# IAPD Report

## JOE PERCY MEDRANO

CRD# 1393377

**Section Title** | **Page(s)**

# 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

## JOE PERCY MEDRANO (CRD# 1393377)

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 **01/08/2026**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| IA | GLOBAL VIEW CAPITAL MANAGEMENT LLC | CRD# 158292 | 12/08/2021 |

## QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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 | 5280 CAPITAL | 167460 | DENVER, CO | 01/02/2020 - 12/08/2021 |
| IA | WESTERN WEALTH MANAGEMENT LLC | 283545 | GOLDEN, CO | 06/22/2016 - 01/12/2018 |
| B | LPL FINANCIAL LLC | 6413 | GOLDEN, CO | 01/05/2006 - 01/12/2018 |

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 | 2 |
| Termination | 1 |
| Judgment/Lien | 6 |

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

### Employment 1 of 1

Firm Name: **GLOBAL VIEW CAPITAL MANAGEMENT LLC**

Main Address: N14 W23833 STONE RIDGE DR - SUITE 350
WAUKESHA, WI 53188

Firm ID#: 158292

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| IA | Colorado | Investment Adviser Representative | Approved | 12/08/2021 |

### Branch Office Locations

**GLOBAL VIEW CAPITAL MANAGEMENT LLC**
DOWNTOWN DENVER OFFICE EVOLUTION
1624 MARKET STREET, SUITE 202
DENVER, CO 80202

 

# 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 2 state securities law exams.**

### Principal/Supervisory Exams

| | Exam | Category | Date |
|---|---|---|---|
| | No information reported. | | |

### General Industry/Product Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Securities Industry Essentials Examination (SIE) | SIE | 01/12/2018 |
| B | General Securities Representative Examination (S7) | Series 7 | 05/20/1999 |
| B | Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 01/04/1999 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA | Uniform Investment Adviser Law Examination (S65) | Series 65 | 01/19/2001 |
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 03/01/2000 |

## PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

 

## 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 | 01/02/2020 - 12/08/2021 | 5280 CAPITAL | CRD# 167460 | DENVER, CO |
| IA | 06/22/2016 - 01/12/2018 | WESTERN WEALTH MANAGEMENT LLC | CRD# 283545 | GOLDEN, CO |
| B | 01/05/2006 - 01/12/2018 | LPL FINANCIAL LLC | CRD# 6413 | GOLDEN, CO |
| IA | 01/05/2006 - 09/07/2016 | LPL FINANCIAL LLC | CRD# 6413 | GOLDEN, CO |
| IA | 08/05/2015 - 06/22/2016 | WESTERN WEALTH MANAGEMENT LLC | CRD# 167344 | GREENWOOD VILLAGE |
| IA | 10/16/2002 - 12/31/2005 | MUTUAL SERVICE CORPORATION | CRD# 4806 | DENVER, CO |
| B | 10/01/2002 - 12/31/2005 | MUTUAL SERVICE CORPORATION | CRD# 4806 | BOSTON, MA |
| IA | 06/08/2001 - 09/24/2002 | FFP ADVISORY SERVICES INC | CRD# 110778 | DENVER, CO |
| B | 04/11/2001 - 09/24/2002 | FFP SECURITIES, INC. | CRD# 16337 | CHESTERFIELD, MO |
| B | 01/03/2001 - 05/02/2001 | SUNAMERICA SECURITIES, INC. | CRD# 20068 | PHOENIX, AZ |
| B | 01/05/1999 - 12/22/2000 | FFP SECURITIES, INC. | CRD# 16337 | CHESTERFIELD, MO |
| B | 10/27/1987 - 10/10/1988 | ANCHOR NATIONAL FINANCIAL SERVICES, INC. | CRD# 5774 | |
| B | 07/09/1986 - 10/28/1987 | NEW ENGLAND SECURITIES CORPORATION | CRD# 615 | |
| B | 07/24/1985 - 07/22/1986 | ANCHOR NATIONAL FINANCIAL SERVICES, INC. | CRD# 5774 | |

