

Bilaga 15 A

Justerad 2019-09-06

STOCKHOLMS TINGSRÄTT
Avdelning 2

INKOM: 2019-10-16
MÅLNR: B 9735-17
AKTBIL: 1282

(PM)

Bilaga S

till förundersökningsprotokoll

EB-4689-16

Grovt bedrägeri mm i

Optimus Fonder AB (556673-5758)

Falcon Funds SICAV PLC (SV295)

mfl.

Misstänkta:

Max Serwin (fd Emil Amir Ingmansson), 771006-0570
Mark Bishop, 560512-0000
Afram Gergeo, 770205-0316
mfl.

Förundersökningsledare:

Kammaråklagare Jerker Asplund
Kammaråklagare Ingela Ohlén
Extra åklagare Gunnar Stetler

Bilaga S till

MANA

2007-A2

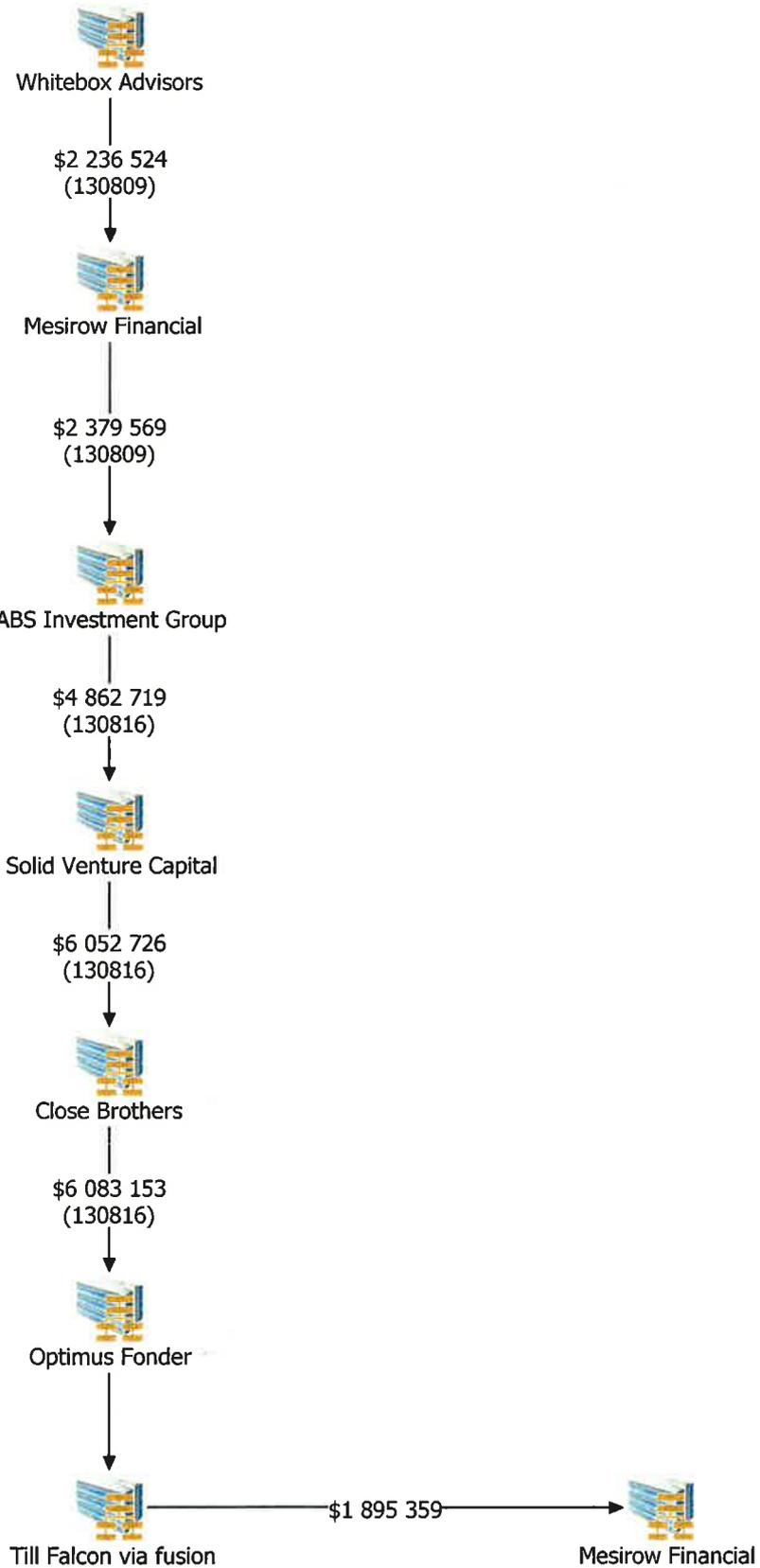
A3D

Sid1 **Kap. 7.16 MANA - Bilaga S**

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17	Bilaga S 12	Mark Bishop	T T avseende SVC.s köp från ABS I G 2013-08-13
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Försäljning av MBS "MANA"



