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6 Thomas A. Seaman

7  
8 **UNITED STATES DISTRICT COURT**  
9 **CENTRAL DISTRICT OF CALIFORNIA**  
10 **WESTERN DIVISION**

11 COMMODITY FUTURES TRADING  
COMMISSION,

12 Plaintiff,

13 v.

14 MONEX DEPOSIT COMPANY,  
15 MONEX CREDIT COMPANY,  
NEWPORT SERVICE  
16 CORPORATION, MICHAEL  
CARABINI, AND LOUIS CARABINI,

17 Defendants.  
18

Case No. 8:17-cv-01868-JVS-DFM

**FIRST INTERIM FEE  
APPLICATION OF MONITOR AND  
AGENTS**

Date: March 11, 2024

Time: 1:30 p.m.

Ctrm: 10C

Judge Hon. James V. Selna

19 **TO THE HONORABLE JAMES V. SELNA JUDGE OF THE UNITED**  
20 **STATES DISTRICT COURT IN THE WESTERN DIVISION OF THE**  
**CENTRAL DISTRICT, AND INTERESTED PARTIES:**

21 Thomas A. Seaman ("Monitor"), the Court-appointed Monitor for the Monex  
22 Restitution Fund, hereby submits this First Interim Fee Application (the  
23 "Application"). This Application covers the period from April 4, 2023, through  
24 December 31, 2023 (the "First Application Period").

25 During the First Application Period, the Monitor and his staff spent 292.0 hours  
26 executing the duties set forth in the Consent Order entered December 19, 2022, and  
27 Order Modifying Consent Order and Appointing Substitute Monitor entered on April  
28 3, 2023. By this Application, Thomas Seaman seeks approval of \$87,900.00 in fees

1 incurred from the time of the Monitor's appointment through December 31, 2023. The  
2 fees were incurred at hourly rates ranging from \$75 to \$500 per hour. Most of the  
3 work at this early stage of the assignment was performed by the Monitor himself and  
4 the weighted average hourly rate was \$301 per hour. The Monitor anticipates that  
5 this weighted average hourly rate will decline considerably as lower priced people  
6 administer the large volume of investor inquiries and the entering of claims into the  
7 investor database. The Monitor seeks approval to pay 100% of this amount from  
8 funds held by the Monitor. Attached hereto as Exhibit A is a summary of the  
9 Monitor's fees and a listing by month of each task performed.

10 The Monitor retained Stretto, an unrelated vendor who is assisting the Monitor  
11 with the claims process. Stretto created and maintains a website to facilitate  
12 communications with investors. They have handled the logistics of sending the notice  
13 and claim forms to known claimants both by U.S. postal service mail and email. They  
14 have developed and constructed a digital portal so that investors can file electronic  
15 claims. Stretto also administers investors requests for assistance using the portal and  
16 issuing access and claim forms to investors who were not reached by the initial  
17 promulgation of the notice of bar date. They have also assisted with establishing the  
18 bank account from which the restitution funds will be distributed. The Monitor has  
19 ensured that the restitution funds held by the Monitor are under the FDIC limit.

20 By this Application, the Receiver seeks approval of Stretto's fees in the amount  
21 of \$83,271.40. Stretto also had costs in December 2023 of \$15,638.82 for the cost of  
22 mailing the notice and claim forms. Stretto's total fees and costs for May through  
23 December 2023 are \$98,910.22. A summary of charges and Stretto's invoices are  
24 provided in Exhibit B. The Monitor seeks approval to pay Stretto 100% of this  
25 amount from funds held by the Monitor.

26 The Monitor also retained counsel for the limited purpose of advising the  
27 Monitor on the contents of the notice and its compliance with the Consent Order, and  
28 the claim form. The firm is Parr Brown in Salt Lake City. Parr Brown advised the

1 Monitor on the drafting of notice to investors and the claim form. With the notice  
2 issued, the Monitor has not required additional legal advice. Parr Brown's total fees  
3 were \$1,831.50. Given the small amount of the legal fees incurred by Parr Brown,  
4 the Monitor requests approval to pay the fees in connection with this fee application.  
5 Parr Brown's invoice is attached as Exhibit C.

6 The Monitor will be changing counsel going forward. Legal work will be  
7 required to prepare and file a claims objection motion and obtain court approval of  
8 the distribution amount, as well as filing reports and fee applications for the Monitor.

9 In summary the Monitor seeks approval to pay the following amounts from  
10 held by the Monitor.

11	Thomas Seam Company	\$87,900.00
12	Stretto	\$98,910.22
13	<u>Parr Brown</u>	<u>\$1,831.50</u>
14	Total	\$188,641.72

15  
16 **SCOPE OF THE MONITOR'S WORK**

17 The Monitor's work can be summarized as follows:

- 18 • Met and conferred with CFTC regarding background information on  
19 the underlying litigation and investor claims.
- 20 • Met with Monex representatives regarding background of the litigation,  
21 investor losses, and methodology for determining claims and making  
22 distributions.
- 23 • Opened bank accounts and spread deposits over multiple banks to stay  
24 within FDIC limits.
- 25 • Hired counsel to advise on responsibilities and duties of the Monitor  
26 and requirements of the Consent Order, and to assist Monitor with  
27 claims and distribution issues.

28

- 1 • Retained Stretto to provide logistical support for the eventual  
2 dissemination of the notice to investors and claim form and payment to  
3 claimants, development of portal for filing claims, website  
4 maintenance, establishing bank accounts covered by FDIC limits.
- 5 • Created a website for communications with Monex investors and  
6 interested parties.
- 7 • Review and analyze Monex requests to exclude certain claimants  
8 including those with whom Monex had previously settled litigation  
9 brought by the investor, and other investors who were unsuccessful in  
10 litigation against Monex.
- 11 • Made determination to not exclude any investor with losses that  
12 engaged in margin borrowing, and to reduce claims by the amount of  
13 any settlements received by the investors.
- 14 • Created a Qualified Settlement Fund ("QSF") and prepared and filed  
15 2022 tax returns.
- 16 • Obtained tax advice on 1099s for claimants (not required.)
- 17 • Review loss calculations, conducted reconciliation of loss calculations  
18 compared to investor account statements.
- 19 • Considered methodology of loss calculation by the parties and  
20 recommended that losses include margin interest and storage and other  
21 costs. Reviewed and analyzed revised loss numbers.
- 22 • Established framework for administration of distribution process.
- 23 • Transmitted notice to investors.
- 24 • Prepared proposed claim form; collaborated with Stretto and CFTC  
25 regarding the forms.
- 26 • Established a Bar Date of February 3, 2024.
- 27 • Transmitted notice by mail and email to investors on December 5,  
28 2023.

- 1 • Established process and workflow to administer investor emails and
- 2 voice mails.
- 3 • Administered thousands of emails and calls from investors.
- 4 • Prepared and published the Notice in the Wall Street Journal and Los
- 5 Angeles Times.

6  
7 **CASH BALANCE**

8 During the First Application Period, the gross receipts to the Monex  
9 Restitution Fund were \$33,503,628.79. Exhibit D provides a Standardized Fund  
10 Accounting Report ("SFAR"). The gross receipts may be summarized as follows:

11	Funds turned over by NFA	\$33,000,000.00
12	<u>Interest income</u>	<u>\$503,503.79</u>
13	Total	\$33,503,628.79

14 The total fees as a percentage of the gross receipts were less than .6%. To  
15 date, the interest income significantly exceeds the costs of the Monitor and Stretto.  
16 However, the claims process is in full swing and costs will increase over the coming  
17 months as investor inquiries are administered, claims are reviewed, confirmed and  
18 reconciled.

19  
20 **SUMMARY OF MONITOR'S FEES**

21 Exhibit A provides the Monitor's summary by timekeeper of the total fees for  
22 the First Application Period of \$87,900.00, as well as a detailed listing of every task  
23 performed by the Monitor or his agents. The fees were incurred by month as  
24 follows:

25	April 2023	\$2,320.00
26	May 2023	\$9,383.00
27	June 2023	\$11,550.00
28	July 2023	\$535.00

1	August 2023	\$7,774.00
2	September 2023	\$9,385.00
3	October 2023	\$3,872.50
4	November 2023	\$3,081.50
5	<u>December 2023</u>	<u>\$39,999.00</u>
6	Total	\$87,900.00

7

8 **SUMMARY OF CHARGES BY TASK**

9 The following table summarizes the charges listed in Exhibit A by task:

10	<u>Task</u>	<u>Hours</u>	<u>Cost</u>
11	Monitor	110.9	\$55,450.00
12	Investor Relations	135.2	\$18,990.50
13	Tax Analysis & Support	17.5	\$7,437.50
14	Project Management	20.1	\$4,901.50
15	<u>Monitor Administration</u>	<u>8.3</u>	<u>\$1,120.50</u>
16	Total	67.1	\$87,900.00

17

18 The Monitor believes that the rates and the total fees charged are reasonable

19 in view of the work performed, and respectfully requests an Order approving the

20 total fees submitted in the amount of \$87,900.00 and ordering an interim payment of

21 100% of the fees incurred, from funds held by the Monitor.

22

23 **SUMMARY OF STRETTO FEES**

24 A summary of the Stretto's fees and costs is as follows: The detailed bills are

25 attached in Exhibit B.

26	<b>Month</b>	<b>Hours</b>	<b>Rate</b>	<b>Fees</b>
27	May-23	29.3	\$180.85	\$5,299.00
28	Jun-23	8.3	\$156.90	\$1,302.30

1	Jul-23	4.2	\$171.21	\$719.10
2	Aug-23	-		\$0.00
3	Sep-23	1.4	\$199.29	\$279.00
4	Oct-23	35.1	\$183.97	\$6,457.50
5	Nov-23	67.3	\$186.86	\$12,575.70
6	Dec-23	334.6	\$169.27	\$56,638.80
7	Total	480.2	\$173.41	\$83,271.40
8	Costs			\$15,638.82
9	<u>Total Fees and Costs</u>			<u>\$98,910.22</u>

11 The Monitor also believes that Stretto's fees are reasonable and respectfully  
12 requests an Order approving the total fees submitted in the amount of \$83,271.40  
13 and costs of \$15,638.82 for printing, postage, envelopes and packaging. The  
14 Monitor respectfully requests an Order approving Stretto's total fees and costs and  
15 ordering an interim payment of 100% of the fees and costs incurred, from funds held  
16 by the Monitor.

17 WHEREFORE, the Monitor request an Order authorizing the Monitor to pay  
18 Thomas Seaman Company \$87,900, Stretto \$98,910.22 and Parr Brown \$1,831.50  
19 from funds being held by the Monitor.

21 Respectfully submitted,

23 Dated: January 30, 2024

Thomas Seaman Company

24 By: 

26 Thomas A. Seaman  
27 Monitor for the Monex Restitution Fund

# EXHIBIT A

Thomas Seaman Company

FeeApp1

Summary By Timekeeper  
Page 1 of 3

**Thomas Seaman, Monitor for Monex Deposit Company, et al**  
**First Interim Fee Application**  
**Summary of Fees**  
**Summary By Timekeeper**  
**Apr. 1, 2023, through Dec. 31, 2023**

<b>Thomas Seaman, Monitor</b>	<b>Hours</b>	<b>Rate</b>	<b>Cost</b>
Apr-23	3.2	\$500.00	\$1,600.00
May-23	14.4	\$500.00	\$7,200.00
Jun-23	19.2	\$500.00	\$9,600.00
Jul-23	0.9	\$500.00	\$450.00
Aug-23	13.0	\$500.00	\$6,500.00
Sep-23	10.5	\$500.00	\$5,250.00
Oct-23	6.9	\$500.00	\$3,450.00
Nov-23	4.3	\$500.00	\$2,150.00
Dec-23	38.5	\$500.00	\$19,250.00
<b>Total</b>	<b>110.9</b>	<b>\$500.00</b>	<b>\$55,450.00</b>

<b>Chad Coombs, Tax Accountant</b>	<b>Hours</b>	<b>Rate</b>	<b>Cost</b>
Apr-23	1.6	\$425.00	\$680.00
May-23	4.7	\$425.00	\$1,997.50
Jun-23	4.4	\$425.00	\$1,870.00
Jul-23	0.2	\$425.00	\$85.00
Aug-23	2.0	\$425.00	\$850.00
Sep-23	2.9	\$425.00	\$1,232.50
Oct-23	-	\$0.00	\$0.00
Nov-23	-	\$0.00	\$0.00
Dec-23	1.7	\$425.00	\$722.50
<b>Total</b>	<b>17.5</b>	<b>\$425.00</b>	<b>\$7,437.50</b>

Thomas Seaman Company

FeeApp1

Summary By Timekeeper  
Page 2 of 3

<b>Alison Juroe, Project Manager</b>	<b>Hours</b>	<b>Rate</b>	<b>Cost</b>
Apr-23	-	\$0.00	\$0.00
May-23	0.7	\$265.00	\$185.50
Jun-23	-	\$0.00	\$0.00
Jul-23	-	\$0.00	\$0.00
Aug-23	1.6	\$265.00	\$424.00
Sep-23	8.1	\$265.00	\$2,146.50
Oct-23	0.5	\$265.00	\$132.50
Nov-23	3.1	\$265.00	\$821.50
Dec-23	32.1	\$265.00	\$8,506.50
<b>Total</b>	<b>46.1</b>	<b>\$265.00</b>	<b>\$12,216.50</b>

<b>Timothy McDonnell, Project Manager</b>	<b>Hours</b>	<b>Rate</b>	<b>Cost</b>
Apr-23	-	\$0.00	\$0.00
May-23	-	\$0.00	\$0.00
Jun-23	-	\$0.00	\$0.00
Jul-23	-	\$0.00	\$0.00
Aug-23	-	\$0.00	\$0.00
Sep-23	4.2	\$180.00	\$756.00
Oct-23	-	\$0.00	\$0.00
Nov-23	-	\$0.00	\$0.00
Dec-23	16.5	\$180.00	\$2,970.00
<b>Total</b>	<b>20.7</b>	<b>\$180.00</b>	<b>\$3,726.00</b>

<b>Various Administrative Assistants</b>	<b>Hours</b>	<b>Rate</b>	<b>Cost</b>
Apr-23	0.4	\$100.00	\$40.00
May-23	-	\$0.00	\$0.00
Jun-23	0.8	\$100.00	\$80.00
Jul-23	-	\$0.00	\$0.00
Aug-23	-	\$0.00	\$0.00
Sep-23	-	\$0.00	\$0.00
Oct-23	2.9	\$100.00	\$290.00
Nov-23	1.1	\$100.00	\$110.00
Dec-23	91.6	\$93.00	\$8,550.00
<b>Total</b>	<b>96.8</b>	<b>\$94.00</b>	<b>\$9,070.00</b>

Thomas Seaman Company

FeeApp1

Summary By Timekeeper  
Page 3 of 3

<b>Total</b>	<b>Hours</b>	<b>Rate</b>	<b>Cost</b>
Apr-23	5.2	\$446.00	\$2,320.00
May-23	19.8	\$474.00	\$9,383.00
Jun-23	24.4	\$473.00	\$11,550.00
Jul-23	1.1	\$486.00	\$535.00
Aug-23	16.6	\$468.00	\$7,774.00
Sep-23	25.7	\$365.00	\$9,385.00
Oct-23	10.3	\$376.00	\$3,872.50
Nov-23	8.5	\$363.00	\$3,081.50
Dec-23	180.4	\$222.00	\$39,999.00
<b>Total, Monitor and Agent hours</b>	<b>292.0</b>	<b>\$301.00</b>	<b>\$87,900.00</b>

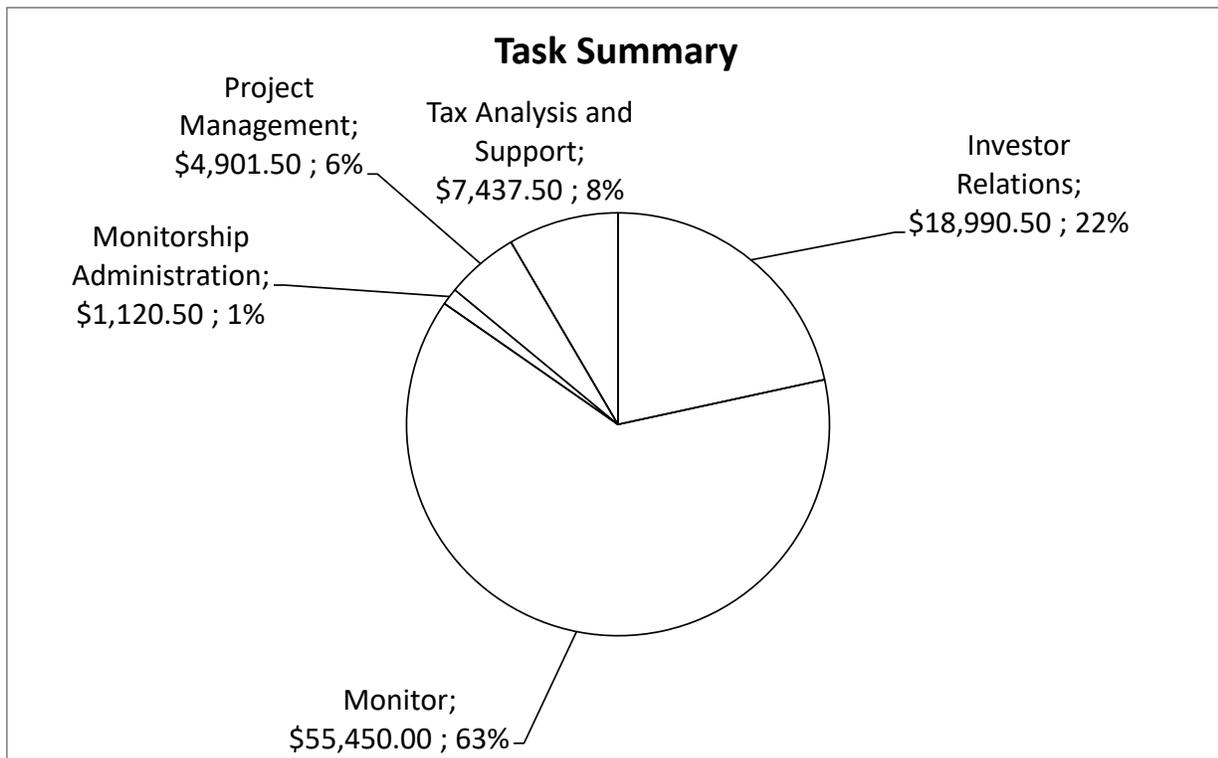
Thomas Seaman Company

FeeApp1

Summary By Task  
Page 1 of 3

**Thomas Seaman, Monitor for Monex Deposit Company, et al  
First Interim Fee Application  
Summary By Task  
Apr. 1, 2023, through Dec. 31, 2023**

Task	Hours	Rate	Amount
Investor Relations	135.2	\$140	\$18,990.50
Monitor	110.9	\$500	\$55,450.00
Monitorship Administration	8.3	\$135	\$1,120.50
Project Management	20.1	\$244	\$4,901.50
Tax Analysis and Support	17.5	\$425	\$7,437.50
<b>Total All Activities</b>	<b>292.0</b>	<b>\$301</b>	<b>\$87,900.00</b>



