IAPD Report

DAVID P PAUL SOBOCINSKI

CRD# 867645

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 P PAUL SOBOCINSKI (CRD# 867645)

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 **01/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	08/28/2015
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	11/25/2015

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **20** 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	MORGAN STANLEY	149777	MELVILLE, NY	06/01/2009 - 09/15/2015
B	CITIGROUP GLOBAL MARKETS INC.	7059	FORT LAUDERDALE, FL	07/31/1993 - 06/01/2009
B	LEHMAN BROTHERS INC.	7506	NEW YORK, NY	02/13/1984 - 07/31/1993

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	4

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 **20** jurisdiction(s) and 10 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Address: 1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086

Firm ID#: 8174

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	08/28/2015
B	Cboe Exchange, Inc.	General Securities Representative	Approved	08/28/2015
B	FINRA	General Securities Representative	Approved	08/28/2015
B	NYSE American LLC	General Securities Representative	Approved	08/28/2015
B	NYSE Arca, Inc.	General Securities Representative	Approved	08/28/2015
B	NYSE Texas, Inc.	General Securities Representative	Approved	08/03/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	08/28/2015
B	Nasdaq PHLX LLC	General Securities Representative	Approved	08/28/2015
B	Nasdaq Stock Market	General Securities Representative	Approved	08/28/2015
B	New York Stock Exchange	General Securities Representative	Approved	08/28/2015
B	California	Agent	Approved	08/28/2015
B	Colorado	Agent	Approved	10/28/2015
B	Connecticut	Agent	Approved	09/18/2015

Qualifications

	Regulator	Registration	Status	Date
B	Delaware	Agent	Approved	10/16/2015
B	Florida	Agent	Approved	11/06/2015
IA	Florida	Investment Adviser Representative	Approved	12/10/2015
B	Georgia	Agent	Approved	09/06/2019
B	Illinois	Agent	Approved	07/31/2019
B	Maryland	Agent	Approved	08/06/2019
B	Massachusetts	Agent	Approved	10/16/2015
B	Michigan	Agent	Approved	11/01/2019
B	New Hampshire	Agent	Approved	04/15/2021
B	New Jersey	Agent	Approved	11/25/2015
IA	New Jersey	Investment Adviser Representative	Approved	11/25/2015
B	New York	Agent	Approved	08/28/2015
IA	New York	Investment Adviser Representative	Approved	06/28/2024
B	North Carolina	Agent	Approved	08/01/2019
B	Ohio	Agent	Approved	08/06/2019
B	Pennsylvania	Agent	Approved	08/28/2015
B	South Carolina	Agent	Approved	07/31/2019
B	Texas	Agent	Approved	11/06/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	07/20/2021

Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	08/28/2015
B	Washington	Agent	Approved	11/06/2019

Branch Office Locations

UBS FINANCIAL SERVICES INC.
Fort Lauderdale, FL

UBS FINANCIAL SERVICES INC.
Huntington, NY

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 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	06/16/1984
B	Municipal Securities Representative Examination (S52)	Series 52	04/02/1979

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/16/2015
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/21/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/08/1985

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	06/01/2009 - 09/15/2015	MORGAN STANLEY	CRD# 149777	MELVILLE, NY
B	07/31/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	FORT LAUDERDALE, FL
B	02/13/1984 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	04/11/1979 - 01/30/1984	DAVID LERNER ASSOCIATES, INC.	CRD# 5397	

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
08/2015 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	MELVILLE, 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.

Family Service League / 790 Park Avenue Huntington,NY 11743 / Other/ Other non-profit / assisting people in need / Member of Board of Directors / / being involved to assist those who are less fortunate / Start Date 12/19/2016/ non-profit / minor amount of time

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*.
  - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - o 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*.
  - o 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.
  - o 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.
  - o 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	4

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

Reporting Source:	Regulator
Regulatory Action Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	02/06/2014
Docket/Case Number:	0297D-SR-01/14
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY SMITH BARNEY LLC
Product Type:	No Product
Allegations:	CONDUCTED INVESTMENT ADVISORY BUSINESS FROM LOCATIONS WITHIN THIS STATE WITHOUT THE BENEFIT OF LAWFUL REGISTRATION.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/06/2014

Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$12,000.00
Portion Levied against individual:	$12,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	02/06/2014
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	ON 2/6/2014, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF DAVID PAUL SOBOCINSKI. MR. SOBOCINSKI NEITHER ADMITTED NOR DENIED THE FINDINGS BUT CONSENTED TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT DAVID PAUL SOBOCINSKI ENGAGED IN INVESTMENT ADVISORY BUSINESS FROM LOCATIONS WITHIN THIS STATE, WITHOUT THE BENEFIT OF LAWFUL REGISTRATION IN THE STATE OF FLORIDA PURSUANT TO SECTION 517.12(4), F. S. DAVID PAUL SOBOCINSKI AGREED TO PAY A $12,000 ADMINISTRATIVE FINE.

Reporting Source:	Individual
Regulatory Action Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	02/06/2014
Docket/Case Number:	0297D-SR-01/14
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY SMITH BARNEY LLC
Product Type:	No Product
Allegations:	CONDUCTED INVESTMENT ADVISORY BUSINESS FROM LOCATIONS WITHIN THIS STATE WITHOUT THE BENEFIT OF LAWFUL REGISTRATION.
Current Status:	Final
Resolution:	Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/06/2014
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$12,000.00
Portion Levied against individual:	$12,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	02/06/2014
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	DAVID SOBOCINSKI RELIED UPON MORGAN STANLEY TO ENSURE THAT HE WAS APPROPRIATELY REGISTERED IN EVERY STATE IN WHICH HE CONDUCTS BUSINESS. AS A RESULT OF AN ADMINISTRATIVE ERROR BY THE FIRM, ELEVEN OTHER FINANCIAL ADVISORS AND MR. SOBOCINSKI WERE FOUND TO BE IN VIOLATION OF INVESTMENT ADVISORY REGISTRATION REQUIREMENTS IN FLORIDA. BECAUSE OF THE FIRM'S ERROR, MORGAN STANLEY PAID THE FINE LEVIED UPON MR. SOBOCINSKI BY FLORIDA.

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS, INC.
Allegations:	CLAIMANTS ALLEGE, INTER ALIA, THAT FROM 2005-2008 THE FINANCIAL ADVISOR MAINTAINED AN UNSUITABLE ASSET ALLOCATION IN THEIR ACCOUNTS BY OVERCONCENTRATING THEM IN EQUITIES.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-06694
Filing date of arbitration/CFTC reparation or civil litigation:	11/24/2009

Customer Complaint Information

Date Complaint Received:	12/04/2009
Complaint Pending?	No
Status:	Settled
Status Date:	06/06/2011
Settlement Amount:	$53,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THIS MATTER WAS SETTLED FOR BUSINESS PURPOSES AND TO AVOID THE COSTS AND UNCERTAINTIES OF LITIGATION. THE FA WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT. THE FIRM DENIES ANY LIABILITY ON THE PART OF THE FA OR THE FIRM.

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS, INC.

Allegations: CLIENT ALLEGED THAT THE INVESTMENTS IN HIS MANAGED ACCOUNT WERE UNSUITABLE. 2004-2008 DAMAGES UNSPECIFIED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $0.00

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: 06/05/2009

Complaint Pending? No

Status: Denied

Status Date: 04/29/2010

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED FAILURE TO FOLLOW INSTRUCTIONS/ ALLEGED DAMAGES $16,000.00

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/06/1997

Complaint Pending? No

Status: Denied

Status Date:

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIMANT'S LAIMS AGAINST RESPONDENTS SMITH

BARNEY AND DAVID SOBOOCONSKI ARE HEREBY DISMISSED IN THEIR ENTIRETY.
CONTACT: ANN PATTY 19TH FLOOR 9212) 816-8004 AT SMITH BARNEY.

