



IAPD Report

ELTON JOHNSON JR

CRD# 844428

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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

ELTON JOHNSON JR (CRD# 844428)

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 **03/09/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIVET SECURITIES, INC.	CRD# 34786	05/13/1994
IA	AMERIVET SECURITIES, INC.	CRD# 34786	01/18/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	MOORGATE INVESTMENTS, INC.	17646	CHICAGO, IL	09/01/1995 - 02/06/1996
B	LAMAUTE CAPITAL INCORPORATED	32957	CHEVY CHASE, MD	10/12/1993 - 10/19/1993
B	ROCKEFELLER, ROTHSCHILD, & STEELE	1904	BEVERLY HILLS, CA	06/18/1993 - 09/29/1993

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	4
Criminal	1
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 2 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AMERIVET SECURITIES, INC.**
Main Address: 1155 AVENUE OF THE AMERICAS, 14TH FLOOR
NEW YORK, NY 10036
Firm ID#: 34786

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	05/13/1994
B	FINRA	General Securities Principal	Approved	05/13/1994
B	FINRA	General Securities Representative	Approved	05/13/1994
B	FINRA	Municipal Securities Principal	Approved	05/13/1994
B	FINRA	Municipal Securities Representative	Approved	05/13/1994
B	FINRA	Registered Options Principal	Approved	05/13/1994
B	FINRA	Investment Banking Representative	Approved	01/25/2010
B	FINRA	Operations Professional	Approved	12/16/2011
B	FINRA	Securities Trader	Approved	01/04/2016
B	FINRA	Compliance Officer	Approved	10/01/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	California	Agent	Approved	05/16/1994
IA	California	Investment Adviser Representative	Approved	01/18/2012



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	11/15/2019

Branch Office Locations

AMERIVET SECURITIES, INC.
1155 AVENUE OF THE AMERICAS, 14TH FLOOR
NEW YORK, NY 10036

AMERIVET SECURITIES, INC.
MORENO VALLEY, 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 6 principal/supervisory exams, 8 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	01/02/2023
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 NFA Branch Manager Examination (S30)	Series 30	03/22/2012
 Financial and Operations Principal Examination (S27)	Series 27	02/07/2009
 General Securities Principal Examination (S24)	Series 24	01/31/2009
 Municipal Securities Principal Examination (S53)	Series 53	09/20/1991

General Industry/Product Exams


Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	03/20/2012
 Limited Representative-Equity Trader Exam (S55)	Series 55	12/07/2001





Qualifications

PASSED INDUSTRY EXAMS

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7)	Series 7	10/15/1977

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/04/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/04/1983

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
B	09/01/1995 - 02/06/1996	MOORGATE INVESTMENTS, INC.	CRD# 17646	CHICAGO, IL
B	10/12/1993 - 10/19/1993	LAMAUTE CAPITAL INCORPORATED	CRD# 32957	CHEVY CHASE, MD
B	06/18/1993 - 09/29/1993	ROCKEFELLER, ROTHSCHILD, & STEELE	CRD# 1904	BEVERLY HILLS, CA
B	07/20/1992 - 09/14/1993	U. S. PACIFIC FINANCIAL SERVICES, INC.	CRD# 17423	ALHAMBRA, CA
B	04/09/1990 - 08/09/1993	JOHNSON, MCKENNEY, CARR & COMPANY INCORPORATED	CRD# 24681	
B	11/16/1989 - 11/14/1991	NATIONAL CAPITAL INVESTMENT PARTNERS, INC.	CRD# 22115	
B	08/23/1989 - 10/30/1989	NOBLE FINANCIAL CORPORATION	CRD# 20818	
B	08/11/1988 - 11/17/1988	WAINWRIGHT SECURITIES, LTD.	CRD# 22529	
B	07/02/1986 - 06/03/1988	JOHNSON & JOUNET SECURITIES	CRD# 10628	
B	07/28/1987 - 12/15/1987	ELTON JOHNSON SECURITIES	CRD# 17783	
B	07/17/1987 - 09/11/1987	GENE MORGAN FINANCIAL	CRD# 16018	
B	02/11/1987 - 07/27/1987	GREAT WESTERN FINANCIAL SECURITIES CORPORATION	CRD# 14229	
B	06/26/1984 - 12/03/1984	PACIFIC BROKERAGE SERVICES	CRD# 7289	
B	06/24/1983 - 06/01/1984	SECURITY PACIFIC BROKERS, INC.	CRD# 12965	
B	11/08/1981 - 04/13/1983	WEDBUSH, NOBLE, COOKE, INC	CRD# 877	
B	12/17/1980 - 09/03/1981	KENNEDY, CABOT & CO.	CRD# 2417	



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	10/26/1977 - 07/28/1979	BLINDER, ROBINSON & CO.,INC.	CRD# 5096	

