IAPD Report

WILLIAM PAUL FAUZIO

CRD# 2193834

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

WILLIAM PAUL FAUZIO (CRD# 2193834)

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 **12/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VANDERBILT SECURITIES, LLC	CRD# 5953	03/24/2023
IA	VANDERBILT ADVISORY SERVICES	CRD# 116537	03/29/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	UNION CAPITAL COMPANY	110301	North Branford, CT	07/30/2019 - 03/28/2023
B	UNION CAPITAL COMPANY	110301	North Branford, CT	07/29/2019 - 03/28/2023
IA	CAPITAL FINANCIAL SERVICES, INC.	8408	Brandford, CT	06/12/2014 - 07/30/2019

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
Termination	1
Financial	1
Bond	1

Report Summary

Judgment/Lien	1

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

Employment 1 of 2

Firm Name: **VANDERBILT SECURITIES, LLC**

Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797

Firm ID#: 5953

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/24/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	03/24/2023
B	Alabama	Agent	Approved	03/29/2023
B	Arizona	Agent	Approved	03/13/2025
B	California	Agent	Approved	03/24/2023
B	Connecticut	Agent	Approved	03/29/2023
B	Florida	Agent	Approved	04/03/2023
B	Idaho	Agent	Approved	06/17/2025
B	New Hampshire	Agent	Approved	06/21/2023
B	North Carolina	Agent	Approved	04/04/2023
B	Pennsylvania	Agent	Approved	03/28/2023
B	South Carolina	Agent	Approved	03/28/2023
B	Texas	Agent	Approved	05/02/2023

Qualifications

Branch Office Locations

999 Foxon Road, Suite 31
North Branford, CT 06471

Employment 2 of 2

Firm Name: **VANDERBILT ADVISORY SERVICES**

Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797

Firm ID#: 116537

	Regulator	Registration	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	03/29/2023

Branch Office Locations

VANDERBILT ADVISORY SERVICES
999 foxon Road, Suite 31
North Brandon, CT 06471

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	12/11/1998

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	10/21/2015
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/09/2014

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/26/2015
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/04/2008

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	07/30/2019 - 03/28/2023	UNION CAPITAL COMPANY	CRD# 110301	North Branford, CT
B	07/29/2019 - 03/28/2023	UNION CAPITAL COMPANY	CRD# 110301	North Branford, CT
IA	06/12/2014 - 07/30/2019	CAPITAL FINANCIAL SERVICES, INC.	CRD# 8408	Brandford, CT
B	06/12/2014 - 07/29/2019	CAPITAL FINANCIAL SERVICES, INC.	CRD# 8408	Brandford, CT
IA	04/25/2014 - 06/12/2014	WILLIAM PAUL FAUZIO	CRD# 167147	BRANFORD, CT
IA	06/09/2008 - 07/29/2009	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	MINNEAPOLIS, MN
B	12/01/2006 - 07/29/2009	QUESTAR CAPITAL CORPORATION	CRD# 43100	OLD LYME, CT
B	04/20/2004 - 12/01/2006	USALLIANZ SECURITIES, INC.	CRD# 40875	GUILFORD, CT
B	05/23/2003 - 04/20/2004	HARVEST CAPITAL LLC	CRD# 35723	WETHERSFIELD, CT
B	08/28/2002 - 03/11/2003	INVESTORS CAPITAL CORP.	CRD# 30613	LYNNFIELD, MA
B	12/17/1999 - 08/02/2002	USALLIANZ SECURITIES, INC.	CRD# 40875	MINNEAPOLIS, MN
B	07/09/1997 - 12/21/1999	FFP SECURITIES, INC.	CRD# 16337	CHESTERFIELD, MO
B	07/03/1997 - 07/25/1997	FFP SECURITIES, INC.	CRD# 16337	
B	11/25/1991 - 07/08/1997	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ

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
03/2023 - Present	VANDERBILT ADVISORY SERVICES	Investment Advisor Representative	Y	Woodbury, NY, United States
03/2023 - Present	VANDERBILT SECURITIES, LLC	Registered Representative	Y	Woodbury, NY, United States
07/2019 - 03/2023	UNION CAPITAL COMPANY	REGISTERED REPRESENTATIVE	Y	TUCSON, AZ, United States
06/2014 - 07/2019	CAPITAL FINANCIAL SERVICES, INC	REGISTERED REPRESENTATIVE	Y	MINOT, ND, United States
07/2009 - 07/2019	INDEPENDENT INSURANCE AGENT	INSURANCE SALES	N	BRANFORD, CT, 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.

