



## IAPD Report

# MICHAEL JOSEPH LUCIA

CRD# 2229559

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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

### MICHAEL JOSEPH LUCIA (CRD# 2229559)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **09/22/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	INTEGRITY ALLIANCE, LLC	CRD# 139627	04/03/2018
<b>B</b>	INTEGRITY ALLIANCE, LLC.	CRD# 139627	04/03/2018

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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>	H. BECK, INC.	1763	SAN DIEGO, CA	07/09/2009 - 04/20/2018
<b>B</b>	H. BECK, INC.	1763	SAN DIEGO, CA	07/08/2009 - 04/20/2018
<b>B</b>	MORGAN STANLEY SMITH BARNEY	149777	SAN DIEGO, CA	06/01/2009 - 06/23/2009

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3
Judgment/Lien	10



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

### Employment 1 of 1

Firm Name: **INTEGRITY ALLIANCE, LLC**  
Main Address: 4135 NW URBANDALE DR  
URBANDALE, IA 50322  
Firm ID#: 139627

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	04/03/2018
<b>B</b>	Arizona	Agent	Approved	04/03/2018
<b>B</b>	California	Agent	Approved	04/03/2018
<b>IA</b>	California	Investment Adviser Representative	Approved	04/03/2018
<b>B</b>	Florida	Agent	Approved	05/25/2018
<b>B</b>	Idaho	Agent	Approved	04/03/2018
<b>B</b>	Illinois	Agent	Approved	07/13/2018
<b>B</b>	Kansas	Agent	Approved	04/03/2018
<b>B</b>	Louisiana	Agent	Approved	04/24/2018
<b>B</b>	Minnesota	Agent	Approved	04/03/2018
<b>B</b>	Nevada	Agent	Approved	05/01/2018
<b>B</b>	New Jersey	Agent	Approved	04/03/2018
<b>B</b>	New York	Agent	Approved	04/03/2018



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> North Carolina	Agent	Approved	09/23/2025
<b>B</b> Pennsylvania	Agent	Approved	04/03/2018
<b>B</b> South Carolina	Agent	Approved	04/03/2018
<b>B</b> Texas	Agent	Approved	04/03/2018
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	04/03/2018
<b>B</b> Washington	Agent	Approved	04/03/2018
<b>B</b> Wisconsin	Agent	Approved	04/03/2018

### Branch Office Locations

**INTEGRITY ALLIANCE, LLC**  
Poway, CA



## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	04/11/1997
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/07/1992

#### State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	04/27/1992
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### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

#### Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	07/09/2009 - 04/20/2018	H. BECK, INC.	CRD# 1763	SAN DIEGO, CA
B	07/08/2009 - 04/20/2018	H. BECK, INC.	CRD# 1763	SAN DIEGO, CA
B	06/01/2009 - 06/23/2009	MORGAN STANLEY SMITH BARNEY	CRD# 149777	SAN DIEGO, CA
IA	06/01/2009 - 06/23/2009	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	SAN DIEGO, CA
B	08/17/2007 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SAN DIEGO, CA
IA	08/17/2007 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SAN DIEGO, CA
B	09/30/2002 - 08/22/2007	SECURITIES AMERICA, INC.	CRD# 10205	LAS VEGAS, NV
IA	12/09/1999 - 08/22/2007	RAYMOND J. LUCIA COMPANIES, INC.	CRD# 115670	LAS VEGAS, NV
B	10/19/2006 - 08/20/2007	LUCIA FINANCIAL LLC	CRD# 37179	SAN DIEGO, CA
IA	04/19/2004 - 02/22/2006	RJL ADVISORS	CRD# 128074	OMAHA, NE
IA	07/08/1997 - 09/30/2002	THE ADVISORS GROUP, INC.	CRD# 14035	SAN DIEGO, CA
B	02/02/1996 - 09/30/2002	THE ADVISORS GROUP, INC.	CRD# 14035	BETHESDA, MD
B	04/09/1992 - 03/21/1996	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	04/09/1992 - 03/21/1996	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA



## 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
04/2018 - Present	Integrity Alliance, LLC	Registered Representative/Investment Advisor Representative	Y	San Diego, CA, United States
07/2009 - 04/2018	H. BECK, INC.	REGISTERED REPRESENTATIVE	Y	ROCKVILLE, MD, 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.