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
08/1993 - Present	AMERIVET SECURITIES INC	Founder & Non Executive Chairman	Y	NEW YORK CITY, NY, United States
08/2020 - 05/2021	Amerivet Securities - RIA, LLC	Managing Member, President & CEO, CCO, and IAR	Y	MORENO VALLEY, CA, 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. NAME OF BUSINESS: EXECUTIVE COMMAND GROUP, INC.
2. INVESTMENT RELATED: NO.
3. ADDRESS OF BUSINESS: POB 1074, INGLEWOOD, CA 90308
4. NATURE OF THE BUSINESS: PRIVATE INVESTIGATIVE SERVICES
5. POSITION: PRESIDENT & CEO
6. START DATE OF RELATIONSHIP: SEP 1997 (DATE THAT I OBTAINED MY PRIVATE INVESTIGATOR LICENSE)
7. APPROXIMATE NUMBER OF HOURS/MONTH DEVOTED TO THIS BUSINESS: 20 PER MONTH.
8. NUMBER OF HOURS DEVOTED TO THIS BUSINESS DURING SECURITIES TRADING HOURS: ZERO.
9. DUTIES: HANDLING ALL OPERATIONAL MATTERS PERTAINING TO THIS COMPANY

1. NAME OF BUSINESS: VETERAN VENTURES CAPITAL, LLC.
2. INVESTMENT RELATED: YES
3. ADDRESS OF BUSINESS: 10629 HARDIN VALLEY ROAD, STE. 216, KNOXVILLE, TN 37932
4. NATURE OF THE BUSINESS: VENTURE CAPITAL FOR VETERAN OWNED FIRMS
5. POSITION: DIRECTOR
6. START DATE OF RELATIONSHIP: JANUARY 2021
7. APPROXIMATE NUMBER OF HOURS/MONTH DEVOTED TO THIS BUSINESS: 1 HOUR PER MONTH
8. NUMBER OF HOURS DEVOTED TO THIS BUSINESS DURING SECURITIES TRADING HOURS: ZERO.
9. DUTIES: PROVIDING ADVISE TO THE PRESIDENT & CEO IF AND WHEN REQUESTED



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	4
Criminal	1
Judgment/Lien	10

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 4

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/28/2003
Docket/Case Number:	C3A030008
Employing firm when activity occurred which led to the regulatory action:	AMERIVET SECURITIES, INC.
Product Type:	Investment Contract(s)
Other Product Type(s):	COMMON STOCK, PROMISSORY NOTE
Allegations:	NASD RULES 2110, 3010 AND 3040 - RESPONDENT ELTON JOHNSON FAILED TO SUPERVISE AN INDIVIDUAL THAT PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS AS IF THEY WERE TRANSACTIONS OF THE FIRM OR IN A MANNER REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH THE LAWS, RULES AND REGULATIONS THAT APPLIED TO THE INDIVIDUAL'S SECURITIES SALES AWAY FROM THE FIRM. RESPONDENT FAILED TO RECORD THE TRANSACTIONS ON HIS MEMBER FIRMS BOOKS AND RECORDS.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement



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: 09/28/2006

Sanctions Ordered: Suspension

Other Sanctions Ordered: UNDERTAKING

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, JOHNSON CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, THE DEFAULT DECISION DATED MAY 15, 2006 IS SET ASIDE AND RESPONDENT IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY SUPERVISORY CAPACITY FOR 18 MONTHS AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN A FINANCIAL AND OPERATIONS PRINCIPAL ("FINOP") CAPACITY FOR 18 MONTHS. IN ADDITION, RESPONDENT SHALL REQUALIFY BY EXAMINATION AS A GENERAL SECURITIES PRINCIPAL PRIOR TO ASSOCIATING WITH ANY NASD MEMBER IN ANY SUPERVISORY AND FINOP CAPACITIES FOLLOWING THE CONCLUSION OF THE SUSPENSIONS. RESPONDENT WILL ENSURE THAT THE FIRM WILL EMPLOY A SECOND GENERAL SECURITIES PRINCIPAL AND A FINOP UNTIL HIS SUSPENSIONS HAVE CONCLUDED AND HE HAS REQUALIFIED AS A PRINCIPAL AND AS A FINOP BY PASSING THE SERIES 24 AND 27 EXAMINATION. THE SUSPENSIONS IN A SUPERVISORY AND FINOP CAPACITIES ARE EFFECTIVE FROM DECEMBER 4, 2006 THROUGH JUNE 3, 2008.

Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: N/A

Date Initiated: 09/28/2006

Docket/Case Number: C3A20030008

Employing firm when activity occurred which led to the regulatory action: AMERIVET SECURITIES, INC.