Fixed Insurance Sales. Not investment related. Start date: 06/01/2023. Address: 999 Foxon Road Suite 22 North Branford, North Branford Ct, 06471. Title: Insurance Sales. Duties: Meet with clients and sell life insurance when appropriate. Time spent during regular hours: 5%.

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
Termination	1
Financial	1
Bond	1
Judgment/Lien	1

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

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF CALIFORNIA, DEPARTMENT OF INSURANCE, SACRAMENTO, CALIFORNIA
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	04/23/2004
Docket/Case Number:	FILE NO. LBB 1998-AP (AR)
Employing firm when activity occurred which led to the regulatory action:	USALLIANZ SECURITIES INC
Product Type:	Insurance
Other Product Type(s):	
Allegations:	I BORROWED MONEY FROM FIVE CLIENTS, ALL OF WHOM WERE PERSONAL FRIENDS AND/OR RELATIVES. THE CLIENTS CONSENTED TO THE LOANS AND EACH WAS REPAID. THERE WERE NO COMPLAINTS. THE PROBLEM WAS THAT I HAD NOT NOTIFIED MY EMPLOYING BROKER DEALER. AS A RESULT, I WAS INVESTIGATED AND FINED $1,000.00 BY CONNECTICUT DEPARTMENT OF BANKING. THIS ACTION PROMPTED AN INVESTIGATION BY CALIFORNIA DEPARTMENT OF INSURANCE.
Current Status:	Final

Resolution:	Other
Resolution Date:	11/29/2004
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	UNRESTRICTED INSURANCE LICENSE WAS REVOKED, RESTRICTED INSURANCE LICENSE WAS ISSUED.
Sanction Details:	UNRESTRICTED INSURANCE LICENSE WAS REVOKED, RESTRICTED INSURANCE LICENSE WAS ISSUED.

Disclosure 2 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	11/25/2003
Docket/Case Number:	C11030041
Employing firm when activity occurred which led to the regulatory action:	USALLIANZ SECURITIES, INC.
Product Type:	
Allegations:	NASD CONDUCT RULE 2110 - RESPONDENT FAUZIO, WHILE REGISTERED WITH MEMBER FIRM, REIMBURSED CUSTOMERS FOR ERRORS TOTALING APPROXIMATELY $5,000 RELATED TO THEIR ACCOUNTS WITHOUT HIS FIRM'S KNOWLEDGE OR APPROVAL.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	11/25/2003
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT FAUZIO CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED $2,500. FINE PAID ON 01/29/04.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	$2,500 FINE

Date Initiated:	11/25/2003
Docket/Case Number:	C11030041
Employing firm when activity occurred which led to the regulatory action:	USALLIANZ SECURITIES, INC.
Product Type:	Other
Other Product Type(s):	FUNDS
Allegations:	ON AT LEAST THREE (3) OCCASIONS, FAUZIO, WHILE REGISTERED WITH MEMBER FIRM USALLIANZ, REIMBURSED CUSTOMERS FOR ERRORS TOTALING APPROXIMATELY $5,000 RELATED TO THEIR ACCOUNTS WITHOUT USALLIANZ'S KNOWLEDGE OR APPROVAL. THIS CONDUCT CONSTITUTES A VIOLATION OF NASD CONDUCT RULE 2110.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	11/25/2003
Sanctions Ordered:	Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, FAUZIO CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, HE WAS FINED $2,500.

