



IAPD Report

GREGORY DALE HUNTER

CRD# 3165845

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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

GREGORY DALE HUNTER (CRD# 3165845)

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 **04/07/2026**.

CURRENT EMPLOYERS

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

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **36** 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 | HUNTER CAPITAL | 328501 | JENKS, OK | 03/07/2024 - 05/17/2024 |
| B | FIRST ALLIED SECURITIES, INC. | 32444 | MOUNTAIN HOME, AR | 02/26/2010 - 09/08/2022 |
| IA | FIRST ALLIED ADVISORY SERVICES, INC. | 137888 | Mountain Home, AR | 07/02/2012 - 11/12/2020 |

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

| Type | Count |
|------------------|-------|
| 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 **36** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096
Firm ID#: 105644

| Regulator | Registration | Status | Date |
|-------------|-----------------------------------|---------------------|------------|
| IA Arizona | Investment Adviser Representative | Approved | 06/19/2025 |
| IA Arkansas | Investment Adviser Representative | Approved | 11/12/2020 |
| IA Oklahoma | Investment Adviser Representative | Approved | 06/06/2023 |
| IA Texas | Investment Adviser Representative | Restricted Approval | 11/12/2020 |

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
115 S COLLEGE STREET
MOUNTAIN HOME, AR 72653

CETERA INVESTMENT ADVISERS LLC
Scottsdale, AZ

CETERA INVESTMENT ADVISERS LLC
7025 N SCOTTSDALE RD STE 115 & 110
SCOTTSDALE, AZ 85253

Employment 2 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 FINRA | General Securities Representative | Approved | 09/08/2022 |



Qualifications

| Regulator | Registration | Status | Date |
|----------------------|-------------------------|----------|------------|
| B FINRA | Operations Professional | Approved | 09/08/2022 |
| B Alabama | Agent | Approved | 01/04/2023 |
| B Alaska | Agent | Approved | 09/08/2022 |
| B Arizona | Agent | Approved | 09/08/2022 |
| B Arkansas | Agent | Approved | 09/08/2022 |
| B California | Agent | Approved | 09/08/2022 |
| B Colorado | Agent | Approved | 09/08/2022 |
| B Connecticut | Agent | Approved | 09/08/2022 |
| B Florida | Agent | Approved | 09/08/2022 |
| B Georgia | Agent | Approved | 09/08/2022 |
| B Idaho | Agent | Approved | 09/08/2022 |
| B Illinois | Agent | Approved | 09/08/2022 |
| B Indiana | Agent | Approved | 01/22/2024 |
| B Iowa | Agent | Approved | 09/08/2022 |
| B Kansas | Agent | Approved | 09/08/2022 |
| B Kentucky | Agent | Approved | 09/08/2022 |
| B Louisiana | Agent | Approved | 09/08/2022 |
| B Maine | Agent | Approved | 06/09/2025 |
| B Maryland | Agent | Approved | 09/08/2022 |



Qualifications

| Regulator | Registration | Status | Date |
|-------------------------|--------------|----------|------------|
| B Michigan | Agent | Approved | 09/08/2022 |
| B Minnesota | Agent | Approved | 09/08/2022 |
| B Mississippi | Agent | Approved | 09/08/2022 |
| B Missouri | Agent | Approved | 09/08/2022 |
| B Nebraska | Agent | Approved | 09/08/2022 |
| B Nevada | Agent | Approved | 09/08/2022 |
| B New Mexico | Agent | Approved | 09/08/2022 |
| B North Carolina | Agent | Approved | 09/08/2022 |
| B Ohio | Agent | Approved | 09/08/2022 |
| B Oklahoma | Agent | Approved | 09/08/2022 |
| B Oregon | Agent | Approved | 09/08/2022 |
| B South Carolina | Agent | Approved | 09/08/2022 |
| B South Dakota | Agent | Approved | 09/08/2022 |
| B Texas | Agent | Approved | 09/08/2022 |
| B Utah | Agent | Approved | 09/08/2022 |
| B Virginia | Agent | Approved | 09/08/2022 |
| B Washington | Agent | Approved | 09/08/2022 |
| B Wisconsin | Agent | Approved | 09/08/2022 |



Qualifications

Branch Office Locations

CETERA ADVISORS LLC
115 S College Street
MOUNTAIN HOME, AR 72653

CETERA ADVISORS LLC
Scottsdale, AZ

CETERA ADVISORS LLC
7025 N SCOTTSDALE RD STE 115 & 110
SCOTTSDALE, AZ 85253



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 |
|------|----------|------|
|------|----------|------|

No information reported.


