



IAPD Report

DANIEL WAYNE CHRISTIANSEN

CRD# 1906425

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 9
Registration and Employment History	11
Disclosure Information	12

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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

DANIEL WAYNE CHRISTIANSEN (CRD# 1906425)

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 **10/10/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	10/05/2011
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	10/06/2011

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **28** 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	RBC CAPITAL MARKETS, LLC	31194	NEW YORK, NY	10/05/2011 - 10/05/2011
IA	B. C. ZIEGLER AND COMPANY	61	ROCKFORD, IL	10/28/2005 - 10/05/2011
B	B. C. ZIEGLER AND COMPANY	61	ROCKFORD, IL	08/20/1997 - 10/05/2011

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



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 **28** jurisdiction(s) and 22 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**
Main Address: 200 VESEY ST.
NEW YORK, NY 10281
Firm ID#: 31194

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Principal	Approved	05/11/2012
B BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	05/11/2012
B BOX Exchange LLC	Registered Options Principal	Approved	05/11/2012
B Cboe BYX Exchange, Inc.	General Securities Principal	Approved	11/18/2020
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	Registered Options Principal	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Principal	Approved	07/06/2021



Qualifications

Regulator	Registration	Status	Date
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	Registered Options Principal	Approved	11/18/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	10/05/2011
B Cboe Exchange, Inc.	Registered Options Principal	Approved	10/05/2011
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	10/20/2011
B Cboe Exchange, Inc.	General Securities Principal	Approved	07/06/2021
B FINRA	General Securities Principal	Approved	10/05/2011
B FINRA	General Securities Representative	Approved	10/05/2011
B FINRA	Invest. Co and Variable Contracts	Approved	10/05/2011
B FINRA	Municipal Securities Principal	Approved	10/05/2011
B FINRA	Registered Options Principal	Approved	10/05/2011
B FINRA	General Securities Sales Supervisor	Approved	10/20/2011
B FINRA	Municipal Securities Representative	Approved	01/08/2021
B Investors' Exchange LLC	General Securities Principal	Approved	11/18/2020



Qualifications

Regulator	Registration	Status	Date
B Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	11/02/2020
B MEMX LLC	General Securities Principal	Approved	11/01/2020
B MEMX LLC	General Securities Representative	Approved	11/01/2020
B MEMX LLC	General Securities Sales Supervisor	Approved	11/01/2020
B MIAX PEARL, LLC	General Securities Principal	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	11/02/2020
B MIAX PEARL, LLC	Registered Options Principal	Approved	11/02/2020
B NYSE American LLC	General Securities Principal	Approved	10/05/2011
B NYSE American LLC	General Securities Representative	Approved	10/05/2011
B NYSE American LLC	Municipal Securities Principal	Approved	10/05/2011
B NYSE American LLC	Registered Options Principal	Approved	10/05/2011
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE American LLC	Municipal Securities Representative	Approved	01/08/2021
B NYSE Arca, Inc.	General Securities Principal	Approved	10/05/2011
B NYSE Arca, Inc.	General Securities Representative	Approved	10/05/2011



Qualifications

Regulator	Registration	Status	Date
B NYSE Arca, Inc.	Registered Options Principal	Approved	10/05/2011
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/20/2011
B NYSE National, Inc.	General Securities Principal	Approved	11/18/2020
B NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B NYSE National, Inc.	Municipal Securities Principal	Approved	11/18/2020
B NYSE National, Inc.	Municipal Securities Representative	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Principal	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Principal	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq GEMX, LLC	Registered Options Principal	Approved	11/18/2020
B Nasdaq ISE, LLC	General Securities Principal	Approved	10/05/2011
B Nasdaq ISE, LLC	General Securities Representative	Approved	10/05/2011
B Nasdaq ISE, LLC	Registered Options Principal	Approved	10/05/2011
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Principal	Approved	10/05/2011

**Qualifications**

Regulator	Registration	Status	Date
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/05/2011
B Nasdaq PHLX LLC	Registered Options Principal	Approved	10/05/2011
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	10/20/2011
B Nasdaq Stock Market	General Securities Principal	Approved	10/05/2011
B Nasdaq Stock Market	General Securities Representative	Approved	10/05/2011
B Nasdaq Stock Market	Registered Options Principal	Approved	10/05/2011
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	10/20/2011
B Nasdaq Texas, LLC	General Securities Principal	Approved	10/05/2011
B Nasdaq Texas, LLC	General Securities Representative	Approved	10/05/2011
B Nasdaq Texas, LLC	Registered Options Principal	Approved	10/05/2011
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	10/20/2011
B New York Stock Exchange	General Securities Principal	Approved	10/05/2011
B New York Stock Exchange	General Securities Representative	Approved	10/05/2011
B New York Stock Exchange	Municipal Securities Principal	Approved	10/05/2011
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B New York Stock Exchange	Municipal Securities Representative	Approved	01/08/2021
B Arizona	Agent	Approved	02/02/2017
B Arkansas	Agent	Approved	02/11/2013
B California	Agent	Approved	10/05/2011



Qualifications

Regulator	Registration	Status	Date
B Colorado	Agent	Approved	08/20/2021
B Delaware	Agent	Approved	04/03/2012
B District of Columbia	Agent	Approved	03/25/2013
B Florida	Agent	Approved	10/17/2011
IA Florida	Investment Adviser Representative	Approved	01/18/2024
B Georgia	Agent	Approved	10/05/2011
B Illinois	Agent	Approved	10/05/2011
IA Illinois	Investment Adviser Representative	Approved	10/06/2011
B Indiana	Agent	Approved	06/26/2024
B Iowa	Agent	Approved	10/23/2020
B Kansas	Agent	Approved	10/05/2011
B Minnesota	Agent	Approved	11/18/2014
B Missouri	Agent	Approved	10/05/2011
B Montana	Agent	Approved	06/26/2024
B Nevada	Agent	Approved	06/15/2018
B New York	Agent	Approved	01/24/2021
B North Carolina	Agent	Approved	07/20/2022
B Ohio	Agent	Approved	10/05/2011
B Oklahoma	Agent	Approved	11/30/2022



