STOCKHOLMS TINGSRÄTT
Avdelning 2

INKOM: 2019-10-16
MÅLNR: B 9735-17
AKTBIL: 1285

Bilaga 16 Del B (Material från USA)

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 Kammaråklagare Tomas Eriksson Kammaråklagare Marie-Louise Pettersson

Innehållsförteckning Fup 16 Del B avs USA

LPL Financial

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LPL Account Number	SSN/Tax ID	Account Registration	Account Class	Account Value	Opened	Closed	Notes
1176-3883	26-3761331	AMERICAN RMBS EQUITY FUND A PARTNERSHIP	SAM II - Non-Retirement	$0,00	2009-06-29	2009-11-18	Account closed prior to subpoena timeframe of 2012-2017
1360-4701	26-2119490	ABS INVESTMENT GROUP A LIMITED LIABILITY COMPANY	SAM - Non-retirement	$0,00	2012-03-28	2016-10-04	
1736-2427	26-2119490	ABS INVESTMENT GROUP A LIMITED LIABILITY COMPANY	Brokerage - Non-retirement	$0,00	2013-04-26	2018-02-13	No statements issued - This account never held any funds.
1774-4095	26-2119490	ABS INVESTMENT GROUP A LIMITED LIABILITY COMPANY	SAM - Non-retirement	$0,00	2012-02-03	2013-10-01	
2316-6098	27-1771079	AMERICAN RMBS EQUITY FUND IV A PARTNERSHIP	SAM - Non-retirement	$0,00	2013-04-08	2017-12-08	
3263-4438	47-4713933	ABSMG OMNIARCH FIXED INCOME FUND VI.LP	SAM II - Non-Retirement	$0,00	2015-11-16	2017-12-11	
4655-0552	26-2119490	ABS INVESTMENT GROUP A LIMITED LIABILITY COMPANY	Brokerage - Non-retirement	$0,00	2013-04-26	2018-04-04	No statements issued - This account never held any funds.
5118-5209	26-2853354	ABS INVESTMENT FUND VII, LP A PARTNERSHIP	SAM II - Non-Retirement	$0,00	2008-06-26	2008-11-11	Account closed prior to subpoena timeframe of 2012-2017
6220-2137	26-2824291	ABS INVESTMENT FUND V, LP A PARTNERSHIP	SAM II - Non-Retirement	$0,00	2008-06-19	2008-11-11	Account closed prior to subpoena timeframe of 2012-2017
6354-3213	26-2824291	ABS INVESTMENT FUND V A PARTNERSHIP	SAM - Non-retirement	$0,00	2010-02-17	2013-03-25	
6382-1018	26-2824291	ABS INVESTMENT FUND V A PARTNERSHIP	SAM II - Non-Retirement	$65 553,76	2013-03-22		
6402-6431	26-3761331	AMERICAN RMBS EQUITY FUND A PARTNERSHIP	SAM II - Non-Retirement	$0,00	2008-12-04	2009-04-22	Account closed prior to subpoena timeframe of 2012-2017
7395-4378	27-1771079	AMERICAN RMBS EQUITY FUND IV A PARTNERSHIP	SAM - Non-retirement	$0,00	2010-03-02	2013-05-06	

Account documents.pdf

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LPL Financial

Institutional Services Account Application

LPL Advisory - Non-Retirement

Financial advisor instructions: To be used for all LPL Advisory non-retirement accounts. For more detailed information on he appropriate paperwork requirements for all registration types, please consult the appropriate account opening checklist located in the resource center. For existing accounts, this form should only be used for adding or removing account holders, or to change the registration or account type. Fax the completed form to the New Accounts Department at (858) 546-0874.

ATTENTION: Any alterations must be initialed by all account holders.

Account Number	Rep ID	Secondary Rep ID	Referral Rep ID	Branch ID
1360-4701	7NPB			D100

☐ Account updates required by LPL Operations

Section I: Account Information

1. Account Type: (choose only one)

Each account holder must receive, read and understand the contents of the applicable Account Packet referenced below based on the account type selected. This separate packet contains the Account Agreement and any Program Brochures that detail the relationship between you, your financial advisor, LPL Financial ("LPL") and other related parties as applicable to your account.

- (•) Strategic Asset Management (Account Packet - SAM)
- ( ) Strategic Asset Management II (Account Packet - SAM II)
- ( ) Manager Select (Account Packet - Manager Select)
- ( ) Optimum Market Portfolios Advisory (Account Packet - OMP)
- ( ) Model Wealth Portfolios (Account Packet - MWP)
- ( ) Personal Wealth Portfolios (Account Packet - PWP)

2. Registration Type: (choose only one)

- ( ) Individual
- ( ) Tenants in Common
- ( ) Community Property
- ( ) Joint Tenants With Rights of Survivorship
- ( ) Custodian for Minor
- ( ) Personal Trust*
- ( ) Corporate*
- ( ) Partnership*
- (•) Limited Liability Company*
- ( ) Estate*
- ( ) Coverdell ESA*
- ( ) Other (Please specify):
- ( ) Non-Profit Organization*
- ( ) Guardianship/Conservatorship*

*Additional documentation required. Financial advisor should refer to the detailed procedures for the registration type on the Resource Center.

3.

Social Security Number or Tax ID: 26-2119490

Country of Citizenship: US

Fill in your current residency status: (choose only one)

(•) U.S. Citizen ( ) Resident Alien ( ) Non-Resident Alien

Account Registration:

ABS Investment Group

Mailing Address:

707 Broadway, 18th Floor

San Diego, CA 92101

Account Address (no P.O. boxes) ☑ **Same as mailing address**

Home Phone:

Business/Cell Phone: 949-678-9574

Email: mbishop@absig.com

Section II: Investment Objective and Risk Tolerance

1. Select the investment objective that most accurately reflects the goals for this account: (choose only one)

The investment objectives are overall objectives for the entire account and may be inconsistent with a particular holding at any time. Please note that achievement of the stated investment objectives is a long-term goal for the account.

- ( ) **A. Income with Capital Preservation.** Designed as a longer term accumulation account, this is the most conservative investment objective. Emphasis is placed on generation of current income and prevention of capital loss.
- ( ) **B. Income with Moderate Growth.** Emphasis is placed on generation of current income with a secondary focus on moderate capital growth.
- ( ) **C. Growth with Income.** Emphasis is placed on modest capital growth with some focus on generation of current income.
- (•) **D. Growth.** Emphasis is placed on achieving high long-term growth and capital appreciation. There is little focus on generation of current income.
- ( ) **E. Aggressive Growth.** Emphasis is placed on aggressive growth and maximum capital appreciation. No focus on generation of current income. This objective has a very high level of risk and is for investors with a longer time horizon.

ATTENTION: If you select an objective and cross it out to choose another, the change must be initialed by all account holders.

LPL Account Number(s): 1365-4701

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2. What is the investment objective of assets held outside of this account? ◯ None ◯ Conservative ◯ Growth ◯ Aggressive

What is your investment time horizon for this account? ◯ 1-3 years ◉ 3-5 years ◯ 5-10 years ◯ More than 10 years

Section III: Account Holder Information

For corporate, LLC, non-profit organization, partnership, and investment club accounts, this section is NOT required. Complete the appropriate supplementary documentation instead. For additional account holders, complete the Supplemental Account Application (F1C).

1.

Primary Account Holder/Trustee/Minor/Decedent: Mark Bishop

Employer Name ☐ Mark here if retired or unemployed: ABS Investment Group

Residence Address (no P.O. boxes) ☐ Same as account: 18117 Aliso Canyon; Rancho Santa Fe, CA 92067

Employment Address (no P.O. boxes): 707 Broadway, 18th Floor; San Diego, CA 92101

Home Phone: 949-678-9574

Business/Cell Phone:

Occupation (former if retired): Executive

Industry (former if retired): Financial

Social Security Number: 553-19-5111

Country of Citizenship: US

ID Type: Drivers License

ID Number: N2460579

Date of Birth: 05/12/1956

 # Dependents: 1

Client ID verified? ◉ Yes ◯ No

ID Place of Issuance: CA

ID Issuance Date: 5/12/1972

ID Expiration Date: 05/12/2016

☐ Mark here if you, your spouse, or any other immediate family members are employed by or associated with the securities industry or a financial regulatory agency. You must also provide the information requested below as well as a letter (when required) from the employer approving establishment of this account. An approval letter is not required for LPL employees.

Full Name:

Relationship:

Name of Firm:

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months.

Name of Corporation(s):

2.

Secondary Account Holder/Trustee/Custodian/Fiduciary:

Employer Name ☐ Mark here if retired or unemployed:

Residence Address (no P.O. boxes) ☐ Same as account:

Employment Address (no P.O. boxes):

Home Phone:

Business/Cell Phone:

Occupation (former if retired):

Industry (former if retired):

Social Security Number:

Country of Cltizenship:

ID Type:

ID Number:

Date of Birth:

 # Dependents:

Client ID verified? ◯ Yes ◯ No

ID Place of Issuance:

ID Issuance Date:

ID Expiration Date:

☐ Mark here if you, your spouse, or any other immediate family members are employed by or associated with the securities industry or a financial regulatory agency. You must also provide the information requested below as well as a letter (when required) from the employer approving establishment of this account. An approval letter is not required for LPL employees.

Full Name:

Relationship:

Name of Firm:

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months.

Name of Corporation(s):

LPL Account Number: 1360-4701

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Section IV: Financial Information and Experience

1. **Enter the letter that corresponds to the correct range:**

Annual income? H **Net worth? (exclusive of home)** H

Liquid net worth?* H **Approximate account value?**** H

A. Less than $25,000 D. $100,000 - $249,999 G. $750,000 - $999,999
B. $25,000 - $49,999 E. $250,000 - $499,999 H. $1,000,000 and over
C. $50,000 - $99,999 F. $500,000 - $749,999

Source of Client Wealth and Income (inheritance, employment salary, sale of real estate, etc.): Employment

Federal income tax bracket? (%) 25

Investment Experience (number of years): Stocks 20 Bonds 20 Annuities Mutual Funds Partnerships Margin Options Other (please specify):

*Liquid net worth is exclusive of real estate; only include assets that can be liquidated within 30 days.
**Account minimums apply; see the applicable Account Packet for details or ask your financial advisor.

Section V: Advisory Program Account Information

1. **Primary Financial Advisor Name**: Ron Chamberlin

Business Address: 2111 Business Center Drive, #100
Irvine, CA 92612

Account Fee: .35 (%)

Business Phone: 949-474-5263

2. ☐ **Mark here if you have paid the advisors of this account a commission on the purchase of any security within the past two years on the assets (cash or securities) being deposited into this account (does not apply to Manager Select accounts). In order to determine if you qualify for a fee credit, please provide trade details below.** (attach additional pages if necessary)

Purchase Date	Purchase Amount	Investment Name	Fund Class	CUSIP/Symbol	Commission
	$				$
	$				$
	$				$
	$				$

3. ☐ **Mark here if you wish to restrict specific securities, categories, groups or sectors from your account (for SAM/SAM II, PWP and Manager Select accounts only). In order to facilitate these restrictions, please provide restriction details below.***

Restrict common stock securities: (enter symbol)
Restrictions do not apply to mutual funds.
(attach additional pages if necessary)

Other Restrictions (for SAM/SAM II and PWP accounts only): Please explain any other restrictions below. This includes any industry group, sector or social category restrictions that apply to a PWP account. Financial advisor should refer to the Resource Center for detailed information on the restriction options available for PWP accounts. (attach additional pages if necessary)

*Certain restrictions may require further review with LPL and your financial advisor.

Section VI: Manager Select Account Information (complete this section for Manager Select accounts only)

1. **Portfolio Manager Name**

Asset Class*

Investment Style*

Did the portfolio manager indicated above previously manage the assets in this account? ◯Yes ◯No

Accepted by Portfolio Manager / Authorized Person Signature

Accepted by Portfolio Manager / Authorized Person Name (print)

Date (required)

*Financial advisor should refer to the Manager Select Participation List on the Resource Center for detailed information on each portfolio manager, their availsble asset classes and investment styles.

Section VII: Margin Agreement (not all account types are eligible to have margin, ask your financial advisor for details)

1. A margin account allows you to borrow against eligible securities or purchase securities on margin. Initial below if you want to establish a margin account and to indicate that you have received the Margin Disclosure Statement, have read the margin disclosure section in the Account Packet referenced in Section I, and agree to the terms and conditions.

Date Margin Disclosure Statement provided: **ALL** account holders must initial. Initials Initials Initials Initials

Account documents.pdf

LPL Account Number 1360-4701 **A1**

Section VIII: Client Acknowledgment and Execution

1.

Securities are offered by LPL Financial LLC (LPL) or UVEST Financial Services Group, Inc. (UVEST) and their respective Registered Representatives. LPL and UVEST are separate registered broker-dealers and are not affiliated with your financial institution.

- The investment products offered by LPL and UVEST are not insured by the FDIC, NCUA or any federal or state government agency.
- The investments, insurance and annuity products offered by LPL and UVEST are not obligations of, or guaranteed by, your financial institution or its affiliates.
- Certain certificates of deposit and cash sweep accounts may be insured by the FDIC, NCUA or a federal or state governmental agency.
- Purchasing securities involves investment risk including the possible loss of principal.
- The extension of credit by your financial institution may not be conditioned on the purchase of an insurance product or annuity from LPL, UVEST or your financial institution. You may purchase insurance or annuities from a provider of your choice.
- Your financial institution and LPL (or UVEST) have entered into a marketing agreement which may allow financial institution employees who accept deposits on behalf of the financial institution to be registered and appointed with LPL (or UVEST) for the purpose of offering investment and insurance products. The marketing agreement also provides for LPL to compensate your financial institution for use of its facilities.
- LPL and UVEST are members of FINRA and the Securities Investor Protection Corporation (SIPC). SIPC covers losses in investment accounts of up to $500,000 (of which up to $250,000 may be uninvested cash) due to member firm failures and does not cover a decline in the market value of securities. Additional information about SIPC and asset protection may also be found at www.sipc.org.

I hereby certify that I have received the above disclosures orally and have read and completely understand all of the above. I have had any questions regarding this acknowledgement answered to my complete satisfaction.

I acknowledge by signing below that I have received, read, understand and agree to the terms of this Account Application and the applicable Account Agreement (included in the Account Packet specified in Section I). Additionally I certify the following:

- All of the information provided in this Account Application is true, correct, and complete and I agree to notify LPL of any changes to the information.
- I have received the Advisory Program Brochure included as part of the applicable Account Packet and the Brochure Supplement of the financial advisor servicing my advisory account.
- For SAM/SAM II accounts, I understand and acknowledge that I have granted discretionary authority to my financial advisor to trade in certain securities as set out in the Account Agreement.
- I understand that LPL will supply my name to issuers of any securities held in my account so that I may receive important information regarding those securities, unless I notify LPL in writing not to do so.
- I acknowledge that proceeds from liquefied home equity on my primary residence will not be used to fund this account.

Suppression of Confirmations (for PWP, MWP and Manager Select accounts only): By initialing below, I hereby elect **not** to receive immediate trade confirmations from LPL for each transaction in the account. Information from the confirmation will be reported on my brokerage account statement.

Initials | Initials | Initials | Initials

Under penalties of perjury, I hereby certify that: (1) The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and (3) I am a U.S. person (including a U.S. resident alien). (Cross out (2) if subject to backup withholding.) **The Internal Revenue Service does not require my consent to any provision of this document other than the certifications required to avoid backup withholding.**

This account is governed by and I acknowledge receipt of the predispute arbitration clause that is located in the last numbered section of the Account Agreement (included in the Account Packet specified in Section I), which is incorporated by reference into this Account Application. If I am opening account with a third party investment advisor (TRIA) or third party asset management program (TAMP), I acknowledge receipt of the LPL Form ADV Disclosure Brochure.

Account Holder Signature	Account Holder Name (print)	Date (required)
	Mark Bishop	04/16/2012
Account Holder Signature	Account Holder Name (print)	Date (required)
Additional Account Holder Signatures		Date (required)

BRANCH USE ONLY

I have reviewed this document for completeness, accuracy, suitability, and proper disclosures. If this account was opened online and the automated check against the OFAC list of specially designated nationals (SDNs) resulted in a match to the client's name, I have confirmed that the client is not the same person listed by OFAC. If this account is opened by the home office, I have checked the list of SDNs and either the client's name does not appear or, if the client's name is the same as the name of a SDN, the client is not the person listed by OFAC. I have also provided the client with the CIP disclosure either in writing or verbally. I acknowledge and accept that I am a party to the applicable Account Agreement. I have determined that any liquidation of previously purchased investments to deposit assets into this account is suitable for the client and have disclosed to the client all costs incurred by the client to liquidate such investments.

Financial Advisor Signature	Financial Advisor Name (print)	Rep ID	Date (required)
	Ron Chamberlin	7NPB	04/16/2012
Joint Financial Advisor Signature	Joint Financial Advisor Name (print)	Rep ID	Date (required)

Account documents.pdf

Account Update
Change Advisor - Advisory

ATCA

Account Number | 1 | 3 | 6 | 0 | 4 | 7 | 0 | 1 |

Instructions: This form is to be used to change the investment advisor representative ("IAR") for SAM/SAM II, MWP, OMP-Advisory, PWP and Manager Select accounts. If this form is used for an MWP account, and a Dimensional Model is chosen, the new IAR must be approved by DFA in order for the account to be transitioned.

Please note: If the IAR(s) currently listed on the account has been terminated with LPL we must receive this form within 45 days from the date of IAR(s) termination. If not received within 45 days of IAR(s) termination, a new account will have to be established and new account paperwork will be required.

Please fax the completed form to New Accounts, (858) 202-8325.

Section I: Account Information

Social Security / Tax ID Number: 26-2119490

Is this a Manager Select account? ◯ Yes ◉ No

If this is a Manager Select account, notice of the change of IAR will be provided to the portfolio manager

Account Registration: ABS Investment Group

A. Current Investment Advisor Representative(s)

Investment Advisor Representative Name(s): Ron Chamberlin

Current IAR ID or Joint IAR ID: 7NPB

B. New Investment Advisor Representative(s):

Investment Advisor Representative Name(s): Ron Chamberlin

New IAR ID or Joint IAR ID: 5WLA

C. Effective Date (required): 12/11/2013

- All related changes to the account will be made as of the Effective Date
- If left blank, the Account Holder Signature Date below will be used as the Effective Date
- The Effective Date may not be before the Account Holder Signature Date, otherwise the Account Holder Signature Date below will be used as the Effective Date.

Section II: Performance and Cost Basis

The existing performance history and cost basis information will automatically be carried forward on this account. If new performance history and cost basis information for this account is required, the current account must be closed and a new account opened with a new account number.

Section III: Account Holder Acknowledgement

I/We acknowledge that the information contained in this document represents an amendment to the Account Agreement for the LPL Financial LLC ("LPL") account referenced in Section I above that was signed at the time I opened the account. Upon execution of the Account Agreement, I designated the IAR (s) identified in Section IA to provide certain services pursuant to the terms of the Agreement. This Amendment changes the IAR(s) designated in the original Account Agreement and designates the new IAR(s) identified above in Section IB.

I/We acknowledge that I/we have read and understand this Amendment and by executing where indicated below, agree to these changes to my/our Account Agreement. I/we acknowledge receiving a copy of this Amendment and any required ADV Part 2B Brochure Supplement for the new IAR(s).

Account Holder Signature: Mark Bishop

Account Holder Name (print): Mark Bishop

Date: 12.10.13

Account Holder Signature:

Account Holder Name (print):

Date:

New Financial Advisor / Authorized Person Signature: Ron Chamberlin

New Financial Advisor / Authorized Person Name (print): Ron Chamberlin

Date: 12/10/13

New Financial Advisor / Authorized Person Signature:

New Financial Advisor / Authorized Person Name (print):

Date:

Saved

Interactive TIN Session:Interactiv

This screen provides you with the results of your TIN Match request. The "Match Indicator" displays a code next to the TIN and name combination. Use the codes below to interpret your results:

0 = TIN and Name combination matches IRS records.
1 = TIN was missing or TIN not 9-digit numeric .
2 = TIN entered is not currently issued.
3 = TIN and Name combination does not match IRS records.
4 = Invalid TIN Matching request.
5 = Duplicate TIN Matching request.
6 = TIN and Name combination matches IRS SSN records.
7 = TIN and Name combination matches IRS EIN records.
8 = TIN and Name combination matches IRS SSN and EIN records.

Important ! Before leaving this screen, you may want to do a Print Screen of the results. Once you exit this screen, the interactive results will no longer be available for viewing.

Using the TIN Matching system allows you to verify the accuracy of taxpayer TIN and name information prior to submitting information to IRS. Internal Revenue Code 6724 provides any penalties under Section 6721 may be waived if the filer shows the failure to file a correct TIN on an information return was due to reasonable cause and not willful neglect. Filers may prove due diligence and receive a waiver from proposed penalties if they prove the TIN and name combination they submitted matched IRS records. Providing a copy of the Print Screen of your Interactive Results will be considered proof of due diligence.

1	Unknown	262119490	ABS INVESTMENT GROUP 7

You may do either of the following:

- Select ***Another Tin Matching Request*** to check more TIN and Name combinations.
- Select ***Done*** to return to the TIN Matching home page.

Another TIN Matching Request | Done

CIO

1360-4701

Account documents.pdf

CIDI

LPL Financial Contact Information & Delivery Instructions

Instructions This form is used to submit DVP instructions for Institutional accounts. Fax completed form to Brokerage New Accounts (858) 546-0874

1

Account Registration
ABS Investment Group, LLC

Account Number

Rep Name
Ron Chamberlin

Rep ID Number
7NPB

2 **Operations Contacts**

	Name	Phone Number
Trade Check Out	Mark Bishop	877-560-6637
Pool Allocation	Mark Bishop	877-560-6637
Settlement	Mark Bishop	877-560-667

Delivery Instructions (or attach your delivery sheet) SEE ATTACHED DELIVERY INSTRUCTIONS

Institutional Delivery Number

Agent Bank Number

Internal Account Number

Attention

Other Delivery Instructions

Fed Eligible Securities

DTC Eligible Securities

Physical Securities

Money Wire

MBSCC Participant?

EPN Symbol

Clearing Symbol

Credit Contact Name

Credit Contact Phone

Account documents.pdf

IIAC

LPL Financial — Institutional Investment Adviser Certification

Instructions This form is used for institutional accounts where the client is a Registered Investment Adviser. Fax completed form to Brokerage New Accounts (858) 546 0874

1	Account Registration	Account Number	Date
	ABS Investment Group, LLC		4/18/13
	Rep Name		**Rep ID Number**
	Ron Chamberlin		7NPB

We represent to you the following

1 Registration We are registered as an investment adviser pursuant to the Investment Advisers Act of 1940 or are exempt from such registration requirements

2 Authority We represent to you that we are duly authorized by, and retain written authorization from our clients to open accounts with you to execute transactions on behalf of our clients to purchase and sell securities and other financial products and to take any and all other actions that may be necessary to engage in transactions with you on our clients' behalf. In lieu of providing specific authority as to each client, we agree to indemnify and hold LPL Financial Corporation (LPL) and its agents and officials harmless in the event that any client should claim that any account opened with, transaction executed by or written or verbal instruction provide to LPL was without authority

3 Suitability We represent that we have used due diligence to learn the essential facts relative to our clients from such clients, including their financial status, investment objectives and any legal or regulatory restrictions to which they may be subject, and that we have determined that any transactions we execute with or through you on behalf of our clients are legally permissible and suitable for such clients. We agree to indemnify and hold LPL Financial Corporation (LPL) and its agents and affiliates harmless in the event any client should claim that any transaction was unlawful or unsuitable

4 Qualified Institutional Buyer We represent to you that if we purchase from or through you securities offered and sold pursuant to Rule 144A promulgated pursuant to the Securities Act of 1933 (Securities Act), that we are a Qualified Institutional Buyer as defined in the Securities Act and that we are only purchasing such securities on behalf of clients who themselves are Qualified Institutional Buyers

5 Anti Money Laundering We represent that we have adopted and implemented anti money laundering policies, procedures and controls that comply and will continue to comply in all respects with the requirements of any anti money laundering laws and regulations to which we are subject, and we strictly adhere to any such policies, procedures and controls. We represent that we have identified, and will continue to identify, any third parties for whom we may act and the source of funds for any third parties for whom we may act and that we will retain all documentation necessary to identify any such third parties. We further represent that we do not believe, and have no reason to believe, that any of the third parties for whom we may act are engaged in money laundering activities or are associated with any terrorist or other individuals, entities or organizations sanctioned by the United States or the jurisdictions in which we do business

6 Foreign Assets LPL does not deal with any person or entity whose name appears on the List of Specially Designated Nationals and Blocked Persons maintained by the U.S. Treasury Department's Office of Foreign Asset Control (OFAC) or engage in any activity involving any country that is prohibited by any OFAC administered regulation or restriction (Prohibited Investor). Thus, we represent that person controlling, controlled by or under common control with us is not a Prohibited Investor and that we will not deal with LPL on behalf of or for the benefit of, or purchase securities or other products with funds received from, any Prohibited Investor

Agreed to and Acknowledged.

Signature: Mark Bishop

Name (print): Mark Bishop

Title: Manager

Date: April 15, 2013

Account documents.pdf

LPL Financial

LLC

Limited Liability Company Operating Authority

Instructions: Use this form to designate individual(s) authorized to give instructions on behalf of a limited liability company. Fax the completed form to New Accounts Department at (858) 546-0874.

Account Number	Rep ID
1360-4701	7NPB

Section I: Limited Liability Company Information

Name of Corporation
ABS Investment Group

Is this Account for a government entity? ○ Yes ◉ No

Document Type
◉ Articles of Incorporation ○ Business License ○ Partnership Agreement ○ Certificate of Good Standing

Document Number (Tax ID/SSN not acceptable)	Place of Issuance
200804710300	CA
Document Issuance Date	**Document Expiration Date**
2/13/2008	N/A

Section II: EIN Exemption (optional)

Mark here if applicable:

☐ The LLC listed above meets the requirements of the IRS to operate without an employer identification number (EIN) as issued by the IRS. This LLC operates with no employees other than those listed on this form, has no qualified retirement plan, files no tax returns for employment or excise taxes, and does not operate as a corporation or partnership. This LLC will be operated under the Social Security number of the first member listed below.

Section III: Member Information (required for all members of LLC)

1.

Member
Mark Bishop

Social Security Number
553-19-5111

Residence Address (no P.O. boxes) ☐ Same as account
18117 Aliso Canyon
Rancho Santa Fe, CA 92067

Date of Birth (MM / DD / YYYY)
05/12/1956

Home Phone
949-678-9574

Country of Citizenship	ID Type	Place of Issuance
US	Drivers License	CA
ID Number	**ID Issuance Date**	**ID Expiration Date**
N2460579	5/12/1072	5/12/2016

☐ Mark here if you are an employee of or related to an employee of any exchange or member firm of any exchange or member of FINRA or officer of a bank, trust company, or insurance company, then complete the following:

Name _____ **Relationship** _____ **Name of Firm** _____

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months, then complete the following:

Name _____ **Relationship** _____ **Name of Firm** _____

Account documents.pdf

LPL Account Number 1360-4701 **LLC**

2.

Member | **Social Security Number**

Residence Address (no P.O. boxes) ☐ Same as account | **Date of Birth** MM / DD / YYYY | **Home Phone**

Country of Citizenship | **ID Type** | **Place of Issuance**

ID Number | **ID Issuance Date** | **ID Expiration Date**

☐ Mark here if you are an employee of or related to an employee of any exchange or member firm of any exchange or member of FINRA or officer of a bank, trust company, or insurance company, then complete the following:

Name | **Relationship** | **Name of Firm**

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months, then complete the following:

Name | **Relationship** | **Name of Firm**

3.

Member | **Social Security Number**

Residence Address (no P.O. boxes) ☐ Same as account | **Date of Birth** MM / DD / YYYY | **Home Phone**

Country of Citizenship | **ID Type** | **Place of Issuance**

ID Number | **ID Issuance Date** | **ID Expiration Date**

☐ Mark here if you are an employee of or related to an employee of any exchange or member firm of any exchange or member of FINRA or officer of a bank, trust company, or insurance company, then complete the following:

Name | **Relationship** | **Name of Firm**

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months, then complete the following:

Name | **Relationship** | **Name of Firm**

Section IV: Certification

In consideration of your carrying a limited liability company named in Section I, a duly organized limited liability company of which each of the undersigned is a member, the undersigned jointly and severally certify that each of the named persons in Section II, are members of said Limited Liability Company, the undersigned persons, and shall have authority on behalf of the limited liability company account to buy, sell, and otherwise deal in, through you as brokers, stocks, bonds and other securities and commodities, on margin or otherwise (including short sales); to receive on behalf of the limited liability company account demands, notices, confirmations, reports, statements of account, and communications of every kind, to receive on behalf of the limited liability company account agreements relating to any of the foregoing matters and to terminate or modify same or waive any of the provisions thereof; and generally deal with you on behalf of the limited liability company account as fully and completely as if he alone were interested in said account, all without notice to the other or others interested in said account.

The authority hereby conferred shall remain in force until written notice of its revocation addressed to you and delivered at your office at UVEST Financial Services.

The undersigned further authorizes you, in the event of death or retirement of any of the members of said limited liability company, to take such proceedings, require such papers, retain such portion of or restrict transactions in said account as you may deem advisable to protect you against and liability, penalty or loss under any present or future law or otherwise. It is further agreed that in the event of the death or retirement of any member of said limited liability company, the remaining members will immediately cause you to be notified of such fact.

Subject to the provision hereof all notices or communications for the undersigned in respect of the limited liability account will be directed to the address of record.

X _____ 4-16-12
Member Signature | Date | Member Signature | Date

Member Signature | Date

Account documents.pdf

Account Feature
Margin Agreement

MA

Account Number | 1 | 3 | 6 | 0 | 4 | 7 | 0 | 1 |

Rep ID | 7 | N | P | B |

Instructions: This agreement presents the terms and conditions governing your margin account with LPL Financial LLC ("LPL"). Your signature confirms that you agree to abide by the terms and conditions outlined in this agreement. Please read it carefully and maintain a copy for future reference. Any questions you have regarding this document or your account should be discussed with your representative. Please note: This form is not to be used for Advisory accounts. OMP accounts are not eligible for margin.

Please fax the completed form to New Accounts, (858) 202-8325.

1. Account Information

Account Registration: ABS Investment Group

Social Security / Tax ID Number: 26-2119490

2. Operation of Your Brokerage Account on Margin

Margin

Purchase of securities on credit, commonly known as margin purchases, enable you to increase the buying power of its equity and thus increase the potential for profit—or loss. A portion of the purchase price is deposited when buying securities on margin and LPL extends credit for the remainder. This loan appears as a debit balance on your monthly statement of account. LPL charges interest on the debit balance and requires margin clients to maintain securities, cash, or other property to secure repayment of funds advanced and interest due.

Interest will be charged for any credit extended to you for the purpose of buying, trading or carrying any securities, for any cash withdrawals made against the collateral of securities, or for any other extension of credit. When funds are paid in advance of settlement on the sale of securities, interest will be charged on such amount from the date of payment until settlement date. In the event that any other charge is made to the account for any reason, interest may be charged on the resulting debit balances.

Deposit of Collateral, Lien on Accounts and Liquidation

In the event that additional collateral is requested, you may deposit cash or acceptable securities into your margin account. If satisfactory collateral is not promptly deposited after a request is made, LPL may, at its discretion, liquidate securities held in any of your accounts. In this connection, pursuant to this Agreement, LPL retains a security interest in all securities and other property held in its accounts, including securities held for safekeeping, so long as any credit extended remains outstanding. Notwithstanding any other provision in this agreement to the contrary, any lien or security interest arising out of fees, charges or other obligations owed to LPL by an account of an individual retirement account or other plan subject to the prohibited transaction provisions of section 4975(c) of the Internal Revenue Code ("Plan") shall be limited to and enforceable against only the assets of such Plan account and any lien or security interest arising out of fees, charges or other obligations owed to LPL by a non-Plan account shall not extend to or be enforceable against the assets of any Plan account.

Liquidation

If, in LPL's discretion, LPL considers it necessary for its protection to require additional collateral or in the event that a petition in bankruptcy, or for appointment of a receiver is filed by or against you, or an attachment is levied against your accounts, or in the event of your death, LPL shall have the right to sell any or all securities, commodities, and other property in your accounts with LPL, whether carried individually or jointly with others, to buy any or all securities, commodities, and other property which may be short in such accounts, to cancel any open orders and to close any or all outstanding contracts, all without demand for margin or additional margin, notice of sale or purchase or other notice or advertisement. Any such sales or purchases may be made at LPL's discretion on any exchange or other market where such business is usually transacted, or at public auction or private sale, and LPL may be the purchaser for LPL's own account. It is understood that a prior demand, or call, or prior notice of the time and place of such a sale shall not be considered a waiver of LPL's right to sell or buy without demand or notice.

Payment of Indebtedness upon Demand and Liability for Costs of Collection

You shall at all times be liable for the payment upon demand of any debit balance or other obligations owing in any of your accounts with LPL and you shall be liable to LPL for any deficiency remaining in any such accounts in the event of the liquidation thereof, in whole or in part, by LPL or by you; and, you shall make payments of such obligation and indebtedness upon demand. The reasonable costs and expense of collection of the debit balance, recovery of securities, and any unpaid deficiency in your accounts with LPL, including, but not limited to, attorneys' fees, incurred and payable or paid by LPL shall be payable to LPL by you.

Pledge of Securities

Securities purchased on a cash or margin basis may be hypothecated under circumstances which will permit the co-mingling thereof with securities carried for other customers, but such securities, if hypothecated, will be withdrawn from hypothecation as soon as practicable upon receipt of payment therefor.

Pursuant to industry standards, in signing this agreement, you are agreeing to allow LPL to borrow your stock from your margin account. If your stock pays a dividend or other distribution and is loaned out over the record date for that payment, you may receive a substitute payment or payment in lieu of dividends instead of a qualifying dividend. Substitute payments are subject to a higher tax rate and would be reported to you on an IRS Form 1099-MISC instead of an IRS Form 1099-DIV. By entering into this agreement, you expressly assume responsibility for tax implications and adverse consequences, which may arise from entering into this agreement.

Margin Requirements and Credit Charges

You will at all times maintain such securities, commodities, and other property in your accounts for margin purposes as LPL shall require from time to time and the monthly debit balances or adjusted balances in your accounts shall be charged, in accordance with LPL's practice, with interest at a rate permitted by the laws of the Commonwealth of Massachusetts. It is understood that the interest charge made to your account at the close of a charge period will be added to the opening balance for the next charge period unless paid

Interest Rates

Interest charged on any debit balances in cash accounts or credit extended in margin accounts may be up to 3.00 percentage points above the LPL Base Lending Rate. The LPL Base Lending Rate will be set with reference to commercially recognized interest rates, industry conditions relating to the extension

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2. Operation of Your Brokerage Account on Margin (continued)

of credit, and general market conditions. The LPL Base Lending Rate will change without prior notice. When the LPL base Lending Rate changes during an interest period, interest will be calculated according to the number of days each rate is in effect during that period. If the rate of interest charged to you is changed for any other reason, you will be notified at least 30 days in advance.

Interest Period

Interest charges for the period shown on monthly statements reflect the second to last business day of the previous month through the third to last business day of the current month. Accordingly, the interest charges for the period shown on your monthly statement are based only on the daily net debit and credit balances for the interest period.

Method of Interest Computation

At the close of each Interest Period during which credit was extended to you, an interest charge is computed by multiplying the average daily debit balance by the applicable schedule rate and by the number of days during which a debit balance was outstanding and then dividing by 360. If there has been a change in the LPL Base Lending Rate, separate computations will be made with respect to each rate of charge for the appropriate number of days at each rate during the Interest Period. The interest charge for credit extended to your account at the close of the Interest Period is added to the opening debit balance for the next Interest Period unless paid. With the exception of credit balances in your short account, all other credit and debit balances in each portion of your account will be combined daily and interest will be charged on the resulting average daily net debit balances for the interest period. If there is a debit in the cash account (type 1) and there is a margin account (type 2), interest will be calculated on the combined debit balance and charged to the margin account. Any credit balance in the short account is disregarded because such credit collateralizes the stock borrowed for delivery against the short sale. Such credit is disregarded even if you should be long the same position in your margin account (i.e., short against the box). If the security that you sold short (or sold against the box) appreciates in market price over the selling price, interest will be charged on the appreciation in value. Correspondingly, if the security that you sold short depreciates in market price, the interest charged will be reduced since your average debit balance will decline. This practice is known as "marking to market." The daily closing price is used to determine any appreciation or depreciation of the security sold short.

If your account is short shares of stock on the record date of a dividend or other distribution, however such short position occurs, your account will be charged the amount of dividend or other distribution on the following Business Day.

General Margin Policies

The amount of credit that may be extended by LPL and the terms of such extension are governed by rules of the Federal Reserve Board and the Financial Industry Regulatory Authority. Within the guidelines of these rules and subject to adjustment required by changes in such rules and our business judgement, LPL establishes certain policies with respect to margin accounts. If the market value of securities in a margin account declines, LPL may require the deposit of additional collateral. Margin account equity is the current market value of securities and cash deposited as security less the amount owed LPL for credit extended at its discretion. It is LPL's general policy to require margin account holders to maintain equity in its margin accounts of the greater of 30% of the current market value or $3.00 per share for common stock purchased on margin. LPL applies other standards for other types of securities. For example, securities may be ineligible for margin credit from time to time. For information with respect to general margin maintenance policy as to municipal bonds, corporate bonds, listed United States Treasury notes and bonds, mutual funds, and other securities, as well as information about the eligibility of particular securities for margin credit, please contact your LPL financial advisor. Notwithstanding the above general policies, LPL reserves the right, at its discretion, to require the deposit of additional collateral and to set required margin at a higher or lower amount with respect to particular accounts or classes of accounts as it deems necessary. In making these determinations, LPL may take into account various factors including the size of the account, liquidity of a position, unusual concentrations of securities in an account, or a decline of credit worthiness. If you fail to meet a margin call in a timely manner, some or all of your positions may be liquidated.

Credit Investigation

LPL may exchange credit information about you with others. LPL may request a credit report on you and upon request, LPL will state the name and address of the consumer reporting agency that furnished it. If LPL extends, updates, or renews your credit, LPL may request a new credit report without telling you.

Arbitrability of Disputes

This agreement contains a predispute arbitration clause. By signing an arbitration agreement the parties agree as follows:

(A) All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.

(B) Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.

(C) The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.

(D) The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first hearing date.

(E) The Panel of Arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.

(F) The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.

(G) The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

In consideration of opening one or more accounts for you, you agree that any controversy between you and LPL and/or your Representative arising out of or relating to your account, transactions with or for you, or the construction, performance, or breach of this agreement whether entered into prior, on or subsequent to the date hereof, shall be settled by arbitration in accordance with the rules, then in effect, of the Financial Industry Regulatory Authority. Any arbitration award hereunder shall be final, and judgement upon the award rendered may be entered in any court, state or federal, having jurisdiction. You understand that you cannot be required to arbitrate any dispute or controversy nonarbitrable under federal law.

No person shall bring a putative or certified class action to arbitration, nor seek to enforce any pre-dispute arbitration agreement against any person who has initiated in court a putative class action; or who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; or (ii) the class is decertified; or (iii) the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any right under this agreement except to the extent stated herein.

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3. Account Holder Acknowledgement and Agreement

This agreement contains a pre-dispute arbitration clause appearing above on this page of the agreement. I acknowledge receiving a copy of this agreement and agree to abide by its terms as currently in effect or as they may be amended from time to time.

Date Margin Disclosure Statement provided:
07/22/2013

Account Holder Signature	Account Holder Name (print)	Date
	Mark Bishop	07/22/2013
Account Holder Signature	Account Holder Name (print)	Date

Account documents.pdf

Account Feature
Margin Agreement

MA

Account Number	1	3	6	0	4	7	0	1
Rep ID	7	N	P	B				

Instructions: This agreement presents the terms and conditions governing your margin account with LPL Financial LLC ("LPL"). Your signature confirms that you agree to abide by the terms and conditions outlined in this agreement. Please read it carefully and maintain a copy for future reference. Any questions you have regarding this document or your account should be discussed with your representative. Please note: This form is not to be used for Advisory accounts. OMP accounts are not eligible for margin.

Please fax the completed form to New Accounts, (858) 202-8325.

1. Account Information

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

2. Operation of Your Brokerage Account on Margin

Margin

Purchase of securities on credit, commonly known as margin purchases, enable you to increase the buying power of its equity and thus increase the potential for profit—or loss. A portion of the purchase price is deposited when buying securities on margin and LPL extends credit for the remainder. This loan appears as a debit balance on your monthly statement of account. LPL charges interest on the debit balance and requires margin clients to maintain securities, cash, or other property to secure repayment of funds advanced and interest due.

Interest will be charged for any credit extended to you for the purpose of buying, trading or carrying any securities, for any cash withdrawals made against the collateral of securities, or for any other extension of credit. When funds are paid in advance of settlement on the sale of securities, interest will be charged on such amount from the date of payment until settlement date. In the event that any other charge is made to the account for any reason, interest may be charged on the resulting debit balances.

Deposit of Collateral, Lien on Accounts and Liquidation

In the event that additional collateral is requested, you may deposit cash or acceptable securities into your margin account. If satisfactory collateral is not promptly deposited after a request is made, LPL may, at its discretion, liquidate securities held in any of your accounts. In this connection, pursuant to this Agreement, LPL retains a security interest in all securities and other property held in its accounts, including securities held for safekeeping, so long as any credit extended remains outstanding. Notwithstanding any other provision in this agreement to the contrary, any lien or security interest arising out of fees, charges or other obligations owed to LPL by an account of an individual retirement account or other plan subject to the prohibited transaction provisions of section 4975(c) of the Internal Revenue Code ("Plan") shall be limited to and enforceable against only the assets of such Plan account and any lien or security interest arising out of fees, charges or other obligations owed to LPL by a non-Plan account shall not extend to or be enforceable against the assets of any Plan account.

Liquidation

If, in LPL's discretion, LPL considers it necessary for its protection to require additional collateral or in the event that a petition in bankruptcy, or for appointment of a receiver is filed by or against you, or an attachment is levied against your accounts, or in the event of your death, LPL shall have the right to sell any or all securities, commodities, and other property in your accounts with LPL, whether carried individually or jointly with others, to buy any or all securities, commodities, and other property which may be short in such accounts, to cancel any open orders and to close any or all outstanding contracts, all without demand for margin or additional margin, notice of sale or purchase or other notice or advertisement. Any such sales or purchases may be made at LPL's discretion on any exchange or other market where such business is usually transacted, or at public auction or private sale, and LPL may be the purchaser for LPL's own account. It is understood that a prior demand, or call, or prior notice of the time and place of such a sale shall not be considered a waiver of LPL's right to sell or buy without demand or notice.

Payment of Indebtedness upon Demand and Liability for Costs of Collection

You shall at all times be liable for the payment upon demand of any debit balance or other obligations owing in any of your accounts with LPL and you shall be liable to LPL for any deficiency remaining in any such accounts in the event of the liquidation thereof, in whole or in part, by LPL or by you; and, you shall make payments of such obligation and indebtedness upon demand. The reasonable costs and expense of collection of the debit balance, recovery of securities, and any unpaid deficiency in your accounts with LPL, including, but not limited to, attorneys' fees, incurred and payable or paid by LPL shall be payable to LPL by you

Pledge of Securities

Securities purchased on a cash or margin basis may be hypothecated under circumstances which will permit the co-mingling thereof with securities carried for other customers, but such securities, if hypothecated, will be withdrawn from hypothecation as soon as practicable upon receipt of payment therefor.

Pursuant to industry standards, in signing this agreement, you are agreeing to allow LPL to borrow your stock from your margin account. If your stock pays a dividend or other distribution and is loaned out over the record date for that payment, you may receive a substitute payment or payment in lieu of dividends instead of a qualifying dividend. Substitute payments are subject to a higher tax rate and would be reported to you on an IRS Form 1099-MISC instead of an IRS Form 1099-DIV. By entering into this agreement, you expressly assume responsibility for tax implications and adverse consequences, which may arise from entering into this agreement.

Margin Requirements and Credit Charges

You will at all times maintain such securities, commodities, and other property in your accounts for margin purposes as LPL shall require from time to time and the monthly debit balances or adjusted balances in your accounts shall be charged, in accordance with LPL's practice, with interest at a rate permitted by the laws of the Commonwealth of Massachusetts. It is understood that the interest charge made to your account at the close of a charge period will be added to the opening balance for the next charge period unless paid.

Interest Rates

Interest charged on any debit balances in cash accounts or credit extended in margin accounts may be up to 3.00 percentage points above the LPL Base Lending Rate. The LPL Base Lending Rate will be set with reference to commercially recognized interest rates, industry conditions relating to the extension

Account documents.pdf

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2. Operation of Your Brokerage Account on Margin (continued)

of credit, and general market conditions. The LPL Base Lending Rate will change without prior notice. When the LPL base Lending Rate changes during an interest period, interest will be calculated according to the number of days each rate is in effect during that period. If the rate of interest charged to you is changed for any other reason, you will be notified at least 30 days in advance.

Interest Period

Interest charges for the period shown on monthly statements reflect the second to last business day of the previous month through the third to last business day of the current month. Accordingly, the interest charges for the period shown on your monthly statement are based only on the daily net debit and credit balances for the interest period.

Method of Interest Computation

At the close of each Interest Period during which credit was extended to you, an interest charge is computed by multiplying the average daily debit balance by the applicable schedule rate and by the number of days during which a debit balance was outstanding and then dividing by 360. If there has been a change in the LPL Base Lending Rate, separate computations will be made with respect to each rate of charge for the appropriate number of days at each rate during the Interest Period. The interest charge for credit extended to your account at the close of the Interest Period is added to the opening debit balance for the next Interest Period unless paid. With the exception of credit balances in your short account, all other credit and debit balances in each portion of your account will be combined daily and interest will be charged on the resulting average daily net debit balances for the interest period. If there is a debit in the cash account (type 1) and there is a margin account (type 2), interest will be calculated on the combined debit balance and charged to the margin account. Any credit balance in the short account is disregarded because such credit collateralizes the stock borrowed for delivery against the short sale. Such credit is disregarded even if you should be long the same position in your margin account (i.e., short against the box). If the security that you sold short (or sold against the box) appreciates in market price over the selling price, interest will be charged on the appreciation in value. Correspondingly, if the security that you sold short depreciates in market price, the interest charged will be reduced since your average debit balance will decline. This practice is known as "marking to market." The daily closing price is used to determine any appreciation or depreciation of the security sold short.

If your account is short shares of stock on the record date of a dividend or other distribution, however such short position occurs, your account will be charged the amount of dividend or other distribution on the following Business Day.

General Margin Policies

The amount of credit that may be extended by LPL and the terms of such extension are governed by rules of the Federal Reserve Board and the Financial Industry Regulatory Authority. Within the guidelines of these rules and subject to adjustment required by changes in such rules and our business judgement, LPL establishes certain policies with respect to margin accounts. If the market value of securities in a margin account declines, LPL may require the deposit of additional collateral. Margin account equity is the current market value of securities and cash deposited as security less the amount owed LPL for credit extended at its discretion. It is LPL's general policy to require margin account holders to maintain equity in its margin accounts of the greater of 30% of the current market value or $3 00 per share for common stock purchased on margin. LPL applies other standards for other types of securities. For example, securities may be ineligible for margin credit from time to time. For information with respect to general margin maintenance policy as to municipal bonds, corporate bonds, listed United States Treasury notes and bonds, mutual funds, and other securities, as well as information about the eligibility of particular securities for margin credit, please contact your LPL financial advisor. Notwithstanding the above general policies, I Pl. reserves the right, at its discretion, to require the deposit of additional collateral and to set required margin at a higher or lower amount with respect to particular accounts or classes of accounts as it deems necessary. In making these determinations, LPL may take into account various factors including the size of the account, liquidity of a position, unusual concentrations of securities in an account, or a decline of credit worthiness. If you fail to meet a margin call in a timely manner, some or all of your positions may be liquidated.

Credit Investigation

LPL may exchange credit information about you with others. LPL may request a credit report on you and upon request, LPL will state the name and address of the consumer reporting agency that furnished it. If LPL extends, updates, or renews your credit, LPL may request a new credit report without telling you.

Arbitrability of Disputes

This agreement contains a predispute arbitration clause. By signing an arbitration agreement the parties agree as follows:

(A) All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.

(B) Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.

(C) The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.

(D) The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first hearing date.

(E) The Panel of Arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.

(F) The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.

(G) The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

In consideration of opening one or more accounts for you, you agree that any controversy between you and LPL and/or your Representative arising out of or relating to your account, transactions with or for you, or the construction, performance, or breach of this agreement whether entered into prior, on or subsequent to the date hereof, shall be settled by arbitration in accordance with the rules, then in effect, of the Financial Industry Regulatory Authority. Any arbitration award hereunder shall be final, and judgement upon the award rendered may be entered in any court, state or federal, having jurisdiction. You understand that you cannot be required to arbitrate any dispute or controversy nonarbitrable under federal law.

No person shall bring a putative or certified class action to arbitration, nor seek to enforce any pre-dispute arbitration agreement against any person who has initiated in court a putative class action; or who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; or (ii) the class is decertified; or (iii) the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any right under this agreement except to the extent stated herein.

MA

3. Account Holder Acknowledgement and Agreement

This agreement contains a pre-dispute arbitration clause appearing above on this page of the agreement. I acknowledge receiving a copy of this agreement and agree to abide by its terms as currently in effect or as they may be amended from time to time.

Date Margin Disclosure Statement provided:
07/22/2013

Account Holder Signature

Mark Bishop
Account Holder Name (print)

07/22/2013
Date

Account Holder Signature

Account Holder Name (print)

Date

Account Number
1 3 6 0 4 7 0 1

F247
Revised 1212

Account documents.pdf

Account Feature

Margin Approval - SAM / SAM II

SMA

Account Number | 1 | 3 | 6 | 0 | 4 | 7 | 0 | 1 |

Rep ID | 7 | N | P | B |

Instructions: This is an amendment to the Strategic Asset Management (SAM) or Strategic Asset Management II (SAM II) Account Agreement. This form must be signed in conjunction with the previously executed SAM or SAM II Account Agreement, by and between LPL Financial LLC (LPL), a Registered Investment Advisor and broker/dealer, an LPL Financial Advisor and Investment Advisor Representative (IAR) and Client.

Please fax the completed form to New Accounts, (858) 202-8325.

1. Account Information

Account Registration

ABS Investment Group

2. The SAM or SAM II Account Agreement is Amended to Incorporate the Following

Operation of Your Advisory Account on Margin

Margin

Purchase of securities on credit, commonly known as margin purchases, enable you to increase the buying power of its equity and thus increase the potential for profit - or loss. This presents an additional element of risk for a SAM or SAM II account. A portion of the purchase price is deposited when buying securities on margin and LPL extends credit for the remainder. This loan appears as a debit balance on your monthly statement of account. LPL charges interest on the debit balance and requires margin clients to maintain securities, cash, or other property to secure repayment of funds advanced and interest due. For performance illustration purposes, the margin interest charge will be treated as a withdrawal and will, therefore, not negatively impact the performance figures reflected on your quarterly advisory reports.

Interest will be charged for any credit extended to you for the purpose of buying, trading or carrying any securities, for any cash withdrawals made against the collateral of securities, or for any other extension of credit. This interest charge is in addition to the annual investment advisory fee charged in connection with the SAM or SAM II account. The annual investment advisory fee will not be charged on any margin debit balance, rather only on the net equity of the account. When funds are paid in advance of settlement on the sale of securities, interest will be charged on such amount from the date of payment until settlement date. In the event that any other charge is made to the account for any reason, interest may be charged on the resulting debit balances.

Deposit of Collateral, Lien on Accounts and Liquidation

In the event that additional collateral is requested, you may deposit cash or acceptable securities into your margin account. If satisfactory collateral is not promptly deposited after a request is made, LPL may, at its discretion, liquidate securities held in any of your accounts. In this connection, pursuant to this Agreement, LPL retains a security interest in all securities and other property held in its accounts, including securities held for safekeeping, so long as any credit extended remains outstanding. Notwithstanding any other provision in this agreement to the contrary, any lien or security interest arising out of fees, charges or other obligations owed to LPL by an account of an individual retirement account or other plan subject to the prohibited transaction provisions of section 4975(c) of the Internal Revenue Code ("Plan") shall be limited to and enforceable against only the assets of such Plan account and any lien or security interest arising out of fees, charges or other obligations owed to LPL by a non-Plan account shall not extend to or be enforceable against the assets of any Plan account.

Liquidation

If, in LPL's discretion, LPL considers it necessary for its protection to require additional collateral or in the event that a petition in bankruptcy, or for appointment of a receiver is filed by or against you, or an attachment is levied against your accounts, or in the event of your death, LPL shall have the right to sell any or all securities, commodities, and other property in your accounts with LPL, whether carried individually or jointly with others, to buy any or all securities, commodities, and other property which may be short in such accounts, to cancel any open orders and to close any or all outstanding contracts, all without demand for margin or additional margin, notice of sale or purchase or other notice or advertisement. Any such sales or purchases may be made at LPL's discretion on any exchange or other market where such business is usually transacted, or at public auction or private sale. It is understood that a prior demand, or call, or prior notice of the time and place of such a sale shall not be considered a waiver of LPL's right to sell or buy without demand or notice. The liquidation of securities in a SAM or SAM II account to cover a margin debit balance may be disadvantageous to the long term management of the SAM or SAM II account.

Payment of Indebtedness upon Demand and Liability for Costs of Collection

You shall at all times be liable for the payment upon demand of any debit balance or other obligations owing in any of your LPL accounts and you shall be liable to LPL for any deficiency remaining in any such accounts in the event of the liquidation thereof, in whole or in part, by LPL or by you; and, you shall make payments of such obligation and indebtedness upon demand. The reasonable costs and expense of collection of the debit balance, recovery of securities, and any unpaid deficiency in the accounts of the undersigned with LPL, including, but not limited to, attorneys' fees, incurred and payable or paid by LPL shall be payable to LPL by you.

Pledge of Securities

Securities purchased on a cash or margin basis may be hypothecated under circumstances which will permit the co-mingling thereof with securities carried for other customers, but such securities, if hypothecated, will be withdrawn from hypothecation as soon as practicable upon receipt of payment there for.

On May 28, 2003, the tax rate on qualified dividends was reduced to 15% for most taxpayers and 5% for those taxpayers in the lowest income bracket. Substitute payments, or payments in lieu of dividends, do not qualify for the reduced rate.

Pursuant to industry standards, in signing this agreement, you are agreeing to allow LPL to borrow your stock from your margin account. If your stock pays a dividend or other distribution and is loaned out over the record date for that payment, you may receive a substitute payment or payment in lieu of dividends instead of a qualifying dividend. Substitute payments are subject to a higher tax rate and would be reported to you on an IRS Form 1099-MISC instead of an IRS Form 1099-DIV.

Account documents.pdf

2. The SAM or SAM II Account Agreement is Amended to Incorporate the Following (continued)

Since you may be subject to a higher tax rate on these payment types, you should consult with your tax advisor to discuss the possible implications of this exception from the reduced tax rates. By signing this agreement, you further certify that no tax advice has been given to you by LPL, unless your Financial Advisor is employed, as an outside activity, as a duly qualified tax advisor for which separate and distinct consideration may have been paid and is unrelated in any way to LPL. By entering into this agreement, you expressly assume responsibility for tax implications and adverse consequences, which may arise from entering into this agreement.

Margin Requirements and Credit Charges

You will at all times maintain such securities, commodities, and other property in your accounts for margin purposes as LPL shall require from time to time and the monthly debit balances or adjusted balances in your accounts shall be charged, in accordance with LPL's practice, with interest at a rate permitted by the laws of the Commonwealth of Massachusetts. It is understood that the interest charge made to your account at the close of a charge period will be added to the opening balance for the next charge period unless paid.

Interest Rates

Interest charged on any debit balances in cash accounts or credit extended in margin accounts may be up to 3.00 percentage points above the LPL Base Lending Rate. The LPL Base Lending Rate will be set with reference to commercially recognized interest rates, industry conditions relating to the extension of credit, and general market conditions. The LPL Base Lending Rate will change without prior notice. When the LPL Base Lending Rate changes during an interest period, interest will be calculated according to the number of days each rate is in effect during that period. If the rate of interest charged to you is changed for any other reason, you will be notified at least 30 days in advance. LPL retains a portion of any interest charged on margin debit balances.

Interest Period

Interest charges for the period shown on monthly statements reflect the second to last business day of the previous month through the third to last business day of the current month. Accordingly, the interest charges for the period shown on your monthly statement are based only on the daily net debit and credit balances for the interest period.

Method of Interest Computation

At the close of each Interest Period during which credit was extended to you, an interest charge is computed by multiplying the average daily debit balance by the applicable schedule rate and by the number of days during which a debit balance was outstanding and then dividing by 360. If there has been a change in the LPL Base Lending Rate, separate computations will be made with respect to each rate of charge for the appropriate number of days at each rate during the Interest Period. The interest charge for credit extended to your account at the close of the Interest Period is added to the opening debit balance for the next Interest Period unless paid.

With the exception of credit balances in your short account, all other credit and debit balances in each portion of your account will be combined daily and interest will be charged on the resulting average daily net debit balances for the interest period. If there is a debit in the cash account (type 1) and there is a margin account (type 2), interest will be calculated on the combined debit balance and charged to the margin account. Any credit balance in the short account is disregarded because such credit collateralizes the stock borrowed for delivery against the short sale. Such credit is disregarded even if you should be long the same position in your margin account (i.e., short against the box).

If the security that you sold short (or sold against the box) appreciates in market price over the selling price, interest will be charged on the appreciation in value. Correspondingly, if the security that you sold short depreciates in market price, the interest charged will be reduced since your average debit balance will decline. This practice is known as "marking to market." The daily closing price is used to determine any appreciation or depreciation of the security sold short.

If your account is short shares of stock on the record date of a dividend or other distribution, however such short position occurs, your account will be charged the amount of dividend or other distribution on the following Business Day.

General Margin Policies

The amount of credit that may be extended by LPL and the terms of such extension are governed by rules of the Federal Reserve Board and FINRA. Within the guidelines of these rules and subject to adjustment required by changes in such rules and our business judgement, LPL establishes certain policies with respect to margin accounts. If the market value of securities in a margin account declines, LPL may require the deposit of additional collateral. Margin account equity is the current market value of securities and cash deposited as security less the amount owed LPL for credit extended at its discretion. It is LPL's general policy to require margin account holders to maintain equity in its margin accounts of the greater of 30% of the current market value or $3.00 per share for common stock purchased on margin. LPL applies other standards for other types of securities. For example, securities may be ineligible for margin credit from time to time. For information with respect to general margin maintenance policy as to municipal bonds, corporate bonds, listed United States Treasury notes and bonds, mutual funds, and other securities, as well as information about the eligibility of particular securities for margin credit, please contact your LPL representative. Notwithstanding the above general policies, LPL reserves the right, at its discretion, to require the deposit of additional collateral and to set required margin at a higher or lower amount with respect to particular accounts or classes of accounts as it deems necessary. In making these determinations, LPL may take into account various factors including the size of the account, liquidity of a position, unusual concentrations of securities in an account, or a decline of credit worthiness. If you fail to meet a margin call in a timely manner, some or all of your positions may be liquidated.

Credit Investigation

LPL may exchange credit information about you with others. LPL may request a credit report on you and upon request, LPL will state the name and address of the consumer reporting agency that furnished it. If LPL extends, updates, or renews your credit, LPL may request a new credit report without notifying you.

Account documents.pdf

07/24/2013 WED 10:12 FAX 949 251 6958 CommerceWest Bank 003/003

SMA

3. Account Holder Acknowledgment and Agreement

Date Margin Disclosure Statement provided: 07/23/2013

Agreed to on: 07/23/2013

The undersigned acknowledge receiving a copy of this agreement.

Account Holder Signature	Mark Bishop Account Holder Name (print)	07/24/2013 Date
Account Holder Signature	Account Holder Name (print)	Date
Ron Chamberlin Financial Advisor / Authorized Person Signature	Ron Chamberlin Financial Advisor / Authorized Person Name (print)	07/24/2013 Date

Account Number: 1 3 6 0 4 7 0 1

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Revised 0912

LPL Financial

4707 Executive Drive
San Diego, CA 92121-3091

Bny Mellon
525 William Penn Place
18Th Floor - Room 153-1815,
Pittsburgh, PA 15259

Phone: 412-234-5635
Fax: 412-236-5972

Cost Basis Transfer Statement

Record Content:	Original
LPL A/C:	13604701
Settlement Date:	02/20/2015
Transfer Control Number:	CE8997D589A6E261
Alternate Control Number:	

Receiving Firm Number:	00000901
Receiving Firm A/C:	112000

In compliance with IRS regulations, under section 6045A, the following statement includes cost basis information, both for covered and uncovered shares, necessary for an owner (s) to transfer custody of securities between brokers.

ASSET LEVEL:

CUSIP/Symbol	Asset Category	Asset Description
59024FAG9 /	CORP	ML ALT NT ASSET TR REMIC 2007-A2 CL A3D MONTHLY 0 DAY DELAY VAR CPN 0.469% DUE 03/25/37DTD 03/30/07 FC 04/25/07

Options	Put/Call	Expiration Date	Strike Price

TAX LOT LEVEL:

Trade Date	Tax Lot Qty	Orig Cost	Curr Cost	Zero Basis Ind	Gift/ Inherit	Date of Gift	FMV as of Gift Date	Wash Sale Adj Trade Date	Wash Sale Adj Amt	Covered Ind	Long/ Short	Cert #	Fixed Income Elections: Market Discount Calc Method	Include Mkt Disc in Income	Treat Taxable Interest as OID	Amortize Premium	Convert Int at Spot Rate on Pay Date
08/02/2013	15,000,000.0000	1,449,806.97	1,449,807.07						0.000000	N	L						

Fixed Income	Mkt Discount Amt	A/A Adjusted Cost	Acq Prem Amt	Adjusted OID Price
	0.000000	0.000000	0.000000	0.000000

In compliance with IRS regulations, under section 6045A, the following statement includes cost basis information, both for covered and uncovered shares, necessary for an owner (s) to transfer custody of securities between brokers.

COMMERCEWEST
INVESTMENT MANAGEMENT
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
December 1 to December 31, 2012

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

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

Total Value of Your Account as of December 31, 2012 **$724,609.05**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2011	**$0.00**
Beginning Value as of December 1, 2012	**$12,348.68**
Additions	—
Withdrawals	—
Dividends, Interest and Capital Gains	0.11
Increase/decrease in Market Value[1]	712,260.26
Ending Value as of December 31, 2012	**$724,609.05**

	Year-End Value December 31, 2011	Value on December 31, 2012
TOTAL VALUE OF YOUR ACCOUNT	$0.00	$724,609.05

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

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.

LPL Financial

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

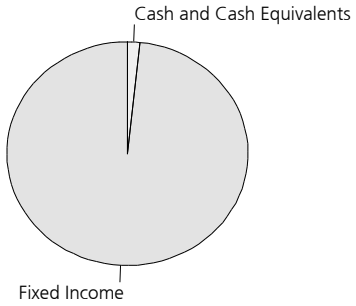
COPY

Investment Account Strategic Asset Management

Statement Period
December 1 to December 31, 2012

ACCOUNT INVESTMENT SUMMARY as of December 31, 2012

Investment Type	Amount	Percent
Cash and Cash Equivalents	$12,348.79	1.70%
Equities and Options	—	—
Fixed Income	712,260.26	98.30%
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$724,609.05**	**100.00%**



EARNINGS SUMMARY as of December 31, 2012

Estimated Annual Income	$213,784.00
Estimated Accrued Interest	$17,815.39

LPL Financial

COPY

Account Holdings as of December 31, 2012

CASH AND CASH EQUIVALENTS

Description	Current Balance
Money Market Funds	$12,348.79
TOTAL CASH AND CASH EQUIVALENTS	**$12,348.79**

GOVERNMENT AND AGENCY BONDS

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
BANC AMER FDG TR REMIC SER 2007-8 CL X-IO MONTHLY 24 DAY DELAY CPN 7.000% DUE 10/25/37 DTD 09/01/07 FC 10/25/07 S&P RATING: NOT RATED 05953LAM1	13,311,854	$23.3217	$712,260.26 FACTOR:0.22942459	$213,784	$17,815.39 30.01%
TOTAL GOVERNMENT AND AGENCY BONDS			**$712,260.26**	**$213,784**	**$17,815.39**

Value of Your LPL Financial Account

Market Value	Estimated Annual Income
$724,609.05	**$213,784**

COPY

Account Activity as of December 31, 2012

ACCOUNT ACTIVITY SUMMARY

	Period Ending December 31, 2012	Year-to-Date
Securities Purchased	—	—
Securities Sold	—	—
Additions to Your Account	—	2,216,290.47
Withdrawals from Your Account	—	-2,209,059.00
Dividends, Interest and Capital Gains	0.11	5,580.64
Reinvestments	—	—
Net Change in Bank Deposit Sweep Balance [1]	—	—
Net Change in Money Market Fund Balance	0.11	12,348.79
Fees and Expenses [2]	—	-463.32

ADDITIONS TO YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
12/10/12	Transfer A/C	INDYMAC MBS INC / RAST REMIC 2006-AR4 CL A1B MONTHLY 0 DAY DELAY VAR CPN 0.507% DUE 05/25/46 DTD 03/25/06 FC 04/25/06 45661EAW4	5,350,000	—	—
12/11/12	Journal	BANC AMER FDG TR REMIC SER 2007-8 CL X-IO MONTHLY 24 DAY DELAY CPN 7.000% DUE 10/25/37 DTD 09/01/07 FC 10/25/07 05953LAM1	13,311,854	—	—

ADDITIONS TO YOUR ACCOUNT 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.

ADDITIONS TO YOUR ACCOUNT (continued)

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
12/11/12	Transfer A/C	CWALT INC REMIC 2005-28CB CL 1A11 MONTHLY 24 DAY DELAY CPN 5.500% DUE 08/25/35 DTD 06/01/05 FC 07/25/05 12667GE82	4,395,400	—	—
12/19/12	Transfer A/C	CWALT INC REMIC 2005-28CB CL 1A11 MONTHLY 24 DAY DELAY CPN 5.500% DUE 08/25/35 DTD 06/01/05 FC 07/25/05 12667GE82	4,395,400	—	—
12/19/12	Transfer A/C	CWALT INC REMIC 2005-28CB CL 1A11 MONTHLY 24 DAY DELAY CPN 5.500% DUE 08/25/35 DTD 06/01/05 FC 07/25/05 12667GE82	4,395,400	—	—
TOTAL ADDITIONS TO YOUR ACCOUNT					—

WITHDRAWALS FROM YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
12/19/12	Transfer A/C	CWALT INC REMIC 2005-28CB CL 1A11 MONTHLY 24 DAY DELAY CPN 5.500% DUE 08/25/35 DTD 06/01/05 FC 07/25/05 12667GE82	-4,395,400	—	—
12/19/12	Transfer A/C	CWALT INC REMIC 2005-28CB CL 1A11 MONTHLY 24 DAY DELAY CPN 5.500% DUE 08/25/35 DTD 06/01/05 FC 07/25/05 12667GE82	-4,395,400	—	—
12/19/12	Transfer A/C	INDYMAC MBS INC / RAST REMIC 2006-AR4 CL A1B MONTHLY 0 DAY DELAY VAR CPN 0.507% DUE 05/25/46 DTD 03/25/06 FC 04/25/06 45661EAW4	-5,350,000	—	—
12/20/12	Transfer A/C	CWALT INC REMIC 2005-28CB CL 1A11 MONTHLY 24 DAY DELAY CPN 5.500% DUE 08/25/35 DTD 06/01/05 FC 07/25/05 12667GE82	-4,395,400	—	—
TOTAL WITHDRAWALS FROM YOUR ACCOUNT					—

Account Activity as of December 31, 2012

DIVIDENDS, INTEREST AND CAPITAL GAINS

Date	Activity Type	Description/SecurityID	Amount
12/31/12	Cash Dividend	JPMORGAN PRIME MONEY MARKET FUND SERVICE SHARES 123112 12,348	$0.11
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS			**$0.11**

NET MONEY MARKET FUND ACTIVITY[3]

JPMorgan Prime Money Market Fund - Service Shares

Date	Activity Type	Description	30-Day Yield	Amount	Balance
12/01/12	Opening Balance				$12,348.68
12/31/12	Dividend Reinvest	JPMORGAN PRIME MONEY		0.11	12,348.79
12/31/12	Closing Balance				12,348.79
JPMorgan Prime Money Market Fund - Service Shares			**0.010%**		
NET CHANGE IN MONEY MARKET FUND BALANCE				**$0.11**	

3 Money Market activity reflects the net of all transfers of funds to and from your money market account on the date referenced.

COPY

DIVIDEND AND INTEREST SUMMARY

Description	December 31, 2012	Year-to-Date
Money Market Funds	$0.11	$1.02
Government and Agency Bonds	—	4,867.86
TOTAL DIVIDENDS AND INTEREST	**$0.11**	**$4,868.88**

CAPITAL GAINS AND OTHER DISTRIBUTION SUMMARY

Description	December 31, 2012	Year-to-Date
Principal Distributions	—	$711.76
TOTAL CAPITAL GAINS AND OTHER DISTRIBUTIONS	**—**	**$711.76**

DIVIDENDS, INTEREST, CAPITAL GAINS AND OTHER DISTRIBUTIONS NOT YET RECEIVED

DIVIDENDS, INTEREST AND CAPITAL GAINS NOT YET RECEIVED

Closing Date	Transaction Type	Description/SecurityID	Record Date	Quantity	Rate	Amount of Payment
01/25/13	Interest	BANC AMER FDG TR REMIC SER 2007-8 CL X-IO MONTHLY 24 DAY DELAY CPN 7.000% DUE 10/25/37 DTD 09/01/07 FC 10/25/07 05953LAM1	12/31/12	13,311,854	1.44381	$19,219.83
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS NOT YET RECEIVED						**$19,219.83**

Account Messages as of December 31, 2012

MESSAGES FROM YOUR FINANCIAL ADVISOR

Moving forward is less difficult when finances don't pose an additional burden. Give your loved ones the security of knowing that even if the unthinkable happens, they'll be taken care of.

Your referrals mean a great deal to my business. If you know of a friend or family member who might benefit from my service, please let me know. I will work hard to ensure that your referrals feel it was a wise investment of their time - and their future - to have met with me.

MESSAGES FROM LPL FINANCIAL

IMPORTANT TAX REMINDER: IRS MOVED 1099 MAILING DEADLINE TO FEBRUARY 15

Effective since 2009, Section 6045(b) of the Internal Revenue Code extended the due date to furnish 1099 Consolidated Reporting statements to customers from January 31 to February 15.

LPL Financial is required to report your sales, dividends and other distributions paid by investment companies on the 1099 Consolidated Reporting Statement (1099 DIV, INT, B, MISC, OID). Mutual Funds, Real Estate Investment Trusts and Unit Investment Trusts are examples of investment companies, and pass through tax reporting information to LPL Financial. Please also note that the cost basis of mutual funds and dividend reinvestment plans (DRPs) acquired in 2012 will be reported to the IRS this year, and may cause additional revisions due to the complexity of wash sale and average cost calculations.

As it is common for investment companies to amend tax information, LPL Financial will request a supplemental mailing extension in the event investment companies abide by the new date and do not furnish tax information to LPL Financial in time for the February 15 mailing deadline. This additional extension attempts to minimize corrected 1099s resulting from amended reporting by investment companies.

The mailing dates for the 1099-R and 1099-Q forms will remain the standard deadline of January 31, 2013.

DECEMBER DIVIDENDS FOR CERTAIN MUTUAL FUNDS

This statement may not reflect all dividends applied to late December 2012 on certain mutual fund shares that may be held in your LPL Financial account. These dividends will be shown on your next month's statement. For tax purposes, these dividends will be reported on your annual 1099-DIV statement as income earned during 2012. You will not receive a 1099-DIV statement for any dividends paid to a retirement account as such income is tax-deferred.

YEAR-END ACCOUNT STATEMENTS/MULTIPLE FORM 1099s

This statement reflects only business conducted with your financial advisor during the time LPL Financial acted as broker-dealer. If you transferred an account to LPL Financial from another broker-dealer during 2012, your previous firm(s) should send you one or more Form 1099s summarizing any reportable account activity that took place before your account was transferred to LPL Financial. If your account was converted from Pershing during 2012, you may also receive one or more Form 1099s from those clearing firms. Please be sure to include all Form 1099s when completing your tax returns.

NON-TRANSFERABLE SECURITIES THAT ARE WORTHLESS

As part of our continuing effort to provide exceptional service, please be advised that LPL Financial will remove any non-transferable securities that are worthless from customer accounts. Your account may or may not be affected. Should you have any questions or concerns, please contact your financial advisor.

ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY)

EAI is calculated by taking the indicated annualized dividend and multiplying by the number of shares owned. EY is calculated by taking the EAI and dividing by the aggregate value of the shares owned. If no dividend information is available, no EAI or EY numbers will be generated. EAI and EY for certain types of securities could include a return of principal or capital gains in which case the EAI and EY would be overstated. EAI and EY are estimates and the actual income and yield might be lower or higher than the estimated amounts. Additionally the actual dividend or yield may vary depending on the security issuer's approval of paying the dividends. EY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

Disclosures and Other Information

Account Protection LPL Financial is a member of the Securities Investor Protection Corporation (SIPC). SIPC provides protection for your account up to $500,000, including $100,000 in free cash balances, in the unlikely event that LPL fails financially. SIPC protection limits apply to all accounts that you hold in a particular capacity. For example, if you hold two accounts at LPL as a sole account holder and a third as a joint account holder, the two individual accounts are protected under SIPC up to a combined limit of $500,000, and the joint account is protected under SIPC separately up to $500,000. Insured Cash Accounts are not protected by SIPC. LPL accounts have excess SIPC-like coverage to cover the net equity of customer accounts subject to a $750 million aggregate firm limit. More information on SIPC, including an SIPC Brochure, may be obtained by calling SIPC directly at (202) 371-8300 or by visiting **www.sipc.org.**

Adjusted Cost The cost basis of securities sold, matured, redeemed or exercised is adjusted for return of principal, original issue discount, accrual and partnership distributions for CMO, CDO, REMIC and MLP transactions. Eligible securities on the Realized Gains and Losses Statement have been adjusted for bond amortization, return of capital, liquidating distributions, wash sales or similar items. N/A displays when the information is incomplete or missing and is treated as zero when calculating totals.

Agency If LPL Financial acts as your agent, or as agent for both you and another person in a transaction, the transaction details, including the identity of the seller or buyer and the source and amount of any fees or payments will be supplied upon written request.

Asset-backed Securities The actual yield from transactions in asset-backed securities (e.g., CMO, FNMA, FHLMC OR GMNA transactions) may vary according to the rate at which the underlying assets or receivables are repaid. Information about yield factors is available from your financial advisor on request.

Called Securities In the event of a partial call of corporate or municipal bonds, or preferred stock held in bulk segregation, the securities to be called will automatically be selected on a random basis, as is customary in the securities industry. The probability that your securities will be selected is proportional to the amount of your holdings relative to the bulk holdings. A detailed description of the random selection procedure is available upon request.

Change of Address Please notify your financial advisor/representative or LPL Financial promptly in writing of any change of address.

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Discrepancies Please notify your financial advisor and LPL Financial immediately of any discrepancies on your statement. If your financial advisor is affiliated with another broker/dealer, you must notify them as well. Please contact your financial advisor for the broker/dealer's contact information. Your financial advisor's address and telephone number can be found on the bottom of each page of this statement. LPL Financial's telephone number is (800) 558-7567 and address can be found on the first page of this statement. Additionally, any verbal communications should be re-confirmed in writing to each of the above parties to further protect your rights, including rights under Securities Investor Protection Act (SIPA).

Free Credit Balances LPL Financial may use your free credit balances subject to the limitations of 17 CFR Section 240.15c3-3 under the Securities Exchange Act of 1934. You have the right to receive from us, upon demand in the course of normal business, the delivery of any free credit balances to which you are entitled, any fully paid securities to which you are entitled, and any securities purchased on margin upon full payment of any indebtedness to LPL Financial.

Insured Cash Accounts (ICA) Cash in the ICA program is protected by the Federal Deposit Insurance Corporation (FDIC). LPL Financial allocates your money in the ICA program to banks listed in the Priority Bank List in increments up to $250,000 per depositor per depository institution ($500,000 for joint accounts) until your balance in the ICA program is allocated up to a total of $1,500,000 ($3,000,000 for joint accounts). Recent legislation permanently increased FDIC coverage to $250,000 per depositor per bank ($500,000 for joint account holders). More information on FDIC insurance is available on request, or by visiting the FDIC website at **www.fdic.gov.** LPL Financial is not a bank. Unless otherwise disclosed, securities and other investments obtained through LPL Financial ARE NOT FDIC INSURED, ARE NOT BANK GUARANTEED AND MAY LOSE VALUE.

Investment Risk LPL Financial is not a bank, savings and loan, or credit union. Securities and insurance offered through LPL and its affiliates are not FDIC, NCUA or government insured, not endorsed or guaranteed by LPL, its affiliates or any other financial institution, are not a deposit, and involve investment risk including possible loss of principal.

Investments Held Outside LPL Financial Information on investments Held Outside LPL is provided for informational purposes only. Values for investments not held in your LPL account are based on the market value of priced securities at the end of the statement period. Values for annuities reflect a pricing date approximately three business days prior to the statement date. Values for alternative investments such as Managed Futures and REITs (Real Estate Investment Trusts) reflect a pricing date three to five business days prior to the statement date, depending on the availability of the data. The account registration for investments held outside LPL may not be the same as the registration for the LPL account with which it is affiliated. For example, an outside investment with a joint registration may be reflected on an LPL account with an individual registration.

Margin Account If you use margin, this statement combines information about your investment account(s) and a special miscellaneous account maintained for you under Section 220.6 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account required by Regulation T is available for your inspection upon request.

Money Market Funds Money market fund transactions, if any, are displayed chronologically. The 30-day yield for the fund is also reflected as of the statement date.

Municipal Material Disclosures Copies of any material disclosures for municipal bonds are available at www.emma.msrb.org. To obtain specific municipal bond information, enter the nine-digit CUSIP number in the Search field within the EMMA web site. If you do not have access to the Internet or would prefer a physical copy of the material disclosure, please contact your financial advisor. Additional municipal bond information that may be available on www.emma.msrb.org, includes, but is not limited to: advance refunding documents, continuing disclosures, including annual financial statements and notices of material events, real-time and historical trade data, daily market statistics and educational material.

N/A or "–" Data Information that displays as N/A or "–" is unavailable, missing or incomplete and is treated as zero when calculating account totals, market values and performance.

Open Orders Open Orders are transactions pending execution, i.e., purchase and/or sale orders that you have placed, but that have not been executed by the end of the statement period.

Option Clients Information on commissions and other charges incurred in connection with the execution of option transactions has been included in the confirmations of these transactions furnished to you. A summary of this Information will be made available upon request. In accordance with the Option Agreement and Approval Form you signed, you must promptly advise the firm of any material change in your investment objectives or financial situation.

Payment for Order Flow LPL Financial acts as your agent and receives payment for order flow, the source and nature of which will be furnished to you upon written request.

Pricing Securities prices shown on this statement may vary from actual liquidation value. Prices shown should only be used as a general guide to portfolio value. We receive prices from various services, which are sometimes unable to provide timely information. Where pricing sources are not readily available, particularly on certain debt instruments including, but not limited to, bills, notes, bonds, banker's acceptances, certificates of deposit, or commercial paper, estimated prices may be generated by a matrix system or market driven pricing model, taking various factors into consideration. These prices may not be the actual price you would receive if you sold before the maturity of a certificate of deposit. The pricing of listed options takes into account the last closing price, as well as the current bid and offer prices. Where securities have not been priced, their values have not been included in the Portfolio Summary information at the beginning of this statement.

Principal If your broker-dealer is acting as principal in a transaction, your broker-dealer has sold to or bought from you the security, and may have received a profit from the transaction.

Purchase Cost Original cost including fees, commissions and less accrued interest of the quantity sold or redeemed. For transferred securities, this could be the purchase amount you or the former institution provided to us.* Purchase Cost may be adjusted to reflect corporate actions, such as stock splits, mergers, spin-offs or other events. N/A is displayed when the information is incomplete or missing and is treated as zero when calculating totals. **Transferred securities may not be included in Purchase Cost.*

Regulation All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange or market–and its clearing house, if any–where the transactions are executed, and of the Financial Industry Regulation Authority (FINRA).

Reinvestment The dollar amount of mutual fund distributions, money market fund income, or dividends on other securities shown on your statement may have been reinvested in additional shares. You will not receive confirmations for these reinvestment transactions. However, you may request information on these transactions by writing to LPL Financial. LPL will also, if requested, furnish you with the time of execution and the name of the person from whom your security was purchased.

Statement of Financial Condition LPL Financial's financial statement is available for inspection at our office. We will mail a copy to you upon written request.

Sweep Option Your account may provide for a daily sweep into an Insured Cash Account. If you have any questions about your sweep option, including rates or the depository institutions currently participating in the sweep option, or you would like to change your sweep option, please contact your financial advisor.

LPL Financial LLC is an affiliate of LPL Financial Holdings Inc.

LPL Financial

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COMMERCEWEST
INVESTMENT MANAGEMENT
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
November 1 to November 30, 2012

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

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

Total Value of Your Account as of November 30, 2012 **$12,348.68**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2011	**$0.00**
Beginning Value as of November 1, 2012	**$782,230.08**
Additions	—
Withdrawals	—
Dividends, Interest and Capital Gains	1,218.60
Increase/decrease in Market Value[1]	-771,100.00
Ending Value as of November 30, 2012	**$12,348.68**

	Year-End Value December 31, 2011	Value on November 30, 2012
TOTAL VALUE OF YOUR ACCOUNT	$0.00	$12,348.68

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

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.

LPL Financial

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

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Investment Account Strategic Asset Management

Statement Period
November 1 to November 30, 2012

ACCOUNT INVESTMENT SUMMARY as of November 30, 2012

Investment Type	Amount	Percent
Cash and Cash Equivalents	$12,348.68	100.00%
Equities and Options	—	—
Fixed Income	—	—
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$12,348.68**	**100.00%**

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Account Holdings as of November 30, 2012

CASH AND CASH EQUIVALENTS

Description	Current Balance
Money Market Funds	$12,348.68
TOTAL CASH AND CASH EQUIVALENTS	**$12,348.68**

Value of Your LPL Financial Account

Market Value	Estimated Annual Income
$12,348.68	—

Account Activity as of November 30, 2012

ACCOUNT ACTIVITY SUMMARY

	Period Ending November 30, 2012	Year-to-Date
Securities Purchased	—	—
Securities Sold	—	—
Additions to Your Account	—	2,216,290.47
Withdrawals from Your Account	—	-2,209,059.00
Dividends, Interest and Capital Gains	1,218.60	5,580.53
Reinvestments	—	—
Net Change in Bank Deposit Sweep Balance [1]	—	—
Net Change in Money Market Fund Balance	1,218.60	12,348.68
Fees and Expenses [2]	—	-463.32

ADDITIONS TO YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
11/06/12	Transfer A/C	CHASE FDG MTG LN REMIC 2003-5 CL IB MONTHLY 24 DAY DELAY CPN 5.850% DUE 02/25/32 DTD 09/01/03 FC 10/25/03 161546GP5	3,000,000	—	—
TOTAL ADDITIONS TO YOUR ACCOUNT					—

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.

WITHDRAWALS FROM YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
11/19/12	Transfer A/C	CHASE FDG MTG LN REMIC 2003-5 CL IB MONTHLY 24 DAY DELAY CPN 5.850% DUE 02/25/32 DTD 09/01/03 FC 10/25/03 161546GP5	-3,000,000	—	—
11/27/12	Journal	JP MORGAN MTG ACQ CORP REMIC SR 2006-FRE2 CL M1 MONTHLY 0 DAY DELAY VAR CPN 0.547% DUE 02/25/36 DTD 03/29/06 FC 04/25/06 46626LHB9	-2,500,000	—	—
TOTAL WITHDRAWALS FROM YOUR ACCOUNT					**—**

DIVIDENDS, INTEREST AND CAPITAL GAINS

Date	Activity Type	Description/SecurityID	Amount
11/26/12	Interest	JP MORGAN MTG ACQ CORP REMIC SR 2006-FRE2 CL M1 MONTHLY 0 DAY DELAY VAR CPN 0.547% DUE 02/25/36 DTD 03/29/06 FC 04/25/06 112512 2,500,000 46626LHB9 AS OF 11/25/12	$1,218.51
11/30/12	Cash Dividend	JPMORGAN PRIME MONEY MARKET FUND SERVICE SHARES 113012 12,348	0.09
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS			**$1,218.60**

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NET MONEY MARKET FUND ACTIVITY[3]

JPMorgan Prime Money Market Fund - Service Shares

Date	Activity Type	Description	30-Day Yield	Amount	Balance
11/01/12	Opening Balance				$11,130.08
11/27/12	Shares Purchased	JPMORGAN PRIME MONEY		1,218.51	12,348.59
11/30/12	Dividend Reinvest	JPMORGAN PRIME MONEY		0.09	12,348.68
11/30/12	Closing Balance				12,348.68
JPMorgan Prime Money Market Fund - Service Shares			**0.010%**		
NET CHANGE IN MONEY MARKET FUND BALANCE				**$1,218.60**	

3 Money Market activity reflects the net of all transfers of funds to and from your money market account on the date referenced.

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Account Detail as of November 30, 2012

DIVIDEND AND INTEREST SUMMARY

Description	November 30, 2012	Year-to-Date
Money Market Funds	$0.09	$0.91
Government and Agency Bonds	1,218.51	4,867.86
TOTAL DIVIDENDS AND INTEREST	**$1,218.60**	**$4,868.77**

CAPITAL GAINS AND OTHER DISTRIBUTION SUMMARY

Description	November 30, 2012	Year-to-Date
Principal Distributions	—	$711.76
TOTAL CAPITAL GAINS AND OTHER DISTRIBUTIONS	**—**	**$711.76**

Account Messages as of November 30, 2012

MESSAGES FROM YOUR FINANCIAL ADVISOR

Moving forward is less difficult when finances don't pose an additional burden. Give your loved ones the security of knowing that even if the unthinkable happens, they'll be taken care of.

Your referrals mean a great deal to my business. If you know of a friend or family member who might benefit from my service, please let me know. I will work hard to ensure that your referrals feel it was a wise investment of their time - and their future - to have met with me.

MESSAGES FROM LPL FINANCIAL

IMPORTANT TAX REMINDER: IRS MOVED 1099 MAILING DEADLINE TO FEBRUARY 15

Effective since 2009, Section 6045(b) of the Internal Revenue Code extended the due date to furnish 1099 Consolidated Reporting statements to customers from January 31 to February 15.

LPL Financial is required to report your sales, dividends and other distributions paid by investment companies on the 1099 Consolidated Reporting Statement (1099 DIV, INT, B, MISC, OID). Mutual Funds, Real Estate Investment Trusts and Unit Investment Trusts are examples of investment companies, and pass through tax reporting information to LPL Financial. Please also note that the cost basis of mutual funds and dividend reinvestment plans (DRPs) acquired in 2012 will be reported to the IRS this year, and may cause additional revisions due to the complexity of wash sale and average cost calculations.

As it is common for investment companies to amend tax information, LPL Financial will request a supplemental mailing extension in the event investment companies abide by the new date and do not furnish tax information to LPL Financial in time for the February 15 mailing deadline. This additional extension attempts to minimize corrected 1099s resulting from amended reporting by investment companies.

The mailing dates for the 1099-R and 1099-Q forms will remain the standard deadline of January 31, 2013.

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LPL Financial LLC is an affiliate of LPL Financial Holdings Inc.

LPL Financial

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Account statements aug-dec 2012.pdf

COMMERCEWEST
INVESTMENT MANAGEMENT
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
October 1 to October 31, 2012

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

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

Total Value of Your Account as of October 31, 2012 **$782,230.08**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2011	**$0.00**
Beginning Value as of October 1, 2012	**$255,256.88**
Additions	—
Withdrawals	—
Dividends, Interest and Capital Gains	2,485.50
Other Account Activity [1]	-327.30
Increase/decrease in Market Value [2]	524,815.00
Ending Value as of October 31, 2012	**$782,230.08**

	Year-End Value December 31, 2011	Value on October 31, 2012
TOTAL VALUE OF YOUR ACCOUNT	**$0.00**	**$782,230.08**

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

LPL Financial

1 Includes fees, expenses and other activity during the Statement period. See "Account Activity".
2 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.

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

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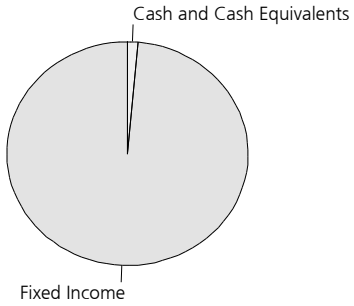
Investment Account Strategic Asset Management

Statement Period
October 1 to October 31, 2012

ACCOUNT INVESTMENT SUMMARY as of October 31, 2012

Investment Type	Amount	Percent
Cash and Cash Equivalents	$11,130.08	1.42%
Equities and Options	—	—
Fixed Income	771,100.00	98.58%
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$782,230.08**	**100.00%**



EARNINGS SUMMARY as of October 31, 2012

Estimated Annual Income	$13,750.00

LPL Financial

Account Holdings as of October 31, 2012

CASH AND CASH EQUIVALENTS

Description	Current Balance
Money Market Funds	$11,130.08
TOTAL CASH AND CASH EQUIVALENTS	**$11,130.08**

GOVERNMENT AND AGENCY BONDS

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
JP MORGAN MTG ACQ CORP REMIC SR 2006-FRE2 CL M1 MONTHLY 0 DAY DELAY VAR CPN 0.550% DUE 02/25/36 DTD 03/29/06 FC 04/25/06 MOODYS RATING: C S&P RATING: CCC 46626LHB9	2,500,000	$30.844	$771,100.00 FACTOR:1.00	$13,750	— 1.78%
TOTAL GOVERNMENT AND AGENCY BONDS			**$771,100.00**	**$13,750**	**—**

Value of Your LPL Financial Account

Market Value	Estimated Annual Income
$782,230.08	**$13,750**

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Account Activity as of October 31, 2012

ACCOUNT ACTIVITY SUMMARY

	Period Ending October 31, 2012	Year-to-Date
Securities Purchased	—	—
Securities Sold	—	—
Additions to Your Account	—	2,216,290.47
Withdrawals from Your Account	—	-2,209,059.00
Dividends, Interest and Capital Gains	2,485.50	4,361.93
Reinvestments	—	—
Net Change in Bank Deposit Sweep Balance [1]	—	—
Net Change in Money Market Fund Balance	2,158.20	11,130.08
Fees and Expenses [2]	-327.30	-463.32

ADDITIONS TO YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
10/12/12	Transfer A/C	MASTR ADJ RATE MTG TR REMIC SER 2005-6 CL 4A2 MONTHLY 24 DAY DELAY VAR CPN 2.599% DUE 07/25/35 DTD 06/01/05 FC 07/25/05 576433A63	3,187,000	—	—
10/30/12	Journal	JP MORGAN MTG ACQ CORP REMIC SR 2006-FRE2 CL M1 MONTHLY 0 DAY DELAY VAR CPN 0.550% DUE 02/25/36 DTD 03/29/06 FC 04/25/06 46626LHB9	2,500,000	—	—
TOTAL ADDITIONS TO YOUR ACCOUNT					—

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.

WITHDRAWALS FROM YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
10/19/12	Transfer A/C	MASTR ADJ RATE MTG TR REMIC SER 2005-6 CL 4A2 MONTHLY 24 DAY DELAY VAR CPN 2.599% DUE 07/25/35 DTD 06/01/05 FC 07/25/05 576433A63	-3,187,000	—	—
10/30/12	Journal	BEAR STEARNS ASSET BKD REMIC SER 2007-HE5 CL M2 MONTHLY 0 DAY DELAY VAR CPN 0.590% DUE 05/25/37 DTD 05/30/07 FC 06/25/07 073859AH3	-5,000,000	—	—
TOTAL WITHDRAWALS FROM YOUR ACCOUNT					—

DIVIDENDS, INTEREST AND CAPITAL GAINS

Date	Activity Type	Description/SecurityID	Amount
10/25/12	Interest	BEAR STEARNS ASSET BKD REMIC SER 2007-HE5 CL M2 MONTHLY 0 DAY DELAY VAR CPN 0.590% DUE 05/25/37 DTD 05/30/07 FC 06/25/07 102512 5,000,000 073859AH3	$2,485.42
10/31/12	Cash Dividend	JPMORGAN PRIME MONEY MARKET FUND SERVICE SHARES 103112 11,130	0.08
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS			**$2,485.50**

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NET MONEY MARKET FUND ACTIVITY[3]

JPMorgan Prime Money Market Fund - Service Shares

Date	Activity Type	Description	30-Day Yield	Amount	Balance
10/01/12	Opening Balance				$8,971.88
10/09/12	Shares Redeemed	JPMORGAN PRIME MONEY		-327.30	8,644.58
10/26/12	Shares Purchased	JPMORGAN PRIME MONEY		2,485.42	11,130.00
10/31/12	Dividend Reinvest	JPMORGAN PRIME MONEY		0.08	11,130.08
10/31/12	Closing Balance				11,130.08
JPMorgan Prime Money Market Fund - Service Shares			**0.010%**		
NET CHANGE IN MONEY MARKET FUND BALANCE				**$2,158.20**	

FEES AND EXPENSES

Date	Activity Type	Description/SecurityID	Amount
10/08/12	Wrap Fee	ADVISORY FEE	-$327.30
TOTAL FEES AND EXPENSES			**-$327.30**

3 Money Market activity reflects the net of all transfers of funds to and from your money market account on the date referenced.

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Account Detail as of October 31, 2012

DIVIDEND AND INTEREST SUMMARY

Description	October 31, 2012	Year-to-Date
Money Market Funds	$0.08	$0.82
Government and Agency Bonds	2,485.42	3,649.35
TOTAL DIVIDENDS AND INTEREST	**$2,485.50**	**$3,650.17**

CAPITAL GAINS AND OTHER DISTRIBUTION SUMMARY

Description	October 31, 2012	Year-to-Date
Principal Distributions	—	$711.76
TOTAL CAPITAL GAINS AND OTHER DISTRIBUTIONS	**—**	**$711.76**

Account Messages as of October 31, 2012

MESSAGES FROM YOUR FINANCIAL ADVISOR

Moving forward is less difficult when finances don't pose an additional burden. Give your loved ones the security of knowing that even if the unthinkable happens, they'll be taken care of.

Your referrals mean a great deal to my business. If you know of a friend or family member who might benefit from my service, please let me know. I will work hard to ensure that your referrals feel it was a wise investment of their time - and their future - to have met with me.

MESSAGES FROM LPL FINANCIAL

NON-TRANSFERABLE SECURITIES THAT ARE WORTHLESS

As part of our continuing effort to provide exceptional service, please be advised that LPL Financial will remove any non-transferable securities that are worthless from customer accounts. Your account may or may not be affected. Should you have any questions or concerns, please contact your financial advisor.

ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY)

EAI is calculated by taking the indicated annualized dividend and multiplying by the number of shares owned. EY is calculated by taking the EAI and dividing by the aggregate value of the shares owned. If no dividend information is available, no EAI or EY numbers will be generated. EAI and EY for certain types of securities could include a return of principal or capital gains in which case the EAI and EY would be overstated. EAI and EY are estimates and the actual income and yield might be lower or higher than the estimated amounts. Additionally the actual dividend or yield may vary depending on the security issuer's approval of paying the dividends. EY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

Disclosures and Other Information

Account Protection LPL Financial is a member of the Securities Investor Protection Corporation (SIPC). SIPC provides protection for your account up to $500,000, including $100,000 in free cash balances, in the unlikely event that LPL fails financially. SIPC protection limits apply to all accounts that you hold in a particular capacity. For example, if you hold two accounts at LPL as a sole account holder and a third as a joint account holder, the two individual accounts are protected under SIPC up to a combined limit of $500,000, and the joint account is protected under SIPC separately up to $500,000. Insured Cash Accounts are not protected by SIPC. LPL accounts have excess SIPC-like coverage to cover the net equity of customer accounts subject to a $750 million aggregate firm limit. More information on SIPC, including an SIPC Brochure, may be obtained by calling SIPC directly at (202) 371-8300 or by visiting **www.sipc.org.**

Adjusted Cost The cost basis of securities sold, matured, redeemed or exercised is adjusted for return of principal, original issue discount, accrual and partnership distributions for CMO, CDO, REMIC and MLP transactions. Eligible securities on the Realized Gains and Losses Statement have been adjusted for bond amortization, return of capital, liquidating distributions, wash sales or similar items. N/A displays when the information is incomplete or missing and is treated as zero when calculating totals.

Agency If LPL Financial acts as your agent, or as agent for both you and another person in a transaction, the transaction details, including the identity of the seller or buyer and the source and amount of any fees or payments will be supplied upon written request.

Asset-backed Securities The actual yield from transactions in asset-backed securities (e.g., CMO, FNMA, FHLMC OR GMNA transactions) may vary according to the rate at which the underlying assets or receivables are repaid. Information about yield factors is available from your financial advisor on request.

Called Securities In the event of a partial call of corporate or municipal bonds, or preferred stock held in bulk segregation, the securities to be called will automatically be selected on a random basis, as is customary in the securities industry. The probability that your securities will be selected is proportional to the amount of your holdings relative to the bulk holdings. A detailed description of the random selection procedure is available upon request.

Change of Address Please notify your financial advisor/representative or LPL Financial promptly in writing of any change of address.

Cost Basis Transactions are automatically paired against holdings on a "First-In/First-Out" basis (unless manually adjusted). Designating liquidations as "versus purchase" on a trade will cause the trade confirmation or other closed tax lot notification to reflect the selected closed tax lots. For assets not purchased in the LPL account, you or the previous broker / dealer upon transfer may have provided the Date Acquired and Purchase Cost of the position. If no such data was submitted, N/A is listed as the Purchase Cost, and is treated as zero when calculating Gain or Loss totals. Since the cost basis on certain securities may have been provided by another source, the cost basis information on your statement may not reflect accurate data or correspond to data on your trade confirmations. This information should not be relied upon for tax reporting purposes. Please refer to your tax reporting statement, if applicable. For accounts electing average cost, the total cost may be computed using a combination of averaged and non-averaged unit prices for eligible securities.

Discrepancies Please notify your financial advisor and LPL Financial immediately of any discrepancies on your statement. If your financial advisor is affiliated with another broker/dealer, you must notify them as well. Please contact your financial advisor for the broker/dealer's contact information. Your financial advisor's address and telephone number can be found on the bottom of each page of this statement. LPL Financial's telephone number is (800) 558-7567 and address can be found on the first page of this statement. Additionally, any verbal communications should be re-confirmed in writing to each of the above parties to further protect your rights, including rights under Securities Investor Protection Act (SIPA).

Free Credit Balances LPL Financial may use your free credit balances subject to the limitations of 17 CFR Section 240.15c3-3 under the Securities Exchange Act of 1934. You have the right to receive from us, upon demand in the course of normal business, the delivery of any free credit balances to which you are entitled, any fully paid securities to which you are entitled, and any securities purchased on margin upon full payment of any indebtedness to LPL Financial.

Insured Cash Accounts (ICA) Cash in the ICA program is protected by the Federal Deposit Insurance Corporation (FDIC). LPL Financial allocates your money in the ICA program to banks listed in the Priority Bank List in increments up to $250,000 per depositor per depository institution ($500,000 for joint accounts) until your balance in the ICA program is allocated up to a total of $1,500,000 ($3,000,000 for joint accounts). Recent legislation permanently increased FDIC coverage to $250,000 per depositor per bank ($500,000 for joint account holders). More information on FDIC insurance is available on request, or by visiting the FDIC website at **www.fdic.gov.** LPL Financial is not a bank. Unless otherwise disclosed, securities and other investments obtained through LPL Financial ARE NOT FDIC INSURED, ARE NOT BANK GUARANTEED AND MAY LOSE VALUE.

Investment Risk LPL Financial is not a bank, savings and loan, or credit union. Securities and insurance offered through LPL and its affiliates are not FDIC, NCUA or government insured, not endorsed or guaranteed by LPL, its affiliates or any other financial institution, are not a deposit, and involve investment risk including possible loss of principal.

Investments Held Outside LPL Financial Information on investments Held Outside LPL is provided for informational purposes only. Values for investments not held in your LPL account are based on the market value of priced securities at the end of the statement period. Values for annuities reflect a pricing date approximately three business days prior to the statement date. Values for alternative investments such as Managed Futures and REITs (Real Estate Investment Trusts) reflect a pricing date three to five business days prior to the statement date, depending on the availability of the data. The account registration for investments held outside LPL may not be the same as the registration for the LPL account with which it is affiliated. For example, an outside investment with a joint registration may be reflected on an LPL account with an individual registration.

Margin Account If you use margin, this statement combines information about your investment account(s) and a special miscellaneous account maintained for you under Section 220.6 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account required by Regulation T is available for your inspection upon request.

Money Market Funds Money market fund transactions, if any, are displayed chronologically. The 30-day yield for the fund is also reflected as of the statement date.

Municipal Material Disclosures Copies of any material disclosures for municipal bonds are available at www.emma.msrb.org. To obtain specific municipal bond information, enter the nine-digit CUSIP number in the Search field within the EMMA web site. If you do not have access to the Internet or would prefer a physical copy of the material disclosure, please contact your financial advisor. Additional municipal bond information that may be available on www.emma.msrb.org, includes, but is not limited to: advance refunding documents, continuing disclosures, including annual financial statements and notices of material events, real-time and historical trade data, daily market statistics and educational material.

N/A or "–" Data Information that displays as N/A or "–" is unavailable, missing or incomplete and is treated as zero when calculating account totals, market values and performance.

Open Orders Open Orders are transactions pending execution, i.e., purchase and/or sale orders that you have placed, but that have not been executed by the end of the statement period.

Option Clients Information on commissions and other charges incurred in connection with the execution of option transactions has been included in the confirmations of these transactions furnished to you. A summary of this Information will be made available upon request. In accordance with the Option Agreement and Approval Form you signed, you must promptly advise the firm of any material change in your investment objectives or financial situation.

Payment for Order Flow LPL Financial acts as your agent and receives payment for order flow, the source and nature of which will be furnished to you upon written request.

Pricing Securities prices shown on this statement may vary from actual liquidation value. Prices shown should only be used as a general guide to portfolio value. We receive prices from various services, which are sometimes unable to provide timely information. Where pricing sources are not readily available, particularly on certain debt instruments including, but not limited to, bills, notes, bonds, banker's acceptances, certificates of deposit, or commercial paper, estimated prices may be generated by a matrix system or market driven pricing model, taking various factors into consideration. These prices may not be the actual price you would receive if you sold before the maturity of a certificate of deposit. The pricing of listed options takes into account the last closing price, as well as the current bid and offer prices. Where securities have not been priced, their values have not been included in the Portfolio Summary information at the beginning of this statement.

Purchase Cost Original cost including fees, commissions and less accrued interest of the quantity sold or redeemed. For transferred securities, this could be the purchase amount you or the former institution provided to us.* Purchase Cost may be adjusted to reflect corporate actions, such as stock splits, mergers, spin-offs or other events. N/A is displayed when the information is incomplete or missing and is treated as zero when calculating totals. **Transferred securities may not be included in Purchase Cost.*

Regulation All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange or market–and its clearing house, if any–where the transactions are executed, and of the Financial Industry Regulation Authority (FINRA).

Reinvestment The dollar amount of mutual fund distributions, money market fund income, or dividends on other securities shown on your statement may have been reinvested in additional shares. You will not receive confirmations for these reinvestment transactions. However, you may request information on these transactions by writing to LPL Financial. LPL will also, if requested, furnish you with the time of execution and the name of the person from whom your security was purchased.

Statement of Financial Condition LPL Financial's financial statement is available for inspection at our office. We will mail a copy to you upon written request.

Sweep Option Your account may provide for a daily sweep into an Insured Cash Account. If you have any questions about your sweep option, including rates or the depository institutions currently participating in the sweep option, or you would like to change your sweep option, please contact your financial advisor.

LPL Financial LLC is an affiliate of LPL Financial Holdings Inc.

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LPL Financial

Account statements aug-dec 2012.pdf

COMMERCEWEST
INVESTMENT MANAGEMENT
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
September 1 to September 30, 2012

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

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

Total Value of Your Account as of September 30, 2012 **$255,256.88**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2011	**$0.00**
Beginning Value as of September 1, 2012	**$8,971.80**
Additions	—
Withdrawals	—
Dividends, Interest and Capital Gains	0.08
Increase/decrease in Market Value[1]	246,285.00
Ending Value as of September 30, 2012	**$255,256.88**

	Year-End Value December 31, 2011	Value on September 30, 2012
TOTAL VALUE OF YOUR ACCOUNT	$0.00	$255,256.88

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

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.

LPL Financial

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

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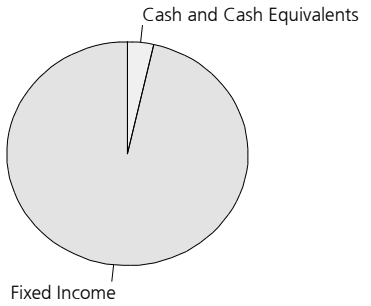
Investment Account Strategic Asset Management

Statement Period
September 1 to September 30, 2012

ACCOUNT INVESTMENT SUMMARY as of September 30, 2012

Investment Type	Amount	Percent
Cash and Cash Equivalents	$8,971.88	3.51%
Equities and Options	—	—
Fixed Income	246,285.00	96.49%
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$255,256.88**	**100.00%**



EARNINGS SUMMARY as of September 30, 2012

Estimated Annual Income	$29,800.00

LPL Financial

Account Holdings as of September 30, 2012

CASH AND CASH EQUIVALENTS

Description	Current Balance
Money Market Funds	$8,971.88
TOTAL CASH AND CASH EQUIVALENTS	**$8,971.88**

GOVERNMENT AND AGENCY BONDS

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
BEAR STEARNS ASSET BKD REMIC SER 2007-HE5 CL M2 MONTHLY 0 DAY DELAY VAR CPN 0.596% DUE 05/25/37 DTD 05/30/07 FC 06/25/07 MOODYS RATING: C S&P RATING: CC 073859AH3	5,000,000	$4.9257	$246,285.00 FACTOR:1.00	$29,800	— 12.10%
TOTAL GOVERNMENT AND AGENCY BONDS			**$246,285.00**	**$29,800**	**—**

Value of Your LPL Financial Account

Market Value	Estimated Annual Income
$255,256.88	**$29,800**

Account Activity as of September 30, 2012

ACCOUNT ACTIVITY SUMMARY

	Period Ending September 30, 2012	Year-to-Date
Securities Purchased	—	—
Securities Sold	—	—
Additions to Your Account	—	2,216,290.47
Withdrawals from Your Account	—	-2,209,059.00
Dividends, Interest and Capital Gains	0.08	1,876.43
Reinvestments	—	—
Net Change in Bank Deposit Sweep Balance [1]	—	—
Net Change in Money Market Fund Balance	0.08	8,971.88
Fees and Expenses [2]	—	-136.02

ADDITIONS TO YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
09/17/12	Journal	LEHMAN MTG TR REMIC 2005-2 CL 1A4 MONTHLY 24 DAY DELAY CPN 5.750% DUE 12/25/35 DTD 11/01/05 FC 12/25/05 52520MBR3	4,325,000	—	—
09/25/12	Journal	BEAR STEARNS ASSET BKD REMIC SER 2007-HE5 CL M2 MONTHLY 0 DAY DELAY VAR CPN 0.596% DUE 05/25/37 DTD 05/30/07 FC 06/25/07 073859AH3	5,000,000	—	—
TOTAL ADDITIONS TO YOUR ACCOUNT					—

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.

Account Activity as of September 30, 2012

WITHDRAWALS FROM YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
09/21/12	Transfer A/C	LEHMAN MTG TR REMIC 2005-2 CL 1A4 MONTHLY 24 DAY DELAY CPN 5.750% DUE 12/25/35 DTD 11/01/05 FC 12/25/05 52520MBR3	-4,325,000	—	—
TOTAL WITHDRAWALS FROM YOUR ACCOUNT					**—**

DIVIDENDS, INTEREST AND CAPITAL GAINS

Date	Activity Type	Description/SecurityID	Amount
09/28/12	Cash Dividend	JPMORGAN PRIME MONEY MARKET FUND SERVICE SHARES 092812 8,971	$0.08
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS			**$0.08**

NET MONEY MARKET FUND ACTIVITY[3]

JPMorgan Prime Money Market Fund - Service Shares

Date	Activity Type	Description	30-Day Yield	Amount	Balance
09/01/12	Opening Balance				$8,971.80
09/28/12	Dividend Reinvest	JPMORGAN PRIME MONEY		0.08	8,971.88
09/30/12	Closing Balance				8,971.88
JPMorgan Prime Money Market Fund - Service Shares			**0.010%**		
NET CHANGE IN MONEY MARKET FUND BALANCE				**$0.08**	

3 Money Market activity reflects the net of all transfers of funds to and from your money market account on the date referenced.

DIVIDEND AND INTEREST SUMMARY

Description	September 30, 2012	Year-to-Date
Money Market Funds	$0.08	$0.74
Government and Agency Bonds	—	1,163.93
TOTAL DIVIDENDS AND INTEREST	**$0.08**	**$1,164.67**

CAPITAL GAINS AND OTHER DISTRIBUTION SUMMARY

Description	September 30, 2012	Year-to-Date
Principal Distributions	—	$711.76
TOTAL CAPITAL GAINS AND OTHER DISTRIBUTIONS	**—**	**$711.76**

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Account Messages as of September 30, 2012

MESSAGES FROM YOUR FINANCIAL ADVISOR

Moving forward is less difficult when finances don't pose an additional burden. Give your loved ones the security of knowing that even if the unthinkable happens, they'll be taken care of.

Your referrals mean a great deal to my business. If you know of a friend or family member who might benefit from my service, please let me know. I will work hard to ensure that your referrals feel it was a wise investment of their time - and their future - to have met with me.

MESSAGES FROM LPL FINANCIAL

FINRA BROKERCHECK PROGRAM HOTLINE INFORMATION

The Financial Industry Regulatory Authority (FINRA) requires that we provide the following information concerning the FINRA's BrokerCheck Program. The FINRA Regulation BrokerCheck Program Hotline Number is (800) 289-9999. The FINRA Regulation Web Site Address is www.finra.org/brokercheck. An Investor Brochure that includes the information describing the BrokerCheck Program may be obtained from the FINRA.
Any complaints regarding the handling of your account should be directed to your financial advisor and to LPL's Legal Department at (800) 775-4575 extension 4497.

NON-TRANSFERABLE SECURITIES THAT ARE WORTHLESS

As part of our continuing effort to provide exceptional service, please be advised that LPL Financial will remove any non-transferable securities that are worthless from customer accounts. Your account may or may not be affected. Should you have any questions or concerns, please contact your financial advisor.

ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY)

EAI is calculated by taking the indicated annualized dividend and multiplying by the number of shares owned. EY is calculated by taking the EAI and dividing by the aggregate value of the shares owned. If no dividend information is available, no EAI or EY numbers will be generated. EAI and EY for certain types of securities could include a return of principal or capital gains in which case the EAI and EY would be overstated. EAI and EY are estimates and the actual income and yield might be lower or higher than the estimated amounts. Additionally the actual dividend or yield may vary depending on the security issuer's approval of paying the dividends. EY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

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Adjusted Cost The cost basis of securities sold, matured, redeemed or exercised is adjusted for return of principal, original issue discount, accrual and partnership distributions for CMO, CDO, REMIC and MLP transactions. Eligible securities on the Realized Gains and Losses Statement have been adjusted for bond amortization, return of capital, liquidating distributions, wash sales or similar items. N/A displays when the information is incomplete or missing and is treated as zero when calculating totals.

Agency If LPL Financial acts as your agent, or as agent for both you and another person in a transaction, the transaction details, including the identity of the seller or buyer and the source and amount of any fees or payments will be supplied upon written request.

Asset-backed Securities The actual yield from transactions in asset-backed securities (e.g., CMO, FNMA, FHLMC OR GMNA transactions) may vary according to the rate at which the underlying assets or receivables are repaid. Information about yield factors is available from your financial advisor on request.

Called Securities In the event of a partial call of corporate or municipal bonds, or preferred stock held in bulk segregation, the securities to be called will automatically be selected on a random basis, as is customary in the securities industry. The probability that your securities will be selected is proportional to the amount of your holdings relative to the bulk holdings. A detailed description of the random selection procedure is available upon request.

Change of Address Please notify your financial advisor/representative or LPL Financial promptly in writing of any change of address.

Cost Basis Transactions are automatically paired against holdings on a "First-In/First-Out" basis (unless manually adjusted). Designating liquidations as "versus purchase" on a trade will cause the trade confirmation or other closed tax lot notification to reflect the selected closed tax lots. For assets not purchased in the LPL account, you or the previous broker / dealer upon transfer may have provided the Date Acquired and Purchase Cost of the position. If no such data was submitted, N/A is listed as the Purchase Cost, and is treated as zero when calculating Gain or Loss totals. Since the cost basis on certain securities may have been provided by another source, the cost basis information on your statement may not reflect accurate data or correspond to data on your trade confirmations. This information should not be relied upon for tax reporting purposes. Please refer to your tax reporting statement, if applicable. For accounts electing average cost, the total cost may be computed using a combination of averaged and non-averaged unit prices for eligible securities.

Discrepancies Please notify your financial advisor and LPL Financial immediately of any discrepancies on your statement. If your financial advisor is affiliated with another broker/dealer, you must notify them as well. Please contact your financial advisor for the broker/dealer's contact information. Your financial advisor's address and telephone number can be found on the bottom of each page of this statement. LPL Financial's telephone number is (800) 558-7567 and address can be found on the first page of this statement. Additionally, any verbal communications should be re-confirmed in writing to each of the above parties to further protect your rights, including rights under Securities Investor Protection Act (SIPA).

Free Credit Balances LPL Financial may use your free credit balances subject to the limitations of 17 CFR Section 240.15c3-3 under the Securities Exchange Act of 1934. You have the right to receive from us, upon demand in the course of normal business, the delivery of any free credit balances to which you are entitled, any fully paid securities to which you are entitled, and any securities purchased on margin upon full payment of any indebtedness to LPL Financial.

Insured Cash Accounts (ICA) Cash in the ICA program is protected by the Federal Deposit Insurance Corporation (FDIC). LPL Financial allocates your money in the ICA program to banks listed in the Priority Bank List in increments up to $250,000 per depositor per depository institution ($500,000 for joint accounts) until your balance in the ICA program is allocated up to a total of $1,500,000 ($3,000,000 for joint accounts). Recent legislation permanently increased FDIC coverage to $250,000 per depositor per bank ($500,000 for joint account holders). More information on FDIC insurance is available on request, or by visiting the FDIC website at **www.fdic.gov.** LPL Financial is not a bank. Unless otherwise disclosed, securities and other investments obtained through LPL Financial ARE NOT FDIC INSURED, ARE NOT BANK GUARANTEED AND MAY LOSE VALUE.

Investment Risk LPL Financial is not a bank, savings and loan, or credit union. Securities and insurance offered through LPL and its affiliates are not FDIC, NCUA or government insured, not endorsed or guaranteed by LPL, its affiliates or any other financial institution, are not a deposit, and involve investment risk including possible loss of principal.

Investments Held Outside LPL Financial Information on investments Held Outside LPL is provided for informational purposes only. Values for investments not held in your LPL account are based on the market value of priced securities at the end of the statement period. Values for annuities reflect a pricing date approximately three business days prior to the statement date. Values for alternative investments such as Managed Futures and REITs (Real Estate Investment Trusts) reflect a pricing date three to five business days prior to the statement date, depending on the availability of the data. The account registration for investments held outside LPL may not be the same as the registration for the LPL account with which it is affiliated. For example, an outside investment with a joint registration may be reflected on an LPL account with an individual registration.

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Money Market Funds Money market fund transactions, if any, are displayed chronologically. The 30-day yield for the fund is also reflected as of the statement date.

Municipal Material Disclosures Copies of any material disclosures for municipal bonds are available at www.emma.msrb.org. To obtain specific municipal bond information, enter the nine-digit CUSIP number in the Search field within the EMMA web site. If you do not have access to the Internet or would prefer a physical copy of the material disclosure, please contact your financial advisor. Additional municipal bond information that may be available on www.emma.msrb.org, includes, but is not limited to: advance refunding documents, continuing disclosures, including annual financial statements and notices of material events, real-time and historical trade data, daily market statistics and educational material.

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Reinvestment The dollar amount of mutual fund distributions, money market fund income, or dividends on other securities shown on your statement may have been reinvested in additional shares. You will not receive confirmations for these reinvestment transactions. However, you may request information on these transactions by writing to LPL Financial. LPL will also, if requested, furnish you with the time of execution and the name of the person from whom your security was purchased.

Statement of Financial Condition LPL Financial's financial statement is available for inspection at our office. We will mail a copy to you upon written request.

Sweep Option Your account may provide for a daily sweep into an Insured Cash Account. If you have any questions about your sweep option, including rates or the depository institutions currently participating in the sweep option, or you would like to change your sweep option, please contact your financial advisor.

LPL Financial LLC is an affiliate of LPL Financial Holdings Inc.

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LPL Financial

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CommerceWest
Investment Management
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
August 1 to August 31, 2012

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

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

Total Value of Your Account as of August 31, 2012 **$8,971.80**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2011	**$0.00**
Beginning Value as of August 1, 2012	**$8,679.81**
Additions	2,209,400.62
Withdrawals	-2,209,059.00
Dividends, Interest and Capital Gains	0.37
Other Account Activity [1]	-50.00
Increase/decrease in Market Value [2]	—
Ending Value as of August 31, 2012	**$8,971.80**

	Year-End Value December 31, 2011	Value on August 31, 2012
TOTAL VALUE OF YOUR ACCOUNT	$0.00	$8,971.80

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

1 Includes fees, expenses and other activity during the Statement period. See "Account Activity".
2 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.

LPL Financial

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

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Investment Account Strategic Asset Management

Statement Period
August 1 to August 31, 2012

ACCOUNT INVESTMENT SUMMARY as of August 31, 2012

Investment Type	Amount	Percent
Cash and Cash Equivalents	$8,971.80	100.00%
Equities and Options	—	—
Fixed Income	—	—
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$8,971.80**	**100.00%**

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Account Holdings as of August 31, 2012

CASH AND CASH EQUIVALENTS

Description	Current Balance
Money Market Funds	$8,971.80
TOTAL CASH AND CASH EQUIVALENTS	**$8,971.80**

Value of Your LPL Financial Account

Market Value	Estimated Annual Income
$8,971.80	—

Account Activity as of August 31, 2012

ACCOUNT ACTIVITY SUMMARY

	Period Ending August 31, 2012	Year-to-Date
Securities Purchased	—	—
Securities Sold	—	—
Additions to Your Account	2,209,400.62	2,216,290.47
Withdrawals from Your Account	-2,209,059.00	-2,209,059.00
Dividends, Interest and Capital Gains	0.37	1,876.35
Reinvestments	—	—
Net Change in Bank Deposit Sweep Balance [1]	—	—
Net Change in Money Market Fund Balance	291.99	8,971.80
Fees and Expenses [2]	-50.00	-136.02

ADDITIONS TO YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
08/15/12	Journal	CITIGROUP MTG LN TR REMIC SER 2005-WF1 CL M1 MONTHLY 24 DAY DELAY CPN 5.330% DUE 12/25/34 DTD 02/01/05 FC 03/25/05 17307GPG7	925,000	—	—
08/15/12	Journal	CWABS INC REMIC SER 2005-16 CL MV1 MONTHLY 0 DAY DELAY VAR CPN 0.706% DUE 04/25/36 DTD 12/28/05 FC 01/25/06 126670PH5	2,500,000	—	—

ADDITIONS TO YOUR ACCOUNT 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.

ADDITIONS TO YOUR ACCOUNT (continued)

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
08/15/12	Journal	GS MORTGAGE SECS CORP REMIC SER 2003-HE1 CL M2 MONTHLY 0 DAY DELAY VAR CPN 2.146% DUE 06/20/33 DTD 05/28/03 FC 06/20/03 36228FSV9	1,200,000	—	—
08/15/12	Journal	PEOPLES CHOICE HM LN SEC REMIC SER 2005-4 CL 1A2 MONTHLY 0 DAY DELAY VAR CPN 0.506% DUE 08/25/35 DTD 10/26/05 FC 11/25/05 71085PDD2	4,675,000	—	—
08/20/12	Wire Transfer	FED FUNDS/PERSHING	—	—	906,058.81
08/21/12	Wire Transfer	FED FUNDS/PERSHING	—	—	1,303,341.81
TOTAL ADDITIONS TO YOUR ACCOUNT					**$2,209,400.62**

WITHDRAWALS FROM YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
08/15/12	Transfer A/C	CITIGROUP MTG LN TR REMIC SER 2005-WF1 CL M1 MONTHLY 24 DAY DELAY CPN 5.330% DUE 12/25/34 DTD 02/01/05 FC 03/25/05 17307GPG7	-925,000	—	—
08/15/12	Transfer A/C	CWABS INC REMIC SER 2005-16 CL MV1 MONTHLY 0 DAY DELAY VAR CPN 0.706% DUE 04/25/36 DTD 12/28/05 FC 01/25/06 126670PH5	-2,500,000	—	—

WITHDRAWALS FROM YOUR ACCOUNT continue on page 6

WITHDRAWALS FROM YOUR ACCOUNT (continued)

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
08/15/12	Transfer A/C	GS MORTGAGE SECS CORP REMIC SER 2003-HE1 CL M2 MONTHLY 0 DAY DELAY VAR CPN 2.146% DUE 06/20/33 DTD 05/28/03 FC 06/20/03 36228FSV9	-1,200,000	—	—
08/15/12	Transfer A/C	PEOPLES CHOICE HM LN SEC REMIC SER 2005-4 CL 1A2 MONTHLY 0 DAY DELAY VAR CPN 0.506% DUE 08/25/35 DTD 10/26/05 FC 11/25/05 71085PDD2	-4,675,000	—	—
08/23/12	Wire Transfer	FFW/7NPB NAB WIRE REF# 023600027	—	—	-1,303,000.00
08/23/12	Wire Transfer	FFW/7NPB NAB WIRE REF# 023600018	—	—	-906,059.00
TOTAL WITHDRAWALS FROM YOUR ACCOUNT					**-$2,209,059.00**

DIVIDENDS, INTEREST AND CAPITAL GAINS

Date	Activity Type	Description/SecurityID	Amount
08/31/12	Cash Dividend	JPMORGAN PRIME MONEY MARKET FUND SERVICE SHARES 083112 8,971	$0.37
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS			**$0.37**

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NET MONEY MARKET FUND ACTIVITY[3]

JPMorgan Prime Money Market Fund - Service Shares

Date	Activity Type	Description	30-Day Yield	Amount	Balance
08/01/12	Opening Balance				$8,679.81
08/21/12	Shares Purchased	JPMORGAN PRIME MONEY		906,058.81	914,738.62
08/22/12	Shares Purchased	JPMORGAN PRIME MONEY		1,303,341.81	2,218,080.43
08/22/12	Shares Redeemed	JPMORGAN PRIME MONEY		-2,209,109.00	8,971.43
08/23/12	Shares Purchased	JPMORGAN PRIME MONEY		2,209,109.00	2,218,080.43
08/23/12	Shares Redeemed	JPMORGAN PRIME MONEY		-2,209,109.00	8,971.43
08/31/12	Dividend Reinvest	JPMORGAN PRIME MONEY		0.37	8,971.80
08/31/12	Closing Balance				8,971.80
JPMorgan Prime Money Market Fund - Service Shares			**0.015%**		
NET CHANGE IN MONEY MARKET FUND BALANCE				**$291.99**	

FEES AND EXPENSES

Date	Activity Type	Description/SecurityID	Amount
08/23/12	Charge	WIRE FEE	-$25.00
08/23/12	Charge	WIRE FEE	-25.00
TOTAL FEES AND EXPENSES			**-$50.00**

3 Money Market activity reflects the net of all transfers of funds to and from your money market account on the date referenced.

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Account Detail as of August 31, 2012

DIVIDEND AND INTEREST SUMMARY

Description	August 31, 2012	Year-to-Date
Money Market Funds	$0.37	$0.66
Government and Agency Bonds	—	1,163.93
TOTAL DIVIDENDS AND INTEREST	**$0.37**	**$1,164.59**

CAPITAL GAINS AND OTHER DISTRIBUTION SUMMARY

Description	August 31, 2012	Year-to-Date
Principal Distributions	—	$711.76
TOTAL CAPITAL GAINS AND OTHER DISTRIBUTIONS	**—**	**$711.76**

COPY

Account Messages as of August 31, 2012

MESSAGES FROM YOUR FINANCIAL ADVISOR

Moving forward is less difficult when finances don't pose an additional burden. Give your loved ones the security of knowing that even if the unthinkable happens, they'll be taken care of.

Your referrals mean a great deal to my business. If you know of a friend or family member who might benefit from my service, please let me know. I will work hard to ensure that your referrals feel it was a wise investment of their time - and their future - to have met with me.

MESSAGES FROM LPL FINANCIAL

IMPORTANT REGULATORY NOTICE

LPL Financial LLC ("LPL Financial") is subject to the Securities and Exchange Commission's ("SEC") Uniform Net Capital Rule, which requires securities firms to maintain a minimum amount of net capital. LPL Financial uses the alternative method, permitted by the rule, which requires that a firm maintain minimum net capital, as defined, equal to the greater of $250,000 or two percent of aggregate debit balances arising from customers' transactions plus one percent of Net Commission Payable, as defined.

LPL Financial is also subject to the National Futures Association's ("NFA") financial requirements and is required to maintain net capital that is in excess of or equal to the greatest of its minimum financial requirements. Currently the highest NFA requirement is the minimum net capital calculated pursuant to the SEC's Uniform Net Capital Rule.

As of June 30, 2012, LPL Financial had net capital of $124.8 million, which was $118.7 million in excess of its net capital requirement.

Please Note: LPL Financial's June 30, 2012 Statement of Financial Condition can be viewed on our website at www.lpl.com or you can call our toll-free number at (800) 877-7210, ext. 7600, and request that a copy be mailed to you free of charge. The Statement of Financial Condition filed pursuant to Rule 17a-5 (e)(3) under the Securities Exchange Act of 1934 and Regulation I.I0(g) under the Commodity Exchange Act is available for inspection at the principal office of the Company and at the Boston Regional office of the Commission.

NON-TRANSFERABLE SECURITIES THAT ARE WORTHLESS

As part of our continuing effort to provide exceptional service, please be advised that LPL Financial will remove any non-transferable securities that are worthless from customer accounts. Your account may or may not be affected. Should you have any questions or concerns, please contact your financial advisor.

ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY)

EAI is calculated by taking the indicated annualized dividend and multiplying by the number of shares owned. EY is calculated by taking the EAI and dividing by the aggregate value of the shares owned. If no dividend information is available, no EAI or EY numbers will be generated. EAI and EY for certain types of securities could include a return of principal or capital gains in which case the EAI and EY would be overstated. EAI and EY are estimates and the actual income and yield might be lower or higher than the estimated amounts. Additionally the actual dividend or yield may vary depending on the security issuer's approval of paying the dividends. EY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

Disclosures and Other Information

Account Protection LPL Financial is a member of the Securities Investor Protection Corporation (SIPC). SIPC provides protection for your account up to $500,000, including $100,000 in free cash balances, in the unlikely event that LPL fails financially. SIPC protection limits apply to all accounts that you hold in a particular capacity. For example, if you hold two accounts at LPL as a sole account holder and a third as a joint account holder, the two individual accounts are protected under SIPC up to a combined limit of $500,000, and the joint account is protected under SIPC separately up to $500,000. Insured Cash Accounts are not protected by SIPC. LPL accounts have excess SIPC-like coverage to cover the net equity of customer accounts subject to a $750 million aggregate firm limit. More information on SIPC, including an SIPC Brochure, may be obtained by calling SIPC directly at (202) 371-8300 or by visiting **www.sipc.org.**

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LPL Financial LLC is an affiliate of LPL Financial Holdings Inc.

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COMMERCEWEST
INVESTMENT MANAGEMENT
Bank on The Difference™

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

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

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**

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

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.

LPL Financial

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

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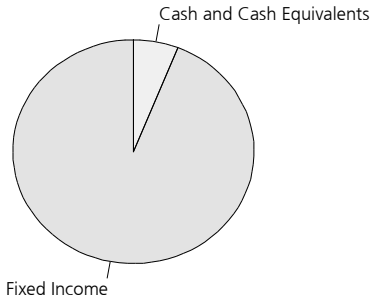
Investment Account Strategic Asset Management

Statement Period
August 1 to August 31, 2013

ACCOUNT INVESTMENT SUMMARY as of August 31, 2013

Investment Type	Amount	Percent
Cash and Cash Equivalents	$234,660.70	6.02%
Equities and Options	—	—
Fixed Income	3,662,278.71	93.98%
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$3,896,939.41**	**100.00%**



EARNINGS SUMMARY as of August 31, 2013

Estimated Annual Income	$1,017,802.00
Estimated Accrued Interest	$84,816.90

LPL Financial

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Account Holdings as of August 31, 2013

CASH AND CASH EQUIVALENTS

Description	Current Balance
Money Market Funds	$234,660.70
TOTAL CASH AND CASH EQUIVALENTS	**$234,660.70**

GOVERNMENT AND AGENCY BONDS

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
CSAB TR REMIC 2006-1 CL A4 MONTHLY 24 DAY DELAY CPN 6.294% DUE 06/25/36 DTD 05/01/06 FC 06/25/06 MOODYS RATING: C S&P RATING: D 22943HAE6	16,171,000	$22.6472	$3,662,278.71 FACTOR:1.00	$1,017,802	$84,816.90 27.79%
TOTAL GOVERNMENT AND AGENCY BONDS			**$3,662,278.71**	**$1,017,802**	**$84,816.90**

Value of Your LPL Financial Account

Market Value	Estimated Annual Income
$3,896,939.41	**$1,017,802**

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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.

SECURITIES PURCHASED (continued)

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
08/16/13	Cancel	GREENPOINT CR LLC REMIC SER 1999-5 CL M2 MONTHLY 14 DAY DELAY CPN 9.230% DUE 12/15/29 DTD 11/01/99 FC 12/15/99 395383AG7 AS OF 07/29/13	-2,250,000	—	1,288,731.19
08/16/13	Purchase	GREENPOINT CR LLC REMIC SER 1999-5 CL M2 MONTHLY 14 DAY DELAY CPN 9.230% DUE 12/15/29 DTD 11/01/99 FC 12/15/99 395383AG7 AS OF 07/29/13	2,250,000	71.00	-1,281,064.09
08/19/13	Purchase	CSAB TR REMIC 2006-1 CL A4 MONTHLY 24 DAY DELAY CPN 6.294% DUE 06/25/36 DTD 05/01/06 FC 06/25/06 22943HAE6	16,171,000	25.25	-4,142,599.33
TOTAL SECURITIES PURCHASED					**-$8,450,135.30**

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**

WITHDRAWALS FROM YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
08/12/13	Transfer A/C	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	—	—
08/12/13	Journal	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	—	—
08/23/13	Journal	GREENPOINT CR LLC REMIC SER 1999-5 CL M2 MONTHLY 14 DAY DELAY CPN 9.230% DUE 12/15/29 DTD 11/01/99 FC 12/15/99 395383AG7	-2,250,000	—	—
08/23/13	Journal	STRUCTURED ASSET INVT LN REMIC 2006-4 CL A5 MONTHLY 0 DAY DELAY VAR CPN 0.503% DUE 07/25/36 DTD 06/25/06 FC 07/25/06 86360WAE2	-13,492,000	—	—
TOTAL WITHDRAWALS FROM YOUR ACCOUNT					—

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Account Activity as of August 31, 2013

DIVIDENDS, INTEREST AND CAPITAL GAINS

Date	Activity Type	Description/SecurityID	Amount
08/26/13	Interest	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 082513 1,000,000 32113JBV6 AS OF 08/25/13	$1,075.58
08/26/13	Interest	STRUCTURED ASSET INVT LN REMIC 2006-4 CL A5 MONTHLY 0 DAY DELAY VAR CPN 0.503% DUE 07/25/36 DTD 06/25/06 FC 07/25/06 082513 13,492,000 86360WAE2 AS OF 08/25/13	5,996.80
08/30/13	Cash Dividend	JPMORGAN PRIME MONEY MARKET FUND SERVICE SHARES 083013 234,654	5.97
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS			**$7,078.35**

NET MONEY MARKET FUND ACTIVITY[3]

JPMorgan Prime Money Market Fund - Service Shares

Date	Activity Type	Description	30-Day Yield	Amount	Balance
08/01/13	Opening Balance				$4,355,769.69
08/01/13	Shares Redeemed	JPMORGAN PRIME MONEY		-4,233,035.49	122,734.20
08/05/13	Shares Purchased	JPMORGAN PRIME MONEY		2,000,000.00	2,122,734.20
08/07/13	Shares Purchased	JPMORGAN PRIME MONEY		464,366.59	2,587,100.79

NET MONEY MARKET FUND ACTIVITY continue on page 9

3 Money Market activity reflects the net of all transfers of funds to and from your money market account on the date referenced.

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NET MONEY MARKET FUND ACTIVITY (continued)

Date	Activity Type	Description	30-Day Yield	Amount	Balance
08/09/13	Shares Redeemed	JPMORGAN PRIME MONEY		-2,379,569.66	207,531.13
08/19/13	Shares Purchased	JPMORGAN PRIME MONEY		7,667.10	215,198.23
08/20/13	Shares Purchased	JPMORGAN PRIME MONEY		3,945,000.00	4,160,198.23
08/22/13	Shares Redeemed	JPMORGAN PRIME MONEY		-4,142,599.33	17,598.90
08/27/13	Shares Purchased	JPMORGAN PRIME MONEY		217,055.83	234,654.73
08/30/13	Dividend Reinvest	JPMORGAN PRIME MONEY		5.97	234,660.70
08/31/13	Closing Balance				234,660.70
JPMorgan Prime Money Market Fund - Service Shares			**0.010%**		
NET CHANGE IN MONEY MARKET FUND BALANCE				**-$4,121,108.99**	

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ACCRUED INTEREST SUMMARY

Accrued Interest Paid (Interest paid on the purchase of fixed income securities)

Description	August 31, 2013	Year-to-Date
Government and Agency Bonds	-$65,522.72	-$79,530.22
TOTAL ACCRUED INTEREST PAID	**-$65,522.72**	**-$79,530.22**

Accrued Interest Received (Interest received on the sale of fixed income securities)

Description	August 31, 2013	Year-to-Date
Government and Agency Bonds	$33.45	$33.45
TOTAL ACCRUED INTEREST RECEIVED	**$33.45**	**$33.45**

DIVIDEND AND INTEREST SUMMARY

Description	August 31, 2013	Year-to-Date
Money Market Funds	$5.97	$13.39
Government and Agency Bonds	7,072.38	42,437.79
TOTAL DIVIDENDS AND INTEREST	**$7,078.35**	**$42,451.18**

DIVIDENDS, INTEREST, CAPITAL GAINS AND OTHER DISTRIBUTIONS NOT YET RECEIVED

DIVIDENDS, INTEREST AND CAPITAL GAINS NOT YET RECEIVED

Closing Date	Transaction Type	Description/SecurityID	Record Date	Quantity	Rate	Amount of Payment
09/25/13	Interest	CSAB TR REMIC 2006-1 CL A4 MONTHLY 24 DAY DELAY CPN 6.294% DUE 06/25/36 DTD 05/01/06 FC 06/25/06 22943HAE6	08/31/13	16,171,000	5.245	$84,816.90
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS NOT YET RECEIVED						**$84,816.90**

Account Messages as of August 31, 2013

MESSAGES FROM YOUR FINANCIAL ADVISOR

Moving forward is less difficult when finances don't pose an additional burden. Give your loved ones the security of knowing that even if the unthinkable happens, they'll be taken care of.

Your referrals mean a great deal to my business. If you know of a friend or family member who might benefit from my service, please let me know. I will work hard to ensure that your referrals feel it was a wise investment of their time - and their future - to have met with me.

MESSAGES FROM LPL FINANCIAL

NON-TRANSFERABLE SECURITIES THAT ARE WORTHLESS

As part of our continuing effort to provide exceptional service, please be advised that LPL Financial will remove any non-transferable securities that are worthless from customer accounts. Your account may or may not be affected. Should you have any questions or concerns, please contact your financial advisor.

ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY)

EAI is calculated by taking the indicated annualized dividend and multiplying by the number of shares owned. EY is calculated by taking the EAI and dividing by the aggregate value of the shares owned. If no dividend information is available, no EAI or EY numbers will be generated. EAI and EY for certain types of securities could include a return of principal or capital gains in which case the EAI and EY would be overstated. EAI and EY are estimates and the actual income and yield might be lower or higher than the estimated amounts. Additionally the actual dividend or yield may vary depending on the security issuer's approval of paying the dividends. EY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

Disclosures and Other Information

Account Protection LPL Financial is a member of the Securities Investor Protection Corporation (SIPC). SIPC provides protection for your account up to $500,000, including $100,000 in free cash balances, in the unlikely event that LPL fails financially. SIPC protection limits apply to all accounts that you hold in a particular capacity. For example, if you hold two accounts at LPL as a sole account holder and a third as a joint account holder, the two individual accounts are protected under SIPC up to a combined limit of $500,000, and the joint account is protected under SIPC separately up to $500,000. Insured Cash Accounts are not protected by SIPC. LPL accounts have excess SIPC-like coverage to cover the net equity of customer accounts subject to a $750 million aggregate firm limit. More information on SIPC, including an SIPC Brochure, may be obtained by calling SIPC directly at (202) 371-8300 or by visiting **www.sipc.org.**

Adjusted Cost The cost basis of securities sold, matured, redeemed or exercised is adjusted for return of principal, original issue discount, accrual and partnership distributions for CMO, CDO, REMIC and MLP transactions. Eligible securities on the Realized Gains and Losses Statement have been adjusted for bond amortization, return of capital, liquidating distributions, wash sales or similar items. N/A displays when the information is incomplete or missing and is treated as zero when calculating totals.

Agency If LPL Financial acts as your agent, or as agent for both you and another person in a transaction, the transaction details, including the identity of the seller or buyer and the source and amount of any fees or payments will be supplied upon written request.

Asset-backed Securities The actual yield from transactions in asset-backed securities (e.g., CMO, FNMA, FHLMC OR GMNA transactions) may vary according to the rate at which the underlying assets or receivables are repaid. Information about yield factors is available from your financial advisor on request.

Called Securities In the event of a partial call of corporate or municipal bonds, or preferred stock held in bulk segregation, the securities to be called will automatically be selected on a random basis, as is customary in the securities industry. The probability that your securities will be selected is proportional to the amount of your holdings relative to the bulk holdings. A detailed description of the random selection procedure is available upon request.

Change of Address Please notify your financial advisor/representative or LPL Financial promptly in writing of any change of address.

Cost Basis Transactions are automatically paired against holdings on a "First-In/First-Out" basis (unless manually adjusted). Designating liquidations as "versus purchase" on a trade will cause the trade confirmation or other closed tax lot notification to reflect the selected closed tax lots. For assets not purchased in the LPL account, you or the previous broker / dealer upon transfer may have provided the Date Acquired and Purchase Cost of the position. If no such data was submitted, N/A is listed as the Purchase Cost, and is treated as zero when calculating Gain or Loss totals. Since the cost basis on certain securities may have been provided by another source, the cost basis information on your statement may not reflect accurate data or correspond to data on your trade confirmations. This information should not be relied upon for tax reporting purposes. Please refer to your tax reporting statement, if applicable. For accounts electing average cost, the total cost may be computed using a combination of averaged and non-averaged unit prices for eligible securities.

Discrepancies Please notify your financial advisor and LPL Financial immediately of any discrepancies on your statement. If your financial advisor is affiliated with another broker/dealer, you must notify them as well. Please contact your financial advisor for the broker/dealer's contact information. Your financial advisor's address and telephone number can be found on the bottom of each page of this statement. LPL Financial's telephone number is (800) 558-7567 and address can be found on the first page of this statement. Additionally, any verbal communications should be re-confirmed in writing to each of the above parties to further protect your rights, including rights under Securities Investor Protection Act (SIPA).

Free Credit Balances LPL Financial may use your free credit balances subject to the limitations of 17 CFR Section 240.15c3-3 under the Securities Exchange Act of 1934. You have the right to receive from us, upon demand in the course of normal business, the delivery of any free credit balances to which you are entitled, any fully paid securities to which you are entitled, and any securities purchased on margin upon full payment of any indebtedness to LPL Financial.

Insured Cash Accounts (ICA) Cash in the ICA program is protected by the Federal Deposit Insurance Corporation (FDIC). LPL Financial allocates your money in the ICA program to banks listed in the Priority Bank List in increments up to $250,000 per depositor per depository institution ($500,000 for joint accounts) until your balance in the ICA program is allocated up to a total of $1,500,000 ($3,000,000 for joint accounts). Recent legislation permanently increased FDIC coverage to $250,000 per depositor per bank ($500,000 for joint account holders). More information on FDIC insurance is available on request, or by visiting the FDIC website at **www.fdic.gov.** LPL Financial is not a bank. Unless otherwise disclosed, securities and other investments obtained through LPL Financial ARE NOT FDIC INSURED, ARE NOT BANK GUARANTEED AND MAY LOSE VALUE.

Investment Risk LPL Financial is not a bank, savings and loan, or credit union. Securities and insurance offered through LPL and its affiliates are not FDIC, NCUA or government insured, not endorsed or guaranteed by LPL, its affiliates or any other financial institution, are not a deposit, and involve investment risk including possible loss of principal.

Investments Held Outside LPL Financial Information on investments Held Outside LPL is provided for informational purposes only. Values for investments not held in your LPL account are based on the market value of priced securities at the end of the statement period. Values for annuities reflect a pricing date approximately three business days prior to the statement date. Values for alternative investments such as Managed Futures and REITs (Real Estate Investment Trusts) reflect a pricing date three to five business days prior to the statement date, depending on the availability of the data. The account registration for investments held outside LPL may not be the same as the registration for the LPL account with which it is affiliated. For example, an outside investment with a joint registration may be reflected on an LPL account with an individual registration.

Margin Account If you use margin, this statement combines information about your investment account(s) and a special miscellaneous account maintained for you under Section 220.6 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account required by Regulation T is available for your inspection upon request.

Money Market Funds Money market fund transactions, if any, are displayed chronologically. The 30-day yield for the fund is also reflected as of the statement date.

Municipal Material Disclosures Copies of any material disclosures for municipal bonds are available at www.emma.msrb.org. To obtain specific municipal bond information, enter the nine-digit CUSIP number in the Search field within the EMMA web site. If you do not have access to the Internet or would prefer a physical copy of the material disclosure, please contact your financial advisor. Additional municipal bond information that may be available on www.emma.msrb.org, includes, but is not limited to: advance refunding documents, continuing disclosures, including annual financial statements and notices of material events, real-time and historical trade data, daily market statistics and educational material.

N/A or "–" Data Information that displays as N/A or "–" is unavailable, missing or incomplete and is treated as zero when calculating account totals, market values and performance.

