

BrokerCheck Report

HOWARD BRIAN LANDERS

CRD# 1233612

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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.

HOWARD B. LANDERS

CRD# 1233612

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:

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

Registration History

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

- B 1ST BRIDGEHOUSE SECURITIES, LLC**
CRD# 44655
MIAMI, FL
04/2002 - 12/2016
- B VCA SECURITIES, LP**
CRD# 130748
DALLAS, TX
08/2004 - 06/2015
- B MUREX CAPITAL, LLC**
CRD# 146193
MIAMI, FL
09/2013 - 06/2015

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	2
Financial	1
Judgment/Lien	5

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

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Securities Principal Examination	Series 53	06/07/1993
B Registered Options Principal Examination	Series 4	07/10/1992
B Financial and Operations Principal Examination	Series 27	06/25/1992
B General Securities Principal Examination	Series 24	10/25/1991
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	07/19/1990

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	12/01/2016
B Foreign Currency Options Examination	Series 15	05/10/1984
B General Securities Representative Examination	Series 7	01/21/1984
B National Commodity Futures Examination	Series 3	11/04/1982

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/21/2000
B Uniform Securities Agent State Law Examination	Series 63	06/03/1985

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



Industry Exams this Broker has Passed, continued

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 04/2002 - 12/2016	1ST BRIDGEHOUSE SECURITIES, LLC	44655	MIAMI, FL
B 08/2004 - 06/2015	VCA SECURITIES, LP	130748	DALLAS, TX
B 09/2013 - 06/2015	MUREX CAPITAL, LLC	146193	MIAMI, FL
B 08/2010 - 01/2013	CP CAPITAL SECURITIES	15029	MIAMI, FL
B 05/2006 - 03/2007	ACP SECURITIES, LLC	139049	MIAMI, FL
B 02/2004 - 10/2006	BLUE CREEK SECURITIES, INC.	6769	HUNTSVILLE, AL
B 11/2003 - 12/2004	ACTINVER SECURITIES, INC.	41139	HOUSTON, TX
B 05/2002 - 11/2003	LAFISE SECURITIES CORPORATION	115624	MIAMI, FL
B 06/2002 - 12/2002	MACATAWA BANK BROKERAGE SERVICES, INC.	118715	HOLLAND, MI
B 03/1998 - 03/2001	SHOCHET SECURITIES INC.	8275	BOCA RATON, FL
B 03/1998 - 12/2000	GKN SECURITIES CORP.	19415	NEW YORK, NY
B 06/1997 - 01/1998	CAPITAL GROWTH INTERNATIONAL L.L.C.	36171	FT. LAUDERDALE, FL
B 11/1996 - 02/1997	AGORA SECURITIES, INC.	41506	BOCA RATON, FL
B 11/1995 - 11/1996	BETA CAPITAL MANAGEMENT, L.P.	38964	MIAMI, FL
B 12/1995 - 02/1996	RURAL SECURITIES, INC.	39294	MIAMI, FL
B 06/1993 - 09/1994	THE PARTNERS FINANCIAL GROUP, INC.	31979	MIAMI, FL
B 11/1992 - 02/1993	FIRST BANQHOUSE INVESTMENT GROUP, INC.	30204	
B 08/1991 - 11/1991	STUART, COLEMAN & CO., INC.	8642	NEW YORK, NY
B 04/1990 - 03/1991	VEREINWEST CAPITAL MARKETS, INC.	21996	MIAMI, FL
B 05/1989 - 05/1990	TRANSAMERICA FINANCIAL RESOURCES, INC.	3600	LOS ANGELES, CA



Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 05/1989 - 05/1990	TRANSAMERICA SECURITIES SALES CORPORATION	17970	LOS ANGELES, CA
B 01/1984 - 04/1989	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY

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
08/2018 - Present	ASPEN PARTNERS, LLC	CCO	Y	RICHMOND, VA, United States
08/2018 - Present	FRONTIER SOLUTIONS, LLC	CCO, COO	Y	RICHMOND, VA, United States
12/2016 - Present	1ST BRIDGEHOUSE FINANCIAL GROUP, LLC	MANAGING PARTNER	N	MIAMI, FL, United States
01/2003 - 12/2016	1ST BRIDGEHOUSE CONSULTING LLC	CEO	N	MIAMI, FL, United States
03/2002 - 12/2016	1ST BRIDGEHOUSE SECURITIES, LLC	PRESIDENT	Y	FRANKLIN, 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.

1ST BRIDGEHOUSE FINANCIAL GROUP, LLC
MIAMI, FL

NOT INVESTMENT RELATED

MANAGING PARTNER; 12/2016 TO PRESENT - THIS FIRM PROVIDES REGULATORY CONSULTING AND ADVICE TO MEMBER FIRMS AND TO BANKS.

TIME SPENT IS APPROX. 30 HRS/MO.