MANA
Merrill Lynch Alternative Note Asset Trust Series 2007 – A2 A3D

	<u>Instrument</u>	<u>Antal</u>	<u>Trade</u>		<u>Settlement</u>		<u>Säljare</u>	<u>Köpare</u>	<u>Factor</u>	<u>Current</u>		<u>Deal price</u>	<u>Deal Belopp</u>	<u>Uppsluppen</u>		<u>Bankavgift</u>	<u>Settlement Summa</u>
			<u>date</u>	<u>date</u>	<u>date</u>	<u>date</u>				<u>Face</u>	<u>ränta</u>						
1	US59024FAG90	24 354 840	2013-08-06	2013-08-09	Whitebox Advisors	Mesirow	0,722627	\$ 17 599 453,44	0,126875	\$ 2 232 930,66	\$ 3 593,44						\$ 2 236 524,10
1	US59024FAG90	24 354 840	2013-08-06	2013-08-09	Mesirow Fin är trader	ABS Inv Group	0,722627	\$ 17 599 453,44	0,135	\$ 2 375 926,22	\$ 3 593,44					\$ 50	\$ 2 379 569,66
2	US59024FAG90	24 354 840	2013-08-13	2013-08-16	ABS Inv Group	SVC, UK	0,722627	\$ 17 599 453,44	0,276	\$ 4 857 449,15	\$ 5 270,38						\$ 4 862 719,53
3	US59024FAG90	24 354 840	2013-08-14	2013-08-16	SVC, UK	Close Brothers	0,722627	\$ 17 599 453,44	0,345	\$ 6 071 811,39	\$ 5 270,38						\$ 6 052 726,93
4	US59024FAG90	24 354 840	2013-08-14	2013-08-16	Close Brothers	Optimus Fonder	0,722627	\$ 17 599 453,44	0,345	\$ 6 071 811,39	\$ 5 270,38						\$ 6 083 153,63
6	US59024FAG90	24 354 840	2015-09-02	2015-09-08	Falcon Funds	Mesirow Finance	0,722627	\$ 17 599 453,44	0,1075	\$ 1 891 941,25	\$ 3 418,01						\$ 1 895 359,26

A3D omfattar \$ 46 527 000

Prospektet finns (440 s)

Resultat för Optimus/Falcon = **-\$4 187 794,37**

Resultat för SVC, UK = \$1 190 007,40

Resultat för ABS I G = **\$2 483 149,87**

Resultat för SVC och ABS I G= \$3 673 157,27

Provision till Zeptunus: 493 763 kr

P266 t

Ticket number 2901561

MANA 2007-A2 A3D 2		Cancel	Trade Recap	Options	Accepted Ticket	
8911152	59024FAG9			NY	08/06/2013	16:45:12
BUY	24354840P			As of	08/06/2013	16:20:34
Price	12-22	12.68750000	Yield	-4.997569		
Settlement	08/09/2013	T+3 B		Broker		
Account	B4797548	WHITEBOX ADVISORS		Sales	EX42	

Commission	Code	Rate	+/-	Amount	Curr	Spread	Mortgage
Sales Commission		0.25		43998.63	USD	Effective Dur -23.79	WAC 3.793
Misc Fee					USD	Average Life	WAM 288
						Prepayment 18 CPR	WALA/AGE 79
						Cpn (Actual) 0.49003	Factor .722626527
						Maturity 3/25/37	As Of Jul13
							Current Face 17,599,453.44

Notes 1-4	Notes 5-8	Reporting	Prevailing Market Price	Best Ex Notes
STEPOUT U	TRADE STIP			
MASTER A/C EX42	TRADE STIP			
TRD ID	TRADE STIP			
HEDGE	NOTES			

Invoice		Principal/Agency P
Principal	2,232,930.66	SOL / UNSOL
Accrued (15)	3,593.44	Settlement Loc
Transaction Costs		Trade Flat Venue ID
Total (USD)	2,236,524.10	Special Price
View in USD	Rate 1.00000000	Fee-based special N
	Invert	TRACE: Unknown Status
		Ticket # 2901561

SN 276302 EDT GMT-4:00 H755-5638-0 30-Apr-2019 16:02:12

P266 t

Ticket number 2901564

MANA 2007-A2 A3D 2		Cancel	Trade Recap	Options	Accepted Ticket
8911152	59024FAG9			NY	08/06/2013 16:45:34
SELL	24354840P			As of	08/06/2013 16:17:16
Price	13-16	13.50000000	Yield	-5.686944	
Settlement	08/09/2013	T+3 8			
Account	00541747	LPL FINANCIAL CORP		Broker	
				Sales	EX18

Commission	Code	Rate	+/-	Amount	Curr	Spread	Mortgage
Sales Commission		0.5416		95330.96	USD	Effective Dur -22.73	WAC 3.793
Misc Fee					USD	Average Life	WAM 288
						Prepayment 18 CPR	WALA/AGE 79
						Cpn (Actual) 0.49003	Factor .722626527
						Maturity 3/25/37	As Of Jul13
							Current Face 17,599,453.44

Notes 1-4	Notes 5-8	Reporting	Prevailing Market Price	Best Ex Notes
STEPOUT U	MASTER A/C EX18	TRADE STIP ABS		
TRD ID		TRADE STIP		
HEDGE		TRADE STIP		
		NOTES		

Invoice		Principal/Agency	P
Principal	2,375,926.22	SOL / UNSOL	
Accrued (15)	3,593.44	Settlement Loc	
Transaction Costs		Trade Flat	Venue ID
Total (USD)	2,379,519.66	Special Price	Fee-based
		TRACE: Unknown Status	pecial N
View in	USD	Rate	1.00000000
		Invert	
		Ticket #	2901564

SN 276302 EDT GMT-4:00 H755-5838-D 30-Apr-2019 16:01:21

BG 724-41
Bilaga 55

["ROBERT GREENWOOD (MESIROW FINANCIAL IN)" <bobgreenwood@bloomberg.net>]
Tue, 08/06/2013 10:31 PM

From: ["ROBERT GREENWOOD (MESIROW FINANCIAL IN)" <bobgreenwood@bloomberg.net>]
Subject: * VCON TICKET *

* VCON TICKET *

TRADER: SEAN GARRITY CUSIP: 59024FAG9
BUYS: 24,354,840 of MANA 2007-A2 A3D 0.49003% 03/25/37
PRICE: 13.5000000 assuming CPR= 30.0 YTM: -15.787
SETTLE: 08/09/13 [Fri] Accrual Pd: 07/25/13 - 08/25/13 Monthly
Next Payment: 08/26/13 (0 day delay)
** Curr Face \$ 17,599,453.44 <Jul13 Factor 0.7226265270>
PRINCIPAL VAL \$ 2,375,926.21
+ 15 Days ACC \$ 3,593.44 ✓ actual current coupon
= TOTAL FUNDS \$ 2,379,519.65 **
< TRADE NOTES: ylpl 0075 >