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	06/27/2024
B South Carolina	Agent	Approved	04/11/2023
B Tennessee	Agent	Approved	03/01/2012
B Texas	Agent	Approved	10/05/2011
IA Texas	Investment Adviser Representative	Restricted Approval	02/05/2015
B Virginia	Agent	Approved	11/29/2022
B Washington	Agent	Approved	08/23/2021
B Wisconsin	Agent	Approved	10/18/2011
B Wyoming	Agent	Approved	07/16/2021

Branch Office Locations

RBC CAPITAL MARKETS, LLC
2215 PERRYGREEN WAY
SUITE A
ROCKFORD, IL 61107-6811

RBC CAPITAL MARKETS, LLC
Eastpoint, FL








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 5 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	11/12/2009
 Municipal Securities Principal Examination (S53)	Series 53	05/23/2008
 General Securities Principal Examination (S24)	Series 24	07/31/2002

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/16/1997
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/20/1988

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/28/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/01/1989



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	10/05/2011 - 10/05/2011	RBC CAPITAL MARKETS, LLC	CRD# 31194	NEW YORK, NY
IA	10/28/2005 - 10/05/2011	B. C. ZIEGLER AND COMPANY	CRD# 61	ROCKFORD, IL
B	08/20/1997 - 10/05/2011	B. C. ZIEGLER AND COMPANY	CRD# 61	ROCKFORD, IL
B	12/22/1988 - 08/28/1997	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	12/22/1988 - 08/28/1997	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	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
10/2011 - Present	RBC CAPITAL MARKETS LLC	FINANCIAL ADVISOR	Y	ROCKFORD, IL, United States
01/2018 - 05/2023	City National Bank	Employee of an affiliate	Y	Rockford, IL, 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.

No information reported.



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

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:	STATE OF WISCONSIN COMMISSIONER OF INSURANCE
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	ADMINISTRATIVE
Date Initiated:	07/05/1994
Docket/Case Number:	23549
Employing firm when activity occurred which led to the regulatory action:	METLIFE
Product Type:	Insurance
Other Product Type(s):	
Allegations:	SOLICITING INSURANCE CONTRACTS WITHOUT A VALID INSURANCE LICENSE.
Current Status:	Final
Resolution:	Order
Resolution Date:	07/05/1994
Sanctions Ordered:	Monetary/Fine \$500.00
Other Sanctions Ordered:	
Sanction Details:	\$500 FORFEITURE TO STATE OF WISCONSIN



Broker Statement

WHILE EMPLOYED AT METLIFE THE EMPLOYER MAINTAINED AND COVERED LICENSE FEES. INADVERTENTLY, MY WISCONSIN INSURANCE HAD NOT BEEN RENEWED AND WHEN ATTEMPTING TO OBTAIN AN APPOINTMENT FOR HEALTH INSURANCE, THE DEFICIENCY WAS DISCOVERED. THE DEFICIENCY WAS BROUGHT TO THE STATE OF WISCONSIN'S ATTENTION BY METLIFE AND MYSELF. THE STATE OF WISCONSIN HELD A HEARING AND ENTERED A FORFEITURE ORDER FOR \$9,000 AGAINST METLIFE AND \$500 AGAINST MYSELF. I WAS REQUIRED TO REAPPLY FOR LICENSE STATUS.



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: B.C. ZIEGLER AND COMPANY

Allegations: CUSTOMER ALLEGED THEIR INVESTMENTS MADE IN CERTAIN REITS AND LIMITED PARTNERSHIPS WERE UNSUITABLE. THEY ARE ALSO ALLEGING NEGLIGENCE, MISREPRESENTATION, OMISSION, BREACH OF CONTRACT, CONSTRUCTIVE FRAUD AND NEGLIGENT SUPERVISION.

Product Type: Direct Investment-DPP & LP Interests
Real Estate Security

Alleged Damages: \$311,000.00

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 #: 11-03720

Filing date of arbitration/CFTC reparation or civil litigation: 09/23/2011

Customer Complaint Information

Date Complaint Received: 10/03/2011

Complaint Pending? No

Status: Settled

Status Date: 01/15/2013

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: B.C. ZIEGLER AND COMPANY

Allegations: CUSTOMER IS ALLEGING THAT THEIR INVESTMENTS MADE IN CERTAIN REITS AND LIMITED PARTNERSHIPS WERE UNSUITABLE. THEY ARE ALSO



ALLEGING NEGLIGENCE, MISREPRESENTATION, OMISSION, BREACH OF CONTRACT, CONSTRUCTIVE FRAUD AND NEGLIGENT SUPERVISION.

Product Type: Direct Investment-DPP & LP Interests
Real Estate Security

Alleged Damages: \$311,000.00

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 #: 11-03720

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 09/23/2011

Customer Complaint Information

Date Complaint Received: 10/03/2011

Complaint Pending? No

Status: Settled

Status Date: 01/15/2013

Settlement Amount: \$35,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement

THE COMPLAINT CAME DIRECTLY TO ZIEGLER AS A ARBITRATION CASE AND WAS SETTLED BY ZIEGLER AS A STRATEGIC DECISION DUE TO THE COST OF LITIGATION. NO COMPLAINT WAS RECEIVED PRIOR TO LITIGATION. THE MATTER WAS SETTLED WITHOUT MY INVOLVEMENT AND NO MONIES WERE PAID BY ME.



End of Report

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