

## BrokerCheck Report

**KEITH ANDREW BORGFELDT**

CRD# 2192171

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).

**KEITH A. BORGFELDT**

CRD# 2192171

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

- IA KESTRA ADVISORY SERVICES, LLC**  
 4690 Sweetwater Blvd. Ste 280  
 Sugar Land, TX 77479  
 CRD# 283330  
 Registered with this firm since: 05/12/2017
- B KESTRA INVESTMENT SERVICES, LLC**  
 6530 Greatwood Pkwy  
 Suite A  
 Sugar Land, TX 77479  
 CRD# 42046  
 Registered with this firm since: 05/12/2017

**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
- 13 U.S. states and territories

**This broker has passed:**

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

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

- IA NEXT FINANCIAL GROUP, INC.**  
 CRD# 46214  
 HOUSTON, TX  
 01/2008 - 05/2017
- B NEXT FINANCIAL GROUP, INC.**  
 CRD# 46214  
 SUGARLAND, TX  
 01/2008 - 05/2017
- IA UBS FINANCIAL SERVICES INC.**  
 CRD# 8174  
 WEEHAWKEN, NJ  
 06/2002 - 02/2008

**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
Customer Dispute	1
Judgment/Lien	1



## Broker Qualifications

### Registrations

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

**This individual is currently registered with 1 SRO and is licensed in 13 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **KESTRA ADVISORY SERVICES, LLC**  
 Main Office Address: **5707 SOUTHWEST PARKWAY  
 BUILDING 2, SUITE 400  
 AUSTIN, TX 78735**  
 Firm CRD#: **283330**

	U.S. State/ Territory	Category	Status	Date
IA	Texas	Investment Adviser Representative	Approved	05/12/2017

### Branch Office Locations

5707 SOUTHWEST PARKWAY  
 BUILDING 2, SUITE 400  
 AUSTIN, TX 78735

4690 Sweetwater Blvd. Ste 280  
 Sugar Land, TX 77479

6530 Greatwood Pkwy  
 Suite A  
 Sugar Land, TX 77479

### Employment 2 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**  
 Main Office Address: **5707 SOUTHWEST PARKWAY  
 BUILDING 2, SUITE 400  
 AUSTIN, TX 78735**



## Broker Qualifications

### Employment 2 of 2, continued

Firm CRD#: **42046**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	05/12/2017
B	FINRA	General Securities Representative	Approved	05/12/2017
B	FINRA	Municipal Fund	Approved	05/12/2017

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	05/12/2017
B	Connecticut	Agent	Approved	01/23/2025
B	Georgia	Agent	Approved	08/04/2023
B	Illinois	Agent	Approved	08/14/2023
B	Kentucky	Agent	Approved	08/15/2023
B	Michigan	Agent	Approved	11/18/2019
B	Mississippi	Agent	Approved	07/07/2023
B	New Mexico	Agent	Approved	06/13/2022
B	North Carolina	Agent	Approved	07/12/2023
B	Ohio	Agent	Approved	07/07/2025
B	Oregon	Agent	Approved	08/04/2023
B	Tennessee	Agent	Approved	07/07/2023
B	Texas	Agent	Approved	05/12/2017

## Branch Office Locations

**KESTRA INVESTMENT SERVICES, LLC**  
6530 Greatwood Pkwy

## Broker Qualifications



### Employment 2 of 2, continued

Suite A  
Sugar Land, TX 77479

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## 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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Municipal Fund Securities Principal Examination	Series 51	08/06/2008
<b>B</b> General Securities Principal Examination	Series 24	08/04/2008

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Futures Managed Funds Examination	Series 31	12/07/2006
<b>B</b> General Securities Representative Examination	Series 7	02/18/1992

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	05/08/2002
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	02/25/1992