Formula: (1xLIBOR01M)+30BP. CAP=n/a % FLOOR= 0.3%

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Account Name	Account Value	Trade Date	Cust_B_S	Security_Description	Quantity	Commission	Price	TotalAmount
INVESTMENT GROUP ABS	0.00	08/06/2013	Buy	ML ALT NT ASSET TR REMIC 2007-A2 CL A3D	24354840.0000	50.0000	13.5000	2379569.6600

Bitagga 59

**Bluesheet Data
Confidential**

This report was generated by Daniel Koster on Mon Jul 08 2019 20:50:59 EDT

Tax Id 1	Name Address 1	Name Address 2	Trade Date	Trade Date Original	Order Execution Time Original	Quantity	Price	Buy/Sell Code	Symbol
952834236	LPL FINANCIAL CORP	9785 TOWNE CENTRE DR	08/06/2013	130806	161716	24 354 840	13,5	B	59024FAG
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	08/06/2013	130806	161743	24 354 840	13,5	B	59024FAG
942842977	BNP PARIBAS PRIME	BROKERAGE INC	08/06/2013	130806	162034	24 354 840	12,6875	S	59024FAG
262119490	ABS INVESTMENT GROUP	A LIMITED LIABILITY COMPANY	08/06/2013	130806	162229	24 354 840	13,5	B	59024FAG
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	08/06/2013	130806	162229	24 354 840	13,5	S	59024FAG
133247006	WHITEBOX ADVISORS LLC	3033 EXCELSIOR BLVD	08/07/2013	130807	162034	24 354 840	12,6875	S	59024FAG
942842977	BNP PARIBAS PRIME	BROKERAGE INC	08/07/2013	130807	162034	24 354 840	12,6875	S	59024FAG

MANA 07-A2 ACD

MANA 2007-A2 ASD

CUSIP: 59024FAG9

ISIN: US59024FAG90

SOLD BY: MESAROW

↓
CPL DIRECTED TRADE

↓
SVC

↓
OPTIMUS

SETTLEMENT:

13/1/2008

2017-9000-BG724-41



egret föremål:
ringsmapp

B6724-41
B. Tagg 59

Cash Management

Print Single Wire Transfer

Ref #: 686603

Created by: ABS Investment Group LLC - 08/05/2013 07:59 pm PDT

Approved by: ABS Investment Group LLC - 08/05/2013 07:59 pm PDT

SENDER

Name: ABS Investment Group LLC

Tax ID #: 262119490

Address: 707 BROADWAY 18TH FLOOR

City: San Diego

State: California

ZIP/Postal Code: 92101

Phone Number: 6192360444

Account to Debit: Checking:*0070

Amount: \$ 2,400,000.00

Submit date: 08/06/2013

BENEFICIARY

INTERMEDIARY INSTITUTION(*optional*)

If data is entered in a single field in this section all fields in this section become required.

Beneficiary's Full Name: LPL Financial

Beneficiary's Address 1: 2111 Business Center Drive

Beneficiary's Address 2:

Beneficiary's City: Irvine

Beneficiary's State: California

ZIP/Postal Code: 92612

Beneficiary's Account Number: 8900511524

Special Instructions for the Beneficiary: Further credit: Client acct. no. "1360-4701", client acct. name "ABS INVESTMENT GROUP".

Code Type:

Institution Name:

Institution Address:

Institution City:

Institution State:

BENEFICIARY INSTITUTION

Routing Number: 021000018

Institution Name: Bank of New York

Institution Address: One Wall Street

Institution City: New York

Institution State: New York

ZIP/Postal Code: 10286

B. Page 510

Date 8/30/13
Primary Account

Page 2
0070

BUSINESS ANALYZED 0070 (Continued)

Checks and withdrawals

Date	Description	Amount
8/02	Online Pmt HSBC CARD SRVCS	8,917.18-
	WEB	
8/02	WIRE-OUT 20132140007900	2,000,000.00-
8/05	WIRE-OUT 20132170002400	639,403.34-
8/05	IB Transfer from D *****070 to	88,327.63-
8/06	Account Analysis Charge	513.19-
8/06	WIRE-OUT 20132180001700	290,022.57-
8/06	WIRE-OUT 20132180002000	2,400,000.00- ←
8/06	IB Transfer from D *****070 to	510,000.00-
8/07	WIRE-OUT 20132190003400	2,000.00-
8/07	WIRE-OUT 20132190003500	2,000.00-
8/08	IB Transfer from D *****070 to	6,500,000.00-
8/14	Online Pmt HSBC CARD SRVCS	3,120.78-
	WEB	
8/19	PAID SCGC THE GAS COMPANY	54.46-
	WEB	
8/19	WIRE-OUT 20132310009600	3,945,000.00-
8/20	Online Pmt HSBC CARD SRVCS	7,814.90-
	WEB	
8/20	INTERNAL TRF 2013232000360	500,170.20-
8/26	Online Pmt HSBC CARD SRVCS	11,468.71-
	WEB	
8/29	WIRE-OUT 20132410015500	2,000.00-
8/29	WIRE-OUT 20132410015600	3,000.00-
8/29	WIRE-OUT 20132410015700	3,000.00-
8/29	WIRE-OUT 20132410014700	5,000.00-
8/29	WIRE-OUT 20132410015800	11,800.00-
8/29	WIRE-OUT 20132410017700	13,200.00-
8/29	WIRE-OUT 20132410013900	20,000.00-
8/29	WIRE-OUT 20132410011100	460,000.00-
8/30	WIRE-OUT 20132420003200	20,000.00-

