

BrokerCheck Report

KENWARD LAVON STONE

CRD# 1198779

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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.](http://www.finra.org)

KENWARD L. STONE

CRD# 1198779

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

B SECURITIES AMERICA, INC.
 10101 ALLIANCE ROAD NORTHMARK
 BUS. CEN.1
 CINCINNATI, OH 45242
 CRD# 10205
 Registered with this firm since: 07/17/2020

IA SECURITIES AMERICA ADVISORS, INC.
 10101 ALLIANCE RD. STE 180
 CINCINNATI, OH 45242
 CRD# 110518
 Registered with this firm since: 07/27/2020

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 13 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

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

- IA INVESTACORP ADVISORY SERVICES INC**
 CRD# 109011
 MIAMI, FL
 03/1999 - 07/2020
- B INVESTACORP, INC.**
 CRD# 7684
 CINCINNATI, OH
 07/1992 - 07/2020
- B SECURITIES TRADING, INC**
 CRD# 24162
 CROTON-ON-HUDSON, NY
 10/1991 - 08/1992

**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 |
|------------------|-------|
| Customer Dispute | 1 |
| Judgment/Lien | 26 |



Broker Qualifications

Registrations

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

This individual is currently registered with 1 SRO and is licensed in 13 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **SECURITIES AMERICA ADVISORS, INC.**

Main Office Address: **12325 PORT GRACE BLVD.
LA VISTA, NE 68128-8204**

Firm CRD#: **110518**

| | U.S. State/ Territory | Category | Status | Date |
|----|-----------------------|-----------------------------------|---------------------|------------|
| IA | Ohio | Investment Adviser Representative | Approved | 07/27/2020 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 10/16/2023 |

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

Employment 2 of 2

Firm Name: **SECURITIES AMERICA, INC.**

Main Office Address: **12325 PORT GRACE BLVD.
LAVISTA, NE 68128**

Firm CRD#: **10205**

| | SRO | Category | Status | Date |
|---|-------|-----------------------------------|----------|------------|
| B | FINRA | General Securities Representative | Approved | 07/17/2020 |
| B | FINRA | Investment Banking Representative | Approved | 07/17/2020 |

| | U.S. State/ Territory | Category | Status | Date |
|---|-----------------------|----------|----------|------------|
| B | Arizona | Agent | Approved | 07/17/2020 |



Broker Qualifications

Employment 2 of 2, continued

| | U.S. State/ Territory | Category | Status | Date |
|---|-----------------------|----------|----------|------------|
| B | California | Agent | Approved | 07/17/2020 |
| B | Florida | Agent | Approved | 07/17/2020 |
| B | Georgia | Agent | Approved | 07/17/2020 |
| B | Indiana | Agent | Approved | 07/17/2020 |
| B | Kentucky | Agent | Approved | 07/27/2020 |
| B | Maryland | Agent | Approved | 07/17/2020 |
| B | Minnesota | Agent | Approved | 01/19/2021 |
| B | New York | Agent | Approved | 07/17/2020 |
| B | North Carolina | Agent | Approved | 07/28/2020 |
| B | Ohio | Agent | Approved | 07/27/2020 |
| B | Pennsylvania | Agent | Approved | 07/17/2020 |
| B | Texas | Agent | Approved | 07/17/2020 |

Branch Office Locations

SECURITIES AMERICA, INC.

10101 ALLIANCE ROAD NORTHMARK BUS. CEN.1
 SUITE 180
 CINCINNATI, OH 45242



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, 3 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 Investment Banking Registered Representative Examination | Series 79TO | 01/02/2023 |
| B Securities Industry Essentials Examination | SIE | 10/01/2018 |
| B General Securities Representative Examination | Series 7 | 11/19/1983 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| B Uniform Securities Agent State Law Examination | Series 63 | 12/21/1983 |

