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Home > News > Stanford International Bank Limited - in liquidation (SIB); Verbal decision from Montreal Superior Court in relation to control of assets in Canada

Stanford International Bank Limited - in liquidation (SIB); Verbal decision from Montreal Superior Court in relation to control of assets in Canada

Author: Georgina Swain

 Georgina Swain
Date: 14 September 2009

The Joint Liquidators of SIB, Nigel Hamilton-Smith and Peter Wastell, wish to advise that a verbal judgment from the Montreal Superior Court, Canada, issued on 11 September 2009, concluded that Ralph Janvey, the Receiver appointed by the United States (US) Securities and Exchange Commission, be formally recognised as the party to whom control of the Canadian assets should be passed.

The Joint Liquidators confirmed that, contrary to allegations made, all copies taken of the data were to international forensic standards and their actions have at all times been in accordance with the terms of the order of the High Court of Antigua and Barbuda under which they were appointed, including taking steps to ensure that client data is kept confidential.

Commenting on the judgment, Nigel Hamilton-Smith, Client Partner at Vantis Business Recovery Services and Joint Liquidator of SIB, says:

"We fully anticipate appealing this decision and will be closely studying the judgment with our legal counsel. It is hoped that the Court of Appeal in Canada will have an opportunity to fully consider all the relevant legal issues."

"Despite this recent judgment, legal proceedings issued by the Attorney General in Ontario, Canada, are continuing for control of the same assets located in Canada. This follows a request from the US Department of Justice (DOJ) that the assets be passed to the DOJ as proceeds of crime."

The Joint Liquidators are already recognised in United Kingdom as the party to whom control of the assets of SIB should be passed. Legal proceedings continue in the US and Switzerland for the control of the assets of SIB, and the Joint Liquidators remain committed to communicating accurate and timely information for the benefit of all SIB investors located in a number of jurisdictions across the world.

The recently developed Online Claims Management System provides investors with a cost efficient and secure method of registering their claims against SIB online. Since the site went live in July 2009, 17,000 SIB investors have accessed the service. Once registered, investors are able to monitor the status of their claim and receive updates directly from the Joint Liquidators on the progress of the liquidation.

Investors may register their claims against SIB by visiting <https://stanford.vantisplc.com/>

Stanford Trust Company Limited (STC) remains in receivership and is not currently in a position to formally agree claims with its clients and creditors. The liquidators of SIB are, however, aware of the position of STC, and its clients and creditors, and know that STC's clients' claims will be formally registered with SIB in due course.

Further communications will be issued when practicable.

For further information, SIB and STC investors and creditors should visit www.vantisplc.com/Stanford or email stanfordenquiries@vantisplc.com

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Home > News > Update on recent appeal hearing following decision from UK Court of Appeal to release SIB funds to joint liquidators

Update on recent appeal hearing following decision from UK Court of Appeal to release SIB funds to joint liquidators

Author: Georgina Swain

☒ Georgina Swain
Date: 01 December 2009

As mentioned in the Stanford International Bank (SIB) investor update issued on 4 November 2009, assets of circa US\$100 million have been located in the United Kingdom (UK). To gain control of these assets, the joint liquidators for SIB, Nigel Hamilton-Smith and Peter Wastell of Vantis Business Recovery Services, sought formal recognition of their appointment and, on 3 July 2009, the High Court of Justice of England & Wales issued a judgment in favour of the joint liquidators that the Centre of Main Interest of SIB is Antigua and Barbuda.

The joint liquidators also issued a further appeal to seek the discharge of the criminal restraint order obtained by the UK Serious Fraud Office on behalf of the US Department of Justice (DOJ). They requested the control of the funds so that they can be distributed to investors and creditors, rather than retained with a view to making them available in future to the United States (US) DOJ.

The appeal hearing, which also included a hearing to deal with the US receiver's appeal against the order of the High Court of 3 July 2009, took place between 16 and 20 November 2009.

The judgment of the Court of Appeal is presently expected during late December 2009 and a further notification will be issued when the judgment is received.

Separately, a hearing date has now been set for 21 and 22 January 2010 to hear the joint liquidators' application for formal recognition of the Antiguan liquidation of SIB under Chapter 15 of US Bankruptcy Code.

A decision from the financial regulator in Switzerland is also awaited for recognition and control of the assets of SIB that are located there. The joint liquidators have also taken steps to appeal the Canadian Court's decision to recognise the US receiver as the party to whom assets located in Canada should pass.

In the meantime, the joint liquidators continue to deal with investors via the SIB Online Claims Management System and, to date, approximately 22,000 investors have accessed the service. The joint liquidators shall continue to verify and confirm claims.

For further information, investors and creditors should email stanfordenquiries@vantispplc.com

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Actualización sobre la reciente vista en seguimiento de la decisión del Tribunal de Justicia de UK de liberación de fondos de SIB a los liquidadores conjuntos.

Como se mencionaba en la actualización para los inversores emitida el 4 de noviembre de 2009 sobre Stanford International Bank (SIB), activos por valor de unos 100 millones de dólares americanos han sido localizados en el Reino Unido (UK). Para ganar el control sobre estos activos, los liquidadores conjuntos para SIB, Nigel Hamilton-Smith and Peter Wastell de Vantis Business Recovery Services, buscaron reconocimiento formal de su nombramiento y, a 3 de Julio de 2009, el Tribunal Supremo de Justicia de Inglaterra y Gales emitió el juicio, a favor de los liquidadores, de que el Centro de Principal interés de SIB es Antigua y Barbuda.

Los Liquidadores Conjuntos también emitieron otra demanda para conseguir la retirada de cargos de la orden de restricción criminal obtenida por la Oficina de Fraude Grave de UK en nombre del Departamento de Justicia de los Estados Unidos. Ellos pidieron el control de los fondos de modo que pudieran ser distribuidos a los inversores y acreedores, en lugar de retenidos con vistas a hacerlos disponibles en el futuro para el Departamento de Justicia de los Estados Unidos.

La vista de la demanda, que incluye además una vista para tratar con la demanda del administrador estadounidense contra la orden del Tribunal Supremo de 3 de Julio de 2009, tuvo lugar entre el 16 y el 20 de Noviembre de 2009.

La sentencia de la Corte de Apelación actualmente se espera para finales de Diciembre de 2009 y otra notificación será emitida cuando sea recibida.

Por otra parte, una fecha de vista ha sido ahora establecida para el 21 y 22 de Enero de 2010 para escuchar la petición de los liquidadores conjuntos de reconocimiento formal de la liquidación de SIB de Antigua bajo el Capítulo 15 del Código de Bancarrota de los Estados Unidos.

También se espera una decisión del regulador financiero en Suiza para el reconocimiento y control de los activos de SIB que están situados allí. Los Liquidadores Conjuntos han tomado asimismo pasos para recurrir la decisión de la corte canadiense de reconocer al administrador de Estados Unidos como la parte a quien tienen que pasar los activos localizados en Canadá.

Mientras tanto, los liquidadores conjuntos continúan tratando con los inversores a través del Sistema de Gestion de Reclamaciones Online de SIB y, hasta la fecha, aproximadamente 22.000 inversores han accedido al servicio. Los liquidadores continúan verificando y confirmando reclamaciones.

Para mas información, los inversores y acreedores han de enviar un correo electrónico a stanfordenquiries@vantispplc.com

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SUPERIOR COURT
(Commercial Division)

CANADA
PROVINCE OF QUEBEC
DISTRICT OF MONTREAL

NO.: 560 - 11-036045-090

DATE: April 6, 2009

PRESENT : CHANTAL FLAMAND, REGISTRAR

IN THE MATTER OF THE RECEIVERSHIP OF:

STANFORD INTERNATIONAL BANK LIMITED
-and-
STANFORD TRUST COMPANY LIMITED

Debtors

NIGEL JOHN HAMILTON-SMITH
-and-
PETER NICHOLAS WASTELL

Joint Receivers-Managers / Petitioners

ORDER

(Appointment of a foreign representative, the recognition of
a foreign order, for judicial assistance and for the appointment of
an interim receiver)

SEEING the Petitioners' Motion Seeking the appointment of a foreign representative, the recognition of a foreign order, for judicial assistance and for the appointment of an interim receiver pursuant to Sections 46(1) and 267 and seq. of Part XIII, International Insolvencies, of the Bankruptcy and Insolvency Act, R.S.C., 1985, c. B-3 (the "BIA"), the exhibits in support thereof, the Certificate of Jurisconsult from Mtre. Charlesworth O. D.

Brown, attorney at law, practicing in Antigua and the Affidavit of Mr. Nigel John Hamilton-Smith in support thereof;

GIVEN the provisions of the Receivership Order rendered by the Eastern Caribbean Supreme Court in the High Court of Justice in Antigua and Barbuda on February 26, 2009;

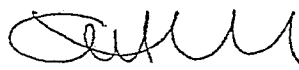
GIVEN the provisions of the BIA;

WHEREFORE THE COURT:

- [1] **GRANTS** the present *Motion Seeking the Appointment of a Foreign Representative, the Recognition of a Foreign Order, for Judicial Assistance and for the Appointment of an Interim Receiver* (the "Motion") and the remedies sought herein (the "Order");
- [2] **RECOGNIZES** the appointment of Nigel John Hamilton-Smith and Peter Nicholas Wastell as Joint Receivers-Managers (the "Joint Receivers-Managers") of Stanford International Bank Limited (the "Bank") and Stanford Trust Company Limited (the "Trust Company") (collectively, the "Debtors") in Antigua and Barbuda pursuant to the terms of the Receivership Order (Exhibit P-2) (the "Receivership Order");
- [3] **EXEMPTS** the Joint Receivers-Managers from any obligation to serve the Motion and from any notice or delay of presentation relating thereto;
- [4] **APPOINTS** the Joint Receivers-Managers as foreign representatives pursuant to sections 267 and *seq.* of the *Bankruptcy and Insolvency Act*, R.S.C., 1985, c. B-3 (the "BIA");
- [5] **GRANTS** the Joint Receivers-Managers the power to take immediate steps to stabilize the operations of the Debtors;
- [6] **GRANTS** the Joint Receivers-Managers the power to take into custody and control all the property, undertakings and other assets of the Debtors;
- [7] **GRANTS** the Joint Receivers-Managers the power to open and maintain bank account as they consider appropriate in their names as Joint Receivers-Managers for the monies of the Debtors coming under their control;
- [8] **AUTHORIZES** the Joint Receivers-Managers to exercise, perform and discharge their duties independently or jointly and in so doing they shall be deemed to act as agents for the Debtors without personal liability;
- [9] **AUTHORIZES** the Joint Receivers-Managers to disclose information concerning the management, operations, and financial situation of the Debtors as they

consider appropriate in the performance of their functions provided that no disclosure of customer specific information is authorized without further or other order of the Court;

- [10] **ORDERS** that, notwithstanding any other provision of the Order, the Joint Receivers-Managers may apply at any time to this Court to seek any further relief, advice or instructions or present any petition which is required or appropriate with respect to the present Motion or the Receivership Order (P-2) or the rendering of any order that would be useful or appropriate in the circumstances;
- [11] **APPOINTS** the Joint Receivers-Managers as interim receivers of any or all of the Debtors' property located in Canada, to take conservatory measures with regards to said property and/or summarily dispose of property that is perishable or likely to depreciate rapidly in value or to generate additional costs for the Debtors;
- [12] **ORDERS** the provisional execution of this Order, notwithstanding any appeal and without the necessity of furnishing any security;
- [13] **THE WHOLE WITHOUT COSTS**, save and except in case of contestation.



REGISTRAR

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and
STANFORD FINANCIAL GROUP BLDG, INC.
 and
BANK OF ANTIGUA
 and
ROBERT ALLEN STANFORD
 and
JAMES M. DAVIS
 and
LAURA PENDERGEST-HOLT
 Respondents
 and
L'AUTORITÉ DES MARCHÉS FINANCIERS
 Intervener

REASONS AND DECISION DELIVERED ORALLY

[1] The Applicant Janvey, appointed as receiver by the United States District Court for [the] Northern District of Texas upon the request of the Securit[ies] & Exchange Commission ("SEC") on February 19, 2009, seeks that this Court:

- Quash the April 6, 2009 order of Registrar Flamand;
- Recognize Janvey as foreign representative of the proceedings instituted abroad pursuant to Sections 267 *BIA* and following.
- Give effect to the American court orders appointing Janvey as a receiver;
- Nominate Ernst & Young, a Canadian bankruptcy trustee, interim receiver of the Canadian assets of the debtors;
- Order that the interim receiver assist Janvey in his duties in Canada;
- Any additional remedies which are accessory to the foregoing relief.

The International Context

U.K. Proceedings

In the U.K., both the Receiver and the Antiguan Liquidators applied for recognition under the *Cross-Border Insolvency Regulations 2006*, inspired by the Model Law. Each of them alleged before the High Court of Justice that the

proceedings in which they have been respectively appointed are "main proceedings" for the purposes of the 2006 Regulations.

The Court rendered its judgments on July 3, 2009. The Antiguan proceedings were recognized as the "main proceeding" and therefore the Antiguan Liquidators were entitled to SIB's funds in the U.K. The Court found that SIB's center of main interest was in Antigua. The U.S. Receivership was held not to qualify as a "foreign proceeding" because it was not based on a "law relating to insolvency." Janvey was recognized at common law as the representative of all other Stanford Entities, including STC

Ontario Proceedings

The SIB and Stanford Group Company held approximately \$20,000,000 U.S. (the "**Funds**") in various accounts with the Toronto-Dominion Bank ("**TD Bank**") in Toronto, Ontario. On April 24, 2009, the Attorney General of Ontario commenced an application in rem for an Order forfeiting the Funds as proceeds of unlawful activity and obtained an interim preservation Order requiring that the Funds be paid by the TD Bank to the Ontario Superior Court of Justice. The Antiguan Receivers initially moved to set aside the preservation Order and obtain the Funds, which the U.S. Receiver opposed. Following two chambers appointments, all parties, including the U.S. Receiver, the Antiguan Receivers and the Attorney General, consented to an adjournment of the forfeiture application and a continuation of the preservation Order pending developments in the Quebec recognition proceedings.

Antiguan and American Proceedings

Vantis has been named liquidator for the SIB and the STC only, by the Antiguan Court and Janvey has been named receiver by the United States court for all of the corporate entities of the Stanford Group, including SIB and STC.

[2] Vantis opposes Janvey's motion on the following grounds:

- a) The US Receivership is not a judicial or administrative proceeding initiated outside of Canada in respect of a debtor, under a law relating to bankruptcy or insolvency and dealing with the collective interests of creditors generally, as he has been appointed by a Court upon a request and pursuant to a law regulating securities;
- b) There is no real and substantial connection between the United States and SIB;
- c) The American Receiver favors a consolidation of assets which would result in the apportionment and distribution of the Canadian assets to all of the group's creditors;

- d) The order issued on April 6, 2009 by Registrar Chantal Flamand should be upheld;

[3] It is surprising that Vantis pleads that Janvey was not appointed pursuant to a law relating to bankruptcy or insolvency and dealing with the collective interests of creditors generally when he himself invoked, on April 3, 2009, as Receiver-Manager pursuant to Section 220 of the Laws of Antigua and Barbuda, being The International Business Corporation Act, which reads as follows:

220. Upon an application by a Receiver or Receiver-Manager of a corporation, whether appointed by the court or under an instrument, or upon an application by any interested person, the court may make any order it thinks fit, including,

a) an order appointing, replacing or discharging a receiver or receiver-manager and approving his accounts;

b) an order determining the notice to be given to any person, or dispensing with notice to any person;

c) an order declaring the rights of persons before the court or otherwise, or directing any person to do or abstain from doing anything;

d) an order fixing the remuneration of the receiver or receiver-manager;

e) an order requiring the receiver or receiver-manager, or a person by or on behalf of whom he is appointed,

i. to make good any default in connection with the receiver's or receiver-manager's custody or management of the property and business of the corporation;

ii. to relieve any such person from any default on such terms as the court thinks fit, and

iii. to confirm any act of the receiver or receiver-manager;

and

f) an order giving direction on any matter relating to the duties of the receiver or receiver-manager.

[4] However, the February 26, 2009 order provided that:

4. Messrs Peter Nicholas Wastell and Nigel Hamilton-Smith be and are hereby appointed Joint Receivers-Managers of the Respondents/Defendants pursuant to Section 220 of the International Business Corporations Act (the Act) with such powers as the Court may determine.

5. The Joint Receivers-Managers do take immediate steps to stabilize the operations of the Respondents/Defendants unless ordered to do otherwise by further order of the Court
6. The Joint Receivers-Managers do execute their duties in accordance with the Act and otherwise only in accordance with this order and the directions of the Court.
7. The Joint Receivers-Managers do prepare and file in court a Monthly Interim Report and financial Statement in respect of the affairs of the Respondents/Defendants within 30 days of the date of this order and thereafter at regular intervals on the fifth day of each ensuing month.
8. The Joint Receivers-Managers upon the completion of their duties do prepare and file Final Accounts including a Financial Statement with recommendations as to the further conduct of the affairs, if any, of the Respondents/Defendants.
9. The Joint Receivers-Managers do take into their custody and control all the property, undertakings and other assets of the Respondents/Defendants pursuant to Section 221 of the Act and comply with all the other parts of the Section.
10. The Joint Receivers-Managers do open and maintain bank accounts within the jurisdiction or in such jurisdictions as they consider appropriate in their names as Joint Receivers-Managers of the Respondents/Defendants for the monies of the corporations coming under their control.
11. Subject to Section 220 of the Act, the Receivers-Managers do exercise, perform and discharge their duties independently or jointly and in so doing they shall be deemed to act as agents for the Respondents/Defendants without personal liability.
12. Without prejudice to the provisions of Section 373 of the Act, the Joint Receivers-managers be and are hereby authorized to disclose information concerning the management, operations, and financial situation of the Respondents/Defendants as they consider appropriate in the performance of their functions PROVIDED ALWAYS THAT
 - (1) no disclosure of customer specific information is authorized without further or other order of the court; and
 - (2) no disclosure of information is permitted under this Order to any foreign governmental or regulatory body unless such disclosure is subject to mutual disclosure obligations.

For the purpose of this Order, customer specific information means information of sufficient detail to enable a recipient of the information to identify the customer in question, the customer's address or other location, and/or the amount of such customer's credit balances or other investments in the Respondents/Defendants.

(...)

16. The Joint Receivers-Managers be directed from time to time on matters relating to their duties as the Court may determine on the application of the Applicant/Claimant or on the application of the Joint Receivers-Managers or on the application of the Respondents/Defendants.

(Emphasis added by the Court)

[5] The powers thus granted to Vantis are much less than those granted to Janvey in the Amended Receivership order issued in Texas, and which Janvey's attorneys summarize as follows:

In paragraph 1, the Court assumes exclusive jurisdiction over and takes possession of all assets belonging to the Stanford group.

In paragraph 2, Janvey is appointed Receiver.

In paragraph 4, the receiver obtains control, possession and custody of all of the Stanford group assets.

In paragraph 5, the Court orders and allows the receiver to control the assets; collect, take control and possession of funds and other assets, wherever located, institute proceedings, obtain records and documents, preserve the value of the assets and minimize expenses in preparation for a diligent distribution to claimants.

In paragraph 6, the receiver is designated as the sole person with the power to place the debtors in bankruptcy, if necessary.

Paragraph 9 orders that proceedings be stayed.

Paragraph 10 restricts the rights of creditors.

Paragraphs 12 and following constitute orders against debtors and their representatives.

The receiver is granted the rights to all assets of the debtors (control, possession and custody).

The receiver has the powers normally assigned to a trustee in bankruptcy.

All proceedings and rights of creditors are suspended.

An obligation is imposed on third parties to co-operate with the trustee.

The powers of members of the Stanford Group, of their board of directors or their shareholders are vested in the receiver.

All this is ordered in a context of insolvency (admitted by both parties) as a result of fraudulent conduct by the members of the Stanford group.

[6] It bears noting that these powers are broader than the powers granted to Vantis at the time when it sought Canada's assistance in the motion filed on April 3, 2009 before Registrar Flamand, which reads as follows:

MOTION SEEKING THE APPOINTMENT OF A FOREIGN REPRESENTATIVE, THE RECOGNITION OF A FOREIGN ORDER, FOR JUDICIAL ASSISTANCE AND FOR THE APPOINTMENT OF AN INTERIM RECEIVER (Sections 46(1) and 267 and *seq.* of the *Bankruptcy and Insolvency Act*, R.S.C. (1985), c. B-3).

1. By the present Motion, Petitioners Nigel John Hamilton-Smith and Peter Nicholas Wastell, licensed insolvency practitioners and partners at Vantis Business Recovery Services (the "Joint Receivers-Managers") are seeking the following reliefs:

a) a recognition of the Receivership Order (as defined in paragraph 8 below) pursuant to Sections 267 and *seq.* of Part XIII, *International Insolvencies*, of the *Bankruptcy and Insolvency Act*, R.S.C., 1985, c. B-3 (the "BIA");

b) a recognition that their status of Joint Receivers-Managers of Stanford International Bank Limited (in receivership) and Stanford Trust Company Limited (in receivership) (collectively, the "Debtors" in Antigua and Barbuda under the Receivership Order is similar to the status of a "foreign representative" of an estate in a "foreign proceeding" pursuant to section 267 and *seq.* of the BIA;

c) a recognition of their powers as Joint Receivers-Managers through the issuance of an order providing the following:

i. the turnover to the Joint Receivers-Managers of any property, undertakings and other assets of the Debtors; and

ii. granting the Joint Receivers-Managers the power to take immediate steps to stabilize the operations of the Debtors;

d) any further relief necessary to assist the Joint Receivers-Managers in the due carriage of their duties under the Receivership Order and under Sections 267 and *seq.* of the BIA;

[7] The Court sees in this a judicial admission that Vantis' simple power as Receiver-Manager, under Section 267 of the *Bankruptcy and Insolvency Act*, qualified as a proceeding commenced outside Canada and that with this, Vantis recognized that the statutory recourse provided in the Antiguan legislation on international corporations giving a receiver the power to protect the assets of a corporation was a proceeding relating to insolvency and bankruptcy.

[8] It is surprising to see that Vantis [argues], and even more shocking to note that it maintains still today the position that Janvey does not qualify, while it pleaded the opposite in its filings before Registrar Flamand, and moreover, that it does not waive this order.

[9] Vantis' position before Registrar Flamand conforms with case law which held that appointing receiverships pursuant to a securities law is equivalent to foreign proceedings relating to bankruptcy and insolvency and dealing with the collective interests of creditors generally.

[10] Janvey, under the terms of the order appointing him, had control over the property --the assets of the entire Stanford Group--, had to ensure that all these assets be frozen, and was vested with all the powers of the company as he had to protect and recover the assets, and ensure the suspension of the rights of all creditors, his powers being of the nature of those exercised by a trustee in bankruptcy or a liquidator in insolvency and bankruptcy, interim receivership or restructuring.

[11] The order suspending all proceedings relating to creditors is a fine example of a power conferred to a trustee or a liquidator.

[12] The Court has no hesitation in concluding that these proceedings involving Janvey are proceedings instituted abroad which conform to the definition provided in Section 267.

The Real and Substantial Connection

[13] Vantis submits that the important and real connection is in Antigua. The Court has declared Vantis' motion inadmissible.

[14] SIB is a foreign bank under Antiguan law and cannot receive deposits from citizens of Antigua. It is an offshore bank where the deposits are not held in the Bank's vaults in Antigua, but rather transferred to banks located outside of the territory of Antigua.

[15] Americans hold over 37% of the value of certificates of deposit, an amount greater than that held by nationals of all other countries.

[16] Vantis, in its Notes and Authorities, recognizes that SIB is part of a worldwide network of Stanford companies.

[17] Allen Stanford, President and shareholder of all the corporations of the Stanford Group holds both American and Antiguan citizenship, and is currently incarcerated in the United States.

