

appointed by the Court as the Claims Administrator for the proposed Settlement.¹ I submit this declaration as a supplement to my earlier declaration, the Declaration of Michael McGuinness Regarding: (A) Mailing of the Notice and Claim Form; (B) Publication of the Summary Notice; and (C) Report on Requests for Exclusion, dated November 12, 2019 (the “Mailing Declaration”) (ECF No. 209-5).

3. As reported in the Mailing Declaration, as of November 12, 2019, Epiq had mailed 61,745 Claim Packets to potential Settlement Class Members and nominees. *See* Mailing Declaration, ¶ 10. Since the execution of the Mailing Declaration, Epiq has continued to disseminate copies of the Claim Packet in response to requests from potential Settlement Class Members, brokers and other nominees. Between November 13, 2019 and December 9, 2019, Epiq disseminated an additional 2,361 Claim Packets. In total, to date, 64,106 Claim Packets have been disseminated to potential Settlement Class Members and nominees.

CLAIMS RECEIVED TO DATE

4. The claims filing deadline is December 11, 2019. As of December 9, 2019, Epiq has received approximately 10,831 claims. Of these, approximately 7,742 claims were submitted in hard copy or online by individuals and approximately 3,089 claims were filed electronically by nominees or large investors. In Epiq’s experience, a large number of claims will be filed on the filing deadline, and claims will continue to be received over the next several weeks.

REPORT ON REQUESTS FOR EXCLUSION AND OBJECTIONS

5. The Notice informed potential Settlement Class Members that requests for exclusion were to be mailed or delivered to *LJM Funds Management Securities Settlement*, Claims Administrator, P.O. Box 3058, Portland, OR 97208-3058, such that they were received

¹ Unless otherwise defined herein, all capitalized terms shall have the same meanings as set forth in the Stipulation and Agreement of Partial Settlement, dated August 19, 2019 (the “Stipulation”). ECF No. 192.

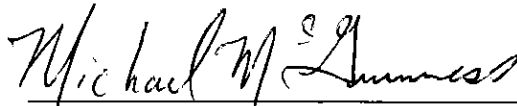
no later than November 27, 2019. Epiq has been monitoring all mail delivered to that post office box.

6. To date, Epiq has received 45 requests for exclusion from the Settlement Class, redacted copies of which are annexed hereto as Exhibit A. Three of the requests are duplicates, several people submitted separate requests for different transactions, and one did not provide the transactional information required by the Preliminary Approval Order. The 35 valid requests for exclusion report purchases of 106,604 shares of the Fund.

7. Although Settlement Class Members who wish to object to the Settlement, the Fee and Expense Application, or the proposed Plan of Allocation were to file objections with the Clerk of the Court and mail them to counsel, Epiq has checked its mail as well and as of the date of this Supplemental Declaration, Epiq has received no objections.

I declare under penalty of perjury that the foregoing is true and correct to the best of my knowledge.

Executed on December 10, 2019 at Lake Success, NY.



Michael McGuinness

Exhibit A

Requests for Exclusion

Request Count	Request No.	Name	City	State	Request Category
1	1	Frances Lee	Irvine	CA	Invalid
2	2	Joseph Plubell & Marie Pubell TTEE Joseph Plubell Revocable Living Trust	Leawood	KS	Valid
3	3	Todd E. Bleakley and Janice G. Bleakley TTEE Todd E. Bleakley Trust	Prairie Village	KS	Valid
4	4	Todd E. Bleakley, TTEE Dana Bleakley Irrevocable Trust	Olathe	KS	Valid
5	5	Stacy D. Phillips and E. Alan Phillips, TTEE Stacy D. Phillips Trust	Overland Park	KS	Valid
6	6	Thomas Kevin Brennan	Denver	CO	Valid
7	7	Brennan Family Trust 2011	Denver	CO	Valid
8	8	Suzanne Romain Brennan	Denver	CO	Valid
9	9	Kenneth Maher	Las Vegas	NV	Valid
	10	Kenneth Maher	Las Vegas	NV	Valid
	11	Kenneth Maher	Las Vegas	NV	Valid
10	12	Marjorie Hauf	Not Provided	Not Provided	Valid
11	13	Scherrie Maher	Las Vegas	NV	Valid
12	14	Mital Patel	San Ramon	CA	Valid
13	15	Doris J. Batty	Las Vegas	NV	Valid
14	16	Steven Taylor	Las Vegas	NV	Valid
15	17	Lisa A. Sliman	Las Vegas	NV	Valid
16	18	Patricia Stoddard	Peoria	AZ	Valid
17	19	Kristen J. Hart & Gregory E. Hart, TTEE Indenture of Trust for the Rev Inter Vivos Trust of Kristen J. Hart	Tulsa	OK	Valid
18	20	Chunchark Narksavee	Las Vegas	NV	Valid
19	21	Richard Win	Henderson	NV	Valid
20	22	Lily Win	Cedar Knolls	NJ	Valid
21	23	Dr. Carrie Bedient	Las Vegas	NV	Valid
	24	Dr. Carrie Bedient	Las Vegas	NV	Valid
22	25	The William Celentano Separate Property Trust	Phoenix	AZ	Valid
23	26	William Celentano	Phoenix	AZ	Valid
24	27	Derek Collotta	Henderson	NV	Valid
25	28	Michael Rodriguez	Las Vegas	NV	Valid
26	29	Steven C. Maher	Port Orange	FL	Valid
27	30	Frank Russo	Henderson	NV	Valid

Requests for Exclusion

Request Count	Request No.	Name	City	State	Request Category
28	31	Dr. Richard A. Byrd	Las Vegas	NV	Valid
	32	Dr. Richard A. Byrd	Las Vegas	NV	Valid
29	33	Kevin Boushy	Henderson	NV	Valid
30	34	William P. Carter	Carrollton	GA	Valid
	35	William P. Carter	Carrollton	GA	Duplicate of 34
	36	Lily Win	Cedar Knolls	NJ	Duplicate of 22
	37	Richard Win	Henderson	NV	Duplicate of 21
31	38	Boushy Consulting, LLC	Henderson	NV	Valid
32	39	Susan Steffey	Brandon	MS	Valid
	40	Boushy Consulting, LLC	Henderson	MS	Valid
33	41	Preston Perrenot & Sandra Perrenot	Las Vegas	NV	Valid
34	42	Dr. Mark Dugan	Las Vegas	NV	Valid
	43	Dr. Mark Dugan	Las Vegas	NV	Valid
35	44	Mike Shackelford	Kingman	AZ	Valid
36	45	Desirae Burkhart	Henderson	NV	valid

LJM Exclusion Request No. 1

Claims Administrator:

11/25/19



September 27, 2019

Dear Client,

The purpose of this letter is to update you on the status of the litigation against LJM Funds Management, Northern Lights Distributors, Two Roads Shared Trust, et al. Our last communication to you regarding the LJM class action lawsuit was on April 11, 2019. At that point the courts had set a new briefing schedule for a motion to dismiss after settlement negotiations conducted in January ended in an impasse.

Following motion to dismiss filings, the parties once again entered into settlement negotiations. On September 19, 2019 it was announced that a settlement agreement was reached between some of the parties for \$12.875 million. Notably, LJM Funds Management itself was not included in the settlement.

If you are a Settlement Class Member you should receive a Notice of Pendency of Class Action, Proposed Class Action Settlement, Motion for Attorney's Fees and Expenses and Proof of Claim and Release Form ("Claim Form"). If you have not received these documents you may obtain them at the settlement website www.LJMFundsSecuritiesSettlement.com

As a settlement class member you will be required to submit the Claim Form to be eligible for a distribution. All of the information you need to complete the Claim Form should be readily available from your custodial account statements.

If you wish to exclude yourself from the settlement you must submit a signed letter requesting exclusion. Please note that you must submit either a Claim Form or request for exclusion.

