



## IAPD Report

# THOMAS STEPHEN WALLS

CRD# 1105863

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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

### THOMAS STEPHEN WALLS (CRD# 1105863)

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 **02/24/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LOMBARD SECURITIES INCORPORATED	CRD# 27954	12/06/1999
<b>IA</b>	LOMBARD ADVISERS INCORPORATED	CRD# 108231	04/08/2005

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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
<b>B</b>	SUNPOINT SECURITIES, INC.	25442	LONGVIEW, TX	10/02/1998 - 11/19/1999
<b>B</b>	1717 CAPITAL MANAGEMENT COMPANY	4082	NEWARK, DE	03/08/1990 - 09/18/1998
<b>B</b>	JANNEY MONTGOMERY SCOTT INC.	463	NEWARK, DE	07/16/1987 - 10/05/1988

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
Customer Dispute	2
Termination	2
Financial	1



## Report Summary

Judgment/Lien

8



## 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 **8** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **LOMBARD SECURITIES INCORPORATED**  
Main Address: 1820 LANCASTER STREET  
SECOND FLOOR  
BALTIMORE, MD 21231  
Firm ID#: 27954

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	12/06/1999
<b>B</b> Delaware	Agent	Approved	01/05/2000
<b>B</b> Florida	Agent	Approved	01/05/2000
<b>B</b> Georgia	Agent	Approved	08/17/2007
<b>B</b> New Jersey	Agent	Approved	01/10/2000
<b>B</b> New York	Agent	Approved	07/06/2000
<b>B</b> North Carolina	Agent	Approved	01/23/2020
<b>B</b> Pennsylvania	Agent	Approved	12/06/1999
<b>B</b> Texas	Agent	Approved	05/01/2015

### Branch Office Locations

600 W. Germantown Pike  
SUITE 400  
Plymouth Meeting, PA 19462

Naples, FL

### Employment 2 of 2

Firm Name: **LOMBARD ADVISERS INCORPORATED**



## Qualifications

Main Address: 1820 LANCASTER ST  
BALTIMORE, MD 21231

Firm ID#: 108231

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	04/08/2005

### Branch Office Locations

**LOMBARD ADVISERS INCORPORATED**  
600 GERMANTOWN PIKE  
SUITE 400  
PLYMOUTH MEETING, PA 19462



## 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 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**





#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



#### General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	06/16/1984
 Direct Participation Programs Representative Examination (S22)	Series 22	12/20/1983
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/21/1983

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	05/27/2005
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/09/1983

### PROFESSIONAL DESIGNATIONS

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

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	10/02/1998 - 11/19/1999	SUNPOINT SECURITIES, INC.	CRD# 25442	LONGVIEW, TX
B	03/08/1990 - 09/18/1998	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	07/16/1987 - 10/05/1988	JANNEY MONTGOMERY SCOTT INC.	CRD# 463	
B	07/06/1984 - 08/08/1987	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	04/22/1983 - 07/27/1984	MONY SECURITIES CORP.	CRD# 4386	

### 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
02/2000 - Present	LOMBARD ADVISERS INCORPORATED	Investment Adviser Representative	Y	PLYMOUTH MEETING, PA, United States
12/1999 - Present	LOMBARD SECURITIES INCORPORATED	REGISTERED REPRESENTATIVE	Y	PLYMOUTH MEETING, PA, United States
05/1982 - Present	NORTH AMERICAN LIFE ASSURANCE CO	SALES - SALES	N	PHILA, PA, United States
04/1981 - Present	MUTUAL OF NEW YORK	SALES - SALES	N	WARRINGTON, PA, 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. Thomas Walls & Associates (used for Tax Purposes)
2. Passive rental income from apartment unit. Airbnb short term rental. Began in October 2023.



## 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
Customer Dispute	2
Termination	2
Financial	1
Judgment/Lien	8

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	04/01/2015
<b>Docket/Case Number:</b>	<a href="#">2014040934701</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	LOMBARD SECURITIES INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	WITHOUT ADMITTING OR DENYING THE FINDINGS, WALLS CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE FAILED TO TIMELY AMEND HIS FORM U4 TO DISCLOSE AN UNSATISFIED TAX LIEN.
<b>Current Status:</b>	Final
<b>Resolution:</b>	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:**

04/01/2015

**Sanctions Ordered:**

Civil and Administrative Penalty(ies)/Fine(s)  
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:** ANY CAPACITY  
**Duration:** THREE MONTHS  
**Start Date:** 05/04/2015  
**End Date:** 08/03/2015

**Monetary Sanction 1 of 1**

**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:** 08/21/2015  
**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement** Fine paid in full on August 21, 2015.

.....

