

BrokerCheck Report

JAMES MARC UNGER

CRD# 2492377

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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:

- o 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
- o 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 <https://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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

JAMES M. UNGER

CRD# 2492377

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
- 2 State Securities Law Exams

Registration History

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

FINANCIAL AMERICA SECURITIES, INC.

CRD# 5100
CLEVELAND, OH
03/2014 - 06/2014

HENNION & WALSH, INC.

CRD# 25766
BEACHWOOD, OH
01/2013 - 03/2014

FINTEGRA, LLC

CRD# 16741
MAYFIELD HEIGHTS, OH
03/2009 - 01/2013

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
Customer Dispute	3
Termination	1
Judgment/Lien	3

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

<https://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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	06/01/1994

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	08/02/1994
Uniform Investment Adviser Law Examination	Series 65	03/01/2002

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
03/2014 - 06/2014	FINANCIAL AMERICA SECURITIES, INC.	5100	CLEVELAND, OH
01/2013 - 03/2014	HENNION & WALSH, INC.	25766	BEACHWOOD, OH
03/2009 - 01/2013	FINTEGRA, LLC	16741	MAYFIELD HEIGHTS, OH
12/2005 - 03/2009	SMH CAPITAL INC.	20580	BEACHWOOD, OH
02/2003 - 12/2005	RYAN BECK & CO.	3248	FLORHAM PARK, NJ
04/1997 - 02/2003	LADENBURG, THALMANN & CO., INC.	505	NEW YORK, NY
09/1995 - 04/1997	MESIROW FINANCIAL, INC.	2764	CHICAGO, IL
06/1994 - 09/1995	RODMAN & RENSHAW INC.	724	CHICAGO, IL

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
03/2009 - 03/2014	FINTEGRA, LLC	MAYFIELD HEIGHTS, OH
12/2005 - 03/2009	SANDERS MORRIS HARRIS INC.	HOUSTON, TX
12/2005 - 03/2009	SMH CAPITAL ADVISORS INC.	HOUSTON, TX

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.

SHAKER YOUTH BASEBALL-VOLUNTEER ASST COACH-FIRST BASE COACH AND ASSIST WITH PRACTICE-3-12 HRS/MO



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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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



Customer Dispute	2	1	N/A
Termination	N/A	1	N/A
Judgment/Lien	3	N/A	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

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	09/30/2014
Docket/Case Number:	2013036302501
Employing firm when activity occurred which led to the regulatory action:	SMH CAPITAL INC.; FINTEGRA, LLC; HENNION & WALSH, INC.; FINANCIAL AMERICA SECURITIES, INC.; RYAN BECK & CO.
Product Type:	No Product
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, UNGER CONSENTED TO THE SANCTION AND TO THE ENTRY OF FINDINGS THAT HE BORROWED AT LEAST \$219,000 FROM A CUSTOMER WITHOUT HIS MEMBER FIRM'S APPROVAL. THE FINDINGS STATED THAT ON MULTIPLE OCCASIONS, UNGER MADE FALSE STATEMENTS AND ATTESTATIONS TO HIS MEMBER FIRMS ON ANNUAL COMPLIANCE QUESTIONNAIRES CONCERNING HIS BORROWING OF MONEY FROM THE CUSTOMER. THE FINDINGS ALSO STATED THAT UNGER CREATED AND USED BLANK, PRE-SIGNED FORMS FOR THE PURPOSE OF MAKING ONGOING DISTRIBUTIONS FROM THE ACCOUNTS OF TWO CUSTOMERS. THE TWO CUSTOMERS HAD



REQUESTED THAT UNGER CREATE A BLANK TEMPLATE FOR THEM SO THEY COULD CONVENIENTLY RECEIVE DISTRIBUTIONS WITHOUT GENERATING NEW PAPERWORK. THE FINDINGS ALSO INCLUDED THAT UNGER WILLFULLY FAILED TO DISCLOSE OR TIMELY DISCLOSE ELEVEN TAX LIENS ON HIS FORM U4.

