

BrokerCheck Report

GLENN ROBERT KING

CRD# 2191091

Report #76032-62499, data current as of Monday, November 16, 2015.

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About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <http://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

Thank you for using FINRA BrokerCheck.

GLENN R. KING

CRD# 2191091

This broker is not currently registered.

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 0 Principal/Supervisory Exams
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

BUCKMAN, BUCKMAN & REID, INC.

CRD# 23407
SHREWSBURY, NJ
01/2012 - 06/2015

GARDEN STATE SECURITIES, INC.

CRD# 10083
RED BANK, NJ
10/2011 - 11/2011

SAXONY SECURITIES, INC.

CRD# 115547
LAKEWOOD, NJ
06/2011 - 10/2011

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Investigation	2
Customer Dispute	18
Termination	1
Financial	2
Judgment/Lien	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<http://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	02/07/1992

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	03/02/1992

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
01/2012 - 06/2015	BUCKMAN, BUCKMAN & REID, INC.	23407	SHREWSBURY, NJ
10/2011 - 11/2011	GARDEN STATE SECURITIES, INC.	10083	RED BANK, NJ
06/2011 - 10/2011	SAXONY SECURITIES, INC.	115547	LAKWOOD, NJ
01/2005 - 06/2011	ROYAL ALLIANCE ASSOCIATES, INC.	23131	LAKWOOD, NJ
10/1994 - 12/2004	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
10/1994 - 11/1994	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY
02/1992 - 12/1992	THOMAS JAMES ASSOCIATES, INC.	15609	ROCHESTER, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment Dates	Employer Name	Employer Location
01/2012 - Present	BUCKMAN BUCKMAN REID	SHREWSBURY, NJ
11/2011 - 01/2012	UNEMPLOYED	RED BANK, NJ
10/2011 - 11/2011	GARDEN STATE SECURITIES, INC	RED BANK, NJ
06/2011 - 10/2011	SAXONY SECURITIES, INC.	ST. LOUIS, MO
01/2005 - 05/2011	AIG ADVISOR GROUP ROYAL ALLIANCE ASSOCIATES, INC	RED BANK, NJ

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.



Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	1	17	N/A



Investigation	2	N/A	N/A
Termination	N/A	1	N/A
Financial	1	1	N/A
Judgment/Lien	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 9

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BUCKMAN BUCKMAN AND REID
Allegations:	POOR PERFORMANCE.01/2014-4/2015.
Product Type:	Unit Investment Trust
Alleged Damages:	\$21,760.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/17/2015
Complaint Pending?	No
Status:	Settled
Status Date:	04/21/2015
Settlement Amount:	\$21,760.00
Individual Contribution	\$0.00

**Amount:****Disclosure 2 of 9**

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES, INC.
Allegations:	THE CUSTOMER ALLEGES MISREPRESENTATIONS WITH REGARD TO SALES OF CERTAIN UNIT INVESTMENT TRUSTS BY MR. KING IN 2011.
Product Type:	Unit Investment Trust
Alleged Damages:	\$18,012.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/02/2012
Complaint Pending?	No
Status:	Settled
Status Date:	06/27/2012
Settlement Amount:	\$6,500.00
Individual Contribution Amount:	\$0.00
Firm Statement	UPON FURTHER REVIEW OF THE CUSTOMER'S ACCOUNT, THE FIRM DETERMINED TO MAKE A SETTLEMENT WITH THE CLIENT.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE
Allegations:	CUSTOMER ALLEGES MISREPRESENTATION OF CERTAIN UIT'S IN 2011.
Product Type:	Unit Investment Trust



Alleged Damages: \$18,012.00
Is this an oral complaint? No
Is this a written complaint? Yes
**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 04/02/2012
Complaint Pending? No
Status: Settled
Status Date: 06/27/2012
Settlement Amount: \$6,500.00
**Individual Contribution
Amount:** \$0.00

Broker Statement

I DID NOT OPEN THIS ACCOUNT OR MAKE ANY PURCHASES.ACCOUNT
WAS OPENED BY A DIFFERENT REP. WHO LEFT THE FIRM.THE ACCOUNT
WAS PLACED WITH THE MANAGER .I MET WITH CLIENT TO REVIEW
ACCOUNT. CLIENT TOOK PROFITS ON ONE OF 2 MUNI. BOND PORTFOLIOS
AFTER I ADVISED HIM THAT PROFITS ON TAX FREE BONDS ARE TAXABLE.

