



IAPD Report

ALLAN KATZ

CRD# 2166004

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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

ALLAN KATZ (CRD# 2166004)

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 **08/27/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	COMPREHENSIVE WEALTH MANAGEMENT GROUP, LLC	CRD# 140510	07/26/2006
B	STIRLINGSHIRE INVESTMENTS	CRD# 310576	06/12/2023
IA	STIRLINGSHIRE INVESTMENTS	CRD# 327779	09/12/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	BUCKMAN ADVISORY GROUP LLC	131688	staten island, NY	08/10/2020 - 06/14/2023
B	BUCKMAN, BUCKMAN & REID, INC.	23407	staten island, NY	06/29/2020 - 06/12/2023
B	ROYAL ALLIANCE ASSOCIATES, INC.	23131	STATEN ISLAND, NY	04/20/2004 - 05/28/2020

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



Report Summary

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

Employment 1 of 3

Firm Name: **STIRLINGSHIRE INVESTMENTS**
Main Address: 15 W 38TH ST.
#704
NEW YORK, NY 10018
Firm ID#: 327779

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	09/12/2023

Branch Office Locations

STIRLINGSHIRE INVESTMENTS
4864 Arthur Kill Rd
South Entrance #8
Staten Island, NY 10309

Employment 2 of 3

Firm Name: **STIRLINGSHIRE INVESTMENTS**
Main Address: 15 W 38TH ST
SUITE 704
NEW YORK CITY, NY 10018
Firm ID#: 310576

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/12/2023
B	FINRA	General Securities Representative	Approved	06/12/2023
B	FINRA	Municipal Securities Principal	Approved	06/12/2023
B	FINRA	Municipal Securities Representative	Approved	06/12/2023
B	California	Agent	Approved	08/29/2023



Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	06/12/2023
B	New York	Agent	Approved	06/12/2023
B	Pennsylvania	Agent	Approved	06/21/2023

Branch Office Locations

4864 Arthur Kill Road
South Entrance # 8
Staten Island, NY 10309

Employment 3 of 3

Firm Name: **COMPREHENSIVE WEALTH MANAGEMENT GROUP, LLC**
Main Address: 4864 ARTHUR KILL ROAD
SOUTH ENTRANCE #8
STATEN ISLAND, NY 10309
Firm ID#: 140510

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	07/26/2006
IA	New York	Investment Adviser Representative	Approved	11/09/2022

Branch Office Locations

COMPREHENSIVE WEALTH MANAGEMENT GROUP, LLC
4864 ARTHUR KILL ROAD
SOUTH ENTRANCE #8
STATEN ISLAND, NY 10309





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 2 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	04/28/2008
	General Securities Principal Examination (S24)	Series 24	11/06/2000

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	08/15/1991

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	01/20/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/29/1991

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	08/10/2020 - 06/14/2023	BUCKMAN ADVISORY GROUP LLC	CRD# 131688	staten island, NY
B	06/29/2020 - 06/12/2023	BUCKMAN, BUCKMAN & REID, INC.	CRD# 23407	staten island, NY
B	04/20/2004 - 05/28/2020	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	STATEN ISLAND, NY
IA	08/12/2005 - 11/11/2006	INVESCOR ADVISORY SERVICES, INC.	CRD# 131295	STATEN ISLAND, NY
IA	09/26/2002 - 05/13/2004	ING FINANCIAL PARTNERS, INC	CRD# 2882	STATEN ISLAND, NY
B	09/18/2002 - 05/13/2004	ING FINANCIAL PARTNERS, INC.	CRD# 2882	WINDSOR, CT
B	04/11/2000 - 10/15/2002	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA
B	01/06/1999 - 04/10/2000	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC
B	05/29/1998 - 01/07/1999	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	02/24/1995 - 06/02/1998	JOSEPH STEVENS & COMPANY, INC.	CRD# 35459	BROOKLYN, NY
B	02/18/1994 - 03/16/1995	THOMAS JAMES ASSOCIATES, INC.	CRD# 15609	ROCHESTER, NY
B	03/22/1993 - 03/25/1994	NETWORK 1 FINANCIAL SECURITIES INC.	CRD# 13577	RED BANK, NJ
B	09/06/1991 - 03/25/1993	GKN SECURITIES CORP.	CRD# 19415	NEW YORK, NY
B	08/16/1991 - 11/08/1991	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	08/16/1991 - 11/08/1991	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN



Registration & Employment History

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
09/2023 - Present	Stirlingshire RIA LLC	SVP Investments	Y	NYC, NY, United States
06/2023 - Present	Stirlingshire BD LLC	SVP Investments	Y	NYC, NY, United States
05/2009 - Present	COMPREHENSIVE WEALTH MANAGEMENT GROUP,LLC	PRESIDENT ADVISORY REORESENTATIVE	Y	STATEN ISLAND, 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.

COMPREHENSIVE WEALTH MANAGEMENT GROUP, LLC

POSITION: President NATURE: Limited Liability Company INVESTMENT RELATED: Yes NUMBER OF HOURS: 120

SECURITIES TRADING HOURS: 120 START DATE: 04/12/2007

ADDRESS: 243 Main Street, Staten Island NY 10307

DESCRIPTION: Financial planning, public speaking. This is has already been approved. It is my DBA and independent Registered Investment Advisory firm.

