



## IAPD Report

### AARON KURT PHILLIPS

CRD# 1779418

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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

### AARON KURT PHILLIPS (CRD# 1779418)

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 **06/11/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	INFINITY FINANCIAL SERVICES	CRD# 144302	08/16/2016
<b>IA</b>	INFINITY FINANCIAL SERVICES ADVISORY	CRD# 304981	04/01/2020

### QUALIFICATIONS

This representative is currently registered in **1** 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
<b>IA</b>	INFINITY FINANCIAL SERVICES	144302	OAKLAND, CA	08/15/2016 - 10/29/2020
<b>B</b>	FOOTHILL SECURITIES, INC.	1027	San Francisco, CA	05/20/2013 - 09/28/2016
<b>IA</b>	FIRST ALLIED SECURITIES, INC.	32444	SAN RAMON, CA	04/27/2010 - 07/02/2012

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	3
Customer Dispute	1
Judgment/Lien	3



## 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 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **INFINITY FINANCIAL SERVICES**

Main Address: 212 9TH STREET  
SUITE 202  
OAKLAND, CA 94607

Firm ID#: 144302

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	08/16/2016
 California	Agent	Approved	08/16/2016
 Idaho	Agent	Approved	02/12/2025
 Washington	Agent	Approved	05/24/2017

#### Branch Office Locations

##### **INFINITY FINANCIAL SERVICES**

513 Valencia Street Suite 3  
San Francisco, CA 94110

#### Employment 2 of 2

Firm Name: **INFINITY FINANCIAL SERVICES ADVISORY**

Main Address: 212 9TH STREET  
SUITE 202  
OAKLAND, CA 94607

Firm ID#: 304981

Regulator	Registration	Status	Date
 California	Investment Adviser Representative	Approved	04/01/2020
 Florida	Investment Adviser Representative	Approved	08/03/2020



## Qualifications

### Branch Office Locations

#### **INFINITY FINANCIAL SERVICES ADVISORY**

513 Valencia St.  
Suite 3  
San Francisco, CA 94110



## Qualifications

### PASSED INDUSTRY EXAMS

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

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

#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	08/30/1988

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/16/1988

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/20/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/02/1988

### 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	08/15/2016 - 10/29/2020	INFINITY FINANCIAL SERVICES	CRD# 144302	OAKLAND, CA
B	05/20/2013 - 09/28/2016	FOOTHILL SECURITIES, INC.	CRD# 1027	San Francisco, CA
IA	04/27/2010 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN RAMON, CA
B	06/13/2005 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN RAMON, CA
B	01/31/1996 - 06/13/2005	ROUND HILL SECURITIES, INC.	CRD# 35223	ALAMO, CA
B	06/21/1994 - 02/17/1995	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	04/05/1993 - 10/06/1994	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	02/25/1991 - 12/31/1991	WORLD INVEST CORPORATION	CRD# 17223	DEERFIELD BEACH, FL
B	01/19/1988 - 02/01/1989	POWER SECURITIES CORPORATION	CRD# 15527	

### 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
03/2020 - Present	INFINITY FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	OAKLAND, CA, United States
08/2016 - Present	INFINITY FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	OAKLAND, CA, United States
05/2015 - Present	TAX SERVICES	ASSOCIATE	N	SAN FRANCISCO, CA, United States
05/2013 - 08/2016	FOOTHILL SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN FRANCISCO, CA, 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.

1. Steven J Axelrod dba Tax Office SF, Not investment related, 513 Valencia Street #4 San Francisco, CA 94110, Tax preparation associate, January 2015, 120 hours per month, 25 during trading hours.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

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

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

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

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

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

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

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



## DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	3
Customer Dispute	1
Judgment/Lien	3

### 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 3

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	OHIO DIVISION OF SECURITIES
<b>Sanction(s) Sought:</b>	Denial
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	11/19/1999
<b>Docket/Case Number:</b>	99-482
<b>Employing firm when activity occurred which led to the regulatory action:</b>	ROUND HILL SECURITIES, INC.
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	THE DIVISION DETERMINED THAT THE APPLICANT WAS NOT OF GOOD BUSINESS REPUTE.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	11/19/1999
<b>Sanctions Ordered:</b>	Revocation/Expulsion/Denial
<b>Other Sanctions Ordered:</b>	ON NOVEMBER 19, 1999, THE OHIO DIVISION OF SECURITIES ISSUED A FINAL ORDER TO DENY APPLICANT FOR SECURITIES SALESMAN LICENSE,



DIVISION ORDER NO. 99-482, AGAINST AARON KURT PHILLIPS. THE DIVISION FOUND THAT PHILLIPS WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D)(G) AND (9) AND OHIO REVISED CODE 1707.19(A)(1).