[18] The FSRC is the applicant in Antigua who sought the appointment of the receivership, and thereafter, that of the liquidator.

[19] The Court notes however, that the proceedings are not signed by Leroy King, also accused in the United States as a Stanford accomplice in a complaint for money laundering.

[20] All of the parties present before the Court recognize the insolvency of the entire group, including SIB, and also recognize that SIB has clients in 113 different countries.

[21] The largest number of investor client creditors are from outside Antigua.

[22] Real property assets in Antigua have been expropriated by the government of Antigua without compensation and this, in anticipation of the negative impact of the US receivership on the Antiguan economy, according to the resolution of the Antiguan government.

[23] In its Notes and Authorities, Vantis recognizes that the key corporations of the Stanford Group are the following:

- Stanford Group Company (SGC), a brokerage house registered in the United States and broker dealer;
- Stanford Financial Group Global Management (SFGGML) and Stanford Global Advisory LLC, two corporations of the American Virgin Islands that billed large sums to SIB, officially for advisory services.

[24] In its Notes and Authorities regarding assets, Vantis describes the following:

Those assets which have been located to date are described in Hamilton-Smith Second Affidavit, paragraphs 67 to 73. The values put on some of the investments may prove not to be accurate and assets have not been included where the financial institution holding them has refused thus far to provide current balances. They include:

- i. cash balances (in Canada (\$19 million), Antigua (\$10 million) and the US (\$9 million)) ("**Tier 1 assets**");
- ii. funds invested through international financial institutions (in Switzerland (\$117 million), the UK (\$105 million) and the US (\$12 million)) ("**Tier 2 assets**"); and
- iii. other assets including equity investments, receivables, real estate in Antigua and claims against Stanford and other Stanford entities, including potential tracing claims on assets purchased by Stanford and Stanford entities, for example, investments made by Stanford using the \$1.6 billion "loaned" to him by SIB ("**Tier 3 assets**").

[25] The High Court of Justice, Chancery Division, (Companies Court) recognized that the Stanford Group is responsible for a *Ponzi* style fraud.

[26] All of the fraudulent operations linked together all of the corporations of the Stanford Group.

[27] A substantial portion of the operations of the Stanford group is in Houston. The Stanford Group performed services for \$ 268 million for SIB while SIB had \$ 3 million of salary expenses, which shows the scope of services performed outside of Antigua and shows that SIB is but a screen for tax purposes.

[28] As for the Stanford Trust, it had three times more employees in the United States than in Antigua.

[29] In its decision in *Holt Cargo*¹, the Supreme Court writes:

93 The appellants' strongest argument is that the dispute is but weakly connected to Canada. This Court, however, in *Antares Shipping Corp. v. The Ship "Capricorn"*, [1977] 2 S.C.R. 422, recognized that lack of substantive connections to any particular jurisdiction, including its home port, is a feature of ships engaged in international maritime commerce. In that case, the Court refused to stay proceedings in rem in which three Liberian corporations contested in Canada the ownership of a Liberian registered ship. Liberia, of course, is a flag of convenience. Ships registered there may never have occasion to "go home". In *Antares Shipping*, the only connection to Canada was that the ship was arrested at the suit of one of the Liberian corporations while it was in Canadian waters. Ritchie J., speaking for the majority, recognized that ocean-going ships present a particular problem. (...)

[30] One can draw a parallel here and say that offshore banks perhaps present a particular problem.

(...) At p. 453, he adopted the following observations of Lord Simon, dissenting, in *The Atlantic Star*, [1973] 2 All E.R. 175 (H.L.), at p. 197:

Ships are elusive. (...)

[31] The Court adds: just as money today and the transactions which can easily transit by electronic means.

The power to arrest in any port and found thereon an action in rem is increasingly required with the custom of ships being owned singly and sailing under flags of convenience. A large tanker may by negligent navigation cause extensive damage to beaches or to other shipping: she

¹ *Holt Cargo Systems Inc. v. ABC Container Line N.V. (Trustees of)*, [2001] 3 S.C.R. 907.

will take very good care to keep out of the ports of the 'convenient' forum. If the aggrieved party manages to arrest her elsewhere, it will be said forcibly (as the appellants say here): 'The defendant has no sort of connection with the forum except that she was arrested within its jurisdiction.' But that will frequently be the only way of securing justice.

Belgium is not a "flag of convenience" like Liberia but the principle remains the same. The "real and substantial connection" test must take into account the special "lifestyle" of ocean-going freighters.

[32] The Court paraphrases this last sentence in the statement: the real and important connection must take into account the particular lifestyle of offshore banks.

[33] The Court sees therein an important parallel with this matter where SIB, an offshore bank, is used only as a screen and an instrument for fraudulent, enormous operations involving many billions of dollars, and which are linked to all of the Stanford Group whose victims are spread throughout more than 113 countries.

[34] As such, the Court, to paraphrase the Supreme Court, is of the view that the "lifestyle" of this offshore bank is directly linked to the Stanford Group headquarters in Houston, and that SIB in Antigua is but a spoke in this affair.

[35] The Court is of the view that for *Ponzi* style frauds, the real and important connection is situated at the place of business of the nerve center or as one could call it, the center of the spider web of this fraud.

[36] The importance of the nerve center in Houston is beyond dispute. The most equitable solution is that the Court recognize the receivership and Janvey, the United States Receiver, as foreign representative.

CONSOLIDATION

[37] Vantis, on behalf of the creditors, submits that only the Antiguan liquidator could better protect Canadian creditors as there would be no dilution of the sums recovered considering that there is only the SIB file to manage and liquidate, whereas Janvey has already announced that he wanted to manage all the receiverships and that he could act at a lower cost and that there could be a dilution in the distributions.

[38] The Court recalls the *Norbourg*² affair where the Court of Appeal, despite the fraud of many interrelated companies which were administrated by a single receiver, ordered a different distribution for certain funds. Consolidation therefore is not an obstacle to naming Janvey as foreign representative.

² *Fonds Norbourg Placements équilibrés (Liquidation of)*, 2007 QCCA 1076.

[39] It would always be easier subsequently to distinguish between different assets, especially considering that Janvey requests that a Canadian interim receiver be named.

[40] At this stage, there is no danger of a single receiver acting on the entirety of the assets. In time, the Court will rule any arguments opposing such measures; the argument regarding consolidation is premature.

THE AMF

[41] The AMF intervened in this case and asks the Court to add a conclusion whereby the Court could rule at a later date on the distribution, a point with which Janvey is in agreement.

[42] To satisfy the Court and the request of the AMF, to which Janvey is in agreement, notice shall be given to the AMF of any proceedings in Canada with at least fifteen days prior notice, and of the distribution of assets and of their liquidation, including copies of all relevant reports.

The Flamand Order

[43] The order of Registrar Flamand no longer serves any purpose and is to be quashed for the following reasons:

- 1) The Court has dismissed Vantis' motion;
- 2) The order was issued at a time when Vantis acted as Receiver and not as liquidator, and his mandate of Receiver is now terminated;
- 3) Vantis is not a trustee under the BIA and thus does not have the right to act as interim receiver in Canada.
- 4) On all the other grounds for which Vantis' motion was declared inadmissible.

FOR THESE REASONS, THE COURT:

[44] **GRANTS** in part the Petitioner's Motion;

[45] **RESCINDS** and **REVOKES** the Order dated April 6, 2009 in this case;

[46] **ORDERS** the Antiguan Receivers to render a full written accounting of their administration of the property, assets, information and records, located in Canada, of the Debtors, Respondents and all entities they own or control (the "**Stanford Entities' Property**"), within a delay of 10 days from the date of judgment to intervene on this Motion, to remit to Ernst & Young within such delay any and all of the Stanford Entities'

Property which was in their possession or control since February 26, 2009 and to restore it in the condition in which they received it;

[47] **ORDERS AND DECLARES** that the U.S. Receivership Proceedings are hereby recognized as a "foreign proceeding" for the purpose of Sections 267 and following of the BIA and that this proceeding is to be constituted as an ancillary proceeding to the U.S. Receivership Proceedings;

[48] **ORDERS AND DECLARES** that the Petitioner is hereby recognized as a foreign representative of the Debtors, Respondents and of all entities they own or control pursuant to Sections 267 and following of the BIA;

[49] **RECOGNIZES** the appointment of the Petitioner as Receiver of the Debtors, Respondents and all entities they own or control pursuant to the terms of the Receivership Orders;

[50] **ORDERS** that pursuant to Sections 267 and following of the BIA, Ernst & Young Inc. is hereby appointed Interim Receiver (the "Interim Receiver"), without security, of all of the current and future assets, undertakings and properties of every nature and kind whatsoever, and wherever located in Canada including all proceeds thereof, of the Debtors, Respondents and of all entities they own or control (the "Property") to conduct his proceedings and actions as ancillary to the U.S. Receivership Proceedings;

[51] **ORDERS** that the Interim Receiver shall, in the exercise of its powers provided for herein, consult with the U.S. Receiver to ensure this proceeding is co-ordinated to the fullest extent possible with, and as a proceeding ancillary to, the U.S. Receivership Proceedings;

[52] **ORDERS** that the Interim Receiver is hereby empowered and authorized, but not obligated, to act at once in respect of the Property in coordination with the Petitioner and, without in any way limiting the generality of the foregoing, the Interim Receiver is hereby expressly empowered and authorized to do any of the following in Canada having due regard for the consultation obligations and the relationship of these proceedings to the U.S. Receivership Proceedings:

- a) to take possession and control of the Property and any and all proceeds, receipts and disbursements arising out of or from the Property;
- b) to receive, preserve, protect and maintain control of the Property, or any part or parts thereof, including, but not limited to, the changing of locks and security codes, the relocating of Property to safeguard it, the engaging of independent security personnel, the taking of physical inventories and the placement of such insurance coverage as may be necessary or desirable;

- c) to engage consultants, appraisers, agents, experts, auditors, accountants, managers, counsel and such other persons from time to time and on whatever basis, including on a temporary basis, to assist with the exercise of the powers and duties conferred by this Order;
- d) to receive and collect all monies and accounts now owed or hereafter owing to the Respondents and, to exercise all remedies of the Respondents in collecting such monies, including, without limitation, to enforce any security held by the Respondents;
- e) with approval of this Honourable Court, to settle, extend or compromise any indebtedness owing to the Respondents;
- f) to execute, assign, issue and endorse documents of whatever nature in respect of any of the Property, whether in the Interim Receiver's name or in the name and on behalf of the Respondents, for any purpose pursuant to this Order;
- g) with the approval of this Honourable Court, to initiate, prosecute and continue the prosecution of any and all proceedings and to defend all proceedings now pending or hereafter instituted with respect to the Respondents, the Property or the Interim Receiver, and to settle or compromise any such proceedings. The authority hereby conveyed shall extend to such appeals or applications for judicial review in respect of any order or judgment pronounced in any such proceeding;
- h) with the approval of this Honourable Court, to market any or all of the Property, including advertising and soliciting offers in respect of the Property or any part or parts thereof and negotiating such terms and conditions of sale as the Interim Receiver in its discretion may deem appropriate;
- i) with the approval of this Honourable Court, to sell, convey, transfer, lease or assign the Property or any part or parts thereof;
- j) to apply (with adequate notice to or joinder by the Petitioner) for any vesting order or other orders necessary to convey the Property or any part or parts thereof to a purchaser or purchasers thereof or any other person or entity entitled thereto, free and clear of any liens or encumbrances affecting such Property;
- k) to report to, meet with and discuss with such affected Persons (as defined below) as the Interim Receiver deems appropriate on all matters relating to the Property and the receivership, and to share

information, subject to such terms as to confidentiality as the Interim Receiver deems advisable having due regard for the relationship with the U.S. Receivership Proceedings;

- l) to register a copy of this Order and any other Orders in respect of the Property against title to any of the Property;
- m) to apply for any permits, licences, approvals or permissions as may be required by any governmental authority and any renewals thereof for and on behalf of and, if thought desirable by the Interim Receiver, in the name of the Respondents;
- n) with the approval of this Honourable Court, to enter into agreements with any trustee in bankruptcy appointed in respect of the Respondents, including, without limiting the generality of the foregoing, the ability to enter into occupation agreements for any property that may be owned or leased by the Respondents;
- o) with the approval of this Honourable Court, to exercise any shareholder, partnership, joint venture or other rights which the Respondents may have; and
- p) to take any steps reasonably incidental to the exercise of these powers.
- q) and in each case where the Interim Receiver takes any such actions or steps, it shall be exclusively authorized and empowered to do so, to the exclusion of the Respondents and the Antiguan Receivers.

[53] **ORDERS** that the Interim Receiver shall not, without further order of this Court, manage or operate the business of the Respondents and shall not be deemed to have done so by virtue of the granting of this Order;

[54] **ORDERS** that (i) the Respondents, (ii) all the legal entity Respondents' current and former directors, officers, employees, agents, accountants, legal counsel and shareholders, and all other persons acting on their instructions or behalf (excepting the Petitioner), and (iii) all other individuals, firms, corporations, governmental bodies or agencies, or other entities having notice of this Order (excepting the Petitioner), including landlords of premises leased to any of the Respondents in Canada (all of the foregoing, collectively, being "Persons" and each being a "Person") shall forthwith advise the Interim Receiver of the existence of any Property in such Person's possession or control, shall grant immediate and continued access to the Property to the Interim Receiver, and shall deliver all such Property to the Interim Receiver upon the Interim Receiver's request;

[55] **ORDERS** that all Persons (excepting the Petitioner) shall forthwith advise the Interim Receiver of the existence of any books, documents, securities, contracts, orders, corporate and accounting records located in Canada, and any other papers, records and information of any kind related to the business or affairs of the Respondents in Canada and of any persona) computers, servers, computer programs, computer tapes, computer disks, or other data storage media located in Canada and containing any such information (the foregoing, collectively, the "Records") in that Person's possession or control, and shall provide to the Interim Receiver or permit the Interim Receiver to make, retain and take away copies thereof and grant to the Interim Receiver unfettered access to and use of accounting, computer, software and physical facilities relating thereto, provided however that nothing in this paragraph 12 or in paragraph 13 of this Order shall require the delivery of Records, or the granting of access to Records, which may not be disclosed or provided to the Interim Receiver due to the privilege attaching to solicitor-client communication or due to statutory provisions prohibiting such disclosure;

[56] **ORDERS** that if any Records are stored or otherwise contained on a computer or other electronic system of information storage in Canada, whether by independent service provider or otherwise, all Persons in possession or control of such Records shall forthwith give unfettered access to the Interim Receiver for the purpose of allowing the Interim Receiver to recover and fully copy all of the information contained therein whether by way of printing the information onto paper or making copies of computer disks or such other manner of retrieving and copying the information as the Interim Receiver in its discretion deems expedient, and shall not alter, erase or destroy any Records without the prior written consent of the Interim Receiver. Further, for the purposes of this paragraph, all Persons in Canada shall provide the Interim Receiver with all such assistance in gaining immediate access to the information in the Records as the Interim Receiver may in its discretion require including providing the Interim Receiver with instructions on the use of any computer or other system and providing the Interim Receiver with any and all access codes, account names and account numbers that may be required to gain access to the information;

[57] **ORDERS** that no proceeding or enforcement process in any court or tribunal (each, a "Proceeding"), shall be commenced or continued against the Interim Receiver except with the written consent of the Interim Receiver or with leave of this Honourable Court;

[58] **ORDERS** that no Proceeding against or in respect of the Respondents or the Property shall be commenced or continued except with the written consent of the Interim Receiver or with leave of this Court and any and all Proceedings currently under way against or in respect of the Respondents or the Property are hereby stayed and suspended pending further Order of this Honourable Court;

[59] **ORDERS** that all rights and remedies against the Respondents, the Interim Receiver, or affecting the Property, are hereby stayed and suspended except with the

written consent of the Interim Receiver or leave of this Court, provided however that nothing in this paragraph shall (i) empower the Interim Receiver or the Respondents to carry on any business which the Respondents are not lawfully entitled to carry on, (ii) exempt the Interim Receiver or the Respondents from compliance with statutory or regulatory provisions relating to health, safety or the environment, (iii) prevent the filing of any registration to preserve or perfect a security interest, or (iv) prevent the registration of a claim for lien;

[60] **ORDERS** that no Person shall discontinue, fail to honour, alter, interfere with, repudiate, terminate or cease to perform any right, renewal right, contract, agreement, licence or permit in favour of or held by the Respondents, without written consent of the Interim Receiver or leave of this Court;

[61] **ORDERS** that all Persons having oral or written agreements with the Respondents or statutory or regulatory mandates for the supply of goods and/or services, including without limitation, all computer software, communication and other data services, centralized banking services, payroll services, insurance, transportation services, utility or other services to the Respondents are hereby restrained until further Order of this Court from discontinuing, altering, interfering with or terminating the supply of such goods or services as may be required by the Interim Receiver, and that the Interim Receiver shall be entitled to the continued use of the Respondents' current telephone numbers, facsimile numbers, internet addresses and domain names, provided in each case that the normal prices or charges for all such goods or services received after the date of this Order are paid by the Interim Receiver in accordance with normal payment practices of the Respondents or such other practices as may be agreed upon by the supplier or service provider and the Interim Receiver, or as may be ordered by this Court;

[62] **ORDERS** that, subject to the following paragraph, all funds, monies, cheques, instruments, and other forms of payments received or collected by the Interim Receiver from and after the making of this Order from any source whatsoever in Canada, including without limitation the sale of all or any of the Property and the collection of any accounts receivable in whole or in part, whether in existence on the date of this Order or hereafter coming into existence, shall be deposited into one or more new accounts to be opened by the Interim Receiver (the "Post Receivership Accounts") and the monies standing to the credit of such Post Receivership Accounts from time to time, net of any disbursements provided for herein, shall be held by the Interim Receiver and shall only be paid or disbursed by the Interim Receiver with the approval of this Honourable Court;

[63] **ORDERS** that the Petitioner may repatriate assets to the United States pursuant to paragraph 5 of the Receivership Order dated February 16, 2009, but only with the prior authorization of this Court or another Province in Canada having jurisdiction over the assets and after a notice of 15 days to the AMF.

[64] **ORDERS** that the Interim Receiver shall incur no liability or obligation as a result of its appointment or the carrying out the provisions of this Order, save and except for any gross negligence or wilful misconduct on its part;

[65] **ORDERS** that any expenditure or liability which shall properly be made or incurred by the Interim Receiver, including the fees of the Interim Receiver and the fees and disbursements of its legal counsel, incurred at the standard rates and charges of the Interim Receiver and its counsel, shall, if approved in advance by this Court, be allowed to it in passing its accounts and shall form a first charge on the Property in priority to all security interests, trusts, liens, charges and encumbrances, statutory or otherwise, in favour of any Person (the "Receiver's Charge"), provided however, that the Receiver's Charge shall not be enforced without leave of Court;

[66] **ORDERS** the Interim Receiver and its legal counsel shall pass their accounts from time to time, and for this purpose the accounts of the Interim Receiver and its legal counsel are hereby referred to a judge of the Commercial Chamber of the Quebec Superior Court, District of Montreal, with notice and right to appear given to the Petitioner in connection with any motion or other request for approval of same;

[67] **ORDERS** that the Interim Receiver may from time to time apply to this Honourable Court for advice and directions in the discharge of its powers and duties hereunder; provided, however, that in all such applications, and all actions, and other proceedings and actions of the Receiver and hearings and requests before this Honourable Court, the Petitioner will be granted prior notice and provided with an opportunity to be heard and furthermore that the Petitioner will have the right to bring actions in this Honourable Court to enforce the provisions and limitations hereof;

[68] **ORDERS** that nothing in this Order shall prevent the Interim Receiver from acting as a trustee in bankruptcy of the Respondents in Canada;

[69] **ORDERS** that this Order and any other orders in these proceedings shall have full force and effect in all provinces and territories in Canada as against all persons, firms, corporations, governmental, municipal or regulatory authorities or other entities against whom it may otherwise be enforceable;

[70] **THAT THIS COURT REQUEST** the aid and recognition of any and all courts, tribunals regulatory or administrative bodies in Canada, the United States or in any other foreign jurisdiction, to give effect to this Order and to assist the Interim Receiver and its agents in carrying out the terms of this Order. All courts, tribunals, regulatory and administrative bodies are hereby respectfully requested to make such orders and to provide such assistance to the Interim Receiver, as an officer of this Court, as may be necessary or desirable to give effect to this Order or to assist the Interim Receiver and its agents in carrying out the terms of this Order, all giving due regard to the actions and provisions herein being ancillary to the U.S. Receivership Proceedings.

[71] **ORDERS** that the Interim Receiver be at liberty and is hereby authorized and empowered to apply to any court, tribunal, regulatory or administrative body, wherever located in Canada, for the recognition of this Order as opening a receivership ancillary to the U.S. Receivership Proceeding and for assistance in carrying out the terms of this Order;

[72] **ORDERS** that Petitioner shall have his costs of this motion, up to and including entry and service of this Order to be paid by the Antiguan Receivers at such time as this Court may determine;

[73] **ORDERS** that any interested party may apply to this Court to vary or amend this Order on not less than ten (10) days' notice to the Interim Receiver and to any other party likely to be affected by the order sought or upon such other notice, if any, as this Court may order;

[74] **ORDERS** the provisional execution of the judgment to intervene herein, notwithstanding appeal and without the necessity of furnishing any security;

[75] **THE WHOLE WITH COSTS** against the Antiguan Receivers.

[stamp: TRUE COPY
[signature] Clerk of the Court

[signature]

CLAUDE AUCLAIR, J.S.C.

Atty. George R. Hendy
Atty. Martin Desrosiers
Atty. Nicholas Nadeau-Ouellette
Counsel for the Petitioner

Atty. Julie Himo
Atty. Philippe Giraldeau
Counsel for the Antiguan Liquidators

Atty. Émilie Robert
Counsel for the Intervener

Date of the hearing : August 26, 27, 28 2009. Supplementary arguments: September 2, 4 and 8, 2009.

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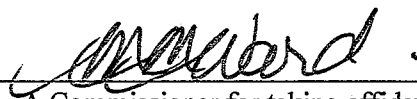
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THIS IS EXHIBIT "EE" REFERRED TO IN
THE AFFIDAVIT OF PETER R. WILTSHIRE
SWORN BEFORE ME THIS ^{28th} DAY
OF NOVEMBER, 2014



A Commissioner for taking affidavits

Subject: FW: Updated Financial Institutions Contact Chart
Attachments: Financial Institutions Chart April.doc; DVComparison_STANFORD ORIGINAL-#22699771 v2 - STANFORD CORRESPONDENCE RE INVESTMENTS.doc; STANFORD CORRESPONDENCE RE INVESTMENTS_v2.DOC; SPREADSHEET 2 OF INVESTMENTS RECEIVED 26209_v1.XLS; STANFORD - CONTACT LIST FINANCIAL INSTITUTIONS_v2.DOC

From: O'Connor, William

Sent: 22 April 2009 2:56 PM

To: WILTSHIRE, Peter </O=EXCHANGE/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=PRW>; HICKMOTT, Robert </O=EXCHANGE/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=RWH>; ALDRED, Duncan </O=EXCHANGE/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=PDA>; Rees, Rachel </O=EXCHANGE/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=RF>; Hennis, Daniel </O=EXCHANGE/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=DAHE84770534>; Madsen, Iben </O=EXCHANGE/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=IBMA91979525>

Subject: Updated spreadsheets and contact list

All,

Please find attached the updated spreadsheet and record of correspondence with third parties. I have also included a redline of the record of correspondence with third parties, so you can see what contact we have had since my last update.

I also include an updated contact list (courtesy of Iben).

Will.

