



IAPD Report

DANIEL JOHN NOWAK

CRD# 1941545

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

DANIEL JOHN NOWAK (CRD# 1941545)

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 **06/30/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|--------------------------------|------------|------------------|
| B | VALIC FINANCIAL ADVISORS, INC. | CRD# 42803 | 07/07/2016 |
| IA | VALIC FINANCIAL ADVISORS, INC. | CRD# 42803 | 07/11/2016 |

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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 | GRACE CAPITAL MANAGEMENT, LLC | 169813 | Winter Park, FL | 03/18/2016 - 07/12/2016 |
| IA | CUNA BROKERAGE SERVICES, INC. | 13941 | ORLANDO, FL | 07/21/2014 - 01/04/2016 |
| B | CUNA BROKERAGE SERVICES, INC. | 13941 | ORLANDO, FL | 07/10/2014 - 01/04/2016 |

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 |
| Financial | 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 2 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **VALIC FINANCIAL ADVISORS, INC.**

Main Address: 2919 ALLEN PKWY
HOUSTON, TX 77019

Firm ID#: 42803

| | Regulator | Registration | Status | Date |
|-----------|------------|-------------------------------------|----------|------------|
| B | FINRA | General Securities Representative | Approved | 07/07/2016 |
| B | FINRA | General Securities Principal | Approved | 04/27/2017 |
| B | FINRA | General Securities Sales Supervisor | Approved | 04/27/2017 |
| B | California | Agent | Approved | 07/08/2016 |
| B | Florida | Agent | Approved | 07/11/2016 |
| IA | Florida | Investment Adviser Representative | Approved | 07/11/2016 |

Branch Office Locations

VALIC FINANCIAL ADVISORS, INC.
3505 LAKE LYNDA DRIVE
SUITE 200
ORLANDO, FL 32817



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 5 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

| | Exam | Category | Date |
|--|--|-----------|------------|
| | General Securities Principal Examination (S24) | Series 24 | 01/02/2023 |
| | General Securities Sales Supervisor - Options Module Examination (S9) | Series 9 | 01/02/2023 |
| | General Securities Sales Supervisor - General Module Examination (S10) | Series 10 | 01/02/2023 |
| | General Securities Principal Sales Supervisor (S23) | Series 23 | 03/15/2010 |
| | General Securities Sales Supervisor Examination (Options Module & General Module) (S8) | Series 8 | 03/23/1999 |

General Industry/Product Exams

| | Exam | Category | Date |
|--|--|----------|------------|
| | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| | General Securities Representative Examination (S7) | Series 7 | 11/30/1994 |
| | Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 06/06/1991 |

State Securities Law Exams

| | Exam | Category | Date |
|--|--|-----------|------------|
| | Uniform Combined State Law Examination (S66) | Series 66 | 01/03/2006 |
| | Uniform Securities Agent State Law Examination (S63) | Series 63 | 06/17/1991 |



