

BrokerCheck Report

CHRISTOPHER RICE CALLAGY

CRD# 1688999

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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:

- o 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
- o 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.](http://www.finra.org)

CHRISTOPHER R. CALLAGY

CRD# 1688999

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

- B REVERE SECURITIES LLC**
650 Fifth Avenue, 35th Floor
NEW YORK, NY 10019
CRD# 14178
Registered with this firm since: 01/10/2020

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
- 3 U.S. states and territories

This broker has passed:

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

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

- B AEGIS CAPITAL CORP.**
CRD# 15007
NEW YORK, NY
07/2017 - 01/2020
- B OPPENHEIMER & CO. INC.**
CRD# 249
NEW YORK, NY
07/2013 - 07/2017
- B JANNEY MONTGOMERY SCOTT LLC**
CRD# 463
GARDEN CITY, NY
10/2003 - 08/2013

**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
Customer Dispute	6
Judgment/Lien	2



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 3 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **REVERE SECURITIES LLC**

Main Office Address: **650 FIFTH AVENUE, 35FTH FLOOR
NEW YORK, NY 10019**

Firm CRD#: **14178**

SRO	Category	Status	Date
B FINRA	General Securities Representative	APPROVED	01/10/2020

U.S. State/ Territory	Category	Status	Date
B Connecticut	Agent	APPROVED	02/28/2020
B Florida	Agent	APPROVED	01/10/2020
B New York	Agent	APPROVED	01/10/2020

Branch Office Locations

REVERE SECURITIES LLC
650 Fifth Avenue, 35th Floor
NEW YORK, NY 10019



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.

This individual has passed 0 principal/supervisory exams, 2 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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/18/1987

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/07/1987

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 07/2017 - 01/2020	AEGIS CAPITAL CORP.	15007	NEW YORK, NY
B 07/2013 - 07/2017	OPPENHEIMER & CO. INC.	249	NEW YORK, NY
B 10/2003 - 08/2013	JANNEY MONTGOMERY SCOTT LLC	463	GARDEN CITY, NY
B 05/1998 - 08/2003	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
B 03/1989 - 06/1998	KIRLIN SECURITIES INC.	21210	SYOSSET, NY
B 09/1987 - 03/1989	INVESTORS CENTER, INC.	14670	HAUPPAGUE, NY
B 08/1987 - 11/1987	FIRST OF PHILADELPHIA INVESTMENT GROUP, INC.	16201	
B 07/1987 - 08/1987	SHERWOOD CAPITAL, INC.	10474	

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
07/2017 - Present	AEGIS CAPITAL CORP	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
07/2013 - 07/2017	OPPENHEIMER & CO INC	FA	Y	NEW YORK, NY, United States
09/2003 - 07/2013	JANNEY MONGOMERY SCOTT	FA	Y	GARDEN CITY, NY, 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.

Registration and Employment History



Other Business Activities, continued

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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
Customer Dispute	1	5	N/A
Judgment/Lien	2	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:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	11/13/2019
Docket/Case Number:	18-01548
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	Respondent Christopher Callagy failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
Current Status:	Final
Resolution:	Letter



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: 11/13/2019

Sanctions Ordered: Suspension

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:	n/a
Start Date:	11/13/2019
End Date:	12/10/2019

**Regulator Statement**

Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Callagy is suspended on November 13, 2019, for failure to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.

Suspension lifted on December 10, 2019.

Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	11/13/2019
Docket/Case Number:	18-01548
Employing firm when activity occurred which led to the regulatory action:	Oppenheimer & Co. Inc.
Product Type:	No Product
Allegations:	Failure to comply with an arbitration award or settlement or satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
Current Status:	Final
Resolution:	Letter
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:	11/13/2019
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	Approx. 30 Days.



Start Date: 11/13/2019

End Date: 12/10/2019



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 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	JANNEY MONTGOMERY SCOTT LLC
Allegations:	CLAIMANT ALLEGES THAT RESPONDENT AND ITS REGISTERED REPRESENTATIVE CAUSED LOSSES AS A RESULT OF THE MISREPRESENTATION AND UNSUITABLE CONCENTRATION OF PREFERRED STOCKS IN HIS ACCOUNT FROM APRIL 2008 THROUGH NOVEMEBR 2009.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$90,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA DISPUTE RESOLUTION
Docket/Case #:	11-02491
Filing date of arbitration/CFTC reparation or civil litigation:	06/21/2011

Customer Complaint Information

Date Complaint Received:	06/30/2011
Complaint Pending?	No
Status:	Settled
Status Date:	09/24/2012
Settlement Amount:	\$25,000.00
Individual Contribution Amount:	\$5,000.00



Broker Statement THE FIRM ELECTED TO SETTLE THIS MATTER FOR A PERCENTAGE OF THE ALLEGED DAMAGES IN ORDER TO AVOID THE COSTS AND UNCERTAINTY ASSOCIATED WITH PROTRACTED LITIGATION. THE REGISTERED REPRESENTATIVE'S CONTRIBUTION WAS REQUIRED BY FIRM POLICY AND NOT BECAUSE OF A DETERMINATION OF WRONGDOING.