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 |
|-----------------------------|--|--------|----------------------|
| IA 03/1999 - 07/2020 | INVESTACORP ADVISORY SERVICES INC | 109011 | CINCINNATI, OH |
| B 07/1992 - 07/2020 | INVESTACORP, INC. | 7684 | CINCINNATI, OH |
| B 10/1991 - 08/1992 | SECURITIES TRADING, INC | 24162 | CROTON-ON-HUDSON, NY |
| B 12/1983 - 02/1991 | 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.

| Employment | Employer Name | Position | Investment Related | Employer Location |
|-------------------|-------------------------------------|---------------------------|--------------------|--------------------------------|
| 07/2020 - Present | SECURITIES AMERICA, INC. | Registered Rep | Y | CINCINNATI, OH, United States |
| 07/2020 - Present | Securities America Advisors | IAR | Y | Cincinnati, OH, United States |
| 03/1991 - Present | STONE FINANCIAL | OTHER - FINANCIAL PLANNER | N | CINCINNATI, OH, United States |
| 02/1997 - 07/2020 | INVESTACORP ADVISORY SERVICES, INC. | REGISTERED REPRESENTATIVE | Y | MIAMI LAKES, FL, United States |
| 07/1992 - 07/2020 | INVESTACORP, INC. | NOT PROVIDED | Y | MIAMI LAKES, FL, 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.

STONE FINANCIAL RETIREMENT PLANNING

POSITION: Investment advisor NATURE: Advisory-- SAA INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 40 START DATE: 07/27/1992 ADDRESS: 10101 Alliance Rd, Suite 180, Cincinnati OH 45242 DESCRIPTION: I invest clients money in a

Registration and Employment History



Other Business Activities, continued

portfolio of ETFs after we go through a process of identifying their goals, objectives and risk tolerance.

DBA - Stone Financial Retirement Planning

STONE FINANCIAL RETIREMENT PLANNING

POSITION: advisor NATURE: Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 2 START DATE: 07/27/1992 ADDRESS: 10101 Alliance Rd, Suite 180, Cincinnati OH 45242 DESCRIPTION: Help clients with life insurance needs and income needs.



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.
 -
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 |
|------------------|---------|-------|-----------|
| Customer Dispute | 0 | 1 | N/A |
| Judgment/Lien | 26 | 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.

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: | INVESTACORP, INC. |
| Allegations: | CLIENT UNHAPPY WITH THE PURCHASE OF A VARIABLE UNIVERSAL LIFE POLICY AND WANTED HIS MONEY BACK. |
| Product Type: | Annuity(ies) - Variable |
| Other Product Type(s): | N/A |
| Alleged Damages: | \$6,000.00 |

Customer Complaint Information

| | |
|--|--|
| Date Complaint Received: | 07/26/1999 |
| Complaint Pending? | No |
| Status: | Settled |
| Status Date: | 09/23/2000 |
| Settlement Amount: | \$3,500.00 |
| Individual Contribution Amount: | \$3,500.00 |
| Broker Statement | THE CUSTOMER AGREES TO WILLFULLY AND COMPLETELY RELEASE KEN STONE FROM ANY AND ALL CLAIMS WHETHER KNOWN OR UNKNOWN IN REGARDS TO THE PURCHASE OF A VARIABLE UNIVERSAL LIFE POLICY. |



THE CUSTOMER INVESTED IN A VARIABLE UNIVERSAL LIFE INSURANCE CONTRACT AND LATER CHANGED HIS MIND ABOUT THE INVESTMENT. HE WANTED HIS MONEY BACK AND I EXPLAINED TO HIM THAT WOULD BE ABLE TO GET THE MONEY BACK THAT WAS THE IMPRESSION I HAD LATER I FOUND OUT THAT HE WOULD ONLY BE ABLE TO GET 90% OF SURRENDER CHARGE NOT CASH VALUE.



