



IAPD Report

DWIGHT LEE DYKSTRA

CRD# 1028210

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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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

DWIGHT LEE DYKSTRA (CRD# 1028210)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **07/30/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ALTERNATIVE INVESTMENT ADVISORS, LLC	CRD# 160108	04/16/2012

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **6** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	AEGIS WEALTH MANAGEMENT, LLC	199511	MAITLAND, FL	03/16/2016 - 02/26/2021
B	VISION BROKERAGE SERVICES, LLC	47927	MAITLAND, FL	05/10/2013 - 07/03/2019
IA	FSC SECURITIES CORPORATION	7461	ORLANDO, FL	12/07/2006 - 08/17/2011

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **6** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ALTERNATIVE INVESTMENT ADVISORS, LLC**
Main Address: 341 N MAITLAND AVENUE
SUITE 132
MAITLAND, FL 32751
Firm ID#: 160108

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
	Iowa	Investment Adviser Representative	Approved	06/01/2015
	Minnesota	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
	Nebraska	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
	South Dakota	Investment Adviser Representative	Approved	10/02/2013
	Texas	Investment Adviser Representative	Restricted Approval	06/13/2014

Branch Office Locations

ALTERNATIVE INVESTMENT ADVISORS, LLC
341 N MAITLAND AVENUE
SUITE 132
MAITLAND, FL 32751




Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	03/30/1992

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/25/2000
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/05/1982

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/22/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/24/1987

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	03/16/2016 - 02/26/2021	AEGIS WEALTH MANAGEMENT, LLC	CRD# 199511	MAITLAND, FL
B	05/10/2013 - 07/03/2019	VISION BROKERAGE SERVICES, LLC	CRD# 47927	MAITLAND, FL
IA	12/07/2006 - 08/17/2011	FSC SECURITIES CORPORATION	CRD# 7461	ORLANDO, FL
B	12/16/2004 - 08/17/2011	FSC SECURITIES CORPORATION	CRD# 7461	ORLANDO, FL
IA	07/05/2005 - 06/06/2011	CSENGE ADVISORY GROUP, LLC	CRD# 131167	ORLANDO, FL
IA	07/21/2004 - 05/23/2005	PFG FINANCIAL ADVISORS	CRD# 116021	ORLANDO, FL
B	06/28/2002 - 12/17/2004	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
IA	09/03/1997 - 06/21/2002	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	ORLANDO, FL
B	02/21/1982 - 06/21/2002	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	10/01/1982 - 12/10/1993	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	NEWARK, NJ

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2018 - Present	FLORIDA FINANCIAL CONSULTING LLC	MANAGING MEMBER	N	STAMFORD, CT, United States
07/2017 - Present	FIRST FINANCIAL STRATEGIES, LLC	CONSULTANT	Y	MAITLAND, FL, United States
05/2015 - Present	AEGIS WEALTH MANAGEMENT, LLC	MANAGING MEMBER	Y	MAITLAND, FL, United States
11/2011 - Present	ALTERNATIVE INVESTMENT ADVISORS, LLC	INVESTMENT ADVISOR	Y	MAITLAND, FL, United States
05/2013 - 06/2019	VISION BROKERAGE SERVICES, LLC	REGISTERED REPRESENTATIVES	Y	MAITLAND, FL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2011 - 07/2017	FLORIDA FINANCIAL STRATEGIES, LLC	CONSULTANT	N	ORLANDO, FL, United States
11/2011 - 07/2016	PALM EQUITY ADVISORS, LLC	MEMBER	Y	MAITLAND, FL, United States
11/2011 - 07/2016	PALM EQUITY MANAGEMENT, LLC	MANAGING MEMBER	Y	MAITLAND, FL, United States
11/2011 - 07/2016	PALM EQUITY PARTNERS, L.P.	MEMBER	Y	MAITLAND, FL, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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) Mr. Dykstra is a managing director for Storage Units Alternative Income Fund, LLC located in Maitland, FL. Investment Related. Start Date: 12/2020. Mr. Dykstra facilitates investment capital opportunities through the fund. He spends 10 hours working per month; 10 hours working during trading hours.
- 2) Mr. Dykstra is an investment advisor representative for Alternative Investment Advisors, LLC; an SEC registered investment adviser located at 698 N. Maitland Ave, Suite 101, Maitland, FL 32751. Investment Related. Start Date: 07/2017. Mr. Dykstra is responsible for soliciting clients, providing investment advice, and managing portfolios for clients. He spends 40 hours working per month; 40 hours working during trading hours.
- 3) First Financial Strategies, LLC D/B/A Florida Financial Strategies, LLC is located at 698 N. Maitland Ave, Suite 104 Maitland, FL 32751. Investment related. Start date: 06/2002. Florida Financial Strategies, LLC sells life insurance, long term care & fixed annuities. Mr. Dykstra is an advisor and is responsible for sales and support of insurance related products. He spends 40 hours working per month; 40 hours working during trading hours.
- 4) Aegis Wealth Management LLC is located at 698 N. Maitland Ave, Suite 102 Maitland, FL 32751. Investment Related. Start Date: 5/2015. Aegis Wealth Management LLC is a registered investment advisory firm. Mr. Dykstra is investment advisor and managing member. He is responsible for soliciting clients for the firm, provide investment advice, & manage investment portfolios, including the Tuscan Gardens Alternative Income Fund II, LLC (TGAIFII). TGAIFII manages capital funding for assisted living facilities through Tuscan Gardens entities and Alternative Income Fund Management Company, LLC. He spends 60 hours working per month; 60 hours working during trading hours.
- 5) Dylene Holdings LLC is located at 698 N. Maitland Ave, Suite 200 Maitland, FL 32751. Not Investment Related. Start Date: 01/2016. Mr. Dykstra is the Co-owner of a commercial building located in Maitland, FL. He oversees the building finances and maintenance. He spends approximately 5 hours working per month; 5 hours working during trading hours.
- 6) Florida Financial Consulting LLC is located at 1323 Stetson Street Orlando, FL 32804. Investment Related. Start Date: 9/2018. Florida Financial Consulting LLC is involved in consulting for Deferred Comp, 401K, Key Man and Executive Bonus Plans. Mr. Dykstra is a managing member. He spends approximately 10 hours working per month; 10 hours working during trading hours.
- 7) DKD Holdings, LLC, is located in Maitland, Florida. Investment Related. Start date: 12/2019. DKD Holdings provides consulting work. Mr. Dykstra is a managing member. He spends approximately 10 hours working per month; 10 hours working