Registration and Employment History



Other Business Activities, continued

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	2	0
Financial	0	1	N/A
Judgment/Lien	5	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 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 12/23/2019

Docket/Case Number: [2018060415301](#)

Employing firm when activity occurred which led to the regulatory action: Frontier Solutions, LLC

Product Type: No Product

Allegations: Without admitting or denying the findings, Landers consented to the sanctions and to the entry of findings that he was associated with a member firm while he was statutorily disqualified. The findings stated that Landers had previously entered into an Order Accepting Offer of Settlement in which he was found to have willfully failed to timely amend his Form U4 to disclose tax liens. Landers was subject to statutory disqualification as a result of the willful violations. Later, Landers became associated with the firm and it submitted a MC-400 seeking approval of his association with it. The MC-400 was not approved and was subsequently withdrawn by the firm. Nonetheless, Landers associated with the firm while statutorily disqualified by: conducting exams of its branch offices; reviewing and approving its registered representatives' outside business activities and private



securities transactions requests; filing Forms U4 and U5 on behalf of it for its registered representatives; reviewing requests from regulators and responding to regulators on behalf of it, including requests from FINRA; and holding himself out to third parties as the firm's chief compliance officer (CCO). The findings also stated that Landers willfully failed to disclose a voluntary petition for bankruptcy on his initial Form U4 filed at the firm, and only disclosed it on an amended Form U4 six months after the initial Form U4 filing and only after FINRA staff began investigating his non-disclosure.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

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:

12/23/2019

Sanctions Ordered:

Suspension

Other: The settlement includes a finding that Landers' willfully failed to disclose a material fact on a Form U4, and that under section 3(a)(39)(f) of the Securities Exchange Act of 1934 and Article III, Section 4 of the FINRA By-Laws, this omission makes it subject to a statutory disqualification with respect to membership with FINRA. In light of Landers' financial status, no monetary sanction has been imposed.

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	Two years
Start Date:	01/06/2020
End Date:	01/05/2022

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: n/a
Date Initiated:	03/21/2016
Docket/Case Number:	2013035298602
Employing firm when activity occurred which led to the regulatory action:	1st Bridgehouse Securities, LLC
Product Type:	No Product



Allegations:	Landers was named a respondent in a FINRA complaint alleging that he willfully failed to timely amend his Form U4 to disclose unsatisfied Internal Revenue Service (IRS) tax liens totaling \$375,704.34 that were filed against him. The complaint alleges that specifically, Landers willfully failed to file or cause to be filed a supplementary amendment to his Form U4 within 30 days of receiving notice of the liens as required by FINRA's By-Laws. The complaint also alleges that Landers willfully failed to timely amend his Form U4 to disclose an unsatisfied default judgment for fraudulent inducement that was entered against him in Florida state court. Landers willfully failed to disclose the judgment on his Form U4 within 30 days. In fact, Landers did not disclose the judgment until one year and four months later. To date, the default judgment has not been satisfied by Landers.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
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:	09/30/2016
Sanctions Ordered:	Suspension Other: The settlement include findings that Landers willfully failed to disclose material facts on a Form U4, and that under section 3(a)(39)(f) of the Securities Exchange Act of 1934 and Article III, Section 4 of the FINRA By-Laws, these omissions make him subject to a statutory disqualification with respect to association with a member. In light of Landers' financial status, no monetary sanction has been imposed.
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	three months
Start Date:	10/17/2016
End Date:	01/16/2017

Regulator Statement

Without admitting or denying the allegations, Landers consented to the sanction and to the entry of findings that he willfully failed to timely amend his Form U4 to disclose unsatisfied Internal Revenue Service (IRS) tax liens totaling \$375,704.34 that were filed against him. The findings stated that specifically, Landers willfully failed to file or cause to be filed a supplementary amendment to his Form U4 within 30 days of receiving notice of the liens as required by FINRA's By-Laws. The allegation that Landers willfully failed to timely amend his Form U4 to disclose an unsatisfied default judgment for fraudulent inducement that was entered against him in Florida state court is dismissed.

Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension



Date Initiated:	03/21/2016
Docket/Case Number:	2013035298602
Employing firm when activity occurred which led to the regulatory action:	1st BridgeHouse Securities, LLC
Product Type:	No Product
Allegations:	Landers was named a respondent in a FINRA complaint alleging that he willfully failed to timely amend his Form U4 to disclose unsatisfied Internal Revenue Service (IRS) tax liens totaling \$375,704.34 that were filed against him. The complaint alleges that specifically, Landers willfully failed to file his Form U4 within 30 days of receiving notice of the liens as required by FINRA's By-Laws. The complaint also alleges that Landers willfully failed to timely amend his Form U4 to disclose an unsatisfied default judgment Landers willfully failed to disclose the judgment on his Form U4 within 30 days.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
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:	09/30/2016
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	Three months
Start Date:	10/17/2016
End Date:	01/16/2017
Broker Statement	Without admitting or denying the allegations, Landers consented to the sanction and to the entry of findings that he willfully failed to timely amend his Form U4 to disclose unsatisfied Internal Revenue Service (IRS) tax



liens totaling \$375,704.34 that were filed against him. The findings stated that specifically, Landers willfully failed to file or cause to be filed a supplementary amendment to his Form U4 within 30 days of receiving notice of the liens as required by FINRA's ByLaws. The allegation that Landers willfully failed to timely amend his Form U4 to disclose an unsatisfied default judgment for fraudulent inducement that was entered against him in Florida state court is dismissed.



Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Broker
Action Type:	Bankruptcy
Bankruptcy:	Chapter 13
Action Date:	07/21/2017
Organization Investment-Related?	No
Type of Court:	Federal Court
Name of Court:	Southern District of Florida
Location of Court:	MIAMI
Docket/Case #:	17-19186
Action Pending?	No
Disposition:	Dismissed
Disposition Date:	11/07/2017
Amount Paid:	
SIPA (Securities Investor Protection Act) Trustee:	Nancy K. Neidich, Trustee
Currently Open?	No
Date Direct Payment Initiated/Filed or Trustee Appointed:	09/20/2017
Broker Statement	1) This case was dismissed because it did not serve the intended purpose. 2) There was no creditors meeting nor a 941 Meeting. 3) Because of the circumstances, the Trustee refunded all fees paid. 4) This bankruptcy filing was NEVER confirmed.



Judgment / Lien

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

Disclosure 1 of 5

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$24,090.30
Judgment/Lien Type:	Tax
Date Filed with Court:	09/20/2012
Date Individual Learned:	09/30/2012
Type of Court:	State Court
Name of Court:	Miami Dade County Court
Location of Court:	Miami, FL
Docket/Case #:	CFN 2012RO668797
Judgment/Lien Outstanding?	Yes
Status Date:	02/09/2019
Resolution:	Removed
Broker Statement	\$24090 was the amount of the original lien the current amount open is \$2335 and covers tax liabilities for 2009. It should also be noted that these tax liens were assessed as follows: Tax yr 2004 was assessed on 06/19/2006; Tax yr. 2007 was assessed on 12/03/2018; and Tax yr. 2009 was assessed on 11/22/2010, no assessment notices were received. The IRS did not record these in Miami Dade County Court until 09/20/2012, and then delivered them to my CPA.

Disclosure 2 of 5

Reporting Source:	Broker
Judgment/Lien Holder:	SCHECKNER & HETENYI, P.L.
Judgment/Lien Amount:	\$5,087.02
Judgment/Lien Type:	Civil
Date Filed with Court:	06/20/2016
Date Individual Learned:	06/20/2016
Type of Court:	COUNTY COURT



Name of Court: MIAMI DADE COUNTY COURT
Location of Court: MIAMI, FL
Docket/Case #: 16-462-SP-26
Judgment/Lien Outstanding? Yes
Broker Statement THIS IS AN AMOUNT DUE TO A CPA FIRM THAT MISHANDLED MY LIENS WITH THE IRS. THIS MATTER IS EXPECTED TO BE NEGOTIATED AND SETTLE.

Disclosure 3 of 5

Reporting Source: Broker
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$165,001.86
Judgment/Lien Type: Tax
Date Filed with Court: 09/11/2012
Date Individual Learned: 04/07/2014
Type of Court: State Court
Name of Court: MIAMI DADE COUNTY COURT
Location of Court: MIAMI, FL
Docket/Case #: CFN 2012RO668798
Judgment/Lien Outstanding? Yes
Status Date: 02/09/2019
Resolution: Removed
Broker Statement These tax liens were assessed as follows: 2004 was assessed on 11/21/2005; 2003 was assessed on 08/18/2008; and 2008 was assessed on 09/11/2011. However, the IRS did not record these until 09/20/2012 in Miami Dade Court.

Disclosure 4 of 5

Reporting Source: Broker
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$121,955.34



Judgment/Lien Type:	Tax
Date Filed with Court:	04/30/2013
Date Individual Learned:	05/15/2013
Type of Court:	MIAMI DADE COUNTY COURT
Name of Court:	MIAMI DADE COUNTY
Location of Court:	MIAMI, FL
Docket/Case #:	201303700001
Judgment/Lien Outstanding?	Yes
Broker Statement	THIS ISSUE IS CURRENTLY BEING NEGOTIATED AND RESOLVED ACCORDINGLY. A NOTICE OF LIEN WAS DELIVERED. THERE WAS NO NOTICE OF FILING BY, OR CONFIRMATION FROM ANY COURT.

Disclosure 5 of 5

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$64,656.84
Judgment/Lien Type:	Tax
Date Filed with Court:	06/27/2013
Date Individual Learned:	07/15/2013
Type of Court:	MIAMI DADE COUNTY COURT
Name of Court:	MIAMI DADE COUNTY COURT
Location of Court:	MIAMI, FL
Docket/Case #:	2013R0507571
Judgment/Lien Outstanding?	Yes
Broker Statement	THIS MATTER IS CURRENTLY BEING NEGOTIATED AND RESOLVED WITH THE IRS.

End of Report



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