



## IAPD Report

# DAVID EDWARD WEINER

CRD# 1763447

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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

### DAVID EDWARD WEINER (CRD# 1763447)

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 **01/15/2026**.

### CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA CALYDON CAPITAL, LLC	CRD# 285485	10/09/2020

### 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 VERTIGO STRATEGIES, LLC	169809	ENGLEWOOD, NJ	06/25/2014 - 08/05/2020
IA JAWS CAPITAL PARTNERS, LLC	163981	ENGLEWOOD CLIFFS, NJ	12/10/2012 - 12/11/2014
B CUMBERLAND BROKERAGE CORPORATION	13409	ARDMORE, PA	12/03/2001 - 01/18/2007

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	3



## 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: **CALYDON CAPITAL, LLC**  
Main Address: 999 SHADY GROVE RD SOUTH  
SUITE 106  
MEMPHIS, TN 38120  
Firm ID#: 285485

	Regulator	Registration	Status	Date
<b>IA</b>	New Jersey	Investment Adviser Representative	Approved	10/09/2020

### Branch Office Locations

**CALYDON CAPITAL, LLC**  
285 Grand Avenue  
Patriot Centre Building One  
Englewood, NJ 07631




## 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 1 principal/supervisory exam, 1 general industry/product exam, and 2 state securities law exams.**



#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/28/1993

#### General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7)	Series 7	02/20/1988

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	12/04/2012
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/12/1988

### 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	06/25/2014 - 08/05/2020	VERTIGO STRATEGIES, LLC	CRD# 169809	ENGLEWOOD, NJ
IA	12/10/2012 - 12/11/2014	JAWS CAPITAL PARTNERS, LLC	CRD# 163981	ENGLEWOOD CLIFFS, NJ
B	12/03/2001 - 01/18/2007	CUMBERLAND BROKERAGE CORPORATION	CRD# 13409	ARDMORE, PA
B	12/01/2000 - 12/21/2001	MUNIMART.COM, INC.	CRD# 103967	ENGLEWOOD CLIFFS, NJ
B	03/08/1993 - 12/01/2000	WEINER ABRAMS & COMPANY, INC.	CRD# 31085	ENGLEWOOD CLIFFS, NJ
B	02/23/1988 - 02/04/1993	STOEVER, GLASS & COMPANY INC.	CRD# 7031	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
08/2020 - Present	Calydon Capital, LLC	Managing Director	Y	Englewood, NJ, United States
06/2012 - Present	JAWS CAPITAL PARTNERS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	ENGLEWOOD, NJ, United States
08/2005 - Present	VERTIGO CAPITAL MANAGEMENT, LLC	MANAGING MEMBER	Y	ENGLEWOOD CLIFFS, NJ, United States
05/2014 - 07/2020	VERTIGO STRATEGIES, LLC	MEMBER	Y	ENGLEWOOD, NJ, 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.

SERVES AS PARTNER OF VERTIGO CAPITAL MANAGEMENT, LLC. LOCATED AT 560 SYLVAN AVENUE, SUITE 3170, ENGLEWOOD CLIFFS NJ. DEVOTES APPROXIMATELY 10 HOURS PER WEEK WITH VERTIGO.



## 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	3

### 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>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	01/14/2009
<b>Docket/Case Number:</b>	<a href="#">2008014201601</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	N/A
<b>Product Type:</b>	No Product
<b>Allegations:</b>	NASD RULES 2110, 8210 - DAVID E. WEINER FAILED TO APPEAR TO CONTINUE A FINRA ON-THE-RECORD INTERVIEW.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	06/10/2009
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension



If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**



**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** ANY CAPACITY

**Duration:** TWO YEARS

**Start Date:** 07/06/2009

**End Date:** 07/05/2011

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$5,000.00

**Portion Levied against individual:** \$5,000.00

**Payment Plan:**

**Is Payment Plan Current:** No

**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, WEINER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR TWO YEARS. THE FINE IS DUE AND PAYABLE UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM JULY 6, 2009 THROUGH JULY 5, 2011.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**Date Initiated:** 01/14/2009

**Docket/Case Number:** [2008014201601](#)

**Employing firm when activity occurred which led to the regulatory action:** N/A

**Product Type:** No Product

**Allegations:** WEINER AGREED TO APPEAR AT A ONE-DAY INTERVIEW CONDUCTED BY FINRA AS A FACT FINDING INTERVIEW. WEINER ANSWERED ALL QUESTIONS IN A NINE-HOUR INTERVIEW AND OFFERED TO STAY LONGER. THE INTERVIEW WAS CONDUCTED DURING THE FINANCIAL CRISIS OF



2008-2009. FINRA REQUESTED WEINER RETURN FOR A SECOND DAY; WEINER DID NOT RETURN PURSUANT TO THE ORIGINAL ARRANGEMENT THAT THE INTERVIEW WOULD BE ONE DAY. FINRA ISSUED THE ORDER FOR FAILURE TO APPEAR TO CONTINUE A FINRA ON-THE-RECORD INTERVIEW, CITING THE WEINER VIOLATED NASD RULES 2110, 8210.