Will O'Connor

Trainee Solicitor

CMS Cameron McKenna LLP

william.oconnor@cms-cmck.com

+44 (0)20 7367 2581

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STANFORD - FINANCIAL INSTITUTIONS CONTACT LIST

Name ACCOUNTS	Address	Contact Name, e-mail address and fax number	Lawyer's or Notary's name and office
HSBC Bank Panama S.A.	Centro de Atención HSBC Premier, Edificio Plaza HSBC, mezzanine, Avenida Aquilino de la Guardia y Calle 47 Este, Marbella, Ciudad de Panamá, PANAMA	John Roy, johnroy@hsbc.com Phone: 0207 992 1098 Fax: 0207 991 4379 Richard Whitehouse, richard.whitehouse@hsbc.com Sue Millar, sue.millar@shlegal.com Phone: 02078092329 Fax: 02070038382	Sue Millar, Partner Stephenson Harwood One, St Paul's Churchyard London EC4M 8SH
HSBC Bank plc	8 Canada Square, London, E14 5HQ, UK		
Trustmark National Bank	Houston River Oaks Branch, 4200 Westminister - Suite 101, Houston, TX 77027 UNITED STATES OF AMERICA	Jim Outlaw, JOutlaw@trustmark.com Phone: 713 407 1231 Cell: 713 264 1029 Fax: 713 407 1281	
Bank of Houston	P.O. Box 572257, Houston, TX 77257-2257, UNITED STATES OF AMERICA	Jim D. Hamilton, jhamilton@rossbanks.com Phone: 713 626 1200 Fax: 713 623 6014	Jim D. Hamilton Ross, Banks, May, Cron & Cavin, P.C. 2 Riverway Suite 700 Houston, Texas 77056
Comerica Bank	P.O. Box 75000, 201 W Fort Street, 3rd Floor. Detroit, Michigan 48226, UNITED STATES OF AMERICA	Terri L. Renshaw, SVP & General Counsel tlrenshaw@comerica.com Phone: 214 462 4301 Fax: 214 462 4300 Laerte Barros, lbarros@comerica.com	

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Banque Franck, Galland & Cie SA	1 Rue Rudolphe Toepffer, CP3254, CH-1211, Geneva 3, SWITZERLAND		
	200 Park Avenue, New York, New York 10166, UNITED STATES OF AMERICA		
Barclays Capital Inc	PO Box 2005, Jersey City, New Jersey 07303-2005, UNITED STATES OF AMERICA		
Barclays Wealth			
		Christopher Richie, crichie@sessions-law.biz Phone: 214 741 3009 Fax: 214 741 3055	Christopher Richie Sessions, Fishman, Nathan & Isreal LLP 900 Jackson St, Suite 440 Dallas, Texas 75202 UNITED STATES OF AMERICA
Charles Schwab	101 Montgomery Street, San Francisco, CA 94104 UNITED STATES OF AMERICA	Beth Klugman, Beth.Klugman@Schwab.com Phone: 415 636 3019 Fax: 888 368 6355	
		Adrian Schüpbach, Head of Regulatory Risk	
	Lerchenstrasse 18 P.O. Box 8022 Zurich SWITZERLAND	Simon Gerber, Senior Legal Counsel	
RBS Coutts		Fax: +41 (0)43 245 5396	
Credit Suisse	Five Cabot Square	Riccardo Triani, Director (Legal & Compliance)	

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Lehman Brothers	Lehman Brothers In Administration 25 Bank Street, London, E14 5LE ATTN: Query Management Team, 25 th floor	Query Management Team enquiries.lehmanbrothers@uk.pwc.com Melissa Longley Phone: 0207 731 0888 Fax: 0870 051 6903	
Longley Asset Management	44 Clancarty Road, London SW6 3AA	Julian Courtney, Compliance Director jcourtney@marexfinancial.com Phone: 0207 655 6000 Fax: 0207 655 6024	
Marex Financial	Level One, 155 Bishopgate, London, EC2M 3TQ	Dennis A Klejna, Senior VP and Assistant General Counsel dklejna@mfglobal.com Phone: 212 935 3750 Fax: 312 663 7524	
MF Global	440 South LaSalle Street 20 th Floor Chicago, Illinois 60605 UNITED STATES OF AMERICA	Joan Ackerman, Assistant VP Legal & Regulatory Affairs Jackerman@mfglobal.com Phone: 312 548 1212 Fax: 312 902 6612	
Royal Bank of Canada Global Services	77 King St West, 12th Floor, PO Box 7500, Station A, Toronto, Ontario MPW 1P9, CANADA		

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Name	Address	Contact name, email address and fax number	Lawyer or mediator, if applicable
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NOT RELEVANT		Jean Estabrook, Senior Legal Counsel jean.estabrook@tda.com Phone: 416 520 0116	
TD Waterhouse Private Investment Counsel	Ernst & Young Tower, 222 Bay Street, 15th Floor, Toronto, Ontario, M5K 1A2 CANADA	Christopher M. Cutler, CCutler@mcguirewoods.com Phone: 202 857 1706 Fax: 202 828 2977 Robert Plotkin, rplotkin@mcguirewoods.com Kurt E. Wolfe, kwolfe@mcguirewoods.com	Robert Plotkin McGuireWoods LLP Washington Square 1050 Connecticut Avenue N.W. Suite 1200 Washington, D.C. 20036-5317 UNITED STATES OF AMERICA
Toronto Dominion Bank	Yonge Corporate Centre, 4140 Yonge St., Suite 100, Toronto, Ontario, M2P 2B5 CANADA	Christopher M. Cutler, CCutler@mcguirewoods.com Phone: 202 857 1706 Fax: 202 828 2977 Robert Plotkin, rplotkin@mcguirewoods.com Kurt E. Wolfe, kwolfe@mcguirewoods.com	Robert Plotkin McGuireWoods LLP Washington Square 1050 Connecticut Avenue N.W. Suite 1200 Washington, D.C. 20036-5317 UNITED STATES OF AMERICA
Northern Trust	700 Brickell Avenue, Miami, Florida 33131-2802, UNITED STATES OF AMERICA		

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Pershing LLC	One Pershing Plaza, Jersey City, New Jersey 07399, UNITED STATES OF AMERICA	Alastair Fitzsimons Alastair.Fitzsimons@pershing.co.uk Phone: 0207 864 8990	Alastair Fitzsimons Pershing Limited Capstan House One Clove Crescent East India Dock London E14 2BH
JP Morgan Clearing Corp.	570 Washington Blvd, 12th Floor, Jersey City, New Jersey 07310, UNITED STATES OF AMERICA	Joan Schwarz (New Jersey) Phone: 201 413 2538	
Equity & Debt			
American Samoa Telecom LLC	Tafuna Industrial Park, Pago Pago, Arkansas 69799, UNITED STATES OF AMERICA		
Stronghold Technologies	16801 Addison Road, Suite 310, Addison, Texas 75002, UNITED STATES OF AMERICA		
NO LONGER RELEVANT (see American Leisure Group Limited)	2460 Sand Lake Road Orlando, Florida 32809, UNITED STATES OF AMERICA		
American Leisure Holdings Inc (formerly Vici Marketing Group)	1111 Bagby Street, Suite 4500, Houston, Texas 77002, UNITED STATES OF AMERICA	Barry Johnson, Chief Financial Officer bjohnson@acominvestments.com Phone: 202/454-1135 Fax: 202/905-0065	
All correspondence with Acon entities to be addressed to Gleanly Gottlieb (see ACON)			

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Name	Address	Contact name, email address and fax number	lawyers or managers (only, if applicable)
Investments (US below) ACON Boston Partners I	1433 Connecticut Avenue, NW Suite 700 Washington, DC 20036 UNITED STATES OF AMERICA		
All correspondence with ACON entities to be addressed to Cleary Gottlieb (see ACON Investments (US below))	1433 Connecticut Avenue, NW Suite 700 Washington, DC 20036 UNITED STATES OF AMERICA	Barry Johnson, Chief Financial Officer bjohnson@aconinvestments.com Phone: 202 454 1135 Fax: 202 905 0065	
ACON Boston Partners II	1433 Connecticut Avenue, NW Suite 700 Washington, DC 20036 UNITED STATES OF AMERICA	Barry Johnson, Chief Financial Officer bjohnson@aconinvestments.com Phone: 202 454 1135 Fax: 202 905 0065	
All correspondence with ACON entities to be addressed to Cleary Gottlieb (see ACON Investments (US below))	1433 Connecticut Avenue, NW Suite 700 Washington, DC 20036 UNITED STATES OF AMERICA	Barry Johnson, Chief Financial Officer bjohnson@aconinvestments.com Phone: 202 454 1135 Fax: 202 905 0065	
ACON Boston Partners III	1433 Connecticut Avenue, NW Suite 700 Washington, DC 20036 UNITED STATES OF AMERICA	Barry Johnson, Chief Financial Officer bjohnson@aconinvestments.com Phone: 202 454 1135 Fax: 202 905 0065	
All correspondence with ACON entities to be addressed to Cleary Gottlieb (see ACON Investments (US below))	1433 Connecticut Avenue, NW Suite 700 Washington, DC 20036 UNITED STATES OF AMERICA	Barry Johnson, Chief Financial Officer bjohnson@aconinvestments.com Phone: 202 454 1135 Fax: 202 905 0065	
ACON Project Village	1433 Connecticut Avenue, NW Suite 700 Washington, DC 20036 UNITED STATES OF AMERICA	Barry Johnson, Chief Financial Officer bjohnson@aconinvestments.com Phone: 202 454 1135 Fax: 202 905 0065	
ACON Investments LLC (Washington Nationals)	1433 Connecticut Avenue, NW Suite 700 Washington, DC 20036 UNITED STATES OF AMERICA	Barry Johnson, Chief Financial Officer bjohnson@aconinvestments.com Phone: 202 454 1135 Fax: 202 905 0065	

STANFORD -- FINANCIAL INSTITUTIONS CONTACT LIST

Name	Address	Contact name, e-mail address and telephone number	Lawyer's name and/or address, if applicable
NB: all correspondence with ALL ACON entities to be with Cleary Gottlieb	1433 Connecticut Avenue, NW Suite 700 Washington, DC 20036 UNITED STATES OF AMERICA	Francesca L. Odell floodell@cgsh.com Phone: 212 225 2530 Fax: 212 225 3999	Cleary Gottlieb Steen & Hamilton LLP One Liberty Plaza New York, NY 10006-1470 UNITED STATES OF AMERICA
ACON Investments LLC	1133 Connecticut Avenue, NW Suite 700 Washington, DC 20036 UNITED STATES OF AMERICA		
No longer relevant SEE ACON INVESTMENTS LLC (WASHINGTON NATIONALS) Washington Nationals Baseball Club, LLC	National's Park 1500 South Capitol Street SE Washington DC 20003-1507 UNITED STATES OF AMERICA	Margaret Makenie MMakenie@leisure.com Phone: 301 692-2265 Fax: 301 692-2642	Margaret Makenie Leisure Enterprises 2000 Tower Oaks Boulevard Eighth Floor Rockville, Maryland 20852 UNITED STATES OF AMERICA
American Leisure Group Ltd and American Leisure Holdings Inc	47107 Highway 27 Davenport Florida 33897 UNITED STATES OF AMERICA	Omar Jimenez, Chief Executive Officer omarjimenez@americanleisureholdings.com Phone: 407 251 2240 Fax: 407 251 8455	
DGSE Companies	11311 Reeder Road, Dallas, Texas 75229, UNITED STATES OF AMERICA	Gregory Barbee, GBarbee@sheppardmullin.com Phone: 213 617 4102 Fax: 213 443 2909	Gregory Barbee Sheppard Mullin Richter & Hampton LLP 333 South Hope Street, 48 th Floor Los Angeles, California 90071-1448 UNITED STATES OF AMERICA

STANFORD - FINANCIAL INSTITUTIONS CONTACT LIST

Name	Address	Contact name, email address and fax number	Lawyers of interest and/or, if applicable
Elandia Inc	133 Sevilla Avenue, Coral Gables, Florida 33134, UNITED STATES OF AMERICA REGISTERED ADDRESS: 3749 Gulf Breeze Parkway Ste D Gulf Bridge Florida 32563-5714 UNITED STATES OF AMERICA		
Forefront Holdings (formerly Datrek Miller) and Forefront Holdings	836 Bill Jones Industrial Drive, Springfield, Tennessee 37172, UNITED STATES OF AMERICA REGISTERED ADDRESS: 3811 Turtle Creek Boulevard Ste 750 Dallas Texas 75219-4535 UNITED STATES OF AMERICA		
Go Antiques Inc	133 Sevilla Avenue, Coral Gables, Florida 33134, UNITED STATES OF AMERICA		
Health Systems Solutions Inc	605 North Reo Street, Suite 500 Tampa, Florida 33609, UNITED STATES OF AMERICA REGISTERED ADDRESS: 325 Buttonwood Street, Jessup, Pennsylvania 18124-1215, UNITED STATES OF AMERICA	Michael Levine, CFO and Executive VP michael.levine@HSSGLOBAL.COM Phone: 212.798.9405 Fax: 212.214.0348	

STANFORD – FINANCIAL INSTITUTIONS CONTACT LIST

Name	Address	Contact Name, e-mail address and telephone	University managers and staff
	489 Fifth Avenue, 3rd Floor New York, NY 10017 UNITED STATES OF AMERICA		
Hisense Broadband Multimedia	No.8 Ronggong Rd., Ronggui, Shunde, CHINA		
	5980 Horton Street, Suite 400, Emeryville, California 94608, UNITED STATES OF AMERICA	David Fineman, President & Chairman DFineman@kinemed.com Phone: (510) 655-6525 ext. 102 Fax: (510) 655-6506 Cell: (510) 301-4888	James E. Burden KineMed, Inc. 5980 Horton Street, Suite 400 Emeryville California 94608 UNITED STATES OF AMERICA
KineMed Inc		James Burden, Counsel, JBurden@kinemed.com Ross Barrett, ross@vcecapital.com Phone: 318 746 8430	Curtis R. Hearn Jones Walker LLP 201 St. Charles Avenue New Orleans Louisiana, 70170 – 5100 UNITED STATES OF AMERICA
Louisiana Ventures	820 Garrett Drive, Bossier City, Louisiana 71111-2500, UNITED STATES OF AMERICA 12212 Technology Boulevard, Austin, Texas 78727, UNITED STATES OF AMERICA	Deon Park, deon@vcecapital.com Curt Hearn, chearn@joneswalker.com Phone: 504 582 8308 Fax: 504 589 8308	
Luminex Corporation			
Reignmaker Communications	120 Interstate North Parkway, Suite 410 Atlanta, Georgia 30339, UNITED STATES OF AMERICA		

STANFORD – FINANCIAL INSTITUTIONS CONTACT LIST

Name	Address	Contact name, email address and fax number	Lawyer or name of outside firm, if applicable
	REGISTERED ADDRESS: 2839 Paces Ferry Road SE Ste 750 Atlanta Georgia 30339-5763 UNITED STATES OF AMERICA		
Senesco Technologies Inc	303 George Street, Suite 420, New Brunswick, New Jersey 08901, UNITED STATES OF AMERICA		
Tree Top Kinds Inc	264 South La Cienega Boulevard, Suite 1010, Beverly Hills, California 90211, UNITED STATES OF AMERICA		
USFR Media Group	11150 Equity Drive, Houston, Texas 77041, UNITED STATES OF AMERICA	Donna White, Corporate Secretary DWwhite@USFRMedia.com Phone: 713 403 6900 Fax: 713 403 6998	
		Val Williams, Legal Assistant VWilliams@ldry.com Phone: 713 386 7014 Fax: 713 386 7070	Steven A. Finklea, CCTS – Vice President U.S. Bank Corporate Trust Services 5555 San Felipe Street, Se. 1150 Houston, Texas 77056 UNITED STATES OF AMERICA
Landry's Restaurants Inc	1510 West Loop South, Houston, Texas 77027, UNITED STATES OF AMERICA	Steven A. Finklea, steven.finklea@usbank.com Phone: 713 235 9208 Fax: 713 235 9213	

STANFORD – FINANCIAL INSTITUTIONS CONTACT LIST

Name	Address	Contact name, email address and telephone number	Law/sector, manager, sector, if applicable
Coutts General Partner (Cayman) IV Limited general partner of Coutts Private Equity Limited Partnership II ("CPELP II")	PO Box 707, G/F, 1446 West Bay Road, Grand Cayman KY-1107, CAYMAN ISLANDS, British West Indies	Paul Hogg, Manager, RBS Coutts (Cayman) Limited Paul.Hogg@rbscoutts.com Phone: +1 345 914 1322 Fax: +1 345 945 4799	Simon Gerber, Senior Legal Counsel, RBS Coutts Switzerland RBS Coutts Bank Ltd Lerchenstrasse 18 PO Box / CH-8022 Zürich SWITZERLAND
RBS Coutts (Cayman) Limited is registered office of CPELP II	RBS Coutts (Cayman) Limited, PO Box 707, 1446 West Bay Road, Grand Cayman KY-1107, Cayman Islands	Simon Gerber, Senior Legal Counsel, RBS Coutts Switzerland simon.gerber@rbscoutts.com Phone +41 (0)43 245 52 50 Fax +41 (0)43 245 32 50	
RBS Coutts Switzerland acted as introducer to the limited partnerships	RBS Coutts Bank Ltd Lerchenstrasse 18 PO Box / CH-8022 Zürich SWITZERLAND		
Coutts General Partner (Cayman) III Limited general partner of CAPELP		Simon Gerber, Senior Legal Counsel, RBS Coutts Switzerland simon.gerber@rbscoutts.com Phone +41 (0)43 245 52 50 Fax +41 (0)43 245 32 50	Simon Gerber, Senior Legal Counsel, RBS Coutts Switzerland RBS Coutts Bank Ltd Lerchenstrasse 18 PO Box / CH-8022 Zürich SWITZERLAND
RBS Coutts Switzerland acted as introducer to the limited partnerships	RBS Coutts Bank Ltd Lerchenstrasse 18 PO Box / CH-8022 Zürich SWITZERLAND		
Coutts General Partner (Cayman) II Limited general partner of CGPLP		Simon Gerber, Senior Legal Counsel, RBS Coutts Switzerland simon.gerber@rbscoutts.com Phone +41 (0)43 245 52 50 Fax +41 (0)43 245 32 50	Simon Gerber, Senior Legal Counsel, RBS Coutts Switzerland RBS Coutts Bank Ltd Lerchenstrasse 18 PO Box / CH-8022 Zürich SWITZERLAND
RBS Coutts Switzerland acted as introducer to the limited partnerships	RBS Coutts Bank Ltd Lerchenstrasse 18 PO Box / CH-8022 Zürich SWITZERLAND		
Meridian Diversified Fund Limited	Olympia Capital as Administrator, c/o Williams House, 20 Reid Street, Hamilton, HM 11, BERMUDA		

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STANFORD – FINANCIAL INSTITUTIONS CONTACT LIST

Entity	Address	(Contact Name, E-mail Address and Fax Number)	Law Firm/Investment Advisor/Regulatory
Wimbledon HDN Fund Ltd	c/o Swiss Financial Services (Bahamas) Ltd, One Montague Place, 4th Floor, East Bay Street, PO Box EE-17758, Nassau, BAHAMAS	LaTonia Symonette-Tinker, Compliance Manager & Legal Advisor, Swiss Financial Services (Bahamas) Ltd Phone: (242) 394 9200 Fax: (242) 394 9250	Swiss Financial Services (Bahamas) Ltd, Administrator of Wimbledon HDN Fund Ltd
Flyline Offshore Fund Ltd	c/o Admiral Administration Ltd, Anchorage Centre, 2nd Floor, PO Box 32021 SMB, Grand Cayman, CAYMAN ISLANDS BW1		
BNY Alternative Investment Services Ltd	c/o DKR Capital, DKR SoundShore Strategic Fund Ltd, 1281 East Main Street, 3rd Floor, Stamford, Connecticut 06902, UNITED STATES OF AMERICA	Nan Swan, Assistant Vice President nswan@dkrcapital.com Phone: 203 324 8480 Fax: 203 674 4741	DKR SoundShore Strategic Fund Ltd c/o DKR Capital Partners LP. (Investment Manager) 1281 East Main Street Stamford, Connecticut 06902-3565 UNITED STATES OF AMERICA
FISCO Income Plus Offshore Fund Ltd	c/o Admiral Administration Ltd, Anchorage Centre, 2nd Floor, PO Box 32021 SMB, Grand Cayman, CAYMAN ISLANDS BW1		
Asian Village Antigua Limited and Crayford Limited		Ian Peacocke, Director (AVA) ian_peacocke@hotmail.com David Joseph QC, djoeph@essexcourt.net	David Joseph QC (?)
Super Model	General Trustee Super Model Portfolio LLP, P.O. Box 59658, Potomac, Maryland 20859, UNITED STATES OF AMERICA	Jim Holt, Partner of CMSU & Associates LLC (general partner of Super Model Portfolio LLP) jim.holt@cmsu.com Phone: 703 395 3623	Brent Little Nixon Peabody LLP 401 Ninth Street N.W., Suite 900 Washington, D.C. 20004

STANFORD – FINANCIAL INSTITUTIONS CONTACT LIST

Name	Address	Contact name, email address and fax number	Law, as a financial institution, if applicable
		Brent Little, blittle@nixonpeabody.com Phone: 202 585 8158	UNITED STATES OF AMERICA
Reznick Group P.C. (Accountants for Super Model)	7700 Old Georgetown Road, Suite 400, Bethesda, MD 20814 UNITED STATES OF AMERICA	John "Jack" R. Fornaciari, jfornciari@sheppardmullin.com Phone: 202 218 0009 Fax: 202 312 9414	John R. Fornaciari Sheppard Mullin Richter & Hampton LLP 1300 I Street, N.W. 11 th Floor East Washington, D.C. 20005-3314 UNITED STATES OF AMERICA
Invesco PowerShares Capital Management LLC	301 West Roosevelt Road, Wheaton, Illinois 60187, UNITED STATES OF AMERICA	Kevin Rich, Managing Director DB Commodity Services LLC Powershares DB Agriculture Fund) kevin.rich@db.com Alex Depetris, alex.depertis@db.com Phone: 212 250 6489 Kevin.Gustafson@invescopowershares.com Ben.Fulton@invescopowershares.com kathleen.yohe@db.com	Kevin Rich DB Commodity Services LLC 60 Wall Street 5 th Floor New York, NY 10005 UNITED STATES OF AMERICA
Paradigm Capital Management LLC	650 Fifth Avenue, 17 th Floor, New York, N.Y. 10019 UNITED STATES OF AMERICA	Marc X. LoPresti, mxl@tlcorplaw.com Phone: 212 732 4029 Fax: 212 232 2398	Marc X. LoPresti Tagliaferro & LoPresti, LLP 45 Broadway, Suite 2200 New York, New York 10006 UNITED STATES OF AMERICA
Stanford Casa de Valores	Malecon 100 y Av. de Octubre, Edificio La Previsora, Piso 26 Oficina 2602, Guayaquil, ECUADOR		Ecuadorian Regulator: Superintendencia de Bancos y Seguros Av. 12 de Octubre 1561 y Madrid 17-17-770 Quito ECUADOR

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STANFORD – FINANCIAL INSTITUTIONS CONTACT LIST

Name	Address	Contact name, email address and fax number	Lawyer of record and jurisdiction
		James D. Witherington, Jr., Jim@ssmpartners.com Phone: 901 767 1131 Fax: 901 767 1135	Thomas Beaudoin and Javad Mostofizadeh Wilmer Cutler Pickering Hale & Dorr LLP 60 State Street Boston Massachusetts 02109 UNITED STATES OF AMERICA
		Marsha Hefner, marsha@ssmpartners.com	
		Wilson Orr, wilson@ssmpartners.com	
		Hunter Witherington, hunter@ssmpartners.com	
		Thomas Beaudoin, thomas.beaudoin@wilmerhale.com Phone: 617 526 6661 Fax: 617 526 5000	
SSM Venture Partners	Crescent Center, 6075 Poplar Avenue, Suite 335, Memphis, Tennessee 38119, UNITED STATES OF AMERICA	Javad Mostofizadeh, Javad.Mostofizadeh@wilmerhale.com	
IDS Town Homes	2460 Sand Lake Road Orlando, Florida 32809 UNITED STATES OF AMERICA		
MISCELLANEOUS PAYMENTS			
	301 South McDowell Street, Suite 410, Charlotte, North Carolina 28204-2686, UNITED STATES OF AMERICA		
The Trial Productions	One Stamford Plaza - 9th Floor, 263 Tresser Boulevard, Stamford, Connecticut 06901-3236, UNITED STATES OF AMERICA		
Winthrop Asset Management			
Foley & Lardner LLP	777 East Wisconsin Avenue,		

