



IAPD Report

James C Blake

CRD# 2758222

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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

James C Blake (CRD# 2758222)

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 **03/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY & CO. LLC	CRD# 8209	10/22/2021
B	MORGAN STANLEY	CRD# 149777	10/22/2021
IA	MORGAN STANLEY	CRD# 149777	11/04/2021

QUALIFICATIONS

This representative is currently registered in **27** SRO(s) and **53** 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	SIDOTI & COMPANY, LLC	102860	NEW YORK, NY	10/07/2003 - 09/03/2021
B	HARRIS NESBITT GERARD, INC.	16686	NEW YORK, NY	08/14/1999 - 10/06/2003

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
Criminal	1
Financial	3



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 **53** jurisdiction(s) and 27 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **MORGAN STANLEY & CO. LLC**
Main Address: 1585 BROADWAY
NEW YORK, NY 10036-8293
Firm ID#: 8209

Regulator	Registration	Status	Date
B 24X National Exchange LLC	General Securities Principal	Approved	10/31/2025
B 24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B 24X National Exchange LLC	Securities Trader	Approved	10/31/2025
B 24X National Exchange LLC	Securities Trader Principal	Approved	10/31/2025
B BOX Exchange LLC	General Securities Principal	Approved	10/22/2021
B BOX Exchange LLC	General Securities Representative	Approved	10/22/2021
B BOX Exchange LLC	Securities Trader	Approved	10/22/2021
B BOX Exchange LLC	Securities Trader Principal	Approved	10/22/2021
B Cboe BYX Exchange, Inc.	General Securities Principal	Approved	10/22/2021
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/22/2021
B Cboe BYX Exchange, Inc.	Securities Trader	Approved	10/22/2021
B Cboe BYX Exchange, Inc.	Securities Trader Principal	Approved	10/22/2021
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	10/22/2021



Qualifications

Regulator	Registration	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/22/2021
B Cboe BZX Exchange, Inc.	Securities Trader	Approved	10/22/2021
B Cboe BZX Exchange, Inc.	Securities Trader Principal	Approved	10/22/2021
B Cboe C2 Exchange, Inc.	General Securities Principal	Approved	10/22/2021
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	10/22/2021
B Cboe C2 Exchange, Inc.	Securities Trader	Approved	10/22/2021
B Cboe C2 Exchange, Inc.	Securities Trader Principal	Approved	10/22/2021
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	10/22/2021
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	10/22/2021
B Cboe EDGA Exchange, Inc.	Securities Trader	Approved	10/22/2021
B Cboe EDGA Exchange, Inc.	Securities Trader Principal	Approved	10/22/2021
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	10/22/2021
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	10/22/2021
B Cboe EDGX Exchange, Inc.	Securities Trader	Approved	10/22/2021
B Cboe EDGX Exchange, Inc.	Securities Trader Principal	Approved	10/22/2021
B Cboe Exchange, Inc.	General Securities Principal	Approved	10/22/2021
B Cboe Exchange, Inc.	General Securities Representative	Approved	10/22/2021
B Cboe Exchange, Inc.	Securities Trader	Approved	10/22/2021
B Cboe Exchange, Inc.	Securities Trader Principal	Approved	10/22/2021



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	10/25/2021
B FINRA	General Securities Representative	Approved	10/25/2021
B FINRA	Securities Trader	Approved	10/25/2021
B FINRA	Securities Trader Principal	Approved	10/25/2021
B Investors' Exchange LLC	General Securities Principal	Approved	10/22/2021
B Investors' Exchange LLC	General Securities Representative	Approved	10/22/2021
B Investors' Exchange LLC	Securities Trader	Approved	10/22/2021
B Investors' Exchange LLC	Securities Trader Principal	Approved	10/22/2021
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	10/22/2021
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	10/22/2021
B Long-Term Stock Exchange, Inc.	Securities Trader	Approved	10/22/2021
B Long-Term Stock Exchange, Inc.	Securities Trader Principal	Approved	10/22/2021
B MEMX LLC	General Securities Principal	Approved	10/22/2021
B MEMX LLC	General Securities Representative	Approved	10/22/2021
B MEMX LLC	Securities Trader	Approved	10/22/2021
B MEMX LLC	Securities Trader Principal	Approved	10/22/2021
B MIAX Emerald, LLC	General Securities Principal	Approved	10/22/2021
B MIAX Emerald, LLC	General Securities Representative	Approved	10/22/2021



