



## IAPD Report

# DAMON ROBERT BOOTES

CRD# 2444844

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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

### DAMON ROBERT BOOTES (CRD# 2444844)

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 **12/11/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	11/12/2020
<b>B</b>	CETERA ADVISORS LLC	CRD# 10299	09/08/2022

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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</b>	FIRST ALLIED SECURITIES, INC.	32444	LOUISVILLE, KY	11/13/2017 - 09/08/2022
<b>IA</b>	FIRST ALLIED ADVISORY SERVICES, INC.	137888	LOUISVILLE, KY	11/15/2017 - 11/12/2020
<b>IA</b>	WADDELL & REED	866	LOUISVILLE, KY	02/11/2015 - 11/14/2017

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

#### Employment 1 of 2

Firm Name: **CETERA ADVISORS LLC**  
Main Address: 5299 DTC BLVD #800  
GREENWOOD VILLAGE, CO 80111  
Firm ID#: 10299

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	09/08/2022
<b>B</b> California	Agent	Approved	11/12/2025
<b>B</b> Georgia	Agent	Approved	09/08/2022
<b>B</b> Indiana	Agent	Approved	09/08/2022
<b>B</b> Kentucky	Agent	Approved	09/08/2022
<b>B</b> Mississippi	Agent	Approved	09/08/2022
<b>B</b> North Carolina	Agent	Approved	05/03/2023

#### Branch Office Locations

**CETERA ADVISORS LLC**  
LOUISVILLE, KY

#### 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



## Qualifications

Regulator	Registration	Status	Date
<b>IA</b> Kentucky	Investment Adviser Representative	Approved	11/12/2020

### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
LOUISVILLE, KY



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



#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



#### General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/14/2017
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/06/2014

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	02/06/2015
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/16/2015

### 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
B	11/13/2017 - 09/08/2022	FIRST ALLIED SECURITIES, INC.	CRD# 32444	LOUISVILLE, KY
IA	11/15/2017 - 11/12/2020	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	LOUISVILLE, KY
IA	02/11/2015 - 11/14/2017	WADDELL & REED	CRD# 866	LOUISVILLE, KY
B	11/13/2014 - 11/14/2017	WADDELL & REED	CRD# 866	LOUISVILLE, KY
B	08/08/1997 - 12/21/2000	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT
B	06/06/1997 - 07/31/1997	CALTON & ASSOCIATES, INC.	CRD# 20999	TAMPA, FL
B	02/15/1994 - 05/23/1997	TITAN/VALUE EQUITIES GROUP, INC.	CRD# 6359	IRVINE, CA

### 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
12/2022 - Present	CLIFFORD BOOTES ASSET MANAGEMENT	PARTNER	Y	LOUISVILLE, KY, United States
09/2022 - Present	CETERA ADVISORS LLC	REGISTERED REP	Y	LOUISVILLE, KY, United States
11/2020 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
11/2017 - 09/2022	FIRST ALLIED SECURITIES, INC.	REGISTERED REP	Y	SAN DIEGO, CA, United States
11/2017 - 11/2020	FIRST ALLIED ADVISORY SERVICES, INC	INVESTMENT ADVISORY REPRESENTATIVE	Y	SAN DIEGO, CA, United States
03/2015 - 11/2017	VARIOUS INSURANCE CARRIERS FOR W & R INSURANCE AGENCIES	INSURANCE AGENT	Y	LOUISVILLE, KY, United States
10/2014 - 11/2017	WADDELL & REED, INC	ASSOCIATED PERSON	Y	LOUISVILLE, KY, United States



