IAPD Report

WILLIAM DENNIS ECKERT II

CRD# 1771909

Section Title | **Page(s)**

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

WILLIAM DENNIS ECKERT II (CRD# 1771909)

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 **04/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	08/10/2023
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	08/10/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** 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	SECURIAN FINANCIAL SERVICES, INC.	15296	Overland Park, KS	09/03/2013 - 08/10/2023
IA	SECURIAN FINANCIAL SERVICES, INC.	15296	Overland Park, KS	08/21/2013 - 08/10/2023
IA	HORNOR, TOWNSEND & KENT, INC.	4031	LEAWOOD, KS	10/05/2004 - 08/15/2013

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

Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245

Firm ID#: 13572

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/10/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	08/10/2023
B	Alabama	Agent	Approved	08/10/2023
B	Alaska	Agent	Approved	08/10/2023
B	Arizona	Agent	Approved	08/10/2023
B	California	Agent	Approved	08/10/2023
B	Colorado	Agent	Approved	08/10/2023
B	Florida	Agent	Approved	08/14/2023
B	Georgia	Agent	Approved	08/10/2023
B	Idaho	Agent	Approved	04/30/2026
B	Illinois	Agent	Approved	08/10/2023
B	Indiana	Agent	Approved	08/10/2023
B	Iowa	Agent	Approved	08/10/2023

Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	08/10/2023
B	Maine	Agent	Approved	08/10/2023
B	Michigan	Agent	Approved	08/10/2023
B	Minnesota	Agent	Approved	08/10/2023
B	Missouri	Agent	Approved	08/10/2023
B	Nebraska	Agent	Approved	08/10/2023
B	Nevada	Agent	Approved	08/10/2023
B	New Mexico	Agent	Approved	08/10/2023
B	New York	Agent	Approved	08/10/2023
B	Ohio	Agent	Approved	08/10/2023
B	Oklahoma	Agent	Approved	08/10/2023
B	Oregon	Agent	Approved	08/10/2023
B	Pennsylvania	Agent	Approved	04/06/2026
B	South Carolina	Agent	Approved	08/10/2023
B	South Dakota	Agent	Approved	08/10/2023
B	Texas	Agent	Approved	08/10/2023
B	Utah	Agent	Approved	07/14/2025
B	Virginia	Agent	Approved	08/10/2023
B	Washington	Agent	Approved	08/10/2023

Qualifications

	Regulator	Registration	Status	Date
B	Wisconsin	Agent	Approved	08/10/2023

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
7500 College Blvd
Suite 800
Overland Park, KS 66210

Employment 2 of 2

Firm Name:	**CETERA INVESTMENT ADVISERS LLC**
Main Address:	1450 AMERICAN LANE 6TH FLOOR, SUITE 650 SCHAUMBURG, IL 60173-2096
Firm ID#:	105644

	Regulator	Registration	Status	Date
IA	Kansas	Investment Adviser Representative	Approved	08/10/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	08/10/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
7500 COLLEGE BLVD
STE 350
OVERLAND PARK, KS 66210

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, 3 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
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/20/2004
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/23/1987

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/02/2005
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/12/1995

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	09/03/2013 - 08/10/2023	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	Overland Park, KS
IA	08/21/2013 - 08/10/2023	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	Overland Park, KS
IA	10/05/2004 - 08/15/2013	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	LEAWOOD, KS
B	09/29/2004 - 08/15/2013	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	LEAWOOD, KS
IA	09/16/1997 - 09/17/2004	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	OVERLAND PARK, KS
B	05/26/1995 - 09/17/2004	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	11/25/1987 - 05/04/1995	NORTHWESTERN MUTUAL INVESTMENT SERVICES, INC.	CRD# 2881	MILWAUKEE, WI

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
08/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
08/2023 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Overland Park, KS, United States
11/2022 - Present	Renaissance Financial Group	Agent	Y	Overland Park, KS, United States
08/2013 - 08/2023	MINNESOTA LIFE INSURANCE CO	AGENT	Y	ST PAUL, MN, United States
08/2013 - 08/2023	SECURIAN FINANCIAL SERVICES INC	REGISTERED REP	Y	ST PAUL, MN, United States
08/2013 - 10/2022	STRATEGIC FINANCIAL PARTNERS	AGENT	Y	COLORADO SPRINGS, CO, United States

