



### THE FINANCIAL ADVISORS

1. James R. Alguire resides at 46 Iviars Drive, Little Rock, AR, 72223. During the period relevant to this Complaint, Alguire was employed by SGC as a financial advisor. Between January 2007 and January 2009, Alguire received approximately \$273,669 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Alguire is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
2. Victoria Anctil resides at 17002 S.W. 79th Place, Palmetto Bay, FL, 33157. During the period relevant to this Complaint, Anctil was employed by SGC as a financial advisor. Between January 2007 and January 2009, Anctil received approximately \$242,811 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Anctil is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
3. Tiffany Angelle resides at 403 Boulder Creek Parkway, Lafayette, LA, 70508. During the period relevant to this Complaint, Angelle was employed by SGC as a financial advisor. Between January 2007 and January 2009, Angelle received approximately \$675,664 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Angelle is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
4. Sylvia Aquino resides at 423 Alhambra Circle, Coral Gables, FL, 33134. During the period relevant to this Complaint, Aquino was employed by SGC as a financial advisor. Between January 2007 and January 2009, Aquino received approximately \$1,351,172 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Aquino is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
5. Jonathan Barrack resides at 785 Valleybrook, Memphis, TN, 38120. During the period relevant to this Complaint, Barrack was employed by SGC as a financial advisor. Between January 2007 and January 2009, Barrack received approximately \$241,751 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Barrack is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
6. Marie Bautista resides at 5325 S.W. 132nd Avenue, Miramar, FL, 33027. During the period relevant to this Complaint, Bautista was employed by SGC as a financial advisor. Between January 2007 and January 2009, Bautista received approximately \$682,504 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Bautista is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
7. Teral Bennett resides at 4733 Redstart, Houston, TX, 77035. During the period relevant to this Complaint, Bennett was employed by SGC as a financial advisor. Between

January 2007 and January 2009, Bennett received approximately \$309,342 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Bennett is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.

8. Andrea Berger resides at 4300 Mildred, Bellaire, TX, 77401. During the period relevant to this Complaint, Berger was employed by SGC as a financial advisor. Between January 2007 and January 2009, Berger received approximately \$235,020 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Berger is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
9. Norman Blake resides at 4381 Tuckahoe Road, Memphis, TN, 38117. During the period relevant to this Complaint, Blake was employed by SGC as a financial advisor. Between January 2007 and January 2009, Blake received approximately \$233,858 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Blake is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
10. Nigel Bowman resides at 1915 Holly Hill Drive, Austin, TX, 78746. During the period relevant to this Complaint, Bowman was employed by SGC as a financial advisor. Between January 2007 and January 2009, Bowman received approximately \$202,005 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Bowman is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
11. Charles Brickey resides at 7580 Chapel Ridge Drive, Cordova, TN, 38016. During the period relevant to this Complaint, Brickey was employed by SGC as a financial advisor. Between January 2007 and January 2009, Brickey received approximately \$212,709 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Brickey is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
12. Susana Cisneros resides at 502 Woodbend Lane, Houston, TX, 77079. During the period relevant to this Complaint, Cisneros was employed by SGC as a financial advisor. Between January 2007 and January 2009, Cisneros received approximately \$278,322 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Cisneros is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
13. Ron Clayton resides at 2621 Cedar Lodge Drive, Baton Rouge, LA, 70809. During the period relevant to this Complaint, Clayton was employed by SGC as a financial advisor. Between January 2007 and January 2009, Clayton received approximately \$383,225 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Clayton is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.

14. Neal Clement resides at 113 Cotton Gin Lane, Slatillo, MS, 38866. During the period relevant to this Complaint, Clement was employed by SGC as a financial advisor. Between January 2007 and January 2009, Clement received approximately \$260,640 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Clement is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
15. Jay Comeaux resides at 2211 Augusta, #18, Houston, TX, 77057. During the period relevant to this Complaint, Comeaux was employed by SGC as a financial advisor. Between January 2007 and January 2009, Comeaux received approximately \$528,659 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Comeaux is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
16. Patrick Cruickshank resides at 9001 Marly Cove, Austin, TX, 78733. During the period relevant to this Complaint, Cruickshank was employed by SGC as a financial advisor. Between January 2007 and January 2009, Cruickshank received approximately \$727,477 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Cruickshank is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
17. Arturo R. Diaz resides at 11390 S.W. 95th Street, Miami, FL, 33176. During the period relevant to this Complaint, Diaz was employed by SGC as a financial advisor. Between January 2007 and January 2009, Diaz received approximately \$425,405 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Diaz is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
18. Matthew Drews resides at 3761 Eagle Hammock Drive, Sarasota, FL, 34240. During the period relevant to this Complaint, Drews was employed by SGC as a financial advisor. Between January 2007 and January 2009, Drews received approximately \$333,866 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Drews is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
19. Thomas Espy resides at 8625 Hopewell Road, Cincinnati, OH, 45242. During the period relevant to this Complaint, Espy was employed by SGC as a financial advisor. Between January 2007 and January 2009, Espy received approximately \$2,024,512 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Espy is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
20. James Fontenot resides at 9902 Hillon Hood Road, Denham Springs, LA, 70726. During the period relevant to this Complaint, Fontenot was employed by SGC as a financial advisor. Between January 2007 and January 2009, Fontenot received approximately \$418,726 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Fontenot is therefore in

possession of assets that are the rightful property of and should be returned to the Receivership Estate.

21. Attlee Gaal resides at 555 N.E. 34th Street, Apt. 310, Miami, FL, 33137. During the period relevant to this Complaint, Gaal was employed by SGC as a financial advisor. Between January 2007 and January 2009, Gaal received approximately \$203,905 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Gaal is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
22. Mark Groesbeck resides at 1229 Ridgeley Drive, Houston, TX, 77055. During the period relevant to this Complaint, Groesbeck was employed by SGC as a financial advisor. Between January 2007 and January 2009, Groesbeck received approximately \$799,882 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Groesbeck is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
23. David Haggard resides at 5885 Cumming Highway 108, PMB 282, Sugar Hill, GA, 30518. During the period relevant to this Complaint, Haggard was employed by SGC as a financial advisor. Between January 2007 and January 2009, Haggard received approximately \$654,034 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Haggard is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
24. Gary Haindel resides at 3106 McClendon Court, Baton Rouge, LA, 70810. During the period relevant to this Complaint, Haindel was employed by SGC as a financial advisor. Between January 2007 and January 2009, Haindel received approximately \$206,150 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Haindel is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
25. Daniel Hernandez resides at 7260 S.W. 119th Court, Miami, FL, 33183. During the period relevant to this Complaint, Hernandez was employed by SGC as a financial advisor. Between January 2007 and January 2009, Hernandez received approximately \$252,032 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Hernandez is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
26. Patricia Herr resides at 5935 S.W. 32nd Street, Miami, FL, 33155. During the period relevant to this Complaint, Herr was employed by SGC as a financial advisor. Between January 2007 and January 2009, Herr received approximately \$485,557 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Herr is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.

27. Charles Hughes resides at 1142 Willow Bend Drive, Collierville, TN, 38017. During the period relevant to this Complaint, Hughes was employed by SGC as a financial advisor. Between January 2007 and January 2009, Hughes received approximately \$301,074 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Hughes is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
28. Charles Jantzi resides at 723 Troutbeck, Baton Rouge, LA, 70810. During the period relevant to this Complaint, Jantzi was employed by SGC as a financial advisor. Between January 2007 and January 2009, Jantzi received approximately \$210,665 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Jantzi is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
29. Grady Layfield resides at 18772 Amen Corner Court, Baton Rouge, LA, 70810. During the period relevant to this Complaint, Layfield was employed by SGC as a financial advisor. Between January 2007 and January 2009, Layfield received approximately \$642,263 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Layfield is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
30. James LeBaron resides at 1907 Harbour Links Circle, Longboat Key, FL, 34228. During the period relevant to this Complaint, LeBaron was employed by SGC as a financial advisor. Between January 2007 and January 2009, LeBaron received approximately \$228,006 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. LeBaron is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
31. Trevor Ling resides at 4736 Post Oak Timber, #5, Houston, TX, 77056. During the period relevant to this Complaint, Ling was employed by SGC as a financial advisor. Between January 2007 and January 2009, Ling received approximately \$822,198 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Ling is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
32. Manuel Malvaez resides at 9200 Westheimer, #1502, Houston, TX, 77063. During the period relevant to this Complaint, Malvaez was employed by SGC as a financial advisor. Between January 2007 and January 2009, Malvaez received approximately \$607,192 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Malvaez is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
33. Michael Mansur resides at 5919 Vanderbilt Avenue, Dallas, TX, 75206. During the period relevant to this Complaint, Mansur was employed by SGC as a financial advisor. Between January 2007 and January 2009, Mansur received approximately \$230,013 in

fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Mansur is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.

34. Claudia Martinez resides at 5118 Chevy Chase Drive, Houston, TX, 77056. During the period relevant to this Complaint, Martinez was employed by SGC as a financial advisor. Between January 2007 and January 2009, Martinez received approximately \$674,380 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Martinez is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
35. Gerardo Meave-Flores resides at 8726 Hollow Banks Lane, Houston, TX, 77095. During the period relevant to this Complaint, Meave-Flores was employed by SGC as a financial advisor. Between January 2007 and January 2009, Meave-Flores received approximately \$440,152 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Meave-Flores is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
36. Lawrence Messina resides at 717 Bluff Ridge Drive, Cedar Hill, TX, 75104. During the period relevant to this Complaint, Messina was employed by SGC as a financial advisor. Between January 2007 and January 2009, Messina received approximately \$230,013 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Messina is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
37. Donald Miller resides at 1529 Bering Drive, Houston, TX, 77057. During the period relevant to this Complaint, Miller was employed by SGC as a financial advisor. Between January 2007 and January 2009, Miller received approximately \$264,077 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Miller is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
38. Trenton Miller resides at 5321 Catamaran Drive, Plano, TX, 75093. During the period relevant to this Complaint, Miller was employed by SGC as a financial advisor. Between January 2007 and January 2009, Miller received approximately \$346,094 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Miller is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
39. Hank Mills resides at 2623 Kleinert Avenue, Baton Rouge, LA, 70806. During the period relevant to this Complaint, Mills was employed by SGC as a financial advisor. Between January 2007 and January 2009, Mills received approximately \$1,406,450 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Mills is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.