Disclosure 3 of 9

Reporting Source: Firm
**Employing firm when
activities occurred which led
to the complaint:** ROYAL ALLIANCE ASSOCIATES, INC

Allegations: THE CUSTOMER ALLEGES THAT MR. KING REPRESENTED THAT SHE WAS
INVESTED IN THE BONDS, BUT LEARNED SHE WAS INVESTED "IN THE
STOCK MARKET". SHE ALSO ALLEGES THERE WERE "UNAUTHORIZED
TRADES" IN HER ACCOUNT.

Product Type: Unit Investment Trust
Alleged Damages: \$55,000.00
Is this an oral complaint? No
Is this a written complaint? Yes



**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 11/16/2011

Complaint Pending? No

Status: Settled

Status Date: 04/10/2012

Settlement Amount: \$2,250.00

**Individual Contribution
Amount:** \$0.00

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** ROYAL ALLIANCE

Allegations: CUSTOMER ALLEGES I REPRESENTED SHE WAS INVESTED IN BONDS BUT LEARNED SHE WAS INVESTED IN THE STOCK MARKET AND THERE WERE UNAUTHORIZED TRADES IN THE ACCOUNT.

Product Type: Unit Investment Trust

Alleged Damages: \$55,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 11/16/2011

Complaint Pending? No

Status: Settled

Status Date: 04/10/2012

Settlement Amount: \$2,250.00

**Individual Contribution
Amount:** \$0.00

**Amount:****Broker Statement**

I MET CLIENT IN THEIR HOME.RECOMENDED PORTFOLIO ALLOCATION OF INCOME PORTFOLIOS IN TAX FREE AND TAXABLE.NO INDIVIDUAL STOCKS WERE PURCHASED.CLIENT APPROVED PORTFOLLIO TO BE PURCHASED AND WAS PLEASED WITH RESULTS AND ADDED FUNDS TO ACCOUNT TO BUY MORE.ONLY TRADE I RECOMENDED WAS TO SELL FOR PROFIT TO LOCK IN GAINS.CLIENT APPROVED THIS.PORTFOLIO WAS AT PROFIT WHEN I LEFT FIRM. NO INDIVIDUAL STOCKS WERE PURCHASED IN THIS ACCOUNT.

Disclosure 4 of 9**Reporting Source:**

Firm

Employing firm when activities occurred which led to the complaint:

ROYAL ALLIANCE ASSOCIATES, INC.

Allegations:

THE CUSTOMER ALLEGES THAT CERTAIN INVESTMENTS WERE UNSUITABLE AND HIGH RISK FOR HIS CONSERVATIVE RISK TOLERANCE.

Product Type:

Unit Investment Trust

Alleged Damages:

\$25,000.00

Is this an oral complaint?

No

Is this a written complaint?

Yes

Is this an arbitration/CFTC reparation or civil litigation?

No

Customer Complaint Information**Date Complaint Received:**

03/01/2011

Complaint Pending?

No

Status:

Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date:

03/14/2011

Settlement Amount:**Individual Contribution****Amount:****Arbitration Information**



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [11-00712](#)

Date Notice/Process Served: 03/14/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/30/2011

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$5,000.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: ROYAL ALLIANCE ASSOCIATES

Allegations: CUSTOMER ALLEGES THE INVESTMENTS WERE UNSUITABLE AND HIGH RISK FOR HIS CONSERVATIVE RISK TOLERANCE.

