



Bilaga 3
(Rättshjälp)
till förundersökningsprotokoll

EB-4689-16

Grovt bedrägeri mm i

Optimus Fonder AB (556673-5758)

Falcon Funds SICAV PLC (SV295)

mfl.

Misstänkta:

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Innehållsförteckning

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Staatsanwaltschaft Frankfurt am Main
Der Leitende Oberstaatsanwalt



Staatsanwaltschaft - 60256 Frankfurt am Main

Schwedisches Zentralamt
für Wirtschaftskriminalität
Box 820
101 36 STOCKHOLM
SCHWEDEN

Aktenzeichen: **9408 AR 301552/18 RH**

Dst.-Nr.: 0231
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Ihr Zeichen:
Ihre Nachricht:

Datum: 24. September 2018

Internationaler Rechtshilfeverkehr in Strafsachen
Europäische Ermittlungsanordnung Aktenzeichen EB-4689-16

Sehr geehrte Damen und Herren,

in Erledigung Ihres Ersuchens vom 03. April 2018 (Europäische Ermittlungsanordnung, Aktenzeichen EB-4689-16, Dokument 1477) übersende ich das Schreiben der Oddo Seydler Bank AG vom 11. September 2018 nebst Anlagen.

Mit freundlichen Grüßen
Im Auftrag

Dr. Krach
Staatsanwalt



Konrad-Adenauer-Str. 20
60313 Frankfurt am Main

Telefon: (069) 1367 - 01
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Staatsanwaltschaft Frankfurt am Main
Dst.-Nr.: 0231
z.Hd. Herrn Dr. Krach
60256 Frankfurt am Main

Ihre Nachricht vom
11.06.2018

Unsere Nachricht vom

Telefon, FAX
+49(0) 69 92054-0

Ort und Datum
Frankfurt, 11.09.2018

Aktenzeichen: 9408 AR 301552/18 RH

Schwedisches Ermittlungsverfahren gegen Max Emil SERWIN (vormals: Emil Amir INGMANSSON), geboren am 06.10.1977, und andere wegen des Verdachts des Betruges

Sehr geehrter Herr Dr. Krach,

wir nehmen Bezug auf ihr Schreiben vom 11.06.2018, und möchten Ihnen anbei die die gewünschten Unterlagen für unseren ehemaligen Konto- und Depotkunden Solid Venture Capital Ltd. zur Verfügung stellen:

Zu Punkt 1.:

Depot # 900728	Solid Venture Capital Ltd.
Konto # 728	Solid Venture Capital Ltd. (EURO-Konto)
Konto #100000728	Solid Venture Capital Ltd. (GBP-Fremdwährungskonto)
Konto # 800000728	Solid Venture Capital Ltd. (DKK-Fremdwährungskonto)
Konto # 200000728	Solid Venture Capital Ltd. (USD-Fremdwährungskonto)

Weitere Konten und Depots wurden für Solid Venture Capital Ltd. nicht geführt.

Zu Punkt 1.a.:

Die gewünschten Kontoeröffnungsunterlagen entnehmen Sie bitte der Anlage 1 auf dem beigefügten Memory-Stick.



Zu Punkt 1.b.:

Die ODDO SEYDLER BANK AG hatte im Rahmen des Kunden-Depotgeschäftes kein Online-Banking im Angebot.

Zu Punkt 1.c.:

Die gewünschte Umsatzübersicht nebst dem für den genannten Zeitraum gültigen Schlüsselverzeichnis mit ausführlichen Buchungstexten entnehmen Sie bitte der Anlage 2.

Zu Punkt 1.d.:

Als Verfügungsberechtigte für die oben genannten Konten und Depots waren folgende Personen hinterlegt:

Emil Amir Ingmanson, geb. am 06.10.1977 und
Afram Gergeo, geb. am 05.02.1977

Zu Punkt 2.:

In Bezug auf die in Ihrer Anlage unter Punkt 2.2 aufgeführten Zahlungen entnehmen Sie die gewünschten Unterlagen bitte unserer Anlage 2.2.

Zu Punkt 3.:

Die Beantwortung der in Ihrer Anlage unter Punkt 2.3 gestellten Fragen entnehmen Sie bitte unserer Anlage 2.3.

Zu Punkt 4.:

Die Beantwortung der in Ihrer Anlage unter Punkt 2.4 gestellten Fragen entnehmen Sie bitte unserer Anlage 2.4.

Die Beantwortung der in Ihrer Anlage unter Punkt 3.1 gestellten Fragen entnehmen Sie bitte unserer Anlage 3.1.

Ihre Anfrage unter Anlage unter Punkt 3.2. enthielt keine weiteren Gesellschaften/ Personen zur Prüfung.



Für weitere Rückfragen stehen wir Ihnen gerne zur Verfügung.

Mit freundlichen Grüßen



Rene Parmantier
Vorstand



Holger Gröber
Vorstand

Anlagen



CERTIFICATE OF INCORPORATION OF A PRIVATE LIMITED COMPANY

Company No. 5179108

The Registrar of Companies for England and Wales hereby certifies that
MIMIN LIMITED

is this day incorporated under the Companies Act 1985 as a private
company and that the company is limited.

Given at Companies House, Cardiff, the 14th July 2004



THE OFFICIAL SEAL OF THE
REGISTRAR OF COMPANIES



Companies House

for the record

Fup bilaga 3

Information pursuant to the GwG¹ when accounts/custody accounts are opened by corporations

The Bank is obligated by law to collect and record in writing the following information. The account/custody account holder is obligated by law to cooperate in this respect and update the information (Section 4 (6) GwG).

Account/custody account holder
Solid Venture Capital Ltd

Account/custody account no.
728 / 900728

Information on beneficial owner(s)

The beneficial owner is the natural person who ultimately owns or controls the account/custody account holder or at whose behest the business relationship is established. Control/ownership is presumed to exist if a person directly or indirectly controls more than 25 per cent of the shares or voting rights. Determination of the beneficial owner may be waived if the account/custody account holder is a company which is listed on an organised market within the meaning of Section 2 (5) WpHG² in the EU. In the case of listed companies from third countries whose transparency requirements with respect to holdings of voting rights are equivalent to those under Community law, or if any other case covered by Section 5 (2) GwG applies, determination of the beneficial owner may also be waived.

I. Information when account/custody account holder is acting at the behest of third party

The account/custody account holder is acting at the behest of the following natural person. If the account/custody account holder is acting at the behest of **another company**, the name of this company should be entered here. Further details of its ownership/control structure should be recorded on another Form 41.221/41.222/41.223 or separately.

Name (where applicable, name of company)	First name(s)	(if necessary, further identifying features (e.g. address/registered seat))

II. Information on ownership or control

1. Account/custody account holder

Solid Venture Capital Ltd
(Name of company)

is listed on an organised market within the meaning of Section 2 (5) WpHG on which transparency requirements with respect to holdings of voting rights in line with those under Community law or equivalent international standards apply.

Trading venue / market segment

Stock exchange / abbreviation

is an authority within the meaning of Section 5 (2) No. 4 GwG.

is a credit institution or other undertaking within the meaning of Section 5 (2) No. 1 GwG.

has no recognisable beneficial owner, as the holding limits are not exceeded (i.e. not more than 25 per cent of shares or voting rights) and there is no evidence of other effective control.

2. The above-mentioned account/custody account holder (company) does not fall under subparagraph 1. The beneficial owner(s) pursuant to Section 1 (6) GwG is (are):

Name and first name(s)	Amount of holding Shares/voting rights – directly/indirectly –	if necessary, further identifying features (e.g. address)
¹ Ingmanson, Emil Amir	50%	Flat 5, Costa del Mar, Triq Locker, Sliema
² Gergeo, Afram	50%	Fyrfatsvägen 63, 14159 Huddinge
³		
⁴		

Details of ownership and control structure

see enclosure

Master Agreement

between

Solid Venture Capital Ltd

869 High Road

London N12 8AQ

hereafter referred to as "the Client"

and

Close Brothers Seydler Bank AG,
Schillerstraße 27-29 in 60313 Frankfurt am Main

hereafter referred to as "the Bank".

together „the Parties“.

Contents of the Master Agreement:

	Preamble
Article 1	Validity of and changes to this Master Agreement
Article 2	General information concerning the Bank
Article 3	Client classification
Article 4	Services of the Bank concerning the keeping of the securities account
Article 5	Placement of orders
Article 6	Execution of orders on the purchase and sale of financial instruments
Article 7	No investment advice
Article 8	Risk references
Article 9	Services of the Bank concerning the keeping of the clearing account
Article 10	Deposit protection
Article 11	Powers of Attorney
Article 12	Prices
Article 13	Handling of conflicts of interest
Article 14	Agreements concerning possible contributions to the Bank
Article 15	Use of further agents (<i>Erfüllungsgehilfen</i>)
Article 16	Notes on tax, especially US withholding tax
Article 17	Data processing and credit reports
Article 18	Declaration according to Money Laundering Act (<i>Geldwäschegesetz</i>)
Article 19	Duration of the Agreement and termination
Article 20	Final provisions
Attachment 1	General Terms and Conditions of the Bank
Attachment 2	Special Conditions for Dealings in Securities
Attachment 3	General Information concerning the Bank
Attachment 4	Sample Form for Fax Order
Attachment 5	Order Execution Policy of the Bank
Attachment 6	Sample Form for Fax Transfer
Attachment 7	Powers of Attorney Form
Attachment 8	Price and Services List
Attachment 9	Principles of the Bank concerning the proper Handling of potential Conflicts of Interest

Preamble

The Client wishes to open a securities account with clearing account and will sign separate securities account and clearing account applications.

The securities and clearing account relationship of the Client vis-à-vis the Bank will be governed by this Agreement as well as by the documents signed separately by the Client (e.g. securities account and clearing account applications as well as power of attorney forms), the General Terms and Conditions of the Bank and the special terms of the Bank for specific services.

This Master Agreement also applies to all further securities and clearing accounts opened by the Client at the Bank.

Article 1 Validity of and changes to this Master Agreement

- (1) This Master Agreement applies to the entire scope of the business relationship between the Client and the Bank.
- (2) Additionally, the following rules apply to the business relationship between the Client and the Bank:
 - General Terms and Conditions of the Bank (**Attachment 1**);
 - Special Conditions for Dealings in Securities (**Attachment 2**);

Should there be deviations, the Articles of this Master Agreement shall prevail over those of the above mentioned regulations.

- (3) Concerning the change of this Master Agreement, Nr. 1 para. 2 of the General Terms and Conditions of the Bank shall apply. The Bank reserves the right to terminate the business relationship should the Client object to the change of the Master Agreement or one of the above mentioned regulations according to No. 1 para. 2 of the General Terms and Conditions of the Bank.

Article 2 General information concerning the Bank

A summary of general information concerning the Bank and its services is attached to this Master Agreement as **Attachment 3**.

Article 3 Client classification

- (1) According to § 31a WpHG, the Bank is obliged to classify the Client into one of the following categories:

- "private client",
- "professional client" or
- "eligible counterparty"

Concerning individual investment services, non-core investment services and financial instruments, a classification of the Client deviant from the general categorization is possible. The Bank will only provide investment services and non-core investment services for the Client insofar as the Client is classified, by the Bank, as a "professional client" or "eligible counterparty" concerning the respective financial instrument. Insofar as the Client is classified as "private client", the banks cannot provide any investment services or non-core investment services.

(2) The Client is classified by the Bank as

- professional client
- eligible counterparty.

The Client has agreed to this classification subject to the provisions of paras. 3 and 5.

(3) Should the Client be classified above as "professional client", he can, according to Article 31a para. 6 of the Securities Trading Act (*Wertpapierhandelsgesetz*, "WpHG"), demand that he be classified as "private client" for all or only individual investment services or non-core investment services or specific financial instruments.

- The Client does not make use of his right to be classified as "private client".
- The Client makes use of his right to be classified as "private client" concerning the following investment services, non-core investment services and / or financial instruments:

According to para. 1, the Bank cannot provide any investment services, or non-core investment services to the Client insofar as the Client has chosen a classification in the category "private client" above.

- (4) Should the Client not fulfil the criteria set for a “professional client” in Article 31a para. 2 WpHG, but, on application, wishes to be classified as a “professional client” according to Article 31a para. 7 WpHG, the Client must sign a separate declaration concerning the classification as “professional client”.
- (5) Should the Client be classified above as „eligible counterparty”, and therefore be subject to a lower level of protection, he can agree with the Bank according to Article 31a para. 5 WpHG, that he be classified as “private client” or “professional client” for all or only individual investment services or non-core investment services or specific financial instruments.

- The Parties agree that the Client will be globally classified as “eligible counterparty”.
- The Parties agree that the Client will be classified as “professional client” concerning the following investment services, non-core investment services and/or specific financial instruments:

- The Parties agree that the Client will be classified as “private client” concerning the following investment services, non-core investment services and/or specific financial instruments:

According to para. 1, the Bank cannot provide any investment services, or non-core investment services for the Client insofar as the Client has agreed with the Bank to be classified above in the category “private client”.

- (6) The Bank will immediately inform the Client of every change to the classification in writing.

Article 4 Services of the Bank concerning the keeping of the securities account

In connection with the keeping of the securities account, the Bank will provide the following services to the Client:

(1) Administration and custody of investment instruments

In the context of the securities account the Bank retains direct and indirect custody (see the following Article 15) over financial instruments and book-entry securities as well as other financial instruments the Client may have (in the following: "Financial Instruments"). Furthermore, the Bank will provide the services stated in the Nos. 13 et seq. of the "Special Conditions for Securities Transactions" if not provided otherwise below.

(2) Purchase and sale of Financial Instruments

Via the Bank, the Client can purchase or sell all types of Financial Instruments that are tradable at any German securities exchange, especially interest-bearing financial instruments, stocks, participation shares, investment shares, certificates, warrants and other financial instruments, through:

(a) transaction on a commission basis:

The Client commissions the Bank on a case by case basis to purchase or sell financial instruments on behalf of the Client, and the Bank will make an effort to conduct the respective execution of the request on behalf of the Client.

(b) fixed-price transaction:

For individual transactions, the Client can agree with the Bank to directly purchase or sell at a fixed price.

(c) subscription:

Should this be offered by the Bank in the context of an emission, the Client can subscribe to new stocks or other Financial Instruments offered by the Bank.

Trading of products at the Eurex Frankfurt AG is not possible.

(3) No committal or custody of physical securities

Deviating from the Special Terms for Securities Trading, a committal of physical securities by the Client or the acceptance of custody for physical securities by jacket custody is not possible.

(4) Service for general meeting of shareholders / no exercise of voting rights

For German stocks, the Bank passes on information relevant to the general meeting of shareholders according to Articles 125 para. 1, 128 para. 1 of the German Stock Corporation Act (*Aktiengesetz*, "AktG") to the Client should the respective stocks be kept in the Client's securities account at the relevant cut-off date. Furthermore, the Bank will help organize the tickets for the upcoming general meeting of shareholders. The Bank will provide no further services in connection with general meetings of shareholders. In particular, the Bank will not take part in general meetings of shareholders as authorised representative of the Client and/or exercise the voting rights in the name of the Client.

Article 5 Placement of orders

The Client can place orders such as the purchase or sale of Financial Instruments in the following way:

(1) Written placement of order

The Client can place orders with the Bank in written form and send the original document of the order to the Bank by post, courier or messenger.

(2) Order placed by facsimile

Should the following be desired by the Client, the Bank will accept written orders by the Client also via facsimile ("Fax Order"). A prerequisite for a legally effective order is then, that (i) the Fax Order is conducted using the sample form attached (**Attachment 4**) and (ii) it carries one or more signatures that are in accordance with the stand-in arrangement agreed previously with the Client and (iii) a comparison of the signatures on the Fax Orders with specimen signatures available to the Bank do not point to noticeable deviations. The Fax Order then has the same legal quality as a written order sent in original with original signatures.

In connection with Fax Orders the Client is aware that

- (a) when transferring by facsimile, the authenticity and completeness of orders can only be verified on the basis of the facsimile arriving at the Bank, making forgeries – i.e. concerning the contents of the order – perceptible to the Bank only in exceptional cases; and
- (b) when sending orders by facsimile, delays, contortions or other residual errors unrecognizable to the Bank may occur.

The Client accepts liability for all damages arising from (i) the execution of forged or falsified Fax Orders or (ii) the delayed transmission of Fax Orders, unless the Bank has not undertaken to check the signatures with the necessary diligence or acted otherwise with gross negligence or with intent.

Taking these risks into consideration, the Client declares:

- I wish to place orders by facsimile.
- I do not wish to place orders by facsimile.

(3) Placing of orders by telephone

Should the following be desired by the Client, the Bank will also accept orders of the Client by telephone ("Telephone Orders"). Prerequisite for a valid order is, then, that the Telephone Order is placed by a person who, according to the stand-in arrangement agreed previously with the Client, has individual power of representation. The Telephone Order then has the same legal quality as an original written order sent with original signatures.

Upon request by the Bank, the Client is obliged to immediately confirm a Telephone Order in writing. The Bank can make written confirmation a pre-condition for the fulfilment of the order.

The Bank would like to mention that, according to the circular letter 15/2009 of the Federal Banking Supervisory Office (*Bundesanstalt für Finanzdienstleistungsaufsicht*, "BaFin"), dated 14. August 2009 ("*Mindestanforderungen an das Risikomanagement*" – "Minimum Requirements to Risk Management") sub-part "*BTO 2.2.1 (4) Handel*" (BTO 2.2.1 (4) trade), it is required that the Bank record all business conversations of its traders on sound storage media and store the recordings for a minimum of 3 months. Telephone Orders are therefore only possible if the Client accepts the recording of Telephone Orders and ensures that the members of the Client's staff authorized to issue Telephone Orders also give their consent to the recording of Telephone Orders.

Concerning the possibility of placing of orders by telephone, the Client declares:

- I wish to place orders by telephone. Consent is given to the recording of Telephone Orders.
- I do not wish to place orders by telephone.

(4) Should the Bank not be available via one of the above mentioned means of communication, the Client is obliged to resort to another means of communication mentioned above.

Article 6 Execution of orders for the purchase and sale of Financial Instruments

- (1) For the execution of orders of the Client for the purchase or sale of Financial Instruments according to Article 5, the execution conditions set in the "Order Execution Policy" of the Bank shall apply in their respective current version. The current version of the "Order Execution Policy" of the Bank is attached as **Attachment 5**. According to Article 33a para. 6 Nr. 1 WpHG, the Client is obliged to give his consent to these execution conditions.

Concerning the "Order Execution Policy", the Client declares:

- Consent is given to the "Order Execution Policy".
- Consent is not given to the "Order Execution Policy".

- (2) The Bank will immediately inform the Client of any planned changes to the "Order Execution Policy". Concerning the coming into effect of changes to the "Order Execution Policy" of the Bank, Nr. 1 para 2 of the General Terms and Conditions of the Bank apply accordingly. The Client may request from the Bank the respective current version of the "Order Execution Policy" of the Bank by phone or in writing and view it on the internet site of the Bank at www.cbseydler.com.

- (3) According to Article 33a para. 5 WpHG, the Client must give his express consent to purchase and sale of financial instruments outside organized markets and multi-lateral trade systems.

Concerning the execution of orders outside organized markets and multi-lateral trading systems, the Client declares:

- Consent is given, in general and not only for individual cases, to the execution of orders outside organized markets and multi-lateral trading systems.
- Consent is not given to the execution of orders outside organized markets and multi-lateral trading systems.

- (4) According to Article 31c para. 2 WpHG, the Bank is obliged to immediately communicate and make available to other market participants limited orders concerning listed stocks that, due to market conditions, are not able to be executed immediately, should the Client not issue any other instruction.

Concerning the communication according to Article 31c para. 2 WpHG the Client issues the following instruction:

- The Client issues the general instruction, not limited to individual cases, that the limited orders placed by him concerning listed stocks that, due to market conditions, are not able to be executed immediately, are not to

be communicated and be made available to other market participants, unless the Bank chooses to do so at its own discretion.

- The Client does not issue such an instruction to the Bank.

Article 7 No investment advice

In the context of the securities and clearing account relationship, the Bank only executes orders of the Client concerning the purchase and sale of Financial Instruments and does not offer any advice concerning the investment in Financial Instruments (execution only). A deviant regulation must be expressly agreed upon in writing.

Article 8 Risk references

- (1) Due to their specific characteristics and the executed operations, Financial Instruments are burdened with specific risks, in particular:

- risk of market price changes and risk of declining equity prices;
- credit risks (risk of default, risk of bankruptcy) of the issuer; and
- currency risks concerning instruments that are denominated in foreign currency.

These risks, individually or together, can lead to the total loss of an investment.

Detailed information on the individual Financial Instruments and the risks involved can be found in the brochure "Basic Information for the Investment in Securities", which the Bank will provide to the Client free of charge after conclusion of this Master Agreement.

- (2) The Client should only conduct commercial operations in Financial Instruments autonomously and without advice if he has adequate experience and knowledge.

Article 9 Services of the Bank concerning the keeping of the clearing account

- (1) A cash account opened by the Client with the Bank has the exclusive purpose of being a clearing account for the purchase and sale of Financial Instruments. There is no entitlement to cash payments. According to the regulations in para. 2, the clearing account does not provide the possibility of participation in general money transfer transactions. Furthermore, the clearing account cannot be used for standing orders, direct debit or the credit entry or charging of cheques or bills. The Bank does not issue Credit Cards, ec-/Maestro-Cards, Debit-Cards or other cards to the Client.
- (2) From the clearing account, only transfers to the following reference account, kept in the name of the Client, may be conducted:

Bank: Barclays Bank
IBAN: GB04BARC20956133313980
BIC: BARCGB22

Concerning orders of the Client for transfers to the reference account, Article 5 shall apply accordingly. The options chosen there for Fax and Telephone Orders shall apply also for transfers to the reference account. For fax orders, the attached sample for a fax transfer order is to be used (**Attachment 6**)

- (3) Transfers to the reference account of the Client are sent to the following account of the Bank with the bank BNP Paribas Securities Services S.A., Frankfurt Branch, Grüneburgweg 14, 60322 Frankfurt am Main:

Recipient: Close Brothers Seydler Bank AG
IBAN: DE28 5003 0500 9153 9788 82
BIC: PARBDEFFXXX
Reason for Payment: 728

- (4) Should there be sufficient securities in the securities account, the Client may, based on a special agreement with the Bank, overdraw his clearing account, even if no margin credit agreement has been explicitly concluded. The maximum amount of a possible overdraft is based on a separate agreement between the Parties, but may not surpass the collateral value of the Client's securities account. The amount of the collateral value is based on the risk classes of the individual Financial Instruments and their weighting in the securities account of the Client. The Bank reserves the right to change the risk classes and to take individual Financial Instruments out of the collateral. Furthermore, changes to the collateral value may occur through the purchase and sale of Financial Instruments and/or daily market price movements. In particular, for the case that

adequate collateral in the securities account is no longer available and no further collateral is given despite a request from the Bank, the Bank reserves the right to accelerate maturity of the over-drafted amount and to demand from the Client the immediate balancing of the clearing account.

- (5) All clearing accounts are on an open item basis, as long as no deviating agreement exists. Subject to such deviating agreements, the Bank will provide the Client with a monthly balance of the accounts. The legal effect of a balance of accounts as well as the possibilities to check its contents and, if necessary, raise objections, arise from the Nos. 7 and 11 of the General Terms and Conditions of the Bank. Should the Parties not conclude a deviating agreement, the forwarding of the account statements will occur on a monthly basis should there be existent turnover, otherwise once a year.

Article 10 Deposit protection

- (1) The Bank explicitly states that it is **not** a member of the deposit guarantee fund of the Association of German Bank (*Bundesverband deutscher Banken e.V.*). Therefore, the regulations in No. 20 of the General Terms and Conditions of the Bank do not apply.
- (2) The deposits of the Client are, however, secured by the statutory indemnification institute according to the regulations of the Law on Deposit Protection and Investor Indemnification (*Einlagensicherungs- und Anlegerentschädigungsgesetz, "EAEG"*). Should the indemnification claims of the Client not be barred by Article 3 para. 2 EAEG, 90% of the deposits of the Client are secured. However, the claim to indemnification is limited to a maximum of Euro 100,000.

Article 11 Powers of Attorney

- (1) For the securities and clearing accounts kept by the Bank for the Client, all persons have the power of attorney that are named, by the Client or its legal representatives, in the powers of attorney form attached hereto as **Attachment 7**.
- (2) The Bank does not check whether the business transactions executed by the authorized representatives have been co-ordinated with the Client or live up to the standards of potential internal constraints on the power of authority. The Client is responsible for the implementation of such potential internal constraints to the powers of attorney, and must let business deals conducted by the authorized representative apply accordingly against himself. Should the Client name more than one authorized representative, each of the authorized representative has the power, should no deviating agreements be in place, to represent the Client individually.

Article 12 Prices

- (1) The current prices for the services of the Bank can be found in the "Price- and Service List", the current version of which is attached hereto as **Attachment 8**.
- (2) The Bank will inform the Client immediately of any planned changes to the "Price- and Service List". Concerning the coming into effect of these changes, No. 1 para. 2 of the General Terms and Conditions of the Bank shall apply accordingly. The Client can request the respective current version of the "Price- and Service List" of the Bank from the Bank via telephone or in written form.

Article 13 Handling of conflicts of interest

- (1) The Bank will strive to avoid conflicts of interest. Specifics concerning the handling of conflicts of interest by the Bank can be found in the "Principles of the Close Brothers Seydler Bank AG concerning the proper Handling of Potential Conflicts of Interest (Client Information)" attached hereto as **Attachment 9**.
- (2) The Bank will inform the Client immediately concerning any planned changes to the "Principles of the Close Brothers Seydler Bank AG concerning the adequate Handling of Potential Conflicts of Interest (Client Information)". Concerning the coming into effect of these changes, No. 1 para. 2 of the General Terms and Conditions of the Bank shall apply accordingly. The Client may request from the Bank the respective current version of the "Principles of the Close Brothers Seydler Bank AG concerning the adequate Handling of Potential Conflicts of Interest (Client Information)" of the Bank by phone or in writing and view it on the internet site of the Bank at www.cbseydler.com.

Article 14 Agreements concerning possible contributions to the Bank

- (1) Issuers of stocks, holdings and closed funds (especially capital investment companies and issuers of bonds) remunerate their distributors such as the Bank in connection with business deals that these close with their clients with one-time or recurring distribution commissions. Such distribution commissions include placement and maintenance fees (the latter also known as "follow-up distribution commissions"). Placement fees are one-time payments to the Bank for the marketing of certificates and structured bonds, and usually amount to between 0 % and 5 % of the volume placed by the Bank. For holdings and closed-end funds, one-time marketing and capital procurement fees subject to magnitude of turn-over are to be paid, the amount of which can be found in the respective brochure. They lie between 1% and 15%. Some issuers grant the Bank a discount on the issue price of the shares instead of a placement fee. In investment shares, certificates and structured bonds, the Bank receives, as the case may be, a recurring portfolio maintenance fee from the issuer of the shares, subject to the size of the portfolio. The amount of this portfolio maintenance fee depends on the respective securities and is, e.g. for equity funds, between 0 % and 1.5 % p.a., for bond funds between 0 % and 1.25 % p.a., for

open-ended real-estate funds between 0 % and 0.35 % p.a. and for certificates and bonds between 0 % and 2 % p.a.. If required, further details can be requested from the Bank.

- (2) Should statutory provisions for the professional agency (*Geschäftsbesorgung*) be applicable to all business transactions closed between the Bank and the Client concerning securities, shareholdings and closed-end funds, the Client has a claim against the Bank for the delivery of anything the Bank received in the course of the execution of its professional agency for the Client (Articles 675, 667 BGB). Should such a claim also include the marketing fee described in para. 1, the Bank and the Client conclude a deviating agreement that such a claim to the delivery of the above mentioned distribution commission of the Client against the Bank cannot arise, rather, that the Bank is entitled to keep the above mentioned distribution commission.

Article 15 Use of further agents (*Erfüllungsgehilfen*)

- (1) The Bank has the right to involve other banks in the fulfilment of its obligations. The Bank will take into consideration its obligations resulting from Article 25a para. 2 et seq. of the Banking Act (*Kreditwesengesetz*, "KWG") and the respective implementation rules set by the Federal Banking Supervisory Office (*Bundesanstalt für Finanzdienstleistungsaufsicht*, "BaFin").
- (2) In particular, the Client agrees that, in connection with the management of the securities and the clearing accounts, the Bank may utilize the services of BNP Paribas Securities Services S.A., Frankfurt Branch, as an agent employed for the performance of this Agreement (*Erfüllungsgehilfe*).

Article 16 Notes on tax, especially US withholding tax

- (1) Should interest be incurred in keeping a clearing account, this income is taxable.
- (2) Income from Financial Instruments are, in general, also taxable, as for profit from the purchase and sale of Financial Instruments. Subject to the respective tax rate in place (domestic and abroad), payment of profit and revenue from sales may be subject to capital gains tax and/or other tax (e.g. withholding tax according to U.S. tax laws – see also para. 2 below), that are to be transferred to the respective tax authorities and therefore decrease the sum paid to the Client in total.
- (3) According to current U.S. tax laws, the U.S.A. raise a withholding tax on yield on U.S. securities paid to so-called "non-resident aliens" (foreigners subject to restricted taxation in the USA), currently set at 30%. In the framework of the relief process for U.S. securities there is the possibility of automatically granting the Client exemption from the U.S. withholding tax applicable to him. To take advantage of this possibility, proof of the (tax) residence of the Client is needed in a specific form. The Client obliges himself to provide this above mentioned

proof at the latest before purchasing U.S. securities. The Bank will provide the respective forms.

- (4) Should questions arise, the Client should turn to the appropriate tax authorities or a tax adviser. This is especially relevant if he is subject to tax in a foreign country.

Article 17 Data processing and credit reports

- (1) Client data is automatically collected, processed and utilized in the framework of the opening, management and maintenance of Client relationship. In this context the Bank will take into consideration the provisions of the Federal Data Protection Law (*Bundesdatenschutzgesetz*) and other data protection statutes. Information provided by the Client will also be used by the Bank to inform the Client of products and services of the Bank. The Client may dissent to this usage at any time.
- (2) The Bank may gather information from credit agencies before closing an agreement on or in the course of the securities and clearing account relationship. Independent of this, the Bank may also transfer information regarding non-contractual behaviour (such as outstanding payments after termination) to a credit agency. In both cases, the Federal Data Protection Law determines as prerequisite that this may only be done to protect legitimate interests of the Bank, another contractual partner of the credit agency or the general public, and that no legitimate interests of the Client are affected.

Article 18 Declaration according to Money Laundering Act (*GwG, Geldwäschegesetz*)

Herewith, the Client declares, according to the Money Laundering Act (Section 3 (1) No. 3 GwG):

- The Client is not acting at the behest of a natural person or another company. This also holds true for any other potential future openings of further securities and clearing accounts of the Client.
- The Client is acting at the behest of a natural person or another company. The Client declares the following concerning the beneficial owner:

Name/company name of the beneficial owner:

Address of the beneficial owner:

Article 19 Term of the Agreement and Termination

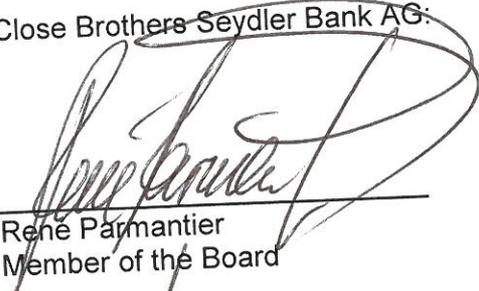
- (1) This Agreement is put into effect signing by the Parties and is concluded for an indefinite period of time.
- (2) Nos. 18 et seq. of the General Terms and Conditions of the Bank shall apply concerning the termination of this Master Agreement,

Article 20 Final provisions

- 21.1 Subject to the provisions in Article 1 para. 3 above, changes of this Master Agreement must be made in writing. The same shall apply to the requirement of written form itself, and the waiver thereof.
- 21.2 The law of the Federal Republic of Germany shall govern this Master Agreement. The place of jurisdiction for all disputes concerning or resulting from this Master Agreement shall be Frankfurt am Main.
- 21.3 Should certain provisions of this Agreement be or become invalid or should they not be able to be put into practice this shall not affect the validity of the further provisions of this Agreement. An invalid provision shall be replaced by a valid provision which the Parties would have agreed upon, had they known of the invalidity of the clause, at the time of the conclusion of this Master Agreement, to further the economic success strived for by the conclusion of this Master Agreement. The same shall be valid should an omission become apparent.

Frankfurt am Main, 13.02.2013

Close Brothers Seydler Bank AG:



René Parmantier
Member of the Board



Holger Gröber
Member of the Board

London, 13.02.2013

Solid Venture Capital Ltd:



Emil Amir Ingmanson



Afram Gergeo

Close Brothers Seydler Bank AG
Schillerstrasse 27-29
60313 Frankfurt am Main

Internal bank data/filing data

Type of account ¹ (e.g. savings account)	Account/custody account will be used as follows: ²		Account no./ custody account no.	Account/custody account currency
	private use	commercial use		
1 Cash	<input type="checkbox"/>	<input type="checkbox"/>	728	Euro
2 Deposit	<input type="checkbox"/>	<input type="checkbox"/>	900728	Euro
3	<input type="checkbox"/>	<input type="checkbox"/>		
4	<input type="checkbox"/>	<input type="checkbox"/>		
5	<input type="checkbox"/>	<input type="checkbox"/>		
Additional designation if required				

Opening of accounts/custody accounts for

- sole proprietorships, trading partnerships and corporations
- registered associations
- non-trading partnerships
- public-law entities including church institutions with independent legal existence

I (We) hereby apply for the opening of accounts/custody accounts. For these as well as for all other accounts/custody accounts opened in future the following terms shall apply:

Account/ custody account holder (for firms, name according to Commercial Register)	Solid Venture Capital Ltd 869 High Road London N12 8AQ		
Legal form	Ltd	Trade	
Address (in Germany, including federal state ²)	Postal address: Solid Equity AB, Hammarby Kaj 16, Sweden-12030 Stockholm		
Telephone no. ³ Fax no. ³		Email address ³	
Form of delivery of account statements	<input type="checkbox"/> Statement printer <input checked="" type="checkbox"/> Other: post		
Use of electronic mass media ⁴	<input type="checkbox"/> Debit card <input type="checkbox"/> Online banking <input type="checkbox"/> Telephone banking <input type="checkbox"/> Other access media		

Nature and purpose of business relationship	
<input type="checkbox"/> Payments (e.g. current accounts)	<input type="checkbox"/> Other:
<input checked="" type="checkbox"/> Investment	
<input type="checkbox"/> Lending	

1. Current account agreement, account balancing period

Unless otherwise agreed, the accounts shall be operated as current accounts. The Bank shall issue a periodic balance statement at the end of each calendar quarter, unless a diverging account balancing period is indicated in the following:

Diverging account balancing period	monthly
------------------------------------	---------

The legal effect of a periodic balance statement as well as the obligation to review its contents and, if applicable, raise objections are governed by No. 7 of the General Business Conditions.

2. Right of representation⁵

The persons authorised to act as representatives vis-à-vis the Bank shall be specified separately in the specimen signatures sheet. Unless otherwise indicated, the right of representation shall apply also for all future accounts/custody accounts. The account holder must notify the Bank immediately and – for proof-related reasons – if possible in writing of the extinction or amendment of any right of disposal advised to the Bank. This notification requirement shall also exist where the right of representation has been recorded in a public register (e.g. Commercial Register) and its extinction or amendment is entered in this register.

3. Duty of the account/custody account holder to cooperate under the GwG⁶

The account/custody account holder is obligated to make available the information and documents necessary for determining beneficial owners and to immediately report to the Bank any changes in the mandatory information provided to it that may arise in the course of the business relationship.

4. Incorporation of the Business Conditions

The business relationship shall be governed by the General Business Conditions of the Bank. In addition, specific business relations shall be governed by Special Conditions deviating from or supplementing these General Business Conditions. Such Special Conditions shall in particular apply to the use of cheques, credit transfers, direct debit payments, the girocard and savings accounts, as well as to securities dealings and forward transactions. The text of the individual conditions can be inspected at the premises of the Bank. The account/custody account holder may also request to be supplied with a copy of the General Business Conditions and Special Conditions at a later date.

Place, date, signature(s) (Company seal and signatures of proprietors, personally liable partners, management board members or managing directors)	Stockholm, 14/2 -2013 	Stockholm 14/2 -2013 
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Data protection notice:

The Bank shall process and use the personal data collected from you also for advertising, market research or opinion polling purposes. You may object at any time to the processing and use of your personal data for advertising, market research or opinion polling purposes.

¹Required if the account/custody account number does not indicate the type of account. ²Required to file with the tax authorities. ³Voluntary. ⁴The use of electronic access media is subject to a separate agreement between the Bank and the account/custody account holder. ⁵A specimen signature sheet must, in addition, be signed. ⁶Sections 4 (1) and 6 (2) no.1 GwG.

Further information pursuant to the GwG¹, KWG² and AO³

Notations by Bank

Entered in register at the Amtsgericht (Local Court)	under no.	Certified extract from register has been presented, dated:
Registrar of Companies for England and Wales	5179108	13.02.2013

Persons acting on behalf of account/custody account holder when account/custody account is opened and manner of identification

Name, first name Private address	Identity document (type of document no., issued by, on)	Identification by other means*	Date of birth, Place of birth, Nationality
1. Ingmanson, Emil Amir Flat 5, Costa del Mar, Triq Locker, Sliema	PP 84541472 05.05.2012 Polismynd, Stockholm	<input type="checkbox"/> Number	06.10.1977 Katarina Stockholm SWE
2. Gergeo, Afram Fyrfatvågen 63, 14159 Huddinge	PP 82784454 05.09.2011 Polismynd, Stockholm	<input type="checkbox"/> Number	05.02.1977 Botkyrka SWE
3.		<input type="checkbox"/> Number	
4.		<input type="checkbox"/> Number	
5.		<input type="checkbox"/> Number	

*If identification is made by other means, please enter the following numbers:

1 = Identification by eligible third parties (e.g. PostIdent procedure)

2 = As the acting person had already been identified on a previous occasion and the information collected at the time was recorded, re-identification could be waived. (Further details should be furnished in this connection.)

Legal representatives/members of representative body of account/custody account holder to be recorded upon opening of account/custody account

	Surname, first name	Address (where available)
1		
2		
3		
4		
5		

Identification of persons acting upon opening of the account

<input checked="" type="checkbox"/> Newly opened <input type="checkbox"/> Alteration	Withdrawal notice for saving deposits:	Additional processing information	PEP ⁵ status <input checked="" type="checkbox"/> has been determined <input type="checkbox"/> will be determined before initial account access
TIN ⁴ Tax Identification Number of account/custody account holder/beneficial		Place, date, signature of bank employee	

Clarification of the beneficial owner and the beneficial owner's PEP status

Further information pursuant to the GwG to establish the beneficial owner(s) should be recorded on a separate form and included in account information file: Form 41.520 (merchant; in principle also applicable associations), Form 41.521 (corporations/companies), Form 41.522 (partnerships) or Form 41.523 (foundations or comparable legal entities).

¹Geldwäschegesetz (GwG) = German Anti-Money Laundering Act. ²Kreditwesengesetz (KWG) = German Banking Act. ³Abgabenordnung (AO) = German Tax Code. ⁴The Tax Identification Number (TIN) only needs to be entered if the account/custody account holder/beneficial owner is a natural person resident in another EU member state or in an associated or dependent territory of an EU member state to which Germany reports interest payments under the Interest Information Regulation (Zinsinformationsverordnung – ZIV). ⁵PEP = Politically Exposed Person; clarification of PEP status is necessary for each natural person – for both the contracting party and the beneficial owner.

Close Brothers Seydler Bank AG
Schillerstrasse 27-29
60313 Frankfurt am Main

Opening of accounts/custody accounts for

- sole proprietorships, trading partnerships and corporations
- registered associations
- non-trading partnerships
- public-law entities including church institutions with independent legal existence

Internal bank data/filing data

Type of account ¹ (e.g. savings account)	Account/custody account will be used as follows: ²		Account no./ custody account no.	Account/custody account currency
	private use	commercial use		
1 Cash	<input type="checkbox"/>	<input type="checkbox"/>	728	Euro
2 Deposit	<input type="checkbox"/>	<input type="checkbox"/>	900728	Euro
3	<input type="checkbox"/>	<input type="checkbox"/>		
4	<input type="checkbox"/>	<input type="checkbox"/>		
5	<input type="checkbox"/>	<input type="checkbox"/>		
Additional designation if required				

I (We) hereby apply for the opening of accounts/custody accounts. For these as well as for all other accounts/custody accounts opened in future the following terms shall apply:

Account/ custody account holder (for firms, name according to Commercial Register)	Solid Venture Capital Ltd 869 High Road London N12 8AQ		
Legal form	Ltd	Trade	
Address (in Germany, including federal state ²)	Postal address: Solid Equity AB, Hammarby Kaj 16, Sweden-12030 Stockholm		
Telephone no. ³ Fax no. ³		Email address ³	
Form of delivery of account statements	<input type="checkbox"/> Statement printer <input checked="" type="checkbox"/> Other: post		
Use of electronic mass media ⁴	<input type="checkbox"/> Debit card <input type="checkbox"/> Online banking <input type="checkbox"/> Telephone banking <input type="checkbox"/> Other acces media		

Nature and purpose of business relationship

Payments (e.g. current accounts) Other:
 Investment
 Lending

1. Current account agreement, account balancing period

Unless otherwise agreed, the accounts shall be operated as current accounts. The Bank shall issue a periodic balance statement at the end of each calendar quarter, unless a diverging account balancing period is indicated in the following:

Diverging account balancing period	monthly
------------------------------------	---------

The legal effect of a periodic balance statement as well as the obligation to review its contents and, if applicable, raise objections are governed by No. 7 of the General Business Conditions.

2. Right of representation⁵

The persons authorised to act as representatives vis-à-vis the Bank shall be specified separately in the specimen signatures sheet. Unless otherwise indicated, the right of representation shall apply also for all future accounts/custody accounts. The account holder must notify the Bank immediately and – for proof-related reasons – if possible in writing of the extinction or amendment of any right of disposal advised to the Bank. This notification requirement shall also exist where the right of representation has been recorded in a public register (e.g. Commercial Register) and its extinction or amendment is entered in this register.

3. Duty of the account/custody account holder to cooperate under the GwG⁶

The account/custody account holder is obligated to make available the information and documents necessary for determining beneficial owners and to immediately report to the Bank any changes in the mandatory information provided to it that may arise in the course of the business relationship.

4. Incorporation of the Business Conditions

The business relationship shall be governed by the General Business Conditions of the Bank. In addition, specific business relations shall be governed by Special Conditions deviating from or supplementing these General Business Conditions. Such Special Conditions shall in particular apply to the use of cheques, credit transfers, direct debit payments, the girocard and savings accounts, as well as to securities dealings and forward transactions. The text of the individual conditions can be inspected at the premises of the Bank. The account/custody account holder may also request to be supplied with a copy of the General Business Conditions and Special Conditions at a later date.

Place, date, signature(s) <small>(Company seal and signatures of proprietors, personally liable partners, management board members or managing directors)</small>	<p>Stockholm, 14/2 - 2013 Stockholm 14/2 - 2013</p> 
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Data protection notice:

The Bank shall process and use the personal data collected from you also for advertising, market research or opinion polling purposes. You may object at any time to the processing and use of your personal data for advertising, market research or opinion polling purposes.

¹Required if the account/custody account number does not indicate the type of account. ²Required to be used for the purpose of withholding tax. ³Voluntary. ⁴The use of electronic access media is subject to a separate agreement between the Bank and the account/custody account holder. ⁵A specimen signature sheet must, in addition to the signed copy of the General Business Conditions (6) and 6 (2) no.1 GwG.

Close Brothers Seydler Bank AG
 Schillerstrasse 27-29
 60313 Frankfurt am Main

Internal bank data/filing data

Type of account (e.g. current account, safe custody account)		Account no./ Safe custody account no.
1	Cash	728
2	Deposit	900728
3		
4		
Enclosure to the opening of accounts/ safe custody accounts of		Sheet no. -1-

Right of representation and specimen signatures for registered sole proprietorships, trading partnerships, non-trading partnerships and corporations

Account holder	Solid Venture Capital Ltd
----------------	---------------------------

I. **Right of representation and specimen signatures**
 The persons listed below shall be authorised to represent us vis-à-vis the Bank as follows:

Addendum to the right of representation and specimen signatures
 In addition to the authorised representatives already indicated, the persons listed below shall be authorised to represent us vis-à-vis the Bank as follows:

Names of proprietors, personally liable partners, management board members, managing directors	Right of representation vis-à-vis the Bank ¹	To be filled in by the Bank ² : Limited individual power of attorney	Specimen signatures of proprietors, personally liable partners, management board members, managing directors
1. Ingmanson, Emil Amir	I		
2. Gergeo, Afram	I		
3.			
4.			
5.			
Names of "Prokuristen" (holders of general commercial power of attorney)	Right of representation vis-à-vis the Bank ¹	Limited individual power of attorney	Specimen signatures of "Prokuristen"
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			

¹ Persons who are to have individual right of representation must be marked with an "I"; those who are to have joint right of representation with another person specified below are to be marked with a "J". If someone is only to have right of representation jointly with a particular other person, the number under which that person is listed in this form must be indicated in addition to the letter "J" (e.g. "J" with no. 1). ² See under II. ³ The number of sheets for accounts/safe custody accounts must be used for the entire number of other persons.

Names of "Handlungsbevollmächtigte" ³ who have been authorised to enter <u>into</u> obligations on bills of exchange, conclude loan agreements and furnish the declarations required to secure the loan agreements, except where security is provided in the form of charges on property.	Right of representation vis-à-vis the Bank ¹	To be filled in by the Bank ² : Limited individual power of attorney	Specimen signatures of "Handlungsbevollmächtigte"
14.			
15.			
16.			
17.			
18.			
19.			
20.			
21.			
22.			
23.			
24.			
25.			
Names of "Handlungsbevollmächtigte" ³ with no authority to enter <u>into</u> obligations on bills of exchange and conclude loan agreements	Right of representation vis-à-vis the Bank ¹	Limited individual power of attorney	Specimen signatures of "Handlungsbevollmächtigte"
26.			
27.			
28.			
29.			
30.			

¹ Persons who are to have individual right of representation must be marked with an "I"; those who are to have joint right of representation with another person specified below are to be marked with a "J". If someone is only to have right of representation jointly with a particular other person, the number under which that person is listed in this form must be indicated in addition to the letter "J" (e.g. "J" with no. 1). ² See under II. ³ In the case of "Handlungsbevollmächtigte" for accounts/safe custody accounts" must be used for the authentication of other persons.

Names of "Handlungsbevollmächtigte" ² with no authority to enter <u>into</u> obligations on bills of exchange and conclude loan agreements	Right of representation vis-à-vis the Bank	Limited individual power of attorney ²	Specimen signatures of "Handlungsbevollmächtigte"
31.			
32.			
33.			
34.			
35.			
36.			
37.			
38.			
39.			
40.			
41.			
42.			
43.			
44.			
45.			
46.			
47.			
48.			
49.			
50.			

40.590 (01/06)

² See under II.

II. Limitation of the power of attorney vis-à-vis the Bank in the case of joint right of representation in accordance with the articles⁴

If, in accordance with the Commercial Register/Register of Cooperative Societies or Register of non-trading Partnerships, all legal representatives (personally liable partner of a general partnership, limited partnership or non-trading partnership, management board of a public limited company, managing director of a private limited company, management board of a cooperative) of the account holder have **joint right of representation, individual right of representation vis-à-vis the Bank** granted on this specimen signatures sheet shall be limited to transactions directly relating to the management of the account(s)/safe custody account(s).

These shall include in particular:

- disposing of account balances (e.g. by credit transfer order, cash withdrawal, cheque)
- drawing on loans granted (including instructions to provide a guarantee, utilisation of existing overdraft facilities and presentation of bills of exchange for discounting)
- buying and selling securities and foreign exchange and requesting delivery of these
- accepting and acknowledging periodic balance statements, statements of account, securities, safe custody and income statements plus other statements and advices
- issuing collection orders

For legal reasons, individual right of representation for all business transactions can only be granted vis-à-vis the Bank for partnerships and corporations where the partnership agreement or the articles provide for individual right of representation for legal representatives.

The account holder must notify the Bank immediately and – for proof-related reasons – if possible in writing of the extinction or amendment of any right of representation advised to the Bank. This notification requirement shall also exist where the right of representation has been recorded in a public register (e.g. Commercial Register) and its extinction or amendment is entered in this register.

Place, date, signature(s) ⁵ (Company stamp and signatures of proprietors, owners, personally liable partners, management board members or managing directors)	
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Bank remarks

Entered in the register at the Amtsgericht (Local Court) under no.	certified extract from register dated
Registrar of Companies for England and Wales 5179108	13.02.2013
Joint right of representation in accordance with the articles exists (see II.)	
<input type="checkbox"/> yes <input type="checkbox"/> no	
<input type="checkbox"/> Receipt of the specimen signatures confirmed to the account holder by registered letter with return receipt ("hand to addressee only")	<input type="checkbox"/> Return receipt received on:
<input type="checkbox"/> with PostIdent repeating in full the names of the authorised representatives and their type of right of representation Date, signature of bank official	Date, signature of bank official

Identification of authorised representatives

Name, private address of authorised representatives	Type of identity document (issued by ... on ...)		Date of birth/ Place of birth/ Nationality
1. Ingmanson, Emil Amir Flat 5, Costa del Mar, Triq Locker, Sliema	PP 84541472 05.05.2012 Polismynd, Stockholm	<input type="checkbox"/> by PostIdent	06.10.1977 Katarina Stockholm, SW
2. Gergeo, Afram Fyrfatsvägen 63, 14159 Huddinge	PP 82784454 05.09.2011 Polismynd, Stockholm	<input type="checkbox"/> by PostIdent	05.02.1977 Botkyrka, SWE
3.		<input type="checkbox"/> by PostIdent	
4.		<input type="checkbox"/> by PostIdent	
5.		<input type="checkbox"/> by PostIdent	
Date, signature of bank official			

40.590 (01/06)

⁴For the bank: Please note under I. that individual of representation is limited. ⁵Should some of the persons of the company have been granted individual right of representation and some joint right of representation, the specimen signatures sheet should be signed by at least one person holding individual right of representation.

Close Brothers Seydler Bank AG
 Schillerstr. 27-29
 60313 Frankfurt am Main

Internal bank data/filing data

Type of account ¹ (e.g. savings account)	Account/custody account will be used as follows: ²		Account no./ custody account no.	Account/ custody account currency
	private use	commercial use		
1 Cash	<input type="checkbox"/>	<input checked="" type="checkbox"/>	0100000728	GBP
2 Cash	<input type="checkbox"/>	<input type="checkbox"/>	0800000728	DKK
3 Cash	<input type="checkbox"/>	<input type="checkbox"/>	200000728	USD
4	<input type="checkbox"/>	<input type="checkbox"/>		
5	<input type="checkbox"/>	<input type="checkbox"/>		
Additional designation if required				

Opening of accounts/custody accounts for

- sole proprietorships, trading partnerships and corporations
- registered associations
- non-trading partnerships
- public-law entities including church institutions with independent legal existence

I (We) hereby apply for the opening of accounts/custody accounts. For these as well as for all other accounts/custody accounts opened in future the following terms shall apply:

Account/ custody account holder (for firms, name according to Commercial Register)	Solid Venture Capital Ltd 869 High Road London N12 8AQ		
Legal form	Ltd	Trade	
Address (in Germany, including federal state ²)	Postal address: Solid Equity AB, Hammarby Kaj 16, Sweden-12030 Stockholm		
Telephone no. ³ Fax no. ³		Email address ³	
Form of delivery of account statements	<input type="checkbox"/> Statement printer <input checked="" type="checkbox"/> Other:		
Use of electronic mass media ⁴	<input type="checkbox"/> Debit card <input type="checkbox"/> Online banking <input type="checkbox"/> Telephone banking <input type="checkbox"/> Other acces media		

Nature and purpose of business relationship	
<input type="checkbox"/> Payments (e.g. current accounts)	<input type="checkbox"/> Other:
<input checked="" type="checkbox"/> Investment	
<input type="checkbox"/> Lending	

1. Current account agreement, account balancing period

Unless otherwise agreed, the accounts shall be operated as current accounts. The Bank shall issue a periodic balance statement at the end of each calendar quarter, unless a diverging account balancing period is indicated in the following:

Diverging account balancing period	monthly
------------------------------------	---------

The legal effect of a periodic balance statement as well as the obligation to review its contents and, if applicable, raise objections are governed by No. 7 of the General Business Conditions.

2. Right of representation⁵

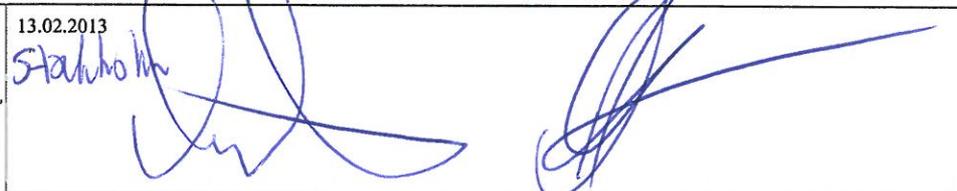
The persons authorised to act as representatives vis-à-vis the Bank shall be specified separately in the specimen signatures sheet. Unless otherwise indicated, the right of representation shall apply also for all future accounts/custody accounts. The account holder must notify the Bank immediately and – for proof-related reasons – if possible in writing of the extinction or amendment of any right of disposal advised to the Bank. This notification requirement shall also exist where the right of representation has been recorded in a public register (e.g. Commercial Register) and its extinction or amendment is entered in this register.

3. Duty of the account/custody account holder to cooperate under the GwG⁶

The account/custody account holder is obligated to make available the information and documents necessary for determining beneficial owners and to immediately report to the Bank any changes in the mandatory information provided to it that may arise in the course of the business relationship.

4. Incorporation of the Business Conditions

The business relationship shall be governed by the General Business Conditions of the Bank. In addition, specific business relations shall be governed by Special Conditions deviating from or supplementing these General Business Conditions. Such Special Conditions shall in particular apply to the use of cheques, credit transfers, direct debit payments, the girocard and savings accounts, as well as to securities dealings and forward transactions. The text of the individual conditions can be inspected at the premises of the Bank. The account/custody account holder may also request to be supplied with a copy of the General Business Conditions and Special Conditions at a later date.

Place, date, signature(s) (Company seal and signatures of proprietors, personally liable partners, management board members or managing directors)	13.02.2013 
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Data protection notice:

The Bank shall process and use the personal data collected from you also for advertising, market research or opinion polling purposes. You may object at any time to the processing and use of your personal data for advertising, market research or opinion polling purposes.

¹Required if the account/custody account number does not indicate the type of account. ²Required to allow correct deduction of withholding tax. ³Voluntary. ⁴The use of electronic access media is subject to a separate agreement between the Bank and the account/custody account holder. ⁵A specimen signature sheet must, in addition, be signed. ⁶Sections 4 (b) and 6 (2) no.1 GwG.

Further Information pursuant to the GwG¹, KWG² and AO³

Notations by Bank

Entered in register at the Amtsgericht (Local Court)	under no.	Certified extract from register has been presented, dated:
Registrar of Companies for England and Wales	5179108	13.02.2013

Persons acting on behalf of account/custody account holder when account/custody account is opened and manner of identification

Name, first name Private address	Identity document (type of document no., issued by, on)	Identification by other means ⁴	Date of birth, Place of birth, Nationality
1. Ingmanson, Emil Amir Flat 5, Costa des Mar, Triq Locker, Sliema	PP 84541472 05.05.2012 Polismynd, Stockholm	<input type="checkbox"/> Number	06.10.1977 Katarina Stockholm SWE
2. Gergeo, Afram Fyrfatsvägen 63, 14159 Huddinge	PP 82784454 05.09.2011 Polismynd, Stockholm	<input type="checkbox"/> Number	05.02.1977 Botkyrka SWE
3.		<input type="checkbox"/> Number	
4.		<input type="checkbox"/> Number	
5.		<input type="checkbox"/> Number	

⁴If identification is made by other means, please enter the following numbers:

1 = Identification by eligible third parties (e.g. PostIdent procedure)

2 = As the acting person had already been identified on a previous occasion and the information collected at the time was recorded, re-identification could be waived. (Further details should be furnished in this connection.)

Legal representatives/members of representative body of account/custody account holder to be recorded upon opening of account/custody account

	Surname, first name	Address (where available)
1		
2		
3		
4		
5		

Identification of persons acting upon opening of the account

<input checked="" type="checkbox"/> Newly opened <input type="checkbox"/> Alteration	Withdrawal notice for saving deposits:	Additional processing information	PEP ⁵ status <input checked="" type="checkbox"/> has been determined <input type="checkbox"/> will be determined before initial account access
TIN ⁴ Tax Identification Number of account/custody account holder/beneficial	Place, date, signature of bank employee		

Clarification of the beneficial owner and the beneficial owner's PEP status

Further information pursuant to the GwG to establish the beneficial owner(s) should be recorded on a separate form and included in account information file: Form 41.520 (merchant; in principle also applicable associations), Form 41.521 (corporations/companies), Form 41.522 (partnerships) or Form 41.523 (foundations or comparable legal entities).

¹Geldwäschegesetz (GwG) = German Anti-Money Laundering Act. ²Kreditwesengesetz (KWG) = German Banking Act. ³Abgabenordnung (AO) = German Tax Code. ⁴The Tax Identification Number (TIN) only needs to be entered if the account/custody account holder/beneficial owner is a natural person resident in another EU member state or in an associated or dependent territory of an EU member state to which Germany reports interest payments under the Interest Information Regulation (Zinsinformationsverordnung - ZIV). ⁵PEP = Politically Exposed Person; clarification of PEP status is necessary for each natural person – for both the contracting party and the beneficial owner.

NOTARIUS PUBLICUS

Advokat Else-Marie Grönstedt



I, the undersigned, Else-Marie Grönstedt, Notary Public in the city of Stockholm, Sweden, hereby certify,

that the enclosed document is a true and correct photocopy of the original document which document has been duly produced to me.

Stockholm, Sweden, 2013-02-13

Ex officio

Else-Marie Grönstedt





**CERTIFICATE OF INCORPORATION
ON CHANGE OF NAME**

Company Number 5179108

The Registrar of Companies for England and Wales hereby certifies that under the Companies Act 2006:

MIMIN LIMITED

a company incorporated as private limited by shares, having its registered office situated in England and Wales, has changed its name to:

SOLID VENTURE CAPITAL LTD

Given at Companies House on **15th February 2012**.



THE OFFICIAL SEAL OF THE
REGISTRAR OF COMPANIES

The above information was communicated by electronic means and authenticated by the Registrar of Companies under section 1115 of the Companies Act 2006

NOTARIUS PUBLICUS

Advokat Else-Marie Grönstedt



I, the undersigned, Else-Marie Grönstedt, Notary Public in the city of Stockholm, Sweden, hereby certify,

that the enclosed document is a true and correct photocopy of the original document which document has been duly produced to me.

Stockholm, Sweden, 2013-02-13

Ex officio

Else-Marie Grönstedt





**CERTIFICATE OF INCORPORATION
OF A PRIVATE LIMITED COMPANY**

Company No. 5179108

The Registrar of Companies for England and Wales hereby certifies that
MIMIN LIMITED

is this day incorporated under the Companies Act 1985 as a private
company and that the company is limited.

Given at Companies House, Cardiff, the 14th July 2004



THE OFFICIAL SEAL OF THE
REGISTRAR OF COMPANIES



Companies House

— for the record —
Fup bilaga 3



Close Brothers Seydler Bank AG
 Schillerstrasse 27-29
 60313 Frankfurt am Main

Internal bank data/filing data

Type of account (e.g. current account, safe custody account)		Account no./ Safe custody account no.
1	Cash	728 + GBP/DM/USD
2	Deposit	900728
3		
4		
Enclosure to the opening of accounts/ safe custody accounts of		Sheet no.
		-1-

Right of representation and specimen signatures for registered sole proprietorships, trading partnerships, non-trading partnerships and corporations

Account holder	Solid Venture Capital Ltd
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I. **Right of representation and specimen signatures**
 The persons listed below shall be authorised to represent us vis-à-vis the Bank as follows:

Addendum to the right of representation and specimen signatures
 In addition to the authorised representatives already indicated, the persons listed below shall be authorised to represent us vis-à-vis the Bank as follows:

Names of proprietors, personally liable partners, management board members, managing directors	Right of representation vis-à-vis the Bank ¹	To be filled in by the Bank ² : Limited individual power of attorney	Specimen signatures of proprietors, personally liable partners, management board members, managing directors
1. Ingmanson, Emil Amir	I		
2. Gergeo, Afram	I		
3.			
4.			
5.			
Names of "Prokuristen" (holders of general commercial power of attorney)	Right of representation vis-à-vis the Bank ¹	Limited individual power of attorney	Specimen signatures of "Prokuristen"
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			

¹ Persons who are to have individual right of representation must be marked with an "I"; those who are to have joint right of representation with another person specified below are to be marked with a "J". If someone is only to have right of representation jointly with a particular other person, the number under which that person is listed in this form must be indicated in addition to the letter "J" (e.g. "J" with no. 1). ² See under II. ³ The term "power of attorney for accounts/safe custody accounts" must be used for the authorisation of other persons.

Names of "Handlungsbevollmächtigte" ³ who have been authorised to enter <u>into</u> obligations on bills of exchange, conclude loan agreements and furnish the declarations required to secure the loan agreements, except where security is provided in the form of charges on property.	Right of representation vis-à-vis the Bank ¹	To be filled in by the Bank ² : Limited individual power of attorney	Specimen signatures of "Handlungsbevollmächtigte"
14.			
15.			
16.			
17.			
18.			
19.			
20.			
21.			
22.			
23.			
24.			
25.			
Names of "Handlungsbevollmächtigte" ³ with no authority to enter <u>into</u> obligations on bills of exchange and conclude loan agreements	Right of representation vis-à-vis the Bank ¹	Limited individual power of attorney	Specimen signatures of "Handlungsbevollmächtigte"
26.			
27.			
28.			
29.			
30.			

¹ Persons who are to have individual right of representation must be marked with an "I"; those who are to have joint right of representation with another person specified below are to be marked with a "J". If someone is only to have right of representation jointly with a particular other person, the number under which that person is listed in this form must be indicated in addition to the letter "J" (e.g. "J" with no. 1). ² See under II. ³ The term "Handlungsbevollmächtigte" must be used for the accounts/safe custody accounts" must be used for the accounts of other persons.

Names of "Handlungsbevollmächtigte" ³ with no authority to enter <u>into</u> obligations on bills of exchange and conclude loan agreements	Right of representation vis-à-vis the Bank	Limited individual power of attorney ²	Specimen signatures of "Handlungsbevollmächtigte"
31.			
32.			
33.			
34.			
35.			
36.			
37.			
38.			
39.			
40.			
41.			
42.			
43.			
44.			
45.			
46.			
47.			
48.			
49.			
50.			

² See under II.

II. Limitation of the power of attorney vis-à-vis the Bank in the case of joint right of representation in accordance with the articles⁴

If, in accordance with the Commercial Register/Register of Cooperative Societies or Register of non-trading Partnerships, all legal representatives (personally liable partner of a general partnership, limited partnership or non-trading partnership, management board of a public limited company, managing director of a private limited company, management board of a cooperative) of the account holder have **joint right of representation, individual right of representation** vis-à-vis the Bank granted on this specimen signatures sheet shall be limited to transactions directly relating to the management of the account(s)/safe custody account(s).

These shall include in particular:

- disposing of account balances (e.g. by credit transfer order, cash withdrawal, cheque)
- drawing on loans granted (including instructions to provide a guarantee, utilisation of existing overdraft facilities and presentation of bills of exchange for discounting)
- buying and selling securities and foreign exchange and requesting delivery of these
- accepting and acknowledging periodic balance statements, statements of account, securities, safe custody and income statements plus other statements and advices
- issuing collection orders

For legal reasons, individual right of representation for all business transactions can only be granted vis-à-vis the Bank for partnerships and corporations where the partnership agreement or the articles provide for individual right of representation for legal representatives.

The account holder must notify the Bank immediately and – for proof-related reasons – if possible in writing of the extinction or amendment of any right of representation advised to the Bank. This notification requirement shall also exist where the right of representation has been recorded in a public register (e.g. Commercial Register) and its extinction or amendment is entered in this register.

Place, date, signature(s) ⁵ (Company stamp and signatures of proprietors, owners, personally liable partners, management board members or managing directors)	
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Bank remarks

Entered in the register at the Amtsgericht (Local Court) under no. certified extract from register dated	
Registrar of Companies for England and Wales 5179108 13.02.2013	
Joint right of representation in accordance with the articles exists (see II.) <input type="checkbox"/> yes <input checked="" type="checkbox"/> no	
<input type="checkbox"/> Receipt of the specimen signatures confirmed to the account holder by registered letter with return receipt ("hand to addressee only") <input type="checkbox"/> with PostIdent repeating in full the names of the authorised representatives and their type of right of representation Date, signature of bank official	<input type="checkbox"/> Return receipt received on: Date, signature of bank official

Identification of authorised representatives

Name, private address of authorised representatives	Type of identity document (issued by ... on ...)		Date of birth/ Place of birth/ Nationality
1. Ingmanson, Emil Amir Flat 5, Costa del Mar, Triq Locker, Sliema	PP 84541472 05.05.2012 Polismynd, Stockholm	<input type="checkbox"/> by PostIdent	06.10.1977 Katarina Stockholm, SW
2. Gergeo, Afram Fyfatsvägen 63, 14159 Huddinge	PP 82784454 05.09.2011 Polismynd, Stockholm	<input type="checkbox"/> by PostIdent	05.02.1977 Botkyrka, SWE
3.		<input type="checkbox"/> by PostIdent	
4.		<input type="checkbox"/> by PostIdent	
5.		<input type="checkbox"/> by PostIdent	

Date, signature of bank official	18.02.2013 <i>Red</i>
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⁴For the bank: Please note under I. that individual of representation is limited. ⁵Should all members of the company have been granted individual right of representation and some joint right of representation, the specimen signatures sheet should be signed by at least one person having individual right of representation.

Anlage 2

Umsatzübersicht nebst für den genannten Zeitraum gültigem Schlüsselverzeichnis mit ausführlichen Buchungstexten.

2017

Datum	Buchungstext	Umsatz Soll	Umsatz Haben	WKZ	Eingabebetrag	Kurs	Transaktion
01.01.2017	EB-Wert		121,76				bankinterne Buchung
04.01.2017	Ausbuchung USD Bestand BNP Kunde Solid Venture 728	121,76					bankinterne Buchung

2016

Datum	Buchungstext	Umsatz Soll EUR	Umsatz Haben EUR	WKZ	Eingabebetrag	Kurs	Transaktion	Auftraggeber/Empfänger	IBAN/Kto-Nr.	BIC/BLZ	Anlage Nr.
01.01.2016	EB-Wert		126,43				bankinterne Buchung				
10.05.2016	GA#200000728 an Solid, Kontoschließung	121,76		USD	138,66	1,1388	Geldausgang per Überweisung	Solid Venture Capital Ltd.	GB04BARC20956133313980	BARCGB22	1
10.05.2016	Währungsgewinn	4,67					bankinterne Buchung				
16.05.2016	Rücküberweisung, da Empfängerkonto geschlossen		121,76	USD	138,66	1,138797	Geldeingang per Überweisung	Rücküberweisung der Überweisung vom 10.05.2016, da Empfängerkonto nicht mehr existent			

2015

Datum	Buchungstext	Umsatz Soll EUR	Umsatz Haben EUR	Eingabebetrag	Kurs	Transaktion
01.08.2015	EB-Wert		126,43			bankinterne Buchung

2014-2015

Datum	Buchungstext	Umsatz Soll EUR	Umsatz Haben EUR	WKZ	Eingabebetrag	Kurs	Transaktion
01.08.2014	EB-Wert		103,64				bankinterne Buchung
31.07.2015	Wertberichtigung Devisenbewertung BNP Kunden USD 31.07.2015		22,79 USD		24,99	1,0967	bankinterne Buchung

2013-2014

Datum	Buchungstext	Umsatz Soll EUR	Umsatz Haben EUR	WKZ	Eingabebetrag	Kurs	Transaktion	Empfänger/Auftraggeber	IBAN/Kto-Nr.	BIC/BLZ	Bank	Anlage Nr.
01.08.2013	EB-Wert		38.592,89				bankinterne Buchung					
06.08.2013	GE#200000728 Solid Venture Capital Ltd.		481.478,42	USD	639.403,34	1,328	Geldeingang per Überweisung	ABS Investment Group LLC	92200070		COMMERCEWEST BANK, NA	2
07.08.2013	GE#200000728 Solid Venture Capital Ltd.		18.789,93	USD	25.000,00	1,305	Geldeingang per Überweisung	Solid Venture Limited	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank, Malta	3
08.08.2013	K#200000728 nom. \$ 1.000.000,00 A0UQ7T	531.814,51		USD	710.504,18	1,336	Wertpapier-Kauf					
15.08.2013	VK#200000728 nom. \$ 24.354.840,00 A1HPZX		4.551.949,30	USD	6.052.726,98	1,3297	Wertpapier-Verkauf					
19.08.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Equity Nord	149.880,10		USD	200.000,00	1,3344	Geldausgang per Überweisung	Solid Equity Nordic AB	SE0312000000013670152776	DABASESX	Danske Bank, Sweden	4
19.08.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Venture Cap	157.374,10		USD	210.000,00	1,3344	Geldausgang per Überweisung	Solid Venture Capital Ltd. Malta	MT18BNIF14502003235321519000000	BNIFMTMT	Banif Bank, Malta	5
19.08.2013	GA#200000728 Solid Venture Capital Ltd. an ABS Investment Gr	3.644.124,35		USD	4.862.719,53	1,3344	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS65	Wells Fargo Bank	6
26.08.2013	ÜW#200000728 Solid Venture Capital Ltd. an Boardwalk Co. Ltd	288.152,08		USD	385.000,00	1,3361	Geldausgang per Überweisung	Solid Venture Capital Ltd. Malta	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank, Malta	7
26.08.2013	ÜW#200000728 Solid Venture Capital Ltd. an Solid Venture Cap	288.152,08		USD	385.000,00	1,3361	Geldausgang per Überweisung	Boardwalk Co. Ltd	MT87VALL22013000000040021736533	VALLMTMT	Bank of Valletta	8
30.08.2013	USD-Bewertungskorrektur#728 30.08.2013	19.874,95		USD	26.304,50	1,3235	bankinterne Buchung					
30.09.2013	USD-Bewertung 30.09.2013	228,68		USD	308,83	1,3505	bankinterne Buchung					
11.11.2013	USD-Bewertungen 31.10.2013	111,76		USD	152,45	1,3641	bankinterne Buchung					
29.11.2013	USD-Bewertung#200000728 2013-11		24,46	USD	33,29	1,3611	bankinterne Buchung					
30.12.2013	USD-Bewertung 2013-12	145,17		USD	200,2	1,3791	bankinterne Buchung					
08.01.2014	USD-Bewertung 08.01.2014 200000728		159,08	USD	216,25	1,3594	bankinterne Buchung					
31.01.2014	Bewertung#728 31.04.2014		64,26	USD	86,86	1,3516	bankinterne Buchung					
03.07.2014	GA#200000728 Solid Venture	11.022,12		USD	15.000,00	1,3609	Geldausgang per Überweisung	Solid Venture Capital Ltd	GB16BARC20956154570344	BARCGB22	Barclays Bank UK	9
31.07.2014	USD Bewertung	74,8		USD	100,07	1,3379	bankinterne Buchung					

2012-2013

Datum	Buchungstext	Umsatz Soll EUR	Umsatz Haben EUR	WKZ	Eingabebetrag	Kurs	Transaktion	Empfänger	IBAN/Kto-Nr.	BIC/BLZ	Bank	Anlage Nr.
26.02.2013	VK#728 nom. USD 12.863.000,00 A1HGFK		3.302.110,65	USD	4.318.170,10	1,3077	Wertpapier-Verkauf					
28.02.2013	GA#728 Solid Venture Capital Ltd.	95.209,08		USD	125.000,00	1,3129	Geldausgang per Überweisung	Strategi Placering AB	SE3912000000013670157948	DABASESX	Danske Bank, Sweden	10
28.02.2013	GA#728 Solid Venture Capital Ltd.	34.275,27		USD	45.000,00	1,3129	Geldausgang per Überweisung	Solid Equity Nordic AB	SE0312000000013670152776	DABASESX	Danske Bank, Sweden	11
01.03.2013	ÜW#728 Solid Venture Capital Ltd.	2.664.090,51		USD	3.463.317,66	1,3	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	12
05.03.2013	GA#728 Solid Venture Capital Ltd.	345.250,88		USD	450.000,00	1,3034	Geldausgang per Überweisung	Solid Venture Capital Ltd, Malta	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank, Malta	13
05.03.2013	GA#728 Solid Venture Capital Ltd.	81.282,80		USD	105.944,00	1,3034	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	14
11.04.2013	VK#728 nom. USD 10.696.000,00 A1HH57		988.071,53	USD	1.296.251,04	1,3119	Wertpapier-Verkauf					
12.04.2013	GA#200000728 ABS Investment Group LLC	796.958,38		USD	1.040.190,08	1,3052	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank, USA	15
12.04.2013	GA#200000728 Solid Equity Nordic AB	76.616,61		USD	100.000,00	1,3052	Geldausgang per Überweisung	Solid Equity Nordic AB	SE0312000000013670152776	DABASESX	Danske Bank, Sweden	16
17.04.2013	GA#728 Solid Venture Capital Ltd. an Sydney Michael Alston	6.093,38		USD	8.000,00	1,3129	Geldausgang per Überweisung	Sydney Michael Alston	5104290480	WFBIUS6S	Wells Fargo Bank, USA	17
18.04.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Equity Nord	134.151,02		USD	175.000,00	1,3045	Geldausgang per Überweisung	Solid Equity Nordic AB	SE0312000000013670152776	DABASESX	Danske Bank, Sweden	18
03.05.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Equity Nord	76.254,38		USD	100.000,00	1,3114	Geldausgang per Überweisung	Solid Equity Nordic AB	SE0312000000013670152776	DABASESX	Danske Bank, Sweden	19
16.05.2013	VK#728 nom. USD 6.614.000,00 A1HKS8		2.925.023,32	USD	3.762.750,00	1,2864	Wertpapier-Verkauf					
21.05.2013	GA#200000728 Solid Venture Capital Ltd.	194.310,59		USD	250.000,00	1,2866	Geldausgang per Überweisung	Solid Equity Nordic AB	SE0312000000013670152776	DABASESX	Danske Bank, Sweden	20
21.05.2013	GA#200000728 Solid Venture Capital Ltd.	349.759,05		USD	450.000,00	1,2866	Geldausgang per Überweisung	Solid Venture Capital Ltd, Malta	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank, Malta	21
21.05.2013	GA#200000728 Solid Venture Capital Ltd.	2.344.010,24		USD	3.015.803,57	1,2866	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	22
18.06.2013	Solid Ventur: Vk nom USD 5.345.000 BC Amer.Fdg 04-4 2013		2.028.495,69	USD	2.712.910,14	1,3374	Wertpapier-Verkauf					
21.06.2013	Übertrag an Solid Equity Nordic AB	189.681,34		USD	250.000,00	1,318	Geldausgang per Überweisung	Solid Equity Nordic AB	SE0312000000013670152776	DABASESX	Danske Bank, Sweden	23
21.06.2013	Übertrag an ABS Investment Group LLC, US	1.646.348,21		USD	2.169.886,94	1,318	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	24
01.07.2013	GA#200000728 Solid Venture Capital Ltd.	260.796,20		USD	340.000,00	1,3037	Geldausgang per Überweisung	Solid Venture Capital Ltd, Malta	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank, Malta	25
02.07.2013	USD-Bewertung 02.07.2013		52.876,36	USD	52.876,36	1	bankinterne Buchung					
11.07.2013	VK#200000728 nom. USD 4.321.000,00 A1HNCO		2.022.673,73	USD	2.638.375,61	1,3044	Wertpapier-Verkauf					
11.07.2013	VK#200000728 nom. USD 7.000.000,00 A0UQ7T		3.807.707,59	USD	4.966.773,78	1,3044	Wertpapier-Verkauf					
12.07.2013	GA#200000728 Solid Venture Capital Ltd.	7.646,91		USD	9.966,98	1,3034	Nachbelastung CMO factor adjustments für die WP- Transaktion US05946XGH08 durch BNP Paribas (Depotbank)					26
15.07.2013	GA#200000728 Solid Venture Capital Ltd. an ABS Investment Gr	1.828.401,18		USD	2.379.115,61	1,3012	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	27
15.07.2013	GA#200000728 Solid Venture Capital Ltd. an ABS Investment Gr	3.440.496,30		USD	4.476.773,78	1,3012	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	28
17.07.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Equity Nord	152.253,35		USD	200.000,00	1,3136	Geldausgang per Überweisung	Solid Equity Nordic AB	SE0312000000013670152776	DABASESX	Danske Bank, Sweden	29
17.07.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Venture Cap	190.316,69		USD	250.000,00	1,3136	Geldausgang per Überweisung	Solid Venture Capital Ltd, Malta	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank	30
18.07.2013	GA#200000728 Solid Venture Capital Ltd. an Boardwalk Co. Ltd	190.941,72		USD	250.000,00	1,3093	Geldausgang per Überweisung	Boardwalk Co. Ltd	MT87VALL22013000000040021736533	VALLMTMT	Bank of Valletta	31
24.07.2013	VK#200000728 nom. \$ 30.000.000,00 A0G4W9		16.519.821,70	USD	21.882.155,83	1,3246	Wertpapier-Verkauf					
26.07.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Equity Nord	150.829,56		USD	200.000,00	1,326	Geldausgang per Überweisung	Solid Equity Nordic AB	SE0312000000013670152778	DABASESX	Danske Bank, Sweden	32
26.07.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Venture Cap	565.610,86		USD	750.000,00	1,326	Geldausgang per Überweisung	Solid Venture Capital Ltd, Malta	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank, Malta	33
26.07.2013	GA#200000728 Solid Venture Capital Ltd. an Boardwalk Co. Ltd	565.610,86		USD	750.000,00	1,326	Geldausgang per Überweisung	Boardwalk Co. Ltd	MT87VALL22013000000040021736533	VALLMTMT	Bank of Valletta	34
26.07.2013	GA#200000728 Solid Venture Capital Ltd. an ABS Investment Gr	14.873.420,69		USD	19.722.155,83	1,326	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	35
31.07.2013	GA#200000728 Solid Venture Capital Ltd. an Boardwalk Co. Ltd	169.491,53		USD	225.000,00	1,3275	Geldausgang per Überweisung	Solid Venture Capital Ltd, Malta	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank, Malta	36
31.07.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Venture Cap	169.491,53		USD	225.000,00	1,3275	Geldausgang per Überweisung	Boardwalk Co. Ltd	MT87Vall22013000000040021736533	VALLMTMT	Bank of Valletta	37
31.07.2013	Bewertungskorrektur#200000728 2013-07	8.588,56		USD	11.401,32	1,3275	bankinterne Buchung					



ODDO SEYDLER

1

Mr. Emil Amir Ingmanson
Solid Venture Capital Ltd.
869 High Road
London N12 8QA
Great Britain

	Hz / Datum
Settlement i.O. Seite der zentralen Kontostellung	
Dispo i.O.	10.5.16
GWG-Prüfung i.O.	Lu Re.
Unterschrift/en i.O.	zu Anschreiben
NeoLink Eingabe	10.05.16
NeoLink Freigabe	10.5.16 11.22

Your ref

Our ref

Phone, FAX
+49(0) 69 92054-0

Place and date
Frankfurt, 25th Feb 2016

138,66 USD

REBUCHT
10. MAI 2016
[Signature]

Account No. 728; custody account No. 900728

Dear Mr. Ingmanson,

OK
138,66 USD 2000728 / 12.10.21

ODDO SEYDLER BANK AG carried out a review of all existing cash accounts and custody accounts.

Where a cash account or a custody account does either (i) show no position or (ii) there was at least for one year no transaction booked in these accounts, we decided to close the accounts.

Since your above mentioned account(s) do not show any position, respectively there was no transaction for at least one year, we assume that you are no longer requesting an active management of the accounts. Insofar we terminate the account relationship in accordance with Section 19 (1) of our General Business Conditions, with a notice period of two months with effect as of

01. May 2016.

We ask for your understanding that we will close the aforementioned account and custody account accordingly.

We kindly ask you to provide us with details of an account, which we shall transfer the existing cash balances/securities positions to (if applicable).

Of course, if you wish to use your accounts with us actively going forward, please come back to us at any time.



ODDO SEYDLER

Again, we thank you for your kind understanding and are at your disposal in case of any question on the above.

Sincerely yours



René Parmentier
Management Board



Holger Gröber
Management Board

2

PARBDE - MTS - L898674 - Production

File Actions Transactions Monitoring Data Account Manager Tools Windows ?

