

BrokerCheck Report
Ronald Clifford Gross
 CRD# 1078889

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.
 Please contact FINRA with any concerns.

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.

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.

Ronald C. Gross

CRD# 1078889

This broker is not currently registered.

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 not currently registered.

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

B SOUTHSTATE|DUNCANWILLIAMS SECURITIES CORP.

CRD# 6950

Bozeman, MT

07/2020 - 07/2025

B FIRST EMPIRE SECURITIES, INC.

CRD# 15129

HAUPPAUGE, NY

06/2017 - 01/2019

B STIFEL, NICOLAUS & COMPANY, INCORPORATED

CRD# 793

MEMPHIS, TN

01/2013 - 04/2017

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
Regulatory Event	1
Criminal	1
Customer Dispute	1
Judgment/Lien	3

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 broker is not currently registered.



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 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/05/1998

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/08/1983

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
B 07/2020 - 07/2025	SOUTHSTATE DUNCANWILLIAMS SECURITIES CORP.	6950	Bozeman, MT
B 06/2017 - 01/2019	FIRST EMPIRE SECURITIES, INC.	15129	HAUPPAUGE, NY
B 01/2013 - 04/2017	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	MEMPHIS, TN
B 09/1998 - 12/2012	VINING SPARKS	27502	SEATTLE, WA
B 02/1996 - 05/1998	VINING-SPARKS IBG, LIMITED PARTNERSHIP	27502	
B 06/1994 - 02/1996	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 07/1993 - 06/1994	SMITH BARNEY INC.	7059	NEW YORK, NY
B 03/1991 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 04/1988 - 06/1990	FIRSTMONEY SECURITIES CORPORATION	18220	
B 08/1987 - 02/1988	PAINWEBBER INCORPORATED	8174	
B 06/1984 - 06/1987	E. F. HUTTON & COMPANY INC	235	
B 01/1983 - 06/1984	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	

Employment History

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
07/2020 - Present	DUNCAN-WILLIAMS, INC.	VICE PRESIDENT-FIXED INCOME SALES	Y	MEMPHIS, TN, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2019 - 06/2020	UNEMPLOYED	UNEMPLOYED	N	CROSSFIT, AR, United States
06/2017 - 01/2019	First Empire Securities, Inc.	SVP, Fixed Income Sales Representative	Y	Hauppauge, NY, United States
12/2012 - 04/2017	STIFEL NICOLAUS & CO INC	FI SALES REP	Y	MEMPHIS, TN, 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.

No information reported.

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
Regulatory Event	0	1	0
Criminal	0	1	0
Customer Dispute	0	1	N/A
Judgment/Lien	3	N/A	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/17/1997
Docket/Case Number:	C3B970010
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	03/16/1998
Sanctions Ordered:	Censure Suspension

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

COMPLAINT NO. C3B970010 FILED APRIL 17, 1997 BY DISTRICT NO. 3 AGAINST RESPONDENT RONALD CLIFFORD GROSS ALLEGING VIOLATIONS OF NASD RULES 2110 AND 2310 IN THAT RESPONDENT GROSS RECOMMENDED FOR THE ACCOUNT OF A PUBLIC CUSTOMER THE PURCHASE AND SALE OF SECURITIES WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING SUCH PURCHASES AND SALES WERE SUITABLE FOR THE CUSTOMER IN LIGHT OF THE FACTS DISCLOSED BY THE CUSTOMER AS TO HIS OTHER SECURITY HOLDINGS, HIS FINANCIAL SITUATION, OBJECTIVES, AND NEEDS, THE SIZE, NATURE, AND FREQUENCY OF THE RECOMMENDED TRANSACTIONS, AND THE DEGREE TO WHICH MARGIN WAS USED TO EFFECT THE PURCHASES.

ON MARCH 16, 1998, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT GROSS WAS ISSUED; THEREFORE, HE IS CENSURED AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 120 DAYS. IN ADDITION, WITHIN 60 DAYS OF THE DATE OF THE CONCLUSION OF THE SUSPENSION PERIOD, RESPONDENT GROSS MUST REQUALIFY BY EXAM FOR ANY CAPACITY IN WHICH HE INTENDS TO ACT AND TO INFORM DISTRICT 3B OF SUCH REQUALIFICATION. IF HE FAILS TO PASS THE EXAM WITHIN THAT PERIOD, HE MAY NOT ACT IN A REGISTERED CAPACITY UNTIL SUCH TIME AS HE PASSES THE EXAM.

THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS MAY 18, 1998, AND WILL CONCLUDE AT THE CLOSE OF BUSINESS SEPTEMBER 14, 1998.

Reporting Source:

Firm

Regulatory Action Initiated By:

NASD

Sanction(s) Sought:

**Other Sanction(s) Sought:****Date Initiated:** 04/17/1997**Docket/Case Number:** C3B970010**Employing firm when activity occurred which led to the regulatory action:****Product Type:****Other Product Type(s):****Allegations:** ALLEGEDLY RECOMMENDED USE OF MARGIN FOR A CUSTOMER WITHOUT REASONABLE GROUNDS TO BELIEVE IT WAS SUITABLE.**Current Status:** Final**Resolution:** Decision & Order of Offer of Settlement**Resolution Date:** 03/16/1998**Sanctions Ordered:** Censure
Suspension**Other Sanctions Ordered:****Sanction Details:** SETTLEMENT BY CONSENT**Firm Statement** CONTACT JAMES TYNE 212-816-8049**Reporting Source:** Broker**Regulatory Action Initiated By:** NASD REGULATION, INC.**Sanction(s) Sought:** Censure**Other Sanction(s) Sought:** 120-DAY SUSPENSION FROM ASSOCIATION FROM ANY MEMBER FIRM IN ANY CAPACITY AND REQUIREMENT TO REQUALIFY BY EXAMINATION**Date Initiated:** 04/17/1997**Docket/Case Number:** FORMAL COMPLAINT NO. C3B970010**Employing firm when activity occurred which led to the regulatory action:** SMITH BARNEY SHEARSON AND PRUDENTIAL SECURITIES



Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	SEVEN ALLEGATIONS OF VIOLATIONS OF RULES 2110 AND 2310
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	03/16/1998
Sanctions Ordered:	Censure Suspension
Other Sanctions Ordered:	REQUALIFICATION BY EXAMINATION
Sanction Details:	SUSPENDED FROM ASSOCIATION WITH ANY MEMBER FIRM IN ANY CAPACITY FROM MAY 18, 1998 THROUGH SEPTEMBER 14, 1998; REQUALIFICATION BY EXAMINATION WAS REQUIRED WITHIN 60 DAYS AND OCCURRED ON NOVEMBER 5, 1998; NO MONETARY PENALTIES WERE ORDERED.
Broker Statement	I ADAMANTLY DENY THIS CLAIM. MR. DICKERT NOT ONLY AUTHORIZED EACH TRANSACTION BUT INSISTED ON BEING ALLOWED TO ACTIVELY TRADE HIS ACCOUNT. ALTHOUGH HIS ACCOUNT WAS PROFITABLE IN 1992 AND 1993, MR. DICKERT SUBSEQUENTLY CLAIMED HE SHOULD NOT BE RESPONSIBLE FOR LOSSES SUFFERED IN 1994'S DECLINING MARKET.



Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Court Details:	SUPERIOR COURT OF THE STATE OF ARIZONA, YAVAPAI COUNTY, CASE NO. 7233
Charge Date:	01/18/1974
Charge Details:	1. ONE COUNT OF MARIJUANA POSSESSION AND ONE COUNT OF DANGEROUS-DRUGS POSSESSION 2. FELONY (MARIJUANA) AND MISDEMEANOR (DANGEROUS DRUGS) 3. GUILTY TO SIMPLE POSSESSION OF MARIJUANA (MISDEMEANOR) 4. NONINVESTMENT-RELATED
Felony?	Yes
Current Status:	Final
Status Date:	04/21/1975
Disposition Details:	I WAS INCARCERATED IN TEH COUNTY JAIL FOR SEVEN DAYS AND RECEIVED CREDIT FOR TIME SERVED. SEVERAL MONTHS OF PROBATION FOLLOWED.
Broker Statement	ON JANUARY 18, 1974 I WAS ARRESTED WITHOUT A WARRANT AND SUBSEQUENTLY FOUND GUILTY OF SIMPLE POSSESSION OF MARIJUANA, A MISDEMEANOR. IN APRIL 1975 THE COURT SET GUILTY VERDICT, AND I WAS ALLOWED TO WITHDRAW MY GUILTY PLEA. ALL CHARGES AND PROCEEDINGS WERE DISMISSED BY THE COURT.