STANFORD – FINANCIAL INSTITUTIONS CONTACT LIST

Name	Address	Contact name, email address and fax number	Lawyer or other as advised by applicable law
	Milwaukee, Wisconsin 53202, UNITED STATES OF AMERICA		
Superior Galleries Inc	20011 Ventura Boulevard, Woodland Hills, California 91364, UNITED STATES OF AMERICA	Gregory Barbee, GBarbee@sheppardmullin.com Phone: 213 617 4102 Fax: 213 443 2909	Gregory Barbee Sheppard Mullin Richter & Hampton LLP 333 South Hope Street, 48 th Floor Los Angeles, California 90071-1448 UNITED STATES OF AMERICA
Synergic Energy Services LLC	Synergics Centre, 191 Main Street, Annapolis, Maryland 21401, UNITED STATES OF AMERICA	Glen Peck, Chief Financial Officer Phone: 410 268 8820 Fax: 410 269 1530	
Healthcare Quality Solutions Inc	405 North Reo Street, Suite 300 Tampa, Florida 33609 UNITED STATES OF AMERICA		
Innovative Steel Technologies Inc	12620 US HWY 41 S., Gibsonton, Florida 33534 UNITED STATES OF AMERICA		
Mountain Partners AG	Dufourstrasse 121 9001 St. Gallen SWITZERLAND		
The Majestic Grille	c/o Majestic American Grille and Bar LLC 145 S Main Street Memphis, TN 38103 UNITED STATES OF AMERICA		
PanaSteel, LLC	636 NW Enterprise Drive Port Saint Lucie, FL 34986-2204 UNITED STATES OF AMERICA		
State Petroleum Distributors, Inc.	104 Lake Street Dunmore, PA 18501		

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STANFORD - FINANCIAL INSTITUTIONS CONTACT LIST

Name	Address	Contact Name, Email Address and Telephone Number	Website link to the institution
	UNITED STATES OF AMERICA		

STANFORD -- CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
HSBC Bank Panama S.A. PANAMA	No response								
HSBC Bank plc (Counsel: Stephenson Harwood -- Sue Millar) UK	Email from HSBC dated 28 February 2009 confirming balances of accounts.	Letter from HSBC to Ralph Janvey and Nigel Hamilton-Smith dated 27 February 2009 asking receivers to obtain recognition in the English courts before making further requests from HSBC.	Standard letter 11 March 2009 sent to HSBC from CMCK.	Letter dated 16 March 2009 from HSBC referring CMCK to its letter of 27 February, and stating that it would not acquiesce to requests from either receiver until their authority was recognised by the English courts.	Letter from CMCK to HSBC dated 30 March 2009, Informing them of the Antiguan receivers' position regarding the freezing order, Injunction obtained by the SEC on 27 March 2009, Follow -up phone call from CMCK to confirm receipt.	Letter from Stephenson Harwood to CMCK dated 31 March 2009. Informing CMCK that HSBC is aware of the freezing order, will comply with it, but will have no other dealings with the Receivers of SIB until they gain recognition in the English courts.	Letter from CMCK to HSBC dated 8 April 2009 (sent by email). Updating HSBC on status of US freezing order, asking that HSBC give CMCK two clear business days notice before transferring any funds to the US. Follow up phone call from Duncan Aldred.	Letter from Stephenson Harwood to CMCK dated 8 April 2009, reiterating the position that HSBC would give no assurances to any party whose position was not recognised under English law.	Letter from CMCK to Stephenson Harwood dated 16 April 2009, Informing SH that Nigel Hamilton- Smith et al. have been appointed as liquidators of SIB. Followed up by emailed copy of court order on 20 April 2009. Receipt confirmed by Stephenson Harwood on 21 April.

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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Trustmark National Bank US	Email 25 February 2009 from Trustmark confirming balances of all accounts and informing us of a further five accounts.	Standard letter 11 March 2009 sent to Trustmark.	Email 12 March 2009 from Trustmark confirming that certain account balances have internal "holds" in place to secure outstanding letters of credit and offset any return deposited item activity.						

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Bank of Houston (Counsel: Ross, Banks, May, Cron & Cavin, P.C. - Jim D. Hamilton) US	Email exchanges between Bank of Houston and Daniel Hennis 4 March 2009. Position confirmed: 1. BoH confirmed the amounts that it was holding for SIB. 2. BoH confirmed that such accounts were frozen. 3. BoH asserted that it was owed money by SIB pursuant to letters of credit. 4. BoH had not yet set off any amounts. BoH refused to refrain from making any payments without the Antiguan receivers' consent, stating that it was subject to US jurisdiction.	Standard letter 11 March 2009 sent to Bank of Houston.							

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Comerica Bank US	Statements sent to CMCK from Comerica, received 23/03/2009. No covering letter.	Letter from CMCK to Comerica dated 23/03/2009 informing Comerica of the current position re the US receiver and asking that no monies be paid out without the consent of the Antiguan receiver.	Telephone call between CMCK and Aurora Battaglia of Comerica 2 April 2009. AB deals with UK institutions at Comerica. AB only had one letter from CMCK, and asked to be sent all the correspondence. AB undertook to forward this correspondence to the relevant person. CMCK sent all correspondence to AB on 2 April 2009. Email response from AB on 2 April 2009, confirming that she had passed the correspondence to the Texas International Office and that Aryan Dokht would contact CMCK.	Email from CMCK to Terri Renshaw at Comerica dated 9 April 2009. Copies of all correspondence to date.					

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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Bank Julius Baer & Co Limited SWITZERLAND	Letter from Bank JB dated 23 March 2009 sent to Jones Day's counsel in Switzerland, forwarded to CMCK on 15 April 2009. Confirmation that SIB does have an account, and an estimated account valuation included. Confirmation also that all funds are currently frozen.								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Banque Franck, Galland & Cie SA SWITZERLAND	Letter from Bank Franck dated 18 March 2009 sent to Jones Day's counsel in Switzerland, forwarded to CMCK on 15 April 2009. Confirmation that SIB does have an account, and an estimated account valuation included. Confirmation also that all funds are currently frozen.								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Barclays Capital Inc US	Letter sent by BarCap to SIB dated 2 March 2009 Informing it that it had transferred \$13,433,618.68 into the bank account of the US receiver. Received by SIB on 26 March.	Letter from CMCK to BarCap dated 27 March 2009 confirming receipt of the letter to SIB dated 2 March. Reiteration of position re US receiver and the Antiguan receiver's view that no monies should have been paid out of the account. Reservation of rights to hold BarCap responsible for having paid out money.							
Barclays Wealth US	No response								

STANFORD -- CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Charles Schwab (Counsel: Sessions, Fishman, Nathan & Israel LLP -- Chris Richie) US	Email exchanges 3 March and 4 March 2009 between Beth Klugman of Charles Schwab and Rachel Rees. RR confirmed the information CMCK were looking for.	Fax from Charles Schwab 4 March 2009 containing account details for the two accounts asked about and two extra accounts for which James M. Davis and Laura Pendergast were the authorised agents (in the names of Bank of Antigua and Stamford Bank (Panama)).	Standard letter 11 March 2009 sent to Charles Schwab.	Email from Chris Richie, counsel to Schwab, dated 13 March 2009 asking for clarification on which of the four accounts CMCK were interested in.	Email response from Rachel Rees to Chris Richie on 17 March 2009, confirming that the Antiguan receiver's remit is only over the SIB account.	Email from Chris Richie to CMCK dated 23 March 2009 requesting confirmation in a reply email that the Antiguan Receiver has no objection to Schwab transferring accounts 9055- 1010, 1181-0046 and 3134-0509 to the custody of the US Receiver.	Email from CMCK to Chris Richie dated 26 March 2009. Confirmation that Antiguan receiver is only interested in assets of SIB; in relation to other accounts, suggestion that Schwab should contact those institutions directly before transferring any funds.	Email to Chris Richie dated 30 March 2009, enclosing the letter from CMCK to Credit Suisse dated 30 March 2009, informing them of the Antiguan receivers' position regarding the freezing injunction obtained by the SEC on 27 March 2009,	Email from Chris Richie to CMCK dated 16 April 2009, informing CMCK that Charles Schwab intends to transfer the funds it holds on behalf of Bank of Antigua, Stanford Bank, Panama, and Stanford Financial Group to the US Receiver unless informed of any objection by CMCK. Also stating that Charles Schwab will ask the court in Texas for guidance on what should happen to the SIB account they hold, as this account is also the subject of a demand from the US Receiver. [EMAIL FORWARDED TO JONES DAY IN THE US FOR THEM TO CONTACT CHRIS RICHIE],
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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
RBS Coutts SWITZERLAND	Fax dated 3 March 2009 from RBS, refusing to give any information due to Swiss law restrictions.	Fax sent to RBS 11 March 2009 informing RBS that the client is instructing Swiss counsel.	Letter sent to SIB in Antigua from RBS Coutts in Zurich dated 10 March 2009, enclosing two letters from the Ministere Public in Switzerland. These letters relate to a criminal Investigation being pursued by the Swiss federal authorities into potential money laundering activities by Allen Stanford. The letters state that in the 3 months prior to 24 February 2009, SIB transferred \$82.6 million to its accounts in the US and Canada.	Letter sent to Jones Day- appointed counsel (Nicolas Pierard) by RBS Coutts dated 24 March 2009. Statement that documents sent regarding Antiguan receivers' appointment are not sufficient; request for originals / certified copies of court order and identification documents; statement that RBS Coutts' response to the letter in no way indicates that SIB banked with them.					

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Credit Suisse UK	Email from Credit Suisse 5 March 2009 confirming receipt of letter and promising a reply in due course.	Letter sent to Credit Suisse 11 March 2009 setting out CMCK's position re. US receiver.	Letter from Credit Suisse dated 16 March 2009 refusing to provide further details due to client confidentiality restrictions.	Letter sent to Credit Suisse from CMCK dated 16 March 2009 informing CS that the Receiver Managers are now their clients, and as such client confidentiality restrictions do not apply.	Letter from Credit Suisse to CMCK dated 18 March 2009 informing CMCK that they will not cooperate with the Antiguan Receiver until it is recognised in the English courts.	Letter from CMCK to Credit Suisse dated 30 March 2009, informing them of the Antiguan receivers' position regarding the freezing injunction obtained by the SEC on 27 March 2009, Follow-up phone call from CMCK to confirm receipt.	Letter from Credit Suisse to CMCK dated 6 April 2009. Denial that there was ever an agreement between Credit Suisse and the Antiguan Receiver that CS would not pay out any money without the Antiguan Receivers' consent. Statement that CS will comply with its legal obligations, but that currently the Antiguan receivers are not recognised under English law.	Letter from CMCK to Credit Suisse dated 8 April 2009 (sent by email). Updating Credit Suisse on status of US freezing order, asking that Credit Suisse give CMCK two clear business days notice before transferring any funds to the US. Follow up phone call from Duncan Aldred.	Email from Riccardo Triani at Credit Suisse to CMCK dated 8 April 2009. Confirmation that he is considering Credit Suisse's response, but in the meantime, no monies will be paid out from any SIB accounts. Email from Riccardo Triani dated 9 April 2009, stating that CS sees no legal basis for CMCK's request for 2 clear days notice.

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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Lehman Brothers UK	Email from PWC, administrators to Lehman Brothers, to CMCK dated 8 April 2009. PWC had only received one letter from CMCK and asked for copies of all letters to be sent.	Letter from CMCK to Lehman's dated 16 April 2009, informing Lehman's that Nigel Hamilton- Smith et al. have been appointed as liquidators of SIB. Followed up by emailed copy of court order on 20 April 2009.							
	CMCK sent copies of all correspondence to PWC on 9 April 2009.								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Longley Asset Management UK	Melissa Longley 'phoned Rachel Rees 2 March 2009 informing her that her company did not have custody of the accounts and that these were held with Charles Schwab and Marex Financial Limited.	Letter from Longley Asset Management dated 2 March 2009 stating that LAM is the discretionary manager of two portfolios for SIB and giving details.	Fax to LAM from CMCK 11 March 2009 noting LAM have confirmed that the two accounts will be frozen.	Telephone conversation between Melissa Longley (of LAM) and Iben Madsen on 13 March 2009. ML wanted to: 1. Make sure that all future correspondence went to Marex and Schwab (not her); and 2. Mention that she had be contacted by the US receivers, and say that she expected that Marex and Schwab would only release funds with the agreement of both receivers.	Letter from CMCK to Longley Asset Management dated 30 March 2009, informing them of the Antiguan receivers' position regarding the freezing injunction obtained by the SEC on 27 March 2009, Follow –up phone call from CMCK to confirm receipt.	Copy of letter sent to Marex by CMCK on 8 April 2008 faxed to Melissa Longley on 8 April.	Copy of letter sent from CMCK to Marex dated 16 April 2009, faxed to Melissa Longley on 16 April.		

STANFORD -- CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Marex Financial UK	Letter from Marex Financial dated 4 March 2009 enclosing statements of account for three accounts.	Telephone conversation between Marex Financial and Rachel Rees 10 March 2009. Marex reported that it had been asked by the US receiver to pay money into 3 designated bank accounts. RF informed him of the current situation re the receiver and he confirmed that he would do nothing until he heard back.	Letter from CMCK to Marex Financial dated 10 March 2009 stating CMCK's position re the US receiver and asking for all assets to be frozen.	Letter from CMCK to Marex dated 19 November 2009 informing it that CMCK had received a response to its letter of 10 March from the department of documentation of Marex. CMCK said it did not intend to respond, but thought that Marex might like to inform its department of the correspondence that had already taken place.	Letter from CMCK to Marex dated 30 March 2009, informing them of the Antiguan receivers' position regarding the freezing injunction obtained by the SEC on 27 March 2009, Follow-up phone call from CMCK to confirm receipt.	Letter from CMCK to Marex dated 8 April 2009 (sent by email). Updating Marex on status of US freezing order, asking that Marex give CMCK two clear business days notice before transferring any funds to the US. Follow up phone call from Duncan Aldred.	Two emails from Julian Courtney at Marex to CMCK dated 8 April 2009. The first confirming receipt of the letter sent by CMCK earlier that day, the second saying "I am not realising any funds held with Marex Financial Limited".	Letter from CMCK to Marex dated 16 April 2009, informing Marex that Nigel Hamilton-Smith et al. have been appointed as liquidators of SIB. Followed up by emailed copy of court order on 20 April 2009.	

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
MF Global US	Fax from MF Global dated 3 April 2009, stating that it has also been contacted by the US receiver and is seeking "guidance" prior to proceeding further.	Letter from CMCK to MF Global dated 7 April 2009, acknowledging receipt of fax from MF Global, noting that it is going to seek "guidance", and reiterating the Antiguan receivers' position.							
Royal Bank of Canada Global Services CANADA	Letter to Royal Bank of Canada from Ogilvy Renault, dated 8 April 2009, enclosing Canadian court order of 6 April 2009. Demanding transfer of all funds held by the bank on behalf of SIB and / or STC.								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
SG Private Banking (Counsel: Poncet Turrettini Amaudruz, Neyroud & Associés – Olivier Wehrli) SWITZERLAND	Letter dated 6 March 2009 from Counsel to SG Private Banking refusing to divulge any information due to Swiss law restrictions.	Letter dated 11 March from CMick to Counsel for SG Private Banking informing them that the client intends to appoint Swiss counsel.							

STANFORD - CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
TD Waterhouse (Counsel: McGuire Woods – Christopher Cutler, Robert Plotkin, Kurt E. Wolfe) CANADA NB SEE TORONTO DOMINION BANK	See TD Bank below	Letter from McGuire Woods to CMCK dated 27 March 2009. In response to letter from CMCK dated 11 March 2009, request that all further correspondence be addressed to McGuire Woods and not TD Waterhouse.	Email from CMCK to McGuire Woods dated 27 March 2009. Apologies for sending letter to TD Waterhouse directly; statement that it appears we have all necessary information from TD Waterhouse and TD Bank; reiteration of Antigua receivers position re US receiver.	Email from Jean Estabrook, In- house counsel at TD Waterhouse, to CMCK dated 8 April 2009. Statement that TDW holds no accounts in the name of SIB.	Email from CMCK to Jean Estabrook, copying McGuire Woods, dated 9 April 2009. Informing Ms Estabrook that have already been in correspondence with McGuire Woods, and asking for clarification about the account that McGuire Woods had informed us was held at TD Waterhouse.	Email from Robert Plotkin at McGuire Woods dated 9 April, clarifying the earlier emails with Jean Estabrook. TD Waterhouse is an affiliate of Toronto Dominion, and the information previously supplied to CMCK by McGuire Woods is still correct.			

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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Toronto Dominion Bank (Counsel: McGuire Woods – Christopher Gutter, Robert Plotkin, Kurt E. Wolfe) CANADA NB SEE ALSO TD WATERHOUSE	Email from Counsel to Toronto Dominion Bank dated 4 March 2009 informing CMcK of SIB account balances held at TD Bank and informing CMcK that these accounts have been frozen in accordance with the US court order.	Letter from CMcK to Counsel for TD Bank dated 11 March 2009 informing them of CMcK's position re. the US receiver.	Letter from Counsel to TD Bank sent by email 17 March 2009 confirming that account no. 3176167 does not exist.						
Northern Trust US	No response								

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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Super Model (Counsel: Nixon Peabody – Brent Little) (CMSU is general partner). US	See Reznick for earliest correspondence.	Email from Jim Holt at CMSU, general partner of Super Model Portfolio LLP, dated 23 March 2009. Stated that the US receiver had initially asked Suoer Model to hold all assets, but on 16 March had asked them to transfer all monies to the US receiver.	Email from CMCK to Jim Holt at CMSU dated 26 March 2009. Confirmation that the US and Antiguan receivers are in discussions; statement that, in the Antiguan receiver's view, the only proper course of action is to freeze all monies until the relationship between receivers has been clarified.	Email from Jim Holt dated 26 March 2009 confirming that CMSU will hold all funds owned by SIB "until we receive proper guidance".					

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Reznick Group P.C. (Accountants for Super Model) (Counsel: Sheppard Mullin Richter & Hampton LLP—John "Jack" Fornaciari) US	Email from John Fornaciari dated 5 March 2009, Counsel for Reznick Group. Letter attached explaining Reznick's connection with Super Model and asking if CMCK would have any objection to him asking Super Model for permission to disclose the information sought by CMCK.	Email 6 March 2009 to John Fornaciari from CMCK asking for his help in securing the assistance of Super Model. Response from JF asking for teleconference.	Teleconference 13 March 2009 between John Fornaciari, Reznick and CMCK. JF explained that Reznick were preparing reports for the Attorney General of Maryland.	Letter dated 13 March 2009 from CMCK to Nixon Peabody, Counsel for Super Model, asking for information re SIB's / STC's Investment in Super Model and stating CMCK's position re US receiver.					

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Pershing LLC US	CMCK copied in on letter to assistant director of SEC from Pershing dated 12 March 2009. Letter stated that whilst SIB is Pershing's client for custody purposes, the accounts are run by Credit Suisse. Also confirmed that accounts are frozen and that Pershing were liaising with SFO, police and FSA.	Exchange of voicemail messages between Pershing and Rachel Rees 16 March 2009.	Email from CMCK to Pershing dated 17 March 2009 Informing Pershing of CMCK's position re. US receiver.	Voicemail left by Alastair Fitzsimons of Pershing on RF's answer phone 25 March 2009. He apologised for not reverting earlier but said that Joan Schwartz from the New Jersey office had been away with a fractured foot. He would try and call back later today with someone else from the New Jersey office.	Telephone conversation between DAHE of CMCK and Alastair Fitzsimons ("AF") of Pershing on 15 April 2009. AF confirmed that Pershing were holding SIB assets and would be responding to CMCK's letter within a few days. DAHE explained the relationship between the US and Antiguan receivers. AF commented that this was "very interesting".	Letter from CMCK to Pershing dated 16 April 2009, enclosing copies of all correspondence to date and informing Pershing that Nigel Hamilton-Smith et al. have been appointed as liquidators of SIB. Email response from Alastair Fitzsimons 15 minutes later saying that he was not aware that CMCK were interested in Pershing Limited, and that he would like to organise a conference call for 22 April.			
(22694781.02)				20		Email response from DAHE 15 minutes later saying that he had thought that Alastair would be informing us about Pershing Limited after their telephone			

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
JP Morgan Clearing Corp. US	No response								
Deutsche Bank Commodity Services (Originally wrote to: Invesco PowerShares Capital Management LLC) US	Letter from Deutsche Bank Commodity Services dated 13 March 2009 stating that DBCS is unable to supply any information, and suggesting that CMCK contacts the broker-dealer.	Letter from CMCK to DBCS dated 19 March 2009 noting that, although DBCS claimed not to be able to provide any information, it had sent SIB a tax package for 2008 with an ownership schedule. CMCK requested contact details for DTC and Cede & Co and any information as to whether SIB held its shares through DTC or another entity.	Letter from DBCS to CMCK dated 1 April 2009. Statement that DBCS does not have the requested information, and that any further queries regarding SIB's accounts should be directed to SIB's broker-dealer.						

