



IAPD Report

ROBERT ANTHONY YRSHUS

CRD# 858876

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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

ROBERT ANTHONY YRSHUS (CRD# 858876)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/02/2026**.

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	NETWORK 1 FINANCIAL ADVISORS INC.	121239	Houston, TX	02/13/2017 - 12/31/2025

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	3
Judgment/Lien	7



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/11/2014
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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	02/13/2017 - 12/31/2025	NETWORK 1 FINANCIAL ADVISORS INC.	CRD# 121239	Houston, TX

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
09/2016 - Present	Network 1 Financial Advisors Inc.	Investment Advisor Representative	Y	Houston, TX, United States
10/1990 - Present	D. E. WINE INVESTMENTS INC.	NOT PROVIDED	Y	HOUSTON, TX, United States
03/2016 - 09/2016	Unemployed	Unemployed	N	Houston, TX, United States
07/2015 - 02/2016	NETWORK 1 FINANCIAL FUND ADVISER, LLC	INVESTMENT ADVISOR	Y	HOUSTON, TX, 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) BLUE SAIL ENERGY, INC. NOT INVESTMENT RELATED. 16720 STUEBNER AIRLINE RD #220, SPRING TX 77379. ALTERNATIVE ENERGY DEVELOPMENT. PRESIDENT. 8/29/2005. 20 HOURS PER MONTH, NONE DURING TRADING HOURS. DUTIES INCLUDE DEVELOPMENT OF NEW BUSINESS OPPORTUNITIES IN THE ALTERNATIVE ENERGY INDUSTRY. _____ 2) COASTAL BEND CAPITAL LLC. INVESTMENT RELATED. 14505 TORREY CHASE #400, HOUSTON TX 77014. BUSINESS CONSULTING. MEMBER OF LLC. 1 HOUR PER MONTH, NONE DURING TRADING. CURRENTLY DO NOT HAVE ANY DUTIES RELATED TO THIS COMPANY. _____ 3) HEADWALL VENTURES, INC. NOT INVESTMENT-RELATED. 2126 PECKHAM, HOUSTON, TX 77019. CLOTHING MANUFACTURING AND LICENSING, PRESIDENT, START DATE 01/03/1997. 1 HOUR DURING TRADING HOURS. DUTIES ARE OVERALL MANAGEMENT OF COMPANY. _____ 4) BOTIMOR CAPITAL LLC, INVESTMENT RELATED, 2126 PECKHAM ST. HOUSTON, TX 77019, FAMILY LLC FOR ESTATE PLANNING, MEMBER, 10/18/2004, 5 HOURS PER MONTH, NONE DURING TRADING HOURS, ANALYZE INVESTMENTS FOR OWN ACCOUNT. _____ 5) ALPHA & OMEGA INSURANCE AGENCY, NON-INVESTMENT RELATED, AGENT - AUTO, HOME AND LIFE INSURANCE. 20 HOURS PER MONTH DURING NORMAL BUSINESS HOURS. FIVE HOURS PER MONTH NON BUSINESS HOURS. _____ 6) SERNA INSURANCE AGENCY, 2126 PECKHAM ST, HOUSTON, TX 77019. NON-INVESTMENT RELATED. START DATE: 4/2/17. DUTIES: AGENT FOR AUTO, HOME, COMMERCIAL INSURANCE. HOURS DEVOTED DURING BUSINESS HOURS: 10/MONTH. HOURS DEVOTED DURING NON-BUSINESS HOURS: 5/MONTH.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

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

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

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

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

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

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

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



DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	3
Judgment/Lien	7

Regulatory Event

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

Disclosure 1 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	Texas
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Date Initiated:	02/13/2017
Docket/Case Number:	REG17-CAF-01
URL for Regulatory Action:	https://www.ssb.texas.gov/sites/default/files/REG17-CAF-01.pdf
Employing firm when activity occurred which led to the regulatory action:	Northgate Securities, Inc.
Product Type:	No Product
Allegations:	Yrshus failed to update the Form U4 to report multiple IRS tax liens and a civil judgment lien within 30 days of the event date, as required by the Agency Board Rules.
Current Status:	Final
Resolution:	Order
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: 02/13/2017

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: Investment Adviser Representative

Duration: 60 Days

Start Date: 02/13/2017

End Date: 04/13/2017

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:

Was any portion of penalty waived? No

Amount Waived:

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Reporting Source: Individual

Regulatory Action Initiated By: Texas State Securities Board

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

Date Initiated: 02/13/2017

Docket/Case Number: REG17-CAF-01

Employing firm when activity occurred which led to the regulatory action: Northgate Securities, Inc.

