



IAPD Report

CHARLES CAWTHON SORSBY

CRD# 809318

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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

CHARLES CAWTHON SORSBY (CRD# 809318)

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 **10/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SORSBY FINANCIAL CORP.	CRD# 39437	11/21/1996
IA	SORSBY FINANCIAL CORP	CRD# 39437	02/02/2006

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	MUTUAL FUND ADVISORS LLC	103936	CHICAGO, IL	07/10/2000 - 01/27/2006
B	MCGONAGLE SECURITIES, INC.	19952	NAPERVILLE, IL	07/05/1995 - 03/11/1997
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	09/26/1978 - 06/23/1995

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	2
Termination	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 9 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **SORSBY FINANCIAL CORP**
Main Address: 4851 BONITA BAY BLVD
SUITE 701
BONITA SPRINGS, FL 34134
Firm ID#: 39437

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	11/21/1996
B	FINRA	General Securities Representative	Approved	11/21/1996
B	FINRA	Introducing BD/Finan Operation Principal	Approved	11/21/1996
B	FINRA	Municipal Securities Principal	Approved	11/21/1996
B	FINRA	Registered Options Principal	Approved	11/21/1996
B	FINRA	Municipal Securities Representative	Approved	04/17/2002
B	FINRA	Operations Professional	Approved	12/12/2011
B	Arizona	Agent	Approved	11/23/2005
B	California	Agent	Approved	05/20/2015
B	Colorado	Agent	Approved	06/01/2015
B	Florida	Agent	Approved	01/08/1997
IA	Florida	Investment Adviser Representative	Approved	11/25/2025
B	Georgia	Agent	Approved	12/11/1997



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	01/06/1997
IA Illinois	Investment Adviser Representative	Approved	02/02/2006
B Nevada	Agent	Approved	06/16/2015
B Washington	Agent	Approved	01/07/1997
B Wisconsin	Agent	Approved	01/13/1997

Branch Office Locations

SORSBY FINANCIAL CORP
4851 BONITA BAY BLVD
SUITE 701
BONITA SPRINGS, FL 34134

SORSBY FINANCIAL CORP
4851 BONITA BAY BLVD
SUITE 701
BONITA SPRINGS, FL 34134

SORSBY FINANCIAL CORP
Bonita Springs, FL







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 4 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	Registered Options Principal Examination (S4)	Series 4	04/18/1996
	Introducing Broker/Dealer Financial Operations Principal Examination (S28)	Series 28	01/26/1996
	Municipal Securities Principal Examination (S53)	Series 53	01/05/1996
	General Securities Principal Examination (S24)	Series 24	11/10/1995

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	AMEX Put and Call Exam (PC)	PC	10/22/1981
	General Securities Representative Examination (S7)	Series 7	06/21/1975

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	02/10/2005
	Uniform Securities Agent State Law Examination (S63)	Series 63	09/26/1979



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	07/10/2000 - 01/27/2006	MUTUAL FUND ADVISORS LLC	CRD# 103936	CHICAGO, IL
B	07/05/1995 - 03/11/1997	MCGONAGLE SECURITIES, INC.	CRD# 19952	NAPERVILLE, IL
B	09/26/1978 - 06/23/1995	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	10/23/1980 - 10/29/1981	OPPENHEIMER & CO., INC.	CRD# 630	
B	06/25/1975 - 09/26/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

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
01/1997 - Present	SORSBY FINANCIAL CORP	PRESIDENT REGISTERED REPRESENT	Y	CHICAGO, IL, 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.

CAPITAL CONSERVATION CORP.; PRESIDENT & SOLE SHAREHOLDER; STARTED 12/1996; 100 E HURON #3501, CHICAGO, IL; 1-10 HRS PER MO; INVESTMENT RELATED; MAY OCCUR DURING MARKET HOURS; ACTS AS GENERAL PARTNER FOR CAPITAL PRESERVATION FUND L.P. SINCE 6/17/2004; DUTIES INVOLVE INVESTING DECISIONS FOR THE CAPITAL PRESERVATION FUND L.P.

CAPITAL PRESERVATION FUND L.P.; STARTED 12/1996; GENERAL PARTNER; 676 N. MICHIGAN AVE, #3605, CHICAGO, IL; SALES OF INVESTMENT SHARES PURSUANT TO RULE 506 OF REGULATION D; 40 HOURS PER MONTH; INVESTMENT RELATED; ACTIVITIES MAY OCCUR DURING MARKET HOURS.



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	2
Termination	2

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS SECURITIES DEPARTMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/08/1998
Docket/Case Number:	9800392
Employing firm when activity occurred which led to the regulatory action:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Product Type:	
Other Product Type(s):	
Allegations:	RESPONDENT'S SALESPERSON REGISTRATION IN ILLINOIS IS SUBJECT TO REVOCATION BASED UPON NYSE DECISION CASE NO. 97-71.
Current Status:	Final
Resolution:	Consent
Resolution Date:	01/15/1999
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	A CONSENT ORDER OF CENSURE WAS ISSUED, JANUARY



15, 1999. RESPONDENT IS CENSURED AND SHALL PAY COST OF INVESTIGATION IN THE AMOUNT OF \$1,000.

