

## BrokerCheck Report

### ROBERT NEIL TRICARICO

CRD# 1500863

Report #79052-39267, data current as of Friday, May 01, 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

Thank you for using FINRA BrokerCheck.

**ROBERT N. TRICARICO**

CRD# 1500863

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
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

### Registration History

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

**LPL FINANCIAL LLC**

CRD# 6413  
WESTPORT, CT  
05/2011 - 01/2015

**WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**

CRD# 11025  
WESTPORT, CT  
03/2009 - 05/2011

**CITIGROUP GLOBAL MARKETS INC.**

CRD# 7059  
WESTPORT, CT  
06/2003 - 04/2009

### 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
Regulatory Event	1
Civil Event	1
Customer Dispute	3
Termination	1
Financial	2
Judgment/Lien	2

### 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, 2 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Representative Examination	Series 6	05/21/1986
General Securities Representative Examination	Series 7	10/05/1992

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	10/23/1992
Uniform Investment Adviser Law Examination	Series 65	11/09/1994

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/](http://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
05/2011 - 01/2015	LPL FINANCIAL LLC	6413	WESTPORT, CT
03/2009 - 05/2011	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	WESTPORT, CT
06/2003 - 04/2009	CITIGROUP GLOBAL MARKETS INC.	7059	WESTPORT, CT
10/1992 - 06/2003	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
05/1986 - 02/1987	FIRST ASSOCIATED FINANCIAL GROUP, LTD.	15914	

### 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
12/2012 - Present	NORTHSTAR WEALTH PARTNERS LLC	WESTPORT, CT
05/2011 - Present	LPL FINANCIAL LLC	WESTPORT, CT
03/2009 - 05/2011	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC (1102	WESTPORT, CT
06/2003 - 03/2009	CITIGROUP GLOBAL MARKETS INC. (7059)	WESTPORT, CT

### 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.

- 05/16/2011: NON-VARIABLE INSURANCE - AGENT LICENSED WITH VARIOUS CARRIERS, CONDUCTING THE SALE AND SERVICE OF FIXED INSURANCE PRODUCTS, FIXED ANNUITIES, TERM, UNIVERSAL, WHOLE LIFE, LTC, DISABILITY HEALTH AND DENTAL. - 10% OF TIME - WESTPORT, CT.
- 9/4/2012: DBA ONLY - NORTHSTAR WEALTH PARTNERS - WESTPORT, CT.
- 7/7/2014: REGISTERED INVESTMENT ADVISOR - NORTHSTAR WEALTH PARTNERS - NORTHSTAR WEALTH

## Registration and Employment History



### Other Business Activities, continued

PARTNERS, LLC - 6 HOURS PER MONTH DURING TRADING - WESTPORT, CT.

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## 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
Regulatory Event	0	1	0





Civil Event	1	0	0
Customer Dispute	0	3	N/A
Termination	N/A	1	N/A
Financial	0	2	N/A
Judgment/Lien	N/A	2	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.

### Regulatory - Final

This type of disclosure event may involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	02/24/2015
<b>Docket/Case Number:</b>	10-00920
<b>Employing firm when activity occurred which led to the regulatory action:</b>	N/A
<b>Product Type:</b>	No Product
<b>Allegations:</b>	RESPONDENT TRICARICO FAILED TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO A FINRA REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.
<b>Current Status:</b>	Final
<b>Resolution:</b>	LETTER



**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:** 02/24/2015

**Sanctions Ordered:** Suspension

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**



**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

#### **Sanction 1 of 1**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ANY CAPACITY
<b>Duration:</b>	N/A
<b>Start Date:</b>	02/24/2015
<b>End Date:</b>	



**Regulator Statement**

PURSUANT TO ARTICLE VI, SECTION 3 OF FINRA BY-LAWS, AND FINRA RULE 9554, RESPONDENT TRICARICO IS SUSPENDED ON FEBRUARY 24, 2015 FOR FAILURE TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO A FINRA REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.



## Civil - Pending

This type of disclosure event involves a pending civil court action that seeks an injunction in connection with any investment-related activity or alleges a violation of any investment-related statute or regulation.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Initiated By:</b>	MOORE, SUSAN EXECUTRIX ESTATE OF EMILY ANDERSON
<b>Relief Sought:</b>	Restitution
<b>Date Court Action Filed:</b>	11/13/2014
<b>Date Notice/Process Served:</b>	11/19/2014
<b>Product Type:</b>	No Product
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	JURISDICTION OF FAIRFIELD AT BRIDGEPORT, CT
<b>Location of Court:</b>	BRIDGEPORT, CT
<b>Docket/Case #:</b>	FBT-CV14-6046911-S
<b>Employing firm when activity occurred which led to the action:</b>	WELLS FARGO FINANCIAL NETWORK; LPL FINANCIAL
<b>Allegations:</b>	MISMANAGEMENT AND MISAPPROPRIATION OF FUNDS
<b>Current Status:</b>	Pending
<b>Limitations or Restrictions in Effect During Appeal:</b>	NONE