The next key court date in this matter is December 18, 2019. A settlement hearing will be held on this date to determine whether the Court should approve the settlement as fair, reasonable and accurate.

We will continue to update you as soon as we learn more information, including the continuing lawsuit against LJM Funds Management. If you have any questions, comments or need additional information you can call me at

Please exclude me from this lawsuit:
LJM Funds Securities Settlement
Frances Lee

Best Regards,

A handwritten signature in dark ink, appearing to read "D. K. Horter".

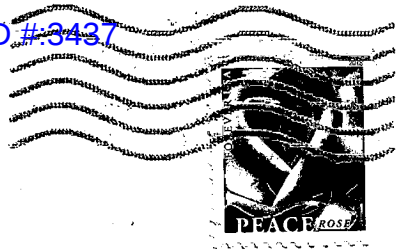
Drew K. Horter, Founder

Frances Lee

FRANCES L. LEE

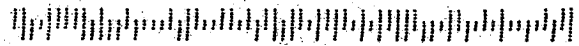
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LJM Funds Securities Settlement
c/o Epiq
PO Box 3058
Portland, OR 97208-3058

97208-305858



LJM Exclusion Request No. 2

November 1, 2019

LJM Securities Settlement
c/o Epiq
PO Box 3058
Portland OR 97208-3058

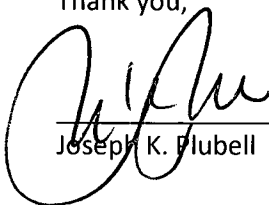
I am requesting to be excluded from the settlement class in Sokolow v. LJM funds management LTD NO. 18-cv-01039 (N.D. Ill.).

Phone number


Joseph Plubell & Marie Plubell TTEE
Joseph Plubell Revocable Living Trust
U/A DTD 4/15/05

Purchased 2028.929 shares at \$11.15 for \$22,622.56 on 8/8/2017
Purchased 1130.569 shares at \$10.40 for \$11,757.92 on 1/24/18
Sold 3,287.30 shares at \$1.99 for proceeds of \$6,525.72 on 2/13/18

Thank you,



Joseph K. Plubell Date 11/1/2019



Maria Plubell Date 11/1/2019



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FIRST-CLASS

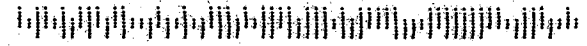


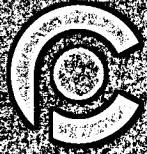
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LJM Funds Securities Settlement
c/o Epiq
P.O. BOX 3058
Portland, OR 97208-3058

PCIAWealth.com

97208-305858





LJM Exclusion Request No. 3

LJM Securities Settlement
c/o Epiq
PO Box 3058
Portland OR 97208-3058

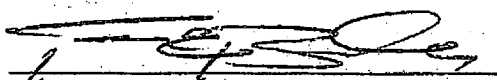
I am requesting to be excluded from the settlement class in Sokolow v. LJM funds management LTD NO. 18-cv-01039 (N.D. Ill.).

Phone number

Todd E. Bleakley and Janice G. Bleakley, TTEE's
Todd E. Bleakley Trust
U/A DTD 9/9/1989

Purchased 8927.748 shares at \$11.15 for \$99,544.39 on 8/7/2017
Purchased 10089.533 shares at \$10.40 for \$104,931.14 on 1/24/2018
Purchased 56.683 shares at \$10.41 for \$590.07 on 1/25/2018
Sold 19,636.303 shares at \$1.99 for proceeds of \$39,076.24 on 2/14/18

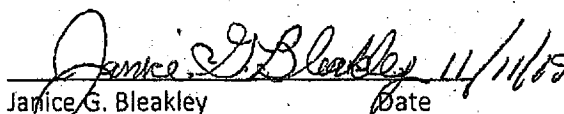
Thank you,



Todd E. Bleakley

Date

11-11-19



Janice G. Bleakley

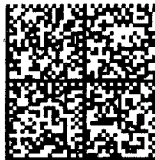
Date

11/11/19



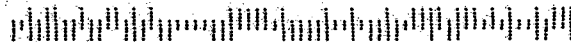
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LJM Funds Securities Settlement
c/o Epiq
P.O. Box 3058
portland, OR 97208-3058





LJM Exclusion Request No. 4

LJM Securities Settlement
c/o Epiq
PO Box 3058
Portland OR 97208-3058

I am requesting to be excluded from the settlement class in Sokolow v. LJM funds management LTD NO. 18-cv-01039 (N.D. Ill.).

Phone number

Todd E. Bleakley, TTEE
Dana Bleakley Irrevocable Trust
U/A DTD 5/17/2010

Purchased 4462.055 shares at \$11.15 for \$49,751.91 on 8/7/2017
Purchased 6841.085 shares at \$10.40 for \$71,147.28 on 1/24/2018
Sold 11,584.195 shares at \$1.99 for proceeds of \$23,052.55 on 2/13/18

Thank you,



Todd E. Bleakley Date 11-11-19



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FIRST-CLASS

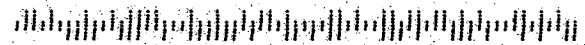


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LJM Funds Securities Settlement
c/o Epiq
P.O. BOX 3058
Portland, OR 97208-3058

PCIAWealth.com

97208-305858





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LJM Exclusion Request No. 5

LJM Securities Settlement
c/o Epiq
PO Box 3058
Portland OR 97208-3058


I am requesting to be excluded from the settlement class in Sokolow v. LJM funds management LTD NO. 18-cv-01039 (N.D. Ill.).

Phone number

Stacy D. Phillips and E. Alan Phillips, TTEE's
Stacy D. Phillips Trust
DTD 8/2/2007

Purchased 1254.426 shares at \$11.15 for \$13,986.85 on 8/7/2017
Purchased 706.391 shares at \$10.40 for \$7,346.47 on 1/24/2018
Sold 2,039.83 shares at \$1.99 for proceeds of \$4,059.26 on 2/13/18

Thank you,

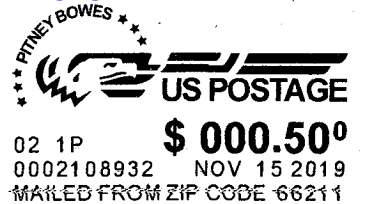

Stacy D. Phillips Date 11/14/19


E. Alan Phillips Date 11/14/19



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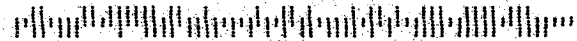
FIRST-CLASS



LJM Funds Securities Settlement
c/o Epiq
P.O. Box 3058
Portland, OR 97208-3058

PCIAWealth.com

97208-305858





LJM Exclusion Request No. 6

11/2/2019

Thomas Kevin Brennan

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 1,531.877 shares on 04/25/17 at a price of \$10.76 per share, total cost \$16,483.00

I sold \$1,628.367 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$3,224.17

Sincerely,

Thomas K. Brennan 11-16-19
Signature Date

Thomas Kevin Brennan

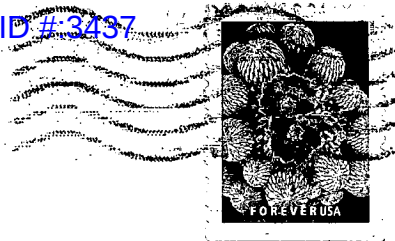
Printed name

11/16/19
Date

Tom & Suzanne Brennan

DENVER CO 802

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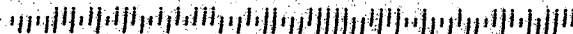
LJM Funds Security Settlement

c/o Epiq

P.O. Box 3058

Portland OR 97208-3058

97208-305858



LJM Exclusion Request No. 7

11/2/2019

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Brennan Family Trust 2011

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 2,183.406 shares on 11/23/2016 at a price of \$11.45 per share, total cost \$25,000.00