Qualifications

Regulator	Registration	Status	Date
B MIAX Emerald, LLC	Securities Trader	Approved	10/22/2021
B MIAX Emerald, LLC	Securities Trader Principal	Approved	10/22/2021
B MIAX PEARL, LLC	General Securities Principal	Approved	10/22/2021
B MIAX PEARL, LLC	General Securities Representative	Approved	10/22/2021
B MIAX PEARL, LLC	Securities Trader	Approved	10/22/2021
B MIAX PEARL, LLC	Securities Trader Principal	Approved	10/22/2021
B MIAX Sapphire	General Securities Representative	Approved	08/27/2024
B MIAX Sapphire	Securities Trader	Approved	08/30/2024
B MIAX Sapphire	Securities Trader Principal	Approved	09/10/2024
B MIAX Sapphire	General Securities Principal	Approved	09/23/2024
B Miami International Securities Exchange, LLC	General Securities Principal	Approved	10/22/2021
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	10/22/2021
B Miami International Securities Exchange, LLC	Securities Trader	Approved	10/22/2021
B Miami International Securities Exchange, LLC	Securities Trader Principal	Approved	10/22/2021
B NYSE American LLC	General Securities Principal	Approved	10/22/2021
B NYSE American LLC	General Securities Representative	Approved	10/22/2021
B NYSE American LLC	Securities Trader	Approved	10/22/2021



Qualifications

Regulator	Registration	Status	Date
B NYSE American LLC	Securities Trader Principal	Approved	10/22/2021
B NYSE Arca, Inc.	General Securities Principal	Approved	10/22/2021
B NYSE Arca, Inc.	General Securities Representative	Approved	10/22/2021
B NYSE Arca, Inc.	Securities Trader	Approved	10/22/2021
B NYSE Arca, Inc.	Securities Trader Principal	Approved	10/22/2021
B NYSE National, Inc.	General Securities Principal	Approved	10/22/2021
B NYSE National, Inc.	General Securities Representative	Approved	10/22/2021
B NYSE National, Inc.	Securities Trader	Approved	10/22/2021
B NYSE National, Inc.	Securities Trader Principal	Approved	10/22/2021
B NYSE Texas, Inc.	General Securities Principal	Approved	10/22/2021
B NYSE Texas, Inc.	General Securities Representative	Approved	10/22/2021
B NYSE Texas, Inc.	Securities Trader	Approved	10/22/2021
B NYSE Texas, Inc.	Securities Trader Principal	Approved	10/22/2021
B Nasdaq GEMX, LLC	General Securities Principal	Approved	10/22/2021
B Nasdaq GEMX, LLC	General Securities Representative	Approved	10/22/2021
B Nasdaq GEMX, LLC	Securities Trader	Approved	10/22/2021
B Nasdaq GEMX, LLC	Securities Trader Principal	Approved	10/22/2021
B Nasdaq ISE, LLC	General Securities Principal	Approved	10/22/2021
B Nasdaq ISE, LLC	General Securities Representative	Approved	10/22/2021



Qualifications

Regulator	Registration	Status	Date
B Nasdaq ISE, LLC	Securities Trader	Approved	10/22/2021
B Nasdaq ISE, LLC	Securities Trader Principal	Approved	10/22/2021
B Nasdaq MRX, LLC	General Securities Principal	Approved	10/22/2021
B Nasdaq MRX, LLC	General Securities Representative	Approved	10/22/2021
B Nasdaq MRX, LLC	Securities Trader	Approved	10/22/2021
B Nasdaq MRX, LLC	Securities Trader Principal	Approved	10/22/2021
B Nasdaq PHLX LLC	General Securities Principal	Approved	10/22/2021
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/22/2021
B Nasdaq PHLX LLC	Securities Trader	Approved	10/22/2021
B Nasdaq PHLX LLC	Securities Trader Principal	Approved	10/22/2021
B Nasdaq Stock Market	General Securities Principal	Approved	10/22/2021
B Nasdaq Stock Market	General Securities Representative	Approved	10/22/2021
B Nasdaq Stock Market	Securities Trader	Approved	10/22/2021
B Nasdaq Stock Market	Securities Trader Principal	Approved	10/22/2021
B Nasdaq Texas, LLC	General Securities Principal	Approved	10/22/2021
B Nasdaq Texas, LLC	General Securities Representative	Approved	10/22/2021
B Nasdaq Texas, LLC	Securities Trader	Approved	10/22/2021
B Nasdaq Texas, LLC	Securities Trader Principal	Approved	10/22/2021
B New York Stock Exchange	General Securities Principal	Approved	10/22/2021



