BrokerCheck Report

ERNEST MARK CAPONEGRO

CRD# 1025695

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
    - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
    - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
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Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

ERNEST M. CAPONEGRO
CRD# 1025695

Currently employed by and registered with the following Firm(s):

IA **OSAIC ADVISORY SERVICES, LLC**
2329 Hwy 34
Suite 303
Manasquan, NJ 08736
CRD# 171070
Registered with this firm since: 10/15/2024

B **OSAIC WEALTH, INC.**
2329 Hwy 34
Suite 303
Manasquan, NJ 08736
CRD# 23131
Registered with this firm since: 10/11/2024

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 1 U.S. state or territory

This broker has passed:

- 6 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

IA **OSAIC WEALTH, INC.**
CRD# 23131
SCOTTSDALE, AZ
10/2024 - 10/2024

IA **AMERICAN PORTFOLIOS ADVISORS, INC**
CRD# 112697
HOLBROOK, NY
05/2021 - 10/2024

B **AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.**
CRD# 18487
Manasquan, NJ
09/2020 - 10/2024

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Customer Dispute	3
Judgment/Lien	1

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 2

Firm Name: **OSAIC ADVISORY SERVICES, LLC**

Main Office Address: **2300 WINDY RIDGE PARKWAY**
SUITE 750
ATLANTA, GA 30339

Firm CRD#: **171070**

	U.S. State/ Territory	Category	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	10/15/2024

Branch Office Locations

2329 Hwy 34
Suite 303
Manasquan, NJ 08736

Employment 2 of 2

Firm Name: **OSAIC WEALTH, INC.**

Main Office Address: **18700 N. HAYDEN ROAD**
SUITE 255
SCOTTSDALE, AZ 85255

Firm CRD#: **23131**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/11/2024
B	FINRA	General Securities Representative	Approved	10/11/2024
B	FINRA	General Securities Sales Supervisor	Approved	10/11/2024

Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date
B	FINRA	Municipal Securities Principal	Approved	10/11/2024
B	FINRA	Municipal Securities Representative	Approved	10/11/2024
B	FINRA	Registered Options Principal	Approved	10/11/2024

	U.S. State/ Territory	Category	Status	Date
B	New Jersey	Agent	Approved	10/11/2024

Branch Office Locations

OSAIC WEALTH, INC.
2329 Hwy 34
Suite 303
Manasquan, NJ 08736

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 6 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B	General Securities Principal Examination	Series 24	05/25/1994
B	Municipal Securities Principal Examination	Series 53	02/10/1994
B	Registered Options Principal Examination	Series 4	08/28/1993
B	General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	09/20/1989

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Foreign Currency Options Examination	Series 15	05/22/1986
B	National Commodity Futures Examination	Series 3	01/04/1983
B	General Securities Representative Examination	Series 7	02/20/1982

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	07/31/1999
B	Uniform Securities Agent State Law Examination	Series 63	11/16/1982

Broker Qualifications

Industry Exams this Broker has Passed, continued

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

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

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	10/2024 - 10/2024	OSAIC WEALTH, INC.	23131	SCOTTSDALE, AZ
IA	05/2021 - 10/2024	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY
B	09/2020 - 10/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	Manasquan, NJ
B	04/2016 - 07/2020	NATIONAL SECURITIES CORPORATION	7569	POINT PLEASANT, NJ
B	12/2013 - 04/2016	SOUTHEAST INVESTMENTS, N.C., INC.	43035	POINT PLEASANT, NJ
B	02/2012 - 11/2013	SOUTHEAST INVESTMENTS, N.C., INC.	43035	POINT PLEASANT, NJ
IA	01/2009 - 04/2012	GARDEN STATE INVESTMENT ADVISORY SERVICES, LLC	133088	RED BANK, NJ
B	11/2008 - 02/2012	GARDEN STATE SECURITIES, INC.	10083	POINT PLEASANT, NJ
IA	11/2006 - 11/2008	FIRST MONTAUK SECURITIES CORP.	13755	PT PLEASANT, NJ
B	01/1999 - 11/2008	FIRST MONTAUK SECURITIES CORP.	13755	PT PLEASANT, NJ
B	04/1998 - 12/1998	ROBERT THOMAS SECURITIES, INC	10147	ST. PETERSBURG, FL
B	02/1995 - 05/1998	GILFORD SECURITIES INCORPORATED	8076	NEW YORK, NY
B	08/1994 - 01/1995	FIRST HANOVER SECURITIES, INC.	14469	STATEN ISLAND, NY
B	01/1992 - 08/1994	EMANUEL AND COMPANY	7309	NEW YORK, NY
B	05/1990 - 01/1992	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B	05/1982 - 05/1990	PRUDENTIAL-BACHE SECURITIES INC.	7471	NEW YORK, NY
B	03/1982 - 11/1987	PHILIPS, APPEL & WALDEN, INC.	659	

