



## IAPD Report

# ROBERT ALAN DAVENPORT

CRD# 1988964

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	8 - 9
Disclosure Information	10

**i** When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.  
Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### ROBERT ALAN DAVENPORT (CRD# 1988964)

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 **08/22/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	12/01/2006
<b>IA</b>	KPP ADVISORY SERVICES LLC	CRD# 289507	10/05/2017

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **44** 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>IA</b>	LPL FINANCIAL LLC	6413	LOUISVILLE, KY	12/01/2006 - 03/01/2018
<b>B</b>	NEW ENGLAND SECURITIES	615	LOUISVILLE, KY	06/01/2005 - 12/01/2006
<b>B</b>	AXA ADVISORS, LLC	6627	NEW YORK, NY	11/30/1989 - 05/31/2005

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

### Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**  
Main Address: 1055 LPL WAY  
FORT MILL, SC 29715  
Firm ID#: 6413

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Principal	Approved	12/01/2006
<b>B</b>	FINRA	General Securities Representative	Approved	12/01/2006
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	12/01/2006
<b>B</b>	FINRA	Investment Co./Variable Contracts Prin	Approved	12/01/2006
<b>B</b>	Alabama	Agent	Approved	08/18/2015
<b>B</b>	Alaska	Agent	Approved	08/24/2015
<b>B</b>	Arizona	Agent	Approved	11/09/2012
<b>B</b>	Arkansas	Agent	Approved	03/20/2023
<b>B</b>	California	Agent	Approved	02/09/2009
<b>B</b>	Colorado	Agent	Approved	01/30/2012
<b>B</b>	Connecticut	Agent	Approved	01/25/2023
<b>B</b>	Delaware	Agent	Approved	01/28/2009
<b>B</b>	District of Columbia	Agent	Approved	08/23/2013



## Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	05/13/2008
B	Georgia	Agent	Approved	05/04/2010
B	Idaho	Agent	Approved	09/05/2023
B	Illinois	Agent	Approved	08/26/2010
B	Indiana	Agent	Approved	12/08/2006
B	Kansas	Agent	Approved	12/01/2006
B	Kentucky	Agent	Approved	12/01/2006
B	Louisiana	Agent	Approved	02/23/2011
B	Maine	Agent	Approved	12/22/2014
B	Maryland	Agent	Approved	05/08/2015
B	Massachusetts	Agent	Approved	07/17/2020
B	Michigan	Agent	Approved	01/31/2007
B	Minnesota	Agent	Approved	04/30/2008
B	Mississippi	Agent	Approved	04/15/2008
B	Missouri	Agent	Approved	01/18/2008
B	Montana	Agent	Approved	09/06/2022
B	Nevada	Agent	Approved	03/29/2022
B	New Hampshire	Agent	Approved	06/21/2023
B	New Jersey	Agent	Approved	02/14/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New York	Agent	Approved	08/31/2015
<b>B</b> North Carolina	Agent	Approved	12/01/2006
<b>B</b> Ohio	Agent	Approved	04/21/2008
<b>B</b> Oklahoma	Agent	Approved	08/24/2015
<b>B</b> Oregon	Agent	Approved	08/19/2022
<b>B</b> Pennsylvania	Agent	Approved	01/05/2009
<b>B</b> Rhode Island	Agent	Approved	07/22/2024
<b>B</b> South Carolina	Agent	Approved	08/17/2010
<b>B</b> Tennessee	Agent	Approved	02/27/2013
<b>B</b> Texas	Agent	Approved	12/01/2006
<b>B</b> Utah	Agent	Approved	09/11/2020
<b>B</b> Vermont	Agent	Approved	04/23/2012
<b>B</b> Virginia	Agent	Approved	02/03/2011
<b>B</b> Washington	Agent	Approved	01/09/2020
<b>B</b> West Virginia	Agent	Approved	05/13/2020
<b>B</b> Wisconsin	Agent	Approved	10/05/2018

#### Branch Office Locations

**LPL FINANCIAL LLC**  
 9300 SHELBYVILLE RD STE. 1310  
 LOUISVILLE, KY 40222-5170

**LPL FINANCIAL LLC**  
 406 E MOUNT VERNON ST  
 SOMERSET, KY 42501

#### Employment 2 of 2



## Qualifications

Firm Name: **KPP ADVISORY SERVICES LLC**  
Main Address: 9300 SHELBYVILLE RD.  
SUITE 1310  
LOUISVILLE, KY 40222  
Firm ID#: 289507

Regulator	Registration	Status	Date
<b>IA</b> Kentucky	Investment Adviser Representative	Approved	10/10/2017
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	10/06/2017