Thomas Seaman Company

FeeApp1

Summary By Task  
Page 2 of 3

<b>Investor Relations</b>	<b>Hours</b>	<b>Rate</b>	<b>Investor Relations</b>
Apr-23	-	\$0	\$0.00
May-23	-	\$0	\$0.00
Jun-23	-	\$0	\$0.00
Jul-23	-	\$0	\$0.00
Aug-23	-	\$0	\$0.00
Sep-23	-	\$0	\$0.00
Oct-23	-	\$0	\$0.00
Nov-23	-	\$0	\$0.00
Dec-23	135.2	\$140	\$18,990.50
<b>Total Investor Relations</b>	<b>135.2</b>	<b>\$140</b>	<b>\$18,990.50</b>

<b>Monitor (Listed as Receiver on timeslips)</b>	<b>Hours</b>	<b>Rate</b>	<b>Monitor</b>
Apr-23	3.2	\$500	\$1,600.00
May-23	14.4	\$500	\$7,200.00
Jun-23	19.2	\$500	\$9,600.00
Jul-23	0.9	\$500	\$450.00
Aug-23	13.0	\$500	\$6,500.00
Sep-23	10.5	\$500	\$5,250.00
Oct-23	6.9	\$500	\$3,450.00
Nov-23	4.3	\$500	\$2,150.00
Dec-23	38.5	\$500	\$19,250.00
<b>Total Monitor</b>	<b>110.9</b>	<b>\$500</b>	<b>\$55,450.00</b>

<b>Monitorship Administration (Listed as Receiver Administration on timeslips)</b>	<b>Hours</b>	<b>Rate</b>	<b>Monitorship Administration</b>
Apr-23	0.4	\$100	\$40.00
May-23	-	\$0	\$0.00
Jun-23	0.8	\$100	\$80.00
Jul-23	-	\$0	\$0.00
Aug-23	-	\$0	\$0.00
Sep-23	1.0	\$180	\$180.00
Oct-23	3.4	\$124	\$422.50
Nov-23	1.1	\$100	\$110.00
Dec-23	1.6	\$180	\$288.00
<b>Total Monitorship Administration</b>	<b>8.3</b>	<b>\$135</b>	<b>\$1,120.50</b>

Thomas Seaman Company

FeeApp1

Summary By Task  
Page 3 of 3

<b>Project Management</b>	<b>Hours</b>	<b>Rate</b>	<b>Project Management</b>
Apr-23	-	\$0	\$0.00
May-23	0.7	\$265	\$185.50
Jun-23	-	\$0	\$0.00
Jul-23	-	\$0	\$0.00
Aug-23	1.6	\$265	\$424.00
Sep-23	11.3	\$241	\$2,722.50
Oct-23	-	\$0	\$0.00
Nov-23	3.1	\$265	\$821.50
Dec-23	3.4	\$220	\$748.00
<b>Total Project Management</b>	<b>20.1</b>	<b>\$244</b>	<b>\$4,901.50</b>

<b>Tax Analysis and Support</b>	<b>Hours</b>	<b>Rate</b>	<b>Tax Analysis and Support</b>
Apr-23	1.6	\$425	\$680.00
May-23	4.7	\$425	\$1,997.50
Jun-23	4.4	\$425	\$1,870.00
Jul-23	0.2	\$425	\$85.00
Aug-23	2.0	\$425	\$850.00
Sep-23	2.9	\$425	\$1,232.50
Oct-23	-	\$0	\$0.00
Nov-23	-	\$0	\$0.00
Dec-23	1.7	\$425	\$722.50
<b>Total Tax Analysis and Support</b>	<b>17.5</b>	<b>\$425</b>	<b>\$7,437.50</b>

<b>Total All Activities</b>	<b>Hours</b>	<b>Rate</b>	<b>Total All Activities</b>
Apr-23	5.2	\$446	\$2,320.00
May-23	19.8	\$474	\$9,383.00
Jun-23	24.4	\$473	\$11,550.00
Jul-23	1.1	\$486	\$535.00
Aug-23	16.6	\$468	\$7,774.00
Sep-23	25.7	\$365	\$9,385.00
Oct-23	10.3	\$376	\$3,872.50
Nov-23	8.5	\$363	\$3,081.50
Dec-23	180.4	\$222	\$39,999.00
<b>Total All Activities</b>	<b>292.0</b>	<b>\$301</b>	<b>\$87,900.00</b>

Thomas Seaman Company  
 1 Park Plaza  
 Suite 580  
 Irvine, CA 92614

Invoice submitted to:  
 Thomas Seaman, Monitor for Monex Restitution  
 1 Park Plaza  
 Suite 580  
 Irvine, ca 92614  
 Orange

January 20, 2024

Invoice #11203

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
<u>Receiver</u>				
4/4/2023	TAS	Receiver Review incoming entered order from Court, review Consent Order, save and distribute documents, email counsel re same.	0.40 500.00/hr	200.00
	TAS	Receiver Reach out to NFA re funds to be transferred and status of getting bank account established.	0.10 500.00/hr	50.00
4/5/2023	TAS	Receiver Consider QSF, EIN, confer with Chad re requirements for same, confirm with Tom Melton, brief CFTC re same, apply on line for EIN for QSF.	0.70 500.00/hr	350.00
4/6/2023	TAS	Receiver Receive EIN from IRS, forward to Stretto for new bank account.	0.20 500.00/hr	100.00
4/8/2023	TAS	Receiver Prepare email/docuSign and scan drivers license and signature sample for new bank account.	0.30 500.00/hr	150.00
4/10/2023	TAS	Receiver Execute bank account documents.	0.30 500.00/hr	150.00

Thomas Seaman, Monitor for Monex Restitution

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		<u>Hrs/Rate</u>	<u>Amount</u>
4/11/2023	TAS Receiver Provide wiring instructions to NFA and follow up.	0.10 500.00/hr	50.00
	TAS Receiver Execute additional bank account documents.	0.30 500.00/hr	150.00
4/12/2023	TAS Receiver Text Monex counsel re appointment to review database, set date, revise date.	0.20 500.00/hr	100.00
4/20/2023	TAS Receiver Telephone call with Colin Metzger, Ansley and Brian re background on case, data base, claim amounts, investor communications, etc.	0.60 500.00/hr	300.00
SUBTOTAL:		[ 3.20	1,600.00]
<u>Receivership Administration</u>			
4/20/2023	HG Receivership Administration Scan and save TIN pin file in Pubdocs. Make labels for folder and cabinet for filing the hard copy.	0.40 100.00/hr	40.00
SUBTOTAL:		[ 0.40	40.00]
<u>Tax Analysis and Support</u>			
4/4/2023	CCC Tax Analysis and Support Telephone conference with Thomas Seaman regarding tax structure and issues related to the restitution fund.	0.30 425.00/hr	127.50
4/5/2023	CCC Tax Analysis and Support Review court orders for information to determine the tax structure of the restitution fund and analyze related tax issues and correspondence to Thomas Seaman regarding same.	1.30 425.00/hr	552.50
SUBTOTAL:		[ 1.60	680.00]
For professional services rendered		5.20	\$2,320.00
Balance due			<u>\$2,320.00</u>

Thomas Seaman Company  
 1 Park Plaza  
 Suite 580  
 Irvine, CA 92614

Invoice submitted to:  
 Thomas Seaman, Monitor for Monex Restitution  
 1 Park Plaza  
 Suite 580  
 Irvine, ca 92614  
 Orange

January 20, 2024

Invoice #11203

Professional Services

		<u>Hrs/Rate</u>	<u>Amount</u>
<u>Project Management</u>			
5/2/2023	AJ	Project Management Confer with Tom re meeting and thoughts on claims process.	0.20 265.00/hr 53.00
5/23/2023	AJ	Project Management Confer with Tom re Stretto call. Participated on call re website, claims notice, etc.	0.50 265.00/hr 132.50
SUBTOTAL:		[ 0.70	185.50]
<u>Receiver</u>			
5/2/2023	TAS	Receiver Meet with Lou and Michael Carabini and Greg Walker re claim amounts and supporting data.	2.10 500.00/hr 1,050.00
5/3/2023	TAS	Receiver Prepare email to CFTC re initial meeting with Monex, provided latest version of claim calculations.	0.60 500.00/hr 300.00
	TAS	Receiver Review excel worksheets and logic.	1.20 500.00/hr 600.00
5/5/2023	TAS	Receiver Conference call with CFTC, re latest calculations, insiders, inclusion of trades opened before 7/16/2011 and not closed until after,	0.60 500.00/hr 300.00

Thomas Seaman, Monitor for Monex Restitution

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		<u>Hrs/Rate</u>	<u>Amount</u>
	claimants that settled for cash, include or not, notice, distribution.		
5/5/2023	TAS Receiver Telephone call with Lou re question on files on disc.	0.20 500.00/hr	100.00
	TAS Receiver Telephone call with Greg Walker re settlements.	0.20 500.00/hr	100.00
5/11/2023	TAS Receiver Request detail from NFA on payments, follow up on interest and expenses, forward to Chad emails re QSF.	0.30 500.00/hr	150.00
5/16/2023	TAS Receiver Contact Anthony re interest rate, need for call on website.	0.20 500.00/hr	100.00
5/19/2023	TAS Receiver Reply to email from Ansley re status of website.	0.10 500.00/hr	50.00
	TAS Receiver Telephone call with Greg Walker re latest version of claims, copy I have is current but not updated for potential exclusions from settlements or prior litigation, status if list of claimants, also discuss prior litigation by customers wherein Monex prevailed, need for detailed list of same.	0.30 500.00/hr	150.00
5/22/2023	TAS Receiver Review draft contact with Stretto, create redline with edits, accept execute send with comment on changes.	0.90 500.00/hr	450.00
	TAS Receiver Create outline for website creator, Confer with Alison re website functionality.	0.40 500.00/hr	200.00
	TAS Receiver Prepare draft language for website and send to CFTC for concurrence and provide status update.	1.10 500.00/hr	550.00
	TAS Receiver Telephone call with Chad re facts on payment what year to establish QSF.	0.30 500.00/hr	150.00
	TAS Receiver Email Monex re ending date and list of claimants they wish to exclude.	0.10 500.00/hr	50.00
5/23/2023	TAS Receiver Read email response from CFTC re website language, data transmission, and their position on claimants that unsuccessfully litigated, consider same, clean up language, send to Monex, prepare	0.60 500.00/hr	300.00

Thomas Seaman, Monitor for Monex Restitution

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		<u>Hrs/Rate</u>	<u>Amount</u>
	email to website creator with language and links.		
5/23/2023	TAS Receiver Conference call with Stretto team re website, portal, objectives of distribution and processes.	0.50 500.00/hr	250.00
	TAS Receiver Telephone call with Tom Melton re background, facts, objectives, notice, possible excluded and included claimants, notice, stipulation of parties to process and amounts.	0.50 500.00/hr	250.00
	TAS Receiver Telephone call with Greg Walker re clarity on ending date, margin vs. unleveraged transactions, their objection to the use of website and name of website.	0.70 500.00/hr	350.00
5/24/2023	TAS Receiver Read email from Defendants re their request to revise website language, consider same, forward to CFTC for their input; follow up emails with CFTC, revise language, forward to web creator.	0.50 500.00/hr	250.00
5/30/2023	TAS Receiver Review CFTC corrections to website language, make edits and corrections, emails and calls with Stretto re going live.	0.50 500.00/hr	250.00
	TAS Receiver Review database mechanics and supporting tabs, tie out totals, note minor discrepancy, email Monex re same.	1.20 500.00/hr	600.00
	TAS Receiver Review list of claimants Monex has requested be excluded, review docs and confirm loss numbers, consider, develop position, prepare email to CFTC re recommendation.	1.30 500.00/hr	650.00
	SUBTOTAL:	[ 14.40	7,200.00]
	<u>Tax Analysis and Support</u>		
5/12/2023	CCC Tax Analysis and Support Review restitution fund background information and correspondence with Thomas Seaman regarding funding and potential income and expenses.	0.30 425.00/hr	127.50
	CCC Tax Analysis and Support Review Monex pleadings and qualified settlement fund income tax return filing requirements and due date and related issues and	0.60 425.00/hr	255.00

Thomas Seaman, Monitor for Monex Restitution

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		<u>Hrs/Rate</u>	<u>Amount</u>
	correspondence to Thomas Seaman regarding same.		
5/14/2023	CCC Tax Analysis and Support Review Treas. Reg. Section 1.468B-3 requirements including deadline for transferors to provide a 1.468B-3 statement to the qualified settlement fund.	0.30 425.00/hr	127.50
5/15/2023	CCC Tax Analysis and Support Correspondence to Thomas Seaman regarding information the defendants/transferors were required to send the qualified settlement fund created for income tax purposes.	0.20 425.00/hr	85.00
5/16/2023	CCC Tax Analysis and Support Review tax reporting and payment requirements, including estimated tax payments, and correspondence to Thomas Seaman regarding same and information required for income tax purposes.	0.60 425.00/hr	255.00
5/17/2023	CCC Tax Analysis and Support Correspondence with Thomas Seaman regarding information needed for 2022 qualified settlement fund tax trial balance and returns and steps to be taken.	0.30 425.00/hr	127.50
5/22/2023	CCC Tax Analysis and Support Multiple correspondence with Thomas Seaman regarding information for tax return purposes.	0.30 425.00/hr	127.50
	CCC Tax Analysis and Support Review qualified settlement fund tax return filing requirements based on information from Thomas Seaman.	0.30 425.00/hr	127.50
	CCC Tax Analysis and Support Telephone conference with Thomas Seaman regarding qualified settlement fund income tax filing requirements for 2022.	0.20 425.00/hr	85.00
5/23/2023	CCC Tax Analysis and Support Prepare 2022 qualified settlement fund tax trial balance template.	0.80 425.00/hr	340.00
	CCC Tax Analysis and Support Prepare qualified settlement fund 2022 tax trial balance for tax returns including description of case and other notes for current year and future year purposes.	0.60 425.00/hr	255.00
	CCC Tax Analysis and Support Correspondence to Thomas Seaman regarding draft 2022 qualified settlement fund tax trial balance and issues related to preparation of the 2022 income tax returns.	0.20 425.00/hr	85.00

Thomas Seaman, Monitor for Monex Restitution

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	<u>Hrs/Rate</u>	<u>Amount</u>
SUBTOTAL:	[ 4.70	1,997.50]
For professional services rendered	19.80	\$9,383.00
Balance due		<u>\$9,383.00</u>

Thomas Seaman Company  
 1 Park Plaza  
 Suite 580  
 Irvine, CA 92614

Invoice submitted to:  
 Thomas Seaman, Monitor for Monex Restitution  
 1 Park Plaza  
 Suite 580  
 Irvine, ca 92614  
 Orange

January 20, 2024

Invoice #11203

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
	<u>Receiver</u>			
6/5/2023	TAS Receiver	Review data base and Lou's email correct missing cell, review data, note losses through April 2023, email Greg and Lou re end dates.	0.50 500.00/hr	250.00
	TAS Receiver	Review data base calculations and total.	0.70 500.00/hr	350.00
6/6/2023	TAS Receiver	Review and consider email from CFTC re Monex request to exclude certain investors, Telephone call with Tom Melton re same, prepare email to CFTC re same.	0.50 500.00/hr	250.00
	TAS Receiver	Upload Monex claims worksheet to CFTC site.	0.40 500.00/hr	200.00
	TAS Receiver	Telephone call with Stretto possible scenarios re claims process, portal, notice, etc.	0.40 500.00/hr	200.00
	TAS Receiver	Review database, select sample of accounts to compare to statements.	1.20 500.00/hr	600.00
6/12/2023	TAS Receiver	Prepare draft email to Monex re their request to exclude investors that filed complaints and settled or did not prevail; forward to Tom	1.20 500.00/hr	600.00

Thomas Seaman, Monitor for Monex Restitution

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			<u>Hrs/Rate</u>	<u>Amount</u>
		Melton for comment		
6/12/2023	TAS	Receiver Review email transmitting .pdfs of investor statements to confirm loss numbers, direct Admin re printing.	0.20 500.00/hr	100.00
6/13/2023	TAS	Receiver Read Tom's redline, accept, make additional changes, send to Monex, forward cc to CFTC.	0.50 500.00/hr	250.00
6/16/2023	TAS	Receiver Start audit of client statements vs. claimant database.	2.30 500.00/hr	1,150.00
6/19/2023	TAS	Receiver Analyze interest and storage costs and impact on loss.	0.60 500.00/hr	300.00
	TAS	Receiver Review more customer statements compare to Excel claim calculation.	1.80 500.00/hr	900.00
6/20/2023	TAS	Receiver Continue audit of customer statements vs. Excel claims.	3.10 500.00/hr	1,550.00
6/21/2023	TAS	Receiver Continue work on review of excel claim calculation compared to customer statements.	2.80 500.00/hr	1,400.00
	TAS	Receiver Prepare email to CFTC re gold transactions, some included some not.	0.50 500.00/hr	250.00
6/22/2023	TAS	Receiver Emails with Chad and accountants re 2022 tax returns, approve trial balance, request engagement letter.	0.30 500.00/hr	150.00
6/23/2023	TAS	Receiver Review response from CFTC re analysis of missing transactions, review same, prepare email re interest, next steps, etc.	0.60 500.00/hr	300.00
6/27/2023	TAS	Receiver Review email from CFTC explaining missing transactions, review statements re same; prepare reply and update, interest expense issue.	1.20 500.00/hr	600.00
6/30/2023	TAS	Receiver Review email from CFTC re questions and possible revisions on certain claimants, prepare email to Monex re same and re application of settlement proceeds to losses.	0.40 500.00/hr	200.00

Thomas Seaman, Monitor for Monex Restitution

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	<u>Hrs/Rate</u>	<u>Amount</u>
SUBTOTAL:	[ 19.20	9,600.00]
<u>Receivership Administration</u>		
6/12/2023 HG Receivership Administration Print loan statements from Monex Credit Company.	0.80 100.00/hr	80.00
SUBTOTAL:	[ 0.80	80.00]
<u>Tax Analysis and Support</u>		
6/1/2023 CCC Tax Analysis and Support Correspondence with Thomas Seaman regarding 2022 tax trial balance and returns and taxpayer identification number for the qualified settlement fund.	0.30 425.00/hr	127.50
6/5/2023 CCC Tax Analysis and Support Review documents for disclosure language and attachments for the 2022 qualified settlement fund income tax returns.	0.40 425.00/hr	170.00
6/6/2023 CCC Tax Analysis and Support Review court and other documents for language and disclosures for 2022 qualified settlement fund income tax returns.	0.60 425.00/hr	255.00
CCC Tax Analysis and Support Prepare disclosure language for 2022 qualified settlement fund income tax returns.	0.60 425.00/hr	255.00
CCC Tax Analysis and Support Review court documents on file and correspondence to Thomas Seaman regarding copies of entered orders for attaching to the 2022 qualified settlement fund income tax returns.	0.30 425.00/hr	127.50
6/8/2023 CCC Tax Analysis and Support Review qualified settlement fund disclosure language for income tax returns and include in disclosure language for the 2022 qualified settlement fund income tax returns.	0.50 425.00/hr	212.50
6/13/2023 CCC Tax Analysis and Support Review estimated tax payment requirements and correspondence to Thomas Seaman regarding same.	0.50 425.00/hr	212.50
6/20/2023 CCC Tax Analysis and Support Review disclosure language for 2022 qualified settlement fund income tax returns and correspondence to Thomas seaman	0.40 425.00/hr	170.00

