

### **BrokerCheck Report**

### **THOMAS MICHAEL MCCAULEY**

CRD# 3178068

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When communicating online or investing with any professional, make sure you know who you're dealing with. <u>Imposters</u> might link to sites like BrokerCheck from <u>phishing</u> or similar scam websites, or through <u>social media</u>, 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:
  - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- How current is this information?
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- What if I want to check the background of an investment adviser firm or investment adviser representative?
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- Are there other resources I can use to check the background of investment professionals?
- FINRA recommends that you learn as much as possible about an investment professional before deciding
  to work with them. Your state securities regulator can help you research brokers and investment adviser
  representatives doing business in your state.

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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.

www.finra.org/brokercheck User Guidance

### THOMAS M. MCCAULEY

CRD# 3178068

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
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

### **Registration History**

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

**B** KOVACK SECURITIES INC.

CRD# 44848 Fort Scott, KS 07/2016 - 06/2017

B VSR FINANCIAL SERVICES, INC.

CRD# 14503 PAOLA, KS 05/2015 - 07/2016

B RAYMOND JAMES FINANCIAL SERVICES, INC.

CRD# 6694 PAOLA, KS 05/2002 - 06/2015

### **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:

Туре	Count	
Customer Dispute	1	
Termination	2	
Judgment/Lien	7	

# Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

https://www.adviserinfo.sec.gov

www.finra.org/brokercheck
User Guidance

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

### **Principal/Supervisory Exams**

Exam		Category	Date
B	General Securities Principal Examination	Series 24	09/13/2004
В	General Securities Sales Supervisor - General Module Examination	Series 10	02/26/2004
В	General Securities Sales Supervisor - Options Module Examination	Series 9	02/26/2004

### **General Industry/Product Exams**

Exam		Category	Date
B	Securities Industry Essentials Examination	SIE	06/30/2017
B	General Securities Representative Examination	Series 7	04/06/1999

### **State Securities Law Exams**

Exam		Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	04/30/1999
B	Uniform Securities Agent State Law Examination	Series 63	04/16/1999

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/.

www.finra.org/brokercheck
User Guidance

### **Broker Qualifications**

# FINCA

### **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:

Reg	istration Dates	Firm Name	CRD#	Branch Location
B	07/2016 - 06/2017	KOVACK SECURITIES INC.	44848	Fort Scott, KS
B	05/2015 - 07/2016	VSR FINANCIAL SERVICES, INC.	14503	PAOLA, KS
B	05/2002 - 06/2015	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	PAOLA, KS
B	04/2009 - 04/2009	AMERIPRISE FINANCIAL SERVICES, INC.	6363	SPRINGFIELD, MO
B	05/2001 - 05/2002	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO
В	04/1999 - 05/2001	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY

### **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.

Employer Name	Position	Investment Related	<b>Employer Location</b>
Kovack Advisors, Inc	Investment Advisor	Υ	Fort Lauderdale, FL, United States
Kovack Securities, Inc.	Registered Representative	Υ	Fort Lauderdale, FL, United States
MCCAULEY FINANCIAL SERVICES	OWNER	Υ	PAOLA, KS, United States
VSR ADVISORY SERVICES	IAR	Υ	OVERLAND PARK, KS, United States
VSR FINANCIAL SERVICES, INC	REGISTERED REPRESENTATIVE	Υ	OVERLAND PARK, KS, United States
	Kovack Advisors, Inc  Kovack Securities, Inc.  MCCAULEY FINANCIAL SERVICES  VSR ADVISORY SERVICES	Kovack Advisors, Inc.  Kovack Securities, Inc.  Registered Representative  MCCAULEY FINANCIAL SERVICES  VSR ADVISORY SERVICES  VSR FINANCIAL SERVICES, INC  REGISTERED	Kovack Advisors, Inc Investment Advisor Y  Kovack Securities, Inc. Registered Y Representative  MCCAULEY FINANCIAL SERVICES OWNER Y  VSR ADVISORY SERVICES IAR Y  VSR FINANCIAL SERVICES, INC REGISTERED Y

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### **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.