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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
ACON Project Milagro (Counsel: Cleary Gottlieb Steen & Hamilton LLP – Francesca L. Odell) US	Letter from counsel to Acon Project Milagro to CMCK dated 17 March 2009 asking for further explanation of Antiguan receiver's jurisdiction and the relationship between US and Antiguan receivers	Letter from CMCK to counsel for ACON dated 25 March 2009. Explanation of relationship between Antiguan and US receivers; refusal to supply correspondence between receivers; reiteration of request to freeze assets.	that he had only just received one letter, and it had been sent to the wrong address. CMCK confirmed that he was the representative for all ACON companies and emailed him copies of all correspondence sent to all ACON companies on 2 April 2009.	to the US receiver for all of its information; and (2) Cleary Gottlieb has been appointed as counsel for all ACON entities and all future correspondence should be with them.	still ongoing between the Antiguan and US receivers as to the extent to which they are willing to cooperate, and request that Ms Odell therefore passes any information she might have on ACON's relationship with SIB and STC on to CMCK.	Information until the situation regarding the powers of the US and Antiguan receivers is clarified.			
ACON Investments LLC (Washington Nationals) US	No response								
Not longer relevant SEE ACON INVESTMENTS LLC (WASHINGTON NATIONALS) Washington Nationals Baseball Club LLC									
American Leisure Group Ltd US	No response								

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STANFORD -- CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Louisiana Ventures (Jones Walker LLP - Curtis R. Hearn) US	Letter dated 10 March 2009 from Louisiana Ventures to SIB contributed \$3,782,278 to the Venture Capital Fund and stating that they will not submit to the jurisdiction of the Antiguan courts. Further documents provided.	Email from Ross Barrett at Louisiana Ventures to CMCK attaching letter dated 17 March 2009. RB requested confirmation of receipt of this letter, and reiterated that by CMCK's letters, he was not submitting to the jurisdiction of the Antiguan courts.	Email from RF at CMCK to Ross Barrett dated 19 March 2009, confirming receipt of his letters and asking him to respond on the issue as to whether the investment by SIB in Louisiana Ventures would remain frozen pending resolution of issues between the US and Antiguan receivers						
Luminex Corporation US	No response								
Senesco Technologies Inc US	No response								
Tree Top Kinds Inc US	No response								

STANFORD -- CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
USFR Media Group US	Letter dated 19 March 2009 from USFR to CMCK confirming that SIB holds 1,662, 494 shares of common stock. STC has no connection with USFR. No acceptance that USFR accepts the jurisdiction of the Antiguan courts.								
Landry's Restaurants Inc US	No response								
Coutts General Partner (Cayman) III Limited CAYMAN ISLANDS	No response	Email from CMCK to Paul Hogg of RBS Coutts	Email from Paul Hogg to CMCK dated 21 April						

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Coutts General Partner (Cayman) IV Limited CAYMAN ISLANDS	Email from Coutts General Partner (Cayman) IV Limited ("CGP") dated 16 April 2009 to CMCK. CGP acts as general partner for Coutts Private Equity Limited Partnership II ("CPERP II"). No involvement from STC, but SIB had a total commitment of \$4.5m, of which \$2.025m has already been drawn down.	(Cayman), dated 17 April 2009, Sending copies of all correspondence already sent; asking for further clarification of what has been paid out by SIB, and what is the situation regarding the rest of SIB's commitment; asking if Paul Hogg will also accept correspondence relating to CGP III. Followed up by an email on 20 April 2009 attaching the Antigua liquidation order.	2009, Informing CMCK of SIB's investments in CPERP II, CAPELP, and CGP LP. Also asking CMCK to contact Simon Greber in future.						
Meridian Diversified Fund Limited BERMUDA	No response								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Wimbleton HDN Fund Ltd (Swiss Financial Services (Bahamas) Ltd) BAHAMAS	Letter from Swiss Financial Services to CMCK dated 16 April 2009. SIB invested in Wimbleton in 2004. SIB made a full redemption request in December 2007, and 90% of the proceeds were paid out in April 2008. 10% remains not paid. Swiss Financial Services have informed their regulators, and copied CMCK's correspondence to the them.								
Flyline Offshore Fund Ltd CAYMAN ISLANDS	No response								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
DKR Capital Partners LP (Originally wrote to: BNY Alternative Investment Services Ltd) US	Letter from DKR Capital Partners LP to CMCK dated 16 March 2009 informing CMCK that SIB Invested in the DKR SoundShore Strategic Fund Limited and requesting contact details should any further dividends become payable. No response	Letter from CMCK to DKR Capital Partners LP Informing them of CMCK's contact details and asking that any information about future dividends be supplied to CMCK.							
FISCO Income Plus Offshore Fund Ltd CAYMAN ISLANDS									
TDS Town Homes US	No response – Letter returned unopened								

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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
SSM Venture Partners (Counsel: Wilmer Cutler Pickering Hale & Dorr LLP - Thomas Beaudoin and Javad Mostofizadeh) US	Letter from SSM Partners to CMCK dated 12 March 2009 stating that SIB had contributed \$3,950,000 to a Venture Capital Fund (SSM Fund III) and that Stanford Venture Capital Holdings Inc (an affiliate of SIB and STC) had contributed \$566,728.54 to a Venture Capital Fund called SSMIV	Standard letter dated 11 March 2009 from CMCK to SSM.	Email from SSM dated 18 March, acknowledging receipt of second contact, and attaching letter sent at first contact (dated 12 March 2009) in case CMCK had not received it. Nothing further added.	Letter from CMCK to SSM dated 19 March, noting that SSM claimed that \$566,728.54 had been paid into the fund by Stanford Venture Capital Holdings not SIB. CMCK pointed out that SIB's records showed that it had made this payment, and that therefore SIB's receivers would reserve the right to take action against SSM if this money was paid out.					
The Trial Productions US	No response								
Winthrop Asset Management US	No response								
Foley & Lardner LLP US	No response								

STANFORD - CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Stanford Capital Corp. 1000 California Street San Francisco, CA 94108 Tel: (415) 863-1000 Fax: (415) 863-1001 www.stanfordcapital.com	Stanford Capital Corp. 1000 California Street San Francisco, CA 94108 Tel: (415) 863-1000 Fax: (415) 863-1001 www.stanfordcapital.com	Stanford Capital Corp. 1000 California Street San Francisco, CA 94108 Tel: (415) 863-1000 Fax: (415) 863-1001 www.stanfordcapital.com	Stanford Capital Corp. 1000 California Street San Francisco, CA 94108 Tel: (415) 863-1000 Fax: (415) 863-1001 www.stanfordcapital.com	Stanford Capital Corp. 1000 California Street San Francisco, CA 94108 Tel: (415) 863-1000 Fax: (415) 863-1001 www.stanfordcapital.com	Stanford Capital Corp. 1000 California Street San Francisco, CA 94108 Tel: (415) 863-1000 Fax: (415) 863-1001 www.stanfordcapital.com	Stanford Capital Corp. 1000 California Street San Francisco, CA 94108 Tel: (415) 863-1000 Fax: (415) 863-1001 www.stanfordcapital.com	Stanford Capital Corp. 1000 California Street San Francisco, CA 94108 Tel: (415) 863-1000 Fax: (415) 863-1001 www.stanfordcapital.com	Stanford Capital Corp. 1000 California Street San Francisco, CA 94108 Tel: (415) 863-1000 Fax: (415) 863-1001 www.stanfordcapital.com	Stanford Capital Corp. 1000 California Street San Francisco, CA 94108 Tel: (415) 863-1000 Fax: (415) 863-1001 www.stanfordcapital.com

STANFORD -- CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Healthcare Quality Solutions Inc US	No response								
Innovative Steel Technologies Inc US	No response								
Mountain Partners AG SWITZERLAND	No response								
State Petroleum Distributors, Inc. US	No response								
PanaSteel, LLC US	No response								

STANFORD - CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
The Majestic Grille US	No response								

[REDACTED]

CONTINUATION

Name	Tenth Contact	Eleventh Contact	Twelfth Contact	Thirteenth Contact	Fourteenth Contact	Fifteenth Contact	Sixteenth Contact	Seventeenth Contact	Eighteenth Contact
Credit Suisse UK	Letter from CMCK to Riccardo Triani dated 16 April 2009, informing him that Nigel Hamilton-Smith et al. have been appointed as liquidators of SIB. Followed up by emailed copy of court order on 20 April 2009.								

Document comparison done by DeltaView on 22 April 2009 18:49:55

Input	
Document 1	file://C:/Documents and Settings/wloc/Desktop/STANFORD ORIGINAL.DOC
Document 2	pddocs://mitre_house/22699771/2
Rendering set	no change numbers no summary

Legend	
Insertion	
Deletion	
Moved from	
Moved to	
Style change	
Format change	
Moved-deletion	
Inserted cell	
Deleted cell	
Moved cell	
Split/Merged cell	
Padding cell	

Redline Summary		
No.	Change	Text
1	Insertion	Followed up by emailed...order on 20 April 2009.
2	Insertion	Receipt confirmed by...Harwood on 21 April.
3	Insertion	Email from Chris Richie...from the US Receiver.
4	Insertion	[EMAIL FORWARDED TO JONES...CONTACT CHRIS RICHIE],
5	Insertion	Followed up by emailed...order on 20 April 2009.

6	Insertion	Followed up by emailed...order on 20 April 2009.
7	Insertion	Followed up by emailed...CMCK on 20 April 2009.
8	Insertion	Letter from Francesca...receivers is clarified.
9	Insertion	Email from CMCK to Paul...relating to CGP III.
10	Insertion	Followed up by an email...liquidation order.
11	Insertion	Email from Paul Hogg to...Simon Greber in future.
12	Change	"No" changed to "Email from Coutts General...II ("CPERP II"). No"
13-14	Change	"No response" changed to "No involvement from STC,...already been drawn down."
15	Insertion	(Swiss Financial Services (Bahamas) Ltd)
16-17	Change	"No response" changed to "Letter from Swiss...to the them."
18	Insertion	Mountain Partners AG
19	Insertion	SWITZERLAND
20	Insertion	No response
21	Insertion	State Petroleum Distributors, Inc.
22	Insertion	US
23	Insertion	No response
24	Insertion	PanaSteel, LLC
25	Insertion	US
26	Insertion	No response
27	Insertion	The Majestic Grille
28	Insertion	US

29	Insertion	No response
30	Insertion	Followed up by emailed... order on 20 April 2009.

Statistics	Count
Insertions	28
Deletions	2
Moved from	0
Moved to	0
Style change	0
Format changed	0
Total changes	30

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth
HSBC Bank Panama S.A. PANAMA	No response					
HSBC Bank plc (Counsel: Stephenson Harwood – Sue Millar) UK	Email from HSBC dated 28 February 2009 confirming balances of accounts.	Letter from HSBC to Ralph Janvey and Nigel Hamilton-Smith dated 27 February 2009 asking receivers to obtain recognition in the English courts before making further requests from HSBC.	Standard letter 11 March 2009 sent to HSBC from CMCK.	Letter dated 16 March 2009 from HSBC referring CMCK to its letter of 27 February, and stating that it would not acquiesce to requests from either receiver until their authority was recognised by the English courts.	Letter from CMCK to HSBC dated 30 March 2009, informing them of the Antiguan receivers' position regarding the freezing injunction obtained by the SEC on 27 March 2009, Follow-up phone call from CMCK to confirm receipt.	Letter from Stephenson to CMCK c March 201 Informing HSBC is av freezing o comply wi will have r dealings w Receivers they gain i In the Eng
Trustmark National Bank US	Email 25 February 2009 from Trustmark confirming balances of all accounts and informing us of a further five accounts.	Standard letter 11 March 2009 sent to Trustmark.	Email 12 March 2009 from Trustmark confirming that certain account balances have internal "holds" in place to secure outstanding letters of credit and offset any return deposited item activity.			
Bank of Houston (Counsel: Ross, Banks, May, Cron & Cavin, P.C. - Jim D. Hamilton) US	Email exchanges between Bank of Houston and Daniel Hennis 4 March 2009. Position confirmed: 1. BoH confirmed the amounts that it was holding for SIB. 2. BoH confirmed that	Standard letter 11 March 2009 sent to Bank of Houston.				

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth
Comerica Bank US	Statements sent to CMCK from Comerica, received 23/03/2009. No covering letter.	Letter from CMCK to Comerica dated 23/03/2009 informing Comerica of the current position re the US receiver and asking that no monies be paid out without the consent of the Antiguan receiver.	Telephone call between CMC K and Aurora Battaglia of Comerica 2 April 2009. AB deals with UK institutions at Comerica. AB only had one letter from CMCK, and asked to be sent all the correspondence. AB undertook to forward this correspondence to the relevant person. CMCK sent all correspondence to AB on 2 April 2009. Email response from AB on 2 April 2009, confirming that she had passed the correspondence to the Texas International Office and that Aryan Dokht would contact CMCK.	Email from CMCK to Terri Renshaw at Comerica dated 9 April 2009. Copies of all correspondence to date.		
Bank Julius Baer & Co Limited SWITZERLAND	Letter from Bank JB dated 23 March 2009 sent to Jones Day's counsel in Switzerland, forwarded to CMCK on 15 April 2009. Confirmation that SIB does have an account, and an estimated account valuation included.					

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth
Barclays Capital Inc US	Confirmation also that all funds are currently frozen. Letter sent by BarCap to SIB dated 2 March 2009 informing it that it had transferred \$13,433,618.68 into the bank account of the US receiver. Received by SIB on 26 March.	Letter from CMCK to BarCap dated 27 March 2009 confirming receipt of the letter to SIB dated 2 March. Reiteration of position re US receiver and the Antiguan receiver's view that no monies should have been paid out of the account. Reservation of rights to hold BarCap responsible for having paid out money.				
Barclays Wealth US Charles Schwab (Counsel: Sessions, Fishman, Nathan & Israel LLP – Chris Richie)	No response Email exchanges 3 March and 4 March 2009 between Beth Klugman of Charles Schwab and Rachel Rees. RR confirmed the information CMCK were looking for.	Fax from Charles Schwab 4 March 2009 containing account details for the two accounts asked about and two extra accounts for which James M. Davis and Laura Pendergast were the authorised agents (in the names of Bank of Antigua and Stamford Bank (Panama)).	Standard letter 11 March 2009 sent to Charles Schwab.	Email from Chris Richie, counsel to Schwab, dated 13 March 2009 asking for clarification on which of the four accounts CMCK were interested in.	Email response from Rachel Rees to Chris Richie on 17 March 2009, confirming that the Antiguan receiver's remit is only over the SIB account.	Email from Richie to C 23 March : requesting confirmation of reply email Antiguan f no objecti Schwab tr accounts 1181-0046 0509 to th of the US f

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth
RBS Coutts SWITZERLAND	Fax dated 3 March 2009 from RBS, refusing to give any information due to Swiss law restrictions.	Fax sent to RBS 11 March 2009 informing RBS that the client is instructing Swiss counsel.	Letter sent to SIB in Antigua from RBS Coutts in Zurich dated 10 March 2009, enclosing two letters from the Ministère public in Switzerland. These letters relate to a criminal investigation being pursued by the Swiss federal authorities into potential money laundering activities by Allen Stanford. The letters state that in the 3 months prior to 24 February 2009, SIB transferred \$82.6 million to its accounts in the US and Canada.	Letter sent to Jones Day-appointed counsel (Nicolas Pierard) by RBS Coutts dated 24 March 2009. Statement that documents sent regarding Antiguan receivers' appointment are not sufficient; request for originals / certified copies of court order and identification documents; statement that RBS Coutts' response to the letter in no way indicates that SIB banked with them.		
Credit Suisse UK	Email from Credit Suisse 5 March 2009 confirming receipt of letter and promising a reply in due course.	Letter sent to Credit Suisse 11 March 2009 setting out CMCK's position re. US receiver.	Letter from Credit Suisse dated 16 March 2009 refusing to provide further details due to client confidentiality restrictions.	Letter sent to Credit Suisse from CMCK dated 16 March 2009 informing CS that the Receiver Managers are now their clients, and as such client confidentiality restrictions do not apply.	Letter from Credit Suisse to CMCK dated 18 March 2009 informing CMCK that they will not cooperate with the Antiguan Receiver until it is recognised in the English courts.	Letter from Credit Suisse 20 March 2009 informing Antiguan Receiver of position re freezing of assets obtained in March 2009 on 27 March 2009. Follow-up from CMCK receipt.

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth
Longley Asset Management UK	Melissa Longley 'phoned Rachel Rees 2 March 2009 informing her that her company did not have custody of the accounts and that these were held with Charles Schwab and Marex Financial Limited.	Letter from Longley Asset Management dated 2 March 2009 stating that LAM is the discretionary manager of two portfolios for SIB and giving details.	Fax to LAM from CMCK 11 March 2009 noting LAM have confirmed that the two accounts will be frozen.	Telephone conversation between Melissa Longley (of LAM) and Ben Madsen on 13 March 2009. ML wanted to: 1. Make sure that all future correspondence went to Marex and Schwab (not her), and 2. Mention that she had been contacted by the US receivers, and say that she expected that Marex and Schwab would only release funds with the agreement of both receivers.	Letter from CMCK to Longley Asset Management dated 30 March 2009, informing them of the Antiguan receivers' position regarding the freezing injunction obtained by the SEC on 27 March 2009, Follow –up phone call from CMCK to confirm receipt.	Copy of the Marex by April 2008 Melissa Lc April.
Marex Financial UK	Letter from Marex Financial dated 4 March 2009 enclosing statements of account for three accounts.	Telephone conversation between Marex Financial and Rachel Rees 10 March 2009. Marex reported that it had been asked by the US receiver to pay money into 3 designated bank accounts. RF informed him of the current situation re the receiver and he confirmed that he would do nothing until he heard back.	Letter from CMCK to Marex Financial dated 10 March 2009 stating CMCK's position re. the US receiver and asking for all assets to be frozen.	Letter from CMCK to Marex dated 19 November 2009 informing it that CMCK had received a response to its letter of 10 March from the department of Marex. CMCK said it did not intend to respond, but thought that Marex might like to inform its department of the correspondence that had already taken place.	Letter from CMCK to Marex dated 30 March 2009, informing them of the Antiguan receivers' position regarding the freezing injunction obtained by the SEC on 27 March 2009, Follow –up phone call from CMCK to confirm receipt.	Letter from Marex dated 2009 (sent Updating the status of the order, ask Marex give clear busin notice bef transferri to the US. Follow up from Duit

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth
	2009, enclosing Canadian court order of 6 April 2009. Demanding transfer of all funds held by the bank on behalf of SIB and / or STC.					
SG Private Banking (Counsel: Poncet Turrettini Amaudruz, Neyroud & Associes – Olivier Wehrli) SWITZERLAND	Letter dated 6 March 2009 from Counsel to SG Private Banking refusing to divulge any information due to Swiss law restrictions.	Letter dated 11 March from CMCK to Counsel for SG Private Banking informing them that the client intends to appoint Swiss counsel.				
TD Waterhouse (Counsel: McGuire Woods – Christopher Cutler, Robert Plotkin, Kurt E. Wolfe) CANADA NB SEE TORONTO DOMINION BANK	See TD Bank below	Letter from McGuire Woods to CMCK dated 27 March 2009. In response to letter from CMCK dated 11 March 2009, request that all further correspondence be addressed to McGuire Woods and not TD Waterhouse.	Email from CMCK to McGuire Woods dated 27 March 2009. Apologies for sending letter to TD Waterhouse directly; statement that it appears we have all necessary information from TD Waterhouse and TD Bank; reiteration of Antigua receivers position re US receiver.	Email from Jean Estabrook, in-house counsel at TD Waterhouse, to CMCK dated 8 April 2009. Statement that TDW holds no accounts in the name of SIB.	Email from CMCK to Jean Estabrook, copying McGuire Woods, dated 9 April 2009. Informing Ms Estabrook that have already been in correspondence with McGuire Woods, and asking for clarification about the account that McGuire Woods had informed us WAS held at TD Waterhouse. Email response shortly afterwards from Jean Estabrook saying that she only represents TD Waterhouse Canada Inc. which is a separate entity to	Email from Plotkin at Woods clarifying 1 emails with Estabrook Waterhouse affiliate of Dominion, Informatic previously CMCK by 1 Woods is:

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth
	accounts have been frozen in accordance with the US court order. No response					
Northern Trust US						
Super Model (Counsel: Nixon Peabody – Brent Little) (CMSU is general partner). US	See Reznick for earliest correspondence.	Email from Jim Holt at CMSU, general partner of Super Model Portfolio LLP, dated 23 March 2009. Stated that the US receiver had initially asked Suor Model to hold all assets, but on 16 March had asked them to transfer all monies to the US receiver.	Email from CMCK to Jim Holt at CMSU dated 26 March 2009. Confirmation that the US and Antiguan receivers are in discussions; statement that, in the Antiguan receiver's view, the only proper course of action is to freeze all monies until the relationship between receivers has been clarified.	Email from Jim Holt dated 26 March 2009 confirming that CMSU will hold all funds owned by SIB "until we receive proper guidance".		
Reznick Group P.C. (Accountants for Super Model) (Counsel: Sheppard Mullin Richter & Hampton LLP – John "Jack" Fornaciari) US	Email from John Fornaciari dated 5 March 2009, Counsel for Reznick Group. Letter attached explaining Reznick's connection with Super Model and asking if CMCK would have any objection to him asking Super Model for permission to disclose the information sought by CMCK.	Email 6 March 2009 to John Fornaciari from CMCK asking for his help in securing the assistance of Super Model. Response from JF asking for teleconference.	Teleconference 13 March 2009 between John Fornaciari, Reznick and CMCK. JF explained that Reznick were preparing reports for the Attorney General of Maryland.	Letter dated 13 March 2009 from CMCK to Nixon Peabody, Counsel for Super Model, asking for information re SIB's / STC's investment in Super Model and stating CMCK's position re US receiver.		
Pershing LLC US	CMCK copied in on letter to assistant	Exchange of voicemail messages between	Email from CMCK to Pershing dated 17	Voicemail left by Alistair Fitzsimons of	Telephone conversation between	Letter from Pershing d

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth
					was "very interesting".	Limited, al would like a conferer 22 April. Email resp DAHE 15 r later sayin had thoug Alastair w Informing Pershing L their telep conversati April. DAF he would l availability conferenc
JP Morgan Clearing Corp. US	No response					Followed i emailed co order from 20 April 20
Deutsche Bank Commodity Services (Originally wrote to: Invesco PowerShares Capital Management LLC) US	Letter from Deutsche Bank Commodity Services dated 13 March 2009 stating that DBCS is unable to supply any information, and suggesting that CMCK contacts the broker- dealer.	Letter from CMCK to DBCS dated 19 March 2009 noting that, although DBCS claimed not to be able to provide any information, it had sent SIB a tax package for 2008 with an ownership schedule. CMCK requested contact details for DTC and Cede & Co	Letter from DBCS to CMCK dated 1 April 2009. Statement that DBCA does not have the requested information, and that any further queries regarding SIB's accounts should be directed to SIB's broker-dealer.			

