

BrokerCheck Report

VINCENT LOUIS PEREIRA

CRD# 2933058

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

For more information about FINRA, visit www.finra.org.

VINCENT L. PEREIRA

CRD# 2933058

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

- B** **ALEXANDER CAPITAL, L.P.**
 10 DRS JAMES PARKER BLVD
 SUITE 202
 RED BANK, NJ 07701
 CRD# 40077
 Registered with this firm since: 02/17/2015

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
- 14 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** **BLACKBOOK CAPITAL LLC**
 CRD# 123234
 HILLSIDE, NJ
 11/2014 - 02/2015
- B** **SOURCE CAPITAL GROUP, INC.**
 CRD# 36719
 NEW YORK, NY
 08/2014 - 11/2014
- B** **JOHN CARRIS INVESTMENTS LLC**
 CRD# 145767
 HOBOKEN, NJ
 02/2014 - 06/2014

**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
Criminal	1
Customer Dispute	5
Judgment/Lien	7



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

Employment 1 of 1

Firm Name: **ALEXANDER CAPITAL, L.P.**
 Main Office Address: **10 DRS JAMES PARKER BLVD
 SUITE 202
 RED BANK, NJ 07701**
 Firm CRD#: **40077**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	02/17/2015

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	02/01/2022
B California	Agent	Approved	02/17/2015
B Florida	Agent	Approved	06/12/2015
B Illinois	Agent	Approved	04/02/2015
B Iowa	Agent	Approved	08/20/2020
B New Jersey	Agent	Approved	03/24/2015
B New York	Agent	Approved	02/17/2015
B Ohio	Agent	Approved	02/17/2015
B Oklahoma	Agent	Approved	09/04/2015
B Pennsylvania	Agent	Approved	02/17/2015
B South Carolina	Agent	Approved	07/10/2024
B Tennessee	Agent	Approved	10/22/2019



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Texas	Agent	Approved	08/06/2020
B	Wisconsin	Agent	Approved	01/21/2020

Branch Office Locations

ALEXANDER CAPITAL, L.P.
10 DRS JAMES PARKER BLVD
SUITE 202
RED BANK, NJ 07701



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 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	09/03/1997

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	09/12/1997

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 11/2014 - 02/2015	BLACKBOOK CAPITAL LLC	123234	HILLSIDE, NJ
B 08/2014 - 11/2014	SOURCE CAPITAL GROUP, INC.	36719	NEW YORK, NY
B 02/2014 - 06/2014	JOHN CARRIS INVESTMENTS LLC	145767	HOBOKEN, NJ
B 10/2011 - 02/2014	ROCKWELL GLOBAL CAPITAL LLC	142485	MELVILLE, NY
B 12/2008 - 03/2011	ROCKWELL GLOBAL CAPITAL LLC	142485	MELVILLE, NY
B 08/2008 - 12/2008	ADVANCED PLANNING SECURITIES, INC.	14382	SMITHTOWN, NY
B 02/2007 - 08/2008	ROCKWELL GLOBAL CAPITAL LLC	142485	MELVILLE, NY
B 05/2005 - 06/2007	ADVANCED PLANNING SECURITIES, INC.	14382	MELVILLE, NY
B 02/2004 - 05/2005	NATIONS FINANCIAL GROUP, INC.	44181	CEDAR RAPIDS, IA
B 04/2002 - 11/2002	ARCHER ALEXANDER SECURITIES CORPORATION	41555	KANSAS CITY, MO
B 10/1999 - 09/2001	INVESTEC ERNST & COMPANY	266	NEW YORK, NY
B 09/1998 - 10/1999	ROYCE INVESTMENT GROUP, INC.	10494	WOODBURY, NY
B 08/1998 - 09/1998	FIRST PROVIDENCE FINANCIAL GROUP, INC.	39469	PORT WASHINGTON, NY
B 09/1997 - 08/1998	WALSH MANNING SECURITIES, LLC	30826	

Employment History



Registration and Employment History

Employment History, continued

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
07/2014 - Present	SOURCE CAPITAL	RR	Y	NEW YORK, 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.