PARBDE - External messages linked to the transaction: DE13217026910MT5

Message ID	Creation date	
DE132170004207RM	05/08/2013 21:01:37	<p>SIBES envelope</p> <p>Swift message</p> <p>{1: F01PARBDEFFAXX9391913928} {2: 01030946130805WFBIOUS65AXXX28978247921308051846N} {3: {108:1308050071314-03}} {4: :20: 2013080500071314 :23B: CRED :32A: 130805USD639403,34 :33B: USD639403,34 :50K: /92200070 ABS INVESTMENT GROUP LLC 707 BROADWAY 18TH FLOOR , SAN DIEGO , CA US , 92101 :52D: //FW122243334 COMMERCEWEST BANK, NA 2111 BUSINESS CENTER DR NEWPORT BEACH, CA :53A: BNPBUS3N :59: /DE62500305009153974002 CLOSE BROTHERS SEYDLER BANK AG SCHILLERSTRASSE 27-29 , FRANKFURT A M FRANKFURT :70: FURTHER CREDIT: CORE NUMBER 728. :71A: BEN :71F: USDO, -} {5: {CHK:81240EBD398A}}{S:{SAC:}{COP:P}{MAN:RMFDE}</p>

R_mex_ope 2 NEW ALARMS! PARBDE GERMANY 14:48 HUB 14:48

3

ed to the transaction: DE13219000390MTS

Date

SIBES envelope

Swift message

4:10:24

```
{1:
F01PARBDEFFAXXX9393920768}
{2:
01032210130806PNBPUS3NANYC84511955111308070410N}
{3:
{108:60961569RSC1}}
{4:

:20: F60806331151000
:23B: CRED
:32A: 130807USD25000,00
:33B: USD25000,00
:50K: /MT18BNIF14502003215321519000000
      SOLID VENTURE LIMITED
      ABACUS SUITE 1
      OLD RAILWAY TRACK SVR 1097
      SANTA VENERA
:52A: BNIFMIMIXXX
:53A: BNPAUS3NXXX
:59: /DE62500305009153974002
      CLOSE BROTHERS SEYDLER BANK AG
:70: CORE NR 728 RFB OPR8182027B
:71A: SHA
-}
{5:
{CHK:D16C00A0E5F0}}{S:{SAC:}}{COP:P}{MAN:RMFDE}
```

4

Close Brothers Soydlar

	Hz / Datum
Settlement I.O.	19.8.13
Dispo I.O.	19.8
Unterschrift/en I.O.	19.8.13
Neolink Eingabe	19.8.13
Neolink Freigabe	19.8.13

Transfer order

Fax order to **Close Brothers Soydlar Bank AG**
 Handel, Herrn Carsten Pfersdorf
 +49 (0)68432054-005

Full name of beneficiary

Solid Equity Nordic AB

IBAN

SE0312006000013670152776

BIC

DABASE5X

Name and place of the beneficiary bank

Danske Bank, Sweden

Amount

200,000

Currency

USD

Reference

Transfer

Remitter

Solid Venture Capital Ltd

Account number Remitter

728

Place Date 2013-08-15

Signature

Close Brothers Soydlar Bank AG
 Schmalzstraße 27/28 • D-68161 Frankfurt am Main
 Phone +49 (0)684 32054 • Fax +49 (0)684 32054-9999 • www.cb.com
 Geschäftsbereich: Bank für den Handel • Geschäftsbereich: Bank für den Handel
 Bank für den Handel • Bank für den Handel • Bank für den Handel • Bank für den Handel

5



	H2 / Datum
Settlement i.O.	19.8.13
Dispo i.O.	B?
Unterschrift/en i.O.	19.8.13
Neolink Eingabe	19.8.13
Neolink Freigabe	

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
 Handel, Herrn Carsten Pferdorff
 +49 (0)89/92054-605

Full name of beneficiary

Solid Venture Capital Ltd, Malta

IDAN

MT188MF14502003215321519000000

BIC

BNFMTMT

Name and place of the beneficiary bank

Bank Bank, Malta

Amount

210.000

Currency

USD

Reference

Invoice

Remitter

Solid Venture Capital Ltd, UK

Account number Remitter

726

Place, Date:

2013 08 16

Signature

Close Brothers Seydler Bank AG
 Dudenstraße 17, 80331 München, Deutschland
 Telefon +49 (0)89 92054-0, Telefax +49 (0)89 92054-100
 E-Mail: info@close-brothers.com, www.close-brothers.com
 Bank für den Handel, den Export und den Import

6

Close Brothers Seydler

	Hz./Datum
Settlement I.O.	19.8.13
Dispo I.O.	19.8.13
Unterschrift/en I.O.	19.8.13
Neolink Eingabe	19.8.13
Neolink Freigabe	19.8.13

Transfer order

Fax order to

Close Brothers Seydler Bank AG
Handel, Herrn Carsten Pfersdorf
+49 (0)89/43034-906

Full name of beneficiary

ABS Investment Group LLC

IBAN

122243334

BIC

WFBUS66

Name and place of the beneficiary bank

WELLS FARGO BANK

Amount

4,682,718.63

Currency

USD

Reference

MANA Bond

Remitter

Solid Ventura Capital Ltd

Account number Remitter

723

Place, Date

Stockholm, Sweden 2013-08-16

Signature

Close Brothers Seydler Bank AG
Schlesierstr. 27-29 • 10585 Berlin • Deutschland
Phone: +49 (0) 30 2500 100 • Fax: +49 (0) 30 2500 100 999
SWIFT: CIBK3333 • BIC: CIBK3333
Internet: www.closebrothers.com • www.closebrothers.se
Close Brothers Seydler Bank AG is a member of the European Central Bank (ECB) and the European System of Central Banks (ESCB).

26/08/2013 12:42 J

8

Transfer order

Pay order to: Close Brothers Seydler Bank AG
Handel, Herrn Carsten Pfarschri
+49 (0)88/92054 905

	Hz / Datum
Settlement I.O.	5.2.13 <i>Le</i>
Dispo I.O.	
Unterschrift/en I.O.	26.8.13 <i>Le</i>
Neolink Eingabe	<i>Le</i>
Neolink Freigabe	<i>Le</i>

26.8.13

Full name of beneficiary: Boardwalk Co Ltd

IBAN: MT 87 VALL 22013000000040021730533

BIC: VALLMTMT

Name and place of the beneficiary bank: Bank of Valletta

Amount: 385,000 Currency: USD

Reference: In deviation of article 9-2 in the agreement, please transfer to this USD account.

Remitter: Solid Venture Capital Ltd

Account number Remitter: 728

Place, Date: Stockholm, Sweden, 2013-08-23

Signature

Close Brothers Seydler Bank AG
Sölvegatan 100 SE-101 21 Stockholm SW, Sweden
Phone: +49 (0) 88 920 54 905 Fax: +49 (0) 88 2193 540
www.closebrothers.com
Close Brothers Seydler Bank AG is a member of the Group of Banks of the Close Brothers Group.

From:

To:00496992054905

03/07/2014 11:51

#340 P.001/001

9



	Hz / Datum
Settlement i.O.	03.07.14
Dispo i.O.	3.07.14
GWG-Prüfung i.O.	03.07.14
Unterschrift/en i.O.	02.07.14
NeoLink Eingabe	03.07.14
NeoLink Freigabe	

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary **Solid Venture Capital Ltd**

IBAN **GB16BARC20956154570344**

BIC **BARCGB22**

Name and place of the beneficiary bank **Barclays Bank UK**

Amount **15,000** Currency **USD**

Reference **Transfer to SVC Ltd, Barclays USD account**

Remitter **Solid Venture Capital Ltd**

Account number Remitter **728**

Place, Date: **Malta 2014-07-02**

Signature: _____

VC 28-2-13
[Signature]

Close Brothers Seydler Bank AG

Transfer order

Fax order to Close Brothers Seydler Bank AG
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary

Solid Equity Nordic AB

IBAN

SE 0312000000001367015 2777

BIC

DABASESX

Name and place of the beneficiary bank

Danske Bank, Sweden

Amount

45,000

Currency

USD

Reference

Sales Commission

Remitter

Solid Venture Capital Ltd

Account number Remitter

728

Place, Date:

Dubai 2013-02-25

Signature:

[Signature]

Unterschrift ok
"I"

28.02.2013

Close Brothers Seydler Bank AG
Schillerstraße 27-29 • D-60313 Frankfurt am Main
Phone +49 (0) 69 9 20 54-0 • Fax +49 (0) 69 9 20 54-920 • www.cbseydler.com
Supervisory Board: Jonathan Howell (Chairman) • Management Board: René Panmanlier, Holger Gräber
Bank: L29 Account no. 500 094 23 • Bank code: 500 000 00 • Stock company located in Frankfurt am Main • HRFS 43507

Approved
[Signature]
28.2.13

[Signature]

Close Brothers Seydler Bank AG

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary

ABS Investment Group LLC

IBAN

122243 334

BIC

WFB1US6S

Name and place of the beneficiary bank

Wells Fargo Bank

Amount

3463 317,66

Currency

USD

Reference

BOAMS BOND

Remitter

Solid Venture Capital Ltd

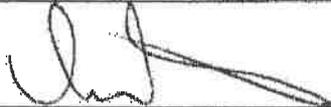
Account number Remitter

728

Place, Date:

S/B - 2015

Signature:



Disp.  (13)

Close Brothers Seydler Bank AG

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary

Solid Venture Capital Ltd, Malta

IBAN

MT98|BNIF|1450|200321532 151|000|000

BIC

BNIF|MT|MT

Name and place of the beneficiary bank

Banque Bank, Malta

Amount

450 000

Currency

USD

Reference

Invoice

Remitter

Solid Venture Capital Ltd

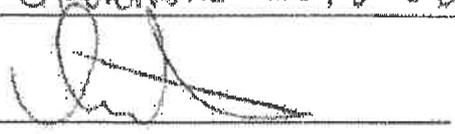
Account number Remitter

728

Place, Date:

Spockhwa 2013-03-04

Signature:

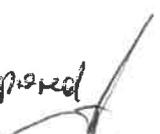


Unterschrift

"O"
ok

05.03.2013

Close Brothers Seydler Bank AG
Schilliersstraße 27-29 • D-60313 Frankfurt am Main
Phone: +49 (0) 69 9 20 54-0 • Fax: +49 (0) 69 9 20 54-920 • www.cbsydney.com
Supervisory Board: Jonathan Howat (Chairman) • Management Board: René Farnantier, Holger Gröber
Bank: LZB Account no. 500 094 23 • Bank code: 500 000 00 • Stock company located in Frankfurt am Main • HRB 43997

approved  5.3.13 

14

Close Brothers Seydler Bank AG

Dispo 

Transfer order

Fax order to **Close Brothers Seydler Bank AG
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905**

Full name of beneficiary

ABS Investment Group LLC

IBAN

12 22 43 33 4

BIC

WFB IUS 6S, CA USA

Name and place of the beneficiary bank

Wells Fargo Bank

Amount

105 944

Currency

USD

Reference

Repayment

Remitter

Solid Venture Capital Ltd

Account number Remitter

728

Place, Date:

Stockholm ~~2013~~ 2013-03-04

Signature:



Unterschrift

|| O ||
ok

05.03.2013

Close Brothers Seydler Bank AG
Schillerstraße 27-29 · D-60313 Frankfurt am Main
Phone +49 (0) 69 9 20 54-0 · Fax +49 (0) 69 9 20 54-020 · www.cbseydler.com
Supervisory Board: Jonathan Hoyle (Chairman) · Management Board: René Pannatier, Holger Gröber
Bank L2B Account no. 500 084 28 · Bank code: 800 000 00 · Stock company located in Frankfurt am Main · HRB 43807

Approved


5.3.13

[Handwritten signature]
17.04.13

Transfer order

Fax order to: Close Brothers Seydler Bank AG
Handel, Herrn Carsten Piersdorf
+49 (0)69/92054-905

Full name of beneficiary: ABS INVESTMENT GROUP LLC

IBAN: 122243334

BIC: WFBIL333

Name and place of the beneficiary bank: WELLS FARGO BANK, USA

Amount: 1,040,190.08 **Currency:** USD

Reference: MSAC BOND

Remitter: Solid Venture Capital Ltd.

Account number Remitter: 728

Place, Date: 2013-04-12

Signature: *[Handwritten signature]* ✓

Unterschrift
" 1
ok
12. dt. 2013

Close Brothers Seydler Bank AG
Schillerstraße 27-29 • D-60313 Frankfurt am Main
Phone: +49 (0) 69 920 54-0 • Fax: +49 (0) 69 920 54-920 • www.cb.com
Supervisory Board: Jonathan Howell (Chairman) • Managing Director: Rolf Permannstorfer, Robert Grottel
Bank 170 Account No. 800 009 23 • Bank code: 25120310 • Stock exchange: Xetra Frankfurt am Main • HRB 143507

Close Brothers Seydler Bank AG

Handwritten signature
12.04.13

Transfer order

Fax order to: Close Brothers Seydler Bank AG
Handel, Herrn Carsten Pfersdorf
+49 (0)69/62054-905

Full name of beneficiary: Solid Equity Nordic AB
Hammarby Kaj 16
12030 Stockholm SE

IBAN: SE0312000000013570152776

BIC: DABASESX

Name and place of the beneficiary bank: Danske Bank, Sweden

Amount: 100,000 Currency: USD

Reference: Transfer

Remitter: Solid Venture Capital Ltd

Account number: 728
Remitter:

Place, Date: 2013-04-12

Signature: *Handwritten signature* ✓

Unterschrift
" 1
ok
12.04.2013

Close Brothers Seydler Bank AG
Schillerstraße 27-29 · D-60313 Frankfurt am Main
Phone: +49 (0) 69 9 20 53 0 · Fax: +49 (0) 69 9 20 54 920 · www.closebrothers.com
Managing Board: Jeschke (Chairman) · Managing Director: René Pöschmann, Holger Götter
Bank for Socially Responsible Investments (BRSI) · BIC: CBSW33HAN

17

Disps i U Gita

Transfer order

Fax order to Close Brothers Seydler Bank AG
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary

Sydney Michael Alston

IBAN

5104290480

BIC

WFBIUS6S

Name and place of the beneficiary bank

WELLS FARGO BANK, USA

Amount

8,000

Currency

USD

Reference

Advance Payment Regarding Major, Solid Music AB

Remitter

Solid Venture Capital Ltd

Account number Remitter

728

Place, Date: Stockholm, Sweden_2013-04-17

Signature:

Underskrift
"C"
ab
17.4.2013

appended
17.4.13

Le 66

18

Disp i.o.
[Signature]

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary

Solid Equity Nordic AB

IBAN

SE03120000000013670152776

BIC

DABASESX

Name and place of the beneficiary bank

Danske Bank, Sweden

Amount

175,000

Currency

USD

Reference

Transfer

Remitter

Solid Venture Capital Ltd

Account number Remitter

728

Place, Date: 2013-04-17

Signature:

[Handwritten Signature]

Unterschrift

" 1
ok

18.04.2013

Approved

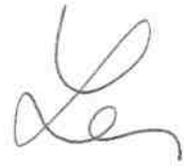
[Signature]
18.4.13

Dispo ok
S. Anlagen
03.05.2013

(19)

Transfer order

Fax order to Close Brothers Seydler Bank AG
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905



Full name of beneficiary

Solid Equity Nordic AB

IBAN

SE0312000000013670152776

BIC

DABASESX

Name and place of the beneficiary bank

Danske Bank, Sweden

Amount

100,000

Currency

USD

Reference

Transfer

Remitter

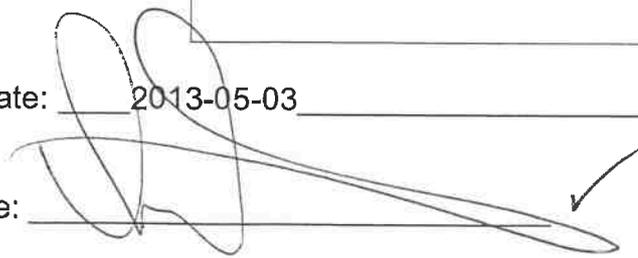
Solid Venture Capital Ltd

Account number Remitter

728

Place, Date: 2013-05-03

Signature:



Unterschrift
" | "
ok
03.05.2013



(20)

Disposing

S.A.W.

Le

Close Brothers Seydler Bank AG

Settlement
auto H.

Transfer order

Top Le

Fax order to

Close Brothers Seydler Bank AG
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary

Solid Equity Nordic AB

IBAN

SE031200000013670152776

BIC

DABASESX

Name and place of the beneficiary bank

Danske Bank, Sweden

Amount

250.000

Currency

USD

Reference

Transfer

Remitter

Solid Venture Capital Ltd

Account number Remitter

728

Place, Date: 2013-05-17

Signature:

[Handwritten signature]

Underskrift
"1"
ok

Close Brothers Seydler Bank AG
Schillerstraße 27-29 · D-60313 Frankfurt am Main
Phone +49 (0) 69 9 20 54-0 · Fax +49 (0) 69 9 20 54-920 · www.cbsydler.com
Supervisory Board: Jonathan Hewell (Chairman) · Management Board: Ralf Parmanian, Holger Grosse
Bank L20 Account No. 500 004 23 · Bank code: 500 000 00 · Stock company located in Frankfurt am Main · HRB 43507

21.05.2013

approved

Le

(21)

Close Brothers Seydler Bank AG

Settlement
duroz H.
TOP

Dispo i.o.
S.A.W.
Le

Transfer order

Fax order to

Close Brothers Seydler Bank AG
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary

Solid Venture Capital Ltd, Malta

IBAN

MT18BNIF14502003215321519000000

BIC

BNIFMTMT

Name and place of the beneficiary bank

Banif Bank, Malta

Amount

450.000

Currency

USD

Reference

Invoice SVC 12/2013

Remitter

Solid Venture Capital Ltd, UK

Account number Remitter

728

Place, Date: 2013-05-17

Signature:

Unterschriften
" * 1 "
ok
21.05.2013
Appointed

Close Brothers Seydler Bank AG
Schillerstraße 27-29 • D-60313 Frankfurt am Main
Phone +49 (0) 69 9 20 54-0 • Fax +49 (0) 69 9 20 54-920 • www.cbseydler.com
Supervisory Board: Jonathan Howell (Chairman) • Management Board: René Pasmantier, Hölger Gröber
Bank LZB: Account no. 600 064 29 • Bank code: 600 000 00 • Stock company located in Frankfurt am Main - HRB 43937

(22)

Close Brothers Seydler Bank AG

Settlement durch H.

P. Sp. I.O.

Transfer order

Top Len

S. Anl.

Fax order to

Close Brothers Seydler Bank AG
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Len

Full name of beneficiary

ABS Investment Group LLC

IBAN

122243334

BIC

WFBIUS65

Name and place of the beneficiary bank

Wells Fargo Bank

Amount

3.015.803,57

Currency

USD

Reference

LMT 2008-6 B1

Remitter

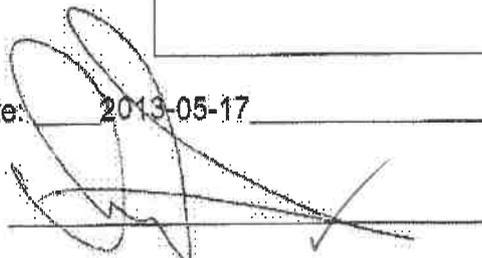
Solid Venture Capital Ltd

Account number Remitter

728

Place, Date: 2013-05-17

Signature:



Unterschriften

*||
ok*

21.05.2013

Close Brothers Seydler Bank AG
Schillerstraße 27-29 • D-60313 Frankfurt am Main
Phone +49 (0) 69 9 20 54-0 • Fax +49 (0) 69 9 20 54 920 • www.cbseydler.com
Supervisory Board: Jonathan Howell (Chairman) • Management Board: René Parnianfar, Holger Gröber
Bank LZB Account no. 500 094 23 • Bank code: 500 000 00 • Stock company located in Frankfurt am Main - HRB 45307

Approved

Len

23

Dispo *[Signature]*

Close Brothers Seydler Bank AG

Transfer order

Fax order to Close Brothers Seydler Bank AG
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary

Solid Equity Nordic AB

IBAN

SE0312000000013670152776

BIC

DABASESX

Name and place of the beneficiary bank

Danske Bank, Sweden

Amount

250,000

Currency

USD

Reference

Transfer

Remitter

Solid Venture Capital Ltd

Account number Remitter

728

Place, Date:

2013-08-21

Signature:

[Signature]

[Signature]

[Signature] 21.8.13

	Uz / Datum
Settlement i.O.	15/08/13
Dispo i.O.	
Unterschrift/en i.O.	<i>[Signature]</i> 21.8.13
Neolink Eingabe	<i>[Signature]</i> 21.8.13
Neolink Freigabe	

Close Brothers Seydler Bank AG
Schillerstraße 27-29 · D-60313 Frankfurt am Main
Phone +49 (0) 69 920 54-0 · Fax +49 (0) 69 920 54-920 · www.cbros.com
Supervisory Board: Johannes Hoyer (Chairman) · Management Board: René Kemminger, Jürgen Frenzel
Bank für Sozialwirtschaft AG · AG · Tax ID: 250000020 · Bank für Sozialwirtschaft Frankfurt am Main · HRB 10907

24

D. 170
i. o. l.

Close Brothers Seydler
Bank AG

Transfer order

Fax order to Close Brothers Seydler Bank AG
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary ABS Investment Group LLC

IBAN 122243334

BIC WFBIUS6S

Name and place of the beneficiary bank WELLS FARGO BANK

Amount 2,169,886.94 Currency USD

Reference BAFC Bond

Remitter Solid Venture Capital Ltd

Account number 728
Remitter

Place, Date Stockholm, Sweden 2013-08-21

Signature  u.g. l.

	Hz / Datum
Settlement i.O.	21/08/13
Dispo i.O.	
Unterschrift/en i.O.	21/08/13
Neolink Eingabe	21/08/13
Neolink Freigabe	

21/08/13

Close Brothers Seydler Bank AG
Schuldenstraße 27-29 • D-69318 Frankfurt am Main
Phone +49 (0) 69 920 54-0 • Fax +49 (0) 69 920 54-905 • www.cb.com
Supervision Board: Chairman: Joseph Schwaninger • Management Board: Ralf Petersmann, Jürgen Ehringer
Bank License Number: 1000000123 • Bank Code: 5507001 • SWIFT Code: CBSW3333 • BIC: CBSW3333 • IBAN: 5507001234567890

25

Close Brothers Seydler Bank AG

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary **Solid Venture Capital Ltd, Malta**

IBAN **MT18BNIF14502003215321519000900**

BIC **BNIFMTMT**

Name and place of the beneficiary bank **Banif Bank, Malta**

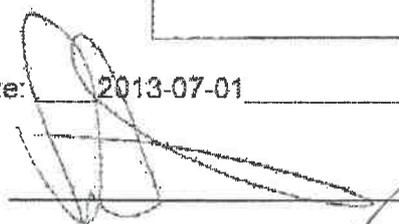
Amount **340.000** Currency **USD**

Reference **Invoice SVC 15/2013**

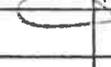
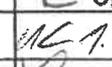
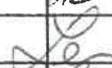
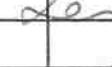
Remitter **Solid Venture Capital Ltd, UK**

Account number Remitter **728**

Place, Date: **2013-07-01**

Signature: 

Close Brothers Seydler Bank AG
Schillerstraße 27-28 • D-60313 Frankfurt am Main
Phone +49 (0) 69 9 20 54-0 • Fax +49 (0) 69 9 20 54-920 • www.cbseydler.com
Supervisory Board: Jonathan Hornif (Chairman) • Management Board: René Permannier, Holger Götter
Bank L2B Account no. 500 094 23 • Bank code: 500 000 00 • Stock company located in Frankfurt am Main - HRB 42807

	Hz / Datum
Settlement i.O.	 01.07.13
Dispo i.O.	 01.07.13
Unterschrift/en i.O.	 01.07.2013
NeoLink Eingabe	 01.07.2013
Neolink Freigabe	 01.07.2013

Birgit Lansdorf

From: Trade Operations Mailbox
Sent: Freitag, 12. Juli 2013 09:52
To: Carsten Pfersdorf
Cc: compliance; Trade Operations Mailbox; Financialcontrol
Subject: FW: US05946XGH08 BC AMER. FDG 04-1 2034 FLR - Nachbelastung 9.966,98 USD w/ Solid trade in den USA

Guten Morgen Carsten,

wir sind gerade von der BNP auf eine nicht unbeträchtliche Nachbelastung hingewiesen worden, welche mit unseren Bideals für Solid und Traction zusammenhängen.

Offensichtlich gibt es für CMO´s (collateralized mortgage obligations) sog. „CMO factor adjustments“ – welche nach Angaben der BNP wohl auch den US-Kunden bekannt sind, die diese Papiere handeln.

Uns ist dieses Prozedere gänzlich unbekannt, da wir selbst keine CMO´s handeln.

Das Kundenkonto muss jetzt nachbelastet werden – und mit dem Kunden muss abgestimmt werden, ob er mit diesem Prozedere vertraut ist.

Wir sind aktuell aus den letzten beiden Trades 7.6 Mio USD long, welche der Kunde natürlich abdisponieren möchte.

Könntest du das bitte kurzfristig mit dem Kunden klären, und dich im Anschluss mit uns in Verbindung setzen?

In den Mails in der Anlage findest du alle notwendigen Informationen.

Danke und Gruß,
Markus

Markus Kessler
Director
Head of Section
Trade Operations

We believe in German Mittelstand

- **Winner 2012 Best German SME House – Capital Markets Daily Portal**
- **Top Stock Picker 2012 – Thomson Reuters Starmine Ranking in sector machinery (pan-European)**
- **Best Bookrunner Mittelstandsanleihen 2011 – Bond Magazine**
- **Platz 1 Going Public League Table 2011 für Emissionen von Mittelstandsanleihen nach Anzahl und Volumen**
- **Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX**
- **Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland**

Close Brothers Seydler Bank AG
Registergericht: Frankfurt am Main
Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
Aufsichtsrat: Jonathan Howell (Vorsitzender)
Vorstand: René Parmantier, Holger Gröber

Nachfrage folgende Antwort:

Quote

Sehr geehrte Frau Kaufmann,

der Betrag in Höhe von USD 9,966.98 wurde Ihnen belastet, da es sich hier um ein CMO handelt. (CMO = collateralized mortgage obligation. This is a multiclass bond backed by a pool of mortgage pass-through securities or mortgage loans)

Kunden die am US Markt Papiere halten, kennen diese "CMO factor adjustments" laut unserer Lagerstelle.

QUOTE

ACC 63359 POS 5,345,000 A CMO FACTOR HAS BEEN APPLIED ON YOUR BELOW TRADE: . YR 8M INSTRUCTION REF 470413062001249 NOMINAL 5,345,000 . YOUR ACCOUNT HAS BEEN DEBITED VALUE 26JUN13 WITH USD 9,966.98 . THIS AMOUNT IS SPLITTED IN INTEREST FOR USD 50.51 AND IN POOL AMOUNT FOR USD 9,916.47 . KIND REGARDS

UNQUOTE

Unquote

Wir stellen Ihnen hiermit den Belastungsbetrag in Rechnung und werden Ihr Konto J153974002 mit unserer heutigen Buchung mit Valuta 26.06.2013 belasten.

Der Verkauf erfolgte für Rechnung Ihres Kundendepots 900728.

Der Depotbestand Ihres Kunden ergab sich aus einem Depotübertrag per TD 11.06.2013 VD 11.06.2013.

Bitte informieren Sie gegebenenfalls Ihren Kunden über diese CMO-Belastung und erteilen Sie uns Ihre Weisung zur Verrechnung mit Ihrem Kunden, sofern Sie diese Verrechnung nicht selbst vornehmen möchten.

Mit freundlichen Grüßen
Ilka Kaufmann



BNP PARIBAS
SECURITIES SERVICES

Custody & Tax Service

Ilka Kaufmann
Imke Witte
Daniel Stadie

BNP Paribas Securities Services S. C. A.

Zweigniederlassung Frankfurt am Main / Office Bremen
Hinter dem Schuetting 1a, 28195 Bremen
Ilka Kaufmann Tel : + 49 (0) 421 80709 631
Imke Witte Tel : + 49 (0) 421 80709 632
Daniel Stadie Tel : + 49 (0) 421 80709 633
Fax : + 49 (0) 421 80709 698
Bremen.Custody@bnpparibas.com



Do not print this document unless it is necessary, consider the environment

BNP PARIBAS Securities Services S. C. A. Zweigniederlassung Frankfurt am Main Registergericht Frankfurt am Main HR B 50955
Registergericht der BNP PARIBAS Securities Services S. C. A. (Kommanditgesellschaft auf Aktien französischer Rechts), Paris: 552 108 011 R.C.S. Paris
Präsident du Conseil de surveillance (Vorsitzender des Aufsichtsrates) Jacques d'Estais - General Manager (Geschäftsführer) Patrick Colle

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27

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary **ABS Investment Group LLC**

IBAN **122243334**

BIC **WFBIUS6S**

Name and place of the beneficiary bank **WELLS FARGO BANK**

Amount **2,379,115.61** Currency **USD**

Reference **GSA A Bond**

Remitter **Solid Venture Capital Ltd**

Account number **728**
Remitter

Place, Date: Stockholm, Sweden 2013-07-15

Signature: 

	Hz / Datum
Settlement i.O.	15.07
Dispo i.O.	15.7.13
Unterschrift/en i.O.	15.7.13
Neolink Eingabe	
Neolink Freigabe	15.7.13 12:41

15.7.13
||
12:41

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary **ABS Investment Group LLC**

IBAN	122243334	Hz / Datum	
		Settlement i.O.	u 15.07
BIC	WFBIUS6S	Dispo i.O.	u 15.7.13
		Unterschrift/en i.O.	<i>[Signature]</i> 15.7.13
		NeoLink Eingabe	11
		Neolink Freigabe	<i>[Signature]</i> 15.7.13 12:42

Name and place of the beneficiary bank **WELLS FARGO BANK**

Amount **4,476, 773.78** Currency **USD**

Reference **FNLC Bond**

Remitter **Solid Venture Capital Ltd**

Account number Remitter **728**

Place, Date: Stockholm, Sweden_2013-07-15

Signature: *[Signature]*

Close Brothers Seydler Bank AG
Schillerstraße 27-29 • D-60313 Frankfurt am Main
Phone: +49 (0) 69 9 20 54-0 • Fax: +49 (0) 69 9 20 54-920 • www.closebrothers.com
Supervisory Board: Jonathan Howel (Chairman) • Management Board: René Patrasch, Holger Gröber
Bank L2B Account no. 500 094 23 • Bank code: 500 000 00 • Stock company located in Frankfurt am Main - HRB 43607

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary

Solid Equity Nordic AB

IBAN

SE0312000000013870152776

BIC

DABASESX

Name and place of the beneficiary bank

Danske Bank, Sweden

Amount:

200,000

Currency

USD

Reference

Transfer

Remitter

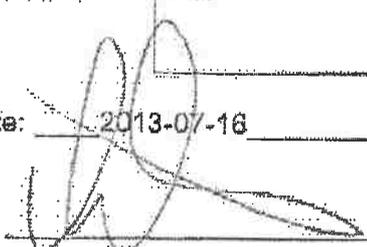
Solid Venture Capital Ltd

Account number Remitter

728

Place, Date: 2013-07-16

Signature:



Close Brothers Seydler Bank AG
Schillerstraße 27-29 • D-60313 Frankfurt am Main
Phone +49 (0) 69 9 20 54-0 • Fax +49 (0) 69 9 20 54-920 • www.closebrothers.com
Supervisory Board: Jonathan Howell (Chairman) • Management Board: René Permentier, Holger Grober
Bank 126 / Account no: 600 094 93 • Bank code: 600 000 00 • Stock company located in Frankfurt am Main - HRB 43607

	Hz / Datum
Settlement i.O.	17.07.13
Dispo i.O.	17.07.13
Unterschrift/en i.O.	17.7.13
Neolink Eingabe	17.7.13
Neolink Freigabe	17.7.13

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary **Solid Venture Capital Ltd, Malta**

IBAN **MT188NIF14502003215321519000000**

BIC **BNIFMTMT**

Name and place of the beneficiary bank **Banif Bank, Malta**

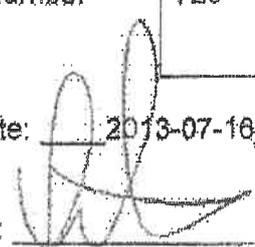
Amount **250.000** Currency **USD**

Reference **Invoice**

Remitter **Solid Venture Capital Ltd, UK**

Account number Remitter **728**

Place, Date: 2013-07-16

Signature: 

Close Brothers Seydler Bank AG
Schillerstraße 27-29 • D-60313 Frankfurt am Main
Phone +49 (0) 69 9 20 54-0 • Fax +49 (0) 69 9 20 54-920 • www.cbsev.com
Supervisory Board: Johannes Howell (Chairman) • Management Board: René Parnartler, Holger Gröber
Bank L28 Account no. 520 604 23 • Bank code: 520 600 00 • Branch primary located in Frankfurt am Main - HRB 49907

	Hz / Datum
Settlement i.O.	2 / 17.07.13
Dispo i.O.	1 / 17.07.13
Unterschrift/en i.O.	1 / 17.07.13
NeoLink Eingabe	
Neolink Freigabe	1 / 17.07.13

Close Brothers Seydler Bank AG

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary

Boardwalk Co. Ltd

IBAN

MT87VALL2201300000040021736533

BIC

VALLMTMT

Name and place of the beneficiary bank

Bank of Valletta

Amount

250,000

Currency

USD

Reference

Invoice

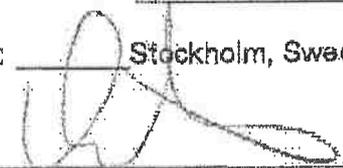
Remitter

Solid Venture Capital Ltd

Account number Remitter

728

Place, Date: Stockholm, Sweden 2013-07-16

Signature: 

Close Brothers Seydler Bank AG
Schlierstrasse 27-29 • D-50393 Frankfurt am Main
Phone +49 (0) 69 920 54-0 • Fax +49 (0) 69 9 20 54-920 • www.cbseydler.com
Supervisory Board: Jonathan Howell (Chairman) • Management Board: René Parnantier, Holger Gräber
Bank L2B Account no. 500 004 25 • Bank code: 500 000 00 • Stock company located in Frankfurt am Main - HRB 43867

	Hz / Datum
Settlement i.O.	2 / 17.07.13
Dispo i.O.	16 / 17.7.13
Unterschrift/en i.O.	17.7.13
Neolink Eingabe	
Neolink Freigabe	17.7.13 16:36

32

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Herrn Garsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary **Solid Equity Nordic AB**

IBAN **SE0312000000013870152778**

BIC **DABASESX**

Name and place of the beneficiary bank **Danske Bank, Sweden**

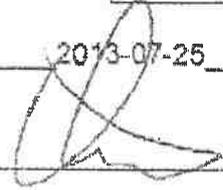
Amount **200,000** Currency **USD**

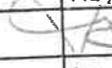
Reference **Transfer**

Remitter **Solid Venture Capital Ltd**

Account number **728**
Remitter

Place, Date: 2013-07-25

Signature: 

	Hz / Datum
Settlement i.O.	 25.07.13
Dispo i.O.	 25.7.13
Unterschrift/en i.O.	 25.7.13
Neolink Eingabe	 11
Neolink Freigabe	 26.7.13

33

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Hermann Carsten Pfordorf
+49 (0)69/92054-905

Full name of beneficiary **Solid Venture Capital Ltd, Malta**

IBAN **MT18BNIF14502003215321519000000**

BIC **BNIFMTMT**

Name and place of the beneficiary bank **Banif Bank, Malta**

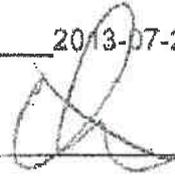
Amount **750.000** Currency **USD**

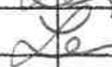
Reference **Invoice**

Remitter **Solid Venture Capital Ltd, UK**

Account number Remitter **728**

Place, Date: 2013-07-25

Signature: 

	Hz / Datum
Settlement i.O.	 25.07.13
Dispo i.O.	 25.7.13
Unterschrift/en i.O.	 25.7.13
Neolink Eingabe	 11
Neolink Freigabe	 26.7.13

Close Brothers Seydler Bank AG
Schillerstraße 27-28 • D-60313 Frankfurt am Main
Phone +49 (0) 69 9 20 54-0 • Fax +49 (0) 69 9 20 54-920 • www.cbseydler.com
Supervisory Board: Jonathan Howitt (Chairman) • Management Board: René Farnbacher, Holger Eißner
Bank L2B Account no. 500 094 23 • Bank code: 620 000 00 • Stock company located in Frankfurt am Main - HRB 43507

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

Full name of beneficiary

Boardwalk Co. Ltd

IBAN

MT87VALL22013000000040021736533

BIC

VALLMTMT

Name and place of the beneficiary bank

Bank of Valletta

Amount

750,000

Currency

USD

Reference

Invoice

Remitter

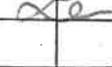
Solid Venture Capital Ltd

Account number Remitter

728

Place, Date: Stockholm, Sweden 2013-07-25

Signature: 

	Hz / Datum
Settlement i.O.	 25.7.13
Dispo i.O.	 25.7.13
Unterschrift/en i.O.	 25.7.13
Neolink Eingabe	 11
Neolink Freigabe	

Transfer order

Fax order to Close Brothers Seydler Bank AG
Handel, Herrn Carsten Pferdorff
+49 (0)69/92054-905

Full name of beneficiary

ABS Investment Group LLC

IBAN

122243334

BIC

WFBIUS6S

Name and place of the beneficiary bank

WELLS FARGO BANK

Amount

19, 722, 155.83

Currency

USD

Reference

SAIL Bond

Remitter

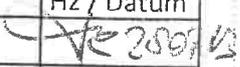
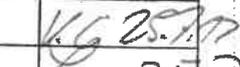
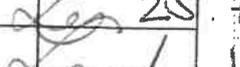
Solid Venture Capital Ltd

Account number
Remitter

728

Place, Date: Stockholm, Sweden_2013-07-25

Signature: 

	Hz / Datum
Settlement i.O.	 2007/13
Dispo i.O.	 25.7.13
Unterschrift/err.i.O.	 25.7.13
NeoLink Eingabe	 11
Neolink Freigabe	 26.7.13

36

Close Brothers Seydler Bank AG

	Hz / Datum
Settlement i.O.	31.07
Dispo i.O.	31.07
Unterschrift/en i.O.	31.07
NeoLink Eingabe	31.07
Neolink Freigabe	

13
13

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

31.07.13

Full name of beneficiary

Solid Venture Capital Ltd, Malta

IBAN

MT18BNIF14502003215321519000000

BIC

BNIFMTMT

Name and place of the beneficiary bank

Banif Bank, Malta

Amount

225.000

Currency

USD

Reference

Invoice

Remitter

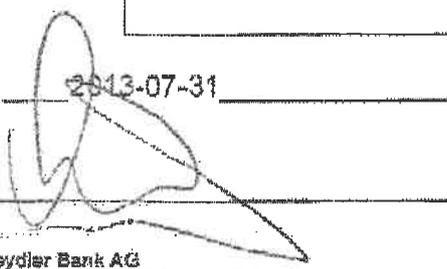
Solid Venture Capital Ltd, UK

Account number Remitter

728

Place, Date: 2013-07-31

Signature:



Close Brothers Seydler Bank AG
Schillerstraße 27-28 • D-60313 Frankfurt am Main
Phone +49 (0) 69 9 20 54-0 • Fax +49 (0) 69 9 20 54-920 • www.closebrothers.com
Supervisory Board: Jonathan Howell (Chairman) • Management Board: René Parnantier, Holger Gröber
Bank L28 Account no. 60059428 • Bank code: 600 000 00 • Stock company located in Frankfurt am Main • HRB 49607

(37)

	Hz / Datum
Settlement i.O.	31.7.13
Dispo i.O.	31.7.13
Unterschrift/en i.O.	31.7.13
Neolink Eingabe	31.7.13
Neolink Freigabe	31.7.13

Transfer order

Fax order to **Close Brothers Seydler Bank AG**
Handel, Herrn Carsten Pfersdorf
+49 (0)69/92054-905

31.7.13

Full name of beneficiary

Boardwalk Co. Ltd

IBAN

MT87VALL22013000000040021736533

BIC

VALLMTMT

Name and place of the beneficiary bank

Bank of Valletta

Amount

225,000

Currency

USD

Reference

Invoice

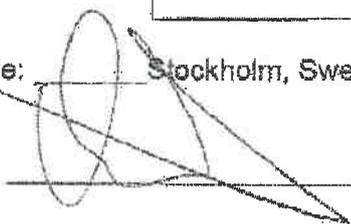
Remitter

Solid Venture Capital Ltd

Account number Remitter

728

Place, Date: Stockholm, Sweden_2013-07-31

Signature: 

Anlage 2.2 Anfrage zu Zahlungen an die / von der Fa. Solid Venture Capital Ltd., 05179108, UK und Solid Venture Capital Ltd., C58566, Malta:

Es wird in Bezug auf die nachstehend aufgeführten Zahlungen um folgendes gebeten:

- Unterlagen, die den Zweck der Zahlung erkennen lassen, wie Rechnungen, Emails, Verträge und sonstige relevante Dokumentation.

Kontoinhaber Solid Venture Capital Ltd., 05179108, UK

Konto 20956133313980, Barclays Bank, United Kingdom

Datum	Text	Währung	Betrag	Erläuterung
18.01.2013	Close Brothers S* 923031*Invoice-NO*TFR	GBP	3052	Siehe Anlage 1: Unsere Überweisung in Höhe von 3.016,90 GBP, Gebucht am 17.01.2013 Referenz: Sales Commission for a corporate bond trade between CBSB and a fund company in Sweden.
26.02.2013	1/Close Brothers* 577426*INV NO 12* TFR	GBP	15848	Siehe Anlage 2: Unsere Überweisung in Höhe von 15.848,10 GBP, Gebucht am 22.02.2013 Referenz: Sales Commission for a corporate bond trade between CBSB and a fund company in Sweden.
09.04.2013	1/Close Brothers* 563698*INVOICE NO*TFR	GBP	25674	Siehe Anlage 3: Unsere Überweisung in Höhe von 25.674,-- GBP, Gebucht am 05.04.2013 Referenz: Sales Commission for a corporate bond trade between CBSB and a fund company in Sweden.
09.05.2013	1/Close Brothers* 582467*INVOICE NO*TFR	GBP	12800	Siehe Anlage 4: Unsere Überweisung in Höhe von 12.800,40 GBP, Gebucht am 07.05.2013 Referenz: Sales Commission for a corporate bond trade between CBSB and a fund company in Sweden.

03.06.2013	1/Close Brothers* 605331*INVOICE NO*TFR	GBP	28451	Siehe Anlage 5: Unsere Überweisung in Höhe von 28.450,90 GBP, Gebucht am 30.05.2013 Referenz: Sales Commission for a corporate bond trade between CBSB and a fund company in Sweden (- PNE WIND-)
16.07.2013	1/Close Brothers* 588488*INVOICE NO*TFR	GBP	38759	Siehe Anlage 6: Unsere Überweisung in Höhe von 38.759,40 GBP, Gebucht am 12.07.2013 Referenz: Sales Commission for a corporate bond trade between CBSB and a fund company in Sweden.

Konto 20956167697266, Barclays Bank, United Kingdom

Datum	Text	Währung	Betrag	Erläuterung
01.08.2013	AFTS receipt Ref:-CLOSE BROTHERS S 615812 INVOICE	EUR	15000	Siehe Anlage 7: Unsere Überweisung in Höhe von 15.000,-- EUR, Gebucht am 31.07.2013 Referenz: Sales Commission for a corporate bond deal between SVC and CBSB.
29.08.2013	AFTS receipt Ref:-CLOSE BROTHERS S 621037 INVOICE	EUR	35000	Siehe Anlage 8: Unsere Überweisung in Höhe von 35.000,-- EUR, Gebucht am 28.08.2013 Referenz: Re: Rickmers – Sales Commission for a corporate bond deal between SVC and CBSB.
10.10.2013	AFTS receipt Ref:-CLOSE BROTHERS S 605253 INVOICE	EUR	100000	Siehe Anlage 9: Unsere Überweisung in Höhe von 100.000,-- EUR, Gebucht am 09.10.2013 Referenz: Sales Commission for a corporate bond deal between SVC and CBSB.

2.2. ANLAGE A

Solid Venture Capital Ltd
 869 High Road *Traction*
 London *Funder*
 N12 8QA

10. Jan. 2013
 P3W6

Office phone +4685-172 07 00
 Mobile phone +4673-293 99 99
 Email eai@solidequity.se

VAT Registration No. GB 140 6939 10

Close Brothers Seydler Bank AG
 Schillerstrasse 27-29
 60313 Frankfurt am Main
 Germany

Invoice No. **11**
 Invoice/Tax Date 20/12/2012
 Customer Ref Rudiger Eich
 Our Ref Emil Amir Ingmanson

Service Details	Tax Rate £	Net Amount £
Sales Commission for a corporate bond trade between CBSB and a fund company in Sweden	-	3,016.90

This is a reverse chargeable supply

€ 3.750,- ✓ *Le*

€ 750.000,- ✓

7% Homann Bond.

0,5% fec. ✓

ok
 € 3.750,-
 97 010
 / 121 005

GEBUCHT
 17. JAN 2013
Le

Settlement is due within 28 days. We reserve the right to charge interest on late payment

Please make cheques payable to: Solid Venture Capital Ltd
 Bank Payments to Solid Venture Capital Ltd
 Sort Code 20-95-61
 Account number 33313980
 IBAN **GB04 BARC 2095 6133 3139 80**
 SWIFTBIC BARCGB22

Net Amount 3,016.90

Tax Amount -

Invoice Total	Datum	Kurz- zeit	Unterschrift
sachlich richtig		3,016.90	
Zahlung gen			

Bezeichnung	Kst. Nr.	%uale Verteilung
Aktien Inland		<i>Le</i>
Aktien Ausland		
Renten		
IT		
Verwaltung		

2.2. ANLAGE 2

n.v. 16.2.13

Solid Venture Capital Ltd
869 High Road
London
N12 8QA

FEV

Office phone +4685-172 07 00
 Mobile phone +4673-293 99 99
 Email eai@solidequity.se

VAT Registration No. GB 140 6939 10

Close Brothers Seydler Bank AG
 Schillerstrasse 27-29
 60313 Frankfurt am Main
 Germany

Invoice No. 12
 Invoice/Tax Date 11/02/2013
 Customer Ref Rudiger Eich
 Our Ref Emil Amir Ingmanson

VAT Registration No.
 DE 165980648

Scholz Zeichnung

Service Details

Sales Commission for a corporate bond trade
 between CBSB and a fund company
 in Sweden

Tax Rate	Net Amount
£	£
-	15,848.10

This is a reverse chargeable supply

€ 18.389,53
 ok
 97 010
 / 121 005

GEBUCHT

27.11.13

[Handwritten signature]

Settlement is due within 28 days. We reserve the right to charge interest on late payment

Please make cheques payable to: Solid Venture Capital Ltd
 Bank Payments to Solid Venture Capital Ltd
 Sort Code 20-95-61
 Account number 33313980
 IBAN GB04 BARC 2095 6133 3139 80
 SWIFTBIC BARCGB22

	Datum	Kurz-zeichen	Unterschrift
sachlich richtig			
Zahlung gen.			
Bezeichnung	Kst. Nr.	Steuere Verfolgung	
Aktien Inlan			
Aktien Ausland			
Renten			
IT Net Amount		15,848.10	
Verwaltung			
Tax Amount			

Invoice Total 15,848.10

21.2.13

€ 18.389,53

2.2. ANLAGE 3



Adler Sand J

Solid Venture Capital Ltd
 869 High Road
 London
 N12 8QA

Office phone +4685-172 07 00
 Mobile phone +4673-293 99 99
 Email eai@solidequity.se

VAT Registration No. GB 140 6939 10

Close Brothers Seydler Bank AG
 Schillerstrasse 27-29
 60313 Frankfurt am Main
 Germany

Invoice No. **15**
 Invoice/Tax Date 19/03/2013
 Customer Ref Rudiger Eich
 Our Ref Emil Amir Ingmanson

VAT Registration No.
 DE 165980648

Service Details

Sales Commission for a corporate bond trade
 between CBSB and a fund company
 in Sweden

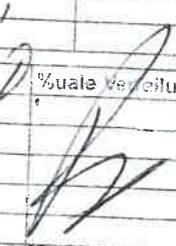
Tax Rate	Net Amount
£	£
-	25,674.00

This is a reverse chargeable supply

2€ 30.000,-
!0. → gmp3 Skaprade: 

ok
€ 30.308,11
97 010
/ 121 005

GEBUCHT
 05. APR. 2013


	Datum	Kurzzeichen	Unterschrift
sachlich richtig			
Zahlung gen			
Bezeichnung	Kst. N.	%uale Verteilung	
Aktien Inland			
Aktien Ausland			
Renten			
FI			
Verwaltung			
Net Amount		25,674.00	

Settlement is due within 28 days. We reserve the right to charge interest on late payment

Please make cheques payable to: Solid Venture Capital Ltd
 Bank Payments to Solid Venture Capital Ltd
 Sort Code 20-95-61
 Account number 33313980
 IBAN **GB04 BARC 2095 6133 3139 80**
 SWIFTBIC **BARCGB22**

Tax Amount -
Invoice Total 25,674.00

€ 30.308,11

2.2. ANLAGE 4

EINGEGANGEN
 03. Mai 2013
 ReWe

Solid Venture Capital Ltd
 869 High Road
 London
 N12 8QA

Office phone +4685-172 07 00
 Mobile phone +4673-293 99 99
 Email cai@solidequity.se

VAT Registration No. GB 140 6939 10

Close Brothers Seydler Bank AG
 Schillerstrasse 27-29
 60313 Frankfurt am Main
 Germany

Invoice No. 15
 Invoice/Tax Date 16/04/2013
 Customer Ref Rudiger Eich
 Our Ref Emil Amir Ingmanson

VAT Registration No.
 DE 165980648

Service Details

Sales Commission for a corporate bond trade
 between CBSB and a fund company
 in Sweden

Tax Rate £	Net Amount £
-	12,800.40

This is a reverse chargeable supply

97010/121005 ok 16.5.13
 E 15.196,96

	Datum	Kurz- zeichen	Unterschrift
sachlich richtig	16.04.13		
Zahlung gen.			
Bezeichnung	Kst. Nr.	Verteilung	
Aktien Inland			
Aktien Ausland			
Renten			
IT			
Verwaltung			

Settlement is due within 28 days. We reserve the right to charge interest on late payment

Please make cheques payable to: Solid Venture Capital Ltd
 Bank Payments to Solid Venture Capital Ltd
 Sort Code 20-95-61
 Account number 33313980
 IBAN GB04 BARC 2095 6133 3139 80
 SWIFTBIC BARCGB22

Net Amount 12,800.40
Tax Amount -
Invoice Total 12,800.40

gem. Absprache

GEBUCHT
 03. MAI 2013

2.2. ANLAGE 5

Solid Venture Capital Ltd
869 High Road
London
N12 8QA

Office phone +4685-172 07 00
 Mobile phone +4673-293 99 99
 Email eai@solidequity.se

Close Brothers Seydler Bank AG
 Schillerstrasse 27-29
 D-60313 Frankfurt am Main
 Germany

VAT Registration No.
 DE 165980648

Service Details

Sales Commission for a corporate bond trade
 between CBSB and a fund company
 in Sweden

This is a reverse chargeable supply

ok
 97010 / 121005
 € 33.268,12



VAT Registration No. GB 140 6939 10

Invoice No. 17
 Invoice/Tax Date 08/05/2013
 Customer Ref Angela Leser
 Our Ref Emil Amir Ingmanson

Tax Rate	Net Amount
£	£
-	28,450.90

	Datum	Kurz- zeichen	Unterschrift
sachlich richtig			
Zahlung gen.			

Bezeichnung	Kst. Nr.	%uale Verteilung
Aktien Inland		
Aktien Ausland		
Renten		
IT		
Verwaltung		

€ 45.000,- € 

Settlement is due within 28 days. We reserve the right to charge interest on late payment

Please make cheques payable to: Solid Venture Capital Ltd

Bank Payments to Solid Venture Capital Ltd
 Sort Code 20-95-61
 Account number 33313980
 IBAN GB04 BARC 2095 6133 3139 80
 SWIFTBIC BARCGB22

Net Amount	28,450.90
Tax Amount	-
Invoice Total	28,450.90

GEBUCHT
 21. MAI 2013

94

2.2. ANLAGE 6

Solid Venture Capital Ltd
869 High Road
London
N12 8QA

Office phone +4685-172 07 00
Mobile phone +4673-293 99 99
Email eai@solidequity.se

Close Brothers Seydler Bank AG
Schillerstrasse 27-29
D-60313 Frankfurt am Main
Germany

VAT Registration No.
DE 165980648



VAT Registration No. GB 140 6939 10

Invoice No. 21
Invoice/Tax Date 08/07/2013
Customer Ref Angela Leser
Our Ref Emil Amir Ingmanson

Service Details

Sales Commission for a corporate bond trade
between CBSB and a fund company
in Sweden

Tax Rate	Net Amount
£	£
-	38,759.40

€ 45.011,58

This is a reverse chargeable supply

ok
97 010
/ 121 005

GEBÜCHT
12. Juli 2013
[Signature]

Settlement is due within 28 days We reserve the right to charge
interest on late payment

Please make cheques payable to Solid Venture Capital Ltd
Bank Payments to Solid Venture Capital Ltd
Sort Code 20-95-61
Account number 33313980
IBAN GB04 BARC 2095 6133 3139 80
SWIFTBIC BARCGB22

Net Amount 38,759.40

Tax Amount	Datum	Kurz- zeichen	Unterschrift
sachlich richtig Zahlung gen		38.759.40	

Bezeichnung	Kst. Nr.	%uale Verteilung
Aktien Inland		
Aktien Ausland		
Renten		
IT		
Verwaltung		

2.2. ANLAGE 7

EINGEGANGEN
25. Juli 2013
ReWe

→ J. Schwede

Solid Venture Capital Ltd
869 High Road
London
N12 8QA

Office phone +4685-172 07 00
Mobile phone +4673-293 99 99
Email eai@solidequity.se

VAT Registration No. GB 140 6939 10

Close Brothers Seydler Bank AG
Schillerstrasse 27-29
D-60313 Frankfurt am Main
Germany

Invoice No. 23
Invoice/Tax Date 17/07/2013
Customer Ref Angela Leser
Our Ref Emil Amir Ingmanson

VAT Registration No.
DE 165980648

Service Details

Sales Commission for a corporate bond deal
between SVC and CBSB.

Tax Rate	Net Amount
EUR	EUR
-	15,000.00

This is a reverse chargeable supply

ak 97 000
/ 121 005

Mio Richter

GEBUCHT

31 JULI 2013

h Leser

	Datum	Kurzzeichen	Unterschrift
sachlich richtig			
Zahlung gen.			

Bezeichnung	Kat. Nr.	Quale Verteilung
Aktien Inland	1,0	
Aktien Ausland		
Renten		
IT		
Verwaltung		
Net Amount		15,000.00

Settlement is due within 28 days. We reserve the right to charge interest on late payment

Please make cheques payable to: Solid Venture Capital Ltd
Bank Payments to Solid Venture Capital Ltd

Sort Code 20-95-61
Account number 67697266
IBAN GB64 2093 6167 6972 66
SWIFTBIC BARCGB22

Tax Amount	-
Invoice Total	15,000.00

2.2. ANLAGE 8

23. Aug. 2013
ReWe

→ J. Scheide

Solid Venture Capital Ltd
869 High Road
London
N12 8QA

Office phone +4685-172 07 00
Mobile phone +4673-293 99 99
Email eai@solidequity.se

VAT Registration No. GB 140 6939 10

Close Brothers Seydler Bank AG
Schillerstrasse 27-29
D-60313 Frankfurt am Main
Germany

Invoice No. 25
Invoice/Tax Date 22/08/2013
Customer Ref Angela Leser
Our Ref Emil Amir Ingmanson

VAT Registration No.
DE 165980648

Service Details

Re: Rickmers
Sales Commission for a corporate bond deal
between SVC and CBSB.

Tax Rate **Net Amount**

EUR EUR

- 35,000.00

This is a reverse chargeable supply

ok
97 000
/ 121 005

	Datum	Kurz- zeichen	Unterschrift
sachlich richtig			
Zahlung gen.			

Bezeichnung	Kst. Nr.	%/abte Verteilung
Aktien Inland		H
Aktien Ausland		
Renten		
IT		
Verwaltung		

Settlement is due within 28 days. We reserve the right to charge interest on late payment

Please make cheques payable to: Solid Venture Capital Ltd

Bank Payments to Solid Venture Capital Ltd

Sort Code 20-95-61

Account number 67697266

IBAN GB64BA0C20956167697266

SWIFTBIC BARCGB22

Net Amount 35,000.00

Tax Amount -

Invoice Total 35,000.00

GEBUCHT

28. AUG. 2013

[Handwritten signature]

2.2. ANLAGE 9

23. Aug 2013
Rewe

→ J. Schneider

Solid Venture Capital Ltd
869 High Road
London
N12 8QA

Office phone +4685-172 07 00
Mobile phone +4673-293 99 99
Email eai@solidequity.se

VAT Registration No. GB 140 6939 10

Close Brothers Seydler Bank AG
Schillerstrasse 27-29
D-60313 Frankfurt am Main
Germany

Invoice No. 24
Invoice/Tax Date 20/08/2013
Customer Ref Angela Leser
Our Ref Emil Amir Ingmanson

VAT Registration No.
DE 165980648

Service Details

Tax Rate

Net Amount

EUR

EUR

Sales Commission for a corporate bond deal
between SVC and CBSB.

-

100,000.00

This is a reverse chargeable supply

ok
97 010
/ 121 005
Houan

J. Nio

GEBUCHT

09. OKT. 2013

	Datum	Kurz- zeichen	Unterschrift
sachlich richtig Zahlung gen.			

Bezeichnung	Kst. Nr.	%uale Verteilung
Aktien Inland		
Aktien Ausland	1.0	
Renten		
IT		
Verwaltung		

Settlement is due within 28 days. We reserve the right to charge
interest on late payment

Please make cheques payable to: Solid Venture Capital Ltd

Bank Payments to Solid Venture Capital Ltd

Sort Code 20-95-61

Account number 67697266

IBAN GB6484030956167697266

SWIFTBIC BARCGB22

Net Amount

100,000.00

Tax Amount

-

Invoice Total

100,000.00

Kontoinhaber Solid venture Capital Ltd., C58566, Malta

Konto 321532.15.001, Banif Bank, Malta

Datum	Text	Währung	Betrag	Erläuterung
06.03.2013	Incom.Int.Payments from CLOSE BROTHERS S	USD	449978	Siehe Anlage 2 – Umsatzübersicht USD-Konto 200000728 - #13 Überweisungsauftrag von Solid Venture Capital Ltd. zu Lasten des Kontos #728 (Hauptkonto), Auftragsdatum 04.03.2013, Betrag: 450.00,-- USD Beneficiary: Solid Venture Capital Ltd. Malta, Beneficiary Bank: Banif Bank, Malta
29.05.2013	Incom.Int.Payments from CLOSE BROTHERS S	USD	449988	Siehe Anlage 2 – Umsatzübersicht USD-Konto 200000728 - #21 Überweisungsauftrag von Solid Venture Capital Ltd. zu Lasten des Kontos #728 (Hauptkonto), Auftragsdatum 17.05.2013, Betrag: 450.000,-- USD Beneficiary: Solid Venture Capital Ltd. Malta, Beneficiary Bank: Banif Bank, Malta
05.08.2013	Payment Order ifo CLOSE BROTHERS SEYDLER	USD	-25000	Siehe Anlage 2 – Umsatzübersicht USD-Konto 200000728 - #3 Zahlungseingang von Solid Venture Ltd. zu Gunsten des Kontos #728 (Hauptkonto), Auftragsdatum 07.08.2013, auftraggebende Bank: Banif Bank, Malta

FINDERS FEE AGREEMENT

between

Solid Venture Capital Ltd.
869 High Road
London N12 8Q4
Great Britain

– hereinafter referred to as **"Finder"** –

and

Close Brothers Seydler Bank AG
Schillerstraße 27-29
60313 Frankfurt am Main
Germany

– hereinafter referred to as **"CBSB"** –

– the Finder and CBSB also referred to each individually as a **"Party"** and collectively as
the **"Parties"** –

the following Agreement is concluded:



A.G

Preamble

- (A) CBSB has many years of experience supporting companies as lead manager, global coordinator and bookrunner in connection with securities issues, such as IPOs, capital increases and corporate bonds.
- (B) The Finder has a good network of clients which could be interested in entering into a business relationship with CBSB.
- (C) CBSB wishes to use the Finder's connections to potential investors amongst its customers for the placement of securities within the scope of capital market transactions in which it is involved, while the Finder wishes to act as Finder for CBSB on a regular basis.
- (D) The Finder has introduced the client "Traction High Yield Fund" org.n. 515602-5537 (hereinafter referred to as "**the Fund**") who is interested in investing into and/or subscribing for securities where CBSB is acting as lead manager, bookrunner etc. in the course of an Equity Capital Markets (ECM) or Debt Capital Markets (DCM) transaction.

The purpose of this Agreement is to determine the fee arrangement in case of a successful allocation of securities to the Fund.

1 Activities of CBSB

- 1.1 CBSB will inform the Fund and/or the Finder from time to time about capital market transactions planned by CBSB within the scope of which a placement of securities to investors shall take place (in particular, share or corporate bond issues) and for which, according to CBSB's view, the Fund would be eligible to subscribe.
- 1.2 Provided the Fund and/or the Finder has expressed to CBSB his interest in subscribing within the scope of a particular planned capital market transaction, CBSB shall provide the Fund with a set of the information material available to it for the placement, such as exposé, research report and, if applicable, a sales prospectus of the respective issuer that has been approved by the competent authority, for internal use and inform the Fund in detail about the offer, in particular, the time schedule and type of offer (public offer/private placement to institutional investors).



2 Activities of the Finder

- 2.1 Within the timeframe set for the transaction, the Finder shall contact customers selected by it and offer to them the respective securities for subscription, approaching, however, exclusively such customers who are legally eligible to make such subscription within the scope of the respective offer.

3 Notification Duties, Representations

- 3.1 The Finder acknowledges that the final terms of the offer shall be amicably agreed between the respective issuer and CBSB and, to such extent, CBSB acts in its own discretion with respect to the placeability of the securities and not in the Finder's nor the Fund's interest.

4 Term of Agreement

- 4.1 This Agreement shall take effect with its signing and is entered into for an indefinite period of time. It may be terminated with a three months' notice to the end of a calendar month.
- 4.2 The mutual rights of CBSB and the Finder to terminate this Agreement at any time for good cause by written notice shall remain unaffected thereby.
- 4.3 The termination of this Agreement shall not affect the claims acquired by the Parties until the termination date.
- 4.4 The provisions of clause 6 (confidentiality), clause 7 (exclusion of liability), and clause 9 (applicable law and place of jurisdiction) shall survive the termination of this Agreement.

5 Remuneration

- 5.1 For the provision of subscription orders under this Agreement the Finder shall, in case of the successful allocation of securities to the Fund following payment of the purchase price for the securities by the Fund, receive a fee which will be discussed and agreed on a case by case basis. The Parties understand that the fee is exempt from value added tax.
- 5.2 In advance of each transaction the Finder's fee will be determined on a case to case basis and will be communicated per Email. Once an order has been placed and leads

to an allocation, the Finder will get a trade confirmation to eai@solidequity.se and a separate mail with the amount of the agreed Fee will be send.

- 5.3 The Finder will send an invoice to CBSB in EUR. The invoice has to be payed 3 working days after the valuation date of the trade to the following bank account.

Solid Equity
Barclays Bank, Sort Code 20-95-61
Account Number 33313980
IBAN GB04 BARC 2095 6133 3139 80

- 5.4 There is no obligation to reimburse any other expenses.
- 5.5 The obligations maybe incumbent on the Finder pursuant to Section 31d German Securities Trading Act (*WpHG*) are hereby pointed out to the Finder (Handling and disclosure of inducements received by third parties to the Fund).

6 Confidentiality

- 6.1 The Parties undertake to treat confidential any agreements made herein and any information obtained within the context of the performance of this Agreement and, in particular, not to disclose such information to third parties, unless the other Party has given its prior written consent to such disclosure or there is a statutory obligation to do so.
- 6.2 Third parties within the meaning of clause 6.1 shall not include the staff members, auditors, legal and tax advisors of the Parties or other persons of the respective Party who are bound by professional secrecy.
- 6.3 If there is a statutory obligation to disclose or otherwise provide information, the Party which is subject to such statutory obligation shall, immediately after having obtained knowledge thereof, inform the respective other Party of the information to be disclosed, the person to which it is to be disclosed and the reason for such disclosure.
- 6.4 The confidentiality obligations continue to apply on unchanged conditions following the termination of the Agreement.

7 Liability, no mutual representation

- 7.1 CBSB does not assume liability for the accuracy of any information provided by third parties (including Close Brothers Seydler Research AG). In particular, CBSB shall not



be liable for any information material from issuers which it has submitted to the Finder or the Fund for the purpose of information on a particular offer.

None of the Parties shall be entitled to issue any legally effective statement on behalf of the respective other Party or act as the respective other Party's representative. Moreover, the Finder shall not be entitled to offer or render investment services (*Wertpapierdienstleistungen*) or ancillary investment services (*Wertpapiernebenleistungen*) within the meaning of the German Securities Trading Act to third parties in the name of CBSB. Externally, the Parties shall not give the impression to be a member of staff or part of the organisation of the respective other Party. Vis-à-vis its customers, the Finder shall act for its own account.

- 7.2 The Finder shall release CBSB and its legal representatives and employees upon first request from any and all claims, obligations, damages and costs, including costs for the defence or legal advice in any pending or imminent legal proceedings, that arise due to claims being asserted against CBSB and its legal representatives and employees by third parties to which securities were offered by the Finder within the scope of a certain transaction. The obligation of the Finder pursuant to this clause 7.3 shall not be affected by the termination of the Finder's assignment.

8 Delegation

- 8.1 The Finder is not entitled to delegate its rights and obligations under this Agreement to any other person or company.

9 Other provisions

- 9.1 Ancillary agreements to this Agreement do not exist. Amendments or supplements to this Agreement must be made in writing in order to be valid. This shall also apply to any amendment or waiver of this written form requirement.
- 9.2 Should any of the provisions of this Agreement be or become invalid, the validity of the remaining provisions of this Agreement shall not be affected thereby. The same applies to any omission contained in this Agreement. Any invalid provision or omission contained in this Agreement shall be replaced or corrected by a valid provision which reflects as closely as possible the economic purpose intended by the Parties.
- 9.3 This Agreement and the legal relationships established between the Finder and CBSB shall be governed by German law. The place of jurisdiction and performance

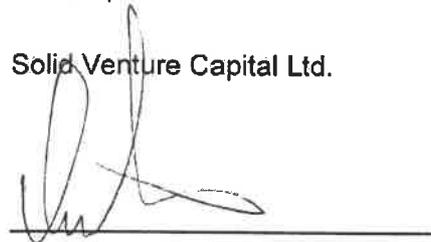
for all claims arising under or in connection with this Agreement is Frankfurt am Main, Germany.

Frankfurt am Main, 27th November 2012

London,

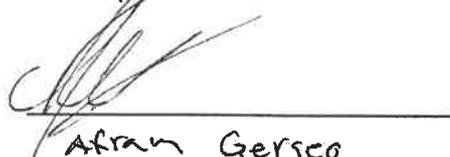
Close Brothers Seydler Bank AG

Solid Venture Capital Ltd.



René Parmentier
CEO Board Member - Markets

E-A Ingman
CEO, Board member



Holger Gröber
Board Member – Finance & Administration

Abram Gersco
Board member

2.2 Anfrage zu Zahlungen an die/von der Fa. Solid Venture Capital Ltd, 05179108, UK und Solid Venture Capital Ltd, C58566, Malta.

Es wird in bezug auf die nachstehend aufgeführten Zahlungen um folgendes gebeten:

Unterlagen, die den Zweck der Zahlung erkennen lassen, wie Rechnungen, E-Mails, Verträge und sonstige relevante Dokumentation.

Kontoinhaber Solid Venture Capital Ltd, 05179108, UK

Konto 20956133313980, Barclays Bank, United Kingdom

Datum	Text	Währung	Betrag
18.01.2013	CLOSE BROTHERS S * 923031*INVOICE-NO* TFR	GBP	3 052
26.02.2013	1/CLOSE BROTHERS * 577426*INV NO 12 * TFR	GBP	15 848
09.04.2013	1/CLOSE BROTHERS * 563698*INVOICE.NO* TFR	GBP	25 674
09.05.2013	1/CLOSE BROTHERS * 582467*INVOICE NO* TFR	GBP	12 800
03.06.2013	1/CLOSE BROTHERS * 605331*INVOICE NO* TFR	GBP	28 451
16.07.2013	1/CLOSE BROTHERS * 588488*INVOICE NO* TFR	GBP	38 759

Konto 20956167697266, Barclays Bank, United Kingdom

Datum	Text	Währung	Betrag
01.08.2013	AFTS receipt Ref:-CLOSE BROTHERS S 615812 INVOICE-	EUR	15 000
29.08.2013	AFTS receipt Ref:-CLOSE BROTHERS S 621037 INVOICE	EUR	35 000
10.10.2013	AFTS receipt Ref:-CLOSE BROTHERS S 605253 INVOICE-	EUR	100 000

(Es handelt sich bei diesen drei Transaktionen um Zahlungen vom Konto DE12500202000000903203)

Kontoinhaber Solid venture Capital Ltd, C58566, Malta

Konto 321532.15.001, Banif Bank, Malta

Datum	Text	Währung	Gezahlter Betrag
06.03.2013	Incom.Int.Payments from CLOSE BROTHERS S	USD	449 978
29.05.2013	Inward Payment Frcom CLOSE BROTHERS SEYDL	USD	449 988

Datum	Text	Währung	Ausgezahlter Betrag
05.08.2013	Payment Order ifo CLOSE BROTHERS SEYDLER	USD	-25 000

Anlage 2.3. Anfrage zur Vermittlung von Finanzinstrumenten:

Eingänge/ Ausgang **frei von Zahlung** (siehe Gesamtaufstellung „Close Brothers Seydler Bank AG, Kunden-Depotgeschäft via BNP PARIBAS Securities Service S.C.A., w/ Depot # 900728“):

Bezüglich der Vermittlung von den nachstehend aufgeführten Finanzinstrumenten möchten wir wie folgt Stellung nehmen:

Name	Währung	ISIN	Erläuterung
BANC OF AMERICA MTG 2004-L TR. DL-FLR CERTS 2004(35) CL.B-1	USD	US05949AZH66	Siehe 2.3 Anlage 1 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, acc. 1360-4701, DTC 0075 Nominale 12.863.000 Buchungstag 22.02.2013
MS ABS CAP.I INC. TR.2003-NC8 DL-FLR CERTS 2003(33) CL.B-3	USD	US61746RDS76	Siehe 2.3 Anlage 2 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, acc. 1360-4701, DTC 0075 Nominale 10.696.000 Buchungstag 09.04.2013
LEHMAN MORTGAGE TRUST 2008-6 DL-FLR CERTS 2008(47) CL.B1	USD	US52525FAH64	Siehe 2.3 Anlage 3 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, acc. 7395-4378, DTC 0075 Nominale 6.614.000 Buchungstag 14.05.2013
BANC OF AMERICA FDG 2004-1 TR. DL-FLR CERTS 2004(34) CL.B-2	USD	US05946XGH08	Siehe 2.3 Anlage 4 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, acc. 7395-4378, DTC 0075 Nominale 5.345.000 Buchungstag 13.06.2013
FIRST NLC TRUST 2005-3 DL-FLR NOTES 2005(35) CL.M-2	USD	US32113JBV61	Siehe 2.3 Anlage 5+6 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, acc. 1360-4701, DTC 0075 Nominale 7.000.000 Buchungstag 10.07.2013 Ausgang frei von Zahlung: Empfänger: ABS Investment Group LLC, acc no. 1360-4701, DTC 0075 Nominale 1.000.000 Buchungstag 22.08.2013

GSAA HOME EQUITY TRUST 2006-6 DL-FLR CERTS 2006(36) CL.AF-7	USD	US362334MZ48	Siehe 2.3 Anlage 7 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, acc. 1360- 4701, DTC 0075 Nominale 4.321.000 Buchungstag 10.07.2013
STRUCT.ASSET INV.LN TR.2006-4 DL-FLR CERTS 2006(36) CL.A5	USD	US86360WAE21	Siehe 2.3 Anlage 8 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, acc. 7395- 4378, DTC 0075 Nominale 30.000.000 Buchungstag 22.07.2013
ML ALTERN. NOTE ASSET S.07-A2 DL- FLR CERTS 2007(37) CL.A-3D	USD	US59024FAG90	Siehe 2.3 Anlage 9 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, DTC 0075 Nominale 24.354.840 Buchungstag 15.08.2013

Welche Rolle/ welchen Auftrag hat die Fa. Oddo Seydler in Bezug auf diese Wertpapiere gespielt/ gehabt? Verträge, Emails und andere relevante Unterlagen.

ODDO SEYDLER BANK AG (ehem. Close Brothers Seydler Bank AG) war die Depotbank.

Angaben zum Auftraggeber, Gesellschaften und Ansprechpartner:

Der Auftraggeber bzw. der Konto-/ Depotinhaber war die Firma Solid Venture Capital Ltd. mit Sitz in London.

Verfügungsberechtigt für die Konten bzw. das Depot waren die Herren:

Ingmanson, Emil Amir, geb. am 06.10.1977 in Stockholm (Schweden) und

Gergeo, Afram, geb. am 05.02.1977 in Botkyrka (Schweden)

Vertragspartner (Verkäufer/ Käufer), Gesellschaften und Personen:

Unser Vertragspartner war die Solid Venture Capital Ltd.

Dokumentation über sämtliche vermittelten Geschäfte, sowohl Käufe als auch Verkäufe in Form von Verträgen, Prospekten, Aufträgen, E-Mails, usw.

Bitte entnehmen sie die entsprechenden Nachweise der Anlage 2.3. (Depotbank).

Auskunft/ Dokumentation in Bezug darauf, welchen Preis die Kunden beim Kauf bzw. Verkauf dieser Wertpapiere gezahlt/ erhalten haben.

Die o.g. Transaktionen wurden im Kundenauftrag „frei von Zahlung“ abgerechnet.

Auskunft darüber, an/ von welche(n) Konten (IBAN) und Kontoinhaber(n) der gezahlte/ erhaltene Kaufpreis bezahlt wurde.

In Zusammenhang mit den Wertpapiertransaktionen frei von Zahlung gab es keine Zahlungen.

Auskunft/ Dokumentation in Bezug auf etwaige gezahlte/ erhaltene Provisionen. An/von wen/ wem?

In Zusammenhang mit den Wertpapiertransaktionen frei von Zahlung gab es keine Provisionen. Die Provisionszahlungen im Rahmen der späteren Veräußerung der Wertpapiere entnehmen sie bitte der Anlage 3.1.

Wer ist für die „clearing und settlement“ der oben aufgeführten Wertpapiere verantwortlich gewesen?

BNP Paribas Securities Services S.C.A, Zweigniederlassung Frankfurt, on behalf of Close Brothers Seydler Bank AG.

Wurde DTC für die „clearing und settlement“ benutzt?

Ja.

Es wird um die gesamte Dokumentation zur „clearing und settlement“ in Bezug auf die oben angeführten Instrumente gebeten.

Bitte entnehmen sie die entsprechenden Nachweise der Anlage 2.3.

Wie lautet ihre DTC-Nummer?

DTC 908 – Citibank New York

2.3 Anfrage zur Vermittlung von Finanzinstrumenten.

Die Fa. Oddo Seydler/Close Brothers hat die nachstehend aufgeführten Finanzinstrumente vermittelt:

Name	Währung	ISIN
BOAMS MTGE 2004-L B1	USD	US05949AZH66
MSAC 2003-NC8 B3	USD	US61746RDS76
LMT 2008-6 B1	USD	US52525FAH64
BAFC FDG 2004-1 DL-FR	USD	US05946XGH08
FNLC 2005-3 M2	USD	US32113JBV61
GSAA 2006-6 AF7	USD	US362334MZ48
SAIL 2006-4 A5	USD	US86360WAE21
MANA 2007-A2 A3D	USD	US59024FAG90

Wir bitten um die nachstehend aufgeführten Informationen für den Zeitraum 2013-2015:

- Welche Rolle/welchen Auftrag hat die Fa. Oddo Seydler in bezug auf diese Wertpapiere gespielt/gehabt? Verträge, E-Mails und andere relevante Unterlagen.
- Auftraggeber; Gesellschaften und Ansprechpartner.
- Vertragspartner (Verkäufer/Käufer); Gesellschaften und Personen.
- Dokumentation über sämtliche vermittelten Geschäfte, sowohl Käufe als auch Verkäufe in Form von Verträgen, Prospekten, Aufträgen, E-Mails usw.
- Auskunft/Dokumentation in bezug darauf, welchen Preis die Kunden beim Kauf bzw. Verkauf dieser Wertpapiere gezahlt/erhalten haben.
- Auskunft darüber, an/von welche(n) Konten (IBAN) und Kontoinhaber(n) der gezahlte/erhaltene Kaufpreis bezahlt wurde.
- Auskunft/Dokumentation in bezug auf etwaige gezahlte/erhaltene Provisionen. An/von wen/wem?
- Wer ist für die „clearing and settlement“ der oben aufgeführten Wertpapiere verantwortlich gewesen?
- Wurde DTC für die „clearing and settlement“ benutzt?
- Es wird um die gesamte Dokumentation zur „clearing and settlement“ in bezug auf die oben angeführten Instrumente gebeten.
- Wie lautet Ihre DTC-Nummer?

2.4 Anfrage zu Kundenbeziehungen

Handelt es sich bei den nachstehend aufgeführten Gesellschaften/Personen um Kunden bei Ihnen?