Registration & Employment History



OTHER BUSINESS ACTIVITIES

during trading hours.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	10/07/2020
Docket/Case Number:	2019061365001
Employing firm when activity occurred which led to the regulatory action:	Vision Brokerage Services, LLC
Product Type:	Promissory Note

Allegations: Without admitting or denying the findings, Dykstra consented to the sanctions and to the entry of findings that he participated in private securities transactions without providing prior written notice to his member firm. The findings stated that, while registered through his firm, Dykstra participated in private securities transactions by soliciting investments in promissory notes issued by a limited liability company (the Issuer) raising capital to develop a senior living real estate project. Dykstra contacted prospective investors, some of whom were customers or former customers of the firm, to inform them of the investment opportunity. Dykstra then provided marketing materials to interested investors, participated in communications between the Issuer and interested investors, and facilitated the sale of approximately \$2 million of promissory notes to 21 investors. The Issuer paid Dykstra \$67,500 in selling compensation for his participation in the transactions. Additionally, Dykstra and his wife invested \$100,000 in a promissory note sold by the Issuer. The promissory notes sold by the Issuer were securities. Dykstra's participation in the promissory note securities transactions was outside the regular course and scope of his employment with the firm. While registered through the firm Dykstra, after giving notice to the firm and receiving its approval,



sold membership interests in a fund formed to invest in the same senior living real estate project. Dykstra, however, did not provide any prior notice to the firm of the promissory note transactions or of his role in those transactions.

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:

10/07/2020

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Disgorgement
Suspension

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:	one year
Start Date:	10/19/2020
End Date:	10/18/2021

Monetary Sanction 1 of 2

Monetary Related Sanction:	Disgorgement
Total Amount:	\$67,500.00
Portion Levied against individual:	\$67,500.00
Payment Plan:	deferred, plus interest
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:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	deferred
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No

**Amount Waived:**
.....

Reporting Source: Firm

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Disgorgement
Suspension

Date Initiated: 10/07/2020

Docket/Case Number: [2019061365001](#)

Employing firm when activity occurred which led to the regulatory action: Vision Brokerage Services, LLC

Product Type: Promissory Note

Allegations: In October 2018, while registered through VBS, Dykstra participated in private securities transactions by soliciting investments in promissory notes issued by a limited liability company (the Issuer) raising capital to develop a senior living real estate project. Dykstra contacted prospective investors-some of whom were customers or former customers of VBS-to inform them of the investment opportunity. Dykstra then provided marketing materials to interested investors, participated in communications between the Issuer and interested investors, and facilitated the sale of approximately \$2 million of promissory notes to 21 investors. The Issuer paid Dykstra \$67,500 in selling compensation for his participation in the transactions. Additionally, Dykstra and his wife invested \$100,000 in a promissory note sold by the Issuer. The promissory notes sold by the Issuer were securities.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/07/2020

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Disgorgement
Suspension

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:	One year
Start Date:	10/19/2020



End Date: 10/18/2021

Monetary Sanction 1 of 2

Monetary Related Sanction: Disgorgement

Total Amount: \$67,500.00

Portion Levied against individual: \$67,500.00

Payment Plan: upon reassociation with a Member Firm

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: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan: upon reassociation with a Member Firm

Is Payment Plan Current: Yes

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Individual

Regulatory Action Initiated By: FINANCIAL INDUSTRY REGULATORY AUTHORITY

Sanction(s) Sought: Disgorgement
Monetary Penalty other than Fines
Suspension

Date Initiated: 10/19/2020

Docket/Case Number: [2019061365001](#)

Employing firm when activity occurred which led to the regulatory action: Vision Brokerage Services, LLC CRD# 47927 (VBS)

Product Type: Promissory Note

Allegations: Mr. Dykstra participated in promissory note securities transactions. FINRA deemed the activity outside the regular course and scope of his employment with VBS.

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:	10/08/2020
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	Registrations not currently active
Duration:	One year
Start Date:	10/19/2020
End Date:	10/18/2021
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Disgorgement
Total Amount:	\$67,500.00
Portion Levied against individual:	\$67,500.00
Payment Plan:	TBD-amount does not include levied interest
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:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	TBD
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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