



IAPD Report

ROBERT LEE NASH II

CRD# 1882389

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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

ROBERT LEE NASH II (CRD# 1882389)

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 **03/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	03/26/2009
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	03/26/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	SMITH SAWYER SMITH INVESTMENT & WEALTH MANAGEMENT, LLC	161714	INDIANAPOLIS, IN	04/05/2012 - 04/09/2013
IA	CITIGROUP GLOBAL MARKETS INC.	7059	INDIANAPOLIS, IN	12/15/1998 - 04/01/2009
B	CITIGROUP GLOBAL MARKETS INC.	7059	INDIANAPOLIS, IN	07/31/1993 - 04/01/2009

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	2
Customer Dispute	2
Termination	1



Report Summary



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

Employment 1 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**

Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757

Firm ID#: 39543

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/26/2009
B	FINRA	General Securities Principal	Approved	01/29/2010
B	FINRA	Operations Professional	Approved	12/12/2011
B	Arizona	Agent	Approved	05/07/2009
B	California	Agent	Approved	02/12/2021
B	Florida	Agent	Approved	04/03/2009
B	Georgia	Agent	Approved	03/26/2009
B	Illinois	Agent	Approved	01/23/2015
B	Indiana	Agent	Approved	03/31/2009
B	Kentucky	Agent	Approved	03/20/2024
B	Maryland	Agent	Approved	05/25/2016
B	Michigan	Agent	Approved	03/26/2009
B	New York	Agent	Approved	04/29/2023



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	05/26/2015
B Ohio	Agent	Approved	01/04/2011
B Pennsylvania	Agent	Approved	03/26/2009
B South Carolina	Agent	Approved	10/24/2012
B Texas	Agent	Approved	03/26/2009
B Utah	Agent	Approved	01/26/2024
B Virginia	Agent	Approved	02/09/2022

Branch Office Locations

CAMBRIDGE INVESTMENT RESERARCH, INC.
 12770 W New Market St.
 Ste. 207
 Carmel, IN 46032

CAMBRIDGE INVESTMENT RESERARCH, INC.
 101 W Venice Ave.
 #26
 Venice, FL 34285

CAMBRIDGE INVESTMENT RESERARCH, INC.
 121 Monument Cir.
 Indianapolis, IN 46204

Employment 2 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**
 Main Address: 1776 PLEASANT PLAIN RD.
 FAIRFIELD, IA 52556-8757
 Firm ID#: 134139

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	02/24/2023
IA Indiana	Investment Adviser Representative	Approved	03/26/2009
IA Texas	Investment Adviser Representative	Restricted Approval	01/04/2016

Branch Office Locations



Qualifications

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
121 MONUMENT CIR
INDIANAPOLIS, IN 46204

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
101 W Venice Ave.
#26
Venice, FL 34285

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
12770 W New Market St.
Ste. 207
Carmel, IN 46032




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



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/28/2010

General Industry/Product Exams

	Exam	Category	Date
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/03/1991

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	02/22/1994
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/21/1988

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	04/05/2012 - 04/09/2013	SMITH SAWYER SMITH INVESTMENT & WEALTH MANAGEMENT, LLC	CRD# 161714	INDIANAPOLIS, IN
IA	12/15/1998 - 04/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	INDIANAPOLIS, IN
B	07/31/1993 - 04/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	INDIANAPOLIS, IN
B	11/17/1989 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	10/19/1988 - 11/09/1989	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
03/2009 - Present	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC	IA REP	Y	FAIRFIELD, IA, United States
03/2009 - Present	CAMBRIDGE INVESTMENT RESEARCH, INC	REG REP	Y	FAIRFIELD, IA, 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.

- 1) NASH & ASSOCIATES, 121 MONUMENT CIR, INDIANAPOLIS, IN, 12/2011 AS INDEPENDENT INSURANCE AGENT FOR VARIOUS INDEPENDENT INSURANCE COMPANIES, NIR, 0 HRS.
- 2) HEDGES CONSULTING, 505 DANTE ST, VENICE, FL, 01/2012, OWNER, CONSULTING, NIR, 12 HR/MO, 0 HR/MO TRADING.
- 3) LEGAL SHIELD, 121 MONUMENT CIR, INDIANAPOLIS, IN, 01/2015, REFERRALS FOR BASIC ESTATE PLANNING, NIR, 1 HR/MO, 1 HR/MO TRADING.
- 4) CIRA, 1776 PLEASANT PLAIN RD, FAIRFIELD, IA, 04/2009, AS ADVISORY REP OF AN RIA, INV REL, 80 HR/MO, 80 HR/MO TRADING.



