



## IAPD Report

# DAVID CORDELL ROLLINS

CRD# 4576407

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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

### DAVID CORDELL ROLLINS (CRD# 4576407)

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 **02/19/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	STONEX SECURITIES INC.	CRD# 18456	05/16/2012
<b>IA</b>	STONEX ADVISORS INC.	CRD# 174182	06/30/2016

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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>	STERNE AGEE ASSET MANAGEMENT, INC.	130888	BATON ROUGE, LA	06/08/2012 - 06/30/2016
<b>IA</b>	MORGAN STANLEY SMITH BARNEY LLC	149777	BATON ROUGE, LA	01/03/2012 - 03/09/2012
<b>B</b>	MORGAN STANLEY SMITH BARNEY	149777	BATON ROUGE, LA	11/16/2011 - 03/09/2012

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
Judgment/Lien	2



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **16** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **STONEX ADVISORS INC.**  
Main Address: 2 PERIMETER PARK SOUTH  
SUITE 500 WEST  
BIRMINGHAM, AL 35243  
Firm ID#: 174182

Regulator	Registration	Status	Date
IA Louisiana	Investment Adviser Representative	Approved	06/30/2016
IA Texas	Investment Adviser Representative	Approved	02/10/2023

#### Branch Office Locations

**STONEX ADVISORS INC.**  
7904 Wrenwood Blvd  
Suite D  
Baton Rouge, LA 70809

**STONEX ADVISORS INC.**  
DALLAS, TX

#### Employment 2 of 2

Firm Name: **STONEX SECURITIES INC.**  
Main Address: 2 PERIMETER PARK SOUTH  
SUITE 500 WEST  
BIRMINGHAM, AL 35243  
Firm ID#: 18456

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	05/16/2012
B Alabama	Agent	Approved	09/08/2015
B Arkansas	Agent	Approved	03/13/2018
B Colorado	Agent	Approved	03/24/2016



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Illinois	Agent	Approved	06/24/2015
<b>B</b> Kansas	Agent	Approved	10/14/2014
<b>B</b> Louisiana	Agent	Approved	05/22/2012
<b>B</b> Maine	Agent	Approved	06/24/2020
<b>B</b> Minnesota	Agent	Approved	05/16/2012
<b>B</b> Mississippi	Agent	Approved	05/25/2012
<b>B</b> North Carolina	Agent	Approved	09/01/2015
<b>B</b> Ohio	Agent	Approved	07/23/2015
<b>B</b> Oregon	Agent	Approved	08/11/2015
<b>B</b> Pennsylvania	Agent	Approved	02/18/2022
<b>B</b> Texas	Agent	Approved	06/30/2015
<b>B</b> Virginia	Agent	Approved	07/29/2015
<b>B</b> Wisconsin	Agent	Approved	06/26/2015

### Branch Office Locations

7904 WRENWOOD BOULEVARD  
BATON ROUGE, LA 70809

DALLAS, TX



## 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 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
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General Securities Representative Examination (S7)	Series 7	11/15/2011
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	12/19/2011
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### 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	06/08/2012 - 06/30/2016	STERNE AGEE ASSET MANAGEMENT, INC.	CRD# 130888	BATON ROUGE, LA
IA	01/03/2012 - 03/09/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	BATON ROUGE, LA
B	11/16/2011 - 03/09/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	BATON ROUGE, LA

### 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
06/2016 - Present	STONEX ADVISORS INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	BATON ROUGE, LA, United States
05/2012 - Present	STONEX SECURITIES INC.	REGISTERED REPRESENTATIVE	Y	BATON ROUGE, LA, 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.

1)Rollins Knowledge Organization, Inc.  
3528 Drexel Drive Dallas, TX 75205

Nature of Business: Rollins Knowledge Organization was incorporated in 2000 to provide technology & management consulting services to financial services companies in the US. It also deals in antique automobiles, jewelry, & firearms. In 2019, it will provide management services for real property in the US.

Investment Related: Non-Investment Related

Title: Owner

Duties: Manage the 401K for current & former employees of RKO Own & manage real property in the US. Own & manage other assets of the business (automobiles, bank accounts, collectibles).