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/](http://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>B</b> 01/2008 - 05/2017	NEXT FINANCIAL GROUP, INC.	46214	SUGARLAND, TX
<b>IA</b> 01/2008 - 05/2017	NEXT FINANCIAL GROUP, INC.	46214	SUGARLAND, TX
<b>IA</b> 06/2002 - 02/2008	UBS FINANCIAL SERVICES INC.	8174	HOUSTON, TX
<b>B</b> 04/2002 - 02/2008	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ
<b>B</b> 07/2000 - 03/2002	TRADECAST SECURITIES, LTD.	45501	HOUSTON, TX
<b>B</b> 12/1994 - 07/1998	COASTALBANC FINANCIAL CORPORATION	24900	HOUSTON, TX
<b>B</b> 02/1992 - 04/1993	EVEREN SECURITIES, INC.	19616	ST. LOUIS, MO

### 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
05/2017 - Present	KESTRA ADVISORY SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SUGARLAND, TX, United States
05/2017 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	SUGARLAND, TX, United States
01/2008 - Present	NEXT FINANCIAL GROUP, INC.	REGISTERED REP	Y	SUGARLAND, 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.

Business Name: Kestra Advisory Services, LLC Investment Related: Yes Address: 5707 Southwest Parkway, Building 2, Ste 400 Austin TX 78735

## Registration and Employment History



### Other Business Activities, continued

Nature of Business: Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: IAR Start Date: 5/12/2017 Hours per month: 51% - 60% (81 - 96 hours) Hours per month during trading hours: 51% - 60% (71 - 84 hours) Duties: Independent advisor

Business Name: Spartan Wealth Management LLC Investment Related: Yes Address: 4690 Sweetwater Blvd., Ste 280 Sugar Land TX 77479

Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Insurance; Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: President Start Date: 7/1/2010 Hours per month: 91% - 100% (145 - 160 hours) Hours per month during trading hours: 71% - 80% (99 - 112 hours) Duties: Oversee all daily activities of the firm. Work directly with clients to manage their wealth and their overall financial picture.

Business Name: Fort Bend Chamber of Commerce

FBCC Investment Related: No Address: 445 Commerce Green Blvd. Sugar Land TX 77478 Nature of Business: Board Position (Board of Directors, Board of Trustees, etc.) Position, Title or Relationship: Board Member & Treasurer Start Date: 11/15/2018 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Review the organization's financials and report back to Board. Also, if checks need to be written for over \$2,500 I will 1 of 6 board members that will have the ability to be the second signature on the checks. I will have not direct access to any funds.

Business Name: Fort Bend Chamber of Commerce Investment Related: No Address: Fort Bend Chamber of Commerce Sugar Land TX 77479 Nature of Business: Board Position (Board of Directors, Board of Trustees, etc.) Position, Title or Relationship: Treasurer Start Date: 11/1/2019 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Report financials to the Chamber Board. Co-sign checks as necessary. I will not have direct access to any funds and because checks need to signatures I would occasionally co-sign a check.

Business Name: CULLINAN PARK CONSERVANCY POSITION: Board Member NATURE: Board position (Board of Directors, Board of Trustees, etc.) INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 03/01/2022 ADDRESS: 12414 Highway 6 S, Sugar Land TX 77478 DESCRIPTION: Attend board meetings and provide input and guidance to help enhance Cullinan Park.

Business Name: BORG PROPERTIES LLC POSITION: Manager and Member NATURE: Real Estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 01/13/2020 ADDRESS: 4707 Dunleigh Ct, Sugar Land TX 77479 DESCRIPTION: Maintain the building and financials associated with building.

Business Name: HOPE FOR THREE POSITION: Treasurer & Board Member NATURE: Charitable Organization INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 09/01/2022 ADDRESS: 1650 Hwy 6, Ste 150, Sugar Land TX 77478 DESCRIPTION: Review organization financials Support organizational mission

- I will not present investment opportunities to the board.- I will not give specific investment advice to the organization.- I will not be the deciding vote on investment decisions.- I will not be the rep of record for any investment accounts of the entity.- I will not participate in or advise on any decisions related to investment banking or raising of capital. Charitable fundraising may be allowable.

## 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
Customer Dispute	0	1	N/A
Judgment/Lien	1	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.