- 1) DBA: McCauley Financial Services, LLC. 1610 Industrial Park Drive, Paola, KS 66071; Provide Investment Advice; Investment Related; Owner/Financial Advisor; Counsel private clients on investments and long term planning, fixed indexed annuities and variable annuities; 100% of time spent
- 2) Boy Scouts of America Troop 783 7845 Allman Road, Shawneek, KS 66217; BOY SCOUTS OF AMERICA; NON-INVESTMENT RELATED; ADULT LEADER AND MERIT BADGE COUNSELOR; CAMPOUT LEADERSHIP AND MERIT BADGE COUNSELOR TO YOUTH; TIME SPENT 2-10 HOURS PER WEEK
- 3) SUNDAY SCHOOL ORGANIZATION 7845 ALLMAN ROAD, SHAWNEEK, KS 66217; PRESIDENT OF SUNDAY SCHOOL; NON-INVESTMENT RELATED; ASSIGN TEACHERS, OVERSEE CURRICULUM, SUBSTITUTE AS NECESSARY, OVERSEE LIBRARY, TRAIN TEACHERS, MONITOR PROGRESS OF EACH CLASS, REPORT TO BISHOP; 5-10% OF SPENT

#### **Disclosure Events**



#### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

#### 2. Certain thresholds must be met before an event is reported to CRD, for example:

- o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
- 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:

- o A disclosure event may have a status of pending, on appeal, or final.
  - A "pending" event involves allegations that have not been proven or formally adjudicated.
  - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" event has been concluded and its resolution is not subject to change.
- o A final event generally has a disposition of adjudicated, settled or otherwise resolved.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	1	N/A
Termination	N/A	2	N/A
Judgment/Lien	7	N/A	N/A



#### **Disclosure Event Details**

When evaluating this information, please keep in mind that a discloure 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

Reporting Source: Broker

Employing firm when

activities occurred which led

to the complaint:

Allegations:

RAYMOND JAMES FINANCIAL SERVICES, INC

CLIENT ALLEGES THAT ON NOVEMBER 5, 2004, 5000 SHARES OF TEAM

FINANCIAL, INC WERE SOLD WITHOUT HER PERMISSION AND RESULTED

IN A LOSS OF \$23,550 INCLUDING LOST GAINS, DIVIDENDS AND

COMMISSIONS.

**Product Type:** Equity - OTC

Alleged Damages: \$23,550.00

**Customer Complaint Information** 

Date Complaint Received: 11/20/2005

Complaint Pending? No

Status: Settled

**Status Date:** 05/03/2006

Settlement Amount: \$10,000.00

Individual Contribution

\$10,000.00

Amount:

Broker Statement THE CLIENT PLACED A LIMIT ORDER IN JULY OF 2004. HER TRADE IN 2003

WAS DONE WITH A COURTESY DISCOUNT AS SHE WAS A RECENTLY RETIRED FELLOW EMPLOYEE. IN NOVEMBER 2004, CLIENT CALLED IN A



MARKET ORDER AS THE STOCK PRICE (TFIN) WAS RISING. AT THAT TIME, SHE ASKED MY OPINION OF THE PRICE AND I TOLD HER I WAS UNABLE TO OFFER AN OPINION ONLY TELL HER THAT IT WAS THINLY TRADED AND VOLATILE. I TOLD HER THAT I THOUGHT WE COULD GET HER 11.75 OR BETTER, WHICH WE DID. HER MARKET ORDER AND LIMIT ORDER EXECUTED. AT THAT POINT, TFIN WAS AT OR NEAR A THREE YEAR HIGH. SHE RECEIVED HER CONFIRMATION ON BOTH TRADES AND EMAILED ME REGARDING THE COMMISSIONS. I ADJUSTED THE COMMISSION FURTHER, BUT NOT TO \$65.00 WHICH WAS HER REQUEST. CLIENT MADE NO MENTION OF NOT WANTING EITHER TRADE UNTIL THE VALUE OF TFIN ROSE HIGHER.



### **Employment Separation After Allegations**

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Firm

Employer Name: RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

Termination Type: Discharged

**Termination Date:** 05/26/2015

Allegations: FAILURE TO PROVIDE ACCURATE AND TIMELY DETAILS TO FIRM'S

REQUESTS FOR INFORMATION PERTAINING TO ADVISOR'S PERSONAL FINANCIAL SITUATION. FA FAILED TO TIMELY DISCLOSE A NUMBER OF LIENS, NON TIMELY UPDATE HIS FORM U4 TO DISCLOSE THE SAME

Product Type: No Product

Reporting Source: Broker

Employer Name: RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

Termination Type: Discharged

**Termination Date:** 05/26/2015

Allegations: FAILURE TO PROVIDE ACCURATE AND TIMELY DETAILS TO FIRM'S

REQUESTS FOR INFORMATION PERTAINING TO ADVISOR'S PERSONAL FINANCIAL SITUATION. FA FAILED TO TIMELY DISCLOSE A NUMBER OF LIENS, NON TIMELY UPDATE HIS FORM U4 TO DISCLOSE THE SAME

Product Type: No Product

Broker Statement ON APRIL 30, 2015 A PHONE CONFERENCE WAS CONDUCTED BY AN IRS

REVENUE AGENT.