40. David Nanes resides at 848 Brickell Key Drive, Apt. 801, Miami, FL, 33131. During the period relevant to this Complaint, Nanes was employed by SGC as a financial advisor. Between January 2007 and January 2009, Nanes received approximately \$503,093 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Nanes is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
41. Lupe Northam resides at 613 Fairbanks, Houston, TX, 77009. During the period relevant to this Complaint, Northam was employed by SGC as a financial advisor. Between January 2007 and January 2009, Northam received approximately \$955,859 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Northam is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
42. Scott Notowich resides at 6446 Corsica Drive, Memphis, TN, 38120. During the period relevant to this Complaint, Notowich was employed by SGC as a financial advisor. Between January 2007 and January 2009, Notowich received approximately \$679,932 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Notowich is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
43. Monica Novitsky resides at 17920 S.W. 88th Court, Miami, FL, 33157. During the period relevant to this Complaint, Novitsky was employed by SGC as a financial advisor. Between January 2007 and January 2009, Novitsky received approximately \$203,905 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Novitsky is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
44. Tim Parsons resides at 10533 Oakley Trace, Baton Rouge, LA, 70809. During the period relevant to this Complaint, Parsons was employed by SGC as a financial advisor. Between January 2007 and January 2009, Parsons received approximately \$308,642 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Parsons is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
45. Roberto Pena resides at 1717 N. Bayshore Drive, #1140, Miami, FL, 33132. During the period relevant to this Complaint, Pena was employed by SGC as a financial advisor. Between January 2007 and January 2009, Pena received approximately \$248,686 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Pena is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
46. Roberto A. Pena resides at 11420 S. Point Drive, Cooper City, FL, 33026. During the period relevant to this Complaint, Pena was employed by SGC as a financial advisor. Between January 2007 and January 2009, Pena received approximately \$250,174 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other

tainted "compensation" traceable to the fraud. Pena is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.

47. Saraminta Perez resides at 3901 S.W. 185th Avenue, Miramar, FL, 33029. During the period relevant to this Complaint, Perez was employed by SGC as a financial advisor. Between January 2007 and January 2009, Perez received approximately \$369,319 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Perez is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
48. Tony Perez resides at 12707 Boheme Drive, #602, Houston, TX, 77024. During the period relevant to this Complaint, Perez was employed by SGC as a financial advisor. Between January 2007 and January 2009, Perez received approximately \$2,261,269 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Perez is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
49. Elside Prieto resides at 601 N.E. 36th Street, Unit 2209, Miami, FL, 33137. During the period relevant to this Complaint, Prieto was employed by SGC as a financial advisor. Between January 2007 and January 2009, Prieto received approximately \$1,027,425 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Prieto is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
50. Judith Quinones resides at 870 N.W. 115th Avenue, Plantation, FL, 33325. During the period relevant to this Complaint, Quinones was employed by SGC as a financial advisor. Between January 2007 and January 2009, Quinones received approximately \$250,203 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Quinones is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
51. Leonor Ramirez resides at 601 N.E. 36th Street, Unit 1310, Miami, FL, 33137. During the period relevant to this Complaint, Ramirez was employed by SGC as a financial advisor. Between January 2007 and January 2009, Ramirez received approximately \$1,105,045 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Ramirez is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
52. Nelson Ramirez resides at 862 Washington Street, Hollywood, FL, 33019. During the period relevant to this Complaint, Ramirez was employed by SGC as a financial advisor. Between January 2007 and January 2009, Ramirez received approximately \$310,502 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Ramirez is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.

53. Walter Ricardo resides at 6843 N.W. 113th Place, Miami, FL, 33178. During the period relevant to this Complaint, Ricardo was employed by SGC as a financial advisor. Between January 2007 and January 2009, Ricardo received approximately \$289,017 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Ricardo is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
54. Steve Robinson resides at 3336 Hanover, Dallas, TX, 75225. During the period relevant to this Complaint, Robinson was employed by SGC as a financial advisor. Between January 2007 and January 2009, Robinson received approximately \$346,094 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Robinson is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
55. Rocky Roys resides at 5402 China Doll Court, Houston, TX, 77041. During the period relevant to this Complaint, Roys was employed by SGC as a financial advisor. Between January 2007 and January 2009, Roys received approximately \$1,243,886 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Roys is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
56. John Schwab resides at 2446 June Street, Baton Rouge, LA, 70808. During the period relevant to this Complaint, Schwab was employed by SGC as a financial advisor. Between January 2007 and January 2009, Schwab received approximately \$974,492 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Schwab is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
57. Doug Shaw resides at 510 Longwoods Lane, Houston, TX, 77024. During the period relevant to this Complaint, Shaw was employed by SGC as a financial advisor. Between January 2007 and January 2009, Shaw received approximately \$1,260,532 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Shaw is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
58. Steve Slewitzke resides at 12935 Old Course Drive, Roswell, GA, 30075. During the period relevant to this Complaint, Slewitzke was employed by SGC as a financial advisor. Between January 2007 and January 2009, Slewitzke received approximately \$320,673 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Slewitzke is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
59. Al Trullenque resides at 5118 West Oak Mews, Houston, TX, 77056. During the period relevant to this Complaint, Trullenque was employed by SGC as a financial advisor. Between January 2007 and January 2009, Trullenque received approximately \$528,659 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other

tainted “compensation” traceable to the fraud. Trullenque is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.

60. Roberto Ulloa resides at 7420 S.W. 132nd Street, Pine Crest, FL, 33156. During the period relevant to this Complaint, Ulloa was employed by SGC as a financial advisor. Between January 2007 and January 2009, Ulloa received approximately \$2,599,582 in fraudulent commissions traceable to Defendants’ fraudulent scheme, as well as other tainted “compensation” traceable to the fraud. Ulloa is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
61. Miguel Valdez resides at 13406 Sand Mountain Lane, Houston, TX, 77044. During the period relevant to this Complaint, Valdez was employed by SGC as a financial advisor. Between January 2007 and January 2009, Valdez received approximately \$281,532 in fraudulent commissions traceable to Defendants’ fraudulent scheme, as well as other tainted “compensation” traceable to the fraud. Valdez is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
62. Tim Vanderver resides at 1282 Paces Forest Drive, Atlanta, GA, 30327. During the period relevant to this Complaint, Vanderver was employed by SGC as a financial advisor. Between January 2007 and January 2009, Vanderver received approximately \$442,634 in fraudulent commissions traceable to Defendants’ fraudulent scheme, as well as other tainted “compensation” traceable to the fraud. Vanderver is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
63. Pete Vargas resides at 13120 S.W. 33rd Court, Fort Lauderdale, FL, 33330. During the period relevant to this Complaint, Vargas was employed by SGC as a financial advisor. Between January 2007 and January 2009, Vargas received approximately \$837,211 in fraudulent commissions traceable to Defendants’ fraudulent scheme, as well as other tainted “compensation” traceable to the fraud. Vargas is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
64. Maria Villanueva resides at 11281 N.W. 59th Terrace, Miami, FL, 33178. During the period relevant to this Complaint, Villanueva was employed by SGC as a financial advisor. Between January 2007 and January 2009, Villanueva received approximately \$2,122,513 in fraudulent commissions traceable to Defendants’ fraudulent scheme, as well as other tainted “compensation” traceable to the fraud. Villanueva is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.
65. Charles Vollmer resides at 826 Norsota Way, Sarasota, FL, 34242. During the period relevant to this Complaint, Vollmer was employed by SGC as a financial advisor. Between January 2007 and January 2009, Vollmer received approximately \$367,000 in fraudulent commissions traceable to Defendants’ fraudulent scheme, as well as other tainted “compensation” traceable to the fraud. Vollmer is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.

66. Michael Word resides at 2404 St. Andrews Avenue, Zachary, LA, 70791. During the period relevant to this Complaint, Word was employed by SGC as a financial advisor. Between January 2007 and January 2009, Word received approximately \$1,298,531 in fraudulent commissions traceable to Defendants' fraudulent scheme, as well as other tainted "compensation" traceable to the fraud. Word is therefore in possession of assets that are the rightful property of and should be returned to the Receivership Estate.

**KVT-4**

ID	Name	Accounts <sup>1</sup>	SIB CD Proceeds <sup>2</sup>
1	RODRIGO RIVERA ALCAYAGA	NJL022799, NJL009309	\$ 721,004
2	TOCHAS TRUST	NJL022799, NJL009309	100,152
3	TOCHAS TRUST AND RODRIGO ALCAYAGA	NJL022799, NJL009309	515,629
4	JONATHAN LARKIN STOCK TRUST AND JONATHAN LARKIN	5LW401871	262,926
5	ATP TOUR, INC.	NMY118075	3,438,706
6	JOSEPH R. BECKER AND LOLINE BECKER	NJG005253, NJG003340, NMW013542	372,225
7	JOEL HENRY ORY	NMW025280	104,549
8	PATRICIA A. THOMAS	NJL028432, NJL028374	3,761,189
9	STEVEN RIGER AND LINDA RIGER	NMZ001312	317,729
10	RAY A. BALLANTYNE	NMY120550	183,435
11	RAY A. BALLANTYNE AND KAREN BALLANTYNE	NMY120550	915,748
12	GERARD A. DOWD	NJB010175	134,800
13	HANNAH K. PECK	OC9605175	122,395
14	PECK FAMILY TRUST	OC9605175	8,941
15	STEPHEN M. BINGHAM	NJL003195	107,271
16	DAVID A. RUBIN	NMY116863	8,455
17	DAVID A. RUBIN AND DAWN L. RUBIN	NMY116863	370,333
18	DEBRA S. GIBBS	NMY136036	234,000
19	CAMILLE C. WOOD	NMW004764	181,305
20	ARTHUR J. ORDOYNE	NJG005865	301,706
21	AARON FOLSE	NJG002342, STSGC40612	603,925
22	TERRY FOLSE	NJG002342, STSGC40612	53,992
23	CHRIS SWINDELL	NJG006343, NMW014755	192,352
24	JEFFREY J. CAMPBELL	NM4011943	189,828
25	MICHAEL E. STAID	STSGC40951, NMW012767	561,656
26	WILLIAM C. DAWSON	NMW012080, NMW002800	421,497
27	LUISA DE LICI AND JAIME LICI COHEN AND REBECA LICI COHEN AND JACOBO LICI COHEN AND SARA LICI COHEN	NMY008714	10,537
28	MATEO LICI S. AND LUISA DE LICI AND JAIME LICI COHEN AND REBECA LICI COHEN AND JACOBO LICI COHEN AND SARA LICI COHEN	NMY008714	143,003
29	MATEO LICI S. AND LUISA DE LICI AND JAIME LICI COHEN AND REBECA LICI COHEN AND JACOBO LICI COHEN AND SARA LICI COHEN AND EDITH BOGUSKY BEAUJON	NMY008714	92,826
30	MARTHA J. WITMER	NJG007259	284,149
31	MYRNA PLATKIN	NJJ002042	132,541
32	JOHN S. WATTS JR	NJB014201	1,054,866
33	ALISON LEFFLER	NNC010084	106,734
34	FRED R. DEMAREST	NJG006277	115,625
35	JUDITH H. MCCUTCHEON TRUST AND JUDITH H. MCCUTCHEON	NJH310421	104,184
36	CARROLL D. LEU	NJE260504	117,351
37	ROBERT J. BRUNO	NMW015158	582,264
38	ROBERT J. WINTERS AND DARLENE P. WINTERS	NJM027888	257,680
39	TIMOTHY A. JOHNSON	NMY018887, NMY018861	852,446
40	PAULA MARLIN	NNC011041	663,504
41	PHILIP M. ZIMMERMAN AND JENNIFER B. ZIMMERMAN	NMW018517	260,031