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 | 03/18/2016 - 07/12/2016 | GRACE CAPITAL MANAGEMENT, LLC | CRD# 169813 | Winter Park, FL |
| IA | 07/21/2014 - 01/04/2016 | CUNA BROKERAGE SERVICES, INC. | CRD# 13941 | ORLANDO, FL |
| B | 07/10/2014 - 01/04/2016 | CUNA BROKERAGE SERVICES, INC. | CRD# 13941 | ORLANDO, FL |
| IA | 10/11/2012 - 10/21/2013 | STRATEGIC ADVISERS, INC. | CRD# 104555 | TAMPA, FL |
| B | 09/24/2012 - 10/18/2013 | FIDELITY BROKERAGE SERVICES LLC | CRD# 7784 | TAMPA, FL |
| IA | 07/15/2008 - 09/05/2012 | CHASE INVESTMENT SERVICES CORP. | CRD# 25574 | BRANDON, FL |
| B | 07/11/2008 - 09/05/2012 | CHASE INVESTMENT SERVICES CORP. | CRD# 25574 | BRANDON, FL |
| IA | 01/13/2006 - 04/16/2008 | TD AMERITRADE, INC. | CRD# 7870 | NEW YORK, NY |
| B | 11/18/2005 - 04/16/2008 | TD AMERITRADE, INC. | CRD# 7870 | NEW YORK, NY |
| B | 02/23/2005 - 11/08/2005 | ESSEX NATIONAL SECURITIES, INC. | CRD# 25454 | NAPA, CA |
| B | 11/19/2003 - 01/06/2005 | CHARLES SCHWAB & CO., INC. | CRD# 5393 | WESTLAKE, TX |
| B | 08/29/2003 - 11/12/2003 | WACHOVIA SECURITIES, LLC | CRD# 19616 | ST. LOUIS, MO |
| B | 05/25/2000 - 06/02/2003 | ESSEX NATIONAL SECURITIES, INC. | CRD# 25454 | NAPA, CA |
| B | 10/07/1994 - 03/21/2000 | THE DREYFUS SERVICE CORPORATION | CRD# 231 | NEW YORK, NY |
| B | 07/19/1994 - 07/26/1994 | RELIASTAR FINANCIAL MARKETING CORP. | CRD# 4234 | SEATTLE, WA |
| B | 06/14/1993 - 07/08/1994 | INDEPENDENT FINANCIAL SECURITIES, INC. | CRD# 19924 | |



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

| | Registration Dates | Firm Name | ID# | Branch Location |
|---|-------------------------|---------------------------------------|------------|-----------------|
| B | 09/08/1992 - 06/17/1993 | NATWEST INVESTOR SERVICES CORPORATION | CRD# 17434 | NEW YORK, NY |
| B | 12/23/1991 - 08/13/1992 | MML INVESTORS SERVICES, INC. | CRD# 10409 | SPRINGFIELD, MA |

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

| Employment Dates | Employer Name | Position | Investment Related | Employer Location |
|-------------------|--------------------------------|-----------------------------------|--------------------|---------------------------------|
| 02/2024 - Present | C & D Dizical Collectibles | Member/co-owner | N | Orlando, FL, United States |
| 12/2022 - Present | AGIA | Agent | N | Houston, TX, United States |
| 07/2016 - Present | VALIC FINANCIAL ADVISORS, INC. | REGISTERED REPRESENTATIVE | Y | JACKSONVILLE, FL, United States |
| 02/2016 - 07/2016 | Grace Capital Management, LLC | Investment Adviser Representative | Y | Ft. Myers, FL, 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.

AGIA

POSITION: Agent NATURE: null INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 1
START DATE: 12/16/2022
ADDRESS: 2929 Allen Parkway, Houston TX 77019, United States
DESCRIPTION: Non-Securities Insurance Products

C & D DIZICAL COLLECTIBLES

POSITION: Member/co-owner NATURE: Assist with online sales of Disney items and Collectables. Hold weekly online sales and appear at annual trade show. INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 02/01/2024
ADDRESS: 11650 Ashridge Place, Orlando FL 32824, United States
DESCRIPTION: assist with online sales and trade show.



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 |
| Financial | 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: | CUNA BROKERAGE SERVICES, INC. |
| Allegations: | client's attorney alleges advisor recommended unsuitable products in March 2015. |
| Product Type: | Annuity-Fixed Annuity-Variable |
| Alleged Damages: | \$2,400,000.00 |
| 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: | 12/16/2015 |
| Complaint Pending? | No |
| Status: | Denied |
| Status Date: | 12/30/2015 |
| Settlement Amount: | |

Individual Contribution Amount:

.....



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CUNA Brokerage

Allegations: clients attorney alleges advisor made unsuitable recommendations in March 2015

Product Type: Annuity-Fixed
Annuity-Variable

Alleged Damages: \$2,400,000.00

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: 12/16/2015

Complaint Pending? No

Status: Denied

Status Date: 12/30/2015

Settlement Amount:

Individual Contribution Amount:

Broker Statement customer won 2,000,000 in lottery. payment to them was 1.3 mil. Allocated above using bucket approach (cash, income, growth) as follows: \$500,000 cash, 200,000 income annuity to increase their monthly income for life which enabled them to meet their expenses, 600,000 variable index annuity for potential growth with limited downside, tax benefits and beneficiary provisions. 39% of clients \$1.3 million dollar portfolio was left in cash after meeting. Based on their profile and several meetings prior to this transaction all the recommendations were suitable for their situation. My firm compliance and legal departments agreed as complaint was denied.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: TD AMERITRADE, INC

Allegations: THE CLIENT ALLEGES MISREPRESENTATION OF THE RESERVE YIELD PLUS FUND (RYPQX).