Thomas Seaman, Monitor for Monex Restitution

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	<u>Hrs/Rate</u>	<u>Amount</u>
regarding same.		
6/22/2023 CCC Tax Analysis and Support Correspondence with Thomas Seaman and accountants regarding preparation of 2022 qualified settlement fund returns and related issues (including review of documents to send to the accountants for the returns).	0.60 425.00/hr	255.00
6/23/2023 CCC Tax Analysis and Support Follow-up correspondence with accountants regarding 2022 qualified settlement fund returns.	0.20 425.00/hr	85.00
 SUBTOTAL:	 [ 4.40	 1,870.00]
 For professional services rendered	 24.40	 \$11,550.00
 Balance due		 \$11,550.00

Thomas Seaman Company  
 1 Park Plaza  
 Suite 580  
 Irvine, CA 92614

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 Thomas Seaman, Monitor for Monex Restitution  
 1 Park Plaza  
 Suite 580  
 Irvine, ca 92614  
 Orange

January 20, 2024

Invoice #11203

Professional Services

		<u>Hrs/Rate</u>	<u>Amount</u>
	<u>Receiver</u>		
7/24/2023	TAS Receiver Email Monex re CFTC questions and other claim adjustments.	0.20 500.00/hr	100.00
7/25/2023	TAS Receiver Prepare status update to CFTC.	0.70 500.00/hr	350.00
SUBTOTAL:		[ 0.90	450.00]
	<u>Tax Analysis and Support</u>		
7/17/2023	CCC Tax Analysis and Support Correspondence with accountants regarding the status of the 2022 qualified settlement fund returns.	0.20 425.00/hr	85.00
SUBTOTAL:		[ 0.20	85.00]
For professional services rendered		1.10	\$535.00
Balance due			<u>\$535.00</u>

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 Orange

January 20, 2024

Invoice #11203

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
<u>Project Management</u>				
8/17/2023	AJ	Project Management Confer with Tom re payment options. Review Venmo policies and messages back and forth re fees, limitations, etc Follow up with Tom re same.	0.50 265.00/hr	132.50
8/28/2023	AJ	Project Management Calls with Tom re documents to be downloaded. Review and call with Dan re same. Follow up with Tom.	0.40 265.00/hr	106.00
8/30/2023	AJ	Project Management Call with investor. Call with Tom re same. Call with Tom re payment methods. Call with Cash app and emails with Venmo.	0.70 265.00/hr	185.50

SUBTOTAL:

[ 1.60      424.00]

Receiver

8/1/2023	TAS	Receiver Consider distribution process and form, reply to CFTC email re notice, form, pre-filing, status.	1.10 500.00/hr	550.00
8/7/2023	TAS	Receiver Review Consent Order, prepare draft Notice to investors, prepare web and newspaper notice.	3.10 500.00/hr	1,550.00

Thomas Seaman, Monitor for Monex Restitution

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		<u>Hrs/Rate</u>	<u>Amount</u>
8/7/2023	TAS Receiver Review Monex reply to CFTC questions, review revised worksheet, forward to CFTC with update.	0.60 500.00/hr	300.00
	TAS Receiver Direct Tim re draft claim form, review same; start over, create form.	2.20 500.00/hr	1,100.00
8/14/2023	TAS Receiver Review Tom Melton's comments to notice and claim form, incorporate, make additional edits, prepare email to CFTC with request for comment, prepare email to Monex re final numbers.	1.10 500.00/hr	550.00
8/16/2023	TAS Receiver Review CFTC reply on draft notice and claim form, consider same, prepare draft reply send to Tom Melton re for review and additional input if needed.	1.80 500.00/hr	900.00
8/30/2023	TAS Receiver Retrieve Tom's redlines. Telephone call with Tom re same, review, finalize, prepare email to CFTC with latest versions.	2.20 500.00/hr	1,100.00
8/31/2023	TAS Receiver Incorporate CFTC redline changes, edit and finalize, send to Stretto for call to discuss next steps.	0.90 500.00/hr	450.00
	SUBTOTAL:	[ 13.00	6,500.00]
	<u>Tax Analysis and Support</u>		
8/31/2023	CCC Tax Analysis and Support Review correspondence from accountants and tax issues and questions raised therein relating to the 2022 income tax returns and analysis of same and correspondence to accountants in response.	1.20 425.00/hr	510.00
	CCC Tax Analysis and Support Revise 2022 tax trial balance and further correspondence with accountants regarding same for 2022 income tax returns.	0.40 425.00/hr	170.00
	CCC Tax Analysis and Support Correspondence with accountants regarding relation back election for 2022 income tax returns and review same.	0.40 425.00/hr	170.00
	SUBTOTAL:	[ 2.00	850.00]
	For professional services rendered	16.60	\$7,774.00

Thomas Seaman, Monitor for Monex Restitution

Page 3

Amount

Balance due

\$7,774.00

Thomas Seaman Company  
 1 Park Plaza  
 Suite 580  
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 1 Park Plaza  
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 Orange

January 20, 2024

Invoice #11203

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
<u>Project Management</u>				
9/5/2023	AJ	Project Management Call with Tom re Monex zoom call. Print and review docs and claim form draft. Follow up call with Tom. Emails with Stretto re rescheduling call. Create copy of claims, and analyze the number and totals for possible distribution numbers. Emails with Venmo re details on the distribution and inquires about platform capabilities.	1.30 265.00/hr	344.50
9/6/2023	AJ	Project Management Call with Tom in advance of Monex call. Call with Stretto to discuss the pending notice and claims process.	0.70 265.00/hr	185.50
9/7/2023	AJ	Project Management Review email from Stretto re follow up to call. Call with Tom re same.	0.40 265.00/hr	106.00
9/12/2023	AJ	Project Management Call with Tom before Stretto call. Call with Stretto re setting up claims portal, notice, etc.	0.70 265.00/hr	185.50
9/14/2023	AJ	Project Management Review email from Stretto. Message and calls with Tom re same. Print the notice and claim form to review in detail	1.20 265.00/hr	318.00
9/20/2023	AJ	Project Management Confer with Tom re claims form, website, etc. Locate draft forms and consider edits.	0.70 265.00/hr	185.50

Thomas Seaman, Monitor for Monex Restitution

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			<u>Hrs/Rate</u>	<u>Amount</u>
9/21/2023	AJ	Project Management Meet with Tom and work through notice and claim form revisions, work flow chart. Make additional edits, and review email to Stretto re same.	2.30 265.00/hr	609.50
9/22/2023	AJ	Project Management Review email from Stretto re claims portal and changes to notice, etc.	0.20 265.00/hr	53.00
9/25/2023	TM	Project Management Made fee app and exhibits. Several changes to the exhibit.	3.20 180.00/hr	576.00
9/27/2023	AJ	Project Management Confer with Tom re portal update, discuss notice and banking. Review emails from Stretto and bank	0.60 265.00/hr	159.00
SUBTOTAL:			[ 11.30	2,722.50]
<u>Receiver</u>				
9/2/2023	TAS	Receiver Telephone call with investor Zane re status of claims process and his questions re same, follow up call	0.30 500.00/hr	150.00
	TAS	Receiver Send Stretto latest versions of notice, claim form, and claims register, invite call	0.30 500.00/hr	150.00
9/6/2023	TAS	Receiver Telephone call with Stretto re claims notice process, portal, hard copy, claims database. etc	0.60 500.00/hr	300.00
9/7/2023	TAS	Receiver Review latest claim worksheet note discrepancy with totals, email Monex re same, review reply.	0.50 500.00/hr	250.00
9/8/2023	TAS	Receiver Telephone call with Alison Juroe re Stretto reply on docusign, not quite what we were thinking, consider same	0.30 500.00/hr	150.00
9/11/2023	TAS	Receiver Read email from Sretto on Docusign and process for returning claim forms, note problems, prepare email invite call.	0.40 500.00/hr	200.00
9/15/2023	TAS	Receiver Read Stretto red lines to Notice and Claim form, note issues re same, confer with Alison, consider changes to process	1.20 500.00/hr	600.00

Thomas Seaman, Monitor for Monex Restitution

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			<u>Hrs/Rate</u>	<u>Amount</u>
9/21/2023	TAS	Receiver Prepare flow of work and designation of responsibilities.	1.10 500.00/hr	550.00
	TAS	Receiver Review Stretto red line on notice, edit, confer with Alison Juroe re same, finalize document,	1.20 500.00/hr	600.00
	TAS	Receiver Review redline claim form from Stretto, edit, confer with Alison	0.70 500.00/hr	350.00
	TAS	Receiver Prepare email to Stretto re flow of claims process, designation of work, revised notice and claim form	0.50 500.00/hr	250.00
	TAS	Receiver Review last worksheet, note requested revisions made, note missing tabs, review summary of claims by amount and frequency, request complete final work sheet	0.60 500.00/hr	300.00
9/27/2023	TAS	Receiver Telephone call with Investor Zain D. re status of work and timing	0.20 500.00/hr	100.00
	TAS	Receiver Receive email from Joe K. at CFTC re shut down and call re status, prepare reply and status report.	1.70 500.00/hr	850.00
	TAS	Receiver Follow up with Stretto re timing on completion of portal and cost, emails re changes to form and portal	0.30 500.00/hr	150.00
	TAS	Receiver Revise claim form re PIN and edit Notice	0.30 500.00/hr	150.00
9/28/2023	TAS	Receiver Telephone call with Joe K. and Ansley S. at CFTC re government shut-down and impact on their work and claims process, fee application, direct Tim to send fee app exhibits for review	0.30 500.00/hr	150.00
SUBTOTAL:			[ 10.50	5,250.00]
<u>Receivership Administration</u>				
9/1/2023	TM	Receivership Administration Direction from Tom to make a Claims Form with certain information. Work performed on August 7, 2023, but not billed.	1.00 180.00/hr	180.00

Thomas Seaman, Monitor for Monex Restitution

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	<u>Hrs/Rate</u>	<u>Amount</u>
SUBTOTAL:	[ 1.00	180.00]
<u>Tax Analysis and Support</u>		
9/1/2023 CCC Tax Analysis and Support Review files regarding restitution payments for 2022 income tax returns and correspondence to accountants regarding same.	0.30 425.00/hr	127.50
9/5/2023 CCC Tax Analysis and Support Review timing and amount of restitution payments and related tax issues.	0.20 425.00/hr	85.00
CCC Tax Analysis and Support Review issues regarding 1.468B-3 statement transferors did not provide and related reporting issues and correspondence to accountants outlining issues and providing comments.	1.20 425.00/hr	510.00
CCC Tax Analysis and Support Correspondence with accountants regarding 1.468B-3 statement issues and attachments for returns.	0.30 425.00/hr	127.50
9/6/2023 CCC Tax Analysis and Support Review draft 2022 qualified settlement fund return and correspondence with accountants with comments and to finalize draft returns.	0.90 425.00/hr	382.50
SUBTOTAL:	[ 2.90	1,232.50]
For professional services rendered	25.70	\$9,385.00
Balance due		<u>\$9,385.00</u>

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 1 Park Plaza  
 Suite 580  
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 Orange

January 20, 2024

Invoice #11203

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
	<u>Receiver</u>			
10/9/2023	TAS Receiver	Go to Monex, meet with Greg, get latest worksheet, discuss methodology and claims process	0.60 500.00/hr	300.00
10/16/2023	TAS Receiver	Create Quickbooks file, make entries	0.70 500.00/hr	350.00
	TAS Receiver	Prepare narrative for first fee application	2.80 500.00/hr	1,400.00
	TAS Receiver	Follow up with Stretto on portal construction	0.20 500.00/hr	100.00
10/17/2023	TAS Receiver	Prepare narrative for website update	1.10 500.00/hr	550.00
10/18/2023	TAS Receiver	Prepare .pdf of fee app add exhibits forward to CFTC for approval	0.70 500.00/hr	350.00
	TAS Receiver	Write narrative for website update	0.60 500.00/hr	300.00
10/24/2023	TAS Receiver	Telephone call with customer Zain D. re status of claims process and website update.	0.20 500.00/hr	100.00

Thomas Seaman, Monitor for Monex Restitution

Page 2

	<u>Hrs/Rate</u>	<u>Amount</u>
SUBTOTAL:	[ 6.90	3,450.00]
<u>Receivership Administration</u>		
10/16/2023 HG Receivership Administration Prepare certified mails with returned receipts for FTB payment and IRS taxes. Take them to USPS. Make label for Accounts payable folder. Enter invoice into QuickBooks. Scan and save check and invoice in Pubdocs.	2.10 100.00/hr	210.00
AJ Receivership Administration Confer with Tom re taxes to be filed. Review emails from bank. Follow up email re online access and check printing. Confer with Tom re same. Review email from Cameron re same.	0.50 265.00/hr	132.50
10/18/2023 HG Receivership Administration Prepared certified mail with returned receipt for Request for Prompt Assessment.	0.20 100.00/hr	20.00
10/20/2023 HG Receivership Administration Take the certified tax document to USPS. Make folder label for taxes.	0.60 100.00/hr	60.00
SUBTOTAL:	[ 3.40	422.50]
For professional services rendered	10.30	\$3,872.50
Balance due		<u>\$3,872.50</u>

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January 20, 2024

Invoice #11203

Professional Services

			<u>Hrs/Rate</u>	<u>Amount</u>
<u>Project Management</u>				
11/3/2023	AJ	Project Management Review emails from Tom and Stretto team re call	0.10 265.00/hr	26.50
	AJ	Project Management Review call in info, confer with Tom re meeting. Print off claim and notice and made copy for Tom. Attend meeting. Review follow up emails.	0.80 265.00/hr	212.00
11/7/2023	AJ	Project Management Review email from Tom and call re same. Review follow up emails	0.20 265.00/hr	53.00
11/13/2023	AJ	Project Management Review email from Tom. Print and review the redline and changes from defendant. Call with Tom re same.	0.70 265.00/hr	185.50
11/14/2023	AJ	Project Management Review emails from Stretto and message Tom. Review and confirm meeting time.	0.20 265.00/hr	53.00
11/15/2023	AJ	Project Management Call with Tom re Monex call with Stretto. Call with Stretto team, and Tom. Review after call action email with proposed updates to portal.	0.70 265.00/hr	185.50
11/28/2023	AJ	Project Management Call with Tom re status of website. Review same. Review emails from Tom and Stretto re update on claims	0.20 265.00/hr	53.00

Thomas Seaman, Monitor for Monex Restitution

Page 2

		<u>Hrs/Rate</u>	<u>Amount</u>
11/29/2023	AJ Project Management Review messages from Tom and Stretto re claims status, portal and notice timing, etc.	0.20 265.00/hr	53.00
SUBTOTAL:		[ 3.10	821.50]
<u>Receiver</u>			
11/3/2023	TAS Receiver Conference call with Stretto re trial run on portal, notice, logistics (.8) , etc. follow up emails (.2)	1.00 500.00/hr	500.00
11/7/2023	TAS Receiver Review final version of claim losses, totals, reconcile, telephone call with Greg re questions re same and logistics, etc	1.20 500.00/hr	600.00
	TAS Receiver Prepare email to Monex re Notice and claim form	0.20 500.00/hr	100.00
11/9/2023	TAS Receiver Emails with Stretto re issues with portal need another week, confer re website update	0.30 500.00/hr	150.00
11/13/2023	TAS Receiver Review and consider email from Monex re concerns over form and fraudulent claims, forward to team for further review	0.40 500.00/hr	200.00
	TAS Receiver Review defendant email Confer with Alison re defendant's suggestions.	0.50 500.00/hr	250.00
11/30/2023	TAS Receiver Telephone call with Greg Walker re timing and process	0.40 500.00/hr	200.00
	TAS Receiver Deal with last minute issues with portal, and notic	0.30 500.00/hr	150.00
SUBTOTAL:		[ 4.30	2,150.00]

Thomas Seaman, Monitor for Monex Restitution

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		<u>Hrs/Rate</u>	<u>Amount</u>
<u>Receivership Administration</u>			
11/7/2023	HG Receivership Administration Match and file returned receipts.	0.10 100.00/hr	10.00
11/10/2023	HG Receivership Administration Enter invoices into QuickBooks. Create invoice for TSC.	0.70 100.00/hr	70.00
11/17/2023	HG Receivership Administration Scan and save IRS tax document in Pubdocs. Email it to Alison. File the hard copy.	0.30 100.00/hr	30.00
SUBTOTAL:		[ 1.10	110.00]
For professional services rendered		8.50	\$3,081.50
Balance due			<u>\$3,081.50</u>

Thomas Seaman Company  
 1 Park Plaza  
 Suite 580  
 Irvine, CA 92614

Invoice submitted to:  
 Thomas Seaman, Monitor for Monex Restitution  
 1 Park Plaza  
 Suite 580  
 Irvine, ca 92614  
 Orange

January 20, 2024

Invoice #11203

Professional Services

		<u>Hrs/Rate</u>	<u>Amount</u>
<u>Investor Relations</u>			
12/4/2023	TM Investor Relations Call from claimant regarding a discrepancy in loss amounts. Took large amount of notes and emailed Tom re same.	0.30 180.00/hr	54.00
12/5/2023	AJ Investor Relations Review voice mails received, and set up folders for same. Confer with Tom re response.	1.30 265.00/hr	344.50
	AJ Investor Relations Meet with Tom and Tim re incoming claims, questions, and division of duties. Call with Stretto re same.	0.70 265.00/hr	185.50
12/6/2023	AJ Investor Relations Review emails and calls from claimants. Confer with Tom re same. Work with Tom on responses. Confer with Tim re same. Forward voicemails to Tom. Emails with Stretto re technical issues, etc.	3.80 265.00/hr	1,007.00
12/7/2023	AJ Investor Relations Review emails and messages from customers. Send tech issues to Stretto and review responses. Forward general inquires to Tom. Organize folders and messages	1.30 265.00/hr	344.50

Thomas Seaman, Monitor for Monex Restitution

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			<u>Hrs/Rate</u>	<u>Amount</u>
12/8/2023	AJ	Investor Relations Monitor messages received and send to Tom or Stretto for responses.	0.80 265.00/hr	212.00
	TM	Investor Relations Phone call with claimant about the case, asked that they sent in the documentation.	0.10 180.00/hr	18.00
12/11/2023	TM	Investor Relations Phone call with claimant, answered questions about the case and encouraged them to fill out form and return.	0.30 180.00/hr	54.00
	AJ	Investor Relations Emails with Stretto re a call for reviewing claims database options	0.10 265.00/hr	26.50
	AJ	Investor Relations Review voice mails and emails, calls with claimants. Respond as able to emails, and send VM to Tom and Stretto for responses.	1.60 265.00/hr	424.00
12/12/2023	HG	Investor Relations Copy returned mail with forwarded address. Scan and save in the Pubdocs. Make address labels for resending mail.	3.20 100.00/hr	320.00
	TM	Investor Relations Met with claimant, collected documentation from him and gave a receipt.	0.10 180.00/hr	18.00
	TM	Investor Relations Phone call with claimant, gave information about the case, asked that they sent in the documentation.	0.10 180.00/hr	18.00
	AJ	Investor Relations Review messages and correspondence. Send vm to Tom and Stretto. Calls and emails with claimants. Met with Tom to review process.	1.70 265.00/hr	450.50
	AJ	Investor Relations Review messages and correspondence. Respond to same and forward messages to Tom and Stretto.	1.80 265.00/hr	477.00
12/13/2023	HG	Investor Relations Copy returned mail with forwarded address. Scan and save in the Pubdocs. Make address labels for resending mail. Go to Post Office for confirming forwarding addresses. Update customer's list with new address.	5.10 100.00/hr	510.00
	TM	Investor Relations Call from investor re claim form. Explained the cause of action and encouraged him to send the claim form back.	0.10 180.00/hr	18.00