Checks in Serial Number Order

Date	Check No	Amount
8/15		8,000.00

* Indicates skip in Check Number

Daily Balance Information

Date	Balance	Date	Balance
8/01	12,789,108.91	8/06	6,857,372.20
8/02	10,780,045.13	8/07	6,853,372.20
8/05	10,052,314.16	8/08	353,372.20
		8/14	350,251.42
		8/15	342,251.42
		8/19	1,259,916.49

B6721-6
Bilag 5 II



ABS INVESTMENT GROUP
A LIMITED LIABILITY COMPANY
707 BRAODWAY, 18TH FLOOR
SAN DIEGO CA 92101

Your Financial Advisor:
Ronald Chamberlin (949)251-6959
Commerce West Bank
2111 Business Center Drive
Irvine, CA 92612
ron.chamberlin@LPL.COM

Securities Offered Through
LPL Financial
Member FINRA/SIPC
9785 Towne Centre Drive, San Diego, CA 92121-1968
75 State Street, 24th Floor, Boston, MA 02109-1827

Investment Account Strategic Asset Management

Statement Period
August 1 to August 31, 2013

ABS INVESTMENT GROUP A LIMITED LIABILITY COMPANY	1360-4701
Investment Objective	Growth

Total Value of Your Account as of August 31, 2013 **\$3,896,939.41**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2012	\$724,609.05
Beginning Value as of August 1, 2013	\$4,333,880.46
Additions	8,345,000.00
Withdrawals	—
Dividends, Interest and Capital Gains	7,078.35
Increase/decrease in Market Value ¹	-8,789,019.40
Ending Value as of August 31, 2013	\$3,896,939.41

	Year-End Value December 31, 2012	Value on August 31, 2013
TOTAL VALUE OF YOUR ACCOUNT	\$724,609.05	\$3,896,939.41

¹ Increase/decrease in Market Value reflects the impact of changes in the value of securities held in your LPL Financial account, as well as the impact of any transfers of securities into or out of your account during the statement period.



FDIC Insured | No Bank Guarantee | May Lose Value
Not a Deposit | Not Insured by any Federal Government Agency

Investment Account Strategic Asset Management 1360-4701

Page 1 of 12
13604701
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COPY

BG721-6

Account Activity as of August 31, 2013

SECURITIES SOLD

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
08/22/13	Sale	FIRST NLC TR REMIC SER 2005-3 CL M2 MONTHLY 0 DAY DELAY VAR CPN 1.213% DUE 12/25/35 DTD 11/16/05 FC 11/25/05 32113JBV6	-1,000,000	\$21.00	\$209,983.45
TOTAL SECURITIES SOLD					\$209,983.45

ADDITIONS TO YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
08/02/13	Wire Transfer	FED FUNDS/ COMMERCEWEST	—	—	\$2,000,000.00
08/06/13	Wire Transfer	FED FUNDS/COMMERCEWEST	—	—	2,400,000.00
08/19/13	Wire Transfer	FED FUNDS/COMMERCEWEST	—	—	3,945,000.00
08/21/13	Transfer A/C	FIRST NLC TR REMIC SER 2005-3 CL M2 MONTHLY 0 DAY DELAY VAR CPN 1.213% DUE 12/25/35 DTD 11/16/05 FC 11/25/05 32113JBV6	1,000,000	—	—
TOTAL ADDITIONS TO YOUR ACCOUNT					\$8,345,000.00

Account Activity as of August 31, 2013

ACCOUNT ACTIVITY SUMMARY

	Period Ending August 31, 2013	Year-to-Date
Securities Purchased	-\$8,450,135.30	-\$20,720,458.29
Securities Sold	209,983.45	209,983.45
Additions to Your Account	8,345,000.00	20,696,431.51
Withdrawals from Your Account	—	-5,129.01
Dividends, Interest and Capital Gains	7,078.35	42,451.18
Reinvestments	—	—
Net Change in Bank Deposit Sweep Balance ¹	—	—
Net Change in Money Market Fund Balance	-4,121,108.99	222,311.91
Fees and Expenses ²	—	-966.93

SECURITIES PURCHASED

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
08/02/13	Purchase	ML ALT NT ASSET TR REMIC 2007-A2 CL A3D MONTHLY 0 DAY DELAY VAR CPN 0.493% DUE 03/25/37 DTD 03/30/07 FC 04/25/07 59024FAG9	20,000,000	\$13.375	-\$1,935,633.41
08/06/13	Purchase	ML ALT NT ASSET TR REMIC 2007-A2 CL A3D MONTHLY 0 DAY DELAY VAR CPN 0.493% DUE 03/25/37 DTD 03/30/07 FC 04/25/07 59024FAG9	24,354,840	13.50	-2,379,569.66

SECURITIES PURCHASED continue on page 5

¹ Bank Deposit Sweep Accounts are FDIC insured, are not obligations of LPL Financial or SIPC, and are not available for margin purposes. See the message section for further information.

² Fees and expenses include account, custodial and advisory fees assessed during the statement period.

Enter 1<Go> to send Ticket via MSG and VCON.



TRADE TICKET

as of 8/13/13

TRADER

ABS INVESTMENT GROUP

59024FAG9

MERRILL LYNCH ALTERNATIVE NOTE ASSET

CMD :FLT,STEP,+

orig face

24,354,840

MANA 2007-A2 A3D

0.49003% 3/25/37

PRICE 27.6000000
(27.6000000)

DM = +2510.3 BP
YTC = 26.656%

5.28 Avg Life
11/18-11/18 Principal

SETTLE 8/16/13 Fri

Accrual Period 7/25/13 - 8/25/13 Monthly

CALL?Y 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 \$ 4,857,449.15

+ 22 days accrued \$ 5,270.38 ✓ actual current coupon

= total funds \$ 4,862,719.53

TRACE ELIGIBLE

Text Highlight?

