

BrokerCheck Report

ROBERT NICHOLAS ROTUNNO

CRD# 4025263

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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.



ROBERT N. ROTUNNO

CRD# 4025263

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

- B SPARTAN CAPITAL SECURITIES, LLC**
 45 BROADWAY
 19TH FLOOR
 NEW YORK, NY 10006
 CRD# 146251
 Registered with this firm since: 05/17/2023

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:

- 2 Self-Regulatory Organizations
- 21 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 SW FINANCIAL**
 CRD# 145012
 NEW YORK, NY
 12/2021 - 05/2023
- B WORDEN CAPITAL MANAGEMENT LLC**
 CRD# 148366
 New York, NY
 12/2019 - 10/2021
- B TIGRESS FINANCIAL PARTNERS, LLC**
 CRD# 154717
 NEW YORK, NY
 01/2019 - 12/2019

Disclosure Events

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

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	3
Judgment/Lien	4



Broker Qualifications

Registrations

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

This individual is currently registered with 2 SROs and is licensed in 21 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **SPARTAN CAPITAL SECURITIES, LLC**

Main Office Address: **45 BROADWAY
19TH FLOOR
NEW YORK, NY 10006**

Firm CRD#: **146251**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/17/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	11/22/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/17/2023
B	Arizona	Agent	Approved	05/17/2023
B	California	Agent	Approved	05/17/2023
B	Connecticut	Agent	Approved	05/17/2023
B	District of Columbia	Agent	Approved	08/27/2024
B	Florida	Agent	Approved	05/17/2023
B	Georgia	Agent	Approved	08/24/2023
B	Iowa	Agent	Approved	05/17/2023
B	Kansas	Agent	Approved	05/17/2023
B	Minnesota	Agent	Approved	05/31/2023
B	Nevada	Agent	Approved	02/20/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Mexico	Agent	Approved	05/17/2023
B	New York	Agent	Approved	05/17/2023
B	Ohio	Agent	Approved	05/17/2023
B	Oklahoma	Agent	Approved	05/24/2023
B	Rhode Island	Agent	Approved	06/26/2023
B	South Carolina	Agent	Approved	05/17/2023
B	Texas	Agent	Approved	05/26/2023
B	Utah	Agent	Approved	05/17/2023
B	Vermont	Agent	Approved	12/12/2024
B	Wisconsin	Agent	Approved	10/15/2024

Branch Office Locations

SPARTAN CAPITAL SECURITIES, LLC
 45 BROADWAY
 19TH FLOOR
 NEW YORK, NY 10006



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	10/05/1999

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	10/22/1999

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/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 12/2021 - 05/2023	SW FINANCIAL	145012	NEW YORK, NY
B 12/2019 - 10/2021	WORDEN CAPITAL MANAGEMENT LLC	148366	New York, NY
B 01/2019 - 12/2019	TIGRESS FINANCIAL PARTNERS, LLC	154717	NEW YORK, NY
B 01/2016 - 01/2019	NATIONAL SECURITIES CORPORATION	7569	NEW YORK, NY
B 08/2004 - 02/2016	LAIDLAW & COMPANY (UK) LTD.	119037	NEW YORK, NY
B 04/2002 - 08/2004	SANDS BROTHERS & CO., LTD.	26816	NEW YORK, NY
B 01/2001 - 03/2002	GLOBAL CAPITAL SECURITIES CORPORATION	16184	ENGLEWOOD, CO
B 05/2000 - 12/2000	MURPHY & DURIEU	6292	NEW YORK, NY
B 10/1999 - 05/2000	AMERICAN INVESTMENT SERVICES, INC.	21111	OKLAHOMA CITY, OK

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
05/2023 - Present	Spartan Capital Securities, LLC	Registered Representative	Y	New York, NY, NY, United States
10/2021 - 05/2023	SW Financial LLC	Registered Representative	Y	Melville, NY, United States
12/2019 - 10/2021	WORDEN CAPITAL MANAGEMENT LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
01/2019 - 12/2019	TIGRESS FINANCIAL PARTNERS, LLC	CHIEF STRATEGY OFFICER	Y	NEW YORK, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2016 - 01/2019	NATIONAL SECURITIES CORPORATION	REGISTERED REP	Y	NEW YORK, NY, United States
08/2004 - 01/2016	LAIDLAW & COMPANY (UK) LTD.	REGISTERED REP	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.