**Notes:**

1. Accounts with a prefix of "S" are Stanford Trust Company Accounts.
2. The entries on this schedule correspond to the names on the SIBL accounts that received CD proceeds. A given name may appear more than once on this schedule because that name is on more than one SIBL account.

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ID	Name	Accounts <sup>1</sup>	SIB CD Proceeds <sup>2</sup>
42	KATHLEEN C. DUGGAN AND GEORGE T. DUGGAN	NM4013899	293,905
43	ROGER LEE HECKMAN	NJL029042	14,394
44	ROGER LEE HECKMAN AND BRENDA G. HECKMAN	NJL029042	222,127
45	WYLLY M. GUTERMAN	NJK511669	249,873
46	JAMES R. CALVIN	NJG008307	180,000
47	GAINES D. ADAMS	NJJ060586, NJJ002331	455,273
48	DONNA W. ALLBRITTON	NJJ060404	184,221
49	JOHN F. THOMPSON	NMY125369	969,955
50	PETER A. THEVENOT	NJG001203	179,338
51	DON PARKINSON AND MARILYN PARKINSON	NJD001065, NJB063273, NJA012347, NJA001365	19,045
52	MARILYN PARKINSON	NJD001065, NJB063273, NJA012347, NJA001365	121,254
53	INVHERNAR, INC. AND RODRIGO HERNANDEZ	NWR005112	420,684
54	DORRIS AND LULA BURCHETT TRUST AND DORRIS BURCHETT AND LULA BURCHETT	NJM010991	314,618
55	BARBARA MILLER OSTROW	NJM028126, NJJ005748	102,439
56	HENRY A. MENTZ III	NMY100297	706,709
57	JAMES H. STEGALL	NJG006574	163,374
58	JAMES H. STEGALL AND CAROL H. STEGALL	NJG006574	41,862
59	EUGENE D. GAUTHREAU	NJJ010854	104,314
60	SUE CHRIS GAUTHREAU	NJJ010854	174,200
61	PHYLLIS ETCHEISON TRUST AND PHYLLIS ETCHEISON	NJV002790	110,000
62	KA VBEL CORP LIMITED	NMY106229	124,990
63	RA AND FARALL D. CANNING TRUST A AND RA CANNING AND FARALL D. CANNING	NMX011776, NMX011750	813,206
64	RA AND FARALL D. CANNING TRUST C AND RA CANNING AND FARALL D. CANNING	NMX011776, NMX011750	548,942
65	MICHAEL A TEAGUE	NMW013716	116,732
66	JONATHAN IVESTER	NJH001053	174,308
67	BONNIE CAPSUTO AND ALLEN CAPSUTO	NJB013856	1,276,115
68	A YG INVESTMENT, LTD.	NMY100313	224,328
69	CARL M. WEBB III	NMY102947	125,392
70	DICK COPELAND REV TRUST AND DICK COPELAND	5LW400121	65,048
71	DICK COPELAND TRUST AND DICK COPELAND	5LW400121	70,082
72	EFRAIN DOS SANTOS MARQUEZ	NWR004347	320,937
73	PHILIP M. PELTZ	NMW008740, NMW001703	123,085
74	YOLANDA A. VALDES	NMY011692	7,637
75	YOLANDA A. VALDES REVOCABLE TRUST AND YOLANDA A. VALDES	NMY011692	318,127
76	DAVID TOPP AND DORA TOPP	NMY013722, NMY011676	598,648
77	SHANNON S. BUNDICK	STSGC41087, NMW030181	405,289
78	BENNIE M. O' REAR	NMW003626	132,148
79	BENNIE M. O' REAR AND CLAUDIA P. O' REAR	NMW003626	54,794
80	CHARLES B. THOMSEN AND LOIS ANN THOMSEN	NJL010638	646,590
81	D. LEE SEAGER	NJL007592	105,803
82	LINDA R. SEAGER	NJL007592	34,608
83	JESUS GALARZA MARTIN AND MARIA ESPERANZA MARTELO DE GALARZA	NMY002311	252,375
84	RENEE LEVINE	NJG002193	104,083
85	DAVID M. BLAKE AND DIANE M. BLAKE	NMZ015718	123,233
86	THOMAS W. SCHERER AND VIRGINIA A. SCHERER CRUT, THOMAS W. SCHERER AND VIRGINIA A. SCHERER	NJJ010847, NJJ010821	58,968
87	VIRGINIA A. SCHERER	NJJ010847, NJJ010821	72,910
88	DENNIS L. KIRBY	STSGC40214, NMW022782	580,959
89	HOWARD BISSELL III	NJK510299	287,463

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ID	Name	Accounts <sup>1</sup>	SIB CD Proceeds <sup>2</sup>
90	EARL L. CROSBY	NMW003592	175,276
91	CATHERINE M. BRENNAN	NNC060394	282,381
92	WILLIAM RONALD VAN DELL AND LORI G. VAN DELL	NMX010992	241,477
93	MARK D. BUCKMAN	NJM022053	566,514
94	EUGENE L. CROXTON JR.	NMW003550	161,805
95	LEJEUNE T. MILLS AND GILBERT C. MILLS	NMW012304	381,354 <sup>3</sup>
96	KENNETH R. BIRD AND TERESA MICHELLE LAMKE	NMW003618	213,748
97	DR. RICHARD RATHBONE PR	NMW002537	300,000
98	GRACE CHEN LEBLANC	NMY135897	144,542
99	GORDON C. GILL	NMY126359	278,986
100	VAHLE, INC.	NMY116723	124,016
101	BRIAN U. LONCAR AND SUE A. LONCAR	88761041	222,518 <sup>4</sup>
102	MABEL PINO	NJG002375	495,386
103	SUNNER TRADING LIMITED	NJL027210	550,847
104	ALBERTO LOPEZ ESPINOSA AND ANA LUISA DE LA ROSA DE LOPEZ	NMY107227	231,831
105	SHARON J. WITMER AND WALTER BRUCE STONE	NJG005196	383,875
106	WALTER BRUCE STONE	NJG005196	3,500
107	RISIA TOPP WINE	NMY013839	223,911
108	BURNELL WILLIAMS	NJG006210, STSGC40224	200,739
109	ERIKA TERESA HERRO	NJL028549	339,364
110	TIMOTHY R. AND SANDRA E. MOORE FAMILY L. P AND TIMOTHY R. MOORE AND SANDRA E. MOORE	NMY019984	131,097
111	MELVIN WIDES REVOCABLE TRUST AND MELVIN WIDES	0C9403746	261,290
112	EISEMANN DEFINED BENEFIT PLAN	NJL026501	35,764
113	EISEMANN LIMITED	NJL026501	107,717
114	MICHAEL L. EISEMANN AND LINDA G. EISEMANN	NJL026501	136,680
115	BETTE JO HEASLIP	NMW015091	703,433
116	TERRY N. TULLIS	STSGC40336, NMW023418	449,245
117	HUTCH INVESTMENTS LLC	5LW001481	308,452
118	CINDY DOLESHEK	NM4013717	161,759
119	GARY W. MCKILLIPS AND ANNE H. MCKILLIPS	NJB011249	537,739
120	FRANK MASSAD AND JO ANN MASSAD	NMY021691	107,793
121	LYDA D. TYMIAK	NMZ019033, NJV003731	394,124
122	LYDA D. TYMIAK FAMILY TRUST AND LYDA D. TYMIAK	NMZ019033, NJV003731	176,422
123	SAMUEL R. MOORE AND MARTHA W. MOORE	NNC010092	218,045
124	RONALD R. MARSTON	NJG001484	474,012
125	RONALD R. MARSTON AND SUSAN D. MARSTON	NJG001484	257,907
126	JOHN BUSCEME AND VIRGINIA B. BUSCEME	NJG001179	5
127	JOHN C. BUSCEME	NJG001179	448,235
128	MARK STEPHENS AND JO LYNN STEPHENS	NMW008021	198,743
129	DIVO MILAN HADDAD	NWR002184	560,133
130	INFINITUM TRUST AND DIVO MILAN HADDAD	NWR002184	1,961,857
131	MARIA DE LOURDES MARTINEZ DE SIDNEY AND MARIE ROCHELLE SIDNEY MARTINEZ	NWR002184	19,161
132	MARIE ROCHELLE SIDNEY MARTINEZ	NWR002184	9,372
133	MARIE ROCHELLE SIDNEY MARTINEZ AND DIVO MILAN HADDAD	NWR002184	8,984

**Notes:**

3. Lejeune T. Mills and Gilbert C. Mills have executed a stipulation. They have transferred to the Receiver's escrow account only \$101,353.96 of the SIBL proceeds amount; their Pershing account also remains held.

