

BrokerCheck Report

ROBBI JULENE JONES

CRD# 1797418

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Events	7



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.

ROBBI J. JONES

CRD# 1797418

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:

- 3 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** **KIPLING JONES & CO., LTD.**
CRD# 144730
HOUSTON, TX
12/2007 - 12/2020
- B** **KIPLING JONES & CO., LTD.**
CRD# 144730
DALLAS, TX
12/2007 - 12/2014
- B** **SBK-BROOKS INVESTMENT CORP.**
CRD# 35851
HOUSTON, TX
11/1998 - 05/2008

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
Judgment/Lien	4

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

Principal/Supervisory Exams

Exam	Category	Date
B Introducing Broker/Dealer Financial Operations Principal Examination	Series 28	04/13/2013
B General Securities Principal Examination	Series 24	12/22/2005
B Municipal Securities Principal Examination	Series 53	06/23/1997

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	06/11/1997
B Municipal Securities Representative Examination	Series 52	12/07/1991

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	06/17/1997

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 12/2007 - 12/2020	KIPLING JONES & CO., LTD.	144730	HOUSTON, TX
B 12/2007 - 12/2014	KIPLING JONES & CO., LTD.	144730	DALLAS, TX
B 11/1998 - 05/2008	SBK-BROOKS INVESTMENT CORP.	35851	HOUSTON, TX
B 06/1997 - 11/1998	APEX SECURITIES, INC.	21606	NASHVILLE, TN
B 01/1994 - 12/1994	BEREAN CAPITAL INCORPORATED	24915	CHICAGO, IL
B 07/1992 - 07/1993	THE CHAPMAN CO.	19178	COLUMBIA, MD
B 12/1991 - 04/1992	WELDON SULLIVAN CARMICHAEL & COMPANY	23406	

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
06/2007 - Present	JONESCAP, LLC	OWNER	N	HOUSTON, TX, United States
05/2007 - Present	KIPLING JONES & CO., LTD.	PRESIDENT/ DESIGNATED PRINCIPAL	Y	HOUSTON, TX, United States
12/2006 - Present	RJJ HOLDINGS, INC	OWNER	N	HOUSTON, TX, 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

OFFICER OF (INACTIVE) CONSULTING FIRM.

MEMBER, MUNICIPAL SECURITIES RULEMAKING BOARD PROFESSIONAL QUALIFICATIONS ADVISORY COMMITTEE AND QUALIFICATIONS, CONTENT OUTLINE, AND ITEM WRITING SUBCOMMITTEES. AVERAGE 1 HOUR PER WEEK, NOT DURING TRADING HOURS.

BOARD MEMBER AND VICE PRESIDENT, CITY OF HOUSTON TAX INCREMENT REINVESTMENT ZONE NUMBER 12. AVERAGE 1 HOUR PER MONTH, NONE DURING TRADING HOURS.

BOARD MEMBER AND TREASURER - INPRINT HOUSTON, INC. NOT FOR PROFIT ARTS ORGANIZATION. 5 HOURS PER MONTH, NONE DURING TRADING HOURS. BOARD MEMBER AND SECRETARY - CENTER FOR CLIMATE STRATEGIES (NOT-FOR-PROFIT ENTITY). APPROXIMATELY 2 HOURS PER MONTH, NONE DURING TRADING HOURS.

Advisory Board Member, CapZone Impact Investments, Not securities related, 2 hours per month.

Chairperson - Investor Committee, City of Houston Opportunity Zone - not securities related, 3 hours per month

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.
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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
Judgment/Lien	4	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: Other: N/A

Date Initiated: 04/24/2017

Docket/Case Number: [2015044782401](#)

Employing firm when activity occurred which led to the regulatory action: Kipling Jones & Company, Ltd.

Product Type: No Product

Allegations: Jones was named a respondent in a FINRA complaint alleging that as President and CEO of her member firm, she filed, or caused to be filed, materially inaccurate Financial and Operational Combined Uniform Single Reports Part IIA (FOCUS Report(s)), caused the firm's books and records to be inaccurate, and provided inaccurate and misleading information, documents, and testimony to FINRA. The complaint alleges that Jones acquired a certificate of deposit (CD) in the principal amount of \$70,000, using funds drawn from a line of credit. Jones continued to list the CD as an "allowable" asset in the firm's financial books and records, including the firm's general ledger and net-capital computations, when in fact the CD had been cancelled by the issuing bank. Jones also did not record the cancellation of the CD in the firm's financial books and records and, instead, continued to reflect



