

BrokerCheck Report

JOHN MICHAEL LOPINTO

CRD# 4563735

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

About BrokerCheck®

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

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

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

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

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

- **How current is this information?**

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

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

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

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

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

Thank you for using FINRA BrokerCheck.



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



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

JOHN M. LOPINTO

CRD# 4563735

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 WORDEN CAPITAL MANAGEMENT LLC**
CRD# 148366
New York, NY
11/2016 - 11/2019
- B LEGEND SECURITIES, INC.**
CRD# 44952
NEW YORK, NY
08/2011 - 11/2016
- B J.P. TURNER & COMPANY, L.L.C.**
CRD# 43177
NEW YORK, NY
02/2010 - 08/2011

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	2
Customer Dispute	4
Judgment/Lien	6

Broker Qualifications



Registrations

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

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 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	09/04/2002

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	11/19/2002

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/.

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 11/2016 - 11/2019	WORDEN CAPITAL MANAGEMENT LLC	148366	New York, NY
B 08/2011 - 11/2016	LEGEND SECURITIES, INC.	44952	NEW YORK, NY
B 02/2010 - 08/2011	J.P. TURNER & COMPANY, L.L.C.	43177	NEW YORK, NY
B 01/2009 - 02/2010	NATIONAL SECURITIES CORPORATION	7569	NEW YORK, NY
B 01/2007 - 01/2009	POINTE CAPITAL, INC.	112097	NEW YORK, NY
B 08/2005 - 01/2007	GREAT EASTERN SECURITIES, INC.	2061	NEW YORK, NY
B 09/2002 - 09/2005	SALOMON GREY FINANCIAL CORPORATION	43413	DALLAS, TX

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
11/2016 - Present	WORDEN CAPITAL MANAGEMENT LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
08/2011 - 11/2016	LEGEND SECURITIES, INC.	REGISTERED REPRESENTATIVE	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.

LO PINTO ENTERPRISES, LLC./ START DATE 2/14/2014/ 39 SANTA MONICA LANE, SI, NY/ CORPORATION ORGANIZED TO PAY EXPENSES/ NON-INVESTMENT RELATED/ ABOUT 5 HOURS A WEEK

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.
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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:**
 - 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	2	0
Customer Dispute	1	3	N/A
Judgment/Lien	6	N/A	N/A



Disclosure Event Details

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

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

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

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 01/10/2022

Docket/Case Number: [2019060753503](#)

Employing firm when activity occurred which led to the regulatory action: Worden Capital Management LLC

Product Type: Other: unspecified securities

Allegations: Without admitting or denying the findings, LoPinto consented to the sanctions and to the entry of findings that he excessively traded customers' accounts. The findings stated that LoPinto engaged in quantitatively unsuitable trading in customer accounts. LoPinto recommended high frequency trading and his customers routinely followed his recommendations and, as a result, LoPinto exercised de facto control over the customer's accounts. LoPinto's trading was excessive and unsuitable given the customers' investment profiles. As a result of LoPinto's excessive trading, the customers suffered collective realized losses of \$240,331 while paying total trading costs of \$205,523, including commissions of \$161,706. The findings also stated that LoPinto exercised discretion to effect trades in a customer's account without prior written authorization. LoPinto charged



the customer a total of \$21,632 in commissions to place the trades. The customer did not provide written authorization for LoPinto to exercise discretion in the account and LoPinto's member firm did not accept the account as a discretionary account.

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:	01/10/2022
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Restitution Suspension Other: Interest on restitution
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:	Nine Months
Start Date:	01/18/2022
End Date:	10/17/2022

**Monetary Sanction 1 of 2**

Monetary Related Sanction: Restitution

Total Amount: \$135,333.00

Portion Levied against individual: \$135,333.00

Payment Plan: Plus interest, deferred

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:**Monetary Sanction 2 of 2**

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$7,500.00

Portion Levied against individual: \$7,500.00

Payment Plan: Deferred

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:**Disclosure 2 of 2**

Reporting Source: Regulator

Regulatory Action Initiated By: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought: Cease and Desist