(1) EVERCROSS LLC - NOT INVESTMENT RELATED. HOLDING COMPANY FOR TAX PURPOSES. OWNER AS OF 2021-05-21; 0 HOURS PER MONTH AND 0 HOURS PER MONTH DURING TRADING HOURS. NO COMPENSATION; PASSIVE COMPANY/CREATED ON ADVICE FROM CPA FOR TAX PURPOSES.

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
Regulatory Event	0	1	0
Customer Dispute	1	2	N/A
Judgment/Lien	4	N/A	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Missouri
Sanction(s) Sought:	Monetary Penalty other than Fines
Date Initiated:	12/01/2021
Docket/Case Number:	AP-21-16
URL for Regulatory Action:	https://www.sos.mo.gov/CMSImages/Securities/AP-21-16.pdf
Employing firm when activity occurred which led to the regulatory action:	Worden Capital Management LLC
Product Type:	No Product
Allegations:	Failure to disclose by supplementary amendment to Form U4 two federal tax liens filed against Respondent within the prescribed thirty days, in contravention to 15 CSR 30-51.160(3)(A) and 409.4-412(d)(13).
Current Status:	Final
Resolution:	Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/01/2021
Sanctions Ordered:	Monetary Penalty other than Fines
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	N/A
Is Payment Plan Current:	Yes
Date Paid by individual:	12/01/2021
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	Respondent Rotunno shall pay \$5,000 to the Missouri Secretary of State's Investor Education and Protection Fund for violations of 15 CSR 30-51.160(3)(A) and Section 409.4-412(d)(13). Respondent, his agents and employess, and all other persons participating in the above-described alleged violations with knowledge of this Order are permanently enjoined and restrained from engaging in violations referenced above.
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Reporting Source:	Broker
Regulatory Action Initiated By:	Missouri
Sanction(s) Sought:	Monetary Penalty other than Fines
Date Initiated:	12/01/2021
Docket/Case Number:	AP-21-16



Employing firm when activity occurred which led to the regulatory action:	Worden Capital Management LLC
Product Type:	No Product
Allegations:	Failure to disclose by supplementary amendment to Form U4 two federal tax liens filed against Respondent within the prescribed thirty days, in contravention to 15 CSR 30-51.160(3)(A) and 409.4-412(d)(13).
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/01/2021
Sanctions Ordered:	Monetary Penalty other than Fines
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Respondent Rotunno shall pay \$5,000 to the Missouri Secretary of State's Investor Education and Protection Fund for violations of 15 CSR 30-51.160(3)(A) and Section 409.4-412(d)(13). Respondent, his agents and employees, and all other persons participating in the above-described alleged violations with knowledge of this Order are permanently enjoined and restrained from engaging in violations referenced above.





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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LAIDLAW & COMPANY (UK) LTD.
Allegations:	Client alleges he invested in private placements laden with conflicts of interest and undisclosed fees and trading strategies designed to generate excessive commissions.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock) Other: Private Placements
Alleged Damages:	\$500,000.00
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 #:	23-03456
Filing date of arbitration/CFTC reparation or civil litigation:	12/12/2023

Customer Complaint Information

Date Complaint Received:	12/12/2023
Complaint Pending?	No
Status:	Settled
Status Date:	08/07/2024
Settlement Amount:	\$100,000.00
Individual Contribution Amount:	\$0.00



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: LAIDLAW & COMPANY (UK) LTD.

Allegations: Previous employer provided "No Time Frame" for this matter. Client alleges he invested in private placements laden with conflicts of interest and undisclosed fees and trading strategies designed to generate excessive commissions.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)
Other: Private Placement

Alleged Damages: \$500,000.00

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 #: 23-03456

Filing date of arbitration/CFTC reparation or civil litigation: 12/12/2023

Customer Complaint Information

Date Complaint Received: 01/10/2024

Complaint Pending? No

Status: Settled

Status Date: 08/07/2024

Settlement Amount: \$100,000.00

Individual Contribution Amount: \$0.00

Broker Statement I am not a named respondent in this matter, my name appears in the claim erroneously. I am seeking to have this matter removed from my record. Moreover, I have not been associated with the Firm in more than 8 years.



Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	SUITABILITY
Product Type:	Equity-OTC
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 #:	19-00614
Filing date of arbitration/CFTC reparation or civil litigation:	02/27/2019

Customer Complaint Information

Date Complaint Received:	03/14/2019
Complaint Pending?	No
Status:	Settled
Status Date:	07/29/2020
Settlement Amount:	\$50,000.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	SUITABILITY
Product Type:	Equity Listed (Common & Preferred Stock)
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 #:	19-00614
Filing date of arbitration/CFTC reparation or civil litigation:	02/27/2019

Customer Complaint Information

Date Complaint Received:	03/14/2019
Complaint Pending?	No
Status:	Settled
Status Date:	07/29/2020
Settlement Amount:	\$50,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	I, Robert Rotunno deny all allegations with respect to my name in the Complaint narrative, and would like to state that I am not a named Party in the pending action.



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	TIGRESS FINANCIAL PARTNERS, LLC
Allegations:	Customer alleges 1 unsuitable product sold at Tigress Financial Partners in 2019. The other allegations occurred at different Firms not named in the Arbitration. The Arbitration also names National Securities Corporation.
Product Type:	Other: Private Placement
Alleged Damages:	\$251,250.00
Alleged Damages Amount Explanation (if amount not exact):	The Alleged Compensatory Damage Amount includes National Securities Corporation, which is named in the Arbitration, but also includes activity that occurred at multiple firms not named in the Arbitration.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Arbitration
Docket/Case #:	25-00160
Date Notice/Process Served:	01/31/2025
Arbitration Pending?	Yes

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Tigress Financial Partners, LLC
Allegations:	Customer alleges 1 unsuitable product sold at Tigress Financial Partners in 2019. The other allegations occurred at different Firms not named in the Arbitration. The Arbitration also names National Securities Corporation as a Respondent.
Product Type:	Other: Private Placement



Alleged Damages: \$251,250.00

Arbitration Information

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

Docket/Case #: 25-00160

Date Notice/Process Served: 02/25/2025

Arbitration Pending? Yes

Broker Statement Mr. Rotunno denies the allegations. The allegations are false, Mr. Rotunno intends to defend the matter vigorously and fully expects to prevail at a hearing on the merits.



Judgment / Lien

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

Disclosure 1 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	NYS Tax Warrant
Judgment/Lien Amount:	\$168,507.21
Judgment/Lien Type:	Tax
Date Filed with Court:	03/23/2023
Date Individual Learned:	04/08/2025
Type of Court:	State Court
Name of Court:	New York County Clerk
Location of Court:	New York, NY 10007
Docket/Case #:	E-047453074-W003-8
Judgment/Lien Outstanding?	Yes
Broker Statement	I was unaware of the filing of this Lien, upon the notification by the Compliance Department i am reporting to fulfill my reporting obligation. I will research this matter and revolve.

Disclosure 2 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	NYS Tax Warrant
Judgment/Lien Amount:	\$97,896.47
Judgment/Lien Type:	Tax
Date Filed with Court:	04/20/2023
Date Individual Learned:	04/08/2025
Type of Court:	State Court
Name of Court:	New York County Clerk
Location of Court:	New York, NY 10007
Docket/Case #:	E-047453074-W004-3



Judgment/Lien Outstanding? Yes

Broker Statement I was unaware of the filing of this Lien, upon the notification by the Compliance Department i am reporting to fulfill my reporting obligation. I will research this matter and revolve.

Disclosure 3 of 4

Reporting Source: Broker
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$788,945.59
Judgment/Lien Type: Tax
Date Filed with Court: 07/29/2021
Date Individual Learned: 11/08/2021
Type of Court: Federal Court
Name of Court: CITY REGISTER
Location of Court: MANHATTAN NEW YORK
Docket/Case #: 435735221
Judgment/Lien Outstanding? Yes

Disclosure 4 of 4

Reporting Source: Broker
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$463,865.72
Judgment/Lien Type: Tax
Date Filed with Court: 01/19/2021
Date Individual Learned: 02/04/2021
Type of Court: City Register
Name of Court: Office of the City Register
Location of Court: Manhattan, NY
Docket/Case #: 2021000019679



Judgment/Lien Outstanding?	Yes
Broker Statement	I have retained counsel to assist in resolving this matter with the IRS.

End of Report



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