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.
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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
Criminal	0	1	0
Customer Dispute	0	5	N/A
Judgment/Lien	7	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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Formal Charges were brought in:	CITY COURT
Name of Court:	CRIMINAL COURT OF THE CITY OF NEW YORK
Location of Court:	NEW YORK, NEW YORK
Docket/Case #:	2014NY000885
Charge Date:	11/24/2013
Charge(s) 1 of 1	
Formal Charge(s)/Description:	PETIT LARCENY FROM STORE
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	GUILTY
Disposition of charge:	Pled guilty
Current Status:	Final
Status Date:	03/24/2014
Disposition Date:	03/24/2014
Sentence/Penalty:	1 DAY OF COMMUNITY SERVICE





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:	Firm
Employing firm when activities occurred which led to the complaint:	ROCKWELL GLOBAL CAPITAL, LLC.
Allegations:	FAILURE TO PERFORM DUE DILIGENCE, BREACH OF FIDUCIARY RESPONSIBILITY
Product Type:	Other: PRIVATE PLACEMENT
Alleged Damages:	\$100,000.00
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
Docket/Case #:	11-03539
Filing date of arbitration/CFTC reparation or civil litigation:	09/19/2011

Customer Complaint Information

Date Complaint Received:	09/26/2011
Complaint Pending?	No
Status:	Settled
Status Date:	02/22/2013
Settlement Amount:	\$35,000.00
Individual Contribution Amount:	\$0.00

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: ROCKWELL GLOBAL CAPITAL, LLC.

Allegations: FAILURE TO PERFORM DUE DILIGENCE, BREACH OF FIDUCIARY RESPONSIBILITY

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$100,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 11-03539

Filing date of arbitration/CFTC reparation or civil litigation: 09/19/2011

Customer Complaint Information

Date Complaint Received: 09/26/2011

Complaint Pending? No

Status: Settled

Status Date: 02/22/2013

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ROCKWELL GLOBAL CAPITAL, LLC.

Allegations: FAILURE TO PERFORM DUE DILIGENCE, BREACH OF FIDUCIARY



RESPONSIBILITY

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$150,000.00

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

Docket/Case #: 11-03373

Filing date of arbitration/CFTC reparation or civil litigation: 09/08/2011

Customer Complaint Information

Date Complaint Received: 09/13/2011

Complaint Pending? No

Status: Settled

Status Date: 03/14/2013

Settlement Amount: \$40,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: ROCKWELL GLOBAL CAPITAL, LLC.

Allegations: FAILURE TO PERFORM DUE DILIGENCE, BREACH OF FIDUCIARY RESPONSIBILITY

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$150,000.00

Is this an oral complaint? No



Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 11-03373

Filing date of arbitration/CFTC reparation or civil litigation: 09/08/2011

Customer Complaint Information

Date Complaint Received: 09/13/2011

Complaint Pending? No

Status: Settled

Status Date: 03/04/2013

Settlement Amount: \$40,000.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ROCKWELL GLOBAL CAPITAL, LLC.

Allegations: FAILURE TO PERFORM DUE DILIGENCE, BREACH OF FIDUCIARY RESPONSIBILITY

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$50,000.00

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

Docket/Case #: 11-03364

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 09/12/2011

Customer Complaint Information

Date Complaint Received: 09/15/2011

Complaint Pending? No

Status: Settled

Status Date: 01/16/2013

Settlement Amount: \$15,000.00

**Individual Contribution
Amount:** \$0.00

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** ROCKWELL GLOBAL CAPITAL, LLC.

Allegations: FAILURE TO PERFORM DUE DILIGENCE, BREACH OF FIDUCIARY RESPONSIBILITY

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 11-03364



Filing date of arbitration/CFTC reparation or civil litigation: 09/12/2011

Customer Complaint Information

Date Complaint Received: 09/15/2011
Complaint Pending? No
Status: Settled
Status Date: 01/16/2013
Settlement Amount: \$15,000.00
Individual Contribution Amount: \$0.00
Broker Statement PENDING EXPUNGEMENT.

Disclosure 4 of 5

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: ROCKWELL GLOBAL CAPITAL, LLC.
Allegations: FALSE STATEMENTS, NEGLIGENCE, SUPERVISION, BREACH OF CONTRACT, FRAUD
Product Type: Other: PRIVATE PLACEMENT
Alleged Damages: \$300,000.00
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 11-03003
Filing date of arbitration/CFTC reparation or civil litigation: 05/08/2011



Customer Complaint Information

Date Complaint Received: 08/08/2011

Complaint Pending? No

Status: Settled

Status Date: 05/29/2013

Settlement Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: ROCKWELL GLOBAL CAPITAL, LLC.

