

BrokerCheck Report

KOSTAS TSAMOS

CRD# 2782014

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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:
 - 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.



KOSTAS TSAMOS

CRD# 2782014

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:

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

Registration History

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

- B

SPARTAN CAPITAL SECURITIES, LLC

CRD# 146251

GARDEN CITY, NY

01/2016 - 12/2022
- B

SOUTHEAST INVESTMENTS, N.C., INC.

CRD# 43035

East Meadow, NY

02/2014 - 01/2016
- B

CALDWELL INTERNATIONAL SECURITIES

CRD# 104323

EAST MEADOWS, NY

02/2007 - 03/2014

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
Investigation	1
Customer Dispute	7
Judgment/Lien	6

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.

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	06/16/2000

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/28/1996

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	10/10/1996

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 01/2016 - 12/2022	SPARTAN CAPITAL SECURITIES, LLC	146251	GARDEN CITY, NY
B 02/2014 - 01/2016	SOUTHEAST INVESTMENTS, N.C., INC.	43035	East Meadow, NY
B 02/2007 - 03/2014	CALDWELL INTERNATIONAL SECURITIES	104323	EAST MEADOWS, NY
B 08/2005 - 02/2007	HUNTER SCOTT FINANCIAL LLC.	45559	UNIONDALE, NY
B 08/1999 - 08/2005	J.P. TURNER & COMPANY, L.L.C.	43177	ATLANTA, GA
B 10/1998 - 08/1999	MILLENNIUM SECURITIES CORP.	31695	NEW YORK, NY
B 01/1998 - 11/1998	G.F.B. SECURITIES, INC.	36381	EAST MEADOW, NY
B 05/1997 - 12/1997	LA JOLLA CAPITAL CORPORATION	24341	SAN DIEGO, CA
B 04/1997 - 05/1997	REDSTONE SECURITIES, INC.	19628	DALLAS, TX
B 11/1996 - 04/1997	JARON EQUITIES CORP.	5764	HICKSVILLE, NY
B 10/1996 - 11/1996	INVESTORS ASSOCIATES, INC.	958	HACKENSACK, NJ

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
01/2016 - Present	Spartan Capital Securities, LLC.	Registered Representative	Y	Garden City, NY, United States
02/2014 - 01/2016	SOUTHEAST INVESTMENTS, N.C. INC.	REGISTERED REPRESENTATIVE	Y	CHARLOTTE, NC, United States

Registration and Employment History



Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 -
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	7	N/A
Investigation	1	N/A	N/A
Judgment/Lien	6	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 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Spartan Capital Securities, LLC
Allegations:	Time Frame: No time frame mentioned/associated with individual claimant in Statement of Claim (SOC). Allegations: Alleging misrepresentation and unsuitable recommendations
Product Type:	No Product
Alleged Damages:	\$668,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged damages: No Investment product mentioned to support the alleged damages in Statement of Claim (SOC).

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	19-03740
Date Notice/Process Served:	01/28/2020
Arbitration Pending?	No
Disposition:	Settled



Disposition Date:	02/22/2022
Monetary Compensation Amount:	\$75,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	The Claims were filed by Cold Spring Advisory - Non-Attorney Representatives (NARS). NARS have no ethical code or constraints like attorneys do, and do not face potential sanctions from any regulatory or licensing body like a state bar association. Essentially, this system exposes the investor potential victimization, with little chance of recovering damages caused by an unscrupulous or negligent NAR." The NARS are specifically attuned to the FINRA guidance and have weaponized the FINRA reporting requirements against individuals such as applicant, by making totally baseless, unfounded, unsupportable, and factually false allegations against them and are being permitted to do so with no regard for the investor or the applicant.

