User Guidance

www.adviserinfo.sec.gov

IAPD Report

KEVIN MICHAEL FILOSA

CRD# 1798768

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

KEVIN MICHAEL FILOSA (CRD# 1798768)

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 **05/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	08/05/2024
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	08/05/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	HOLBROOK, NY	07/25/2014 - 08/20/2024
IA	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	07/22/2014 - 08/20/2024
B	LPL FINANCIAL LLC	6413	RONKONKOMA, NY	02/12/2013 - 07/15/2014

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	1
Termination	1

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

Employment 1 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**

Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735

Firm ID#: 42046

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	08/05/2024
B	FINRA	General Securities Representative	Approved	08/05/2024
B	Connecticut	Agent	Approved	01/29/2026
B	Florida	Agent	Approved	08/05/2024
B	Georgia	Agent	Approved	05/04/2026
B	Massachusetts	Agent	Approved	06/11/2025
B	New Jersey	Agent	Approved	09/30/2024
B	New York	Agent	Approved	08/05/2024
B	North Carolina	Agent	Approved	09/04/2024
B	Pennsylvania	Agent	Approved	02/10/2026
B	South Carolina	Agent	Approved	02/12/2025

Branch Office Locations

NFP ADVISOR SERVICES, LLC
1303 Main Street

Qualifications

PORT JEFFERSON, NY 11777

Employment 2 of 2

Firm Name: **KESTRA ADVISORY SERVICES, LLC**

Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735

Firm ID#: 283330

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	08/05/2024

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
1303 Main Street
PORT JEFFERSON, NY 11777

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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	10/09/1990

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	04/16/1988

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/24/2004
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/24/1988

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	07/25/2014 - 08/20/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	HOLBROOK, NY
IA	07/22/2014 - 08/20/2024	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	02/12/2013 - 07/15/2014	LPL FINANCIAL LLC	CRD# 6413	RONKONKOMA, NY
IA	02/06/2013 - 07/15/2014	LPL FINANCIAL LLC	CRD# 6413	RONKONKOMA, NY
B	08/16/2011 - 01/14/2013	LPL FINANCIAL LLC	CRD# 6413	BAYSHORE, NY
IA	08/16/2011 - 01/14/2013	LPL FINANCIAL LLC	CRD# 6413	BAYSHORE, NY
IA	02/18/2009 - 08/12/2011	SIGNATURE SECURITIES GROUP CORP.	CRD# 104233	GREAT NECK, NY
B	11/12/2008 - 08/12/2011	SIGNATURE SECURITIES	CRD# 104233	GREAT NECK, NY
B	11/19/2007 - 11/13/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	GREAT NECK, NY
IA	11/19/2007 - 11/13/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	GREAT NECK, NY
B	05/29/2007 - 11/29/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	BAYSIDE, NY
IA	05/29/2007 - 11/29/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	BAYSIDE, NY
IA	09/13/2004 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	BAYSIDE, NY
B	01/28/1998 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	BAYSIDE, NY
B	03/18/1996 - 01/02/1998	M&T SECURITIES, INC.	CRD# 17358	BALTIMORE, MD
B	10/05/1995 - 02/23/1996	CHEMICAL INVESTMENT SERVICES CORP.	CRD# 36312	

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	11/23/1992 - 09/13/1995	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	12/07/1988 - 11/27/1992	A.J. MICHAELS & CO., LTD.	CRD# 19883	HAUPPAUGE, NY
B	04/19/1988 - 12/07/1988	WAKEFIELD FINANCIAL CORPORATION	CRD# 11064	

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
08/2024 - Present	KESTRA ADVISORY SERVICES	INVESTMENT ADVISER REP	Y	PORT JEFFERSON, NY, United States
08/2024 - Present	KESTRA INVESTMENT SERVICES	REGISTERED REP	Y	PORT JEFFERSON, NY, United States
07/2014 - 08/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	HOLBROOK, 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.