Disclosure 3 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	CONNECTICUT
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	SEE DESCRIPTION BELOW.
Date Initiated:	06/02/2003
Docket/Case Number:	CO-03-6716-S
Employing firm when activity occurred which led to the regulatory action:	ROYAL ALLIANCE ASSOCIATES, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	JUNE 2, 2003 CONSENT ORDER ALLEGED THAT, BETWEEN AUGUST 1995 AND JUNE 1997, WHILE ASSOCIATED WITH THE SECURITIES BROKERAGE FIRM OF ROYAL ALLIANCE ASSOCIATES, INC., WILLIAM FAUZIO BORROWED MONEY FROM SECURITIES BROKERAGE CLIENTS WITHOUT NOTICE TO HIS EMPLOYING BROKER-DEALER. IF PROVEN, SUCH CONDUCT WOULD CONSTITUTE A DISHONEST OR UNETHICAL BUSINESS PRACTICE UNDER SECTION 36B-31-15B(A)(1) OF THE CONNECTICUT UNIFORM SECURITIES ACT REGULATIONS. WILLIAM FAUZIO REPRESENTED IN WRITING TO THE COMMISSIONER THAT ALL OF THE CLIENTS FROM WHOM HE HAD

	BORROWED MONEY HAD CONSENTED TO THE LOANS; THAT HE HAD REPAID EACH OF THE LENDERS; AND THAT THERE WERE NO RELATED CLAIMS AGAINST HIM OUTSTANDING.
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/02/2003
Sanctions Ordered:	
Other Sanctions Ordered:	THE CONSENT ORDER PROHIBITED WILLIAM FAUZIO FROM BORROWING MONIES FROM CLIENTS ABSENT NOTICE TO ANY BROKER-DEALER WITH WHOM HE BECAME ASSOCIATED IN THE FUTURE. IN ADDITION, THE CONSENT ORDER MANDATED THAT WILLIAM FAUZIO PROVIDE A COPY OF THE CONSENT ORDER TO ANY FUTURE EMPLOYING BROKER-DEALER, ABIDE BY ANY SPECIAL SUPERVISORY REQUIREMENTS THAT BROKER-DEALER IMPOSED; AND REMIT $1,000 TO THE DEPARTMENT AS REIMBURSEMENT FOR AGENCY INVESTIGATIVE COSTS.
Sanction Details:	SEE RESPONSE TO ITEM 12B.
Regulator Statement	SEE RESPONSE TO ITEM 12B.

Reporting Source:	Individual
Regulatory Action Initiated By:	CONNECTICTICUT DEPARTMENT OF BANKING
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	CONSENT ORDER
Date Initiated:	01/02/2003
Docket/Case Number:	CO-08-6716-S
Employing firm when activity occurred which led to the regulatory action:	ROYAL ALLIANCE ASSOCIATES
Product Type:	No Product
Other Product Type(s):	
Allegations:	FAUZIO BORROWED MONEY FROM FIVE SECURITIES BROKERAGE CLIENTS WITHOUT NOTIFYING HIS EMPLOYING BROKER-DEALER
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/02/2003
Sanctions Ordered:	Monetary/Fine $1,000.00
Other Sanctions Ordered:	FAUZIO SHALL: 1.REFRAIN FROM BORROWING MONEY FROM CLIENTS ABSENT COMPLIANCE WITH REGULATORY REQUIREMENTS AND NOTICE TO ANY BROKER-DEALER WITH WHOM HE MAY BECOME EMPLOYED IN THE FUTURE; AND

	2. PROVIDE A COPY OF THIS CONSENT ORDER TO ANY BROKER-DEALER WITH WHOM HE SEEKS TO BECOME ASSOCIATEDIN THE FUTURE, AND SHALL COMPLY WITH ANY SPECIAL SUPERVISORY REQUIREMENTS IMPOSED BY SUCH BROKER-DEALER.
Sanction Details:	REIMBURSEMENT FOR AGENCY INVESTIGATIVE COSTS IN THE AMOUNT OF $1000 WAS PAID PRIOR TO REGISTRATION.
Broker Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, FAUZIO'S CONSENT ORDER WAS PROCESSED 06/02/2003 AND REGISTRATION FOR CT IS EFFECTIVE AS OF THAT DATE.