Qualifications

Regulator	Registration	Status	Date
B New York Stock Exchange	General Securities Representative	Approved	10/22/2021
B New York Stock Exchange	Securities Trader	Approved	10/22/2021
B New York Stock Exchange	Securities Trader Principal	Approved	10/22/2021
B New York	Agent	Approved	10/25/2021

Branch Office Locations

MORGAN STANLEY & CO. LLC
 1585 Broadway
 New York, NY 10036

MORGAN STANLEY & CO. LLC
 2000 Westchester Avenue
 Purchase, NY 10577

Employment 2 of 2

Firm Name: **MORGAN STANLEY**
 Main Address: 2000 WESTCHESTER AVENUE
 PURCHASE, NY 10577-2530
 Firm ID#: 149777

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	10/25/2021
B FINRA	General Securities Representative	Approved	10/25/2021
B FINRA	Securities Trader	Approved	10/25/2021
B FINRA	Securities Trader Principal	Approved	10/25/2021
B NYSE American LLC	General Securities Principal	Approved	10/22/2021
B NYSE American LLC	General Securities Representative	Approved	10/22/2021
B NYSE American LLC	Securities Trader	Approved	10/22/2021
B NYSE American LLC	Securities Trader Principal	Approved	10/22/2021
B Nasdaq Stock Market	General Securities Principal	Approved	10/22/2021



Qualifications

Regulator	Registration	Status	Date
B Nasdaq Stock Market	General Securities Representative	Approved	10/22/2021
B Nasdaq Stock Market	Securities Trader	Approved	10/22/2021
B Nasdaq Stock Market	Securities Trader Principal	Approved	10/22/2021
B New York Stock Exchange	General Securities Principal	Approved	10/22/2021
B New York Stock Exchange	General Securities Representative	Approved	10/22/2021
B New York Stock Exchange	Securities Trader	Approved	10/22/2021
B New York Stock Exchange	Securities Trader Principal	Approved	10/22/2021
B Alabama	Agent	Approved	10/25/2021
B Alaska	Agent	Approved	11/08/2021
B Arizona	Agent	Approved	11/09/2021
B Arkansas	Agent	Approved	10/26/2021
B California	Agent	Approved	10/25/2021
B Colorado	Agent	Approved	10/26/2021
B Connecticut	Agent	Approved	10/25/2021
B Delaware	Agent	Approved	10/25/2021
B District of Columbia	Agent	Approved	10/26/2021
B Florida	Agent	Approved	01/28/2022
B Georgia	Agent	Approved	10/26/2021



Qualifications

Regulator	Registration	Status	Date
B Hawaii	Agent	Approved	02/03/2022
B Idaho	Agent	Approved	10/25/2021
B Illinois	Agent	Approved	10/26/2021
B Indiana	Agent	Approved	11/16/2021
B Iowa	Agent	Approved	11/01/2021
B Kansas	Agent	Approved	10/25/2021
B Kentucky	Agent	Approved	10/25/2021
B Louisiana	Agent	Approved	10/27/2021
B Maine	Agent	Approved	10/25/2021
B Maryland	Agent	Approved	10/26/2021
B Massachusetts	Agent	Approved	12/15/2021
B Michigan	Agent	Approved	12/13/2021
B Minnesota	Agent	Approved	10/25/2021
B Mississippi	Agent	Approved	10/27/2021
B Missouri	Agent	Approved	11/23/2021
B Montana	Agent	Approved	10/25/2021
B Nebraska	Agent	Approved	10/28/2021
B Nevada	Agent	Approved	12/17/2021
B New Hampshire	Agent	Approved	02/24/2022