the CD as a current asset in the firm's general ledger and net-capital computations, causing the firm's financial books and records to be inaccurate. In addition, Jones filed, or caused to be filed, materially inaccurate FOCUS Reports in which the cancelled CD was reported as an "exempted" security (an allowable asset) with a current value of \$70,313, which also inflated its reported net capital. As a result of this conduct, Jones caused the firm to willfully violate Section 17(a) of the Securities Exchange Act of 1934 (Exchange Act), Exchange Act Rules 17a-3 and 17a-5 thereunder, and FINRA Rules 4511 and 2010. The complaint also alleges that in connection with a FINRA examination, FINRA staff reviewed the firm's financial books and records and FOCUS Report filings and, in the course of that review, requested that Jones provide various information and documents regarding the aforementioned CD. In particular, FINRA staff requested documentary support for the \$70,313 balance that the firm had reported for the CD. In response to those requests Jones provided inaccurate and misleading information and documents to FINRA staff in an attempt to conceal that the CD had been cancelled. The complaint further alleges that that in the course of the FINRA examination of the firm, FINRA staff learned that Jones had recently been questioned by a client of the firm, concerning possible unauthorized use of the client's credit card to purchase airline tickets. FINRA staff requested that Jones provide information and documents relating to that inquiry. In response to those requests, Jones provided inaccurate and misleading information and documents to FINRA staff, including not initially disclosing that the inquiry by the client was actually an investigation by the client's Office of Inspector General (OIG) and misrepresenting which airline tickets were the subject of the investigation. In addition, the complaint alleges that Jones also falsely testified at an on-the-record interview (OTR) that the CD was "rolled over" each year until December of 2014 and that the CD had never been pledged as security for a loan. Jones falsely testified at an OTR that she had received no correspondence or documents from the OIG indicating whether it had made any determination concerning the airline-ticket purchases, when in fact the OIG had sent Jones a letter informing her that it had determined that she was responsible for unauthorized use of the client's credit card. Moreover, the complaint alleges that Jones refused to respond to FINRA staff's requests for information concerning her mother's living status and whether Jones had previously represented to FINRA staff that her mother had recently died.

Current Status:	On Appeal
Action Appealed To:	SEC
Date Appeal filed:	01/19/2021
Appeal Limitation Details:	The bar remains in effect as of December 17, 2020.
Resolution:	pending appeal



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:

12/17/2020

Sanctions Ordered:

Bar (Permanent)

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?

No



(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

No

(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?

No

Sanction 1 of 1

Sanction Type: Bar (Permanent)

Capacities Affected: All capacities

Duration: indefinite

Start Date: 12/17/2020

End Date:



Regulator Statement

Extended Hearing Panel Decision Rendered October 17, 2018. The sanctions are based on the findings that Jones caused her member firm to willfully create and maintain inaccurate books and records and to file materially inaccurate FOCUS Reports. The findings stated that Jones did not record the cancellation of a certificate of deposit (CD) in its general ledger, but instead reflected it as an asset, thus making her firm's books and records inaccurate. Jones filed FOCUS Reports that reflected the 2011 CD as an allowable asset, even though Jones had pledged the CD as collateral for a personal loan and that the CD had been cancelled. The findings also stated that Jones provided inaccurate and misleading information and documents to FINRA by making misleading statements during a Cycle Exam regarding efforts to obtain information and documents concerning the CD and representing to FINRA that her mother had died. The findings also included that Jones provided false information in her on-the-record testimony by providing FINRA with a signed written statement describing an investigation by the city of Houston, in which she omitted two trips and misrepresented plane tickets that were the subject and focus of the investigation and falsely testified at her on-the-record testimony that the CD was never pledged as security for a loan. Jones also refused to respond to questions at her on-the-record testimony concerning whether her mother had died and whether she had previously represented to FINRA that her mother had died. On November 13, 2018, Robbi Jones appealed the decision to the NAC.

NAC decision rendered December 17, 2020 wherein the findings made are affirmed and the sanctions imposed by the Hearing Panel are modified. For the violations, Jones was barred in all capacities. On January 19, 2021, Jones appealed the decision to the SEC. The sanction(s), except for the bar, are not in effect pending the review.

Reporting Source:	Firm
Regulatory Action Initiated By:	Financial Industry Regulatory Authority
Sanction(s) Sought:	Bar
Date Initiated:	12/17/2020
Docket/Case Number:	2015044782401
Employing firm when activity occurred which led to the regulatory action:	Kipling Jones & Co., Ltd.
Product Type:	No Product
Allegations:	This regulatory action stems from the appeal of a Hearing Panel decision issued



on October 17, 2018. The December 17, 2020 decision found that Jones caused the firm to file inaccurate FOCUS reports and provided false and misleading information to FINRA by refusing to respond to questions during Jones' OTR.

Current Status: Final

Limitation Details: Bar in all capacities

Action Appealed To: The matter is still within the appeal period.