**Sanction Details:**

ON NOVEMBER 19, 1999, THE OHIO DIVISION OF SECURITIES ISSUED A FINAL ORDER TO DENY APPLICANT FOR SECURITIES SALESMAN LICENSE, DIVISION ORDER NO. 99-482, AGAINST AARON KURT PHILLIPS. THE DIVISION FOUND THAT PHILLIPS WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D)(G) AND (9) AND OHIO REVISED CODE 1707.19(A)(1).

**Regulator Statement**

ON NOVEMBER 19, 1999, THE OHIO DIVISION OF SECURITIES ISSUED A FINAL ORDER TO DENY APPLICANT FOR SECURITIES SALESMAN LICENSE, DIVISION ORDER NO. 99-482, AGAINST AARON KURT PHILLIPS. THE DIVISION FOUND THAT PHILLIPS WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D)(G) AND (9) AND OHIO REVISED CODE 1707.19(A)(1).

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**Reporting Source:** Individual**Regulatory Action Initiated By:** OHIO DIVISION OF SECURITIES**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:** 11/19/1999**Docket/Case Number:** 99-482**Employing firm when activity occurred which led to the regulatory action:** ROUND HILL SECURITIES, INC.**Product Type:** Other**Other Product Type(s):****Allegations:** THE DIVISION DETERMINED THAT THE APPLICANT WAS NOT OF GOOD BUSINESS REPUTE.**Current Status:** Final**Resolution:** Order**Resolution Date:** 11/19/1999**Sanctions Ordered:** Censure**Other Sanctions Ordered:****Sanction Details:** N/A**Broker Statement** FINAL ORDER TO DENY APPLICATIONS FOR SECURITIES SALESMAN LICENSE.**Disclosure 2 of 3****Reporting Source:** Regulator**Regulatory Action Initiated By:** MICHIGAN CORPORATION AND SECURITIES BUREAU

**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:** 12/27/1989**Docket/Case Number:** UNKNOWN**Employing firm when activity occurred which led to the regulatory action:** POWER SECURITIES**Product Type:** No Product**Other Product Type(s):****Allegations:** WHILE EMPLOYED BY POWER SECURITIES, CORPORATIONS THESE AGENTS WERE FOUND TO HAVE TRANSACTED BUSINESS AS AGENTS WHEN UNREGISTERED IN THE STATE, AND TO HAVE SOLD UNREGISTERED, NONEXEMPT SECURITIES. AGENT ALSO FAILED TO PAY CIVIL PENALTY OF \$500**Current Status:** Final**Resolution:** Order**Resolution Date:** 12/27/1989**Sanctions Ordered:** Censure  
Revocation/Expulsion/Denial**Other Sanctions Ordered:****Sanction Details:** A FINAL ORDER TO REVOKE AND DENY EXEMPTIONS, REVOKE AGENT'S REGISTRATION, TO CENSURE, TO IMPOSE CIVIL PENALTY AND TO CEASE AND DESIST. A CIVIL PENALTY OF \$250.00 PER TRANSACTION WAS ASSESSED. AGENT REVOKED AND CIVIL PENALTY NOT PAID AS OF 1/20/93.

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**Reporting Source:** Individual**Regulatory Action Initiated By:** STATE OF MICHIGAN**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:** 12/27/1989**Docket/Case Number:****Employing firm when activity occurred which led to the regulatory action:****Product Type:** Equity - OTC**Other Product Type(s):****Allegations:** MY BROKER REGISTRATION EXPIRED AND I FAILED TO RENEW IT.**Current Status:** Final**Resolution:** Order



<b>Resolution Date:</b>	12/27/1989
<b>Sanctions Ordered:</b>	Revocation/Expulsion/Denial
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	MY REGISTRATION WAS REVOKED IN THE STATE OF MICHIGAN.
<b>Broker Statement</b>	TO THE BEST OF MY KNOWLEDGE THE STATE OF MICHIGAN REVOKED MY BROKER REGISTRATION BECAUSE I DID NOT RENEW IT AT THE APPROPRIATE DATE. I BELIEVE THE DATE WAS BETWEEN 1/89 AND 2/89. I FAILED RENEW MY REGISTRATION BECAUSE I HAD TERMINATED MY EMPLOYMENT WITH THE BROKER DEALER I WAS WORKING FOR AND I DID NOT SEE MY SELF CONTINUING ON IN THE BUSINESS FOR ANOTHER YEAR.
<b>Disclosure 3 of 3</b>	
<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	MICHIGAN CORPORATION AND SECURITIES BUREAU
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	12/14/1989
<b>Docket/Case Number:</b>	BD 8157
<b>Employing firm when activity occurred which led to the regulatory action:</b>	POWER SECURITIES CORPORATION
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	WHILE EMPLOYED BY POWER SECURITIES, CORPORATIONS THESE AGENTS WERE FOUND TO HAVE TRANSACTED BUSINESS AS AGENTS WHEN UNREGISTERED IN THE STATE, AND TO HAVE SOLD UNREGISTERED, NONEXEMPT SECURITIES. AGENT ALSO FAILED TO PAY CIVIL PENALTY OF \$500.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision
<b>Resolution Date:</b>	12/14/1989
<b>Sanctions Ordered:</b>	Cease and Desist/Injunction Censure Revocation/Expulsion/Denial
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	A FINAL ORDER TO REVOKE AND DENY EXEMPTIONS, REVOKE AGENT'S REGISTRATION, TO CENSURE, TO IMPOSE CIVIL PENALTY AND TO CEASE AND DESIST. A CIVIL PENALTY OF \$250.00 PER TRANSACTION WAS ASSESSED. AGENT REVOKED AND CIVIL PENALTY NOT PAID AS OF 1/20/93.