NOTES:

(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

SN 329015 H621-456-1 14-Aug-13 6:37:05 PDT GMT-7:00
Copyright 2013 Bloomberg Finance L.P.

issued: 3/30/07

mature: 3/25/37

Collat:AITAAR3.53

3.79(288)79

BG 724-41
Bilaga S 12

136724-41
Bilaga 514

CommerceWest Bank

Incoming Wire - Advice of Credit

Date 08/19/2013

Wire Create Time: 1020

Account # :****0070
Amount : \$4,862,719.53
GFX Reference : 20132310002200
Sending Bank : 121000248 WELLS FARGO NA
Sender Name : SOLID VENTURE CAPITAL LTD.
869 HIGH ROAD

N128AQ LONDON

GB LONDON

Sender Reference: 2013081900006231
Sender's Account Number: DE62500305009153974002

Beneficiary : *****3334
ABS INVESTMENT GROUP LLC
707 BROADWAY, 18TH FLOOR

SAN DIEGO

92101 CA US

Beneficiary Info (OBI):
SOLID VENTUREE CAPITAL LTD.

INTERNAL-CORE-NO. 200000728

MANA BOND

Beneficiary Advice Information :

Bank to Bank Info (BBI):

Reference for Beneficiary (RFB):

Billage 515

*****EXCLUDE-Cycle
1906 0.8180 EX 0.000 5 2 1160
Abs Investment Group LLC
707 Broadway 18th Floor
San Diego CA 92101

Date 8/30/13
Primary Account

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0070

---- CHECKING ACCOUNTS ----

Abs Investment Group LLC

BUSINESS ANALYZED					1
Account No.		0070	Statement Dates	8/01/13 thru	9/02/13
Previous Balance	12,789,108.91		Days in the statement period		33
2 Deposits/Credits	4,868,313.33		Average Ledger	2,477,484.83	
28 Checks/Debits	17,454,959.56		Average Collected	2,477,157.93	
Service Charge	.00				
Interest Paid	.00				
Current Balance	202,462.68				

	Total For This Period	Total Year-to-Date
NSF paid item fees statement to date	\$.00	\$.00
NSF return item fees statement to date	\$.00	\$.00

Deposits and Additions

Date	Description	Amount
8/06	DDA Regular Deposit	5,593.80
8/19	WIRE-IN 20132310002200	4,862,719.53 ←

Checks and withdrawals

Date	Description	Amount
8/02	PAID SDGE SD GAS ELEC WEB	146.60-

Solid Venture Capital Ltd, UK, USD-konto 200000728 2013-02-01--

		EBM.s noteringar	
Datum	Text	Belopp	KOMMENTAR
2013-08-15	Försäljning värdepapper	6 052 726,98	SVC säljer till Close Brothers/Optimus
2013-08-19	Överföring	-4 862 719,53	SVC köper från ABS Investment Group
			Värdepapper
			MANA
			MANA

Enter <Go> to send Ticket via MSG and VCON.

Bloomberg
CMD

TRADE TICKET

as of **8/13/13**

TRADER

CLOSE BROTHERS

59024FAG9

orig face

24,354,840

MANA 2007-A2 A30

MERRILL LYNCH ALTERNATIVE NOTE ASSET

CMO :FLT,STEP,+

0.49003% **3/25/37**

DM = +2073.1 BP

5.28 Avg Life

11/18-11/18 Principal

PRICE **34-16**

assuming **CPR= 18.0**

YTC =

21.847%

(34.5000000)

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?

NOTES:

(1xLIBOR01M)+30BP, CAP=n/a % FLOOR= 0.3%

issued: **3/30/07**

mature: **3/25/37**

Collat:ALTAAR3.53

3.79(288)79

Australia 61 3 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. 1 212 218 2000 Copyright 2013 Bloomberg Finance L.P.
 SN 329015 H621-456-1 14-Aug-13 6:38:15 PDT GMT-7:00

Rättshjälp UK
Bilagor 519

Bilaga 518

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
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 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	
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.	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	



Räktskiöld
Tyskland
Bilagga 5.19

settlement confirm

20130816151202W01 RECEIVE AGAINST PAYMENT CONFIRMATION

1:F01 TUBDDEDDAXXX 9608 939634
2:O 545 0911 130816 BBHCUS33AXXX 0689 231383 130816 1511 N
3:108:SWFT0SW422825768
4::16R:GENL
:20C::SEME//121522788200000
:23G:NEWM
:98A::PREP//20130816
:16R:LINK
:20C::RELA//2010289620130816
:16S:LINK
:16S:GENL
:16R:TRADDET
:98A::SETT//20130816
:98A::TRAD//20130814
:98A::ESET//20130816
:90A::DEAL//PRCT/34,5
:35B:ISIN US59024FAG90
 MANA 2007-A2 A3D V/R 03/25/37
:16S:TRADDET
:16R:FIAC
:36B::ESTT//FAMT/24354840,
:36B::ESTT//AMOR/17599453,2743
:97A::SAFE//2006112
:16S:FIAC
:16R:SETDET
:22F::SETR//TRAD
:16R:SETPRTY
:95P::SELL//CEDELULL
:16S:SETPRTY
:16R:SETPRTY
:95R::DEAG/DTCYID/00000908
:16S:SETPRTY
:16R:SETPRTY
:95P::PSET//DTCYUS33
:20C::PROC//001C1BE1
:16S:SETPRTY
:16R:AMT
:19A::ESTT//USD6052726,98
:16S:AMT
:16S:SETDET
5:CHK:080364C36D5E