Judgment / Lien

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

Disclosure 1 of 26

| | |
|-----------------------------------|-----------------------------------|
| Reporting Source: | Broker |
| Judgment/Lien Holder: | State of Ohio |
| Judgment/Lien Amount: | \$309.00 |
| Judgment/Lien Type: | Tax |
| Date Filed with Court: | 11/07/1994 |
| Date Individual Learned: | 11/07/1994 |
| Type of Court: | County Recorder's Office |
| Name of Court: | Hamilton County Recorder's Office |
| Location of Court: | Hamilton County, OH |
| Docket/Case #: | 9410968 |
| Judgment/Lien Outstanding? | Yes |

Disclosure 2 of 26

| | |
|-----------------------------------|---|
| Reporting Source: | Broker |
| Judgment/Lien Holder: | Internal Revenue Service |
| Judgment/Lien Amount: | \$23,927.01 |
| Judgment/Lien Type: | Tax |
| Date Filed with Court: | 08/06/2010 |
| Date Individual Learned: | 08/06/2010 |
| Type of Court: | County Recorder's Office |
| Name of Court: | Hamilton County Recorder's Office |
| Location of Court: | Hamilton County, OH |
| Docket/Case #: | 11499737 |
| Judgment/Lien Outstanding? | Yes |
| Broker Statement | This lien includes tax years 2000-2001. |



Disclosure 3 of 26

| | |
|-----------------------------------|-----------------------------------|
| Reporting Source: | Broker |
| Judgment/Lien Holder: | State of Ohio |
| Judgment/Lien Amount: | \$5,606.00 |
| Judgment/Lien Type: | Tax |
| Date Filed with Court: | 06/30/1994 |
| Date Individual Learned: | 06/30/1994 |
| Type of Court: | County Recorder's Office |
| Name of Court: | Hamilton County Recorder's Office |
| Location of Court: | Hamilton County, OH |
| Docket/Case #: | 946079 |
| Judgment/Lien Outstanding? | Yes |

Disclosure 4 of 26

| | |
|-----------------------------------|--|
| Reporting Source: | Broker |
| Judgment/Lien Holder: | STATE OF OHIO |
| Judgment/Lien Amount: | \$7,415.00 |
| Judgment/Lien Type: | Tax |
| Date Filed with Court: | 09/26/2012 |
| Date Individual Learned: | 06/01/2010 |
| Type of Court: | UNKNOWN |
| Name of Court: | UNKNOWN |
| Location of Court: | HAMILTON COUNTY, OH |
| Docket/Case #: | CJ12023116 |
| Judgment/Lien Outstanding? | Yes |
| Broker Statement | THIS IS PART OF AN AGREEMENT ESTABLISHED WITH THE STATE OF OHIO IN 06/2014. |

Disclosure 5 of 26



Reporting Source: Broker
Judgment/Lien Holder: STATE OF OHIO
Judgment/Lien Amount: \$44,416.00
Judgment/Lien Type: Tax
Date Filed with Court: 04/03/2012
Date Individual Learned: 06/01/2010
Type of Court: UNKNOWN
Name of Court: UNKNOWN
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: CJ12006275
Judgment/Lien Outstanding? Yes
Broker Statement THIS IS PART OF AN AGREEMENT ESTABLISHED WITH THE STATE OF OHIO
 IN 06/2014.

Disclosure 6 of 26

Reporting Source: Broker
Judgment/Lien Holder: STATE OF OHIO
Judgment/Lien Amount: \$27,423.00
Judgment/Lien Type: Tax
Date Filed with Court: 03/26/2012
Date Individual Learned: 06/01/2010
Type of Court: UNKNOWN
Name of Court: UNKNOWN
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: CJ12005411
Judgment/Lien Outstanding? Yes
Broker Statement THIS IS PART OF AN AGREEMENT ESTABLISHED WITH THE STATE OF OHIO
 IN 06/2014.



