	10/04/2006
B Wisconsin	Agent	Approved	12/26/2023

Branch Office Locations

EDWARD JONES
125 W CHARLES ST
MUNCIE, IN 47305



Qualifications

PASSED INDUSTRY EXAMS

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

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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	06/21/1986
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/15/2007
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Uniform Securities Agent State Law Examination (S63)	Series 63	07/15/1986
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

No information reported.

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
03/1986 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	MUNCIE, IN, 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.

The 400 Corporation
Muncie, IN
Start date: 9/1/1995
Board Director
Hours per week: 0
Hours during trading: 0
Attend monthly meetings.

*
Jan and Dean Enterprises
Type of business: LLC
Eaton, IN
Start date: 12/10/2008
Partner
Hours per week: 0
Hours during trading: 0
Rental of office building.



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	4

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 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT STATES HE GAVE IR \$235,000 TO INVEST IN AN ANNUITY IN 1998. CLIENT STATES IR MADE ALL KINDS OF VERBAL ASSURANCES THAT THE CLIENT WOULD OUT LIVE THE ANNUITY. CLIENT ADDITIONALLY STATES IR ASSURED HIM THE ANNUITY WOULD NEVER GO BELOW \$100,000, SO IN AUG. OF 2004 WHEN THE ANNUITY WAS DOWN TO \$95,000, HE WITHDEW HIS MONEY AND WENT ELSEWHERE. CLIENT ADDITIONALLY STATES ATTEMPTS TO MEET WITH THE IR HAVE GONE UNHEEDED.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 12/28/2005

Complaint Pending? No

Status: Denied

Status Date: 02/08/2006

Settlement Amount:

Individual Contribution Amount:

Broker Statement UPON REVIEW, IT APPEARS THE ILLUSTRATION THE CLIENT WAS PROVIDED WAS BASED UPON MARKET PERFORMANCE AT THAT TIME AND



WHILE BELIEVED TO BE RELIABLE, THE NUMBERS ARE NOT GUARANTEED. ADDITIONALLY, IT IS OUR UNDERSTANDING THE IR DID ENCOURAGE THE CLIENT TO USE THE IRS ONE TIME 72T CHANGE AND REDUCE THE MONTHLY PAYOUT. IT IS OUR UNDERSTANDING THE CLIENT DID NOT WANT TO MAKE THIS CHANGE. AS TO THE CLIENT'S NOTE REGARDING THE ACCOUNT WOULD NOT FALL BELOW \$100,000, THE IR HAS INDICATED THAT THE \$100,000 WAS THE DEATH BENEFIT OF THE ANNUITY.

Disclosure 2 of 4

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

CLIENT CLAIMS ORDER PLACED THROUGH ORDER SERVICES ON 4/17/00 SHOULD HAVE BEEN ENTERED AS A DAY ORDER TO PURCHASE 1,000 SHARES OF XCELERA AT 51, BUT WAS ENTERED AS GTC. CLIENT FURTHER STATES STOCK SPLIT ON 5/1/00 AND ORDER WAS EXECUTED AT PRE-SPLIT PRICE LEVEL OF 48 1/2. CUSTOMER REQUESTS REIMBURSEMENT FOR ALL LOSSES ASSOCIATED WITH THE PURCHASE WHICH TOTAL APPROXIMATELY \$30,000 AS OF DATE OF RECEIPT OF THE COMPLAINT.

Product Type:

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$30,000.00

Customer Complaint Information**Date Complaint Received:**

08/30/2003

Complaint Pending?

No

Status:

Settled

Status Date:

12/06/2003

Settlement Amount:

\$35,000.00

Individual Contribution Amount:

\$8,440.45

Broker Statement

OUR RECORDS INDICATE A LIMIT ORDER TO PURCHASE 1,000 SHARES OF XLA AT \$51.00 PER SHARE GTC FILLED ON 5/1/2000 AT \$48.50 PER SHARE. IT DOES APPEAR THERE WAS A MISUNDERSTANDING REGARDING THIS PURCHASE. SINCE THE CLIENT HAS ELECTED TO RETAIN THE SHARES WE HAVE OFFERED A SETTLEMENT IN THE AMOUNT OF \$8,440.45 WHICH REPRESENTS THE DIFFERENCE BETWEEN THE PRICE AT WHICH THE SHARES WERE PURCHASED AND THE AVERAGE PRICE PER SHARE OF \$40,0625 ON 5/3/00, THE DATE THE CLIENT AGREED TO RETAIN THE SHARES. THE SETTLEMENT OFFER WAS SENT ON OCTOBER 26, 2000. AS OF THE DECEMBER 6, 2000, THE CLIENT HAS NOT ACCEPTED THE OFFER, THEREFORE, THE OFFER HAS BEEN WITHDRAWN. CLIENT SUBSEQUENTLY REQUESTED TO ENTER INTO MEDIATION TO SETTLE THIS MATTER, WHICH WAS GRANTED. AFTER MEDIATION, SETTLEMENT WAS ENTERED INTO IN THE AMOUNT OF \$35,000, OF WHICH THE IR WAS RESPONSIBLE FOR \$8,440.45. MEDIATION SETTLEMENT WAS FULLY EXECUTED ON MAY 24, 2002.

Disclosure 3 of 4



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT CLAIMS THROUGH HER ATTORNEY, BASED UPON HER AGE, INVESTMENT OBJECTIVES AND ECONOMIC STATUS, THE MARGIN TRADING WAS NOT SUITABLE. CLIENT CLAIMS SHE WAS NOT AWARE THAT TRADING ON MARGIN WAS GOING ON AT ALL AND SUCH TRADING WAS UNAUTHORIZED. CLIENT FUTURE CLAIMS THAT WHEN THE IR WAS QUESTIONED BY THE CLIENT, IR CLAIMED IT WAS AN ERROR AND TO IGNORE IT. CLIENT ALLEGING LOSSES OF \$528,564 IN HER TRUST ACCOUNT. *****ARBITRATION DESCRIPTION: ALLEGATIONS OF UNAUTHORIZED TRADING, VIOLATION OF STATE BLUE SKY LAWS, NEGLIGENCE, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY AND VIOLATION OF NASD RULES IN USING MARGIN IN CLAIMANT'S ACCOUNT IN ORDER TO PURCHASE TECH STOCKS. (AMOUNT CLAIMED: \$528,564 IN COMPENSATORY DAMAGES, \$400,000 IN PUNITIVE DAMAGES PLUS COSTS, ATTORNEYS' FEES AND 8% INTEREST.)

Product Type: Other

Alleged Damages: \$528,564.00

Customer Complaint Information

Date Complaint Received: 05/29/2003

Complaint Pending? No

Status: Arbitration/Reparation
Denied

Status Date: 08/08/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; CASE NO: 03-07515

Date Notice/Process Served: 12/01/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/05/2005

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Broker Statement IR BELIEVED CLIENT WAS WELL VERSED IN FINANCIAL MATTERS, HAVING OWNED AN ACCOUNTING AGENCY AND NURSING HOME BUSINESS. CLIENT INDICATED TO THE IR THAT SHE DID NOT NEED INCOME FROM HER INVESTMENTS; HOWEVER, BEGINNING IN FEBRUARY 1996, CLIENT BEGAN TAKING WITHDRAWALS. OUR RECORDS INDICATE THAT CLIENT HAD TAKEN SUBSTANTIAL WITHDRAWALS FROM HER ACCOUNTS, WHICH



