



## IAPD Report

# LORETTA PETERSEN STRONG

CRD# 2753395

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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

### LORETTA PETERSEN STRONG (CRD# 2753395)

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 **07/30/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	12/22/2010
<b>IA</b>	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	03/01/2011

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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>	EDWARD JONES	250	HEALDSBURG, CA	02/12/2007 - 11/29/2010
<b>B</b>	EDWARD JONES	250	HEALDSBURG, CA	01/10/2003 - 11/29/2010
<b>B</b>	IFMG SECURITIES, INC.	14416	PURCHASE, NY	07/21/1997 - 01/21/2003

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

### Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Address: 880 CARILLON PARKWAY  
ST. PETERSBURG, FL 33716

Firm ID#: 6694

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	12/22/2010
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	12/22/2010
<b>B</b> Arizona	Agent	Approved	06/01/2018
<b>B</b> California	Agent	Approved	12/22/2010
<b>B</b> Colorado	Agent	Approved	07/31/2025
<b>B</b> Massachusetts	Agent	Approved	03/04/2011
<b>B</b> Nebraska	Agent	Approved	06/18/2024
<b>B</b> New Mexico	Agent	Approved	07/19/2022
<b>B</b> Oregon	Agent	Approved	09/25/2018
<b>B</b> Washington	Agent	Approved	01/06/2011

### Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES**  
1160 Battery St  
Fl 1 E  
SAN FRANCISCO, CA 94111


**RAYMOND JAMES FINANCIAL SERVICES**  
HEALDSBURG, CA

### Employment 2 of 2



## Qualifications

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
Main Address: 880 CARILLON PARKWAY  
SAINT PETERSBURG, FL 33716  
Firm ID#: 149018

Regulator	Registration	Status	Date
 California	Investment Adviser Representative	Approved	03/01/2011

## Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
1160 Battery St  
FI 1 E  
San Francisco, CA 94111



## 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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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b> General Securities Representative Examination (S7)	Series 7	01/20/1998
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<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/28/1996
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	02/07/2007
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	07/31/1996
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### 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	02/12/2007 - 11/29/2010	EDWARD JONES	CRD# 250	HEALDSBURG, CA
B	01/10/2003 - 11/29/2010	EDWARD JONES	CRD# 250	HEALDSBURG, CA
B	07/21/1997 - 01/21/2003	IFMG SECURITIES, INC.	CRD# 14416	PURCHASE, NY
B	08/29/1996 - 07/28/1997	NYLIFE SECURITIES INC.	CRD# 5167	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
11/2019 - Present	Elevon Wealth Mgt	Independent Contractor	N	HEALDSBURG, CA, United States
03/2011 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.	INVESTMENT ADVISOR REP	Y	SAN FRANCISCO, CA, United States
12/2010 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC	FINANCIAL ADVISOR	Y	SAN FRANCISCO, CA, United States
05/2013 - 12/2017	STRONG FINANCIAL STRATEGIES	SUPPORT COMPANY/DBA (OWNER)	N	SAN FRANCISCO, CA, United States
01/2014 - 07/2017	FINANCIAL PARTNERS WEALTH STRATEGIES	INDEPENDENT CONTRACTOR	N	HEALDSBURG, CA, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

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

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

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

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

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

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

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



## DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1
Termination	1

### 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:** EDWARD JONES

**Allegations:** CLIENT STATES THE FA RESPONSIBLE FOR THIS ACCOUNT FROM APPROXIMATELY OCTOBER 2002 THROUGH OCTOBER 2007 TOOK INSTRUCTIONS TO WITHDRAWAL FUNDS AND PLACE TRADES FROM HER BROTHER, WHILE HER MOTHER WAS IN A MEMORY CARE FACILITY. CLIENT STATES HER BROTHER WAS NOT AUTHORIZED ON THE ACCOUNT DURING THIS TIME PERIOD. CLIENT STATES HER MOTHER PASSED AWAY, AND NOW HER BROTHER HAS PASSED. SHE IS NOW THE TRUSTEE OF THE ACCOUNT. IN RESEARCHING THE ACCOUNT, SHE HAS DISCOVERED WITHDRAWALS TAKEN IN EXCESS OF THE MONEY NEEDED TO PAY FOR HER MOTHER'S EXPENSES. FURTHER, SHE STATES HER BROTHER HAD A MARGIN LOAN IN EXCESS OF \$82,000.00 WHICH GENERATED INTEREST OF ALMOST \$20,000.00 OF WHICH SHE PAID OFF. THE CLIENT STATES HER BROTHER DID HAVE CONTROL OVER THE ACCOUNT AFTER OCTOBER 2009; HOWEVER, HE TOOK MORE THAN 50% OF THE ACCOUNT ASSETS WHICH WOULD HAVE BEEN IN VIOLATION OF THE TRUST. THE CLIENT IS ALSO NOT HAPPY THE GM BOND IN THE ACCOUNT HAS LOST MOST OF IT'S VALUE. CLIENT CLAIMS THESE EVENTS HAVE SEVERLY DAMAGED HER SHARE OF THE HOLDINGS IN THIS ACCOUNT AND WANTS THE SITUATION RECTIFIED. FILING REQUIRED, OVER \$5,000.00.