Disclosure 2 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER AND COMPANY LLC
Allegations:	CHURNING, EXCESSIVE TRADING, NEGLIGENCE, BREACH OF CONTRACT AND BREACH OF FIDUCIARY DUTY.
Product Type:	Equity-OTC
Alleged Damages:	\$345,582.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	CASE NUMBER 08-02152
Date Notice/Process Served:	07/08/2008
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/14/2009



Monetary Compensation Amount: \$100,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: J. P. TURNER AND COMPANY LLC

Allegations: CHURNING, EXCESSIVE TRADING, NEGLIGENCE, BREACH OF CONTRACT AND BREACH OF FIDUCIARY DUTY

Product Type: Equity-OTC

Alleged Damages: \$345,582.00

Is this an oral complaint?

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 #: 08-02152

Filing date of arbitration/CFTC reparation or civil litigation: 07/08/2008

Customer Complaint Information

Date Complaint Received: 07/08/2008

Complaint Pending?

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA



Docket/Case #: 08-02152
Date Notice/Process Served: 07/08/2008
Arbitration Pending? No
Disposition: Settled
Disposition Date: 09/14/2009
Monetary Compensation Amount: \$100,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 5

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: HUNTER SCOTT FINANCIAL, LLC.

Allegations: CLIENT ALLEDGES COMMISSIONS AND FEES WERE OUTRAGEOUS. CLIENT ALLEDGES THAT HIS LOSSES SUSTAINED IN THE ACCOUNT WERE DIRECTLY ATTRIBUTED TO THE BROKER'S MISREPRESENTATIONS AND OMISSIONS, UNSUITABLE RECOMMENDATIONS, BREACHES OF FIDUCIARY DUTY AS WELL AS CHURNING.

Product Type: Options
Other Product Type(s): NOT SPECIFIED
Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 04/03/2007

Settlement Amount:
Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION CASE NUMBER 07-00810

Date Notice/Process Served: 04/03/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/06/2008

Monetary Compensation Amount: \$75,000.00

Individual Contribution Amount: \$0.00

Firm Statement THE ARBITRATION WAS SETTLED BY HUNTER SCOTT WITHOUT ANY ADMISSION OF WRONGDOING PRIMARILY TO AVOID THE EXPENSE OF ARBITRATING THIS MATTER IN SOUTH DAKOTA. MR. TSAMOS DENIED ALL ALLEGATIONS OF WRONGDOING CONTAINED IN THE STATEMENT OF CLAIM AND DID NOT CONTRIBUTE TO THE SETTLEMENT PAYMENT

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: HUNTER SCOTT

Allegations: CLIENT ALLEGES UNSUITABLE TRADES AND EXCESSIVE ACTIVITY. THE CLIENT HAS NO SPECIFIC TRADES OR DATES TO LIST.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 04/03/2007

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/03/2007

Settlement Amount:

Individual Contribution Amount:



Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 07-00810
Date Notice/Process Served:	04/03/2007
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/06/2008
Monetary Compensation Amount:	\$75,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	THE ARBITRATION WAS SETTLED BY HUNTER SCOTT WITHOUT ANY ADMISSION OF WRONGDOING PRIMARILY TO AVOID THE EXPENSE OF ARBITRATING THIS MATTER IN SOUTH DAKOTA. MR. TSAMOS DENIED ALL ALLEGATIONS OF WRONGDOING CONTAINED IN THE STATEMENT OF CLAIM AND DID NOT CONTRIBUTE TO THE SETTLEMENT PAYMENT.

Disclosure 4 of 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J. P. TURNER & COMPANY, LLC
Allegations:	ALLEAGATIONS ARE THAT BROKER CHURNED, MANIPULATED AND VICTIMIZED CLAIMANTS ACCOUNTS OR CONTRARY TO THE CLAIMANTS BEST FINANCIAL INTEREST.
Product Type:	Equity - OTC
Alleged Damages:	\$47,291.00

Customer Complaint Information

Date Complaint Received:	11/22/2000
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	11/22/2000

