



## IAPD Report

# THOMAS JAMES VETH

CRD# 1999499

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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

### THOMAS JAMES VETH (CRD# 1999499)

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 **12/22/2025**.

### CURRENT EMPLOYERS

|    | Firm                             | CRD#        | Registered Since |
|----|----------------------------------|-------------|------------------|
| B  | CETERA FINANCIAL SPECIALISTS LLC | CRD# 10358  | 10/31/2024       |
| IA | CETERA INVESTMENT ADVISERS LLC   | CRD# 105644 | 10/31/2024       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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  | B. RILEY WEALTH MANAGEMENT      | 2543   | ATLANTIC HIGHLANDS, NJ | 07/22/2022 - 11/24/2024 |
| IA | B. RILEY WEALTH ADVISORS, INC.  | 115927 | ATLANTIC HIGHLANDS, NJ | 11/14/2017 - 11/24/2024 |
| B  | NATIONAL SECURITIES CORPORATION | 7569   | ATLANTIC HIGHLANDS, NJ | 01/22/2010 - 07/22/2022 |

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     |
| 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 **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **CETERA FINANCIAL SPECIALISTS LLC**

Main Address: 1450 AMERICAN LANE  
6TH FLOOR, SUITE #650  
SCHAUMBURG, IL 60173

Firm ID#: 10358

|   | Regulator      | Registration                      | Status   | Date       |
|---|----------------|-----------------------------------|----------|------------|
| B | FINRA          | General Securities Principal      | Approved | 10/31/2024 |
| B | FINRA          | General Securities Representative | Approved | 10/31/2024 |
| B | FINRA          | Invest. Co and Variable Contracts | Approved | 10/31/2024 |
| B | Colorado       | Agent                             | Approved | 11/01/2024 |
| B | Florida        | Agent                             | Approved | 11/01/2024 |
| B | Michigan       | Agent                             | Approved | 11/25/2024 |
| B | New Jersey     | Agent                             | Approved | 10/31/2024 |
| B | New York       | Agent                             | Approved | 11/05/2024 |
| B | North Carolina | Agent                             | Approved | 11/26/2024 |
| B | Ohio           | Agent                             | Approved | 10/31/2024 |
| B | Pennsylvania   | Agent                             | Approved | 11/01/2024 |
| B | South Carolina | Agent                             | Approved | 11/01/2024 |
| B | Virginia       | Agent                             | Approved | 11/25/2024 |



## Qualifications

### Branch Office Locations

107 MEMORIAL PARKWAY HIGHWAY 36 E  
ATLANTIC HIGHLANDS, NJ 07716

### Employment 2 of 2

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

|    | Regulator  | Registration                      | Status   | Date       |
|----|------------|-----------------------------------|----------|------------|
| IA | New Jersey | Investment Adviser Representative | Approved | 10/31/2024 |

### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
107 MEMORIAL PKW HWY 36 EAST  
ATLANTIC HIGHLANDS, NJ 07716



## 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       |
|----------|------------------------------------------------|-----------|------------|
| <b>B</b> | General Securities Principal Examination (S24) | Series 24 | 10/29/1993 |

#### General Industry/Product Exams

|          | Exam                                                                           | Category | Date       |
|----------|--------------------------------------------------------------------------------|----------|------------|
| <b>B</b> | Securities Industry Essentials Examination (SIE)                               | SIE      | 10/01/2018 |
| <b>B</b> | General Securities Representative Examination (S7)                             | Series 7 | 10/27/1993 |
| <b>B</b> | Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 10/20/1989 |

#### State Securities Law Exams

|                    | Exam                                                 | Category  | Date       |
|--------------------|------------------------------------------------------|-----------|------------|
| <b>IA</b> <b>B</b> | Uniform Combined State Law Examination (S66)         | Series 66 | 10/12/2017 |
| <b>B</b>           | Uniform Securities Agent State Law Examination (S63) | Series 63 | 01/25/1996 |



### 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  | 07/22/2022 - 11/24/2024 | B. RILEY WEALTH MANAGEMENT      | CRD# 2543   | ATLANTIC HIGHLANDS, |
| IA | 11/14/2017 - 11/24/2024 | B. RILEY WEALTH ADVISORS, INC.  | CRD# 115927 | ATLANTIC HIGHLANDS, |
| B  | 01/22/2010 - 07/22/2022 | NATIONAL SECURITIES CORPORATION | CRD# 7569   | ATLANTIC HIGHLANDS, |
| B  | 05/14/2004 - 01/20/2010 | GUNNALLEN FINANCIAL, INC        | CRD# 17609  | ATLANTIC HIGHLANDS, |
| B  | 01/03/2001 - 05/18/2004 | NATIONAL SECURITIES CORPORATION | CRD# 7569   | BOCA RATON, FL      |
| B  | 10/23/1989 - 08/01/2000 | TFS SECURITIES, INC.            | CRD# 20626  | LINCROFT, NJ        |

