

UNITED STATES DISTRICT COURT  
DISTRICT OF OREGON  
PORTLAND DIVISION

LAWRENCE P. CIUFFITELLI, for himself  
and as Trustee of CIUFFITELLI  
REVOCABLE TRUST, *et al.*,

Case No. 3:16-cv-00580-AC

Plaintiffs,

v.

**DECLARATION OF JORDAN  
BROKER REGARDING MOTION  
FOR DISTRIBUTION**

DELOITTE & TOUCHE LLP;  
EISNERAMPER LLP; SIDLEY AUSTIN  
LLP; TONKON TORP LLP; TD  
AMERITRADE, INC.; INTEGRITY BANK  
& TRUST; and DUFF & PHELPS, LLC,

Defendants.

I, JORDAN BROKER, declare as follows:

1. I am a Project Manager for Epiq Class Action & Claims Solutions, Inc. (“Epiq”).

The following statements are based on my personal knowledge and information provided to me by other Epiq employees and, I could and would competently testify to these facts if called upon to do so.

2. Pursuant to the Court’s August 7, 2019 Order Preliminarily Approving Global Settlement and Providing for Notice (“Order”),<sup>1</sup> Epiq was appointed as the Claims Administrator to supervise and administer the notice procedure in connection with the proposed Settlements of the above-captioned action (the “Action”). I submit this Declaration in support of Plaintiffs’ Motion for Distribution. The following statements are based on my personal knowledge and

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<sup>1</sup> All capitalized terms not otherwise defined in this document shall have the same meaning ascribed to them as set forth in the three Settlements in this Action. The three Settlements are those reached with (1) Defendant Tonkon Torp LLP, (2) Defendant Integrity Bank & Trust, and (3) Defendants Deloitte & Touche LLP; EisnerAmper LLP; Sidley Austin LLP; TD Ameritrade, Inc.; and Duff & Phelps, LLC.

information provided to me by other experienced Epiq employees working under my supervision. If called to testify regarding the facts in this declaration, I could do so competently.

3. A set forth in my Declaration Regarding Notice Dissemination, Publication, and Requests for Exclusion Received, on August 23, 2019, the Receiver provided Epiq with the names, addresses, and transactional data for potential Class Members who purchased Covered Aequitas Securities on or after June 9, 2010 (“Initial Class Data”). The Initial Class Data included 24,512 transactions for 1,849 accounts belonging to 1,440 potential Class Members. On September 4, 2019, Epiq mailed, by First-Class Mail, Notices to the 1,849 potential Class-Member accounts (“Initial Notice Mailing”).

#### **NET LOSS DETERMINATION NOTICES**

4. On January 24, 2020, Epiq was provided updated data from the Receiver (“Updated Class Data”). The Updated Class Data included the 24,512 transactions in the Initial Class Data as well as an additional 2,042 transactions for the potential Class Members included in the Initial Notice Mailing.

5. Pursuant to the terms of the Settlements, the Net Loss calculations were made at the account level. However, the Updated Class Data was provided at the Class Member level, with numerous Class Members owning multiple eligible accounts (“Class-Member Accounts”). In addition, the majority of the transactions in the Updated Class Data dated prior to July 2014 did not include the account name. Accordingly, in order to calculate the individual Class-Member Accounts Net Loss amounts, Epiq manually reviewed 8,477 of the 26,554 transactions to ensure they were attributed to the correct account. This review identified approximately 168 of the 1,849 accounts in the Initial Notice Mailing as duplicative. After consolidating the duplicative accounts, Epiq identified 1,681 Class-Member Accounts.

6. Upon completion of that review, Epiq assigned a Net Loss or Net Gain (if the account had a profit) values assigned to each eligible Class-Member Account. A total of 1,543 Class-Member Accounts had a Net Loss and 138 Class-Member Accounts had a Net Gain.<sup>2</sup>

7. On July 31, Epiq mailed 1,681 Net Loss and Net Gain Determination Letters (“Determination Letters”) by United States First-Class Mail to Class-Member Accounts. The Letters set forth the Class-Member Account’s Net Loss or Gain amount based upon the amount of Covered Aequitas Securities purchased during the Class Period, minus any principal or interest payment received on those Covered. The Determination Letters also informed Class Members that if they agreed with the Net Loss or Gain amount set forth in the Determination Letter, they would automatically receive payment from the Net Settlement Fund on a *pro-rata* basis. A copy of a sample Determination Letter is attached hereto as Exhibit A.

