

## **BrokerCheck Report**

## **JOSEPH AUGUSTIEN LIANZO**

CRD# 4516842

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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 <u>investor alert</u> 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:
  - 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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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

#### **JOSEPH A. LIANZO**

CRD# 4516842

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:

- 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 MELVILLE, NY 09/2022 - 02/2023
- B SW FINANCIAL CRD# 145012 MELVILLE, NY 09/2017 - 06/2022
- B ARIVE CAPITAL MARKETS CRD# 8060 Coram, NY 03/2017 - 10/2017

#### **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	
Regulatory Event	2	
Customer Dispute	3	
Judgment/Lien	3	

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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.

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	ı	Category	Date	
B	Securities Industry Essentials Examination	SIE	10/01/2018	
B	General Securities Representative Examination	Series 7	04/19/2002	
State Securities Law Exams				
Exam		Category	Date	
В	Uniform Securities Agent State Law Examination	Series 63	06/13/2002	

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**



## **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	09/2022 - 02/2023	SW FINANCIAL	145012	MELVILLE, NY
B	09/2017 - 06/2022	SW FINANCIAL	145012	MELVILLE, NY
В	03/2017 - 10/2017	ARIVE CAPITAL MARKETS	8060	Coram, NY
В	09/2015 - 04/2017	LAIDLAW & COMPANY (UK) LTD.	119037	MELVILLE, NY
В	08/2014 - 09/2015	CAPE SECURITIES INC.	7072	LAKE GROVE, NY
В	10/2012 - 08/2014	SALOMON WHITNEY LLC	145012	FARMINGDALE, NY
В	12/2004 - 10/2012	J.P. TURNER & COMPANY, L.L.C.	43177	EAST MORICHES, NY
В	08/2004 - 12/2004	NEW CASTLE FINANCIAL GROUP INC.	102380	MELVILLE, NY
B	04/2003 - 08/2004	NEWBRIDGE SECURITIES CORPORATION	104065	BOCA RATON, FL
В	04/2003 - 05/2003	HARRISON SECURITIES, INC.	14103	PORT WASHINGTON, NY
B	08/2002 - 03/2003	MILESTONE FINANCIAL SERVICES, INC.	43295	BOHEMIA, NY
B	04/2002 - 08/2002	MILESTONE FINANCIAL SERVICES, INC.	43295	BOHEMIA, 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.

Employment	Employer Name	Position	Investment Related	<b>Employer Location</b>
09/2022 - Present	SW Financial LLC	Registered Representative	Υ	Melville, NY, United States
09/2017 - 06/2022	SW Financial	REGISTERED REPRESENTATIVE	Υ	Melville, NY, United States

## **Registration and Employment History**



## **Employment History, continued**

Employment	Employer Name	Position	Investment Related	<b>Employer Location</b>
03/2017 - 09/2017	Arive Capital Markets	REGISTERED REPRESENTATIVE	Υ	Bay Ridge, NY, United States
09/2015 - 03/2017	LAIDLAW AND COMPANY	REGISTERED REPRESENTATIVE	Υ	MELVILLE, NY, United States
08/2014 - 09/2015	CAPE SECURITIES, INC.	REGISTERED REPRESENTATIVE	Υ	MCDONOUGH, GA, United States
10/2012 - 08/2014	SALOMON WHITNEY LLC	REGISTERED REPRESENTATIVE	Υ	FARMINGDALE, 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:

- 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.

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#### 3. Disclosure events in BrokerCheck reports come from different sources:

 As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.

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#### 4. There are different statuses and dispositions for disclosure events:

- 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
Regulatory Event	0	2	0
Customer Dispute	1	2	N/A
Judgment/Lien	3	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.

#### 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 2

Reporting Source:

Regulator

Revocation

**Regulatory Action Initiated** 

Maryland

By:

Sanction(s) Sought:

**Date Initiated:** 11/05/2021

Docket/Case Number: 20210414

**URL** for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action:

Salomon Whitney, LLC

Product Type: No Product

Allegations: Lianzo, without admitting or denying the findings, consented to sanction and to the

entry of findings that he excessively traded customer accounts which incurred losses of \$293,308 and the customers paid \$127,506 in commissions. Lianzo was suspended by FINRA for a period of eight (8) months. The Division issued an Order to Show Cause and an Order of Summary Suspension that ordered that failure of Lianzo to file a written answer, including a request for a hearing with 15 days from the date of service of these Orders would result in the entry of an Order

of Revocation of Agent Registration

Current Status: Final



Resolution: Revocation

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: 11/05/2021
Sanctions Ordered: Revocation

Regulator Statement Final Order of Revocation of Agent Registration issued 11/05/2021

Reporting Source: Broker

**Regulatory Action Initiated** 

By:

State of Maryland

Sanction(s) Sought: Revocation

Date Initiated: 11/05/2021

Docket/Case Number: 20210414

Employing firm when activity occurred which led to the

regulatory action:

SW Financial LLC

Product Type: No Product

Allegations: Lianzo, without admitting or denying the findings, consented to sanction and to the

entry of findings that he excessively traded customer accounts which incurred losses of \$293,308 and the customers paid \$127,506 in commissions. Lianzo was suspended by FINRA for a period of eight (8) months. The Division issued an Order to Show Cause and an Order of Summary Suspension that ordered that failure of Lianzo to file a written answer, including a request for a hearing with 15 days from the date of service of these Orders would result in the entry of an Order

of Revocation of Agent Registration

Current Status: Final

**Resolution:** Order



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: 11/05/2021
Sanctions Ordered: Revocation

Disclosure 2 of 2

Regulatory Action Initiated FINRA

By:

Sanction(s) Sought:

**Date Initiated:** 08/31/2021

**Docket/Case Number:** <u>2018058278601</u>

Employing firm when activity occurred which led to the regulatory action:

Laidlaw & Company (UK) Ltd.; SW Financial

**Product Type:** Other: Unspecified securities

Allegations: Without admitting or denying the findings, Lianzo consented to the sanction and to

the entry of findings that he excessively traded customer accounts. The findings stated that Lianzo recommended the quantitatively unsuitable trading in the accounts for the customers and they routinely followed his recommendations. As a result, Lianzo exercised de facto control over the customer accounts. Lianzo's trading of the accounts resulted in high turnover rates and cost-to-equity ratios as well as significant losses. Specifically, the customer accounts incurred losses of \$293,308 and the customers paid \$127,506 in commissions. The findings also stated that Lianzo placed trades in customer accounts without their prior

authorization, knowledge or consent.

Current Status: Final

**Resolution:** Acceptance, Waiver & Consent(AWC)



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:** 

08/31/2021

Sanctions Ordered:

Suspension

Other: In light of Lianzo's financial status, no monetary sanction has been

imposed.

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the **Securities Exchange Act of** 1934, the Investment Advisers Act of 1940, the **Investment Company Act of** 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the **Securities Exchange Act of** 1934, the Investment Advisers Act of 1940, the **Investment Company Act of** 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities **Rulemaking Board?** 

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: All Capacities

**Duration:** Eight months

**Start Date:** 09/20/2021

End Date: 05/19/2022



Reporting Source: Broker
Regulatory Action Initiated FINRA

By:

Sanction(s) Sought:

**Date Initiated:** 08/31/2021

**Docket/Case Number:** <u>2018058278601</u>

Employing firm when activity occurred which led to the regulatory action:

Laidlaw & Company (UK) Ltd; SW Financial

**Product Type:** Other: Unspecified Securities

Allegations: Without admitting or denying the findings, Lianzo consented to the sanction and to

the entry of findings that he excessively traded customer accounts. The findings stated that Lianzo recommended the quantitatively unsuitable trading in the accounts for the customers and they routinely followed his recommendations. As a result, Lianzo exercised de facto control over the customer accounts. Lianzo's trading of the accounts resulted in high turnover rates and cost-to-equity ratios as well as significant losses. Specifically, the customer accounts incurred losses of \$293,308 and the customers paid \$127,506 in commissions. The findings also stated that Lianzo placed trades in customer accounts without their prior

authorization, knowledge or consent.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

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: 08/31/2021
Sanctions Ordered: Suspension

Other: In light of Lianzo's financial status, no monetary action has been imposed.

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: All Capacities



**Duration:** Eight Months

**Start Date:** 09/20/2021

**End Date:** 05/19/2022



#### **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: Broker

Employing firm when activities occurred which led to the complaint:

Salomon Whitney Financial

Allegations:

Churning, negligence, unsuitability, unauthorized trading, breach of contract

**Product Type:** 

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$108,215.00

Alleged Damages Amount Explanation (if amount not

There are multiple claimants for this arbitration. This is the amount directly related to Mr. Lianzo.

exact):

**Arbitration Information** 

Arbitration/CFTC reparation claim filed with (FINRA, AAA,

١.

CFTC, etc.):

Docket/Case #: 18-01055

Date Notice/Process Served: 04/03/2018

**Arbitration Pending?** 

No

**Disposition:** 

Settled

**FINRA** 

**Disposition Date:** 

06/26/2019

**Monetary Compensation** 

Amount:

\$14,999.00

**Individual Contribution** 

Amount:

\$14,999.00

**Broker Statement** 

Mr. Lianzo denies all accusations made by claimant. The client knew and approved of all transactions prior to being entered. All the trades were suitable and in line with the client,s investment objectives. To avoid further litigation costs, Mr. Lianzo

has decided to settle this matter.