Open Orders Open Orders are transactions pending execution, i.e., purchase and/or sale orders that you have placed, but that have not been executed by the end of the statement period.

Option Clients Information on commissions and other charges incurred in connection with the execution of option transactions has been included in the confirmations of these transactions furnished to you. A summary of this Information will be made available upon request. In accordance with the Option Agreement and Approval Form you signed, you must promptly advise the firm of any material change in your investment objectives or financial situation.

Order Routing Quarterly Order Routing information for equities and options can be found on LPL.com>Disclosure>SEC Disclosure. This information is also available upon request.

Payment for Order Flow LPL Financial acts as your agent and receives payment for order flow, the source and nature of which will be furnished to you upon written request.

Pricing Securities prices shown on this statement may vary from actual liquidation value. Prices shown should only be used as a general guide to portfolio value. We receive prices from various services, which are sometimes unable to provide timely information. Where pricing sources are not readily available, particularly on certain debt instruments including, but not limited to, bills, notes, bonds, banker's acceptances, certificates of deposit, or commercial paper, estimated prices may be generated by a matrix system or market driven pricing model, taking various factors into consideration. These prices may not be the actual price you would receive if you sold before the maturity of a certificate of deposit. The pricing of listed options takes into account the last closing price, as well as the current bid and offer prices. Where securities have not been priced, their values have not been included in the Portfolio Summary information at the beginning of this statement.

Principal If your broker-dealer is acting as principal in a transaction, your broker-dealer has sold to or bought from you the security, and may have received a profit from the transaction.

Purchase Cost Original cost including fees, commissions and less accrued interest of the quantity sold or redeemed. For transferred securities, this could be the purchase amount you or the former institution provided to us.* Purchase Cost may be adjusted to reflect corporate actions, such as stock splits, mergers, spin-offs or other events. N/A is displayed when the information is incomplete or missing and is treated as zero when calculating totals. **Transferred securities may not be included in Purchase Cost.*

Regulation All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange or market–and its clearing house, if any–where the transactions are executed, and of the Financial Industry Regulation Authority (FINRA).

Reinvestment The dollar amount of mutual fund distributions, money market fund income, or dividends on other securities shown on your statement may have been reinvested in additional shares. You will not receive confirmations for these reinvestment transactions. However, you may request information on these transactions by writing to LPL Financial. LPL will also, if requested, furnish you with the time of execution and the name of the person from whom your security was purchased.

Statement of Financial Condition LPL Financial's financial statement is available for inspection at our office. We will mail a copy to you upon written request.

Sweep Option Your account may provide for a daily sweep into an Insured Cash Account. If you have any questions about your sweep option, including rates or the depository institutions currently participating in the sweep option, or you would like to change your sweep option, please contact your financial advisor.

LPL Financial LLC is an affiliate of LPL Financial Holdings Inc.

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INVESTMENT MANAGEMENT
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
July 1 to July 31, 2013

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

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

Total Value of Your Account as of July 31, 2013 **$4,333,880.46**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2012	**$724,609.05**
Beginning Value as of July 1, 2013	**$61,184.98**
Additions	10,946,302.50
Withdrawals	-5,129.01
Dividends, Interest and Capital Gains	4.68
Other Account Activity [1]	-240.96
Increase/decrease in Market Value [2]	-6,668,241.73
Ending Value as of July 31, 2013	**$4,333,880.46**

	Year-End Value December 31, 2012	Value on July 31, 2013
TOTAL VALUE OF YOUR ACCOUNT	**$724,609.05**	**$4,333,880.46**

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

1 Includes fees, expenses and other activity during the Statement period. See "Account Activity".

2 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.

LPL Financial

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Not a Deposit	Not Insured by any Federal Government Agency	

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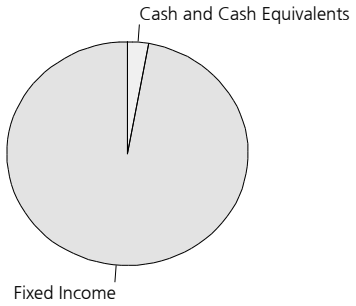
Investment Account Strategic Asset Management

Statement Period
July 1 to July 31, 2013

ACCOUNT INVESTMENT SUMMARY as of July 31, 2013

Investment Type	Amount	Percent
Cash and Cash Equivalents	$122,734.20	2.83%
Equities and Options	—	—
Fixed Income	4,211,146.26	97.17%
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$4,333,880.46**	**100.00%**



EARNINGS SUMMARY as of July 31, 2013

Estimated Annual Income	$235,392.00
Estimated Accrued Interest	$13,960.71

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Account Holdings as of July 31, 2013

CASH AND CASH EQUIVALENTS

Description	Current Balance
Cash	-$4,233,035.49
Money Market Funds	4,355,769.69
TOTAL CASH AND CASH EQUIVALENTS	**$122,734.20**

GOVERNMENT AND AGENCY BONDS

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
GREENPOINT CR LLC REMIC SER 1999-5 CL M2 MONTHLY 14 DAY DELAY CPN 9.230% DUE 12/15/29 DTD 11/01/99 FC 12/15/99 MOODYS RATING: C 395383AG7	2,250,000	$70.7088	$1,283,395.76 FACTOR:0.80668618	$167,528	$13,960.71 13.05%
STRUCTURED ASSET INVT LN REMIC 2006-4 CL A5 MONTHLY 0 DAY DELAY VAR CPN 0.503% DUE 07/25/36 DTD 06/25/06 FC 07/25/06 MOODYS RATING: C S&P RATING: CCC 86360WAE2	13,492,000	21.6999	2,927,750.50 FACTOR:1.00	67,864	— 2.32%
TOTAL GOVERNMENT AND AGENCY BONDS			**$4,211,146.26**	**$235,392**	**$13,960.71**

Value of Your LPL Financial Account

Market Value	Estimated Annual Income
$4,333,880.46	**$235,392**

COPY

Account Activity as of July 31, 2013

ACCOUNT ACTIVITY SUMMARY

	Period Ending July 31, 2013	Year-to-Date
Securities Purchased	-$10,879,387.99	-$12,270,322.99
Securities Sold	—	—
Additions to Your Account	10,946,302.50	12,351,431.51
Withdrawals from Your Account	-5,129.01	-5,129.01
Dividends, Interest and Capital Gains	4.68	35,372.83
Reinvestments	—	—
Net Change in Bank Deposit Sweep Balance [1]	—	—
Net Change in Money Market Fund Balance	4,294,584.71	4,343,420.90
Fees and Expenses [2]	-240.96	-966.93

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.

SECURITIES PURCHASED

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
07/16/13	Purchase	STRUCTURED ASSET INVT LN REMIC 2006-4 CL A5 MONTHLY 0 DAY DELAY VAR CPN 0.503% DUE 07/25/36 DTD 06/25/06 FC 07/25/06 86360WAE2 AS OF 07/09/13	30,000,000	$22.125	-$6,646,352.50
07/29/13	Purchase	GREENPOINT CR LLC REMIC SER 1999-5 CL M2 MONTHLY 14 DAY DELAY CPN 9.230% DUE 12/15/29 DTD 11/01/99 FC 12/15/99 395383AG7	2,250,000	71.00	-1,288,731.19
07/29/13	Purchase	STRUCTURED ASSET INVT LN REMIC 2006-4 CL A5 MONTHLY 0 DAY DELAY VAR CPN 0.503% DUE 07/25/36 DTD 06/25/06 FC 07/25/06 86360WAE2	13,492,000	21.8125	-2,944,304.30
TOTAL SECURITIES PURCHASED					**-$10,879,387.99**

ADDITIONS TO YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
07/15/13	Wire Transfer	FED FUNDS/COMMERCEW	—	—	$6,646,302.50
07/29/13	Wire Transfer	FED FUNDS/COMMERCE W.	—	—	3,000,000.00
07/29/13	Wire Transfer	FED FUNDS/COMMERCE W.	—	—	1,300,000.00
TOTAL ADDITIONS TO YOUR ACCOUNT					**$10,946,302.50**

COPY

WITHDRAWALS FROM YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
07/17/13	Journal	05236010 AS OF 06/25/13	—	—	-$5,129.01
07/18/13	Transfer A/C	STRUCTURED ASSET INVT LN REMIC 2006-4 CL A5 MONTHLY 0 DAY DELAY VAR CPN 0.503% DUE 07/25/36 DTD 06/25/06 FC 07/25/06 86360WAE2	-30,000,000	—	—
TOTAL WITHDRAWALS FROM YOUR ACCOUNT					**-$5,129.01**

DIVIDENDS, INTEREST AND CAPITAL GAINS

Date	Activity Type	Description/SecurityID	Amount
07/31/13	Cash Dividend	JPMORGAN PRIME MONEY MARKET FUND SERVICE SHARES 073113 4,355,765	$4.68
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS			**$4.68**

NET MONEY MARKET FUND ACTIVITY[3]

JPMorgan Prime Money Market Fund - Service Shares

Date	Activity Type	Description	30-Day Yield	Amount	Balance
07/01/13	Opening Balance				$61,184.98
07/10/13	Shares Redeemed	JPMORGAN PRIME MONEY		-240.96	60,944.02
07/16/13	Shares Purchased	JPMORGAN PRIME MONEY		6,646,302.50	6,707,246.52
07/17/13	Shares Redeemed	JPMORGAN PRIME MONEY		-6,646,352.50	60,894.02

NET MONEY MARKET FUND ACTIVITY continue on page 7

3 Money Market activity reflects the net of all transfers of funds to and from your money market account on the date referenced.

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NET MONEY MARKET FUND ACTIVITY (continued)

Date	Activity Type	Description	30-Day Yield	Amount	Balance
07/18/13	Shares Redeemed	JPMORGAN PRIME MONEY		-5,129.01	55,765.01
07/30/13	Shares Purchased	JPMORGAN PRIME MONEY		4,300,000.00	4,355,765.01
07/31/13	Dividend Reinvest	JPMORGAN PRIME MONEY		4.68	4,355,769.69
07/31/13	Closing Balance				4,355,769.69
JPMorgan Prime Money Market Fund - Service Shares			**0.010%**		
NET CHANGE IN MONEY MARKET FUND BALANCE				**$4,294,584.71**	

FEES AND EXPENSES

Date	Activity Type	Description/SecurityID	Amount
07/09/13	Charge	ACCT ADMIN CHARGE	-$10.00
07/09/13	Wrap Fee	ADVISORY FEE	-230.96
TOTAL FEES AND EXPENSES			**-$240.96**

COPY

Account Detail as of July 31, 2013

ACCRUED INTEREST SUMMARY

Accrued Interest Paid (Interest paid on the purchase of fixed income securities)

Description	July 31, 2013	Year-to-Date
Government and Agency Bonds	-$10,114.30	-$14,007.50
TOTAL ACCRUED INTEREST PAID	**-$10,114.30**	**-$14,007.50**

DIVIDEND AND INTEREST SUMMARY

Description	July 31, 2013	Year-to-Date
Money Market Funds	$4.68	$7.42
Government and Agency Bonds	—	35,365.41
TOTAL DIVIDENDS AND INTEREST	**$4.68**	**$35,372.83**

COPY

Account Messages as of July 31, 2013

MESSAGES FROM YOUR FINANCIAL ADVISOR

Moving forward is less difficult when finances don't pose an additional burden. Give your loved ones the security of knowing that even if the unthinkable happens, they'll be taken care of.

Your referrals mean a great deal to my business. If you know of a friend or family member who might benefit from my service, please let me know. I will work hard to ensure that your referrals feel it was a wise investment of their time - and their future - to have met with me.

MESSAGES FROM LPL FINANCIAL

NON-TRANSFERABLE SECURITIES THAT ARE WORTHLESS

As part of our continuing effort to provide exceptional service, please be advised that LPL Financial will remove any non-transferable securities that are worthless from customer accounts. Your account may or may not be affected. Should you have any questions or concerns, please contact your financial advisor.

ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY)

EAI is calculated by taking the indicated annualized dividend and multiplying by the number of shares owned. EY is calculated by taking the EAI and dividing by the aggregate value of the shares owned. If no dividend information is available, no EAI or EY numbers will be generated. EAI and EY for certain types of securities could include a return of principal or capital gains in which case the EAI and EY would be overstated. EAI and EY are estimates and the actual income and yield might be lower or higher than the estimated amounts. Additionally the actual dividend or yield may vary depending on the security issuer's approval of paying the dividends. EY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

Disclosures and Other Information

Account Protection LPL Financial is a member of the Securities Investor Protection Corporation (SIPC). SIPC provides protection for your account up to $500,000, including $100,000 in free cash balances, in the unlikely event that LPL fails financially. SIPC protection limits apply to all accounts that you hold in a particular capacity. For example, if you hold two accounts at LPL as a sole account holder and a third as a joint account holder, the two individual accounts are protected under SIPC up to a combined limit of $500,000, and the joint account is protected under SIPC separately up to $500,000. Insured Cash Accounts are not protected by SIPC. LPL accounts have excess SIPC-like coverage to cover the net equity of customer accounts subject to a $750 million aggregate firm limit. More information on SIPC, including an SIPC Brochure, may be obtained by calling SIPC directly at (202) 371-8300 or by visiting **www.sipc.org.**

Adjusted Cost The cost basis of securities sold, matured, redeemed or exercised is adjusted for return of principal, original issue discount, accrual and partnership distributions for CMO, CDO, REMIC and MLP transactions. Eligible securities on the Realized Gains and Losses Statement have been adjusted for bond amortization, return of capital, liquidating distributions, wash sales or similar items. N/A displays when the information is incomplete or missing and is treated as zero when calculating totals.

Agency If LPL Financial acts as your agent, or as agent for both you and another person in a transaction, the transaction details, including the identity of the seller or buyer and the source and amount of any fees or payments will be supplied upon written request.

Asset-backed Securities The actual yield from transactions in asset-backed securities (e.g., CMO, FNMA, FHLMC OR GMNA transactions) may vary according to the rate at which the underlying assets or receivables are repaid. Information about yield factors is available from your financial advisor on request.

Called Securities In the event of a partial call of corporate or municipal bonds, or preferred stock held in bulk segregation, the securities to be called will automatically be selected on a random basis, as is customary in the securities industry. The probability that your securities will be selected is proportional to the amount of your holdings relative to the bulk holdings. A detailed description of the random selection procedure is available upon request.

Change of Address Please notify your financial advisor/representative or LPL Financial promptly in writing of any change of address.

Cost Basis Transactions are automatically paired against holdings on a "First-In/First-Out" basis (unless manually adjusted). Designating liquidations as "versus purchase" on a trade will cause the trade confirmation or other closed tax lot notification to reflect the selected closed tax lots. For assets not purchased in the LPL account, you or the previous broker / dealer upon transfer may have provided the Date Acquired and Purchase Cost of the position. If no such data was submitted, N/A is listed as the Purchase Cost, and is treated as zero when calculating Gain or Loss totals. Since the cost basis on certain securities may have been provided by another source, the cost basis information on your statement may not reflect accurate data or correspond to data on your trade confirmations. This information should not be relied upon for tax reporting purposes. Please refer to your tax reporting statement, if applicable. For accounts electing average cost, the total cost may be computed using a combination of averaged and non-averaged unit prices for eligible securities.

Discrepancies Please notify your financial advisor and LPL Financial immediately of any discrepancies on your statement. If your financial advisor is affiliated with another broker/dealer, you must notify them as well. Please contact your financial advisor for the broker/dealer's contact information. Your financial advisor's address and telephone number can be found on the bottom of each page of this statement. LPL Financial's telephone number is (800) 558-7567 and address can be found on the first page of this statement. Additionally, any verbal communications should be re-confirmed in writing to each of the above parties to further protect your rights, including rights under Securities Investor Protection Act (SIPA).

Free Credit Balances LPL Financial may use your free credit balances subject to the limitations of 17 CFR Section 240.15c3-3 under the Securities Exchange Act of 1934. You have the right to receive from us, upon demand in the course of normal business, the delivery of any free credit balances to which you are entitled, any fully paid securities to which you are entitled, and any securities purchased on margin upon full payment of any indebtedness to LPL Financial.

Insured Cash Accounts (ICA) Cash in the ICA program is protected by the Federal Deposit Insurance Corporation (FDIC). LPL Financial allocates your money in the ICA program to banks listed in the Priority Bank List in increments up to $250,000 per depositor per depository institution ($500,000 for joint accounts) until your balance in the ICA program is allocated up to a total of $1,500,000 ($3,000,000 for joint accounts). Recent legislation permanently increased FDIC coverage to $250,000 per depositor per bank ($500,000 for joint account holders). More information on FDIC insurance is available on request, or by visiting the FDIC website at **www.fdic.gov.** LPL Financial is not a bank. Unless otherwise disclosed, securities and other investments obtained through LPL Financial ARE NOT FDIC INSURED, ARE NOT BANK GUARANTEED AND MAY LOSE VALUE.

Investment Risk LPL Financial is not a bank, savings and loan, or credit union. Securities and insurance offered through LPL and its affiliates are not FDIC, NCUA or government insured, not endorsed or guaranteed by LPL, its affiliates or any other financial institution, are not a deposit, and involve investment risk including possible loss of principal.

Investments Held Outside LPL Financial Information on investments Held Outside LPL is provided for informational purposes only. Values for investments not held in your LPL account are based on the market value of priced securities at the end of the statement period. Values for annuities reflect a pricing date approximately three business days prior to the statement date. Values for alternative investments such as Managed Futures and REITs (Real Estate Investment Trusts) reflect a pricing date three to five business days prior to the statement date, depending on the availability of the data. The account registration for investments held outside LPL may not be the same as the registration for the LPL account with which it is affiliated. For example, an outside investment with a joint registration may be reflected on an LPL account with an individual registration.

Margin Account If you use margin, this statement combines information about your investment account(s) and a special miscellaneous account maintained for you under Section 220.6 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account required by Regulation T is available for your inspection upon request.

Money Market Funds Money market fund transactions, if any, are displayed chronologically. The 30-day yield for the fund is also reflected as of the statement date.

Municipal Material Disclosures Copies of any material disclosures for municipal bonds are available at www.emma.msrb.org. To obtain specific municipal bond information, enter the nine-digit CUSIP number in the Search field within the EMMA web site. If you do not have access to the Internet or would prefer a physical copy of the material disclosure, please contact your financial advisor. Additional municipal bond information that may be available on www.emma.msrb.org, includes, but is not limited to: advance refunding documents, continuing disclosures, including annual financial statements and notices of material events, real-time and historical trade data, daily market statistics and educational material.

N/A or "–" Data Information that displays as N/A or "–" is unavailable, missing or incomplete and is treated as zero when calculating account totals, market values and performance.

Open Orders Open Orders are transactions pending execution, i.e., purchase and/or sale orders that you have placed, but that have not been executed by the end of the statement period.

Option Clients Information on commissions and other charges incurred in connection with the execution of option transactions has been included in the confirmations of these transactions furnished to you. A summary of this Information will be made available upon request. In accordance with the Option Agreement and Approval Form you signed, you must promptly advise the firm of any material change in your investment objectives or financial situation.

Order Routing Quarterly Order Routing information for equities and options can be found on LPL.com>Disclosure>SEC Disclosure. This information is also available upon request.

Payment for Order Flow LPL Financial acts as your agent and receives payment for order flow, the source and nature of which will be furnished to you upon written request.

Pricing Securities prices shown on this statement may vary from actual liquidation value. Prices shown should only be used as a general guide to portfolio value. We receive prices from various services, which are sometimes unable to provide timely information. Where pricing sources are not readily available, particularly on certain debt instruments including, but not limited to, bills, notes, bonds, banker's acceptances, certificates of deposit, or commercial paper, estimated prices may be generated by a matrix system or market driven pricing model, taking various factors into consideration. These prices may not be the actual price you would receive if you sold before the maturity of a certificate of deposit. The pricing of listed options takes into account the last closing price, as well as the current bid and offer prices. Where securities have not been priced, their values have not been included in the Portfolio Summary information at the beginning of this statement.

Principal If your broker-dealer is acting as principal in a transaction, your broker-dealer has sold to or bought from you the security, and may have received a profit from the transaction.

Purchase Cost Original cost including fees, commissions and less accrued interest of the quantity sold or redeemed. For transferred securities, this could be the purchase amount you or the former institution provided to us.* Purchase Cost may be adjusted to reflect corporate actions, such as stock splits, mergers, spin-offs or other events. N/A is displayed when the information is incomplete or missing and is treated as zero when calculating totals. **Transferred securities may not be included in Purchase Cost.*

Regulation All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange or market–and its clearing house, if any–where the transactions are executed, and of the Financial Industry Regulation Authority (FINRA).

Reinvestment The dollar amount of mutual fund distributions, money market fund income, or dividends on other securities shown on your statement may have been reinvested in additional shares. You will not receive confirmations for these reinvestment transactions. However, you may request information on these transactions by writing to LPL Financial. LPL will also, if requested, furnish you with the time of execution and the name of the person from whom your security was purchased.

Statement of Financial Condition LPL Financial's financial statement is available for inspection at our office. We will mail a copy to you upon written request.

Sweep Option Your account may provide for a daily sweep into an Insured Cash Account. If you have any questions about your sweep option, including rates or the depository institutions currently participating in the sweep option, or you would like to change your sweep option, please contact your financial advisor.

LPL Financial LLC is an affiliate of LPL Financial Holdings Inc.

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LPL Financial

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COMMERCEWEST
INVESTMENT MANAGEMENT
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
June 1 to June 30, 2013

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

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

Total Value of Your Account as of June 30, 2013 **$61,184.98**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2012	**$724,609.05**
Beginning Value as of June 1, 2013	**$46,989.78**
Additions	1,405,129.01
Withdrawals	—
Dividends, Interest and Capital Gains	1.19
Increase/decrease in Market Value[1]	-1,390,935.00
Ending Value as of June 30, 2013	**$61,184.98**

	Year-End Value December 31, 2012	Value on June 30, 2013
TOTAL VALUE OF YOUR ACCOUNT	**$724,609.05**	**$61,184.98**

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

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.

LPL Financial

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

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Investment Account Strategic Asset Management

Statement Period
June 1 to June 30, 2013

ACCOUNT INVESTMENT SUMMARY as of June 30, 2013

Investment Type	Amount	Percent
Cash and Cash Equivalents	$61,184.98	100.00%
Equities and Options	—	—
Fixed Income	—	—
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$61,184.98**	**100.00%**

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Account Holdings as of June 30, 2013

CASH AND CASH EQUIVALENTS

Description	Current Balance
Money Market Funds	$61,184.98
TOTAL CASH AND CASH EQUIVALENTS	**$61,184.98**

Value of Your LPL Financial Account

	Market Value	Estimated Annual Income
	$61,184.98	—

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Account Activity as of June 30, 2013

ACCOUNT ACTIVITY SUMMARY

	Period Ending June 30, 2013	Year-to-Date
Securities Purchased	-$1,390,935.00	-$1,390,935.00
Securities Sold	—	—
Additions to Your Account	1,405,129.01	1,405,129.01
Withdrawals from Your Account	—	—
Dividends, Interest and Capital Gains	1.19	35,368.15
Reinvestments	—	—
Net Change in Bank Deposit Sweep Balance [1]	—	—
Net Change in Money Market Fund Balance	14,195.20	48,836.19
Fees and Expenses [2]	—	-725.97

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.

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SECURITIES PURCHASED

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
06/04/13	Purchase	BANC AMER FDG CORP REMIC 2004-1 CL B2 MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 03/25/34 DTD 04/01/04 FC 05/25/04 05946XGH0	5,345,000	$35.50	-$1,396,063.89
06/26/13	Cancel	BANC AMER FDG CORP REMIC 2004-1 CL B2 MONTHLY 24 DAY DELAY VAR CPN 5.978% DUE 03/25/34 DTD 04/01/04 FC 05/25/04 05946XGH0 AS OF 06/04/13	-5,345,000	—	1,396,063.89
06/26/13	Purchase	BANC AMER FDG CORP REMIC 2004-1 CL B2 MONTHLY 24 DAY DELAY VAR CPN 5.978% DUE 03/25/34 DTD 04/01/04 FC 05/25/04 05946XGH0 AS OF 06/04/13	5,345,000	35.50	-1,390,935.00
TOTAL SECURITIES PURCHASED					**-$1,390,935.00**

ADDITIONS TO YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
06/04/13	Wire Transfer	FED FUNDS/COMMERCEW	—	—	$1,400,000.00
06/25/13	Journal	05236010	—	—	5,129.01
TOTAL ADDITIONS TO YOUR ACCOUNT					**$1,405,129.01**

WITHDRAWALS FROM YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
06/11/13	Transfer A/C	BANC AMER FDG CORP REMIC 2004-1 CL B2 MONTHLY 24 DAY DELAY VAR CPN 5.978% DUE 03/25/34 DTD 04/01/04 FC 05/25/04 05946XGH0	-5,345,000	—	—
TOTAL WITHDRAWALS FROM YOUR ACCOUNT					**—**

DIVIDENDS, INTEREST AND CAPITAL GAINS

Date	Activity Type	Description/SecurityID	Amount
06/28/13	Cash Dividend	JPMORGAN PRIME MONEY MARKET FUND SERVICE SHARES 062813 61,183	$1.19
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS			**$1.19**

NET MONEY MARKET FUND ACTIVITY[3]

JPMorgan Prime Money Market Fund - Service Shares

Date	Activity Type	Description	30-Day Yield	Amount	Balance
06/01/13	Opening Balance				$46,989.78
06/05/13	Shares Purchased	JPMORGAN PRIME MONEY		1,400,000.00	1,446,989.78
06/07/13	Shares Redeemed	JPMORGAN PRIME MONEY		-1,396,063.89	50,925.89
06/26/13	Shares Purchased	JPMORGAN PRIME MONEY		5,129.01	56,054.90
06/27/13	Shares Purchased	JPMORGAN PRIME MONEY		5,128.89	61,183.79
06/28/13	Dividend Reinvest	JPMORGAN PRIME MONEY		1.19	61,184.98

NET MONEY MARKET FUND ACTIVITY continue on page 7

3 Money Market activity reflects the net of all transfers of funds to and from your money market account on the date referenced.

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NET MONEY MARKET FUND ACTIVITY (continued)

Date	Activity Type	Description	30-Day Yield	Amount	Balance
06/30/13	Closing Balance				61,184.98
JPMorgan Prime Money Market Fund - Service Shares			**0.010%**		
NET CHANGE IN MONEY MARKET FUND BALANCE				**$14,195.20**	

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ACCRUED INTEREST SUMMARY

Accrued Interest Paid (Interest paid on the purchase of fixed income securities)

Description	June 30, 2013	Year-to-Date
Government and Agency Bonds	-$3,893.20	-$3,893.20
TOTAL ACCRUED INTEREST PAID	**-$3,893.20**	**-$3,893.20**

DIVIDEND AND INTEREST SUMMARY

Description	June 30, 2013	Year-to-Date
Money Market Funds	$1.19	$2.74
Government and Agency Bonds	—	35,365.41
TOTAL DIVIDENDS AND INTEREST	**$1.19**	**$35,368.15**

Account Messages as of June 30, 2013

MESSAGES FROM YOUR FINANCIAL ADVISOR

Moving forward is less difficult when finances don't pose an additional burden. Give your loved ones the security of knowing that even if the unthinkable happens, they'll be taken care of.

Your referrals mean a great deal to my business. If you know of a friend or family member who might benefit from my service, please let me know. I will work hard to ensure that your referrals feel it was a wise investment of their time - and their future - to have met with me.

MESSAGES FROM LPL FINANCIAL

NOTICE OF AMENDMENT TO FORM ADV BROCHURE FOR LPL FINANCIAL LLC

In May 2013, without admitting or denying the findings, LPL agreed to a settlement with FINRA in connection with FINRA's findings that, among other things, LPL had failed to establish and maintain adequate systems and procedures that were reasonably designed to comply with its obligation to review and retain email. LPL agreed to a censure, fine of $7.5 million, and establishment of a fund of $1.5 million to cover payments to eligible former brokerage customer claimants who may not have received all emails in connection with their claim.

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Called Securities In the event of a partial call of corporate or municipal bonds, or preferred stock held in bulk segregation, the securities to be called will automatically be selected on a random basis, as is customary in the securities industry. The probability that your securities will be selected is proportional to the amount of your holdings relative to the bulk holdings. A detailed description of the random selection procedure is available upon request.

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Cost Basis Transactions are automatically paired against holdings on a "First-In/First-Out" basis (unless manually adjusted). Designating liquidations as "versus purchase" on a trade will cause the trade confirmation or other closed tax lot notification to reflect the selected closed tax lots. For assets not purchased in the LPL account, you or the previous broker / dealer upon transfer may have provided the Date Acquired and Purchase Cost of the position. If no such data was submitted, N/A is listed as the Purchase Cost, and is treated as zero when calculating Gain or Loss totals. Since the cost basis on certain securities may have been provided by another source, the cost basis information on your statement may not reflect accurate data or correspond to data on your trade confirmations. This information should not be relied upon for tax reporting purposes. Please refer to your tax reporting statement, if applicable. For accounts electing average cost, the total cost may be computed using a combination of averaged and non-averaged unit prices for eligible securities.

Discrepancies Please notify your financial advisor and LPL Financial immediately of any discrepancies on your statement. If your financial advisor is affiliated with another broker/dealer, you must notify them as well. Please contact your financial advisor for the broker/dealer's contact information. Your financial advisor's address and telephone number can be found on the bottom of each page of this statement. LPL Financial's telephone number is (800) 558-7567 and address can be found on the first page of this statement. Additionally, any verbal communications should be re-confirmed in writing to each of the above parties to further protect your rights, including rights under Securities Investor Protection Act (SIPA).

Free Credit Balances LPL Financial may use your free credit balances subject to the limitations of 17 CFR Section 240.15c3-3 under the Securities Exchange Act of 1934. You have the right to receive from us, upon demand in the course of normal business, the delivery of any free credit balances to which you are entitled, any fully paid securities to which you are entitled, and any securities purchased on margin upon full payment of any indebtedness to LPL Financial.

Insured Cash Accounts (ICA) Cash in the ICA program is protected by the Federal Deposit Insurance Corporation (FDIC). LPL Financial allocates your money in the ICA program to banks listed in the Priority Bank List in increments up to $250,000 per depositor per depository institution ($500,000 for joint accounts) until your balance in the ICA program is allocated up to a total of $1,500,000 ($3,000,000 for joint accounts). Recent legislation permanently increased FDIC coverage to $250,000 per depositor per bank ($500,000 for joint account holders). More information on FDIC insurance is available on request, or by visiting the FDIC website at **www.fdic.gov.** LPL Financial is not a bank. Unless otherwise disclosed, securities and other investments obtained through LPL Financial ARE NOT FDIC INSURED, ARE NOT BANK GUARANTEED AND MAY LOSE VALUE.

Investment Risk LPL Financial is not a bank, savings and loan, or credit union. Securities and insurance offered through LPL and its affiliates are not FDIC, NCUA or government insured, not endorsed or guaranteed by LPL, its affiliates or any other financial institution, are not a deposit, and involve investment risk including possible loss of principal.

Investments Held Outside LPL Financial Information on investments Held Outside LPL is provided for informational purposes only. Values for investments not held in your LPL account are based on the market value of priced securities at the end of the statement period. Values for annuities reflect a pricing date approximately three business days prior to the statement date. Values for alternative investments such as Managed Futures and REITs (Real Estate Investment Trusts) reflect a pricing date three to five business days prior to the statement date, depending on the availability of the data. The account registration for investments held outside LPL may not be the same as the registration for the LPL account with which it is affiliated. For example, an outside investment with a joint registration may be reflected on an LPL account with an individual registration.

Margin Account If you use margin, this statement combines information about your investment account(s) and a special miscellaneous account maintained for you under Section 220.6 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account required by Regulation T is available for your inspection upon request.

Money Market Funds Money market fund transactions, if any, are displayed chronologically. The 30-day yield for the fund is also reflected as of the statement date.

Municipal Material Disclosures Copies of any material disclosures for municipal bonds are available at www.emma.msrb.org. To obtain specific municipal bond information, enter the nine-digit CUSIP number in the Search field within the EMMA web site. If you do not have access to the Internet or would prefer a physical copy of the material disclosure, please contact your financial advisor. Additional municipal bond information that may be available on www.emma.msrb.org, includes, but is not limited to: advance refunding documents, continuing disclosures, including annual financial statements and notices of material events, real-time and historical trade data, daily market statistics and educational material.

N/A or "–" Data Information that displays as N/A or "–" is unavailable, missing or incomplete and is treated as zero when calculating account totals, market values and performance.

Open Orders Open Orders are transactions pending execution, i.e., purchase and/or sale orders that you have placed, but that have not been executed by the end of the statement period.

Option Clients Information on commissions and other charges incurred in connection with the execution of option transactions has been included in the confirmations of these transactions furnished to you. A summary of this Information will be made available upon request. In accordance with the Option Agreement and Approval Form you signed, you must promptly advise the firm of any material change in your investment objectives or financial situation.

Order Routing Quarterly Order Routing information for equities and options can be found on LPL.com>Disclosure>SEC Disclosure. This information is also available upon request.

Payment for Order Flow LPL Financial acts as your agent and receives payment for order flow, the source and nature of which will be furnished to you upon written request.

Pricing Securities prices shown on this statement may vary from actual liquidation value. Prices shown should only be used as a general guide to portfolio value. We receive prices from various services, which are sometimes unable to provide timely information. Where pricing sources are not readily available, particularly on certain debt instruments including, but not limited to, bills, notes, bonds, banker's acceptances, certificates of deposit, or commercial paper, estimated prices may be generated by a matrix system or market driven pricing model, taking various factors into consideration. These prices may not be the actual price you would receive if you sold before the maturity of a certificate of deposit. The pricing of listed options takes into account the last closing price, as well as the current bid and offer prices. Where securities have not been priced, their values have not been included in the Portfolio Summary information at the beginning of this statement.

Principal If your broker-dealer is acting as principal in a transaction, your broker-dealer has sold to or bought from you the security, and may have received a profit from the transaction.

Purchase Cost Original cost including fees, commissions and less accrued interest of the quantity sold or redeemed. For transferred securities, this could be the purchase amount you or the former institution provided to us.* Purchase Cost may be adjusted to reflect corporate actions, such as stock splits, mergers, spin-offs or other events. N/A is displayed when the information is incomplete or missing and is treated as zero when calculating totals. **Transferred securities may not be included in Purchase Cost.*

Regulation All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange or market–and its clearing house, if any–where the transactions are executed, and of the Financial Industry Regulation Authority (FINRA).

Reinvestment The dollar amount of mutual fund distributions, money market fund income, or dividends on other securities shown on your statement may have been reinvested in additional shares. You will not receive confirmations for these reinvestment transactions. However, you may request information on these transactions by writing to LPL Financial. LPL will also, if requested, furnish you with the time of execution and the name of the person from whom your security was purchased.

Statement of Financial Condition LPL Financial's financial statement is available for inspection at our office. We will mail a copy to you upon written request.

Sweep Option Your account may provide for a daily sweep into an Insured Cash Account. If you have any questions about your sweep option, including rates or the depository institutions currently participating in the sweep option, or you would like to change your sweep option, please contact your financial advisor.

LPL Financial LLC is an affiliate of LPL Financial Holdings Inc.

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LPL Financial

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COMMERCEWEST
INVESTMENT MANAGEMENT
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
May 1 to May 31, 2013

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

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

Total Value of Your Account as of May 31, 2013 **$46,989.78**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2012	**$724,609.05**
Beginning Value as of May 1, 2013	**$46,989.38**
Additions	—
Withdrawals	—
Dividends, Interest and Capital Gains	0.40
Increase/decrease in Market Value[1]	—
Ending Value as of May 31, 2013	**$46,989.78**

	Year-End Value December 31, 2012	Value on May 31, 2013
TOTAL VALUE OF YOUR ACCOUNT	**$724,609.05**	**$46,989.78**

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

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.

LPL Financial

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

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Investment Account Strategic Asset Management

Statement Period
May 1 to May 31, 2013

ACCOUNT INVESTMENT SUMMARY as of May 31, 2013

Investment Type	Amount	Percent
Cash and Cash Equivalents	$46,989.78	100.00%
Equities and Options	—	—
Fixed Income	—	—
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$46,989.78**	**100.00%**

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Account Holdings as of May 31, 2013

CASH AND CASH EQUIVALENTS

Description	Current Balance
Money Market Funds	$46,989.78
TOTAL CASH AND CASH EQUIVALENTS	**$46,989.78**

Value of Your LPL Financial Account

Market Value	Estimated Annual Income
$46,989.78	—

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Account Activity as of May 31, 2013

ACCOUNT ACTIVITY SUMMARY

	Period Ending May 31, 2013	Year-to-Date
Securities Purchased	—	—
Securities Sold	—	—
Additions to Your Account	—	—
Withdrawals from Your Account	—	—
Dividends, Interest and Capital Gains	0.40	35,366.96
Reinvestments	—	—
Net Change in Bank Deposit Sweep Balance [1]	—	—
Net Change in Money Market Fund Balance	0.40	34,640.99
Fees and Expenses [2]	—	-725.97

ADDITIONS TO YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
05/06/13	Journal	STRUCTURED ASSET SEC CRP REMIC SER 2004-8 CL B1X MONTHLY 0 DAY DELAY VAR CPN 1.795% DUE 07/25/34 DTD 06/30/04 FC 07/25/04 86359BWT4	28,100,000	—	—
TOTAL ADDITIONS TO YOUR ACCOUNT					—

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.

LPL Financial

Account Activity as of May 31, 2013

WITHDRAWALS FROM YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
05/21/13	Journal	STRUCTURED ASSET SEC CRP REMIC SER 2004-8 CL B1X MONTHLY 0 DAY DELAY VAR CPN 1.795% DUE 07/25/34 DTD 06/30/04 FC 07/25/04 86359BWT4	-28,100,000	—	—
TOTAL WITHDRAWALS FROM YOUR ACCOUNT					**—**

DIVIDENDS, INTEREST AND CAPITAL GAINS

Date	Activity Type	Description/SecurityID	Amount
05/31/13	Cash Dividend	JPMORGAN PRIME MONEY MARKET FUND SERVICE SHARES 053113 46,989	$0.40
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS			**$0.40**

NET MONEY MARKET FUND ACTIVITY[3]

JPMorgan Prime Money Market Fund - Service Shares

Date	Activity Type	Description	30-Day Yield	Amount	Balance
05/01/13	Opening Balance				$46,989.38
05/31/13	Dividend Reinvest	JPMORGAN PRIME MONEY		0.40	46,989.78
05/31/13	Closing Balance				46,989.78
JPMorgan Prime Money Market Fund - Service Shares			**0.010%**		
NET CHANGE IN MONEY MARKET FUND BALANCE				**$0.40**	

3 Money Market activity reflects the net of all transfers of funds to and from your money market account on the date referenced.

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DIVIDEND AND INTEREST SUMMARY

Description	May 31, 2013	Year-to-Date
Money Market Funds	$0.40	$1.55
Government and Agency Bonds	—	35,365.41
TOTAL DIVIDENDS AND INTEREST	**$0.40**	**$35,366.96**

Account Messages as of May 31, 2013

MESSAGES FROM YOUR FINANCIAL ADVISOR

Moving forward is less difficult when finances don't pose an additional burden. Give your loved ones the security of knowing that even if the unthinkable happens, they'll be taken care of.

Your referrals mean a great deal to my business. If you know of a friend or family member who might benefit from my service, please let me know. I will work hard to ensure that your referrals feel it was a wise investment of their time - and their future - to have met with me.

MESSAGES FROM LPL FINANCIAL

CHANGE IN THE SETTLEMENT FEE (SEC - Section 31)

The Securities and Exchange Commission (the "SEC") levies transaction fees on national securities exchanges and self-regulatory organizations based on the aggregate dollar amount of the sales (liquidation) of certain securities (i.e. equities and options). This charge offsets the costs the federal government incurs in supervising and regulating the securities markets. The SEC periodically recalculates the rate at which this fee is assessed pursuant to its authority under Section 31 of the Securities Exchange Act of 1934. Effective [May 25, 2013], the fee rate applicable to securities transactions on the exchanges and over-the-counter markets was decreased from [$22.40] per million dollars to [$17.40] per million dollars.

Effective [May 25, 2013] LPL Financial will lower its Settlement Fees on covered equity and option transactions to mirror this decrease. These fees will continue to be reflected on customer confirms as "Settlement Fees" and be applied to sale proceeds.

NON-TRANSFERABLE SECURITIES THAT ARE WORTHLESS

As part of our continuing effort to provide exceptional service, please be advised that LPL Financial will remove any non-transferable securities that are worthless from customer accounts. Your account may or may not be affected. Should you have any questions or concerns, please contact your financial advisor.

ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY)

EAI is calculated by taking the indicated annualized dividend and multiplying by the number of shares owned. EY is calculated by taking the EAI and dividing by the aggregate value of the shares owned. If no dividend information is available, no EAI or EY numbers will be generated. EAI and EY for certain types of securities could include a return of principal or capital gains in which case the EAI and EY would be overstated. EAI and EY are estimates and the actual income and yield might be lower or higher than the estimated amounts. Additionally the actual dividend or yield may vary depending on the security issuer's approval of paying the dividends. EY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

Disclosures and Other Information

Account Protection LPL Financial is a member of the Securities Investor Protection Corporation (SIPC). SIPC provides protection for your account up to $500,000, including $100,000 in free cash balances, in the unlikely event that LPL fails financially. SIPC protection limits apply to all accounts that you hold in a particular capacity. For example, if you hold two accounts at LPL as a sole account holder and a third as a joint account holder, the two individual accounts are protected under SIPC up to a combined limit of $500,000, and the joint account is protected under SIPC separately up to $500,000. Insured Cash Accounts are not protected by SIPC. LPL accounts have excess SIPC-like coverage to cover the net equity of customer accounts subject to a $750 million aggregate firm limit. More information on SIPC, including an SIPC Brochure, may be obtained by calling SIPC directly at (202) 371-8300 or by visiting **www.sipc.org.**

Adjusted Cost The cost basis of securities sold, matured, redeemed or exercised is adjusted for return of principal, original issue discount, accrual and partnership distributions for CMO, CDO, REMIC and MLP transactions. Eligible securities on the Realized Gains and Losses Statement have been adjusted for bond amortization, return of capital, liquidating distributions, wash sales or similar items. N/A displays when the information is incomplete or missing and is treated as zero when calculating totals.

Agency If LPL Financial acts as your agent, or as agent for both you and another person in a transaction, the transaction details, including the identity of the seller or buyer and the source and amount of any fees or payments will be supplied upon written request.

Asset-backed Securities The actual yield from transactions in asset-backed securities (e.g., CMO, FNMA, FHLMC OR GMNA transactions) may vary according to the rate at which the underlying assets or receivables are repaid. Information about yield factors is available from your financial advisor on request.

Called Securities In the event of a partial call of corporate or municipal bonds, or preferred stock held in bulk segregation, the securities to be called will automatically be selected on a random basis, as is customary in the securities industry. The probability that your securities will be selected is proportional to the amount of your holdings relative to the bulk holdings. A detailed description of the random selection procedure is available upon request.

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Money Market Funds Money market fund transactions, if any, are displayed chronologically. The 30-day yield for the fund is also reflected as of the statement date.

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Payment for Order Flow LPL Financial acts as your agent and receives payment for order flow, the source and nature of which will be furnished to you upon written request.

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Principal If your broker-dealer is acting as principal in a transaction, your broker-dealer has sold to or bought from you the security, and may have received a profit from the transaction.

Purchase Cost Original cost including fees, commissions and less accrued interest of the quantity sold or redeemed. For transferred securities, this could be the purchase amount you or the former institution provided to us.* Purchase Cost may be adjusted to reflect corporate actions, such as stock splits, mergers, spin-offs or other events. N/A is displayed when the information is incomplete or missing and is treated as zero when calculating totals. **Transferred securities may not be included in Purchase Cost.*

Regulation All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange or market–and its clearing house, if any–where the transactions are executed, and of the Financial Industry Regulation Authority (FINRA).

Reinvestment The dollar amount of mutual fund distributions, money market fund income, or dividends on other securities shown on your statement may have been reinvested in additional shares. You will not receive confirmations for these reinvestment transactions. However, you may request information on these transactions by writing to LPL Financial. LPL will also, if requested, furnish you with the time of execution and the name of the person from whom your security was purchased.

Statement of Financial Condition LPL Financial's financial statement is available for inspection at our office. We will mail a copy to you upon written request.

Sweep Option Your account may provide for a daily sweep into an Insured Cash Account. If you have any questions about your sweep option, including rates or the depository institutions currently participating in the sweep option, or you would like to change your sweep option, please contact your financial advisor.

LPL Financial LLC is an affiliate of LPL Financial Holdings Inc.

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LPL Financial

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Account statements jan-aug 2013.pdf

COMMERCEWEST
INVESTMENT MANAGEMENT
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
April 1 to April 30, 2013

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

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

Total Value of Your Account as of April 30, 2013 **$46,989.38**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2012	**$724,609.05**
Beginning Value as of April 1, 2013	**$46,714.36**
Additions	—
Withdrawals	—
Dividends, Interest and Capital Gains	0.39
Other Account Activity [1]	274.63
Increase/decrease in Market Value [2]	—
Ending Value as of April 30, 2013	**$46,989.38**

	Year-End Value December 31, 2012	Value on April 30, 2013
TOTAL VALUE OF YOUR ACCOUNT	**$724,609.05**	**$46,989.38**

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

1 Includes fees, expenses and other activity during the Statement period. See "Account Activity".
2 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.

LPL Financial

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

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Investment Account Strategic Asset Management

Statement Period
April 1 to April 30, 2013

ACCOUNT INVESTMENT SUMMARY as of April 30, 2013

Investment Type	Amount	Percent
Cash and Cash Equivalents	$46,989.38	100.00%
Equities and Options	—	—
Fixed Income	—	—
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$46,989.38**	**100.00%**

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Account Holdings as of April 30, 2013

CASH AND CASH EQUIVALENTS

Description	Current Balance
Money Market Funds	$46,989.38
TOTAL CASH AND CASH EQUIVALENTS	**$46,989.38**

Value of Your LPL Financial Account

Market Value	Estimated Annual Income
$46,989.38	—

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Account Activity as of April 30, 2013

ACCOUNT ACTIVITY SUMMARY

	Period Ending April 30, 2013	Year-to-Date
Securities Purchased	—	—
Securities Sold	—	—
Additions to Your Account	—	—
Withdrawals from Your Account	—	—
Dividends, Interest and Capital Gains	0.39	35,366.56
Reinvestments	—	—
Net Change in Bank Deposit Sweep Balance [1]	—	—
Net Change in Money Market Fund Balance	275.02	34,640.59
Fees and Expenses [2]	274.63	-725.97

DIVIDENDS, INTEREST AND CAPITAL GAINS

Date	Activity Type	Description/SecurityID	Amount
04/30/13	Cash Dividend	JPMORGAN PRIME MONEY MARKET FUND SERVICE SHARES 043013 46,988	$0.39
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS			**$0.39**

NET MONEY MARKET FUND ACTIVITY[3]

JPMorgan Prime Money Market Fund - Service Shares

Date	Activity Type	Description	30-Day Yield	Amount	Balance
04/01/13	Opening Balance				$46,714.36
04/10/13	Shares Purchased	JPMORGAN PRIME MONEY		274.63	46,988.99

NET MONEY MARKET FUND ACTIVITY 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.

3 Money Market activity reflects the net of all transfers of funds to and from your money market account on the date referenced.

NET MONEY MARKET FUND ACTIVITY (continued)

Date	Activity Type	Description	30-Day Yield	Amount	Balance
04/30/13	Dividend Reinvest	JPMORGAN PRIME MONEY		0.39	46,989.38
04/30/13	Closing Balance				46,989.38
JPMorgan Prime Money Market Fund - Service Shares			**0.010%**		
NET CHANGE IN MONEY MARKET FUND BALANCE				**$275.02**	

FEES AND EXPENSES

Date	Activity Type	Description/SecurityID	Amount
04/09/13	Charge	ACCT ADMIN CHARGE	-$10.00
04/09/13	Wrap Fee	ADV FEE REFUND	284.63
TOTAL FEES AND EXPENSES			**$274.63**

Account Detail as of April 30, 2013

DIVIDEND AND INTEREST SUMMARY

Description	April 30, 2013	Year-to-Date
Money Market Funds	$0.39	$1.15
Government and Agency Bonds	—	35,365.41
TOTAL DIVIDENDS AND INTEREST	**$0.39**	**$35,366.56**

Account Messages as of April 30, 2013

MESSAGES FROM YOUR FINANCIAL ADVISOR

Moving forward is less difficult when finances don't pose an additional burden. Give your loved ones the security of knowing that even if the unthinkable happens, they'll be taken care of.

Your referrals mean a great deal to my business. If you know of a friend or family member who might benefit from my service, please let me know. I will work hard to ensure that your referrals feel it was a wise investment of their time - and their future - to have met with me.

MESSAGES FROM LPL FINANCIAL

IMPORTANT REGULATORY NOTICE

LPL Financial LLC ("LPL Financial") is subject to the Securities and Exchange Commission's ("SEC") Uniform Net Capital Rule, which requires securities firms to maintain a minimum amount of net capital. LPL Financial uses the alternative method, permitted by the rule, which requires that a firm maintain minimum net capital, as defined, equal to the greater of $250,000 or two percent of aggregate debit balances arising from customers' transactions plus one percent of Net Commission Payable, as defined.

LPL Financial is also subject to the National Futures Association's ("NFA") financial requirements and is required to maintain net capital that is in excess of or equal to the greatest of its minimum financial requirements. Currently the highest NFA requirement is the minimum net capital calculated pursuant to the SEC's Uniform Net Capital Rule.

As of December 31, 2012, LPL Financial had net capital of $58.5 million, which was $51.1 million in excess of its net capital requirement.

Please Note: LPL Financial's December 31, 2012 Statement of Financial Condition can be viewed on our website at www.lpl.com or you can call our toll-free number at (800) 877-7210, ext. 7600, and request that a copy be mailed to you free of charge. The Statement of Financial Condition filed pursuant to Rule 17a-5 (e)(3) under the Securities Exchange Act of 1934 and Regulation I.I0(g) under the Commodity Exchange Act is available for inspection at the principal office of the Company and at the Boston Regional office of the Commission.

NON-TRANSFERABLE SECURITIES THAT ARE WORTHLESS

As part of our continuing effort to provide exceptional service, please be advised that LPL Financial will remove any non-transferable securities that are worthless from customer accounts. Your account may or may not be affected. Should you have any questions or concerns, please contact your financial advisor.

ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY)

EAI is calculated by taking the indicated annualized dividend and multiplying by the number of shares owned. EY is calculated by taking the EAI and dividing by the aggregate value of the shares owned. If no dividend information is available, no EAI or EY numbers will be generated. EAI and EY for certain types of securities could include a return of principal or capital gains in which case the EAI and EY would be overstated. EAI and EY are estimates and the actual income and yield might be lower or higher than the estimated amounts. Additionally the actual dividend or yield may vary depending on the security issuer's approval of paying the dividends. EY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

Disclosures and Other Information

Account Protection LPL Financial is a member of the Securities Investor Protection Corporation (SIPC). SIPC provides protection for your account up to $500,000, including $100,000 in free cash balances, in the unlikely event that LPL fails financially. SIPC protection limits apply to all accounts that you hold in a particular capacity. For example, if you hold two accounts at LPL as a sole account holder and a third as a joint account holder, the two individual accounts are protected under SIPC up to a combined limit of $500,000, and the joint account is protected under SIPC separately up to $500,000. Insured Cash Accounts are not protected by SIPC. LPL accounts have excess SIPC-like coverage to cover the net equity of customer accounts subject to a $750 million aggregate firm limit. More information on SIPC, including an SIPC Brochure, may be obtained by calling SIPC directly at (202) 371-8300 or by visiting **www.sipc.org.**

Adjusted Cost The cost basis of securities sold, matured, redeemed or exercised is adjusted for return of principal, original issue discount, accrual and partnership distributions for CMO, CDO, REMIC and MLP transactions. Eligible securities on the Realized Gains and Losses Statement have been adjusted for bond amortization, return of capital, liquidating distributions, wash sales or similar items. N/A displays when the information is incomplete or missing and is treated as zero when calculating totals.

Agency If LPL Financial acts as your agent, or as agent for both you and another person in a transaction, the transaction details, including the identity of the seller or buyer and the source and amount of any fees or payments will be supplied upon written request.

Asset-backed Securities The actual yield from transactions in asset-backed securities (e.g., CMO, FNMA, FHLMC OR GMNA transactions) may vary according to the rate at which the underlying assets or receivables are repaid. Information about yield factors is available from your financial advisor on request.

Called Securities In the event of a partial call of corporate or municipal bonds, or preferred stock held in bulk segregation, the securities to be called will automatically be selected on a random basis, as is customary in the securities industry. The probability that your securities will be selected is proportional to the amount of your holdings relative to the bulk holdings. A detailed description of the random selection procedure is available upon request.

Change of Address Please notify your financial advisor/representative or LPL Financial promptly in writing of any change of address.

Cost Basis Transactions are automatically paired against holdings on a "First-In/First-Out" basis (unless manually adjusted). Designating liquidations as "versus purchase" on a trade will cause the trade confirmation or other closed tax lot notification to reflect the selected closed tax lots. For assets not purchased in the LPL account, you or the previous broker / dealer upon transfer may have provided the Date Acquired and Purchase Cost of the position. If no such data was submitted, N/A is listed as the Purchase Cost, and is treated as zero when calculating Gain or Loss totals. Since the cost basis on certain securities may have been provided by another source, the cost basis information on your statement may not reflect accurate data or correspond to data on your trade confirmations. This information should not be relied upon for tax reporting purposes. Please refer to your tax reporting statement, if applicable. For accounts electing average cost, the total cost may be computed using a combination of averaged and non-averaged unit prices for eligible securities.

Discrepancies Please notify your financial advisor and LPL Financial immediately of any discrepancies on your statement. If your financial advisor is affiliated with another broker/dealer, you must notify them as well. Please contact your financial advisor for the broker/dealer's contact information. Your financial advisor's address and telephone number can be found on the bottom of each page of this statement. LPL Financial's telephone number is (800) 558-7567 and address can be found on the first page of this statement. Additionally, any verbal communications should be re-confirmed in writing to each of the above parties to further protect your rights, including rights under Securities Investor Protection Act (SIPA).

Free Credit Balances LPL Financial may use your free credit balances subject to the limitations of 17 CFR Section 240.15c3-3 under the Securities Exchange Act of 1934. You have the right to receive from us, upon demand in the course of normal business, the delivery of any free credit balances to which you are entitled, any fully paid securities to which you are entitled, and any securities purchased on margin upon full payment of any indebtedness to LPL Financial.

Insured Cash Accounts (ICA) Cash in the ICA program is protected by the Federal Deposit Insurance Corporation (FDIC). LPL Financial allocates your money in the ICA program to banks listed in the Priority Bank List in increments up to $250,000 per depositor per depository institution ($500,000 for joint accounts) until your balance in the ICA program is allocated up to a total of $1,500,000 ($3,000,000 for joint accounts). Recent legislation permanently increased FDIC coverage to $250,000 per depositor per bank ($500,000 for joint account holders). More information on FDIC insurance is available on request, or by visiting the FDIC website at **www.fdic.gov.** LPL Financial is not a bank. Unless otherwise disclosed, securities and other investments obtained through LPL Financial ARE NOT FDIC INSURED, ARE NOT BANK GUARANTEED AND MAY LOSE VALUE.

Investment Risk LPL Financial is not a bank, savings and loan, or credit union. Securities and insurance offered through LPL and its affiliates are not FDIC, NCUA or government insured, not endorsed or guaranteed by LPL, its affiliates or any other financial institution, are not a deposit, and involve investment risk including possible loss of principal.

Investments Held Outside LPL Financial Information on investments Held Outside LPL is provided for informational purposes only. Values for investments not held in your LPL account are based on the market value of priced securities at the end of the statement period. Values for annuities reflect a pricing date approximately three business days prior to the statement date. Values for alternative investments such as Managed Futures and REITs (Real Estate Investment Trusts) reflect a pricing date three to five business days prior to the statement date, depending on the availability of the data. The account registration for investments held outside LPL may not be the same as the registration for the LPL account with which it is affiliated. For example, an outside investment with a joint registration may be reflected on an LPL account with an individual registration.

Margin Account If you use margin, this statement combines information about your investment account(s) and a special miscellaneous account maintained for you under Section 220.6 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account required by Regulation T is available for your inspection upon request.

Money Market Funds Money market fund transactions, if any, are displayed chronologically. The 30-day yield for the fund is also reflected as of the statement date.

Municipal Material Disclosures Copies of any material disclosures for municipal bonds are available at www.emma.msrb.org. To obtain specific municipal bond information, enter the nine-digit CUSIP number in the Search field within the EMMA web site. If you do not have access to the Internet or would prefer a physical copy of the material disclosure, please contact your financial advisor. Additional municipal bond information that may be available on www.emma.msrb.org, includes, but is not limited to: advance refunding documents, continuing disclosures, including annual financial statements and notices of material events, real-time and historical trade data, daily market statistics and educational material.

N/A or "–" Data Information that displays as N/A or "–" is unavailable, missing or incomplete and is treated as zero when calculating account totals, market values and performance.

Open Orders Open Orders are transactions pending execution, i.e., purchase and/or sale orders that you have placed, but that have not been executed by the end of the statement period.

Option Clients Information on commissions and other charges incurred in connection with the execution of option transactions has been included in the confirmations of these transactions furnished to you. A summary of this Information will be made available upon request. In accordance with the Option Agreement and Approval Form you signed, you must promptly advise the firm of any material change in your investment objectives or financial situation.

Order Routing Quarterly Order Routing information for equities and options can be found on LPL.com>Disclosure>SEC Disclosure. This information is also available upon request.

Payment for Order Flow LPL Financial acts as your agent and receives payment for order flow, the source and nature of which will be furnished to you upon written request.

Pricing Securities prices shown on this statement may vary from actual liquidation value. Prices shown should only be used as a general guide to portfolio value. We receive prices from various services, which are sometimes unable to provide timely information. Where pricing sources are not readily available, particularly on certain debt instruments including, but not limited to, bills, notes, bonds, banker's acceptances, certificates of deposit, or commercial paper, estimated prices may be generated by a matrix system or market driven pricing model, taking various factors into consideration. These prices may not be the actual price you would receive if you sold before the maturity of a certificate of deposit. The pricing of listed options takes into account the last closing price, as well as the current bid and offer prices. Where securities have not been priced, their values have not been included in the Portfolio Summary information at the beginning of this statement.

Principal If your broker-dealer is acting as principal in a transaction, your broker-dealer has sold to or bought from you the security, and may have received a profit from the transaction.

Purchase Cost Original cost including fees, commissions and less accrued interest of the quantity sold or redeemed. For transferred securities, this could be the purchase amount you or the former institution provided to us.* Purchase Cost may be adjusted to reflect corporate actions, such as stock splits, mergers, spin-offs or other events. N/A is displayed when the information is incomplete or missing and is treated as zero when calculating totals. **Transferred securities may not be included in Purchase Cost.*

Regulation All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange or market–and its clearing house, if any–where the transactions are executed, and of the Financial Industry Regulation Authority (FINRA).

Reinvestment The dollar amount of mutual fund distributions, money market fund income, or dividends on other securities shown on your statement may have been reinvested in additional shares. You will not receive confirmations for these reinvestment transactions. However, you may request information on these transactions by writing to LPL Financial. LPL will also, if requested, furnish you with the time of execution and the name of the person from whom your security was purchased.

Statement of Financial Condition LPL Financial's financial statement is available for inspection at our office. We will mail a copy to you upon written request.

Sweep Option Your account may provide for a daily sweep into an Insured Cash Account. If you have any questions about your sweep option, including rates or the depository institutions currently participating in the sweep option, or you would like to change your sweep option, please contact your financial advisor.

LPL Financial LLC is an affiliate of LPL Financial Holdings Inc.

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LPL Financial

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COMMERCEWEST
INVESTMENT MANAGEMENT
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
March 1 to March 31, 2013

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

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

Total Value of Your Account as of March 31, 2013 **$46,714.36**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2012	**$724,609.05**
Beginning Value as of March 1, 2013	**$46,713.96**
Additions	—
Withdrawals	—
Dividends, Interest and Capital Gains	0.40
Increase/decrease in Market Value[1]	—
Ending Value as of March 31, 2013	**$46,714.36**

	Year-End Value December 31, 2012	Value on March 31, 2013
TOTAL VALUE OF YOUR ACCOUNT	**$724,609.05**	**$46,714.36**

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

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.

LPL Financial

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

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Investment Account Strategic Asset Management

Statement Period
March 1 to March 31, 2013

ACCOUNT INVESTMENT SUMMARY as of March 31, 2013

Investment Type	Amount	Percent
Cash and Cash Equivalents	$46,714.36	100.00%
Equities and Options	—	—
Fixed Income	—	—
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$46,714.36**	**100.00%**

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Account Holdings as of March 31, 2013

CASH AND CASH EQUIVALENTS

Description	Current Balance
Money Market Funds	$46,714.36
TOTAL CASH AND CASH EQUIVALENTS	**$46,714.36**

Value of Your LPL Financial Account

Market Value	Estimated Annual Income
$46,714.36	—

Account Activity as of March 31, 2013

ACCOUNT ACTIVITY SUMMARY

	Period Ending March 31, 2013	Year-to-Date
Securities Purchased	—	—
Securities Sold	—	—
Additions to Your Account	—	—
Withdrawals from Your Account	—	—
Dividends, Interest and Capital Gains	0.40	35,366.17
Reinvestments	—	—
Net Change in Bank Deposit Sweep Balance [1]	—	—
Net Change in Money Market Fund Balance	0.40	34,365.57
Fees and Expenses [2]	—	-1,000.60

DIVIDENDS, INTEREST AND CAPITAL GAINS

Date	Activity Type	Description/SecurityID	Amount
03/28/13	Cash Dividend	JPMORGAN PRIME MONEY MARKET FUND SERVICE SHARES 032813 46,713	$0.40
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS			**$0.40**

NET MONEY MARKET FUND ACTIVITY[3]

JPMorgan Prime Money Market Fund - Service Shares

Date	Activity Type	Description	30-Day Yield	Amount	Balance
03/01/13	Opening Balance				$46,713.96
03/28/13	Dividend Reinvest	JPMORGAN PRIME MONEY		0.40	46,714.36

NET MONEY MARKET FUND ACTIVITY 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.

3 Money Market activity reflects the net of all transfers of funds to and from your money market account on the date referenced.

NET MONEY MARKET FUND ACTIVITY (continued)

Date	Activity Type	Description	30-Day Yield	Amount	Balance
03/31/13	Closing Balance				46,714.36
JPMorgan Prime Money Market Fund - Service Shares			**0.010%**		
NET CHANGE IN MONEY MARKET FUND BALANCE				**$0.40**	

DIVIDEND AND INTEREST SUMMARY

Description	March 31, 2013	Year-to-Date
Money Market Funds	$0.40	$0.76
Government and Agency Bonds	—	35,365.41
TOTAL DIVIDENDS AND INTEREST	**$0.40**	**$35,366.17**

Account Messages as of March 31, 2013

MESSAGES FROM YOUR FINANCIAL ADVISOR

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MESSAGES FROM LPL FINANCIAL

NOTICE OF AMENDMENT TO FORM ADV BROCHURE FOR LPL FINANCIAL LLC

LPL Financial LLC, as a broker-dealer, is a member of the Financial Industry Regulatory Authority ("FINRA") and recently has been found to be in violation of FINRA's rules related to its brokerage activities, in particular, relating to its supervisory systems to monitor and ensure the timely delivery of mutual fund prospectuses, resulting in a censure and fine of $400,000.

ORDER ROUTING

Quarterly Order Routing information for equities and options can be found on LPL.com>Disclosure>SEC Disclosure. This information is also available upon request.

NON-TRANSFERABLE SECURITIES THAT ARE WORTHLESS

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Called Securities In the event of a partial call of corporate or municipal bonds, or preferred stock held in bulk segregation, the securities to be called will automatically be selected on a random basis, as is customary in the securities industry. The probability that your securities will be selected is proportional to the amount of your holdings relative to the bulk holdings. A detailed description of the random selection procedure is available upon request.

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Margin Account If you use margin, this statement combines information about your investment account(s) and a special miscellaneous account maintained for you under Section 220.6 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account required by Regulation T is available for your inspection upon request.

Money Market Funds Money market fund transactions, if any, are displayed chronologically. The 30-day yield for the fund is also reflected as of the statement date.

Municipal Material Disclosures Copies of any material disclosures for municipal bonds are available at www.emma.msrb.org. To obtain specific municipal bond information, enter the nine-digit CUSIP number in the Search field within the EMMA web site. If you do not have access to the Internet or would prefer a physical copy of the material disclosure, please contact your financial advisor. Additional municipal bond information that may be available on www.emma.msrb.org, includes, but is not limited to: advance refunding documents, continuing disclosures, including annual financial statements and notices of material events, real-time and historical trade data, daily market statistics and educational material.

N/A or "–" Data Information that displays as N/A or "–" is unavailable, missing or incomplete and is treated as zero when calculating account totals, market values and performance.

Open Orders Open Orders are transactions pending execution, i.e., purchase and/or sale orders that you have placed, but that have not been executed by the end of the statement period.

Option Clients Information on commissions and other charges incurred in connection with the execution of option transactions has been included in the confirmations of these transactions furnished to you. A summary of this Information will be made available upon request. In accordance with the Option Agreement and Approval Form you signed, you must promptly advise the firm of any material change in your investment objectives or financial situation.

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Principal If your broker-dealer is acting as principal in a transaction, your broker-dealer has sold to or bought from you the security, and may have received a profit from the transaction.

Purchase Cost Original cost including fees, commissions and less accrued interest of the quantity sold or redeemed. For transferred securities, this could be the purchase amount you or the former institution provided to us.* Purchase Cost may be adjusted to reflect corporate actions, such as stock splits, mergers, spin-offs or other events. N/A is displayed when the information is incomplete or missing and is treated as zero when calculating totals. **Transferred securities may not be included in Purchase Cost.*

Regulation All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange or market–and its clearing house, if any–where the transactions are executed, and of the Financial Industry Regulation Authority (FINRA).

Reinvestment The dollar amount of mutual fund distributions, money market fund income, or dividends on other securities shown on your statement may have been reinvested in additional shares. You will not receive confirmations for these reinvestment transactions. However, you may request information on these transactions by writing to LPL Financial. LPL will also, if requested, furnish you with the time of execution and the name of the person from whom your security was purchased.

Statement of Financial Condition LPL Financial's financial statement is available for inspection at our office. We will mail a copy to you upon written request.

Sweep Option Your account may provide for a daily sweep into an Insured Cash Account. If you have any questions about your sweep option, including rates or the depository institutions currently participating in the sweep option, or you would like to change your sweep option, please contact your financial advisor.

LPL Financial LLC is an affiliate of LPL Financial Holdings Inc.

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LPL Financial

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COMMERCEWEST
INVESTMENT MANAGEMENT
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
February 1 to February 28, 2013

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

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

Total Value of Your Account as of February 28, 2013 **$46,713.96**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2012	**$724,609.05**
Beginning Value as of February 1, 2013	**$720,900.53**
Additions	—
Withdrawals	—
Dividends, Interest and Capital Gains	17,330.84
Increase/decrease in Market Value[1]	-691,517.41
Ending Value as of February 28, 2013	**$46,713.96**

	Year-End Value December 31, 2012	Value on February 28, 2013
TOTAL VALUE OF YOUR ACCOUNT	**$724,609.05**	**$46,713.96**

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

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.

LPL Financial

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

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Investment Account Strategic Asset Management

Statement Period
February 1 to February 28, 2013

ACCOUNT INVESTMENT SUMMARY as of February 28, 2013

Investment Type	Amount	Percent
Cash and Cash Equivalents	$46,713.96	100.00%
Equities and Options	—	—
Fixed Income	—	—
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$46,713.96**	**100.00%**

COPY

Account Holdings as of February 28, 2013

CASH AND CASH EQUIVALENTS

Description	Current Balance
Money Market Funds	$46,713.96
TOTAL CASH AND CASH EQUIVALENTS	**$46,713.96**

Value of Your LPL Financial Account	Market Value	Estimated Annual Income
	$46,713.96	—

Account Activity as of February 28, 2013

ACCOUNT ACTIVITY SUMMARY

	Period Ending February 28, 2013	Year-to-Date
Securities Purchased	—	—
Securities Sold	—	—
Additions to Your Account	—	—
Withdrawals from Your Account	—	—
Dividends, Interest and Capital Gains	17,330.84	35,365.77
Reinvestments	—	—
Net Change in Bank Deposit Sweep Balance [1]	—	—
Net Change in Money Market Fund Balance	17,330.84	34,365.17
Fees and Expenses [2]	—	-1,000.60

ADDITIONS TO YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
02/14/13	Transfer A/C	BANC AMER MTG SECS INC REMIC 2004-L CL B1 MONTHLY 24 DAY DELAY VAR CPN 3.352% DUE 01/25/35 DTD 12/01/04 FC 01/25/05 05949AZH6	12,863,000	—	—
TOTAL ADDITIONS TO YOUR ACCOUNT					**—**

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.

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WITHDRAWALS FROM YOUR ACCOUNT

Date	Activity Type	Description/SecurityID	Quantity	Price	Amount
02/12/13	Journal	BANC AMER FDG TR REMIC SER 2007-8 CL X-IO MONTHLY 24 DAY DELAY CPN 7.000% DUE 10/25/37 DTD 09/01/07 FC 10/25/07 05953LAM1	-13,311,854	—	—
02/21/13	Transfer A/C	BANC AMER MTG SECS INC REMIC 2004-L CL B1 MONTHLY 24 DAY DELAY VAR CPN 3.352% DUE 01/25/35 DTD 12/01/04 FC 01/25/05 05949AZH6	-12,863,000	—	—
TOTAL WITHDRAWALS FROM YOUR ACCOUNT					—

DIVIDENDS, INTEREST AND CAPITAL GAINS

Date	Activity Type	Description/SecurityID	Amount
02/25/13	Interest	BANC AMER FDG TR REMIC SER 2007-8 CL X-IO MONTHLY 24 DAY DELAY CPN 7.000% DUE 10/25/37 DTD 09/01/07 FC 10/25/07 022513 13,311,854 05953LAM1	$17,330.60
02/28/13	Cash Dividend	JPMORGAN PRIME MONEY MARKET FUND SERVICE SHARES 022813 46,713	0.24
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS			**$17,330.84**

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NET MONEY MARKET FUND ACTIVITY[3]

JPMorgan Prime Money Market Fund - Service Shares

Date	Activity Type	Description	30-Day Yield	Amount	Balance
02/01/13	Opening Balance				$29,383.12
02/26/13	Shares Purchased	JPMORGAN PRIME MONEY		17,330.60	46,713.72
02/28/13	Dividend Reinvest	JPMORGAN PRIME MONEY		0.24	46,713.96
02/28/13	Closing Balance				46,713.96
JPMorgan Prime Money Market Fund - Service Shares			**0.010%**		
NET CHANGE IN MONEY MARKET FUND BALANCE				**$17,330.84**	

3 Money Market activity reflects the net of all transfers of funds to and from your money market account on the date referenced.

DIVIDEND AND INTEREST SUMMARY

Description	February 28, 2013	Year-to-Date
Money Market Funds	$0.24	$0.36
Government and Agency Bonds	17,330.60	35,365.41
TOTAL DIVIDENDS AND INTEREST	**$17,330.84**	**$35,365.77**

Account Messages as of February 28, 2013

MESSAGES FROM YOUR FINANCIAL ADVISOR

Moving forward is less difficult when finances don't pose an additional burden. Give your loved ones the security of knowing that even if the unthinkable happens, they'll be taken care of.

Your referrals mean a great deal to my business. If you know of a friend or family member who might benefit from my service, please let me know. I will work hard to ensure that your referrals feel it was a wise investment of their time - and their future - to have met with me.

MESSAGES FROM LPL FINANCIAL

NOTICE OF AMENDMENT TO FORM ADV BROCHURE FOR LPL FINANCIAL LLC

LPL Financial LLC, as a broker-dealer, is a member of the Financial Industry Regulatory Authority ("FINRA") and recently has been found to be in violation of FINRA's rules related to its brokerage activities, in particular, relating to its supervisory systems to monitor and ensure the timely delivery of mutual fund prospectuses, resulting in a censure and fine of $400,000.

NON-TRANSFERABLE SECURITIES THAT ARE WORTHLESS

As part of our continuing effort to provide exceptional service, please be advised that LPL Financial will remove any non-transferable securities that are worthless from customer accounts. Your account may or may not be affected. Should you have any questions or concerns, please contact your financial advisor.

ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY)

EAI is calculated by taking the indicated annualized dividend and multiplying by the number of shares owned. EY is calculated by taking the EAI and dividing by the aggregate value of the shares owned. If no dividend information is available, no EAI or EY numbers will be generated. EAI and EY for certain types of securities could include a return of principal or capital gains in which case the EAI and EY would be overstated. EAI and EY are estimates and the actual income and yield might be lower or higher than the estimated amounts. Additionally the actual dividend or yield may vary depending on the security issuer's approval of paying the dividends. EY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

Disclosures and Other Information

Account Protection LPL Financial is a member of the Securities Investor Protection Corporation (SIPC). SIPC provides protection for your account up to $500,000, including $100,000 in free cash balances, in the unlikely event that LPL fails financially. SIPC protection limits apply to all accounts that you hold in a particular capacity. For example, if you hold two accounts at LPL as a sole account holder and a third as a joint account holder, the two individual accounts are protected under SIPC up to a combined limit of $500,000, and the joint account is protected under SIPC separately up to $500,000. Insured Cash Accounts are not protected by SIPC. LPL accounts have excess SIPC-like coverage to cover the net equity of customer accounts subject to a $750 million aggregate firm limit. More information on SIPC, including an SIPC Brochure, may be obtained by calling SIPC directly at (202) 371-8300 or by visiting **www.sipc.org.**

Adjusted Cost The cost basis of securities sold, matured, redeemed or exercised is adjusted for return of principal, original issue discount, accrual and partnership distributions for CMO, CDO, REMIC and MLP transactions. Eligible securities on the Realized Gains and Losses Statement have been adjusted for bond amortization, return of capital, liquidating distributions, wash sales or similar items. N/A displays when the information is incomplete or missing and is treated as zero when calculating totals.

Agency If LPL Financial acts as your agent, or as agent for both you and another person in a transaction, the transaction details, including the identity of the seller or buyer and the source and amount of any fees or payments will be supplied upon written request.

Asset-backed Securities The actual yield from transactions in asset-backed securities (e.g., CMO, FNMA, FHLMC OR GMNA transactions) may vary according to the rate at which the underlying assets or receivables are repaid. Information about yield factors is available from your financial advisor on request.

Called Securities In the event of a partial call of corporate or municipal bonds, or preferred stock held in bulk segregation, the securities to be called will automatically be selected on a random basis, as is customary in the securities industry. The probability that your securities will be selected is proportional to the amount of your holdings relative to the bulk holdings. A detailed description of the random selection procedure is available upon request.

Change of Address Please notify your financial advisor/representative or LPL Financial promptly in writing of any change of address.

Cost Basis Transactions are automatically paired against holdings on a "First-In/First-Out" basis (unless manually adjusted). Designating liquidations as "versus purchase" on a trade will cause the trade confirmation or other closed tax lot notification to reflect the selected closed tax lots. For assets not purchased in the LPL account, you or the previous broker / dealer upon transfer may have provided the Date Acquired and Purchase Cost of the position. If no such data was submitted, N/A is listed as the Purchase Cost, and is treated as zero when calculating Gain or Loss totals. Since the cost basis on certain securities may have been provided by another source, the cost basis information on your statement may not reflect accurate data or correspond to data on your trade confirmations. This information should not be relied upon for tax reporting purposes. Please refer to your tax reporting statement, if applicable. For accounts electing average cost, the total cost may be computed using a combination of averaged and non-averaged unit prices for eligible securities.

Discrepancies Please notify your financial advisor and LPL Financial immediately of any discrepancies on your statement. If your financial advisor is affiliated with another broker/dealer, you must notify them as well. Please contact your financial advisor for the broker/dealer's contact information. Your financial advisor's address and telephone number can be found on the bottom of each page of this statement. LPL Financial's telephone number is (800) 558-7567 and address can be found on the first page of this statement. Additionally, any verbal communications should be re-confirmed in writing to each of the above parties to further protect your rights, including rights under Securities Investor Protection Act (SIPA).

Free Credit Balances LPL Financial may use your free credit balances subject to the limitations of 17 CFR Section 240.15c3-3 under the Securities Exchange Act of 1934. You have the right to receive from us, upon demand in the course of normal business, the delivery of any free credit balances to which you are entitled, any fully paid securities to which you are entitled, and any securities purchased on margin upon full payment of any indebtedness to LPL Financial.

Insured Cash Accounts (ICA) Cash in the ICA program is protected by the Federal Deposit Insurance Corporation (FDIC). LPL Financial allocates your money in the ICA program to banks listed in the Priority Bank List in increments up to $250,000 per depositor per depository institution ($500,000 for joint accounts) until your balance in the ICA program is allocated up to a total of $1,500,000 ($3,000,000 for joint accounts). Recent legislation permanently increased FDIC coverage to $250,000 per depositor per bank ($500,000 for joint account holders). More information on FDIC insurance is available on request, or by visiting the FDIC website at **www.fdic.gov.** LPL Financial is not a bank. Unless otherwise disclosed, securities and other investments obtained through LPL Financial ARE NOT FDIC INSURED, ARE NOT BANK GUARANTEED AND MAY LOSE VALUE.

Investment Risk LPL Financial is not a bank, savings and loan, or credit union. Securities and insurance offered through LPL and its affiliates are not FDIC, NCUA or government insured, not endorsed or guaranteed by LPL, its affiliates or any other financial institution, are not a deposit, and involve investment risk including possible loss of principal.

Investments Held Outside LPL Financial Information on investments Held Outside LPL is provided for informational purposes only. Values for investments not held in your LPL account are based on the market value of priced securities at the end of the statement period. Values for annuities reflect a pricing date approximately three business days prior to the statement date. Values for alternative investments such as Managed Futures and REITs (Real Estate Investment Trusts) reflect a pricing date three to five business days prior to the statement date, depending on the availability of the data. The account registration for investments held outside LPL may not be the same as the registration for the LPL account with which it is affiliated. For example, an outside investment with a joint registration may be reflected on an LPL account with an individual registration.

Margin Account If you use margin, this statement combines information about your investment account(s) and a special miscellaneous account maintained for you under Section 220.6 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account required by Regulation T is available for your inspection upon request.

Money Market Funds Money market fund transactions, if any, are displayed chronologically. The 30-day yield for the fund is also reflected as of the statement date.

Municipal Material Disclosures Copies of any material disclosures for municipal bonds are available at www.emma.msrb.org. To obtain specific municipal bond information, enter the nine-digit CUSIP number in the Search field within the EMMA web site. If you do not have access to the Internet or would prefer a physical copy of the material disclosure, please contact your financial advisor. Additional municipal bond information that may be available on www.emma.msrb.org, includes, but is not limited to: advance refunding documents, continuing disclosures, including annual financial statements and notices of material events, real-time and historical trade data, daily market statistics and educational material.

N/A or "–" Data Information that displays as N/A or "–" is unavailable, missing or incomplete and is treated as zero when calculating account totals, market values and performance.

Open Orders Open Orders are transactions pending execution, i.e., purchase and/or sale orders that you have placed, but that have not been executed by the end of the statement period.

Option Clients Information on commissions and other charges incurred in connection with the execution of option transactions has been included in the confirmations of these transactions furnished to you. A summary of this Information will be made available upon request. In accordance with the Option Agreement and Approval Form you signed, you must promptly advise the firm of any material change in your investment objectives or financial situation.

Payment for Order Flow LPL Financial acts as your agent and receives payment for order flow, the source and nature of which will be furnished to you upon written request.

Pricing Securities prices shown on this statement may vary from actual liquidation value. Prices shown should only be used as a general guide to portfolio value. We receive prices from various services, which are sometimes unable to provide timely information. Where pricing sources are not readily available, particularly on certain debt instruments including, but not limited to, bills, notes, bonds, banker's acceptances, certificates of deposit, or commercial paper, estimated prices may be generated by a matrix system or market driven pricing model, taking various factors into consideration. These prices may not be the actual price you would receive if you sold before the maturity of a certificate of deposit. The pricing of listed options takes into account the last closing price, as well as the current bid and offer prices. Where securities have not been priced, their values have not been included in the Portfolio Summary information at the beginning of this statement.

Principal If your broker-dealer is acting as principal in a transaction, your broker-dealer has sold to or bought from you the security, and may have received a profit from the transaction.

Purchase Cost Original cost including fees, commissions and less accrued interest of the quantity sold or redeemed. For transferred securities, this could be the purchase amount you or the former institution provided to us.* Purchase Cost may be adjusted to reflect corporate actions, such as stock splits, mergers, spin-offs or other events. N/A is displayed when the information is incomplete or missing and is treated as zero when calculating totals. **Transferred securities may not be included in Purchase Cost.*

Regulation All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange or market–and its clearing house, if any–where the transactions are executed, and of the Financial Industry Regulation Authority (FINRA).

Reinvestment The dollar amount of mutual fund distributions, money market fund income, or dividends on other securities shown on your statement may have been reinvested in additional shares. You will not receive confirmations for these reinvestment transactions. However, you may request information on these transactions by writing to LPL Financial. LPL will also, if requested, furnish you with the time of execution and the name of the person from whom your security was purchased.

Statement of Financial Condition LPL Financial's financial statement is available for inspection at our office. We will mail a copy to you upon written request.

Sweep Option Your account may provide for a daily sweep into an Insured Cash Account. If you have any questions about your sweep option, including rates or the depository institutions currently participating in the sweep option, or you would like to change your sweep option, please contact your financial advisor.

LPL Financial LLC is an affiliate of LPL Financial Holdings Inc.

LPL Financial

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COMMERCEWEST
INVESTMENT MANAGEMENT
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
January 1 to January 31, 2013

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

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

Total Value of Your Account as of January 31, 2013 **$720,900.53**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2012	**$724,609.05**
Beginning Value as of January 1, 2013	**$724,609.05**
Additions	—
Withdrawals	—
Dividends, Interest and Capital Gains	18,034.93
Other Account Activity [1]	-1,000.60
Increase/decrease in Market Value [2]	-20,742.85
Ending Value as of January 31, 2013	**$720,900.53**

	Year-End Value December 31, 2012	Value on January 31, 2013
TOTAL VALUE OF YOUR ACCOUNT	**$724,609.05**	**$720,900.53**

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

LPL Financial

1 Includes fees, expenses and other activity during the Statement period. See "Account Activity".
2 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.

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

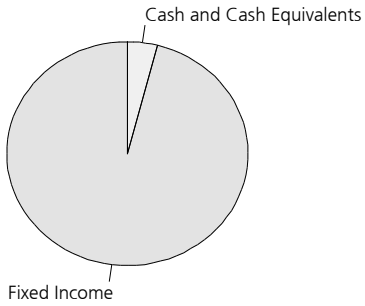
COPY

Investment Account Strategic Asset Management

Statement Period
January 1 to January 31, 2013

ACCOUNT INVESTMENT SUMMARY as of January 31, 2013

Investment Type	Amount	Percent
Cash and Cash Equivalents	$29,383.12	4.08%
Equities and Options	—	—
Fixed Income	691,517.41	95.92%
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$720,900.53**	**100.00%**



EARNINGS SUMMARY as of January 31, 2013

Estimated Annual Income	$207,967.00
Estimated Accrued Interest	$17,330.59

LPL Financial

Account Holdings as of January 31, 2013

CASH AND CASH EQUIVALENTS

Description	Current Balance
Money Market Funds	$29,383.12
TOTAL CASH AND CASH EQUIVALENTS	**$29,383.12**

GOVERNMENT AND AGENCY BONDS

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
BANC AMER FDG TR REMIC SER 2007-8 CL X-IO MONTHLY 24 DAY DELAY CPN 7.000% DUE 10/25/37 DTD 09/01/07 FC 10/25/07 S&P RATING: NOT RATED 05953LAM1	13,311,854	$23.2759	$691,517.41 FACTOR:0.22318145	$207,967	$17,330.59 30.07%
TOTAL GOVERNMENT AND AGENCY BONDS			**$691,517.41**	**$207,967**	**$17,330.59**

Value of Your LPL Financial Account

Market Value	Estimated Annual Income
$720,900.53	**$207,967**

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Account Activity as of January 31, 2013

ACCOUNT ACTIVITY SUMMARY

	Period Ending January 31, 2013	Year-to-Date
Securities Purchased	—	—
Securities Sold	—	—
Additions to Your Account	—	—
Withdrawals from Your Account	—	—
Dividends, Interest and Capital Gains	18,034.93	18,034.93
Reinvestments	—	—
Net Change in Bank Deposit Sweep Balance [1]	—	—
Net Change in Money Market Fund Balance	17,034.33	17,034.33
Fees and Expenses [2]	-1,000.60	-1,000.60

DIVIDENDS, INTEREST AND CAPITAL GAINS

Date	Activity Type	Description/SecurityID	Amount
01/25/13	Interest	BANC AMER FDG TR REMIC SER 2007-8 CL X-IO MONTHLY 24 DAY DELAY CPN 7.000% DUE 10/25/37 DTD 09/01/07 FC 10/25/07 012513 13,311,854 05953LAM1	$18,034.81
01/31/13	Cash Dividend	JPMORGAN PRIME MONEY MARKET FUND SERVICE SHARES 013113 29,383	0.12
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS			**$18,034.93**

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.

NET MONEY MARKET FUND ACTIVITY[3]

JPMorgan Prime Money Market Fund - Service Shares

Date	Activity Type	Description	30-Day Yield	Amount	Balance
01/01/13	Opening Balance				$12,348.79
01/10/13	Shares Redeemed	JPMORGAN PRIME MONEY		-1,000.60	11,348.19
01/28/13	Shares Purchased	JPMORGAN PRIME MONEY		18,034.81	29,383.00
01/31/13	Dividend Reinvest	JPMORGAN PRIME MONEY		0.12	29,383.12
01/31/13	Closing Balance				29,383.12
JPMorgan Prime Money Market Fund - Service Shares			**0.010%**		
NET CHANGE IN MONEY MARKET FUND BALANCE				**$17,034.33**	

FEES AND EXPENSES

Date	Activity Type	Description/SecurityID	Amount
01/09/13	Wrap Fee	ADVISORY FEE	-$1,000.60
TOTAL FEES AND EXPENSES			**-$1,000.60**

3 Money Market activity reflects the net of all transfers of funds to and from your money market account on the date referenced.

COPY

DIVIDEND AND INTEREST SUMMARY

Description	January 31, 2013	Year-to-Date
Money Market Funds	$0.12	$0.12
Government and Agency Bonds	18,034.81	18,034.81
TOTAL DIVIDENDS AND INTEREST	**$18,034.93**	**$18,034.93**

DIVIDENDS, INTEREST, CAPITAL GAINS AND OTHER DISTRIBUTIONS NOT YET RECEIVED

DIVIDENDS, INTEREST AND CAPITAL GAINS NOT YET RECEIVED

Closing Date	Transaction Type	Description/SecurityID	Record Date	Quantity	Rate	Amount of Payment
02/25/13	Interest	BANC AMER FDG TR REMIC SER 2007-8 CL X-IO MONTHLY 24 DAY DELAY CPN 7.000% DUE 10/25/37 DTD 09/01/07 FC 10/25/07 05953LAM1	01/31/13	13,311,854	1.42504	$18,970.04
TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS NOT YET RECEIVED						**$18,970.04**

Account Messages as of January 31, 2013

MESSAGES FROM YOUR FINANCIAL ADVISOR

Moving forward is less difficult when finances don't pose an additional burden. Give your loved ones the security of knowing that even if the unthinkable happens, they'll be taken care of.

Your referrals mean a great deal to my business. If you know of a friend or family member who might benefit from my service, please let me know. I will work hard to ensure that your referrals feel it was a wise investment of their time - and their future - to have met with me.

MESSAGES FROM LPL FINANCIAL

IMPORTANT TAX REMINDER: IRS MOVED 1099 MAILING DEADLINE TO FEBRUARY 15

In 2009, Section 6045(b) of the Internal Revenue Code extended the deadline to furnish 1099 Consolidated Reporting statements to customers from January 31 to February 15.

LPL Financial is required to report your sales, dividends and other distributions paid by investment companies on the 1099 Consolidated Reporting Statement (1099 DIV, INT, B, MISC, OID). Mutual Funds, Real Estate Investment Trusts, Unit Investment Trusts and American Depository Receipt agents pass through tax reporting information to LPL Financial, and commonly amend, or finalize, the tax classification of dividends and other distributions in the subsequent months following the end of the year.

Please also note that the cost basis of mutual funds and dividend reinvestment plans (DRPs) acquired in 2012 will be reported to the IRS this year, and may cause additional revisions due to the complexity of wash sale and average cost calculations.

As it is common for investment companies to amend tax information, LPL Financial has been granted a supplemental 30-day mailing extension in the event investment companies do not furnish tax information to LPL Financial by the February 15 deadline. This additional extension attempts to minimize the number of corrected 1099s resulting from amended reporting sent by investment companies. However, we will strive to meet the February 15 mailing deadline.

The mailing dates for the 1099-R and 1099-Q forms will remain the standard deadline of January 31, 2013.

YEAR-END ACCOUNT STATEMENTS/MULTIPLE FORM 1099s

This statement reflects only business conducted with your financial advisor during the time LPL Financial acted as broker-dealer. If you transferred an account to LPL Financial from another broker-dealer during 2012, your previous firm(s) should send you one or more Form 1099s summarizing any reportable account activity that took place before your account was transferred to LPL Financial. If your account was converted from Pershing during 2012, you may also receive one or more Form 1099s from that clearing firm. Please be sure to include all Form 1099s when completing your tax returns.

MANDATORY 25% WITHHOLDING ON DIVIDENDS RECEIVED FROM CANADIAN SECURITIES

The Canada Revenue Agency (CRA) has changed its previous stance that generally accepted the use of your name and address on file for determining whether you were eligible for treaty benefits on dividends paid by Canadian issuers. Effective this year, the CRA requires you to certify beneficial ownership, residency, and eligibility for treaty benefits by completing any of the forms listed below, in order to claim a reduced treaty rate on withholding applied to Canadian source investment income. If these forms are not received before the record date of income payment, the default rate of 25% withholding will apply.

FORM NR301
Description: Declaration of eligibility for benefits under a tax treaty for a non-resident taxpayer.
Account Type: Individual, joint, trust, IRAs and QRPs, estate, corporation, 529 plans.
FORM NR302
Description: Declaration of eligibility for benefits under a tax treaty for a partnership with non-resident partners.
Account Type: Partnership
FORM N3303
Description: Declaration of eligibility for benefits under a tax treaty for a hybrid entity.
Account Type: Hybrid business entities, i.e. limited liability corporations (LLCs), disregarded entities, etc.

MESSAGES FROM LPL FINANCIAL (continued)

NON-TRANSFERABLE SECURITIES THAT ARE WORTHLESS

As part of our continuing effort to provide exceptional service, please be advised that LPL Financial will remove any non-transferable securities that are worthless from customer accounts. Your account may or may not be affected. Should you have any questions or concerns, please contact your financial advisor.

ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY)

EAI is calculated by taking the indicated annualized dividend and multiplying by the number of shares owned. EY is calculated by taking the EAI and dividing by the aggregate value of the shares owned. If no dividend information is available, no EAI or EY numbers will be generated. EAI and EY for certain types of securities could include a return of principal or capital gains in which case the EAI and EY would be overstated. EAI and EY are estimates and the actual income and yield might be lower or higher than the estimated amounts. Additionally the actual dividend or yield may vary depending on the security issuer's approval of paying the dividends. EY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

Disclosures and Other Information

Account Protection LPL Financial is a member of the Securities Investor Protection Corporation (SIPC). SIPC provides protection for your account up to $500,000, including $100,000 in free cash balances, in the unlikely event that LPL fails financially. SIPC protection limits apply to all accounts that you hold in a particular capacity. For example, if you hold two accounts at LPL as a sole account holder and a third as a joint account holder, the two individual accounts are protected under SIPC up to a combined limit of $500,000, and the joint account is protected under SIPC separately up to $500,000. Insured Cash Accounts are not protected by SIPC. LPL accounts have excess SIPC-like coverage to cover the net equity of customer accounts subject to a $750 million aggregate firm limit. More information on SIPC, including an SIPC Brochure, may be obtained by calling SIPC directly at (202) 371-8300 or by visiting **www.sipc.org.**

Adjusted Cost The cost basis of securities sold, matured, redeemed or exercised is adjusted for return of principal, original issue discount, accrual and partnership distributions for CMO, CDO, REMIC and MLP transactions. Eligible securities on the Realized Gains and Losses Statement have been adjusted for bond amortization, return of capital, liquidating distributions, wash sales or similar items. N/A displays when the information is incomplete or missing and is treated as zero when calculating totals.

Agency If LPL Financial acts as your agent, or as agent for both you and another person in a transaction, the transaction details, including the identity of the seller or buyer and the source and amount of any fees or payments will be supplied upon written request.

Asset-backed Securities The actual yield from transactions in asset-backed securities (e.g., CMO, FNMA, FHLMC OR GMNA transactions) may vary according to the rate at which the underlying assets or receivables are repaid. Information about yield factors is available from your financial advisor on request.

Called Securities In the event of a partial call of corporate or municipal bonds, or preferred stock held in bulk segregation, the securities to be called will automatically be selected on a random basis, as is customary in the securities industry. The probability that your securities will be selected is proportional to the amount of your holdings relative to the bulk holdings. A detailed description of the random selection procedure is available upon request.

Change of Address Please notify your financial advisor/representative or LPL Financial promptly in writing of any change of address.

Cost Basis Transactions are automatically paired against holdings on a "First-In/First-Out" basis (unless manually adjusted). Designating liquidations as "versus purchase" on a trade will cause the trade confirmation or other closed tax lot notification to reflect the selected closed tax lots. For assets not purchased in the LPL account, you or the previous broker / dealer upon transfer may have provided the Date Acquired and Purchase Cost of the position. If no such data was submitted, N/A is listed as the Purchase Cost, and is treated as zero when calculating Gain or Loss totals. Since the cost basis on certain securities may have been provided by another source, the cost basis information on your statement may not reflect accurate data or correspond to data on your trade confirmations. This information should not be relied upon for tax reporting purposes. Please refer to your tax reporting statement, if applicable. For accounts electing average cost, the total cost may be computed using a combination of averaged and non-averaged unit prices for eligible securities.

Discrepancies Please notify your financial advisor and LPL Financial immediately of any discrepancies on your statement. If your financial advisor is affiliated with another broker/dealer, you must notify them as well. Please contact your financial advisor for the broker/dealer's contact information. Your financial advisor's address and telephone number can be found on the bottom of each page of this statement. LPL Financial's telephone number is (800) 558-7567 and address can be found on the first page of this statement. Additionally, any verbal communications should be re-confirmed in writing to each of the above parties to further protect your rights, including rights under Securities Investor Protection Act (SIPA).

Free Credit Balances LPL Financial may use your free credit balances subject to the limitations of 17 CFR Section 240.15c3-3 under the Securities Exchange Act of 1934. You have the right to receive from us, upon demand in the course of normal business, the delivery of any free credit balances to which you are entitled, any fully paid securities to which you are entitled, and any securities purchased on margin upon full payment of any indebtedness to LPL Financial.

Insured Cash Accounts (ICA) Cash in the ICA program is protected by the Federal Deposit Insurance Corporation (FDIC). LPL Financial allocates your money in the ICA program to banks listed in the Priority Bank List in increments up to $250,000 per depositor per depository institution ($500,000 for joint accounts) until your balance in the ICA program is allocated up to a total of $1,500,000 ($3,000,000 for joint accounts). Recent legislation permanently increased FDIC coverage to $250,000 per depositor per bank ($500,000 for joint account holders). More information on FDIC insurance is available on request, or by visiting the FDIC website at **www.fdic.gov.** LPL Financial is not a bank. Unless otherwise disclosed, securities and other investments obtained through LPL Financial ARE NOT FDIC INSURED, ARE NOT BANK GUARANTEED AND MAY LOSE VALUE.

Investment Risk LPL Financial is not a bank, savings and loan, or credit union. Securities and insurance offered through LPL and its affiliates are not FDIC, NCUA or government insured, not endorsed or guaranteed by LPL, its affiliates or any other financial institution, are not a deposit, and involve investment risk including possible loss of principal.

Investments Held Outside LPL Financial Information on investments Held Outside LPL is provided for informational purposes only. Values for investments not held in your LPL account are based on the market value of priced securities at the end of the statement period. Values for annuities reflect a pricing date approximately three business days prior to the statement date. Values for alternative investments such as Managed Futures and REITs (Real Estate Investment Trusts) reflect a pricing date three to five business days prior to the statement date, depending on the availability of the data. The account registration for investments held outside LPL may not be the same as the registration for the LPL account with which it is affiliated. For example, an outside investment with a joint registration may be reflected on an LPL account with an individual registration.

Margin Account If you use margin, this statement combines information about your investment account(s) and a special miscellaneous account maintained for you under Section 220.6 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account required by Regulation T is available for your inspection upon request.

Money Market Funds Money market fund transactions, if any, are displayed chronologically. The 30-day yield for the fund is also reflected as of the statement date.

Municipal Material Disclosures Copies of any material disclosures for municipal bonds are available at www.emma.msrb.org. To obtain specific municipal bond information, enter the nine-digit CUSIP number in the Search field within the EMMA web site. If you do not have access to the Internet or would prefer a physical copy of the material disclosure, please contact your financial advisor. Additional municipal bond information that may be available on www.emma.msrb.org, includes, but is not limited to: advance refunding documents, continuing disclosures, including annual financial statements and notices of material events, real-time and historical trade data, daily market statistics and educational material.

N/A or "–" Data Information that displays as N/A or "–" is unavailable, missing or incomplete and is treated as zero when calculating account totals, market values and performance.

Open Orders Open Orders are transactions pending execution, i.e., purchase and/or sale orders that you have placed, but that have not been executed by the end of the statement period.

Option Clients Information on commissions and other charges incurred in connection with the execution of option transactions has been included in the confirmations of these transactions furnished to you. A summary of this Information will be made available upon request. In accordance with the Option Agreement and Approval Form you signed, you must promptly advise the firm of any material change in your investment objectives or financial situation.

Payment for Order Flow LPL Financial acts as your agent and receives payment for order flow, the source and nature of which will be furnished to you upon written request.

Pricing Securities prices shown on this statement may vary from actual liquidation value. Prices shown should only be used as a general guide to portfolio value. We receive prices from various services, which are sometimes unable to provide timely information. Where pricing sources are not readily available, particularly on certain debt instruments including, but not limited to, bills, notes, bonds, banker's acceptances, certificates of deposit, or commercial paper, estimated prices may be generated by a matrix system or market driven pricing model, taking various factors into consideration. These prices may not be the actual price you would receive if you sold before the maturity of a certificate of deposit. The pricing of listed options takes into account the last closing price, as well as the current bid and offer prices. Where securities have not been priced, their values have not been included in the Portfolio Summary information at the beginning of this statement.

Principal If your broker-dealer is acting as principal in a transaction, your broker-dealer has sold to or bought from you the security, and may have received a profit from the transaction.

Purchase Cost Original cost including fees, commissions and less accrued interest of the quantity sold or redeemed. For transferred securities, this could be the purchase amount you or the former institution provided to us.* Purchase Cost may be adjusted to reflect corporate actions, such as stock splits, mergers, spin-offs or other events. N/A is displayed when the information is incomplete or missing and is treated as zero when calculating totals. **Transferred securities may not be included in Purchase Cost.*

Regulation All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange or market–and its clearing house, if any–where the transactions are executed, and of the Financial Industry Regulation Authority (FINRA).

Reinvestment The dollar amount of mutual fund distributions, money market fund income, or dividends on other securities shown on your statement may have been reinvested in additional shares. You will not receive confirmations for these reinvestment transactions. However, you may request information on these transactions by writing to LPL Financial. LPL will also, if requested, furnish you with the time of execution and the name of the person from whom your security was purchased.

Statement of Financial Condition LPL Financial's financial statement is available for inspection at our office. We will mail a copy to you upon written request.

Sweep Option Your account may provide for a daily sweep into an Insured Cash Account. If you have any questions about your sweep option, including rates or the depository institutions currently participating in the sweep option, or you would like to change your sweep option, please contact your financial advisor.

LPL Financial LLC is an affiliate of LPL Financial Holdings Inc.

LPL Financial

S1LPLNON rev 11/12 RJ

1360-4701 ABS INVESTMENT GROUP A LIMITED LIABILITY COMPANY

- 8/8/2016 CHECK ISSUED CHK ISS #RC104618766 $13,941.00

Amount: $13,941.00 Sequence Number: 4792512579
Account: 3299793739 Capture Date: 08/10/2016
Bank Number: 61000052 Check Number: 104618766

LPL Financial
Member FINRA/SIPC
4707 Executive Drive
San Diego, CA 92121-3091
(858) 450-9600

BANK OF AMERICA
Controlled Disbursement
Bank of America, N.A.
Atlanta, DeKalb County, Georgia
64-1278
611-GA

ACCT: 1360-4701-1 CHECK DATE 08/08/2016 CHECK NO. 104618766 329 979 3739

PAY IN US DOLLARS
Thirteen thousand nine hundred forty one and 00/100 Dollars**********

CHECK AMOUNT
******$13,941.00

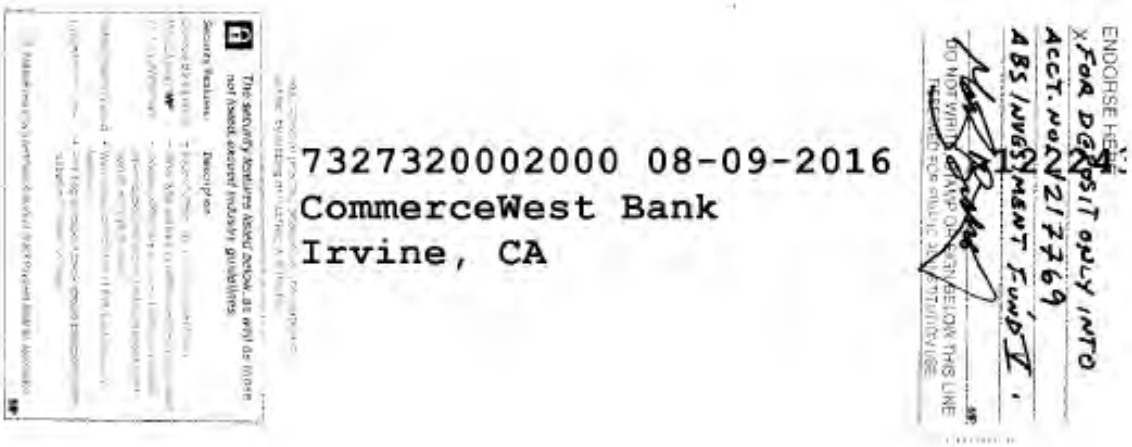
TWO SIGNATURES REQUIRED

PAY TO THE ORDER OF: ABS INVESTMENT GROUP A LIMITED LIABILITY COMPANY 4770 VON KARMAN NEWPORT BEACH CA 92660

VOID AFTER 180 DAYS

DOCUMENT CONTAINS BLUE PANTOGRAPH & MICROPRINTING. BACK HAS THERMOCHROMIC INK & A WATERMARK. HOLD AT AN ANGLE TO VIEW. VOID IF NOT PRESENT.

⑈104618766⑈ ⑆061112788⑆ 329 979 3739⑈



7327320002000 08-09-2016
CommerceWest Bank
Irvine, CA

ENDORSE HERE
X FOR DEPOSIT ONLY INTO
ACCT. NO. 217769
ABS INVESTMENT FUND I,
DO NOT WRITE, STAMP OR ENDORSE BELOW THIS LINE
RESERVED FOR FINANCIAL INSTITUTION USE

Electronic Endorsements:

Date	Sequence	Bank #	Endrs Type	TRN	RRC	Bank Name
08/10/2016	004792512579	11300016	Pay Bank	N		
08/10/2016	2778790017	61000146	Undetermined	N		FEDERAL RES BANK OF
08/09/2016	606607320000020	122243334	Rtn Loc/BOFD	Y		COMMERCEWEST BANK

- 08/20/2012 WIRE TRANSFER FED FUNDS/PERSHING $906,058.81

906,058.81 Value Date: 8/20/2012 Book Transfer Credit
CRN: PAC701000120820B/O: /NFE-017456-1 ABS INVESTMENT GROUP LLC. 707BROAD WAY SAN DIEGO CA 92101-5391O/B: SWF/PRSHUS33DBT: PERSHING LLC US 1 PERSHING PLAZA JERSEY C ITY, NJ 07399A/C: /1360-4701 ABS INVESTMENT GROUP LLC.CDT: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN DIEGO, CA 92121-1968BK INF: /BNF/NFE017456TIME: 15:18
Bank Ref #: FTS1208202271800
Cust. Ref #: FTS1208202271800
Pay Through: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN DIEGO

- 08/21/2012 WIRE TRANSFER FED FUNDS/PERSHING $1,303,341.81

Wire Transfers & Checks 1360-4701.pdf

1,303,341.81 Value Date: 8/21/2012 Book Transfer Credit
CRN: PAC700139120821B/O: /NFE-017456-1 ABS INVESTMENT GROUP LLC. 707BROAD WAY SAN DIEGO CA 92101-5391O/B: SWF/PRSHUS33DBT: PERSHING LLC US 1 PERSHING PLAZA JERSEY C ITY, NJ 07399A/C: /1360-4701 ABS INVESTMENT GROUP LLC.CDT: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN DIEGO, CA 92121-1968BK INF: /BNF/NFE017456TIME: 11:02
Bank Ref #: FTS1208215250600
Cust. Ref #: FTS1208215250600
Pay Through: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN DIEGO

- 08/23/2012 WIRE TRANSFER WIRE REF# 023600018 $906,059.00

(906,059.00) Value Date: 8/23/2012 Outgoing Money Xfr
BEN:ABS INVESTMENT GROUP,CRN: -10.38.20.563160B/O: /8900511532 LINSCO/PRIVATE LEDG ER CORP.O/B: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN DIEGO, CA 92121-1968DBT : LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN DIEGO, CA 92121-1968A/C: /92200070 ABS INVESTMENT GROUPPAY: ABA/122243334 COMMERCEWEST BANK, NA NEWPORTBEACH, CALIFO
RNIADTLS: 013604701 FFW/7NPB NABBK INF: /BNF/ABS INVESTMENT GROUP //A LIMITED LIAB ILITY COMPANY //707 BRAODWAY, 18TH FLOOR //SAN DIEGO CA 92101IMAD: 20120823B1Q8152 C002511 TIME: 11:11
Bank Ref #: FTE1208238649300
Cust. Ref #: -10.38.20.563160
Beneficiary 1: ABS INVESTMENT GROUP

- 08/23/2012 WIRE TRANSFER WIRE REF# 023600027 $1,303,000.00

(1,303,000.00) Value Date: 8/23/2012 Outgoing Money Xfr
BEN:ABS INVESTMENT GROUP,CRN: -10.39.19.815401B/O: /8900511532 LINSCO/PRIVATE LEDG ER CORP.O/B: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN DIEGO, CA 92121-1968DBT : LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN DIEGO, CA 92121-1968A/C: /92200070 ABS INVESTMENT GROUPPAY: ABA/122243334 COMMERCEWEST BANK, NA NEWPORTBEACH, CALIFO
RNIADTLS: 013604701 FFW/7NPB NABBK INF: /BNF/ABS INVESTMENT GROUP //A LIMITED LIAB ILITY COMPANY //707 BRAODWAY, 18TH FLOOR //SAN DIEGO CA 92101IMAD: 20120823B1Q8154 C003894 TIME: 13:42
Bank Ref #: FTE1208238783600
Cust. Ref #: -10.39.19.815401
Beneficiary 1: ABS INVESTMENT GROUP

- 06/04/2013 WIRE TRANSFER FED FUNDS/COMMERCEW $1,400,000.00

1,400,000.00 Value Date: 6/4/2013 Incoming Transfer
B-O:ABS INVESTMENT GROUP LLC,CRN: 20131550004300 RRN: O/BB/O: /92200070 ABS INVEST MENT GROUP LLC 707BROADWAY 18TH FLOOR , SAN DIEGO , CA US , 92101FRM: ABA/12224333 4 COMMERCEWEST BANK NEWPORTBEACH, CALIFORNIACDT: LPL FINANCIAL LLC 9785 TOWNE CENT
RE DRIVE SAN DIEGO, CA 92121-1968DTLS: FURTHER CREDIT: CLIENT ACCT. NO. "1360-4701 ,1360-4701, , CLIENT NAME "ABS INVESTM ENT GROUP , LLC,ABS INVESTM ENT GROUP , LLC ,. FORTHE PURCHASEBK INF: LPL FINANCIAL 2111 BUSINESS CENTER DRIVE IRVINE , CA 926 12IMAD: 20130604L1LFB75C000007 TIME: 12:53 RECV12:53 POST 12:53
Bank Ref #: FDF1306041073500
Cust. Ref #: O-B
By Order Of: ABS INVESTMENT GROUP LLC

- Wire Transfers & Checks 1360-4701.pdf 07/15/2013 WIRE TRANSFER FED FUNDS/COMMERCEW $6,646,302.50

6,646,302.50 Value Date: 7/15/2013 Incoming Transfer
B-O:ABS INVESTMENT GROUP LLC,CRN: 20131960017800 RRN: O/BB/O: /92200070 ABS INVEST
MENT GROUP LLC 707BROADWAY 18TH FLOOR , SAN DIEGO , CA US , 92101FRM: ABA/12224333
4 COMMERCEWEST BANK NEWPORTBEACH, CALIFORNIACDT: LPL FINANCIAL LLC 9785
TOWNE CENT
RE DRIVE SAN DIEGO, CA 92121-1968DTLS: FURTHER CREDIT: CLIENT ACCT. NO. "1360-4701
,1360-4701, , CLIENT NAME "ABS INVESTM ENT GROUP,ABS INVESTM ENT GROUP,.BK INF: LP
L FINANCIAL 2111 BUSINESS CENTER DRIVE IRVINE , CA 92612IMAD: 20130715L1LFB75C0000
60 TIME: 17:34 RECV17:34 POST 17:34
Bank Ref #: FDF1307153279300
Cust. Ref #: O-B
By Order Of: ABS INVESTMENT GROUP LLC

- 07/29/2013 WIRE TRANSFER FED FUNDS/COMMERCE W. $1,300,000.00

1,300,000.00 Value Date: 7/29/2013 Incoming Transfer
B-O:ABS INVESTMENT GROUP LLC,CRN: 20132100013700 RRN: O/BB/O: /92200070 ABS INVEST
MENT GROUP LLC 707BROADWAY 18TH FLOOR , SAN DIEGO , CA US , 92101FRM: ABA/12224333
4 COMMERCEWEST BANK NEWPORTBEACH, CALIFORNIACDT: LPL FINANCIAL LLC
9785 TOWNE CENT
RE DRIVE SAN DIEGO, CA 92121-1968DTLS: FURTHER CREDIT: CLIENT ACCT. NO. "1360-4701
,1360-4701, , CLIENT ACCT. NAME "ABS I NVESTMENT GROUP,ABS I NVESTMENT GROUP,.BK I
NF: LPL FINANCIAL 2111 BUSINESS CENTER DRIVE IRVINE , CA 92612IMAD: 20130729L1LFB7
5C000038 TIME: 14:30 RECV14:30 POST 14:30
Bank Ref #: FDF1307291505200
Cust. Ref #: O-B
By Order Of: ABS INVESTMENT GROUP LLC

- 07/29/2013 WIRE TRANSFER FED FUNDS/COMMERCE W. $3,000,000.00

Wire Transfers & Checks 1360-4701.pdf

3,000,000.00 Value Date: 7/29/2013 Incoming Transfer
B-O:ABS INVESTMENT GROUP LLC,CRN: 20132100013400 RRN: O/BB/O: /92200070 ABS INVEST
MENT GROUP LLC 707BROADWAY 18TH FLOOR , SAN DIEGO , CA US , 92101FRM: ABA/12224333

Amounts are in account currency denomination Report Name: ACCTREC.RPT

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n: 7/30/2013 8:42:45 AM

Chase Insight
Information Manager
Accounting Reconciliation Report - Posted Date
7/29/2013

:d by: Account

: Bank

WELLS FARGO - SAN FRANCISCO WELLS\SF 7/29/2013

4 COMMERCEWEST BANK NEWPORTBEACH, CALIFORNIACDT: LPL FINANCIAL LLC
9785 TOWNE CENT
RE DRIVE SAN DIEGO, CA 92121-1968DTLS: FURTHER CREDIT: CLIENT ACCT. NO. "1360-4701
,1360-4701, , CLIENT ACCT. NAME "ABS I NVESTMENT GROUP,ABS I NVESTMENT GROUP,.BK I
NF: LPL FINANCIAL 2111 BUSINESS CENTER DRIVE IRVINE , CA 92612IMAD: 20130729L1LFB7
5C000039 TIME: 14:30 RECV14:30 POST 14:30

Bank Ref #:	FDF1307291506400
Cust. Ref #:	O-B
By Order Of:	ABS INVESTMENT GROUP LLC

- 08/02/2013 WIRE TRANSFER FED FUNDS/ COMMERCEWEST $2,000,000.00

2,000,000.00 Value Date: 8/2/2013 Incoming Transfer
B-O:ABS INVESTMENT GROUP LLC,CRN: 20132140007900 RRN: O/BB/O: /92200070 ABS INVEST
MENT GROUP LLC 707BROADWAY 18TH FLOOR , SAN DIEGO , CA US , 92101FRM: ABA/12224333
4 COMMERCEWEST BANK NEWPORTBEACH, CALIFORNIACDT: LPL FINANCIAL LLC
9785 TOWNE CENT
RE DRIVE SAN DIEGO, CA 92121-1968DTLS: FURTHER CREDIT: CLIENT ACCT. NO. "1360-4701
,1360-4701, , CLIENT ACCT. NAME "ABS I NVESTMENT GROUP,ABS I NVESTMENT GROUP,.BK I
NF: LPL FINANCIAL 2111 BUSINESS CENTER DRIVE IRVINE , CA 92612IMAD: 20130802L1LFB7
5C000023 TIME: 13:51 RECV13:51 POST 13:51

Bank Ref #:	FDF1308021380200
Cust. Ref #:	O-B
By Order Of:	ABS INVESTMENT GROUP LLC

- 08/06/2013 WIRE TRANSFER FED FUNDS/COMMERCEWEST $2,400,000.00

Wire Transfers & Checks 1360-4701.pdf

2,400,000.00 Value Date: 8/6/2013 Incoming Transfer
B-O:ABS INVESTMENT GROUP LLC,CRN: 20132180002000 RRN: O/BB/O: /92200070 ABS INVEST
MENT GROUP LLC 707BROADWAY 18TH FLOOR , SAN DIEGO , CA US , 92101FRM: ABA/12224333
4 COMMERCEWEST BANK NEWPORTBEACH, CALIFORNIACDT: LPL FINANCIAL LLC
9785 TOWNE CENT
RE DRIVE SAN DIEGO, CA 92121-1968DTLS: FURTHER CREDIT: CLIENT ACCT. NO. "1360-4701
,1360-4701, , CLIENT ACCT. NAME "ABS I NVESTMENT GROUP,ABS I NVESTMENT GROUP,.BK I
NF: LPL FINANCIAL 2111 BUSINESS CENTER DRIVE IRVINE , CA 92612IMAD: 20130806L1LFB7
5C000005 TIME: 12:28 RECV12:28 POST 12:28
Bank Ref #: FDF1308060901800
Cust. Ref #: O-B
By Order Of: ABS INVESTMENT GROUP LLC

- 08/19/2013 WIRE TRANSFER FED FUNDS/COMMERCEWEST $3,945,000.00

3,945,000.00 Value Date: 8/19/2013 Incoming Transfer
B-O:ABS INVESTMENT GROUP LLC,CRN: 20132310009600 RRN: O/BB/O: /92200070 ABS INVEST
MENT GROUP LLC 707BROADWAY 18TH FLOOR , SAN DIEGO , CA US , 92101FRM: ABA/12224333
4 COMMERCEWEST BANK NEWPORTBEACH, CALIFORNIACDT: LPL FINANCIAL LLC
9785 TOWNE CENT
RE DRIVE SAN DIEGO, CA 92121-1968DTLS: FURTHER CREDIT: CLIENT ACCT. NO. "1360-4701
,1360-4701, , CLIENT NAME "ABS INVESTM ENT GROUP,ABS INVESTM ENT GROUP,.BK INF: LP
L FINANCIAL 2111 BUSINESS CENTER DRIVE IRVINE , CA 92612IMAD: 20130819L1LFB75C0000
23 TIME: 16:09 RECV16:09 POST 16:09
Bank Ref #: FDF1308191748200
Cust. Ref #: O-B
By Order Of: ABS INVESTMENT GROUP LLC

- 09/05/2013 WIRE TRANSFER FED FUNDS/COMMERCEWEST $120,000.00

120,000.00 Value Date: 9/5/2013 Incoming Transfer
B-O:ABS INVESTMENT GROUP LLC,CRN: 20132480008800 RRN: O/BB/O: /92200070 ABS INVEST
MENT GROUP LLC 707BROADWAY 18TH FLOOR , SAN DIEGO , CA US , 92101FRM: ABA/12224333
4 COMMERCEWEST BANK NEWPORTBEACH, CALIFORNIACDT: LPL FINANCIAL LLC 9785
TOWNE CENT
RE DRIVE SAN DIEGO, CA 92121-1968DTLS: FURTHER CREDIT: CLIENT ACCT. NO. "1360-4701
,1360-4701, , CLIENT ACCT. NAME "ABS I NVESTMENT GROUP,ABS I NVESTMENT GROUP,.BK I
NF: LPL FINANCIAL 2111 BUSINESS CENTER DRIVE IRVINE , CA 92612IMAD: 20130905L1LFB7
5C000022 TIME: 14:33 RECV14:33 POST 14:33
Bank Ref #: FDF1309051429100
Cust. Ref #: O-B
By Order Of: ABS INVESTMENT GROUP LLC

- 02/03/2014 WIRE TRANSFER FED FUNDS/COMMERCEWEST $225,000.00 Wire Transfers & Check 1360-4701.pdf

```
*INCOMING MONEY TRF          225,000.00          225          0          0
 FDF1402032731800       O-B
 B-O:TWELVE NINE LLC/
 CRN: 20140340011000 RRN: O/B
 B/O: /1230044 TWELVE NINE LLC 707 BROADWAY 18TH
 FLOOR , SAN DIEGO , CA US , 92101
 FRM: ABA/122243334 COMMERCEWEST BANK NEWPORT
 BEACH, CALIFORNIA
 CDT: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
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  DIEGO, CA 92121-1968
 DTLS: FURTHER CREDIT: CLIENT ACCT. NO. '1360-4701'
  , CLIENT ACCT. NAME 'ABS I NVESTMENT GROUP'.
 BK INF: LPL FINANCIAL 2111 BUSINESS CENTER DRIVE I
 RVINE , CA 92612
 IMAD: 20140203L1LFB75C000034 TIME: 16:50 RECV
 16:50 POST 16:50
```

- 05/27/2014 WIRE TRANSFER WIRE REF# 014700075 $1,120,598.00

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*OUTGOING MONEY TRAN        1,120,598.00          1,121          0          (
 FTE1405279002100       16.30.32.558176
 BEN:ABS INVESTMENT GROUP/
 CRN: 16.30.32.558176
 B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
 O/B: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
  DIEGO, CA 92121-1968
 DBT: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
  DIEGO, CA 92121-1968
 A/C: /92200070 ABS INVESTMENT GROUP
 PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
 BEACH, CALIFORNIA
 DTLS: 013604701 FFW/5WLA QS0
 IMAD: 20140527B1Q8151C010436 TIME: 17:36
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- 07/02/2014 WIRE TRANSFER WIRE REF# 018300051 $30,000.00

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*OUTGOING MONEY TRAN          30,000.00            30          0          0
 FTE1407026655400       13.07.47.806898
 BEN:ABS INVESTMENT GROUP/
 CRN: 13.07.47.806898
 B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
 O/B: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
  DIEGO, CA 92121-1968
 DBT: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
  DIEGO, CA 92121-1968
 A/C: /92200070 ABS INVESTMENT GROUP
 PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
 BEACH, CALIFORNIA
 DTLS: 013604701 FFW/5WLA 'M
 IMAD: 20140702B1Q8152C005508 TIME: 14:37
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Wire Transfers & Checks 1360-4701.pdf

- 10/31/2014 WIRE TRANSFER WIRE REF# 030400042 $89,640.00

*OUTGOING MONEY TRAN 89,640.00 90 0 0
FTE1410318571000 13.34.33.737412
BEN:ABS INVESTMENT GROUP/
CRN: 13.34.33.737412
B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
O/B: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
DIEGO, CA 92121-1968
DBT: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
DIEGO, CA 92121-1968
A/C: /92200070 ABS INVESTMENT GROUP
PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
BEACH, CALIFORNIA
DTLS: 013604701 FFW/5WLA 'M
IMAD: 20141031B1Q8151C008383 TIME: 14:36

- 12/03/2014 WIRE TRANSFER WIRE REF# 033700018 $37,786.00

*OUTGOING MONEY TRAN 37,786.00 38 0 0
FTE1412034223400 12.02.12.223983
BEN:ABS INVESTMENT GROUP/
CRN: 12.02.12.223983
B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
O/B: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
DIEGO, CA 92121-1968
DBT: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
DIEGO, CA 92121-1968
A/C: /92200070 ABS INVESTMENT GROUP
PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
BEACH, CALIFORNIA
DTLS: 013604701 FFW/5WLA +)
IMAD: 20141203B1Q8152C003872 TIME: 12:37

- 01/02/2015 WIRE TRANSFER WIRE REF# 000200005 $31,799.00

*OUTGOING MONEY TRAN 31,799.00 32 0 0
FTE1501029898400 11.38.11.657322
BEN:ABS INVESTMENT GROUP/

CRN: 11.38.11.657322
B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
O/B: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
DIEGO, CA 92121-1968
DBT: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
DIEGO, CA 92121-1968
A/C: /92200070 ABS INVESTMENT GROUP
PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
BEACH, CALIFORNIA
DTLS: 013604701 FFW/5WLA 'M
IMAD: 20150102B1Q8154C004230 TIME: 12:36

Wire Transfers & Checks 1360-4701.pdf

- 02/02/2015 WIRE TRANSFER WIRE REF# 003300011 $20,560.00

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*OUTGOING MONEY TRAN          20,560.00          21          0          0
 FTE1502025551500       10.59.25.261732
 BEN:ABS INVESTMENT GROUP/
 CRN: 10.59.25.261732
 B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
 O/B: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
  DIEGO, CA 92121-1968
 DBT: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
  DIEGO, CA 92121-1968
 A/C: /92200070 ABS INVESTMENT GROUP
 PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
 BEACH, CALIFORNIA
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 IMAD: 20150202B1Q8152C005573 TIME: 13:37
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- 03/03/2015 WIRE TRANSFER WIRE REF# 006200010 $11,382.00

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*OUTGOING MONEY TRAN          11,382.00          11          0          0
 FTE1503031206500       11.46.56.084312
 BEN:ABS INVESTMENT GROUP/
 CRN: 11.46.56.084312
 B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
 O/B: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
  DIEGO, CA 92121-1968
 DBT: LPL FINANCIAL LLC 9785 TOWNE CENTRE DRIVE SAN
  DIEGO, CA 92121-1968
 A/C: /92200070 ABS INVESTMENT GROUP
 PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
 BEACH, CALIFORNIA
 DTLS: 013604701 FFW/5WLA
 IMAD: 20150303B1Q8153C003818 TIME: 12:36
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- 04/06/2015 WIRE TRANSFER WIRE REF# 009600044 $32,824.00

```
*OUTGOING MONEY TRAN          32,824.00          33          0          0
 FTE1504067583000       13.45.50.481613
 BEN:ABS INVESTMENT GROUP/
 CRN: 13.45.50.481613
 B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
 O/B: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 DBT: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 A/C: /92200070 ABS INVESTMENT GROUP
 PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
 BEACH, CALIFORNIA
 DTLS: 013604701 FFW/5WLA
 IMAD: 20150406B1Q8152C003063 TIME: 14:07
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- 04/28/2015 WIRE TRANSFER WIRE REF# 011800015 $1,657,524.00

```
*OUTGOING MONEY TRAN       1,657,524.00       1,658          0          0
 FTE1504281195300       13.26.49.589325
 BEN:ABS INVESTMENT GROUP/
 CRN: 13.26.49.589325
 B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
 O/B: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 DBT: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 A/C: /92200070 ABS INVESTMENT GROUP
 PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
 BEACH, CALIFORNIA
 DTLS: 013604701 FFW/5WLA
 IMAD: 20150428B1Q8153C004641 TIME: 13:36
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- Wire Transfers & Checks 1360-4701.pdf 06/02/2015 WIRE TRANSFER WIRE REF# 015300057 $50,904.00

```
*OUTGOING MONEY TRAN          50,904.00          51          0          0
 FTE1506027143600       15.56.53.207043
 BEN:ABS INVESTMENT GROUP/
 CRN: 15.56.53.207043
 B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
 O/B: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 DBT: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 A/C: /92200070 ABS INVESTMENT GROUP
 PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
 BEACH, CALIFORNIA
 DTLS: 013604701 FFW/5WLA
 IMAD: 20150602B1Q8152C007069 TIME: 16:38
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- 07/01/2015 WIRE TRANSFER WIRE REF# 018200094 $23,294.00

```
*OUTGOING MONEY TRAN          23,294.00          23          0          0
 FTE1507012200600       17.19.48.670869
 BEN:ABS INVESTMENT GROUP/
 CRN: 17.19.48.670869
 B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
 O/B: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 DBT: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 A/C: /92200070 ABS INVESTMENT GROUP
 PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
 BEACH, CALIFORNIA
 DTLS: 013604701 FFW/5WLA
 IMAD: 20150701B1Q8154C010048 TIME: 17:37
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- 08/03/2015 WIRE TRANSFER WIRE REF# 021500034 $18,000.00

```
*OUTGOING MONEY TRAN          18,000.00          18          0          0
 FTE1508037173800       13.54.55.124537
 BEN:ABS INVESTMENT GROUP/
 CRN: 13.54.55.124537
 B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
 O/B: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 DBT: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 A/C: /92200070 ABS INVESTMENT GROUP
 PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
 BEACH, CALIFORNIA
 DTLS: 013604701 FFW/5WLA
 IMAD: 20150803B1Q8152C005631 TIME: 14:07
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- Wire Transfers & Checks 1360-4701.pdf 08/06/2015 WIRE TRANSFER FED FUNDS/COMMERCEWEST $30,000.00

```
*INCOMING MONEY TRF          30,000.00          30          0          0
 FDF1508060995600       O-B
 B-O:ABS INVESTMENT GROUP LLC/
 CRN: 20152180002200 RRN: O/B
 B/O: /92200070 ABS INVESTMENT GROUP LLC 4 PARK
 PLAZA SUITE 500 , IRVINE , CA US , 92614
 FRM: ABA/122243334 COMMERCEWEST BANK NEWPORT
 BEACH, CALIFORNIA
 CDT: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 DTLS: FURTHER CREDIT: CLIENT ACCT. NO. '1360-4701'
  , CLIENT ACCT. NAME 'ABS I NVESTMENT GROUP'.
 BK INF: LPL FINANCIAL 2111 BUSINESS CENTER DRIVE I
 RVINE , CA 92612
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 12:09 POST 12:09
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- 08/31/2015 WIRE TRANSFER WIRE REF# 024300014 $48,863.00

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*OUTGOING MONEY TRAN         48,863.00          49          0          0
 FTE1508311487200       13.03.53.339916
 BEN:ABS INVESTMENT GROUP/
 CRN: 13.03.53.339916
 B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
 O/B: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 DBT: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 A/C: /92200070 ABS INVESTMENT GROUP
 PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
 BEACH, CALIFORNIA
 DTLS: 013604701 FFW/5WLA
 IMAD: 20150831B1Q8154C005270 TIME: 13:36
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- 10/06/2015 WIRE TRANSFER WIRE REF# 027900013 $21,860.00

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*OUTGOING MONEY TRAN         21,860.00          22          0          0
 FTE1510066891500       09.14.01.978962
 BEN:ABS INVESTMENT GROUP/
 CRN: 09.14.01.978962
 B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
 O/B: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 DBT: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
 BOSTON MA 02109
 A/C: /92200070 ABS INVESTMENT GROUP
 PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
 BEACH, CALIFORNIA
 DTLS: 013604701 FFW/5WLA
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Wire Transfers & Checks 1360-4701.pdf

- 10/28/2015 WIRE TRANSFER WIRE REF# 030100040 $20,400.10

*OUTGOING MONEY TRAN 20,400.10 20 0 0
FTE1510280051300 14.46.56.347775
BEN:ABS INVESTMENT GROUP/
CRN: 14.46.56.347775
B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
O/B: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
BOSTON MA 02109
DBT: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
BOSTON MA 02109
A/C: /92200070 ABS INVESTMENT GROUP
PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
BEACH, CALIFORNIA
DTLS: 013604701 FFW/5WLA
IMAD: 20151028B1Q8152C005220 TIME: 15:07

- 12/02/2015 WIRE TRANSFER WIRE REF# 033600032 $21,936.00

*OUTGOING MONEY TRAN 21,936.00 22 0 0
FTE1512025624300 14.45.54.326727
BEN:ABS INVESTMENT GROUP/
CRN: 14.45.54.326727
B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
O/B: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
BOSTON MA 02109
DBT: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
BOSTON MA 02109
A/C: /92200070 ABS INVESTMENT GROUP

PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
BEACH, CALIFORNIA
DTLS: 013604701 FFW/5WLA
IMAD: 20151202B1Q8151C005209 TIME: 15:09

- 01/05/2016 WIRE TRANSFER WIRE REF# 000500057 $15,000.00

*OUTGOING MONEY TRAN 15,000.00 15 0 0
FTE1601050922200 16.43.10.045817
BEN:ABS INVESTMENT GROUP/
CRN: 16.43.10.045817
B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.

O/B: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
BOSTON MA 02109
DBT: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
BOSTON MA 02109
A/C: /92200070 ABS INVESTMENT GROUP
PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
BEACH, CALIFORNIA
DTLS: 013604701 FFW/5WLA
IMAD: 20160105B1Q8154C006323 TIME: 17:07

Wire Transfers & Checks 1360-4701.pdf

- 01/29/2016 WIRE TRANSFER WIRE REF# 002900042 $16,439.00

*OUTGOING MONEY TRAN 16,439.00 16 0 0
FTE1601294794900 13.54.53.357574
BEN:ABS INVESTMENT GROUP/
CRN: 13.54.53.357574
B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
O/B: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
BOSTON MA 02109
DBT: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
BOSTON MA 02109
A/C: /92200070 ABS INVESTMENT GROUP
PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
BEACH, CALIFORNIA
DTLS: 013604701 FFW/5WLA
IMAD: 20160129B1Q8154C008580 TIME: 14:07

- 03/03/2016 WIRE TRANSFER WIRE REF# 006300015 $19,060.00

*OUTGOING MONEY TRAN 19,060.00 19 0 0
FTE1603030059200 10.31.09.288958
BEN:ABS INVESTMENT GROUP/
CRN: 10.31.09.288958
B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
O/B: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
BOSTON MA 02109
DBT: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
BOSTON MA 02109
A/C: /92200070 ABS INVESTMENT GROUP
PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
BEACH, CALIFORNIA
DTLS: 013604701 FFW/5WLA
IMAD: 20160303B1Q8151C002937 TIME: 11:08

- 04/06/2016 WIRE TRANSFER WIRE REF# 009700023 $ 17,550.00

*OUTGOING MONEY TRAN 17,550.00 18 0 0
FTE1604065279400 11.55.59.675726
BEN:ABS INVESTMENT GROUP/
CRN: 11.55.59.675726
B/O: /8900511532 LINSCO/PRIVATE LEDGER CORP.
O/B: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
BOSTON MA 02109
DBT: LPL FINANCIAL LLC 75 STATE STREET 24TH FLOOR
BOSTON MA 02109
A/C: /92200070 ABS INVESTMENT GROUP
PAY: ABA/122243334 COMMERCEWEST BANK NEWPORT
BEACH, CALIFORNIA
DTLS: 013604701 FFW/5WLA
IMAD: 20160406B1Q8154C003880 TIME: 12:37

Account documents.pdf

Account Application

Advisory - Non-Retirement

A1

Account Number | 2 | 3 | 1 | 6 | 6 | 0 | 9 | 8 |

Rep ID | 7 | N | P | B |

Financial advisor instructions To be used for all LPL Advisory non retirement accounts For more detailed information on the appropriate paperwork requirements for all registration types, please consult the appropriate account opening checklist located in the resource center For existing accounts this form should only be used for adding or removing account holders, or to change the registration or account type

Please fax the completed form to New Accounts at (858) 546 0874

ATTENTION Any alterations must be initialed by all account holders

Section I: Account Information

1 Account Type (choose only one) Account updates required by LPL Operations ☐

Each account holder must receive read and understand the contents of the applicable Account Packet referenced below based on the account type selected This separate packet contains the Account Agreement and any Program Brochures that detail the relationship between you, your financial advisor, LPL Financial ("LPL") and other related parties as applicable to your account

- ◉ Strategic Asset Management (Account Packet - SAM)
- ○ Optimum Market Portfolios Advisory (Account Packet OMP)
- ○ Strategic Asset Management II (Account Packet SAM II)
- ○ Model Wealth Portfolios (Account Packet MWP)
- ○ Manager Select (Account Packet - Manager Select)
- ○ Personal Wealth Portfolios (Account Packet PWP)

2 Registration Type (choose only one)

- ○ Individual
- ○ Custodian for Minor
- ○ Limited Liability Company*
- ○ Non Profit Organization*
- ○ Tenants in Common
- ○ Personal Trust*
- ○ Estate*
- ○ Guardianship/Conservatorship*
- ○ Community Property
- ○ Corporate*
- ○ Coverdell ESA*
- ○ Omnibus*
- ○ Joint Tenants With Rights of Survivorship
- ◉ Partnership*
- ○ Other (Please specify)

*Additional documentation required Financial advisor should refer to the detailed procedures for the registration type on the Resource Center

Is this account for a Government Entity? ○ Yes ◉ No

Is your client considered an "institutional account" based on one or more of the following definitions per FINRA Rule 4512(c) ○ Yes ◉ No

1 A bank, savings and loan association insurance company or registered investment company,
2 An investment adviser registered either with the SEC under Section 203 of the Investment Advisers Act or with a state securities commission (or any agency or office performing like functions) or
3 Any other person (whether a natural person, corporation, partnership, trust or otherwise) with total assets of at least $50 million

3 Registration Information

Social Security Number or Tax ID: 27-1771079

Country of Citizenship: US

Mailing Address: 707 Broadway, 18th Floor

San Diego CA 92101

Fill in your current residency status (choose only one)

◉ U S Citizen ○ Resident Alien ○ Non Resident Alien

Account Address (no P O Boxes) ☑ Same as mailing address

Account Registration: American RMBS Equity Fund IV

Email: mbishop@absig com

Home Phone: 949-678-9574

Business Phone:

Mobile Phone:

Account documents.pdf

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Section II: Investment Objective and Risk Tolerance

1 Select the investment objective that most accurately reflects the goals for this account (choose only one)

The investment objectives are overall objectives for the entire account and may be inconsistent with a particular holding at any time
Please note that achievement of the stated investment objectives is a long term goal for the account These choices are listed in order from what is considered to be conservative to highest risk There is no guarantee that the investment objective will be achieved

- ◯ A Income with Capital Preservation Designed as a longer term accumulation account, this is considered generally the most conservative investment objective Emphasis is placed on generation of current income with minimal risk of capital loss Lowering the risk generally means lowering the potential income and overall return
- ◯ B Income with Moderate Growth Emphasis is placed on generation of current income with a secondary focus on moderate capital growth
- ◯ C Growth with Income Emphasis is placed on modest capital growth with some focus on generation of current income
- ◉ D Growth Emphasis is placed on achieving high long term growth and capital appreciation There is little focus on generation of current income
- ◯ E Aggressive Growth Emphasis is placed on aggressive growth and maximum capital appreciation No focus on generation of current income This objective has a very high level of risk and is for investors with a longer time horizon

ATTENTION If you select an objective and cross it out to choose another, the change must be initialed by all account holders

Section III: Account Holder Information

For corporate, LLC, non profit organization, partnership, and investment club accounts, this section is NOT required Complete the appropriate supplementary documentation instead For additional account holders, complete the Supplemental Account Application (F1C)

1 Primary Information

Primary Account Holder/Trustee/Minor/Auth Officer	Employer Name ☐ Mark here if retired or unemployed	Date of Birth
Mark Bishop	ABS Investment Group	05/12/1956

Residence Address (no P O Boxes) ☐ Same as account	Employment Address (no P O boxes)	No of Dependents
154 Sereno		2
Tustin, CA 92780		ID Place of Issuance: CA

Home Phone	Business/Cell Phone	Occupation (former if retired or unemployed)	Industry (former if retired)	Client ID verified?
	949-678-9571	Manager	Mortgages	◉ Yes ◯ No

Social Security Number	Country of Citizenship	ID Issuance Date	ID Expiration Date	ID Type	ID Number
553-19-5111	US	05/12/1972	05/12/2015	Drivers license	N2460579

☐ Mark here if you your spouse, or any other immediate family members are employed by or associated with the securities industry or a financial regulatory agency You must also provide the information requested below as well as a letter (when required) from the employer approving establishment of this account An approval letter is not required for LPL employees

Full Name | Relationship | Name of Firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months — Name of Corporation(s)

2 Secondary Information

Secondary Account Holder/Trustee/Minor/Auth Officer	Employer Name ☐ Mark here if retired or unemployed	Date of Birth

Residence Address (no P O Boxes) ☐ Same as account	Employment Address (no P O boxes)	No of Dependents
		ID Place of Issuance

Home Phone	Business/Cell Phone	Occupation (former if retired or unemployed)	Industry (former if retired)	Client ID verified?
				◯ Yes ◉ No

Social Security Number	Country of Citizenship	ID Issuance Date	ID Expiration Date	ID Type	ID Number

☐ Mark here if you, your spouse, or any other immediate family members are employed by or associated with the securities industry or a financial regulatory agency You must also provide the information requested below as well as a letter (when required) from the employer approving establishment of this account An approval letter is not required for LPL employees

Full Name | Relationship | Name of Firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months — Name of Corporation(s)

Account documents.pdf

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Section IV. Financial Information and Experience

1 Investment Information

Enter the letter that corresponds to the correct range

Annual income* H | Net worth? (exclusive of home) H | Liquid net worth?* H | Approximate account value?** H

A $1 - $24,999 B $25,000 - $49,999 C $50,000 - $99,999 D $100 000 - $249,999
E $250,000 - $499 999 F $500,000 $749,999 G $750,000 - $999,999 H $1,000,000 and over

Source of Client Wealth and Income (inheritance, employment salary, sale of real estate, etc.) Employment

Federal income tax bracket* (%) 39

Investment Experience (number of years) 20

Annuities 0 | Mutual Funds 0 | Partnerships 20 | Margin 10 | Stocks 10 | Bonds 20 | Options 0

Other (please specify)

What are your assets/investments (includes positions held outside and by LPL in this and other accounts)? Please indicate percentage of assets exclusive of primary home (must equal 100%)

Real Estate	10 %	Mutual Funds	0 %	Checking / Savings	0 %	Annuities	0 %
Insurance	0 %	Equities	0 %	Alternative Investments	0 %	Bonds	90 %
Other	0 %	If Other, please explain					

*Liquid net worth is exclusive of real estate, only include assets that can be liquidated within 30 days
**Account minimums apply see the applicable Account Packet for details or ask your financial advisor

2 Investment Time Horizon and Liquidity Needs

What is your investment time horizon for this account?

○ 1 3 years ○ 3 5 years ○ 5 10 years ◉ More than 10 years

Do you have liquidity needs from the funds in this account? ○ Yes ◉ No

If yes when do you need these funds? ○ 0-3 years ○ More than 3 years

If yes, specify the approximate dollar amount for the time range indicated above $

Section V: Advisory Program Account Information

1 Primary Financial Advisor Information

Primary Financial Advisor Name: Ron Chamberlin

Business Address: 2111 Business Center Dr, Irvine, CA 92612

Total Client Account Fee: 5 (%)

Business Phone: 949 474 5263

2 Commissions on Trades

☐ Mark here if you have paid the advisors of this account a commission on the purchase of any security within the past two years on the assets (cash or securities) being deposited into this account (does not apply to Manager Select accounts) In order to determine if you qualify for a fee credit, please provide trade details below (attach additional pages if necessary)

Purchase Date	Purchase Amount	Investment Name	Fund Class	CUSIP/Symbol	Commission
	$				$
	$				$
	$				$
	$				$

Account documents.pdf

3 Specific Securities Restrictions

☐ Mark here if you wish to restrict specific securities categories, groups or sectors from your account (for SAM/SAM II, PWP and Manager Select accounts only) In order to facilitate these restrictions, please provide restriction details below *

Restrict common stock securities (enter symbol)

Restrictions do not apply to mutual funds (attach additional pages if necessary)

Other Restrictions (for SAM/SAM II and PWP accounts only) Please explain any other restrictions below This includes any industry group, sector or social category restrictions that apply to a PWP account Financial advisor should refer to the Resource Center for detailed information on the restriction options available for PWP accounts (attach additional pages if necessary)

Certain restrictions may require further review with LPL and your financial advisor

Section VI. Manager Select Account Information

1 Complete This Section for Manager Select Accounts Only

Portfolio Manager Name

Asset Class*

Investment Style*

Did the portfolio manager indicated above previously manage the assets in this account? ◯ Yes ◯ No

Accepted by Portfolio Manager / Authorized Person Signature

Accepted by Portfolio Manager / Authorized Person Name (print)

Date (required)

*Financial advisor should refer to the Manager Select Participation List on the Resource Center for detailed information on each portfolio manager their available asset classes and investment styles

Section VII: Margin Agreement (not all account types are eligible to have margin ask your financial advisor for details)

1 Margin Disclosure Statement Information

A margin account allows you to borrow against eligible securities or purchase securities on margin Initial below if you want to establish a margin account and to indicate that you have received the Margin Disclosure Statement, have read the margin disclosure section in the Account Packet referenced in Section I, and agree to the terms and conditions

Date Margin Disclosure Statement provided | 04/08/2013 | ALL account holders must initial

Initial

Initial

Section VIII. Client Acknowledgment and Execution

1 Acknowledgment

I acknowledge by signing below that I have received, read, understand and agree to the terms of this Account Application and the applicable Account Agreement (included in the Account Packet specified in Section I) Additionally I certify the following

- All of the information provided in this Account Application is true, correct, and complete and I agree to notify LPL of any changes to the information
- I have received the Advisory Program Brochure included as part of the applicable Account Packet and the Brochure Supplement of the financial advisor servicing my advisory account
- I understand and acknowledge that I have granted discretionary authority in the Account Agreement to trade securities in my account to my financial advisor in the case of SAM/SAM II accounts, to my financial advisor and LPL in the case of OMP, PWP and MWP accounts, and to the Portfolio Manager in the case of Manager Select accounts
- I have discussed with my financial advisor the investment objective selected for the account in Section II of this Application, and for MWP, PWP and OMP accounts the model portfolios to be selected for my account
- I understand that investing through an advisory account involves investment risk, including the risk of loss I am prepared to bear the risks associated with my investments
- I understand that LPL will supply my name to issuers of any securities held in my account so that I may receive important information regarding those securities, unless I notify LPL in writing not to do so
- I acknowledge that proceeds from liquefied home equity on my primary residence will not be used to fund this account

Suppression of Confirmations (for PWP MWP and Manager Select accounts only) By initialing below, I hereby elect not to receive immediate trade confirmations from LPL for each transaction in the account Information from the confirmation will be reported on my brokerage account statement

Initials

Initials

Account documents.pdf

A1

1 Acknowledgment (continued)

Under penalties of perjury, I hereby certify that: (1) The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and (3) I am a U.S. person (including a U.S. resident alien). (Cross out (2) if subject to backup withholding.) The Internal Revenue Service does not require my consent to any provision of this document other than the certifications required to avoid backup withholding.