Product Type: No Product

Allegations: FINRA adjudicated matter for failure to disclosed liens and judgments.

Current Status: Final

Resolution: Order

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: 02/13/2017

Sanctions Ordered: Monetary Penalty other than Fines
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: All

Duration: 60 days

Start Date: 02/13/2017

End Date: 04/12/2017

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: Paid in full one time payment.

Is Payment Plan Current: No

Date Paid by individual: 02/28/2017

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 10/16/2014

Docket/Case Number: [2013039386602](#)

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

Product Type: No Product

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, YRSHUS CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE WILLFULLY FAILED TO AMEND HIS FORM U4 TO DISCLOSE UNSATISFIED INTERNAL REVENUE SERVICE (IRS) TAX LIENS, AND CIVIL JUDGMENTS OBTAINED AGAINST HIM, WITHIN 30 DAYS OF THE DISCLOSURE EVENTS, OR AT ANY TIME THEREAFTER.

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:

10/16/2014

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Other: RESPONDENT UNDERSTANDS THAT THIS SETTLEMENT INCLUDES A FINDING THAT HE WILLFULLY OMITTED TO STATE MATERIAL FACTS ON A FORM U4, AND THAT UNDER SECTION 3(A)(39)(F) OF THE SECURITIES EXCHANGE ACT OF 1934 AND ARTICLE III, SECTION 4 OF FINRA'S BY-LAWS, THESE OMISSIONS MAKE HIM SUBJECT TO A STATUTORY DISQUALIFICATION WITH RESPECT TO ASSOCIATION WITH A MEMBER.

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:	SIX MONTHS
Start Date:	10/20/2014
End Date:	04/19/2015

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:	DEFERRED
Is Payment Plan Current:	
Date Paid by individual:	12/21/2015
Was any portion of penalty waived?	No
Amount Waived:	

Regulator Statement	Fine paid in full on December 21, 2015.
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Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	10/16/2014
Docket/Case Number:	2013039386602



Employing firm when activity occurred which led to the regulatory action:	NORTHGATE SECURITIES, INC.
Product Type:	No Product
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, APPLICANT CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE WILLFULLY FAILED TO AMEND HIS FORM U4 TO DISCLOSE UNSATISFIED IRS TAX LIENS, AND CIVIL JUDGMENTS OBTAINED AGAINST HIM, WITHIN 30 DAYS OF THE DISCLOSURE EVENTS, OR AT ANY TIME THEREAFTER.
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:	10/16/2014
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Other: RESPONDENT UNDERSTANDS THAT THIS SETTLEMENT INCLUDES A FIND THAT HE WILLFULLY OMITTED TO STATE MATERIAL FACTS ON A FORM U4, AND THAT UNDER SECTION 3(A)(39)(F) OF THE SECURITIES EXCHANGE ACT OF 1934 AND ARTICLE III, SECTION 4 OF FINRA'S BY-LAWS, THESE OMISSIONS MAKE HIM SUBJECT TO A STATUTORY DISQUALIFICATION WITH RESPECT TO ASSOCIATION WITH A MEMBER.
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	SIX MONTHS
Start Date:	10/20/2014
End Date:	04/19/2015
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:	YES
Is Payment Plan Current:	Yes
Date Paid by individual:	05/25/2015
Was any portion of penalty waived?	No
Amount Waived:	

**Disclosure 3 of 3**

Reporting Source: Regulator

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Date Initiated: 12/30/2005

Docket/Case Number: [E062005005901](#)

Employing firm when activity occurred which led to the regulatory action: D.E. WINE INVESTMENTS, INC.

Product Type:

Allegations: SECTION 10(B) OF THE EXCHANGE ACT AND RULE 10B-9, NASD CONDUCT RULE 2110-RESPONDENT, ACTING ON BEHALF OF HIS MEMBER FIRM, FAILED TO DEPOSIT CUSTOMER FUNDS RECEIVED IN CONNECTION WITH A NETWORK OFFERING INTO A BANK ESCROW ACCOUNT AS REQUIRED BY SEC RULE 15C2-4. THE FINDINGS ALSO STATED THAT THE FIRM, ACTING THROUGH YRSHUS, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM NET CAPITAL.

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: 12/30/2005

Sanctions Ordered: Censure
Civil and Administrative Penalty(ies)/Fine(s)

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED \$15,000, JOINTLY AND SEVERALLY. FINES PAID ON 04/18/2008.

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Reporting Source: Individual

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Sanction(s) Sought: Censure

Other Sanction(s) Sought: FINE OF \$15,000.00 JOINTLY AND SEVERALLY WITH D. E. WINE INVESTMENTS, INC.