User Guidance

www.adviserinfo.sec.gov

# Registration & Employment History

## 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 |
|---|---|---|---|---|
| 01/2026 - Present | H & R BLOCK | TAX PREPARER | N | BOULDER, CO, United States |
| 10/2021 - Present | GLOBAL VIEW CAPITAL ADVISORS, LLC | INDEPEDENT CONTRACTOR | Y | WAUKESHA, WI, United States |
| 10/2021 - Present | GLOBAL VIEW CAPITAL INSURANCE SERVICES, LLC | INSURANCE AGENT | Y | WAUKESHA, WI, United States |
| 10/2021 - Present | GLOBAL VIEW CAPITAL MANAGEMENT, LLC | INVESTMENT ADVISER REPRESENTATIVE | Y | WAUKESHA, WI, United States |
| 12/2019 - 10/2021 | 5280 CAPITAL a/k/a COMMONWEALTH INVESTMENT ADVISORS, LLC | INVESTMENT ADVISER REPRESENTATIVE | Y | DENVER, CO, United States |
| 09/2019 - 12/2019 | UMEMPLOYED | UNEMPLOYED | N | Dever, CO, United States |
| 01/2018 - 08/2019 | GREENSTAR | MASS TRANSFER | Y | GOLDEN, CO, United States |
| 08/2015 - 01/2018 | WESTERN WEALTH MANAGEMENT LLC | INVESTMENT ADVISER REPRESENTATIVE | Y | GOLDEN, CO, United States |
| 01/2006 - 01/2018 | LPL FINANCIAL, LLC | REGISTERED REPRESENTATIVE | Y | GREENWOOD VILLAGE, CO, 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] GLOBAL VIEW CAPITAL ADVISORS, LLC, AN AFFILIATE OF GLOBAL VIEW CAPITAL MANAGEMENT, LLC; YES-INVESTMENT RELATED; HEADQUARTERS ADDRESS: N14W23833 STONE RIDGE DRIVE, SUITE 350, WAUKESHA, WI 53188; NATURE: MARKETING FIRM FOR INSURANCE AND ADVISORY SERVICES; POSITION: INDEPENDENT CONTRACTOR; AFFILIATION DATE: OCTOBER 2021; APPROX. 160 ADVISORY HRS/MONTH DURING TRADING HOURS; APPROX. 120 ADVISORY HRS/MONTH OUTSIDE TRADING HOURS; RESPONSIBILITIES: MARKETING, EDUCATION AND SALES OF GVCM ADVISORY SERVICES AND GVCI INSURANCE SERVICES. GVCI HOURS LISTED SEPARATELY IF APPLICABLE.

[2] GLOBAL VIEW CAPITAL INSURANCE SERVICES, LLC, AN AFFILIATE OF GLOBAL VIEW CAPITAL ADVISORS, LLC; YES-INVESTMENT RELATED; HEADQUARTERS ADDRESS: N14W23833 STONE RIDGE DRIVE, SUITE 350, WAUKESHA, WI 53188; NATURE: INSURANCE; POSITION: INSURANCE AGENT; STARTED: OCTOBER 2021; APPROX. 35 HRS/MONTH DURING TRADING HOURS; APPROX. 10 HRS/MONTH OUTSIDE TRADING HOURS; RESPONSIBILITIES: MARKETING, EDUCATION AND SALES OF FIXED INSURANCE PRODUCTS FOR MULTIPLE PROVIDER COMPANIES TO PROSPECTIVE CLIENTS AND EXISTING CLIENTS WITH FOCUS ON SALE OF LIFE, LONG TERM CARE AND DISABILITY INSURANCE

 

# Registration & Employment History

## OTHER BUSINESS ACTIVITIES

PRODUCTS AND FIXED ANNUITIES.

