



## IAPD Report

# OSBERT HEWIN HAYNES JR

CRD# 2880011

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1 - 2
Qualifications	3 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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

### OSBERT HEWIN HAYNES JR (CRD# 2880011)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/08/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	NETWORK 1 FINANCIAL SECURITIES INC.	CRD# 13577	07/23/2019
<b>IA</b>	NETWORK 1 FINANCIAL ADVISORS INC.	CRD# 121239	01/08/2026

### QUALIFICATIONS

This representative is currently registered in **2** 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>	NETWORK 1 FINANCIAL ADVISORS INC.	121239	RED BANK, NJ	01/21/2025 - 12/31/2025
<b>B</b>	LAIDLAW & COMPANY (UK) LTD.	119037	New York, NY	09/17/2013 - 07/29/2019
<b>B</b>	JOHN THOMAS FINANCIAL	40982	NEW YORK, NY	04/16/2012 - 06/17/2013

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	1
Criminal	1
Customer Dispute	3
Judgment/Lien	7



## Report Summary



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

#### Employment 1 of 2

Firm Name: **NETWORK 1 FINANCIAL ADVISORS INC.**

Main Address: 2 BRIDGE AVE  
SUITE 241  
RED BANK, NJ 07701

Firm ID#: 121239

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	01/08/2026

#### Branch Office Locations

**NETWORK 1 FINANCIAL ADVISORS INC.**

Somerset, NJ

#### Employment 2 of 2

Firm Name: **NETWORK 1 FINANCIAL SECURITIES INC.**

Main Address: THE GALLERIA, SUITE 241  
2 BRIDGE AVENUE  
RED BANK, NJ 07701

Firm ID#: 13577

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	07/23/2019
B Nasdaq Stock Market	General Securities Representative	Approved	07/23/2019
B California	Agent	Approved	07/08/2025
B Connecticut	Agent	Approved	08/22/2019
B New Jersey	Agent	Approved	06/23/2020
B New York	Agent	Approved	07/23/2019



## Qualifications

### Branch Office Locations

11 Broadway  
Suite 1065  
New York, NY 10004



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

#### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	05/01/1997

#### State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	11/30/2024
B Uniform Securities Agent State Law Examination (S63)	Series 63	05/09/1997

### 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	01/21/2025 - 12/31/2025	NETWORK 1 FINANCIAL ADVISORS INC.	CRD# 121239	RED BANK, NJ
B	09/17/2013 - 07/29/2019	LAIDLAW & COMPANY (UK) LTD.	CRD# 119037	New York, NY
B	04/16/2012 - 06/17/2013	JOHN THOMAS FINANCIAL	CRD# 40982	NEW YORK, NY
B	08/03/2011 - 05/16/2012	SPARTAN CAPITAL SECURITIES, LLC	CRD# 146251	NEW YORK, NY
B	06/22/2010 - 08/02/2011	AVALON PARTNERS, INC.	CRD# 41357	NEW YORK, NY
B	10/04/2005 - 06/22/2010	EKN FINANCIAL SERVICES INC.	CRD# 113525	WOODBURY, NY
B	12/03/2002 - 10/18/2005	AVALON PARTNERS, INC.	CRD# 41357	NEW YORK, NY
B	01/30/2002 - 04/14/2004	THOMAS FLETCHER & COMPANY, INC.	CRD# 43675	NEW YORK, NY
B	07/12/2000 - 01/30/2002	FORDHAM FINANCIAL MANAGEMENT, INC.	CRD# 20996	NEW YORK, NY
B	04/26/1999 - 07/11/2000	KEATON FINANCIAL SERVICES, INC.	CRD# 40467	HACKENSACK, NJ
B	06/22/1998 - 05/27/1999	PHD CAPITAL	CRD# 38785	NEW YORK, NY
B	10/14/1997 - 07/16/1998	ANDREW GARRETT, INC.	CRD# 36250	NEW YORK, NY
B	05/09/1997 - 10/08/1997	ROYCE INVESTMENT GROUP, INC.	CRD# 10494	WOODBURY, NY



## Registration & Employment History

### EMPLOYMENT HISTORY

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

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2025 - Present	Network 1 Financial Advisors, Inc.	Investment Advisor	Y	Red Bank, NJ, United States
07/2019 - Present	Network 1 Financial Securities, Inc.	Registered Representative	Y	Red Bank, NJ, United States
06/2013 - Present	LAIDLAW AND COMPANY	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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.

Network 1 Financial Advisors, Inc., 2 Bridge Avenue, Suite 241, Red Bank, NJ 07701. Start date: 1/17/2025. Investment-related. Nature of business: investment advisory firm. Position: Investment Advisor. Time devoted to OBA during trading hours: 20/month. Time devoted to OBA during non-trading hours: 20/month.