Product Type: Other

Other Product Type(s): N/A

Allegations: THE ALLEGATIONS WERE THAT IN 1996, I FAILED TO SUPERVISE A REGISTERED REP WHO WAS WORKING FOR SEVERAL OTHER COMPANIES SELLING WHAT WERE THEN DEEMED TO BE NON-SECURITIES.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 09/28/2006

Sanctions Ordered: Suspension



Other Sanctions Ordered: NONE

Sanction Details: THE SUSPENSION PERIOD IS 18 MONTHS FROM 4 DECEMBER 2006 TO 3 JUNE 2008 AS A FINANCIAL & OPERATIONS PRINCIPAL AND AS A GENERAL PRINCIPAL.

Broker Statement DUE TO THE FACT THAT I COMPLAINED ABOUT THE TREATMENT ME AND MY BD WERE RECEIVING FROM THE NASD DISTRICT 2 OFFICE, A COMPLAINT WAS BROUGHT AGAINST ME PERSONALLY BY THIS OFFICE IN RETALIATION. THE COMPLAINT DEALT WITH A MATTER THAT HAD HAPPENED SEVEN YEARS PRIOR AND FOR WHICH I HAD ALREADY BEEN INVESTIGATED AND CLEARED ON BY THE NASD. THE MATTER INVOLVED A REP WHO WAS REGISTERED WITH MY BD WHO, DURING THE TIME HE WAS REGISTERED WITH MY BD, WORKED FOR SEVERAL OTHER COMPANIES SELLING INVESTMENTS THAT WERE DEEMED TO BE (AT THAT TIME) NON-SECURITIES. THIS WAS IN 1996. IN 1997, TWO OF THESE COMPANIES WENT BANKRUPT DUE TO CRIMINAL ACTIVITY ON THE PART OF THE OWNERS. DURING THE SUBSEQUENT INVESTIGATION BY THE FBI AND SEC, THE INVESTMENTS THESE COMPANIES WERE SELLING WERE DEEMED TO BE SECURITIES. WITH THIS RULING, MY BD WAS IMMEDIATELY BROUGHT INTO THE PICTURE EVEN THOUGH NEITHER I OR MY BD HAD ANY INVOLVEMENT IN THE SELLING OF THESE INVESTMENTS. AS A RESULT OF THIS, I TERMINATED THE REP. MY BD AND I WERE INVESTIGATED BY THE NASD BUT NO ACTION WAS BROUGHT BY THE NASD AGAINST EITHER ME OR MY BD. IN 2003, I APPLIED TO THE NASD DISTRICT 2 OFFICE FOR A FINANCIAL HARDSHIP CONSIDERATION WAIVER DUE TO MY ACTIVE MILITARY DUTY COMMITMENT (I AM A MAJOR IN THE US ARMY RESERVE; I WAS CALLED UP FOR 18 MONTHS OF ACTIVE MILITARY DUTY IN 2002 AND 2003). WHEN THE NASD DISTRICT 2 OFFICE IGNORED MY REQUEST, I WENT OVER THE HEAD OF THE DISTRICT DIRECTOR AND APPEALED TO THE NASD CHAIRMAN, THE SEC CHAIRMAN AND THE PRESIDENT OF THE UNITED STATES. IN RETALIATION FOR THIS, THE NASD DISTRICT 2 OFFICE BROUGHT A COMPLAINT AGAINST ME FOR FAILING TO SUPERVISE THIS REP IN 1996. THIS WAS SEVEN YEARS AFTER THE FACT. I CONTESTED AND PROTESTED THIS ACTION UNTIL 2006 (ALSO, IT HAD TO BE PUT ON HOLD DUE TO MY TOUR OF DUTY IN IRAQ IN 2004). THE NASD DISTRICT 2 OFFICE FINALLY GOT A DEFAULT JUDGMENT AGAINST ME IN JAN 2006 WHEN THEY SCHEDULED A MANDATORY HEARING ON THE VERY DAY THAT I DEPLOYED OVERSEA

Disclosure 2 of 4

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/12/2000

Docket/Case Number: C02000067

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

Product Type: No Product

**Other Product Type(s):**

Allegations: NASD RULES 1120, 2110 AND 3070(C) - RESPONDENT FAILED TO REPORT TO THE NASD STATISTICAL AND SUMMARY INFORMATION REGARDING SEVEN CUSTOMER COMPLAINTS; ENGAGED IN A SECURITIES BUSINESS WHEN THE FIRM'S NET CAPITAL WAS BELOW THE REQUIRED MINIMUM; AND, FAILED TO ADEQUATELY IMPLEMENT THE FIRM ELEMENT OF THE NASD CONTINUING EDUCATION PROGRAM, IN THAT THE FIRM FAILED TO DEVELOP AND MAINTAIN A WRITTEN TRAINING PLAN FOR THE FIRM'S COVERED REGISTERED PERSON.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 12/12/2000

Sanctions Ordered: Censure
Monetary/Fine \$8,500.00

Other Sanctions Ordered:

Sanction Details: FINED JOINTLY AND SEVERALLY.