E

settlement confirm

20130816151214W01 DELIVER AGAINST PAYMENT CONFIRMATION

1:F01 TUBDDEDDAXXX 9608 939656	
2:O 547 0911 130816 BBHCUS33AXXX 0689 231417 130816 1512 N	
3:108:SWFT0SW422825849	MUR
4::16R:GENL	START OF BLOCK
:20C::SEME//121522788300000	
:23G:NEWM	FUNCTION OF THE MESSAGE
:98A::PREP//20130816	DATE/TIME
:16R:LINK	START OF BLOCK
:20C::RELA//9562119620130816	REFERENCE
:16S:LINK	END OF BLOCK
:16S:GENL	END OF BLOCK
:16R:TRADDET	START OF BLOCK
:98A::SETT//20130816	DATE/TIME
:98A::TRAD//20130814	DATE/TIME
:98A::ESET//20130816	DATE/TIME
:90A::DEAL//PRCT/34,5	PRICE
:35B:ISIN US59024FAG90	IDENTIFICATION OF FINANCIAL INST.
MANA 2007-A2 A3D V/R 03/25/37	
:16S:TRADDET	END OF BLOCK
:16R:FIAC	START OF BLOCK
:36B::ESTT//FAMT/24354840,	QUANTITY OF FINANCIAL INSTRUMENT
:36B::ESTT//AMOR/17599453,2743	QUANTITY OF FINANCIAL INSTRUMENT
:97A::SAFE//2006112	SAFEKEEPING ACCOUNT
:16S:FIAC	END OF BLOCK
:16R:SETDET	START OF BLOCK
:22F::SETR//TRAD	INDICATOR
:16R:SETPRTY	START OF BLOCK
:95P::BUYR//CHASGB2LXXX	PARTY
:16S:SETPRTY	END OF BLOCK
:16R:SETPRTY	START OF BLOCK
:95R::REAG/DTCYID/00000902	PARTY
:16S:SETPRTY	END OF BLOCK
:16R:SETPRTY	START OF BLOCK
:95P::PSET//DTCYUS33	PARTY
:16S:SETPRTY	END OF BLOCK
:16R:AMT	START OF BLOCK
:19A::ESTT//USD6083153,63	AMOUNT
:16S:AMT	END OF BLOCK
:16S:SETDET	END OF BLOCK
5:CHK:3FEE1DD691AA	

TRADE CONFIRMATION

Date: 15/08/13

Client:	Optimus Fonder AB
Confirmation Text:	
Reference No.:	244701

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:

Clearstream Banking S.A., Luxembourg
CEDELULLXXX
CBL 64043 HSBC Trinkaus & Burkhardt (BIC: TUBDDEDD)

Your Settlement Instruction:

Swedbank AB
EC 23860
a/c Traction Fonder AB



Information to Swedbank

Traction

2013-08-15 14:06:21

Swedbank trade instructions
Version 3.20

Verify/Approve instructions

Row ID	Type of Message	Instruction type	Safekeeping account	Client reference	Trade date	Settlement date	Instrument	Quantity	Deal price	Deal Deal Amount	Settlement amount	Counterparty Buyer/Seller	Counterparty settlement agent
1	NEMM	B	901901350628	33298	20130814	20130816	US59024FAG90	24354840	0,24977186	6071811,43 USD	6083153,58 USD	BBHCUS33	0010

Bilag 5 21

Counterparty safe	Place of settlement	Event code	Status	Client ID
2006112	DTCYUS33		Verified	Traktion

Report Name: Settled Trades - Optimus HY
From Date: 01-Jan-2013 To Date: 31-Dec-2014
Run ID: D-486-312-332

Account Name
SWEDBANK RE: OPTIMUS HIGH YIELD

Account Number
60495

Security ID
44793DB

ISIN
US99024FAG90

Security Name
MERRILL LYNCH ALTERNATIVE NOTE ASSET TRUST 2007-A2 A-3D VA

Units
24 354 840,0000000

Net Amount
(6 083 153,58)

Trade Date
14-aug-2013

Actual Settlement Date
16-aug-2013



{In Archive} RMBS Trades for Falcon Balanced
Barbaros Okten
to:
Kevin Portelli
10/09/2015 14:57
Hide Details
From: Barbaros Okten <barbaros.okten@temple.com.mt>

To: Kevin Portelli <kevin.portelli@bov.com>

History: This message has been forwarded.
Archive: This message is being viewed in an archive.

Hi Kevin,

As per our conversation just now, please find below trade tickets from Bloomberg with regards to the sale of the RMBS positions for Falcon Balanced Fund:

----- Original Message -----

From: ROBERT GREENWOOD (MESIROW FINANCIAL IN)
At: Sep 2 2015 16:13:08

ID : 59024FAG9 *Trade Ticket* As of Date: 09/02/2015 09:47:27 Cusip: 59024FAG
TRDR/SLS : ROBERT GREENWOOD Settlement : 9/8/2015
BUYS : 24354840.00P (M) ISSUER:MERRILL LYNCH ALTERNAT
Security : MANA 2007-A2 A3D 0.499%
Price : 10.75000000 Yield:-2.985068 Yield to: 9/8/2015 at
Coupon : 0.499400% Prepay speed : 15.0 CPR Factor : 0.722626527

Notes :

Principal	USD	1,891,941.25	{59024FAG9 MTGE DES <GO>}
Accrued	(14 days)	3,418.01	
Transaction Costs		0.00	BAL 086/15
Total	USD	1,895,359.26	

Miscellaneous Fields:

Original Face : 24354840.0 Current Face : 17,599,453.44
Issue Date : 03/30/07 Maturity Date : 03/25/37
Average Life : .00 Factor Date : Aug15
Accrual Start Date : 08/25/15 Accrual End Date : 09/24/15
Next Payment Date : 09/25/15 Delay : 0 DAYS
** THIS TICKET (#3689138) GENERATED BY BLOOMBERG TOMS / POMS SYSTEM **

P266 t

Ticket number 3689138

MANA 2007-A2 A3D 2		Cancel	Trade Recap	Options	Accepted Ticket
8911802	59024FAG9			NY	09/02/2015 10:09:43
BUY	2435484OP			As of	09/02/2015 09:47:27
Price	10-24	10.75000000	Yield	-2.985068	
Settlement	09/08/2015	T+3 9			Broker
Account	RBA1930900	FALCON FUNDS SICAV PLC			Sales F25