Product Type: Unit Investment Trust

Alleged Damages: \$25,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/01/2011

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 03/14/2011

Settlement Amount:

**Individual Contribution****Amount:****Arbitration Information**

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [11-00712](#)

Date Notice/Process Served: 03/14/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/30/2011

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$5,000.00

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITIGROUP GMI

Allegations: THE CLIENT ALLEGED THAT FC DID NOT DISCLOSE MUTUAL FUND CDSCS - FEBRUARY 2002. DAMAGES UNSPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages:**Customer Complaint Information**

Date Complaint Received: 12/17/2004

Complaint Pending? No

Status: Settled

Status Date: 08/10/2005

Settlement Amount: \$4,318.20



Individual Contribution Amount: \$0.00

Firm Statement CLAIM WAS SETTLED FOR \$4,318.20.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CITIGROUP GMI

Allegations: CLIENT ALLEGED THAT FC DID NOT DISCLOSE MUTUAL FUND CDSC'S FEBRUARY 2002. DAMAGES UNSPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 12/17/2004

Complaint Pending? No

Status: Settled

Status Date: 08/10/2005

Settlement Amount: \$4,318.20

Individual Contribution Amount: \$0.00

Broker Statement CLIENT WAS MADE AWARE OF ALL SHARE CLASSES, A, B, & C. CLIENT WAS ALSO INFORMED OF ALL BREAKPOINT LEVELS IN CLASS A SHARES. CLIENT DID NOT WANT TO PAY ANY FRONT-END LOAD. CLAIM WAS SETTLED BY FIRM 08/10/2005 FOR \$4318.20. NO BROKER CONTRIBUTION THEY WERE MADE AWARE OF ALL ADDITIONAL EXPENSES IN CLASS B & C SHARES. CLIENTS DECIDED TO DIVIDE FUNDS INVESTED TO PURCHASE BOTH CLASS B & C SHARES. CLASS C SHARES WERE PURCHASED TO ADDRESS POTENTIAL LIQUIDITY NEEDS. THE B SHARES WERE PURCHASED FOR LONG-TERM INVESTMENT. CLIENT WAS FULLY AWARE OF DECLINING SALES CHARGE YEAR-BY-YEAR AND NUMBER OF YEARS UNTIL SHARES CONVERT TO CLASS A. A TWO-PAGE LETTER, SENT BY THE FIRM, DESCRIBING THE DIFFERENCES AMONG THE VARIOUS MUTUAL FUND SHARE CLASSES, FOLLOWED THESE TRANSACTIONS.



Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITIGROUP GMI

Allegations: THE CLIENT ALLEGED MISREPRESENTATION AND FAILURE TO DISCLOSE MUTUAL FUND CDSCS - FEBRUARY 2002. DAMAGES UNSPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 12/20/2004

Complaint Pending? No

Status: Settled

Status Date: 08/10/2005

Settlement Amount: \$4,994.20

Individual Contribution Amount: \$0.00

Firm Statement CLAIM WAS SETTLED FOR \$4,994.20.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CITIGROUP GMI

Allegations: CLIENT ALLEGED THAT FC DID NOT DISCLOSE MUTUAL FUND CDSC'S FEBRUARY 2002. DAMAGES UNSPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 12/20/2004

Complaint Pending? No

Status: Settled



Status Date: 08/10/2005

Settlement Amount: \$4,994.20

Individual Contribution Amount: \$0.00

Broker Statement

CLIENT WAS MADE AWARE OF ALL SHARE CLASSES, A, B, & C. CLIENT WAS ALSO INFORMED OF ALL BREAKPOINT LEVELS IN CLASS A SHARES. CLIENT DID NOT WANT TO PAY ANY FRONT-END LOAD. THEY WERE MADE AWARE OF ALL ADDITIONAL EXPENSES IN CLASS B & C SHARES. CLIENTS DECIDED TO DIVIDE FUNDS INVESTED TO PURCHASE BOTH CLASS B & C SHARES. CLASS C SHARES WERE PURCHASED TO ADDRESS POTENTIAL LIQUIDITY NEEDS. THE B SHARES WERE PURCHASED FOR LONG-TERM INVESTMENT. CLIENT WAS FULLY AWARE OF DECLINING SALES CHARGE YEAR-BY-YEAR AND NUMBER OF YEARS UNTIL SHARES CONVERT TO CLASS A. A TWO-PAGE LETTER, SENT BY THE FIRM, DESCRIBING THE DIFFERENCES AMONG THE VARIOUS MUTUAL FUND SHARE CLASSES, FOLLOWED THESE TRANSACTIONS. CLAIM WAS SETTLED BY FIRM 08/10/2005 FOR \$4994.20. NO BROKER CONTRIBUTION