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	2
Customer Dispute	2
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 2

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/22/1991

Docket/Case Number: CHI-1353-AWC

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 03/22/1991

Sanctions Ordered: Censure
Monetary/Fine \$2,000.00

Other Sanctions Ordered:

**Sanction Details:****Regulator Statement**

ON MARCH 22, 1991, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C8A900024 (CHI-1353-AWC - DISTRICT NO. 8) SUBMITTED BY RESPONDENTS MARK JOHN JAKUBOVIE AND ROBERT LEE NASH II WAS ACCEPTED; THEREFORE, RESPONDENT JAKUBOVIE WAS CENSURED AND FINED \$5,000 AND RESPONDENT NASH WAS CENSURED AND FINED \$2,000. IN ADDITION, BOTH RESPONDENTS MUST REQUALIFY BY EXAMINATION AS A GENERAL SECURITIES REPRESENTATIVE WITHIN 90 DAYS OF THE ISSUANCE OF THIS AWC OR CEASE ACTING IN SUCH A CAPACITY UNTIL THEY HAVE SO REQUALIFIED - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - IN CONTRAVENTION OF THE BOARD OF GOVERNORS' FREE-RIDING AND WITHHOLDING INTERPRETATION, RESPONDENTS JAKUBOVIE AND NASH PURCHASED FOR THE ACCOUNTS OF RESTRICTED PERSONS SHARES OF A NEW ISSUE THAT TRADED AT A PREMIUM IN THE IMMEDIATE AFTERMARKET).

\$2,000.00 PAID ON 5/7/91 INVOICE #91-8A-402

Reporting Source:

Individual

Regulatory Action Initiated By:

NASD - DISTRICT NO. 8

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

03/22/1991

Docket/Case Number:

CHI-1353-AWC

Employing firm when activity occurred which led to the regulatory action:**Product Type:****Other Product Type(s):****Allegations:**

LETTER OF ACCEPTANCE, WAIVER AND CONSENT
CHI-1353-AWC ALLEGEDLY AGENT'S CONDUCT IS IN VIOLATION OF
ARTICLE III, SECTION 1 OF THE ASSOCIATION'S RULE OF FAIR
PRACTICE

Current Status:

Final

Resolution:

Consent

Resolution Date:

03/22/1991

Sanctions Ordered:

Censure
Monetary/Fine \$2,000.00

Other Sanctions Ordered:**Sanction Details:**

NOTICE OF ACCEPTANCE OF LETTER OF ACCEPTANCE,
WAIVER AND CONSENT CSA900024 (PREVIOUSLY CHI-1353-AWC)
WITHOUT
ADMITTING OR DENYING,
MR. NASH CONSENTS TO A PENALTY OF CENSURE, A \$2,000. FINE AND
A REQUIREMENT TO REQUALIFY BY EXAMINATION AS A REPRESENTATIVE
WITHIN 90 DAYS STARTING FROM 3-22-91.

**Broker Statement**

MR. NASH HAS ALREADY PAID FINE OF \$2,000.
WITHOUT ADMITTING OR DENYING ALLEGED MISCONDUCT ALLEGATIONS,
MR. NASH CONSENTED TO FINDINGS OF NASD. THE NASD ALLEGATIONS WERE IN RESPONSE TO THE SAME INCIDENT REPORTED 11-28-89 CAUSE #89-0236 OP WHICH I SETTLED "WITHOUT ADMITTING OR DENYING" WITH THE INDIANA SECURITIES DIVISION ON 12-11-89.

Disclosure 2 of 2**Reporting Source:**

Individual

Regulatory Action Initiated By:

STATE OF INDIANA - SECRETARY OF STATE

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

11/28/1989

Docket/Case Number:

89-0236 OP

Employing firm when activity occurred which led to the regulatory action:**Product Type:****Other Product Type(s):****Allegations:**

STATE FILED AN ORDER OF POSTPONEMENT OF AGENT REGISTRATION AGAINST ME ALLEGING VIOLATIONS OF THE INDIANA SECURITIES ACT, DISHONEST AND UNETHICAL PRACTICES IN THE SECURITIES BUSINESS AND THUS MAY HAVE MY AGENT REGISTRATION REVOKED, DENIED OR SUSPENDED.