Reporting Source: Individual

Regulatory Action Initiated By: NASD DISTRICT 6 OFFICE

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 06/08/2000

Docket/Case Number: E02980203

Employing firm when activity occurred which led to the regulatory action: AMERIVET SECURITIES, INC.

Product Type: No Product

Other Product Type(s):

Allegations: VIOLATION OF RULE 3070, VIOLATION OF NET REQUIREMENT FOR 30 SEPTEMBER 1998 AND VIOLATION OF RULE 1120(B) FOR 1996.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 09/08/2000

Sanctions Ordered: Monetary/Fine \$8,500.00

Other Sanctions Ordered: NONE.

Sanction Details: TOTAL FINE=\$8500. PORTION LEVIED AGAINST ME=ZERO. DATE PAID=N/A (PERIODIC PAYMENTS HAVE BEEN SUSPENDED DUE TO MY BEING ON ACTIVE MILITARY DUTY).

Broker Statement AS AN OUTCOME OF MY BI-ANNUAL NASD BD AUDIT CONDUCTED IN OCTOBER 1998, I AGREED TO AN AWC IN REGARDS TO CERTAIN FINDINGS THAT CAME OUT OF THIS AUDIT. MY OFFER TO SETTLE VIA AN AWC WAS



APPROVED BY THE NASD.

Disclosure 3 of 4

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Sanction(s) Sought: Other

Other Sanction(s) Sought:

Date Initiated: 08/06/1999

Docket/Case Number: C02990049

Employing firm when activity occurred which led to the regulatory action: AMERIVET SECURITIES, INC.

Product Type: No Product

Other Product Type(s):

Allegations: DISTRICT NO. 2 FILED ON 08/06/1999 COMPLAINT C02990049 ALLEGING THAT A MEMBER FIRM, ACTING THROUGH RESPONDENT JOHNSON, FAILED TO MAINTAIN SUFFICIENT MINIMUM NET CAPITAL PURSUANT TO SEC RULE 15C3-1 AND NASD RULE 2110; PERMITTED UNREGISTERED INDIVIDUALS TO ACT AS REGISTERED REPRESENTATIVES IN VIOLATION OF NASD RULES 1021, 1031, AND 2110; AND FAILED TO ADHERE TO THE FIRM'S MEMBERSHIP AGREEMENT WITH THE NASD IN THAT THE FIRM HIRED ADDITIONAL REGISTERED REPRESENTATIVES WITHOUT WRITTEN APPROVAL FROM THE NASD IN VIOLATION OF NASD RULE 2110.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 01/26/2001

Sanctions Ordered: Monetary/Fine \$20,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: SUSPENDED FOR ONE YEAR FROM ASSOCIATING WITH ANY NASD MEMBER AS A GENERAL SECURITIES PRINCIPAL AND A 90 DAY SUSPENSION FROM ASSOCIATING WITH ANY NASD MEMBER AS A FINOP. THE SUSPENSION AS A PRINCIPAL BEGAN MARCH 5, 2001, AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON MARCH 4, 2002, AND THE SUSPENSION AS A FINOP BEGAN MARCH 5, 2001, AND WILL CONCLUDE JUNE 2, 2001.

Regulator Statement NONE

Reporting Source: Individual

Regulatory Action Initiated By: NASD DISTRICT 2 OFFICE

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: FINE OF \$20,000



Date Initiated:	08/06/1999
Docket/Case Number:	C02990049
Employing firm when activity occurred which led to the regulatory action:	AMERIVET SECURITIES, INC.
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	ALLEGATIONS ARE THAT THE FIRM HAD A NET CAPITAL VIOLATION, EMPLOYED UNREGISTERED REPS AND VIOLATED ITS MEMBERSHIP AGREEMENT.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	01/25/2001
Sanctions Ordered:	Monetary/Fine \$20,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	SUSPENSION AS FINANCIAL AND OPERATINS PRINCIPAL FOR 90 DAYS (03/2001 TO 05/2001) SUSPENSION AS GENERAL SECURITIES PRINCIPAL FOR 1 YEAR (03/2001 TO 03/2002)
Broker Statement	AS A RESULT OF AN NASD DISTRICT 2 AUDIT OF AN AMERIVET BRANCH OFFICE IN THE SUMMER OF 1997, AN NASD FORMAL COMPLAINT WAS BROUGHT AGAINST ELTON JOHNSON AND AMERIVET SECURITIES, INC. THIS FORMAL COMPLAINT WAS SETTLED VIA A DECISION AND ORDER OF OFFER OF SETTLEMENT.
Disclosure 4 of 4	
Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/13/1996
Docket/Case Number:	C02960044
Employing firm when activity occurred which led to the regulatory action:	AMERIVET SECURITIES, INC.
Product Type:	Other
Other Product Type(s):	
Allegations:	COMPLAINT NO. C02960044 FILED NOVEMBER 13, 1996 BY DISTRICT NO. 2 AGAINST AMERIVET-DYMALLY SECURITIES, INC. AND ELTON JOHNSON, JR. ALLEGING VIOLATIONS OF NASD RULE 2110 AND MSRB RULE G-37 IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT JOHNSON, EFFECTED TRANSACTIONS IN SECURITIES AND/OR INDUCED OR