Date Appeal filed:

Appeal Limitation Details:

Resolution: Decision

Resolution Date: 12/17/2020

Sanctions Ordered: Bar (Permanent)

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: Bar (Permanent)

Capacities Affected: All Capacities

Duration: Permanent

Start Date: 12/17/2020

End Date:



Reporting Source: Broker

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: NA

Date Initiated: 04/24/2017

Docket/Case Number: [2015044782401](#)

Employing firm when activity occurred which led to the regulatory action: KIPLING JONES & CO., LTD.

Product Type: No Product

Allegations: THE FIRM WAS NAMED A RESPONDENT IN A FINRA COMPLAINT ALLEGING THAT, THE FIRM'S PRESIDENT AND CEO FILED, OR CAUSED TO BE FILED, MATERIALLY INACCURATE FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORTS PART IIA (FOCUS REPORT(S)) AND CAUSED THE FIRM'S BOOKS AND RECORDS TO BE INACCURATE. THE COMPLAINT ALLEGES THAT THE FIRM'S WRITTEN SUPERVISORY PROCEDURES (WSPS) DESIGNATED THE PRESIDENT AND CEO AS THE FIRM'S FINANCIAL AND OPERATIONS PRINCIPAL (FINOP) WHICH AT ALL RELEVANT TIMES THE FIRM'S WSPS DESIGNATED THE FINOP AS THE INDIVIDUAL RESPONSIBLE FOR PREPARING AND MAINTAINING THE FIRM'S FINANCIAL BOOKS AND RECORDS. THE COMPLAINT ALSO ALLEGES THAT THE FIRM'S PRESIDENT AND CEO ACQUIRED A CERTIFICATE OF DEPOSIT (CD) IN THE PRINCIPAL AMOUNT OF \$70,000, USING FUNDS DRAWN FROM A LINE OF CREDIT. SHE CONTINUED TO LIST THE CD AS AN "ALLOWABLE" ASSET IN THE FIRM'S FINANCIAL BOOKS AND RECORDS, INCLUDING THE FIRM'S GENERAL LEDGER AND NET-CAPITAL COMPUTATIONS, WHEN IN FACT THE CD HAD BEEN CANCELLED BY THE ISSUING BANK. SHE ALSO DID NOT RECORD THE CANCELLATION OF THE CD IN THE FIRM'S FINANCIAL BOOKS AND RECORDS AND, INSTEAD, CONTINUED TO REFLECT THE CD AS A CURRENT ASSET IN THE FIRM'S GENERAL LEDGER AND NET-CAPITAL COMPUTATIONS, CAUSING THE FIRM'S FINANCIAL BOOKS AND RECORDS TO BE INACCURATE. THE COMPLAINT FURTHER ALLEGES THAT SHE FILED, OR CAUSED TO BE FILED, MATERIALLY INACCURATE FOCUS REPORTS IN WHICH THE CANCELLED CD WAS REPORTED AS AN "EXEMPTED" SECURITY (AN ALLOWABLE ASSET) WITH A CURRENT VALUE OF \$70,313, WHICH ALSO INFLATED ITS REPORTED NET CAPITAL. AS A RESULT OF THIS CONDUCT, THE FIRM'S PRESIDENT AND CEO CAUSED THE FIRM TO WILLFULLY VIOLATE SECTION 17(A) OF THE SECURITIES EXCHANGE ACT



OF 1934 (EXCHANGE ACT), EXCHANGE ACT RULES 17A-3 AND 17A-5 THEREUNDER, AND FINRA RULES 4511 AND 2010.

Current Status:	On Appeal
Action Appealed To:	SRO
Date Appeal filed:	11/13/2018
Appeal Limitation Details:	
Resolution:	Pending Appeal
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:	11/13/2018
Sanctions Ordered:	Suspension Other: Barred from association with any FINRA member in any supervisory or principal capacity
Sanction 1 of 1	
Sanction Type:	Bar (Temporary/Time Limited)
Capacities Affected:	Suspended from association with any FINRA member in all capacities for two years, suspended from association with any FINRA memb
Duration:	2 years
Start Date:	
End Date:	



Judgment / Lien

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

Disclosure 1 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	Richard E. Brodsky
Judgment/Lien Amount:	\$44,666.97
Judgment/Lien Type:	Civil
Date Filed with Court:	08/15/2019
Date Individual Learned:	11/01/2019
Type of Court:	State Court
Name of Court:	Circuit Court
Location of Court:	Miami-Dade County, Florida
Docket/Case #:	2018-014003-CA01
Judgment/Lien Outstanding?	Yes
Status Date:	11/15/2019
Broker Statement	I have been in touch with Mr. Brodsky to revise a payment agreement to repay this debt.