General Industry/Product Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|--|-------------|------------|
|  Operations Professional Examination (S99TO) | Series 99TO | 01/02/2023 |
|  Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|  General Securities Representative Examination (S7) | Series 7 | 12/28/1998 |

State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|--|-----------|------------|
|  Uniform Investment Adviser Law Examination (S65) | Series 65 | 12/01/2005 |
|  Uniform Securities Agent State Law Examination (S63) | Series 63 | 01/12/1999 |

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 |
|----|-------------------------|--|----------------|-------------------|
| IA | 03/07/2024 - 05/17/2024 | HUNTER CAPITAL | CRD# 328501 | JENKS, OK |
| B | 02/26/2010 - 09/08/2022 | FIRST ALLIED SECURITIES, INC. | CRD# 32444 | MOUNTAIN HOME, AR |
| IA | 07/02/2012 - 11/12/2020 | FIRST ALLIED ADVISORY SERVICES, INC. | CRD# 137888 | Mountain Home, AR |
| IA | 02/26/2010 - 07/02/2012 | FIRST ALLIED SECURITIES, INC. | CRD# 32444 | MOUNTAIN HOME, AR |
| B | 11/03/2006 - 03/01/2010 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | JONESBORO, AR |
| IA | 11/03/2006 - 03/01/2010 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | JONESBORO, AR |
| IA | 12/05/2005 - 11/07/2006 | EDWARD JONES | CRD# 250 | MOUNTAIN HOME, AR |
| B | 03/19/1999 - 11/07/2006 | EDWARD JONES | CRD# 250 | MOUNTAIN HOME, AR |
| B | 01/22/1999 - 03/15/1999 | CAMBRIDGE INVESTMENT RESEARCH, INC. | CRD# 39543 | FAIRFIELD, IA |

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 |
|-------------------|--------------------------------|-----------------------------------|--------------------|----------------------------------|
| 03/2026 - Present | WILDE WEALTH CAPITAL MARKETS | OWNER | Y | MOUNTAIN HOME, AR, United States |
| 11/2024 - Present | WILDE WEALTH MANAGEMENT | CIO | Y | MOUNTAIN HOME, AR, United States |
| 12/2023 - Present | HUNTER CAPITAL | Chief Compliance Officer | Y | Jenks, OK, United States |
| 09/2022 - Present | CETERA ADVISORS LLC | REGISTERED REPRESENTATIVE | Y | MOUNTAIN HOME, AR, United States |
| 11/2020 - Present | Cetera Investment Advisers LLC | Investment Adviser Representative | Y | MOUNTAIN HOME, AR, United States |
| 02/2010 - 09/2022 | FIRST ALLIED SECURITIES, INC. | Registered Representative | Y | SAN DIEGO, CA, United States |



Registration & Employment History

EMPLOYMENT HISTORY

| Employment Dates | Employer Name | Position | Investment Related | Employer Location |
|-------------------|--------------------------------------|-----------------------------------|--------------------|---------------------------------|
| 02/2012 - 11/2020 | FIRST ALLIED ADVISORY SERVICES, INC. | INVESTMENT ADVISER REPRESENTATIVE | Y | CHESTERFIELD, MO, 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.

1. HUNTER CAPTIAL WEALTH ADVISORS UNDER FIRST ALLIED SECURITIES. DBA. DIRECT OWNER. STARTED 2/26/2010. SPEND 40 HOURS A WEEK, 20 DAYS PER MONTH ON THE BUSINESS, ALL DURING MARKET HOURS.
- 2.) SUCCESSOR TRUSTEE FOR LAUREN ACKERMAN;SUCCESSOR TRUSTEE; FIDUCIARY POSITION (TRUSTEE, POA, EXECUTOR, ETC); START DATE: 10/29/2012.
- 3.) RKM HOLDINGS LLC; OWNER/MEMBER; REAL ESTATE; START DATE: 10/04/2018; 4 HOUR PER MONTH.
- 4.) HUNTER CAPITAL HOLDINGS LLC; OWNER; REAL ESTATE; START DATE: 8/16/2021; 40 HOURS PER MONTH.
- 5) NAME OF OTHER BUSINESS: HUNTER'S RIDGE, LLC,
INVESTMENT RELATED: NO,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: REAL ESTATE,
START DATE: 03/2023,
POSITION/TITLE/RELATIONSHIP: PARTNER,
APX NUMBER OF HOURS PER WEEK: 1,
APX NUMBER OF HOURS DURING TRADING HOURS: VARIES,
BRIEF DESCRIPTION OF DUTIES: MANAGE RAW LAND FOR DEVELOPMENT;
- 6) NAME OF OTHER BUSINESS: WILDE WEALTH MANAGEMENT;
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: FINANCIAL SERVICES,
START DATE: 11/2024,
POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL/CIO;
APX NUMBER OF HOURS PER WEEK: 40,
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5,
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;
- 7) NAME OF OTHER BUSINESS: WILDE WEALTH CAPITAL MARKETS;
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: FINANCIAL SERVICES,
START DATE: 3/2026;
POSITION/TITLE/RELATIONSHIP: OWNER,
APX NUMBER OF HOURS PER WEEK: 40,
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5,
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;



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 | 2 |

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: | Individual |
| Employing firm when activities occurred which led to the complaint: | First Allied Securities |
| Allegations: | Beginning in January of 2014, the client alleges that his RR recommended unsuitable investments which resulted in losses in the clients accounts. |
| Product Type: | Oil & Gas |
| Alleged Damages: | \$125,000.00 |
| 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: | 04/18/2016 |
| Complaint Pending? | No |
| Status: | Settled |
| Status Date: | 05/31/2016 |
| Settlement Amount: | \$76,000.00 |
| Individual Contribution Amount: | \$10,000.00 |