Allegations: FAILURE TO PERFORM DUE DILIGENCE, BREACH OF FIDUCIARY RESPONSIBILITY

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$300,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 11-03003

Filing date of arbitration/CFTC reparation or civil litigation: 09/23/2011

Customer Complaint Information

Date Complaint Received: 09/23/2011

Complaint Pending? No

Status: Settled



Status Date: 05/29/2013

Settlement Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Disclosure 5 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ROCKWELL GLOBAL CAPITAL, LLC.

Allegations: FAILURE TO PERFORM DUE DILIGENCE. BREACH OF FIDUCIARY REPONSIBILITY.

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$50,000.00

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

Docket/Case #: 11-03586

Filing date of arbitration/CFTC reparation or civil litigation: 09/23/2011

Customer Complaint Information

Date Complaint Received: 09/26/2011

Complaint Pending? No

Status: Settled

Status Date: 03/07/2013

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$0.00



Firm Statement CLIENT COMPLAINED ABOUT A LOSS IN A SPECULATIVE PRIVATE PLACEMENT.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: ROCKWELL GLOBAL CAPITAL, LLC.

Allegations: FAILURE TO PERFORM DUE DILIGENCE, BREACH OF FIDUCIARY RESPONSIBILITY

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 11-03586

Filing date of arbitration/CFTC reparation or civil litigation: 09/23/2011

Customer Complaint Information

Date Complaint Received: 09/26/2011

Complaint Pending? No

Status: Settled

Status Date: 03/07/2013

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$0.00



Judgment / Lien

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

Disclosure 1 of 7

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$25,817.32
Judgment/Lien Type:	Tax
Date Filed with Court:	06/06/2015
Date Individual Learned:	10/13/2015
Type of Court:	COUNTY
Name of Court:	SUFFOLK COUNTY COURT
Location of Court:	RONKONKOMA LONG ISLAND
Docket/Case #:	2015052700386015
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 7

Reporting Source:	Broker
Judgment/Lien Holder:	HSBC BANK
Judgment/Lien Amount:	\$2,696.96
Judgment/Lien Type:	Civil
Date Filed with Court:	12/27/2007
Date Individual Learned:	12/27/2007
Type of Court:	State Court
Name of Court:	SUPREME COURT STATE OF NEW YORK
Location of Court:	COUNTY OF PUTNAM
Docket/Case #:	200700001942
Judgment/Lien Outstanding?	Yes
Broker Statement	I AM NOT THE PRIMAMRY DEFENDANT HERE. I COSIGNED A CREDIT CARD APPLICATION FOR MY MOTHER WHO IS 93 YEARS OLD. I HAVE NEVER



LIVED IN PUTNAM COUNTY. ANOTHER FAMILY MEMBER WAS HANDLING THESE PAYMENTS ON BEHALF OF MY MOTHER. NOW THAT I AM AWARE OF THE JUDGMENT I WILL ATTEMPT TO SATISFY IT ON BEHALF OF MY MOTHER.

Disclosure 3 of 7

Reporting Source: Broker

Judgment/Lien Holder: SUFFOLK COUNTY

Judgment/Lien Amount: \$150.00

Judgment/Lien Type: Civil

Date Filed with Court: 09/24/2009

Date Individual Learned: 09/24/2009

Type of Court: DISTRICT COURT

Name of Court: DISTRICT COURT OF SUFFOLK COUNTY

Location of Court: CENTRAL ISLIP NEW YORK

Docket/Case #: A83906874

Judgment/Lien Outstanding? Yes

Broker Statement THIS REPRESENT PARKING TICKETS FROM THE BABYLON TRAIN STATION OF THE LONG ISLAND RAILROAD. NOW THAT I AWARE THAT THIS EXISTS I AM GOING TO MAKE THE PAYMENT AS SOON AS POSSIBLE.

07/11/2014:
UNPAID PARKING TICKET.