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:	Individual
Firm Name:	US ALLIANZ SECURITIES
Termination Type:	Discharged
Termination Date:	08/02/2002
Allegations:	DURING AN AUDIT AT MR. FAUZIO'S OFFICE FROM JULY 31 TO AUGUST 1, 2002, IT WAS DISCOVERED THAT MR. FAUZIO HAD MADE TWO PAYMENTS TO CUSTOMERS DRAWN ON AN ACCOUNT BEARING THE NAME WILLIAM P FAUZIO & ASSOCIATES. THE AMOUNTS OF THE PAYMENTS WERE $1,071.91 AND $1,000.00. MR FAUZIO HAD NOT REPORTED TO USALLIANZ SECURITIES REIMBURSING THE CUSTOMERS AS NOTED ABOVE. USALLIANZ SECURITIES TERMINATED ITS ASSOCIATION WITH MR. FAUZIO ON AUGUST 2, 2002. MR. FAUZIO HAS SUBSEQUENTLY PROVIDED USALLIANZ SECURITIES WITH AFFIDAVITS FROM THE CUSTOMERS STATING THAT THE PAYMENTS DESCRIBED ABOVE AND A THIRD PAYMENT IN THE AMOUNT OF $2,928.60 RESULTED FROM ORAL INQUIRIES THEY MADE TO MR. FAUZIO ABOUT CERTAIN TRANSACTIONS AND WERE NOT INTENDED TO BE CUSTOMER COMPLAINTS.
Product Type:	No Product
Other Product Types:	
Broker Statement	SEE #4 ABOVE

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 1

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	09/29/2017
Organization Investment-Related?	
Type of Court:	State Court
Name of Court:	Dept. of Revenue Services
Location of Court:	Branford, CT
Docket/Case #:	131888
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	08/27/2018
If a compromise with creditor, provide:	
Name of Creditor:	CT Department of Revenue Services
Original Amount Owed:	$18,000.00
Terms Reached with Creditor:	Pay down payment of $12,000.00 on Oct 31st and then a $1,000.00 per month for six months.

Bond

This disclosure event involves a bond for the Investment Adviser Representative that has been denied, paid, or revoked by a bonding company.

Disclosure 1 of 1

Reporting Source:	Individual
Policy Holder:	OLD REPUBLIC TITLE COMPANY
Bonding Company Name:	CONNECTICUT SURETY
Disposition:	Payout
Disposition Date:	04/26/1999
Payout Details:	$4,277.00 - 4/26/99 OTHER AMOUNTS WERE NOT PART OF THE BOND PAYOUT AND SHOULD NOT HAVE BEEN ENTERED.
Broker Statement	I OWNED FOUR SINGLE FAMILY HOUSED IN POINT RICHMOND, CA IN 1997. THE HOUSES WERE BUILT FOR RESALE. DUE TO ADVERSE REAL ESTATE MARKET CONDITIONS, AN INEPT GENERAL CONTRACTOR, LACK OF ADEQUATE FINANCING, ETC. THE PROJECT RESULTED IN A LARGE NET LOSS. BACK TAXES WERE OWED ON EACH HOUSE. I HAD AN ARRANGEMENT WHEREBY ALL TAXES WERE TO BE PAID FROM SALES OF THE PROPERTIES AT THE CLOSINGS. I DID NOT ATTEND THE CLOSINGS. MY INTERESTS WERE REPRESENTED BY A REAL ESTATE AGENT, A MORTGAGE BROKER AND A TITLE CONMPANY (OLD REPUBLIC TITLE). THE TITLE COMPANY MADE AN ERROR IN PAYING OR CREDITING THE PROPER AMOUNT OF TAX DUE TO CONTRA COSTA COUNTY. A BOND IN THE AMOUNT OF $4,277.65 WAS PAID AS A RESULT OF THAT ERROR. MY ATTORNEY BELIEVES THAT THE AMOUNT DUE THE BONDING COMPANY IS AS A RESULTOF OLD REPUBLIC'S ERROR AND THEREFORE IS THEIR RESPONSIBILITY AND LIABILITY AND NOT MINE. AT PRESENT I AM TRING TO RESOLVE THIS MATTER THROUGH MY ATTORNEY, ROBERT COHN, OF NEW HAVEN, CT.

Judgment/Lien

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

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	KONOWITZ, KAHN & COMPANY
Judgment/Lien Amount:	$2,284.00
Judgment/Lien Type:	Civil
Date Filed:	09/04/2008
Court Details:	CIRCUIT COURT, HARTFORD CT, COUNTY OF NEW HAVEN. CASE NUMBER SCC-142678.
Judgment/Lien Outstanding?	Yes
Broker Statement	THIS JUDGEMENT WILL BE PAID IN FULL BY ME BEFORE 2-6-09, THOUGH IT IS IN DISPUTE BY ME AND MY FORMER WIFE.

End of Report

This page is intentionally left blank.

