



## IAPD Report

# BARRY PATRICK SULLIVAN

CRD# 705614

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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

### BARRY PATRICK SULLIVAN (CRD# 705614)

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 **01/12/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	04/02/2003
<b>IA</b>	WELLS FARGO ADVISORS	CRD# 11025	08/11/2003

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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>	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	PITTSFORD, NY	06/25/1998 - 02/19/2003
<b>B</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	02/20/1980 - 02/19/2003

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	6



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

### Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**  
Main Address: ONE NORTH JEFFERSON AVENUE  
MAIL CODE: H0004-05E  
ST. LOUIS, MO 63103-2205  
Firm ID#: 11025

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	04/02/2003
<b>B</b> FINRA	General Securities Principal	Approved	09/05/2003
<b>B</b> Alabama	Agent	Approved	08/02/2016
<b>B</b> Alaska	Agent	Approved	06/30/2022
<b>B</b> Arizona	Agent	Approved	02/27/2008
<b>B</b> Arkansas	Agent	Approved	04/06/2005
<b>B</b> California	Agent	Approved	04/02/2003
<b>B</b> Colorado	Agent	Approved	12/01/2005
<b>B</b> Connecticut	Agent	Approved	01/11/2005
<b>B</b> Delaware	Agent	Approved	11/15/2006
<b>B</b> District of Columbia	Agent	Approved	04/16/2003
<b>B</b> Florida	Agent	Approved	04/04/2003
<b>B</b> Georgia	Agent	Approved	03/11/2004



## Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	04/09/2003
B	Idaho	Agent	Approved	08/06/2021
IA	Illinois	Investment Adviser Representative	Approved	08/11/2003
B	Illinois	Agent	Approved	03/01/2004
B	Indiana	Agent	Approved	04/09/2003
B	Iowa	Agent	Approved	08/11/2021
B	Kansas	Agent	Approved	06/28/2022
B	Kentucky	Agent	Approved	05/21/2013
B	Louisiana	Agent	Approved	06/17/2004
B	Maine	Agent	Approved	07/27/2017
B	Maryland	Agent	Approved	04/04/2003
B	Massachusetts	Agent	Approved	04/10/2003
B	Michigan	Agent	Approved	04/23/2003
B	Minnesota	Agent	Approved	09/03/2013
B	Mississippi	Agent	Approved	07/26/2017
B	Missouri	Agent	Approved	11/21/2017
B	Montana	Agent	Approved	07/13/2010
B	Nebraska	Agent	Approved	03/16/2021
B	Nevada	Agent	Approved	09/14/2006



### Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	08/25/2017
IA New Hampshire	Investment Adviser Representative	Approved	08/16/2024
B New Jersey	Agent	Approved	03/01/2004
B New Mexico	Agent	Approved	06/21/2010
B New York	Agent	Approved	04/08/2003
IA New York	Investment Adviser Representative	Approved	07/27/2021
B North Carolina	Agent	Approved	05/28/2004
B North Dakota	Agent	Approved	12/01/2025
B Ohio	Agent	Approved	04/03/2003
B Oklahoma	Agent	Approved	08/09/2021
B Oregon	Agent	Approved	10/22/2004
B Pennsylvania	Agent	Approved	04/03/2003
B Rhode Island	Agent	Approved	12/02/2010
B South Carolina	Agent	Approved	11/15/2004
B South Dakota	Agent	Approved	11/25/2025
B Tennessee	Agent	Approved	07/11/2016
B Texas	Agent	Approved	06/21/2016
IA Texas	Investment Adviser Representative	Restricted Approval	06/10/2016



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Utah	Agent	Approved	07/12/2016
<b>B</b> Vermont	Agent	Approved	05/12/2017
<b>B</b> Virginia	Agent	Approved	03/01/2004
<b>B</b> Washington	Agent	Approved	02/10/2006
<b>B</b> West Virginia	Agent	Approved	09/14/2015
<b>B</b> Wisconsin	Agent	Approved	07/06/2010
<b>IA</b> Wisconsin	Investment Adviser Representative	Approved	09/15/2016
<b>B</b> Wyoming	Agent	Approved	08/09/2021