Disclosure 7 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITIGROUP GMI

Allegations: CLIENT ALLEGED THAT FC DID NOT DISCLOSE MUTUAL FUND CDSCS - FEBRUARY 2002. DAMAGES UNSPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 12/17/2004

Complaint Pending? No

Status: Settled

Status Date: 08/10/2005

Settlement Amount: \$4,330.12



Individual Contribution Amount: \$0.00

Firm Statement CLAIM WAS SETTLED FOR \$4,330.12.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CITIGROUP GMI

Allegations: CLIENT ALLEGED THAT FC DID NOT DISCLOSE MUTUAL FUND CDSC'S FEBRUARY 2002. DAMAGES UNSPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 12/17/2004

Complaint Pending? No

Status: Settled

Status Date: 08/10/2005

Settlement Amount: \$4,330.12

Individual Contribution Amount: \$0.00

Broker Statement CLIENT WAS MADE AWARE OF ALL SHARE CLASSES, A, B, & C. CLIENT WAS ALSO INFORMED OF ALL BREAKPOINT LEVELS IN CLASS A SHARES. CLIENT DID NOT WANT TO PAY ANY FRONT-END LOAD. CLAIM WAS SETTLED BY FIRM 08/10/2005 FOR \$4330.12. NO BROKER CONTRIBUTION THEY WERE MADE AWARE OF ALL ADDITIONAL EXPENSES IN CLASS B & C SHARES. CLIENTS DECIDED TO DIVIDE FUNDS INVESTED TO PURCHASE BOTH CLASS B & C SHARES. CLASS C SHARES WERE PURCHASED TO ADDRESS POTENTIAL LIQUIDITY NEEDS. THE B SHARES WERE PURCHASED FOR LONG-TERM INVESTMENT. CLIENT WAS FULLY AWARE OF DECLINING SALES CHARGE YEAR-BY-YEAR AND NUMBER OF YEARS UNTIL SHARES CONVERT TO CLASS A. A TWO-PAGE LETTER, SENT BY THE FIRM, DESCRIBING THE DIFFERENCES AMONG THE VARIOUS MUTUAL FUND SHARE CLASSES, FOLLOWED THESE TRANSACTIONS. DENIED BY FIRM 3/300/2005



Disclosure 8 of 9

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: CLIENT ALLEGED UNAUTHORIZED AND MISREPRESENTED TRANSACTIONS-JANUARY 2004 - APRIL 2004. DAMAGES UNSPECIFIED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/26/2004

Complaint Pending? No

Status: Settled

Status Date: 10/14/2004

Settlement Amount: \$2,800.00

Individual Contribution Amount: \$0.00

Broker Statement THE CLAIM WAS SETTLED FOR \$2,800.

Disclosure 9 of 9

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: CLIENT'S DAUGHTER ALLEGED THAT THERE WERE TRADES MADE IN HER MOTHER'S ACCOUNT THAT WERE UNAUTHORIZED, UNSUITABLE AND EXCESSIVE. ALLEGED DAMAGES UNSPECIFIED. 1997-2000

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): MUTUAL FUNDS

Alleged Damages:

Customer Complaint Information



Date Complaint Received:	11/05/2001
Complaint Pending?	No
Status:	Settled
Status Date:	02/05/2002
Settlement Amount:	\$34,371.85
Individual Contribution Amount:	\$0.00
Broker Statement	THE CLAIM WAS SETTLED FOR \$34,371.85.



Customer Dispute - Closed-No Action/Withdrawn/Dismissed/Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES, INC
Allegations:	THE CUSTOMER ALLEGES THAT UNAUTHORIZED TRADES WERE MADE IN HIS ACCOUNT, AND THAT SOME INVESTMENTS WERE MISREPRESENTED TO HIM.
Product Type:	Unit Investment Trust
Alleged Damages:	\$110,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/19/2012
Complaint Pending?	No
Status:	Denied
Status Date:	11/09/2012
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ROYALALLIANCE



Allegations: UNAUTHORIZED TRADING,MISREPRESENTATION.DATES UNKNOWN AT THIS TIME, I HAVE NOT SEEN THE COMPLAINT LETTER.