Current Status:

Final

Resolution:

Consent

Resolution Date:

12/11/1989

Sanctions Ordered:

Monetary/Fine \$1,500.00
Suspension

Other Sanctions Ordered:**Sanction Details:**

I WAIVED MY RIGHTS TO A HEARING AND MY INDIANA SECURITIES AGENT LICENSE WAS RETROACTIVELY SUSPENDED FOR A PERIOD OF (45) DAYS BEGINNING 10-26-89 TO 12-11-89. ALSO, I PAID A FINE IN THE AMOUNT OF \$1,500.00 TO THE INDIANA SECRETARY OF STATE, SECURITIES DIVISION.

Broker Statement

THE INFORMATION ABOVE IS A RESULT OF A CONSENT AGREEMENT SIGNED 12-11-89 - 46 DAYS AFTER TERMINATION. THIS AGREEMENT DOES NOT CONSTITUTE AN ADMISSION OF GUILT BY ME, OF ANY VIOLATION. THE EXECUTION OF THIS CONSENT AGREEMENT SHALL ONLY REPRESENT THE DESIRE OF MYSELF AND THE STATE OF INDIANA TO SETTLE THIS MATTER WITHOUT THE NECESSITY AND BURDEN OF A PUBLIC HEARING.



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: Firm

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: CLIENT ALLEGES INVESTMENTS WERE NOT DIVERSIFIED BASED ON HIS RISK TOLERANCE - 2006-2008. DAMAGES UNSPECIFIED.

Product Type: Debt-Municipal

Alleged Damages: \$0.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 09-07070

Filing date of arbitration/CFTC reparation or civil litigation: 12/16/2009

Customer Complaint Information

Date Complaint Received: 11/19/2008

Complaint Pending? No

Status: Settled

Status Date: 01/30/2011

Settlement Amount: \$15,000.00

Individual Contribution Amount: \$0.00

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: CLIENT ALLEGES INVESTMENTS WERE NOT DIVERSIFIED BASED ON HIS RISK TOLERANCE - 2006-2008. DAMAGES UNSPECIFIED

Product Type: Debt-Municipal



Alleged Damages: \$0.00
Is this an oral complaint? No
Is this a written complaint? No
**Is this an arbitration/CFTC
reparation or civil litigation?** Yes
**Arbitration/Reparation forum
or court name and location:** FINRA
Docket/Case #: 09-07070
**Filing date of
arbitration/CFTC reparation
or civil litigation:** 12/16/2009

Customer Complaint Information

Date Complaint Received: 11/19/2008
Complaint Pending? No
Status: Settled
Status Date: 01/30/2011
Settlement Amount: \$15,000.00
**Individual Contribution
Amount:** \$0.00

Broker Statement RR WAS NOT A PARTY IN THE ARBITRATION CASE NOR WAS HE ASKED TO PARTICIPATE IN THE SETTLEMENT OF THE CASE.

Disclosure 2 of 2

Reporting Source: Individual
**Employing firm when
activities occurred which led
to the complaint:** CITIGROUP GLOBAL MARKETS INC.

Allegations: CLIENT'S AGENT ALLEGED UNSUITABLE INVESTMENTS AND TRADING FOR COMMISSIONS--2002-2007. DAMAGES UNSPECIFIED.

Product Type: Unit Investment Trust(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 01/02/2008
Complaint Pending? No
Status: Denied
Status Date: 04/07/2008
Settlement Amount:
**Individual Contribution
Amount:**

Broker Statement CLAIM DENIED.



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: Individual
Firm Name: MERRILL, LYNCH, PIERCE, FENNER & SMITH, INC
Termination Type: Discharged
Termination Date: 10/26/1989
Allegations: N/A
* (1) PURCHASING STOCK OFFERING IN A
RELATIVE'S ACCOUNT. * SEE #9 BELOW FOR CORRECTION TO THIS
QUESTION *

Product Type:

Other Product Types:

Broker Statement
TERMINATION OF EMPLOYMENT
* CORRECTION TO ITEM #7 OF ORIGINAL DRP REPORTING
THIS ITEM. THE FOLLOWING ALLEGATIONS WERE LISTED IN ERROR:
TRANSFER OF FUNDS FROM EMPLOYEE ACCOUNT TO CLIENT ACCOUNT -
FORGED SIGNATURE OF RELATIVE (DENIED) - TRANSFER OF STOCK TO
RELATIVE'S ACCOUNT - SHARING IN PROFIT FROM SALE OF STOCK
(DENIED). THESE ALLEGATIONS APPLY TO MY PARTNER BUT WERE LISTED
ON MY ORIGINAL DRP THRU CLERICAL ERROR. PLEASE DELETE FROM MY
RECORD!



End of Report

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