Employment History

Registration and Employment History

Employment History, continued

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
10/2024 - Present	OSAIC ADVISORY SERVICES	INVESTMENT ADVISOR	Y	ATLANTA, GA, United States
10/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
09/2020 - 10/2024	American Portfolios Financial Services, Inc.	Registered Representative	Y	Point Pleasant, NJ, United States
04/2016 - 07/2020	NATIONAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	POINT PLEASANT, NJ, United States
02/2012 - 04/2016	SOUTHEAST INVESTMENTS, N.C. INC.	REGISTERED REPRESENTATIVE	Y	CHARLOTTE, NC, United States
01/2006 - 04/2016	EMC INSURANCE AGENCY & FIN SVCS LLC	OWNER OPERATOR	N	POINT PLEASANT, NJ, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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)EMC INSURANCE AGENCY & FIN SVCS LLC DBA I+E INSURANCE AGENCY: 2900 ROUTE 88, POINT PLEASANT, NJ 08742. I AM THE OWNER OPERATOR OF THIS FULL Service Property Casualty Life Insurance AGENCY. THIS BUSINESS BEGAN IN 2006. I WILL DEVOTE 40 HOURS PER week TO THIS BUSINESS. I AM COMPENSATED BY COMMISSIONS...(2) I am a board member of a non profit organization the BRICK POLICE ATHLETIC LEAGUE 2 HRS PER MONTH ZERO DURING TRADING HRS...

Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	3	N/A
Judgment/Lien	1	N/A	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	FIRST MONTAUK SECURITIES CORP., D/B/A FIRST MONTAUK FINANCIAL GROUP
Allegations:	BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT.
Product Type:	Mutual Fund(s)
Other Product Type(s):	STOCKS
Alleged Damages:	$500,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #04-05843
Date Notice/Process Served:	08/18/2004
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	01/08/2008
Disposition Detail:	STIPULATED AWARD ISSUED: BY LETTER DATED SEPTEMBER 22, 2006, CLAIMANTS NOTIFIED NASD DISPUTE RESOLUTION THAT THEY HAD RESOLVED THEIR CLAIMS.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	FIRST MONTAUK SECURITIES CORP.
Allegations:	CLAIMANT ALLEGES FAILURE TO SUPERVISE IN THE HANDLING OF HER ACCOUNT.
Product Type:	Equity - OTC
Alleged Damages:	$500,000.00

Customer Complaint Information

Date Complaint Received:	09/07/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/07/2004
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD ARBITRTION #04-05843
Date Notice/Process Served:	09/07/2004
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/23/2006
Monetary Compensation Amount:	$165,000.00
Individual Contribution Amount:	$25,000.00
Broker Statement	THE FIRM AND THE BROKER DENY THE ALLEGATIONS. THE MATTER WAS SETTLED SO AS TO AVOID THE TIME AND EXPENSE OF LITIGATION, AND NOT AS AN ADMISSION OF LIABILITY. BROKER RELIED ON PARTNER, A LICENSED SERIES 7 REGISTERED REPRESENTATIVE AND CFP. BROKER NOT RESPONSIBLE FOR LOSSES. SECURITIES WERE SOLD FROM THE ACCOUNT WHEN THE FINANCIAL

MARKETS WERE LOWER DUE TO FINANCIAL NEEDS OF CLIENT'S SON.