Start Date: 12/09/2019

Hours Devoted to Business: 2

Hours Devoted to Business during Market Hours: 0

2)Pacific & Olive

2100 Pacific Avenue, Dallas, TX 75201

Commercial Parking

Non-Investment related

Owner

Manage a 33,000 square foot parking lot in downtown Dallas.

12/22/14



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Approx Hours Devoted to Business: 2

Approx Hours Devoted to Business during Market Hours: 0

3)BOY SCOUTS OF AMERICA 9644 BROOKLINE AVE BATON ROUGE LA 70809; DISTRICT CHAIRMAN/BOARD OF DIRECTORS; START DATE 02/01/2012; PROMOTING THE VALUES OF SCOUTING; APPX 4 HOURS PER MONTH; 0 HOURS DURING MARKET HOURS; RECRUITING ADULT LEADERS; FUNDRAISING.

4)SI Financial Advisors

7904 Wrenwood Blvd, Suite D, Baton Rouge, LA 70809

Partnership to pay office expenses, No retained earnings

Non-investment related

Partner

02/22/2018

0 hours spent per month

5)Boy Scouts of America Istrouma Area Council

9644 Brookline Ave, Baton Rouge, LA 70809

Prepare young people to make ethical & moral choices over their lifetime

Non-investment related

VP & Executive Board Member

Recruit Adult leaders & new board members, assist the six district committees in fundraising & growing memberships.

01/22/2017

4 hours spent per month & 0 hours spent during market hours

6) Boy Scouts of America- 1325 W Walnut Hill Lane, Irving, TX 75038

Nature of Business: Strengthen relationships between councils & the national level organization, & provide broad & continuous advocacy for all councils in National Service Territory 7 (South Texas & Louisiana). This position is in addition to my council level volunteer position (approved OBA).

Investment Related: No

Business Position: Council Relations Lead, National Service Territory 7 (South TX & LA)

Business Duties: 1. Serve as an engaged member of the NST leadership team & provide timely, routine updates on council culture, accomplishments, & needs identified through interactions with council leadership. 2. Appoint & assign Council Relations Advocates in consultation with the Key 3s of the NST & the council. 3. Train, oversee, & support the team of advocates providing support to all NST councils. 4. Communicate with councils to explain & facilitate the role of Council Relations Advocates. 5. Recommend resource allocation & assist with gathering & enabling ad hoc teams to assist councils in specific areas of need across all areas of council operations. 6. Represent the councils in communicating challenges & successes to the NST leadership. 7. Share & promote national resources & initiatives to councils through Council Relations Advocates & Council Key 3s. 8. Work with the NST Commissioner to provide mentoring & assistance for to conduct each council's annual review. 9. Host regular meetings, conferences, & other gatherings to share information & best practices while fostering ongoing networking. 7. Help maintain standards & policies of the BSA.

Business Start Date: 09/30/2021

Approx 10 hrs spent on this OBA monthly with 0 spent during market hours.

11) LA Veterans Museum Foundation - 305 South River Rd, Baton Rouge LA 70802

Nature of Business: The LA Veterans Museum Foundation supports

Investment Related: No

Business Position: board of directors

Business Duties: the board meets 4/year & holds an annual banquet honoring a veteran or patriot

Business Start Date: 02/19/2026

Approx 2 hrs spent on this OBA monthly; with 0 during market hours



## 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
Judgment/Lien	2

### 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>	Other: N/A
<b>Date Initiated:</b>	10/31/2024
<b>Docket/Case Number:</b>	<a href="#">2022075416402</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	StoneX Securities Inc.

**Product Type:** Other: Unspecified securities

**Allegations:** Without admitting or denying the findings, Rollins consented to the sanctions and to the entry of findings that he improperly used customer securities and funds by transferring approximately \$12,000 in cash and approximately \$200,000 worth of securities from his minor daughter's Uniform Trust Minor Account (UTMA) to his brokerage account. The findings stated that Rollins, as custodian of his daughter's UTMA account, was required to keep the custodial property separate from all other property. However, Rollins submitted a letter of authorization, requesting his member firm transfer the funds and securities in his daughter's UTMA account to his brokerage account and close the UTMA account. The next month, Rollins sent an email to the firm explaining that he planned to establish a trust for the benefit of his daughter within the calendar year. After receiving approval from the firm, Rollins transferred the cash and securities to his brokerage account. Subsequently, Rollins sold shares of stock previously held in his daughter's UTMA account. Almost 5 years later, Rollins established an irrevocable trust for the benefit of his



daughter. After establishing the irrevocable trust, Rollins transferred approximately \$107,000 in cash and all the remaining shares of stock previously held in the UTMA account worth approximately \$105,000, from his brokerage account to his daughter's trust.