- o Mark Bishop
- o Afram Gergeo
- o Emil Amir Ingmanson/Max Serwin
- o Solid Venture Capital Ltd, C58566, Malta
- o Solid Venture Capital Ltd, nr 05179108, UK
- o Temple Asset Management
- o Boardwalk Co Ltd

2.3 ANLAGE 1

22.02.2013 Depotübertrag EINGANG 103/6
-----Seite 1/1
Solid Venture Capital Ltd. Depot 900728

US05949AZH66 BC AMER.MTGE 04-L 04/35B1 -A1HGFK-
Zinstermin : 25.MTL Fällig: 25.01.35 0,000000% Zinsen (30/360 Tage)
Lagerstelle: WR - USA / CBL
Sperrre : keine
Sonderheit : ohne Einstandskurs
Nom.DL : 12.863.000,00000

Das Wertpapier erhielten wir weisungsgemäß von dem Depot
DTC 0075
ABS Investment Group acc 1360-4701
TD/SD 21.02./21.02.
gem. Auftrag CBS v. 21.02.2013

 **Close Brothers Seydler
Bank AG**

Close Brothers Seydler Bank AG
Aktiengesellschaft mit Sitz in Frankfurt am Main - Registergericht Frankfurt am Main HRB 43507
Vorsitzender Aufsichtsrat (Chairman Supervisory Board): Jonathan Howell
Vorstand (Management Board): René Parmantier, Holger Gröber

2.3. ANLAGE 2

9.04.2013 Depotübertrag EINGANG 200/6
-----Seite 1/1
Solid Venture Capital Ltd. Depot 900728

US61746RDS76 MS ABS C.TR.03-NC8 03/33 -A1HH57-
Zinstermin : 27.MTL Fällig: 26.09.33 5,829200% Zinsen (Monat/360 Tg.)
Lagerstelle: WR - USA / CBL
Sperrung : keine
Sonderheit : ohne Einstandskurs
Nom.DL : 10.696.000,00000

Das Wertpapier erhielten wir weisungsgemäß von dem Depot
DTCYUS33XXX
DTCYID/0075
ABS INVESTMENTS GROUP LLC
a/c 1360-4701

 **Close Brothers Seydler
Bank AG**

Close Brothers Seydler Bank AG
Aktiengesellschaft mit Sitz in Frankfurt am Main - Registergericht Frankfurt am Main HRB 43507
Vorsitzender Aufsichtsrat (Chairman Supervisory Board): Jonathan Howell
Vorstand (Management Board): René Parmantier, Holger Gröber

2.3. ANLAGE 3

14.05.2013 Depotübertrag EINGANG 244/6
-----Seite 1/1
Solid Venture Capital Ltd. Depot Solid Venture Capital Ltd. 900728

US52525FAH64 LEHMAN MTG TR.08-6 08/47 -A1HKS8-
Zinstermin : 25.MTL Fällig: 25.07.47 0,000000% Zinsen (30/360 Tage)
Lagerstelle: WR - USA / CBL
Sperrung : keine
Sonderheit : ohne Einstandskurs
Nom.DL : 6.614.000,00000

Das Wertpapier erhielten wir weisungsgemäß von dem Depot
DTC 0075,ABS Investment Group LLC,acc.7395-4378
TD/VD 08.05.2013

 **Close Brothers Seydler
Bank AG**

Close Brothers Seydler Bank AG
Aktiengesellschaft mit Sitz in Frankfurt am Main - Registergericht Frankfurt am Main HRB 43507
Vorsitzender Aufsichtsrat (Chairman Supervisory Board): Jonathan Howell
Vorstand (Management Board): René Parmantier, Holger Gröber

23. ANLAGE 4

13.06.2013 Depotübertrag EINGANG 286/6
-----Seite 1/1
Solid Venture Capital Ltd. Depot Solid Venture Capital Ltd. 900728

US05946XGH08 BC AMER.FDG.04-1 2034 FLR -A1HMBW-
Zinstermin : 25.MTL Fällig: 25.03.34 5,978407% Zinsen (30/360 Tage)
Lagerstelle: WR - USA / CBL
Sperrre : keine
Sonderheit : ohne Einstandskurs
Nom.DL : 5.345.000,00000

Das Wertpapier erhielten wir weisungsgemäß von dem Depot
ABS Investment Group LLC,DTC 0075,acc 7395-4378
TD 11.06.2013 VD 11.06.2013

 **Close Brothers Seydler
Bank AG**

Close Brothers Seydler Bank AG
Aktiengesellschaft mit Sitz in Frankfurt am Main - Registergericht Frankfurt am Main HRB 43507
Vorsitzender Aufsichtsrat (Chairman Supervisory Board): Jonathan Howell
Vorstand (Management Board): René Parmantier, Holger Gröber

2.3. ANLAGE 5

10.07.2013 Depotübertrag EINGANG 331/6
-----Seite 1/1
Solid Venture Capital Ltd. Depot Solid Venture Capital Ltd. 900728

US32113JBV61 FIRST NLC TR. 05-3 2035 -A0UQ7T-
Zinstermin : 25.MTL Fällig: 25.12.35 0,873000% Zinsen (Monat/360 Tg.)
Lagerstelle: WR - USA / CBL
Sperrung : keine
Sonderheit : ohne Einstandskurs
Nom.DL : 7.000.000,00000

Das Wertpapier erhielten wir weisungsgemäß von dem Depot
Kontrahent: ABS Investment Group LLC
DTC: 0075 - a/c no. 1360-4701
TD & SD 08.07.2013

 **Close Brothers Seydler
Bank AG**

Close Brothers Seydler Bank AG
Aktiengesellschaft mit Sitz in Frankfurt am Main - Registergericht Frankfurt am Main HRB 43507
Vorsitzender Aufsichtsrat (Chairman Supervisory Board): Jonathan Howell
Vorstand (Management Board): René Parmantier, Holger Gröber

2.3. ANLAGE 6

22.08.2013 Depotübertrag AUSGANG 375/6
-----Seite 1/1
Solid Venture Capital Ltd. Depot Solid Venture Capital Ltd. 900728

US32113JBV61 FIRST NLC TR. 05-3 2035 -A0UQ7T-
Zinstermin : 25.MTL Fällig: 25.12.35 0,870030% Zinsen (Monat/360 Tg.)
Lagerstelle: WR - USA / CBL
Sperrung : keine
Sonderheit : Stücke ohne Sonderheit
Nom.DL : 1.000.000,00000

Das Wertpapier übertragen wir weisungsgemäß auf das Depot
DTC 0075 - a/c no. 1360-4701
ABS Investment Group LLC
Trade Date: 19.08.2013
Settl.Date: 19.08.2013 / DTC settled: 21.08.2013

 **Close Brothers Seydler
Bank AG**

Close Brothers Seydler Bank AG
Aktiengesellschaft mit Sitz in Frankfurt am Main - Registergericht Frankfurt am Main HRB 43507
Vorsitzender Aufsichtsrat (Chairman Supervisory Board): Jonathan Howell
Vorstand (Management Board): René Parmantier, Holger Gröber

2.3. ANLAGE 7

10.07.2013 Depotübertrag EINGANG 330/6
-----Seite 1/1
Solid Venture Capital Ltd. Depot Solid Venture Capital Ltd. 900728

US362334MZ48 GSAA HE TRUST 06-6 2036 -A1HNC0-
Zinstermin : 25.MTL Fällig: 25.03.36 5,737514% Zinsen (30/360 Tage)
Lagerstelle: WR - USA / CBL
Sperrung : keine
Sonderheit : ohne Einstandskurs
Nom.DL : 4.321.000,00000

Das Wertpapier erhielten wir weisungsgemäß von dem Depot
Kontrahent: ABS Investment Group LLC
DTC: 0075 - a/c no. 1360-4701
SD & TD 08.07.2013

 **Close Brothers Seydler
Bank AG**

Close Brothers Seydler Bank AG
Aktiengesellschaft mit Sitz in Frankfurt am Main - Registergericht Frankfurt am Main HRB 43507
Vorsitzender Aufsichtsrat (Chairman Supervisory Board): Jonathan Howell
Vorstand (Management Board): René Parmantier, Holger Gröber

2.3. ANLAGE 8

22.07.2013 Depotübertrag EINGANG 340/6
-----Seite 1/1
Solid Venture Capital Ltd. Depot Solid Venture Capital Ltd. 900728

US86360WAE21 STR.ASS.INV.LT 06-4 06/36 -A0G4W9-
Zinstermin : 25.MTL Fällig: 25.07.36 0,503000% Zinsen (Monat/360 Tg.)
Lagerstelle: WR - USA / CBL
Sperrung : keine
Sonderheit : ohne Einstandskurs
Nom.DL : 30.000.000,00000

Das Wertpapier erhielten wir weisungsgemäß von dem Depot
DTC 0075,ABS Investment Group LLC,Acc 7395-4378
TD/SD 19.07.2013

 **Close Brothers Seydler
Bank AG**

Close Brothers Seydler Bank AG
Aktiengesellschaft mit Sitz in Frankfurt am Main - Registergericht Frankfurt am Main HRB 43507
Vorsitzender Aufsichtsrat (Chairman Supervisory Board): Jonathan Howell
Vorstand (Management Board): René Parmantier, Holger Gröber

2.3. ANLAGE 9

15.08.2013 Depotübertrag EINGANG 369/6
-----Seite 1/1
Solid Venture Capital Ltd. Depot Solid Venture Capital Ltd. 900728

US59024FAG90 ML ALTERN.N.A.07-A2 07/37 -A1HPZX-
Zinstermin : 25.MTL Fällig: 25.03.37 0,490030% Zinsen (Monat/360 Tg.)
Lagerstelle: WR - USA / CBL
Sperrung : keine
Sonderheit : ohne Einstandskurs
Nom.DL : 24.354.840,00000

Das Wertpapier erhielten wir weisungsgemäß von dem Depot
DTC 0075 ABS Investment Group LLC
TD: 13.08.2013
SD: 13.08.2013

 **Close Brothers Seydler
Bank AG**

Close Brothers Seydler Bank AG
Aktiengesellschaft mit Sitz in Frankfurt am Main - Registergericht Frankfurt am Main HRB 43507
Vorsitzender Aufsichtsrat (Chairman Supervisory Board): Jonathan Howell
Vorstand (Management Board): René Parmantier, Holger Gröber

FuP bilaga 3

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Close Brothers Seydler Bank AG, Kunden-Depotgeschäft via BNP PARIBAS Securities Service S.C.A., Zweigniederlassung Frankfurt						
Depot # 900728 - Eingänge/ Ausgang Frei von Zahlung (Anlage 2.3)						
ISIN	Eingang/ Ausgang	Name	Nom.	trade date	Gegenseite der Frei von Zahlung Transaktion	
1	US05949AZH66	Eingang	BANC OF AMERICA MTG 2004-L TR. DL-FLR CERTS 2004(35) CL.B-1	12.863.000 USD	22.02.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
2	US61746RDS76	Eingang	MS ABS CAP.I INC. TR.2003-NC8 DL-FLR CERTS 2003(33) CL.B-3	10.696.000 USD	09.04.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
3	US52525FAH64	Eingang	LEHMAN MORTGAGE TRUST 2008-6 DL-FLR CERTS 2008(47) CL.B1	6.614.000 USD	14.05.2013	ABS Investment Group, acc. 7395-4378, DTC 0075
4	US05946XGH08	Eingang	BANC OF AMERICA FDG 2004-1 TR. DL-FLR CERTS 2004(34) CL.B-2	5.345.000 USD	13.06.2013	ABS Investment Group, acc. 7395-4378, DTC 0075
5	US32113JBV61	Eingang	FIRST NLC TRUST 2005-3 DL-FLR NOTES 2005(35) CL.M-2	7.000.000 USD	10.07.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
6	US32113JBV61	Ausgang	FIRST NLC TRUST 2005-3 DL-FLR NOTES 2005(35) CL.M-2	1.000.000 USD	22.08.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
7	US362334M248	Eingang	GSA HOME EQUITY TRUST 2006-6 DL-FLR CERTS 2006(36) CL.AF-7	4.321.000 USD	10.07.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
8	US86360WAE21	Eingang	STRUCT.ASSET INV.LN TR.2006-4 DL-FLR CERTS 2006(36) CL.A5	30.000.000 USD	22.07.2013	ABS Investment Group, acc. 7395-4378, DTC 0075
9	US59024FAG90	Eingang	ML ALTERN. NOTE ASSET 5.07-A2 DL-FLR CERTS 2007(37) CL.A-3D	24.354.840 USD	15.08.2013	ABS Investment Group, DTC 0075

Info
→ Unser Depotkunde Solid Venture Captial Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Traction Fonder AB.
→ Unser Depotkunde Solid Venture Captial Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Traction Fonder AB.
→ Unser Depotkunde Solid Venture Captial Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.
→ Unser Depotkunde Solid Venture Captial Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.
→ Unser Depotkunde Solid Venture Captial Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.
← Unser Depotkunde Solid hat die Stücke OTC von Optimus Fonder AB gekauft, und im Anschluss frei von Zahlung an ABS Investment Group übertragen.
→ Unser Depotkunde Solid Venture Captial Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.
→ Unser Depotkunde Solid Venture Captial Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.

Close Brothers Seydler Bank AG, Kundenhandel (Kommissionsgeschäft) via HSBC Trinkaus & Burkhardt AG, Düsseldorf											
OTC Käufer						OTC Verkäufer					
Käufer	Nom.	Settlement amount	Settlement	Trade Day	Value Day	Verkäufer	Settlement amount	Settlement	Trade Day	Value Day	
Traction Fonder AB (Anlage 3.1)	12.863.000 USD	4.326.776,28 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	22.02.2013	26.02.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	4.318.184,66 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	22.02.2013	26.02.2013	
Traction Fonder AB (Anlage 3.1)	10.696.000 USD	1.298.848,83 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	10.04.2013	12.04.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	1.296.265,41 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	10.04.2013	12.04.2013	
Optimus Fonder AB (Anlage 3.1)	6.614.000 USD	3.770.257 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	15.05.2013	17.05.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	3.762.749,99 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	15.05.2013	17.05.2013	
Optimus Fonder AB (Anlage 3.1)	5.345.000 USD	2.720.961 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	17.06.2013	20.06.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	2.712.910,17 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	17.06.2013	20.06.2013	
Optimus Fonder AB (Anlage 3.1)	7.000.000 USD	4.978.744 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	10.07.2013	12.07.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	4.966.773,78 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	10.07.2013	12.07.2013	
Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	1.000.000 USD	710.504,18 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	08.08.2013	09.08.2013	Optimus Fonder AB (Anlage 3.1)	709.794,18 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	08.08.2013	09.08.2013	
Optimus Fonder AB (Anlage 3.1)	4.321.000 USD	2.645.332,42 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	10.07.2013	12.07.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	2.638.375,61 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	10.07.2013	12.07.2013	
Optimus Fonder AB (Anlage 3.1)	30.000.000 USD	21.934.055,83 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	23.07.2013	25.07.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	21.882.155,83 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	23.07.2013	25.07.2013	
Optimus Fonder AB (Anlage 3.1)	24.354.840 USD	6.083.154 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	14.08.2013	16.08.2013	Solid Venture Capital Ltd.	6.052.726,93 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	14.08.2013	16.08.2013	

Anlage 2.3. Anfrage zur Vermittlung von Finanzinstrumenten:

Die frei von Zahlung erhaltenen Wertpapiere wurden im Kundenauftrag wie folgt verkauft, bzw. gekaufte Wertpapiere wurden wie folgt übertragen (siehe Gesamtaufstellung „Close Brothers Seydler Bank AG, Kundenhandel (Kommissiongeschäft) via HSBC Trinkaus & Burkhardt AG, Düsseldorf“):

Name	Währung	ISIN	Erläuterung
BANC OF AMERICA MTG 2004-L TR. DL-FLR CERTS 2004(35) CL.B-1	USD	US05949AZH66	Siehe 2.3 Anlage 1 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 12.863.000 Buchungstag 22.02.2013
MS ABS CAP.I INC. TR.2003-NC8 DL-FLR CERTS 2003(33) CL.B-3	USD	US61746RDS76	Siehe 2.3 Anlage 2 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 10.696.000 Buchungstag 10.04.2013
LEHMAN MORTGAGE TRUST 2008-6 DL-FLR CERTS 2008(47) CL.B1	USD	US52525FAH64	Siehe 2.3 Anlage 3 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 6.614.000 Buchungstag 14.05.2013
BANC OF AMERICA FDG 2004-1 TR. DL-FLR CERTS 2004(34) CL.B-2	USD	US05946XGH08	Siehe 2.3 Anlage 4 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 5.345.000 Buchungstag 17.06.2013
FIRST NLC TRUST 2005-3 DL-FLR NOTES 2005(35) CL.M-2	USD	US32113JBV61	Siehe 2.3 Anlage 5+6 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 7.000.000 Buchungstag 10.07.2013 Kauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 1.000.000 Buchungstag 08.08.2013

GSAA HOME EQUITY TRUST 2006-6 DL-FLR CERTS 2006(36) CL.AF-7	USD	US362334MZ48	Siehe 2.3 Anlage 7 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 4.321.000 Buchungstag 10.07.2013
STRUCT.ASSET INV.LN TR.2006-4 DL-FLR CERTS 2006(36) CL.A5	USD	US86360WAE21	Siehe 2.3 Anlage 8 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 30.000.000 Buchungstag 23.07.2013
ML ALTERN. NOTE ASSET S.07-A2 DL- FLR CERTS 2007(37) CL.A-3D	USD	US59024FAG90	Siehe 2.3 Anlage 9 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 24.354.840 Buchungstag 14.08.2013

Welche Rolle/ welchen Auftrag hat die Fa. Oddo Seydler in Bezug auf diese Wertpapiere gespielt/ gehabt? Verträge, Emails und andere relevante Unterlagen.

ODDO SEYDLER BANK AG (ehem. Close Brothers Seydler Bank AG) war der Execution Broker („Kundenhandel“).

Angaben zum Auftraggeber, Gesellschaften und Ansprechpartner:

1. Solid Venture Capital Ltd. , London
Ansprechpartner: Emil Amir Ingmansson
2. Optimus Fonder AB (ehem. Traction Fonder AB)
Ansprechpartner: Ulf Deckmark
Jan Eriksson

Weisungsberechtigt zur Erteilung von Aufträgen waren die o.g. Herren.

Vertragspartner (Verkäufer/ Käufer), Gesellschaften und Personen:

Unsere Handelskunden waren die o.g. Gesellschaften.

Die entsprechende Korrespondenz mit dem Käufer bzw. dem Verkäufer entnehmen sie bitte der Anlage 3.1 (Emails, Trade Tickets Bloomberg, etc.).

Dokumentation über sämtliche vermittelten Geschäfte, sowohl Käufe als auch Verkäufe in Form von Verträgen, Prospekten, Aufträgen, E-Mails, usw.

Bitte entnehmen sie die entsprechenden Nachweise der Anlage 2.3. (Depotbank), sowie der Anlage 3.1 (Kundenhandel).

Auskunft/ Dokumentation in Bezug darauf, welchen Preis die Kunden beim Kauf bzw. Verkauf dieser Wertpapiere gezahlt/ erhalten haben.

Bitte entnehmen sie die entsprechenden Nachweise der Anlage 2.3 (Depotbank) sowie der Anlage 3.1 (Kundenhandel).

Auskunft darüber, an/ von welche(n) Konten (IBAN) und Kontoinhaber(n) der gezahlte/ erhaltene Kaufpreis bezahlt wurde.

Die involvierten Konten und Kontoinhaber entnehmen sie bitte der Excel-Gesamtaufstellung.

Auskunft/ Dokumentation in Bezug auf etwaige gezahlte/ erhaltene Provisionen. An/von wen/ wem?

Bitte entnehmen sie die entsprechenden Nachweise der Anlage 3.1 (Kundenhandel).

Wer ist für die „clearing und settlement“ der oben aufgeführten Wertpapiere verantwortlich gewesen?

BNP Paribas Securities Services, Zweigniederlassung Frankfurt, on behalf of Close Brothers Seydler Bank AG.

Wurde DTC für die „clearing und settlement“ benutzt?

Ja.

Es wird um die gesamte Dokumentation zur „clearing und settlement“ in Bezug auf die oben angeführten Instrumente gebeten.

Bitte entnehmen sie die entsprechenden Nachweise der Anlage 2.3.

Wie lautet ihre DTC-Nummer?

DTC 908 – Citibank New York



José Fernandez

From: Carsten Pfersdorf
Sent: Montag, 25. Februar 2013 11:53
To: Depotgeschaeft; riskControl
Cc: Markus Laifle; Stefan Krewinkel
Subject: Depot 900 728

Hallo,

für das Depot 900 728 buchen wir im Verkauf

nom. 12.863.000,- BOAMS 2004-L B1 – US05949AZH66 - zu 37,5000

Preis incl Faktor: USD 33,396671

Accrued Interest: USD 26.666,68

Prov. USD 4.295,81 t/d 22.02. 18:00 s/d 26.02.

Danke, Gruß

Carsten Pfersdorf

Mit freundlichen Grüßen

Carsten Pfersdorf
Sales Trading

We believe in German Mittelstand

- **Best Bookrunner Mittelstandsanleihen 2011 - Bond Magazine**
- **Platz 1 Going Public League Table 2011 für Emissionen von Mittelstandsanleihen nach Anzahl und Volumen**
- **Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX**
- **Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland**

Close Brothers Seydler Bank AG
Registergericht: Frankfurt am Main
Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
Aufsichtsrat: Jonathan Howell (Vorsitzender)
Vorstand: René Parmantier, Holger Gröber

Schillerstr. 27-29
D-60313 Frankfurt am Main

Tel.: +49 (0)69/92054-168
Fax: +49 (0)69/92054-905
Mobile: +49 (0)172/799 83 93
Mail: carsten.pfersdorf@cbseydler.com

nicht ssg meldepflichtig
27.02.13
[Signature]

*** JOURNAL WERTPAPIERE ***

Nr.: 40

ORDERNR./BEREICH GA	KUNDENDEPOT KUNDENNAME	KONTRAHETENDEP. KONTRAHETENNAME	KVNR BÖ	WKN/ISIN GATTUNG	NOMINALE/STÜCKE ABSCHLUß	WÄH ZEIT	KURS VALUTA	WÄH VWA	KURSWERT Ertrag in EUR
50000000000061/0 20 Verkauf	900728 SOLID	951110 BNP PARIBAS	0001	AU BC AMER.MTGE	12.863.000,0000 04-L/04/35	US\$ 22.02.2013	18:00:00	37,5000 26.02 60	US\$ 3.257.859,64 0,00

Aktien									
Zugang	Anzahl:	0	Summe Stücke :	0,0000	Volumen Kaufswert:	0,00	Ertrag:	0,00	
Abgang	Anzahl:	0	Summe Stücke :	0,0000	Volumen Verkaufswert:	0,00	Ertrag:	0,00	
Anleihen									
Zugang	Anzahl:	0	Summe Nominale:	0,0000	Volumen Kaufswert:	0,00	Ertrag:	0,00	
Abgang	Anzahl:	1	Summe Nominale:	12.863.000,0000	Volumen Verkaufswert:	3.257.859,64	Ertrag:	0,00	
sonstige Wertpapiere									
Zugang	Anzahl:	0	Summe Nominale:	0,0000	Volumen Kaufswert:	0,00	Ertrag:	0,00	
Abgang	Anzahl:	0	Summe Nominale:	0,0000	Volumen Verkaufswert:	0,00	Ertrag:	0,00	
Gesamt	Anzahl:	1					Ertrag:	0,00	
Geschäfte aus SN-Depot-Verknüpfung:									
	davon	0	im Bereich 0				Ertrag:	0,00	
	davon	0	im Bereich 2				Ertrag:	0,00	

Kontrolliert hinsichtlich:
 - Marktgerechtigkeit der Kurse

27.02.13 

 Datum KONTROLLE

 Datum KONTROLLE

Fup bilaga 3

125

①

TRADE CONFIRMATION

Date: 10/04/13

Client: Solid Venture Capital Ltd. 300728
Confirmation Text: Depot #2915397
Reference No.: 212540

We confirm your Sell

Security Name: MS ABS CAP.I INC. TR.2003-NC8 DL-FLR CERTS 2003(33) CL.B-3
ISIN: US61746RDS76
Currency: USD
Nominal: 10,696,000
Trade Price: USD 12.07656000
Commission: USD 1,291.71
Local Tax:
Net Price: USD 12.11916100
Net Amount: USD 1,296,265.41
Exchange:
Trade Day: 10/04/13
Value Day: 12/04/13
Trade Time: 14:45
Trader: pfersdca
Principal Amount: USD 1,291,708.86
Interest Days: 18
Accrued Amount: USD 5,848.26

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)
Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"



SENDEBERICHT

②

Name: CBSEYDLER BANK AG

Nummer : 06992054915

Datum: 11-04-13 08:36

Datum/Zeit	11-04 8:35
Gewählte Nr.	0042180709698
Gegenstelle	+49 69 7193 849537
Dauer	0'35"
Auf l	NORMAL
Seite	1
Ergebnis	Korrekt

Close Brothers Seydler Bank AG	Close Brothers Seydler Bank AG Schillerstraße 27-29 60313 Frankfurt am Main	
	TRADE CONFIRMATION	
Date: 10/04/13		
Client:	Solid Venture Capital Ltd. 300+28	Depot # 2915397
Confirmation Text:		
Reference No.:	212540	
We confirm your Sell		
Security Name:	MS ABS CAP.I INC. TR.2003-NC8 DL-FLR CERTS 2003(33) CL.B-3	
ISIN:	US61746RDS76	
Currency:	USD	
Nominal:	10,696,000	Principal Amount: USD 1,291,708.86
Trade Price:	USD 12.07656000	Interest Days: 18
Commission:	USD 1,291.71	Accrued Amount: USD 5,848.26
Local Tax:		
Net Price:	USD 12.11916100	
Net Amount:	USD 1,296,265.41	
Exchange:		
Trade Day:	10/04/13	
Value Day:	12/04/13	
Trade Time:	14:45	
Trader:	plersdca	
Our Settlement Instructions: BBH, New York BBHCUS33 DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients		
Your Settlement Instruction: Clearstream Banking S.A., Luxembourg CEDELULLXXX s/c 63359 BNP Paribas (BIC: PARBDEFF) Citibank, New York DTC-acc. 908 RCVR-ACCT: "089164 CSC63359"		
		
<small>Contact: Trade Operations Phone: +49 (0)69 92054-850 Fax: +49 (0)69 92054-915 E-Mail: top@cbseydler.com</small>		

2

Andreas Franz

From: Carsten Pfersdorf
Sent: Mittwoch, 10. April 2013 15:17
To: Depotgeschaeft; riskControl
Cc: Markus Laifle; Stefan Krewinkel
Subject: Depot 900 728

Hallo,

für das Depot 900 728 buchen wir im Verkauf

nom. 10.696.000,- MSAC 2003-NC8 B3 – US61746RDS76 - zu 64,375

Preis incl Faktor: USD 12,07656

Accrued Interest: USD 5.848,26

Prov. USD 1.291,71 t/d 10.04. 14:45 s/d 12.04.

Danke, Gruß

Carsten Pfersdorf

OTC Kauftrag az BWR
verschickt 11.04.13

Mit freundlichen Grüßen

Carsten Pfersdorf
Sales Trading

We believe in German Mittelstand

- **Best Bookrunner Mittelstandsanleihen 2011 - Bond Magazine**
- **Platz 1 Going Public League Table 2011 für Emissionen von Mittelstandsanleihen nach Anzahl und Volumen**
- **Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX**
- **Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland**

Close Brothers Seydler Bank AG
Registergericht: Frankfurt am Main
Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
Aufsichtsrat: Jonathan Howell (Vorsitzender)
Vorstand: René Parmantier, Holger Gröber

Schillerstr. 27-29
D-60313 Frankfurt am Main

Tel.: +49 (0)69/92054-168
Fax: +49 (0)69/92054-905
Mobile: +49 (0)172/799 83 93
Mail: carsten.pfersdorf@cbseydler.com

TRADE CONFIRMATION

Date: 15/05/13

Client: Solid Venture Capital Ltd.
Confirmation Text:
Reference No.: 220676

Verkauf
#2915397

We confirm your Sell

Security Name: LEHMAN MORTGAGE TRUST 2008-6 DL-FLR CERTS 2008(47) CL.B1
ISIN: US52525FAH64
Currency: USD
Nominal: 6,614,000
Trade Price: USD 58.50000000 Principal Amount: USD 3,753,499.63
Commission: USD 3,753.50 Interest Days: 16
Local Tax: Accrued Amount: USD 13,003.86
Net Price: USD 58.64417100
Net Amount: USD 3,762,749.99
Exchange:
Trade Day: 15/05/13
Value Day: 17/05/13
Trade Time: 09:32
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"
Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)

M. G. [Signature] *S. [Signature]*

BELEGN	DEPOT INHABER Erfasser Freigeber	GA VS	WKN ISIN	UMSATZ	E/A-DAT SPA	VWA SPERRE	SO GEB KONTO	WERT	GNR GEBÜHR	DBC-NR KURS
244/6	900728 SOLID MIRBACH KOESTER	14 J	ALHKS8 US52525FAH64	6.614.000,00000	14.05.13	60	6			

DTC 0075, ABS Investment Group LLC, acc.7395-4378
TD/VD 08.05.2013

[Handwritten signature] 15.5.13

*** SENDEBERICHT ***

Name: CBSEYDLER BANK AG

Nummer : 06992054915

Datum: 15-05-13 15:42

Datum/Zeit	15-05 15:42
Gewählte Nr.	07193849537 034=BNP NEUKUNDE 0T34
Gegenstelle	+49 69 7193 849537
Dauer	0' 28"
Auf l	NORMAL
Seite	1
Ergebnis	Korrekt

Close Brothers Seydler Bank AG
Schillerstraße 27-29
60313 Frankfurt am Main

TRADE CONFIRMATION

Date: 15/05/13

Client: Solid Venture Capital Ltd.
Confirmation Text: 220676
Reference No.: 220676

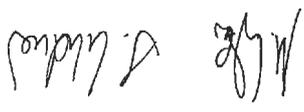
Vertraut #2945397

We confirm your Sell

Security Name: LEHMAN MORTGAGE TRUST 2008-6-DL-FLR CERTS 2008(47) CLB1
ISIN: US52525FAH64
Currency: USD
Normal: 6,614,000
Trade Price: USD 58,50000000
Commission: USD 3,753,50
Local Tax: USD 58,64417100
Net Price: USD 3,752,749,99
Exchange: USD 3,752,749,99
Trade Day: 15/05/13
Value Day: 17/05/13
Trade Time: 09:32
Trader: pfsdca

Our Settlement Instructions:
BBH, New York
BBHCU533
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instructions:
Citibank, New York
DTC-acc. 908
RCVR-ACCT: 089154 CSC62359
Clearstream Banking S.A., Luxembourg
CEDELULXXXX
sic 62359 BNP Paribas (BIC: PARBDEF3)


 Contact/Trade Operations Phone:+49 (0)69 92054-850 Fax:+49 (0)69 92054-915 E-Mail:top@cbseydler.com

Andreas Franz

From: Markus Laifle
Sent: Mittwoch, 15. Mai 2013 12:53
To: Depotgeschaeft; riskControl
Cc: Carsten Pfersdorf; Stefan Krewinkel
Subject: Depot 900 728

Hallo,

für das Depot 900 728 buchen wir im Verkauf

nom. 6.614.000,- Lehman MTG TR – US52525FAH64 - zu 58,50 USD

Accrued Interest: USD 13.003,86

Prov. USD 3.753,50 t/d 15.05. 09:32 s/d 17.05.

Danke, Gruß

Markus

Mit freundlichen Grüßen / With best regards

Markus Laifle
Sales Trading

We believe in German Mittelstand

- *Winner 2012 Best German SME House – Capital Markets Daily Portal*
- *Top Stock Picker 2012 – Thomson Reuters Starmine Ranking in sector machinery (pan-European)*
- *Best Bookrunner Mittelstandsanleihen 2011 – Bond Magazine*
- *Platz 1 Going Public League Table 2011 für Emissionen von Mittelstandsanleihen nach Anzahl und Volumen*
- *Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX*
- *Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland*

Close Brothers Seydler Bank AG
Registergericht: Frankfurt am Main
Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
Aufsichtsrat: Jonathan Howell (Vorsitzender)
Vorstand: René Parmantier, Holger Gröber

Schillerstrasse 27 - 29
60313 Frankfurt

Tel.: +49 (0) 69 / 92054 - 120
Fax: +49 (0) 69 / 92054 - 905
Mobile: +49 (0)172/7296675

www.cbseydler.com

TRADE CONFIRMATION

Date: 17/06/13

Client:	Solid Venture Capital Ltd.	<i>Verkauf</i> <i>*2915397</i>
Confirmation Text:		
Reference No.:	229753	

We confirm your Sell

Security Name:	BANC AMERICA FDG CORP. 2004-1 DL-FLR CERTS 2004(34) CL.B-2	
ISIN:	US05946XGH08	
Currency:	USD	
Nominal:	5,345,000	
Trade Price:	USD 50.62453800	Principal Amount: USD 2,705,881.56
Commission:	USD 5,345.00	Interest Days: 19
Local Tax:		Accrued Amount: USD 12,373.61
Net Price:	USD 50.75603700	
Net Amount:	USD 2,712,910.17	
Exchange:		<i>Poolfaktor 0,73368895</i> <i>Kurs ohne Poolfaktor: 69,-</i> <i>Kurs incl. Poolfaktor: 50,624538</i>
Trade Day:	17/06/13	
Value Day:	20/06/13	
Trade Time:	09:00	
Trader:	pfersdca	

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

*Aus techn. Gründen rechnet DECIDE
den Poolfaktor nicht automatisch ein.
Daher ist im Kurs 50,624538 der
Poolfaktor eingerechnet.*

18.06.13

Your Settlement Instruction:

Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"
Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)

[Signature]
Lindner

4

SENDEBERICHT

Name : CBSEYDLER BANK AG

Nummer : 06992054915

Datum : 18-06-13 15:18

Datum/Zeit	18-06 15:18
Gewählte Nr.	07193849537 034=BNP NEUKUNDE 0T34
Gegenstelle	+49 69 7193 849537
Dauer	0'31"
Auf l	NORMAL
Seite	1
Ergebnis	Korrekt

Close Brothers Seydler Bank AG Close Brothers Seydler Bank AG
Schillerstraße 27-29
60313 Frankfurt am Main

TRADE CONFIRMATION

Date: 17/06/13

Client:	Solid Venture Capital Ltd.	<i>Verkauf</i>
Confirmation Text:		<i>*2915397</i>
Reference No.:	229753	

We confirm your Sell

Security Name:	BANC AMERICA FDG CORP. 2004-1, DL-FLR CERTS 2004(34) CL.B-2	
ISIN:	US05946XGH08	
Currency:	USD	
Nominal:	5,345,000	Principal Amount: USD 2,705,881.56
Trade Price:	USD 50,62453800	Interest Days: 19
Commission:	USD 5,345.00	Accrued Amount: USD 12,373.61
Local Tax:		
Net Price:	USD 50.75603700	
Net Amount:	USD 2,712,910.17	
Exchange:		<i>Poolfaktor 0,73368895</i>
Trade Day:	17/06/13	<i>Kurs ohne Poolfaktor: 69,-</i>
Value Day:	20/06/13	<i>Kurs incl. Poolfaktor: 50,624538</i>
Trade Time:	09:00	
Trader:	plersdca	

Our Settlement Instructions:
BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Aus techn. Gründen rechnet SECIDE den Poolfaktor nicht automatisch ein. Daher ist im Kurs 50,624538 der Poolfaktor eingerechnet.
18.06.13

Your Settlement Instruction:
Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"
Clearstream Banking S.A., Luxembourg
CEDELUL1 XXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)

M. H. ... Lindner

Contact: Trade Operations Phone: +49 (0)69 92054-850 Fax: +49 (0)69 92054-915 E-Mail: top@cbseydler.com

TRAN: WSIS FC: GE SB: I#US05946XGH08##

4

W S S ----- ANZEIGE STAMMDATEN TILGUNG ----- SEITE: 15 ---
US05946XGH08 5,978407 BC AMER.FDG.04-1 2034 FLR 25.01.1M AKV DL
WKN A1HMBW
TILGUNGSART TILG.A.ST/UNBE.RATEN AUSLOSUNGSdatum/-FRIST /
RHYTHMUS UNGLEICHE TILG.RATE RICKKAUF
ERSTER TILG.TERMIN MINDEST-EINL\S.KURS
LETZTER TILG.TERMIN 25.03.2034 - WRG / PROZENT
BEWERTUNGSTAG SCHULDNER-KINDIG.
ANZ.RATEN/ANNUITØT / GLØUBIG.-KINDIG.
VERSTØRKTE TILG.
- AB SONDER-KINDIG. Unter Einschr{nkung
KNOCK-OUT ART PROLONG.
-DATUM GLØUBIG.PROL. BIS
-ZAHLG. RESTWERT SCHULDNER.PR. BIS
FØLLIGKEIT GESAMTK. VORLEG.FRIST JAHRE
ERWARTETE FØLLIGKEIT
POOL-/UMR.FAKTOR 0,73368895 TILGUNGSRISEKEN 99 Keine Informationen
ZINSRISEKEN 99 Keine Informationen
GUELTIG AB 14.06.2013 BIS 9999999999
-- ID-KZ: 7626000042 -- PW: ----- B7890THD -- 17/06/13 -- 16:52:15 --
WS1920I HISTORISCHE STAMMDATEN VORHANDEN: PF9
WS1100I WEITERE DATEN VORHANDEN: PF8

*** SENDEBERICHT ***

4

Name: CBSEYDLER BANK AG

Nummer : 06992054915

Datum: 17-06-13 16:55

Datum/Zeit	17-06 16:55
Gewählte Nr.	07193849537 034=BNP NEUKUNDE 0T34
Gegenstelle	+49 69 7193 849537
Dauer	0'42"
Auf l	NORMAL
Seite	2
Ergebnis	Korrekt

Close Brothers Seydler Bank AG
Schillerstraße 27-29
60313 Frankfurt am Main

TRADE CONFIRMATION

Date: 17/06/13

Client: Solid Venture Capital Ltd.
Confirmation Text: *Krauf*
Reference No.: 229753

We confirm your Sell

Security Name:	BANC AMERICA FDG CORP. 2004-1 DL-FLR CFRTS 2004(34) CL-B-2
ISIN:	US05046XCH08
Currency:	USD
Nominal:	5,345,000
Trade Price:	USD 50.62453800
Commission:	USD 5,345,00
Local Tax:	
Net Price:	USD 50.75603700
Net Amount:	USD 2,712,910.17
Exchange:	17/06/13
Trade Day:	20/06/13
Value Day:	09:00
Trade Time:	plrsdca

Principal Amount: USD 2,705,281.56
Interest Days: 19
Accrued Amount: USD 12,379.61

Handwritten: Receipt for 0,13368895

Handwritten: M. Krauf

Handwritten: Kunden

Our Settlement Instructions: BBH, New York
BBHUS33
DTC 0010, AgemID 10419, ACC, 2006112 HSBC RE NCM Clients

Your Settlement Instruction: Citibank, New York
DTC-acc, 908
Rcvr-ACCT: "089154 CSC63389"
Clearstream Banking S.A., Luxembourg
CEDELULXXXX
s/c 63359 BNP Paribas (BIC: PARBDEF3)

Contact/Trade Operations Phone:+49 (0)69 92054-850 Fax:+49 (0)69 92054-915 E-Mail:top@cbseydler.com

*** SENDEBERICHT ***

4

Name: CBSEYDLER BANK AG

Nummer : 06992054915

Datum: 17-06-13 16:02

Datum/Zeit	17-06 16:02
Gewählte Nr.	07193849537 034=BNP NEUKUNDE 0T34
Gegenstelle	+49 69 7193 849537
Dauer	0' 27"
Aufl	NORMAL
Seite	1
Ergebnis	Korrekt

Close Brothers Seydler Bank AG
Schillerstraße 27-29
60313 Frankfurt am Main

TRADE CONFIRMATION

Date: 17/06/13

Client: Solid Venture Capital Ltd. *Verkauf*

Confirmation Text: **2915397*

Reference No.: 229753

We confirm your Sell

Security Name: BANC AMERICA FDS CORP. 2004-1 DL-FLR CERTS 2004(34) CLB-2
ISIN: US05946XGJ08
Currency: USD
Nominal: 5,345,000
Trade Price: USD 50.624529800
Commission: USD 5,345.00
Local Tax: USD 5,345.00
Net Price: USD 50.75603700
Net Amount: USD 2,712,910.17
Exchange: 17/06/13
Trade Day: 20/06/13
Value Day: 09:00
Trade Time: 09:00
Trader: pferds

Our Settlement Instructions:
BBH, New York
BHCHUS33
DTC 0010, AgentID 10419, ACC, 2006112 HSBC RE NCM Clients

Milke

Gindler

Your Settlement Instructions:
Cibbank, New York
DTC-acc, 908
Rcvr-Acct: 009152 CSC63359
Clearstream Banking S.A., Luxembourg
CEDELULXXX
sic 63359 BNP Paribas (BIC: PARDEF33)

Contact: Trade Operations Phone: +49 (0)69 92054-850 Fax: +49 (0)69 92054-915 E-Mail: topp@cbseydler.com

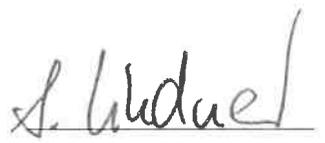
account	B/S	ISIN/WKN	quantity	price	currency	broker fees	settlement amount	trade time	trade date	settlement date	accrued int.	acc. days	counterparty	market	sec.name
2915397	S	US32113JBV61	7.000.000,00	71,0000	USD	7000,00	4.966.773,78	14:44	10.07.13	12.07.13	3.773,78	16	DTC	US	FIRST NLC TRUST 2035
2915397	S	US362334MZ48	4.321.000,00	61,0000	USD	4321,00	2.638.375,61	14:45	10.07.13	12.07.13	6.886,61	10	DTC	US	GSAA HOME EQUITY TRUST 2036

11.321.000,0000 <- check sum ->

7.605.149,3900



Markus Keßler



Ilona Lindner

Fup bilaga 3

138

S
+7

Stefania Ruhnke

From: Carsten Pfersdorf
Sent: Mittwoch, 10. Juli 2013 14:47
To: Depotgeschaeft; riskControl
Cc: Markus Laifle; Stefan Krewinkel
Subject: RE: Depot 900 728

s/d für beide trades wird 12.07. sein
 rest bleibt unberührt

Gruss
 Carsten

Wertpapier
 Journal aus dem
 DirectArchiv fehlt.
 11.07.-SR

From: Carsten Pfersdorf
Sent: Mittwoch, 10. Juli 2013 11:04
To: Depotgeschaeft; riskControl
c: Markus Laifle; Stefan Krewinkel
Subject: Depot 900 728

Hallo,

für das Depot 900 728 buchen wir im Verkauf

1.) nom. 7.000.000,- FNLC 2005-3 M2 – US32113JBV61 – zu USD 71,00

Accrued Interest: USD 3.773,78

Prov. USD 7.000,- t/d 10.07. 11:00 s/d 11.07.

2.) nom. 4.321.000,- GSAA 2006-6 AF7 – US362334MZ48 – zu USD 61,00

Accrued Interest: USD 6.886,61

Prov. USD 4.321,- t/d 10.07. 11:00 s/d 11.07.

Danke, Gruß

Carsten Pfersdorf

Mit freundlichen Grüßen

Carsten Pfersdorf
 Sales Trading

We believe in German Mittelstand

7

TRADE CONFIRMATION

Date: 10/07/13

Client:	Solid Venture Capital Ltd.	<i>Verkauf</i>
Confirmation Text:		<i>Depot # 2915397</i>
Reference No.:	235662	

We confirm your Sell

Security Name:	GSAA HOME EQUITY TRUST 2006-6 DL-FLR CERTS 2006(36) CL.AF-7		
ISIN:	US362334MZ48		
Currency:	USD		
Nominal:	4,321,000		
Trade Price:	USD 61.00000000	Principal Amount:	USD 2,635,810.00
Commission:	USD 4,321.00	Interest Days:	10
Local Tax:		Accrued Amount:	USD 6,886.61
Net Price:	USD 61.05937500		
Net Amount:	USD 2,638,375.61		
Exchange:			
Trade Day:	10/07/13		
Value Day:	12/07/13		
Trade Time:	14:45		
Trader:	pfersdca		

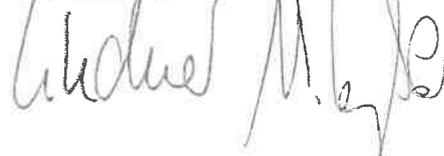
Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"
Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)

 Close Brothers Seydler
Bank AG



S+7

*** SENDEBERICHT ***

Name: CBSEYDLER BANK AG

Nummer : 06992054915

Datum: 10-07-13 16:25

Datum/Zeit	10-07 16:24
Gewählte Nr.	07193849537 034=BNP NEUKUNDE 0T34
Gegenstelle	+49 69 7193 849537
Dauer	0'45"
Auf l	NORMAL
Seite	2
Ergebnis	Korrekt

Close Brothers Seydler
Bank AG
Schillerstraße 27-29
60313 Frankfurt am Main

TRADE CONFIRMATION

Date: 10/07/13

Client: Solid Venture Capital Ltd.
Confirmation Text: *Verkauf Depot # 2915397*
Reference No.: 23562

We confirm your Sell

Security Name: GSAH HOME EQUITY TRUST 2006-6 DL-PLR CERTS 2006(36) CLAF-7
ISIN: US362334M248
Currency: USD
Nominal: 4,321,000
Trade Price: USD 61,00000000
Principal Amount: USD 2,635,810,00
Interest Days: 10
Accrued Amount: USD 6,886,61
Local Tax:
Net Price: USD 61,05937500
Net Amount: USD 2,638,375,61
Exchange:
Trade Day: 10/07/13
Value Day: 12/07/13
Trade Time: 14:45
Trader: plesda

Our Settlement Instructions:
BBH, New York
BBHCU33
DTC 0010, AgentID 10419, ACC, 2006112 HSBC RE NCM Clients

Your Settlement Instructions:
Citibank, New York
DTC-acc, 908
RCVR-ACCT: "089154 CSC63358"
Clearstream Banking S.A., Luxembourg
CEDELULXXX
sic 63359 BNP Paribas (BIC: PARBDEF3)

Contact/Trade Operations Phone:+49 (0)69 92054-850 Fax:+49 (0)69 92054-915 E-Mail:top@cbseydler.com

0421 20709698

6

**Close Brothers Seydler
Bank AG**

Close Brothers Seydler Bank AG
Schillerstraße 27-29
60313 Frankfurt am Main

TRADE CONFIRMATION

Date: 08/08/13

Client:	Solid Venture Capital Ltd.	<i>Kauf</i> <i>Depot: 2915397</i>
Confirmation Text:		
Reference No.:	243024	

We confirm your Buy

Security Name:	FIRST NLC TRUST 2005-3 DL-FLR CERTS 2005(35) CL.M-2	
ISIN:	US32113JBV61	
Currency:	USD	
Nominal:	1,000,000	
Trade Price:	USD 71.00000000	Principal Amount: USD 710,000.00
Commission:		Interest Days: 15
Local Tax:		Accrued Amount: USD 504.18
Net Price:	USD 71.05041800	
Net Amount:	USD 710,504.18	
Exchange:		
Trade Day:	08/08/13	
Value Day:	09/08/13	
Trade Time:	10:00	
Trader:	pfersdca	

<p>Our Settlement Instructions: BBH, New York BBHCUS33 DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients</p>	<p>Close Brothers Seydler Bank AG SCHILLERSTRASSE 27-29 60313 FRANKFURT TEL. 069 / 92054-0 FAX: 069 / 92054-920</p>
<p>Your Settlement Instruction: Citibank, New York DTC-acc. 908 RCVR-ACCT: "089154 CSC63359" Clearstream Banking S.A., Luxembourg CEDELULLXXX s/c 63359 BNP Paribas (BIC: PARBDEFF)</p>	

*** SENDEBERICHT ***

6

Name: CBSEYDLER BANK AG

Nummer : 06992054915

Datum: 08-08-13 10:36

Datum/Zeit	8-08 10:36
Gewählte Nr.	0042180709698
Gegenstelle	+49 69 7193 849537
Dauer	0'37"
Aufl	NORMAL
Seite	1
Ergebnis	Korrekt

0421 80709698

Close Brothers Seydler Bank AG Close Brothers Seydler Bank AG
Schillerstraße 27-29
60313 Frankfurt am Main

TRADE CONFIRMATION Date: 08/08/13

Client:	Solid Venture Capital Ltd.	
Confirmation Text:		<i>Kauf</i>
Reference No.:	243024	<i>Depot: 2815397</i>

We confirm your Buy

Security Name:	FIRST NLC TRUST 2005-3 DL-FLR CERTS 2005(35) CL.M-2	
ISIN:	US32113JBV61	
Currency:	USD	
Nominal:	1,000,000	Principal Amount: USD 710,000.00
Trade Price:	USD 71.00000000	Interest Days: 15
Commission:		Accrued Amount: USD 504.18
Local Tax:		
Net Price:	USD 71.05041800	
Net Amount:	USD 710,504.18	
Exchange:		
Trade Day:	08/08/13	
Value Day:	09/08/13	
Trade Time:	10:00	
Trader:	pferstdca	

Our Settlement Instructions:
 BBH, New York
 BBHCUS33
 DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Close Brothers Seydler Bank AG
 Schillerstraße 27-29
 60313 Frankfurt
 Tel: +49 (0)69 92054-915
 Fax: +49 (0)69 92054-916

Your Settlement Instruction:
 Citibank, New York
 DTC-acc. 908
 RCVR-ACCT: "089154 CSC63359"
 Clearstream Banking S.A., Luxembourg
 CEDELULLXXX
 s/c 63359 BNP Paribas (BIC: PARBDEFF)

Contact: Trade Operations Phone: +49 (0)69 92054-850 Fax: +49 (0)69 92054-915 E-Mail: top@cbseydler.com

Dana Benz-Fischer

6

From: Carsten Pfersdorf
Sent: Donnerstag, 8. August 2013 10:09
To: Depotgeschaeft; riskControl
Cc: Markus Laifle; Stefan Krewinkel
Subject: Depot 900 728

Guten Morgen,

für das Depot 900 728 buchen wir im Kauf

nom. 1.000.000 – FNLC 2005-3 M2 – US32113JBV61 zu USD 71,-

Accrued Interest: USD 504,18

Prov. USD --- t/d 08.08 10:00 s/d 09.08.

Danke, Gruß

Carsten Pfersdorf

Mit freundlichen Grüßen

Carsten Pfersdorf
Sales Trading

We believe in German Mittelstand

- **Best Bookrunner Mittelstandsanleihen 2011 - Bond Magazine**
- **Platz 1 Going Public League Table 2011 für Emissionen von Mittelstandsanleihen nach Anzahl und Volumen**
- **Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX**
- **Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland**

Close Brothers Seydler Bank AG
Registergericht: Frankfurt am Main
Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
Aufsichtsrat: Jonathan Howell (Vorsitzender)
Vorstand: René Parmantier, Holger Gröber

Schillerstr. 27-29
D-60313 Frankfurt am Main

Tel.: +49 (0)69/92054-168
Fax: +49 (0)69/92054-905
Mobile: +49 (0)172/799 83 93
Mail: carsten.pfersdorf@cbseydler.com

8

*** SENDEBERICHT ***

Name: CBSEYDLER BANK AG

Nummer : 06992054915

Datum: 24-07-13 12:55

Datum/Zeit	24-07 12:55
Gewählte Nr.	07193849537 034=BNP NEUKUNDE 0T34
Gegenstelle	+49 69 7193 849537
Dauer	0'29"
Auf l	NORMAL
Seite	1
Ergebnis	Korrekt

*** Bald auswechseln: Toner

Close Brothers Seydler Bank AG
Schillerstraße 27-29
60313 Frankfurt am Main

TRADE CONFIRMATION

Client: Solid Venture Capital Ltd.
Confirmation Text: *Verkauf*
Reference No.: 228599
Date: 23/07/13

We confirm your Sell

Security Name: STRUOT,ASSET INV/LN TR 2006-4 DL-FLR CERTS 2006(36) CLAS
ISIN: US86360WAE21
Currency: USD
Nominal: 30,000,000
Trade Price: USD 73,000,000,000
Commission: USD 20,000,000
Local Tax: USD 21,892,155.83
Net Price: USD 72,945,190
Net Amount: USD 21,892,155.83
Exchänge: 23/07/13
Trade Day: 25/07/13
Value Day: 08:20
Trader: pfsdca

Our Settlement Instructions:
BBH, New York
BBHCU33
DTC 0010, AgentID 10419, ACC, 2006112 HSBC RE NCM Clients

Your Settlement Instructions:
Citibank, New York
DTC-acct, 908
RCVR-ACCT: 1089184 CSC63359
Clearstream Banking SA, Luxembourg
CEDELULLXXX
sic 63359 BNP Paribas (BIC: PARBDEF)

Contact: Trade Operations Phone: +49 (0)69 92054-850 Fax: +49 (0)69 92054-915 E-Mail: top@cbseydler.com

8

Andreas Franz

From: Carsten Pfersdorf
Sent: Dienstag, 23. Juli 2013 08:28
To: Depotgeschaeft; riskControl
Cc: Markus Laifle; Stefan Krewinkel
Subject: Depot 900 728

Guten Morgen,

für das Depot 900 728 buchen wir im Verkauf

nom. 30.000.000 – SAIL 2006-4 A5 – US86360WAE21 zu USD 73,-

Accrued Interest: USD 12.155,83

Prov. USD 30.000,- t/d 23.07 08:20 s/d 25.07.

Danke, Gruß

Carsten Pfersdorf

Mit freundlichen Grüßen

Carsten Pfersdorf
Sales Trading

We believe in German Mittelstand

- **Best Bookrunner Mittelstandsanleihen 2011 - Bond Magazine**
Platz 1 Going Public League Table 2011 für Emissionen von Mittelstandsanleihen nach Anzahl und Volumen
- **Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX**
- **Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland**

Close Brothers Seydler Bank AG
Registergericht: Frankfurt am Main
Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
Aufsichtsrat: Jonathan Howell (Vorsitzender)
Vorstand: René Parmantier, Holger Gröber

Schillerstr. 27-29
D-60313 Frankfurt am Main

Tel.: +49 (0)69/92054-168
Fax: +49 (0)69/92054-905
Mobile: +49 (0)172/799 83 93
Mail: carsten.pfersdorf@cbseydler.com

0421 807 096 88

**Close Brothers Seydler
Bank AG**

Close Brothers Seydler Bank AG
Schillerstraße 27-29
60313 Frankfurt am Main

Handwritten marks and a '9' in the top right corner.

TRADE CONFIRMATION

Date: 15/08/13

Client:	Solid Venture Capital Ltd.	<i>Verkauf</i>
Confirmation Text:		
Reference No.:	244699	<i>Depot: 2915397</i>

We confirm your Sell

Security Name:	ML ALTERN. NOTE ASSET S.07-A2 DL-FLR CERTS 2007(37) CL.A-3D		
ISIN:	US59024FAG90		
Currency:	USD		
Nominal:	24,354,840		
Trade Price:	USD 24.93061500	Principal Amount:	USD 6,071,811.39
Commission:	USD 24,354.84	Interest Days:	22
Local Tax:		Accrued Amount:	USD 5,270.38
Net Price:	USD 24.85225500		
Net Amount:	USD 6,052,726.93		
Exchange:			
Trade Day:	14/08/13		
Value Day:	16/08/13		
Trade Time:	17:30		
Trader:	laiflema		

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

**Close Brothers Seydler
Bank AG**

SCHILLERSTRASSE 27-29
60313 FRANKFURT
TEL.: 069/92054-0
FAX: 069/92054-920

Your Settlement Instruction:

Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"
Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)

Handwritten signature over the bank contact information.

*** SENDEBERICHT ***

Name: CBSEYDLER BANK AG

Nummer : 06992054915

Datum: 15-08-13 11:35

Datum/Zeit	15-08 11:34
Gewählte Nr.	0042180709698
Gegenstelle	+49 69 7193 849537
Dauer	0' 36"
Auf l	NORMAL
Seite	1
Ergebnis	Korrekt

0421 807 096 98

Close Brothers Seydler Bank AG Close Brothers Seydler Bank AG
Schillerstraße 27-29
60313 Frankfurt am Main

TRADE CONFIRMATION Date: 15/08/13

Client:	Solid Venture Capital Ltd.	<i>Verkauf</i>
Confirmation Text:		
Reference No.:	244699	<i>Depot: 2915397</i>

We confirm your Sell

Security Name:	ML ALTERN. NOTE ASSET S.07-A2 DL-FLR CERTS 2007(37) C.L.A.-3D		
ISIN:	US59024FAG90		
Currency:	USD		
Nominal:	24,354,840	Principal Amount:	USD 6,071,811.39
Trade Price:	USD 24.93061500	Interest Days:	22
Commission:	USD 24,354.84	Accrued Amount:	USD 5,270.38
Local Tax:			
Net Price:	USD 24.85225500		
Net Amount:	USD 6,052,726.93		
Exchange:			
Trade Day:	14/08/13		
Value Day:	15/08/13		
Trade Time:	17:30		
Trader:	lalflera		

Our Settlement Instructions:
BBM, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Close Brothers Seydler Bank AG
SCHILLERSTRASSE 27-29
60313 FRANKFURT
TEL.: 069 92054-0
FAX: 069 92054-999

Handwritten signature: [Signature]

Your Settlement Instruction:
Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC83358"
Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)

Contact: Trade Operations Phone: +49 (0)69 92054-850 Fax: +49 (0)69 92054-915 E-Mail: top@cbseydler.com

*** JOURNAL WERTPAPIERE ***

Nr.: 159

ORDERNR./BEREICH GA	KUNDENDEPOT KUNDENNAME	KONTRAHETENDEP. KONTRAHETENNAME	KVNR BÖ	WKN/ISIN GATTUNG	NOMINALE/STÜCKE ABSCHLUSS	WÄH ZEIT	KURS VALUTA	WÄH VWA	KURSWERT Ertrag in EUR
50000000000219/0 20 Verkauf	900728 SOLID	951110 BNP PARIBAS	0001 AU	A1HPZX ML ALTERN.N.A.07-A2 07/	24.354.840,0000 14.08.2013	US\$ 17:30:00	34,5000 16.08	US\$ 60	4.584.921,42 0,00

Aktien									
Zugang	Anzahl:	0	Summe Stücke :	0,0000	Volumen Kaufswert:		0,00	Ertrag:	0,00
Abgang	Anzahl:	0	Summe Stücke :	0,0000	Volumen Verkaufswert:		0,00	Ertrag:	0,00
Anleihen									
Zugang	Anzahl:	0	Summe Nominale:	0,0000	Volumen Kaufswert:		0,00	Ertrag:	0,00
Abgang	Anzahl:	1	Summe Nominale:	24.354.840,0000	Volumen Verkaufswert:	4.584.921,42		Ertrag:	0,00
sonstige Wertpapiere									
Zugang	Anzahl:	0	Summe Nominale:	0,0000	Volumen Kaufswert:		0,00	Ertrag:	0,00
Abgang	Anzahl:	0	Summe Nominale:	0,0000	Volumen Verkaufswert:		0,00	Ertrag:	0,00
Gesamt	Anzahl:	1						Ertrag:	0,00
Geschäfte aus SN-Depot-Verknüpfung:								Ertrag:	0,00
davon	0 im Bereich 0							Ertrag:	0,00
davon	0 im Bereich 2							Ertrag:	0,00

Kontrolliert hinsichtlich:
 - Marktgerechtigkeit der Kurse

PF: 0,7226265270

16.08.13
 Datum

[Handwritten Signature]
 KONTROLLE

 Datum

 KONTROLLE

[Handwritten marks]

Dana Benz-Fischer

From: Markus Laifle
Sent: Donnerstag, 15. August 2013 10:52
To: Depotgeschaeft
Cc: riskControl; Trade Operations Mailbox; Carsten Pfersdorf
Subject: Depot 900728

Hallo,

für das o.a. Depot buchen wir im Verkauf

nom. 24.354.840 ISIN US59024FAG90 mit Kurs USD 34,50

Faktor 0,7226265270 ergibt Kurs 24,930615, , accrued interest USD 5270,38 ,

Commission USD 24354,84

t/d 14.08. 17:30 s/d 16.08.

Danke und Gruß

Markus Laifle

Mit freundlichen Grüßen / With best regards

Markus Laifle
Sales Trading

We believe in German Mittelstand

- *Top 10 Brokers Europe – Wall Street Journal Europe 2013*
- *Winner 2012 Best German SME House – Capital Markets Daily Portal*
- *Best Bookrunner Mittelstandsanleihen 2011 und 2012 – BOND MAGAZINE*
- *Top Stock Picker 2012 – Thomson Reuters Starmine Ranking in sector machinery (pan-European)*
- *Platz 1 Going Public League Table 2011 für Emission von Mittelstandsanleihen nach Anzahl und Volumen*
- *Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX*
- *Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland*

Close Brothers Seydler Bank AG
Schillerstrasse 27 - 29
60313 Frankfurt am Main

Tel: +49 (0) 69 / 92054-120
Fax: +49 (0) 69 / 92054-905
cell: +49 (0) 172 / 7296625
e-mail: markus.laifle@cbsevdler.com

Registergericht: Frankfurt am Main
Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
Aufsichtsrat: Jonathan Howell (Vorsitzender)
Vorstand: René Parmantier, Holger Gröber

<http://www.cbsevdler.com>

Anlage 2.4 Anfragen zu Kundenbeziehungen

Bezüglich der von Ihnen angefragten Gesellschaften/ Personen, im Hinblick auf eine mögliche Kundenbeziehung mit ODDO SEYDLER/ Close Brother Seydler, können wir Ihnen folgende Rückmeldungen geben:

Name der Person/ Gesellschaft	Angabe zur Kundenbeziehung ODDO SEYDLER/ Close Brothers Seydler
Mark Bishop	Herr Bishop war weder Kunde noch Verfügungsberechtigter für ein Konto- oder Depot von ODDO SEYDLER/ Close Brothers Seydler für den angefragten Zeitraum. Herr Bishop hat im Auftrag der ABS Investment Group die frei von Zahlung Überträge an unseren Depotkunden Solid Venture Capital Ltd. koordiniert.
Afram Gergeo	Verfügungsberechtigt für das Depot # 728, Verfügungsberechtigt für das Konto # 900728, Verfügungsberechtigt für das Konto #100000728 Verfügungsberechtigt für das Konto #200000728 Verfügungsberechtigt für das Konto #800000728
Emil Amir Ingmanson/ Max Serwin	Verfügungsberechtigt für das Depot # 728, Verfügungsberechtigt für das Konto # 900728, Verfügungsberechtigt für das Konto #100000728 Verfügungsberechtigt für das Konto #200000728 Verfügungsberechtigt für das Konto #800000728
Solid Venture Capital Ltd., C58566, Malta	Es gab und gibt keine direkte Geschäftsbeziehung.
Solid Venture Capital Ltd., Nr. 05179108 UK	Konto-/ Depotverbindung mit Solid Venture Capital Ltd., mit Sitz in London. Die von Ihnen angefragte Nummer ist uns unbekannt.
Temple Asset Management	Es gab und gibt keine direkte Geschäftsbeziehung
Boardwalk Co. Ltd.	Es gab und gibt keine direkte Geschäftsbeziehung
ABS Investment Group	Es gab und gibt keine direkte Geschäftsbeziehung (Die Gesellschaft war Gegenseite aus free of payment Transaktionen – siehe Gesamtaufstellung)
Optimus Socially Responsible Investments Ltd.	Es gab und gibt keine direkte Geschäftsbeziehung
Energy Everything Investments plc	Es gab und gibt keine direkte Geschäftsbeziehung

Anlage 3. HSBC TRANSAKTION SERVICE GMBH

Wir sind uns unsicher, ob dieser Teil Ihrer Anfrage tatsächlich an unser Haus gerichtet wurde oder direkt an HSBC. Wir haben Ihnen nachfolgend die uns zur Verfügung stehenden Informationen in Bezug auf die über HSBC getätigten Geschäfte zusammengestellt und hoffen, dies war in Ihrem Sinne.

Anlage 3.1 Anfrage zur Vermittlung von Finanzinstrumenten

HSBC Trinkaus & Burkhardt AG ist die Hausbank bzw. der Clearing-Agent von ODDO SEYDLER (ehem. Close Brothers Seydler Bank AG). Die Firma HSBC Transactions Service GmbH ist eine 100%ige Tochter der HSBC Trinkaus & Burkhardt AG, und ist u.a. zuständig für die Bereiche Clearing und Settlement. In dem von Ihnen angefragten Zeitraum war HSBC Trinkaus & Burkhardt AG zuständig für die Abwicklung aller Wertpapiergeschäfte von ODDO SEYDLER („Kundenhandel“). Der Vollständigkeit halber möchten wir an dieser Stelle darauf hinweisen, dass nur der Kundenhandel, nicht jedoch das Depotgeschäft über HSBC abgewickelt wurde. Für letzteres war BNP zuständig.

Name	Währung	ISIN
BANC OF AMERICA MTG 2004-L TR. DL-FLR CERTS 2004(35) CL.B-1	USD	US05949AZH66
MS ABS CAP.I INC. TR.2003-NC8 DL-FLR CERTS 2003(33) CL.B-3	USD	US61746RDS76
LEHMAN MORTGAGE TRUST 2008-6 DL-FLR CERTS 2008(47) CL.B1	USD	US52525FAH64
BANC OF AMERICA FDG 2004-1 TR. DL-FLR CERTS 2004(34) CL.B-2	USD	US05946XGH08
FIRST NLC TRUST 2005-3 DL-FLR NOTES 2005(35) CL.M-2	USD	US32113JBV61
GSA HOME EQUITY TRUST 2006-6 DL-FLR CERTS 2006(36) CL.AF-7	USD	US362334MZ48
STRUCT.ASSET INV.LN TR.2006-4 DL-FLR CERTS 2006(36) CL.A5	USD	US86360WAE21
ML ALTERN. NOTE ASSET S.07-A2 DL-FLR CERTS 2007(37) CL.A-3D	USD	US59024FAG90

Dokumentation über sämtliche vermittelten Geschäfte, sowohl Käufe als auch Verkäufe in Form von Verträgen, Prospekten, Aufträgen, E-Mails, usw.

In der Datei „Seydler010113 31122015.xlsx“ sind alle Buchungen in den genannten ISINs enthalten. Teilweise wurden Geschäfte storniert und neuabgerechnet.

Die Datei „SWIFTe.xlsx“ enthält Kopien der externen Lieferaufträge und Settlementbestätigungen der amerikanischen Lagerstelle.

Die Aufträge wurden in Form von Abrechnungsfiles von ODDO SEYDLER an den Clearing Agent HSBC Trinkaus & Burkhardt AG zur Verfügung gestellt. Bei den angefragten Geschäften handelte es sich um „US domestic“ Settlements, d.h. die Geschäfte wurden von HSBC Trinkaus & Burkhardt AG an die US-Lagerstelle Brown Brothers Harriman in New York instruiert und gesettled.

Angaben zum Auftraggeber, Gesellschaften und Ansprechpartner:

ODDO SEYDLER BANK AG (ehem. Close Brothers Seydler Bank AG)

Schillerstraße 27-29, 60313 Frankfurt am Main

Vertragspartner (Verkäufer/ Käufer), Gesellschaften und Personen:

1. Solid Venture Capital Ltd. , London
Ansprechpartner: Emil Amir Ingmansson
2. Optimus Fonder AB (ehem. Traction Fonder AB)
Ansprechpartner: Ulf Deckmark
Jan Eriksson

Auskunft/ Dokumentation in Bezug darauf, welchen Preis die Kunden beim Kauf bzw. Verkauf dieser Wertpapiere gezahlt/ erhalten haben.

Die jeweiligen Preise der Geschäftsabrechnungen entnehmen Sie bitte der Anlage „Anlage 3.1 Seydler010113 31122015.xlsx“ Spalte „S“ auf dem Memorystick.

Auskunft darüber, an/ von welche(n) Konten (IBAN) und Kontoinhaber(n) der gezahlte/ erhaltene Kaufpreis bezahlt wurde.

Kontoinhaber: ODDO SEYDLER BANK AG
Konto: 3960104004
IBAN: DE10 3003 0880 3960 1040 04
in ihrer Funktion als Execution Broker (im Auftrag und für Rechnung des jeweiligen Kunden)

Auskunft/ Dokumentation in Bezug auf etwaige gezahlte/ erhaltene Provisionen. An/von wem/ wem?

An unsere Abwicklungsbank HSBC Trinkaus & Burkhardt AG haben wir jeweils die Standard Provision für die Abwicklung eines außerbörslichen Geschäftes in den USA bezahlt.

ODDO SEYDLER BANK AG hat auf der Kundenseite insgesamt 128.696,38 USD Commission vereinnahmt (siehe Anlage 3.1 – Commission)

Wer ist für die „clearing und settlement“ der oben aufgeführten Wertpapiere verantwortlich gewesen?

HSBC Trinkaus & Burkhardt AG on behalf of ODDO SEYDLER BANK AG, on behalf of Close Brothers Seydler Bank AG.

Wurde DTC für die „clearing und settlement“ benutzt?

Ja.

Es wird um die gesamte Dokumentation zur „clearing und settlement“ in Bezug auf die oben angeführten Instrumente gebeten.

Unsere Abwicklungsbank HSBC Trinkaus & Burkhardt AG hat alle für das Clearing und Settlement relevanten Informationen in den beigefügten Dateien ausgewiesen. Die gesamte Dokumentation zum Clearing und Settlement entnehmen sie bitte der Datei „Anlage 3.1 SWIFTEe“ auf dem Memorystick.

Wie lautet ihre DTC-Nummer?

DTC 010 – BBH

3.2 Anfrage zu Kundenbeziehungen

In Ihrem Anschreiben wurden unter diesem Punkt keine „nachstehend aufgeführten Gesellschaften/Personen“ detailliert, weshalb wir annehmen, dass dieser Punkt direkt bei HSBC angefragt wurde.

- ABS Investment Group
- Optimus Socially Responsible Investments Ltd
- Energy Everything Investments plc

3. HSBC TRANSACTION SERVICE GMBH

3.1 Anfrage zur Vermittlung von Finanzinstrumenten

HSBC Transaction Service GmbH
 Yorckstrasse 21-23
 404 76 Düsseldorf

Ja Düsseldorf

Die Fa. HSBC Transaction Service GmbH hat die nachstehend aufgeführten Finanzinstrumente vermittelt:

Name	Währung	ISIN
BOAMS MTGE 2004-L B1	USD	US05949AZH66
MSAC 2003-NC8 B3	USD	US61746RDS76
LMT 2008-6 B1	USD	US52525FAH64
BAFC FDG 2004-1 DL-FR	USD	US05946XGH08
FNLC 2005-3 M2	USD	US32113JBV61
GSAA 2006-6 AF7	USD	US362334MZ48
SAIL 2006-4 A5	USD	US86360WAE21
MANA 2007-A2 A3D	USD	US59024FAG90

Wir bitten um die nachstehend aufgeführten Informationen für den Zeitraum 2013-2015:

- Dokumentation über sämtliche vermittelten Geschäfte, sowohl Käufe als auch Verkäufe in Form von Verträgen, Aufträgen, E-Mails usw.
- Auftraggeber; Gesellschaften und Ansprechpartner.
- Vertragspartner (Verkäufe:/Käufer); Gesellschaften und Personen.
- Auskunft/Dokumentation in bezug darauf, welchen Preis die Kunden beim Kauf bzw. Verkauf dieser Wertpapiere gezahlt/erhalten haben.
- Auskunft darüber, an/von welche(n) Konten (IBAN) und Kontoinhaber(n) der gezahlte/erhaltene Kaufpreis bezahlt wurde.
- Auskunft/Dokumentation in bezug auf etwaige gezahlte/erhaltene Provisionen. An/von wen/wem?
- Wer ist für die „clearing and settlement“ der oben aufgeführten Wertpapiere verantwortlich gewesen?
- Wurde DTC für die „clearing and settlement“ benutzt?
- Es wird um die gesamte Dokumentation zur „clearing and settlement“ in bezug auf die oben angeführten Instrumente gebeten.
- Wie lautet Ihre DTC-Nummer?

3.2 Anfrage zu Kundenbeziehungen

Handelt es sich bei den nachstehend aufgeführten Gesellschaften/Personen um Kunden bei Ihnen?

0000

COMMISSION

0.00 *

- 4 295.81 +
- 4 295.81 +
- 1 291.71 +
- 1 291.71 +
- 3 753.50 +
- 3 753.50 +
- 5 345.00 +
- 2 705.88 +
- 7 000.00 +
- 4 970.00 +
- 710.00 +
- 4 321.00 +
- 2 635.81 +
- 30 000.00 +
- 21 900.00 +
- 24 354.84 +
- 6 071.81 +

0017

128 696.38 *

TRADE CONFIRMATION

Date: 25/02/13

Client: Traction Fonder AB
Confirmation Text:
Reference No.: 202020

We confirm your Buy

Security Name: BANC AMERICA MTGE SEC.INC.04-L DL-FLR CERTS 2004(35) CL.B-1
ISIN: US05949AZH66
Currency: USD
Nominal: 12,863,000
Trade Price: USD 33.39667100 **Principal Amount:** USD 4,295,813.79
Commission: USD 4,295.81 **Interest Days:** 1
Local Tax: **Accrued Amount:** USD 26,666.68
Net Price: USD 33.63738100
Net Amount: USD 4,326,776.28
Exchange:
Trade Day: 22/02/13
Value Day: 26/02/13
Trade Time: 18:00
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

JP Morgan Chase Bank, New York
DTC 00902 inst.ID 62815
ABA no: 021000021
JP Morgan Chase Bank, London
ACC: PS75350

TRADE CONFIRMATION

Date: 25/02/13

Client: Solid Venture Capital Ltd.
Confirmation Text:
Reference No.: 202019

We confirm your Sell

Security Name: BANC AMERICA MTGE SEC.INC.04-L DL-FLR CERTS 2004(35) CL.B-1
ISIN: US05949AZH66
Currency: USD
Nominal: 12,863,000
Trade Price: USD 33.39667100 **Principal Amount:** USD 4,295,813.79
Commission: USD 4,295.81 **Interest Days:** 1
Local Tax: **Accrued Amount:** USD 26,666.68
Net Price: USD 33.57058700
Net Amount: USD 4,318,184.66
Exchange:
Trade Day: 22/02/13
Value Day: 26/02/13
Trade Time: 18:00
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)
Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"

TRADE CONFIRMATION

Date: 10/04/13

Client: Traction Fonder AB
Confirmation Text:
Reference No.: 212542

We confirm your Buy

Security Name: MS ABS CAP.I INC. TR.2003-NC8 DL-FLR CERTS 2003(33) CL.B-3
ISIN: US61746RDS76
Currency: USD
Nominal: 10,696,000
Trade Price: USD 12.07656000 **Principal Amount:** USD 1,291,708.86
Commission: USD 1,291.71 **Interest Days:** 18
Local Tax: **Accrued Amount:** USD 5,848.26
Net Price: USD 12.14331400
Net Amount: USD 1,298,848.83
Exchange:
Trade Day: 10/04/13
Value Day: 12/04/13
Trade Time: 14:50
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

JP Morgan Chase Bank, New York
DTC 00902 inst.ID 62815
ABA no: 021000021
JP Morgan Chase Bank, London
ACC: PS75350

TRADE CONFIRMATION

Date: 10/04/13

Client: Solid Venture Capital Ltd.
Confirmation Text:
Reference No.: 212540

We confirm your Sell

Security Name: MS ABS CAP.I INC. TR.2003-NC8 DL-FLR CERTS 2003(33) CL.B-3
ISIN: US61746RDS76
Currency: USD
Nominal: 10,696,000
Trade Price: USD 12.07656000 **Principal Amount:** USD 1,291,708.86
Commission: USD 1,291.71 **Interest Days:** 18
Local Tax: **Accrued Amount:** USD 5,848.26
Net Price: USD 12.11916100
Net Amount: USD 1,296,265.41
Exchange:
Trade Day: 10/04/13
Value Day: 12/04/13
Trade Time: 14:45
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)
Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"

TRADE CONFIRMATION

Date: 15/05/13

Client: Optimus Fonder AB
Confirmation Text:
Reference No.: 220671

We confirm your Buy

Security Name: LEHMAN MORTGAGE TRUST 2008-6 DL-FLR CERTS 2008(47) CL.B1
ISIN: US52525FAH64
Currency: USD
Nominal: 6,614,000
Trade Price: USD 58.50000000 **Principal Amount:** USD 3,753,499.63
Commission: USD 3,753.50 **Interest Days:** 16
Local Tax: **Accrued Amount:** USD 13,003.86
Net Price: USD 58.76117100
Net Amount: USD 3,770,256.99
Exchange:
Trade Day: 15/05/13
Value Day: 17/05/13
Trade Time: 09:30
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

JP Morgan Chase Bank, New York
DTC 00902 inst.ID 62815
ABA no: 021000021
JP Morgan Chase Bank, London
ACC: PS75350

TRADE CONFIRMATION

Date: 15/05/13

Client: Solid Venture Capital Ltd.
Confirmation Text:
Reference No.: 220676

We confirm your Sell

Security Name: LEHMAN MORTGAGE TRUST 2008-6 DL-FLR CERTS 2008(47) CL.B1
ISIN: US52525FAH64
Currency: USD
Nominal: 6,614,000
Trade Price: USD 58.50000000 **Principal Amount:** USD 3,753,499.63
Commission: USD 3,753.50 **Interest Days:** 16
Local Tax: **Accrued Amount:** USD 13,003.86
Net Price: USD 58.64417100
Net Amount: USD 3,762,749.99
Exchange:
Trade Day: 15/05/13
Value Day: 17/05/13
Trade Time: 09:32
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"
Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)

TRADE CONFIRMATION

Date: 17/06/13

Client: Optimus Fonder AB
Confirmation Text:
Reference No.: 229741

We confirm your Buy

Security Name: BANC AMERICA FDG CORP. 2004-1 DL-FLR CERTS 2004(34) CL.B-2
ISIN: US05946XGH08
Currency: USD
Nominal: 5,345,000
Trade Price: USD 50.62453800 **Principal Amount:** USD 2,705,881.56
Commission: USD 2,705.88 **Interest Days:** 19
Local Tax: **Accrued Amount:** USD 12,373.61
Net Price: USD 50.90666100
Net Amount: USD 2,720,961.05
Exchange:
Trade Day: 17/06/13
Value Day: 20/06/13
Trade Time: 09:00
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

JP Morgan Chase Bank, New York
DTC 00902 inst.ID 62815
ABA no: 021000021
JP Morgan Chase Bank, London
ACC: PS75350

TRADE CONFIRMATION

Date: 17/06/13

Client: Solid Venture Capital Ltd.
Confirmation Text:
Reference No.: 229753

We confirm your Sell

Security Name: BANC AMERICA FDG CORP. 2004-1 DL-FLR CERTS 2004(34) CL.B-2
ISIN: US05946XGH08
Currency: USD
Nominal: 5,345,000
Trade Price: USD 50.62453800 **Principal Amount:** USD 2,705,881.56
Commission: USD 5,345.00 **Interest Days:** 19
Local Tax: **Accrued Amount:** USD 12,373.61
Net Price: USD 50.75603700
Net Amount: USD 2,712,910.17
Exchange:
Trade Day: 17/06/13
Value Day: 20/06/13
Trade Time: 09:00
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"
Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)

TRADE CONFIRMATION

Date: 10/07/13

Client: Optimus Fonder AB
Confirmation Text:
Reference No.: 235658

We confirm your Buy

Security Name: FIRST NLC TRUST 2005-3 DL-FLR CERTS 2005(35) CL.M-2
ISIN: US32113JBV61
Currency: USD
Nominal: 7,000,000
Trade Price: USD 71.00000000 **Principal Amount:** USD 4,970,000.00
Commission: USD 4,970.00 **Interest Days:** 16
Local Tax: **Accrued Amount:** USD 3,773.78
Net Price: USD 71.12491100
Net Amount: USD 4,978,743.78
Exchange:
Trade Day: 10/07/13
Value Day: 12/07/13
Trade Time: 14:42
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

JP Morgan Chase Bank, New York
DTC 00902 inst.ID 62815
ABA no: 021000021
JP Morgan Chase Bank, London
ACC: PS75350

TRADE CONFIRMATION

Date: 10/07/13

Client:	Solid Venture Capital Ltd.
Confirmation Text:	
Reference No.:	235660

We confirm your Sell

Security Name:	FIRST NLC TRUST 2005-3 DL-FLR CERTS 2005(35) CL.M-2		
ISIN:	US32113JBV61		
Currency:	USD		
Nominal:	7,000,000		
Trade Price:	USD 71.00000000	Principal Amount:	USD 4,970,000.00
Commission:	USD 7,000.00	Interest Days:	16
Local Tax:		Accrued Amount:	USD 3,773.78
Net Price:	USD 70.95391100		
Net Amount:	USD 4,966,773.78		
Exchange:			
Trade Day:	10/07/13		
Value Day:	12/07/13		
Trade Time:	14:44		
Trader:	pfersdca		

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"
Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)

TRADE CONFIRMATION

Date: 08/08/13

Client: Solid Venture Capital Ltd.
Confirmation Text:
Reference No.: 243024

We confirm your Buy

Security Name: FIRST NLC TRUST 2005-3 DL-FLR CERTS 2005(35) CL.M-2
ISIN: US32113JBV61
Currency: USD
Nominal: 1,000,000
Trade Price: USD 71.00000000 **Principal Amount:** USD 710,000.00
Commission: **Interest Days:** 15
Local Tax: **Accrued Amount:** USD 504.18
Net Price: USD 71.05041800
Net Amount: USD 710,504.18
Exchange:
Trade Day: 08/08/13
Value Day: 09/08/13
Trade Time: 10:00
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"
Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)

TRADE CONFIRMATION

Date: 08/08/13

Client: Optimus Fonder AB
Confirmation Text:
Reference No.: 243023

We confirm your Sell

Security Name: FIRST NLC TRUST 2005-3 DL-FLR CERTS 2005(35) CL.M-2
ISIN: US32113JBV61
Currency: USD
Nominal: 1,000,000
Trade Price: USD 71.00000000 **Principal Amount:** USD 710,000.00
Commission: USD 710.00 **Interest Days:** 15
Local Tax: **Accrued Amount:** USD 504.18
Net Price: USD 70.97941800
Net Amount: USD 709,794.18
Exchange:
Trade Day: 08/08/13
Value Day: 09/08/13
Trade Time: 10:00
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

JP Morgan Chase Bank, New York
DTC 00902 inst.ID 62815
ABA no: 021000021
JP Morgan Chase Bank, London
ACC: PS75350

TRADE CONFIRMATION

Date: 10/07/13

Client: Solid Venture Capital Ltd.
Confirmation Text:
Reference No.: 235662

We confirm your Sell

Security Name: GSAA HOME EQUITY TRUST 2006-6 DL-FLR CERTS 2006(36) CL.AF-7
ISIN: US362334MZ48
Currency: USD
Nominal: 4,321,000
Trade Price: USD 61.00000000 **Principal Amount:** USD 2,635,810.00
Commission: USD 4,321.00 **Interest Days:** 10
Local Tax: **Accrued Amount:** USD 6,886.61
Net Price: USD 61.05937500
Net Amount: USD 2,638,375.61
Exchange:
Trade Day: 10/07/13
Value Day: 12/07/13
Trade Time: 14:45
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"
Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)

TRADE CONFIRMATION

Date: 10/07/13

Client:	Optimus Fonder AB
Confirmation Text:	
Reference No.:	235656

We confirm your Buy

Security Name:	GSAA HOME EQUITY TRUST 2006-6 DL-FLR CERTS 2006(36) CL.AF-7		
ISIN:	US362334MZ48		
Currency:	USD		
Nominal:	4,321,000		
Trade Price:	USD 61.00000000	Principal Amount:	USD 2,635,810.00
Commission:	USD 2,635.81	Interest Days:	10
Local Tax:		Accrued Amount:	USD 6,886.61
Net Price:	USD 61.22037500		
Net Amount:	USD 2,645,332.42		
Exchange:			
Trade Day:	10/07/13		
Value Day:	12/07/13		
Trade Time:	14:40		
Trader:	pfersdca		

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

JP Morgan Chase Bank, New York
DTC 00902 inst.ID 62815
ABA no: 021000021
JP Morgan Chase Bank, London
ACC: PS75350

TRADE CONFIRMATION

Date: 23/07/13

Client: Solid Venture Capital Ltd.
Confirmation Text:
Reference No.: 238599

We confirm your Sell

Security Name: STRUCT.ASSET INV.LN TR.2006-4 DL-FLR CERTS 2006(36) CL.A5
ISIN: US86360WAE21
Currency: USD
Nominal: 30,000,000
Trade Price: USD 73.00000000 **Principal Amount:** USD 21,900,000.00
Commission: USD 30,000.00 **Interest Days:** 29
Local Tax: **Accrued Amount:** USD 12,155.83
Net Price: USD 72.94051900
Net Amount: USD 21,882,155.83
Exchange:
Trade Day: 23/07/13
Value Day: 25/07/13
Trade Time: 08:20
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"
Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)

TRADE CONFIRMATION

Date: 23/07/13

Client: Optimus Fonder AB
Confirmation Text:
Reference No.: 238600

We confirm your Buy

Security Name: STRUCT.ASSET INV.LN TR.2006-4 DL-FLR CERTS 2006(36) CL.A5
ISIN: US86360WAE21
Currency: USD
Nominal: 30,000,000
Trade Price: USD 73.00000000 **Principal Amount:** USD 21,900,000.00
Commission: USD 21,900.00 **Interest Days:** 29
Local Tax: **Accrued Amount:** USD 12,155.83
Net Price: USD 73.11351900
Net Amount: USD 21,934,055.83
Exchange:
Trade Day: 23/07/13
Value Day: 25/07/13
Trade Time: 08:20
Trader: pfersdca

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

JP Morgan Chase Bank, New York
DTC 00902 inst.ID 62815
ABA no: 021000021
JP Morgan Chase Bank, London
ACC: PS75350

TRADE CONFIRMATION

Date: 15/08/13

Client:	Solid Venture Capital Ltd.
Confirmation Text:	
Reference No.:	244699

We confirm your Sell

Security Name:	ML ALTERN. NOTE ASSET S.07-A2 DL-FLR CERTS 2007(37) CL.A-3D		
ISIN:	US59024FAG90		
Currency:	USD		
Nominal:	24,354,840		
Trade Price:	USD 24.93061500	Principal Amount:	USD 6,071,811.39
Commission:	USD 24,354.84	Interest Days:	22
Local Tax:		Accrued Amount:	USD 5,270.38
Net Price:	USD 24.85225500		
Net Amount:	USD 6,052,726.93		
Exchange:			
Trade Day:	14/08/13		
Value Day:	16/08/13		
Trade Time:	17:30		
Trader:	laiflema		

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

Citibank, New York
DTC-acc. 908
RCVR-ACCT: "089154 CSC63359"
Clearstream Banking S.A., Luxembourg
CEDELULLXXX
s/c 63359 BNP Paribas (BIC: PARBDEFF)

TRADE CONFIRMATION

Date: 15/08/13

Client: Optimus Fonder AB
Confirmation Text:
Reference No.: 244709

We confirm your Buy

Security Name: ML ALTERN. NOTE ASSET S.07-A2 DL-FLR CERTS 2007(37) CL.A-3D
ISIN: US59024FAG90
Currency: USD
Nominal: 24,354,840
Trade Price: USD 24.93061500 **Principal Amount:** USD 6,071,811.39
Commission: USD 6,071.81 **Interest Days:** 22
Local Tax: **Accrued Amount:** USD 5,270.38
Net Price: USD 24.97718600
Net Amount: USD 6,083,153.58
Exchange:
Trade Day: 14/08/13
Value Day: 16/08/13
Trade Time: 17:30
Trader: laiflema

Our Settlement Instructions:

BBH, New York
BBHCUS33
DTC 0010, AgentID 10419, ACC. 2006112 HSBC RE NCM Clients

Your Settlement Instruction:

JP Morgan Chase Bank, New York
DTC 00902 inst.ID 62815
ABA no: 021000021
JP Morgan Chase Bank, London
ACC: PS75350

Fup bilaga 3

178

Close Brothers Seydler Bank AG, Kunden-Depotgeschäft via BNP PARIBAS Securities Service S.C.A., Zweigniederlassung Frankfurt						
Depot # 900728 - Eingänge/ Ausgang Frei von Zahlung (Anlage 2.3)						
ISIN	Eingang/ Ausgang	Name	Nom.	trade date	Gegenseite der Frei von Zahlung Transaktion	
1	US05949AZH66	Eingang	BANC OF AMERICA MTG 2004-L TR. DL-FLR CERTS 2004(35) CL.B-1	12.863.000 USD	22.02.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
2	US61746RDS76	Eingang	MS ABS CAP.I INC. TR.2003-NC8 DL-FLR CERTS 2003(33) CL.B-3	10.696.000 USD	09.04.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
3	US52525FAH64	Eingang	LEHMAN MORTGAGE TRUST 2008-6 DL-FLR CERTS 2008(47) CL.B1	6.614.000 USD	14.05.2013	ABS Investment Group, acc. 7395-4378, DTC 0075
4	US05946XGH08	Eingang	BANC OF AMERICA FDG 2004-1 TR. DL-FLR CERTS 2004(34) CL.B-2	5.345.000 USD	13.06.2013	ABS Investment Group, acc. 7395-4378, DTC 0075
5	US32113JBV61	Eingang	FIRST NLC TRUST 2005-3 DL-FLR NOTES 2005(35) CL.M-2	7.000.000 USD	10.07.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
6	US32113JBV61	Ausgang	FIRST NLC TRUST 2005-3 DL-FLR NOTES 2005(35) CL.M-2	1.000.000 USD	22.08.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
7	US362334MZ48	Eingang	GSAA HOME EQUITY TRUST 2006-6 DL-FLR CERTS 2006(36) CL.AF-7	4.321.000 USD	10.07.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
8	US86360WAE21	Eingang	STRUCT.ASSET INV.LN TR.2006-4 DL-FLR CERTS 2006(36) CL.A5	30.000.000 USD	22.07.2013	ABS Investment Group, acc. 7395-4378, DTC 0075
9	US59024FAG90	Eingang	ML ALTERN. NOTE ASSET S.07-A2 DL-FLR CERTS 2007(37) CL.A-3D	24.354.840 USD	15.08.2013	ABS Investment Group, DTC 0075

Info

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Traction Fonder AB.