Thomas Seaman, Monitor for Monex Restitution

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		<u>Hrs/Rate</u>	<u>Amount</u>
12/14/2023	HG Investor Relations Search resending mail in claim list. Make address labels for resending mail. Assemble returned mail and drop them at the mailbox. Update Customer List with new address.	3.80 100.00/hr	380.00
	AJ Investor Relations Emails with Stretto re claims filed to date. Received and reviewed file. Direct Heidi re re-sending claim forms. Review messages and correspondence from customers. Confer with Tom re same. Discuss website update with Tim. Set up folders for voicemail communications.	1.70 265.00/hr	450.50
	TM Investor Relations Call from Monex claimant, explained the reason for the fund, took contact info and question about other remedies. Asked Alison about that and replied to the claimant.	0.30 180.00/hr	54.00
	TM Investor Relations Calls with claimants, emails to same. Answered several claimant questions and resolved issues re restitution money and if accepting such nullifies other claims.	0.90 180.00/hr	162.00
12/15/2023	HG Investor Relations Count received application forms. Received application forms from mailman. Update Customer List with new address.	4.30 100.00/hr	430.00
	AJ Investor Relations Review claims received. Review email from Stretto with weekly metrics for claims filed, etc. Review and respond to emails. Calls with claimants. Confer with Tom re managing voice mails. Met with Tim to give instructions. Review mailbox and move calls to pubdocs for responses.	2.30 265.00/hr	609.50
	TM Investor Relations Update to TSC website re Monex.	1.40 180.00/hr	252.00
12/18/2023	AJ Investor Relations Confer with Tom re email reply process	0.30 265.00/hr	79.50
	AJ Investor Relations Review emails and messages from claimants, work on sending to Stretto, Tim or Tom for follow up. Review claims received, and direct Heidi re same. Review returned mail. Met with claimant that dropped of form. Confer with Tom re new associate, messages with Dan re setting up work station, etc.	1.70 265.00/hr	450.50

Thomas Seaman, Monitor for Monex Restitution

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		<u>Hrs/Rate</u>	<u>Amount</u>
12/18/2023	HG Investor Relations Separate mails with forwarding address and without forwarding address. Pull out claim forms. Sort application forms and make folders for them. Count received application forms. Received application forms from mailman. Update Customer List with new address.	10.30 100.00/hr	1,030.00
	TM Investor Relations Calls to several claimants who called and left voicemails. Took notes and resolved issues. Took several calls from claimants and lead them through the website portal.	1.20 180.00/hr	216.00
12/19/2023	IVE Investor Relations Worked on scanning claim forms.	2.50 75.00/hr	187.50
	IVE Investor Relations Calls with claimants	0.50 75.00/hr	37.50
	AJ Investor Relations Set up folder for claims. Met with Ingrid and gave instruction on scanning claims. Calls with Tom re same.	0.30 265.00/hr	79.50
	AJ Investor Relations Review and respond to V mail, email and correspondence. Calls with claimants, review claims, and discuss response to calls with Tim and Heidi. Send claim portal info to claimants, send messages to Stretto. Review and save reports from Stretto with communication metrics.	2.20 265.00/hr	583.00
	HG Investor Relations Separate mails with forwarding address and without forwarding address. Pull out claim forms. Received application forms from mailman. Update Customer List with new address. Organize returned mails without mailing address.	4.80 100.00/hr	480.00
	TM Investor Relations Call with Yolanda Paster re not receiving claim form. Took contact information and let he know we would send a new form to her.	0.20 180.00/hr	36.00
	TM Investor Relations Calls to several claimants who called and left voicemails. Took notes and resolved issues. Took several calls from claimants and lead them through the website portal.	3.70 180.00/hr	666.00
12/20/2023	IVE Investor Relations Scanned Claim Forms	3.00 75.00/hr	225.00
	AJ Investor Relations Review emails, voicemails and correspondence from claimants. Emails and calls with Tim re same. Move messages to pubdocs.	1.20 265.00/hr	318.00

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		<u>Hrs/Rate</u>	<u>Amount</u>
	Confer with Ingrid re scans, etc.		
12/20/2023	TM Investor Relations Calls to several claimants who called and left voicemails. Took notes and resolved issues.	1.00 180.00/hr	180.00
12/21/2023	IVE Investor Relations Scanned Claims	3.40 75.00/hr	255.00
	HG Investor Relations Separate mails with forwarding address and without forwarding address. Pull out claim forms. Count received claim forms. Received application forms from mailman. Update Customer List with new address. Copy and save returned mails with forwarding address. Prepare mailing address labels for returned mails.	9.30 100.00/hr	930.00
	AJ Investor Relations Review emails and voice mails from claimants. Confer with Ingrid re scans. Discuss the returned claims with Heidi. Review email from Stretto with updated claims numbers from portal. Calls with claimants.	1.60 265.00/hr	424.00
	TM Investor Relations Separated out Monex claim form mail into three types of needed work.	0.40 180.00/hr	72.00
12/22/2023	IVE Investor Relations Scanned Claims	3.00 75.00/hr	225.00
	AJ Investor Relations Review messages and emails received. Sent to Stretto and Review and sign checks for bills, review cash position docs for responses. Confer with Ingrid re incoming calls.	1.50 265.00/hr	397.50
	HG Investor Relations Update Customer List with new address. Copy and save returned mails with forwarding address. Prepare mailing labels for returned mails. Assemble returned mails and drop them at the mailbox. Move claim form folders.	6.40 100.00/hr	640.00
12/23/2023	HG Investor Relations Update Customer List with new address.	6.30 100.00/hr	630.00
12/26/2023	IVE Investor Relations Scanned Claims	5.00 75.00/hr	375.00

Thomas Seaman, Monitor for Monex Restitution

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		<u>Hrs/Rate</u>	<u>Amount</u>
12/26/2023	HG Investor Relations Sort claim forms by the first letter in last names.	3.90 100.00/hr	390.00
	AJ Investor Relations Review emails and voice mails received and send to pub docs for response. Call with claimants, and review claims received. Give Heidi direction on new claims coming in.	1.70 265.00/hr	450.50
	TM Investor Relations Took calls from claimants and called claimants back from voicemails.	0.70 180.00/hr	126.00
12/27/2023	IVE Investor Relations Scanned Investor Claims	0.50 75.00/hr	37.50
	IVE Investor Relations Scanned Investor Claims	0.50 75.00/hr	37.50
	IVE Investor Relations Returned Calls And Answered Claims Questions	6.00 75.00/hr	450.00
	HG Investor Relations Sort claim forms by the first letter in last names.	1.80 100.00/hr	180.00
	AJ Investor Relations Review emails and voice mails from claimants. Move to folders for team to respond. Work with Ingrid to set up voicemail, and provide email instruction, etc. Confer with Tom and Tim re same.	1.60 265.00/hr	424.00
	TM Investor Relations Took calls from claimants and called claimants back from voicemails.	0.60 180.00/hr	108.00
12/28/2023	HG Investor Relations Sort claim forms by the first letter in last names. Copy and save returned mails with forwarding address in Pubdocs.	5.40 100.00/hr	540.00
	TM Investor Relations Took calls from claimants and called claimants back from voicemails.	0.50 180.00/hr	90.00
12/29/2023	HG Investor Relations Sort claim forms by the first letter in last names. Copy and save returned mails with forwarding address in Pubdocs.	2.60 100.00/hr	260.00
	AJ Investor Relations Review emails and voicemails from claimants, and send to team for responses. Review updated report for claims filed in portal.	1.30 265.00/hr	344.50

Thomas Seaman, Monitor for Monex Restitution

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		<u>Hrs/Rate</u>	<u>Amount</u>
12/29/2023	TM Investor Relations Took calls from claimants and called claimants back from voicemails.	1.20 180.00/hr	216.00
SUBTOTAL:		[ 135.20	18,990.50]
<u>Project Management</u>			
12/4/2023	AJ Project Management Review emails with questions and updates on portal and website notices	0.20 265.00/hr	53.00
	TM Project Management Request from Tom to make spreadsheet listing several claimants. Did so and sent to him.	0.20 180.00/hr	36.00
12/5/2023	TM Project Management Meeting with Tom and Alison re claims calls and needs re website.	0.70 180.00/hr	126.00
12/6/2023	AJ Project Management Emails with Stretto re database. Call with Tom and Stretto to work out issues.	0.50 265.00/hr	132.50
12/12/2023	AJ Project Management Call with Tom and Stretto re Trustworks claims database, report on communications to date, etc	0.50 265.00/hr	132.50
12/18/2023	AJ Project Management Messages with Stretto re processing claims, etc. Review instructions for portal. Save claimant details.	0.40 265.00/hr	106.00
12/19/2023	TM Project Management Call from Tom to set up Ingrid with email. Logged on, created email address and gave info to Pryor for configuration. Made purchase from GoDaddy re same.	0.90 180.00/hr	162.00
SUBTOTAL:		[ 3.40	748.00]
<u>Receiver</u>			
12/1/2023	TAS Receiver Email from Joe re timing on notice and customer communications, reply	0.20 500.00/hr	100.00
	TAS Receiver Telephone call with and emails re website update, timing on portal, mailing, emails, etc	0.50 500.00/hr	250.00

Thomas Seaman, Monitor for Monex Restitution

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			<u>Hrs/Rate</u>	<u>Amount</u>
12/1/2023	TAS	Receiver Prepare email to CFTC re timing, website update, latest versions of notice and form, portal. SEO	0.50 500.00/hr	250.00
	TAS	Receiver Confer re improving SEO	0.30 500.00/hr	150.00
	TAS	Receiver Telephone call with Greg Walker re wants removing total loss amount, consider, decline	0.30 500.00/hr	150.00
	TAS	Receiver Deal with last minute changes and issues	0.40 500.00/hr	200.00
12/4/2023	TAS	Receiver Follow up with Stretto on notice issuance	0.20 500.00/hr	100.00
12/5/2023	TAS	Receiver Telephone call with Iman Bar re her losses, claim, notice, expected recovery and timing	0.30 500.00/hr	150.00
12/6/2023	TAS	Receiver Review and organize incoming emails and voice mails from investors, confer with Alison process	2.80 500.00/hr	1,400.00
	TAS	Receiver Conference call with Stretto and glitches, delegate technical and address changes and claim forms	0.70 500.00/hr	350.00
	TAS	Receiver Return investor calls	0.60 500.00/hr	300.00
	TAS	Receiver Reply to investor emails	0.40 500.00/hr	200.00
12/7/2023	TAS	Receiver Telephone call with investor Raymond per CFTC referral	0.20 500.00/hr	100.00
	TAS	Receiver Give Stretto approval and handling of errors on uploaded documents	0.10 500.00/hr	50.00
	TAS	Receiver Reply to customer voice mails	1.30 500.00/hr	650.00

Thomas Seaman, Monitor for Monex Restitution

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			<u>Hrs/Rate</u>	<u>Amount</u>
12/7/2023	TAS	Receiver Review investor emails re portal issues and claim questions	0.60 500.00/hr	300.00
	TAS	Receiver Forward tech related issues to Stretto	0.30 500.00/hr	150.00
	TAS	Receiver Return investor calls	0.90 500.00/hr	450.00
12/8/2023	TAS	Receiver Return investor voice mails	0.70 500.00/hr	350.00
	TAS	Receiver Review metrics from portal, prepare email with metrics on claims filed for CFTC	0.50 500.00/hr	250.00
12/11/2023	TAS	Receiver Telephone call with investor re claim	0.20 500.00/hr	100.00
	TAS	Receiver Forward email to Stretto re upload and technical difficulties	0.30 500.00/hr	150.00
	TAS	Receiver Reply to investor calls	0.50 500.00/hr	250.00
12/12/2023	TAS	Receiver Telephone call with Stretto re Trustworks system, delineation of duties, report on communications handled to date	0.50 500.00/hr	250.00
	TAS	Receiver Email Monex re deceased claimant	0.20 500.00/hr	100.00
12/13/2023	TAS	Receiver Reply to investor emails	0.40 500.00/hr	200.00
12/14/2023	TAS	Receiver Return numerous investor calls re notice and claim form	1.90 500.00/hr	950.00
	TAS	Receiver Reply to investor email inquiries	0.50 500.00/hr	250.00
	TAS	Receiver Return investor voice mails	1.20 500.00/hr	600.00

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			<u>Hrs/Rate</u>	<u>Amount</u>
12/14/2023	TAS	Receiver Return investor calls	0.90 500.00/hr	450.00
	TAS	Receiver Answer investor emails	0.30 500.00/hr	150.00
12/15/2023	TAS	Receiver Telephone call with investment Rohrer re losses, claims he never used leverage and did not suffer losses, review database re same	0.40 500.00/hr	200.00
	TAS	Receiver Telephone call with customer Thomas M.	0.40 500.00/hr	200.00
	TAS	Receiver Reply to investor emails	0.60 500.00/hr	300.00
12/18/2023	TAS	Receiver Confer with Alison re email reply process	0.30 500.00/hr	150.00
	TAS	Receiver Answer investor emails	0.50 500.00/hr	250.00
12/19/2023	TAS	Receiver Telephone call with investor Zain re did not get claim, instruct Stretto to resend, follow up	0.30 500.00/hr	150.00
	TAS	Receiver Return investor calls	0.90 500.00/hr	450.00
	TAS	Receiver Respond to investor emails	0.30 500.00/hr	150.00
	TAS	Receiver Confer with Tim re direction on investor calls	0.30 500.00/hr	150.00
	TAS	Receiver Return investor calls	1.20 500.00/hr	600.00
12/21/2023	TAS	Receiver Reply to investor emails	0.60 500.00/hr	300.00
	TAS	Receiver Return calls to investors	0.60 500.00/hr	300.00
	TAS	Receiver Texts and calls from Barbara Bernard re Horlick claim, direct Stretto re same	0.30 500.00/hr	150.00

Thomas Seaman, Monitor for Monex Restitution

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			<u>Hrs/Rate</u>	<u>Amount</u>
12/22/2023	TAS	Receiver Telephone call with Brenda Bernard, instruct Stretto re revised claim	0.20 500.00/hr	100.00
12/26/2023	TAS	Receiver Read letter from investor, Forward to Monex with suggestion to deal with	0.30 500.00/hr	150.00
	TAS	Receiver Reply to investor emails	3.20 500.00/hr	1,600.00
	TAS	Receiver Telephone call with Hillary re staffing	0.40 500.00/hr	200.00
12/27/2023	TAS	Receiver Consider tax issues, 1099's? Telephone call with Chad re same, return of principal, research tax code language of 1.468 B-2L, concluded no 1099 required; follow up call re Private Letter Ruling 110076-06 and 200704004.	1.10 500.00/hr	550.00
	TAS	Receiver Return investor voice mails	2.20 500.00/hr	1,100.00
	TAS	Receiver Give Ingrid direction on specific investor inquiries, several calls.	0.40 500.00/hr	200.00
	TAS	Receiver Confer with Alison Juroe re investor call and email folders and process	0.30 500.00/hr	150.00
	TAS	Receiver Confer with Maggie re Rob and temp manager duties	0.30 500.00/hr	150.00
	TAS	Receiver Reply to investor emails	1.10 500.00/hr	550.00
12/28/2023	TAS	Receiver Answer incoming calls	1.10 500.00/hr	550.00
	TAS	Receiver Request claim status for investor from portal	0.20 500.00/hr	100.00
	TAS	Receiver Telephone call with Jei'mar Spell re claim, research same, was employee, email re exclusion of employees	0.30 500.00/hr	150.00

Thomas Seaman, Monitor for Monex Restitution

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		<u>Hrs/Rate</u>	<u>Amount</u>
12/28/2023	TAS Receiver Return investor email inquiries	1.10 500.00/hr	550.00
	TAS Receiver Review data on number of claims filed, confer with Heidi re paper claims, also review returned mail re ratio with and without forwarding address, email CFTC re same, also re notice and press release	0.70 500.00/hr	350.00
	TAS Receiver Confer with Tim re need to get quotes from WSJ and LA Times legal notices re Bar Date Notice	0.20 500.00/hr	100.00
SUBTOTAL:		[ 38.50	19,250.00]
<u>Receivership Administration</u>			
12/20/2023	TM Receivership Administration Separated out Monex claim form mail into three types of needed work.	0.30 180.00/hr	54.00
12/22/2023	TM Receivership Administration Separated out Monex claim form mail into three types of needed work.	0.40 180.00/hr	72.00
12/23/2023	TM Receivership Administration Separated out Monex claim form mail into three types of needed work.	0.30 180.00/hr	54.00
12/26/2023	TM Receivership Administration Separated out Monex claim form mail into three types of needed work.	0.30 180.00/hr	54.00
12/29/2023	TM Receivership Administration Separated out Monex claim form mail into three types of needed work.	0.30 180.00/hr	54.00
SUBTOTAL:		[ 1.60	288.00]
<u>Tax Analysis and Support</u>			
12/27/2023	CCC Tax Analysis and Support Research need for 1099 to QSF recipients	1.10 425.00/hr	467.50
	CCC Tax Analysis and Support Research private letter rulings per Thomas Seaman's questions on 1099 requirements, conclude no obligation to issue, 110076-06 and 200704004	0.60 425.00/hr	255.00
SUBTOTAL:		[ 1.70	722.50]

Thomas Seaman, Monitor for Monex Restitution

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	<u>Hours</u>	<u>Amount</u>
For professional services rendered	180.40	\$39,999.00
Balance due		<u>\$39,999.00</u>

# EXHIBIT B

**Stretto**  
**First Interim Fee Application**  
**Apr. 1, 2023, through Dec. 31, 2023**

<b>Month</b>	<b>Hours</b>	<b>Rate</b>	<b>Fees</b>
May-23	29.3	\$180.85	\$5,299.00
Jun-23	8.3	\$156.90	\$1,302.30
Jul-23	4.2	\$171.21	\$719.10
Aug-23	-		\$0.00
Sep-23	1.4	\$199.29	\$279.00
Oct-23	35.1	\$183.97	\$6,457.50
Nov-23	67.3	\$186.86	\$12,575.70
Dec-23	334.6	\$169.27	\$56,638.80
<b>Total</b>	<b>480.2</b>	<b>\$173.41</b>	<b>\$83,271.40</b>
Costs			\$15,638.82
<b>Total Fees and Costs</b>			<b>\$98,910.22</b>

**Stretto, Inc.**  
410 Exchange, Ste 100  
Irvine, CA 92602  
800.634.7734  
StrettoCR-Billing@stretto.com

# Invoice 8524



**BILL TO**  
CFTC Monex

DATE 06/03/2023	<b>PLEASE PAY</b> <b>\$5,299.00</b>	DUE DATE 07/03/2023
--------------------	----------------------------------------	------------------------

DESCRIPTION	QTY	RATE	AMOUNT
Service performed in May 2023			
Hourly Fees			5,299.00

<b>TOTAL DUE</b>	<b>\$5,299.00</b>
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THANK YOU.