**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:**

10/31/2024

**Sanctions Ordered:**

Civil and Administrative Penalty(ies)/Fine(s)  
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:** All capacities  
**Duration:** Three months  
**Start Date:** 11/18/2024  
**End Date:** 02/17/2025

**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:** 12/10/2024  
**Was any portion of penalty waived?** No

**Amount Waived:**

.....  
**Reporting Source:** Individual  
**Regulatory Action Initiated By:** FINRA  
**Sanction(s) Sought:** Other: N/A  
**Date Initiated:** 10/31/2024  
**Docket/Case Number:** [2022075416402](#)  
**Employing firm when activity occurred which led to the regulatory action:** StoneX Securities Inc.



<b>Product Type:</b>	Other: Unspecified Securities
<b>Allegations:</b>	Without admitting or denying the findings, Rollins consented to the sanctions and to the entry of findings that he improperly used customer securities and funds by transferring approximately \$12,000 in cash and approximately \$200,000 worth of securities from his minor daughter's Uniform Trust Minor Account (UTMA) to his brokerage account. The findings stated that Rollins, as custodian of his daughter's UTMA account, was required to keep the custodial property separate from all other property. However, Rollins submitted a letter of authorization, requesting his member firm transfer the funds and securities in his daughter's UTMA account to his brokerage account and close the UTMA account. The next month, Rollins sent an email to the firm explaining that he planned to establish a trust for the benefit of his daughter within the calendar year. After receiving approval from the firm, Rollins transferred the cash and securities to his brokerage account. Subsequently, Rollins sold shares of stock previously held in his daughter's UTMA account. Almost 5 years later, Rollins established an irrevocable trust for the benefit of his daughter. After establishing the irrevocable trust, Rollins transferred approximately \$107,000 in cash and all the remaining shares of stock previously held in the UTMA account worth approximately \$105,000, from his brokerage account to his daughter's trust.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	10/31/2024
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	Principal, Financial Operations Principal, All Capacities, etc.
<b>Duration:</b>	Three Months
<b>Start Date:</b>	11/18/2024
<b>End Date:</b>	02/17/2025
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$5,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	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:** Individual

**Employing firm when activities occurred which led to the complaint:** SA STONE WEALTH MANAGEMENT INC.

**Allegations:** Civil litigation filed June 23, 2023 alleges David Rollins violated his fiduciary duty required on his daughter's UTMA account established June 2012. He breached his fiduciary duty when he requested the funds from the UTMA account be transferred to his personal account on February 13, 2017.

**Product Type:** No Product

**Alleged Damages:** \$75,000.00

### Civil Litigation Information

**Type of Court:** State Court

**Name of Court:** District Court, Civil Court Department

**Location of Court:** Johnson County, Kansas

**Docket/Case #:** 23CV03493

**Date Notice/Process Served:** 07/31/2023

**Litigation Pending?** Yes



### Judgment/Lien

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

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$34,220.38
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	04/11/2019
<b>Date Individual Learned:</b>	05/21/2019
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	East Baton Rouge
<b>Location of Court:</b>	Baton Rouge, LA
<b>Docket/Case #:</b>	350600719
<b>Judgment/Lien Outstanding?</b>	Yes

#### Disclosure 2 of 2

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	STATE OF NORTH CAROLINA DEPT. OF REVENUE
<b>Judgment/Lien Amount:</b>	\$15,657.26
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	04/08/2015
<b>Date Individual Learned:</b>	04/24/2015
<b>Type of Court:</b>	NC DEPT OF REVENUE
<b>Name of Court:</b>	NC DEPARTMENT OF REVENUE
<b>Location of Court:</b>	RALEIGH, NC
<b>Docket/Case #:</b>	NOTICE #3811314150404
<b>Judgment/Lien Outstanding?</b>	Yes



## End of Report

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