Regulator Statement

CONTACT: (217) 785-4948

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF ILLINOIS, SECURITIES DEPT

Sanction(s) Sought: Censure

Other Sanction(s) Sought: ORDER TO PAY \$1000 TO THE STATE AS REIMBURSEMENT TO COVER COST OF INVESTIGATION.

Date Initiated: 10/08/1998

Docket/Case Number: 9800392

Employing firm when activity occurred which led to the regulatory action: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Allegations: THE ON 7/23/1998 AN EXCHANGE HEARING PANEL OF THE NYSE ACCEPTED A STIPULATION OF FACTS AND CONSENT TO PENALTY ALLEGING FAILURE TO MAKE AND PRESERVE RECORDS RELATING TO RECEIPT OF CUSTOMER ORDERS, UNTIMELY ALLOCATION OF TRADES, AND EXERCISE OF DISCRETION FOR SEVERAL CUSTOMERS WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION, BETWEEN 01/1994 AN 06/1995 WHILE IN THE EMPLOY OF MERRILL LYNCH.

Current Status: Final

Resolution: Dismissed

Resolution Date: 01/15/1999

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered: NONE

Sanction Details: A CENSURE AND ORDER TO PAY \$1000.00 TO THE SECRETARY OF STATE AS REIMBURSEMENT TO COVER THE COST OF INVESTIGATION. THE SCHEDULED FORMAL HEARING WAS DISMISSED WITHOUT FURTHER PROCEEDINGS.

Broker Statement THE SCHEDULED HEARING WAS DISMISSED WITHOUT FURTHER PROCEEDINGS.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NYSE DIVISION OF ENFORCEMENT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 06/24/1998



Docket/Case Number: 98-71

Employing firm when activity occurred which led to the regulatory action: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Product Type:

Other Product Type(s):

Allegations: **06/24/1998** STIPULATION AND CONSENTED TO PENALTY FILED BY NYSE DIVISION OF ENFORCEMENT AND PENDING. CONSENTED TO FINDINGS: A. 1. CAUSED A VIOLATION OF EXCHANGE RULE 440, SECTION 17 (a) OF THE SECURITIES AND EXCHANGE ACT OF 1934, AND SEC REGULATIONS 240.17a-3 AND 17a-4 THEREUNDER, BY FAILING TO MAKE AND PRESERVE REQUIRED RECORDS RELATING TO RECEIPT AND EXECUTION OF CUSTOMER ORDERS. 2. ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE ENGAGED IN A COURSE OF CONDUCT WHEREBY HE EFFECTED IMPROPER POST-EXECUTION ALLOCATION OF TRADES IN CUSTOMER ACCOUNTS. 3. CAUSED A VIOLATION OF EXCHANGE RULE 401 IN THAT HE ENGAGED IN A COURSE OF CONDUCT WHEREBY HE EFFECTED IMPROPER POST- EXECUTION ALLOCATION OF TRADES IN CUSTOMER ACCOUNTS WHICH THEREBY RESULTED IN THE ABILITY TO GRANT PREFERENTIAL TREATMENT TO CERTAIN CUSTOMERS. 4. VIOLATED EXCHANGE RULE 408 (a) BY EXERCISING DISCRETION IN ONE OR MORE CUSTOMER ACCOUNTS WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION OF THE CUSTOMER. B. THE IMPOSITION BY THE EXCHANGE OF A PENALTY OF A CENSURE, A ONE MONTH BAR FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND FROM EMPLOYMENT OF ASSOCIATION IN ANY CAPACITY WITH ANY MEMBER ORGANIZATION, AND A FINE IN THE AMOUNT OF \$75,000.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 07/23/1998

Sanctions Ordered: Bar
Censure
Monetary/Fine \$75,000.00

Other Sanctions Ordered:

Sanction Details: **07/23/1998**DECISION 98-71 ISSUED BY NYSE HEARING PANEL. DECISION: 1. CAUSED A VIOLATION OF EXCHANGE RULE 440, SECTION 17(a) OF THE SECURITIES AND EXCHANGE ACT OF 1934, AND SEC REGULATION 240.17a-3 AND 17a-4 BY FAILING TO MAKE AND PRESERVE REQUIRED RECORDS RELATING TO RECEIPT AND EXECUTION OF CUSTOMER ORDERS. 2. CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE ENGAGED IN A COURSE OF CONDUCT WHEREBY HE EFFECTED IMPROPER POST-EXECUTION ALLOCATION