**Product Type:** Debt-Corporate  
Mutual Fund

**Alleged Damages:** \$5,000.00



**Alleged Damages Amount Explanation (if amount not exact):** ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS OF \$5000.

**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:** 06/13/2011

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 06/21/2011

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement**

OUR INVESTIGATION REVEALED THE ACTIVITY IN THE ACCOUNT CONSISTED OF CHECKS ISSUED IN THE REGISTRATION OF THE ACCOUNT, WIRE TRANSFERS VIA SIGNED LOA'S, AND A TAX GARNISHMENT/LEVY. OUR RECORDS INDICATE THE CHECKS WERE SIGNED BY THE TRUSTEE AND THE WIRE TRANSFERS WERE INITIATED BY SIGNED LOA(S), WHICH WERE SIGNED BY THE TRUSTEE. IN REGARDS TO THE MARGIN LOAN, IT APPEARS THE CLIENT AND HER BROTHER CALLED THE CLIENT RELATIONS DEPARTMENT IN 2009 TOGETHER, TO DISCUSS THE LOAN. THE CLIENT ADVISED OUR CLIENT RELATIONS AREA HER BROTHER NEEDED THE MONEY BECAUSE HE WAS DYING OF CANCER, AND NEEDED TO PAY MEDICAL BILLS, INDICATING SHE WAS AWARE OF THE LOAN AND THE MONEY HER BROTHER NEEDED FROM THE ACCOUNT. THE LIVING TRUST ACCOUNT FORM SIGNED BY THE TRUSTEE IN 2005 ALLOWS FOR LOANS AND PLEDGE SECURITIES AGAINST THE FUNDS IN THE TRUST ACCOUNT. BASED ON OUR REVIEW IT APPEARS APPROPRIATE REGISTRATION PROTOCOLS WERE FOLLOWED. IT DOES NOT APPEAR ANY DISTRIBUTIONS WERE MADE TO ALTERNATE ADDRESSES OR PAYEE'S. IN LIGHT OF OUR INVESTIGATION WE HAVE DENIED ANY FURTHER ACTION OR REIMBURSEMENT RELATED TO THIS MATTER.

**Reporting Source:** Individual

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

**Allegations:** CLIENT STATES THE FA RESPONSIBLE FOR THIS ACCOUNT FROM APPROXIMATELY OCTOBER 2002 THROUGH OCTOBER 2007 TOOK INSTRUCTIONS TO WITHDRAWAL FUNDS AND PLACE TRADES FROM HER BROTHER, WHILE HER MOTHER WAS IN A MEMORY CARE FACILITY. CLIENT STATES HER BROTHER WAS NOT AUTHORIZED ON THE ACCOUNT DURING THIS TIME PERIOD. CLIENT STATES HER MOTHER PASSED AWAY, AND NOW HER BROTHER HAS PASSED. SHE IS NOW THE TRUSTEE OF THE ACCOUNT. IN RESEARCHING THE ACCOUNT, SHE HAS DISCOVERED WITHDRAWALS TAKEN IN EXCESS OF THE MONEY NEEDED TO PAY FOR HER MOTHER'S EXPENSES. FURTHER, SHE STATES HER BROTHER HAD A



MARGIN LOAN IN EXCESS OF \$82,000.00 WHICH GENERATED INTEREST OF ALMOST \$20,000.00 OF WHICH SHE PAID OFF. THE CLIENT STATES HER BROTHER DID HAVE CONTROL OVER THE ACCOUNT AFTER OCTOBER 2009; HOWEVER, HE TOOK MORE THAN 50% OF THE ACCOUNT ASSETS WHICH WOULD HAVE BEEN IN VIOLATION OF THE TRUST. THE CLIENT IS ALSO NOT HAPPY THE GM BOND IN THE ACCOUNT HAS LOST MOST OF IT'S VALUE. CLIENT CLAIMS THESE EVENTS HAVE SEVERLY DAMAGED HER SHARE OF THE HOLDINGS IN THIS ACCOUNT AND WANTS THE SITUATION RECTIFIED. FILING REQUIRED, OVER \$5,000.00.

**Product Type:** Mutual Fund

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):** ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS OF \$5000.