Disclosure 2 of 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: JANNEY MONTGOMERY SCOTT LLC

Allegations: NEW YORK CLIENT ALLEGES THAT THEIR FINANCIAL CONSULTANT, CHRIS CALLAGY, RECOMMENDED INVESTMENTS OUTSIDE THEIR CONSERVATIVE OBJECTIVES BETWEEN JANUARY OF 2006 AND SEPTEMBER OF 2009. THE CLIENT FURTHER ALLEGES THAT MR. CALLAGY FAILED TO LIQUIDATE A POSITION IN CREDIT SUISSE FIRST BOSTON AS INSTRUCTED. CLIENT REQUESTS CONSIDERATION FOR THEIR RESULTING LOSS

Product Type: Debt-Asset Backed

Alleged Damages: \$101,205.00

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: 01/21/2010

Complaint Pending? No

Status: Settled

Status Date: 04/09/2010

Settlement Amount: \$40,000.00

Individual Contribution Amount: \$20,000.00

Broker Statement CLAIM SETTLED IN THE INTEREST OF CUSTOMER RELATIONS AND TO AVOID POTENTIALLY TIME CONSUMING AND COSTLY LITIGATION, WITHOUT ADMITTING LIABILITY, IN THE AMOUNT OF \$40,000.



Disclosure 3 of 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	JANNEY MONTGOMERY SCOTT LLC
Allegations:	CUSTOMER ALLEGES THAT THE INCOME-RELATED INVESTMENTS IN HIS ACCOUNT WERE NOT PROPERLY DIVERSIFIED, WERE UNAUTHORIZED AND UNSUITABLE WHEN PURCHASED IN MARCH & APRIL 2008
Product Type:	Debt-Corporate Debt-Government Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	\$73,615.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-02605
Filing date of arbitration/CFTC reparation or civil litigation:	05/11/2009

Customer Complaint Information

Date Complaint Received:	05/18/2009
Complaint Pending?	No
Status:	Settled
Status Date:	02/19/2010
Settlement Amount:	\$30,000.00
Individual Contribution Amount:	\$0.00



Disclosure 4 of 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	JANNEY MONTGOMERY SCOTT LLC
Allegations:	NEW YORK CLIENT ALLEGES HER FINANCIAL CONSULTANT, CHRISTOPHER CALLAGY, ERRONEOUSLY STATED THAT THE TAXABLE PORTION OF HER VARIABLE ANNUITY SURRENDER FOR 2008 WAS SUBSTANTIALLY LESS THAN IT PROVED TO BE, RESULTING IN UNANTICIPATED ADDITIONAL TAX LIABILITY OF \$15,468 THAT COULD HAVE BEEN OTHERWISE AVOIDED.
Product Type:	Annuity-Variable
Alleged Damages:	\$15,468.00
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:	03/21/2009
Complaint Pending?	No
Status:	Settled
Status Date:	08/04/2009
Settlement Amount:	\$15,468.00
Individual Contribution Amount:	\$7,734.00
Broker Statement	COMPLAINT SETTLED IN THE INTEREST OF CUSTOMER RELATIONS AND TO AVOID POTENTIALLY TIME CONSUMING AND COSTLY LITIGATION, WITHOUT ADMITTING LIABILITY, IN THE AMOUNT OF \$15,468.

Disclosure 5 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY



Allegations: ALLEGED BREACH OF FIDUCIARY DUTY, FRAUD AND UNSUITABILITY BTWN. 1/00-10/02.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 07/05/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/05/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 05-03313

Date Notice/Process Served: 07/05/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/19/2006

Monetary Compensation Amount: \$70,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: ALLEGED BREACH OF FIDUCIARY DUTY, FRAUD AND UNSUITABILITY BTWN. 1/00-10/02.

Product Type: Equity Listed (Common & Preferred Stock)



Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 07/05/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/05/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 05-03313

Date Notice/Process Served: 07/05/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/19/2006

Monetary Compensation Amount: \$70,000.00

Individual Contribution Amount: \$0.00



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AEGIS CAPITAL CORP
Allegations:	MARCH 2019 TO DECEMBER 2019. CLIENT ALLEGES POOR PERFORMANCE.
Product Type:	No Product
Alleged Damages:	\$180,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA; NY, NY
Docket/Case #:	21-00188
Filing date of arbitration/CFTC reparation or civil litigation:	01/25/2021

Customer Complaint Information

Date Complaint Received:	01/27/2021
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint: AEGIS CAPITAL CORP.

Allegations: MARCH 2019 TO DECEMBER 2019. CLIENT ALLEGES POOR PERFORMANCE.

Product Type: No Product

Alleged Damages: \$180,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA; NY, NY

Docket/Case #: 21-00188

Filing date of arbitration/CFTC reparation or civil litigation: 01/25/2021

Customer Complaint Information

Date Complaint Received: 01/27/2021

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement Details were previously entered in the named respondent section in error.



Judgment / Lien

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

Disclosure 1 of 2

Reporting Source:	Broker
Judgment/Lien Holder:	Oppenheimer & Co. Inc.
Judgment/Lien Amount:	\$164,913.97
Judgment/Lien Type:	Civil
Date Filed with Court:	12/16/2019
Date Individual Learned:	12/16/2019
Type of Court:	City
Name of Court:	Civil
Location of Court:	New York City, New York
Docket/Case #:	G-15476
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 2

Reporting Source:	Broker
Judgment/Lien Holder:	OPPENHEIMER & CO. INC.
Judgment/Lien Amount:	\$128,314.96
Judgment/Lien Type:	Civil
Date Filed with Court:	08/15/2019
Date Individual Learned:	08/22/2019
Type of Court:	State Court
Name of Court:	SUPREME COURT OF THE STATE OF NEW YORK
Location of Court:	NEW YORK NY
Docket/Case #:	654630/2019
Judgment/Lien Outstanding?	Yes

End of Report



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