**Settlement Amount:****Individual Contribution
Amount:****Arbitration Information****Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NASD DOCKET #00-03669**Date Notice/Process Served:** 11/22/2000**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 08/14/2001**Monetary Compensation
Amount:** \$36,000.00**Individual Contribution
Amount:** \$0.00**Disclosure 5 of 5****Reporting Source:** Firm**Employing firm when
activities occurred which led
to the complaint:** MILLENNIUM SECURITIES CORP.**Allegations:** ALLEGED UNAUTHORIZED TRADES AND EXCESSIVE TRADING IN JANUARY,
1999 AND MAY, 1999.**Product Type:** Equity - OTC**Alleged Damages:** \$166,000.00**Customer Complaint Information****Date Complaint Received:** 11/18/1999**Complaint Pending?** Yes**Status:** Arbitration/Reparation**Status Date:** 11/18/1999**Settlement Amount:****Individual Contribution
Amount:**

**Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARB # 99-05116

Date Notice/Process Served: 11/18/1999

Arbitration Pending? Yes

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MILLENNIUM SECURITIES CORP.

Allegations: ALLEGED UNAUTHORIZED TRADES.

Product Type: Equity - OTC

Alleged Damages: \$166,000.00

Customer Complaint Information

Date Complaint Received: 11/18/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/18/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD #99-05116

Date Notice/Process Served: 11/18/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/20/2001



Monetary Compensation Amount:	\$25,000.00
Individual Contribution Amount:	\$8,333.33



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a 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, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Southeast Investments, N.C. Inc.
Allegations:	Time Frame: February 2014 through January 2016. Negligence, Churning, Quantitative unsuitability, Qualitative unsuitability, Unauthorized trading.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock) Penny Stock
Alleged Damages:	\$400,256.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	21-01817
Date Notice/Process Served:	07/26/2021
Arbitration Pending?	No
Disposition:	Dismissed
Disposition Date:	03/22/2023
Firm Statement	Claimant's claims dismissed with prejudice, claimant is liable for and shall pay to representative \$4,000 as a sanction, and claimant must pay attorneys' fees to representative.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Southwest Investment, Inc., N.C.
Allegations:	Time Frame: February 2014 through January 2016. Negligence, Churning,



Quantitative unsuitability, Qualitative unsuitability, Unauthorized trading.

Product Type:

Equity-OTC
Equity Listed (Common & Preferred Stock)
Penny Stock

Alleged Damages:

\$400,256.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):

FINRA

Docket/Case #:

21-01817

Date Notice/Process Served:

07/26/2021

Arbitration Pending?

Yes

Broker Statement

This customer account was closed over five years ago. Mr. Tsamos vehemently denies the allegations and asserts that the customer was a knowledgeable and experienced investor who approved all of the activity in the account and all of the transactions were suitable for the customer.

Disclosure 2 of 2

Reporting Source:

Broker

Employing firm when activities occurred which led to the complaint:

J. P. TURNER & COMPANY

Allegations:

ALLEGES EXCESSIVE AND UNAUTHORIZED TRADING

Product Type:

Equity - OTC

Alleged Damages:

\$70,000.00

Customer Complaint Information

Date Complaint Received:

03/11/2003

Complaint Pending?

No

Status:

Denied

Status Date:

11/18/2003

Settlement Amount:



**Individual Contribution
Amount:**



Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

Disclosure 1 of 1

Reporting Source: Regulator

Initiated By: FINRA

Notice Date: 09/29/2023

Details: FINRA Case #20180564903: FINRA made a preliminary determination to recommend that disciplinary action be brought against Kostas Tsamos alleging violation of FINRA Rules 2010 and 2020 and Willful Violation of Section 10(b) of the Securities Exchange Act of 1934 (Exchange Act) and Exchange Act Rule 10b-5 in that Tsamos churned; Violation of FINRA Rule 2010 and Willful Violation of Rule 15l-1 of the Exchange Act (Regulation Best Interest) in that Tsamos made recommendations to customers that were excessive and not in the customers' best interests; Violation of FINRA Rules 2111 and 2010 in that Tsamos made quantitatively unsuitable recommendations to customers; and Violation of FINRA Rules 1122 and 2010 and Article V, Section 2(c) of FINRA's By-Laws in that Tsamos willfully failed to timely disclose tax liens.