Registration & Employment History

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) KAMO ADVENTURES INC
POSITION: Officer NATURE: Board Member INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 3 START DATE: 08/01/2012
ADDRESS: , Leawood KS , United States
DESCRIPTION: Officer

2) UNIVERSITY OF KANSAS
POSITION: Volunteer NATURE: Trainer/Teacher INVESTMENT RELATED: No NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2017
ADDRESS: , Leawood KS , United States
DESCRIPTION: Volunteer

3) NAME OF OTHER BUSINESS: RENAISSANCE FINANCIAL
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: FINANCIAL SERVICES
START DATE: November 2022
POSITION/TITLE/RELATIONSHIP: Financial Advisor
APX NUMBER OF HOURS PER WEEK: 40
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5
BRIEF DESCRIPTION OF DUTIES: OFFER SECURITIES, INSURANCE AND ADVISORY SERVICES

4) NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: FIXED INSURANCE
START DATE: September 2004
APX NUMBER OF HOURS PER WEEK: 40
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5
POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT
BRIEF DESCRIPTION OF DUTIES: SALES OF FIXED INSURANCE PRODUCTS

5) NAME OF OTHER BUSINESS: WILLIAM D ECKERT II;
INVESTMENT RELATED: NO;
ADDRESS: 4000 W 114TH ST, STE 180, LEAWOOD, KS 66211;
NATURE OF BUSINESS: SUBLEASE AGREEMENT;
START DATE: 9/2023;
POSITION/TITLE/RELATIONSHIP: N/A;
APX NUMBER OF HOURS PER WEEK: 0;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: I HAVE LEASED THIS PROPERTY TO A SUB-TENANT FOR THE DURATION OF THE INITIAL LEASE 2/28/2029. I HAVE NO OTHER MANAGEMENT RESPONSIBILITIES;

6) NAME OF OTHER BUSINESS: WILLIAM D ECKERT II AND SHANTHI G ECKERT;
INVESTMENT RELATED: NO;
ADDRESS: 21735 TAYLOR RD, LA CYGNE, KS 66040;
NATURE OF BUSINESS: FARMLAND RENTAL;
START DATE: 1/2021;
POSITION/TITLE/RELATIONSHIP: OWNER;

Registration & Employment History

OTHER BUSINESS ACTIVITIES

APX NUMBER OF HOURS PER WEEK: 0;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: RENT OUT 17 ACRES OF BROME HAY TO A LOCAL FARMER TO FERTILIZE, CUT, BALE, & HARVEST;

7) NAME OF OTHER BUSINESS: BILL ECKERT;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: PUBLIC SPEAKING/EDUCATION;
START DATE: 07/2025;
POSITION/TITLE/RELATIONSHIP: SPEAKER;
APX NUMBER OF HOURS PER WEEK: 1;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: SPEEKING TO A GROUP OF CERTIFIED FUNDRAISING EXECUTIVES AND PROVIDING AN HOUR OF CONTINUNING EDUCATION CREDIT, CHARITABLE GIVING ADVISE;

8) NAME OF OTHER BUSINESS: CHARITABLE GIVING KANSAS CITY;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: CHARITABLE GIVING STRATEGIES;
START DATE: 2/2026;
POSITION/TITLE/RELATIONSHIP: PRESENTER;
APX NUMBER OF HOURS PER WEEK: 1;
APX NUMBER OF HOURS DURING TRADING HOURS: 1;
BRIEF DESCRIPTION OF DUTIES: SHARE CHARITABLE GIVING STRATEGIES;

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	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Firm
Regulatory Action Initiated By:	NORTHWESTERN MUTUAL LIFE INSURANCE COMPANY (NML) PO*SEE FAQ #1*
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/29/1994
Docket/Case Number:	UNKNOWN
Employing firm when activity occurred which led to the regulatory action:	NORTHWESTERN MUTUAL LIFE INSURANCE COMPANY
Product Type:	
Other Product Type(s):	
Allegations:	SEE ATTACHED STATEMENT.
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/01/1995
Sanctions Ordered:	Monetary/Fine $100.00
Other Sanctions Ordered:	
Sanction Details:	MR. ECKERT'S CONTRACT WITH GENERAL AGENT [THIRD PARTY] TERMINATED BY MUTUAL AGREEMENT 3/30/95; NML INVESTIGATION IS OPNGOING.TERMINATED AUTOMATICALLY. CUSTOMER ACCEPTED

	RECISSION OF POLICY AND CASH SETTLEMENT.
Firm Statement	MR. ECKERT ADMITTED TO AUTHORIZING A STAFF PERSON TO SIGN HIS CUSTOMER'S NAMES WITHOUT THEIR CONSENT ON TWO COMPANY DOCUMENTS. HE STATED THAT THIS IS NOT STANDARD OPERATING PROCEDURE, BUT THE CUSTOMERS HAD LEFT THE COUNTRY AND HE WANTED TO COMPLETE THE PROCESS FOR HIS CLIENTS.