Product Type: Unit Investment Trust

Alleged Damages: \$110,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 10/19/2012

Complaint Pending? No

Status: Denied

Status Date: 11/09/2012

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THIS COMPLAINT IS UNTRUE.I MET WITH [CUSTOMERS] ON MANY OCASSIONS IN THEIR HOME AND DISCUSSED ALL PURCHASES OR SALES.THEY WOULD TAKE OUT ALL INCOME FROM INVESTMENTS FOR PERSONAL USE.SOMETIMES ORDERS WERE TAKEN ON PHONE FOR A SMALL OR INDIVIDUAL PURCHASE.TO HAVE THIS COMPLAINT MADE 2 YEARS AFTER [CUSTOMER'S] PASSING MAKES NO SENSE.

Disclosure 2 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ROYAL ALLIANCE ASSOCIATES, INC.

Allegations: THE CUSTOMER ALLEGES HE AND HIS WIFE GAVE MR. KING MONEY TO INVEST IN A CD AND "BOND ACCOUNTS", BUT THAT THEIR MONEY WAS MOVED INTO "STOCKS" WITHOUT THEIR KNOWLEDGE.

Product Type: Unit Investment Trust

Alleged Damages: \$49,000.00



Alleged Damages Amount Explanation (if amount not exact): THE CUSTOMER ALLEGES A LOSS OF PRINCIPAL OF BETWEEN \$45,000 AND \$49,000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/19/2011

Complaint Pending? No

Status: Denied

Status Date: 12/30/2011

Settlement Amount:

Individual Contribution Amount:

Firm Statement

A REVIEW OF THE ACCOUNTS IN QUESTION SHOWED THAT THE CUSTOMERS HAD PURCHASED UNIT NIVESTMENT TRUSTS, NOT INDIVIDUAL STOCKS. HOWEVER, THE CUSTOMERS DID NOT IN FACT LOSE ANY OF THEIR PRINCIPAL INVESTMENT WHILE THEIR ACCOUNTS WERE MAINTAINED WITH ROYAL ALLIANCE.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: ROYAL ALLIANCE

Allegations: CUSTOMER ALLEGES THEY GAVE ME MONEY TO INVEST IN A CD AND BOND ACCOUNTS BUT THAT THE MONEY WAS MOVED INTO STOCKS WITHOUT THEIR KNOWLEDGE.

Product Type: Unit Investment Trust

Alleged Damages: \$49,000.00

Alleged Damages Amount Explanation (if amount not exact): CUSTOMER ALLEGES LOSS OF PRINCIPAL OF BETWEEN \$45000 AND 49000.



Is this an oral complaint? No
Is this a written complaint? Yes
**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 12/19/2011
Complaint Pending? No
Status: Denied
Status Date: 12/30/2011

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

CLIENT PURCHASED INCOME INVESTMENTS IN TAX FREE BONDS AND TAXABLE INCOME PORTFOLIOS.THEY WERE HAPPY WITH THE ALLOCATION OF FUNDS AND INCOME PROVIDED MONTHLY .THEY CAME IN AGAIN AND ADDED TO PORTFOLIOS.THEY PURCHASED EVERYTHING IN PERSON AFTER GOING OVER EACH OPTION OF TAX FREE OR TAXABLE INVESTMENT IN THE OFFICE.NO PURCHASES WERE MADE WITHOUT CLIENT APPROVAL.ACCOUNTS SHOWED NET GAIN AT ROYAL ALLIANCE.THERE WERE NO INDIVIDUAL STOCKS PURCHASED IN THIS ACCOUNT.

Disclosure 3 of 8

Reporting Source: Firm
**Employing firm when
activities occurred which led
to the complaint:** RAA

Allegations: CUSTOMERS ALLEGE THAT THEY WERE TOLD THAT CERTAIN UNIT TRUST INVESTMENTS WERE LIKE CDS, AND THAT THEY WERE GUARANTEED TO RECEIVE BACK THEIR PRINCIPAL PLUS INTEREST.