4. Figures based on SGC accounts residing at JPMorgan.

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ID	Name	Accounts <sup>1</sup>	SIB CD Proceeds <sup>2</sup>
134	ALFREDO PARRA DAVILA	NMY006759	515,000
135	STEVEN SILVERMAN TRUST AND STEVEN SILVERMAN	5LW003446	209,033
136	BARRY L. RUPERT AND CAROL S. RUPERT	NJH001244	186,410
137	LOUISE A. HARDIN LIVING TRUST AND LOUISE A HARDIN	NJJ110498	115,667
138	ANGELO A. PATERNOSTRO AND MARY ANN PATERNOSTRO	NJG004355	607,835
139	THERESA M. JAMAIL	NMY021659	376,554
140	SCOTT L. CLARK REV TRUST AND SCOTT L. CLARK	NJK510802	1,155,041
141	ROBERT APPELMAN	NM2003470, NM2002712	442,908
142	ABM REVOCABLE TRUST AND ALVARO BUENDIA	NM2011846	321,845
143	ALVARO BUENDIA	NM2011846	22,313
144	CLAUDIA GALLAGHER AND CLAUDE MAYALL AND ANNE MAYALL	NMY103515	121,837
145	RAMON MALCA	NMY060913	153,659
146	BRUCE E. MCLEOD	NJG004009, NMW001398	773,174
147	AMARA TRUST	NMZ023324	399,949
148	DOCTORS DIAGNOSTICS IMAGING	NJV003129	177,421
149	ERIC A. ORZECK	NMY011999, NJL009465, NJL005695	465,412
150	DEWAYNE WASHINGTON REV TRUST AND DEWAYNE WASHINGTON	5LW401798	260,868
151	NANCIANN EAMES	NMY136721, NMY136317, NMY136283, NMY136002, NMY120881	145,080
152	RICHARD D. EAMES	NMY136721, NMY136317, NMY136283, NMY136002, NMY120881	193,230
153	RICHARD DENNIS EAMES AND NACIANN EAMES	NMY136721, NMY136317, NMY136283, NMY136002, NMY120881	198,935
154	JANE M. PRIDGEN AND ROBERT GRAY MATLOCK	NJM029942	185,772
155	JASON SCOTT GRAHAM	NJG003886	921,005
156	ROBERT E. GRAHAM	NJG003936	1,005,511
157	GROVEMILL HOLDINGS LIMITED	NJL027491	384,954
158	EDWARD F. BLIZZARD AND CYNTHIA H. BLIZZARD	NMY010272	516,631
159	FRANCIS NEZIANYA	NMW015497	301,636
160	WILLIAM S. FLORES JR. AND MARY G. FLORES	NJE260256	100,000
161	ELECTRI INTERNATIONAL	NJV002881	100,329
162	RICHARD AND DARLENE MCBRIDE	NJV002881	4,604
163	HMS AND B, LTD	NJL021551	175,000
164	DARIO FALLAS AND PAOLA FALLAS	NMZ006394	107,546
165	HECTOR JOSE PEREZ MORA AND RAFAEL JESUS PEREZ PERDOMO	NMZ006394	78,000
166	HECTOR PEREZ MORA	NMZ006394	298,772
167	RONALD B. YOKUBAITIS AND CAROLYN M. YOKUBAITIS	NJH310512	100,000
168	EMMA LEE LEFEBVRE	NMW019440	205,982
169	LARRY N. SMITH	STSGC40765	485,679
170	MURPHY BUELL	STSGC41108	417,216
171	ROSA MARIBEL OYERVIDES	NWR002663	5,036,240
172	CHARLES L. WHITE	STSGC40438, NMW024820	558,814
173	MELVIN MICHEL MARGULES BENHAMOU	NWR005906	792,024
174	MELVIN MICHEL MARGULES BENHAMOU AND ESTELLE ESTHER BENHAMOU	NWR005906	131,047
175	EDWARD C. DWECK	NM2003553	1,138,693
176	ALLEN SCHWARTZ	STSGC40370, NMZ017011, NMZ010511	134,775

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ID	Name	Accounts <sup>1</sup>	SIB CD Proceeds <sup>2</sup>
177	THE ANTHONY JOSEPH ANTINORI TRUST AND ANTHONY JOSEPH ANTINORI; AND STEVEN JAMES ANTINORI IN HIS CAPACITY AS TRUSTEE OF THE ANTHONY JOSEPH ANTINORI TRUST	NMY114819, NJL027673, NJL027665	1,107,109
178	THE STEVEN JAMES ANTINORI TRUST AND STEVEN JAMES ANTINORI	NMY114819, NJL027673, NJL027665	3,973,548
179	MARIA GUADALUPE MENDOZA AND GUILLERMO HOLMQUIST	NMY001305	8,504
180	MARIA GUADALUPE MENDOZA ROMERO	NMY001305	842,001
181	MARIA SOCORRO CELIA ROMERO DE MENDOZA AND MARIA GUADALUPE MENDOZA	NMY001305	64,500
182	ADRIANA RAMOS	NMY108266	96,666
183	AYALA TRUST	NMY108266	288,000
184	EDUARDO SERRANO BERRY	NMY108266	430,000
185	HECTOR TROCATT AND ADRIANA RAMOS	NMY108266	9,802
186	JOSE ANTONIO VIGORENA	NMY108266	177,500
187	JOSE ANTONIO VIGORENA AND ADRIANA RAMOS	NMY108266	530,000
188	JAMIE COHEN BENREY AND SUSANA PEREZ DE COHEN	NWR003364	2,398,317
189	GENE CAUSEY	NJG006350, STSGC40170, NMW042665, NMW030769, NMW009649	613,289
190	KENNETH W. DOUGHERTY	STSGC40400, NMW024275	641,527
191	TERESA MEMUN DE ALFIE	NWR008272	276,091
192	FRANKLIN HOWARD STANSEL	NJL028952	202,442
193	VINETA P. STANSEL AND HOWARD STANSEL	NJL028952	256,161
194	WESTERN INTERNATIONAL ADVISOR CORP, LTD. S.A.	NWR007696	46,010
195	WESTERN INTERNATIONAL ADVISOR CORP, LTD.	NWR007696	332,906 <sup>5</sup>
196	WESTERN INTERNATIONAL FINANCIAL CORP, LTD. S.A.	NWR007696	58,010 <sup>6</sup>
197	WESTERN INTERNATIONAL FINANCIAL CORP, LTD.	NWR007696	196,896 <sup>7</sup>
198	ABRAHAM DIAMANT	NWR001475	584,785
199	LUIS MIGUEL HERNANIZ VIGIL	NMY123166, NMY123125, NJL001199	704,735
200	ROSA M. HERNANIZ	NMY123166, NMY123125, NJL001199	912,618
201	HERMAN A. STONE	NJK512733	715,241
202	PACESETTER ADJUSTMENT COMPANY	NMW011892, NMW011074, NMW001083, NJG007838	2,443,956
203	KRIMICH LTD.	NWR007431	2,634,000
204	MARIA TERESA SAN SEBASTIAN DE VALLE AND JOSE MARIA VALLE ESCAMEZ	NWR007431	200,000
205	JULIO C. RUIZ AND NELLYFER FERRER	NWQ002102	4,808,251
206	MELVIN S. TAUB AND CAROL TAUB	NJF001535	1,065,959
207	KEVIN A. MCKENZIE AND DENISE T. MCKENZIE	NNC010100	806,974
208	DON G. LANDERS	NJG005584, NMW040636, NMW028243, NMW002347	803,134
209	MALCOLM SPILLERS	STSGC41141, NMW031056	589,591
210	CYNTHIA R. MORIARTY	NMY118240, NJL021262, NJL007345	451,101
211	MARY JANE BAXTER AND WILLIAM A. BAXTER	SLW400592	468,862
212	CELINA TRUST	NYQ001654	1,090,910

**Notes:**

5. This amount includes \$42,010 transferred from SIB accounts in the name of Western International Advisor Corp. Ltd. to Pershing accounts in the name of Lukas Corp. This amount is also reflected in the proceeds amount for Lukas Corp.

6. This amount includes \$15,000 transferred from SIB accounts in the name of Western International Financial Corp. Ltd. S.A. to Pershing accounts in the name of Gatita Blanca. This amount is also reflected in the proceeds amount for Gatita Blanca.

7. This amount includes \$32,010 transferred from SIB accounts in the name of Western International Financial Corp. Ltd. to Pershing accounts in the names of Gatita Blanca and Lukas Corp. This amount is also reflected in the proceeds amounts for Gatita Blanca and Lukas Corp.

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ID	Name	Accounts <sup>1</sup>	SIB CD Proceeds <sup>2</sup>
213	ANTHONY G. PARKER	STSGC40210-1, STSGC40210	1,003,163
214	SALT POND ASSOCIATES	NMZ018753	38,077
215	SETTLER'S HILL L.P. AND MARY HOLMES	NMZ018753	1,585,423
216	THE AMH TRUST AND MARY L. HOLMES	NMZ018753	570,233
217	THE JLH TRUST	NMZ018753	23,469
218	THE JLH TRUST AND THE JNH TRUST	NMZ018753	569,231
219	THE JNH TRUST	NMZ018753	569,877
220	THE KEH TRUST	NMZ018753	570,526
221	THE MAH TRUST	NMZ018753	570,573
222	THE TCH TRUST	NMZ018753	885,244
223	THOMAS R. HOLMES AND MARY L. HOLMES	NMZ018753	518,910
224	WATKINS FAMILY LTD. PARTNERSHIP	NJJ004709, NJJ010227, NJM011890	2,158,527
225	SINGAPORE PUNTAMITA PTE., LTD.	NWR006581	7,907,121
226	JAMES E. BROWN SR.	STSGC40551, NMW025470	590,387
227	CARLOS LANDEROS GALLEGOS AND MARIA DE JESUS LANDEROS GALLEGOS	NWR008439	268,000
228	DENNIS CHILDRESS	STSGC40392, NMW023574	646,426
229	THOMAS W. SLAUGHTER	STSGC40109	634,482
230	CHARLES E. SMITH	STSGC40584, NMW025645	486,996
231	BREWER & PRITCHARD, PC	NMY015594, NMY015578, NMY008953, NJL028671, NJL028531, NJL021775	774,586
232	THOMAS PRITCHARD	NMY015594, NMY015578, NMY008953, NJL028671, NJL028531, NJL021775	84,410
233	HARDEE M. BRIAN AND BETTY JO BRIAN	NMW039612	600,504
234	YOUNG FAMILY CEMETARY TRUST	NMW039612	15,000
235	ANDREW BYRON WINKLE	NJL023631	167,001
236	ANDREW BYRON WINKLE AND ROCIO DEL CARMEN WINKLE	NJL023631	228,147
237	ANNA SANDRA SANTORO TEPEDINO AND VALENTINA MASTROPASQUAS AND ROSA TEPEDINO DE SANTORO	NJL023631	38,000
238	ALBERTO JAVIER BOTELLO REED	NWR008231, NWR002531	1,758,109
239	SILVIA GUADALUPE TAMEZ DE BOTELLO	NWR008231, NWR002531	3,295,520
240	JOSE ANTONIO MONROY CARRILLO	NMY108969	1,054,440
241	ADRIANA ZARAGOZA DELGADO	NJL026667, NJL026642	3,190,440
242	NICHOLAS J. LANZA JR.	NMY060087, NMY011221, NJL010141, NJL010067	193,955
243	NICHOLAS J. LANZA JR. AND BRENDA C. LANZA	NMY060087, NMY011221, NJL010141, NJL010067	789,137
244	ARCHIE SMITH	STSGC41086, NMW030041	510,999
245	RICHARD S. FEUCHT	STSGC40209, NMW022790	486,119
246	RICHARD S. FEUCHT AND JOAN A. FEUCHT	STSGC40209, NMW022790	63,745
247	ELSIE M. PEREZ	NMZ023183	375,171
248	ANGEL SALVADOR SCOTTI MATA AND TERESA BAVIELLO DE SCOTTI	NWR005583, NWR005575	1,017,775
249	MARIANO JOSE SCOTTI MATA	NWR005583, NWR005575	1,004
250	MARIANO JOSE SCOTTI MATA AND MARIANO JOSE SCOTTI	NWR005583, NWR005575	1,053,047
251	ROBERT B. CRAWFORD JR. AND JODIE F. CRAWFORD	NMW015729	322,198
252	DONNA M. VINES	STSGC41328, NMW011389	346,143
253	DOROTHY M. SELIB TRUST AND DOROTHY M. SELIB	STCI10015, STBR10056, STBR10055	126,627
254	MARTHA J. CRUMPLER JOHNSON	STSGC20071	329,726
255	BENTON B. JOHNSON TEST TR II AND BENTON B. JOHNSON	STSGC20072	493,871
256	JOHN F. LYNCH	STSGC41080, NMW041766	3,865,596
257	ANTONIO G. PENDAS	STSGC40286	253,139
258	MATTHEW DELLA POLLA AND NURIA PENDAS	STSGC40286	35,000