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:

09/30/2014

Sanctions Ordered:

Bar (Permanent)

Other: UNGER UNDERSTANDS THAT THIS SETTLEMENT INCLUDES A FINDING THAT HE WILLFULLY OMITTED TO STATE A MATERIAL FACT 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, THIS OMISSION MAKES 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:	Bar (Permanent)
Capacities Affected:	All Capacities
Duration:	
Start Date:	09/30/2014
End Date:	



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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FINTEGRA, LLC
Allegations:	WITHDRAWALS FROM VA HAS REDUCED DEATH BENEFIT AND THE INCOME THAT CAN BE GENERATED FROM THE REDUCED AMOUNT,NOT ENOUGH TAXE SWITHELD FROM WITHDRAWALS, AND AN INVESTMENT IN A PRIVATE PLACEMENT.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNKNOWN DOLLAR AMOUNT BUT MORE THAN \$5,000.00.
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:	03/09/2013
Complaint Pending?	No
Status:	Denied
Status Date:	06/09/2014
Settlement Amount:	
Individual Contribution Amount:	



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: FINTEGRA LLC

Allegations: WITHDRAWLS FROM VA REDUCED DEATH BENEFIT AND INCOME THAT CAN BE GENERATED FROM REDUCED AMOUNT. NOT ENOUGH TAXES WITHHELD AND INVESTMENT IN PRIVATE PLACEMENT

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNKNOWNH BUT MORE THAN \$5000.00

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: 03/09/2013

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement I DENY THE ALEGATIONS AM I AM PREPARED TO VIGOROUSLY DEFEND MYSELF



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FINTEGRA, LLC
Allegations:	ALLEGATION THAT UNGER ENGAGED IN SELLING AWAY OF A PRIVATE PLACEMENT AFTER LEAVING FINTEGRA'S EMPLOYMENT, AND WHILE HE WAS ASSOCIATED WITH HENNION & WALSH.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	COMPLAINT ALLEGES THAT THE CUSTOMER INVESTED AND LOST \$225,000 THROUGH HENNION & WALSH AFTER THE CUSTOMER NO LONGER HAD AN INVESTMENT ACCOUNT AT FINTEGRA. THERE IS NO ALLEGATION THAT THE CUSTOMER LOST ANY MONEY THROUGH UNGER AT FINTEGRA.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-00637
Date Notice/Process Served:	04/02/2015
Arbitration Pending?	Yes
Firm Statement	CUSTOMER DOES NOT ALLEGE THAT HE LOST ANY MONEY THROUGH FINTEGRA.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SANDERS MORRIS HARRIS



Allegations: CUSTOMER ALLEGES THAT JAMES UNGER APPEARS, WHILE EMPLOYED BY THE FIRM, TO HAVE COMMITTED FRAUDULENT AND ILLEGAL CONDUCT INTO A BROAD NUMBER OR CATEGORIES INCLUDING BUT NOT LIMITED TO UNSUITABLE, ILLIQUID INVESTMENTS AND PREPARED FICTITIOUS FINANCIAL STATEMENTS.

Product Type: Annuity-Variable
Other: PRIVATE PLACEMENTS

Alleged Damages: \$1,000,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 14-02704

Filing date of arbitration/CFTC reparation or civil litigation: 08/28/2014

Customer Complaint Information

Date Complaint Received: 10/14/2014

Complaint Pending? No

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

Status Date: 10/14/2014

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 14-02704

Date Notice/Process Served: 10/14/2014



Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/02/2016
Monetary Compensation Amount:	\$140,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	HE WAS A NAMED RESPONDENT IN THE ABOVE COMPLAINT ONLY.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FINTEGRA, LLC
Allegations:	BROKER SOLD UNSUITABLE SECURITIES
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NOT SEPCIFIED
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	14-02704
Filing date of arbitration/CFTC reparation or civil litigation:	08/28/2014

Customer Complaint Information

Date Complaint Received:	10/14/2014
Complaint Pending?	Yes

**Settlement Amount:****Individual Contribution Amount:****Reporting Source:**

Firm

Employing firm when activities occurred which led to the complaint:

SANDERS MORRIS HARRIS, INC.; FINTEGRA; HENNION & WALSH INC.; FINANCIAL AMERICA SECURITIES, INC.