ATTEMPTED TO INDUCE THE PURCHASE OR SALE OF SECURITIES WHEN RESPONDENT MEMBER FAILED TO HAVE AND MAINTAIN SUFFICIENT NET CAPITAL; AND, FAILED TO FILE IN A TIMELY MANNER FORM G-37 IN CONNECTION WITH FOUR MUNICIPAL SECURITIES UNDERWRITINGS SOLD BY RESPONDENT MEMBER ON A FIRM COMMITMENT BASIS.

ON MAY 29, 1997, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT BY RESPONDENTS MEMBER AND JOHNSON WAS ISSUED THEREFORE, THEY ARE CENSURED AND FINED \$20,250, JOINTLY AND SEVERALLY. IN ADDITION, RESPONDENT MEMBER IS SUSPENDED OF ALL UNDERWRITING ACTIVITIES FOR 30 DAYS AND RESPONDENT JOHNSON MUST REQUALIFY BY EXAM AS A FINANCIAL AND OPERATIONS PRINCIPAL WITHIN 90 DAYS FROM THE ENTRY OF A DECISION BASED UPON THIS OFFER OF SETTLEMENT. THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS JULY 21, 1997 AND WILL CONCLUDE AUGUST 19, 1997.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 05/29/1997

Sanctions Ordered: Censure
Monetary/Fine \$20,250.00

Other Sanctions Ordered:

Sanction Details: FINED

Regulator Statement 01-10-00, \$20,250 PAID J&S ON 8/16/99, INVOICE #97-02-495

Reporting Source: Individual

Regulatory Action Initiated By: NASD DISTRICT 2 OFFICE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/13/1996

Docket/Case Number: C02960044

Employing firm when activity occurred which led to the regulatory action: AMERIVET SECURITIES, INC.

Product Type: Debt - Municipal

Other Product Type(s):

Allegations: ALLEGED VIOLATION OF NASD RULE 2110 AND MSRB RULE G-37

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 05/29/1997

Sanctions Ordered: Censure



Monetary/Fine \$20,250.00

Other Sanctions Ordered:

Sanction Details:

THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT BY RESPONDENTS MEMBER AND JOHNSON WAS ISSUED THEREFORE THEY ARE CENSURED AND FINED \$20250 JOINTLY AND SEVERALLY. IN ADDITION RESPONDENT MEMBER IS SUSPENDED FROM ALL UNDERWRITING ACTIVITIES FOR 30 DAYS AND RESPONDENT JOHNSON MUST REQUALIFY BY EXAM AS A FINOP WITHIN 90 DAYS FROM THE ENTRY OF A DECISION BASED UPON THIS OFFER OF SETTLEMENT.

Broker Statement

IN THE FALL OF 1994 AND EARLY SPRING OF 1995, MY FIRM PARTICIPATED IN FOUR CALIFORNIA MUNICIPAL BOND UNDERWRITINGS ON A FIRM COMMITMENT BASIS. WE WERE INCLUDED IN THESE DEALS BECAUSE OF OUR DISABLED VETERAN'S STATUS. WHEN WE DID THESE DEALS OUR NET CAPITAL WAS SUFFICIENT ACCORDING TO MY CALCULATIONS. HOWEVER DURING A SUBSEQUENT NASD FIRM AUDIT, THE NASD POINTED OUT ERRORS IN MY CALCULATIONS OF NET CAPITAL AND IN MY CLASSIFICATION OF ASSETS. WHEN THEY RE-CALCULATED MY NET CAPITAL ACCORDING TO THEIR CORRECTIONS, MY BD FELL UNDER NET CAPITAL IN REGARDS TO THE AFOREMENTIONED DEALS. HENCE, THE NASD FORMAL COMPLAINT. RATHER THAN CONTEST THIS, I MADE AN OFFER OF SETTLEMENT WHICH WAS ACCEPTED THUS CLOSING THE MATTER.