[3] EXPERIOR FINANCIAL GROUP, INC.; YES-INVESTMENT RELATED; HEADQUARTERS ADDRESS: 300 AIRBORNE PARKWAY, SUITE 208, CHEEKTOWAGO, NY 14225; NATURE: INSURANCE; POSITION: INSURANCE AGENT; STARTED: 02.21.2023; APPROX. 40 HRS/MONTH DURING TRADING HOURS; APPROX. 20 HRS/MONTH OUTSIDE TRADING HOURS; RESPONSIBILITIES: MARKET, EDUCATE AND SELL LIFE PRODUCTS INCLUDING FIXED AND INDEXED ANNUITIES FOR MULTIPLE PROVIDER COMPANIES AND SERVICE INSURANCE CLIENTS.

[4] FEDERAL EMPLOYEE WOMEN'S ASSOCIATION (FEW); NOT INVESTMENT RELATED; NATURE: ORGANIZATION TO SUPPORT WOMEN IN GOVERMENT; ADDRESS: 460 S. MARION PARKWAY, UNIT 2055, DENVER, CO 80209; STARTED: 08.01.2023; APPROX. 6 HRS/MONTH DURING TRADING; APPROX. 6 HRS/MONTH OUTSIDE TRADING HOURS; RESPOSIBILITIES: RECRUIT MEMBERS, ORGANIZED EDUCATIONAL EVENTS, CAREER ADVANCEMENT, PROMOTE DIVERSITY IN WORKPLACE AND SOCIAL EVENTS.

[5] DRIVE FOR LYFT; NOT INVESTMENT RELATED; ADDRESS: 460 S. MARION PARKWAY #2055, DENVER, CO 80290; NATURE: TRANSPORTATION SERVICE; POSITION: DRIVER: STARTED: 03.12.2024; APPROX. 15 HRS/MO DURING TRADING HOURS; APPROX. 20 HRS/MO OUTSIDE TRADING HOURS; RESPONSIBILIITES: DRIVER DELIVERING PASSENGERS TO SPECIFIC ADDRESS OF DESTINATION.

[6] UBER: NOT INVESTMENT RELATED; ADDRESS: 460 S. MARION PARKWAY #2055, DENVER, CO 80290;NATURE: TRANSPORTATION SERVICE; POSITION: DRIVER: STARTED: 03.13.2024; APPROX. 15 HRS/MO DURING TRADING HOURS; APPROX. 20 HRS/MO OUTSIDE TRADING HOURS; RESPONSIBILIITES: DRIVER DELIVERING PASSENGERS TO SPECIFIC ADDRESS OF DESTINATION.

[7] H & R BLOCK; NOT INVESTMENT RELATED; ADDRESS: 1790 30TH STREET, SUITE 180, BOULDER, CO 80301;NATURE: TAX PREPARATION SERVICE; POSITION: TAX PREPARER; STARTED: 01.19.2026; APPROX. 60 HRS/MO DURING TRADING HOURS; APPROX. 30 HRS/MO OUTSIDE TRADING HOURS; RESPONSIBILITIES: PREPARE TAXES FOR INDIVIDUALS AND SMALL BUSINESSES.

# 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 | 2 |
| Termination | 1 |
| Judgment/Lien | 6 |

### 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 2

| | |
|---|---|
| **Reporting Source:** | Regulator |
| **Regulatory Action Initiated By:** | Colorado Division of Securities |
| **Sanction(s) Sought:** | Other: Consent Licensing Order |
| **Date Initiated:** | 10/19/2021 |
| **Docket/Case Number:** | 2019-CDS-034 |
| **URL for Regulatory Action:** | |
| **Employing firm when activity occurred which led to the regulatory action:** | N/A |
| **Product Type:** | No Product |
| **Allegations:** | Medrano was previously licensed as an investment adviser representative with Commonwealth Investment Advisors, LLC, CRD No. 167460 ("Commonwealth") and was subject to restrictions as listed in Licensing Order NO. 2019-CDS-034 (the "2020 Order"). The 2020 Order was amended when Medrano left Commonwealth and sought to be licensed with Global View Capital Management, LTD., CRD No. 158292.<br><br>Applicant previously subject to a Cease and Desist Action by the Colorado Division of Securities for unlicensed activity as an investment adviser representative. See Colorado Case Number 2019-CDS-026. |
| **Current Status:** | Final |