Reporting Source:	Individual
Regulatory Action Initiated By:	CONSUMER COMPLAINT - KANSAS DEPT. OF INSURANCE
Sanction(s) Sought:	Other: KS DEPARTMENT OF INSURANCE FINE OF $100.00
Date Initiated:	07/29/1994
Docket/Case Number:	#1748-50
Employing firm when activity occurred which led to the regulatory action:	NORTHWESTERN MUTUAL LIFE INSURANCE COMPANY
Product Type:	Insurance
Allegations:	THE CHARGE WAS THAT I FORGED A NON-ESSENTIAL FORM IN ORDER TO PLACE A WHOLE LIFE POLICY AS THE CLIENT COULD NOT SIGN, SINCE HE HAD JUST LEFT THE COUNTRY FOR SIX MONTHS. THE STATE OF KANSAS INS. DEPT. FINED ME $100.00 AND NOTHING TO NORTHWESTERN MUTUAL.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	04/19/1995
Sanctions Ordered:	Other: FINE OF $100.00 TO ME BY STATE OF KS INSURANCE DEPARTMENT
Broker Statement	PLEASE SEE EXHIBIT B, THE FORM THAT I WAS ACCUSED OF FORGING AND WAS SUBSEQUENTLY FINED. PERSONALLY THIS HAS BEEN A TERRIBLE EXPERIENCE FOR ME AND IN THE FUTURE I WILL HAVE EVERY DOCUMENT SIGNED PERSONALLY BY EVERY CLIENT.

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURIAN FINANCIAL SERVICES
Allegations:	CLIENT ALLEGES RR SOLD HIM AN UNSUITABLE POLICY AND DID NOT DISCLOSE SURRENDER CHARGES AT THE TIME OF SALE.
Product Type:	Insurance
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	FIRM ESTIMATES DAMAGES EXCEED $5,000.
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:	07/27/2016
Complaint Pending?	No
Status:	Denied
Status Date:	08/03/2016
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	HORNOR TOWNSEND & KENT, INC.
Allegations:	TRUSTEE ALLEGES THAT THE REPRESENTATIVE ADVISED HE COULD PURCHASE A VARIABLE ANNUITY WITH AN INCOME GUARANTEE RIDER THAT WOULD PERMIT THE ANNUITANT TO WITHDRAW 5% ANNUALLY. TRUSTEE NOTES THAT THE REPRESENTATIVE DID EXPLAIN THAT THE VALUE OF THE ANNUITY COULD FLUCTUATE WITH MARKET CONDITIONS BUT THE 5% INCOME GUARANTEE WOULD NOT BE AFFECTED. TRUSTEE RECENTLY LEARNED THAT THE ANNUITANT WAS NOT ELIGIBLE FOR THE INCOME GUARANTEE RIDER DUE TO AGE RESTRICTIONS AND IS

	REQUESTING A FULL REFUND OF THE ORIGINAL PURCHASE PAYMENT.
Product Type:	Annuity-Variable
Alleged Damages:	$314,284.27
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:	02/20/2009
Complaint Pending?	No
Status:	Settled
Status Date:	04/30/2009
Settlement Amount:	$312,984.28
Individual Contribution Amount:	$0.00
Broker Statement	THE FIRM'S PARENT LIFE INSURANCE COMPANY AND THE CLIENT ENTERED INTO A SETTLEMENT WHEREBY THE CLIENT'S VARIABLE ANNUITY WAS TERMINATED AND THE COMPANY RETURNED TO THE CLIENT THE AMOUNT OF THE TOTAL PURCHASE PAYMENTS LESS THE AMOUNT OF THE SYSTEMATIC WITHDRAWALS TAKEN BY THE CLIENT.

End of Report

This page is intentionally left blank.