RENTAL PROPERTY ELISA LANE, SAN DIEGO, CA 92128 POSITION: OWNER NATURE: BUSINESS, MARKETING, OTHER INVESTMENT RELATED: YES HOURS: 1 INVESTMENT RELATED HOURS: 0 START DATE: 10/01/2008 ADDRESS: ELISA LANE, SAN DIEGO CA 92128 DESCRIPTION: OWNER

MICHAEL J. LUCIA AND ASSOCIATES POSITION: OWNER: DBA FOR INSURANCE, SECURITIES, AND ADVISORY PRODUCTS. INVESTMENT RELATED: NUMBER OF HOURS PER MONTH 110, DURING TRADING 90 START DATE: 03/09/2012 ADDRESS: 13400 SABRE SPRINGS PKWY, #145, SAN DIEGO CA 92128 DESCRIPTION: SALES AND SERVICE OF INSURANCE, SECURITIES, AND ADVISORY PRODUCTS.

SOPHIA LUCIA, LLC POSITION: NO OFFICIAL POSITION NATURE: OTHER OBA INVESTMENT RELATED: NO NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/04/2014 ADDRESS: 13400 SABRE SPRINGS PARKWAY, SUITE 235, SAN DIEGO CA 92128 DESCRIPTION: SOPHIA LUCIA, LLC IS AN ENTITY TO HELP MANAGE THE ENTERPRISE OF MY DAUGHTER'S DANCE CAREER. CURRENTLY MY WIFE IS RUNNING ALMOST ALL OF THE OPERATION.

MJL INSURANCE MARKETNG SOLUTIONS, INC POSITION: CEO NATURE: INSURANCE SALES INVESTMENT RELATED; NUMBER OF HOURS: 50 HOURS PER MONTH, 40 DURING TRADING; START DATE: 05/15/2015 ADDRESS: 13400 SABRE SPRINGS PARKWAY, SUITE 145, SAN DIEGO CA 92128 DESCRIPTION: INSURANCE MARKETING, SALES & SUPPORTING AGENTS OF FIXED INSURANCE PRODUCTS, GUEST SPEAKING/APPEARANCES FOR EVENTS



## Disclosure Summary

### Disclosure Information

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

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

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

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

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

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

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

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



## DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3
Judgment/Lien	10

### 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	H. Beck, Inc.
<b>Allegations:</b>	Claimant alleges unsuitable recommendations of REITs and BDCs. Date of Activity:8/23/15 to 6/17/20
<b>Product Type:</b>	Direct Investment-DPP & LP Interests
<b>Alleged Damages:</b>	\$5,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	No damage amount is alleged, but is determined to exceed \$5,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	20-01909
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	06/17/2020



**Customer Complaint Information**

**Date Complaint Received:** 07/06/2020  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 01/04/2021  
**Settlement Amount:** \$32,500.00  
**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** H. Beck Inc.

**Allegations:** Claimant alleges unsuitable recommendations of REITs and BDCs. Date of Activity:8/23/15 to 6/17/20

**Product Type:** Direct Investment-DPP & LP Interests

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):** H. Beck entered that no damage amount was alleged on the U5 but H. Beck also determined the damage to exceed \$5,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 20-01909

**Filing date of arbitration/CFTC reparation or civil litigation:** 06/17/2020

**Customer Complaint Information**

**Date Complaint Received:** 07/06/2020  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 01/04/2021  
**Settlement Amount:** \$32,500.00  
**Individual Contribution Amount:** \$0.00

**Disclosure 2 of 3**

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:** H. Beck, Inc.

**Allegations:** Unsuitable investments based on account investment objectives and excessive commissions.

**Product Type:** Direct Investment-DPP & LP Interests

**Alleged Damages:** \$200,000.00

**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:** 10/08/2015

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 10/20/2015

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** REGISTERED REPRESENTATIVE DENIES THAT THE RECOMMENDATION WAS UNSUITABLE. THE CUSTOMER MET ALL SUITABILITY REQUIREMENTS AND THE RISKS AND EXPENSES OF THE INVESTMENT WERE FULLY DISCLOSED. THIS ACTION WAS CLOSED WITH NO ACTION TAKEN.