8. The Determination Letter also informed Class Members that they had twenty days from the date of the Determination Letter to request review of the Net Loss amount and provide copies of document showing the amount of purchases in Covered Aequitas Securities during Class Period and the amount of each payment received on those investments, if applicable.

9. As of December 22, Epiq received disputes of the Determination Letters from approximately 50 Class-Member Accounts. Epiq reviewed each dispute and the supporting documentation provided therewith. After review of these disputes, Epiq has determined, in consultation with the Receiver and Plaintiffs’ Counsel, that 32 of the disputes provided a sufficient basis to establish an adjustment to the Net Loss amount. Updated Determination Letters were sent to all Class-Member Accounts with adjusted Net Losses.<sup>3</sup>

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<sup>2</sup> Five of the 1,543 Class-Member Accounts had \$0 Net Loss. These five Class-Member Accounts were sent Net Loss Determination Letters.

<sup>3</sup> Four of the Class-Member Accounts previously had a Net Gain and were sent Net Gain Determination Letters in the July 31<sup>st</sup> mailing. One Class-Member Account, which previously was sent a Net Loss Determination Letter, was split into two Class-Member Accounts with Net Losses.

10. The remaining 18 Net Loss disputes that were rejected were sent a customized letter explaining why their dispute was rejected. The reasons for rejection included incorrect calculation of Net Loss, merging of multiple accounts, and insufficient documentation to support the dispute.

#### NOTICES OF EXCLUSION

11. The Updated Class Data also included transactional data for potentially excluded parties. After consultation with Plaintiffs' Counsel, 14 investors with 17 accounts were identified as potentially excluded parties. Specifically, these investors were (1) a registered investment advisor or investment advisor representative who placed customers in Aequis investments, and/or (2) an investor who received finder's fees or other consideration from Aequis in connection with referring investors to Aequis. Beginning July 31, Epiq mailed 17 Exclusion Notices to these potentially excluded parties.<sup>4</sup> The Exclusion Notice provided the investors an opportunity to dispute their exclusion status and request inclusion to the Class. In response to the Exclusion Notices, Epiq received 4 requests for inclusion. After consultation with Plaintiffs' Counsel, all 4 requests for inclusion were confirmed as belonging to the Class. Net Loss Notices were subsequently mailed to each of these Class Members.

12. Based upon the review and analysis described above, Epiq has determined that there are a total of 1,547 Class-Member Accounts which are eligible to receive Distribution Payments based on their purchases of Covered Aequis Securities. The aggregate Net Loss of these accounts is \$296,133,514.22. The Net Loss for all eligible Class-Member Accounts is attached hereto as Exhibit B. Pursuant to the Plan of Allocation, the losses for each account will be weighed against the aggregate Net Loss amount to determine each Class-Member Account's *pro-rata* award from the Net Settlement Fund.

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<sup>4</sup> Two of the 17 investors were identified as excluded parties after the July 31 mailing and were subsequently sent Exclusion Notices.

13. Epiq's total costs of notice and settlement administration are estimated to be approximately \$160,145.08 through the completion of the initial distribution. After deducting Epiq's administrative fees and expenses, the estimated Net Settlement Fund will be approximately \$176,481,996.05, attached hereto as Exhibit C.

Executed on December 29, 2020, in Seattle, Washington.

A handwritten signature in blue ink, appearing to read 'JB', with a long horizontal flourish extending to the right.