### 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                     |
|-------------------|-------------------------------------------------|-----------------------------------|--------------------|---------------------------------------|
| 10/2024 - Present | CETERA FINANCIAL SPECIALISTS LLC                | REGISTERED REP                    | Y                  | SCHAUMBURG, IL, United States         |
| 10/2024 - Present | CETERA INVESTMENT ADVISERS LLC                  | INVESTMENT ADVISER REPRESENTATIVE | Y                  | SCHAUMBURG, IL, United States         |
| 07/2022 - Present | B. RILEY WEALTH MANAGEMENT                      | Mass Transfer                     | Y                  | ATLANTIC HIGHLANDS, NJ, United States |
| 03/2007 - Present | HARTSHORE ASSOCIATES LTD                        | PARTNER                           | N                  | ATLANTIC HIGHLANDS, NJ, United States |
| 03/2003 - Present | ATLANTIC COAST TITLE AGENCY, LLC                | OWNER                             | N                  | ATLANTIC HIGHLANDS, NJ, United States |
| 01/1991 - Present | NOTARY PUBLIC- THOMAS J. VETH - SOLE PROPRIETOR | NOTARY PUBLIC                     | N                  | ATLANTIC HIGHLANDS, NJ, United States |
| 12/1971 - Present | THOMAS J. VETH CPA PC                           | OWNER                             | Y                  | ATLANTIC HIGHLANDS, NJ, United States |



## Registration & Employment History

### EMPLOYMENT HISTORY

| Employment Dates  | Employer Name             | Position                      | Investment Related | Employer Location                     |
|-------------------|---------------------------|-------------------------------|--------------------|---------------------------------------|
| 11/2017 - 07/2022 | NATIONAL ASSET MANAGEMENT | REGISTERED INVESTMENT ADVISOR | Y                  | ATLANTIC HIGHLANDS, NJ, United States |
| 01/2010 - 07/2022 | NATIONAL SECURITIES CORP  | REGISTERED REPRESENTATIVE     | Y                  | NEW YORK, 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.

1. ATLANTIC COAST TITLE AGENCY LLC, NOT INVESTMENT RELATED, OWNER, TITLE SEARCHES AND CLOSING AGENT FOR REAL ESTATE PURCHASES AND REFINANCES, 4H/MONTH, 0 HOURS/MONTH DURING TRADING HOURS, SINCE 03/2003.
2. HARTSHORNE ASSOCIATES LTD, NOT INVESTMENT RELATED, ADDRESS SAME AS REGISTERED BRANCH, PARTNER, COLLECT RENTS, PAY EXPENSES AND FILE TAX RETURNS, 5HOURS/MONTH, 0 HOURS/MONTH DURING TRADING HOURS, SINCE 03/2007.
3. INSURANCE AGENT, NOT INVESTMENT RELATED, SAME AS REGISTERED BRANCH, SALES OF HEALTH INSURANCE, 4 HOURS/MONTH, SINCE 05/2011
4. BPOE LODGE #742, NOT INVESTMENT RELATED, LONG BRANCH, NJ, COMPLETE NON-PROFIT TAX RETURNS, CPA, 4 HOURS/MONTH, 0 HOURS/MONTH DURING TRADING HOURS, SINCE 12/2018.
5. NOTARY PUBLIC, NOT INVESTMENT RELATED, ADDRESS SAME AS REGISTERED BRANCH, NOTARIZE DOCUMENTS FOR NO CHARGE, OWNER, .8 HOURS/MONTH, SINCE 08/2018.
6. PROPERTY AND CASUALTY INSURANCE AGENT, NOT INVESTMENT RELATED, ADDRESS SAME AS REGISTERED BRANCH, SOLE PROPRIETOR/AGENT, 4 HOURS/MONTH, SINCE 05/2011.
7. REAL ESTATE OWNERSHIP, INVESTMENT RELATED, ADDRESS SAME AS REGISTERED BRANCH, PART OWNER, TIMESHARES/SINGLE FAMILY HOME, SINCE 03/2007, 4 HOURS/MONTH.
8. THOMAS J VETH CPA PC, NOT INVESTMENT RELATED, ADDRESS SAME AS REGISTERED BRANCH, OWNER, CPA, PREPARATION OF INDIVIDUAL, ESTATE AND CORPORATE TAX RETURNS, CONSULTING AND TAX PLANNING, 44H/WEEK, 26 HOURS/MONTH DURING TRADING HOURS, SINCE 12/1971.
9. THOMAS J VETH, TRAVEL AGENT, NOT INVESTMENT RELATED, ADDRESS SAME AS REGISTERED BRANCH, THROUGH INTELETRAVEL, OWNER, SOLE PROPRIETOR, TRAVEL AGENT SERVICES, ARRANGE TRAVEL FOR FAMILY AND FRIENDS, 4H/MONTH, 0 DURING TRADING HOURS SINCE 10/2004.





## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

10. THOMAS J. VETH WEALTH MANAGEMENT, INVESTMENT RELATED - DBA BRANCH OFFICE FOR CETERA FINANCIAL SERVICES 107 MEMORIAL PKY HIGHWAY 36

ATLANTIC HIGHLANDS, NJ 07716 REGISTERED PRINCIPAL 78 HOURS PER MONTH 78 HOURS FOR TRADING  
10/2024



## 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     |
| 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**

|                                                                                  |                                                                                                                                    |
|----------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b>                                                         | Regulator                                                                                                                          |
| <b>Regulatory Action Initiated By:</b>                                           | NATIONAL ASSOCIATION OF SECURITIES DEALERS                                                                                         |
| <b>Sanction(s) Sought:</b>                                                       |                                                                                                                                    |
| <b>Date Initiated:</b>                                                           | 12/14/2001                                                                                                                         |
| <b>Docket/Case Number:</b>                                                       | C9B010107                                                                                                                          |
| <b>Employing firm when activity occurred which led to the regulatory action:</b> | TFS SECURITIES, INC.                                                                                                               |
| <b>Product Type:</b>                                                             | No Product                                                                                                                         |
| <b>Allegations:</b>                                                              | NASD CONDUCT RULES 2110 AND 3030 - RESPONDENT VETH ENGAGED IN OUTSIDE BUSINESS ACTIVITIES WITHOUT PRIOR NOTICE TO HIS MEMBER FIRM. |
| <b>Current Status:</b>                                                           | Final                                                                                                                              |
| <b>Resolution:</b>                                                               | Acceptance, Waiver & Consent(AWC)                                                                                                  |
| <b>Resolution Date:</b>                                                          | 12/14/2001                                                                                                                         |
| <b>Sanctions Ordered:</b>                                                        | Censure<br>Civil and Administrative Penalty(ies)/Fine(s)                                                                           |
| <b>Regulator Statement</b>                                                       | CENSURED AND FINED \$5,000. FINED PAID 1/22/2002.                                                                                  |

**Reporting Source:** Individual



|                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|----------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Regulatory Action Initiated By:</b>                                           | NASD                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Sanction(s) Sought:</b>                                                       | Other                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Other Sanction(s) Sought:</b>                                                 | CENSURE & FINE OF \$5000.00                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>Date Initiated:</b>                                                           | 09/29/2000                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Docket/Case Number:</b>                                                       | NO C9B010107                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>Employing firm when activity occurred which led to the regulatory action:</b> | TFS SECURITIES INC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>Product Type:</b>                                                             | Other                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Other Product Type(s):</b>                                                    | COMMON SHARES                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Allegations:</b>                                                              | <p>DURING THE PERIOD FROM ON OR ABOUT JULY 30, 1999, THROUGH ON OR ABOUT JANUARY 31, 2000, THOMAS J VETH ENGAGED IN OUTSIDE BUSINESS ACTIVITIES WITHOUT PRIOR NOTICE TO THE MEMBER FIRM WITH WHICH HE WAS THEN ASSOCIATED. SPECIFICALLY, VETH BECAME AN OFFICER OF DUAL MEDIA MARKETING WHICH MERGED WITH GLOBAL DEVELOPMENT CORPORATION ON OCTOBER 18, 1999. VETH COLLECTED SHARES OF THESE ENTITIES IN RETURN FOR ACCOUNTING SERVICES.</p> <p>SUCH ACTS, PRACTICES, AND CONDUCT CONSTITUTE SEPERATE AND DISTINCT VIOLATIONS OF NASD CONDUCT RULES 2110 AND 3030.</p> |
| <b>Current Status:</b>                                                           | Final                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Resolution:</b>                                                               | Acceptance, Waiver & Consent(AWC)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>Resolution Date:</b>                                                          | 12/14/2001                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Sanctions Ordered:</b>                                                        | Censure<br>Monetary/Fine \$5,000.00                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Other Sanctions Ordered:</b>                                                  | CENSURE AND FINE OF \$5000.00                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Sanction Details:</b>                                                         | A CENSURE AND MONETARY FINE OF \$5000.00<br>DATE PAID: 01/18/2002 PAID IN FULL.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |



## 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

|                             |                                                                                            |
|-----------------------------|--------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b>    | Individual                                                                                 |
| <b>Firm Name:</b>           | TFS SECURITIES, INC.                                                                       |
| <b>Termination Type:</b>    | Discharged                                                                                 |
| <b>Termination Date:</b>    | 07/26/2000                                                                                 |
| <b>Allegations:</b>         | TFS SECURITIES INC. BELIEVED THAT I WAS SELLING AWAY                                       |
| <b>Product Type:</b>        | Other                                                                                      |
| <b>Other Product Types:</b> | PRIVATE PLACEMENT                                                                          |
| <b>Broker Statement</b>     | I FEEL I DID NOT SELL AWAY, MY ACTIONS WERE STRICKLY DISCUSSING MY ACCOUNTING CLIENT IGDC. |



## End of Report

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