STANFORD -- CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth
Stanford Casa de Valores ECUADOR	frozen. This was confirmed. No response					
American Samoa Telecom LLC US	Letter returned unread 08/04/2009					
Stronghold Technologies US	No response					
ACON Bastion Partners I US	No response		Telephone call from Barry Johnson at ACON Investments to CMCK on 2 April 2009. BJ reported that he had only just received one letter, and it had been sent to the wrong address. CMCK confirmed that he was the representative for all ACON companies and emailed him copies of all correspondence sent to all ACON companies on 2 April 2009.	Letter from Francesca Odell to CMCK dated 7 April 2009, stating that: (1) CMCK should go to the US receiver for all of its information; and (2) Cleary Gottlieb has been appointed as counsel for all ACON entities and all future correspondence should be with them.	Letter from CMCK to Francesca Odell dated 14 April 2009. Statement that negotiations are still ongoing between the Antiguan and US receivers as to the extent to which they are willing to cooperate, and request that Ms Odell therefore passes any information she might have on ACON's relationship with SIB and STC on to CMCK.	Letter from Odell to CMCK dated 20 April 2009. CMCK to provide information in the power and Antiguan receivers.
ACON Bastion Partners II US	No response					
ACON Bastion Partners III US	No response					
ACON Project Milagro (Counsel: Cleary Gottlieb Steen & Hamilton LLP -- Francesca L. Odell) US	Letter from counsel to Acon Project Milagro to CMCK dated 17 March 2009 asking for further explanation of Antiguan receiver's jurisdiction and the relationship between US and Antiguan receivers	Letter from CMCK to counsel for ACON dated 25 March 2009. Explanation of relationship between Antiguan and US receivers; refusal to supply correspondence between receivers; reiteration of request to freeze assets.				
ACON Investments LLC (Washington Nationals) US	No response					
(No longer relevant. SEE ACON INVESTMENTS LLC (WASHINGTON NATIONALS) Washington Nationals Baseball Club)						

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Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth
Hisense Broadband Multimedia CHINA	No response					
KineMed Inc US	Email from KineMed to CMCK dated 16 March 2009 requesting that CMCK resend letter of 3 March 2009. CMCK resent this letter.	Email from in-house counsel at KineMed dated 16 March 2009 asking for further details from CMCK.	Email from CMCK to in-house counsel at KineMed dated 17 March 2009 providing further details and stating CMCK's position re the US receiver.	CMCK copied in on an email sent by Kinemed to Mr PI on 23 March 2009. Mr PI appears to work for the Stanford Eagle magazine, and had also been in touch with KineMed. KineMed suggested in their email that CMCK and Mr PI correspond with each other about who should be dealing with Kinemed.	Email from CMCK to James Burden at Kinemed dated 26 March 2009. Clarification of relationship with US receiver; asking for either confirmation that SIB / STC have no assets in Kinemed, or the information originally requested about their investments.	Email from Fineman, and chair Kinemed, March 201 James Bur supply CIV informati requested Email from Burden lat day, confir he will su requested informati
Louisiana Ventures (Jones Walker LLP - Curtis R. Hearn) US	Letter dated 10 March 2009 from Louisiana Ventures to CMCK confirming SIB contributed \$3,782,278 to the Venture Capital Fund and stating that they will not submit to the jurisdiction of the Antigua courts. Further documents provided.	Email from Ross Barrett at Louisiana Ventures to CMCK attaching letter dated 17 March 2009. RB requested confirmation of receipt of this letter, and reiterated that by responding to CMCK's letters, he was not submitting to the jurisdiction of the ..	Email from RF at CMCK to Ross Barrett dated 19 March 2009, confirming receipt of his letters and asking him to respond on the issue as to whether the investment by SIB in Louisiana Ventures would remain frozen pending resolution of issues between the US and Antigua			

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth
	connection with USFR. No acceptance that USFR accepts the jurisdiction of the Antiguan courts. No response					
Landry's Restaurants Inc US	No response					
Coutts General Partner (Cayman) III Limited CAYMAN ISLANDS	No response	Email from CMCK to Paul Hogg of RBS dated 17 April 2009. Sending copies of all correspondence already sent to CMCK for further clarification of what has been said out by SIB and what is the situation regarding interest of SIB's commitment asking Paul Hogg will also accept correspondence relating to CGP III. Followed up by an email on 20 April 2009 attaching the Antiguan liquidation order. ¹⁰	Email from Paul Hogg to CMCK dated 21 April 2009 informing CMCK of RBS's investment in CGP II, CGP III and CGP IV. Also asking CMCK to contact Simon Greber in future.			
Coutts General Partner (Cayman) IV Limited CAYMAN ISLANDS	Email from Coutts General Partner (Cayman) IV Limited ("CGP") dated 16 April 2009 to CMCK. CGP acts as general partner for Coutts Private Equity Limited Partnership II ("CPERP II"). ¹² No response. ¹³ Involvement from SITC, but SIB had a total commitment of \$4.5m, of which \$2.025m has already been drawn down. ¹⁴					
Meridian Diversified Fund Limited BERMUDA	No response					
Wimbleton HDN Fund Ltd (Swiss Financial Services (Bahamas) Ltd) ¹⁵ BAHAMAS	No response. ¹⁶ Letter from Swiss Financial Services to CMCK dated 16 April 2009. SIB invested in					

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth
Hyline Offshore Fund Ltd CAYMAN ISLANDS	the them, 17 No response					
DKR Capital Partners LP (Originally wrote to: BNY Alternative Investment Services Ltd) US	Letter from DKR Capital Partners LP to CMCK dated 16 March 2009 Informing CMCK that SIB Invested in the DKR SoundShore Strategic Fund Limited and requesting contact details should any further dividends become payable.	Letter from CMCK to DKR Capital Partners LP informing them of CMCK's contact details and asking that any information about future dividends be supplied to CMCK.				
FISCO Income Plus Offshore Fund Ltd CAYMAN ISLANDS	No response					
TDS Town Homes US	No response – Letter returned unopened					
SSM Venture Partners (Counsel: Wilmer Cutler Pickering Hale & Dorr LLP - Thomas Beaudoin and Javad Mostofizadeh) US	Letter from SSM Partners to CMCK dated 12 March 2009 stating that SIB had contributed \$3,950,000 to a Venture Capital Fund (SSM Fund III) and that Stanford Venture Capital Holdings Inc (an affiliate of SIB and STC) had contributed \$566,728.54 to a Venture Capital Fund called SSMIV	Standard letter 11 March 2009 from CMCK to SSM.	Email from SSM dated 18 March, acknowledging receipt of second contact, and attaching letter sent at first contact (dated 12 March 2009) in case CMCK had not received it. Nothing further added.	Letter from CMCK to SSM dated 19 March, noting that SSM claimed that \$566,728.54 had been paid into the fund by Stanford Venture Capital Holdings not SIB. CMCK pointed out that SIB's records showed that it had made this payment, and that therefore SIB's receivers would reserve the right to take action against SSM if this money was paid out.		
The Trial Productions	No response					

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth
Healthcare Quality Solutions Inc US	No response					
Innovative Steel Technologies Inc US	No response					
Mountain Partners AG SWITZERLAND	No response					
State Petroleum Distributors, Inc.	No response					

STANFORD -- CORRESPONDENCE RE INVESTMENTS

CONTINUATION

Name	Tenth Contact	Eleventh Contact	Twelfth Contact	Thirteenth Contact	Fourteenth Contact	Fifteenth
Credit Suisse UK	Letter from CM/CX to Riccardo Triani dated 16 April 2009, Informing him that Nigel Hamilton-Smith et al. have been appointed as liquidators of SIB. Followed up by emailed copy of court order on 20 April 2009.					

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
HSBC Bank Panama S.A. PANAMA	No response								
HSBC Bank plc (Counsel: Stephenson Harwood – Sue Millar) UK	Email from HSBC dated 28 February 2009 confirming balances of accounts.	Letter from HSBC to Ralph Janvey and Nigel Hamilton-Smith dated 27 February 2009 asking receivers to obtain recognition in the English courts before making further requests from HSBC.	Standard letter 11 March 2009 sent to HSBC from CMCK.	Letter dated 16 March 2009 from HSBC referring CMCK to its letter of 27 February, and stating that it would not acquiesce to requests from either receiver until their authority was recognised by the English courts.	Letter from CMCK to HSBC dated 30 March 2009, informing them of the Antiguan receivers' position regarding the freezing injunction obtained by the SEC on 27 March 2009, Follow –up phone call from CMCK to confirm receipt.	Letter from Stephenson Harwood to CMCK dated 31 March 2009. Informing CMCK that HSBC is aware of the freezing order, will comply with it, but will have no other dealings with the Receivers of SIB until they gain recognition in the English courts.	Letter from CMCK to HSBC dated 8 April 2009 (sent by email). Updating HSBC on status of US freezing order, asking that HSBC give CMCK two clear business days notice before transferring any funds to the US. Follow up phone call from Duncan Aldred.	Letter from Stephenson Harwood to CMCK dated 8 April 2009, reiterating the position that HSBC would give no assurances to any party whose position was not recognised under English law.	Letter from CMCK to Stephenson Harwood dated 16 April 2009, informing SH that Nigel Hamilton- Smith et al. have been appointed as liquidators of SIB. Followed up by emailed copy of court order on 20 April 2009. Receipt confirmed by Stephenson Harwood on 21 April.

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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Trustmark National Bank US	Email 25 February 2009 from Trustmark confirming balances of all accounts and informing us of a further five accounts.	Standard letter 11 March 2009 sent to Trustmark.	Email 12 March 2009 from Trustmark confirming that certain account balances have internal "holds" in place to secure outstanding letters of credit and offset any return deposited item activity.						

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Bank of Houston (Counsel: Ross, Banks, May, Cron & Cavin, P.C. - Jim D. Hamilton) US	Email exchanges between Bank of Houston and Daniel Henrils 4 March 2009. Position confirmed: 1. BoH confirmed the amounts that it was holding for SIB. 2. BoH confirmed that such accounts were frozen. 3. BoH asserted that it was owed money by SIB pursuant to letters of credit. 4. BoH had not yet set off any amounts. BoH refused to refrain from making any payments without the Antiguan receivers' consent, stating that it was subject to US jurisdiction.	Standard letter 11 March 2009 sent to Bank of Houston.							

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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Comerica Bank US	Statements sent to CMCK from Comerica, received 23/03/2009. No covering letter.	Letter from CMCK to Comerica dated 23/03/2009 informing Comerica of the current position re the US receiver and asking that no monies be paid out without the consent of the Antiguan receiver.	Telephone call between CMCK and Aurora Battaglia of Comerica 2 April 2009. AB deals with UK institutions at Comerica. AB only had one letter from CMCK, and asked to be sent all the correspondence. AB undertook to forward this correspondence to the relevant person. CMCK sent all correspondence to AB on 2 April 2009. Email response from AB on 2 April 2009, confirming that she had passed the correspondence to the Texas International Office and that Aryan Dokht would contact CMCK.	Email from CMCK to Terri Renshaw at Comerica dated 9 April 2009. Copies of all correspondence to date.					

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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Bank Julius Baer & Co Limited SWITZERLAND	Letter from Bank JB dated 23 March 2009 sent to Jones Day's counsel in Switzerland, forwarded to CMCK on 15 /April 2009. Confirmation that SIB does have an account, and an estimated account valuation Included. Confirmation also that all funds are currently frozen.								

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STANFORD -- CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Banque Franck, Galland & Cie SA SWITZERLAND	Letter from Bank Franck dated 18 March 2009 sent to Jones Day's counsel in Switzerland, forwarded to CMCK on 15 April 2009. Confirmation that SIB does have an account, and an estimated account valuation included. Confirmation also that all funds are currently frozen.								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Barclays Capital Inc US	Letter sent by BarCap to SIB dated 2 March 2009 informing it that it had transferred \$13,433,618.68 into the bank account of the US receiver. Received by SIB on 26 March.	Letter from CMCK to BarCap dated 27 March 2009 confirming receipt of the letter to SIB dated 2 March. Reiteration of position re US receiver and the Antiguan receiver's view that no monies should have been paid out of the account. Reservation of rights to hold BarCap responsible for having paid out money.							
Barclays Wealth US	No response								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Charles Schwab (Counsel: Sessons, Fishman, Nathan & Israel LLP – Chris Richie) US	Email exchanges 3 March and 4 March 2009 between Beth Klugman of Charles Schwab and Rachel Rees. RR confirmed the information CMCK were looking for.	Fax from Charles Schwab 4 March 2009 containing account details for the two accounts asked about and two extra accounts for which James M. Davis and Laura Pendergest were the authorised agents (in the names of Bank of Antigua and Stamford Bank (Panama)).	Standard letter 11 March 2009 sent to Charles Schwab.	Email from Chris Richie, counsel to Schwab, dated 13 March 2009 asking for clarification on which of the four accounts CMCK were interested in.	Email response from Rachel Rees to Chris Richie on 17 March 2009, confirming that the Antiguan receiver's remit is only over the SIB account.	Email from Chris Richie to CMCK dated 23 March 2009 requesting confirmation in a reply email that the Antiguan Receiver has no objection to Schwab transferring accounts 9055- 1010, 1181-0046 and 3134-0509 to the custody of the US Receiver.	Email from CMCK to Chris Richie dated 26 March 2009. Confirmation that Antiguan receiver is only interested in assets of SIB; in relation to other accounts, suggestion that Schwab should contact those institutions directly before transferring any funds.	Email to Chris Richie dated 30 March 2009, enclosing the letter from CMCK to Credit Suisse dated 30 March 2009, informing them of the Antiguan receivers' position regarding the freezing injunction obtained by the SEC on 27 March 2009,	Email from Chris Richie to CMCK dated 16 April 2009, informing CMCK that Charles Schwab intends to transfer the funds it holds on behalf of Bank of Antigua, Stanford Bank Panama, and Stanford Financial Group to the US Receiver unless informed of any objection by CMCK. Also stating that Charles Schwab will ask the court in Texas for guidance on what should happen to the SIB account they hold, as this account is also the subject of a demand from the US Receiver. [EMAIL FORWARDED TO JONES DAY IN THE US FOR THEM TO CONTACT CHRIS RICHIE],
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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
RBS Coutts SWITZERLAND	Fax dated 3 March 2009 from RBS, refusing to give any information due to Swiss law restrictions.	Fax sent to RBS 11 March 2009 informing RBS that the client is instructing Swiss counsel.	Letter sent to SIB in Antigua from RBS Coutts in Zurich dated 10 March 2009, enclosing two letters from the Ministere Public in Switzerland. These letters relate to a criminal investigation being pursued by the Swiss federal authorities into potential money laundering activities by Allen Stanford. The letters state that in the 3 months prior to 24 February 2009, SIB transferred \$82.6 million to its accounts in the US and Canada.	Letter sent to Jones Day- appointed counsel (Nicolas Pierard) by RBS Coutts dated 24 March 2009. Statement that documents sent regarding Antiguan receivers' appointment are not sufficient; request for originals / certified copies of court order and identification documents; statement that RBS Coutts' response to the letter in no way indicates that SIB banked with them.					

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Credit Suisse UK	Email from Credit Suisse 5 March 2009 confirming receipt of letter and promising a reply in due course.	Letter sent to Credit Suisse 11 March 2009 setting out CMCK's position re. US receiver.	Letter from Credit Suisse dated 16 March 2009 refusing to provide further details due to client confidentiality restrictions.	Letter sent to Credit Suisse from CMCK dated 16 March 2009 informing CS that the Receiver Managers are now their clients, and as such client confidentiality restrictions do not apply.	Letter from Credit Suisse dated 18 March 2009 informing CMCK that they will not cooperate with the Antiguan Receiver until it is recognised in the English courts.	Letter from CMCK to Credit Suisse dated 30 March 2009, informing them of the Antiguan receivers' position regarding the freezing injunction obtained by the SEC on 27 March 2009, Follow –up phone call from CMCK to confirm receipt.	Letter from Credit Suisse to CMCK dated 6 April 2009. Denial that there was ever an agreement between Credit Suisse and the Antiguan Receiver that CS would not pay out any money without the Antiguan Receivers' consent. Statement that CS will comply with its legal obligations, but that currently the Antiguan receivers are not recognised under English law.	Letter from CMCK to Credit Suisse dated 8 April 2009 (sent by email). Updating Credit Suisse on status of US freezing order, asking that Credit Suisse give CMCK two clear business days notice before transferring any funds to the US. Follow up phone call from Duncan Aldred.	Email from Riccardo Triani at Credit Suisse to CMCK dated 8 April 2009. Confirmation that he is considering Credit Suisse's response, but in the meantime, no monies will be paid out from any SIB accounts. Email from Riccardo Triani dated 9 April 2009, stating that CS sees no legal basis for CMCK's request for 2 clear days notice. CONTINUED BELOW

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Lehman Brothers UK	Email from PWC, administrators to Lehman Brothers, to CMCK dated 8 April 2009. PWC had only received one letter from CMCK and asked for copies of all letters to be sent.	Letter from CMCK to Lehman's dated 16 April 2009, informing Lehman's that Nigel Hamilton-Smith et al. have been appointed as liquidators of SIB. Followed up by emailed copy of court order on 20 April 2009.							
	CMCK sent copies of all correspondence to PWC on 9 April 2009.								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Longley Asset Management UK	Melissa Longley phoned Rachel Rees 2 March 2009 informing her that her company did not have custody of the accounts and that these were held with Charles Schwab and Marex Financial Limited.	Letter from Longley Asset Management dated 2 March 2009 stating that LAM is the discretionary manager of two portfolios for SIB and giving details.	Fax to LAM from CMCK 11 March 2009 noting LAM have confirmed that the two accounts will be frozen.	Telephone conversation between Melissa Longley (of LAM) and Iben Madsen on 13 March 2009. ML wanted to: 1. Make sure that all future correspondence went to Marex and Schwab (not her); and 2. Mention that she had be contacted by the US receivers, and say that she expected that Marex and Schwab would only release funds with the agreement of both receivers.	Letter from CMCK to Longley Asset Management dated 30 March 2009, informing them of the Antiguan receivers' position regarding the freezing Injunction obtained by the SEC on 27 March 2009, Follow –up phone call from CMCK to confirm receipt.	Copy of letter sent to Marex by CMCK on 8 April 2008 faxed to Melissa Longley on 8 April.	Copy of letter sent from CMCK to Marex dated 16 April 2009, faxed to Melissa Longley on 16 April.		

STANFORD - CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Marex Financial UK	Letter from Marex Financial dated 4 March 2009 enclosing statements of account for three accounts.	Telephone conversation between Marex Financial and Rachel Rees 10 March 2009. Marex reported that it had been asked by the US receiver to pay money into 3 designated bank accounts. RF informed him of the current situation re the receiver and he confirmed that he would do nothing until he heard back.	Letter from Marex Financial dated 10 March 2009 stating CMCK's position re. the US receiver and asking for all assets to be frozen.	Letter from CMCK to Marex dated 19 November 2009 informing it that CMCK had received a response to its letter of 10 March from the department of documentation of Marex. CMCK said it did not intend to respond, but thought that Marex might like to inform its documentation department of the correspondence that had already taken place.	Letter from CMCK to Marex dated 30 March 2009, informing them of the Antiguan receivers' position regarding the freezing injunction obtained by the SEC on 27 March 2009, Follow -up phone call from CMCK to confirm receipt.	Letter from CMCK to Marex dated 8 April 2009 (sent by email). Updating Marex on status of US freezing order, asking that Marex give CMCK two clear business days notice before transferring any funds to the US. Follow up phone call from Duncan Aldred.	Two emails from Julian Courtney at Marex to CMCK dated 8 April 2009. The first confirming receipt of the letter sent by CMCK earlier that day, the second saying "I am not realising any funds held with Marex Financial Limited".	Letter from CMCK to Marex dated 16 April 2009, informing Marex that Nigel Hamilton-Smith et al. have been appointed as liquidators of SJR. Followed up by emailed copy of court order on 20 April 2009.	

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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
MF Global US	Fax from MF Global dated 3 April 2009, stating that it has also been contacted by the US receiver and is seeking "guidance" prior to proceeding further.	Letter from CMCK to MF Global dated 7 April 2009, acknowledging receipt of fax from MF Global, noting that it is going to seek "guidance", and reiterating the Antiguan receivers' position.							
Royal Bank of Canada Global Services CANADA	Letter to Royal Bank of Canada from Ogilvy Renault, dated 8 April 2009, enclosing Canadian court order of 6 April 2009. Demanding transfer of all funds held by the bank on behalf of SJR and / or STC.								

STANFORD -- CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
SG Private Banking (Counsel: Poncet Turrettini Amaudruz, Neyroud & Associates -- Olivier Wehrli) SWITZERLAND	Letter dated 6 March 2009 from Counsel to SG Private Banking refusing to divulge any information due to Swiss law restrictions.	Letter dated 11 March from CM&K to Counsel for SG Private Banking Informing them that the client intends to appoint Swiss counsel.							

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
TD Waterhouse (Counsel: McGuire Woods – Christopher Cutler, Robert Plotkin, Kurt E. Wolfe) CANADA NB SEE TORONTO DOMINION BANK	See TD Bank below	Letter from McGuire Woods to CMCK dated 27 March 2009. In response to letter from CMCK dated 11 March 2009, request that all further correspondence be addressed to McGuire Woods and not TD Waterhouse.	Email from CMCK to McGuire Woods dated 27 March 2009. Apologies for sending letter to TD Waterhouse directly; statement that it appears we have all necessary information from TD Waterhouse and TD Bank; reiteration of Antigua receivers position re US receiver.	Email from Jean Estabrook, in- house counsel at TD Waterhouse, to CMCK dated 8 April 2009. Statement that TDW holds no accounts in the name of SIB.	Email from CMCK to Jean Estabrook, copying McGuire Woods, dated 9 April 2009. Informing Ms Estabrook that have already been in correspondence with McGuire Woods, and asking for clarification about the account that McGuire Woods had informed us WAS held at TD Waterhouse.	Email from Robert Plotkin at McGuire Woods dated 9 April, clarifying the earlier emails with Jean Estabrook. TD Waterhouse is an affiliate of Toronto Dominion, and the information previously supplied to CMCK by McGuire Woods is still correct.			

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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Toronto Dominion Bank (Counsel: McGuire Woods -- Christopher Cutler, Robert Plotkin, Kurt E. Wolfe) CANADA NB SEE ALSO TD WATERHOUSE	Email from Counsel to Toronto Dominion Bank dated 4 March 2009 informing CMick of SIB account balances held at TD Bank and informing CMick that these accounts have been frozen in accordance with the US court order.	Letter from CMick to Counsel for TD Bank dated 11 March 2009 informing them of CMick's position re. the US receiver.	Letter from Counsel to TD Bank sent by email 17 March 2009 confirming that account no. 3176167 does not exist.						
Northern Trust US	No response								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Super Model (Counsel: Nixon Peabody – Brent Little) (CMSU is general partner). US	See Reznick for earliest correspondence.	Email from Jim Holt at CMSU, general partner of Super Model Portfolio LLP, dated 23 March 2009. Stated that the US receiver had initially asked Suor Model to hold all assets, but on 16 March had asked them to transfer all monies to the US receiver.	Email from CMCK to Jim Holt at CMSU dated 26 March 2009. Confirmation that the US and Antiguan receivers are in discussions; statement that, in the Antiguan receiver's view, the only proper course of action is to freeze all monies until the relationship between receivers has been clarified.	Email from Jim Holt dated 26 March 2009 confirming that CMSU will hold all funds owned by SIB "until we receive proper guidance".					

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Reznick Group P.C. (Accountants for Super Model) (Counsel: Sheppard Mullin Richter & Hampton LLP – John “Jack” Fornaciari) US	Email from John Fornaciari dated 5 March 2009, Counsel for Reznick Group. Letter attached explaining Reznick's connection with Super Model and asking if CMCK would have any objection to him asking Super Model for permission to disclose the Information sought by CMCK.	Email 6 March 2009 to John Fornaciari from CMCK asking for his help in securing the assistance of Super Model. Response from JF asking for teleconference.	Teleconference 13 March 2009 between John Fornaciari, Reznick and CMCK. JF explained that Reznick were preparing reports for the Attorney General of Maryland.	Letter dated 13 March 2009 from CMCK to Nixon Peabody, Counsel for Super Model, asking for information re SIB's / STC's Investment in Super Model and stating CMCK's position re US receiver.					

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Pershing LLC US	CMCK copied in on letter to assistant director of SEC from Pershing dated 12 March 2009. Letter stated that whilst SIB is Pershing's client for custody purposes, the accounts are run by Credit Suisse. Also confirmed that accounts are frozen and that Pershing were liaising with SFO, police and FSA.	Exchange of voicemail messages between Pershing and Rachel Rees 16 March 2009.	Email from CMCK to Pershing dated 17 March 2009 informing Pershing of CMCK's position re. US receiver.	Voicemail left by Alastair Fitzsimons of Pershing on RF's answer phone 25 March 2009. He apologised for not reverting earlier but said that Joan Schwartz from the New Jersey office had been away with a fractured foot. He would try and call back later today with someone else from the New Jersey office.	Telephone conversation between DAHE of CMCK and Alastair Fitzsimons ("AF") of Pershing on 15 April 2009. AF confirmed that Pershing were holding SIB assets and would be responding to CMCK's letter within a few days. DAHE explained the relationship between the US and Antiguan receivers. AF commented that this was "very interesting".	Letter from CMCK to Pershing dated 16 April 2009, enclosing copies of all correspondence to date and informing Pershing that Nigel Hamilton-Smith et al. have been appointed as liquidators of SIB. Email response from Alastair Fitzsimons 15 minutes later saying that he was not aware that CMCK were interested in Pershing Limited, and that he would like to organise a conference call for 22 April. Email response from DAHE 15 minutes later saying that he had thought that Alastair would be informing us about Pershing Limited after their telephone			
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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
JP Morgan Clearing Corp. US	No response								
Deutsche Bank Commodity Services (Originally wrote to: Invesco PowerShares Capital Management LLC) US	Letter from Deutsche Bank Commodity Services dated 13 March 2009 stating that DBCS is unable to supply any information, and suggesting that CMCK contacts the broker-dealer.	Letter from CMCK to DBCS dated 19 March 2009 noting that, although DBCS claimed not to be able to provide any information, it had sent SIB a tax package for 2008 with an ownership schedule. CMCK requested contact details for DTC and Cade & Co and any information as to whether SIB held its shares through DTC or another entity.	Letter from DBCS to CMCK dated 1 April 2009. Statement that DBCA does not have the requested information, and that any further queries regarding SIB's accounts should be directed to SIB's broker-dealer.						