Disclosure 7 of 26

| | |
|-----------------------------------|--|
| Reporting Source: | Broker |
| Judgment/Lien Holder: | STATE OH OHIO |
| Judgment/Lien Amount: | \$25,801.00 |
| Judgment/Lien Type: | Tax |
| Date Filed with Court: | 03/26/2012 |
| Date Individual Learned: | 06/01/2010 |
| Type of Court: | UNKNOWN |
| Name of Court: | UNKNOWN |
| Location of Court: | HAMILTON COUNTY, OH |
| Docket/Case #: | CJ12005420 |
| Judgment/Lien Outstanding? | Yes |
| Broker Statement | THIS IS PART OF AN AGREEMENT ESTABLISHED WITH THE STATE OF OHIO IN 06/2014. |

Disclosure 8 of 26

| | |
|-----------------------------------|--|
| Reporting Source: | Broker |
| Judgment/Lien Holder: | STATE OF OHIO |
| Judgment/Lien Amount: | \$27,428.00 |
| Judgment/Lien Type: | Tax |
| Date Filed with Court: | 03/24/2012 |
| Date Individual Learned: | 06/01/2010 |
| Type of Court: | UNKNOWN |
| Name of Court: | UNKNOWN |
| Location of Court: | HAMILTON COUNTY, OH |
| Docket/Case #: | CJ12005419 |
| Judgment/Lien Outstanding? | Yes |
| Broker Statement | THIS IS PART OF AN AGREEMENT ESTABLISHED WITH THE STATE OF OHIO IN 06/2014. |



Disclosure 9 of 26

| | |
|-----------------------------------|--|
| Reporting Source: | Broker |
| Judgment/Lien Holder: | STATE |
| Judgment/Lien Amount: | \$23,880.00 |
| Judgment/Lien Type: | Tax |
| Date Filed with Court: | 01/03/2011 |
| Date Individual Learned: | 06/01/2010 |
| Type of Court: | UNKNOWN |
| Name of Court: | UNKNOWN |
| Location of Court: | HAMILTON COUNTY, OH |
| Docket/Case #: | CJ11000013 |
| Judgment/Lien Outstanding? | Yes |
| Broker Statement | THIS IS PART OF AN AGREEMENT ESTABLISHED WITH THE STATE OF OHIO IN 06/2014. |

Disclosure 10 of 26

| | |
|-----------------------------------|---|
| Reporting Source: | Broker |
| Judgment/Lien Holder: | STATE |
| Judgment/Lien Amount: | \$12,451.00 |
| Judgment/Lien Type: | Tax |
| Date Filed with Court: | 11/12/2009 |
| Date Individual Learned: | 06/01/2010 |
| Type of Court: | UNKNOWN |
| Name of Court: | UNKNOWN |
| Location of Court: | HAMILTON COUNTY, OH |
| Docket/Case #: | CJ09021202 |
| Judgment/Lien Outstanding? | Yes |
| Broker Statement | THIS IS PART OF AN AGREEMENT ESTABLISHED WITH THE STATE OF OHIO |



IN 06/2014.

Disclosure 11 of 26

Reporting Source: Broker
Judgment/Lien Holder: STATE
Judgment/Lien Amount: \$17,411.00
Judgment/Lien Type: Tax
Date Filed with Court: 11/12/2009
Date Individual Learned: 06/01/2010
Type of Court: UNKNOWN
Name of Court: UNKNOWN
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: CJ09021201
Judgment/Lien Outstanding? Yes
Broker Statement THIS IS PART OF AN AGREEMENT ESTABLISHED WITH THE STATE OF OHIO
 IN 06/2014.

Disclosure 12 of 26

Reporting Source: Broker
Judgment/Lien Holder: STATE
Judgment/Lien Amount: \$212,961.00
Judgment/Lien Type: Tax
Date Filed with Court: 11/12/2009
Date Individual Learned: 06/01/2010
Type of Court: UNKNOWN
Name of Court: UNKNOWN
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: CJ09021200
Judgment/Lien Outstanding? Yes

**Broker Statement**

THIS IS PART OF AN AGREEMENT ESTABLISHED WITH THE STATE OF JUNE 2014.

Disclosure 13 of 26

Reporting Source: Broker
Judgment/Lien Holder: STATE
Judgment/Lien Amount: \$12,365.00
Judgment/Lien Type: Tax
Date Filed with Court: 11/12/2009
Date Individual Learned: 06/01/2010
Type of Court: UNKNOWN
Name of Court: UNKNOWN
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: CJ09021199
Judgment/Lien Outstanding? Yes
Broker Statement THIS IS PART OF AN AGREEMENT ESTABLISHED WITH THE STATE JUNE 2014.