## 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	1
Criminal	1
Customer Dispute	3
Judgment/Lien	7

### 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 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	08/21/2013
<b>Docket/Case Number:</b>	12-02209

#### Employing firm when activity occurred which led to the regulatory action:

<b>Product Type:</b>	No Product
<b>Allegations:</b>	RESPONDENT HAYNES FAILED TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO A FINRA REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.
<b>Current Status:</b>	Final
<b>Resolution:</b>	LETTER



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

No

**Resolution Date:** 08/21/2013

**Sanctions Ordered:** Suspension

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**



**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** ANY CAPACITY

**Duration:** N/A

**Start Date:** 08/21/2013

**End Date:** 09/17/2013

**Regulator Statement** PURSUANT TO ARTICLE VI, SECTION 3 OF FINRA BY-LAWS, AND FINRA RULE 9554, RESPONDENT HAYNES IS SUSPENDED AUGUST 21, 2013 FOR FAILURE TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO A FINRA REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE. SUSPENSION LIFTED ON SEPTEMBER 17, 2013.

---

**Reporting Source:** Individual

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Suspension

**Date Initiated:** 08/21/2013

**Docket/Case Number:** 12-02209

**Employing firm when activity occurred which led to the regulatory action:** SPARTAN CAPITAL SECURITIES, LLC

**Product Type:** No Product

**Allegations:** RESPONDENT HAYNES FAILED TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO A FINRA REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.

**Current Status:** Final

**Resolution:** LETTER



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

No

**Resolution Date:** 08/21/2013  
**Sanctions Ordered:** Suspension  
**Sanction 1 of 1**  
**Sanction Type:** Suspension  
**Capacities Affected:** ANY CAPACITY  
**Duration:** N/A  
**Start Date:** 08/21/2013  
**End Date:** 09/16/2013

**Broker Statement** PURSUANT TO ARTICLE VI, SECTION 3 OF FINRA BY-LAWS, AND FINRA RULE 9554, RESPONDENT HAYNES IS SUSPENDED AUGUST 21, 2013 FOR FAILURE TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO A FINRA REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE. SUSPENSION LIFTED ON SEPTEMBER 17, 2013.



## Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	The State of New Jersey
<b>Location of Court:</b>	Somerset, NJ
<b>Docket/Case #:</b>	S 2018 000589
<b>Charge Date:</b>	10/27/2018
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	2C: 20-11B(2) / SHOPLIFTING - CONCEAL MERCHANDISE, VALUE BTW \$500-\$74999 A CRIME OF THE 3RD DEGREE (FELONY EQUIVALENT)
<b>No of Counts:</b>	2
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Not Guilty
<b>Disposition of charge:</b>	Pled not guilty
<b>Date of Amended Charge:</b>	01/17/2019
<b>Charge was Amended or reduced to:</b>	SHOPLIFTING, CONCEAL MERCHANDISE LESS THAN \$200, A DISORDERLY PERSONS OFFENSE
<b>Amended No of Counts:</b>	2
<b>Amended Charge:</b>	Misdemeanor
<b>Amended Plea:</b>	Not Guilty
<b>Disposition of Amended Charge:</b>	Dismissed
<b>Current Status:</b>	Final
<b>Status Date:</b>	01/17/2019
<b>Disposition Date:</b>	01/17/2019
<b>Sentence/Penalty:</b>	SHOPLIFTING, CONCEAL MERCHANDISE LESS THAN \$200, A DISORDERLY PERSONS OFFENSE



## 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>	SPARTAN CAPITAL SECURITIES, LLC
<b>Allegations:</b>	Claimant alleges misrepresentation resulting in losses.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock) Options
<b>Alleged Damages:</b>	\$163,886.00

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	15-02871
<b>Date Notice/Process Served:</b>	12/17/2015
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	05/02/2018
<b>Monetary Compensation Amount:</b>	\$35,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Firm Statement</b>	The Firm settled with claimant, individual was not part of the settlement.

---

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	SPARTAN CAPITAL SECURITIES, LLC

<b>Allegations:</b>	Claimant alleges misrepresentation resulting in losses.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$163,886.00

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
---	-------



**Docket/Case #:** 15-02871  
**Date Notice/Process Served:** 12/17/2015  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 05/02/2018  
**Monetary Compensation Amount:** \$35,000.00  
**Individual Contribution Amount:** \$0.00

#### Disclosure 2 of 3

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** Spartan Capital Securities, LLC  
**Allegations:** Client alleges unsuitable and unauthorized investments from 2011 to 2012  
**Product Type:** Equity-OTC  
Equity Listed (Common & Preferred Stock)  
**Alleged Damages:** \$163,886.16

#### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA  
**Docket/Case #:** 15-02871  
**Date Notice/Process Served:** 08/17/2017  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 06/29/2018  
**Monetary Compensation Amount:** \$2,500.00  
**Individual Contribution Amount:** \$2,500.00  
**Broker Statement** I was previously named in this case on 12/04/15 and was dismissed from it on 12/9/15. The client has since decided to add me back on to the case as a respondent. The matter will be defended vigorously.