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Paradigm Capital Management LLC (Counsel: Tagliaferro & LoPresti, LLP – Marc X. LoPresti) US	Will O'Connor telephoned Counsel to Paradigm Capital Management 4 March 2009 asking if he would like to be copied in to letter to Paradigm and asking him to confirm that all accounts with Paradigm would be frozen. This was confirmed.	Letter from Counsel to Paradigm sent to CMCK 10 March 2009 confirming that funds have been put in a separate "memorandum account", and making a claim to be indemnified for legal expenses.							
Stanford Casa de Valores ECUADOR	No response								
American Samoa Telecom LLC US	Letter returned unread 08/04/2009								
Stronghold Technologies US	No response								
[REDACTED]									
ACON Bastion Partners I US	No response		Telephone call from Barry Johnson at ACON Investments to CMCK on 2 April 2009. BJ reported	Letter from Francesca Odell to CMCK dated 7 April 2009, stating that: (1) CMCK should go	Letter from CMCK to Francesca Odell dated 14 April 2009. Statement that negotiations are	Letter from Francesca Odell to CMCK dated 20 April 2009. Refusal to provide any			
ACON Bastion Partners II US	No response								
ACON Bastion Partners III US	No response								

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STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
ACON Project Milagro (Counsel: Cleary Gottlieb Steen & Hamilton LLP – Francesca L. Odell) US	Letter from counsel to Acon Project Milagro to CMCK dated 17 March 2009 asking for further explanation of Antiguan receiver's jurisdiction and the relationship between US and Antiguan receivers	Letter from CMCK to counsel for ACON dated 25 March 2009. Explanation of relationship between Antiguan and US receivers; refusal to supply correspondence between receivers; reiteration of request to freeze assets.	that he had only just received one letter, and it had been sent to the wrong address. CMCK confirmed that he was the representative for all ACON companies and emailed him copies of all correspondence sent to all ACON companies on 2 April 2009.	to the US receiver for all of its information; and (2) Cleary Gottlieb has been appointed as counsel for all ACON entities and all future correspondence should be with them.	still ongoing between the Antiguan and US receivers as to the extent to which they are willing to cooperate, and request that Ms Odell therefore passes any information she might have on ACON's relationship with SIB and STC on to CMCK.	information until the situation regarding the powers of the US and Antiguan receivers is clarified.			
ACON Investments LLC (Washington Nationals) US	No response								
No longer relevant. SEE ACON INVESTMENTS LLC (WASHINGTON NATIONALS) Washington Nationals Baseball Club, LLC US	No response								
American Leisure Group Ltd US	No response								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Go Antiques Inc US	No response								
Hlsense Broadband Multimedia CHINA	No response								
KineMed Inc US	Email from KineMed to CMCK dated 16 March 2009 requesting that CMCK resend letter of 3 March 2009. CMCK resent this letter.	Email from in-house counsel at KineMed dated 16 March 2009 asking for further details from CMCK.	Email from CMCK to in-house counsel at KineMed dated 17 March 2009 providing further details and stating CMCK's position re the US receiver.	CMCK copied in on an email sent by KineMed to Mr Pi on 23 March 2009. Mr Pi appears to work for the Stanford Eagle magazine, and had also been in touch with KineMed. KineMed suggested in their email that CMCK and Mr Pi correspond with each other about who should be dealing with KineMed.	Email from CMCK to James Burden at KineMed dated 26 March 2009. Clarification of relationship with US receiver; asking for either confirmation that SIB / STC have no assets in KineMed, or the information originally requested about their investments.	Email from David Fhemman, president and chairman of KineMed, dated 26 March 2009, telling James Burden to supply CMCK with all information requested. Email from James Burden later in the day, confirming that he will supply the requested information.	Emails from James Burden to CMCK dated 31 March 2009, and attaching multiple exhibits evidencing SIB's shareholding and involvement with KineMed.		

STANFORD -- CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Louisiana Ventures (Jones Walker LLP - Curtis R. Hearn) US	Letter dated 10 March 2009 from Louisiana Ventures to SIB confirming SIB contributed \$3,782,278 to the Venture Capital Fund and stating that they will not submit to the jurisdiction of the Antiguan courts. Further documents provided.	Email from Ross Barrett at Louisiana Ventures to CMCK attaching letter dated 17 March 2009. RB requested confirmation of receipt of this letter, and reiterated that by responding to CMCK's letters, he was not submitting to the jurisdiction of the Antiguan courts.	Email from RF at CMCK to Ross Barrett dated 19 March 2009, confirming receipt of his letters and asking him to respond on the issue as to whether the investment by SIB in Louisiana Ventures would remain frozen pending resolution of issues between the US and Antiguan receivers						
Luminex Corporation US	No response								
Serisco Technologies Inc US	No response								
Tree Top Kinds Inc US	No response								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
USFR Media Group US	Letter dated 19 March 2009 from USFR to CMCK confirming that SIB holds 1,662, 494 shares of common stock. STC has no connection with USFR. No acceptance that USFR accepts the jurisdiction of the Antiguan courts.								
Landry's Restaurants Inc US	No response								
Coutts General Partner (Cayman) III Limited CAYMAN ISLANDS	No response	Email from CMCK to Paul Hogg of RBS Coutts	Email from Paul Hogg to CMCK dated 21 April						

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Coutts General Partner (Cayman) IV Limited CAYMAN ISLANDS	Email from Coutts General Partner (Cayman) IV Limited ("CGP") dated 16 April 2009 to CMCK. CGP acts as general partner for Coutts Private Equity Limited Partnership II ("CPELP II"). No involvement from STC, but SIB had a total commitment of \$4.5m, of which \$2.025m has already been drawn down.	(Cayman), dated 17 April 2009. Sending copies of all correspondence already sent; asking for further clarification of what has been paid out by SIB, and what is the situation regarding the rest of SIB's commitment; asking if Paul Hogg will also accept correspondence relating to CGP III.	2009. Informing CMCK of SIB's Investments in CPELP II, CAPELP, and CGPLP. Also asking CMCK to contact Simon Greber in future.						
Meridian Diversified Fund Limited BERMUDA	No response	Followed up by an email on 20 April 2009 attaching the Antiguan liquidation order.							

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Wimbleton HDN Fund Ltd (Swiss Financial Services (Bahamas) Ltd) BAHAMAS	Letter from Swiss Financial Services to CMCK dated 16 April 2009. SIB invested in Wimbleton in 2004. SIB made a full redemption request in December 2007, and 90% of the proceeds were paid out in April 2008. 10% remains not paid. Swiss Financial Services have informed their regulators, and copied CMCK's correspondence to the them.								
Flyline Offshore Fund Ltd CAYMAN ISLANDS	No response								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
DKR Capital Partners LP (Originally wrote to: BNY Alternative Investment Services Ltd) US	Letter from DKR Capital Partners LP to CMCK dated 16 March 2009 informing CMCK that SIB Invested in the DKR SoundShore Strategic Fund Limited and requesting contact details should any further dividends become payable. No response	Letter from CMCK to DKR Capital Partners LP informing them of CMCK's contact details and asking that any information about future dividends be supplied to CMCK.							
FISCO Income Plus Offshore Fund Ltd CAYMAN ISLANDS									
TDS Town Homes US	No response – Letter returned unopened								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
SSM Venture Partners (Counsel: Wilmer Cutler Pickering Hale & Dorr LLP - Thomas Beaudoin and Javad Mostofizadeh) US	Letter from SSM Partners to CMCK dated 12 March 2009 stating that SIB had contributed \$3,950,000 to a Venture Capital Fund (SSM Fund III) and that Stanford Venture Capital Holdings Inc (an affiliate of SIB and STC) had contributed \$566,728.54 to a Venture Capital Fund called SSMIV	Standard letter dated 11 March 2009 from CMCK to SSM.	Email from SSM dated 18 March, acknowledging receipt of second contact, and attaching letter sent at first contact (dated 12 March 2009) in case CMCK had not received it. Nothing further added.	Letter from CMCK to SSM dated 19 March, noting that SSM claimed that \$566,728.54 had been paid into the fund by Stanford Venture Capital Holdings not SIB. CMCK pointed out that SIB's records showed that it had made this payment, and that therefore SIB's receivers would reserve the right to take action against SSM if this money was paid out.					
The Trial Productions US	No response								
Winthrop Asset Management US	No response								
Foley & Lardner LLP US	No response								

STANFORD - CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
Healthcare Quality Solutions Inc US	No response								
Innovative Steel Technologies Inc US	No response								
Mountain Partners AG SWITZERLAND	No response								
State Petroleum Distributors, Inc. US	No response								
PanaSteel, LLC US	No response								

STANFORD – CORRESPONDENCE RE INVESTMENTS

Name	First Contact	Second Contact	Third Contact	Fourth Contact	Fifth Contact	Sixth Contact	Seventh Contact	Eighth Contact	Ninth Contact
The Majestic Grille US	No response								

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STANFORD – CORRESPONDENCE RE INVESTMENTS

CONTINUATION

Name	Tenth Contact	Eleventh Contact	Twelfth Contact	Thirteenth Contact	Fourteenth Contact	Fifteenth Contact	Sixteenth Contact	Seventeenth Contact	Eighteenth Contact
Credit Suisse UK	Letter from CMCK to Riccardo Triani dated 16 April 2009, informing him that Nigel Hamilton-Smith et al. have been appointed as liquidators of SIB. Followed up by emailed copy of court order on 20 April 2009.								

Name	Address	Asc/Cust No	Date of statement	Value	Cash	Bonds	Equities	Alternative Investments	Other	Notes	Letter Sent	Letter sent 11/03/09?	Responses Received	Comments
HSC Bank Panama S.A.	CO7 Y Aquilino De la Guardia, Panama City, Panama	810030057980	19-Feb-09	3,149,478.02			163,436.00				22/02/2009	Y		
HSC Bank plc	8 Canada square, London, E14 5HQ, UK	58180160	19-Feb-09	1,067,788.53			59,482,994.00				22/02/2009	Y		28/02/2009 Email response - see file; letter response rece
HSC Bank plc	8 Canada square, London, E14 5HQ, UK	58293136	19-Feb-09	3,672,978.35							22/02/2009	Y		28/02/2009 See above
HSC Bank plc	8 Canada square, London, E14 5HQ, UK	59198105	19-Feb-09	230,623.78							22/02/2009	Y		28/02/2009 See above
HSC Bank plc	8 Canada square, London, E14 5HQ, UK	67760538	19-Feb-09	75,210.67							22/02/2009	Y		27/02/2009 Email response - see file; Trustmark informed
Trustmark National Bank	Houston River Oaks Branch, 4200 Westminister - Suite 101, Houston, TX 77027, USA	3003101558	19-Feb-09	10,000.00							24/02/2009	Y		27/02/2009 See above
Trustmark National Bank	Houston River Oaks Branch, 4200 Westminister - Suite 101, Houston, TX 77027, USA	3003101541	19-Feb-09	10,000.00							24/02/2009	Y		27/02/2009 See above
Trustmark National Bank	Houston River Oaks Branch, 4200 Westminister - Suite 101, Houston, TX 77027, USA	3003101608	19-Feb-09	175,821.65							24/02/2009	Y		27/02/2009 See above
Trustmark National Bank	Houston River Oaks Branch, 4200 Westminister - Suite 101, Houston, TX 77027, USA	3003101707	19-Feb-09	406,277.60							24/02/2009	Y		27/02/2009 See above
Trustmark National Bank	Houston River Oaks Branch, 4200 Westminister - Suite 101, Houston, TX 77027, USA	3003110179	19-Feb-09	353.67							24/02/2009	Y		27/02/2009 See above
Trustmark National Bank	Houston River Oaks Branch, 4200 Westminister - Suite 101, Houston, TX 77027, USA	3003901097	19-Feb-09	1,205,324.75							24/02/2009	Y		27/02/2009 See above
Trustmark National Bank	Houston River Oaks Branch, 4200 Westminister - Suite 101, Houston, TX 77027, USA	59300054850003000000	19-Feb-09	81,100.00							24/02/2009	Y		05/03/2009 Email response - see file
Bank of Houston	P.O. Box 572257, Houston, TX 77257-2257, USA	8706	19-Feb-09	1,946,972.32							24/02/2009	Y		05/03/2009 See above
Bank of Houston	P.O. Box 572257, Houston, TX 77257-2257, USA	8284	19-Feb-09	1,402.27							24/02/2009	Y		23/03/2009 Statements received, no covering letter.
Comerica Bank	P.O. Box 75000, 201 W Fort Street, 3rd Floor, Detroit, MI 48226, USA	1857196458	31-Dec-08	290,123.50							27/02/2009	Y		
Comerica Bank	P.O. Box 75000, 201 W Fort Street, 3rd Floor, Detroit, MI 48226, USA	861019674-00-DNA194	31-Dec-08	5,167,566.57							27/02/2009	Y		
Bank Julius Baer & Co Limited	Rue Pierre-Fatio, PO Box 3142, CH-1211, Geneva 3	139,6744	31-Jan-09	964,947.00			163,436.00				27/02/2009	Y		15/03/2009 letter from bank to Jones Day's Swiss counsel
Barclays Capital Inc	1 Rue Rudolphe Toeffler, CP2524, CH1211 Geneva 3	750058	31-Jan-08	83,912,190.00			59,482,994.00				27/02/2009	Y		15/03/2009 letter from bank to Jones Day's Swiss counsel
Barclays Capital Inc	200 Park Avenue, New York, NY 10166	09610076	31-Oct-08	3,727,976.00							27/02/2009	Y		Letter from US receiver to SIB dated 2 March
Barclays Capital Inc.	200 Park Avenue, New York, NY 10166	831 - 63641									27/02/2009	Y		
Barclays Capital Inc.	200 Park Avenue, New York, NY 10166	9693143	23-Dec-08	1,505,163.23					1,505,163.23		27/02/2009	Y		
Barclays Wealth	200 Park Avenue, New York, NY 10166	9693144	17-Dec-08	52,046.24					52,046.24		27/02/2009	Y		
Charles Schwab	PO Box 2005, Jersey City, NJ, 07303-2005	831-03935	31-Dec-08	10,956,152.24							27/02/2009	Y		03/03/2009 Email from Beth Klugman, letter received 4 h
Charles Schwab International	101 Montgomery Street, San Francisco, CA 94104	9055-1010	31-Oct-07	3,155,100.07							27/02/2009	Y		03/03/2009 Managed by Longley Asset Management
RBS Coutts (formerly Coutts Bank von Ernst)	Quai de Lile 13, Case Postale, 1211 Geneve 11, Suisse	1181 - 1046	31-Dec-08	3,886,417.74			3,819,802.29				27/02/2009	Y		03/03/2009 Refusal to give any information due to Swiss l
RBS Coutts (formerly Coutts Bank von Ernst)	Quai de Lile 13, Case Postale, 1211 Geneve 11, Suisse	63226698	30-Nov-07	916,173.00							27/02/2009	Y		03/03/2009 See above
RBS Coutts (formerly Coutts Bank von Ernst)	Quai de Lile 13, Case Postale, 1211 Geneve 11, Suisse	614511000									27/02/2009	Y		03/03/2009 See above
RBS Coutts	Quai de Lile 13, Case Postale, 1211 Geneve 11, Suisse	6324690	31-Dec-08	68,770,286.00		10,986,648.00	16,946,123.00		37,763,763.00	1,068,106.00	27/02/2009	Y		03/03/2009 Refusal to give any information due to Swiss l
Credit Suisse	1 Cabot Square, 17h Floor, London, E14 4QJ	11083375	24-Dec-08	£438,173.37			£384,784.65				27/02/2009	Y		03/03/2009 Holding email from Riccardo Trani, No subste
Credit Suisse	1 Cabot Square, 17h Floor, London, E14 4QJ	984/LD019051	24-Dec-08	£3,955,017.59			£29,467,228.21				27/02/2009	Y		03/03/2009 See above
Credit Suisse	1 Cabot Square, 17h Floor, London, E14 4QJ	984/LD043465	24-Dec-08	£8,091,615.00			£3,895,842.39				27/02/2009	Y		03/03/2009 See above
Credit Suisse	1 Cabot Square, 17h Floor, London, E14 4QJ	21F - 810651	31-Dec-08	894,426.07			882,560.46				27/02/2009	Y		03/03/2009 See above
Credit Suisse	1 Cabot Square, 17h Floor, London, E14 4QJ	111 - 029117	31-Dec-08	4,515,035.78		4,297,140.40					27/02/2009	Y		05/03/2009 See above
Credit Suisse	1 Cabot Square, 17h Floor, London, E14 4QJ	0210 - 093465	31-Dec-08	35,089,716.01		2,334,961.15					27/02/2009	Y		05/03/2009 See above
Credit Suisse	1 Cabot Square, 17h Floor, London, E14 4QJ	984/LD022287	24-Dec-08	£7.71							27/02/2009	Y		05/03/2009 See above
Credit Suisse	1 Cabot Square, 17h Floor, London, E14 4QJ	984/LD026080	24-Dec-08	£2.45							27/02/2009	Y		05/03/2009 See above
Credit Suisse	1 Cabot Square, 17h Floor, London, E14 4QJ	210 - 022287	31-Dec-08	11.32							27/02/2009	Y		05/03/2009 See above
Credit Suisse	1 Cabot Square, 17h Floor, London, E14 4QJ	984/LD064909	28-Nov-08	£4,543,585.41			£4,543,585.41				27/02/2009	Y		08/04/2009 Copy letter sent to Lehman Brothers in Wilmi
Lehman Brothers INC	25 Bank Street, London, E14 5UE	76593275	25-Oct-07	£4,543,585.41						they use the Charles Swab account nur	27/02/2009	Y		08/04/2009 Telephone conversation with Radcliff Rees - se
Lehman Asset Management	44 Canerney Road, London SW16 3AA									company number FCO13063	27/02/2009	Y		02/03/2009 Fax response - see file, Account balances conf
Marex Financial	135 Bishopgate, London, EC2M 3TQ	18886	31-Dec-08	299,259.18			299,259.18				27/02/2009	Y		04/03/2009 Fax response - see file, Account balances conf
Marex Financial	135 Bishopgate, London, EC2M 3TQ	18889	31-Dec-08	156,399.71			156,399.71				27/02/2009	Y		03/04/2009 Fax response, Aware of US receiver as well, al
MF Global	717 Fifth Avenue, 9th Floor, New York, 1002 - 8101	E D22 9074 72863	13-Jan-09	790,152.37					790,152.37		27/02/2009	Y		03/04/2009
MF Global	718 Fifth Avenue, 9th Floor, New York, 1002 - 8101	E D22 9074 70497	31-Dec-08	10,009.33					101,009.33		27/02/2009	Y		03/04/2009
MF Global	717 Fifth Avenue, 9th Floor, New York, 1002 - 8101	E D22 9074 72888	05-Jan-09	1,319,800.81					1,319,800.81		27/02/2009	Y		03/04/2009
MF Global	717 Fifth Avenue, 9th Floor, New York, 1002 - 8101	E D22 9074 72950	31-Dec-08	1,324,917.22					1,324,917.22		27/02/2009	Y		03/04/2009
MF Global	717 Fifth Avenue, 9th Floor, New York, 1002 - 8101	E D22 9074 70497	30-Nov-07	99,661.04							27/02/2009	Y		03/04/2009
Royal Bank of Canada Global Services	77 King St West, 12th Floor, PO Box 7500 Station A, Toronto, Ontario M5W 1P9	554-117071-064	30-Nov-05	12,348,537.00						US Dollar account	27/02/2009	Y		
Royal Bank of Canada Global Services	77 King St West, 12th Floor, PO Box 7500 Station A, Toronto, Ontario M5W 1P9	554-117071-063	30-Sep-05	37,590.00						Canadian Dollar account	27/02/2009	Y		
SG Private Banking	Rue de la Corrairie 6, CH-1204 Geneva, Case postale 5022, CH1211, Geneve 11	800801	31-Jan-09	47,089,125.00			833,057.00			Foreign Exchange options	27/02/2009	Y		
SG Private Banking	Rue de la Corrairie 6, CH-1204 Geneva, Case postale 5022, CH1211, Geneve 11	800800	31-Jan-09	78,872,565.00		8,190,270.00	20,055,831.00		5,183,999.00		27/02/2009	Y		06/03/2009 Refusal to give any information due to Swiss l
SG Private Banking	5050 Westheimer, Houston, TX 77056	21044	31-Dec-08	22,572,269.03			8,954,099.62		47,590,383.00		27/02/2009	Y		06/03/2009 See above
Stenford Coins & Bullion	Ernst & Young Tower, 222 Bay street, 15th Floor, Toronto, Ontario, M5K 1A2	NF6941	31-Dec-08	31,781.67		6,843,808.21				Old transaction listing	27/02/2009	N		Letter sent to Baker Berts on 04/03/2009
TD Waterhouse	Yonge Corporate Centre, 4140 Yonge St, Suite 100, Toronto, Ontario, M2P 2B5 Canada	3178167	30-Jul-08	30,065,200.00		30,063,200.00					27/02/2009	Y		04/03/2009 Email response with Toronto Dominion respo
Toronto Dominion Bank	Global Business Services222 Bay Street15th FloorToronto, MSK 1A2Canada	0360 01 2161573	19-Feb-09	1,108,221.92							27/02/2009	Y		04/03/2009 See above
Toronto Dominion Bank	Global Business Services222 Bay Street15th FloorToronto, MSK 1A2Canada	0360 01 2161670	19-Feb-09	17,146,696.77							27/02/2009	Y		04/03/2009 See above
Toronto Dominion Bank	Global Business Services222 Bay Street15th FloorToronto, MSK 1A2Canada	0360 01 2224235	19-Feb-09	312,794.07							27/02/2009	Y		04/03/2009 See above
Toronto Dominion Bank	Global Business Services222 Bay Street15th FloorToronto, MSK 1A2Canada	0360 01 2300380	19-Feb-09	350,950.04							27/02/2009	Y		04/03/2009 See above
Northern Trust	700 Bickell Avenue,Miami, Florida, 33131-2802UNITED STATES OF AMERICA	1016039442	31-Dec-08	9,143,807.09							27/02/2009	Y		
Pershing LLC	One Pershing Plaza, Jersey City, New Jersey 07399, USA	No details								Mentioned in US Receiver's receiver sh	04/03/2009	Y		12/03/2009 Copied in on letter to Alberto Avarelo, Assiste
JP Morgan Clearing Corp.	570 Washington Blvd, 12th Floor, Jersey City, New Jersey 07310 USA	No details								Mentioned in US Receiver's receiver sh	04/03/2009	Y		

VALUE TOTALS		USD equivalent 12 March 2009	
USD	381,001,905.07		
GBP	£45,028,401.53		
CAN	37,590.00		
TOTAL USD		443,518,082.37	

ived 03/03/2009 - see file. Letter response from HSBC to CMCK's letter of 11/03/09, reiterating position that HSBC will take no action until the legal relationship between the Receivers has been established

us of a further five accounts

! sent on 23 March 2009, forwarded to CMCK on 15 April 2009.
' sent on 18 March 2009, forwarded to CMCK on 15 April 2009.

(received 26 March) stating that \$13,433,618.68 has been transferred out of this account into the US receiver's account.

March enclosing account statements for the 2 accounts asked about and 2 extra accounts for which James M Davis and Laura Pendergast were the authorised agents (in the names of Banks of Antigua and Stanford Bank (Panama)). Email from Chris Riche (external lawyer) on 13/03/09 asking for clarification on four accounts. Email response from Rachel Rees on 17/03/09, confirming that the Antigua Receiver's remit is only over the SIB account.

aw restrictions

aw restrictions
ntive response. Letter from Riccardo Triani dated 16/03/09 claiming client confidentiality therefore unable to respond. Letter sent to Riccardo Triani dated 16/03/09, pointing out that issues of client confidentiality are irrelevant in the context of Nigel Hamilton-Smith's appointment as Receiver-Manager; response from RT 18/03/09

ngton. Delaware returned to sender on 10/03/09. PWC made contact 8 April 2008, asking for copies of all correspondence sent to Lehman's
re attendance note in file. Letter received 2 March 2009. Discretionary management of 2 portfolios for SIB. Custodians are Charles Schwab. Account no. 1181-1046 US\$506,324.34 money market funds; Marox Financial United Acc no. 18886 US\$299,851.24; Letter says 9055-1010 is not an SIB account.
lined, information also give about a bank of Antigua account. Managed by Longley Asset Management. Second letter sent re relationship with Longley Asset Management 02/03/2009. Telephone conversation with Rachel Rees leading to third letter 10/03/2009.
at Stanford Finance Group Limited.
nd seeking guidance before responding.

aw restrictions

nae below
i Woods, counsel to TD Bank, confirming that account 3176157 does not exist.

int Director SEC. Voice-mails exchanged, email sent to Alastair Fitzsimons 17/03/09.