## 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 3

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	WELLS FARGO FINANCIAL NETWORK; LPL FINANCIAL, LLC
<b>Allegations:</b>	PLAINTIFF ALLEGES THAT ASSETS WERE MISMANAGED AND MISAPPROPRIATED BY THE FA BETWEEN 2009 AND 2011. **AMENDED CIVIL COMPLAINT: PLAINTIFF ALLEGES THAT ASSETS WERE KNOWINGLY STOLEN AND/OR MISMANAGED AND WASTED BY THE FA DURING THE TIME FRAME OF 2009-2011 (AT WFA/WSLLC) AND 2011-2012 (AT LPL).
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	PLAINTIFF ALLEGES DAMAGES IN EXCESS OF \$1,350,000.

### Arbitration Information

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

**Docket/Case #:** 15-00246

**Date Notice/Process Served:** 03/10/2015

**Arbitration Pending?** Yes

### Civil Litigation Information

**Type of Court:** DISTRICT

**Name of Court:** SUPERIOR COURT FOR THE JUDICIAL DISTRICT OF FAIRFIELD AT BRIDGEPORT, CT

**Location of Court:** FAIRFIELD AT BRIDGEPORT, CT

**Docket/Case #:** FBT-CV14-6046911-S



**Date Notice/Process Served:** 01/17/2015  
**Litigation Pending?** No  
**Disposition:** Other: ARBITRATION SERVED ON 3/10/2015  
**Disposition Date:** 03/10/2015

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**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** WELLS FARGO FINANCIAL NETWORK, LLC: LPL FINANCIAL LLC

**Allegations:** PLAINTIFF ALLEGES THAT ASSETS WERE MISMANAGED AND MISAPPROPRIATED BY THE FA BETWEEN 2009 AND 2011. \*\*AMENDED CIVIL COMPLAINT: PLAINTIFF ALLEGES THAT ASSETS WERE KNOWINGLY STOLEN AND/OR MISMANAGED AND WASTED BY THE FA DURING THE TIME FRAME OF 2009 -2011 (AT WFA/WSLLC) AND 2011-2012 (AT LPL).

**Product Type:** No Product

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** PLAINTIFF ALLEGES DAMAGES IN EXCESS OF \$1,350,000.

### Arbitration Information

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

**Docket/Case #:** 15-00246

**Date Notice/Process Served:** 03/10/2015

**Arbitration Pending?** Yes

### Civil Litigation Information

**Type of Court:** DISTRICT

**Name of Court:** SUPERIOR COURT FOR THE JUDICIAL DISTRICT OF FAIRFIELD AT BRIDGEPORT, CT

**Location of Court:** FAIRFIELD AT BRIDGEPORT, CT

**Docket/Case #:** FBT-CV14-6046911-S





**Date Notice/Process Served:** 01/07/2015  
**Litigation Pending?** No  
**Disposition:** Other: ARBITRATION SERVED ON 03/10/2015.  
**Disposition Date:** 03/10/2015

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**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** WELLS FARGO FINANCIAL NETWORK, LLC; LPL FINANCIAL LLC  
**Allegations:** PLAINTIFF ALLEGES THAT ASSETS WERE MISMANAGED AND MISAPPROPRIATED BY THE FA BETWEEN 2009 AND 2011.  
**Product Type:** No Product  
**Alleged Damages:** \$0.00  
**Alleged Damages Amount Explanation (if amount not exact):** PLAINTIFF ALLEGES DAMAGES IN EXCESS OF \$1,350,000

### Civil Litigation Information

**Type of Court:** DISTRICT  
**Name of Court:** SUPERIOR COURT FOR THE JUDICIAL DISTRICT OF FAIRFIELD AT BRIDGEPORT, CT  
**Location of Court:** BRIDGEPORT, CT  
**Docket/Case #:** FBT-CV14-6046911-S  
**Date Notice/Process Served:** 11/19/2014  
**Litigation Pending?** Yes

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### Disclosure 2 of 3

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** CITIGROUP GLOBAL MARKETS INC.  
**Allegations:** CLIENT ALLEGED UNSUITABILITY WITH RESPECT TO INVESTMENTS - 02/2006-05/2006. DAMAGES UNSPESIFIED.



**Product Type:** Annuity-Variable  
**Alleged Damages:** \$0.00  
**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:** 03/30/2009  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 07/24/2009

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Firm Statement** CLAIM DENIED.