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ID	Name	Accounts <sup>1</sup>	SIB CD Proceeds <sup>2</sup>
259	KENNETH G. WILKEWITZ	STSGC40167	112,314
260	DANIEL JOSEPH DAIGLE AND JILDA ANN DAIGLE	STSGC40767	206,065
261	JILDA A. DAIGLE	STSGC40767	76,599
262	JOSEPH W. STRENGTH	STSGC41060	525,341
263	PHILLIP E. LANKFORD JR.	STSGC40193	628,592
264	JOHN E. WILSON	STSGC41160	405,074
265	CLAUDE M. NEEDHAM	STSGC40132	393,458
266	ROBERT SOULE	STSGC40189	457,234
267	SANDRA F. HARRELL	STSGC40156	404,588
268	JOSEPH A. CHUSTZ	STSGC41151	598,797
269	LARRY W. PERKINS	STSGC41127	427,641
270	LAURA JEANETTE N. LEE	STSGC40137	525,006
271	JUANITA QUINEALTY	STSGC40685	119,446
272	CHARLES R. SANCHEZ AND MAMIE C. SANCHEZ	STSGC40268	74,261
273	CHARLES R. SANCHEZ SR.	STSGC40268	368,347
274	MAMIE C. SANCHEZ	STSGC40268	74,502
275	CHERYL B. WATTS	STSGC40276, STSGC40275	83,688
276	THURSTON WATTS JR.	STSGC40276, STSGC40275	136,172
277	THURSTON WATTS JR. AND CHERYL B. WATTS	STSGC40276, STSGC40275	713,574
278	TARRAL E. DAIGLE	STSGC40155	407,361
279	RICHARD A. DEVALL	STSGC40346, STSGC40334	323,730
280	RICHARD DEVALL AND SUE M. DEVALL	STSGC40346, STSGC40334	112,175
281	SUE M. DEVALL	STSGC40346, STSGC40334	116,967
282	MONTY M. PERKINS	STSGC40410	129,492
283	CHARLIE L. MASSEY	STSGC40145	390,809
284	WILLIAM E. ENSMINGER	STSGC40238	154,846
285	ARISTIDE TRELOAR	STSGC40208	650,430
286	MICHAEL J. DRAGO	STSGC40114	593,268
287	JIMMY QUEBEDEAUX	STSGC40538	330,756
288	JUDITH P. SIMMONS	STSGC41198	422,749
289	AUDREY LETARD	STSGC40435, STSGC40163	73,263
290	JUDY A. VARNADO AND PATRICIA A. ALLISON AND AUDREY A. LETARD	STSGC40435, STSGC40163	192,008
291	PATRICIA A. ALLISON	STSGC40435, STSGC40163	78,919
292	GWENDOLYN E. FABRE	STSGC40758	355,934
293	CLYDE ANDERSON	STSGC40092, NMW020315	704,867
294	JOHN O. LETARD	NMW027559, NMW002271	900,452
295	HERMAN J. MILLIGAN JR.	STSGC40387	1,259,160
296	RONALD W. VALENTINE	STSGC41312	347,071
297	KERRY R. KLING	STSGC41278	544,863
298	CHARLES A. JAMES	STSGC41252	360,149
299	EMOLYN L. WATTS	STSGC40344	364,391
300	LYNN G. GILDERSLEEVE	STSGC41030	53,776
301	ROBERT GILDERSLEEVE JR. TRUST AND ROBERT GILDERSLEEVE JR.	STSGC41030	10,689
302	ROBERT V. GILDERSLEEVE JR.	STSGC41030	80,333
303	WILLA MAE GILDERSLEEVE	STSGC41030	171,597
304	WILLA MAE GILDERSLEEVE AND LYNN G. GILDERSLEEVE	STSGC41030	163,926
305	OLIVIA S. WARNOCK	STSGC40934	392,684
306	KATHLEEN F. MELILLI	STSGC40284	298,965
307	JOHN E. TAYLOR	STSGC40601	639,110
308	ARTHUR R. WAXLEY JR.	STSGC40444	616,268
309	ROBERT YOUNG JR.	STSGC40820	360,477
310	DOROTHEA M. YOUNG	STSGC40819	124,680
311	GLENDA D. THOMAS	STSGC41345	682,331
312	DOT G. MELDER	STSGC41161	70,792

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ID	Name	Accounts <sup>1</sup>	SIB CD Proceeds <sup>2</sup>
313	JACK W. MELDER	STSGC41161	2,200
314	JACK W. MELDER AND DOT G. MELDER	STSGC41161	433,163
315	JOHN D. COOPER	NJG005394, STSGC40347-1	619,750
316	DARRELL D. COURVILLE	STSGC40105, NMW043226, NMW021297, NMW010324, NMW003857	685,960
317	DENNIS LANTRIP	STSGC40611	477,927
318	TROY L. LILLIE JR.	STSGC40384	954,310
319	ROBERT L. BUSH	STSGC40746	826,384
320	DOROTHY T. DUNCAN	STSGC40138	564,694
321	JOHN R. HOLGUIN	STSGC40586	660,144
322	JOHN G. COHRON	STSGC40249	103,321
323	JOHN GLEN COHRON	STSGC40249	76,844
324	BARBARA ANTHONY	STSGC40216-1, STSGC40216	345,382
325	MICHAEL R. HOLCOMB	STSGC40989	278,364
326	EDGAR THERON OVERLAND	STSGC41214	416,269
327	JOHNNIE A. GRIFFITH	STSGC41074	504,428
328	GARY WOOD	STSGC40515	641,620
329	AZALEA REST CEMETARY INC. IRREV TRUST, AZALEA REST CEMETARY INC., AND GEORGE B. ANNISON, IN HIS CAPACITY AS TRUSTEE OF AZALEA REST CEMETARY INC. IRREV TRUST	STSGC20113	78,985
330	GEORGE BUR ANNISON AND DIANE B. ANNISON	STSGC20113	1,402,295
331	REUEL L. ANDERSON	STSGC20073	234,288
332	REUEL L. ANDERSON JR.	STSGC20073	879,673
333	JAMIE/NICKY CARR INS. TRUST AND JAMIE CARR AND NICKY CARR	STSGC20062	208,100
334	BARBARA RATHBONE AGENCY	STBR10005	15,603
335	BARBARA V. RATHBONE	STBR10005	76,031
336	BARBARA V. RATHBONE CRT AND BARBARA V. RATHBONE	STBR10005	283,946
337	AUBREY O'NEAL CLEMENT	NGW352257	8,524,408
338	BLUFF CREEK REDI-MIX, INC.	NJG004066, NMW020539, NMW009169	114,563
339	FLEN ROCK COMPANY, LLC.	NJG004066, NMW020539, NMW009169	234,750
340	FLENIKEN SAND & GRAVEL, INC.	NJG004066, NMW020539, NMW009169	107,944
341	LYMAN L. FLENIKEN JR.	NJG004066, NMW020539, NMW009169	186,097
342	CALVIN DARDEN	NJB010258	350,000
343	GENESIS TODAY, INC.	NMX012329	3,500,000
344	MARY MENDOZA DE CAPRILES	NMZ006246	157,857
345	TULIO M. CAPRILES	NMZ006246	119,231
346	GATITA BLANCA	NWR007415, NWR002135	37,010 <sup>8</sup>
347	LAURA ROZANES LOMBROZO AND MOISES BOGOMOLNY HOP	NWR007415, NWR002135	19,112
348	LUKAS CORP.	NWR007415, NWR002135	392,495 <sup>9</sup>
349	BELRON INVESTMENTS LIMITED	NMY101303	2,105,198
350	RICHARD A. ARKIN AND KAREN J. ARKIN	NM2002365	227,908
351	ROSS D. BRUCE AND MARSHA C. BRUCE	NMW028011	564,992
352	PEGGY PAYNE MORAGNE	NMW002172	401,818
353	DAVID BRUCE EZARIK	NJL024720	297,613
354	DONALD P. GRIFFITH	NMY125864, NJL009259	222,778
355	LITHOTRIPSY, LTD.	NMY125864, NJL009259	175,057

**Notes:**

8. This amount reflects money transferred from SIB accounts in the names of Western International Financial Corp. Ltd. and Western International Financial Corp. Ltd. S.A. to Pershing accounts in the name of Gatita Blanca. This amount is also reflected in the proceeds amounts for Western International Financial Corp. Ltd. and Western International Financial Corp. Ltd. S.A.