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Jordan Broker

# **Exhibit A**

Aequitas Settlements  
 c/o Epiq  
 PO Box 10450  
 Dublin, OH 43017-4050

AEQ




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**RETURN SERVICE REQUESTED**

AEQ0200262612



Mailing Date: July 31, 2020  
 Claim No.: 2000697

**NET LOSS DETERMINATION NOTICE**

Dear Class Member:

We are pleased to inform you that the Court has approved the proposed Settlements in the class action lawsuit *Ciuffitelli, et al. v. Deloitte & Touche LLP, et al.*, No. 3:16-cv-00580-AC. Based on the information provided by the Court-appointed Aequitas Receiver, your Net Loss amount is shown directly below. The Net Loss amount is based upon the amount of Covered Aequitas Securities purchased during the Class Period, minus any principal or interest payments received on those Covered Aequitas Securities. A copy of the information provided by the Court-appointed Aequitas Receiver is attached to this notice.

**Net Loss: \$115,338.44**

**NO FURTHER ACTION IS REQUIRED IF YOU AGREE WITH THE NET LOSS AMOUNT ABOVE**

If you agree with the Net Loss amount above, you will automatically receive payment from the Net Settlement Fund. Payments will be made on a proportional basis calculated by determining each Class Member's Net Loss as a percentage of all Class Members' Net Losses. The Net Loss amount is not an estimate of the amount that you will receive from the Net Settlement Fund. It is not possible to determine how much you will receive from the Net Settlement Fund at this time. Each Class Member will receive a pro rata share of the Net Settlement Fund based on his, her, or its Net Loss.

If you believe there was an error in calculating your Net Loss, you may write to the Claims Administrator to request review of the determination. To request a review of your determination, you must postmark this letter with your review request to the Claims Administrator within twenty (20) days of the Mailing Date above. Your request must: (1) state why you believe there was an error in calculating your Net Loss amount; (2) enclose copies of documents showing the amount of your purchases of Covered Aequitas Securities during the Class Period, and, if applicable, the amount of each payment you received on those investments; and (3) be signed. The Claims Administrator will review your submission and make any necessary adjustment(s).

If you have questions regarding this letter or for additional information on the Settlements, please call the Claims Administrator at 1-855-474-3896 or visit [www.AequitasSettlements.com](http://www.AequitasSettlements.com). All capitalized terms used, but not defined herein, shall have the same meanings as in the Stipulations, which can be found at [www.AequitasSettlements.com](http://www.AequitasSettlements.com).

Regards,  
 The Claims Administrator  
 Aequitas Settlements

**\*\*\*THIS IS THE ONLY NOTICE YOU WILL RECEIVE FOR THIS CLAIM\*\*\*  
 IF YOU HAVE ADDITIONAL QUESTIONS, PLEASE CALL US AT (855) 474-3896.**

Your Net Loss amount of \$115,338.44 was calculated based on the transactions provided by the Receiver which are listed below. This Net Loss amount is only for the account addressed on the first page of this notice. If you have multiple covered accounts, a separate notice will be sent for each covered account. No further action is required if you agree with the Net Loss amount. You must include a copy of this letter with any response and you must reference your claim number on all correspondence and documentation.