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** FINRA  
**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension  
**Date Initiated:** 02/26/2015  
**Docket/Case Number:** [2014040934701](#)



<b>Employing firm when activity occurred which led to the regulatory action:</b>	LOMBARD SECURITIES INCORPORATED
<b>Product Type:</b>	No Product
<b>Allegations:</b>	FAILURE TO TIMELY AMEND FORM U4 TO DISCLOSE AN UNSATISFIED TAX LIEN RESULTING IN VIOLATION OF ARTICLE 2 SECT. 2(C) OF FINRA BYLAWS AND FINRA RULE 1122, 2010.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	04/01/2015
<b>Sanctions Ordered:</b>	Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ALL CAPACITIES
<b>Duration:</b>	90 DAYS
<b>Start Date:</b>	05/04/2015
<b>End Date:</b>	08/03/2015



### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** 1717 CAPITAL MANAGEMENT COMPANY

**Allegations:** CUSTOMER ALLEGES VARIABLE LIFE INSURANCE POLICY SOLD TO HIM IN 1993 WAS UNSUITABLE. DAMAGES NOT SPECIFIED.

**Product Type:** Insurance

**Other Product Type(s):** VARIABLE LIFE INSURANCE

**Alleged Damages:** \$0.00

#### Customer Complaint Information

**Date Complaint Received:** 07/28/2005

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 10/24/2005

**Settlement Amount:**

#### Individual Contribution Amount:

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** CAPITAL MANAGEMENT COMPANY

**Allegations:** CUSTOMER ALLEGES VARIABLE LIFE POLICY SOLD TO HIM IN 1993 WAS UNSUITABLE.

**Product Type:** Insurance

**Other Product Type(s):** VARIABLE LIFE INSURANCE

**Alleged Damages:** \$0.00

#### Customer Complaint Information

**Date Complaint Received:** 07/28/2005

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 10/24/2005

**Settlement Amount:**

#### Individual Contribution

**Individual Contribution  
Amount:****Disclosure 2 of 2**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** DEAN WITTER REYNOLDS

**Allegations:** UNAUTHORIZED TRADING, CHURNING & RECOMMENDING UNSUITABLE INVESTMENTS.

**Product Type:**

**Alleged Damages:** \$60,000.00

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution  
Amount:****Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** Philadelphia Stock Exchange

**Date Notice/Process Served:** 01/01/1990

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 05/08/1991

**Monetary Compensation Amount:** \$788,000.00

**Individual Contribution Amount:**

**Firm Statement** CLAIMANT WAS AWARDED \$788K.  
REGISTRANT DENIES THE ALLEGATIONS & ASSERTS THAT THE INVESTMENTS WERE AUTHORIZED & SUITABLE.

.....

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** DEAN WITTER REYNOLDS

**Allegations:** CUSTOMER ALLEGED UNSUITABLE INVESTMENTS, UNATHORIZED TRADING

**Product Type:** Direct Investment(s) - DPP & LP Interest(s)



**Other Product Type(s):** EQUITIES  
**Alleged Damages:** \$60,000.00

**Customer Complaint Information**

**Date Complaint Received:** 06/01/1987  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 05/08/1991  
**Settlement Amount:**

**Individual Contribution Amount:** \$0.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** PHILADELPHIA STOCK EXCHANGE  
CASE NO. NOT KNOWN, ALL PAPERWORK HANDLED BY DEAN WITTER.

**Date Notice/Process Served:** 01/01/1990  
**Arbitration Pending?** No  
**Disposition:** Award to Customer

**Disposition Date:** 05/08/1991  
**Monetary Compensation Amount:** \$788,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** CLAIMENT WAS AWARDED \$788K FROM DEAN WITTER REYNOLDS, INC. 10/92 NASD INVESTIGATIONS DETERMINED THAT NO ACTION WAS WARRENTED AGAINST ME. I TOTALLY DENY CUSTOMERS ALLEGATIONS. DEAN WITTER REYNOLDS MANAGER TESTIFIED THAT THERE WAS NO EVIDENCE TO SUPPORT CUSTOMER'S CLAIMS.



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 2

**Reporting Source:** Individual  
**Firm Name:** DEAN WITTER REYNOLDS  
**Termination Type:** Discharged  
**Termination Date:** 06/22/1987  
**Allegations:** VIOLATION OF FIRM POLICIES: I BORROWED \$7,000 FROM A CUSTOMER WITHOUT THE KNOWLEDGE OR PRIOR APPROVAL OF MY SUPERVISOR.  
**Product Type:** Other  
**Other Product Types:** CASH LOAN.  
**Broker Statement** NASD CONCLUDED THAT NO ACTION WAS WARRENTED SEC REVIEWED TERMINATION AND FOUND NO VIOLATIONS OF RULES OR REGULATIONS.  
NOT PROVIDED

### Disclosure 2 of 2

**Reporting Source:** Individual  
**Firm Name:** JANNEY MONTGOMERY SCOTT  
**Termination Type:** Discharged  
**Termination Date:** 09/08/1988  
**Allegations:** NA  
GUIDO FCEZZO ALLEGED 9/88 6,000 SHARE PURCHASE AND 5,400 SHARE SALE OF NUVEEN PREMIUM INCOME FUND WERE UNAUTHORIZED TRANSACTIONS  
APPOX LOSS \$400 FOUR HUNDRED DOLLARS.  
**Product Type:** Mutual Fund(s)  
**Other Product Types:**  
**Broker Statement** NYSE INVESTIGATED CLAIM AND CONCLUDED NO ACTION WAS WARRENTED.  
I PURCHASED 600 SHARE AT CUSTOMERS REQUEST THE JANNEY MONTGOMERY SCOTT TRADER CHANGED TRADE TO 6,000 SHARES  
OFFER PURCHASE. I SOLD 5,400 TO CORRECT THE TRADE.



## Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Action Type:</b>	Bankruptcy
<b>Bankruptcy:</b>	Chapter 7
<b>Action Date:</b>	03/01/2017
<b>Organization Investment-Related?</b>	
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	US Bankruptcy Court for the Eastern District of Pennsylvania
<b>Location of Court:</b>	Philadelphia
<b>Docket/Case #:</b>	16-17837
<b>Action Pending?</b>	No
<b>Disposition:</b>	Discharged
<b>Disposition Date:</b>	07/13/2017



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 8

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	State of Pennsylvania
<b>Judgment/Lien Amount:</b>	\$5,903.55
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	09/13/2021
<b>Date Individual Learned:</b>	10/20/2021
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	Court of Common Pleas of Cumberland County
<b>Location of Court:</b>	Cumberland County, Pennsylvania
<b>Docket/Case #:</b>	2021-07439
<b>Judgment/Lien Outstanding?</b>	Yes

### Disclosure 2 of 8

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	INTERNAL REVENUE SERVICE
<b>Judgment/Lien Amount:</b>	\$114,398.53
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	11/16/2020
<b>Date Individual Learned:</b>	12/14/2020
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	Collier County, Florida
<b>Location of Court:</b>	Collier County, Florida
<b>Docket/Case #:</b>	5954542
<b>Judgment/Lien Outstanding?</b>	Yes

**Broker Statement** RR has not receive notification from IRS regarding this matter. It is believed that this relates to certain previously disclosed lien(s). Instructed by FINRA Disclosure review to research item and provide supporting documentation.

### Disclosure 3 of 8

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	STATE OF PA DEPT OF REVENUE
<b>Judgment/Lien Amount:</b>	\$5,193.98
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	07/25/2019
<b>Date Individual Learned:</b>	08/09/2019



**Type of Court:** State Court  
**Name of Court:** Court of Common Pleas of Montgomery County, PA  
**Location of Court:** Montgomery County, Pennsylvania  
**Docket/Case #:** 2019-61996  
**Judgment/Lien Outstanding?** Yes

**Disclosure 4 of 8**

**Reporting Source:** Individual  
**Judgment/Lien Holder:** INTERNAL REVENUE SERVICE  
**Judgment/Lien Amount:** \$41,318.09  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 07/30/2019  
**Date Individual Learned:** 08/02/2019  
**Type of Court:** State Court  
**Name of Court:** Prothonotary of Montgomery County  
**Location of Court:** Montgomery County, Pennsylvania  
**Docket/Case #:** 370775219  
**Judgment/Lien Outstanding?** Yes

**Disclosure 5 of 8**

**Reporting Source:** Individual  
**Judgment/Lien Holder:** State of Pennsylvania  
**Judgment/Lien Amount:** \$4,035.29  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 08/10/2018  
**Date Individual Learned:** 08/27/2018  
**Type of Court:** State Court  
**Name of Court:** State Court of Common Pleas  
**Location of Court:** Montgomery County, Pennsylvania  
**Docket/Case #:** 2018-62931  
**Judgment/Lien Outstanding?** Yes

**Disclosure 6 of 8**

**Reporting Source:** Individual  
**Judgment/Lien Holder:** Pennsylvania Department of Revenue  
**Judgment/Lien Amount:** \$6,545.27  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 09/08/2017



**Date Individual Learned:** 09/18/2017  
**Type of Court:** State Court  
**Name of Court:** Court of Common Pleas  
**Location of Court:** Montgomery County PA  
**Docket/Case #:** 2017-62424  
**Judgment/Lien Outstanding?** Yes

**Disclosure 7 of 8**

**Reporting Source:** Individual  
**Judgment/Lien Holder:** IRS  
**Judgment/Lien Amount:** \$221,907.91  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 09/07/2016  
**Date Individual Learned:** 09/26/2016  
**Type of Court:** Federal Court  
**Name of Court:** Montgomery Co. Federal Court  
**Location of Court:** Norristown PA  
**Judgment/Lien Outstanding?** Yes  
**Status Date:** 08/17/2017  
**Resolution:** Released

**Disclosure 8 of 8**

**Reporting Source:** Individual  
**Judgment/Lien Holder:** COMMONWEALTH OF PA  
**Judgment/Lien Amount:** \$4,825.07  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 03/17/2014  
**Date Individual Learned:** 04/08/2014  
**Type of Court:** State Court  
**Name of Court:** STATE OF PA  
**Location of Court:** MONTGOMERY COUNTY PA  
**Docket/Case #:** 60767  
**Judgment/Lien Outstanding?** Yes



## End of Report

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