Date Initiated: 12/13/2005

Docket/Case Number: AWC NO. E062005005901



Employing firm when activity occurred which led to the regulatory action:	D. E. WINE INVESTMENTS, INC.
Product Type:	Other
Other Product Type(s):	EQUITY PRIVATE PLACEMENT
Allegations:	VIOLETION OF SECTION 10(B) OF THE EXCHANGE ACT AND RULE 10B-9 THEREUNDER, AND NASD CONDUCT RULE 2110. D. E. WINE INVESTMENTS, ACTING THROUGH YRSHUS, FAILED TO HAVE A PROPER ESCROW AGREEMENT IN PLACE FOR A CONTINGENT OFFERING, AND FAILED TO TERMINATE THE OFFERING AND RETURN INVESTOR FUNDS. INSTEAD THEY RECEIVED WRITTEN PERMISSION FROM PURCHASERS TO RELEASE FUNDS TO ISSUER.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/30/2005
Sanctions Ordered:	Censure Monetary/Fine \$15,000.00
Other Sanctions Ordered:	
Sanction Details:	A CENSURE AND A MONETARY FINE IN THE AMOUNT OF \$15,000.00 TO BE IMPOSED JOINTLY AND SEVERALLY WITH D. E. WINE INVESTMENTS, INC.



Judgment/Lien

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

Disclosure 1 of 7

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$9,519.00
Judgment/Lien Type:	Tax
Date Filed with Court:	12/17/2013
Date Individual Learned:	12/17/2013
Type of Court:	County Court
Name of Court:	Harris County Court
Location of Court:	Houston, Texas
Docket/Case #:	20130623635
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 7

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$9,519.00
Judgment/Lien Type:	Tax
Date Filed with Court:	12/16/2013
Date Individual Learned:	12/16/2013
Type of Court:	County Court
Name of Court:	Rockport County Court
Location of Court:	Rockport, Texas
Docket/Case #:	333024
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 7

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$39,289.00
Judgment/Lien Type:	Tax
Date Filed with Court:	08/19/2013
Date Individual Learned:	08/19/2013
Type of Court:	County Court
Name of Court:	Rockport County Court



Location of Court: Rockport, Texas

Docket/Case #: 331033

Judgment/Lien Outstanding? Yes

Disclosure 4 of 7

Reporting Source: Individual

Judgment/Lien Holder: IRS

Judgment/Lien Amount: \$146,889.00

Judgment/Lien Type: Tax

Date Filed with Court: 06/12/2012

Date Individual Learned: 06/12/2012

Type of Court: County Court

Name of Court: Harris County

Location of Court: Houston, Texas

Docket/Case #: 323666

Judgment/Lien Outstanding? Yes

Disclosure 5 of 7

Reporting Source: Individual

Judgment/Lien Holder: IRS

Judgment/Lien Amount: \$39,267.10

Judgment/Lien Type: Tax

Date Filed with Court: 12/06/2012

Date Individual Learned: 12/06/2012

Type of Court: COUNTY COURT

Name of Court: HARRIS COUNTY COURT

Location of Court: HOUSTON, TEXAS

Docket/Case #: 910445812

Judgment/Lien Outstanding? Yes

Broker Statement APPLICANT HAS BEEN PAYING DOWN LIEN AMOUNTS SINCE 2014.

Disclosure 6 of 7

Reporting Source: Individual

Judgment/Lien Holder: IRS

Judgment/Lien Amount: \$69,924.72

Judgment/Lien Type: Tax

Date Filed with Court: 05/30/2012

Date Individual Learned: 05/30/2012



Type of Court: COUNTY COURT
Name of Court: HARRIS COUNTY COURT
Location of Court: HOUSTON, TEXAS
Docket/Case #: 871209612
Judgment/Lien Outstanding? Yes
Broker Statement APPLICANT HAS BEEN PAYING DOWN LIEN AMOUNTS SINCE 2014.

Disclosure 7 of 7

Reporting Source: Individual
Judgment/Lien Holder: IRA
Judgment/Lien Amount: \$76,942.90
Judgment/Lien Type: Tax
Date Filed with Court: 03/15/2011
Date Individual Learned: 03/15/2011
Type of Court: COUNTY COURT
Name of Court: HARRIS COUNTY COURT
Location of Court: HOUSTON, TEXAS
Docket/Case #: 766258211
Judgment/Lien Outstanding? Yes
Broker Statement APPLICANT HAS BEEN PAYING DOWN LIEN AMOUNTS SINCE 2014.



End of Report

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