

IN THE UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF TEXAS
DALLAS DIVISION

SECURITIES AND EXCHANGE COMMISSION,	§	
	§	
Plaintiff,	§	
	§	
v.	§	Case No.: 3-09-CV-0298-N
	§	
STANFORD INTERNATIONAL BANK, LTD.,	§	
STANFORD GROUP COMPANY,	§	
STANFORD CAPITAL MANAGEMENT, LLC,	§	
R. ALLEN STANFORD, JAMES M. DAVIS, and	§	
LAURA PENDERGEST-HOLT,	§	
	§	
Defendants.	§	

**APPENDIX TO RECEIVER'S INTERIM REPORT ON ACCOUNT FREEZE,
APPLICATION PROCESS, AND PARTIAL ACCOUNT RELEASES**

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Status of Stanford Group Company ("SGC") and Stanford Trust Company ("STC") Customer Accounts as of June 25, 2009

	<u>Number of Accounts</u>	<u>Number of Customers</u>	<u>Estimated Recoverable Proceeds to Estate</u>
Total Accounts as of February 17, 2009	52,096		
Accounts with Zero Net Worth	18,239		
Accounts Owned by Stanford Companies	112		
Subtotal	<u>33,745</u>		
SGC Accounts Released under March 5, 2009 Court Order	12,620	9,773 ¹	
SGC Accounts Released under March 12, 2009 Court Order	15,893	8,650 ¹	
SGC Additional Accounts Subsequently Released	2,194	827 ¹	
STC Accounts Released Under Court Orders (April 23, 2009 and May 27, 2009)	1,202	1,166	
Subtotal of Accounts Released as of June 25, 2009	<u>31,909</u>	<u>20,416</u>	
SGC Accounts Subject to Release upon Payment of Outstanding Customer Balance	155	109 ¹	
SGC Accounts Owned by Former Directors/Senior Management	60	27 ¹	TBD
SGC and STC Accounts Owned by Former Stanford Financial Advisors	417	163 ¹	\$42MM
SGC and STC Accounts Subject to Partial Release Based on CD Proceeds Received ²	422	203 ³	\$70MM
SGC Accounts Held for CD Proceeds Exceeding Total Net Worth of Accounts	87	56 ³	\$49MM
Subtotal	<u>1,141</u>	<u>558</u>	
Remaining Customers			
STC Accounts	114	110	\$35MM
SGC Accounts with Application Filed and Pending Review	37	13 ¹	TBD
SGC Accounts with No Application Filed	544	259 ¹	TBD
Subtotal	<u>695</u>	<u>382</u>	
Subtotal Estimated Recoverable Proceeds to Estate			<u>\$196MM</u> <u>+ TBD</u>
Cash Held Pursuant to Stipulation			\$17.6MM
Total Held as of June 25, 2009	<u>1,836</u>	<u>940</u>	<u>\$213.6MM</u> <u>+ TBD</u>

Notes:

1. Figure calculated as sum of: 1) valid distinct Social Security Numbers; and 2) distinct names of individuals without valid SSNs based on manual review.
2. See next page for detail.
3. Figure based on results of application review.

Weekly Status Report for Customers Subject to Partial Release Based on CD Proceeds Received

	June 25, 2009	
	Number of Accounts	Number of Customers
Under Legal Review	59	17
Contact in Progress	146	48
In Discussions with Customer		
Customer Decision Pending	103	50
Funding Activities in Progress	38	21
Customer Declined Partial Release	8	3
Subtotal	<u>149</u>	<u>74</u>
Partial Release		
Account Held, Stipulation Pending	19	18
Account Held, Stipulation Sent to Customer	28	24
IRA Account Held	21	22
Subtotal	<u>68</u>	<u>64</u>
	<u> </u>	<u> </u>
Total Subject to Partial Release Based on CD Proceeds Received	<u>422</u>	<u>203</u>

Stanford Group Company

Weekly Status Report for Customers Subject to Partial Release Based on CD Proceeds Received

DESCRIPTIONS FOR WEEKLY STATUS REPORT

Under Legal Review: Receiver staff have reviewed customer's accounts for CD proceeds and are in the process of determining whether customer meets the criteria for one of the following: a partial release of accounts or funds; a proposed stipulation; a de minimis release; a full release with no funds held; or a full hold of accounts because CD proceeds exceed the total net worth of customer's accounts held by Receiver.

Contact In Progress: Customer qualifies for a full, de minimis, or partial release of accounts or funds. Contact of customer regarding such release is in progress.

In Discussions With Customer: Receiver staff have contacted customer to offer a partial release of accounts or funds, and customer is currently engaged in discussions with Receiver staff regarding such offer. Customer may have requested additional information from Receiver staff; in such a case, Receiver staff are in the process of communicating the information to customer.

Customer Decision Pending: Receiver staff have either contacted customer to offer a partial release of accounts or funds or have sent customer a proposed stipulation. Receiver is awaiting customer's decision.

Funding Activities In Progress: Customer has either agreed to a partial release of accounts or funds or has signed a stipulation. Receiver staff are processing a transaction for customer either to set aside cash or cash equivalents in an IRA account to be held by Receiver or to wire cash to the Receiver's escrow account.

Customer Declined Partial Release: Customer has rejected an offer of a partial release of accounts or funds. Receiver staff will either make additional contact with customer or will send customer a proposed stipulation.

Partial Release – Account Held, Stipulation Pending: Partial release of customer's accounts or funds has been completed. Receiver staff will draft and send a proposed stipulation to customer regarding the held account.

Partial Release – Account Held, Stipulation Sent To Customer: Partial release of customer's accounts or funds has been completed. Receiver staff have sent a proposed stipulation regarding the held account to customer, but customer has not yet signed the stipulation.

Partial Release – IRA Account Held: Partial release of the customer's accounts or funds has been completed. Receiver currently holds the remaining IRA account to fund the holdback amount.