Disclosure 2 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	JOHN DANIELSON
Judgment/Lien Amount:	\$3,535.00
Judgment/Lien Type:	Civil
Date Filed with Court:	07/12/2011
Date Individual Learned:	04/05/2015
Type of Court:	HARRIS COUNTY JUSTICE OF THE PEACE
Name of Court:	HARRIS COUNTY JUSTICE OF THE PEACE
Location of Court:	HOUSTON, HARRIS COUNTY
Docket/Case #:	NOT SURE



Judgment/Lien Outstanding? Yes

Status Date: 04/05/2015

Resolution: Satisfied

Broker Statement I WAS NOT AWARE OF THIS ITEM UNTIL IT WAS BROUGHT TO MY ATTENTION BY FINRA. THIS WAS ALMOST 4 YEARS FOLLOWING THE DATE BY WHICH THIS (UNKNOWN TO ME) LIEN WAS SATISFIED. I WAS LATE PAYING RENT AND MR. DANIELSON, UNBEKNOWNST TO ME, PURSUED THIS ACTION. I WAS NEVER SERVED. THIS FORM DOES NOT ALLOW ME TO SUBMIT COMPLETE AND ACCURATE INFORMATION. ALTHOUGH THE AMOUNT NOTED IN THE LIEN WAS SATISFIED YEARS AGO, THE LIEN IS STILL OUTSTANDING. I AM PURSUING CORRECTIVE ACTION.

Disclosure 3 of 4

Reporting Source: Broker

Judgment/Lien Holder: JOHN DANIELSON

Judgment/Lien Amount: \$7,070.00

Judgment/Lien Type: Civil

Date Filed with Court: 10/11/2011

Date Individual Learned: 10/15/2011

Type of Court: HARRIS COUNTY JUSTICE OF THE PEACE

Name of Court: HARRIS COUNTY JUSTICE OF THE PEACE

Location of Court: HOUSTON, HARRIS COUNTY

Docket/Case #: DO NOT KNOW

Judgment/Lien Outstanding? Yes

Status Date: 11/20/2011

Resolution: Satisfied

Broker Statement THIS DATE IS NOT ACCURATE. THIS FORM DOES NOT PERMIT ME TO PERMIT ME TO INPUT NEITHER COMPLETE, NOR ACCURATE, INFORMATION. THIS LIEN WAS BROUGHT TO MY ATTENTION BY FINRA IN APRIL 2015. I WAS UNAWARE OF THIS COURT ACTION. MR. DANIELSON WAS A LANDLORD, AND PURSUED THIS ACTION IN PURSUIT OF A LATE RENT PAYMENT, WHICH WAS, IN ALL LIKELIHOOD, SATISFIED WITHIN DAYS OF THE FILING. SO, USING THE PARLANCE OF THIS FORM, THE LIEN (OF WHICH I WAS UNAWARE) HAS BEEN SATISFIED, ALTHOUGH IT IS STILL



OUTSTANDING. I AM CURRENTLY PURSUING CORRECTIVE ACTION.

Disclosure 4 of 4

Reporting Source: Broker

Judgment/Lien Holder: RYAN AND JENNIFER WHITLEY

Judgment/Lien Amount: \$3,400.00

Judgment/Lien Type: Civil

Date Filed with Court: 08/14/2013

Date Individual Learned: 04/05/2015

Type of Court: HARRIS COUNTY JUSTICE OF THE PEACE

Name of Court: HARRIS COUNTY JUSTICE OF THE PEACE

Location of Court: HARRIS COUNTY, TEXAS

Docket/Case #: DON'T KNOW

Judgment/Lien Outstanding? Yes

Broker Statement

THIS DATE IS NOT ACCURATE. THIS FORM DOES NOT PERMIT ME TO PERMIT ME TO INPUT EITHER COMPLETE, NOR ACCURATE, INFORMATION. THIS LIEN WAS BROUGHT TO MY ATTENTION BY FINRA IN APRIL 2015. I WAS UNAWARE OF THIS COURT ACTION. RYAN AND JENNIFER WHITLEY WERE LANDLORD, AND PURSUED THIS ACTION IN PURSUIT OF A LATE RENT PAYMENT, WHICH WAS, IN ALL LIKELIHOOD, SATISFIED WITHIN DAYS OF THE FILING. THIS WAS BROUGHT TO MY ATTENTION BY FINRA. I HAVE SATISFIED THE AMOUNT REFERENCED IN THE LIEN, ALTHOUGH IT IS MY UNDERSTANDING THAT THE LIEN IS STILL OUTSTANDING. I AM IN THE PROCESS OF PURSUING CORRECTIVE ACTION.

End of Report



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