Product Type: Unit Investment Trust

Alleged Damages: \$0.00



Alleged Damages Amount Explanation (if amount not exact): NO DAMAGES ARE SPECIFIED.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 11/21/2011

Complaint Pending? No

Status: Denied

Status Date: 12/16/2011

Settlement Amount:

Individual Contribution Amount:

Firm Statement A REVIEW OF THE ACCOUNTS SHOWED THAT THE CUSTOMERS DID NOT INCUR ANY DAMAGES ON THEIR UIT INVESTMENTS.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: RAA

Allegations: CUSTOMER ALLEGES THEY WERE TOLD CERTAIN UITs WERE LIKE CDS AND GUARANTEED TO GET BACK THE PRINCIPAL PLUS INTEREST.

Product Type: Unit Investment Trust

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO DAMAGES ARE SPECIFIED

Is this an oral complaint? No

Is this a written complaint? Yes



**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 11/21/2011

Complaint Pending? No

Status: Denied

Status Date: 12/16/2011

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

CLIENT PURCHASED AN INSURED ANNUITY AND TAX FREE MUNI. BOND PORTFOLIO.THEIR ANNUITY GUARANTEED PRINCIPAL ,NOT MUNICIPAL BONDS.ACCOUNT WAS AT NET GAIN AND THERE WERE NO LOSSES ON MUNICIPAL BONDS.

Disclosure 4 of 8

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** ROYAL ALLIANCE ASSOCIATES, INC

Allegations: THE CUSTOMERS ALLEGED THAT MR. KING STATED THEY HAD PURCHASED MUNICIPAL BONDS WHEN IN FACT THEY PURCHASED SHARES OF UNIT INVESTMENT TRUSTS, AND THAT THE INVESTMENTS WERE UNSUITABLE.

Product Type: Unit Investment Trust

Alleged Damages: \$25,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 11/15/2011



Complaint Pending? No
Status: Denied
Status Date: 11/23/2011
Settlement Amount:
Individual Contribution Amount:
Firm Statement A REVIEW OF THE ACCOUNTS SHOWED THAT THE CUSTOMERS HAD A NET GAIN ON THEIR UIT INVESTMENTS.

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: ROYAL ALLIANCE
Allegations: CUSTOMER ALLEGES THAT I STATED THEY HAD PURCHASED MUNI BONDS WHEN IN FACT THEY HAD PURCHASED UNIT INV. TRUSTS, AND THE INVESTMENTS WERE UNSUITABLE.
Product Type: Unit Investment Trust
Alleged Damages: \$25,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 11/15/2011
Complaint Pending? No
Status: Denied
Status Date: 11/23/2011
Settlement Amount:
Individual Contribution Amount:
Broker Statement CLIENT HAD AN IRA RECOMENDED TAXABLE PORTFOLIO TO PAY OUT



DIVIDENDS/INTEREST TO COVER THEIR MONTHLY
DISBURSMENTS.ACCOUNT HAD A NET GAIN .COMPLAINT WAS DENIED.

Disclosure 5 of 8

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES, INC.
Allegations:	CLIENT ALLEGES THAT GLENN KING MISREPRESENTED THE SAFETY OF A UIT PRODUCT AND OFFERED GUARANTEES AGAINST INVESTMENT LOSSES.
Product Type:	Unit Investment Trust
Alleged Damages:	\$13,168.00
Alleged Damages Amount Explanation (if amount not exact):	AMOUNT REPRESENTS LOSS DUE TO MARKET DECLINE AND REINVESTED DIVIDENDS.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/18/2011
Complaint Pending?	No
Status:	Denied
Status Date:	03/09/2011
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 6 of 8

Reporting Source:	Firm
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Employing firm when activities occurred which led to the complaint: CITIGROUP GMI

Allegations: THE CLIENT ALLEGED FA DID NOT DISCLOSE THE RISK CHARACTERISTICS OF ANNUITY BOUGHT ON 8/27/02. DAMAGES UNSPECIFIED.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 08/11/2006

Complaint Pending? No

Status: Denied

Status Date: 09/21/2006

Settlement Amount:

Individual Contribution Amount:

Firm Statement CLAIM DENIED.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CITIGROUP GMI

Allegations: THE CLIENT ALLEGED THAT THE FA DID NOT DISCLOSE THE RISK CHARACTERISTICS OF AN ANNUITY BOUGHT ON 8/27/02. DAMAGES UNSPECIFIED