Disclosure 14 of 26

Reporting Source: Broker
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$47,914.00
Judgment/Lien Type: Tax
Date Filed with Court: 05/21/2018
Date Individual Learned: 06/01/2010
Type of Court: UNKNOWN
Name of Court: UNKNOWN
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: 307717418
Judgment/Lien Outstanding? Yes

**Broker Statement**

This lien includes tax year 2016.

THIS IS PART OF AN AGREEMENT ESTABLISHED BACK ON JUNE 2014 WITH THE IRS.

Disclosure 15 of 26

Reporting Source: Broker
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$23,853.00
Judgment/Lien Type: Tax
Date Filed with Court: 05/11/2013
Date Individual Learned: 06/01/2010
Type of Court: UNKNOWN
Name of Court: UNKNOWN
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: 1260377
Judgment/Lien Outstanding? Yes

Broker Statement

This lien includes tax year 2010.

THIS IS PART OF AN AGREEMENT ESTABLISHED BACK IN JUNE 2014 WITH THE IRS.

Disclosure 16 of 26

Reporting Source: Broker
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$5,288.00
Judgment/Lien Type: Tax
Date Filed with Court: 12/14/2010
Date Individual Learned: 06/01/2010
Type of Court: UNKNOWN
Name of Court: UNKNOWN



Location of Court: HAMILTON COUNTY, OH
Docket/Case #: 10151742
Judgment/Lien Outstanding? Yes
Broker Statement This lien includes tax year 2009.
 THIS IS PART OF AN AGREEMENT ESTABLISHED WITH THE IRS BACK IN JUNE 2014.

Disclosure 17 of 26

Reporting Source: Broker
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$115,832.50
Judgment/Lien Type: Tax
Date Filed with Court: 04/30/2009
Date Individual Learned: 06/01/2010
Type of Court: UNKNOWN
Name of Court: UNKNOWN
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: 0956938
Judgment/Lien Outstanding? Yes
Broker Statement This lien includes tax year 2008.
 THIS IS PART OF AN AGREEMENT ESTABLISHED WITH THE IRS JUNE 2014.

Disclosure 18 of 26

Reporting Source: Broker
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$135,337.00
Judgment/Lien Type: Tax
Date Filed with Court: 09/17/2003
Date Individual Learned: 06/01/2010



Type of Court: UNKNOWN
Name of Court: UNKNOWN
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: 030486280
Judgment/Lien Outstanding? Yes
Broker Statement This lien includes tax years 2001-2002.
 THIS IS PART OF THE AGREEMENT WITH THE IRS (JUNE 2014).

Disclosure 19 of 26

Reporting Source: Broker
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$322,944.99
Judgment/Lien Type: Tax
Date Filed with Court: 06/16/2003
Date Individual Learned: 06/01/2010
Type of Court: UNKNOWN
Name of Court: UNKNOWN
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: 030402049
Judgment/Lien Outstanding? Yes
Broker Statement This lien includes tax years 1995 to 2000.

Disclosure 20 of 26

Reporting Source: Broker
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$96,867.07
Judgment/Lien Type: Tax
Date Filed with Court: 09/18/2018



Date Individual Learned: 06/01/2010
Type of Court: UNKNOWN
Name of Court: UNKNOWN
Location of Court: HAMPDEN COUNTY, MA REGISTRY OF DEEDS, BOOK 19108 PAGE 407
Docket/Case #: 2018-0080747204
Judgment/Lien Outstanding? Yes
Broker Statement This tax lien includes tax year 2007.

THIS LIEN IS A REFILE FROM A EARLIER FILING. THIS FILING AND AN EARLIER FILING ARE PART OF AN AGREEMENT WITH THE IRS DATED 6/14/2014.