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Traction Fonder AB.

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.

Unser Depotkunde Solid hat die Stücke OTC von Optimus Fonder AB gekauft, und im Anschluss frei von Zahlung an ABS Investment Group übertragen.

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.

Close Brothers Seydler Bank AG, Kundenhandel (Kommissionsgeschäft) via HSBC Trinkaus & Burkhardt AG, Düsseldorf											
OTC Käufer						OTC Verkäufer					
Käufer	Nom.	Settlement amount	Settlement	Trade Day	Value Day	Verkäufer	Settlement amount	Settlement	Trade Day	Value Day	
Traction Fonder AB (Anlage 3.1)	12.863.000 USD	4.326.776,28 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	22.02.2013	26.02.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	4.318.184,66 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	22.02.2013	26.02.2013	
Traction Fonder AB (Anlage 3.1)	10.696.000 USD	1.298.848,83 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	10.04.2013	12.04.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	1.296.265,41 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	10.04.2013	12.04.2013	
Optimus Fonder AB (Anlage 3.1)	6.614.000 USD	3.770.257 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	15.05.2013	17.05.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	3.762.749,99 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	15.05.2013	17.05.2013	
Optimus Fonder AB (Anlage 3.1)	5.345.000 USD	2.720.961 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	17.06.2013	20.06.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	2.712.910,17 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	17.06.2013	20.06.2013	
Optimus Fonder AB (Anlage 3.1)	7.000.000 USD	4.978.744 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	10.07.2013	12.07.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	4.966.773,78 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	10.07.2013	12.07.2013	
Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	1.000.000 USD	710.504,18 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	08.08.2013	09.08.2013	Optimus Fonder AB (Anlage 3.1)	709.794,18 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	08.08.2013	09.08.2013	
Optimus Fonder AB (Anlage 3.1)	4.321.000 USD	2.645.332,42 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	10.07.2013	12.07.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	2.638.375,61 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	10.07.2013	12.07.2013	
Optimus Fonder AB (Anlage 3.1)	30.000.000 USD	21.934.055,83 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	23.07.2013	25.07.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	21.882.155,83 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	23.07.2013	25.07.2013	
Optimus Fonder AB (Anlage 3.1)	24.354.840 USD	6.083.154 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	14.08.2013	16.08.2013	Solid Venture Capital Ltd.	6.052.726,93 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	14.08.2013	16.08.2013	

TA No.	TradeDate	TradeTime	Portfolio	ISIN	Instrument	B/S	Quantity	TradePriceCCY	CrossAmountCCY	CommissionCCY	NetPriceCCY	NetAmountCCY	TrdCcy	CcyRate	Trader	SettleInstruct
7204563	20130222	180000	TuB ISE	US05949AZH66	Banc of America Mtg 2004-L Tr. DL-FLR Certs 2004(35) Cl.B-1	S	-12.863.000	33,40	4.295.813,79	4.295,81	0,34	4.326.776,28	USD	1,33	PFRSDCA	TRAC03
7204558	20130222	180000	TuB ISE	US05949AZH66	Banc of America Mtg 2004-L Tr. DL-FLR Certs 2004(35) Cl.B-1	B	12.863.000	33,40	-4.295.813,79	4.295,81	0,34	-4.318.184,66	USD	1,33	PFRSDCA	SOLI01

Re: ISIN code...

From: Emil Amir Ingmanson [eai@solidequity.se]

To: Carsten Pfersdorf

Date: Mon, Feb 18, 2013 5:24 PM WT

Attachments:  

OK,

I will. Thank you.

Best Regards,
E-A Ingmanson



Hammarby Kaj 16
120 30 Stockholm, Sweden

—
+467-329 399 99

+356-999 380 99

www.solidequity.se

eai@solidequity.se

From: Carsten Pfersdorf <Carsten.Pfersdorf@cbseydler.com>

Date: Mon, 18 Feb 2013 16:21:17 +0000

To: 'Emil Amir Ingmanson' <eai@solidequity.se>

Subject: RE: ISIN code...

Hi Emil,

sure, will sent him.

You can use top@cbseydler.com, Jose is within this group.

Carsten

From: Emil Amir Ingmanson [<mailto:eai@solidequity.se>]

Sent: Montag, 18. Februar 2013 17:20

To: Carsten Pfersdorf

Cc: Angela Leser

Subject: ISIN code...

Hi,

José called me and asked for the ISIN code of the bond that we are about to transfer from the US. I don't have his e-mail and he don't answer his phone so I send it to you instead. Please forward it to him.

ISIN: US05949AZH66

Best Regards,
E-A Ingmanson

Fup bilaga 3

180

Markus Keßler

From: Carsten Pfersdorf
Sent: Montag, 25. Februar 2013 16:09
To: Trade Operations Mailbox; compliance
Subject: US05949AZH66

Kurs: USD 37.50

Kurs incl Faktor: USD 33.396671

Kurs gemäß Absprache zwischen den beiden handelnden Parteien a) Solid Venture Capital als Verkäufer und b) Traction Fonder AB als Käufer.

Mit freundlichen Grüßen

Carsten Pfersdorf
Sales Trading

We believe in German Mittelstand

- *Winner 2012 Best German SME House – Capital Markets Daily Portal*
- *Top Stock Picker 2012 – Thomson Reuters Starmine Ranking in sector machinery (pan-European)*
- *Best Bookrunner Mittelstandsanleihen 2011 – Bond Magazine*
- *Platz 1 Going Public League Table 2011 für Emissionen von Mittelstandsanleihen nach Anzahl und Volumen*
- *Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX*
- *Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland*

Close Brothers Seydler Bank AG
Registergericht: Frankfurt am Main
Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
Aufsichtsrat: Jonathan Howell (Vorsitzender)
Vorstand: René Parmantier, Holger Gröber

Schillerstr. 27-29
D-60313 Frankfurt am Main

Tel.: +49 (0)69/92054-168
Fax: +49 (0)69/92054-905
Mobile: +49 (0)172/799 83 93
Mail: carsten.pfersdorf@cbseydler.com

<http://www.cbseydler.com>

Markus Keßler

From: Carsten Pfersdorf
Sent: Montag, 25. Februar 2013 11:53
To: Depotgeschaeft; riskControl
Cc: Markus Laifle; Stefan Krewinkel
Subject: Depot 900 728

Hallo,

für das Depot 900 728 buchen wir im Verkauf

nom. 12.863.000,- BOAMS 2004-L B1 – US05949AZH66 - zu 37,5000

Preis incl Faktor: USD 33,396671

Accrued Interest: USD 26.666,68

Prov. USD 4.295,81 t/d 22.02. 18:00 s/d 26.02.

Danke, Gruß

Carsten Pfersdorf

Mit freundlichen Grüßen

Carsten Pfersdorf
Sales Trading

We believe in German Mittelstand

- **Best Bookrunner Mittelstandsanleihen 2011 - Bond Magazine**
- **Platz 1 Going Public League Table 2011 für Emissionen von Mittelstandsanleihen nach Anzahl und Volumen**
- **Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX**
- **Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland**

Close Brothers Seydler Bank AG
Registergericht: Frankfurt am Main
Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
Aufsichtsrat: Jonathan Howell (Vorsitzender)
Vorstand: René Parmantier, Holger Gröber

Schillerstr. 27-29
D-60313 Frankfurt am Main

Tel.: +49 (0)69/92054-168
Fax: +49 (0)69/92054-905
Mobile: +49 (0)172/799 83 93
Mail: carsten.pfersdorf@cbseydler.com

Enter 1<Go> to send Ticket via MSG and VCON.

Bloomberg
SIB**TRADE TICKET**as of **2/22/13****TRADER** **SOLID VENTURE CAPITAL****05949AZH6**

orig face

BANK OF AMERICA MORTGAGE SECURITIES

CMO

: SUB, CSTR, #

SELLS**12,863,000****BOAMS 2004-L B1****3.3521%** **1/25/35**

DM = +2998.6 BP

5.70 Avg Life

PRICE**37-16**

assuming

CPR= 14.0

YTM =

32.80%

13/13-10/49 Principal

(37.5000000)

SETTLE**2/26/13** TueAccrual Period **2/ 1/13 - 2/28/13** MonthlyCALL? Date **11/25/17** Px 100Next payment **3/25/13** (24 day delay)

1st Idx 0.78100

0.78100

Original Face

\$ 12,863,000.00

x Jan13 Factor

0.8905778800

! ASSUMED (actual Feb13 factor unknown)

= current face

\$ 11,455,503.27

Principal value

\$ 4,295,813.73

+ 25 days accrued

\$ 26,666.68

! ASSUMED (actual Feb13 coupon unknown)

= total funds

\$ 4,322,480.41

TRACE ELIGIBLE

Text Highlight? **NOTES :****ISIN: US05949AZH66**

issued: 12/ 1/04

mature: 1/25/35

Collat:WHARM 3.22

3.48(264)98

(xLIBOR12M)+OBP. NO CAP**FLOOR=****0%**Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.
SN 635232 H621-577-1 22-Feb-13 7:24:41 PST GMT-8:00

Trade ticket...

From: Emil Amir Ingmanson [eai@solidequity.se]

To: Carsten Pfersdorf

Date: Fri, Feb 22, 2013 4:50 PM WT

Attachments:  [21256E5B-5599-47E1-B36B-02B91354B64D\[42\].png \(4.4 KB\)](#) 
[sg2013022237481.gif \(28.9 KB\)](#)

Hello Carsten,

Here is the trade ticket for the Tuesday settlement of the bond with Traction High Yield. Please contact Ulf Deckmark, at the fund company if you need to confirm the trade.

They are also a client at CBSB so there should be no problem.

Also, please make sure that the cash ends up in my USD account upon settlement on Tuesday.

Best Regards,
E-A Ingmanson



Hammarby Kaj 16
120 30 Stockholm, Sweden

—
+467-329 399 99
+356-999 380 99

www.solidequity.se
eai@solidequity.se

VB: Trade Confirmation 202020

From: Ulf Deckmark [ulf.deckmark@tractionfonder.se]

To: Carsten Pfersdorf

Date: Mon, Feb 25, 2013 3:53 PM WT

Attachments:  TRAC03-O-20130225-122615-202020.pdf (44.6 KB)

Hi Carsten,

My buy of 12.863.000 nom of US05949AZH66 @ USD 37.50 is ok .
But I don't know what USD 33.396671 incl factor is, we never calculate that way.

Mvh

Ulf Deckmark, VD
Optimus Fonder AB

-----Ursprungligt meddelande-----

Från: Tractionfonder [mailto:info@tractionfonder.se]

Skickat: den 25 februari 2013 12:27

Till: Jan Eriksson; Ulf Deckmark

Ämne: VB: Trade Confirmation 202020

Från: Close Brothers Seydler Bank AG [SMTP:TOP@CBSEYDLER.COM]

Skickat: den 25 februari 2013 12:26:18

Till: Tractionfonder

Ämne: Trade Confirmation 202020

Automatiskt vidarebefordrat av en regel

FW: [Fwd: BOAMS 2004-L B1, cusip 05949AZH6, original face USD 12.863.000]
From: Emil Amir Ingmanson [eai@solidequity.se]
To: Carsten Pfersdorf
Cc: Mark Bishop [mbishop@absig.com]
Date: Mon, Feb 18, 2013 11:03 AM WT
Attachments:  [21256E5B-5599-47E1-B36B-02B91354B64D.png \(4.4 KB\)](#)  [LPL Delivery Instructions.pdf \(29.2 KB\)](#)  [TRADE TICKET BOAMS 04-L B1, ABS to SVC.pdf \(147.4 KB\)](#)

Dear Carsten,

Here is the bond that we are buying from ABS. Call me if you have any questions, the bond will be transferred tomorrow.

Best Regards,
E-A Ingmanson



Hammarby Kaj 16
120 30 Stockholm, Sweden

—
+467-329 399 99
+356-999 380 99

www.solidequity.se
eai@solidequity.se

Please find attached my delivery instructions and contact information for my back-office (Ron Chamberlin, [+1 949 302 2204](tel:+19493022204) mobile, rchamberlin@cwbk.com).

We will be delivering the subject bond (BOAMS 2004-L B1, cusip 05949AZH6, original face USD 12.863.000) via "DTC Free" delivery, from DTC number 0075, our account number "1360-4701", account name "ABS Investment Group LLC", to your account with Close Brothers Seydler Bank AG (DTC number "0908", acct. no. "089154 CSC63359", acct. name "Solid Venture Capital").

Please contact us if you have any questions.

Best regards,

Mark

=====
Mark Bishop
mbishop@absig.com
[+1 949 678 9574](tel:+19496789574)

—
Mark Bishop
+1 949 678 9574
+46 709 933 538



*** TRADE TICKET ***

ABS INVESTMENT GROUP

TRADE DATE:	13-Feb-13	
TRADER:	ABS Investment Group	
CUSIP:	05949AZH6	
BOND NAME:	BOAMS 2004-L B1	
PRICE:	30.0000000	[30-00]
SETTLE:	18-Feb-13	[MONDAY]
BOND COUPON:	3.352%	
DAYS ACCRUAL:	17	[17 DAYS ACCRUED]
ACCRUAL PAID:	18,133.33	
NEXT PAYMENT:	25-Mar-13	[24 DAY DELAY]
SELLS (ORIG. FACE):	12,863,000.00	
FACTOR:	0.890577880	
CURRENT FACE:	11,455,503.27	
PRINCIPAL VALUE:	3,436,650.98	
TOTAL FUNDS:	3,454,784.31	
COMMENTS:	Solid Venture Capital buys, and ABS Investment Group sells \$12,863,000 original face.	

Contacts

Purchaser: Emil Ingmanson, President
Solid Venture Capital
Hammarby Kaj 16
Stockholm, Sweden 120 30
+1 46 851 720 700 (office)
+1 46 732 939 999 (mobile)
eai@solidequity.se

Seller: Mark Bishop
ABS Investment Group
1176 Main Street, Suite 300
Irvine, California 92614
+1(877)560-6637 (office)
+1(949)678-9574 (mobile)
mbishop@absig.com



FINANCIAL
SERVICES

LINSCO/PRIVATE LEDGER FINANCIAL SERVICES

MEMBER NASD/SIPC
9785 Towne Centre Drive
San Diego, CA 92121-1968
(800) 877-7210

**DELIVERY INSTRUCTIONS
FOR SECURITIES TRANSACTIONS
BROKER # 0075
ALPHA SYMBOL YLPL
TAX IDENTIFICATION # 95-2834236**

DTC ELIGIBLE SECURITIES

Participant # 0075
Customer Account #

FED ELIGIBLE SECURITIES

BK OF NYC/I.L.P.
ABA # 021000018

PTC ELIGIBLE SECURITIES

See Fed Eligible Instructions

OPTIONS

OCC # 0075
Customer Account #

FOREIGN SECURITIES

MERRILL LYNCH
A/C 64U80075
Reference: LPL Financial Services

PRECIOUS METALS

FIDELITRADE INC.
A/C 19387
Reference: LPL Financial Services

PHYSICAL SECURITIES (VS. PAYMENT)

The Depository Trust Co.
New York Window Services
55 Water Street
New York, NY 10041
Broker #0075
Reference: LPL Financial Services

PHYSICAL SECURITIES (FREE)

LPL Financial Services
9785 Towne Centre Drive
San Diego, CA 92121-1968
Attn: Security Processing

EUROCLEAR SECURITIES

MERRILL LYNCH
A/C 64U80075
Reference: LPL Financial Services

ID TRADES

DTC Clearing # 0075
ID Clearing # 57102

2

04/2013

TA No.	TradeDate	TradeTime	Portfolio	ISIN	Instrument	B/S	Quantity	TradePriceCCY	CrossAmountCCY	CommissionCCY	NetPriceCCY	NetAmountCCY	TrdCcy	CcyRate	Trader	SettleInstru
7606480	20130410	145000	TuB ISE	US61746RDS76	MS ABS Cap.I Inc. Tr.2003-NC8 DL-FLR Certs 2003(33) Cl.B-3	S	-10.696.000	12,08	1.291.708,86	1.291,71	0,12	1.298.848,83	USD	1,31	PFERSDCA	TRAC03
7606461	20130410	144500	TuB ISE	US61746RDS76	MS ABS Cap.I Inc. Tr.2003-NC8 DL-FLR Certs 2003(33) Cl.B-3	B	10.696.000	12,08	-1.291.708,86	1.291,71	0,12	-1.296.265,41	USD	1,31	PFERSDCA	SOLI01

Re: Sale of bond...

From: Emil Amir Ingmanson [eai@solidequity.se]

To: Carsten Pfersdorf

Date: Wed, Apr 10, 2013 9:52 AM WT

Attachments:  [image001.png \(4.4 KB\)](#)  [21256E5B-5599-47E1-B36B-02B91354B64D\[1\].png \(4.4 KB\)](#)

Yes its the same, you can contact Ulf Deckmark at Optimus fonder.

Best Regards,
E-A Ingmanson



Hammarby Kaj 16
120 30 Stockholm, Sweden

—
+467-329 399 99

+356-999 380 99

www.solidequity.se
eai@solidequity.se

From: Carsten Pfersdorf <Carsten.Pfersdorf@cbseydler.com>

Date: Wed, 10 Apr 2013 07:46:48 +0000

To: 'Emil Amir Ingmanson' <eai@solidequity.se>

Subject: RE: Sale of bond...

Hi Emil,

i am just ready to book.

Same counterpart like last trade right ? Just need a quick "OK" from the buyer as well.

Thanks
Carsten

From: Emil Amir Ingmanson [<mailto:eai@solidequity.se>]

Sent: Mittwoch, 10. April 2013 00:25

To: Carsten Pfersdorf

Subject: Sale of bond...

Carsten -

Please find attached the trade ticket for the above referenced MSAC bond, being sold by Solid Venture Capital to Optimus High Yield, for settlement on Friday, April 12, 2013.

Best Regards,
E-A Ingmanson



Enter 1<Go> to send Ticket via MSG and VCON.



TRADE TICKET

as of 4/ 9/13

A

TRADER **SOLID VENTURE CAPITAL**
orig face MORGAN STANLEY CAPITAL INC

61746RDS7

HOME EQT:SUB,FLT,+

SELLS 10,696,000 MSAC 2003-NC8 B3

5.8292% 9/25/33

CM = +3402.2 BP

1.78 Avg Life

PRICE 64-12 assuming **CPR= 10.0**

YTM = 36.757%

5/14-11/15 Principal

(64.3750000)

SETTLE 4/12/13 Fri

Accrual Period 3/25/13 - 4/24/13 Monthly

CALL?N Date 4/25/13 PX 100

Next payment 4/25/13 (0 day delay)

1st Idx 0.20270 LIBOR01M 0.20270

Original Face \$ 10,696,000.00

x Mar13 Factor 0.1875970524 ✓ actual current factor

= current face \$ 2,006,538.07

Principal value \$ 1,291,708.88

+ 18 days accrued \$ 5,848.26 ✓ actual current coupon

= total funds \$ 1,297,557.14

TRACE ELIGIBLE

Text Highlight?

NOTES: SOLID VENTURE CAPITAL SELLS TO OPTIMUS HIGH

YIELD.

issued: 9/25/03

mature: 9/25/33

Collat:HOMEEQ6.25

6.75(235)116

(1xLIBOR01M)+562.5BP. CAP=n/a % FLOOR= 3.75%

Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.

SN 137342 H295-605-1 09-Apr-13 6:55:38 PDT GMT-7:00

Sale of bond...

From: Emil Amir Ingmanson [eai@solidequity.se]

To: Carsten Pfersdorf

Date: Wed, Apr 10, 2013 12:25 AM WT

Attachments:  [21256E5B-5599-47E1-B36B-02B91354B64D.png \(4.4 KB\)](#)  [MSAC trade ticket SVC to Optimus\[1\].pdf \(55.1 KB\)](#)

Carsten -

Please find attached the trade ticket for the above referenced MSAC bond, being sold by Solid Venture Capital to Optimus High Yield, for settlement on Friday, April 12, 2013.

Best Regards,
E-A Ingmanson



Hammarby Kaj 16
120 30 Stockholm, Sweden

—
+467-329 399 99

+356-999 380 99

www.solidequity.se
eai@solidequity.se

Enter 1<Go> to send Ticket via MSG and VCON.

Bloomberg **TRADE TICKET** as of **4/10/13**

TRADER **OPTIMUS FONDER AB** **61746RDS7**
orig. face MORGAN STANLEY CAPITAL INC HOME EQT: SUB, FLT, +

BUYS **10,696,000** **MSAC 2003-NC8 B3** **5.8292%** **9/25/33**
DM = +3402.3 BP 1.78 Avg Life 5/14-11/15 Principal

PRICE **64-12** assuming **CPR= 10.0** **YTM = 36.757%**
(64.3750000)

SETTLE **4/12/13** Fri Accrual Period 3/25/13 - 4/24/13 Monthly
CALL? **Date** **4/25/13** **Px** 100 Next payment 4/25/13 (0 day delay)

1st Idx 0.20270 LIBOR01M 0.20270

Original Face	\$	10,696,000.00	
x Mar13 Factor		0.1875970524	✓ actual current factor
= current face	\$	2,006,538.07	
Principal value	\$	1,291,708.88	
+ 18 days accrued	\$	5,848.26	✓ actual current coupon
= total funds	\$	1,297,557.14	

NOTES : [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

(1xLIBOR01M)+562.5BP. CAP=n/a % FLOOR= 3.75%

TRACE ELIGIBLE
Text HighLight?

issued: 9/25/03
mature: 9/25/33
Collat:HOME EQ6.25
6.75(235)116

Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
 Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.
 SN 109008 CEST GMT+2:00 6911-320-0 10-Apr-2013 10:01:16

SV: Trade Confirmation MSAC 2003-NC8 B3

From: Ulf Deckmark [ulf.deckmark@optimusfonder.se]

To: 'Carsten Pfersdorf'

Date: Wed, Apr 10, 2013 2:34 PM WT

Attachments:  image001.gif (27 KB)

Hello Carsten,

I'm confirming the trade.

Best regards

Ulf

Från: Carsten Pfersdorf [mailto:Carsten.Pfersdorf@cbseydler.com]

Skickat: den 10 april 2013 13:44

Till: 'ulf.deckmark@optimusfonder.se'

Ämne: Trade Confirmation MSAC 2003-NC8 B3

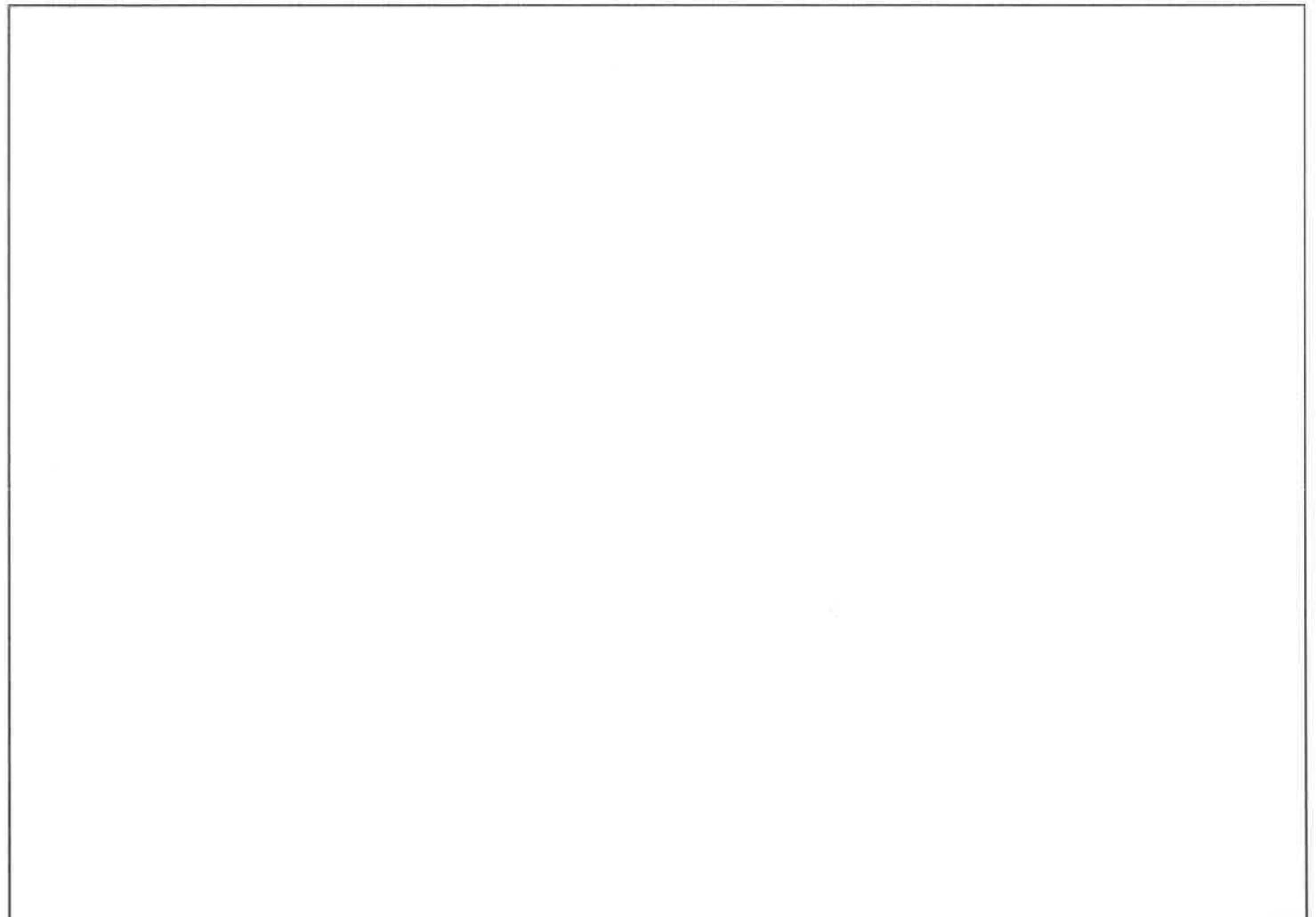
Hello Ulf,

please confirm trade below.

We will charge 10bps as usual.

Thanks

Carsten



MSAC 2003-NC8 B3, ISIN US61746RDS76...

From: Emil Amir Ingmanson [eai@solidequity.se]

To: Carsten Pfersdorf

Date: Fri, Apr 12, 2013 8:00 AM WT

Attachments:  [21256E5B-5599-47E1-B36B-02B91354B64D\[9\].png \(4.4 KB\)](#)  [MSAC trade ticket ABSIG to SVC.pdf \(53.7 KB\)](#)  [ABS delivery instructions.pdf \(176.6 KB\)](#)

Carsten,

Here is the trade ticket and the wire instructions. Please do the transfer when the money from the sale is in my account today.

Best Regards,
E-A Ingmanson



Hammarby Kaj 16
120 30 Stockholm, Sweden

—
+467-329 399 99
+356-999 380 99

www.solidequity.se
eai@solidequity.se

Markus Keßler

From: Carsten Pfersdorf
Sent: Mittwoch, 27. März 2013 15:09
To: Trade Operations Mailbox
Subject: FW: New Bond...
Attachments: ABS delivery instructions.pdf; TRADE TICKET MSAC 03-NC8 B3, ABS to SVC.pdf

Hallo zusammen,

wir werden wieder einen Bond in Emils BNP Depot übertragen bekommen.
Da sind wir jetzt ja eingespielt... :-)
Die Stücke kommen wieder von ABS. Details s.h. oben.

Ich gehe davon aus, dass Emil, nachdem die Stücke im BNP Depot sind wieder OTC verkaufen wird und aus dem Erlös ABS bezahlen wird, aber das ist dann erst der nächste Schritt.

Ich habe die ISIN **US61746RDS76** incl Prospekt schon an IT-Development weitergeleitet, damit diese bei WM beantragt werden kann.

Bitte bereitet den Übertrag von ABS in Emils BNP Depot soweit möglich schon einmal vor.

Sagt mir bitte Bescheid falls für den ersten Schritt noch irgendetwas fehlt.

Danke

Gruss
Carsten

From: Emil Amir Ingmanson [<mailto:eai@solidequity.se>]
Sent: Mittwoch, 27. März 2013 14:01
To: Carsten Pfersdorf
Subject: New Bond...

Dear Carsten,

Here is a new bond that I have transferred in to my account.

Please confirm to me when it's ready to be sold.

Best Regards,
E-A Ingmanson

SOLID EQUITY

Hammarby Kaj 16
120 30 Stockholm, Sweden

—
+467-329 399 99

+356-999 380 99

www.solidequity.se
eai@solidequity.se



*** TRADE TICKET ***

ABS INVESTMENT GROUP

TRADE DATE: 25-Mar-13
TRADER: ABS Investment Group / Amer RMBS Equity Fund IV
CUSIP: 61746RDS7
BOND NAME: MSAC 2003-NC8 B3
PRICE: 51.5000000 [51-16]
SETTLE: 2-Apr-13 [TUESDAY]
BOND COUPON: 4.875%
DAYS ACCRUAL: 1 [1 DAYS ACCRUED]
ACCRUAL PAID: 271.72
NEXT PAYMENT: 25-Apr-13 [24 DAY DELAY]
SELLS (ORIG. FACE): 10,696,000.00
FACTOR: 0.187597052
CURRENT FACE: 2,006,538.07
PRINCIPAL VALUE: 1,033,367.11
TOTAL FUNDS: 1,033,638.83

COMMENTS: Solid Venture Capital buys, and ABS Investment Group / Fund IV sells \$10,696,000 original face.

Contacts

Purchaser: Emil Ingmanson, President
Solid Venture Capital
Hammarby Kaj 16
Stockholm, Sweden 120 30
+1 46 851 720 700 (office)
+1 46 732 939 999 (mobile)
eai@solidequity.se

Seller: Mark Bishop
ABS Investment Group / American RMBS Equity Fund IV
1176 Main Street, Suite 300
Irvine, California 92614
+1(877)560-6637 (office)
+1(949)678-9574 (mobile)
mbishop@absig.com

DELIVERY INSTRUCTIONS FOR ABS INVESTMENT GROUP, LLC

Effective as of: December 2011

DTC ELIGIBLE SECURITIES

LPL Financial
DTC# 0075
Account #1774-4095
Account name: ABS Investment Group, LLC

PHYSICAL SECURITIES

LPL Financial
Attention: Custody Department
9785 Towne Centre Drive
San Diego, California 92121
Further Credit: ABS Investment Group, LLC
Account #1774-4095

WIRE TRANSFERS - INTERNATIONAL

Swift Code: WFBIUS6S
Beneficiary Bank Name: Wells Fargo Bank
Beneficiary Bank Address: San Francisco, CA USA
Beneficiary Acct #: 122243334
Beneficiary Name: Commerce West Bank
Further Credit: ABS Investment Group, LLC
Acct #92200070
(*Wire description*)

WIRE TRANSFERS - DOMESTIC

Commerce West Bank
2111 Business Center Drive
Irvine, California 92612
ABA #122 243 334
Account #92200070
Account name: ABS Investment Group, LLC
(*Wire description*)

FOREIGN DELIVERY

EUROCLEAR# 93999
(*Merrill Lynch*)

TAX ID

26-2119490

CONFIRM MAILING ADDRESS

ABS Investment Group, LLC
Attn: Mark Bishop
707 Broadway, 18th Floor
San Diego, California 92101
[mbishop@absig.com]
[+1 949 678 9574]



3

05/2013

TA No.	TradeDate	TradeTime	Portfolio	ISIN	Instrument	B/S	Quantity	TradePriceCCY	GrossAmountCCY	CommissionCCY	NetPriceCCY	NetAmountCCY	TrdCcy	CcyRate	Trader	SettleInstruct
7914446	20130515	093206	TuB ISE	US52525FAH64	Lehman Mortgage Trust 2008-6 DL-FLR Certs 2008(47) Cl.B1	B	6.614.000	58,50	-3.753.499,63	3.753,50	0,57	-3.762.749,99	USD	1,29	PFERSDCA	SOLI01
7914356	20130515	093014	TuB ISE	US52525FAH64	Lehman Mortgage Trust 2008-6 DL-FLR Certs 2008(47) Cl.B1	S	-6.614.000	58,50	3.753.499,63	3.753,50	0,57	3.770.256,99	USD	1,29	PFERSDCA	TRAC03

Enter 1<Go> to send Ticket via MSG and VCOM.



TRADE TICKET

as of **5/14/13**

TRADER

OPTIMUS HIGH YIELD

52525FAH6

orig face

LEHMAN MORTGAGE TRUST

CMD :SUB,CSTR

BUYS

6,614,000

LMT 2008-6 B1

4.5601% **7/25/47**

8.93 Avg Life

PRICE 58-16

assuming CPR= 24.0

YTM = 12.919%

7/13- 7/47 Principal

(58.5000000)

SETTLE 5/17/13

Fri

Accrual Period 5/ 1/13 - 5/31/13 Monthly

CALL?N Date **5/25/18** Px 100

Next payment 6/25/13 (24 day delay)

Original Face	\$	6,614,000.00
x Apr13 Factor		0.9700995918
= current face	\$	6,416,238.70
Principal value	\$	3,753,499.64
+ 16 days accrued	\$	13,003.86
= total funds	\$	3,766,503.50

! ASSUMED (actual May13 factor unknown)

! ASSUMED (actual May13 coupon unknown)

TRACE ELIGIBLE

Text Highlight? Y

NOTES:

issued: 8/ 1/08
 mature: 7/25/47
 Collat: WH30 4.38
 4.65(314)65

Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
 Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.
 SN 132341 H311-26-1 14-May-13 1:58:27 PDT GMT-7:00

Trade Ticket...

From: Emil Amir Ingmanson [eai@solidequity.se]

To: Carsten Pfersdorf

Date: Tue, May 14, 2013 11:17 AM WT

Attachments:  [21256E5B-5599-47E1-B36B-02B91354B64D\[29\].png \(4.4 KB\)](#)  [Trade Ticket - Optimus High Yield\[4\].pdf \(50.2 KB\)](#)

Here is the trade ticket.

Best Regards,
E-A Ingmanson



Hammarby Kaj 16
120 30 Stockholm, Sweden

—
+467-329 399 99

+356-999 380 99

www.solidequity.se
eai@solidequity.se

Enter <Go> to send Ticket via MSG and VCON.

Bloomberg **TRADE TICKET** as of **5/14/13**

TRADER **OPTIMUS FONDER AB** **52525FAH6**
orig face LEHMAN MORTGAGE TRUST **CMD : SUB, CSTR**

BUYS **6,614,000** **LMT 2008-6 B1** **4.5601%** **7/25/47**
8.93 Avg Life

PRICE **58-16** assuming **CPR= 24.0** **YTM = 12.919%** 7/13-7/47 Principal
(58.5000000)

SETTLE **5/17/13** Fri **Accrual Period** 5/ 1/13 - 5/31/13 **Monthly**
CALL? **Date** **5/25/13** **Px** 100 **Next payment** 6/25/13 (24 day delay)

Original Face	\$	6,614,000.00	
x Apr13 Factor		0.9700995918	! ASSUMED (actual May13 factor unknown)
= current face	\$	6,416,238.70	
Principal value	\$	3,753,499.64	
+ 16 days accrued	\$	13,003.86	! ASSUMED (actual May13 coupon unknown)
= total funds	\$	3,766,503.50	

NOTES : [REDACTED]

TRACE ELIGIBLE
Text HighLight?

issued: 8/ 1/08
mature: 7/25/47
Collat: WH30 4.38
4.65(314)65

Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.
SN 109008 CEST GMT+2:00 6480-5849-0 14-May-2013 15:05:53

RE: Trade Confirmation LMT 2008-6 B1
From: Carsten Pfersdorf
To: 'Ulf Deckmark' [ulf.deckmark@optimusfonder.se]
Date: Tue, May 14, 2013 3:29 PM WT

Hi Ulf,

ok, will do.

Thanks

Regards
Carsten

Mit freundlichen Grüßen

Carsten Pfersdorf
Sales Trading

We believe in German Mittelstand

- *Winner 2012 Best German SME House – Capital Markets Daily Portal*
- *Top Stock Picker 2012 – Thomson Reuters Starmine Ranking in sector machinery (pan-European)*
- *Best Bookrunner Mittelstandsanleihen 2011 – Bond Magazine*
- *Platz 1 Going Public League Table 2011 für Emissionen von Mittelstandsanleihen nach Anzahl und Volumen*
- *Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX*
- *Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland*

Close Brothers Seydler Bank AG
Registergericht: Frankfurt am Main
Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
Aufsichtsrat: Jonathan Howell (Vorsitzender)
Vorstand: René Parmantier, Holger Gröber

Schillerstr. 27-29
D-60313 Frankfurt am Main

Tel.: +49 (0)69/92054-168
Fax: +49 (0)69/92054-905
Mobile: +49 (0)172/799 83 93
Mail: carsten.pfersdorf@cbseydler.com

<http://www.cbseydler.com>

From: Ulf Deckmark [mailto:ulf.deckmark@optimusfonder.se]
Sent: Dienstag, 14. Mai 2013 15:28
To: Carsten Pfersdorf
Subject: SV: Trade Confirmation LMT 2008-6 B1

Hi Carsten,

I confirm the trade and don't forget to mail trade ticket to our backoffice as usual.

Best regards

Ulf

Från: Carsten Pfersdorf [<mailto:Carsten.Pfersdorf@cbseydler.com>]
Skickat: den 14 maj 2013 15:10
Till: 'Ulf Deckmark'
Ämne: RE: Trade Confirmation LMT 2008-6 B1

Hi Ulf,

sorry, i did put in my side. Its your buy.

From: Ulf Deckmark [<mailto:ulf.deckmark@optimusfonder.se>]
Sent: Dienstag, 14. Mai 2013 15:01
To: Carsten Pfersdorf
Subject: SV: Trade Confirmation LMT 2008-6 B1

Hi Carsten,

We cannot confirm the order we do not have the instrument for sale.
We are trying to sell another MBS the LMT 2005-2 1A4.

Best regards

Ulf

Från: Carsten Pfersdorf [<mailto:Carsten.Pfersdorf@cbseydler.com>]
Skickat: den 14 maj 2013 12:57
Till: 'Ulf Deckmark'
Ämne: Trade Confirmation LMT 2008-6 B1

Hello Ulf,

please confirm trade attached.

We will charge 10bps as usual.

Due to factor, the price of 58,50 will be shown as 60,3031 (Factor 0,9700995918)

Thanks
Carsten

SV: Trade Ticket - ABS to SVC.pdf
From: Emil Amir Ingmanson [eai@solidequity.se]
To: Carsten Pfersdorf
Date: Mon, May 6, 2013 3:19 PM WT
The ISIN is US52525FAH64.

Best Regards,

Emil Amir Ingmanson
Solid Equity AB
Hammarby Kaj 16
120 30 Stockholm, Sweden
Office phone: +4685-172 07 00
Mobile phone: +4673-293 99 99
eai@solidequity.se
www.solidequity.se

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-----Ursprungligt meddelande-----

Från: Carsten Pfersdorf [mailto:Carsten.Pfersdorf@cbseydler.com]
Skickat: den 6 maj 2013 10:55
Till: Emil Amir Ingmanson
Ämne: RE: Trade Ticket - ABS to SVC.pdf

Hi Emil,

may you have the ISIN from the Bond ?
So i can arrange everything for booking as soon as the bond is transferred.

Thanks
Carsten

4

06/2013

TA No.	TradeDate	TradeTime	Portfolio	ISIN	Instrument	B/S	Quantity	TradePriceCCY	CrossAmountCCY	CommissionCCY	NetPriceCCY	NetAmountCCY	TrdCcy	CcyRate	Trader	SettleInstruct
8248606	20130617	090000	TuB ISE	US05946XGH08	Banc of America Fdg 2004-1 Tr. DL-FLR Certs 2004(34) Cl.B-2	B	5,345,000	50,62	-2.705.881,56	5,345,00	0,51	-2.712.910,17	USD	1,33	PFERSDCA	SOL101
8248410	20130617	090000	TuB ISE	US05946XGH08	Banc of America Fdg 2004-1 Tr. DL-FLR Certs 2004(34) Cl.B-2	S	-5,345,000	50,62	2.705.881,56	2.705,88	0,51	2.720.961,05	USD	1,33	PFERSDCA	TRAC03

Enter 1<Go> to send Ticket via MSG and VCOM.



TRADE TICKET

as of **6/10/13**

TRADER

SOLID VENTURE CAPITAL

05946XGHO

orig face **BAND OF AMERICA FUNDING CORPORATION**

CMO :SUB,CSTR,+

BUYS

5,345,000

BAFC 2004-1 B2

5.97841%

3/25/34

4.75 Avg Life

PRICE 55-00

assuming **CPR= 15.0**

YTM = 28.280%

7/13- 5/34 Principal

(55.0000000)

SETTLE 6/21/13

Fri

Accrual Period 6/ 1/13 - 6/30/13 Monthly

CALL?N Date 7/25/26 Px 100

Next payment 7/25/13 (24 day delay)

Original Face	\$	5,345,000.00
x May13 Factor		0.7336889504
= current face	\$	3,921,567.44
Principal value	\$	2,156,862.09
+ 20 days accrued	\$	13,024.85
= total funds	\$	2,169,886.94

! ASSUMED (actual Jun13 factor unknown)

! ASSUMED (actual Jun13 coupon unknown)

TRACE ELIGIBLE

Text HighLight? Y

NOTES:

issued: **4/ 1/04**
 mature: **3/25/34**
 Collat: **WH30 5.93**
6.31(231)114

Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
 Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.
 SH 141908 H621-186-1 13-Jun-13 0:03:29 PDT GMT-7:00

Trade ticket...

From: Emil Amir Ingmanson [eai@solidequity.se]

To: Carsten Pfersdorf

Date: Thu, Jun 13, 2013 4:48 PM WT

Attachments:  [Trade Ticket - ABS to Solid Venture Capital.pdf \(50.8 KB\)](#)  [ATT00001.txt \(25 B\)](#)

Carsten -

Here is the updated trade ticket for the purchase of the bond.

Enter 1<Go> to send Ticket via MSG and VCON.

Bloomberg **TRADE TICKET** as of **6/17/13**

TRADER **OPTIMUS FONDER AB** **05946XGHO**

orig face: **5,345,000** BAFC OF AMERICA FUNDING CORPORATION **CMD** :SUB,CSTR,+

BUYS **5,345,000** **BAFC 2004-1 B2** **5.97841%** **3/25/34**

PRICE **69-00** assuming **CPR= 15.0** **YTM = 18.093%** 4.75 Avg Life
 (69,0000000) 7/13- 5/34 Principal

SETTLE **6/20/13** Thu Accrual Period **6/ 1/13 - 6/30/13** Monthly
CALL? **N** Date **7/25/26** Px 100 Next payment **7/25/13** (24 day delay)

Original Face	\$	5,345,000.00	
x May13 Factor		0.7336889504	ASSUMED (actual Jun13 factor unknown)
= current face	\$	3,921,567.44	
Principal value	\$	2,705,881.53	
+ 19 days accrued	\$	12,373.61	ASSUMED (actual = Jun13 coupon unknown)
= total funds	\$	2,718,255.14	

NOTES : [REDACTED]

TRACE ELIGIBLE
 Text HighLight? **Y**

issued: 4/ 1/04
 mature: 3/25/34
 Collat: WH30 5.93
 6.31(231)114

Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
 Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.
 SN 109008 CEST GMT+2:00 6698-4975-0 14-Jun-2013 13:01:28

RE: Trade Confirmation BAFC 2004-1 B2
From: Carsten Pfersdorf
To: 'Ulf Deckmark' [ulf.deckmark@optimusfonder.se]
Date: Fri, Jun 14, 2013 5:46 PM WT
Trade date is 17th and settlement the 20th

Thanks
Carsten

From: Ulf Deckmark [mailto:ulf.deckmark@optimusfonder.se]
Sent: Freitag, 14. Juni 2013 15:04
To: Carsten Pfersdorf
Subject: SV: Trade Confirmation BAFC 2004-1 B2

Hi Carsten,

The trade date must be 17 and settlement the 19th or 20th ?

Best regards

Ulf

Från: Carsten Pfersdorf [mailto:Carsten.Pfersdorf@cbseydler.com]
Skickat: den 14 juni 2013 13:05
Till: 'Ulf Deckmark'
Ämne: Trade Confirmation BAFC 2004-1 B2

Hello Ulf,

please confirm the trade attached.

Trade day will be Monday.

We will charge 10bps as usual.

Thanks
Carsten

Mit freundlichen Grüßen / With best regards

Carsten Pfersdorf
Sales Trading

We believe in German Mittelstand

- **Winner 2012 Best German SME House – Capital Markets Daily Portal**
- **Top Stock Picker 2012 – Thomson Reuters Starmine Ranking in sector machinery (pan-European)**
- **Best Bookrunner Mittelstandsanleihen 2011 – Bond Magazine**
- **Platz 1 Going Public League Table 2011 für Emissionen von Mittelstandsanleihen nach Anzahl und Volumen**
- **Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX**
- **Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland**

Registergericht: Frankfurt am Main
Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
Aufsichtsrat: Jonathan Howell (Vorsitzender)
Vorstand: René Parmantier, Holger Gröber

Schillerstr. 27-29
D-60313 Frankfurt am Main

Tel.: +49 (0)69/92054-168
Fax: +49 (0)69/92054-905
Mobile: +49 (0)172/799 83 93
Mail: carsten.pfersdorf@cbseydler.com

<http://www.cbseydler.com>

Trade ticket...

From: Emil Amir Ingmanson [eai@solidequity.se]

To: Carsten Pfersdorf

Date: Thu, Jun 13, 2013 4:47 PM WT

Attachments:  [Trade Ticket - Optimus High Yield.pdf \(50.5 KB\)](#)  [ATT00001.txt \(25 B\)](#)

Carsten -

Here is the trade ticket for the sale of the bond.

Enter 1<Go> to send Ticket via MSG and VCON.



TRADE TICKET

as of **6/17/13**

TRADER

OPTIMUS HIGH YIELD

05946XGHO

orig face

BANK OF AMERICA FUNDING CORPORATION

CMD :SUB,CSTR,+

BUYS

5,345,000

BAFC 2004-1 B2

5.97841% **3/25/34**

4.75 Avg Life

PRICE **69-00**

assuming **CPR= 15.0**

YTM = 18.093%

7/13- 5/34 Principal

(69.0000000)

SETTLE **6/20/13** Thu

Accrual Period **6/ 1/13 - 6/30/13** Monthly

Next payment **7/25/13** (24 day delay)

CALL?N Date **7/25/26** Px 100

Original Face	\$	5,345,000.00
x May13 Factor		0.7336889504
= current face	\$	3,921,567.44
Principal value	\$	2,705,881.53
+ 19 days accrued	\$	12,373.61
= total funds	\$	2,718,255.14

! ASSUMED (actual Jun13 factor unknown)

! ASSUMED (actual Jun13 coupon unknown)

TRACE ELIGIBLE

Text Highlight? Y

NOTES:

issued:	4/ 1/04
mature:	3/25/34
Collat:	WH30 5.93
	6.31(231)114

Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
 Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.
 SN 141908 H621-186-1 13-Jun-13 0:01:12 PDT GMT-7:00

Re: Trade ticket...
From: Emil Amir Ingmanson [eai@solidequity.se]
To: Carsten Pfersdorf
Date: Thu, Jun 13, 2013 5:51 PM WT
Yes.

Please call and notify Ulf in time so that he's got enough cash ready in time for the trade.

Sent from my iPhone

On 13 Jun 2013, at 16:50, "Carsten Pfersdorf" <Carsten.Pfersdorf@cbseydler.com> wrote:

> Hi Emil,
>
> ok, thanks, so i will book on Monday val date 20th.
>
> Regards
> Carsten
>
> -----Original Message-----
> From: Emil Amir Ingmanson [mailto:eai@solidequity.se]
> Sent: Donnerstag, 13. Juni 2013 16:47
> To: Carsten Pfersdorf
> Subject: Trade ticket...
>
> Carsten -
>
> Here is the trade ticket for the sale of the bond.
>

Markus Keßler

From: Carsten Pfersdorf
Sent: Dienstag, 11. Juni 2013 13:49
To: Trade Operations Mailbox
Subject: FW: New Bond...ISIN is US05946XGH08.
Attachments: Trade Ticket - ABS to Solid Venture Capital.pdf; ATT00001.txt

Hallo zusammen,

ein neuer Bond vom Emil, bitte schonmal bei BNP avisieren.

IT-Dev hab ich zwecks WM Daten schon Bescheid gesagt.

Lg
Carsten

-----Original Message-----

From: Emil Ingmanson [<mailto:eai@solidequity.se>]
Sent: Montag, 10. Juni 2013 14:16
To: Carsten Pfersdorf
Subject: New Bond...

Dear Carsten,

Here is a new bond on its way to my account.

NO FIELDS ENTERED. USE <MENU> OR ENTER FIELDS.

Bloomberg
CMO

TRADE TICKET

as of **6/10/13**

TRADER **SOLID VENTURE CAPITAL** **05946XGHO**

orig face **5,345,000** **BAFC 2004-1 B2** **5.97841%** **3/25/34**
CMO **55-00** **28.104%** **4.77** Avg Life
BANC OF AMERICA FUNDING CORPORATION

:SUB,CSTR,+
7/13- 5/34 Principal

PRICE **55-00** assuming **CPR=15.0** **YTM = 28.104%**

SETTLE **6/13/13** Thu **Accrual Period 6/ 1/13 - 6/30/13** Monthly

CALL? Date **7/25/26** Px 100 **Next payment 7/25/13** (24 day delay)

Original Face	\$	5,345,000.00
x May13 Factor		0.7336889504
= current face	\$	3,921,567.44
Principal value	\$	2,156,862.09
+ 12 days accrued	\$	7,814.91
= total funds	\$	2,164,677.00

ASSUMED (actual Jun13 factor unknown)

ASSUMED (actual Jun13 coupon unknown)

TRACE ELIGIBLE
Text HighLight?

NOTES:

issued: 4/ 1/04
mature: 3/25/34
Collat: WH30 5.93
6.31(231)114

Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.
SN 276526 H621-348-1 10-Jun-13 4:39:30 PDT GMT-7:00

5

07-08/2013

TA No.	TransType	Ref-TA No.	TradeDate	TradeTime	Portfolio	ISIN	Instrument	B/S	Quantity	TradePriceCC	CrossAmountCCY	CommissionCC	NetPriceCC	NetAmountCCY	TrdCcy	CcyRate	Trader	SettleInstru
8671123	N	0	20130808	100000	TuB ISE	US32113JBV61	First NLC Trust 2005-3 DL-FLR Notes 2005(35) Cl.M-2	S	-1.000.000	71,00	710.000,00	0,00	0,71	710.504,18	USD	1,33	PFERSDCA	SOLI01
8671114	N	0	20130808	100000	TuB ISE	US32113JBV61	First NLC Trust 2005-3 DL-FLR Notes 2005(35) Cl.M-2	B	1.000.000	71,00	-710.000,00	710,00	0,71	-709.794,18	USD	1,33	PFERSDCA	TRAC03
8671100	C	8671076	20130808	100000	TuB ISE	US32113JBV61	First NLC Trust 2005-3 DL-FLR Notes 2005(35) Cl.M-2	S	-1.000.000	71,00	710.000,00	-710,00	0,71	709.653,75	USD	1,33	PFERSDCA	TRAC03
8671076	N	0	20130808	100000	TuB ISE	US32113JBV61	First NLC Trust 2005-3 DL-FLR Notes 2005(35) Cl.M-2	B	1.000.000	71,00	-710.000,00	710,00	0,71	-709.653,75	USD	1,33	PFERSDCA	TRAC03
8432018	N	0	20130710	144447	TuB ISE	US32113JBV61	First NLC Trust 2005-3 DL-FLR Notes 2005(35) Cl.M-2	B	7.000.000	71,00	-4.970.000,00	7.000,00	0,71	-4.966.773,78	USD	1,28	PFERSDCA	SOLI01
8432012	C	8430650	20130710	110000	TuB ISE	US32113JBV61	First NLC Trust 2005-3 DL-FLR Notes 2005(35) Cl.M-2	S	-7.000.000	71,00	4.970.000,00	-7.000,00	0,71	4.966.773,78	USD	1,28	PFERSDCA	SOLI01
8431992	N	0	20130710	144246	TuB ISE	US32113JBV61	First NLC Trust 2005-3 DL-FLR Notes 2005(35) Cl.M-2	S	-7.000.000	71,00	4.970.000,00	4.970,00	0,71	4.978.743,78	USD	1,28	PFERSDCA	TRAC03
8431981	C	8430668	20130710	110000	TuB ISE	US32113JBV61	First NLC Trust 2005-3 DL-FLR Notes 2005(35) Cl.M-2	B	7.000.000	71,00	-4.970.000,00	-4.970,00	0,71	-4.977.686,00	USD	1,28	PFERSDCA	TRAC03
8430668	N	0	20130710	110000	TuB ISE	US32113JBV61	First NLC Trust 2005-3 DL-FLR Notes 2005(35) Cl.M-2	S	-7.000.000	71,00	4.970.000,00	4.970,00	0,71	4.977.686,00	USD	1,28	PFERSDCA	TRAC03
8430650	N	0	20130710	110000	TuB ISE	US32113JBV61	First NLC Trust 2005-3 DL-FLR Notes 2005(35) Cl.M-2	B	7.000.000	71,00	-4.970.000,00	7.000,00	0,71	-4.966.773,78	USD	1,28	PFERSDCA	SOLI01

Enter 1<Go> to send Ticket via MSG and VCON.

Bloomberg **TRADE TICKET** as of **7/10/13**
REUTERS

TRADER **OPTIMUS FONDER AB** **32113JBV6**
orig face FIRST NLC TRUST HOME EQT:MEZ,FLT,+

BUYS **7,000,000** **FNLC 2005-3 M2** **1.213%** **12/25/35**
DM = +545.1 BP 8.23 Avg Life

PRICE **71-00** assuming **CPR= 6.0** **YTM = 5.713%** 4/18- 6/26 Principal
 (71.0000000)

SETTLE **7/11/13** Thu Accrual Period 6/25/13 - 7/24/13 Monthly
CALL? **Date** **7/25/13** **Px** 100 Next payment: 7/25/13 (0 day delay)

1st Idx 0.19528 **LIBOR01M** 0.19528

Original Face	\$	7,000,000.00	
x Jun13 Factor		1.0000000000	√ actual current factor
= current face	\$	7,000,000.00	
Principal value	\$	4,970,000.00	
+ 16 days accrued	\$	3,773.78	√ actual current coupon
= total funds	\$	4,973,773.78	

NOTES : [REDACTED]

TRACE ELIGIBLE
Text HighLight?

issued: 11/16/05
 mature: 12/25/35
 Collat: HOME EQ5.16
 5.69(292)94

(1xLIBOR01M)+102BP. CAP= 14% FLOOR= 0.68%

Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
 Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 313 2000 Copyright 2013 Bloomberg Finance L.P.
 SN 109008 CEST GMT+2:00 G555-3889-0 10-Jul-2013 10:38:27

SV: Trade Confirmation GSAA 2006-6 AF7 & FNLC 2005-3 M2
From: Ulf Deckmark [ulf.deckmark@optimusfonder.se]
To: 'Carsten Pfersdorf'
Date: Wed, Jul 10, 2013 10:46 AM WT

Hi Carsten,

I confirm the trade.

Best regards

Ulf

Ulf Deckmark, VD
Optimus Fonder AB

Från: Carsten Pfersdorf [mailto:Carsten.Pfersdorf@cbseydler.com]
Skickat: den 10 juli 2013 10:41
Till: 'Ulf Deckmark'
Ämne: Trade Confirmation GSAA 2006-6 AF7 & FNLC 2005-3 M2

Hello Ulf,

please confirm the two trade attached.

Trade day will be today, settlement day tomorrow.

We will charge 10bps as usual.

Thanks
Carsten

Mit freundlichen Grüßen / With best regards

Carsten Pfersdorf
Sales Trading

We believe in German Mittelstand

- **Winner 2012 Best German SME House – Capital Markets Daily Portal**
- **Top Stock Picker 2012 – Thomson Reuters Starmine Ranking in sector machinery (pan-European)**
- **Best Bookrunner Mittelstandsanleihen 2011 – Bond Magazine**
- **Platz 1 Going Public League Table 2011 für Emissionen von Mittelstandsanleihen nach Anzahl und Volumen**
- **Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX**
- **Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland**

Close Brothers Seydler Bank AG
Registergericht: Frankfurt am Main
Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
Aufsichtsrat: Jonathan Howell (Vorsitzender)
Vorstand: René Parmantier, Holger Gröber

Schillerstr. 27-29

Fup bilaga 3

222

8/29/2018

Preview

Bonds...

From: Emil Amir Ingmanson [eai@solidequity.se]

To: Carsten Pfersdorf

Date: Tue, Jul 9, 2013 9:56 PM WT

Attachments:  [21256E5B-5599-47E1-B36B-02B91354B64D.png \(4.4 KB\)](#)  [Trade Ticket - Close Brothers to Optimus\[1\].pdf \(45.7 KB\)](#)  [Trade Ticket - FNLC - Close Brothers to Optimus\[1\].pdf \(45.3 KB\)](#)

Dear Carsten,

Here is the trade tickets for the sale of the two bonds that should arrive tomorrow. Settlement is Thursday.

Best Regards,
E-A Ingmanson



Hammarby Kaj 16
120 30 Stockholm, Sweden

—
+467-329 399 99
+356-999 380 99

www.solidequity.se
eai@solidequity.se

6

TradeDate	TradeTime	Portfolio	ISIN	Instrument	B/S	Quantity	TradePriceCCY	GrossAmountCCY	CommissionCCY	NetPriceCCY	NetAmountCCY	TrdCcy	CcyRate	Trader	SettleInstruct
20130808	100000	TuB ISE	US32113JBV61	First NLC Trust 2005-3 DL-FLR Notes 2005(35) Cl.M-2	S	-1.000.000	71,00	710.000,00	0,00	0,71	710.504,18	USD	1,33	PFERSDCA	SOLI01
20130808	100000	TuB ISE	US32113JBV61	First NLC Trust 2005-3 DL-FLR Notes 2005(35) Cl.M-2	B	1.000.000	71,00	-710.000,00	710,00	0,71	-709.794,18	USD	1,33	PFERSDCA	TRAC03
20130808	100000	TuB ISE	US32113JBV61	First NLC Trust 2005-3 DL-FLR Notes 2005(35) Cl.M-2	S	-1.000.000	71,00	710.000,00	-710,00	0,71	709.653,75	USD	1,33	PFERSDCA	TRAC03
20130808	100000	TuB ISE	US32113JBV61	First NLC Trust 2005-3 DL-FLR Notes 2005(35) Cl.M-2	B	1.000.000	71,00	-710.000,00	710,00	0,71	-709.653,75	USD	1,33	PFERSDCA	TRAC03

Lieferung 1Mio Solid 900728 FoP

From: Trade Operations Mailbox
 To: stefan.hille@bnpparibas.com
 Cc: Trade Operations Mailbox
 Date: Tue, Aug 20, 2013 12:13 PM WT
 Attachments:  [ABS delivery instructions.pdf \(178.9 KB\)](#)

Hallo Herr Hille,

könnten sie bitte die Million nochmals auf die Reise schicken und ggf, die Lieferinstruktionen nochmals prüfen.

Vielen Dank

Mit freundlichen Grüßen

Dana Benz-Fischer
 Trade Operations

We believe in German Mittelstand

- *Top 10 Brokers Europe – Wall Street Journal Europe 2013*
- *Winner 2012 Best German SME House – Capital Markets Daily Portal*
- *Best Bookrunner Mittelstandsanleihen 2011 und 2012 – BOND MAGAZINE*
- *Top Stock Picker 2012 – Thomson Reuters Starmine Ranking in sector machinery (pan-European)*
- *Platz 1 Going Public League Table 2011 für Emission von Mittelstandsanleihen nach Anzahl und Volumen*
- *Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX*
- *Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland*

Close Brothers Seydler Bank AG
 Schillerstrasse 27 - 29
 60313 Frankfurt am Main

Tel: +49 (0) 69 / 92054-308
 Fax: +49 (0) 69 / 92054-915
 e-mail: dana.benz-fischer@cbseydler.com

Registergericht: Frankfurt am Main
 Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
 Aufsichtsrat: Jonathan Howell (Vorsitzender)
 Vorstand: René Parmantier, Holger Gröber

<http://www.cbseydler.com>

Emil -

[Regarding bond: FNLC 2005-3 M2, cusip 32113JBV6, ISIN US32113JBV61, original face USD 1.000.000]

Please ask Close Brothers Seydler Bank to attempt delivery again. To confirm, you are delivering the subject bond to our account at LPL Financial. Again, it is DTC # 0075, and account # 1360-4701. Please also make a note on the delivery instructions to deliver the subject bond "FREE OF PAYMENT - FREE DELIVERY".

Aaron Hodgdon at LPL Financial is aware that you will make delivery. His contact information is aaron.hodgdon@lpl.com, +1-855-575-4678.

Let me know if there is any difficulty after the next attempt of delivery.

Thank you.

Regards,

Mark Bishop
 +1 949 678 9574

+46 709 933 538

----- Forwarded message -----

From: **Emil Amir Ingmanson** <amir77@me.com>
Date: Tue, Aug 20, 2013 at 11:13 AM
Subject: Fwd: ABS delivery instructions.pdf
To: Mark Bishop <mailtobishop@gmail.com>

What can we do?

Best Regards,

E-A Ingmanson

Sent from my iPhone

Vidarebefordrat brev:

Från: Markus Laifle <Markus.Laifle@cbseydler.com>
Datum: 20 augusti 2013 10:01:55 GMT+01:00
Till: "eai@solidequity.se" <eai@solidequity.se>
Kopia: Carsten Pfersdorf <Carsten.Pfersdorf@cbseydler.com>, Stefan Krewinkel <Stefan.Krewinkel@cbseydler.com>, Angela Leser <Angela.Leser@cbseydler.com>
Ämne: FW: ABS delivery instructions.pdf

Hello Emil,

ABS refused to take the bond in we tried to delivery.

Can you please check and let us know what to do?

Thank you and best regards

Markus

rom: Carsten Pfersdorf
Sent: Dienstag, 13. August 2013 15:25
To: Trade Operations Mailbox
Subject: FW: ABS delivery instructions.pdf

Hallo zusammen,

anbei die Instruktionen für die 1mln US bond aus Emils BNP depot.

Gruss
Carsten

From: Emil Ingmanson [mailto:eai@solidequity.se]
Sent: Freitag, 9. August 2013 06:52
To: Carsten Pfersdorf
Subject: ABS delivery instructions.pdf

Carsten -

Please find attached the delivery instructions for ABS INVESTMENT GROUP.

Deliver to LPL Financial, DTC #0075, Account No. 1360-4701, Account Name "ABS INVESTMENT GROUP, LLC". Make sure to add a notation, "Free Delivery".

Best Regards,

E-A Ingmanson

Sent from my iPhone

--

Mark Bishop

+1 949 678 9574

+46 709 933 538

**DELIVERY INSTRUCTIONS FOR ABSIG LLC
d.b.a. ABS INVESTMENT GROUP, LLC**

Effective as of: January 2013

DTC ELIGIBLE SECURITIES

LPL Financial
DTC# 0075
Account #1360-4701
Account name: ABS Investment Group, LLC

PHYSICAL SECURITIES

LPL Financial
Attention: Custody Department
9785 Towne Centre Drive
San Diego, California 92121
Further Credit: ABS Investment Group, LLC
Account #1360-4701

WIRE TRANSFERS - INTERNATIONAL

Swift Code: WFBIUS6S
Beneficiary Bank Name: Wells Fargo Bank
Beneficiary Bank Address: San Francisco, CA USA
Beneficiary Acct #: 122243334
Beneficiary Name: Commerce West Bank
Further Credit: ABS Investment Group, LLC
Acct #92200070
(Wire description)

WIRE TRANSFERS - DOMESTIC

Commerce West Bank
2111 Business Center Drive
Irvine, California 92612
ABA #122 243 334
Account #92200070
Account name: ABS Investment Group, LLC
(Wire description)

FOREIGN DELIVERY

EUROCLEAR# 93999
(Merrill Lynch)

TAX ID

26-2119490

CONFIRM MAILING ADDRESS

ABS Investment Group, LLC
Attn: Mark Bishop
707 Broadway, 18th Floor
San Diego, California 92101
[mbishop@absig.com]
[+1 949 678 9574]



9/6/2018

Preview

Confirm trade Optimus High Yield

From: Jan Eriksson [jan.eriksson@optimusfonder.se]

To: Carsten.Pfersdorf@cbseydler.com

Date: Thu, Aug 8, 2013 9:57 AM WT

God morning,

We confirm the trade.

Regards

Jan Eriksson

pls confirm your sell of 1mln nom **US32113JBV61** as in the trade attached.

Regards

Carsten

Markus Keßler

From: Markus Laifle
Sent: Dienstag, 20. August 2013 11:59
To: Trade Operations Mailbox
Subject: FW: ABS delivery instructions.pdf
Attachments: ABS delivery instructions.pdf

Dana, passt das dann ?

Gruß
Markus

From: Mark Bishop [<mailto:mailtobishop@gmail.com>]
Sent: Dienstag, 20. August 2013 11:49
To: Emil Amir Ingmanson; emil
Cc: Markus Laifle; aaron.hodgdon@lpl.com
Subject: Fwd: ABS delivery instructions.pdf

Emil -

[Regarding bond: FNLC 2005-3 M2, cusip 32113JBV6, ISIN US32113JBV61, original face USD 1.000.000]

Please ask Close Brothers Seydler Bank to attempt delivery again. To confirm, you are delivering the subject bond to our account at LPL Financial. Again, it is DTC # 0075, and account # 1360-4701. Please also make a note on the delivery instructions to deliver the subject bond "FREE OF PAYMENT - FREE DELIVERY".

Aaron Hodgdon at LPL Financial is aware that you will make delivery. His contact information is aaron.hodgdon@lpl.com, +1-855-575-4678.

Let me know if there is any difficulty after the next attempt of delivery.

Thank you.

Regards,

Mark Bishop
+1 949 678 9574
+46 709 933 538

----- Forwarded message -----

From: Emil Amir Ingmanson <amir77@me.com>
Date: Tue, Aug 20, 2013 at 11:13 AM
Subject: Fwd: ABS delivery instructions.pdf
To: Mark Bishop <mailtobishop@gmail.com>

What can we do?

Best Regards,

E-A Ingmanson

Sent from my iPhone

Vidarebefordrat brev:

Från: Markus Laifle <Markus.Laifle@cbseydler.com>
Datum: 20 augusti 2013 10:01:55 GMT+01:00
Till: "eai@solidequity.se" <eai@solidequity.se>
Kopia: Carsten Pfersdorf <Carsten.Pfersdorf@cbseydler.com>, Stefan Krewinkel <Stefan.Krewinkel@cbseydler.com>, Angela Leser <Angela.Leser@cbseydler.com>
Ämne: FW: ABS delivery instructions.pdf

Hello Emil,

ABS refused to take the bond in we tried to delivery.

Can you please check and let us know what to do?

Thank you and best regards

Markus

rom: Carsten Pfersdorf
Sent: Dienstag, 13. August 2013 15:25
To: Trade Operations Mailbox
Subject: FW: ABS delivery instructions.pdf

Hallo zusammen,

anbei die Instruktionen für die 1mln US bond aus Emils BNP depot.

Gruss

Carsten

From: Emil Ingmanson [mailto:eai@solidequity.se]
Sent: Freitag, 9. August 2013 06:52

To: Carsten Pfersdorf
Subject: ABS delivery instructions.pdf

Carsten -

Please find attached the delivery instructions for ABS INVESTMENT GROUP.

Deliver to LPL Financial, DTC #0075, Account No. 1360-4701, Account Name "ABS INVESTMENT GROUP, LLC". Make sure to add a notation, "Free Delivery".

Best Regards,

E-A Ingmanson

Sent from my iPhone

--

Mark Bishop
+1 949 678 9574
+46 709 933 538

7

→ siehe 5

TA No.	TransType	Ref-TA No.	TradeDate	TradeTime	Portfolio	ISIN	Instrument	B/S	Quantity	TradePriceCCY	GrossAmountCCY	CommissionCCY	NetPriceCCY	NetAmountCCY	TrdCcy	CcyRate	Trader	SettleInstruct
8432029	N	0	20130710	144536	TuB ISE	US362334MZ48	GSAA Home Equity Trust 2006-6 DL-FLR Certs 2006(36) Cl.AF-7	B	4.321.000	61,00	-2.635.810,00	4.321,00	0,61	-2.638.375,61	USD	1,28	PFERSDCA	SOLI01
8432023	C	8430661	20130710	110000	TuB ISE	US362334MZ48	GSAA Home Equity Trust 2006-6 DL-FLR Certs 2006(36) Cl.AF-7	S	-4.321.000	61,00	2.635.810,00	-4.321,00	0,61	2.638.375,61	USD	1,28	PFERSDCA	SOLI01
8431976	N	0	20130710	144051	TuB ISE	US362334MZ48	GSAA Home Equity Trust 2006-6 DL-FLR Certs 2006(36) Cl.AF-7	S	-4.321.000	61,00	2.635.810,00	2.635,81	0,61	2.645.332,42	USD	1,28	PFERSDCA	TRAC03
8431967	C	8430676	20130710	110000	TuB ISE	US362334MZ48	GSAA Home Equity Trust 2006-6 DL-FLR Certs 2006(36) Cl.AF-7	B	4.321.000	61,00	-2.635.810,00	-2.635,81	0,61	-2.645.332,42	USD	1,28	PFERSDCA	TRAC03
8430676	N	0	20130710	110000	TuB ISE	US362334MZ48	GSAA Home Equity Trust 2006-6 DL-FLR Certs 2006(36) Cl.AF-7	S	-4.321.000	61,00	2.635.810,00	2.635,81	0,61	2.645.332,42	USD	1,28	PFERSDCA	TRAC03
8430661	N	0	20130710	110000	TuB ISE	US362334MZ48	GSAA Home Equity Trust 2006-6 DL-FLR Certs 2006(36) Cl.AF-7	B	4.321.000	61,00	-2.635.810,00	4.321,00	0,61	-2.638.375,61	USD	1,28	PFERSDCA	SOLI01

Enter <Go> to send Ticket via MSG and VCON.



TRADE TICKET

as of **7/ 3/13**

TRADER CLOSE BROTHERS

orig face

GSAA HOME EQUITY TRUST

362334MZ4

HOME EQT:STEP,AFC,+

BUYS

4,321,000

GSAA

2006-6

AF7 5.73751% 3/25/36

PRICE 61-00

(61.00000000)

SETTLE 7/11/13 Thu

Accrual Period 7/ 1/13 - 7/31/13 Monthly
Next payment 8/25/13 (24 day delay)

Original Face	\$	4,321,000.00
x Jun13 Factor		1.0000000000
= current face	\$	4,321,000.00
Principal value	\$	2,635,810.00
+ 10 days accrued	\$	6,886.61
= total funds	\$	2,642,696.61

! ASSUMED (actual Jul13 factor unknown)

! ASSUMED (actual Jul13 coupon unknown)

TRACE ELIGIBLE

Text HighLight? **Y**

NOTES:

issued: 4/ 1/06
mature: 3/25/36
Collat:HOMEEQ5.34
5.59(264)90

Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.
SN 207448 H621-34-1 03-Jul-13 21:41:25 PDT GMT-7:00

Bonds...

From: Emil Amir Ingmanson [eai@solidequity.se]

To: Carsten Pfersdorf

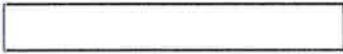
Date: Tue, Jul 9, 2013 9:56 PM WT

Attachments:  [21256E5B-5599-47E1-B36B-02B91354B64D.png \(4.4 KB\)](#)  [Trade Ticket - Close Brothers to Optimus\[1\].pdf \(45.7 KB\)](#)  [Trade Ticket - FNLC - Close Brothers to Optimus\[1\].pdf \(45.3 KB\)](#)

Dear Carsten,

Here is the trade tickets for the sale of the two bonds that should arrive tomorrow. Settlement is Thursday.

Best Regards,
E-A Ingmanson



Hammarby Kaj 16
120 30 Stockholm, Sweden

—
+467-329 399 99
+356-999 380 99

www.solidequity.se
eai@solidequity.se

Enter 1<Go> to send Ticket via MSG and VCON.

Bloomberg
RBS**TRADE TICKET**as of **7/10/13****TRADER** **OPTIMUS FONDER AB****362334MZ4**

orig face GSAH HOME EQUITY TRUST

HOME EQT:STEP,AFC,+

BUYS **4,321,000** **GSAA 2006-6 AF7** 5.73751% 3/25/36

.00 Avg Life

PRICE **61-00** assuming **PPC= 50** **YTM = -5.157%** 0/00- 0/00 Principal
(61.0000000)**SETTLE** **7/11/13** Thu Accrual Period 7/ 1/13 - 7/31/13 Monthly
CALL? Date **3/25/20** Px 100 Next payment 8/25/13 (24 day delay)

Original Face	\$	4,321,000.00	
x Jun13 Factor		1.0000000000	[ASSUMED (actual Jul13 factor unknown)
= current face	\$	4,321,000.00	
Principal value	\$	2,635,810.00	
+ 10 days accrued	\$	6,886.61	[ASSUMED (actual Jul13 coupon unknown)
= total funds	\$	2,642,696.61	

TRACE ELIGIBLE
Text HighLight? **NOTES :**issued: 4/ 1/06
mature: 3/25/36
Collat:HOMEEQ5.34
5.59(264)90Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.
SN 109008 CEST GMT+2:00 G555-3889-0 10-Jul-2013 10:37:22

SV: Trade Confirmation GSAA 2006-6 AF7 & FNLC 2005-3 M2
From: Ulf Deckmark [ulf.deckmark@optimusfonder.se]
To: 'Carsten Pfersdorf'
Date: Wed, Jul 10, 2013 10:46 AM WT

Hi Carsten,

I confirme the trade.

Best regards

Ulf

Ulf Deckmark, VD
Optimus Fonder AB

Från: Carsten Pfersdorf [mailto:Carsten.Pfersdorf@cbseydler.com]
Skickat: den 10 juli 2013 10:41
Till: 'Ulf Deckmark'
Ämne: Trade Confirmation GSAA 2006-6 AF7 & FNLC 2005-3 M2

Hello Ulf,

please confirm the two trade attached.

Trade day will be today, settlement day tomorrow.

We will charge 10bps as usual.

Thanks
Carsten

Mit freundlichen Grüßen / With best regards

Carsten Pfersdorf
Sales Trading

We believe in German Mittelstand

- **Winner 2012 Best German SME House – Capital Markets Daily Portal**
- **Top Stock Picker 2012 – Thomson Reuters Starmine Ranking in sector machinery (pan-European)**
- **Best Bookrunner Mittelstandsanleihen 2011 – Bond Magazine**
- **Platz 1 Going Public League Table 2011 für Emissionen von Mittelstandsanleihen nach Anzahl und Volumen**
- **Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX**
- **Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland**

Close Brothers Seydler Bank AG
Registergericht: Frankfurt am Main
Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
Aufsichtsrat: Jonathan Howell (Vorsitzender)
Vorstand: René Parmantier, Holger Gröber

Schillerstr. 27-29

Fup bilaga 3

239



→ siehe 5

TA No.	TradeDate	TradeTime	Portfolio	ISIN	Instrument	B/S	Quantity	TradePriceCCY	GrossAmountCCY	CommissionCCY	NetPriceCCY	NetAmountCCY	TrdCcy	CcyRate	Trader	SettleInstruct
8529004	20130723	082000	TuB ISE	US86360WAE21	Struct.Asset Inv.Ln Tr.2006-4 DL-FLR Certs 2006(36) Cl.A5	S	-30.000.000	73,00	21.900.000,00	21.900,00	0,73	21.934.055,83	USD	1,32	PFERSDCA	TRAC03
8528998	20130723	082021	TuB ISE	US86360WAE21	Struct.Asset Inv.Ln Tr.2006-4 DL-FLR Certs 2006(36) Cl.A5	B	30.000.000	73,00	-21.900.000,00	30.000,00	0,73	-21.882.155,83	USD	1,32	PFERSDCA	SOLI01

Trade ticket and Memo...

From: Emil Amir Ingmanson [eai@solidequity.se]

To: Carsten Pfersdorf

Date: Mon, Jul 22, 2013 5:23 PM WT

Attachments:  [21256E5B-5599-47E1-B36B-02B91354B64D\[136\].png \(4.4 KB\)](#)  [SAIL Trade Ticket - Close Brothers to Optimus.pdf \(51.6 KB\)](#)  [MEMORANDUM supporting pricing.docx \(69.6 KB\)](#)

Carsten -

Here is the Trade ticket and a Memorandum to explain the pricing if you need it for compliance.

Best Regards,
E-A Ingmanson



Hammarby Kaj 16
120 30 Stockholm, Sweden

—
+467-329 399 99

+356-999 380 99

www.solidequity.se
eai@solidequity.se

MEMORANDUM

Date: July 19, 2013
To: Emil Ingmanson
From: Mark Bishop
Re: SAIL 2006-4 A5
Compliance memo supporting pricing

The SAIL 2006-4 A5 bond (cusip 86360WAE2, ISIN US86360WAE21) performs well and is currently cheap at a price of 73.00%.

Supporting price:

- 1) A Canadian bond fund (Omniarch Fixed Income Fund) purchased USD 13 million of SAIL 2006-4 A5 at 77.00% on July 9, 2013;
- 2) Bloomberg provides a discount margin of 449BPs at a price of 73.00%;
- 3) Citi Group provides a total return of 13.414% at a price of 73.00%;
- 4) JPMorgan provides a total return of 13.711% at a price of 73.00%;
- 5) ABSNet provides a total return of 14.072% at a price of 73.00%;
- 6) US regional dealer, Mesirov Financial, offered a price of 75.00% for USD 15 million of SAIL 2006-4 A5 on July 19, 2013.

Enter <Go> to send Ticket via MSG and VCON.

Bloomberg **TRADE TICKET** as of **7/22/13**
RBS

TRADER **OPTIMUS FONDER AB** **86360WAE2**
orig face STRUCTURED ASSET INVESTMENT LOAN TRUST HOME EQT:FLT.STEP,+

BUYS **30,000,000** **SAIL 2006-4 A5** **0.503%** **7/25/36**
DM = +411.9 BP 8.80 Avg Life 10/17- 5/29 Principal

PRICE **73-00** assuming **CPR= 18.0** **YTM = 4.349%**
(73.0000000)

SETTLE **7/24/13** Wed Accrual Period 6/25/13 - 7/24/13 Monthly
 CALL? **N** Date **1/25/20** Px 100 Next payment 7/25/13 (0 day delay)

1st Idx 0.19193 LIBOR01M 0.19193

Original Face	\$	30,000,000.00	
x Jun13 Factor		1.0000000000	✓ actual current factor
= current face	\$	30,000,000.00	
Principal value	\$	21,900,000.00	
+ 29 days accrued	\$	12,155.83	✓ actual current coupon
= total funds	\$	21,912,155.83	

NOTES : [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

(1xLIBOR01M)+31BP. CAP=n/a % FLOOR= 0.31%

TRACE ELIGIBLE
 Text HighLight? **Y**

issued: 6/25/06
 mature: 7/25/36
 Collat:RESB/C4.87
 5.75(285)87

Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
 Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.
 SN 109008 CEST GMT+2:00 6705-2374-2 22-Jul-2013 17:30:36

SV: Confirmation SAIL 2006-4 A5

From: Ulf Deckmark [ulf.deckmark@optimusfonder.se]

To: Carsten Pfersdorf

Date: Mon, Jul 22, 2013 5:45 PM WT

Attachments:  SAIL 2006-4 A5.gif (27 KB)

Hi Carsten.

I confirme the order.

/ulf

Skickat från min Samsung Mobil

----- Originalmeddelande -----

Från: Carsten Pfersdorf <Carsten.Pfersdorf@cbseydler.com>

Datum:

Till: "ulf.deckmark@optimusfonder.se" <ulf.deckmark@optimusfonder.se>

Rubrik: Confirmation SAIL 2006-4 A5

Hi Ulf,

please confirm your buy of 30mln @ USD 73,- gross

Ticket is attached.

.

Have a nice evening.

Carsten Pfersdorf

9

→ siehe 5

TA No.	TransType	Ref-TA No.	TradeDate	TradeTime	Portfolio	ISIN	Instrument	B/S	Quantity	TradePriceCCY	GrossAmountCCY	CommissionCCY	NetPriceCCY	NetAmountCCY	TrdCcy	CcyRate	Trader	SettleInstruct
8726296	NM	8726175	20130814	173000	TuB ISE	US59024FAG90	ML Altern. Note Asset S.07-A2 DL-FLR Certs 2007(37) CIA-3D	S	-24.354.840	24,93	6.071.811,39	6.071,81	0,25	6.083.153,58	USD	1,33	LAIFFLEMA	TRAC03
8726296	CM	8726175	20130814	173000	TuB ISE	US59024FAG90	ML Altern. Note Asset S.07-A2 DL-FLR Certs 2007(37) CIA-3D	B	24.354.840	24,93	-6.071.811,39	-6.071,81	0,25	-6.083.153,58	USD	1,33	LAIFFLEMA	TRAC05
8726175	N	0	20130814	173000	TuB ISE	US59024FAG90	ML Altern. Note Asset S.07-A2 DL-FLR Certs 2007(37) CIA-3D	S	-24.354.840	24,93	6.071.811,39	6.071,81	0,25	6.083.153,58	USD	1,33	LAIFFLEMA	TRAC05
8726147	N	0	20130814	173000	TuB ISE	US59024FAG90	ML Altern. Note Asset S.07-A2 DL-FLR Certs 2007(37) CIA-3D	B	24.354.840	24,93	-6.071.811,39	24.354,84	0,25	-6.052.726,93	USD	1,33	LAIFFLEMA	SOLI01

Enter 1<Go> to send Ticket via MSG and VCOM.