I sold 2,395.417 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$4,742.93

Sincerely,

Stephen R Brennan, Trustee 11/16/19
Signature Date

Brennan Family Trust 2011

11/16/19

Printed name

Date

LJM Exclusion Request No. 8

NOV 16 2019

11/2/2019

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Suzanne Romain Brennan

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

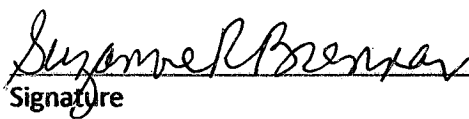
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 4,275.093 shares on 04/25/2017 at a price of \$10.76 per share, total cost \$46,000.00

I sold 4,544.391 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$8,997.85

Sincerely,

 11/16/19
Signature Date

Suzanne Romain Brennan 11/16/19
Printed name Date

LJM Exclusion Request No. 9

11/2/2019

Client name

KENNETH MAHER

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

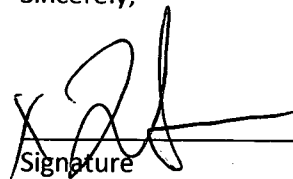
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 1,388.394 shares on 11/01/16 at a price of \$11.46 per share, total cost \$15,911.00

I sold 1,619.151 shares on 02/16/18 at a price of \$1.98 per share, total proceeds \$3,205.92

Sincerely,


Signature

11-11-19
Date

Kenneth C. Maher

Printed name

Date

TOD



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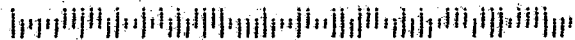
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c/o Epiq
P.O. Box 3058
Portland, OR 97208-3058

97208-305858



LJM Exclusion Request No. 10

NOV 16 2019

11/2/2019

Client name

KENNETH MAHER LTD

900000009

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

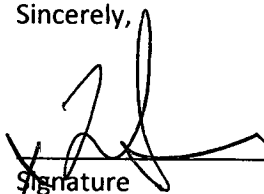
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 1,488.327 shares on 02/10/16 at a price of \$10.28 per share, total cost \$15,300.00

I sold 1,735.65 shares on 02/16/18 at a price of \$1.98 per share, total proceeds \$3,436.68

Sincerely,


Signature

11-11-19

Date

Kenneth C. Maher

Printed name

Date

ROTH SINGLE

LJM Exclusion Request No. 11

NOV 16 2019

900000009

11/2/2019

Client name K MAHER LTD

RE: Sokolow v. LIM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

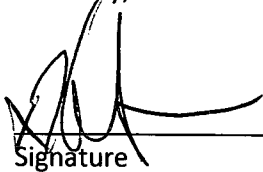
To whom it may concern,

Please exclude me from the LIM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 1,089.494 shares on 02/10/16 at a price of \$10.28 per share, total cost \$11,200.00

I sold 1,270.573 shares on 02/16/18 at a price of \$1.98 per share, total proceeds \$2,515.73

Sincerely,


Signature

11-11-19
Date

Kenneth C. Maher
Printed name

Date

TRAD SINGLE K

LJM Exclusion Request No. 12

NOV 16 2019

900000009

11/2/2019

Client name MARJORIE HAUF CHTD

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 1,608.423 shares on 08/16/17 at a price of \$11.16 per share, total cost \$ 17,950.00

I sold 1,709.734 shares on 02/16/18 at a price of \$1.98 per share, total proceeds \$ 3,385.27

Sincerely,

[Handwritten Signature]
Signature

11/11/19
Date

Marjorie Hauf
Printed name

Date

MARJORIE HAUF

LJM Exclusion Request No. 13

900000009

11/2/2019
Client name Scherrie Maher

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 2,276.265 shares on 2/10/16 at a price of \$10.28 per share, total cost \$ 23,400.00

I sold 2,651.592 shares on 02/16/18 at a price of \$ 1.98 per share, total proceeds \$ 5,256.09

Sincerely,

X Scherrie Maher 11-2-2019
Signature Date

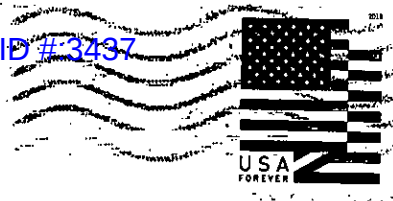
Scherrie L. Maher
Printed name Date

R/O IRA

LJM Exclusion Request No. 14

M. Patel

NOV 2019 PM 7 1



To : LJM Funds Securities Settlement
c/o Epig.
P.O. Box 3058
Portland, OR.

97208-3058

97208-305858



LJM Exclusion Request No. 15

11/2/2019

Doris J Batty

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

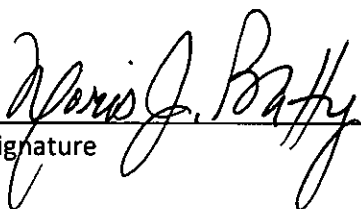
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 863.240 shares on 12/14/2016 at a price of \$10.31per share, total cost \$8,900.00

I sold 917.613 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$1,801.87

Sincerely,

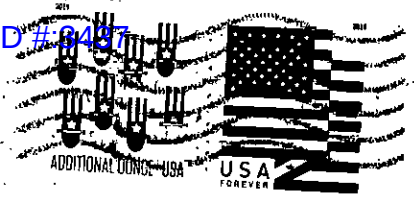

Signature _____ Date 11-15-19

Doris J Batty
Printed name _____ Date 11-15-19

Doris J Batty

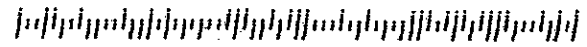
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LJM Funds Securities Settlement
C/O Epiq
PO Box 3058
Portland, OR 97208-3058

97208-305858



LJM Exclusion Request No. 16

11/2/2019

Steven Taylor

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 687.173 shares on 10/28/16 at a price of \$11.46 per share, total cost \$7,875.00

I sold 801.384 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$ 1,586.74

Sincerely,

 11-18-19
Signature Date

Steven Taylor

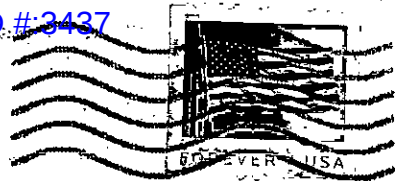
Printed name

11-18-19
Date

TAYLOR

LAS VEGAS NV 890

19 NOV 2019 PM 4 L



LJM FONDS SECURITY SETTLEMENT
C/O EQUIP
P.O. BOX 3058
PORTLAND, OREGON

97208-305858

97208-3058

LJM Exclusion Request No. 17

11/2/2019

Lisa A. Sliman

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 459.559 shares on 08/08/2016 at a price of \$10.88 per share, total cost \$5,000.00

I sold 535.940 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$1,061.16

Sincerely,


Signature

11/18/19
Date

Lisa A. Sliman

Printed name

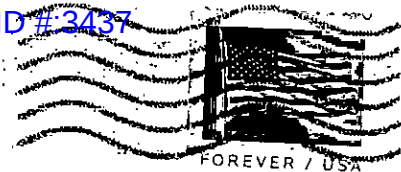
11/18/19
Date

Lisa Sliman

Case: 1:18-cv-01039 Document #: 211-1 Filed: 12/11/19 Page 52 of 166 PageID #: 3437

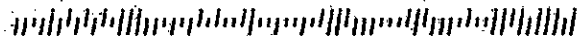
LAS VEGAS NV 890

19 NOV 2019 PM 3 1



LSM Funds Securities Settlement
c/o Epig
PO Box 3058
Portland, OR 97208-3058

97208-305858



LJM Exclusion Request No. 18

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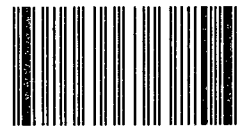
Sokolow v LJM Funds Management CA4747