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

**Allegations:** CLIENT ALLEGED UNSUITABILITY WITH RESPECT TO INVESTMENTS -  
02/2006-05/2006. DAMAGES UNSPECIFIED.

**Product Type:** Annuity-Variable  
**Alleged Damages:** \$0.00  
**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:** 03/30/2009



**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 07/24/2009  
**Settlement Amount:**  
**Individual Contribution Amount:**  
**Broker Statement** CLAIM DENIED

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### Disclosure 3 of 3

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.  
**Allegations:** CUSTOMER ALLEGES ACCOUNTS WERE UNSUITABLE INVESTED.  
**Product Type:** Mutual Fund(s)  
**Alleged Damages:** \$55,939.00

### Customer Complaint Information

**Date Complaint Received:** 04/16/2001  
**Complaint Pending?** No  
**Status:** Closed/No Action  
**Status Date:** 11/15/2005  
**Settlement Amount:**  
**Individual Contribution Amount:**  
**Firm Statement** THE ALLEGATIONS WERE DENIED.

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**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH  
**Allegations:** CUSTOMER ALLEGES ACCOUNTS WERE UNSUITABLY INVESTED.



**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$55,939.00

**Customer Complaint Information**

**Date Complaint Received:** 04/16/2001

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THE ALLEGATIONS ARE DENIED.



## 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:** LPL FINANCIAL LLC

**Termination Type:** Discharged

**Termination Date:** 12/16/2014

**Allegations:** REGISTERED REPRESENTATIVE WAS TERMINATED AFTER ALLEGATIONS WERE RECEIVED VIA A LAWSUIT BY THE EXECUTRIX OF A DECEASED CLIENT ALLEGING MISUSE/MISAPPROPRIATION OF CLIENTS FUNDS.

**Product Type:** No Product

**Reporting Source:** Broker

**Employer Name:** LPL FINANCIAL

**Termination Type:** Discharged

**Termination Date:** 11/16/2014

**Allegations:** CIVIL SUIT WHERE EXECUTRIX OF ESTATE OF CLIENT ALLEGES MISAPPROPRIATION OF FUNDS

**Product Type:** No Product



## 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 2

<b>Reporting Source:</b>	Broker
<b>Action Type:</b>	Compromise
<b>Action Date:</b>	07/30/2009
<b>Organization Investment-Related?</b>	
<b>Action Pending?</b>	No
<b>Disposition:</b>	Satisfied/Released
<b>Disposition Date:</b>	07/30/2009
<b>If a compromise with creditor, provide:</b>	
<b>Name of Creditor:</b>	CITIBANK
<b>Original Amount Owed:</b>	\$3,300.00
<b>Terms Reached with Creditor:</b>	SETTLED THE ACCOUNT FOR A ONE-TIME PAYMENT OF \$1250.00.

### Disclosure 2 of 2

<b>Reporting Source:</b>	Broker
<b>Action Type:</b>	Bankruptcy
<b>Bankruptcy:</b>	Chapter 7
<b>Action Date:</b>	05/17/2010
<b>Organization Investment-Related?</b>	
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	UNITED STATES BANKRUPTCY COURT
<b>Location of Court:</b>	DISTRICT OF CONNECTICUT



**Docket/Case #:** 10-51122

**Action Pending?** No

**Disposition:** Discharged

**Disposition Date:** 09/01/2010

**Broker Statement** CHAPTER 7 BANKRUPTCY WAS FILED IN ORDER TO BE ABLE TO OBTAIN RELIEF FROM TWO MORTGAGES ON MY HOME AND IN ORDER TO KEEP MY CHILDREN IN THEIR SCHOOL SYSTEM THROUGH THE END OF THE SCHOOL YEAR.



## Judgment/Lien

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

### Disclosure 1 of 2

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	INTERNAL REVENUE SERVICE
<b>Judgment/Lien Amount:</b>	\$133,670.00
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	12/09/2013
<b>Date Individual Learned:</b>	12/09/2013
<b>Type of Court:</b>	INTERNAL REVENUE SERVICE
<b>Name of Court:</b>	INTERNAL REVENUE SERVICE
<b>Location of Court:</b>	FAIRFIELD COUNTY, CT
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	PAYMENT PLAN HAS BEEN AGREED UPON

### Disclosure 2 of 2

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	CAPITAL ONE BANK
<b>Judgment/Lien Amount:</b>	\$1,887.00
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	07/22/2009
<b>Date Individual Learned:</b>	07/22/2009
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	SMALL CLAIMS COURT OF HARTFORD COUNTY
<b>Location of Court:</b>	HARTFORD COUNTY COURT
<b>Docket/Case #:</b>	231161
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	THOUGHT THIS WAS COVERED UNDER BANKRUPTCY



## End of Report



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