## IAPD Report

# STEVEN ARTHUR NEWMAN

CRD# 3041185



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

## STEVEN ARTHUR NEWMAN (CRD# 3041185)

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 **07/31/2026**.

## CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

## QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

**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 | WORLD INVESTMENT ADVISORS, LLC | 208512 | TAMPA, FL | 10/22/2025 - 07/16/2026 |
| IA | WORLD ADVISORY SERVICES | 20626 | LINCROFT, NJ | 02/28/2014 - 12/03/2025 |
| IA | LPL FINANCIAL LLC | 6413 | TOMS RIVER, NJ | 02/29/2008 - 12/13/2013 |

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 |
| Customer Dispute | 1 |
| Termination | 2 |
| Financial | 1 |
| Judgment/Lien | 3 |

# Qualifications

## REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.

This individual is not currently registered as an Investment Adviser Representative.

# 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, 0 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

| Exam | Category | Date |
|---|---|---|
| No information reported. | | |

### General Industry/Product Exams

| Exam | Category | Date |
|---|---|---|
| No information reported. | | |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA | Uniform Investment Adviser Law Examination (S65) | Series 65 | 03/31/2003 |

## 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 | 10/22/2025 - 07/16/2026 | WORLD INVESTMENT ADVISORS, LLC | CRD# 208512 | TAMPA, FL |
| IA | 02/28/2014 - 12/03/2025 | WORLD ADVISORY SERVICES | CRD# 20626 | LINCROFT, NJ |
| IA | 02/29/2008 - 12/13/2013 | LPL FINANCIAL LLC | CRD# 6413 | TOMS RIVER, NJ |
| IA | 10/14/2005 - 03/03/2008 | BANC OF AMERICA INVESTMENT SERVICES, INC. | CRD# 16361 | SEA GIRT, NJ |
| IA | 04/10/2003 - 10/17/2003 | NEW YORK LIFE INVESTMENT MANAGEMENT LLC | CRD# 109591 | PARSIPPANY, NJ |

## 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 |
|---|---|---|---|---|
| 07/2026 - Present | INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC | INVESTMENT ADVISOR REPRESENTATIVE | Y | TAMPA, FL, United States |
| 10/2025 - 07/2026 | WORLD INVESTMENT ADVISORS, LLC | INVESTMENT ADVISOR REPRESENTATIVE | Y | SANTA BARBARA, CA, United States |
| 01/2014 - 07/2026 | WORLD INVESTMENTS, LLC | REGISTERED REPRESENTATIVE | Y | LINCROFT, NJ, 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.

No information reported.

 

# 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 |
| Customer Dispute | 1 |
| Termination | 2 |
| Financial | 1 |
| Judgment/Lien | 3 |

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

| | |
|---|---|
| **Reporting Source:** | Regulator |
| **Regulatory Action Initiated By:** | FINRA |
| **Sanction(s) Sought:** | |
| **Date Initiated:** | 11/07/2014 |
| **Docket/Case Number:** | 2013039332601 |
| **Employing firm when activity occurred which led to the regulatory action:** | LPL FINANCIAL LLC |
| **Product Type:** | No Product |
| **Allegations:** | WITHOUT ADMITTING OR DENYING THE FINDINGS, NEWMAN CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE ENGAGED IN AN UNDISCLOSED OUTSIDE BUSINESS ACTIVITY WITHOUT PROVIDING PRIOR WRITTEN NOTICE OF THE OUTSIDE BUSINESS ACTIVITY TO HIS MEMBER FIRM. THE FINDINGS STATED THAT NEWMAN OWNED AND OPERATED A CLEANING BUSINESS AND HE MADE APPROXIMATELY $40,000 ANNUALLY FROM THAT BUSINESS. IN COMPLETING HIS FIRM'S FINANCIAL ADVISOR QUESTIONNAIRES IN 2010 THROUGH 2012, NEWMAN FALSELY INDICATED THAT HE WAS NOT INVOLVED IN ANY BUSINESS ACTIVITIES OUTSIDE OF THE FIRM. |
| **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:** | 11/07/2014 |
| **Sanctions Ordered:** | Civil and Administrative Penalty(ies)/Fine(s)<br>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?** | No |
| **(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:** | ONE MONTH |
| **Start Date:** | 12/01/2014 |
| **End Date:** | 12/31/2014 |
| **Monetary Sanction 1 of 1** | |
| **Monetary Related Sanction:** | Civil and Administrative Penalty(ies)/Fine(s) |
| **Total Amount:** | $5,000.00 |
| **Portion Levied against individual:** | $5,000.00 |
| **Payment Plan:** | |
| **Is Payment Plan Current:** | |
| **Date Paid by individual:** | 05/29/2015 |
| **Was any portion of penalty waived?** | No |
| **Amount Waived:** | |