Disclosure 4 of 7

Reporting Source: Broker

Judgment/Lien Holder: SOMER & HELLER LLP

Judgment/Lien Amount: \$1,733.47

Judgment/Lien Type: Civil

Date Filed with Court: 03/11/2009

Date Individual Learned: 03/11/2009

Type of Court: CIVIL COURT



Name of Court: RONKONKAMA DISTRICT COURT

Location of Court: RONKONKAMA NEW YORK

Docket/Case #: ISLT 0900367

Judgment/Lien Outstanding? Yes

Broker Statement THIS REPRESENTS A LANDLORD / TENANT DISPUTE OVER REPAIRS TO MY APARTMENT. THE RENT I WITHHELD WAS PAID IN FULL AND THE LANDLORD IS ATTEMPTING TO COLLECT LEGAL FEES ACCRUED BY HIM DURING THE DISPUTE. SINCE THE LANDLORD NEBER RETURNED MY SECURITY DEPOSIT I CONSIDER HIM PAID.

07/11/2014: LANDLORD / TENANT DISPUTE. RENT PAID. REFUSE TO PAY LANDLORD'S LEGAL EXPENSES.

Disclosure 5 of 7

Reporting Source: Broker

Judgment/Lien Holder: GENERAL ELECTRIC CAPITAL CORP

Judgment/Lien Amount: \$9,592.54

Judgment/Lien Type: Civil

Date Filed with Court: 09/19/2008

Date Individual Learned: 09/19/2008

Type of Court: CIVIL COURT

Name of Court: WESTCHESTER COUNTY COURT

Location of Court: WHITE PLAINS NY

Docket/Case #: 820095

Judgment/Lien Outstanding? Yes

Broker Statement THIS JUDGMENT WAS ORIGINALLY FILED IN 1995. IT REPRESENT THE RESIDUAL VALUE OF THE LEASED CAR MY EX-WIFE DROVE. I HAVE I HAVE ASKED THE CREDITOR TO SWITCH THE LINE TO MY EX-WIFE AS SHE RECEIVED THE CAR AS PART OF THE DIVORCE. THE JUDGMENT WAS SENT TO OUR MARTIAL ADDRESS IN WESTCHESTER COUNTY.

07/11/2014: LEASED VEHICLE EX WIFE DROVE & WAS AWARDED IN DIVORCE.



Disclosure 6 of 7

Reporting Source:	Broker
Judgment/Lien Holder:	HOUSEHOLD CREDIT SERVICES
Judgment/Lien Amount:	\$9,672.05
Judgment/Lien Type:	Civil
Date Filed with Court:	06/01/1995
Date Individual Learned:	06/01/1995
Type of Court:	CIVIL COURT
Name of Court:	WESTCHESTER COUNTY
Location of Court:	WHITE PLAINS NY
Docket/Case #:	6091195
Judgment/Lien Outstanding?	Yes
Broker Statement	<p>JUDGEMENT FOR \$9,672.05 DEBTOR HAS LIEN ON PERSONAL PROPERTY VALUED IN EXCESS OF \$200,000. WHEN PROPERTY IS SOLD, DEBT IS SATISFIED. DEBT IS RESULT OF CREDIT CARD JUDGEMENT AS A RESULT OF LOSS OF JOB AS A VICE PRESIDENT OF CITICORP AS A RESULT OF CORPORATE DOWN-SIZING. I ATEMPT TO MAKE PAYMENTS WHEN I AM ABLE TO.</p> <p>07/11/2014: OUTSTANDING DEBT FROM EXPENSIVE DIVORCE. DEBTOR HAS LIEN ON FORMER MARITAL PREMISES.</p>

Disclosure 7 of 7

Reporting Source:	Broker
Judgment/Lien Holder:	CITIBANK
Judgment/Lien Amount:	\$14,767.86
Judgment/Lien Type:	Civil
Date Filed with Court:	08/22/1996
Date Individual Learned:	08/22/1996
Type of Court:	CIVIL



Name of Court:	WHITE PLAINS COUNTY COURT
Location of Court:	WESTCHESTER NY
Docket/Case #:	3491-96
Judgment/Lien Outstanding?	Yes
Broker Statement	JUDGEMENT FOR \$14,767.86 DEBTOR HAS A LIEN ON PERSONAL PROPERTY VALUED IN EXCESS OF \$200,000. ONCE PROPERTY IS SOLD, DEBT IS SATISFIED. 'AS A VICE PRESIDENT AT CITICORP, I WAS EARNING IN EXCESS OF \$100,000 PER YEAR WHEN MY ENTIRE DEPARTMENT WAS DOWN-SIZED. AT THE TIME I HAD A+ CREDIT RATED BY TRW AND HAD NO CHOICE BUT TO LIVE OFF OF MY CREDIT CARDS WHILE I LOOKED FOR OTHER EMPLOYMENT.

End of Report



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