



IAPD Report

JAMES MICHAEL TIERNEY JR

CRD# 1219258

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

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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

JAMES MICHAEL TIERNEY JR (CRD# 1219258)

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 **09/03/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROBERTSON STEPHENS	CRD# 289977	06/22/2018

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **4** 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	ROBERTSON STEPHENS ADVISORS	166736	SAN FRANCISCO, CA	09/26/2013 - 01/12/2018
IA	PRESIDIO CAPITAL ADVISORS LLC	108531	SAN FRANCISCO, CA	01/07/2005 - 12/10/2013
B	PRESIDIO CAPITAL ADVISORS, LLC	116284	SAN FRANCISCO, CA	01/06/2005 - 09/03/2010

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	3
Judgment/Lien	2



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 **4** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ROBERTSON STEPHENS**
Main Address: 455 MARKET STREET
STE. 1450
SAN FRANCISCO, CA 94105-2442
Firm ID#: 289977

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	06/22/2018
	Florida	Investment Adviser Representative	Approved	11/07/2018
	New Jersey	Investment Adviser Representative	Approved	10/29/2018
	New York	Investment Adviser Representative	Approved	09/03/2021

Branch Office Locations

ROBERTSON STEPHENS
West Palm Beach, FL



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, 2 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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 National Commodity Futures Examination (S3)	Series 3	05/04/1994
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 General Securities Representative Examination (S7)	Series 7	12/17/1983
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State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	09/08/1994
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 Uniform Securities Agent State Law Examination (S63)	Series 63	01/03/1984
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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	09/26/2013 - 01/12/2018	ROBERTSON STEPHENS ADVISORS	CRD# 166736	SAN FRANCISCO, CA
IA	01/07/2005 - 12/10/2013	PRESIDIO CAPITAL ADVISORS LLC	CRD# 108531	SAN FRANCISCO, CA
B	01/06/2005 - 09/03/2010	PRESIDIO CAPITAL ADVISORS, LLC	CRD# 116284	SAN FRANCISCO, CA
IA	09/01/2005 - 12/31/2005	TIERNEY CAPITAL MANAGEMENT	CRD# 134280	SAN FRANCISCO, CA
B	02/02/2004 - 12/31/2004	CARIS & COMPANY, INC.	CRD# 104235	SAN DIEGO, CA
B	08/15/2003 - 10/10/2003	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
B	10/01/1997 - 09/16/2003	BANC OF AMERICA SECURITIES LLC	CRD# 26091	NEW YORK, NY
B	07/23/1996 - 10/01/1997	MONTGOMERY SECURITIES	CRD# 4357	SAN FRANCISCO, CA
B	12/15/1994 - 07/16/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	11/10/1992 - 12/22/1994	SALOMON BROTHERS MUNICIPALS INC	CRD# 28940	
B	03/14/1991 - 12/22/1994	SALOMON BROTHERS INC.	CRD# 740	NEW YORK, NY
B	11/26/1984 - 02/27/1991	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	12/21/1983 - 11/15/1984	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	

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
01/2018 - Present	Robertson Stephens Wealth Management	Investment Adviser Representative	Y	San Francisco, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2013 - 12/2017	Robertson Stephens Advisors	Investment Advisor	Y	San Francisco, CA, 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.

No information reported.



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	3
Judgment/Lien	2

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BANC OF AMERICA SECURITIES, LLC
Allegations:	WRITTEN CUSTOMER COMPLAINT RECEIVED PERTAINING TO SUITABILITY OF INVESTMENTS, LACK OF COMMUNICATION DUE TO CHANGE OF PRIVATE CLIENT ADVISOR AND FRUSTRATION IN OBTAINING THE STATUS AND VALUE OF 3 DIFFERENT INVESTMENTS IN CLIENT ACCOUNT.
Product Type:	Debt-Asset Backed
Alleged Damages:	\$883,672.71
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/01/2003
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	06/17/2004
Settlement Amount:	



Individual Contribution

Amount:

Arbitration Information

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

Docket/Case #: 04-04278

Date Notice/Process Served: 06/23/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/21/2005

Monetary Compensation Amount: \$400,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BANC OF AMERICA SECURITIES, LLC

Allegations: WRITTEN CUSTOMER COMPLAINT RECEIVED PERTAINING TO SUITABILITY OF INVESTMENTS, LACK OF COMMUNICATION DUE TO CHANGE OF PRIVATE CLIENT ADVISER AND FRUSTRATION IN OBTAINING THE STATUS AND VALUE OF 3 DIFFERENT INVESTMENTS IN CLIENT ACCOUNT.