Name: BORO SAWMILL AND TIMBER COMPANY POSITION: Outside Sales NATURE: Sale of timber INVESTMENT RELATED: No # OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 02/02/2015 ADDRESS: 139 Ryerson Ave, Wayne NJ 07470 DESCRIPTION: I currently work with 1 lumber company in Brooklyn. They will only deal with me, so the company asked if I would take any orders for material from the lumber company. They place 3 - 5 orders a year.

Name: COASTLINE WEALTH MANAGEMENT POSITION: Associate Advisor NATURE: Registered rep activities through Kestra Investment Services INVESTMENT RELATED: Yes # OF HOURS: 200 SECURITIES TRADING HOURS: 140 START DATE: 07/26/2024 ADDRESS: 1303 Main Street, Port Jefferson NY 11777 DESCRIPTION: Advise clients on all aspects of financial services and provide best solutions for their needs and risk tolerance.

Name: KESTRA ADVISORY SERVICES LLC POSITION: Associate Advisor NATURE: Investment advisory services through Kestra Advisory Services, LLC INVESTMENT RELATED: Yes # OF HOURS: 200 SECURITIES TRADING HOURS: 140 START DATE: 07/26/2024 ADDRESS: 1303 Main Street, Port Jefferson NY 11777 DESCRIPTION: Advise clients on all aspects of financial services and provide best solutions for their situation and risk tolerance.

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	1
Termination	1

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:	Individual
Regulatory Action Initiated By:	NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES
Sanction(s) Sought:	Other: N/A
Date Initiated:	05/15/2014
Docket/Case Number:	2014-0086-S
Employing firm when activity occurred which led to the regulatory action:	LPL FINANCIAL
Product Type:	No Product
Allegations:	THE DEPARTMENT ALLEGES RESPONDENT PROVIDED MATERIALLY INCORRECT AND UNTRUE INFORMATION WITHIN THE MEANING OF SECTION 2110(A)(2) OF THE INSURANCE LAW IN HIS RENEWAL APPLICATION FOR AN AGENT'S INSURANCE LICENSE UNDER SECTION 2103(A) OF THE INSURANCE LAW, SUBMITTED JULY 24, 2009, IN THAT RESPONDENT FAILED TO DISCLOSE THAT HE WAS NAMED AS A PARTY IN AN ARBITRATION PROCEEDING THAT WAS COMMENCED WITH THE FILING OF A CLAIM FOR DAMAGES BASED UPON, AMONG OTHER THINGS, BREACH OF FIDUCIARY DUTY WITH THE FINANCIAL INDUSTRY REGULATORY AUTHORITY ON OR ABOUT FEBRUARY 9, 2009.
Current Status:	Final
Resolution:	Stipulation and Consent

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:	05/15/2014
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$750.00
Portion Levied against individual:	$750.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	05/15/2014
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	I FAILED TO DISCLOSE THAT I WAS A PARTY IN AN ARBITRATION PROCEEDING. I INTERPRETED THE QUESTION INCORRECTLY BUT AT NO TIME WAS I LOOKING TO MISLEAD OR OMIT ANY INFORMATION FROM THE DEPARTMENT. IT WAS MY UNDERSTANDING THAT A RESPONSE OF YES TO SUCH A QUESTION WAS NOT NECESSARY UNTIL I ACTUALLY WENT TO ARBITRATION. AN ADMINSTRATIVE PROCEEDING IS DEFINED AS A HEARING BEFORE AN ADMINISTRATIVE AGENCY. I NEVER WENT TO ARBITRATION IN THIS COMPLAINT. IT IS MY UNDERSTANDING THAT THE QUESTION WAS ASKED IF I WAS INVOLVED IN AN ADMINISTRATIVE PROCEEDING REGARDING ANY PROFESSIONAL LICENSE OR REGISTRATION. IT WAS CLEARLY A MISINTERPRETATION OF THE QUESTION AND AT NO POINT IN TIME WAS I LOOKING TO HIDE, OMIT OR MISLEAD ANYONE IN REFERENCE TO THE RESPONSE. I ACCEPTED A FINE OF 750.00 FOR ANSWERING THE QUESTION INCORRECTLY.