This account is governed by and I acknowledge receipt of the predispute arbitration clause that is located in the last numbered section of the Account Agreement (included in the Account Packet specified in Section I), which is incorporated by reference into this Account Application.

Account Holder Signature — Mark Bishop (Account Holder Name (print)) — 04/08/2013 (Date (required))

Account Holder Signature — Account Holder Name (print) — Date (required)

2 Branch Use Only

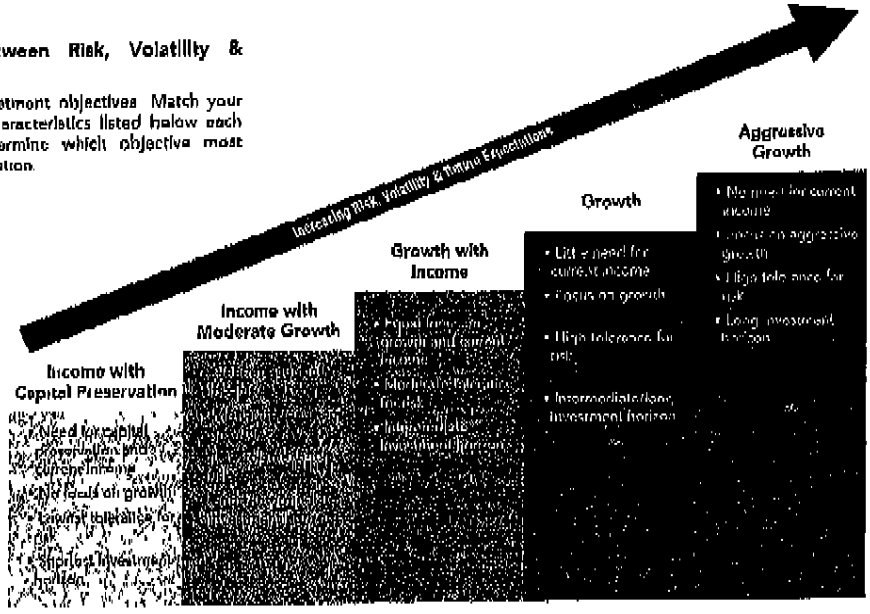
I have reviewed this document for completeness, accuracy, suitability, and proper disclosures. If this account was opened online and the automated check against the OFAC list of specially designated nationals (SDNs) resulted in a match to the account holder's name, I have confirmed that the account holder is not the same person listed by OFAC. If this account is opened by the home office, I have checked the list of SDNs and either the account holder's name does not appear or, if the account holder's name is the same as the name of a SDN, the account holder is not the person listed by OFAC. I have also provided the account holder with the CIP disclosure either in writing or verbally. I acknowledge and accept that I am a party to the applicable Account Agreement. I have determined that any liquidation of previously purchased investments to deposit assets into this account is suitable for the account holder and have disclosed to the account holder all costs incurred by the account holder to liquidate such investments.

Financial Advisor / Authorized Person Signature — Ron Chamberlin (Financial Advisor / Authorized Person Name (print)) — 7NPB (Rep ID) — 04/08/2013 (Date (required))

Joint Financial Advisor / Authorized Person Signature — Joint Financial Advisor / Authorized Person Name (print) — Rep ID — Date (required)

Historical Trade-Off Between Risk, Volatility & Investment Return

This chart illustrates five investment objectives. Match your investment needs with the characteristics listed below each investment objective to determine which objective most accurately represents your situation.



Account Number: 2 3 1 6 6 0 9 8

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Revised 0912

Account documents.pdf

Account Update
Change Advisor - Advisory

ATCA

Account Number | 2 | 3 | 1 | 6 | 6 | 0 | 9 | 8 |

Instructions: This form is to be used to change the investment advisor representative ("IAR") for SAM/SAM II, MWP, OMP-Advisory, PWP and Manager Select accounts. If this form is used for an MWP account, and a Dimensional Model is chosen, the new IAR must be approved by DFA in order for the account to be transitioned.

Please note: If the IAR(s) currently listed on the account has been terminated with LPL we must receive this form within 45 days from the date of IAR(s) termination. If not received within 45 days of IAR(s) termination, a new account will have to be established and new account paperwork will be required.

Please fax the completed form to New Accounts, (858) 202-6325.

Section I: Account Information

Social Security / Tax ID Number
27-1771079

Is this a Manager Select account? ◯ Yes ◉ No

If this is a Manager Select account, notice of the change of IAR will be provided to the portfolio manager.

Account Registration
American RMBS Equity Fund

A. Current Investment Advisor Representative(s):

Investment Advisor Representative Name(s)
Ron Chamberlin

Current IAR ID or Joint IAR ID
7NPB

B. New Investment Advisor Representative(s):

Investment Advisor Representative Name(s)
Ron Chamberlin

New IAR ID or Joint IAR ID
5WIA

C. Effective Date (required)
12/11/2013

All related changes to the account will be made as of the Effective Date
- If left blank, the Account Holder Signature Date below will be used as the Effective Date
- The Effective Date may not be before the Account Holder Signature Date, otherwise the Account Holder Signature Date below will be used as the Effective Date.

Section II: Performance and Cost Basis

The existing performance history and cost basis information will automatically be carried forward on this account. If new performance history and cost basis information for this account is required, the current account must be closed and a new account opened with a new account number.

Section III: Account Holder Acknowledgement

I/We acknowledge that the information contained in this document represents an amendment to the Account Agreement for the LPL Financial LLC ("LPL") account referenced in Section I above that was signed at the time I opened the account. Upon execution of the Account Agreement, I designated the IAR (s) identified in Section IA to provide certain services pursuant to the terms of the Agreement. This Amendment changes the IAR(s) designated in the original Account Agreement and designates the new IAR(s) identified above in Section IB

I/We acknowledge that I/we have read and understand this Amendment and by executing where indicated below, agree to these changes to my/our Account Agreement. I/we acknowledge receiving a copy of this Amendment and any required ADV Part 2B Brochure Supplement for the new IAR(s).

Account Holder Signature	Mark Bishop	Account Holder Name (print)	12.10.13 Date
Account Holder Signature		Account Holder Name (print)	Date
Ron Chamberlin New Financial Advisor / Authorized Person Signature	Ron Chamberlin	New Financial Advisor / Authorized Person Name (print)	12/10/13 Date
New Financial Advisor / Authorized Person Signature		New Financial Advisor / Authorized Person Name (print)	Date

LPL Financial

Member FINRA/SIPC

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Entity Information
Partnership

PA

Account Number 2 3 1 6 6 0 9 8

Rep ID 7 N P B

Instructions Use this form to designate individual(s) authorized to give instructions on behalf of a partnership Please attach a photocopy of the ID document listed in Section I

Please fax the completed form along with ID documentation to New Accounts at (858) 202 8325

Section I: Partnership Information

Name of Partnership: American RMBS Equity Fund IV

Date of Board of Directors Meeting:

Document Type

- ○ Articles of Incorporation
- ○ Business License
- ◉ Partnership Agreement
- ○ Certificate of Good Standing

Document Number (Tax ID/SSN not acceptable)*: 100059506

Place of Issuance: CA

Document Issuance Date: 01/21/2010 (MM / DD / YYYY)

Document Expiration Date: (MM / DD / YYYY)

Is this account for a Government Entity? ○ Yes ◉ No

Section II: Partners Information

If there is only one general partner, please also send the actual partnership agreement documenting that there is a limited partner

1 Partner Information

Partner: Mark Bishop

Social Security Number: 553 19-5111

Date of Birth: 05/12/1956

ID Number: N2460579

Residence Address (no P O Boxes) ☐ Same as account: 154 Sereno

Tustin, CA 92780

Country of Citizenship: US

ID Type: Drivers License

ID Issuance Date: 05/12/1972

Home Phone: 949-678 9574

ID Place of Issuance: CA

ID Expiration Date: 05/12/2015

☐ Mark here if you, your spouse, or any other immediate family members are employed by or associated with the securities industry or a financial regulatory agency You must also provide the information requested below as well as a letter (when required) from the employer approving establishment of this account An approval letter is not required for LPL employees

Full Name | Relationship | Name of Firm

☐ Mark here if you or any member of your immediate family has been a corporate officer director, or owner of 10% or more of any public corporation within the past three months

Name of Corporation(s)

2 Additional Partner Information

Partner | Social Security Number | Date of Birth | ID Number

Residence Address (no P O Boxes) ☐ Same as account | Country of Citizenship | ID Type | ID Issuance Date

Home Phone | ID Place of Issuance | ID Expiration Date

☐ Mark here if you, your spouse, or any other immediate family members are employed by or associated with the securities industry or a financial regulatory agency You must also provide the information requested below as well as a letter (when required) from the employer approving establishment of this account An approval letter is not required for LPL employees

Full Name | Relationship | Name of Firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months

Name of Corporation(s)

Account documents.pdf

04/10/2013 WED 9:38 FAX 949 251 6958 CommerceWest Bank 002/002

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3. Additional Partner Information

Partner | Social Security Number | Date of Birth | ID Number

Residence Address (no P O Boxes) ☐ Same as account | Country of Citizenship | ID Type | ID Issuance Date

Home Phone | ID Place of Issuance | ID Expiration Date

☐ Mark here if you, your spouse, or any other immediate family members are employed by or associated with the securities industry or a financial regulatory agency. You must also provide the information requested below as well as a letter (when required) from the employer approving establishment of this account. An approval letter is not required for LPL employees.

Full Name | Relationship | Name of Firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months.

Name of Corporation(s)

4. Additional Partner Information

Partner | Social Security Number | Date of Birth | ID Number

Residence Address (no P O Boxes) ☐ Same as account | Country of Citizenship | ID Type | ID Issuance Date

Home Phone | ID Place of Issuance | ID Expiration Date

☐ Mark here if you, your spouse, or any other immediate family members are employed by or associated with the securities industry or a financial regulatory agency. You must also provide the information requested below as well as a letter (when required) from the employer approving establishment of this account. An approval letter is not required for LPL employees.

Full Name | Relationship | Name of Firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months.

Name of Corporation(s)

Section III. Certification

The undersigned jointly and severally certify that each of the named persons in Section II, are members of the Partnership named in Section I, a duly organized partnership, and shall have authority on behalf of the partnership account to buy, sell, and otherwise deal in, through you as brokers, stocks bonds and other securities and commodities, on margin or otherwise (including short sales), to receive on behalf of the partnership account demands notices, confirmations, reports, statements of account, and communications of every kind; to receive on behalf of the partnership account monies, securities and property of every kind, and to dispose of same, to make on behalf of the partnership account agreements relating to any of the foregoing matters and to terminate or modify same or waive any of the provisions thereof, and generally to deal with you on behalf of the partnership account as fully and completely as if he alone were interested in said account, all without notice to the other or others interested in said account.

The authority hereby conferred shall remain in force until written notice of its revocation addressed to you and delivered at your office at LPL Financial LLC, 9785 Towne Centre Drive, San Diego, CA 92121

The undersigned further authorizes you, in the event of death or retirement of any of the members of said Partnership, to take such proceedings, require such papers, retain such portion of or restrict transactions in said account as you may deem advisable to protect you against any liability, penalty or loss under any present or future law or otherwise. It is further agreed that in the event of the death or retirement of any member of said Partnership the remaining members will immediately cause you to be notified of such fact.

Subject to the provision hereof all notices or communications for the undersigned in respect of the partnership account will be directed to the address of record.

Account Holder Signature | Mark Bishop (Account Holder Name (print)) | 04/08/2013 (Date)

Account Holder Signature | Account Holder Name (print) | Date

Account Number 2 3 1 6 6 0 9 8

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STATE OF DELAWARE
CERTIFICATE OF LIMITED PARTNERSHIP

- **The undersigned,** desiring to form a limited partnership pursuant to the Delaware Revised Uniform Partnership Act, 6 Delaware Code, Chapter 17, do herby certify as follows:

- **First.** The name of the limited partnership is:
  American RMBS Equity Fund IV, LP

- **Second:** The address of its registered office in the State of Delaware is 108 West 13th Street, in the city of Wilmington The zip code is 19801. The name of the Registered Agent at such address is Business Filings Incorporated.

- **Third:** The name and mailing address of each general partner is as follows.

  Mark Bishop, 707 Broadway, 18th Floor, San Diego, California 92101

- **In Witness Whereof,** the undersigned has executed this Certificate of Limited Partnership as of 21th day of January, A D 2010.

By: Mark Bishop
Mark Bishop, General Partner

State of Delaware
Secretary of State
Division of Corporations
Delivered 03 00 PM 01/21/2010
FILED 02:36 PM 01/21/2010
SRV 100059506 - 4779667 FILE

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Entity Information
Partnership

PA

Account Number 2 3 1 6 6 0 9 8

Rep ID 7 N P B

Instructions Use this form to designate individual(s) authorized to give instructions on behalf of a partnership Please attach a photocopy of the ID document listed in Section I

Please fax the completed form along with ID documentation to New Accounts at (858) 202 8325

Section I: Partnership Information

Name of Partnership: American RMBS Equity Fund IV

Date of Board of Directors Meeting:

Document Type

○ Articles of Incorporation ○ Business License ◉ Partnership Agreement ○ Certificate of Good Standing

Document Number (Tax ID/SSN not acceptable)*: 100059506

Place of Issuance: CA

Document Issuance Date: 01/21/2010 MM / DD / YYYY

Document Expiration Date: MM / DD / YYYY

Is this account for a Government Entity? ○ Yes ◉ No

Section II: Partners Information

If there is only one general partner, please also send the actual partnership agreement documenting that there is a limited partner

1 Partner Information

Partner: Mark Bishop

Social Security Number: 553-19-5111

Date of Birth: 05/12/1956

ID Number: N2460579

Residence Address (no P O Boxes) ☐ Same as account: 154 Sereno

Tustin CA 92780

Country of Citizenship: US

ID Type: Drivers License

ID Issuance Date: 05/12/1972

Home Phone: 949 678-9574

ID Place of Issuance: CA

ID Expiration Date: 05/12/2015

☐ Mark here if you your spouse, or any other immediate family members are employed by or associated with the securities industry or a financial regulatory agency You must also provide the information requested below as well as a letter (when required) from the employer approving establishment of this account An approval letter is not required for LPL employees

Full Name

Relationship

Name of Firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months

Name of Corporation(s)

2 Additional Partner Information

Partner

Social Security Number

Date of Birth

ID Number

Residence Address (no P O Boxes) ☐ Same as account

Country of Citizenship

ID Type

ID Issuance Date

Home Phone

ID Place of Issuance

ID Expiration Date

☐ Mark here if you, your spouse or any other immediate family members are employed by or associated with the securities industry or a financial regulatory agency You must also provide the information requested below as well as a letter (when required) from the employer approving establishment of this account An approval letter is not required for LPL employees

Full Name

Relationship

Name of Firm

☐ Mark here if you or any member of your immediate family has been a corporate officer director, or owner of 10% or more of any public corporation within the past three months

Name of Corporation(s)

Account documents.pdf

PA

3 **Additional Partner Information**

Partner | Social Security Number | Date of Birth | ID Number

Residence Address (no P O Boxes) ☐ Same as account | Country of Citizenship | ID Type | ID Issuance Date

Home Phone | ID Place of Issuance | ID Expiration Date

☐ Mark here if you, your spouse or any other immediate family members are employed by or associated with the securities industry or a financial regulatory agency You must also provide the information requested below as well as a letter (when required) from the employer approving establishment of this account An approval letter is not required for LPL employees

Full Name | Relationship | Name of Firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months | Name of Corporation(s)

4 **Additional Partner Information**

Partner | Social Security Number | Date of Birth | ID Number

Residence Address (no P O Boxes) ☐ Same as account | Country of Citizenship | ID Type | ID Issuance Date

Home Phone | ID Place of Issuance | ID Expiration Date

☐ Mark here if you, your spouse, or any other immediate family members are employed by or associated with the securities industry or a financial regulatory agency You must also provide the information requested below as well as a letter (when required) from the employer approving establishment of this account An approval letter is not required for LPL employees

Full Name | Relationship | Name of Firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months | Name of Corporation(s)

Section III. Certification

The undersigned jointly and severally certify that each of the named persons in Section II, are members of the Partnership named in Section I, a duly organized partnership, and shall have authority on behalf of the partnership account to buy, sell, and otherwise deal in, through you as brokers, stocks bonds and other securities and commodities, on margin or otherwise (including short sales), to receive on behalf of the partnership account demands notices, confirmations, reports statements of account, and communications of every kind to receive on behalf of the partnership account monies, securities and property of every kind, and to dispose of same, to make on behalf of the partnership account agreements relating to any of the foregoing matters and to terminate or modify same or waive any of the provisions thereof, and generally to deal with you on behalf of the partnership account as fully and completely as if he alone were interested in said account, all without notice to the other or others interested in said account

The authority hereby conferred shall remain in force until written notice of its revocation addressed to you and delivered at your office at LPL Financial LLC, 9785 Towne Centre Drive, San Diego, CA 92121

The undersigned further authorizes you, in the event of death or retirement of any of the members of said Partnership, to take such proceedings, require such papers, retain such portion of or restrict transactions in said account as you may deem advisable to protect you against any liability, penalty or loss under any present or future law or otherwise It is further agreed that in the event of the death or retirement of any member of said Partnership, the remaining members will immediately cause you to be notified of such fact

Subject to the provision hereof all notices or communications for the undersigned in respect of the partnership account will be directed to the address of record

Account Holder Signature | Mark Bishop Account Holder Name (print) | 04/08/2013 Date

Account Holder Signature | Account Holder Name (print) | Date

Account Number 2 3 1 6 6 0 9 8

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Revised 0912

Account documents.pdf

Entity Information
Partnership

PA

Account Number: 2 3 1 6 6 0 9 8

Rep ID:

Instructions: Use this form to designate individual(s) authorized to give instructions on behalf of a partnership. Please attach a photocopy of the ID document listed in Section I.

Please fax the completed form along with ID documentation to New Accounts at (858) 202-8325.

Section I: Partnership Information

Name of Partnership: AMERICAN RMBS EQUITY FUND IV LP

Date of Board of Directors Meeting:

Document Type

○ Articles of Incorporation ○ Business License ◉ Partnership Agreement ○ Certificate of Good Standing

Document Number (Tax ID/SSN not acceptable)*: 100059506

Place of Issuance: CA

Document Issuance Date: 01/21/2010 (MM / DD / YYYY)

Document Expiration Date: (MM / DD / YYYY)

Is this account for a Government Entity? ○ Yes ◉ No

Section II: Partners Information

If there is only one general partner, please also send the actual partnership agreement documenting that there is a limited partner.

1. Partner Information

Partner	Social Security Number	Date of Birth	ID Number
SOPHIE NICOLAOU	622 258 486	09/02/1971	A# 099-306-280

Residence Address (no P. O. Boxes) ☐ Same as mailing address	Country of Citizenship	ID Type	ID Issuance Date
842 W. WILSON STREET	U.K.	Green Card	06/20/2006
COSTA MESA, CA 92627	Home Phone	ID Place of Issuance	ID Expiration Date
	310-367-3901	California	10/17/2018

☐ Mark here and complete the below information if a FINRA employee or person associated with a broker/dealer or municipal securities dealer has a financial interest in, controls trading in, or has discretionary authority over this account (e.g., accounts for minor children). This includes situations where you are employed by FINRA or associated with a broker/dealer or municipal securities dealer. This also includes situations where your spouse, domestic partner, or other immediate family member is employed by FINRA or associated with a broker/dealer or municipal securities dealer.

LPL will notify FINRA, the broker/dealer, or the municipal securities dealer regarding this account and may transmit duplicate statements, confirmations and other information concerning the account. By completing and signing this new account application, you authorize LPL to provide transactional data as listed above to FINRA, the broker/dealer, or municipal securities dealer as applicable.

Full Name of Person Associated with Firm or FINRA	Relationship to Account Holder of Person Associated with Firm or FINRA	Name of Associated Firm (If FINRA, list FINRA)

Address of Person Associated with Firm or FINRA:

Corporate Compliance Mailing Address of firm:

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months.

Name of Corporation(s):

PA

2. Additional Partner Information

Partner | Social Security Number | Date of Birth | ID Number

Residence Address (no P. O. Boxes) ☐Same as mailing address | Country of Citizenship | ID Type | ID Issuance Date

Home Phone | ID Place of Issuance | ID Expiration Date

☐ Mark here and complete the below information if a FINRA employee or person associated with a broker/dealer or municipal securities dealer has a financial interest in, controls trading in, or has discretionary authority over this account (e.g., accounts for minor children). This includes situations where you are employed by FINRA or associated with a broker/dealer or municipal securities dealer. This also includes situations where your spouse, domestic partner, or other immediate family member is employed by FINRA or associated with a broker/dealer or municipal securities dealer.

LPL will notify FINRA, the broker/dealer, or the municipal securities dealer regarding this account and may transmit duplicate statements, confirmations and other information concerning the account. By completing and signing this new account application, you authorize LPL to provide transactional data as listed above to FINRA, the broker/dealer, or municipal securities dealer as applicable.

Full Name of Person Associated with Firm or FINRA | Relationship to Account Holder of Person Associated with Firm or FINRA | Name of Associated Firm (if FINRA, list FINRA)

Address of Person Associated with Firm or FINRA | Corporate Compliance Mailing Address of firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months. | Name of Corporation(s)

3. Additional Partner Information

Partner | Social Security Number | Date of Birth | ID Number

Residence Address (no P. O. Boxes) ☐Same as mailing address | Country of Citizenship | ID Type | ID Issuance Date

Home Phone | ID Place of Issuance | ID Expiration Date

☐ Mark here and complete the below information if a FINRA employee or person associated with a broker/dealer or municipal securities dealer has a financial interest in, controls trading in, or has discretionary authority over this account (e.g., accounts for minor children). This includes situations where you are employed by FINRA or associated with a broker/dealer or municipal securities dealer. This also includes situations where your spouse, domestic partner, or other immediate family member is employed by FINRA or associated with a broker/dealer or municipal securities dealer.

LPL will notify FINRA, the broker/dealer, or the municipal securities dealer regarding this account and may transmit duplicate statements, confirmations and other information concerning the account. By completing and signing this new account application, you authorize LPL to provide transactional data as listed above to FINRA, the broker/dealer, or municipal securities dealer as applicable.

Full Name of Person Associated with Firm or FINRA | Relationship to Account Holder of Person Associated with Firm or FINRA | Name of Associated Firm (if FINRA, list FINRA)

Address of Person Associated with Firm or FINRA | Corporate Compliance Mailing Address of firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months. | Name of Corporation(s)

Account documents.pdf

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4. Additional Partner Information

Partner	Social Security Number	Date of Birth	ID Number

Residence Address (no P. O. Boxes) ☐Same as mailing address	Country of Citizenship	ID Type	ID Issuance Date

	Home Phone	ID Place of Issuance	ID Expiration Date

☐ Mark here and complete the below information if a FINRA employee or person associated with a broker/dealer or municipal securities dealer has a financial interest in, controls trading in, or has discretionary authority over this account (e.g., accounts for minor children). This includes situations where you are employed by FINRA or associated with a broker/dealer or municipal securities dealer. This also includes situations where your spouse, domestic partner, or other immediate family member is employed by FINRA or associated with a broker/dealer or municipal securities dealer.

LPL will notify FINRA, the broker/dealer, or the municipal securities dealer regarding this account and may transmit duplicate statements, confirmations and other information concerning the account. By completing and signing this new account application, you authorize LPL to provide transactional data as listed above to FINRA, the broker/dealer, or municipal securities dealer as applicable.

Full Name of Person Associated with Firm or FINRA	Relationship to Account Holder of Person Associated with Firm or FINRA	Name of Associated Firm (if FINRA, list FINRA)

Address of Person Associated with Firm or FINRA	Corporate Compliance Mailing Address of firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months.

Name of Corporation(s)

Section III: Certification

The undersigned jointly and severally certify that each of the named persons in Section II, are members of the Partnership named in Section I, a duly organized partnership, and shall have authority on behalf of the partnership account to buy, sell, and otherwise deal in, through you as brokers, stocks, bonds and other securities and commodities, on margin or otherwise (including short sales); to receive on behalf of the partnership account demands, notices, confirmations, reports, statements of account, and communications of every kind; to receive on behalf of the partnership account monies, securities and property of every kind, and to dispose of same; to make on behalf of the partnership account agreements relating to any of the foregoing matters and to terminate or modify same or waive any of the provisions thereof; and generally to deal with you on behalf of the partnership account as fully and completely as if he alone were interested in said account, all without notice to the other or others interested in said account.

The authority hereby conferred shall remain in force until written notice of its revocation addressed to you and delivered at your office at LPL Financial LLC.

The undersigned further authorizes you, in the event of death or retirement of any of the members of said Partnership, to take such proceedings, require such papers, retain such portion of or restrict transactions in said account as you may deem advisable to protect you against any liability, penalty or loss under any present or future law or otherwise. It is further agreed that in the event of the death or retirement of any member of said Partnership, the remaining members will immediately cause you to be notified of such fact.

Subject to the provisions hereof all notices or communications for the undersigned in respect of the partnership account will be directed to the address of record.

Account Holder Signature	Account Holder Name (print)	Date
	SOPHIE NICOLAOU	10/17/2016
Account Holder Signature	Account Holder Name (print)	Date

Account Number

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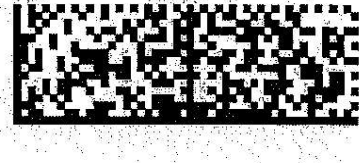
Revised 0214



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Section I: Account Holder Information (continued)

2. Additional Account Holder / Trustee Information

Secondary Account Holder/Trustee/Custodian/529 Beneficiary

Occupation (former if retired or unemployed)

ID Type (Ex: Driver's License, Passport, etc.)

Social Security Number | Date of Birth | No. of Dependents

Industry (former if retired)

ID Place of Issuance

Residence Address (no P. O. Boxes) ☐ Same as mailing address

Employer Name ☐ Mark here if retired or unemployed

ID Number

Employment Address (no P.O. boxes)

ID Issuance Date | ID Expiration Date

Country of Citizenship

ID verified? ◯ Yes ◯ No

Home Phone | Mobile Phone | Business Phone | Fax Number

☐ Mark here and complete the below information if a FINRA employee or person associated with a broker/dealer or municipal securities dealer has a financial interest in, controls trading in, or has discretionary authority over this account (e.g., accounts for minor children). This includes situations where you are employed by FINRA or associated with a broker/dealer or municipal securities dealer. This also includes situations where your spouse, domestic partner, or other immediate family member is employed by FINRA or associated with a broker/dealer or municipal securities dealer.

LPL will notify FINRA, the broker/dealer, or the municipal securities dealer regarding this account and may transmit duplicate statements, confirmations and other information concerning the account. By completing and signing this new account application, you authorize LPL to provide transactional data as listed above to FINRA, the broker/dealer, or municipal securities dealer as applicable.

Full Name of Person Associated with Firm or FINRA

Relationship to Account Holder of Person Associated with Firm or FINRA

Name of Associated Firm (if FINRA, list FINRA)

Address of Person Associated with Firm or FINRA

Corporate Compliance Mailing Address of Firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months.

Name of Corporation(s)

COMMERCEWEST
INVESTMENT MANAGEMENT
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
April 1 to April 30, 2013

AMERICAN RMBS EQUITY FUND IV A PARTNERSHIP 2316-6098
Investment Objective Growth

AMERICAN RMBS EQUITY FUND IV
A PARTNERSHIP
707 BROADWAY, SUITE 1800
SAN DIEGO CA 92101

Total Value of Your Account as of April 30, 2013 **$34,072,705.53**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2012	**$0.00**
Beginning Value as of April 1, 2013	**$0.00**
Additions	627,457.95
Withdrawals	-697,917.43
Dividends, Interest and Capital Gains	75,548.38
Other Account Activity [1]	-25.00
Increase/decrease in Market Value [2]	34,067,641.63
Ending Value as of April 30, 2013	**$34,072,705.53**

	Year-End Value December 31, 2012	Value on April 30, 2013
TOTAL VALUE OF YOUR ACCOUNT	**$0.00**	**$34,072,705.53**

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

1 Includes fees, expenses and other activity during the Statement period. See "Account Activity".
2 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.

LPL Financial

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

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Investment Account Strategic Asset Management

Statement Period
April 1 to April 30, 2013

ACCOUNT INVESTMENT SUMMARY as of April 30, 2013

Investment Type	Amount	Percent
Cash and Cash Equivalents	$5,063.90	0.01%
Equities and Options	—	—
Fixed Income	34,067,641.63	99.99%
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$34,072,705.53**	**100.00%**

EARNINGS SUMMARY as of April 30, 2013

Estimated Annual Income	$4,029,662.00
Estimated Accrued Interest	$109,167.63

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Account Holdings as of April 30, 2013

CASH AND CASH EQUIVALENTS

Description	Current Balance
Money Market Funds	$5,063.90
TOTAL CASH AND CASH EQUIVALENTS	**$5,063.90**

CORPORATE BONDS

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	CWMBS INC REMIC SER 2006-1 CL A3 MONTHLY 24 DAY DELAY CPN 6.000% DUE 03/25/36 DTD 01/01/06 FC 02/25/06 MOODYS RATING: NOT RATED S&P RATING: D 126694XD5	35,000	N/A	N/A	N/A	N/A	N/A	—	$169.05
N/A		125,000		N/A	N/A	N/A	N/A	—	604.28
Total		**160,000**		**—**	**N/A**	**N/A**	**N/A**	**—**	**773.33**
N/A	JP MORGAN ALT LN TR REMIC SER 2006-A1 CL 4A2 MONTHLY 24 DAY DELAY VAR CPN 6.042% DUE 03/25/36 DTD 02/01/06 FC 03/25/06 MOODYS RATING: NOT RATED S&P RATING: D 46627MDB0	9,303,000	N/A	N/A	N/A	N/A	N/A	—	—

CORPORATE BONDS continue on page 4

CORPORATE BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	STRUCTURED ASSET SEC CRP REMIC SER 2005-WF4 CL B2 MONTHLY 0 DAY DELAY VAR CPN 2.700% DUE 11/25/35 DTD 11/23/05 FC 12/25/05 MOODYS RATING: C S&P RATING: D 863576DR2	10,000,000	0.001	—	N/A	N/A	N/A	—	—
TOTAL CORPORATE BONDS				**—**		**0.00**	**—**	**—**	**$773.33**

GOVERNMENT AND AGENCY BONDS

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
08/14/12	ACE SECS CORP HM EQTY LN REMIC 2003-HE1 CL M2 MONTHLY 0 DAY DELAY VAR CPN 2.750% DUE 11/25/33 DTD 10/31/03 FC 11/25/03 MOODYS RATING: CA S&P RATING: CC 004421DB6	4,000,000	$83.3838	$348,473.74 FACTOR: 0.10447885	$61.9000	$239,131.57	$109,342.17	$11,492	— 3.30%
N/A	AMERIQUEST MTG SECS INC CMO SER 2004-R3 CL M6 MONTHLY 0 DAY DELAY VAR CPN 3.200% DUE 05/25/34 DTD 04/08/04 FC 05/25/04 MOODYS RATING: C S&P RATING: CC 03072SQH1	1,350,000	12.7465	72,850.49 FACTOR: 0.42335801	N/A	N/A	N/A	18,289	— 25.10%

GOVERNMENT AND AGENCY BONDS continue on page 5

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
12/21/12	BANC AMER FDG TR REMIC 2006-5 CL 3A3 MONTHLY 24 DAY DELAY CPN 5.750% DUE 09/25/36 DTD 09/01/06 FC 10/25/06 MOODYS RATING: C S&P RATING: CC 05950NBG2	981,000	45.7598	388,074.99 FACTOR: 0.86449509	42.0000	350,815.51	37,259.48	48,764	3,928.21 12.57%
N/A	BANC AMER FDG TR REMIC 2006-7 CL T2A1 MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 10/25/36 DTD 10/01/06 FC 11/25/06 MOODYS RATING: CAA3 S&P RATING: D 05951KAX1	11,250,000	75.8273	944,250.97 FACTOR: 0.11069024	N/A	N/A	N/A	—	—
03/06/09	BANC AMER FDG TR REMIC SER 2007-8 CL X-IO MONTHLY 24 DAY DELAY CPN 7.000% DUE 10/25/37 DTD 09/01/07 FC 10/25/07 S&P RATING: NOT RATED 05953LAM1	13,311,854	23.3979	666,813.12 FACTOR: 0.21408622	0.1500	0.00	666,813.12	199,491	16,070.18 29.92%
N/A	BANC AMER FDG TR REMIC SER 2007-4 CL 1A2 MONTHLY 24 DAY DELAY CPN 5.500% DUE 06/25/37 DTD 05/01/07 FC 06/25/07 MOODYS RATING: C S&P RATING: CC 05953YAU5	2,000,000	37.265	325,639.62 FACTOR: 0.43692422	N/A	N/A	N/A	48,061	3,871.63 14.76%

GOVERNMENT AND AGENCY BONDS continue on page 6

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Account Holdings as of April 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	BANC AMER MTG SECS INC REMIC SER 2004-5 CL XB1 MONTHLY 24 DAY DELAY VAR CPN 5.111% DUE 06/25/34 DTD 05/01/04 FC 06/25/04 MOODYS RATING: NOT RATED S&P RATING: CC 05948X7J4	847,000	74.5761	282,434.07 FACTOR: 0.44713021	N/A	N/A	N/A	19,356	— 6.85%
N/A	BANC AMER MTG SECS INC REMIC 2004-11 CL 30IO MONTHLY 24 DAY DELAY CPN 5.500% DUE 01/25/35 DTD 12/01/04 FC 01/25/05 S&P RATING: NOT RATED 05949AD98	10,327,426	9.96	189,093.57 FACTOR: 0.18383379	N/A	N/A	N/A	104,419	8,411.54 55.22%
N/A	BANC AMER MTG SECS INC REMIC 2004-7 CL 15B1 MONTHLY 24 DAY DELAY VAR CPN 5.354% DUE 08/25/19 DTD 07/01/04 FC 08/25/04 05949AMR8	2,420,000	57.2975	686,535.18 FACTOR: 0.49512147	N/A	N/A	N/A	64,151	— 9.34%
N/A	BANC AMER MTG SECS INC REMIC SER 2004-8 CL 15IO MONTHLY 24 DAY DELAY CPN 5.250% DUE 10/25/19 DTD 09/01/04 FC 10/25/04 S&P RATING: NOT RATED 05949ATT7	2,372,055	10.6584	18,646.31 FACTOR: 0.07375241	N/A	N/A	N/A	9,184	739.87 49.26%

GOVERNMENT AND AGENCY BONDS continue on page 7

Account Holdings as of April 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	BANC AMER MTG TR REMIC SER 2006-3 CL 1A13 MONTHLY 24 DAY DELAY CPN 6.250% DUE 10/25/36 DTD 09/01/06 FC 10/25/06 MOODYS RATING: CAA2 S&P RATING: NOT RATED 05950LAN2	1,104,600	19.4295	176,930.47 FACTOR: 0.82439619	N/A	N/A	N/A	56,914	4,584.76 32.17%
07/31/08	BEAR STEARNS ASSET BKD REMIC SER 2007-HE5 CL M2 MONTHLY 0 DAY DELAY VAR CPN 0.580% DUE 05/25/37 DTD 05/30/07 FC 06/25/07 MOODYS RATING: C S&P RATING: CC 073859AH3	5,000,000	3.472	173,600.00 FACTOR: 1.00	20.0000	1,000,000.00	-826,400.00	29,000	— 16.71%
N/A	BEAR STEARNS ASSET BKD REMIC SER 2005-TC1 CL M2 MONTHLY 0 DAY DELAY VAR CPN 0.850% DUE 05/25/35 DTD 05/31/05 FC 06/27/05 MOODYS RATING: C S&P RATING: B- 073879VG0	3,417,000	71.6977	1,113,940.47 FACTOR: 0.45468621	N/A	N/A	N/A	13,206	— 1.19%
02/26/13	BEAR STEARNS COML MTG REMIC 2007-PWR1 CL H MNTH 10 DAY DLY VAR 144A CPN 5.905% DUE 06/11/40 DTD 06/01/07 FC 07/11/07 MOODYS RATING: C 07388YBE1	5,995,000	13.00	779,350.00 FACTOR: 1.00	8.5001	509,521.18	269,828.82	354,004	— 45.42%

GOVERNMENT AND AGENCY BONDS continue on page 8

Account Holdings as of April 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	C BASS MTG LN TR REMIC SR 2007-CB2 CL A2B MONTHLY 24 DAY DELAY VAR CPN 5.188% DUE 02/25/37 DTD 02/01/07 FC 03/25/07 MOODYS RATING: CAA3 S&P RATING: D 1248MBAH8 1,500,000 shares are in your margin account	1,500,000	81.912	1,228,680.00 FACTOR: 1.00	N/A	N/A	N/A	77,820	— 6.33%
N/A	C BASS TR REMIC SR 2007-CB1 CL AF2 MONTHLY 24 DAY DELAY VAR CPN 4.677% DUE 01/25/37 DTD 01/01/07 FC 02/25/07 MOODYS RATING: CA S&P RATING: D 1248MGAK0	900,000	55.0063	464,211.00 FACTOR: 0.93770388	N/A	N/A	N/A	39,465	— 8.50%
N/A		250,000		128,954.64 FACTOR: 0.93770388	N/A	N/A	N/A	10,969	—
Total		**1,150,000**		**593,165.64**	**N/A**	**N/A**	**N/A**	**50,434**	**—**
N/A	C BASS TR REMIC 2007-CB1 CL AF1B MONTHLY 24 DAY DELAY VAR CPN 4.677% DUE 01/25/37 DTD 01/01/07 FC 02/25/07 MOODYS RATING: CA S&P RATING: D 1248MGAX2	3,500,000	55.4789	402,171.11 FACTOR: 0.20711664	N/A	N/A	N/A	33,903	— 8.43%

GOVERNMENT AND AGENCY BONDS continue on page 9

Account Holdings as of April 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	CENTEX HM EQTY LN TR REMIC SER 2002-A CL MF2 MONTHLY 24 DAY DELAY CPN 6.540% DUE 01/25/32 DTD 01/01/02 FC 02/25/02 MOODYS RATING: C S&P RATING: D 152314EN6	3,451,000	10.4663	121,273.70 FACTOR: 0.33575966	N/A	N/A	N/A	75,779	6,104.45 62.49%
N/A	CHARLIE MAC TR REMIC SER 2004-2 CL B2 MONTHLY 24 DAY DELAY VAR CPN 5.325% DUE 10/25/34 DTD 11/01/04 FC 12/25/04 MOODYS RATING: CA S&P RATING: CCC 160762AZ3	1,232,000	83.6137	505,254.65 FACTOR: 0.49048098	N/A	N/A	N/A	32,177	— 6.37%
N/A	CHASE FDG MTG LN REMIC 2004-2 CL IM2 MONTHLY 24 DAY DELAY VAR CPN 5.619% DUE 02/25/35 DTD 06/01/04 FC 07/25/04 MOODYS RATING: C S&P RATING: CCC 161546JL1 2,250,000 shares are in your margin account	2,250,000	69.5659	1,055,536.43 FACTOR: 0.67436388	N/A	N/A	N/A	85,258	— 8.08%
N/A	CHL MTG PASS THRU TR REMIC SER 2006-19 CL X MONTHLY 24 DAY DELAY VAR CPN 0.281% DUE 01/25/37 DTD 11/01/06 FC 12/25/06 MOODYS RATING: CAA2 S&P RATING: NOT RATED 12543XAK2	50,000,000	0.9545	174,500.00 FACTOR: 0.36602132	N/A	N/A	N/A	51,000	— 29.44%

GOVERNMENT AND AGENCY BONDS continue on page 10

Account Holdings as of April 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	CHL MTG PASS THRU TR (continued)	50,000,000		174,500.00 FACTOR: 0.36602132	N/A	N/A	N/A	51,500	—
N/A		41,500,000		145,354.80 FACTOR: 0.36602132	N/A	N/A	N/A	43,035	—
Total		**141,500,000**		**494,354.80**	**N/A**	**N/A**	**N/A**	**145,535**	**—**
N/A	CITICORP MTG SECS INC REMIC SER 2005-2 CL B1 MONTHLY 24 DAY DELAY VAR CPN 5.395% DUE 03/25/35 DTD 03/01/05 FC 04/25/05 MOODYS RATING: NOT RATED S&P RATING: NOT RATED 172973R76	3,832,000	82.5056	1,908,143.41 FACTOR: 0.60353448	N/A	N/A	N/A	124,772	— 6.54%
N/A	CITIGROUP MTG LN TR REMIC 2004-HYB4 CL 1M MONTHLY 24 DAY DELAY VAR CPN 2.964% DUE 01/25/35 DTD 12/01/04 FC 01/25/05 MOODYS RATING: NOT RATED S&P RATING: CC 17307GMP0	602,000	40.0879	163,494.63 FACTOR: 0.67747567	N/A	N/A	N/A	12,088	— 7.39%
N/A	CITIGROUP MTG LN TR REMIC SER 2005-3 CL IA2 MONTHLY 24 DAY DELAY VAR CPN 1.839% DUE 07/25/35 DTD 07/01/05 FC 08/25/05 MOODYS RATING: CA S&P RATING: BB+ 17307GTB4 2,210,400 shares are in your margin account	2,210,400	69.092	186,131.26 FACTOR: 0.1218767	N/A	N/A	N/A	4,954	— 2.66%

GOVERNMENT AND AGENCY BONDS continue on page 11

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Account Holdings as of April 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	CREDIT SUISSE FIRST BSTN REMIC SER 2002-5 CL M2 MONTHLY 0 DAY DELAY VAR CPN 0.200% DUE 05/25/33 DTD 12/19/02 FC 01/25/03 MOODYS RATING: CA S&P RATING: CCC 2254W0AJ4	21,000,000	70.1349	596,795.57 FACTOR: 0.04052025	N/A	N/A	N/A	1,701	— 0.29%
N/A	CREDIT SUISSE FIRST BSTN REMIC SER 2003-5 CL M2 MONTHLY 0 DAY DELAY VAR CPN 1.930% DUE 12/25/33 DTD 08/28/03 FC 09/25/03 MOODYS RATING: CAA1 S&P RATING: B 22541QNL2	2,795,000	65.1585	178,618.51 FACTOR: 0.09807845	N/A	N/A	N/A	5,290	— 2.96%
N/A	CWABS INC REMIC SR 2005-17 CL 1AF4 MONTHLY 24 DAY DELAY VAR CPN 5.310% DUE 05/25/36 DTD 12/01/05 FC 01/25/06 MOODYS RATING: CA S&P RATING: D 126670QU5	1,218,271	78.3917	828,982.01 FACTOR: 0.86802277	N/A	N/A	N/A	56,152	4,523.40 6.77%
N/A	CWALT INC REMIC SER 2004-3T1 CL M MONTHLY 24 DAY DELAY CPN 6.000% DUE 05/25/34 DTD 03/01/04 FC 04/25/04 S&P RATING: CCC 12667FDT9	395,000	91.4875	270,915.26 FACTOR: 0.74967775	N/A	N/A	N/A	17,767	1,431.26 6.56%

GOVERNMENT AND AGENCY BONDS continue on page 12

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	CWALT INC REMIC 2005-46CB CL A15 MONTHLY 24 DAY DELAY CPN 5.500% DUE 10/25/35 DTD 08/01/05 FC 09/25/05 MOODYS RATING: C S&P RATING: NOT RATED 12667G7J6	611,000	21.6035	86,496.07 FACTOR: 0.65528628	N/A	N/A	N/A	22,020	1,773.91 25.46%
N/A	CWMBS INC REMIC 2003-J4 CL B1 MONTHLY 24 DAY DELAY VAR CPN 5.398% DUE 06/25/33 DTD 04/01/03 FC 05/25/03 S&P RATING: CCC 12669EGW0	2,539,000	67.7016	498,088.01 FACTOR: 0.28976402	N/A	N/A	N/A	39,713	— 7.97%
N/A	CWMBS INC REMIC SER 2004-J2 CL B2 MONTHLY 24 DAY DELAY CPN 5.500% DUE 03/25/34 DTD 02/01/04 FC 03/25/04 12669FQW6	939,450	56.4456	348,082.94 FACTOR: 0.65641573	N/A	N/A	N/A	33,916	2,732.19 9.74%
N/A	FIRST HORIZON MTG TR REMIC 2006-AR4 CL IIA2 MONTHLY 24 DAY DELAY VAR CPN 4.964% DUE 01/25/37 DTD 12/01/06 FC 01/25/07 S&P RATING: CCC 32053AAF3	2,241,000	35.8811	194,917.35 FACTOR: 0.24240574	N/A	N/A	N/A	26,965	— 13.83%

GOVERNMENT AND AGENCY BONDS continue on page 13

Account Holdings as of April 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
10/16/12	FIRST HORIZON MTG TR REMIC 2007-1 CL A6 MONTHLY 24 DAY DELAY CPN 6.000% DUE 03/25/37 DTD 02/01/07 FC 03/25/07 MOODYS RATING: C S&P RATING: D 32053NAF5	1,500,000	44.9806	270,862.19 FACTOR: 0.40145039	31.0000	0.00	270,862.19	36,130	2,910.52 13.34%
N/A	FIRST NLC TR REMIC SER 2005-3 CL M2 MONTHLY 0 DAY DELAY VAR CPN 1.220% DUE 12/25/35 DTD 11/16/05 FC 11/25/05 MOODYS RATING: C S&P RATING: CC 32113JBV6	7,000,000	7.3684	515,788.00 FACTOR: 1.00	N/A	N/A	N/A	85,400	— 16.56%
N/A	GS MTG SECS CORP REMIC SER 2006-6 CL AF7 MONTHLY 24 DAY DELAY VAR CPN 5.168% DUE 03/25/36 DTD 04/01/06 FC 05/25/06 MOODYS RATING: C S&P RATING: D 362334MZ4	4,321,000	18.535	800,897.35 FACTOR: 1.00	N/A	N/A	N/A	223,309	— 27.88%
N/A	GS MTG SECS CORP REMIC SER 2006-1F CL 5A2 MONTHLY 24 DAY DELAY CPN 6.000% DUE 02/25/36 DTD 01/01/06 FC 02/25/06 MOODYS RATING: NOT RATED S&P RATING: D 3623418A0	45,000	9.6773	876.10 FACTOR: 0.20118261	N/A	N/A	N/A	543	43.76 62.00%

GOVERNMENT AND AGENCY BONDS continue on page 14

Account Holdings as of April 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
07/31/08	GSAMP TR REMIC SR 2006-HE7 CL M2 MONTHLY 0 DAY DELAY VAR CPN 0.490% DUE 10/25/36 DTD 10/31/06 FC 11/25/06 MOODYS RATING: C S&P RATING: D 36245EAG3	2,305,000	0.2755	3,346.91 FACTOR: 0.52705025	19.0000	0.00	3,346.91	5,952	— 77.86%
N/A	HARBORVIEW MTG LN TR REMIC SER 2006-1 CL X1 MONTHLY 18 DAY DELAY VAR CPN 2.323% DUE 03/19/36 DTD 01/01/06 FC 02/19/06 MOODYS RATING: C S&P RATING: NOT RATED 41161PB36	35,405,000	8.25	835,715.01 FACTOR: 0.28611436	N/A	N/A	N/A	235,317	— 28.16%
N/A	HARBORVIEW MTG LN TR REMIC SER 2005-3 CL X2 MONTHLY 18 DAY DELAY VAR CPN 2.229% DUE 06/19/35 DTD 05/01/05 FC 06/19/05 MOODYS RATING: CA S&P RATING: NOT RATED 41161PNK5	13,000,000	0.005	131.64 FACTOR: 0.20252829	N/A	N/A	N/A	58,686	— 80.00%
N/A	INDYMAC MBS INC / RAST REMIC SER 2003-A4 CL B3 MONTHLY 24 DAY DELAY CPN 5.750% DUE 05/25/33 DTD 03/01/03 FC 04/25/03 MOODYS RATING: NOT RATED S&P RATING: D 45660NPV1	1,925,000	0.001	4.80 FACTOR: 0.2496764	N/A	N/A	N/A	—	2,226.24

GOVERNMENT AND AGENCY BONDS continue on page 15

Account Holdings as of April 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	INDYMAC MBS INC / RAST REMIC 2003-A11 CL B3 MONTHLY 24 DAY DELAY CPN 5.750% DUE 11/25/33 DTD 09/01/03 FC 10/25/03 MOODYS RATING: NOT RATED S&P RATING: CC 45660NVF9	1,957,000	21.2173	266,196.48 FACTOR: 0.64109349	N/A	N/A	N/A	72,140	5,811.33 27.10%
N/A	JP MORGAN MTG ACQ CORP REMIC SR 2006-FRE2 CL M1 MONTHLY 0 DAY DELAY VAR CPN 0.540% DUE 02/25/36 DTD 03/29/06 FC 04/25/06 MOODYS RATING: C S&P RATING: CCC 46626LHB9	2,500,000	50.9406	1,273,515.00 FACTOR: 1.00	N/A	N/A	N/A	13,500	— 1.06%
N/A	LEHMAN MTG TR REMIC 2005-2 CL 1A4 MONTHLY 24 DAY DELAY CPN 5.750% DUE 12/25/35 DTD 11/01/05 FC 12/25/05 MOODYS RATING: C S&P RATING: D 52520MBR3	5,525,000	33.3656	1,145,629.54 FACTOR: 0.62145972	N/A	N/A	N/A	197,429	15,904.08 17.23%
N/A	LEHMAN MTG TR REMIC 2007-10 CL 1A2 MONTHLY 24 DAY DELAY CPN 6.000% DUE 01/25/38 DTD 11/01/07 FC 12/25/07 S&P RATING: D 52522QAB8	3,050,000	11.03	62,009.28 FACTOR: 0.18432377	N/A	N/A	N/A	33,731	2,717.24 54.40%

GOVERNMENT AND AGENCY BONDS continue on page 16

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	LEHMAN MTG TR REMIC 2008-6 CL B1 MONTHLY 24 DAY DELAY VAR CPN 4.560% DUE 07/25/47 DTD 08/01/08 FC 09/25/08 52525FAH6 6,614,000 shares are in your margin account	6,614,000	21.9456	1,408,082.07 FACTOR: 0.97009959	N/A	N/A	N/A	292,580	— 20.78%
N/A	LEHMAN XS TR REMIC 2007-5H CL 3A4 MONTHLY 24 DAY DELAY VAR CPN 3.229% DUE 05/25/37 DTD 04/01/07 FC 05/25/07 MOODYS RATING: CA 525248AY6 12,455,000 shares are in your margin account	12,455,000	59.3456	2,312,431.04 FACTOR: 0.31285027	N/A	N/A	N/A	125,819	— 5.44%
N/A	LONG BEACH MTG LN TR REMIC SER 2003-3 CL M3 MONTHLY 0 DAY DELAY VAR CPN 5.450% DUE 07/25/33 DTD 06/05/03 FC 07/25/03 MOODYS RATING: CA S&P RATING: D 542514EC4	8,000,000	45.7123	678,932.20 FACTOR: 0.18565359	N/A	N/A	N/A	80,944	— 11.92%
N/A	MASTER ASSET SECRTZN TR REMIC 2003-4 CL 30AX MONTHLY 24 DAY DELAY CPN 5.500% DUE 05/25/33 DTD 04/01/03 FC 05/25/03 MOODYS RATING: BA3 S&P RATING: AA+ 55265KWP0	48,309,265	16.3059	394,338.72 FACTOR: 0.05006039	N/A	N/A	N/A	133,010	10,714.77 33.73%

GOVERNMENT AND AGENCY BONDS continue on page 17

Account Holdings as of April 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	MERRILL LYNCH MTG INV TR REMIC 05-ACR1 CL M5 144A MONTHLY 0 DAY DELAY VAR CPN 0.888% DUE 06/28/35 DTD 08/16/05 FC 09/28/05 MOODYS RATING: C S&P RATING: CCC 55311XAE5	2,351,000	N/A	N/A FACTOR: 1.00	N/A	N/A	N/A	—	—
N/A	MORGAN STANLEY ABS CAP I REMIC SER 2005-HE5 CL M3 MONTHLY 0 DAY DELAY VAR CPN 0.650% DUE 09/25/35 DTD 10/28/05 FC 11/25/05 MOODYS RATING: C S&P RATING: CCC 61744CUU8	1,362,707	43.2731	589,685.56 FACTOR: 1.00	N/A	N/A	N/A	8,857	— 1.50%
N/A	MORGAN STANLEY ABS CAP I REMIC SER 2007-HE6 CL A1 MONTHLY 0 DAY DELAY VAR CPN 0.260% DUE 05/25/37 DTD 05/31/07 FC 06/25/07 MOODYS RATING: CA S&P RATING: CCC 61755CAA0	3,000,000	57.9998	168,943.98 FACTOR: 0.09709458	N/A	N/A	N/A	757	— 0.45%
N/A	MORGAN STANLEY MTG LN TR REMIC 2007-6XS CL 2A7M MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 02/25/47 DTD 03/01/07 FC 04/25/07 MOODYS RATING: C S&P RATING: CCC 61751JAP6	5,191,000	34.1299	1,771,683.10 FACTOR: 1.00	N/A	N/A	N/A	—	—

GOVERNMENT AND AGENCY BONDS continue on page 18

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	MORGAN STANLEY MTG LN TR (continued)	3,000,000		1,023,897.00 FACTOR: 1.00	N/A	N/A	N/A	—	—
Total	3,000,000 shares are in your margin account	**8,191,000**		**2,795,580.10**	**N/A**	**N/A**	**N/A**	**—**	**—**
N/A	MORGAN STANLEY MTG LN TR REMIC 2007-14AR CL 3A4 MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 10/25/37 DTD 10/01/07 FC 11/25/07 MOODYS RATING: NOT RATED S&P RATING: NOT RATED 61756VAV1	63,980,000	0.75	211,285.78 FACTOR: 0.44031631	N/A	N/A	N/A	—	—
N/A	PEOPLES CHOICE HM LN SEC REMIC SER 2005-4 CL 1A2 MONTHLY 0 DAY DELAY VAR CPN 0.460% DUE 08/25/35 DTD 10/26/05 FC 11/25/05 MOODYS RATING: CAA2 S&P RATING: CCC 71085PDD2	800,000	63.609	113,448.52 FACTOR: 0.22294119	N/A	N/A	N/A	820	— 0.72%
N/A	POPULAR ABS INC REMIC SER 2005-2 CL M4 MONTHLY 24 DAY DELAY CPN 6.063% DUE 04/25/35 DTD 03/01/05 FC 04/25/05 MOODYS RATING: C S&P RATING: CC 73316PCN8	2,000,000	5.5539	90,794.82 FACTOR: 0.81739705	N/A	N/A	N/A	99,117	7,984.47 9.17%

GOVERNMENT AND AGENCY BONDS continue on page 19

Account Holdings as of April 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	RASC SER TR REMIC 2006-EMX8 CL AI3 MONTHLY 0 DAY DELAY VAR CPN 0.370% DUE 08/25/36 DTD 09/28/06 FC 10/25/06 MOODYS RATING: CA S&P RATING: CC 74924UAC5	700,000	65.4484	458,138.80 FACTOR: 1.00	N/A	N/A	N/A	2,590	— 0.57%
N/A	RENAISSANCE HM EQTY LN REMIC SER 2006-4 CL AF1 MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 01/25/37 DTD 12/01/06 FC 01/25/07 MOODYS RATING: CA S&P RATING: CCC 75970HAD2	4,686,000	63.9538	217,302.06 FACTOR: 0.07250955	N/A	N/A	N/A	—	—
N/A	RESIDENTIAL ACCR LNS INC REMIC SER 2004-QA4 CL M2 MONTHLY 24 DAY DELAY VAR CPN 3.666% DUE 09/25/34 DTD 09/01/04 FC 10/25/04 MOODYS RATING: C S&P RATING: D 76110HZQ5	1,500,000	2.8262	11,255.45 FACTOR: 0.26550264	N/A	N/A	N/A	14,599	— 29.71%
N/A	RESIDENTIAL ASSET SECS REMIC SR 2004-KS7 CL AI6 MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 08/25/34 DTD 07/01/04 FC 08/25/04 MOODYS RATING: CAA2 S&P RATING: D 76110WB21	280,000	89.9835	100,622.81 FACTOR: 0.39937009	N/A	N/A	N/A	—	—

GOVERNMENT AND AGENCY BONDS continue on page 20

Account Holdings as of April 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	SALOMON HM EQTY LN TR REMIC 2001-1 CL MF2 MONTHLY 10 DAY DELAY CPN 6.310% DUE 10/25/31 DTD 10/15/01 FC 11/25/01 MOODYS RATING: NOT RATED S&P RATING: D 79550DAE9	1,598,000	17.8595	164,759.05 FACTOR: 0.57730222	N/A	N/A	N/A	58,211	4,689.27 35.33%
05/13/08	STRUCTURED ASSET INVT LN REMIC SR 2003-BC11 CL M4 MONTHLY 0 DAY DELAY VAR CPN 3.200% DUE 10/25/33 DTD 10/25/03 FC 11/25/03 MOODYS RATING: CA S&P RATING: CC 86358EEQ5	7,992,000	89.453	157,166.38 FACTOR: 0.02198413	36.0000	0.00	157,166.38	5,622	— 3.58%
04/04/12	TBW MTG BKD TR REMIC SER 2007-1 CL A3 MONTHLY 24 DAY DELAY VAR CPN 5.880% DUE 03/25/37 DTD 02/01/07 FC 03/25/07 MOODYS RATING: CA S&P RATING: D 87222EAC2	188,000	61.622	112,879.80 FACTOR: 0.97436709	52.7500	94,351.02	18,528.78	10,771	— 9.54%
N/A	WACHOVIA MTG LN TR LLC REMIC 2005-B CL 1A2 MONTHLY 19 DAY DELAY VAR CPN 2.963% DUE 10/20/35 DTD 11/01/05 FC 12/20/05 S&P RATING: D 92977YBS9	3,678,000	14.9865	16,365.58 FACTOR: 0.02969065	N/A	N/A	N/A	3,235	— 19.77%

GOVERNMENT AND AGENCY BONDS continue on page 21

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	WAMU MTG PASS THRU CTFS REMIC SER 2003-AR7 CL B3 MONTHLY 24 DAY DELAY VAR CPN 2.320% DUE 08/25/33 DTD 06/01/03 FC 07/25/03 MOODYS RATING: CA S&P RATING: CC 9292276Q4	2,530,000	49.1518	377,822.83 FACTOR: 0.30382832	N/A	N/A	N/A	17,833	— 4.72%
N/A	WAMU MTG PASS THRU CTFS REMIC 2007-OA6 CL 2XPP MONTHLY 24 DAY DELAY VAR CPN 0.265% DUE 07/25/47 DTD 06/01/07 FC 07/25/07 MOODYS RATING: CA 92927BAG7	107,000,000	N/A	N/A FACTOR: 0.48810912	N/A	N/A	N/A	—	—
N/A	WASHINGTON MUT MTG SECS REMIC 2004-RA2 CL CB1 MONTHLY 24 DAY DELAY VAR CPN 6.963% DUE 07/25/33 DTD 06/01/04 FC 07/25/04 S&P RATING: D 939336S20 2,100,000 shares are in your margin account	2,100,000	88.441	1,254,831.98 FACTOR: 0.67563578	N/A	N/A	N/A	98,793	— 7.87%
N/A	WASHINGTON MUT MTG SECS REMIC SR 2004-AR14 CL B2 MONTHLY 24 DAY DELAY VAR CPN 2.437% DUE 01/25/35 DTD 12/01/04 FC 01/25/05 S&P RATING: CC 939336W66	2,797,000	8.1063	203,141.50 FACTOR: 0.89594949	N/A	N/A	N/A	61,070	— 30.06%

GOVERNMENT AND AGENCY BONDS continue on page 22

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	WASHINGTON MUT MTG SECS REMIC 2005-1 CL B1 MONTHLY 24 DAY DELAY VAR CPN 3.320% DUE 03/25/35 DTD 02/01/05 FC 03/25/05 MOODYS RATING: NOT RATED S&P RATING: CC 9393363A9	6,200,000	5.9378	292,667.44 FACTOR: 0.79498175	N/A	N/A	N/A	163,639	— 55.91%
N/A	WELLS FARGO ALT LN TR REMIC 2007-PA5 CL IIA2 MONTHLY 24 DAY DELAY CPN 6.000% DUE 11/25/22 DTD 10/01/07 FC 11/25/07 S&P RATING: B+ 949922AU2	1,034,000	83.1399	183,138.04 FACTOR: 0.21303381	N/A	N/A	N/A	13,216	1,064.67 7.22%
N/A	WELLS FARGO MTG BKD SECS REMIC 2005-AR11 CL IIB1 MONTHLY 24 DAY DELAY VAR CPN 2.652% DUE 06/25/35 DTD 05/01/05 FC 06/25/05 MOODYS RATING: NOT RATED S&P RATING: CCC 94982RAG0 2,388,000 shares are in your margin account	2,388,000	38.1634	741,465.52 FACTOR: 0.81359745	N/A	N/A	N/A	51,524	— 6.95%

GOVERNMENT AND AGENCY BONDS continue on page 23

Account Holdings as of April 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	WELLS FARGO MTG BKD SECS REMIC SER 2005-17 CL IA2 MONTHLY 24 DAY DELAY CPN 5.500% DUE 01/25/36 DTD 12/01/05 FC 01/25/06 MOODYS RATING: CA 94982SAE3	100,000	27.8904	9,854.95 FACTOR: 0.35334578	N/A	N/A	N/A	1,943	156.55 19.72%
TOTAL GOVERNMENT AND AGENCY BONDS				**$34,067,641.63**		**$2,193,819.28**	**$706,747.85**	**$4,029,662**	**$108,394.30**

Value of Your LPL Financial Account

	Market Value	Cost Basis/ Purchase Cost[1]	Unrealized Gain or Loss	Estimated Annual Income
	$34,072,705.53	**$2,198,883.18** **$5,063.90**	**$706,747.85**	**$4,029,662**

1 Purchase Cost equals Cost Basis less any reinvested dividends, interest, Fixed Income and Alternative Investments

Account statements June 2013.pdf

COMMERCEWEST
INVESTMENT MANAGEMENT
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
June 1 to June 30, 2013

AMERICAN RMBS EQUITY FUND IV A PARTNERSHIP 2316-6098
Investment Objective Growth

AMERICAN RMBS EQUITY FUND IV
A PARTNERSHIP
707 BROADWAY, SUITE 1800
SAN DIEGO CA 92101

Total Value of Your Account as of June 30, 2013 **$28,193,526.35**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2012	**$0.00**
Beginning Value as of June 1, 2013	**$29,337,533.97**
Additions	—
Withdrawals	-696,841.08
Dividends, Interest and Capital Gains	717,997.34
Other Account Activity [1]	-25.00
Increase/decrease in Market Value [2]	-1,165,138.88
Ending Value as of June 30, 2013	**$28,193,526.35**

	Year-End Value December 31, 2012	Value on June 30, 2013
TOTAL VALUE OF YOUR ACCOUNT	**$0.00**	**$28,193,526.35**

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

1 Includes fees, expenses and other activity during the Statement period. See "Account Activity".
2 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.

LPL Financial

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

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Investment Account Strategic Asset Management

Statement Period
June 1 to June 30, 2013

ACCOUNT INVESTMENT SUMMARY as of June 30, 2013

Investment Type	Amount	Percent
Cash and Cash Equivalents	$13,086.16	0.05%
Equities and Options	—	—
Fixed Income	28,180,440.19	99.95%
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$28,193,526.35**	**100.00%**

EARNINGS SUMMARY as of June 30, 2013

Estimated Annual Income	$3,471,281.00
Estimated Accrued Interest	$96,207.25

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Account Holdings as of June 30, 2013

CASH AND CASH EQUIVALENTS

Description	Current Balance
Cash	$2,486.62
Money Market Funds	10,599.54
TOTAL CASH AND CASH EQUIVALENTS	**$13,086.16**

CORPORATE BONDS

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	CWMBS INC REMIC SER 2006-1 CL A3 MONTHLY 24 DAY DELAY CPN 6.000% DUE 03/25/36 DTD 01/01/06 FC 02/25/06 MOODYS RATING: NOT RATED S&P RATING: D 126694XD5	35,000	N/A	N/A	N/A	N/A	N/A	—	$157.50
N/A		125,000		N/A	N/A	N/A	N/A	—	562.50
Total		**160,000**		**—**	**N/A**	**N/A**	**N/A**	**—**	**720.00**
N/A	JP MORGAN ALT LN TR REMIC SER 2006-A1 CL 4A2 MONTHLY 24 DAY DELAY VAR CPN 6.042% DUE 03/25/36 DTD 02/01/06 FC 03/25/06 MOODYS RATING: NOT RATED S&P RATING: D 46627MDB0	9,303,000	N/A	N/A	N/A	N/A	N/A	—	—

CORPORATE BONDS continue on page 4

CORPORATE BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	STRUCTURED ASSET SEC CRP REMIC SER 2005-WF4 CL B2 MONTHLY 0 DAY DELAY VAR CPN 2.700% DUE 11/25/35 DTD 11/23/05 FC 12/25/05 MOODYS RATING: C S&P RATING: D 863576DR2	10,000,000	N/A	N/A	N/A	N/A	N/A	—	—
TOTAL CORPORATE BONDS				—		**0.00**	—	—	**$720.00**

GOVERNMENT AND AGENCY BONDS

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
08/14/12	ACE SECS CORP HM EQTY LN REMIC 2003-HE1 CL M2 MONTHLY 0 DAY DELAY VAR CPN 2.743% DUE 11/25/33 DTD 10/31/03 FC 11/25/03 MOODYS RATING: CA S&P RATING: CC 004421DB6	4,000,000	$81.9238	$336,452.82 FACTOR: 0.10267249	$61.9000	$231,906.13	$104,546.69	$11,265	— 3.35%
N/A	AMERIQUEST MTG SECS INC CMO SER 2004-R3 CL M6 MONTHLY 0 DAY DELAY VAR CPN 3.193% DUE 05/25/34 DTD 04/08/04 FC 05/25/04 MOODYS RATING: C S&P RATING: CC 03072SQH1	1,350,000	20.5853	117,651.84 FACTOR: 0.42335801	N/A	N/A	N/A	18,249	— 15.51%

GOVERNMENT AND AGENCY BONDS continue on page 5

Account Holdings as of June 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
12/21/12	BANC AMER FDG TR REMIC 2006-5 CL 3A3 MONTHLY 24 DAY DELAY CPN 5.750% DUE 09/25/36 DTD 09/01/06 FC 10/25/06 MOODYS RATING: C S&P RATING: CC 05950NBG2	981,000	45.4754	373,822.39 FACTOR: 0.83795323	42.0000	324,777.95	49,044.44	47,266	3,545.01 12.64%
N/A	BANC AMER FDG TR REMIC 2006-7 CL T2A1 MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 10/25/36 DTD 10/01/06 FC 11/25/06 MOODYS RATING: CAA3 S&P RATING: D 05951KAX1	11,250,000	78.1802	949,761.81 FACTOR: 0.10798549	N/A	N/A	N/A	—	—
03/06/09	BANC AMER FDG TR REMIC SER 2007-8 CL X-IO MONTHLY 24 DAY DELAY CPN 7.000% DUE 10/25/37 DTD 09/01/07 FC 10/25/07 S&P RATING: NOT RATED 05953LAM1	13,311,854	23.3157	564,997.87 FACTOR: 0.18203706	0.1500	0.00	564,997.87	169,627	12,722.07 30.02%
N/A	BANC AMER FDG TR REMIC SER 2007-4 CL 1A2 MONTHLY 24 DAY DELAY CPN 5.500% DUE 06/25/37 DTD 05/01/07 FC 06/25/07 MOODYS RATING: C S&P RATING: CC 05953YAU5	2,000,000	32.9979	271,367.86 FACTOR: 0.4111896	N/A	N/A	N/A	45,230	3,392.31 16.67%

GOVERNMENT AND AGENCY BONDS continue on page 6

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	BANC AMER MTG SECS INC REMIC SER 2004-5 CL XB1 MONTHLY 24 DAY DELAY VAR CPN 5.070% DUE 06/25/34 DTD 05/01/04 FC 06/25/04 MOODYS RATING: NOT RATED S&P RATING: CC 05948X7J4	847,000	74.3374	272,590.15 FACTOR: 0.43293171	N/A	N/A	N/A	18,591	— 6.82%
N/A	BANC AMER MTG SECS INC REMIC 2004-11 CL 30IO MONTHLY 24 DAY DELAY CPN 5.500% DUE 01/25/35 DTD 12/01/04 FC 01/25/05 S&P RATING: NOT RATED 05949AD98	10,327,426	9.3728	167,583.45 FACTOR: 0.17312895	N/A	N/A	N/A	98,338	7,375.40 58.68%
N/A	BANC AMER MTG SECS INC REMIC 2004-7 CL 15B1 MONTHLY 24 DAY DELAY VAR CPN 5.353% DUE 08/25/19 DTD 07/01/04 FC 08/25/04 05949AMR8	2,420,000	58.0789	666,875.78 FACTOR: 0.47447267	N/A	N/A	N/A	61,464	— 9.22%
N/A	BANC AMER MTG SECS INC REMIC SER 2004-8 CL 15IO MONTHLY 24 DAY DELAY CPN 5.250% DUE 10/25/19 DTD 09/01/04 FC 10/25/04 S&P RATING: NOT RATED 05949ATT7	2,372,055	10.5237	18,054.62 FACTOR: 0.07232613	N/A	N/A	N/A	9,006	675.52 49.89%

GOVERNMENT AND AGENCY BONDS continue on page 7

Account Holdings as of June 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	BANC AMER MTG TR REMIC SER 2006-3 CL 1A13 MONTHLY 24 DAY DELAY CPN 6.250% DUE 10/25/36 DTD 09/01/06 FC 10/25/06 MOODYS RATING: CAA2 S&P RATING: NOT RATED 05950LAN2	1,104,600	19.4263	165,248.64 FACTOR: 0.77009228	N/A	N/A	N/A	53,165	3,987.39 32.17%
07/31/08	BEAR STEARNS ASSET BKD REMIC SER 2007-HE5 CL M2 MONTHLY 0 DAY DELAY VAR CPN 0.573% DUE 05/25/37 DTD 05/30/07 FC 06/25/07 MOODYS RATING: C S&P RATING: CC 073859AH3	5,000,000	2.6172	130,860.00 FACTOR: 1.00	20.0000	1,000,000.00	-869,140.00	28,650	— 21.89%
N/A	BEAR STEARNS ASSET BKD REMIC SER 2005-TC1 CL M2 MONTHLY 0 DAY DELAY VAR CPN 0.843% DUE 05/25/35 DTD 05/31/05 FC 06/27/05 MOODYS RATING: C S&P RATING: B- 073879VG0	3,417,000	75.81	1,177,831.75 FACTOR: 0.45468621	N/A	N/A	N/A	13,097	— 1.11%
02/26/13	BEAR STEARNS COML MTG REMIC 2007-PWR1 CL H MNTH 10 DAY DLY VAR 144A CPN 5.904% DUE 06/11/40 DTD 06/01/07 FC 07/11/07 MOODYS RATING: C 07388YBE1	5,995,000	13.00	779,350.00 FACTOR: 1.00	8.5001	509,521.18	269,828.82	353,944	— 45.42%

GOVERNMENT AND AGENCY BONDS continue on page 8

Account Holdings as of June 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	C BASS TR REMIC SR 2007-CB1 CL AF2 MONTHLY 24 DAY DELAY VAR CPN 4.635% DUE 01/25/37 DTD 01/01/07 FC 02/25/07 MOODYS RATING: CA S&P RATING: D 1248MGAK0	900,000	53.1488	446,418.00 FACTOR: 0.93327491	N/A	N/A	N/A	38,925	— 8.72%
N/A		250,000		124,010.07 FACTOR: 0.93327491	N/A	N/A	N/A	10,820	—
Total		**1,150,000**		**570,428.07**	**N/A**	**N/A**	**N/A**	**49,745**	**—**
N/A	C BASS TR REMIC 2007-CB1 CL AF1B MONTHLY 24 DAY DELAY VAR CPN 4.635% DUE 01/25/37 DTD 01/01/07 FC 02/25/07 MOODYS RATING: CA S&P RATING: D 1248MGAX2	3,500,000	53.7133	387,533.06 FACTOR: 0.20613839	N/A	N/A	N/A	33,440	— 8.63%
N/A	CENTEX HM EQTY LN TR REMIC SER 2002-A CL MF2 MONTHLY 24 DAY DELAY CPN 6.540% DUE 01/25/32 DTD 01/01/02 FC 02/25/02 MOODYS RATING: C S&P RATING: D 152314EN6	3,451,000	9.8553	114,194.01 FACTOR: 0.33575966	N/A	N/A	N/A	75,779	5,683.46 66.36%

GOVERNMENT AND AGENCY BONDS continue on page 9

Account Holdings as of June 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	CHARLIE MAC TR REMIC SER 2004-2 CL B2 MONTHLY 24 DAY DELAY VAR CPN 5.331% DUE 10/25/34 DTD 11/01/04 FC 12/25/04 MOODYS RATING: CA S&P RATING: CCC 160762AZ3	1,232,000	83.5875	485,247.74 FACTOR: 0.47120673	N/A	N/A	N/A	30,947	— 6.38%
N/A	CHASE FDG MTG LN REMIC 2004-2 CL IM2 MONTHLY 24 DAY DELAY VAR CPN 5.571% DUE 02/25/35 DTD 06/01/04 FC 07/25/04 MOODYS RATING: C S&P RATING: CCC 161546JL1 2,250,000 shares are in your margin account	2,250,000	71.7701	1,088,981.16 FACTOR: 0.67436388	N/A	N/A	N/A	84,529	— 7.76%
N/A	CHL MTG PASS THRU TR REMIC SER 2006-19 CL X MONTHLY 24 DAY DELAY VAR CPN 0.275% DUE 01/25/37 DTD 11/01/06 FC 12/25/06 MOODYS RATING: CAA2 S&P RATING: NOT RATED 12543XAK2	50,000,000	0.9929	174,000.00 FACTOR: 0.35072206	N/A	N/A	N/A	48,000	— 27.70%
N/A		50,000,000		174,000.00 FACTOR: 0.35072206	N/A	N/A	N/A	48,000	—
N/A		41,500,000		144,748.18 FACTOR: 0.35072206	N/A	N/A	N/A	40,474	—
Total		**141,500,000**		**492,748.18**	**N/A**	**N/A**	**N/A**	**136,474**	**—**

GOVERNMENT AND AGENCY BONDS continue on page 10

Account Holdings as of June 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	CITIGROUP MTG LN TR REMIC 2004-HYB4 CL 1M MONTHLY 24 DAY DELAY VAR CPN 2.969% DUE 01/25/35 DTD 12/01/04 FC 01/25/05 MOODYS RATING: NOT RATED S&P RATING: CC 17307GMP0	602,000	33.7526	137,027.13 FACTOR: 0.67437714	N/A	N/A	N/A	12,053	— 8.80%
N/A	CITIGROUP MTG LN TR REMIC SER 2005-3 CL IA2 MONTHLY 24 DAY DELAY VAR CPN 1.830% DUE 07/25/35 DTD 07/01/05 FC 08/25/05 MOODYS RATING: CA S&P RATING: BB+ 17307GTB4 2,210,400 shares are in your margin account	2,210,400	68.0078	182,380.61 FACTOR: 0.12132466	N/A	N/A	N/A	4,907	— 2.69%
N/A	CREDIT SUISSE FIRST BSTN REMIC SER 2002-5 CL M2 MONTHLY 0 DAY DELAY VAR CPN 3.093% DUE 05/25/33 DTD 12/19/02 FC 01/25/03 MOODYS RATING: CA S&P RATING: CCC 2254W0AJ4	21,000,000	70.855	572,524.76 FACTOR: 0.03847729	N/A	N/A	N/A	24,992	— 4.37%
N/A	CREDIT SUISSE FIRST BSTN REMIC SER 2003-5 CL M2 MONTHLY 0 DAY DELAY VAR CPN 2.423% DUE 12/25/33 DTD 08/28/03 FC 09/25/03 MOODYS RATING: CAA1 S&P RATING: B 22541QNL2	2,795,000	66.3737	179,335.93 FACTOR: 0.0966695	N/A	N/A	N/A	6,546	— 3.65%

GOVERNMENT AND AGENCY BONDS continue on page 11

Account Holdings as of June 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	CWABS INC REMIC SR 2005-17 CL 1AF4 MONTHLY 24 DAY DELAY VAR CPN 5.279% DUE 05/25/36 DTD 12/01/05 FC 01/25/06 MOODYS RATING: CA S&P RATING: D 126670QU5	1,218,271	84.6701	885,787.66 FACTOR: 0.85872805	N/A	N/A	N/A	55,226	4,142.02 6.23%
N/A	CWALT INC REMIC SER 2004-3T1 CL M MONTHLY 24 DAY DELAY CPN 6.000% DUE 05/25/34 DTD 03/01/04 FC 04/25/04 S&P RATING: CCC 12667FDT9	395,000	90.1353	263,420.39 FACTOR: 0.73987336	N/A	N/A	N/A	17,534	1,315.13 6.66%
N/A	CWALT INC REMIC 2005-46CB CL A15 MONTHLY 24 DAY DELAY CPN 5.500% DUE 10/25/35 DTD 08/01/05 FC 09/25/05 MOODYS RATING: C S&P RATING: NOT RATED 12667G7J6	611,000	22.2848	81,947.21 FACTOR: 0.6018444	N/A	N/A	N/A	20,224	1,516.87 24.68%
N/A	CWMBS INC REMIC 2003-J4 CL B1 MONTHLY 24 DAY DELAY VAR CPN 5.499% DUE 06/25/33 DTD 04/01/03 FC 05/25/03 S&P RATING: CCC 12669EGW0	2,539,000	41.1039	292,116.29 FACTOR: 0.27990461	N/A	N/A	N/A	39,080	— 13.38%

GOVERNMENT AND AGENCY BONDS continue on page 12

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	CWMBS INC REMIC SER 2004-J2 CL B2 MONTHLY 24 DAY DELAY CPN 5.500% DUE 03/25/34 DTD 02/01/04 FC 03/25/04 12669FQW6	939,450	55.2464	340,687.84 FACTOR: 0.65641573	N/A	N/A	N/A	33,916	2,543.76 9.96%
N/A	FIRST HORIZON MTG TR REMIC 2006-AR4 CL IIA2 MONTHLY 24 DAY DELAY VAR CPN 4.966% DUE 01/25/37 DTD 12/01/06 FC 01/25/07 S&P RATING: CCC 32053AAF3	2,241,000	34.61	170,272.53 FACTOR: 0.21953367	N/A	N/A	N/A	24,431	— 14.35%
10/16/12	FIRST HORIZON MTG TR REMIC 2007-1 CL A6 MONTHLY 24 DAY DELAY CPN 6.000% DUE 03/25/37 DTD 02/01/07 FC 03/25/07 MOODYS RATING: C S&P RATING: D 32053NAF5	1,500,000	44.4081	253,053.18 FACTOR: 0.37989043	31.0000	0.00	253,053.18	34,190	2,564.26 13.51%
N/A	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 MOODYS RATING: C S&P RATING: CC 32113JBV6	7,000,000	5.7761	404,327.00 FACTOR: 1.00	N/A	N/A	N/A	84,910	— 21.00%

GOVERNMENT AND AGENCY BONDS continue on page 13

Account Holdings as of June 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	GS MTG SECS CORP REMIC SER 2006-6 CL AF7 MONTHLY 24 DAY DELAY VAR CPN 5.737% DUE 03/25/36 DTD 04/01/06 FC 05/25/06 MOODYS RATING: C S&P RATING: D 362334MZ4	4,321,000	27.8551	1,203,618.87 FACTOR: 1.00	N/A	N/A	N/A	247,895	— 20.60%
N/A	GS MTG SECS CORP REMIC SER 2006-1F CL 5A2 MONTHLY 24 DAY DELAY CPN 6.000% DUE 02/25/36 DTD 01/01/06 FC 02/25/06 MOODYS RATING: NOT RATED S&P RATING: D 3623418A0	45,000	7.2064	510.08 FACTOR: 0.15729368	N/A	N/A	N/A	424	31.85 83.26%
07/31/08	GSAMP TR REMIC SR 2006-HE7 CL M2 MONTHLY 0 DAY DELAY VAR CPN 0.483% DUE 10/25/36 DTD 10/31/06 FC 11/25/06 MOODYS RATING: C S&P RATING: D 36245EAG3	2,305,000	0.2511	2,615.27 FACTOR: 0.45185623	19.0000	0.00	2,615.27	5,030	— 92.35%
N/A	HARBORVIEW MTG LN TR REMIC SER 2006-1 CL X1 MONTHLY 18 DAY DELAY VAR CPN 2.327% DUE 03/19/36 DTD 01/01/06 FC 02/19/06 MOODYS RATING: C S&P RATING: NOT RATED 41161PB36	35,405,000	8.25	813,033.24 FACTOR: 0.27834906	N/A	N/A	N/A	229,324	— 28.21%

GOVERNMENT AND AGENCY BONDS continue on page 14

Account Holdings as of June 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	HARBORVIEW MTG LN TR REMIC SER 2005-3 CL X2 MONTHLY 18 DAY DELAY VAR CPN 2.250% DUE 06/19/35 DTD 05/01/05 FC 06/19/05 MOODYS RATING: CA S&P RATING: NOT RATED 41161PNK5	13,000,000	0.005	127.94 FACTOR: 0.19684429	N/A	N/A	N/A	—	—
N/A	INDYMAC MBS INC / RAST REMIC SER 2003-A4 CL B3 MONTHLY 24 DAY DELAY CPN 5.750% DUE 05/25/33 DTD 03/01/03 FC 04/25/03 MOODYS RATING: NOT RATED S&P RATING: D 45660NPV1	1,925,000	1.1349	5,188.57 FACTOR: 0.23749797	N/A	N/A	N/A	26,288	1,971.60 6.65%
N/A	INDYMAC MBS INC / RAST REMIC 2003-A11 CL B3 MONTHLY 24 DAY DELAY CPN 5.750% DUE 11/25/33 DTD 09/01/03 FC 10/25/03 MOODYS RATING: NOT RATED S&P RATING: CC 45660NVF9	1,957,000	19.5787	244,085.10 FACTOR: 0.63703984	N/A	N/A	N/A	71,684	5,376.34 29.37%
N/A	JP MORGAN MTG ACQ CORP REMIC SR 2006-FRE2 CL M1 MONTHLY 0 DAY DELAY VAR CPN 0.533% DUE 02/25/36 DTD 03/29/06 FC 04/25/06 MOODYS RATING: C S&P RATING: CCC 46626LHB9	2,500,000	51.8588	1,296,470.00 FACTOR: 1.00	N/A	N/A	N/A	13,325	— 1.03%

GOVERNMENT AND AGENCY BONDS continue on page 15

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	LEHMAN MTG TR REMIC 2005-2 CL 1A4 MONTHLY 24 DAY DELAY CPN 5.750% DUE 12/25/35 DTD 11/01/05 FC 12/25/05 MOODYS RATING: C S&P RATING: D 52520MBR3	5,525,000	35.4566	1,144,916.75 FACTOR: 0.5844462	N/A	N/A	N/A	185,671	13,925.34 16.22%
N/A	LEHMAN MTG TR REMIC 2007-10 CL 1A2 MONTHLY 24 DAY DELAY CPN 6.000% DUE 01/25/38 DTD 11/01/07 FC 12/25/07 S&P RATING: D 52522QAB8	3,050,000	11.0349	60,467.09 FACTOR: 0.17965977	N/A	N/A	N/A	32,877	2,465.83 54.37%
N/A	LEHMAN XS TR REMIC 2007-5H CL 3A4 MONTHLY 24 DAY DELAY VAR CPN 3.208% DUE 05/25/37 DTD 04/01/07 FC 05/25/07 MOODYS RATING: CA 525248AY6 12,455,000 shares are in your margin account	12,455,000	54.412	2,004,569.62 FACTOR: 0.29578948	N/A	N/A	N/A	118,184	— 5.90%
N/A	LONG BEACH MTG LN TR REMIC SER 2003-3 CL M3 MONTHLY 0 DAY DELAY VAR CPN 5.443% DUE 07/25/33 DTD 06/05/03 FC 07/25/03 MOODYS RATING: CA S&P RATING: D 542514EC4	8,000,000	42.769	594,686.79 FACTOR: 0.17380778	N/A	N/A	N/A	75,682	— 12.73%

GOVERNMENT AND AGENCY BONDS continue on page 16

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	MASTER ASSET SECRTZN TR REMIC 2003-4 CL 30AX MONTHLY 24 DAY DELAY CPN 5.500% DUE 05/25/33 DTD 04/01/03 FC 05/25/03 MOODYS RATING: BA3 S&P RATING: AA+ 55265KWP0	48,309,265	16.2877	372,010.31 FACTOR: 0.04727862	N/A	N/A	N/A	125,619	9,421.48 33.77%
N/A	MERRILL LYNCH MTG INV TR REMIC 05-ACR1 CL M5 144A MONTHLY 0 DAY DELAY VAR CPN 1.230% DUE 06/28/35 DTD 08/16/05 FC 09/28/05 MOODYS RATING: C S&P RATING: CCC 55311XAE5	2,351,000	N/A	N/A FACTOR: 1.00	N/A	N/A	N/A	—	—
N/A	MORGAN STANLEY ABS CAP I REMIC SER 2005-HE5 CL M3 MONTHLY 0 DAY DELAY VAR CPN 0.643% DUE 09/25/35 DTD 10/28/05 FC 11/25/05 MOODYS RATING: C S&P RATING: CCC 61744CUU8	1,362,707	44.3875	604,871.56 FACTOR: 1.00	N/A	N/A	N/A	8,762	— 1.45%
N/A	MORGAN STANLEY ABS CAP I REMIC SER 2007-HE6 CL A1 MONTHLY 0 DAY DELAY VAR CPN 0.253% DUE 05/25/37 DTD 05/31/07 FC 06/25/07 MOODYS RATING: CA S&P RATING: CCC 61755CAA0	3,000,000	52.4334	151,302.34 FACTOR: 0.096187	N/A	N/A	N/A	730	— 0.48%

GOVERNMENT AND AGENCY BONDS continue on page 17

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	MORGAN STANLEY MTG LN TR REMIC 2007-6XS CL 2A7M MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 02/25/47 DTD 03/01/07 FC 04/25/07 MOODYS RATING: C S&P RATING: CCC 61751JAP6	5,191,000	34.7814	1,805,502.47 FACTOR: 1.00	N/A	N/A	N/A	—	—
N/A		3,000,000		1,043,442.00 FACTOR: 1.00	N/A	N/A	N/A	—	—
Total	3,000,000 shares are in your margin account	**8,191,000**		**2,848,944.47**	**N/A**	**N/A**	**N/A**	**—**	**—**
N/A	MORGAN STANLEY MTG LN TR REMIC 2007-14AR CL 3A4 MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 10/25/37 DTD 10/01/07 FC 11/25/07 MOODYS RATING: NOT RATED S&P RATING: NOT RATED 61756VAV1	63,980,000	0.75	209,143.93 FACTOR: 0.43585273	N/A	N/A	N/A	—	—
N/A	PEOPLES CHOICE HM LN SEC REMIC SER 2005-4 CL 1A2 MONTHLY 0 DAY DELAY VAR CPN 0.453% DUE 08/25/35 DTD 10/26/05 FC 11/25/05 MOODYS RATING: CAA2 S&P RATING: D 71085PDD2	800,000	84.4944	147,575.56 FACTOR: 0.21832152	N/A	N/A	N/A	791	— 0.54%

GOVERNMENT AND AGENCY BONDS continue on page 18

Account Holdings as of June 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	POPULAR ABS INC REMIC SER 2005-2 CL M4 MONTHLY 24 DAY DELAY CPN 6.063% DUE 04/25/35 DTD 03/01/05 FC 04/25/05 MOODYS RATING: C S&P RATING: CC 73316PCN8	2,000,000	4.8506	79,297.32 FACTOR: 0.81739705	N/A	N/A	N/A	99,117	7,433.82 24.99%
N/A	RASC SER TR REMIC 2006-EMX8 CL AI3 MONTHLY 0 DAY DELAY VAR CPN 0.363% DUE 08/25/36 DTD 09/28/06 FC 10/25/06 MOODYS RATING: CA S&P RATING: CC 74924UAC5	700,000	62.7057	438,939.90 FACTOR: 1.00	N/A	N/A	N/A	2,541	— 0.58%
N/A	RENAISSANCE HM EQTY LN REMIC SER 2006-4 CL AF1 MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 01/25/37 DTD 12/01/06 FC 01/25/07 MOODYS RATING: CA S&P RATING: CCC 75970HAD2	4,686,000	58.3591	197,493.02 FACTOR: 0.07221724	N/A	N/A	N/A	—	—
N/A	RESIDENTIAL ACCR LNS INC REMIC SER 2004-QA4 CL M2 MONTHLY 24 DAY DELAY VAR CPN 3.661% DUE 09/25/34 DTD 09/01/04 FC 10/25/04 MOODYS RATING: C S&P RATING: D 76110HZQ5	1,500,000	2.6221	9,212.61 FACTOR: 0.23422987	N/A	N/A	N/A	12,862	— 39.62%

GOVERNMENT AND AGENCY BONDS continue on page 19

Account Holdings as of June 30, 2013

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	RESIDENTIAL ASSET SECS REMIC SR 2004-KS7 CL AI6 MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 08/25/34 DTD 07/01/04 FC 08/25/04 MOODYS RATING: CAA2 S&P RATING: D 76110WB21	280,000	89.2854	93,024.75 FACTOR: 0.37210033	N/A	N/A	N/A	—	—
N/A	SALOMON HM EQTY LN TR REMIC 2001-1 CL MF2 MONTHLY 10 DAY DELAY CPN 6.310% DUE 10/25/31 DTD 10/15/01 FC 11/25/01 MOODYS RATING: NOT RATED S&P RATING: D 79550DAE9	1,598,000	17.3436	159,999.73 FACTOR: 0.57730222	N/A	N/A	N/A	58,211	4,365.87 36.38%
05/13/08	STRUCTURED ASSET INVT LN REMIC SR 2003-BC11 CL M4 MONTHLY 0 DAY DELAY VAR CPN 4.693% DUE 10/25/33 DTD 10/25/03 FC 11/25/03 MOODYS RATING: CA S&P RATING: CC 86358EEQ5	7,992,000	93.7596	164,732.96 FACTOR: 0.02198413	36.0000	0.00	164,732.96	8,245	— 5.01%
N/A	STRUCTURED ASSET SEC CRP REMIC SER 2004-8 CL B1X MONTHLY 0 DAY DELAY VAR CPN 1.994% DUE 07/25/34 DTD 06/30/04 FC 07/25/04 S&P RATING: NOT RATED 86359BWT4	28,100,000	N/A	N/A FACTOR: 0.6955501	N/A	N/A	N/A	—	—

GOVERNMENT AND AGENCY BONDS continue on page 20

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
04/04/12	TBW MTG BKD TR REMIC SER 2007-1 CL A3 MONTHLY 24 DAY DELAY VAR CPN 5.880% DUE 03/25/37 DTD 02/01/07 FC 03/25/07 MOODYS RATING: CA S&P RATING: D 87222EAC2	188,000	57.8745	105,039.03 FACTOR: 0.96539626	52.7500	92,664.50	12,374.53	10,671	— 10.16%
N/A	WACHOVIA MTG LN TR LLC REMIC 2005-B CL 1A2 MONTHLY 19 DAY DELAY VAR CPN 2.952% DUE 10/20/35 DTD 11/01/05 FC 12/20/05 S&P RATING: D 92977YBS9	3,678,000	1.1283	1,239.30 FACTOR: 0.02986369	N/A	N/A	N/A	3,242	— 61.63%
N/A	WAMU MTG PASS THRU CTFS REMIC SER 2003-AR7 CL B3 MONTHLY 24 DAY DELAY VAR CPN 2.318% DUE 08/25/33 DTD 06/01/03 FC 07/25/03 MOODYS RATING: CA S&P RATING: CC 9292276Q4	2,530,000	69.8455	533,608.26 FACTOR: 0.30196986	N/A	N/A	N/A	17,709	— 3.32%
N/A	WAMU MTG PASS THRU CTFS REMIC 2007-OA6 CL 2XPP MONTHLY 24 DAY DELAY VAR CPN 0.204% DUE 07/25/47 DTD 06/01/07 FC 07/25/07 MOODYS RATING: CA 92927BAG7	107,000,000	N/A	N/A FACTOR: 0.00161698	N/A	N/A	N/A	—	—

GOVERNMENT AND AGENCY BONDS continue on page 21

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	WASHINGTON MUT MTG SECS REMIC 2004-RA2 CL CB1 MONTHLY 24 DAY DELAY VAR CPN 6.964% DUE 07/25/33 DTD 06/01/04 FC 07/25/04 S&P RATING: D 939336S20 2,100,000 shares are in your margin account	2,100,000	86.9117	1,204,864.27 FACTOR: 0.6601469	N/A	N/A	N/A	96,542	— 8.01%
N/A	WASHINGTON MUT MTG SECS REMIC SR 2004-AR14 CL B2 MONTHLY 24 DAY DELAY VAR CPN 2.435% DUE 01/25/35 DTD 12/01/04 FC 01/25/05 S&P RATING: CC 939336W66	2,797,000	7.9435	198,152.53 FACTOR: 0.8918571	N/A	N/A	N/A	60,741	— 30.65%
N/A	WASHINGTON MUT MTG SECS REMIC 2005-1 CL B1 MONTHLY 24 DAY DELAY VAR CPN 5.537% DUE 03/25/35 DTD 02/01/05 FC 03/25/05 MOODYS RATING: NOT RATED S&P RATING: D 9393363A9	6,200,000	4.883	219,184.88 FACTOR: 0.72398936	N/A	N/A	N/A	248,541	— 13.39%
N/A	WELLS FARGO ALT LN TR REMIC 2007-PA5 CL IIA2 MONTHLY 24 DAY DELAY CPN 6.000% DUE 11/25/22 DTD 10/01/07 FC 11/25/07 S&P RATING: B+ 949922AU2	1,034,000	83.4099	166,481.15 FACTOR: 0.19303095	N/A	N/A	N/A	11,975	898.17 7.19%

GOVERNMENT AND AGENCY BONDS continue on page 22

GOVERNMENT AND AGENCY BONDS (continued)

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
N/A	WELLS FARGO MTG BKD SECS REMIC SER 2005-17 CL IA2 MONTHLY 24 DAY DELAY CPN 5.500% DUE 01/25/36 DTD 12/01/05 FC 01/25/06 MOODYS RATING: CA 94982SAE3	100,000	32.6039	10,571.26 FACTOR: 0.324233	N/A	N/A	N/A	1,783	133.75 16.87%
TOTAL GOVERNMENT AND AGENCY BONDS				**$28,180,440.19**		**$2,158,869.76**	**$552,053.76**	**$3,471,281**	**$95,487.25**

Value of Your LPL Financial Account	Market Value	Cost Basis/ Purchase Cost[1]	Unrealized Gain or Loss	Estimated Annual Income
	$28,193,526.35	**$2,171,955.92** **$13,086.16**	**$552,053.76**	**$3,471,281**

1 Purchase Cost equals Cost Basis less any reinvested dividends, interest, Fixed Income and Alternative Investments

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SAM

LPL Financial

Strategic Asset Management
Confidential Client Profile (Schedule C)

Instructions: Please complete all applicable sections of the Confidential Client Profile in full with the assistance of your investment advisor representative.

Fax the completed form to Advisory New Accounts at (858) 455-8070.

LPL Account Number	IAR ID
7395-4378	7NPB

Section I: Account Information (Complete this section for all SAM accounts)

1. Fill in your current residency status: (choose one)
(•) U.S. Citizen ( ) Resident Alien ( ) Non-Resident Alien

Country of Citizenship/Registration:

2. Registration Type

( ) Individual	( ) Personal Trust*	(•) Partnership*
( ) Joint Tenants With Rights Of Survivorship	( ) IRA/SEP/SIMPLE*	( ) Investment Club*
( ) Tenants in Common	( ) Qualified Retirement Plan/403(b)(7)*	( ) Guardianship/Conservatorship*
( ) Tenants by Entirety	( ) Corporate*	( ) Estate*
( ) Community Property	( ) Limited Liability Company*	( ) Other (please specify below)*
( ) Custodian for Minor	( ) Non-Profit Organization*	

*Additional documents required

3. Account Registration
American RMBS Equity Fund IV

4. Substitute W9
27-1771079
Social Security Number or Tax ID Number or Employer Identification Number

5. Mailing Address
707 Broadway, Suite 1800
San Diego, CA 92101

Residence Address (no P.O. boxes) [✓] Same as mailing address

Home Phone	Business Phone	Fax Number	Email
949-676-9574	619-236-0444	949-861-6261	mbishop@absig.com

6. Investment Advisor Representative (IAR)

Name	IAR ID
Ron Chamberlin	7NPB

Address
2111 Business Center Dr, #100
Irvine, CA 92612

Business Phone	Fax Number	Email
949-474-5263	949-251-6958	ron.chamberlin@lpl.com

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LPL Account Number 7395-4378 **SAM**

Section II: Account Holder Information

For corporate, LLC, non-profit organization, partnership, and investment club accounts, this section is NOT required. Please complete the appropriate supplementary documentation instead. For additional account holders, please complete the Supplemental Account Application (F1CI).

1.

Primary Account Holder/Trustee/Minor/Decedent: Mark Bishop
Social Security Number: 553-19-6111
Residence Address (no P.O. boxes) ☐ Same as account: 18117 Aliso Canyon, Rancho Santa Fe, CA 92067
Date of Birth: 5/12/1966 (MM/DD/YYYY)
 # Dependents:
Country of Citizenship: US
ID Type: Drivers License
Place of Issuance: CA
ID Number: N2460679
ID Issuance Date: 5/12/1972 (MM/DD/YYYY)
ID Expiration Date: 2011 (MM/DD/YYYY)
Occupation (former occupation if retired): Executive
Nature of Business: Finance
Home Phone: 949-678-9574
Employer Name ☐ (mark here if retired or unemployed): ABS Investment Group
Business Phone: 619-236-0444
Employment Address (no P.O. boxes): 707 Broadway, Suite 1800, San Diego, CA 92101
Has the client ID been verified? (●) Yes ( ) No

☐ Mark here if you are an employee of or related to an employee of any exchange or member firm of any exchange or member of the FINRA or officer of a bank, trust company, or insurance company, then complete the following:

Name: **Relationship:** **Name of Firm:**

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months, then complete the following:

Name of Corporation(s):

2.

Secondary Account Holder/Trustee/Custodian/Fiduciary:
Social Security Number:
Residence Address (no P.O. boxes) ☐ Same as account:
Date of Birth: (MM/DD/YYYY)
 # Dependents:
Country of Citizenship:
ID Type:
Place of Issuance:
ID Number:
ID Issuance Date: (MM/DD/YYYY)
ID Expiration Date: (MM/DD/YYYY)
Occupation (former occupation if retired):
Nature of Business:
Home Phone:
Employer Name ☐ (mark here if retired or unemployed):
Business Phone:
Employment Address (no P.O. boxes):
Has the client ID been verified? ( ) Yes ( ) No

☐ Mark here if you are an employee of or related to an employee of any exchange or member firm of any exchange or member of the FINRA or officer of a bank, trust company, or insurance company, then complete the following:

Name: **Relationship:** **Name of Firm:**

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months, then complete the following:

Name of Corporation(s):

Account documents.pdf

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LPL Account Number: 7395-4378 SAM

Section III: Investment Objective

1. **Select the investment objective that most accurately reflects the goals for this account (choose one only):**

The investment objectives are overall objectives for the entire account and may be inconsistent with a particular holding and the account's performance at any time. The ratio between fixed income and equity positions in an account may vary from those described due to short term market fluctuations, special market situations, or other unique circumstances which may apply. Please note, achievement of the stated investment objective is a long-term goal for the account. Please refer to the last page of this form for an illustration of these objectives. The terms "fixed income" and "equity" refer to individual securities and mutual funds containing these types of securities.

- ○ **A. Income with Capital Preservation.** Designed as a longer term accumulation account, this is the most conservative investment objective. The account should be invested approximately 75% in primarily conservative fixed income and up to 25% in conservative equities. Emphasis is placed on generation of current income and prevention of capital loss.
- ◉ **B. Income with Moderate Growth.** This account should be invested approximately 60% in fixed income and up to 40% in primarily income-oriented equities. Emphasis is placed on generation of current income with a secondary focus on moderate capital growth.
- ○ **C. Growth with Income.** This account could be invested up to approximately 75% in high quality equities (including foreign equities) and 25% in fixed income. Emphasis is placed on modest capital growth with some focus on generation of current income.
- ○ **D. Growth.** This account could be invested up to 100% in equities or aggressive fixed income, which may include foreign equities and foreign bonds. Emphasis is placed on achieving high long-term growth and capital appreciation. There is little focus on generation of current income.
- ○ **E. Aggressive Growth.** This account should generally be invested 100% in equities, a substantial portion of which may be foreign equities. Emphasis is placed on aggressive growth and maximum capital appreciation. No focus on generation of current income. This objective has the highest level of risk and is for investors with a longer time horizon.

Attention Client: If you select an objective and cross it out to choose another, you must initial next to this change.

Section IV: Financial Information and Experience

1. **What is your total annual income?**

○ A. Less than $25,000	○ B. Between $25,000 and $49,999	○ C. Between $50,000 and $99,999
○ D. Between $100,000 and $249,999	○ E. Between $250,000 and $499,999	○ F. Between $500,000 and $749,999
○ G. Between $750,000 and $999,999	◉ H. $1,000,000 and over	

2. **What is your net worth?** (exclusive of primary residence)

○ A. Less than $25,000	○ B. Between $25,000 and $49,999	○ C. Between $50,000 and $99,999
○ D. Between $100,000 and $249,999	○ E. Between $250,000 and $499,999	○ F. Between $500,000 and $749,999
○ G. Between $750,000 and $999,999	◉ H. $1,000,000 and over	

3. **What is your liquid net worth?** (exclusive of real estate; only includes assets that can be liquidated within 30 days)

○ A. Less than $25,000	○ B. Between $25,000 and $49,999	○ C. Between $50,000 and $99,999
○ D. Between $100,000 and $249,999	○ E. Between $250,000 and $499,999	○ F. Between $500,000 and $749,999
○ G. Between $750,000 and $999,999	◉ H. $1,000,000 and over	

4. **What is your federal tax bracket?**

25 %

5. **Source of Client Wealth and Income** (inheritance, employment salary, sale of real estate, etc.)

Employment

6. **Investment Experience** (number of years):

____	None	20	Bonds	20	Stocks	____	Annuities
____	Mutual Funds	____	Margin	20	Partnerships	____	Options
____	Other (please specify):						

7. **Is this a retirement account?**

- ○ Yes
- ◉ No (skip to Section V)

How do you plan on taking distributions?

- ○ One lump sum (skip to Section V)
- ○ Periodic distributions over time

How many years until retirement?

If known, specify the approximate amount of the distributions and how often:

$ ____ ○ Monthly ○ Quarterly ○ Annually ○ Other

SAM

aggressive investments

of personal reasons or issues reflected in

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LPL Account Number 7395-4378 **SAM**

Section VII: Institutional Accounts (required for business and company sponsored retirement accounts)

Complete this section if this is a corporate account, partnership, sponsor-directed 401(k) or 403(b), sponsor-directed qualified retirement plan, or a retirement trust.

1. **State your type of business**

Investment Management

2. Is your company's stock publicly traded?

◯Yes ◉No

3. Is this a sponsor-directed qualified retirement plan?

◯Yes ◉No (if no, skip to Section VIII)

What is the total value of the plan? $

Classify the corporation's employees (choose one):

◯Young employees, few years of service, many years until retirement
◯Older work force of lengthy service, nearing retirement
◯Even distribution over all age groups and years of service

Identify the relationship between plan contributions and distributions (choose one):

◯Contributions will exceed distributions for at least the next two years
◯Contributions currently exceed distributions but this could change within the next two years
◯Distributions will exceed contributions for at least the next two years
◯Distributions currently exceed contributions but this could change within the next two years

Are any major participants planning to retire in the next three years?

◯Yes ◯No (if no, skip to Section VIII)

Please specify the estimated distributions of the major retiring participants:

	Approximate Distribution	Date of Distribution
Participant 1:	$	MM / DD / YYYY
Participant 2:	$	MM / DD / YYYY
Participant 3:	$	MM / DD / YYYY
Participant 4:	$	MM / DD / YYYY
Participant 5:	$	MM / DD / YYYY
Participant 6:	$	MM / DD / YYYY
Participant 7:	$	MM / DD / YYYY

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LPL Account Number 7395-4378

SAM

Section VIII: Client Acknowledgment and Execution

Under penalties of perjury, Client hereby certifies that (1) the number shown in this Agreement is Client's correct taxpayer identification number (or Client is waiting for a number to be issued), **and** (2) Client is not subject to backup withholding because (a) Client is exempt from backup withholding, or (b) Client has not been notified by the Internal Revenue Service (IRS) that Client is subject to backup withholding as a result of failure to report all interest or dividends, or (c) the IRS has notified Client that Client is no longer subject to backup withholding **and**, (3) Client is a U.S. person (including a U.S. resident alien). (Cross out (2) if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.) **The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.**

I understand that LPL will supply my name to issuer of any securities held in my account so that I might receive important information regarding them, unless I notify LPL in writing not to do so.

Agreement and Confidential Client Profile agreed to on: 3/12/2010 (MM/DD/YYYY) [Date is required]

I acknowledge that proceeds from liquefied home equity on any primary residence will not be used to fund this account.

Client hereby attests to the accuracy of all information contained in this Confidential Client Profile, including the investment objective selected on page 3. This Confidential Client Profile is part of your Strategic Asset Management (SAM) Client Agreement and is incorporated by reference under Section 15 of the Agreement. The Agreement contains a pre-dispute arbitration clause in Section 12 which begins on page 7. Client acknowledges receiving a copy of the Agreement and of LPL's Strategic Asset Management Program Brochure.

Mark Bishop — Client Signature

Client Name (print; if tenant in common, indicate % of ownership)

Client Name (print; if tenant in common, indicate % of ownership) — Client Signature

I have reviewed this document for completeness, accuracy, suitability, and proper disclosures. If this account was opened online and the automated check against the OFAC list of specially designated nationals (SDNs) resulted in a match to the client's name, I have confirmed that the client is not the same person listed by OFAC. If this account is opened by the home office, I have checked the list of SDNs and either the client's name does not appear or, if the client's name is the same as the name of a SDN, the client is not the person listed by OFAC. I have also provided the client with the CIP disclosure either in writing or verbally.

Ron Chamberlin — Investment Advisor Representative Signature

Investment Advisor Representative Name (print)

Investment Advisor Representative Name (print) — Investment Advisor Representative Signature

Accepted by LPL Financial Corporation

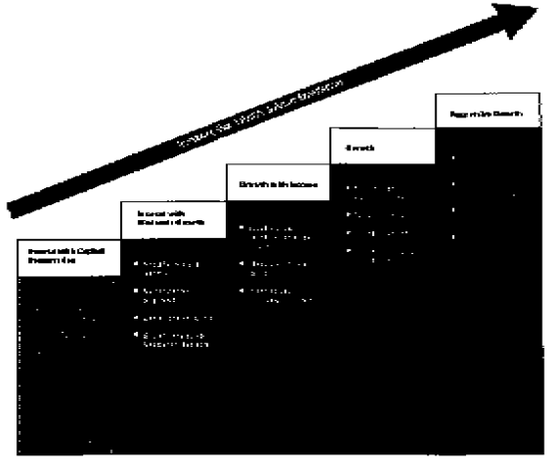
Signature — Date

One Beacon Street, 22nd Floor, Boston, Massachusetts 02108-3106
9785 Towne Centre Drive, San Diego, California 92121

Historical Trade-Off Between Risk, Volatility & Investment Returns

This chart illustrates five investment objectives. Match your investment needs with the characteristics listed below each investment objective to determine which objective most accurately represents your situation.

The Strategic Asset Management account is designed for investors with a longer-term investment horizon.



Account documents.pdf

SMA

LPL Financial

Account Update - Margin Approval - SAM/SAM II

Instructions: This is an amendment to the Strategic Asset Management (SAM) or Strategic Asset Management II (SAM II) Account Agreement. This form must be signed in conjunction with the previously executed SAM or SAM II Account Agreement, by and between LPL Financial LLC (LPL), a Registered Investment Advisor and broker/dealer, an LPL Financial Advisor and Investment Advisor Representative (IAR) and Client. **Please fax the completed form to New Accounts, (858) 546-0874.**

1.

Account Number	Social Security/Tax ID Number	Rep ID
7395-4378	27-1771079	7NPB

Account Registration

American RMBS Equity Fund IV

2. **The SAM or SAM II Account Agreement is Amended to Incorporate the Following:**

Operation of Your Advisory Account on Margin

Margin

Purchase of securities on credit, commonly known as margin purchases, enable you to increase the buying power of its equity and thus increase the potential for profit - or loss. This presents an additional element of risk for a SAM or SAM II account. A portion of the purchase price is deposited when buying securities on margin and LPL extends credit for the remainder. This loan appears as a debit balance on your monthly statement of account. LPL charges interest on the debit balance and requires margin clients to maintain securities, cash, or other property to secure repayment of funds advanced and interest due. For performance illustration purposes, the margin interest charge will be treated as a withdrawal and will, therefore, not negatively impact the performance figures reflected on your quarterly advisory reports.

Interest will be charged for any credit extended to you for the purpose of buying, trading or carrying any securities, for any cash withdrawals made against the collateral of securities, or for any other extension of credit. This interest charge is in addition to the annual investment advisory fee charged in connection with the SAM or SAM II account. The annual investment advisory fee will not be charged on any margin debit balance, rather only on the net equity of the account. When funds are paid in advance of settlement on the sale of securities, interest will be charged on such amount from the date of payment until settlement date. In the event that any other charge is made to the account for any reason, interest may be charged on the resulting debit balances.

Deposit of Collateral, Lien on Accounts and Liquidation

In the event that additional collateral is requested, you may deposit cash or acceptable securities into your margin account. If satisfactory collateral is not promptly deposited after a request is made, LPL may, at its discretion, liquidate securities held in any of your accounts. In this connection, pursuant to this Agreement, LPL retains a security interest in all securities and other property held in its accounts, including securities held for safekeeping, so long as any credit extended remains outstanding. Notwithstanding any other provision in this agreement to the contrary, any lien or security interest arising out of fees, charges or other obligations owed to LPL by an account of an individual retirement account or other plan subject to the prohibited transaction provisions of section 4975(c) of the Internal Revenue Code ("Plan") shall be limited to and enforceable against only the assets of such Plan account and any lien or security interest arising out of fees, charges or other obligations owed to LPL by a non-Plan account shall not extend to or be enforceable against the assets of any Plan account.

Liquidation

If, in LPL's discretion, LPL considers it necessary for its protection to require additional collateral or in the event that a petition in bankruptcy, or for appointment of a receiver is filed by or against you, or an attachment is levied against your accounts, or in the event of your death, LPL shall have the right to sell any or all securities, commodities, and other property in your accounts with LPL, whether carried individually or jointly with others, to buy any or all securities, commodities, and other property which may be short in such accounts, to cancel any open orders and to close any or all outstanding contracts, all without demand for margin or additional margin, notice of sale or purchase or other notice or advertisement. Any such sales or purchases may be made at LPL's discretion on any exchange or other market where such business is usually transacted, or at public auction or private sale. It is understood that a prior demand, or call, or prior notice of the time and place of such a sale shall not be considered a waiver of LPL's right to sell or buy without demand or notice. The liquidation of securities in a SAM or SAM II account to cover a margin debit balance may be disadvantageous to the long term management of the SAM or SAM II account.

Payment of Indebtedness upon Demand and Liability for Costs of Collection

You shall at all times be liable for the payment upon demand of any debit balance or other obligations owing in any of your LPL accounts and you shall be liable to LPL for any deficiency remaining in any such accounts in the event of the liquidation thereof, in whole or in part, by LPL or by you; and, you shall make payments of such obligation and indebtedness upon demand. The reasonable costs and expense of collection of the debit balance, recovery of securities, and any unpaid deficiency in the accounts of the undersigned with LPL, including, but not limited to, attorneys' fees, incurred and payable or paid by LPL shall be payable to LPL by you.

Pledge of Securities

Securities purchased on a cash or margin basis may be hypothecated under circumstances which will permit the co-mingling thereof with securities carried for other customers, but such securities, if hypothecated, will be withdrawn from hypothecation as soon as practicable upon receipt of payment there for.

On May 28, 2003, the tax rate on qualified dividends was reduced to 15% for most taxpayers and 5% for those taxpayers in the lowest income bracket. Substitute payments, or payments in lieu of dividends, do not qualify for the reduced rate.

Pursuant to industry standards, in signing this agreement, you are agreeing to allow LPL to borrow your stock from your margin account. If your stock pays a dividend or other distribution and is loaned out over the record date for that payment, you may receive a substitute payment or payment in lieu of dividends instead of a qualifying dividend. Substitute payments are subject to a higher tax rate and would be reported to you on an IRS Form 1099-MISC instead of an IRS Form 1099-DIV.

Since you may be subject to a higher tax rate on these payment types, you should consult with your tax advisor to discuss the possible implications of this exception from the reduced tax rates. By signing this agreement, you further certify that no tax advice has been given to you by LPL, unless your Financial Advisor is employed, as an outside activity, as a duly qualified tax advisor for which separate and distinct consideration may have been paid and is unrelated in any way to LPL. By entering into this agreement, you expressly assume responsibility for tax implications and adverse consequences, which may arise from entering into this agreement.

Margin Requirements and Credit Charges

You will at all times maintain such securities, commodities, and other property in your accounts for margin purposes as LPL shall require from time to time and the monthly debit balances or adjusted balances in your accounts shall be charged, in accordance with LPL's practice, with interest at a rate permitted by the laws of the Commonwealth of Massachusetts. It is understood that the interest charge made to your account at the close of a charge period will be added to the opening balance for the next charge period unless paid.

Interest Rates

Interest charged on any debit balances in cash accounts or credit extended in margin accounts may be up to 3.00 percentage points above the LPL Base Lending Rate. The LPL Base Lending Rate will be set with reference to commercially recognized interest rates, industry conditions relating to the extension of credit, and general market conditions. The LPL Base Lending Rate will change without prior notice. When the LPL Base Lending Rate changes during an interest period, interest will be calculated according to the number of days each rate is in effect during that period. If the rate of interest charged to you is changed for any other reason, you will be notified at least 30 days in advance. LPL retains a portion of any interest charged on margin debit balances.

Interest Period

Interest charges for the period shown on monthly statements reflect the second to last business day of the previous month through the third to last business day of the current month. Accordingly, the interest charges for the period shown on your monthly statement are based only on the daily net debit and credit balances for the interest period.

Method of Interest Computation

At the close of each Interest Period during which credit was extended to you, an interest charge is computed by multiplying the average daily debit balance by the applicable schedule rate and by the number of days during which a debit balance was outstanding and then dividing by 360. If there has been a change in the LPL Base Lending Rate, separate computations will be made with respect to each rate of charge for the appropriate number of days at each rate during the Interest Period. The interest charge for credit extended to your account at the close of the Interest Period is added to the opening debit balance for the next Interest Period unless paid.

With the exception of credit balances in your short account, all other credit and debit balances in each portion of your account will be combined daily and interest will be charged on the resulting average daily net debit balances for the interest period. If there is a debit in the cash account (type 1) and there is a margin account (type 2), interest will be calculated on the combined debit balance and charged to the margin account. Any credit balance in the short account is disregarded because such credit collateralizes the stock borrowed for delivery against the short sale. Such credit is disregarded even if you should be long the same position in your margin account (i.e., short against the box).

If the security that you sold short (or sold against the box) appreciates in market price over the selling price, interest will be charged on the appreciation in value. Correspondingly, if the security that you sold short depreciates in market price, the interest charged will be reduced since your average debit balance will decline. This practice is known as "marking to market." The daily closing price is used to determine any appreciation or depreciation of the security sold short.

If your account is short shares of stock on the record date of a dividend or other distribution, however such short position occurs, your account will be charged the amount of dividend or other distribution on the following Business Day.

General Margin Policies

The amount of credit that may be extended by LPL and the terms of such extension are governed by rules of the Federal Reserve Board and FINRA. Within the guidelines of these rules and subject to adjustment required by changes in such rules and our business judgement, LPL establishes certain policies with respect to margin accounts. If the market value of securities in a margin account declines, LPL may require the deposit of additional collateral. Margin account equity is the current market value of securities and cash deposited as security less the amount owed LPL for credit extended at its discretion. It is LPL's general policy to require margin account holders to maintain equity in its margin accounts of the greater of 30% of the current market value or $3.00 per share for common stock purchased on margin. LPL applies other standards for other types of securities. For example, securities may be ineligible for margin credit from time to time. For information with respect to general margin maintenance policy as to municipal bonds, corporate bonds, listed United States Treasury notes and bonds, mutual funds, and other securities, as well as information about the eligibility of particular securities for margin credit, please contact your LPL representative. Notwithstanding the above general policies, LPL reserves the right, at its discretion, to require the deposit of additional collateral and to set required margin at a higher or lower amount with respect to particular accounts or classes of accounts as it deems necessary. In making these determinations, LPL may take into account various factors including the size of the account, liquidity of a position, unusual concentrations of securities in an account, or a decline of credit worthiness. If you fail to meet a margin call in a timely manner, some or all of your positions may be liquidated.

Credit Investigation

LPL may exchange credit information about you with others. LPL may request a credit report on you and upon request, LPL will state the name and address of the consumer reporting agency that furnished it. If LPL extends, updates, or renews your credit, LPL may request a new credit report without notifying you.

Account LPL Account Number: 7395-4378

SMA

3. **Client Acknowledgment and Agreement**

Date Margin Disclosure Statement provided:
09/05/2012
MM/DD/YYYY

Agreed to on:
09/05/2012
MM/DD/YYYY

The undersigned acknowledge receiving a copy of this agreement.

Client Signature	Mark Bishop Client Name (print)	09/05/2012 Date
Client Signature	Client Name (print)	Date
Investment Advisor Representative Signature	Ron Chamberlin Investment Advisor Representative Name (print)	09/05/2012 Date

Accepted: LPL Financial LLC

Signature	Date

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03/15/2010 10:50AM (GMT-07:00)

LPL Financial

Partnership Account Authorization

PA

Instructions: Use this form to designate individual(s) authorized to give instructions on behalf of a partnership.

Fax the completed form to Brokerage New Accounts at (858) 546-0874 or Advisory New Accounts at (858) 455-0370.

Account Number	Rep ID
7396-4378	7NPB

Section I: Partnership Information

Name of Partnership
American RMBS Equity Fund IV

ID Type
(●) Partnership Agreement ( ) Business License

ID Number (if applicable)*	State of Issuance	*If no ID number is available, additional documentation is required.
100059506	Delaware	

ID Issuance Date	ID Expiration Date (if applicable)
01/2010 MM/YYYY	MM/YYYY

Section II: General Partners Information

If there is only one general partner, please also send the actual partnership agreement documenting that there is a limited partner.

1.

General Partner	Social Security Number
Mark Bishop	553-19-5111

Residence Address (no P.O. boxes) ( ) Same as account
18117 Aliso Canyon
Rancho Santa Fe, CA 92067

Date of Birth	Home Phone
5/12/1956	949-678-9574

Country of Citizenship	ID Type	Place of Issuance
US	Drivers License	CA

ID Number	ID Expiration Date
N2460579	2011

( ) Mark here if you or any member of your immediate family is employed by a bank, insurance company, investment advisor, or broker/dealer, then complete the following:

Name _____ Name of Firm _____

( ) Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months, then complete the following:

Name _____ Name of Firm _____

2.

General Partner	Social Security Number

Residence Address (no P.O. boxes) ( ) Same as account

Date of Birth	Home Phone

Country of Citizenship	ID Type	Place of Issuance

ID Number	ID Expiration Date

( ) Mark here if you or any member of your immediate family is employed by a bank, insurance company, investment advisor, or broker/dealer, then complete the following:

Name _____ Name of Firm _____

( ) Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months, then complete the following:

Name _____ Name of Firm _____

T-467 P012/020 F-607
9492516958
03-15-'10 10:43 FROM-CommerceWest Bank
03/15/2010 10:50AM (GMT-07:00)

LPL Account Number 7395-4378 **PA**

Section II: General Partners Information (continued)

3. General Partner | Social Security Number

Residence Address (no P.O. boxes) ◯ Same as account | Date of Birth | Home Phone

Country of Citizenship | ID Type | Place of Issuance

ID Number | ID Expiration Date

◯ Mark here if you or any member of your immediate family is employed by a bank, insurance company, investment advisor, or broker/dealer, then complete the following:

Name | Name of Firm

◯ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months, then complete the following:

Name | Name of Firm

4. General Partner | Social Security Number

Residence Address (no P.O. boxes) ◯ Same as account | Date of Birth | Home Phone

Country of Citizenship | ID Type | Place of Issuance

ID Number | ID Expiration Date

◯ Mark here if you or any member of your immediate family is employed by a bank, insurance company, investment advisor, or broker/dealer, then complete the following:

Name | Name of Firm

◯ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months, then complete the following:

Name | Name of Firm

Section III: Certification

The undersigned jointly and severally certify that each of the named persons in Section II, are members of the Partnership named in Section I, a duly organized partnership, and shall have authority on behalf of the partnership account to buy, sell, and otherwise deal in, through you as brokers, stocks, bonds and other securities and commodities, on margin or otherwise (including short sales); to receive on behalf of the partnership account demands, notices, confirmations, reports, statements of account, and communications of every kind; to receive on behalf of the partnership account monies, securities and property of every kind, and to dispose of same; to make on behalf of the partnership account agreements relating to any of the foregoing matters and to terminate or modify same or waive any of the provisions thereof; and generally to deal with you on behalf of the partnership account as fully and completely as if he alone were interested in said account, all without notice to the other or others interested in said account.

The authority hereby conferred shall remain in force until written notice of its revocation addressed to you and delivered at your office at LPL Financial Corporation, 9785 Towne Centre Drive, San Diego, CA 92121.

The undersigned further authorizes you, in the event of death or retirement of any of the members of said Partnership, to take such proceedings, require such papers, retain such portion of or restrict transactions in said account as you may deem advisable to protect you against any liability, penalty or loss under any present or future law or otherwise. It is further agreed that in the event of the death or retirement of any member of said Partnership, the remaining members will immediately cause you to be notified of such fact.

Subject to the provision hereof all notices or communications for the undersigned in respect of the partnership account will be directed to the address of record.

General Partner's Signature | Date 3-12-2010 | General Partner's Signature | Date

General Partner's Signature | Date | General Partner's Signature | Date

T-572 P003/008 F-722
9492516958
03-31-'10 07:37 FROM-CommerceWest Bank
03/31/2010 7:44AM (GMT-07:00)

PA

SAM

LPL Financial — Partnership Account Authorization

Instructions: Use this form to designate individual(s) authorized to give instructions on behalf of a partnership.

Fax the completed form to Brokerage New Accounts at (858) 546-0874 or Advisory New Accounts at (858) 455-0971.

Account Number	Rep ID
7395-4378	7NPB

Section I: Partnership Information

Name of Partnership: American RMBS Equity Fund IV

ID Type: (●) Partnership Agreement ( ) Business License

ID Number (If applicable)*	State of Issuance
100059506	Delaware

ID Issuance Date	ID Expiration Date (If applicable)
01/2010 MM/YYYY	MM/YYYY

*If no ID number is available, additional documentation is required.

Section II: General Partners Information

If there is only one general partner, please also send the actual partnership agreement documenting that there is a limited partner.

1.

General Partner: Mark Bishop — Social Security Number: 553-19-5111

Residence Address (no P.O. boxes) ( ) Same as account: 18117 Alisa Canyon, Rancho Santa Fe, CA 92067 — Date of Birth: 5/12/1956 — Home Phone: 949-678-9574

Country of Citizenship: US — ID Type: Drivers License — Place of Issuance: CA

ID Number: N2460579 — ID Expiration Date: 2011

( ) Mark here if you or any member of your immediate family is employed by a bank, insurance company, investment advisor, or broker/dealer, then complete the following:

Name: _____ Name of Firm: _____

( ) Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months, then complete the following:

Name: _____ Name of Firm: _____

2.

General Partner: _____ Social Security Number: _____

Residence Address (no P.O. boxes) ( ) Same as account: _____ Date of Birth: _____ Home Phone: _____

Country of Citizenship: _____ ID Type: _____ Place of Issuance: _____

ID Number: _____ ID Expiration Date: _____

( ) Mark here if you or any member of your immediate family is employed by a bank, insurance company, investment advisor, or broker/dealer, then complete the following:

Name: _____ Name of Firm: _____

( ) Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months, then complete the following:

Name: _____ Name of Firm: _____

T-467 P019/020 F-607
9492516958
03-15-'10 10:45 FROM-CommerceWest Bank
03/15/2010 10:50AM (GMT-07:00)

LPL Financial

Source of Funds for New Accounts Strategic Asset Management (SAM/SAM II), Model Wealth Portfolios (MWP), or Optimum Market Portfolios Advisory (OMP Advisory)

SOFI-19

Instructions: This form must be completed in full when a SAM/SAM II, MWP, or OMP Advisory account is opened. Fax the completed form to Advisory New Accounts at (858) 455-0978.

1. **Account Number:** 7395-4378 **IAR ID Number:** 7NPB
   Account Registration: American RMBS Equity Fund IV

2. **This client resides in:** *(select one)*:
   - (●) A state where the IAR has a physical office location and is registered as an IAR with LPL's RIA *(if you check this box, skip to question 3)*
   - ( ) Another State

   Does the IAR have a "place of business" *(as defined on reverse side of form)* **in the state where this client resides?**
   - (●) Yes *(please note that the IAR must be registered in this state)*
   - ( ) No

3. **Source of Funding** (select one):
   - ( ) Check/Wire $
   - ( ) Journal from LPL Account Number (These are not journal instructions)
   - (●) Transfer from Another Financial Institution: Numora Securities

4. **Have you earned a commission on the purchase of any security within the past two years on the assets (cash or securities) being deposited into this SAM/SAM II, MWP, or OMP Advisory account? (Please note only cash may be deposited into the OMP Advisory Account*) This information will determine whether or not a fee credit is due.** *(Attach additional sheet if necessary)*
   - ( ) Yes (●) No

   Mutual Funds

Purchase Date	Purchase Amount	CUSIP/Symbol	Class	Commission

   Equity/Fixed Income

Purchase Date	Purchase Amount	CUSIP/Symbol	Commission

*Securities may only be deposited into MWP accounts if transferred from a SAM/SAM II Account.

T-467 P020/020 F-607
9492516958
03-15-'10 10:45 FROM-CommerceWest Bank
03/15/2010 10:50AM (GMT-07:00)

LPL Account Number 7395-4378

5. **SAM/SAM II accounts with market values under $100,000 will be assessed a fee of $10.00 at the end of each client's quarterly cycle. Please indicate below who should be charged.**

If left blank, your client's account will be charged.

- (●) Charge Client
- ( ) Charge IAR

6. **For SAM/SAM II and OMP Advisory accounts, choose the quarterly cycle you would like the advisory fee debited and the quarterly performance reports processed.** *(Not applicable for MMP accounts)*
If left blank, this account will automatically be placed on a rolling quarter.

- ( ) Cycle 1 *(Jan, Apr, Jul, Oct)*
- ( ) Cycle 2 *(Feb, May, Aug, Nov)*
- (●) Cycle 3 *(Mar, Jun, Sep, Dec)*

7. **Variable Annuity – Not applicable for MMP or OMP Advisory accounts.** *(Please note: The previously purchased fixed or variable annuity, variable life, whole life or universal life policy being used to exchange into the ASA 2000 must be held for at least two years.)*

Is your client purchasing the Advisers Select Annuity 2000 (ASA 2000)?

( ) Yes ( ) No

Is the ASA 2000 purchase being funded by an exchange or transfer from a previously purchased fixed or variable annuity, variable life, whole life or universal life policy?

( ) Yes ( ) No

Specify the date of purchase and any surrender charge the client will incur.

Purchase Date	Surrender Charge

8. By my signature below, I represent that the information contained in this form is complete and accurate. Further, to the extent possible, I have taken into consideration the client's investment history and current objectives and have determined that the liquidation of previously purchased investments to deposit additional assets into a SAM/SAM II, MMP, or OMP account is suitable for the client. Additionally, I have disclosed all costs incurred by the client to liquidate these investments.

Investment Advisor Representative Signature	Investment Advisor Representative Name (print)	Date
Ron Chamberlin	Ron Chamberlin	03/02/2010

Account documents.pdf

LPL Financial

Source of Funds for New Accounts Strategic Asset Management (SAM/SAM II), Model Wealth Portfolios (MWP), or Optimum Market Portfolios Advisory (OMP Advisory)

SOFI-19

Instructions: This form must be completed in full when a SAM/SAM II, MWP, or OMP Advisory account is opened. Fax the completed form to Advisory New Accounts at (858) 455-0970.

1.

Account Number 7395-4378

IAR ID Number 7NPB

Account Registration American RMBS Equity Fund IV

2. **This client resides in:** *(select one):*

- (●) A state where the IAR has a physical office location and is registered as an IAR with LPL's RIA *(if you check this box, skip to question 3)*
- ( ) Another State

Does the IAR have a "place of business" *(as defined on reverse side of form)* in the state where this client resides?

- (●) Yes *(please note that the IAR must be registered in this state)*
- ( ) No

3. **Source of Funding** (select one):

- ( ) Check/Wire $ _____
- ( ) Journal from LPL Account Number _____ (These are not journal instructions)
- (●) Transfer from Another Financial Institution Numora Securities

4. **Have you earned a commission on the purchase of any security within the past two years on the assets (cash or securities) being deposited into this SAM/SAM II, MWP, or OMP Advisory account? (Please note only cash may be deposited into the OMP Advisory Account*) This information will determine whether or not a fee credit is due.** *(Attach additional sheet if necessary)*

( ) Yes (●) No

Mutual Funds

Purchase Date	Purchase Amount	CUSIP/Symbol	Class	Commission

Equity/Fixed Income

Purchase Date	Purchase Amount	CUSIP/Symbol	Commission

*Securities may only be deposited into MWP accounts if transferred from a SAM/SAM II Account.

Account document for
LPL Account Number 7395-4378

5. **SAM/SAM II accounts with market values under $100,000 will be assessed a fee of $10.00 at the end of each client's quarterly cycle. Please indicate below who should be charged.**

If left blank, your client's account will be charged.

- (●) Charge Client
- ( ) Charge IAR

6. **For SAM/SAM II and OMP Advisory accounts, choose the quarterly cycle you would like the advisory fee debited and the quarterly performance reports processed.** *(Not applicable for MWP accounts)*
If left blank, this account will automatically be placed on a rolling quarter.

- ( ) Cycle 1 *(Jan, Apr, Jul, Oct)*
- ( ) Cycle 2 *(Feb, May, Aug, Nov)*
- (●) Cycle 3 *(Mar, Jun, Sep, Dec)*

7. **Variable Annuity – Not applicable for MWP or OMP Advisory accounts.** *(Please note: The previously purchased fixed or variable annuity, variable life, whole life or universal life policy being used to exchange into the ASA 2000 must be held for at least two years.)*

Is your client purchasing the Advisers Select Annuity 2000 (ASA 2000)?

( ) Yes ( ) No

Is the ASA 2000 purchase being funded by an exchange or transfer from a previously purchased fixed or variable annuity, variable life, whole life or universal life policy?

( ) Yes ( ) No

Specify the date of purchase and any surrender charge the client will incur.

Purchase Date _____ Surrender Charge _____

8. By my signature below, I represent that the information contained in this form is complete and accurate. Further, to the extent possible, I have taken into consideration the client's investment history and current objectives and have determined that the liquidation of previously purchased investments to deposit additional assets into a SAM/SAM II, MWP, or OMP account is suitable for the client. Additionally, I have disclosed all costs incurred by the client to liquidate these investments.

Investment Advisor Representative Signature	Investment Advisor Representative Name *(print)*	Date
Ron Chamberlin	Ron Chamberlin	03/02/2010

Account documents.pdf

SOFA

LPL Financial Advisory Program Source of Funds

Instructions: This form must be completed in full by the financial advisor when an additional deposit of funds or securities is made into a SAM/SAM II, MWP, PWP, or OMP Advisory account. Fax the completed form to New Accounts at (858) 546-0874

1.

Account Number	Rep ID
7395-4378	7NPB

2. **Please indicate how the funds will be received into the account:**

◯ Check/Wire	$	⊘ Transfer from Another Financial Institution	$ 739,348.60
◯ Journal	$	◯ Deposit of Physical Securities	$
From LPL Account Number		**Total Deposit**	$

3. **Have you earned a commission on the purchase of any security within the past two years on the assets (cash or securities) being deposited into this SAM, MWP, PWP or OMP Advisory account? This information will determine whether or not a fee credit is due.** *(Attach additional sheet if necessary. Please note: only cash and Optimum "I" shares can be deposited into OMP Advisory accounts).*

◯ Yes ◉ No

Mutual Funds

Purchase Date	Purchase Amount	Investment Name	Class	CUSIP/Symbol	Commission

Equity/Fixed Income

Purchase Date	Purchase Amount	Investment Name	CUSIP/Symbol	Commission

4. By my signature below, I represent that the information contained in this form is complete and accurate. Further, to the extent possible, I have taken into consideration the client's investment history and current objectives and have determined that the liquidation of previously purchased investments to deposit additional assets into a SAM/SAM II, MWP, PWP or OMP Advisory account is suitable for the client. Additionally, I have disclosed all costs incurred by the client to liquidate these investments.

Financial Advisor Signature	Financial Advisor Name (print)	Rep ID	Date (required)
Ron Chamberlin	Ron Chamberlin	7NPB	1/30/2012
Joint Financial Advisor Signature	Joint Financial Advisor Name (print)	Rep ID	Date (required)

Account documents.pdf

SOFA

LPL Financial Advisory Program Source of Funds

Instructions: This form must be completed in full by the financial advisor when an additional deposit of funds or securities is made into a SAM/SAM II, MWP, PWP, or OMP Advisory account. Fax the completed form to New Accounts at (858) 546-0874

1.

Account Number	Rep ID
7395-4378	7NPB

2. **Please indicate how the funds will be received into the account:**

◯ Check/Wire	$	◯ Transfer from Another Financial Institution	$ 96,120.21
◯ Journal	$	◯ Deposit of Physical Securities	$
From LPL Account Number		**Total Deposit**	$

3. **Have you earned a commission on the purchase of any security within the past two years on the assets (cash or securities) being deposited into this SAM, MWP, PWP or OMP Advisory account? This information will determine whether or not a fee credit is due.**
(Attach additional sheet if necessary. Please note: only cash and Optimum "I" shares can be deposited into OMP Advisory accounts).

◯ Yes ◉ No

Mutual Funds

Purchase Date	Purchase Amount	Investment Name	Class	CUSIP/Symbol	Commission

Equity/Fixed Income

Purchase Date	Purchase Amount	Investment Name	CUSIP/Symbol	Commission

4. By my signature below, I represent that the information contained in this form is complete and accurate. Further, to the extent possible, I have taken into consideration the client's investment history and current objectives and have determined that the liquidation of previously purchased investments to deposit additional assets into a SAM/SAM II, MWP, PWP or OMP Advisory account is suitable for the client. Additionally, I have disclosed all costs incurred by the client to liquidate these investments.

Financial Advisor Signature	Financial Advisor Name (print)	Rep ID	Date (required)
Ron Chamberlin	Ron Chamberlin	7NPB	2/7/2012
Joint Financial Advisor Signature	Joint Financial Advisor Name (print)	Rep ID	Date (required)

Account Documents.pdf

SOFA

LPL Financial — Advisory Program Source of Funds

Instructions: This form must be completed in full by the financial advisor when an additional deposit of funds or securities is made into a SAM/SAM II, MWP, PWP, or OMP Advisory account. Fax the completed form to New Accounts at (858) 546-0874

1.

Account Number: 7395-4378 **Rep ID**: 7NPB

2. **Please indicate how the funds will be received into the account:**

- ○ Check/Wire $
- ○ Journal $
- From LPL Account Number
- ○ Transfer from Another Financial Institution $
- ◉ Deposit of Physical Securities $ 520,086.00
- **Total Deposit** 8/14/2012 $ 520,086.00

3. **Have you earned a commission on the purchase of any security within the past two years on the assets (cash or securities) being deposited into this SAM, MWP, PWP or OMP Advisory account? This information will determine whether or not a fee credit is due.** *(Attach additional sheet if necessary. Please note: only cash and Optimum "I" shares can be deposited into OMP Advisory accounts).*

○ Yes ◉ No

Mutual Funds

Purchase Date	Purchase Amount	Investment Name	Class	CUSIP/Symbol	Commission

Equity/Fixed Income

Purchase Date	Purchase Amount	Investment Name	CUSIP/Symbol	Commission

4. By my signature below, I represent that the information contained in this form is complete and accurate. Further, to the extent possible, I have taken into consideration the client's investment history and current objectives and have determined that the liquidation of previously purchased investments to deposit additional assets into a SAM/SAM II, MWP, PWP or OMP Advisory account is suitable for the client. Additionally, I have disclosed all costs incurred by the client to liquidate these investments.

Financial Advisor Signature	Financial Advisor Name (print)	Rep ID	Date (required)
Ron Chamberlin	Ron Chamberlin	7NPB	11/09/2012
Joint Financial Advisor Signature	Joint Financial Advisor Name (print)	Rep ID	Date (required)

Account Documents.pdf

LPL Financial

SOFA

Advisory Program Source of Funds

Instructions: This form must be completed in full by the financial advisor when an additional deposit of funds or securities is made into a SAM/SAM II, MWP, PWP, or OMP Advisory account. Fax the completed form to New Accounts at (858) 546-0874

1. **Account Number** 7395-4378 **Rep ID** 7NPB

2. **Please indicate how the funds will be received into the account:**

- ○ Check/Wire $
- ○ Journal $
- From LPL Account Number
- ○ Transfer from Another Financial Institution $
- ◉ Deposit of Physical Securities $ 881,515.99
- **Total Deposit** 9/14/12 $ 881,515.99

3. **Have you earned a commission on the purchase of any security within the past two years on the assets (cash or securities) being deposited into this SAM, MWP, PWP or OMP Advisory account? This information will determine whether or not a fee credit is due.** *(Attach additional sheet if necessary. Please note: only cash and Optimum "I" shares can be deposited into OMP Advisory accounts).*

○ Yes ◉ No

Mutual Funds

Purchase Date	Purchase Amount	Investment Name	Class	CUSIP/Symbol	Commission

Equity/Fixed Income

Purchase Date	Purchase Amount	Investment Name	CUSIP/Symbol	Commission

4. By my signature below, I represent that the information contained in this form is complete and accurate. Further, to the extent possible, I have taken into consideration the client's investment history and current objectives and have determined that the liquidation of previously purchased investments to deposit additional assets into a SAM/SAM II, MWP, PWP or OMP Advisory account is suitable for the client. Additionally, I have disclosed all costs incurred by the client to liquidate these investments.

Financial Advisor Signature	Financial Advisor Name (print)	Rep ID	Date (required)
Ron Chamberlin	Ron Chamberlin	7NPB	11/09/2012
Joint Financial Advisor Signature	Joint Financial Advisor Name (print)	Rep ID	Date (required)

COMMERCEWEST
INVESTMENT MANAGEMENT
Bank on The Difference™

Investment Account Strategic Asset Management

Statement Period
July 1 to July 31, 2012

AMERICAN RMBS EQUITY FUND IV A PARTNERSHIP 7395-4378
Investment Objective Growth

AMERICAN RMBS EQUITY FUND IV
A PARTNERSHIP
707 BROADWAY, SUITE 1800
SAN DIEGO CA 92101

Total Value of Your Account as of July 31, 2012 **$18,807,294.02**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2011	**$43,201,996.92**
Beginning Value as of July 1, 2012	**$15,303,752.22**
Additions	—
Withdrawals	-337,385.00
Dividends, Interest and Capital Gains	335,417.53
Other Account Activity [1]	-14,390.66
Increase/decrease in Market Value [2]	3,519,899.93
Ending Value as of July 31, 2012	**$18,807,294.02**

	Year-End Value December 31, 2011	Value on July 31, 2012
TOTAL VALUE OF YOUR ACCOUNT	**$43,201,996.92**	**$18,807,294.02**

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

1 Includes fees, expenses and other activity during the Statement period. See "Account Activity".

2 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.