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11/2/2019

Patricia Stoddard

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 744.501 shares on 02/18/2016 at a price of \$10.26 per share, total cost \$7,300.00

I sold 829.757 shares on 02/12/2018 at a price of \$1.99 per share, total proceeds \$1,651.22

Sincerely,


Signature Date

Patricia Stoddard

Printed name

Date

Patricia Stoddard

PHOENIX AZ 852

20 NOV 2019 PM 9 L



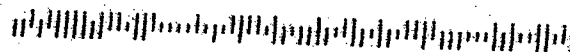
LJM Funds Securities Settlement

C/O Epiq

PO Box 3058

Portland, OR 97208-3058

97208-305858



LJM Exclusion Request No. 19

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NOV 25 2019
LEGAL SERVICES

Sokolow v LJM Funds Management CA4747

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LJM Securities Settlement
c/o Epig
PO Box 3058
Portland OR 97208-3058

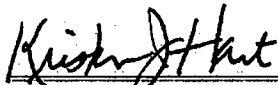
I am requesting to be excluded from the settlement class in Sokolow v. LJM funds management LTD NO. 18-cv-01039 (N.D. Ill.).

Phone number

Kristen J. Hart and Gregory E Hart, TTEE's
Indenture of Trust for the Rev Inter Vivos Trust of Kristen J Hart
DTD 9/26/2006

Purchased 2004.212 shares at \$11.15 for \$22,346.96 on 8/7/2017
Purchased 1125.211 shares at \$10.40 for \$11,702.19 on 1/24/2018
Sold 3,255.664 shares at \$1.99 for proceeds of \$6,478.77 on 2/13/18

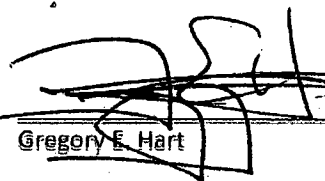
Thank you,



Kristen J. Hart

19 NOV 2019

Date



Gregory E. Hart

19 NOV 2019

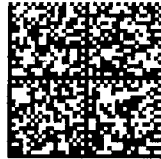
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PRIME CAPITAL
INVESTMENT ADVISORS

KANSAS CITY
NOV 19
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PM 2 L

FIRST-CLASS



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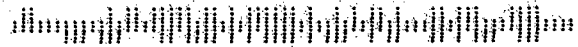
NOV 19 2019

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LJM Funds Securities Settlement
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97208-305858



LJM Exclusion Request No. 20

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Sokolow v LJM Funds Management CA4747

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11/2/2019

Mr. Chunchark Narksavee

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 2,708.304 shares on 09/14/2017 at a price of \$11.20 per share, total cost \$30,333.00

I sold 2,878.894 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$5,700.21

Sincerely,



11-20-2019

Signature

Date

Mr. Chunchark Narksavee

11-20-2019

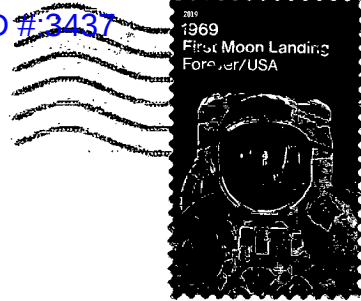
Printed name

Date

CHUNCMARK NARSAVEE

LAS VEGAS NV 890

20 NOV 2019 PM 4 L



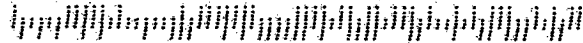
LIM FUNDS SECURITIES SETTLEMENT

C/O EPIQ

P.O. BOX 3058

PORTLAND, OR 97208-3058

97208-305858



LJM Exclusion Request No. 21

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NOV 25 2019
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Sokolow v LJM Funds Management CA4747

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11/2/2019

Mr. Richard Win

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

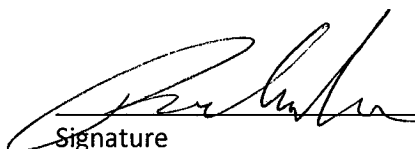
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 938.086 shares on 06/13/2016 at a price of \$10.66 per share, total cost \$10,000.00

I sold 1094.001 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$2,166.12

Sincerely,

 _____
Signature Date

11/19/2019

Mr. Richard Win

11/19/2019

Printed name

Date

WIN

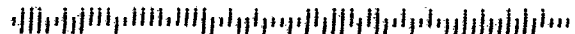
LAS VEGAS NV 89101

20 NOV 2019 PM 3



LJM FUNDS SECURITIES SETTLEMENT
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PO BOX 3058
PORTLAND, OR 97208-3058

97208-305858



LJM Exclusion Request No. 22

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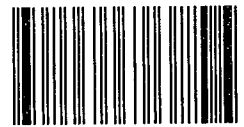
Sokolow v LJM Funds Management CA4747

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Lily Win

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

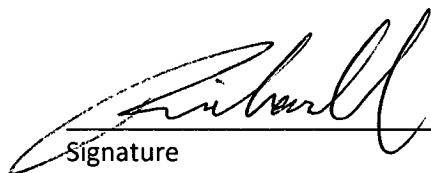
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 1,269.011 shares on 06/24/2016 at a price of \$10.26 per share, total cost \$13,350.00

I sold 1,479.926 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$2,930.25

Sincerely,



Signature

11/19/2019

Date

Richard Win, POA for Lily Win

11/19/2019

Printed name

Date

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WIN

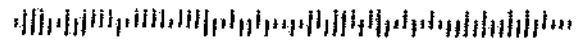
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LJM FUNDS SECURITIES SETTLEMENT
C/O EPIQ
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PORTLAND, OR 97208-3058

97208-305858



LJM Exclusion Request No. 23

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Sokolow v LJM Funds Management CA4747

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11/2/2019

Dr. Carrie Bedient

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 228.789 shares on 04/25/2016 at a price of \$10.49 per share, total cost \$2,400.00

I sold 266.815 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$513.29

Sincerely,



11/2/19

Signature

Date

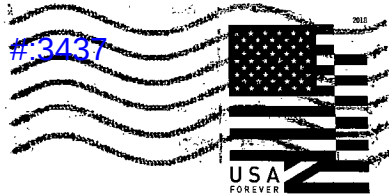
Dr. Carrie Bedient

Printed name

Date

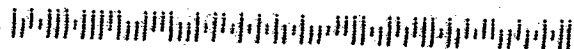
Dr. Carrie Bedient

22 NOV 2019 PM 5 L



LJM Funds Securities Settlement
C/O Epiq
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Portland, OR 97208-3058

97208-305858



LJM Exclusion Request No. 24

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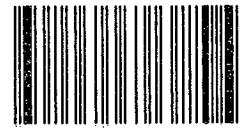
Sokolow v LJM Funds Management CA4747

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NOV 22 2019

11/2/2019

Dr. Carrie Bedient

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RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 186.857 shares on 04/29/2016 at a price of \$10.50 per share, total cost \$1,962.00

I sold 217.914 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$431.47

Sincerely,



11/2/19

Signature

Date

Dr. Carrie Bedient

Printed name

Date

Dr. Carrie Bedient

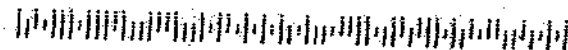
LAS VEGAS NV 890

22 NOV 2019 PM 5 L



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97208-305858



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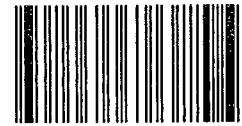
Sokolow v LJM Funds Management CA4747