For wire/ACH payments:  
 Bank Name – Pacific Western Bank  
 Bank Address – 110 West A Street, Suite 100, San Diego, CA 92101  
 Account No – 1000681781  
 ABA - 122238200  
 Beneficiary - Stretto

Remit Check Payments to:  
 Stretto: Attn Accounts Receivable  
 410 Exchange, Ste. 100  
 Irvine, CA 92602



**Case Name:** CFTC/ Monex

## Summary of Hourly Fees

**Date Range:** 05/01/2023 - 05/31/2023

<b>Role</b>	<b>Hours</b>	<b>Rate</b>	<b>Total</b>
Associate	16.4	\$150.00	\$2,460.00
Director II	3.2	\$220.00	\$704.00
Director III	1.0	\$230.00	\$230.00
Managing Director	3.3	\$250.00	\$825.00
Senior Associate	5.4	\$200.00	\$1,080.00
		<b>Total</b>	<b>\$5,299.00</b>



Case Name: CFTC/ Monex

## Time Detail

Date Range: 05/01/2023 - 05/31/2023

Date	Employee Name	Role	Task	Description	Hours
05/03/2023	Dan McElhinney	Managing Director	Case Management	Prep for and attend kick off call with T. Seaman and Stretto team (1.1); follow up with team re go forward tasks (.2)	1.3
05/03/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 05/03/2023</b>					<b>1.4</b>
Date	Employee Name	Role	Task	Description	Hours
05/19/2023	Nicholas Kennedy	Director	Case Management	Review, edit services agreement	0.3
<b>Subtotal 05/19/2023</b>					<b>0.3</b>
Date	Employee Name	Role	Task	Description	Hours
05/22/2023	Nicholas Kennedy	Director	Case Management	Review, edit services agreement	0.7
<b>Subtotal 05/22/2023</b>					<b>0.7</b>
Date	Employee Name	Role	Task	Description	Hours
05/23/2023	Alexa Westmoreland	Director	Case Management	Prepare case website and secure URL	0.6
05/23/2023	Alexa Westmoreland	Director	Case Management	Correspondence with case team re: website details, claim filing timeline and related case status	0.4
05/23/2023	Daniel Ramirez	Associate	Website Updates and Maintenance	Kick-Off Meeting with the receiver	0.6
05/23/2023	Daniel Ramirez	Associate	Website Updates and Maintenance	Internal follow-up call.	0.5
05/23/2023	IT Staff	Senior Associate	Case Management	Setup custom domain in CMS & CloudFront	0.5
05/23/2023	IT Staff	Senior Associate	Case Management	Setup custom domain in CMS & CloudFront	0.5
05/23/2023	Kevin Wasserman	Associate	Website Updates and Maintenance	Kick-Off meeting with the receiver.	0.6
05/23/2023	Kevin Wasserman	Associate	Website Updates and Maintenance	Internal follow-up call.	0.5
05/23/2023	Kevin Wasserman	Associate	Website Updates and Maintenance	Coordinating interally to create a website.	1.5
05/23/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.3
<b>Subtotal 05/23/2023</b>					<b>6.0</b>

Exhibit B

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Date	Employee Name	Role	Task	Description	Hours
05/24/2023	Alexa Westmoreland	Director	Case Management	Teleconference with K. Wasserman, R. Saraceni, D. Ramirez and S. Cady re: case management and electronic claim form details	0.5
05/24/2023	Alexa Westmoreland	Director	Website Updates and Maintenance	Prepare case website	1.5
05/24/2023	IT Staff	Senior Associate	Case Management	Setup custom domain in CMS & CloudFront	0.3
05/24/2023	IT Staff	Senior Associate	Case Management	Setup custom domain in CMS & CloudFront	3.3
05/24/2023	Kevin Wasserman	Associate	Website Updates and Maintenance	Internal correspondence to establish the website and set up the Freshdesk ticketing system. Draft URL created and circulated to Trustee.	5.0
05/24/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.4
<b>Subtotal 05/24/2023</b>					<b>11.0</b>

Date	Employee Name	Role	Task	Description	Hours
05/25/2023	Alexa Westmoreland	Director	Website Updates and Maintenance	Prepare case website	0.2
05/25/2023	Daniel Ramirez	Associate	Website Updates and Maintenance	Status call - Internal	0.5
05/25/2023	Daniel Ramirez	Associate	Website Updates and Maintenance	Internal call re Freshdesk ticketing system	0.5
05/25/2023	IT Staff	Senior Associate	Case Management	Setup custom domain in CMS & CloudFront	0.3
05/25/2023	IT Staff	Senior Associate	Case Management	Setup custom domain in CMS & CloudFront	0.5
05/25/2023	Kevin Wasserman	Associate	Website Updates and Maintenance	Status Call - Internal	0.5
05/25/2023	Kevin Wasserman	Associate	Website Updates and Maintenance	Internal call regarding Freshdesk.	0.5
05/25/2023	Kevin Wasserman	Associate	Website Updates and Maintenance	Internal correspondence to establish the website and set up the Freshdesk ticketing system.	1.5
05/25/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.2
<b>Subtotal 05/25/2023</b>					<b>4.7</b>

Date	Employee Name	Role	Task	Description	Hours
05/26/2023	Dan McElhinney	Managing Director	Case Management	Cons. team re website deployment (.4); review text and email with T. Seaman re same (.3)	0.7
05/26/2023	Kevin Wasserman	Associate	Website Updates and Maintenance	Internal meeting - making the website go live.	1.0
05/26/2023	Kevin Wasserman	Associate	Website Updates and Maintenance	Website creation, updates, and going live.	2.5
05/26/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.3
<b>Subtotal 05/26/2023</b>					<b>4.5</b>

<b>Date</b>	<b>Employee Name</b>	<b>Role</b>	<b>Task</b>	<b>Description</b>	<b>Hours</b>
05/30/2023	Kevin Wasserman	Associate	Website Updates and Maintenance	Follow-up call re. Freshdesk ticketing. Completed, test ticket created.	0.7
<b>Subtotal 05/30/2023</b>					<b>0.7</b>
<b>Total 05/01/2023 - 05/31/2023</b>					<b>29.3</b>

**Stretto, Inc.**  
 410 Exchange, Ste 100  
 Irvine, CA 92602  
 800.634.7734  
 StrettoCR-Billing@stretto.com

# Invoice 8629



**BILL TO**  
 CFTC Monex

DATE 07/03/2023	<b>PLEASE PAY</b> <b>\$6,601.30</b>	DUE DATE 08/02/2023
--------------------	----------------------------------------	------------------------

DATE	ACCOUNT SUMMARY	AMOUNT
06/03/2023	Balance Forward	5,299.00
	Other payments and credits after 06/03/2023 through 07/02/2023	0.00
07/03/2023	Other invoices from this date	0.00
	New charges (details below)	1,302.30
	<b>Total Amount Due</b>	<b>6,601.30</b>

DESCRIPTION	QTY	RATE	AMOUNT
Service performed in June 2023			
Hourly Fees			1,447.00
Client Courtesy Discount			-144.70
		<b>TOTAL OF NEW CHARGES</b>	<b>1,302.30</b>
		<b>TOTAL DUE</b>	<b>\$6,601.30</b>

THANK YOU.

For wire/ACH payments:  
 Bank Name – Pacific Western Bank  
 Bank Address – 110 West A Street, Suite 100, San Diego, CA 92101  
 Account No – 1000681781  
 ABA - 122238200  
 Beneficiary - Stretto

Remit Check Payments to:  
 Stretto: Attn Accounts Receivable  
 410 Exchange, Ste. 100  
 Irvine, CA 92602



**Case Name:** CFTC/ Monex

## Summary of Hourly Fees

**Date Range:** 06/01/2023 - 06/30/2023

<b>Role</b>	<b>Hours</b>	<b>Rate</b>	<b>Total</b>
Associate	5.5	\$150.00	\$825.00
Director	2.6	\$220.00	\$572.00
Managing Director	0.2	\$250.00	\$50.00
		<b>Total</b>	<b>\$1,447.00</b>



Case Name: CFTC/ Monex

## Time Detail

Date Range: 06/01/2023 - 06/30/2023

Date	Employee Name	Role	Task	Description	Hours
06/01/2023	Kevin Wasserman	Associate	Creditor Correspondence	Correspondence with Receiver - Forwarded URL for restitution fund. Created Zoom meeting for 06/06 meeting.	0.1
06/01/2023	Kevin Wasserman	Associate	Creditor Correspondence	Correspondence with Receiver - Call via RingCentral - discussed adding a toll-free number to the website.	0.2
<b>Subtotal 06/01/2023</b>					<b>0.3</b>
06/02/2023	Kevin Wasserman	Associate	Creditor Correspondence	Correspondence with Receiver - sent follow-up email regarding ticketing system.	0.1
<b>Subtotal 06/02/2023</b>					<b>0.1</b>
06/05/2023	Robert Saraceni	Director	Creditor Correspondence	Review incoming correspondence, update correspondence tracker and confirm receipt with customer (.1)	0.2
06/05/2023	Robert Saraceni	Director	Admin (Internal)	Corr. with D.McElhinney re status of email forwarding and language and voicemail set-up and auto-response".	0.2
06/05/2023	Robert Saraceni	Director	Creditor Correspondence	Update email tracker	0.1
06/05/2023	Robert Saraceni	Director	Creditor Correspondence	TC with customer, Z. Dumont, re case status update.	0.2
<b>Subtotal 06/05/2023</b>					<b>0.7</b>
06/06/2023	Dan McElhinney	Managing Director	Case Management	Cons. team re status of website, email and voicemail issues (.2)	0.2
06/06/2023	Kevin Wasserman	Associate	Creditor Correspondence	Video call with Receiver.	0.8
06/06/2023	Robert Saraceni	Director	Case Management	TC with receiver to discuss status (.5)	0.5
<b>Subtotal 06/06/2023</b>					<b>1.5</b>
06/07/2023	Alexa Westmoreland	Director	Case Management	Correspondence with K. Wasserman re: investor matrix details and noticing maintenance	0.3
06/07/2023	Kevin Wasserman	Associate	Creditor Correspondence	Correspondence with Receiver - sent follow-up email regarding data repository (Box).	0.1
<b>Subtotal 06/07/2023</b>					<b>0.4</b>

Date	Employee Name	Role	Task	Description	Hours
06/12/2023	Kevin Wasserman	Associate	Creditor Correspondence	Correspondence with investor via Monex inquiry email.	0.3
06/12/2023	Kevin Wasserman	Associate	Website Updates and Maintenance	IT correspondence to allow colleagues the ability to email on behalf of Monex Inquiries email rather than personal email.	0.2
06/12/2023	Robert Saraceni	Director	Case Management	Review and respond to correspondence regarding auto response language (.1); review procedure for setting up automated response for website email inquiries. (.1)	0.2
06/12/2023	Robert Saraceni	Director	Case Management	Update email tracker	0.1
<b>Subtotal 06/12/2023</b>					<b>0.8</b>

Date	Employee Name	Role	Task	Description	Hours
06/14/2023	Kevin Wasserman	Associate	Creditor Correspondence	A follow-up email to the receiver regarding the data set file.	0.2
<b>Subtotal 06/14/2023</b>					<b>0.2</b>

Date	Employee Name	Role	Task	Description	Hours
06/16/2023	Kevin Wasserman	Associate	Creditor Correspondence	Call with Receiver - claimant file uploaded to Box.	0.2
06/16/2023	Robert Saraceni	Director	Case Management	TC Z. Dumont	0.1
<b>Subtotal 06/16/2023</b>					<b>0.3</b>

Date	Employee Name	Role	Task	Description	Hours
06/19/2023	Robert Saraceni	Director	Creditor Correspondence	TC with customer, Z. Dumont, re updates to status.	0.1
<b>Subtotal 06/19/2023</b>					<b>0.1</b>

Date	Employee Name	Role	Task	Description	Hours
06/23/2023	Kevin Wasserman	Associate	Data Formatting	Match profit/loss on one worksheet and see if it is accurately represented on the grand total page.	1.2
06/23/2023	Kevin Wasserman	Associate	Data Formatting	Put data into a pivot table - circulated internally to the team.	0.8
<b>Subtotal 06/23/2023</b>					<b>2.0</b>

Date	Employee Name	Role	Task	Description	Hours
06/26/2023	Kevin Wasserman	Associate	Data Formatting	Reformat the Summary page to reflect each transfer and match the Claimant page.	1.3
06/26/2023	Robert Saraceni	Director	Case Management	Review of Monex customer account detail and new table created to link account details. Internal TC and email to edit.	0.6
<b>Subtotal 06/26/2023</b>					<b>1.9</b>

**Total 06/01/2023 - 06/30/2023 8.3**



410 Exchange, Ste 100  
Irvine, CA 92602  
855.812.6112

Invoice: 8736  
Date: 08/02/2023  
Due Date: 09/01/2023  
Terms: Net 30

**Bill To:**  
CFTC Monex

Item	Quantity	Unit Price	Amount
July 23 Invoice			
Hourly Fees			\$799.00
Client Courtesy Discount			(\$79.90)
<b>TOTAL DUE</b>			<b>\$719.10</b>

THANK YOU.

**For wire/ACH payments:**

Bank Name – Pacific Western Bank  
Bank Address – 110 West A Street,  
Suite 100, San Diego, CA 92101  
Account No – 1000681781  
ABA - 122238200  
Beneficiary - Stretto

**Remit Check Payments to:**

Stretto  
Attn: Accounts Receivable  
410 Exchange, Ste. 100  
Irvine, CA 92602



**Case Name:** CFTC/ Monex

## Summary of Hourly Fees

**Date Range:** 07/01/2023 - 07/31/2023

<b>Role</b>	<b>Hours</b>	<b>Rate</b>	<b>Total</b>
Associate	2.3	\$150.00	\$345.00
Director	0.7	\$220.00	\$154.00
Managing Director	1.2	\$250.00	\$300.00
		<b>Total</b>	<b>\$799.00</b>



Case Name: CFTC/ Monex

## Time Detail

Date Range: 07/01/2023 - 07/31/2023

Date	Employee Name	Role	Task	Description	Hours
07/11/2023	Dan McElhinney	Managing Director	Claims Processing	Review creditor / investor data files; cons. team re summary table, back-check on totals, claimant addresses and next steps (.5)	0.5
07/11/2023	Kevin Wasserman	Associate	Data Formatting	Reformatting client information to include addresses.	0.4
07/11/2023	Kevin Wasserman	Associate	Creditor Correspondence	Email to receiver following-up and requesting time to schedule a call.	0.2
07/11/2023	Robert Saraceni	Director	Case Management	Follow-up TC from Z. Dumont.	0.3
<b>Subtotal 07/11/2023</b>					<b>1.4</b>
Date	Employee Name	Role	Task	Description	Hours
07/13/2023	Daniel Ramirez	Associate	Admin (Internal)	Creation of Claim Form Notice	1.0
<b>Subtotal 07/13/2023</b>					<b>1.0</b>
Date	Employee Name	Role	Task	Description	Hours
07/14/2023	Dan McElhinney	Managing Director	Claims Processing	Draft, review and revise claims process narrative; cons. team re same (.7)	0.7
07/14/2023	Kevin Wasserman	Associate	Creditor Correspondence	Correspondence with the receiver regarding Freshdesk and a sample claims narrative.	0.4
<b>Subtotal 07/14/2023</b>					<b>1.1</b>
Date	Employee Name	Role	Task	Description	Hours
07/15/2023	Kevin Wasserman	Associate	Creditor Correspondence	Resolved problem in Freshdesk and confirmed with test email.	0.2
<b>Subtotal 07/15/2023</b>					<b>0.2</b>
Date	Employee Name	Role	Task	Description	Hours
07/19/2023	Kevin Wasserman	Associate	Creditor Correspondence	Emailed receiver a copy of the draft bar notice.	0.1
<b>Subtotal 07/19/2023</b>					<b>0.1</b>
Date	Employee Name	Role	Task	Description	Hours
07/31/2023	Robert Saraceni	Director	Case Management	TC with Z. Dumont, customer, on case status	0.2

<b>Date</b>	<b>Employee Name</b>	<b>Role</b>	<b>Task</b>	<b>Description</b>	<b>Hours</b>
07/31/2023	Robert Saraceni	Director	Case Management	Email to Receiver, T. Seaman, re Z. Dumont inquiry (.1); Research and email to Receiver re total number of email inquiries (.1)	0.2
<b>Subtotal 07/31/2023</b>					<b>0.4</b>
<b>Total 07/01/2023 - 07/31/2023</b>					<b>4.2</b>



**Case Name:** CFTC/ Monex

## Summary of Hourly Fees

**Date Range:** 07/01/2023 - 07/31/2023

<b>Role</b>	<b>Hours</b>	<b>Rate</b>	<b>Total</b>
Associate	2.3	\$150.00	\$345.00
Director	0.7	\$220.00	\$154.00
Managing Director	1.2	\$250.00	\$300.00
		<b>Total</b>	<b>\$799.00</b>



Case Name: CFTC/ Monex

## Time Detail

Date Range: 07/01/2023 - 07/31/2023

Date	Employee Name	Role	Task	Description	Hours
07/11/2023	Dan McElhinney	Managing Director	Claims Processing	Review creditor / investor data files; cons. team re summary table, back-check on totals, claimant addresses and next steps (.5)	0.5
07/11/2023	Kevin Wasserman	Associate	Data Formatting	Reformatting client information to include addresses.	0.4
07/11/2023	Kevin Wasserman	Associate	Creditor Correspondence	Email to receiver following-up and requesting time to schedule a call.	0.2
07/11/2023	Robert Saraceni	Director	Case Management	Follow-up TC from Z. Dumont.	0.3
<b>Subtotal 07/11/2023</b>					<b>1.4</b>
Date	Employee Name	Role	Task	Description	Hours
07/13/2023	Daniel Ramirez	Associate	Admin (Internal)	Creation of Claim Form Notice	1.0
<b>Subtotal 07/13/2023</b>					<b>1.0</b>
Date	Employee Name	Role	Task	Description	Hours
07/14/2023	Dan McElhinney	Managing Director	Claims Processing	Draft, review and revise claims process narrative; cons. team re same (.7)	0.7
07/14/2023	Kevin Wasserman	Associate	Creditor Correspondence	Correspondence with the receiver regarding Freshdesk and a sample claims narrative.	0.4
<b>Subtotal 07/14/2023</b>					<b>1.1</b>
Date	Employee Name	Role	Task	Description	Hours
07/15/2023	Kevin Wasserman	Associate	Creditor Correspondence	Resolved problem in Freshdesk and confirmed with test email.	0.2
<b>Subtotal 07/15/2023</b>					<b>0.2</b>
Date	Employee Name	Role	Task	Description	Hours
07/19/2023	Kevin Wasserman	Associate	Creditor Correspondence	Emailed receiver a copy of the draft bar notice.	0.1
<b>Subtotal 07/19/2023</b>					<b>0.1</b>
Date	Employee Name	Role	Task	Description	Hours
07/31/2023	Robert Saraceni	Director	Case Management	TC with Z. Dumont, customer, on case status	0.2

<b>Date</b>	<b>Employee Name</b>	<b>Role</b>	<b>Task</b>	<b>Description</b>	<b>Hours</b>
07/31/2023	Robert Saraceni	Director	Case Management	Email to Receiver, T. Seaman, re Z. Dumont inquiry (.1); Research and email to Receiver re total number of email inquiries (.1)	0.2
<b>Subtotal 07/31/2023</b>					<b>0.4</b>
<b>Total 07/01/2023 - 07/31/2023</b>					<b>4.2</b>



410 Exchange, Ste 100  
Irvine, CA 92602  
855.812.6112

**Invoice:** 9237  
**Date:** 10/02/2023  
**Due Date:** 11/02/2023  
**Terms:** Net 30

**Bill To:**  
CFTC Monex

Item	Quantity	Unit Price	Amount
September 23 Invoice			
Hourly Fees			\$310.00
Client Courtesy Discount			(\$31.00)
<b>TOTAL DUE</b>			<b>\$279.00</b>

THANK YOU.