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Regulatory Action Initiated By:** | FINRA |
| **Sanction(s) Sought:** | |
| **Date Initiated:** | 11/07/2014 |
| **Docket/Case Number:** | 2013039332601 |
| **Employing firm when activity occurred which led to the regulatory action:** | LPL FINANCIAL LLC |

 

| | |
|---|---|
| **Product Type:** | No Product |
| **Allegations:** | WITHOUT ADMITTING OR DENYING THE FINDINGS, NEWMAN CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE ENGAGED IN AN UNDISCLOSED OUTSIDE BUSINESS ACTIVITY WITHOUT PROVIDING PRIOR WRITTEN NOTICE OF THE OUTSIDE BUSINESS ACTIVITY TO HIS MEMEBER FIRM. THE FINDINGS STATED THAT NEWMAN OWNED AND OPERATED A CLEANING BUSINESS AND HE MADE APPROXIMATELY $40,000 ANNUALLY FROM THAT BUSINESS. IN COMPLETING HIS FIRM'S FINANCIAL ADVISOR QUESTIONNAIRES IN 2010 THROUGHT 2013, NEWMAN FALSELY INDICATED THAT HE WAS NOT INVOLVED IN ANY BUSINESS ACTIVITIES OUTSIDE OF THE FIRM |
| **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:** | 11/07/2014 |
| **Sanctions Ordered:** | Civil and Administrative Penalty(ies)/Fine(s)<br>Suspension |
| **Sanction 1 of 1** | |
| **Sanction Type:** | Suspension |
| **Capacities Affected:** | ANY CAPACITY |
| **Duration:** | ONE MONTH |
| **Start Date:** | 12/01/2014 |
| **End Date:** | 12/31/2014 |
| **Monetary Sanction 1 of 1** | |
| **Monetary Related Sanction:** | Civil and Administrative Penalty(ies)/Fine(s) |
| **Total Amount:** | $5,000.00 |
| **Portion Levied against individual:** | $0.00 |
| **Payment Plan:** | INSTALLMENT PLAN |
| **Is Payment Plan Current:** | Yes |
| **Date Paid by individual:** | |
| **Was any portion of penalty waived?** | No |
| **Amount Waived:** | |

 

## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 1

| | |
|---|---|
| **Reporting Source:** | Firm |
| **Employing firm when activities occurred which led to the complaint:** | MERRILL LYNCH PIERCE FENNER & SMITH, INC. AND LPL FINANCIAL |
| **Allegations:** | ALLEGES UNSUITABILITY IN CONNECTION WITH INVESTMENTS IN AN INLAND AMERICAN REIT, MUTUAL FUNDS AND AXA VARIABLE ANNUITY. ALSO ALLEGES PAYMENT MADE DIRECTLY TO FINANCIAL ADVISOR FOR PERSONAL SERVICES PROVIDED. |
| **Product Type:** | Annuity-Variable<br>Mutual Fund<br>Real Estate Security |
| **Alleged Damages:** | $95,000.00 |
| **Is this an oral complaint?** | No |
| **Is this a written complaint?** | Yes |
| **Is this an arbitration/CFTC reparation or civil litigation?** | Yes |
| **Arbitration/Reparation forum or court name and location:** | FINRA |
| **Docket/Case #:** | 13-02760 |
| **Filing date of arbitration/CFTC reparation or civil litigation:** | 09/20/2013 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 09/27/2013 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 07/24/2014 |
| **Settlement Amount:** | $29,500.00 |
| **Individual Contribution Amount:** | $0.00 |

| | |
|---|---|
| **Reporting Source:** | Firm |
| **Employing firm when activities occurred which led to the complaint:** | BANC OF AMERICA INVESTMENT SERVICES, INC. |
| **Allegations:** | THE CUSTOMER ALLEGES UNSUITABLE INVESTMENT RECOMMENDATIONS |

| | |
|---|---|
| | AND MISREPRESENTATION FROM OCTOBER 2005 TO MARCH 2008. |
| **Product Type:** | Debt-Corporate<br>Mutual Fund<br>Other: REITS |
| **Alleged Damages:** | $95,000.00 |
| **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 #:** | 13-02760 |
| **Filing date of arbitration/CFTC reparation or civil litigation:** | 09/20/2013 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 09/27/2013 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 04/07/2014 |
| **Settlement Amount:** | $14,500.00 |
| **Individual Contribution Amount:** | $0.00 |