### Branch Office Locations

**WELLS FARGO ADVISORS**  
AQUINNAH, MA

**WELLS FARGO ADVISORS**  
1583 East Genesee Street  
[Satellite]  
Skaneateles, NY 13152

**WELLS FARGO ADVISORS**  
61 SUMMER ST  
[SATELLITE]  
KEENE, NH 03431

**WELLS FARGO ADVISORS**  
2809 WEHRLE DR STE 14  
[SATELLITE]  
WILLIAMSVILLE, NY 14221

**WELLS FARGO ADVISORS**  
2626 W STATE STREET #200  
[OFFICE OF CONVENIENCE]  
OLEAN, NY 14760

**WELLS FARGO ADVISORS**  
2626 WEST STATE ST SUITE 200  
[SATELLITE]  
OLEAN, NY 14760




## 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, 2 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	09/04/2003

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	02/16/1980

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/05/2003
	Uniform Securities Agent State Law Examination (S63)	Series 63	11/14/1984

### 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	06/25/1998 - 02/19/2003	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	PITTSFORD, NY
B	02/20/1980 - 02/19/2003	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
05/2009 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	REGISTERED REP	Y	ROCHESTER, 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.

SULLIVAN & ASSOCIATES WEALTH MANAGEMENT, LLC; INV. RELATED; ROCHESTER, NY; 100% OWNERSHIP; START DATE 2014; 1 HR PER MONTH; 0 HRS DURING TRADING.  
TRUSTEE FOR SULLIVAN & ASSOCIATES WEALTH MANAGEMENT, LLC 401K; INV. RELATED; ROCHESTER, NY; START DATE 2014; 1 HR PER MONTH; 0 HRS DURING TRADING.



## 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	6

### 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 6

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH

**Allegations:** CLIENT ALLEGES THAT FINANCIAL ADVISOR FAILED TO FOLLOW INSTRUCTIONS.

**Product Type:** Equity - OTC

**Alleged Damages:** \$400,000.00

#### Customer Complaint Information

**Date Complaint Received:** 04/02/2007

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 02/03/2009

#### Settlement Amount:

#### Individual Contribution Amount:

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH



**Allegations:** CLIENT ALLEGES THAT FINANCIAL ADVISOR FAILED TO FOLLOW INSTRUCTIONS.

**Product Type:** Equity - OTC

**Alleged Damages:** \$400,000.00

### Customer Complaint Information

**Date Complaint Received:** 04/02/2007

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 02/03/2009

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 2 of 6

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

**Allegations:** CUSTOMERS ORALLY ALLEGED FA SERVICED THEIR ACCOUNTS UNSUITABLY. CUSTOMERS DID NOT ALLEGE SPECIFIC COMPENSATORY DAMAGES.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 02/24/2003

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 09/19/2003

**Settlement Amount:** \$100,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** SETTLED.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

**Allegations:** CUSTOMERS ORALLY ALLEGED FA SERVICED THEIR ACCOUNTS UNSUITABLY. CUSTOMERS DID NOT ALLEGE SPECIFIC COMPENSATORY DAMAGES.

**Product Type:** Equity Listed (Common & Preferred Stock)



**Alleged Damages:** \$0.00

**Customer Complaint Information**

**Date Complaint Received:** 02/24/2003

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 09/19/2003

**Settlement Amount:** \$100,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** SETTLED

**Disclosure 3 of 6**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH

**Allegations:** CLIENT ALLEGES THAT HE DID NOT AUTHORIZE THE REINVESTMENT OF PROCEEDS FROM THE SALE OF HIS KODAK STOCK IN DECEMBER 2000. NO DAMAGES SPECIFIED.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$0.00

**Customer Complaint Information**

**Date Complaint Received:** 01/09/2003

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 03/10/2003

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** CLIENT'S ALLEGATIONS WERE DENIED IN THEIR ENTIRETY. MR. SULLIVAN SUGGESTED THE NICHOLAS APPELATE ACCOUNT FOR THE REINVESTMENT OF THE GE PROCEEDS AND MADE THE TRANSACTIONS ONLY WITH THE CLIENT'S AUTHORIZATION. NICHOLAS APPELATE IS AN INVESTMENT MANAGER. SINCE JUNE 1994 CLIENT HAS BEEN WORKING WITHOUT NICHOLAS APPELATE. THE CLIENT DEPOSITED HIS GE SHARES AND CLEARLY INDICATED THE SHARES WERE FOR HIS NICHOLAS APPELATE ACCOUNT.