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	10/25/2021
B New Mexico	Agent	Approved	10/25/2021
B New York	Agent	Approved	10/25/2021
B North Carolina	Agent	Approved	11/04/2021
B North Dakota	Agent	Approved	11/01/2021
B Ohio	Agent	Approved	10/25/2021
B Oklahoma	Agent	Approved	11/01/2021
B Oregon	Agent	Approved	02/02/2022
B Pennsylvania	Agent	Approved	11/04/2021
B Puerto Rico	Agent	Approved	10/26/2021
B Rhode Island	Agent	Approved	11/03/2021
B South Carolina	Agent	Approved	10/25/2021
B South Dakota	Agent	Approved	11/08/2021
B Tennessee	Agent	Approved	11/01/2021
B Texas	Agent	Approved	10/25/2021
IA Texas	Investment Adviser Representative	Restricted Approval	11/04/2021
B Utah	Agent	Approved	11/29/2021
B Vermont	Agent	Approved	10/26/2021



Qualifications

Regulator	Registration	Status	Date
B Virgin Islands	Agent	Approved	10/28/2021
B Virginia	Agent	Approved	10/25/2021
B Washington	Agent	Approved	10/25/2021
B West Virginia	Agent	Approved	10/28/2021
B Wisconsin	Agent	Approved	10/28/2021
B Wyoming	Agent	Approved	11/02/2021

Branch Office Locations

MORGAN STANLEY
2000 WESTCHESTER AVENUE
PURCHASE, NY 10577-2530

MORGAN STANLEY
1585 Broadway
New York, NY 10036




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, 4 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	12/02/2003

General Industry/Product Exams

	Exam	Category	Date
	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Limited Representative-Equity Trader Exam (S55)	Series 55	02/15/2001
	General Securities Representative Examination (S7)	Series 7	08/10/1999

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	07/19/1999

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	10/07/2003 - 09/03/2021	SIDOTI & COMPANY, LLC	CRD# 102860	NEW YORK, NY
B	08/14/1999 - 10/06/2003	HARRIS NESBITT GERARD, INC.	CRD# 16686	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
10/2021 - Present	MORGAN STANLEY	Vice President	Y	New York, NY, United States
10/2021 - Present	Morgan Stanley & Co., LLC	Vice President	Y	New York, NY, United States
10/2003 - 08/2021	SIDOTI & CO	SALES TRADER	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.

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
Criminal	1
Financial	3

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Superior Court of the State of Connecticut
Location of Court:	520 Hoyt Street, Darien, CT 06820
Docket/Case #:	S01S-CR19-0196251-S
Charge Date:	01/22/2019
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Violation of Order of Protection
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Adjudicated.
Disposition of charge:	Not Adjudicated. No Disposition as of yet.
Current Status:	Final
Status Date:	01/22/2019
Disposition Date:	06/04/2019
Sentence/Penalty:	Final Disposition of the Court made "Nolle".
Broker Statement	Violation of Civil Order of Protection. Final Disposition of the Court made "Nolle".



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 3

Reporting Source: Individual
Action Type: Compromise
Action Date: 08/20/2020
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 08/20/2020
If a compromise with creditor, provide:
Name of Creditor: Elan Financial Services
Original Amount Owed: \$7,652.63
Terms Reached with Creditor: The creditor agreed to accept \$7000.00 to satisfy the outstanding balance in full.

Disclosure 2 of 3

Reporting Source: Individual
Action Type: Compromise
Action Date: 04/30/2020
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 04/30/2020
If a compromise with creditor, provide:
Name of Creditor: American Express
Original Amount Owed: \$2,265.06
Terms Reached with Creditor: The creditor agreed to accept \$905.00 to satisfy the outstanding balance in full.

Disclosure 3 of 3

Reporting Source: Individual
Action Type: Compromise



Action Date: 08/20/2020

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 08/20/2020

If a compromise with creditor, provide:

Name of Creditor: Citibank (Home Deport Retail)

Original Amount Owed: \$3,680.60

Terms Reached with Creditor: The creditor agreed to accept \$1,840.30 to satisfy the outstanding balance in full.



End of Report

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