LPL Financial

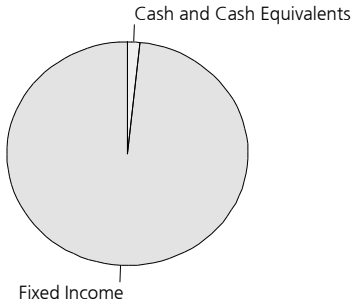
Not FDIC Insured	No Bank Guarantee	May Lose Value
Not a Deposit	Not Insured by any Federal Government Agency	

Investment Account Strategic Asset Management

Statement Period
July 1 to July 31, 2012

ACCOUNT INVESTMENT SUMMARY as of July 31, 2012

Investment Type	Amount	Percent
Cash and Cash Equivalents	$321,052.60	1.71%
Equities and Options	—	—
Fixed Income	18,486,241.42	98.29%
Mutual Funds, ETFs and Closed-End Funds	—	—
Total	**$18,807,294.02**	**100.00%**



EARNINGS SUMMARY as of July 31, 2012

Estimated Annual Income	$2,391,493.00
Estimated Accrued Interest	$65,981.90

Account Holdings as of July 31, 2012

CASH AND CASH EQUIVALENTS

Description	Current Balance
Money Market Funds	$321,052.60
TOTAL CASH AND CASH EQUIVALENTS	**$321,052.60**

CORPORATE BONDS

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld
JP MORGAN ALT LN TR REMIC SER 2006-A1 CL 4A2 MONTHLY 24 DAY DELAY VAR CPN 6.042% DUE 03/25/36 DTD 02/01/06 FC 03/25/06 MOODYS RATING: NOT RATED S&P RATING: D 46627MDB0	9,303,000	$0.7315	—	—	—
TOTAL CORPORATE BONDS			—	—	—

GOVERNMENT AND AGENCY BONDS

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
AMERIQUEST MTG SECS INC CMO SER 2004-R3 CL M6 MONTHLY 0 DAY DELAY VAR CPN 3.246% DUE 05/25/34 DTD 04/08/04 FC 05/25/04 MOODYS RATING: C S&P RATING: CC 03072SQH1	1,350,000	$12.2891	$70,236.30 FACTOR:0.42335801	$18,551	— 26.41%

GOVERNMENT AND AGENCY BONDS continue on page 4

GOVERNMENT AND AGENCY BONDS (continued)

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
BANC AMER FDG TR REMIC SER 2007-4 CL 1A2 MONTHLY 24 DAY DELAY CPN 5.500% DUE 06/25/37 DTD 05/01/07 FC 06/25/07 MOODYS RATING: CA S&P RATING: CC 05953YAU5	2,000,000	41.2448	440,066.56 FACTOR:0.53348127	58,682	4,890.25 13.34%
BANC AMER MTG SECS INC REMIC 2004-11 CL 30IO MONTHLY 24 DAY DELAY CPN 5.500% DUE 01/25/35 DTD 12/01/04 FC 01/25/05 S&P RATING: AAA 05949AD98	10,327,426	11.1501	265,763.07 FACTOR:0.23079361	131,092	10,924.39 49.33%
BANC AMER MTG SECS INC REMIC SER 2004-8 CL 15IO MONTHLY 24 DAY DELAY CPN 5.250% DUE 10/25/19 DTD 09/01/04 FC 10/25/04 S&P RATING: AAA 05949ATT7	2,372,055	7.7104	18,065.38 FACTOR:0.09877468	12,300	1,025.06 68.09%
BANC AMER MTG TR REMIC SER 2006-3 CL 1A13 MONTHLY 24 DAY DELAY CPN 6.250% DUE 10/25/36 DTD 09/01/06 FC 10/25/06 MOODYS RATING: CAA2 S&P RATING: NOT RATED 05950LAN2	1,104,600	18.0376	189,360.60 FACTOR:0.9503987	65,613	5,467.76 34.65%

GOVERNMENT AND AGENCY BONDS continue on page 5

GOVERNMENT AND AGENCY BONDS (continued)

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
C BASS MTG LN TR REMIC SR 2007-CB2 CL A2B MONTHLY 24 DAY DELAY VAR CPN 5.505% DUE 02/25/37 DTD 02/01/07 FC 03/25/07 MOODYS RATING: CAA3 S&P RATING: CCC 1248MBAH8	1,500,000	59.5805	893,707.50 FACTOR:1.00	82,575	— 9.24%
C BASS TR REMIC SR 2007-CB1 CL AF2 MONTHLY 24 DAY DELAY VAR CPN 5.181% DUE 01/25/37 DTD 01/01/07 FC 02/25/07 MOODYS RATING: CA S&P RATING: CCC 1248MGAK0	1,150,000	35.0079	386,340.50 FACTOR:0.95963559	57,176	— 14.80%
C BASS TR REMIC 2007-CB1 CL AF4 MONTHLY 24 DAY DELAY VAR CPN 5.181% DUE 01/25/37 DTD 01/01/07 FC 02/25/07 MOODYS RATING: CA S&P RATING: CCC 1248MGAM6	2,500,000	36.2116	868,748.50 FACTOR:0.95963559	124,296	— 14.31%
C BASS TR REMIC SR 2007-CB1 CL AF6 MONTHLY 24 DAY DELAY VAR CPN 5.181% DUE 01/25/37 DTD 01/01/07 FC 02/25/07 MOODYS RATING: CA S&P RATING: CCC 1248MGAP9	2,500,000	36.1806	842,519.41 FACTOR:0.93145986	120,647	— 14.32%

GOVERNMENT AND AGENCY BONDS continue on page 6

Account Holdings as of July 31, 2012

GOVERNMENT AND AGENCY BONDS (continued)

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
CENTEX HM EQTY LN TR REMIC SER 2002-A CL MF2 MONTHLY 24 DAY DELAY CPN 6.540% DUE 01/25/32 DTD 01/01/02 FC 02/25/02 MOODYS RATING: C S&P RATING: D 152314EN6	3,451,000	12.4361	144,097.90 FACTOR:0.33575966	75,779	6,314.95 52.59%
CHARLIE MAC TR REMIC SER 2004-2 CL B2 MONTHLY 24 DAY DELAY VAR CPN 5.304% DUE 10/25/34 DTD 11/01/04 FC 12/25/04 MOODYS RATING: CAA3 S&P RATING: B 160762AZ3	1,232,000	76.1957	542,608.10 FACTOR:0.57802298	37,771	— 6.96%
CHEC LN TR REMIC 2004-1 CL M3 144A MONTHLY 0 DAY DELAY VAR CPN 0.946% DUE 07/25/34 DTD 07/29/04 FC 08/25/04 MOODYS RATING: CAA1 S&P RATING: A- 162765AF8	3,000,000	48.5716	404,973.71 FACTOR:0.27792216	7,887	— 1.95%
CITICORP MTG SECS INC REMIC SER 2005-2 CL B1 MONTHLY 24 DAY DELAY VAR CPN 5.387% DUE 03/25/35 DTD 03/01/05 FC 04/25/05 MOODYS RATING: NOT RATED S&P RATING: NOT RATED 172973R76	3,832,000	70.5695	1,748,207.17 FACTOR:0.64647295	133,451	— 7.63%

GOVERNMENT AND AGENCY BONDS continue on page 7

GOVERNMENT AND AGENCY BONDS (continued)

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
CITIGROUP MTG LN TR REMIC 2004-HYB4 CL 1M MONTHLY 24 DAY DELAY VAR CPN 2.688% DUE 01/25/35 DTD 12/01/04 FC 01/25/05 MOODYS RATING: NOT RATED S&P RATING: CC 17307GMP0	602,000	39.2214	163,421.47 FACTOR:0.69213296	11,199	— 6.85%
CITIGROUP MTG LN TR REMIC SER 2005-WF1 CL M1 MONTHLY 24 DAY DELAY CPN 5.330% DUE 12/25/34 DTD 02/01/05 FC 03/25/05 MOODYS RATING: C S&P RATING: B- 17307GPG7	925,000	40.2786	337,767.86 FACTOR:0.90657185	44,696	3,724.69 13.23%
CWABS INC REMIC SER 2005-16 CL MV1 MONTHLY 0 DAY DELAY VAR CPN 0.706% DUE 04/25/36 DTD 12/28/05 FC 01/25/06 MOODYS RATING: C S&P RATING: CCC 126670PH5	2,500,000	24.8695	621,737.50 FACTOR:1.00	17,650	— 2.84%
CWABS INC REMIC SR 2005-17 CL 1AF4 MONTHLY 24 DAY DELAY VAR CPN 5.515% DUE 05/25/36 DTD 12/01/05 FC 01/25/06 MOODYS RATING: CA S&P RATING: D 126670QU5	1,218,271	36.1426	414,546.15 FACTOR:0.94147674	63,255	5,271.30 15.26%

GOVERNMENT AND AGENCY BONDS continue on page 8

Account Holdings as of July 31, 2012

GOVERNMENT AND AGENCY BONDS (continued)

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
CWABS INC REMIC SER 2001-BC3 CL A MONTHLY 0 DAY DELAY VAR CPN 0.486% DUE 12/25/31 DTD 08/30/01 FC 09/25/01 MOODYS RATING: CAA2 S&P RATING: B- 126671NA0	27,790,000	N/A	N/A FACTOR:0.02037051	—	—
CWABS INC REMIC SER 2005-1 CL MF2 MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 05/25/35 DTD 03/01/05 FC 04/25/05 MOODYS RATING: C S&P RATING: CCC 126673WF5	2,638,000	30.2269	704,748.72 FACTOR:0.88382422	—	—
CWMBS INC REMIC SER 2005-11 CL 3A3 MONTHLY 24 DAY DELAY VAR CPN 2.904% DUE 04/25/35 DTD 02/01/05 FC 03/25/05 MOODYS RATING: CA S&P RATING: CC 12669GUP4	3,800,000	52.1427	373,532.33 FACTOR:0.18851725	20,803	— 5.57%
CWMBS INC REMIC SER 2006-1 CL A3 MONTHLY 24 DAY DELAY CPN 6.000% DUE 03/25/36 DTD 01/01/06 FC 02/25/06 MOODYS RATING: NOT RATED S&P RATING: D 126694XD5	160,000	8.9719	4,263.13 FACTOR:0.29697848	2,850	237.58 66.88%

GOVERNMENT AND AGENCY BONDS continue on page 9

COPY

Account Holdings as of July 31, 2012

GOVERNMENT AND AGENCY BONDS (continued)

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
GS MORTGAGE SECS CORP REMIC SER 2003-HE1 CL M2 MONTHLY 0 DAY DELAY VAR CPN 2.146% DUE 06/20/33 DTD 05/28/03 FC 06/20/03 MOODYS RATING: C S&P RATING: CC 36228FSV9	1,200,000	65.8113	91,432.26 FACTOR:0.11577579	2,981	— 3.26%
GS MTG SECS CORP REMIC SER 2006-6 CL AF7 MONTHLY 24 DAY DELAY VAR CPN 5.507% DUE 03/25/36 DTD 04/01/06 FC 05/25/06 MOODYS RATING: C S&P RATING: CCC 362334MZ4	4,321,000	14.1079	609,602.35 FACTOR:1.00	237,957	— 39.03%
GS MTG SECS CORP REMIC SER 2006-1F CL 5A2 MONTHLY 24 DAY DELAY CPN 6.000% DUE 02/25/36 DTD 01/01/06 FC 02/25/06 MOODYS RATING: NOT RATED S&P RATING: CC 3623418A0	45,000	15.8083	3,633.29 FACTOR:0.51074371	1,379	114.92 37.95%
GSAMP TR REMIC SR 2006-HE7 CL M2 MONTHLY 0 DAY DELAY VAR CPN 0.536% DUE 10/25/36 DTD 10/31/06 FC 11/25/06 MOODYS RATING: C S&P RATING: CC 36245EAG3	2,305,000	0.7503	16,035.77 FACTOR:0.92722286	11,455	— 71.44%

GOVERNMENT AND AGENCY BONDS continue on page 10

Account Holdings as of July 31, 2012

GOVERNMENT AND AGENCY BONDS (continued)

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
HARBORVIEW MTG LN TR REMIC SER 2005-3 CL X2 MONTHLY 18 DAY DELAY VAR CPN 2.174% DUE 06/19/35 DTD 05/01/05 FC 06/19/05 MOODYS RATING: CA S&P RATING: NOT RATED 41161PNK5	13,000,000	0.005	155.99 FACTOR:0.23999973	67,828	— 80.00%
HOMEBANC MTG TR REMIC SER 2004-2 CL M2 MONTHLY 0 DAY DELAY VAR CPN 1.971% DUE 12/25/34 DTD 10/29/04 FC 11/25/04 MOODYS RATING: C S&P RATING: CC 43739EAM9	9,000,000	28.0858	467,525.23 FACTOR:0.18495912	32,809	— 7.02%
INDYMAC MBS INC / RAST REMIC SER 2003-A4 CL B3 MONTHLY 24 DAY DELAY CPN 5.750% DUE 05/25/33 DTD 03/01/03 FC 04/25/03 MOODYS RATING: NOT RATED S&P RATING: CC 45660NPV1	1,925,000	26.4505	274,470.61 FACTOR:0.53905272	59,666	4,972.20 21.74%
INDYMAC MBS INC / RAST REMIC 2003-A11 CL B3 MONTHLY 24 DAY DELAY CPN 5.750% DUE 11/25/33 DTD 09/01/03 FC 10/25/03 MOODYS RATING: NOT RATED S&P RATING: CC 45660NVF9	1,957,000	22.6731	287,131.85 FACTOR:0.64711229	72,817	6,068.16 25.36%

GOVERNMENT AND AGENCY BONDS continue on page 11

Account Holdings as of July 31, 2012

GOVERNMENT AND AGENCY BONDS (continued)

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
LEHMAN XS TRUST REMIC 2007-5H CL 3A4 MONTHLY 24 DAY DELAY VAR CPN 3.488% DUE 05/25/37 DTD 04/01/07 FC 05/25/07 MOODYS RATING: CA 525248AY6	12,455,000	40.5063	1,697,390.69 FACTOR:0.33644611	146,162	— 8.61%
LONG BEACH MTG LN TR REMIC SER 2003-3 CL M3 MONTHLY 0 DAY DELAY VAR CPN 5.496% DUE 07/25/33 DTD 06/05/03 FC 07/25/03 MOODYS RATING: CA S&P RATING: CC 542514EC4	8,000,000	25.2348	379,271.91 FACTOR:0.18787147	82,603	— 21.78%
LONG BEACH MTG LN TR REMIC SER 2003-4 CL M5F MONTHLY 24 DAY DELAY CPN 6.500% DUE 08/25/33 DTD 07/01/03 FC 08/25/03 MOODYS RATING: CA S&P RATING: CC 542514EP5	5,000,000	65.1859	230,639.83 FACTOR:0.07076372	22,998	1,916.52 9.97%
LONG BEACH MTG LN TR REMIC 2004-1 CL M6 MONTHLY 0 DAY DELAY VAR CPN 2.346% DUE 02/25/34 DTD 02/05/04 FC 03/25/04 MOODYS RATING: CA S&P RATING: BB- 542514EZ3	11,250,000	66.099	1,153,877.57 FACTOR:0.15517163	40,953	— 3.55%

GOVERNMENT AND AGENCY BONDS continue on page 12

GOVERNMENT AND AGENCY BONDS (continued)

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
MORGAN STANLEY ABS CAP I REMIC SER 2003-NC8 CL B3 MONTHLY 0 DAY DELAY VAR CPN 5.871% DUE 09/25/33 DTD 09/25/03 FC 10/25/03 MOODYS RATING: C S&P RATING: CC 61746RDS7	10,696,000	10.0456	201,568.78 FACTOR:0.18759705	117,803	— 58.44%
MORGAN STANLEY MTG LN TR REMIC 2007-14AR CL 3A4 MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 10/25/37 DTD 10/01/07 FC 11/25/07 MOODYS RATING: NOT RATED 61756VAV1	63,980,000	0.75	231,401.18 FACTOR:0.48223651	—	—
NOMURA ASSET ACCEPT CORP REMIC 2005-AR5 CL IA2 MONTHLY 24 DAY DELAY VAR CPN 3.207% DUE 10/25/35 DTD 09/01/05 FC 10/25/05 MOODYS RATING: C S&P RATING: CC 65535VQM3	4,322,000	18.3627	234,149.45 FACTOR:0.29503385	40,893	— 17.46%
PEOPLES CHOICE HM LN SEC REMIC SER 2005-4 CL 1A2 MONTHLY 0 DAY DELAY VAR CPN 0.506% DUE 08/25/35 DTD 10/26/05 FC 11/25/05 MOODYS RATING: CAA2 S&P RATING: B 71085PDD2	4,675,000	52.0296	558,919.71 FACTOR:0.2297827	5,435	— 0.97%

GOVERNMENT AND AGENCY BONDS continue on page 13

Account Holdings as of July 31, 2012

GOVERNMENT AND AGENCY BONDS (continued)

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
POPULAR ABS INC REMIC SER 2005-2 CL M4 MONTHLY 24 DAY DELAY CPN 6.063% DUE 04/25/35 DTD 03/01/05 FC 04/25/05 MOODYS RATING: C S&P RATING: CC 73316PCN8	2,000,000	9.3569	152,966.04 FACTOR:0.81739705	99,117	8,259.80 64.80%
RASC SER TR REMIC 2006-EMX8 CL AI3 MONTHLY 0 DAY DELAY VAR CPN 0.416% DUE 08/25/36 DTD 09/28/06 FC 10/25/06 MOODYS RATING: CA S&P RATING: CCC 74924UAC5	700,000	43.6671	305,669.70 FACTOR:1.00	2,912	— 0.95%
RENAISSANCE HM EQTY LN REMIC SER 2006-4 CL AF1 MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 01/25/37 DTD 12/01/06 FC 01/25/07 MOODYS RATING: B2 S&P RATING: CCC 75970HAD2	4,686,000	56.1452	194,899.87 FACTOR:0.07407926	—	—
RESIDENTIAL ACCR LNS INC REMIC SER 2004-QA4 CL M2 MONTHLY 24 DAY DELAY VAR CPN 3.433% DUE 09/25/34 DTD 09/01/04 FC 10/25/04 MOODYS RATING: C S&P RATING: D 76110HZQ5	1,500,000	3.6402	19,950.75 FACTOR:0.36537841	18,815	— 94.31%

GOVERNMENT AND AGENCY BONDS continue on page 14

GOVERNMENT AND AGENCY BONDS (continued)

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
RESIDENTIAL ASSET SECS REMIC SR 2004-KS7 CL AI6 MONTHLY 24 DAY DELAY VAR CPN 0.000% DUE 08/25/34 DTD 07/01/04 FC 08/25/04 MOODYS RATING: CAA2 S&P RATING: D 76110WB21	280,000	75.1258	109,349.55 FACTOR:0.51984022	—	—
SALOMON HM EQTY LN TR REMIC 2001-1 CL MF2 MONTHLY 10 DAY DELAY CPN 6.310% DUE 10/25/31 DTD 10/15/01 FC 11/25/01 MOODYS RATING: NOT RATED S&P RATING: D 79550DAE9	1,598,000	18.9263	185,541.43 FACTOR:0.6134772	61,859	5,154.94 33.34%
SAXON ASSET SECS TR REMIC 2003-1 CL M2 MONTHLY 0 DAY DELAY VAR CPN 1.946% DUE 06/25/33 DTD 03/06/03 FC 04/25/03 MOODYS RATING: CAA3 S&P RATING: BBB+ 805564NC1	3,000,000	52.9317	191,215.18 FACTOR:0.1204163	7,029	— 3.68%
STRUCTURED ASSET INVT LN REMIC SR 2003-BC11 CL M4 MONTHLY 0 DAY DELAY VAR CPN 3.246% DUE 10/25/33 DTD 10/25/03 FC 11/25/03 MOODYS RATING: CA S&P RATING: CC 86358EEQ5	7,992,000	40.8217	71,722.57 FACTOR:0.02198413	5,703	— 7.95%

GOVERNMENT AND AGENCY BONDS continue on page 15

GOVERNMENT AND AGENCY BONDS (continued)

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
STRUCTURED ASSET SEC CRP REMIC SER 2005-WF4 CL B2 MONTHLY 0 DAY DELAY VAR CPN 2.746% DUE 11/25/35 DTD 11/23/05 FC 12/25/05 MOODYS RATING: C S&P RATING: D 863576DR2	10,000,000	0.5081	3,861.59 FACTOR:0.07600063	20,869	— 40.44%
TBW MTG BKD TR REMIC SER 2007-1 CL A3 MONTHLY 24 DAY DELAY VAR CPN 5.880% DUE 03/25/37 DTD 02/01/07 FC 03/25/07 MOODYS RATING: CA S&P RATING: D 87222EAC2	188,000	51.1028	96,073.26 FACTOR:1.00	11,054	— 11.51%
WAMU MTG PASS THRU CTFS REMIC 2007-OA6 CL 2XPP MONTHLY 24 DAY DELAY VAR CPN 77.315% DUE 07/25/47 DTD 06/01/07 FC 07/25/07 MOODYS RATING: CA 92927BAG7	107,000,000	N/A	N/A FACTOR:0.53725544	—	—
WASHINGTON MUT MTG SECS REMIC SR 2004-AR14 CL B2 MONTHLY 24 DAY DELAY VAR CPN 2.447% DUE 01/25/35 DTD 12/01/04 FC 01/25/05 S&P RATING: CC 939336W66	2,797,000	12.8039	328,584.93 FACTOR:0.91751445	62,797	— 19.11%

GOVERNMENT AND AGENCY BONDS continue on page 16

GOVERNMENT AND AGENCY BONDS (continued)

Description/SecurityID	Quantity	Price	Market Value	Estimated Annual Income	Accrued Int./ Est. 30-Day Yld.
WELLS FARGO ALT LN TR REMIC 2007-PA5 CL IIA2 MONTHLY 24 DAY DELAY CPN 6.000% DUE 11/25/22 DTD 10/01/07 FC 11/25/07 S&P RATING: CC 949922AU2	1,034,000	82.5159	236,116.40 FACTOR:0.27673748	17,168	1,430.73 7.27%
WELLS FARGO MTG BKD SECS REMIC 2005-AR11 CL IIB1 MONTHLY 24 DAY DELAY VAR CPN 2.591% DUE 06/25/35 DTD 05/01/05 FC 06/25/05 MOODYS RATING: NOT RATED S&P RATING: CCC 94982RAG0	2,388,000	35.0633	699,036.14 FACTOR:0.83485783	51,655	— 7.39%
WELLS FARGO MTG BKD SECS REMIC SER 2005-17 CL IA2 MONTHLY 24 DAY DELAY CPN 5.500% DUE 01/25/36 DTD 12/01/05 FC 01/25/06 MOODYS RATING: CA 94982SAE3	100,000	42.4734	19,335.68 FACTOR:0.45524232	2,503	208.65 12.95%
TOTAL GOVERNMENT AND AGENCY BONDS			**$18,486,241.42**	**$2,391,493**	**$65,981.90**

Value of Your LPL Financial Account	Market Value	Estimated Annual Income
	$18,807,294.02	**$2,391,493**

From: Joanna Tornvall [mailto:Joanna.Tornvall@ws.se]
Sent: Monday, February 06, 2012 12:30 AM
To: Ronald J. Chamberlin
Subject: Settlement details -Euroclear
Dear Ron
Could you please provide me with your settlement details for Euroclear? Our SSIs are:

EUROCLEAR EUROCLEAR BANK

MGTCBEBE 1 BOULEVARD DU ROI ALBERT II

B-1210 BRUSSELS

A/C: 90078 Swedish Clients

Med vänlig hälsning/Kind regards
Joanna Tornvall
Wahlstedt Sageryd Financial Services AB
Box 7029
103 86 Stockholm
Visitors: Birger Jarlsgatan 7
Tel: +46 8 562 602 00
Dir: +46 8 562 602 29
Mob: +46 70 562 04 30
Fax: +46 8 611 12 28
joanna.tornvall@ws.se

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-02-06 16:14:35 +0000

To: ron.chamberlin@lpl.com; ulf.deckmark@tractionfonder.se

Subject: RE: Euroclear instructions

Attachments: TRADE TICKET RALI 02-QS2 B1.pdf

I forgot to attache the trade ticket. Here it is.

M

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

From: Mark Bishop
Sent: Monday, February 06, 2012 8:12 AM
To: ron.chamberlin@lpl.com; ulf.deckmark@tractionfonder.se
Subject: RE: Euroclear instructions

Ulf and Ron -

The bond will be in our ABS Investment Group account number 1004-0067. Our holding firm's Euroclear number is 93999.

We still need Traction Fonder AB's holding firm's Euroclear number.

We have decided to try and settle on Wednesday, February 8th.

This is a real purchase/sale, but we are using this transaction as a form of "test buy" in order to work out the "bugs", because we are contemplating a large business relationship with Traction.

Please stay in communication today.

Regards,

Mark

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

From: ron.chamberlin@lpl.com [ron.chamberlin@lpl.com]
Sent: Sunday, February 05, 2012 9:26 AM

To: Mark Bishop
Subject: Fwd: Euroclear instructions

Mark,

Here are the Euroclear instructions from our Eiroclear sattlement dept. Jeff at DeLaRosa talked to Matt at LPL Friday. We should be good to go.

Sincerely,

Ronald J. Chamberlin
Registered Principal,
LPL Financial
CommerceWest Investment Management
2111 Business Center Drive
Irvine, CA 92612

T (949) 474-5263 (direct)
T (949) 251-6959 x7265
F (949) 251-6958
M (949) 302-2204

W www.lpl.com/ron.chamberlin
E ron.chamberlin@lpl.com

Securities offered through LPL Financial, Member FINRA/SIPC
Not FDIC Insured. No Bank Guaranteed. May Lose Value.
Not a Deposit. Not Insured by Any Federal Government Agency.

----- Original Message -----
From: Matthew Brunelle Matthew.Brunelle@lpl.com
To: "ron.chamberlin@lpl.com" ron.chamberlin@lpl.com
Sent: Fri 03/02/12 12:06 PM
Subject: Fwd: Euroclear instructions
Ron,

To do a Euroclear transfer or trade I set up instructions to receive the shares and the holding firm sets up instructions to deliver them. I need the holding firm's Euroclear number and they'll need ours which is 93999. We agree on a trade date and settle date which are arbitrary but we both have to match them. The shares are then settled into LPL's account with our foreign custodian which is Merrill Lynch. Once I receive confirmation from Merrill Lynch the shares have settled, I credit the client account at LPL.

Regards,

Matt Brunelle
LPL Financial
Foreign Settlements Specialist | Settlements

Toll-free: (800) 877-7210 | ext. 5543
E-mail: matthew.brunelle@lpl.com<mailto:matthew.brunelle@lpl.com>

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Message Headers:

X-ZANTAZ-RECIP: "ron.chamberlin@lpl.com" <ron.chamberlin@lpl.com>,
<ulf.deckmark@tractionfonder.se>
X-MEDIA-ID: 3AO0ESMUF1ATLeA1DKR98IMEOUUG416L9N5GDP0N976V7084UG
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0096165501@LPLCMMLP01.:
Received: from osjex01.osj.lpl.com ([139.61.206.249]) by lplcmmlp01.lplcmmlp
SMTPSVC(6.0.3790.3959);
Mon, 6 Feb 2012 08:16:14 -0800
Received: from sdadvsmtp02.lpl.com ([172.17.27.88]) by osjex01.osj.lpl.com w
Mon, 6 Feb 2012 08:16:03 -0800
Received: from psmtp.com (exprod8mx274.postini.com [64.18.3.72])
(using TLSv1 with cipher DHE-RSA-AES256-SHA (256/256 bits))
(No client certificate requested)
by sdadvsmtp02.lpl.com (Postfix) with ESMTP id 15EFE1D789A
for <ron.chamberlin@lpl.com>; Mon, 6 Feb 2012 08:16:01 -0800 (PST
Received: from mx.cbeyond.com ([66.180.96.58]) (using TLSv1) by exprod8mx
Mon, 06 Feb 2012 08:16:01 PST
X-SBRS: 2.9
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: imx01dal.sys.cbeyond.net
X-IronPort-AV: E=Sophos;i="4.73,371,1325480400";
d="pdf'?scan'208";a="382689077"
Received: from exchange.cbeyondonline.net (HELO hub402dal.mmeprod.cbeyon
by mx.cbeyond.com with ESMTP; 06 Feb 2012 11:15:59 -0500
Received: from EXMBX02.mmeprod.cbeyond ([192.168.13.41]) by
hub402dal.mmeprod.cbeyond ([192.168.13.100]) with mapi; Mon, 6 Feb 2012
11:15:59 -0500
From: Mark Bishop <mbishop@absig.com>
To: "ron.chamberlin@lpl.com" <ron.chamberlin@lpl.com>,
"ulf.deckmark@tractionfonder.se" <ulf.deckmark@tractionfonder.se>
Date: Mon, 6 Feb 2012 11:14:35 -0500
Subject: RE: Euroclear instructions
Thread-Topic: Euroclear instructions
Thread-Index: AczkK10ZJigS6s4NTneP2WTBez91MwAvctwTAABQmFM=
Message-ID: <E3FE7449DA379947ACF8DED902652BD00117633A231D@EXMBX
References:
<16561.1328462810@lpl.com>,<E3FE7449DA379947ACF8DED902652BD00117
In-Reply-To: <E3FE7449DA379947ACF8DED902652BD00117633A231B@EXMBX
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach: yes
X-MS-TNEF-Correlator:
acceptlanguage: en-US
Content-Type: multipart/mixed;
boundary="_002_E3FE7449DA379947ACF8DED902652BD00117633A2
MIME-Version: 1.0
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC: 0.1839 LC:93.6803 R:
)
X-pstn-settings: 5 (2.0000:1.0000) s cv FC lc gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [242/10]

Return-Path: mbishop@absig.com
X-OriginalArrivalTime: 06 Feb 2012 16:16:03.0491 (UTC) FILETIME=[9F6A0F30

*** TRADE TICKET ***

ABS INVESTMENT GROUP

TRADE DATE:	1-Feb-12	
TRADER:	ABS Investment Group	
CUSIP:	76110GWJ6	
BOND NAME:	RALI 2002-QS2 B1	
PRICE:	50.7500000	[50-24]
SETTLE:	8-Feb-12	[WEDNESDAY]
BOND COUPON:	6.750%	
DAYS ACCRUAL:	7 DYS ACC	
ACCRUAL PAID:	372.15	
NEXT PAYMENT:	25-Mar-12	[24 DAY DELAY]
SELLS (ORIG. FACE):	500,000.00	
FACTOR:	0.567084250	
CURRENT FACE:	283,542.13	
PRINCIPAL VALUE:	143,897.63	
TOTAL FUNDS:	144,269.78	

Settlement:

Ron Chamberlin
LPL Financial
Commerce West Bank Investment Management
2111 Business Center Drive
Irvine, California 92612
(949)251-6959 (office)
(949)302-2204 (mobile)
rchamberlin@cwbk.com

Trading:

Mark Bishop
ABS Investment Group
1176 Main Street, Suite 300
Irvine, California 92614
(877)560-6637 (office)
(949)678-9574 (mobile)
mbishop@absig.com

120221 IPM.Note.pdf

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-02-21 17:08:13 +0000

To: rchamberlin@cwbk.com; golf44ron@aol.com; matthew.brunelle@lpl.com

Subject:

Attachments: TRADE TICKET TBW 07-1 A3.pdf; Euroclear.docx

Ron and Matt -

Please find attached the Euroclear instructions for my buyer, Traction Fonder AB, and the trade ticket for the TBW bond.

We should have the TBW bond in our "ABS Investment Group" account number 1774-4095 today. We want to settle the sale of this bond to Traction Fonder AB, per their instructions, through Euroclear on Thursday, February 23rd.

Please call me to discuss or let me know, "this is easy", since I have not settled Euroclear before.

Thanks,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>, "golf44
<matthew.brunelle@lpl.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 7MMAS3H1CUGJMeCEED4BPDVIQG4G416MGDSS6F0AES8QKE2UA
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0089427687@LPLCMMLP02.:
Received: from chcorpedge03.corp.lpl.com (172.22.123.40) by
chcorpexhub01.corp.lpl.com (10.22.121.51) with Microsoft SMTP Server (TLS) i
8.3.213.0; Tue, 21 Feb 2012 12:11:10 -0500
Received: from psmtp.com (64.18.3.125) by chcorpedge03.corp.lpl.com
(172.22.123.40) with Microsoft SMTP Server (TLS) id 14.1.355.2; Tue, 21 Feb
2012 12:10:52 -0500
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
Received: from mx.cbeyond.com ([66.180.96.58]) (using TLSv1) by
exprod8mx225.postini.com ([64.18.7.10]) with SMTP; Tue, 21 Feb 2012
GMT
X-SBRS: 4.5

X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: imx03dal.sys.cbeyond.net
X-IronPort-AV: E=Sophos;i="4.73,458,1325480400";

d="xml'?docx'72,48?scan'72,48,72,48,208,145?rels'72,48,72,48,208,145?jpeg'7
Received: from exchange.cbeyondonline.net (HELO hub402dal.mmeprod.cbeyon
([66.180.96.27]) by mx.cbeyond.com with ESMTP; 21 Feb 2012 12:11:05 -050
Received: from EXMBX02.mmeprod.cbeyond ([192.168.13.40]) by
hub402dal.mmeprod.cbeyond ([192.168.13.100]) with mapi; Tue, 21 Feb 2012
12:11:05 -0500
From: Mark Bishop <mbishop@absig.com>
To: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>, "golf44ron@aol.com"
<golf44ron@aol.com>, "matthew.brunelle@lpl.com" <matthew.brunell
Importance: high
X-Priority: 1
Date: Tue, 21 Feb 2012 12:08:13 -0500
Subject:
Thread-Index: AQHM8Ltlf6FufpiZwEOy7XAAUHC5Kg==
Message-ID: <E3FE7449DA379947ACF8DED902652BD00117645BC7F1@EXMBX
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach: yes
X-MS-TNEF-Correlator:
acceptlanguage: en-US
Content-Type: multipart/mixed;
boundary="_c02c641a-01be-4e87-b0b6-8b3a30a96577_"
MIME-Version: 1.0
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [105/4]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 21 Feb 2012 17:10:52.7432
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.125
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: chcorpedge03
X-MS-Exchange-Organization-OriginalSize: 307281
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXkv@];879100;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=chcorpedge03.
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-AVStamp-Mailbox: MSFTFF;1;0;0 0 0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: chcorpexhub01

*** TRADE TICKET ***

ABS INVESTMENT GROUP

TRADE DATE:	17-Feb-12	
TRADER:	ABS Investment Group	
CUSIP:	87222EAC2	
BOND NAME:	TBW 2007-1 A3	
PRICE:	51.1250000	[51-04]
SETTLE:	23-Feb-12	[THURSDAY]
BOND COUPON:	5.880%	
DAYS ACCRUAL:	22 DYS ACC	
ACCRUAL PAID:	675.55	
NEXT PAYMENT:	25-Mar-12	[24 DAY DELAY]
SELLS (ORIG. FACE):	188,000.00	
FACTOR:	1.000000000	
CURRENT FACE:	188,000.00	
PRINCIPAL VALUE:	96,115.00	
TOTAL FUNDS:	96,790.55	

COMMENTS: Traction Fonder AB buys, and ABS Investment Group sells $188,000.00 original face.

Contacts

Purchaser:
Ulf Deckmark, VD
Traction Fonder AB
Biblioteksgatan 3, 2tr
Stockholm, 11146 Sweden
+46850255604 (office)
+46705309331 (mobile)
ulf.deckmark@tractionfonder.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

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-02-22 14:51:55 +0000

To: matthew.brunelle@lpl.com

CC: rchamberlin@cwbk.com

Subject: FW:

Matt -

Call me this morning, please. We are trying to match the description of the bond in Euroclear so we can set up between SEB and LPL.

Thanks,

Mark

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

From: Ulf Deckmark [ulf.deckmark@tractionfonder.se]
Sent: Wednesday, February 22, 2012 6:26 AM
To: Mark Bishop
Subject:

Hi Mark

SEB cannot find the bond has you to placed it in as TBW37 A3 1 ? instead of TBW 2007-1 A3 ?

Best regards

Ulf

Ulf Deckmark, VD
Traction Fonder AB
Biblioteksgatan 3, 2tr
111 46 Stockholm
Tel: + 46 8 502 556 03
Fax: + 46 8 502 556 04
ulf.deckmark@tractionfonder.se<mailto:ulf.deckmark@tractionfonder.se>

www.tractionfonder.se<http://www.tractionfonder.se/>

RISK:
Det finns inga garantier för att en investering i någon av fonderna inte kan leda till förlust, trots positiv utveckling på de finansiella marknaderna. Historisk avkastning är ingen garanti för framtida avkastning och en investering i någon av våra fonder bör betraktas som en långsiktig investering.

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Message Headers:

X-ZANTAZ-RECIP: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>, "matth
Return-path: mbishop@absig.com
X-MEDIA-ID: 2E8UED3CO26OMe8OGGQFP213QH9G416MIOA52R0912U5PSKH5
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0093597434@LPLCMMLP03.
Received: from SDCORPEDGE04.corp.lpl.com (172.17.123.41) by
 SDCORPEXHUB03.corp.lpl.com (10.2.32.155) with Microsoft SMTP Server (TLS)
 14.1.355.2; Wed, 22 Feb 2012 06:54:02 -0800
Received: from psmtp.com (172.17.123.1) by SDCORPEDGE04.corp.lpl.com
 (172.17.123.41) with Microsoft SMTP Server (TLS) id 14.1.355.2; Wed, 22 Feb
 2012 06:53:46 -0800
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
Received: from mx.cbeyond.com ([66.180.96.58]) (using TLSv1) by
 exprod8mx239.postini.com ([64.18.7.10]) with SMTP; Wed, 22 Feb 201
 MST
X-SBRS: 5.3
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: imx06dal.sys.cbeyond.net
X-IronPort-Anti-Spam-Filtered: true
X-IronPort-Anti-Spam-Result:
AqsBAFIBRU9CtGAbmWdsb2JhbABAA7MIAQEBAQEICwsHFCeBcwEBBSlQEAIDBh
X-IronPort-AV: E=Sophos;i="4.73,464,1325480400";
   d="scan'208";a="463235632"
Received: from exchange.cbeyondonline.net (HELO hub402dal.mmeprod.cbeyon
 ([66.180.96.27]) by mx.cbeyond.com with ESMTP; 22 Feb 2012 09:53:42 -05
Received: from EXMBX02.mmeprod.cbeyond ([192.168.13.40]) by
 hub402dal.mmeprod.cbeyond ([192.168.13.100]) with mapi; Wed, 22 Feb 201
 09:53:42 -0500
From: Mark Bishop <mbishop@absig.com>
To: "matthew.brunelle@lpl.com" <matthew.brunelle@lpl.com>
CC: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
Importance: high
X-Priority: 1

Date: Wed, 22 Feb 2012 09:51:55 -0500
Subject: FW:
Thread-Index: AczxbfI7xly6tnvITlOW0S4WqBxyZAAA4uzj
Message-ID: <E3FE7449DA379947ACF8DED902652BD00117645BC7FD@EXMBX
References: <A6F1860849BE2F41B51DC5B6506944C70581B512AB@ex-mbx2.h
In-Reply-To: <A6F1860849BE2F41B51DC5B6506944C70581B512AB@ex-mbx2.
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
acceptlanguage: en-US
Content-Type: text/plain; charset="iso-8859-1"
Content-Transfer-Encoding: quoted-printable
MIME-Version: 1.0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [105/4]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 22 Feb 2012 14:53:46.6183
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 172.17.123.1
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: SDCORPEDGE
X-MS-Exchange-Organization-OriginalSize: 4378
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXkv@];879300;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=SDCORPEDGE0
X-MS-Exchange-Forest-ArrivalHubServer: SDCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: SDCORPEDGE04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=SDCORPEDGE04.corp.lpl.c
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-6.800.1017-18726.000
X-TM-AS-Result: No--17.162500-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Exception @Mphasis.com
Addresses%%%LPL Data Feeds Rule%%%Lock Down Sending External%%%E
Disclaimer%%%Service360 Team 17%%%Service360 Team 41%%%Christine
Service360 Team 41 Mailbox%%%Corporate Events and Travel - Bcc%%%NYC
Service360 Team

From: Ulf Deckmark <ulf.deckmark@tractionfonder.se>

Sent: 2012-02-23 16:59:14 +0000

To: Matthew Brunelle <Matthew.Brunelle@lpl.com>; mbishop@absig.com; Ron Chamberlin <rchamberlin@cwbk.com>

Subject: SV: Status update, CUSIP

Matt,

The custodian SEB does allow to have instructions up past settle date.

Best regards

Ulf Deckmark, VD
Traction Fonder AB

Från: Matthew Brunelle [mailto:Matthew.Brunelle@lpl.com]
Skickat: den 23 februari 2012 17:43
Till: Matthew Brunelle; mbishop@absig.com; Ron Chamberlin
Kopia: Ulf Deckmark
Ämne: RE: Status update, CUSIP

Ulf,

Mark Bishop informed me that you see our instructions as matched. If you could please leave your instructions alone, that way once the shares are moved to Euroclear they should settle immediately. If your custodian does not allow you to have instructions up past settle date and you need to amend with new dates please let me know and I will amend to match you.

120223 SV_ Status update_ CUSIP.pdf

Matt Brunelle

LPL Financial
Foreign Settlements Specialist | Settlements

Toll-free: (800) 877-7210 | ext. 5543

E-mail: matthew.brunelle@lpl.com

From: Matthew Brunelle
Sent: Thursday, February 23, 2012 8:34 AM
To: 'mbishop@absig.com'; Ron Chamberlin
Cc: 'ulf.deckmark@tractionfonder.se'
Subject: Status update, CUSIP

Mark and Ron,

Unfortunately the trade did not settle. The issue is we do not have sufficient shares in Euroclear to make settlement. We successfully did the journal entry between the accounts. Then we were able to move the shares from DTC to our foreign account at Merrill however these are held in the Canadian market, CDS, by default. Merrill is now working to move the shares from CDS to Euroclear so that we can make delivery. I asked for a time frame and they were unable to provide one but if I had to guess I would say a day or two. Our instructions are still up to deliver in Euroclear and once the shares are moved into Euroclear they should be delivered out. I apologize for the delay but as you can see there are a lot of moving parts on this one and I had to wait for the journal entry be complete before I could proceed.

Regards,

Matt Brunelle

LPL Financial
Foreign Settlements Specialist | Settlements

Toll-free: (800) 877-7210 | ext. 5543

E-mail: matthew.brunelle@lpl.com

120223 SV_ Status update_ CUSIP.pdf

From: Mark [mailto:mbishop@absig.com]
Sent: Wednesday, February 22, 2012 7:23 AM
To: Matthew Brunelle; Ron Chamberlin
Subject: Fw:

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

From: Ulf Deckmark <ulf.deckmark@tractionfonder.se>

Date: Wed, 22 Feb 2012 10:07:44 -0500

To: Mark Bishop<mbishop@absig.com>

Subject:

Hi Mark,

Also the ISIn code error , it is registrated is US87222EAC21 with name TBW37 A3 1 instead of US87222EAC27 with name TBW 2007-1 A3

Best regards

Ulf

Ulf Deckmark, VD
Traction Fonder AB
Biblioteksgatan 3, 2tr
111 46 Stockholm
Tel: + 46 8 502 556 03

Fax: + 46 8 502 556 04
ulf.deckmark@tractionfonder.se

www.tractionfonder.se

RISK:

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Message Headers:

X-ZANTAZ-RECIP: Matthew Brunelle <Matthew.Brunelle@lpl.com>, "mbishop@absig.com" <mbishop@absig.com>, Ron Chamberlin <rchamberlin@cwbk.com>
Return-path: ulf.deckmark@tractionfonder.se
X-MEDIA-ID: DRV420705VB93e2GHLH983AP4HKG416MO1R58V0M1USSQ4IAR4
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0093808172@LPLCMMLP03.:Corporate>
Received: from chcorpedge03.corp.lpl.com (172.22.123.40) by CHCORPEXHUB03.corp.lpl.com (10.22.121.47) with Microsoft SMTP Server (TLS 14.1.355.2; Thu, 23 Feb 2012 11:59:23 -0500
Received: from psmtp.com (64.18.3.56) by chcorpedge03.corp.lpl.com

(172.22.123.40) with Microsoft SMTP Server (TLS) id 14.1.355.2; Thu, 23 Feb 2012 11:59:04 -0500
Received-SPF: none (google.com: ulf.deckmark@tractionfonder.se does not desi
permitted sender hosts) client-ip=94.246.96.43;
Received: from smtp1-3.ilait.se ([94.246.96.43]) (using TLSv1) by exprod8mx264.postini.com ([64.18.7.10]) with SMTP; Thu, 23 Feb 201
08:59:21 PST
Received: from ex-hub1.hosting.local (ex-hub1.ilait.se [82.99.18.59]) (using TLSv1 with cipher RC4-MD5 (128/128 bits)) (No client certificate requested) by smtp1-3.ilait.se (Postfix) with ESMTPS id 5DAD71A43E; Thu, 23
2012 16:59:18 +0000 (UTC)
Received: from ex-mbx2.hosting.local ([10.46.16.32]) by ex-hub1.hosting.local ([10.46.16.131]) with mapi; Thu, 23 Feb 2012 17:59:18 +0100
From: Ulf Deckmark <ulf.deckmark@tractionfonder.se>
To: Matthew Brunelle <Matthew.Brunelle@lpl.com>, "mbishop@absig.com" <mbishop@absig.com>, Ron Chamberlin <rchamberlin@cwbk.com>
Date: Thu, 23 Feb 2012 17:59:14 +0100
Subject: SV: Status update, CUSIP
Thread-Topic: Status update, CUSIP
Thread-Index: AczxdeaNrdrrhtQDQSWdIx3Kn+JMkgA0mhyQAABkOzAAAJUJMA=
Message-ID: <A6F1860849BE2F41B51DC5B6506944C70581B5172D@ex-mbx2.hosting.local>
References: <466508987-1329924184-cardhu_decombobulator_blackberry.rim.1473596624-@b2.c22.bise6.blackberry>

<94CDD50F9D2C2743942780F94E517EEE17FF9A1C73@SDCORPEXMBX01.corp
In-Reply-To:
<94CDD50F9D2C2743942780F94E517EEE17FF9A1C73@SDCORPEXMBX01.corp
Accept-Language: sv-SE
Content-Language: sv-SE
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
acceptlanguage: sv-SE
Content-Type: multipart/alternative; boundary="_1b6de4a6-4609-4cdd-9731-80d865639e10_"
MIME-Version: 1.0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
P:95.9108 M:97.0282 C:98.6951)
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <ulf.deckmark@tractionfonder.se> [105/4]
Return-Path: ulf.deckmark@tractionfonder.se
X-MS-Exchange-Organization-OriginalArrivalTime: 23 Feb 2012 16:59:04.5870 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.56
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed:
chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 25730
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-
000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXkv@];879500;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;

X-MS-Exchange-Organization-MessageLatencyInProgress:
LSRV=chcorpedge03.corp.lpl.com:TOTAL=0;2012-02-23T16:59:05.149Z
X-MS-Exchange-Forest-ArrivalHubServer: CHCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency:
SRV=chcorpedge03.corp.lpl.com:TOTAL=18|QD=18
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-6.800.1017-18728.005
X-TM-AS-Result: No--35.095300-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: CHCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Exception @Mphasis.com
Addresses%%%LPL Data Feeds Rule%%%Lock Down Sending External%%%E
Disclaimer%%%Service360 Team 17%%%Service360 Team 41%%%Christine
McDonagh
Service360 Team 41 Mailbox%%%Corporate Events and Travel - Bcc%%%NYC
Service360 Team

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-09-11 07:28:21 +0000

To: rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; vieng.louangrath@lpl.com

Subject: Bond purchase for TUESDAY, SEPTEMBER 11, 2012 - [LMT 2005-2 1A4, cusip 52520MBR3, orig. face $9,850,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on TUESDAY, SEPTEMBER 11, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, however the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "7395-4378", LPL account name "American RMBS Equity Fund IV, LP".

CUSIP: 52520MBR3
BOND NAME: LMT 2005-2 1A4
DTC: 0075
ACCOUNT: 7395-4378
CREDIT: American RMBS Equity Fund IV, LP
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $9,850,000
CURRENT FACE: $7,558,867.65
PRICE: 32.500% [32-16]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
<vieng.louangrath@lpl.com>, "rchamberlin@cwbk.com" <rchamberlin@cwbk.co
MIME-Version: 1.0
X-MEDIA-ID: CT1802_NAS09
X-ZANTAZ-SOURCE-URI:
zip:file:/mnt/NAS09/2R/9B/2R9BJ610SMUIBe7CL7HB2F0MA0QG4176Q4VV2803

X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0123478462@LPLCMMLP03.:
Received: from SDCORPEDGE03.corp.lpl.com (172.17.123.40) by
 SDCORPEXHUB03.corp.lpl.com (10.2.32.155) with Microsoft SMTP Server (TLS)
 14.2.298.4; Tue, 11 Sep 2012 00:32:00 -0700
Received: from psmtp.com (64.18.3.151) by SDCORPEDGE03.corp.lpl.com
 (172.17.123.40) with Microsoft SMTP Server (TLS) id 14.2.298.5; Tue, 11 Sep
 2012 00:31:51 -0700
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
Received: from omx.cbeyond.com ([50.20.30.10]) (using TLSv1) by
 exprod8mx284.postini.com ([64.18.7.10]) with SMTP; Tue, 11 Sep 201
 PDT
X-SBRS: -0.5
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: omx03bay.sys.cbeyond.net
X-IronPort-Anti-Spam-Filtered: true
X-IronPort-Anti-Spam-Result:
Au8DAFPoTlBCtGAbX2dsb2JhbABCA4VAshSEExcLAgkHFCeCJzo/EgE1CAEFPREWE
X-IronPort-AV: E=Sophos;i="4.80,402,1344225600";
   d="scan'208";a="64285832"
Received: from mx1.cbeyond.com (HELO hub401dal.mmeprod.cbeyond)
 ([66.180.96.27]) by omx.cbeyond.com with ESMTP; 11 Sep 2012 03:31:57 -0
Received: from EXMBX02.mmeprod.cbeyond ([192.168.13.40]) by
 hub401dal.mmeprod.cbeyond ([192.168.13.99]) with mapi; Tue, 11 Sep 2012
 03:31:57 -0400
From: Mark Bishop <mbishop@absig.com>
To: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>,
        "vieng.louangrath@lpl.com" <vieng.louangrath@lpl.com>
Date: Tue, 11 Sep 2012 03:28:21 -0400
Subject: Bond purchase for TUESDAY, SEPTEMBER 11, 2012 - [LMT 2005-2 1A4
 cusip 52520MBR3, orig. face $9,850,000]...
Thread-Topic: Bond purchase for TUESDAY, SEPTEMBER 11, 2012 - [LMT 2005-2
 1A4, cusip 52520MBR3, orig. face $9,850,000]...
Thread-Index: AQHNj++FGeHqpteIOUy31AIEzEvgww==
Message-ID: <E3FE7449DA379947ACF8DED902652BD0013C5073D381@EXMBX
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X-MS-TNEF-Correlator:
acceptlanguage: en-US
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:29.00313/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [db-null]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 11 Sep 2012 07:31:51.9507
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.151
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: SDCORPEDGE
X-MS-Exchange-Organization-OriginalSize: 2956
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000

X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXkv@];938500;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=SDCORPEDGE0
11T07:31:52.200Z
X-MS-Exchange-Forest-ArrivalHubServer: SDCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: SDCORPEDGE03.corp.lpl.com
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X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-7.000.1014-19176.005
X-TM-AS-Result: No--2.306600-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Lock Down Sending
Externally (New)%%%Exception @Mphasis.com Addresses%%%LPL Data Feed
Rule%%%Email Disclaimer%%%NestWise Outbound Disclaimer%%%Fortigent
Disclaimer%%%Infof.Fortigent Outbound Disclaimer%%%Service360 Team
17%%%Service360 Team 40%%%Service360 Team 41%%%Diana Gonzalez S
Team 41 Mailbox%%%Robert Scheeler Service360 Team 41 Mailbox%%%Jean
Service360 Team 41 Mailbox%%%Rubie Garcia Service360 Team 41
Mailbox%%%Service360 Team 20 Mailbox%%%NYCB Service360 Team

From: Vieng Louangrath <Vieng.Louangrath@lpl.com>

Sent: 2012-09-11 18:07:27 +0000

To: Mark Bishop <mbishop@absig.com>; rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>

Subject: RE: Bond purchase for TUESDAY, SEPTEMBER 11, 2012 - [LMT 2005-2 1A4, cusip 52520MBR3, orig. face $9,850,000]...

Hi,

This have settle today.

AHIS 09/11/12 14:06:52 023/001
FUNC LAST CRNCY USD <<< AHIS - ACCOUNT HISTORY >>>> SUB 001
INQ ACCT 73954378 T A B/R _ _____ FILTR _ SEC C-52520MBR3 DATE _____ M/M
ACCT NAME AMERICAN RMBS EQUITY FUND DIST V-AMT STMT CD N REP
7NPB A PARTNERSHIP HOME PHONE 949-678-9574 C TD .00 MM
3.82- TOT 3.82- M TD .00
T DATE QUANTITY DESCRIPTION PRICE/SOURCE AMOUNT
1 09/11/12 9,850,000L LEHMAN MTG TR VLG T/A
REMIC 2005-2 CL 1A4
MONTHLY 24 DAY DELAY
CPN 5.750% DUE 12/25/35
DTD 11/01/05 FC 12/25/05

Thanks,

Vieng Louangrath
LPL Financial
Settlement Specialist | Settlements

Direct (858) 909-7387
Toll-free (800) 877-7210 | ext.7387
Email:vieng.louangrath@lpl.com
-----Original Message-----
From: Mark Bishop [mailto:mbishop@absig.com]
Sent: Tuesday, September 11, 2012 12:28 AM
To: rchamberlin@cwbk.com
Cc: Craig Chang; Steve Bishop; Vieng Louangrath
Subject: Bond purchase for TUESDAY, SEPTEMBER 11, 2012 - [LMT 2005-2 1A4, cusip 52520MBR3, orig. face $9,850,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on TUESDAY, SEPTEMBER 11, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, however the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "7395-4378", LPL account name "American RMBS Equity Fund IV, LP".

CUSIP: 52520MBR3
BOND NAME: LMT 2005-2 1A4
DTC: 0075
ACCOUNT: 7395-4378
CREDIT: American RMBS Equity Fund IV, LP
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $9,850,000
CURRENT FACE: $7,558,867.65
PRICE: 32.500% [32-16]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

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Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
"rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
MIME-Version: 1.0
X-MEDIA-ID: CT1802_NAS09
X-ZANTAZ-SOURCE-URI:
zip:file:/mnt/NAS09/1U/6G/1U6GOH3L2BQ7JeC0PC5EUO5O127G4176RD8MH20
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0123169164@LPLCMMLP01.:
Received: from SDCORPEXMBX01.corp.lpl.com ([10.2.32.54]) by sdcorpexhub0
([10.2.32.23]) with mapi; Tue, 11 Sep 2012 11:07:28 -0700
From: Vieng Louangrath <Vieng.Louangrath@lpl.com>
To: Mark Bishop <mbishop@absig.com>, "rchamberlin@cwbk.com"
<rchamberlin@cwbk.com>
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>
Date: Tue, 11 Sep 2012 11:07:27 -0700
Subject: RE: Bond purchase for TUESDAY, SEPTEMBER 11, 2012 - [LMT 2005-2
1A4, cusip 52520MBR3, orig. face $9,850,000]...
Thread-Topic: Bond purchase for TUESDAY, SEPTEMBER 11, 2012 - [LMT 2005-2
1A4, cusip 52520MBR3, orig. face $9,850,000]...

Thread-Index: AQHNj++FGeHqpteIOUy31AIEzEvgw5eFcJ0A
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References: <E3FE7449DA379947ACF8DED902652BD0013C5073D381@EXMBX
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X-MS-Exchange-Organization-AuthAs: Internal
X-MS-Exchange-Organization-AuthMechanism: 04
X-MS-Exchange-Organization-AuthSource: SDCORPEXHUB01.corp.lpl.com
X-MS-Has-Attach:
X-MS-Exchange-Organization-SCL: -1
X-MS-Exchange-Organization-AVStamp-Mailbox: MSFTFF;1;0;0 0 0
X-MS-TNEF-Correlator:
acceptlanguage: en-US
x-ms-exchange-organization-originalsize: 13701
x-ms-exchange-organization-originalarrivaltime: 11 Sep 2012 18:07:28.0629
(UTC)
x-ms-exchange-organization-messagesource: StoreDriver
x-ms-exchange-organization-recipient-limit-verified: True
x-ms-exchange-organization-disclaimer-hash: 3526cf1581d5609c3443421c962b
x-ms-exchange-forest-rulesexecuted: SDCORPEXHUB01
Content-Type: text/plain; charset="utf-8"
Content-Transfer-Encoding: base64

121012 [MARM 2005-6 4A2_ cusip 576433A63_ orig. face $3_187_000]...pdf

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-10-12 05:26:24 +0000

To: rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; vieng.louangrath@lpl.com

Subject: Bond purchase for FRIDAY, OCTOBER 12, 2012 - [MARM 2005-6 4A2, cusip 576433A63, orig. face $3,187,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on FRIDAY, OCTOBER 12, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, however the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "1360-4701", LPL account name "ABS Investment Group".

CUSIP: 576433A63
BOND NAME: MARM 2005-6 4A2
DTC: 0075
ACCOUNT: 1360-4701
CREDIT: ABS Investment Group
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $3,187,000
CURRENT FACE: $1,433,834.81
PRICE: 25.625% [25-20]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
"vieng.louangrath@lpl.com" <vieng.louangrath@lpl.com>, "rchamberlin
<rchamberlin@cwbk.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 8KSS5OP2K2QJPe669AOI6OCOOOAG41799LU85L03BH1RAR6L2HR

X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0127807158@LPLCMMLP01.:
Received: from SDCORPEDGE04.corp.lpl.com (172.17.123.41) by
 SDCORPEXHUB02.corp.lpl.com (10.2.32.24) with Microsoft SMTP Server (TLS) i
 8.3.245.1; Thu, 11 Oct 2012 22:26:28 -0700
Received: from psmtp.com (64.18.3.148) by SDCORPEDGE04.corp.lpl.com
 (172.17.123.41) with Microsoft SMTP Server (TLS) id 14.2.318.1; Thu, 11 Oct
 2012 22:26:19 -0700
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
ip=50.20.30.10;
Received: from omx.cbeyond.com ([50.20.30.10]) (using TLSv1) by
 exprod8mx248.postini.com ([64.18.7.10]) with SMTP; Fri, 12 Oct 2012
 EDT
X-SBRS: -0.5
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: omx07bay.sys.cbeyond.net
X-IronPort-Anti-Spam-Filtered: true
X-IronPort-Anti-Spam-Result:
Ap0EALiod1BCtGAbX2dsb2JhbABBA4VLthuEDBgLAgkHFCeCJzo/EgE1CQU9ERYED
X-IronPort-AV: E=Sophos;i="4.80,576,1344225600";
   d="scan'208";a="142884512"
Received: from mx1.cbeyond.com (HELO hub404dal.mmeprod.cbeyond)
 ([66.180.96.27]) by omx.cbeyond.com with ESMTP; 12 Oct 2012 01:26:25 -04
Received: from EXMBX02.mmeprod.cbeyond ([192.168.13.40]) by
 hub404dal.mmeprod.cbeyond ([192.168.13.102]) with mapi; Fri, 12 Oct 2012
 01:26:25 -0400
From: Mark Bishop <mbishop@absig.com>
To: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>,
        "vieng.louangrath@lpl.com" <vieng.louangrath@lpl.com>
Date: Fri, 12 Oct 2012 01:26:24 -0400
Subject: Bond purchase for FRIDAY, OCTOBER 12, 2012 - [MARM 2005-6 4A2,
 cusip 576433A63, orig. face $3,187,000]...
Thread-Topic: Bond purchase for FRIDAY, OCTOBER 12, 2012 - [MARM 2005-6 4
 cusip 576433A63, orig. face $3,187,000]...
Thread-Index: AQHNqDoe2osKV+tRzkuBeH9Ep5XR/Q==
Message-ID: <E3FE7449DA379947ACF8DED902652BD0013C5073D49C@EXMBX
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
acceptlanguage: en-US
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
MIME-Version: 1.0
X-pstn-levels: (S:29.49230/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [db-null]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 12 Oct 2012 05:26:19.3593
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.148
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: SDCORPEDGE
X-MS-Exchange-Organization-OriginalSize: 2899

X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXkv@];945500;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=SDCORPEDGE0
10-12T05:26:19.687Z
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: SDCORPEDGE04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-AVStamp-Mailbox: MSFTFF;1;0;0 0 0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB02

From: Vieng Louangrath <Vieng.Louangrath@lpl.com>

Sent: 2012-10-12 18:37:17 +0000

To: Mark Bishop <mbishop@absig.com>; rchamberlin@cwbk.com; mbishop@absig.com; rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; cchang@absig.com; sbishop@absig.com

Subject: RE: Bond purchase for FRIDAY, OCTOBER 12, 2012 - [MARM 2005-6 4A2, cusip 576433A63, orig. face $3,187,000]...

Attachments: image001.png

Hi Mark/Ron!

Shares are in the acct today.

Have a wonderful weekend!

[cid:image001.png@01CDA86D.EE66F980]

Thanks,

Vieng Louangrath

LPL Financial

Settlement Specialist | Settlements

Direct (858) 909-7387

Toll-free (800) 877-7210 | ext.7387

Email:vieng.louangrath@lpl.com

-----Original Message-----
From: Mark Bishop [mailto:mbishop@absig.com]
Sent: Thursday, October 11, 2012 10:26 PM
To: rchamberlin@cwbk.com
Cc: Craig Chang; Steve Bishop; Vieng Louangrath
Subject: Bond purchase for FRIDAY, OCTOBER 12, 2012 - [MARM 2005-6 4A2, cusip 576433A63, orig. face $3,187,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on FRIDAY, OCTOBER 12, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, however the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "1360-4701", LPL account name "ABS Investment Group".

CUSIP: 576433A63

BOND NAME: MARM 2005-6 4A2

DTC: 0075

ACCOUNT: 1360-4701

CREDIT: ABS Investment Group

COUNTERPARTY: Mesirow Financial

ORIGINAL FACE: $3,187,000

CURRENT FACE: $1,433,834.81

PRICE: 25.625% [25-20]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

_____

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Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
cchang@absig.com, sbishop@absig.com, Mark Bishop <mbishop@absig.com>,
"rchamberlin@cwbk.com" <rchamberlin@cwbk.com>, mbishop@absig.com, rch
Return-path: vieng.louangrath@lpl.com
X-MEDIA-ID: A3JAHEDLL20MHe2DRAN2SPCLB7GG4179CCL78V0608KPLVP625G
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0127927411@LPLCMMLP01.:
Received: from SDCORPEXMBX05.corp.lpl.com ([fe80::bdd2:86ef:7d05:2634])
SDCORPEXHUB03.corp.lpl.com ([10.2.32.155]) with mapi id 14.02.0318.001; F
12 Oct 2012 11:37:17 -0700
From: Vieng Louangrath <Vieng.Louangrath@lpl.com>
To: Mark Bishop <mbishop@absig.com>, "rchamberlin@cwbk.com"
<rchamberlin@cwbk.com>
TO: mbishop@absig.com
TO: rchamberlin@cwbk.com
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>
CC: cchang@absig.com
CC: sbishop@absig.com
Subject: RE: Bond purchase for FRIDAY, OCTOBER 12, 2012 - [MARM 2005-6 4A
cusip 576433A63, orig. face $3,187,000]...
Thread-Topic: Bond purchase for FRIDAY, OCTOBER 12, 2012 - [MARM 2005-6 4
cusip 576433A63, orig. face $3,187,000]...
Thread-Index: AQHNqDoe2osKV+tRzkuBeH9Ep5XR/Ze2AEsw
Date: Fri, 12 Oct 2012 18:37:17 +0000
Message-ID: <ABDEDA1D69CF1346BE888ACFF4D48E3A05823C@SDCORPEXMB
References:
<E3FE7449DA379947ACF8DED902652BD0013C5073D49C@EXMBX02.mmeprod
In-Reply-To:
<E3FE7449DA379947ACF8DED902652BD0013C5073D49C@EXMBX02.mmeprod
Accept-Language: en-US
Content-Language: en-US
X-MS-Exchange-Organization-AuthAs: Internal
X-MS-Exchange-Organization-AuthMechanism: 04
X-MS-Exchange-Organization-AuthSource: SDCORPEXHUB03.corp.lpl.com
X-MS-Has-Attach: yes

X-MS-Exchange-Organization-SCL: -1
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXkv@];945500;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-TNEF-Correlator:
x-ms-exchange-organization-originalsize: 101735
x-ms-exchange-organization-originalarrivaltime: 12 Oct 2012 18:37:17.4430
(UTC)
x-ms-exchange-organization-messagesource: StoreDriver
x-ms-exchange-organization-messagedirectionality: Originating
x-ms-exchange-forest-messagescope: 00000000-0000-0000-0000-000000000
x-ms-exchange-organization-messagescope: 00000000-0000-0000-0000-00000
X-MS-Exchange-Organization-BCC:
x-ms-exchange-organization-originalclientipaddress: 10.2.32.14
x-originating-ip: [10.2.32.14]
x-ms-exchange-organization-originalserveripaddress: 10.2.32.159
x-ms-exchange-organization-messagelatency: SRV=SDCORPEXMBX05.corp.lpl.c
x-ms-exchange-organization-hygienepolicy: Standard
x-ms-exchange-organization-recipient-limit-verified: True
x-tm-as-product-ver: SMEX-10.2.0.1135-7.000.1014-19266.001
x-tm-as-result: No--40.725000-8.000000-31
x-tm-as-user-approved-sender: No
x-tm-as-user-blocked-sender: No
x-ms-exchange-organization-disclaimer-hash:
d4e7cba36fe3f431e278567c5495e58a6db2870813960bacc70a15fd0402bca5
x-ms-exchange-forest-rulesexecuted: SDCORPEXHUB03
x-ms-exchange-organization-rules-execution-history: Lock Down Sending
Externally (New)%%%Exception @Mphasis.com Addresses%%%LPL Data Feed
Rule%%%Email Disclaimer%%%NestWise Outbound Disclaimer%%%Fortigent
Disclaimer%%%Infof.Fortigent Outbound Disclaimer%%%Service360 Team
17%%%Service360 Team 40%%%Service360 Team 41%%%Diana Gonzalez S
Team 41 Mailbox%%%Robert Scheeler Service360 Team 41 Mailbox%%%Jean
Service360 Team 41 Mailbox%%%Rubie Garcia Service360 Team 41
Mailbox%%%Service360 Team 20 Mailbox%%%NYCB Service360 Team
Content-Type: multipart/related;
boundary="_002_ABDEDA1D69CF1346BE888ACFF4D48E3A05823CSDC
type="text/plain"
MIME-Version: 1.0

121105 [CFAB 2003-5 1B_ cusip 161546GP5_ orig. face $3_000_000]...pdf

---

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-11-05 19:52:09 +0000

To: rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; vieng.louangrath@lpl.com

Subject: Bond purchase for TUESDAY, NOVEMBER 6, 2012 - [CFAB 2003-5 1B, cusip 161546GP5, orig. face $3,000,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on TUESDAY, NOVEMBER 6, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, and the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "1360-4701", LPL account name "ABS Investment Group".

CUSIP: 161546GP5
BOND NAME: CFAB 2003-5 1B
DTC: 0075
ACCOUNT: 1360-4701
CREDIT: ABS Investment Group
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $3,000,000
CURRENT FACE: $1,460,625.42
PRICE: 48.000% [48-00]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
"vieng.louangrath@lpl.com" <vieng.louangrath@lpl.com>, "rchamberlin
<rchamberlin@cwbk.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 1NK37H5R9MRLPe50VQCIKJS1VNPG417BAATLCI0V8JV8B0KJNQCI

X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0136788442@LPLCMMLP04.:
Received: from chcorpedge04.corp.lpl.com (172.22.123.41) by
 chcorpexhub01.corp.lpl.com (10.22.121.51) with Microsoft SMTP Server (TLS) i
 8.3.245.1; Mon, 5 Nov 2012 14:57:00 -0500
Received: from psmtp.com (64.18.3.170) by chcorpedge04.corp.lpl.com
 (172.22.123.41) with Microsoft SMTP Server (TLS) id 14.2.318.1; Mon, 5 Nov
 2012 14:56:50 -0500
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
ip=50.20.30.10;
Received: from omx.cbeyond.com ([50.20.30.10]) (using TLSv1) by
 exprod8mx191.postini.com ([64.18.7.10]) with SMTP; Mon, 05 Nov 201
 WET
X-SBRS: -0.5
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: omx02bay.sys.cbeyond.net
X-IronPort-Anti-Spam-Filtered: true
X-IronPort-Anti-Spam-Result:
AtECAPgYmFBCtGAbX2dsb2JhbABBA4VQuWCEHBgLAgkHFCeCJTo/EgE1CQU9ERY
X-IronPort-AV: E=Sophos;i="4.80,716,1344225600";
   d="scan'208";a="13365553"
Received: from mx1.cbeyond.com (HELO hub403dal.mmeprod.cbeyond)
 ([66.180.96.27]) by omx.cbeyond.com with ESMTP; 05 Nov 2012 14:56:57 -0
Received: from EXMBX02.mmeprod.cbeyond ([192.168.13.40]) by
 hub403dal.mmeprod.cbeyond ([192.168.13.101]) with mapi; Mon, 5 Nov 2012
 14:56:57 -0500
From: Mark Bishop <mbishop@absig.com>
To: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>,
        "vieng.louangrath@lpl.com" <vieng.louangrath@lpl.com>
Date: Mon, 5 Nov 2012 14:52:09 -0500
Subject: Bond purchase for TUESDAY, NOVEMBER 6, 2012 - [CFAB 2003-5 1B,
 cusip 161546GP5, orig. face $3,000,000]...
Thread-Topic: Bond purchase for TUESDAY, NOVEMBER 6, 2012 - [CFAB 2003-5
 cusip 161546GP5, orig. face $3,000,000]...
Thread-Index: AQHNu4+1P+e1GkLLekiHBuQvb3bPCw==
Message-ID: <E3FE7449DA379947ACF8DED902652BD0013C5073D54D@EXMB
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
acceptlanguage: en-US
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
MIME-Version: 1.0
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:17.70829/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [db-null]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 05 Nov 2012 19:56:50.0048
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.170
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: chcorpedge04

X-MS-Exchange-Organization-OriginalSize: 2922
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;950700;0;This mail
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=chcorpedge04.
05T19:56:50.364Z
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: chcorpedge04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-AVStamp-Mailbox: MSFTFF;1;0;0 0 0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: chcorpexhub01

From: Vieng Louangrath <Vieng.Louangrath@lpl.com>

Sent: 2012-11-05 20:02:40 +0000

To: Mark Bishop <mbishop@absig.com>; rchamberlin@cwbk.com; SETTLEMENTS MAILBOX <SETTLEMENTS.MAILBOX@lpl.com>; settlements.mailbox@lpl.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; Tamara Badillo <Tamara.Badillo@lpl.com>; Matthew Brunelle <Matthew.Brunelle@lpl.com>; tamara.badillo@lpl.com; matthew.brunelle@lpl.com

Subject: RE: Bond purchase for TUESDAY, NOVEMBER 6, 2012 - [CFAB 2003-5 1B, cusip 161546GP5, orig. face $3,000,000]...

Hi,

I am no longer on the DTC desk. Please start sending these emails to the Settlement's mailbox at settlements.mailbox.@lpl.com

Thank you,

Vieng Louangrath
LPL Financial
Settlement Specialist | Settlements

Direct (858) 909-7387
Toll-free (800) 877-7210 | ext.7387
Email:vieng.louangrath@lpl.com
-----Original Message-----
From: Mark Bishop [mailto:mbishop@absig.com]
Sent: Monday, November 05, 2012 11:52 AM
To: rchamberlin@cwbk.com
Cc: Craig Chang; Steve Bishop; Vieng Louangrath
Subject: Bond purchase for TUESDAY, NOVEMBER 6, 2012 - [CFAB 2003-5 1B, cusip 161546GP5, orig. face $3,000,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on TUESDAY, NOVEMBER 6, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, and the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "1360-4701", LPL account name "ABS Investment Group".

CUSIP: 161546GP5
BOND NAME: CFAB 2003-5 1B

DTC: 0075
ACCOUNT: 1360-4701
CREDIT: ABS Investment Group
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $3,000,000
CURRENT FACE: $1,460,625.42
PRICE: 48.000% [48-00]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop
<sbishop@absig.com>, "Tamara Badillo" <Tamara.Badillo@lpl.com>, Matthew B
<Matthew.Brunelle@lpl.com>, tamara.badillo@lpl.com,
matthew.brunelle@lpl.com, Mark Bishop <mbishop@absig.com>,
"rchamberlin@cwbk.com" <rchamberlin@cwbk.com>, SETTLEMENTS MAILBOX
<SETTLEMENTS.MAILBOX@lpl.com>, settlements.mailbox@lpl.com
Return-path: vieng.louangrath@lpl.com
X-MEDIA-ID: 9CQA9S7VP97UGe0FDD22B4MRB4EG417B91JL050C1J8RMOC91S9
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION:
<P0129518516@LPLCMMLP02.:Corporate>
Received: from SDCORPEXMBX05.corp.lpl.com ([fe80::bdd2:86ef:7d05:2634]) b
SDCORPEXHUB04.corp.lpl.com ([10.2.32.156]) with mapi id 14.02.0318.001; M
5 Nov 2012 12:02:40 -0800
From: Vieng Louangrath <Vieng.Louangrath@lpl.com>
To: Mark Bishop <mbishop@absig.com>, "rchamberlin@cwbk.com"
<rchamberlin@cwbk.com>, SETTLEMENTS MAILBOX
<SETTLEMENTS.MAILBOX@lpl.com>
TO: settlements.mailbox@lpl.com
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>, "T
Badillo" <Tamara.Badillo@lpl.com>, Matthew Brunelle
<Matthew.Brunelle@lpl.com>
CC: tamara.badillo@lpl.com
CC: matthew.brunelle@lpl.com
Subject: RE: Bond purchase for TUESDAY, NOVEMBER 6, 2012 - [CFAB 2003-5 1
cusip 161546GP5, orig. face $3,000,000]...
Thread-Topic: Bond purchase for TUESDAY, NOVEMBER 6, 2012 - [CFAB 2003-5
cusip 161546GP5, orig. face $3,000,000]...
Thread-Index: AQHNu4+1P+e1GkLLekiHBuQvb3bPC5fbqQaw
Date: Mon, 5 Nov 2012 20:02:40 +0000
Message-ID:
<ABDEDA1D69CF1346BE888ACFF4D48E3A05BD6D@SDCORPEXMBX05.corp.lpl.
References:
<E3FE7449DA379947ACF8DED902652BD0013C5073D54D@EXMBX02.mmeprod

---

In-Reply-To:
<E3FE7449DA379947ACF8DED902652BD0013C5073D54D@EXMBX02.mmeprod
Accept-Language: en-US
Content-Language: en-US
X-MS-Exchange-Organization-AuthAs: Internal
X-MS-Exchange-Organization-AuthMechanism: 04
X-MS-Exchange-Organization-AuthSource: SDCORPEXHUB04.corp.lpl.com
X-MS-Has-Attach:
X-MS-Exchange-Organization-SCL: -1
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;950700;0;This mail
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-TNEF-Correlator:
x-ms-exchange-organization-originalsize: 13527
x-ms-exchange-organization-originalarrivaltime: 05 Nov 2012 20:02:40.0171
(UTC)
x-ms-exchange-organization-messagesource: StoreDriver
x-ms-exchange-organization-messagedirectionality: Originating
x-ms-exchange-forest-messagescope: 00000000-0000-0000-0000-0000000000
x-ms-exchange-organization-messagescope: 00000000-0000-0000-0000-00000
X-MS-Exchange-Organization-BCC:
x-ms-exchange-organization-originalclientipaddress: 10.2.32.10
x-originating-ip: [10.2.32.10]
x-ms-exchange-organization-originalserveripaddress: 10.2.32.159
x-ms-exchange-organization-messagelatency:
SRV=SDCORPEXMBX05.corp.lpl.com:TOTAL=0
x-ms-exchange-organization-hygienepolicy: Standard
x-ms-exchange-organization-recipient-limit-verified: True
x-ms-exchange-forest-rulesexecuted: SDCORPEXHUB04
x-ms-exchange-organization-rules-execution-history: Allow Employee
Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email
Disclaimer%%%NestWise
Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%Service360 Team
40%%%Service360
Team 41%%%Diana Gonzalez Service360 Team 41 Mailbox%%%Robert Schee
Service360 Team 41 Mailbox%%%Jean Biggs Service360 Team 41 Mailbox%%
Garcia Service360 Team 41 Mailbox%%%Service360 Team 20 Mailbox%%%NY
Service360 Team%%%Fortigent Size Limit Notification Test
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
MIME-Version: 1.0

121108 [LMT 2008-6 B1_ cusip 52525FAH6_ orig. face $6_614_000]...pdf

---

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-11-08 09:41:32 +0000

To: Mark Bishop <mbishop@absig.com>; rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; settlements.mailbox@lpl.com

Subject: Bond purchase for THURSDAY, NOVEMBER 8, 2012 - [LMT 2008-6 B1, cusip 52525FAH6, orig. face $6,614,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on THURSDAY, NOVEMBER 8, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, however the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "7395-4378", LPL account name "American RMBS Equity Fund IV, LP".

CUSIP: 52525FAH6
BOND NAME: LMT 2008-6 B1
DTC: 0075
ACCOUNT: 7395-4378
CREDIT: American RMBS Equity Fund IV, LP
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $6,614,000.00
CURRENT FACE: $6,410,480.03
PRICE: 33.000% [33-00]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
"settlements.mailbox@lpl.com" <settlements.mailbox@lpl.com>, Mark
"rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 4JUVRFCDM5BKBe8R020AKUUN762G417BFLFORT0KC6BU7A95487

X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0137303673@LPLCMMLP04.:
Received: from chcorpedge03.corp.lpl.com (172.22.123.40) by
 chcorpexhub04.corp.lpl.com (10.22.121.48) with Microsoft SMTP Server (TLS) i
 14.2.318.1; Thu, 8 Nov 2012 04:45:39 -0500
Received: from psmtp.com (64.18.3.109) by chcorpedge03.corp.lpl.com
 (172.22.123.40) with Microsoft SMTP Server (TLS) id 14.2.318.1; Thu, 8 Nov
 2012 04:45:09 -0500
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
ip=50.20.30.10;
Received: from omx.cbeyond.com ([50.20.30.10]) (using TLSv1) by
 exprod8mx209.postini.com ([64.18.7.10]) with SMTP; Thu, 08 Nov 201
 MST
X-SBRS: -0.5
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: omx08bay.sys.cbeyond.net
X-IronPort-Anti-Spam-Filtered: true
X-IronPort-Anti-Spam-Result:
AsgFAOd9m1BCtGAbX2dsb2JhbABBA4VRuiKEDxgLAgkHFCeCJTo/EgEWHwkFPRE
X-IronPort-AV: E=Sophos;i="4.80,736,1344225600";
   d="scan'208";a="15941732"
Received: from mx1.cbeyond.com (HELO hub401dal.mmeprod.cbeyond)
 ([66.180.96.27]) by omx.cbeyond.com with ESMTP; 08 Nov 2012 04:45:24 -0
Received: from EXMBX02.mmeprod.cbeyond ([192.168.13.40]) by
 hub401dal.mmeprod.cbeyond ([192.168.13.99]) with mapi; Thu, 8 Nov 2012
 04:45:23 -0500
From: Mark Bishop <mbishop@absig.com>
To: Mark Bishop <mbishop@absig.com>, "rchamberlin@cwbk.com"
        <rchamberlin@cwbk.com>
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>,
        "settlements.mailbox@lpl.com" <settlements.mailbox@lpl.com>
Date: Thu, 8 Nov 2012 04:41:32 -0500
Subject: Bond purchase for THURSDAY, NOVEMBER 8, 2012 - [LMT 2008-6 B1,
 cusip 52525FAH6, orig. face $6,614,000]...
Thread-Topic: Bond purchase for THURSDAY, NOVEMBER 8, 2012 - [LMT 2008-6
 cusip 52525FAH6, orig. face $6,614,000]...
Thread-Index: AQHNvZXFTzatDiAPAkWiEIR1Z31AcA==
Message-ID: <E3FE7449DA379947ACF8DED902652BD0013C5073D567@EXMBX
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
acceptlanguage: en-US
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
MIME-Version: 1.0
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:56.12060/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [80/3]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 08 Nov 2012 09:45:09.5336
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.109
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming

X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: chcorpedge03
X-MS-Exchange-Organization-OriginalSize: 2993
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=chcorpedge03.
08T09:45:09.893Z
X-MS-Exchange-Forest-ArrivalHubServer: CHCORPEXHUB04.corp.lpl.com
X-MS-Exchange-Organization-AuthSource: chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;951300;0;This mail
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Forest-RulesExecuted: chcorpexhub04
X-MS-Exchange-Organization-Rules-Execution-History: Allow Employee
Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email Disclaimer%%
Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%Service360 Team 40%%
Team 41%%%Diana Gonzalez Service360 Team 41 Mailbox%%%Robert Schee
Service360 Team 41 Mailbox%%%Jean Biggs Service360 Team 41 Mailbox%%
Garcia Service360 Team 41 Mailbox%%%Service360 Team 20 Mailbox%%%NY
Service360 Team%%%Fortigent Size Limit Notification Test

121203 [PCHLT 2005-4 1A2_ cusip 71085PDD2_ orig. face $800_000]...pdf

---

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-12-03 01:04:10 +0000

To: rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; settlements.mailbox@lpl.com

Subject: Bond purchase for TUESDAY, DECEMBER 4, 2012 - [PCHLT 2005-4 1A2, cusip 71085PDD2, orig. face $800,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on TUESDAY, DECEMBER 4, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, however the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "7395-4378", LPL account name "American RMBS Equity Fund IV, LP".

CUSIP: 71085PDD2
BOND NAME: PCHLT 2005-4 1A2
DTC: 0075
ACCOUNT: 7395-4378
CREDIT: American RMBS Equity Fund IV, LP
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $800,000.00
CURRENT FACE: $182,008.37
PRICE: 60.000% [60-00]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
"settlements.mailbox@lpl.com" <settlements.mailbox@lpl.com>, "rcha
Return-path: mbishop@absig.com
X-MEDIA-ID: 9P1VSNNKN1LQNeA3V2HO307L3KAG417DF3I0J90OEU3KSLA4OA8
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0135544544@LPLCMMLP03.:

Received: from SDCORPEDGE03.corp.lpl.com (172.17.123.40) by
 SDCORPEXHUB03.corp.lpl.com (10.2.32.155) with Microsoft SMTP Server (TLS)
 14.2.318.4; Sun, 2 Dec 2012 17:04:14 -0800
Received: from psmtp.com (64.18.3.42) by SDCORPEDGE03.corp.lpl.com
 (172.17.123.40) with Microsoft SMTP Server (TLS) id 14.2.318.4; Sun, 2 Dec
 2012 17:04:11 -0800
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
Received: from omx.cbeyond.com ([50.20.30.10]) (using TLSv1) by
 exprod8mx251.postini.com ([64.18.7.10]) with SMTP; Sun, 02 Dec 201
 EST
X-SBRS: 4.5
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: omx02bay.sys.cbeyond.net
X-IronPort-Anti-Spam-Filtered: true
X-IronPort-Anti-Spam-Result:
Au0FAGb5u1AyFB4LkWdsb2JhbABBA4Jsgnm2H4QbDgEBAQEUEhQgB4IgBTo/EgE
X-IronPort-AV: E=Sophos;i="4.84,202,1355115600";
  d="scan'208";a="17163475"
Received: from mts.cbeyond.com (HELO EXHUB102.mmeprod.cbeyond) ([50.20
  by omx.cbeyond.com with ESMTP; 02 Dec 2012 20:04:11 -0500
Received: from EXMBX201B.mmeprod.cbeyond ([fe80::4d5d:1aa7:298b:e94d])
 EXHUB102.mmeprod.cbeyond ([::1]) with mapi id 14.02.0298.004; Sun, 2 Dec
 20:04:11 -0500
From: Mark Bishop <mbishop@absig.com>
To: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>,
        "settlements.mailbox@lpl.com" <settlements.mailbox@lpl.com>
Subject: Bond purchase for TUESDAY, DECEMBER 4, 2012 - [PCHLT 2005-4 1A2
 cusip 71085PDD2, orig. face $800,000]...
Thread-Topic: Bond purchase for TUESDAY, DECEMBER 4, 2012 - [PCHLT 2005-
 1A2, cusip 71085PDD2, orig. face $800,000]...
Thread-Index: AQHN0PIa0rpNxxmrmkW6PgOb0+bweA==
Date: Mon, 3 Dec 2012 01:04:10 +0000
Message-ID: <4328DBAA31FEBB418ACAC193CFD80648014C7D@EXMBX201B.m
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
x-originating-ip: [68.5.62.70]
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
MIME-Version: 1.0
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:25.72104/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [195/7]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 03 Dec 2012 01:04:11.9521
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.42
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: SDCORPEDGE
X-MS-Exchange-Organization-OriginalSize: 2987
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000

X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;956500;0;This mail
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=SDCORPEDGE0
03T01:04:12.217Z
X-MS-Exchange-Forest-ArrivalHubServer: SDCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: SDCORPEDGE03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=SDCORPEDGE03.corp.lpl.c
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-7.000.1014-19410.005
X-TM-AS-Result: No--6.296500-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Allow Employee
Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email Disclaimer%%
Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%Test Fortigent Large Mess
Failure Notification%%%Service360 Team 40%%%Service360 Team 41%%%D
Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler Service360 Team
Mailbox%%%Jean Biggs Service360 Team 41 Mailbox%%%Rubie Garcia Servic
Team 41 Mailbox%%%Service360 Team 20 Mailbox%%%NYCB Service360
Team%%%Fortigent Size Limit Notification Te

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-12-09 12:04:34 +0000

To: rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; settlements.mailbox@lpl.com

Subject: Bond purchase for MONDAY, DECEMBER 10, 2012 - [CWALT 2005-28CB 1A11, cusip 12667GE82, orig. face $4,395,400]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on MONDAY, DECEMBER 10, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, however the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "1360-4701", LPL account name "ABS Investment Group, LLC".

CUSIP: 12667GE82
BOND NAME: CWALT 2005-28CB 1A11
DTC: 0075
ACCOUNT: 1360-4701
CREDIT: ABS Investment Group, LLC
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $4,395,400.00
CURRENT FACE: $3,955,984.22
PRICE: 20.000% [20-00]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
<settlements.mailbox@lpl.com>, "rchamberlin@cwbk.com" <rchamberlin@cwbk
Return-path: mbishop@absig.com
X-MEDIA-ID: 41JOPLGO171LEeEQC032FCE6FQNG417DVO6P9L0SF6O4NAD4ETQ
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0134722570@LPLCMMLP02.:

Received: from SDCORPEDGE03.corp.lpl.com (172.17.123.40) by
 SDCORPEXHUB03.corp.lpl.com (10.2.32.155) with Microsoft SMTP Server (TLS)
 14.2.318.4; Sun, 9 Dec 2012 04:06:18 -0800
Received: from psmtp.com (64.18.3.146) by SDCORPEDGE03.corp.lpl.com
 (172.17.123.40) with Microsoft SMTP Server (TLS) id 14.2.318.4; Sun, 9 Dec
 2012 04:06:06 -0800
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
Received: from omx.cbeyond.com ([50.20.30.10]) (using TLSv1) by
 exprod8mx246.postini.com ([64.18.7.10]) with SMTP; Sun, 09 Dec 201
 CST
X-SBRS: 4.5
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: omx08bay.sys.cbeyond.net
X-IronPort-Anti-Spam-Filtered: true
X-IronPort-Anti-Spam-Result:
AqcCAOR9xFAyFB4LkWdsb2JhbABBA4JsgwS0c4QSDgEBAQEUEhQngiAFOj8SASo
X-IronPort-AV: E=Sophos;i="4.84,246,1355115600";
   d="scan'208";a="20400466"
Received: from mts.cbeyond.com (HELO EXHUB101.mmeprod.cbeyond) ([50.20
  by omx.cbeyond.com with ESMTP; 09 Dec 2012 07:06:15 -0500
Received: from EXMBX201B.mmeprod.cbeyond ([fe80::4d5d:1aa7:298b:e94d])
 EXHUB101.mmeprod.cbeyond ([::1]) with mapi id 14.02.0298.004; Sun, 9 Dec
 07:04:35 -0500
From: Mark Bishop <mbishop@absig.com>
To: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>,
        "settlements.mailbox@lpl.com" <settlements.mailbox@lpl.com>
Subject: Bond purchase for MONDAY, DECEMBER 10, 2012 - [CWALT 2005-28CB
 1A11, cusip 12667GE82, orig. face $4,395,400]...
Thread-Topic: Bond purchase for MONDAY, DECEMBER 10, 2012 - [CWALT 2005
 1A11, cusip 12667GE82, orig. face $4,395,400]...
Thread-Index: AQHN1gVa16iEekaK1k6Gxa2/XhMghQ==
Date: Sun, 9 Dec 2012 12:04:34 +0000
Message-ID: <4328DBAA31FEBB418ACAC193CFD80648017148@EXMBX201B.m
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
x-originating-ip: [213.64.81.108]
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
MIME-Version: 1.0
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:61.20310/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [195/7]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 09 Dec 2012 12:06:06.1083
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.146
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: SDCORPEDGE
X-MS-Exchange-Organization-OriginalSize: 2996
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000

X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;958300;0;This mail
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=SDCORPEDGE0
09T12:06:06.311Z
X-MS-Exchange-Forest-ArrivalHubServer: SDCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: SDCORPEDGE03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=SDCORPEDGE03.corp.lpl.c
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-7.000.1014-19434.005
X-TM-AS-Result: No--7.332200-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Allow Employee
Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email Disclaimer%%
Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%Test Fortigent Large Mess
Failure Notification%%%Service360 Team 40%%%Service360 Team 41%%%D
Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler Service360 Team
Mailbox%%%Jean Biggs Service360 Team 41 Mailbox%%%Rubie Garcia Servic
Team 41 Mailbox%%%Service360 Team 20 Mailbox%%%NYCB Service360
Team%%%Fortigent Size Li

130123 CBASS 2007-CB1 AF4_ cusip 1248MGAM6..pdf

From:	Mark Bishop <mbishop@absig.com>
Sent:	2013-01-23 07:54:53 +0000
To:	rchamberlin@cwbk.com; fmanous@mesirowfinancial.com; settlements.mailbox@lpl.com
CC:	Steve Bishop <sbishop@absig.com>; Craig Chang <cchang@absig.com>
Subject:	CBASS 2007-CB1 AF4, cusip 1248MGAM6, for settlement Tuesday, January 29th...
Attachments:	sg2013012253086.gif; CBASS AF4, 1-29-2013.pdf; Delivery Instructions MFI_111512.pdf

Fonda, Ron and Steve -

Please find attached the "trade ticket" and "letter of authorization" for the subject bond trade.

We are selling the CBASS 2007-CB1 AF4 bond to Mesirow Financial (from American RMBS Equity Fund IV, LPL acct. no. 7395-4378) for settlement on Tuesday, January 29, 2013.

Also attached are Mesirow Financial's delivery instructions (DTC #0727).

Please contact me if you have any questions.

Regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Steve Bishop <sbishop@absig.com>, Craig Chang <cchang@absig.com>, <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>, <settlements.mailbox@lpl.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 8KKGUN84THA2UeCUV80AN8BP1A4G417HJEN8H3076IR3FLBP2U7AT.zip
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0148171780@LPLCMMLP04.:Corporate>
Received: from SDCORPEDGE04.corp.lpl.com (172.17.123.41) by SDCORPEXHUB04.corp.lpl.com (10.2.32.156) with Microsoft SMTP Server (TLS) id 14.2.318.4; Tue, 22 Jan 2013 23:59:55 -0800

Received: from psmtp.com (64.18.3.80) by
SDCORPEDGE04.corp.lpl.com
(172.17.123.41) with Microsoft SMTP Server (TLS) id 14.2.318.4; Tue,
22 Jan
2013 23:59:39 -0800
Received-SPF: none (google.com: mbishop@absig.com does not
designate permitted sender hosts) client-ip=74.7.210.86;
Received: from mail.absig.com ([74.7.210.86]) (using TLSv1) by
exprod8mx282.postini.com ([64.18.7.10]) with SMTP; Tue, 22
Jan 2013 23:59:52
PST
Received: from mail.absig.com (127.0.0.1) by mail.absig.com (Axigen)
with
ESMTPSA id 1815AB; Tue, 22 Jan 2013 23:54:53 -0800
Received: from [213.64.81.108] by absig.com with HTTP; Tue, 22 Jan
2013
23:54:53 -0800
From: Mark Bishop <mbishop@absig.com>
Date: Tue, 22 Jan 2013 23:54:53 -0800
X-Mailer: Axigen WebMail
To: <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>,
<settlements.mailbox@lpl.com>
CC: Steve Bishop <sbishop@absig.com>, Craig Chang
<cchang@absig.com>
Message-ID: <13589276932258155 00@absig.com>
Subject: CBASS 2007-CB1 AF4, cusip 1248MGAM6, for settlement
Tuesday, January
29th...
Importance: Normal
MIME-Version: 1.0
Content-Type: multipart/mixed;
boundary="_f3f5044e-1c89-4a6f-8114-925e0667118a_"
X-AxigenVirus-Level: 1
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390
LC:95.5390 R:95.9108 P:95.9108 M:97.0282 C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [195/7]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 23 Jan 2013
07:59:39.4608
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.80
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed:
SDCORPEDGE04.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 246961
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-
000000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-
0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox:
SMEXr^dE;967500;0;This mail has
been scanned by Trend Micro ScanMail for Microsoft Exchange;

X-MS-Exchange-Organization-MessageLatencyInProgress:
LSRV=SDCORPEDGE04.corp.lpl.com:TOTAL=0;2013-01-
23T07:59:39.804Z
X-MS-Exchange-Forest-ArrivalHubServer:
SDCORPEXHUB04.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: SDCORPEDGE04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency:
SRV=SDCORPEDGE04.corp.lpl.com:TOTAL=15|QD=15
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB04
X-MS-Exchange-Organization-Rules-Execution-History: Allow Employee
Engagement Emails%%%Lock Down Sending Externally
(New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email
Disclaimer%%%NestWise
Outbound Disclaimer%%%Fortigent Outbound
Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%Test Fortigent
Large Message
Failure Notification%%%Service360 Team 40%%%Service360 Team
41%%%Diana
Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler
Service360 Team 41
Mailbox%%%Jean Biggs Service360 Team 41 Mailbox%%%Rubie
Garcia Service360
Team 41 Mailbox%%%Service360 Team 20 Mailbox%%%NYCB
Service360
Team%%%Fortigent Size Limit Notification Test

From:	Mark Bishop <mbishop@absig.com>
Sent:	2013-01-23 07:48:34 +0000
To:	rchamberlin@cwbk.com; fmanous@mesirowfinancial.com; settlements.mailbox@lpl.com
CC:	Steve Bishop <sbishop@absig.com>; Craig Chang <cchang@absig.com>
Subject:	CBASS 2007-CB1 AF6, cusip 1248MGAP9, for settlement Tuesday, January 29th...
Attachments:	sg2013012253004.gif; Delivery Instructions MFI_111512.pdf; CBASS AF6, 1-29-2013.pdf

Fonda, Ron and Steve -

Please find attached the "trade ticket" and "letter of authorization" for the subject bond trade.

We are selling the CBASS 2007-CB1 AF6 bond to Mesirow Financial (from American RMBS Equity Fund IV, LPL acct. no. 7395-4378) for settlement on Tuesday, January 29, 2013.

Also attached are Mesirow Financial's delivery instructions (DTC #0727).

Please contact me if you have any questions.

Regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Steve Bishop <sbishop@absig.com>, Craig Chang <cchang@absig.com>, <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>,
<settlements.mailbox@lpl.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 382OVVUU7CML0e7GJ65IA8VJP74G417HKTCVET06AT1VUTJ5QMPN0.zip
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0142605657@LPLCMMLP01.:Corporate>
Received: from SDCORPEDGE03.corp.lpl.com (172.17.123.40) by SDCORPEXHUB01.corp.lpl.com (10.2.32.23) with Microsoft SMTP Server (TLS) id 8.3.245.1; Tue, 22 Jan 2013 23:53:34 -0800

Received: from psmtp.com (64.18.3.135) by
SDCORPEDGE03.corp.lpl.com
(172.17.123.40) with Microsoft SMTP Server (TLS) id 14.2.318.4; Tue,
22 Jan
2013 23:53:18 -0800
Received-SPF: none (google.com: mbishop@absig.com does not
designate permitted sender hosts) client-ip=74.7.210.86;
Received: from mail.absig.com ([74.7.210.86]) (using TLSv1) by
exprod8mx235.postini.com ([64.18.7.10]) with SMTP; Tue, 22
Jan 2013 23:53:32
PST
Received: from mail.absig.com (127.0.0.1) by mail.absig.com (Axigen)
with
ESMTPSA id 23C351; Tue, 22 Jan 2013 23:48:34 -0800
Received: from [213.64.81.108] by absig.com with HTTP; Tue, 22 Jan
2013
23:48:34 -0800
From: Mark Bishop <mbishop@absig.com>
Date: Tue, 22 Jan 2013 23:48:34 -0800
X-Mailer: Axigen WebMail
To: <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>,
<settlements.mailbox@lpl.com>
CC: Steve Bishop <sbishop@absig.com>, Craig Chang
<cchang@absig.com>
Message-ID: <1358927314693799500@absig.com>
Subject: CBASS 2007-CB1 AF6, cusip 1248MGAP9, for settlement
Tuesday, January
29th...
Importance: Normal
MIME-Version: 1.0
Content-Type: multipart/mixed;
boundary="_e6112aec-0daa-45af-8bb3-db0801601213_"
X-AxigenVirus-Level: 1
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390
LC:95.5390 R:95.9108 P:95.9108 M:97.0282 C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [195/7]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 23 Jan 2013
07:53:18.6176
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.135
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed:
SDCORPEDGE03.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 246917
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-
000000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-
0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox:
SMEXr^dE;967500;0;This mail has
been scanned by Trend Micro ScanMail for Microsoft Exchange;

X-MS-Exchange-Organization-MessageLatencyInProgress:
LSRV=SDCORPEDGE03.corp.lpl.com:TOTAL=0;2013-01-
23T07:53:18.961Z
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource:
SDCORPEDGE03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-AVStamp-Mailbox: MSFTFF;1;0;0 0 0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB01

ABS Investment Group LLC
American RMBS Equity Fund IV LP
707 Broadway
18th Floor
San Diego, CA 92101-5391

January 29, 2013

Mesirow Financial Inc.
6750 N. Andrews Ave., Suite 325
Ft. Lauderdale, FL 33309

RE: CBASS 2007-CB1 AF4 (cusip 1248MGAM6), trade date 1/22 for 1/29 settlement, $2,500,000 orig. face @ 58-00, $1,384,819.58

Upon receipt of the above position, please FedWire $1,384,819.58 ($1,384,844.58 - $25.00 fee) credit from account 39902431 to:

Bank name: Commerce West Bank
Bank address: 2111 Business Center Drive, Irvine, CA 92612
ABA #: 122 243 334
Account #: 92200070
Account name: ABS Investment Group LP

I understand there is a $25.00 fee for FedWire that will be charged to the account and deducted from wire transfer funds.

Thank you for your assistance.

Sincerely,

Mark Bishop
Manager

ABS Investment Group LLC
American RMBS Equity Fund IV LP
707 Broadway
18th Floor
San Diego, CA 92101-5391

January 29, 2013

Mesirow Financial Inc.
6750 N. Andrews Ave., Suite 325
Ft. Lauderdale, FL 33309

RE: CBASS 2007-CB1 AF6 (cusip 1248MGAP9), trade date 1/22 for 1/29 settlement, $2,500,000 orig. face @ 56-00, $1,298,098.03

Upon receipt of the above position, please FedWire $1,298,098.03 ($1,298,135.03 - $25.00 fee) credit from account 39902431 to:

Bank name: Commerce West Bank
Bank address: 2111 Business Center Drive, Irvine, CA 92612
ABA #: 122 243 334
Account #: 92200070
Account name: ABS Investment Group LP

I understand there is a $25.00 fee for FedWire that will be charged to the account and deducted from wire transfer funds.

Thank you for your assistance.

Sincerely,

Mark Bishop
Manager

130123 CWL 2005-16 MV1_ cusip 126670PH5..pdf

From:	Mark Bishop <mbishop@absig.com>
Sent:	2013-01-23 07:34:15 +0000
To:	rchamberlin@cwbk.com; fmanous@mesirowfinancial.com; settlements.mailbox@lpl.com
CC:	Steve Bishop <sbishop@absig.com>; Craig Chang <cchang@absig.com>
Subject:	CWL 2005-16 MV1, cusip 126670PH5, for settlement Friday, January 25th...
Attachments:	sg2013012256998.gif; Delivery Instructions MFI_111512.pdf; CWL, 1-25-2013.pdf

Fonda, Ron and Steve -

Please find attached the "trade ticket" and "letter of authorization" for the subject bond trade.

We are selling the CWL 2005-16 MV1 bond to Mesirow Financial (from American RMBS Equity Fund IV, LPL acct. no. 7395-4378) for settlement on Friday, January 25, 2013.

Also attached are Mesirow Financial's delivery instructions (DTC #0727).

Please contact me if you have any questions.

Regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Steve Bishop <sbishop@absig.com>, Craig Chang <cchang@absig.com>, <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>, <settlements.mailbox@lpl.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 2FS75E33DAL4PeBT2102474CSEOG417HJ4CNFD001C49IQG1TDCBR.zip
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0141201592@LPLCMMLP02.:Corporate>
Received: from SDCORPEDGE04.corp.lpl.com (172.17.123.41) by SDCORPEXHUB01.corp.lpl.com (10.2.32.23) with Microsoft SMTP Server (TLS) id 8.3.245.1; Tue, 22 Jan 2013 23:39:22 -0800

Received: from psmtp.com (64.18.3.160) by
SDCORPEDGE04.corp.lpl.com
(172.17.123.41) with Microsoft SMTP Server (TLS) id 14.2.318.4; Tue,
22 Jan
2013 23:39:06 -0800
Received-SPF: none (google.com: mbishop@absig.com does not
designate permitted sender hosts) client-ip=74.7.210.86;
Received: from mail.absig.com ([74.7.210.86]) (using TLSv1) by
exprod8mx293.postini.com ([64.18.7.10]) with SMTP; Wed, 23
Jan 2013 02:39:17
EST
Received: from mail.absig.com (127.0.0.1) by mail.absig.com (Axigen)
with
ESMTPSA id 32B56A; Tue, 22 Jan 2013 23:34:15 -0800
Received: from [213.64.81.108] by absig.com with HTTP; Tue, 22 Jan
2013
23:34:15 -0800
From: Mark Bishop <mbishop@absig.com>
Date: Tue, 22 Jan 2013 23:34:15 -0800
X-Mailer: Axigen WebMail
To: <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>,
<settlements.mailbox@lpl.com>
CC: Steve Bishop <sbishop@absig.com>, Craig Chang
<cchang@absig.com>
Message-ID: <135892645555959150 0@absig.com>
Subject: CWL 2005-16 MV1, cusip 126670PH5, for settlement Friday,
January
25th...
Importance: Normal
MIME-Version: 1.0
Content-Type: multipart/mixed;
boundary="_d8040882-9014-499e-b22b-c874f1cd2a4c_"
X-AxigenVirus-Level: 1
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390
LC:95.5390 R:95.9108 P:95.9108 M:97.0282 C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [195/7]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 23 Jan 2013
07:39:06.2265
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.160
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed:
SDCORPEDGE04.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 162007
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-
000000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-
0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox:
SMEXr^dE;967500;0;This mail has
been scanned by Trend Micro ScanMail for Microsoft Exchange;

X-MS-Exchange-Organization-MessageLatencyInProgress:
LSRV=SDCORPEDGE04.corp.lpl.com:TOTAL=0;2013-01-
23T07:39:06.523Z
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource:
SDCORPEDGE04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-AVStamp-Mailbox: MSFTFF;1;0;0 0 0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB01

ABS Investment Group LLC
American RMBS Equity Fund IV LP
707 Broadway
18th Floor
San Diego, CA 92101-5391

January 25, 2013

Mesirow Financial Inc.
6750 N. Andrews Ave., Suite 325
Ft. Lauderdale, FL 33309

RE: CWL 2005-16 MV1 (cusip 126670PH5), trade date 1/22 for 1/25 settlement, $2,500,000 orig. face @ 29-00, $724,975.00

Upon receipt of the above position, please FedWire $724,975.00 ($725,000.00 - $25.00 fee) credit from account 39902431 to:

Bank name: Commerce West Bank
Bank address: 2111 Business Center Drive, Irvine, CA 92612
ABA #: 122 243 334
Account #: 92200070
Account name: ABS Investment Group LP

I understand there is a $25.00 fee for FedWire that will be charged to the account and deducted from wire transfer funds.

Thank you for your assistance.

Sincerely,

Mark Bishop
Manager

From: Mark Bishop <mbishop@absig.com>

Sent: 2013-01-23 08:19:12 +0000

To: rchamberlin@cwbk.com; fmanous@mesirowfinancial.com; settlements.mailbox@lpl.com

CC: Steve Bishop <sbishop@absig.com>; Craig Chang <cchang@absig.com>

Subject: Summary of previous 6 emails that you received from me, regarding our bond sales...

Ron -

This email is sent to summarize the previous 6 emails that you received from me, regarding our bond sales:

In addition to the SAST 2003-1 M2 bond, which you will move to Mesirow today (Wednesday, January 23rd), there are 6 more bonds sold to Mesirow Financial which need to be moved to their DTC #0727, immediately.

NAA 2005-AR5 1A2, cusip 65535VQM3;
HMBT 2004-2 M2, cusip 43739EAM9;
CWL 2005-16 MV1, cusip 126670PH5;
CHEC 2004-1 M3, cusip 162765AF8;
CBASS 2007-CB1 AF6, cusip 1248MGAP9;
CBASS 2007-CB1 AF4, cusip 1248MGAM6.

If you, or your Settlements department have any questions, please contact me, or feel free to contact Fonda Manous at Mesirow Financial (954.356.0330, fmanous@mesirowfinancial.com).

As always, thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Steve Bishop <sbishop@absig.com>, Craig Chang <cchang@absig.com>, <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>, <settlements.mailbox@lpl.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 1CKIRDJKNPLQMe4LJJ05H4RCAN5G417HJ6UV9H086C297HGKJ5IPF.zip

X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION:
<P0143106628@LPLCMMLP03.:Corporate>
Received: from chcorpedge03.corp.lpl.com (172.22.123.40) by
chcorpexhub01.corp.lpl.com (10.22.121.51) with Microsoft SMTP
Server (TLS) id
8.3.245.1; Wed, 23 Jan 2013 03:24:29 -0500
Received: from psmtp.com (64.18.3.133) by
chcorpedge03.corp.lpl.com
(172.22.123.40) with Microsoft SMTP Server (TLS) id 14.2.318.4;
Wed, 23 Jan
2013 03:23:40 -0500
Received-SPF: none (google.com: mbishop@absig.com does not
designate permitted sender hosts) client-ip=74.7.210.86;
Received: from mail.absig.com ([74.7.210.86]) (using TLSv1) by
exprod8mx233.postini.com ([64.18.7.10]) with SMTP; Wed,
23 Jan 2013 08:24:22
GMT
Received: from mail.absig.com (127.0.0.1) by mail.absig.com (Axigen)
with
ESMTPSA id 11AD95; Wed, 23 Jan 2013 00:19:12 -0800
Received: from [213.64.81.108] by absig.com with HTTP; Wed, 23 Jan
2013
00:19:12 -0800
From: Mark Bishop <mbishop@absig.com>
Date: Wed, 23 Jan 2013 00:19:12 -0800
X-Mailer: Axigen WebMail
To: <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>,
<settlements.mailbox@lpl.com>
CC: Steve Bishop <sbishop@absig.com>, Craig Chang
<cchang@absig.com>
Reply-To: Mark Bishop <mbishop@absig.com>
Message-ID: <13589291521377165 00@absig.com>
Subject: Summary of previous 6 emails that you received from me,
regarding our
bond sales...
Importance: High
MIME-Version: 1.0
Content-Type: multipart/alternative;
boundary="_a346aa34-5c73-4359-be2d-a688690daf1a_"
X-AxigenVirus-Level: 1
X-pstn-neptune: 1/1/1.00/100
X-pstn-levels: (S:84.78348/99.90000 CV:99.9000 FC:95.5390
LC:95.5390 R:95.9108 P:95.9108 M:97.0282 C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [195/7]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 23 Jan 2013
08:23:40.6272
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.133
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed:
chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 8510

X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=chcorpedge03.corp.lpl.com:TOTAL=0;2013-01-23T08:23:41.017Z
X-MS-Exchange-Organization-AuthSource: chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-AVStamp-Mailbox: MSFTFF;1;0;0 0 0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: chcorpexhub01

130214 [BOAMS 2004-L B1_ cusip 05949AZH6_ original face $12_863_000]...pdf

From: Mark Bishop <mbishop@absig.com>

Sent: 2013-02-14 11:59:44 +0000

To: rchamberlin@cwbk.com; settlements.mailbox@lpl.com

CC: Craig Chang <cchang@absig.com>

Subject: Bond purchase for THURSDAY, FEBRUARY 14, 2013 - [BOAMS 2004-L B1, cusip 05949AZH6, original face $12,863,000]...

Ron -

Please advise your back office that we are purchasing, and LPL will receive, the above referenced bond on THURSDAY, FEBRUARY 14, 2013. The purchase price proceeds are coming from ABS Investment Group, and the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "1360-4701", LPL account name "ABS INVESTMENT GROUP, LLC".

CUSIP: 05949AZH6
BOND NAME: BOAMS 2004-L B1
DTC: 0075
ACCOUNT: 1360-4701
CREDIT: ABS INVESTMENT GROUP, LLC
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $12,863,000
CURRENT FACE: $11,455,503.27 (Jan 2013 factor)
PRICE: 23-00 (23.00%)

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, <rchamberlin@cwbk.com>, <settlements.mailbox@lpl.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 5PFUOSOOELT1Je4GCRD445P8L7KG417JC8ISJF0JF19S5544HIQK8.zip
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0146119253@LPLCMMLP01.:Corporate>
Received: from chcorpedge03.corp.lpl.com (172.22.123.40) by chcorpexhub04.corp.lpl.com (10.22.121.48) with Microsoft SMTP Server (TLS) id 14.2.318.4; Thu, 14 Feb 2013 07:10:12 -0500
Received: from psmtp.com (64.18.3.76) by chcorpedge03.corp.lpl.com (172.22.123.40) with Microsoft SMTP Server (TLS) id 14.2.318.4; Thu, 14 Feb 2013 07:09:55 -0500
Received-SPF: none (google.com: mbishop@absig.com does not designate permitted sender hosts) client-ip=74.7.210.86;
Received: from mail.absig.com ([74.7.210.86]) (using TLSv1) by exprod8mx278.postini.com ([64.18.7.10]) with SMTP; Thu, 14 Feb 2013 04:10:11 PST
Received: from mail.absig.com (127.0.0.1) by mail.absig.com (Axigen) with ESMTPSA id 1BCC98; Thu, 14 Feb 2013 03:59:44 -0800
Received: from [213.67.195.166] by absig.com with HTTP; Thu, 14 Feb 2013 03:59:44 -0800
From: Mark Bishop <mbishop@absig.com>
Date: Thu, 14 Feb 2013 03:59:44 -0800
X-Mailer: Axigen WebMail
To: <rchamberlin@cwbk.com>, <settlements.mailbox@lpl.com>
CC: Craig Chang <cchang@absig.com>
Message-ID: <1360843184805173500@absig.com>
Subject: Bond purchase for THURSDAY, FEBRUARY 14, 2013 - [BOAMS 2004-L B1, cusip 05949AZH6, original face $12,863,000]...
Importance: Normal
MIME-Version: 1.0
Content-Type: multipart/alternative; boundary="_f77580ad-9d98-4d53-8585-81213ef3ef7c_"
X-AxigenVirus-Level: 1
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95.9108 P:95.9108 M:97.0282 C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [195/7]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 14 Feb 2013 12:09:55.7302 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.76
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming

X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 9578
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=chcorpedge03.corp.lpl.com:TOTAL=0;2013-02-14T12:09:56.042Z
X-MS-Exchange-Forest-ArrivalHubServer: CHCORPEXHUB04.corp.lpl.com
X-MS-Exchange-Organization-AuthSource: chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=chcorpedge03.corp.lpl.com:TOTAL=16|QD=16
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;972500;0;This mail has been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Forest-RulesExecuted: chcorpexhub04
X-MS-Exchange-Organization-Rules-Execution-History: Allow Employee Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception @Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email Disclaimer%%%NestWise Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent Outbound Disclaimer%%%Service360 Team 17%%%Test Fortigent Large Message Failure Notification%%%Service360 Team 40%%%Service360 Team 41%%%Diana Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler Service360 Team 41 Mailbox%%%Jean Biggs Service360 Team 41 Mailbox%%%Rubie Garcia Service360 Team 41 Mailbox%%%Service360 Team 20 Mailbox%%%NYCB Service360 Team%%%Fortigent Size Limit Notification Test

130806 59024FAG9..[2191].pdf

From: Mark Bishop <mbishop@absig.com>

Sent: 2013-08-06 14:50:33 +0000

To: aaron.hodgdon@lpl.com; sean.garrity@lpl.com

Subject: 59024FAG9...

Aaron and Sean -

I am looking to buy MANA 2007-A2 A3D, cusip 59024FAG9, original face of 24,470,00, at a price of 13-16 or better, for corporate delivery.

The bond should go to my LPL account number 1360-4701. I wired $2.4 million into the subject account this morning,,, so you should see it in the account mid-day today.

Best regards,

Mark

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Mark Bishop
mbishop@absig.com
+1 949 678 9574
+46 709 933 538

Message Headers:

X-ZANTAZ-RECIP: <aaron.hodgdon@lpl.com>, <sean.garrity@lpl.com>
MIME-Version: 1.0
X-MEDIA-ID: CT1732NAS15
X-ZANTAZ-SOURCE-URI:
zip:file:/mnt/NAS16/ED/MQ/EDMQLEQT9A9Q9e8B315ECHM9D9EG4181A547JA0
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0180878464@LPLCMMLP04.:
Received: from chcorpedge04.corp.lpl.com (172.22.123.41) by
CHCORPEXHUB03.corp.lpl.com (10.22.121.47) with Microsoft SMTP Server (TLS
14.2.318.4; Tue, 6 Aug 2013 10:50:35 -0400
Received: from psmtp.com (64.18.3.125) by chcorpedge04.corp.lpl.com
(172.22.123.41) with Microsoft SMTP Server (TLS) id 14.2.318.4; Tue, 6 Aug
2013 10:50:31 -0400
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
Received: from mail.absig.com ([98.189.205.11]) (using TLSv1) by
exprod8mx225.postini.com ([64.18.7.10]) with SMTP; Tue, 06 Aug 201
CDT
Received: from [68.5.62.70] by absig.com with HTTP; Tue, 6 Aug 2013 07:50:3
-0700
From: Mark Bishop <mbishop@absig.com>
Date: Tue, 6 Aug 2013 07:50:33 -0700
X-Mailer: Axigen WebMail
To: <aaron.hodgdon@lpl.com>, <sean.garrity@lpl.com>
Message-ID: <137580063174336500@absig.com>
Subject: 59024FAG9...
Importance: Normal

Content-Type: multipart/alternative;
boundary="_c971dcd7-b470-4e5a-a96c-b8ebdcb1c644_"
X-AxigenVirus-Level: 1
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:43.11136/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
X-pstn-dkim: 0 skipped:not-enabled
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 06 Aug 2013 14:50:31.2543
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.125
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: chcorpedge04
X-MS-Exchange-Organization-OriginalSize: 4362
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;1019900;0;This ma
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=chcorpedge04.
X-MS-Exchange-Forest-ArrivalHubServer: CHCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: chcorpedge04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=chcorpedge04.corp.lpl.com
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-7.000.1014-20060.004
X-TM-AS-Result: No--4.850400-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: CHCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Allow Employee
Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email Disclaimer%%
Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%William Danner%%%Test
Large Message Failure Notification%%%Service360 Team 40%%%Service360
41%%%Diana Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler Se
Team 41 Mailbox%%%PAG 360 RIA%%%Stratos 360 RIA%%%Jean Biggs Ser
41 Mailbox%%%Rubie Garcia Service360 Team 41 Mailbox%%%Service360 Te
Mailbox%%%NYCB Service360 Team%%%LPL Financial Network 360%%%For
Limit Notification Test%%%Block Attachments to Addresses not
lpl.com%%%Test%%%HR Solutions Center Mailbox Redirect%%%HRSC Suppo
Redirect%%%Insurance Email Access Control Send%%%Finance Domain Send
1%%%Finance Domain Send Control 2%%%Finance Domain Send Control NDR
Domain Send Control%%%BDSS Domain Send Control1_1%%%BDSS Domain
Control1_2%%%BDSS Domain Send Control1_3%%%BDSS Domain Send
Control1_4%%%BDSS Domain Send Control1_5%%%BDSS Domain Send
Control1_6%%%BDSS Domain Control 1 NDR

130813 Cusip 32113JBV6...pdf

From: Mark Bishop <mbishop@absig.com>

Sent: 2013-08-13 16:07:16 +0000

To: aaron.hodgdon@lpl.com; sean.garrity@lpl.com

Subject: Cusip 32113JBV6...

Aaron and Sean -

I have purchase a bond with cash from Close Brothers Seydler Bank, Frankfurt, Germany, and am looking to have the bond delivered "DTC free delivery" to my account, DTC 0075, LPL account number 1360-4701 (ABS Investment Group).

FNLC 2005-3 M2, cusip 32113JBV6, original face $1,000,000.

Best regards,

Mark

==========
Mark Bishop
mbishop@absig.com
+1 949 678 9574
+46 709 933 538

Message Headers:

X-ZANTAZ-RECIP: <aaron.hodgdon@lpl.com>, <sean.garrity@lpl.com>
MIME-Version: 1.0
X-MEDIA-ID: CT1802_NAS15
X-ZANTAZ-SOURCE-URI:
zip:file:/mnt/NAS16/DK/CG/DKCGLH3NAAMV7e5HGJ8QRRBIUO7G4181S59VRO
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0175019097@LPLCMMLP02.
Received: from chcorpedge04.corp.lpl.com (172.22.123.41) by
CHCORPEXHUB03.corp.lpl.com (10.22.121.47) with Microsoft SMTP Server (TLS
14.2.318.4; Tue, 13 Aug 2013 12:07:19 -0400
Received: from psmtp.com (64.18.3.141) by chcorpedge04.corp.lpl.com
(172.22.123.41) with Microsoft SMTP Server (TLS) id 14.2.318.4; Tue, 13 Aug
2013 12:07:04 -0400
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
Received: from mail.absig.com ([98.189.205.11]) (using TLSv1) by
exprod8mx241.postini.com ([64.18.7.10]) with SMTP; Tue, 13 Aug 201
EST
Received: from [192.168.62.107] by absig.com with HTTP; Tue, 13 Aug 2013
09:07:16 -0700
From: Mark Bishop <mbishop@absig.com>
Date: Tue, 13 Aug 2013 09:07:16 -0700
X-Mailer: Axigen WebMail
To: <aaron.hodgdon@lpl.com>, <sean.garrity@lpl.com>
Reply-To: Mark Bishop <mbishop@absig.com>
Message-ID: <137641003616251050@absig.com>
Subject: Cusip 32113JBV6...

Importance: Normal
Content-Type: multipart/alternative;
boundary="_646359f6-dbe8-4ed9-973f-f09e827624ab_"
X-AxigenVirus-Level: 1
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:24.95392/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
X-pstn-dkim: 0 skipped:not-enabled
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 13 Aug 2013 16:07:04.8637
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.141
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: chcorpedge04
X-MS-Exchange-Organization-OriginalSize: 4505
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;1021100;0;This ma
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=chcorpedge04.
X-MS-Exchange-Forest-ArrivalHubServer: CHCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: chcorpedge04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=chcorpedge04.corp.lpl.com
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-7.000.1014-20078.004
X-TM-AS-Result: No--2.477200-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: CHCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Allow Employee
Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email Disclaimer%%
Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%William Danner%%%Test
Large Message Failure Notification%%%Service360 Team 40%%%Service360
41%%%Diana Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler Se
Team 41 Mailbox%%%PAG 360 RIA%%%Stratos 360 RIA%%%Jean Biggs Ser
49 Mailbox%%%Rubie Garcia Service360 Team 41 Mailbox%%%Service360 Te
Mailbox%%%NYCB Service360 Team%%%LPL Financial Network 360%%%For
Limit Notification Test%%%Block Attachments to Addresses not
lpl.com%%%Test%%%HR Solutions Center Mailbox Redirect%%%HRSC Suppo
Redirect%%%Insurance Email Access Control Send%%%Finance Domain Send
1%%%Finance Domain Send Control 2%%%Finance Domain Send Control NDR
Domain Send Control%%%BDSS Domain Send Control1_1%%%BDSS Domain
Control1_2%%%BDSS Domain Send Control1_3%%%BDSS Domain Send
Control1_4%%%BDSS Domain Send Control1_5%%%BDSS Domain Send
Control1_6%%%BDSS Domain Control 1 NDR

From:	Mark Bishop <mailtobishop@gmail.com>
Sent:	2013-08-20 09:49:06 +0000
To:	Emil Amir Ingmanson <amir77@me.com>; emil <emil@solidequity.se>
CC:	Markus.Laifle@cbseydler.com; aaron.hodgdon@lpl.com
Subject:	Fwd: ABS delivery instructions.pdf
Attachments:	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

130820_Fwd_ ABS delivery instructions.pdf.pdf

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

Message Headers:

X-ZANTAZ-RECIP: aaron.hodgdon@lpl.com, Markus.Laifle@cbseydler.com, "Emil Amir Ingmanson" <amir77@me.com>, "emil" <emil@solidequity.se>
Received: from SDCORPEDGE04.corp.lpl.com (172.17.123.41) by SDCORPEXHUB03.corp.lpl.com (10.2.32.155) with Microsoft SMTP Server (TLS) 14.2.318.4; Tue, 20 Aug 2013 02:49:08 -0700
Received: from psmtp.com (64.18.3.169) by SDCORPEDGE04.corp.lpl.com (172.17.123.41) with Microsoft SMTP Server (TLS) id 14.2.342.3; Tue, 20 Aug 2013 02:49:05 -0700
Received-SPF: pass (google.com: domain of mailtobishop@gmail.com designate 209.85.219.50 as permitted sender) client-ip=209.85.219.50;
Received: from mail-oa0-f50.google.com ([209.85.219.50]) (using TLSv1) by exprod8mx190.postini.com ([64.18.7.10]) with SMTP; Tue, 20 Aug 201 02:49:07 PDT
Received: by mail-oa0-f50.google.com with SMTP id i4so260327oah.23 for <aaron.hodgdon@lpl.com>; Tue, 20 Aug 2013 02:49:07 -0700 (PDT)

DKIM-Signature: v=1; a=rsa-sha256; c=relaxed/relaxed;
d=gmail.com; s=20120113;
h=mime-version:in-reply-to:references:date:message-id:subject:from:to
:cc:content-type;
bh=5e8y7Pqo2dN4YI/SX3Tu5GXnT+o5nThuLsWzvRYRUzE=;

b=UO/d6T1fNVAB5UetZf2yxTE7YJWM2/iW2L7tN108/LFT71UXBv/tlBDMbtSb8hIs

wlXbl1wWHUTFC9o9odNEsAlJH9Aw83sJdi1bpxo/N1DENvcJNJpWgiMBIsGyHOSRT

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NXDxSKsNCZcqzNLdVmCcoVTjrKITqeyU8asL9POnzaOfokgLyyxnu567BSk9KylmH
UjQQ==
MIME-Version: 1.0
X-Received: by 10.182.60.194 with SMTP id j2mr651780obr.2.1376992147011;
20 Aug 2013 02:49:07 -0700 (PDT)
Received: by 10.60.15.9 with HTTP; Tue, 20 Aug 2013 02:49:06 -0700 (PDT)
In-Reply-To: <55C33F57-EF37-4176-8956-2E4778AEB32A@me.com>
References:
<BBF3A7999A696A43A1C843028EAE39862B8D99A3@F1P022WAV.seydler.local
<55C33F57-EF37-4176-8956-2E4778AEB32A@me.com>
Date: Tue, 20 Aug 2013 11:49:06 +0200
Message-ID: <CAL-
8HN8MQx4iAST_=jYbEQrRU=Jq+pZJvomobUcxFg0D+mnxRg@mail.gmail.com>
Subject: Fwd: ABS delivery instructions.pdf
From: Mark Bishop <mailtobishop@gmail.com>
To: Emil Amir Ingmanson <amir77@me.com>, emil <emil@solidequity.se>
CC: <Markus.Laifle@cbseydler.com>, <aaron.hodgdon@lpl.com>
Content-Type: multipart/mixed;
boundary="_77ca4b12-53a2-4812-a25f-b13e9b35fccf_"
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390 LC:95.5390
R:95.9108 P:95.9108 M:97.0282 C:98.6951)
X-pstn-dkim: 1 skipped:not-enabled
X-pstn-settings: 3 (1.0000:0.0100) s cv gt4 GT3 gt2 gt1 r p m c
X-pstn-addresses: from <mailtobishop@gmail.com> [437/15]
Return-Path: mailtobishop@gmail.com
X-MS-Exchange-Organization-OriginalArrivalTime: 20 Aug 2013 09:49:05.2182
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.169
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed:
SDCORPEDGE04.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 264406
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-
000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;1022700;0;This ma
has
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress:
LSRV=SDCORPEDGE04.corp.lpl.com:TOTAL=0;2013-08-20T09:49:05.562Z

X-MS-Exchange-Forest-ArrivalHubServer: SDCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: SDCORPEDGE04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency:
SRV=SDCORPEDGE04.corp.lpl.com:TOTAL=3|QD=3
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-7.000.1014-20092.005
X-TM-AS-Result: No--39.856800-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Allow Employee
Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email
Disclaimer%%%NestWise
Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%William Danner%%%Test
Fortigent
Large Message Failure Notification%%%Service360 Team 40%%%Service360
41%%%Diana Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler
Service360
Team 41 Mailbox%%%PAG 360 RIA%%%Stratos 360 RIA%%%Jean Biggs
Service360 Team
49 Mailbox%%%Rubie Garcia Service360 Team 41 Mailbox%%%Service360 Te
20
Mailbox%%%NYCB Service360 Team%%%LPL Financial Network
360%%%Fortigent Size
Limit Notification Test%%%Block Attachm

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]

130822 FNLC.pdf

From: Mark Bishop <mbishop@absig.com>

Sent: 2013-08-22 19:21:00 +0000

To: Aaron Hodgdon <aaron.hodgdon@lpl.com>

Subject: FNLC

Aaron -

Please send me a copy of your trade ticket for the FNLC bond.

Thank you.

Best regards,

Mark

==========
Mark Bishop
+1 949 678 9574

Message Headers:

:95.5390 R:95.9108 P:95.9108 M:97.0282 C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt4 gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [437/15]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 22 Aug 2013 19:20:37.9543
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.104
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: SDCORPEDGE03.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 1217
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;1023100;0;This mail has
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=SDCORPEDGE03.corp.lpl.com:TOTAL=0;2013-08-22T19:20:38.407Z

X-MS-Exchange-Forest-ArrivalHubServer:
SDCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource:
SDCORPEDGE03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency:
SRV=SDCORPEDGE03.corp.lpl.com:TOTAL=28|QD=28
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-7.000.1014-20096.005
X-TM-AS-Result: No--2.396700-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Allow
Employee
Engagement Emails%%%Lock Down Sending Externally
(New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email
Disclaimer%%%NestWise
Outbound Disclaimer%%%Fortigent Outbound
Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%William
Danner%%%Test Fortigent
Large Message Failure Notification%%%Service360 Team
40%%%Service360 Team
41%%%Diana Gonzalez Service360 Team 41
Mailbox%%%Robert Scheeler Service360
Team 41 Mailbox%%%PAG 360 RIA%%%Stratos 360
RIA%%%Jean Biggs Service360 Team
49 Mailbox%%%Rubie Garcia Service360 Team 41
Mailbox%%%Service360 Team 20
Mailbox%%%NYCB Service360 Team%%%LPL Financial
Network 360%%%Fortigent Size
Limit Notification Test%%%Block Attachments to Addresses not
lpl.com%%%Test%%%HR Solutions Center Mailbox
Redirect%%%HRSC Support
Redirect%%%Insurance Email Access Control
Send%%%Finance Domain Send Control
1%%%Finance Domain Send Control 2%%%Finance Domain
Send Control NDR%%%BDSS
Domain Send Control%%%BDSS Domain Send
Control1_1%%%BDSS Domain Send
Control1_2%%%BDSS Domain Send Control1_3%%%BDSS
Domain Send
Control1_4%%%BDSS Domain Send Control1_5%%%BDSS
Domain Send
Control1_6%%%BDSS Domain Control 1 NDR

Aaron -

Please send me a copy of your trade ticket for the FNLC bond.

Thank you.

Best regards,

Mark

==========
Mark Bishop
+1 949 678 9574

--_6f04b35a-951b-4fe2-894e-070aec57e127_--

130822 FW_ .pdf

From: Aaron Hodgdon <Aaron.Hodgdon@lpl.com>

Sent: 2013-08-22 19:35:44 +0000

To: mbishop@absig.com; ron.chamberlin@lpl.com

Subject: FW:

Attachments: sg2013082256088.gif

Aaron D. Hodgdon

LPL Financial

Trader | Fixed Income Sales and Trading

Direct: 704-733-3750

From: AARON HODGDON (LPL FINANCIAL LLC) [mailto:ahodgdon@bloomberg.net]
Sent: Thursday, August 22, 2013 3:35 PM
To: Aaron Hodgdon
Subject:

The information contained in this email message is being transmitted to and is intended for the use of only the individual(s) to whom it is addressed. If the reader of this message is not the intended recipient, you are hereby advised that any dissemination, distribution or copying of this message is strictly prohibited. If you have received this message in error, please immediately delete.

Member FINRA/SIPC
Copyright 2008 — LPL Financial. All Rights Reserved.

Message Headers:

X-ZANTAZ-RECIP: "mbishop@absig.com" <mbishop@absig.com>, "ron.chamber
MIME-Version: 1.0
X-MEDIA-ID: CT1802_NAS15
X-ZANTAZ-SOURCE-URI:
zip:file:/mnt/NAS16/CK/MH/CKMH6G10IO7ASe0R60KGNJ9L6LPG4182JMRBO10E
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0178430316@LPLCMMLP01.:

Received: from CHCORPEXMBX04.corp.lpl.com ([fe80::dd5c:f2e:7f5c:b80a]) by
 CHCORPEXHUB03.corp.lpl.com ([10.22.121.47]) with mapi id 14.02.0318.004;
 22 Aug 2013 15:35:45 -0400
From: Aaron Hodgdon <Aaron.Hodgdon@lpl.com>
To: "mbishop@absig.com" <mbishop@absig.com>, "ron.chamberlin@lpl.com"
 <ron.chamberlin@lpl.com>
Subject: FW:
Thread-Index: AQHOn26xiT2Cpcec8UGSAb+mgbx9k5mhnqeg
Date: Thu, 22 Aug 2013 19:35:44 +0000
Message-ID: <48006CA8DC032D40AEED7EE79B2E7CFC3ABC3256@CHCORPEX
References: <521667E102140368011D09A4_0_1098679@n285>
In-Reply-To: <521667E102140368011D09A4_0_1098679@n285>
Accept-Language: en-US
Content-Language: en-US
X-MS-Exchange-Organization-AuthAs: Internal
X-MS-Exchange-Organization-AuthMechanism: 04
X-MS-Exchange-Organization-AuthSource: CHCORPEXHUB03.corp.lpl.com
X-MS-Has-Attach: yes
X-MS-Exchange-Organization-SCL: -1
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;1022900;0;This ma
 been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-TNEF-Correlator:
x-ms-exchange-organization-originalsize: 36557
x-ms-exchange-organization-originalarrivaltime: 22 Aug 2013 19:35:44.7505
 (UTC)
x-ms-exchange-organization-messagesource: StoreDriver
x-ms-exchange-organization-messagedirectionality: Originating
x-ms-exchange-forest-messagescope: 00000000-0000-0000-0000-0000000000
x-ms-exchange-organization-messagescope: 00000000-0000-0000-0000-00000
X-MS-Exchange-Organization-BCC:
x-ms-exchange-organization-originalclientipaddress: 10.22.121.13
x-originating-ip: [10.22.121.13]
x-ms-exchange-organization-originalserveripaddress: ::1
x-ms-exchange-organization-messagelatency: SRV=CHCORPEXMBX04.corp.lpl.c
x-ms-exchange-organization-hygienepolicy: Standard
x-ms-exchange-organization-recipient-limit-verified: True
x-tm-as-product-ver: SMEX-10.2.0.1135-7.000.1014-20096.004
x-tm-as-result: No--40.899800-8.000000-31
x-tm-as-user-approved-sender: No
x-tm-as-user-blocked-sender: No
x-ms-exchange-organization-disclaimer-hash: d4e7cba36fe3f431e278567c5495
x-ms-exchange-forest-rulesexecuted: CHCORPEXHUB03
x-ms-exchange-organization-rules-execution-history: Allow Employee
 Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
 @Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email Disclaimer%%
 Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
 Outbound Disclaimer%%%Service360 Team 17%%%William Danner%%%Test
 Large Message Failure Notification%%%Service360 Team 40%%%Service360
 41%%%Diana Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler Se
 Team 41 Mailbox%%%PAG 360 RIA%%%Stratos 360 RIA%%%Jean Biggs Ser
 49 Mailbox%%%Rubie Garcia Service360 Team 41 Mailbox%%%Service360 Te
 Mailbox%%%NYCB Service360 Team%%%LPL Financial Network 360%%%For
 Limit Notification Test%%%Block Attachments to Addresses not
 lpl.com%%%Test%%%HR Solutions Center Mailbox Redirect%%%HRSC Suppo
 Redirect%%%Insurance Email Access Control Send%%%Finance Domain Send
 1%%%Finance Domain Send Control 2%%%Finance Domain Send Control NDR
 Domain Send Control%%%BDSS Domain Send Control1_1%%%BDSS Domain

---

Control1_2%%%BDSS Domain Send Control1_3%%%BDSS Domain Send
Control1_4%%%BDSS Domain Send Control1_5%%%BDSS Domain Send
Control1_6%%%BDSS Domain Control 1 NDR
Content-Type: multipart/mixed;
boundary="_004_48006CA8DC032D40AEED7EE79B2E7CFC3ABC3256C

From: Mark Bishop <mbishop@absig.com>

Sent: 2014-09-01 18:21:52 +0000

To: aaron.hodgdon@lpl.com

Subject: New trading partner...

Aaron -

I'll give you a call Tuesday morning to introduce you to a new trading partner of ours:

The fund manager of FALCON FUNDS SICAV PLC (the buyer of the bonds described below) is Michael Galea, Head of Investment Management and Fund Services, Calamatta Cuschieri, Malta.

The bonds that will be the subject of a trade that I would like you to do with Michael (once we get the accounts approved) are as follows (in my LPL acct. no. 1360-4701):

WAMU 2004-A14 B2, cusip 939336W66 (ISIN US939336W666), original face $2,797,000, price 26.00%;
HVMLT 2006-01 X1, cusip 41161PB36 (ISIN US41161PB361), original face $35,405,000, price 57.00%.

Thanks.

Regards,

Mark

==========
Mark Bishop
mbishop@absig.com
+1 949 678 9574
+46 709 933 538

Message Headers:

X-ZANTAZ-RECIP: aaron.hodgdon@lpl.com
Received: from chcorpedge03.corp.lpl.com (172.22.123.40) by
 chcorpexhub04.corp.lpl.com (10.22.121.48) with Microsoft SMTP Server (TLS) id
 14.3.158.1; Mon, 1 Sep 2014 14:21:59 -0400
Received: from mx0a-0017a502.pphosted.com (67.231.149.97) by
 chcorpedge03.corp.lpl.com (172.22.123.40) with Microsoft SMTP Server (TLS) id
 14.3.158.1; Mon, 1 Sep 2014 14:21:58 -0400
Received: from pps.filterd (m0049448.ppops.net [127.0.0.1]) by
 mx0a-0017a502.pphosted.com (8.14.7/8.14.7) with SMTP id s81ILwAJ009054 for
 <aaron.hodgdon@lpl.com>; Mon, 1 Sep 2014 14:21:58 -0400
Received: from psmtp.com (exprod8mx227.postini.com [64.18.3.127]) by

mx0a-0017a502.pphosted.com with ESMTP id 1p28tbsf6p-1
for
<aaron.hodgdon@lpl.com>; Mon, 01 Sep 2014 14:21:58 -0400
Received: from mail.absig.com ([98.189.205.11]) by
exprod8mx227.postini.com
([64.18.7.10]) with SMTP;Mon, 01 Sep 2014 18:21:57 GMT
Received: from [68.4.91.112] by absig.com with HTTP; Mon, 1
Sep 2014 11:21:52
-0700
From: Mark Bishop <mbishop@absig.com>
Date: Mon, 1 Sep 2014 11:21:52 -0700
X-Mailer: Axigen WebMail
To: <aaron.hodgdon@lpl.com>
Reply-To: Mark Bishop <mbishop@absig.com>
Message-ID: <1409595712718397165@absig.com>
Subject: New trading partner...
Importance: Normal
MIME-Version: 1.0
Content-Type: multipart/alternative;
boundary="_cbcf097c-fa4d-4787-a0e3-c2a24ec070fc_"
X-AxigenVirus-Level: 1
X-pstn-mail-from: <mbishop@absig.com>
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S: 0.06813/99.32092 CV:99.9000 FC:95.5390
LC:95.5390 R:95.9108 P:95.9108 M:97.0282 C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt6 gt5 gt4 gt3 gt2 gt1 r
p m c
X-pstn-addresses: from <mbishop@absig.com> forward (user
good) [656/23]
X-Proofpoint-Virus-Version: vendor=fsecure
engine=2.50.10432:5.12.52,1.0.27,0.0.0000
definitions=2014-09-01_03:2014-09-01,2014-09-01,1970-01-
01 signatures=0
X-Proofpoint-Spam-Details: rule=med_spam_notspam
policy=med_spam score=0
kscore.is_bulkscore=2.24140817017826e-10
kscore.compositescore=0
circleOfTrustscore=0 compositescore=0.668741730159508
urlsuspect_oldscore=0.668741730159508 suspectscore=4
recipient_domain_to_sender_totalscore=0 phishscore=0
bulkscore=0
kscore.is_spamscore=0 recipient_to_sender_totalscore=0
recipient_domain_to_sender_domain_totalscore=0
rbsscore=0.668741730159508
spamscore=0 recipient_to_sender_domain_totalscore=0
urlsuspectscore=0.9
adultscore=0 classifier=spam adjust=0 reason=mlx
scancount=1
engine=7.0.1-1402240000 definitions=main-1409010214
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 01 Sep 2014
18:21:58.5033
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress:
67.231.149.97

X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 6127
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=chcorpedge03.corp.lpl.com:TOTAL=0;2014-09-01T18:21:58.815Z
X-MS-Exchange-Forest-ArrivalHubServer: CHCORPEXHUB04.corp.lpl.com
X-MS-Exchange-Organization-AuthSource: chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=chcorpedge03.corp.lpl.com:TOTAL=0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXtG}w;1112100;0;This mail has
 been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Forest-RulesExecuted: chcorpexhub04
X-MS-Exchange-Organization-Rules-Execution-History: Quest SCL -1%%%LPL @
 Work email%%%Advisor Netwrix Lockout Rule%%%BES SCL-1%%%Allow Employee
 Engagement Emails%%%Lock Down Sending Externally (New)%%%AIS
 Communication%%%Exception @Mphasis.com Addresses%%%LPL Data Feeds
 Rule%%%Accepted Domains for Offshore Managers and Trainers%%%Accepted
 domains for Offshore Processing Agents%%%Email Disclaimer%%%Amy Pierce
 Service360 Team 17 Mailbox Received%%%Amy Pierce Service360 Team 17 Mailbox
 Sent%%%NestWise Outbound Disclaimer%%%Fortigent Outbound
 Disclaimer%%%Infof.Fortigent Outbound Disclaimer%%%LPL U Bypass Junk
 Email%%%Service360 Team 17%%%Voicemail Notification%%%EZ Fax
 Notification%%%Test Fortigent Large Message Failure
 Notification%%%Service360 Team 40%%%Service360 Team 41%%%Diana Gonzalez
 Service360 Team 41 Mailbox%%%Robert Scheeler Service360 Team 41
 Mailbox%%%PAG 360 RIA%%%IFP 360 RIA%%%Stratos 360 RIA%%%Jean Biggs
 Service360 Team 49 Mailbox%%%Rubie Garcia Service360 Team 41

Mailbox%%%Service360 Team 20 Mailbox%%%NYCB Service360 Team%%%LPL Finan

From: Aaron Hodgdon <Aaron.Hodgdon@lpl.com>

Sent: 2014-09-02 17:26:49 +0000

To: Mark Bishop <mbishop@absig.com>; ron.chamberlin@lpl.com

Subject: RE: New trading partner...

Mark, I don't think we can open an account under Ron's rep ID for this fund without jumping through some crazy hoops for approval, which unless they have a us tax id is not even a possibility. I think the only possible route would be to direct trades through an LPL approved counterparty where we would be facing the street broker/dealer on the offsetting leg of the transaction to them. Looks like they may use RBC in some capacity (ust from viewing their fund prospectus). You may want to check with Michael to see if he currently has a US broker/dealer that would be willing to facilitate transactions to/from LPL. In this capacity, it would be similar to what we currently due through Auriga or Mesirow except that they would also be taking instructions from the end account as well (falcon fund) rather than buying or selling for their own books or a different customer.

Aaron D. Hodgdon

LPL Financial

Trader | Fixed Income Sales and Trading

Direct: 704-733-3750

Institutional Trading Line: 855-575-4678

From: Mark Bishop [mailto:mbishop@absig.com]
Sent: Monday, September 01, 2014 2:22 PM
To: Aaron Hodgdon
Subject: New trading partner...

Aaron -

140902 RE_ New trading partner...pdf

I'll give you a call Tuesday morning to introduce you to a new trading partner of ours:

The fund manager of FALCON FUNDS SICAV PLC (the buyer of the bonds described below) is Michael Galea, Head of Investment Management and Fund Services, Calamatta Cuschieri, Malta.

The bonds that will be the subject of a trade that I would like you to do with Michael (once we get the accounts approved) are as follows (in my LPL acct. no. 1360-4701):

WAMU 2004-A14 B2, cusip 939336W66 (ISIN US939336W666), original face $2,797,000, price 26.00%;

HVMLT 2006-01 X1, cusip 41161PB36 (ISIN US41161PB361), original face $35,405,000, price 57.00%.

Thanks.

Regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

+46 709 933 538

Message Headers:

X-ZANTAZ-RECIP: Mark Bishop <mbishop@absig.com>, "ron.chamberlin@lpl.co
<ron.chamberlin@lpl.com>
Received: from ncadvsmtpprd01.ncprod.lpl.com (172.22.27.87) by
NCOSJEXHUBPRD02.osj.lpl.com (10.22.121.182) with Microsoft SMTP Server (T
id 14.3.181.6; Tue, 2 Sep 2014 13:26:51 -0400
Received: from CHCORPEXHUB03.corp.lpl.com (unknown [10.22.121.64])
TLSv1 with cipher AES128-SHA (128/128 bits)) (No client certificate
requested) by ncadvsmtpprd01.ncprod.lpl.com (Postfix) with ESMTP id
3C3671FF999 for <ron.chamberlin@lpl.com>; Tue, 2 Sep 2014 13:26:51 -0

(EDT)
Received: from CHCORPEXMBX04.corp.lpl.com ([fe80::dd5c:f2e:7f5c:b80a]) by
CHCORPEXHUB03.corp.lpl.com ([10.22.121.47]) with mapi id 14.03.0158.001;
2 Sep 2014 13:26:50 -0400
From: Aaron Hodgdon <Aaron.Hodgdon@lpl.com>
To: Mark Bishop <mbishop@absig.com>, "ron.chamberlin@lpl.com"
<ron.chamberlin@lpl.com>
Subject: RE: New trading partner...
Thread-Topic: New trading partner...
Thread-Index: AQHPxhGeGrq5RuXOm0WITsQ/iBnwEpvuF1hA
Date: Tue, 2 Sep 2014 17:26:49 +0000
Message-ID: <48006CA8DC032D40AEED7EE79B2E7CFCAD183F61@CHCORPEX
References: <140959571271839716 5@absig.com>
In-Reply-To: <140959571271839716 5@absig.com>
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
x-originating-ip: [10.22.121.13]
x-tm-as-product-ver: SMEX-10.2.0.1135-7.500.1018-20922.004
x-tm-as-result: No--35.918300-8.000000-31
x-tm-as-user-approved-sender: No
x-tm-as-user-blocked-sender: No
Content-Type: multipart/alternative;
boundary="_000_48006CA8DC032D40AEED7EE79B2E7CFCAD183F61C
MIME-Version: 1.0
Return-Path: Aaron.Hodgdon@lpl.com
X-Auto-Response-Suppress: DR, RN, NRN, OOF, AutoReply

150219 new DTC...pdf

From: mbishop@absig.com

Sent: 2015-02-19 16:22:04 +0000

To: ron.chamberlin@lpl.com; golf44ron@aol.com

Subject: new DTC...