Product Type: Annuity(ies) - Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 09/05/2006

Complaint Pending? No

Status: Denied



Status Date: 09/21/2006

Settlement Amount:

Individual Contribution Amount:

Disclosure 7 of 8

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: CLIENT'S ATTORNEY ALLEGED THAT THERE WERE PURCHASES OF PREFERRED SHARES ON MARGIN THAT THE CLIENT DID NOT AUTHORIZE. ALLEGED DAMAGES UNSPECIFIED. 1999

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/01/2001

Complaint Pending? No

Status: Denied

Status Date: 11/21/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLIENT'S CLAIM WAS DENIED.

Disclosure 8 of 8

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SMITH BARNEY, INC

Allegations: CLIENT ALLEGED THAT THE EQUITIES PURCHASED IN HER ACCOUNT WERE UNSUITABLE ALLEGED DAMMAGES \$10,700, SMITH BARNEY, INC



Product Type:

Alleged Damages: \$10,700.00

Customer Complaint Information

Date Complaint Received: 12/14/1998

Complaint Pending? No

Status: Denied

Status Date: 03/11/1999

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE CLIENT'S CLAIM WAS DENIED. THERE WERE NO
OPTIONS OR COMMODITIES INVOLVED.
NOT PROVIDED



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ROYAL ALLIANCE ASSOCIATES INC.

Allegations: ALLEGATIONS OF UNSUITABLE INVESTMENT STRATEGY INVOLVING REITS AND UITS

Product Type: Real Estate Security
Unit Investment Trust

Alleged Damages: \$200,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 15-01027

Date Notice/Process Served: 06/23/2015

Arbitration Pending? Yes

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BUCKMAN BUCKMAN AND REID

Allegations: MISREPRESENTATION. 06/2013-05/2014.

Product Type: Unit Investment Trust

Alleged Damages: \$200,000.00

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-01027
Date Notice/Process Served:	06/26/2015
Arbitration Pending?	Yes



Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

Disclosure 1 of 2

Reporting Source: Regulator

Initiated By: FINRA

Notice Date: 06/02/2015

Details: WELLS NOTICE EXAMINATION #20150444448: FINRA MADE A PRELIMINARY DETERMINATION TO RECOMMEND THAT DISCIPLINARY ACTION BE BROUGHT AGAINST GLENN R. KING ALLEGING CHURNING (WILLFUL VIOLATION OF SECTION 10(B) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 10B-5 THEREUNDER, AND FINRA RULES 2020 AND 2010); MISREPRESENTATIONS (VIOLATION OF FINRA RULE 2010); UNSUITABLE RECOMMENDATIONS (VIOLATION OF FINRA RULES 2111 AND 2010); AND DISCRETIONARY TRADING WITHOUT WRITTEN AUTHORITY (VIOLATION OF NASD CONDUCT RULE 2510 AND FINRA RULE 2010).

Is Investigation pending? Yes

Reporting Source: Firm

Initiated By: FINRA

Notice Date: 06/02/2015

Details: VIOLATIONS OF SEC 10 B 5, FINRA 2020,2010,MISREPRESENTATION, FINRA 2111, UNSUITABILITY, DISCRETIONARY TRADING WITHOUT WRITTEN AUTHORITY,FINRA 2510.

Is Investigation pending? Yes

Disclosure 2 of 2

Reporting Source: Regulator

Initiated By: FINRA

Notice Date: 10/03/2014

Details: WELLS NOTICE EXAMINATION #20120344505: FINRA MADE A PRELIMINARY



DETERMINATION TO RECOMMEND THAT DISCIPLINARY ACTION BE BROUGHT AGAINST KING FOR POTENTIAL VIOLATIONS OF FINRA RULE 2010 AND 2020 AND NASD RULES 2110 AND 2120 AND WILLFUL VIOLATIONS OF SECTION 10(B) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 10B-5 THEREUNDER FOR MISREPRESENTATIONS/OMISSIONS; NASD RULE 2110 AND FINRA RULE 2010 FOR UNAUTHORIZED TRADING; AND FINRA RULES 1122 AND 2010 FOR WILLFUL FAILURE TO AMEND HIS FORM U4.