#### Disclosure 3 of 3

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** AVALON PARTNERS  
**Allegations:** CUSTOMER IS ALLEGING UNSUITABLE RECOMMENDATIONS AND UNAUTHORIZED TRANSACTIONS



**Product Type:** Other  
**Other Product Type(s):** COMMON STOCKS

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 08/10/2004

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 10/29/2004

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** NASD HAS COMPLETED ITS REVIEW OF THE MATTER AND HAS CLOSED ITS INVESTIGATION.



## Judgment/Lien

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

### Disclosure 1 of 7

**Reporting Source:** Individual  
**Judgment/Lien Holder:** Internal Revenue Service  
**Judgment/Lien Amount:** \$35,337.62  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 02/27/2018  
**Date Individual Learned:** 11/08/2018  
**Type of Court:** Federal Court  
**Name of Court:** Internal Revenue Service  
**Location of Court:** HARTFORD, CT  
**Docket/Case #:** 2018030200046005  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement**  
I was not aware of this lien because I was not living at the address where the notification was sent too.

### Disclosure 2 of 7

**Reporting Source:** Individual  
**Judgment/Lien Holder:** State of New York  
**Judgment/Lien Amount:** \$1,377.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 10/15/2013  
**Date Individual Learned:** 11/02/2015  
**Type of Court:** State Court  
**Name of Court:** State of New York  
**Location of Court:** NASSAU COUNTY, NY  
**Docket/Case #:** E430115141W0069  
**Judgment/Lien Outstanding?** Yes

### Disclosure 3 of 7

**Reporting Source:** Individual  
**Judgment/Lien Holder:** GOLD STREET PROPERTIES LP  
**Judgment/Lien Amount:** \$12,150.00  
**Judgment/Lien Type:** Civil  
**Date Filed with Court:** 03/05/2012  
**Date Individual Learned:** 11/02/2015



**Type of Court:** State Court  
**Name of Court:** CIVIL COURT OF THE CITY OF NEW YORK  
**Location of Court:** New York, NY  
**Docket/Case #:** 2012K055733  
**Judgment/Lien Outstanding?** Yes

#### Disclosure 4 of 7

**Reporting Source:** Individual  
**Judgment/Lien Holder:** AROW FINANCIAL SERVICES LLC  
**Judgment/Lien Amount:** \$4,018.00  
**Judgment/Lien Type:** Civil  
**Date Filed with Court:** 07/08/2008  
**Date Individual Learned:** 11/02/2015  
**Type of Court:** State Court  
**Name of Court:** MIDDLESEX COUNTY SPECIAL CIVIL COURT  
**Location of Court:** MIDDLESEC, NJ  
**Docket/Case #:** DC02016407  
**Judgment/Lien Outstanding?** Yes

#### Disclosure 5 of 7

**Reporting Source:** Individual  
**Judgment/Lien Holder:** STATE OF NEW JERSEY  
**Judgment/Lien Amount:** \$3,514.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 04/26/2007  
**Date Individual Learned:** 11/02/2015  
**Type of Court:** State Court  
**Name of Court:** NEW JERSEY STATE SUPERIOR COURT  
**Location of Court:** MERCER, NJ  
**Docket/Case #:** DJ10715307  
**Judgment/Lien Outstanding?** Yes

#### Disclosure 6 of 7

**Reporting Source:** Individual  
**Judgment/Lien Holder:** ARCE MEDICAL & DIAGNOSTICS PC  
**Judgment/Lien Amount:** \$1,407.75  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 05/23/2006



**Date Individual Learned:** 11/02/2015  
**Type of Court:** State Court  
**Name of Court:** New Jersey Superior Court  
**Location of Court:** Middlesex County, NJ  
**Docket/Case #:** DC-001803-2006  
**Judgment/Lien Outstanding?** Yes

#### Disclosure 7 of 7

**Reporting Source:** Individual  
**Judgment/Lien Holder:** J&C RESOURCES LLC, AS SUCCESSOR IN INTEREST TO JOHN THOMAS FINANCIAL  
**Judgment/Lien Amount:** \$19,053.70  
**Judgment/Lien Type:** Civil  
**Date Filed with Court:** 09/12/2014  
**Date Individual Learned:** 10/28/2014  
**Type of Court:** State Court  
**Name of Court:** NEW YORK COUNTY CIVIL COURT  
**Location of Court:** NEW YORK, NY  
**Docket/Case #:** CV-022991-14/NY  
**Judgment/Lien Outstanding?** Yes



## End of Report

This page is intentionally left blank.