TRADE TICKET

as of **8/13/13**

TRADER

CLOSE BROTHERS

59024FAG9

orig face

MERRILL LYNCH ALTERNATIVE NOTE ASSET

CMO :FLT,STEP,+

BUYS

24,354,840

MANA 2007-A2 A3D

0.49003% **3/25/37**

DM = +2073.1 BP 5.28 Avg Life

PRICE

34-16

assuming

CPR= 18.0

YTC = 21.847%

11/18-11/18 Principal

(34.5000000)

SETTLE

8/16/13

Fri

Accrual Period **7/25/13 - 8/25/13**

Monthly

CALL? Date **11/25/18** Px 100

1st Idx 0.18603 LIBOR01M 0.18603

Next payment **8/26/13** (0 day delay)

Original face

\$

24,354,840.00

x Jul13 Factor

\$

0.7226265270

✓ actual current factor

= current face

\$

17,599,453.44

Principal value

\$

6,071,811.44

+ 22 days accrued

\$

5,270.38

✓ actual current coupon

= total funds

\$

6,077,081.82

TRACE ELIGIBLE

Text Highlight?

NOTES :

[Redacted notes area]

issued: 3/30/07

mature: 3/25/37

Collat:ALTAR3.53

3.79(288)79

(1xLIBOR01M)+30BP. CAP=n/a % FLOOR= 0.3%

Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000

Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.

SN 329015 H621-456-1 14-Aug-13 6:38:15 PDT GMT-7:00

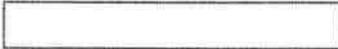
Re: US590204FAG90
From: Emil Amir Ingmanson [eai@solidequity.se]
To: Markus Laifle
Cc: Carsten Pfersdorf; Dana Benz-Fischer
Date: Wed, Aug 14, 2013 3:50 PM WT
Attachments:  [21256E5B-5599-47E1-B36B-02B91354B64D\[22\].png \(4.4 KB\)](#)  [Trade Ticket - MANA - ABS to SVC\[2\].pdf \(52.6 KB\)](#)  [Trade Ticket - MANA - Close Brothers to Optimus\[3\].pdf \(52.3 KB\)](#)

Dear all,

Here is the corrected Trade Tickets.

Sorry about this :(

Best Regards,
E-A Ingmanson



Hammarby Kaj 16
120 30 Stockholm, Sweden

+467-329 399 99
+356-999 380 99

www.solidequity.se
eai@solidequity.se

From: Markus Laifle <Markus.Laifle@cbseydler.com>
Date: Wed, 14 Aug 2013 11:47:09 +0000
To: "'eai@solidequity.se'" <eai@solidequity.se>
Cc: Carsten Pfersdorf <Carsten.Pfersdorf@cbseydler.com>, Dana Benz-Fischer <dana.benz-fischer@cbseydler.com>
Subject: US590204FAG90

Hi Emil,

BO just informs us that we receive nom 24.354.840 and not 24.000.000 as expected.

Can you please check?

Thx and rgds

Markus

Mit freundlichen Grüßen / With best regards

Markus Laifle
Sales Trading

Re: AW: FNLC Bond...

From: Emil Amir Ingmanson [eai@solidequity.se]

To: Carsten Pfersdorf

Date: Wed, Aug 14, 2013 10:23 AM WT

Attachments:  Trade Ticket - MANA - Close Brothers to Optimus.pdf (46.5 KB)

Hello,

I didn't know I did send you the sell ticket?

Here it is anyway with the pricing below if you need that.

MEMO - MANA supporting pricing

Re: MANA 2007-A2 A3D

Compliance memo supporting pricing

The MANA 2007-A2 A3D bond (cusip 59024FAG9, ISIN

US59024FAG90)

performs

well and is currently at a satisfactory level at a price of 34.50%.

Supporting price:

1. Fixed Income Fund, purchased USD 20 million of MANA 2007-A2 A3D at 37.00% on August 7, 2013;
 - 1) The Canadian bond fund, Omniarch
2. of 25.17% at a price of 34.50%;
 - 2) Citi Group provides a total return
3. of 24.20% at a price of 34.50%;
 - 3) JPMorgan provides a total return
4. 20.93% at a price of 34.50%;
 - 4) ABSNet provides a total return of
5. Financial, offered a price of 34.00% for USD 10 million of MANA 2007-A2 A3D on August 9, 2013.
 - 5) US regional dealer, Mesirow
6. (haydenconsultingintl.com) places a valuation price on the subject bond of 35.00%, as of August 9, 2013.
 - 6) Hayden Consulting International

Re: US590204FAG90

From: Emil Amir Ingmanson [eai@solidequity.se]

To: Markus Laifle

Cc: Carsten Pfersdorf; Dana Benz-Fischer

Date: Wed, Aug 14, 2013 2:35 PM WT

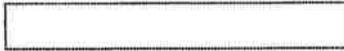
Attachments:  [21256E5B-5599-47E1-B36B-02B91354B64D\[7\].png \(4.4 KB\)](#)  [Trade Ticket - MANA - ABS to SVC.pdf \(46.9 KB\)](#)  [Trade Ticket - MANA - Close Brothers to Optimus.pdf \(46.5 KB\)](#)

Dear all,

These are the two trade tickets that I did send.

The nominal is 24 on both and the prices are correct.

Best Regards,
E-A Ingmanson



Hammarby Kaj 16
120 30 Stockholm, Sweden

—
+467-329 399 99
+356-999 380 99

www.solidequity.se
eai@solidequity.se

From: Markus Laifle <Markus.Laifle@cbseydler.com>

Date: Wed, 14 Aug 2013 11:47:09 +0000

To: "'eai@solidequity.se'" <eai@solidequity.se>

Cc: Carsten Pfersdorf <Carsten.Pfersdorf@cbseydler.com>, Dana Benz-Fischer <dana.benz-fischer@cbseydler.com>

Subject: US590204FAG90

Hi Emil,

BO just informs us that we receive nom 24.354.840 and not 24.000.000 as expected.

Can you please check?

Thx and rgds

Markus

Mit freundlichen Grüßen / With best regards

Markus Laifle
Sales Trading

We believe in German Mittelstand

Fup bilaga 3

250

Enter 1<Go> to send Ticket via MSG and VCON.



TRADE TICKET

as of 8/ 5/13

TRADER CLOSE BROTHERS

59024FAG9

orig face MERRILL LYNCH ALTERNATIVE NOTE ASSET

CMO :FLT,STEP,+

SELLS 24,000,000 MANA 2007-A2 A3D

0.49003% 3/25/37

PRICE 34-16

(34.5000000)

SETTLE 8/16/13 Fri

Accrual Period 7/25/13 - 8/25/13 Monthly
Next payment 8/26/13 (0 day delay)

nom. falsch

Original Face	\$	24,000,000.00	
x Jul13 Factor		0.7226265270	√ actual current factor
= current face	\$	17,343,036.65	
Principal value	\$	5,983,347.64	
+ 22 days accrued	\$	5,193.59	√ actual current coupon
= total funds	\$	5,988,541.23	

TRACE ELIGIBLE
Text Highlight?

NOTES :

[Redacted notes area]

issued: 3/30/07
mature: 3/25/37
Collat:AltaAR3.53
3.79(288)79

(1xLIBOR01M)+30BP. CAP=n/a % FLOOR= 0.3%

Fup bilaga 3

251

Enter 1<Go> to send Ticket via MSG and VCON.



TRADE TICKET

as of **8/ 5/13**

TRADER **ABS INVESTMENT GROUP**

59024FAG9

orig face MERRILL LYNCH ALTERNATIVE NOTE ASSET

CMO :FLT,STEP,+

SELLS **24,000,000** MANA 2007-A2 A3D

0.49003% 3/25/37

PRICE **27.6000000**

(27.6000000)

SETTLE **8/16/13** Fri

Accrual Period 7/25/13 - 8/25/13 Monthly

Next payment 8/26/13 (0 day delay)

Original Face	\$	24,000,000.00	
x Jul13 Factor		0.7226265270	√ actual current factor
= current face	\$	17,343,036.65	
Principal value	\$	4,786,678.11	
+ 22 days accrued	\$	5,193.59	√ actual current coupon
= total funds	\$	4,791,871.70	

TRACE ELIGIBLE
Text Highlight? **Y**

NOTES :

issued: 3/30/07
mature: 3/25/37
Collat:AltAAR3.53
3.79(288)79

(1xLIBOR01M)+30BP. CAP=n/a % FLOOR= 0.3%

Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.
SN 184239 H621-973-1 05-Aug-13 16:04:34 PDT GMT-7:00

Fup bilaga 3

252

Enter 1<Go> to send Ticket via MSG and VCON.



TRADE TICKET

as of **8/14/13**

TRADER **OPTIMUS FONDER**

59024FAG9

orig face MERRILL LYNCH ALTERNATIVE NOTE ASSET

CMO :FLT,STEP,+

BUYS **24,354,840** **MANA 2007-A2 A3D**

0.49003% 3/25/37

PRICE **34-16** assuming **CPR= 18.0** **YTM = -14.658%**
 (34.5000000) DN = -1531.1 BP 00 Avg Life 0/00- 0/00 Principal

SETTLE **8/16/13** Fri Accrual Period 7/25/13 - 8/25/13 Monthly

CALL? **Date** **11/25/18** Px 100 Next payment 8/26/13 (0 day delay)

1st Idx 0.18603 LIBOR01M 0.18603

Original Face	\$	24,354,840.00	
x Jul13 Factor		0.7226265270	✓ actual current factor
= current face	\$	17,599,453.44	
Principal value	\$	6,071,811.44	
+ 22 days accrued	\$	5,270.38	✓ actual current coupon
= total funds	\$	6,077,081.82	

TRACE ELIGIBLE
Text HighLight? **Y**

NOTES :

[Redacted notes]

issued: 3/30/07
mature: 3/25/37
Collat:AltaAR3.53
3.79(288)79

(1xLIBOR01M)+30BP. CAP=n/a % FLOOR= 0.3%

Australia 61 2 9777 8600 Brazil 5511 3048 4500 Europe 44 20 7330 7500 Germany 49 69 9204 1210 Hong Kong 852 2977 6000
 Japan 81 3 3201 8900 Singapore 65 6212 1000 U.S. 1 212 318 2000 Copyright 2013 Bloomberg Finance L.P.
 SN 600408 CEST GMT+2:00 6705-3866-1 14-Aug-2013 15:54:37

SV: US590204FAG90

From: Ulf Deckmark [ulf.deckmark@optimusfonder.se]

To: Markus Laifle

Cc: jan.eriksson@optimusfonder.se

Date: Wed, Aug 14, 2013 4:14 PM WT

Attachments:  image001.gif (26.9 KB)

Hi Markus,

I confirm the trade.

Best regards

Ulf

Från: Markus Laifle [mailto:Markus.Laifle@cbseydler.com]

Skickat: den 14 augusti 2013 16:02

Till: 'jan.eriksson@optimusfonder.se'

Kopia: 'ulf.deckmark@optimusfonder.se'; Carsten Pfersdorf

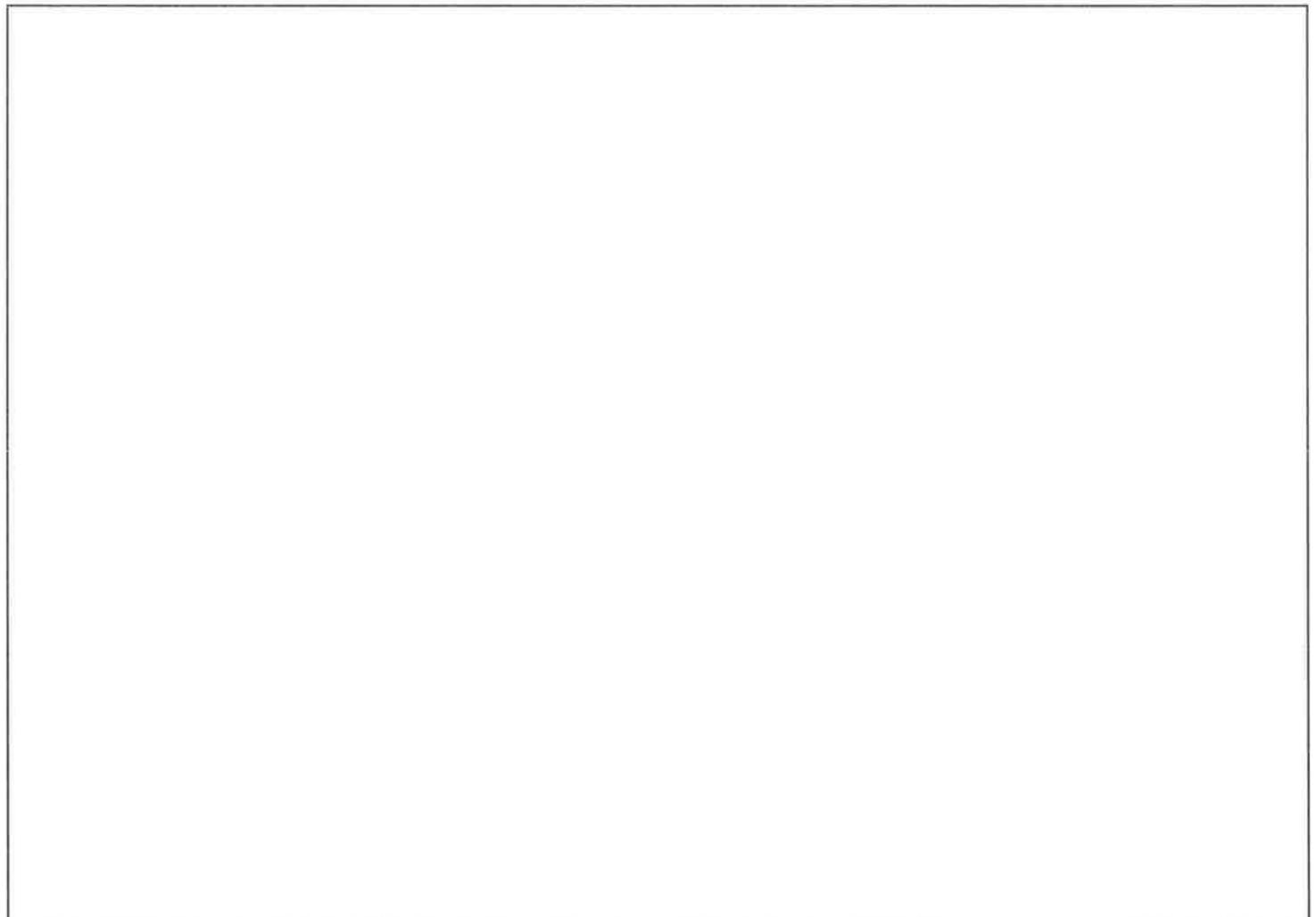
Ämne: US590204FAG90

Hello Jan, hello Ulf

please confirm your buy of nom. 24.354.840USD **US590204FAG90** as in the trade attached,

Thank you and regards

Markus Laifle



Mit freundlichen Grüßen / With best regards

Markus Laifle
Sales Trading

We believe in German Mittelstand

Top 10 Brokers Europe – Wall Street Journal Europe 2013

Winner 2012 Best German SME House – Capital Markets Daily Portal

Best Bookrunner Mittelstandsanleihen 2011 und 2012 – BOND MAGAZINE

Top Stock Picker 2012 – Thomson Reuters Starmine Ranking in sector machinery (pan-European)

Platz 1 Going Public League Table 2011 für Emission von Mittelstandsanleihen nach Anzahl und Volumen

Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX

Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland

Close Brothers Seydler Bank AG

Schillerstrasse 27 - 29
60313 Frankfurt am Main

Tel: +49 (0) 69 / 92054-120

Fax: +49 (0) 69 / 92054-905

cell: +49 (0) 172 / 7296625

e-mail: markus.laifle@cbseydler.com

Registergericht: Frankfurt am Main

Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507

Aufsichtsrat: Jonathan Howell (Vorsitzender)

Vorstand: René Parmantier, Holger Gröber

<http://www.cbseydler.com>

8/29/2018

Preview

New Bond...

From: Emil Amir Ingmanson [eai@solidequity.se]

To: Carsten Pfersdorf

Date: Mon, Aug 12, 2013 11:09 PM WT

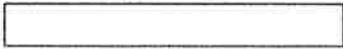
Attachments:  [21256E5B-5599-47E1-B36B-02B91354B64D\[10\].png \(4.4 KB\)](#)  [Trade Ticket - MANA - ABS to SVC.pdf \(46.9 KB\)](#)

Dear Carsten,

Here is the bond that's on its way to my account.

ISIN US59024FAG90

Best Regards,
E-A Ingmanson



Hammarby Kaj 16
120 30 Stockholm, Sweden

—
+467-329 399 99

+356-999 380 99

www.solidequity.se
eai@solidequity.se

Enter 1<Go> to send Ticket via MSG and VCON.



TRADE TICKET

as of **8/ 5/13**

TRADER **ABS INVESTMENT GROUP**

59024FAG9

orig face MERRILL LYNCH ALTERNATIVE NOTE ASSET

CMO :FLT,STEP,+

SELLS **24,000,000** MANA 2007-A2 A3D

0.49003% **3/25/37**

PRICE **27.6000000**
(**27.6000000**)

SETTLE **8/16/13** Fri Accrual Period 7/25/13 - 8/25/13 Monthly
Next payment 8/26/13 (0 day delay)

Original Face	\$	24,000,000.00	
x Jul13 Factor		0.7226265270	√ actual current factor
= current face	\$	17,343,036.65	
Principal value	\$	4,786,678.11	
+ 22 days accrued	\$	5,193.59	√ actual current coupon
= total funds	\$	4,791,871.70	

TRACE ELIGIBLE
Text Highlight? **Y**

NOTES : [REDACTED]

issued: 3/30/07
mature: 3/25/37
Collat: AltaAR3.53
3.79(288)79

(1xLIBOR01M)+30BP. CAP=n/a % FLOOR= 0.3%

Fup bilaga 3

257

FuP bilaga 3

258

Close Brothers Seydler Bank AG, Kunden-Depotgeschäft via BNP PARIBAS Securities Service S.C.A., Zweigniederlassung Frankfurt						
Depot # 900728 - Eingänge/ Ausgang Frei von Zahlung (Anlage 2.3)						
ISIN	Eingang/ Ausgang	Name	Nom.	trade date	Gegenseite der Frei von Zahlung Transaktion	
1	US05949AZH66	Eingang	BANC OF AMERICA MTG 2004-L TR. DL-FLR CERTS 2004(35) CL.B-1	12 863 000 USD	2013-02-22	ABS Investment Group, acc. 1360-4701, DTC 0075
2	US61746RDS76	Eingang	MS ABS CAP.I INC. TR.2003-NC8 DL-FLR CERTS 2003(33) CL.B-3	10 696 000 USD	2013-04-09	ABS Investment Group, acc. 1360-4701, DTC 0075
3	US52525FAH64	Eingang	LEHMAN MORTGAGE TRUST 2008-6 DL-FLR CERTS 2008(47) CL.B1	6 614 000 USD	2013-05-14	ABS Investment Group, acc. 7395-4378, DTC 0075
4	US05946XGH08	Eingang	BANC OF AMERICA FDG 2004-1 TR. DL-FLR CERTS 2004(34) CL.B-2	5 345 000 USD	2013-06-13	ABS Investment Group, acc. 7395-4378, DTC 0075
5	US32113JBV61	Eingang	FIRST NLC TRUST 2005-3 DL-FLR NOTES 2005(35) CL.M-2	7 000 000 USD	2013-07-10	ABS Investment Group, acc. 1360-4701, DTC 0075
6	US32113JBV61	Ausgang	FIRST NLC TRUST 2005-3 DL-FLR NOTES 2005(35) CL.M-2	1 000 000 USD	2013-08-22	ABS Investment Group, acc. 1360-4701, DTC 0075
7	US362334MZ48	Eingang	GSA HOME EQUITY TRUST 2006-6 DL-FLR CERTS 2006(36) CL.AF-7	4 321 000 USD	2013-07-10	ABS Investment Group, acc. 1360-4701, DTC 0075
8	US86360WAE21	Eingang	STRUCT.ASSET INV.LN TR.2006-4 DL-FLR CERTS 2006(36) CL.A5	30 000 000 USD	2013-07-22	ABS Investment Group, acc. 7395-4378, DTC 0075
9	US59024FAG90	Eingang	ML ALTERN. NOTE ASSET S.07-A2 DL-FLR CERTS 2007(37) CL.A-3D	24 354 840 USD	2013-08-15	ABS Investment Group, DTC 0075

Info
Unser Depotkunde Solid Venture Captial Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Traction Fonder AB.
Unser Depotkunde Solid Venture Captial Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Traction Fonder AB.
Unser Depotkunde Solid Venture Captial Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.
Unser Depotkunde Solid Venture Captial Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.
Unser Depotkunde Solid Venture Captial Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.
Unser Depotkunde Solid hat die Stücke OTC von Optimus Fonder AB gekauft, und im Anschluss frei von Zahlung an ABS Investment Group übertragen.
Unser Depotkunde Solid Venture Captial Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.
Unser Depotkunde Solid Venture Captial Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.

Close Brothers Seydler Bank AG, Kundenhandel (Kommissionsgeschäft) via HSBC Trinkaus & Burkhardt AG, Düsseldorf															
OTC Käufer						OTC Verkäufer									
Käufer	Nom.	Settlement amount	Settlement	Trade Day	Value Day	Verkäufer	Settlement amount	Settlement	Trade Day	Value Day	Verkäufer	Settlement amount	Settlement	Trade Day	Value Day
Traction Fonder AB (Anlage 3.1)	12 863 000 USD	4 326 776,28 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	2013-02-22	2013-02-26	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	4 318 184,66 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	2013-02-22	2013-02-26	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	1 296 265,41 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	2013-04-10	2013-04-12
Traction Fonder AB (Anlage 3.1)	10 696 000 USD	1 298 848,83 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	2013-04-10	2013-04-12	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	3 762 749,99 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	2013-05-15	2013-05-17	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	2 712 910,17 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	2013-06-17	2013-06-20
Optimus Fonder AB (Anlage 3.1)	6 614 000 USD	3 770 257 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	2013-05-15	2013-05-17	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	4 966 773,78 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	2013-07-10	2013-07-12	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	709 794,18 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	2013-08-08	2013-08-09
Optimus Fonder AB (Anlage 3.1)	5 345 000 USD	2 720 961 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	2013-06-17	2013-06-20	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	2 638 375,61 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	2013-07-10	2013-07-12	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	21 882 155,83 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	2013-07-23	2013-07-25
Optimus Fonder AB (Anlage 3.1)	7 000 000 USD	4 978 744 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	2013-07-10	2013-07-12	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	6 052 726,93 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	2013-08-14	2013-08-16	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)				
Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	1 000 000 USD	710 504,18 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	2013-08-08	2013-08-09	Optimus Fonder AB (Anlage 3.1)	709 794,18 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	2013-08-08	2013-08-09	Optimus Fonder AB (Anlage 3.1)				
Optimus Fonder AB (Anlage 3.1)	4 321 000 USD	2 645 332,42 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	2013-07-10	2013-07-12	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)					Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)				
Optimus Fonder AB (Anlage 3.1)	30 000 000 USD	21 934 055,83 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	2013-07-23	2013-07-25	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)					Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)				
Optimus Fonder AB (Anlage 3.1)	24 354 840 USD	6 083 154 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	2013-08-14	2013-08-16	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)					Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)				

Ekobrottsmyndigheten
Stockholm

2018 -11- 29

Ärende EB:.....

Tjänst..... Handl nr.....

Ekobrottsmyndigheten
Första ekobrottskammaren
Att: Petra Hallin González
Box 820
101 36 Stockholm

Översättning från tyska till svenska

Referens: EB-4689-16, Handläggare 914-14

Hej!

Jag bifogar översättning med vårt uppdragsnummer 2018/8338. Hör gärna av dig om du har frågor eller kommentarer på översättningen.

Tack för uppdraget och välkommen åter!

Med vänlig hälsning

Emily Eriksson
Projektledare
emily.eriksson@sprakservice.se

**Staatsanwaltschaft Frankfurt am Main
Der Leitende Oberstaatsanwalt**



HESSEN



Staatsanwaltschaft - 60256 Frankfurt am Main

Schwedisches Zentralamt
für Wirtschaftskriminalität
Box 820
101 36 STOCKHOLM
SCHWEDEN

Aktenzeichen: **9408 AR 301552/18 RH**

Dst.-Nr.: 0231
Bearbeiter/in:
Durchwahl: 8216
Fax: 6210
E-Mail: internationale-rechtshilfe@sta-
frankfurt.justiz.hessen.de
Ihr Zeichen:
Ihre Nachricht:

Datum: 24. September 2018

**Internationaler Rechtshilfeverkehr in Strafsachen
Europäische Ermittlungsanordnung Aktenzeichen EB-4689-16**

Sehr geehrte Damen und Herren,

in Erledigung Ihres Ersuchens vom 03. April 2018 (Europäische Ermittlungsanordnung, Aktenzeichen EB-4689-16, Dokument 1477) übersende ich das Schreiben der Oddo Seydler Bank AG vom 11. September 2018 nebst Anlagen.

Mit freundlichen Grüßen

Im Auftrag

Dr. Krach
Staatsanwalt





Staatsanwaltschaft Frankfurt am Main
Dst.-Nr.: 0231
z.Hd. Herrn Dr. Krach
60256 Frankfurt am Main

Ihre Nachricht vom
11.06.2018

Unsere Nachricht vom

Telefon, FAX
+49(0) 69 92054-0

Ort und Datum
Frankfurt, 11.09.2018

Aktenzeichen: 9408 AR 301552/18 RH

Schwedisches Ermittlungsverfahren gegen Max Emil SERWIN (vormals: Emil Amir INGMANSSON), geboren am 06.10.1977, und andere wegen des Verdachts des Betruges

Sehr geehrter Herr Dr. Krach,

wir nehmen Bezug auf ihr Schreiben vom 11.06.2018, und möchten Ihnen anbei die die gewünschten Unterlagen für unseren ehemaligen Konto- und Depotkunden Solid Venture Capital Ltd. zur Verfügung stellen:

Zu Punkt 1.:

Depot # 900728	Solid Venture Capital Ltd.
Konto # 728	Solid Venture Capital Ltd. (EURO-Konto)
Konto #100000728	Solid Venture Capital Ltd. (GBP-Fremdwährungskonto)
Konto # 800000728	Solid Venture Capital Ltd. (DKK-Fremdwährungskonto)
Konto # 200000728	Solid Venture Capital Ltd. (USD-Fremdwährungskonto)

Weitere Konten und Depots wurden für Solid Venture Capital Ltd. nicht geführt.

Zu Punkt 1.a.:

Die gewünschten Kontoeröffnungsunterlagen entnehmen Sie bitte der Anlage 1 auf dem beigefügten Memory-Stick.



Zu Punkt 1.b.:

Die ODDO SEYDLER BANK AG hatte im Rahmen des Kunden-Depotgeschäftes kein Online-Banking im Angebot.

Zu Punkt 1.c.:

Die gewünschte Umsatzübersicht nebst dem für den genannten Zeitraum gültigen Schlüsselverzeichnis mit ausführlichen Buchungstexten entnehmen Sie bitte der Anlage 2.

Zu Punkt 1.d.:

Als Verfügungsberechtigte für die oben genannten Konten und Depots waren folgende Personen hinterlegt:

Emil Amir Ingmanson, geb. am 06.10.1977 und

Afram Gergeo, geb. am 05.02.1977

Zu Punkt 2.:

In Bezug auf die in Ihrer Anlage unter Punkt 2.2 aufgeführten Zahlungen entnehmen Sie die gewünschten Unterlagen bitte unserer Anlage 2.2.

Zu Punkt 3.:

Die Beantwortung der in Ihrer Anlage unter Punkt 2.3 gestellten Fragen entnehmen Sie bitte unserer Anlage 2.3.

Zu Punkt 4.:

Die Beantwortung der in Ihrer Anlage unter Punkt 2.4 gestellten Fragen entnehmen Sie bitte unserer Anlage 2.4.

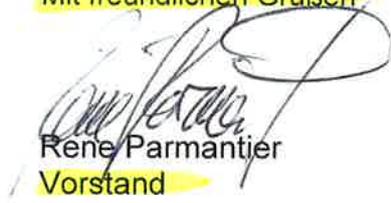
Die Beantwortung der in Ihrer Anlage unter Punkt 3.1 gestellten Fragen entnehmen Sie bitte unserer Anlage 3.1.

Ihre Anfrage unter Anlage unter Punkt 3.2. enthielt keine weiteren Gesellschaften/ Personen zur Prüfung.



Für weitere Rückfragen stehen wir Ihnen gerne zur Verfügung.

Mit freundlichen Grüßen



René Parmantier
Vorstand



Holger Gröber
Vorstand

Anlagen

Anlage 2

Umsatzübersicht nebst für den genannten Zeitraum gültigem Schlüsselerzeichnis mit ausführlichen Buchungstexten.

[sida 1]

**Internationell rättslig hjälp i brottmål
Europeisk utredningsorder, referensnummer EB-4689-16**

Hej,

I utförandet av er förfrågan från den 3 april 2018 (Europeisk utredningsorder, referensnummer EB-4689-16, dokument 1477) skickar jag härmed skrivelsen från Oddo Seydler Bank AG från den 11 september 2018 med bilagor.

Med vänliga hälsningar
[underskrift]
Åklagare

[sida 2]

Referensnummer: 9408 AR 301552/18 RH

Svensk förundersökning mot Max Emil SERWIN (tidigare: Emil Amir INGMANSSON), född 1977.10.06, med flera gällande misstanke om bedrägeri

Hej dr. Krach,

Vi hänvisar till er skrivelse från 2018.06.11 och bifogar dokumenten om vår före detta konto- och depåkund Solid Venture Capital Ltd.:

Till punkt 1:

- konto i utländsk valuta
- konto i utländsk valuta
- konto i utländsk valuta

Vi förde inga ytterligare konton och depåer för Solid Venture Capital Ltd.:s räkning.

Till punkt 1a:

Dokumentet om öppnande av konto som ni efterfrågar finns på det bifogade usb-minnet i bilaga 1.

[sida 3]

Till punkt 1b:

ODDO SEYDLER BANK AG erbjöd inom ramarna för kund-depåaffären ingen online banking.

Till punkt 1c:

Översikt över omsättning samt nyckelförteckning med utförliga transaktionsbeskrivningar för den nämnda perioden finns i bilaga 2.

Till punkt 1d:

Förfoganderätt till ovan nämnda konton och depåer hade följande personer:

Emil Amir Ingmansson, född 1977.10.06 och

Afram Gergeo, född 1977.02.05

Till punkt 2:

Gällande de betalningar som ni anger i punkt 2 i bilagan finns de dokument ni önskar i vår bilaga 2.2.

Till punkt 3:

För svar på de frågor ni ställer i er bilaga under punkt 2.3, se vår bilaga 2.3.

Till punkt 4:

För svar på de frågor ni ställer i er bilaga under punkt 2.4, se vår bilaga 2.4.

För svar på de frågor ni ställer i er bilaga under punkt 3.1, se vår bilaga 3.1.

De frågor som ni ställer i er bilaga under punkt 3.2 innehåller inga ytterligare företag/personer att kontrollera.

[sida 4]

För ytterligare frågor står vi gärna till ert förfogande.

Med vänliga hälsningar

[underskrift]

Företagsledning

[underskrift]

Företagsledning

Bilagor

[sida 5]

Bilaga 2

Översikt över omsättning samt nyckelförteckning för den nämnda perioden med utförliga transaktionsbeskrivningar.

2013-2014

Datum	Buchungstext	Umsatz Soll EUR	Umsatz Haben EUR	WKZ	Eingabebetrag	Kurs	Transaktion	Empfänger/Auftraggeber	IBAN/Kto-Nr.	BIC/BLZ	Bank	Anlage Nr.
01.08.2013	EB-Wert		38.592,89				bankinterne Buchung					
06.08.2013	GE#200000728 Solid Venture Capital Ltd.		481.478,42	USD	639.403,34	1,328	Geldeingang per Überweisung	ABS Investment Group LLC	92200070			
07.08.2013	GE#200000728 Solid Venture Capital Ltd.		18.789,93	USD	25.000,00	1,3305	Geldeingang per Überweisung	Solid Venture Limited	MT18BNIF14502003215321519000000	BNIFMTMT	COMMERCEWEST BANK, NA	2
08.08.2013	K#200000728 nom. \$ 1.000.000,00 A0UQ7T	531.814,51		USD	710.504,18	1,336	Wertpapier-Kauf				Banif Bank, Malta	3
15.08.2013	VK#200000728 nom. \$ 24.354.840,00 A1HPZX		4.551.949,30	USD	6.052.726,98	1,3297	Wertpapier-Verkauf					
19.08.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Equity Nord	149.880,10		USD	200.000,00	1,3344	Geldausgang per Überweisung	Solid Equity Nordic AB	SE031200000013670152776	DABASESX	Danske Bank, Sweden	4
19.08.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Venture Cap	157.374,10		USD	210.000,00	1,3344	Geldausgang per Überweisung	Solid Venture Capital Ltd. Malta	MT18BNIF14502003235321519000000	BNIFMTMT	Banif Bank, Malta	5
19.08.2013	GA#200000728 Solid Venture Capital Ltd. an ABS Investment Gr	3.644.124,35		USD	4.862.719,53	1,3344	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	6
26.08.2013	ÜW#200000728 Solid Venture Capital Ltd. an Boardwalk Co. Ltd	288.152,08		USD	385.000,00	1,3361	Geldausgang per Überweisung	Solid Venture Capital Ltd. Malta	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank, Malta	7
26.08.2013	ÜW#200000728 Solid Venture Capital Ltd. an Solid Venture Cap	288.152,08		USD	385.000,00	1,3361	Geldausgang per Überweisung	Boardwalk Co. Ltd	MT87VALL22013000000040021736533	VALLMTMT	Bank of Valletta	8
30.08.2013	USD-Bewertungskorrektur#728 30.08.2013	19.874,95		USD	26.304,50	1,3235	bankinterne Buchung					
30.09.2013	USD-Bewertung 30.09.2013			USD	308,83	1,3505	bankinterne Buchung					
11.11.2013	USD-Bewertungen 31.10.2013	111,76		USD	152,45	1,3641	bankinterne Buchung					
29.11.2013	USD-Bewertung#200000728 2013-11		24,46	USD	33,29	1,3611	bankinterne Buchung					
30.12.2013	USD-Bewertung 2013-12	145,17		USD	200,2	1,3791	bankinterne Buchung					
08.01.2014	USD-Bewertung 08.01.2014 200000728		159,08	USD	216,25	1,3594	bankinterne Buchung					
31.01.2014	Bewertung#728 31.04.2014		64,26	USD	86,86	1,3516	bankinterne Buchung					
03.07.2014	GA#200000728 Solid Venture	11.022,12		USD	15.000,00	1,3609	Geldausgang per Überweisung	Solid Venture Capital Ltd	GB16BARC20956154570344	BARCGB22	Barclays Bank UK	9
31.07.2014	USD Bewertung	74,8		USD	100,07	1,3379	bankinterne Buchung					

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Datum	Buchungstext	Umsatz Soll EUR	Umsatz Haben EUR	WKZ	Eingabebetrag	Kurs	Transaktion	Empfänger	IBAN/Kto-Nr.	BIC/BLZ	Bank	Anlage Nr.
26.02.2013	VK#728 nom. USD 12.863.000,00 A1HGFK		3.302.110,65	USD	4.318.170,10	1,3077	Wertpapier-Verkauf					
28.02.2013	GA#728 Solid Venture Capital Ltd.	95.209,08		USD	125.000,00	1,3129	Geldausgang per Überweisung	Strategi Placering AB	SE391200000013670157948	DABASESX	Danske Bank, Sweden	10
28.02.2013	GA#728 Solid Venture Capital Ltd.	34.275,27		USD	45.000,00	1,3129	Geldausgang per Überweisung	Solid Equity Nordic AB	SE031200000013670152776	DABASESX	Danske Bank, Sweden	11
01.03.2013	UW#728 Solid Venture Capital Ltd.	2.664.090,51		USD	3.463.317,66	1,3	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	12
05.03.2013	GA#728 Solid Venture Capital Ltd.	345.250,88		USD	450.000,00	1,3034	Geldausgang per Überweisung	Solid Venture Capital Ltd, Malta	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank, Malta	13
05.03.2013	GA#728 Solid Venture Capital Ltd.	81.282,80		USD	105.944,00	1,3034	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	14
11.04.2013	VK#728 nom. USD 10.696.000,00 A1HHS7		988.071,53	USD	1.296.251,04	1,3119	Wertpapier-Verkauf					
12.04.2013	GA#200000728 ABS Investment Group LLC	796.958,38		USD	1.040.190,08	1,3052	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank, USA	15
12.04.2013	GA#200000728 Solid Equity Nordic AB	76.616,61		USD	100.000,00	1,3052	Geldausgang per Überweisung	Solid Equity Nordic AB	SE031200000013670152776	DABASESX	Danske Bank, Sweden	16
17.04.2013	GA#728 Solid Venture Capital Ltd. an Sydney Michael Alston	6.093,38		USD	8.000,00	1,3129	Geldausgang per Überweisung	Sydney Michael Alston	5104290480	WFBIUS6S	Wells Fargo Bank, USA	17
18.04.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Equity Nord	134.151,02		USD	175.000,00	1,3045	Geldausgang per Überweisung	Solid Equity Nordic AB	SE031200000013670152776	DABASESX	Danske Bank, Sweden	18
03.05.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Equity Nord	76.254,38		USD	100.000,00	1,3114	Geldausgang per Überweisung	Solid Equity Nordic AB	SE031200000013670152776	DABASESX	Danske Bank, Sweden	19
16.05.2013	VK#728 nom. USD 6.614.000,00 A1HKS8		2.925.023,32	USD	3.762.750,00	1,2864	Wertpapier-Verkauf					
21.05.2013	GA#200000728 Solid Venture Capital Ltd.	194.310,59		USD	250.000,00	1,2866	Geldausgang per Überweisung	Solid Equity Nordic AB	SE031200000013670152776	DABASESX	Danske Bank, Sweden	20
21.05.2013	GA#200000728 Solid Venture Capital Ltd.	349.759,05		USD	450.000,00	1,2866	Geldausgang per Überweisung	Solid Venture Capital Ltd, Malta	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank, Malta	21
21.05.2013	GA#200000728 Solid Venture Capital Ltd.	2.344.010,24		USD	3.015.803,57	1,2866	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	22
18.06.2013	Solid Ventur: Vk nom USD 5.345.000 BC Amer.Fdg 04-4 2013		2.028.495,69	USD	2.712.910,14	1,3374	Wertpapier-Verkauf					
21.06.2013	Übertrag an Solid Quity Nordic AB	189.681,34		USD	250.000,00	1,318	Geldausgang per Überweisung	Solid Equity Nordic AB	SE031200000013670152776	DABASESX	Danske Bank, Sweden	23
21.06.2013	Übertrag an ABS Investment Group LLC, US	1.646.348,21		USD	2.169.886,94	1,318	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	24
01.07.2013	GA#200000728 Solid Venture Capital Ltd.	260.796,20		USD	340.000,00	1,3037	Geldausgang per Überweisung	Solid Venture Capital Ltd, Malta	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank, Malta	25
02.07.2013	USD-Bewertung 02.07.2013		52.876,36	USD	52.876,36		1 bankinterne Buchung					
11.07.2013	VK#200000728 nom. USD 4.321.000,00 A1HNC0		2.022.673,73	USD	2.638.375,61	1,3044	Wertpapier-Verkauf					
11.07.2013	VK#200000728 nom. USD 7.000.000,00 A0UQ7T		3.807.707,59	USD	4.966.773,78	1,3044	Wertpapier-Verkauf					
12.07.2013	GA#200000728 Solid Venture Capital Ltd.	7.646,91		USD	9.966,98	1,3034	Nachbelastung CMO factor adjustments für die WP-Transaktion US05946XGH08 durch BNP Paribas (Depotbank)					26
15.07.2013	GA#200000728 Solid Venture Capital Ltd. an ABS Investment Gr	1.828.401,18		USD	2.379.115,61	1,3012	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	27
15.07.2013	GA#200000728 Solid Venture Capital Ltd. an ABS Investment Gr	3.440.496,30		USD	4.476.773,78	1,3012	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	28
17.07.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Equity Nord	152.253,35		USD	200.000,00	1,3136	Geldausgang per Überweisung	Solid Equity Nordic AB	SE031200000013670152776	DABASESX	Danske Bank, Sweden	29
17.07.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Venture Cap	190.316,69		USD	250.000,00	1,3136	Geldausgang per Überweisung	Solid Venture Capital Ltd, Malta	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank	30
18.07.2013	GA#200000728 Solid Venture Capital Ltd. an Boardwalk Co. Ltd	190.941,72		USD	250.000,00	1,3093	Geldausgang per Überweisung	Boardwalk Co., Ltd	MT87VALL22013000000040021736533	VALLMTMT	Bank of Valletta	31
24.07.2013	VK#200000728 nom. \$ 30.000.000,00 A0G4W9		16.519.821,70	USD	21.882.155,83	1,3246	Wertpapier-Verkauf					
26.07.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Equity Nord	150.829,56		USD	200.000,00	1,326	Geldausgang per Überweisung	Solid Equity Nordic AB	SE031200000013670152778	DABASESX	Danske Bank, Sweden	32
26.07.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Venture Cap	565.610,86		USD	750.000,00	1,326	Geldausgang per Überweisung	Solid Venture Capital Ltd, Malta	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank, Malta	33
26.07.2013	GA#200000728 Solid Venture Capital Ltd. an Boardwalk Co. Ltd	565.610,86		USD	750.000,00	1,326	Geldausgang per Überweisung	Boardwalk Co. Ltd	MT87VALL22013000000040021736533	VALLMTMT	Bank of Valletta	34
26.07.2013	GA#200000728 Solid Venture Capital Ltd. an ABS Investment Gr	14.873.420,69		USD	19.722.155,83	1,326	Geldausgang per Überweisung	ABS Investment Group LLC	122243334	WFBIUS6S	Wells Fargo Bank	35
31.07.2013	GA#200000728 Solid Venture Capital Ltd. an Boardwalk Co. Ltd	169.491,53		USD	225.000,00	1,3275	Geldausgang per Überweisung	Solid Venture Capital Ltd, Malta	MT18BNIF14502003215321519000000	BNIFMTMT	Banif Bank, Malta	36
31.07.2013	GA#200000728 Solid Venture Capital Ltd. an Solid Venture Cap	169.491,53		USD	225.000,00	1,3275	Geldausgang per Überweisung	Boardwalk Co. Ltd	MT87Vall22013000000040021736533	VALLMTMT	Bank of Valletta	37
31.07.2013	Bewertungskorrektur#200000728 2013-07	8.588,56		USD	11.401,32	1,3275	bankinterne Buchung					

Fußnoten

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Transaktionsbeskrivning | Omsättning debet EUR | Omsättning Kredit EUR | Ingående belopp |

EB-värde

GE#200000728 Solid Venture Capital Ltd.

GE#200000728 Solid Venture Capital Ltd.

K#200000728 nom. \$ 1 000 000,00 AOUQ7T

VK#200000728 nom. \$ 24 354 840,00 A1HPZX

GA#200000728 Solid Venture Capital Ltd. till Solid Equity Nord

GA#200000728 Solid Venture Capital Ltd. till Solid Venture Cap

GA#200000728 Solid Venture Capital Ltd. till ABS Investment Gr

ÜW#200000728 Solid Venture Capital Ltd. till Boardwalk Co. Ltd

ÜW#200000728 Solid Venture Capital Ltd. till Solid Venture Cap

USD-värderingskorrektur # 728 2013.08.30

USD-värdering 2013.09.30

USD-värdering 2013.10.31

USD-värdering #200000728 2013-11

USD-värdering 2013-12

USD-värdering 2014.01.08 200000728

Värdering #728 2014.04.31

GA#200000728 Solid Venture

USD värdering

Transaktion Mottagare/uppdragsgivare

bankintern transaktion

Ingående medel via överföring

Ingående medel via överföring

Förvärv av värdepapper

Försäljning av värdepapper

Utgående medel via överföring

bankintern transaktion

utgående medel via överföring

bankintern transaktion

Översättning från tyska

Transaktionsbeskrivning | Omsättning debet EUR | Omsättning Kredit EUR | Ingående belopp |

VK#728 nom. USD 12 863 000,00 A1HGFK

GA#728 Solid Venture Capital Ltd.

GA#728 Solid Venture Capital Ltd.

ÜW#728 Solid Venture Capital Ltd.

GA#728 Solid Venture Capital Ltd.

GA#728 Solid Venture Capital Ltd.

VK#728 nom. USD 10 696 000,00 A1HH57

GA#200000728 ABS Investment Group LLC

GA#200000728 Solid Equity Nordic AB

GA#728 Solid Venture Capital Ltd. till Sydney Michael Alston

GA#200000728 Solid Venture Capital Ltd. till Solid Equity Nord

GA#200000728 Solid Venture Capital Ltd. till Solid Equity Nord

VK#728 nom. USD 6 614 000,00 A1HKS8

GA#200000728 Solid Venture Capital Ltd.

GA#200000728 Solid Venture Capital Ltd.

GA#200000728 Solid Venture Capital Ltd.

Solid Venteur: Vk nom USD 5 345 000 BC Amer. Fdg 04-4 2013

Överföring till Solid Quity Nordic AB

Överföring till ABS Investment Group LLC, US

GA#200000728 Solit Venture Capital Ltd.

USD-värdering 2013.07.02

VK#200000728 nom. USD 4 321 000,00 A1HNCO

VK#200000728 nom. USD 7 000 00,00 AUOQ7T

GA#200000728 Solid Venture Capital Ltd.

GA#200000728 Solid Venture Capital Ltd. till ABS Investment Gr

GA#200000728 Solid Venture Capital Ltd. till ABS Investment Gr

GA#200000728 Solid Venture Capital Ltd. till Solid Equity Nord

GA#200000728 Solid Venture Capital Ltd. till Solid Venture Cap

GA#200000728 Solid Venture Capital Ltd. till Boardwalk Co. Ltd

VK#200000728 nom \$ 30 000 000,00 A0G4W9

GA#200000728 Solid Venture Capital Ltd. till Solid Equity Nord

GA#200000728 Solid Venture Capital Ltd. till Solid Venture Cap

GA#200000728 Solid Venture Capital Ltd. till Boardwalk Co. Ltd

GA#200000728 Solid Venture Capital Ltd. till ABS Investment Gr

GA#200000728 Solid Venture Capital Ltd. till Boardwalk Co. Ltd

GA#200000728 Solid Venture Capital Ltd. till Solid Venture Cap

Värderingskorrektur #200000728 2013-07

Transaktion | Mottagare/uppdragsgivare

Försäljning av värdepapper

Utgående medel via överföring

Försäljning av värdepapper

Utgående medel via överföring

Försäljning av värdepapper

Utgående medel via överföring

Utgående medel via överföring

Utgående medel via överföring

Försäljning av värdepapper

Utgående medel via överföring

Utgående medel via överföring

Utgående medel via överföring

bankintern transaktion

Försäljning av värdepapper

Försäljning av värdepapper

Efterbelastning CMO facto radjustments för WP-transaktion
US05946XGH08 genom BNP Paribas (depåbank)

Utgående medel via överföring

Försäljning av värdepapper

Utgående medel via överföring

bankintern transaktion

Anlage 2.2 Anfrage zu Zahlungen an die / von der Fa. Solid Venture Capital Ltd., 05179108, UK und Solid Venture Capital Ltd., C58566, Malta:

Es wird in Bezug auf die nachstehend aufgeführten Zahlungen um folgendes gebeten:

- Unterlagen, die den Zweck der Zahlung erkennen lassen, wie Rechnungen, Emails, Verträge und sonstige relevante Dokumentation.

Kontoinhaber Solid Venture Capital Ltd., 05179108, UK

(Konto 20956133313980, Barclays Bank, United Kingdom)

Datum	Text	Währung	Betrag	Erläuterung
18.01.2013	Close Brothers S* 923031*Invoice-NO*TFR	GBP	3052	Siehe Anlage 1: Unsere Überweisung in Höhe von 3.016,90 GBP, Gebucht am 17.01.2013 Referenz: Sales Commission for a corporate bond trade between CBSB and a fund company in Sweden.
26.02.2013	1/Close Brothers* 577426*INV NO 12* TFR	GBP	15848	Siehe Anlage 2: Unsere Überweisung in Höhe von 15.848,10 GBP, Gebucht am 22.02.2013 Referenz: Sales Commission for a corporate bond trade between CBSB and a fund company in Sweden.
09.04.2013	1/Close Brothers* 563698*INVOICE NO*TFR	GBP	25674	Siehe Anlage 3: Unsere Überweisung in Höhe von 25.674,-- GBP, Gebucht am 05.04.2013 Referenz: Sales Commission for a corporate bond trade between CBSB and a fund company in Sweden.
09.05.2013	1/Close Brothers* 582467*INVOICE NO*TFR	GBP	12800	Siehe Anlage 4: Unsere Überweisung in Höhe von 12.800,40 GBP, Gebucht am 07.05.2013 Referenz: Sales Commission for a corporate bond trade between CBSB and a fund company in Sweden.

03.06.2013	1/Close Brothers* 605331*INVOICE NO*TFR	GBP	28451	Siehe Anlage 5: Unsere Überweisung in Höhe von 28.450,90 GBP, Gebucht am 30.05.2013 Referenz: Sales Commission for a corporate bond trade between CBSB and a fund company in Sweden (- PNE WIND-)
16.07.2013	1/Close Brothers* 588488*INVOICE NO*TFR	GBP	38759	Siehe Anlage 6: Unsere Überweisung in Höhe von 38.759,40 GBP, Gebucht am 12.07.2013 Referenz: Sales Commission for a corporate bond trade between CBSB and a fund company in Sweden.

Konto 20956167697266, Barclays Bank, United Kingdom

Datum	Text	Währung	Betrag	Erläuterung
01.08.2013	AFTS receipt Ref:-CLOSE BROTHERS S 615812 INVOICE	EUR	15000	Siehe Anlage 7: Unsere Überweisung in Höhe von 15.000,-- EUR, Gebucht am 31.07.2013 Referenz: Sales Commission for a corporate bond deal between SVC and CBSB.
29.08.2013	AFTS receipt Ref:-CLOSE BROTHERS S 621037 INVOICE	EUR	35000	Siehe Anlage 8: Unsere Überweisung in Höhe von 35.000,-- EUR, Gebucht am 28.08.2013 Referenz: Re: Rickmers – Sales Commission for a corporate bond deal between SVC and CBSB.
10.10.2013	AFTS receipt Ref:-CLOSE BROTHERS S 605253 INVOICE	EUR	100000	Siehe Anlage 9: Unsere Überweisung in Höhe von 100.000,-- EUR, Gebucht am 09.10.2013 Referenz: Sales Commission for a corporate bond deal between SVC and CBSB.

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Close Brothers Seydler Bank AG, Kunden-Depotgeschäft via BNP PARIBAS Securities Service S.C.A., Zweigniederlassung Frankfurt Depot # 900728 - Eingänge/ Ausgang Frei von Zahlung (Anlage 2.3)						
ISIN	Eingang/ Ausgang	Name	Nom.	trade date	Gegenseite der Frei von Zahlung Transaktion	
1	US05949AZH66	Eingang	BANC OF AMERICA MTG 2004-L TR. DL-FLR CERTS 2004(35) CL.B-1	12.863.000 USD	22.02.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
2	US61746RDS76	Eingang	MS ABS CAP.I INC. TR.2003-NC8 DL-FLR CERTS 2003(33) CL.B-3	10.596.000 USD	09.04.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
3	US52525FAH64	Eingang	LEHMAN MORTGAGE TRUST 2008-6 DL-FLR CERTS 2008(47) CL.B1	5.614.000 USD	14.05.2013	ABS Investment Group, acc. 7395-4378, DTC 0075
4	US05946XGH08	Eingang	BANC OF AMERICA FDG 2004-1 TR. DL-FLR CERTS 2004(34) CL.B-2	5.345.000 USD	13.06.2013	ABS Investment Group, acc. 7395-4378, DTC 0075
5	US321131BV61	Eingang	FIRST NLC TRUST 2005-3 DL-FLR NOTES 2005(35) CL.M-2	7.000.000 USD	10.07.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
6	US321131BV61	Ausgang	FIRST NLC TRUST 2005-3 DL-FLR NOTES 2005(35) CL.M-2	1.000.000 USD	22.08.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
7	US362334MZ48	Eingang	GSAA HOME EQUITY TRUST 2006-6 DL-FLR CERTS 2006(36) CL.AF-7	4.321.000 USD	10.07.2013	ABS Investment Group, acc. 1360-4701, DTC 0075
8	US86360WAE21	Eingang	STRUCT.ASSET INV.LN TR.2006-4 DL-FLR CERTS 2006(36) CL.A5	30.000.000 USD	22.07.2013	ABS Investment Group, acc. 7395-4378, DTC 0075
9	US59024FAG90	Eingang	ML ALTERN. NOTE ASSET S.07-A2 DL-FLR CERTS 2007(37) CL.A-3D	24.354.840 USD	15.08.2013	ABS Investment Group, DTC 0075

Info

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Traction Fonder AB.

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Traction Fonder AB.

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.

Unser Depotkunde Solid hat die Stücke OTC von Optimus Fonder AB gekauft, und im Anschluss frei von Zahlung an ABS Investment Group übertragen.

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.

Unser Depotkunde Solid Venture Capital Ltd. hat die Nominale frei von Zahlung von ABS Investment Group erhalten, und nach Erhalt verkauft an Optimus Fonder AB.

Close Brothers Seydler Bank AG, Kundenhandel (Kommissionsgeschäft) via HSBC Trinkaus & Burkhardt AG, Düsseldorf											
OTC Käufer						OTC Verkäufer					
Käufer	Nom.	Settlement amount	Settlement	Trade Day	Value Day	Verkäufer	Settlement amount	Settlement	Trade Day	Value Day	
Traction Fonder AB (Anlage 3.1)	12.863.000 USD	4.326.776,28 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	22.02.2013	26.02.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	4.318.184,56 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	22.02.2013	26.02.2013	
Traction Fonder AB (Anlage 3.1)	10.596.000 USD	1.298.848,33 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	10.04.2013	12.04.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	1.296.265,41 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	10.04.2013	12.04.2013	
Optimus Fonder AB (Anlage 3.1)	6.614.000 USD	3.770.257 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	15.05.2013	17.05.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	3.762.749,99 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	15.05.2013	17.05.2013	
Optimus Fonder AB (Anlage 3.1)	5.345.000 USD	2.720.961 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	17.06.2013	20.06.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	2.712.910,17 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	17.06.2013	20.06.2013	
Optimus Fonder AB (Anlage 3.1)	7.000.000 USD	4.978.744 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	10.07.2013	12.07.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	4.966.773,78 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	10.07.2013	12.07.2013	
Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	1.000.000 USD	710.504,18 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	08.08.2013	09.08.2013	Optimus Fonder AB (Anlage 3.1)	709.794,18 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	08.08.2013	09.08.2013	
Optimus Fonder AB (Anlage 3.1)	4.321.000 USD	2.645.332,42 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	10.07.2013	12.07.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	2.638.375,61 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	10.07.2013	12.07.2013	
Optimus Fonder AB (Anlage 3.1)	30.000.000 USD	21.934.055,33 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	23.07.2013	25.07.2013	Solid Venture Capital Ltd. (Anlage 2.3 bzw. 3.1)	21.882.155,83 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	23.07.2013	25.07.2013	
Optimus Fonder AB (Anlage 3.1)	24.354.840 USD	6.083.154 USD	JP Morgan Chase Bank, NY DTC 00902, Inst. ID 62815 ABA no: 02100021 JP Morgan Chase Bank, London ACC: PS 75350	14.08.2013	16.08.2013	Solid Venture Capital Ltd.	6.052.725,93 USD	Clearstream Banking S.A. Luxembourg CEDELULXXX s/c 63359 BNP Paribas BIC PARDEFF Citibank, New York DTC acc. 908 RCVR-Acct: 089154 CSC63359 (w/ Depot #900728)	14.08.2013	16.08.2013	

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Bilaga 2.2. Förfrågan om betalningar till / från Fa. Solid Venture Capital Ltd. 05179108, UK och Solid Venture Capital Ltd., C58566, Malta:

Gällande nedanstående betalningar efterfrågas följande:

- Dokument som tydliggör syftet med betalningen såsom räkningar, e-post, avtal och annan relevant dokumentation.

Kontoinnehavare Solid Venture Capital Ltd., 05179108, UK

20956133313980, Barclays Bank, United Kingdom

Valuta	Belopp	Kommentar
		Se bilaga 1: Vår överföring av 3 016,90 GBP, registrerad 2013.01.17
		Se bilaga 2: Vår överföring av 15 848,10 GPP, registrerad 2013.02.22
		Se bilaga 3: Vår överföring av 25 647 GBP, registrerad 2013.04.05
		Se bilaga 4: Vår överföring av 12 800,40 GBP, registrerad 2013.05.07

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		Se bilaga 5: Vår överföring av 28 450,90 GBP, registrerad 2013.05.30
		Se bilaga 6: Vår överföring av 38 759,40 GBP, registrerad 2013.07.12
Valuta	Belopp	Kommentar
		Se bilaga 7: Vår överföring av 15 000 euro, registrerad 2013.07.31
		Se bilaga 8: Vår överföring av 35 000 euro, registrerad 2013.08.28
		Se bilaga 9: Vår överföring av 100 000 euro, registrerad 2013.10.09

Översättning från tyska

[rubriker för spalter på vänster sida]

Close Brothers Seydler Bank AG, Kund-depåaffär via BNP PARIBAS Securities Service S.C.A., filial i Frankfurt

Depå # 900728 – Ingående/utgående fri från betalning (bilaga 2.3)

Ingående/utgående

Motpart fri från transaktionsbetalning

[rubriker för spalter på höger sida]

Close Brothers Seydler Bank AG, Kundenhandel (Kommissionsgeschäft) via HSBC Trinkaus & Burkhardt AG, Düsseldorf

OTC Köpare

OTC Försäljare

Köpare

Försäljare

[mittenspalt]

Info

Vår depåkund Solid Venture Capital Ltd. har mottagit det nominella värdet utan avgift från ABS Investment Group och sedan sålt till Traction Fonder AB.

Vår depåkund Solid Venture Capital Ltd. har mottagit det nominella värdet utan avgift från ABS Investment Group och sedan sålt till Traction Fonder AB.

Vår depåkund Solid Venture Capital Ltd. har mottagit det nominella värdet utan avgift från ABS Investment Group och sedan sålt till Optimus Fonder AB.

Vår depåkund Solid Venture Capital Ltd. har mottagit det nominella värdet utan avgift från ABS Investment Group och sedan sålt till Optimus Fonder AB.

Vår depåkund Solid Venture Capital Ltd. har mottagit det nominella värdet utan avgift från ABS Investment Group och sedan sålt till Optimus Fonder AB.

Vår depåkund Solid har köpt delarna av OTC av Optimus Fonder AB, och i anslutning överfört utan avgift till ABS Investment Group.

Vår depåkund Solid Venture Capital Ltd. har mottagit den det nominella värdet utan avgift från ABS Investment Group och sedan sålt till Optimus Fonder AB.

Vår depåkund Solid Venture Capital Ltd. har mottagit det nominella värdet utan avgift från ABS Investment Group och sedan sålt till Optimus Fonder AB.

Vår depåkund Solid Venture Capital Ltd. har mottagit det nominella värdet utan avgift från ABS Investment Group och sedan sålt till Optimus Fonder AB.



Anlage 2.3. Anfrage zur Vermittlung von Finanzinstrumenten:

Die frei von Zahlung erhaltenen Wertpapiere wurden im Kundenauftrag wie folgt verkauft, bzw. gekaufte Wertpapiere wurden wie folgt übertragen (siehe Gesamtaufstellung „Close Brothers Seydler Bank AG, Kundenhandel (Kommissiongeschäft) via HSBC Trinkaus & Burkhardt AG, Düsseldorf“):

Name	Währung	ISIN	Erläuterung
BANC OF AMERICA MTG 2004-L TR. DL-FLR CERTS 2004(35) CL.B-1	USD	US05949AZH66	Siehe 2.3 Anlage 1 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 12.863.000 Buchungstag 22.02.2013
MS ABS CAP.I INC. TR.2003-NC8 DL-FLR CERTS 2003(33) CL.B-3	USD	US61746RDS76	Siehe 2.3 Anlage 2 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 10.696.000 Buchungstag 10.04.2013
LEHMAN MORTGAGE TRUST 2008-6 DL-FLR CERTS 2008(47) CL.B1	USD	US52525FAH64	Siehe 2.3 Anlage 3 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 6.614.000 Buchungstag 14.05.2013
BANC OF AMERICA FDG 2004-1 TR. DL-FLR CERTS 2004(34) CL.B-2	USD	US05946XGH08	Siehe 2.3 Anlage 4 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 5.345.000 Buchungstag 17.06.2013
FIRST NLC TRUST 2005-3 DL-FLR NOTES 2005(35) CL.M-2	USD	US32113JBV61	Siehe 2.3 Anlage 5+6 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 7.000.000 Buchungstag 10.07.2013 Kauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 1.000.000 Buchungstag 08.08.2013

GSAA HOME EQUITY TRUST 2006-6 DL-FLR CERTS 2006(36) CL.AF-7	USD	US362334MZ48	Siehe 2.3 Anlage 7 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 4.321.000 Buchungstag 10.07.2013
STRUCT.ASSET INV.LN TR.2006-4 DL-FLR CERTS 2006(36) CL.A5	USD	US86360WAE21	Siehe 2.3 Anlage 8 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 30.000.000 Buchungstag 23.07.2013
ML ALTERN. NOTE ASSET S.07-A2 DL- FLR CERTS 2007(37) CL.A-3D	USD	US59024FAG90	Siehe 2.3 Anlage 9 Verkauf gegen Zahlung: Auftraggeber: Solid Venture Capital Ltd. Nominale 24.354.840 Buchungstag 14.08.2013

Welche Rolle/ welchen Auftrag hat die Fa. Oddo Seydler in Bezug auf diese Wertpapiere gespielt/ gehabt? Verträge, Emails und andere relevante Unterlagen.

ODDO SEYDLER BANK AG (ehem. Close Brothers Seydler Bank AG) war der Execution Broker („Kundenhandel“).

Angaben zum Auftraggeber, Gesellschaften und Ansprechpartner:

1. Solid Venture Capital Ltd. , London
Ansprechpartner: Emil Amir Ingmansson
2. Optimus Fonder AB (ehem. Traction Fonder AB)
Ansprechpartner: Ulf Deckmark
Jan Eriksson

Weisungsberechtigt zur Erteilung von Aufträgen waren die o.g. Herren.

Vertragspartner (Verkäufer/ Käufer), Gesellschaften und Personen:

Unsere Handelskunden waren die o.g. Gesellschaften.

Die entsprechende Korrespondenz mit dem Käufer bzw. dem Verkäufer entnehmen sie bitte der Anlage 3.1 (Emails, Trade Tickets Bloomberg, etc.).

Dokumentation über sämtliche vermittelten Geschäfte, sowohl Käufe als auch Verkäufe in Form von Verträgen, Prospekten, Aufträgen, E-Mails, usw.

Bitte entnehmen sie die entsprechenden Nachweise der Anlage 2.3. (Depotbank), sowie der Anlage 3.1 (Kundenhandel).

Auskunft/ Dokumentation in Bezug darauf, welchen Preis die Kunden beim Kauf bzw. Verkauf dieser Wertpapiere gezahlt/ erhalten haben.

Bitte entnehmen sie die entsprechenden Nachweise der Anlage 2.3 (Depotbank) sowie der Anlage 3.1 (Kundenhandel).

Auskunft darüber, an/ von welche(n) Konten (IBAN) und Kontoinhaber(n) der gezahlte/ erhaltene Kaufpreis bezahlt wurde.

Die involvierten Konten und Kontoinhaber entnehmen sie bitte der Excel-Gesamtaufstellung.

Auskunft/ Dokumentation in Bezug auf etwaige gezahlte/ erhaltene Provisionen. An/von wem/ wem?

Bitte entnehmen sie die entsprechenden Nachweise der Anlage 3.1 (Kundenhandel).

Wer ist für die „clearing und settlement“ der oben aufgeführten Wertpapiere verantwortlich gewesen?

BNP Paribas Securities Services, Zweigniederlassung Frankfurt, on behalf of Close Brothers Seydler Bank AG.

Wurde DTC für die „clearing und settlement“ benutzt?

Ja.

Es wird um die gesamte Dokumentation zur „clearing und settlement“ in Bezug auf die oben angeführten Instrumente gebeten.

Bitte entnehmen sie die entsprechenden Nachweise der Anlage 2.3.

Wie lautet ihre DTC-Nummer?

DTC 908 – Citibank New York

Anlage 2.3. Anfrage zur Vermittlung von Finanzinstrumenten:

Eingänge/ Ausgang **frei von Zahlung** (siehe Gesamtaufstellung „Close Brothers Seydler Bank AG, Kunden-Depotgeschäft via BNP PPARIBAS Securities Service S.C.A., w/ Depot # 900728“):

Bezüglich der Vermittlung von den nachstehend aufgeführten Finanzinstrumenten möchten wir wie folgt Stellung nehmen:

Name	Währung	ISIN	Erläuterung
BANC OF AMERICA MTG 2004-L TR. DL-FLR CERTS 2004(35) CL.B-1	USD	US05949AZH66	Siehe 2.3 Anlage 1 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, acc. 1360-4701, DTC 0075 Nominale 12.863.000 Buchungstag 22.02.2013
MS ABS CAP.I INC. TR.2003-NC8 DL-FLR CERTS 2003(33) CL.B-3	USD	US61746RDS76	Siehe 2.3 Anlage 2 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, acc. 1360-4701, DTC 0075 Nominale 10.696.000 Buchungstag 09.04.2013
LEHMAN MORTGAGE TRUST 2008-6 DL-FLR CERTS 2008(47) CL.B1	USD	US52525FAH64	Siehe 2.3 Anlage 3 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, acc. 7395-4378, DTC 0075 Nominale 6.614.000 Buchungstag 14.05.2013
BANC OF AMERICA FDG 2004-1 TR. DL-FLR CERTS 2004(34) CL.B-2	USD	US05946XGH08	Siehe 2.3 Anlage 4 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, acc. 7395-4378, DTC 0075 Nominale 5.345.000 Buchungstag 13.06.2013
FIRST NLC TRUST 2005-3 DL-FLR NOTES 2005(35) CL.M-2	USD	US32113JBV61	Siehe 2.3 Anlage 5+6 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, acc. 1360-4701, DTC 0075 Nominale 7.000.000 Buchungstag 10.07.2013 Ausgang frei von Zahlung: Empfänger: ABS Investment Group LLC, acc no. 1360-4701, DTC 0075 Nominale 1.000.000 Buchungstag 22.08.2013

GSA HOME EQUITY TRUST 2006-6 DL-FLR CERTS 2006(36) CL.AF-7	USD	US362334MZ48	Siehe 2.3 Anlage 7 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, acc. 1360- 4701, DTC 0075 Nominale 4.321.000 Buchungstag 10.07.2013
STRUCT.ASSET INV.LN TR.2006-4 DL-FLR CERTS 2006(36) CL.A5	USD	US86360WAE21	Siehe 2.3 Anlage 8 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, acc. 7395- 4378, DTC 0075 Nominale 30.000.000 Buchungstag 22.07.2013
ML ALTERN. NOTE ASSET S.07-A2 DL- FLR CERTS 2007(37) CL.A-3D	USD	US59024FAG90	Siehe 2.3 Anlage 9 Eingang frei von Zahlung: Auftraggeber: ABS Investment Group, DTC 0075 Nominale 24.354.840 Buchungstag 15.08.2013

Welche Rolle/ welchen Auftrag hat die Fa. Oddo Seydler in Bezug auf diese Wertpapiere gespielt/ gehabt? Verträge, Emails und andere relevante Unterlagen.

ODDO SEYDLER BANK AG (ehem. Close Brothers Seydler Bank AG) war die Depotbank.

Angaben zum Auftraggeber, Gesellschaften und Ansprechpartner:

Der Auftraggeber bzw. der Konto-/ Depotinhaber war die Firma Solid Venture Capital Ltd. mit Sitz in London.

Verfügungsberechtigt für die Konten bzw. das Depot waren die Herren:

Ingmanson, Emil Amir, geb. am 06.10.1977 in Stockholm (Schweden) und

Gergeo, Afram, geb. am 05.02.1977 in Botkyrka (Schweden)

Vertragspartner (Verkäufer/ Käufer), Gesellschaften und Personen:

Unser Vertragspartner war die Solid Venture Capital Ltd.

Dokumentation über sämtliche vermittelten Geschäfte, sowohl Käufe als auch Verkäufe in Form von Verträgen, Prospekten, Aufträgen, E-Mails, usw.

Bitte entnehmen sie die entsprechenden Nachweise der Anlage 2.3. (Depotbank).

Auskunft/ Dokumentation in Bezug darauf, welchen Preis die Kunden beim Kauf bzw. Verkauf dieser Wertpapiere gezahlt/ erhalten haben.

Die o.g. Transaktionen wurden im Kundenauftrag „frei von Zahlung“ abgerechnet.

Auskunft darüber, an/ von welche(n) Konten (IBAN) und Kontoinhaber(n) der gezahlte/ erhaltene Kaufpreis bezahlt wurde.

In Zusammenhang mit den Wertpapiertransaktionen frei von Zahlung gab es keine Zahlungen.

Auskunft/ Dokumentation in Bezug auf etwaige gezahlte/ erhaltene Provisionen. An/von wem/ wem?

In Zusammenhang mit den Wertpapiertransaktionen frei von Zahlung gab es keine Provisionen. Die Provisionszahlungen im Rahmen der späteren Veräußerung der Wertpapiere entnehmen sie bitte der Anlage 3.1.

Wer ist für die „clearing und settlement“ der oben aufgeführten Wertpapiere verantwortlich gewesen?

BNP Paribas Securities Services S.C.A, Zweigniederlassung Frankfurt, on behalf of Close Brothers Seydler Bank AG.

Wurde DTC für die „clearing und settlement“ benutzt?

Ja.

Es wird um die gesamte Dokumentation zur „clearing und settlement“ in Bezug auf die oben angeführten Instrumente gebeten.

Bitte entnehmen sie die entsprechenden Nachweise der Anlage 2.3.

Wie lautet ihre DTC-Nummer?

DTC 908 – Citibank New York

Bilaga 2.3. Förfrågan om förmedling av finansinstrument

De erhållna värdepappren utan avgift såldes i kundupdrag enligt nedan; köpta värdepapper överfördes enligt nedan (se förteckning "Close Brothers Seydler Bank AG, kundhandel (kommissionsaffär) via HSBC Trinkaus & Burkhardt AG, Düsseldorf")

Valuta

Kommentar

Se 2.3 bilaga 1

Försäljning mot betalning:

Uppdragsgivare: Solid Venture Capital Ltd.

Nominellt värde 12 863 000

Bokföringsdag: 2013.02.22

Se 2.3 bilaga 2

Försäljning mot betalning

Uppdragsgivare: Solid Venture Capital Ltd.

Nominellt värde: 10 696 000

Bokföringsdag: 2013.04.10

Se 2.3 bilaga 3

Försäljning mot betalning

Uppdragsgivare: Solid Venture Capital Ltd.

Nominellt värde: 6 614 000

Bokföringsdag: 2013.05.14

Se 2.3 bilaga 4

Försäljning mot betalning

Uppdragsgivare: Solid Venture Capital Ltd.

Nominellt värde: 5 345 000

Bokföringsdag: 2013.06.17

Se 2.3 bilaga 5+6

Försäljning mot betalning

Uppdragsgivare: Solid Venture Capital Ltd.

Nominellt värde: 7 000 000

Bokföringsdag: 2013.07.10

Köp mot betalning:

Uppdragsgivare: Solid Venture Capital Ltd.

Nominellt värde: 1 000 000

Bokföringsdag: 2013.08.08

Se 2.3 bilaga 7

Försäljning mot betalning

Uppdragsgivare: Solid Venture Capital Ltd.

Nominellt värde: 4 321 000

Bokföringsdag: 2013.07.10

Translated by



Språkservice

Reference: 2018/8338

Malmö, Sweden: 2018-11-26

www.sprakservice.se

Se 2.3 bilaga 8

Försäljning mot betalning
Uppdragsgivare: Solid Venture Capital Ltd.
Nominellt värde: 30 000 000
Bokföringsdag: 2013.07.23

Se 2.3 bilaga 9

Försäljning mot betalning
Uppdragsgivare: Solid Venture Capital Ltd.
Nominellt värde: 24 354 840
Bokföringsdag: 2013.08.14

Vilken roll/vilket uppdrag hade Oddo Seydler i förhållande till dessa värdepapper? Avtal, e-post och andra relevanta dokument.

ODDO SEYDLER BANK AG (före detta Close Brothers Seydler Bank AG) var Execution Broker ("kundhandel")

Uppgifter om uppdragsgivare, företag och kontaktpersoner:

1. Solid Venture Capital Ltd., London
Kontaktperson: Emil Amir Ingmansson

2. Optimus Fonder AB (tidigare Traction Fonder AB)
Kontaktperson: Ulf Deckmark
Jan Eriksson

Ovan nämnda personer hade rätt att utfärda avtal.

Avtalspartner (säljare/köpare), företag och personer:

Våra handelskunder var de ovan nämnda företagen.

För korrespondens med köpare och säljare, vänligen se bilaga 3.1 (e-post, Trade Tickets Bloombergs, etc.).

Dokumentation om samtliga affärer, både förvärv och försäljning i form av avtal, prospekt, uppdrag, e-post osv.

Se bilaga 2.3 (depåbank) samt bilaga 3.1 (kundhandel).

Upplysningar/dokumentation om vilket pris kunder betalade för dessa värdepapper.

Se bilaga 3.2 (depåbank) samt bilaga 3.1 (kundhandel)

Upplysningar/dokumentation om ungefärlig betald/erhållen provision. Från/till vem?

Se bilaga 3.1 (kundhandel)

Vem var ansvarig för "clearing och settlement" av ovan nämnda värdepapper?

BNP Paribas Securities Services, filialen i Frankfurt, å Close Brothers Seydler Bank AG:s vägnar.

Användes DTC för "clearing och settlement"?

Ja.

Det finns en förfrågan om den samlade dokumentationen om "clearing och settlement" gällande de ovan nämnda instrumenten.

Se bilaga 2.3.

Hur lyder DTC-numret?

DTC 908 – Citibank New York

Bilaga 2.3. Förfrågan om förmedling av finansinstrument:

Ingående/utgående **utan avgift** (se förteckning "Close Brothers Seydler Bank AG, kund-depåföretag via BNP PPARIBAS Securities Service S.C.A., w/ Depot #900728"):

Gällande förmedling av de nedan angivna finansinstrumenten skulle vi vilja ta ställning enligt följande:

Valuta

Kommentar

Ingående utan avgift
Uppdragsgivare: ABS
Investment Group, acc: 1360-4701, DTC 0075
Nominellt värde: 12 863 000
Bokföringsdag: 2013.02.11

Se 2.3 bilaga 2

Ingående utan avgift
Uppdragsgivare: ABS
Investment Group, acc: 1360-4701, DTC 0075
Nominellt värde: 10 696 000
Bokföringsdag: 2013.04.09

Se 2.3 bilaga 3

Ingående utan avgift
Uppdragsgivare: ABS
Investment Group, acc: 7395-4378, DTC 0075
Nominellt värde: 6 614 000
Bokföringsdag: 2013.05.14

Se 2.3 bilaga 4

Ingående utan avgift
Uppdragsgivare: ABS
Investment Group, acc: 7395-4378, DTC 0075
Nominellt värde: 5 345 000
Bokföringsdag: 2013.06.13

Se 2.3 bilaga 5+6

Ingående utan avgift
Uppdragsgivare: ABS
Investment Group, acc: 1360-4701, DTC 0075
Nominellt värde: 7 000 000
Bokföringsdag: 2013.07.10

Utgående utan avgift:
Mottagare: ABS Investment
Group LLC, acc no: 1360-
4701, DTC 0075
Nominellt värde 1 000 000
Bokföringsdag: 2013.08.22

Se 2.3 bilaga 7

Ingående utan avgift
Uppdragsgivare: ABS
Investment Group, acc: 1360-
4701, DTC 0075
Nominellt värde: 4 321 000
Bokföringsdag: 2013.07.10

Se 2.3 bilaga 8

Ingående utan avgift
Uppdragsgivare: ABS
Investment Group, acc: 7395-
4378, DTC 0075
Nominellt värde: 30 000 000
Bokföringsdag: 2013.07.22

Vilken roll/vilket uppdrag hade Oddo Seydler i förhållande till dessa värdepapper? Avtal, e-mails och andra relevanta dokument.

ODDO SEYDLER BANK AG (före detta Close Brothers Seydler Bank AG) var depåbank.

Uppgifter om uppdragsgivare, företag och kontaktpersoner:

Uppdragsgivare respektive konto-/depåinnehavare var firman Solid Venture Capital Ltd. med säte i London.

Förfoganderätt för konton och depå hade:

Ingmanson, Emil Amir, född 1977.10.06 i Stockholm (Sverige) och
Gergeo, Afram, född 1977.02.05 i Botkyrka (Sverige)

Avtalspartner (säljare/köpare), företag och personer:

Vår avtalspartner var Solid Venture Capital Ltd.

Dokumentation om samtliga affärer, både förvärv och försäljning i form av avtal, prospekt, uppdrag, e-post osv.

Vänligen se bilaga 2.3 (depåbank).

Upplysningar/dokumentation om vilket pris kunder betalade för dessa värdepapper.

De ovan nämnda transaktionerna bokades med kunduppdrag "utan avgift".

Upplysningar/dokumentation om till/från vilka konton (IBAN) och kontoinnehavare det betalda/erhållna köppriset betalades?

I samband med värdepapperstransaktionerna utan avgift förekom ingen betalning.

Upplysningar/dokumentation gällande ungefärlig betalad/erhållen provision. Till/från vem?

I samband med värdepapperstransaktionerna utan avgift förekom ingen provision. För provisionsbetalningarna inom ramen för senare avyttring av värdepapperen, vänligen se bilaga 3.1.

Vem var ansvarig för "clearing och settlement" av ovan angivna värdepapper?

BNP Paribas Securities Services S.C.A, filialen i Frankfurt, å Close Brothers Seydler Bank AG:s vägnar.

Användes DTC för "clearing och settlement"?

Ja.

Det finns en förfrågan om den samlade dokumentationen om "clearing och settlement" gällande de ovan nämnda instrumenten.

Se bilaga 2.3.

Hur lyder DTC-numret?

DTC 908 – Citibank New York

Anlage 2.4 Anfragen zu Kundenbeziehungen

Bezüglich der von Ihnen angefragten Gesellschaften/ Personen, im Hinblick auf eine mögliche Kundenbeziehung mit ODDO SEYDLER/ Close Brother Seydler, können wir Ihnen folgende Rückmeldungen geben:

Name der Person/ Gesellschaft	Angabe zur Kundenbeziehung ODDO SEYDLER/ Close Brothers Seydler
Mark Bishop	Herr Bishop war weder Kunde noch Verfügungsberechtigter für ein Konto- oder Depot von ODDO SEYDLER/ Close Brothers Seydler für den angefragten Zeitraum. Herr Bishop hat im Auftrag der ABS Investment Group die frei von Zahlung Überträge an unseren Depotkunden Solid Venture Capital Ltd. koordiniert.
Afram Gergeo	Verfügungsberechtigt für das Depot # 728, Verfügungsberechtigt für das Konto # 900728, Verfügungsberechtigt für das Konto #100000728 Verfügungsberechtigt für das Konto #200000728 Verfügungsberechtigt für das Konto #800000728
Emil Amir Ingmanson/ Max Serwin	Verfügungsberechtigt für das Depot # 728, Verfügungsberechtigt für das Konto # 900728, Verfügungsberechtigt für das Konto #100000728 Verfügungsberechtigt für das Konto #200000728 Verfügungsberechtigt für das Konto #800000728
Solid Venture Capital Ltd., C58566, Malta	Es gab und gibt keine direkte Geschäftsbeziehung.
Solid Venture Capital Ltd., Nr. 05179108 UK	Konto-/ Depotverbindung mit Solid Venture Capital Ltd., mit Sitz in London. Die von Ihnen angefragte Nummer ist uns unbekannt.
Temple Asset Management	Es gab und gibt keine direkte Geschäftsbeziehung
Boardwalk Co. Ltd.	Es gab und gibt keine direkte Geschäftsbeziehung
ABS Investment Group	Es gab und gibt keine direkte Geschäftsbeziehung (Die Gesellschaft war Gegenseite aus free of payment Transaktionen – siehe Gesamtaufstellung)
Optimus Socially Responsible Investments Ltd.	Es gab und gibt keine direkte Geschäftsbeziehung
Energy Everything Investments plc	Es gab und gibt keine direkte Geschäftsbeziehung

Anlage 3. HSBC TRANSAKTION SERVICE GMBH

Wir sind uns unsicher, ob dieser Teil Ihrer Anfrage tatsächlich an unser Haus gerichtet wurde oder direkt an HSBC. Wir haben Ihnen nachfolgend die uns zur Verfügung stehenden Informationen in Bezug auf die über HSBC getätigten Geschäfte zusammengestellt und hoffen, dies war in Ihrem Sinne.

Anlage 3.1 Anfrage zur Vermittlung von Finanzinstrumenten

HSBC Trinkaus & Burkhardt AG ist die Hausbank bzw. der Clearing-Agent von ODDO SEYDLER (ehem. Close Brothers Seydler Bank AG). Die Firma HSBC Transactions Service GmbH ist eine 100%ige Tochter der HSBC Trinkaus & Burkhardt AG, und ist u.a. zuständig für die Bereiche Clearing und Settlement. In dem von Ihnen angefragten Zeitraum war HSBC Trinkaus & Burkhardt AG zuständig für die Abwicklung aller Wertpapiergeschäfte von ODDO SEYDLER („Kundenhandel“). Der Vollständigkeit halber möchten wir an dieser Stelle darauf hinweisen, dass nur der Kundenhandel, nicht jedoch das Depotgeschäft über HSBC abgewickelt wurde. Für letzteres war BNP zuständig.