ALLAN KATZ

POSITION: Agent NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 07/01/1999

ADDRESS: 243 Main Street, Staten Island NY 10307

DESCRIPTION: Licensed Accident, Life, Health Insurance

Free Lance Musician

POSITION: Trombone Player NATURE: various bands INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2022

ADDRESS: depends on the booking

DESCRIPTION: free lance Trombone Player

K&S Trains - Position: Owner Nature: Model Train Company Investment Related:No Started: Number of Hours 20hrs/Month, 0 During Trading Hours DESCRIPTION: Buy Sell and Repair Model Trains

RetireOne Investment Services LLC Position: Variable Annuities Rep Investment Related: YES NUMBER OF HOURS: 10 Hrs/Month during trading DESCRIPTION: Sell Variable annuities to clients



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 03/22/2021

Docket/Case Number: [2019063926101](#)

Employing firm when activity occurred which led to the regulatory action: Royal Alliance Associates, Inc.

Product Type: Mutual Fund

Allegations: Without admitting or denying the findings, Katz consented to the sanctions and to the entry of findings that he reused an elderly customer's signature pages on account transfer forms required to transfer directly held mutual funds into management investment accounts. The findings stated that to affect the transactions, the customer signed account transfer forms to transfer retirement and non-retirement mutual funds into both an individual retirement account (IRA) and individual management investment account, respectively. The mutual fund company then notified Katz that it required separate account transfer forms for each mutual fund. Katz reused the original account transfer form signature page for the IRA and individual management investment account and resubmitted it to the mutual fund company on new account transfer forms. In total, Katz reused the customer's original signature pages 11 times to expedite the processing of the transactions.

Current Status: Final



Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/22/2021
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	20 business days
Start Date:	04/19/2021
End Date:	05/14/2021

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	01/18/2022
Was any portion of penalty waived?	No

Amount Waived:
.....

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Date Initiated:	06/04/2020
Docket/Case Number:	20190639261



Employing firm when activity occurred which led to the regulatory action:	ROYAL ALLIANCE ASSOCIATES, INC.
Product Type:	Mutual Fund
Allegations:	reusing customer original transfer signature on forms
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/05/2021
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	all capacities
Duration:	20 Bussiness days
Start Date:	
End Date:	
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



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:	Royal Alliance Associates, Inc.
Allegations:	Customer alleges that the sale of mutual funds and purchase of variable annuity were unsuitable.
Product Type:	Annuity-Variable Mutual Fund Other: Advisory Account
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Firm estimates that alleged damages would be \$5,000 or more.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/27/2019
Complaint Pending?	No
Status:	Settled
Status Date:	11/30/2020
Settlement Amount:	\$15,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	Matter was previously denied but was recently resolved; same matter with a new resolution.

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Royal Alliance Associates, Inc.
Allegations:	Customer alleges that sale of mutual funds and purchase of variable annuity were unsuitable.
Product Type:	Annuity-Variable



Mutual Fund
Other: Advisory Account

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): Firm estimates that alleged damages would be \$5,000 or more.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 06/27/2019

Complaint Pending? No

Status: Settled

Status Date: 11/30/2020

Settlement Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Broker Statement

Although this case was originally denied by Royal Alliance Associates based on the facts presented, without my knowledge Royal Alliance settled with this client for \$15,000. I disagree with this settlement because all recommendations were made with the client's risk tolerance, liquidity needs goals and best interest in mind and this complaint was completely unfounded. Also note that I personally did not contribute to, nor was I asked to contribute to this settlement.



Termination

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

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: ROYAL ALLIANCE ASSOCIATES INC.
Termination Type: Discharged
Termination Date: 05/28/2020

Allegations: s): DURING THE COURSE OF A FINRA INQUIRY, IT WAS BROUGHT TO THE FIRM'S ATTENTION THAT CERTAIN TRANSFER DOCUMENTS RELATED TO ONE CLIENT'S ACCOUNT APPEARED TO CONTAIN SIMILAR CLIENT SIGNATURE PAGES. THE REPRESENTATIVE STATED THAT, TO EFFECT A TRANSFER FROM MUTUAL FUNDS TO AN ANNUITY, HE USED THE SINGLE, ORIGINAL PAGE SIGNED BY THE CLIENT AND SUBMITTED COPIES OF THAT SIGNATURE PAGE FOR EACH FUND, WITH THE CLIENT'S KNOWLEDGE AND CONSENT.

Product Type: Annuity-Variable
Mutual Fund

Reporting Source: Individual
Firm Name: ROYAL ALLIANCE ASSOCIATES, INC.
Termination Type: Discharged
Termination Date: 05/28/2020

Allegations: TRANSFER DOCUMENTS RELATED TO ONE CLIENT'S ACCOUNT APPEARED TO CONTAIN SIMILAR CLIENT SIGNATURE PAGES. THE REPRESENTATIVE STATED THAT, TO EFFECT A TRANSFER FROM MUTUAL FUNDS TO AN ANNUITY, HE USED THE SINGLE, ORIGINAL PAGE SIGNED BY THE CLIENT AND SUBMITTED COPIES OF THAT SIGNATURE PAGE FOR EACH FUND, WITH THE CLIENT'S KNOWLEDGE AND CONSENT.

Product Type: Annuity-Variable

Broker Statement Royal Alliance erroneously claimed that the signatures were used to transfer funds to a Variable Annuity when in fact they were used to transfer to a brokerage account with the client's consent. Legal counsel has been retained for the purpose of disputing this language.



End of Report

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