**Reporting Source:** Individual

**Regulatory Action Initiated By:** STATE OF MICHIGAN

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 12/14/1989

**Docket/Case Number:** BD 8157

**Employing firm when activity occurred which led to the regulatory action:** POWER SECURITIES CORPORATION

**Product Type:** Equity - OTC

**Other Product Type(s):**

**Allegations:** MY BROKER REGISTRATION EXPIRED AND I FAILED TO RENEW IT.

**Current Status:** Final

**Resolution:** Decision

**Resolution Date:** 12/14/1989

**Sanctions Ordered:** Cease and Desist/Injunction  
Censure  
Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** MY REGISTRATION WAS REVOKED IN THE STATE OF MICHIGAN.

**Broker Statement**

TO THE BEST OF MY KNOWLEDGE THE STATE OF MICHIGAN REVOKED MY BROKER REGISTRATION BECAUSE I DID NOT RENEW IT AT THE APPROPRIATE DATE. I BELIEVE THE DATE WAS BETWEEN 1/89 AND 2/89. I FAILED RENEW MY REGISTRATION BECAUSE I HAD TERMINATED MY EMPLOYMENT WITH THE BROKER DEALER I WAS WORKING FOR AND I DID NOT SEE MY SELF CONTINUING ON IN THE BUSINESS FOR ANOTHER YEAR.



## 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>	ROUND HILL SECURITIES, INC.
<b>Allegations:</b>	MISREPRESENTATION AND UNSUITABLE RECOMMENDATIONS NOVEMBER 2000 - MARCH 2001
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Other Product Type(s):</b>	EQUITY - OTC
<b>Alleged Damages:</b>	\$70,000.00

## Customer Complaint Information

<b>Date Complaint Received:</b>	09/12/2001
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	09/12/2001

### Settlement Amount:

**Individual Contribution Amount:**

## Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NASD #01-03290
<b>Date Notice/Process Served:</b>	09/12/2001
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	12/20/2002
<b>Monetary Compensation Amount:</b>	\$37,000.00
<b>Individual Contribution Amount:</b>	\$0.00



## Judgment/Lien

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

### Disclosure 1 of 3

**Reporting Source:** Individual  
**Judgment/Lien Holder:** IRS  
**Judgment/Lien Amount:** \$12,113.83  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 04/09/2025  
**Date Individual Learned:** 05/12/2025  
**Type of Court:** State Court  
**Name of Court:** County Recorder SAN FRANCISCO  
**Location of Court:** SAN FRANCISCO, CA  
**Docket/Case #:** 2025026052  
**Judgment/Lien Outstanding?** Yes

### Disclosure 2 of 3

**Reporting Source:** Individual  
**Judgment/Lien Holder:** IRS  
**Judgment/Lien Amount:** \$51,449.20  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 12/11/2019  
**Date Individual Learned:** 01/24/2020  
**Type of Court:** Federal Court  
**Name of Court:** IRS  
**Location of Court:** San Francisco  
**Docket/Case #:** K872351/2019  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** Mr. Phillips currently has a payment plan setup with the IRS to pay back his outstanding lien at intervals of \$400 per month.

### Disclosure 3 of 3

**Reporting Source:** Individual  
**Judgment/Lien Holder:** United States Treasury  
**Judgment/Lien Amount:** \$69,889.66  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 04/18/2017  
**Date Individual Learned:** 07/21/2017



<b>Type of Court:</b>	County Recorder
<b>Name of Court:</b>	Contra Costa County
<b>Location of Court:</b>	Martinez CA 94553
<b>Docket/Case #:</b>	20170066891600
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	The IRS agreed to an installment plan for prior year tax liens and payments are being tracked by the compliance department of the firm until their completion and removal.



## End of Report

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