Name	Währung	ISIN
BANC OF AMERICA MTG 2004-L TR. DL-FLR CERTS 2004(35) CL.B-1	USD	US05949AZH66
MS ABS CAP.I INC. TR.2003-NC8 DL-FLR CERTS 2003(33) CL.B-3	USD	US61746RDS76
LEHMAN MORTGAGE TRUST 2008-6 DL-FLR CERTS 2008(47) CL.B1	USD	US52525FAH64
BANC OF AMERICA FDG 2004-1 TR. DL-FLR CERTS 2004(34) CL.B-2	USD	US05946XGH08
FIRST NLC TRUST 2005-3 DL-FLR NOTES 2005(35) CL.M-2	USD	US32113JBV61
GSAA HOME EQUITY TRUST 2006-6 DL-FLR CERTS 2006(36) CL.AF-7	USD	US362334MZ48
STRUCT.ASSET INV.LN TR.2006-4 DL-FLR CERTS 2006(36) CL.A5	USD	US86360WAE21
ML ALTERN. NOTE ASSET S.07-A2 DL-FLR CERTS 2007(37) CL.A-3D	USD	US59024FAG90

Dokumentation über sämtliche vermittelten Geschäfte, sowohl Käufe als auch Verkäufe in Form von Verträgen, Prospekten, Aufträgen, E-Mails, usw.

In der Datei „Seydler010113 31122015.xlsx“ sind alle Buchungen in den genannten ISINs enthalten. Teilweise wurden Geschäfte storniert und neuabgerechnet.

Die Datei „SWIFTe.xlsx“ enthält Kopien der externen Lieferaufträge und Settlementbestätigungen der amerikanischen Lagerstelle.

Die Aufträge wurden in Form von Abrechnungsfiles von ODDO SEYDLER an den Clearing Agent HSBC Trinkaus & Burkhardt AG zur Verfügung gestellt. Bei den angefragten Geschäften handelte es sich um „US domestic“ Settlements, d.h. die Geschäfte wurden von HSBC Trinkaus & Burkhardt AG an die US-Lagerstelle Brown Brothers Harriman in New York instruiert und gesettled.

Bilaga 2.4 Förfrågan om kundrelationer

Gällande de efterfrågade företagen/personerna med avseende på en potentiell relation med ODDO SEYDLER / Close Brother Seydler, kan vi ge er följande information:

Namn på person/företag	Uppgifter om kundrelation ODDO SEYDLER / Close Brothers Seydler
Mark Bishop	Herr Bishop var varken kund eller hade förfoganderätt över ett konto- eller depå hos ODDO SEYDLER / Close Brothers Seydler under den angivna perioden. Herr Bishop har bara på uppdrag av ABS Investment Group koordinerat överföringarna utan avgift till vår depåkund Solid Venture Capital Ltd.
Afram Gergeo	Förfoganderätt över depå # 728, Förfoganderätt över konto # 900728, Förfoganderätt över konto # 100000728, Förfoganderätt över konto # 200000728, Förfoganderätt över konto # 800000728.
Emil Amir Ingmanson/Max Servin	Förfoganderätt över depå # 728, Förfoganderätt över konto # 900728, Förfoganderätt över konto # 100000728, Förfoganderätt över konto # 200000728, Förfoganderätt över konto # 800000728.
Solid Venture Capital Ltd., C58566, Malta	Det fanns och finns ingen direkt affärsförbindelse.
Solid Venture Capital Ltd., Nr. 05179108 UK	Konto-/depåförbindelse med Solid Venture Capital Ltd., med säte i London. Det angivna numret är okänt för oss.
Temple Asset Management	Det fanns och finns ingen direkt affärsförbindelse.
Boardwalk Co. Ltd.	Det fanns och finns ingen direkt affärsförbindelse.
ABS Investment Group	Det fanns och finns ingen direkt affärsförbindelse (företaget var motpart ut free of payment-transaktioner, se förteckning).
Optimus Socially Responsible Investments Ltd.	Det fanns och finns ingen direkt affärsförbindelse.
Energy Everything Instruments plc	Det fanns och finns ingen direkt affärsförbindelse.

Bilaga 3. HSBC TRANSAKTION SERVICE GMBH

Vi är osäkra på huruvida del II i er förfrågan verkligen var riktad till oss eller direkt till HSBC. Nedan har vi listat den information som fanns tillgänglig rörande affärer som HSBC var inblandade i och hoppas att det var vad ni önskade.

Bilaga 3.1 Förfrågan om förmedling av finansinstrument

HSBC Trinkaus & Burkhardt AG är en husbank eller clearing agent för ODDO SEYDLER (före detta Close Brothers Seydler Bank AG). Firman HSBC Transactions Service GmbH är ett hundra procentigt dotterbolag till HSBC Trinkaus & Burkhardt AG och är bland annat ansvarigt för områdena clearing och settlement. Under den angivna perioden var HSBC Trinkaus & Burkhardt AG ansvarigt för avvecklingen av alla värdepappersaffärer med ODDO SEYDLER ("kundhandel"). Vi vill med avseende på detta påpeka att endast kundhandel, inte depåaffärerna med HSBC, avvecklades. För det senare var BNP ansvarigt.

Valuta

Dokumentation om samtliga förmedlade affärer, såväl förvärv som försäljning i form av avtal, prospekt, avtal, e-post osv.

I dokumentet "Seydler010113 31122015.xlsx" är alla transaktioner i de så kallade ISIN:s listade. Ibland avbröts affärerna och utfördes på nytt.

Dokumentet "SWIFTe.xlsx" innehåller kopior på de externa leverantörsavtalen och settlementsbekräftelser från den amerikanska depån.

Uppdragen ställdes till förfogande i form av avräkningsfiler från ODDO SEYDLER till Clearing Agent HSBC Trinkaus & Burkhardt AG. För dessa affärer handlade det om "US Domestic" Settlements, det vill säga att affärerna instruerades av HSBC Trinkaus & Burkhardt AG till den amerikanska depån Brown Brothers Harriman i New York.

Angaben zum Auftraggeber, Gesellschaften und Ansprechpartner:

ODDO SEYDLER BANK AG (ehem. Close Brothers Seydler Bank AG)

Schillerstraße 27-29, 60313 Frankfurt am Main

Vertragspartner (Verkäufer/ Käufer), Gesellschaften und Personen:

1. Solid Venture Capital Ltd. , London
Ansprechpartner: Emil Amir Ingmansson
2. Optimus Fonder AB (ehem. Traction Fonder AB)
Ansprechpartner: Ulf Deckmark
Jan Eriksson

Auskunft/ Dokumentation in Bezug darauf, welchen Preis die Kunden beim Kauf bzw. Verkauf dieser Wertpapiere gezahlt/ erhalten haben.

Die jeweiligen Preise der Geschäftsabrechnungen entnehmen Sie bitte der Anlage „Anlage 3.1 Seydler010113 31122015.xlsx“ Spalte „S“ auf dem Memorystick.

Auskunft darüber, an/ von welche(n) Konten (IBAN) und Kontoinhaber(n) der gezahlte/ erhaltene Kaufpreis bezahlt wurde.

Kontoinhaber: ODDO SEYDLER BANK AG

Konto: 3960104004

IBAN: DE10 3003 0880 3960 1040 04

in ihrer Funktion als Execution Broker (im Auftrag und für Rechnung des jeweiligen Kunden)

Auskunft/ Dokumentation in Bezug auf etwaige gezahlte/ erhaltene Provisionen. An/von wem/ wem?

An unsere Abwicklungsbank HSBC Trinkaus & Burkhardt AG haben wir jeweils die Standard Provision für die Abwicklung eines außerbörslichen Geschäftes in den USA bezahlt.

ODDO SEYDLER BANK AG hat auf der Kundenseite insgesamt 128.696,38 USD Commission vereinnahmt (siehe Anlage 3.1 – Commission)

Wer ist für die „clearing und settlement“ der oben aufgeführten Wertpapiere verantwortlich gewesen?

HSBC Trinkaus & Burkhardt AG on behalf of ODDO SEYDLER BANK AG, on behalf of Close Brothers Seydler Bank AG.

Wurde DTC für die „clearing und settlement“ benutzt?

Ja.

Es wird um die gesamte Dokumentation zur „clearing und settlement“ in Bezug auf die oben angeführten Instrumente gebeten.

Unsere Abwicklungsbank HSBC Trinkaus & Burkhardt AG hat alle für das Clearing und Settlement relevanten Informationen in den beigefügten Dateien ausgewiesen. Die gesamte Dokumentation zum Clearing und Settlement entnehmen sie bitte der Datei „Anlage 3.1 SWIFTEe“ auf dem Memorystick.

Wie lautet ihre DTC-Nummer?

DTC 010 – BBH

3.2 Anfrage zu Kundenbeziehungen

In Ihrem Anschreiben wurden unter diesem Punkt keine „nachstehend aufgeführten Gesellschaften/Personen“ detailliert, weshalb wir annehmen, dass dieser Punkt direkt bei HSBC angefragt wurde.

Markus Keßler

From: Carsten Pfersdorf
Sent: Mittwoch, 27. März 2013 15:09
To: Trade Operations Mailbox
Subject: FW: New Bond...
Attachments: ABS delivery instructions.pdf; TRADE TICKET MSAC 03-NC8 B3, ABS to SVC.pdf

Hallo zusammen,

wir werden wieder einen Bond in Emils BNP Depot übertragen bekommen.

Da sind wir jetzt ja eingespielt... :-)

Die Stücke kommen wieder von ABS. Details s.h. oben.

Ich gehe davon aus, dass Emil, nachdem die Stücke im BNP Depot sind wieder OTC verkaufen wird und aus dem Erlös ABS bezahlen wird, aber das ist dann erst der nächste Schritt.

Ich habe die ISIN US61746RDS76 incl Prospekt schon an IT-Development weitergeleitet, damit diese bei WM beantragt werden kann.

Bitte bereitet den Übertrag von ABS in Emils BNP Depot soweit möglich schon einmal vor.

Sagt mir bitte Bescheid falls für den ersten Schritt noch irgendetwas fehlt.

Danke

Gruss

Carsten

From: Emil Amir Ingmanson [<mailto:eai@solidequity.se>]
Sent: Mittwoch, 27. März 2013 14:01
To: Carsten Pfersdorf
Subject: New Bond...

Dear Carsten,

Here is a new bond that I have transferred in to my account.

Please confirm to me when it's ready to be sold.

Best Regards,
E-A Ingmanson

SOLID EQUITY

Hammarby Kaj 16
120 30 Stockholm, Sweden

—
+467-329 399 99

Markus Keßler

From: Carsten Pfersdorf
Sent: Dienstag, 11. Juni 2013 13:49
To: Trade Operations Mailbox
Subject: FW: New Bond...ISIN is US05946XGH08.
Attachments: Trade Ticket - ABS to Solid Venture Capital.pdf; ATT00001.txt

Hallo zusammen,

ein neuer Bond vom Emil, bitte schonmal bei BNP avisieren.

IT-Dev hab ich zwecks WM Daten schon Bescheid gesagt.

Lg
Carsten

-----Original Message-----

From: Emil Ingmanson [<mailto:eai@solidequity.se>]
Sent: Montag, 10. Juni 2013 14:16
To: Carsten Pfersdorf
Subject: New Bond...

Dear Carsten,

Here is a new bond on its way to my account.

Markus Keßler

From: Markus Laifle
Sent: Dienstag, 20. August 2013 11:59
To: Trade Operations Mailbox
Subject: FW: ABS delivery instructions.pdf
Attachments: ABS delivery instructions.pdf

Dana, passt das dann ?

Gruß
Markus

From: Mark Bishop [mailto:mailtobishop@gmail.com]
Sent: Dienstag, 20. August 2013 11:49
To: Emil Amir Ingmanson; emil
Cc: Markus Laifle; aaron.hodgdon@lpl.com
Subject: Fwd: ABS delivery instructions.pdf

Emil -

[Regarding bond: FNLC 2005-3 M2, cusip 32113JBV6, ISIN US32113JBV61, original face USD 1.000.000]

Please ask Close Brothers Seydler Bank to attempt delivery again. To confirm, you are delivering the subject bond to our account at LPL Financial. Again, it is DTC # 0075, and account # 1360-4701. Please also make a note on the delivery instructions to deliver the subject bond "FREE OF PAYMENT - FREE DELIVERY".

Aaron Hodgdon at LPL Financial is aware that you will make delivery. His contact information is aaron.hodgdon@lpl.com, +1-855-575-4678.

Let me know if there is any difficulty after the next attempt of delivery.

Thank you.

Regards,

Mark Bishop
+1 949 678 9574
+46 709 933 538

----- Forwarded message -----

From: Emil Amir Ingmanson <amir77@me.com>
Date: Tue, Aug 20, 2013 at 11:13 AM
Subject: Fwd: ABS delivery instructions.pdf
To: Mark Bishop <mailtobishop@gmail.com>

What can we do?

Best Regards,

E-A Ingmanson

Sent from my iPhone

Vidarebefordrat brev:

Från: Markus Laifle <Markus.Laifle@cbseydler.com>
Datum: 20 augusti 2013 10:01:55 GMT+01:00
Till: "eai@solidequity.se" <eai@solidequity.se>
Kopia: Carsten Pfersdorf <Carsten.Pfersdorf@cbseydler.com>, Stefan Krewinkel <Stefan.Krewinkel@cbseydler.com>, Angela Leser <Angela.Leser@cbseydler.com>
Ämne: FW: ABS delivery instructions.pdf

Hello Emil,

ABS refused to take the bond in we tried to delivery.

Can you please check and let us know what to do?

Thank you and best regards

Markus

rom: Carsten Pfersdorf
Sent: Dienstag, 13. August 2013 15:25
To: Trade Operations Mailbox
Subject: FW: ABS delivery instructions.pdf

Hallo zusammen,

anbei die Instruktionen für die 1mln US bond aus Emils BNP depot.

Gruss

Carsten

From: Emil Ingmanson [<mailto:eai@solidequity.se>]
Sent: Freitag, 9. August 2013 06:52

To: Carsten Pfersdorf
Subject: ABS delivery instructions.pdf

Carsten -

Please find attached the delivery instructions for ABS INVESTMENT GROUP.

Deliver to LPL Financial, DTC #0075, Account No. 1360-4701, Account Name "ABS INVESTMENT GROUP, LLC". Make sure to add a notation, "Free Delivery".

Best Regards,

E-A Ingmanson

Sent from my iPhone

Mark Bishop

+1 949 678 9574

+46 709 933 538

Lieferung 1Mio Solid 900728 FoP

From: Trade Operations Mailbox
 To: stefan.hille@bnpparibas.com
 Cc: Trade Operations Mailbox
 Date: Tue, Aug 20, 2013 12:13 PM WT
 Attachments:  [ABS delivery instructions.pdf \(178.9 KB\)](#)

Hallo Herr Hille,

könnten sie bitte die Million nochmals auf die Reise schicken und ggf, die Lieferinstruktionen nochmals prüfen.

Vielen Dank

Mit freundlichen Grüßen

Dana Benz-Fischer
 Trade Operations

We believe in German Mittelstand

- *Top 10 Brokers Europe – Wall Street Journal Europe 2013*
- *Winner 2012 Best German SME House – Capital Markets Daily Portal*
- *Best Bookrunner Mittelstandsanleihen 2011 und 2012 – BOND MAGAZINE*
- *Top Stock Picker 2012 – Thomson Reuters Starmine Ranking in sector machinery (pan-European)*
- *Platz 1 Going Public League Table 2011 für Emission von Mittelstandsanleihen nach Anzahl und Volumen*
- *Platz 1 Thomson Reuters Starmine Ranking 2011 für die besten Aktienempfehlungen im TecDAX und SDAX*
- *Platz 1 Dealogic Ranking 2010 für Aktienemissionen unter 100 Mio EUR für Small & Mid Caps in Deutschland*

Close Brothers Seydler Bank AG

Schillerstrasse 27 - 29
 60313 Frankfurt am Main

Tel: +49 (0) 69 / 92054-308
 Fax: +49 (0) 69 / 92054-915
 e-mail: dana.benz-fischer@cbseydler.com

Registergericht: Frankfurt am Main
 Aktiengesellschaft mit Sitz in Frankfurt am Main - HRB 43507
 Aufsichtsrat: Jonathan Howell (Vorsitzender)
 Vorstand: René Parmantier, Holger Gröber

<http://www.cbseydler.com>

Emil -

[Regarding bond: FNLC 2005-3 M2, cusip 32113JBV6, ISIN US32113JBV61, original face USD 1.000.000]

Please ask Close Brothers Seydler Bank to attempt delivery again. To confirm, you are delivering the subject bond to our account at LPL Financial. Again, it is DTC # 0075, and account # 1360-4701. Please also make a note on the delivery instructions to deliver the subject bond "FREE OF PAYMENT - FREE DELIVERY".

Aaron Hodgdon at LPL Financial is aware that you will make delivery. His contact information is aaron.hodgdon@lpl.com, +1-855-575-4678.

Let me know if there is any difficulty after the next attempt of delivery.

Thank you.

Regards,

Mark Bishop
 +1 949 678 9574

Fup bilaga 3

299

+46 709 933 538

----- Forwarded message -----

From: **Emil Amir Ingmanson** <amir77@me.com>
Date: Tue, Aug 20, 2013 at 11:13 AM
Subject: Fwd: ABS delivery instructions.pdf
To: Mark Bishop <mailtobishop@gmail.com>

What can we do?

Best Regards,

E-A Ingmanson

Sent from my iPhone

Vidarebefordrat brev:

Från: Markus Laifle <Markus.Laifle@cbseydler.com>
Datum: 20 augusti 2013 10:01:55 GMT+01:00
Till: "eai@solidequity.se" <eai@solidequity.se>
Kopia: Carsten Pfersdorf <Carsten.Pfersdorf@cbseydler.com>, Stefan Krewinkel <Stefan.Krewinkel@cbseydler.com>, Angela Leser <Angela.Leser@cbseydler.com>
Ämne: FW: ABS delivery instructions.pdf

Hello Emil,

ABS refused to take the bond in we tried to delivery.

Can you please check and let us know what to do?

Thank you and best regards

Markus

rom: Carsten Pfersdorf
Sent: Dienstag, 13. August 2013 15:25
To: Trade Operations Mailbox
Subject: FW: ABS delivery instructions.pdf

Hallo zusammen,

anbei die Instruktionen für die 1mln US bond aus Emils BNP depot.

Gruss
Carsten

From: Emil Ingmanson [<mailto:eai@solidequity.se>]
Sent: Freitag, 9. August 2013 06:52
To: Carsten Pfersdorf
Subject: ABS delivery instructions.pdf

Carsten -

Please find attached the delivery instructions for ABS INVESTMENT GROUP.

Uppgifter om uppdragsgivare, företag och kontaktpersoner:

ODDO SEYDLER BANK AG (tidigare Close Brothers Seydler Bank AG)

Schillerstraße 27-29, 60313 Frankfurt am Main

Avtalspartner (säljare/köpare), företag och personer:

1. Solid Venture Capital Ltd., London

Kontaktperson: Emil Amir Ingmansson

2. Optimus Fonder AB (tidigare Traction Fonder AB)

Kontaktperson: Ulf Deckmark

Jan Eriksson

Upplysningar/dokumentation om vilket pris kunder betalade för dessa värdepapper.

Vänligen se "Anlage 3.1 Seydler010113 31122015.xlsx" spalt "S" på usb-minnet.

Information om till/från vilka konton (IBAN) och kontoinnehavare som de betalda/erhållna köppriset betalades.

Kontoinnehavare: ODDO SEYDLER BANK AG

Konto: 3960104004

IBAN: DE10 3003 0880 3960 1040 04

I sin funktion som Execution Broker (i uppdrag av respektive kund och på deras räkning)

Upplysningar/dokumentation om ungefärlig betald/erhållen provision. Från/till vem?

HSBC Trinkaus & Burkhardt AG å ODDO SEYDLER BANK AG:s vägnar, å Close Brother Seydler Bank AG:s vägnar.

Användes DTC för "clearing och settlement"?

Ja.

Det finns en förfrågan om den samlade dokumentationen om "clearing och settlement" gällande de ovan nämnda instrumenten.

Vår avvecklingsbank HSBC Trinkaus & Burkhardt AG har tillhandahållit all relevant information om clearing och settlement i de bifogade dokumenten. För sammantagen information om clearing och settlement, vänligen se dokumentet "Anlage 3.1 SWIFTEe" på usb-minnet.

Hur lyder DTC-numret?

DTC 010 – BBH

3.2 Förfrågan om kundrelationer

Under denna punkt i er skrivelse preciseras inga företag eller personer, så vi utgår från att ni vände er direkt till HSBC med detta.

Hej,

Vi kommer återigen att få en Bond i Emils BNP.
Det börjar vi ju bli vana vid nu... ☺
Delarna kommer från ABS igen. För detaljer, se ovan.

Jag utfår från att Emil säljer OTC när delarna finns i BNP depå och betalar ur intäkterna från ABS, men det är nästa steg.

Jag har vidarebefordrat ISIN US61746RDS76 inkl. prospekt till IT-Development så att den kan ansökas hos WM.

Vänlige förbered överföringen från ABS i Emils BNP depå så långt det går redan nu.

Tack

Hälsningar

Hej,

En ny Bond från Emil, avisera redan till BNP.

IT-Dev har jag redan meddelat på grund av WM-uppgifter.

Dana, passar det då?

Hälsningar,
Markus

Hej,

Bifogar finns instruktioner för 1 mln US Bond från Emils BNP depå.

Hälsningar,
Carsten

Översättning från tyska

Hej herr Hille,

Kan ni vänligen skicka iväg miljonen på nytt och även gå igenom leverantörsinstruktionerna igen?

Tack så mycket

Med vänlig hälsning

Hej,

Bifogat finns instruktionerna för 1 mln Bond från Emils depå.

Hälsningar

Exhibit No: JB/001

Description of Item

Statement of Justine Bowen

Date: 17th July 2018

A handwritten signature in black ink, appearing to read 'Justine', written in a cursive style.

High Bailiff.

Witness Statement

Name: Justine Bowen

Date of Birth: 25/11/71

This statement consisting of two pages each signed by me, is true to the best of my knowledge and belief and I make it knowing that, if it is tendered in evidence, I shall be liable to prosecution if I have wilfully stated in it anything which I know to be false or do not believe to be true.

Dated the 17th day of July 2018

Signed: *Bowen*

I am Justine Bowen and I am a Senior Manager and Money Laundering Reporting Officer for Equiom (Isle of Man) Limited, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH. I am attending court today as a representative of Equiom (Isle of Man) Limited having been served a summons issued by the High Bailiff issued under Section 21 of the Criminal Justice Act 1991 to give evidence relating to Zeptunus Limited.

The evidence and documentation I am exhibiting is extracted from the documentation I have identified from a review of the records maintained by Equiom (Isle of Man) Limited as a corporate and trust service provider to Zeptunus Limited and which, due to the nature of my role as the Money Laundering Reporting Officer of Equiom (Isle of Man) Limited, I have examined following receipt of the summons.

Please note the following:

I confirm Zeptunus Limited has been liquidated and dissolved on 13/07/17.

I exhibit the certificate of incorporation for Zeptunus Limited.

Exhibit JB/002

I exhibit the register of directors and other registered officials (including the Liquidator) of Zeptunus Limited, together with company minutes regarding the appointment and resignation of directors.

Equiom (Isle of Man) Limited has no information regarding power of attorney holders or legal advisers appointed in relation to Zeptunus Limited.

Exhibit JB/003

I exhibit documents regarding persons who had power to enter into contracts and signatories on Zeptunus Limited's bank accounts. Please note the directors and members of staff of Equiom (Isle of Man) Limited were the persons who had power to enter into contracts and were the signatories on the company's bank account. Also see Exhibit JB/003.

Exhibit JB/004

I exhibit the register of members, share certificates, stock transfer forms in relation to Zeptunus Limited.

Exhibit JB/005

I exhibit documents (KYC, Nominee agreement) relating to the beneficial owner(s) of Zeptunus Limited.

Exhibit JB/006

I exhibit the Memorandum and Articles of Association which evidence the first registered office of Zeptunus Limited. I also exhibit Company Registry forms changing the registered office of Zeptunus Limited.

Exhibit JB/007

I exhibit the Financial Statements and/or Trial Balance of Zeptunus Limited, for the following periods:

- 19/12/12 to 31/12/13
- Year ended 31/12/13
- Year ended 31/12/14
- Year ended 31/12/15
- To the period 12/12/16 and 16/12/16

Exhibit JB/008

I exhibit the following in relation to the bank account in the name of Zeptunus Limited. Zeptunus Limited had one account with The Royal Bank of Scotland, account number 58608545:

- Account opening documentation, including account signatories and correspondence
- Bank statements (July 2013 to December 2016)
- Documents relating to transactions in excess of GBP 5,000, USD 5,000, and/or EUR 5,000.

Exhibit JB/009

In order to carry out my duties I have access to all the company records both manual and computerised relating to Equiom (Isle of Man) Limited. The documents to which I refer are derived from and form part of the records relating to Zeptunus Limited and were compiled in the ordinary course of business from information recorded by persons who had, or may reasonably be supposed to have had, personal knowledge of the matters dealt with in the information they supplied. The person or person who supplied the information recorded in the records cannot reasonably be expected to have any recollection of the matters dealt with in the information they supplied.

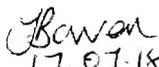
Signature: 
17.07.18

Exhibit No: JB/002

Description of Item

Certificate of incorporation

Date: 17th July 2018



High Bailiff.



Isle of Man
Government

Reillys Ellan Vaunin

009110V

ISLE of MAN

COMPANIES ACT 2006

Certificate of Incorporation

Section 3(1)(c)

THE REGISTRAR OF COMPANIES hereby certifies that

ZEPTUNUS LIMITED

is this day incorporated under the Companies Act 2006.

This 19th day of December 2012

**Department of Economic Development
Registrar of Companies**

The Companies Registry is part of the Department of Economic Development. This certificate does not constitute a licence to conduct banking, investment, CSP, insurance or other business regulated by the Financial Supervision Commission or the Insurance and Pensions Authority.

Exhibit No: JB/004

Description of Item

Documents regarding signatories

Date: 17th July 2018

A handwritten signature in black ink, appearing to be 'Jury', written in a cursive style.

High Bailiff.



Corporate and Trust Services

First Floor, Ragnhall House, 18 Peel Road, Douglas, Isle of Man IM1 4
Tel: 44 (0) 1624 661881; Fax: 44 (0) 1624 611423
E-mail: enquiries@city-trust.com; Web: www.city-trust.com

22 January 2013

Lorraine Ironside
RBS International
Corporate Banking
PO Box 111
Royal Bank House
2 Victoria Street
Douglas
Isle of Man
IM99 1NJ

Dear Lorraine

Zeptunus Limited/[REDACTED] Limited/[REDACTED] Limited

Further to our telephone conversation, please find enclosed the company mandate pages duly signed by Rodney as a Director on the Companies.

As discussed please replace these pages on the mandate sent to you.

If you have any queries please either contact Steve Doyle or myself.

Kind regards

Yours sincerely

Jenny Mackintosh

Please complete this form in BLOCK CAPITALS and in black ink

1. Meanings of words used in this Authority

'Account' means an account or accounts held with the Bank in the name of the Company

'Bank' means The Royal Bank of Scotland International Limited

'Instructions' means

- (a) cheques or other orders for payment, bills accepted and promissory notes or negotiable instruments made, drawn or given on the Account;
- (b) instructions to countermand payment of cheques, bills of exchange or other orders;
- (c) endorsement on behalf of the Company of cheques and other orders, drafts, bills, promissory notes and deposit receipts payable or in the name of the Company;
- (d) instructions to withdraw securities, documents or articles lodged for safe custody in the name of the Company;
- (e) requests for borrowing facilities by way of loan, overdraft, discount or otherwise, and whether secured or otherwise;
- (f) indemnities, guarantees and bonds, and instructions for the opening of credits or the issue of guarantees, bonds or indemnities by the Bank;
- (g) instructions for discounting inland or foreign bills;
- (h) instructions to withdraw, deliver, dispose of or deal with any property, documents or securities held in name of the Company;
- (i) instructions to open further Account(s) or close Account(s) in name of the Company;
- (j) any instruction, request, agreement, undertaking or document necessary for the provision of any of the above purposes; or otherwise for the provision of banking services (including, in particular, any agreement for the provision of these services by electronic, internet-based or similar means); or giving of information, as between each of the Bank and the Company.

2. Meeting details

Excerpt from Meeting of the Directors / Zeptonas Limited

held at 1st floor, Rogradi House, 15 Peel Road, Douglas, Isle of Man (the 'Company')

on the 14th

day of January 2013

it was resolved that: The Royal Bank of Scotland International Limited be requested to act as the bankers of the Company

3. Authority

- (i) The Bank is requested to open or continue an Account in the name of the Company and is authorised to accept Instructions from:-

Any two signatories of the Signatory Panel of City Trust Limited for clients in force from time to time

on behalf of the Company, even if the Account becomes overdrawn as a result of the Instructions.

- (ii) Where Instructions to the Bank are given in any format that is not in writing ['writing' means for this purpose a document bearing an original written authorised signature(s)] the Bank is entitled to accept them if the Bank is satisfied that the Instruction is genuine. The Company accepts that the Bank may require us to enter into a separate agreement(s) with the Bank and/or comply with any further conditions covering any means of providing the Bank with Instructions that are not in writing.

- (iii) The Company accepts that in the event of a winding up petition being presented against the Company, the Bank may refuse to make payments out of the Account.

4. Constitution of the Company

The Bank is to be given a list of names of the Directors, Company Secretary and other Officers of the Company and to be advised of any alterations to the list.

All lists and notifications provided to the Bank from time to time shall be certified as correct by the Company Secretary or a Director. Resolutions shall be certified by the Company Secretary.

The Bank is to be given a certified list of names of the authorised signatories with their specimen signatures.

The Bank will be advised of additions to the list by way of certified Resolutions of the Company. The Bank will be notified of resignations and retirements of those authorised to give Instructions.

This Authority shall continue until receipt by the Bank of a certified copy of a later Board Resolution amending or rescinding this Resolution.

5. Certification – I hereby certify that the above is a true Excerpt from the Minutes of the Meeting of Directors of the Company at which the quorum required by the Articles of Association of the Company was present and that the specimen signatures attached are correct.

Signature of Company Secretary Director



Please note – when filling out this form please use the tab and arrow keys to move between the relevant fields. Ensure you do **not** use the return or enter keys.

This form should be used to refresh details of existing accounts.

1. Customer details

Full business name

Account number Sort code

2. Registered address

Address line 1

Address line 2

Address line 3

Address line 4 OR overseas country

Postcode

3. Additional information

Country of registration/formation

Registration number (where applicable)

Jurisdictions in which you conduct business

Country where principal place of business is located

Date business started trading (DD/MM/YYYY) Financial year end date (DD/MM/YYYY)

4 Purpose / intended nature of business relationship. If 'Investments please state either a) for personal investment OR for third parties (detail what type of investments i.e. property, shares, where the investments are being made etc. – we may need supporting information.)

5. Type, volume and value of activity expected. (Please state expected turnover on the account for the next 12 months and expected level of activity / usage / number of transactions)

6. Source of wealth. (Please provide details of where wealth originated, i.e. savings from earnings [please state time period], sale of property etc., how contribution to start up business has been generated. Generic answers such as investments and savings are not acceptable. We may require supporting documentation.)

Already Known to Bank

7. Personal details

For details of how we and others will use your information, please look for the padlock symbol below and in the accompanying Terms (see Section 9).

Please give full names and capacity in the business (e.g. beneficial owner [25% or more shareholding], director, company secretary, partner) below. Use additional copies of this sheet as required.

Please note where there are any new parties to the account not known or previously advised to the bank we may approach you for due diligence.

Party one

Name

Capacity

% ownership

Party two

Name

Capacity

% ownership

Party three

Name

Capacity

% ownership

Party four

Name

Capacity

% ownership

Party five

Name

Capacity

% ownership

Party one

Title Mr Mrs Miss Ms Other
(Please specify)

Surname

First name(s)

Nationality (where dual nationality is held please advise both)

Gender

Date of birth (dd/mm/yyyy)

Full residential address

Address line 2

Address line 3

Address line 4 OR overseas country

Postcode

Date of entry to above address (DD/MM/YYYY)

If you have an account with RBS International please provide details:

Account name

Account holding branch

Account number

Sort code

Declaration and signature

I confirm that the information given in this form is true and complete.

Fraud prevention agencies

If false or inaccurate information is provided and fraud is identified or suspected, details may be passed to fraud prevention agencies. We may also obtain information about you from fraud prevention agencies.

Giving your consent

By signing this application you are agreeing that we may use your information in the way described in this form and in the associated Terms and Conditions.

Signature

Date (DD/MM/YYYY)

The Royal Bank of Scotland International Limited (RBS International). Registered Office: P.O. Box 64, Royal Bank House, 71 Bath Street, St. Helier, Jersey JE4 8PJ. Regulated by the Jersey Financial Services Commission. Guernsey business address: P.O. Box 62, Royal Bank Place, 1 Glatigny Esplanade, St. Peter Port, Guernsey, GY1 4BQ. Regulated by the Guernsey Financial Services Commission and licensed under the Banking Supervision (Bailiwick of Guernsey) Law, 1994, as amended, the Insurance Managers and Insurance Intermediaries (Bailiwick of Guernsey) Law, 2002, and the Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended. Isle of Man business address: Royal Bank House, 2 Victoria Street, Douglas, Isle of Man IM99 1NJ. Licensed by the Financial Supervision Commission of the Isle of Man and registered with the Insurance and Pensions Authority in respect of general business. Calls may be recorded. Internal e-mails are not necessarily secure as information might be intercepted, lost or destroyed. Please do not e-mail any account or other confidential information.

OFF200470RBSI (22/03/2013)

Party two

Title Mr Mrs Miss Ms Other
(Please specify)

Surname

First name(s)

Nationality (where dual nationality is held please advise both)

Gender

Date of birth (dd/mm/yyyy)

Full residential address

Address line 2

Address line 3

Address line 4 OR overseas country

Postcode

Date of entry to above address (DD/MM/YYYY)

If you have an account with RBS International please provide details:

Account name

Account holding branch

Account number

Sort code

Declaration and signature

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Party three

Title Mr Mrs Miss Ms Other
(Please specify)

Surname

First name(s)

Nationality (where dual nationality is held please advise both)

Gender

Date of birth (dd/mm/yyyy)

Full residential address

Address line 2

Address line 3

Address line 4 OR overseas country

Postcode

Date of entry to above address (DD/MM/YYYY)

If you have an account with RBS International please provide details:

Account name

Account holding branch

Account number

Sort code

Declaration and signature

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Party four

Title Mr Mrs Miss Ms Other
(Please specify)

Surname

First name(s)

Nationality (where dual nationality is held please advise both)

Gender

Date of birth (dd/mm/yyyy)

Full residential address

Address line 2

Address line 3

Address line 4 OR overseas country

Postcode

Date of entry to above address (DD/MM/YYYY)

If you have an account with RBS International please provide details:

Account name

Account holding branch

Account number

Sort code

Declaration and signature

I confirm that the information given in this form is true and complete.

Fraud prevention agencies 

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Signature

Date (DD/MM/YYYY)

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Party five

Title Mr Mrs Miss Ms Other
(Please specify)

Surname

First name(s)

Nationality (where dual nationality is held please advise both)

Gender

Date of birth (dd/mm/yyyy)

Full residential address

Address line 2

Address line 3

Address line 4 OR overseas country

Postcode

Date of entry to above address (DD/MM/YYYY)

If you have an account with RBS International please provide details:

Account name

Account holding branch

Account number

Sort code

Declaration and signature

I confirm that the information given in this form is true and complete.

Fraud prevention agencies 

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Signature

Date (DD/MM/YYYY)

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8. Your agreement

The current terms of your accounts and services and a summary of how we use personal information and our regulatory details are available online. Please save or print a copy and read the document(s) carefully.

Please go to www.rbsint.com/terms and enter RBSICAT as the product code.

Alternatively, please ask your Relationship Manager for a copy of the Terms and the personal information summary.

By signing:

- You agree we may use the personal information you have supplied in the way described in this form (including in the 'Keeping you informed' section below) and in the personal information summary.
- You agree to the Terms for accounts and services held.
- You confirm the details provided are correct and agree to notify us of any changes

Signature: Director/Partner

Signature: Director/Partner

Name (in full)

Name (in full)

Date (DD/MM/YYYY)

Date (DD/MM/YYYY)

9. Contact details

Please provide a contact name, number and email address, in case of referral.

Name

Telephone number

Email address

10. Keeping you informed

We would like to keep your contacts informed by letter, phone and electronic means (including e-mail and mobile messaging) about products, services and additional benefits that we believe may be of interest to you.

If this is not required, please place a cross in this box.

The Royal Bank of Scotland International Limited (RBS International). Registered Office: P.O. Box 64, Royal Bank House, 71 Bath Street, St. Helier, Jersey JE4 8PJ. Regulated by the Jersey Financial Services Commission. Guernsey business address: P.O. Box 62, Royal Bank Place, 1 Giategny Esplanade, St. Peter Port, Guernsey, GY1 4BQ. Regulated by the Guernsey Financial Services Commission and licensed under the Banking Supervision (Bailiwick of Guernsey) Law, 1994, as amended, the Insurance Managers and Insurance Intermediaries (Bailiwick of Guernsey) Law, 2002, and the Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended. Isle of Man business address: Royal Bank House, 2 Victoria Street, Douglas, Isle of Man IM99 1NJ. Licensed by the Financial Supervision Commission of the Isle of Man and registered with the Insurance and Pensions Authority in respect of general business. Calls may be recorded. Internet e-mails are not necessarily secure as information might be intercepted, lost or destroyed. Please do not e-mail any account or other confidential information.

Exhibit No: JB/005

Description of Item

Register of members, share certificates etc..

Date: 17th July 2018

A handwritten signature in black ink, appearing to be 'Julia', written in a cursive style.

High Bailiff.

CL11015

Zeptunus Limited

Registered No.
009110V

Register of Members - Historical Data as of 18/06/18

Currency

Code	Share Class	Share Class Description	Authorised	Par Value	Issued Shares	Issued Value
GBP	ORDINARY	Ordinary	2,000.00	1.00	0.00	0.00

Share Holder EN000543 Equiom Nominees Limited First Floor, Jubilee Buildings, Victoria Street, Douglas, IM1 2SH, Isle of Man

Date Appointed 15/01/14 **Date Ceased to be a Member** 24/11/16

Posting Date	Certificate No.	Shares	Amount	Amount Paid	Running Balance	Description	Allocation Method	Share Numbers
15/01/14	3	2.00	2.00	2.00	2.00	0.00 Issue of a Fully Paid 1.00 GBP ORDINARY Share.	Individual	-
24/11/16	3	-2.00	-2.00	-2.00	0.00	0.00 Cancellation of Fully Paid 1.00 GBP ORDINARY Share Certificate.	Individual	-
Total for Share Holder		0.00			0.00	0.00		

Share Holder EN009427 City Corporate Services Limited First Floor, Jubilee Buildings, Victoria Street, Douglas, IM1 2SH, Isle of Man

Date Appointed 20/12/12 **Date Ceased to be a Member** 15/01/14

Posting Date	Certificate No.	Shares	Amount	Amount Paid	Running Balance	Description	Allocation Method	Share Numbers
20/12/12		1.00	1.00	1.00	1.00	0.00 Issue of a Fully Paid 1 GBP ORDINARY Share Certificate.	Individual	-
15/01/14		-1.00	-1.00	-1.00	0.00	0.00 Cancellation of Fully Paid 1.00 GBP ORDINARY Share Certificate.	Individual	-
Total for Share Holder		0.00			0.00	0.00		

Share Holder EN009428 Harbour Nominees Limited First Floor, Jubilee Buildings, Victoria Street, Douglas, IM1 2SH, Isle of Man

Date Appointed 20/12/12 **Date Ceased to be a Member** 15/01/14

Posting Date	Certificate No.	Shares	Amount	Amount Paid	Running Balance	Description	Allocation Method	Share Numbers
20/12/12		1.00	1.00	1.00	1.00	0.00 Issue of a Fully Paid 1 GBP ORDINARY Share Certificate.	Individual	-
15/01/14		-1.00	-1.00	-1.00	0.00	0.00 Cancellation of Fully Paid 1.00 GBP ORDINARY Share Certificate.	Individual	-
Total for Share Holder		0.00			0.00	0.00		

Share Holder EN035963 Mr Christer Bertil Deckmark 34 Romfort Road, Pembury, Tunbridge Wells, TN2 4JA

Date Appointed 24/11/16 **Date Ceased to be a Member** 07/04/17

Posting Date	Certificate No.	Shares	Amount	Amount Paid	Running Balance	Description	Allocation Method	Share Numbers
24/11/16	4	2.00	2.00	2.00	2.00	0.00 Issue of a Fully Paid 1.00 GBP ORDINARY Share.	Individual	-

321

07/04/17 4	-2.00	-2.00	-2.00	0.00	0.00	Cancellation of Fully Paid 1.00 GBP ORDINARY Share Certificate.	Individual
Total for Share Holder	0.00			0.00	0.00		

Incorporated under the Isle of Man Companies Act 2006

Company Number 009110V

No. of Certificate

4

No. of Shares

2.00

Zeptunus Limited

THIS IS TO CERTIFY that Mr Christer Bertil Deckmark of 34 Romfort Road, Pembury, Tunbridge Wells, TN2 4JA is the registered holder of TWO (2.00) Ordinary Shares of GBP ONE (1.00) each Fully Paid in the above-named company, subject to the Memorandum and Articles of Association of the company.

Signed for and on behalf of the Company, the 24th day of November, 2016.



Director

Director/Secretary

**STOCK
TRANSFER
FORM**

J30

(Above this line for Registrars only)

Consideration money £2

Certificate lodged with the Registrar

(For completion by the Registrar/Stock Exchange)

Name of Undertaking	Zeptunus Limited	
Description of Security	Ordinary	
Number or amount of Shares, Stock or other security and, in figures column only, number and denomination of units, if any	Words TWO	Figures (2 units of £1)
Name(s) of registered holder(s) should be given in full; the address should be given where there is only one holder. If the transfer is not made by the registered holder(s) insert also the name(s) and capacity (e.g., Executor(s) of the person(s) making the transfer	In the name(s) of: Equiom Nominees Limited First Floor Jubilee Buildings Victoria Street Douglas IM1 2SH Isle of Man	

I / We hereby transfer the above security out of the name(s) aforesaid to the person(s) named below
Signature(s) of transferor(s):





Stamp of selling Broker(s) or, for transactions which are not stock exchange transactions, of Agent(s), if any, acting for the transferor(s)

Date: 24/11/16

Full name(s) and full postal address(es) (including County or, if applicable, Postal District number) of the person(s) to whom the security is transferred.

Mr Christer Bertil Deckmark
34 Romford Road
Pembury
Tunbridge Wells
TN2 4JA

Please state title, if any, or whether Mr., Mrs., Miss., or Ms.

Please complete in type writing or in Block Capitals.

I / We request that such entries be made in the register as are necessary to give effect to the transfer.

Stamp of Buying Broker(s) (if any)

Stamp or name and address of person lodging this form (if other than the Buying Broker(s))

**FORM OF CERTIFICATE REQUIRED WHERE TRANSFER IS EXEMPT FROM
AD VALOREM STAMP DUTY AS BELOW THRESHOLD**

* Please delete
as appropriate

* I / We certify that the transaction effected by this instrument does not form part of a larger transaction or series of transactions in respect of which the amount or value, or aggregate amount or value, of the consideration exceeds £1,000.

** Delete second
sentence if
certificate is
given by
transferor

* I / We confirm that *I /we have been duly authorised by the transferor to sign this certificate and that the facts of the transaction are within *my / our knowledge. **

Signature(s)

**Description: ("Transferor", "Solicitor", etc.*

Date _____

NOTES

- (1) If the above certificate has been completed, this transfer does not need to be submitted to the Stamp Office but should be sent directly to the Company or its Registrars.
- (2) If the above certificate is not completed, this transfer must be submitted to the Stamp Office and duly stamped.

Incorporated under the Isle of Man Companies Acts 2006
Company Number 009110V

Share Certificate No: 3

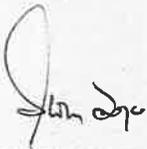
No. of Shares: 2

Zeptunus Limited

THIS IS TO CERTIFY that Equiom Nominees Limited of First Floor, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH is the registered holder of TWO (2) Ordinary Shares of GBP ONE POUND (£1.00) each Fully Paid in the above-named Company, subject to the Memorandum and Articles of Association of the Company.

CANCELLED

Executed by the Company the 15th day of January 2014



.....
Director



.....
Director

Certificate number 2 for 1 Shares issued to Harbour Nominees Limited
of First Floor, Ragnall House, Peel Road, Douglas, Isle of Man, IM1 4LZ

Dated 20/12/2012

ZEPTUNUS LIMITED

No. of Certificate
TWO

No. of Shares
ONE

**SHARE CERTIFICATE
OF
ZEPTUNUS LIMITED**

Incorporated under the Isle of Man Companies Act 2006

THIS IS TO CERTIFY that Harbour Nominees Limited

of First Floor, Ragnall House, Peel Road, Douglas, Isle of Man is/are the Registered

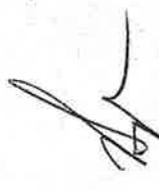
Holder(s) of One Share of One Pound each

subject to the Memorandum and Articles of Association of the Company.

GIVEN this 20th day of December 2012



Director



Director/Secretary

Certificate number 1 for 1 Shares issued to City Corporate Services Limited
of First Floor, Ragnall House, Peel Road, Douglas, Isle of Man, IM1 4LZ

Dated 20/12/2012

ZEPTUNUS LIMITED

**SHARE CERTIFICATE
OF
ZEPTUNUS LIMITED**

No. of Certificate

ONE

No. of Shares

ONE

Incorporated under the Isle of Man Companies Act 2006

THIS IS TO CERTIFY that City Corporate Services Limited

of First Floor, Ragnall House, Peel Road, Douglas, Isle of Man is/are the Registered

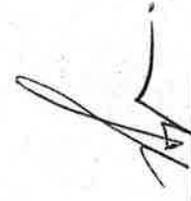
Holder(s) of One Share of One Pound each

subject to the Memorandum and Articles of Association of the Company.

GIVEN this 20th day of December 2012



Director



Director/Secretary

**STOCK
TRANSFER
FORM**

J30

(Above this line for Registrars only)

Consideration money	Certificate lodged with the Registrar
(For completion by the Registrar/Stock Exchange)	

Name of Undertaking	Zeptunus Limited
---------------------	------------------

Description of Security	Ordinary
-------------------------	----------

Number or amount of Shares, Stock or other security and, in figures column only, number and denomination of units, if any	Words ONE	Figures (1 units of £1)
---	--------------	----------------------------

Name(s) of registered holder(s) should be given in full; the address should be given where there is only one holder. If the transfer is not made by the registered holder(s) insert also the name(s) and capacity (e.g., Executor(s) of the person(s) making the transfer	In the name(s) of: City Corporate Services Limited First Floor Jubilee Buildings Victoria Street Douglas IM1 2SH Isle of Man
--	---

I / We hereby transfer the above security out of the name(s) aforesaid to the person(s) named below <div style="text-align: center;">  _____ _____ _____ Signature(s) of transferor(s): </div>	Stamp of selling Broker(s) or, for transactions which are not stock exchange transactions, of Agent(s), if any, acting for the transferor(s) Date: 15/01/14
--	--

Full name(s) and full postal address(es) (including County or, if applicable, Postal District number) of the person(s) to whom the security is transferred.

Please state title, if any, or whether Mr., Mrs., Miss., or Ms.

Please complete in type writing or in Block Capitals.

Equiom Nominees Limited First Floor Jubilee Buildings Victoria Street Douglas IM1 2SH Isle of Man	
---	--

I / We request that such entries be made in the register as are necessary to give effect to the transfer.

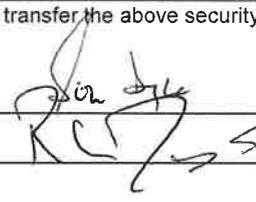
Stamp of Buying Broker(s) (if any)	Stamp or name and address of person lodging this form (if other than the Buying Broker(s))

FORM OF CERTIFICATE REQUIRED WHERE TRANSFER IS EXEMPT FROM AD VALOREM STAMP DUTY AS BELOW THRESHOLD	
* Please delete as appropriate	* I / We certify that the transaction effected by this instrument does not form part of a larger transaction or series of transactions in respect of which the amount or value, or aggregate amount or value, of the consideration exceeds £1,000.
** Delete second sentence if certificate is given by transferor	* I / We confirm that *I /we have been duly authorised by the transferor to sign this certificate and that the facts of the transaction are within *my / our knowledge. **
Signature(s)	*Description: ("Transferor", "Solicitor", etc.

Date _____

NOTES

- (1) If the above certificate has been completed, this transfer does not need to be submitted to the Stamp Office but should be sent directly to the Company or its Registrars.
- (2) If the above certificate is not completed, this transfer must be submitted to the Stamp Office and duly stamped.

<p>STOCK TRANSFER FORM</p> <p>J30</p>	(Above this line for Registrars only)					
	Certificate lodged with the Registrar					
	Consideration money	(For completion by the Registrar/Stock Exchange)				
	Name of Undertaking	Zeptunus Limited				
	Description of Security	Ordinary				
	Number or amount of Shares, Stock or other security and, in figures column only, number and denomination of units, if any	<table border="1" style="width: 100%;"> <tr> <td style="width: 70%;">Words</td> <td>Figures</td> </tr> <tr> <td>ONE</td> <td>(1 units of £1)</td> </tr> </table>	Words	Figures	ONE	(1 units of £1)
	Words	Figures				
	ONE	(1 units of £1)				
	Name(s) of registered holder(s) should be given in full; the address should be given where there is only one holder. If the transfer is not made by the registered holder(s) insert also the name(s) and capacity (e.g., Executor(s) of the person(s) making the transfer	In the name(s) of: Harbour Nominees Limited First Floor Jubilee Buildings Victoria Street Douglas IM1 2SH Isle of Man				
	I / We hereby transfer the above security out of the name(s) aforesaid to the person(s) named below Signature(s) of transferor(s):  _____ _____ _____		Stamp of selling Broker(s) or, for transactions which are not stock exchange transactions, of Agent(s), if any, acting for the transferor(s) Date: 15/01/14			
Full name(s) and full postal address(es) (including County or, if applicable, Postal District number) of the person(s) to whom the security is transferred. Please state title, if any, or whether Mr., Mrs., Miss, or Ms. Please complete in type writing or in Block Capitals.	Equiom Nominees Limited First Floor Jubilee Buildings Victoria Street Douglas IM1 2SH Isle of Man					
I / We request that such entries be made in the register as are necessary to give effect to the transfer.						
Stamp of Buying Broker(s) (if any)	Stamp or name and address of person lodging this form (if other than the Buying Broker(s))					

**FORM OF CERTIFICATE REQUIRED WHERE TRANSFER IS EXEMPT FROM
AD VALOREM STAMP DUTY AS BELOW THRESHOLD**

* Please delete
as
appropriate

* I / We certify that the transaction effected by this instrument does not form part of a larger transaction or series of transactions in respect of which the amount or value, or aggregate amount or value, of the consideration exceeds £1,000.

** Delete
second
sentence if
certificate is
given by
transferor

* I / We confirm that *I /we have been duly authorised by the transferor to sign this certificate and that the facts of the transaction are within *my / our knowledge. **

Signature(s)

**Description: ("Transferor", "Solicitor", etc.*

Date _____

NOTES

- (1) If the above certificate has been completed, this transfer does not need to be submitted to the Stamp Office but should be sent directly to the Company or its Registrars.
- (2) If the above certificate is not completed, this transfer must be submitted to the Stamp Office and duly stamped.

MINUTES OF A MEETING OF THE DIRECTORS
OF
ZEPTUNUS LIMITED

4211015 +
mins

(“the Company”)
HELD AT FIRST FLOOR, JUBILEE BUILDINGS, VICTORIA STREET, DOUGLAS,
ISLE OF MAN, IM1 2SH
ON 15TH DAY OF JANUARY 2014

PRESENT:

Mr Stephen Gerard Maurice Doyle
Mr Rodney Leonard Margot

CHAIRMAN:

Mr Doyle was nominated by those present to act as Chairman of the meeting.

**NOTICE AND
QUORUM:**

The Chairman noted that a quorum was present and the Directors having confirmed that they had received due notice of the meeting, the Chairman declared the meeting open.

**DECLARATION OF
DIRECTORS'
INTERESTS:**

IT WAS NOTED that in accordance with Section 104 of the Isle of Man Companies Act 2006, that any Director who has, directly or indirectly, an interest in a transaction entered into or proposed to be entered into by the Company or by a subsidiary of the Company which to a material extent conflicts or may conflict with the interests of the Company and of which the director is aware, shall disclose to the Company the nature and extent of the directors' interest.

The Directors present confirmed they had no material interests in any of the transactions proposed on the agenda for the meeting.

BUSINESS:

Share Transfers

Mr Doyle presented the following share transfer forms to the meeting:

City Corporate Services Limited transferring 1 Ordinary share of £1.00 to Equiom Nominees Limited.

Harbour Nominees Limited transferring 1 Ordinary share of £1.00 to Equiom Nominees Limited.

It was resolved that the above share transfers are hereby approved and registered in the books of the Company with effect from the end of this meeting.

Share Certificates

It was resolved that the following share certificates be cancelled:

Share certificate number 1 in the name of City Corporate Services Limited for the holding of 1 Ordinary share of £1.00.

Share certificate number 2 in the name of Harbour Nominees Limited for the holding of 1 Ordinary share of £1.00.

It was further resolved that the following share certificate be prepared and signed by two Directors Company:

Share certificate number 3 in the name of Equiom Nominees Limited for the holding of 2 Ordinary shares of £1.00 each.

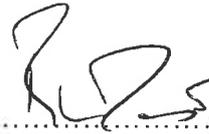
OTHER BUSINESS:

The Chairman advised that there was no further business.

There being no further business, the meeting was concluded



Chairman



Director Present

2016
P

**MINUTES OF A MEETING OF THE DIRECTORS
OF
ZEPTUNUS LIMITED**

("the Company")

HELD AT FIRST FLOOR, JUBILEE BUILDINGS, VICTORIA STREET, DOUGLAS,
ISLE OF MAN, IM1 2SH
ON THURSDAY 24TH NOVEMBER 2016

PRESENT:

I M Foster
I D Mudie (By telephone)

CHAIRMAN:

Mrs Foster was nominated by those present to act as Chairman of the meeting.

**NOTICE AND
QUORUM:**

The Chairman noted that a quorum was present and the Directors having confirmed that they had received due notice of the meeting, the Chairman declared the meeting open.

**DECLARATION OF
DIRECTORS'
INTERESTS:**

IT WAS NOTED that in accordance with Section 104 of the Isle of Man Companies Act 2006, that any Director who has, directly or indirectly, an interest in a transaction entered into or proposed to be entered into by the company or by a subsidiary of the company which to a material extent conflicts or may conflict with the interests of the company and of which the director is aware, shall disclose to the company the nature and extent of the director's interest.

The Directors present confirmed they had no material interests in any of the transactions proposed on the agenda for the meeting.

BUSINESS:

Share Transfer

Mrs Foster presented the following share transfer form to the meeting:

Zeptunus Limited transferring 2 Ordinary shares of £1.00 each to Mr Christer Bertil Deckmark.

It was resolved that the above share transfer be and is hereby approved and registered in the books of the Company with effect from the end of this meeting.

Share Certificate

It was resolved that the following share certificate be cancelled:

Share certificate numbered 3 in the name of Equiom Nominees Limited for the holding of 2 Ordinary shares of £1.00 each.

It was further resolved that the following share certificate be prepared, and that such be signed by two Officers of the Company:

Share certificate number 4 in the name of Mr Christer Bertil Deckmark for the holding of 2 Ordinary shares of £1.00 each

OTHER BUSINESS:

The Chairman advised that there was no further business.

There being no further business, the meeting was concluded

I. Foster

Chairman

NOMINEE DECLARATION

by and between

**Equiom Nominees Limited
("ENL")**

And

**Mr Ulf Roland Deckmark
("Owner")**

NOMINEE DECLARATION Dated: 15th January 2014

BETWEEN **Equiom Nominees Limited** of First Floor, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, British Isles IM1 2SH ("**ENL**")

AND

Mr Ulf Roland Deckmark of Kometvägen 17, 183 48 Täby, Sweden ("**Owner**")

RECITALS

ENL is the registered holder of 2 Ordinary Shares of £1.00 each in the capital of **Zeptunus Limited**, company number 009110V of First Floor, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH ("**Company**"), ("**Shares**").

- A. ENL was allotted the Shares at the request of the Owner on terms that it holds the Shares as nominee for the Owner.
- B. The consideration for the allotment of the Shares was provided by the Owner.
- C. ENL and the Owner agree that the Shares are held by ENL as nominee for the Owner on the following terms.

OPERATIVE PART

1. Declaration

ENL declares that it holds the Shares as nominee for the Owner absolutely, together with all dividends and all other rights and privileges in respect of the Shares.

2. Undertakings and acknowledgements

2.1. ENL undertakes and agrees:

- (a) to transfer, deal with and dispose of the Shares only as the Owner may from time to time direct, and in no other manner;
- (b) to account to the Owner for all dividends and profits which may be paid to ENL from time to time upon the Shares, and for all the monies or profit which may be payable to ENL in respect of the Shares; and
- (c) to exercise the voting power and other rights and privileges conferred by the Shares only in such manner and for such purposes as the Owner may from time to time direct or determine.

2.2. ENL acknowledges that the Owner has the power to remove ENL as nominee in relation to the Shares and to appoint a new nominee in its place.

2.3. The Owner acknowledges that ENL shall be entitled to terminate this Deed and transfer the Shares to the Owner should Equiom (Isle of Man) Limited, the holding company of ENL, terminate its services with the Company and the Owner.

3. Indemnity

3.1. The Owner agrees to hold ENL, and its proper directors, officers and employees, indemnified so that in any execution of the powers conferred on ENL as registered holder of the Shares, and in the carrying out of ENL's duties as a shareholder, and, where appropriate, as an officer of the Company, neither ENL nor its proper directors, officers and employees shall be liable for:

CHECKLIST

Name of Individual: Ulf Deckmark

Related companies: Zeptunus Limited

Risk rating: L

PERSONAL DETAILS

Address (Inc postcode): Kometvägen 17, 8fl
18348 TÄBY, Sweden

Any former name:

Nationality: Swedish

Date of Birth: 30 March 1961

Place of birth: Spänga, Sweden

National identification number: Passport No. 81976147

Gender: Male

FOR HIGH RISK ONLY

Occupation:

Name of employer/source of income:

High profile position held:

Enhanced due diligence held:

N/A

DOCUMENTATION

Form of ID provided: Passport

Certifier name and capacity: Certified by SDoyle-original seen

Verification of Certifier (if applicable): N/A

Expiry date: 2 March 2016

Form of Address Verification provided: Utility Bill

Original/Certified: Original

Verification of Certifier (if applicable) N/A

External verification (Directory search) Yes

Questionnaire provided and reviewed: Yes

OTHER VERIFICATION

1) Sanctions

a) Print off from HM Treasury Sanctions

b) Print off from US OFAC list

2) a) Check general search engines

b) Set up Google alert on individual

3) For countries to risk rate check

(a) imf.org/external/country/index.htm

(b) fatf-gafi.org (Member Countries)

(c) Transparency International CPI Index

(d) state.gov/misc/list/index.htm

✓
✓
✓
✓
✓

INTRODUCTION OF CLIENT

Existing client No

Introduced via professional intermediary: EA Associates, London

Introduced by an existing client: No.

Face to Face: date of meeting/(s) 11th December 2012



[Visa alla Ulf Deckmark](#)

UlfDeckmark

☎ 076-870 44 06

Kometvägen 17, 18348TÄBY

Skaffa e-post mailto:ulfdeckmark.se

Skaffa hemsida www.ulfdeckmark.se



Kontakta och skicka

[Skicka till en mobiltelefon \(SMS\)](#)

[Mejla till en e-post adress](#)

[Spara som visitkort \(vCard\)](#)

[Länk till sidan](#)

[Skriv ut](#)

[Andra uppgifter](#)

Skicka blomma eller present

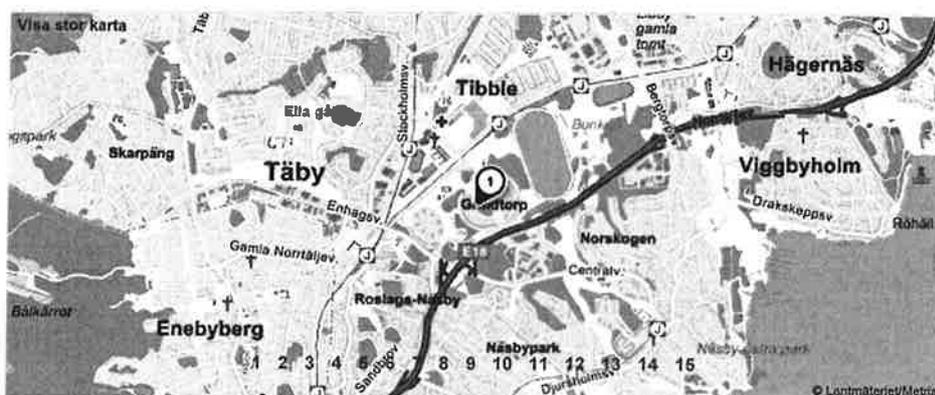
Ulf Deckmark fyller år 30 mar och har namnsdag 11 apr

[Skicka blommor med EuroFlorist - klicka här](#)

[Skicka en present med Nallebudet](#)

[Skicka en Gift2Day](#)

[Skicka Choklad med Chokladbudet](#)



Vägbeskrivning

Jag vill åka från Adress, plats eller ort

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[eniro](#) iPhone 5, ring för allt och surfa fritt! 449 kr/mån





Faktura 12 november 2012
Faktura-/OCR-nummer 425 065 932 526
Kundnummer 3083971



Ulf Deckmark
 Kometvägen 17 8 tr
 183 48 TÄBY



3305463100042898

Kometvägen 17 / Anläggnings id 735 999 102 108 011 509
 Kostnad för perioden 1 augusti 2012 t o m 31 oktober 2012
 Elhandel
 Elnät

1 377,78 kr
 798,67 kr

2 176,00 kr

 **Att betala**

Oss tillhanda senast 4 december 2012	Momsgrundande 1 741,16 kr	Moms 25% 435,29 kr	Ej momsgrundande 0,00 kr	Öresutjämning -0,45 kr	Att betala 2 176,00 kr
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Fortum Markets AB, SE - 115 77 Stockholm momsreg.nr. SE556549067801 fakturerar elnätskostnader efter överlåtelse av fordran från Fortum Distribution A
 momsreg.nr. SE556037732601. Företagen har F-skattsedel. Dröjsmålsränta: referensränta +8 procentenheter. Anmärkningar på fakturan ska göras inom 8 c

S:139511, A:069756, K:042898 FOCABV20120927

Du är alltid välkommen att kontakta oss

Kundservice och flyttanmälan 020-46 00 00

Mån-fre kl 8-17 och självservice dygnet runt

Fax Sverige 020-46 11 46

Utlandsnr +46 (0)278 276 96 Fax +46 (0)278 277 60

Konsumenträtt, klagomål och tvistlösning fortum.se/konsument eller ring kundserviceWebb fortum.se/kontaktaossAktuella frågor och svar fortum.se/faqDina sidor fortum.se/mittkontoFakturaförklaring fortum.se/fakturanAnmäl flytt 5 dagar i förväg
(gäller i Fortums nätområde)Ring om strömavbrott
020-44 11 00, dygnet runt**Elhandelskostnad för perioden 1 aug 2012 t o m 31 okt 2012**

	Pris fr o m	Antal	Pris inkl. moms	Summa
Årsavgift	1 aug-12	92 dagar	325,00 kr/år	81,70 kr
EI	1 aug-12	454 kWh	36,80 öre/kWh	167,05 kr
EI	1 sept-12	589 kWh	40,20 öre/kWh	236,75 kr
EI	1 okt-12	621 kWh	46,55 öre/kWh	289,08 kr
Energiskatt	1 aug-12	1 664 kWh	36,25 öre/kWh	603,20 kr
Summa elhandel (moms ingår med 275,56 kr)				1 377,78 kr

Ditt elhandelsavtal Rörligt elpris Liten fr.o.m. 2 juni 2008

Elnätskostnad för perioden 1 aug 2012 t o m 31 okt 2012

	Antal	Pris inkl. moms	Summa
Abonnemang	92 dagar	450,00 kr/år	113,11 kr
Elöverföring	1 664 kWh	41,20 öre/kWh	685,56 kr
Summa elnät (moms ingår med 159,73 kr)			798,67 kr

Mätarställning

1 aug 24 077 1 sep 24 531 1 okt 25 120 1 nov 25 741

Information om anläggningen och energiförbrukningen månad för månad

Anläggningsadress Kometvägen 17
18348 TÄBY

Fastal Säkring/Tariff 3X20 A/Bstariff
Elmätarnr 7613207896609417

Mätmetod Månadsmätt
Elmätartavla B8-15

Anl id 735 999 102 108 011 509

Områdes id TBY

Elområde SE3

Månad, förbrukning och % av året

Månad	2012	kWh	% av året
okt	2012	621 kWh	9,35 %
sep	2012	589 kWh	8,87 %
aug	2012	454 kWh	6,84 %
jul	2012	343 kWh	5,16 %
jun	2012	445 kWh	6,70 %
maj	2012	517 kWh	7,78 %

Månad, förbrukning och % av året

Månad	2011	kWh	% av året
apr	2012	559 kWh	8,42 %
mar	2012	593 kWh	8,93 %
feb	2012	595 kWh	8,96 %
jan	2012	653 kWh	9,83 %
dec	2011	668 kWh	10,06 %
nov	2011	604 kWh	9,10 %
okt	2011	633 kWh	9,53 %

Beräknad årsförbrukning 6 641 kWh. Värdet är baserat på de senaste 12 månaderna och varierar därför över tid.

CITY TRUST LIMITED
First Floor, Ragnall House, Peel Road, Douglas, Isle of Man, IM1 4LZ
Tel: 01624 661881 Fax: 01624 611423

BENEFICIAL OWNER QUESTIONNAIRE

INTRODUCTION

Thank you for instructing City Trust to incorporate your new Company.

In order to comply with our Anti Money Laundering regulations it is necessary to obtain certain information and documentation from you. This also serves to protect the assets of your Company because once we hold this information and documentation no one can seek to usurp your position as the beneficial owner of the Company.

This information is strictly confidential and is maintained by us separate to the Company files in a safe.

If there is any matter you would like to discuss in more detail or clarify please contact one of our Directors or Managers and we will be happy to assist.

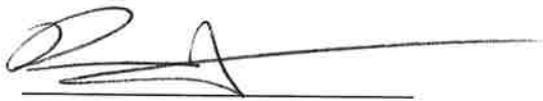
INFORMATION REQUIRED

1a	Full Name:	Ulf Deckmark
1b	Any previous names (if applicable):	
2a	Permanent residential address: <i>(Note: this will be deemed to be the country in which you are resident for tax purposes)</i>	Kometvägen 17, 8fl 183 48 TÄBY Sweden
2b	Any previous full time residential addresses in the last 5 years:	Kometvägen 17, 8fl 183 48 TÄBY Sweden
2c	Country of domicile if different from above (please state reason for claiming domicile i.e. by birth)	
2d	Contact Address (if different from 2a)	

2e	Contact numbers:	Office: +46 (0)8 502 556 03
		Mobile: +46 (0)70 530 93 31
		Fax:
		Other:
		Email 1: Uffe470@hotmail.com
		Email 2: Uffe470@gmail.com
2f	Please list any additional person who we may take instructions from (NB a separate letter of authority will be required)	
3	Nationality:	Swedish
4	Business Occupation:	CEO, Traction Fonder AB
5	Brief background on the nature and type of business carried on in the past:	Manager and CEO in the financial market
6	Source of wealth (e.g. sale of business, inheritance, trading profits). Please be as detailed as possible. (This is as distinct from source of funds)	Sale of business and trading commissions
7	Academic Qualifications (i.e. diploma / degree level or similar)	Collage education in Sweden, se the annex
8	Professional Qualifications (including the year they were obtained):	Se the annex
9	List any memberships of Professional Body/ies (including year of admittance):	
10	Detail all experience relevant to the	

	activity of the proposed new Company:	25 years of experience in the financial market in EU
11	List all other companies of which you own 50% or more	Solid Venture Capital Ltd
12	<p>Have you at any time been convicted of any offence? If so, give full particulars of the court by which you were convicted, the offence and penalty imposed and the date of conviction.</p> <p>This does not apply to (a) an offence committed when you were under 18 years unless the same was committed within the last ten years, (b) an offence in connection with the use or ownership of a motor vehicle which was tried in a court of summary jurisdiction.</p>	NO
13	Have you ever been disciplined by any court or professional body or association to which you have belonged or do belong or been the subject of a regulatory order or been refused or had revoked a license to practice law, accounting or other profession or deal in securities? If so explain the circumstances thereof.	NO
14	Have you been judged bankrupt by a Court?	NO
15	Have you failed to satisfy any debt adjudged due and payable by you as a judgment debtor under an order of court?	NO
16	Have you in connection with the formation or management of any body corporate partnership or un-incorporated institution been adjudged by a court civilly liable for any fraud misfeasance or other misconduct by you towards such a body or company or towards any members thereof? If so, give full particulars.	NO
17	Has any body corporate, partnership or un-incorporated institution with which you have been associated been compulsorily wound up or made an arrangement with its creditors or ceased trading in circumstances where its creditors did not receive or have not received full settlement of their claims, either while you were associated with it or within one year thereof? If so, give full particulars.	NO
18a	Do you hold any political office in any	NO

	country? (if so please provide details)	
18b	Does any member of your family (including extended family) hold any political office in any country? (if so please provide details)	NO
18c	Do any of your associates hold any political office in any country? (if so please provide details)	NO
18d	Do you or your family or associates act as an official or assistant or carry out any work for any political individual (if so please provide details)	NO
19	Please provide any other information which you believe is relevant to the setting up and operation of the Company.	



 Signed

2012-11-26 _____
 Dated

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Pa. Deckmark



HM TREASURY

CONSOLIDATED LIST OF FINANCIAL SANCTIONS TARGETS IN THE UK

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Status: Asset Freeze Targets

REGIME: Afghanistan

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1. Name & ABBASIN 1: ABDUL AZIZ 2: n/a 3: DOB: --/1969. POB: Sheykhon Village, Pakhjangari Network under Saipuddin Jaliluddin 21/12/2011 Group ID: 13155. Title: UN Ref TJA.155.11 Key commander in the Taliban regime. Listed on: 21/12/2011 Last Updated: 21/12/2011
2. Name & ABDUL AHAD 1: AZIZRAHMAN 2: DOB: --/1972. POB: Sogda District, Kandahar Province, Afghanistan Other Information: UN Ref TJA.121.01 Listed on: 23/02/2001 Last Updated: 25/02/2012 Group ID: 7155. Title: Third Secretary, Taliban Embassy, Abu Dhabi, United Arab Emirates Other Information: UN Ref TJA.121.01 Listed on: 23/02/2001 Last Updated: 25/02/2012 Group ID: 7155.
3. Name & ABDUL AHMAD TURK 1: ABDUL GHANI 2: BARADAR 3: n/a 4: n/a 5: n/a. Title: Vairak village, Dehrawood District, Uruzgan Province, Afghanistan a.k.a: (1) ANJUND, Basadar (2) BARADAR, Abdul, Ghan Nationality: Afghan Position: Deputy Minister of Defense under the Taliban regime Other Information: UN Ref TJB.24.01 Arrived in Feb 2010 and in custody in Pakistan. Extradition request to Afghanistan pending in Lahore High Court, Pakistan as of June 2011. Belongs to Popalzai tribe. Served Taliban military commander and member of Taliban Quetta Council as of May 2007. Listed on: 02/04/2001 Last Updated: 25/02/2012 Group ID: 7090.
4. Name & ABDUL BASEER 1: ABDUL QADEER 2: BASIR 3: n/a 4: n/a 5: n/a. Title: Gonor/Masatvi DOB: --/1964 POB: (1) Suran Rod District, Nangarhar Province (2) Hissak District, Nangarhar Province, Afghanistan a.k.a: (1) BASIR, Abdul, Qadir (2) HAQQANI, Abdul, Qadir Nationality: Afghan Passport Details: D 000574 (Afghan) Position: Military Attaché, Taliban Embassy, Islamabad, Pakistan Other Information: UN Ref TJA.128.01 Also referred to as Abdul Qadir and Ahmad Hajj. Financial advisor to Taliban Peshewar Military Council and Head of Taliban Peshewar Financial Commission, Botebad to be in Afghanistan/Pakistan border area. Listed on: 22/02/2001 Last Updated: 06/12/2012 Group ID: 6911.
5. Name & ABDUL BASIR 1: NAZIR MOHAMMAD 2: n/a 3: n/a 4: n/a 5: n/a. Title: Maulay/Sar Masatvi DOB: --/1954. POB: Masatvi Village, Kunduz District, Kunduz Province, Afghanistan a.k.a: MOHAMMAD, Nazir Nationality: Afghan Position: Mayor of Kunduz City, Acting Governor of Kunduz Province under the Taliban regime Other Information: UN Ref TLM.100.01. Reportedly deceased on 9 November 2008 Listed on: 02/04/2001 Last Updated: 26/06/2012 Group ID: 7238.
6. Name & ABDUL GHAFAR 1: ABDUL WAHAB 2: n/a 3: n/a 4: n/a 5: n/a. Title: Maulavi DOB: --/1973. POB: Kuzbanar village, Khogyani District, Nangarhar Province, Afghanistan a.k.a: ABDUL WAHAB Nationality: Afghan Position: (1) Taliban Charge d'Affaires in Riyadh, Saudi Arabia (2) First Secretary, Taliban Embassy in Islamabad, Pakistan Other Information: UN Ref TJA.125.01. Member of Taliban Quetta Shura as of 2010. Confirmed to have died in December 2010 in Pakistan. Listed on: 23/02/2001 Last Updated: 06/12/2012 Group ID: 6915.
7. Name & ABDUL GHANI 1: ABDUL GHAFAR 2: QURISHI 3: n/a 4: n/a 5: n/a. Title: Maulavi DOB: (1) --/1970. (2) --/1967. POB: Turbut village, Wardak District, Takhar Province, Afghanistan 000933 (Afghan) issued in Kabul on 13-Sep-1999 National Identification no: 55130 (Afghan) (Iskand) Address: Atache, Taliban Embassy, Islamabad, Pakistan Other Information: UN Ref T.J.Q.150.01. Listed on: 23/02/2001
8. Name & ABDUL MANANJ 1: ABDUL SATAR 2: n/a 3: n/a 4: n/a 5: n/a. Title: Hajj DOB: --/1954. POB: (1) Mirmandara village, Nahr-e Saraj District, Helmand Province (2) Mirmandara Province, (1) Afghanistan (2) Afghanistan (3) Pakistan a.k.a: (1) BARKANJA, Abdul, Samar (2) BARKANJA, Satar, 2013 National Identification no: (1) 5420252141939 (Pakistan) (2) 5558209 (Afghan) Address: (1) Abdul Satar

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Kontaktuppgifter

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120 30 Stockholm
 +46 8 502 556 03
info@tractionfonder.se

FONDKURSER

2012-12-18	NAV (SEK)	+/- (%)	i år (%)
Yield	103,56	0,14	4,61
Small Cap	103,76	0,26	17,86
High Yield	104,41	0,09	4,41

*Indikativa NAV-kurser publiceras
nästkommande bankdag.*

AKTUELLT

2012-08-30

[Nu har vi startat vår första PPM fond Traction High Yield](#)

2012-02-06

[Ändrade skatteregler för fondsparare](#)



2010-08-23 | 17:49

Top rankings for Traction hedge funds

Bengt Still Ströms investment Traction has also hedge funds that are going well.

Traction writes in a press release that the company's shares, hedge funds Traction SAM Small Cap and Small Cap Traction among top tier in Europe in its category so far this year.

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During the first seven months rose Traction SAM Small Cap in value by 13 percent, while Traction Small Cap rose in value by 8 percent, according to the press release.

Fund analyst Morningstar ranks the two funds so that two of the top five equity hedge funds so far this year, says the press release.

The two "funds have shown very good returns this year despite different direction, and also in relation to the OMX Small Cap Index," writes Traction in the press release.

And Funds under Traction also gone much better than the index since the funds started.

Here OMX Small Cap GI index used as a benchmark.

Of the two funds, Traction SAM Small Cap risen in value by about 6 percent since its inception, while the benchmark index fell by 12 percent.

Traction Small Cap for its part, has risen in value by over 28 percent, while the index fell by 0-1 percent.

For both funds, the value increases occurred at a significantly lower risk than the market index writes Traction.

Management Company Traction Fonder AB is a wholly owned subsidiary of investment company whose shares Traction is listed on the Nasdaq OMX Nordic Small Cap list.

Full Traction is worth over 1.1 billion on the stock exchange of which family Stillström (with Traction Chairman Bengt Stillström in the lead) owns approximately 85 percent.

Management Company Traction Fonder added to Traction Traction when in early 2010 bought Thenberg & Kinde funds which then changed its name to Traction Fonder.

The Management Company currently has three state employees.

The three employees Traction Fonder CEO Ulf Deckmark, and the two staff Anders Hall and His Light.

These two funds have "small cap" in its name, does not mean that they only invest in small caps.



Traction principal owner and chairman Bengt Stillström.
Photo: Scanpix



Traction Fonder CEO Ulf Deckmark.
Photo: Traction Fonder

Traction Small Cap has no restrictions other than that most of the shares are invested in small-cap and Mid-cap.

Traction SAM Small Cap has a rule that the Fund may only buy shares in companies with a market capitalization of up to 1 billion euros.

And so both of these funds are not ordinary equity funds but "equity hedge".

That means they can vary their investments more and such sell shares they do not own ("short sales") to thus make money and decreases.

Or they can issue options on shares in a company (issue call and make money if a stock falls, or exhibit put options and make money if a stock rises).

And Funds also have the right to mortgage their holdings at strong belief in price appreciation, to earn more if a stock rises than without leverage.

Realtid.se get Traction Fonder CEO Ulf Deckmark.

He says that one must invest at least SEK 250,000 to invest in Traction SAM Small Cap, and at least SEK 50,000 to invest in Traction Small Cap.

Traction SAM Small Cap is more focused on equity investments in companies with high growth, while Traction Small Cap is more focused on "value-focused" equity investment.

A change will now September 18 when the Traction Small Cap will change its name to Trac Traction and Traction SAM Small Cap will change its name to Traction Small Cap.

This may mean that the fund Trac Traction greater will reflect investment company Traction equity investment.

- Both we fund company Traction funds and the investment company invests Traction on the same fundamentals, says Deckmark.
- We're looking for stocks that can provide large potential gains with limited risk.
- And also "revaluation case".

Deckmark'd rather not go public with how much capital Traction Fonder manages.

- But we are still the smaller players in the market.

Traction funds charge an annual fund charge of 1.5 percent of assets under management, plus a "performance fee" of 20 percent of any increase in value of the fund's capital.

- All our fees charged after expenses are deducted, says Deckmark.

How come it's been so good for your funds?

- It is because we are working with a successful methodology for how we invest.
- It is based on our own analysis and a methodical basis of our investment philosophies.
- And we have managed to fend off the larger decline in the financial crisis, more than enough.
- This is more of a feel for the market, when the market is overvalued or not.

What are your capital flows out? Turns fund customers money or they take them out?

- Right now it flows into money in our funds.

Do you have goals to reach under management of half a billion dollars within three years?

- There is also a bit sensitive.
- We have such goals, but would rather not go out with it.
- Everyone has goals to become bigger.

According Deckmark is not as meaningful to say which shares Traction Fonder of their funds right now.

- It can change quickly.

- But as a starting point, we have long-term holdings, not "trading portfolios."

This may mean holding in 15-20 companies in each fund.

Additionally, Traction Fonder other funds such as a money market fund.

Ian Hammer

redaktionen@realtid.se

Exhibit No: JB/006

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Kometvägen 17 lgh 1802
183 48 Täby

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Kundnummer: 2153086
Fakturadatum: 2016-02-15

Januari

Ditt avtal: sol, vind & vatten



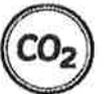
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Mer information på nästa sida >

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Sent: 20 December 2016 15:52
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Subject: Ulf Roland Deckmark

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USERNAME: Equim0002

SENT: 20-12-2016 15:52 UTC

NAME: Ulf Roland Deckmark

MODE: part

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CHECKLIST

Name of Individual: Ulf Deckmark

Related companies: Zeptunus Limited

Risk rating: L

PERSONAL DETAILS

Address (Inc postcode):	Kometvägen 17, 8fl 18348 TÄBY, Sweden
Any former name:	
Nationality:	Swedish
Date of Birth:	30 March 1961
Place of birth:	Spånga, Sweden
National identification number:	Passport No. 81976147
Gender:	Male

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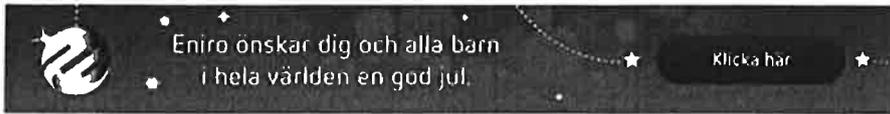
Form of ID provided:	Passport
Certifier name and capacity:	Certified by SDoyle-original seen
Verification of Certifier (if applicable):	N/A
Expiry date:	2 March 2016
Form of Address Verification provided:	Utility Bill
Original/Certified:	Original
Verification of Certifier (if applicable)	N/A
External verification (Directory search)	Yes
Questionnaire provided and reviewed:	Yes

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b) Print off from US OFAC list	✓
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b) Set up Google alert on individual	✓
3) For countries to risk rate check	
(a) imf.org/external/country/index.htm	✓
(b) fatf-gafi.org (Member Countries)	✓
(c) Transparency International CPI Index	
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INTRODUCTION OF CLIENT

Existing client	No
Introduced via professional intermediary:	EA Associates, London
Introduced by an existing client:	No.
Face to Face: date of meeting/(s)	11 th December 2012



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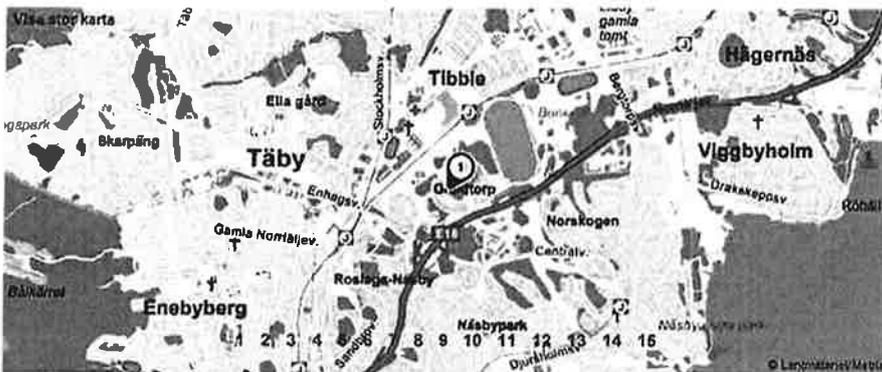
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[Saver](#) iPhone 5, ring för allt och surfa fritt! 449 kr/mån



Faktura 12 november 2012**Faktura-/OCR-nummer 425 065 932 526****Kundnummer 3083971**Ulf Deckmark
Kometvägen 17 8 tr
183 48 TABY

3305463100042898

Kometvägen 17 / Anläggnings id 735 999 102 108 011 509

Kostnad för perioden 1 augusti 2012 t o m 31 oktober 2012

Elhandel

Elnät

1 377,78 kr
798,67 kr**Att betala****2 176,00 kr**HES!