### Disclosure 3 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** SECURITIES AMERICA, INC.

**Allegations:** BUSINESS RELATIONSHIP BEGAN ABOUT JULY 2004. ALLEGATIONS INCLUDE UNAUTHORIZED TRANSACTIONS AND UNSUITABLE TRANSACTIONS.

**Product Type:** Other

**Other Product Type(s):** WELLS REIT

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 10/05/2005

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 04/03/2006

**Settlement Amount:** \$8,175.21



**Individual Contribution Amount:** \$8,175.21

**Firm Statement** BOTH RJL COMPANIES, INC. & SECURITIES AMERICA, INC. SEE NO BASIS FOR THE CLIENT'S ALLEGATIONS AGAINST REPRESENTATIVE MICHAEL LUCIA. IT IS OUR ASSESSMENT THAT THE INVESTMENTS WERE PRESENTED AND SOLD IN AN APPROPRIATE MANNER AND IS A SUITABLE INVESTMENT AS A PORTION OF THE CLIENT'S INVESTMENT PORTFOLIO. THE DOCUMENTATION SHOWS THAT REPRESENTATIVE LUCIA MET WITH THE CLIENT AND HIS FAMILY MEMBERS ON SEVERAL OCCASIONS TO DISCERN AND DISCUSS THE CLIENT'S INVESTMENT OBJECTIVES AND TO RECOMMEND AND IMPLEMENT TRANSACTIONS THAT ARE SUITABLE FOR THE CLIENT'S INVESTMENT PORTFOLIO. BUSINESS DECISION WAS MADE TO SETTLE THIS MATTER.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** SECURITIES AMERICA, INC.

**Allegations:** BUSINESS RELATIONSHIP BEGAN ABOUT JULY 2004. ALLEGATIONS INCLUDE UNAUTHORIZED TRANSACTIONS AND UNSUITABLE TRANSACTIONS.

**Product Type:** Other

**Other Product Type(s):** WELLS REIT

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 10/05/2005

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 04/03/2006

**Settlement Amount:** \$8,175.21

**Individual Contribution Amount:** \$8,175.21

**Broker Statement** BOTH RJL COMPANIES, INC. & SECURITIES AMERICA, INC. SEE NO BASIS FOR THE CLIENT'S ALLEGATIONS AGAINST REPRESENTATIVE MICHAEL LUCIA. IT IS OUR ASSESSMENT THAT THE INVESTMENTS WERE PRESENTED AND SOLD IN AN APPROPRIATE MANNER AND IS A SUITABLE INVESTMENT AS A PORTION OF THE CLIENT'S INVESTMENT PORTFOLIO. THE DOCUMENTATION SHOWS THAT REPRESENTATIVE LUCIA MET WITH THE CLIENT AND HIS FAMILY MEMBERS ON SEVERAL OCCASIONS TO DISCERN AND DISCUSS THE CLIENT'S INVESTMENT OBJECTIVES AND TO RECOMMEND AND IMPLEMENT TRANSACTIONS THAT ARE SUITABLE FOR THE CLIENT'S INVESTMENT PORTFOLIO. BUSINESS DECISION WAS MADE TO SETTLE THIS MATTER.



## Judgment/Lien

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

### Disclosure 1 of 10

**Reporting Source:** Individual  
**Judgment/Lien Holder:** State of California  
**Judgment/Lien Amount:** \$27,914.35  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 01/04/2019  
**Date Individual Learned:** 02/14/2019  
**Type of Court:** State Court  
**Name of Court:** San Diego  
**Location of Court:** San Diego  
**Docket/Case #:** 2019-0017023  
**Judgment/Lien Outstanding?** Yes

### Disclosure 2 of 10

**Reporting Source:** Individual  
**Judgment/Lien Holder:** IRS  
**Judgment/Lien Amount:** \$113,024.15  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 11/06/2014  
**Date Individual Learned:** 08/27/2018  
**Type of Court:** State Court  
**Name of Court:** San Diego County Recorder  
**Location of Court:** San Diego, CA  
**Docket/Case #:** Serial# 129375514  
**Judgment/Lien Outstanding?** Yes