Product Type: Mutual Fund(s)

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 01/27/2009

Complaint Pending? No



Status: Settled

Status Date: 02/25/2009

Settlement Amount: \$56,947.95

Individual Contribution Amount: \$0.00

Firm Statement IN SEPT 08, THE RESERVE FUND ISSUED A PRESS RELEASE INDICATING SOME OF ITS FUNDS WOULD "BREAK THE BUCK." SUBSEQUENTLY, THE RESERVE FUND ISSUED INTENTIONS TO LIQUIDATE SOME FUNDS. THIS RESULTED IN SOME POSITIONS, INCLUDING RYPQX, UNAVAILABLE FOR IMMEDIATE REDEMPTION AWAITING THE RESERVE FUND'S LIQUIDATION AND DISTRIBUTION OF FUNDS. TDA PURCHASED THE CLIENT'S REMAINING POSITION IN RYPQX.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: TD AMERITRADE, INC

Allegations: THE CLIENT ALLEGES MISREPRESENTATION OF THE RESERVE YIELD PLUS FUND (RYPQX).

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): I WAS NOT EMPLOYED AT THE FIRM AT TIME OF COMPLAINT AND AM NOT AWARE HOW THE SPECIFIED AMOUNT WAS REACHED.

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: 01/27/2009

Complaint Pending? No

Status: Settled

Status Date: 02/25/2009

Settlement Amount: \$56,947.95

Individual Contribution Amount: \$0.00

Broker Statement IN SEPT 08, THE RESERVE FUND ISSUED A PRESS RELEASE INDICATING SOME OF ITS FUNDS WOULD "BREAK THE BUCK." SUBSEQUENTLY, THE RESERVE FUND ISSUED INTENTIONS TO LIQUIDATE SOME FUNDS. THIS RESULTED IN SOME POSITIONS, INCLUDING RYPQX, UNAVAILABLE FOR IMMEDIATE REDEMPTION AWAITING THE RESERVE FUND'S LIQUIDATION AND DISTRIBUTION OF FUNDS.

CUSTOMER INQUIRED ABOUT OTHER VEHICLES FOR HIS CASH IN THE SWEEP ACCOUNT. I PRESENTED HIM THE RESERVE FUND AS AN OPTION



WHICH PAYS A HIGHER YIELD. I TOLD HIM THIS WOULD BE A "POSITION" IN HIS ACCOUNT AND THERE WOULD BE A 1 DAY SETTLEMENT TO HAVE FUNDS LIQUID WHICH WAS DIFFERENT THAN THE MONEY MARKET SWEEP ACCOUNT HE CURRENTLY HAS HIS FUNDS IN WHICH IS FULLY LIQUID. I ALSO TOLD HIM THAT EVEN THOUGH THE FUND STRIVES TO MAINTAIN \$1 PER SHARE THAT THIS IS NOT GUARANTEED NOR INSURED. HE ASKED ME HOW THE FUND CAN PAY A HIGHER YIELD THAN HIS MONEY MARKET. I TOLD HIM THIS FUND HAS SHORT TERM BONDS IN THE PORTFOLIO WHICH IS WHY IT IS NOT A MONEY MARKET. MONEY MARKET FUNDS HOLD CASH AND CASH EQUIVALENTS. THERE IS A DISCLOSURE THE CUSTOMER MUST SIGN ACKNOWLEDGING THIS IS NOT A MONEY MARKET FUND NOR A SWEEP VEHICLE. I REVIEWED THIS DISCLOSURE WITH [CUSTOMER]. HE CHOSE TO THINK ABOUT IT AT THAT TIME AND AT A LATER TIME DECIDED TO INVEST HIS FUNDS IN THE RESERVE ACCOUNT. HE WAS MAILED A PROSPECTUS BY THE RESERVE FUNDS WHICH HE BROUGHT IN TO ME AND WE REVIEWED AGAIN POINTING OUT THAT THIS IS NOT A MONEY MARKET FUND . I NEVER AT ANY TIME TOLD HIM THIS WAS A MONEY MARKET NOR A MONEY MARKET ALTERNATIVE.I WAS NOT EMPLOYED AT THE FIRM AT TIME OF COMPLAINT