| | |
|---|---|
| **Resolution:** | Stipulation and Consent |
| **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:** | 12/07/2021 |
| **Sanctions Ordered:** | Other: The applicant is subject to heightened supervision for the remaining period of time left under Consent Licensing Order No. 2019-CDS-034 dated January 2, 2020. The Amended Consent Licensing Order will expire January 2, 2023. |
| **Regulator Statement** | Restrictions imposed by Amended Order Number 2019-CDS-034 dated December 7, 2021 were effective until January 2, 2023. Licensee is no longer under licensing restrictions. |

### Disclosure 2 of 2

| | |
|---|---|
| **Reporting Source:** | Regulator |
| **Regulatory Action Initiated By:** | Colorado |
| **Sanction(s) Sought:** | Cease and Desist |
| **Date Initiated:** | 08/29/2019 |
| **Docket/Case Number:** | 2019-CDS-026 |
| **URL for Regulatory Action:** | https://drive.google.com/file/d/0B0n6H5fquC-tSG9fYVdWeUdfREVqVUJTcTdlSXhkTlFuRkZF/view |
| **Employing firm when activity occurred which led to the regulatory action:** | Greenstar Advisors, LLC (CRD# 289373) |
| **Product Type:** | No Product |
| **Allegations:** | The staff of the Colorado Division of Securities alleged that Medrano violated 11-51-401(1.5), C.R.S., by offering investment advice and soliciting clients without being licensed or exempt from licensing. |
| **Current Status:** | Final |
| **Resolution:** | Stipulation and Consent |
| **Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** | Yes |
| **Resolution Date:** | 08/29/2019 |
| **Sanctions Ordered:** | Cease and Desist |
| **Regulator Statement** | Medrano admitted to offering investment advice and soliciting clients without being licensed or exempt from licensing, and stipulated to the entry of the cease and desist order. |

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Regulatory Action Initiated By:** | Colorado Division of Securities |
| **Sanction(s) Sought:** | Cease and Desist |
| **Date Initiated:** | 08/28/2019 |
| **Docket/Case Number:** | 2019-CDS-026 |
| **Employing firm when activity occurred which led to the regulatory action:** | LPL and Greenstar |
| **Product Type:** | No Product |
| **Allegations:** | Functioning as an investment adviser while not properly registered. |
| **Current Status:** | Final |
| **Resolution:** | Stipulation and Consent |
| **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:** | 08/29/2019 |
| **Sanctions Ordered:** | Cease and Desist<br>Other: Cease and desist from engaging in any investment adviser representative activity until properly licensed. |

## 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 1

| | |
|---|---|
| **Reporting Source:** | Firm |
| **Firm Name:** | LPL FINANCIAL LLC |
| **Termination Type:** | Voluntary Resignation |
| **Termination Date:** | 01/09/2018 |
| **Allegations:** | Violation of Firm policy regarding discretionary trading. |
| **Product Type:** | Mutual Fund |

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Firm Name:** | LPL FINANCIAL LLC |
| **Termination Type:** | Voluntary Resignation |
| **Termination Date:** | 01/09/2018 |
| **Allegations:** | Violation of Firm policy regarding discretionary trading. |
| **Product Type:** | Mutual Fund |

