



## IAPD Report

# DAVID THOMAS GILG

CRD# 3106215

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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

### DAVID THOMAS GILG (CRD# 3106215)

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 **01/03/2024**.

### CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA CAPITAL CITY ASSET MANAGEMENT GROUP, LLC	CRD# 134008	02/27/2015

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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 CHASE INVESTMENT SERVICES CORP.	25574	COLUMBUS, OH	02/28/2006 - 06/17/2011
B CHASE INVESTMENT SERVICES CORP.	25574	COLUMBUS, OH	07/06/2005 - 06/17/2011
B BANC ONE SECURITIES CORPORATION	16999	CHICAGO, IL	05/24/1999 - 07/06/2005

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	3
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **CAPITAL CITY ASSET MANAGEMENT GROUP, LLC**  
Main Address: 3789 ATTUCKS DR  
POWELL, OH 43065  
Firm ID#: 134008

Regulator	Registration	Status	Date
<b>IA</b> Ohio	Investment Adviser Representative	Approved	02/27/2015

#### Branch Office Locations

**CAPITAL CITY ASSET MANAGEMENT GROUP, LLC**  
3789 ATTUCKS DR  
POWELL, OH 43065



## 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, 2 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> General Securities Representative Examination (S7)	Series 7	02/27/2004
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<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/17/1999
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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	02/27/2006
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	04/28/2000
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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	02/28/2006 - 06/17/2011	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	COLUMBUS, OH
B	07/06/2005 - 06/17/2011	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	COLUMBUS, OH
B	05/24/1999 - 07/06/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	CHICAGO, IL
B	03/18/1999 - 04/07/1999	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	03/18/1999 - 04/07/1999	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN

#### 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
09/2014 - Present	ITT-TECH	ADJUNCT PROFESSOR	N	HILLIARD, OH, United States
01/2014 - Present	CAPITAL CITY ASSET MANAGEMENT GROUP, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	COLUMBUS, OH, United States
08/2011 - Present	ATHENE ANNUITY	RETIREMENT SPECIALIST	Y	HILLIARD, OH, United States
08/2011 - Present	COUNTRY FINANCIAL	RETIREMENT SPECIALIST	Y	HILLIARD, OH, United States
04/2009 - Present	RENTAL PROPERTY	LANDLORD	N	GALLOWAY, OH, United States
01/2003 - Present	COLUMBUS STATE COMMUNITY COLLEGE	ADJUNCT PROFESSOR	N	COLUMBUS, OH, 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.

RENTAL PROPERTY  
5904 THORNGATE DR



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

GALLOWAY, OH 43119

COLUMBUS STATE COMMUNITY COLLEGE  
550 E. SPRING STREET  
COLUMBUS, OH 43215  
INSTRUCTOR/BUSINESS MGMT. DEPT.  
5 HRS PER WEEK  
COMP: \$48 PER HOUR

CTOA  
1918 BETHEL RD  
COLS, OH 43221  
CONTINUING EDUCATION

TEACHING A BUSINESS MANAGEMENT/FINANCE COURSE AT COLUMBUS STATE.

HARPER FINANCIAL LLC  
4249 SUMMIT BEND RD  
HILLIARD OH 43026  
SINGLE OWNER LLC FOR TAX PURPOSES  
DATE OF RELATIONSHIP 1/3/2024  
NON INVESTMENT RELATED  
0 HOURS PER WEEK  
100% PERSONAL ASSETS. NO PARTNERS



## 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	3
Termination	1

### Regulatory Event

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

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	06/18/2013
<b>Docket/Case Number:</b>	<a href="#">2011028193801</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	BANC ONE SECURITIES CORPORATION / CHASE INVESTMENT SERVICES CORP.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	ACTED IN CONTRAVENTION OF FINRA BY-LAWS ARTICLE V, SECTION 2(C) AND VIOLATED FINRA RULES 1122, 2010: GILG SUBMITTED, OR CAUSED TO BE SUBMITTED, A FORM U4 IN CONNECTION WITH HIS FINRA REGISTRATION THROUGH A MEMBER FIRM. THEREAFTER, GILG [HAD A PREVIOUSLY-REPORTABLE MATTER]. NONETHELESS, GILG FAILED TO TIMELY UPDATE HIS FORM U4 REGARDING THESE MATERIAL FACTS OR CIRCUMSTANCES OF WHICH HE HAD KNOWLEDGE, WHICH WERE REQUIRED TO BE DISCLOSED. [THIS] COULD SUBJECT AN INDIVIDUAL TO STATUTORY DISQUALIFICATION. THE FAILURE TO TIMELY AMEND HIS FORM U4 TO DISCLOSE THE [PREVIOUSLY-REPORTABLE MATTER] AND THE FAILURE TO TIMELY AMEND HIS FORM U4 TO DISCLOSE THE [PREVIOUSLY-REPORTABLE MATTER] IN RESPONSE TO THE RELATED QUESTIONS ON HIS FORM U4 WERE WILLFUL, AND CAUSED HIS FIRM TO EMPLOY GILG WHILE HE WAS SUBJECT TO A STATUTORY DISQUALIFICATION.