OF TRADES. 3. CAUSED A VIOLATION OF EXCHANGE RULE 401 IN THAT HE ENGAGED IN A COURSE OF CONDUCT WHEREBY HE EFFECTED IMPROPER POST-EXECUTION ALLOCATION OF TRADES IN CUSTOMER ACCOUNTS WHICH THEREBY RESULTED IN THE ABILITY TO GRANT PREFERENTIAL TREATMENT TO CERTAIN CUSTOMERS. 4. VIOLATED EXCHANGE RULE 408(a) BY EXERCISING DISCRETION IN ONE OR MORE CUSTOMER ACCOUNTS WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION OF CUSTOMERS. CONSENT TO A CENSURE, A BAR OF ONE MONTH, AND A \$75,000 FINE. **8/25/1998** THE DECISION IS FINAL AND EFFECTIVE THE CLOSE OF BUSINESS ON SEPTEMBER 4, 1998.

Regulator Statement

07/23/1998 UNLESS A REVIEW BY THE NYSE BOARD OF DIRECTORS IS REQUESTED, THIS DECISION WILL BECOME FINAL 25 CALENDAR DAYS AFTER NOTICE OF THE HEARING PANEL'S DETERMINATION HAS BEEN SERVED UPON THE RESPONDENT. CONTACT: PEGGY GERMINO (212) 656-8450.

Reporting Source: Individual

Regulatory Action Initiated By: NYSE

Sanction(s) Sought: Other

Other Sanction(s) Sought: 30 DAY BAR FROM APPROVED PERSON STATUS. WITHOUT ADMITTING OR DENYING GUILT, I CONSENTED TO THE IMPOSITION BY THE NYSE OF A CENSURE, A ONE MONTH BAR FROM APPROVED PERSON STATUS AND A \$75,000 FINE

Date Initiated: 07/10/1995

Docket/Case Number: 98-71

Employing firm when activity occurred which led to the regulatory action: MERRILL LYNCH

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Allegations: THE ALLEGATIONS WERE THAT I FAILED TO MAKE AND PRESERVE RECORDS RELATING TO RECEIPT OF CUSTOMER ORDERS, EFFECTED UNTIMELY ALLOCATION OF TRADES, AND EXERCISED DISCRETION IN SEVERAL CUSTOMER ACCOUNTS WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 07/23/1998

Sanctions Ordered: Bar
Censure
Monetary/Fine \$75,000.00



Other Sanctions Ordered:

Sanction Details:

THE BAR WAS FOR 30 DAYS BEGINNING 09/04/1998 AND ENDING 10/04/1998. CAPABILITIES AFFECTED INCLUDED GENERAL SECURITIES PRINCIPAL, FINANCIAL OPERATIONS PRINCIPAL, REGISTERED OPTIONS PRINCIPAL, AND GENERAL SECURITIES REPRESENTATIVE. NO REQUALIFICATION EXAMS WERE REQUIRED. A \$75.000 FINE WAS PAID ON 10/08/1998.

Broker Statement

WITHOUT ADMITTING OR DENYING GUILT, I CONSENTED TO A FINDING THAT I: FAILED TO MAKE AND PRESERVE RECORDS RELATING TO RECEIPT OF CUSTOMER ORDERS, EFFECTED UNTIMELY ALLOCATION OF TRADES, AND EXERCISED DISCRETION IN ONE OR MORE CUSTOMER ACCOUNTS WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION.



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 2

Reporting Source: Individual

Firm Name: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Termination Type: Permitted to Resign

Termination Date: 06/16/1995

Allegations: FOLLOWING AN INTERNAL REVIEW, MERRILL LYNCH ALLEGED THAT I HAD ENTERED DISCRETIONARY ORDERS IN CERTAIN CLIENT ACCOUNTS WITHOUT THE NECESSARY POWERS OF ATTORNEY ON ILE.ADDITIONALLY THE FIRM ALLEGED THAT IN CERTAIN INSTANCES, I FAILED TO ASSIGN ACCOUNT NUMBERS IN A TIMELY FASHION. THE INTERNAL REVIEW AND FIRM ALLEGATIONS DID NOT RELATE TO ANY CUSTOMER INITIATED COMPLAINTS.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Types:

Broker Statement TERMINATION
NOT PROVIDED

Disclosure 2 of 2

Reporting Source: Individual

Firm Name: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Termination Type: Permitted to Resign

Termination Date: 10/13/1980

Allegations: I WAS ASKED TO RESIGN FROM MERRILL LYNCH ON 10/13/80 FOR FAILURE TO COMPLY WITH COMPANY PROCEDURES IN THAT I MADE UNAUTHORIZED COMMUNICATIONS WITH A POTENTIAL CUSTOMER IN CONNECTION WITH A PRIVATE PLACEMENT FOR A TAX-RELATED INVESTMENT.
INVESTMENT.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Types:

Broker Statement TERMINATION
NOT PROVIDED



End of Report

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