#### Disclosure 2 of 2



Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

J.P. TURNER & COMPANY LLC

Allegations:

CLIENT ALLEGES CHURNING, NEGLIGENCE, BREACH OF CONTRACT, UNAUTHORIZED TRANSACTIONS, FAILURE TO FOLLOW INSTRUCTIONS,

MARGIN FRAUD, MISREPRESENTATION AND UNSUITABLE

RECOMMENDATIONS.

**Product Type:** Equity-OTC

Alleged Damages: \$197,500.00

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 #: 14-00056

**Filing date of** 12/20/2013

arbitration/CFTC reparation

or civil litigation:

**Customer Complaint Information** 

Date Complaint Received: 02/26/2014

**Complaint Pending?** No

Status: Settled

**Status Date:** 11/21/2014

Settlement Amount: \$100,000.00

Individual Contribution \$0.00

Amount:

**Reporting Source:** Broker



Employing firm when activities occurred which led to the complaint:

J.P. TURNER & COMPANY LLC

Allegations:

CLIENT ALLEGES CHURNING, NEGLIGENCE, BREACH OF CONTRACT, UNAUTHORIZED TRANSACTIONS, FAILURE TO FOLLOW INSTRUCTIONS,

MARGIN FRAUD, MISREPRESENTATION AND UNSUITABLE

RECOMMENDATIONS.

**Product Type:** Equity-OTC

Alleged Damages: \$197,500.00

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 #:** 14-00056

Filing date of

arbitration/CFTC reparation

or civil litigation:

12/20/2013

## **Customer Complaint Information**

Date Complaint Received: 02/26/2014

**Complaint Pending?** No

Status: Settled

**Status Date:** 11/21/2014

Settlement Amount: \$100,000.00

**Individual Contribution** 

Amount:

\$0.00

Broker Statement [CUSTOMER]WAS A CLIENT OF MINE AT J. P. TURNER & CO. BEGINNING IN

2007. DURING THE TIME FRAME OF THE ACCOUNT WE HAD A VERY

AMICABLE RELATIONSHIP TO A POINT WHERE HE WROTE IN A LETTER TO PRAISE MY SERVICES REGARDING THE HANDLING OF HIS ACCOUNT. HE ALSO HAD OTHER ACCOUNTS AT THE FIRM THAT I WAS NOT AWARE OF AT THE TIME PRIOR TO COMMENCING BUSINESS TOGETHER. HAD I BEEN

ADVISED ABOUT THIS, I WOULD NEVER HAVE



SOLICITED HIM. HIS PERSONAL ACCOUNT WAS CODED AS SHORT TERM TRADING AND SPECULATION, AND PRIOR TO EACH AND EVERY TRANSACTION; THE CLIENT APPROVED IT BEFORE EXECUTION. IN CONCLUSION, I FIND ALL THE ALLEGATIONS MADE BY THE CLIENT TO BE UNTRUE, INACCURATE AND APPALLING.



#### **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:

Allegations: Unsuitability, excessive trading/commissions, unauthorized trading, negligence

**Product Type:** Equity-OTC

Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$150,532.00

**Alleged Damages Amount** 

**Explanation (if amount not** exact):

Approximate value of claim for this RR. Claim includes multiple clients and

Registered Representatives

SW FINANCIAL

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 #: 22-02586

11/10/2022 Filing date of

arbitration/CFTC reparation

or civil litigation:

**Customer Complaint Information** 

**Date Complaint Received:** 03/03/2023

**Complaint Pending?** Yes

**Settlement Amount:** 

**Individual Contribution** 

Amount:





#### Judgment / Lien

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

Disclosure 1 of 3

**Reporting Source:** Broker

Judgment/Lien Holder: Internal Revenue Service

Judgment/Lien Amount: \$9,855.00

Judgment/Lien Type: Tax

Date Filed with Court: 03/09/2017

Date Individual Learned: 02/05/2019

Type of Court: State Court

Name of Court: Suffolk County

**Location of Court:** Suffolk County Clerk

Docket/Case #: LFED00025329

Judgment/Lien Outstanding? Yes

Disclosure 2 of 3

Reporting Source: Broker

Judgment/Lien Holder: State of New York

Judgment/Lien Amount: \$11,499.00

Judgment/Lien Type: Tax

Date Filed with Court: 09/19/2018

Date Individual Learned: 02/05/2019

Type of Court: State Court

Name of Court: Suffolk County

**Location of Court:** Suffolk County Clerk

**Docket/Case #:** E135309313W0054

Judgment/Lien Outstanding? Yes

#### Disclosure 3 of 3



Reporting Source: Broker

Judgment/Lien Holder: Internal Revenue Service

Judgment/Lien Amount: \$46,890.00

Judgment/Lien Type: Tax

**Date Filed with Court:** 11/01/2016

**Date Individual Learned:** 12/19/2016

Type of Court: State Court

Name of Court: Unkown

Location of Court: Unkown

**Docket/Case #:** 00024520

Judgment/Lien Outstanding? Yes

Broker Statement Currently on an installment agreement

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## **End of Report**



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