Commission	Code	Rate +/-	Amount	Curr	Spread	Mortgage
Sales Commission	F	0.4375	76997.6088	USD	Effective Dur -22.93	WAC 3.311
Misc Fee				USD	Average Life	WAM 268
					Prepayment 15 CPR	WALA/AGE 104
					Cpn (Actual) 0.4994	Factor .722626527
					Maturity 3/25/37	As Of Aug15
						Current Face 17,599,453.44

Notes 1-4	Notes 5-8	Reporting	Prevailing Market Price	Best Ex Notes
STEPOUT	TRADE STIP	M=	*RR=	*LC==
MASTER A/C	TRADE STIP			*TQ=
TRD ID	TRADE STIP	UNSOLICITED ORDER		
HEDGE	NOTES			

Invoice		Principal/Agency	P	UNSOLICITED ORDER
Principal	1,891,941.25	SOL / UNSOL	U	
Accrued (14)	3,418.01	Settlement Loc		
Transaction Costs		Trade Flat	Venue ID	
Total (USD)	1,895,359.26	Special Price		Fee-based
View in	USD	Rate	1.00000000	pecial N
		Invert		Ticket # 3689138

SN 276302 EDT GMT-4:00 H755-5638-0 30-Apr-2019 16:04:59

*B6724-41
Bilaga 525*

[Mark Bishop <mbishop@absig.com>]

Mon, 08/12/2013 05:46 PM

From: [Mark Bishop <mbishop@absig.com>]

To: [rchamberlin@cwbk.com, golf44ron@aol.com]

Cc: [Craig Chang <cchang@absig.com>]

Subject: DTC DELIVERY REQUEST: MANA 2007-A2 A3D, cusip 590024FAG9, orig. face \$24,354,840...

Ron -

We need a DTC delivery request:

Please find attached delivery instructions and contact information for the buyer of the subject bond (back-office: Stefania Ruhnke, trade operations, +49 69 92054 309, stefania.ruhnke@cbseydler.com).

We will be delivering the subject bond via "DTC Free" delivery, from DTC number 0075, our LPL account number "1360-4701", account name "ABS Investment Group", to the buyer's account with Close Brothers Seydler Bank AG (DTC number "**0908**", acct. no. "**089 154 CSC63359**", acct. name "**Solid Venture Capital**"). The settlement date is Thursday, August 15, 2013. The bond to deliver is as follows:

MANA 2007-A2 A3D, cusip 590024FAG9, orig. face \$24,354,840.

Please contact us if you have any questions.

Best regards,

Mark

=====
Mark Bishop
mbishop@absig.com
+1 949 678 9574

13672441
 Bitaga 526

Move Money
DTC Request

DTC

Account Number

1	3	6	0	4	7	0	1
---	---	---	---	---	---	---	---

 Rep ID

7	N	P	B
---	---	---	---

Instructions: Use this form to deliver DTC-eligible securities only from an LPL non-retirement account to a account holder account at another firm or financial institution. Note: Partial shares and Mutual funds are not DTC eligible.
 Please fax the completed form to (858) 202-8335.

1. Account Information

Account Registration: ABS Investment Group Social Security/Tax ID Number: 26-2119490

2. Required Field: Select type of Delivery

Please select one: Gift Common Owner Death Distribution (Tax Lot selection not available)

3. Cost Basis Information

Use the optional (*) Tax Lot Trade Date and Tax Lot Price fields to select specific lots. If these fields are NOT specified, LPL will deliver the securities using the default first in, first out (FIFO) method.

I hereby authorize LPL Financial LLC to act on my behalf in accordance with the following delivery instructions. Please deliver the following security(ies):

CUSIP/Symbol	Security Description	Share Quantity	Tax Lot Trade Date*	Tax Lot Price*
59024FAG9	MANA 2007-A2 A3D	\$24,354,840.00		

4. Send the securities according to the Receiving Broker/Dealer information below:

DTC # (4 Digits): 0908 Account Number: 089 154 CSC63359 Account Title: ABS Investment Group
 Receiving Institution Phone Number and Contact Information (additional information may be required):
Clouse Brothers Seydler Bank, Stophania Ruhnko, +49 69 92054 309
 Relationship to owner. (Note: Request is subject to LPL's AML/traud prevention policies):
Investor

5. Account Holder Acknowledgement

Mark Bishop Account Holder Signature Mark Bishop Account Holder Name (print) 08/12/2013 Date
 _____ Account Holder Signature _____ Account Holder Name (print) _____ Date

6. Validation of Account Holder Signature

My customer(s) is/are well known to me, and I validate that the signature(s) on the attached document is/are genuine. I agree for myself and my successors, assigns, heirs, executors, and administrators to at all times indemnify and hold harmless LPL Financial LLC (LPL) and all LPL staff and third-party providers, acting as Authorized Agents of LPL, from and against any and all claims, losses, liabilities, taxes, damages, actions, charges, and expenses, including attorney fees, resulting from your compliance with this request. LPL reserves the right to verify the authenticity of any signature.

Ron Chamberlin Financial Advisor / Authorized Person Signature Ron Chamberlin Financial Advisor / Authorized Person Name (print) 08/12/2013 Date





MEMORANDUM

Date: August 12, 2013
To: Emil Ingmanson
From: Mark Bishop
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) The Canadian bond fund, Omniarch Fixed Income Fund, purchased USD 20 million of MANA 2007-A2 A3D at 37.00% on August 7, 2013;
- 2) Citi Group provides a total return of 25.17% at a price of 34.50%;
- 3) JPMorgan provides a total return of 24.20% at a price of 34.50%;
- 4) ABSNet provides a total return of 20.93% at a price of 34.50%;
- 5) US regional dealer, Mesirow Financial, offered a price of 34.00% for USD 10 million of MANA 2007-A2 A3D on August 9, 2013.
- 6) Hayden Consulting International (haydenconsultingintl.com) places a valuation price on the subject bond of 35.00%, as of August 9, 2013.

