

BrokerCheck Report

PETER GIRGIS

CRD# 4520444

Report #41250-57525, data current as of Thursday, June 06, 2013.

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About BrokerCheck®

BrokerCheck offers information on all current-and many former-FINRA-registered securities brokers, and all current and former FINRA-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.nasaa.org>.

- **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.



PETER GIRGIS

CRD# 4520444

Currently employed by and registered with the following FINRA Firm(s):

JOSEPH GUNNAR & CO. LLC

1655 RICHMOND AVE

SUITE D & F

STATEN ISLAND, NY 10314

CRD# 24795

Registered with this firm since: 06/19/2012

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 registered with:

- 2 Self-Regulatory Organizations
- 30 U.S. states and territories

Is this broker currently suspended or inactive with any regulator? **Yes**

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 FINRA at the following brokerage firms:

BROOKSTONE SECURITIES, INC.

CRD# 13366

STATEN ISLAND, NY

10/2009 - 06/2012

J.P. TURNER & COMPANY, L.L.C.

CRD# 43177

STATEN ISLAND, NY

08/2006 - 11/2009

GUNNALLEN FINANCIAL, INC

CRD# 17609

STATEN ISLAND, NY

06/2004 - 08/2006

Disclosure Events

Disclosure events are certain criminal matters; regulatory actions; civil judicial proceedings; customer complaints, arbitrations, or civil litigations; employment terminations; and financial matters in which the broker has been involved.

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

The following types of disclosures were reported:

Regulatory Event

Customer Dispute

Judgment/Lien



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 registration, and the date on which the registration 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 individual is currently registered with 2 SROs and is licensed in 30 U.S. states and territories through his or her employer.

This broker has 1 suspended registration/license.

[For an explanation on inactive and suspended registrations, click here.](#)

Employment 1 of 1

Firm Name: **JOSEPH GUNNAR & CO. LLC**
 Main Office Address: **30 BROAD STREET 11TH FLOOR
 NEW YORK, NY 10004**
 Firm CRD#: **24795**

SRO	Category	Status	Date
FINRA	General Securities Representative	SUSPENDED	05/20/2013
FINRA	Investment Banking Representative	SUSPENDED	05/20/2013
NASDAQ Stock Market	General Securities Representative	APPROVED	06/19/2012

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
California	Agent	APPROVED	06/19/2012	Kansas	Agent	APPROVED	06/19/2012
Connecticut	Agent	APPROVED	06/19/2012	Kentucky	Agent	APPROVED	07/13/2012
District of Columbia	Agent	APPROVED	06/19/2012	Louisiana	Agent	APPROVED	06/19/2012
Florida	Agent	APPROVED	06/19/2012	Maryland	Agent	APPROVED	06/19/2012
Georgia	Agent	APPROVED	04/13/2013	Minnesota	Agent	APPROVED	06/19/2012
Idaho	Agent	APPROVED	06/19/2012	Mississippi	Agent	APPROVED	06/19/2012
Illinois	Agent	APPROVED	06/19/2012	Nevada	Agent	APPROVED	06/19/2012
Indiana	Agent	APPROVED	06/22/2012	New Jersey	Agent	APPROVED	06/19/2012
Iowa	Agent	APPROVED	06/19/2012	New York	Agent	APPROVED	06/19/2012
				North Carolina	Agent	APPROVED	06/19/2012



Broker Qualifications

Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
North Dakota	Agent	APPROVED	06/19/2012
Ohio	Agent	APPROVED	06/19/2012
Oklahoma	Agent	APPROVED	07/19/2012
Pennsylvania	Agent	APPROVED	06/19/2012
Rhode Island	Agent	APPROVED	06/19/2012
South Carolina	Agent	APPROVED	06/19/2012
Texas	Agent	APPROVED	06/19/2012
Utah	Agent	APPROVED	06/19/2012
Washington	Agent	APPROVED	06/19/2012
West Virginia	Agent	APPROVED	06/19/2012
Wyoming	Agent	APPROVED	06/19/2012

Branch Office Locations

JOSEPH GUNNAR & CO. LLC
1655 RICHMOND AVE
SUITE D & F
STATEN ISLAND, NY 10314



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	07/24/2002

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	12/13/2002

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

This broker previously was registered with FINRA at the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
10/2009 - 06/2012	BROOKSTONE SECURITIES, INC.	13366	STATEN ISLAND, NY
08/2006 - 11/2009	J.P. TURNER & COMPANY, L.L.C.	43177	STATEN ISLAND, NY
06/2004 - 08/2006	GUNNALLEN FINANCIAL, INC	17609	STATEN ISLAND, NY
07/2002 - 06/2004	JOSEPH STEVENS & COMPANY, INC.	35459	BROOKLYN, NY

Employment History

Below is the broker's employment history for up to the last 10 years.