Product Type: Debt-Asset Backed

Alleged Damages: \$883,672.71

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/01/2003

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 06/17/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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



Docket/Case #: 04-04278
Date Notice/Process Served: 06/23/2004
Arbitration Pending? No
Disposition: Settled
Disposition Date: 11/21/2005
Monetary Compensation Amount: \$400,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 3

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: LEHMAN BROTHERS INC.
Allegations: MISREPRESENTATION; BRCH OF FIDUCIARY DT
Product Type:
Alleged Damages: \$41,052.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #94-00107
Date Notice/Process Served: 02/14/1994
Arbitration Pending? No
Disposition: Settled
Disposition Date: 09/19/1995
Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: LEHMAN BROTHERS INC.
Allegations: NEGLIGENCE, BREACH OF AGREEMENT-ALLEGED DAMAGES OF \$41,032.00
Product Type:
Alleged Damages: \$41,052.00

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No



Status: Arbitration/Reparation
Litigation

Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** National Association of Securities Dealers, Inc.; 94-00107

Date Notice/Process Served: 02/14/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/19/1995

**Monetary Compensation
Amount:** \$14,000.00

**Individual Contribution
Amount:**

Civil Litigation Information

Court Details: SUPREME; RICHMOND COUNTY, NY; 11770/93

Date Notice/Process Served: 06/09/1993

Litigation Pending? No

Disposition: Judgment (other than monetary)

Disposition Date:

Firm Statement MATTER WAS SETTLED FOR \$14,000.00
CONTACT: STEVE VINCENT(212)526-3800

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** LEHMAN BROTHERS INC.

Allegations: ALLEGED DAMAGES OF \$41,052. MATTER RELATING
TO POLLY PECK, A BANKRUPT COMPANY AS A RESULT OF FRAUDULENT
FINANCIAL DOCUMENT FILINGS. SETTLED FOR NUISANCE VALUE BY
SHEARSON LEHMAN BROS. WITHOUT BROKER AUTHORIZATION.

Product Type:

Alleged Damages: \$41,052.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation
Litigation

**Status Date:****Settlement Amount:****Individual Contribution Amount:****Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-00107

Date Notice/Process Served: 02/14/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/19/1995

Monetary Compensation Amount: \$14,000.00

Individual Contribution Amount:**Civil Litigation Information**

Court Details: SUPREME; RICHMOND COUNTY, NY; 11770/93

Date Notice/Process Served: 06/09/1993

Litigation Pending? No

Disposition: Judgment (other than monetary)

Disposition Date:

Broker Statement MATTER SETTLED FOR \$14,000.
Not Provided

Disclosure 3 of 3

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN HUTTON

Allegations: CUSTOMER V. MEMBER FIRM AND REGISTERED REPRESENTATIVE FOR ALLEGED UNSUITABLE INVESTMENTS IN COMMON STOCKS, CHURNING AND VIOLATION OF THE SEC ACT OF 1934 SEC 10(B) AND RULE 10(B)(5). CUSTOMER ALLEGES FIRM FAILED TO SUPERVIS BROKER'S RECOMMENDATION OF SPECULATIVE STOCKS AND BREACHED ITS FIDUCIARY DUTY TO CUSTOMER.

Product Type:

Alleged Damages: \$1,620,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE - CASE #1990-001410

Date Notice/Process Served: 05/31/1990



Arbitration Pending? No

Disposition: Other

Disposition Date: 10/11/1991

Disposition Detail: AWARD AGAINST PARTY
THE UNDERSIGNED ARBITRATORS HAVE DECIDED
AND DETERMINED IN FULL AND FINAL SETTLEMENT OF ALL CLAIMS
BETWEEN THE PARTIES THAT: RESPONDENT, SHEARSON LEHMAN
HUTTON
SHALL PAY TO CLAIMANT IRVING KURTZ THE SUM OF \$196,994.78 (ONE
HUNDRED NINETY-SIX THOUSAND NINE HUNDRED AND NINETY-FOUR AN
78/100). RESPONDENT TIERNEY SHALL PAY TO CLAIMANT IRVING KURTZ
THE SUM OF \$16,517.53 (SIXTEEN THOUSAND FIVE HUNDRED AND
SEVENTEEN AND 53/100). ARBITRATION COSTS PAYABLE TO THE NEW
YORK STOCK EXCHANGE ARE ASSESSED AGAINST RESPONDENT
SHEARSON
LEHMAN HUTTON