### Branch Office Locations

**KPP ADVISORY SERVICES LLC**  
9300 SHELBYVILLE RD.  
SUITE 1310  
LOUISVILLE, KY 40222



## 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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
Municipal Securities Principal Examination (S53)	Series 53	03/22/2004
General Securities Principal Examination (S24)	Series 24	07/20/1999
Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	05/30/1996

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	05/26/1999
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/29/1989

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	04/09/1999
Uniform Securities Agent State Law Examination (S63)	Series 63	11/06/1989

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor



representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	12/01/2006 - 03/01/2018	LPL FINANCIAL LLC	CRD# 6413	LOUISVILLE, KY
B	06/01/2005 - 12/01/2006	NEW ENGLAND SECURITIES	CRD# 615	LOUISVILLE, KY
B	11/30/1989 - 05/31/2005	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
IA	06/01/2001 - 12/31/2002	AXA ADVISORS, LLC	CRD# 6627	LOUISVILLE, KY
B	11/30/1989 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	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
09/2017 - Present	KPP Advisory Services LLC	Investment Adviser Representative	Y	Louisville, KY, United States
12/2006 - Present	LPL FINANCIAL, LLC	Registered Representative	Y	LOUISVILLE, KY, 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.

- 10/22/2013 - KENTUCKY PLANNING PARTNERS, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - MR. DAVENPORT IS AN IAR.
- 9/8/2014 - RAD FINANCIAL - Investment Related - At Reported Business Location(s) - BUSINESS ENTITY FOR TAX/INVESTMENT PURPOSES ONLY - Started 08/14/2014 - 2 HOURS PER MONTH/0 HOURS DURING SECURITIES TRADING.
- 11/2/2017 - KPP Advisory Services LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Started 10/02/2017 - 40 Hours Per Month During Securities Trading - I provide investment advisory services through KPP Advisory Services LLC, an independent investment advisor firm. I started this business activity in 10/2017. I expect to spend approximately 40 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
- 01/25/2018 - Kentucky Planning Partners (KPP) - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - We are wanting to start using Crump again for some of our fixed insurance cases. I would be writing this insurance in



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

joint work cases with Andy Southworth and Ken O'Neil, both are advisors in the KPP office. They of course will submit new OBA's as well. Crump would pay KPP, then KPP would pay the advisors after we take a reasonable override of 20%. None of us are owners of Crump in any way, They are merely a large General Agency. - Start Date 01/09/2018 - 3 Hours Per Month / 0 Hours During Trading - Fixed annuities, life insurance, long term care insurance.

5. 6/2/2021 - Levinson and Associates - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Started 06/11/2021 - 2 Hours Per Month/1 Hour During Securities Trading - Fixed life insurance.

6. 07/29/2021 - Team Jedi Properties, LLC - Not Investment Related - At Reported Business Location(s) - Business Entity For Tax/Investment Purposes Only - Start Date: 08/01/2021 - 1 Hour Per Month/0 Hours During Securities Trading - Team Jedi Properties LLC is 1/8th of Destin Sandestin Hospitality, LLC.

7. 12/5/2022 - ROKE Properties, LLC - Not Investment Related - 406 East Mt. Vernon Street Somerset, KY 42501-91 - Business Entity For Tax/Investment Purposes Only - Start Date - 12/15/2022 - 0 Hours Per Month/0 Hours During Securities 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
Customer Dispute	2

### 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	AXA ADVISORS, LLC
<b>Allegations:</b>	CLAIMANT ALLEGES THE SALE OF A 2004 VARIABLE ANNUITY WAS NOT SUITABLE GIVEN THE CLAIMANT'S FINANCIAL NEEDS AND INVESTMENT OBJECTIVES. THE CLAIMANT ALSO ALLEGES, MISREPRESENTATIONS WERE MADE WITH REGARDS TO PENALTIES, SURRENDER CHARGES AND SURRENDER PERIOD. CLAIMANT IS SEEKING DAMAGES IN EXCESS OF \$100,000.00 AND REQUESTS TO BE REIMBURSED FOR LOSSES, PLUS PUNITIVE DAMAGES, INTEREST AND COSTS.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$0.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	08-04929
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	01/02/2009



### Customer Complaint Information

**Date Complaint Received:** 01/02/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 01/02/2009

**Settlement Amount:** \$15,000.00

**Individual Contribution Amount:** \$5,000.00

### Arbitration Information

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

**Docket/Case #:** 08-04929

**Date Notice/Process Served:** 01/02/2009

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 10/09/2009

**Monetary Compensation Amount:** \$15,000.00

**Individual Contribution Amount:** \$5,000.00

**Firm Statement** WITHOUT ADMITTING FAULT OR LIABILITY, ALL PARTIES AGREED TO SETTLE THE MATTER FOR \$15,000. RR ROBERT DAVENPORT'S ERRORS & OMISSIONS CARRIER CONTRIBUTED \$5,000 TO THE SETTLEMENT ON HIS BEHALF.