9. This amount includes \$52,010 transferred from SIB accounts in the names of Western International Financial Corp. Ltd. and Western International Advisor Corp. Ltd. to Pershing accounts in the name of Lukas Corp. This amount is also reflected in the proceeds amounts for Western International Financial Corp. Ltd. and Western International Advisor Corp. Ltd.

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<b>ID</b>	<b>Name</b>	<b>Accounts<sup>1</sup></b>	<b>SIB CD Proceeds<sup>2</sup></b>
356	THE D.P. GRIFFITH FAMILY LIMITED PARTNERSHIP AND D.P. GRIFFITH	NMY125864, NJL009259	195,787
357	THE K & K GRIFFITH, L.P.	NMY125864, NJL009259	276,405
358	NEN FAMILY TRUST	OC9405204	1,291,586
359	CORPORATE HEALTHCARE MANAGEMENT DEF BEN PL AND CORPORATE HEALTHCARE MANAGEMENT	NMY100123	315,637
360	PINOT HOLDINGS LIMITED	NMY018622, NJL027517	1,083,209
361	JULIO SERGIO BUENO Y CADENA AND MARIA ELENA RAMIREZ DE BUENO	NMY119909	3,306,667
362	MICHAEL A. SPEEG	STSGC40236-1, NMW012247	837,380
363	JOHN G. DENISON AND KATHY R. DENISON	NJE262369	585,734
364	DAVID S. CARROLL JR. AND DELAINE D. CARROLL	NJM022699	250,000
365	GAIL G. MARQUETTE	NMW026858	108,783
366	NUMA L. MARQUETTE	NMW026858	196,875
367	PATRICIA W. HIRSCH	NMY112250, NJL021577, NJL007378	373,058
368	PLATEAU TELECOMMUNICATIONS	NJE212265, NJE212257	4,188,567
369	ROBERT C. WILLIAMS	NMY129932	263,728
370	JORGE SOLORZANO Y MOSQUEDA	NMY008755	676,720
371	ROBERT G. FESSLER 2001 INVESTMENTS TRUST AND ROBERT G. FESSLER	NJF010007, NJF001238, NM2010012	13,027,693
372	MICHAEL J. TIMMONS	NJM029298	540,082
373	BYRON A. RATLIFF	NJG004801	188,888
374	SIDNEY HOLMES	NJL025305	125,000
375	SIDNEY HOLMES AND VICKI E. HOLMES	NJL025305	25,000
376	JEFF P. PURPERA JR.	NM4011851, NM4011117	597,693
377	STEVEN J. BRADING AND SHARON K. BRADING	NJG004215	405,895
378	BORDEAUX INVESTMENTS I C.V.	NMY136010, NMY135996, NMY135988, NMY135970, NMY020552, NMY020388, NMY020370, NJL029216, NJL029208, NJL029190, NJL029182, NJL029174, NJL029166	121,752
379	BORDEAUX INVESTMENTS III C.V.	NMY136010, NMY135996, NMY135988, NMY135970, NMY020552, NMY020388, NMY020370, NJL029216, NJL029208, NJL029190, NJL029182, NJL029174, NJL029166	72,435
380	BORDEAUX INVESTMENTS IX C.V.	NMY136010, NMY135996, NMY135988, NMY135970, NMY020552, NMY020388, NMY020370, NJL029216, NJL029208, NJL029190, NJL029182, NJL029174, NJL029166	43,642
381	BORDEAUX INVESTMENTS X C.V.	NMY136010, NMY135996, NMY135988, NMY135970, NMY020552, NMY020388, NMY020370, NJL029216, NJL029208, NJL029190, NJL029182, NJL029174, NJL029166	12,018
382	PROVENCE MANAGEMENT STICHTING I AND BORDEAUX INVESTMENTS I C.V.	NMY136010, NMY135996, NMY135988, NMY135970, NMY020552, NMY020388, NMY020370, NJL029216, NJL029208, NJL029190, NJL029182, NJL029174, NJL029166	7,423,766
383	PROVENCE MANAGEMENT STICHTING III AND BORDEAUX INVESTMENTS III C.V.	NMY136010, NMY135996, NMY135988, NMY135970, NMY020552, NMY020388, NMY020370, NJL029216, NJL029208, NJL029190, NJL029182, NJL029174, NJL029166	4,836,717
384	PROVENCE MANAGEMENT STICHTING IX AND BORDEAUX INVESTMENTS IX C.V.	NMY136010, NMY135996, NMY135988, NMY135970, NMY020552, NMY020388, NMY020370, NJL029216, NJL029208, NJL029190, NJL029182, NJL029174, NJL029166	2,858,196

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ID	Name	Accounts <sup>1</sup>	SIB CD Proceeds <sup>2</sup>
385	PROVENCE MANAGEMENT STICHTING X AND BORDEAUX INVESTMENTS X C.V.	NMY136010, NMY135996, NMY135988, NMY135970, NMY020552, NMY020388, NMY020370, NJL029216, NJL029208, NJL029190, NJL029182, NJL029174, NJL029166	652,034
386	RONALD E. WELLS	STSGC40564, NMW025413	544,643
387	RONALD E. WELLS SR. AND LUTHER D WELLS	STSGC40564, NMW025413	288,992
388	JAMES STANLEY HARRIS	NJG007200, NJG007192, NJG007127, NJG007119, NJG007101, NMW014540, NMW003261	1,574,390
389	CECILIA VAISMAN VDA. DE CZUKERBERG	NWR002218	385,444
390	SANFORD STEINBERG	STSGC40942	171,534
391	GERALD S. PASTERNAK	NMZ011311, NMZ011113, NMZ010867, NJV002808	335,000
392	BBRATSS PRODUCTIONS, INC.	NJG007150, NJG007143, NMW007239, NMW006462, NJG012432, NJG012416	108,658
393	TIMOTHY RUSSELL RICKETTS AND ROSE S. RICKETTS	NJG007150, NJG007143, NMW007239, NMW006462, NJG012432, NJG012416	2,349,367
394	GEORGANN MIRE	NJG001336, STBR20016	658,465
395	JAMES S. COURIER	NJL001496	437,728
396	TAHSIN YILMAZ KALKAVAN	NJF010106, NJF010098, NJF010072, NJF001071, NJF001014, N13010009	287,705
397	MONROE J. RATHBONE	NJG001583, STSGC400801, NMW022766	1,697
398	MONROE J. RATHBONE IV	NJG001583, STSGC400801, NMW022766	145,042
399	GNOE C.V.	NMY004093, NJL008921, NJL002197	270,726
400	DANIEL CHERNITZKY LASKY AND MERY MOTOLA COHEN DE CHERNITZKY	NWR003265	10,000
401	R AND T CHERNY SISTERS INC.	NWR003265	1,619,865
402	SAMUEL CHERNITZKY LIFSHITZ AND TERESA LASKY DE CHERNITZKY AND ESTEBAN CHERNITZKY LASKY AND DANIEL CHERNITZKY	NWR003265	60,000
403	JAMES R. LAWSON	NNC010068, NJK560005, NJK511925	1,296,913
404	ANTHONY J. VENTRELLA	STSGC41266	483,222
405	RONALD W. PARKER	NMW022808	693,782
406	JOSEPH R. THIBODEAUX AND SUSAN E. THIBODEAUX	NJG002458	189,661
407	WALDMAN, LTD.	NMY100529, NJL027194	2,069,266
408	THOMAS DE FRANCO JR. REVOCABLE TRUST AND THOMAS DE FRANCO JR.	OC9600382	210,752
409	RUBEN J. CRUZ	NJB011199	161,609
410	STEPHEN J. BURNHAM	NJG003274, NJG002649, NJG002631, NMW007817	1,436,883
411	JAMES D. SIMMONS	NMW024812	836,365
412	PATRICK JOSEPH BOYLE AND LAURA MARGARET BOYLE	NMY001842	836,310
413	CHERAY ZAUDERER HODGES	88761010	506,027 <sup>10</sup>
414	LUTHER HARTWELL HODGES	88761010	125,027 <sup>10</sup>
415	LUTHER HARTWELL HODGES AND CHERAY ZAUDERER HODGES	88761010	1,849,647 <sup>10</sup>
416	MICHAEL A. HILLMAN AND DARLENE M. HILLMAN	NMW028623	2,207,940
417	DELCO FINANCE, INC.	NMY106435	452,205
418	DELCO FINANCE, INC. AND RIGOBERTO INIGUEZ	NMY106435	1,510,000
419	ANTONIO SANCHEZ RAMOS	NMY121343	528,919
420	GOLD WING PARTNERS	NM2010855	1,425,427
421	ERIC TUCKER	NJM030312	156,101
422	ERIC TUCKER AND JENNIFER TUCKER	NJM030312	91,414
423	CURTIS COLLINS	NGW012539	1,752,103