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH

**Allegations:** CLIENT ALLEGES THAT HE DID NOT AUTHORIZE THE REINVESTMENT OF



PROCEEDS FROM THE SALE OF HIS KODAK STOCK IN DECEMBER 2000.  
NO DAMAGES SPECIFIED.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 01/09/2003

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 03/10/2003

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** CLIENT'S ALLEGATIONS WERE DENIED IN THEIR ENTIRETY. MR. SULLIVAN SUGGESTED THE NICHOLAS APPELATE ACCOUNT FOR THE REINVESTMENT OF THE EK PROCEEDS AND MADE THE TRANSACTIONS ONLY WITH THE CLIENT'S AUTHORIZATION. NICHOLAS APPELATE IS AN INVESTMENT MANAGER. SINCE JUNE 1994 CLIENT HAS BEEN WORKING WITH NICHOLAS APPELATE. THE CLIENT DEPOSITED HIS EK SHARES AND CLEARLY INDICATED THE SHARES WERE FOR HIS NICHOLAS APPELATE ACCOUNT.

### Disclosure 4 of 6

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH

**Allegations:** CUSTOMER ALLEGES THAT MR. SULLIVAN MADE AN INAPPROPRIATE RECOMMENDATION TO CLOSE AND LIQUIDATE AN ACCOUNT MANAGED BY AN OUTSIDE INVESTMENT ADVISOR AND TO INSTEAD MAINTAIN A CONSULTS ACCOUNTS. CUSTOMER PAID \$414,646 IN TAXES ON A CAPITAL GAIN OF APPROXIMATELY \$1.2 MILLION.

**Product Type:** Equity - OTC

**Alleged Damages:** \$808,613.00

### Customer Complaint Information

**Date Complaint Received:** 12/19/1997

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 11/03/1997

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information



**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 97-05166

**Date Notice/Process Served:** 11/03/1997

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/02/2001

**Monetary Compensation Amount:** \$190,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** CLAIM SETTLED TO AVOID THE EXPENSES AND UNCERTAINTIES OF AN ANTICIPATED LENGTHY ARBITRATION HEARING.

#### Disclosure 5 of 6

**Reporting Source:** Individual

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

**Allegations:** CLAIMANTS EACH ALLEGE UNSUITABLE PURCHASE OF \$10,000 INTEREST IN A REAL ESTATE LIMITED PARTNERSHIP. CASH SEEKS \$10,000 PLUS INCIDENTALS.

**Product Type:**

**Alleged Damages:** \$20,000.00

#### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 08/10/1994

**Settlement Amount:**

**Individual Contribution Amount:**

#### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 93-03698

**Date Notice/Process Served:** 10/20/1993

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/10/1994

**Monetary Compensation Amount:** \$15,000.00

**Individual Contribution Amount:****Broker Statement**

THIS MATTER WAS SETTLED FOR \$15,000 TOTAL (\$7,5000 TO EACH CUSTOMER) WITH NO CONCESSION OF LIABILITY OR WRONGDOINGBY THE FIRM OR FINANCIAL CONSULTANT. PAID IN FULL BY BARRY SULLIVAN.  
MATTER WAS SETTLED WITH NO CONCESSION OF LIABILITY OR WRONGDOING IN ORDER TO AVOID THE RISKS AND UNCERTAINTY OF LITIGATION.

**Disclosure 6 of 6****Reporting Source:**

Individual

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

CLAIMANTS ALLEGE INVESTMENT OF \$20,000 OF THEIR \$150,000 PLUS SECURITIES INTO REAL ESTATE LIMITED PARTNERSHIP. SEEKS 20,000 PLUS INCIDENTALS.

**Product Type:****Alleged Damages:**

\$20,000.00

**Customer Complaint Information****Date Complaint Received:****Complaint Pending?**

No

**Status:**

Arbitration/Reparation

**Status Date:****Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:**

National Association of Securities Dealers, Inc.; 93-03576

**Date Notice/Process Served:**

10/20/1993

**Arbitration Pending?**

No

**Disposition:**

Settled

**Disposition Date:**

08/03/1994

**Monetary Compensation Amount:**

\$15,000.00

**Individual Contribution Amount:****Broker Statement**

THIS MATTER WAS SETTLED FOR \$15,000 WITH NO CONCESSION OF LIABILITY OR WRONGDOING BY FIRM OR FINANCIAL CONSULTANT.  
MATTER WAS SETTLED WITH NO CONCESSION OF LIABILITY OR WRONGDOING IN ORDER TO AVOID THE RISKS AND UNCERTAINTY OF LITIGATION.



## End of Report

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