Is Investigation pending?

Yes

Reporting Source:

Broker

Initiated By:

FINRA

Notice Date:

10/03/2014

Details:

FINRA RULES 2020, ,2010.ALLEGED MISREPRESENTATION,OMISSIONS,UNAUTHORIZED TRADING.

Is Investigation pending?

Yes

Broker Statement

THE ALLEGED ALLEGATIONS FROM 2010 ARE UNTRUE AND I HAVE HIRED AN ATTORNEY.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Employer Name: ROYAL ALLIANCE ASSOCIATES, INC.

Termination Type: Voluntary Resignation

Termination Date: 06/01/2011

Allegations: AT TIME OF TERMINATION MR. KING WAS UNDER INTERNAL REVIEW REGARDING THE SALE OF INVESTMENT PRODUCTS SUCH AS UITs AND MUTUAL FUNDS TO CERTAIN CUSTOMERS BECAUSE OF POSSIBLE MISREPRESENTATION OF UITs AS CDS AND FAILURE TO DELIVER A PRODUCT PROSPECTUS.

Product Type: Mutual Fund
Unit Investment Trust

Reporting Source: Broker

Employer Name: ROYAL ALLIANCE ASSOCIATES, INC.

Termination Type: Voluntary Resignation

Termination Date: 06/01/2011

Allegations: AT TIME OF TERMINATION MR. KING WAS UNDER INTERNAL REVIEW REGARDING THE SALE OF INVESTMENT PRODUCTS SUCH AS UITs AND MUTUAL FUNDS TO CERTAIN CUSTOMERS BECAUSE OF POSSIBLE MISREPRESENTATIONS OF UITs AS CDS AND FAILURE TO DELIVER A PRODUCT PROSPECTUS

Product Type: Mutual Fund
Unit Investment Trust

Broker Statement ROYAL'S COMMENT IS INCORRECT SINCE I HAVE BEEN AT ROYAL PROSPECTUS'S HAVE ALWAYS BEEN SENT OUT FROM HOME OFFICE, WE WERE REQUIRED TO GIVE FACT SHEET WITH THE LINK FOR CLIENTS. THE ROYAL OFFICES STILL DO NOT HAVE PROSPECTUS'S IN THEM TO THIS VERY DAY FOR UIT'S. I HAVE NEVER SOLD A UIT AS A CD, BUT I ABSOLUTELY HAVE ALLOWED A CLIENT TO SELL THEM BEFORE THEIR MATURITY. IF THE CLIENT NEEDED ACCESS TO THEIR FUNDS OR IF A



CLIENT HAD A SUBSTANTIAL PROFIT IN THEM, I WOULD EVEN RECOMMEND IT.



Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Broker
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	07/16/2014
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	US BANKRUPTCY CT.
Location of Court:	TRENTON NJ
Docket/Case #:	14-22366
Action Pending?	No
Disposition:	Discharged
Disposition Date:	09/19/2014
Broker Statement	HOUSE WIPED OUTFROM HURRICANE SANDY ,LEFT WITH MORTGAGE ON WORTHLESS LOT.FLOOD POLICY NEVER PAID OUT.

**Financial - Pending**

This type of disclosure event involves a pending bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Broker
Action Type:	Bankruptcy
Bankruptcy:	Chapter 13
Action Date:	10/27/2014
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	US BANKRUPTCY COURIT
Location of Court:	TRENTON NJ
Docket/Case #:	14-31789
Action Pending?	Yes
Broker Statement	DUE TO LOSS OF OUR HOME FROM HURRICANE SANDY INSURANCE HAS STILL NOT PAID FLOOD CLAIM.



Judgment/Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$234,400.00
Judgment/Lien Type:	Tax
Date Filed with Court:	02/17/2012
Date Individual Learned:	02/16/2012
Type of Court:	NA
Name of Court:	NA
Location of Court:	NA
Docket/Case #:	NONE
Judgment/Lien Outstanding?	Yes
Broker Statement	I WAS JUST MADE AWARE OF THIS LIEN ON 9/16/13 WITH APPOINTMENT WITH IRS,WAS GIVEN TRANSCRIPT WITH INFO. FROM PAST CO.,TAXES OWED.

End of Report



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