Date Initiated: 09/18/2020

Docket/Case Number: 3-20029



Employing firm when activity occurred which led to the regulatory action:	Keyport Venture Advisors LLC
Product Type:	Other: Unspecified Securities
Allegations:	<p>The Securities and Exchange Commission ("Commission") deems it appropriate and in the public interest that public administrative and cease-and-desist proceedings be, and hereby are, instituted pursuant to Sections 203(e), 203(f), and 203(k) of the Investment Advisers Act of 1940 ("Advisers Act") against Keyport Venture Advisors LLC ("Keyport Advisors"), John M. LoPinto ("LoPinto"), and Robert R. Wilkos ("Wilkos") (collectively, "Respondents"). These proceedings concern disclosure violations by unregistered investment adviser Keyport Advisors and its two principals, LoPinto and Wilkos, while selling interests to individual retail investors in Keyport Venture Partners LLC Fund ("Keyport Fund"), a pooled investment vehicle that sought to invest in shares and interests of pre-IPO companies. Respondents raised over \$1.5 million from individual investors and successfully made investments in pre-IPO companies for various series in the Keyport Fund. A few months after the fund's inception, LoPinto and Wilkos misrepresented to potential investors that one particular new series of the fund already held shares of its intended investment, a pre-IPO online rental marketplace ("Company A"). In reality, Respondents knew they were having difficulty locating shares of Company A for the new series, and they were not able to secure an offer until several months after investors had invested \$198,000 in the new series. As a result their conduct, Respondents willfully violated Section 206(4) of the Advisers Act and Rule 206(4)-8 promulgated thereunder.</p>
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?	Yes
Resolution Date:	09/18/2020
Sanctions Ordered:	Cease and Desist Censure Civil and Administrative Penalty(ies)/Fine(s)



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?

Yes

(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?

Yes

(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

No



(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?

No

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$40,000.00

Portion Levied against individual: \$40,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

Respondent has submitted an Offer of Settlement (the "Offer"), which the Commission has determined to accept. As a result of his conduct, LoPinto willfully violated Section 206(4) of the Advisers Act and Rule 206(4)-8 promulgated thereunder. In determining to accept the Offers, the Commission considered remedial acts promptly undertaken by Respondents and cooperation afforded the Commission staff. Among other things, Respondents have returned all funds, including all fees paid to Keyport Advisors, to investors in the Company A series. Accordingly, it is hereby ordered that LoPinto cease and desist from committing or causing any violations and any future violations of Section 206(4) of the Advisers Act and Rule 206(4)-8 promulgated thereunder, is censured, and shall, within 10



days of the entry of this Order, pay a civil money penalty in the amount of \$40,000 to the Securities and Exchange Commission for transfer to the general fund of the United States Treasury.



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 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Worden Capital Management LLC
Allegations:	Churning
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$8,878.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/18/2017
Complaint Pending?	No
Status:	Settled
Status Date:	04/20/2018
Settlement Amount:	\$5,000.00
Individual Contribution Amount:	\$5,000.00

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	NEGLIGENCE,BREACH OF FIDUCIARY DUTY,BREACH OF CONTRACT,MISREPRESENTATION,UNSUITABLE & EXCESSIVE TRADING
Product Type:	Other: PRIVATE PLACEMENT



Alleged Damages: \$4,000,000.00

Arbitration Information

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

Docket/Case #: 12-02599

Date Notice/Process Served: 07/23/2012

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/10/2014

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$20,000.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NATIONAL SECURITIES CORPERATION

Allegations: NEGLIGENCE, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, FRAUD

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$4,000,000.00

Arbitration Information

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

Docket/Case #: 12-02599

Date Notice/Process Served: 07/19/2012

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/10/2014



Monetary Compensation Amount:	\$50,000.00
Individual Contribution Amount:	\$20,000.00
Broker Statement	MR. LOPINTO VEHEMENTLY DENIES CLAIMANTS' ALLEGATIONS AS THEY AUTHORIZED ALL TRANSACTIONS AND WERE SUITABLE TO ENGAGE IN THE SUBJECT INVESTMENTS. ALL ACCUSATIONS ARE BASELESS AND WITHOUT MERIT.