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

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Los Angeles Municipal Court
Location of Court:	Los Angeles, California
Docket/Case #:	31388498-01
Charge Date:	03/12/1993
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Making a false statement on an Unemployment Form
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	No contest
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	08/07/1995
Disposition Date:	08/07/1995
Sentence/Penalty:	BY COURT ORDER, THIS CHARGE WAS EXPUNGED FROM MY RECORD BUT EVEN THOUGH IT WAS EXPUNGED, I STILL HAVE TO REPORT IT UNTIL I CAN OBTAIN A COMPLETE PARDON FROM THE GOVERNOR OF CALIFORNIA. I AM CURRENTLY WORKING ON THIS.
Broker Statement	IN 1986, I MADE A MISTAKE ON SOME OF MY UNEMPLOYMENT INSURANCE FORMS. EVENTUALLY, BECAUSE OF THIS MISTAKE, A CHARGE OF MAKING A FALSE STATEMENT ON AN UNEMPLOYMENT INSURANCE FORM WAS BROUGHT AGAINST ME. BECAUSE I COULD NOT AFFORD LEGAL COUNSEL AT THE TIME, I PLEADED NO CONTEST TO THE CHARGE. SUBSEQUENTLY, I OBTAINED LEGAL HELP FROM THE DEPARTMENT OF VETERANS AFFAIRS AND I GOT THE CHARGE DISMISSED AND THE CASE EXPUNGED FROM MY RECORD. I AM NOW IN THE PROCESS OF SEEKING A PARDON FROM THE GOVERNOR OF CALIFORNIA SO THAT THIS MATTER CAN BE COMPLETELY DELETED FROM MY RECORD.



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: Internal Revenue Service
Judgment/Lien Amount: \$10,296.88
Judgment/Lien Type: Tax
Date Filed with Court: 12/28/2022
Date Individual Learned: 01/18/2023
Type of Court: County Recorder, Riverside County California
Name of Court: N/A
Location of Court: Riverside County California
Judgment/Lien Outstanding? Yes

Disclosure 2 of 10

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$78,908.00
Judgment/Lien Type: Tax
Date Filed with Court: 04/01/2021
Date Individual Learned: 04/15/2021
Type of Court: State Court
Name of Court: State
Location of Court: Riverside County, California
Judgment/Lien Outstanding? Yes

Broker Statement

WHEN I WAS CALLED UP FOR ACTIVE MILITARY DUTY AFTER 9/11 BECAUSE I WAS IN THE US ARMY RESERVE, MY BUSINESS FAILED BECAUSE IT WAS A ONE-PERSON OPERATION. BECAUSE OF THIS, I FELL BEHIND ON MY PERSONAL TAXES. THE IRS HAS KEPT ADDING INTEREST AND PENALTIES TO MY BACK TAXES CAUSING WHAT I OWE THE IRS TO INCREASE TO ALMOST \$200,000. I HAVE RECEIVED ABSOLUTELY NO HELP FROM THE GOVERNMENT DESPITE THE FACT THAT I OWE THESE BACK TAXES DUE TO MY SERVING MY COUNTRY IN TIME OF WAR. IN ORDER TO RESOLVE THIS MATTER, I NOW HAVE A MONTHLY PAYMENT INSTALLMENT PLAN WITH THE IRS TO PAY OFF THESE BACK TAXES.

Disclosure 3 of 10

Reporting Source: Individual
Judgment/Lien Holder: California Franchise Tax Board
Judgment/Lien Amount: \$8,916.64
Judgment/Lien Type: Tax



Date Filed with Court: 02/20/2020
Date Individual Learned: 03/18/2020
Type of Court: Riverside County Recorder's Office
Name of Court: Riverside County Recorder's Office
Location of Court: Riverside, California
Judgment/Lien Outstanding? Yes
Broker Statement I fell behind on my California state income taxes due to my active duty military service. I now have a monthly installment agreement in place to pay off ALL my California state back taxes.

Disclosure 4 of 10

Reporting Source: Individual
Judgment/Lien Holder: California State Franchise Tax Board
Judgment/Lien Amount: \$10,019.00
Judgment/Lien Type: Tax
Date Filed with Court: 03/02/2017
Date Individual Learned: 01/01/2018
Type of Court: No court action involved
Name of Court: Other
Location of Court: Riverside County, CA
Judgment/Lien Outstanding? Yes
Broker Statement This tax lien was placed on me in error. I had a deferment due to my active duty military status. I am now in the process of having this lien removed because of this error and also because I have a payment installment agreement in place with the California Franchise Tax Board.

Disclosure 5 of 10

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$36,215.00
Judgment/Lien Type: Tax
Date Filed with Court: 09/24/2015
Date Individual Learned: 01/01/2017
Type of Court: No court action involved
Name of Court: Other
Location of Court: Los Angeles County, CA
Judgment/Lien Outstanding? Yes
Broker Statement This tax lien was placed on me in error. I had a deferment due to my active duty military status. I am now in the process of having this lien removed with the help of the White House because of this error.