Disclosure 4 of 4

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	LEHMAN BROTHERS INC.
Allegations:	CLAIMANT, A CUSTOMER HAS ALLEGES THAT RESPONDENT FAILED TO FOLLOW HIS INSTRUCTIONS AND PLACE FUNDS FROM A ROLLOVER INTO A TAX ACCOUNT AT THE FIRM.
Product Type:	
Alleged Damages:	$48,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NYSE - CASE #1990
Date Notice/Process Served:	04/12/1990
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	10/29/1990
Disposition Detail:	AWARD AGAINST PARTY THE UNDERSIGNED ARBITRATORS HAVE DECIDED AND DETERMINED IN FULL AND FINAL SETTLEMENT OF ALL CLAIMS BETWEEN THE PARTIES THAT: IT IS THE DECISION OF THE ARBITRATORS IN THE MATTER OF EARL K. LARSON, JR. VS. SHEARSON LEHMAN HUTTON, INC. AND DAVID SOBOCINSKI THAT RESPONDENTS SHEARSON LEHMAN HUTTON, INC. AND DAVID SOBOCINSKI WERE NEGLIGENT IN THE HANDLING OF THE ACCOUNT OF EARL K. LARSON, JR. ANDSHOULD IMMEDIATELY AT THEIR EFFORT AND EXPENSES DO THE FOLLOWING: (1 RETITLE THE ACCOUNT TO READ TAX SHELTERED MUTUAL FUND ACCOUNT F.B.O. EARL K. LARSON, JR. BEARING THE CUSTODIAL TAX IDENTIFICATION NUMBER AND MAINTAIN IN THEIR RECORDS THE FACT THAT THIS ACCOUNT WAS INCORRECTLY OPENED AND TITLED FROM INCEPTION. (2)REISSUE CORRECTED 1099 FORMS FOR THE YEARS 1987, 1988 AND 1989 CANCELLING THE ORIGINAL 1099 FORMS. (3) ISSUE IMMEDIATELY A CERTIFIED LETTER TO THE INTERNAL REVENUE SERVICE, WITH COPIES TO MR. EARL K. LARSON, JR., STATING THAT FROM INCEPTION THIS ACCOUNT WAS ATAX SHELTERED MUTUAL FUND ACCOUNT AND THAT SHEARSON LEHMAN HUTTON ERRONEOUSLY OPENED THE ACCOUNT IN EARL K. LARSON JR.'S NAME; ERRONUOSLY ISSUED 1099 TAX FORMS AND PROVIDED INNACURATE ADVICE CONCERNING THE ACCOUNT. TH ARBITRATORS AWARD PLAINTIFF EARL K. LARSON JR. THE AMOUNT OF $4545.00 TO BE PAID BY RESPONDENTS SHEARSON LEHMAN HUTTON AND DAVID SOBOCINSKI JOINTLY SEVERALLY. COSTS OF THE ARBITRATION ARE TO BE BORNE BYRESPONDENTS SHEARSON LEHMAN HUTTON AND

DAVID
SOBOCINSKI

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LEHMAN BROTHERS INC.

Allegations: FAILURE TO FOLLOW INSTRUCTIONS
ALLEGED DAMAGES - $48,000.00

Product Type:

Alleged Damages: $48,000.00

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.: NEW YORK STOCK EXCHANGE; 1990

Date Notice/Process Served: 04/12/1990

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/29/1990

Monetary Compensation Amount: $4,545.00

Individual Contribution Amount:

Broker Statement CASE IS CLOSED. SHEARSON LEHMAN PAID CLIENT
$4,545.0O
WHEN [CUSTOMER] REQUESTED I OPEN AN
ACCOUNT FOR HIM, I DID SO ONLY AFTER RECEIVING EXPLICIT
INSTRUCTIONS FROM MY BRANCH OPERATIONS MANAGER AND FROM
NEW
ACCOUNTS PERSONNEL IN MY BRANCH AND AT THE HOME OFFICE. AS I
AM
PERSONALLY NOT RESPONSIBLE FOR ANY WRONGDOING IN THIS
MATTER, I
DOD NOT UNDERSTAND WHY I SHOULD SIGN THIS FORM, NOR DO I AGREE
THAT I SHOULD SIGN.

End of Report

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