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 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: CHURNING; SUITABILITY; ACCOUNT RELATED - FAILURE TO SUPERVISE; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$450,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #96-01304

Date Notice/Process Served: 04/04/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/27/1997

Disposition Detail: CLOSED - PARTIES SETTLED THRU MEDIATION
ACTUAL/COMPENSATORY DAMAGES, 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; INTEREST, 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; OTHER MONETARY RELIEF, 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



Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: EXCESSIVE / UNSUITABLE TRADING; SOUGHT \$450,000 IN DAMAGES

Product Type:

Alleged Damages: \$450,000.00

Customer Complaint Information

Date Complaint Received: 05/24/1995

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/27/1997

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 96-01304

Date Notice/Process Served: 04/04/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/27/1997

Monetary Compensation Amount: \$206,000.00

Individual Contribution Amount:

Firm Statement SMITH BARNEY WILL PAY CLAIMANT \$103,000.
PRUDENTIAL SECURITIES ALSO WILL PAY \$103,000.
PLEASE TELEPHONE WILLIAM HOHAUSER AT (212) 816-7294 WITH ANY QUESTIONS.



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SMITH BARNEY SHEARSON, INC. AND PRUDENTIAL SECURITIES, INC.

Allegations: IN MAY 1995 JANE MARIE WILEY ORALLY ALLEGED EXCESSIVE AND UNSUITABLE TRADING OF HER FATHER'S ACCOUNT.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$450,000.00

Customer Complaint Information

Date Complaint Received: 05/24/1995

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/27/1997

Settlement Amount:

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD COMPLAINT NO. C3B970010

Date Notice/Process Served: 04/17/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/12/1997

Monetary Compensation Amount: \$206,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE MATTER WAS WITHDRAWN AND DISMISSED BY ARBITRATOR. THE COMPLAINT WAS SUCCESSFULLY MEDIATED AND SETTLED BY SMITH BARNEY SHEARSON AND PRUDENTIAL SECURITIES ON 3/28/97. EACH FIRM PAID THE CLIENT \$103,000. TO THIS DATE, I ADAMANTLY DENY THE



CUSTOMER'S CLAIM FOR THE FOLLOWING REASONS: 1. I FULFILLED MY RESPONSIBILITY TO KNOW MY CLIENTS STATUS, NEEDS, AND OBJECTIVES. 2. THE CLIENT'S TRADING ACTIVITY WAS CONSISTENT WITH HIS EXPRESSED OBJECTIVES. 3. THE CUSTOMER CONFIRMED TO MANAGEMENT AND ME ON MANY OCCASIONS THAT THE ACTIVITY IN HIS ACCOUNT WAS SUITABLE. 4. I COMPLIED FULLY WITH THE SUITABILITY RULES AND NASD CONDUCT RULES.



Judgment / Lien

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

Disclosure 1 of 3

Reporting Source:	Broker
Judgment/Lien Holder:	Dept. of Treasury- IRS
Judgment/Lien Amount:	\$39,997.00
Judgment/Lien Type:	Tax
Date Filed with Court:	03/29/2017
Date Individual Learned:	04/10/2017
Type of Court:	Federal Court
Name of Court:	King County Auditor
Location of Court:	King County, WA
Docket/Case #:	20170329001620
Judgment/Lien Outstanding?	Yes
Resolution:	Released

Disclosure 2 of 3

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$55,816.71
Judgment/Lien Type:	Tax
Date Filed with Court:	10/29/2015
Date Individual Learned:	11/25/2015
Type of Court:	IRS
Name of Court:	IRS
Location of Court:	King County, WA
Docket/Case #:	20151109000788
Judgment/Lien Outstanding?	Yes

**Disclosure 3 of 3**

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$744,454.00
Judgment/Lien Type:	Tax
Date Filed with Court:	02/18/2015
Date Individual Learned:	02/23/2015
Type of Court:	State Court
Name of Court:	N/A
Location of Court:	KING COUNTY WA
Docket/Case #:	N/A
Judgment/Lien Outstanding?	Yes

End of Report



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