Is Investigation pending? Yes



Judgment / Lien

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

Disclosure 1 of 6

Reporting Source:	Broker
Judgment/Lien Holder:	Lien
Judgment/Lien Amount:	\$47,909.00
Judgment/Lien Type:	Tax
Date Filed with Court:	08/30/2018
Date Individual Learned:	07/22/2018
Type of Court:	Federal Court
Name of Court:	Suffolk County Clerk
Location of Court:	Riverhead, NY
Docket/Case #:	LFED00028442
Judgment/Lien Outstanding?	Yes
Broker Statement	Individual learned first from FINRA notice on or about 7/22/2019. Not having all the information needed to complete disclosure. Compliance researched in order to complete filing obligation.

Disclosure 2 of 6

Reporting Source:	Broker
Judgment/Lien Holder:	Lien
Judgment/Lien Amount:	\$27,832.00
Judgment/Lien Type:	Tax
Date Filed with Court:	12/17/2018
Date Individual Learned:	07/22/2019
Type of Court:	Federal Court
Name of Court:	Suffolk County Clerk
Location of Court:	Riverhead, NY
Docket/Case #:	LFED00029058



Judgment/Lien Outstanding? Yes

Broker Statement Individual learned first from FINRA notice on or about 7/22/2019. Not having all the information needed to complete disclosure. Compliance researched in order to complete filing obligation.

Disclosure 3 of 6

Reporting Source: Broker

Judgment/Lien Holder: Lien

Judgment/Lien Amount: \$31,416.00

Judgment/Lien Type: Tax

Date Filed with Court: 03/15/2019

Date Individual Learned: 07/22/2019

Type of Court: Federal Court

Name of Court: Suffolk County Clerk

Location of Court: Riverhead, NY

Docket/Case #: LFED00029400

Judgment/Lien Outstanding? Yes

Broker Statement Individual learned first from FINRA notice on or about 7/22/2019. Not having all the information needed to complete disclosure. Compliance researched in order to complete filing obligation.

Disclosure 4 of 6

Reporting Source: Broker

Judgment/Lien Holder: Lien

Judgment/Lien Amount: \$114,449.75

Judgment/Lien Type: Tax

Date Filed with Court: 05/03/2019

Date Individual Learned: 04/22/2020

Type of Court: State Court

Name of Court: Suffolk County Clerk



Location of Court: Suffolk County, NY

Docket/Case #: E-015256437-W042-4

Judgment/Lien Outstanding? Yes

Broker Statement Individual learned first from FINRA notice on or about 7/22/2019. Not having all the information needed to complete disclosure. Compliance researched in order to complete filing obligation.

Disclosure 5 of 6

Reporting Source: Broker

Judgment/Lien Holder: IRS

Judgment/Lien Amount: \$49,241.00

Judgment/Lien Type: Tax

Date Filed with Court: 07/07/2017

Date Individual Learned: 12/18/2018

Type of Court: State Court

Name of Court: NASSAU COUNTY, NY

Location of Court: NASSAU COUNTY, NY

Docket/Case #: LFED00026117

Judgment/Lien Outstanding? Yes

Broker Statement HAD NO KNOWLEDGE OF LIEN / JUDGEMENT FILED AGAINST ME UNTIL SUCH TIME I RECEIVED LETTER FROM FINRA

Disclosure 6 of 6

Reporting Source: Broker

Judgment/Lien Holder: STATE OF NY

Judgment/Lien Amount: \$23,088.00

Judgment/Lien Type: Tax

Date Filed with Court: 04/05/2017

Date Individual Learned: 12/18/2018

Type of Court: State Court



Name of Court:	NASSAU COUNTY, NY
Location of Court:	NASSAU COUNTY, NY
Docket/Case #:	E015256437W0328
Judgment/Lien Outstanding?	Yes
Broker Statement	HAD NO KNOWLEDGE OF LIEN / JUDGEMENT FILED AGAINST ME UNTIL SUCH TIME I RECEIVED LETTER FROM FINRA

End of Report



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