Attachments: MANA - 19 Feb 2015.pdf

Ron -

This form should now have the information that your back office and Jason need. Please let me know if there are any problems ASAP. I want to call Baader later this morning as they are "on the look-out" for the bond transfer today.

Thank you.

Regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: <ron.chamberlin@lpl.com>, <golf44ron@aol.com>
Resent-From: <advisor.dlp@osj.lpl.com>
Received: from ncadvsmtpprd06.ncprod.lpl.com (172.22.27.22) by NCOSJEXHUBPRD04.osj.lpl.com (10.22.121.184) with Microsoft SMTP Server (T id 14.3.181.6; Thu, 19 Feb 2015 11:22:18 -0500
Received: from mx0b-0017a502.pphosted.com (mx0b-0017a502.pphosted.com [67.231.157.93]) (using TLSv1 with cipher DHE-RSA-AES256-SHA (256 (No client certificate requested) by ncadvsmtpprd06.ncprod.lpl.com with ESMTP id 6D04C1FF993 for <ron.chamberlin@lpl.com>; Thu, 19 Feb 11:22:18 -0500 (EST)
Received: from pps.filterd (m0049456.ppops.net [127.0.0.1]) by mx0b-0017a502.pphosted.com (8.14.7/8.14.7) with SMTP id t1JGJLjW032036 <ron.chamberlin@lpl.com>; Thu, 19 Feb 2015 11:22:18 -0500
Received: from mail.absig.com (mail.absig.com [98.186.237.217]) by mx0b-0017a502.pphosted.com with ESMTP id 1smpyp5jtp-1 for <ron.chamberlin@lpl.com>; Thu, 19 Feb 2015 11:22:13 -0500
Received: from [68.4.91.112] by absig.com with HTTP; Thu, 19 Feb 2015 08:22 -0800
From: <mbishop@absig.com>
Date: Thu, 19 Feb 2015 08:22:04 -0800
X-Mailer: Axigen WebMail
To: <ron.chamberlin@lpl.com>, <golf44ron@aol.com>
Reply-To: <mbishop@absig.com>

Message-ID: <1424362924087105955@absig.com>
Subject: new DTC...
Importance: Normal
MIME-Version: 1.0
Content-Type: multipart/mixed;
boundary="===axigen=95968875687159336706684864220219812 75
X-AxigenVirus-Level: 1
X-Proofpoint-Virus-Version: vendor=fsecure engine=2.50.10432:5.13.68,1.0.33
definitions=2015-02-19_03:2015-02-19,2015-02-19,1970-01-01 signatures=0
X-Proofpoint-Spam-Details: rule=med_spam_notspam policy=med_spam score=
kscore.is_bulkscore=0
kscore.compositescore=0 circleOfTrustscore=0
compositescore=0.999625143445031 suspectscore=0
recipient_domain_to_sender_totalscore=0 phishscore=0 bulkscore=0
kscore.is_spamscore=0 rbsscore=0.999625143445031
recipient_to_sender_totalscore=0
recipient_domain_to_sender_domain_totalscore=0 spamscore=0
recipient_to_sender_domain_totalscore=0 urlsuspectscore=0.99962514344503
adultscore=0 classifier=spam adjust=0 reason=mlx scancount=1
engine=7.0.1-1402240000 definitions=main-1502190164
Return-Path: mbishop@absig.com
X-Auto-Response-Suppress: DR, RN, NRN, OOF, AutoReply

150219 MANA - 19 Feb 2015.pdf

Move Money
DTC Request

DTC

Account Number 1 3 6 0 4 7 0 1

Rep ID 5 W L A

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 REMIC 2007-A2	$15,000,000.0000		

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

DTC # (4 Digits): 0901

Account Number: 112000

Account Title: Baader Bank

Receiving Institution Phone Number and Contact Information (additional information may be required)
Further credit: Baader Bank, acct. no. 68007585. Trade date Feb 6, 2015, Settlement date Feb 6, 2015

Relationship to owner: (Note: Request is subject to LPL's AML/fraud prevention policies)
Buyer.....Note* ISIN US59024FAG90. (contact Monika Willmann at Baader +49 89 5150 1742)

5. Account Holder Acknowledgement

Account Holder Signature | Mark Bishop (Account Holder Name (print)) | 19 Feb 2015 (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.

Financial Advisor / Authorized Person Signature | Ron Chamberlin (Financial Advisor / Authorized Person Name (print)) | Date

LPL Financial

Member FINRA/SIPC

F85
Revised 1112

150220 Re_ new DTC...pdf

From: mbishop@absig.com

Sent: 2015-02-20 13:42:06 +0000

To: ron.chamberlin@lpl.com; golf44ron@aol.com

Subject: Re: new DTC...

Ron -

I'm super sorry to ask you to get involved,,, but the MANA is still in my position report. I have not heard of any delivery problems either from LPL or Baader, so it would seem that LPL did not attempt delivery yesterday. Let's get this bond settled today.

Thanks in advance.

Best,

Mark

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

On Thu, 02/19/2015 08:22 AM, mbishop@absig.com wrote:

> Ron -
>
> This form should now have the information that your back office and Jason need. Please let me know if there are any problems ASAP. I want to call Baader later this morning as they are "on the look-out" for the bond transfer today.
>
> Thank you.
>
> Regards,
>
> Mark
>
> ==========
> Mark Bishop
> mbishop@absig.com
> +1 949 678 9574

Message Headers:

X-ZANTAZ-RECIP: <ron.chamberlin@lpl.com>, <golf44ron@aol.com>
Resent-From: <advisor.dlp@osj.lpl.com>
Received: from ncadvsmtpprd06.ncprod.lpl.com (172.22.27.22) by NCOSJEXHUBPRD03.osj.lpl.com (10.22.121.183) with Microsoft SMTP Server (T id 14.3.181.6; Fri, 20 Feb 2015 08:42:13 -0500
Received: from mx0a-0017a502.pphosted.com (mx0a-0017a502.pphosted.com [67.231.149.97]) (using TLSv1 with cipher DHE-RSA-AES256-SHA (256 (No client certificate requested) by ncadvsmtpprd06.ncprod.lpl.com with ESMTP id 24B6E1FF993 for <ron.chamberlin@lpl.com>; Fri, 20 Feb

---

08:42:13 -0500 (EST)
Received: from pps.filterd (m0078632.ppops.net [127.0.0.1]) by
mx0a-0017a502.pphosted.com (8.14.7/8.14.7) with SMTP id t1KDbnpk000853
<ron.chamberlin@lpl.com>; Fri, 20 Feb 2015 08:42:12 -0500
Received: from mail.absig.com (mail.absig.com [98.186.237.217]) by
mx0a-0017a502.pphosted.com with ESMTP id 1smpyc9mf3-1 for
<ron.chamberlin@lpl.com>; Fri, 20 Feb 2015 08:42:12 -0500
Received: from [68.4.91.112] by absig.com with HTTP; Fri, 20 Feb 2015 05:42:
-0800
From: <mbishop@absig.com>
Date: Fri, 20 Feb 2015 05:42:06 -0800
X-Mailer: Axigen WebMail
To: <ron.chamberlin@lpl.com>, <golf44ron@aol.com>
Reply-To: <mbishop@absig.com>
Message-ID: <142443972631924603 5@absig.com>
In-Reply-To: <1424362924087105955@absig.com>
References: <1424362924087105955@absig.com>
Subject: Re: new DTC...
Importance: Normal
MIME-Version: 1.0
Content-Type: multipart/alternative;
boundary="===axigen=57884657631980750936775652543796712 10
X-AxigenVirus-Level: 1
X-Proofpoint-Virus-Version: vendor=fsecure engine=2.50.10432:5.13.68,1.0.33
definitions=2015-02-20_07:2015-02-20,2015-02-20,1970-01-01 signatures=0
X-Proofpoint-Spam-Details: rule=med_spam_notspam policy=med_spam score=
suspectscore=0
phishscore=0 adultscore=0 bulkscore=0 classifier=spam adjust=0 reason=mlx
scancount=1 engine=7.0.1-1402240000 definitions=main-1502200128
Return-Path: mbishop@absig.com
X-Auto-Response-Suppress: DR, RN, NRN, OOF, AutoReply

From: Willmann Monika <Monika.Willmann@baaderbank.de>

Sent: 2015-03-27 14:57:56 +0000

To: 'mbishop@absig.com'

CC: Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de>; Custodyservice <Custodyservice@baaderbank.de>; ron.chamberlin@lpl.com; golf44ron@aol.com; Custodyservice <Custodyservice@baaderbank.de>

Subject: AW: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

Dear Mark,

we are still waiting for the order from our customer to transfer the position back.

Best regards,

Monika

Monika Willmann

Custody Service

Baader Bank Aktiengesellschaft
Weihenstephaner Straße 4
85716 Unterschleißheim, Deutschland

Telefon: +49 89 5150 1742
Fax: +49 89 5150 2444

E-Mail: monika.willmann@baaderbank.de
Internet: http://www.baaderbank.de

Baader Bank Aktiengesellschaft | Vorstand: Uto Baader (Vors.), Nico Baader, Dieter Brichmann |

Vorsitzender des Aufsichtsrates: Dr. Horst Schiessl |
Amtsgericht München HRB 121537 | Sitz der Gesellschaft: Unterschleißheim | StNr. 143/100/10066 | USt-IdNr. DE114123893.

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Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Dienstag, 24. März 2015 14:26
An: Willmann Monika
Cc: Feltkamp Joachim; Custodyservice; ron.chamberlin@lpl.com; golf44ron@aol.com
Betreff: Re: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]
Wichtigkeit: Hoch

Monika -

On March 3, 2015, we were informed by your client, Solid Equity, that the subject trade had failed with them.

We have therefore requested that Baader return the subject bond to our account at LPL Financial. Please let us know your timing and whether you need any information.

Thank you in advance.

Regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

On Sun, 03/08/2015 07:34 AM, mbishop@absig.com wrote:

Monika -

Have you started the process of DK'ing the trade and returning the subject bond to my account at LPL Financial? Let me low if you need authorization from Solid Equity, or any information from me.

Thank you.

Regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

On Tue, 03/03/2015 02:48 PM, mbishop@absig.com wrote:

Monika -

Failed trade...

Please contact your client to confirm, however, we have been informed that your client/buyer has DK'ed the trade and will not perform. In this regard, please return the subject bond to us at your earliest convenience.

You and your bank have been a pleasure to do business with, and while we wish we could have concluded the transaction, we look forward to transacting future business with you.

If you have any questions regarding returning the bond, please contact me.

Regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

On Mon, 02/23/2015 01:34 PM, mbishop@absig.com wrote:

Monika and Joachim -

Thank you for your help and focus in this matter!

Best regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

On Mon, 02/23/2015 03:34 AM, Willmann Monika <Monika.Willmann@baaderbank.de> wrote:

SETTLED!

Best regards,

Monika

Monika Willmann

Custody Service

Baader Bank Aktiengesellschaft
Weihenstephaner Straße 4
85716 Unterschleißheim, Deutschland

Telefon: +49 89 5150 1742
Fax: +49 89 5150 2444

E-Mail: monika.willmann@baaderbank.de
Internet: http://www.baaderbank.de

Baader Bank Aktiengesellschaft | Vorstand: Uto Baader (Vors.), Nico Baader, Dieter Brichmann |

Vorsitzender des Aufsichtsrates: Dr. Horst Schiessl |
Amtsgericht München HRB 121537 | Sitz der Gesellschaft: Unterschleißheim | StNr. 143/100/10066 | USt-IdNr. DE114123893.

Diese E-Mail enthält möglicherweise vertrauliche und/oder rechtlich geschützte Informationen. Wenn Sie nicht der richtige Adressat dieser E-Mail sind oder diese E-Mail irrtümlich erhalten haben, informieren Sie uns bitte unverzüglich und löschen Sie diese E-Mail. Das unerlaubte Vervielfältigen oder Weiterleiten dieser E-Mail ist strikt untersagt.

Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Mittwoch, 18. Februar 2015 15:51
An: Feltkamp Joachim
Cc: ron.chamberlin@lpl.com; golf44ron@aol.com; Jason.Collins@lpl.com; Willmann Monika; Custodyservice
Betreff: Re: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]
Wichtigkeit: Hoch

JOACHIM -

I do not have direct contact with Jason Collins (client service at LPL Financial), only Ron Chamberlin. I am hoping that if there are any more missing items or problems, that you and Jason can have direct contact and get this settlement done.

Thank you in advance.

Best regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

On Wed, 02/18/2015 06:29 AM, Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de> wrote:

Thanks Mark – our Clearer just claimed again ‚CP Instruction Missing' – do you know if LPL has amended the instruction?

Best regards

Joachim

Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Dienstag, 17. Februar 2015 15:19
An: Feltkamp Joachim; ron.chamberlin@lpl.com; golf44ron@aol.com; Jason.Collins@lpl.com
Cc: Willmann Monika; Custodyservice
Betreff: Re: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

Joachim -

I was required to modify my "DTC transfer request" form on last Friday, to include your suggestions below. Monday was a US national holiday,,, so I am hopeful that LPL Financial will transfer and settle the position today.

I will advise you as soon as I am notified of movement.

Best regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

On Tue, 02/17/2015 02:20 AM, Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de> wrote:

Dear Mark – do you see any movement/ news in regards to below? Still we don't recognize a settled position.

Thanks & Best regards

Joachim

Von: Feltkamp Joachim
Gesendet: Freitag, 13. Februar 2015 15:27
An: 'mbishop@absig.com'; Willmann Monika; Custodyservice
Cc: Willmann Monika
Betreff: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

Mark – please check your TD / SD – agreed was TD 06022015 and Settlement 06022015

Furthermore please check if instructing with Cusip vs our ISIN could work? Maybe you need to amend to ISIN Code, and more on - we don't recognize our Clearer Account number 112000 in your instruction.

Please keep us updated.

Joachim

Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Freitag, 13. Februar 2015 15:18
An: Willmann Monika; Custodyservice
Betreff: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

rejection notice...

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

Subject: Fwd: Account # XXXX4701
From: ron.chamberlin@lpl.com
Date: Thu, 02/12/2015 09:11 AM
To: mbishop@absig.com

Mark,

Here is the notice.

Sincerely,

Ronald J. Chamberlin
Registered Principal,
LPL Financial
CW Investment Management
2111 Business Center Drive
Irvine, CA 92612

T (949) 474-5263
M (949) 302-2204

www.lpl.com/ron.chamberlin
ron.chamberlin@lpl.com

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Not FDIC Insured. No Bank Guaranteed. May Lose Value.
Not a Deposit. Not Insured by Any Federal Government Agency.

image001.png (312.4 Kb) attached
image002.png (4.7 Kb) attached

----- Original Message -----
From: Jason Collins
To: 'ron.chamberlin@lpl.com'
Sent: Thu Feb 12 17:14
Subject: Fwd: Account # XXXX4701

Ron,

Here is the information you have requested.

Please let me know if I can be of further assistance.

150327.pdf

LPL Financial

Jason Collins

Service Center Representative|Client Support Services

800-558-7567 | 6035

Email: Jason.Collins@lpl.com

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---

Message Headers:

X-ZANTAZ-RECIP: Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de>, Custodyservice <Custodyservice@baaderbank.de>, "ron.chamberlin@lpl.com" <ron.chamberlin@lpl.com>, "golf44ron@aol.com" <golf44ron@aol.com Custodyservice <Custodyservice@baaderbank.de>, "'mbishop@absig.c <mbishop@absig.com>
Resent-From: <advisor.dlp@osj.lpl.com>
Received: from ncadvsmtpprd05.ncprod.lpl.com (172.22.27.21) by NCOSJEXHUBPRD01.osj.lpl.com (10.22.121.181) with Microsoft SMTP Server (T id 14.3.181.6; Fri, 27 Mar 2015 10:58:02 -0400
Received: from mx0a-0017a502.pphosted.com (mx0a-0017a502.pphosted.com [67.231.149.97]) (using TLSv1 with cipher DHE-RSA-AES256-SHA (256 (No client certificate requested) by ncadvsmtpprd05.ncprod.lpl.com with ESMTP id 889A41FF6F0 for <ron.chamberlin@lpl.com>; Fri, 27 Mar 10:58:02 -0400 (EDT)
Received: from pps.filterd (m0078632.ppops.net [127.0.0.1]) by mx0a-0017a502.pphosted.com (8.14.7/8.14.7) with SMTP id t2REvhNV025020 <ron.chamberlin@lpl.com>; Fri, 27 Mar 2015 10:58:01 -0400
Received: from mailgate1.baaderbank.de (mailgate1.baaderbank.de [82.98.231.129]) by mx0a-0017a502.pphosted.com with ESMTP id 1tc (version=TLSv1/SSLv3 cipher=RC4-SHA bits=128 verify=NOT) for <ron.chamberlin@lpl.com>; Fri, 27 Mar 2015 10:58:00 -0400
Received: from unknown (HELO VM7663.baag) ([10.10.12.99]) by mailgate1.baaderbank.de with ESMTP/TLS/AES128-SHA; 27 Mar 2015 15:57:57

Received: from MSX2.baag ([169.254.1.84]) by VM7663.baag ([10.10.12.99]) w
 mapi; Fri, 27 Mar 2015 15:57:56 +0100
From: Willmann Monika <Monika.Willmann@baaderbank.de>
To: "'mbishop@absig.com'" <mbishop@absig.com>
CC: Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de>, Custodyservice
	<Custodyservice@baaderbank.de>, "ron.chamberlin@lpl.com"
	<ron.chamberlin@lpl.com>, "golf44ron@aol.com" <golf44ron@aol.com
	Custodyservice <Custodyservice@baaderbank.de>
Date: Fri, 27 Mar 2015 15:57:56 +0100
Subject: AW: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]
Thread-Topic: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]
Thread-Index: AdBmNh/K9VRNpUHAQUSlKjjpB3zcAQCaBeQQ
Message-ID: <D37F5BD32ABDEB41AB96AAAEFD31D28520F9F1E65A@MSX2.ba
References: <14238370624226393 39@absig.com>
 <E0A8D3556D452C42977202B2D6093466052743A6C0@MSX2.baag>
 <E0A8D3556D452C42977202B2D6093466052743A6D9@MSX2.baag>
 <14241827431356100 57@absig.com>
 <E0A8D3556D452C42977202B2D6093466052743A6E5@MSX2.baag>
 <14242710314597744 51@absig.com>
 <D37F5BD32ABDEB41AB96AAAEFD31D28520F9F1E282@MSX2.baag>
 <14246984523349519 72@absig.com> <14253905250067965 73@absig.com>
 <14258252778191643 29@absig.com> <14272035681793603 93@absig.com>
In-Reply-To: <14272035681793603 93@absig.com>
Accept-Language: de-DE
Content-Language: de-DE
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
acceptlanguage: de-DE
Content-Type: multipart/alternative;
	boundary="_000_D37F5BD32ABDEB41AB96AAAEFD31D28520F9F1E65
MIME-Version: 1.0
X-Proofpoint-Virus-Version: vendor=fsecure engine=2.50.10432:5.13.68,1.0.33
 definitions=2015-03-27_05:2015-03-27,2015-03-27,1970-01-01 signatures=0
X-Proofpoint-Spam-Details: rule=med_spam_notspam policy=med_spam score=
spamscore=0 suspectscore=0
 phishscore=0 adultscore=0 bulkscore=0 classifier=spam adjust=0 reason=mlx
 scancount=1 engine=7.0.1-1402240000 definitions=main-1503270150
Return-Path: prvs=521d32c17=Monika.Willmann@baaderbank.de
X-Auto-Response-Suppress: DR, RN, NRN, OOF, AutoReply

150413.pdf

From: mbishop@absig.com

Sent: 2015-04-13 21:30:12 +0000

To: ron.chamberlin@lpl.com; golf44ron@aol.com

Subject: [Fwd: AW: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]]

Attachments: image001.png; SSI Caceis Domestic XB8 Account.pdf

Ron -

The trade failed between Baader Bank and ourselves. The subject MANA bond will be transferred back to c

Please notify our back office that the bond is being transferred back and to accept delivery "free".

[Bond described as: MANA 2007-A2 A3D, cusip 59024FAG9, ISIN US59024FAG90, original face USD 15 million.]

Thank you,

Mark

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

Subject: AW: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]
From: Willmann Monika <Monika.Willmann@baaderbank.de>
Date: Mon, 04/13/2015 09:41 AM
To: '"mbishop@absig.com"' <mbishop@absig.com>
Cc: Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de>, Custodyservice <Custodyservice@baaderbank.de>, "ron.chamberlin@lp
<golf44ron@aol.com>

Dear Mark,

we have received the necessary documents.

➔ Our free-of-payment-instruction is in place against DTC0075 LPL Financial, ifo 13604701 ABS Investment Group v
US59024FAG90 15000000 shares

Here are our SSIs – as well attached:

Best regards,

Monika

Monika Willmann
Custody Service

Baader Bank Aktiengesellschaft
Weihenstephaner Straße 4
85716 Unterschleißheim, Deutschland

Telefon: +49 89 5150 1742
Fax: +49 89 5150 2444

E-Mail: monika.willmann@baaderbank.de
Internet: http://www.baaderbank.de

Baader Bank Aktiengesellschaft | Vorstand: Uto Baader (Vors.), Nico Baader, Dieter Brichmann |
Vorsitzender des Aufsichtsrates: Dr. Horst Schiessl |
Amtsgericht München HRB 121537 | Sitz der Gesellschaft: Unterschleißheim | StNr. 143/100/10066 | USt-IdNr. DE114123893.

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Von: Willmann Monika
Gesendet: Freitag, 27. März 2015 15:58
An: 'mbishop@absig.com'
Cc: Feltkamp Joachim; Custodyservice; ron.chamberlin@lpl.com; golf44ron@aol.com; Custodyservice
Betreff: AW: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

Dear Mark,

we are still waiting for the order from our customer to transfer the position back.

Best regards,

Monika

Monika Willmann
Custody Service

Baader Bank Aktiengesellschaft
Weihenstephaner Straße 4
85716 Unterschleißheim, Deutschland

Telefon: +49 89 5150 1742
Fax: +49 89 5150 2444

E-Mail: monika.willmann@baaderbank.de
Internet: http://www.baaderbank.de

Baader Bank Aktiengesellschaft | Vorstand: Uto Baader (Vors.), Nico Baader, Dieter Brichmann |
Vorsitzender des Aufsichtsrates: Dr. Horst Schiessl |
Amtsgericht München HRB 121537 | Sitz der Gesellschaft: Unterschleißheim | StNr. 143/100/10066 | USt-IdNr. DE114123893.

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Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Dienstag, 24. März 2015 14:26
An: Willmann Monika
Cc: Feltkamp Joachim; Custodyservice; ron.chamberlin@lpl.com; golf44ron@aol.com
Betreff: Re: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]
Wichtigkeit: Hoch

Monika -

On March 3, 2015, we were informed by your client, Solid Equity, that the subject trade had failed with them.

We have therefore requested that Baader return the subject bond to our account at LPL Financial. Please let us know you

Thank you in advance.

Regards,

Mark

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

On Sun, 03/08/2015 07:34 AM, mbishop@absig.com wrote:
Monika -

Have you started the process of DK'ing the trade and returning the subject bond to my account at LPL Financial? Let me l
information from me.

Thank you.

Regards,

Mark

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

On Tue, 03/03/2015 02:48 PM, mbishop@absig.com wrote:
Monika -

Failed trade...

Please contact your client to confirm, however, we have been informed that your client/buyer has DK'ed the trade and will
bond to us at your earliest convenience.

You and your bank have been a pleasure to do business with, and while we wish we could have concluded the transaction
you.

If you have any questions regarding returning the bond, please contact me.

Regards,

Mark

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

On Mon, 02/23/2015 01:34 PM, mbishop@absig.com wrote:
Monika and Joachim -

Thank you for your help and focus in this matter!

Best regards,

Mark

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

On Mon, 02/23/2015 03:34 AM, Willmann Monika <Monika.Willmann@baaderbank.de> wrote:
SETTLED!

Best regards,

Monika

Monika Willmann
Custody Service
_____

Baader Bank Aktiengesellschaft
Weihenstephaner Straße 4
85716 Unterschleißheim, Deutschland

Telefon: +49 89 5150 1742
Fax: +49 89 5150 2444

E-Mail: monika.willmann@baaderbank.de

Internet: http://www.baaderbank.de

Baader Bank Aktiengesellschaft | Vorstand: Uto Baader (Vors.), Nico Baader, Dieter Brichmann |
Vorsitzender des Aufsichtsrates: Dr. Horst Schiessl |
Amtsgericht München HRB 121537 | Sitz der Gesellschaft: Unterschleißheim | StNr. 143/100/10066 | USt-IdNr. DE114123893.

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Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Mittwoch, 18. Februar 2015 15:51
An: Feltkamp Joachim
Cc: ron.chamberlin@lpl.com; golf44ron@aol.com; Jason.Collins@lpl.com; Willmann Monika; Custodyservice
Betreff: Re: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]
Wichtigkeit: Hoch

JOACHIM -

I do not have direct contact with Jason Collins (client service at LPL Financial), only Ron Chamberlin. I am hoping that if th
and Jason can have direct contact and get this settlement done.

Thank you in advance.

Best regards,

Mark

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

On Wed, 02/18/2015 06:29 AM, Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de> wrote:
Thanks Mark – our Clearer just claimed again ‚CP Instruction Missing' – do you know if LPL has amended the instruction?

Best regards
Joachim

Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Dienstag, 17. Februar 2015 15:19
An: Feltkamp Joachim; ron.chamberlin@lpl.com; golf44ron@aol.com; Jason.Collins@lpl.com
Cc: Willmann Monika; Custodyservice
Betreff: Re: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

Joachim -

I was required to modify my "DTC transfer request" form on last Friday, to include your suggestions below. Monday was a
Financial will transfer and settle the position today.

I will advise you as soon as I am notified of movement.

Best regards,

Mark

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

On Tue, 02/17/2015 02:20 AM, Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de> wrote:
Dear Mark – do you see any movement/ news in regards to below? Still we don't recognize a settled position.

Thanks & Best regards
Joachim

Von: Feltkamp Joachim
Gesendet: Freitag, 13. Februar 2015 15:27
An: 'mbishop@absig.com'; Willmann Monika; Custodyservice
Cc: Willmann Monika
Betreff: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

Mark – please check your TD / SD – agreed was TD 06022015 and Settlement 06022015
Furthermore please check if instructing with Cusip vs our ISIN could work? Maybe you need to amend to ISIN Code, and r
number 112000 in your instruction.

Please keep us updated.

Joachim

Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Freitag, 13. Februar 2015 15:18
An: Willmann Monika; Custodyservice
Betreff: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

rejection notice...

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

Subject: Fwd: Account # XXXX4701
From: ron.chamberlin@lpl.com
Date: Thu, 02/12/2015 09:11 AM
To: mbishop@absig.com

Mark,
Here is the notice.

Sincerely,

Ronald J. Chamberlin
Registered Principal,
LPL Financial
CW Investment Management
2111 Business Center Drive
Irvine, CA 92612

T (949) 474-5263
M (949) 302-2204

www.lpl.com/ron.chamberlin
ron.chamberlin@lpl.com

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Not a Deposit. Not Insured by Any Federal Government Agency.

image001.png (312.4 Kb) attached
image002.png (4.7 Kb) attached

----- Original Message -----
From: Jason Collins
To: 'ron.chamberlin@lpl.com'
Sent: Thu Feb 12 17:14
Subject: Fwd: Account # XXXX4701

Ron,
Here is the information you have requested.
Please let me know if I can be of further assistance.

150413.pdf

LPL Financial
Jason Collins
Service Center Representative|Client Support Services
800-558-7567 | 6035
Email: Jason.Collins@lpl.com

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---

Message Headers:

X-ZANTAZ-RECIP: <ron.chamberlin@lpl.com>, <golf44ron@aol.com>
Resent-From: <advisor.dlp@osj.lpl.com>
Received: from ncadvsmtpprd06.ncprod.lpl.com (172.22.27.22) by
NCOSJEXHUBPRD04.osj.lpl.com (10.22.121.184) with Microsoft SMTP Server (TLS)
id 14.3.181.6; Mon, 13 Apr 2015 17:30:25 -0400
Received: from mx0a-0017a502.pphosted.com (mx0a-0017a502.pphosted.com
[67.231.149.97]) (using TLSv1 with cipher DHE-RSA-AES256-SHA (256/2
(No client certificate requested) by ncadvsmtpprd06.ncprod.lpl.com (P
with ESMTP id C11951FF990 for <ron.chamberlin@lpl.com>; Mon, 13 Apr 20
17:30:24 -0400 (EDT)
Received: from pps.filterd (m0049448.ppops.net [127.0.0.1]) by
mx0a-0017a502.pphosted.com (8.14.7/8.14.7) with SMTP id t3DLQt2X028349 fo
<ron.chamberlin@lpl.com>; Mon, 13 Apr 2015 17:30:24 -0400
Received: from mail.absig.com (mail.absig.com [98.186.237.217]) by
mx0a-0017a502.pphosted.com with ESMTP id 1trng2g2gh-1 for
<ron.chamberlin@lpl.com>; Mon, 13 Apr 2015 17:30:23 -0400
Received: from [199.195.247.252] by absig.com with HTTP; Mon, 13 Apr 2015
14:30:12 -0700
From: <mbishop@absig.com>
Date: Mon, 13 Apr 2015 14:30:12 -0700
X-Mailer: Axigen WebMail
To: <ron.chamberlin@lpl.com>, <golf44ron@aol.com>
Reply-To: <mbishop@absig.com>
Message-ID: <142896061223570232 2@absig.com>
Subject: [Fwd: AW: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]]
Importance: High
MIME-Version: 1.0
Content-Type: multipart/mixed;
boundary="===axigen=858605505361772546225969826171895849231
X-AxigenVirus-Level: 1
X-Proofpoint-Virus-Version: vendor=fsecure engine=2.50.10432:5.13.68,1.0.33,0.0

definitions=2015-04-13_05:2015-04-10,2015-04-13,1970-01-01 signatures=0
X-Proofpoint-Spam-Details: rule=med_spam_notspam policy=med_spam score=0
suspectscore=2
phishscore=0 adultscore=0 bulkscore=0 classifier=spam adjust=0 reason=mlx
scancount=1 engine=7.0.1-1402240000 definitions=main-1504130185
Return-Path: mbishop@absig.com
X-Auto-Response-Suppress: DR, RN, NRN, OOF, AutoReply

From: Aaron Hodgdon <Aaron.Hodgdon@lpl.com>

Sent: 2015-04-23 16:14:52 +0000

To: mbishop@absig.com

Subject: RE: Looking to sell cusip 59024FAG9...

Thanks all set mark

Aaron D. Hodgdon

LPL Financial

Trader | Fixed Income Sales and Trading

Direct: 704-733-3750

Institutional Trading Line: 855-575-4678

From: mbishop@absig.com [mailto:mbishop@absig.com]
Sent: Thursday, April 23, 2015 10:01 AM
To: Aaron Hodgdon
Subject: Looking to sell cusip 59024FAG9...
Importance: High

> Aaron -
>
> I am looking to sell MANA 2007-A2 A3D, cusip 59024FAG9, original face of 20,000,000, at a price not less than 11-15 (11.46875%), for corporate delivery (settlement 4-28-2015).
>
> The bond will be sold from my LPL account number 1360-4701 (ABS Investment Group).

Bob Greenwood, Mesirow Financial, will call you regarding this request.

Best regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

+46 709 933 538

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Message Headers:

X-ZANTAZ-RECIP: "mbishop@absig.com" <mbishop@absig.com>, mbishop@abs
Received: from CHCORPEXMBX03.corp.lpl.com ([fe80::4415:48ec:dcd0:1eda]) b
 chcorpexhub04.corp.lpl.com ([10.22.121.48]) with mapi id 14.03.0158.001; Th
 23 Apr 2015 12:14:53 -0400
From: Aaron Hodgdon <Aaron.Hodgdon@lpl.com>
To: "mbishop@absig.com" <mbishop@absig.com>
Subject: RE: Looking to sell cusip 59024FAG9...
Thread-Topic: Looking to sell cusip 59024FAG9...
Thread-Index: AQHQfdgZ4YTCOfEHa0qbA8lLGEl4Yp1axYvA
Date: Thu, 23 Apr 2015 16:14:52 +0000
Message-ID: <48006CA8DC032D40AEED7EE79B2E7CFCE5C2498B@CHCORPEXI
References: <142979768715113490 9@absig.com>
In-Reply-To: <142979768715113490 9@absig.com>
Accept-Language: en-US
Content-Language: en-US
X-MS-Exchange-Organization-AuthAs: Internal
X-MS-Exchange-Organization-AuthMechanism: 04
X-MS-Exchange-Organization-AuthSource: chcorpexhub04.corp.lpl.com
X-MS-Has-Attach:
X-MS-Exchange-Organization-SCL: -1
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXutTf;1162100;0;This mai
 been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-TNEF-Correlator:
x-ms-exchange-organization-originalsize: 10572
x-ms-exchange-organization-originalarrivaltime: 23 Apr 2015 16:14:52.9024
 (UTC)

x-ms-exchange-organization-messagesource: StoreDriver
x-ms-exchange-organization-messagedirectionality: Originating
x-ms-exchange-forest-messagescope: 00000000-0000-0000-0000-000000000
x-ms-exchange-organization-messagescope: 00000000-0000-0000-0000-00000
X-MS-Exchange-Organization-BCC:
x-ms-exchange-organization-originalclientipaddress: 10.22.121.10
x-originating-ip: [10.22.121.10]
x-ms-exchange-organization-originalserveripaddress: 10.22.121.41
x-ms-exchange-organization-messagelatency: SRV=CHCORPEXMBX03.corp.lpl.c
x-ms-exchange-organization-hygienepolicy: Standard
x-ms-exchange-organization-recipient-limit-verified: True
x-ms-exchange-organization-disclaimer-hash:
d4e7cba36fe3f431e278567c5495e58a6db2870813960bacc70a15fd0402bca5
x-ms-exchange-forest-rulesexecuted: chcorpexhub04
x-ms-exchange-organization-rules-execution-history: Block based on
subject%%%Block filenames%%%Termed Employees - Block%%%SolarWinds
SCL-1%%%Quest SCL -1%%%LPL @ Work email%%%Advisor Netwrix Lockou
Rule%%%BES SCL-1%%%Allow Employee Engagement Emails%%%Lock Dow
Externally (New)%%%AIS Communication%%%Exception @Mphasis.com
Addresses%%%LPL Data Feeds Rule%%%Accepted Domains for Offshore Mana
Trainers%%%Accepted domains for Offshore Processing Agents%%%Email
Disclaimer%%%Amy Pierce Service360 Team 17 Mailbox Received%%%Amy P
Service360 Team 17 Mailbox Sent%%%Fortigent Outbound
Disclaimer%%%Infof.Fortigent Outbound Disclaimer%%%LPL U Bypass Junk
Email%%%Service360 Team 17%%%Voicemail Notification%%%EZ Fax
Notification%%%Test Fortigent Large Message Failure
Notification%%%Service360 Team 40%%%Service360 Team 41%%%Diana G
Service360 Team 41 Mailbox%%%Robert Scheeler Service360 Team 41
Mailbox%%%PAG 360 RIA%%%IFP 360 RIA%%%Stratos 360 RIA%%%Jernay
Service360 Team 49 Mailbox%%%Forwarding Rule Test%%%Jean Biggs Servic
Team 49 Mailbox%%%Rubie Garcia Service360 Team 41 Mailbox%%%Service
20 Mailbox%%%NYCB Service360 Team%%%LPL Financial Network 360%%%
Size Limit Notification Test%%%Block Attachments to Addresses not
lpl.com%%%LPLU SCL -1%%%Carlson Wagonlit (CWT)%%%Test%%%HR Sol
Mailbox Redirect%%%Team 41-43 Escalation Mbx Rule%%%Insurance Email A
Control Send%%%Finance Domain Send Control 1%%%Finance Domain Send
2%%%Finance Domain Send Control 3%%%Finance Domain Send Control NDR
Domain Send Control%%%BDSS Domain Send Control1_1%%%BDSS Domain
Control1_2%%%BDSS Domain Send Control1_3%%%BDSS Domain Send
Control1_4%%%BDSS Domain Send Control1_5%%%BDSS Domain Send
Control1_6%%%BDSS Domain Control 1 NDR%%%Proofpoint Digest bypass sp
BDSS_DIRBUS_NETWORKING_BTR_DA - Send Domain Restriction%%%DirBus
Control%%%GRC Email Control%%%Service Manager Redirects 'Victor Fetter'
'Jan Rooks'%%%Comm Proc Email Control
Content-Type: multipart/alternative;
boundary="_000_48006CA8DC032D40AEED7EE79B2E7CFCE5C2498BC
MIME-Version: 1.0

150810 Standard KYC package and delivery instructions...pdf

From:	mbishop@absig.com
Sent:	2015-08-10 09:18:20 +0000
To:	aaron.hodgdon@lpl.com
CC:	barbaros.okten@temple.com.mt
Subject:	Standard KYC package and delivery instructions...

Aaron -

I am in continued discussions with Falcon Funds SICAV p.l.c. in Malta, regarding their sale of a couple of RMBS bonds (MARM 05-6 4A2, 576433A63, orig. face $3,187,000, and MANA 07-A2 A3D, 59024FAG9, orig. face $24,354,840). Temple Asset Management Limited, Malta, is the corporate fund manager for Falcon Funds, and Barbaros Okten is the responsible fund manager (he is copied on this email).

We plan to work together on future business also, so it is in our best interests to complete KYC and exchange delivery instructions so that we can execute the contemplated trades described above once we agree on terms, and look to potential future trades.

Please provide LPL's standard KYC package to Barbaros Okten at "barbaros.okten@temple.com.mt", and in turn Barbaros will send you their standard KYC package along with delivery instructions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: aaron.hodgdon@lpl.com, barbaros.okten@temple.com.mt
Received: from TXCORPEDGE02.corp.lpl.com (172.26.16.32) by TXCORPEXHUB02.corp.lpl.com (10.26.40.42) with Microsoft SMTP Server (TLS) id 14.3.158.1; Mon, 10 Aug 2015 04:18:24 -0500
Received: from mx0a-0017a502.pphosted.com (172.26.16.1) by TXCORPEDGE02.corp.lpl.com (172.26.16.32) with Microsoft SMTP Server (TLS) id 14.3.158.1; Mon, 10 Aug 2015 04:18:22 -0500

Received: from pps.filterd (m0049446.ppops.net [127.0.0.1]) by
 mx0a-0017a502.pphosted.com (8.15.0.59/8.15.0.59) with SMTP
id t7A9C39p004293
	for <aaron.hodgdon@lpl.com>; Mon, 10 Aug 2015
05:18:23 -0400
Received: from mail.absig.com (mail.absig.com
[98.186.237.217])	by
 mx0a-0017a502.pphosted.com with ESMTP id 1w5e7xkx43-1
	for
 <aaron.hodgdon@lpl.com>; Mon, 10 Aug 2015 05:18:22 -0400
Received: from [212.16.175.194] by absig.com with HTTP; Mon,
10 Aug 2015
 02:18:20 -0700
From: <mbishop@absig.com>
Date: Mon, 10 Aug 2015 02:18:20 -0700
X-Mailer: Axigen WebMail
To: <aaron.hodgdon@lpl.com>
CC: <barbaros.okten@temple.com.mt>
Reply-To: <mbishop@absig.com>
Message-ID: <1439198300342493563@absig.com>
Subject: Standard KYC package and delivery instructions...
Importance: High
MIME-Version: 1.0
Content-Type: multipart/alternative;
	boundary="_95705e4b-ddf3-474f-a2e3-
fd1b00d7d6b0_"
X-AxigenVirus-Level: 1
X-Proofpoint-Virus-Version: vendor=fsecure
engine=2.50.10432:,, definitions=2015-08-09_02:,,
 signatures=0
X-Proofpoint-Spam-Reason: eusafe
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 10 Aug 2015
09:18:22.7782
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress:
172.26.16.1
X-MS-Exchange-Organization-OriginalServerIPAddress:
172.26.16.32
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-
Processed: TXCORPEDGE02.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 4730
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-
0000-000000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-
0000-0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox:
SMEXutTf;1184500;0;This mail has
 been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress:
LSRV=TXCORPEDGE02.corp.lpl.com:TOTAL=0;2015-08-
10T09:18:23.293Z
X-MS-Exchange-Forest-ArrivalHubServer:
TXCORPEXHUB02.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0

X-MS-Exchange-Organization-AuthSource:
TXCORPEDGE02.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency:
SRV=TXCORPEDGE02.corp.lpl.com:TOTAL=0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: TXCORPEXHUB02
X-MS-Exchange-Organization-Rules-Execution-History: Vontu
Outbound%%%Block
Misconfigured SCOM, LogR, & Uvest Alerts%%%Block based on
subject%%%Block
filenames%%%Termed Employees - Block%%%Workday -
Notify - EnterPrise -
SCL-1%%%SolarWinds - SCL-1%%%Quest SCL -1%%%LPL @
Work email%%%Advisor
Netwrix Lockout Rule%%%BES SCL-1%%%Allow Employee
Engagement Emails%%%Lock
Down Sending Externally (New)%%%AIS
Communication%%%Exception @Mphasis.com
Addresses%%%LPL Data Feeds Rule%%%Accepted Domains for
Offshore Managers and
Trainers%%%Accepted domains for Offshore Processing
Agents%%%Email
Disclaimer%%%Amy Pierce Service360 Team 17 Mailbox
Received%%%Amy Pierce
Service360 Team 17 Mailbox Sent%%%Fortigent Outbound
Disclaimer%%%Infof.Fortigent Outbound Disclaimer%%%LPL U
Bypass Junk
Email%%%Service360 Team 17%%%Voicemail
Notification%%%EZ Fax
Notification%%%Test Fortigent Large Message Failure
Notification%%%Service360 Team 40%%%Service360 Team
41%%%Diana Gonzalez
Service360 Team 41 Mailbox%%%Robert Scheeler Service360
Team 41
Mailbox%%%PAG 360 RIA%%%IFP 360 RIA%%%Stratos 360
RIA%%%Jernay Tremble
Service360 Team 49 Mailbox%%%Forwarding Rule
Test%%%Misconfigured Alert
Blocking Rule%%%Jean Biggs Service360 Team 49
Mailbox%%%Adam Rainier
Service360 Team 49 Mailbox%%%Rubie Garcia Service360
Team 41
Mailbox%%%Service360 Team 20 Mailbox%%%NYCB
Service360 Team%%%LPL Financial
Network 360%%%Fortigent Size Limit Notification
Test%%%Block Attachments to
Addresses not lpl.com%%%LPLU SCL -1%%%Carlson Wagonlit
(CWT)%%%Test%%%HR
Solutions Center Mailbox Redirect%%%Team 41-43 Escalation
Mbx
Rule%%%Insurance Email Access Control Send%%%Finance
Domain Send Control
1%%%Finance Domain Send Control 2%%%Finance Domain
Send Control
3%%%Test1%%%Finance Domain Send Control
NDR%%%BDSS Domain Send

Control%%%BDSS Domain Send Control1_1%%%BDSS Domain Send Control1_2%%%BDSS
Domain Send Control1_3%%%BDSS Domain Send Control1_4%%%BDSS Domain Send
Control1_5%%%BDSS Domain Send Control1_6%%%BDSS Domain Control 1
NDR%%%Proofpoint Digest bypass spam%%%# BDSS_DIRBUS_NETWORKING_BTR_DA - Send
Domain Restriction%%%DirBus Email Control

150811 KYC...pdf

From: Mark Bishop <mailtobishop@gmail.com>

Sent: 2015-08-11 13:35:18 +0000

To: barbaros.okten@temple.com.mt; aaron.hodgdon@lpl.com

Subject: KYC...

In an effort to expedite KYC information, I have included both of your contact information:

Barbaros Ökten
Temple Asset Management Limited
+356 99770782 (office)
+356 77034461 (mobile)
barbaros.okten@temple.com.mt

Aaron Hodgdon
LPL Financial
+1 855 575 4678 (office)
aaron.hodgdon@lpl.com

Thank you. Regards,

Mark

--
Mark Bishop
+1 949 678 9574
+46 709 933 538

Message Headers:

```
X-ZANTAZ-RECIP: aaron.hodgdon@lpl.com, barbaros.okten@temple.com.mt
Received: from chcorpedge04.corp.lpl.com (172.22.123.41) by
 chcorpexhub04.corp.lpl.com (10.22.121.48) with Microsoft SMTP Server (TLS) i
 14.3.158.1; Tue, 11 Aug 2015 09:35:21 -0400
Received: from mx0a-0017a502.pphosted.com (67.231.149.97) by
 chcorpedge04.corp.lpl.com (172.22.123.41) with Microsoft SMTP Server (TLS) i
 14.3.158.1; Tue, 11 Aug 2015 09:35:07 -0400
Received: from pps.filterd (m0049442.ppops.net [127.0.0.1])  by
 mx0a-0017a502.pphosted.com (8.15.0.59/8.15.0.59) with SMTP id t7BDXTon0
        for <aaron.hodgdon@lpl.com>; Tue, 11 Aug 2015 09:35:19 -0400
Received: from mail-ob0-f178.google.com (mail-ob0-f178.google.com
 [209.85.214.178])        by mx0a-0017a502.pphosted.com with ESMTP id
1w5af10xgf-1
        (version=TLSv1/SSLv3 cipher=ECDHE-RSA-AES128-GCM-SHA256 bits=
verify=NOT)
        for <aaron.hodgdon@lpl.com>; Tue, 11 Aug 2015 09:35:19 -0400
Received: by obnw1 with SMTP id w1so147800343obn.3       for
 <aaron.hodgdon@lpl.com>; Tue, 11 Aug 2015 06:35:18 -0700 (PDT)
DKIM-Signature: v=1; a=rsa-sha256; c=relaxed/relaxed;
       d=gmail.com; s=20120113;
```

---

h=mime-version:date:message-id:subject:from:to:content-type;
bh=J5RaNIa8ZWI7Zqz5QMszLpdERG9wmQo65TA7AxLx4rY=;

b=oKBRgu3zXfLpllVS736smv1hcQwLEJzPdDoXyCNpD80RD33tnYfWLF/rPfKU7sk6

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DjsYk6mMU0+OpCJdASHysGf3RxqIpX1SsPNot1l5/7K3SNTzLFcs7aurYic2tXZICyU

EgzJ2JPR0jJ0RNqZ1Gy6/MIgKY7TBx3/6UzPfAyJDZnpbY9e1ekbejBUU28Zs++QOC

dQ+kRDd8XryckCYf8QWFEtMe4FqeKlYNlzQwOxdbpRTZCxT4sdin8yQcwOhNtZx2x
7wug==
MIME-Version: 1.0
X-Received: by 10.60.52.110 with SMTP id s14mr13997939oeo.14.1439300118
Tue, 11 Aug 2015 06:35:18 -0700 (PDT)
Received: by 10.202.185.213 with HTTP; Tue, 11 Aug 2015 06:35:18 -0700 (PD
Date: Tue, 11 Aug 2015 15:35:18 +0200
Message-ID: <CAL-
8HN_5W0fR9friHe1fEAVu1CRj9HY9pCbQQzMHcWy5q6v+gQ@mail.gmail.com>
Subject: KYC...
From: Mark Bishop <mailtobishop@gmail.com>
To: <barbaros.okten@temple.com.mt>, <aaron.hodgdon@lpl.com>
Content-Type: multipart/alternative;
boundary="_e1d859a6-3601-457f-9451-2615a40fd2b7_"
X-Proofpoint-Virus-Version: vendor=fsecure engine=2.50.10432:,, definitions=2
08-11_06:,,
signatures=0
X-Proofpoint-Spam-Details: rule=med_spam_notspam policy=med_spam score=
kscore.is_bulkscore=0
kscore.compositescore=1 compositescore=0.9 suspectscore=1 malwarescore=0
phishscore=0 bulkscore=0 kscore.is_spamscore=0 rbsscore=0.9 spamscore=0
urlsuspectscore=0.9 adultscore=0 classifier=spam adjust=0 reason=mlx
scancount=1 engine=8.0.1-1506180000 definitions=main-1508110207
Return-Path: mailtobishop@gmail.com
X-MS-Exchange-Organization-OriginalArrivalTime: 11 Aug 2015 13:35:07.3413
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 67.231.149.97
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed:
chcorpedge04.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 3752
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-
000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXutTf;1184700;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress:
LSRV=chcorpedge04.corp.lpl.com:TOTAL=0;2015-08-11T13:35:08.060Z
X-MS-Exchange-Forest-ArrivalHubServer: CHCORPEXHUB04.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: chcorpedge04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency:
SRV=chcorpedge04.corp.lpl.com:TOTAL=13|QD=13

X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: chcorpexhub04
X-MS-Exchange-Organization-Rules-Execution-History: Vontu Outbound%%%Bl
Misconfigured SCOM, LogR, & Uvest Alerts%%%Block based on subject%%%Bl
filenames%%%Termed Employees - Block%%%Workday - Notify - EnterPrise -
SCL-1%%%SolarWinds - SCL-1%%%Quest SCL -1%%%LPL @ Work
email%%%Advisor
Netwrix Lockout Rule%%%BES SCL-1%%%Allow Employee Engagement
Emails%%%Lock
Down Sending Externally (New)%%%AIS Communication%%%Exception
@Mphasis.com
Addresses%%%LPL Data Feeds Rule%%%Accepted Domains for Offshore Mana
and
Trainers%%%Accepted domains for Offshore Processing Agents%%%Email
Disclaimer%%%Amy Pierce Service360 Team 17 Mailbox Received%%%Amy P
Service360 Team 17 Mailbox Sent%%%Fortigent Outbound
Disclaimer%%%Infof.Fortigent Outbound Disclaimer%%%LPL U Bypass Junk
Email%%%Service360 Team 17%%%Voicemail Notification%%%EZ Fax
Notification%%%Test Fortigent Large Message Failure
Notification%%%Service360

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-02-06 16:14:35 +0000

To: ron.chamberlin@lpl.com; ulf.deckmark@tractionfonder.se

Subject: RE: Euroclear instructions

Attachments: TRADE TICKET RALI 02-QS2 B1.pdf

I forgot to attache the trade ticket. Here it is.

M

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

From: Mark Bishop
Sent: Monday, February 06, 2012 8:12 AM
To: ron.chamberlin@lpl.com; ulf.deckmark@tractionfonder.se
Subject: RE: Euroclear instructions

Ulf and Ron -

The bond will be in our ABS Investment Group account number 1004-0067. Our holding firm's Euroclear number is 93999.

We still need Traction Fonder AB's holding firm's Euroclear number.

We have decided to try and settle on Wednesday, February 8th.

This is a real purchase/sale, but we are using this transaction as a form of "test buy" in order to work out the "bugs", because we are contemplating a large business relationship with Traction.

Please stay in communication today.

Regards,

Mark

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

From: ron.chamberlin@lpl.com [ron.chamberlin@lpl.com]
Sent: Sunday, February 05, 2012 9:26 AM

To: Mark Bishop
Subject: Fwd: Euroclear instructions

Mark,

Here are the Euroclear instructions from our Eiroclear sattlement dept. Jeff at DeLaRosa talked to Matt at LPL Friday. We should be good to go.

Sincerely,

Ronald J. Chamberlin
Registered Principal,
LPL Financial
CommerceWest Investment Management
2111 Business Center Drive
Irvine, CA 92612

T (949) 474-5263 (direct)
T (949) 251-6959 x7265
F (949) 251-6958
M (949) 302-2204

W www.lpl.com/ron.chamberlin
E ron.chamberlin@lpl.com

Securities offered through LPL Financial, Member FINRA/SIPC
Not FDIC Insured. No Bank Guaranteed. May Lose Value.
Not a Deposit. Not Insured by Any Federal Government Agency.

----- Original Message -----
From: Matthew Brunelle Matthew.Brunelle@lpl.com
To: "ron.chamberlin@lpl.com" ron.chamberlin@lpl.com
Sent: Fri 03/02/12 12:06 PM
Subject: Fwd: Euroclear instructions
Ron,

To do a Euroclear transfer or trade I set up instructions to receive the shares and the holding firm sets up instructions to deliver them. I need the holding firm's Euroclear number and they'll need ours which is 93999. We agree on a trade date and settle date which are arbitrary but we both have to match them. The shares are then settled into LPL's account with our foreign custodian which is Merrill Lynch. Once I receive confirmation from Merrill Lynch the shares have settled, I credit the client account at LPL.

Regards,

Matt Brunelle
LPL Financial
Foreign Settlements Specialist | Settlements

Toll-free: (800) 877-7210 | ext. 5543
E-mail: matthew.brunelle@lpl.com<mailto:matthew.brunelle@lpl.com>

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Message Headers:

X-ZANTAZ-RECIP: "ron.chamberlin@lpl.com" <ron.chamberlin@lpl.com>,
<ulf.deckmark@tractionfonder.se>
X-MEDIA-ID: 3AO0ESMUF1ATLeA1DKR98IMEOUUG416L9N5GDP0N976V7084UG
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0096165501@LPLCMMLP01.:
Received: from osjex01.osj.lpl.com ([139.61.206.249]) by lplcmmlp01.lplcmmlp
SMTPSVC(6.0.3790.3959);
Mon, 6 Feb 2012 08:16:14 -0800
Received: from sdadvsmtp02.lpl.com ([172.17.27.88]) by osjex01.osj.lpl.com w
Mon, 6 Feb 2012 08:16:03 -0800
Received: from psmtp.com (exprod8mx274.postini.com [64.18.3.72])
(using TLSv1 with cipher DHE-RSA-AES256-SHA (256/256 bits))
(No client certificate requested)
by sdadvsmtp02.lpl.com (Postfix) with ESMTP id 15EFE1D789A
for <ron.chamberlin@lpl.com>; Mon, 6 Feb 2012 08:16:01 -0800 (PST
Received: from mx.cbeyond.com ([66.180.96.58]) (using TLSv1) by exprod8mx
Mon, 06 Feb 2012 08:16:01 PST
X-SBRS: 2.9
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: imx01dal.sys.cbeyond.net
X-IronPort-AV: E=Sophos;i="4.73,371,1325480400";
d="pdf'?scan'208";a="382689077"
Received: from exchange.cbeyondonline.net (HELO hub402dal.mmeprod.cbeyon
by mx.cbeyond.com with ESMTP; 06 Feb 2012 11:15:59 -0500
Received: from EXMBX02.mmeprod.cbeyond ([192.168.13.41]) by
hub402dal.mmeprod.cbeyond ([192.168.13.100]) with mapi; Mon, 6 Feb 2012
11:15:59 -0500
From: Mark Bishop <mbishop@absig.com>
To: "ron.chamberlin@lpl.com" <ron.chamberlin@lpl.com>,
"ulf.deckmark@tractionfonder.se" <ulf.deckmark@tractionfonder.se>
Date: Mon, 6 Feb 2012 11:14:35 -0500
Subject: RE: Euroclear instructions
Thread-Topic: Euroclear instructions
Thread-Index: AczkK10ZJigS6s4NTneP2WTBez91MwAvctwTAABQmFM=
Message-ID: <E3FE7449DA379947ACF8DED902652BD00117633A231D@EXMBX
References:
<16561.1328462810@lpl.com>,<E3FE7449DA379947ACF8DED902652BD00117
In-Reply-To: <E3FE7449DA379947ACF8DED902652BD00117633A231B@EXMBX
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach: yes
X-MS-TNEF-Correlator:
acceptlanguage: en-US
Content-Type: multipart/mixed;
boundary="_002_E3FE7449DA379947ACF8DED902652BD00117633A2
MIME-Version: 1.0
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC: 0.1839 LC:93.6803 R:
)
X-pstn-settings: 5 (2.0000:1.0000) s cv FC lc gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [242/10]

Return-Path: mbishop@absig.com
X-OriginalArrivalTime: 06 Feb 2012 16:16:03.0491 (UTC) FILETIME=[9F6A0F30

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-02-21 17:08:13 +0000

To: rchamberlin@cwbk.com; golf44ron@aol.com; matthew.brunelle@lpl.com

Subject:

Attachments: TRADE TICKET TBW 07-1 A3.pdf; Euroclear.docx

Ron and Matt -

Please find attached the Euroclear instructions for my buyer, Traction Fonder AB, and the trade ticket for the TBW bond.

We should have the TBW bond in our "ABS Investment Group" account number 1774-4095 today. We want to settle the sale of this bond to Traction Fonder AB, per their instructions, through Euroclear on Thursday, February 23rd.

Please call me to discuss or let me know, "this is easy", since I have not settled Euroclear before.

Thanks,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>, "golf44
<matthew.brunelle@lpl.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 7MMAS3H1CUGJMeCEED4BPDVIQG4G416MGDSS6F0AES8QKE2UA
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0089427687@LPLCMMLP02.:
Received: from chcorpedge03.corp.lpl.com (172.22.123.40) by
chcorpexhub01.corp.lpl.com (10.22.121.51) with Microsoft SMTP Server (TLS) i
8.3.213.0; Tue, 21 Feb 2012 12:11:10 -0500
Received: from psmtp.com (64.18.3.125) by chcorpedge03.corp.lpl.com
(172.22.123.40) with Microsoft SMTP Server (TLS) id 14.1.355.2; Tue, 21 Feb
2012 12:10:52 -0500
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
Received: from mx.cbeyond.com ([66.180.96.58]) (using TLSv1) by
exprod8mx225.postini.com ([64.18.7.10]) with SMTP; Tue, 21 Feb 201
GMT
X-SBRS: 4.5

X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: imx03dal.sys.cbeyond.net
X-IronPort-AV: E=Sophos;i="4.73,458,1325480400";

d="xml'?docx'72,48?scan'72,48,72,48,208,145?rels'72,48,72,48,208,145?jpeg'7
Received: from exchange.cbeyondonline.net (HELO hub402dal.mmeprod.cbeyon
([66.180.96.27]) by mx.cbeyond.com with ESMTP; 21 Feb 2012 12:11:05 -050
Received: from EXMBX02.mmeprod.cbeyond ([192.168.13.40]) by
hub402dal.mmeprod.cbeyond ([192.168.13.100]) with mapi; Tue, 21 Feb 2012
12:11:05 -0500
From: Mark Bishop <mbishop@absig.com>
To: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>, "golf44ron@aol.com"
<golf44ron@aol.com>, "matthew.brunelle@lpl.com" <matthew.brunell
Importance: high
X-Priority: 1
Date: Tue, 21 Feb 2012 12:08:13 -0500
Subject:
Thread-Index: AQHM8Ltlf6FufpiZwEOy7XAAUHC5Kg==
Message-ID: <E3FE7449DA379947ACF8DED902652BD00117645BC7F1@EXMBX
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach: yes
X-MS-TNEF-Correlator:
acceptlanguage: en-US
Content-Type: multipart/mixed;
boundary="_c02c641a-01be-4e87-b0b6-8b3a30a96577_"
MIME-Version: 1.0
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [105/4]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 21 Feb 2012 17:10:52.7432
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.125
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: chcorpedge03
X-MS-Exchange-Organization-OriginalSize: 307281
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXkv@];879100;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=chcorpedge03.
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-AVStamp-Mailbox: MSFTFF;1;0;0 0 0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: chcorpexhub01

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-02-22 14:51:55 +0000

To: matthew.brunelle@lpl.com

CC: rchamberlin@cwbk.com

Subject: FW:

Matt -

Call me this morning, please. We are trying to match the description of the bond in Euroclear so we can set up between SEB and LPL.

Thanks,

Mark

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

From: Ulf Deckmark [ulf.deckmark@tractionfonder.se]
Sent: Wednesday, February 22, 2012 6:26 AM
To: Mark Bishop
Subject:

Hi Mark

SEB cannot find the bond has you to placed it in as TBW37 A3 1 ? instead of TBW 2007-1 A3 ?

Best regards

Ulf

Ulf Deckmark, VD
Traction Fonder AB
Biblioteksgatan 3, 2tr
111 46 Stockholm
Tel: + 46 8 502 556 03
Fax: + 46 8 502 556 04
ulf.deckmark@tractionfonder.se<mailto:ulf.deckmark@tractionfonder.se>

www.tractionfonder.se<http://www.tractionfonder.se/>

RISK:
Det finns inga garantier för att en investering i någon av fonderna inte kan leda till förlust, trots positiv utveckling på de finansiella marknaderna. Historisk avkastning är ingen garanti för framtida avkastning och en investering i någon av våra fonder bör betraktas som en långsiktig investering.

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Message Headers:

X-ZANTAZ-RECIP: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>, "matth
Return-path: mbishop@absig.com
X-MEDIA-ID: 2E8UED3CO26OMe8OGGQFP213QH9G416MIOA52R0912U5PSKH5
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0093597434@LPLCMMLP03.
Received: from SDCORPEDGE04.corp.lpl.com (172.17.123.41) by
 SDCORPEXHUB03.corp.lpl.com (10.2.32.155) with Microsoft SMTP Server (TLS)
 14.1.355.2; Wed, 22 Feb 2012 06:54:02 -0800
Received: from psmtp.com (172.17.123.1) by SDCORPEDGE04.corp.lpl.com
 (172.17.123.41) with Microsoft SMTP Server (TLS) id 14.1.355.2; Wed, 22 Feb
 2012 06:53:46 -0800
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
Received: from mx.cbeyond.com ([66.180.96.58]) (using TLSv1) by
 exprod8mx239.postini.com ([64.18.7.10]) with SMTP; Wed, 22 Feb 201
 MST
X-SBRS: 5.3
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: imx06dal.sys.cbeyond.net
X-IronPort-Anti-Spam-Filtered: true
X-IronPort-Anti-Spam-Result:
AqsBAFIBRU9CtGAbmWdsb2JhbABAA7MIAQEBAQEICwsHFCeBcwEBBSlQEAIDBh
X-IronPort-AV: E=Sophos;i="4.73,464,1325480400";
   d="scan'208";a="463235632"
Received: from exchange.cbeyondonline.net (HELO hub402dal.mmeprod.cbeyon
 ([66.180.96.27]) by mx.cbeyond.com with ESMTP; 22 Feb 2012 09:53:42 -05
Received: from EXMBX02.mmeprod.cbeyond ([192.168.13.40]) by
 hub402dal.mmeprod.cbeyond ([192.168.13.100]) with mapi; Wed, 22 Feb 201
 09:53:42 -0500
From: Mark Bishop <mbishop@absig.com>
To: "matthew.brunelle@lpl.com" <matthew.brunelle@lpl.com>
CC: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
Importance: high
X-Priority: 1

Date: Wed, 22 Feb 2012 09:51:55 -0500
Subject: FW:
Thread-Index: Aczxbfl7xly6tnvITlOW0S4WqBxyZAAA4uzj
Message-ID: <E3FE7449DA379947ACF8DED902652BD00117645BC7FD@EXMBX
References: <A6F1860849BE2F41B51DC5B6506944C70581B512AB@ex-mbx2.h
In-Reply-To: <A6F1860849BE2F41B51DC5B6506944C70581B512AB@ex-mbx2.
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
acceptlanguage: en-US
Content-Type: text/plain; charset="iso-8859-1"
Content-Transfer-Encoding: quoted-printable
MIME-Version: 1.0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [105/4]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 22 Feb 2012 14:53:46.6183
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 172.17.123.1
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: SDCORPEDGE
X-MS-Exchange-Organization-OriginalSize: 4378
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXkv@];879300;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=SDCORPEDGE0
X-MS-Exchange-Forest-ArrivalHubServer: SDCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: SDCORPEDGE04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=SDCORPEDGE04.corp.lpl.c
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-6.800.1017-18726.000
X-TM-AS-Result: No--17.162500-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Exception @Mphasis.com
Addresses%%%LPL Data Feeds Rule%%%Lock Down Sending External%%%E
Disclaimer%%%Service360 Team 17%%%Service360 Team 41%%%Christine
Service360 Team 41 Mailbox%%%Corporate Events and Travel - Bcc%%%NYC
Service360 Team

From: Ulf Deckmark <ulf.deckmark@tractionfonder.se>

Sent: 2012-02-23 16:59:14 +0000

To: Matthew Brunelle <Matthew.Brunelle@lpl.com>; mbishop@absig.com; Ron Chamberlin <rchamberlin@cwbk.com>

Subject: SV: Status update, CUSIP

Matt,

The custodian SEB does allow to have instructions up past settle date.

Best regards

Ulf Deckmark, VD
Traction Fonder AB

Från: Matthew Brunelle [mailto:Matthew.Brunelle@lpl.com]
Skickat: den 23 februari 2012 17:43
Till: Matthew Brunelle; mbishop@absig.com; Ron Chamberlin
Kopia: Ulf Deckmark
Ämne: RE: Status update, CUSIP

Ulf,

Mark Bishop informed me that you see our instructions as matched. If you could please leave your instructions alone, that way once the shares are moved to Euroclear they should settle immediately. If your custodian does not allow you to have instructions up past settle date and you need to amend with new dates please let me know and I will amend to match you.

20120223_165914_0000_SV Status update, CUSIP.pdf

Matt Brunelle

LPL Financial
Foreign Settlements Specialist | Settlements

Toll-free: (800) 877-7210 | ext. 5543

E-mail: matthew.brunelle@lpl.com

From: Matthew Brunelle
Sent: Thursday, February 23, 2012 8:34 AM
To: 'mbishop@absig.com'; Ron Chamberlin
Cc: 'ulf.deckmark@tractionfonder.se'
Subject: Status update, CUSIP

Mark and Ron,

Unfortunately the trade did not settle. The issue is we do not have sufficient shares in Euroclear to make settlement. We successfully did the journal entry between the accounts. Then we were able to move the shares from DTC to our foreign account at Merrill however these are held in the Canadian market, CDS, by default. Merrill is now working to move the shares from CDS to Euroclear so that we can make delivery. I asked for a time frame and they were unable to provide one but if I had to guess I would say a day or two. Our instructions are still up to deliver in Euroclear and once the shares are moved into Euroclear they should be delivered out. I apologize for the delay but as you can see there are a lot of moving parts on this one and I had to wait for the journal entry be complete before I could proceed.

Regards,

Matt Brunelle

LPL Financial
Foreign Settlements Specialist | Settlements

Toll-free: (800) 877-7210 | ext. 5543

E-mail: matthew.brunelle@lpl.com

From: Mark [mailto:mbishop@absig.com]
Sent: Wednesday, February 22, 2012 7:23 AM
To: Matthew Brunelle; Ron Chamberlin
Subject: Fw:

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

From: Ulf Deckmark <ulf.deckmark@tractionfonder.se>

Date: Wed, 22 Feb 2012 10:07:44 -0500

To: Mark Bishop<mbishop@absig.com>

Subject:

Hi Mark,

Also the ISIn code error , it is registrated is US87222EAC21 with name TBW37 A3 1 instead of US87222EAC27 with name TBW 2007-1 A3

Best regards

Ulf

Ulf Deckmark, VD
Traction Fonder AB
Biblioteksgatan 3, 2tr
111 46 Stockholm
Tel: + 46 8 502 556 03

Fax: + 46 8 502 556 04
ulf.deckmark@tractionfonder.se

www.tractionfonder.se

RISK:

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Message Headers:

X-ZANTAZ-RECIP: Matthew Brunelle <Matthew.Brunelle@lpl.com>, "mbishop@absig.com" <mbishop@absig.com>, Ron Chamberlin <rchamberlin@cwbk.com>
Return-path: ulf.deckmark@tractionfonder.se
X-MEDIA-ID: DRV420705VB93e2GHLH983AP4HKG416MO1R58V0M1USSQ4IAR4
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0093808172@LPLCMMLP03.:Corporate>
Received: from chcorpedge03.corp.lpl.com (172.22.123.40) by CHCORPEXHUB03.corp.lpl.com (10.22.121.47) with Microsoft SMTP Server (TLS 14.1.355.2; Thu, 23 Feb 2012 11:59:23 -0500
Received: from psmtp.com (64.18.3.56) by chcorpedge03.corp.lpl.com

(172.22.123.40) with Microsoft SMTP Server (TLS) id 14.1.355.2; Thu, 23 Feb 2012 11:59:04 -0500
Received-SPF: none (google.com: ulf.deckmark@tractionfonder.se does not desi
permitted sender hosts) client-ip=94.246.96.43;
Received: from smtp1-3.ilait.se ([94.246.96.43]) (using TLSv1) by exprod8mx264.postini.com ([64.18.7.10]) with SMTP; Thu, 23 Feb 201
08:59:21 PST
Received: from ex-hub1.hosting.local (ex-hub1.ilait.se [82.99.18.59]) (using TLSv1 with cipher RC4-MD5 (128/128 bits)) (No client certificate requested) by smtp1-3.ilait.se (Postfix) with ESMTPS id 5DAD71A43E; Thu, 23
2012 16:59:18 +0000 (UTC)
Received: from ex-mbx2.hosting.local ([10.46.16.32]) by ex-hub1.hosting.local ([10.46.16.131]) with mapi; Thu, 23 Feb 2012 17:59:18 +0100
From: Ulf Deckmark <ulf.deckmark@tractionfonder.se>
To: Matthew Brunelle <Matthew.Brunelle@lpl.com>, "mbishop@absig.com" <mbishop@absig.com>, Ron Chamberlin <rchamberlin@cwbk.com>
Date: Thu, 23 Feb 2012 17:59:14 +0100
Subject: SV: Status update, CUSIP
Thread-Topic: Status update, CUSIP
Thread-Index: AczxdeaNrdrrhtQDQSWdIx3Kn+JMkgA0mhyQAABkOzAAAJUJMA=
Message-ID: <A6F1860849BE2F41B51DC5B6506944C70581B5172D@ex-mbx2.hosting.local>
References: <466508987-1329924184-cardhu_decombobulator_blackberry.rim.1473596624-@b2.c22.bise6.blackberry>

<94CDD50F9D2C2743942780F94E517EEE17FF9A1C73@SDCORPEXMBX01.corp
In-Reply-To:
<94CDD50F9D2C2743942780F94E517EEE17FF9A1C73@SDCORPEXMBX01.corp
Accept-Language: sv-SE
Content-Language: sv-SE
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
acceptlanguage: sv-SE
Content-Type: multipart/alternative; boundary="_1b6de4a6-4609-4cdd-9731-80d865639e10_"
MIME-Version: 1.0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
P:95.9108 M:97.0282 C:98.6951)
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <ulf.deckmark@tractionfonder.se> [105/4]
Return-Path: ulf.deckmark@tractionfonder.se
X-MS-Exchange-Organization-OriginalArrivalTime: 23 Feb 2012 16:59:04.5870 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.56
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed:
chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 25730
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXkv@];879500;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;

X-MS-Exchange-Organization-MessageLatencyInProgress:
LSRV=chcorpedge03.corp.lpl.com:TOTAL=0;2012-02-23T16:59:05.149Z
X-MS-Exchange-Forest-ArrivalHubServer: CHCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency:
SRV=chcorpedge03.corp.lpl.com:TOTAL=18|QD=18
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-6.800.1017-18728.005
X-TM-AS-Result: No--35.095300-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: CHCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Exception @Mphasis.com
Addresses%%%LPL Data Feeds Rule%%%Lock Down Sending External%%%E
Disclaimer%%%Service360 Team 17%%%Service360 Team 41%%%Christine
McDonagh
Service360 Team 41 Mailbox%%%Corporate Events and Travel - Bcc%%%NYC
Service360 Team

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-09-11 07:28:21 +0000

To: rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; vieng.louangrath@lpl.com

Subject: Bond purchase for TUESDAY, SEPTEMBER 11, 2012 - [LMT 2005-2 1A4, cusip 52520MBR3, orig. face $9,850,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on TUESDAY, SEPTEMBER 11, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, however the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "7395-4378", LPL account name "American RMBS Equity Fund IV, LP".

CUSIP: 52520MBR3
BOND NAME: LMT 2005-2 1A4
DTC: 0075
ACCOUNT: 7395-4378
CREDIT: American RMBS Equity Fund IV, LP
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $9,850,000
CURRENT FACE: $7,558,867.65
PRICE: 32.500% [32-16]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
<vieng.louangrath@lpl.com>, "rchamberlin@cwbk.com" <rchamberlin@cwbk.co
MIME-Version: 1.0
X-MEDIA-ID: CT1802_NAS09
X-ZANTAZ-SOURCE-URI:
zip:file:/mnt/NAS09/2R/9B/2R9BJ610SMUIBe7CL7HB2F0MA0QG4176Q4VV2803

X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0123478462@LPLCMMLP03.:
Received: from SDCORPEDGE03.corp.lpl.com (172.17.123.40) by
 SDCORPEXHUB03.corp.lpl.com (10.2.32.155) with Microsoft SMTP Server (TLS)
 14.2.298.4; Tue, 11 Sep 2012 00:32:00 -0700
Received: from psmtp.com (64.18.3.151) by SDCORPEDGE03.corp.lpl.com
 (172.17.123.40) with Microsoft SMTP Server (TLS) id 14.2.298.5; Tue, 11 Sep
 2012 00:31:51 -0700
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
Received: from omx.cbeyond.com ([50.20.30.10]) (using TLSv1) by
 exprod8mx284.postini.com ([64.18.7.10]) with SMTP; Tue, 11 Sep 201
 PDT
X-SBRS: -0.5
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: omx03bay.sys.cbeyond.net
X-IronPort-Anti-Spam-Filtered: true
X-IronPort-Anti-Spam-Result:
Au8DAFPoTlBCtGAbX2dsb2JhbABCA4VAshSEExcLAgkHFCeCJzo/EgE1CAEFPREWE
X-IronPort-AV: E=Sophos;i="4.80,402,1344225600";
   d="scan'208";a="64285832"
Received: from mx1.cbeyond.com (HELO hub401dal.mmeprod.cbeyond)
 ([66.180.96.27]) by omx.cbeyond.com with ESMTP; 11 Sep 2012 03:31:57 -0
Received: from EXMBX02.mmeprod.cbeyond ([192.168.13.40]) by
 hub401dal.mmeprod.cbeyond ([192.168.13.99]) with mapi; Tue, 11 Sep 2012
 03:31:57 -0400
From: Mark Bishop <mbishop@absig.com>
To: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>,
        "vieng.louangrath@lpl.com" <vieng.louangrath@lpl.com>
Date: Tue, 11 Sep 2012 03:28:21 -0400
Subject: Bond purchase for TUESDAY, SEPTEMBER 11, 2012 - [LMT 2005-2 1A4
 cusip 52520MBR3, orig. face $9,850,000]...
Thread-Topic: Bond purchase for TUESDAY, SEPTEMBER 11, 2012 - [LMT 2005-2
 1A4, cusip 52520MBR3, orig. face $9,850,000]...
Thread-Index: AQHNj++FGeHqpteIOUy31AIEzEvgww==
Message-ID: <E3FE7449DA379947ACF8DED902652BD0013C5073D381@EXMBX
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
acceptlanguage: en-US
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:29.00313/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [db-null]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 11 Sep 2012 07:31:51.9507
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.151
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: SDCORPEDGE
X-MS-Exchange-Organization-OriginalSize: 2956
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000

X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXkv@];938500;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=SDCORPEDGE0
11T07:31:52.200Z
X-MS-Exchange-Forest-ArrivalHubServer: SDCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: SDCORPEDGE03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=SDCORPEDGE03.corp.lpl.c
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-7.000.1014-19176.005
X-TM-AS-Result: No--2.306600-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Lock Down Sending
Externally (New)%%%Exception @Mphasis.com Addresses%%%LPL Data Feed
Rule%%%Email Disclaimer%%%NestWise Outbound Disclaimer%%%Fortigent
Disclaimer%%%Infof.Fortigent Outbound Disclaimer%%%Service360 Team
17%%%Service360 Team 40%%%Service360 Team 41%%%Diana Gonzalez S
Team 41 Mailbox%%%Robert Scheeler Service360 Team 41 Mailbox%%%Jean
Service360 Team 41 Mailbox%%%Rubie Garcia Service360 Team 41
Mailbox%%%Service360 Team 20 Mailbox%%%NYCB Service360 Team

From: Vieng Louangrath <Vieng.Louangrath@lpl.com>

Sent: 2012-09-11 18:07:27 +0000

To: Mark Bishop <mbishop@absig.com>; rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>

Subject: RE: Bond purchase for TUESDAY, SEPTEMBER 11, 2012 - [LMT 2005-2 1A4, cusip 52520MBR3, orig. face $9,850,000]...

Hi,

This have settle today.

AHIS 09/11/12 14:06:52 023/001
FUNC LAST CRNCY USD <<< AHIS - ACCOUNT HISTORY >>>> SUB 001
INQ ACCT 73954378 T A B/R _ _____ FILTR _ SEC C-52520MBR3 DATE _____ M/M
ACCT NAME AMERICAN RMBS EQUITY FUND DIST V-AMT STMT CD N REP
7NPB A PARTNERSHIP HOME PHONE 949-678-9574 C TD .00 MM
3.82- TOT 3.82- M TD .00
T DATE QUANTITY DESCRIPTION PRICE/SOURCE AMOUNT
1 09/11/12 9,850,000L LEHMAN MTG TR VLG T/A
REMIC 2005-2 CL 1A4
MONTHLY 24 DAY DELAY
CPN 5.750% DUE 12/25/35
DTD 11/01/05 FC 12/25/05

Thanks,

Vieng Louangrath
LPL Financial
Settlement Specialist | Settlements

Direct (858) 909-7387
Toll-free (800) 877-7210 | ext.7387
Email:vieng.louangrath@lpl.com
-----Original Message-----
From: Mark Bishop [mailto:mbishop@absig.com]
Sent: Tuesday, September 11, 2012 12:28 AM
To: rchamberlin@cwbk.com
Cc: Craig Chang; Steve Bishop; Vieng Louangrath
Subject: Bond purchase for TUESDAY, SEPTEMBER 11, 2012 - [LMT 2005-2 1A4, cusip 52520MBR3, orig. face $9,850,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on TUESDAY, SEPTEMBER 11, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, however the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "7395-4378", LPL account name "American RMBS Equity Fund IV, LP".

CUSIP: 52520MBR3
BOND NAME: LMT 2005-2 1A4
DTC: 0075
ACCOUNT: 7395-4378
CREDIT: American RMBS Equity Fund IV, LP
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $9,850,000
CURRENT FACE: $7,558,867.65
PRICE: 32.500% [32-16]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

The information contained in this email message is being transmitted to and is intended for the use of only the individual(s) to whom it is addressed. If the reader of this message is not the intended recipient, you are hereby advised that any dissemination, distribution or copying of this message is strictly prohibited. If you have received this message in error, please immediately delete.

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Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
"rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
MIME-Version: 1.0
X-MEDIA-ID: CT1802_NAS09
X-ZANTAZ-SOURCE-URI:
zip:file:/mnt/NAS09/1U/6G/1U6GOH3L2BQ7JeC0PC5EUO5O127G4176RD8MH20
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0123169164@LPLCMMLP01.:
Received: from SDCORPEXMBX01.corp.lpl.com ([10.2.32.54]) by sdcorpexhub0
([10.2.32.23]) with mapi; Tue, 11 Sep 2012 11:07:28 -0700
From: Vieng Louangrath <Vieng.Louangrath@lpl.com>
To: Mark Bishop <mbishop@absig.com>, "rchamberlin@cwbk.com"
<rchamberlin@cwbk.com>
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>
Date: Tue, 11 Sep 2012 11:07:27 -0700
Subject: RE: Bond purchase for TUESDAY, SEPTEMBER 11, 2012 - [LMT 2005-2
1A4, cusip 52520MBR3, orig. face $9,850,000]...
Thread-Topic: Bond purchase for TUESDAY, SEPTEMBER 11, 2012 - [LMT 2005-2
1A4, cusip 52520MBR3, orig. face $9,850,000]...

Thread-Index: AQHNj++FGeHqpteIOUy31AIEzEvgw5eFcJ0A
Message-ID: <74D515A3BF29DE408C017CA1F1D0459018E0E9EAB4@SDCORPE
References: <E3FE7449DA379947ACF8DED902652BD0013C5073D381@EXMBX
In-Reply-To: <E3FE7449DA379947ACF8DED902652BD0013C5073D381@EXMBX
Accept-Language: en-US
Content-Language: en-US
X-MS-Exchange-Organization-AuthAs: Internal
X-MS-Exchange-Organization-AuthMechanism: 04
X-MS-Exchange-Organization-AuthSource: SDCORPEXHUB01.corp.lpl.com
X-MS-Has-Attach:
X-MS-Exchange-Organization-SCL: -1
X-MS-Exchange-Organization-AVStamp-Mailbox: MSFTFF;1;0;0 0 0
X-MS-TNEF-Correlator:
acceptlanguage: en-US
x-ms-exchange-organization-originalsize: 13701
x-ms-exchange-organization-originalarrivaltime: 11 Sep 2012 18:07:28.0629
(UTC)
x-ms-exchange-organization-messagesource: StoreDriver
x-ms-exchange-organization-recipient-limit-verified: True
x-ms-exchange-organization-disclaimer-hash: 3526cf1581d5609c3443421c962b
x-ms-exchange-forest-rulesexecuted: SDCORPEXHUB01
Content-Type: text/plain; charset="utf-8"
Content-Transfer-Encoding: base64

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-10-12 05:26:24 +0000

To: rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; vieng.louangrath@lpl.com

Subject: Bond purchase for FRIDAY, OCTOBER 12, 2012 - [MARM 2005-6 4A2, cusip 576433A63, orig. face $3,187,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on FRIDAY, OCTOBER 12, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, however the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "1360-4701", LPL account name "ABS Investment Group".

CUSIP: 576433A63
BOND NAME: MARM 2005-6 4A2
DTC: 0075
ACCOUNT: 1360-4701
CREDIT: ABS Investment Group
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $3,187,000
CURRENT FACE: $1,433,834.81
PRICE: 25.625% [25-20]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
"vieng.louangrath@lpl.com" <vieng.louangrath@lpl.com>, "rchamberlin
<rchamberlin@cwbk.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 8KSS5OP2K2QJPe669AOI6OCOOOAG41799LU85L03BH1RAR6L2HR

X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0127807158@LPLCMMLP01.:
Received: from SDCORPEDGE04.corp.lpl.com (172.17.123.41) by
 SDCORPEXHUB02.corp.lpl.com (10.2.32.24) with Microsoft SMTP Server (TLS) i
 8.3.245.1; Thu, 11 Oct 2012 22:26:28 -0700
Received: from psmtp.com (64.18.3.148) by SDCORPEDGE04.corp.lpl.com
 (172.17.123.41) with Microsoft SMTP Server (TLS) id 14.2.318.1; Thu, 11 Oct
 2012 22:26:19 -0700
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
ip=50.20.30.10;
Received: from omx.cbeyond.com ([50.20.30.10]) (using TLSv1) by
 exprod8mx248.postini.com ([64.18.7.10]) with SMTP; Fri, 12 Oct 2012
 EDT
X-SBRS: -0.5
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: omx07bay.sys.cbeyond.net
X-IronPort-Anti-Spam-Filtered: true
X-IronPort-Anti-Spam-Result:
Ap0EALiod1BCtGAbX2dsb2JhbABBA4VLthuEDBgLAgkHFCeCJzo/EgE1CQU9ERYED
X-IronPort-AV: E=Sophos;i="4.80,576,1344225600";
   d="scan'208";a="142884512"
Received: from mx1.cbeyond.com (HELO hub404dal.mmeprod.cbeyond)
 ([66.180.96.27]) by omx.cbeyond.com with ESMTP; 12 Oct 2012 01:26:25 -04
Received: from EXMBX02.mmeprod.cbeyond ([192.168.13.40]) by
 hub404dal.mmeprod.cbeyond ([192.168.13.102]) with mapi; Fri, 12 Oct 2012
 01:26:25 -0400
From: Mark Bishop <mbishop@absig.com>
To: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>,
        "vieng.louangrath@lpl.com" <vieng.louangrath@lpl.com>
Date: Fri, 12 Oct 2012 01:26:24 -0400
Subject: Bond purchase for FRIDAY, OCTOBER 12, 2012 - [MARM 2005-6 4A2,
 cusip 576433A63, orig. face $3,187,000]...
Thread-Topic: Bond purchase for FRIDAY, OCTOBER 12, 2012 - [MARM 2005-6 4
 cusip 576433A63, orig. face $3,187,000]...
Thread-Index: AQHNqDoe2osKV+tRzkuBeH9Ep5XR/Q==
Message-ID: <E3FE7449DA379947ACF8DED902652BD0013C5073D49C@EXMBX
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
acceptlanguage: en-US
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
MIME-Version: 1.0
X-pstn-levels: (S:29.49230/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [db-null]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 12 Oct 2012 05:26:19.3593
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.148
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: SDCORPEDGE
X-MS-Exchange-Organization-OriginalSize: 2899

X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXkv@];945500;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=SDCORPEDGE0
10-12T05:26:19.687Z
X-MS-Exchange-Organization-SCL: 0
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X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-AVStamp-Mailbox: MSFTFF;1;0;0 0 0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB02

From: Vieng Louangrath <Vieng.Louangrath@lpl.com>

Sent: 2012-10-12 18:37:17 +0000

To: Mark Bishop <mbishop@absig.com>; rchamberlin@cwbk.com; mbishop@absig.com; rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; cchang@absig.com; sbishop@absig.com

Subject: RE: Bond purchase for FRIDAY, OCTOBER 12, 2012 - [MARM 2005-6 4A2, cusip 576433A63, orig. face $3,187,000]...

Attachments: image001.png

Hi Mark/Ron!

Shares are in the acct today.

Have a wonderful weekend!

[cid:image001.png@01CDA86D.EE66F980]

Thanks,

Vieng Louangrath

LPL Financial

Settlement Specialist | Settlements

Direct (858) 909-7387

Toll-free (800) 877-7210 | ext.7387

Email:vieng.louangrath@lpl.com

-----Original Message-----
From: Mark Bishop [mailto:mbishop@absig.com]
Sent: Thursday, October 11, 2012 10:26 PM
To: rchamberlin@cwbk.com
Cc: Craig Chang; Steve Bishop; Vieng Louangrath
Subject: Bond purchase for FRIDAY, OCTOBER 12, 2012 - [MARM 2005-6 4A2, cusip 576433A63, orig. face $3,187,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on FRIDAY, OCTOBER 12, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, however the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "1360-4701", LPL account name "ABS Investment Group".

CUSIP: 576433A63

BOND NAME: MARM 2005-6 4A2

DTC: 0075

ACCOUNT: 1360-4701

CREDIT: ABS Investment Group

COUNTERPARTY: Mesirow Financial

ORIGINAL FACE: $3,187,000

CURRENT FACE: $1,433,834.81

PRICE: 25.625% [25-20]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

_____

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Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
cchang@absig.com, sbishop@absig.com, Mark Bishop <mbishop@absig.com>,
"rchamberlin@cwbk.com" <rchamberlin@cwbk.com>, mbishop@absig.com, rch
Return-path: vieng.louangrath@lpl.com
X-MEDIA-ID: A3JAHEDLL20MHe2DRAN2SPCLB7GG4179CCL78V0608KPLVP625G
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0127927411@LPLCMMLP01.:
Received: from SDCORPEXMBX05.corp.lpl.com ([fe80::bdd2:86ef:7d05:2634])
SDCORPEXHUB03.corp.lpl.com ([10.2.32.155]) with mapi id 14.02.0318.001; F
12 Oct 2012 11:37:17 -0700
From: Vieng Louangrath <Vieng.Louangrath@lpl.com>
To: Mark Bishop <mbishop@absig.com>, "rchamberlin@cwbk.com"
<rchamberlin@cwbk.com>
TO: mbishop@absig.com
TO: rchamberlin@cwbk.com
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>
CC: cchang@absig.com
CC: sbishop@absig.com
Subject: RE: Bond purchase for FRIDAY, OCTOBER 12, 2012 - [MARM 2005-6 4A
cusip 576433A63, orig. face $3,187,000]...
Thread-Topic: Bond purchase for FRIDAY, OCTOBER 12, 2012 - [MARM 2005-6 4
cusip 576433A63, orig. face $3,187,000]...
Thread-Index: AQHNqDoe2osKV+tRzkuBeH9Ep5XR/Ze2AEsw
Date: Fri, 12 Oct 2012 18:37:17 +0000
Message-ID: <ABDEDA1D69CF1346BE888ACFF4D48E3A05823C@SDCORPEXMB
References:
<E3FE7449DA379947ACF8DED902652BD0013C5073D49C@EXMBX02.mmeprod
In-Reply-To:
<E3FE7449DA379947ACF8DED902652BD0013C5073D49C@EXMBX02.mmeprod
Accept-Language: en-US
Content-Language: en-US
X-MS-Exchange-Organization-AuthAs: Internal
X-MS-Exchange-Organization-AuthMechanism: 04
X-MS-Exchange-Organization-AuthSource: SDCORPEXHUB03.corp.lpl.com
X-MS-Has-Attach: yes

X-MS-Exchange-Organization-SCL: -1
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXkv@];945500;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-TNEF-Correlator:
x-ms-exchange-organization-originalsize: 101735
x-ms-exchange-organization-originalarrivaltime: 12 Oct 2012 18:37:17.4430
(UTC)
x-ms-exchange-organization-messagesource: StoreDriver
x-ms-exchange-organization-messagedirectionality: Originating
x-ms-exchange-forest-messagescope: 00000000-0000-0000-0000-000000000
x-ms-exchange-organization-messagescope: 00000000-0000-0000-0000-00000
X-MS-Exchange-Organization-BCC:
x-ms-exchange-organization-originalclientipaddress: 10.2.32.14
x-originating-ip: [10.2.32.14]
x-ms-exchange-organization-originalserveripaddress: 10.2.32.159
x-ms-exchange-organization-messagelatency: SRV=SDCORPEXMBX05.corp.lpl.c
x-ms-exchange-organization-hygienepolicy: Standard
x-ms-exchange-organization-recipient-limit-verified: True
x-tm-as-product-ver: SMEX-10.2.0.1135-7.000.1014-19266.001
x-tm-as-result: No--40.725000-8.000000-31
x-tm-as-user-approved-sender: No
x-tm-as-user-blocked-sender: No
x-ms-exchange-organization-disclaimer-hash:
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x-ms-exchange-forest-rulesexecuted: SDCORPEXHUB03
x-ms-exchange-organization-rules-execution-history: Lock Down Sending
Externally (New)%%%Exception @Mphasis.com Addresses%%%LPL Data Feed
Rule%%%Email Disclaimer%%%NestWise Outbound Disclaimer%%%Fortigent
Disclaimer%%%Infof.Fortigent Outbound Disclaimer%%%Service360 Team
17%%%Service360 Team 40%%%Service360 Team 41%%%Diana Gonzalez S
Team 41 Mailbox%%%Robert Scheeler Service360 Team 41 Mailbox%%%Jean
Service360 Team 41 Mailbox%%%Rubie Garcia Service360 Team 41
Mailbox%%%Service360 Team 20 Mailbox%%%NYCB Service360 Team
Content-Type: multipart/related;
boundary="_002_ABDEDA1D69CF1346BE888ACFF4D48E3A05823CSDC
type="text/plain"
MIME-Version: 1.0

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-11-05 19:52:09 +0000

To: rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; vieng.louangrath@lpl.com

Subject: Bond purchase for TUESDAY, NOVEMBER 6, 2012 - [CFAB 2003-5 1B, cusip 161546GP5, orig. face $3,000,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on TUESDAY, NOVEMBER 6, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, and the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "1360-4701", LPL account name "ABS Investment Group".

CUSIP: 161546GP5
BOND NAME: CFAB 2003-5 1B
DTC: 0075
ACCOUNT: 1360-4701
CREDIT: ABS Investment Group
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $3,000,000
CURRENT FACE: $1,460,625.42
PRICE: 48.000% [48-00]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
"vieng.louangrath@lpl.com" <vieng.louangrath@lpl.com>, "rchamberlin
<rchamberlin@cwbk.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 1NK37H5R9MRLPe50VQCIKJS1VNPG417BAATLCI0V8JV8B0KJNQCI

X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0136788442@LPLCMMLP04.:
Received: from chcorpedge04.corp.lpl.com (172.22.123.41) by
 chcorpexhub01.corp.lpl.com (10.22.121.51) with Microsoft SMTP Server (TLS) i
 8.3.245.1; Mon, 5 Nov 2012 14:57:00 -0500
Received: from psmtp.com (64.18.3.170) by chcorpedge04.corp.lpl.com
 (172.22.123.41) with Microsoft SMTP Server (TLS) id 14.2.318.1; Mon, 5 Nov
 2012 14:56:50 -0500
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
ip=50.20.30.10;
Received: from omx.cbeyond.com ([50.20.30.10]) (using TLSv1) by
 exprod8mx191.postini.com ([64.18.7.10]) with SMTP; Mon, 05 Nov 201
 WET
X-SBRS: -0.5
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: omx02bay.sys.cbeyond.net
X-IronPort-Anti-Spam-Filtered: true
X-IronPort-Anti-Spam-Result:
AtECAPgYmFBCtGAbX2dsb2JhbABBA4VQuWCEHBgLAgkHFCeCJTo/EgE1CQU9ERY
X-IronPort-AV: E=Sophos;i="4.80,716,1344225600";
   d="scan'208";a="13365553"
Received: from mx1.cbeyond.com (HELO hub403dal.mmeprod.cbeyond)
 ([66.180.96.27]) by omx.cbeyond.com with ESMTP; 05 Nov 2012 14:56:57 -0
Received: from EXMBX02.mmeprod.cbeyond ([192.168.13.40]) by
 hub403dal.mmeprod.cbeyond ([192.168.13.101]) with mapi; Mon, 5 Nov 2012
 14:56:57 -0500
From: Mark Bishop <mbishop@absig.com>
To: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>,
        "vieng.louangrath@lpl.com" <vieng.louangrath@lpl.com>
Date: Mon, 5 Nov 2012 14:52:09 -0500
Subject: Bond purchase for TUESDAY, NOVEMBER 6, 2012 - [CFAB 2003-5 1B,
 cusip 161546GP5, orig. face $3,000,000]...
Thread-Topic: Bond purchase for TUESDAY, NOVEMBER 6, 2012 - [CFAB 2003-5
 cusip 161546GP5, orig. face $3,000,000]...
Thread-Index: AQHNu4+1P+e1GkLLekiHBuQvb3bPCw==
Message-ID: <E3FE7449DA379947ACF8DED902652BD0013C5073D54D@EXMB
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
acceptlanguage: en-US
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
MIME-Version: 1.0
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:17.70829/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [db-null]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 05 Nov 2012 19:56:50.0048
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.170
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: chcorpedge04

X-MS-Exchange-Organization-OriginalSize: 2922
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;950700;0;This mail
 been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=chcorpedge04.
05T19:56:50.364Z
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: chcorpedge04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-AVStamp-Mailbox: MSFTFF;1;0;0 0 0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: chcorpexhub01

From: Vieng Louangrath <Vieng.Louangrath@lpl.com>

Sent: 2012-11-05 20:02:40 +0000

To: Mark Bishop <mbishop@absig.com>; rchamberlin@cwbk.com; SETTLEMENTS MAILBOX <SETTLEMENTS.MAILBOX@lpl.com>; settlements.mailbox@lpl.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; Tamara Badillo <Tamara.Badillo@lpl.com>; Matthew Brunelle <Matthew.Brunelle@lpl.com>; tamara.badillo@lpl.com; matthew.brunelle@lpl.com

Subject: RE: Bond purchase for TUESDAY, NOVEMBER 6, 2012 - [CFAB 2003-5 1B, cusip 161546GP5, orig. face $3,000,000]...

Hi,

I am no longer on the DTC desk. Please start sending these emails to the Settlement's mailbox at settlements.mailbox.@lpl.com

Thank you,

Vieng Louangrath
LPL Financial
Settlement Specialist | Settlements

Direct (858) 909-7387
Toll-free (800) 877-7210 | ext.7387
Email:vieng.louangrath@lpl.com
-----Original Message-----
From: Mark Bishop [mailto:mbishop@absig.com]
Sent: Monday, November 05, 2012 11:52 AM
To: rchamberlin@cwbk.com
Cc: Craig Chang; Steve Bishop; Vieng Louangrath
Subject: Bond purchase for TUESDAY, NOVEMBER 6, 2012 - [CFAB 2003-5 1B, cusip 161546GP5, orig. face $3,000,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on TUESDAY, NOVEMBER 6, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, and the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "1360-4701", LPL account name "ABS Investment Group".

CUSIP: 161546GP5
BOND NAME: CFAB 2003-5 1B

DTC: 0075
ACCOUNT: 1360-4701
CREDIT: ABS Investment Group
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $3,000,000
CURRENT FACE: $1,460,625.42
PRICE: 48.000% [48-00]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop
<sbishop@absig.com>, "Tamara Badillo" <Tamara.Badillo@lpl.com>, Matthew B
<Matthew.Brunelle@lpl.com>, tamara.badillo@lpl.com,
matthew.brunelle@lpl.com, Mark Bishop <mbishop@absig.com>,
"rchamberlin@cwbk.com" <rchamberlin@cwbk.com>, SETTLEMENTS MAILBOX
<SETTLEMENTS.MAILBOX@lpl.com>, settlements.mailbox@lpl.com
Return-path: vieng.louangrath@lpl.com
X-MEDIA-ID: 9CQA9S7VP97UGe0FDD22B4MRB4EG417B91JL050C1J8RMOC91S9
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION:
<P0129518516@LPLCMMLP02.:Corporate>
Received: from SDCORPEXMBX05.corp.lpl.com ([fe80::bdd2:86ef:7d05:2634]) b
SDCORPEXHUB04.corp.lpl.com ([10.2.32.156]) with mapi id 14.02.0318.001; M
5 Nov 2012 12:02:40 -0800
From: Vieng Louangrath <Vieng.Louangrath@lpl.com>
To: Mark Bishop <mbishop@absig.com>, "rchamberlin@cwbk.com"
<rchamberlin@cwbk.com>, SETTLEMENTS MAILBOX
<SETTLEMENTS.MAILBOX@lpl.com>
TO: settlements.mailbox@lpl.com
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>, "T
Badillo" <Tamara.Badillo@lpl.com>, Matthew Brunelle
<Matthew.Brunelle@lpl.com>
CC: tamara.badillo@lpl.com
CC: matthew.brunelle@lpl.com
Subject: RE: Bond purchase for TUESDAY, NOVEMBER 6, 2012 - [CFAB 2003-5 1
cusip 161546GP5, orig. face $3,000,000]...
Thread-Topic: Bond purchase for TUESDAY, NOVEMBER 6, 2012 - [CFAB 2003-5
cusip 161546GP5, orig. face $3,000,000]...
Thread-Index: AQHNu4+1P+e1GkLLekiHBuQvb3bPC5fbqQaw
Date: Mon, 5 Nov 2012 20:02:40 +0000
Message-ID:
<ABDEDA1D69CF1346BE888ACFF4D48E3A05BD6D@SDCORPEXMBX05.corp.lpl.
References:
<E3FE7449DA379947ACF8DED902652BD0013C5073D54D@EXMBX02.mmeprod

---

In-Reply-To:
<E3FE7449DA379947ACF8DED902652BD0013C5073D54D@EXMBX02.mmeprod
Accept-Language: en-US
Content-Language: en-US
X-MS-Exchange-Organization-AuthAs: Internal
X-MS-Exchange-Organization-AuthMechanism: 04
X-MS-Exchange-Organization-AuthSource: SDCORPEXHUB04.corp.lpl.com
X-MS-Has-Attach:
X-MS-Exchange-Organization-SCL: -1
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;950700;0;This mail
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-TNEF-Correlator:
x-ms-exchange-organization-originalsize: 13527
x-ms-exchange-organization-originalarrivaltime: 05 Nov 2012 20:02:40.0171
(UTC)
x-ms-exchange-organization-messagesource: StoreDriver
x-ms-exchange-organization-messagedirectionality: Originating
x-ms-exchange-forest-messagescope: 00000000-0000-0000-0000-0000000000
x-ms-exchange-organization-messagescope: 00000000-0000-0000-0000-00000
X-MS-Exchange-Organization-BCC:
x-ms-exchange-organization-originalclientipaddress: 10.2.32.10
x-originating-ip: [10.2.32.10]
x-ms-exchange-organization-originalserveripaddress: 10.2.32.159
x-ms-exchange-organization-messagelatency:
SRV=SDCORPEXMBX05.corp.lpl.com:TOTAL=0
x-ms-exchange-organization-hygienepolicy: Standard
x-ms-exchange-organization-recipient-limit-verified: True
x-ms-exchange-forest-rulesexecuted: SDCORPEXHUB04
x-ms-exchange-organization-rules-execution-history: Allow Employee
Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email
Disclaimer%%%NestWise
Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%Service360 Team
40%%%Service360
Team 41%%%Diana Gonzalez Service360 Team 41 Mailbox%%%Robert Schee
Service360 Team 41 Mailbox%%%Jean Biggs Service360 Team 41 Mailbox%%
Garcia Service360 Team 41 Mailbox%%%Service360 Team 20 Mailbox%%%NY
Service360 Team%%%Fortigent Size Limit Notification Test
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
MIME-Version: 1.0

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-11-08 09:41:32 +0000

To: Mark Bishop <mbishop@absig.com>; rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; settlements.mailbox@lpl.com

Subject: Bond purchase for THURSDAY, NOVEMBER 8, 2012 - [LMT 2008-6 B1, cusip 52525FAH6, orig. face $6,614,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on THURSDAY, NOVEMBER 8, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, however the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "7395-4378", LPL account name "American RMBS Equity Fund IV, LP".

CUSIP: 52525FAH6
BOND NAME: LMT 2008-6 B1
DTC: 0075
ACCOUNT: 7395-4378
CREDIT: American RMBS Equity Fund IV, LP
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $6,614,000.00
CURRENT FACE: $6,410,480.03
PRICE: 33.000% [33-00]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
"settlements.mailbox@lpl.com" <settlements.mailbox@lpl.com>, Mark
"rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 4JUVRFCDM5BKBe8R020AKUUN762G417BFLFORT0KC6BU7A95487

X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0137303673@LPLCMMLP04.:
Received: from chcorpedge03.corp.lpl.com (172.22.123.40) by
 chcorpexhub04.corp.lpl.com (10.22.121.48) with Microsoft SMTP Server (TLS) i
 14.2.318.1; Thu, 8 Nov 2012 04:45:39 -0500
Received: from psmtp.com (64.18.3.109) by chcorpedge03.corp.lpl.com
 (172.22.123.40) with Microsoft SMTP Server (TLS) id 14.2.318.1; Thu, 8 Nov
 2012 04:45:09 -0500
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
ip=50.20.30.10;
Received: from omx.cbeyond.com ([50.20.30.10]) (using TLSv1) by
 exprod8mx209.postini.com ([64.18.7.10]) with SMTP; Thu, 08 Nov 201
 MST
X-SBRS: -0.5
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: omx08bay.sys.cbeyond.net
X-IronPort-Anti-Spam-Filtered: true
X-IronPort-Anti-Spam-Result:
AsgFAOd9m1BCtGAbX2dsb2JhbABBA4VRuiKEDxgLAgkHFCeCJTo/EgEWHwkFPRE
X-IronPort-AV: E=Sophos;i="4.80,736,1344225600";
   d="scan'208";a="15941732"
Received: from mx1.cbeyond.com (HELO hub401dal.mmeprod.cbeyond)
 ([66.180.96.27]) by omx.cbeyond.com with ESMTP; 08 Nov 2012 04:45:24 -0
Received: from EXMBX02.mmeprod.cbeyond ([192.168.13.40]) by
 hub401dal.mmeprod.cbeyond ([192.168.13.99]) with mapi; Thu, 8 Nov 2012
 04:45:23 -0500
From: Mark Bishop <mbishop@absig.com>
To: Mark Bishop <mbishop@absig.com>, "rchamberlin@cwbk.com"
        <rchamberlin@cwbk.com>
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>,
        "settlements.mailbox@lpl.com" <settlements.mailbox@lpl.com>
Date: Thu, 8 Nov 2012 04:41:32 -0500
Subject: Bond purchase for THURSDAY, NOVEMBER 8, 2012 - [LMT 2008-6 B1,
 cusip 52525FAH6, orig. face $6,614,000]...
Thread-Topic: Bond purchase for THURSDAY, NOVEMBER 8, 2012 - [LMT 2008-6
 cusip 52525FAH6, orig. face $6,614,000]...
Thread-Index: AQHNvZXFTzatDiAPAkWiEIR1Z31AcA==
Message-ID: <E3FE7449DA379947ACF8DED902652BD0013C5073D567@EXMBX
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
acceptlanguage: en-US
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
MIME-Version: 1.0
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:56.12060/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [80/3]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 08 Nov 2012 09:45:09.5336
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.109
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming

X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: chcorpedge03
X-MS-Exchange-Organization-OriginalSize: 2993
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=chcorpedge03.
08T09:45:09.893Z
X-MS-Exchange-Forest-ArrivalHubServer: CHCORPEXHUB04.corp.lpl.com
X-MS-Exchange-Organization-AuthSource: chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;951300;0;This mail
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Forest-RulesExecuted: chcorpexhub04
X-MS-Exchange-Organization-Rules-Execution-History: Allow Employee
Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email Disclaimer%%
Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%Service360 Team 40%%
Team 41%%%Diana Gonzalez Service360 Team 41 Mailbox%%%Robert Schee
Service360 Team 41 Mailbox%%%Jean Biggs Service360 Team 41 Mailbox%%
Garcia Service360 Team 41 Mailbox%%%Service360 Team 20 Mailbox%%%NY
Service360 Team%%%Fortigent Size Limit Notification Test

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-12-03 01:04:10 +0000

To: rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; settlements.mailbox@lpl.com

Subject: Bond purchase for TUESDAY, DECEMBER 4, 2012 - [PCHLT 2005-4 1A2, cusip 71085PDD2, orig. face $800,000]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on TUESDAY, DECEMBER 4, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, however the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "7395-4378", LPL account name "American RMBS Equity Fund IV, LP".

CUSIP: 71085PDD2
BOND NAME: PCHLT 2005-4 1A2
DTC: 0075
ACCOUNT: 7395-4378
CREDIT: American RMBS Equity Fund IV, LP
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $800,000.00
CURRENT FACE: $182,008.37
PRICE: 60.000% [60-00]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
"settlements.mailbox@lpl.com" <settlements.mailbox@lpl.com>, "rcha
Return-path: mbishop@absig.com
X-MEDIA-ID: 9P1VSNNKN1LQNeA3V2HO307L3KAG417DF3I0J90OEU3KSLA4OA8
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0135544544@LPLCMMLP03.:

Received: from SDCORPEDGE03.corp.lpl.com (172.17.123.40) by
 SDCORPEXHUB03.corp.lpl.com (10.2.32.155) with Microsoft SMTP Server (TLS)
 14.2.318.4; Sun, 2 Dec 2012 17:04:14 -0800
Received: from psmtp.com (64.18.3.42) by SDCORPEDGE03.corp.lpl.com
 (172.17.123.40) with Microsoft SMTP Server (TLS) id 14.2.318.4; Sun, 2 Dec
 2012 17:04:11 -0800
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
Received: from omx.cbeyond.com ([50.20.30.10]) (using TLSv1) by
 exprod8mx251.postini.com ([64.18.7.10]) with SMTP; Sun, 02 Dec 201
 EST
X-SBRS: 4.5
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: omx02bay.sys.cbeyond.net
X-IronPort-Anti-Spam-Filtered: true
X-IronPort-Anti-Spam-Result:
Au0FAGb5u1AyFB4LkWdsb2JhbABBA4Jsgnm2H4QbDgEBAQEUEhQgB4IgBTo/EgE
X-IronPort-AV: E=Sophos;i="4.84,202,1355115600";
   d="scan'208";a="17163475"
Received: from mts.cbeyond.com (HELO EXHUB102.mmeprod.cbeyond) ([50.20
  by omx.cbeyond.com with ESMTP; 02 Dec 2012 20:04:11 -0500
Received: from EXMBX201B.mmeprod.cbeyond ([fe80::4d5d:1aa7:298b:e94d])
 EXHUB102.mmeprod.cbeyond ([::1]) with mapi id 14.02.0298.004; Sun, 2 Dec
 20:04:11 -0500
From: Mark Bishop <mbishop@absig.com>
To: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>,
        "settlements.mailbox@lpl.com" <settlements.mailbox@lpl.com>
Subject: Bond purchase for TUESDAY, DECEMBER 4, 2012 - [PCHLT 2005-4 1A2
 cusip 71085PDD2, orig. face $800,000]...
Thread-Topic: Bond purchase for TUESDAY, DECEMBER 4, 2012 - [PCHLT 2005-
 1A2, cusip 71085PDD2, orig. face $800,000]...
Thread-Index: AQHN0PIa0rpNxxmrmkW6PgOb0+bweA==
Date: Mon, 3 Dec 2012 01:04:10 +0000
Message-ID: <4328DBAA31FEBB418ACAC193CFD80648014C7D@EXMBX201B.m
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
x-originating-ip: [68.5.62.70]
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
MIME-Version: 1.0
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:25.72104/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [195/7]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 03 Dec 2012 01:04:11.9521
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.42
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: SDCORPEDGE
X-MS-Exchange-Organization-OriginalSize: 2987
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000

X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;956500;0;This mail
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=SDCORPEDGE0
03T01:04:12.217Z
X-MS-Exchange-Forest-ArrivalHubServer: SDCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: SDCORPEDGE03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=SDCORPEDGE03.corp.lpl.c
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-7.000.1014-19410.005
X-TM-AS-Result: No--6.296500-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Allow Employee
Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email Disclaimer%%
Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%Test Fortigent Large Mess
Failure Notification%%%Service360 Team 40%%%Service360 Team 41%%%D
Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler Service360 Team
Mailbox%%%Jean Biggs Service360 Team 41 Mailbox%%%Rubie Garcia Servic
Team 41 Mailbox%%%Service360 Team 20 Mailbox%%%NYCB Service360
Team%%%Fortigent Size Limit Notification Te

From: Mark Bishop <mbishop@absig.com>

Sent: 2012-12-09 12:04:34 +0000

To: rchamberlin@cwbk.com

CC: Craig Chang <cchang@absig.com>; Steve Bishop <sbishop@absig.com>; settlements.mailbox@lpl.com

Subject: Bond purchase for MONDAY, DECEMBER 10, 2012 - [CWALT 2005-28CB 1A11, cusip 12667GE82, orig. face $4,395,400]...

Ron -

Please advise your back office that we are purchasing the above referenced bond on MONDAY, DECEMBER 10, 2012. As usual, the purchase price proceeds are coming from ABS Investment Group, however the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "1360-4701", LPL account name "ABS Investment Group, LLC".

CUSIP: 12667GE82
BOND NAME: CWALT 2005-28CB 1A11
DTC: 0075
ACCOUNT: 1360-4701
CREDIT: ABS Investment Group, LLC
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $4,395,400.00
CURRENT FACE: $3,955,984.22
PRICE: 20.000% [20-00]

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@
<settlements.mailbox@lpl.com>, "rchamberlin@cwbk.com" <rchamberlin@cwbk
Return-path: mbishop@absig.com
X-MEDIA-ID: 41JOPLGO171LEeEQC032FCE6FQNG417DVO6P9L0SF6O4NAD4ETQ
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0134722570@LPLCMMLP02.:

Received: from SDCORPEDGE03.corp.lpl.com (172.17.123.40) by
 SDCORPEXHUB03.corp.lpl.com (10.2.32.155) with Microsoft SMTP Server (TLS)
 14.2.318.4; Sun, 9 Dec 2012 04:06:18 -0800
Received: from psmtp.com (64.18.3.146) by SDCORPEDGE03.corp.lpl.com
 (172.17.123.40) with Microsoft SMTP Server (TLS) id 14.2.318.4; Sun, 9 Dec
 2012 04:06:06 -0800
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
Received: from omx.cbeyond.com ([50.20.30.10]) (using TLSv1) by
 exprod8mx246.postini.com ([64.18.7.10]) with SMTP; Sun, 09 Dec 201
 CST
X-SBRS: 4.5
X-HAT: Sender Group CBEYOND_SYSTEMS, Policy $CBEYOND_RELAY applied.
X-Hostname: omx08bay.sys.cbeyond.net
X-IronPort-Anti-Spam-Filtered: true
X-IronPort-Anti-Spam-Result:
AqcCAOR9xFAyFB4LkWdsb2JhbABBA4JsgwS0c4QSDgEBAQEUEhQngiAFOj8SASo
X-IronPort-AV: E=Sophos;i="4.84,246,1355115600";
   d="scan'208";a="20400466"
Received: from mts.cbeyond.com (HELO EXHUB101.mmeprod.cbeyond) ([50.20
  by omx.cbeyond.com with ESMTP; 09 Dec 2012 07:06:15 -0500
Received: from EXMBX201B.mmeprod.cbeyond ([fe80::4d5d:1aa7:298b:e94d])
 EXHUB101.mmeprod.cbeyond ([::1]) with mapi id 14.02.0298.004; Sun, 9 Dec
 07:04:35 -0500
From: Mark Bishop <mbishop@absig.com>
To: "rchamberlin@cwbk.com" <rchamberlin@cwbk.com>
CC: Craig Chang <cchang@absig.com>, Steve Bishop <sbishop@absig.com>,
        "settlements.mailbox@lpl.com" <settlements.mailbox@lpl.com>
Subject: Bond purchase for MONDAY, DECEMBER 10, 2012 - [CWALT 2005-28CB
 1A11, cusip 12667GE82, orig. face $4,395,400]...
Thread-Topic: Bond purchase for MONDAY, DECEMBER 10, 2012 - [CWALT 2005
 1A11, cusip 12667GE82, orig. face $4,395,400]...
Thread-Index: AQHN1gVa16iEekaK1k6Gxa2/XhMghQ==
Date: Sun, 9 Dec 2012 12:04:34 +0000
Message-ID: <4328DBAA31FEBB418ACAC193CFD80648017148@EXMBX201B.m
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
x-originating-ip: [213.64.81.108]
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
MIME-Version: 1.0
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:61.20310/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [195/7]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 09 Dec 2012 12:06:06.1083
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.146
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: SDCORPEDGE
X-MS-Exchange-Organization-OriginalSize: 2996
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000

X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;958300;0;This mail
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=SDCORPEDGE0
09T12:06:06.311Z
X-MS-Exchange-Forest-ArrivalHubServer: SDCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: SDCORPEDGE03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=SDCORPEDGE03.corp.lpl.c
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-7.000.1014-19434.005
X-TM-AS-Result: No--7.332200-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Allow Employee
Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email Disclaimer%%
Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%Test Fortigent Large Mess
Failure Notification%%%Service360 Team 40%%%Service360 Team 41%%%D
Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler Service360 Team
Mailbox%%%Jean Biggs Service360 Team 41 Mailbox%%%Rubie Garcia Servic
Team 41 Mailbox%%%Service360 Team 20 Mailbox%%%NYCB Service360
Team%%%Fortigent Size Li

From:	Mark Bishop <mbishop@absig.com>
Sent:	2013-01-23 07:34:15 +0000
To:	rchamberlin@cwbk.com; fmanous@mesirowfinancial.com; settlements.mailbox@lpl.com
CC:	Steve Bishop <sbishop@absig.com>; Craig Chang <cchang@absig.com>
Subject:	CWL 2005-16 MV1, cusip 126670PH5, for settlement Friday, January 25th...
Attachments:	sg2013012256998.gif; Delivery Instructions MFI_111512.pdf; CWL, 1-25-2013.pdf

Fonda, Ron and Steve -

Please find attached the "trade ticket" and "letter of authorization" for the subject bond trade.

We are selling the CWL 2005-16 MV1 bond to Mesirow Financial (from American RMBS Equity Fund IV, LPL acct. no. 7395-4378) for settlement on Friday, January 25, 2013.

Also attached are Mesirow Financial's delivery instructions (DTC #0727).

Please contact me if you have any questions.

Regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Steve Bishop <sbishop@absig.com>, Craig Chang <cchang@absig.com>, <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>, <settlements.mailbox@lpl.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 2FS75E33DAL4PeBT2102474CSEOG417HJ4CNFD001C49IQG1TDCBR.zip
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0141201592@LPLCMMLP02.:Corporate>
Received: from SDCORPEDGE04.corp.lpl.com (172.17.123.41) by SDCORPEXHUB01.corp.lpl.com (10.2.32.23) with Microsoft SMTP Server (TLS) id 8.3.245.1; Tue, 22 Jan 2013 23:39:22 -0800

Received: from psmtp.com (64.18.3.160) by
SDCORPEDGE04.corp.lpl.com
 (172.17.123.41) with Microsoft SMTP Server (TLS) id 14.2.318.4; Tue,
22 Jan
 2013 23:39:06 -0800
Received-SPF: none (google.com: mbishop@absig.com does not
designate permitted sender hosts) client-ip=74.7.210.86;
Received: from mail.absig.com ([74.7.210.86]) (using TLSv1) by
 exprod8mx293.postini.com ([64.18.7.10]) with SMTP; Wed, 23
Jan 2013 02:39:17
 EST
Received: from mail.absig.com (127.0.0.1) by mail.absig.com (Axigen)
with
 ESMTPSA id 32B56A; Tue, 22 Jan 2013 23:34:15 -0800
Received: from [213.64.81.108] by absig.com with HTTP; Tue, 22 Jan
2013
 23:34:15 -0800
From: Mark Bishop <mbishop@absig.com>
Date: Tue, 22 Jan 2013 23:34:15 -0800
X-Mailer: Axigen WebMail
To: <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>,
        <settlements.mailbox@lpl.com>
CC: Steve Bishop <sbishop@absig.com>, Craig Chang
<cchang@absig.com>
Message-ID: <135892645555959150 0@absig.com>
Subject: CWL 2005-16 MV1, cusip 126670PH5, for settlement Friday,
January
 25th...
Importance: Normal
MIME-Version: 1.0
Content-Type: multipart/mixed;
        boundary="_d8040882-9014-499e-b22b-c874f1cd2a4c_"
X-AxigenVirus-Level: 1
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390
LC:95.5390 R:95.9108 P:95.9108 M:97.0282 C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [195/7]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 23 Jan 2013
07:39:06.2265
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.160
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed:
SDCORPEDGE04.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 162007
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-
000000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-
0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox:
SMEXr^dE;967500;0;This mail has
 been scanned by Trend Micro ScanMail for Microsoft Exchange;

X-MS-Exchange-Organization-MessageLatencyInProgress:
LSRV=SDCORPEDGE04.corp.lpl.com:TOTAL=0;2013-01-
23T07:39:06.523Z
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource:
SDCORPEDGE04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-AVStamp-Mailbox: MSFTFF;1;0;0 0 0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB01

From:	Mark Bishop <mbishop@absig.com>
Sent:	2013-01-23 07:48:34 +0000
To:	rchamberlin@cwbk.com; fmanous@mesirowfinancial.com; settlements.mailbox@lpl.com
CC:	Steve Bishop <sbishop@absig.com>; Craig Chang <cchang@absig.com>
Subject:	CBASS 2007-CB1 AF6, cusip 1248MGAP9, for settlement Tuesday, January 29th...
Attachments:	sg2013012253004.gif; Delivery Instructions MFI_111512.pdf; CBASS AF6, 1-29-2013.pdf

Fonda, Ron and Steve -

Please find attached the "trade ticket" and "letter of authorization" for the subject bond trade.

We are selling the CBASS 2007-CB1 AF6 bond to Mesirow Financial (from American RMBS Equity Fund IV, LPL acct. no. 7395-4378) for settlement on Tuesday, January 29, 2013.

Also attached are Mesirow Financial's delivery instructions (DTC #0727).

Please contact me if you have any questions.

Regards,

Mark

==========

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

Message Headers:

X-ZANTAZ-RECIP: Steve Bishop <sbishop@absig.com>, Craig Chang <cchang@absig.com>, <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>,
<settlements.mailbox@lpl.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 382OVVUU7CML0e7GJ65IA8VJP74G417HKTCVET06AT1VUTJ5QMPN0.zip
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0142605657@LPLCMMLP01.:Corporate>
Received: from SDCORPEDGE03.corp.lpl.com (172.17.123.40) by SDCORPEXHUB01.corp.lpl.com (10.2.32.23) with Microsoft SMTP Server (TLS) id 8.3.245.1; Tue, 22 Jan 2013 23:53:34 -0800

Received: from psmtp.com (64.18.3.135) by
SDCORPEDGE03.corp.lpl.com
(172.17.123.40) with Microsoft SMTP Server (TLS) id 14.2.318.4; Tue,
22 Jan
2013 23:53:18 -0800
Received-SPF: none (google.com: mbishop@absig.com does not
designate permitted sender hosts) client-ip=74.7.210.86;
Received: from mail.absig.com ([74.7.210.86]) (using TLSv1) by
exprod8mx235.postini.com ([64.18.7.10]) with SMTP; Tue, 22
Jan 2013 23:53:32
PST
Received: from mail.absig.com (127.0.0.1) by mail.absig.com (Axigen)
with
ESMTPSA id 23C351; Tue, 22 Jan 2013 23:48:34 -0800
Received: from [213.64.81.108] by absig.com with HTTP; Tue, 22 Jan
2013
23:48:34 -0800
From: Mark Bishop <mbishop@absig.com>
Date: Tue, 22 Jan 2013 23:48:34 -0800
X-Mailer: Axigen WebMail
To: <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>,
<settlements.mailbox@lpl.com>
CC: Steve Bishop <sbishop@absig.com>, Craig Chang
<cchang@absig.com>
Message-ID: <1358927314693799500@absig.com>
Subject: CBASS 2007-CB1 AF6, cusip 1248MGAP9, for settlement
Tuesday, January
29th...
Importance: Normal
MIME-Version: 1.0
Content-Type: multipart/mixed;
boundary="_e6112aec-0daa-45af-8bb3-db0801601213_"
X-AxigenVirus-Level: 1
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390
LC:95.5390 R:95.9108 P:95.9108 M:97.0282 C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [195/7]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 23 Jan 2013
07:53:18.6176
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.135
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed:
SDCORPEDGE03.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 246917
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-
000000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-
0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox:
SMEXr^dE;967500;0;This mail has
been scanned by Trend Micro ScanMail for Microsoft Exchange;

X-MS-Exchange-Organization-MessageLatencyInProgress:
LSRV=SDCORPEDGE03.corp.lpl.com:TOTAL=0;2013-01-
23T07:53:18.961Z
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource:
SDCORPEDGE03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-AVStamp-Mailbox: MSFTFF;1;0;0 0 0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB01

From:	Mark Bishop <mbishop@absig.com>
Sent:	2013-01-23 07:54:53 +0000
To:	rchamberlin@cwbk.com; fmanous@mesirowfinancial.com; settlements.mailbox@lpl.com
CC:	Steve Bishop <sbishop@absig.com>; Craig Chang <cchang@absig.com>
Subject:	CBASS 2007-CB1 AF4, cusip 1248MGAM6, for settlement Tuesday, January 29th...
Attachments:	sg2013012253086.gif; CBASS AF4, 1-29-2013.pdf; Delivery Instructions MFI_111512.pdf

Fonda, Ron and Steve -

Please find attached the "trade ticket" and "letter of authorization" for the subject bond trade.

We are selling the CBASS 2007-CB1 AF4 bond to Mesirow Financial (from American RMBS Equity Fund IV, LPL acct. no. 7395-4378) for settlement on Tuesday, January 29, 2013.

Also attached are Mesirow Financial's delivery instructions (DTC #0727).

Please contact me if you have any questions.

Regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Steve Bishop <sbishop@absig.com>, Craig Chang <cchang@absig.com>, <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>,
<settlements.mailbox@lpl.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 8KKGUN84THA2UeCUV80AN8BP1A4G417HJEN8H3076IR3FLBP2U7AT.zip
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0148171780@LPLCMMLP04.:Corporate>
Received: from SDCORPEDGE04.corp.lpl.com (172.17.123.41) by SDCORPEXHUB04.corp.lpl.com (10.2.32.156) with Microsoft SMTP Server (TLS) id 14.2.318.4; Tue, 22 Jan 2013 23:59:55 -0800

Received: from psmtp.com (64.18.3.80) by
SDCORPEDGE04.corp.lpl.com
(172.17.123.41) with Microsoft SMTP Server (TLS) id 14.2.318.4; Tue,
22 Jan
2013 23:59:39 -0800
Received-SPF: none (google.com: mbishop@absig.com does not
designate permitted sender hosts) client-ip=74.7.210.86;
Received: from mail.absig.com ([74.7.210.86]) (using TLSv1) by
exprod8mx282.postini.com ([64.18.7.10]) with SMTP; Tue, 22
Jan 2013 23:59:52
PST
Received: from mail.absig.com (127.0.0.1) by mail.absig.com (Axigen)
with
ESMTPSA id 1815AB; Tue, 22 Jan 2013 23:54:53 -0800
Received: from [213.64.81.108] by absig.com with HTTP; Tue, 22 Jan
2013
23:54:53 -0800
From: Mark Bishop <mbishop@absig.com>
Date: Tue, 22 Jan 2013 23:54:53 -0800
X-Mailer: Axigen WebMail
To: <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>,
<settlements.mailbox@lpl.com>
CC: Steve Bishop <sbishop@absig.com>, Craig Chang
<cchang@absig.com>
Message-ID: <13589276932258155 00@absig.com>
Subject: CBASS 2007-CB1 AF4, cusip 1248MGAM6, for settlement
Tuesday, January
29th...
Importance: Normal
MIME-Version: 1.0
Content-Type: multipart/mixed;
boundary="_f3f5044e-1c89-4a6f-8114-925e0667118a_"
X-AxigenVirus-Level: 1
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390
LC:95.5390 R:95.9108 P:95.9108 M:97.0282 C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [195/7]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 23 Jan 2013
07:59:39.4608
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.80
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.17.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed:
SDCORPEDGE04.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 246961
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-
000000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-
0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox:
SMEXr^dE;967500;0;This mail has
been scanned by Trend Micro ScanMail for Microsoft Exchange;

X-MS-Exchange-Organization-MessageLatencyInProgress:
LSRV=SDCORPEDGE04.corp.lpl.com:TOTAL=0;2013-01-
23T07:59:39.804Z
X-MS-Exchange-Forest-ArrivalHubServer:
SDCORPEXHUB04.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: SDCORPEDGE04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency:
SRV=SDCORPEDGE04.corp.lpl.com:TOTAL=15|QD=15
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: SDCORPEXHUB04
X-MS-Exchange-Organization-Rules-Execution-History: Allow Employee
Engagement Emails%%%Lock Down Sending Externally
(New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email
Disclaimer%%%NestWise
Outbound Disclaimer%%%Fortigent Outbound
Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%Test Fortigent
Large Message
Failure Notification%%%Service360 Team 40%%%Service360 Team
41%%%Diana
Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler
Service360 Team 41
Mailbox%%%Jean Biggs Service360 Team 41 Mailbox%%%Rubie
Garcia Service360
Team 41 Mailbox%%%Service360 Team 20 Mailbox%%%NYCB
Service360
Team%%%Fortigent Size Limit Notification Test

From: Mark Bishop <mbishop@absig.com>

Sent: 2013-01-23 08:19:12 +0000

To: rchamberlin@cwbk.com; fmanous@mesirowfinancial.com; settlements.mailbox@lpl.com

CC: Steve Bishop <sbishop@absig.com>; Craig Chang <cchang@absig.com>

Subject: Summary of previous 6 emails that you received from me, regarding our bond sales...

Ron -

This email is sent to summarize the previous 6 emails that you received from me, regarding our bond sales:

In addition to the SAST 2003-1 M2 bond, which you will move to Mesirow today (Wednesday, January 23rd), there are 6 more bonds sold to Mesirow Financial which need to be moved to their DTC #0727, immediately.

NAA 2005-AR5 1A2, cusip 65535VQM3;
HMBT 2004-2 M2, cusip 43739EAM9;
CWL 2005-16 MV1, cusip 126670PH5;
CHEC 2004-1 M3, cusip 162765AF8;
CBASS 2007-CB1 AF6, cusip 1248MGAP9;
CBASS 2007-CB1 AF4, cusip 1248MGAM6.

If you, or your Settlements department have any questions, please contact me, or feel free to contact Fonda Manous at Mesirow Financial (954.356.0330, fmanous@mesirowfinancial.com).

As always, thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Steve Bishop <sbishop@absig.com>, Craig Chang <cchang@absig.com>, <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>, <settlements.mailbox@lpl.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 1CKIRDJKNPLQMe4LJJ05H4RCAN5G417HJ6UV9H086C297HGKJ5IPF.zip

---

X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION:
<P0143106628@LPLCMMLP03.:Corporate>
Received: from chcorpedge03.corp.lpl.com (172.22.123.40) by
 chcorpexhub01.corp.lpl.com (10.22.121.51) with Microsoft SMTP
Server (TLS) id
 8.3.245.1; Wed, 23 Jan 2013 03:24:29 -0500
Received: from psmtp.com (64.18.3.133) by
chcorpedge03.corp.lpl.com
 (172.22.123.40) with Microsoft SMTP Server (TLS) id 14.2.318.4;
Wed, 23 Jan
 2013 03:23:40 -0500
Received-SPF: none (google.com: mbishop@absig.com does not
designate permitted sender hosts) client-ip=74.7.210.86;
Received: from mail.absig.com ([74.7.210.86]) (using TLSv1) by
 exprod8mx233.postini.com ([64.18.7.10]) with SMTP; Wed,
23 Jan 2013 08:24:22
 GMT
Received: from mail.absig.com (127.0.0.1) by mail.absig.com (Axigen)
with
 ESMTPSA id 11AD95; Wed, 23 Jan 2013 00:19:12 -0800
Received: from [213.64.81.108] by absig.com with HTTP; Wed, 23 Jan
2013
 00:19:12 -0800
From: Mark Bishop <mbishop@absig.com>
Date: Wed, 23 Jan 2013 00:19:12 -0800
X-Mailer: Axigen WebMail
To: <rchamberlin@cwbk.com>, <fmanous@mesirowfinancial.com>,
	<settlements.mailbox@lpl.com>
CC: Steve Bishop <sbishop@absig.com>, Craig Chang
<cchang@absig.com>
Reply-To: Mark Bishop <mbishop@absig.com>
Message-ID: <13589291521377165 00@absig.com>
Subject: Summary of previous 6 emails that you received from me,
regarding our
 bond sales...
Importance: High
MIME-Version: 1.0
Content-Type: multipart/alternative;
	boundary="_a346aa34-5c73-4359-be2d-a688690daf1a_"
X-AxigenVirus-Level: 1
X-pstn-neptune: 1/1/1.00/100
X-pstn-levels: (S:84.78348/99.90000 CV:99.9000 FC:95.5390
LC:95.5390 R:95.9108 P:95.9108 M:97.0282 C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [195/7]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 23 Jan 2013
08:23:40.6272
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.133
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed:
chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 8510

X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=chcorpedge03.corp.lpl.com:TOTAL=0;2013-01-23T08:23:41.017Z
X-MS-Exchange-Organization-AuthSource: chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-AVStamp-Mailbox: MSFTFF;1;0;0 0 0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: chcorpexhub01

From: Mark Bishop <mbishop@absig.com>

Sent: 2013-02-14 11:59:44 +0000

To: rchamberlin@cwbk.com; settlements.mailbox@lpl.com

CC: Craig Chang <cchang@absig.com>

Subject: Bond purchase for THURSDAY, FEBRUARY 14, 2013 - [BOAMS 2004-L B1, cusip 05949AZH6, original face $12,863,000]...

Ron -

Please advise your back office that we are purchasing, and LPL will receive, the above referenced bond on THURSDAY, FEBRUARY 14, 2013. The purchase price proceeds are coming from ABS Investment Group, and the referenced bond will be delivered "FREE OF PAYMENT" method to our LPL account number "1360-4701", LPL account name "ABS INVESTMENT GROUP, LLC".

CUSIP: 05949AZH6
BOND NAME: BOAMS 2004-L B1
DTC: 0075
ACCOUNT: 1360-4701
CREDIT: ABS INVESTMENT GROUP, LLC
COUNTERPARTY: Mesirow Financial
ORIGINAL FACE: $12,863,000
CURRENT FACE: $11,455,503.27 (Jan 2013 factor)
PRICE: 23-00 (23.00%)

Contact me if you have any questions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: Craig Chang <cchang@absig.com>, <rchamberlin@cwbk.com>, <settlements.mailbox@lpl.com>
Return-path: mbishop@absig.com
X-MEDIA-ID: 5PFUOSOOELT1Je4GCRD445P8L7KG417JC8ISJF0JF19S5544HIQK8.zip
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0146119253@LPLCMMLP01.:Corporate>
Received: from chcorpedge03.corp.lpl.com (172.22.123.40) by chcorpexhub04.corp.lpl.com (10.22.121.48) with Microsoft SMTP Server (TLS) id 14.2.318.4; Thu, 14 Feb 2013 07:10:12 -0500
Received: from psmtp.com (64.18.3.76) by chcorpedge03.corp.lpl.com (172.22.123.40) with Microsoft SMTP Server (TLS) id 14.2.318.4; Thu, 14 Feb 2013 07:09:55 -0500
Received-SPF: none (google.com: mbishop@absig.com does not designate permitted sender hosts) client-ip=74.7.210.86;
Received: from mail.absig.com ([74.7.210.86]) (using TLSv1) by exprod8mx278.postini.com ([64.18.7.10]) with SMTP; Thu, 14 Feb 2013 04:10:11 PST
Received: from mail.absig.com (127.0.0.1) by mail.absig.com (Axigen) with ESMTPSA id 1BCC98; Thu, 14 Feb 2013 03:59:44 -0800
Received: from [213.67.195.166] by absig.com with HTTP; Thu, 14 Feb 2013 03:59:44 -0800
From: Mark Bishop <mbishop@absig.com>
Date: Thu, 14 Feb 2013 03:59:44 -0800
X-Mailer: Axigen WebMail
To: <rchamberlin@cwbk.com>, <settlements.mailbox@lpl.com>
CC: Craig Chang <cchang@absig.com>
Message-ID: <1360843184805173500@absig.com>
Subject: Bond purchase for THURSDAY, FEBRUARY 14, 2013 - [BOAMS 2004-L B1, cusip 05949AZH6, original face $12,863,000]...
Importance: Normal
MIME-Version: 1.0
Content-Type: multipart/alternative; boundary="_f77580ad-9d98-4d53-8585-81213ef3ef7c_"
X-AxigenVirus-Level: 1
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:99.90000/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95.9108 P:95.9108 M:97.0282 C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
X-pstn-settings: 3 (1.0000:1.0000) s cv gt3 gt2 gt1 r p m c
X-pstn-addresses: from <mbishop@absig.com> [195/7]
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 14 Feb 2013 12:09:55.7302 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.76
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.40
X-MS-Exchange-Organization-MessageDirectionality: Incoming

X-MS-Exchange-Organization-Cross-Premises-Headers-Processed:
chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 9578
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-
000000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-
0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-MessageLatencyInProgress:
LSRV=chcorpedge03.corp.lpl.com:TOTAL=0;2013-02-
14T12:09:56.042Z
X-MS-Exchange-Forest-ArrivalHubServer:
CHCORPEXHUB04.corp.lpl.com
X-MS-Exchange-Organization-AuthSource: chcorpedge03.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency:
SRV=chcorpedge03.corp.lpl.com:TOTAL=16|QD=16
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Organization-AVStamp-Mailbox:
SMEXr^dE;972500;0;This mail has
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Forest-RulesExecuted: chcorpexhub04
X-MS-Exchange-Organization-Rules-Execution-History: Allow
Employee
Engagement Emails%%%Lock Down Sending Externally
(New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email
Disclaimer%%%NestWise
Outbound Disclaimer%%%Fortigent Outbound
Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%Test Fortigent
Large Message
Failure Notification%%%Service360 Team 40%%%Service360 Team
41%%%Diana
Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler
Service360 Team 41
Mailbox%%%Jean Biggs Service360 Team 41 Mailbox%%%Rubie
Garcia Service360
Team 41 Mailbox%%%Service360 Team 20 Mailbox%%%NYCB
Service360
Team%%%Fortigent Size Limit Notification Test

From: Mark Bishop <mbishop@absig.com>

Sent: 2013-08-06 14:50:33 +0000

To: aaron.hodgdon@lpl.com; sean.garrity@lpl.com

Subject: 59024FAG9...

Aaron and Sean -

I am looking to buy MANA 2007-A2 A3D, cusip 59024FAG9, original face of 24,470,00, at a price of 13-16 or better, for corporate delivery.

The bond should go to my LPL account number 1360-4701. I wired $2.4 million into the subject account this morning,,, so you should see it in the account mid-day today.

Best regards,

Mark

==========

Mark Bishop
mbishop@absig.com
+1 949 678 9574
+46 709 933 538

Message Headers:

X-ZANTAZ-RECIP: <aaron.hodgdon@lpl.com>, <sean.garrity@lpl.com>
MIME-Version: 1.0
X-MEDIA-ID: CT1732NAS15
X-ZANTAZ-SOURCE-URI:
zip:file:/mnt/NAS16/ED/MQ/EDMQLEQT9A9Q9e8B315ECHM9D9EG4181A547JA0
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0180878464@LPLCMMLP04.:
Received: from chcorpedge04.corp.lpl.com (172.22.123.41) by
CHCORPEXHUB03.corp.lpl.com (10.22.121.47) with Microsoft SMTP Server (TLS
14.2.318.4; Tue, 6 Aug 2013 10:50:35 -0400
Received: from psmtp.com (64.18.3.125) by chcorpedge04.corp.lpl.com
(172.22.123.41) with Microsoft SMTP Server (TLS) id 14.2.318.4; Tue, 6 Aug
2013 10:50:31 -0400
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
Received: from mail.absig.com ([98.189.205.11]) (using TLSv1) by
exprod8mx225.postini.com ([64.18.7.10]) with SMTP; Tue, 06 Aug 201
CDT
Received: from [68.5.62.70] by absig.com with HTTP; Tue, 6 Aug 2013 07:50:3
-0700
From: Mark Bishop <mbishop@absig.com>
Date: Tue, 6 Aug 2013 07:50:33 -0700
X-Mailer: Axigen WebMail
To: <aaron.hodgdon@lpl.com>, <sean.garrity@lpl.com>
Message-ID: <1375800633174336500@absig.com>
Subject: 59024FAG9...
Importance: Normal

Content-Type: multipart/alternative;
boundary="_c971dcd7-b470-4e5a-a96c-b8ebdcb1c644_"
X-AxigenVirus-Level: 1
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:43.11136/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
X-pstn-dkim: 0 skipped:not-enabled
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 06 Aug 2013 14:50:31.2543
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.125
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: chcorpedge04
X-MS-Exchange-Organization-OriginalSize: 4362
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;1019900;0;This ma
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=chcorpedge04.
X-MS-Exchange-Forest-ArrivalHubServer: CHCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: chcorpedge04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=chcorpedge04.corp.lpl.com
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-7.000.1014-20060.004
X-TM-AS-Result: No--4.850400-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: CHCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Allow Employee
Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email Disclaimer%%
Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%William Danner%%%Test
Large Message Failure Notification%%%Service360 Team 40%%%Service360
41%%%Diana Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler Se
Team 41 Mailbox%%%PAG 360 RIA%%%Stratos 360 RIA%%%Jean Biggs Ser
41 Mailbox%%%Rubie Garcia Service360 Team 41 Mailbox%%%Service360 Te
Mailbox%%%NYCB Service360 Team%%%LPL Financial Network 360%%%For
Limit Notification Test%%%Block Attachments to Addresses not
lpl.com%%%Test%%%HR Solutions Center Mailbox Redirect%%%HRSC Suppo
Redirect%%%Insurance Email Access Control Send%%%Finance Domain Send
1%%%Finance Domain Send Control 2%%%Finance Domain Send Control NDR
Domain Send Control%%%BDSS Domain Send Control1_1%%%BDSS Domain
Control1_2%%%BDSS Domain Send Control1_3%%%BDSS Domain Send
Control1_4%%%BDSS Domain Send Control1_5%%%BDSS Domain Send
Control1_6%%%BDSS Domain Control 1 NDR

From: Mark Bishop <mbishop@absig.com>

Sent: 2013-08-13 16:07:16 +0000

To: aaron.hodgdon@lpl.com; sean.garrity@lpl.com

Subject: Cusip 32113JBV6...

Aaron and Sean -

I have purchase a bond with cash from Close Brothers Seydler Bank, Frankfurt, Germany, and am looking to have the bond delivered "DTC free delivery" to my account, DTC 0075, LPL account number 1360-4701 (ABS Investment Group).

FNLC 2005-3 M2, cusip 32113JBV6, original face $1,000,000.

Best regards,

Mark

==========
Mark Bishop
mbishop@absig.com
+1 949 678 9574
+46 709 933 538

Message Headers:

X-ZANTAZ-RECIP: <aaron.hodgdon@lpl.com>, <sean.garrity@lpl.com>
MIME-Version: 1.0
X-MEDIA-ID: CT1802_NAS15
X-ZANTAZ-SOURCE-URI:
zip:file:/mnt/NAS16/DK/CG/DKCGLH3NAAMV7e5HGJ8QRRBIUO7G4181S59VRO
X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0175019097@LPLCMMLP02.:
Received: from chcorpedge04.corp.lpl.com (172.22.123.41) by
CHCORPEXHUB03.corp.lpl.com (10.22.121.47) with Microsoft SMTP Server (TLS
14.2.318.4; Tue, 13 Aug 2013 12:07:19 -0400
Received: from psmtp.com (64.18.3.141) by chcorpedge04.corp.lpl.com
(172.22.123.41) with Microsoft SMTP Server (TLS) id 14.2.318.4; Tue, 13 Aug
2013 12:07:04 -0400
Received-SPF: none (google.com: mbishop@absig.com does not designate perm
Received: from mail.absig.com ([98.189.205.11]) (using TLSv1) by
exprod8mx241.postini.com ([64.18.7.10]) with SMTP; Tue, 13 Aug 201
EST
Received: from [192.168.62.107] by absig.com with HTTP; Tue, 13 Aug 2013
09:07:16 -0700
From: Mark Bishop <mbishop@absig.com>
Date: Tue, 13 Aug 2013 09:07:16 -0700
X-Mailer: Axigen WebMail
To: <aaron.hodgdon@lpl.com>, <sean.garrity@lpl.com>
Reply-To: Mark Bishop <mbishop@absig.com>
Message-ID: <137641003616251050@absig.com>
Subject: Cusip 32113JBV6...