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DREYFUS SERVICE CORPORATION

Allegations: CLIENT CLAIMS I MIS-INFORMED HIM REGARDING DIVIDEND AND INTEREST REINVESTMENT IN A VARIABLE ANNUITY. THE INFORMATION GIVEN TO HIM WAS FROM THE PROSPECTUS.

Product Type: Annuity-Variable

Alleged Damages: \$13,000.00

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: 04/17/1999

Complaint Pending? No

Status: Settled

Status Date: 04/26/1999

Settlement Amount: \$13,000.00

Individual Contribution Amount: \$3,362.63

Broker Statement MY INDICATED CONTRIBUTION WAS A RETURN OF MY COMMISSION EARNED ON SALE. CUST. WANTED DIVIDEND REINVESTED IN HIS VARIABLE ANNUITY TO BUY MORE UNITS. AFTER SPEKING WITH NATIONAL SALES DESK AND WHOLESALER, I WAS TOLD THIS WOULD HAPPEN. IT DID NOT AND CUSTOMER FILED A COMPLAINT. PROSPECTUS STATED THIS WOULD HAPPEN ALSO. WHEN IT DID NOT, CUSTOMER DEMANDED



SURRENDER CHARGES BE WAIVED AND WANTED A FULL REFUND. THIS WAS AFTER 1 QUARTER OF POSITIVE RETURNS WHEN CUSTOMER MADE NO MENTION OF THIS. AFTER A QUARTER OF NEGATIVE RETURNS, CUSTOMER MADE COMPLAINT. I FEEL I MADE EVERY EFFORT TO VERIFY CUSTOMER CONCERN AND GIVEN THE RESPONSE FROM WHOLESALER AND INSURANCE COMPANY MARKETING DESK, I FEEL I DID NOTHING TO MISLEAD THE CUSTOMER. I ONLY RELAYED THIS INFORMATION.



Financial

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

Disclosure 1 of 2

Reporting Source: Individual
Action Type: Bankruptcy
Bankruptcy: Chapter 7
Action Date: 06/24/2020
Organization Investment-Related? No
Type of Court: County Court
Name of Court: Middle District of Florida Orlando Division
Location of Court: 401 W. Central Blvd Orlando, FL 32801
Docket/Case #: 6:20-bk-03511
Action Pending? No
Disposition: Discharged
Disposition Date: 10/06/2020

Disclosure 2 of 2

Reporting Source: Individual
Action Type: DUPLICATE-INCLUDED IN BANKRUPTCY FILING
Action Date: 02/27/2018
Organization Investment-Related?
Type of Court: County Court
Name of Court: County Court of Orange County
Location of Court: Orlando, Fl
Docket/Case #: 2017-cc-008430-O
Action Pending? No
Disposition: Payment Plan through attorneys escrow account
Disposition Date: 02/27/2018

If a compromise with creditor, provide:

Name of Creditor: Bank of America
Original Amount Owed: \$14,016.14
Terms Reached with Creditor: Settlement amount of \$9900.00 consisting of 24 monthly payments of \$412.50 to be paid from attorney escrow account.



Amount Paid:

SIPA (Securities Investor Protection Act) Trustee:

Currently Open? No

Date Direct Payment Initiated/Filed or Trustee Appointed:

Broker Statement

Borrowed from credit card to pay for mothers nursing home expenses which she could not afford. Was making regular monthly payments until I lost my job due to office closure. Fell behind in payments resulting in this settlement.



End of Report

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