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William Colantoni

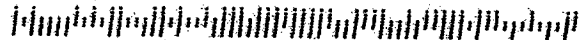
PHOENIX AZ 852

21 NOV 2019 PM 3 L



LJM Funds Securities Settlement
c/o EP1Q
P.O. Box 3058
Portland, OR 97208-3058

97208-305858



LJM Exclusion Request No. 26

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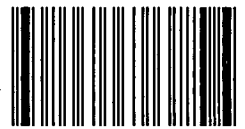
Sokolow v LJM Funds Management CA4747

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NOV 21 2019

11/2/2019

William Celentano

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)


To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 850.467 shares on 03/31/17 at a price of \$10.70 per share, total cost \$9,100.00

I sold 904.035 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$1,789.99

Sincerely,

X  11/20/19

Signature Date

William Celentano

Printed name

Date

William Celentano

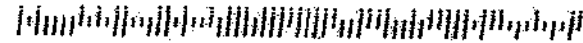
PHOENIX, AZ 852

21 NOV 2019 PM 3 L



LJM Funds Securities Settlement
c/o EPIQ
P.O. Box 3058
Portland, OR 97208-3058

97208-305858

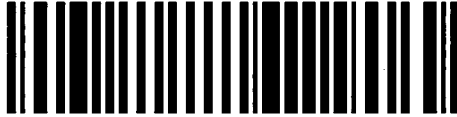


LJM Exclusion Request No. 27

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Sokolow v LJM Funds Management CA4747

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Derek Collotta

NOV 20 2019
PM 4 L



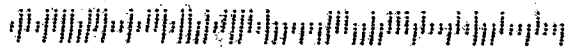
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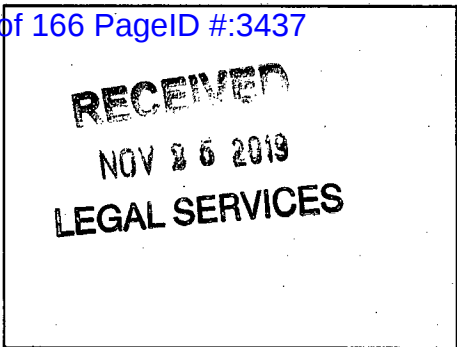


LJM Funds Securities Settlement
C/O Epiq
PO Box 3058
Portland, OR 97208-3058

97208-305858

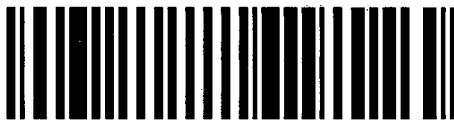


LJM Exclusion Request No. 28



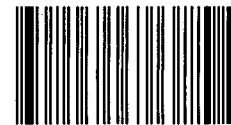
Sokolow v LJM Funds Management CA4747

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11/2/2019

Michael Rodriguez

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

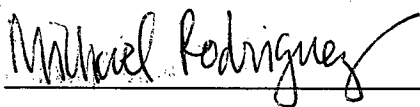
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 711.744 shares on 09/08/2017 at a price of \$11.24 per share, total cost \$8,000.00

I sold 756.575 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$1,498.02

Sincerely,



Nov. 20, 2019

Signature

Date

Michael Rodriguez

Nov. 20, 2019

Printed name

Date

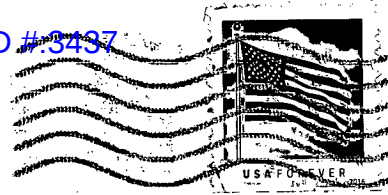
Michael Rodriguez

10/20/2019 10:00 AM... (mirrored text from reverse side)

**Michael & Caitlin
RODRIGUEZ**

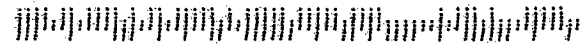
LAS VEGAS NV 890

21 NOV 2019 PM 4 L



LJM Funds Securities Settlement
c/o Epiq
PO Box 3058
Portland, OR 97208-3058

97208-305858

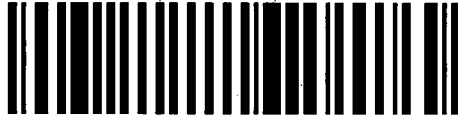


LJM Exclusion Request No. 29

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Sokolow v LJM Funds Management CA4747

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11/2/2019

Steven C Maher

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

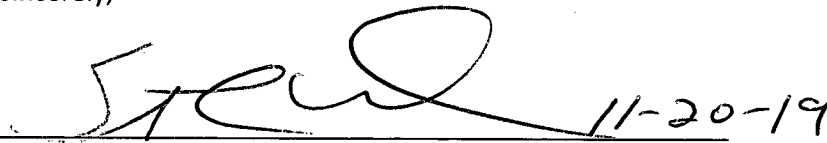
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 1,388.894 shares on 11/01/2016 at a price of \$11.46 per share, total cost \$15,911.00

I sold 1,619.151 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$3,205.92

Sincerely,


Signature _____ Date 11-20-19

Steven C Maher
Printed name _____ Date 11-20-19

Steven C Maher

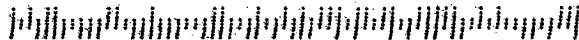
20 NOV 2019 PM 3:1



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LJM Funds Securities Settlement
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97208-305858



LJM Exclusion Request No. 30

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NOV 25 2019
LEGAL SERVICES

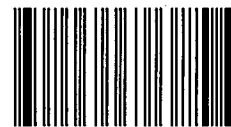
Sokolow v LJM Funds Management CA4747

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11/2/2019

Frank Russo

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

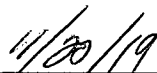
I purchased 576.241 shares on 09/27/2017 at a price of \$11.28 per share, total cost \$6,500.00

I sold 612.538 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$1,212.83

Sincerely,

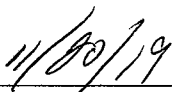


Signature



Date

Frank Russo

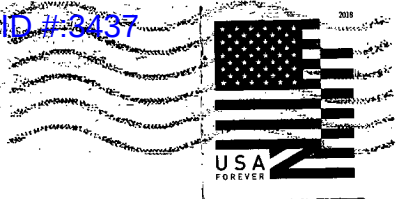


Printed name

Date

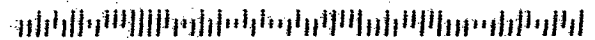
Russo

21 NOV 2019 PM 3:1



LJM Funds Securities Settlement
C/O EPIQ
PO BOX 3058
Portland, OR 97208-3058

97208-305858

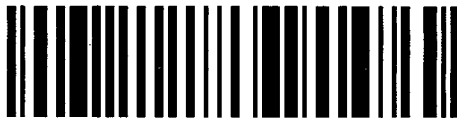


LJM Exclusion Request No. 31

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NOV 25 2019
LEGAL SERVICES

Sokolow v LJM Funds Management CA4747

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11/2/2019

Dr. Richard A Byrd

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

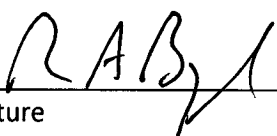
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 3,313.840 shares on 02/18/2016 at a price of \$10.26 per share, total cost \$34,000.00

I sold 3,864.615 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$7,651.94

Sincerely,

 11/19/2019
Signature Date

Dr. Richard A Byrd

Printed name

Date

Dr. Richard Byrd

LAS VEGAS NV

20 NOV 2019

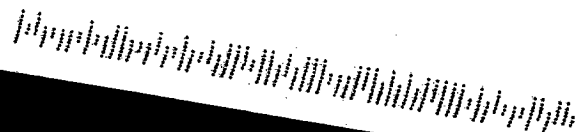
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USA
FOREVER

LJM Funds Securities Settlement
C/O Epiq
PO Box 3058
Portland, OR 97208-3058

97208-305858



LJM Exclusion Request No. 32

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LEGAL SERVICES

Sokolow v LJM Funds Management CA4747

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11/2/2019

Dr. Richard A Byrd

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in the same envelope as the
previously labeled document
Document Control