Importance: Normal
Content-Type: multipart/alternative;
boundary="_646359f6-dbe8-4ed9-973f-f09e827624ab_"
X-AxigenVirus-Level: 1
X-pstn-neptune: 0/0/0.00/0
X-pstn-levels: (S:24.95392/99.90000 CV:99.9000 FC:95.5390 LC:95.5390 R:95
X-pstn-dkim: 0 skipped:not-enabled
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 13 Aug 2013 16:07:04.8637
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 64.18.3.141
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed: chcorpedge04
X-MS-Exchange-Organization-OriginalSize: 4505
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-0000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXr^dE;1021100;0;This ma
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress: LSRV=chcorpedge04.
X-MS-Exchange-Forest-ArrivalHubServer: CHCORPEXHUB03.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: chcorpedge04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency: SRV=chcorpedge04.corp.lpl.com
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-TM-AS-Product-Ver: SMEX-10.2.0.1135-7.000.1014-20078.004
X-TM-AS-Result: No--2.477200-8.000000-31
X-TM-AS-User-Approved-Sender: No
X-TM-AS-User-Blocked-Sender: No
X-MS-Exchange-Forest-RulesExecuted: CHCORPEXHUB03
X-MS-Exchange-Organization-Rules-Execution-History: Allow Employee
Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email Disclaimer%%
Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%William Danner%%%Test
Large Message Failure Notification%%%Service360 Team 40%%%Service360
41%%%Diana Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler Se
Team 41 Mailbox%%%PAG 360 RIA%%%Stratos 360 RIA%%%Jean Biggs Ser
49 Mailbox%%%Rubie Garcia Service360 Team 41 Mailbox%%%Service360 Te
Mailbox%%%NYCB Service360 Team%%%LPL Financial Network 360%%%For
Limit Notification Test%%%Block Attachments to Addresses not
lpl.com%%%Test%%%HR Solutions Center Mailbox Redirect%%%HRSC Suppo
Redirect%%%Insurance Email Access Control Send%%%Finance Domain Send
1%%%Finance Domain Send Control 2%%%Finance Domain Send Control NDR
Domain Send Control%%%BDSS Domain Send Control1_1%%%BDSS Domain
Control1_2%%%BDSS Domain Send Control1_3%%%BDSS Domain Send
Control1_4%%%BDSS Domain Send Control1_5%%%BDSS Domain Send
Control1_6%%%BDSS Domain Control 1 NDR

From: Mark Bishop <mailtobishop@gmail.com>

Sent: 2013-08-20 09:49:06 +0000

To: Emil Amir Ingmanson <amir77@me.com>; emil <emil@solidequity.se>

CC: Markus.Laifle@cbseydler.com; aaron.hodgdon@lpl.com

Subject: Fwd: ABS delivery instructions.pdf

Attachments: 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

20130820_094906_0000_Fwd ABS delivery instructions.pdf.pdf

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

Message Headers:

X-ZANTAZ-RECIP: aaron.hodgdon@lpl.com, Markus.Laifle@cbseydler.com, "Emil Amir Ingmanson" <amir77@me.com>, "emil" <emil@solidequity.se>
Received: from SDCORPEDGE04.corp.lpl.com (172.17.123.41) by SDCORPEXHUB03.corp.lpl.com (10.2.32.155) with Microsoft SMTP Server (TLS) 14.2.318.4; Tue, 20 Aug 2013 02:49:08 -0700
Received: from psmtp.com (64.18.3.169) by SDCORPEDGE04.corp.lpl.com (172.17.123.41) with Microsoft SMTP Server (TLS) id 14.2.342.3; Tue, 20 Aug 2013 02:49:05 -0700
Received-SPF: pass (google.com: domain of mailtobishop@gmail.com designate 209.85.219.50 as permitted sender) client-ip=209.85.219.50;
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From: Mark Bishop <mailtobishop@gmail.com>
To: Emil Amir Ingmanson <amir77@me.com>, emil <emil@solidequity.se>
CC: <Markus.Laifle@cbseydler.com>, <aaron.hodgdon@lpl.com>
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Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%William Danner%%%Test
Fortigent
Large Message Failure Notification%%%Service360 Team 40%%%Service360
41%%%Diana Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler
Service360
Team 41 Mailbox%%%PAG 360 RIA%%%Stratos 360 RIA%%%Jean Biggs
Service360 Team
49 Mailbox%%%Rubie Garcia Service360 Team 41 Mailbox%%%Service360 Te
20
Mailbox%%%NYCB Service360 Team%%%LPL Financial Network
360%%%Fortigent Size
Limit Notification Test%%%Block Attachm

From: Mark Bishop <mbishop@absig.com>

Sent: 2013-08-22 19:21:00 +0000

To: Aaron Hodgdon <aaron.hodgdon@lpl.com>

Subject: FNLC

Aaron -

Please send me a copy of your trade ticket for the FNLC bond.

Thank you.

Best regards,

Mark

==========
Mark Bishop
+1 949 678 9574

Message Headers:

:95.5390 R:95.9108 P:95.9108 M:97.0282 C:98.6951)
X-pstn-dkim: 0 skipped:not-enabled
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@Mphasis.com Addresses%%%LPL Data Feeds Rule%%%Email
Disclaimer%%%NestWise
Outbound Disclaimer%%%Fortigent Outbound
Disclaimer%%%Infof.Fortigent
Outbound Disclaimer%%%Service360 Team 17%%%William
Danner%%%Test Fortigent
Large Message Failure Notification%%%Service360 Team
40%%%Service360 Team
41%%%Diana Gonzalez Service360 Team 41
Mailbox%%%Robert Scheeler Service360
Team 41 Mailbox%%%PAG 360 RIA%%%Stratos 360
RIA%%%Jean Biggs Service360 Team
49 Mailbox%%%Rubie Garcia Service360 Team 41
Mailbox%%%Service360 Team 20
Mailbox%%%NYCB Service360 Team%%%LPL Financial
Network 360%%%Fortigent Size
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Control1_4%%%BDSS Domain Send Control1_5%%%BDSS
Domain Send
Control1_6%%%BDSS Domain Control 1 NDR

Aaron -

Please send me a copy of your trade ticket for the FNLC bond.

Thank you.

Best regards,

Mark

==========
Mark Bishop
+1 949 678 9574

--_6f04b35a-951b-4fe2-894e-070aec57e127_--

From:	Aaron Hodgdon <Aaron.Hodgdon@lpl.com>
Sent:	2013-08-22 19:35:44 +0000
To:	mbishop@absig.com; ron.chamberlin@lpl.com
Subject:	FW:
Attachments:	sg2013082256088.gif

Aaron D. Hodgdon

LPL Financial

Trader | Fixed Income Sales and Trading

Direct: 704-733-3750

From: AARON HODGDON (LPL FINANCIAL LLC) [mailto:ahodgdon@bloomberg.net]
Sent: Thursday, August 22, 2013 3:35 PM
To: Aaron Hodgdon
Subject:

The information contained in this email message is being transmitted to and is intended for the use of only the individual(s) to whom it is addressed. If the reader of this message is not the intended recipient, you are hereby advised that any dissemination, distribution or copying of this message is strictly prohibited. If you have received this message in error, please immediately delete.

Member FINRA/SIPC
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Message Headers:

X-ZANTAZ-RECIP: "mbishop@absig.com" <mbishop@absig.com>, "ron.chamber
MIME-Version: 1.0
X-MEDIA-ID: CT1802_NAS15
X-ZANTAZ-SOURCE-URI:
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X-ZANTAZ-CAMM-EXTERNAL-IDENTIFICATION: <P0178430316@LPLCMMLP01.:

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 22 Aug 2013 15:35:45 -0400
From: Aaron Hodgdon <Aaron.Hodgdon@lpl.com>
To: "mbishop@absig.com" <mbishop@absig.com>, "ron.chamberlin@lpl.com"
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Subject: FW:
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 Engagement Emails%%%Lock Down Sending Externally (New)%%%Exception
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 Outbound Disclaimer%%%Fortigent Outbound Disclaimer%%%Infof.Fortigent
 Outbound Disclaimer%%%Service360 Team 17%%%William Danner%%%Test
 Large Message Failure Notification%%%Service360 Team 40%%%Service360
 41%%%Diana Gonzalez Service360 Team 41 Mailbox%%%Robert Scheeler Se
 Team 41 Mailbox%%%PAG 360 RIA%%%Stratos 360 RIA%%%Jean Biggs Ser
 49 Mailbox%%%Rubie Garcia Service360 Team 41 Mailbox%%%Service360 Te
 Mailbox%%%NYCB Service360 Team%%%LPL Financial Network 360%%%For
 Limit Notification Test%%%Block Attachments to Addresses not
 lpl.com%%%Test%%%HR Solutions Center Mailbox Redirect%%%HRSC Suppo
 Redirect%%%Insurance Email Access Control Send%%%Finance Domain Send
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From: Mark Bishop <mbishop@absig.com>

Sent: 2014-09-01 18:21:52 +0000

To: aaron.hodgdon@lpl.com

Subject: New trading partner...

Aaron -

I'll give you a call Tuesday morning to introduce you to a new trading partner of ours:

The fund manager of FALCON FUNDS SICAV PLC (the buyer of the bonds described below) is Michael Galea, Head of Investment Management and Fund Services, Calamatta Cuschieri, Malta.

The bonds that will be the subject of a trade that I would like you to do with Michael (once we get the accounts approved) are as follows (in my LPL acct. no. 1360-4701):

WAMU 2004-A14 B2, cusip 939336W66 (ISIN US939336W666), original face $2,797,000, price 26.00%;
HVMLT 2006-01 X1, cusip 41161PB36 (ISIN US41161PB361), original face $35,405,000, price 57.00%.

Thanks.

Regards,

Mark

==========
Mark Bishop
mbishop@absig.com
+1 949 678 9574
+46 709 933 538

Message Headers:

X-ZANTAZ-RECIP: aaron.hodgdon@lpl.com
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Sep 2014 11:21:52
-0700
From: Mark Bishop <mbishop@absig.com>
Date: Mon, 1 Sep 2014 11:21:52 -0700
X-Mailer: Axigen WebMail
To: <aaron.hodgdon@lpl.com>
Reply-To: Mark Bishop <mbishop@absig.com>
Message-ID: <1409595712718397165@absig.com>
Subject: New trading partner...
Importance: Normal
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LC:95.5390 R:95.9108 P:95.9108 M:97.0282 C:98.6951)
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 Service360 Team 49 Mailbox%%%Rubie Garcia Service360 Team 41

Mailbox%%%Service360 Team 20 Mailbox%%%NYCB Service360 Team%%%LPL Finan

From: Aaron Hodgdon <Aaron.Hodgdon@lpl.com>

Sent: 2014-09-02 17:26:49 +0000

To: Mark Bishop <mbishop@absig.com>; ron.chamberlin@lpl.com

Subject: RE: New trading partner...

Mark, I don't think we can open an account under Ron's rep ID for this fund without jumping through some crazy hoops for approval, which unless they have a us tax id is not even a possibility. I think the only possible route would be to direct trades through an LPL approved counterparty where we would be facing the street broker/dealer on the offsetting leg of the transaction to them. Looks like they may use RBC in some capacity (ust from viewing their fund prospectus). You may want to check with Michael to see if he currently has a US broker/dealer that would be willing to facilitate transactions to/from LPL. In this capacity, it would be similar to what we currently due through Auriga or Mesirow except that they would also be taking instructions from the end account as well (falcon fund) rather than buying or selling for their own books or a different customer.

Aaron D. Hodgdon

LPL Financial

Trader | Fixed Income Sales and Trading

Direct: 704-733-3750

Institutional Trading Line: 855-575-4678

From: Mark Bishop [mailto:mbishop@absig.com]
Sent: Monday, September 01, 2014 2:22 PM
To: Aaron Hodgdon
Subject: New trading partner...

Aaron -

20140902_172649_0000_RE New trading partner....pdf

I'll give you a call Tuesday morning to introduce you to a new trading partner of ours:

The fund manager of FALCON FUNDS SICAV PLC (the buyer of the bonds described below) is Michael Galea, Head of Investment Management and Fund Services, Calamatta Cuschieri, Malta.

The bonds that will be the subject of a trade that I would like you to do with Michael (once we get the accounts approved) are as follows (in my LPL acct. no. 1360-4701):

WAMU 2004-A14 B2, cusip 939336W66 (ISIN US939336W666), original face $2,797,000, price 26.00%;

HVMLT 2006-01 X1, cusip 41161PB36 (ISIN US41161PB361), original face $35,405,000, price 57.00%.

Thanks.

Regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

+46 709 933 538

Message Headers:

X-ZANTAZ-RECIP: Mark Bishop <mbishop@absig.com>, "ron.chamberlin@lpl.co
<ron.chamberlin@lpl.com>
Received: from ncadvsmtpprd01.ncprod.lpl.com (172.22.27.87) by
NCOSJEXHUBPRD02.osj.lpl.com (10.22.121.182) with Microsoft SMTP Server (T
id 14.3.181.6; Tue, 2 Sep 2014 13:26:51 -0400
Received: from CHCORPEXHUB03.corp.lpl.com (unknown [10.22.121.64])
TLSv1 with cipher AES128-SHA (128/128 bits)) (No client certificate
requested) by ncadvsmtpprd01.ncprod.lpl.com (Postfix) with ESMTP id
3C3671FF999 for <ron.chamberlin@lpl.com>; Tue, 2 Sep 2014 13:26:51 -0

(EDT)
Received: from CHCORPEXMBX04.corp.lpl.com ([fe80::dd5c:f2e:7f5c:b80a]) by
CHCORPEXHUB03.corp.lpl.com ([10.22.121.47]) with mapi id 14.03.0158.001;
2 Sep 2014 13:26:50 -0400
From: Aaron Hodgdon <Aaron.Hodgdon@lpl.com>
To: Mark Bishop <mbishop@absig.com>, "ron.chamberlin@lpl.com"
<ron.chamberlin@lpl.com>
Subject: RE: New trading partner...
Thread-Topic: New trading partner...
Thread-Index: AQHPxhGeGrq5RuXOm0WITsQ/iBnwEpvuF1hA
Date: Tue, 2 Sep 2014 17:26:49 +0000
Message-ID: <48006CA8DC032D40AEED7EE79B2E7CFCAD183F61@CHCORPEX
References: <140959571271839716 5@absig.com>
In-Reply-To: <140959571271839716 5@absig.com>
Accept-Language: en-US
Content-Language: en-US
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
x-originating-ip: [10.22.121.13]
x-tm-as-product-ver: SMEX-10.2.0.1135-7.500.1018-20922.004
x-tm-as-result: No--35.918300-8.000000-31
x-tm-as-user-approved-sender: No
x-tm-as-user-blocked-sender: No
Content-Type: multipart/alternative;
boundary="_000_48006CA8DC032D40AEED7EE79B2E7CFCAD183F61C
MIME-Version: 1.0
Return-Path: Aaron.Hodgdon@lpl.com
X-Auto-Response-Suppress: DR, RN, NRN, OOF, AutoReply

20150219_162204_0000_new DTC....pdf

From: mbishop@absig.com

Sent: 2015-02-19 16:22:04 +0000

To: ron.chamberlin@lpl.com; golf44ron@aol.com

Subject: new DTC...

Attachments: MANA - 19 Feb 2015.pdf

Ron -

This form should now have the information that your back office and Jason need. Please let me know if there are any problems ASAP. I want to call Baader later this morning as they are "on the look-out" for the bond transfer today.

Thank you.

Regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: <ron.chamberlin@lpl.com>, <golf44ron@aol.com>
Resent-From: <advisor.dlp@osj.lpl.com>
Received: from ncadvsmtpprd06.ncprod.lpl.com (172.22.27.22) by NCOSJEXHUBPRD04.osj.lpl.com (10.22.121.184) with Microsoft SMTP Server (T id 14.3.181.6; Thu, 19 Feb 2015 11:22:18 -0500
Received: from mx0b-0017a502.pphosted.com (mx0b-0017a502.pphosted.com [67.231.157.93]) (using TLSv1 with cipher DHE-RSA-AES256-SHA (256 (No client certificate requested) by ncadvsmtpprd06.ncprod.lpl.com with ESMTP id 6D04C1FF993 for <ron.chamberlin@lpl.com>; Thu, 19 Feb 11:22:18 -0500 (EST)
Received: from pps.filterd (m0049456.ppops.net [127.0.0.1]) by mx0b-0017a502.pphosted.com (8.14.7/8.14.7) with SMTP id t1JGJLjW032036 <ron.chamberlin@lpl.com>; Thu, 19 Feb 2015 11:22:18 -0500
Received: from mail.absig.com (mail.absig.com [98.186.237.217]) by mx0b-0017a502.pphosted.com with ESMTP id 1smpyp5jtp-1 for <ron.chamberlin@lpl.com>; Thu, 19 Feb 2015 11:22:13 -0500
Received: from [68.4.91.112] by absig.com with HTTP; Thu, 19 Feb 2015 08:22 -0800
From: <mbishop@absig.com>
Date: Thu, 19 Feb 2015 08:22:04 -0800
X-Mailer: Axigen WebMail
To: <ron.chamberlin@lpl.com>, <golf44ron@aol.com>
Reply-To: <mbishop@absig.com>

Message-ID: <14243629240871059 55@absig.com>
Subject: new DTC...
Importance: Normal
MIME-Version: 1.0
Content-Type: multipart/mixed;
boundary="===axigen=95968875687159336706684864220219812 75
X-AxigenVirus-Level: 1
X-Proofpoint-Virus-Version: vendor=fsecure engine=2.50.10432:5.13.68,1.0.33
definitions=2015-02-19_03:2015-02-19,2015-02-19,1970-01-01 signatures=0
X-Proofpoint-Spam-Details: rule=med_spam_notspam policy=med_spam score=
kscore.is_bulkscore=0
kscore.compositescore=0 circleOfTrustscore=0
compositescore=0.999625143445031 suspectscore=0
recipient_domain_to_sender_totalscore=0 phishscore=0 bulkscore=0
kscore.is_spamscore=0 rbsscore=0.999625143445031
recipient_to_sender_totalscore=0
recipient_domain_to_sender_domain_totalscore=0 spamscore=0
recipient_to_sender_domain_totalscore=0 urlsuspectscore=0.99962514344503
adultscore=0 classifier=spam adjust=0 reason=mlx scancount=1
engine=7.0.1-1402240000 definitions=main-1502190164
Return-Path: mbishop@absig.com
X-Auto-Response-Suppress: DR, RN, NRN, OOF, AutoReply

From: mbishop@absig.com

Sent: 2015-02-20 13:42:06 +0000

To: ron.chamberlin@lpl.com; golf44ron@aol.com

Subject: Re: new DTC...

Ron -

I'm super sorry to ask you to get involved,,, but the MANA is still in my position report. I have not heard of any delivery problems either from LPL or Baader, so it would seem that LPL did not attempt delivery yesterday. Let's get this bond settled today.

Thanks in advance.

Best,

Mark

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

On Thu, 02/19/2015 08:22 AM, mbishop@absig.com wrote:

> Ron -
>
> This form should now have the information that your back office and Jason need. Please let me know if there are any problems ASAP. I want to call Baader later this morning as they are "on the look-out" for the bond transfer today.
>
> Thank you.
>
> Regards,
>
> Mark
>
> ==========
> Mark Bishop
> mbishop@absig.com
> +1 949 678 9574

Message Headers:

X-ZANTAZ-RECIP: <ron.chamberlin@lpl.com>, <golf44ron@aol.com>
Resent-From: <advisor.dlp@osj.lpl.com>
Received: from ncadvsmtpprd06.ncprod.lpl.com (172.22.27.22) by NCOSJEXHUBPRD03.osj.lpl.com (10.22.121.183) with Microsoft SMTP Server (T id 14.3.181.6; Fri, 20 Feb 2015 08:42:13 -0500
Received: from mx0a-0017a502.pphosted.com (mx0a-0017a502.pphosted.com [67.231.149.97]) (using TLSv1 with cipher DHE-RSA-AES256-SHA (256 (No client certificate requested) by ncadvsmtpprd06.ncprod.lpl.com with ESMTP id 24B6E1FF993 for <ron.chamberlin@lpl.com>; Fri, 20 Feb

---

08:42:13 -0500 (EST)
Received: from pps.filterd (m0078632.ppops.net [127.0.0.1]) by
mx0a-0017a502.pphosted.com (8.14.7/8.14.7) with SMTP id t1KDbnpk000853
<ron.chamberlin@lpl.com>; Fri, 20 Feb 2015 08:42:12 -0500
Received: from mail.absig.com (mail.absig.com [98.186.237.217]) by
mx0a-0017a502.pphosted.com with ESMTP id 1smpyc9mf3-1 for
<ron.chamberlin@lpl.com>; Fri, 20 Feb 2015 08:42:12 -0500
Received: from [68.4.91.112] by absig.com with HTTP; Fri, 20 Feb 2015 05:42:
-0800
From: <mbishop@absig.com>
Date: Fri, 20 Feb 2015 05:42:06 -0800
X-Mailer: Axigen WebMail
To: <ron.chamberlin@lpl.com>, <golf44ron@aol.com>
Reply-To: <mbishop@absig.com>
Message-ID: <142443972631924603 5@absig.com>
In-Reply-To: <1424362924087105955@absig.com>
References: <1424362924087105955@absig.com>
Subject: Re: new DTC...
Importance: Normal
MIME-Version: 1.0
Content-Type: multipart/alternative;
boundary="===axigen=57884657631980750936775652543796712 10
X-AxigenVirus-Level: 1
X-Proofpoint-Virus-Version: vendor=fsecure engine=2.50.10432:5.13.68,1.0.33
definitions=2015-02-20_07:2015-02-20,2015-02-20,1970-01-01 signatures=0
X-Proofpoint-Spam-Details: rule=med_spam_notspam policy=med_spam score=
suspectscore=0
phishscore=0 adultscore=0 bulkscore=0 classifier=spam adjust=0 reason=mlx
scancount=1 engine=7.0.1-1402240000 definitions=main-1502200128
Return-Path: mbishop@absig.com
X-Auto-Response-Suppress: DR, RN, NRN, OOF, AutoReply

From: Willmann Monika <Monika.Willmann@baaderbank.de>

Sent: 2015-03-27 14:57:56 +0000

To: 'mbishop@absig.com'

CC: Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de>; Custodyservice <Custodyservice@baaderbank.de>; ron.chamberlin@lpl.com; golf44ron@aol.com; Custodyservice <Custodyservice@baaderbank.de>

Subject: AW: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

Dear Mark,

we are still waiting for the order from our customer to transfer the position back.

Best regards,

Monika

Monika Willmann

Custody Service

Baader Bank Aktiengesellschaft
Weihenstephaner Straße 4
85716 Unterschleißheim, Deutschland

Telefon: +49 89 5150 1742
Fax: +49 89 5150 2444

E-Mail: monika.willmann@baaderbank.de
Internet: http://www.baaderbank.de

Baader Bank Aktiengesellschaft | Vorstand: Uto Baader (Vors.), Nico Baader, Dieter Brichmann |

Vorsitzender des Aufsichtsrates: Dr. Horst Schiessl |
Amtsgericht München HRB 121537 | Sitz der Gesellschaft: Unterschleißheim | StNr. 143/100/10066 | USt-IdNr. DE114123893.

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Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Dienstag, 24. März 2015 14:26
An: Willmann Monika
Cc: Feltkamp Joachim; Custodyservice; ron.chamberlin@lpl.com; golf44ron@aol.com
Betreff: Re: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]
Wichtigkeit: Hoch

Monika -

On March 3, 2015, we were informed by your client, Solid Equity, that the subject trade had failed with them.

We have therefore requested that Baader return the subject bond to our account at LPL Financial. Please let us know your timing and whether you need any information.

Thank you in advance.

Regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

On Sun, 03/08/2015 07:34 AM, mbishop@absig.com wrote:

Monika -

Have you started the process of DK'ing the trade and returning the subject bond to my account at LPL Financial? Let me low if you need authorization from Solid Equity, or any information from me.

Thank you.

Regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

On Tue, 03/03/2015 02:48 PM, mbishop@absig.com wrote:

Monika -

Failed trade...

Please contact your client to confirm, however, we have been informed that your client/buyer has DK'ed the trade and will not perform. In this regard, please return the subject bond to us at your earliest convenience.

You and your bank have been a pleasure to do business with, and while we wish we could have concluded the transaction, we look forward to transacting future business with you.

If you have any questions regarding returning the bond, please contact me.

Regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

On Mon, 02/23/2015 01:34 PM, mbishop@absig.com wrote:

Monika and Joachim -

Thank you for your help and focus in this matter!

Best regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

On Mon, 02/23/2015 03:34 AM, Willmann Monika <Monika.Willmann@baaderbank.de> wrote:

SETTLED!

Best regards,

Monika

Monika Willmann

Custody Service

Baader Bank Aktiengesellschaft
Weihenstephaner Straße 4
85716 Unterschleißheim, Deutschland

Telefon: +49 89 5150 1742
Fax: +49 89 5150 2444

E-Mail: monika.willmann@baaderbank.de
Internet: http://www.baaderbank.de

Baader Bank Aktiengesellschaft | Vorstand: Uto Baader (Vors.), Nico Baader, Dieter Brichmann |

Vorsitzender des Aufsichtsrates: Dr. Horst Schiessl |
Amtsgericht München HRB 121537 | Sitz der Gesellschaft: Unterschleißheim | StNr. 143/100/10066 | USt-IdNr. DE114123893.

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Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Mittwoch, 18. Februar 2015 15:51
An: Feltkamp Joachim
Cc: ron.chamberlin@lpl.com; golf44ron@aol.com; Jason.Collins@lpl.com; Willmann Monika; Custodyservice
Betreff: Re: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]
Wichtigkeit: Hoch

JOACHIM -

I do not have direct contact with Jason Collins (client service at LPL Financial), only Ron Chamberlin. I am hoping that if there are any more missing items or problems, that you and Jason can have direct contact and get this settlement done.

Thank you in advance.

Best regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

On Wed, 02/18/2015 06:29 AM, Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de> wrote:

Thanks Mark – our Clearer just claimed again ‚CP Instruction Missing' – do you know if LPL has amended the instruction?

Best regards

Joachim

Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Dienstag, 17. Februar 2015 15:19
An: Feltkamp Joachim; ron.chamberlin@lpl.com; golf44ron@aol.com; Jason.Collins@lpl.com
Cc: Willmann Monika; Custodyservice
Betreff: Re: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

Joachim -

I was required to modify my "DTC transfer request" form on last Friday, to include your suggestions below. Monday was a US national holiday,,, so I am hopeful that LPL Financial will transfer and settle the position today.

I will advise you as soon as I am notified of movement.

Best regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

On Tue, 02/17/2015 02:20 AM, Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de> wrote:

Dear Mark – do you see any movement/ news in regards to below? Still we don't recognize a settled position.

Thanks & Best regards

Joachim

Von: Feltkamp Joachim
Gesendet: Freitag, 13. Februar 2015 15:27
An: 'mbishop@absig.com'; Willmann Monika; Custodyservice
Cc: Willmann Monika
Betreff: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

Mark – please check your TD / SD – agreed was TD 06022015 and Settlement 06022015

Furthermore please check if instructing with Cusip vs our ISIN could work? Maybe you need to amend to ISIN Code, and more on - we don't recognize our Clearer Account number 112000 in your instruction.

Please keep us updated.

Joachim

Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Freitag, 13. Februar 2015 15:18
An: Willmann Monika; Custodyservice
Betreff: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

rejection notice...

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

Subject: Fwd: Account # XXXX4701
From: ron.chamberlin@lpl.com
Date: Thu, 02/12/2015 09:11 AM
To: mbishop@absig.com

Mark,

Here is the notice.

Sincerely,

Ronald J. Chamberlin
Registered Principal,
LPL Financial
CW Investment Management
2111 Business Center Drive
Irvine, CA 92612

T (949) 474-5263
M (949) 302-2204

www.lpl.com/ron.chamberlin
ron.chamberlin@lpl.com

Securities offered through LPL Financial, Member FINRA/SIPC
Not FDIC Insured. No Bank Guaranteed. May Lose Value.
Not a Deposit. Not Insured by Any Federal Government Agency.

image001.png (312.4 Kb) attached
image002.png (4.7 Kb) attached

----- Original Message -----
From: Jason Collins
To: 'ron.chamberlin@lpl.com'
Sent: Thu Feb 12 17:14
Subject: Fwd: Account # XXXX4701

Ron,

Here is the information you have requested.

Please let me know if I can be of further assistance.

LPL Financial

Jason Collins

Service Center Representative|Client Support Services

800-558-7567 | 6035

Email: Jason.Collins@lpl.com

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Message Headers:

X-ZANTAZ-RECIP: Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de>, Custodyservice <Custodyservice@baaderbank.de>, "ron.chamberlin@lpl.com" <ron.chamberlin@lpl.com>, "golf44ron@aol.com" <golf44ron@aol.com Custodyservice <Custodyservice@baaderbank.de>, "'mbishop@absig.c <mbishop@absig.com>
Resent-From: <advisor.dlp@osj.lpl.com>
Received: from ncadvsmtpprd05.ncprod.lpl.com (172.22.27.21) by NCOSJEXHUBPRD01.osj.lpl.com (10.22.121.181) with Microsoft SMTP Server (T id 14.3.181.6; Fri, 27 Mar 2015 10:58:02 -0400
Received: from mx0a-0017a502.pphosted.com (mx0a-0017a502.pphosted.com [67.231.149.97]) (using TLSv1 with cipher DHE-RSA-AES256-SHA (256 (No client certificate requested) by ncadvsmtpprd05.ncprod.lpl.com with ESMTP id 889A41FF6F0 for <ron.chamberlin@lpl.com>; Fri, 27 Mar 10:58:02 -0400 (EDT)
Received: from pps.filterd (m0078632.ppops.net [127.0.0.1]) by mx0a-0017a502.pphosted.com (8.14.7/8.14.7) with SMTP id t2REvhNV025020 <ron.chamberlin@lpl.com>; Fri, 27 Mar 2015 10:58:01 -0400
Received: from mailgate1.baaderbank.de (mailgate1.baaderbank.de [82.98.231.129]) by mx0a-0017a502.pphosted.com with ESMTP id 1tc (version=TLSv1/SSLv3 cipher=RC4-SHA bits=128 verify=NOT) for <ron.chamberlin@lpl.com>; Fri, 27 Mar 2015 10:58:00 -0400
Received: from unknown (HELO VM7663.baag) ([10.10.12.99]) by mailgate1.baaderbank.de with ESMTP/TLS/AES128-SHA; 27 Mar 2015 15:57:57

Received: from MSX2.baag ([169.254.1.84]) by VM7663.baag ([10.10.12.99]) w
 mapi; Fri, 27 Mar 2015 15:57:56 +0100
From: Willmann Monika <Monika.Willmann@baaderbank.de>
To: "'mbishop@absig.com'" <mbishop@absig.com>
CC: Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de>, Custodyservice
 <Custodyservice@baaderbank.de>, "ron.chamberlin@lpl.com"
 <ron.chamberlin@lpl.com>, "golf44ron@aol.com" <golf44ron@aol.com
 Custodyservice <Custodyservice@baaderbank.de>
Date: Fri, 27 Mar 2015 15:57:56 +0100
Subject: AW: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]
Thread-Topic: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]
Thread-Index: AdBmNh/K9VRNpUHAQUSlKjjpB3zcAQCaBeQQ
Message-ID: <D37F5BD32ABDEB41AB96AAAEFD31D28520F9F1E65A@MSX2.ba
References: <14238370624226393 39@absig.com>
 <E0A8D3556D452C42977202B2D6093466052743A6C0@MSX2.baag>
 <E0A8D3556D452C42977202B2D6093466052743A6D9@MSX2.baag>
 <14241827431356100 57@absig.com>
 <E0A8D3556D452C42977202B2D6093466052743A6E5@MSX2.baag>
 <14242710314597744 51@absig.com>
 <D37F5BD32ABDEB41AB96AAAEFD31D28520F9F1E282@MSX2.baag>
 <14246984523349519 72@absig.com> <14253905250067965 73@absig.com>
 <14258252778191643 29@absig.com> <14272035681793603 93@absig.com>
In-Reply-To: <14272035681793603 93@absig.com>
Accept-Language: de-DE
Content-Language: de-DE
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
acceptlanguage: de-DE
Content-Type: multipart/alternative;
 boundary="_000_D37F5BD32ABDEB41AB96AAAEFD31D28520F9F1E65
MIME-Version: 1.0
X-Proofpoint-Virus-Version: vendor=fsecure engine=2.50.10432:5.13.68,1.0.33
 definitions=2015-03-27_05:2015-03-27,2015-03-27,1970-01-01 signatures=0
X-Proofpoint-Spam-Details: rule=med_spam_notspam policy=med_spam score=
spamscore=0 suspectscore=0
 phishscore=0 adultscore=0 bulkscore=0 classifier=spam adjust=0 reason=mlx
 scancount=1 engine=7.0.1-1402240000 definitions=main-1503270150
Return-Path: prvs=521d32c17=Monika.Willmann@baaderbank.de
X-Auto-Response-Suppress: DR, RN, NRN, OOF, AutoReply

From: mbishop@absig.com

Sent: 2015-04-13 21:30:12 +0000

To: ron.chamberlin@lpl.com; golf44ron@aol.com

Subject: [Fwd: AW: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]]

Attachments: image001.png; SSI Caceis Domestic XB8 Account.pdf

Ron -

The trade failed between Baader Bank and ourselves. The subject MANA bond will be transferred back to c

Please notify our back office that the bond is being transferred back and to accept delivery "free".

[Bond described as: MANA 2007-A2 A3D, cusip 59024FAG9, ISIN US59024FAG90, original face USD 15 million.]

Thank you,

Mark

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

Subject: AW: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]
From: Willmann Monika <Monika.Willmann@baaderbank.de>
Date: Mon, 04/13/2015 09:41 AM
To: '"mbishop@absig.com"' <mbishop@absig.com>
Cc: Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de>, Custodyservice <Custodyservice@baaderbank.de>, "ron.chamberlin@lp
<golf44ron@aol.com>

Dear Mark,

we have received the necessary documents.

➔ Our free-of-payment-instruction is in place against DTC0075 LPL Financial, ifo 13604701 ABS Investment Group v
US59024FAG90 15000000 shares

Here are our SSIs – as well attached:

Best regards,

Monika

Monika Willmann
Custody Service

Baader Bank Aktiengesellschaft
Weihenstephaner Straße 4
85716 Unterschleißheim, Deutschland

Telefon: +49 89 5150 1742
Fax: +49 89 5150 2444

E-Mail: monika.willmann@baaderbank.de
Internet: http://www.baaderbank.de

Baader Bank Aktiengesellschaft | Vorstand: Uto Baader (Vors.), Nico Baader, Dieter Brichmann |
Vorsitzender des Aufsichtsrates: Dr. Horst Schiessl |
Amtsgericht München HRB 121537 | Sitz der Gesellschaft: Unterschleißheim | StNr. 143/100/10066 | USt-IdNr. DE114123893.

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Von: Willmann Monika
Gesendet: Freitag, 27. März 2015 15:58
An: 'mbishop@absig.com'
Cc: Feltkamp Joachim; Custodyservice; ron.chamberlin@lpl.com; golf44ron@aol.com; Custodyservice
Betreff: AW: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

Dear Mark,

we are still waiting for the order from our customer to transfer the position back.

Best regards,

Monika

Monika Willmann
Custody Service

Baader Bank Aktiengesellschaft
Weihenstephaner Straße 4
85716 Unterschleißheim, Deutschland

Telefon: +49 89 5150 1742
Fax: +49 89 5150 2444

E-Mail: monika.willmann@baaderbank.de
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Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Dienstag, 24. März 2015 14:26
An: Willmann Monika
Cc: Feltkamp Joachim; Custodyservice; ron.chamberlin@lpl.com; golf44ron@aol.com
Betreff: Re: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]
Wichtigkeit: Hoch

Monika -

On March 3, 2015, we were informed by your client, Solid Equity, that the subject trade had failed with them.

We have therefore requested that Baader return the subject bond to our account at LPL Financial. Please let us know you

Thank you in advance.

Regards,

Mark

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

On Sun, 03/08/2015 07:34 AM, mbishop@absig.com wrote:
Monika -

Have you started the process of DK'ing the trade and returning the subject bond to my account at LPL Financial? Let me l
information from me.

Thank you.

Regards,

Mark

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

On Tue, 03/03/2015 02:48 PM, mbishop@absig.com wrote:
Monika -

Failed trade...

Please contact your client to confirm, however, we have been informed that your client/buyer has DK'ed the trade and will
bond to us at your earliest convenience.

You and your bank have been a pleasure to do business with, and while we wish we could have concluded the transaction
you.

If you have any questions regarding returning the bond, please contact me.

Regards,

Mark

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

On Mon, 02/23/2015 01:34 PM, mbishop@absig.com wrote:
Monika and Joachim -

Thank you for your help and focus in this matter!

Best regards,

Mark

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

On Mon, 02/23/2015 03:34 AM, Willmann Monika <Monika.Willmann@baaderbank.de> wrote:
SETTLED!

Best regards,

Monika

Monika Willmann
Custody Service
_____

Baader Bank Aktiengesellschaft
Weihenstephaner Straße 4
85716 Unterschleißheim, Deutschland

Telefon: +49 89 5150 1742
Fax: +49 89 5150 2444

E-Mail: monika.willmann@baaderbank.de

Internet: http://www.baaderbank.de

Baader Bank Aktiengesellschaft | Vorstand: Uto Baader (Vors.), Nico Baader, Dieter Brichmann |
Vorsitzender des Aufsichtsrates: Dr. Horst Schiessl |
Amtsgericht München HRB 121537 | Sitz der Gesellschaft: Unterschleißheim | StNr. 143/100/10066 | USt-IdNr. DE114123893.

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unverzüglich und löschen Sie diese E-Mail. Das unerlaubte Vervielfältigen oder Weiterleiten dieser E-Mail ist strikt untersagt.

Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Mittwoch, 18. Februar 2015 15:51
An: Feltkamp Joachim
Cc: ron.chamberlin@lpl.com; golf44ron@aol.com; Jason.Collins@lpl.com; Willmann Monika; Custodyservice
Betreff: Re: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]
Wichtigkeit: Hoch

JOACHIM -

I do not have direct contact with Jason Collins (client service at LPL Financial), only Ron Chamberlin. I am hoping that if th
and Jason can have direct contact and get this settlement done.

Thank you in advance.

Best regards,

Mark

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

On Wed, 02/18/2015 06:29 AM, Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de> wrote:
Thanks Mark – our Clearer just claimed again ‚CP Instruction Missing' – do you know if LPL has amended the instruction?

Best regards
Joachim

Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Dienstag, 17. Februar 2015 15:19
An: Feltkamp Joachim; ron.chamberlin@lpl.com; golf44ron@aol.com; Jason.Collins@lpl.com
Cc: Willmann Monika; Custodyservice
Betreff: Re: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

Joachim -

I was required to modify my "DTC transfer request" form on last Friday, to include your suggestions below. Monday was a
Financial will transfer and settle the position today.

I will advise you as soon as I am notified of movement.

Best regards,

Mark

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

On Tue, 02/17/2015 02:20 AM, Feltkamp Joachim <Joachim.Feltkamp@baaderbank.de> wrote:
Dear Mark – do you see any movement/ news in regards to below? Still we don't recognize a settled position.

Thanks & Best regards
Joachim

Von: Feltkamp Joachim
Gesendet: Freitag, 13. Februar 2015 15:27
An: 'mbishop@absig.com'; Willmann Monika; Custodyservice
Cc: Willmann Monika
Betreff: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

Mark – please check your TD / SD – agreed was TD 06022015 and Settlement 06022015
Furthermore please check if instructing with Cusip vs our ISIN could work? Maybe you need to amend to ISIN Code, and r
number 112000 in your instruction.

Please keep us updated.

Joachim

Von: mbishop@absig.com [mailto:mbishop@absig.com]
Gesendet: Freitag, 13. Februar 2015 15:18
An: Willmann Monika; Custodyservice
Betreff: [Fwd: [Fwd: Fwd: Account # XXXX4701]]

rejection notice...

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

Subject: Fwd: Account # XXXX4701
From: ron.chamberlin@lpl.com
Date: Thu, 02/12/2015 09:11 AM
To: mbishop@absig.com

Mark,
Here is the notice.

Sincerely,

Ronald J. Chamberlin
Registered Principal,
LPL Financial
CW Investment Management
2111 Business Center Drive
Irvine, CA 92612

T (949) 474-5263
M (949) 302-2204

www.lpl.com/ron.chamberlin
ron.chamberlin@lpl.com

Securities offered through LPL Financial, Member FINRA/SIPC
Not FDIC Insured. No Bank Guaranteed. May Lose Value.
Not a Deposit. Not Insured by Any Federal Government Agency.

image001.png (312.4 Kb) attached
image002.png (4.7 Kb) attached

----- Original Message -----
From: Jason Collins
To: 'ron.chamberlin@lpl.com'
Sent: Thu Feb 12 17:14
Subject: Fwd: Account # XXXX4701

Ron,
Here is the information you have requested.
Please let me know if I can be of further assistance.

LPL Financial
Jason Collins
Service Center Representative|Client Support Services
800-558-7567 | 6035
Email: Jason.Collins@lpl.com

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Message Headers:

X-ZANTAZ-RECIP: <ron.chamberlin@lpl.com>, <golf44ron@aol.com>
Resent-From: <advisor.dlp@osj.lpl.com>
Received: from ncadvsmtpprd06.ncprod.lpl.com (172.22.27.22) by
NCOSJEXHUBPRD04.osj.lpl.com (10.22.121.184) with Microsoft SMTP Server (TLS)
id 14.3.181.6; Mon, 13 Apr 2015 17:30:25 -0400
Received: from mx0a-0017a502.pphosted.com (mx0a-0017a502.pphosted.com
[67.231.149.97]) (using TLSv1 with cipher DHE-RSA-AES256-SHA (256/2
(No client certificate requested) by ncadvsmtpprd06.ncprod.lpl.com (P
with ESMTP id C11951FF990 for <ron.chamberlin@lpl.com>; Mon, 13 Apr 20
17:30:24 -0400 (EDT)
Received: from pps.filterd (m0049448.ppops.net [127.0.0.1]) by
mx0a-0017a502.pphosted.com (8.14.7/8.14.7) with SMTP id t3DLQt2X028349 fo
<ron.chamberlin@lpl.com>; Mon, 13 Apr 2015 17:30:24 -0400
Received: from mail.absig.com (mail.absig.com [98.186.237.217]) by
mx0a-0017a502.pphosted.com with ESMTP id 1trng2g2gh-1 for
<ron.chamberlin@lpl.com>; Mon, 13 Apr 2015 17:30:23 -0400
Received: from [199.195.247.252] by absig.com with HTTP; Mon, 13 Apr 2015
14:30:12 -0700
From: <mbishop@absig.com>
Date: Mon, 13 Apr 2015 14:30:12 -0700
X-Mailer: Axigen WebMail
To: <ron.chamberlin@lpl.com>, <golf44ron@aol.com>
Reply-To: <mbishop@absig.com>
Message-ID: <142896061223570232 2@absig.com>
Subject: [Fwd: AW: AW: AW: AW: [Fwd: [Fwd: Fwd: Account # XXXX4701]]]
Importance: High
MIME-Version: 1.0
Content-Type: multipart/mixed;
boundary="===axigen=858605505361772546225969826171895849231
X-AxigenVirus-Level: 1
X-Proofpoint-Virus-Version: vendor=fsecure engine=2.50.10432:5.13.68,1.0.33,0.

definitions=2015-04-13_05:2015-04-10,2015-04-13,1970-01-01 signatures=0
X-Proofpoint-Spam-Details: rule=med_spam_notspam policy=med_spam score=0
suspectscore=2
phishscore=0 adultscore=0 bulkscore=0 classifier=spam adjust=0 reason=mlx
scancount=1 engine=7.0.1-1402240000 definitions=main-1504130185
Return-Path: mbishop@absig.com
X-Auto-Response-Suppress: DR, RN, NRN, OOF, AutoReply

From: Aaron Hodgdon <Aaron.Hodgdon@lpl.com>

Sent: 2015-04-23 16:14:52 +0000

To: mbishop@absig.com

Subject: RE: Looking to sell cusip 59024FAG9...

Thanks all set mark

Aaron D. Hodgdon

LPL Financial

Trader | Fixed Income Sales and Trading

Direct: 704-733-3750

Institutional Trading Line: 855-575-4678

From: mbishop@absig.com [mailto:mbishop@absig.com]
Sent: Thursday, April 23, 2015 10:01 AM
To: Aaron Hodgdon
Subject: Looking to sell cusip 59024FAG9...
Importance: High

> Aaron -
>
> I am looking to sell MANA 2007-A2 A3D, cusip 59024FAG9, original face of 20,000,000, at a price not less than 11-15 (11.46875%), for corporate delivery (settlement 4-28-2015).
>
> The bond will be sold from my LPL account number 1360-4701 (ABS Investment Group).

Bob Greenwood, Mesirow Financial, will call you regarding this request.

Best regards,

Mark

==========

Mark Bishop

mbishop@absig.com

+1 949 678 9574

+46 709 933 538

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Message Headers:

X-ZANTAZ-RECIP: "mbishop@absig.com" <mbishop@absig.com>, mbishop@abs
Received: from CHCORPEXMBX03.corp.lpl.com ([fe80::4415:48ec:dcd0:1eda]) b
chcorpexhub04.corp.lpl.com ([10.22.121.48]) with mapi id 14.03.0158.001; Th
23 Apr 2015 12:14:53 -0400
From: Aaron Hodgdon <Aaron.Hodgdon@lpl.com>
To: "mbishop@absig.com" <mbishop@absig.com>
Subject: RE: Looking to sell cusip 59024FAG9...
Thread-Topic: Looking to sell cusip 59024FAG9...
Thread-Index: AQHQfdgZ4YTCOfEHa0qbA8lLGEl4Yp1axYvA
Date: Thu, 23 Apr 2015 16:14:52 +0000
Message-ID: <48006CA8DC032D40AEED7EE79B2E7CFCE5C2498B@CHCORPEXI
References: <142979768715113490 9@absig.com>
In-Reply-To: <142979768715113490 9@absig.com>
Accept-Language: en-US
Content-Language: en-US
X-MS-Exchange-Organization-AuthAs: Internal
X-MS-Exchange-Organization-AuthMechanism: 04
X-MS-Exchange-Organization-AuthSource: chcorpexhub04.corp.lpl.com
X-MS-Has-Attach:
X-MS-Exchange-Organization-SCL: -1
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXutTf;1162100;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-TNEF-Correlator:
x-ms-exchange-organization-originalsize: 10572
x-ms-exchange-organization-originalarrivaltime: 23 Apr 2015 16:14:52.9024
(UTC)

x-ms-exchange-organization-messagesource: StoreDriver
x-ms-exchange-organization-messagedirectionality: Originating
x-ms-exchange-forest-messagescope: 00000000-0000-0000-0000-000000000
x-ms-exchange-organization-messagescope: 00000000-0000-0000-0000-00000
X-MS-Exchange-Organization-BCC:
x-ms-exchange-organization-originalclientipaddress: 10.22.121.10
x-originating-ip: [10.22.121.10]
x-ms-exchange-organization-originalserveripaddress: 10.22.121.41
x-ms-exchange-organization-messagelatency: SRV=CHCORPEXMBX03.corp.lpl.c
x-ms-exchange-organization-hygienepolicy: Standard
x-ms-exchange-organization-recipient-limit-verified: True
x-ms-exchange-organization-disclaimer-hash:
d4e7cba36fe3f431e278567c5495e58a6db2870813960bacc70a15fd0402bca5
x-ms-exchange-forest-rulesexecuted: chcorpexhub04
x-ms-exchange-organization-rules-execution-history: Block based on
subject%%%Block filenames%%%Termed Employees - Block%%%SolarWinds
SCL-1%%%Quest SCL -1%%%LPL @ Work email%%%Advisor Netwrix Lockou
Rule%%%BES SCL-1%%%Allow Employee Engagement Emails%%%Lock Dow
Externally (New)%%%AIS Communication%%%Exception @Mphasis.com
Addresses%%%LPL Data Feeds Rule%%%Accepted Domains for Offshore Mana
Trainers%%%Accepted domains for Offshore Processing Agents%%%Email
Disclaimer%%%Amy Pierce Service360 Team 17 Mailbox Received%%%Amy P
Service360 Team 17 Mailbox Sent%%%Fortigent Outbound
Disclaimer%%%Infof.Fortigent Outbound Disclaimer%%%LPL U Bypass Junk
Email%%%Service360 Team 17%%%Voicemail Notification%%%EZ Fax
Notification%%%Test Fortigent Large Message Failure
Notification%%%Service360 Team 40%%%Service360 Team 41%%%Diana G
Service360 Team 41 Mailbox%%%Robert Scheeler Service360 Team 41
Mailbox%%%PAG 360 RIA%%%IFP 360 RIA%%%Stratos 360 RIA%%%Jernay
Service360 Team 49 Mailbox%%%Forwarding Rule Test%%%Jean Biggs Servic
Team 49 Mailbox%%%Rubie Garcia Service360 Team 41 Mailbox%%%Service
20 Mailbox%%%NYCB Service360 Team%%%LPL Financial Network 360%%%
Size Limit Notification Test%%%Block Attachments to Addresses not
lpl.com%%%LPLU SCL -1%%%Carlson Wagonlit (CWT)%%%Test%%%HR Sol
Mailbox Redirect%%%Team 41-43 Escalation Mbx Rule%%%Insurance Email A
Control Send%%%Finance Domain Send Control 1%%%Finance Domain Send
2%%%Finance Domain Send Control 3%%%Finance Domain Send Control NDR
Domain Send Control%%%BDSS Domain Send Control1_1%%%BDSS Domain
Control1_2%%%BDSS Domain Send Control1_3%%%BDSS Domain Send
Control1_4%%%BDSS Domain Send Control1_5%%%BDSS Domain Send
Control1_6%%%BDSS Domain Control 1 NDR%%%Proofpoint Digest bypass sp
BDSS_DIRBUS_NETWORKING_BTR_DA - Send Domain Restriction%%%DirBus
Control%%%GRC Email Control%%%Service Manager Redirects 'Victor Fetter'
'Jan Rooks'%%%Comm Proc Email Control
Content-Type: multipart/alternative;
boundary="_000_48006CA8DC032D40AEED7EE79B2E7CFCE5C2498BC
MIME-Version: 1.0

From:	mbishop@absig.com
Sent:	2015-08-10 09:18:20 +0000
To:	aaron.hodgdon@lpl.com
CC:	barbaros.okten@temple.com.mt
Subject:	Standard KYC package and delivery instructions...

Aaron -

I am in continued discussions with Falcon Funds SICAV p.l.c. in Malta, regarding their sale of a couple of RMBS bonds (MARM 05-6 4A2, 576433A63, orig. face $3,187,000, and MANA 07-A2 A3D, 59024FAG9, orig. face $24,354,840). Temple Asset Management Limited, Malta, is the corporate fund manager for Falcon Funds, and Barbaros Okten is the responsible fund manager (he is copied on this email).

We plan to work together on future business also, so it is in our best interests to complete KYC and exchange delivery instructions so that we can execute the contemplated trades described above once we agree on terms, and look to potential future trades.

Please provide LPL's standard KYC package to Barbaros Okten at "barbaros.okten@temple.com.mt", and in turn Barbaros will send you their standard KYC package along with delivery instructions.

Thank you for your attention to this matter.

Best regards,

Mark

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

Message Headers:

X-ZANTAZ-RECIP: aaron.hodgdon@lpl.com, barbaros.okten@temple.com.mt
Received: from TXCORPEDGE02.corp.lpl.com (172.26.16.32) by TXCORPEXHUB02.corp.lpl.com (10.26.40.42) with Microsoft SMTP Server (TLS) id 14.3.158.1; Mon, 10 Aug 2015 04:18:24 -0500
Received: from mx0a-0017a502.pphosted.com (172.26.16.1) by TXCORPEDGE02.corp.lpl.com (172.26.16.32) with Microsoft SMTP Server (TLS) id 14.3.158.1; Mon, 10 Aug 2015 04:18:22 -0500

Received: from pps.filterd (m0049446.ppops.net [127.0.0.1]) by
 mx0a-0017a502.pphosted.com (8.15.0.59/8.15.0.59) with SMTP
id t7A9C39p004293
for <aaron.hodgdon@lpl.com>; Mon, 10 Aug 2015
05:18:23 -0400
Received: from mail.absig.com (mail.absig.com
[98.186.237.217]) by
 mx0a-0017a502.pphosted.com with ESMTP id 1w5e7xkx43-1
for
 <aaron.hodgdon@lpl.com>; Mon, 10 Aug 2015 05:18:22 -0400
Received: from [212.16.175.194] by absig.com with HTTP; Mon,
10 Aug 2015
 02:18:20 -0700
From: <mbishop@absig.com>
Date: Mon, 10 Aug 2015 02:18:20 -0700
X-Mailer: Axigen WebMail
To: <aaron.hodgdon@lpl.com>
CC: <barbaros.okten@temple.com.mt>
Reply-To: <mbishop@absig.com>
Message-ID: <1439198300342493563@absig.com>
Subject: Standard KYC package and delivery instructions...
Importance: High
MIME-Version: 1.0
Content-Type: multipart/alternative;
boundary="_95705e4b-ddf3-474f-a2e3-
fd1b00d7d6b0_"
X-AxigenVirus-Level: 1
X-Proofpoint-Virus-Version: vendor=fsecure
engine=2.50.10432:,, definitions=2015-08-09_02:,,
 signatures=0
X-Proofpoint-Spam-Reason: eusafe
Return-Path: mbishop@absig.com
X-MS-Exchange-Organization-OriginalArrivalTime: 10 Aug 2015
09:18:22.7782
 (UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress:
172.26.16.1
X-MS-Exchange-Organization-OriginalServerIPAddress:
172.26.16.32
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-
Processed: TXCORPEDGE02.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 4730
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-
0000-000000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-
0000-0000-000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox:
SMEXutTf;1184500;0;This mail has
 been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress:
LSRV=TXCORPEDGE02.corp.lpl.com:TOTAL=0;2015-08-
10T09:18:23.293Z
X-MS-Exchange-Forest-ArrivalHubServer:
TXCORPEXHUB02.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0

X-MS-Exchange-Organization-AuthSource:
TXCORPEDGE02.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency:
SRV=TXCORPEDGE02.corp.lpl.com:TOTAL=0
X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: TXCORPEXHUB02
X-MS-Exchange-Organization-Rules-Execution-History: Vontu
Outbound%%%Block
Misconfigured SCOM, LogR, & Uvest Alerts%%%Block based on
subject%%%Block
filenames%%%Termed Employees - Block%%%Workday -
Notify - EnterPrise -
SCL-1%%%SolarWinds - SCL-1%%%Quest SCL -1%%%LPL @
Work email%%%Advisor
Netwrix Lockout Rule%%%BES SCL-1%%%Allow Employee
Engagement Emails%%%Lock
Down Sending Externally (New)%%%AIS
Communication%%%Exception @Mphasis.com
Addresses%%%LPL Data Feeds Rule%%%Accepted Domains for
Offshore Managers and
Trainers%%%Accepted domains for Offshore Processing
Agents%%%Email
Disclaimer%%%Amy Pierce Service360 Team 17 Mailbox
Received%%%Amy Pierce
Service360 Team 17 Mailbox Sent%%%Fortigent Outbound
Disclaimer%%%Infof.Fortigent Outbound Disclaimer%%%LPL U
Bypass Junk
Email%%%Service360 Team 17%%%Voicemail
Notification%%%EZ Fax
Notification%%%Test Fortigent Large Message Failure
Notification%%%Service360 Team 40%%%Service360 Team
41%%%Diana Gonzalez
Service360 Team 41 Mailbox%%%Robert Scheeler Service360
Team 41
Mailbox%%%PAG 360 RIA%%%IFP 360 RIA%%%Stratos 360
RIA%%%Jernay Tremble
Service360 Team 49 Mailbox%%%Forwarding Rule
Test%%%Misconfigured Alert
Blocking Rule%%%Jean Biggs Service360 Team 49
Mailbox%%%Adam Rainier
Service360 Team 49 Mailbox%%%Rubie Garcia Service360
Team 41
Mailbox%%%Service360 Team 20 Mailbox%%%NYCB
Service360 Team%%%LPL Financial
Network 360%%%Fortigent Size Limit Notification
Test%%%Block Attachments to
Addresses not lpl.com%%%LPLU SCL -1%%%Carlson Wagonlit
(CWT)%%%Test%%%HR
Solutions Center Mailbox Redirect%%%Team 41-43 Escalation
Mbx
Rule%%%Insurance Email Access Control Send%%%Finance
Domain Send Control
1%%%Finance Domain Send Control 2%%%Finance Domain
Send Control
3%%%Test1%%%Finance Domain Send Control
NDR%%%BDSS Domain Send

Control%%%BDSS Domain Send Control1_1%%%BDSS Domain Send Control1_2%%%BDSS
Domain Send Control1_3%%%BDSS Domain Send Control1_4%%%BDSS Domain Send
Control1_5%%%BDSS Domain Send Control1_6%%%BDSS Domain Control 1
NDR%%%Proofpoint Digest bypass spam%%%# BDSS_DIRBUS_NETWORKING_BTR_DA - Send
Domain Restriction%%%DirBus Email Control

From: Mark Bishop <mailtobishop@gmail.com>

Sent: 2015-08-11 13:35:18 +0000

To: barbaros.okten@temple.com.mt; aaron.hodgdon@lpl.com

Subject: KYC...

In an effort to expedite KYC information, I have included both of your contact information:

Barbaros Ökten
Temple Asset Management Limited
+356 99770782 (office)
+356 77034461 (mobile)
barbaros.okten@temple.com.mt

Aaron Hodgdon
LPL Financial
+1 855 575 4678 (office)
aaron.hodgdon@lpl.com

Thank you. Regards,

Mark

--
Mark Bishop
+1 949 678 9574
+46 709 933 538

Message Headers:

X-ZANTAZ-RECIP: aaron.hodgdon@lpl.com, barbaros.okten@temple.com.mt
Received: from chcorpedge04.corp.lpl.com (172.22.123.41) by
chcorpexhub04.corp.lpl.com (10.22.121.48) with Microsoft SMTP Server (TLS) i
14.3.158.1; Tue, 11 Aug 2015 09:35:21 -0400
Received: from mx0a-0017a502.pphosted.com (67.231.149.97) by
chcorpedge04.corp.lpl.com (172.22.123.41) with Microsoft SMTP Server (TLS) i
14.3.158.1; Tue, 11 Aug 2015 09:35:07 -0400
Received: from pps.filterd (m0049442.ppops.net [127.0.0.1]) by
mx0a-0017a502.pphosted.com (8.15.0.59/8.15.0.59) with SMTP id t7BDXTon0
for <aaron.hodgdon@lpl.com>; Tue, 11 Aug 2015 09:35:19 -0400
Received: from mail-ob0-f178.google.com (mail-ob0-f178.google.com
[209.85.214.178]) by mx0a-0017a502.pphosted.com with ESMTP id
1w5af10xgf-1
(version=TLSv1/SSLv3 cipher=ECDHE-RSA-AES128-GCM-SHA256 bits=
verify=NOT)
for <aaron.hodgdon@lpl.com>; Tue, 11 Aug 2015 09:35:19 -0400
Received: by obnw1 with SMTP id w1so147800343obn.3 for
<aaron.hodgdon@lpl.com>; Tue, 11 Aug 2015 06:35:18 -0700 (PDT)
DKIM-Signature: v=1; a=rsa-sha256; c=relaxed/relaxed;
d=gmail.com; s=20120113;

---

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bh=J5RaNIa8ZWI7Zqz5QMszLpdERG9wmQo65TA7AxLx4rY=;

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dQ+kRDd8XryckCYf8QWFEtMe4FqeKlYNlzQwOxdbpRTZCxT4sdin8yQcwOhNtZx2x
7wug==
MIME-Version: 1.0
X-Received: by 10.60.52.110 with SMTP id s14mr13997939oeo.14.1439300118
Tue, 11 Aug 2015 06:35:18 -0700 (PDT)
Received: by 10.202.185.213 with HTTP; Tue, 11 Aug 2015 06:35:18 -0700 (PD
Date: Tue, 11 Aug 2015 15:35:18 +0200
Message-ID: <CAL-
8HN_5W0fR9friHe1fEAVu1CRj9HY9pCbQQzMHcWy5q6v+gQ@mail.gmail.com>
Subject: KYC...
From: Mark Bishop <mailtobishop@gmail.com>
To: <barbaros.okten@temple.com.mt>, <aaron.hodgdon@lpl.com>
Content-Type: multipart/alternative;
boundary="_e1d859a6-3601-457f-9451-2615a40fd2b7_"
X-Proofpoint-Virus-Version: vendor=fsecure engine=2.50.10432:,, definitions=2
08-11_06:,,
signatures=0
X-Proofpoint-Spam-Details: rule=med_spam_notspam policy=med_spam score=
kscore.is_bulkscore=0
kscore.compositescore=1 compositescore=0.9 suspectscore=1 malwarescore=0
phishscore=0 bulkscore=0 kscore.is_spamscore=0 rbsscore=0.9 spamscore=0
urlsuspectscore=0.9 adultscore=0 classifier=spam adjust=0 reason=mlx
scancount=1 engine=8.0.1-1506180000 definitions=main-1508110207
Return-Path: mailtobishop@gmail.com
X-MS-Exchange-Organization-OriginalArrivalTime: 11 Aug 2015 13:35:07.3413
(UTC)
X-MS-Exchange-Organization-OriginalClientIPAddress: 67.231.149.97
X-MS-Exchange-Organization-OriginalServerIPAddress: 172.22.123.41
X-MS-Exchange-Organization-MessageDirectionality: Incoming
X-MS-Exchange-Organization-Cross-Premises-Headers-Processed:
chcorpedge04.corp.lpl.com
X-MS-Exchange-Organization-OriginalSize: 3752
X-MS-Exchange-Forest-MessageScope: 00000000-0000-0000-0000-000000000
X-MS-Exchange-Organization-MessageScope: 00000000-0000-0000-0000-
000000000000
X-MS-Exchange-Organization-HygienePolicy: Standard
X-MS-Exchange-Organization-AVStamp-Mailbox: SMEXutTf;1184700;0;This mai
been scanned by Trend Micro ScanMail for Microsoft Exchange;
X-MS-Exchange-Organization-MessageLatencyInProgress:
LSRV=chcorpedge04.corp.lpl.com:TOTAL=0;2015-08-11T13:35:08.060Z
X-MS-Exchange-Forest-ArrivalHubServer: CHCORPEXHUB04.corp.lpl.com
X-MS-Exchange-Organization-SCL: 0
X-MS-Exchange-Organization-AuthSource: chcorpedge04.corp.lpl.com
X-MS-Exchange-Organization-AuthAs: Anonymous
X-MS-Exchange-Organization-MessageLatency:
SRV=chcorpedge04.corp.lpl.com:TOTAL=13|QD=13

X-MS-Exchange-Organization-Recipient-Limit-Verified: True
X-MS-Exchange-Forest-RulesExecuted: chcorpexhub04
X-MS-Exchange-Organization-Rules-Execution-History: Vontu Outbound%%%Bl
Misconfigured SCOM, LogR, & Uvest Alerts%%%Block based on subject%%%B
filenames%%%Termed Employees - Block%%%Workday - Notify - EnterPrise -
SCL-1%%%SolarWinds - SCL-1%%%Quest SCL -1%%%LPL @ Work
email%%%Advisor
Netwrix Lockout Rule%%%BES SCL-1%%%Allow Employee Engagement
Emails%%%Lock
Down Sending Externally (New)%%%AIS Communication%%%Exception
@Mphasis.com
Addresses%%%LPL Data Feeds Rule%%%Accepted Domains for Offshore Mana
and
Trainers%%%Accepted domains for Offshore Processing Agents%%%Email
Disclaimer%%%Amy Pierce Service360 Team 17 Mailbox Received%%%Amy P
Service360 Team 17 Mailbox Sent%%%Fortigent Outbound
Disclaimer%%%Infof.Fortigent Outbound Disclaimer%%%LPL U Bypass Junk
Email%%%Service360 Team 17%%%Voicemail Notification%%%EZ Fax
Notification%%%Test Fortigent Large Message Failure
Notification%%%Service360

Ticket number 2761137

BOAMS 2004-L B1 4.	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket
8911312	05949AZH6		NY	02/26/2013 01:12:36
SELL	12863 (M)		As of	02/07/2013 10:49:24
Price	19-16	19.50000000	Yield 69.287298	
Settlement	02/14/2013	Other		Broker
Master	B39902431	ABS INVT GROUP AMERICAN RMBS		Sales EX09

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.875		100009.11	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	2.28	WAC	3.48
Average Life	5.73	WAM	264
Prepayment	13.98 CPR	WALA/AGE	98
Cpn (Assumed)	3.352102	Factor	.88856511
Maturity	1/25/35	As Of	Feb13
		Current Face	11,429,613.01

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	MARK BISHOP
MASTER A/C	EX09	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	

Invoice	
Principal	2,228,774.54
Accrued (13)	13,816.67
Transaction Costs	
Total (USD)	2,242,591.21

View in USD Rate 1.00000000 Invert

Principal/Agency	P
SOL / UNSOL	
Settlement Loc	
Trade Flat	Venue ID
Special Price	Fee-based
TRACE: Unknown Status	pecial N
Ticket #	2761137

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:26:40

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

Ticket number 2761136

BOAMS 2004-L B1 4.	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911312	05949AZH6			NY	02/26/2013	01:12:35
BUY	12863	(M)		As of	02/07/2013	10:49:47
Price	18-20	18.62500000	Yield 72.647941			
Settlement	02/14/2013	Other			Broker	
Account	00808942	STIFEL NICHOLAS				

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission					USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	2.2	WAC	3.48
Average Life	5.73	WAM	264
Prepayment	13.98 CPR	WALA/AGE	98
Cpn (Assumed)	3.352102	Factor	.88856511
Maturity	1/25/35	As Of	Feb13
		Current Face	11,429,613.01

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	
MASTER A/C	EX14	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	

Invoice	
Principal	2,128,765.42
Accrued (13)	13,816.67
Transaction Costs	
Total (USD)	2,142,582.09

View in USD Rate 1.00000000 Invert

Principal/Agency	P
SOL / UNSOL	
Settlement Loc	
Trade Flat	Venue ID
Special Price	Fee-based
TRACE: Unknown Status	pecial N
	Ticket # 2761136

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:27:14

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

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LMT 2008-6 B1 4.76	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911152 52525FAH6

BUY	6614	(M)			NY	11/27/2012 01:29:22
Price	25-24	25.75000000	Yield	29.354754	As of	10/25/2012 15:35:57
Settlement	11/08/2012	Other				
Account	00189399	BREAN CAPITAL LLC			Broker	
					Sales	EX38

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.9296		59650.97	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	4.31	WAC	5.646
Average Life	10.47	WAM	313
Prepayment	10.02 CPR	WALA/AGE	58
Cpn (Assumed)	5.1804	Factor	.970099592
Maturity	7/25/47	As Of	Oct12
		Current Face	6,416,238.70

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	MIKE
MASTER A/C	EX38	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	CHG BLOTTER/COMISH

Invoice		
Principal		1,652,181.47
Accrued	(7)	6,463.08
Transaction Costs		
Total	(USD)	1,658,644.55

View in USD Rate 1.00000000 Invert

Principal/Agency	P
SOL / UNSOL	
Settlement Loc	
Trade Flat	Venue ID
Special Price	Fee-based
TRACE: Unknown Status	pecial N
Ticket #	2685913

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:29:38

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

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Ticket number 2685916

LMT 2008-6 B1 4.76	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911152	52525FAH6			NY	11/27/2012	01:29:22
SELL	6614	(M)		As of	10/25/2012	15:40:13
Price	27-21+	27.67187500	Yield 27.508881			
Settlement	11/08/2012	Other			Broker	
Account	39902431	**INVALID ACCOUNT** ABS INV GRP			Sales	EX09

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.9296		59650.97	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	4.59	WAC	5.646
Average Life	10.47	WAM	313
Prepayment	10.02 CPR	WALA/AGE	58
Cpn (Assumed)	5.1804	Factor	.970099592
Maturity	7/25/47	As Of	Oct12
		Current Face	6,416,238.70

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	MARK BISHOP
MASTER A/C	EX09	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	CHG BLOTTER AND COMISH PER JEANNIE

Invoice		
Principal		1,775,493.55
Accrued	(7)	6,463.08
Transaction Costs		
Total	(USD)	1,781,956.63

View in USD Rate 1.00000000 Invert

Principal/Agency	P
SOL / UNSOL	
Settlement Loc	
Trade Flat	Venue ID
Special Price	Fee-based
TRACE: Unknown Status	pecial N
	Ticket # 2685916

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:31:05

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

Ticket number 2863329

BAFC 2004-1 B2 5.9	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911312	05946XGH0			NY	06/26/2013	00:52:40
BUY	5345	(M)		As of	06/04/2013	11:48:26
Price	34-00	34.00000000	Yield 59.892572			
Settlement	06/07/2013	Other			Broker	
Account	00360377	CREDIT SUISSE				

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission					USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	1.33	WAC	6.306
Average Life	4.79	WAM	231
Prepayment	15 CPR	WALA/AGE	114
Cpn (Assumed)	5.978407	Factor	.73099345
Maturity	3/25/34	As Of	Jun13
		Current Face	3,907,159.99

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	
MASTER A/C	EX06	TRADE STIP	CHRIS MYERS
TRD ID		TRADE STIP	
HEDGE		NOTES	

Invoice		
Principal		1,328,434.40
Accrued	(6)	3,893.20
Transaction Costs		
Total	(USD)	1,332,327.60

View in USD Rate 1.00000000 Invert

Principal/Agency	P
SOL / UNSOL	
Settlement Loc	
Trade Flat	Venue ID
Special Price	Fee-based
TRACE: Unknown Status	pecial N
Ticket #	2863329

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:33:51

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

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Ticket number 2863330

BAFC 2004-1 B2 5.9	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911312	05946XGH0			NY	06/26/2013 00:52:40
SELL	5345	(M)		As of	06/04/2013 11:49:44
Price	35-16	35.50000000	Yield 56.241622		
Settlement	06/07/2013	Other			
Account	88888888	**INVALID ACCOUNT** ABS FND GRP		Broker	
				Sales	EX09

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		1.5		58607.4	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	1.38	WAC	6.306
Average Life	4.79	WAM	231
Prepayment	15 CPR	WALA/AGE	114
Cpn (Assumed)	5.978407	Factor	.73099345
Maturity	3/25/34	As Of	Jun13
		Current Face	3,907,159.99

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex-Notes

STEPOUT	U	TRADE STIP	ABS STEPS OUT TO 00541747
MASTER A/C	EX09	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	

Invoice		
Principal		1,387,041.80
Accrued	(6)	3,893.20
Transaction Costs		
Total	(USD)	1,390,935.00

View in USD Rate 1.00000000 Invert

Principal/Agency	P
SOL / UNSOL	
Settlement Loc	
Trade Flat	Venue ID
Special Price	Fee-based
TRACE: Unknown Status	pecial N
Ticket #	2863330

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:34:32

LPL FINANCIAL

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

Ticket number 2600288

FNLC 2005-3 M2 3.4	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911312	32113JBV6			NY	08/09/2012	16:55:59
BUY	7M	(M)		As of	08/09/2012	16:47:40
Price	10-10	10.31250000	Yield 36.980008			
Settlement	08/14/2012	T+3 8			Broker	
Account	00587606	US FINANCIAL INVESTMENTS INC			Sales	EX93

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.1562		10937.5	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	4.12	WAC	5.856
Average Life	8.66	WAM	298
Prepayment	6 CPR	WALA/AGE	83
Cpn (Actual)	1.2662	Factor	1.00000000
Maturity	12/25/35	As Of	Jul12
		Current Face	7,000,000.00

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	SUMIT CHHABRA
MASTER A/C	EX93	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	

Invoice	
Principal	721,875.00
Accrued (20)	4,924.11
Transaction Costs	
Total (USD)	726,799.11

View in USD Rate 1.00000000 Invert

Principal/Agency	P
SOL / UNSOL	
Settlement Loc	
Trade Flat	Venue ID
Special Price	Fee-based
TRACE: Unknown Status	pecial N
Ticket #	2600288

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:37:13

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

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Ticket number 2600290

FNLC 2005-3 M2 3.4	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911312	32113JBV6			NY	08/09/2012	16:56:26
SELL	7M	(M)		As of	08/09/2012	16:48:41
Price	10-20	10.62500000	Yield 36.348474			
Settlement	08/14/2012	T+3 8			Broker	
Account	39902431	**INVALID ACCOUNT**	ABSFNV CRP		Sales	EX09

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.1562		10937.5	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	4.17	WAC	5.856
Average Life	8.66	WAM	298
Prepayment	6 CPR	WALA/AGE	83
Cpn (Actual)	1.2662	Factor	1.00000000
Maturity	12/25/35	As Of	Jul12
		Current Face	7,000,000.00

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	MARK_BISHOP
MASTER A/C	EX09	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	

Invoice	
Principal	743,750.00
Accrued (20)	4,924.11
Transaction Costs	
Total (USD)	748,674.11

View in USD Rate 1.00000000 Invert

Principal/Agency	P
SOL / UNSOL	
Settlement Loc	
Trade Flat	Venue ID
Special Price	Fee-based
TRACE: Unknown Status	pecial N
Ticket #	2600290

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:38:10

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

P266 t

Ticket number 2916289

FNLC 2005-3 M2 3.4	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911802	32113JBV6			NY	08/22/2013	12:58:49
BUY	1M	(M)		As of	08/22/2013	12:38:54
Price	21-00	21.00000000	Yield 28.359571			
Settlement	08/27/2013	T+3 8			Broker	
Account	40577611	ABS INVESTMENT GROUP LLC DVP			Sales	EX18

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.5		5000	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	-3.27	WAC	5.692
Average Life	6.98	WAM	291
Prepayment	8 CPR	WALA/AGE	95
Cpn (Assumed)	1.20406	Factor	1.00000000
Maturity	12/25/35	As Of	Jul13
		Current Face	1,000,000.00

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	ABS_STEPS_OUT_TO_00541747
MASTER A/C	EX18	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	

Invoice		
Principal		210,000.00
Accrued	(1)	33.45
Transaction Costs		
Total	(USD)	210,033.45

View in USD Rate 1.00000000 Invert

Principal/Agency	P
SOL / UNSOL	
Settlement Loc	

Trade Flat Venue ID

Special Price MARKET PRICE Fee-based

TRACE: Unknown Status pecial N

Ticket # 2916289

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:43:41

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Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

Ticket number 2916256

FNLC 2005-3 M2 3.4	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911802 32113JBV6

NY 08/22/2013 12:44:05
As of 08/22/2013 12:10:22

SELL 1M (M)
Price 22-00 22.00000000 Yield 27.408668
Settlement 08/27/2013 T+3 8
Master B43772462 400 CAPITAL MGMT/PARTNERS

Broker
Sales EX07

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.5		5000	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	-2.42	WAC	5.692
Average Life	6.98	WAM	291
Prepayment	8 CPR	WALA/AGE	95
Cpn (Assumed)	1.20406	Factor	1.00000000
Maturity	12/25/35	As Of	Jul13
		Current Face	1,000,000.00

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	400 CAPITAL
MASTER A/C	EX07	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	

Invoice		
Principal		220,000.00
Accrued	(1)	33.45
Transaction Costs		
Total	(USD)	220,033.45

View in USD Rate 1.00000000 Invert

Principal/Agency P
SOL / UNSOL
Settlement Loc
Trade Flat Venue ID
Special Price MARKET PRICE Fee-based
TRACE: Unknown Status pecial N

Ticket # 2916256

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:41:10

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

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Ticket number 2874481

SAIL 2006-4 A5 2.78	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911802	86360WAE2			NY	07/09/2013	16:42:45
SELL	30M	(M)		As of	07/09/2013	16:17:00
Price	22-04	22.12500000	Yield 21.308269			
Settlement	07/16/2013	T+5 7			Broker	
Master	B39902431	ABS INVT GROUP AMERICAN RMBS			Sales	EX09

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.6406		192187.5	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	-10.59	WAC	5.75
Average Life	8.82	WAM	285
Prepayment	18 CPR	WALA/AGE	87
Cpn (Actual)	0.503	Factor	1.00000000
Maturity	7/25/36	As Of	Jun13
		Current Face	30,000,000.00

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	ABS STEPS OUT TO 00541747
MASTER A/C	EX09	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	

Invoice		
Principal		6,637,500.00
Accrued	(21)	8,802.50
Transaction Costs		
Total	(USD)	6,646,302.50

View in USD Rate 1.00000000 Invert

Principal/Agency	P
SOL / UNSOL	
Settlement Loc	
Trade Flat	Venue ID
Special Price	Fee-based
TRACE: Unknown Status	pecial N
Ticket #	2874481

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:53:44

LPL FINANCIAL

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

Ticket number 2874482

SAIL 2006-4 A5 2.78	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911802	86360WAE2				NY	07/09/2013	16:43:13
BUY	30M	(M)			As of	07/09/2013	15:59:35
Price	20-27	20.84375000	Yield	22.292335			
Settlement	07/16/2013	T+5 7				Broker	
Master	884797336	WHITEBOX ADVISORS				Sales	EX42

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.6406		192187.5	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	-11.5	WAC	5.75
Average Life	8.82	WAM	285
Prepayment	18 CPR	WALA/AGE	87
Cpn (Actual)	0.503	Factor	1.00000000
Maturity	7/25/36	As Of	Jun13
		Current Face	30,000,000.00

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	
MASTER A/C	EX42	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	

Invoice		
Principal		6,253,125.00
Accrued	(21)	8,802.50
Transaction Costs		
Total	(USD)	6,261,927.50

View in USD Rate 1.00000000 Invert

Principal/Agency P
SOL / UNSOL
Settlement Loc
Trade Flat Venue ID
Special Price Fee-based
TRACE: Unknown Status pecial N
Ticket # 2874482

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:54:19

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

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Ticket number 2893541

SAIL 2006-4 A5 2.78	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911802	86360WAE2			NY	07/29/2013	16:14:08
SELL	13492	(M)		As of	07/29/2013	15:58:50
Price	21-26	21.81250000	Yield 21.759645			
Settlement	08/01/2013	T+3 8			Broker	
Master	B39902431	ABS INVT GROUP AMERICAN RMBS			Sales	EX18

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.7118		96046.18	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	-11.32	WAC	5.727
Average Life	8.74	WAM	284
Prepayment	18 CPR	WALA/AGE	88
Cpn (Actual)	0.50003	Factor	1.00000000
Maturity	7/25/36	As Of	Jul13
		Current Face	13,492,000.00

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	ABS STEPS OUT TO 00541747
MASTER A/C	EX18	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	

Invoice		
Principal		2,942,942.50
Accrued	(7)	1,311.80
Transaction Costs		
Total	(USD)	2,944,254.30

View in USD Rate 1.00000000 Invert

Principal/Agency	P
SOL / UNSOL	
Settlement Loc	

Trade Flat Venue ID

Special Price Fee-based

TRACE: Unknown Status pecial N

Ticket # 2893541

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:56:32

LPL FINANCIAL

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

Ticket number 2893522

SAIL 2006-4 A5 2.78	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911802	86360WAE2			NY	07/29/2013	16:11:34
BUY	13492	(M)		As of	07/29/2013	16:04:15
Price	20-24	20.75000000	Yield 22.595669			
Settlement	08/01/2013	T+3 8			Broker	
Account	84797548	WHITEBOX ADVISORS			Sales	EX42

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.3437		46378.75	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	-12.11	WAC	5.727
Average Life	8.74	WAM	284
Prepayment	18 CPR	WALA/AGE	88
Cpn (Actual)	0.50003	Factor	1.00000000
Maturity	7/25/36	As Of	Jul13
		Current Face	13,492,000.00

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	
MASTER A/C	EX42	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	

Invoice		
Principal		2,799,590.00
Accrued	(7)	1,311.80
Transaction Costs		
Total	(USD)	2,800,901.80

View in USD Rate 1.00000000 Invert

Principal/Agency	P		
SOL / UNSOL			
Settlement Loc			
Trade Flat	Venue ID		
Special Price		Fee-based	
TRACE: Unknown Status		pecial	N
		Ticket #	2893522

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:57:40

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

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Ticket number 2898940

MANA 2007-A2 A3D 2	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911152	59024FAG9			NY	08/02/2013	15:10:26
SELL	20M	(M)		As of	08/02/2013	14:13:53
Price	13-12	13.37500000	Yield -5.575732			
Settlement	08/07/2013	T+3 8			Broker	
Master	839902431	ABS INVT GROUP AMERICAN RMBS			Sales	EX18

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.583		84258.25	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	-22.55	WAC	3.793
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	14,452,530.54

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	abs steps out to 00541747
MASTER A/C	EX18	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	CHANGE COMISH PER JEANNINE

Invoice		
Principal		1,933,025.96
Accrued	(13)	2,557.45
Transaction Costs		
Total	(USD)	1,935,583.41

View in USD Rate 1.00000000 Invert

Principal/Agency	P
SOL / UNSOL	
Settlement Loc	
Trade Flat	Venue ID
Special Price	Fee-based
TRACE: Unknown Status	pecial N
Ticket #	2898940

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:59:52

LPL FIN.

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

Ticket number 2898947

MANA 2007-A2 A3D 2	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911152	59024FAG9			NY	08/02/2013	15:11:20
BUY	20M	(M)		As of	08/02/2013	13:03:29
Price	12-16	12.50000000	Yield -4.821104			
Settlement	08/07/2013	T+3 8			Broker	
Account	84797548	WHITEBOX ADVISORS			Sales	EX42

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.2812		40647.74	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	-23.68	WAC	3.793
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	14,452,530.54

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	
MASTER A/C	EX42	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	CHANGE COMISH PER JEANNINE

Invoice		
Principal		1,806,566.32
Accrued	(13)	2,557.45
Transaction Costs		
Total	(USD)	1,809,123.77

View in USD Rate 1.00000000 Invert

Principal/Agency	P
SOL / UNSOL	
Settlement Loc	
Trade Flat	Venue ID
Special Price	Fee-based
TRACE: Unknown Status	pecial N
Ticket #	2898947

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 16:00:30

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

Ticket number 2901564

MANA 2007-A2 A3D 2	2) Cancel	15) Trade Recap	99) 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		Broker		
Account	00541747	LPL FINANCIAL CORP		Sales	EX18	

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.5416		95330.96	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	-22.73	WAC	3.793
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

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	ABS
MASTER A/C	EX18	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	

Invoice		
Principal		2,375,926.22
Accrued	(15)	3,593.44
Transaction Costs		
Total	(USD)	2,379,519.66

View in USD Rate 1.00000000 Invert

Principal/Agency	P		
SOL / UNSOL			
Settlement Loc			
Trade Flat	Venue ID		
Special Price		Fee-based	
TRACE: Unknown Status		pecial	N
		Ticket #	2901564

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 16:01:21

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

Ticket number 2901561

MANA 2007-A2 A3D 2	2) Cancel	15) Trade Recap	99) 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 8			Broker	
Account	84797548	WHITEBOX ADVISORS			Sales	EX42

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission		0.25		43998.63	USD
Misc Fee					USD

55) Spread 9) Mortgage

Effective Dur	-23.79	WAC	3.793
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

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT	U	TRADE STIP	
MASTER A/C	EX42	TRADE STIP	
TRD ID		TRADE STIP	
HEDGE		NOTES	

Invoice		
Principal		2,232,930.66
Accrued	(15)	3,593.44
Transaction Costs		
Total	(USD)	2,236,524.10

View in USD Rate 1.00000000 Invert

Principal/Agency	P		
SOL / UNSOL			
Settlement Loc			
Trade Flat	Venue ID		
Special Price		Fee-based	
TRACE: Unknown Status		pecial	N
		Ticket #	2901561

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 16:02:12

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

Ticket number 3559886

MANA 2007-A2 A3D 2	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911312	59024FAG9			NY	04/28/2015	01:05:51
BUY	20M	(M)		As of	04/23/2015	11:43:21
Price	11-15	11.46875000	Yield -1.890515			
Settlement	04/28/2015	T+0 4			Broker	
Account	0075-YLPL	LPL FINANCIAL CORP			Sales	F25

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission	F	0.3906		56455.1974	USD
Misc Fee			-		USD

55) Spread 9) Mortgage

Effective Dur	-9.7	WAC	3.338
Average Life		WAM	272
Prepayment	12 CPR	WALA/AGE	99
Cpn (Assumed)	0.48125	Factor	.722626527
Maturity	3/25/37	As Of	Mar15
		Current Face	14,452,530.54

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT		TRADE STIP	M= *RR=F25*LC== **TQ= *
MASTER A/C		TRADE STIP	
TRD ID		TRADE STIP	UNSOLICITED ORDER
HEDGE		NOTES	

Invoice		
Principal		1,657,524.60
Accrued	(1)	193.20
Transaction Costs		
Total	(USD)	1,657,717.80

View in USD Rate 1.00000000 Invert

Principal/Agency	P	
SOL / UNSOL	U	UNSOLICITED ORDER
Settlement Loc		
Trade Flat	Venue ID	
Special Price		Fee-based
TRACE: Unknown Status		pecial N
		Ticket # 3559886

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 16:02:46

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

Ticket number 3559895

MANA 2007-A2 A3D 2	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911312	59024FAG9				NY	04/28/2015	01:05:51
SELL	20M	(M)			As of	04/23/2015	11:45:17
Price	12-08	12.25000000	Yield	-2.591983			
Settlement	04/28/2015	T+0 4				Broker	
Account	RBA1154240	CARLSON CAPITAL LP				Sales	F09

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission	F	0.3906		56455.1974	USD
Misc Fee			+		USD

55) Spread 9) Mortgage

Effective Dur	-7.42	WAC	3.338
Average Life		WAM	272
Prepayment	12 CPR	WALA/AGE	99
Cpn (Assumed)	0.48125	Factor	.722626527
Maturity	3/25/37	As Of	Mar15
		Current Face	14,452,530.54

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT		TRADE STIP	M= *RR=F09*LC== **TQ= *
MASTER A/C		TRADE STIP	
TRD ID		TRADE STIP	UNSOLICITED ORDER
HEDGE		NOTES	

Invoice		
Principal		1,770,434.99
Accrued	(1)	193.20
Transaction Costs		
Total	(USD)	1,770,628.19

View in USD Rate 1.00000000 Invert

Principal/Agency	P		
SOL / UNSOL	U	UNSOLICITED ORDER	
Settlement Loc			
Trade Flat	Venue ID		
Special Price		Fee-based	
TRACE: Unknown Status		pecial	N
		Ticket #	3559895

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 16:03:25

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

Ticket number 3689138

MANA 2007-A2 A3D 2	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911802	59024FAG9			NY	09/02/2015	10:09:43
BUY	24354840P			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
Sales Commission	F	0.4375		76997.6088	USD
Misc Fee			-		USD

55) Spread 9) Mortgage

Effective Dur	-22.93	WAC	3.311
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

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT		TRADE STIP		M= *RR= *LC== **TQ= *
MASTER A/C		TRADE STIP		
TRD ID		TRADE STIP	UNSOLICITED ORDER	
HEDGE		NOTES		

Invoice		
Principal		1,891,941.25
Accrued	(14)	3,418.01
Transaction Costs		
Total	(USD)	1,895,359.26

View in USD Rate 1.00000000 Invert

Principal/Agency	P		
SOL / UNSOL	U	UNSOLICITED ORDER	
Settlement Loc			
Trade Flat	Venue ID		
Special Price		Fee-based	
TRACE: Unknown Status		pecial	N
		Ticket #	3689138

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 16:04:59

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

Ticket number 3689140

MANA 2007-A2 A3D 2	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911802	59024FAG9			NY	09/02/2015	10:09:45
SELL	24354840P			As of	09/02/2015	10:05:38
Price	11-20	11.62500000	Yield -3.92122			
Settlement	09/08/2015	T+3 9			Broker	
Account	RBA1154240	CARLSON CAPITAL LP			Sales	F09

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission	F	0.4375		76997.6088	USD
Misc Fee			+		USD

55) Spread 9) Mortgage

Effective Dur	-21.92	WAC	3.311
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

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT		TRADE STIP	M= *RR=F09*LC== **TQ= *
MASTER A/C		TRADE STIP	
TRD ID		TRADE STIP	UNSOLICITED ORDER
HEDGE		NOTES	

Invoice		
Principal		2,045,936.46
Accrued	(14)	3,418.01
Transaction Costs		
Total	(USD)	2,049,354.47

View in USD Rate 1.00000000 Invert

Principal/Agency	P	
SOL / UNSOL	U	UNSOLICITED ORDER
Settlement Loc		
Trade Flat	Venue ID	
Special Price		Fee-based
TRACE: Unknown Status		pecial N
		Ticket # 3689140

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 16:05:50

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

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Ticket number 4043369

MANA 2007-A2 A3D 2	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911802	59024FAG9				NY	08/29/2016	15:01:18
SELL	1125900P				As of	08/29/2016	14:59:38
Price	10-08	10.25000000	Yield	-13.701214			
Settlement	09/01/2016	T+3 9			Broker		
Account	RBA1154240	CARLSON CAPITAL LP			Sales	F09	

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission	F	0.0937		762.75489	USD
Misc Fee			+		USD

55) Spread 9) Mortgage

Effective Dur	-13.8	WAC	3.495
Average Life		WAM	258
Prepayment	30 CPR	WALA/AGE	116
Cpn (Actual)	0.82439	Factor	.722626527
Maturity	3/25/37	As Of	Aug16
		Current Face	813,605.21

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT		TRADE STIP	M= *RR=F09*LC== **TQ= *
MASTER A/C		TRADE STIP	
TRD ID		TRADE STIP	UNSOLICITED ORDER
HEDGE		NOTES	

Invoice		
Principal		83,394.53
Accrued	(7)	130.42
Transaction Costs		
Total	(USD)	83,524.95

View in USD Rate 1.00000000 Invert

Principal/Agency	P	
SOL / UNSOL	U	UNSOLICITED ORDER
Settlement Loc		
Trade Flat	Venue ID	
Special Price		Fee-based N
TRACE: Unknown Status		pecial N
		Ticket # 4043369

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 16:06:47

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

Ticket number 4043368

MANA 2007-A2 A3D 2	2) Cancel	15) Trade Recap	99) Options	Accepted Ticket

8911802	59024FAG9			NY	08/29/2016	15:01:17
BUY	1125900P			As of	08/29/2016	14:58:27
Price	10-02	10.06250000	Yield -13.361032			
Settlement	09/01/2016	T+3 9			Broker	
Master	B67968612	REGAN CAPITAL LLC			Sales	F07

Commission	Code	Rate	+/-	Amount	Curr
Sales Commission	F	0.0937		762.75489	USD
Misc Fee			-		USD

55) Spread 9) Mortgage

Effective Dur	-14.11	WAC	3.495
Average Life		WAM	258
Prepayment	30 CPR	WALA/AGE	116
Cpn (Actual)	0.82439	Factor	.722626527
Maturity	3/25/37	As Of	Aug16
		Current Face	813,605.21

5) Notes 1-4 6) Notes 5-8 7) Reporting 88) Prevailing Market Price 89) Best Ex Notes

STEPOUT		TRADE STIP	M= *RR=F07*LC== **TQ= *
MASTER A/C		TRADE STIP	
TRD ID		TRADE STIP	UNSOLICITED ORDER
HEDGE		NOTES	REGAN CAPITAL LLC

Invoice		
Principal		81,869.02
Accrued	(7)	130.42
Transaction Costs		
Total	(USD)	81,999.44

View in USD Rate 1.00000000 Invert

Principal/Agency	P	
SOL / UNSOL	U	UNSOLICITED ORDER
Settlement Loc		
Trade Flat	Venue ID	
Special Price		Fee-based N
TRACE: Unknown Status		pecial N
		Ticket # 4043368

SN 276302 EDT GMT-4:00 H755-5838-0 30-Apr-2019 15:59:09

Australia 61 2 9777 8600 Brazil 5511 2395 9000 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 2019 Bloomberg Finance L.P.

About this Data Dictionary	Pursuant to the first task order under the Office of Quantitative Research's (OQR) QRADS program, Applied Communication Sciences and Promontory Financial Group jointly developed this enhanced data dictionary as a reference for Trade Reporting and Compliance Engine (TRACE) data transmitted by the Financial Industry Regulatory Authority (FINRA) which is utilized by various departments across the Securities and Exchange Commission (SEC). The information contained on the following tabs is based on our analysis of a sample of TRACE data files, a review of publicly available source documents (including TRACE participant user guides and technical specifications documents), the most recent data dictionary provided by FINRA ("Regulator Data File Layouts v1-9.xlsx") and our regulatory and capital markets expertise. Columns with blue headers indicates the information has been validated or enhanced. However, for reference purposes we retained two columns on each tab from the FINRA-provided data dictionary (Description and Data Type), which have brown header cells. Updated cells that contain significant differences over the FINRA-provided data dictionary have been highlighted in peach.
Organization	OQR currently receives 19 separate TRACE data files from FINRA, but this data dictionary has been consolidated to seven tabs to avoid redundancy. Generally, the trade files contain information specific to the trades reported by market participants to TRACE, whereas the security master and security master supplemental files contain identifiers and characteristics for the entire universe of securities for each trading day. The corporate bond, agency debt, church bond and equity-linked note files share the same file format. As such, the CA Trade File and CA Security File tabs apply to each of these security types. With the exception of one field, the security master and security master supplemental files are consistent for each security type. Accordingly, there are three security master file tabs: CA Security File, MBSTBA Security File, and ABSCMO Security File. The participant file contains identifying information for each of the broker-dealer, data vendors and other TRACE participants that appear on the trade files. Finally, the SCRTY_TYPE-SBTP_CD tab contains a reference table to define additional information for each of the
Position	The position or sequence in which each field appears on the respective data file.

Field Name	The name of the field as contained in data file headers.
Field Long Name	Descriptive name of the field (unchanged from the FINRA-provided data dictionary, for consistency).
Field Description	The Field Description columns on each tab provide a concise definition of the field as well as some additional background information and important notes about the data contained in that field. This column is not meant to be exhaustive, and readers are encouraged to consult the user guide for a more detailed explanation.
Data Type and Format	This column indicates numerous information to help describe the format of each field, based on our analysis of a sample of TRACE data as well as the FINRA-provided data dictionary. These include: **Data Type.** We use the following data types to indicate the type of information stored in each field: *Alphanumeric:* any letter or number, but contains no spaces or symbols *Numeric:* contains any integral quantity *Decimal:* a number with a fractional component *Text:* any character *Date:* day, month and year *DateTime:* day, month, year, and hour, minute, and second **Expected Values.** We list expected values for fields with restricted value sets, based on our analysis of sample TRACE data to identify all values that occur. Where appropriate, we also note additional values specified in the FINRA-provided data dictionary. If the field does not appear to have a restricted value set, we instead provide sample data as a quick illustration of the field's data format.
User Input or System-Generated	We indicate for applicable tabs whether the field's data was input by a participant (user input) or computed by FINRA before transmission to OQR (system-generated).
FINRA Rule Reference	We include this information to assist readers in understanding the regulatory reporting requirement that is applicable to certain fields on certain tabs. The Rule Description column provides the relevant language directly from the FINRA rule, which is indicated in the FINRA Rule # column.
Comparison to pre-2/6/12 data format	This field highlights differences between trade reports made before February 6, 2012 and after. FINRA migrated the reporting of trades in non-securitized products to a new technology platform, and as a result, data files received after 2/6/12 contain numerous format differences.

Position	Field Name	Field Long Name	Description	Description (With PFG-ACS Comments)	Data Type	Data Type and Format	User Input or System Generated	FINRA Rule #	Rule Description
1	MSG_SEQ_NB	Message Sequence Number	Sequenced Number	This field indicates a non-unique message identifier that is generated whenever a trade or cancel/correct report is entered by a participant. Note: This field is necessary to associate trades in the event of a trade correction. Sequence Numbers are date-specific (the numbering begins at 1 each trading day).	integer	Numeric ***Example: 19822***	System generated	n/a	n/a
2	MSG_TYPE_CD	Message Type Code	Message Type. G - Trade Report or Reversal (Historical Cancel) I - Trade Correction H - Trade Cancel	This field indicates the record type. This field does not distinguish between trade reports and reversals, nor the type of trade correction report. Note: Trade Status Code contains more complete information than this field.	char(1)	Text, length 1 ***Values:*** ***G = Trade Report or Reversal (Cancel of T-20 trade)*** ***H = Trade Cancel*** ***I = Trade Correction***	System generated	n/a	n/a
3	REC_TYPE_NM	Record Type Name	Indicates the type of the record. Values: - Trade Report - Trade Cancel - Correction (was) - Correction (no)	This field indicates the type of the record. This field does not distinguish between corrections and reversals, and uses legacy terminology ("no/was") to indicate whether a record involves a new trade or a cancel/correct of a prior trade. Note: Trade Status Code contains more complete information than this field.	varchar(30)	Text ***Values:*** ***- Trade Report*** ***- Cancel*** ***- Correction (was)*** ***- Correction (no)***	System generated	n/a	n/a
4	TRD_RPT_TS	Trade Report Timestamp	Database Input Timestamp	This field reflects the time at which this trade record was received by FINRA. For late trades and cancel/correct records, the value will be different than the time (or date) of execution. Note: This field does not contain milliseconds according to a sample of trade files, but this level of precision is not relevant for TRACE-eligible security transactions.	datetime YYYY-MM-DD HH:MM:SS.ccc	Datetime; YYYY-MM-DD HH:MM:S***S*** ***Example: 2014-03-14 08:00:02***	System generated	n/a	n/a
5	TRD_EXCTN_TS	Trade Execution Timestamp	Execution Date Time Required on As-Of and Prior Day Cancel trades. If the field is blank the Execution Date = Current Trade Date	Actual day and time that the trade was executed (the time at which all important terms of the trade were agreed to by both parties). Note: The value in this field remains the same for cancel/correct records even if a correction later amends terms of the original trade. This field does not contain milliseconds according to a sample of trade files, but this level of precision is not important for TRACE-eligible security transactions.	datetime YYYY-MM-DD HH:MM:SS.ccc	Datetime; YYYY-MM-DD HH:MM:S***S*** ***Example: 2014-03-14 08:00:02***	Can be either	6730(a)(2); 6730(c)(5) 6730(c)(8)	Each TRACE trade report shall contain the following information: Time of Execution; Date of Trade Execution ("as/of" trades only);
6	TRD_STLMT_DT	Trade Settlement Date	Settlement Date Time. Required for FI. (From a business standpoint it's a date, not a timestamp)	This field indicates the trade's settlement date, which is the future date (agreed by both parties at the time of execution) on which terms of the trade will be met, including delivery of payment and transfer of securities.	YYYYMMDD	Date; YYYY-MM-DD ***Example: 2014-03-14***	User input	6730(c)(12)	Each TRACE trade report shall contain the following information: Date of Settlement
7	FINRA_SCRTY_ID	FINRA Security Identifier	Unique security identifier assigned by the system	This field indicates the security identifier created and assigned by FINRA for all TRACE-eligible securities. Note: This identifier system is internal to FINRA, and not made publicly available. However, it appears to be the most reliable identifier for recent and current securities.	bigint	Numeric ***Example: 3242077***	User Input	n/a	n/a

8	ISSUE_SYM_ID	Issue Symbol Identifier	Symbol - Either Cusip or Symbol is required. May be blank if Origial CUSIP is supplied	This is a security identifier created and assigned by FINRA for most TRACE-eligible securities. Note: May be blank. All securities will have either a CUSIP Number or Issue Symbol Identifier.	varchar(30)	Alphanumeric ***Example: GNMA3242077***	User input	6730(c)(1)	Each TRACE trade report shall contain the following information: CUSIP number or if a CUSIP number is not available at the Time of Execution, a similar numeric identifier (e.g., a mortgage pool number) or a FINRA symbol;
9	CUSIP_ID	CUSIP Identifier	CUSIP - Either Cusip or Symbol is required May be blank if Original Symbol is supplied	CUSIP is an industry-standard security identifier assigned by Standard & Poors for most securities. May be blank (e.g., CUSIPs are not assigned for all security types). Note: All securities will have either a CUSIP Number or Issue Symbol Identifier. All TRACE-eligible securities traded since 2/6/12 will also have a unique FINRA Security Identifier.	varchar(9)	Alphanumeric, length 9 ***Example: 36220YGC1***	User input	6730(c)(1)	Each TRACE trade report shall contain the following information: CUSIP number or if a CUSIP number is not available at the Time of Execution, a similar numeric identifier (e.g., a mortgage pool number) or a FINRA symbol;
10	RPT_SIDE_CD	Report Side Code	Allows the client to indicate its role in the trade. B = Buy S = Sell X = Cross	This field indicates which side of the transaction (buyer or seller) the Reporting Party was on. Note: "X" became a possible value in February 2012; however, this value has not occurred in our sample data. Cross trades must currently be reported as separate "buy" and "sell" trade reports.	char(1)	Text, length 1 ***Values:*** ***B = Buy*** ***S = Sell*** ***X = Cross (possible value per FINRA data dictionary)***	User input	6730(c)(4); 6730(d)(3)	Each TRACE trade report shall contain the following information: A symbol indicating whether the transaction is a buy or a sell; For in-house cross transactions, a member must report two transactions, which are the member's purchase transaction and the member's sale transaction.

11	ENTRD_VOL_QT	Entered Volume Quantity	Entered Quantity	For mortgage-backed securities and asset-backed securities that are not subject to amortization, the quantity will be the par value of the security. Asset-backed securities that amortize are reported as the actual dollar value of the security traded, reflecting any amortization that has occurred since issuance.	numeric(13, 2)	Decimal ***Example: 25000***	User input	6730(d)(2)	For a transaction in a TRACE-Eligible Security, except an Asset-Backed Security, report the total par value or principal value of the security traded. (i) For a transaction in an Asset-Backed Security traded To Be Announced ("TBA transaction"), report the original face value of such security. (ii) For a transaction, other than a TBA transaction, in an Asset-Backed Security that is subject to amortization, report the original face value of such security and, if a member uses a Factor to execute the transaction that is not the most current Factor publicly available at the Time of Execution, report the Factor used, except as provided in subparagraph (iv) below regarding certain transactions executed in an agency capacity. (iii) For a transaction in an Asset-Backed Security that does not amortize, report the total par value, principal value or original face value of such security, except as provided in subparagraph (iv) below regarding certain transactions executed in an agency capacity. (iv) For a transaction, other than a TBA transaction, in an Asset-Backed Security that is executed in an agency capacity and subject to a commission charge, report the original face value of such security and the Factor
12	ENTRD_PR	Entered Price	Entered Price. For SP, percentage of par	This is the price entered by the user, expressed as a percentage of par value. Note: Entered Price is inclusive of any markup or markdown charged by the broker-dealer involved in the trade, but NOT commission (which must be reported in a separate field).	numeric(12, 6)	Decimal ***Example: 49.885***	User input	6730(d)(1)	For principal transactions, report the price, which must include the mark-up or mark-down. (However, if a price field is not available, report the contract amount and, if applicable, the accrued interest.) For agency transactions, report the price, which must exclude the commission. (However, if a price field is not available, report the contract amount and, if applicable, the accrued interest.) Report the total dollar amount of the commission.
13	PR_OVRRD_CD	Price Override Code	Indicates that the entered price is valid although it may fall outside the price reasonability check made by the System. Allow blank values. O = User Price Override F = FINRA Operations Price Override T = TRF Price Override	This field appears to indicate that the Entered Price failed FINRA's reasonability check, and which party (the user, FINRA Operations, or a Trade Reporting Facility) submitted an override. Note: For each trade that is reported, FINRA's system controls check whether each Entered Price is reasonable given recent trading in the same security, and appears to require an "override" if the price fails this check. This field is not consistently populated when the Special Price Flag has been selected.	char(1)	Text, length 1 ***Values:*** ***O = User Price Override*** ***F = FINRA Operations Price Override*** ***T = Trade Reporting Facility Price Override***	User input - MP or FINRA Ops	n/a	n/a

14	FCTR_PCT	Factor Percent	Factor amount of the trade. Allow blank values. Enter a value if the percentage other than the latest published Factor was used. 12 characters including floating decimal. Used for SP only	Factor amount used in the trade, if applicable. Note: Certain asset-backed securities amortize over time and require a "factor" that specifies a rate of amortization. If the parties to a trade agree to use a factor other than the most recent factor that is currently available, it must be reported here. Only applicable to asset-backed securities that are subject to amortization.	numeric(13,12)	Decimal ***Example: .09851569***	User input	6730(d)(2)	(ii) For a transaction, other than a TBA transaction, in an Asset-Backed Security that is subject to amortization, report the original face value of such security and, if a member uses a Factor to execute the transaction that is not the most current Factor publicly available at the Time of Execution, report the Factor used, except as provided in subparagraph (iv) below regarding certain transactions executed in an agency capacity. (iii) For a transaction in an Asset-Backed Security that does not amortize, report the total par value, principal value or original face value of such security, except as provided in subparagraph (iv) below regarding certain transactions executed in an agency capacity. (iv) For a transaction, other than a TBA transaction, in an Asset-Backed Security that is executed in an agency capacity and subject to a commission charge, report the original face value of such security and the Factor used to execute the transaction
15	SBMTG_FIRM_ID	Submitting Firm Identifier	Submitting Firm - Firm who entered the trade. The trade may be entered by the responsible party, a Give-Up firm, a firm you have an agreement with, a service bureau or TRF. This field is generated based on how it was received (what line)	This field will identify the MPID of either the party to a trade or that of another "Give-up" firm that reports the trade on its behalf. Note: This field is normally identical to the Reporting Party ID, but will be different for cancel/corrects that are submitted by a different party.	varchar(6)	Text, length 4-5 ***Example: PFGC***	System generated	n/a	n/a
16	RPTG_PARTY_ID	Reporting Party Identifier	Reporting Party ID - The identifier of the party reporting the trade.	This field identifies the MPID of the participant reporting the trade, which could be either the executing firm or a "give up" firm that reports on the executing firm's behalf. Note: If the Give Up field is empty, then the Reporting Party ID is the participant that executed the trade.	varchar(6)	Text, length 4-5 ***Example: ACSC***	Can be either	n/a	n/a
17	RPTG_PARTY_GVP_ID	Reporting Party Give-UP Identifier	Reporting side give-up firm MPID. This field is optional	If populated, this field identifies the executing party to a trade when a "Give Up" firm reported on its behalf. Note: This field may be blank, in cases that no Give-Up occurred. If blank, the Reporting Party ID indicates the MPID of the executing party that reported the trade.	varchar(6)	Text, length 4-5 ***Example: PATO***	User input	6730(c)(9)	Each TRACE trade report shall contain the following information: Reporting side executing broker as "give-up" (if any);
18	CNTRA_PARTY_ID	Contra Party Identifier	Contra Party ID - The identifier of the contra party in the trade.	This field identifies the MPID of the "other" side of the trade, from the perspective of the Reporting Party. Note: If the contra party was another dealer, that dealer's MPID will be identified here. "C" denotes that the contra party was a non-dealer customer.	varchar(6)	Text, length 4-5 or "C" for customer ***Example: C***	User input	6730(c)(6)	Each TRACE trade report shall contain the following information: Contra-party's identifier;

19	CNTRA_PARTY_GVP_ID	Contra Party Give-UP Identifier	Contra side give-up firm MPID. This field is optional	Contra side give-up firm MPID. If populated, this field identifies the executing party to a trade when another participant reported on its behalf. In this case, the reporting participant will be identified in the Contra Party Identifier field. This field will only be populated for "Locked-In" trades. See the field description for LCKD_IN_FL.	varchar(6)	Text, length 4-5 ***Example: PATO***	User input	6730(c)(10)	Each TRACE trade report shall contain the following information: Contra side Introducing Broker in case of "give-up" trade;
20	RPTG_CPCTY_CD	Reporting Capacity Code	Reporting Capacity. This field is used to report the trading capacity of the Reporting Party on a trade. P = Principal A = Agency R = Riskless Principal	This field indicates the trading capacity of the Reporting Party. Note: Participants can execute trades using securities that are held in inventory (principal) or by facilitating customer trades as their agent and charging a commission. Currently, participants are required to report riskless principal transactions as "P".	char(1)	Text, length 1 ***Values:*** ***P = Principal*** ***A = Agency*** ***R = Riskless Principal (possible value per FINRA data dictionary)***	User input	6730(c)(7)	Each TRACE trade report shall contain the following information: Capacity — Principal or Agent (with riskless principal reported as principal);
21	CNTRA_CPCTY_CD	Contra Capacity Code	Contra Capacity. This field is used to report the trading capacity of the Contra firm. Allows blank values. P = Principal A = Agency R = Riskless Principal	Contra Capacity. This field is used to report the trading capacity of the Contra participant. Note: This field will only be populated for "Locked-In" trades. See the description for the Locked In Flag field.	char(1)	Text, length 1 ***Values:*** ***P = Principal*** ***A = Agency*** ***R = Riskless Principal (possible value per FINRA data dictionary)***	User input	n/a	n/a
22	LCKD_IN_FL	Locked In Flag	Loicked-in Indecator - Set by the client to indicate if the trade being sent is Locked in or not. Values: Y or blank value	This field indicates whether the trade was reported as a "Locked-In" trade, which is a dealer to dealer trade reported by a single reporting participant, often one of the dealers. Note: Alternative Trading Systems have the ability to match buy and sell orders, and create “locked-in” executions ready for settlement that require no further comparison by the trading parties. In such transactions, a single participant reports the trade, indicated in both the Reporting Party Give-Up Identifier and the Contra Party Identifier fields. Further, when this flag is selected, one or both of the Give-Up Identifier fields will be populated.	char(1)	Text, length 1 ***Values:*** ***Y = Locked-in Trade*** ***Blank = not a Locked-in Trade***	User input	n/a	n/a

23	TRD_MDFR_LATE_CD	Trade Modifier Late Code	System Trade Modifier – Time Modifiers T – Form T U – Extended hours reported late Z – Regular market hours reported late	This field specifies the circumstances in which a trade was reported late, including whether the trade was reported after regular market hours (between 5:15 and 6:30pm). Note: FINRA calculates market aggregate statistics at 5:15, so any trades reported between 5:15 and 6:30pm are not included in the calculation of published high, low and last sale prices for each security. Values "T" and "U" denote such transactions in this field.	char(1)	Text, length 1 ***Values:*** ***T – Trade reported between 5:15 and 6:30pm and not late*** ***U – Trade reported between 5:15 and 6:30pm and late*** ***Z – Trade reported late and during normal market hours (between 8:00am and 5:15pm)***	System generated	6730(a); 6730(c)(13)	A member must report a transaction in a TRACE-Eligible Security within 15 minutes of the Time of Execution, except as otherwise specifically provided below, or the transaction report will be "late." A member must transmit the report to TRACE during TRACE System Hours. Transactions executed on a business day at or after 12:00:00 a.m. Eastern Time through 7:59:59 a.m. Eastern Time must be reported the same day no later than 15 minutes after the TRACE system opens. Transactions executed on a business day at or after 8:00:00 a.m. Eastern Time through 6:29:59 p.m. Eastern Time (standard TRACE System Hours) must be reported within 15 minutes of the Time of Execution, except as provided in paragraph (a)(1)(C) below. Transactions executed on a business day less than 15 minutes before 6:30:00 p.m. Eastern Time must be reported no later than 15 minutes after the TRACE system opens the next business day (T + 1), and if reported on T + 1, designated "as/of" and include the date of execution. Transactions executed on a business day at or
24	TRD_MDFR_SRO_CD	Trade Modifier Self Regulatory Organization Code	User Trade Modifier – SRO. For Fixed Income (SP): O – Specified Pool Transaction N – Stipulation Transaction D – Dollar Roll w/o Stipulation L – Stipulated Dollar Roll W – Average Price Trade	This field is used to indicate special situations associated with securitized product trades. See user guide for an explanation of these types of transactions.	char(1)	Text, length 1 ***Values:*** ***O – Specified Pool Transaction*** ***N – Stipulation Transaction*** ***D – Dollar Roll w/o Stipulation*** ***L – Stipulated Dollar Roll***	System-generated (according to TRACE participant user guides)	6730(c)(13); 6730(d)(4)(C); 6730(d)(4)(B)	Each TRACE trade report shall contain the following information: If the price of the transaction is determined using a weighted average price method, select the modifier, ".w."

25	PBLSH_FL	Publish Flag	Publish Indicator - Indicates if trade report should be reported to the Tape (e.g. disseminated). Values: Y or N	This field indicates whether the trade report is subject to dissemination (published to the public and FINRA's data customers).	char(1)	Text, length 1 ***Values:*** ***Y = Trade is disseminated*** ***N = Trade is not disseminated***	System generated	6750	FINRA will disseminate information on all transactions in TRACE-Eligible Securities immediately upon receipt of the transaction report, except as provided below. FINRA will not disseminate information on a transaction in a TRACE-Eligible Security that is: (1) effected pursuant to Securities Act Rule 144A; (2) a transfer of proprietary securities positions where the transfer (A) is effected in connection with a merger or direct or indirect acquisition and (B) is not in furtherance of a trading or investment strategy. Such transfers shall be reported in the manner prescribed by FINRA to denote that they are submitted for regulatory purposes and not for dissemination. Members must provide FINRA at least three business days advance written notice of their intent to use this exception, including the basis for their determination that the transfer meets the terms of the exception. Members must report such transfers on the same day as the ultimate transfer of the positions on their books and records, unless later reporting is warranted under specific circumstances; (3) a List or Fixed Offering Price Transaction or a Takedown Transaction; or (4) an Asset-Backed Security, except:
26	SLLR_CMSN_AMT	Seller Commission Amount	Seller Commission - Commission charged by the dealer. This is an amount field. This field is optional	Dollar amount of the commission charged by the reporting participant if the participant was a seller in this record. Note: If "0", no commission was charged by the seller. If the reporting participant was a buyer, the commission would be indicated in the Buyer Commission field.	numeric(8, 6)	Decimal ***Example: 1953.12***	User input	6730(c)(11)	Each TRACE trade report shall contain the following information: The commission (total dollar amount);
27	BUYER_CMSN_AMT	Buyer Commission Amount	Buyer Commission - Commission charged by the dealer. This is an amount field. This field is optional	Dollar amount of the commission charged by the reporting participant if the participant was a buyer in this record. Note: If "0", no commission was charged by the buyer. If the reporting participant was a seller, the commission would be indicated in the Buyer Commission field.	numeric(8, 6)	Decimal ***Example: 0***	User input	6730(c)(11)	Each TRACE trade report shall contain the following information: The commission (total dollar amount);
28	SLLR_FEES_AMT	Seller Fees Amount	Seller Fees - Fees charged by the dealer. This is an amount field. N/A for initial SP launch	This field appears to be all blanks, and may have been added as a placeholder pending a future change in reporting requirements. There is currently no requirement to report fees other than commission.	numeric(8, 2)	Numeric ***Example: 0***	n/a	n/a	No regulatory reporting requirement exists.
29	BUYER_FEES_AMT	Buyer Fees Amount	Buyer Fees - Fees charged by the dealer. This is an amount field. N/A for initial SP launch	This field appears to be all blanks, and may have been added as a placeholder pending a future change in reporting requirements. There is currently no requirement to report fees other than commission.	numeric(8, 2)	Numeric ***Example: 0***	n/a	n/a	No regulatory reporting requirement exists.

30	ASOF_FL	As-of Flag	As-Of Flag. Required on As-of Trades. Values: Y or blank value, or R (indicating a "Reversal Trade").	This field indicates the trade was reported after regular market hours (6:30pm ET) or late and on a subsequent day. Note: "R" indicates a reversal record, which is a cancellation of a trade that occurred more than 20 days earlier (T-20).	char(1)	Text, length 1 ***Values:*** ***Y = As-of Trade*** ***R = Reversal Trade*** ***Empty = neither***	User input	6730(a)	Various. See rule
31	RVRSL_FL	Reversal Flag	Reversal Flag field. Values: R - reversal null - not a reversal	This field indicates whether or not the record is a reversal (cancellation) of a trade that occurred more than 20 days prior to the trade date (T-20).	char(1)	Text, length 1 ***Values*** ***R = reversal*** ***Empty = not a reversal***	User input	n/a	n/a
32	SPCL_PR_FL	Special Price Flag	Special Price - Set to indicate when a trade price is away from the actual market price. Y or Blank	This field is used by participants to indicate the trade price is away from the actual market price. Note: May contain blanks. TRACE input controls reject trades entered with prices that are outside of an acceptable price band, and selection of this modifier is necessary for the trade report to be accepted.	char(1)	Text, length 1 ***Values:*** ***Y = Special Price*** ***Empty = not a Special Price situation***	User input	6730(d)(4)(A)	If a transaction is not executed at a price that reflects the current market price, select the modifier, "special price." When the reporting method chosen provides a "special price memo" field, state why the transaction was executed at other than the current market price in the "special price memo" field (e.g., when a debt security is traded conventionally and in the current market does not have a due bill and/or a warrant attached, but in the transaction to be reported is traded with a due bill and/or warrant attached, the price of the transaction is a "special price"). Do not select the modifier, "special price," where the transaction price is determined using a weighted average price.
33	SPCL_PR_MEMO_TX	Special Price Memo Text	Special Price Memo - Used when Special Price flag is set to "Y". Used to explain why there was a special price. The Special Memo is not disseminated. This field is optional	This field is used to explain why there was a special price on the trade that caused it to exceed market pricing for the security. Note: May contain blanks. This field is enabled and mandatory only when the Special Price flag is selected. From the sample data, it appears that FINRA does not monitor to require meaningful responses in this field.	varchar(50)	Text ***Example: This debt security was traded with a due bill and warrant attached.***	User input	6730(d)(4)(A)	If a transaction is not executed at a price that reflects the current market price, select the modifier, "special price." When the reporting method chosen provides a "special price memo" field, state why the transaction was executed at other than the current market price in the "special price memo" field (e.g., when a debt security is traded conventionally and in the current market does not have a due bill and/or a warrant attached, but in the transaction to be reported is traded with a due bill and/or warrant attached, the price of the transaction is a "special price"). Do not select the modifier, "special price," where the transaction price is determined using a weighted average price.
34	SYSTM_CNTRL_NB	System Control Number	System Control Number - Unique id assigned by the system	Identifier assigned by the system to identify and associate trade records. Note: Identifiers are unique only within each trading day, so this field must be associated with the System Control Number Date. See section 6.5.1 of the user guide for a detailed explanation of Control Numbers.	bigint	Numeric, length 10 ***Example: 1000010884***	System generated	n/a	n/a

35	SYSTM_CNTRL_DT	System Control Number Date	Date the System Control Number was assigned by the system	Date associated with this record's System Control Number identifier (usually the date of this record's trade). Note: For correction records that indicate the original, uncorrected trade, this field identifies the date of the original trade record. Control Number identifiers are unique only within each trading day, so the date is necessary when searching across time.	date YYYY-MM-DD	Date; YYYY-MM-DD ***Example: 2014-03-14***	System generated	n/a	n/a
36	PREV_TRD_CNTRL_NB	Previous Trade Control Number	Control Number of previous Trade in the chain. Value in this field will always point to the original trade's control ID.	For trades that have been corrected, this field indicates the control number of the previous trade report, whether it was the original trade or the most recent correction. See section 6.5.1 of the user guide for a detailed explanation of Control Numbers.	bigint	Numeric, length 10 ***Example: 1000010883***	System generated	n/a	n/a
37	PREV_TRD_CNTRL_DT	Previous Trade Control Number Date	Date the Previous Trade Control Number was assigned by the system	Date associated with the Previous System Control Number identifier, which reflects the date the Previous Trade was reported. Note: Control Number identifiers are unique only within each trading day, so the date is necessary when searching across time.	date YYYY-MM-DD	Date; YYYY-MM-DD ***Example: 2014-03-14***	System generated	n/a	n/a
38	FIRST_TRD_CNTRL_NB	First Trade Control Number	Control Number of First Trade in the chain Value in this field will always point to itself.	In the event of one or more trade corrections, this field displays the control number of the first (earliest) trade entry. Note: If only one correction has occurred, this field will equal the Previous Trade Control Number. If no corrections have occurred, this field will always equal the System Control Number field.	bigint	Numeric, length 10 ***Example: 1000010883***	System generated	n/a	n/a
39	FIRST_TRD_CNTRL_DT	First Trade Control Number Date	Date the First Trade Control Number was assigned by the system	Date associated with the First System Control Number identifier. Note: These identifiers are unique only within each trading day, so the date is necessary when searching across time.	date YYYY-MM-DD	Date; YYYY-MM-DD ***Example: 2014-03-14***	System generated	n/a	n/a
40	TRD_ST_CD	Trade Status Code	Trade status. T - Newly Reported Trade Y - Reversal (Historical Trade Cancels) X - Cancelled C - Correction (cancelled portion) R - Correction (new trade protion) Values TBD	This field indicates the status of this trade report, and for corrections, whether this record contains the new (corrected) or prior (cancelled) trade data. Note: When a trade is corrected, the system creates two records ("C" and "R") to show the original trade and the corrected trade. These two records share the same Message Sequence Number. "Y" (Reversal) is used to cancel trades that were executed more than 20 days ago.	char(1)	Text, length 1 ***Values:*** ***T = Newly Reported Trade*** ***Y = Reversal (Historical Trade Cancels)*** ***X = Cancelled*** ***C = Correction (cancelled portion)*** ***R = Correction (new trade portion)***	System generated	n/a	n/a
41	HIGH_PR	High Price	Current High Price. NULL where ASOF = Y	Current High Price indicates the highest price reported for the same security on the same trading day (up until the time of the record's trade). If a record establishes a new High Price for the day, this field will equal the record's price. Note: Market aggregate data fields are not populated on the ABSCMO Trade file. See section 6.5.17 of the user guide for an explanation of market aggregate data fields.	numeric(12, 6)	Decimal ***Example: 49.885***	System generated	n/a	n/a

42	HIGH_CNTRL_NB	High Control Number	Control Number of Current High NULL where ASOF = Y	Identifier for the trade that set the Current High Price (see above field). If multiple trades were executed at the same high price, the system returns the control number of the most recent trade. Note: Market aggregate data fields are not populated on the ABSCMO Trade file. See section 6.5.17 of the user guide for an explanation of market aggregate data fields.	bigint	Numeric, length 10 ***Example: 1000010884***	System generated	n/a	n/a
43	LOW_PR	Low Price	Current Low Price. NULL where ASOF = Y	Identifier for the trade that set the Current Low Price. If multiple trades were executed at the same low price, the system returns the control number of the most recent trade. Note: Market aggregate data fields are not populated on the ABSCMO Trade file. See section 6.5.17 of the user guide for an explanation of market aggregate data fields.	numeric(12, 6)	Decimal ***Example: 49.885***	System generated	n/a	n/a
44	LOW_CNTRL_NB	Low Control Number	Control Number of Current Low NULL where ASOF = Y	Identifier for the trade that set the Current Low Price (see above field). If multiple trades were executed at the same low price, the system returns the control number of the most recent trade. Note: Market aggregate data fields are not populated on the ABSCMO Trade file. See section 6.5.17 of the user guide for an explanation of market aggregate data fields.	bigint	Numeric, length 10 ***Example: 1000010884***	System generated	n/a	n/a
45	LSALE_PR	Last Sale Price	Current Last Sale NULL where ASOF = Y	Current Last Sale indicates the most recent price reported for the same security on the same trading day at the time of this trade report. This is normally the same price as the entered price for each record, so this field is of minimal value. Note: Market aggregate data fields are not populated on the ABSCMO Trade file. See section 6.5.17 of the user guide for an explanation of market aggregate data fields.	numeric(12, 6)	Decimal ***Example: 49.885***	System generated	n/a	n/a
46	LSALE_CNTRL_NB	Last Sale Control Number	Control Number of Current Last Sale NULL where ASOF = Y	Identifier for the most recent trade (see above field). See section 6.5.17 of the user guide for an explanation of market aggregate data fields.	bigint	Numeric, length 10 ***Example: 1000010884***	System generated	n/a	n/a

Svar från SEC 190723.pdf

Från: Ulrika Lindh
Till: Lindh Ulrika
Ärende: VB: Sweden - Mark Bishop et al (JuBC2017/00935, JuBC2018.00359; JuBC2019/00339)
Datum: onsdag den 21 augusti 2019 14:02:22
Bilagor: image001.png
mpidlist.txt

Från: Tornatore, Tonia J. <TornatoreT@SEC.GOV>
Skickat: den 23 juli 2019 22:52
Till: Asplund Jerker <Jerker.Asplund@ekobrottsmyndigheten.se>
Kopia: Stetler Gunnar <gunnar.stetler@ekobrottsmyndigheten.se>; Ulrika Lindh <ulrika.lindh@skatteverket.se>
Ämne: RE: Sweden - Mark Bishop et al (JuBC2017/00935, JuBC2018.00359; JuBC2019/00339)

Jerker, please find responses below. After you review, please advise if you'd like to schedule a call with the MBS experts.

1. In general, is it voluntarily for participants in the transactions to send you the information regarding price and quantities, or are participants required to send the information to the SEC? I.e., does the material that you sent us contain all transactions, or could there have been other transactions that has not been reported?
   [Koster] In general, it is required for participants to report the transactions to a third-party (FINRA). The TRACE data should be complete for US market participants. The Blue Sheet data is not complete (see more below).

2. In the material that you sent us the 11th of July, we seem to miss excel files for the following MBS. Do we know why this seems to be the case?
   - MSAC 2003-NC8 B3 Cusip 61746RDS7
   - GSAA 2006 6 AF7 Cusip 362334MZ48

   [Koster] There were a few CUSIPs that did not have trades associated with them. We should discuss possible missing data after we send the next batch of Blue Sheet data.

3. When we compare the excel file in your first answer the 27th of June 2019 from the SEC, called "Response from SEC – regulatory trace 17 cusips" with the excel files for each MBS in your reply the 11th of July, there seems to be transactions missing in the files sent the 11th of July. Do we know why this seems to be the case?
   [Koster] Credit Suisse was tardy in responding to our request. We should be able to send their data to you soon. Technically, the period of time that firms are required to provide Blue Sheet data has lapsed. If we request the data within 3 years, firms are required to provide the data. Although, so far as we can tell, all firms that we requested data from that are still in business either responded with the data or asked for an extension (as in the case of Credit Suisse).

4. What is the reason for the difference in prize and quantity between the MBS in your "Response from SEC – regulatory trace 17 cusips" from the 27th of June 2019 and

th

your reply the 11 of July 2019 in the example below.

- In your response the 11th of July 2019, the price for the transaction the 7th of August 2013 regarding SAIL 2006 4 A5 cusip 86360WAE21 (Excel file 111000008536 SEC000000009545 dkoster 07082019205043.xlsx) **was 39,5/40,5 and referred to 40 000 000** in your answer the 11th of July. However, your answer the 27th of June ("Response from SEC – regulatory trace 17 cusips") had the prize **19,75/20,25 and referred to 20 000 000**. Which is the correct prize and quantity?
  [Canjels] In general, Trace is more reliable than Bluesheets. In addition, an evaluation of the price patterns leads us to conclude that the TRACE information is correct. We don't know why the Bluesheet data shows different prices and quantities.

111000008536 SEC000000009545 dkoster 07082019205043.xlsx

HUDSON AMERICAS L.P.	08/07/2013	130807	40 000 000	39,5	B
WHITEBOX ADVISORS LLC	08/07/2013	130807	40 000 000	40,5	S

Response from SEC – regulatory trace 17 cusips.xlsx

2013-08-07 17:02	2013-08-07 16:54	12-aug-13	86360WAE2	S	20000000	20,25
2013-08-07 17:01	2013-08-07 16:54	12-aug-13	86360WAE2	B	20000000	19,75

5. In your answer the 27th of June 2019, "Response from SEC – regulatory trace 17 cusips", there are three transactions regarding SAIL 2006 4 A5 cusip 86360WAE21 with trade date 19th of October 2012. One of these transactions has the prize marked as "User prize override" (O). What does this mean? Is the transaction completed? Which were parties to the transaction? Is the prize correct? Why are not these transactions included in the excel file regarding SAIL in the answer from the 11th of July?
   [Koster] I'm not sure exactly what that means or what the full implications are. I suggest we consult with FINRA, the system owner. That's something we can do separately and then report back to you. Or, we can try to arrange a call with all of us on the phone so you can ask follow up questions in real time. It appears to be a trade where Bank of America (BOFA) is selling to ICAP Corporates (GARB) (see attached MPID list). The trade price is so far away from the market that it's possible it was a bad report, but I suggest we consult some experts in TRACE reporting to help us understand what we're seeing. If the trade was reported in error, that might explain why Bank of America didn't send the Blue Sheet data to us, but that's just speculation until we have more information. Please let us know how you'd like to proceed.

Response from SEC – regulatory trace 17 cusips.xlsx

2012-10-19 16:42	24-okt-12	3501155	86360WAE2	S	20492000	13,03125	
2012-10-19 16:47	24-okt-12	3501155	86360WAE2	S	15000000	12,875	
2012-10-19 16:49	24-okt-12	3501155	86360WAE2	S	32286000	80	O

Svar från SEC 190723.pdf

From: Asplund Jerker <Jerker.Asplund@ekobrottsmyndigheten.se>
Sent: Friday, July 19, 2019 10:43 AM
To: Tornatore, Tonia J. <TornatoreT@SEC.GOV>
Cc: Stetler Gunnar <gunnar.stetler@ekobrottsmyndigheten.se>
Subject: VB: Sweden - Mark Bishop et al (JuBC2017/00935, JuBC2018.00359; JuBC2019/00339)

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Dear Tonia,

Ulrika has gone through the material briefly, and we have had a brief discussion. Next week, hopefully Lars-Inge Johansson will be able to look at the material as well, otherwise he will be back for a broader analyse the week after next week. So far, the material seems to be very interesting to the investigation. We have a few questions, and we would be most grateful if it is possible to get informal answers to them:

1. In general, is it voluntarily for participants in the transactions to send you the information regarding price and quantities, or are participants required to send the information to the SEC? I.e., does the material that you sent us contain all transactions, or could there have been other transactions that has not been reported?

2. In the material that you sent us the 11th of July, we seem to miss excel files for the following MBS. Do we know why this seems to be the case?
    - MSAC 2003-NC8 B3 Cusip 61746RDS7
    - GSAA 2006 6 AF7 Cusip 362334MZ48

3. When we compare the excel file in your first answer the 27th of June 2019 from the SEC, called “Response from SEC – regulatory trace 17 cusips” with the excel files for each MBS in your reply the 11th of July, there seems to be transactions missing in the files sent the 11th of July. Do we know why this seems to be the case?

4. What is the reason for the difference in prize and quantity between the MBS in your “Response from SEC – regulatory trace 17 cusips” from the 27th of June 2019 and your reply the 11th of July 2019 in the example below.

    - In your response the 11th of July 2019, the price for the transaction the 7th of August 2013 regarding SAIL 2006 4 A5 cusip 86360WAE21 (Excel file 111000008536 SEC000000009545 dkoster 07082019205043.xlsx) **was 39,5/40,5 and referred to 40 000 000** in your answer the 11th of July. However, your answer the 27th of June (”Response from SEC – regulatory trace 17 cusips”) had the prize **19,75/20,25 and referred to 20 000 000**. Which is the correct prize and quantity?

111000008536 SEC000000009545 dkoster 07082019205043.xlsx

HUDSON AMERICAS L.P.	08/07/2013	130807	40 000 000	39,5	B
WHITEBOX ADVISORS LLC	08/07/2013	130807	40 000 000	40,5	S

Response from SEC – regulatory trace 17 cusips.xlsx

2013-08-07 17:02	2013-08-07 16:54	12-aug-13	86360WAE2	S	20000000	20,25
2013-08-07 17:01	2013-08-07 16:54	12-aug-13	86360WAE2	B	20000000	19,75

5. In your answer the 27th of June 2019, "Response from SEC – regulatory trace 17 cusips", there are three transactions regarding SAIL 2006 4 A5 cusip 86360WAE21 with trade date 19th of October 2012. One of these transactions has the prize marked as "User prize override" (O). What does this mean? Is the transaction completed? Which were parties to the transaction? Is the prize correct? Why are not these transactions included in the excel file regarding SAIL in the answer from the 11th of July?

Response from SEC – regulatory trace 17 cusips.xlsx

2012-10-19 16:42	24-okt-12	3501155	86360WAE2	S	20492000	13,03125	
2012-10-19 16:47	24-okt-12	3501155	86360WAE2	S	15000000	12,875	
2012-10-19 16:49	24-okt-12	3501155	86360WAE2	S	32286000	80	O

We are very grateful for all your help, and we hope that we will be able to have further contacts regarding the material with you next week!

Kind regards

Jerker Asplund
Senior Public Prosecutor

Swedish Economic Crime Authority
Hantverkargatan 15, Box 820, 101 36 STOCKHOLM Phone 0046 10 562 97 24,Cellphone 0046 722 45 79 50

Jerker.asplund@ekobrottsmyndigheten.se

Svar från SEC 190809.pdf

Från: Johansson Lars-Inge
Till: EBM Sthlm Kansli EK3
Ärende: VB: U.S. SEC Response to Request for Assistance
Datum: fredag den 9 augusti 2019 10:20:28
Bilagor: image001.png
image004.png

Mailkonversation mellan Lars-Inge Johansson, EBM, och Daniel Koster på SEC i USA för diarieföring i EB 4689-16.

/L-I

Från: Johansson Lars-Inge
Skickat: fredag den 9 augusti 2019 07:06
Till: 'Koster, Daniel' <KosterD@SEC.GOV>
Ämne: SV: U.S. SEC Response to Request for Assistance

Yes I got it. I will analyze it and compare it with other information.

Thanks.

-Lars-Inge

Från: Koster, Daniel <KosterD@SEC.GOV>
Skickat: torsdag den 8 augusti 2019 20:34
Till: Johansson Lars-Inge <Lars-Inge.Johansson@ekobrottsmyndigheten.se>
Ämne: RE: U.S. SEC Response to Request for Assistance

Lars,

Our Department of Justice reported that they sent the data to your central authority today…

-Dan

Daniel L. Koster, CPA, CRCP
Data Analytics Specialist
Complex Financial Instruments Unit
Enforcement Division
U.S. Securities and Exchange Commission
1617 JFK Blvd., Suite 520
Philadelphia, PA 19103

Tel: (215) 597-3543
Mobile: (215) 834-0630
Fax: (215) 597-5885
Email: KosterD@sec.gov
http://www.sec.gov/

From: Johansson Lars-Inge <Lars-Inge.Johansson@ekobrottsmyndigheten.se>
Sent: Wednesday, August 7, 2019 10:12 AM
To: Koster, Daniel <KosterD@SEC.GOV>
Subject: SV: U.S. SEC Response to Request for Assistance

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Very good. We do so.

Kind regards,

Lars-Inge

Från: Koster, Daniel <KosterD@SEC.GOV>
Skickat: onsdag den 7 augusti 2019 16:02
Till: Johansson Lars-Inge <Lars-Inge.Johansson@ekobrottsmyndigheten.se>
Ämne: RE: U.S. SEC Response to Request for Assistance

Excellent. On the new Blue Sheet data, please check with your central authority to see if they have it and I will check with our Department of Justice to see if they have sent it over to your central authority.

FINRA has responded that they checked on the trade marked as 80 and they do not think it was an erroneous report. Meaning, they think there actually was a trade executed at 80 even though the market appeared to be 12 or 13 at the time. I cannot explain why we did not receive any Blue Sheet data for that trade, though. We may need to dig further to get answers. Do you know anything about that trade that might explain why it is so odd?

Mizuho responded that their report to TRACE on that trade was correct but their report to the Blue Sheet system was incorrect. So, the buy of 20,000,000 at 19.75 and the sell of 20,000,000 at 20.25 were correct.

I will hold off on scheduling a call until you have an opportunity to look at the new Blue Sheet data and contemplate the FINRA and Mizuho responses. You can let me know how you want to proceed once you've done so.

Kind regards,

-Dan

Daniel L. Koster, CPA, CRCP
Data Analytics Specialist

Tel: (215) 597-3543
Mobile: (215) 834-0630

Svar från SEC 190809.pdf

Complex Financial Instruments Unit
Enforcement Division
U.S. Securities and Exchange Commission
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Email: KosterD@sec.gov
http://www.sec.gov/

From: Johansson Lars-Inge <Lars-Inge.Johansson@ekobrottsmyndigheten.se>
Sent: Wednesday, August 7, 2019 7:55 AM
To: Koster, Daniel <KosterD@SEC.GOV>
Subject: SV: U.S. SEC Response to Request for Assistance

CAUTION: This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Hello Dan.

I'm back today from my vacation.

It is true that we have two outstanding issues left and they are as you describe them.

I have not yet received your new material.

I will analyze the information we have received from you and compare it with the other information we have in the investigation. This will take a few days. Then it is possible that we have further questions.

If you want to have a phone call with me before then, it is ok today until 10 AM eastern time US or on Friday until the same time.

My phone number is +46706249307.

I want to take this opportunity to thank you for all the help we receive from you.

Sincerely
Lars-Inge Johansson
Forensic Accountant
Swedish Economic Crime Authority

Från: Koster, Daniel <KosterD@SEC.GOV>
Skickat: onsdag den 31 juli 2019 17:33
Till: Johansson Lars-Inge <Lars-Inge.Johansson@ekobrottsmyndigheten.se>
Ämne: U.S. SEC Response to Request for Assistance

Hi Lars,

My colleague, Toni Tornatore, suggested I reach out to you. For your information, I just sent Toni several files with additional Blue Sheet data that we obtained since we sent the first batch to you. They should go to our Department of Justice shortly and then make their way to you.

According to my notes, there are still two outstanding questions from you: 1) whether the August 7, 2013 trades in 86360WAE2 in the Blue Sheet data that were reported at twice the price and quantity as the TRACE data were reported in error; and 2) whether the trade reported in TRACE at 80 in the same CUSIP on October 19, 2012 was reported in error. For the former, I sent an inquiry to the brokerage firm that produced the Blue Sheet data, Mizuho. For the latter, I sent an inquiry to FINRA to help determine an explanation for the odd price. I will let you know when I hear back from them.

I suggest we arrange for a phone call next week. Please let me know what date and times work for you. In the meantime, please let me know if you have any other questions or issues.

Thanks!

-Dan

Daniel L. Koster, CPA, CRCP
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EKOBROTTSMYNDIGHETEN
2:a kammaren Stockholm
Ekorevisor Lars-Inge Johansson

Datum
2019-09-03

Diarienr (åberopas vid korresp)
EB 4689-16

PM avseende material erhållet från SEC, USA.

Den som handlar med MBS.er i USA skall löpande rapportera in uppgifter om köp och försäljningar till U.S Securities and Exchange Commission (SEC) vilket är USA.s finansinspektion. EBM erhöll under juni och juli 2019 SEC.s registrerade uppgifter i form av Excel-filer. Uppgifterna avser handeln med de 17 MBS.er som omfattas av EBM.s utredning och har skickats till EBM vid tre olika tillfällen. De består av ett antal Excel filer med uppgifter om köp och försäljningar av respektive MBS.

I slutet av juni 2019 erhölls en fil med namnet "Response from SEC –regulatory trace 17 cusips.xlsx". Den avser information om köp och försäljningar under perioden 2012-02-06 – 2019-06-03 för de 17 MBS.er som utredningen avser Uppgifterna i filen är fördelade på 58 kolumner. Av denna fil framgår inte vilken kund som köpt eller sålt utan enbart det ombud i form av en bank eller liknande som gjort inrapporteringen.

Under början av juli 2019 erhölls 15 Excel-filer benämnda "Blue Sheets" avseende rapporterad handel under 2012 och 2013 med 15 av de 17 MBS.erna. För de övriga två – MSAC och GSAA - saknades rapporter om handel under dessa två år. I detta material anges inte bara det handlande ombudet utan även dennes kund med sin tax id och namn. Uppgifterna i Blue Sheet-filerna är fördelade på 40 kolumner.

I slutet av juli 2019 erhölls komplettering i form av sex nya Blue Sheets-filer där ytterligare uppgifter inkommit till SEC för sex av MBS.erna.

En utskrift av hela innehållet i Excel filerna skulle göra det materialet mycket svårläst. Jag har istället skrivit ut de kolumner i respektive fil som jag bedömt vara mest intressanta för att se till vilka priser, belopp och tidpunkter köp och försäljningar har skett samt vilka som gjort dessa.

För att rätt förstå uppgifterna kommer här förklaringar från SEC över respektive kolumn som finns medtagna i filen "Response from SEC –regulatory trace 17 cusips.xlsx" :

TRD_EXCTN_TS – Actual day and time that the trade was executed (the time at which all important terms of the trade were agreed to by both parties).

TRD_STHLM_DT – This field indicates the trade's settlement date, which is the future date (agreed by both parties at the time of execution) on which terms of the trade will be met, including delivery of payment and transfer of securities

CUSIP-ID – CUSIP is an industry-standard security identifier assigned by Standard & Poors for most securities.

RPT_SIDE_CD - This field indicates which side of the transaction (buyer or seller) the Reporting Party was on.

ENTRD_VOL_QT - For mortgage-backed securities and asset-backed securities that are not subject to amortization, the quantity will be the par value of the security. Asset-backed securities that amortize are reported as the actual dollar value of the security traded, reflecting any amortization that has occurred since issuance.

ENTRD_PR - This is the price entered by the user, expressed as a percentage of par value.

SBMTG_FIRM_ID - Submitting Firm - Firm who entered the trade. The trade may be entered by the responsible party, a Give-Up firm, a firm you have an agreement with, a service bureau or TRF. This field is generated based on how it was received (what line)

RPTG_PARTY_ID - Reporting Party ID - The identifier of the party reporting the trade.

RPTG_PARTY_GVP-ID - If populated, this field identifies the executing party to a trade when a "Give Up" firm reported on its behalf.

CNTRA_PARTY_ID - Contra Party ID - The identifier of the contra party in the trade.

I filerna benämnda "Blue Sheet" anges köpare och säljare med sin tax id. Av handlingar som erhållits genom rättshjälp från diverse banker i USA framgår tax id för ABS Investment Group LLC, A.B.S.I.G LLC och för American RMBS Equity Fund IV.

Tax id 27 1771079 tillhör American RMBS Equity Fund IV LP.

Tax id 26 2119490 tillhör ABS Investment Group LLC.

Tax id 26 2582511 tillhör A.B.S.I.G. LLC.

Daniel Kostner, Data Analytics Specialist hos SEC, har på vår förfrågan uppgivet (2019-08-27) att generellt skall Tax Id avse den part för vilken köpet eller försäljningen gjorts men ibland tillhör den angivna Tax id.en en part (entity) som utför affären för en kunds eller klients räkning.

I Blue Sheet-filerna finns medtaget en kolumn med rubriken "Trade Date Original". Uppgifterna i denna kolumn avser Trade Date och inte Settlement date. (När affären gjordes upp, inte när den verkställdes.)

Övriga kolumner i utdragen från Bue Sheet utgörs av

Quantity – avser antal original face

Price – överenskommet pris vid köpet eller försäljningen

Buy/Sell Code – om datan avser köparen eller säljaren

Symbol – Vilket värdepapper som köpts eller sålts

Jag har delat upp materialet från SEC på respektive MBS. Av nedanstående tabell framgår för vilka MBS.er som material erhållits från SEC.

	Instrumentnamn	ISIN kod	Bilaga i PM	Regulatory trace 17 cusips SEC 190628	Blue Sheet SEC 190708	Blue Sheet SEC 190731
1	CMLT1 2005-WF1 M1	US17307GPG72	C	X	X	
2	CWL 2005-16 MV1	US126670PH55	D	X	X	X
3	GSAMP 2003-HE1 M2	US36228FSV93	E	X	X	
4	PCHLT 2005-4 1A2	US71085PDD24	F	X	X	
5	LMT 2005-2 1A4	US52520MBR34	G	X	X	X
6	MARM 2005-06 4A2	US576433A632	H	X	X	
7	CFAB 2003-5 1B	US161546GP55	I	X	X	
8	CWALT 2005-28CB 1A11	US12667GE829	J	X	X	X
9	INDX 2006-AR4 A1B	US45661EAW49	K	X	X	X
10	BOAMS MTGE 2004-L B1	US05949AZH66	L	X	X	
11	MSAC 2003-NC8 B3	US61746RDS76	M	X		
12	LMT 2008-6 B1	US52525FAH64	N	X	X	
13	BAFC FDG 2004-1 DL-FR	US05946XGH08	O	X	X	X
14	FNLC 2005-3 M2	US32113JBV61	P	X	X	X
15	GSAA 2006-6 AF7	US362334MZ48	Q	X		
16	SAIL 2006-4 A5	US86360WAE21	R	X	X	
17	MANA 2007-A2 A3D	US59024FAG90	S	X	X	

Jag har innan utskrift sorterat innehållet i filerna i kronologisk ordning. Om flera affärer i en MBS har gjorts samma dag framgår det inte i vilken ordning dessa gjorts varför de mycket väl kan stå i fel kronologisk ordning.