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** AXA ADVISORS, LLC

**Allegations:** CLAIMANT ALLEGES THE SALE OF A 2004 VARIABLE ANNUITY WAS NOT SUITABLE GIVEN THE CLAIMANT'S FINANCIAL NEEDS AND INVESTMENT OBJECTIVES. THE CLAIMANT ALSO ALLEGES, MISREPRESENTATIONS WERE MADE WITH REGARDS TO PENALTIES, SURRENDER CHARGES AND SURRENDER PERIOD. CLAIMANT IS SEEKING DAMAGES IN EXCESS OF \$100,000.00 AND REQUESTS TO BE REIMBURSED FOR LOSSES, PLUS PUNITIVE DAMAGES, INTEREST AND COSTS.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 01/02/2009

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)



**Status Date:** 01/02/2009

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

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

**Docket/Case #:** 09-04929

**Date Notice/Process Served:** 01/02/2009

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 10/09/2009

**Monetary Compensation Amount:** \$15,000.00

**Individual Contribution Amount:** \$5,000.00

**Broker Statement** WITHOUT ADMITTING FAULT OR LIABILITY, ALL PARTIES AGREED TO SETTLE THE MATTER FOR \$15,000. RR ROBERT DAVENPORT'S ERRORS AND OMISSIONS CARRIER CONTRIBUTED \$5,000 TO THE SETTLEMENT ON HIS BEHALF.

#### Disclosure 2 of 2

**Reporting Source:** Firm

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

**Allegations:** CLIENT ALLEGES THE SALE OF A 2004 VARIABLE ANNUITY WAS NOT APPROPRIATE FOR HIS NEEDS. CLIENT ALLEGES THE APPROPRIATENESS OF THIS ANNUITY WERE NOT MET WITH REGARD TO HIS AGE, ANNUAL INCOME, FINANCIAL SITUATION, INVESTMENT OBJECTIVES, LIQUIDITY NEEDS, EXISTING INVESTMENTS AND LIQUID NET WORTH. CLIENT IS REQUESTING THE FIRM TO REIMBURSE LOSSES, INCLUDING PENALTY PAYMENTS, WHICH WILL BE NECESSITATED BY THE EARLY TERMINATION OF THIS VARIABLE ANNUITY PRODUCT & TRANSFER OF ASSETS INTO A MORE AGE APPROPRIATE RETIREMENT VEHICLE. DAMAGES ARE UNSPECIFIED.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$0.00

#### Customer Complaint Information

**Date Complaint Received:** 07/25/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/13/2008

**Settlement Amount:**

**Individual Contribution****Amount:****Firm Statement**THE FIRM FOUND NO BASIS TO THE CUSTOMER'S COMPLAINT.  
.....**Reporting Source:**

Individual

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

AXA ADVISORS

**Allegations:**

CLIENT ALLEGES THE SALE OF A 2004 VARIABLE ANNUITY WAS NOT APPROPRIATE FOR HIS NEEDS. CLIENTS ALLEGES THE APPROPRIATENESS OF THIS ANNUITY WERE NOT MET WITH REGARD TO HIS AGE, ANNUAL INCOME, FINANCIAL SITUATION, INVESTMENT OBJECTIVES, LIQUIDTY NEEDS, EXISTING INVESTMENTS AND LIQUID NET WORTH. CLIENT IS REQUESTING THE FIRM TO REIMBURSE LOSSES, INCLUDING PENALTY PAYMENTS, WHICH WILL BE NECESSITATED BY THE EARLY TERMINATION OF THIS VARIABLE ANNUITY PRODUCT & TRANSFER OF ASSETS INTO A MORE AGE APPROPRIATE RETIREMENT VEHICLE. DAMAGES ARE UNSPECIFIED.

**Product Type:**

Annuity(ies) - Variable

**Alleged Damages:**

\$0.00

**Customer Complaint Information****Date Complaint Received:**

07/25/2008

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

08/13/2008

**Settlement Amount:****Individual Contribution****Amount:****Broker Statement**

THE FIRM FOUND NO BASIS TO THE CUSTOMER'S COMPLAINT.



## End of Report

This page is intentionally left blank.