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN HUTTON

Allegations: UNSUITABILITY OF INVESTMENTS, CHURNING,
FRAUD, RICO, FAILURE TO SUPERVISE, NEGLIGENCE, FAILURE TO
DISCLOSE RISK AND BREACH OF FIDUCIARY DUTY. SEEKING
COMPENSATORY DAMAGES OF \$898,204.56 PLUS PUNITIVE DAMAGES.

Product Type:

Alleged Damages: \$1,620,000.00

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.: New York Stock Exchange; 1990-001410

Date Notice/Process Served: 05/31/1990

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/11/1991

Monetary Compensation Amount: \$196,994.78



Individual Contribution Amount: \$16,517.53

Firm Statement A NYSE PANEL AWARDED CLAIMANT A TOTAL AMOUNT OF \$213,512.31; \$196,994.78 PAYABLE BY SLB AND \$16,517.53 PAYABLE BY FORMER FC MICHAEL TIERNEY.
NO OPTIONS OR COMMODITIES.
CONTACT PERSON: VICTOR MACHCINSKI - (212)464-7203

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN HUTTON

Allegations: UNSUITABLE INVESTMENT, CHURNING, FAILURE TO SUPERVISE AND BREACH OF FIDUCIARY DUTIES ALLEGATIONS OF \$1,620,000.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$1,620,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 10/11/1991

Settlement Amount: \$196,994.78

Individual Contribution Amount: \$16,517.53

Arbitration Information

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

Docket/Case #: UNKNOWN

Date Notice/Process Served: 05/31/1990

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/11/1991

Monetary Compensation Amount: \$196,994.78

Individual Contribution Amount: \$16,517.53

Broker Statement SHEARSON LEHMAN PAID CLAIMANT \$198,994.78
APPLICANT PAID CLAIMANT \$16,517.53
[CUSTOMER] WAS A WEALTHY (NET WORTH 6MM), SOPHISTICATED (FORMERLY OWNED A STEEL CO.), RETIREE WHO HAD EXPRESSED INTEREST IN PURSUING AN INVESTMENT STRATEGY OF CAPITAL APPRECIATION. THROUGH THE PURCHASE . THROUGH THE



PURCHASE OF COMMON STOCKS. THERE WERE NO FUTURES OR OPTION TRANSACTIONS IN HIS ACCOUNT. [CUSTOMER] AND I SPOKE TO EACH OTHER EVERY DAY. THERE WAS NO DISCRETION TAKEN, EVERY TRANSACTION, FOR 3 YEARS (THE TERM OF THE ACCOUNT), WAS VERBALLY APPROVED AND CONFIRMED. THE [CUSTOMER] ACCOUNT HAD SHOWN PROFITS IN EXCESS OF \$200,000 PRIOR TO OCT '87. IMMEDIATELY AFTER THE OCT '87 CRASH [CUSTOMER], AGAINST ADVICE, SOLD HIS EQUITY HOLDINGS AND TOOK A SIGNIFICANT LOSS IN EXCESS OF \$300,000. THE LOSSES WERE NOT THE EFFECT OF INVESTMENT MALPRACTICE.



Judgment/Lien

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

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$463,696.00
Judgment/Lien Type:	Tax
Date Filed:	08/22/2005
Type of Court:	Federal Court
Name of Court:	FEDERAL COURT
Location of Court:	USA
Docket/Case #:	20120049602
Judgment/Lien Outstanding?	Yes
Broker Statement	NONE

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$145,373.00
Judgment/Lien Type:	Tax
Date Filed:	08/14/2012
Type of Court:	Federal Court
Name of Court:	FEDERAL COURT
Location of Court:	USA
Docket/Case #:	20050063529
Judgment/Lien Outstanding?	Yes
Broker Statement	NONE



End of Report

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