Name	Address	Equity	Debt	Notes	Letter sent re equity?	Letter sent re debt?	Letter sent 11/03/09?	Response Received?	Comments
American Samoa Telecom LLC	Tafina Industrial Park, Pago Pago, AS 69799	✓		transferred from Stanford Venture Capital Ho	02/03/2009	N/A	Y		
Stronghold Technologies	16801 Addison Road, Suite 310, Addison, TX 75002	✓	✓	transferred from Stanford Venture Capital Ho	02/03/2009	03/03/2009	Y		
ACON Investments LLC (Washington Nationals)	1110 Bagby Street, Suite 4900, Houston, TX 77002	✓			17/03/2009	N/A			Following on from letter sent to Washington Nationals
ACON Baitton Partners I	1111 Bagby Street, Suite 4900, Houston, TX 77002	✓		In Portfolio as managed by SGC - details as a	02/03/2009	N/A	Y		
ACON Baitton Partners II	1111 Bagby Street, Suite 4900, Houston, TX 77002	✓		In Portfolio as managed by SGC - details as a	02/03/2009	N/A	Y		
ACON Baitton Partners III	1112 Bagby Street, Suite 4900, Houston, TX 77002	✓			03/04/2009	N/A	N/A		
ACON Project Millage	1111 Bagby Street, Suite 4900, Houston, TX 77002	✓		In Portfolio as managed by SGC - details as a	02/03/2009	N/A	Y		17/03/2009 Letter from counsel to Acon asking for further explanation of Antiguan receiver's jurisdiction and the relationship between US
American Leisure Group Ltd	2460 Sand Lake Road, Orlando, Florida 32809	✓	✓	In Portfolio as managed by SGC - details as a	02/03/2009	03/03/2009	Y		
DGSE Companies	11311 Reeder Road, Dallas, TX 75229	✓		In Portfolio as managed by SGC - details as a	02/03/2009	03/03/2009	Y		
Forefront Holdings	835 Bill Jones Industrial Drive, Springfield, TN 37172	✓	✓	In Portfolio as managed by SGC - details as a	02/03/2009	03/03/2009	Y		Letter sent to registered address (differently) 17/03/09
Go Antiques Inc	133 Sevilla Avenue, Coral Gables, FL 33134	✓		In Portfolio as managed by SGC - details as a	02/03/2009	N/A	Y		
Hisense Broadband Multimedra (maybe Hisense Kelon	No.8 Hongtong Rd., Rongguai, Shunde, China	✓		In Portfolio as managed by SGC - details as a	02/03/2009	N/A	Y		
KineMed Inc	5980 Horton Street, Suite 400, Emeryville, CA 94608	✓	✓	In Portfolio as managed by SGC - details as a	N/A	03/03/2009	Y		16/03/2009 Email response requesting that letter of 3/3/2009 be resent. Letter of 3/3/2009 resent on 16/3/09. Email exchange between C
Louisiana Ventures	820 Garrett Dr, Bossier City, LA 71111-2500	✓		In Portfolio as managed by SGC - details as a	02/03/2009	N/A	Y		10/03/2009 Response by letter. Confirmed USD 3,782,276 contributed to venture capital fund. Do not submit to Jurisdiction of Antiguan o
Luminox Corporation	12212 Technology Boulevard, Austin, TX 78727	✓		In Portfolio as managed by SGC - details as a	02/03/2009	N/A	Y		
Serresco Technologies Inc	303 George Street, Suite 420, New Brunswick, NJ 08901	✓		In Portfolio as managed by SGC - details as a	02/03/2009	N/A	Y		
Tree Top Kinds Inc	264 South La Cienega Boulevard, Suite 1010, Beverly Hills, CA 90211	✓		In Portfolio as managed by SGC - details as a	02/03/2009	N/A	Y		19/03/2009 Response by letter dated 19 March confirming that SIB holds 1,662, 494 shares of common stock
USFR Media Group	USFR Media Group Inc. , 11150 Equity Drive, Houston, Texas 77041	✓		In Portfolio as managed by SGC - details as a	02/03/2009	N/A	Y		13/03/2009 Response by email from Margaret Weisnie. Unaware of connection between Washington Nationals and SIB / STC. Letter sent
Washington Nationals Baseball Club, LLC	Nationals Park, 1500 South Capitol Street, SEWashington, DC 20003-1807 UNITED STATES OF AMERICA	✓		In Portfolio as managed by SGC - details as a	02/03/2009	N/A	Y		
Landy's Restaurants Inc	1510 W Loop South, Houston, Texas, 77027, USA		✓	Potential Loan Notes Held	N/A	03/03/2009	Y		13/03/2009 Response by letter. Told to contact trustee directly. Letter sent to Trustee (Steven Finklea) 16/03/09.
Courts General Partner (Cayman) II Limited	PO Box 707 GT, 1446 West Bay Road, Grand Cayman KYI – 1107, Cayman Islands, British West Indies	?	?						No correspondence, only informed about it by BBS Coutts. See below.
Courts General Partner (Cayman) III Limited	PO Box 707 GT, 1446 West Bay Road, Grand Cayman KYI – 1107, Cayman Islands, British West Indies	?	?						
Courts General Partner (Cayman) IV Limited	PO Box 707 GT, 1446 West Bay Road, Grand Cayman KYI – 1107, Cayman Islands, British West Indies	?	?	Monies invested in partnership for investme	N/A	03/03/2009	Y		17/04/2009 Response by email. SIB has a total commitment of \$4.5m, of which \$2.025m has already been drawn down.
Meridian Diversified Fund Limited	Olympia Capital as Administrator/o Williams House, 20 Reid StreetHamilton, HM 11BERMUDA	✓			05/03/2009		Y		
Wimbledon HDN Fund Ltd	c/o Swiss Financial Services (Bahamas) Ltd, One Montague Place, 4th Floor, East Bay Street, PO Box EE-47758, Nassau, Bahamas	✓		Discovered in old file; shares held in 2006	10/03/2009	N/A	N		22/04/2009 Response by letter. SIB invested in Wimbledon in 2004. SIB made a full redemption request in December 2007, and 90% of the
Fiylfne Offshore Fund Ltd	c/o Admiral Administration Ltd, Anchorage Centre, 2nd Floor, PO Box 32021, SMAB, Grand Cayman, Cayman Islands BWI	✓		Discovered in old file; shares held in 2006	10/03/2009	N/A	N		
BNV Alternative Investment Services Ltd	c/o DKR Capital, DKR Soundshore Strategic Fund Ltd, 1281 East Main Street, 3rd Floor, Stamford, CT 06902, USA	✓		Discovered in old file; shares held in 2006	10/03/2009	N/A	N		16/03/2009 Response by letter from DKR Capital. Correction: SIB invested in DKR Soundshore Strategic Fund Limited. Letter sent to DKR I.
FISCO Income Plus Offshore Fund Ltd	c/o Admiral Administration Ltd, Anchorage Centre, 2nd Floor, PO Box 32021, SMAB, Grand Cayman, Cayman Islands BWI	✓		Discovered in old file; shares held in 2007	10/03/2009	N/A	N		
TDS Town Homes	2460 Sand Lake Road, Orlando, FL 32809, UNITED STATES OF AMERICA	?	?	Notification letter sent by contractors	19/03/2009	19/03/2009	scanted in letter of 19/03/2009		
Invesco PowerShares Capital Management LLC	301 West Roosevelt RoadWheaton, IL 60187UNITED STATES OF AMERICA	?	?		04/03/2009		Y		13/03/2009 Response from Deutsche Bank Commodity Services. They were unable to supply any information, and suggested that we cont
Paradigm Capital Management LLC	650 Fifth Avenue, 17th Floor, New York, N.Y. 10019	?	?	912 0012776848	04/03/2009		Y		11/03/2009 Letter from Paradigm's lawyer, Marc X. Lofrest. Claim to be indemnified for legal expenses, have put funds in separate "mem
Stanford Casa de Valores	Malecon 100 Y Av. de OctubreEdificio La Previsora, Piso 26 Oficina 2602GuayaquilEcuador	?	?		05/03/2009		Y		Copy of letter sent to Ecuadorian regulator (Superintendencia de Bancos y Seguros) 17/03/09
Super Model	General Trustee Super Model Portfolio, LLP, O. Box 59658Potomac, MD 20855UNITED STATES OF AMERICA	?	?		27/02/2009		Y		See below
Rennick Group P.C.	7780 Old Georgetown Road, Suite 400, Bethesda, MD 20814UNITED STATES OF AMERICA	N/A	N/A	Auditors appointed by State of Maryland to	27/02/2009		Y		05/03/2009 Email response from lawyers for Rennick group. Refusal to supply information on grounds of confidentiality, but offer to conta
SSM Venture Partners	Crescent Center, 6075 Poplar Avenue, Suite 335, Memphis, Tennessee 38119	?	?		03/03/2009		Y		12/03/2009 Response by letter. SIB has contributed USD 3,950,000 to a venture capital fund (SSM Fund III), Stanford Venture Capital Holdi

[REDACTED]

and Antiguan receivers

[REDACTED]

[REDACTED]

CMCK and counsel for Kinemed 17/3/09. Copied in on email to Mr. Pl 23/03/09. Response email from CMCK 26/03/09.

outs and/or receivers. State that the information is confidential. Further exchange emails 17 - 19 March.

[REDACTED]

to ACON Investments LLC (Washington Nationals) 17/03/09.

3 proceeds were paid out in April 2008. 10% remains not paid. Regulators informed.

7/03/09 asking that we be informed of any future dividend payments.

act the broker-dealer that would hold the shares of the fund on behalf of SIB.
forandum account".

at Super Model to request permission to divulge information - see file. Telephone conversation with lawyers for Reznick Group (Jack Fornaciari, Sheppard Mullin) and representatives from Reznick 16/03/09. Letter sent to Brent Little at Nixon Peabody 13/03/09 following recommendation from Jack Fornaciari.
ngs Inc (an affiliate of SIB and STC) has contributed USD 566,728.54 to a venture capital fund called SSM IV. CMCK response rejecting this.

Name	Address	Notes	Letter Sent?	Letter sent 11/03/09?	Response received?	Comments
The Tfil Productions	301 South McDowell Street, Suite 410Charlotte NC 28204-2888UNITED STATES OF AMERICA	Production	04/03/2009	Y		
Whitstop Asset Management	One Stamford Plaza - 5th floor, 263 Tresser Boulevard, Stamford, CT 06901-3236		03/03/2009	Y		
Foley & Lardner LLP	777 East Wisconsin Avenue Milwaukee, WI 53202	IOLTA accto	03/03/2009	Y		
Healthcare Quality Solutions Inc	405 North Reo Street, Suite 300, Tampa, FL 33609UNITED STATES OF AMERICA		11/03/2009	Y		
Innovative Steel Technologies Inc	12620 US HWY 41 S., Giberton, FL 33534UNITED STATES OF AMERICA		11/03/2009	Y		
Mountain Partners AG	Dufourstrasse 121, 8001 St. Gallen, SWITZERLAND		22/04/2009	N		
State Petroleum Distributors, Inc.	104 Lake Street, Dunmore, PA 18501, UNITED STATES OF AMERICA		22/04/2009	N		
ParaSteel, LLC	686 NW Enterprise Drive, Port Saint Lucie, FL 34986-2204, UNITED STATES OF AMERICA		22/04/2009	N		
The Majestic Grille	c/o Majestic American Grille and Bar LLC, 145 S Main Street, Memphis, TN 38103, UNITED STATES OF AMERICA		22/04/2009	N		

institution	Account Number	Type of Asset	Confirmed Value for SIB	STC Confirmed Value for STC	Confirmed Value for other	Date confirmed	Comments
HSSBC Bank Panama S.A.							
HSSBC Bank pic	58180160	Bank Account	GBP 748,504.71 CR			28/02/2009	
HSSBC Bank pic	58293136	Bank Account	EUR 3,035,600.43 CR			28/02/2009	
HSSBC Bank pic	59198105	Bank Account	USD 230,623.78 CR			28/02/2009	
HSSBC Bank pic	67760538	Bank Account	CHF 87,695.02 CR			28/02/2009	
Trustmark National Bank	3003101558	Bank Account	USD 10,000.00 CR			27/02/2009	
Trustmark National Bank	3003101541	Bank Account	USD 10,000.00 CR			27/02/2009	
Trustmark National Bank	3003101608	Bank Account	USD 175,821.65 CR			27/02/2009	
Trustmark National Bank	3003101702	Bank Account	USD 543,965.29 CR			27/02/2009	
Trustmark National Bank	3003101797	Bank Account	USD 333.67 CR			27/02/2009	
Trustmark National Bank	930300485003000000	Bank Account	USD 1,205,324.75 CR			27/02/2009	
Trustmark National Bank	930086775	Bank Account	NO RECORD			27/02/2009	Trustmark have no record of this account
Trustmark National Bank	9303005485	Bank Account	USD 355,676.15 CR			27/02/2009	Reported to us by Trustmark
Trustmark National Bank	3003105177	Bank Account	USD 81,100.00 CR			27/02/2009	Reported to us by Trustmark
Trustmark National Bank	3000088310	Bank Account	USD 0.00		USD 199990.00 CR	27/02/2009	Reported to us by Trustmark
Trustmark National Bank	3003901136	Bank Account	USD 0.00			05/03/2009	Reported to us by Trustmark
Bank of Houston	8706	Bank Account	USD 1,946,972.32 CR			05/03/2009	Bank of Houston assert set off rights over this account in relation to loans made to Stanford entities - see email on file
Bank of Houston	8284	Bank Account	USD 1,402.27 CR			23/03/2009	
Comerica Bank	1852196458	Bank Account	USD 290,123.50			23/03/2009	
Bank Julius Baer & Co Limited	139.6714	Bank Account	USD 5,175,746.81 In share portfolio			20/03/2009	Bank statement sent by bank with letter to Jones Day's Swiss counsel. IDN = Indonesian Rupiah
Banque Paribas	750058	Bank Account	USD 49,429 CR and IDR 37,352,160 CR			17/03/2009	Portfolio valuation attached to letter received from Banque Paribas
Barclays Capital Inc	09510076	Bank Account	USD 11,803,494 CR				
Barclays Capital Inc	831 - 63641	Bank Account					
Barclays Capital Inc.	9693143	Bank Account					
Barclays Capital Inc.	9693144	Bank Account					
Barclays Wealth	831-03935	Bank Account	USD 10,294,819.67 In equities and USD149,413.61 In Cash				
Charles Schwab	9055-1010	Bank Account	USD 506,324.34 CR		USD 1,825,289.97 CR	31/01/2009	As at 31/01/2009, confirmed by a statement received by SIB
Charles Schwab International	1181 - 1046	Bank Account			USD 997,143.11 CR	03/03/2009	IN NAME OF STANFORD FINANCIAL GROUP LIMITED. Longley Asset Management claim not to manage this account, but the bank statements from Charles Schwab say that they do
Charles Schwab International	1181-0046	Bank Account			USD 2,817,011.33 CR	03/03/2009	Managed by Longley Asset Management
Charles Schwab International	3134-0509	Bank Account				03/03/2009	IN NAME OF BANK OF ANTIGUA. James M Davis and Laura Pendergast are authorised agents. Reported to us by Charles Schwab.
Coutts Bank von Ernst	G224698	Bank Account				03/03/2009	IN NAME OF STANFORD BANK (PANAMA) S.A. James M Davis and Laura Pendergast are authorised agents. Reported to us by Charles Schwab.
Coutts Bank von Ernst	G224698	Bank Account				03/03/2009	
Courts Bank von Ernst	G224690	Bank Account				03/03/2009	
Credit Suisse	98/LD 004830	Bank Account	USD 646,369.94 CR (portfolio) and GBP 378,056.40 CR (dealing account)			03/03/2009	As at 31/12/2008 (portfolio) and 30/01/09 (dealing) from statements sent to SIB
Credit Suisse	98/LD010051	Bank Account	USD 76,634,273.67 CR (portfolio) and GBP 25,242,897.94 CR (dealing account)			03/03/2009	As at 31/12/08 (portfolio) and 24/12/08 (dealing) from statements sent to the bank
Credit Suisse	98/LD043465	Bank Account	GBP 6,221,073.02 CR (dealing account)			03/03/2009	As at 31/12/08 from statements sent to SIB
Credit Suisse	ZIF - 810651	Bank Account	USD 894,426.07 CR			03/03/2009	As at 31/12/08 from statements sent to SIB
Credit Suisse	0210 - 043465	Bank Account	USD 4,838,670.91 CR			03/03/2009	As at 30/01/09 from statement sent to SIB
Credit Suisse	98/LD022287	Bank Account	USD 35,069,716.01 CR (portfolio)			03/03/2009	As at 30/01/09 from statement sent to SIB
Credit Suisse	98/LD025080	Bank Account	GBP 7.84 CR (dealing account)			03/03/2009	As at 30/01/09 from statement sent to SIB
Credit Suisse	210 - 022287	Bank Account	GBP 2.49 CR (dealing account)			03/03/2009	As at 30/01/09 from statement sent to SIB
Credit Suisse	98/LD064909	Bank Account	USD 11.32			03/03/2009	Portfolio account? No statement - from Vanit's spreadsheet.
Lehman Brothers INC	76593275	Bank Account	GBP 4,508,952.29 CR (dealing account)			03/03/2009	As at 30/01/09 from statement sent to SIB
Longley Asset Management	N/A	Bank Account				04/03/2009	Copy letter sent to Lehman Brothers in Wilmington, Delaware returned to sender on 10/03/09
Marex Financial	18886	Bank Account	USD 209,851.24 CR			04/03/2009	MANAGE account held at Charles Schwab and one held at Marex Financial
Marex Financial	18889	Bank Account			USD 156,733.57 CR	04/03/2009	Managed by Longley Asset Management
Marex Financial	18885	Bank Account			USD 92,431.57 CR	04/03/2009	IN NAME OF STANFORD FINANCE GROUP LIMITED
MF Global	E D22 9074 71863	Bank Account				04/03/2009	IN NAME OF BANK OF ANTIGUA. Reported to us by Marex Financial
MF Global	E D22 9074 70497	Bank Account				04/03/2009	
MF Global	E D22 9074 72888	Bank Account				04/03/2009	
MF Global	E D22 9074 72950	Bank Account				04/03/2009	
MF Global	E D22 9074 70497	Bank Account				04/03/2009	
RBS Coutts	11083375	Bank Account				04/03/2009	
Royal Bank of Canada Global Services	554-117071-064	Bank Account	Two conflicting statements			03/03/2009	
Royal Bank of Canada Global Services	554-117071-063	Bank Account				03/03/2009	According to letters from Ministere Public, \$82.6 million was transferred to accounts in the US and Canada in the 3 months prior to 24 February 2009. One portfolio valuation for this account states USD 68,770,238 as at 31 December 2008, another portfolio
SG Private Banking	800801	Bank Account	USD 41,980,332 CR			06/03/2009	
SG Private Banking	800800	Bank Account	USD 58,988,025 CR			06/03/2009	
Stanford Cols & Bullion	21044	Bank Account				06/03/2009	As at 28/02/09 according to statements sent to SIB in Antigua
TD Waterhouse	NP6941	Bank Account	USD 45,162 CR			04/03/2009	As confirmed by McGuire Woods
Toronto Dominion Bank	3176167	Bank Account	NO RECORD			04/03/2009	TDB have no record of this account
Toronto Dominion Bank	0360 01 2161573	Bank Account	CAD 1,383,504.25 CR			04/03/2009	
Toronto Dominion Bank	0360 01 2161570	Bank Account	USD 16,847,617.17 CR			04/03/2009	
Toronto Dominion Bank	0360 01 2224235	Bank Account	USD 312,794.07 CR			04/03/2009	
Toronto Dominion Bank	0360 01 2300580	Bank Account	CAD 458,126.03 CR			04/03/2009	
Toronto Dominion Bank	036001-2260513	Bank Account	USD 0.00			04/03/2009	Reported to us by Toronto Dominion Bank
Toronto Dominion Bank	036001-4035558	Bank Account	CAD 26,779.56 CR			04/03/2009	Reported to us by Toronto Dominion Bank
Toronto Dominion Bank	036001-4035569	Bank Account	USD 1,729,047.36 CR			04/03/2009	Reported to us by Toronto Dominion Bank
Toronto Dominion Bank	036001-4035624	Bank Account	EUR 88081.88 CR			04/03/2009	Reported to us by Toronto Dominion Bank
Northern Trust	1016039442	Bank Account				04/03/2009	
American Samoa Telecom LLC		Equity					
Stronghold Technologies		Equity					
ACON Investments LLC (Washington Nationals)		Equity					
ACON Boston Partners I		Equity					
ACON Boston Partners II		Equity					
ACON Boston Partners III		Equity					
ACON Project Millagro		Equity					
American Leisure Group Ltd		Equity					
Coutts General Partner (Cayman) II Limited (CGPLP)		Equity					
Coutts General Partner (Cayman) III Limited (CAPLP)		Equity					
Coutts General Partner (Cayman) IV Limited (CPPLP II)		Equity					
DGSE Companies		Equity					
Forefront Holdings		Equity					
Go Antiques Inc		Equity					
Hilense Broadband Multimedia (Hilense Atron Electrical Company)		Equity					
Louisiana Ventures		Equity					
Lumitek Corporation		Equity					
Religimaker Communications		Equity					

Sanesco Technologies Inc	Equity				
Tree Top Kinds Inc	Equity				
USFK Media Group	Equity	Unknown value: 1,652, 494 shares of common stock		19/03/2009	Unknown value because not publicly traded
Washington Nationals Baseball Club, LLC	Equity				
Meridian Diversified Fund Limited	Equity				
Wimbleton HDN Fund Ltd	Equity				
Fylfjine Offshore Fund Ltd	Equity	Unknown - 90% of fund already paid out			
BNY Alternative Investment Services Ltd	Equity				
FTSCO Income Plus Offshore Fund Ltd	Equity				
Stronghold Technologies	Debt				
American Leisure Holdings Inc (formerly VICI Marketing Group)	Debt				
American Leisure Group Ltd	Debt				
DOSE Companies	Debt				
Forefront Holdings	Debt				
KineMed Inc	Debt				
Reignmaker Communications	Debt				
Landy's Restaurants Inc	Debt				
TDS Town Homes	Debt				
Stanford Casa de Valores	Debt / Equity?				
SSM Venture Partners	Debt / Equity?	USD 3,950,000.00	USD 566,728,54.00	12/03/2009	SIB contributed to SSM Fund III venture capital fund. Stanford Venture Capital Holdings Inc contributed to SSM IV venture capital fund.
Super Model	Debt / Equity?				
Paradigm Capital Management LLC	Debt / Equity?				
Investco PowerShares Capital Management LLC	Debt / Equity?	USD 2,781, 957 CR	USD 475, 085 CR for STC	11/03/2009	Letter from Paradigm's lawyer, Marc X. LoPresti. Claim to be indemnified for legal expenses; have put funds in separate "memorandum account". Response from Deutsche Bank Commodity Services dated 13/03/09. They were unable to supply any information, and suggested that we contact the broker-dealer that would hold the shares of the fund on behalf of SIB.
The Trial Productions	Unknown				
Vantage Asset Management	Unknown				
Volcy & Lardner LLP	Unknown				
Healthcare Quality Solutions Inc	Unknown				
Innovative Steel Technologies Inc	Unknown				
Perthing LLC	Unknown				
JP Morgan Clearing Corp.	Unknown				
Mountain Partners AG	Unknown				
State Petroleum Distributors, Inc.	Unknown				