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC
Allegations:	NEGLIGENCE, CHURNING, UNSUITABILITY, FRAUD, BREACH OF CONTRACT AND BREACH OF FIDUCIARY DUTY.
Product Type:	No Product
Alleged Damages:	\$1,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-02703
Date Notice/Process Served:	08/08/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/09/2013
Monetary Compensation Amount:	\$240,000.00
Individual Contribution Amount:	\$120,000.00

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	J.P. TURNER
Allegations:	NEGLIGENCE, BREACH OF FIDUCIARY DUTY TO CLAIMANT BY PLACING UNSUITABLE TRADES AND CHARGING EXCESSIVE MARK UPS AND MARK DOWNS ON SECURITIES BEING SOLD AS WELL AS SELLING HIGH RISK PRIVATE PLACEMENTS, BREACH OF CONTRACT, FRAUD, AND DELIBERATE ACCOUNT CHURNING
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock) Other: PRIVATE PLACEMENT
Alleged Damages:	\$1,000,000.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-02703
Date Notice/Process Served:	08/01/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/09/2013
Monetary Compensation Amount:	\$240,000.00
Individual Contribution Amount:	\$120,000.00
Broker Statement	MR. LOPINTO VEHEMENTLY DENIES CLAIMANTS' ALLEGATIONS AS THEY AUTHORIZED ALL TRANSACTIONS AND WERE SUITABLE TO ENGAGE IN THE SUBJECT INVESTMENTS. ALL ACCUSATIONS ARE BASELESS AND WITHOUT MERIT.



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:	Worden Capital Management LLC
Allegations:	Churning and quantitative suitability, and misrepresentation and unsuitability. The alleged activity occurred between April 2018 and October 2019.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$89,887.74
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Dispute Resolution
Docket/Case #:	21-00104
Date Notice/Process Served:	01/15/2021
Arbitration Pending?	Yes



Judgment / Lien

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

Disclosure 1 of 6

Reporting Source:	Broker
Judgment/Lien Holder:	New York State
Judgment/Lien Amount:	\$4,404.00
Judgment/Lien Type:	Tax
Date Filed with Court:	12/13/2018
Date Individual Learned:	10/03/2019
Type of Court:	County Clerk
Name of Court:	Richmond County Clerk
Location of Court:	Staten Island, NY
Docket/Case #:	511275
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 6

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$336,473.00
Judgment/Lien Type:	Tax
Date Filed with Court:	07/27/2018
Date Individual Learned:	09/14/2018
Type of Court:	County Clerk's Office
Name of Court:	Richmond County Clerk
Location of Court:	Richmond County, NY
Docket/Case #:	503831
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 6



Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$40,545.00
Judgment/Lien Type:	Tax
Date Filed with Court:	07/27/2018
Date Individual Learned:	09/14/2018
Type of Court:	County Clerk's Office
Name of Court:	Richmond County Clerk
Location of Court:	Richmond County, NY
Docket/Case #:	503841
Judgment/Lien Outstanding?	Yes

Disclosure 4 of 6

Reporting Source:	Broker
Judgment/Lien Holder:	State of New York
Judgment/Lien Amount:	\$2,430.00
Judgment/Lien Type:	Tax
Date Filed with Court:	04/05/2018
Date Individual Learned:	08/28/2018
Type of Court:	County Clerk's Office
Name of Court:	Richmond County Clerk
Location of Court:	Richmond County, NY
Docket/Case #:	496094
Judgment/Lien Outstanding?	Yes

Disclosure 5 of 6

Reporting Source:	Broker
Judgment/Lien Holder:	City of New York
Judgment/Lien Amount:	\$8,651.00



Judgment/Lien Type:	Tax
Date Filed with Court:	04/14/2015
Date Individual Learned:	08/07/2017
Type of Court:	County Clerks Office
Name of Court:	New York County Clerk
Location of Court:	New York, NY
Docket/Case #:	003353070
Judgment/Lien Outstanding?	Yes

Disclosure 6 of 6

Reporting Source:	Broker
Judgment/Lien Holder:	New York State Department of Taxation and Finance
Judgment/Lien Amount:	\$11,070.66
Judgment/Lien Type:	Tax
Date Filed with Court:	06/16/2017
Date Individual Learned:	07/17/2017
Type of Court:	County Clerks Office
Name of Court:	Richmond County Clerk
Location of Court:	Staten Island, NY
Docket/Case #:	E-030157935-W014-7
Judgment/Lien Outstanding?	Yes
Broker Statement	This is currently under a payment plan to satisfy the warrant.

End of Report



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