**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:** 06/13/2011

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 06/21/2011

**Settlement Amount:**

**Individual Contribution Amount:**

### Broker Statement

OUR INVESTIGATION REVEALED THE ACTIVITY IN THE ACCOUNT CONSISTED OF CHECKS ISSUED IN THE REGISTRATION OF THE ACCOUNT, WIRE TRANSFERS VIA SIGNED LOA'S, AND A TAX GARNISHMENT/LEVY. OUR RECORDS INDICATE THE CHECKS WERE SIGNED BY THE TRUSTEE AND THE WIRE TRANSFERS WERE INITIATED BY SIGNED LOA(S), WHICH WERE SIGNED BY THE TRUSTEE. IN REGARDS TO THE MARGIN LOAN, IT APPEARS THE CLIENT AND HER BROTHER CALLED THE CLIENT RELATIONS DEPARTMENT IN 2009 TOGETHER, TO DISCUSS THE LOAN. THE CLIENT ADVISED OUR CLIENT RELATIONS AREA HER BROTHER NEEDED THE MONEY BECAUSE HE WAS DYING OF CANCER, AND NEEDED TO PAY MEDICAL BILLS, INDICATING SHE WAS AWARE OF THE LOAN AND THE MONEY HER BROTHER NEEDED FROM THE ACCOUNT. THE LIVING TRUST ACCOUNT FORM SIGNED BY THE TRUSTEE IN 2005 ALLOWS FOR LOANS AND PLEDGE SECURITIES AGAINST THE FUNDS IN THE TRUST ACCOUNT. BASED ON OUR REVIEW IT APPEARS APPROPRIATE REGISTRATION PROTOCOLS WERE FOLLOWED. IT DOES NOT APPEAR ANY DISTRIBUTIONS WERE MADE TO ALTERNATE ADDRESSES OR PAYEE'S. IN LIGHT OF OUR INVESTIGATION WE HAVE DENIED ANY FURTHER ACTION OR REIMBURSEMENT RELATED TO THIS MATTER.



### 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:** EDWARD JONES

**Termination Type:** Discharged

**Termination Date:** 11/01/2010

**Allegations:** STRONG'S EMPLOYMENT WAS TERMINATED AFTER IT WAS DETERMINED SHE EXERCISED DISCRETION IN A CLIENT'S ACCOUNT AFTER SHE HAD BEEN WARNED BY THE FIRM IN 2009 FOR USE OF DISCRETION. THE FIRM ISSUED THREE SEPARATE WARNINGS TO STRONG FOR PRIOR COMPLIANCE VIOLATIONS.

**Product Type:** No Product

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**Reporting Source:** Individual

**Firm Name:** EDWARD JONES

**Termination Type:** Discharged

**Termination Date:** 11/01/2010

**Allegations:** STRONG'S EMPLOYMENT WAS TERMINATED AFTER IT WAS DETERMINED SHE EXERCISED DISCRETION IN A CLIENT'S ACCOUNT AFTER SHE HAD BEEN WARNED BY THE FIRM IN 2009 FOR USE OF DISCRETION. THE FIRM ISSUED THREE SEPARATE WARNINGS TO STRONG FOR PRIOR COMPLIANCE VIOLATIONS

**Product Type:** No Product

**Broker Statement**

REGARDING THE USE OF DISCRETION IN A CLIENTS ACCOUNT: I WAS ACTING ON THE SPECIFIC INSTRUCTIONS OF MY CLIENT TO LOCATE A SUITABLE BOND WHICH WAS A RATED WITH A YIELD OF 6 TO 6.25 PERCENT, MONTHLY PAY, ISSUED BY EITHER B OF A GE. THERE WAS NO CLIENT COMPLAINT CONCERNING THIS ALLEGATION.

REGARDING THE FIRM WARNING IN 2009 FOR THE USE OF DISCRETION: MY CLIENT WAS CONTACTED ON THREE SEPERATE OCCASIONS BY PHONE AND IN WRITING TO CLOSE HER ACCOUNT VALUED AT \$95.00 RATHER THAN INCUR AN ANNUAL FEE. AFTER RECEIVING NO RESPONSE FROM THE CLIENT A CHECK WAS ISSUED FROM HER ACCOUNT FOR THE \$95.00 BALANCE. THERE WAS NO CLIENT COMPLAINT REGARDING THIS ALLEGATION.

REGARDING PRIOR COMPLIANCE VIOLATIONS AND FIRM WARNINGS THE THREE MATTERS INCLUDE: 1 THE COVERAGE OF BRANCH PHONES DURING AN EMERGENCY 2 THE USE OF A HANDWRITTEN NOTE BY ME TO A LONG DISTANCE CLIENT. 3 THE USE OF GOVERMENT EMPLOYEE CALIFORNIA ADDRRESS FOR PURPOSES OF A DIRECT ROLLOVER FROM HIS GOVERMENT THRIFT PLAN. MY CLIENT WAS POSTED AT A FOREIGN ADDRESS BUT MAINTAINED HIS LONG TIME CALIFORNIA ADDRESS AS HIS LEGAL ADDRESS. THERE WERE NO CLIENT COMPLAINTS CONCERNING



THESE ALLEGATIONS.



## End of Report

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