**For wire/ACH payments:**

Bank Name – Pacific Western Bank  
Bank Address – 110 West A Street,  
Suite 100, San Diego, CA 92101  
Account No – 1000681781  
ABA - 122238200  
Beneficiary - Stretto

**Remit Check Payments to:**

Stretto  
Attn: Accounts Receivable  
410 Exchange, Ste. 100  
Irvine, CA 92602



**Case Name:** CFTC/ Monex

## Summary of Hourly Fees

**Date Range:** 09/01/2023 - 09/30/2023

<b>Role</b>	<b>Hours</b>	<b>Rate</b>	<b>Total</b>
Managing Director	0.6	\$250.00	\$150.00
Senior Associate	0.8	\$200.00	\$160.00
		<b>Total</b>	<b>\$310.00</b>



Case Name: CFTC/ Monex

## Time Detail

Date Range: 09/01/2023 - 09/30/2023

Date	Employee Name	Role	Task	Description	Hours
09/06/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 09/06/2023</b>					<b>0.1</b>
09/12/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 09/12/2023</b>					<b>0.1</b>
09/25/2023	IT Staff	Senior Associate	Case Management	Claim Form Estimates	0.8
09/25/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 09/25/2023</b>					<b>0.9</b>
09/26/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 09/26/2023</b>					<b>0.1</b>
09/27/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 09/27/2023</b>					<b>0.1</b>
09/28/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 09/28/2023</b>					<b>0.1</b>
<b>Total 09/01/2023 - 09/30/2023</b>					<b>1.4</b>



410 Exchange, Ste 100  
Irvine, CA 92602  
855.812.6112

**Invoice:** 9517  
**Date:** 11/02/2023  
**Due Date:** 12/02/2023  
**Terms:** Net 30

**Bill To:**  
CFTC Monex

Item	Quantity	Unit Price	Amount
October 23 Invoice			
Hourly Fees			\$7,175.00
Client Courtesy Discount			\$(717.50)

<b>TOTAL DUE</b>	<b>\$6,457.50</b>
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THANK YOU.

<b>TOTAL ACCOUNT BALANCE DUE</b>	<b>\$14,056.90</b>
----------------------------------	--------------------

**For wire/ACH payments:**

Bank Name – Pacific Western Bank  
Bank Address – 110 West A Street,  
Suite 100, San Diego, CA 92101  
Account No – 1000681781  
ABA - 122238200  
Beneficiary - Stretto

**Remit Check Payments to:**

Stretto  
Attn: Accounts Receivable  
410 Exchange, Ste. 100  
Irvine, CA 92602



**Case Name:** CFTC/ Monex

## Summary of Hourly Fees

**Date Range:** 10/01/2023 - 10/31/2023

<b>Role</b>	<b>Hours</b>	<b>Rate</b>	<b>Total</b>
Associate	0.8	\$150.00	\$120.00
Managing Director	3.9	\$250.00	\$975.00
Senior Associate	30.4	\$200.00	\$6,080.00
		<b>Total</b>	<b>\$7,175.00</b>



Case Name: CFTC/ Monex

## Time Detail

Date Range: 10/01/2023 - 10/31/2023

Date	Employee Name	Role	Task	Description	Hours
10/02/2023	Anthony Facciano	Managing Director	Case Administration	General Case management, and communication with the team re: the same	0.2

**Subtotal 10/02/2023 0.2**

Date	Employee Name	Role	Task	Description	Hours
10/09/2023	Kevin Wasserman	Associate	Case Management	Meeting with claim portal development team.	0.3

**Subtotal 10/09/2023 0.3**

Date	Employee Name	Role	Task	Description	Hours
10/18/2023	Dan McElhinney	Managing Director	Case Administration	Cons. T. Seaman re status of claim portal and update to website (.1); cons. K. Wasserman re website update (.1)	0.2
10/18/2023	IT Staff	Senior Associate	Case Management	Claim Form	2.5
10/18/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.8

**Subtotal 10/18/2023 3.5**

Date	Employee Name	Role	Task	Description	Hours
10/19/2023	Anthony Facciano	Managing Director	Case Administration	General Case management, and communication with the team re: the same	0.2
10/19/2023	Kevin Wasserman	Associate	Case Management	Website updates	0.5

**Subtotal 10/19/2023 0.7**

Date	Employee Name	Role	Task	Description	Hours
10/20/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.8

**Subtotal 10/20/2023 0.8**

Date	Employee Name	Role	Task	Description	Hours
10/23/2023	IT Staff	Senior Associate	Case Management	Claim Form	1.8
10/23/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.8

**Subtotal 10/23/2023 2.6**

Date	Employee Name	Role	Task	Description	Hours
10/24/2023	Dan McElhinney	Managing Director	Case Administration	Prep initial email notice drafts (.4)	0.4
<b>Subtotal 10/24/2023</b>					<b>0.4</b>

Date	Employee Name	Role	Task	Description	Hours
10/26/2023	Dan McElhinney	Managing Director	Case Administration	Prep email templates notices and forward to dev. staff (.5)	0.5
10/26/2023	IT Staff	Senior Associate	Case Management	Authentication	5.3
10/26/2023	IT Staff	Senior Associate	Case Management	Investor Pin Lookup Form	1.3
10/26/2023	IT Staff	Senior Associate	Case Management	Investor Pin Lookup Template	1.0
10/26/2023	IT Staff	Senior Associate	Case Management	Submission Confirmation Template	0.8
10/26/2023	IT Staff	Senior Associate	Case Management	Submission Confirmation Template	0.3
10/26/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.3
<b>Subtotal 10/26/2023</b>					<b>9.5</b>

Date	Employee Name	Role	Task	Description	Hours
10/27/2023	Dan McElhinney	Managing Director	Case Administration	Provide comments to current version of online claim portal (.6)	0.6
10/27/2023	IT Staff	Senior Associate	Case Management	Claim Form	4.0
10/27/2023	IT Staff	Senior Associate	Case Management	Investor Pin Lookup Form	3.0
10/27/2023	IT Staff	Senior Associate	Case Management	Investor Pin Lookup Form	0.8
10/27/2023	IT Staff	Senior Associate	Case Management	QA	0.8
10/27/2023	IT Staff	Senior Associate	Case Management	Authentication - QA	0.3
10/27/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.3
<b>Subtotal 10/27/2023</b>					<b>9.8</b>

Date	Employee Name	Role	Task	Description	Hours
10/30/2023	Dan McElhinney	Managing Director	Case Administration	Review and provide comments to online claim portal (.8); cons. SRS team re same (.1)	0.9
10/30/2023	IT Staff	Senior Associate	Case Management	Schedule DataLoad	1.5
10/30/2023	IT Staff	Senior Associate	Case Management	Investor Pin Lookup Template	1.3
10/30/2023	IT Staff	Senior Associate	Case Management	Investor Pin Lookup Template	0.5
10/30/2023	IT Staff	Senior Associate	Case Management	Notice of Bar Date	0.5
10/30/2023	IT Staff	Senior Associate	Case Management	Submission Confirmation Template	0.5

Date	Employee Name	Role	Task	Description	Hours
10/30/2023	IT Staff	Senior Associate	Case Management	Submission Confirmation Template - QA	0.3
10/30/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.2
<b>Subtotal 10/30/2023</b>					<b>5.7</b>

Date	Employee Name	Role	Task	Description	Hours
10/31/2023	IT Staff	Senior Associate	Case Management	Notice of Bar Date	1.5
10/31/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 10/31/2023</b>					<b>1.6</b>
<b>Total 10/01/2023 - 10/31/2023</b>					<b>35.1</b>



410 Exchange, Ste 100  
Irvine, CA 92602  
855.812.6112

**Invoice:** 9811  
**Date:** 12/02/2023  
**Due Date:** 01/02/2024  
**Terms:** Net 30

**Bill To:**  
CFTC Monex

Item	Quantity	Unit Price	Amount
November 23 Invoice			
Hourly Fees			\$13,973.00
Client Courtesy Discount			(\$1,397.30)
<b>TOTAL DUE</b>			\$12,575.70
			THANK YOU.
<b>TOTAL ACCOUNT BALANCE DUE</b>			\$26,632.60

**For wire/ACH payments:**

Bank Name - Pacific Western Bank  
Bank Address - 110 West A Street,  
Suite 100, San Diego, CA 92101  
Account No - 1000681781  
ABA - 122238200  
Beneficiary - Stretto

**Remit Check Payments to:**

Stretto  
Attn: Accounts Receivable  
410 Exchange, Ste. 100  
Irvine, CA 92602



**Case Name:** CFTC/ Monex

## Summary of Hourly Fees

**Date Range:** 11/01/2023 - 11/30/2023

<b>Role</b>	<b>Hours</b>	<b>Rate</b>	<b>Total</b>
Associate	6.7	\$150.00	\$1,005.00
Director	6.4	\$220.00	\$1,408.00
Managing Director	14.4	\$250.00	\$3,600.00
Senior Associate	39.8	\$200.00	\$7,960.00
		<b>Total</b>	<b>\$13,973.00</b>



Case Name: CFTC/ Monex

## Time Detail

Date Range: 11/01/2023 - 11/30/2023

Date	Employee Name	Role	Task	Description	Hours
11/01/2023	Anthony Facciano	Managing Director	Case Management	General Case management, and communication with the team re: the same	0.2
<b>Subtotal 11/01/2023</b>					<b>0.2</b>
Date	Employee Name	Role	Task	Description	Hours
11/02/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.8
11/02/2023	IT Staff	Senior Associate	Case Management	Claim Form	1.0
11/02/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 11/02/2023</b>					<b>1.9</b>
Date	Employee Name	Role	Task	Description	Hours
11/03/2023	Dan McElhinney	Managing Director	Case Administration	Prep for and attend demo of on-line claim portal with T. Seaman and A. Juroe (.8); prep disclaimer language; send same to T. Seaman (.2); prep and send comments re on-line claim portal to dev. team for updates (.2)	1.4
11/03/2023	IT Staff	Senior Associate	Case Management	Claim Form Revision 11-3-2023	3.0
11/03/2023	Kevin Wasserman	Associate	Case Administration	Call with receiver to discuss online claim portal.	0.6
11/03/2023	Robert Saraceni	Director	Case Administration	Attend claims portal demonstration with Receiver	0.6
11/03/2023	Robert Saraceni	Director	Case Administration	Review and comment on draft claims portal.	0.3
11/03/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.2
<b>Subtotal 11/03/2023</b>					<b>6.1</b>
Date	Employee Name	Role	Task	Description	Hours
11/06/2023	Dan McElhinney	Managing Director	Case Administration	Review Investor portal and provide comments to dev. team (.6);	0.6
11/06/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.3
11/06/2023	IT Staff	Senior Associate	Case Management	Claim Form Revision 11/3/2023 - QA	1.5
11/06/2023	IT Staff	Senior Associate	Case Management	Claim Form Revision 11/3/2023	2.0

Date	Employee Name	Role	Task	Description	Hours
11/06/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.2
<b>Subtotal 11/06/2023</b>					<b>4.6</b>

Date	Employee Name	Role	Task	Description	Hours
11/07/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.5
11/07/2023	IT Staff	Senior Associate	Case Management	Claim Form Revision 11/3/2023	0.5
11/07/2023	IT Staff	Senior Associate	Case Management	Claim Form Revision 11/3/2023 - QA	1.0
11/07/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 11/07/2023</b>					<b>2.1</b>

Date	Employee Name	Role	Task	Description	Hours
11/08/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.3
11/08/2023	IT Staff	Senior Associate	Case Management	Claim Form Revision 11/3/2023 - QA	0.8
11/08/2023	Robert Saraceni	Director	Case Administration	Review and edit final data for import and provide to K. Wasserman to be imported.	2.6
11/08/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.2
<b>Subtotal 11/08/2023</b>					<b>3.9</b>

Date	Employee Name	Role	Task	Description	Hours
11/09/2023	Dan McElhinney	Managing Director	Case Administration	Review online claim portal and cons. with dev. team re eta on completion (.3); email T. Seaman re timeline and proposed website update (.2); email dev. team re same and related issues (.1).	0.6
11/09/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.5
11/09/2023	IT Staff	Senior Associate	Case Management	Schedule DataLoad	1.5
11/09/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.2
<b>Subtotal 11/09/2023</b>					<b>2.8</b>

Date	Employee Name	Role	Task	Description	Hours
11/13/2023	Anthony Facciano	Managing Director	Case Management	General Case management, and communication with the team re: the same	0.2
11/13/2023	Dan McElhinney	Managing Director	Case Administration	Draft, review and revise form of emails for email notice campaign (.8); cons. dev team re same (.1)	0.9
11/13/2023	IT Staff	Senior Associate	Case Management	Notice of Bar Date	1.5
11/13/2023	Kevin Wasserman	Associate	Case Administration	Preparation of releasing claim portal.	0.8
11/13/2023	Robert Saraceni	Director	Case Management	Review form of email notice as requested and update of Bar Date, review and supply latest POC and Notice	0.5

Date	Employee Name	Role	Task	Description	Hours
11/13/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.2
<b>Subtotal 11/13/2023</b>					<b>4.1</b>

Date	Employee Name	Role	Task	Description	Hours
11/14/2023	Dan McElhinney	Managing Director	Case Administration	Update POC form for merge; cons Stretto team re same (.3)	0.3
11/14/2023	Daniel Ramirez	Associate	Case Administration	Correspondence with Production team regarding the upcoming mailing and procedures	0.5
11/14/2023	Kevin Wasserman	Associate	Case Administration	Editing merge files. Set up call to demo claims portal.	1.2
11/14/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 11/14/2023</b>					<b>2.1</b>

Date	Employee Name	Role	Task	Description	Hours
11/15/2023	Dan McElhinney	Managing Director	Case Administration	Prep for and attend demo of updated onlince claim portal for client (1.1); follow-up emails with client re same (.1); cons. Stretto and dev. team re updates to portal form (.3); review updates (.3)	1.8
11/15/2023	Daniel Ramirez	Associate	Case Administration	Walkthrough call with T. Seaman and A. Juroe re updating POC form and Notice with new language	0.6
11/15/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.5
11/15/2023	Robert Saraceni	Director	Case Administration	Review Monex final draft version of claim form and review and update final draft version of mailing notice and website notice (.9); corr. to team re same (.1)	1.0
11/15/2023	Robert Saraceni	Director	Case Administration	Prep for and attend call with Receiver to demo current iteration of claims portal.	0.6
11/15/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.2
<b>Subtotal 11/15/2023</b>					<b>4.7</b>

Date	Employee Name	Role	Task	Description	Hours
11/17/2023	IT Staff	Senior Associate	Case Management	Claim Form updates - QA	0.5
11/17/2023	IT Staff	Senior Associate	Case Management	Claim Form	1.0
11/17/2023	Kevin Wasserman	Associate	Case Administration	Coordination and compliance activities, including preparation of reports to the court, investor inquiries, etc.	1.4
11/17/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 11/17/2023</b>					<b>3.0</b>

Date	Employee Name	Role	Task	Description	Hours
11/20/2023	IT Staff	Senior Associate	Case Management	Claim Form - QA - Checking changes and helping Roberto to find a best way to incorporate it	0.8
11/20/2023	IT Staff	Senior Associate	Case Management	Claim Form	2.0

Date	Employee Name	Role	Task	Description	Hours
11/20/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 11/20/2023</b>					<b>2.9</b>

Date	Employee Name	Role	Task	Description	Hours
11/22/2023	Dan McElhinney	Managing Director	Case Administration	Review online claim portal and provide comments to dev team (.8);	0.8
11/22/2023	IT Staff	Senior Associate	Case Management	Claim Form	2.0
11/22/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 11/22/2023</b>					<b>2.9</b>

Date	Employee Name	Role	Task	Description	Hours
11/27/2023	Anthony Facciano	Managing Director	Case Management	General Case management, and communication with the team re: the same	0.2
11/27/2023	Dan McElhinney	Managing Director	Case Administration	Review and provide comments to updated online claim portal (.7)	0.7
11/27/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.5
11/27/2023	IT Staff	Senior Associate	Case Management	Form updates 11/27	0.5
11/27/2023	IT Staff	Senior Associate	Case Management	Claim Form	1.5
11/27/2023	IT Staff	Senior Associate	Case Management	Notice of Bar Date	5.8
11/27/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.3
<b>Subtotal 11/27/2023</b>					<b>9.5</b>

Date	Employee Name	Role	Task	Description	Hours
11/28/2023	Dan McElhinney	Managing Director	Case Administration	Review portal updates and provide comments to dev. team (.4); email T. Seaman re status of portal (.2)	0.6
11/28/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.3
<b>Subtotal 11/28/2023</b>					<b>0.9</b>

Date	Employee Name	Role	Task	Description	Hours
11/29/2023	Dan McElhinney	Managing Director	Case Administration	Prep, review and revised POC and notice forms; prep and provide updated portal screenshots; review updated portal; email T. Seaman re same (1.5); cons. Stretto team re same (.4)	1.9
11/29/2023	Daniel Ramirez	Associate	Case Administration	Coordinate upcoming service with Production re: Notice and Proof of Claim	0.3
11/29/2023	IT Staff	Senior Associate	Case Management	Schedule DataLoad	0.8
11/29/2023	IT Staff	Senior Associate	Case Management	Claim Form	1.0
11/29/2023	IT Staff	Senior Associate	Case Management	Schedule DataLoad	1.3

<b>Date</b>	<b>Employee Name</b>	<b>Role</b>	<b>Task</b>	<b>Description</b>	<b>Hours</b>
11/29/2023	IT Staff	Senior Associate	Case Management	Notice of Bar Date	2.0
11/29/2023	IT Staff	Senior Associate	Case Management	Schedule DataLoad	2.0
11/29/2023	Kevin Wasserman	Associate	Case Administration	Notice & POC editing	1.3
11/29/2023	Robert Saraceni	Director	Case Administration	Review and finalize Notice and POC form and advise team.	0.3
11/29/2023	Robert Saraceni	Director	Noticing	TC with Production to discuss POC and Notice mailing.	0.1
11/29/2023	Robert Saraceni	Director	Noticing	Review an produce final notice and POC, draft corr. to team re outline of mailing.	0.4
11/29/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.4
<b>Subtotal 11/29/2023</b>					<b>11.8</b>
<b>Date</b>	<b>Employee Name</b>	<b>Role</b>	<b>Task</b>	<b>Description</b>	<b>Hours</b>
11/30/2023	Dan McElhinney	Managing Director	Case Administration	Emails to/from T. Seaman re bar date notice and related issues; review and revise notice per same ; cons. Stretto team re same and related issues(1.5)	1.5
11/30/2023	IT Staff	Senior Associate	Case Management	Schedule DataLoad	0.8
11/30/2023	IT Staff	Senior Associate	Case Management	Update Box Folder ID	1.3
11/30/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.2
<b>Subtotal 11/30/2023</b>					<b>3.8</b>
<b>Total 11/01/2023 - 11/30/2023</b>					<b>67.3</b>



410 Exchange, Ste 100  
Irvine, CA 92602  
855.812.6112

**Invoice:** 10089  
**Date:** 01/02/2024  
**Due Date:** 02/01/2024  
**Terms:** Net 30

**Bill To:**  
CFTC Monex

Item	Quantity	Unit Price	Amount
December 23 Invoice			
Hourly Fees			\$62,932.00
Client Courtesy Discount			\$(6,293.20)
Printing	72,198	\$0.10	\$7,219.80
Postage			\$6,871.92
Envelopes and Packaging – See Noticing Summary for details			\$1,547.10

**TOTAL DUE** \$72,277.62

THANK YOU.