Allegations:

[CUSTOMER] ALLEGES THAT JAMES UNGER APPEARS TO HAVE COMMITTED FRAUDULENT AND ILLEGAL CONDUCT FALLING INTO A BROAD NUMBER OF CATEGORIES, INCLUDING BUT NOT LIMITED TO UNSUITABLE, ILLIQUID INVESTMENTS; PREPARING FICTITIOUS FINANCIAL STATEMENTS; FRAUDULENTLY INDUCING TO INVEST OR LEND MONIES; MISAPPROPRIATING MONIES AND ACCESSING CREDIT CARDS FOR PERSONAL USE. COMPLAINT ALLEGES WRONG-DOING DATING TO 2007 IN A LETTER DATED JUNE 30, 2014 FROM CUSTOMER'S LEGAL COUNSEL [ATTORNEY].

Product Type:

Annuity-Fixed
 Annuity-Variable
 Banking Products (other than CDs)
 Direct Investment-DPP & LP Interests

Alleged Damages:

\$914,500.00

Alleged Damages Amount Explanation (if amount not exact):

LETTER LISTS NUMEROUS FIGURES FOR VARIOUS DOLLAR AMOUNTS THAT ARE ALLEGED TO HAVE BEEN MISAPPROPRIATED OR INVESTED WITHOUT REGARD TO CLIENT SUITABILITY. ALLEGED LOSSES IN EXCESS OF \$900,000 PER THE COMPLAINT LETTER.

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:**

07/01/2014

Complaint Pending?

Yes

Settlement Amount:



**Individual Contribution
Amount:**



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:	FINANCIAL AMERICA SECURITIES, INC.
Termination Type:	Discharged
Termination Date:	06/10/2014
Allegations:	MR. UNGER FAILED TO DISCLOSE OR EXPLAIN TO FINANCIAL AMERICA SECURITIES THAT HE HAD BEEN ASKED TO APPEAR BEFORE FINRA'S DEPT. OF ENFORCEMENT TO PROVIDE ON-THE-RECORD TESTIMONY ON MATTER 20130363025 AS REQUIRED BY FINRA RULE 8210.
Product Type:	No Product
Firm Statement	FINANCIAL AMERICA SECURITIES, INC. BELIEVES THAT THE FAILURE OF MR. UNGER TO DISCLOSE AND EXPLAIN MATTER NO. 20130363025 AND FURTHER TO DECLINE TO APPEAR IN NEW YORK CITY TO GIVE TESTIMONY ON THE MATTER IS REASON FOR TERMINATION.



Judgment / Lien

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

Disclosure 1 of 3

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$109,025.69
Judgment/Lien Type:	Tax
Date Filed:	11/09/2011
Type of Court:	Federal Court
Name of Court:	IRS DEPARTMENT OF TREASURY
Location of Court:	CINCINNATI, OH
Judgment/Lien Outstanding?	Yes
Broker Statement	I HAVE RETAINED THE SERVICES OF A TAX ATTORNEY TO HELP.

Disclosure 2 of 3

Reporting Source:	Broker
Judgment/Lien Holder:	DEPT OF TREASURY IRS
Judgment/Lien Amount:	\$103,644.86
Judgment/Lien Type:	Tax
Date Filed:	11/20/2008
Court Details:	DEPT OF TREASURY IRA, CUYAHOGA COUNTY, OH, SERIAL NUMBER: 495938408
Judgment/Lien Outstanding?	Yes
Broker Statement	FAMILY FAILED TO WITHHOLD ENOUGH TAXES FOR 2003, 2004, AND 2005. AM WORKING WITH REVENUE AGENT & ATTORNEY, [ATTORNEY] (216-570- 0529) TO COMPLETE OFFER & COMPROMISE WITH IRS.

Disclosure 3 of 3

Reporting Source:	Broker
Judgment/Lien Holder:	STATE OF OHIO TREASURY



Judgment/Lien Amount: \$23,850.00
Judgment/Lien Type: Tax
Date Filed: 10/23/2007
Court Details: STATE OF OHIO TREASURY, CUYAHOGA COUNTY, OH, CASE NUMBER:
JL07309353
Judgment/Lien Outstanding? Yes
Broker Statement FAMILY DID NOT WITHHOLD ENOUGH STATE TAXES. AM PAYING
\$500.00/MONTH TO RESOLVE DEBT ISSUE IN THE NEXT FEW YEARS.

End of Report



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