8/29/2018

Preview

Rättshjälp
Tyskland
Bilaga 588

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

8/29/2018

Preview

Rättshjälp
Tyskland
Bilaga 529

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\[Z\].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

<https://archive.seydler.local/web/ui/Default.aspx?lc=1>

8/29/2018

Preview

Rättshjälp
Tyskland
Bilagor 530

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

We believe in German Mittelstand

8/29/2018

Preview

*Rättshjälp
Tyskland
Bilagga 531*

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

US59024FAG90)

performs

well and is currently at a satisfactory level at a price of 34.50%.

The MANA 2007-A2 A3D bond (cusip 59024FAG9, ISIN

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

From: **Emil Amir Ingmanson** amir77@me.com
Subject: Fwd: US590204FAG90
Date: 14 August 2013 at 04:56
To: Mark Bishop mailtobishop@gmail.com

36721-5
18.10.2013

Mark -

Can you please check the trade tickets again. There's something wrong...

Best Regards,

E-A Ingmanson

Sent from my iPhone

Vidarebefordrat brev:

Från: Markus Laifle <Markus.Laifle@cbseydler.com>

Datum: 14 augusti 2013 13:47:09 CEST

Till: "'eai@solidequity.se" <eai@solidequity.se>

Kopia: Carsten Pfersdorf <Carsten.Pfersdorf@cbseydler.com>, Dana Benz-Fischer <dana.benz-fischer@cbseydler.com>

Ämne: 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

9/6/2018

Preview

Rättshjälp
Tystland
Bilagga 533

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

Ill: 'jan.eriksson@optimusfonder.se'

Kopia: 'ulf.deckmark@optimusfonder.se'; Carsten Pfersdorf

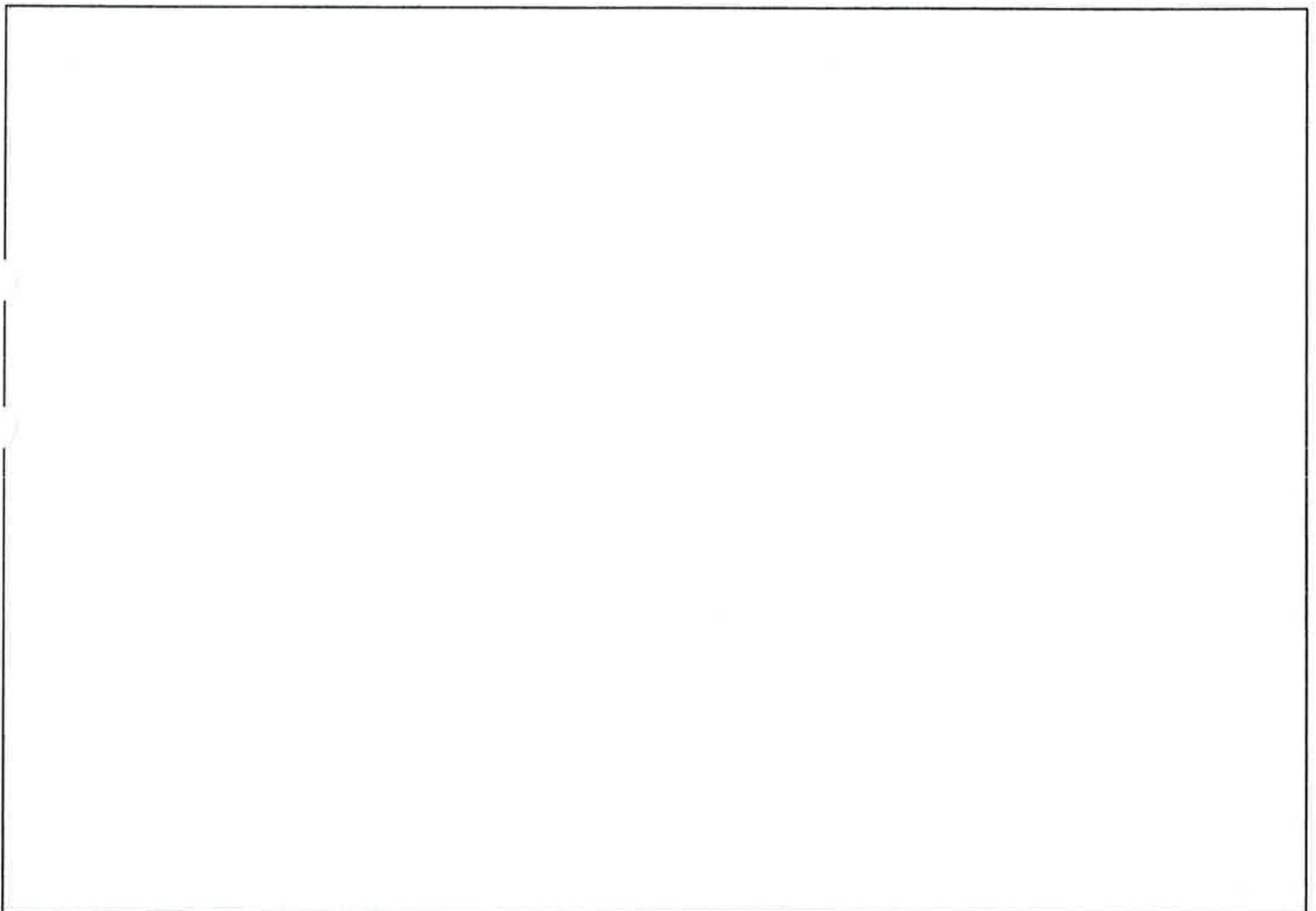
Ämne: US590204FAG90

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

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

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