Disclosure 21 of 26

Reporting Source: Broker
Judgment/Lien Holder: UNKNOWN
Judgment/Lien Amount: \$13,581.00
Judgment/Lien Type: Tax
Date Filed with Court: 04/25/2003
Date Individual Learned: 06/01/2010
Type of Court: UNKNOWN
Name of Court: UNKNOWN
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: A0303
Judgment/Lien Outstanding? Yes
Broker Statement THIS IS PART OF AN AGREEMENT ESTABLISHED WITH THE IRS ON JUNE 2014.

Disclosure 22 of 26

Reporting Source: Broker
Judgment/Lien Holder: UNKNOWN
Judgment/Lien Amount: \$55,341.45



Judgment/Lien Type: Tax
Date Filed with Court: 06/01/2010
Date Individual Learned: 06/01/2010
Type of Court: UNKNOWN
Name of Court: UNKNOWN
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: 22114
Judgment/Lien Outstanding? Yes
Broker Statement This tax lien also includes tax year 2011.

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Reporting Source: Broker
Judgment/Lien Holder: OHIO DEPARTMENT OF TAXATION
Judgment/Lien Amount: \$14,442.00
Judgment/Lien Type: Tax
Date Filed with Court: 08/29/2014
Date Individual Learned: 10/01/2014
Type of Court: State Court
Name of Court: HAMILTON COUNTY CLERK OF COURTS
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: CJ14013799
Judgment/Lien Outstanding? Yes
Broker Statement WE HAVE A MONTHLY INSTALLMENT AGREEMENT OF \$2,500 WITH THE OHIO DEPARTMENT OF TAXATION WHICH HAS BEEN PAID SINCE 2014.

Disclosure 24 of 26

Reporting Source: Broker
Judgment/Lien Holder: OHIO DEPARTMENT OF TAXATION
Judgment/Lien Amount: \$8,637.00



Judgment/Lien Type: Tax
Date Filed with Court: 07/11/2013
Date Individual Learned: 07/01/2013
Type of Court: State Court
Name of Court: HAMILTON COUNTY CLERK OF COURTS
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: CJ13012515
Judgment/Lien Outstanding? Yes
Broker Statement WE HAVE A MONTHLY INSTALLMENT AGREEMENT OF \$2,500 WITH OHIO DEPARTMENT OF TAXATION WHICH HAS BEEN PAID SINCE 2014.

Disclosure 25 of 26

Reporting Source: Broker
Judgment/Lien Holder: OHIO DEPARTMENT OF TAXATION
Judgment/Lien Amount: \$3,332.00
Judgment/Lien Type: Tax
Date Filed with Court: 09/10/2014
Date Individual Learned: 07/01/2015
Type of Court: State Court
Name of Court: HAMILTON COUNTY CLERK OF COURTS
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: CJ14015123
Judgment/Lien Outstanding? Yes
Broker Statement WE HAVE A MUTUAL AGREED MONTHLY INSTALLMENT AGREEMENT OF \$2,500 WITH OHIO DEPARTMENT OF TAXATION WHICH HAS BEEN PAID ON SINCE 2014.

Disclosure 26 of 26

Reporting Source: Broker
Judgment/Lien Holder: IRS



Judgment/Lien Amount: \$275,557.00
Judgment/Lien Type: Tax
Date Filed with Court: 01/20/2009
Date Individual Learned: 07/01/2012
Type of Court: UNKNOWN
Name of Court: UNKNOWN
Location of Court: HAMILTON COUNTY, OH
Docket/Case #: 95942
Judgment/Lien Outstanding? Yes
Broker Statement This tax lien includes tax years 2003-2006.

WE HAVE A MUTUAL MONTHLY INSTALLMENT AGREEMENT WITH THE IRS. THE AGREEMENT REQUIRED MONTHLY PAYMENTS OF \$2,500 WHICH HAVE BEN PAID SINCE 2014, WE ARE CURRENTLY NEGOTIATING WITH IRS TO MAINTAIN OR INCREASE THOSE PAYMENTS.

End of Report



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