Please note that the broker is required to provide this information only while registered with FINRA and the information is not updated 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
06/2012 - Present	JOSEPH GUNNAR & CO., LLC	STATEN ISLAND, NY
10/2009 - 06/2012	BROOKSTONE SECURITIES, INC.	STATEN ISLAND, NY
07/2006 - 10/2009	J.P. TURNER & COMPANY, LLC	STATEN ISLAND, NY
06/2004 - 07/2006	GUNNALLEN FINANCIAL, INC.	TAMPA, FL
03/2002 - 06/2004	JOSEPH STEVENS & COMPANY, INC.	NEW YORK, NY
06/1999 - 06/2004	C.S.I.	STATEN ISLAND, NY

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.

PNG CONSULTING CORP. NON-INVESTMENT RELATED. PRESIDENT/INVESTMENT CONSULTING 2 HRS/D DURING REGULAR MRKT HRS, 2HRS /D DURING NON-MRKT HRS.

HGC MANAGEMENT 1655 RICHMOND AVE. SUITE D&F STATEN ISLAND NY, 10314 EXPENSE ACCOUNT, PRESIDENT, NO COMPENSATION : NON-INVESTMENT RELATED . 1HR/DAY DURING REGULAR MRKT HRS, 1HR/DAY DURING NON-MRKT HRS. PETER GIRGIS, INC. LOCATED AT 50 BURTON AVENUE, SI, NY 10309; 1 HOUR PER WEEK NOT DURING MARKET HOURS TO PAY EXPENSES AND IS NOT INVESTMENT RELATED.

Registration and Employment History





Disclosure Events

What you should know about reported disclosure events:

1. Disclosure events are certain criminal matters; regulatory actions; civil judicial proceedings; customer complaints, arbitrations, or civil litigations; employment terminations; and financial matters in which the broker has been involved.
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 report 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" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
 - A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the 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 disclosure events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding the disclosure events.



	Pending	Final	On Appeal
Regulatory Event	0	1	0
Customer Dispute	1	2	N/A
Judgment/Lien	N/A	3	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 disclosure event 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:	04/24/2013
Docket/Case Number:	2011029919602
Employing firm when activity occurred which led to the regulatory action:	BROOKSTONE SECURITIES, INC. AND JOSEPH GUNNAR & CO.
Product Type:	No Product
Allegations:	FINRA RULES 1122 AND 2010: GIRGIS FAILED TO DISCLOSE, AND IN SOME INSTANCES TO TIMELY DISCLOSE ON HIS UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER (FORM U4) FOUR UNSATISFIED JUDGMENTS AND/OR LIENS.
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:

04/24/2013

Sanctions Ordered:

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

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	THREE MONTHS
Start Date:	05/20/2013
End Date:	08/19/2013

**Monetary Sanction 1 of 1**

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Summary: WITHOUT ADMITTING OR DENYING THE FINDINGS, GIRGIS CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR THREE MONTHS. THE SUSPENSION IS IN EFFECT FROM MAY 20, 2013, THROUGH AUGUST 19, 2013.

Reporting Source: Broker

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: FINE

Date Initiated: 04/24/2013

Docket/Case Number: 20110299196-02

Employing firm when activity occurred which led to the regulatory action: BROOKSTONE SECURITIES, INC AND JOSEPH GUNNAR & CO

Product Type: No Product

Allegations: FINRA RULES 1122 AND 2010: GIRGIS FAILED TO DISCLOSE, AND IN SOME INSTANCES TO TIMELY DISCLOSE ON HIS UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER (FORM U4) FOUR UNSATISFIED JUDGMENTS AND/OR LIENS.

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: 04/24/2013

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

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ANY CAPACITY

Duration: THREE MONTHS

Start Date: 05/20/2013

End Date: 08/19/2013

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Summary: WITHOUT ADMITTING OR DENYING THE FINDINGS, GIRGIS CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR THREE MONTHS. THE SUSPENSION IS IN EFFECT FROM MAY 20, 2013, THROUGH AUGUST 19, 2013.