**TOTAL ACCOUNT BALANCE DUE** \$98,910.22

**For wire/ACH payments:**

Bank Name – Pacific Western Bank  
Bank Address – 110 West A Street,  
Suite 100, San Diego, CA 92101  
Account No – 1000681781  
ABA - 122238200  
Beneficiary - Stretto

**Remit Check Payments to:**

Stretto  
Attn: Accounts Receivable  
410 Exchange, Ste. 100  
Irvine, CA 92602



**Case Name:** CFTC/ Monex

## Summary of Hourly Fees

**Date Range:** 12/01/2023 - 12/31/2023

<b>Role</b>	<b>Hours</b>	<b>Rate</b>	<b>Total</b>
Associate I	5.0	\$70.00	\$350.00
Associate III	141.0	\$150.00	\$21,150.00
Director I	2.4	\$210.00	\$504.00
Director II	56.5	\$220.00	\$12,430.00
Managing Director	52.6	\$250.00	\$13,150.00
Senior Associate I	1.8	\$160.00	\$288.00
Senior Associate III	75.3	\$200.00	\$15,060.00
		<b>Total</b>	<b>\$62,932.00</b>



Case Name: CFTC/ Monex

## Time Detail

Date Range: 12/01/2023 - 12/31/2023

Date	Employee Name	Role	Task	Description	Hours
12/01/2023	Dan McElhinney	Managing Director	Case Administration	Cons. T. Seaman re SEO and other matters re claims process (.2); prep website update (.2); cons. TL re steps to improve SEO nad send follow up to T. Seaman re same(.2); UAT review of on-line claim form in dev environment and report bugs to TL (2.4); cons. TL re updates to same and follow-up testing (1.1)	4.1
12/01/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.3
12/01/2023	IT Staff	Senior Associate	Case Management	Claim Form	1.0
12/01/2023	IT Staff	Senior Associate	Case Management	Reviewing Changes	1.0
12/01/2023	IT Staff	Senior Associate	Case Management	Form Updates 12/1	3.5
12/01/2023	Robert Saraceni	Director	Case Administration	QA System Data and internal corr. re issues four	1.6
12/01/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.4
<b>Subtotal 12/01/2023</b>					<b>11.9</b>

Date	Employee Name	Role	Task	Description	Hours
12/02/2023	Dan McElhinney	Managing Director	Case Administration	Additional UAT and follow-up with TL re updates to form (2.5)	2.5
12/02/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.1
<b>Subtotal 12/02/2023</b>					<b>2.6</b>

Date	Employee Name	Role	Task	Description	Hours
12/03/2023	Dan McElhinney	Managing Director	Case Administration	Prep and send final claim docs to B. Saraceni for use in merge (1.5); cons. Team re merge and mailing; email K. Wasserman re update to website (.6)	2.1
12/03/2023	Robert Saraceni	Director	Case Administration	Review corr. from D. McElhinney re final form of Notice and POC, make final edits and provide comments.	0.9
12/03/2023	Robert Saraceni	Director	Case Administration	Update POC and Notice and post final versions to Box and shared drives	0.2
12/03/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.2
<b>Subtotal 12/03/2023</b>					<b>3.4</b>

Date	Employee Name	Role	Task	Description	Hours
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Date	Employee Name	Role	Task	Description	Hours
12/04/2023	Alberto Chachagua	Associate	Noticing	Generate custom merge for MONEX RESTITUTION FUND – NOTICE AND CLAIM MAILING 12_04_2023 including mail data merging and printing	3.0
12/04/2023	Dan McElhinney	Managing Director	Case Administration	Final UAT review and cons. with TL re updates to online claim portal before launch of production links; prep and post links to website; cons. TL re launch of email campaign; cons. Stretto team re launch of hard-copy noticing campaign; update client re same (8.5)	8.5
12/04/2023	Daniel Ramirez	Associate	Case Administration	Coordinate upcoming service with Production re: Notice and Proof of Claim	0.5
12/04/2023	IT Staff	Senior Associate	Case Management	Remove Cases" link from header"	0.3
12/04/2023	IT Staff	Senior Associate	Case Management	Add Default Text When Email Missing	0.5
12/04/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.5
12/04/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.8
12/04/2023	IT Staff	Senior Associate	Case Management	Schedule Data Load - Missing Leading Zero in Zip Codes	1.8
12/04/2023	IT Staff	Senior Associate	Case Management	Notice of Bar Date	2.3
12/04/2023	IT Staff	Senior Associate	Case Management	Project Management	4.0
12/04/2023	Kevin Wasserman	Associate	Case Administration	Preparation of noticing and mailing. Afternoon mailing & noticing. Website Update.	9.6
12/04/2023	Robert Saraceni	Director	Case Administration	TC with Monex team to discuss status of portal, mailing files and other pending issues.	0.5
12/04/2023	Robert Saraceni	Director	Case Administration	TC with Monex team regarding case status and pending mail and email campaign	0.8
12/04/2023	Robert Saraceni	Director	Case Administration	TC with team to discuss final mailing file.	0.3
12/04/2023	Robert Saraceni	Director	Case Administration	Prepare final mailing file and post.	0.8
12/04/2023	Robert Saraceni	Director	Case Administration	Attend to review and response to corr. and case management	0.6
12/04/2023	Robert Saraceni	Director	Case Administration	Final preparation of documents, review sample merge file for hard copy mailing and review mailing request.	1.2
12/04/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.7
<b>Subtotal 12/04/2023</b>					<b>36.7</b>

Date	Employee Name	Role	Task	Description	Hours
12/05/2023	Aimee Marshall	Associate	Noticing	Generate service of MONEX RESTITUTION FUND – NOTICE AND CLAIM MAILING 12_04_2023 mailing including printing and fulfillment	0.1
12/05/2023	Alberto Chachagua	Associate	Noticing	Generate service of MONEX RESTITUTION FUND – NOTICE AND CLAIM MAILING 12_04_2023 mailing including printing and fulfillment	3.0
12/05/2023	Antonio Rubio	Associate	Noticing	Generate service of MONEX RESTITUTION FUND – NOTICE AND CLAIM MAILING 12_04_2023 mailing including printing and fulfillment	2.7
12/05/2023	Dan McElhinney	Managing Director	Case Administration	Follow-up to TL to address additional UAT issues (1.3); follow up re investor inquiries (.5); follow-up with Stretto team re claim process issues (.6)	2.4

Date	Employee Name	Role	Task	Description	Hours
12/05/2023	Daniel Ramirez	Associate	Admin (Internal)	Internal call re service, data intake, reporting for Monex	1.0
12/05/2023	David Bribiesca	Associate	Noticing	Generate service of MONEX RESTITUTION FUND – NOTICE AND CLAIM MAILING 12_04_2023 mailing including printing and fulfillment	3.0
12/05/2023	IT Staff	Senior Associate	Case Management	PDF Structure Change	0.5
12/05/2023	IT Staff	Senior Associate	Case Management	Create Cello Report	0.8
12/05/2023	IT Staff	Senior Associate	Case Management	Project Management	0.8
12/05/2023	IT Staff	Senior Associate	Case Management	IP Blocked - Resend	1.3
12/05/2023	IT Staff	Senior Associate	Case Management	Notice of Bar Date	1.5
12/05/2023	IT Staff	Senior Associate	Case Management	PDF Structure Change	1.8
12/05/2023	IT Staff	Senior Associate	Case Management	Notice of Bar Date	2.5
12/05/2023	Jessie De Guzman	Senior Associate	Creditor Correspondence	Respond to inquiries via phone re: Notice received and other case details	0.4
12/05/2023	Jose Cruz	Associate	Noticing	Generate service of MONEX RESTITUTION FUND – NOTICE AND CLAIM MAILING 12_04_2023 mailing including printing and fulfillment	0.2
12/05/2023	Kevin Wasserman	Associate	Case Administration	Email correspondence with investors.	6.2
12/05/2023	Melissa Membrino	Director	Noticing	Coordinate service of MONEX RESTITUTION FUND – NOTICE AND CLAIM MAILING 12_04_2023 mailing including printing and fulfillment	2.4
12/05/2023	Ricky Quang	Associate	Noticing	Generate service of MONEX RESTITUTION FUND – NOTICE AND CLAIM MAILING 12_04_2023 mailing including printing and fulfillment	2.0
12/05/2023	Robert Saraceni	Director	Noticing	Perform final QC of mailing files against original master file prior to approval of mailing.	1.4
12/05/2023	Robert Saraceni	Director	Case Administration	Prepare status tracker, review inquiries.	0.8
12/05/2023	Robert Saraceni	Director	Case Administration	Attend to review and response to inquiries and draft corr. for responding to requests.	1.4
12/05/2023	Sheryl Betance	Managing Director	Noticing	Facilitate service of MONEX RESTITUTION FUND – NOTICE AND CLAIM MAILING 12_04_2023 mailing	0.9
12/05/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.7
<b>Subtotal 12/05/2023</b>					<b>37.8</b>

Date	Employee Name	Role	Task	Description	Hours
12/06/2023	Dan McElhinney	Managing Director	Case Administration	Further cons. with TL re output formatting and Cello report format (.5); cons. A. Juroe re mail@monexrestitutionfund.com; work with Stretto IT to secure email set up (.6); prep and sent claim report to T. Seaman and A. Juroe (1.7); cons. A. Juroe re investor communications; cons. Stretto Team re same (.3); cons. T. Seaman and A. Juroe re claims database issues; prep email re same; follow-on discussions re same (1.5)	4.6
12/06/2023	IT Staff	Senior Associate	Case Management	New Account Number	0.5

Date	Employee Name	Role	Task	Description	Hours
12/06/2023	IT Staff	Senior Associate	Case Management	Claim form version with required fields removed	0.8
12/06/2023	IT Staff	Senior Associate	Case Management	Create Cello Report	1.3
12/06/2023	IT Staff	Senior Associate	Case Management	Form Updates 12/6	2.5
12/06/2023	IT Staff	Senior Associate	Case Management	Project Management	3.0
12/06/2023	Jessie De Guzman	Senior Associate	Creditor Correspondence	Respond to inquiries via phone re: General case information	0.3
12/06/2023	Kevin Wasserman	Associate	Case Administration	Email correspondence with investors.	4.3
12/06/2023	Morgan Wisbey	Director	Case Management	Communication with Stretto team re: data management platforms	0.5
12/06/2023	Robert Saraceni	Director	Case Administration	Corr. review (.1); update correspondence tracker for requests for website updates (.2)	0.3
12/06/2023	Robert Saraceni	Director	Claims Administration and Objections	TC with S. Benmocha to confirm that he was able to successfully submit his claim and follow-up email to confirm same and to provide email address where he could request email updates.	0.2
12/06/2023	Robert Saraceni	Director	Case Administration	Review and respond to voicemails and emails re Monex status	2.1
12/06/2023	Robert Saraceni	Director	Case Administration	TC with Monitor to discuss migration of data to different platform and delegation of responsibilities	0.5
12/06/2023	Robert Saraceni	Director	Case Administration	TC with D. McElhinney and A. Facciano to discuss solution to data migration issue	0.3
12/06/2023	Robert Saraceni	Director	Case Administration	Attend to development and ewdit of status tracker and respond to various inquiries	3.4
12/06/2023	Robert Saraceni	Director	Case Administration	TC with Investor, J. Nungaray, re questions on tax implications. Advised him to consult his tax accountant.	0.2
12/06/2023	Robert Saraceni	Director	Case Administration	TC with Investor, J. Nungaray, to review his credentials and Investment Loss	0.4
12/06/2023	Robert Saraceni	Director	Case Administration	TC with Investor, I. Lyissy, re potential claim and provide credentials.	0.2
12/06/2023	Robert Saraceni	Director	Case Administration	TC with Investor, S. Benmocha re website updates.	0.1
12/06/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.6
12/06/2023	Stephen Cady	Director	Distributions	Communication with Stretto team re: data management platforms	0.4
<b>Subtotal 12/06/2023</b>					<b>26.5</b>

Date	Employee Name	Role	Task	Description	Hours
12/07/2023	Dan McElhinney	Managing Director	Case Administration	Cons. T. Seaman and A. Juroe re photo ID issues; cons. Stretto Team and TL re same (.8)	0.8
12/07/2023	Daniel Ramirez	Associate	Case Administration	Email correspondence and phone correspondence for Monex Inquiries	1.9
12/07/2023	Daniel Ramirez	Associate	Case Administration	Email correspondence and phone correspondence for Monex Inquiries	2.7
12/07/2023	Daniel Ramirez	Associate	Admin (Internal)	Monex call regarding tracking email correspondences and reporting	1.2
12/07/2023	Jessie De Guzman	Senior Associate	Creditor Correspondence	Respond to inquiries via phone re: General case information	0.2

Date	Employee Name	Role	Task	Description	Hours
12/07/2023	Kevin Wasserman	Associate	Case Administration	Email correspondence with investors.	5.1
12/07/2023	Morgan Wisbey	Director	Case Management	Communication with Stretto team re: claims and banking management platforms	0.7
12/07/2023	Robert Saraceni	Director	Case Administration	Review and update status tracker	2.1
12/07/2023	Robert Saraceni	Director	Case Administration	Attend to email review and Investor communications and response (5.5); TC with team to discuss data transfer to Monitor (.5)	6.0
12/07/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.6
12/07/2023	Stephen Cady	Director	Distributions	Communication with Stretto team re: data management platforms	0.1
<b>Subtotal 12/07/2023</b>					<b>21.4</b>

Date	Employee Name	Role	Task	Description	Hours
12/08/2023	Dan McElhinney	Managing Director	Case Administration	Prep draft email with claim metrics; cons. B. Saraceni re same (.3); cons. TL re Cello reporting features (.2)	0.5
12/08/2023	Daniel Ramirez	Associate	Case Administration	Internal call regarding Monex email correspondences and reporting	0.9
12/08/2023	IT Staff	Senior Associate	Case Management	Claim form version with required fields removed	0.5
12/08/2023	IT Staff	Senior Associate	Case Management	Project Management	1.0
12/08/2023	IT Staff	Senior Associate	Case Management	Address Updates	1.3
12/08/2023	IT Staff	Senior Associate	Case Management	Claim form version with required fields removed	1.5
12/08/2023	Jessie De Guzman	Senior Associate	Creditor Correspondence	Respond to inquiries via phone re: General case information	0.2
12/08/2023	Kevin Wasserman	Associate	Case Administration	Answering investor questions regarding the claim portal / various internal meetings regarding fielding questions.	5.3
12/08/2023	Robert Saraceni	Director	Case Administration	Download mail merge files of all custom mailing documents for Investor research and create master file.	0.4
12/08/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.4
<b>Subtotal 12/08/2023</b>					<b>12.0</b>

Date	Employee Name	Role	Task	Description	Hours
12/11/2023	Dan McElhinney	Managing Director	Claims Administration and Objections	Review online claim form for data entry (.5); follow up questions for K. Navarette and others at TL (.3); prep for and attend calls with A Facciano, S. Cady, F. Brown and M. Wisbey re use of Trust Works (1.0); cons. B. Saraceni and RS team re same (.5); respond to various inquiries from investors (.8); cons. Stretto team re same (.3)	3.4
12/11/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	0.9
12/11/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	1.6
12/11/2023	IT Staff	Senior Associate	Case Management	Claim form version with required fields removed	1.0
12/11/2023	IT Staff	Senior Associate	Case Management	Mobile document upload issue	1.0

Date	Employee Name	Role	Task	Description	Hours
12/11/2023	IT Staff	Senior Associate	Case Management	Claim form version with required fields removed	3.0
12/11/2023	Jessie De Guzman	Senior Associate	Creditor Correspondence	Respond to inquiries via phone re: General case information	0.3
12/11/2023	Kevin Wasserman	Associate	Case Administration	Email correspondence with investors.	6.8
12/11/2023	Naomi Rodriguez	Associate	Noticing	Administrative review of mailing details	0.1
12/11/2023	Robert Saraceni	Director	Case Administration	Attend to address update for G Liess	0.1
12/11/2023	Robert Saraceni	Director	Case Administration	Attend to review of inquiries and response and update of correspondence tracker	2.3
12/11/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.6
12/11/2023	Stephen Cady	Director	Distributions	Communication with Stretto team re: data management platforms	0.4
<b>Subtotal 12/11/2023</b>					<b>21.5</b>

Date	Employee Name	Role	Task	Description	Hours
12/12/2023	Dan McElhinney	Managing Director	Case Administration	Prep for and attend call with TL re Monex open issues (.7); cons. Stretto team re same (.2); follow up emails to TL re same (.3); review draft claims status report and cons. K. Wasserman re same (.2); prep revised Monex work flow (including use of Trustworks) (1.5); prep and forward same to T. Seaman and Alison Juroe (.2)	3.1
12/12/2023	Daniel Ramirez	Associate	Admin (Internal)	Internal call regarding reporting and action items for Monex	0.5
12/12/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	1.8
12/12/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	1.3
12/12/2023	IT Staff	Senior Associate	Case Management	Mobile document upload issue	0.3
12/12/2023	IT Staff	Senior Associate	Case Management	Claim form version with required fields removed	2.0
12/12/2023	IT Staff	Senior Associate	Case Management	Project Management	3.0
12/12/2023	Kevin Wasserman	Associate	Case Administration	Email / Voicemail correspondence with investors.	6.2
12/12/2023	Robert Saraceni	Director	Case Management	Attend data transition call with Stretto team and Monitor (Cello to TrustWorks)	0.5
12/12/2023	Robert Saraceni	Director	Case Administration	TC with technology group and team to discuss transfer of data to TrustWorks software as requested by Monitor including discussions on timeline, data, and transition plan.	1.1
12/12/2023	Robert Saraceni	Director	Case Administration	Review select responses and forward to Monitor for review, review and file additional requests / responses.	0.4
12/12/2023	Robert Saraceni	Director	Case Administration	Review all incoming emails and confirm appearance on tracker.	1.0
12/12/2023	Robert Saraceni	Director	Case Administration	Attend to review and response to inquiries and address updates	2.6

Date	Employee Name	Role	Task	Description	Hours
12/12/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.6
<b>Subtotal 12/12/2023</b>					<b>24.4</b>