**Disclosure 6 of 10**

Reporting Source: Individual
Judgment/Lien Holder: California State Franchise Tax Board
Judgment/Lien Amount: \$14,664.00
Judgment/Lien Type: Tax
Date Filed with Court: 04/15/2015
Date Individual Learned: 01/01/2017
Type of Court: No court action involved
Name of Court: Other
Location of Court: Riverside County, CA
Judgment/Lien Outstanding? Yes

Broker Statement This tax lien was placed on me in error. I had a deferment due to my active duty military status. I am now in the process of having this lien removed because of this and the fact that I have an payment installment agreement in place with the California Franchise Tax Board.

Disclosure 7 of 10

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$24,179.00
Judgment/Lien Type: Tax
Date Filed with Court: 05/04/2015
Date Individual Learned: 03/31/2015
Type of Court: IRS
Name of Court: N/A
Location of Court: N/A
Docket/Case #: 61873
Judgment/Lien Outstanding? Yes

Broker Statement THE THREE LIENS THAT THE IRS HAS AGAINST ME TOTALING \$205,877 ARE BOGUS AND BEING CONTESTED. I CURRENTLY HAVE MY US CONGRESSMAN, CONGRESSMAN MARK TAKANO, WORKING ON THIS MATTER. FACTS OF THIS MATTER ARE AS FOLLOWS: IT IS A WELL KNOWN FACT THE THE IRS TARGETED, AND IS TARGETING, CONSERVATIVE NON-PROFIT ORGANIZATIONS. WHAT IS NOT WELL KNOWN IS THAT THE IRS ALSO TARGETS US MILITARY PERSONNEL WHOM THEY HAVE DEEMED AS ALSO BEING CONSERVATIVE. SINCE 2002, I HAVE BEEN TRYING TO GET AN OFFER-IN-COMPROMISE AGREEMENT PUT INTO PLACE WITH THE IRS IN ORDER TO PAY OFF PERSONAL BACK TAXES INCURRED DUE TO MY BEING CALLED UP FOR ACTIVE MILITARY DUTY AS A RESULT OF 9/11. FOR OVER THIRTEEN YEARS, THE IRS HAS DELIBERATELY STALLED IN REGARDS TO GRANTING ME AN OFFER-IN-COMPROMISE. THEIR CONDUCT HAS BEEN DEEMED CRIMINAL AND IN LIGHT OF THAT, I CONTACTED MY US CONGRESSMAN WHO IS NOW INVESTIGATING THE



IRS. IN RETALIATION FOR MY ASKING FOR CONGRESSIONAL HELP, THE IRS PLACED BOGUS LIENS ON MY CREDIT FILE DESPITE THE FACT BY IRS REGULATION, THEY CANNOT PLACE IRS LIENS ON A US TAXPAYER WHEN HE/SHE IS IN THE OFFER-IN-COMPROMISE PROCESS. THIS IS WHY THESE LIENS ARE BOGUS BUT I AM ONLY REPORTING THEM IN ORDER TO DISCLOSE THE CRIMINAL ACTIVITY OF THE IRS AGAINST US CITIZENS WHO HAVE SERVED OR ARE SERVING THEIR COUNTRY. THIS SHOULD BE ON THE NATIONAL NEWS IN ABOUT 2-3 MONTHS.