**Notes:**

10. Figures based on SGC accounts residing at JPMorgan.

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ID	Name	Accounts <sup>1</sup>	SIB CD Proceeds <sup>2</sup>
424	ROBERT S. GREER AND ALICE D. GREER	NM4210081	1,152,524
425	JEAN G. MANCUSO AND LYDIA O. LEMOINE	NJG004397	31,866
426	WILLIAM A. MANCUSO AND JEAN G. MANCUSO	NJG004397	178,427
427	DR. CAROLYN VILLARRUBIA	NJL005026	154,602
428	THE DAVIS REVOCABLE TRUST	NM4014012	857,661
429	JAMES W. BORING JR.	NMW011702	612,235
430	DAVID P. JOHNSON	NM4210057	749,579
431	ELENA TRON DE ZEPEDA CARRANZA	NMY005611	2,424,189
432	MAURICIO ZEPEDA CARRANZA	NMY005611	131,000
433	ANASTACIO MOGOLLON TRUST AND ANASTACIO MOGOLLON	NYQ001134	502,544
434	ARCHIE TRUST	NYQ001134	415,000
435	YAIR SHAMIR AND ELLA SHAMIR	NJM007856	1,119,721
436	ROBERT JUAN DARTEZ, LLC	NJG001617, NMW035743, NJG012549, NJG010097	1,689,212
437	ROBERT L. HOLLIER	NJG003555, NJG003548, NMW014235	1,742,552
438	MICHAEL WHEATLEY AND BETTY WHEATLEY	NJE260173, NJE211846, NJE211838, NJE211820, NJE210210, NM4010796	1,699,536
439	ARACELI DOMINGUEZ DE VALERO TRUST AND ARACELI DOMINGUEZ DE VALERO AND RAFAEL DOMINGUEZ JR.	NMZ023639, NMZ023555	300,000
440	MARIA TERESA DOMINGUEZ TRUST AND RAFAEL DOMINGUEZ AND MARIA T. DOMINGUEZ AND MARIA TERESA DOMINGUEZ NICOLAS	NMZ023639, NMZ023555	380,045
441	RADOK INVESTMENTS LIMITED	NMY100420, NJL027129	452,870
442	RICARDO GONZALEZ CABRERA	NWR002879	2,391
443	RICARDO GONZALEZ CABRERA AND ALEJANDRA HILDA GONZALEZ GARCIA	NWR002879	65,559
444	RICARDO GONZALEZ CABRERA AND ALFONSO GONZALEZ GARCIA	NWR002879	66,358
445	RICARDO GONZALEZ CABRERA AND IGNACIO RICARDO GONZALEZ GARCIA	NWR002879	29,554
446	RICARDO GONZALEZ CABRERA AND IGNACIO RICARDO GONZALEZ GARCIA AND ALFONSO GONZALEZ GARCIA AND RODOLFO GONZALEZ GARCIA	NWR002879	4,129,786
447	RICARDO GONZALEZ CABRERA AND RODOLFO GONZALEZ GARCIA	NWR002879	118,130
448	MARTHA H. BAKER	NJE210152	213,709
449	RICHARD O. HUNTON	NMY135749	1,810,254
450	ARTHUR TORNO	NM4010481	283,946
451	MARY E. GERRY	NJG001344	432,443
452	DENNIS JAMES MIGL	NMY001131	121,348
453	MISSISSIPPI POLYMERS, INC.	NJJ010078	556,363
454	FELIPE GONZALEZ	NMY013334	1,024,545
455	BILLIE RUTH MCMORRIS	STSGC40252-1, STSGC40252, STSGC40247-1, STSGC40247, NMW009680	171,456
456	RONALD B. MCMORRIS	STSGC40252-1, STSGC40252, STSGC40247-1, STSGC40247, NMW009680	115,356
457	RONALD MCMORRIS AND VIRGINIA MCMORRIS	STSGC40252-1, STSGC40252, STSGC40247-1, STSGC40247, NMW009680	723,071
458	VIRGINIA H. MCMORRIS	STSGC40252-1, STSGC40252, STSGC40247-1, STSGC40247, NMW009680	139,716
459	FLEX, LTD.	NJL028515	221,596
460	NADI HOLDINGS, LTD.	NJL028515	56,775
461	ROMANO INTERNATIONAL, LTD.	NJL027160	393,957
462	J. MICHAEL GAITHER	NNC010332	765,692

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ID	Name	Accounts <sup>1</sup>	SIB CD Proceeds <sup>2</sup>
463	KATHY WEISS REVOCABLE TRUST AND KATHY WEISS	NJL010521	201,032
464	RANDALL E. YOUNGS	NM4063241	203,993
465	GENEVA SUE PALMER	NJM029843, NJJ002349	76,351
466	ROBERT E. PALMER	NJM029843, NJJ002349	890,037
467	J. RUSSELL MOTHERSHED	NJJ110936	279,702
468	CHARLES E. BAKER	NMY103846	410,339
469	NORA E. GAY AND RICHARD E. GAY	NM4015183	112,338
470	WILLIAM C. PROVINÉ	NMY111898, NMY010389, NJL028002	1,949,126
471	ROLAND SAM TORN	NMY017897	1,035,355
472	THE SECOND AMENDED AND RESTATED ROBERT A. HOUSTON REVOCABLE TRUST AND ROBERT A. HOUSTON	NM4015456	2,758,146
473	MALTON OVERSEAS LTD.	NMY101493, NJL027145	1,802,059
474	JAIME SOLANO SOTO	NMY122465	100,000
475	ANGEL DELIO NIEUW	NJV004960	20,426
476	ANGEL DELIO NIEUW AND MARIA P. C. NIEUW-CAEL	NJV004960	438,496
477	COUNTRY HILL INVESTMENT, N.A.	NJV004960	1,750
478	MURFIELD INVESTMENTS INC.	NJV004960	174,109
479	YOLANDA LORIE	NMW002339	278,736
480	CHARLES L. FELNER	NJJ006498	288,405
481	PHILLIP E. MARRETT	NNC010548	890,610
482	EDITH IRMA WATTS	NMW030918	539,225
483	PETER MANSUR	NJE261148	575,477
484	MARY F. MILLS	NMW040545	149,152
485	MICHAEL C. MOSLEY	NMW040545	101,699
486	MAPLE LEAF CAPITAL, LLC	NMX990151, NMX090564	150,000
487	BRILMAR INVESTMENTS LIMITED	NJL027137	420,478 <sup>11</sup>
488	GRACE PEREZ	NMY105700, NMY105312, NMY100933	178,301 <sup>12</sup>
489	KIRKWELL C.V.	NMY102020	13,791,011
490	DAVID HINOJOSA AND LAURA ANDONEGUI GONZALEZ	NMY135962, NMY100024, NJL029158	337,300
491	FETZER OVERSEAS LIMITED AND LAURA GONZALEZ DE ANDONEGUI	NMY135962, NMY100024, NJL029158	38,238
492	INMOBILIARIA EAL	NMY135962, NMY100024, NJL029158	170,413
493	LAURA GONZALEZ DE ANDONEGUI	NMY135962, NMY100024, NJL029158	1,500
494	LAURA GONZALEZ DE ANDONEGUI AND LAURA ANDONEGUI GONZALEZ	NMY135962, NMY100024, NJL029158	59,500
495	VERRET MANAGEMENT CORPORATION	NWR003182	1,737,587
496	MICHAEL S. ASMER	NMZ016377, NMZ011337, NMZ010057, NJV002337	1,029,845
497	NANCY E. ENGLE	NJE212844	357,024
498	JODY L. BOYD AND SHELLEY J. BOYD	NMW014268	1,734,336
499	THOMAS E. BROWN AND BARBARA BROWN	NMZ020973, NJV004432, NJV004424, NJV003095, NJV003087	2,109,254
500	GEORGE T. GRAVES III	NM4001076	1,225,000
501	ALEX FERNANDEZ	NMZ004332	410,390
502	RENE FERNANDEZ	NMZ004332	50,095
503	ALGAMA L.T.D. C.A.	NWR004842	1,054,650
504	INVERSIONES PATRICK ROGER P AND PATRICK PETIOT	NWR004263	63,480

**Notes:**

11. The proceeds amount for Brilmar Investments Limited includes \$178,301.39 that Brilmar Investments Limited transferred to Grace Perez from its SIB CDs. This amount is also included in Grace Perez's proceeds amount.

12. Grace Perez received \$178,301.39 in proceeds from SIB CDs in the name of Brilmar Investments Limited. This amount is also included in Brilmar Investments Limited's proceeds amount.

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ID	Name	Accounts <sup>1</sup>	SIB CD Proceeds <sup>2</sup>
505	PATRICK LORIS ROGER PETIOT	NWR004263	662,678
506	JAIME SMOLENSKY	NWR001855	1,182,231
507	VICSAR INVESTMENTS LIMITED	NMZ005198	783,191
508	DIFFICULTY HOLDINGS LIMITED	NMY101279	616,734
509	COFFEY OVERSEAS LIMITED	NMY019299	1,493,479
510	MUDDY WATER HOLDINGS LIMITED	NMY018630	1,585,169
511	MANUEL LOPEZ MAZUELAS	NWR008249	989,303
512	LIGIA ESPINEL MARTINEZ	NWR004578	217,559
513	SUSAN D. SANFORD	NJL028820	664,847
514	WILLIAM BRUCE JOHNSON AND JENNIFER SAVOIC JOHNSON	NMW003444	245,464
515	PAUL BYRD AND KYM BYRD	NMW002594	2,826,933
516	DIANE DUNN	NMW004368	245,528
517	JOHN M. COLGIN	NMY001859	1,490,113
518	JOBEL TRUST	NYQ002108	434,147
519	JOSEBEL TRUST	NYQ002108	122,630
520	JOTABE TRUST	NYQ002108	2,330,946
521	NETFIELDIC TRUST	NYQ001142	571,643
522	CARLOS BUSTAMANTE ALVAREZ AND LUISA FERNANDA ROMO LEROUX	NWR005138	396,978
523	JOSE LUCIANO MENDEZ ALONSO AND MARIA DEL ROCIO CORONA ODRIOZOLA	NWR003059	753,391
524	CELIA DANTUS WEBER AND LEOPOLDO BIMSTEIN RIZERMAN AND MIRIAM BIMSTEIN DANTUS	NWR002812	6,000
525	LABTEC INV. CORPORATION AND LEONOR RODRIGUEZ	NWR002812	816,197
526	MIRIAM BIMSTEIN DANTUS	NWR002812	9,090
527	ALBERTO CARLOS CURIS GARCIA	NWQ001039	12,367
528	CURRICHI FOUNDATION	NWQ001039	700,733
529	MARIA DE LOURDES GUEVARA DE CURIS AND ALBERTO CARLOS CURIS GARCIA	NWQ001039	849
530	LUIS G. PEREZ	NMW011082	1,942,929
531	JOHN D. SANTI IRA	NJM032789	799,038
532	JAMES M. BATES	NMY114116	425,802
533	LPC INTERNATIONAL TRUST AND LPC INTERNATIONAL	NWR006268	196,591
534	DARSHAN SINGH DHALIWAL TRUST AND DARSHAN SINGH DHALIWAL	NMZ023357	3,001,596
535	RAUL RODRIGUEZ MENDEZ	NJL028614	454,582
536	VICTOR MANUEL ALFARO ARAUJO AND MARIA DEL CARMEN ESCOBEDO DE ALFARO	NMY102301	720,358
537	CRAYFORD HOLDINGS LIMITED	NMY019315	2,525,195
538	CARL MONTE	NM2090048	334,041
539	CAROLYN CRANSTON	NMY100065, NMY100057, NMY014845, NJL025503	149,055
540	DAVID MARK KELSO	NMY100065, NMY100057, NMY014845, NJL025503	14,134
541	THOMAS H. TURNER	NJE211077, NM4011406	2,957,505
542	DEBORAH S. FORBES	NMW010936	10
543	GEORGE KENDALL FORBES	NMW010936	699,663
544	GEORGE KENDALL FORBES AND DEBORAH S. FORBES	NMW010936	981,516
545	WAYLAND B. ALEXANDER	NMW020679	734,912
546	JOHN D. NOTTINGHAM JR. AND JUDITH R. LEWIS	NMY131151	39,706
547	JOHN D. NOTTINGHAM JR. TRUST AND JOHN D. NOTTINGHAM JR.	NMY131151	3,583
548	THE J.D. NOTTINGHAM LIMITED PARTNERSHIP	NMY131151	9,912