**Disclosure 2 of 2****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** EDWARD JONES**Allegations:** CLIENT STATES HUNTER PROVIDED HER WITH A PROPOSAL TO REPOSITION THE ASSETS IN HER ACCOUNT. SHE HAS INDICATED HUNTER PROCEEDED WITH THE REPOSITIONING WITHOUT HER AUTHORIZATION WHICH INCLUDED THE SALE OF SEVERAL INVESTMENTS (FOR REALIZED LOSSES OF APPROXIMATELY \$26,000) AND THE PURCHASE OF AN AMERICAN LEGACY III ANNUITY. CLIENT STATES DISTRIBUTIONS FROM THE ANNUITY WERE SUBJECT TO A 10% PENALTY DUE TO HER BEING UNDER THE AGE OF 59 1/2. CLIENT FURTHER STATES THE IR WAS INSTRUCTED TO PURCHASE A SHARES OF INVESTMENT COMPANY OF AMERICA AND INSTEAD PURCHASED B SHARES. ALSO, MAKES VARIOUS ALLEGATIONS REGARDING COMMISSIONS AND LOSS OF INCOME. LOSSES (REALIZED AND/OR UNREALIZED) ARE GREATER THAN \$5,000.00.**Product Type:** Mutual Fund(s)**Alleged Damages:** \$5,000.00**Customer Complaint Information****Date Complaint Received:** 04/04/2001**Complaint Pending?** No**Status:** Denied**Status Date:** 07/24/2001**Settlement Amount:****Individual Contribution Amount:****Broker Statement** ACCORDING TO OUR RECORDS SHS OF AIM, PUTNAM HIGH YLD TR AND HL&P CAP TR I WERE SOLD IN 3/00 IN THE CLIENT'S ACCT. A PORTION OF THE PROCEEDS WERE UTILIZED TO PURCHASE A LINCOLN NTL LEGACY III ANN. HUNTER HAS INDICATED THE ANN WAS SUGGESTED AS A INV WHICH WOULD PROVIDE INCOME AS WELL AS TAX DEFERRED GROWTH. WHEN HUNTER REALIZED THE CLIENT WAS UNDER THE AGE OF 59 1/2 HE CONTACTED THE ANN COMPANY TO DETERMINE WHAT ACTION COULD BE TAKEN. HUNTER HAS STATED HE EXPLAINED THE 72-Q OPTION. HUNTER HAS FURTHER STATED THE DECISION WAS MADE TO TAKE INCOME FROM ANOTHER SOURCE UNTIL SHE REACHED THE AGE OF 59 1/2. IN 4/00 SHS OF PUTNAM DIVERSIFIED INCOME TR WERE EXCHANGED FOR SHS OF PUTNAM FUND FOR G & I. SUBSEQUENT TO COMPLETING THE EXCHANGE HUNTER HAS INDICATED THE CLIENT



EXPRESSED DISAPPOINTMENT IN THE PERFORMANCE OF THE PUTNAM FD FOR G&I AND QUESTIONED HIM REGARDING OTHER ALTERNATIVES. HUNTER HAS FURTHER INDICATED HE DISCUSSED SELLING THE PUTNAM FD FOR G&I AND PURCHASING SHS OF ICA. WHEN THE ORDER WAS ENTERED B SHARES WERE PURCHASED. HUNTER OFFERED TO CORRECT THIS SITUATION ON SEVERAL OCCASIONS AND WAS INSTRUCTED TO LEAVE THE SHS AS THEY WERE. OUR RECORDS INDICATE THE TRANSACTION WAS COMPLETED IN 2/01. SHS OF NSP FINANCING WERE SOLD IN 3/01. MR. HUNTER HAS STATED HE DID INFORM THE CLIENT THE SHS WERE CALLABLE IN 2002 OR -03 AND THE VALUE MOST LIKELY WOULD NOT INCREASE. HUNTER HAS FURTHER STATED HE EXPLAINED THE COMMISSIONS WHICH WOULD APPLY SHOULD YOU ELECT TO SELL THE SHS. HUNTER OFFERED A DISCOUNTED COMMISSION ON THE SALE OF THE SHS AND HAS INDICATED THE CLIENT CONTACTED HIS BRANCH OFFICE ADMIN WHEN SHE RECEIVED THE TRADE CONFIRM AT WHICH TIME YOU STATED THE COMMISSION CHARGED WAS INCORRECT. THE TRADES WERE RE-BILLED WITH THE CORRECTED COMMISSION. BASED ON OUR REVIEW THE TRANSACTIONS IN QUESTION WERE COMPLETED WITH THE CLIENT'S AUTHORIZATION. IN ADDITION TO RECEIVING TRADE CONFIRMS SHE ALSO RECEIVED CUST STMTS. CLAIM DENIED.



End of Report

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