Disclosure 8 of 10

Reporting Source: Individual

Judgment/Lien Holder: IRS

Judgment/Lien Amount: \$27,793.00

Judgment/Lien Type: Tax

Date Filed with Court: 05/04/2015

Date Individual Learned: 03/31/2015

Type of Court: IRS

Name of Court: N/A

Location of Court: N/A

Docket/Case #: 1142881

Judgment/Lien Outstanding? Yes

Broker Statement

THE THREE LIENS THAT THE IRS HAS AGAINST ME TOTALING \$205,877 ARE BOGUS AND BEING CONTESTED. I CURRENTLY HAVE MY US CONGRESSMAN, CONGRESSMAN MARK TAKANO, WORKING ON THIS MATTER. FACTS OF THIS MATTER ARE AS FOLLOWS: IT IS A WELL KNOWN FACT THE THE IRS TARGETED, AND IS TARGETING, CONSERVATIVE NON-PROFIT ORGANIZATIONS. WHAT IS NOT WELL KNOWN IS THAT THE IRS ALSO TARGETS US MILITARY PERSONNEL WHOM THEY HAVE DEEMED AS ALSO BEING CONSERVATIVE. SINCE 2002, I HAVE BEEN TRYING TO GET AN OFFER-IN-COMPROMISE AGREEMENT PUT INTO PLACE WITH THE IRS IN ORDER TO PAY OFF PERSONAL BACK TAXES INCURRED DUE TO MY BEING CALLED UP FOR ACTIVE MILITARY DUTY AS A RESULT OF 9/11. FOR OVER THIRTEEN YEARS, THE IRS HAS DELIBERATELY STALLED IN REGARDS TO GRANTING ME AN OFFER-IN-COMPROMISE. THEIR CONDUCT HAS BEEN DEEMED CRIMINAL AND IN LIGHT OF THAT, I CONTACTED MY US CONGRESSMAN WHO IS NOW INVESTIGATING THE IRS. IN RETALIATION FOR MY ASKING FOR CONGRESSIONAL HELP, THE IRS PLACED BOGUS LIENS ON MY CREDIT FILE DESPITE THE FACT BY IRS REGULATION, THEY CANNOT PLACE IRS LIENS ON A US TAXPAYER WHEN HE/SHE IS IN THE OFFER-IN-COMPROMISE PROCESS. THIS IS WHY THESE LIENS ARE BOGUS BUT I AM ONLY REPORTING THEM IN ORDER TO DISCLOSE THE CRIMINAL ACTIVITY OF THE IRS AGAINST US CITIZENS WHO HAVE SERVED OR ARE SERVING THEIR COUNTRY. THIS SHOULD BE ON THE NATIONAL NEWS IN ABOUT 2-3 MONTHS.

Disclosure 9 of 10

Reporting Source: Individual

Judgment/Lien Holder: IRS



Judgment/Lien Amount: \$153,905.00

Judgment/Lien Type: Tax

Date Filed with Court: 05/04/2015

Date Individual Learned: 03/31/2015

Type of Court: IRS

Name of Court: N/A

Location of Court: N/A

Docket/Case #: 20090619982

Judgment/Lien Outstanding? Yes

Broker Statement

THE THREE LIENS THAT THE IRS HAS AGAINST ME TOTALING \$205,877 ARE BOGUS AND BEING CONTESTED. I CURRENTLY HAVE MY US CONGRESSMAN, CONGRESSMAN MARK TAKANO, WORKING ON THIS MATTER. FACTS OF THIS MATTER ARE AS FOLLOWS: IT IS A WELL KNOWN FACT THE THE IRS TARGETED, AND IS TARGETING, CONSERVATIVE NON-PROFIT ORGANIZATIONS. WHAT IS NOT WELL KNOWN IS THAT THE IRS ALSO TARGETS US MILITARY PERSONNEL WHOM THEY HAVE DEEMED AS ALSO BEING CONSERVATIVE. SINCE 2002, I HAVE BEEN TRYING TO GET AN OFFER-IN-COMPROMISE AGREEMENT PUT INTO PLACE WITH THE IRS IN ORDER TO PAY OFF PERSONAL BACK TAXES INCURRED DUE TO MY BEING CALLED UP FOR ACTIVE MILITARY DUTY AS A RESULT OF 9/11. FOR OVER THIRTEEN YEARS, THE IRS HAS DELIBERATELY STALLED IN REGARDS TO GRANTING ME AN OFFER-IN-COMPROMISE. THEIR CONDUCT HAS BEEN DEEMED CRIMINAL AND IN LIGHT OF THAT, I CONTACTED MY US CONGRESSMAN WHO IS NOW INVESTIGATING THE IRS. IN RETALIATION FOR MY ASKING FOR CONGRESSIONAL HELP, THE IRS PLACED BOGUS LIENS ON MY CREDIT FILE DESPITE THE FACT BY IRS REGULATION, THEY CANNOT PLACE IRS LIENS ON A US TAXPAYER WHEN HE/SHE IS IN THE OFFER-IN-COMPROMISE PROCESS. THIS IS WHY THESE LIENS ARE BOGUS BUT I AM ONLY REPORTING THEM IN ORDER TO DISCLOSE THE CRIMINAL ACTIVITY OF THE IRS AGAINST US CITIZENS WHO HAVE SERVED OR ARE SERVING THEIR COUNTRY. THIS SHOULD BE ON THE NATIONAL NEWS IN ABOUT 2-3 MONTHS.

Disclosure 10 of 10

Reporting Source: Individual

Judgment/Lien Holder: STATE OF CALIFORNIA FRANCHISE TAX BOARD

Judgment/Lien Amount: \$566.00

Judgment/Lien Type: Tax

Date Filed with Court: 05/04/2015

Date Individual Learned: 03/31/2015

Type of Court: FTB

Name of Court: N/A

Location of Court: N/A

Docket/Case #: 922326564

Judgment/Lien Outstanding? Yes



Broker Statement

THIS AMOUNT OF \$566 IS BOGUS. I WILL CONTACT THE CALIFORNIA FRANCHISE TAX BOARD IN REGARD TO HAVING IT REMOVED FROM MY CREDIT FILE.



End of Report

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