<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	11/21/2013
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>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?</b>	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:** ANY CAPACITY  
**Duration:** 30 BUSINESS DAYS  
**Start Date:** 12/02/2013  
**End Date:** 01/14/2014

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)  
**Total Amount:** \$2,500.00  
**Portion Levied against individual:** \$2,500.00  
**Payment Plan:**  
**Is Payment Plan Current:**  
**Date Paid by individual:** 12/02/2013  
**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, GILG CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$2,500 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 BUSINESS DAYS FOR ACTING IN CONTRAVENTION OF FINRA BY-LAWS ARTICLE V, SECTION 2(C) AND VIOLATING FINRA RULES 1122 AND 2010. THE OFFER OF SETTLEMENT DID NOT INCLUDE A FINDING THAT THE NONDISCLOSURES WERE WILLFUL. THE SUSPENSION IS IN EFFECT FROM DECEMBER 2, 2013, THROUGH JANUARY 14, 2014. FINE PAID IN FULL ON DECEMBER 2, 2013.

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** FINRA



<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	06/18/2013
<b>Docket/Case Number:</b>	CASE # 2011028193801
<b>Employing firm when activity occurred which led to the regulatory action:</b>	CHASE INVESTMENT SERVICES CORPORATION
<b>Product Type:</b>	No Product
<b>Allegations:</b>	MR. GILG [HAD] A NON-INDUSTRY RELATED [PREVIOUSLY-REPORTABLE MATTER]. HE IMMEDIATELY INFORMED HIS FIRM HOWEVER HIS FIRM DID NOT UPDATE HIS U4.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	11/21/2013
<b>Sanctions Ordered:</b>	Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ASSOCIATION WITH ANY FINRA MEMBER FOR 30 DAYS
<b>Duration:</b>	30 (THIRTY) DAYS
<b>Start Date:</b>	12/02/2013
<b>End Date:</b>	01/14/2014
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$2,500.00
<b>Portion Levied against individual:</b>	\$2,500.00
<b>Payment Plan:</b>	ONE TIME PAYMENT
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	12/02/2013
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Broker Statement</b>	MR. GILG [HAD] A NON-INDUSTRY RELATED [PREVIOUSLY-REPORTABLE MATTER]. HE IMMEDIATELY INFORMED HIS FIRM HOWEVER HIS FIRM DID NOT UPDATE HIS U4.



## 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 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	CHASE INVESTMENT SERVICES CORP.
<b>Allegations:</b>	CLIENT ALLEGES UNAUTHORIZED TRADING RESULTING IN A LOSS. THIS COMPLAINT HAS NOW EVOLVED INTO ARBITRATION. CLIENT IS NOW ALLEGING MISREPRESENTATION AND SUITABILITY REGARDING A VARIABLE ANNUITY AND AN EQUITY LISTED INVESTMENT.
<b>Product Type:</b>	Annuity-Variable Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$500,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	PREVIOUS CUSTOMER COMPLAINT ALLEGED AMOUNT WAS \$ 543,445.00.

## Customer Complaint Information

<b>Date Complaint Received:</b>	09/26/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	01/16/2009
<b>Settlement Amount:</b>	\$0.00
<b>Individual Contribution Amount:</b>	\$0.00

## Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	09-06731
<b>Date Notice/Process Served:</b>	12/11/2009
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	05/20/2011
<b>Monetary Compensation Amount:</b>	\$140,000.00
<b>Individual Contribution Amount:</b>	\$0.00

**Disclosure 2 of 3**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** CHASE INVESTMENT SERVICES CORP

**Allegations:** CLIENT ALLEGES THAT THE SALE OF A FIXED AND VARIABLE ANNUITY WAS MISREPRESENTED AND UNSUITABLE.

**Product Type:** Annuity(ies) - Fixed

**Other Product Type(s):** ANNUIT(IES) - VARIABLE

**Alleged Damages:** \$34,000.00

**Customer Complaint Information**

**Date Complaint Received:** 06/13/2007

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/11/2007

**Settlement Amount:** \$41,831.00

**Individual Contribution Amount:** \$0.00

**Disclosure 3 of 3**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** BANC ONE SECURITIES CORPORATION

**Allegations:** CUSTOMER ALLEGES MISREPRESENTATION IN DISCLOSURE OF MUTUAL FUND FEES.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$6,000.00

**Customer Complaint Information**

**Date Complaint Received:** 04/24/2006

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/15/2006

**Settlement Amount:**

**Individual Contribution Amount:**



## 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:** CHASE INVESTMENT SERVICES CORP  
**Termination Type:** Discharged  
**Termination Date:** 06/01/2011  
**Allegations:** DURING A BRANCH AUDIT FIRM DISCOVERED A PHOTOCOPY OF CLIENT SIGNED DOCUMENT THAT CONTAINED ADDITIONAL INKED IN INFORMATION, CHANGES TO CERTAIN CLIENT DOCUMENTS WERE NOT INITIALED IN VIOLATION OF COMPANY POLICY AND AN UNAPPROVED HYPOTHETICAL ILLUSTRATION.  
**Product Type:** No Product

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**Reporting Source:** Individual  
**Firm Name:** CHASE INVESTMENT SERVICES CORP  
**Termination Type:** Discharged  
**Termination Date:** 06/01/2011  
**Allegations:** DURING A BRANCH AUDIT FIRM DISCOVERED A PHOTOCOPY OF CLIENT SIGNED DOCUMENT THAT CONTAINED ADDITIONAL INKED IN INFORMATION, CHANGES TO CERTAIN CLIENT DOCUMENTS WERE NOT INITIALED IN VIOLATION OF COMPANY POLICY AND AN UNAPPROVED HYPOTHETICAL ILLUSTRATION.  
**Product Type:** No Product



## End of Report

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