## Registration & Employment History



### 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. DR BOOTES TAX PREPARATION; INCOME TAX PREPARER; START DATE: 10/28/2017; 12 HOURS PER MONTH.
2. SAFETY CONSULTANT INLAND RIVER TRANSPORTATION; INDEPENDENT CONTRACTOR; START DATE 08/01/2018; 8 HOURS A MONTH.
3. FALLS CITY SOCCER CLUB; COACH; EDUCATION/TEACHING; START DATE: 11/01/2019; 12 HOURS PER MONTH.
4. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES;  
INVESTMENT RELATED: YES;  
ADDRESS: SAME AS REGISTERED LOCATION;  
NATURE OF BUSINESS: FIXED INSURANCE;  
START DATE: 06/2024;  
APX NUMBER OF HOURS PER WEEK: 2;  
APX NUMBER OF HOURS DURING TRADING HOURS: 2;  
POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT;  
BRIEF DESCRIPTION OF DUTIES: SALES OF FIXED INSURANCE PRODUCTS;
5. NAME OF OTHER BUSINESS: CLIFFORD BOOTES ASSET MANAGEMENT,  
INVESTMENT RELATED: YES,  
ADDRESS: SAME AS REGISTERED LOCATION,  
NATURE OF BUSINESS: FINANCIAL SERVICES,  
START DATE: 12/2022,  
POSITION/TITLE/RELATIONSHIP: PARTNER,  
APX NUMBER OF HOURS PER WEEK: 40,  
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5,  
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;
6. NAME OF OTHER BUSINESS: NOTARY PUBLIC COMMISSION;  
INVESTMENT RELATED: NO ;  
ADDRESS: SAME AS REGISTERED LOCATION ;  
NATURE OF BUSINESS: NOTARIZING DOCUMENTS ;  
START DATE: 06/2023;  
POSITION/TITLE/RELATIONSHIP: NOTARY ;  
APX NUMBER OF HOURS PER WEEK: VARIES ;  
APX NUMBER OF HOURS DURING TRADING HOURS: VARIES;  
BRIEF DESCRIPTION OF DUTIES: NOTARIZING DOCUMENTS ;



## 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	2

### 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>	KENTUCKY DEPARTMENT OF FINANCIAL INSTITUTIONS
<b>Sanction(s) Sought:</b>	Denial
<b>Date Initiated:</b>	09/04/1997
<b>Docket/Case Number:</b>	N/A
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	TITAN VALUE EQUITIES GROUP, INC.
<b>Product Type:</b>	Unit Investment Trust
<b>Allegations:</b>	RESPONDENT IS ALLEGED TO HAVE RECOMMENDED PURCHASE OF SECURITY WITHOUT REASONABLE GROUNDS TO BELIEVE THE RECOMMEDATION WAS SUITABLE AND ENGAGED IN DISHONEST OR UNETHICAL PRACTICES IN THE SECURITIES BUSINESS; SPECIFICALLY, RESPONDENT IS ALLEGED TO HAVE TRANSACTED SECURITIES BUSINESS WITHOUT HAVING ANY CONTACT WITH THE CLIENT AND ALLOWING UNREGISTERED PERSON TO TRANSACT BUSINESS THROUGH HIS REGISTRATION.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent



**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:** 11/17/1997

**Sanctions Ordered:** Other: N/A

**Regulator Statement** WITHOUT ADMITTING OR DENYING ALLEGATIONS, RESPONDENT CONSENTED TO AN AGREED ORDER EXECUTED ON 11/17/1997. THE RESPONDENT'S PENDING APPLICATION FOR REGISTRATION AS AN BROKER-DEALER AGENT IN KENTUCKY WAS APPROVED UNDER THE TERMS OF THE AGREED ORDER. THE RESPONDENT CONSENTED TO THE ENTRY OF AN ORDER OF CIVIL INJUNCTION IN THE EVENT OF A FUTURE VIOLATION OF THE AGREED ORDER.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** KY DEPARTMENT OF FINANCIAL INSTITUTIONS

**Sanction(s) Sought:** Denial

**Date Initiated:** 09/04/1997

**Docket/Case Number:** V97024

**Employing firm when activity occurred which led to the regulatory action:** TITAN VALUE EQUITIES GROUP, INC

**Product Type:** Unit Investment Trust

**Allegations:** RESPONDENT IS ALLEGED TO HAVE RECOMMENDED PURCHASE OF SECURITY WITHOUT REASONABLE GROUNDS TO BELIEVE THE RECOMMENDATION WAS SUITABLE AND WAS ENGAGED IN DISHONEST OR UNETHICAL PRACTICES IN THE SECURITIES BUSINESS. SPECIFICALLY, THE RESPONDENT IS ALLEGED TO HAVE TRANSACTED SECURITIES BUSINESS WITHOUT HAVING ANY CONTACT WITH THE CLIENT AND ALLOWING UNREGISTERED PERSON TO TRANSACT BUSINESS THROUGH HIS REGISTRATION.

**Current Status:** Final

**Resolution:** Consent

**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:** 11/17/1997

**Sanctions Ordered:** Other: N/A

**Broker Statement** WITHOUT ADMITTING OR DENYING ALLEGATIONS, RESPONDENT CONSENTED TO AN AGREED ORDER EXECUTED ON 11/17/1997. THE RESPONDENT'S PENDING APPLICATION FOR REGISTRATION AS A



BROKER-DEALER AGENT IN KENTUCKY WAS APPROVED UNDER THE TERMS OF THE AGREED ORDER. THE RESPONDENT CONSENTED TO THE ENTRY OF AN ORDER OF CIVIL INJUNCTION IN THE EVENT OF A FUTURE VIOLATION OF THE AGREED ORDER.



### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** WASHINGTON SQUARE SECURITIES INC.

**Allegations:** THE CLAIMANTS ARE ALLEGING THAT DAMON R. BOOTES ACTING WITH ANOTHER INDIVIDUAL "TO PERPETRATE FRAUD AGAINST CLAIMANTS RESULTING IN THE LOSS OF \$58,000 OF THEIR OWN FUNDS." THIS ACTION ALLEGED BY THE CLAIMANTS FALLS UNDER KRS 292.320(1)(B) THE "BLUE SKY LAWS" OF KENTUCKY BY OFFERING OR SELLING A SECURITY BY MEANS OF ANY UNTRUE STATEMENT OF MATERIAL FACT OR OMISSION TO STATE A MATERIAL FACT NECESSARY IN ORDER TO MAKE STATEMENTS MADE IN THE LIGHT OF THE CIRCUMSTANCES UNDER WHICH THEY ARE MADE NOT MISLEADING." ALSO ALLEGING THAT MR. BOOTE "KNOWINGLY FALISFIED SUBMISSION DOCUMENTS TO WASHINGTON SQUARE SECURITIES AS TO WHO ACTUALLY HAD SOLD THE SECURITIES.

**Product Type:** Other

**Other Product Type(s):** QUALIFIED SECURITIES AND LIMITED PARTNERSHIP.

**Alleged Damages:** \$58,000.00

### Customer Complaint Information

**Date Complaint Received:** 01/18/2000

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 06/27/2000

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD DOCKET NUMBER 00-01673](#)

**Date Notice/Process Served:** 06/27/2000

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/24/2002

**Monetary Compensation Amount:** \$17,500.00

**Individual Contribution** \$0.00



**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** WASHINGTON SQUARE SECURITIES, INC

**Allegations:** THE CLAIMANTS ARE ALLEGING THAT DAMON R. BOOTES ACTING WITH ANOTHER INDIVIDUAL "TO PERPETRATE FRAUD AGAINST CLAIMANTS RESULTING IN THE LOSS OF \$58,000 OF THEIR OWN FUNDS." THIS ACTION ALLEGED BY THE CLAIMANTS FALLS UNDER KRS 292.320 (1)(B) THE "BLUE SKY LAWS" OF KENTUCKY BY OFFERING OR SELLING A SECURITY BY MEANS OF ANY UNTRUE STATEMENT OF MATERIAL FACT OR OMISSION TO STATE A MATERIAL FACT NECESSARY IN ORDER TO MAKE STATEMENTS MADE IN THE LIGHT OF THE CIRCUMSTANCES WITH THEY ARE MADE NOT MISLEADING." ALSO ALLEGING MR. BOOTES "KNOWINGLY FALSIFIED SUBMISSION DOCUMENTS TO WASHINGTON SQUARE SECURITIES AS TO WHO ACTUALLY SOLD THE SECURITIES."

**Product Type:** Other: QUALIFIED SECURITIES AND LIMITED PARTNERSHIP

**Alleged Damages:** \$58,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

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

**Status Date:** 06/27/2000

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

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

**Docket/Case #:** [NASD DOCKETT #00-01673](#)

**Date Notice/Process Served:** 06/27/2000

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/24/2002

**Monetary Compensation Amount:** \$17,500.00

**Individual Contribution Amount:** \$0.00

### Disclosure 2 of 2

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:** TITAN/VALUE EQUITIES GROUP, INC.

**Allegations:** CLIENT CLAIMS SHE DID NOT SIGN ALL OF THE INVESTMENT FORMS. NO ALLEGED DAMAGES OR LOSS OF PRINCIPLE.

**Product Type:**

**Alleged Damages:**

**Customer Complaint Information**

**Date Complaint Received:** 03/01/1997

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$14,550.00

**Individual Contribution Amount:**

**Broker Statement**

AN AGREEMENT WAS REACHED FOR THE REPURCHASE OF THE INVESTMENTS FOR \$14,550.  
G.A. SAWYER'S ORIGINAL INVESTMENT WAS FOR \$15,000. SHE WAS CURRENTLY RECEIVING INCOME FROM HER INVESTMENTS.



## End of Report

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