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

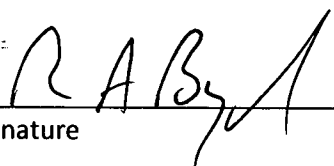
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 1,267.057 shares on 02/18/2016 at a price of \$10.26 per share, total cost \$13,000.00

I sold 1,477.648 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$2,925.74

Sincerely,

 11/19/2019
Signature Date

Dr. Richard A Byrd

Printed name Date

Dr. Richard Bvrd

LAS VEGAS NV

20 NOV 2019

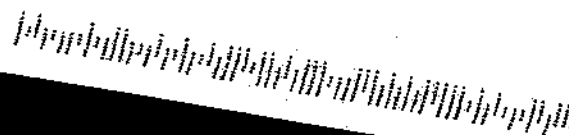
ADDITIONAL DUNCE - USA

ADDITIONAL DUNCE - USA

USA
FOREVER

LJM Funds Securities Settlement
C/O Epiq
PO Box 3058
Portland, OR 97208-3058

97208-305858



LJM Exclusion Request No. 33

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NOV 25 2019
LEGAL SERVICES

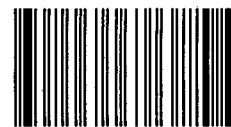
Sokolow v LJM Funds Management CA4747

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Route to: Vault

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11/2/2019

Mr. Kevin Boushy

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

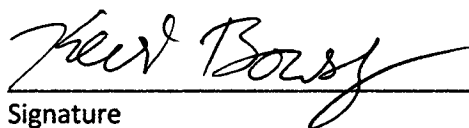
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 224.417 shares on 08/09/2017 at a price of \$11.14 per share, total cost \$2,500.00

I sold 238.553 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$472.33

Sincerely,

 11/19/19

Signature Date

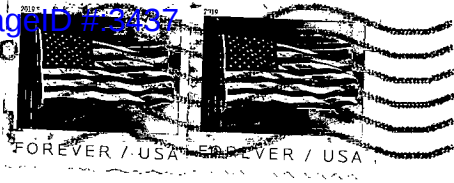
Mr. Kevin Boushy 11/19/19

Printed name Date

Kevin Baushay

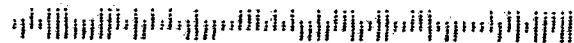
LAS VEGAS NV 890

20 NOV 2019 PM 5



LJM Funds Securities Settlement
C/O Epig
P.O. Box 3058
Portland, OR 97208-3058

97208-305858

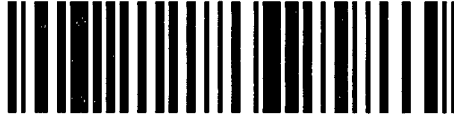


LJM Exclusion Request No. 34

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NOV 25 2019
LEGAL SERVICES

Sokolow v LJM Funds Management CA4747

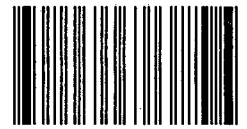
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11-26-2019			NOV 26 2019

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*Route to: _____

William P. Carter

November 22, 2019

VIA USPS Priority Mail Express

LJM Funds Securities Settlement

c/o Epiq

P.O. Box 3058

Portland, OR 97208-30589

Re: CORRECTED SCHEDULE OF SHARE PURCHASES
 Notice of Opt Out of Class Action Settlement in the case of
Sokolow v. LJM Funds Management, Ltd., Case No. 18-cv-01039 (N.D. Ill.)

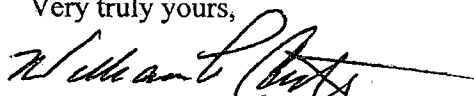
Dear Sir or Madam:

Please accept this as a supplement to my letter dated November 21, 2019. My attorney found an error in the number of shares I purchased. A corrected schedule of transactions is set out below. As I stated in my previous letter, I request that I be opted out and excluded from the Settlement Class in *Sokolow v. LJM Funds Management, Ltd.*, Case No. 18-cv-01039 (N.D. Ill.). My name and phone number are set forth above. A corrected list of my purchase and sale transactions appear below with the specific information you have requested.

Date	Buy or Sell	Number of Shares	Price Per share	PurchaseCost /Sale Proceeds
6/20/2016	Buy	17,014.23	\$10.82	(184,113.94)
8/1/2016	Sell	-80.78	\$10.77	841.30
9/1/2016	Sell	-78.52	\$11.08	841.30
10/3/2016	Sell	-77.059	\$11.29	850.00
12/6/2016	Buy	1629.144	\$10.52	(17,138.59)
1/3/2017	Sell	-83.254	\$10.45	850.00
1/4/2017	Sell	-125.352	\$10.52	1,298.70
3/1/2017	Sell	-82.7	\$10.52	850.00
3/1/2017	Sell	-75.971	\$10.52	779.22
4/10/2017	Sell	-117.92	\$10.77	1,250.00
5/31/2017	Sell	-18.68	\$10.90	203.61
6/26/2017	Sell	-87.02	\$11.01	958.06
9/25/2017	Sell	-559.49	\$11.31	6,327.88
12/5/2017	Div/Reinvest	736.25	\$10.61	(7,811.64)
12/5/2017	Div/Reinvest	289.68	\$10.61	(3,073.61)
11/28/2017	Sell	-968.8	\$11.43	11,073.39
2/27/2018	Sell	-17,313.76	\$1.98	34,281.24

If you have any questions or require any additional information, please contact me immediately. My phone number is

Very truly yours,



William P. Carter

PRESS FIRMLY TO SEAL

PRESS FIRMLY TO SEAL



1007



97208

U.S. POSTAGE PAID
PME 1-Day
ATLANTA, GA
30309
NOV 22, 19
AMOUNT

\$25.50
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*J. Michael Bishop
 smit & Poshon + Proctor LLP*

PAYMENT BY ACCOUNT (if applicable)

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SIGNATURE REQUIRED Note: The mailer must check the "Signature Required" box if the mailer: 1) Requires the addressee's signature; OR 2) Purchases additional insurance; OR 3) Purchases COD service; OR 4) Purchases Return Receipt service. If the box is not checked, the Postal Service will leave the item in the addressee's mail receptacle or other secure location without attempting to obtain the addressee's signature on delivery.

Delivery Options

No Saturday Delivery (delivered next business day)
 Sunday/Holiday Delivery Required (additional fee, where available*)
 10:30 AM Delivery Required (additional fee, where available*)
 *Refer to USPS.com or local Post Office for availability.

TO: (PLEASE PRINT) PHONE ()

*LJM Funds Securities Settlement
 c/o Epig Class Action Claims Solutions
 P.O. Box 3058
 Portland, OR*

ZIP + 4® (U.S. ADDRESSES ONLY)
 97208-3058

■ For pickup or USPS Tracking™, visit USPS.com or call 800-222-1811.
 ■ \$100.00 Insurance included.

ORIGIN (POSTAL SERVICE USE ONLY)

1-Day 2-Day Military DPO

PO ZIP Code <i>30309</i>	Scheduled Delivery Date (MM/DD/YY) <i>11-23-19</i>	Postage <i>\$ 25.50</i>	
Date Accepted (MM/DD/YY) <i>11-22-19</i>	Scheduled Delivery Time <input type="checkbox"/> 10:30 AM <input type="checkbox"/> 3:00 PM <input checked="" type="checkbox"/> 12 NOON	Insurance Fee \$	COD Fee \$
Time Accepted <i>2:34</i> <input type="checkbox"/> AM <input checked="" type="checkbox"/> PM	10:30 AM Delivery Fee \$	Return Receipt Fee \$	Live Animal Transportation Fee \$
Special Handling/Fragile \$	Sunday/Holiday Premium Fee \$	Total Postage & Fees <i>25.50</i>	
Weight lbs. ozs.	Acceptance Employee Initials <i>KD</i>		

DELIVERY (POSTAL SERVICE USE ONLY)

Delivery Attempt (MM/DD/YY)	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature
Delivery Attempt (MM/DD/YY)	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature

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LABEL MAY BE REQUIRED.