APPEAR TO TOTAL APPROXIMATELY \$489,000 THROUGH 2002. IN REGARD TO SPECIFIC INVESTMENTS IN CLIENT'S ACCOUNTS, IR INDICATED HE RECOMMENDED SHE SELL THE FEDERATED AGGRESSIVE FUND IN NOVEMBER AND DECEMBER OF 1999 (DUE TO THE SUBSTANTIAL GAIN IN THE FUND), BUT CLIENT DECLINED TO SELL UPON THE ADVICE OF HER ACCOUNTANT. AS TO OTHER INVESTMENTS IN THE CLIENT'S ACCOUNTS, IT DOES NOT APPEAR THE INVESTMENTS WERE OUTSIDE THE STATED OBJECTIVES OF THE ACCOUNTS. CLIENT INDICATED THAT AFTER OCTOBER 2000, IR AGGRESSIVELY USED THE MARGIN ACCOUNT TO SHORT SELL TECH STOCKS, BUT BASED ON OUR REVIEW CLIENT ONLY SOLD SHORT ONE TECH STOCK IN JANUARY 1997. IT DOES NOT APPEAR CLIENT SOLD SHORT AT ANY OTHER TIME, INCLUDING IN CLIENT'S TRUST ACCOUNT. IT WOULD APPEAR CLIENT WAS FAMILIAR WITH INVESTING IN AGGRESSIVE AND GROWTH AND INCOME STOCKS AND MUTUAL FUNDS, AS CLIENT HAS OWNED SIMILAR INVESTMENTS OVER THE LAST NINE YEARS. IT WOULD ALSO APPEAR CLIENT UNDERSTOOD MARGIN, AS THE ORIGINAL MARGIN ACCOUNT WAS ESTABLISHED IN APRIL 1997. IR INDICATED AT NO TIME DID HE ALLUDE TO ERRORS IN REGARD TO CLIENT'S MARGIN QUESTIONS; HOWEVER, IR DID OFFER TO REVIEW CLIENT'S STATEMENTS FOR ACCURACY. CLIENT HAS RECEIVED ACCOUNT STATEMENTS WHICH PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNT AS WELL AS REFLECTING ACTIVITY (INCLUDING MARGIN ACTIVITY). IT IS OUR OPINION THE CLIENT WAS AWARE OF THE ACTIVITY IN THE ACCOUNTS AND ALL TRANSACTIONS WERE COMPLETED WITH HER AUTHORIZATION. CLAIM DENIED. ***** ARBITRATION RESOLUTION: SETTLED FOR \$150,000.00

Disclosure 4 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT CLAIMS THE PURCHASE OF CONSECO STOCK ON FEBRUARY 23, 2000 WAS UNAUTHORIZED. CLIENT STATES THE STOCK WAS PURCHASED ON MARGIN AND THIS WAS NOT AUTHORIZED. CLIENT CLAIMS SHE CONTACTED IR AT THAT TIME, HOWEVER DUE TO IR RECOMMENDING TO HOLD THE STOCK, SHE FOLLOWED HIS ADVICE. LOSSES EXCEED \$5,000.

Product Type: Equity - OTC

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 01/24/2003

Complaint Pending? No

Status: Denied

Status Date: 07/18/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement IR STATED THAT HE DISCUSSED THE IMPORTANCE OF DIVERSIFICATION



WITH CLIENT AND ALSO INFORMED HER OF THE RISKS ASSOCIATED WITH PLACING A LARGE PERCENT OF HER NET WORTH IN ONE STOCK. IT ALSO APPEARS IR EXPLAINED THE DETAILS OF MARGIN, INCLUDING MARKET EXPOSURE AND SHORT SELLING AND BASED ON OUR REVIEW, THE CLIENT BEGAN BORROWING ON MARGIN IN FALL OF 1995. ACCORDING TO IR, CLIENT HAS HAD AN EXTENSIVE HISTORY OF HOLDING LARGE STOCK POSITIONS. IN REGARD TO THE STOCK POSITION IN CONSECO, IT APPEARS THIS STOCK HAD LOCAL INTEREST AS THE COMPANY IS HEADQUARTERED IN INDIANAPOLIS. IR STATED CONSECO STOCK WAS PURCHASED WITH THE AUTHORIZATION OF THE CLIENT. IR INDICATED HE HAD NUMEROUS DISCUSSIONS WITH CLIENT DURING 2000-2002 AND CLIENT AGREED TO CONTINUE HOLDING THE STOCK. IN ADDITION, IT DOES NOT APPEAR CLIENT CLAIMED THE TRANSACTION WAS UNAUTHORIZED UNTIL AFTER THE STOCK VALUE HAD DECLINED SUBSTANTIALLY. SINCE CLIENT'S ACCOUNT WAS ESTABLISHED, SHE HAS RECEIVED CUSTOMER ACCOUNT STATEMENTS WHICH PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNT AS WELL AS REFLECTING ACCOUNT ACTIVITY (INCLUDING MARGIN ACTIVITY). IT IS OUR OPINION THE CLIENT WAS AWARE OF THE ACTIVITY IN THE ACCOUNT AND ALL TRANSACTIONS WERE COMPLETED WITH HER AUTHORIZATION. BASED ON OUR REVIEW, WE WILL NOT BE MAKING AN ADJUSTMENT TO THE ACCOUNT.



End of Report

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