### 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	UBS FINANCIAL SERVICES, INC.
<b>Allegations:</b>	THE COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008.
<b>Product Type:</b>	Other: AUCTION RATE SECURITIES
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	THE CUSTOMER DID NOT MAKE A CLAIM FOR COMPENSATORY DAMAGES AND/OR DAMAGES WERE DETERMINED TO BE LESS THAN \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	05/08/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled



**Status Date:** 12/23/2008

**Settlement Amount:** \$100,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement**

THE COMPLAINT AROSE IN CONNECTION WITH THE INDUSTRY WIDE BREAKDOWN OF LIQUIDITY IN THE MARKET FOR AUCTION RATE SECURITIES ("ARS"). THE FIRM AGREED TO REPURCHASE THE ARS SECURITIES AT ISSUE AT PAR VALUE FROM THE CLIENT PURSUANT TO A GLOBAL REPURCHASE AGREEMENT IT ENTERED INTO WITH SEVERAL REGULATORY BODIES. THIS WAS NOT A SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE AND WAS NOT BASED ON THE MERITS OF THE CLIENT'S SPECIFIC CONCERNS OR ANY FINDING OF FAULT OR WRONGDOING BY THE NAMED REPRESENTATIVE. THE NAMED REPRESENTATIVE WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND THE RELEVANT REGULATORY BODIES. THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT. THE LISTED "SETTLEMENT AMOUNT" REPRESENTS ONLY THE GROSS INITIAL PAR VALUE OF THE ARS POSITION AND DOES NOT TAKE INTO ACCOUNT THE ACTUAL VALUE OF THE ARS POSITION AT THE TIME THE FIRM RECEIVED IT BACK FROM THE CLIENT IN CONNECTION WITH THE SETTLEMENT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES, INC.

**Allegations:** THE COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008.

**Product Type:** Other: AUCTION RATE SECURITIES

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** THE CUSTOMER DID NOT MAKE A CLAIM FOR COMPENSATORY DAMAGES AND/OR DAMAGES WERE DETERMINED TO BE LESS THAN \$5,000.



**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:** 05/08/2008

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 12/23/2008

**Settlement Amount:** \$100,000.00

**Individual Contribution  
Amount:** \$0.00

### Broker Statement

THE COMPLAINT AROSE IN CONNECTION WITH THE INDUSTRY WIDE BREAKDOWN OF LIQUIDITY IN THE MARKET FOR AUCTION RATE SECURITIES ("ARS"). THE FIRM AGREED TO REPURCHASE THE ARS SECURITIES AT ISSUE AT PAR VALUE FROM THE CLIENT PURSUANT TO A GLOBAL REPURCHASE AGREEMENT IT ENTERED INTO WITH SEVERAL REGULATORY BODIES. THIS WAS NOT A SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE AND WAS NOT BASED ON THE MERITS OF THE CLIENT'S SPECIFIC CONCERNS OR ANY FINDING OF FAULT OR WRONGDOING BY THE NAMED REPRESENTATIVE. THE NAMED REPRESENTATIVE WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND THE RELEVANT REGULATORY BODIES. THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT. THE LISTED "SETTLEMENT AMOUNT" REPRESENTS ONLY THE GROSS INITIAL PAR VALUE OF THE ARS POSITION AND DOES NOT TAKE INTO ACCOUNT THE ACTUAL VALUE OF THE ARS POSITION AT THE TIME THE FIRM RECEIVED IT BACK FROM THE CLIENT IN CONNECTION WITH THE SETTLEMENT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.



## Judgment / Lien

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

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	Keith Borgfeldt
<b>Judgment/Lien Amount:</b>	\$103,922.30
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	10/31/2019
<b>Date Individual Learned:</b>	11/05/2019
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	County Clerk Ft Bend County
<b>Location of Court:</b>	Richmond, TX
<b>Docket/Case #:</b>	2019123878
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	

The Request for Equivalent Hearing has been sent to the IRS with the intention of exploring alternative collection options. We feel that the lien was filed prematurely. With this said, we will be making every possible effort of correcting this situation.

## End of Report



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