Det är vanligt att det finns flera registrerade poster för ett köp eller försäljning.

B i l a g o r
Bankhandlingar som anger Tax Id för American RMBS Equity Fund IV LP, ABS Investment Group LLC och A.B.S.I.G. LLC.

Förklaring från FINRA (erhållet från SEC) till kolumnrubriker m.m. avseende Blue Sheet.

Lars-Inge Johansson
Ekorevisor

PM avseende material erhållet från SEC.pdf

CMLTI

Filer från SEC:

- Regulatory trace 17 cusips från SEC 2019-06-28
- Bluesheet från SEC 2019-07-08

PM avseende material erhållet från SEC.pdf

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2012-08-08 10:24	15-aug-12	17307GPG7	B	925000	57,5	ARGA	ARGA		C
2012-08-08 10:27	15-aug-12	17307GPG7	S	925000	58,5	ARGA	ARGA		C
2013-01-24 12:24	30-jan-13	17307GPG7	B	925000	74,3125	ARGA	ARGA		C
2013-01-24 12:24	30-jan-13	17307GPG7	S	925000	78	ARGA	ARGA		C
2014-09-25 15:33	30-sep-14	17307GPG7	B	1250000	90,09375	LNKS	LNKS		C
2014-09-25 16:38	30-sep-14	17307GPG7	S	1250000	90,625	LNKS	LNKS		C
2014-09-25 17:28	30-sep-14	17307GPG7	S	925000	90,5	STLZ	STLZ		C
2014-09-25 17:32	30-sep-14	17307GPG7	B	925000	90,25	STLZ	STLZ		C
2014-11-14 17:12	19-nov-14	17307GPG7	B	2175000	93,25	STFL	STFL		C
2014-11-17 09:55	20-nov-14	17307GPG7	S	2175000	94,25	STFL	STFL		C
2015-06-22 16:47	25-jun-15	17307GPG7	B	710000	91,5	STFL	STFL		C
2015-06-23 10:40	26-jun-15	17307GPG7	B	710000	94,75	RBCD	RBCD		STFL
2015-06-23 10:48	26-jun-15	17307GPG7	S	710000	94,75	STFL	STFL		RBCD
2015-06-23 15:24	26-jun-15	17307GPG7	S	25000	98	RBCD	RBCD		C
2015-06-23 15:37	26-jun-15	17307GPG7	S	25000	98	RBCD	RBCD		C
2015-06-23 16:54	26-jun-15	17307GPG7	S	25000	98	RBCD	RBCD		C
2015-06-24 12:36	29-jun-15	17307GPG7	S	25000	97,75	RBCD	RBCD		C
2015-06-24 12:53	29-jun-15	17307GPG7	S	25000	98	RBCD	RBCD		C
2015-06-25 10:23	30-jun-15	17307GPG7	S	25000	97,35	RBCD	RBCD		C
2015-06-25 11:12	30-jun-15	17307GPG7	S	25000	98	RBCD	RBCD		C
2015-06-25 11:12	30-jun-15	17307GPG7	S	25000	98	RBCD	RBCD		C
2015-06-25 11:12	30-jun-15	17307GPG7	S	45000	98	RBCD	RBCD		C
2015-06-25 11:16	30-jun-15	17307GPG7	S	25000	98	RBCD	RBCD		C
2015-06-25 11:28	30-jun-15	17307GPG7	S	25000	98	RBCD	RBCD		C
2015-06-25 11:35	30-jun-15	17307GPG7	S	56000	98	RBCD	RBCD		C
2015-06-25 12:10	30-jun-15	17307GPG7	S	57000	98	RBCD	RBCD		C
2015-06-25 12:28	30-jun-15	17307GPG7	S	25000	98	RBCD	RBCD		C
2015-06-25 12:30	30-jun-15	17307GPG7	S	25000	98	RBCD	RBCD		C
2015-06-25 12:30	30-jun-15	17307GPG7	S	25000	98	RBCD	RBCD		C
2015-06-25 13:46	30-jun-15	17307GPG7	S	25000	97,75	RBCD	RBCD		C
2015-06-25 13:46	30-jun-15	17307GPG7	S	25000	97,75	RBCD	RBCD		C
2015-06-25 14:43	30-jun-15	17307GPG7	S	25000	97,85	RBCD	RBCD		C

PM avseende material erhållet från SEC.pdf

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2015-06-26 11:55	30-jun-15	17307GPG7	S	25000	98	RBCD	RBCD		C
2015-06-26 11:56	30-jun-15	17307GPG7	S	25000	98	RBCD	RBCD		C
2015-06-26 14:43	30-jun-15	17307GPG7	S	51000	98	RBCD	RBCD		C
2015-06-26 14:45	01-jul-15	17307GPG7	S	51000	98	RBCD	RBCD		C
2015-12-08 08:35	11-dec-15	17307GPG7	B	2175000	94,875	STFL	STFL		C
2015-12-08 13:58	11-dec-15	17307GPG7	S	30000	99,5	RBCD	RBCD		C
2015-12-08 15:21	11-dec-15	17307GPG7	S	25000	99,5	RBCD	RBCD		C
2015-12-08 15:42	11-dec-15	17307GPG7	S	30000	99,5	RBCD	RBCD		C
2015-12-08 15:42	11-dec-15	17307GPG7	S	40000	99,5	RBCD	RBCD		C
2015-12-08 15:42	11-dec-15	17307GPG7	S	25000	99,5	RBCD	RBCD		C
2015-12-08 16:32	11-dec-15	17307GPG7	S	25000	99,5	RBCD	RBCD		C
2015-12-09 10:17	14-dec-15	17307GPG7	S	88000	99,5	RBCD	RBCD		C
2015-12-09 10:17	14-dec-15	17307GPG7	S	27000	99,5	RBCD	RBCD		C
2015-12-09 13:40	14-dec-15	17307GPG7	S	30000	99,5	RBCD	RBCD		C
2015-12-09 16:01	14-dec-15	17307GPG7	B	400000	96,5	RBCD	RBCD		STFL
2015-12-09 16:03	14-dec-15	17307GPG7	S	400000	96,5	STFL	STFL		RBCD
2015-12-14 12:38	17-dec-15	17307GPG7	S	60000	99,5	RBCD	RBCD		C
2015-12-15 11:43	18-dec-15	17307GPG7	S	25000	99,5	RBCD	RBCD		C
2015-12-17 16:14	24-dec-15	17307GPG7	S	25000	99,5	RBCD	RBCD		C
2015-12-23 13:30	29-dec-15	17307GPG7	S	25000	99	RBCD	RBCD		C
2015-12-23 13:50	29-dec-15	17307GPG7	S	25000	99	RBCD	RBCD		C
2015-12-28 09:54	31-dec-15	17307GPG7	S	29000	99,5	RBCD	RBCD		C
2015-12-28 10:10	31-dec-15	17307GPG7	S	196000	99,5	RBCD	RBCD		C
2015-12-28 12:51	31-dec-15	17307GPG7	S	500000	96,5	STFL	STFL		RBCD
2015-12-28 12:52	31-dec-15	17307GPG7	B	500000	96,5	RBCD	RBCD		STFL
2015-12-28 15:17	31-dec-15	17307GPG7	S	25000	99	RBCD	RBCD		C
2015-12-29 15:29	04-jan-16	17307GPG7	S	30000	99,25	RBCD	RBCD		C
2015-12-30 10:14	30-dec-15	17307GPG7	S	25000	99,25	RBCD	RBCD		C
2015-12-30 11:13	31-dec-15	17307GPG7	S	25000	99,5	RBCD	RBCD		C
2015-12-30 11:25	31-dec-15	17307GPG7	S	30000	99,5	RBCD	RBCD		C
2015-12-30 11:50	31-dec-15	17307GPG7	S	30000	99,5	RBCD	RBCD		C
2015-12-30 14:27	31-dec-15	17307GPG7	S	25000	99,5	RBCD	RBCD		C

PM avseende material erhållet från SEC.pdf

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2015-12-31 08:35	31-dec-15	17307GPG7	S	25000	99,5	RBCD	RBCD		C
2015-12-31 09:56	31-dec-15	17307GPG7	B	250000	96,5	RBCD	RBCD		STFL
2015-12-31 10:02	31-dec-15	17307GPG7	S	250000	96,5	STFL	STFL		RBCD
2016-01-04 12:19	25-jan-16	17307GPG7	S	50000	99,5	RBCD	RBCD		C
2016-01-05 15:02	08-jan-16	17307GPG7	S	25000	99,5	RBCD	RBCD		C
2016-01-06 12:43	11-jan-16	17307GPG7	S	33000	97,333564	RBCD	RBCD		C
2016-01-06 15:41	11-jan-16	17307GPG7	S	30000	99,25	RBCD	RBCD		C
2016-01-07 16:42	12-jan-16	17307GPG7	S	25000	99,25	RBCD	RBCD		C
2016-01-08 16:13	13-jan-16	17307GPG7	S	25000	99,5	RBCD	RBCD		C
2016-01-14 13:27	20-jan-16	17307GPG7	S	25000	99,25	RBCD	RBCD		C
2016-01-14 13:29	20-jan-16	17307GPG7	S	55000	99,25	RBCD	RBCD		C
2016-01-15 08:29	21-jan-16	17307GPG7	S	30000	99,25	RBCD	RBCD		C
2016-01-20 09:40	25-jan-16	17307GPG7	S	25000	99,5	RBCD	RBCD		C
2016-01-21 15:48	26-jan-16	17307GPG7	B	250000	96,5	RBCD	RBCD		STFL
2016-01-21 15:49	26-jan-16	17307GPG7	S	250000	96,5	STFL	STFL		RBCD
2016-01-25 10:07	28-jan-16	17307GPG7	S	77000	99,5	RBCD	RBCD		C
2016-01-25 10:11	28-jan-16	17307GPG7	S	55000	99,5	RBCD	RBCD		C
2016-01-27 13:12	10-feb-16	17307GPG7	S	25000	99,25	RBCD	RBCD		C
2016-01-27 15:18	01-feb-16	17307GPG7	B	775000	95,25	DCSD	DCSD	SFSS	STFL
2016-01-27 15:18	01-feb-16	17307GPG7	S	775000	95,25	DCSD	DCSD	SFSS	C
2016-01-27 15:19	01-feb-16	17307GPG7	S	775000	95,25	STFL	STFL		SFSS
2016-02-16 13:09	19-feb-16	17307GPG7	B	56000	96,0175	RBCD	RBCD		C
2016-02-16 13:16	19-feb-16	17307GPG7	B	57000	96,0175	RBCD	RBCD		C
2016-02-16 15:54	19-feb-16	17307GPG7	S	25000	99	RBCD	RBCD		C
2016-02-16 15:54	19-feb-16	17307GPG7	S	25000	99	RBCD	RBCD		C
2016-02-16 15:55	19-feb-16	17307GPG7	S	25000	99	RBCD	RBCD		C
2016-02-19 12:17	24-feb-16	17307GPG7	S	38000	98,5	RBCD	RBCD		C
2016-04-14 13:32	19-apr-16	17307GPG7	B	25000	95,5	RBCD	RBCD		C
2016-04-18 13:40	21-apr-16	17307GPG7	S	25000	98,75	RBCD	RBCD		C
2016-05-02 11:56	05-maj-16	17307GPG7	B	25000	95,5	RBCD	RBCD		C
2016-05-02 14:55	05-maj-16	17307GPG7	S	25000	98,625	RBCD	RBCD		C
2016-05-06 14:03	11-maj-16	17307GPG7	B	45000	95,75	RBCD	RBCD		C

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2016-05-09 10:30	12-maj-16	17307GPG7	S	45000	99	RBCD	RBCD		C
2016-05-23 13:47	26-maj-16	17307GPG7	B	25000	95,5	RBCD	RBCD		C
2016-05-31 10:37	03-jun-16	17307GPG7	S	25000	98,75	RBCD	RBCD		C
2016-08-30 16:06	31-aug-16	17307GPG7	B	25000	88,65625	OPCO	OPCO		TDAR
2016-08-30 16:06	31-aug-16	17307GPG7	S	25000	88,65625	TDAR	TDAR		OPCO
2016-08-30 16:09	31-aug-16	17307GPG7	B	25000	88,65625	TDAR	TDAR		C
2016-10-03 13:07	06-okt-16	17307GPG7	S	25000	91	OPCO	OPCO		REWI
2016-10-03 13:08	06-okt-16	17307GPG7	B	25000	91	PERS	PERS	REWI	OPCO
2016-10-03 13:09	06-okt-16	17307GPG7	S	25000	91,25	PERS	PERS	REWI	C
2016-10-11 12:25	14-okt-16	17307GPG7	B	3000000	98,5	JPMS	JPMS		C
2016-10-26 11:17	31-okt-16	17307GPG7	S	3000000	100,5	JPMS	JPMS		C
2016-11-09 11:56	15-nov-16	17307GPG7	S	25000	97	PERS	PERS	REWI	TMBS
2016-11-09 12:01	15-nov-16	17307GPG7	B	25000	97	TMBS	TMBS		REWI
2016-11-09 12:01	15-nov-16	17307GPG7	S	25000	98,25	TMBS	TMBS		C
2016-11-09 15:31	15-nov-16	17307GPG7	B	25000	96,75	PERS	PERS	REWI	C
2017-03-10 15:13	15-mar-17	17307GPG7	S	50000	96,125	RBCD	RBCD		WEDB
2017-03-10 15:14	15-mar-17	17307GPG7	B	50000	96,125	WEDB	WEDB		RBCD
2017-03-28 12:25	30-mar-17	17307GPG7	S	25000	96,125	WEDB	WEDB		C
2017-03-28 12:27	30-mar-17	17307GPG7	S	25000	96,125	WEDB	WEDB		C
2017-05-18 12:07	23-maj-17	17307GPG7	B	25000	95,5	RBCD	RBCD		C
2017-05-31 08:11	02-jun-17	17307GPG7	B	25000	95,5	RBCD	RBCD		C
2017-06-06 07:50	09-jun-17	17307GPG7	S	50000	100	RBCD	RBCD		C
2017-12-04 13:48	06-dec-17	17307GPG7	B	25000	96	RBCD	RBCD		C
2017-12-05 16:36	07-dec-17	17307GPG7	S	25000	98,75	RBCD	RBCD		C
2017-12-18 12:28	20-dec-17	17307GPG7	B	38000	95,5	RBCD	RBCD		C
2017-12-19 15:30	21-dec-17	17307GPG7	S	38000	98,25	RBCD	RBCD		C
2018-02-06 15:33	08-feb-18	17307GPG7	B	25000	95,5	RBCD	RBCD		C
2018-02-08 11:21	12-feb-18	17307GPG7	S	25000	98,25	RBCD	RBCD		C
2018-05-23 11:15	25-maj-18	17307GPG7	S	12000	98,1	RBCD	RBCD		NACL
2018-05-23 11:18	25-maj-18	17307GPG7	B	12000	98,1	RBCD	RBCD		C
2018-05-23 11:24	25-maj-18	17307GPG7	B	12000	98,1	NACL	NACL		RBCD
2018-05-30 11:14	31-maj-18	17307GPG7	B	12000	98,75	WSGD	WSGD		NACL

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2018-05-30 11:15	31-maj-18	17307GPG7	S	12000	98,75	NACL	NACL		WSGD
2018-05-30 12:16	31-maj-18	17307GPG7	S	12000	99,125	WEDB	WEDB		C
2019-02-12 14:42	14-feb-19	17307GPG7	B	45000	96,25	RBCD	RBCD		C
2019-02-13 11:20	15-feb-19	17307GPG7	B	25000	96,25	RBCD	RBCD		C
2019-02-15 13:23	20-feb-19	17307GPG7	S	70000	99	RBCD	RBCD		C

PM avseende material erhållet från SEC.pdf

Bluesheet Data
Confidential
This report was generated by Daniel Koster on Mon Jul 08 2019 20:49:26 EDT

Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120808	925 000	57,5	S	17307GPG
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120808	925 000	57,5	S	17307GPG
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120808	925 000	57,5	S	17307GPG
262582511	ABS INVESTMENT GROUP	ABS INVESTMENT GROUP	120808	925 000	57,5	S	17307GPG
262582511	ABS INVESTMENT GROUP	ABS INVESTMENT GROUP	120808	925 000	57,5	S	17307GPG
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	120808	925 000	57,5	S	17307GPG
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	120808	925 000	57,5	S	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	925 000	57,5	B	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	925 000	57,5	B	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	925 000	57,5	B	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	925 000	57,5	B	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	925 000	57,5	B	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	925 000	57,5	B	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	925 000	57,5	B	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	925 000	58,5	S	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	925 000	58,5	S	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	925 000	58,5	S	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	925 000	58,5	S	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	925 000	58,5	S	17307GPG
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	925 000	58,5	B	17307GPG
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	925 000	58,5	B	17307GPG
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	925 000	58,5	B	17307GPG
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	925 000	58,5	B	17307GPG
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	925 000	58,5	B	17307GPG
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	925 000	58,5	B	17307GPG
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	925 000	58,5	B	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130124	925 000	74,3125	B	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130124	925 000	74,3125	B	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130124	925 000	74,3125	B	17307GPG
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	130124	925 000	74,3125	S	17307GPG
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	130124	925 000	74,3125	S	17307GPG

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	130124	925 000	74,3125	S	17307GPG
260160473	IMC ASSET MANAGEMENT	500 5TH AVE FL 56	130124	925 000	78	B	17307GPG
260160473	IMC ASSET MANAGEMENT	500 5TH AVE FL 56	130124	925 000	78	B	17307GPG
260160473	IMC ASSET MANAGEMENT	500 5TH AVE FL 56	130124	925 000	78	B	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130124	925 000	78	S	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130124	925 000	78	S	17307GPG
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130124	925 000	78	S	17307GPG

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- Bluesheet från SEC 2019-07-08
- Bluesheet från SEC 2019-07-31

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2012-02-06 10:51	09-feb-12	126670PH5	B	500000	20,23	MAMA	MAMA		C
2012-02-06 10:52	09-feb-12	126670PH5	S	1000000	20,25	MAMA	MAMA		PATR
2012-02-06 10:52	09-feb-12	126670PH5	B	500000	20,23	MAMA	MAMA		C
2012-02-06 10:57	09-feb-12	126670PH5	B	1000000	20,75	FSWC	FSWC		PATR
2012-02-06 10:58	09-feb-12	126670PH5	S	1000000	20,75	PATR	PATR		FSWC
2012-02-06 10:58	09-feb-12	126670PH5	B	1000000	20,25	PATR	PATR		MAMA
2012-02-06 12:06	09-feb-12	126670PH5	B	1000000	20,78125	FSWC	FSWC	RSIC	FSWC
2012-02-06 12:06	09-feb-12	126670PH5	S	1000000	20,78125	FSWC	FSWC		RSIC
2012-02-06 17:10	09-feb-12	126670PH5	S	1000000	20,8125	FSWC	FSWC	RSIC	C
2012-02-08 15:44	09-feb-12	126670PH5	B	1000000	24,625	FSWC	FSWC	RSIC	C
2012-02-08 15:47	09-feb-12	126670PH5	S	1000000	25	FSWC	FSWC	RSIC	BBHC
2012-08-08 10:36	15-aug-12	126670PH5	B	2500000	32	ARGA	ARGA		C
2012-08-08 10:39	15-aug-12	126670PH5	S	2500000	33	ARGA	ARGA		C
2013-01-22 15:42	25-jan-13	126670PH5	B	2500000	29	MSRO	MSRO		C
2013-01-22 15:42	25-jan-13	126670PH5	B	2500000	29	MSRO	MSRO		C
2013-01-22 16:43	25-jan-13	126670PH5	B	7000000	67,53125	BCAP	BCAP		C
2013-01-23 11:07	28-jan-13	126670PH5	S	7000000	67,78125	BCAP	BCAP		C
2013-01-23 12:08	28-jan-13	126670PH5	B	2500000	58	MSRO	MSRO		C
2013-01-23 12:09	28-jan-13	126670PH5	S	2500000	63	MSRO	MSRO		C
2013-01-23 15:39	29-jan-13	126670PH5	B	2500000	63,25	ARGA	ARGA		C
2013-01-23 15:44	29-jan-13	126670PH5	B	2500000	66,5	BCMA	BCMA		ARGA
2013-01-23 15:44	29-jan-13	126670PH5	S	2500000	66,5	ARGA	ARGA		BCMA
2013-01-23 15:44	29-jan-13	126670PH5	S	2500000	66,5	ARGA	ARGA		C
2013-01-23 15:44	29-jan-13	126670PH5	S	2500000	66,5	ARGA	ARGA		C
2013-01-23 15:52	29-jan-13	126670PH5	S	2500000	67,25	BCMA	BCMA		CAPM
2013-01-23 16:48	29-jan-13	126670PH5	B	2500000	67,25	CAPM	CAPM		C
2013-01-23 16:48	29-jan-13	126670PH5	B	2500000	67,25	CAPM	CAPM		C
2013-01-23 16:48	29-jan-13	126670PH5	B	2500000	67,25	CAPM	CAPM		BCMA
2013-02-06 12:51	11-feb-13	126670PH5	B	3000000	72,25	MSRO	MSRO		ARGA
2013-02-06 12:51	11-feb-13	126670PH5	S	2500000	67	MSRO	MSRO		C
2013-02-06 12:52	11-feb-13	126670PH5	B	3000000	71,25	ARGA	ARGA		C
2013-02-06 12:53	11-feb-13	126670PH5	S	3000000	72,25	ARGA	ARGA		MSRO

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2013-02-14 14:52	20-feb-13	126670PH5	S	500000	65	MSRO	MSRO		C
2013-02-15 16:14	21-feb-13	126670PH5	S	7000000	67,9375	FBCO	FBCO		C
2013-03-22 10:35	27-mar-13	126670PH5	S	2500000	69,5	CAPM	CAPM		C
2014-03-19 12:26	24-mar-14	126670PH5	B	14200000	80,5	PERS	PERS	UCMI	C
2014-03-19 14:27	24-mar-14	126670PH5	B	1500000	80,25	PERS	PERS	UCMI	C
2014-03-19 14:27	24-mar-14	126670PH5	B	1500000	80,25	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	55000	80,4564	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	105000	80,4564	LGNT	LGNT	UCML	C
2014-03-20 10:47	25-mar-14	126670PH5	S	75000	80,4564	LGNT	LGNT	UCML	C
2014-03-20 10:47	25-mar-14	126670PH5	S	75000	80,4564	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	165000	80,4564	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	20000	80,4564	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	150000	80,4564	LGNT	LGNT	UCML	C
2014-03-20 10:47	25-mar-14	126670PH5	S	45000	80,4564	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	35000	80,4564	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	55000	80,4564	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	15000	80,4564	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	45000	80,4564	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	65000	80,4564	LGNT	LGNT	UCML	C
2014-03-20 10:47	25-mar-14	126670PH5	S	29000	80,4564	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	85000	80,4564	LGNT	LGNT	UCML	C
2014-03-20 10:47	25-mar-14	126670PH5	S	20000	80,4564	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	24000	80,4564	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	130000	80,4564	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	23000	80,4564	PERS	PERS	UCMI	C
2014-03-20 10:47	25-mar-14	126670PH5	S	175000	80,4564	LGNT	LGNT	UCML	C
2014-03-20 14:23	25-mar-14	126670PH5	B	55000	81,171875	PERS	PERS	UCMI	C
2014-03-20 14:23	25-mar-14	126670PH5	B	130000	81,171875	PERS	PERS	UCMI	C
2014-03-20 14:23	25-mar-14	126670PH5	B	75000	81,171875	PERS	PERS	UCMI	C
2014-03-20 14:23	25-mar-14	126670PH5	B	85000	81,171875	LGNT	LGNT	UCML	C
2014-03-20 14:23	25-mar-14	126670PH5	B	105000	81,171875	LGNT	LGNT	UCML	C
2014-03-20 14:23	25-mar-14	126670PH5	B	175000	81,171875	LGNT	LGNT	UCML	C

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2014-03-20 14:23	25-mar-14	126670PH5	B	45000	81,171875	PERS	PERS	UCMI	C
2014-03-20 14:23	25-mar-14	126670PH5	B	29000	81,171875	PERS	PERS	UCMI	C
2014-03-20 14:23	25-mar-14	126670PH5	B	45000	81,171875	PERS	PERS	UCMI	C
2014-03-20 14:23	25-mar-14	126670PH5	B	65000	81,171875	LGNT	LGNT	UCML	C
2014-03-20 14:23	25-mar-14	126670PH5	B	15000	81,171875	PERS	PERS	UCMI	C
2014-03-20 14:23	25-mar-14	126670PH5	B	35000	81,171875	PERS	PERS	UCMI	C
2014-03-20 14:23	25-mar-14	126670PH5	B	24000	81,171875	PERS	PERS	UCMI	C
2014-03-20 14:23	25-mar-14	126670PH5	B	55000	81,171875	PERS	PERS	UCMI	C
2014-03-20 14:23	25-mar-14	126670PH5	S	17200000	81,171875	PERS	PERS	UCMI	C
2014-03-20 14:23	25-mar-14	126670PH5	B	20000	81,171875	PERS	PERS	UCMI	C
2014-03-20 14:23	25-mar-14	126670PH5	B	150000	81,171875	LGNT	LGNT	UCML	C
2014-03-20 14:23	25-mar-14	126670PH5	B	75000	81,171875	LGNT	LGNT	UCML	C
2014-03-20 14:23	25-mar-14	126670PH5	B	23000	81,171875	PERS	PERS	UCMI	C
2014-03-20 14:23	25-mar-14	126670PH5	B	165000	81,171875	PERS	PERS	UCMI	C
2014-03-20 14:23	25-mar-14	126670PH5	B	20000	81,171875	PERS	PERS	UCMI	C
2014-03-25 12:57	28-mar-14	126670PH5	B	1000000	80,125	PPSL	PPSL		JPMS
2014-03-25 12:57	28-mar-14	126670PH5	B	1000000	80,125	PPSL	PPSL		C
2014-03-25 12:57	28-mar-14	126670PH5	B	1000000	80,125	PPSL	PPSL		C
2014-03-25 13:06	28-mar-14	126670PH5	S	1000000	80,125	JPMS	JPMS		PPSL
2014-03-25 13:06	28-mar-14	126670PH5	B	1000000	80	JPMS	JPMS		C
2014-03-25 13:18	28-mar-14	126670PH5	S	1000000	80,375	PPSL	PPSL		C
2015-01-21 16:01	26-jan-15	126670PH5	B	400000	79,03125	SSLL	SSLL		C
2015-01-21 16:01	26-jan-15	126670PH5	S	400000	79,03125	SSLL	SSLL		BARD
2015-01-21 16:10	26-jan-15	126670PH5	B	400000	79,03125	BARD	BARD		C
2015-01-21 16:10	26-jan-15	126670PH5	B	400000	79,03125	BARD	BARD		C
2015-01-21 16:10	26-jan-15	126670PH5	B	400000	79,03125	BARD	BARD		SSLL
2015-01-27 09:58	30-jan-15	126670PH5	S	400000	81,75	BARD	BARD		C
2015-05-20 16:10	26-maj-15	126670PH5	B	1000000	86,296875	WCHV	WCHV		C
2015-06-01 14:11	04-jun-15	126670PH5	B	1100000	85,375	WCHV	WCHV		C
2015-06-25 14:21	30-jun-15	126670PH5	B	1000000	80,125	PNSA	PNSA		WPCC
2015-06-25 14:24	30-jun-15	126670PH5	S	1000000	81	PNSA	PNSA		C
2015-06-25 14:26	30-jun-15	126670PH5	B	1000000	70,5	LGNT	LGNT	WPCC	PERS

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2015-06-25 14:33	30-jun-15	126670PH5	S	1000000	70,75	LGNT	LGNT	WPCC	C
2015-06-25 14:33	30-jun-15	126670PH5	S	1000000	80,125	LGNT	LGNT	WPCC	PNSA
2015-06-25 14:34	30-jun-15	126670PH5	B	1000000	78	LGNT	LGNT	WPCC	C
2015-08-20 12:42	25-aug-15	126670PH5	S	2100000	83,75	WCHV	WCHV		C
2017-01-20 14:39	25-jan-17	126670PH5	B	10734000	95,375	MSCO	MSCO		C
2017-01-27 10:24	01-feb-17	126670PH5	S	10734000	95,46875	MSCO	MSCO		C
2017-03-10 15:34	15-mar-17	126670PH5	B	7400000	96,015625	BOFA	BOFA		C
2017-04-11 11:36	17-apr-17	126670PH5	S	7400000	96,375	BOFA	BOFA		C
2018-02-23 16:37	27-feb-18	126670PH5	B	2000000	98	PPSL	PPSL		C
2018-02-23 16:42	27-feb-18	126670PH5	S	2000000	98,25	PPSL	PPSL		C
2018-06-25 16:11	27-jun-18	126670PH5	B	1400000	99	GSCO	GSCO		C
2018-06-25 16:11	27-jun-18	126670PH5	B	1400000	99	GSCO	GSCO		C
2018-06-25 16:11	26-jun-18	126670PH5	B	1400000	99	GSCO	GSCO		C
2018-07-10 16:01	12-jul-18	126670PH5	S	1400000	99,09375	GSCO	GSCO		C
2019-02-28 13:42	04-mar-19	126670PH5	B	700000	99,390625	GSCO	GSCO		C
2019-02-28 15:16	04-mar-19	126670PH5	S	700000	99,421875	GSCO	GSCO		C
2019-03-19 12:19	21-mar-19	126670PH5	B	2000000	99,515625	GSCO	GSCO		C
2019-03-19 12:19	21-mar-19	126670PH5	S	2000000	99,5625	GSCO	GSCO		C
2019-06-03 14:15	05-jun-19	126670PH5	B	1400000	99,753906	JPMS	JPMS		C

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120106	1 000 000	24,75	S	126670PH
273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120106	1 000 000	24,75	S	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120106	1 000 000	24,75	B	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120106	1 000 000	24,75	B	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120106	1 000 000	25	S	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120106	1 000 000	25	S	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120111	1 000 000	25	S	126670PH
273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120111	1 000 000	24,75	S	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120111	1 000 000	24,75	B	126670PH
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	500 000	20,23	B	126670PH
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	500 000	20,23	B	126670PH
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	1 000 000	20,25	S	126670PH
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	1 000 000	20,25	S	126670PH
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	1 000 000	20,25	S	126670PH
585248078	DAVID PERINI IRA SEP	JPMCC CUST.	120206	500 000	20,23	S	126670PH
585420923	MESQUITE SWD, INC	DEFINED BENEFIT PLAN	120206	500 000	20,23	S	126670PH
750708002	FIRST SOUTHWEST COMPANY	250 W 57TH STREET	120206	1 000 000	20,75	B	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120206	1 000 000	20,7813	B	126670PH
750708002	FIRST SOUTHWEST COMPANY	250 W 57TH STREET	120206	1 000 000	20,7813	S	126670PH
273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120206	1 000 000	20,8125	B	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120206	1 000 000	20,8125	S	126670PH
999999999	FIRST SOUTHWEST COMPANY	325 NORTH ST PAUL STREET, SUIT	120206	1 000 000	20,75	B	126670PH
999999999	SECUREVEST FINANCIAL GROUP INC	163 MADISON AVENUE SUITE 100	120206	1 000 000	20,25	S	126670PH
273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120208	1 000 000	24,625	S	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120208	1 000 000	24,625	B	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120208	1 000 000	25	S	126670PH
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120808	2 500 000	32	S	126670PH
262582511	ABS INVESTMENT GROUP	ABS INVESTMENT GROUP	120808	2 500 000	32	S	126670PH
262582511	ABS INVESTMENT GROUP	ABS INVESTMENT GROUP	120808	2 500 000	32	S	126670PH
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	120808	2 500 000	32	S	126670PH
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	120808	2 500 000	32	S	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32	B	126670PH

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271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	33	S	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	33	S	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	33	S	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33	B	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33	B	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33	B	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33	B	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33	B	126670PH
132741729	PERSHING	ATTN P & S	130118	1 500 000	0	S	126670PH
461298037	SEVENTH RING LP	C/O MT VERNON INVESTMENTS LP	130118	1 500 000	0	B	126670PH
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	130122	2 500 000	29	S	126670PH
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	130123	2 500 000	58	S	126670PH
999999999	PACIFIC INV MGMT PIMCO 4806	GCOF ASSET BACK	130123	2 500 000	63	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130123	2 500 000	63,25	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130123	2 500 000	63,25	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130123	2 500 000	63,25	B	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	130123	2 500 000	63,25	S	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	130123	2 500 000	63,25	S	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	130123	2 500 000	63,25	S	126670PH
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	130123	2 500 000	29	S	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130123	2 500 000	66,5	S	126670PH
999999999	VERTICAL CAPITAL LLC	437 MADISON AVENUE	130123	2 500 000	67,25	S	126670PH
999999999	PERSHING LLC	FAO AURIGA USA LLC	130206	3 000 000	72,25	S	126670PH
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	130206	2 500 000	67	B	126670PH
131623877	SLOAN MANAGED ACCOUNT	11755 WILSHIRE BLVD STE 1600	130206	1 500 000	71,25	S	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130206	1 500 000	71,25	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130206	1 500 000	71,25	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130206	3 000 000	72,25	S	126670PH
113626427	AURIGA USA LLC	1 PENN PLAZA 46TH FLOOR	130206	1 500 000	71,25	B	126670PH
461298037	SEVENTH RING LP	C/O MT VERNON INVESTMENTS LP	130206	1 500 000	71,25	S	126670PH
999999999	PACIFIC INV MGMT PIMCO 4806	GCOF ASSET BACK	130215	500 000	65	B	126670PH
999999999	PACIFIC INVESTMENT MANAGEMENT	650 NEWPORT CENTER DR	130322	334 000	69,5	B	126670PH
999999999	PACIFIC INVESTMENT MANAGEMENT	650 NEWPORT CENTER DR	130322	2 166 000	69,5	B	126670PH

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Tax Id 1	Tax Id 1 Original	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
273214061	273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120106	1 000 000	24,75	S	126670PH
273214061	273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120106	1 000 000	24,75	S	126670PH
611013147	611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120106	1 000 000	24,75	B	126670PH
611013147	611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120106	1 000 000	24,75	B	126670PH
611013147	611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120106	1 000 000	25	S	126670PH
611013147	611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120106	1 000 000	25	S	126670PH
611013147	611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120111	1 000 000	25	S	126670PH
273214061	273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120111	1 000 000	24,75	S	126670PH
611013147	611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120111	1 000 000	24,75	B	126670PH
363126959	363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	500 000	20,23	B	126670PH
363126959	363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	500 000	20,23	B	126670PH
363126959	363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	1 000 000	20,25	S	126670PH
363126959	363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	1 000 000	20,25	S	126670PH
363126959	363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	1 000 000	20,25	S	126670PH
585248078	585248078	DAVID PERINI IRA SEP	JPMCC CUST.	120206	500 000	20,23	S	126670PH
585420923	585420923	MESQUITE SWD, INC	DEFINED BENEFIT PLAN	120206	500 000	20,23	S	126670PH
750708002	750708002	FIRST SOUTHWEST COMPANY	250 W 57TH STREET	120206	1 000 000	20,75	B	126670PH
611013147	611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120206	1 000 000	20,7813	B	126670PH
750708002	750708002	FIRST SOUTHWEST COMPANY	250 W 57TH STREET	120206	1 000 000	20,7813	S	126670PH
273214061	273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120206	1 000 000	20,8125	B	126670PH
611013147	611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120206	1 000 000	20,8125	S	126670PH
999999999		FIRST SOUTHWEST COMPANY	325 NORTH ST PAUL STREET, SUIT	120206	1 000 000	20,75	B	126670PH
999999999		SECUREVEST FINANCIAL GROUP INC	163 MADISON AVENUE SUITE 100	120206	1 000 000	20,25	S	126670PH
273214061	273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120208	1 000 000	24,625	S	126670PH
611013147	611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120208	1 000 000	24,625	B	126670PH
611013147	611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120208	1 000 000	25	S	126670PH
262119490	262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120808	2 500 000	32	S	126670PH
262582511	262582511	ABS INVESTMENT GROUP	ABS INVESTMENT GROUP	120808	2 500 000	32	S	126670PH
262582511	262582511	ABS INVESTMENT GROUP	ABS INVESTMENT GROUP	120808	2 500 000	32	S	126670PH
262582511	262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	120808	2 500 000	32	S	126670PH
262582511	262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	120808	2 500 000	32	S	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32	B	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32	B	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32	B	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32	B	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32	B	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	33	S	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	33	S	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	33	S	126670PH
999999999		TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33	B	126670PH
999999999		TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33	B	126670PH

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Tax Id 1	Tax Id 1 Original	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
999999999		TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33	B	126670PH
999999999		TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33	B	126670PH
999999999		TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33	B	126670PH
132741729	132741729	PERSHING	ATTN P & S	130118	1 500 000	0	S	126670PH
461298037	461298037	SEVENTH RING LP	C/O MT VERNON INVESTMENTS LP	130118	1 500 000	0	B	126670PH
271771079	271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	130122	2 500 000	29	S	126670PH
271771079	271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	130123	2 500 000	58	S	126670PH
999999999		PACIFIC INV MGMT PIMCO 4806	GCOF ASSET BACK	130123	2 500 000	63	B	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130123	2 500 000	63,25	B	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130123	2 500 000	63,25	B	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130123	2 500 000	63,25	B	126670PH
999999999		TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	130123	2 500 000	63,25	S	126670PH
999999999		TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	130123	2 500 000	63,25	S	126670PH
999999999		TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	130123	2 500 000	63,25	S	126670PH
271771079	271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	130123	2 500 000	29	S	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130123	2 500 000	66,5	S	126670PH
999999999		VERTICAL CAPITAL LLC	437 MADISON AVENUE	130123	2 500 000	67,25	S	126670PH
999999999		PERSHING LLC	FAO AURIGA USA LLC	130206	3 000 000	72,25	S	126670PH
271771079	271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	130206	2 500 000	67	B	126670PH
131623877	131623877	SLOAN MANAGED ACCOUNT	11755 WILSHIRE BLVD STE 1600	130206	1 500 000	71,25	S	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130206	1 500 000	71,25	B	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130206	1 500 000	71,25	B	126670PH
271972187	271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130206	3 000 000	72,25	S	126670PH
113626427	113626427	AURIGA USA LLC	1 PENN PLAZA 46TH FLOOR	130206	1 500 000	71,25	B	126670PH
461298037	461298037	SEVENTH RING LP	C/O MT VERNON INVESTMENTS LP	130206	1 500 000	71,25	S	126670PH
999999999		PACIFIC INV MGMT PIMCO 4806	GCOF ASSET BACK	130215	500 000	65	B	126670PH
999999999		PACIFIC INVESTMENT MANAGEMENT	650 NEWPORT CENTER DR	130322	334 000	69,5	B	126670PH
999999999		PACIFIC INVESTMENT MANAGEMENT	650 NEWPORT CENTER DR	130322	2 166 000	69,5	B	126670PH

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120106	1 000 000	24,75	B	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120106	1 000 000	24,75	B	126670PH
273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120106	1 000 000	24,75	S	126670PH
273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120106	1 000 000	24,75	S	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120106	1 000 000	25,0	S	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120106	1 000 000	25,0	S	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120111	1 000 000	25,0	S	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120111	1 000 000	24,75	B	126670PH
273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120111	1 000 000	24,75	S	126670PH
999999999	CSSULLC SPECIAL PRODUCTS INTRA		120127	7 000 000	16,0	B	126670PH
999999999	CSSULLC SPECIAL PRODUCTS INTRA		120127	7 000 000	16,0	S	126670PH
585248078	DAVID PERINI IRA SEP	JPMCC CUST.	120206	500 000	20,23	S	126670PH
585420923	MESQUITE SWD, INC	DEFINED BENEFIT PLAN	120206	500 000	20,23	S	126670PH
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	500 000	20,23	B	126670PH
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	500 000	20,23	B	126670PH
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	1 000 000	20,25	S	126670PH
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	1 000 000	20,25	S	126670PH
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	120206	1 000 000	20,25	S	126670PH
750708002	FIRST SOUTHWEST COMPANY	250 W 57TH STREET	120206	1 000 000	20,75	B	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120206	1 000 000	20,7813	B	126670PH
750708002	FIRST SOUTHWEST COMPANY	250 W 57TH STREET	120206	1 000 000	20,7813	S	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120206	1 000 000	20,8125	S	126670PH
273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120206	1 000 000	20,8125	B	126670PH
999999999	FIRST SOUTHWEST COMPANY	325 NORTH ST PAUL STREET, SUIT	120206	1 000 000	20,75	B	126670PH
999999999	SECUREVEST FINANCIAL GROUP INC	163 MADISON AVENUE SUITE 100	120206	1 000 000	20,25	S	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120208	1 000 000	24,625	B	126670PH
273214061	NEW FUND PARTNERS L.P	4581 WESTON RD #362	120208	1 000 000	24,625	S	126670PH
611013147	BROOKSTONE SECURITIES INC	2920 DRANE FIELD RD	120208	1 000 000	25,0	S	126670PH
999999999	CSSULLC SPECIAL PRODUCTS INTRA		120430	7 000 000	18,0	B	126670PH
999999999	CSSULLC SPECIAL PRODUCTS INTRA		120430	7 000 000	18,0	S	126670PH
262582511	ABS INVESTMENT GROUP	ABS INVESTMENT GROUP	120808	2 500 000	32,0	S	126670PH
262582511	ABS INVESTMENT GROUP	ABS INVESTMENT GROUP	120808	2 500 000	32,0	S	126670PH
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120808	2 500 000	32,0	S	126670PH
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	120808	2 500 000	32,0	S	126670PH
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	120808	2 500 000	32,0	S	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32,0	B	126670PH

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32,0	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32,0	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32,0	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	32,0	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	33,0	S	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	33,0	S	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	2 500 000	33,0	S	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33,0	B	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33,0	B	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33,0	B	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33,0	B	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	2 500 000	33,0	B	126670PH
132741729	PERSHING	ATTN P & S	130118	1 500 000	0,0	S	126670PH
461298037	SEVENTH RING LP	C/O MT VERNON INVESTMENTS LP	130118	1 500 000	0,0	B	126670PH
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	130122	2 500 000	29,0	S	126670PH
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	130123	2 500 000	58,0	S	126670PH
999999999	PACIFIC INV MGMT PIMCO 4806	GCOF ASSET BACK	130123	2 500 000	63,0	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130123	2 500 000	63,25	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130123	2 500 000	63,25	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130123	2 500 000	63,25	B	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	130123	2 500 000	63,25	S	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	130123	2 500 000	63,25	S	126670PH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	130123	2 500 000	63,25	S	126670PH
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	130123	2 500 000	29,0	S	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130123	2 500 000	66,5	S	126670PH
999999999	VERTICAL CAPITAL LLC	437 MADISON AVENUE	130123	2 500 000	67,25	S	126670PH
999999999	PERSHING LLC	FAO AURIGA USA LLC	130206	3 000 000	72,25	S	126670PH
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	130206	2 500 000	67,0	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130206	1 500 000	71,25	B	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130206	1 500 000	71,25	B	126670PH
131623877	SLOAN MANAGED ACCOUNT	11755 WILSHIRE BLVD STE 1600	130206	1 500 000	71,25	S	126670PH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	130206	3 000 000	72,25	S	126670PH
113626427	AURIGA USA LLC	1 PENN PLAZA 46TH FLOOR	130206	1 500 000	71,25	B	126670PH
461298037	SEVENTH RING LP	C/O MT VERNON INVESTMENTS LP	130206	1 500 000	71,25	S	126670PH
999999999	PACIFIC INVESTMENT MANAGEMENT	PIMCO MONTHLY INCOME FUND (CAN	130215	7 000 000	67,9375	B	126670PH
999999999	PACIFIC INV MGMT PIMCO 4806	GCOF ASSET BACK	130215	500 000	65,0	B	126670PH

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999999999	PACIFIC INVESTMENT MANAGEMENT	PACIFIC INVESTMENT MGMT CO	130215	4 759 109	67,9375	B	126670PH
999999999	PACIFIC INVESTMENT MANAGEMENT	650 NEWPORT CENTER DR	130322	334 000	69,5	B	126670PH
999999999	PACIFIC INVESTMENT MANAGEMENT	650 NEWPORT CENTER DR	130322	2 166 000	69,5	B	126670PH

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Filer från SEC:

- Regulatory trace 17 cusips från SEC 2019-06-28
- Bluesheet från SEC 2019-07-08

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2012-08-08 10:32	15-aug-12	36228FSV9	B	1200000	75,375	ARGA	ARGA		C
2012-08-08 10:34	15-aug-12	36228FSV9	S	1200000	76,375	ARGA	ARGA		C
2013-02-08 09:06	13-feb-13	36228FSV9	B	1200000	65	MSRO	MSRO		C
2013-02-22 15:15	27-feb-13	36228FSV9	S	1200000	71,5	MSRO	MSRO		C
2013-04-18 15:47	23-apr-13	36228FSV9	S	17688000	76,5	GSCO	GSCO		C
2015-02-24 11:51	27-feb-15	36228FSV9	B	18890000	92,90625	CFCO	CFCO		C
2015-02-24 11:51	27-feb-15	36228FSV9	B	18888000	92,90625	CFCO	CFCO		C
2015-02-24 11:51	27-feb-15	36228FSV9	B	18890000	92,90625	CFCO	CFCO		C
2015-02-25 13:59	02-mar-15	36228FSV9	S	18888000	93,0625	CFCO	CFCO		C

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
999999999	BANC OF AMERICA SECS LLC	200 N COLLEGE ST 3RD FL	120202	1 200 000	51	S	36228FSV
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	120202	1 200 000	54	B	36228FSV
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120808	1 200 000	75,375	S	36228FSV
262582511	ABS INVESTMENT GROUP	ABS INVESTMENT GROUP	120808	1 200 000	75,375	S	36228FSV
262582511	ABS INVESTMENT GROUP	ABS INVESTMENT GROUP	120808	1 200 000	75,375	S	36228FSV
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	120808	1 200 000	75,375	S	36228FSV
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	120808	1 200 000	75,375	S	36228FSV
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	1 200 000	75,375	B	36228FSV
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	1 200 000	75,375	B	36228FSV
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	1 200 000	75,375	B	36228FSV
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	1 200 000	75,375	B	36228FSV
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	1 200 000	75,375	B	36228FSV
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	1 200 000	76,375	S	36228FSV
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	1 200 000	76,375	S	36228FSV
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	1 200 000	76,375	S	36228FSV
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	1 200 000	76,375	B	36228FSV
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	1 200 000	76,375	B	36228FSV
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	1 200 000	76,375	B	36228FSV
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	1 200 000	76,375	B	36228FSV
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	1 200 000	76,375	B	36228FSV
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130208	1 200 000	65	S	36228FSV
273991983	PERMIT CAPITAL LLC	INVESTURE GL EQ (LL FUND SIF2)	130225	480 000	71,5	B	36228FSV
273991983	PERMIT CAPITAL LLC	PERMIT CAPITAL MTG FUND 2D	130225	720 000	71,5	B	36228FSV
273991983	PERMIT CAPITAL LLC	INVESTURE GL EQ (LL FUND SIF2)	130226	480 000	71,5	B	36228FSV
273991983	PERMIT CAPITAL LLC	INVESTURE GL EQ (LL FUND SIF2)	130226	480 000	71,5	B	36228FSV
273991983	PERMIT CAPITAL LLC	PERMIT CAPITAL MTG FUND 2D	130226	720 000	71,5	B	36228FSV
273991983	PERMIT CAPITAL LLC	PERMIT CAPITAL MTG FUND 2D	130226	720 000	71,5	B	36228FSV
020602672	INVESTURE GLOBAL EQUITY	(LL FUNDS) - SIFII	130418	6 368 000	76,5	B	36228FSV
020602672	PERMIT CAPITAL MORTGAGE	FUND 2D	130418	11 320 000	76,5	B	36228FSV
135108880	GOLDMAN SACHS & CO. LLC	2714 - ABS SECONDARY	130418	6 368 000	76,5	S	36228FSV

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
135108880	GOLDMAN SACHS & CO. LLC	2714 - ABS SECONDARY	130418	11 320 000	76,5	S	36228FSV

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Filer från SEC:

- Regulatory trace 17 cusips från SEC 2019-06-28
- Bluesheet från SEC 2019-07-08

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2012-03-23 12:08	28-mar-12	71085PDD2	B	4000000	52	GSCO	GSCO		C
2012-03-30 15:22	04-apr-12	71085PDD2	B	4000000	53,9375	ODNC	ODNC		GSCO
2012-03-30 15:22	04-apr-12	71085PDD2	S	4000000	55,25	ODNC	ODNC		C
2012-03-30 15:26	04-apr-12	71085PDD2	S	4000000	53,9375	GSCO	GSCO		ODNC
2012-04-03 12:14	09-apr-12	71085PDD2	B	29000000	52	GSCO	GSCO		C
2012-08-08 10:41	15-aug-12	71085PDD2	B	4675000	76,25	ARGA	ARGA		C
2012-08-08 10:42	15-aug-12	71085PDD2	S	4675000	77,25	ARGA	ARGA		C
2012-11-28 15:44	30-nov-12	71085PDD2	B	800000	48,125	MSRO	MSRO		JPMS
2012-11-28 15:49	30-nov-12	71085PDD2	B	800000	47,875	JPMS	JPMS		NFSC
2012-11-28 15:49	30-nov-12	71085PDD2	S	800000	48,125	JPMS	JPMS		MSRO
2012-11-28 16:05	30-nov-12	71085PDD2	B	800000	47,875	FNRA	NFSC		C
2012-11-28 16:05	30-nov-12	71085PDD2	S	800000	47,875	FNRA	NFSC		JPMS
2012-11-29 11:05	04-dec-12	71085PDD2	S	800000	52,5	MSRO	MSRO		C
2013-02-12 10:58	15-feb-13	71085PDD2	S	4675000	58,3125	MSRO	MSRO		C
2013-02-12 10:59	15-feb-13	71085PDD2	B	4675000	55,625	MSRO	MSRO		C
2013-07-22 11:57	25-jul-13	71085PDD2	B	4675000	77,5	WCHV	WCHV		C
2013-07-22 15:07	25-jul-13	71085PDD2	S	4700000	77,6875	WCHV	WCHV		C
2013-09-16 11:43	19-sep-13	71085PDD2	B	40000000	78,15625	NMRA	NMRA		C
2013-09-24 16:17	27-sep-13	71085PDD2	S	29000000	75,25	GSCO	GSCO		C
2013-09-24 16:17	27-sep-13	71085PDD2	S	29000000	75,75	GSCO	GSCO		STLZ
2013-09-24 16:17	27-sep-13	71085PDD2	S	29000000	75,25	GSCO	GSCO		STLZ
2013-09-24 16:17	27-sep-13	71085PDD2	S	29000000	75,25	GSCO	GSCO		C
2013-09-24 16:17	27-sep-13	71085PDD2	S	29000000	75,25	GSCO	GSCO		STLZ
2013-09-24 16:18	27-sep-13	71085PDD2	B	29000000	75,75	STLZ	STLZ		GSCO
2013-09-24 16:19	27-sep-13	71085PDD2	B	29000000	76	NMRA	NMRA		STLZ
2013-09-24 16:20	27-sep-13	71085PDD2	S	29000000	76	STLZ	STLZ		NMRA
2013-10-02 12:51	07-okt-13	71085PDD2	S	12000000	78,5	NMRA	NMRA		C
2013-10-04 16:40	09-okt-13	71085PDD2	B	57000000	79,34375	AMHE	AMHE		NMRA
2013-10-04 16:43	09-okt-13	71085PDD2	S	57000000	79,34375	NMRA	NMRA		AMHE
2013-10-24 10:14	29-okt-13	71085PDD2	B	800000	81,75	AMHE	AMHE		C
2013-11-19 14:16	22-nov-13	71085PDD2	S	57800000	82,75	AMHE	AMHE		C
2013-11-20 10:22	25-nov-13	71085PDD2	B	800000	78	ARGA	ARGA		C

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2013-11-20 10:25	25-nov-13	71085PDD2	B	800000	80	AMHE	AMHE		ARGA
2013-11-20 10:27	25-nov-13	71085PDD2	S	800000	80	ARGA	ARGA		AMHE
2013-11-21 16:18	26-nov-13	71085PDD2	B	20000000	82	AMHE	AMHE		C
2013-12-20 12:29	26-dec-13	71085PDD2	S	20800000	82,375	AMHE	AMHE		C
2014-06-04 11:42	09-jun-14	71085PDD2	B	11000000	88	NMRA	NMRA		C
2014-06-12 12:18	17-jun-14	71085PDD2	S	4000000	86,625	ODNC	ODNC		C
2014-06-12 12:39	17-jun-14	71085PDD2	B	4000000	86,25	ODNC	ODNC		C
2014-06-13 13:36	18-jun-14	71085PDD2	S	11000000	89	NMRA	NMRA		C
2014-10-03 16:55	08-okt-14	71085PDD2	B	90500000	87,375	AMHE	AMHE		C
2014-10-03 16:59	08-okt-14	71085PDD2	S	90500000	87,8125	AMHE	AMHE		C
2014-12-02 12:55	05-dec-14	71085PDD2	B	8700000	87,5	AMHE	AMHE		C
2014-12-02 13:40	05-dec-14	71085PDD2	S	8700000	88	AMHE	AMHE		C
2014-12-03 11:22	08-dec-14	71085PDD2	B	4300000	87,5	AMHE	AMHE		C
2014-12-04 10:11	09-dec-14	71085PDD2	S	4300000	87,53125	AMHE	AMHE		C
2015-02-03 00:00	06-feb-15	71085PDD2	B	45000000	89,13	MSCO	MSCO		C
2015-02-03 17:08	06-feb-15	71085PDD2	S	45000000	89,375	MSCO	MSCO		C
2015-10-15 15:59	20-okt-15	71085PDD2	B	22300000	89,53125	PPSL	PPSL		C
2015-10-16 09:27	21-okt-15	71085PDD2	S	22300000	89,875	PPSL	PPSL		C
2015-10-26 09:50	29-okt-15	71085PDD2	B	12000000	89	PPSL	PPSL		C
2015-10-26 09:57	29-okt-15	71085PDD2	S	12000000	89,125	PPSL	PPSL		C
2015-12-02 15:47	07-dec-15	71085PDD2	B	20800000	90,372051	MSCO	MSCO		C
2015-12-02 16:35	07-dec-15	71085PDD2	S	20800000	90,421875	MSCO	MSCO		C
2015-12-03 12:36	08-dec-15	71085PDD2	S	2200000	89,875	MSCO	MSCO		C
2015-12-03 12:39	08-dec-15	71085PDD2	B	2200000	89,75	MSCO	MSCO		C
2017-02-09 13:48	14-feb-17	71085PDD2	B	6000000	93	BOFA	BOFA		C
2017-02-09 14:00	14-feb-17	71085PDD2	B	6000000	92,5	DCSD	DCSD	SFSS	C
2017-02-09 14:00	14-feb-17	71085PDD2	S	6000000	93	DCSD	DCSD	SFSS	BOFA
2017-02-15 12:46	21-feb-17	71085PDD2	B	109000000	93,25	BOFA	BOFA		C
2017-02-23 13:42	28-feb-17	71085PDD2	B	15000000	95	FBCO	FBCO		C
2017-04-11 14:43	17-apr-17	71085PDD2	S	15000000	94,625	FBCO	FBCO		C
2017-04-11 14:43	17-apr-17	71085PDD2	S	15000000	94,625	FBCO	FBCO		STHR
2017-04-11 14:43	17-apr-17	71085PDD2	S	15000000	94,625	FBCO	FBCO		C

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2017-04-11 14:48	17-apr-17	71085PDD2	B	15000000	94,625	STHR	STHR		FBCO
2017-04-11 14:48	17-apr-17	71085PDD2	S	15000000	94,875	STHR	STHR		BOFA
2017-04-11 14:54	17-apr-17	71085PDD2	B	15000000	94,875	BOFA	BOFA		STHA
2017-04-11 14:54	17-apr-17	71085PDD2	B	15000000	94,875	BOFA	BOFA		STHA
2017-04-11 14:54	17-apr-17	71085PDD2	B	15000000	94,875	BOFA	BOFA		STHR
2017-05-24 10:55	30-maj-17	71085PDD2	S	40000000	95,5	BOFA	BOFA		C
2017-06-19 15:49	22-jun-17	71085PDD2	S	45000000	96,125	BOFA	BOFA		C
2017-07-17 13:28	20-jul-17	71085PDD2	S	45000000	96,5	BOFA	BOFA		C

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	120118	4 675 000	53,75	B	71085PDD
134251510	VANTIUM MANAGEMENT-MAIN	730 5TH AVE	120118	4 675 000	50,75	S	71085PDD
043283286	CAPITAL PRESERVATION FUND SDA	(CPF-SDA)	120323	2 135 000	52	S	71085PDD
066000798	STATE OF CONNECTICUT	C/O NEW CENTURY ADVISORS	120323	190 000	52	S	71085PDD
135108880	GOLDMAN SACHS & CO. LLC	2714 - ABS SECONDARY	120323	150 000	52	B	71085PDD
135108880	GOLDMAN SACHS & CO. LLC	2714 - ABS SECONDARY	120323	190 000	52	B	71085PDD
135108880	GOLDMAN SACHS & CO. LLC	2714 - ABS SECONDARY	120323	425 000	52	B	71085PDD
135108880	GOLDMAN SACHS & CO. LLC	2714 - ABS SECONDARY	120323	500 000	52	B	71085PDD
135108880	GOLDMAN SACHS & CO. LLC	2714 - ABS SECONDARY	120323	600 000	52	B	71085PDD
135108880	GOLDMAN SACHS & CO. LLC	2714 - ABS SECONDARY	120323	2 135 000	52	B	71085PDD
136058820	BOEING P	C/O NEW CENTURY ADVISORS LLC	120323	500 000	52	S	71085PDD
136357165	NYC/NYCERS/PIM-NEW CENTURY	ADVISORS LLC	120323	150 000	52	S	71085PDD
366001368	ILLINOIS MUNICIPAL RETIREMENT	FUND	120323	425 000	52	S	71085PDD
526037545	GENERAL CONFERENCE CORP OF	SEVENTH DAY ADVENTISTS	120323	600 000	52	S	71085PDD
135108880	GOLDMAN SACHS & CO. LLC	2714 - ABS SECONDARY	120330	4 000 000	53,9375	S	71085PDD
263331252	ODEON CAPITAL GROUP LLC	(NSCC 0443)	120330	4 000 000	53,9375	B	71085PDD
263331252	ODEON CAPITAL GROUP LLC	FIRM TRADING ACCOUNT	120330	4 000 000	53,9375	B	71085PDD
454072708	POETIC HOLDINGS LLC	575 8TH AVENUE, 16TH FLOOR	120330	4 000 000	55,25	B	71085PDD
109727775	ADAM BERKOWITZ	424 WEST END AVENUE, #21C	120330	4 000 000	55,25	B	71085PDD
109727775	ADAM BERKOWITZ	424 WEST END AVENUE, #21C	120330	4 000 000	55,25	B	71085PDD
135108880	GOLDMAN SACHS & CO. LLC	2714 - ABS SECONDARY	120403	14 500 000	52	B	71085PDD
135108880	GOLDMAN SACHS & CO. LLC	2714 - ABS SECONDARY	120403	14 500 000	52	B	71085PDD
270297680	PROPHET OPPORTUNITY PARTNERS	LP	120403	14 500 000	52	S	71085PDD
742931306	BEAR STEARNS & CO., INC.	F/A PARTNERS IN PROPHET	120403	14 500 000	52	S	71085PDD
270297680	PROPHET OPPORTUNITY PART LP	C/O PROPHET CAPITAL ASSET	120403	14 500 000	52	S	71085PDD
742931306	PARTNERS IN PROPHET LTD	5000 PLAZA ON THE LAKE BLVD	120403	14 500 000	52	S	71085PDD
999999999	GOLDMAN SACHS	ATTN: LISA BARTOLLI/CHRIS	120403	14 500 000	52	B	71085PDD
999999999	GOLDMAN SACHS	ATTN: LISA BARTOLLI/CHRIS	120403	14 500 000	52	B	71085PDD
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120808	4 675 000	76,25	S	71085PDD
262582511	ABS INVESTMENT GROUP	ABS INVESTMENT GROUP	120808	4 675 000	76,25	S	71085PDD
262582511	ABS INVESTMENT GROUP	ABS INVESTMENT GROUP	120808	4 675 000	76,25	S	71085PDD
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	120808	4 675 000	76,25	S	71085PDD
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	120808	4 675 000	76,25	S	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	4 675 000	76,25	B	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	4 675 000	76,25	B	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	4 675 000	76,25	B	71085PDD

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	4 675 000	76,25	B	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	4 675 000	76,25	B	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	4 675 000	77,25	S	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	4 675 000	77,25	S	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	4 675 000	77,25	S	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	4 675 000	77,25	S	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120808	4 675 000	77,25	S	71085PDD
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	4 675 000	77,25	B	71085PDD
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	4 675 000	77,25	B	71085PDD
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	4 675 000	77,25	B	71085PDD
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	4 675 000	77,25	B	71085PDD
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	4 675 000	77,25	B	71085PDD
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	4 675 000	77,25	B	71085PDD
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120808	4 675 000	77,25	B	71085PDD
133299429	TMG-MRK - J FERNANDE	TRADER PORTFOLIO FROM IMPACT	121128	800 000	47,875	B	71085PDD
133299429	TMG-MRK - J FERNANDE	TRADER PORTFOLIO FROM IMPACT	121128	800 000	47,875	B	71085PDD
133299429	TMG-MRK - J FERNANDE	TRADER PORTFOLIO FROM IMPACT	121128	800 000	47,875	B	71085PDD
133299429	TMG-MRK - J FERNANDE	TRADER PORTFOLIO FROM IMPACT	121128	800 000	48,125	S	71085PDD
133299429	TMG-MRK - J FERNANDE	TRADER PORTFOLIO FROM IMPACT	121128	800 000	48,125	S	71085PDD
133299429	TMG-MRK - J FERNANDE	TRADER PORTFOLIO FROM IMPACT	121128	800 000	48,125	S	71085PDD
999999999	JP MORGAN SECS-FIXED INCOME	55 WATER STREET 4TH FL	121128	800 000	48,125	S	71085PDD
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121129	800 000	52,5	B	71085PDD
981081424	SERENITAS CAPITAL	SERENITAS CREDIT GAMMA MASTER	130212	4 675 000	58,3125	B	71085PDD
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130212	4 675 000	55,625	S	71085PDD
455341111	SERENITAS CAP SUBALLOCATE	C O WACHOVIA CAPITAL MARKETS	130722	4 675 000	77,5	B	71085PDD
455341111	SERENITAS CAP SUBALLOCATE	C O WACHOVIA CAPITAL MARKETS	130722	4 675 000	77,5	B	71085PDD
455341111	SERENITAS CAP SUBALLOCATE	C O WACHOVIA CAPITAL MARKETS	130722	4 675 000	77,5	B	71085PDD
455341111	SERENITAS CAP SUBALLOCATE	C O WACHOVIA CAPITAL MARKETS	130722	4 675 000	77,5	S	71085PDD
455341111	SERENITAS CAP SUBALLOCATE	C O WACHOVIA CAPITAL MARKETS	130722	4 675 000	77,5	S	71085PDD
455341111	SERENITAS CAP SUBALLOCATE	C O WACHOVIA CAPITAL MARKETS	130722	4 675 000	77,5	S	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 675 000	77,5	B	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 675 000	77,5	B	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 675 000	77,5	B	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 675 000	77,5	B	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 675 000	77,5	B	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 675 000	77,5	B	71085PDD

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 675 000	77,5	S	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 675 000	77,5	S	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 675 000	77,5	S	71085PDD
981081424	SERENITAS CREDIT GAMMA MASTER	C O SERENITAS CAPITAL LP	130722	4 675 000	77,5	S	71085PDD
981081424	SERENITAS CREDIT GAMMA MASTER	C O SERENITAS CAPITAL LP	130722	4 675 000	77,5	S	71085PDD
981081424	SERENITAS CREDIT GAMMA MASTER	C O SERENITAS CAPITAL LP	130722	4 675 000	77,5	S	71085PDD
452856257	MACQUARIE US TRADING LLC	125 WEST 55TH STREET 22ND FL	130722	4 700 000	77,6875	B	71085PDD
452856257	MACQUARIE US TRADING LLC	125 WEST 55TH STREET 22ND FL	130722	4 700 000	77,6875	B	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 700 000	77,6875	B	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 700 000	77,6875	B	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 700 000	77,6875	B	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 700 000	77,6875	S	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 700 000	77,6875	S	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 700 000	77,6875	S	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 700 000	77,6875	S	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 700 000	77,6875	S	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 700 000	77,6875	S	71085PDD
562326000	E610-NA RMBS SUB PRI	301 S. COLLEGE ST	130722	4 700 000	77,6875	S	71085PDD
900797831	MACQUARIE CREDIT INV SUBALL	C O WACHOVIA CAPITAL MARKETS	130722	4 700 000	77,6875	B	71085PDD
900797831	MACQUARIE CREDIT INV SUBALL	C O WACHOVIA CAPITAL MARKETS	130722	4 700 000	77,6875	B	71085PDD
900797831	MACQUARIE CREDIT INV SUBALL	C O WACHOVIA CAPITAL MARKETS	130722	4 700 000	77,6875	B	71085PDD
900797831	MACQUARIE CREDIT INV SUBALL	C O WACHOVIA CAPITAL MARKETS	130722	4 700 000	77,6875	S	71085PDD
900797831	MACQUARIE CREDIT INV SUBALL	C O WACHOVIA CAPITAL MARKETS	130722	4 700 000	77,6875	S	71085PDD
900797831	MACQUARIE CREDIT INV SUBALL	C O WACHOVIA CAPITAL MARKETS	130722	4 700 000	77,6875	S	71085PDD
981038601	MACQUARIE CREDIT NEXUS MASTER	C O MACQUARIE CREDIT INV MGMT	130722	4 700 000	77,6875	B	71085PDD
981038601	MACQUARIE CREDIT NEXUS MASTER	C O MACQUARIE CREDIT INV MGMT	130722	4 700 000	77,6875	B	71085PDD
981038601	MACQUARIE CREDIT NEXUS MASTER	C O MACQUARIE CREDIT INV MGMT	130722	4 700 000	77,6875	B	71085PDD
562326000	WELLS FARGO SECURITIES LLC	301 S COLLEGE STREET	130722	4 700 000	77,6875	S	71085PDD
562326000	WELLS FARGO SECURITIES LLC	301 S COLLEGE STREET	130722	4 700 000	77,6875	S	71085PDD
562326000	WELLS FARGO SECURITIES LLC	301 S COLLEGE STREET	130722	4 700 000	77,6875	S	71085PDD
999999999	MACQUARIE CREDIT NEXUS MASTER	FUND LIMITED	130722	4 700 000	77,6875	B	71085PDD
999999999	MACQUARIE CREDIT NEXUS MASTER	FUND LIMITED	130722	4 700 000	77,6875	B	71085PDD
999999999	MACQUARIE CREDIT NEXUS MASTER	FUND LIMITED	130722	4 700 000	77,6875	B	71085PDD
132847358	DZ BANK AG	-	130916	40 000 000	78,15625	S	71085PDD
135108880	GOLDMAN SACHS & CO. LLC	2714 - ABS SECONDARY	130924	29 000 000	75,75	S	71085PDD

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
264016963	(NSCC 0443) BEDROK SECURITIES	LLC	130924	29 000 000	75,75	B	71085PDD
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	130924	29 000 000	75,75	B	71085PDD
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	130924	29 000 000	75,75	B	71085PDD
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	130924	29 000 000	75,75	B	71085PDD
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	130924	29 000 000	75,75	B	71085PDD
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	130924	29 000 000	75,75	B	71085PDD
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	130924	29 000 000	76	S	71085PDD
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	130924	29 000 000	76	S	71085PDD
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	130924	29 000 000	76	S	71085PDD
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	130924	29 000 000	76	S	71085PDD
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	130924	29 000 000	76	S	71085PDD
132642206	BEDROK SECURITIES LLC	-	130924	29 000 000	76	B	71085PDD
132642206	BEDROK SECURITIES LLC	-	130924	29 000 000	76	S	71085PDD
264016963	BEDROK SECURITIES LLC	-	130924	29 000 000	76	S	71085PDD
980179281	NOMURA INTERNATIONAL PLC	-	131002	12 000 000	78,5	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131004	57 000 000	79,34375	B	71085PDD
132642206	AMHERST SECURITIES GROUP LP	-	131004	57 000 000	79,34375	B	71085PDD
132642206	AMHERST SECURITIES GROUP LP	-	131004	57 000 000	79,34375	S	71085PDD
999999999	AMHERST SECURITIES GROUP LP	-	131004	57 000 000	79,34375	B	71085PDD
999999999	LSF8 BOND HOLDINGS, LTD.	A/C #2	131008	20 000 000	12,174963	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	-REPO AWAY-	131010	57 000 000	73,25891	S	71085PDD
043319886	GMO GLOBAL BALANCED ASSET	ALLOCATION FUND	131024	800 000	81,75	S	71085PDD
043319886	GMO GLOBAL BALANCED ASSET	ALLOCATION FUND	131024	800 000	81,75	S	71085PDD
043319886	GMO GLOBAL BALANCED ASSET	ALLOCATION FUND	131024	800 000	81,75	S	71085PDD
043319886	GMO GLOBAL BALANCED ASSET	ALLOCATION FUND	131024	800 000	81,75	S	71085PDD
043319886	GMO GLOBAL BALANCED ASSET	ALLOCATION FUND	131024	800 000	81,75	S	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131024	800 000	81,75	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131024	800 000	81,75	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131024	800 000	81,75	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131024	800 000	81,75	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131024	800 000	81,75	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	-REVERSE REPO-	131108	57 000 000	73,25891	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	-REVERSE REPO-	131108	57 000 000	77,167362	S	71085PDD
999999999	LSF8 BOND HOLDINGS, LTD.	A/C #2	131108	20 000 000	12,473635	B	71085PDD
999999999	LSF8 BOND HOLDINGS, LTD.	A/C #2	131108	20 000 000	12,473635	B	71085PDD
999999999	LSF8 BOND HOLDINGS, LTD.	A/C #2	131108	20 000 000	12,473635	B	71085PDD

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999999999	LSF8 BOND HOLDINGS, LTD.	A/C #2	131108	20 000 000	12,473635	S	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131119	6 800 000	82,75	S	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131119	51 000 000	82,75	S	71085PDD
453326482	GMO DEBT OPPORTUNITIES FUND	GRANTHAM MAYO VAN OTTERLOO & C	131119	51 000 000	82,75	B	71085PDD
999999999	GMO GLOBAL REAL RETURN UCITS F	GRANTHAM MAYO VAN OTTERLOO & C	131119	6 800 000	82,75	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	-REPO AWAY-	131120	57 000 000	77,167362	B	71085PDD
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	131120	800 000	78	S	71085PDD
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	131120	800 000	78	S	71085PDD
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	131120	800 000	78	S	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	800 000	78	B	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	800 000	78	B	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	800 000	78	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131120	800 000	80	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131120	800 000	80	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131120	800 000	80	B	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	800 000	80	S	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	800 000	80	S	71085PDD
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	800 000	80	S	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131121	20 000 000	82	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131121	20 000 000	82	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131121	20 000 000	82	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131121	20 000 000	82	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131121	20 000 000	82	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--FACILITATION ACCOUNT--	131121	20 000 000	82	S	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--FACILITATION ACCOUNT--	131121	20 000 000	82	S	71085PDD
999999999	LSF8 BOND HOLDINGS, LTD.	HUDSON AMERICAS, LLC	131121	20 000 000	82	S	71085PDD
999999999	LSF8 BOND HOLDINGS, LTD.	HUDSON AMERICAS, LLC	131121	20 000 000	82	S	71085PDD
999999999	LSF8 BOND HOLDINGS, LTD.	HUDSON AMERICAS, LLC	131121	20 000 000	82	S	71085PDD
999999999	LSF8 BOND HOLDINGS, LTD.	A/C #2	131121	20 000 000	82	S	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	-REPO AWAY-	131126	20 800 000	76,792557	S	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131220	20 800 000	82,375	S	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131220	20 800 000	82,375	S	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131220	20 800 000	82,375	S	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131220	20 800 000	82,375	S	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--AGENCY ACCOUNT--	131220	20 800 000	82,375	S	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	--FACILITATION ACCOUNT--	131220	20 800 000	82,375	B	71085PDD

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
271656380	AMHERST PIERPONT SECURITIES, L	--FACILITATION ACCOUNT--	131220	20 800 000	82,375	B	71085PDD
526033321	FGLIC WAMCO DA	WESTERN ASSET MGMT. CO.	131220	20 800 000	82,375	B	71085PDD
526033321	FGLIC WAMCO DA	WESTERN ASSET MGMT. CO.	131220	20 800 000	82,375	B	71085PDD
526033321	FGLIC WAMCO DA	WESTERN ASSET MGMT. CO.	131220	20 800 000	82,375	B	71085PDD
271656380	AMHERST PIERPONT SECURITIES, L	-REPO AWAY-	131223	20 800 000	76,792557	B	71085PDD

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- Regulatory trace 17 cusips från SEC 2019-06-28
- Bluesheet från SEC 2019-07-08
- Bluesheet från SEC 2019-07-31

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2012-09-04 11:41	07-sep-12	52520MBR3	S	9850000	25	MSCO	MSCO		STFL
2012-09-04 12:02	07-sep-12	52520MBR3	B	9850000	25	STFL	STFL		MSCO
2012-09-04 12:18	07-sep-12	52520MBR3	B	9850000	25,625	MSRO	MSRO		BRGE
2012-09-04 12:18	07-sep-12	52520MBR3	B	9850000	25,625	MSRO	MSRO		BRGE
2012-09-04 12:18	11-sep-12	52520MBR3	B	9850000	25,625	MSRO	MSRO		BRGE
2012-09-04 12:18	09-sep-12	52520MBR3	B	9850000	25,625	MSRO	MSRO		BRGE
2012-09-04 12:18	09-sep-12	52520MBR3	B	9850000	25,625	MSRO	MSRO		BRGE
2012-09-04 12:19	09-sep-12	52520MBR3	S	9850000	27,125	MSRO	MSRO		C
2012-09-04 12:19	11-sep-12	52520MBR3	S	9850000	27,125	MSRO	MSRO		C
2012-09-04 12:19	09-sep-12	52520MBR3	S	9850000	27,125	MSRO	MSRO		C
2012-09-04 12:19	07-sep-12	52520MBR3	S	9850000	27,125	MSRO	MSRO		C
2012-09-04 12:19	07-sep-12	52520MBR3	S	9850000	27,125	MSRO	MSRO		C
2012-09-04 12:20	07-sep-12	52520MBR3	S	9850000	25,59375	STFL	STFL		BRGE
2012-09-04 12:20	11-sep-12	52520MBR3	S	9850000	25,59375	STFL	STFL		BRGE
2012-09-04 12:20	07-sep-12	52520MBR3	S	9850000	25,59375	STFL	STFL		BRGE
2012-09-04 12:30	07-sep-12	52520MBR3	B	9850000	25,59375	LGNT	LGNT	BRGE	STFL
2012-09-04 12:30	11-sep-12	52520MBR3	B	9850000	25,59375	LGNT	LGNT	BRGE	STFL
2012-09-04 12:30	07-sep-12	52520MBR3	S	9850000	25,625	LGNT	LGNT	BRGE	MSRO
2012-09-04 12:30	11-sep-12	52520MBR3	S	9850000	25,625	LGNT	LGNT	BRGE	MSRO
2012-09-04 12:30	07-sep-12	52520MBR3	S	9850000	25,625	LGNT	LGNT	BRGE	MSRO
2012-09-04 12:30	07-sep-12	52520MBR3	B	9850000	25,59375	LGNT	LGNT	BRGE	STFL
2012-09-14 10:33	19-sep-12	52520MBR3	B	4325000	47	ARGA	ARGA		C
2012-09-14 10:36	19-sep-12	52520MBR3	S	4325000	48	ARGA	ARGA		C
2012-12-13 17:18	18-dec-12	52520MBR3	B	8000000	32,375	ARGA	ARGA		C
2012-12-13 17:18	18-dec-12	52520MBR3	S	8000000	32,875	ARGA	ARGA		C
2013-03-13 14:04	18-mar-13	52520MBR3	B	8000000	32,875	FBCO	FBCO		C
2013-03-13 14:05	18-mar-13	52520MBR3	S	8000000	33	FBCO	FBCO		C
2013-06-13 15:00	18-jun-13	52520MBR3	S	4325000	31,75	STFL	STFL		C
2013-06-13 15:00	19-jun-13	52520MBR3	S	4325000	31,75	STFL	STFL		C
2013-06-13 15:00	18-jun-13	52520MBR3	S	4325000	31,75	STFL	STFL		C
2013-06-13 15:01	18-jun-13	52520MBR3	B	4325000	31	STFL	STFL		C
2013-06-13 15:01	18-jun-13	52520MBR3	B	4325000	31	STFL	STFL		C

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2013-06-13 15:01	19-jun-13	52520MBR3	B	4325000	31	STFL	STFL		C
2013-11-20 11:11	25-nov-13	52520MBR3	B	5525000	32,5	ARGA	ARGA		C
2013-11-20 11:13	25-nov-13	52520MBR3	S	5525000	33,5	ARGA	ARGA		C
2014-12-15 14:16	18-dec-14	52520MBR3	B	14850000	26,5	PERS	PERS	FSRP	MESF
2014-12-15 14:17	18-dec-14	52520MBR3	B	14850000	26,375	MESF	MESF		C
2014-12-15 14:20	18-dec-14	52520MBR3	S	14850000	26,5	MESF	MESF		FSRP
2014-12-15 14:20	18-dec-14	52520MBR3	S	14850000	26,5	MESF	MESF		DEAN
2014-12-15 14:20	18-dec-14	52520MBR3	S	14850000	26,5	MESF	MESF		DEAN
2014-12-15 15:09	18-dec-14	52520MBR3	S	14850000	26,53125	PERS	PERS	FSRP	C
2015-07-09 15:11	14-jul-15	52520MBR3	B	7500000	22,75	PERS	PERS	FSRP	C
2015-07-09 15:11	14-jul-15	52520MBR3	S	7500000	22,75	PERS	PERS	FSRP	MESF
2015-07-09 15:11	14-jul-15	52520MBR3	B	7500000	22,75	MESF	MESF		FSRP
2015-07-09 15:13	14-jul-15	52520MBR3	B	3000000	22,75	MESF	MESF		C
2015-07-09 15:17	14-jul-15	52520MBR3	S	10500000	22,875	MESF	MESF		ETRS
2015-07-09 15:18	14-jul-15	52520MBR3	S	10500000	22,875	ETRS	ETRS		C
2015-07-09 15:18	14-jul-15	52520MBR3	B	10500000	22,875	ETRS	ETRS		MESF
2015-07-15 14:43	20-jul-15	52520MBR3	B	9815000	40,03125	MSCO	MSCO		C
2016-04-26 12:50	29-apr-16	52520MBR3	S	9815000	35	MSCO	MSCO		C
2016-04-26 12:50	29-apr-16	52520MBR3	S	9815000	35	MSCO	MSCO		C
2016-04-26 16:45	29-apr-16	52520MBR3	S	9815000	35	MSCO	MSCO		C
2016-04-26 16:45	29-apr-16	52520MBR3	S	9815000	35	MSCO	MSCO		ETRS
2016-04-26 16:45	29-apr-16	52520MBR3	S	9815000	35	MSCO	MSCO		C
2016-04-26 16:53	29-apr-16	52520MBR3	S	9815000	35	ETRS	ETRS		C
2016-04-26 16:53	29-apr-16	52520MBR3	B	9815000	35	ETRS	ETRS		MLCO

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430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25,59375	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25,59375	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25,59375	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25,59375	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25,59375	S	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,59375	B	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,59375	B	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,59375	B	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,59375	B	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,59375	B	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,625	S	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,625	S	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,625	S	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,625	S	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,625	S	52520MBR
999999999	LEGENT CLEARING LLC	FAO NEWBRIDGE SECS CORP	120904	9 850 000	25,625	S	52520MBR
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	120904	9 850 000	27,125	B	52520MBR
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120904	9 850 000	25	S	52520MBR
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120904	9 850 000	25	S	52520MBR
999999999	MORGAN STANLEY	ALT-A-FIXED	120904	9 850 000	25	S	52520MBR
999999999	MORGAN STANLEY	ALT-A-FIXED	120904	9 850 000	25	S	52520MBR
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120904	9 850 000	25	S	52520MBR
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120904	9 850 000	25	S	52520MBR
520902557	STIFEL, NICOLAUS AND COMPANY,	INCORPORATED	120904	9 850 000	25	B	52520MBR
520902557	STIFEL, NICOLAUS AND COMPANY,	INCORPORATED	120904	9 850 000	25	B	52520MBR
999999999	MORGAN STANLEY	ALT-A-FIXED	120904	9 850 000	25	S	52520MBR
999999999	MORGAN STANLEY	ALT-A-FIXED	120904	9 850 000	25	S	52520MBR
999999999	MORGAN STANLEY	ALT-A-FIXED	120904	9 850 000	25	S	52520MBR
999999999	MORGAN STANLEY	ALT-A-FIXED	120904	9 850 000	25	S	52520MBR
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120904	9 850 000	25	S	52520MBR
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120904	9 850 000	25	S	52520MBR
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120914	4 325 000	47	S	52520MBR

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120914	4 325 000	47	S	52520MBR
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120914	4 325 000	47	S	52520MBR
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120914	4 325 000	47	S	52520MBR
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120914	4 325 000	47	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	47	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	47	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	47	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	47	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	47	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	48	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	48	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	48	S	52520MBR
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120914	4 325 000	48	B	52520MBR
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120914	4 325 000	48	B	52520MBR
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120914	4 325 000	48	B	52520MBR
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	120926	9 850 000	27,125	B	52520MBR
999999999	LEGENT CLEARING LLC	FAO NEWBRIDGE SECS CORP	120926	9 850 000	25,625	S	52520MBR
999999999	LEGENT CLEARING LLC	FAO NEWBRIDGE SECS CORP	120926	9 850 000	25,625	S	52520MBR
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	120926	9 850 000	27,125	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121213	8 000 000	32,375	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121213	8 000 000	32,375	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121213	8 000 000	32,375	B	52520MBR
999999999	LINCOLN AVENUE ABS CDO	2006-1	121213	8 000 000	32,375	S	52520MBR
999999999	LINCOLN AVENUE ABS CDO	2006-1	121213	8 000 000	32,375	S	52520MBR
999999999	LINCOLN AVENUE ABS CDO	2006-1	121213	8 000 000	32,375	S	52520MBR
260160473	IMC ASSET MANAGEMENT	500 5TH AVE FL 56	121213	8 000 000	32,875	B	52520MBR
260160473	IMC ASSET MANAGEMENT	500 5TH AVE FL 56	121213	8 000 000	32,875	B	52520MBR
260160473	IMC ASSET MANAGEMENT	500 5TH AVE FL 56	121213	8 000 000	32,875	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121213	8 000 000	32,875	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121213	8 000 000	32,875	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121213	8 000 000	32,875	S	52520MBR
133800890	DELPHI CAPITAL MANAGEMENT	FAO NAV LLC	130613	3 000 000	31,75	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	1 325 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	3 000 000	31,75	S	52520MBR
430727872	DELPHI CAPITAL MANAGEMENT	FAO SN/FINK	130613	1 325 000	31,75	B	52520MBR

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	4 325 000	31	B	52520MBR
999999999	OPTIMUS HIGH YIELD	FAO HIGH YIELD	130613	4 325 000	31	S	52520MBR
133800890	DELPHI CAPITAL MANAGEMENT	FAO NAV LLC	130613	3 000 000	31,75	B	52520MBR
133800890	DELPHI CAPITAL MANAGEMENT	FAO NAV LLC	130613	3 000 000	31,75	B	52520MBR
133800890	DELPHI CAPITAL MANAGEMENT	FAO NAV LLC	130613	3 000 000	31,75	B	52520MBR
133800890	DELPHI CAPITAL MANAGEMENT	FAO NAV LLC	130613	3 000 000	31,75	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	1 325 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	1 325 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	1 325 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	1 325 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	3 000 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	3 000 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	3 000 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	3 000 000	31,75	S	52520MBR
430727872	DELPHI CAPITAL MANAGEMENT	FAO SN/FINK	130613	1 325 000	31,75	B	52520MBR
430727872	DELPHI CAPITAL MANAGEMENT	FAO SN/FINK	130613	1 325 000	31,75	B	52520MBR
430727872	DELPHI CAPITAL MANAGEMENT	FAO SN/FINK	130613	1 325 000	31,75	B	52520MBR
430727872	DELPHI CAPITAL MANAGEMENT	FAO SN/FINK	130613	1 325 000	31,75	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	4 325 000	31	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	4 325 000	31	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	4 325 000	31	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	4 325 000	31	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	4 325 000	31	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	4 325 000	31	B	52520MBR
999999999	OPTIMUS HIGH YIELD	FAO HIGH YIELD	130613	4 325 000	31	S	52520MBR
999999999	OPTIMUS HIGH YIELD	FAO HIGH YIELD	130613	4 325 000	31	S	52520MBR
999999999	OPTIMUS HIGH YIELD	FAO HIGH YIELD	130613	4 325 000	31	S	52520MBR
999999999	OPTIMUS HIGH YIELD	FAO HIGH YIELD	130613	4 325 000	31	S	52520MBR
999999999	OPTIMUS HIGH YIELD	FICM HH TOP ACCOUNT	130613	4 325 000	31	S	52520MBR
999999999	OPTIMUS HIGH YIELD	FICM HH TOP ACCOUNT	130613	4 325 000	31	S	52520MBR
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	131120	5 525 000	32,5	S	52520MBR
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	131120	5 525 000	32,5	S	52520MBR
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	131120	5 525 000	32,5	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	5 525 000	32,5	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	5 525 000	32,5	B	52520MBR

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271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	5 525 000	32,5	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	5 525 000	33,5	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	5 525 000	33,5	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	5 525 000	33,5	S	52520MBR
430727872	SNCC FINKELSTEIN	590 MADISON AVE	131120	5 525 000	33,5	B	52520MBR
430727872	SNCC FINKELSTEIN	590 MADISON AVE	131120	5 525 000	33,5	B	52520MBR
430727872	SNCC FINKELSTEIN	590 MADISON AVE	131120	5 525 000	33,5	B	52520MBR

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25,0	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25,0	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25,0	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25,59375	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25,59375	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25,59375	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25,59375	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120904	9 850 000	25,59375	S	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,59375	B	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,59375	B	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,59375	B	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,59375	B	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,59375	B	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,625	S	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,625	S	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,625	S	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,625	S	52520MBR
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	120904	9 850 000	25,625	S	52520MBR
999999999	LEGENT CLEARING LLC	FAO NEWBRIDGE SECS CORP	120904	9 850 000	25,625	S	52520MBR
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	120904	9 850 000	27,125	B	52520MBR
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120904	9 850 000	25,0	S	52520MBR
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120904	9 850 000	25,0	S	52520MBR
999999999	MORGAN STANLEY	ALT-A-FIXED	120904	9 850 000	25,0	S	52520MBR
999999999	MORGAN STANLEY	ALT-A-FIXED	120904	9 850 000	25,0	S	52520MBR
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120904	9 850 000	25,0	S	52520MBR
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120904	9 850 000	25,0	S	52520MBR
999999999	MORGAN STANLEY	ALT-A-FIXED	120904	9 850 000	25,0	S	52520MBR
999999999	MORGAN STANLEY	ALT-A-FIXED	120904	9 850 000	25,0	S	52520MBR
520902557	STIFEL, NICOLAUS AND COMPANY,	INCORPORATED	120904	9 850 000	25,0	B	52520MBR
520902557	STIFEL, NICOLAUS AND COMPANY,	INCORPORATED	120904	9 850 000	25,0	B	52520MBR
999999999	MORGAN STANLEY	ALT-A-FIXED	120904	9 850 000	25,0	S	52520MBR
999999999	MORGAN STANLEY	ALT-A-FIXED	120904	9 850 000	25,0	S	52520MBR
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120904	9 850 000	25,0	S	52520MBR
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120904	9 850 000	25,0	S	52520MBR
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120914	4 325 000	47,0	S	52520MBR
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120914	4 325 000	47,0	S	52520MBR

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262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120914	4 325 000	47,0	S	52520MBR
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120914	4 325 000	47,0	S	52520MBR
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	120914	4 325 000	47,0	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	47,0	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	47,0	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	47,0	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	47,0	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	47,0	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	48,0	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	48,0	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	120914	4 325 000	48,0	S	52520MBR
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120914	4 325 000	48,0	B	52520MBR
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120914	4 325 000	48,0	B	52520MBR
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	120914	4 325 000	48,0	B	52520MBR
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	120926	9 850 000	27,125	B	52520MBR
999999999	LEGENT CLEARING LLC	FAO NEWBRIDGE SECS CORP	120926	9 850 000	25,625	S	52520MBR
999999999	LEGENT CLEARING LLC	FAO NEWBRIDGE SECS CORP	120926	9 850 000	25,625	S	52520MBR
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	120926	9 850 000	27,125	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121213	8 000 000	32,375	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121213	8 000 000	32,375	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121213	8 000 000	32,375	B	52520MBR
999999999	LINCOLN AVENUE ABS CDO	2006-1	121213	8 000 000	32,375	S	52520MBR
999999999	LINCOLN AVENUE ABS CDO	2006-1	121213	8 000 000	32,375	S	52520MBR
999999999	LINCOLN AVENUE ABS CDO	2006-1	121213	8 000 000	32,375	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121213	8 000 000	32,875	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121213	8 000 000	32,875	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121213	8 000 000	32,875	S	52520MBR
260160473	IMC ASSET MANAGEMENT	500 5TH AVE FL 56	121213	8 000 000	32,875	B	52520MBR
260160473	IMC ASSET MANAGEMENT	500 5TH AVE FL 56	121213	8 000 000	32,875	B	52520MBR
260160473	IMC ASSET MANAGEMENT	500 5TH AVE FL 56	121213	8 000 000	32,875	B	52520MBR
999999999	DELPHI CAPITAL MANAGEMENT INC	DELPHI CAPITAL MANAGEMENT INC	130313	5 089 382	33,0	B	52520MBR
999999999	DELPHI CAPITAL MANAGEMENT INC	DELPHI CAPITAL MANAGEMENT INC	130313	5 260 155	33,0	B	52520MBR
999999999	DELPHI CAPITAL MANAGEMENT INC	DELPHI CAPITAL MANAGEMENT INC	130313	5 260 155	33,0	B	52520MBR
999999999	IMC ASSET MANAGEMENT BV	IMC CREDIT FUND	130313	5 089 382	32,875	S	52520MBR
999999999	IMC ASSET MANAGEMENT BV	IMC CREDIT FUND	130313	5 260 155	32,875	S	52520MBR
999999999	IMC ASSET MANAGEMENT BV	IMC CREDIT FUND	130313	5 260 155	32,875	S	52520MBR

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
999999999	IMC ASSET MANAGEMENT INC	IMC ASSET MANAGEMENT INC	130313	3 961 591	32,875	S	52520MBR
999999999	DELPHI CAPITAL MANAGEMENT INC	DELPHI CAPITAL MANAGEMENT INC	130313	3 968 166	33,0	B	52520MBR
133800890	DELPHI CAPITAL MANAGEMENT	FAO NAV LLC	130613	3 000 000	31,75	B	52520MBR
430727872	DELPHI CAPITAL MANAGEMENT	FAO SN/FINK	130613	1 325 000	31,75	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	1 325 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	3 000 000	31,75	S	52520MBR
999999999	OPTIMUS HIGH YIELD	FAO HIGH YIELD	130613	4 325 000	31,0	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	4 325 000	31,0	B	52520MBR
133800890	DELPHI CAPITAL MANAGEMENT	FAO NAV LLC	130613	3 000 000	31,75	B	52520MBR
133800890	DELPHI CAPITAL MANAGEMENT	FAO NAV LLC	130613	3 000 000	31,75	B	52520MBR
133800890	DELPHI CAPITAL MANAGEMENT	FAO NAV LLC	130613	3 000 000	31,75	B	52520MBR
133800890	DELPHI CAPITAL MANAGEMENT	FAO NAV LLC	130613	3 000 000	31,75	B	52520MBR
430727872	DELPHI CAPITAL MANAGEMENT	FAO SN/FINK	130613	1 325 000	31,75	B	52520MBR
430727872	DELPHI CAPITAL MANAGEMENT	FAO SN/FINK	130613	1 325 000	31,75	B	52520MBR
430727872	DELPHI CAPITAL MANAGEMENT	FAO SN/FINK	130613	1 325 000	31,75	B	52520MBR
430727872	DELPHI CAPITAL MANAGEMENT	FAO SN/FINK	130613	1 325 000	31,75	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	1 325 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	1 325 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	1 325 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	1 325 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	3 000 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	3 000 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	3 000 000	31,75	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	3 000 000	31,75	S	52520MBR
999999999	OPTIMUS HIGH YIELD	FAO HIGH YIELD	130613	4 325 000	31,0	S	52520MBR
999999999	OPTIMUS HIGH YIELD	FAO HIGH YIELD	130613	4 325 000	31,0	S	52520MBR
999999999	OPTIMUS HIGH YIELD	FAO HIGH YIELD	130613	4 325 000	31,0	S	52520MBR
999999999	OPTIMUS HIGH YIELD	FAO HIGH YIELD	130613	4 325 000	31,0	S	52520MBR
999999999	OPTIMUS HIGH YIELD	FICM HH TOP ACCOUNT	130613	4 325 000	31,0	S	52520MBR
999999999	OPTIMUS HIGH YIELD	FICM HH TOP ACCOUNT	130613	4 325 000	31,0	S	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	4 325 000	31,0	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	4 325 000	31,0	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	4 325 000	31,0	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	4 325 000	31,0	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	4 325 000	31,0	B	52520MBR
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130613	4 325 000	31,0	B	52520MBR

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	131120	5 525 000	32,5	S	52520MBR
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	131120	5 525 000	32,5	S	52520MBR
262582511	AMERICAN RMBS EQUITY FUND IV	ABS INVESTMENT GROUP	131120	5 525 000	32,5	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	5 525 000	32,5	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	5 525 000	32,5	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	5 525 000	32,5	B	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	5 525 000	33,5	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	5 525 000	33,5	S	52520MBR
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131120	5 525 000	33,5	S	52520MBR
430727872	SNCC FINKELSTEIN	590 MADISON AVE	131120	5 525 000	33,5	B	52520MBR
430727872	SNCC FINKELSTEIN	590 MADISON AVE	131120	5 525 000	33,5	B	52520MBR
430727872	SNCC FINKELSTEIN	590 MADISON AVE	131120	5 525 000	33,5	B	52520MBR

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MARM

Filer från SEC:

- Regulatory trace 17 cusips från SEC 2019-06-28
- Bluesheet från SEC 2019-07-08

MARM

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2012-08-07 14:10	10-aug-12	576433A63	B	3187000	15,875	MSRO	MSRO		AFGT
2012-08-07 14:15	10-aug-12	576433A63	S	3187000	15,875	SWST	SWST	AFGT	MSRO
2012-08-07 15:41	10-aug-12	576433A63	B	3187000	13,875	SWST	SWST	AFGT	C
2012-08-07 15:41	10-aug-12	576433A63	B	3187000	13,875	SWST	SWST	AFGT	C
2012-10-09 10:34	12-okt-12	576433A63	S	3187000	17,25	MSRO	MSRO		C
2012-10-17 09:50	23-okt-12	576433A63	B	3187000	24,125	ARGA	ARGA		C
2012-10-17 09:51	23-okt-12	576433A63	S	3187000	25,125	ARGA	ARGA		C
2015-09-02 10:04	08-sep-15	576433A63	B	3187000	4	MESF	MESF		C
2015-09-02 10:16	08-sep-15	576433A63	S	3187000	4,0044	MESF	MESF		C

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This report was generated by Daniel Koster on Mon Jul 08 2019 20:49:54 EDT

Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
999999999	SOUTHWEST SECS INC	FAO AMBASSADOR FINANCIAL GP	120807	3 187 000	15,875	S	576433A6
363194849	MESIROW FINANCIAL INC	353 NORTH CLARK ST	120807	3 187 000	15,88	B	576433A6
751285070	G76 CLOSED	1621 N. CEDAR CREST BLVD	120807	3 187 000	15,88	S	576433A6
240568185	ESSA BANK & TRUST	200 PALMER ST	120807	3 187 000	13,88	S	576433A6
240568185	ESSA BANK & TRUST	200 PALMER ST	120807	3 187 000	13,88	S	576433A6
240568185	ESSA BANK & TRUST	200 PALMER ST	120807	3 187 000	13,88	S	576433A6
751285070	G76 CLOSED	1621 N. CEDAR CREST BLVD	120807	3 187 000	13,88	B	576433A6
751285070	G76 CLOSED	1621 N. CEDAR CREST BLVD	120807	3 187 000	13,88	B	576433A6
751285070	G76 CLOSED	1621 N. CEDAR CREST BLVD	120807	3 187 000	13,88	B	576433A6
999999999	SOUTHWEST SECS INC	FAO AMBASSADOR FINANCIAL GP	120828	3 187 000	15,875	S	576433A6
999999999	SOUTHWEST SECS INC	FAO AMBASSADOR FINANCIAL GP	120828	3 187 000	15,875	S	576433A6
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121009	3 187 000	17,25	B	576433A6
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	121010	3 187 000	17,25	B	576433A6
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121010	3 187 000	17,25	B	576433A6
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	121017	3 187 000	24,125	S	576433A6
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	121017	3 187 000	24,125	S	576433A6
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	121017	3 187 000	24,125	S	576433A6
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121017	3 187 000	24,125	B	576433A6
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121017	3 187 000	24,125	B	576433A6
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121017	3 187 000	24,125	B	576433A6
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121017	3 187 000	25,125	S	576433A6
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121017	3 187 000	25,125	S	576433A6
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121017	3 187 000	25,125	S	576433A6
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	121017	3 187 000	25,125	B	576433A6
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	121017	3 187 000	25,125	B	576433A6
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	121017	3 187 000	25,125	B	576433A6
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	121026	3 187 000	17,25	B	576433A6
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	121026	3 187 000	17,25	B	576433A6

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- Regulatory trace 17 cusips från SEC 2019-06-28

- Bluesheet från SEC 2019-07-08

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2012-10-04 15:53	10-okt-12	161546GP5	B	3000000	26	SGAS	SGAS		C
2012-11-01 16:45	06-nov-12	161546GP5	B	3000000	32,5	STFL	STFL		SGAS
2012-11-01 16:45	06-nov-12	161546GP5	S	3000000	36	STFL	STFL		MSRO
2012-11-01 16:49	06-nov-12	161546GP5	B	3000000	36	MSRO	MSRO		STFL
2012-11-01 16:50	06-nov-12	161546GP5	S	3000000	38,7	MSRO	MSRO		C
2012-11-01 16:55	06-nov-12	161546GP5	S	3000000	32,5	SGAS	SGAS		STFL
2012-11-13 08:41	20-nov-12	161546GP5	B	3000000	48	ARGA	ARGA		C
2012-11-13 08:42	20-nov-12	161546GP5	S	3000000	49	ARGA	ARGA		C
2013-08-14 10:15	19-aug-13	161546GP5	B	3000000	31	MSRO	MSRO		C
2013-08-14 10:15	19-aug-13	161546GP5	B	3000000	31	MSRO	MSRO		C
2013-08-14 10:18	19-aug-13	161546GP5	S	3000000	32,5	MSRO	MSRO		STFL
2013-08-14 12:34	19-aug-13	161546GP5	S	3000000	30,25	STFL	STFL		C
2013-08-14 12:34	19-aug-13	161546GP5	S	3000000	30,25	STFL	STFL		PWJC
2013-08-14 12:34	19-aug-13	161546GP5	S	3000000	30,25	STFL	STFL		C
2013-08-14 13:12	19-aug-13	161546GP5	S	60000	30,25	PWJC	PWJC		C
2013-08-14 13:12	19-aug-13	161546GP5	S	60000	30,25	PWJC	PWJC		C
2013-08-14 13:12	19-aug-13	161546GP5	S	60000	30,25	PWJC	PWJC		C
2013-08-14 13:12	19-aug-13	161546GP5	S	2760000	30,25	PWJC	PWJC		C
2013-08-14 13:12	19-aug-13	161546GP5	S	60000	30,25	PWJC	PWJC		C
2013-08-14 13:27	19-aug-13	161546GP5	B	3000000	32,5	STFL	STFL		MSRO
2013-08-14 13:39	19-aug-13	161546GP5	B	3000000	30,25	PWJC	PWJC		STFL
2013-08-15 10:15	19-aug-13	161546GP5	B	3000000	31	MSRO	MSRO		C
2014-01-17 11:49	23-jan-14	161546GP5	B	3000000	36,1875	PPSL	PPSL		C
2014-01-17 11:50	23-jan-14	161546GP5	S	3000000	37,3125	PPSL	PPSL		C
2018-10-03 11:46	05-okt-18	161546GP5	B	8680000	53,5	PPSL	PPSL		DEAN
2018-10-03 11:46	05-okt-18	161546GP5	S	8680000	53,5	DEAN	DEAN		PPSL
2018-10-03 11:46	05-okt-18	161546GP5	S	8680000	53,5	DEAN	DEAN		PPSL
2018-10-03 11:46	05-okt-18	161546GP5	S	8680000	53,5	DEAN	DEAN		PPSL
2018-10-03 11:53	04-okt-18	161546GP5	B	120000	53,46875	DEAN	DEAN		C
2018-10-03 11:53	04-okt-18	161546GP5	B	8165000	53,46875	DEAN	DEAN		C
2018-10-03 11:53	04-okt-18	161546GP5	B	60000	53,46875	DEAN	DEAN		C
2018-10-03 11:53	04-okt-18	161546GP5	B	135000	53,46875	DEAN	DEAN		C

CFAB

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2018-10-03 11:55	04-okt-18	161546GP5	B	20000	53,46875	DEAN	DEAN		C
2018-10-03 11:56	04-okt-18	161546GP5	B	20000	53,46875	DEAN	DEAN		C
2018-10-03 12:00	04-okt-18	161546GP5	B	160000	53,46875	DEAN	DEAN		C
2018-10-03 12:07	05-okt-18	161546GP5	S	8680000	53,5	DEAN	DEAN		PPSL
2018-10-03 12:07	05-okt-18	161546GP5	S	8680000	53,5	DEAN	DEAN		PPSL
2018-10-03 12:07	05-okt-18	161546GP5	S	8680000	53,5	DEAN	DEAN		C
2018-10-03 12:07	05-okt-18	161546GP5	S	8680000	53,5	DEAN	DEAN		C
2018-10-03 12:07	05-okt-18	161546GP5	S	8680000	53,5	DEAN	DEAN		PPSL
2018-10-03 12:07	05-okt-18	161546GP5	S	8680000	53,5	DEAN	DEAN		PPSL
2018-10-03 12:07	05-okt-18	161546GP5	S	8680000	53,5	DEAN	DEAN		PPSL
2018-10-03 12:07	05-okt-18	161546GP5	S	8680000	53,5	DEAN	DEAN		PPSL
2018-11-29 12:21	03-dec-18	161546GP5	S	8680000	68	PPSL	PPSL		C
2019-05-21 14:28	23-maj-19	161546GP5	B	8680000	61,875	PPSL	PPSL		C
2019-05-21 14:30	23-maj-19	161546GP5	S	8680000	63,625	PPSL	PPSL		C

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	121101	3 000 000	32,5	B	161546GP
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	121101	3 000 000	32,5	B	161546GP
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	121101	3 000 000	32,5	B	161546GP
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	121101	3 000 000	32,5	B	161546GP
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	121101	3 000 000	32,5	B	161546GP
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	121101	3 000 000	36	S	161546GP
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	121101	3 000 000	36	S	161546GP
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	121101	3 000 000	36	S	161546GP
999999999	STIFEL NICOLAUS & CO INC	501 N BROADWAY 8TH FL	121101	3 000 000	36	S	161546GP
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121101	3 000 000	38,7	B	161546GP
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	121105	3 000 000	38,7	B	161546GP
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121105	3 000 000	38,7	B	161546GP
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	121113	3 000 000	48	S	161546GP
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	121113	3 000 000	48	S	161546GP
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	121113	3 000 000	48	S	161546GP
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121113	3 000 000	48	B	161546GP
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121113	3 000 000	48	B	161546GP
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121113	3 000 000	48	B	161546GP
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121113	3 000 000	49	S	161546GP
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121113	3 000 000	49	S	161546GP
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121113	3 000 000	49	S	161546GP
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	121113	3 000 000	49	B	161546GP
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	121113	3 000 000	49	B	161546GP
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	121113	3 000 000	49	B	161546GP
999999999	STIFEL NICOLAUS & CO INC	501 N BROADWAY 8TH FL	121128	3 000 000	36	S	161546GP
999999999	STIFEL NICOLAUS & CO INC	501 N BROADWAY 8TH FL	121128	3 000 000	36	S	161546GP
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	121128	3 000 000	38,7	B	161546GP
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	121128	3 000 000	38,7	B	161546GP
339628105	MARC J. KESSLER	JENNIFER E. KESSLER	130814	60 000	30,25	B	161546GP
468801463	WILLIAM PUTNEY	590 WOODLAND DR	130814	60 000	30,25	B	161546GP
473909542	JOSHUA D. GREENWALD	SEP-IRA	130814	60 000	30,25	B	161546GP
980642185	PILPEL FUND	C/O APPLEBY TRUST	130814	60 000	30,25	B	161546GP
980642185	PILPEL FUND PLEDGED ACCOUNT	FBO CAPITAL FORSEIGHT HEDGE LP	130814	2 760 000	30,25	B	161546GP
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130814	3 000 000	30,25	S	161546GP
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130814	3 000 000	30,25	S	161546GP
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130814	3 000 000	30,25	S	161546GP
430538770	STIFEL,NICOLAUS	501 NORTH BROADWAY	130814	3 000 000	30,25	S	161546GP

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
430538770	STIFEL,NICOLAUS	501 NORTH BROADWAY	130814	3 000 000	30,25	S	161546GP
980642185	PILPEL FUND PLEDGED ACCOUNT	FBO CAPITAL FORSEIGHT HEDGE LP	130814	2 760 000	30,25	B	161546GP
980642185	PILPEL FUND PLEDGED ACCOUNT	FBO CAPITAL FORSEIGHT HEDGE LP	130814	2 760 000	30,25	B	161546GP
980642185	PILPEL FUND	C/O APPLEBY TRUST	130814	60 000	30,25	B	161546GP
980642185	PILPEL FUND	C/O APPLEBY TRUST	130814	60 000	30,25	B	161546GP
468801463	WILLIAM PUTNEY	590 WOODLAND DR	130814	60 000	30,25	B	161546GP
468801463	WILLIAM PUTNEY	590 WOODLAND DR	130814	60 000	30,25	B	161546GP
339628105	MARC J. KESSLER	JENNIFER E. KESSLER	130814	60 000	30,25	B	161546GP
339628105	MARC J. KESSLER	JENNIFER E. KESSLER	130814	60 000	30,25	B	161546GP
473909542	JOSHUA D. GREENWALD	SEP-IRA	130814	60 000	30,25	B	161546GP
473909542	JOSHUA D. GREENWALD	SEP-IRA	130814	60 000	30,25	B	161546GP
999999999	STIFEL NICOLAUS & CO INC	501 N BROADWAY 8TH FL	130814	3 000 000	32,5	B	161546GP
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130814	3 000 000	31	S	161546GP
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130814	3 000 000	32,5	B	161546GP
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130814	3 000 000	32,5	B	161546GP
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130814	3 000 000	32,5	B	161546GP
339628105	MARC J. KESSLER	JENNIFER E. KESSLER	130814	60 000	30,25	B	161546GP
339628105	MARC J. KESSLER	JENNIFER E. KESSLER	130814	60 000	30,25	B	161546GP
999999999	UBS FINANCIAL SVCS TRADE	1000 HARBOR BLVD	130814	3 000 000	30,25	B	161546GP
999999999	STIFEL NICOLAUS & CO INC	501 N BROADWAY 8TH FL	130815	3 000 000	32,5	B	161546GP
999999999	STIFEL NICOLAUS & CO INC	501 N BROADWAY 8TH FL	130815	3 000 000	32,5	B	161546GP
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130815	3 000 000	31	S	161546GP
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130815	3 000 000	31	S	161546GP
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130816	3 000 000	31	S	161546GP
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130816	3 000 000	31	S	161546GP
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130828	3 000 000	31	S	161546GP
999999999	STIFEL NICOLAUS & CO INC	501 N BROADWAY 8TH FL	130828	3 000 000	32,5	B	161546GP
999999999	STIFEL NICOLAUS & CO INC	501 N BROADWAY 8TH FL	130828	3 000 000	32,5	B	161546GP
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130828	3 000 000	31	S	161546GP

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Filer från SEC:

- Regulatory trace 17 cusips från SEC 2019-06-28
- Bluesheet från SEC 2019-07-08
- Bluesheet från SEC 2019-07-31

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2012-05-23 13:58	29-maj-12	12667GE82	B	4395400	19,1876	STFL	STFL		C
2012-05-25 09:28	31-maj-12	12667GE82	B	4395400	19,875	BGCF	BGCF	EBKD	STFL
2012-05-25 09:28	31-maj-12	12667GE82	S	4395400	20	BGCF	BGCF	EBKD	WEDB
2012-05-25 09:30	31-maj-12	12667GE82	B	4395400	20	WEDB	WEDB		EBKD
2012-05-25 09:31	31-maj-12	12667GE82	S	4395400	19,875	STFL	STFL		EBKD
2012-12-05 16:59	10-dec-12	12667GE82	S	4395400	16,1875	GARB	GARB		SWST
2012-12-05 16:59	10-dec-12	12667GE82	B	4395400	16,125	GARB	GARB		WEDB
2012-12-05 17:00	10-dec-12	12667GE82	B	4395400	16,1875	SWST	SWST		GARB
2012-12-05 17:00	10-dec-12	12667GE82	S	4395400	16,1875	SWST	SWST		BRGE
2012-12-05 17:01	10-dec-12	12667GE82	B	4395400	16,34375	MSRO	MSRO		BRGE
2012-12-05 17:02	10-dec-12	12667GE82	S	4395400	16,5	MSRO	MSRO		C
2012-12-05 17:04	10-dec-12	12667GE82	S	4395400	16,125	WEDB	WEDB		ICAP
2012-12-05 17:17	10-dec-12	12667GE82	S	4395400	16,34375	LGNT	LGNT	BRGE	MSRO
2012-12-05 17:17	10-dec-12	12667GE82	B	4395400	16,1875	LGNT	LGNT	BRGE	SWST
2012-12-11 10:23	18-dec-12	12667GE82	B	4395400	25	ARGA	ARGA		C
2012-12-11 10:24	18-dec-12	12667GE82	S	4395400	26	ARGA	ARGA		C
2013-08-14 10:10	19-aug-13	12667GE82	B	4395400	21,625	MSRO	MSRO		C
2013-08-14 10:10	19-aug-13	12667GE82	B	4395400	21,625	MSRO	MSRO		C
2013-08-14 10:16	19-aug-13	12667GE82	S	4395400	23,125	MSRO	MSRO		C
2013-08-14 13:47	19-aug-13	12667GE82	B	4395400	21,625	MSRO	MSRO		C
2013-08-14 13:47	19-aug-13	12667GE82	B	4395400	21,625	MSRO	MSRO		C
2013-08-15 10:10	19-aug-13	12667GE82	B	4395400	21,625	MSRO	MSRO		C
2013-08-15 13:47	19-aug-13	12667GE82	B	4395400	21,625	MSRO	MSRO		C
2013-08-15 13:47	19-aug-13	12667GE82	B	4395400	21,625	MSRO	MSRO		C

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120523	4 395 400	19,1876	B	12667GE8
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120523	4 395 400	19,1876	B	12667GE8
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120523	4 395 400	19,1876	B	12667GE8
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120523	4 395 400	19,1876	B	12667GE8
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120523	4 395 400	19,1876	B	12667GE8
999999999	VERTICAL CAPITAL LLC	FAO CP/CRE 6	120523	4 395 400	19,1876	S	12667GE8
999999999	VERTICAL CAPITAL LLC	FAO CP/CRE 6	120523	4 395 400	19,1876	S	12667GE8
999999999	VERTICAL CAPITAL LLC	FAO CP/CRE 6	120523	4 395 400	19,1876	S	12667GE8
999999999	VERTICAL CAPITAL LLC	FAO CP/CRE 6	120523	4 395 400	19,1876	S	12667GE8
999999999	VERTICAL CAPITAL LLC	FAO CP/CRE 6	120523	4 395 400	19,1876	S	12667GE8
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120525	4 395 400	19,875	S	12667GE8
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120525	4 395 400	19,875	S	12667GE8
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120525	4 395 400	19,875	S	12667GE8
751382137	C19 MORTGAGES	1201 ELM STREET	121205	4 395 400	16,19	B	12667GE8
999999999	GARBAN SECURITIES INC	1100 PLAZA FIVE	121205	4 395 400	16,19	S	12667GE8
541879031	NEWBRIDGE SECURITIES	1451 W CYPRESS CREEK RD	121205	4 395 400	16,19	B	12667GE8
751382137	C19 MORTGAGES	1201 ELM STREET	121205	4 395 400	16,19	S	12667GE8
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121205	4 395 400	16,5	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,34375	S	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,34375	S	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,34375	S	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	S	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	S	12667GE8
999999999	INVENTORY WASH ACCT	SUSPENSE ACCT	121205	4 395 400	16,1875	B	12667GE8
999999999	INVENTORY WASH ACCT	SUSPENSE ACCT	121205	4 395 400	16,1875	B	12667GE8
999999999	INVENTORY WASH ACCT	SUSPENSE ACCT	121205	4 395 400	16,1875	S	12667GE8
999999999	INVENTORY WASH ACCT	SUSPENSE ACCT	121205	4 395 400	16,1875	S	12667GE8
999999999	LEGENT CLEARING LLC	FAO NEWBRIDGE SECS CORP	121205	4 395 400	16,34375	S	12667GE8

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	121207	4 395 400	16,5	B	12667GE8
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121207	4 395 400	16,5	B	12667GE8
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	121211	4 395 400	25	S	12667GE8
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	121211	4 395 400	25	S	12667GE8
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	121211	4 395 400	25	S	12667GE8
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	4 395 400	25	B	12667GE8
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	4 395 400	25	B	12667GE8
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	4 395 400	25	B	12667GE8
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	4 395 400	26	S	12667GE8
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	4 395 400	26	S	12667GE8
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	4 395 400	26	S	12667GE8
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	121211	4 395 400	26	B	12667GE8
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	121211	4 395 400	26	B	12667GE8
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	121211	4 395 400	26	B	12667GE8
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	121226	4 395 400	16,5	B	12667GE8
999999999	LEGENT CLEARING LLC	FAO NEWBRIDGE SECS CORP	121226	4 395 400	16,34375	S	12667GE8
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	121227	4 395 400	16,5	B	12667GE8
999999999	LEGENT CLEARING LLC	FAO NEWBRIDGE SECS CORP	121227	4 395 400	16,34375	S	12667GE8
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130814	4 395 400	21,625	S	12667GE8
131898818	CREDIT SUISSE 1ST BOSTON CORP	TILDEN PARK MGMT LLC	130816	4 395 400	23,125	B	12667GE8
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130816	4 395 400	21,625	S	12667GE8
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130816	4 395 400	21,625	S	12667GE8
131898818	CREDIT SUISSE 1ST BOSTON CORP	TILDEN PARK MGMT LLC	130827	4 395 400	23,125	B	12667GE8
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130827	4 395 400	21,625	S	12667GE8
131898818	CREDIT SUISSE 1ST BOSTON CORP	TILDEN PARK MGMT LLC	130827	4 395 400	23,125	B	12667GE8
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130827	4 395 400	21,625	S	12667GE8
131898818	CREDIT SUISSE 1ST BOSTON CORP	TILDEN PARK MGMT LLC	130828	4 395 400	23,125	B	12667GE8
131898818	CREDIT SUISSE 1ST BOSTON CORP	TILDEN PARK MGMT LLC	130828	4 395 400	23,125	B	12667GE8

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120523	4 395 400	19,1876	B	12667GE8
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120523	4 395 400	19,1876	B	12667GE8
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120523	4 395 400	19,1876	B	12667GE8
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120523	4 395 400	19,1876	B	12667GE8
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120523	4 395 400	19,1876	B	12667GE8
999999999	VERTICAL CAPITAL LLC	FAO CP/CRE 6	120523	4 395 400	19,1876	S	12667GE8
999999999	VERTICAL CAPITAL LLC	FAO CP/CRE 6	120523	4 395 400	19,1876	S	12667GE8
999999999	VERTICAL CAPITAL LLC	FAO CP/CRE 6	120523	4 395 400	19,1876	S	12667GE8
999999999	VERTICAL CAPITAL LLC	FAO CP/CRE 6	120523	4 395 400	19,1876	S	12667GE8
999999999	VERTICAL CAPITAL LLC	FAO CP/CRE 6	120523	4 395 400	19,1876	S	12667GE8
952495390	WEDBUSH SECURITIES	1000 WILSHIRE BLVD.	120525	4 395 400	20,0	B	12667GE8
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120525	4 395 400	19,875	S	12667GE8
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120525	4 395 400	19,875	S	12667GE8
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	120525	4 395 400	19,875	S	12667GE8
952495390	WEDBUSH SECURITIES INC.	1000 WILSHIRE BLVD	121205	4 395 400	16,125	S	12667GE8
952495390	WEDBUSH SECURITIES INC.	1000 WILSHIRE BLVD	121205	4 395 400	16,125	S	12667GE8
751382137	C19 MORTGAGES	1201 ELM STREET	121205	4 395 400	16,19	B	12667GE8
999999999	GARBAN SECURITIES INC	1100 PLAZA FIVE	121205	4 395 400	16,19	S	12667GE8
751382137	C19 MORTGAGES	1201 ELM STREET	121205	4 395 400	16,19	S	12667GE8
541879031	NEWBRIDGE SECURITIES	1451 W CYPRESS CREEK RD	121205	4 395 400	16,19	B	12667GE8
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121205	4 395 400	16,5	B	12667GE8
999999999	INVENTORY WASH ACCT	SUSPENSE ACCT	121205	4 395 400	16,1875	B	12667GE8
999999999	INVENTORY WASH ACCT	SUSPENSE ACCT	121205	4 395 400	16,1875	B	12667GE8
999999999	INVENTORY WASH ACCT	SUSPENSE ACCT	121205	4 395 400	16,1875	S	12667GE8
999999999	INVENTORY WASH ACCT	SUSPENSE ACCT	121205	4 395 400	16,1875	S	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	B	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	S	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,1875	S	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,34375	S	12667GE8
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,34375	S	12667GE8

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
541879031	NEWBRIDGE SECURITIES CORP.	1451 WEST CYPRESS CREEK ROAD	121205	4 395 400	16,34375	S	12667GE8
999999999	LEGENT CLEARING LLC	FAO NEWBRIDGE SECS CORP	121205	4 395 400	16,34375	S	12667GE8
133858854	ICAP CORPORATES, LLC	101 HUDSON STREET	121205	4 395 400	16,1875	B	12667GE8
133858854	ICAP CORPORATES, LLC	101 HUDSON STREET	121205	4 395 400	16,1875	B	12667GE8
133858854	ICAP CORPORATES, LLC	101 HUDSON STREET	121205	4 395 400	16,1875	B	12667GE8
133858854	ICAP CORPORATES, LLC	101 HUDSON STREET	121205	4 395 400	16,1875	B	12667GE8
133858854	ICAP CORPORATES, LLC	101 HUDSON STREET	121205	4 395 400	16,1875	B	12667GE8
133858854	ICAP CORPORATES, LLC	101 HUDSON STREET	121205	4 395 400	16,125	SS	12667GE8
133858854	ICAP CORPORATES, LLC	101 HUDSON STREET	121205	4 395 400	16,125	SS	12667GE8
133858854	ICAP CORPORATES, LLC	101 HUDSON STREET	121205	4 395 400	16,125	SS	12667GE8
133858854	ICAP CORPORATES, LLC	101 HUDSON STREET	121205	4 395 400	16,125	SS	12667GE8
133858854	ICAP CORPORATES, LLC	101 HUDSON STREET	121205	4 395 400	16,125	SS	12667GE8
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121207	4 395 400	16,5	B	12667GE8
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	121207	4 395 400	16,5	B	12667GE8
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	121211	4 395 400	25,0	S	12667GE8
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	121211	4 395 400	25,0	S	12667GE8
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	121211	4 395 400	25,0	S	12667GE8
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	4 395 400	25,0	B	12667GE8
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	4 395 400	25,0	B	12667GE8
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	4 395 400	25,0	B	12667GE8
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	4 395 400	26,0	S	12667GE8
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	4 395 400	26,0	S	12667GE8
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	4 395 400	26,0	S	12667GE8
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	121211	4 395 400	26,0	B	12667GE8
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	121211	4 395 400	26,0	B	12667GE8
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	121211	4 395 400	26,0	B	12667GE8
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	121226	4 395 400	16,5	B	12667GE8
999999999	LEGENT CLEARING LLC	FAO NEWBRIDGE SECS CORP	121226	4 395 400	16,34375	S	12667GE8
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	121227	4 395 400	16,5	B	12667GE8
999999999	LEGENT CLEARING LLC	FAO NEWBRIDGE SECS CORP	121227	4 395 400	16,34375	S	12667GE8
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130814	4 395 400	21,625	S	12667GE8
131898818	CREDIT SUISSE 1ST BOSTON CORP	TILDEN PARK MGMT LLC	130816	4 395 400	23,125	B	12667GE8
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130816	4 395 400	21,625	S	12667GE8
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130816	4 395 400	21,625	S	12667GE8
131898818	CREDIT SUISSE 1ST BOSTON CORP	TILDEN PARK MGMT LLC	130827	4 395 400	23,125	B	12667GE8
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130827	4 395 400	21,625	S	12667GE8

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This report was generated by Daniel Koster on Wed Jul 31 2019 08:44:45 EDT

Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
131898818	CREDIT SUISSE 1ST BOSTON CORP	TILDEN PARK MGMT LLC	130827	4 395 400	23,125	B	12667GE8
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130827	4 395 400	21,625	S	12667GE8
131898818	CREDIT SUISSE 1ST BOSTON CORP	TILDEN PARK MGMT LLC	130828	4 395 400	23,125	B	12667GE8
131898818	CREDIT SUISSE 1ST BOSTON CORP	TILDEN PARK MGMT LLC	130828	4 395 400	23,125	B	12667GE8

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- Regulatory trace 17 cusips från SEC 2019-06-28
- Bluesheet från SEC 2019-07-08
- Bluesheet från SEC 2019-07-31

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2012-05-18 11:15	23-maj-12	45661EAW4	B	2000000	16	LNKS	LNKS		FBCO
2012-05-18 11:20	23-maj-12	45661EAW4	S	2000000	16,25	LNKS	LNKS		C
2012-05-18 11:22	23-maj-12	45661EAW4	S	2000000	16	FBCO	FBCO		LNKS
2012-05-18 11:22	23-maj-12	45661EAW4	B	2000000	15,9936	FBCO	FBCO		C
2012-10-10 17:22	15-okt-12	45661EAW4	B	1550000	16,5	BCAP	BCAP		C
2012-10-15 16:03	18-okt-12	45661EAW4	S	1550000	21	BCAP	BCAP		C
2012-11-29 12:56	04-dec-12	45661EAW4	B	5350000	16,5	MSRO	MSRO		BCAP
2012-11-29 18:01	04-dec-12	45661EAW4	S	5350000	16,5	BCAP	BCAP		MSRO
2012-11-29 18:01	04-dec-12	45661EAW4	B	5350000	15,9225	BCAP	BCAP		C
2012-12-05 10:50	10-dec-12	45661EAW4	S	5350000	20,5	MSRO	MSRO		C
2012-12-11 10:25	18-dec-12	45661EAW4	B	5350000	27	ARGA	ARGA		C
2012-12-11 10:27	18-dec-12	45661EAW4	S	5350000	28	ARGA	ARGA		C
2013-02-08 14:27	13-feb-13	45661EAW4	B	5350000	24,5	MSRO	MSRO		C
2013-02-08 14:32	13-feb-13	45661EAW4	S	5350000	25,375	MSRO	MSRO		C
2013-02-08 14:32	13-feb-13	45661EAW4	S	5350000	25,5	MSRO	MSRO		C
2013-02-08 14:32	13-feb-13	45661EAW4	S	5350000	25,5	MSRO	MSRO		C
2013-02-08 14:43	13-feb-13	45661EAW4	B	5350000	25,375	PERS	PERS	FARS	MSRO
2013-02-08 14:44	13-feb-13	45661EAW4	S	5350000	25,484375	PERS	PERS	FARS	C
2013-02-26 16:24	01-mar-13	45661EAW4	B	3100000	24	RJFI	RJFI		BCAP
2013-02-26 16:31	01-mar-13	45661EAW4	S	3100000	24,953125	RJFI	RJFI		C
2013-02-26 16:45	01-mar-13	45661EAW4	B	450000	23,16	BCAP	BCAP		C
2013-02-26 16:45	01-mar-13	45661EAW4	B	450000	23,16	BCAP	BCAP		C
2013-02-26 17:30	01-mar-13	45661EAW4	S	3100000	24	BCAP	BCAP		RJFI
2013-02-26 17:30	01-mar-13	45661EAW4	B	3100000	23,16	BCAP	BCAP		C
2013-05-16 13:10	21-maj-13	45661EAW4	B	4000000	20	FBCO	FBCO		C
2013-09-12 15:42	17-sep-13	45661EAW4	B	3100000	27,125	MAMA	MAMA		CFCO
2013-09-12 15:43	17-sep-13	45661EAW4	S	1500000	27,15625	MAMA	MAMA		C
2013-09-12 15:43	17-sep-13	45661EAW4	S	1600000	27,15625	MAMA	MAMA		C
2013-09-12 15:43	17-sep-13	45661EAW4	B	3100000000	25,5	ODNC	ODNC		C
2013-09-12 15:43	17-sep-13	45661EAW4	B	3100000	25,5	ODNC	ODNC		C
2013-09-12 15:43	17-sep-13	45661EAW4	B	3100000000	25,5	ODNC	ODNC		C
2013-09-12 15:47	17-sep-13	45661EAW4	B	3100000	26,75	CFCO	CFCO		SFSS

PM avseende material erhållet från SEC.pdf

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2013-09-12 15:49	17-sep-13	45661EAW4	S	3100000	27,125	CFCO	CFCO		MAMA
2013-09-12 15:56	17-sep-13	45661EAW4	S	3100000	26,25	ODNC	ODNC		C
2013-09-12 15:59	17-sep-13	45661EAW4	B	3100000	26,25	SFSS	SFSS		ODNC
2013-09-12 16:04	17-sep-13	45661EAW4	S	3100000	26,75	SFSS	SFSS		CFCO
2013-09-17 13:17	20-sep-13	45661EAW4	B	4500000	26,625	CFCO	CFCO		SFSS
2013-09-17 13:18	20-sep-13	45661EAW4	S	4500000	27,375	CFCO	CFCO		C
2013-09-17 13:28	20-sep-13	45661EAW4	B	4500000	27,375	MAMA	MAMA		CFCO
2013-09-17 13:31	20-sep-13	45661EAW4	S	1700000	27,40625	MAMA	MAMA		C
2013-09-17 13:31	20-sep-13	45661EAW4	S	200000	27,40625	MAMA	MAMA		C
2013-09-17 13:31	20-sep-13	45661EAW4	S	170000	27,40625	MAMA	MAMA		C
2013-09-17 13:31	20-sep-13	45661EAW4	S	170000	27,40625	MAMA	MAMA		C
2013-09-17 13:31	20-sep-13	45661EAW4	S	2090000	27,40625	MAMA	MAMA		C
2013-09-17 13:31	20-sep-13	45661EAW4	S	170000	27,40625	MAMA	MAMA		C
2013-09-17 14:45	20-sep-13	45661EAW4	S	4500000	26,625	SFSS	SFSS		CFCO
2013-09-17 14:45	20-sep-13	45661EAW4	B	4500000	26,125	SFSS	SFSS		C
2013-10-11 15:05	17-okt-13	45661EAW4	S	1700000	27,425	MAMA	MAMA		C
2013-10-11 15:05	17-okt-13	45661EAW4	B	1700000	27,41	MAMA	MAMA		C
2013-10-22 16:39	25-okt-13	45661EAW4	B	1550000	33,25	BARD	BARD		C
2013-10-22 16:40	25-okt-13	45661EAW4	B	7600000	33,25	BARD	BARD		C
2013-10-22 16:40	25-okt-13	45661EAW4	B	7600000	33,25	BARD	BARD		C
2013-10-22 16:40	25-okt-13	45661EAW4	B	7600000	33,25	BARD	BARD		MAMA
2013-10-22 16:44	25-okt-13	45661EAW4	B	10000000	34,25	BARD	BARD		C
2013-10-22 16:46	25-okt-13	45661EAW4	S	19150000	35,375	BARD	BARD		C
2013-10-22 16:47	25-okt-13	45661EAW4	S	7600000	33,25	MAMA	MAMA		BARD
2013-10-22 16:57	25-okt-13	45661EAW4	B	170000	33,1875	MAMA	MAMA		C
2013-10-22 16:57	25-okt-13	45661EAW4	B	170000	33,1875	MAMA	MAMA		C
2013-10-22 16:57	25-okt-13	45661EAW4	B	2090000	33,1875	MAMA	MAMA		C
2013-10-22 16:57	25-okt-13	45661EAW4	B	200000	33,1875	MAMA	MAMA		C
2013-10-22 16:57	25-okt-13	45661EAW4	B	1700000	33,1875	MAMA	MAMA		C
2013-10-22 16:57	25-okt-13	45661EAW4	B	170000	33,1875	MAMA	MAMA		C
2013-10-22 16:57	25-okt-13	45661EAW4	B	1600000	33,1875	MAMA	MAMA		C
2013-10-22 16:57	25-okt-13	45661EAW4	B	1500000	33,1875	MAMA	MAMA		C

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2013-11-20 11:54	25-nov-13	45661EAW4	B	700000	32,5	MESF	MESF		BCAP
2013-11-20 12:08	25-nov-13	45661EAW4	S	700000	35	MESF	MESF		C
2013-11-20 17:03	25-nov-13	45661EAW4	S	700000	32,5	BCAP	BCAP		MESF
2013-11-20 17:03	25-nov-13	45661EAW4	B	700000	31,3625	BCAP	BCAP		C
2014-01-09 13:39	14-jan-14	45661EAW4	B	15000000	41	MSCO	MSCO		C
2014-01-09 14:45	14-jan-14	45661EAW4	B	5350000	39,625	PERS	PERS	BBNI	C
2014-01-09 14:45	14-jan-14	45661EAW4	B	5350000	39,625	PERS	PERS	BBNI	C
2014-01-09 14:45	14-jan-14	45661EAW4	S	5350000	39,625	PERS	PERS	BBNI	C
2014-01-09 14:45	14-jan-14	45661EAW4	S	5350000	39,625	PERS	PERS	BBNI	C
2014-01-09 14:45	14-jan-14	45661EAW4	S	5350000	39,625	PERS	PERS	BBNI	C
2014-01-09 15:01	14-jan-14	45661EAW4	B	5350000	39	PERS	PERS	BBNI	C
2014-04-01 14:19	04-apr-14	45661EAW4	B	1350000	38,29	DBKS	DBKS		C
2014-04-01 14:24	04-apr-14	45661EAW4	S	1350000	38,46875	DBKS	DBKS		C
2014-04-22 13:54	25-apr-14	45661EAW4	B	17535000	41,25	MSCO	MSCO		BCAP
2014-04-22 14:02	25-apr-14	45661EAW4	S	17535000	41,25	BCAP	BCAP		MSCO
2014-04-22 14:02	25-apr-14	45661EAW4	B	17535000	39,80625	BCAP	BCAP		C
2014-04-22 14:02	25-apr-14	45661EAW4	S	17535000	41,25	BCAP	BCAP		MESF
2014-04-22 14:02	25-apr-14	45661EAW4	S	17535000	41,25	BCAP	BCAP		MESF
2014-05-28 09:06	02-jun-14	45661EAW4	B	21200000	44	MSCO	MSCO		C
2014-10-01 12:18	06-okt-14	45661EAW4	B	4000000	42,55	DBKS	DBKS		SFSS
2014-10-01 12:19	06-okt-14	45661EAW4	S	4000000	42,55	SFSS	SFSS		DBKS
2014-10-01 12:19	06-okt-14	45661EAW4	B	4000000	42,05	SFSS	SFSS		C
2015-01-16 10:47	22-jan-15	45661EAW4	S	4000000	43,5	DBKS	DBKS		C
2015-01-16 12:00	22-jan-15	45661EAW4	S	9350000	47,5	DNWL	DNWL		C
2015-01-16 12:00	22-jan-15	45661EAW4	B	9350000	46,5	DNWL	DNWL		C
2015-02-13 00:00	19-feb-15	45661EAW4	B	109000000	50,255	MSCO	MSCO		C
2015-02-13 14:24	19-feb-15	45661EAW4	S	109000000	50,875	MSCO	MSCO		C
2015-02-13 15:08	19-feb-15	45661EAW4	S	53735000	50,875	MSCO	MSCO		C
2015-02-13 15:36	19-feb-15	45661EAW4	S	4000000	49	FBCO	FBCO		C
2015-04-28 10:03	01-maj-15	45661EAW4	B	4500000	40,15625	BCAP	BCAP		UBSW
2015-05-19 16:06	22-maj-15	45661EAW4	S	4500000	48,25	BCAP	BCAP		C
2017-01-10 14:09	13-jan-17	45661EAW4	B	7100000	55	STFL	STFL		C

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2017-01-10 15:02	13-jan-17	45661EAW4	S	7100000	57,75	STFL	STFL		KGSA
2017-01-10 15:19	13-jan-17	45661EAW4	B	7100000	57,75	KGSA	KGSA		STFL
2017-01-10 15:19	13-jan-17	45661EAW4	S	7100000	58,125	KGSA	KGSA		C
2017-01-11 12:20	17-jan-17	45661EAW4	B	7100000	60,625	EDFC	EDFC		C
2017-01-11 12:37	17-jan-17	45661EAW4	S	7100000	62,25	EDFC	EDFC		C
2017-07-19 09:47	24-jul-17	45661EAW4	B	133000	55,0625	OPCO	OPCO		C
2018-05-07 10:31	09-maj-18	45661EAW4	S	155000	63,25	OPCO	OPCO		NACL
2018-05-07 10:31	09-maj-18	45661EAW4	S	155000	63,25	OPCO	OPCO		NACL
2018-05-07 10:31	09-maj-18	45661EAW4	S	133000	63,25	OPCO	OPCO		NACL
2018-05-07 10:33	09-maj-18	45661EAW4	B	155000	63,25	NACL	NACL		OPCO
2018-05-07 10:33	09-maj-18	45661EAW4	B	155000	63,25	NACL	NACL		OPCO
2018-05-07 10:33	09-maj-18	45661EAW4	B	133000	63,25	NACL	NACL		OPCO
2018-05-07 15:47	09-maj-18	45661EAW4	S	133000	63,75	NACL	NACL		DEAN
2018-05-07 15:47	09-maj-18	45661EAW4	B	133000	63,75	DEAN	DEAN		NACL
2018-05-07 15:58	09-maj-18	45661EAW4	S	133000	64,25	DEAN	DEAN		C
2018-08-27 15:05	29-aug-18	45661EAW4	B	180585000	90,75	PPSL	PPSL		C
2018-10-24 17:52	26-okt-18	45661EAW4	S	60195000	98,5	PPSL	PPSL		C
2018-10-30 14:30	01-nov-18	45661EAW4	S	59390000	98,5	PPSL	PPSL		C
2019-04-01 16:54	03-apr-19	45661EAW4	B	132000	74,59375	SPAC	SPAC		STFL
2019-04-01 16:54	03-apr-19	45661EAW4	B	132000	74,59375	STFL	STFL		C
2019-04-01 16:54	03-apr-19	45661EAW4	S	132000	74,59375	STFL	STFL		SPAC
2019-04-08 12:01	10-apr-19	45661EAW4	B	119585000	91,4375	PPSL	PPSL		C
2019-04-08 12:05	10-apr-19	45661EAW4	S	59000000	94,125	PPSL	PPSL		C
2019-04-08 12:05	10-apr-19	45661EAW4	S	121585000	94,125	PPSL	PPSL		C
2019-04-08 13:51	10-apr-19	45661EAW4	S	132000	86,5	SPAC	SPAC		C

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Bluesheet Data
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Daniel Koster on Mon Jul 08 2019 20:50:14 EDT

Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	120518	2 000 000	16	B	45661EAW
131898818	CREDIT SUISSE SECURITIES USA L	A/C: BREVAN HOWARD CREDIT	120518	2 000 000	16,25	B	45661EAW
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	120518	2 000 000	16,25	S	45661EAW
999999999	BARCLAYS CAPITAL/FIXED INCOME	200 PARK AVE	121129	5 350 000	16,5	S	45661EAW
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121205	5 350 000	20,5	B	45661EAW
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	121207	5 350 000	20,5	B	45661EAW
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121207	5 350 000	20,5	B	45661EAW
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	121211	5 350 000	27	S	45661EAW
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	5 350 000	27	B	45661EAW
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	5 350 000	28	S	45661EAW
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	121211	5 350 000	28	B	45661EAW
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130208	5 350 000	24,5	S	45661EAW
010594168	FURTHER LANE SECURITIES LP	--STRUCTURED PRODUCTS II--	130208	5 350 000	25,375	B	45661EAW
010594168	FURTHER LANE SECURITIES LP	--STRUCTURED PRODUCTS II--	130208	5 350 000	25,484375	S	45661EAW
455536792	SECOND BRIDGE CAPITAL RMBS FD	555 MADISON AVENUE	130208	5 350 000	25,484375	B	45661EAW
999999999	PERSHING LLC	FAO FURTHER LANE SECURITIES	130208	5 350 000	25,375	B	45661EAW
999999999	BARCLAYS CAPITAL INC	200 PARK AVENUE	130226	3 100 000	23,999999	B	45661EAW
999999999	BARCLAYS CAPITAL INC	200 PARK AVENUE	130226	3 100 000	23,999999	B	45661EAW
999999999	BARCLAYS CAPITAL INC	200 PARK AVENUE	130226	3 100 000	23,999999	S	45661EAW
999999999	WYNKOOP LLC	FAO OMNIBUS	130226	3 100 000	24,953124	B	45661EAW
999999999	WYNKOOP LLC	FAO OMNIBUS	130226	3 100 000	24,953124	S	45661EAW
999999999	WYNKOOP LLC	FAO TIMBERLINE	130226	3 100 000	24,953124	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130912	3 100 000	27,125	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130912	1 500 000	27,15625	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130912	1 600 000	27,15625	S	45661EAW
585248078	DAVID PERINI IRA SEP	JPMCC CUST.	130912	1 500 000	27,15625	B	45661EAW
585690111	MICHAEL PERINI IRA SEP	JPMCC CUST.	130912	1 600 000	27,15625	B	45661EAW
263331252	ODEON CAPITAL GROUP LLC	--FACILITATION ACCOUNT--	130912	3 100 000	25,5	S	45661EAW
263331252	ODEON CAPITAL GROUP LLC	--FACILITATION ACCOUNT--	130912	3 100 000	25,5	S	45661EAW
263331252	ODEON CAPITAL GROUP LLC	--RISKLESS PRINCIPAL ACCOUNT--	130912	3 100 000	25,5	B	45661EAW
263331252	ODEON CAPITAL GROUP LLC	--RISKLESS PRINCIPAL ACCOUNT--	130912	3 100 000	25,5	B	45661EAW
263331252	ODEON CAPITAL GROUP LLC	--RISKLESS PRINCIPAL ACCOUNT--	130912	3 100 000	25,5	B	45661EAW
264371035	WYNKOOP LLC TIMBERLINE FUND	WELLS FARGO BANK NA	130912	3 100 000	25,5	S	45661EAW
263331252	ODEON CAPITAL GROUP LLC	--RISKLESS PRINCIPAL ACCOUNT--	130912	3 100 000	26,25	S	45661EAW
943123636	SF SENTRY SECURITIES, INC	100 PINE STREET	130912	3 100 000	26,25	B	45661EAW

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Bluesheet Data
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Daniel Koster on Mon Jul 08 2019 20:50:14 EDT

Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
943123636	SF SENTRY SECURITIES INC	GPC	130912	3 100 000	26,25	B	45661EAW
943123636	SF SENTRY SECURITIES INC	GPC	130912	3 100 000	26,75	S	45661EAW
133680184	UNALLOCATED TRADE ACCOUNT		130912	3 100 000	26,75	S	45661EAW
133680184	UNALLOCATED TRADE ACCOUNT		130912	3 100 000	26,75	S	45661EAW
133680184	UNALLOCATED TRADE ACCOUNT		130912	3 100 000	26,75	S	45661EAW
133680184	UNALLOCATED TRADE ACCOUNT		130912	3 100 000	26,75	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP	ATTN: DEBBIE REGAN	130912	3 100 000	27,125	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP	ATTN: DEBBIE REGAN	130912	3 100 000	27,125	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP	ATTN: DEBBIE REGAN	130912	3 100 000	27,125	B	45661EAW
943123636	GARRISON POINT CAPITAL LLC	(B2B SFSS DTC 0235)	130912	3 100 000	26,75	S	45661EAW
943123636	GARRISON POINT CAPITAL LLC	(B2B SFSS DTC 0235)	130912	3 100 000	26,75	S	45661EAW
943123636	GARRISON POINT CAPITAL LLC	(B2B SFSS DTC 0235)	130912	3 100 000	26,75	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130917	4 500 000	27,375	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130917	170 000	27,40625	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130917	170 000	27,40625	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130917	170 000	27,40625	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130917	200 000	27,40625	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130917	1 700 000	27,40625	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130917	2 090 000	27,40625	S	45661EAW
525578357	JOHN D PERINI	2020 MISSION AVE	130917	170 000	27,40625	B	45661EAW
585365829	CHARLES RUSSELL HARPER	P O BOX 3189	130917	200 000	27,40625	B	45661EAW
585420923	CLAY & LINDA WILSON REV TRUST	CLAY & LINDA WILSON TTEES	130917	2 090 000	27,40625	B	45661EAW
585669465	BOBBY GENE BRANCH IRA	JPMCC CUST.	130917	170 000	27,40625	B	45661EAW
585690111	MICHAEL PERINI	1504 W RIVERSIDE DRIVE	130917	1 700 000	27,40625	B	45661EAW
648016767	JAYDEN HALL JENKINS	413 WEST CHERRY LANE	130917	170 000	27,40625	B	45661EAW
660613152	UBS SECURITIES LLC	F/A/O DSC MASTER FUND, LP	130917	4 500 000	26,125	S	45661EAW
943123636	SF SENTRY SECURITIES INC	GPC	130917	4 500 000	26,125	B	45661EAW
943123636	SF SENTRY SECURITIES INC	GPC	130917	4 500 000	26,625	S	45661EAW
133680184	UNALLOCATED TRADE ACCOUNT		130917	4 500 000	26,625	S	45661EAW
133680184	UNALLOCATED TRADE ACCOUNT		130917	4 500 000	26,625	S	45661EAW
452988320	PERINI CAPITAL LLC	C/O PERINI CAPITAL LLC	130917	4 500 000	27,375	B	45661EAW
943123636	GARRISON POINT CAPITAL LLC	(B2B SFSS DTC 0235)	130917	4 500 000	26,625	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131011	1 700 000	27,41	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131011	1 700 000	27,425	S	45661EAW
585690111	MICHAEL PERINI	1504 W RIVERSIDE DRIVE	131011	1 700 000	27,41	S	45661EAW