Date	Employee Name	Role	Task	Description	Hours
12/13/2023	Dan McElhinney	Managing Director	Case Administration	Review online claim form for data entry (.8); cons. TL re same (.4); review incoming queries and prep draft email responses to main questions (.6); cons. team re same (.3); review and revise undeliverable mail report; cons. Stretto team re same (.4)	2.5
12/13/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	0.9
12/13/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	1.5
12/13/2023	IT Staff	Senior Associate	Case Management	Prep Cello Report for Trust Works	0.5
12/13/2023	IT Staff	Senior Associate	Case Management	Project Management	2.0
12/13/2023	Jessie De Guzman	Senior Associate	Creditor Correspondence	Respond to inquiries via phone re: General case information	0.3
12/13/2023	Kevin Wasserman	Associate	Case Management	Email / Voicemail correspondence with investors.	6.6
12/13/2023	Robert Saraceni	Director	Case Administration	Review tracker and triage all open requests, review and respond to	5.2
12/13/2023	Robert Saraceni	Director	Case Administration	Complete initial review and triage of tracker and complete assignment of all responses.	3.2
12/13/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.6
<b>Subtotal 12/13/2023</b>					<b>23.3</b>

Date	Employee Name	Role	Task	Description	Hours
12/14/2023	Dan McElhinney	Managing Director	Case Administration	Prep data matching for data export file (2.0)	2.0
12/14/2023	Dan McElhinney	Managing Director	Case Administration	Respond to various queries re claims process (.8); cons. Stretto team re same (.3)	1.1
12/14/2023	Dan McElhinney	Managing Director	Case Administration	Prep and send current claims list to A. Juroe; cons. Stretto team re same (.5); cons. team re claims report and email edits (.3)	0.8
12/14/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	1.6
12/14/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	2.2
12/14/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	0.6
12/14/2023	Jessie De Guzman	Senior Associate	Creditor Correspondence	Respond to inquiries via phone re: General case information	0.1
12/14/2023	Kevin Wasserman	Associate	Case Administration	Email / Voicemail correspondence with investors. -- Claim report preparation	6.2
12/14/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.4
<b>Subtotal 12/14/2023</b>					<b>15.0</b>

Date	Employee Name	Role	Task	Description	Hours
12/15/2023	Dan McElhinney	Managing Director	Case Administration	Email to/from B. Benard and others at ThinkLogic re open items list (.4)	0.4
12/15/2023	IT Staff	Senior Associate	Case Management	Reset PIN	1.8
12/15/2023	IT Staff	Senior Associate	Case Management	Trustworks Data from Cello	2.5
12/15/2023	Kevin Wasserman	Associate	Case Administration	Email / Voicemail correspondence with investors.	5.5
12/15/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.4
<b>Subtotal 12/15/2023</b>					<b>10.6</b>

Date	Employee Name	Role	Task	Description	Hours
12/18/2023	Dan McElhinney	Managing Director	Claims Administration and Objections	Review online claim portal to be used for data entry (.5); prep reference file (.3); prep email with instructions re same (.3)	1.1
12/18/2023	Dan McElhinney	Managing Director	Case Administration	Cons. ThinkLogic re data mapping for data export report (.2)	0.2
12/18/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	2.1
12/18/2023	IT Staff	Senior Associate	Case Management	Trustworks Data from Cello	1.0
12/18/2023	IT Staff	Senior Associate	Case Management	Trustworks Export Report	1.5
12/18/2023	Kevin Wasserman	Associate	Case Administration	Email / Voicemail correspondence with investors.	4.6
12/18/2023	Robert Saraceni	Director	Case Administration	Review and update tracker, respond to inquiries	0.7
12/18/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.4
<b>Subtotal 12/18/2023</b>					<b>11.6</b>

Date	Employee Name	Role	Task	Description	Hours
12/19/2023	Dan McElhinney	Managing Director	Claims Administration and Objections	Review claim form and export report to create data mapping document (1.1); prep and send email re same to ThinkLogic team to review (.2)	1.3
12/19/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	1.2
12/19/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	1.9
12/19/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	2.4
12/19/2023	IT Staff	Senior Associate	Case Management	Trustworks/Cello Script	2.0
12/19/2023	IT Staff	Senior Associate	Case Management	Trustworks/Cello Script	2.0
12/19/2023	Kevin Wasserman	Associate	Case Administration	Email / Voicemail correspondence with investors.	4.6
12/19/2023	Robert Saraceni	Director	Case Administration	Review and respond to emails, update tracker and request address updates.	0.9

Date	Employee Name	Role	Task	Description	Hours
12/19/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.5
<b>Subtotal 12/19/2023</b>					<b>16.8</b>

Date	Employee Name	Role	Task	Description	Hours
12/20/2023	IT Staff	Senior Associate	Case Management	Setup PDF on submission	2.0
12/20/2023	Kevin Wasserman	Associate	Case Administration	Email / Voicemail correspondence with investors.	4.2
12/20/2023	Robert Saraceni	Director	Case Administration	Review and respond to emails, update tracker and request address updates.	1.0
12/20/2023	Robert Saraceni	Director	Case Administration	Review and respond to emails, update tracker and request address updates.	0.5
12/20/2023	Robert Saraceni	Director	Case Administration	Review and respond to emails, update tracker, prep remails and to post office to remail	2.6
12/20/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.4
<b>Subtotal 12/20/2023</b>					<b>10.7</b>

Date	Employee Name	Role	Task	Description	Hours
12/21/2023	Dan McElhinney	Managing Director	Claims Administration and Objections	Cons. B. Benard and F. Navarette re data export (.1); review export report and claim form; update matching (.5)	0.6
12/21/2023	Dan McElhinney	Managing Director	Claims Administration and Objections	Review email bounceback report; review and revise draft email to client re same (.3)	0.3
12/21/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	1.9
12/21/2023	IT Staff	Senior Associate	Case Management	Project Management	1.0
12/21/2023	IT Staff	Senior Associate	Case Management	Setup PDF on submission	1.0
12/21/2023	IT Staff	Senior Associate	Case Management	Trustworks/Cello add pdfs	1.0
12/21/2023	IT Staff	Senior Associate	Case Management	Trustworks/Cello data descriptions	4.8
12/21/2023	Kevin Wasserman	Associate	Case Administration	Email / Voicemail correspondence with investors.	5.0
12/21/2023	Robert Saraceni	Director	Case Administration	Review and respond to email inquiries from S. Parisella, K. Totah, S. Ormbrek, T. Mattie, G. Kovac	0.9
12/21/2023	Robert Saraceni	Director	Case Administration	Review additional email correspondence and update tracker	1.7
12/21/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.5
<b>Subtotal 12/21/2023</b>					<b>18.7</b>

Date	Employee Name	Role	Task	Description	Hours
12/22/2023	IT Staff	Senior Associate	Case Management	Address updates 12/22/23	0.3
12/22/2023	IT Staff	Senior Associate	Case Management	Add Custom field in Cello	3.5

Date	Employee Name	Role	Task	Description	Hours
12/22/2023	Robert Saraceni	Director	Case Administration	Review and respond to inquiries, revise Bernard notice and POC and forward, corr. with C. Grover, process address updates	1.3
12/22/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.2
<b>Subtotal 12/22/2023</b>					<b>5.3</b>

Date	Employee Name	Role	Task	Description	Hours
12/26/2023	Dan McElhinney	Managing Director	Case Administration	Respond to T. Seaman query re document ID upload (.1); cons. R. Recinos re increasing size limits for document ID upload (.1)	0.2
12/26/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	2.5
12/26/2023	IT Staff	Senior Associate	Case Management	Claim Form	0.5
12/26/2023	Robert Saraceni	Director	Case Administration	Review and respond to inquiries.	0.9
12/26/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.2
<b>Subtotal 12/26/2023</b>					<b>4.3</b>

Date	Employee Name	Role	Task	Description	Hours
12/27/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	1.4
12/27/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	1.8
12/27/2023	Kevin Wasserman	Associate	Case Administration	Email / Voicemail correspondence with investors.	5.6
12/27/2023	Robert Saraceni	Director	Case Administration	Review and respond to inquiries	0.8
12/27/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.3
<b>Subtotal 12/27/2023</b>					<b>9.9</b>

Date	Employee Name	Role	Task	Description	Hours
12/28/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	2.0
12/28/2023	Kevin Wasserman	Associate	Case Administration	Email / Voicemail correspondence with investors.	3.3
12/28/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.2
<b>Subtotal 12/28/2023</b>					<b>5.5</b>

Date	Employee Name	Role	Task	Description	Hours
12/29/2023	Daniel Ramirez	Associate	Case Administration	Responding to email correspondence/voicemail via Monex Inquiries inbox	2.3
12/29/2023	Kevin Wasserman	Associate	Case Administration	Email / Voicemail correspondence with investors.	2.2

<b>Date</b>	<b>Employee Name</b>	<b>Role</b>	<b>Task</b>	<b>Description</b>	<b>Hours</b>
12/29/2023	Sheryl Betance	Managing Director	Case Management	Senior management oversight of case activity including team correspondence, filed documents and client requests; check-in with case team	0.2
<b>Subtotal 12/29/2023</b>					<b>4.7</b>
<b>Total 12/01/2023 - 12/31/2023</b>					<b>334.6</b>

# EXHIBIT C



Thomas Seaman Company  
Tom Seaman, as Receiver  
1 Park Plz Ste 580  
Irvine, CA 92614

tom@thomasseaman.com

September 5, 2023

Invoice: 931413  
Client: 210320  
Matter: 1

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## INVOICE SUMMARY

Attorney: Thomas M Melton

For professional services rendered and costs advanced

**RE: Monex Receivership**

Professional Services	\$ 1,831.50
Total Costs Advanced	<u>    \$ .00</u>
<b>TOTAL THIS INVOICE</b>	<b>\$ 1,831.50</b>

Invoice: 931413  
Thomas Seaman Company  
Monex Receivership

September 5, 2023  
Client: 210320  
Matter: 1

**PROFESSIONAL SERVICES RENDERED**

<b>Date</b>	<b>Tkpr</b>	<b>Description</b>	<b>Hours</b>	<b>Amount</b>
8/07/23	TMM	Review Notice and Claim Form	.50	247.50
8/11/23	TMM	Revise Notice and Claim Form	1.20	594.00
8/24/23	TMM	Revise Notice and Claim form; review emails re same	1.50	742.50
8/29/23	TMM	Call with Tom Seaman re claim form; revise forms	.50	247.50

**TOTAL PROFESSIONAL SERVICES \$ 1,831.50**

**SUMMARY OF PROFESSIONAL SERVICES**

<b>Name</b>	<b>Rate</b>	<b>Hours</b>	<b>Total</b>
Thomas M Melton	495.00	3.70	1,831.50
<b>TOTALS</b>		<b>3.70</b>	<b>\$ 1,831.50</b>

**TOTAL THIS INVOICE \$ 1,831.50**



September 5, 2023

Thomas Seaman Company  
Tom Seaman, as Receiver  
1 Park Plz Ste 580  
Irvine, CA 92614  
  
tom@thomasseaman.com

Invoice: 931413  
Client: 210320  
Matter: 1

**REMITTANCE ADVICE**

**RE: Monex Receivership**

**BALANCE DUE THIS INVOICE \$ 1,831.50**

Please return this advice with payment to:

Parr Brown Gee & Loveless  
P.O. Box 11019  
Salt Lake City, UT 84147

**Wire Transfer Instructions**

JP Morgan Chase Bank  
201 South Main St Ste 300  
Salt Lake City, UT 84111-2870  
Swift Code #: CHASUS33  
ABA #: 021000021  
Parr Brown Gee & Loveless  
Account #: 912454114

**E-Check**

Name of Bank: \_\_\_\_\_  
Routing #: \_\_\_\_\_  
Account #: \_\_\_\_\_  
Name on Account: \_\_\_\_\_  
Account Holder Address: \_\_\_\_\_  
Amount: \$ \_\_\_\_\_

**EFT/ACH Pay Instructions**

Routing #: 124001545  
Account #: 912454114

**\*3% fee for credit card transactions**

**Please reference your invoice # 931413**

**Online Payments:** <https://parrbrown.com/payment-portal>  
**Payments accepted by phone (801) 532-7840**  
Payable Upon Receipt

A finance charge of twelve percent (12%) per annum will accrue on any account not paid within thirty (30) days after the date of this invoice



# EXHIBIT D

**STANDARDIZED FUND ACCOUNTING REPORT for MONEX Restitution Fund - Cash Basis**  
 Thomas Seaman, Monitor case number Case No: 8:17-cv-01868-JVS-DFM Judge Selna  
 Reporting Period 04/28/2023 to 12/31/2023

<b>FUND ACCOUNTING (See instructions):</b>			
	<u>Detail</u>	<u>Subtotal</u>	<u>Grand Total</u>
<b>Line 1</b>	<b>Beginning Balance (04/28/2023):</b>	-	-
	<i>Increases in Fund Balance:</i>		
<b>Line 2</b>	<b>Business Income</b>		-
<b>Line 3</b>	<b>Cash and Securities</b>	33,000,000	33,000,000
<b>Line 4</b>	<b>Interest/Dividend Income</b>	503,628	503,628
<b>Line 5</b>	<b>Business Asset Liquidation</b>		-
<b>Line 6</b>	<b>Personal Asset Liquidation</b>		-
<b>Line 7</b>	<b>Third-Party Litigation Income</b>		-
<b>Line 8</b>	<b>Miscellaneous - Other</b>		-
	<b>Total Funds Available (Lines 1 - 8):</b>	<b>33,503,628</b>	<b>33,503,628</b>
	<i>Decreases in Fund Balance:</i>		
<b>Line 9</b>	<b>Disbursements to Investors</b>		-
<b>Line 10</b>	<b>Disbursements to Receivership Operations</b>		
	<i>Line 10a Disbursement to Receiver or Other Professionals</i>		-
	<i>Line 10b Business Asset Expenses</i>		-
	<i>Line 10c Personal Asset Expenses</i>		
	<i>Line 10d Investment Expenses</i>	-	-
	<i>Line 10e Third-Party Litigation Expenses</i>		-
	1. Attorney Fees		-
	2. Litigation Expenses	-	-
	<b>Total Third-Party Litigation Expenses</b>	-	-
	<i>Line 10f Tax Administrator Fees and Bonds</i>	-	-
	<i>Line 10g Federal and State Tax Payments</i>		-
	<b>Total Disbursements for Receivership Operations</b>		-
<b>Line 11</b>	<b>Disbursements for Distribution Expenses Paid by the Fund:</b>		
	<i>Line 11a Distribution Plan Development Expenses:</i>		
	1. Fees:		
	Fund Administrator.....	-	-
	Independent Distribution Consultant (IDC)..	-	-
	Distribution Agent.....	-	-
	Consultants.....	-	-
	Legal Advisors.....	-	-
	Tax Advisors.....	-	-
	2. Administrative Expenses	-	-
	3. Miscellaneous	-	-
	<b>Total Plan Developmental Expenses</b>		-
	<i>Line 11b Distribution Plan Implementation Expenses:</i>		
	1. Fees:		
	Fund Administrator.....	-	-
	IDC.....	-	-
	Distribution Agent.....	-	-
	Consultants.....	-	-
	Legal Advisors.....	-	-
	Tax Advisors.....	-	-
	2. Administrative Expenses	-	-
	3. Investor Identification:		
	Notice/Publishing Approved Plan.....		-
	Claimant Identification.....	-	-
	Claims Processing.....	-	-
	Web Site Maintenance/Call Center.....	-	-
	4. Fund Administrator Bond	-	-
	5. Miscellaneous	-	-
	6. Federal Account for Investor Restitution (FAIR) Reports Expenses	-	-
	<b>Total Plan Implementation Expenses</b>	-	-
	<b>Total Disbursements for Distribution Expenses Paid by the Fund</b>		-
<b>Line 12</b>	<b>Disbursements to Court/Other:</b>		
	<i>Line 12a Investment Expenses/Court Registry Investment System (CRIS) Fees</i>	-	-
	<i>Line 12b Federal Tax Payments</i>		-
	<b>Total Disbursement to Court/Other:</b>		-
	<b>Total Funds Disbursed:</b>		
<b>Line 13</b>	<b>Ending Balance (As of 12/31/2023):</b>		<b>33,503,628</b>

**STANDARDIZED FUND ACCOUNTING REPORT for MONEX Restitution Fund - Cash Basis**  
 Thomas Seaman, Monitor case number Case No: 8:17-cv-01868-JVS-DFM Judge Selna  
 Reporting Period 04/28/2023 to 12/31/2023

<b>Line 14</b>	<b>Ending Balance of Fund - Net Assets:</b>		
<i>Line 14a</i>	<i>Cash &amp; Cash Equivalents</i>		33,503,628
<i>Line 14b</i>	<i>Investments</i>		-
<i>Line 14c</i>	<i>Other Assets or Uncleared Funds</i>		-
	<b>Total Ending Balance of Fund - Net Assets</b>		<b>33,503,628</b>

<b>OTHER SUPPLEMENTAL INFORMATION:</b>			
	<u>Detail</u>	<u>Subtotal</u>	<u>Grand Total</u>
<b>Report of Items NOT to be Paid by the Fund:</b>			
<b>Line 15</b>	<b>Disbursement for Plan Administration Expenses Not Paid by the Fund:</b>		
<i>Line 15a</i>	<i>Plan Development Expenses Not Paid by the Fund:</i>		
	1. Fees:		
	Fund Administrator.....	-	-
	IDC.....	-	-
	Distribution Agent.....	-	-
	Consultants.....	-	-
	Legal Advisors.....	-	-
	Tax Advisors.....	-	-
	2. Administrative Expenses	-	-
	3. Miscellaneous	-	-
	<b>Total Plan Developmental Expenses Not Paid by the Fund</b>		<b>-</b>
<i>Line 15b</i>	<i>Plan Implementation Expenses Not Paid by the Fund</i>		
	1. Fees:		
	Fund Administrator.....	-	-
	IDC.....	-	-
	Distribution Agent.....	-	-
	Consultants.....	-	-
	Legal Advisors.....	-	-
	Tax Advisors.....	-	-
	2. Administrative Expenses	-	-
	3. Investor Identification		
	Notice/Publishing Approved Plan.....	-	-
	Claimant Identification.....	-	-
	Claims Processing.....	-	-
	Web Site Maintenance/Call Center.....	-	-
	4. Fund Administrator Bond	-	-
	5. Miscellaneous	-	-
	6. FAIR Reporting Expenses	-	-
	<b>Total Plan Implementation Expenses Not Paid by the Fund</b>		<b>-</b>
<i>Line 15c</i>	<i>Tax Administrator Fees &amp; Bonds Not Paid by the Fund</i>		-
	<b>Total Disbursements for Plan Administration Expenses Not Paid by the Fund</b>		<b>-</b>
<b>Line 16</b>	<b>Disbursements to Court/Other Not Paid by the Fund:</b>		
<i>Line 16a</i>	<i>Investment Expenses/CRIS Fees</i>	-	-
<i>Line 16b</i>	<i>Federal Tax Payments</i>	-	-
	<b>Total Disbursement to Court/Other Not Paid by the Fund:</b>		<b>-</b>
<b>Line 17</b>	<b>DC &amp; State Tax Payments</b>	-	-
<b>Line 18</b>	<b>No. of Claims:</b>		
<i>Line 18a</i>	<i># of Claims Received This Reporting Period</i>	4,424	as of 1/24/2024
<i>Line 18b</i>	<i># of Claims Received Since Inception of Fund</i>	4,424	
<b>Line 19</b>	<b>No. of Claimants/Investors:</b>		
<i>Line 19a</i>	<i># of Claimants/Investors Paid this Reporting Period.....</i>		
<i>Line 19b</i>	<i># of Claimants/Investors Paid Since Inception of Fund.....</i>		

By:   
 Thomas Seaman  
 Monitor for MONEX Restitution Fund

Date: 1/24/2024