Toppen om Du kan
sända mina papper ihop
med Dina.
Om jag försted rätt skall
det ena tju Trusten och
den andra tju Elaine.

M b h



Oss tillhanda senast 4 december 2012	Momsgrundande 1 741,16 kr	Moms 25% 435,29 kr	Ej momsgrundande 0,00 kr	Öresutjämning -0,45 kr	Att betala 2 176,00 kr
---	------------------------------	-----------------------	-----------------------------	---------------------------	---

Fortum Markets AB, SE - 115 77 Stockholm momsreg.nr. SE556549067801 fakturerar elnätskostnader efter överlåtelse av fordran från Fortum Distribution AB momsreg.nr. SE556037732601. Företagen har F-skattsedel. Dröjsmålsränta: referensränta +8 procentenheter. Anmärkningar på fakturan ska göras inom 8 dagar.

CITY TRUST LIMITED
First Floor, Ragnall House, Peel Road, Douglas, Isle of Man, IM1 4LZ
Tel: 01624 661881 Fax: 01624 611423

BENEFICIAL OWNER QUESTIONNAIRE

INTRODUCTION

Thank you for instructing City Trust to incorporate your new Company.

In order to comply with our Anti Money Laundering regulations it is necessary to obtain certain information and documentation from you. This also serves to protect the assets of your Company because once we hold this information and documentation no one can seek to usurp your position as the beneficial owner of the Company.

This information is strictly confidential and is maintained by us separate to the Company files in a safe.

If there is any matter you would like to discuss in more detail or clarify please contact one of our Directors or Managers and we will be happy to assist.

INFORMATION REQUIRED

1a	Full Name:	Ulf Deckmark
1b	Any previous names (if applicable):	
2a	Permanent residential address: <i>(Note: this will be deemed to be the country in which you are resident for tax purposes)</i>	Kometvägen 17, 8fl 183 48 TÄBY Sweden
2b	Any previous full time residential addresses in the last 5 years:	Kometvägen 17, 8fl 183 48 TÄBY Sweden
2c	Country of domicile if different from above (please state reason for claiming domicile i.e. by birth)	
2d	Contact Address (if different from 2a)	

2e	Contact numbers:	Office: +46 (0)8 502 556 03
		Mobile: +46 (0)70 530 93 31
		Fax:
		Other:
		Email 1: Uffe470@hotmail.com
		Email 2: Uffe470@gmail.com
2f	Please list any additional person who we may take instructions from (NB a separate letter of authority will be required)	
3	Nationality:	Swedish
4	Business Occupation:	CEO, Traction Fonder AB
5	Brief background on the nature and type of business carried on in the past:	Manager and CEO in the financial market
6	Source of wealth (e.g. sale of business, inheritance, trading profits). Please be as detailed as possible. (This is as distinct from source of funds)	Sale of business and trading commissions
7	Academic Qualifications (i.e. diploma / degree level or similar)	Collage education in Sweden, see the annex
8	Professional Qualifications (including the year they were obtained):	See the annex
9	List any memberships of Professional Body/ies (including year of admittance):	
10	Detail all experience relevant to the	

	activity of the proposed new Company:	25 years of experience in the financial market in EU
11	List all other companies of which you own 50% or more	Solid Venture Capital Ltd
12	<p>Have you at any time been convicted of any offence? If so, give full particulars of the court by which you were convicted, the offence and penalty imposed and the date of conviction.</p> <p>This does not apply to (a) an offence committed when you were under 18 years unless the same was committed within the last ten years, (b) an offence in connection with the use or ownership of a motor vehicle which was tried in a court of summary jurisdiction.</p>	NO
13	Have you ever been disciplined by any court or professional body or association to which you have belonged or do belong or been the subject of a regulatory order or been refused or had revoked a license to practice law, accounting or other profession or deal in securities? If so explain the circumstances thereof.	NO
14	Have you been judged bankrupt by a Court?	NO
15	Have you failed to satisfy any debt adjudged due and payable by you as a judgment debtor under an order of court?	NO
16	Have you in connection with the formation or management of any body corporate partnership or un-incorporated institution been adjudged by a court civilly liable for any fraud misfeasance or other misconduct by you towards such a body or company or towards any members thereof? If so, give full particulars.	NO
17	Has any body corporate, partnership or un-incorporated institution with which you have been associated been compulsorily wound up or made an arrangement with its creditors or ceased trading in circumstances where its creditors did not receive or have not received full settlement of their claims, either while you were associated with it or within one year thereof? If so, give full particulars.	NO
18a	Do you hold any political office in any	NO

	country? (if so please provide details)	
18b	Does any member of your family (including extended family) hold any political office in any country? (if so please provide details)	NO
18c	Do any of your associates hold any political office in any country? (if so please provide details)	NO
18d	Do you or your family or associates act as an official or assistant or carry out any work for any political individual (if so please provide details)	NO
19	Please provide any other information which you believe is relevant to the setting up and operation of the Company.	



 Signed

2012-11-26 _____
 Dated

To whom it may concern,

I, Ulf Deckmark, would like to clarify my intention of the gift to my brother in order to get the registration done.

In the deed of gift of 20 April 2013 I gave all my shares in Zeptunus Limited, a company incorporated on Isle of Man, to my brother Christer Deckmark, domiciled in the UK, 34 Romford Road, Pembury, Tunbridge Wells, Kent TN2 4JA, London. I have attached a copy of the deed of gift to this letter, please note it is in Swedish and states about the following:

“I, Ulf Deckmark, hereby give my brother, Christer Deckmark, as a gift 100 % of the shares in Zeptunus Ltd registration No. GB 003 8940 88. The gift is valid as per 20 April 2013.

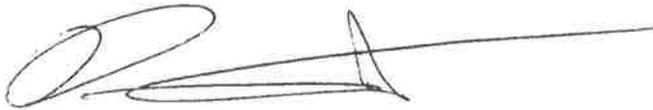
The assets Christer Deckmark receives shall be his private property. This includes also the return of the assets or what has been replaced. If Christer Deckmark wishes, he is allowed, 10 years after this date, to transfer it as a general marital property”

As mentioned, this gift was however never formalised and registered in my brother’s name. I therefore would like you to register my brother as the sole owner of all the shares in Zeptunus Limited, registration No. GB 003 8940 88.

Together with this letter I have attached the following:

1. A certified copy of the deed of gift
2. A certified copy of Christer Deckmark passport
3. A certified copy of residency issued by Her Majesty’s Custom and Revenue

Stockholm the 22 Feb. 2016



Ulf Deckmark, former beneficial owner of the shares of Zeptunus Ltd.

This is to certify that Mr Ulf Deckmark
has signed his name above.

Stockholm February 22, 2016



Ex officio:

Notary Public

Kungsgatan 3, 111 43
Stockholm, Sweden

Phone: +46 8 555 699 60

180008:00000162:001_001

180008:00000162:001
MR C B DECKMARK
34 ROMFORD ROAD
PEMBURY
TUNBRIDGE WELLS
TN2 4JA

UTR 77526 71774
Date 19 June 2015

Issued by:
HM Revenue & Customs
SELF ASSESSMENT
HM REVENUE AND CUSTOMS

BX9 1AS

Telephone 0300 200 3310
Issue no: 2015/001

Tax Calculation for 2014–15 (year ended 5 April 2015)

Thank you for your tax return.

We enclose our tax calculation based on the amounts shown in your tax return.

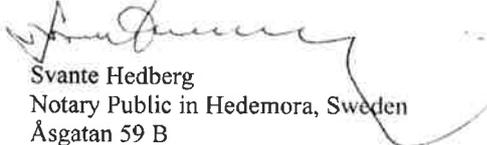
We calculate that you have nothing to pay for 2014–15.

We will write to you again if we have any questions about your tax return. Please let us know if there is anything you do not agree with or do not understand in our calculation. Our telephone number is shown above.

§ 2200. I certify that this is a true copy of the original,
which I have seen.

Hedemora, February 23rd, 2016

Ex officio:



Svante Hedberg
Notary Public in Hedemora, Sweden
Åsgatan 59 B
776 34 Hedemora
Sweden
Phone +46 70 542 08 14



0687 10000 10029570 102

Exhibit No: JB/007

Description of Item

Memorandum and Articles of Association

Date: 17th July 2018


High Bailiff.



[➔ Login / Register](#)

Company Summary

[Back to Search Results](#)

[Previous Names](#)

[Registered Agents](#)

Name	ZEPTUNUS LIMITED
Number	009110V
Registry Type	2006 Act Company
Company Type	Limited by shares
Registered Office Address	FIRST FLOOR, JUBILEE BUILDINGS, VICTORIA STREET, DOUGLAS, IM1 2SH, Isle of Man
Date of Incorporation	19 Dec 2012
Dissolved Date or Struck Off Date	13 Jul 2017
Presence of Charges	No
Is in Liquidation?	No
Receiver(s) Appointed?	No
Status	Dissolved
Documents	14 public documents available

Previous Names

Name	Status
ZEPTUNUS LIMITED	Current

Registered Agents

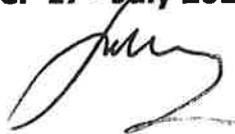
Agent	Address
EQUIOM (ISLE OF MAN) LIMITED	First Floor, Jubilee Buildings, Victoria Street, Douglas

Exhibit No: JB/008

Description of Item

Financial statements and trial balance

Date: 17th July 2018

A handwritten signature in black ink, appearing to be 'J. M. J.', is written over the date.

High Bailiff.

REPORT OF THE DIRECTORS AND
UNAUDITED FINANCIAL STATEMENTS
FOR THE PERIOD
19 DECEMBER 2012 TO 31 DECEMBER 2013
FOR
ZEPTUNUS LIMITED

ZEPTUNUS LIMITED

**CONTENTS OF THE FINANCIAL STATEMENTS
FOR THE PERIOD 19 DECEMBER 2012 TO 31 DECEMBER 2013**

	Page
Company Information	1
Report of the Directors	2
Chartered Accountants' Report	3
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ZEPTUNUS LIMITED
COMPANY INFORMATION
FOR THE PERIOD 19 DECEMBER 2012 TO 31 DECEMBER 2013

DIRECTORS: I M Foster
P A Seaward

REGISTERED OFFICE: First Floor
Jubilee Buildings
Victoria Street
Douglas
IM1 2SH

REGISTERED NUMBER: 009110V (Isle of Man)

ACCOUNTANTS: EA Associates
Chartered Accountants
869 High Road
London
N12 8QA

ZEPTUNUS LIMITED

REPORT OF THE DIRECTORS
FOR THE PERIOD 19 DECEMBER 2012 TO 31 DECEMBER 2013

The directors present their report with the financial statements of the company for the period 19 December 2012 to 31 December 2013.

INCORPORATION

The company was incorporated on 19 December 2012.

PRINCIPAL ACTIVITY

The principal activity of the company in the period under review was that of introducing buyer and seller of financial products.

DIRECTORS

The directors who have held office during the period from 19 December 2012 to the date of this report are as follows:

S G Doyle - appointed 20 December 2012

S J Bingham - appointed 20 December 2012 - resigned 14 January 2013

R L Margot - appointed 14 January 2013

I M Foster and P A Seaward were appointed as directors after 31 December 2013 but prior to the date of this report.

S G Doyle and R L Margot ceased to be directors after 31 December 2013 but prior to the date of this report.

This report has been prepared in accordance with the Companies Act relating to small companies.

ON BEHALF OF THE BOARD:



.....
I M Foster - Director

Date: 17 December 2014

CHARTERED ACCOUNTANTS' REPORT TO THE BOARD OF DIRECTORS
ON THE UNAUDITED FINANCIAL STATEMENTS OF
ZEPTUNUS LIMITED

In order to assist you to fulfil your duties under the Companies Act 2006, we have prepared for your approval the financial statements of Zeptunus Limited for the period ended 31 December 2013 which comprise the Profit and Loss Account, the Balance Sheet and the related notes from the company's accounting records and from information and explanations you have given us.

As a practising member firm of the Institute of Chartered Accountants in England and Wales (ICAEW), we are subject to its ethical and other professional requirements which are detailed at icaew.com/membershandbook.

This report is made solely to the Board of Directors of Zeptunus Limited, as a body, in accordance with our terms of engagement. Our work has been undertaken solely to prepare for your approval the financial statements of Zeptunus Limited and state those matters that we have agreed to state to the Board of Directors of Zeptunus Limited, as a body, in this report in accordance with AAF 2/10 as detailed at icaew.com/compilation. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the company and its Board of Directors, as a body, for our work or for this report.

It is your duty to ensure that Zeptunus Limited has kept adequate accounting records and to prepare statutory financial statements that give a true and fair view of the assets, liabilities, financial position and profit of Zeptunus Limited. You consider that Zeptunus Limited is exempt from the statutory audit requirement for the period.

We have not been instructed to carry out an audit or a review of the financial statements of Zeptunus Limited. For this reason, we have not verified the accuracy or completeness of the accounting records or information and explanations you have given to us and we do not, therefore, express any opinion on the statutory financial statements.

EA Associates
Chartered Accountants
869 High Road
London
N12 8QA

Date:

This page does not form part of the statutory financial statements

Page 3

ZEPTUNUS LIMITED
PROFIT AND LOSS ACCOUNT
FOR THE PERIOD 19 DECEMBER 2012 TO 31 DECEMBER 2013

	Notes	£
TURNOVER		366,575
Administrative expenses		<u>33,419</u>
OPERATING PROFIT and PROFIT ON ORDINARY ACTIVITIES BEFORE TAXATION	2	333,156
Tax on profit on ordinary activities	3	<u>-</u>
PROFIT FOR THE FINANCIAL PERIOD		<u><u>333,156</u></u>

The notes form part of these financial statements

ZEPTUNUS LIMITED (REGISTERED NUMBER: 009110V)

BALANCE SHEET
31 DECEMBER 2013

	Notes	£
CURRENT ASSETS		
Debtors	4	208
Cash at bank and in hand		<u>340,551</u>
		340,759
CREDITORS		
Amounts falling due within one year	5	<u>7,601</u>
NET CURRENT ASSETS		<u>333,158</u>
TOTAL ASSETS LESS CURRENT LIABILITIES		<u>333,158</u>
CAPITAL AND RESERVES		
Called up share capital	6	2
Profit and loss account	7	<u>333,156</u>
SHAREHOLDERS' FUNDS		<u>333,158</u>

The directors acknowledge their responsibilities for:

- (a) ensuring that the company keeps accounting records which comply with the Companies Act and
- (b) preparing financial statements which give a true and fair view of the state of affairs of the company as at the end of each financial year and of its profit or loss for each financial year in accordance with the requirements of the Companies Act relating to financial statements, so far as applicable to the company.

The financial statements have been prepared in accordance with the Companies Act relating to small companies and with the Financial Reporting Standard for Smaller Entities.

The financial statements were approved by the Board of Directors on 17 December 2014 and were signed on its behalf by:


.....

I M Foster - Director


.....

P A Seaward - Director

The notes form part of these financial statements

ZEPTUNUS LIMITED

NOTES TO THE FINANCIAL STATEMENTS
FOR THE PERIOD 19 DECEMBER 2012 TO 31 DECEMBER 2013

1. ACCOUNTING POLICIES

Accounting convention

The financial statements have been prepared under the historical cost convention and in accordance with the Financial Reporting Standard for Smaller Entities.

Turnover

Turnover represents net invoiced sales of services, excluding value added tax.

Deferred tax

Deferred tax is recognised in respect of all timing differences that have originated but not reversed at the balance sheet date.

2. OPERATING PROFIT

The operating profit is stated after charging:

Foreign exchange differences	£ <u>21,641</u>
Directors' remuneration	<u>-</u>

3. TAXATION

There is no tax to pay in the Isle of Man.

4. DEBTORS: AMOUNTS FALLING DUE WITHIN ONE YEAR

VAT	£ <u>208</u>
-----	-----------------

5. CREDITORS: AMOUNTS FALLING DUE WITHIN ONE YEAR

Trade creditors	£ 3,561
Accrued expenses	<u>4,040</u>
	<u>7,601</u>

6. CALLED UP SHARE CAPITAL

Allotted, issued and fully paid:

Number:	Class:	Nominal value:	£
2	Ordinary	1	<u>2</u>

ZEPTUNUS LIMITED

NOTES TO THE FINANCIAL STATEMENTS - continued
FOR THE PERIOD 19 DECEMBER 2012 TO 31 DECEMBER 2013

7. RESERVES

	Profit and loss account £
Profit for the period	<u>333,156</u>
At 31 December 2013	<u>333,156</u>

8. ULTIMATE CONTROLLING PARTY

The ultimate controlling party is Ulf Roland, the beneficial owner of the company.

ZEPTUNUS LIMITED

PROFIT AND LOSS ACCOUNT
FOR THE PERIOD 19 DECEMBER 2012 TO 31 DECEMBER 2013

	£	£
Sales		366,575
Expenditure		
Accountancy	3,525	
Legal and professional fees	8,200	
Foreign exchange losses	<u>21,641</u>	
		<u>33,366</u>
		333,209
Interest payable and similar charges		
Bank charges		<u>53</u>
NET PROFIT		<u><u>333,156</u></u>

This page does not form part of the statutory financial statements

**Zeptunus Limited
First Floor
Jubilee Buildings
Victoria Street
Isle of Man
IM1 2SH**

**EA (UK) LLP
Chartered Accountants
869 High Road
London N12 8QA**

7 December 2014

Dear Sirs

During the course of the preparation of our accounts for the year ended 31 December 2013, the following representations were made to you by management and directors.

1. We acknowledge as directors our responsibilities for making accurate representations to you and for the accounts which you have prepared for the company.
2. We confirm that all accounting records had been made available to you for the purpose of preparing the company's accounts and that all the transactions undertaken by the company had been properly reflected and recorded in the accounting records. All other records and related information, including minutes of all management and shareholders' meetings, had been made available to you.
3. We confirm that the company had no liabilities or contingent liabilities other than those disclosed in the accounts.
4. We confirm that there have been no events since the balance sheet date which required disclosing or which would materially affect the amounts in the accounts, other than those already disclosed or included in the accounts.
5. We confirm that the company has had, at no time during the year, any arrangement, transaction or agreement to provide credit facilities (including loans, quasi-loans or credit transactions) for directors, nor to guarantee or provide security for such matters.
6. We confirm that we have disclosed to you all related party transactions relevant to the company and that we are not aware of any further related party matters that require disclosure.
7. We confirm that the company has not contracted for any capital expenditure other than as disclosed in the accounts.
8. We confirm we are not aware of any possible or actual instance of non-compliance with those laws and regulations which provide a legal framework within which the entity conducts its business and which are central to the entity's ability to conduct its business.
9. We confirm that we made a rigorous assessment of whether the company is a going concern considering all available information about the future covering at least twelve months from the date of approval of accounts.

We confirm that we are not aware of any material uncertainties arising from your assessment of going concern that may cast significant doubt on the company's ability to continue as going concern.

Yours faithfully



Signed on behalf of the board of directors by:

I M Foster - Director

Date.....17 December 2014

Strictly Private & Confidential

Our Ref: Z039/ESE/ESE

Zeptunus Limited
First Floor
Jubilee Buildings
Victoria Street
Douglas
IM1 2SH

15 December 2014

Dear Sirs

Engagement letter – confirmation

We enclose our Standard Terms of Business and the modular engagement letters covering the various services you have engaged us to undertake on your behalf.

1. Company accounts
2. Bookkeeping and VAT

Yours sincerely,

EA Associates

EA ASSOCIATES

I confirm that I have read and understood the contents of the Standard Terms of Business and all the engagement letters listed above and accept all the terms and conditions referred to therein.

Signed..... *Infora*

Signed..... *P. A. Howard*

Dated *17.12.14*

Dated *22.12.14*

ZEPTUNUS LIMITED
Accounts Year Ended 31 Dec 2013

Bank and Cash in Hand

	<u>£</u>
BANK DEPOSIT ACCOUNTS	
A/C 5880 58608545 GBP £	104.67
A/C 5880 58608545 USD \$	340,444.18
	<u>340,548.85</u>
CASH IN HAND	<u>2.00</u>
Aggregate Amount	340,550.85

ZEPTUNUS LIMITED
Accounts Year Ended 31 Dec 2013

Creditors consist of:

Trade Creditors:

<u>Description</u>	<u>£</u>
Solid Venture Capital Ltd - Incorporate fee paid	1,995.00
EA Associates	1,566.00
	3,561.00

Accruals:

<u>Description</u>	<u>£</u>
Accountancy fee for Dec 2013	3,000.00
Bookkeeping and VAT prep. For Q/E Dec 2013	145.00
Professional fee - Equiom (part of invoice)	895.00
	4,040.00

Creditors Total	7,601.00
------------------------	-----------------

ZEPTUNUS LIMITED
Accounts Year Ended 31 Dec 2013

Debtors consist of:

VAT:

<u>Description</u>	<u>£</u>
VAT Receivable - Q/E 31 Dec 2013	208.00
Total	208.00

Zeptunus Limited
(Profit)/Loss Schedule
Year Ended 31 December 2013

<u>Description</u>	<u>£</u>	<u>£</u>
Sales - consultancy	<u>(366,574.96)</u>	(366,574.96)
Interest received	<u>(0.22)</u>	(0.22)
Accountancy:		
Book Keeping fees	380.00	
Book keeping accruals 2013	145.00	
Accountancy accruals 2013	<u>3,000.00</u>	3,525.00
Legal and professional fees:		
EA incorporation fees	1,305.00	
Professional fees	6,000.00	
Professional fees from Equiom partly paid	<u>895.00</u>	8,200.00
Foreign exchange losses	<u>21,641.01</u>	21,641.01
Bank Charges	<u>53.32</u>	53.32
(Profit)/Loss	<u><u></u></u>	<u><u>(333,155.85)</u></u>

REPORT OF THE DIRECTORS AND
UNAUDITED FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31 DECEMBER 2014
FOR
ZEPTUNUS LIMITED

ZEPTUNUS LIMITED

CONTENTS OF THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31 DECEMBER 2014

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ZEPTUNUS LIMITED
COMPANY INFORMATION
FOR THE YEAR ENDED 31 DECEMBER 2014

DIRECTORS: I M Foster
P A Seaward

REGISTERED OFFICE: First Floor
Jubilee Buildings
Victoria Street
Douglas
IM1 2SH

REGISTERED NUMBER: 009110V (Isle of Man)

ACCOUNTANTS: EAGK LLP
Chartered Accountants
869 High Road
London
N12 8QA

ZEPTUNUS LIMITED

REPORT OF THE DIRECTORS
FOR THE YEAR ENDED 31 DECEMBER 2014

The directors present their report with the financial statements of the company for the year ended 31 December 2014.

DIRECTORS

The directors who have held office during the period from 1 January 2014 to the date of this report are as follows:

S G Doyle - resigned 18 August 2014
R L Margot - resigned 18 August 2014
I M Foster - appointed 18 August 2014
P A Seaward - appointed 18 August 2014

This report has been prepared in accordance with the Companies Act relating to small companies.

ON BEHALF OF THE BOARD:



I M Foster - Director

20 August 2015

CHARTERED ACCOUNTANTS' REPORT TO THE BOARD OF DIRECTORS
ON THE UNAUDITED FINANCIAL STATEMENTS OF
ZEPTUNUS LIMITED

In order to assist you to fulfil your duties under the Companies Act 2006, we have prepared for your approval the financial statements of Zeptunus Limited for the year ended 31 December 2014 which comprise the Profit and Loss Account, the Balance Sheet and the related notes from the company's accounting records and from information and explanations you have given us.

As a practising member firm of the Institute of Chartered Accountants in England and Wales (ICAEW), we are subject to its ethical and other professional requirements which are detailed at icaew.com/membershandbook.

This report is made solely to the Board of Directors of Zeptunus Limited, as a body, in accordance with our terms of engagement. Our work has been undertaken solely to prepare for your approval the financial statements of Zeptunus Limited and state those matters that we have agreed to state to the Board of Directors of Zeptunus Limited, as a body, in this report in accordance with AAF 2/10 as detailed at icaew.com/compilation. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the company and its Board of Directors, as a body, for our work or for this report.

It is your duty to ensure that Zeptunus Limited has kept adequate accounting records and to prepare statutory financial statements that give a true and fair view of the assets, liabilities, financial position and profit of Zeptunus Limited. You consider that Zeptunus Limited is exempt from the statutory audit requirement for the year.

We have not been instructed to carry out an audit or a review of the financial statements of Zeptunus Limited. For this reason, we have not verified the accuracy or completeness of the accounting records or information and explanations you have given to us and we do not, therefore, express any opinion on the statutory financial statements.

EAGK LLP
Chartered Accountants
869 High Road
London
N12 8QA

20 August 2015

This page does not form part of the statutory financial statements

ZEPTUNUS LIMITED
PROFIT AND LOSS ACCOUNT
FOR THE YEAR ENDED 31 DECEMBER 2014

	Notes	Year Ended 31.12.14 £	Period 19.12.12 to 31.12.13 £
TURNOVER		-	366,575
Administrative expenses		<u>(8,906)</u>	<u>33,419</u>
OPERATING PROFIT	2	8,906	333,156
Interest receivable and similar income		<u>1</u>	<u>-</u>
PROFIT ON ORDINARY ACTIVITIES BEFORE TAXATION		8,907	333,156
Tax on profit on ordinary activities	3	<u>-</u>	<u>-</u>
PROFIT FOR THE FINANCIAL YEAR		<u>8,907</u>	<u>333,156</u>

The notes form part of these financial statements

ZEPTUNUS LIMITED (REGISTERED NUMBER: 009110V)

BALANCE SHEET
31 DECEMBER 2014

	Notes	2014 £	2013 £
CURRENT ASSETS			
Debtors	4	1,550	208
Cash at bank and in hand		<u>351,359</u>	<u>340,551</u>
		352,909	340,759
CREDITORS			
Amounts falling due within one year	5	<u>10,844</u>	<u>7,601</u>
NET CURRENT ASSETS		<u>342,065</u>	<u>333,158</u>
TOTAL ASSETS LESS CURRENT LIABILITIES		<u>342,065</u>	<u>333,158</u>
CAPITAL AND RESERVES			
Called up share capital	6	2	2
Profit and loss account	7	<u>342,063</u>	<u>333,156</u>
SHAREHOLDERS' FUNDS		<u>342,065</u>	<u>333,158</u>

The directors acknowledge their responsibilities for:

- ensuring that the company keeps accounting records which comply with the Companies Act and
- preparing financial statements which give a true and fair view of the state of affairs of the company as at the end of each financial year and of its profit or loss for each financial year in accordance with the requirements of the Companies Act relating to financial statements, so far as applicable to the company.

The financial statements have been prepared in accordance with the Companies Act relating to small companies and with the Financial Reporting Standard for Smaller Entities.

The financial statements were approved by the Board of Directors on 20 August 2015 and were signed on its behalf by:



I M Foster - Director



P A Seaward - Director

The notes form part of these financial statements

ZEPTUNUS LIMITED

NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31 DECEMBER 2014

1. ACCOUNTING POLICIES

Accounting convention

The financial statements have been prepared under the historical cost convention and in accordance with the Financial Reporting Standard for Smaller Entities.

Turnover

Turnover represents net invoiced sales of services, excluding value added tax.

Deferred tax

Deferred tax is recognised in respect of all timing differences that have originated but not reversed at the balance sheet date.

2. OPERATING PROFIT

The operating profit is stated after charging/(crediting):

	Year Ended 31.12.14 £	Period 19.12.12 to 31.12.13 £
Foreign exchange differences	<u>(17,323)</u>	<u>21,641</u>
Directors' remuneration	<u>—</u>	<u>—</u>

3. TAXATION

There is no tax to pay in the Isle of Man.

4. DEBTORS: AMOUNTS FALLING DUE WITHIN ONE YEAR

	2014 £	2013 £
VAT	162	208
Prepayments	<u>1,388</u>	<u>—</u>
	<u>1,550</u>	<u>208</u>

5. CREDITORS: AMOUNTS FALLING DUE WITHIN ONE YEAR

	2014 £	2013 £
Trade creditors	3,562	3,561
Accrued expenses	<u>7,282</u>	<u>4,040</u>
	<u>10,844</u>	<u>7,601</u>

6. CALLED UP SHARE CAPITAL

Allotted, issued and fully paid:

Number:	Class:	Nominal value:	2014 £	2013 £
2	Ordinary	1	<u>2</u>	<u>2</u>

ZEPTUNUS LIMITED

NOTES TO THE FINANCIAL STATEMENTS - continued
FOR THE YEAR ENDED 31 DECEMBER 2014

7. RESERVES

	Profit and loss account £
At 1 January 2014	333,156
Profit for the year	<u>8,907</u>
At 31 December 2014	<u><u>342,063</u></u>

8. ULTIMATE CONTROLLING PARTY

The ultimate controlling party is Ulf Roland, the beneficial owner of the company.

ZEPTUNUS LIMITED

PROFIT AND LOSS ACCOUNT
FOR THE YEAR ENDED 31 DECEMBER 2014

	Year Ended 31.12.14		Period 19.12.12 to 31.12.13	
	£	£	£	£
Sales		-		366,575
Other income				
Deposit account interest		<u>1</u>		<u>-</u>
		1		366,575
Expenditure				
Accountancy	2,505		3,525	
Legal and professional fees	5,853		8,200	
Foreign exchange (gain)/losses	<u>(17,323)</u>		<u>21,641</u>	
		<u>(8,965)</u>		<u>33,366</u>
		8,966		333,209
Interest payable and similar charges				
Bank charges		<u>59</u>		<u>53</u>
NET PROFIT		<u>8,907</u>		<u>333,156</u>

This page does not form part of the statutory financial statements

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REPORT OF THE DIRECTORS AND
UNAUDITED FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31 DECEMBER 2015
FOR
ZEPTUNUS LIMITED

ZEPTUNUS LIMITED

CONTENTS OF THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31 DECEMBER 2015

	Page
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Report of the Directors	2
Chartered Accountants' Report	3
Profit and Loss Account	4
Balance Sheet	5
Notes to the Financial Statements	6
Profit and Loss Account	8

ZEPTUNUS LIMITED
COMPANY INFORMATION
FOR THE YEAR ENDED 31 DECEMBER 2015

DIRECTORS: I M Foster
I D Mudie

REGISTERED OFFICE: First Floor
Jubilee Buildings
Victoria Street
Douglas
IM1 2SH

REGISTERED NUMBER: 009110V (Isle of Man)

ACCOUNTANTS: EAGK LLP
Chartered Accountants
869 High Road
London
N12 8QA

ZEPTUNUS LIMITED

REPORT OF THE DIRECTORS
FOR THE YEAR ENDED 31 DECEMBER 2015

The directors present their report with the financial statements of the company for the year ended 31 December 2015.

DIRECTORS

The directors shown below have held office during the period as follows:

I M Foster (appointed 18/08/2014)
P A Seaward (resigned 21/12/2015)
I D Mudie (appointed 21/12/2015)

This report has been prepared in accordance with the Companies Act relating to small companies.

ON BEHALF OF THE BOARD:



I M Foster - Director

Date: 18 October 2016

CHARTERED ACCOUNTANTS' REPORT TO THE BOARD OF DIRECTORS
ON THE UNAUDITED FINANCIAL STATEMENTS OF
ZEPTUNUS LIMITED

In order to assist you to fulfil your duties under the Companies Act 2006, we have prepared for your approval the financial statements of Zeptunus Limited for the year ended 31 December 2015 which comprise the Profit and Loss Account, the Balance Sheet and the related notes from the company's accounting records and from information and explanations you have given us.

As a practising member firm of the Institute of Chartered Accountants in England and Wales (ICAEW), we are subject to its ethical and other professional requirements which are detailed at icaew.com/membershandbook.

This report is made solely to the Board of Directors of Zeptunus Limited, as a body, in accordance with our terms of engagement. Our work has been undertaken solely to prepare for your approval the financial statements of Zeptunus Limited and state those matters that we have agreed to state to the Board of Directors of Zeptunus Limited, as a body, in this report in accordance with AAF 2/10 as detailed at icaew.com/compilation. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the company and its Board of Directors, as a body, for our work or for this report.

It is your duty to ensure that Zeptunus Limited has kept adequate accounting records and to prepare statutory financial statements that give a true and fair view of the assets, liabilities, financial position and profit of Zeptunus Limited. You consider that Zeptunus Limited is exempt from the statutory audit requirement for the year.

We have not been instructed to carry out an audit or a review of the financial statements of Zeptunus Limited. For this reason, we have not verified the accuracy or completeness of the accounting records or information and explanations you have given to us and we do not, therefore, express any opinion on the statutory financial statements.

EAGK LLP
Chartered Accountants
869 High Road
London
N12 8QA

Date:

This page does not form part of the statutory financial statements

Page 3

ZEPTUNUS LIMITED
PROFIT AND LOSS ACCOUNT
FOR THE YEAR ENDED 31 DECEMBER 2015

	Notes	2015 £	2014 £
TURNOVER		-	-
Administrative expenses		(5,279)	(8,906)
OPERATING PROFIT	2	5,279	8,906
Interest receivable and similar income		<u>2</u>	<u>1</u>
PROFIT ON ORDINARY ACTIVITIES BEFORE TAXATION		5,281	8,907
Tax on profit on ordinary activities	3	<u>-</u>	<u>-</u>
PROFIT FOR THE FINANCIAL YEAR		<u>5,281</u>	<u>8,907</u>

The notes form part of these financial statements

Page 4

ZEPTUNUS LIMITED (REGISTERED NUMBER: 009110V)

BALANCE SHEET
31 DECEMBER 2015

	Notes	2015 £	2014 £
CURRENT ASSETS			
Debtors	4	1,669	1,550
Cash at bank and in hand		<u>356,488</u>	<u>351,359</u>
		358,157	352,909
CREDITORS			
Amounts falling due within one year	5	<u>10,811</u>	<u>10,844</u>
NET CURRENT ASSETS		<u>347,346</u>	<u>342,065</u>
TOTAL ASSETS LESS CURRENT LIABILITIES		<u>347,346</u>	<u>342,065</u>
CAPITAL AND RESERVES			
Called up share capital	6	2	2
Profit and loss account	7	<u>347,344</u>	<u>342,063</u>
SHAREHOLDERS' FUNDS		<u>347,346</u>	<u>342,065</u>

The directors acknowledge their responsibilities for:

- ensuring that the company keeps accounting records which comply with the Companies Act and
- preparing financial statements which give a true and fair view of the state of affairs of the company as at the end of each financial year and of its profit or loss for each financial year in accordance with the requirements of the Companies Act relating to financial statements, so far as applicable to the company.

The financial statements have been prepared in accordance with the Companies Act relating to small companies and with the Financial Reporting Standard for Smaller Entities.

The financial statements were approved by the Board of Directors on *18 October 2016* and were signed on its behalf by:

I M Foster

I M Foster - Director

I D Mudie

I D Mudie - Director

The notes form part of these financial statements

ZEPTUNUS LIMITED

NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31 DECEMBER 2015

1. ACCOUNTING POLICIES

Accounting convention

The financial statements have been prepared under the historical cost convention and in accordance with the Financial Reporting Standard for Smaller Entities.

Deferred tax

Deferred tax is recognised in respect of all timing differences that have originated but not reversed at the balance sheet date.

Foreign currencies

Assets and liabilities in foreign currencies are translated into sterling at the rates of exchange ruling at the balance sheet date. Transactions in foreign currencies are translated into sterling at the rate of exchange ruling at the date of transaction. Exchange differences are taken into account in arriving at the operating result.

2. OPERATING PROFIT

The operating profit is stated after charging/(crediting):

	2015 £	2014 £
Foreign exchange differences	<u>(18,844)</u>	<u>(17,323)</u>
Directors' remuneration	<u>-</u>	<u>-</u>

3. TAXATION

There is no tax to pay in the Isle of Man.

4. DEBTORS: AMOUNTS FALLING DUE WITHIN ONE YEAR

	2015 £	2014 £
VAT	281	162
Prepayments	<u>1,388</u>	<u>1,388</u>
	<u>1,669</u>	<u>1,550</u>

5. CREDITORS: AMOUNTS FALLING DUE WITHIN ONE YEAR

	2015 £	2014 £
Trade creditors	5,098	3,562
Accrued expenses	<u>5,713</u>	<u>7,282</u>
	<u>10,811</u>	<u>10,844</u>

6. CALLED UP SHARE CAPITAL

Allotted, issued and fully paid:

Number:	Class:	Nominal value:	2015 £	2014 £
2	Ordinary	1	<u>2</u>	<u>2</u>

ZEPTUNUS LIMITED

NOTES TO THE FINANCIAL STATEMENTS - continued
FOR THE YEAR ENDED 31 DECEMBER 2015

7. **RESERVES**

	Profit and loss account £
At 1 January 2015	342,063
Profit for the year	<u>5,281</u>
At 31 December 2015	<u><u>347,344</u></u>

8. **ULTIMATE CONTROLLING PARTY**

A document dated 20 April 2013 was provided to the Directors indicating that the ownership of the issued shares was transferred to Christer Bertil Deckmark on that date.

ZEPTUNUS LIMITED
PROFIT AND LOSS ACCOUNT
FOR THE YEAR ENDED 31 DECEMBER 2015

	2015		2014	
	£	£	£	£
Income		-		-
Other income				
Deposit account interest		<u>2</u>		<u>1</u>
		2		1
Expenditure				
Accountancy	3,100		2,505	
Legal and professional fees	10,377		5,853	
Foreign exchange (gain)/losses	<u>(18,844)</u>		<u>(17,323)</u>	
		<u>(5,367)</u>		<u>(8,965)</u>
		5,369		8,966
Interest payable and similar charges				
Bank charges		<u>88</u>		<u>59</u>
NET PROFIT		<u>5,281</u>		<u>8,907</u>

This page does not form part of the statutory financial statements

Client Entity:	ZEPTUNUS LIMITED				
GBP account RBSI					
DATE	DETAIL	REF	DR	CR	BALANCE
CASH TRANSACTIONS					£
01/01/2012	Balance b/f				0.00
22/08/2013	IOM Government		1,011.00		1,011.00
28/08/2013	EA Associates			282.00	729.00
28/08/2013	Bank Charges			0.50	728.50
30/09/2013	Interest		0.07		728.57
19/11/2013	IOM Government		207.00		935.57
26/11/2013	Transfer to US\$ A/C		602.95		1,538.52
26/11/2013	Equiom fees			1,074.00	464.52
27/11/2013	IOM Government			360.00	104.52
31/12/2013	Interest		0.15		104.67
11/02/2014	IOM Government	<i>Vat refund</i>	208.00		312.67
31/03/2014	Interest		0.17		312.84
06/05/2014	IOM Government	<i>Vat refund</i>	433.00		745.84
30/06/2014	Interest		0.43		746.27
12/09/2014	IOM Government	<i>Vat refund</i>	139.00		885.27
13/08/2014	Equiom fees			420.00	465.27
28/08/2014	EA Associates	35939/35296		306.00	159.27
28/08/2014	Bank Charges			1.00	158.27
30/09/2014	Interest		0.39		158.66
USD account RBSI					
DATE	DETAIL	REF	DR	CR	BALANCE
CASH TRANSACTIONS					\$
01/01/2012	Balance b/f				0.00
31/07/2013	ABS Investment Group		305,350.00		305,350.00
31/07/2013	Bank Charges			11.42	305,338.58
20/08/2013	ABS Investment Group		175,464.00		480,802.58
20/08/2013	Bank Charges			11.74	480,790.84
23/08/2013	City Trust Limited			4,311.77	476,479.07
23/08/2013	Bank Charges			23.95	476,455.12
23/08/2013	Equiom Isle of Man			1,533.07	474,922.05
15/10/2013	ABS Investment Group		87,732.00		562,654.05
15/10/2013	Bank Charges			11.99	562,642.06
26/11/2013	Transfer GBP a/c	£602.95		1,000.00	561,642.06
05/12/2013	EA Associates	33548 (£174)		292.48	561,349.58
05/12/2013	Bank Charges			25.21	561,324.37
18/02/2014	EA Associates	34598 (£174)		299.29	561,025.08
18/02/2014	Bank Charges			39.56	560,985.52
18/02/2014	Equiom Isle of Man	1401596 (£2,424)		4,169.41	556,816.11
25/07/2014	Equiom Isle of Man	1404847 (£834)		1,452.65	555,363.46
29/09/2014	Equiom Isle of Man	RF1409166 (£2,220)		3,692.68	551,670.78
28/10/2014	Equiom Isle of Man	1410276 (£970.20)		1,603.06	550,067.72

18/02/2014 Equiom Isle of Man	1401596 (£2,424)	4,169.41
25/07/2014 Equiom Isle of Man	1404847 (£834)	1,452.65
29/09/2014 Equiom Isle of Man	RF1409166 (£2,220)	3,692.68

Client Entity: **ZEPTUNUS LIMITED**

GBP account RBSI

DATE	DETAIL	REF	DR	CR
CASH TRANSACTIONS				
01/01/2012	Balance b/f			
22/08/2013	IOM Government		1,011.00	
28/08/2013	EA Associates			282.00
28/08/2013	Bank Charges			0.50
30/09/2013	Interest		0.07	
19/11/2013	IOM Government		207.00	
26/11/2013	Transfer to US\$ A/C		602.95	
26/11/2013	Equiom fees			1,074.00
27/11/2013	IOM Government			360.00
31/12/2013	Interest		0.15	
11/02/2014	IOM Government	<i>Vat refund</i>	208.00	
31/03/2014	Interest		0.17	
06/05/2014	IOM Government	<i>Vat refund</i>	433.00	
30/06/2014	Interest		0.43	
12/09/2014	IOM Government	<i>Vat refund</i>	139.00	
13/08/2014	Equiom fees			420.00
28/08/2014	EA Associates	35939/35296		306.00
28/08/2014	Bank Charges			1.00
30/09/2014	Interest		0.39	

USD account RBSI

DATE	DETAIL	REF	DR	CR
CASH TRANSACTIONS				
01/01/2012	Balance b/f			
31/07/2013	ABS Investment Group		305,350.00	
31/07/2013	Bank Charges			11.42
20/08/2013	ABS Investment Group		175,464.00	
20/08/2013	Bank Charges			11.74
23/08/2013	City Trust Limited			4,311.77
23/08/2013	Bank Charges			23.95
23/08/2013	Equiom Isle of Man			1,533.07
15/10/2013	ABS Investment Group		87,732.00	
15/10/2013	Bank Charges			11.99
26/11/2013	Transfer GBP a/c	£602.95		1,000.00
05/12/2013	EA Associates	33548 (£174)		292.48
05/12/2013	Bank Charges			25.21
18/02/2014	EA Associates	34598 (£174)		299.29
18/02/2014	Bank Charges			39.56

BALANCE

£

0.00
1,011.00
729.00
728.50
728.57
935.57
1,538.52
464.52
104.52
104.67
312.67
312.84
745.84
746.27
885.27
465.27
159.27
158.27
158.66

BALANCE

\$

0.00
305,350.00
305,338.58
480,802.58
480,790.84
476,479.07
476,455.12
474,922.05
562,654.05
562,642.06
561,642.06
561,349.58
561,324.37
561,025.08
560,985.52

Date: 18/11/2016

Time: 13:04:44

ZEPTUNUS LTD
Period Trial Balance

Page: 1

To Period: Month 12, December 2016

<u>N/C</u>	<u>Name</u>	<u>Debit</u>	<u>Credit</u>
1200	Bank A/c 58608545 GBP	304.69	
1211	Bank A/c 58608545 USD	334,331.30	
1230	Petty Cash	2.00	
2100	Creditors Control Account		630.00
2109	Accruals		1,925.00
2201	Purchase Tax Control Account	520.00	
2202	VAT Liability	1,968.35	
3000	Ordinary Shares		2.00
3200	Profit and Loss Account		347,344.00
4100	Interest Received		2.27
7602	Accountancy Fees	3,259.00	
7603	Consultancy Fees	2,130.47	
7604	Professional Fees	7,084.25	
7901	Bank Charges	154.82	
7906	Exchange Rate Variance	148.39	
	Totals:	<u>349,903.27</u>	<u>349,903.27</u>

DETAILED TRIAL BALANCE

Year Ended 16 December 2016

Account	Description	Final	Comparative Year Ended 31/12/15
130	Deposit account interest-	-	(2.33)
285	Accountancy-	-	3,100.00
290	Legal and professional fees-	-	10,378.40
296	Foreign exchange (gain)/losses-	-	(18,844.23)
378	Bank charges-	-	87.53
	(Profit) / Loss	£0.00	(£5,280.63)
614	Prepayments-	-	1,387.50
668	Cash in hand-	-	2.00
692	Bank account GBP-	-	1,487.45
693	Bank account USD-	-	354,998.50
735	VAT-	-	280.95
737	Trade creditors-	-	(5,096.92)
786	Accrued expenses-	-	(5,713.48)
966	Called up share capital	-	
/ 1	Share capital 1-	-	(2.00)
968	Profit and loss account	-	
/ 1	Brought forward-	-	(342,063.37)
	Total	£0.00	£0.00

Exhibit No: JB/009

Description of Item

Documents relating to account 58608545

Date: 17th July 2018

A handwritten signature in black ink, appearing to be 'Julian', written in a cursive style.

High Bailiff.

RECEIVED

30th January 2013

31 JAN 2013

The Directors
City Trust Limited
1st Floor Ragnall House
18 Peel Road
Douglas
Isle of Man
IM1 4LZ

Corporate New Business
Management
PO Box 151
3rd Floor
Royal Bank House
2 Victoria Street
Douglas
Isle of Man
IM99 1NJ

Telephone: +44 (0) 1624 646464
Facsimile: +44 (0) 1624 646604

Dear Sirs,

ZEPTUNUS LIMITED

I have pleasure in confirming that a Cash Management account has today been opened on your behalf, with details as follows:

Sort Code: 165880
Account Number: 5880-58608545
IBAN Number: GB60RBOS16588058608545
BIC Code: RBOSIMDX

Please note that a Cash Management account is a multi-currency account. This enables you to operate your account in numerous currencies under one account number.

We must advise you that, under local banking regulations, we may be required to investigate any large deposits paid in which may not be consistent with the running of the account.

General banking Terms are available online. To access these Terms go online to www.rbsint.com/terms and enter RBSICAT as the Product Code. If we make any important changes to the Terms in the future, we will write to you in advance to notify you of the change, and you will be able to view the updated version on the website above.

Please do not hesitate to contact a member of the Corporate Service Team with any service enquiries.

Yours faithfully

Corporate New Business Management

Please note – when filling out this form please use the tab and arrow keys to move between the relevant fields. **Ensure you do not use the return or enter keys.**

1. Customer information profile (summary sheet)

Name of intermediary/introducer	CITY TRUST LIMITED
Address of intermediary/introducer	1 ST FLOOR, RAGNALL HOUSE 18 PEEL ROAD DOUGLAS ISLE OF MAN
Postcode	IM1 4LZ
Name of intermediary/introducer's Regulator	ISLE OF MAN FINANCIAL SUPERVISION COMMISSION

Identification information

Entity name (in full)*	ZEPTUNUS LIMITED
Entity identification information*	009110V
Entity registered address*	1 ST FLOOR, RAGNALL HOUSE PEEL ROAD DOUGLAS ISLE OF MAN
Postcode	IM1 4LZ
Type of entity*	ISLE OF MAN 2006 COMPANY

Relationship information

Purpose / intended nature of business relationship including geographical sphere*	WILL PROVIDE CONSULTANCY SERVICES TO A UK LLP
Type, volume and value of activity expected*	CURRENTLY UNDER DISCUSSION
Source of funds*	LIKELY TO BE FROM CONSULTANCY SERVICES TO UK LLP
Source of Wealth* (Jersey, Guernsey – High Risk & PEP Relationships only, IoM and Gibraltar input for all instances)	AS ABOVE
Details of associated relationships* (if connected to a fund, please provide a structure chart)	

*Refer to Guidance

2. Risk factors*

Is the entity associated with a PEP? Yes No Is the entity part of a complex structure? (If yes, please provide a full structure chart) Yes No

Is the entity connected with a high-risk jurisdiction? Yes No Are bearer shares in issue? Yes No

Is the entity involved in trading? Yes No **If Yes** Can you confirm that the bearer shares are fully controlled by the Introducer and will not be moved or transferred during the life of Yes No

Are commission/consultancy fees a source of wealth? Yes No

Risk factors identified (provide details) LOW RISK

3. Beneficial Owners and Principals

Are all the directors/partners employees of the Intermediary? Yes No If No, please provide:

Name of directors/partners/trustees or equivalent* (use additional copies of this sheet as required)

Full name RODNEY LEONARD MARGOT
Full name STEPHEN GERARD DOYLE
Full name
Full name
Full name

Details of Beneficial Owners and Principals* (Detail each beneficial owner [25% or more controlling interest] and use additional copies of this sheet as required)

Beneficial Owner or Principal

Legal name, and former names and any other names used ULF DECKMARK

Status* of beneficial owner or principal

% ownership 100%

Principal residential address (including country) KOMETVAGEN 17, 8FL, 18348 TABY SWEDEN

Postcode

Date of birth (DD/MM/YYYY) 30/03/1961

Place of birth SWEDEN

Nationality SWEDISH

Gender MALE

Government issued personal identification number or other government issued unique identifier (e.g. Passport, Driving Licence etc.) 81976147 PASSPORT NUMBER

Beneficial Owner or Principal

Legal name and former names and any other names used

Status* of beneficial owner or principal

% ownership

Principal residential address (including country)

Postcode

Date of birth (DD/MM/YYYY/)

Place of birth

Nationality

Gender

Government issued personal identification number or other government issued unique identifier (e.g. Passport, Driving Licence etc.)

Beneficial Owner or Principal

Legal name and former names and any other names used

Status* of beneficial owner or principal

% ownership

Principal residential address (including country)

Postcode

Date of birth (DD/MM/YYYY)

Place of birth

Nationality

Gender

Government issued personal identification number or other government issued unique identifier (e.g. Passport, Driving Licence etc.)

Beneficial Owner or Principal

Legal name and former names and any other names used

Status* of beneficial owner or principal

% ownership

Principal residential address (including country)

*Refer to Guidance

Postcode

Date of birth (DD/MM/YYYY)

Place of birth

Nationality

Gender

Government issued personal identification number or other government issued unique identifier (e.g. Passport, Driving Licence etc.)

Beneficial Owner or Principal

Legal name and former names and any other names used

Status* of beneficial owner or principal

% ownership

Principal residential address (including country)

Postcode

Date of birth (DD/MM/YYYY)

Place of birth

Nationality

Gender

Government issued personal identification number or other government issued unique identifier (e.g. Passport, Driving Licence etc.)

4. Statement requirements

Customers typically receive monthly statements. What is your preferred statement date?

If you would prefer an alternative, please tell us your preferred statement frequency (e.g. quarterly)

5. Your banking requirements

	Type of account
Business Multi Currency Account	<input checked="" type="checkbox"/>
Business Current Account (sterling only)	<input type="checkbox"/>
Fixed Deposit Account	<input type="checkbox"/>
Other (please specify)	<input type="text"/>

6. Cheque book and paying-in book requirements

A standard cheque book contains 60 cheques and a standard paying-in book contains 50 credit slips. Please tell us the number of books you will need initially require (maximum of 3 each for security reasons).

Cheque books Paying-in books

*Refer to Guidance

7. Your agreement

The terms of your accounts and services and a summary of how we use personal information and our regulatory details are available online for you to read and print. These are important. Please read them.

Please go to www.rbsint.com/terms and enter **RBSICAT** as the product code.

Alternatively, please ask your Relationship Manager for a copy of the Terms and the personal information summary.

By signing

- You agree to the Terms for accounts and services selected in this form
- You confirm the details provided are correct and agree to notify us of any changes
- You confirm that the information provided in this account opening form accurately reflects the customer due diligence information held by you.

Signature: Director/Partner



Name (in full)

RODNEY L MARGOT

Position

DIRECTOR

Date (DD/MM/YYYY)

14/01/2013

Signature: Director/Partner



Name (in full)

BARRY SMITH

Position

DIRECTOR

Date (DD/MM/YYYY)

14/01/2013

8. Administrator Details

Please provide a contact name, number and email address, in case of referral.

Name

STEPHEN G DOYLE

Telephone number

01624 661881

Email address

STEVE@CITY-TRUST.COM

The Royal Bank of Scotland International Limited (RBS International). Registered Office: P.O. Box 64, Royal Bank House, 71 Bath Street, St. Helier, Jersey JE4 8PJ. Regulated by the Jersey Financial Services Commission for carrying on deposit-taking business under the Banking Business (Jersey) Law 1991 and for carrying on investment and insurance business under the Financial Services (Jersey) Law 1998. Guernsey business address: P.O. Box 62, Royal Bank Place, 1 Glatigny Esplanade, St. Peter Port, Guernsey, GY1 4BQ. Regulated by the Guernsey Financial Services Commission and licensed under the Banking Supervision (Bailiwick of Guernsey) Law, 1994, as amended, the Insurance Managers and Insurance Intermediaries (Bailiwick of Guernsey) Law, 2002, and the Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended. Isle of Man business address: Royal Bank House, 2 Victoria Street, Douglas, Isle of Man IM99 1NJ. Licensed by the Financial Supervision Commission of the Isle of Man to take deposits and carry on investment business and registered with the Insurance and Pensions Authority in respect of general business. The Royal Bank of Scotland International (RBS International) is the registered business name of The Royal Bank of Scotland (Gibraltar) Limited (RBS Gibraltar) under the Business Names Registration Act. Registered office: PO Box 766, 1 Corral Road, Gibraltar. Registration No 32094. Licensed under the Gibraltar Financial Services (Banking) Act 1992, as amended and the Gibraltar Financial Services (Investment and Fiduciary) Act 1989, as amended (Licence No. FSC 00159B) and licensed under the Insurance Ordinance 1987. Copies of our most recent audited accounts are available for inspection on request. RBS International Isle of Man branch is a member of the Depositors' Compensation Scheme as set out in the Compensation of Depositors Regulations 2008. RBS International is a participant in the Gibraltar Deposit Guarantee Scheme Act 1998 ("the Act"). Payments under the scheme are limited to 90% of a depositor's total deposits which qualify for compensation under the Act subject to a maximum payment to any one depositor of £18,000 (or €20,000 if greater). Most deposits denominated in currencies of the EEA are covered. The Royal Bank of Scotland International Limited is a participant in the Guernsey Banking Deposit Compensation Scheme; details are available from our office on request.

RBSI68521 17/01/2013

Page 5 of 5

Please complete this form in BLOCK CAPITALS and in black ink

1. Meanings of words used in this Authority

'Account' means an account or accounts held with the Bank in the name of the Company

'Bank' means The Royal Bank of Scotland International Limited

'Instructions' means

- (a) cheques or other orders for payment, bills accepted and promissory notes or negotiable instruments made, drawn or given on the Account;
- (b) instructions to countermand payment of cheques, bills of exchange or other orders;
- (c) endorsement on behalf of the Company of cheques and other orders, drafts, bills, promissory notes and deposit receipts payable or in the name of the Company;
- (d) instructions to withdraw securities, documents or articles lodged for safe custody in the name of the Company;
- (e) requests for borrowing facilities by way of loan, overdraft, discount or otherwise, and whether secured or otherwise;
- (f) indemnities, guarantees and bonds, and instructions for the opening of credits or the issue of guarantees, bonds or indemnities by the Bank;
- (g) instructions for discounting inland or foreign bills;
- (h) instructions to withdraw, deliver, dispose of or deal with any property, documents or securities held in name of the Company;
- (i) instructions to open further Account(s) or close Account(s) in name of the Company;
- (j) any instruction, request, agreement, undertaking or document necessary for the provision of any of the above purposes; or otherwise for the provision of banking services (including, in particular, any agreement for the provision of these services by electronic, internet-based or similar means); or giving of information, as between each of the Bank and the Company.

2. Meeting details

Excerpt from Meeting of the Directors of Zeptonus Limited

held at 1st floor, Ragnall House, 15 Peel Road, Douglas, Isle of Man (the 'Company')
 on the 14th day of January 2013
 it was resolved that: The Royal Bank of Scotland International Limited be requested to act as the bankers of the Company

3. Authority

- (i) The Bank is requested to open or continue an Account in the name of the Company and is authorised to accept Instructions from:-

Any two Signatories of the Signatory Panel of City Trust Limited for clients in force from time to time

on behalf of the Company, even if the Account becomes overdrawn as a result of the Instructions.

- (ii) Where Instructions to the Bank are given in any format that is not in writing ['writing' means for this purpose a document bearing an original written authorised signature(s)] the Bank is entitled to accept them if the Bank is satisfied that the Instruction is genuine. The Company accepts that the Bank may require us to enter into a separate agreement(s) with the Bank and/or comply with any further conditions covering any means of providing the Bank with Instructions that are not in writing.
- (iii) The Company accepts that in the event of a winding up petition being presented against the Company, the Bank may refuse to make payments out of the Account.

4. Constitution of the Company

The Bank is to be given a list of names of the Directors, Company Secretary and other Officers of the Company and to be advised of any alterations to the list.

All lists and notifications provided to the Bank from time to time shall be certified as correct by the Company Secretary or a Director. Resolutions shall be certified by the Company Secretary.

The Bank is to be given a certified list of names of the authorised signatories with their specimen signatures.

The Bank will be advised of additions to the list by way of certified Resolutions of the Company. The Bank will be notified of resignations and retirements of those authorised to give Instructions.

This Authority shall continue until receipt by the Bank of a certified copy of a later Board Resolution amending or rescinding this Resolution.

5. Certification – I hereby certify that the above is a true Excerpt from the Minutes of the Meeting of Directors of the Company at which the quorum required by the Articles of Association of the Company was present and that the specimen signatures attached are correct.

Signature of Company Secretary Director



6. Details of authorised signatories – please sign in the centre of the box(es)

Specimen signature

Full name and official position of authorised signatory

Authorised Signatory
List of City Trust
Limited

Name (in full)

Official position

If you require additional authorised signatories sheet(s) please obtain and use RBSI50049, Authorised Signatories Sheet.

7. Confirmation

The signatures given on this sheet are genuine.

Signature of *Company Secretary/Director

Signature of *Company Secretary/Director




Total number of authorised signatories on this sheet

Where additional sheets are used, please specify overall number of authorised signatories submitted.

*delete as appropriate

For Bank use only

Guidance notes must be detached prior to sending to Mandate Centre

Sort code

Account number

Account number

Account number

Company Excerpt Minute - Where an Intermediary is to be appointed

Please note – when filling out this form please use the tab and arrow keys to move between the relevant fields. Ensure you do **not** use the return or enter keys.

Excerpt from the Minute of Meeting of the Directors

Customer number

Of: ("the Company")

Held at:

On:

It was resolved at a meeting of the Company (as set out above) that in connection with the provision by The Royal Bank of Scotland International Limited / ~~The Royal Bank of Scotland International Limited trading as NatWest / Isle of Man Bank Limited (Delete as appropriate)~~ (the "Bank") of their Electronic Banking Service (the "EBS") to the Company as part of which

(the "Intermediary")

is permitted to **operate/view** (delete as appropriate) the Company's account(s).

1. that the authorised signatory/ies of the Intermediary as notified to the Bank by the Intermediary from time to time (the "Authorised Signatory/ies") be and is/are hereby authorised to complete on behalf of the Company the EBS Information Form and any additional forms as may be required in connection with the provision of the EBS under the Agreement, a copy of each of which was tabled and approved by the Company at the meeting. A copy of the duly approved EBS information Form as completed by the Authorised Signatory/ies is attached hereto;
2. that the Authorised Signatory/ies be and is/are hereby authorised to receive, and to authorise others to receive, on behalf of the Company the Security Codes, Authenticators, and all other documentation referred to in the said Agreement with the Bank, and is/are hereby authorised to **operate/view** (delete as appropriate) the Company's accounts and to add or remove any Administrator, Authorised User or Payment Authoriser or any other person who may at any time carry out any specific function in connection with the Company's use of the EBS and to **operate/view** (delete as appropriate) new accounts in the name of the Company, without further authority from the Company;
3. that the Authorised Signatory/ies be and is/are hereby authorised to receive, and to authorise others to receive, on behalf of the Company all and or any documents relating to the Agreement;
4. that any capitalised terms used, but not defined, in this Excerpt Minute shall have the meaning set out in the Agreement; and
5. that this Excerpt Minute does not in any way limit or affect the existing authorities given to the Bank for operations on this or any other of the Company's account(s).

I certify that, (i) the above is a true excerpt from the recorded minutes of the Company, (ii) the meeting of the Company was held in accordance with the Rules of the Company (a copy of which is attached), (iii) I am authorised to act on behalf of the Company as contemplated by this Excerpt Minute in accordance with the Rules of the Company, and (iv) I have read the Terms & Conditions of use of EBS ("the Terms") which, together with the General Terms, the Documentation, any Mandate the EBS Information Form, and the written acceptance by the Bank confirming that the EBS will be made available to the Company, constitute the Agreement between the Company and the Bank for the provision of the EBS and in signing this document bind the Company thereto on the receipt of a written acceptance from the Bank.

Signature of Director/Secretary:



Name (in full) Stephen Doyle

Date 14/1/13

The Royal Bank of Scotland International Limited (RBS International). Registered Office: P.O. Box 64, Royal Bank House, 71 Bath Street, St. Helier, Jersey JE4 8PJ. Regulated by the Jersey Financial Services Commission for carrying on deposit-taking business under the Banking Business (Jersey) Law 1991 and for carrying on investment and insurance business under the Financial Services (Jersey) Law 1998. Guernsey business address: P.O. Box 62, Royal Bank Place, 1 Galigny Esplanade, St. Peter Port, Guernsey, GY1 4BQ. Regulated by the Guernsey Financial Services Commission and licensed under the Banking Supervision (Bailiwick of Guernsey) Law, 1994, as amended, the Insurance Managers and Insurance Intermediaries (Bailiwick of Guernsey) Law, 2002, and the Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended. Isle of Man business address: Royal Bank House, 2 Victoria Street, Douglas, Isle of Man IM99 1NJ. Licensed by the Financial Supervision Commission of the Isle of Man to take deposits and carry on investment business and registered with the Insurance and Pensions Authority in respect of general business. The Royal Bank of Scotland International (RBS International) is the registered business name of The Royal Bank of Scotland (Gibraltar) Limited (RBS Gibraltar) under the Business Names Registration Act. Registered office: PO Box 766, 1 Corral Road, Gibraltar. Registration No 32094. Licensed under the Gibraltar Financial Services (Banking) Act 1992, as amended and the Gibraltar Financial Services (Investment and Fiduciary) Act 1989, as amended (Licence No. FSC 00159B) and licensed under the Insurance Ordinance 1987.

The Royal Bank of Scotland International Limited (RBS International) trading as NatWest. Registered Office: P.O. Box 64, Royal Bank House, 71 Bath Street, St. Helier, Jersey JE4 8PJ. Regulated by the Jersey Financial Services Commission for carrying on deposit-taking business under the Banking Business (Jersey) Law 1991 and for carrying on investment and insurance business under the Financial Services (Jersey) Law 1998. Business address: PO Box 11, 16 Library Place, St Helier, Jersey, JE4 8NH. Guernsey business address: PO Box 62, Royal Bank Place, 1 Galigny Esplanade, St. Peter Port, Guernsey, GY1 4BQ. Regulated by the Guernsey Financial Services Commission and licensed under the Banking Supervision (Bailiwick of Guernsey) Law, 1994, as amended, the Insurance Managers and Insurance Intermediaries (Bailiwick of Guernsey) Law, 2002, and the Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended. Isle of Man business address: PO Box 7, 1 Prospect Hill, Douglas, Isle of Man, IM99 1AQ. Licensed by the Financial Supervision Commission of the Isle of Man to take deposits and carry on investment business and registered with the Insurance and Pensions Authority in respect of general business. NatWest is the registered business name of The Royal Bank of Scotland International Limited under the Business Names Registration Act. Licensed under the Gibraltar Financial Services (Banking) Act 1992, as amended and the Gibraltar Financial Services (Investment and Fiduciary) Act 1989, as amended (Licence No. FSC00660B) and licensed under the Insurance Ordinance 1987. Gibraltar business address: National Westminster House, PO Box 707, 57 Line Wall Road, Gibraltar.

Isle of Man Bank Limited (IOMB). Registered Company Number: 1 Isle of Man. Registered Office: 2 Athol Street, Douglas, Isle of Man, IM99 1AN. Licensed by the Financial Supervision Commission of the Isle of Man to take deposits and carry on investment business and registered with the Insurance and Pensions Authority in respect of general business.

RBSI eQ is a trade mark of The Royal Bank of Scotland International Limited used under licence by RBS International, NatWest, Isle of Man Bank Limited and The Royal Bank of Scotland (Gibraltar) Limited.

AUTHORISED SIGNATORIES

The following is a certified extract of a resolution of the directors of City Trust Limited:

IT WAS RESOLVED THAT for clients where City Trust Limited acts as a signatory on bank accounts and other accounts that instructions on such accounts shall only be valid when signed by any two authorised signatories.

IT WAS RESOLVED THAT the authorised signatories be as follows:

Names:

Specimen signatures:

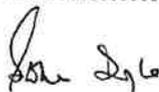
Rodney Leonard Margot


.....

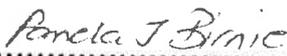
Barry Curtis Smith


.....

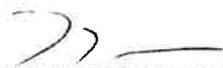
Stephen Gerard Doyle


.....

Pamela Jane Birnie


.....

Juan Stephen Moore


.....

I confirm that the above resolution and list of signatories is a true extract of a resolution of the directors of City Trust Limited and further confirm that the said resolution is still in effect and that the above signatories are correct.

Signed 
Director

Date: 14 - 1 - 2013

Mrs. Dawn Peat
Consultant
Corporate New Business Department
Royal Bank of Scotland International Limited
3rd Floor, Royal Bank House,
2 Victoria Street.
Douglas
Isle of Man
IM99 1NJ

4th December 2013

Dear Dawn

TRANSFER TO EQUIOM – ZEPTUNUS LIMITED

I refer to previous correspondence and enclose the following documents for your attention:

- a) Trigger Form
- b) Company Mandate
- c) Company Excerpt Minute
- d) Certified copy of a Board Minute detailing an earlier change of officers.

You will see that the authorised signatories are now the signatories of Equiom (Isle of Man) Limited as amended from time to time. I attach a signed copy of the current signatory list and understand you already hold the appropriate due diligence.

I would appreciate if you would acknowledge safe receipt of the documents and confirm that the account is now listed on the Equiom (Isle of Man) Limited electronic banking account Reference No. 72

If you have any queries please do not hesitate to contact me.

Kind regards,

Yours sincerely,



STEPHEN DOYLE

Please note – when filling out this form please use the tab and arrow keys to move between the relevant fields. Ensure you do not use the return or enter keys.

This form should be used to refresh details of existing accounts.

1. Customer details

Full business name

Account number Sort code

2. Registered address

Address line 1

Address line 2

Address line 3

Address line 4 OR

Overseas country

Postcode

3. Additional information

Country of registration/formation

Registration number (where applicable)

Jurisdictions in which you conduct business

Country where principal place of business is located

Date business started trading (DD/MM/YYYY) Financial year end date (DD/MM/YYYY)

4 Purpose / intended nature of business relationship. If 'Investments please state either a) for personal investment OR for third parties (detail what type of investments i.e. property, shares, where the investments are being made etc. – we may need supporting information.)

5. Type, volume and value of activity expected. (Please state expected turnover on the account for the next 12 months and expected level of activity / usage / number of transactions)

6. Source of wealth. (Please provide details of where wealth originated, i.e. savings from earnings [please state time period], sale of property etc., how contribution to start up business has been generated. Generic answers such as investments and savings are not acceptable. We may require supporting documentation.)

Already Known to Bank

7. Personal details

For details of how we and others will use your information, please look for the padlock symbol below and in the accompanying Terms (see Section 9).

Please give full names and capacity in the business (e.g. beneficial owner [25% or more shareholding], director, company secretary, partner) below. Use additional copies of this sheet as required.

Please note where there are any new parties to the account not known or previously advised to the bank we may approach you for due diligence.

Party one

Name

Capacity

% ownership

Party two

Name

Capacity

% ownership

Party three

Name

Capacity

% ownership

Party four

Name

Capacity

% ownership

Party five

Name

Capacity

% ownership

Party one

Title Mr Mrs Miss Ms Other
(Please specify)

Surname

First name(s)

Nationality (where dual nationality is held please advise both)

Gender

Date of birth (dd/mm/yyyy)

Full residential address

Address line 2

Address line 3

Address line 4 OR overseas country

Postcode

Date of entry to above address (DD/MM/YYYY)

If you have an account with RBS International please provide details:

Account name

Account holding branch

Account number

Sort code

Declaration and signature

I confirm that the information given in this form is true and complete.

Fraud prevention agencies

If false or inaccurate information is provided and fraud is identified or suspected, details may be passed to fraud prevention agencies. We may also obtain information about you from fraud prevention agencies.

Giving your consent

By signing this application you are agreeing that we may use your information in the way described in this form and in the associated Terms and Conditions.

Signature

Date (DD/MM/YYYY)

The Royal Bank of Scotland International Limited (RBS International). Registered Office: P.O. Box 64, Royal Bank House, 71 Bath Street, St. Helier, Jersey JE4 8PJ. Regulated by the Jersey Financial Services Commission. Guernsey business address: P.O. Box 62, Royal Bank Place, 1 Glatigny Esplanade, St. Peter Port, Guernsey, GY1 4BQ. Regulated by the Guernsey Financial Services Commission and licensed under the Banking Supervision (Bailiwick of Guernsey) Law, 1994, as amended, the Insurance Managers and Insurance Intermediaries (Bailiwick of Guernsey) Law, 2002, and the Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended. Isle of Man business address: Royal Bank House, 2 Victoria Street, Douglas, Isle of Man IM99 1NJ. Licensed by the Financial Supervision Commission of the Isle of Man and registered with the Insurance and Pensions Authority in respect of general business. ~~Call may be recorded. Internet e-mails are not necessarily secure as information might be intercepted, lost or destroyed. Please do not e-mail any account or other confidential information.~~

OFF200470RBSI (22/03/2013)

Party two

Title Mr Mrs Miss Ms Other
(Please specify)

Surname

First name(s)

Nationality (where dual nationality is held please advise both)

Gender

Date of birth (dd/mm/yyyy)

Full residential address

Address line 2

Address line 3

Address line 4 OR overseas country

Postcode

Date of entry to above address (DD/MM/YYYY)

If you have an account with RBS International please provide details:

Account name

Account holding branch

Account number

Sort code

Declaration and signature

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Signature

Date (DD/MM/YYYY)

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Party three

Title Mr Mrs Miss Ms Other
(Please specify)

Surname

First name(s)

Nationality (where dual nationality is held please advise both)

Gender

Date of birth (dd/mm/yyyy)

Full residential address

Address line 2

Address line 3

Address line 4 OR overseas country

Postcode

Date of entry to above address (DD/MM/YYYY)

If you have an account with RBS International please provide details:

Account name

Account holding branch

Account number

Sort code

Declaration and signature

I confirm that the information given in this form is true and complete.

Fraud prevention agencies 

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Giving your consent 

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Signature

Date (DD/MM/YYYY)

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Party four

Title Mr Mrs Miss Ms Other
(Please specify)

Surname

First name(s)

Nationality (where dual nationality is held please advise both)

Gender

Date of birth (dd/mm/yyyy)

Full residential address

Address line 2

Address line 3

Address line 4 OR overseas country

Postcode

Date of entry to above address (DD/MM/YYYY)

If you have an account with RBS International please provide details:

Account name

Account holding branch

Account number

Sort code

Declaration and signature

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Fraud prevention agencies 

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Giving your consent 

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Signature

Date (DD/MM/YYYY)

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Party five

Title Mr Mrs Miss Ms Other
(Please specify)

Surname

First name(s)

Nationality (where dual nationality is held please advise both)

Gender

Date of birth (dd/mm/yyyy)

Full residential address

Address line 2

Address line 3

Address line 4 OR overseas country

Postcode

Date of entry to above address (DD/MM/YYYY)

If you have an account with RBS International please provide details:

Account name

Account holding branch

Account number

Sort code

Declaration and signature

I confirm that the information given in this form is true and complete.

Fraud prevention agencies 

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Signature

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8. Your agreement

The current terms of your accounts and services and a summary of how we use personal information and our regulatory details are available online. Please save or print a copy and read the document(s) carefully.

Please go to www.rbsint.com/terms and enter RBSICAT as the product code.

Alternatively, please ask your Relationship Manager for a copy of the Terms and the personal information summary.

By signing:

- You agree we may use the personal information you have supplied in the way described in this form (including in the 'Keeping you informed' section below) and in the personal information summary.
- You agree to the Terms for accounts and services held.
- You confirm the details provided are correct and agree to notify us of any changes

Signature: Director/Partner

Signature: Director/Partner

Name (in full)

Name (in full)

Date (DD/MM/YYYY)

Date (DD/MM/YYYY)

9. Contact details

Please provide a contact name, number and email address, in case of referral.

Name

Telephone number

Email address

10. Keeping you informed

We would like to keep your contacts informed by letter, phone and electronic means (including e-mail and mobile messaging) about products, services and additional benefits that we believe may be of interest to you.

If this is not required, please place a cross in this box.

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Please complete this form in BLOCK CAPITALS and in black ink

1. Meanings of words used in this Authority

'Account' means an account or accounts held with the Bank in the name of the Company

'Bank' means The Royal Bank of Scotland International Limited

'Instructions' means

- (a) cheques or other orders for payment, bills accepted and promissory notes or negotiable instruments made, drawn or given on the Account;
- (b) instructions to countermand payment of cheques, bills of exchange or other orders;
- (c) endorsement on behalf of the Company of cheques and other orders, drafts, bills, promissory notes and deposit receipts payable to or in the name of the Company;
- (d) instructions to withdraw securities, documents or articles lodged for safe custody in the name of the Company;
- (e) requests for borrowing facilities by way of loan, overdraft, discount or otherwise, and whether secured or otherwise;
- (f) indemnities, guarantees and bonds, and instructions for the opening of credits or the issue of guarantees, bonds or indemnities by the Bank;
- (g) instructions for discounting inland or foreign bills;
- (h) instructions to withdraw, deliver, dispose of or deal with any property, documents or securities held in name of the Company;
- (i) instructions to open further Account(s) or close Account(s) in name of the Company;
- (j) any instruction, request, agreement, undertaking or document necessary for the provision of any of the above purposes; or otherwise for the provision of banking services (including, in particular, any agreement for the provision of these services by electronic, internet-based or similar means); or giving of information, as between each of the Bank and the Company.

2. Meeting details

Excerpt from Meeting of the Directors of **ZEPTUNUS LIMITED**

(the 'Company')

held at **FIRST FLOOR, JUBILEE BUILDINGS, VICTORIA STREET, DOUGLAS, ISLE OF MAN**

on the _____ day of _____

it was resolved that: The Royal Bank of Scotland International Limited be requested to act as the bankers of the Company

3. Authority

- (i) The Bank is requested to open or continue an Account in the name of the Company and is authorised to accept Instructions from:-

ANY TWO SIGNATORIES OF THE SIGNATORY PANEL OF EQUIOM (ISLE OF MAN) LIMITED AS AMMEINDED FROM TIME TO TIME

on behalf of the Company, even if the Account becomes overdrawn as a result of the Instructions.

- (ii) Where Instructions to the Bank are given in any format that is not in writing ['writing' means for this purpose a document bearing an original written authorised signature(s)] the Bank is entitled to accept them if the Bank is satisfied that the Instruction is genuine. The Company accepts that the Bank may require us to enter into a separate agreement(s) with the Bank and/or comply with any further conditions covering any means of providing the Bank with Instructions that are not in writing.
- (iii) The Company accepts that in the event of a winding up petition being presented against the Company, the Bank may refuse to make payments out of the Account.

4. Constitution of the Company

The Bank is to be given a list of names of the Directors, Company Secretary and other Officers of the Company and to be advised of any alterations to the list. All lists and notifications provided to the Bank from time to time shall be certified as correct by the Company Secretary or a Director. Resolutions shall be certified by the Company Secretary. The Bank is to be given a certified list of names of the authorised signatories with their specimen signatures. The Bank will be advised of additions to the list by way of certified Resolutions of the Company. The Bank will be notified of resignations and retirements of those authorised to give Instructions. This Authority shall continue until receipt by the Bank of a certified copy of a later Board Resolution amending or rescinding this Resolution.

5. Certification – I hereby certify that the above is a true Excerpt from the Minutes of the Meeting of Directors of the Company at which the quorum required by the Articles of Association of the Company was present and that the specimen signatures attached are correct.

Signature of ~~Company Secretary~~ Director

[Handwritten Signature]

6. Details of authorised signatories – please sign in the centre of the box(es)

Specimen signature	Full name and official position of authorised signatory
Please See Authorised Signatories List Attached	Name (in full)
	Official position
	Name (in full)
	Official position
	Name (in full)
	Official position
	Name (in full)
	Official position
	Name (in full)
	Official position
	Name (in full)
	Official position

If you require additional authorised signatories sheet(s) please obtain and use RBSI50049, Authorised Signatories Sheet.

7. Confirmation

The signatures given on this sheet are genuine.

Signature of *Company Secretary/Director

Signature of *Company Secretary/Director




Total number of authorised signatories on this sheet

Where additional sheets are used, please specify overall number of authorised signatories submitted.

*delete as appropriate

For Bank use only			
Guidance notes must be detached prior to sending to Mandate Centre			
Sort code	Account number	Account number	Account number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>

The Royal Bank of Scotland International Limited (RBS International) Registered Office: P.O. Box 64, Royal Bank House, 71 Bath Street, St Helier, Jersey JE4 4PJ. Regulated by the Jersey Financial Services Commission for carrying on deposit taking business under the Banking Business (Jersey) Law 1991 and for carrying on investment and insurance business under the Financial Services (Jersey) Law 1998. Guernsey business address: P.O. Box 62, Royal Bank Place, 1 Glatigny Esplanade, St Peter Port, Guernsey, GY1 4RQ. Regulated by the Guernsey Financial Services Commission and licensed under the Banking Supervision (Bailiwick of Guernsey) Law 1994, as amended; the Insurance Managers and Insurance Intermediaries (Bailiwick of Guernsey) Law 2002; and the Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended. Isle of Man business address: Royal Bank House, 2 Victoria Street, Douglas, Isle of Man IM99 1NU. Licensed by the Financial Supervision Commission of the Isle of Man to take deposits and carry on investment business and regulated with the Insurance and Pensions Authority in respect of general business. The Royal Bank of Scotland International (RBS International) is the registered business name of The Royal Bank of Scotland (Guernsey) Limited (RBS Guernsey) under the Business Names Registration Act. Registered office: PO Box 766, 1 Canal Street, Gibraltar. Registration No 32094. Licensed under the Gibraltar Financial Services (Banking) Act 1992, as amended and the Gibraltar Financial Services (Investment and Fiduciary) Act 1989, as amended (Licence No. FSC 001598) and licensed under the Insurance Ordinance 1987.

Company Excerpt Minute - Where an Intermediary is to be appointed

Please note – when filling out this form please use the tab and arrow keys to move between the relevant fields. Ensure you do not use the return or enter keys.

Customer number 72

Excerpt from the Minute of Meeting of the Directors

Of: ZEPTUNUS LIMITED ("the Company")

Held at: FIRST FLOOR, JUBILEE BUILDINGS, VICTORIA STREET, DOUGLAS, ISLE OF MAN

On: 04/12/13

It was resolved at a meeting of the Company (as set out above) that in connection with the provision by The Royal Bank of Scotland International Limited / ~~The Royal Bank of Scotland International Limited trading as NatWest / Isle of Man Bank Limited~~ (Delete as appropriate) (the "Bank") of their Electronic Banking Service (the "EBS") to the Company as part of which

EQUIOM (ISLE OF MAN) LIMITED (the "Intermediary")

is permitted to ~~operate~~ (delete as appropriate) the Company's account(s).

1. that the authorised signatory/ies of the Intermediary as notified to the Bank by the Intermediary from time to time (the "Authorised Signatory/ies") be and is/are hereby authorised to complete on behalf of the Company the EBS Information Form and any additional forms as may be required in connection with the provision of the EBS under the Agreement, a copy of each of which was tabled and approved by the Company at the meeting. A copy of the duly approved EBS Information Form as completed by the Authorised Signatory/ies is attached hereto;
2. that the Authorised Signatory/ies be and is/are hereby authorised to receive, and to authorise others to receive, on behalf of the Company the Security Codes, Authenticators, and all other documentation referred to in the said Agreement with the Bank, and is/are hereby authorised to ~~operate~~ (delete as appropriate) the Company's accounts and to add or remove any Administrator, Authorised User or Payment Authoriser or any other person who may at any time carry out any specific function in connection with the Company's use of the EBS and to ~~operate~~ (delete as appropriate) new accounts in the name of the Company, without further authority from the Company;
3. that the Authorised Signatory/ies be and is/are hereby authorised to receive, and to authorise others to receive, on behalf of the Company all and or any documents relating to the Agreement;
4. that any capitalised terms used, but not defined, in this Excerpt Minute shall have the meaning set out in the Agreement; and
5. that this Excerpt Minute does not in any way limit or affect the existing authorities given to the Bank for operations on this or any other of the Company's account(s).

I certify that, (i) the above is a true excerpt from the recorded minutes of the Company, (ii) the meeting of the Company was held in accordance with the Rules of the Company (a copy of which is attached), (iii) I am authorised to act on behalf of the Company as contemplated by this Excerpt Minute in accordance with the Rules of the Company, and (iv) I have read the Terms & Conditions of use of EBS ("the Terms") which, together with the General Terms, the Documentation, any Mandate the EBS Information Form, and the written acceptance by the Bank confirming that the EBS will be made available to the Company, constitute the Agreement between the Company and the Bank for the provision of the EBS and in signing this document bind the Company thereto on the receipt of a written acceptance from the Bank.