## Judgment/Lien

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

### Disclosure 1 of 6

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Judgment/Lien Holder:** | Department of Treasury - IRS |
| **Judgment/Lien Amount:** | $86,803.50 |
| **Judgment/Lien Type:** | Tax |
| **Date Filed with Court:** | 08/23/2017 |
| **Date Individual Learned:** | 10/14/2019 |
| **Type of Court:** | Federal Court |
| **Name of Court:** | US Federal Tax Court |
| **Location of Court:** | Denver County, Colorado |
| **Judgment/Lien Outstanding?** | Yes |
| **Broker Statement** | Making payments as agreed |

### Disclosure 2 of 6

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Judgment/Lien Holder:** | State of Colorado, Department of Revenue |
| **Judgment/Lien Amount:** | $15,138.00 |
| **Judgment/Lien Type:** | Tax |
| **Date Filed with Court:** | 03/30/2017 |
| **Date Individual Learned:** | 03/30/2017 |
| **Type of Court:** | State Court |
| **Name of Court:** | District Court, Denver County, Colorado |
| **Location of Court:** | Denver, Colorado |
| **Docket/Case #:** | D162017CV804690 |
| **Judgment/Lien Outstanding?** | Yes |
| **Broker Statement** | Making agreed upon payment to the State of Colorado Department of Revenue |

### Disclosure 3 of 6

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Judgment/Lien Holder:** | State of Colorado |
| **Judgment/Lien Amount:** | $3,027.00 |
| **Judgment/Lien Type:** | Tax |
| **Date Filed with Court:** | 02/13/2015 |
| **Date Individual Learned:** | 09/15/2015 |
| **Type of Court:** | State Court |

| | |
|---|---|
| **Name of Court:** | Denver County Recorder |
| **Location of Court:** | Denver County, CO |
| **Docket/Case #:** | 2015017607 |
| **Judgment/Lien Outstanding?** | Yes |
| **Broker Statement** | Firm has made a reasonable determination this is a reportable event. Advisor had no knowledge of the State of Colorado's actions. up until I received your email today I had no knowledge that the State of Colorado intended to and or filed the lien for I what presume is state income taxes. I do not know owe that in income taxes. Well I am not certain exactly what the lien is for at this point. |

### Disclosure 4 of 6

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Judgment/Lien Holder:** | IRS |
| **Judgment/Lien Amount:** | $4,988.23 |
| **Judgment/Lien Type:** | Tax |
| **Date Filed with Court:** | 07/23/2013 |
| **Type of Court:** | N/A |
| **Name of Court:** | N/A |
| **Location of Court:** | N/A |
| **Docket/Case #:** | N/A |
| **Judgment/Lien Outstanding?** | Yes |
| **Broker Statement** | APPLICANT STATES THAT HE RECEIVED NOTIFICATION ON 8/8/2013. |

### Disclosure 5 of 6

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Judgment/Lien Holder:** | IRS |
| **Judgment/Lien Amount:** | $1,374.00 |
| **Judgment/Lien Type:** | Tax |
| **Date Filed with Court:** | 01/24/2011 |
| **Type of Court:** | State Court |
| **Name of Court:** | DENVER COUNTY RECORDER |
| **Location of Court:** | DENVER, CO |
| **Docket/Case #:** | UNKNOWN |
| **Judgment/Lien Outstanding?** | Yes |
| **Broker Statement** | CURRENTLY OUTSTANDING AND MAKING MONTHLY PAYMENTS |

### Disclosure 6 of 6

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Judgment/Lien Holder:** | IRS |

| | |
|---|---|
| **Judgment/Lien Amount:** | $20,697.00 |
| **Judgment/Lien Type:** | Tax |
| **Date Filed with Court:** | 01/24/2011 |
| **Type of Court:** | State Court |
| **Name of Court:** | DENVER COUNTY RECORDER |
| **Location of Court:** | DENVER, CO |
| **Docket/Case #:** | UNKNOWN |
| **Judgment/Lien Outstanding?** | Yes |
| **Broker Statement** | CURRENTLY OUTSTANDING AND MAKING MONTHLY PAYMENTS |

## End of Report

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