**Current Status:** Final

**Resolution:** Decision & Order of Offer of Settlement

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 07/06/2009

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** REGISTERED PRINCIPAL

**Duration:** 2 YEARS

**Start Date:** 07/06/2009

**End Date:** 07/06/2011

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$5,000.00

**Portion Levied against individual:** \$5,000.00

**Payment Plan:**

**Is Payment Plan Current:** No

**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:**

**Broker Statement**

WEINER AGREED TO APPEAR AT A ONE-DAY INTERVIEW CONDUCTED BY FINRA AS A FACT FINDING INTERVIEW. WEINER ANSWERED ALL QUESTIONS IN A NINE-HOUR INTERVIEW AND OFFERED TO STAY LONGER. THE INTERVIEW WAS CONDUCTED DURING THE FINANCIAL CRISIS OF 2008-2009. FINRA REQUESTED WEINER RETURN FOR A SECOND DAY; WEINER DID NOT RETURN PURSUANT TO THE ORIGINAL ARRANGEMENT THAT THE INTERVIEW WOULD BE ONE DAY. FINRA ISSUED THE ORDER FOR FAILURE TO APPEAR TO CONTINUE A FINRA ON-THE-RECORD INTERVIEW, CITING THE WEINER VIOLATED NASD RULES 2110, 8210.



### 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 3

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:**

**Allegations:** NEGLIGENCE, BREACH OF FIDUCIARY DUTY, MISREPRESENTATIONS, OMISSION OF MATERIAL FACTS.

**Product Type:** Other

**Other Product Type(s):** BONDS

**Alleged Damages:** \$25,000.00

#### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD - CASE #03-03855](#)

**Date Notice/Process Served:** 05/28/2003

**Arbitration Pending?** No

**Disposition:** Award

**Disposition Date:** 04/06/2004

**Disposition Detail:** RESPONDENT IS LIABLE FOR AND SHALL PAY TO THE CLAIMANT \$25,000, PLUS INTEREST.

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** WEINER ABRAMS & COMPANY

**Allegations:** CLAIMANT REFERS TO TRADES HAVING TAKEN PLACE IN SEPT. OF 1997.

**Product Type:** Debt-Municipal

**Alleged Damages:** \$25,000.00

#### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** NASD

**Docket/Case #:** [03-03855](#)

**Date Notice/Process Served:** 05/28/2003

**Arbitration Pending?** No



**Disposition:** Award to Customer

**Disposition Date:** 04/06/2004

**Monetary Compensation Amount:** \$25,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** WEINER WAS NOT THE REPRESENTATIVE ASSOCIATED WITH THIS CUSTOMER'S ACCOUNT. HE WAS NAMED BECAUSE HE WAS THE OWNER OF THE FIRM.

**Disclosure 2 of 3**

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** WEINER ABRAMS & COMPANY, INC.

**Allegations:** MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE

**Product Type:**

**Alleged Damages:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #97-02301

**Date Notice/Process Served:** 05/14/1997

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:**

**Disposition Detail:** CASE IS CLOSED, SETTLED  
\*\* CASE SETTLED \*\*

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** WEINER ABRAMS & COMPANY, INC.

**Allegations:** STATEMENT OF CLAIMS ALLEGES THAT THE INVESTMENTS PURCHASED WERE UNSUITABLE AND MISREPRESENTED.

**Product Type:** Other: BENNETT GROUP FUNDING PRODUCT

**Alleged Damages:** \$10,000.00

**Alleged Damages Amount Explanation (if amount not exact):** DOES NOT RECALL EXACT AMOUNT AS SETTLEMENT WAS OVER 15 YEARS AGO.

**Customer Complaint Information**

**Date Complaint Received:**



**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 05/14/1997  
**Settlement Amount:** \$10,000.00  
**Individual Contribution Amount:** \$0.00

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** NASD  
**Docket/Case #:** 97-02301  
**Date Notice/Process Served:** 05/14/1997  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 05/14/1997  
**Monetary Compensation Amount:** \$10,000.00  
**Individual Contribution Amount:** \$0.00

### Civil Litigation Information

**Disposition:**  
**Disposition Date:** 05/14/1997

**Broker Statement** WEINER WAS NOT THE REPRESENTATIVE ASSOCIATED WITH THIS CUSTOMER'S ACCOUNT. WEINER WAS NAMED ONLY BECAUSE HE WAS THE OWNER OF THE FIRM.

### Disclosure 3 of 3

**Reporting Source:** Regulator  
**Employing firm when activities occurred which led to the complaint:** WEINER ABRAMS & COMPANY, INC.  
**Allegations:** MISREPRESENTATION; SUITABILITY; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE  
**Product Type:**  
**Alleged Damages:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #96-04567  
**Date Notice/Process Served:** 10/29/1996  
**Arbitration Pending?** No  
**Disposition:** Settled



**Disposition Date:** 03/16/1998  
**Disposition Detail:** CASE IS CLOSED, SETTLED  
\*\* CASE SETTLED \*\*

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** WEINER ABRAMS & COMPANY, INC.  
**Allegations:** INDIVIDUALS CLAIM INVESTMENT WAS UNSUITABLE.  
**Product Type:** Other: BENNETT FUNDING GROUP PRODUCT  
**Alleged Damages:** \$10,000.00  
**Alleged Damages Amount Explanation (if amount not exact):** DOES NOT RECALL EXACT AMOUNT AS SETTLEMENT WAS OVER 14 YEARS AGO.

### Customer Complaint Information

**Date Complaint Received:**  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 03/16/1998  
**Settlement Amount:** \$10,000.00  
**Individual Contribution Amount:** \$0.00

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** NASD  
**Docket/Case #:** 96-04567  
**Date Notice/Process Served:** 10/29/1996  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 03/16/1998  
**Monetary Compensation Amount:** \$10,000.00  
**Individual Contribution Amount:** \$0.00  
**Broker Statement** CUSTOMER DISMISSED ARBITRATION IN EXCHANGE FOR VALID CONSIDERATION. WEINER WAS NOT THE REPRESENTATIVE ASSOCIATED WITH THIS CUSTOMER'S ACCOUNT. HE WAS NAMED BECAUSE HE WAS THE OWNER OF THE FIRM.



## End of Report

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