Signature of Director/Secretary:



Name (in full)

Stephen Doyle

Date

4/12/13

The Royal Bank of Scotland International Limited (RBS International). Registered Office: P.O. Box 64, Royal Bank House, 71 Bath Street, St. Helier, Jersey JE4 8PJ. Regulated by the Jersey Financial Services Commission for carrying on deposit-taking business under the Banking Business (Jersey) Law 1991 and for carrying on investment and insurance business under the Financial Services (Jersey) Law 1998. Guernsey business address: P.O. Box 62, Royal Bank Place, 1 Glatigny Esplanade, St. Peter Port, Guernsey, GY1 4BQ. Regulated by the Guernsey Financial Services Commission and licensed under the Banking Supervision (Bailiwick of Guernsey) Law, 1994, as amended, the Insurance Managers and Insurance Intermediaries (Bailiwick of Guernsey) Law, 2002, and the Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended. Isle of Man business address: Royal Bank House, 2 Victoria Street, Douglas, Isle of Man IM99 1NJ. Licensed by the Financial Supervision Commission of the Isle of Man to take deposits and carry on investment business and registered with the Insurance and Pensions Authority in respect of general business. The Royal Bank of Scotland International (RBS International) is the registered business name of The Royal Bank of Scotland (Gibraltar) Limited (RBS Gibraltar) under the Business Names Registration Act. Registered office: PO Box 766, 1 Corral Road, Gibraltar. Registration No 32094. Licensed under the Gibraltar Financial Services (Banking) Act 1992, as amended and the Gibraltar Financial Services (Investment and Fiduciary) Act 1989, as amended (Licence No. FSC 00159B) and licensed under the Insurance Ordinance 1987.

The Royal Bank of Scotland International Limited (RBS International) trading as NatWest. Registered Office: P.O. Box 64, Royal Bank House, 71 Bath Street, St. Helier, Jersey JE4 8PJ. Regulated by the Jersey Financial Services Commission for carrying on deposit-taking business under the Banking Business (Jersey) Law 1991 and for carrying on investment and insurance business under the Financial Services (Jersey) Law 1998. Business address: PO Box 11, 16 Library Place, St Helier, Jersey, JE4 8NH. Guernsey business address: PO Box 62, Royal Bank Place, 1 Glatigny Esplanade, St. Peter Port, Guernsey, GY1 4BQ. Regulated by the Guernsey Financial Services Commission and licensed under the Banking Supervision (Bailiwick of Guernsey) Law, 1994, as amended, the Insurance Managers and Insurance Intermediaries (Bailiwick of Guernsey) Law, 2002, and the Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended. Isle of Man business address: PO Box 7, 1 Prospect Hill, Douglas, Isle of Man, IM99 1AQ. Licensed by the Financial Supervision Commission of the Isle of Man to take deposits and carry on investment business and registered with the Insurance and Pensions Authority in respect of general business. NatWest is the registered business name of The Royal Bank of Scotland International Limited under the Business Names Registration Act. Licensed under the Gibraltar Financial Services (Banking) Act 1992, as amended and the Gibraltar Financial Services (Investment and Fiduciary) Act 1989, as amended (Licence No. FSC00660B) and licensed under the Insurance Ordinance 1987. Gibraltar business address: National Westminster House, PO Box 707, 57 Line Wall Road, Gibraltar.

Isle of Man Bank Limited (IOMB). Registered Company Number: 1 Isle of Man. Registered Office: 2 Athol Street, Douglas, Isle of Man, IM99 1AN. Licensed by the Financial Supervision Commission of the Isle of Man to take deposits and carry on investment business and registered with the Insurance and Pensions Authority in respect of general business.

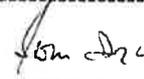
RBSI eC is a trade mark of The Royal Bank of Scotland International Limited used under licence by RBS International, NatWest, Isle of Man Bank Limited and The Royal Bank of Scotland (Gibraltar) Limited.

OFF115022RBI (15/12/2008)

Page 1 of 1

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447

I certify that this is a true copy of the original, which I have seen
 Name (block capitals): STEPHEN DOYLE
 Position in Equiom (Isle of Man) Limited: SENIOR MANAGER
 Date: 05/12/13
 Signature: 
 Equiom (Isle of Man) Limited is licensed by the Isle of Man
 Financial Supervision Commission.

**MINUTES OF A MEETING OF THE DIRECTORS OF ZEPTUNUS LIMITED
 HELD AT FIRST FLOOR RAGNALL HOUSE PEEL ROAD DOUGLAS
 ISLE OF MAN ON 14 JANUARY 2013.**

PRESENT: Stephen G Doyle
 Samuel J Bingham

IN ATTENDANCE: Rodney L Margot

CHAIRMAN: Stephen G Doyle was elected to chair the meeting.

QUORUM: It was determined that a quorum was present and that the
 business of the meeting could commence.

CONSENT TO SHORT NOTICE: The Directors present, being all the Directors for the time being
 entitled to attend and vote at board meetings, do hereby signify
 their consent to the meeting being held at short notice.

APPOINTMENT OF DIRECTOR & SECRETARY It was noted that Rodney Leonard Margot had indicated his
 willingness to be appointed as Director and Secretary of the
 Company.

IT WAS RESOLVED THAT Rodney Leonard Margot be and is
 hereby appointed as Director of the Company with immediate
 effect.

RESIGNATION OF DIRECTOR & SECRETARY A letter of resignation from Samuel J Bingham as Director and
 Secretary of the company was laid before the meeting.

IT WAS RESOLVED THAT the letter of resignation dated 14
 January 2013 from Samuel J Bingham as a Director and
 Secretary of the Company be accepted immediate effect.

IT WAS FURTHER RESOLVED THAT Rodney Leonard Margot
 be and is hereby appointed as Secretary with immediate effect.

BANK OPENING Having discussed the opening of a bank account for the
 Company **IT WAS RESOLVED** to proceed to open an account
 at Royal Bank of Scotland International, Isle of Man.

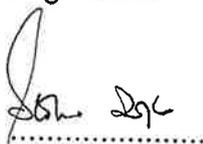
AUTHORISED SIGNATORIES **IT WAS RESOLVED THAT** any two of the authorised
 signatories of the current signing panel of City Trust Limited for
 clients in force from time to time be and are hereby authorised
 to sign on the Bank Account.

IT WAS FURTHER RESOLVED THAT the account be set up on the City Trust Electronic Banking platform with Royal Bank of Scotland and that the terms and resolutions set out in the mandate as tabled be and are hereby approved and that Stephen Doyle be and is hereby authorised to sign the Company Excerpt Minute on behalf of the Company.

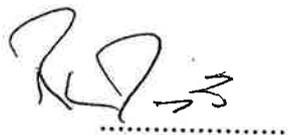
The Company Secretary was instructed to complete the bank mandate and other ancillary account opening documentation and submit these to the Bank.

**ANY OTHER
BUSINESS**

There being no further business, the Chairman declared the meeting closed.



.....
CHAIRMAN



.....
DIRECTOR

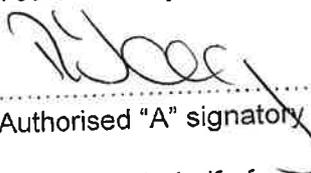
2013

Dear Sirs

**Equiom (Isle of Man) Limited - Authorised Signatory Mandate
Trust & Company Accounts**

1. On 1 September 2013 Equiom (Isle of Man) Limited authorised the persons on the attached lists to represent the company in operating the bank accounts of various trusts and companies for which we act as an authorised signatory.
2. We are pleased to provide you with lists of facsimile signatures and initials of the twenty three authorised representatives of the company.
3. These persons are limited in their signing capacity as follows:
 - i) Any two of the "A" signatories (unlimited) or
 - ii) One "A" signatory and one "B" to sign up to a maximum of £100,000 or
 - iii) Any two "B" signatories up to a maximum of £10,000.
4. Thank you for your kind attention.

Yours faithfully


.....
Authorised "A" signatory

For and on behalf of
Equiom (Isle of Man) Limited

Encs


.....
Authorised "A" signatory

Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **POUNDS STERLING**
 Date: **04-Jan-16**

14 JAN 2016	
CL No:	
RL:	
Seen by:	
To:	IM
To:	YS

RBS
 — International —

Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS, IM99 1NJ.
 Isle of Man
 Tel: 01624 646464

Statement Number: 001 Of 2016
 Opening Balance: 934.48 CR
 Total Paid In: 4,875.67
 Total Withdrawn: 4,322.70
 Closing Balance: 1,487.45 CR

EQUIOM (ISLE OF MAN) LIMITED
 JUBILEE BUILDINGS
 VICTORIA STREET
 DOUGLAS
 ISLE OF MAN IM1 2SH

00999140200001247273

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
02-Oct-15				OPENING BALANCE			934.48 CR
03-Oct-15	95613834		CHG	ANNUAL SERVICE CHG	35.00		899.48 CR
28-Oct-15	95987100		TRF	FX FROM USD RE FEES		3,730.00	
28-Oct-15	95992370		TRF	RF AND 3Q FEES	3,725.70		903.78 CR
10-Nov-15	96184122		BAC	ISLE OF MAN GOVERN		1,144.65	2,048.43 CR
18-Nov-15	96305889		FPS	EAGK LLP	180.00		
18-Nov-15	96305889		CHG	FPS PAYMENT	1.00		1,867.43 CR
03-Dec-15	96589403		FPS	AR FEE	380.00		
03-Dec-15	96589403		CHG	FPS PAYMENT	1.00		1,486.43 CR
31-Dec-15	97323605		INT	GROSS 30/12 58608545		1.02	
				CLOSING BALANCE			1,487.45 CR

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
 TRF - Internal Transfer TXN - Transaction

Page 1 of 1

The Royal Bank of Scotland International Limited (RBS International), RBS International is a member of the Isle of Man Depositors' Compensation Scheme (DCS) as set out in the Depositors' Compensation Scheme Regulations 2010. Further details of the scheme are available on request. RBS International is a participant in the Guernsey Banking Deposit Compensation Scheme. The scheme offers protection for 'qualifying deposits' up to £50,000, subject to certain limitations. The maximum total amount of compensation is capped at £100,000,000 in any 5 year period. Details are available from: Website: www.dcs.gg. Telephone: +44 (0)1481 722756. Post: P.O. Box 380, St Peter Port, GY1 3FY. Deposits made in a Guernsey Branch will not be covered by any equivalent scheme in any jurisdiction outside of the Bailiwick of Guernsey. RBS International is a participant in the Jersey Banking Depositor Compensation Scheme. The Scheme offers protection for eligible deposits of up to £50,000. The maximum total amount of compensation is capped at £100,000,000 in any 5 year period. Full details of the Scheme and banking groups covered are available on the States of Jersey website www.gov.je/dcs or on request.

Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **POUNDS STERLING** ✓
 Date: **02-Oct-15**

7 OCT 2015	
CL No:	
RL:	
Seen by:	
To:	IM
To:	YS



Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS. IM99 1NJ.
 Isle of Man
 Tel: 01624 646464

Statement Number:	004 Of 2015
Opening Balance:	840.54 CR
Total Paid In:	274.94
Total Withdrawn:	181.00
Closing Balance:	934.48 CR

EQUIOM (ISLE OF MAN) LIMITED
 JUBILEE BUILDINGS
 VICTORIA STREET
 DOUGLAS
 ISLE OF MAN IM1 2SH

06240ET0000020EHT1600

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
02-Jul-15				OPENING BALANCE			840.54 CR
08-Jul-15	93967205		BAC	ISLE OF MAN GOVERN		274.20 ✓	1,114.74 CR
26-Aug-15	94430908		FPS	51371/Z0039	180.00		
26-Aug-15	94430908		CHG	FPS PAYMENT	1.00 ✓		933.74 CR
30-Sep-15	95363686		INT	GROSS 29/09 58608545		0.74 ✓	
				CLOSING BALANCE			934.48 CR

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
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Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **POUNDS STERLING**
 Date: **02-Jul-15**



Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS, IM99 1NJ,
 Isle of Man
 Tel: 01624 646464

26 AUG 2015	
CL No:	
RL:	
Seen by:	
To:	IM
To:	IM

454

Statement Number: 003 Of 2015
 Opening Balance: 275.78 CR
 Total Paid In: 2,211.96
 Total Withdrawn: 1,647.20
 Closing Balance: 840.54 CR

EQUIOM (ISLE OF MAN) LIMITED
 JUBILEE BUILDINGS
 VICTORIA STREET
 DOUGLAS
 ISLE OF MAN IM1 2SH

01624646464

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
02-Apr-15				OPENING BALANCE			275.78 CR
27-Apr-15	91959841		FPS	37634	180.00		
27-Apr-15	91959841		CHG	FPS PAYMENT	1.00		
27-Apr-15	91960358		TRF	XFR USD TO GBP		1,285.20	
27-Apr-15	91964428		TRF	11015/1504253	1,285.20		94.78 CR
12-May-15	92205103		BAC	ISLE OF MAN GOVERN		926.35	1,021.13 CR
14-May-15	92253288		FPS	38050	180.00		
14-May-15	92253288		CHG	FPS PAYMENT	1.00		840.13 CR
30-Jun-15	93279747		INT	GROSS 29/06 58608545		0.41	
				CLOSING BALANCE			840.54 CR

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
 TRF - Internal Transfer TXN - Transaction

The Royal Bank of Scotland International Limited (RBS International), RBS International is a member of the Isle of Man Depositors' Compensation Scheme (DCS) as set out in the Depositors' Compensation Scheme Regulations 2010. Further details of the scheme are available on request. RBS International is a participant in the Guernsey Banking Deposit Compensation Scheme. The scheme offers protection for 'qualifying deposits' up to £50,000, subject to certain limitations. The maximum total amount of compensation is capped at £100,000,000 in any 5 year period. Details are available from: Website: www.dcs.gg. Telephone: +44 (0)1481 722756. Post: P.O. Box 380, St Peter Port, GY1 3FY. Deposits made in a Guernsey Branch will not be covered by any equivalent scheme in any jurisdiction outside of the Bailiwick of Guernsey. RBS International is a participant in the Jersey Banking Depositor Compensation Scheme. The Scheme offers protection for eligible deposits of up to £50,000. The maximum total amount of compensation is capped at £100,000,000 in any 5 year period. Full details of the Scheme and banking groups covered are available on the States of Jersey website www.gov.je/dcs or on request.

Accounts: Statement

User: reid01

Date: 04/07/2014

Time: 10:51:42

A/c Set : All

A/c Short Name : Zeptunus Ltd

A/c Number : 5880-58608545

Sort Code: 16-58-80

A/c Number: 5880-58608545

A/c Short Name: Zeptunus Ltd

A/c Type: Cash Management Account

Ccy: GBP

IBAN: GB60RBOS16588058608545

BIC: RBOSIMDX

Reporting Ccy: GBP

Date From: 01/04/2014

Date To: 30/06/2014

A/c Name: ZEPTUNUS LIMITED

Date	Value Date	Bank Ref.	Description	Withdrawn	Paid in	Balance
01/04/2014		0	Balance Brought Forward			312.84
06/05/2014	06/05/2014	84286139	BAC ISLE OF MAN GOVERN 3894088		433.00	745.84
30/06/2014	30/06/2014	85430358	INT GROSS 29/06 58608545		0.43	746.27
			Total	0.00	433.43	

Statement For: **ZEPTUNUS LIMITED**



11015 ✓

Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **POUNDS STERLING**
 Date: **02-Jul-14**

Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS, IM99 1NJ.
 Isle of Man
 Tel: 01624 646464

23 JUL 2014	
CL No:	
RL:	
Seen by:	6
To:	JM 22
To:	cm

Statement Number: 003 Of 2014
 Opening Balance: 312.84 CR
 Total Paid In: 433.43
 Total Withdrawn: 0.00
 Closing Balance: 746.27 CR

EQUIOM (ISLE OF MAN) LIMITED
 JUBILEE BUILDINGS
 VICTORIA STREET
 DOUGLAS
 ISLE OF MAN IM1 2SH

9742540000205040600

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
02-Apr-14				OPENING BALANCE			312.84 CR
06-May-14	84286139		BAC	ISLE OF MAN GOVERN		433.00	745.84 CR
30-Jun-14	85430358		INT	GROSS 29/06 58608545		0.43	
				CLOSING BALANCE			746.27 CR

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
 TRF - Internal Transfer TXN - Transaction

The Royal Bank of Scotland International Limited (RBS International), RBS International is a member of the Isle of Man Depositors' Compensation Scheme (DCS) as set out in the Depositors' Compensation Scheme Regulations 2010. Further details of the scheme are available on request. RBS International is a participant in the Guernsey Banking Deposit Compensation Scheme. The scheme offers protection for 'qualifying deposits' up to £50,000, subject to certain limitations. The maximum total amount of compensation is capped at £100,000,000 in any 5 year period. Details are available from: Website: www.dcs.gg. Telephone: +44 (0)1481 722756. Post: P.O. Box 380, St Peter Port, GY1 3FY. Deposits made in a Guernsey Branch will not be covered by any equivalent scheme in any jurisdiction outside of the Bailiwick of Guernsey. RBS International is a participant in the Jersey Banking Depositor Compensation Scheme. The Scheme offers protection for eligible deposits of up to £50,000. The maximum total amount of compensation is capped at £100,000,000 in any 5 year period. Full details of the Scheme and banking groups covered are available on the States of Jersey website or on request.

Statement For: **ZEPTUNUS LIMITED**

Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **POUNDS STERLING**
 Date: **02-Apr-14**



— International —

Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS, IM99 1NJ,
 Isle of Man
 Tel: 01624 646464

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Ci No	
RL	
Seen by	<i>[Signature]</i>
To	<i>[Signature]</i>
To	

Statement Number: 002 Of 2014
 Opening Balance: 104.67 CR
 Total Paid In: 208.17
 Total Withdrawn: 0.00
 Closing Balance: 312.84 CR

EQUIOM (ISLE OF MAN) LIMITED
 JUBILEE BUILDINGS
 VICTORIA STREET
 DOUGLAS
 ISLE OF MAN IM1 2SH

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
02-Jan-14				OPENING BALANCE			104.67 CR
11-Feb-14	82490267		BAC	ISLE OF MAN GOVERN		208.00	312.67 CR
31-Mar-14	83645479		INT	GROSS 30/03 58608545		0.17	
				CLOSING BALANCE			312.84 CR

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
 TRF - Internal Transfer TXN - Transaction

Fup bilaga 3

463

11015 ✓ SI

Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **POUNDS STERLING**
 Date: **02-Jan-14**



Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS, IM99 1NJ,
 Isle of Man
 Tel: 01624 646464

24 JAN 2014	
CL No:	
RL:	
Seen by:	
To:	SP 6
To:	BT

EQUIOM (ISLE OF MAN) LIMITED
 JUBILEE BUILDINGS
 VICTORIA STREET
 DOUGLAS
 ISLE OF MAN IM1 2SH

Statement Number: 001 Of 2014
 Opening Balance: 104.52 CR
 Total Paid In: 0.15
 Total Withdrawn: 0.00
 Closing Balance: 104.67 CR

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
13-Dec-13				OPENING BALANCE			104.52 CR
31-Dec-13	81553322		INT	GROSS 30/12 58608545		0.15	
				CLOSING BALANCE			104.67 CR

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
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Sup bilaga 3

464



Statement For: **ZEPTUNUS LIMITED**

Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **POUNDS STERLING**
 Date: **13-Dec-13**



Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS, IM99 1NJ,
 Isle of Man
 Tel: 01624 646464

19 DEC 2013	
CL No:	
RL:	SD
Seen by:	6
To:	BT
To:	

Statement Number: 004 Of 2013
 Opening Balance: 728.57 CR
 Total Paid In: 809.95
 Total Withdrawn: 1,434.00
 Closing Balance: 104.52 CR

CITY TRUST LIMITED
 1ST FLOOR
 JUBILEE BUILDINGS
 VICTORIA STREET DOUGLAS
 ISLE OF MAN IM1 2SH

112214100002194000

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
01-Nov-13				OPENING BALANCE			728.57 CR
19-Nov-13	80697783		BAC	ISLE OF MAN GOVERN		207.00	935.57 CR
26-Nov-13	80817158		FX	USD 1,000.00		602.95	
26-Nov-13	80822043		TRF	1310662 KMIOM	1,074.00		464.52 CR
27-Nov-13	80839770		TRF	ANNUAL RETURN FEE	360.00		
				CLOSING BALANCE			104.52 CR

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
 TRF - Internal Transfer TXN - Transaction

Fup bilaga 3

465



Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **POUNDS STERLING**
 Date: **01-Nov-13**



Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS, IM99 1NJ,
 Isle of Man
 Tel: 01624 646464

1020049001001140000

THE SECRETARY
 ZEPTUNUS LIMITED
 1ST FLOOR, RAGNALL HOUSE
 18 PEEL ROAD
 DOUGLAS
 ISLE OF MAN IM1 4LZ

1 NOV 2013	
CL No:	11015
RL:	
Seen by:	
To:	SD
To:	AT

Statement Number: 003 Of 2013
 Opening Balance: 728.57 CR
 Total Paid In: 0.00
 Total Withdrawn: 0.00
 Closing Balance: 728.57 CR

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
01-Oct-13				OPENING BALANCE			728.57 CR
				CLOSING BALANCE			728.57 CR

17 NOV 2013	
CL No:	
RL:	
Seen by:	
To:	
To:	

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
 TRF - Internal Transfer TXN - Transaction



Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **POUNDS STERLING**
 Date: **01-Oct-13**

11 OCT 2013	
CL No	
RL:	SDB
Seen by:	
To:	AT
to:	

Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS, IM99 1NJ,
 Isle of Man
 Tel: 01624 646464

Statement Number: 002 Of 2013
 Opening Balance: 728.50 CR
 Total Paid In: 0.07
 Total Withdrawn: 0.00
 Closing Balance: 728.57 CR

THE SECRETARY
 ZEPTUNUS LIMITED
 1ST FLOOR, RAGNALL HOUSE
 18 PEEL ROAD
 DOUGLAS
 ISLE OF MAN IM1 4LZ

000095100101000150000201

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
02-Sep-13				OPENING BALANCE			728.50 CR
30-Sep-13	79548507		INT	GROSS 29/09 58608545		0.07	
				CLOSING BALANCE			728.57 CR

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
 TRF - Internal Transfer TXN - Transaction

Statement For: **ZEPTUNUS LIMITED**



1105Y

Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **POUNDS STERLING**
 Date: **02-Sep-13**

Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS, IM99 1NJ,
 Isle of Man
 Tel: 01624 646464

- 9 SEP 2013	
CL No:	
RL:	SD
Seen by:	
To:	Small
To:	

Statement Number: 001 Of 2013
 Opening Balance: 0.00 CR
 Total Paid In: 1,011.00
 Total Withdrawn: 282.50
Closing Balance: 728.50 CR

102069520202569902021

THE SECRETARY
 ZEPTUNUS LIMITED
 1ST FLOOR, RAGNALL HOUSE
 18 PEEL ROAD
 DOUGLAS
 ISLE OF MAN IM1 4LZ

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
22-Aug-13				OPENING BALANCE			0.00 CR
2-Aug-13	78699935	27-Aug	BGC	CHQ IOM GOU		1,011.00	1,011.00 CR
28-Aug-13	78768988		FPS	32941	282.00		
28-Aug-13	78768988		CHG	FPS PAYMENT	0.50		
				CLOSING BALANCE			728.50 CR

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
 TRF - Internal Transfer TXN - Transaction

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Account For: ZEPTUNUS LIMITED

Account Name: Cash Management Account
Account Number: 5880-58608545
IBAN: GB60RBOS16588058608545
Branch: RBOSIMDX
Currency: U.S. DOLLAR
Statement Date: 04-Jan-16



Isle of Man Branch,
PO Box 151,
Royal Bank House, 2 Victoria Street,
DOUGLAS, IM99 1NJ,
Isle of Man
Tel: 01624 646464

14 JAN 2016	
CL No:	
RL:	
Seen by:	
To:	IR
To:	YS

Statement Number: 001 Of 2016
 Opening Balance: 532,423.43 CR
 Total Paid In: 0.00
 Total Withdrawn: 5,854.16
 Closing Balance: 526,569.27 CR

EQUIOM (ISLE OF MAN) LIMITED
JUBILEE BUILDINGS
VICTORIA STREET
DOUGLAS
ISLE OF MAN IM1 2SH

4911A0200001287274

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
02-Oct-15				OPENING BALANCE			532,423.43 CR
28-Oct-15	95987100		TRF	FX RE FEES	5,854.16		
				CLOSING BALANCE			526,569.27 CR

Note: Unless otherwise stated, value date = transaction date

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DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
TRF - Internal Transfer TXN - Transaction

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Statement For: **ZEPTUNUS LIMITED**

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Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **U.S. DOLLAR**
 Date: **02-Apr-15**

Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS. IM99 1NJ.
 Isle of Man
 Tel: 01624 646464

28 APR 2015	
CL No:	
RL:	
Seen by:	
To:	SC
To:	LN

Statement Number: 002 Of 2015
 Opening Balance: 550,067.72 CR
 Total Paid In: 0.00
 Total Withdrawn: 8,422.70
 Closing Balance: 541,645.02 CR

EQUIOM (ISLE OF MAN) LIMITED
 JUBILEE BUILDINGS
 VICTORIA STREET
 DOUGLAS
 ISLE OF MAN IM1 2SH

9664440000020209595600

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
02-Jan-15				OPENING BALANCE			550,067.72 CR ✓
09-Jan-15	89782048		OPO	36722	4,640.79		
09-Jan-15	89782048		CHG	CHAPS CHARGE	35.58		545,391.35 CR
23-Jan-15	89994146		TRF	1501566	3,746.33		
				CLOSING BALANCE			541,645.02 CR ✓

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Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
 TRF - Internal Transfer TXN - Transaction

Page 1 of 1

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8

Statement For: ZEPTUNUS LIMITED

Account Type: Cash Management Account
Account Number: 5880-58608545
IBAN: GB60RBOS16588058608545
BIC: RBOSIMDX
Currency: U.S. DOLLAR
Date: 02-Jan-15



11015 ✓

Isle of Man Branch,
PO Box 151,
Royal Bank House, 2 Victoria Street,
DOUGLAS, IM99 1NJ.
Isle of Man
Tel: 01624 646464

EQUIOM (ISLE OF MAN) LIMITED
JUBILEE BUILDINGS
VICTORIA STREET
DOUGLAS
ISLE OF MAN IM1 2SH

Statement Number: 001 Of 2015
Opening Balance: 551,670.78 CR
Total Paid In: 0.00
Total Withdrawn: 1,603.06
Closing Balance: 550,067.72 CR

90424240000206060600

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
02-Oct-14				OPENING BALANCE			551,670.78 CR
28-Oct-14	88139473		TRF	CL11015 CLOSING BALANCE	1,603.06		550,067.72 CR ✓

7 0 JAN 2015	
Cl No.	
RL	
Seen by	
To	SC
To	LN

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
TRF - Internal Transfer TXN - Transaction

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Accounts: Statement

User: reid01

Date: 04/07/2014

Time: 10:50:55

A/c Set : All

A/c Short Name : Zeptunus Ltd

A/c Number : 5880-58608545

Sort Code: 16-58-80

A/c Number: 5880-58608545

A/c Short Name: Zeptunus Ltd

A/c Type: Cash Management Account

Ccy: USD

IBAN: GB60RBOS16588058608545

BIC: RBOSIMDX

Reporting Ccy: USD

Date From: 01/04/2014

Date To: 30/06/2014

A/c Name: ZEPTUNUS LIMITED

Date	Value Date	Bank Ref.	Description	Withdrawn	Paid in	Balance
01/04/2014		0	Balance Brought Forward			556,816.11
			Total	0.00	0.00	

Statement For: ZEPTUNUS LIMITED

LL11015 ✓



Account Type: Cash Management Account
Account Number: 5880-58608545
IBAN: GB60RBOS16588058608545
BIC: RBOSIMDX
Currency: U.S. DOLLAR
Date: 02-Jul-14

Isle of Man Branch,
PO Box 151,
Royal Bank House, 2 Victoria Street,
DOUGLAS, IM99 1NJ.
Isle of Man
Tel: 01624 646464

611224100000205010600

EQUIOM (ISLE OF MAN) LIMITED
JUBILEE BUILDINGS
VICTORIA STREET
DOUGLAS
ISLE OF MAN IM1 2SH

Statement Number: 003 Of 2014
Opening Balance: 556,816.11 CR
Total Paid In: 0.00
Total Withdrawn: 0.00
Closing Balance: 556,816.11 CR

Table with columns: DATE, OUR REF., VALUE DATE, TXN TYPE, DETAILS, WITHDRAWN, PAID IN, BALANCE. Includes rows for 02-Apr-14 with opening and closing balance entries.

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
TRF - Internal Transfer TXN - Transaction

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Statement For: **ZEPTUNUS LIMITED**

Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **U.S. DOLLAR**
 Date: **02-Apr-14**



Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS, IM99 1NJ,
 Isle of Man
 Tel: 01624 646464

11015
 SD
 ✓

25 APR 2014	
CL No:	
RL:	
Seen by:	<i>[Signature]</i>
To:	<i>CM</i>
To:	

Statement Number: 002 Of 2014
 Opening Balance: 561,324.37 CR
 Total Paid In: 0.00
 Total Withdrawn: 4,508.26
 Closing Balance: 556,816.11 CR

EQUIOM (ISLE OF MAN) LIMITED
 JUBILEE BUILDINGS
 VICTORIA STREET
 DOUGLAS
 ISLE OF MAN IM1 2SH

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
02-Jan-14				OPENING BALANCE			561,324.37 CR
18-Feb-14	82576586		OPO	EA (UK) LLP	299.29		
18-Feb-14	82576586		CHG	CHAPS CHARGE	39.56		
18-Feb-14	82576587		TRF	5880-58335131	4,169.41		
				CLOSING BALANCE			556,816.11 CR

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
 TRF - Internal Transfer TXN - Transaction

Fup bilaga 3

481

The Royal Bank of Scotland International Limited (RBS International). RBS International is a member of the Royal Bank of Scotland Group. RBS International is a member of the Depositors' Compensation Scheme (DCS) as set out in the Depositors' Compensation Scheme Regulations 2006. Details of the scheme are available on request. RBS International is a participant in the Guernsey Banking Depositor Compensation Scheme. The Scheme offers protection for eligible deposits up to £50,000, subject to certain limitations. The maximum total amount of compensation is capped at £100,000,000 in any 5 year period. Details are available from: Website: www.dcs.gg. Telephone: +44 (0)1481 722765. Post: P.O. Box 380, St Peter Port, GY1 3FY. Deposits made in a Guernsey Branch will not be covered by any equivalent scheme in any other jurisdiction. RBS International is a participant in the Jersey Banking Depositor Compensation Scheme. The Scheme offers protection for eligible deposits of up to £50,000. The maximum total amount of compensation is capped at €100,000,000 in any 5 year period. Full details of the Scheme and banking groups covered are available on the States of Jersey website or on request.



Statement For: **ZEPTUNUS LIMITED**



Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **U.S. DOLLAR**
 Date: **02-Jan-14**

24 JAN 2014	
CL No	
RL	
Seen by:	
To:	SD
To:	OT

Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS, IM99 1NJ,
 Isle of Man
 Tel: 01624 646464

EQUIOM (ISLE OF MAN) LIMITED
 JUBILEE BUILDINGS
 VICTORIA STREET
 DOUGLAS
 ISLE OF MAN IM1 2SH

Statement Number: 001 Of 2014
 Opening Balance: 561,324.37 CR
 Total Paid In: 0.00
 Total Withdrawn: 0.00
 Closing Balance: 561,324.37 CR

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
13-Dec-13				OPENING BALANCE			561,324.37 CR
				CLOSING BALANCE			561,324.37 CR

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
 TRF - Internal Transfer TXN - Transaction



Statement For: **ZEPTUNUS LIMITED**

Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **U.S. DOLLAR**
 Date: **13-Dec-13**

19 DEC 2013	
CL No:	
RL:	S/O
Seen by:	
To:	AT
To:	



Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS, IM99 1NJ,
 Isle of Man
 Tel: 01624 646464

Statement Number: 005 Of 2013
 Opening Balance: 562,642.06 CR
 Total Paid In: 0.00
 Total Withdrawn: 1,317.69
 Closing Balance: 561,324.37 CR

CITY TRUST LIMITED
 1ST FLOOR
 JUBILEE BUILDINGS
 VICTORIA STREET DOUGLAS
 ISLE OF MAN IM1 2SH

212111000100191000

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
01-Nov-13				OPENING BALANCE			562,642.06 CR
26-Nov-13	80817158		FX	GBP 602.95	1,000.00		561,642.06 CR
05-Dec-13	81009004		OPO	Z039	292.48		
05-Dec-13	81009004		CHG	CHAPS CHARGE	25.21		
				CLOSING BALANCE			561,324.37 CR

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
 TRF - Internal Transfer TXN - Transaction

Statement For: **ZEPTUNUS LIMITED**

Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **U.S. DOLLAR**
 Date: **01-Nov-13**



Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS. IM99 1NJ.
 Isle of Man
 Tel: 01624 646464

2020649007071400000

THE SECRETARY
 ZEPTUNUS LIMITED
 1ST FLOOR, RAGNALL HOUSE
 18 PEEL ROAD
 DOUGLAS
 ISLE OF MAN IM1 4LZ

11 NOV 2013	
CL No	11015
RL	
Seen by	
To	SD
To	AT

Statement Number: 004 Of 2013
 Opening Balance: 474,922.05 CR
 Total Paid In: 87,732.00
 Total Withdrawn: 11.99
 Closing Balance: 562,642.06 CR

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
01-Oct-13				OPENING BALANCE			474,922.05 CR
15-Oct-13	80152867		CHG	INWARD PAYMENT CHG	11.99		
15-Oct-13	80152867		IPO	TRANSACTION AND SERV		87,732.00	
				CLOSING BALANCE			562,642.06 CR

17 NOV 2013	
CL No:	
RL:	
Seen by:	
To:	
To:	

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
 TRF - Internal Transfer TXN - Transaction

Fup bilaga 3

484



Account Type: **Cash Management Account**
 Account Number: **5880-58608545**
 IBAN: **GB60RBOS16588058608545**
 BIC: **RBOSIMDX**
 Currency: **U.S. DOLLAR**
 Date: **02-Sep-13**

Isle of Man Branch,
 PO Box 151,
 Royal Bank House, 2 Victoria Street,
 DOUGLAS. IM99 1NJ.
 Isle of Man
 Tel: 01624 646464

- 9 SEP 2013

CL No	
RL:	SD
Seen by:	
To:	G Mark
To:	

Statement Number: 002 Of 2013
 Opening Balance: 305,338.58 CR
 Total Paid In: 175,464.00
 Total Withdrawn: 5,880.53
 Closing Balance: 474,922.05 CR

202069520E0E1E4E600

THE SECRETARY
 ZEPTUNUS LIMITED
 1ST FLOOR, RAGNALL HOUSE
 18 PEEL ROAD
 DOUGLAS
 ISLE OF MAN IM1 4LZ

DATE	OUR REF.	VALUE DATE	TXN TYPE	DETAILS	WITHDRAWN	PAID IN	BALANCE
01-Aug-13				OPENING BALANCE			305,338.58 CR
18-Aug-13	78656016		CHG	INWARD PAYMENT CHG	11.74		
20-Aug-13	78656016		IPO	TRANSACTION AND SERV		175,464.00	480,790.84 CR
23-Aug-13	78721482		OPO	CITY TRUST CLIENTS	4,311.77		
23-Aug-13	78721482		CHG	CHAPS CHARGE	23.95		
23-Aug-13	78721483		TRF	5880-58335131	1,533.07		
				CLOSING BALANCE			474,922.05 CR

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
 DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
 OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
 TRF - Internal Transfer TXN - Transaction

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Statement For: ZEPTUNUS LIMITED

11015



Account Type: Cash Management Account
Account Number: 5880-58608545
IBAN: GB60RBOS16588058608545
BIC: RBOSIMDX
Currency: U.S. DOLLAR
Date: 01-Aug-13

Isle of Man Branch,
PO Box 151,
Royal Bank House, 2 Victoria Street,
DOUGLAS. IM99 1NJ.
Isle of Man
Tel: 01624 646464

Stamp: - 8 AUG 2013
Table with fields: CL No, RL, Seen by, to

THE SECRETARY
ZEPTUNUS LIMITED
1ST FLOOR, RAGNALL HOUSE
18 PEEL ROAD
DOUGLAS
ISLE OF MAN IM1 4LZ

Statement Number: 001 Of 2013
Opening Balance: 0.00 CR
Total Paid In: 305,350.00
Total Withdrawn: 11.42
Closing Balance: 305,338.58 CR

000020401010570101

Table with columns: DATE, OUR REF., VALUE DATE, TXN TYPE, DETAILS, WITHDRAWN, PAID IN, BALANCE. Rows include: 31-Jul-13 OPENING BALANCE, 1-Jul-13 INWARD PAYMENT CHG, 31-Jul-13 TRANSACTION FEES. RF, CLOSING BALANCE.

Note: Unless otherwise stated, value date = transaction date

BAC - Automated Credit BGC - Bank Giro Credit CHG - Charges CHQ - Cheque CR - Credit Balance D/D - Direct Debit DFT - Draft Issue
DR - Debit Balance FTL - Fixed Term Loan FX - Foreign Exchange INT - Interest IPO - Inward Payment MMD - Money Market Deposit
OPO - Outward Payment REF - Transaction Reference Number REV - Reversal S/O - Standing Order SEP - Euro Standard Payment
TRF - Internal Transfer TXN - Transaction

Payments:Inter-Account Transfer

User: kayleigh
Date: 06/09/2016
Time: 10:55:39

Payment ID: 20321987

This payment is not currently batched

Account to be Debited

A/c Short Name : Zeptunus Ltd

A/c Name : ZEPTUNUS LIMITED

A/c Number : 5880-58608545

Account to be Credited

A/c Short Name : 5880-58335131

A/c Name : EQUIOM/JOM LIMITED

A/c Number : 5880-58335131

Payment Details

Value Date : 06/09/2016

Auto Rate : 1.366530

Accept Auto Rate : Yes

Earliest Value Date : No

Debit Amount : 5,643.91

Currency : USD

Payer Reference :
1604523/16071580

Credit Amount : 4,130.10 ✓

Currency : GBP

Payee Reference :
1604523/16071580

Preparer ID: kayleigh

First Authoriser: == None ==

Second Authoriser: == None ==

Third Authoriser: == None ==

Last update by: kayleigh

Status : Unsent

Reason for Rejection :

	Date	Initials
Refer to client transactions section of Admin manual and where applicable	0609	KB
Up to date KYC held:	NO	KB
Call back completed:	NA	KB
<i>no sanctions</i>	0609	KB
Input/prepared by:	0609	KB
Back up documents attached:	0609	KB
Back up docs & payment checked (TL or above):	..	✓
Authorised:	✓	✓
Authorised:	..	✓

Print seen 6/9/16 4/14

Zeptunus Limited
Jubilee Buildings
Victoria Street
Douglas
Isle of Man
IM1 2SH

Date and tax point: 21 April 2016
VAT registration no. 002 5693 03
Fee No. 1604523
Our reference: IMF/EJC/YSY/SJF.CL11015

Professional services rendered during the quarter ended 31 March 2016.	4,310.00
General Disbursements (Telephone, fax, stationery, etc)	215.50
	<hr/>
	4,525.50
VAT @ 20%	905.10
	<hr/>
Payable on presentation	£ <u>5,430.60</u>

Please quote our client reference and invoice number(s) with your remittance.

Our electronic banking details are as follows:

Bank: RBS International Sort Code: 16-58-80 Account: 58335131 Account name: Equiom (Isle of Man) Limited
IBAN: GB53RBOS16588058335131 BIC: RBOSIMDX

In accordance with our standard terms and conditions, we reserve the right to charge interest at the rate of 1.5% per month.

Zeptunus Limited
Jubilee Buildings
Victoria Street
Douglas
Isle of Man
IM1 2SH

Date and tax point: 29 July 2016
VAT registration no. 002 5693 03
Fee No. 16071580
Our reference: IMF/EJC/YSY/SJF.CL11015

Professional services rendered during the quarter ended 30 June 2016.	1,825.00
General Disbursements (Telephone, fax, stationery, etc)	91.25
	<hr/>
	1,916.25
VAT @ 20%	383.25
	<hr/>
Payable on presentation	£ 2,299.50

Please quote our client reference and invoice number(s) with your remittance.

Our electronic banking details are as follows:

Bank: RBS International Sort Code: 16-58-80 Account: 58335131 Account name: Equiom (Isle of Man) Limited
IBAN: GB53RBOS16588058335131 BIC: RBOSIMDX

In accordance with our standard terms and conditions, we reserve the right to charge interest at the rate of 1.5% per month.

Accounts: Balance List

User: kayleigh
Date: 06/09/2016
Time: 10:40:44

A/c Set : All
 A/c Short Name : Zeptunus Ltd
 A/c Number : 5880-58608545

Balance Date : 06/09/2016

A/c Short Name	A/c Number	A/c Type	Ccy	Maturity Date	Fixture Amount	Today: Avail	Today: Avail + UnClrd	Cr Interest	Dr Interest	Neg Cr Interest	Last Night: Avail	Last Night: Avail + UnClrd
Zeptunus Ltd	5880-58608545	CM	USD			512,877.71	512,877.71	0.00	0.00	0.00	512,877.71	512,877.71
Zeptunus Ltd	5880-58608545	CM	GBP			405.41	405.41	0.26	0.00	0.00	405.41	405.41

Debtor history for individual client



CL11015 : Zeptunus Limited

Date	Transaction	Ref	Fee £	VAT £	Total £	Outstanding £
06/09/16	Balance Outstanding					4,130.10
29/07/16	Invoice	16071580	1,916.25	383.25	2,299.50	2,299.50
18/07/16		CR037259			(3,600.00)	-
21/04/16	Invoice	1604523	4,525.50	905.10	5,430.60	1,830.60
01/03/16		CR034004			(3,676.18)	-
29/01/16	Invoice	1601910	3,063.48	612.70	3,676.18	-
28/10/15		CR030522			(3,725.70)	-
24/10/15	Invoice	1510516	1,254.75	250.95	1,505.70	-
30/09/15	Invoice	RF15092604	1,850.00	370.00	2,220.00	-
24/08/15		CR028150			(1,467.90)	-
16/07/15	Invoice	1507271	1,223.25	244.65	1,467.90	-
27/04/15	Receipt	CR025815			(1,285.20)	-
20/04/15	Invoice	1504253	1,071.00	214.20	1,285.20	-
23/01/15	Receipt	CR023724			(2,438.10)	-
20/01/15	Invoice	1501566	2,031.75	406.35	2,438.10	-
28/10/14	Receipt	CR021871			(970.20)	-
17/10/14	Invoice	1410276	808.50	161.70	970.20	-
30/09/14	Invoice	RF14091662	1,850.00	370.00	2,220.00	-
29/09/14	Receipt	CR021043			(2,220.00)	-
13/08/14	Receipt	CR020057			(420.00)	-
30/07/14	Invoice	1407863	350.00	70.00	420.00	-
25/07/14	Receipt	CR019693			(834.00)	-
26/04/14	Invoice	1404847	695.00	139.00	834.00	-
18/02/14	Receipt	CR016828			(2,424.00)	-
23/01/14	Invoice	1401596	2,020.00	404.00	2,424.00	-
26/11/13	Receipt	CR015618			(1,074.00)	-
25/10/13	Invoice	1310662	895.00	179.00	1,074.00	-
23/08/13	Receipt	CR013575			(960.00)	-
16/07/13	Invoice	1307391	800.00	160.00	960.00	-

11015
11015 ✓

NAV Payment

Status: **Authorised**

Py Ref: **PY00005681**

Name: **Zeptunus Limited**
 Client code: **CL11015**

Date created: **18/07/2016**
 Time created: **9:46:20 AM**

From Account

Account: **RBSI Current** Available balance after transaction (est): **513,088.80 USD**
 Account number: **5880-58608545** Number: **BA002**

Payment Details

Value date: **18/07/2016**
 Type: **Internal Transfer**
 Sub Type: **Transfer within Client**

Earliest Val Date: **No**
 From Value (est): **3,446.36 USD**
 To Value: **2,500.00 GBP**

Internal Transfer Details

Transfer to: **CL11015 Zeptunus Limited** Bank: **BA001**

From narrative: **inter acc cover fees** To narrative: **inter acc cover fees**

Input by: **KBRENNAN** Checked by: **ECORLETT**

Batch Authoriser 1: *HC* Batch Authoriser 2: *EC*

Book-keeping entered on the payment					
Account type	Account num	Description	CCY	Amount	Amount (LCY)
Bank Account	BA002	inter acc cover fees	USD	(3,446.36)	(2,500.00)
Bank Account	BA001	inter acc cover fees	GBP	2,500.00	2,500.00

~~XXXXXXXXXXXX~~
 RY00005681

Zeptunus Limited
 Jubilee Buildings
 Victoria Street
 Douglas
 Isle of Man
 IM1 2SH

Date and tax point: 21 April 2016
 VAT registration no. 002 5693 03
 Fee No. 1604523
 Our reference: IMF/EJC/YSY/SJF.CL11015

	Date	Initials
Refer to client transactions section of Admin manual and where applicable	18/07	KB
Up to date KYC held:	no	KB
Call back completed:	no	KB
no sanctions	18/07	KB
Input/prepared by:	18/07	KB
Back up documents attached:	18/07	KB
Back up docs & payment checked (TL or above):	18/07	eg
Authorised:		
Authorised:		

Professional services rendered during the quarter ended 31 March 2016.	4,310.00
General Disbursements (Telephone, fax, stationery, etc)	215.50
	<hr/>
	4,525.50
VAT @ 20%	905.10
	<hr/>
Payable on presentation	£ 5,430.60

inter acc transfer of USD ^{3446.36} ~~3469.79~~ = (GBP 2,500) to
 pay equiom fees. (seperate payment).

(There was already £1,475.41, but need to pay £3,600).

Please quote our client reference and invoice number(s) with your remittance.

Our electronic banking details are as follows:
 Bank: RBS International Sort Code: 16-58-80 Account: 58335131 Account name: Equiom (Isle of Man) Limited
 IBAN: GB53RBOS16588058335131 BIC: RBOSIMDX

In accordance with our standard terms and conditions, we reserve the right to charge interest at the rate of 1.5% per month.

Yuliya Sasina-Yates

From: Isobel Foster
Sent: 14 July 2016 15:58
To: Ian Mudie; Yuliya Sasina-Yates
Cc: Emma Corlett
Subject: RE: Z0039 Zeptunus Limited - VAT QE 30/06/16

Yes

Isobel Foster BA (Econ), FCA, ACII, TEP
Senior Manager - Client Services

Equiom

Equiom (Isle of Man) Limited
Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH
Tel: +44 1624 652061 Main: +44 1624 699000 Fax: +44 1624 699001 Mob: +44 7624 487284
isobelfoster@equiomgroup.com
www.equiomgroup.com

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Registered Office: First Floor, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH. Registered in the Isle of Man: No 011582C
You are advised to view our [email disclaimer](#)

From: Ian Mudie
Sent: 14 July 2016 15:56
To: Isobel Foster <IsobelFoster@equiomgroup.com>; Yuliya Sasina-Yates <YuliyaSasina-Yates@equiomgroup.com>
Cc: Emma Corlett <EmmaCorlett@equiomgroup.com>
Subject: RE: Z0039 Zeptunus Limited - VAT QE 30/06/16

+ VAT!

£ 3000 + 20% VAT = £ 3600.

Ian Mudie FCA, TEP
Manager - Client Services

Equiom

Equiom (Isle of Man) Limited
Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH
Tel: +44 1624 652119 Main: +44 1624 699000 Fax: +44 1624 699001 Mob: +44 7624 201294
ianmudie@equiomgroup.com
www.equiomgroup.com

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Registered Office: First Floor, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH. Registered in the Isle of Man: No 011582C
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From: Isobel Foster
Sent: 14 July 2016 15:38
To: Yuliya Sasina-Yates <YuliyaSasina-Yates@equiomgroup.com>
Cc: Emma Corlett <EmmaCorlett@equiomgroup.com>; Ian Mudie <IanMudie@equiomgroup.com>
Subject: RE: Z0039 Zeptunus Limited - VAT QE 30/06/16

So let us take the £3000 (In good faith) now !

Isobel Foster BA (Econ), FCA, ACII, TEP
Senior Manager - Client Services

Equiom

Equiom (Isle of Man) Limited
Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH

Tel: +44 1624 652061 Main: +44 1624 699000 Fax: +44 1624 699001 Mob: +44 7624 487284
isobelfoster@equiomgroup.com
www.equiomgroup.com

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Registered Office: First Floor, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH. Registered in the Isle of Man: No 011582C
You are advised to view our [email disclaimer](#)

From: Yuliya Sasina-Yates
Sent: 14 July 2016 10:39
To: Isobel Foster <IsobelFoster@equiomgroup.com>
Cc: Emma Corlett <EmmaCorlett@equiomgroup.com>; Ian Mudie <IanMudie@equiomgroup.com>
Subject: FW: Z0039 Zeptunus Limited - VAT QE 30/06/16

Good morning Isobel,

Please see the latest from Christer.

I will reply regarding his points, however, just wanted to check that my understanding is correct and he agreed to pay part of the outstanding fee - £3000?

Thank you
Yuliya

Yuliya Sasina-Yates BA (Hons), Dip.ICSA
Senior Administrator - Client Services

Equiom

Equiom (Isle of Man) Limited
Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH
Tel: +44 1624 696603 Main: +44 1624 699000 Fax: +44 1624 699001
yuliyasasina-yates@equiomgroup.com
www.equiomgroup.com

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Registered Office: First Floor, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH. Registered in the Isle of Man: No 011582C
You are advised to view our [email disclaimer](#)

From: Christer Deckmark [<mailto:christer.deckmark@btinternet.com>]
Sent: 14 July 2016 10:35
To: Yuliya Sasina-Yates <YuliyaSasina-Yates@equiomgroup.com>
Subject: RE: Z0039 Zeptunus Limited - VAT QE 30/06/16

This message originated from outside your organization

Dear Yuliya

Vicky called yesterday and said she got some material from yourselves. Could you enlighten me what you have sent to Vicky.

EAGK are in control, I hope, regarding VAT and I have asked Elias to liaise with yourselves. EAGK are also preparing Annual Report for 2015.

Regarding invoice – it is right that I and Isobel have an discussion regarding last invoice that I believe is to high – but in good faith I can authorise you to pay £3,000 now.

Regards
Christer

PS
I am on holiday and are not reading e-mails everyday

From: Yuliya Sasina-Yates [<mailto:YuliyaSasina-Yates@equiomgroup.com>]
Sent: den 13 juli 2016 17:31
To: 'Christer Deckmark'; 'Ulf Deckmark'
Cc: Isobel Foster; Emma Corlett
Subject: FW: Z0039 Zeptunus Limited - VAT QE 30/06/16

Dear Christer,

I hope this finds you well.

I wonder if you have heard from Vicky Dyson regarding the transfer of Zeptunus Ltd. I understand that they should now be in receipt of the copies of your due diligence. Please let us know if further action on our side is required.

We received a notice from EAGK that last quarter's VAT return is due by 31 July 2016. I know that you have corresponding with Isobel to agree the payment of our outstanding fee. There would be no problem for us to provide all the necessary information, however, as it is chargeable work, we would like to ascertain your approval before we proceed.

Thank you and kind regards
Yuliya

Yuliya Sasina-Yates BA (Hons), Dip.ICSA
Senior Administrator - Client Services

Equiom

Equiom (Isle of Man) Limited
Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH
Tel: +44 1624 696603 Main: +44 1624 699000 Fax: +44 1624 699001
yuliyasasina-yates@equiomgroup.com
www.equiomgroup.com

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Registered Office: First Floor, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH. Registered in the Isle of Man: No 011582C
You are advised to view our [email disclaimer](#)

From: Andrea Petrou [<mailto:Andrea@eagk.com>]
Sent: 13 July 2016 16:09
To: Yuliya Sasina-Yates <YuliyaSasina-Yates@equiomgroup.com>
<VickiClucas@equiomgroup.com>
Subject: RE: Z0039 Zeptunus Limited - VAT QE 30/06/16

This message originated from outside your organization

Vicki – thanks for letting me know.

Hi Yuliya,

We are writing to remind you that the company's VAT Return for the quarter ended 30 June 2016 is now due. The deadline for the return to be completed and submitted to HM Revenue and Customs is 31 July 2016.

We would be grateful if you could let us have all the relevant information as soon as possible but in any event no later than Friday 15 July 2016. This will enable us to complete your VAT Return and forward the draft figures to you for your approval before we file the VAT Return Online by the due date.

If you have any queries, please do let me know.

Kind regards,

Andrea Petrou

EAGK LLP | Registered in England & Wales Number OC397037 | 869 High Road, London N12 8QA

E: andrea@eagk.com | T: +44 (0)20 8445 5500 | F: +44 (0)20 8369 5445 | W: www.eagk.com

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Virusfritt. www.avast.com

Accounts: Balance List

User: ysyates

Date: 15/07/2016

Time: 09:49:36

A/c Set : All

A/c Short Name : Zeptunus Ltd

A/c Number : 5880-58608545

Balance Date : 15/07/2016

A/c Short Name	A/c Number	A/c Type	Ccy	Maturity Date	Fixture Amount	Today: Avail	Today: Avail + UnClrd	Cr Interest	Dr Interest	Neg Cr Interest	Last Night: Avail	Last Night: Avail + UnClrd
Zeptunus Ltd	5880-58608545	CM	USD			516,535.16	516,535.16	0.00	0.00	0.00	516,535.16	516,535.16
Zeptunus Ltd	5880-58608545	CM	GBP			1,475.41	1,475.41	0.12	0.00	0.00	1,475.41	1,475.41

Payments:Foreign Payment

User: ysyates
Date: 08/04/2016
Time: 11:35:38

Payment ID: 19512838

This payment is not currently batched

Account To Be Debited

A/c Short Name : Zeptunus Ltd

A/c Name : ZEPTUNUS LIMITED
 A/c Number : 5880-58608545

Account To Be Credited

Directory :

Beneficiary :

A/c Name : Revidentia AB

A/c Number : SE7480000832799343519832

Beneficiary Address :

Oesterlanggatan 43, 4tr
 11131 Stockholm, Sweden

BIC Code : SWEDSESS

Bank Name : se Viste Sparbank

Bank Country : Sweden

Bank Address :

PO Box 210

467 23 Grästorp

Grästorp

Payment Details

Value Date : 11/04/2016

Earliest Value Date : No

Debit Amount : 5,576.83

Credited Amount : 44,400.00

Customer To Sending Bank Information (optional) :

Auto Rate : 7.961512

Currency : USD

Currency : SEK

Accept Auto Rate : Yes

Payer Reference : Inv14115/14138/14139

Payment Method : Express

Customer To Customer Instructions :

Zeptunus - invoices

By Order Of :

A/c Name : ZEPTUNUS LIMITED

A/c Number : 5880-58608545

Correspondent Bank Details (Information only) :

Apply Charges To

A/c Short Name : Zeptunus Ltd

Type : Payer pays all charges

Currency : USD

Preparer ID: ysyates

First Authoriser: == None ==

Second Authoriser: == None ==

Third Authoriser: == None ==

Last update by: ysyates

Status : Unsent

	Date	Initials
Reason for Rejection		
Refer to client transactions section of Admin manual and where applicable	8/4/16	YSY
Up to date KYC held:	8/4/16	YSY
Call back completed:	N/R	YSY
NO SANCTIONS APPLY	8/4/16	YSY
Input/prepared by:	8/4/16	YSY
Back up documents attached:	8/4/16	YSY
Back up docs & payment checked (TL or above):	8/4/16	YSY
Authorised:		
Authorised:		



REVIDENTIA

Faktura

Fakt nr / Kundnr

14115

PKF-6

Fakturadatum

2015-12-28

Fakturaadress

Zeptunus Ltd

Att: Ulf Deckmark

Jubilee Buildings, Victoria Street

Isle of Man IM1 2SH

Er referens

Ert ordernr

Leveransvillkor

Leveranssätt

Leveransdatum 2015-12-28

Ert VAT-nummer GB 003894088

Vår referens

Betaltingsvillkor 10 dagar netto

Förfalldatum 2016-01-07

Dröjsmålsränta 9,50 %

Artnr	Benämning	Lev ant	Enh	å-pris	Rabatt	Summa
-------	-----------	---------	-----	--------	--------	-------

Avvik leveransdatum

	Fee for investigation of tax consequences for the beneficiary including two meetings Payment in SEK					18 600,00
--	--	--	--	--	--	-----------

Netto
18 600,00**ATT BETALA**
18 600,00

For international payment SWEDBANK IBAN SE74 8000 0832 7993 4351 9832 BIC SWEDSESS

Adress
Revidentia ABÖsterlånggatan 43, 4 tr
111 31 Stockholm
SverigeTelefon
+46-8 12134100Fax
+46-8 660 30 06Bankgiro
156-2263
Organisationsnr
556213-4071e-post
sylvia.ceamanos@revidentia.se
Momsreg.nr
SE556213407101



REVIDENTIA

Faktura

Fakt nr / Kundnr

14139

PKF-6

Fakturadatum

2016-03-01

Fakturaadress

Zeptunus Ltd

Att: Ulf Deckmark

Jubilee Buildings, Victoria Street

Isle of Man IM1 2SH

Er referens

Ert ordernr

Leveransvillkor

Leveranssätt

Leveransdatum 2016-03-01

Ert VAT-nummer GB 003894088

Vår referens

Betaltingsvillkor 10 dagar netto

Förfalldatum 2016-03-11

Dröjsmålsränta 9,50 %

Artnr	Benämning	Lev ant	Enh	å-pris	Rabatt	Summa
-------	-----------	---------	-----	--------	--------	-------

Avvik leveransdatum

	Fees for services regarding tax consultancy during february PAYMENT IN SEK					12 000,00
--	--	--	--	--	--	-----------

Netto
12 000,00**ATT BETALA**
12 000,00

For international payment SWEDBANK BIC SWEDSESS IBAN SE74 8000 0832 7993 4351 9832

Adress
Revidentia ABÖsterlånggatan 43, 4 tr
111 31 Stockholm
SverigeTelefon
+46-8 12134100Fax
+46-8 660 30 06Bankgiro
156-2263
Organisationsnr
556213-4071e-post
sylvia.ceamanos@revidentia.se
Momsreg.nr
SE556213407101

Accounts: Balance List

User: ysyates
 Date: 08/04/2016
 Time: 11:27:15

A/c Set : All
 A/c Short Name : Zeptunus Ltd
 A/c Number : 5880-58608545
 Balance Date : 08/04/2016

A/c Short Name	A/c Number	A/c Type	Ccy	Maturity Date	Fixture Amount	Today: Avail	Today: Avail + UnClrd	Cr Interest	Dr Interest	Neg Cr Interest	Last Night: Avail	Last Night: Avail + UnClrd
Zeptunus Ltd	5880-58608545	CM	USD			522,156.36	522,156.36	0.00	0.00	0.00	522,156.36	522,156.36
Zeptunus Ltd	5880-58608545	CM	GBP			1,012.32	1,012.32	0.07	0.00	0.00	1,012.32	1,012.32

* Need to pay SEK 44,400

\$ 1 SEK = 7.961512

* additional loan to BO.

Yuliya Sasina-Yates

From: Isobel Foster
Sent: 08 April 2016 09:49
To: Yuliya Sasina-Yates
Cc: Ian Mudie; Emma Corlett
Subject: FW: Zeptunus Limited

Yuliya – can you please arrange to pay the invoices to the tax advisors. Aidan has agreed that this can be done.

Thanks

Isobel Foster BA (Econ), FCA, ACII, TEP
Senior Manager - Client Services

Equiom

Equiom (Isle of Man) Limited

Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH

Tel: +44 1624 652061 Main: +44 1624 699000 Fax: +44 1624 699001 Mob: +44 7624 487284

isobelfoster@equiomgroup.com

www.equiomgroup.com

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From: Christer Deckmark [mailto:christer.deckmark@btinternet.com]
Sent: 08 April 2016 09:42
To: Isobel Foster <isobelfoster@equiomgroup.com>
Subject: RE: Zeptunus Limited

Dear Ms Foster,

Correct you have not got my replay – due to that I have had to concentrate on a client matter this week and therefore been on a business trip. I am actually still on the trip. But back tomorrow. I will try to deal with it over the weekend. I am sorry for the delay!

One item I would like to raise already due to a phone call I received. You have not paid the invoices as you have said. I have an e-mail confirming payment from you selves , don't like to be given one information and find out that it that was to be economical with the truth.

Pay the invoices as the owner (I) of the company have given you instructions to do.

Have a nice weekend

Yours faithfully
C Deckmark
Owner of Zeptunus Ltd

From: Isobel Foster [mailto:isobelfoster@equiomgroup.com]
Sent: 08 April 2016 09:43
To: Christer Deckmark
Cc: Ian Mudie; Yuliya Sasina-Yates; Ulf Deckmark
Subject: FW: Zeptunus Limited

Dear Mr Deckmark,

I am disappointed that we have not heard from you, further to our call and my e-mail last week.

I wonder if you can give me an update on the position.

Kind regards

Isobel

Isobel Foster BA (Econ), FCA, ACII, TEP
Senior Manager - Client Services

Equiom

Equiom (Isle of Man) Limited

Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH

Tel: +44 1624 652061 Main: +44 1624 699000 Fax: +44 1624 699001 Mob: +44 7624 487284

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From: Isobel Foster

Sent: 01 April 2016 10:23

To: 'Christer Deckmark' <christer.deckmark@btinternet.com>

Cc: Ian Mudie <IanMudie@equiomgroup.com>; Yuliya Sasina-Yates <YuliyaSasina-Yates@equiomgroup.com>; Ulf Deckmark <uffe470@gmail.com>

Subject: Zeptunus Limited

Dear Mr Deckmark,

Further to our telephone call yesterday I note below the further information that we would like to see before we take any further action:-

1. Firstly, I will reiterate that any transfer of the shares in the company will not be backdated – which is the one piece of advice given by the Swedish advisors that we were copied into
2. Tax advice was taken by your brother, at our request, when he wished the directors of Zeptunus to look into a tax efficient manner in which to remove the assets from the company, prior to the company being dissolved. It was suggested that the company engage with the tax advisor so that they could obtain advice directly. Your brother, we understand chose to engage with them personally, and as such has advised that all information provided to him, is personal to him. We have no interest in any matters other than in relation to the company, which may relate to the income earned by the company to date and the distributions made to your brother, either prior to or on liquidation of the company.
3. I am unsure as to whether you have taken tax advice with regard to the implications for your tax affairs should you become the owner of the company, and the subsequent extraction of funds from the company either by distributions or liquidation. We would wish to see a copy of this advice.

Kind regards

Isobel

Isobel Foster BA (Econ), FCA, ACII, TEP
Senior Manager - Client Services

Equiom

Equiom (Isle of Man) Limited

Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH

Tel: +44 1624 652061 Main: +44 1624 699000 Fax: +44 1624 699001 Mob: +44 7624 487284

isobelfoster@equiomgroup.com

www.equiomgroup.com

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Yuliya Sasina-Yates

From: Christer Deckmark <christer.deckmark@btinternet.com>
Sent: 22 March 2016 07:09
To: Yuliya Sasina-Yates
Subject: Zeptunus - requested invoices
Attachments: Invoice 14139.pdf; Invoice 14138.pdf; Invoice 14115.pdf

Dear Ms Sasina-Yates

Enclosed are the invoices that I have instructed to be paid.

They should be paid today and please inform me when so has been done.

Yours faithfully

C Deckmark

Payments:Inter-Account Transfer

User: ysyates
Date: 28/10/2015
Time: 09:09:32

Payment ID: 18625434

This payment is not currently batched

Account to be Debited

A/c Short Name : Zeptunus Ltd

Account to be Credited

A/c Short Name : Zeptunus Ltd

Payment Details

Value Date : 28/10/2015

Earliest Value Date : No

Debit Amount : 5,854.16

Credit Amount : 3,730.00 ✓

Preparer ID: ysyates

First Authoriser: == None ==

Second Authoriser: == None ==

Third Authoriser: == None ==

Last update by: ysyates

Status : Unsent

A/c Name : ZEPTUNUS LIMITED

A/c Number : 5880-58608545 ✓

A/c Name : ZEPTUNUS LIMITED

A/c Number : 5880-58608545 ✓

Auto Rate : 1.569480

Accept Auto Rate : Yes

Currency : USD

Payer Reference : FX RE FEES

Currency : GBP

Payee Reference : FX FROM USD RE FEES

Reason for Rejection :

*Payment 1 of 2.
 FX to GBP to pay Equifax fees.*

	Date	Initials
Refer to client transactions section of Admin manual and where applicable	28/10/15	YSY
Up to date KYC held:	28/10/15	YSY
Call back completed:	N/A	YSY
<i>NO SANCTIONS APPLY</i>	28/10/15	YSY
Input/prepared by:	28/10/15	YSY
Back up documents attached:	28/10/15	YSY
Back up docs & payment checked (TL or above):	28/10/15	lon
Authorised:	✓	YSY
Authorised:	28/10/15	YSY

Payments:Domestic Payment

User: ysyates
 Date: 27/10/2015
 Time: 17:28:42

Payment ID: 18625435

This payment is not currently batched

Account to be Debited

A/c Short Name : Zeptunus Ltd ✓
 A/c Number : 5880-58608545 ✓
 Currency : GBP

Payee to be Credited

Payee Directory Name :
 Payee Short Name :
 A/c Name : EQUIOM IOM LIMITED ✓

Payment Details

Transaction (Debit) Date : 28/10/2015
 Earliest Value Date : No
 Amount : 3,725.70 ✓ ✓
 Type : Payer pays all charges
 Payment Method : BACS/Faster

This payment is not currently batched

Preparer ID: ysyates
 First Authoriser: == None ==
 Second Authoriser: == None ==
 Third Authoriser: == None ==
 Last update by: ysyates
 Status : Unsent

A/c Name : ZEPTUNUS LIMITED
 Payer Reference : RF AND 3Q FEES

A/c Number : 58335131 ✓ ✓
 Sort Code : 16-58-80 ✓
 Payee Reference : RF15092604/1510516

Apply Charges To

A/c Name : ZEPTUNUS LIMITED
 A/c Short Name : Zeptunus Ltd
 Sort Code : 16-58-80
 A/c Number : 5880-58608545
 Currency : GBP

Payment 2 of 2.

Reason for Rejection :

	Date	Initials
Refer to client transactions section of Admin manual and where applicable	28/10/15	Ysy
Up to date KYC held:	28/10/15	Ysy
Call back completed:	N/A	Ysy
<i>NO SANCTIONS APPLY</i>	28/10/15	Ysy
Input/prepared by:	28/10/15	Ysy
Back up documents attached:	28/10/15	Ysy
Back up docs & payment checked (TL or above):	28/10/15	Ysy
Authorised:	✓	Ysy
Authorised:	28/10/15	Ysy

Zeptunus Limited
Jubilee Buildings
Victoria Street
Douglas
Isle of Man
IM1 2SH

Date and tax point: 30 September 2015
VAT registration no. 002 5693 03
Fee No. RF15092604
Our reference: IMF/IDM//SJF.CL11015

Provision of directors for the year ending 30 September 2016.	1,850.00
	<hr/>
	1,850.00
VAT @ 20%	370.00
	<hr/>
Payable on presentation	£ 2,220.00
	<hr/>

Please quote our client reference and invoice number(s) with your remittance.

Our electronic banking details are as follows:

Bank: RBS International Sort Code: 16-58-80 Account: 58335131 Account name: Equiom (Isle of Man) Limited
IBAN: GB53RBOS16588058335131 BIC: RBOSIMDX

In accordance with our standard terms and conditions, we reserve the right to charge interest at the rate of 1.5% per month.

Zeptunus Limited
Jubilee Buildings
Victoria Street
Douglas
Isle of Man
IM1 2SH

Date and tax point: 24 October 2015
VAT registration no. 002 5693 03
Fee No. 1510516
Our reference: IMF/IDM//SJF.CL11015

Professional services rendered during the quarter ended 30 September 2015.	1,195.00
General Disbursements (Telephone, fax, stationery, etc)	59.75
	<hr/>
	1,254.75
VAT @ 20%	250.95
	<hr/>
Payable on presentation	£ 1,505.70

Please quote our client reference and invoice number(s) with your remittance.

Our electronic banking details are as follows:

Bank: RBS International Sort Code: 16-58-80 Account: 58335131 Account name: Equiom (Isle of Man) Limited
IBAN: GB53RBOS16588058335131 BIC: RBOSIMDX

In accordance with our standard terms and conditions, we reserve the right to charge interest at the rate of 1.5% per month.

Accounts: Balance List

User: ysyates

Date: 27/10/2015

Time: 17:22:46

A/c Set : All

A/c Short Name : Zeptunus Ltd

A/c Number : 5880-58608545

Balance Date : 27/10/2015

A/c Short Name	A/c Number	A/c Type	Ccy	Maturity Date	Fixture Amount	Today: Avail	Today: Avail + UnClrd	Cr Interest	Dr Interest	Neg Cr Interest	Last Night: Avail	Last Night: Avail + UnClrd
Zeptunus Ltd	5880-58608545	CM	USD			532,423.43	532,423.43	0.00	0.00	0.00	532,423.43	532,423.43
Zeptunus Ltd	5880-58608545	CM	GBP			899.48	899.48	0.20	0.00	0.00	899.48	899.48

Zeptunus Limited

First Floor, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH
Telephone: +44 (0) 1624-661881 Facsimile: +44 (0) 1624-611423

Our Reference: SD/CL11015

ABS INVESTMENT GROUP
707 Broadway,
San Diego,
California 92101
USA

15 October 2013

INVOICE NO. 3

VAT REGISTRATION NO. GB 003 8940 88

	\$
For consulting services provided.	87,732.00
VAT	0.00
Total	<u>87,732.00</u> =====

Please forward your remittance to the following bank account:

Bank: The Royal Bank of Scotland International Limited
PO Box 151, 2 Victoria Street, Douglas, Isle of Man, IM99 1NJ
Sort Code: 16-58-80
BIC: RBOSIMDX
Account Name: Zeptunus Limited
Account No.: 58608545
IBAN: GB60 RBOS 1658 8058 6085 45

Directors: R.L. Margot, S.G.M. Doyle (Irish). Secretary: R.L. Margot
Registered Office: First Floor, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH
Registered in the Isle of Man Company No. 009110V

Zeptunus Limited

First Floor, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH
Telephone: +44 (0) 1624-661881 Facsimile: +44 (0) 1624-611423

Our Reference: SD/CL11015

ABS INVESTMENT GROUP
707 Broadway,
San Diego,
California 92101
USA

20 August 2013

INVOICE NO. 2

VAT REGISTRATION NO. GB 003 8940 88

	\$
For consulting services provided.	175,464.00
VAT	0.00
Total	=====
	175,464.00
	=====

Please forward your remittance to the following bank account:

Bank: The Royal Bank of Scotland International Limited
PO Box 151, 2 Victoria Street, Douglas, Isle of Man, IM99 1NJ
Sort Code: 16-58-80
BIC: RBOSIMDX
Account Name: Zeptunus Limited
Account No.: 58608545
IBAN: GB60 RBOS 1658 8058 6085 45

Directors: R.L. Margot, S.G.M. Doyle (Irish). Secretary: R.L. Margot
Registered Office: First Floor, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH
Registered in the Isle of Man Company No. 009110V

Zeptunus Limited

First Floor, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH
Telephone: +44 (0) 1624-661881 Facsimile: +44 (0) 1624-611423

Our Reference: SD/CL11015

ABS INVESTMENT GROUP
707 Broadway,
San Diego,
California 92101
USA

31 July 2013

INVOICE NO. 1

VAT REGISTRATION NO. GB 003 8940 88

	\$
For consulting services provided.	305,350.00
VAT	0.00
Total	----- 305,350.00 =====

Please forward your remittance to the following bank account:

Bank: The Royal Bank of Scotland International Limited
PO Box 151, 2 Victoria Street, Douglas, Isle of Man, IM99 1NJ
Sort Code: 16-58-80
BIC: RBOSIMDX
Account Name: Zeptunus Limited
Account No.: 58608545
IBAN: GB60 RBOS 1658 8058 6085 45

Directors: R.L. Margot, S.G.M. Doyle (Irish). Secretary: R.L. Margot
Registered Office: First Floor, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH
Registered in the Isle of Man Company No. 009110V



Your ref: JuBC2018/00401

Our ref: YW/AGCH.1240

**(Please quote reference
on all correspondence)**

4th April 2019

**BY COURIER & EMAIL: Sanna.godeau@gov.se
jerker.asplund@ekobrottsmyndigheten.se
ju.birs@gov.se**

Ms S Godeau
Government Offices of Sweden
Division for Criminal Cases and International Judicial Co-Operation
Central Authority
SE 103 33 Stockholm
Sweden



Dear Madam,

Letter of Request – 29 March 2019 - Max SERWIN & Others

Further to the above letter of request, I confirm that the following documentation has been obtained:

1. Witness statement of Justine Bowen, Senior Manager and Money Laundering Reporting Officer, Equiom (Isle of Man) Limited.
2. Exhibit JB/002

The documentation has been forwarded to you on the basis that it may only be used for the purpose specified in the aforementioned Letter of Request and may not be used for any other purpose.

I believe that this letter of request is now executed in full but if I can be of any further assistance to you in relation to this or any other matter, please do not hesitate to contact me.

Yours sincerely

Ysanne Williamson
Legal Officer
International Cooperation & Asset Recovery Team
ysanne.williamson@gov.im

1. Any legal advice contained in this communication may be subject to Attorney General's privilege, in which case neither the fact of consultation nor the opinion or advice given may be disclosed outside Government without the express consent of the Attorney General.
2. Whilst the legal advice privilege attaching to this communication is always ultimately the privilege of the recipient, the contents are not to be forwarded or quoted in whole or in part without the express consent of the sender.

Witness Statement

Name: Justine Bowen

Date of Birth: 25/11/71

This statement consisting of one page signed by me, is true to the best of my knowledge and belief and I make it knowing that, if it is tendered in evidence, I shall be liable to prosecution if I have wilfully stated in it anything which I know to be false or do not believe to be true.

Dated the 1st day of April 2019

Signed: *Justine Bowen*

I am Justine Bowen and I am a Senior Manager and Money Laundering Reporting Officer for Equiom (Isle of Man) Limited, Jubilee Buildings, Victoria Street, Douglas, Isle of Man, IM1 2SH.

Having been issued with a summons by the High Bailiff under Section 21 of the Criminal Justice Act 1991 to give evidence relating to Zeptunus Limited, I produced a witness statement dated 17 July 2018.

In addition to the documents exhibited in my witness statement dated 17 July 2018, I now exhibit documents relating to the transaction for the sum of USD 493,970.21. These were not originally exhibited due to documents being misfiled and I was unable to locate the documents at the time.

Exhibit JB/002

In order to carry out my duties I have access to all the company records both manual and computerised relating to Equiom (Isle of Man) Limited. The documents to which I refer are derived from and form part of the records relating to Zeptunus Limited and were compiled in the ordinary course of business from information recorded by persons who had, or may reasonably be supposed to have had, personal knowledge of the matters dealt with in the information they supplied. The person or person who supplied the information recorded in the records cannot reasonably be expected to have any recollection of the matters dealt with in the information they supplied.

Signature: *Justine Bowen*

40(2)

User: ysyates
Date: 12/12/2016
Time: 09:28:55

CL 11015 - V.

Payments:Batch Authorisation

Batch : 15058
Type : All Payments
Status : Unsent

Available Authorisers

- A - Adam Beighton (03217157)
- A - Anthony Cashen (03219860)
- A - Barry Smith (03216997)
- A - Chris Nicholls (03219861)
- A - Dawn Ashall (03219865)
- A - Edward Leigh (03219864)
- A - Emma Corlett (03216675)
- A - Fiona Moore (03219859)
- A - Fiona Noon (03211004)
- A - Freddie Culley (03206495)
- A - George Stephen Hull (03217358)
- A - Grant Atchison (03219862)
- A - Ian Mudie (03219843)
- A - Isobel Foster (03213716)
- A - John Ronan (03210999)
- A - Lee Price (03211007)
- A - Lisa Osland (03211002)
- A - Michael McHale (03211006)
- A - Nina Johnston (03217910)
- A - Peter Charles Crossley (03215846)
- A - Robert Young (03211001)
- A - Stephen Gray (03211005)

Authorisation Levels

*ADir	99,999,999,999,999.98
*AA	99,999,999,999,999.98
BA	100,000.00
BB	10,000.00
BDir	100,000.00
*DirDir	99,999,999,999,999.98

Payment ID	Value Date	EVD	Debit Account Short Name	Debit Account Name	Debit Account Number	Ccy From	Amount	Ccy To	Amount Payee	Payee	Account Number	Sort Code / BIC	Charges Paid	Method
20852297	12/12/2016	No	Zeptunus Ltd	ZEPTUNUS LIMITED	5880-58608545	USD	493,970.21	USD	493,970.21	Christer Deckmark	53740062541	ESSESESS	Bene Pay All	Express
20852314	12/12/2016	No	Zeptunus Ltd	ZEPTUNUS LIMITED	5880-58608545	GBP	2,162.54	GBP	2,162.54	Christer Deckmark	53740062541	ESSESESS	Bene Pay All	Express

Input code : 1394
Input value : 9151
Total payments selected : 2
Total Value : 496,132.75

First Authoriser : Isobel Foster (03213716)
Session code :
Authorisation code :
Second Authoriser :
Session code :
Authorisation code :
Third Authoriser :
Session code :
Authorisation code :

00397
239339
18m
00069
183808

User: ysyates
 Date: 09/12/2016
 Time: 10:39:22

Payments:Foreign Payment

Payment ID: 20852297

This payment is not currently batched

Account To Be Debited

A/c Short Name : Zeptunus Ltd

A/c Name : ZEPTUNUS LIMITED

A/c Number : 5880-58608545

Account To Be Credited

Directory :

Beneficiary :

A/c Name : Christer Deckmark

A/c Number : 53740062541

Beneficiary Address :

34 Romfort Road, Pembury, Kent,
 TN2 4JA

BIC Code : ESSESESS ✓

Bank Name : Skandinaviska Enskilda Banken AB

Bank Country : Sweden

Bank Address :

Kungsträdgårdsgatan 8

10640 Stockholm

Stockholm

Payment Details

Value Date : 12/12/2016

Auto Rate : 1.000000

Accept Auto Rate : No

Earliest Value Date : No

Payer Reference : Zeptunus-C Deckmark

Debit Amount : 493,970.21

Currency : USD

Payment Method : Express

Credited Amount : 493,970.21

Currency : USD

Customer To Sending Bank Information (optional) :

Customer To Customer Instructions :

Correspondent Bank Details (Information only) :

By Order Of :

IRVTUS3N

The Bank of New York Mellon

New York

United States of America

Apply Charges To

A/c Short Name : Select...

Type : Beneficiary pays all charges

Currency : USD

Preparer ID: ysyates

First Authoriser: == None ==

Second Authoriser: == None ==

Third Authoriser: == None ==

Last update by: ysyates

Status : Unsent

A/c Name	Date	Initials
Refer to client transactions section of Admin manual and where applicable	09/12/16	Ysy
Up to date KYC held:	09/12/16	Ysy
Call back completed:	01/12/16	Ysy
N.R	09/12/16	Ysy
Input/prepared by:	09/12/16	Ysy
Back up documents attached:	09/12/16	Ysy
Back up docs & payment checked (if applicable):	12.12.16	MF
Authorised:	12.12.16	MF
Authorised:	12/12	MF

Payments:Foreign Payment

User: ysyates
 Date: 09/12/2016
 Time: 10:39:29

Payment ID: 20852314

This payment is not currently batched

Account To Be Debited

A/c Short Name : Zeptunus Ltd

A/c Name : ZEPTUNUS LIMITED

A/c Number : 5880-58608545

Account To Be Credited

Directory :

Beneficiary :

A/c Name : Christer Deckmark

A/c Number : 53740062541

Beneficiary Address :

34 Romfort Road, Pembury, Kent,
 TN2 4JA

BIC Code : ESSESESS

Bank Name : Skandinaviska Enskilda Banken AB

Bank Country : Sweden

Bank Address :

Kungsträdgårdsgatan 8

10640 Stockholm

Stockholm

Payment Details

Value Date : 12/12/2016

Auto Rate : 1.000000

Accept Auto Rate : No

Earliest Value Date : No

Payer Reference : Zeptunus-C Deckmark

Debit Amount : 2,162.54

Currency : GBP

Payment Method : Express

Credited Amount : 2,162.54

Currency : GBP

Customer To Sending Bank Information (optional) :

Customer To Customer Instructions :

Correspondent Bank Details (Information only) :

By Order Of :

ESSEGB2L

Skandinaviska Enskilda Banken AB

London

United Kingdom

Apply Charges To

A/c Short Name : Select...

A/c Name :

Type : Beneficiary pays all charges

A/c Number :

Currency : USD

Preparer ID: ysyates

First Authoriser: == None ==

Second Authoriser: == None ==

Third Authoriser: == None ==

Last update by: ysyates

Status : Unsent

	Date	Initials
Refer to client transactions section of Admin manual and where applicable	09/12/16	YSY
Up to date KYC held:	09/12/16	YSY
Call back completed:	N/A	YSY
	N/A	YSY
Input/prepared by:	09/12/16	YSY
Back up documents attached:	09/12/16	YSY
Back up docs & payment checked (TL or above):	12.12.16	MF
Authorised:	12.12.16	MF
Authorised:	12/12	102

User: ysyates

Date: 09/12/2016

Time: 09:21:24

Accounts: Balance List

A/c Set : All

A/c Short Name : Zeptunus Ltd

A/c Number : 5880-58608545

Balance Date : 09/12/2016

A/c Short Name	A/c Number	A/c Type	Ccy	Maturity Date	Fixture Amount	Today: Avail	Today: Avail + UnClrd	Cr Interest	Dr Interest	Neg Cr Interest	Last Night: Avail	Last Night: Avail + UnClrd
Zeptunus Ltd	5880-58608545	CM	USD			493,970.21	493,970.21	0.00	0.00	0.00	493,970.21	493,970.21
Zeptunus Ltd	5880-58608545	CM	GBP			2,162.54	2,162.54	0.00	0.00	0.00	2,162.54	2,162.54

Christer Deckmark
34 Romford Road, Pembury,
Kent TN2 4JA
christer.deckmark@btinternet.com
skype cd983187

Directors of Zeptunus Limited
The Buildings
The Street
London
SW1H
Man

21/11/2016

Sirs,

Zeptunus Limited (the "Company")

I accept this letter as your instruction and authority to proceed with the liquidation of the Company and as part of the procedure to transfer the assets of the Company, less any liabilities, including closing fees due, to my account as follows:

Bank name: SEB, SE-106 40 Stockholm, Sweden
Account name: Christer Deckmark
Account Nr: 53740062541
IBAN: ESSESESS

I confirm that it is my understanding that this payment might be subject to income tax personally and that it is my sole responsibility to seek tax advice in this regard and to make any applicable tax filings as necessary.

Sincerely



Christer Deckmark