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	
Allegations:	SUITABILITY; MISREPRESENTATION; OMISSION OF FACTS; CHURNING
Product Type:	
Alleged Damages:	$196,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #93-03107
Date Notice/Process Served:	09/17/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/04/1994
Disposition Detail:	CASE IS CLOSED, SETTLED ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; TREBLE DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	
Allegations:	CLAIMANT ALLEGED UNSUITABILITY, MISRERESENTATIONS, BREACH OF FIDUCIARY DUTY AND VIOLATION OF RULES OF FAIR PRACTICE. CLAIMANTS SOUGHT DAMAGES OF $196,000 PLUS FEES AND INTEREST.
Product Type:	
Alleged Damages:	$196,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	11/04/1994
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 93-03107
Date Notice/Process Served:	09/17/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/04/1994
Monetary Compensation Amount:	$57,500.00
Individual Contribution Amount:	
Firm Statement	THE MATTER SETTLED FOR BUSINESS REASONS FOR $57,500.

FOR FURTHER INFORMATION CONTACT PETE MICHAELS
(212) 816-8012.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	
Allegations:	CLIENT ALLEGED UNSUITABLE INVESTMENT CHURNING MISREPRESENTATION RELATED TO INVESTMENTS IN PRUDENTIAL ENERGY INCOME FUNDS AND 2 STOCKS IBM & CINEPLEX OEDON
Product Type:	
Alleged Damages:	$196,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	11/04/1994
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 93-03107
Date Notice/Process Served:	09/17/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/04/1994
Monetary Compensation Amount:	$57,500.00
Individual Contribution Amount:	

Broker Statement

THE FIRMS SETTLED FOR BUSINESS REASON TO PAY
CLAIMANT FUNDS LOST FROM PRUDENTIAL ENERGY FUNDS $101,000.00
PRUDENTIAL & SHEARSON CLAIMS I BELIEVE.
THE CLIENT HAD A RELATIONSHIP WITH ME HURT
EXPANDED OVER THE YEARS. THE CLIENT MAINTAINED 3 ACCOUNTS.
SHE BECAME A CLIENT IN 1983. WHEN I LEFT SHEARSON LEHMAN TO
PURSUE A NEW OPPORTUNITY SHE COMPLAINE THAT ONE STOCK HAD
BEEN
LIMITED PARTNERSHIP WHICH SHE OWNED FOR YEAR WERE
UNSUITABLE.
THE CUSTOMER ALSO CLAMED THAT I CUASED CAUSED LOSSES IN HER &
HER SONS RETIREMENT ACCOUNT WHICH WHEN RENEWED SHOWED
CONSIDERABLE GAINS. PRUDENTIAL & SHEARSON SETTLED FOR
BUSINESS
REASONS. I WANTED TO CLEAR MY NAME & I WOULD HAVE PREFERED TO
FIGHT THE ALEGATIONS.

Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER ALLEGED THAT IN OCTOBER OF 1997 ACCOUNT EXECUTIVE FAILED TO FOLLOW INSTRUCTION TO SELL A SECURITIES POSITION.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/26/1999

Complaint Pending? No

Status: Denied

Status Date: 04/30/1999

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE FIRM DENIED THE COMPLAINT BECAUSE THE CUSTOMER WAITED A YEAR-AND-A HALF BEFORE MAKING HER COMPLAINT KNOWN.
NOT PROVIDED.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

Allegations: CLIENT ALLEGES FAILURE TO EXECUTE ORDER.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:	04/26/1999
Complaint Pending?	No
Status:	Denied
Status Date:	04/30/1999
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM DENIED THE COMPLAINT BECAUSE THE CUSTOMER WAITED A YEAR & A HALF BEFORE MAKING HER COMPLAINT KNOWN. CUSTOMER WAS LONG STOCK WHICH WAS SPLITTING ON NOV 5, 1997. SHE CLAIMS TO HAVE TOLD ME TO SELL. CLIENT NEVER TOLD ME TO SELL IN OCT 1997 I REFUSED ALL ALLEGATIONS.

Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	$9,562.55
Judgment/Lien Type:	Tax
Date Filed with Court:	05/08/2014
Date Individual Learned:	05/09/2014
Type of Court:	INTERNAL REVENUE SERVICE
Name of Court:	INTERNAL REVENUE SERVICE
Location of Court:	PHILADELPHIA, PA
Judgment/Lien Outstanding?	Yes
Broker Statement	2006 TAX AUDIT DONE BY IRS IN 2012 AND 2013. I HAVE TRIED TO SETTLE AMOUNT WITH IRS. THIS SHOULD BE SETTLED IN 90 DAYS DUE TO REFUND ON OTHER TAXES.

End of Report

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