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
592079071	JP MORGAN PRIVATE BANK FAO	JIM HARRIS	131011	1 700 000	27,425	B	45661EAW
262178291	DEER PARK ROAD CORP	F/A STS PARTNERS FUND LP	131022	1 550 000	33,25	S	45661EAW
262178291	DEER PARK ROAD CORP	F/A STS PARTNERS FUND LP	131022	1 550 000	33,25	S	45661EAW
262178291	DEER PARK ROAD CORP	F/A STS PARTNERS FUND LP	131022	1 550 000	33,25	S	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	1 550 000	33,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	1 550 000	33,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	1 550 000	33,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	7 600 000	33,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	7 600 000	33,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	7 600 000	33,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	2 157 000	34,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	2 157 000	34,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	2 157 000	34,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	7 843 000	34,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	7 843 000	34,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	7 843 000	34,25	B	45661EAW
999999999	DW INESTMENT MANAGEMENT	FA BHM-755228 BREVAN HOWARD	131022	7 843 000	34,25	S	45661EAW
999999999	DW INESTMENT MANAGEMENT	FA BHM-755228 BREVAN HOWARD	131022	7 843 000	34,25	S	45661EAW
999999999	DW INESTMENT MANAGEMENT	FA BHM-755228 BREVAN HOWARD	131022	7 843 000	34,25	S	45661EAW
999999999	DW INVESTMENT MGT	F/A BCC-7591E BREVAN HOWARD	131022	2 157 000	34,25	S	45661EAW
999999999	DW INVESTMENT MGT	F/A BCC-7591E BREVAN HOWARD	131022	2 157 000	34,25	S	45661EAW
999999999	DW INVESTMENT MGT	F/A BCC-7591E BREVAN HOWARD	131022	2 157 000	34,25	S	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	19 150 000	35,375	S	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	19 150 000	35,375	S	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	19 150 000	35,375	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	7 600 000	33,25	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	7 600 000	33,25	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	7 600 000	33,25	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	200 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	200 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	200 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 500 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 500 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 500 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 600 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 600 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 600 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 700 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 700 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 700 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	2 090 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	2 090 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	2 090 000	33,1875	B	45661EAW
525578357	JOHN D PERINI	2020 MISSION AVE	131022	170 000	33,1875	S	45661EAW
525578357	JOHN D PERINI	2020 MISSION AVE	131022	170 000	33,1875	S	45661EAW
525578357	JOHN D PERINI	2020 MISSION AVE	131022	170 000	33,1875	S	45661EAW
585248078	DAVID PERINI IRA SEP	JPMCC CUST.	131022	1 500 000	33,1875	S	45661EAW
585248078	DAVID PERINI IRA SEP	JPMCC CUST.	131022	1 500 000	33,1875	S	45661EAW
585248078	DAVID PERINI IRA SEP	JPMCC CUST.	131022	1 500 000	33,1875	S	45661EAW
585365829	CHARLES RUSSELL HARPER	P O BOX 3189	131022	200 000	33,1875	S	45661EAW
585365829	CHARLES RUSSELL HARPER	P O BOX 3189	131022	200 000	33,1875	S	45661EAW
585365829	CHARLES RUSSELL HARPER	P O BOX 3189	131022	200 000	33,1875	S	45661EAW
585420923	CLAY & LINDA WILSON REV TRUST	CLAY & LINDA WILSON TTEES	131022	2 090 000	33,1875	S	45661EAW
585420923	CLAY & LINDA WILSON REV TRUST	CLAY & LINDA WILSON TTEES	131022	2 090 000	33,1875	S	45661EAW
585420923	CLAY & LINDA WILSON REV TRUST	CLAY & LINDA WILSON TTEES	131022	2 090 000	33,1875	S	45661EAW
585669465	BOBBY GENE BRANCH IRA	JPMCC CUST.	131022	170 000	33,1875	S	45661EAW
585669465	BOBBY GENE BRANCH IRA	JPMCC CUST.	131022	170 000	33,1875	S	45661EAW
585669465	BOBBY GENE BRANCH IRA	JPMCC CUST.	131022	170 000	33,1875	S	45661EAW
585690111	MICHAEL PERINI IRA SEP	JPMCC CUST.	131022	1 600 000	33,1875	S	45661EAW
585690111	MICHAEL PERINI IRA SEP	JPMCC CUST.	131022	1 600 000	33,1875	S	45661EAW
585690111	MICHAEL PERINI IRA SEP	JPMCC CUST.	131022	1 600 000	33,1875	S	45661EAW

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592079071	JP MORGAN PRIVATE BANK FAO	JIM HARRIS	131022	1 700 000	33,1875	S	45661EAW
592079071	JP MORGAN PRIVATE BANK FAO	JIM HARRIS	131022	1 700 000	33,1875	S	45661EAW
592079071	JP MORGAN PRIVATE BANK FAO	JIM HARRIS	131022	1 700 000	33,1875	S	45661EAW
648016767	JAYDEN HALL JENKINS	413 WEST CHERRY LANE	131022	170 000	33,1875	S	45661EAW
648016767	JAYDEN HALL JENKINS	413 WEST CHERRY LANE	131022	170 000	33,1875	S	45661EAW
648016767	JAYDEN HALL JENKINS	413 WEST CHERRY LANE	131022	170 000	33,1875	S	45661EAW
061031656	BARCLAYS CAPITAL	BARCLAYS WEALTH MANAGEMENT	131120	700 000	32,5	S	45661EAW
061031656	BARCLAYS CAPITAL	BARCLAYS WEALTH MANAGEMENT	131120	700 000	32,5	S	45661EAW
061031656	BARCLAYS CAPITAL	BARCLAYS WEALTH MANAGEMENT	131120	700 000	32,5	S	45661EAW
363194849	MESIROW FINANCIAL INC	CMO RISKLESS	131120	700 000	32,5	B	45661EAW
363194849	MESIROW FINANCIAL INC	CMO RISKLESS	131120	700 000	32,5	B	45661EAW
363194849	MESIROW FINANCIAL INC	CMO RISKLESS	131120	700 000	32,5	B	45661EAW
061031656	LIBREMAX	VALUE MASTER AT BARCLAYS PB	131120	700 000	35	B	45661EAW
061031656	LIBREMAX	VALUE MASTER AT BARCLAYS PB	131120	700 000	35	B	45661EAW
061031656	LIBREMAX	VALUE MASTER AT BARCLAYS PB	131120	700 000	35	B	45661EAW
363194849	MESIROW FINANCIAL INC	CMO RISKLESS	131120	700 000	35	S	45661EAW
363194849	MESIROW FINANCIAL INC	CMO RISKLESS	131120	700 000	35	S	45661EAW
363194849	MESIROW FINANCIAL INC	CMO RISKLESS	131120	700 000	35	S	45661EAW

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
999999999	DW CATALYST MASTER FUND , LTD.	DW CATALYST MASTER FUND, LTD.	120518	591 271	16,25	B	45661EAW
999999999	DW CATALYST MASTER FUND , LTD.	DW CATALYST MASTER FUND, LTD.	120518	591 271	16,25	B	45661EAW
999999999	DW CATALYST MASTER FUND , LTD.	DW CATALYST MASTER FUND, LTD.	120518	591 271	16,25	B	45661EAW
999999999	EXBKR/PERSHING LLC	ATTN BROKER DEALER CLEARANCE	120518	591 271	16,25	S	45661EAW
999999999	GUGGENHEIM SECURITIES, LLC		120518	591 271	16,25	S	45661EAW
999999999	GUGGENHEIM SECURITIES, LLC		120518	591 271	16,25	S	45661EAW
999999999	GUGGENHEIM SECURITIES, LLC	GUGGENHEIM SECURITIES LLC	120518	591 271	16,0	B	45661EAW
999999999	PENNSYLVANIA TREASURY DEPARTME	TAP TM ACCOUNT TUIFTM01002	120518	591 271	15,9936	S	45661EAW
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	120518	2 000 000	16,0	B	45661EAW
131898818	CREDIT SUISSE SECURITIES USA L	A/C: BREVAN HOWARD CREDIT	120518	2 000 000	16,25	B	45661EAW
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	120518	2 000 000	16,25	S	45661EAW
999999999	GUGGENHEIM SECURITIES, LLC	GUGGENHEIM SECURITIES LLC	120518	94 851	16,0	B	45661EAW
999999999	PENNSYLVANIA TREASURY DEPARTME	PENNSYLVANIA TREASURY DEPARTME	120518	94 813	15,9936	S	45661EAW
999999999	BARCLAYS CAPITAL/FIXED INCOME	200 PARK AVE	121129	5 350 000	16,5	S	45661EAW
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121205	5 350 000	20,5	B	45661EAW
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121207	5 350 000	20,5	B	45661EAW
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	121207	5 350 000	20,5	B	45661EAW
262119490	ABS INVESTMENT GROUP LLC.	707 BROADWAY	121211	5 350 000	27,0	S	45661EAW
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	5 350 000	27,0	B	45661EAW
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	121211	5 350 000	28,0	S	45661EAW
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	121211	5 350 000	28,0	B	45661EAW
999999999	OPTIMUS FONDER AB	TRACTION HIGH YIELD	130208	5 350 000	24,5	S	45661EAW
010594168	FURTHER LANE SECURITIES LP	--STRUCTURED PRODUCTS II--	130208	5 350 000	25,375	B	45661EAW
010594168	FURTHER LANE SECURITIES LP	--STRUCTURED PRODUCTS II--	130208	5 350 000	25,484375	S	45661EAW
455536792	SECOND BRIDGE CAPITAL RMBS FD	555 MADISON AVENUE	130208	5 350 000	25,484375	B	45661EAW
999999999	PERSHING LLC	FAO FURTHER LANE SECURITIES	130208	5 350 000	25,375	B	45661EAW
999999999	BARCLAYS CAPITAL INC	200 PARK AVENUE	130226	3 100 000	23,999999	B	45661EAW
999999999	BARCLAYS CAPITAL INC	200 PARK AVENUE	130226	3 100 000	23,999999	B	45661EAW
999999999	BARCLAYS CAPITAL INC	200 PARK AVENUE	130226	3 100 000	23,999999	S	45661EAW
999999999	WYNKOOP LLC	FAO OMNIBUS	130226	3 100 000	24,953124	B	45661EAW
999999999	WYNKOOP LLC	FAO OMNIBUS	130226	3 100 000	24,953124	S	45661EAW
999999999	WYNKOOP LLC	FAO TIMBERLINE	130226	3 100 000	24,953124	S	45661EAW
999999999	BLACKROCK FINANCIAL MANAGEMENT	NORGES BANK INVESTMENT MANAGEM	130516	910 315	20,0	S	45661EAW
999999999	BLACKROCK FINANCIAL MANAGEMENT	BLACKROCK FINANCIAL MGMT	130516	182 392	20,0	S	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		130525	26 462	28,1765	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		130525	26 462	100,0	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		130525	26 462	100,0	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		130625	11 503	76,794962	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		130625	11 503	100,0	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		130625	11 503	100,0	B	45661EAW

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999999999	CREDIT SUISSE AG, NEW YORK BRA		130725	6 637	100,0	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		130825	28 887	14,882045	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		130825	28 887	14,882045	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		130825	28 887	39,452235	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		130825	28 887	100,0	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		130825	28 887	100,0	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130912	3 100 000	27,125	B	45661EAW
585248078	DAVID PERINI IRA SEP	JPMCC CUST.	130912	1 500 000	27,15625	B	45661EAW
585690111	MICHAEL PERINI IRA SEP	JPMCC CUST.	130912	1 600 000	27,15625	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130912	1 500 000	27,15625	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130912	1 600 000	27,15625	S	45661EAW
263331252	ODEON CAPITAL GROUP LLC	--FACILITATION ACCOUNT--	130912	3 100 000	25,5	S	45661EAW
263331252	ODEON CAPITAL GROUP LLC	--FACILITATION ACCOUNT--	130912	3 100 000	25,5	S	45661EAW
263331252	ODEON CAPITAL GROUP LLC	--RISKLESS PRINCIPAL ACCOUNT--	130912	3 100 000	25,5	B	45661EAW
263331252	ODEON CAPITAL GROUP LLC	--RISKLESS PRINCIPAL ACCOUNT--	130912	3 100 000	25,5	B	45661EAW
263331252	ODEON CAPITAL GROUP LLC	--RISKLESS PRINCIPAL ACCOUNT--	130912	3 100 000	25,5	B	45661EAW
264371035	WYNKOOP LLC TIMBERLINE FUND	WELLS FARGO BANK NA	130912	3 100 000	25,5	S	45661EAW
263331252	ODEON CAPITAL GROUP LLC	--RISKLESS PRINCIPAL ACCOUNT--	130912	3 100 000	26,25	S	45661EAW
943123636	SF SENTRY SECURITIES, INC	100 PINE STREET	130912	3 100 000	26,25	B	45661EAW
943123636	SF SENTRY SECURITIES INC	GPC	130912	3 100 000	26,25	B	45661EAW
943123636	SF SENTRY SECURITIES INC	GPC	130912	3 100 000	26,75	S	45661EAW
943123636	GARRISON POINT CAPITAL LLC	(B2B SFSS DTC 0235)	130912	3 100 000	26,75	S	45661EAW
943123636	GARRISON POINT CAPITAL LLC	(B2B SFSS DTC 0235)	130912	3 100 000	26,75	S	45661EAW
943123636	GARRISON POINT CAPITAL LLC	(B2B SFSS DTC 0235)	130912	3 100 000	26,75	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP	ATTN: DEBBIE REGAN	130912	3 100 000	27,125	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP	ATTN: DEBBIE REGAN	130912	3 100 000	27,125	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP	ATTN: DEBBIE REGAN	130912	3 100 000	27,125	B	45661EAW
133680184	UNALLOCATED TRADE ACCOUNT		130912	3 100 000	26,75	S	45661EAW
133680184	UNALLOCATED TRADE ACCOUNT		130912	3 100 000	26,75	S	45661EAW
133680184	UNALLOCATED TRADE ACCOUNT		130912	3 100 000	26,75	S	45661EAW
133680184	UNALLOCATED TRADE ACCOUNT		130912	3 100 000	26,75	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130917	4 500 000	27,375	B	45661EAW
585669465	BOBBY GENE BRANCH IRA	JPMCC CUST.	130917	170 000	27,40625	B	45661EAW
585365829	CHARLES RUSSELL HARPER	P O BOX 3189	130917	200 000	27,40625	B	45661EAW
585420923	CLAY & LINDA WILSON REV TRUST	CLAY & LINDA WILSON TTEES	130917	2 090 000	27,40625	B	45661EAW
648016767	JAYDEN HALL JENKINS	413 WEST CHERRY LANE	130917	170 000	27,40625	B	45661EAW
525578357	JOHN D PERINI	2020 MISSION AVE	130917	170 000	27,40625	B	45661EAW
585690111	MICHAEL PERINI	1504 W RIVERSIDE DRIVE	130917	1 700 000	27,40625	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130917	170 000	27,40625	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130917	170 000	27,40625	S	45661EAW

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130917	170 000	27,40625	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130917	200 000	27,40625	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130917	1 700 000	27,40625	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	130917	2 090 000	27,40625	S	45661EAW
943123636	SF SENTRY SECURITIES INC	GPC	130917	4 500 000	26,125	B	45661EAW
943123636	SF SENTRY SECURITIES INC	GPC	130917	4 500 000	26,625	S	45661EAW
660613152	UBS SECURITIES LLC	F/A/O DSC MASTER FUND, LP	130917	4 500 000	26,125	S	45661EAW
943123636	GARRISON POINT CAPITAL LLC	(B2B SFSS DTC 0235)	130917	4 500 000	26,625	S	45661EAW
452988320	PERINI CAPITAL LLC	C/O PERINI CAPITAL LLC	130917	4 500 000	27,375	B	45661EAW
133680184	UNALLOCATED TRADE ACCOUNT		130917	4 500 000	26,625	S	45661EAW
133680184	UNALLOCATED TRADE ACCOUNT		130917	4 500 000	26,625	S	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		130925	14 527	54,656307	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		130925	14 527	100,0	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		130925	14 527	100,0	B	45661EAW
592079071	JP MORGAN PRIVATE BANK FAO	JIM HARRIS	131011	1 700 000	27,425	B	45661EAW
585690111	MICHAEL PERINI	1504 W RIVERSIDE DRIVE	131011	1 700 000	27,41	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131011	1 700 000	27,41	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131011	1 700 000	27,425	S	45661EAW
999999999	BREVAN HOWARD ASSET MANAGEMENT	BREVAN HOWARD MASTER FUND	131022	1 584 858	34,25	S	45661EAW
999999999	BREVAN HOWARD ASSET MANAGEMENT	BREVAN HOWARD MASTER FUND	131022	1 612 322	34,25	S	45661EAW
999999999	BREVAN HOWARD ASSET MANAGEMENT	BREVAN HOWARD MASTER FUND	131022	1 612 322	34,25	S	45661EAW
999999999	DW CATALYST MASTER FUND , LTD.	DW CATALYST MASTER FUND, LTD.	131022	435 871	34,25	S	45661EAW
999999999	DW CATALYST MASTER FUND , LTD.	DW CATALYST MASTER FUND, LTD.	131022	443 424	34,25	S	45661EAW
999999999	DW CATALYST MASTER FUND , LTD.	DW CATALYST MASTER FUND, LTD.	131022	443 424	34,25	S	45661EAW
999999999	ROBERT W. BAIRD GROUP LIMITED		131022	435 871	34,25	B	45661EAW
999999999	ROBERT W. BAIRD GROUP LIMITED		131022	443 424	34,25	B	45661EAW
999999999	ROBERT W. BAIRD GROUP LIMITED		131022	443 424	34,25	B	45661EAW
999999999	ROBERT W. BAIRD GROUP LIMITED		131022	1 584 858	34,25	B	45661EAW
999999999	ROBERT W. BAIRD GROUP LIMITED		131022	1 612 322	34,25	B	45661EAW
999999999	ROBERT W. BAIRD GROUP LIMITED		131022	1 612 322	34,25	B	45661EAW
262178291	DEER PARK ROAD CORP	F/A STS PARTNERS FUND LP	131022	1 550 000	33,25	S	45661EAW
262178291	DEER PARK ROAD CORP	F/A STS PARTNERS FUND LP	131022	1 550 000	33,25	S	45661EAW
262178291	DEER PARK ROAD CORP	F/A STS PARTNERS FUND LP	131022	1 550 000	33,25	S	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	1 550 000	33,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	1 550 000	33,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	1 550 000	33,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	7 600 000	33,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	7 600 000	33,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	7 600 000	33,25	B	45661EAW
999999999	DW INESTMENT MANAGEMENT	FA BHM-755228 BREVAN HOWARD	131022	7 843 000	34,25	S	45661EAW

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999999999	DW INESTMENT MANAGEMENT	FA BHM-755228 BREVAN HOWARD	131022	7 843 000	34,25	S	45661EAW
999999999	DW INESTMENT MANAGEMENT	FA BHM-755228 BREVAN HOWARD	131022	7 843 000	34,25	S	45661EAW
999999999	DW INVESTMENT MGT	F/A BCC-7591E BREVAN HOWARD	131022	2 157 000	34,25	S	45661EAW
999999999	DW INVESTMENT MGT	F/A BCC-7591E BREVAN HOWARD	131022	2 157 000	34,25	S	45661EAW
999999999	DW INVESTMENT MGT	F/A BCC-7591E BREVAN HOWARD	131022	2 157 000	34,25	S	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	2 157 000	34,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	2 157 000	34,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	2 157 000	34,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	7 843 000	34,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	7 843 000	34,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	7 843 000	34,25	B	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	19 150 000	35,375	S	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	19 150 000	35,375	S	45661EAW
396037917	ROBERT W BAIRD & CO. INC.	777 EAST WISCONSIN AVENUE	131022	19 150 000	35,375	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	7 600 000	33,25	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	7 600 000	33,25	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	7 600 000	33,25	S	45661EAW
585669465	BOBBY GENE BRANCH IRA	JPMCC CUST.	131022	170 000	33,1875	S	45661EAW
585669465	BOBBY GENE BRANCH IRA	JPMCC CUST.	131022	170 000	33,1875	S	45661EAW
585669465	BOBBY GENE BRANCH IRA	JPMCC CUST.	131022	170 000	33,1875	S	45661EAW
585365829	CHARLES RUSSELL HARPER	P O BOX 3189	131022	200 000	33,1875	S	45661EAW
585365829	CHARLES RUSSELL HARPER	P O BOX 3189	131022	200 000	33,1875	S	45661EAW
585365829	CHARLES RUSSELL HARPER	P O BOX 3189	131022	200 000	33,1875	S	45661EAW
585420923	CLAY & LINDA WILSON REV TRUST	CLAY & LINDA WILSON TTEES	131022	2 090 000	33,1875	S	45661EAW
585420923	CLAY & LINDA WILSON REV TRUST	CLAY & LINDA WILSON TTEES	131022	2 090 000	33,1875	S	45661EAW
585420923	CLAY & LINDA WILSON REV TRUST	CLAY & LINDA WILSON TTEES	131022	2 090 000	33,1875	S	45661EAW
585248078	DAVID PERINI IRA SEP	JPMCC CUST.	131022	1 500 000	33,1875	S	45661EAW
585248078	DAVID PERINI IRA SEP	JPMCC CUST.	131022	1 500 000	33,1875	S	45661EAW
585248078	DAVID PERINI IRA SEP	JPMCC CUST.	131022	1 500 000	33,1875	S	45661EAW
648016767	JAYDEN HALL JENKINS	413 WEST CHERRY LANE	131022	170 000	33,1875	S	45661EAW
648016767	JAYDEN HALL JENKINS	413 WEST CHERRY LANE	131022	170 000	33,1875	S	45661EAW
648016767	JAYDEN HALL JENKINS	413 WEST CHERRY LANE	131022	170 000	33,1875	S	45661EAW
525578357	JOHN D PERINI	2020 MISSION AVE	131022	170 000	33,1875	S	45661EAW
525578357	JOHN D PERINI	2020 MISSION AVE	131022	170 000	33,1875	S	45661EAW
525578357	JOHN D PERINI	2020 MISSION AVE	131022	170 000	33,1875	S	45661EAW
592079071	JP MORGAN PRIVATE BANK FAO	JIM HARRIS	131022	1 700 000	33,1875	S	45661EAW
592079071	JP MORGAN PRIVATE BANK FAO	JIM HARRIS	131022	1 700 000	33,1875	S	45661EAW
592079071	JP MORGAN PRIVATE BANK FAO	JIM HARRIS	131022	1 700 000	33,1875	S	45661EAW
585690111	MICHAEL PERINI IRA SEP	JPMCC CUST.	131022	1 600 000	33,1875	S	45661EAW
585690111	MICHAEL PERINI IRA SEP	JPMCC CUST.	131022	1 600 000	33,1875	S	45661EAW

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585690111	MICHAEL PERINI IRA SEP	JPMCC CUST.	131022	1 600 000	33,1875	S	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	170 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	200 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	200 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	200 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 500 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 500 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 500 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 600 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 600 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 600 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 700 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 700 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	1 700 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	2 090 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	2 090 000	33,1875	B	45661EAW
363126959	SECUREVEST FINANCIAL GROUP INC	CMO A	131022	2 090 000	33,1875	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		131025	14 007	35,463459	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		131025	14 007	100,0	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		131025	14 007	100,0	B	45661EAW
061031656	BARCLAYS CAPITAL	BARCLAYS WEALTH MANAGEMENT	131120	700 000	32,5	S	45661EAW
061031656	BARCLAYS CAPITAL	BARCLAYS WEALTH MANAGEMENT	131120	700 000	32,5	S	45661EAW
061031656	BARCLAYS CAPITAL	BARCLAYS WEALTH MANAGEMENT	131120	700 000	32,5	S	45661EAW
363194849	MESIROW FINANCIAL INC	CMO RISKLESS	131120	700 000	32,5	B	45661EAW
363194849	MESIROW FINANCIAL INC	CMO RISKLESS	131120	700 000	32,5	B	45661EAW
363194849	MESIROW FINANCIAL INC	CMO RISKLESS	131120	700 000	32,5	B	45661EAW
061031656	LIBREMAX	VALUE MASTER AT BARCLAYS PB	131120	700 000	35,0	B	45661EAW
061031656	LIBREMAX	VALUE MASTER AT BARCLAYS PB	131120	700 000	35,0	B	45661EAW
061031656	LIBREMAX	VALUE MASTER AT BARCLAYS PB	131120	700 000	35,0	B	45661EAW
363194849	MESIROW FINANCIAL INC	CMO RISKLESS	131120	700 000	35,0	S	45661EAW
363194849	MESIROW FINANCIAL INC	CMO RISKLESS	131120	700 000	35,0	S	45661EAW
363194849	MESIROW FINANCIAL INC	CMO RISKLESS	131120	700 000	35,0	S	45661EAW

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999999999	CREDIT SUISSE AG, NEW YORK BRA		131125	15 083	51,00026	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		131125	15 083	100,0	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		131125	15 083	100,0	B	45661EAW
999999999	CREDIT SUISSE AG, NEW YORK BRA		131225	7 047	100,0	B	45661EAW

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Filer från SEC:

- Regulatory trace 17 cusips från SEC 2019-06-28
- Bluesheet från SEC 2019-07-08

BOAMS

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2013-02-05 13:40	08-feb-13	05949AZH6	B	12863000	16,25	JPMS	JPMS		C
2013-02-05 13:40	08-feb-13	05949AZH6	S	12863000	16,75	JPMS	JPMS		STFL
2013-02-05 16:49	08-feb-13	05949AZH6	B	12863000	16,75	STFL	STFL		JPMS
2013-02-07 10:49	14-feb-13	05949AZH6	S	12863000	19,5	MSRO	MSRO		C
2013-02-07 10:49	14-feb-13	05949AZH6	B	12863000	18,625	MSRO	MSRO		STFL
2013-02-07 11:07	12-feb-13	05949AZH6	S	12863000	18,625	STFL	STFL		MSRO
2013-02-07 11:07	12-feb-13	05949AZH6	S	12863000	18,625	STFL	STFL		MSRO
2013-02-07 11:07	14-feb-13	05949AZH6	S	12863000	18,625	STFL	STFL		MSRO
2013-12-03 09:56	06-dec-13	05949AZH6	B	12863000	20,5	ARGA	ARGA		C
2013-12-03 09:57	06-dec-13	05949AZH6	S	12863000	21,5	ARGA	ARGA		C

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,25	B	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,25	B	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,25	B	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,25	B	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,25	B	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,25	B	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,25	B	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,25	B	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,25	B	05949AZH
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130205	12 863 000	16,75	B	05949AZH
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130205	12 863 000	16,75	B	05949AZH
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130205	12 863 000	16,75	B	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,75	S	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,75	S	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,75	S	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,75	S	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,75	S	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,75	S	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,75	S	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,75	S	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,75	S	05949AZH
133299429	FIXED RATE D1	TRADER PORTFOLIO FROM IMPACT	130205	12 863 000	16,75	S	05949AZH
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	130207	12 863 000	19,5	B	05949AZH
999999999	STIFEL NICOLAUS & CO INC	501 N BROADWAY 8TH FL	130207	12 863 000	18,625	S	05949AZH
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130207	12 863 000	18,625	S	05949AZH
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130207	12 863 000	18,625	S	05949AZH
430538770	STIFEL NICOLAUS & CO INC	501 NORTH BROADWAY	130207	12 863 000	18,625	S	05949AZH
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	130226	12 863 000	19,5	B	05949AZH
262119490	ABS INVESTMENT GROUP LP	ABS INVESTMENT GROUP	130226	12 863 000	19,5	B	05949AZH
999999999	STIFEL NICOLAUS & CO INC	501 N BROADWAY 8TH FL	130226	12 863 000	18,625	S	05949AZH
999999999	STIFEL NICOLAUS & CO INC	501 N BROADWAY 8TH FL	130226	12 863 000	18,625	S	05949AZH
113626427	AURIGA USA LLC	1 PENN PLAZA 46TH FLOOR	131203	12 863 000	21,5	S	05949AZH
113626427	AURIGA USA LLC	1 PENN PLAZA 46TH FLOOR	131203	12 863 000	21,5	S	05949AZH
113626427	AURIGA USA LLC	1 PENN PLAZA 46TH FLOOR	131203	12 863 000	21,5	S	05949AZH

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
113626427	AURIGA USA LLC	1 PENN PLAZA 46TH FLOOR	131203	12 863 000	21,5	S	05949AZH
113626427	AURIGA USA LLC	1 PENN PLAZA 46TH FLOOR	131203	12 863 000	21,5	S	05949AZH
113626427	AURIGA USA LLC	1 PENN PLAZA 46TH FLOOR	131203	12 863 000	21,5	S	05949AZH
113626427	AURIGA USA LLC	1 PENN PLAZA 46TH FLOOR	131203	12 863 000	21,5	S	05949AZH
999999999	400 CAPITAL CREDIT	OPPORTUNITIES MASTER FUND LTD	131203	12 863 000	21,5	B	05949AZH
999999999	400 CAPITAL CREDIT	OPPORTUNITIES MASTER FUND LTD	131203	12 863 000	21,5	B	05949AZH
999999999	400 CAPITAL CREDIT	OPPORTUNITIES MASTER FUND LTD	131203	12 863 000	21,5	B	05949AZH
999999999	400 CAPITAL CREDIT	OPPORTUNITIES MASTER FUND LTD	131203	12 863 000	21,5	B	05949AZH
999999999	400 CAPITAL CREDIT	OPPORTUNITIES MASTER FUND LTD	131203	12 863 000	21,5	B	05949AZH
999999999	400 CAPITAL CREDIT	OPPORTUNITIES MASTER FUND LTD	131203	12 863 000	21,5	B	05949AZH
999999999	400 CAPITAL CREDIT	OPPORTUNITIES MASTER FUND LTD	131203	12 863 000	21,5	B	05949AZH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131203	12 863 000	20,5	B	05949AZH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131203	12 863 000	20,5	B	05949AZH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131203	12 863 000	20,5	B	05949AZH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131203	12 863 000	20,5	B	05949AZH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131203	12 863 000	20,5	B	05949AZH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	131203	12 863 000	20,5	S	05949AZH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	131203	12 863 000	20,5	S	05949AZH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	131203	12 863 000	20,5	S	05949AZH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	131203	12 863 000	20,5	S	05949AZH
999999999	TRACTION HIGH YIELD FUND	BIRGER JARLSGATAN 32 B, 4 TR	131203	12 863 000	20,5	S	05949AZH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131203	12 863 000	21,5	S	05949AZH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131203	12 863 000	21,5	S	05949AZH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131203	12 863 000	21,5	S	05949AZH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131203	12 863 000	21,5	S	05949AZH
271972187	AURIGA USA LLC	--PRINCIPAL TRADING ACCOUNT--	131203	12 863 000	21,5	S	05949AZH
999999999	400 CAPITAL OPPORTUNITIES FUND	LTD.	131203	12 863 000	21,5	B	05949AZH
999999999	400 CAPITAL OPPORTUNITIES FUND	LTD.	131203	12 863 000	21,5	B	05949AZH
999999999	400 CAPITAL OPPORTUNITIES FUND	LTD.	131203	12 863 000	21,5	B	05949AZH
999999999	400 CAPITAL OPPORTUNITIES FUND	LTD.	131203	12 863 000	21,5	B	05949AZH
999999999	400 CAPITAL OPPORTUNITIES FUND	LTD.	131203	12 863 000	21,5	B	05949AZH

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MSAC

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- Regulatory trace 17 cusips från SEC 2019-06-28

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2014-08-18 10:55	21-aug-14	61746RDS7	B	10696000	23,5	ARGA	ARGA		C
2014-08-21 12:24	26-aug-14	61746RDS7	S	10696000	37,3125	ARGA	ARGA		C
2015-06-29 11:30	02-jul-15	61746RDS7	B	6000000	37,75	MSCO	MSCO		C
2016-01-26 12:38	29-jan-16	61746RDS7	B	6000000	25,199	BIGG	BIGG		CRPT
2016-01-26 12:38	29-jan-16	61746RDS7	B	6000000	25,199	BIGG	BIGG		CRPT
2016-01-26 12:40	29-jan-16	61746RDS7	B	6000000	25,199	BIGG	BIGG		C
2016-01-28 16:40	02-feb-16	61746RDS7	S	6000000	28,125	BIGG	BIGG		C
2017-01-26 15:16	31-jan-17	61746RDS7	B	4696000	43,25	ODEO	ODEO		C
2017-01-26 15:23	31-jan-17	61746RDS7	S	4696000	43,75	ODEO	ODEO		C
2017-07-20 12:49	25-jul-17	61746RDS7	B	4000000	55	CITI	CITI		C
2017-10-12 13:06	16-okt-17	61746RDS7	S	4000000	77,2	COWR	COWR		C
2017-10-12 13:50	16-okt-17	61746RDS7	B	4000000	76,825	COWR	COWR		CITI
2017-10-12 13:58	16-okt-17	61746RDS7	S	4000000	76,825	CITI	CITI		COWR
2017-10-18 11:37	20-okt-17	61746RDS7	B	4000000	78,75	STFL	STFL		C
2017-10-18 11:38	20-okt-17	61746RDS7	S	4000000	79,1875	STFL	STFL		C

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LMT 2008

Filer från SEC:

- Regulatory trace 17 cusips från SEC 2019-06-28
- Bluesheet från SEC 2019-07-08

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2012-09-12 16:06	17-sep-12	52525FAH6	B	6614000	23,5	BMUR	BMUR		C
2012-09-12 16:06	17-sep-12	52525FAH6	B	6614000	23,5	BMUR	BMUR		BCAP
2012-09-12 16:06	17-sep-12	52525FAH6	B	6614000	23,5	BMUR	BMUR		BCAP
2012-10-25 15:35	08-nov-12	52525FAH6	B	6614000	25,75	MSRO	MSRO		BMUR
2012-10-25 15:40	08-nov-12	52525FAH6	S	6614000	27,671875	MSRO	MSRO		C
2012-10-25 15:43	08-nov-12	52525FAH6	S	6614000	25,75	BMUR	BMUR		MSRO
2014-08-18 11:48	21-aug-14	52525FAH6	B	6614000	10,375	ARGA	ARGA		C
2014-08-18 11:59	21-aug-14	52525FAH6	S	6614000	11,5	ARGA	ARGA		C
2017-11-22 10:54	27-nov-17	52525FAH6	B	6614000	35	PPSL	PPSL		C
2018-03-01 18:43	05-mar-18	52525FAH6	S	6614000	83	PPSL	PPSL		C

PM avseende material erhållet från SEC.pdf

Bluesheet Data
Confidential
Daniel Koster on Mon Jul 08 2019 20:50:46 EDT

Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
999999999	BREAN CAPITAL LLC	570 LEXINGTON AVENUE	121025	6 614 000	25,75	S	52525FAH
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121025	6 614 000	27,671875	B	52525FAH
999999999	BREAN CAPITAL LLC	570 LEXINGTON AVENUE	121029	6 614 000	25,75	S	52525FAH
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121029	6 614 000	27,671875	B	52525FAH
999999999	BREAN CAPITAL LLC	570 LEXINGTON AVENUE	121029	6 614 000	25,75	S	52525FAH
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121029	6 614 000	27,671875	B	52525FAH
999999999	BREAN CAPITAL LLC	570 LEXINGTON AVENUE	121127	6 614 000	25,75	S	52525FAH
999999999	BREAN CAPITAL LLC	570 LEXINGTON AVENUE	121127	6 614 000	25,75	S	52525FAH
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121127	6 614 000	27,671875	B	52525FAH
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	121127	6 614 000	27,671875	B	52525FAH

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BAFC

Filer från SEC:

- Regulatory trace 17 cusips från SEC 2019-06-28
- Bluesheet från SEC 2019-07-08
- Bluesheet från SEC 2019-07-31

PM avseende material erhållet från SEC.pdf

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2013-02-28 10:29	05-mar-13	05946XGH0	B	2000000	23,875	LNKS	LNKS		C
2013-02-28 10:29	05-mar-13	05946XGH0	S	2000000	24,84375	LNKS	LNKS		C
2013-04-11 17:35	16-apr-13	05946XGH0	B	3345000	30	FBCO	FBCO		C
2013-04-15 13:12	18-apr-13	05946XGH0	B	2000000	32	FBCO	FBCO		C
2013-06-04 11:48	07-jun-13	05946XGH0	B	5345000	34	MSRO	MSRO		FBCO
2013-06-04 11:49	07-jun-13	05946XGH0	S	5345000	35,5	MSRO	MSRO		C
2013-06-04 12:01	07-jun-13	05946XGH0	B	5345000	35,5	YLPL	YLPL		MSRO
2013-06-04 12:01	07-jun-13	05946XGH0	S	5345000	35,5	YLPL	YLPL		C
2013-06-04 12:09	07-jun-13	05946XGH0	S	5345000	34	FBCO	FBCO		MSRO
2014-09-04 15:23	09-sep-14	05946XGH0	B	5345000	24,125	ARGA	ARGA		C
2014-09-04 15:24	09-sep-14	05946XGH0	S	5345000	25,5	ARGA	ARGA		C
2014-12-23 11:30	29-dec-14	05946XGH0	B	5345000	35	STFL	STFL		C
2015-01-05 12:09	08-jan-15	05946XGH0	B	5345000	38,5	RBCD	RBCD		STFL
2015-01-05 12:25	08-jan-15	05946XGH0	S	5345000	38,5	STFL	STFL		RBCD
2015-01-08 10:56	13-jan-15	05946XGH0	S	115000	38,5	RBCD	RBCD		C
2015-01-08 10:56	13-jan-15	05946XGH0	S	95000	38,5	RBCD	RBCD		C
2015-01-08 10:57	13-jan-15	05946XGH0	S	235000	38,5	RBCD	RBCD		C
2015-01-08 14:21	13-jan-15	05946XGH0	S	115000	38,75	RBCD	RBCD		C
2015-01-08 14:22	13-jan-15	05946XGH0	S	559000	38,75	RBCD	RBCD		C
2015-01-08 15:02	13-jan-15	05946XGH0	S	100000	38,5	RBCD	RBCD		C
2015-01-30 14:02	30-jan-15	05946XGH0	S	325000	38,5	RBCD	RBCD		C
2015-01-30 14:03	30-jan-15	05946XGH0	S	60000	38,5	RBCD	RBCD		C
2015-02-10 09:58	10-feb-15	05946XGH0	S	690000	38,5	RBCD	RBCD		C
2015-06-29 14:53	30-jun-15	05946XGH0	B	325000	37	RBCD	RBCD		C
2015-06-29 14:53	30-jun-15	05946XGH0	B	60000	37	RBCD	RBCD		C
2015-06-29 15:01	30-jun-15	05946XGH0	B	559000	36,75	RBCD	RBCD		C
2015-06-29 15:01	30-jun-15	05946XGH0	B	115000	36,75	RBCD	RBCD		C
2015-06-29 15:11	30-jun-15	05946XGH0	B	100000	37	RBCD	RBCD		C
2015-06-29 15:49	30-jun-15	05946XGH0	B	235000	37	RBCD	RBCD		C
2015-06-29 15:53	30-jun-15	05946XGH0	B	115000	37	RBCD	RBCD		C
2015-06-29 15:54	30-jun-15	05946XGH0	B	95000	37	RBCD	RBCD		C
2015-06-29 16:14	30-jun-15	05946XGH0	S	5345000	37,25	RBCD	RBCD		STFL

BAFC

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2015-06-29 16:19	30-jun-15	05946XGH0	B	5345000	37,25	STFL	STFL		RBCD
2015-06-29 16:22	30-jun-15	05946XGH0	B	690000	37	RBCD	RBCD		C
2015-10-28 13:33	30-okt-15	05946XGH0	S	5345000	10,75	STFL	STFL		C

PM avseende material erhållet från SEC.pdf

Bluesheet Data
Confidential
Daniel Koster on Mon Jul 08 2019 20:50:08 EDT

Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
133200244	JPMORGAN INVESTMENT MANAGEMENT	JPMORGAN GLOBAL ABSOLUTE RETUR	130228	1 000 000	23,875	S	05946XGH
133200244	JPMORGAN INVESTMENT MANAGEMENT	JPMORGAN GLOBAL ABSOLUTE RETUR	130228	1 000 000	23,875	S	05946XGH
133200244	JPMORGAN INVESTMENT MANAGEMENT	JPMORGAN GLOBAL ABSOLUTE RETUR	130228	1 000 000	23,875	S	05946XGH
135659485	CREDIT SUISSE SECS USA LLC	11 MADISON AVE	130604	5 345 000	34	S	05946XGH
135659485	CREDIT SUISSE SECS USA LLC	11 MADISON AVE	130626	5 345 000	34	S	05946XGH
135659485	CREDIT SUISSE SECS USA LLC	11 MADISON AVE	130626	5 345 000	34	S	05946XGH
262119490	ABS INVESTMENT GROUP	A LIMITED LIABILITY COMPANY	130604	5 345 000	35,5	B	05946XGH
262119490	ABS INVESTMENT GROUP	A LIMITED LIABILITY COMPANY	130604	5 345 000	35,5	B	05946XGH
262119490	ABS INVESTMENT GROUP	A LIMITED LIABILITY COMPANY	130604	5 345 000	35,5	B	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	1 000 000	23,875	B	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	1 000 000	23,875	B	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	1 000 000	23,875	B	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	1 000 000	23,875	B	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	1 000 000	23,875	B	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	1 000 000	23,875	B	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	2 000 000	24,84375	S	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	2 000 000	24,84375	S	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	2 000 000	24,84375	S	05946XGH
746000164	JPMORGAN INVESTMENT MANAGEMENT	136403	130228	1 000 000	23,875	S	05946XGH
746000164	JPMORGAN INVESTMENT MANAGEMENT	136403	130228	1 000 000	23,875	S	05946XGH
746000164	JPMORGAN INVESTMENT MANAGEMENT	136403	130228	1 000 000	23,875	S	05946XGH
952834236	LPL FINANCIAL CORP	9785 TOWNE CENTRE DR	130604	5 345 000	35,5	B	05946XGH
952834236	LPL FINANCIAL CORP	9785 TOWNE CENTRE DR	130626	5 345 000	35,5	B	05946XGH
952834236	LPL FINANCIAL CORP	9785 TOWNE CENTRE DR	130626	5 345 000	35,5	B	05946XGH
999999999	DEER PARK ROAD MANAGEMENT CO	SKI TIME SQ PARTNERS FUND, LP	130228	2 000 000	24,84375	B	05946XGH
999999999	DEER PARK ROAD MANAGEMENT CO	SKI TIME SQ PARTNERS FUND, LP	130228	2 000 000	24,84375	B	05946XGH
999999999	DEER PARK ROAD MANAGEMENT CO	SKI TIME SQ PARTNERS FUND, LP	130228	2 000 000	24,84375	B	05946XGH
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130604	5 345 000	35,5	B	05946XGH
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130604	5 345 000	35,5	B	05946XGH
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130604	5 345 000	35,5	B	05946XGH
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130604	5 345 000	35,5	S	05946XGH
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130604	5 345 000	35,5	S	05946XGH
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130604	5 345 000	35,5	S	05946XGH

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Bluesheet Data
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This report was generated by Daniel Koster on Wed Jul 31 2019 08:44:16 EDT

Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	1 000 000	23,875	B	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	1 000 000	23,875	B	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	1 000 000	23,875	B	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	1 000 000	23,875	B	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	1 000 000	23,875	B	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	1 000 000	23,875	B	05946XGH
746000164	JPMORGAN INVESTMENT MANAGEMENT	136403	130228	1 000 000	23,875	S	05946XGH
746000164	JPMORGAN INVESTMENT MANAGEMENT	136403	130228	1 000 000	23,875	S	05946XGH
746000164	JPMORGAN INVESTMENT MANAGEMENT	136403	130228	1 000 000	23,875	S	05946XGH
133200244	JPMORGAN INVESTMENT MANAGEMENT	JPMORGAN GLOBAL ABSOLUTE RETUR	130228	1 000 000	23,875	S	05946XGH
133200244	JPMORGAN INVESTMENT MANAGEMENT	JPMORGAN GLOBAL ABSOLUTE RETUR	130228	1 000 000	23,875	S	05946XGH
133200244	JPMORGAN INVESTMENT MANAGEMENT	JPMORGAN GLOBAL ABSOLUTE RETUR	130228	1 000 000	23,875	S	05946XGH
999999999	DEER PARK ROAD MANAGEMENT CO	SKI TIME SQ PARTNERS FUND, LP	130228	2 000 000	24,84375	B	05946XGH
999999999	DEER PARK ROAD MANAGEMENT CO	SKI TIME SQ PARTNERS FUND, LP	130228	2 000 000	24,84375	B	05946XGH
999999999	DEER PARK ROAD MANAGEMENT CO	SKI TIME SQ PARTNERS FUND, LP	130228	2 000 000	24,84375	B	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	2 000 000	24,84375	S	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	2 000 000	24,84375	S	05946XGH
522144923	GUGGENHEIM SECURITIES, LLC	-RMBS-RL NONAGENCY FIXED, ARMS	130228	2 000 000	24,84375	S	05946XGH
999999999	BROOKFIELD INVESTMENT MANAGEME	KEYPORT LIFE INSURANCE CO	130411	2 469 181	30,0	S	05946XGH
999999999	BROOKFIELD INVESTMENT MANAGEME	KEYPORT LIFE INSURANCE CO	130411	2 469 181	30,0	S	05946XGH
999999999	BROOKFIELD INVESTMENT MANAGEME	KEYPORT LIFE INSURANCE CO	130411	2 469 181	30,0	S	05946XGH
999999999	BROOKFIELD INVESTMENT MANAGEME	KEYPORT LIFE INSURANCE CO	130411	2 469 181	30,0	S	05946XGH
999999999	BROOKFIELD INVESTMENT MANAGEME	KEYPORT LIFE INSURANCE CO	130411	2 469 181	30,0	S	05946XGH
999999999	BROOKFIELD INVESTMENT MANAGEME	KEYPORT LIFE INSURANCE CO	130411	2 492 953	30,0	S	05946XGH
999999999	BROOKFIELD INVESTMENT MANAGEME	KEYPORT LIFE INSURANCE CO	130411	2 492 953	30,0	S	05946XGH
999999999	BROOKFIELD INVESTMENT MANAGEME	BROOKFIELD INVESTMENT MANAGEME	130411	754 096	30,0	S	05946XGH
999999999	STS PARTNERS FUND, LP	SKI TIME SQUARE PARTNERS FUND,	130415	1 476 341	32,0	S	05946XGH
999999999	STS PARTNERS FUND, LP	SKI TIME SQUARE PARTNERS FUND,	130415	1 476 341	32,0	S	05946XGH
999999999	STS PARTNERS FUND, LP	SKI TIME SQUARE PARTNERS FUND,	130415	1 476 341	32,0	S	05946XGH
999999999	STS PARTNERS FUND, LP	SKI TIME SQUARE PARTNERS FUND,	130415	1 476 341	32,0	S	05946XGH
999999999	STS PARTNERS FUND, LP	SKI TIME SQUARE PARTNERS FUND,	130415	1 476 341	32,0	S	05946XGH
999999999	STS PARTNERS FUND, LP	SKI TIME SQUARE PARTNERS FUND,	130415	1 490 555	32,0	S	05946XGH
999999999	STS PARTNERS FUND, LP	SKI TIME SQUARE PARTNERS FUND,	130415	1 490 555	32,0	S	05946XGH
999999999	DEER PARK ROAD CORPORATION	DEER PARK ROAD CORPORATION	130415	481 186	32,0	S	05946XGH
999999999	CREDIT SUISSE AG, NEW YORK BRA		130501	23 954	100,0	B	05946XGH
999999999	CREDIT SUISSE AG, NEW YORK BRA		130601	14 407	100,0	B	05946XGH

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Bluesheet Data
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This report was generated by Daniel Koster on Wed Jul 31 2019 08:44:16 EDT

Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
999999999	MESIROW FINANCIAL, INC.	MESIROW FINANCIAL INC	130604	3 907 160	34,0	B	05946XGH
999999999	MESIROW FINANCIAL, INC.	MESIROW FINANCIAL INC	130604	3 907 160	34,0	B	05946XGH
999999999	MESIROW FINANCIAL, INC.	MESIROW FINANCIAL INC	130604	3 907 160	34,0	B	05946XGH
999999999	MESIROW FINANCIAL, INC.	MESIROW FINANCIAL INC	130604	3 921 567	34,0	B	05946XGH
999999999	MESIROW FINANCIAL, INC.	MESIROW FINANCIAL INC	130604	3 921 567	34,0	B	05946XGH
135659485	CREDIT SUISSE SECS USA LLC	11 MADISON AVE	130604	5 345 000	34,0	S	05946XGH
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130604	5 345 000	35,5	B	05946XGH
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130604	5 345 000	35,5	B	05946XGH
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130604	5 345 000	35,5	B	05946XGH
999999999	MESIROW FINANCIAL, INC.	MESIROW FINANCIAL INC	130604	1 337 240	34,0	B	05946XGH
262119490	ABS INVESTMENT GROUP	A LIMITED LIABILITY COMPANY	130604	5 345 000	35,5	B	05946XGH
262119490	ABS INVESTMENT GROUP	A LIMITED LIABILITY COMPANY	130604	5 345 000	35,5	B	05946XGH
262119490	ABS INVESTMENT GROUP	A LIMITED LIABILITY COMPANY	130604	5 345 000	35,5	B	05946XGH
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130604	5 345 000	35,5	S	05946XGH
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130604	5 345 000	35,5	S	05946XGH
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130604	5 345 000	35,5	S	05946XGH
952834236	LPL FINANCIAL CORP	9785 TOWNE CENTRE DR	130604	5 345 000	35,5	B	05946XGH
952834236	LPL FINANCIAL CORP	9785 TOWNE CENTRE DR	130626	5 345 000	35,5	B	05946XGH
135659485	CREDIT SUISSE SECS USA LLC	11 MADISON AVE	130626	5 345 000	34,0	S	05946XGH
135659485	CREDIT SUISSE SECS USA LLC	11 MADISON AVE	130626	5 345 000	34,0	S	05946XGH
952834236	LPL FINANCIAL CORP	9785 TOWNE CENTRE DR	130626	5 345 000	35,5	B	05946XGH

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PM avseende material erhållet från SEC.pdf

FNLC

Filer från SEC:

- Regulatory trace 17 cusips från SEC 2019-06-28
- Bluesheet från SEC 2019-07-08
- Bluesheet från SEC 2019-07-31

FNLC

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2012-03-15 12:35	20-mar-12	32113JBV6	B	7000000	7	MSCO	MSCO		C
2012-03-15 16:50	20-mar-12	32113JBV6	S	7000000	7	FBCO	FBCO		MSCO
2012-08-09 15:58	14-aug-12	32113JBV6	S	7000000	9,84375	MSCO	MSCO		C
2012-08-09 15:58	14-aug-12	32113JBV6	S	7000000	9,875	MSCO	MSCO		C
2012-08-09 15:58	14-aug-12	32113JBV6	S	7000000	9,84375	MSCO	MSCO		STLZ
2012-08-09 15:58	14-aug-12	32113JBV6	S	7000000	9,875	MSCO	MSCO		C
2012-08-09 15:58	14-aug-12	32113JBV6	S	7000000	9,84375	MSCO	MSCO		C
2012-08-09 15:58	14-aug-12	32113JBV6	B	7000000	9,84375	STLZ	STLZ		MSCO
2012-08-09 16:47	14-aug-12	32113JBV6	B	7000000	10,3125	MSRO	MSRO		USFI
2012-08-09 16:48	14-aug-12	32113JBV6	S	7000000	10,625	MSRO	MSRO		C
2012-08-09 16:48	14-aug-12	32113JBV6	S	7000000	10,3125	WEDB	WEDB	USFI	MSRO
2012-08-09 16:51	14-aug-12	32113JBV6	B	7000000	10,1875	WEDB	WEDB	USFI	STLZ
2012-08-09 16:52	14-aug-12	32113JBV6	B	7000000	9,84375	STLZ	STLZ		MSCO
2012-08-09 16:52	14-aug-12	32113JBV6	S	7000000	10,1875	STLZ	STLZ		USFI
2012-08-09 16:52	14-aug-12	32113JBV6	B	7000000	9,84375	STLZ	STLZ		MSCO
2013-08-22 12:10	27-aug-13	32113JBV6	S	1000000	22	MSRO	MSRO		C
2013-08-22 12:10	27-aug-13	32113JBV6	S	1000000	22	MSRO	MSRO		C
2013-08-22 12:38	27-aug-13	32113JBV6	B	1000000	21	MSRO	MSRO		YLPL
2013-08-22 13:03	27-aug-13	32113JBV6	S	1000000	21	YLPL	YLPL		MSRO
2013-08-22 13:03	27-aug-13	32113JBV6	S	1000000	21	YLPL	YLPL		MSRO
2013-08-22 13:03	27-aug-13	32113JBV6	S	1000000	21	YLPL	YLPL		MSRO
2013-08-22 13:04	27-aug-13	32113JBV6	B	1000000	21	YLPL	YLPL		C
2014-08-18 10:56	21-aug-14	32113JBV6	B	6000000	27	ARGA	ARGA		C
2014-08-19 13:32	22-aug-14	32113JBV6	S	6000000	35,875	ARGA	ARGA		C
2014-08-19 13:37	22-aug-14	32113JBV6	B	6000000	36,5	GSCO	GSCO		C
2015-02-23 12:08	26-feb-15	32113JBV6	B	6000000	43	GSCO	GSCO		C
2015-02-23 12:08	26-feb-15	32113JBV6	S	6000000	43	GSCO	GSCO		C
2015-02-23 12:08	26-feb-15	32113JBV6	B	6000000	43	GSCO	GSCO		C
2015-03-03 15:00	06-mar-15	32113JBV6	B	6000000	45,625	BMUR	BMUR		C
2015-03-03 15:01	06-mar-15	32113JBV6	S	6000000	46,1875	BMUR	BMUR		C
2015-05-11 12:38	14-maj-15	32113JBV6	S	4000000	42,3125	BIGG	BIGG		AOCS
2015-05-11 12:40	14-maj-15	32113JBV6	B	4000000	41,8125	BIGG	BIGG		C

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FNLC

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2015-05-11 12:41	14-maj-15	32113JBV6	B	4000000	42,3125	ICBK	ICBK	AOCS	SILK
2018-02-21 14:41	23-feb-18	32113JBV6	B	7067000	60,1875	KGSA	KGSA		C
2018-02-21 14:41	23-feb-18	32113JBV6	B	7067000	60,1875	KGSA	KGSA		C
2018-02-21 14:41	23-feb-18	32113JBV6	B	7056000	60,1875	KGSA	KGSA		C
2018-02-21 14:42	23-feb-18	32113JBV6	S	7067000	63	KGSA	KGSA		C
2018-02-21 14:42	23-feb-18	32113JBV6	S	7067000	63	KGSA	KGSA		C
2018-02-21 14:42	23-feb-18	32113JBV6	S	7056000	63	KGSA	KGSA		C

PM avseende material erhållet från SEC.pdf

Bluesheet Data
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Daniel Koster on Mon Jul 08 2019 20:50:40 EDT

Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120315	7 000 000	7	B	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120315	7 000 000	7	B	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120315	7 000 000	7	B	32113JBV
999999999	MORGAN STANLEY	SUBPRIME CREDIT IO	120315	7 000 000	7	B	32113JBV
999999999	MORGAN STANLEY	SUBPRIME CREDIT IO	120315	7 000 000	7	B	32113JBV
999999999	MORGAN STANLEY	SUBPRIME CREDIT IO	120315	7 000 000	7	B	32113JBV
999999999	MORGAN STANLEY	SUBPRIME CREDIT IO	120315	7 000 000	7	B	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120315	7 000 000	7	B	32113JBV
999999999	MORGAN STANLEY	SUBPRIME CREDIT IO	120809	7 000 000	9,84375	S	32113JBV
999999999	MORGAN STANLEY	SUBPRIME CREDIT IO	120809	7 000 000	9,84375	S	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120809	7 000 000	9,84375	S	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120809	7 000 000	9,84375	S	32113JBV
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	120809	7 000 000	9,84375	B	32113JBV
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	120809	7 000 000	9,84375	B	32113JBV
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	120809	7 000 000	9,84375	B	32113JBV
999999999	US FINANCIAL INVESTMENTS INC	90 BROAD ST 17TH FL	120809	7 000 000	10,3125	S	32113JBV
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	120809	7 000 000	10,625	B	32113JBV
999999999	US FINANCIAL INVESTMENTS INC	90 BROAD STREET 17TH FLOOR	120809	7 000 000	10,3125	S	32113JBV
999999999	US FINANCIAL INVESTMENTS INC	90 BROAD STREET 17TH FLOOR	120809	7 000 000	10,3125	S	32113JBV
999999999	US FINANCIAL INVESTMENTS INC	90 BROAD STREET 17TH FLOOR	120809	7 000 000	10,1875	B	32113JBV
999999999	US FINANCIAL INVESTMENTS INC	90 BROAD STREET 17TH FLOOR	120809	7 000 000	10,1875	B	32113JBV
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	120809	7 000 000	10,1875	S	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120809	7 000 000	9,84375	S	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120809	7 000 000	9,84375	S	32113JBV
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130822	1 000 000	21	S	32113JBV
262119490	ABS INVESTMENT GROUP	A LIMITED LIABILITY COMPANY	130822	1 000 000	21	S	32113JBV
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130822	1 000 000	21	B	32113JBV
952834236	LPL FINANCIAL CORP	9785 TOWNE CENTRE DR	130822	1 000 000	21	S	32113JBV
264091106	400 CAPITAL MANAGEMENT	400 CAPITAL CREDIT	130827	1 000 000	22	B	32113JBV

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Bluesheet Data
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This report was generated by Daniel Koster on Wed Jul 31 2019 08:44:51 EDT

Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
999999999	MORGAN STANLEY & CO. LLC	MORGAN STANLEY & CO. INC.	120315	7 000 000	7,0	B	32113JBV
999999999	MORGAN STANLEY & CO. LLC	MORGAN STANLEY & CO. INC.	120315	7 000 000	7,0	B	32113JBV
999999999	MORGAN STANLEY & CO. LLC	MORGAN STANLEY & CO. INC.	120315	7 000 000	7,0	B	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120315	7 000 000	7,0	B	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120315	7 000 000	7,0	B	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120315	7 000 000	7,0	B	32113JBV
999999999	MORGAN STANLEY & CO. LLC	MORGAN STANLEY & CO. INC.	120315	496 157	7,0	B	32113JBV
999999999	MORGAN STANLEY	SUBPRIME CREDIT IO	120315	7 000 000	7,0	B	32113JBV
999999999	MORGAN STANLEY	SUBPRIME CREDIT IO	120315	7 000 000	7,0	B	32113JBV
999999999	MORGAN STANLEY	SUBPRIME CREDIT IO	120315	7 000 000	7,0	B	32113JBV
999999999	MORGAN STANLEY	SUBPRIME CREDIT IO	120315	7 000 000	7,0	B	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120315	7 000 000	7,0	B	32113JBV
999999999	MORGAN STANLEY	SUBPRIME CREDIT IO	120809	7 000 000	9,84375	S	32113JBV
999999999	MORGAN STANLEY	SUBPRIME CREDIT IO	120809	7 000 000	9,84375	S	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120809	7 000 000	9,84375	S	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120809	7 000 000	9,84375	S	32113JBV
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	120809	7 000 000	9,84375	B	32113JBV
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	120809	7 000 000	9,84375	B	32113JBV
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	120809	7 000 000	9,84375	B	32113JBV
999999999	US FINANCIAL INVESTMENTS INC	90 BROAD ST 17TH FL	120809	7 000 000	10,3125	S	32113JBV
271771079	ABS INVESTMENT GROUP LLC	AMERICAN RMBS EQUITY FD IV LP	120809	7 000 000	10,625	B	32113JBV
999999999	US FINANCIAL INVESTMENTS INC	90 BROAD STREET 17TH FLOOR	120809	7 000 000	10,3125	S	32113JBV
999999999	US FINANCIAL INVESTMENTS INC	90 BROAD STREET 17TH FLOOR	120809	7 000 000	10,3125	S	32113JBV
999999999	US FINANCIAL INVESTMENTS INC	90 BROAD STREET 17TH FLOOR	120809	7 000 000	10,1875	B	32113JBV
999999999	US FINANCIAL INVESTMENTS INC	90 BROAD STREET 17TH FLOOR	120809	7 000 000	10,1875	B	32113JBV
264016963	BEDROK SECURITIES LLC	-RISKLESS PRINCIPAL TRADING-	120809	7 000 000	10,1875	S	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120809	7 000 000	9,84375	S	32113JBV
999999999	NY FID SPLIT ACCOUNT	BLOCK CONTROL ACCOUNT	120809	7 000 000	9,84375	S	32113JBV
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130822	1 000 000	21,0	S	32113JBV
262119490	ABS INVESTMENT GROUP	A LIMITED LIABILITY COMPANY	130822	1 000 000	21,0	S	32113JBV
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130822	1 000 000	21,0	B	32113JBV
952834236	LPL FINANCIAL CORP	9785 TOWNE CENTRE DR	130822	1 000 000	21,0	S	32113JBV
264091106	400 CAPITAL MANAGEMENT	400 CAPITAL CREDIT	130827	1 000 000	22,0	B	32113JBV

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PM avseende material erhållet från SEC.pdf

GSAA

Filer från SEC:

- Regulatory trace 17 cusips från SEC 2019-06-28

GSAA

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2014-04-10 16:12	15-apr-14	362334MZ4	B	4321000	21	ARGA	ARGA		C
2014-04-10 16:58	15-apr-14	362334MZ4	S	4321000	23	ARGA	ARGA		C
2014-08-06 11:08	11-aug-14	362334MZ4	B	4321000	23,15625	BAUM	BAUM		C
2014-08-06 11:10	11-aug-14	362334MZ4	S	4321000	23,625	BAUM	BAUM		C

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PM avseende material erhållet från SEC.pdf

SAIL

Filer från SEC:

- Regulatory trace 17 cusips från SEC 2019-06-28
- Bluesheet från SEC 2019-07-08

PM avseende material erhållet från SEC.pdf

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2012-03-21 12:24	26-mar-12	86360WAE2	B	10000000	11,03125	CFCO	CFCO		C
2012-03-21 12:28	26-mar-12	86360WAE2	S	10000000	11,25	CFCO	CFCO		C
2012-06-01 13:50	06-jun-12	86360WAE2	S	10432000	9,0625	STHA	STHA		STHR
2012-06-01 13:50	06-jun-12	86360WAE2	B	10432000	8,75	STHA	STHA		STHR
2012-06-04 11:15	06-jun-12	86360WAE2	B	10432000	8,75	STHA	STHA		C
2012-06-04 11:15	06-jun-12	86360WAE2	B	10432000	8,75	STHA	STHA		C
2012-06-04 11:15	06-jun-12	86360WAE2	S	10432000	9,0625	STHA	STHA		C
2012-06-04 11:15	06-jun-12	86360WAE2	S	10432000	9,0625	STHA	STHA		C
2012-07-25 12:17	30-jul-12	86360WAE2	B	15060000	14,25	CAPM	CAPM		C
2012-09-21 09:24	26-sep-12	86360WAE2	B	15060000	12,90625	BOFA	BOFA		C
2012-09-21 10:37	26-sep-12	86360WAE2	S	15060000	12,65625	CAPM	CAPM		C
2012-10-10 14:55	15-okt-12	86360WAE2	B	20432000	12	BOFA	BOFA		C
2012-10-19 16:42	24-okt-12	86360WAE2	S	20492000	13,03125	BOFA	BOFA		C
2012-10-19 16:47	24-okt-12	86360WAE2	S	15000000	12,875	BOFA	BOFA		C
2012-10-19 16:49	24-okt-12	86360WAE2	S	32286000	80	FNRA	BOFA		GARB
2013-01-23 17:10	28-jan-13	86360WAE2	B	2000000	17,75	FNRA	VSLP		C
2013-01-23 17:11	28-jan-13	86360WAE2	S	2000000	18,125	FNRA	VSLP		C
2013-03-06 13:37	11-mar-13	86360WAE2	B	10000000	16,375	CFCO	CFCO		C
2013-03-06 13:38	11-mar-13	86360WAE2	S	10000000	16,9375	CFCO	CFCO		C
2013-07-09 08:52	16-jul-13	86360WAE2	S	30000000	22,125	YLPL	YLPL		C
2013-07-09 15:59	16-jul-13	86360WAE2	B	30000000	20,84375	MSRO	MSRO		C
2013-07-09 16:17	16-jul-13	86360WAE2	B	30000000	22,125	YLPL	YLPL		MSRO
2013-07-09 16:17	16-jul-13	86360WAE2	B	30000000	22,125	YLPL	YLPL		MSRO
2013-07-09 16:17	16-jul-13	86360WAE2	B	300000000	22,125	YLPL	YLPL		MSRO
2013-07-09 16:17	16-jul-13	86360WAE2	S	30000000	22,125	MSRO	MSRO		C
2013-07-29 15:58	01-aug-13	86360WAE2	S	13492000	21,8125	MSRO	MSRO		C
2013-07-29 16:04	01-aug-13	86360WAE2	B	13492000	20,75	MSRO	MSRO		C
2013-07-29 16:18	01-aug-13	86360WAE2	B	13492000	21,8125	YLPL	YLPL		MSRO
2013-07-29 16:18	01-aug-13	86360WAE2	S	13492000	21,8125	YLPL	YLPL		C
2013-08-07 16:54	12-aug-13	86360WAE2	S	20000000	20,25	MZHO	MZHO		C
2013-08-07 16:54	12-aug-13	86360WAE2	B	20000000	19,75	MZHO	MZHO		C
2014-04-22 08:52	25-apr-14	86360WAE2	B	30000000	20,0625	ARGA	ARGA		C

SAIL

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2014-04-22 08:54	25-apr-14	86360WAE2	S	30000000	20,875	ARGA	ARGA		C
2014-04-28 13:37	01-maj-14	86360WAE2	B	20000000	20,25	ARGA	ARGA		C
2014-04-28 13:38	01-maj-14	86360WAE2	S	20000000	20,625	ARGA	ARGA		C
2014-10-17 12:24	22-okt-14	86360WAE2	S	2000000	28,75	DNWL	DNWL		SPGS
2014-10-17 12:25	22-okt-14	86360WAE2	B	2000000	28,75	SPGS	SPGS		DNWL
2014-10-17 12:27	22-okt-14	86360WAE2	S	2000000	28,875	SPGS	SPGS		C
2014-10-17 12:33	22-okt-14	86360WAE2	B	2000000	28,125	DNWL	DNWL		C
2016-08-24 12:56	29-aug-16	86360WAE2	B	52000000	23,04	GSCO	GSCO		C
2016-08-24 13:08	29-aug-16	86360WAE2	S	52000000	23,165	GSCO	GSCO		C
2016-08-24 13:08	29-aug-16	86360WAE2	S	52000000	23,164062	GSCO	GSCO		C
2016-08-24 13:08	29-aug-16	86360WAE2	S	52000000	23,165	GSCO	GSCO		C
2018-09-26 16:07	27-sep-18	86360WAE2	S	13492000	27,15625	BNYM	BNYM		SMRD
2018-09-26 16:11	27-sep-18	86360WAE2	B	13492000	27,05625	BNYM	BNYM		PERS
2018-09-26 16:11	27-sep-18	86360WAE2	B	13492000	27,05625	PERS	PERS		MNRC
2018-09-26 16:11	27-sep-18	86360WAE2	S	13492000	27,05625	PERS	PERS		BNYM
2018-09-26 16:11	27-sep-18	86360WAE2	B	13492000	27,05625	PERS	PERS	MNRC	C
2018-09-26 16:11	27-sep-18	86360WAE2	S	13492000	27,05625	PERS	PERS	MNRC	PERS
2018-09-26 16:11	27-sep-18	86360WAE2	B	13492000	27,05625	PERS	PERS		NEWO
2018-09-26 16:11	27-sep-18	86360WAE2	B	13492000	27,05625	PERS	PERS		MNRC
2018-09-26 16:11	27-sep-18	86360WAE2	B	13492000	27,05625	PERS	PERS	MNRC	C
2018-09-26 16:11	27-sep-18	86360WAE2	S	13492000	27,05625	PERS	PERS	MNRC	PERS
2018-09-26 16:11	27-sep-18	86360WAE2	B	13492000	27,05625	PERS	PERS	NEWO	C
2018-09-26 16:11	27-sep-18	86360WAE2	S	13492000	27,05625	PERS	PERS	NEWO	PERS
2018-09-26 16:53	27-sep-18	86360WAE2	S	13492000	27,78125	PERS	PERS	SMRD	MZHO
2018-09-26 16:54	27-sep-18	86360WAE2	B	13492000	27,15625	PERS	PERS	SMRD	BNYM
2018-09-26 16:54	27-sep-18	86360WAE2	B	13492000	27,15625	PERS	PERS	SMRD	BNYM
2018-09-26 16:54	27-sep-18	86360WAE2	B	13492000	27,15625	PERS	PERS	SMRD	BKCM
2018-09-26 16:56	27-sep-18	86360WAE2	B	13492000	27,78125	MZHO	MZHO		SMRD
2018-10-10 16:12	12-okt-18	86360WAE2	S	13492000	32,5	MZHO	MZHO		C

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
133680184	UNALLOCATED TRADE ACCOUNT		120321	10 000 000	11,25	B	86360WAE
133680184	UNALLOCATED TRADE ACCOUNT		120321	10 000 000	11,25	B	86360WAE
133680184	UNALLOCATED TRADE ACCOUNT		120321	10 000 000	11,03125	S	86360WAE
133680184	UNALLOCATED TRADE ACCOUNT		120321	10 000 000	11,03125	S	86360WAE
999999999	CULROSS WYETREE SEGREGATED POR	FUND	120321	10 000 000	11,25	B	86360WAE
999999999	VERTICAL CAPITAL LLC	A/C RBS PLC AS TRUSTEE	120321	10 000 000	11,03125	S	86360WAE
999999999	DEUTSCHE BANK	99 BISHOPSGATE	120725	15 060 000	14,25	S	86360WAE
999999999	ROYAL BANK OF SCOTLAND PLC	280 BISHOPSGATE	120921	15 060 000	12,65625	B	86360WAE
999999999	BANC OF AMERICA SECS LTD	ATTN RUSSELL SIMONS	120921	15 060 000	12,90625	S	86360WAE
999999999	BANC OF AMERICA SECS LTD	ATTN RUSSELL SIMONS	120921	15 060 000	12,90625	S	86360WAE
999999999	BANC OF AMERICA SECS LTD	ATTN RUSSELL SIMONS	120921	15 060 000	12,90625	S	86360WAE
999999999	VARDE PARTNERS LP	A/C BLOCK ACCOUNT	121010	20 432 000	12	S	86360WAE
472521734	WHITEBOX ADVISORS LLC	3033 EXCELSIOR BOULEVARD	121019	20 492 000	13,03125	B	86360WAE
472521734	WHITEBOX ADVISORS LLC	3033 EXCELSIOR BOULEVARD	121019	20 492 000	13,03125	B	86360WAE
999999999	WHITEBOX ADVISORS LLC	3033 EXCELSIOR BLVD	121019	20 492 000	13,03125	B	86360WAE
472521734	WHITEBOX ADVISORS LLC	3033 EXCELSIOR BOULEVARD	121019	15 000 000	12,875	B	86360WAE
472521734	WHITEBOX ADVISORS LLC	3033 EXCELSIOR BOULEVARD	121019	15 000 000	12,875	B	86360WAE
999999999	WHITEBOX ADVISORS LLC	3033 EXCELSIOR BLVD	121019	15 000 000	12,875	B	86360WAE
133680184	UNALLOCATED TRADE ACCOUNT		130306	10 000 000	16,9375	B	86360WAE
133680184	UNALLOCATED TRADE ACCOUNT		130306	10 000 000	16,9375	B	86360WAE
133680184	UNALLOCATED TRADE ACCOUNT		130306	10 000 000	16,375	S	86360WAE
133680184	UNALLOCATED TRADE ACCOUNT		130306	10 000 000	16,375	S	86360WAE
942842977	BANC OF AMERICA FINANCE SERVIC	F/A/O WHITEBOX ADVISORS LLC	130306	10 000 000	16,9375	B	86360WAE
942842977	BANC OF AMERICA FINANCE SERVIC	F/A/O WHITEBOX ADVISORS LLC	130306	10 000 000	16,9375	B	86360WAE
942842977	BANC OF AMERICA FINANCE SERVIC	F/A/O WHITEBOX ADVISORS LLC	130306	10 000 000	16,9375	B	86360WAE
999999999	CULROSS WYETREE SEGREGATED POR	FUND	130306	10 000 000	16,375	S	86360WAE
999999999	CULROSS WYETREE SEGREGATED POR	FUND	130306	10 000 000	16,375	S	86360WAE
999999999	CULROSS WYETREE SEGREGATED POR	FUND	130306	10 000 000	16,375	S	86360WAE
262119490	ABS INVESTMENT GROUP	A LIMITED LIABILITY COMPANY	130709	30 000 000	22,125	B	86360WAE
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130709	30 000 000	22,125	S	86360WAE
942842977	BNP PARIBAS PRIME	BROKERAGE INC	130709	30 000 000	20,84375	S	86360WAE
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130709	30 000 000	22,125	B	86360WAE
952834236	LPL FINANCIAL CORP	9785 TOWNE CENTRE DR	130709	30 000 000	22,125	B	86360WAE
942842977	BNP PARIBAS PRIME	BROKERAGE INC	130729	13 492 000	20,75	S	86360WAE

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999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130729	13 492 000	21,8125	B	86360WAE
262119490	ABS INVESTMENT GROUP	A LIMITED LIABILITY COMPANY	130729	13 492 000	21,8125	B	86360WAE
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130729	13 492 000	21,8125	S	86360WAE
952834236	LPL FINANCIAL CORP	9785 TOWNE CENTRE DR	130729	13 492 000	21,8125	B	86360WAE
263749091	HUDSON AMERICAS L.P.	2711 N HASKELL AVE, STE 18	130807	40 000 000	39,5	B	86360WAE
411957584	WHITEBOX ADVISORS LLC	3033 EXCELSIOR BLVD	130807	40 000 000	40,5	S	86360WAE

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Filer från SEC:

- Regulatory trace 17 cusips från SEC 2019-06-28
- Bluesheet från SEC 2019-07-08

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TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2012-08-20 16:22	24-aug-12	59024FAG9	B	11387505	12,7	BOFA	BOFA		C
2012-08-23 17:19	28-aug-12	59024FAG9	B	2035094	8	BOFA	BOFA		C
2012-11-08 12:23	14-nov-12	59024FAG9	B	97417	8,5	LGNT	LGNT	RWCI	PATR
2012-11-08 12:43	14-nov-12	59024FAG9	B	97417	4,5	ANOS	ANOS		C
2012-11-08 12:44	14-nov-12	59024FAG9	S	97417	4,5	ANOS	ANOS		DADA
2012-11-08 12:47	14-nov-12	59024FAG9	B	97417	4,5	DADA	DADA		ANOS
2012-11-08 12:48	14-nov-12	59024FAG9	S	97417	7,5	FNRA	DADA		PATR
2012-11-08 13:17	14-nov-12	59024FAG9	B	97417	8,5	PATR	PATR		RWCI
2012-11-08 13:17	14-nov-12	59024FAG9	B	97417	7,5	PATR	PATR		DADA
2012-11-08 13:17	14-nov-12	59024FAG9	B	97417	8,5	PATR	PATR		RWCI
2012-11-08 13:17	14-nov-12	59024FAG9	S	97417	8,5	PATR	PATR		RWCI
2012-11-08 16:50	14-nov-12	59024FAG9	S	97417	8,875	LGNT	LGNT	RWCI	C
2013-02-07 16:37	12-feb-13	59024FAG9	B	26007532	10,5	NMRA	NMRA		C
2013-02-08 10:53	13-feb-13	59024FAG9	S	26007532	11,5	NMRA	NMRA		C
2013-02-26 13:07	01-mar-13	59024FAG9	S	13422599	10,75	BOFA	BOFA		C
2013-03-13 15:52	18-mar-13	59024FAG9	B	403595	7	SDLR	SDLR		C
2013-03-13 15:53	18-mar-13	59024FAG9	S	403595	8,75	SDLR	SDLR		C
2013-06-06 17:00	11-jun-13	59024FAG9	B	4521114	11,875	RWPS	RWPS		C
2013-06-06 17:06	11-jun-13	59024FAG9	S	4521114	12,125	RWPS	RWPS		C
2013-08-02 13:03	07-aug-13	59024FAG9	B	20000000	12,5	MSRO	MSRO		C
2013-08-02 14:13	07-aug-13	59024FAG9	S	20000000	13,375	MSRO	MSRO		C
2013-08-02 15:36	07-aug-13	59024FAG9	B	20000000	13,375	YLPL	YLPL		MSRO
2013-08-02 15:36	07-aug-13	59024FAG9	S	20000000	13,375	YLPL	YLPL		C
2013-08-06 16:17	09-aug-13	59024FAG9	S	24354840	13,5	MSRO	MSRO		YLPL
2013-08-06 16:17	09-aug-13	59024FAG9	B	24354840	13,5	YLPL	YLPL		MSRO
2013-08-06 16:17	09-aug-13	59024FAG9	B	24354840	13,5	YLPL	YLPL		MSRO
2013-08-06 16:17	09-aug-13	59024FAG9	B	24354840	13,5	YLPL	YLPL		MSRO
2013-08-06 16:20	09-aug-13	59024FAG9	B	24354840	12,6875	MSRO	MSRO		C
2013-08-06 16:22	09-aug-13	59024FAG9	S	24354840	13,5	YLPL	YLPL		C
2015-04-23 11:43	28-apr-15	59024FAG9	B	20000000	11,46875	MESF	MESF		YLPL
2015-04-23 11:45	28-apr-15	59024FAG9	S	20000000	12,25	MESF	MESF		C
2015-04-23 11:53	28-apr-15	59024FAG9	S	20000000	11,46875	YLPL	YLPL		MESF

TRD_EXCTN_TS	TRD_STLMT_DT	CUSIP_ID	RPT_SIDE_CD	ENTRD_VOL_QT	ENTRD_PR	SBMTG_FIRM_ID	RPTG_PARTY_ID	RPTG_PARTY_GVP_ID	CNTRA_PARTY_ID
2015-04-23 11:55	28-apr-15	59024FAG9	B	20000000	11,46875	YLPL	YLPL		C
2015-09-02 09:47	08-sep-15	59024FAG9	B	24354840	10,75	MESF	MESF		C
2015-09-02 10:05	08-sep-15	59024FAG9	S	24354840	11,625	MESF	MESF		C
2015-12-03 18:17	08-dec-15	59024FAG9	B	1125900	10,6	MSCO	MSCO		C
2015-12-03 18:17	08-dec-15	59024FAG9	S	1125900	10,7	MSCO	MSCO		C
2016-08-29 14:58	01-sep-16	59024FAG9	B	1125900	10,0625	MESF	MESF		C
2016-08-29 14:59	01-sep-16	59024FAG9	S	1125900	10,25	MESF	MESF		C

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
410686895	US BANK NA (MINNEAPOLIS	BRANCH)	120820	11 387 505	12,7	S	59024FAG
410686895	US BANK NA (MINNEAPOLIS	BRANCH)	120820	11 387 505	12,7	S	59024FAG
999999999	US BANK	U.S. BANCORP	120820	11 387 505	12,7	S	59024FAG
562058405	BANK OF AMERICA SECURITIES LLC	200 NORTH COLLEGE STREET	120823	610 528	8	B	59024FAG
562058405	BANK OF AMERICA SECURITIES LLC	200 NORTH COLLEGE STREET	120823	1 424 566	8	B	59024FAG
980673302	LIBREMAX OC MASTER FUND LTD	C/O LIBREMAX CAPITAL LLC	120823	610 528	8	S	59024FAG
990360488	LIBREMAX MASTER FUND LTD	C/O LIBREMAX CAPITAL LLC	120823	1 424 566	8	S	59024FAG
272436175	LIBREMAX CAPITAL, LLC	PENDING ALLOCATION	120823	2 035 094	8	S	59024FAG
272436175	LIBREMAX CAPITAL, LLC	PENDING ALLOCATION	120823	2 035 094	8	S	59024FAG
980673302	LIBREMAX CAPITAL, LLC	LIBREMAX OC MASTER FUND, LTD.	120823	610 528	8	S	59024FAG
980673302	LIBREMAX CAPITAL, LLC	LIBREMAX OC MASTER FUND, LTD.	120823	610 528	8	S	59024FAG
980673302	LIBREMAX CAPITAL, LLC	LIBREMAX OC MASTER FUND, LTD.	120823	610 528	8	S	59024FAG
990360488	LIBREMAX CAPITAL LLC	LIBREMAX MASTER FUND LTD	120823	1 424 566	8	S	59024FAG
990360488	LIBREMAX CAPITAL LLC	LIBREMAX MASTER FUND LTD	120823	1 424 566	8	S	59024FAG
990360488	LIBREMAX CAPITAL LLC	LIBREMAX MASTER FUND LTD	120823	1 424 566	8	S	59024FAG
999999999	DA DAVIDSON & CO INC	8 3RD STREET NORTH	121108	97 417	7,5	S	59024FAG
999999999	RIDGEWAY & CONGER INC	1872 BALINA ROAD	121108	97 417	8,5	B	59024FAG
116028875	DNM ABEL NOSER CORP	AC LIQUIDATION MASTER	121108	97 417	4,5	S	59024FAG
999999999	FIXED INCOME AGENT TRADING A/C	C/O ABEL NOSER LLC	121108	97 417	4,5	B	59024FAG
999999999	FIXED INCOME AGENT TRADING A/C	C/O ABEL NOSER LLC	121108	97 417	4,5	S	59024FAG
161600543	RIDGEWAY & CONGER	2123 MAIN STREET	121108	97 417	8,5	B	59024FAG
999999999	AVG PRICE ACCT - OFFICE43Z	1633 BROADWAY	121108	97 417	4,5	B	59024FAG
999999999	AVG PRICE ACCT - OFFICE43Z	1633 BROADWAY	121108	97 417	4,5	S	59024FAG
999999999	AVG PRICE ACCT - OFFICE43Z	1633 BROADWAY	121108	97 417	4,5	S	59024FAG
810139474	FIXED INC CAP MKT-TRADING	BANK OF AMERICA TOWER	121108	97 417	4,5	B	59024FAG
810139474	FICM TRADING DENVER	1600 BROADWAY SUITE 1100	121108	97 417	7,5	S	59024FAG
810139474	FICM TRADING DENVER	1600 BROADWAY SUITE 1100	121108	97 417	7,5	S	59024FAG
810139474	FIXED INC CAP MKT-TRADING	BANK OF AMERICA TOWER	121108	97 417	7,5	S	59024FAG
810139474	FIXED INC CAP MKT-TRADING	BANK OF AMERICA TOWER	121108	97 417	7,5	S	59024FAG
810139474	FIXED INC CAP MKT-TRADING	BANK OF AMERICA TOWER	121108	97 417	7,5	S	59024FAG
161600543	RIDGEWAY & CONGER	2123 MAIN STREET	121108	97 417	8,875	S	59024FAG
429761454	MICHAEL SPRUELL SR &	JEAN P SPRUELL JTWROS	121108	97 417	8,875	B	59024FAG
132642206	CANYON CAPITAL ADVSIORS LLC	-	130207	26 007 532	10,5	B	59024FAG
132642206	CANYON CAPITAL ADVSIORS LLC	-	130207	26 007 532	10,5	S	59024FAG
132642206	CANYON CAPITAL ADVSIORS LLC	-	130207	26 007 532	10,5	B	59024FAG
132642206	CANYON CAPITAL ADVSIORS LLC	-	130207	26 007 532	10,5	S	59024FAG

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Tax Id 1	Name Address 1	Name Address 2	Trade Date Original	Quantity	Price	Buy/Sell Code	Symbol
999999999	CANYON CAPITAL ADVISORS LLC	-	130207	26 007 532	10,5	S	59024FAG
132642206	WHITEBOX ADVISORS LLC	-	130208	26 007 532	11,5	B	59024FAG
132642206	WHITEBOX ADVISORS LLC	-	130208	26 007 532	11,5	S	59024FAG
133247006	WHITEBOX ADVISORS LLC	-	130208	26 007 532	11,5	S	59024FAG
133247006	WHITEBOX ADVISORS LLC	-	130208	26 007 532	11,5	B	59024FAG
133247006	WHITEBOX ADVISORS LLC	-	130208	26 007 532	11,5	B	59024FAG
133247006	MERRILL LYNCH PROFESSIONAL	CLEARING CORP	130226	13 422 599	10,75	B	59024FAG
133247006	MERRILL LYNCH PROFESSIONAL	F/A/O WHITEBOX ADVISORS LLC	130313	403 595	8,75	B	59024FAG
133481277	SANDLER O'NEILL & PARTNERS LP	(WHOLE LOAN CMO'S)	130313	403 595	8,75	S	59024FAG
133481277	SANDLER O'NEILL & PARTNERS LP	(WHOLE LOAN CMO'S)	130313	403 595	7	B	59024FAG
134942190	BARCLAYS/LONDON	222 BROADWAY	130313	403 595	7	S	59024FAG
133570685	R W PRESSPRICH & CO INC	MORTGAGE PRODUCTS	130606	4 521 114	11,875	B	59024FAG
320293805	APOLLO ADVISORS	A/C FLORIDA FUND 1	130606	4 521 114	11,875	S	59024FAG
133247006	MERRILL LYNCH PROFESSIONAL	F/A/O WHITEBOX ADVISORS LLC	130606	4 521 114	12,125	B	59024FAG
133570685	R W PRESSPRICH & CO INC	MORTGAGE PRODUCTS	130606	4 521 114	12,125	S	59024FAG
942842977	BNP PARIBAS PRIME	BROKERAGE INC	130802	20 000 000	12,5	S	59024FAG
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130802	20 000 000	13,375	B	59024FAG
262119490	ABS INVESTMENT GROUP	A LIMITED LIABILITY COMPANY	130802	20 000 000	13,375	B	59024FAG
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130802	20 000 000	13,375	S	59024FAG
952834236	LPL FINANCIAL CORP	9785 TOWNE CENTRE DR	130802	20 000 000	13,375	B	59024FAG
133247006	WHITEBOX ADVISORS LLC	3033 EXCELSIOR BLVD	130806	20 000 000	12,5	S	59024FAG
942842977	BNP PARIBAS PRIME	BROKERAGE INC	130806	20 000 000	12,5	S	59024FAG
952834236	LPL FINANCIAL CORP	9785 TOWNE CENTRE DR	130806	24 354 840	13,5	B	59024FAG
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130806	24 354 840	13,5	B	59024FAG
942842977	BNP PARIBAS PRIME	BROKERAGE INC	130806	24 354 840	12,6875	S	59024FAG
262119490	ABS INVESTMENT GROUP	A LIMITED LIABILITY COMPANY	130806	24 354 840	13,5	B	59024FAG
999999999	FIXED INCOME ALLOCATION	CORRESPONDENT FACILITATION	130806	24 354 840	13,5	S	59024FAG
133247006	WHITEBOX ADVISORS LLC	3033 EXCELSIOR BLVD	130807	20 000 000	12,5	S	59024FAG
133247006	WHITEBOX ADVISORS LLC	3033 EXCELSIOR BLVD	130807	24 354 840	12,6875	S	59024FAG
942842977	BNP PARIBAS PRIME	BROKERAGE INC	130807	24 354 840	12,6875	S	59024FAG
133247006	WHITEBOX ADVISORS LLC	3033 EXCELSIOR BLVD	130808	20 000 000	12,5	S	59024FAG

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Regulatory Notice 18-04

Electronic Blue Sheet Submissions

FINRA and ISG Announce Extension of Effective Date for Certain Electronic Blue Sheet Data Elements and Updates to Certain Requestor and Exchange Codes

Effective Date: November 15, 2018; Updates to Requestor and Exchange Codes are Effective Immediately

January 29, 2018

Notice Type
- Guidance

Suggested Routing
- Compliance
- Legal
- Operations
- Senior Management

Key Topics
- Blue Sheets

Referenced Rules & Notices
- FINRA Rule 8211
- FINRA Rule 8213
- Notice to Members 05-58
- Notice to Members 06-33
- Regulatory Notice 11-56
- Regulatory Notice 12-36
- Regulatory Notice 12-47
- Regulatory Notice 13-16
- Regulatory Notice 13-38
- Regulatory Notice 15-44
- Regulatory Notice 16-24
- Regulatory Notice 17-05
- SEA Rule 13h-1

Summary

FINRA and the other U.S. members of the Intermarket Surveillance Group[1] (ISG members) have extended the effective date for compliance with certain data elements for Electronic Blue Sheets (EBS) identified in FINRA *Regulatory Notice 15-44* to November 15, 2018. FINRA and the other ISG members are extending the effective date for these data elements to be consistent with the exemptive relief recently granted by the SEC, which extended the compliance date for certain broker-dealer recordkeeping and reporting requirements of SEA Rule 13h-1 (Large Trader Rule) from November 1, 2017, to November 15, 2018.

FINRA and the other ISG members are also updating certain data elements for EBS in response to Cboe Options Regulatory Circular RG17-144, C2 Options Regulatory Circular RG17-058, CFE Regulatory Circular RG17-014, NYSE MKT Trade Update Dated July 21, 2017, Securities Exchange Act Release Nos. 80325 and 81917. The updates are effective immediately.

Attachments A to this *Notice* set forth the EBS record layout and reflect the modifications noted below and changes from the version previously published in FINRA *Regulatory Notice 17-05*.

Questions concerning the EBS enhancements should be directed to *ebsfaq@finra.org*.

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Discussion

FINRA and the other ISG members have extended the effective date for compliance with certain data elements to be consistent with the exemptive relief provided by the SEC, which recently extended the compliance date for certain broker-dealer recordkeeping and reporting requirements of the Large Trader Rule from November 1, 2017, to November 15, 2018.[2] FINRA and the other ISG members are extending the effective date for compliance with certain data elements accordingly, to November 15, 2018.

The SEC has grouped the Large Trader Rule into three phases for purposes of implementation.

- Phase One required clearing broker-dealers for large traders to keep records of and report, upon SEC request, specified data concerning (1) proprietary trades by large traders that are U.S.-registered broker-dealers; and (2) transactions effected by large traders through a sponsored access arrangement.[3] Transaction data includes both the large trader identification number (LTID) and execution time. The compliance date for Phase One was November 30, 2012.
- Phase Two extended the recordkeeping and reporting requirements for clearing broker-dealers to transactions effected pursuant to a direct market access arrangement.[4] As with Phase One, this requires clearing broker-dealers to report Transaction Data that includes both LTID and execution time. With respect to all other types of transactions, the prime broker or other carrying broker broker-dealer that carries an account for a Large Trader will have to report Transaction Data other than execution time, *e.g.*, the applicable LTID. The compliance date for Phase Two was November 1, 2013.
- The remaining types of large traders and the transactions not covered by Phases One and Two are covered by Phase Three. Phase Three will therefore apply to all other broker-dealers subject to the recordkeeping and reporting requirements of the rule (*i.e.*, broker-dealers that are large traders but do not self-clear, and broker-dealers effecting transactions directly or indirectly for a large trader where a non-broker-dealer carries the account for the large trader). Phase Three will require all remaining broker-dealers subject to the recordkeeping and reporting requirements of Rule 13h–1 to come into full compliance with those provisions. The compliance date for Phase Three was November 1, 2017,[5] and as noted above, has been extended to November 15, 2018.

Given the SEC's extension of the Phase Three reporting requirements and the corresponding extension of the EBS data elements, broker-dealers must be in EBS reporting compliance by November 15, 2018, for the Order Execution Time, Large Trader Identification Number 1-3 and Large Trader Identification Qualifier fields as outlined in Phase Three of the recordkeeping, reporting and monitoring requirements of SEA Rule 13h-1.

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The EBS fields that are subject to this extension are set forth below and are unchanged from *Regulatory Notice 17-05*. Attachment A contains additional detail on these fields.

Order Execution Time, Record Sequence Number Five, Field Position 72 to 77

Firms should use this record to submit the order execution time in 24-hour format and in Eastern Time formatted as HHMMSS. This information is not limited to the blue sheet transactions relating to the SEC Large Trader Reporting Rule (SEA Rule 13h-1). Please note that all firms must synchronize their time clocks to the atomic clock to maintain an accurate audit trail in connection to the reported execution time.

Large Trader Identification Number 1, Record Sequence Number Seven, Field Position 2 to 14

Firms should use this record to submit the Large Trader Identification Number. This information is requested under the approved SEC Large Trader Reporting Rule (SEA Rule 13h-1) requirements.

Large Trader Identification Number 2, Record Sequence Number Seven, Field Position 15 to 27

Firms should use this record to submit the Large Trader Identification Number. This information is requested under the approved SEC Large Trader Reporting Rule (SEA Rule 13h-1) requirements.

Large Trader Identification Number 3, Record Sequence Number Seven, Field Position 28 to 40

Firms should use this record to submit the Large Trader Identification Number. This information is requested under the approved SEC Large Trader Reporting Rule (SEA Rule 13h-1) requirements.

Large Trader Identification Qualifier, Record Sequence Number Seven, Field Position 41

Firms should use this record to submit the Large Trader Identification Qualifier. If more than three LTIDs exist for a transaction, then firms should mark the field "Y" for Yes. Otherwise it should be marked "N" for No. This information is requested under the approved SEC Large Trader Reporting Rule (SEA Rule 13h-1) requirements.

FINRA and the other ISG members are also updating certain data elements for EBS in response to Cboe Options Regulatory Circular RG17-144, C2 Options Regulatory Circular RG17-058, CFE Regulatory Circular RG17-014, NYSE MKT Trade Update Dated July 21, 2017, Securities Exchange Act Release Nos. 80325 and 81917.[6] The updates are effective immediately.

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Attachments A to this *Notice* set forth the EBS record layout and reflect the modifications noted below and changes from the version previously published in *Regulatory Notice 17-05*.

FINRA and the other ISG members have updated the data elements for EBS noted below.

The following Requestor Codes were updated and a modification was made to Attachment A of this *Notice*:

- NYSE American, LLC = 'B'
- The Nasdaq Stock Market, LLC = 'D'
- Nasdaq BX, Inc. = 'F'
- NYSE National, Inc. = 'G'
- Cboe BZX Exchange, Inc. = 'H'
- Nasdaq ISE, LLC, Nasdaq GEMX, LLC, Nasdaq MRX, LLC = 'I'
- Cboe EDGA Exchange, Inc. and Cboe EDGX Exchange, Inc. = 'J'
- Cboe Exchange, Inc. and Cboe C2 Exchange, Inc. = 'K'
- Cboe BYX Exchange, Inc. = 'Y'

The following Exchange Codes were updated and a modification was made to Attachment A of this *Notice*:

- NYSE American, LLC = 'B'
- Nasdaq PHLX, LLC = 'D'
- Nasdaq BX, Inc. = 'F'
- NYSE National, Inc. = 'G'
- Cboe BZX Exchange, Inc. = 'H'
- Nasdaq ISE, LLC = 'I'
- Cboe C2 Exchange, Inc. = 'J'
- Cboe Exchange, Inc. = 'K'
- Cboe EDGA Exchange, Inc. = 'P'
- The Nasdaq Stock Market, LLC, The Nasdaq Options Market, LLC = 'R'
- Cboe EDGX Exchange, Inc. = 'V'
- For Future Use = 'W'
- Nasdaq PSX, LLC = 'X'
- Cboe BYX Exchange, Inc. = 'Y'
- Nasdaq GEMX, LLC = '1'
- Nasdaq MRX, LLC = '2'

Firms are reminded that failure to properly fill out the EBS fields is a violation of FINRA Rule 8211 or 8213.

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Endnotes

1. The U.S. members of the ISG include the following exchanges and self-regulatory organizations (SROs): Cboe BZX Exchange, Inc., Cboe BYX Exchange, Inc., Cboe Exchange, Inc., Cboe C2 Exchange, Inc., Chicago Stock Exchange, Inc., Cboe EDGA Exchange, Inc., Cboe EDGX Exchange, Inc., FINRA, Nasdaq ISE, LLC, The Nasdaq Stock Market, LLC, Nasdaq BX, Inc., Nasdaq PHLX LLC, Nasdaq PSX, LLC, NYSE National, Inc., New York Stock Exchange, LLC, NYSE American, LLC, NYSE Arca, Inc., BOX Options Exchange, LLC., Miami International Securities Exchange, Nasdaq GEMX, LLC, Nasdaq MRX, LLC, Investors Exchange, LLC and MIAX PEARL.

2. *See* Securities Exchange Act Release No. 81993 (October 31, 2017), 82 FR 51449 (November 6, 2017) ("Extension Order").

3. The SEC defines a sponsored access arrangement as one where a broker-dealer permits a customer to enter orders into a trading center without using the broker-dealer's trading system (*i.e.*, using the customer's own technology or that of a third party provider). *See* Extension Order.

4. The SEC defines a direct market access arrangement as an arrangement whereby a broker-dealer permits customers to enter orders into a trading center but such orders flow through the broker-dealer's trading systems prior to reaching the trading center. *See* Extension Order.

5. The SEC previously extended the compliance date for Phase Three from November 1, 2015, to November 1, 2017, and FINRA and the other ISG members granted a corresponding extension of certain EBS data elements. *See Regulatory Notice 15-44* (November 2015).

6. *See* Securities Exchange Act Release No. 80325 (March 29, 2017), 82 FR 16445 (April 4, 2017) (Notice of Filing and Immediate Effectiveness of File No. SR-ISE-2017-25) and Securities Exchange Act Release No. 81917 (October 23, 2017), 82 FR 49879 (October 27, 2017) (Notice of Filing and Immediate Effectiveness of File No. SR-NASDAQ-2017-111).

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Attachment A

Record Layout for Submission of Trading Information

Field Position		Field Length	Field Name/Description/Remarks	Field Format	Justify	Picture Clause	Default Value
From	To						
			This record must be the first record of the file				
1	3	3	FILLER	A	U	X(3)	HDR
4	5	2	FILLER	A	U	X(2)	.S
6	10	5	DTRK-SYSID	N	U	9(5)	12343
11	12	2	FILLER	A	U	X(2)	.E
13	14	2	FILLER	N	U	9(2)	00
15	16	2	FILLER	A	U	X(2)	.C
17	20	4	DTRK-ORIGINATOR Please contact SIAC for assignment at *efp-support@nyse.com*	A	U	X(4)	--
21	22	2	FILLER	A	U	X(2)	.S
23	26	4	DTRK-SUB-ORIGINATOR Please contact SIAC for assignment at *efp-support@nyse.com*	A	U	X(4)	--
27	27	1	FILLER	A	U	X(1)	B
28	33	6	DTRK-DATE Contains submission date.	N	U	9(6)	MMDDYY
34	34	1	FILLER	A	U	X(1)	B
35	59	25	DTRK-DESCRIPTION Required to identify this file.	A	U	X(25)	FIRM TRADING INFORMATION
60	80	21	FILLER	A	U	X(21)	B
1	1	1	HEADER RECORD CODE Value: Low Values OR ZERO	A	--	X	--
2	5	4	SUBMITTING BROKER NUMBER If NSCC member use NSCC clearing number. If not a NSCC member, use clearing number assigned to you by your clearing agency.	A–R	U	X(4)	B
6	40	35	FIRM'S REQUEST NUMBER Tracking number used by the firm to record requests from an organization.	A	--	X(35)	B
41	46	6	FILE CREATION DATE Format is YYMMDD	A	--	X(6)	--

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Field Position		Field Length	Field Name/Description/Remarks	Field Format	Justify	Picture Clause	Default Value
From	To						
47	54	8	FILE CREATION TIME Format is HH:MM:SS	A	--	X(8)	--
55	55	1	REQUESTOR CODE Requesting Organization Identification Values:	A	--	X	--
			A = New York Stock Exchange				
			B = NYSE American, LLC				
			C = Chicago Stock Exchange				
			D = The Nasdaq Stock Market, LLC				
			E = NYSE Arca				
			F = Nasdaq BX, Inc.				
			G = NYSE National, Inc.				
			H = Cboe BZX Exchange, Inc. (Equity and Options)				
			I = Nasdaq ISE, LLC, Nasdaq GEMX, LLC, Nasdaq MRX, LLC				
			J = Cboe EDGA Exchange, Inc. and Cboe EDGX Exchange, Inc. (Equity and Options)				
			K = Cboe Exchange, Inc. and Cboe C2 Exchange, Inc.				
			R = FINRA				
			U = BOX Options Exchange, LLC				
			X = U.S. Securities and Exchange Commission				
			Y = Cboe BYX Exchange, Inc.				
			3 = Investors Exchange, LLC				
			7 = Miami International Securities Exchange				
			8 = MIAX PEARL				
56	70	15	REQUESTING ORGANIZATION NUMBER Number assigned by requesting organization	A	LJ	X(15)	B

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Field Position		Field Length	Field Name/Description/Remarks	Field Format	Justify	Picture Clause	Default Value
From	To						
71	80	10	FILLER	A	--	X(10)	B
1	1	1	RECORD SEQUENCE NUMBER ONE The first record of the transaction. Value: 1	A	--	X	--
2	5	4	SUBMITTING BROKER NUMBER Identical to Submitting Broker Number in Header Record	A–R	LJ	X(4)	--
6	9	4	OPPOSING BROKER NUMBER The NSCC clearing house number of the broker on the other side of the trade.	A–R	LJ	X(4)	B
10	21	12	CUSIP NUMBER The cusip number assigned to the security. Left justified since the number is nine characters at present (8+ check digit) but will expand in the future.	A	LJ	X(12)	B
22	29	8	TICKER SYMBOL The symbol assigned to this security. For options (pre-OSI), the OPRA option symbol (space), OPRA expiration month symbol and OPRA strike price symbol should be used. (Ex. Maytag May 20 call option series would be reported as MYG ED. This example uses six spaces in the field with a space between the OPRA symbol and the OPRA expiration month.) Post OSI this field must contain OPTIONXX and a Record Sequence Number Six must be completed	A–R	LJ	X(8)	B
30	35	6	TRADE DATE The date this trade executed. Format is YYMMDD.	A–R	--	X(6)	B
36	41	6	SETTLEMENT DATE The date this trade will settle. Format is YYMMDD	A	--	X(6)	B

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Field Position		Field Length	Field Name/Description/Remarks	Field Format	Justify	Picture Clause	Default Value
From	To						
42	53	12	QUANTITY The number of shares or quantity of bonds or option contracts.	N–R	RJ	9(12)	Z
54	67	14	NET AMOUNT The proceeds of sales or cost of purchases after commissions and other charges.	N	RJ	S9(12) V99	Z
68	68	1	BUY/SELL CODE Values: 0 = Buy, 1 = Sale, 2 = Short Sale, 3 = Buy Open, 4 = Sell Open, 5 = Sell Close, 6 = Buy Close. A = Buy Cancel, B = Sell Cancel, C = Short Sale Cancel, D = Buy Open Cancel, E = Sell Open Cancel, F = Sell Close Cancel, G = Buy Close Cancel. Values 3 to 6 and D to G are for options only	A–R	--	X	B
69	78	10	PRICE The transaction price. Format: $$$$ CCCCCC.	N–R	RJ	9(4) V(6)	Z
79	79	1	EXCHANGE CODE Exchange where trade was executed. Values:	A–R	--	X	B
			A = New York Stock Exchange				
			B = NYSE American, LLC				
			C = Chicago Stock Exchange				
			D = Nasdaq PHLX, LLC				
			E = NYSE Arca				
			F = Nasdaq BX, Inc.				

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Field Position		Field Length	Field Name/Description/Remarks	Field Format	Justify	Picture Clause	Default Value
From	To						
			G = NYSE National, Inc.				
			H = Cboe BZX Exchange, Inc. (Equity and Options)				
			I = Nasdaq ISE, LLC (Options Only)				
			J = Cboe C2 Exchange, Inc.				
			K = Cboe Exchange, Inc.				
			L = London Stock Exchange				
			M =Toronto Stock Exchange				
			N = Montreal Stock Exchange				
			O =TSX Venture Exchange				
			P = Cboe EDGA Exchange, Inc.				
			Q=FINRA ADF				
			R = The Nasdaq Stock Market, LLC, The Nasdaq Options Market, LLC				
			S = Over-the-Counter				
			T = Tokyo Stock Exchange				
			U = BOX Options Exchange, LLC				
			V = Cboe EDGX Exchange, Inc. (Equity and Options)				
			W = For Future Use				
			X = Nasdaq PSX, LLC				
			Y = Cboe BYX Exchange, Inc.				
			Z = Other				
			1 = Nasdaq GEMX, LLC				
			2 = Nasdaq MRX, LLC				
			3 = Investors' Exchange, LLC				
			7 = Miami International Securities Exchange				
			8 = MIAX PEARL				
80	80	1	BROKER/DEALER CODE Indicate if trade was done for another Broker/Dealer. Values: 0 = No; 1 = Yes	A–R	--	X	B
1	1	1	RECORD SEQUENCE NUMBER TWO Value: 2	A	--	X	--

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Field Position		Field Length	Field Name/Description/Remarks	Field Format	Justify	Picture Clause	Default Value
From	To						
2	2	1	SOLICITED CODE Values: 0 = No; 1 = Yes	A–R	--	X	B
3	4	2	STATE CODE Standard Postal two character identification.	A–R	--	X(2)	B
5	14	10	ZIP CODE/COUNTRY CODE Zip Code—five or nine character (zip plus four) Country code—for future use.	A–R	U	X(10)	B
15	22	8	BRANCH OFFICE/REGISTERED REPRESENTATIVE NUMBER Each treated as a four-character field. Both are left justified.	A–R	U	X(8)	B
23	28	6	DATE ACCOUNT OPENED Format is YYMMDD	A–R	--	X(6)	B
29	48	20	SHORT NAME FIELD Contains last name followed by comma (or space) then as much of first name as will fit.	A	U	X(20)	B
49	78	30	EMPLOYER NAME	A	U	X(30)	B
79	79	1	TIN 1 INDICATOR Values: 1 = SS#; 2 = TIN	A–R	--	X	B
80	80	1	TIN 2 INDICATOR Values: 1 = SS#; 2 = TIN—for future use.	A	--	X	B
1	1	1	RECORD SEQUENCE NUMBER THREE Value: 3	A	--	X	--
2	10	9	TIN ONE Taxpayer Identification Number Social Security or Tax ID Number.	A–R	U	X(9)	B
11	19	9	TIN TWO Taxpayer Identification Number #2 Reserved for future use.	A	U	X(9)	B
20	20	1	NUMBER OF N&A LINES	A	--	X	B
21	50	30	NAME AND ADDRESS LINE ONE	A–R	U	X(30)	B
51	80	30	NAME AND ADDRESS LINE TWO	A–R	U	X(30)	B

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Field Position		Field Length	Field Name/Description/Remarks	Field Format	Justify	Picture Clause	Default Value
From	To						
1	1	1	RECORD SEQUENCE NUMBER FOUR Value: 4	A	--	X	--
2	31	30	NAME AND ADDRESS LINE THREE	A–R	LJ	X(30)	B
32	61	30	NAME AND ADDRESS LINE FOUR	A–R	LJ	X(30)	B
62	62	1	TRANSACTION TYPE IDENTIFIERS See Attachment B for current codes.	A–R	--	X	B
63	80	18	ACCOUNT NUMBER Account number	A–R	LJ	X(18)	B
1	1	1	RECORD SEQUENCE NUMBER FIVE Value: 5	A	--	X(1)	--
2	31	30	NAME AND ADDRESS LINE FIVE	A–R	LJ	X(30)	B
32	61	30	NAME AND ADDRESS LINE SIX	A–R	LJ	X(30)	B
62	65	4	PRIME BROKER Clearing number of the account's prime broker.	A–R	LJ	X(4)	B
66	66	1	AVERAGE PRICE ACCOUNT 1 = recipient of average price transaction. 2 = average price account itself.	N–R	--	9(1)	Z
67	71	5	DEPOSITORY INSTITUTION IDENTIFIER Identifying number assigned to the account by the depository institution.	A–R	LJ	X(5)	B
72	77	6	Order Execution Time HHMMSS – Time format will be in Eastern Time and 24 hour format.	A-R	LJ	--	--
78	80	3	FILLER	A	--	X	B
1	1	1	RECORD SEQUENCE NUMBER SIX Value: 6	A	--	--	
2	9	8	DERIVATIVE SYMBOL The symbol assigned to the derivative	A-R	LJ	--	B
10	15	6	EXPIRATION DATE The date the option expires. Format is YYMMDD	A-R	--	--	B

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Field Position		Field Length	Field Name/Description/Remarks	Field Format	Justify	Picture Clause	Default Value
From	To						
16	16	1	CALL/PUT INDICATOR C = Call, P = Put	A-R	--	--	B
17	24	8	STRIKE DOLLAR The dollar amount of the strike price	N-R	RJ	--	Z
25	30	6	STRIKE DECIMAL The decimal amount of the strike price	N-R	LJ	--	Z
31	80	50	FILLER	A	LJ	--	B
1	1	1	RECORD SEQUENCE NUMBER SEVEN Value: 7	A	--	--	
2	14	13	Large Trader Identification 1	A-R	LJ	--	Z
15	27	13	Large Trader Identification 2	A-R	LJ	--	Z
28	40	13	Large Trader Identification 3	A-R	LJ	--	Z
41	41	1	Large Trader Identification Qualifier	A-R	LJ	--	Z
42	49	8	Primary Party Identifier Identity of the party to the trade that is represented by the Submitting Broker of an EBS. Acceptable values include MPID, CRD or OCC Clearing Number.	A-R	LJ	--	B
50	57	8	Contra Party Identifier Identity of the contra party to the trade that is represented by the Opposing Broker of an EBS. Acceptable values include MPID, CRD or OCC Clearing Number.	A-R	LJ	--	B
58	80	23	FILLER	A	LJ	--	B
1	1	1	TRAILER RECORD DATE One record per submission. Must be the last record on the file. Value: High Values or "9"	A	--	X	--

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Field Position		Field Length	Field Name/Description/Remarks	Field Format	Justify	Picture Clause	Default Value
From	To						
2	17	16	TOTAL TRANSACTIONS The total number of transactions. This total excludes Header and Trailer Records.	N	RJ	9(16)	B
18	33	16	TOTAL RECORDS ON FILE The total number of 80 byte records. This total includes Header and Trailer Records, but not the Datatrak Header Record (i.e., it does not include the first record on the file).	N	RJ	9(16)	Z
34	80	47	FILLER	A	--	X(47)	B

Field Format

A = Alphanumeric (all caps)
N = Numeric
P = Packed
B = Binary
R = Validation Required

Default Values

B = Blanks
Z= Zero

Justify

RJ = Right Justification of Data
LJ = Left Justification of Data

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Attachment B

Record Layout for Submission of Trading Information

Transaction Type	Security Type	
	Equity*	Options
Agency	A	C
Proprietary	P	F
Market-Maker		M
Non-Member Market-Maker/Specialist Account		N
Customer Range Account of a Broker/Dealer		B
Error Trade	Q	
Professional Customer		W
Joint Back Office		J
Riskless Principal	R	

* Equity securities include those securities that trade like equities (*e.g.*, ETFs and structured products).

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Account Application

Advisory - Non-Retirement

A1

Account Number 2 3 1 6 6 0 9 8

Rep ID 7 N P B

Financial advisor instructions To be used for all LPL Advisory non retirement accounts For more detailed information on the appropriate paperwork requirements for all registration types, please consult the appropriate account opening checklist located in the resource center For existing accounts this form should only be used for adding or removing account holders, or to change the registration or account type

Please fax the completed form to New Accounts at (858) 546 0874

ATTENTION Any alterations must be initialed by all account holders

Section I: Account Information

1 Account Type (choose only one) Account updates required by LPL Operations ☐

Each account holder must receive read and understand the contents of the applicable Account Packet referenced below based on the account type selected This separate packet contains the Account Agreement and any Program Brochures that detail the relationship between you, your financial advisor, LPL Financial ("LPL") and other related parties as applicable to your account

- ◉ Strategic Asset Management (Account Packet - SAM)
- ○ Optimum Market Portfolios Advisory (Account Packet OMP)
- ○ Strategic Asset Management II (Account Packet SAM II)
- ○ Model Wealth Portfolios (Account Packet MWP)
- ○ Manager Select (Account Packet - Manager Select)
- ○ Personal Wealth Portfolios (Account Packet PWP)

2 Registration Type (choose only one)

- ○ Individual
- ○ Custodian for Minor
- ○ Limited Liability Company*
- ○ Non Profit Organization*
- ○ Tenants in Common
- ○ Personal Trust*
- ○ Estate*
- ○ Guardianship/Conservatorship*
- ○ Community Property
- ○ Corporate*
- ○ Coverdell ESA*
- ○ Omnibus*
- ○ Joint Tenants With Rights of Survivorship
- ◉ Partnership*
- ○ Other (Please specify)

*Additional documentation required Financial advisor should refer to the detailed procedures for the registration type on the Resource Center

Is this account for a Government Entity? ○ Yes ◉ No

Is your client considered an "institutional account" based on one or more of the following definitions per FINRA Rule 4512(c) ○ Yes ◉ No

1 A bank, savings and loan association insurance company or registered investment company,
2 An investment adviser registered either with the SEC under Section 203 of the Investment Advisers Act or with a state securities commission (or any agency or office performing like functions) or
3 Any other person (whether a natural person, corporation, partnership, trust or otherwise) with total assets of at least $50 million

3 Registration Information

Social Security Number or Tax ID: 27-1771079

Country of Citizenship: US

Mailing Address: 707 Broadway, 18th Floor

San Diego CA 92101

Fill in your current residency status (choose only one)

◉ U S Citizen ○ Resident Alien ○ Non Resident Alien

Account Address (no P O Boxes) ☑ Same as mailing address

Account Registration: American RMBS Equity Fund IV

Email: mbishop@absig com

Home Phone: 949-678-9574

Business Phone:

Mobile Phone:

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A1

Section II: Investment Objective and Risk Tolerance

1 Select the investment objective that most accurately reflects the goals for this account (choose only one)

The investment objectives are overall objectives for the entire account and may be inconsistent with a particular holding at any time
Please note that achievement of the stated investment objectives is a long term goal for the account These choices are listed in order from what is considered to be conservative to highest risk There is no guarantee that the investment objective will be achieved

- ○ A Income with Capital Preservation Designed as a longer term accumulation account, this is considered generally the most conservative investment objective Emphasis is placed on generation of current income with minimal risk of capital loss Lowering the risk generally means lowering the potential income and overall return
- ○ B Income with Moderate Growth Emphasis is placed on generation of current income with a secondary focus on moderate capital growth
- ○ C Growth with Income Emphasis is placed on modest capital growth with some focus on generation of current income
- ◉ D Growth Emphasis is placed on achieving high long term growth and capital appreciation There is little focus on generation of current income
- ○ E Aggressive Growth Emphasis is placed on aggressive growth and maximum capital appreciation No focus on generation of current income This objective has a very high level of risk and is for investors with a longer time horizon

ATTENTION If you select an objective and cross it out to choose another, the change must be initialed by all account holders

Section III: Account Holder Information

For corporate, LLC, non profit organization, partnership, and investment club accounts, this section is NOT required Complete the appropriate supplementary documentation instead For additional account holders, complete the Supplemental Account Application (F1C)

1 Primary Information

Primary Account Holder/Trustee/Minor/Auth Officer	Employer Name ☐ Mark here if retired or unemployed	Date of Birth
Mark Bishop	ABS Investment Group	05/12/1956
Residence Address (no P O Boxes) ☐ Same as account	**Employment Address (no P O boxes)**	**No of Dependents**
154 Sereno		2
Tustin, CA 92780		**ID Place of Issuance**
		CA

Home Phone	Business/Cell Phone	Occupation (former if retired or unemployed)	Industry (former if retired)	Client ID verified?
	949-678-9571	Manager	Mortgages	◉ Yes ○ No

Social Security Number	Country of Citizenship	ID Issuance Date	ID Expiration Date	ID Type	ID Number
553-19-5111	US	05/12/1972	05/12/2015	Drivers license	N2460579

☐ Mark here if you your spouse, or any other immediate family members are employed by or associated with the securities industry or a financial regulatory agency You must also provide the information requested below as well as a letter (when required) from the employer approving establishment of this account An approval letter is not required for LPL employees

Full Name	Relationship	Name of Firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months — Name of Corporation(s)

2 Secondary Information

Secondary Account Holder/Trustee/Minor/Auth Officer	Employer Name ☐ Mark here if retired or unemployed	Date of Birth
Residence Address (no P O Boxes) ☐ Same as account	**Employment Address (no P O boxes)**	**No of Dependents**
		ID Place of Issuance

Home Phone	Business/Cell Phone	Occupation (former if retired or unemployed)	Industry (former if retired)	Client ID verified?
				○ Yes ◉ No

Social Security Number	Country of Citizenship	ID Issuance Date	ID Expiration Date	ID Type	ID Number

☐ Mark here if you, your spouse, or any other immediate family members are employed by or associated with the securities industry or a financial regulatory agency You must also provide the information requested below as well as a letter (when required) from the employer approving establishment of this account An approval letter is not required for LPL employees

Full Name	Relationship	Name of Firm

☐ Mark here if you or any member of your immediate family has been a corporate officer, director, or owner of 10% or more of any public corporation within the past three months — Name of Corporation(s)

Account Number

2	3	1	6	6	0	9	8

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Section IV. Financial Information and Experience

1 Investment Information

Enter the letter that corresponds to the correct range

Annual income¹	H	Net worth? (exclusive of home)	H	Liquid net worth?*	H	Approximate account value?**	H

A $1 - $24,999 B $25,000 - $49,999 C $50,000 - $99,999 D $100 000 - $249,999
E $250,000 - $499 999 F $500,000 $749,999 G $750,000 - $999,999 H $1,000,000 and over

Source of Client Wealth and Income (inheritance, employment salary, sale of real estate, etc.) Employment

Federal income tax bracket¹ (%) 39

Investment Experience (number of years) 20

Annuities	0	Mutual Funds	0	Partnerships	20	Margin	10	Stocks	10	Bonds	20	Options	0

Other (please specify)

What are your assets/investments (includes positions held outside and by LPL in this and other accounts)? Please indicate percentage of assets exclusive of primary home (must equal 100%)

Real Estate	10 %	Mutual Funds	0 %	Checking / Savings	0 %	Annuities	0 %
Insurance	0 %	Equities	0 %	Alternative Investments	0 %	Bonds	90 %
Other	0 %	If Other, please explain					

*Liquid net worth is exclusive of real estate, only include assets that can be liquidated within 30 days
**Account minimums apply see the applicable Account Packet for details or ask your financial advisor

2 Investment Time Horizon and Liquidity Needs

What is your investment time horizon for this account?

○ 1 3 years ○ 3 5 years ○ 5 10 years ◉ More than 10 years

Do you have liquidity needs from the funds in this account? ○ Yes ◉ No

If yes when do you need these funds? ○ 0-3 years ○ More than 3 years

If yes, specify the approximate dollar amount for the time range indicated above $

Section V: Advisory Program Account Information

1 Primary Financial Advisor Information

Primary Financial Advisor Name: Ron Chamberlin

Business Address: 2111 Business Center Dr
Irvine, CA 92612

Total Client Account Fee: 5 (%)

Business Phone: 949 474 5263

2 Commissions on Trades

☐ Mark here if you have paid the advisors of this account a commission on the purchase of any security within the past two years on the assets (cash or securities) being deposited into this account (does not apply to Manager Select accounts) In order to determine if you qualify for a fee credit, please provide trade details below (attach additional pages if necessary)

Purchase Date	Purchase Amount	Investment Name	Fund Class	CUSIP/Symbol	Commission
	$				$
	$				$
	$				$
	$				$

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3 Specific Securities Restrictions

☐ Mark here if you wish to restrict specific securities categories, groups or sectors from your account (for SAM/SAM II, PWP and Manager Select accounts only) In order to facilitate these restrictions, please provide restriction details below *

Restrict common stock securities (enter symbol)

Restrictions do not apply to mutual funds (attach additional pages if necessary)

Other Restrictions (for SAM/SAM II and PWP accounts only) Please explain any other restrictions below This includes any industry group, sector or social category restrictions that apply to a PWP account Financial advisor should refer to the Resource Center for detailed information on the restriction options available for PWP accounts (attach additional pages if necessary)

Certain restrictions may require further review with LPL and your financial advisor

ection VI. Manager Select Account Information

1 Complete This Section for Manager Select Accounts Only

Portfolio Manager Name | Asset Class* | Investment Style*

Did the portfolio manager indicated above previously manage the assets in this account? ◯ Yes ◯ No

Accepted by Portfolio Manager / Authorized Person Signature | Accepted by Portfolio Manager / Authorized Person Name (print) | Date (required)

*Financial advisor should refer to the Manager Select Participation List on the Resource Center for detailed information on each portfolio manager their available asset classes and investment styles

Section VII: Margin Agreement (not all account types are eligible to have margin ask your financial advisor for details)

1 Margin Disclosure Statement Information

A margin account allows you to borrow against eligible securities or purchase securities on margin Initial below if you want to establish a margin account and to indicate that you have received the Margin Disclosure Statement, have read the margin disclosure section in the Account Packet referenced in Section I, and agree to the terms and conditions

Date Margin Disclosure Statement provided | 04/08/2013 | ALL account holders must initial

Initial Initial

Section VIII. Client Acknowledgment and Execution

Acknowledgment

I acknowledge by signing below that I have received, read, understand and agree to the terms of this Account Application and the applicable Account Agreement (included in the Account Packet specified in Section I) Additionally I certify the following

- All of the information provided in this Account Application is true, correct, and complete and I agree to notify LPL of any changes to the information
- I have received the Advisory Program Brochure included as part of the applicable Account Packet and the Brochure Supplement of the financial advisor servicing my advisory account
- I understand and acknowledge that I have granted discretionary authority in the Account Agreement to trade securities in my account to my financial advisor in the case of SAM/SAM II accounts, to my financial advisor and LPL in the case of OMP, PWP and MWP accounts, and to the Portfolio Manager in the case of Manager Select accounts
- I have discussed with my financial advisor the investment objective selected for the account in Section II of this Application, and for MWP, PWP and OMP accounts the model portfolios to be selected for my account
- I understand that investing through an advisory account involves investment risk, including the risk of loss I am prepared to bear the risks associated with my investments
- I understand that LPL will supply my name to issuers of any securities held in my account so that I may receive important information regarding those securities, unless I notify LPL in writing not to do so
- I acknowledge that proceeds from liquefied home equity on my primary residence will not be used to fund this account

Suppression of Confirmations (for PWP MWP and Manager Select accounts only) By initialing below, I hereby elect not to receive immediate trade confirmations from LPL for each transaction in the account Information from the confirmation will be reported on my brokerage account statement

Initials Initials

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1 Acknowledgment (continued)

Under penalties of perjury, I hereby certify that: (1) The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and (3) I am a U.S. person (including a U.S. resident alien). (Cross out (2) if subject to backup withholding.) The Internal Revenue Service does not require my consent to any provision of this document other than the certifications required to avoid backup withholding.

This account is governed by and I acknowledge receipt of the predispute arbitration clause that is located in the last numbered section of the Account Agreement (included in the Account Packet specified in Section I), which is incorporated by reference into this Account Application.

Account Holder Signature — Mark Bishop (Account Holder Name (print)) — 04/08/2013 (Date (required))

Account Holder Signature — Account Holder Name (print) — Date (required)

2 Branch Use Only

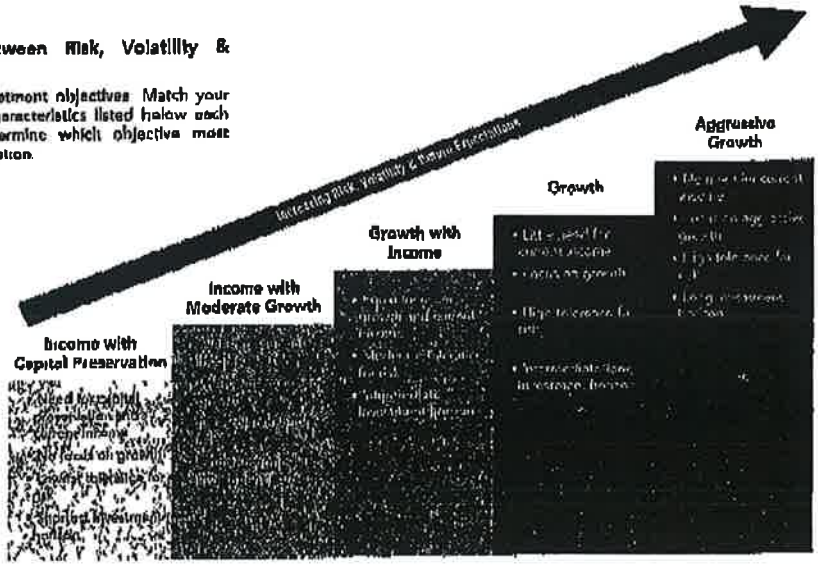
I have reviewed this document for completeness, accuracy, suitability, and proper disclosures. If this account was opened online and the automated check against the OFAC list of specially designated nationals (SDNs) resulted in a match to the account holder's name, I have confirmed that the account holder is not the same person listed by OFAC. If this account is opened by the home office, I have checked the list of SDNs and either the account holder's name does not appear or, if the account holder's name is the same as the name of a SDN, the account holder is not the person listed by OFAC. I have also provided the account holder with the CIP disclosure either in writing or verbally. I acknowledge and accept that I am a party to the applicable Account Agreement. I have determined that any liquidation of previously purchased investments to deposit assets into this account is suitable for the account holder and have disclosed to the account holder all costs incurred by the account holder to liquidate such investments.

Financial Advisor / Authorized Person Signature — Ron Chamberlin (Financial Advisor / Authorized Person Name (print)) — 7NPB (Rep ID) — 04/08/2013 (Date (required))

Joint Financial Advisor / Authorized Person Signature — Joint Financial Advisor / Authorized Person Name (print) — Rep ID — Date (required)

Historical Trade-Off Between Risk, Volatility & Investment Return

This chart illustrates five investment objectives. Match your investment needs with the characteristics listed below each investment objective to determine which objective most accurately represents your situation.



Account Number: 2 3 1 6 6 0 9 8

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LPL Financial

Institutional Services Account Application

LPL Advisory - Non-Retirement

Financial advisor instructions: To be used for all LPL Advisory non-retirement accounts. For more detailed information on he appropriate paperwork requirements for all registration types, please consult the appropriate account opening checklist located in the resource center. For existing accounts, this form should only be used for adding or removing account holders, or to change the registration or account type. Fax the completed form to the New Accounts Department at (858) 546-0874.

ATTENTION: Any alterations must be initialed by all account holders.

Account Number	Rep ID	Secondary Rep ID	Referral Rep ID	Branch ID
1774-4095	7NPB			D100

☐ Account updates required by LPL Operations

Section I: Account Information

1. Account Type: (choose only one)

Each account holder must receive, read and understand the contents of the applicable Account Packet referenced below based on the account type selected. This separate packet contains the Account Agreement and any Program Brochures that detail the relationship between you, your financial advisor, LPL Financial ("LPL") and other related parties as applicable to your account.

- ◉ Strategic Asset Management (Account Packet - SAM)
- ○ Strategic Asset Management II (Account Packet - SAM II)
- ○ Manager Select (Account Packet - Manager Select)
- ○ Optimum Market Portfolios Advisory (Account Packet - OMP)
- ○ Model Wealth Portfolios (Account Packet - MWP)
- ○ Personal Wealth Portfolios (Account Packet - PWP)

2. Registration Type: (choose only one)

- ○ Individual
- ○ Tenants in Common
- ○ Community Property
- ○ Joint Tenants With Rights of Survivorship
- ○ Custodian for Minor
- ○ Personal Trust*
- ○ Corporate*
- ○ Partnership*
- ◉ Limited Liability Company*
- ○ Estate*
- ○ Coverdell ESA*
- ○ Other (Please specify):
- ○ Non-Profit Organization*
- ○ Guardianship/Conservatorship*

*Additional documentation required. Financial advisor should refer to the detailed procedures for the registration type on the Resource Center.

3.

Social Security Number or Tax ID: 26-2119490

Country of Citizenship: US

Fill in your current residency status: (choose only one)

◉ U.S. Citizen ○ Resident Alien ○ Non-Resident Alien

Account Registration: ABS Investment Group

Mailing Address: 707 Broadway, 18th Floor

San Diego, CA 92101

Account Address (no P.O. boxes) ☑ **Same as mailing address**

Home Phone:

Business/Cell Phone: 949-678-9574

Email: mbishop@absig.com

Section II: Investment Objective and Risk Tolerance

1. Select the investment objective that most accurately reflects the goals for this account: (choose only one)

The investment objectives are overall objectives for the entire account and may be inconsistent with a particular holding at any time. Please note that achievement of the stated investment objectives is a long-term goal for the account.

- ○ **A. Income with Capital Preservation.** Designed as a longer term accumulation account, this is the most conservative investment objective. Emphasis is placed on generation of current income and prevention of capital loss.
- ○ **B. Income with Moderate Growth.** Emphasis is placed on generation of current income with a secondary focus on moderate capital growth.
- ○ **C. Growth with Income.** Emphasis is placed on modest capital growth with some focus on generation of current income.
- ◉ **D. Growth.** Emphasis is placed on achieving high long-term growth and capital appreciation. There is little focus on generation of current income.
- ○ **E. Aggressive Growth.** Emphasis is placed on aggressive growth and maximum capital appreciation. No focus on generation of current income. This objective has a very high level of risk and is for investors with a longer time horizon.

ATTENTION: If you select an objective and cross it out to choose another, the change must be initialed by all account holders.

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LPL Account Number 1774-4095 **A1**

Section IV: Financial Information and Experience

1. Enter the letter that corresponds to the correct range:

Annual income? H **Net worth?** (exclusive of home) H

Liquid net worth?* H **Approximate account value?**** H

A. Less than $25,000 D. $100,000 - $249,999 G. $750,000 - $999,999
B. $25,000 - $49,999 E. $250,000 - $499,999 H. $1,000,000 and over
C. $50,000 - $99,999 F. $500,000 - $749,999

Source of Client Wealth and Income (inheritance, employment salary, sale of real estate, etc.): Employment

Federal income tax bracket? (%) 25

Investment Experience (number of years): Stocks 20 Bonds 20 Annuities Mutual Funds Partnerships Margin Options Other (please specify):

*Liquid net worth is exclusive of real estate; only include assets that can be liquidated within 30 days.
**Account minimums apply; see the applicable Account Packet for details or ask your financial advisor.

Section V: Advisory Program Account Information

1. Primary Financial Advisor Name: Ron Chamberlin

Business Address: 2111 Business Center Drive, Irvine, CA 92612

Account Fee: .35 (%) **Business Phone:** 949-474-5263

2. ☐ **Mark here if you have paid the advisors of this account a commission on the purchase of any security within the past two years on the assets (cash or securities) being deposited into this account (does not apply to Manager Select accounts). In order to determine if you qualify for a fee credit, please provide trade details below.** (attach additional pages if necessary)

Purchase Date	Purchase Amount	Investment Name	Fund Class	CUSIP/Symbol	Commission
	$				$
	$				$
	$				$
	$				$

3. ☐ **Mark here if you wish to restrict specific securities, categories, groups or sectors from your account (for SAM/SAM II, PWP and Manager Select accounts only). In order to facilitate these restrictions, please provide restriction details below.***

Restrict common stock securities: (enter symbol)
Restrictions do not apply to mutual funds.
(attach additional pages if necessary)

Other Restrictions (for SAM/SAM II and PWP accounts only): Please explain any other restrictions below. This includes any industry group, sector or social category restrictions that apply to a PWP account. Financial advisor should refer to the Resource Center for detailed information on the restriction options available for PWP accounts. (attach additional pages if necessary)

*Certain restrictions may require further review with LPL and your financial advisor.

Section VI: Manager Select Account Information (complete this section for Manager Select accounts only)

1. Portfolio Manager Name

Asset Class* **Investment Style***

Did the portfolio manager indicated above previously manage the assets in this account? ◯Yes ◯No

Accepted by Portfolio Manager / Authorized Person Signature | Accepted by Portfolio Manager / Authorized Person Name (print) | Date (required)

*Financial advisor should refer to the Manager Select Participation List on the Resource Center for detailed information on each portfolio manager, their available asset classes and investment styles.

Section VII: Margin Agreement (not all account types are eligible to have margin, ask your financial advisor for details)

1. A margin account allows you to borrow against eligible securities or purchase securities on margin. Initial below if you want to establish a margin account and to indicate that you have received the Margin Disclosure Statement, have read the margin disclosure section in the Account Packet referenced in Section I, and agree to the terms and conditions.

Date Margin Disclosure Statement provided: **ALL** account holders must initial. Initials Initials Initials Initials

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LPL Account Number 1774-4085 **A1**

Section VIII: Client Acknowledgment and Execution

1.

Securities are offered by LPL Financial LLC (LPL) or UVEST Financial Services Group, Inc. (UVEST) and their respective Registered Representatives. LPL and UVEST are separate registered broker-dealers and are not affiliated with your financial institution.

- **The investment products offered by LPL and UVEST are not insured by the FDIC, NCUA or any federal or state government agency.**
- **The investments, insurance and annuity products offered by LPL and UVEST are not obligations of, or guaranteed by, your financial institution or its affiliates.**
- **Certain certificates of deposit and cash sweep accounts may be insured by the FDIC, NCUA or a federal or state governmental agency.**
- **Purchasing securities involves investment risk including the possible loss of principal.**
- **The extension of credit by your financial institution may not be conditioned on the purchase of an insurance product or annuity from LPL, UVEST or your financial institution. You may purchase insurance or annuities from a provider of your choice.**
- **Your financial institution and LPL (or UVEST) have entered into a marketing agreement which may allow financial institution employees who accept deposits on behalf of the financial institution to be registered and appointed with LPL (or UVEST) for the purpose of offering investment and insurance products. The marketing agreement also provides for LPL to compensate your financial institution for use of its facilities.**
- **LPL and UVEST are members of FINRA and the Securities Investor Protection Corporation (SIPC). SIPC covers losses in investment accounts of up to $500,000 (of which up to $250,000 may be uninvested cash) due to member firm failures and does not cover a decline in the market value of securities. Additional information about SIPC and asset protection may also be found at www.sipc.org.**

I hereby certify that I have received the above disclosures orally and have read and completely understand all of the above. I have had any questions regarding this acknowledgement answered to my complete satisfaction.

I acknowledge by signing below that I have received, read, understand and agree to the terms of this Account Application and the applicable Account Agreement (included in the Account Packet specified in Section I). Additionally I certify the following:

- **All of the information provided in this Account Application is true, correct, and complete and I agree to notify LPL of any changes to the information.**
- **I have received the Advisory Program Brochure included as part of the applicable Account Packet and the Brochure Supplement of the financial advisor servicing my advisory account.**
- **For SAM/SAM II accounts, I understand and acknowledge that I have granted discretionary authority to my financial advisor to trade in certain securities as set out in the Account Agreement.**
- **I understand that LPL will supply my name to issuers of any securities held in my account so that I may receive important information regarding those securities, unless I notify LPL in writing not to do so.**
- **I acknowledge that proceeds from liquefied home equity on my primary residence will not be used to fund this account.**

Suppression of Confirmations (for PWP, MWP and Manager Select accounts only): By initialing below, I hereby elect not to receive immediate trade confirmations from LPL for each transaction in the account. Information from the confirmation will be reported on my brokerage account statement.

Initials _____ Initials _____ Initials _____ Initials _____

Under penalties of perjury, I hereby certify that: (1) The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and (3) I am a U.S. person (including a U.S. resident alien). (Cross out (2) if subject to backup withholding.) **The Internal Revenue Service does not require my consent to any provision of this document other than the certifications required to avoid backup withholding.**

This account is governed by and I acknowledge receipt of the predispute arbitration clause that is located in the last numbered section of the Account Agreement (included in the Account Packet specified in Section I), which is incorporated by reference into this Account Application. If I am opening account with a third party investment advisor (TPIA) or third party asset management program (TAMP), I acknowledge receipt of the LPL Form ADV Disclosure Brochure.

Account Holder Signature	Mark Bishop Account Holder Name (print)	02/17/2012 Date (required)
Account Holder Signature	Account Holder Name (print)	Date (required)
Additional Account Holder Signatures		Date (required)

BRANCH USE ONLY

I have reviewed this document for completeness, accuracy, suitability, and proper disclosures. If this account was opened online and the automated check against the OFAC list of specially designated nationals (SDNs) resulted in a match to the client's name, I have confirmed that the client is not the same person listed by OFAC. If this account is opened by the home office, I have checked the list of SDNs and either the client's name does not appear or, if the client's name is the same as the name of a SDN, the client is not the person listed by OFAC. I have also provided the client with the CIP disclosure either in writing or verbally. I acknowledge and accept that I am a party to the applicable Account Agreement. I have determined that any liquidation of previously purchased investments to deposit assets into this account is suitable for the client and have disclosed to the client all costs incurred by the client to liquidate such investments.

Financial Advisor Signature	Ron Chamberlin Financial Advisor Name (print)	7NPB Rep ID	02/17/2012 Date (required)
Joint Financial Advisor Signature	Joint Financial Advisor Name (print)	Rep ID	Date (required)

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LPL Financial

Institutional Services Account Application
LPL Advisory - Non-Retirement

Financial advisor instructions: To be used for all LPL Advisory non-retirement accounts. For more detailed information on he appropriate paperwork requirements for all registration types, please consult the appropriate account opening checklist located in the resource center. For existing accounts, this form should only be used for adding or removing account holders, or to change the registration or account type. Fax the completed form to the New Accounts Department at (858) 546-0874.

ATTENTION: Any alterations must be initialed by all account holders.

Account Number	Rep ID	Secondary Rep ID	Referral Rep ID	Branch ID
1774-4095	7NPB			D100

☐ Account updates required by LPL Operations

Section I: Account Information

1. **Account Type:** (choose only one)
Each account holder must receive, read and understand the contents of the applicable Account Packet referenced below based on the account type selected. This separate packet contains the Account Agreement and any Program Brochures that detail the relationship between you, your financial advisor, LPL Financial ("LPL") and other related parties as applicable to your account.

- (●) Strategic Asset Management (Account Packet - SAM)
- ( ) Strategic Asset Management II (Account Packet - SAM II)
- ( ) Manager Select (Account Packet - Manager Select)
- ( ) Optimum Market Portfolios Advisory (Account Packet - OMP)
- ( ) Model Wealth Portfolios (Account Packet - MWP)
- ( ) Personal Wealth Portfolios (Account Packet - PWP)

2. **Registration Type:** (choose only one)

- ( ) Individual
- ( ) Tenants in Common
- ( ) Community Property
- ( ) Joint Tenants With Rights of Survivorship
- ( ) Custodian for Minor
- ( ) Personal Trust*
- ( ) Corporate*
- (●) Partnership*
- ( ) Limited Liability Company*
- ( ) Estate*
- ( ) Coverdell ESA*
- ( ) Other (Please specify):
- ( ) Non-Profit Organization*
- ( ) Guardianship/Conservatorship*

*Additional documentation required. Financial advisor should refer to the detailed procedures for the registration type on the Resource Center.

3.

Social Security Number or Tax ID: 26-2119490
Country of Citizenship: US

Fill in your current residency status: (choose only one)
(●) U.S. Citizen ( ) Resident Alien ( ) Non-Resident Alien

Account Registration: ABS Investment Group

Mailing Address: 707 Broadway, 18th Floor
San Diego, CA 92101

Account Address (no P.O. boxes) ☑ **Same as mailing address**

Home Phone:
Business/Cell Phone: 949-678-9574

Email: mbishop@absig.com

Section II: Investment Objective and Risk Tolerance

1. **Select the investment objective that most accurately reflects the goals for this account:** (choose only one)
The investment objectives are overall objectives for the entire account and may be inconsistent with a particular holding at any time. Please note that achievement of the stated investment objectives is a long-term goal for the account.

- ( ) **A. Income with Capital Preservation.** Designed as a longer term accumulation account, this is the most conservative investment objective. Emphasis is placed on generation of current income and prevention of capital loss.
- ( ) **B. Income with Moderate Growth.** Emphasis is placed on generation of current income with a secondary focus on moderate capital growth.
- ( ) **C. Growth with Income.** Emphasis is placed on modest capital growth with some focus on generation of current income.
- (●) **D. Growth.** Emphasis is placed on achieving high long-term growth and capital appreciation. There is little focus on generation of current income.
- ( ) **E. Aggressive Growth.** Emphasis is placed on aggressive growth and maximum capital appreciation. No focus on generation of current income. This objective has a very high level of risk and is for investors with a longer time horizon.

ATTENTION: If you select an objective and cross it out to choose another, the change must be initialed by all account holders.

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COMMERCEWEST BANK
NATIONAL ASSOCIATION

New Account Information Request - Business

Business Name: A.B.S.I.G. LLC
Street Address: 707 BROADWAY, 18TH FL
City, St. Zip: S.D. CA. 92101
Business Phone: 949.678.9574 **Fax:** 949.861.6261
Website Address: Bishop@espanVC.com
Taxpayer ID Number: 26-0582511 **No. of Employees:** 5
Entity (please check the appropriate box): _C-Corporation _S-Corporation X LLC _LLP
_General Partnership _Limited Partnership _Sole Proprietor
Date of Organization: 3-13-08
County and State of Organization: CALIFORNIA

FOR CORPORATIONS ONLY:
Name of Corporate Secretary:
Name of Officer: MARK BISHOP **Title:** CO-MANAGER
Name of Officer: CRAIG CHANG **Title:** CO-MANAGER
Name of Officer: **Title:**
Name of Officer: **Title:**
Name of Officer: **Title:**
Name of Officer: **Title:**
How many signatures are required to conduct business? 1
Do each of the signers have full powers and authority to conduct business on behalf and in the name of the Corporation (Y or N)? Y

For Internal Use Only;
NAICS Code (4 Digits): 5231 10
ChexSystems
Date: 6-4-08 Results: NR By: Judy

Revised 6/30/06

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Internal Revenue Service

EIN Assistant

Your Progress: 1. Identity 2. Authenticate 3. Addresses 4. Details **5. EIN Confirmation**

Congratulations! Your EIN has been successfully assigned.

EIN Assigned: **26-2582511**

Legal Name: **ABSIG LLC**

IMPORTANT:

Save and/or print this page and the confirmation letter below for your permanent records.

The confirmation letter below is your official IRS notice and contains important information regarding your EIN.

CLICK HERE for Your EIN Confirmation Letter

Help with saving and printing your letter

Once you have saved or printed your letter, click "Continue" to get additional information about using your new EIN.

Continue >>

Help Topics

- What if I do not have access to a printer at this time?
- Can I access this letter at a later date?