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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH PIERCE FENNER & SMITH, INC
Allegations:	THE CUSTOMERS ALLEGE UNSUITABLE INVESTMENT RECOMMENDATIONS AND UNAUTHORIZED TRADING.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$1,100,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-00527
Filing date of arbitration/CFTC reparation or civil litigation:	02/09/2009

Customer Complaint Information

Date Complaint Received:	02/09/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/09/2009
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-00527
Date Notice/Process Served:	02/09/2009
Arbitration Pending?	No
Disposition:	Settled

Disposition Date:	03/18/2010
Monetary Compensation Amount:	$395,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH PIERCE FENNER & SMITH, INC.
Allegations:	THE CUSTOMERS ALLEGE UNSUITABLE INVESTMENT RECOMMENDATIONS AND UNAUTHORIZED TRADING.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$1,100,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-00527
Filing date of arbitration/CFTC reparation or civil litigation:	02/09/2009

Customer Complaint Information

Date Complaint Received:	02/09/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/09/2009
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-00527
Date Notice/Process Served:	02/09/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/18/2010
Monetary Compensation	$395,000.00

Amount:	
Individual Contribution Amount:	$0.00
Broker Statement	THE CUSTOMER'S ALLEGATIONS OF UNSUITABLE RECOMMENDATIONS AND UNAUTHORIZED TRADING ARE FALSE. THE RECOMMENDATIONS WOULD NOT HAVE BEEN APPROVED BY MERRILL LYNCH IF THEY WERE NOT SUITABLE. ALSO, I DISCUSSED EVERY TRANSACTION WITH MY CUSTOMER AS REQUIRED BY INDUSTRY REGULATIONS. PHONE RECORDS AND ONLINE ACCOUNT ACCESS RECORDS INDICATE THAT THERE WAS CONTACT PRIOR TO THE TRADES, AND THAT THE CUSTOMER WAS AWARE OF WHAT HE PURCHASED AND THE POSITIONS HE OWNED. I BELIEVE MERRILL LYNCH SETTLED THE MATTER BEFORE IT WENT TO ARBITRATION TO AVOID THE COSTS OF LITIGATION. I WAS NOT INVOLVED IN THE SETTLEMENT, NOR WAS I ASKED TO PAY ANY PART OF IT.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	MERRILL LYNCH ,PIERCE, FENNER &SMITH INC,
Termination Type:	Discharged
Termination Date:	10/16/2008
Allegations:	MR. FILOSA'S EMPLOYMENT WAS TERMINATED ON OCTOBER 16, 2008 AFTER THE FIRM CONCLUDED THAT HE VIOLATED THE FIRM'S POLICIES BY EXERCISING TIME AND PRICE DISCRETION IN A CLIENT'S ACCOUNT.
Product Type:	Other
Other Product Types:	

Reporting Source:	Individual
Firm Name:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Termination Type:	Discharged
Termination Date:	10/16/2008
Allegations:	MR. FILOSA'S EMPLOYMENT WAS TERMINATED ON OCTOBER 16, 2008 AFTER THE FIRM CONCLUDED THAT HE VIOLATED THE FIRM'S POLICIES BY EXERCISING TIME AND PRICE DISCRETION IN A CLIENT'S ACCOUNT.
Product Type:	Other: OTHER
Broker Statement	I WAS TERMINATED BECAUSE MERRILL LYNCH'S POLICY IS DIFFERENT FROM THE INDUSTRY'S RULES. INDUSTRY REGULATIONS ALLOW FOR TIME AND PRICE DISCRETION AS LONG AS THE TRADE IS EXECUTED ON THE SAME DAY. I DISCUSSED ALL TRANSACTIONS WITH MY CUSTOMER AS REQUIRED BY INDUSTRY REGULATIONS AND HE AUTHORIZED EVERY TRANSACTION. IN ONE TRANSACTION, HE AUTHORIZED ME TO PLACE THE TRADE BEFORE THE END OF THE DAY AT MY DISCRETION. I DID NOT VIOLATE ANY SECURITIES LAWS, RULES, OR REGULATIONS.

End of Report

This page is intentionally left blank.