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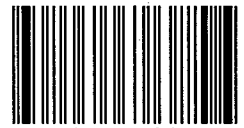
Sokolow v LJM Funds Management CA4747

Opt-Out #



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Document Range



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William P. Carter

November 21, 2019

VIA Priority Mail Express

LJM Funds Securities Settlement

c/o Epiq

P.O. Box 3058

Portland, OR 97208-30589

Re: Notice of Opt Out of Class Action Settlement in the case of
Sokolow v. LJM Funds Management, Ltd., Case No. 18-cv-01039 (N.D. Ill.)

Dear Sir or Madam:

Please accept this letter as my request that I be opted out and excluded from the Settlement Class in *Sokolow v. LJM Funds Management, Ltd.*, Case No. 18-cv-01039 (N.D. Ill.). My name and phone number are set forth above. A list of all my purchase and sale transactions appear below with the specific information you have requested.

Date	Buy or Sell	Number of Shares	Price Per share	Cost/ Sale Proceeds
6/20/2016	Buy	17,014.23	\$10.82	(184,113.94)
8/1/2016	Sell	80.78	\$10.77	841.30
9/1/2016	Sell	78.52	\$11.08	841.30
10/3/2016	Sell	77.059	\$11.29	850.00
12/6/2016	Buy	1629.144	\$10.52	(17,138.59)
1/3/2017	Sell	83.254	\$10.45	850.00
1/4/2017	Sell	125.352	\$10.52	1,298.70
3/1/2017	Sell	82.7	\$10.52	850.00
3/1/2017	Sell	75.971	\$10.52	779.22
4/10/2017	Sell	117.92	\$10.77	1,250.00
5/31/2017	Sell	18.68	\$10.90	203.61
6/26/2017	Sell	87.02	\$11.01	958.06
9/25/2017	Sell	559.49	\$11.31	6,327.88
11/28/2017	Sell	968.8	\$11.43	11,073.39
2/27/2018	Sell	17,313.76	\$1.98	34,281.24

If you have any questions or require any additional information, please contact me immediately. My phone number is

Very truly yours,

William P. Carter

LJM Funds Securities Settlement

PO Box 3058

PORTLAND, OR 97208-3058

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97208

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PME 1-Day
CARROLLTON, GA
30117
NOV 22, 19
AMOUNT

\$25.50

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SCANNED

arrival at unit

arrival at pickup point

attempted

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Bill Corino

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Delivery Options

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*Refer to USPS.com® or local Post Office™ for availability.

TO: (PLEASE PRINT) PHONE: ()

*LJM Funds Securities Settlement
PO BOX 358 3058
PORTLAND, OR
97208-30589*

ZIP + 4® (U.S. ADDRESSES ONLY)

- For pickup or USPS Tracking™, visit USPS.com or call 800-222-1811.
- \$100.00 Insurance Included.

PAYMENT BY ACCOUNT (if applicable)

USPS® Corporate Acct. No.

Federal Agency Acct. No. or Postal Service™ Acct. No.

ORIGIN (POSTAL SERVICE USE ONLY)

1-Day

2-Day

Military

DPO

PO ZIP Code

30117

Scheduled Delivery Date (MM/DD/YY)

11-23-19

Postage

\$ 25.50

Date Accepted (MM/DD/YY)

11-22-19

Scheduled Delivery Time

10:30 AM 3:00 PM
 12 NOON

Insurance Fee

\$

COD Fee

\$

Time Accepted

8:44 AM PM

10:30 AM Delivery Fee

\$

Return Receipt Fee

\$

Live Animal Transportation Fee

\$

Special Handling/Fragile

\$

Sunday/Holiday Premium Fee

\$

Total Postage & Fees

\$ 25.50

Weight

2 lbs. *0* ozs.

Flat Rate

Acceptance Employee Initials

ce

DELIVERY (POSTAL SERVICE USE ONLY)

Delivery Attempt (MM/DD/YY)

Time AM PM

Employee Signature

Delivery Attempt (MM/DD/YY)

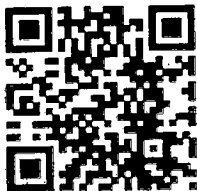
Time AM PM

Employee Signature

LABEL 11-B, MARCH 2019

PSN 7690-02-000-9998

To schedule free Package Pickup, scan the QR code.



USPS.COM/PICKUP



PS 10001000006

EP13F O
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PEEL FROM THIS CORNER

LJM Exclusion Request No. 36

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NOV 19 2019

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Sokolow v LJM Funds Management CA4747

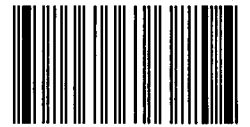
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Email
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NOV 26 2019		_____		

Route to: Vault

*Route to: _____

11/2/2019

Lily Win

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 1,269.011 shares on 06/24/2016 at a price of \$10.26 per share, total cost \$13,350.00

I sold 1,479.926 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$2,930.25

Sincerely,



Signature

11/19/2019

Date

Richard Win, Power of Attorney for Lily Win 11/19/2019

Printed name

Date

Contact Information

Location: \\Ca003-prfs001\CA-7\Sokolow v LJM Funds Management - 4747\Electronic Files Received\Claim\2419\

Name: Lily Win

Address:

Date and Time: 11/19/2019 11:21:18 AM

Confirmation Number: SPV3Q6LX

LJM Exclusion Request No. 37

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NOV 19 2019

LEGAL SERVICES

Sokolow v LJM Funds Management CA4747

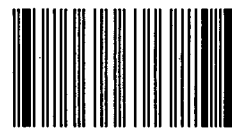
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Document Control

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11/2/2019

Mr. Richard Win

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

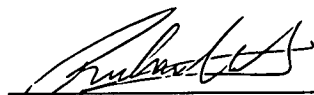
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 938.086 shares on 06/13/2016 at a price of \$10.66 per share, total cost \$10,000.00

I sold 1094.001 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$2,166.12

Sincerely,



11/19/2019

Signature

Date

Mr. Richard Win

11/19/2019

Printed name

Date

Contact Information

Location: \\Ca003-prfs001\CA-7\Sokolow v LJM Funds Management - 4747\Electronic Files Received\Claim\2418\

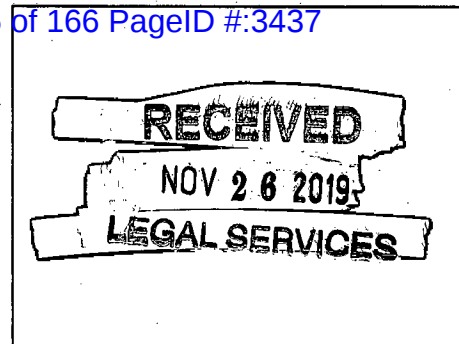
Name: Richard Win

Address:

Date and Time: 11/19/2019 11:18:57 AM

Confirmation Number: CTQ784IX

LJM Exclusion Request No. 38



Sokolow v LJM Funds Management CA4747

Opt-Out #



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Quantity:

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Stats:

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ID #: 453 TT			NOV 26 2019	
11.26.2019.	—		VOS	NOV 26 2019

Route to: Vault

*Route to: _____

11/2/2019

Boushy Consulting, LLC

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

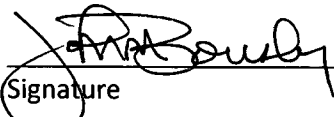
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 1,039.741 shares on 06/29/2016 at a price of \$10.82 per share, total cost \$11,250.00