**KVT-4**

ID	Name	Accounts <sup>1</sup>	SIB CD Proceeds <sup>2</sup>
549	THE J.D. NOTTINGHAM LIMITED PARTNERSHIP AND J.D. NOTTINGHAM	NMY131151	54,579
550	ROBERT H. KLUG	NMY119016	279,049
551	A.A. BUILDERS LTD.	NWR005211	674,210
552	DANECO B.V.	NMZ018134, NMZ005966, NMZ005636	1,244,875
553	DVX CAPITAL	NMZ018134, NMZ005966, NMZ005636	1,302,923
554	IRM INVESTMENTS, INC.	NMZ018134, NMZ005966, NMZ005636	1,422,797
555	STICHTING PARTICULIER FONDS EL TRIBUTO	NMZ018134, NMZ005966, NMZ005636	637,001
556	MARIO BRAUN RUSSEK	NMY121996	2,051,958
557	TERLINK, INC.	NMY020610	3,270,235
558	YENZO INVESTMENT, INC.	NMY102004	843,542
559	SLEEPING DOG HOLDINGS, LTD.	NMY018614	1,465,461
560	BONNER HOLDINGS, LTD.	NMY020719	19,763
561	DONEGAN, LTD.	NMY020719	1,938,927
562	BRIARVALE HOLDINGS, LTD.	NMY101287	735,241
563	RUBE HOLDINGS, LTD.	NMY118448	813,938
<b>Total SIBL CD Proceeds</b>			<b>373,000,093</b> <sup>13</sup>

**Notes:**

13. This total has been reduced by \$267,321.39 to account for the adjustments referenced in footnotes 5-9 and 11.

**KVT-5**

ID	Name	Amount Funded to Receiver's Escrow Account
1	ROBERT GILLIKIN AND MARTHA GILLIKIN	\$ 435,094
2	THOMAS J. MORAN	5,670,425
3	JOHN R. PAINTER	239,857
4	DENNIS J. FERRA AND KAREN S. FERRA	227,962
5	DANIEL PAUL LANDRY AND DIANNA LYNN LANDRY	31,156
6	HENRY A. KLEIN	58,026
7	CARLOS FELIPE PENA	303,635
8	DAVID JONATHAN DREW	1,299,424
9	JAY STUART BELL	1,288,685
10	JOHNNY DAVID DAMON	400,070
11	GREGORY ALAN MADDUX	3,669,735
12	BERNABE WILLIAMS	1,542,962
13	ANDRUW RUDOLF BERNARDO JONES	1,033,732
14	SUSAN EPSTEIN	59,030
15	MARVIN WENITSKY	35,110
16	VALERIE J. KALTMAN	62,112
17	ROSINE CHAPPELL	25,575
18	VALERIE DALY HAUSLADEN	114,373
19	GUIFENA CORP.	28,796
20	EDWARD L. VAUGHN AND KAREN E. VAUGHN	23,102
21	WILLIAM A. WELBORN	153,052
22	JON KARL GOECKEL AND LORETTA B. GOECKEL	24,606
23	LUSKY INVESTMENT PARTNERSHIP, LP	287,820
24	MORTIMER F. CURRIER AND KATHERINE F. CURRIER	88,141
25	LEJEUNE T. MILLS AND GILBERT C. MILLS <sup>1</sup>	101,354
26	JAMES F. HAUN AND KALEN K. HAUN	38,298
27	KENNETH MEACHAM	34,358
28	MARTHA AGUADO DE DONNADIEU AND EMILIO DONNADIEU AGUADO	28,286
29	VERONA BELLE SPATZ	29,243
30	ESTATE OF JUSTINE H. SMITH	33,502
31	SUSAN CREEKMORE HEIM	18,142
32	RALPH MACDONALD	259,894
33	WILLIAM K. GREINER	15,576
34	LINDA MCSPADDEN MCNEIL	55,484
35	EDUARDO IGARTUA RUILOBA AND LA ESTANCIA C.C.	54,051
36	BOBBY G. WILKERSON	76,005
37	GEORGE B. LORMAND, JR.	34,163
38	ERIC R. GEORGE	350,000
39	CHRISTOPHER ALLRED	115,269
40	TERENCE BEVEN AND ELIZABETH BEVEN	119,132
		<b>\$ 18,465,237</b>

**Notes:**

1. Lejeune T. Mills and Gilbert C. Mills have executed a stipulation. They have transferred to the Receiver's escrow account only \$101,353.96 of the SIBL proceeds amount, which is \$381,353.96; their Pershing account also remains held.

**KVT-6**

ID	Name	SIB CD Proceeds (2008 - 2009) <sup>1</sup>
1	GARY D. MAGNESS IRREVOCABLE TRUST, GARY MAGNESS, GMAG LLC AND MAGNESS SECURITIES LLC	\$ 88,200,000
2	LIBYAN FOREIGN INVESTMENT CO.	54,830,930
3	REGIONS BANK AS TRUSTEE FOR LPFA II CITY PLAZA PROJECT SERIES 2008 AND II CITY PLAZA LLC	39,108,276
4	JUERGEN KURT WAGENTROTZ AND JURGEN KURT WAGENTROTZ ERNST	38,465,878
5	MICHEL MORENO	27,035,583
6	ANGLO-ATLANTIC STEAMSHIP CO. LTD.	16,276,638
7	SALBUR INVERSIONES C.A.	15,782,610
8	CATALYST PRIVATE EQUITY PARTNERS (ISREAL) II L.P.	12,571,955
9	BRUCE THOMPSON AND MICHELLE THOMPSON AND BRUCE THOMPSON	11,915,092
10	COMPANIA MEXICANA DE AVIACION S.A. DE C.V.	10,159,050
11	ANTONY MANSOUR AND REHAN MANSOUR, ANTONY MANSOUR, JOSEPHINE MERY, FRANCOISE SOLANGE MERY AND JOSEPHINE MERY	9,824,067
12	BRETT LANDES	9,633,275
13	FAYHILL INTERNATIONAL	9,297,644
14	MANSURA ENTERPRISES CV	8,351,534
15	EDWARD HYLTON JONES AND EDWARD HYLTON JONES AND SHIRLEY GLORIA JONES	5,975,887
16	GEORGE JOSEPH ROLLAR AND GEORGE JOSEPH ROLLAR AND DOLORES MAY PAYER ROLLAR	5,953,512
17	WEST MEADOWS LTD.	5,914,956
18	AMERICAN FAMILY ASSOCIATION INC.	5,722,450
19	VALNAMEX S.A.	5,487,179
20	FARISTON OVERSEAS LTD.	5,248,300
21	JAMES E. RICHARDSON FAMILY TRUST	5,097,757
22	GALO ENRIQUE VILLAMAR VILLAFUERTE	5,062,585
23	PERFORMANCE CONTRACTORS INC.	5,035,156
24	AGNETA LAURIN, HANS LAURIN AND AGNETA LAURIN AND HANS LAURIN	5,032,110
25	CLAUDIO ENRIQUE HERNANDEZ VILLALOBOS	4,950,363
26	NUNVAV INC.	4,787,138
27	RODOLFO ROYE SOUTOU, JONATHAN ROYE FARCHEG AND RODOLFO ROYE SOUTOU, RODOLFO ROYE SOUTOU AND LOURDES FARCHEG DE ROYE AND JONATHAN ROYE AND ALEXANDER ROYE	4,734,185
28	CORPORACION NACIONAL DE INVERSIONES SA DE CV	4,635,831
29	INVERSIONES VARMOL TRUST CARE OF DR. JORGE MARIO VARGAS P. AND INVERSIONES VARMOL TRUST	4,378,878
30	MR INTERNATIONAL GROUP LTD.	4,060,329
31	ANCAR FUTURE TRUST	4,000,587
32	EDUARDO A. NAJERA AND EDUARDO A. NAJERA AND JENNIFER M. NAJERA	3,992,535
33	INTERMEDIA LTD.	3,863,952
34	RITA MEIER KNUDSON REVOCABLE TRUST	3,635,537
35	OSCAR HUMBERTO VILLARREAL AGUERO AND OSCAR VILLARREAL	3,528,546
36	INTERNATIONAL PETROCHEMICAL SALES LIMITED	3,463,187
37	TRIMECA, TRIMECA TRUST AND TRIMECA (TRABAJOS INDUSTRIALES Y MECANICOS)	3,440,378
38	ELEVEN TWENTY-TWO LLC	3,247,484
39	PINGYI HE ORRUILIAN WU DE HE AND PINGYI HE	3,237,629
40	ARTURO ORTEGA GONZALEZ AND MARIA CAROLINA ORTEGA GONZALEZ AND GERMAN LUIS ORTEGA GONZALEZ AND ARTURO ORTEGA GONZALEZ	3,226,241
41	TA TRUST	3,200,000
42	ALGICA S.A.	3,186,945
43	AIRS LTD.	3,167,334

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**KVT-6**


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ID	Name	SIB CD Proceeds (2008 - 2009) <sup>1</sup>
44	NONNA E TRUST	3,079,824
45	DEMETER A.V.V.	2,985,953
46	GLOBAL ADVISORS C.A.	2,620,147
47	NAIRC B.V., NAIRC-NETHERLANDS ANTILLEAN INSURANCE AND NAIRC-NETHERLANDS ANTILLEAN INSURANCE AND REINSURANCE COMPANY	2,467,127
48	ANIROC HOLDING LTD.	2,073,448
49	INMOFYBE S.A.	1,857,815
		<b>\$ 493,803,818</b>

**Notes:**

1. Those outgoing transactions denominated in a foreign currency were converted on the day of transaction using a historical daily conversion rate.