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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC
Allegations:	EXCESSIVE AND UNAUTHORIZED TRADING, FRAUD, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION AND UNSUITABILITY.
Product Type:	Equity-OTC
Alleged Damages:	\$299,817.48
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:	02/19/2010
Complaint Pending?	No
Status:	Settled
Status Date:	03/18/2010
Settlement Amount:	\$75,000.00
Individual Contribution Amount:	\$25,000.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY, LLC
Allegations:	EXCESSIVE AND UNAUTHORIZED TRADING, FRAUD, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION AND UNSUITABILITY



Product Type:	Equity-OTC
Alleged Damages:	\$299,817.48
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:	02/19/2010
Complaint Pending?	No
Status:	Settled
Status Date:	03/18/2010
Settlement Amount:	\$75,000.00
Individual Contribution Amount:	\$25,000.00



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 that was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC
Allegations:	UNAUTHORIZED TRADE
Product Type:	Equity - OTC
Alleged Damages:	\$16,512.80

Customer Complaint Information

Date Complaint Received:	04/02/2008
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	04/04/2008
Settlement Amount:	
Individual Contribution Amount:	



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:	Broker
Employing firm when activities occurred which led to the complaint:	JOSEPH GUNNAR & CO. LLC
Allegations:	<p>THE CLIENT HAD CONTACTED THE JGUN STATEN ISLAND OSJ ON MAY 23, 2013 WHERE HE HAD A SINGLE ACCOUNT VALUED AT APPROXIMATELY \$60,000.00 AND ADVISED ONE OF THE OSJ PRINCIPALS THAT HE WAS IN RECEIPT OF A MONTHLY STATEMENT SHOWING HE HAD A SECOND ACCOUNT VALUED AT APPROXIMATELY \$687,000.00 AND HE'D LIKE IT COMBINED WITH THE FIRST ACCOUNT. ON MAY 24, THE CLIENT FAXED THE STATEMENT FOR REVIEW AND IT WAS FORWARDED TO THE JGUN COMPLIANCE DEPARTMENT; IT CLEARLY APPEARED THAT HIS NAME, ADDRESS AND ACCOUNT NUMBER WERE CUT AND PASTED OVER ANOTHER EXISTING JGUN CLIENT ACCOUNT STATEMENT. JGUN BEGAN AN INVESTIGATION INTO THE MATTER IMMEDIATELY. DURING THE INVESTIGATION, JGUN HAS BEEN IN REGULAR CONTACT WITH THE CLIENT AND HAS RECEIVED ELECTRONIC DATA AND OTHER INFORMATION AND HAS COME TO THE CONCLUSION THAT PETER GIRGIS PLAYED A ROLE IN THE CLIENT OBTAINING A STATEMENT FOR AN ACCOUNT THAT WAS NOT TITLED IN HIS NAME.</p>
Product Type:	No Product
Alleged Damages:	\$600,000.00
Alleged Damages Amount Explanation (if amount not exact):	THIS IS AN APPROXIMATE AMOUNT BASED ON CONVERSATION WITH CLIENT.
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: 05/24/2013



Complaint Pending? Yes
Settlement Amount:
Individual Contribution
Amount:



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: NEW YORK STATE TAXATION
Judgment/Lien Amount: \$30,635.20
Judgment/Lien Type: Tax
Date Filed: 02/22/2011
Type of Court: State Court
Name of Court: RICHMOND COUNTY CLERK
Location of Court: RICHMOND COUNTY, NEW YORK
Docket/Case #: 00035112801
Judgment/Lien Outstanding? Yes
Summary: CURRENTLY ON PAYMENT PLAN. CURRENT REMAINING BALANCE AS OF 1/28/2013 IS \$17,208.12.

Disclosure 2 of 3

Reporting Source: Broker
Judgment/Lien Holder: NEW YORK STATE DEPARTMENT OF TAXATION AND FINANCE
Judgment/Lien Amount: \$4,805.09
Judgment/Lien Type: Tax
Date Filed: 01/22/2011
Type of Court: State Court
Name of Court: STATE COURT OF NEW YORK
Location of Court: RICHMOND COUNTY, NY
Docket/Case #: E-032559621-W001-3
Judgment/Lien Outstanding? Yes

Disclosure 3 of 3

Reporting Source: Broker



Judgment/Lien Holder: NEW YORK STATE DEPARTMENT OF TAXATION AND FINANCE
Judgment/Lien Amount: \$14,735.35
Judgment/Lien Type: Tax
Date Filed: 01/22/2011
Type of Court: State Court
Name of Court: STATE COURT OF NEW YORK
Location of Court: RICHMOND COUNTY, NY
Docket/Case #: E-032559621-W002-7
Judgment/Lien Outstanding? Yes

End of Report



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