I sold 1,478.802 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$2,928.03

Sincerely,

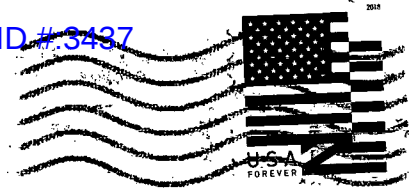

Signature _____ Date Nov 6, 2019

Boushy Consulting, LLC
Printed name _____ Date Nov 6, 2019

Boushy Consulting, LLC

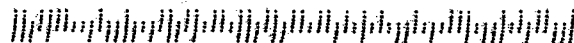
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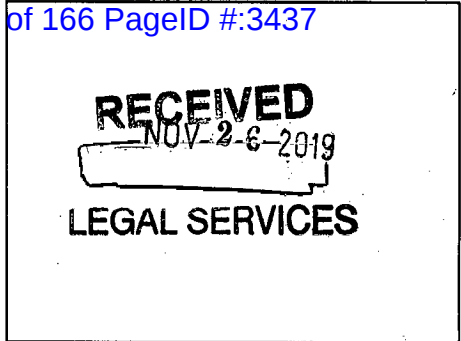


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97208-305858



LJM Exclusion Request No. 39



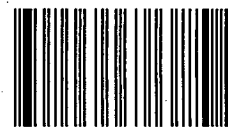
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Susan Steffey

900000038

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 1,793.372 shares on 2/18/2016 at a price of \$10.26 per share, total cost \$18,400.00

I sold 2,091.439 shares on at a price of \$1.98 per share, total proceeds \$4,141.05.

Sincerely,

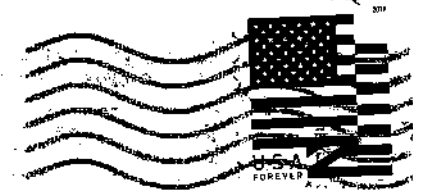
John Boushy POA Nov 6, 2019
Signature Date

John Boushy, POA for Susan Steffey Nov 6, 2019
Printed name Date

Boushy Consulting, LLC

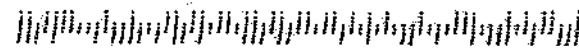
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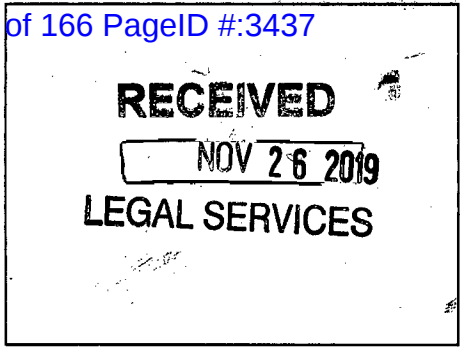


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RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

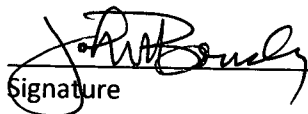
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 4,824.762 shares on 04/26/2016 at a price of \$10.50 per share, total cost \$50,660.00

I sold 5,626.660 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$11,140.79

Sincerely,


Signature

Nov 6, 2019
Date

Boushy Consulting, LLC

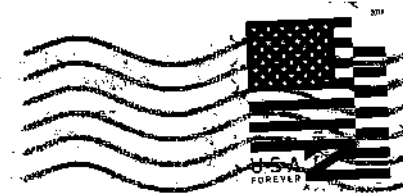
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Date

Boushy Consulting, LLC

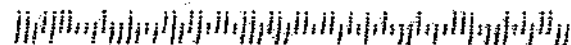
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Preston Perrenot
Sandra Perrento

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

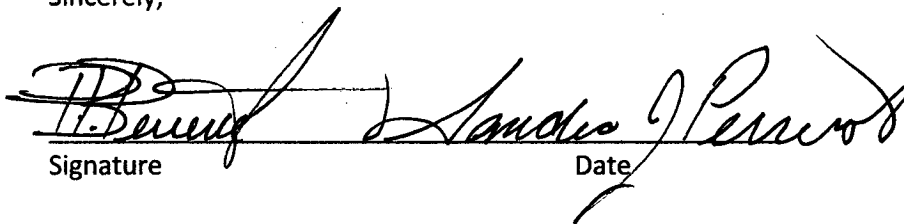
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 800 shares on 09/19/2016 at a price of \$11.25 per share, total cost \$9,000

I sold 1,183.396 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$2,343.12

Sincerely,

 11/22/19
 Signature Date

Preston Perrenot SANDRA PERRENOT 11/22/19
 Printed name Date

Preston B Perrenot
Sandra J Perrenot

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Dr. Mark Dugan

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

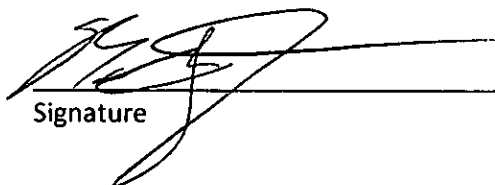
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 333.651 shares on 04/25/2016 at a price of \$10.49 per share, total cost \$3,500

I sold 389.106 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$770.43

Sincerely,


Signature _____ Date 11/18/19

Dr. Mark Dugan
Printed name _____ Date 11/18/19

Dr. Mark Dugan

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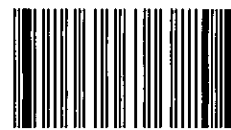
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Dr. Mark Dugan

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RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

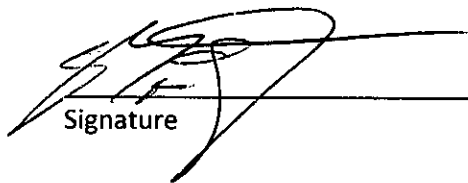
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 305.052 shares on 04/25/2016 at a price of \$10.49 per share, total cost \$3,215.00

I sold 3355.753 shares on 02/16/2018 at a price of \$1.98 per share, total proceeds \$639.39

Sincerely,



Signature

11/18/19
Date

Dr. Mark Dugan

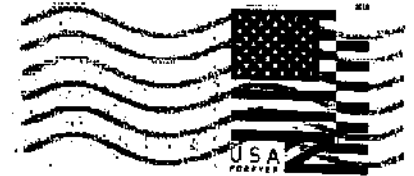
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Dr. Mark Dugan

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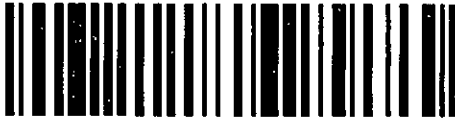
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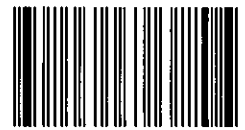
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Michael Shackelford

Case: 1:18-cv-01039 Document #: 211-1 Filed: 12/11/19 Page 162 of 166 PageID #: 3437

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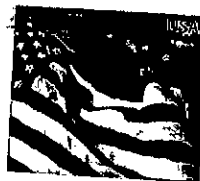
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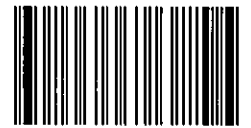
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Ms. Desirae Burkhart

RE: Sokolow v. LJM Funds Management, Ltd., et al. Case No. 118-cv-01039 (N.D. ILL.)

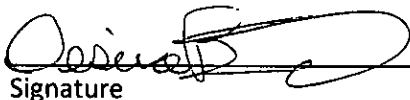
To whom it may concern,

Please exclude me from the LJM settlement. I do not wish to participate in any claim that I am eligible for.

I purchased 971.731 shares on 08/25/2017 at a price of \$11.32 per share, total cost \$11,000.00

I sold 1,032.939 shares on 02/16/18 at a price of \$1.98 per share, total proceeds \$2,045.22

Sincerely,


Signature

11/25/19
Date

Ms. Desirae Burkhart

Printed name

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