### Disclosure 3 of 10

**Reporting Source:** Individual  
**Judgment/Lien Holder:** State of California  
**Judgment/Lien Amount:** \$48,437.40  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 07/13/2017  
**Date Individual Learned:** 08/27/2018  
**Type of Court:** State Court  
**Name of Court:** San Diego County Recorder



**Location of Court:** San Diego, CA  
**Docket/Case #:** 2017-0316608  
**Judgment/Lien Outstanding?** Yes

#### Disclosure 4 of 10

**Reporting Source:** Individual  
**Judgment/Lien Holder:** IRS  
**Judgment/Lien Amount:** \$65,135.22  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 02/12/2018  
**Date Individual Learned:** 08/27/2018  
**Type of Court:** State Court  
**Name of Court:** San Diego County Recorder  
**Location of Court:** San Diego, CA  
**Docket/Case #:** 2018-0054687  
**Judgment/Lien Outstanding?** Yes

#### Disclosure 5 of 10

**Reporting Source:** Individual  
**Judgment/Lien Holder:** INTERNAL REVENUE SERVICE  
**Judgment/Lien Amount:** \$170,904.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 01/12/2017  
**Date Individual Learned:** 01/30/2017  
**Type of Court:** Federal Court  
**Name of Court:** RECORDER OF DEEDS SAN DIEGO  
**Location of Court:** SAN DIEGO COUNTY, CA  
**Docket/Case #:** 20170018562  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** POA given to 3rd Party Optima Tax - Working on resolution

#### Disclosure 6 of 10

**Reporting Source:** Individual  
**Judgment/Lien Holder:** STATE TAX  
**Judgment/Lien Amount:** \$93,164.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 05/31/2016  
**Date Individual Learned:** 11/08/2016



**Type of Court:** State Court  
**Name of Court:** RECORDER OF DEEDS - SAN DIEGO  
**Location of Court:** SAN DIEGO COUNTY, CA  
**Docket/Case #:** 20160263799  
**Judgment/Lien Outstanding?** Yes

**Disclosure 7 of 10**

**Reporting Source:** Individual  
**Judgment/Lien Holder:** INTERNAL REVENUE SERVICES  
**Judgment/Lien Amount:** \$168,505.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 03/18/2016  
**Date Individual Learned:** 11/08/2016

**Type of Court:** Federal Court  
**Name of Court:** RECORDER OF DEEDS SAN DIEGO  
**Location of Court:** SAN DIEGO COUNTY, CA  
**Docket/Case #:** 20160121654  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** POA given to 3rd Party Optima Tax - Working on resolution

**Disclosure 8 of 10**

**Reporting Source:** Individual  
**Judgment/Lien Holder:** STATE TAX  
**Judgment/Lien Amount:** \$18,795.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 05/08/2015  
**Date Individual Learned:** 05/08/2015

**Type of Court:** State Court  
**Name of Court:** RECORDER OF DEEDS SAN DIEGO  
**Location of Court:** SAN DIEGO COUNTY, CA  
**Docket/Case #:** SQ20150232944  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** Payment plan in place \$3K/mo. Approx. remaining \$18k

**Disclosure 9 of 10**

**Reporting Source:** Individual  
**Judgment/Lien Holder:** INTERNAL REVENUE SERVICES  
**Judgment/Lien Amount:** \$138,071.00



**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 01/30/2015  
**Date Individual Learned:** 01/30/2015  
**Type of Court:** Federal Court  
**Name of Court:** RECORDER OF DEEDS SAN DIEGO  
**Location of Court:** SAN DIEGO COUNTY, CA  
**Docket/Case #:** SQ20150042595  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** POA given to 3rd Party Optima Tax - Working on resolution

**Disclosure 10 of 10**

**Reporting Source:** Individual  
**Judgment/Lien Holder:** INTERNAL REVENUE SERVICE  
**Judgment/Lien Amount:** \$172,792.81  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 11/28/2013  
**Date Individual Learned:** 12/12/2013  
**Type of Court:** Federal Court  
**Name of Court:** RECORDER OF DEEDS SAN DIEGO  
**Location of Court:** SAN DIEGO COUNTY, CA  
**Docket/Case #:** SQ20130718560  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** POA given to 3rd Party Optima Tax - Working on resolution



## End of Report

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