



## IAPD Report

# KENWARD LAVON STONE

CRD# 1198779

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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

### KENWARD LAVON STONE (CRD# 1198779)

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 **09/05/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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>IA</b>	SECURITIES AMERICA ADVISORS, INC.	110518	CINCINNATI, OH	07/27/2020 - 06/14/2024
<b>B</b>	SECURITIES AMERICA, INC.	10205	CINCINNATI, OH	07/17/2020 - 06/14/2024
<b>IA</b>	INVESTACORP ADVISORY SERVICES INC	109011	CINCINNATI, OH	03/25/1999 - 07/20/2020

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
Customer Dispute	1
Judgment/Lien	20



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

### Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**  
Main Address: 18700 N. HAYDEN ROAD  
SUITE 255  
SCOTTSDALE, AZ 85255  
Firm ID#: 23131

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	06/14/2024
<b>B</b>	FINRA	Investment Banking Representative	Approved	06/14/2024
<b>B</b>	Arizona	Agent	Approved	06/14/2024
<b>B</b>	California	Agent	Approved	06/14/2024
<b>B</b>	Florida	Agent	Approved	06/14/2024
<b>B</b>	Georgia	Agent	Approved	06/14/2024
<b>B</b>	Indiana	Agent	Approved	06/14/2024
<b>B</b>	Kentucky	Agent	Approved	06/14/2024
<b>B</b>	Maryland	Agent	Approved	06/14/2024
<b>B</b>	Minnesota	Agent	Approved	06/14/2024
<b>B</b>	New York	Agent	Approved	06/14/2024
<b>B</b>	North Carolina	Agent	Approved	06/14/2024
<b>B</b>	Ohio	Agent	Approved	06/14/2024



### Qualifications

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	06/14/2024
B Pennsylvania	Agent	Approved	06/14/2024
B Texas	Agent	Approved	06/14/2024
IA Texas	Investment Adviser Representative	Restricted Approval	06/14/2024

### Branch Office Locations

**OSAIC WEALTH, INC.**  
10101 ALLIANCE ROAD  
SUITE 180  
CINCINNATI, OH 45242



## 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, 3 general industry/product exams, and 1 state securities law exam.**




#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.


#### General Industry/Product Exams

Exam	Category	Date
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 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/19/1983

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	12/21/1983
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### 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
IA	07/27/2020 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	CINCINNATI, OH
B	07/17/2020 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	CINCINNATI, OH
IA	03/25/1999 - 07/20/2020	INVESTACORP ADVISORY SERVICES INC	CRD# 109011	CINCINNATI, OH
B	07/27/1992 - 07/17/2020	INVESTACORP, INC.	CRD# 7684	CINCINNATI, OH
B	10/30/1991 - 08/11/1992	SECURITIES TRADING, INC	CRD# 24162	CROTON-ON-HUDSON,
B	12/08/1983 - 02/12/1991	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

### 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
06/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	CINCINNATI, OH, United States
03/1991 - Present	STONE FINANCIAL	OTHER - FINANCIAL PLANNER	N	CINCINNATI, OH, United States
07/2020 - 06/2024	SECURITIES AMERICA, INC.	Registered Rep	Y	CINCINNATI, OH, United States
07/2020 - 06/2024	Securities America Advisors	IAR	Y	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



## Registration & Employment History



### 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.

#### 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 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 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
Customer Dispute	1
Judgment/Lien	20

### 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 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	INVESTACORP, INC.
<b>Allegations:</b>	CLIENT UNHAPPY WITH THE PURCHASE OF A VARIABLE UNIVERSAL LIFE POLICY AND WANTED HIS MONEY BACK.
<b>Product Type:</b>	Annuity(ies) - Variable
<b>Other Product Type(s):</b>	N/A
<b>Alleged Damages:</b>	\$6,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	07/26/1999
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	09/23/2000
<b>Settlement Amount:</b>	\$3,500.00
<b>Individual Contribution Amount:</b>	\$3,500.00
<b>Broker Statement</b>	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 LETER I FOUND OUT THAT HE WOULD ONLY BE ABLE TO GET 90% OF SURRENDER CHARGE NOT CASH VALUE.



### Judgment/Lien

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

#### Disclosure 1 of 20

**Reporting Source:** Individual  
**Judgment/Lien Holder:** State of Ohio  
**Judgment/Lien Amount:** \$28,927.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 04/07/2022  
**Date Individual Learned:** 04/15/2024  
**Type of Court:** State Court  
**Name of Court:** Hamilton Common Pleas Court - Cincinnati  
**Location of Court:** Cincinnati, OH  
**Docket/Case #:** 10175830  
**Judgment/Lien Outstanding?** Yes

#### Disclosure 2 of 20

**Reporting Source:** Individual  
**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 3 of 20

**Reporting Source:** Individual  
**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 4 of 20

**Reporting Source:** Individual  
**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 5 of 20

**Reporting Source:** Individual  
**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 6 of 20

**Reporting Source:** Individual  
**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 7 of 20**

**Reporting Source:** Individual  
**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 8 of 20**

**Reporting Source:** Individual  
**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 9 of 20**

**Reporting Source:** Individual  
**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 10 of 20**

**Reporting Source:** Individual  
**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 11 of 20**

**Reporting Source:** Individual  
**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 12 of 20

**Reporting Source:** Individual  
**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 13 of 20

**Reporting Source:** Individual  
**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 14 of 20**

**Reporting Source:** Individual  
**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 15 of 20**

**Reporting Source:** Individual  
**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 16 of 20**

**Reporting Source:** Individual  
**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 17 of 20

**Reporting Source:** Individual  
**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 18 of 20

**Reporting Source:** Individual  
**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 19 of 20**

**Reporting Source:** Individual  
**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.

**Disclosure 20 of 20**

**Reporting Source:** Individual  
**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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