DURING THE CALL THE AGENT EXPLAINED THAT ONE OF HER EMPLOYEES HAD ERRONEOUSLY FILED DUPLICATE LIENS IN AN ADJACENT COUNTY ACTING ON INCORRECT INFORMATION. IMMEDIATELY FOLLOWING HER ACTIONS THAT IRS EMPLOYEE BEGAN A PERSONAL LEAVE OF ABSENCE AND NOTICE OF LIENS WAS NOT PROVIDED TO ME. THE LIENS WERE DISCOVERED BY RJ WHEN A STANDARD CREDIT CHECK WAS RUN.

DURING THE CALL THE IRS INDICATED TO ALL ON THE LINE HER SUPPORT REGARDING THE EFFORTS BEING MADE TO RESOLVE THE OUTSTANDING

ISSUES. SHE CONFIRMED I AM IN COMPLIANCE AND SHE ALSO

CONFIRMED THE LIEN'S FILED WERE DUPLICATES OF THE LIENS WHICH



HAD ALREADY BEEN DISCLOSED TO RJ AND REPORTED ON MY U4. SHE

PROVIDED WRITTEN PROOF TO RAYMOND JAMES STAFF.

ON APRIL 15, 2015 I COMPLIED WITH A REQUEST FOR INFORMATION FROM RJ BY PROVIDING OVER 200 PAGES OF PERSONAL DOCUMENTS AND

FOUR YEARS OF TAX RETURNS.

WITH THE HELP OF THE IRS AGENT WE ARE WORKING THROUGH THE IRS SYSTEM TO HAVE THE DUPLICATE ERRONEOUS LIENS WITHDRAWN. ON TUESDAY, MAY 26, 2015 AT 7:55AM CENTRAL TIME I FAXED MY RESIGNATION TO THE ASSISTANT REGIONAL DIRECTOR AT RAYMOND

JAMES.

Disclosure 2 of 2

Reporting Source: Firm

Employer Name: RAYMOND JAMES FINANCIAL SERVICES INC.

Termination Type: Discharged

**Termination Date:** 05/26/2015

Allegations: FAILURE TO PROVIDE ACCURATE AND TIMELY DETAILS TO FIRM'S

REQUESTS FOR INFORMATION PERTAINING TO ADVISOR'S PERSONAL FINANCIAL SITUATION. FA FAILED TO TIMELY DISCLOSE A NUMBER OF LIENS, NON TIMELY UPDATE HIS FORM U4 TO DISCLOSE THE SAME.

Product Type: No Product

**Reporting Source:** Broker

**Employer Name:** RAYMOND JAMES FINANCIAL SERVICES INC.

Termination Type: Discharged

**Termination Date:** 05/26/2015

Allegations: FAILURE TO PROVIDE ACCURATE AND TIMELY DETAILS TO FIRM'S

REQUESTS FOR INFORMATION PERTAINING TO ADVISOR'S PERSONAL FINANCIAL SITUATION. FA FAILED TO TIMELY DISCLOSE A NUMBER OF LIENS, NON TIMELY UPDATE HIS FORM U4 TO DISCLOSE THE SAME.

Product Type: No Product

Broker Statement ON APRIL 30, 2015 A PHONE CONFERENCE WAS CONDUCTED BY AN IRS

REVENUE AGENT.

DURING THE CALL THE AGENT EXPLAINED THAT ONE OF HER EMPLOYEES HAD ERRONEOUSLY FILED DUPLICATE LIENS IN AN ADJACENT COUNTY ACTING ON INCORRECT INFORMATION. IMMEDIATELY FOLLOWING HER



ACTIONS THAT IRS EMPLOYEE BEGAN A PERSONAL LEAVE OF ABSENCE AND NOTICE OF LIENS WAS NOT PROVIDED TO ME. THE LIENS WERE DISCOVERED BY RJ WHEN A STANDARD CREDIT CHECK WAS RUN. DURING THE CALL THE IRS INDICATED TO ALL ON THE LINE HER SUPPORT REGARDING THE EFFORTS BEING MADE TO RESOLVE THE OUTSTANDING ISSUES. SHE CONFIRMED I AM IN COMPLIANCE AND SHE ALSO CONFIRMED THE LIEN'S FILED WERE DUPLICATES OF THE LIENS WHICH HAD ALREADY BEEN DISCLOSED TO RJ AND REPORTED ON MY U4. SHE PROVIDED WRITTEN PROOF TO RAYMOND JAMES STAFF.

ON APRIL 15, 2015 I COMPLIED WITH A REQUEST FOR INFORMATION FROM RJ BY PROVIDING OVER 200 PAGES OF PERSONAL DOCUMENTS AND FOUR YEARS OF TAX RETURNS.