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Employing firm when activities occurred which led to the complaint:** | MERRILL LYNCH PIERCE FENNER & SMITH, INC. AND LPL FINANCIAL, LLC |
| **Allegations:** | ALLEGES UNSUITABILITY IN CONECTION WITH INVESTMENTS IN AN INLAND AMERICAN REIT, MUTUAL FUNDS AND AN AXA VARIABLE ANNUITY. ALSO ALLEGE PAYMENTS MADE DIRECTLY TO FINANCIAL ADVISOR FOR PERSONAL SERVICE PROVIDED. |
| **Product Type:** | Annuity-Variable<br>Mutual Fund<br>Real Estate Security |
| **Alleged Damages:** | $95,000.00 |
| **Is this an oral complaint?** | No |
| **Is this a written complaint?** | Yes |
| **Is this an arbitration/CFTC reparation or civil litigation?** | Yes |
| **Arbitration/Reparation forum or court name and location:** | FINRA |
| **Docket/Case #:** | 13-02760 |

| | |
|---|---|
| **Filing date of arbitration/CFTC reparation or civil litigation:** | 09/20/2013 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 09/27/2013 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 07/11/2014 |
| **Settlement Amount:** | $29,500.00 |
| **Individual Contribution Amount:** | $0.00 |

## 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 2

| | |
|---|---|
| **Reporting Source:** | Firm |
| **Firm Name:** | WORLD INVESTMENTS, LLC |
| **Termination Type:** | Discharged |
| **Termination Date:** | 07/16/2026 |
| **Allegations:** | Representative is under a continuing review regarding allegations that he was using a non-approved private email address for business communications |
| **Product Type:** | No Product |

### Disclosure 2 of 2

| | |
|---|---|
| **Reporting Source:** | Firm |
| **Firm Name:** | LPL FINANCIAL LLC |
| **Termination Type:** | Discharged |
| **Termination Date:** | 11/08/2013 |
| **Allegations:** | VIOLATION OF FIRM POLICY REGARDING OUTSIDE BUSINESS ACTIVITIES. |
| **Product Type:** | No Product |

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Firm Name:** | LPL FINANCIAL |
| **Termination Type:** | Discharged |
| **Termination Date:** | 11/08/2013 |
| **Allegations:** | VIOLATION OF FIRM POLICY REGARDING OUTSIDE BUSIINESS ACTIVITIES. |
| **Product Type:** | Other: OUTSIDE BUSINESS ACTIVITIES |

 

## 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:** | Bankruptcy |
| **Bankruptcy:** | Chapter 7 |
| **Action Date:** | 02/19/2017 |
| **Organization Investment-Related?** | |
| **Type of Court:** | U.S. BANKRUPTCY COURT |
| **Name of Court:** | DISTRICT OF NEW JERSEY |
| **Location of Court:** | NEW JERSEY |
| **Docket/Case #:** | 17-13157 |
| **Action Pending?** | No |
| **Disposition:** | Discharged |
| **Disposition Date:** | 05/19/2017 |

## Judgment/Lien

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

### Disclosure 1 of 3

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Judgment/Lien Holder:** | IRS |
| **Judgment/Lien Amount:** | $18,606.91 |
| **Judgment/Lien Type:** | Tax |
| **Date Filed with Court:** | 04/03/2024 |
| **Date Individual Learned:** | 04/03/2024 |
| **Type of Court:** | State Court |
| **Name of Court:** | clerk of circuit court |
| **Location of Court:** | Hillsborough county Tampa Florida |
| **Docket/Case #:** | 2024138194 |
| **Judgment/Lien Outstanding?** | Yes |

### Disclosure 2 of 3

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Judgment/Lien Holder:** | IRS |
| **Judgment/Lien Amount:** | $8,383.30 |
| **Judgment/Lien Type:** | Tax |
| **Date Filed with Court:** | 10/03/2017 |
| **Date Individual Learned:** | 10/03/2017 |
| **Type of Court:** | State Court |
| **Name of Court:** | OFFICE OF THE COUNTY CLERK OCEAN NJ |
| **Location of Court:** | TOMS RIVER, NEW JERSEY |
| **Judgment/Lien Outstanding?** | Yes |

### Disclosure 3 of 3

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Judgment/Lien Holder:** | IRS |
| **Judgment/Lien Amount:** | $46,842.28 |
| **Judgment/Lien Type:** | Tax |
| **Date Filed with Court:** | 01/27/2017 |
| **Date Individual Learned:** | 01/30/2017 |
| **Type of Court:** | State Court |
| **Name of Court:** | OCEAN COUNTY |
| **Location of Court:** | OCEAN COUNTY NEW JERSEY |

| | |
|---|---|
| **Docket/Case #:** | 2017010112 |
| **Judgment/Lien Outstanding?** | Yes |
| **Broker Statement** | MR. NEWMAN IS PAYING THIS DOWN VIA PAYMENT PLAN WITH THE IRS. DEBT IS CURRENTLY DOWN TO $44884. |

# End of Report

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