WITH THE HELP OF THE IRS AGENT WE ARE WORKING THROUGH THE IRS SYSTEM TO HAVE THE DUPLICATE ERRONEOUS LIENS WITHDRAWN. ON TUESDAY, MAY 26, 2015 AT 7:55AM CENTRAL TIME I FAXED MY RESIGNATION TO THE ASSISTANT REGIONAL DIRECTOR AT RAYMOND JAMES.



### 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: \$13,549.00

Judgment/Lien Type: Tax

Date Filed with Court:03/01/2015Date Individual Learned:07/21/2016

Type of Court: State Court

Name of Court: Miami County Clerk

Location of Court: Miami, Kansas

**Docket/Case #:** 201500836

Judgment/Lien Outstanding? Yes

#### Disclosure 2 of 7

Reporting Source: Broker

Judgment/Lien Holder: Dillon Companies Inc

Judgment/Lien Amount: \$261.00

Judgment/Lien Type: Civil

Date Filed with Court: 04/17/2003

Date Individual Learned: 08/13/2015

Type of Court: State Court

Name of Court: State of Kansas

Location of Court: Johnson County, KS

Docket/Case #: 03LA2936

Judgment/Lien Outstanding? Yes

**Broker Statement** I have no recollection of this judgement. Dillon's was a grocery store that no longer

has operations in our area. Electronic court records show the judgement was for a



check in the amount of \$25.00 and that the notice was served to my wife on 4/11/2003.

Disclosure 3 of 7

Reporting Source: Broker

Judgment/Lien Holder: IRS

Judgment/Lien Amount: \$27,007.00

Judgment/Lien Type: Tax

Date Filed with Court:03/01/2015Date Individual Learned:03/13/2015

Type of Court: State Court

Name of Court: JOHNSON COUNTY COURT

Location of Court: JOHNSON COUNTY KANSAS

**Docket/Case #:** 145902515

Judgment/Lien Outstanding? Yes

#### Disclosure 4 of 7

Reporting Source: Broker

Judgment/Lien Holder: IRS

Judgment/Lien Amount: \$68,000.00

**Judgment/Lien Type:** Tax

Date Filed with Court: 07/08/2014

Date Individual Learned: 07/28/2014

Type of Court: State Court

Name of Court: JOHNSON COUNTY

Location of Court: OATHE, JOHNSON, KANSAS

Docket/Case #: N/A
Judgment/Lien Outstanding? Yes

Broker Statement WE ARE WORKING WITH A TAX ATTORNEY TO DETERMINE STATUS AND

REASON FOR THIS FILING.



Disclosure 5 of 7

Reporting Source: Broker

Judgment/Lien Holder: IRS

Judgment/Lien Amount: \$28,598.00

Judgment/Lien Type: Tax

Date Filed with Court: 06/01/2006

Court Details: JOHNSON COUNTY REGISTER OF DEEDS 0675

OLATHE, KS CASE NUMBER 062600009716

Judgment/Lien Outstanding? Yes

Broker Statement I AM MAKING \$105 A MONTH PAYMENTS UNTIL PAID IN FULL.

Disclosure 6 of 7

Reporting Source: Broker

Judgment/Lien Holder: STATE OF CALIFORNIA

Judgment/Lien Amount: \$22,407.00

Judgment/Lien Type: Tax

Date Filed with Court: 12/21/2000

Court Details: PLACER CITY RECORDER OFFICE, PLACERVILLE, CA

CASE # = SOCIAL SECURITY NUMBER

Judgment/Lien Outstanding? Yes

Broker Statement MOVED FROM STATE OF CALIFORNIA - STATE FILED LIEN TO COLLECT

TAXES FOR ALL EARNINGS OF EX-WIFE AND MYSELF FOR YEAR.

ASSUMED HOUSE SALE AT MARKET VALUE AND PROFIT. TAXES ARE FILED FOR YEAR AND CA IS NOW REVIEWING FOR FINAL BALANCE. I HAVE SENT A OFFER IN COMPROMISE TO THE STATE OF CALIFORNIA ON 02/06/09. THE

STATE INDICATED IT WILL TAKE 4 TO 6 MONTHS TO REVIEW.

Disclosure 7 of 7

**Reporting Source:** Broker

Judgment/Lien Holder: SOUTHWESTERN BELL

Judgment/Lien Amount: \$1,316.00



Judgment/Lien Type: Civil

Date Filed with Court: 06/06/2000

Court Details: KANSAS CITY DISTRICT COURT, KANSAS CITY, KS

CASE # 11152667

Judgment/Lien Outstanding? Yes

Broker Statement BALANCE REMAINING ON EX-WIFE'S CELL PHONE BILL THAT I ASSUMED

RESPONSIBILITY FOR AS PART OF DIVORCE SETTLEMENT. WILL BE PAID IN

FULL WITHIN THE NEXT 90 DAYS.

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### **End of Report**



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