## Transactions

Transaction Type	Investment Type	Date	Amount
Beginning Holdings	Secured Subordinated Promissory Note	12/31/2011	100,000.00
Payment/Transfer Out	Secured Subordinated Promissory Note	01/04/2012	(2,772.61)
Payment/Transfer Out	Secured Subordinated Promissory Note	04/02/2012	(2,742.47)
Receipt/Transfer In	Secured Subordinated Promissory Note	06/04/2012	50,000.00
Receipt/Transfer In	Secured Subordinated Promissory Note	06/04/2012	50,000.00
Payment/Transfer Out	Secured Subordinated Promissory Note	07/03/2012	(2,742.47)
Payment/Transfer Out	Secured Subordinated Promissory Note	10/03/2012	(5,869.87)
Payment/Transfer Out	Secured Subordinated Promissory Note	01/03/2013	(5,167.13)
Payment/Transfer Out	Secured Subordinated Promissory Note	04/02/2013	(5,054.81)
Payment/Transfer Out	Secured Subordinated Promissory Note	07/02/2013	(5,221.92)
Payment/Transfer Out	Secured Subordinated Promissory Note	10/02/2013	(5,545.19)
Payment/Transfer Out	Secured Subordinated Promissory Note	01/03/2014	(5,545.19)
Payment/Transfer Out	Secured Subordinated Promissory Note	06/01/2014	(5,424.66)
Payment/Transfer Out	Secured Subordinated Promissory Note	07/02/2014	(1,371.22)
Payment/Transfer Out	Secured Subordinated Promissory Note	07/02/2014	(2,742.47)
Payment/Transfer Out	Secured Subordinated Promissory Note	07/02/2014	(1,371.22)
Payment/Transfer Out	Secured Subordinated Promissory Note	10/02/2014	(2,772.61)
Payment/Transfer Out	Secured Subordinated Promissory Note	10/02/2014	(1,386.29)
Payment/Transfer Out	Secured Subordinated Promissory Note	10/02/2014	(1,386.29)
Payment/Transfer Out	Secured Subordinated Promissory Note	01/06/2015	(1,386.29)
Payment/Transfer Out	Secured Subordinated Promissory Note	01/06/2015	(2,772.61)
Payment/Transfer Out	Secured Subordinated Promissory Note	01/06/2015	(1,386.29)
Payment/Transfer Out	Secured Subordinated Promissory Note	04/02/2015	(2,712.34)
Payment/Transfer Out	Secured Subordinated Promissory Note	04/02/2015	(1,356.16)
Payment/Transfer Out	Secured Subordinated Promissory Note	04/02/2015	(1,356.16)
Payment/Transfer Out	Secured Subordinated Promissory Note	07/02/2015	(1,371.22)
Payment/Transfer Out	Secured Subordinated Promissory Note	07/02/2015	(2,742.47)
Payment/Transfer Out	Secured Subordinated Promissory Note	07/02/2015	(1,371.22)
Payment/Transfer Out	Secured Subordinated Promissory Note	10/02/2015	(2,772.61)
Payment/Transfer Out	Secured Subordinated Promissory Note	10/02/2015	(1,386.29)
Payment/Transfer Out	Secured Subordinated Promissory Note	10/02/2015	(1,386.29)
Payment/Transfer Out	Secured Subordinated Promissory Note	01/05/2016	(2,772.61)
Payment/Transfer Out	Secured Subordinated Promissory Note	01/05/2016	(1,386.29)
Payment/Transfer Out	Secured Subordinated Promissory Note	01/05/2016	(1,386.29)

**Net Loss: \$115,338.44**



# **Exhibit B**

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
1	81	\$ 46,931.48
2	2000001	\$ 29,701.46
3	2000002	\$ 29,701.46
4	2000003	\$ 192,729.32
5	2000004	\$ 114,271.13
6	2000005	\$ 404,178.10
7	2000006	\$ 500,000.00
8	2000008	\$ 1,661,986.37
9	2000010	\$ 51,706.38
10	2000011	\$ 52,969.94
11	2000012	\$ 61,554.03
12	2000013	\$ 45,339.75
13	2000014	\$ 98,821.91
14	2000015	\$ 170,262.05
15	2000017	\$ 9,316.53
16	2000019	\$ 55,390.52
17	2000020	\$ 80,439.80
18	2000023	\$ 93,134.26
19	2000024	\$ 98,414.85
20	2000025	\$ 59,530.89
21	2000026	\$ 113,837.99
22	2000027	\$ 205,604.88
23	2000028	\$ 171,476.86
24	2000030	\$ 185,424.69
25	2000031	\$ 376,065.77
26	2000032	\$ 197,830.13
27	2000033	\$ 100,000.00
28	2000034	\$ 190,358.79
29	2000035	\$ 79,780.87
30	2000036	\$ 96,293.14
31	2000037	\$ 257,519.50
32	2000038	\$ 66,135.68
33	2000039	\$ 4,135,143.68
34	2000040	\$ 126,430.02
35	2000041	\$ 86,630.21
36	2000042	\$ 100,000.00
37	2000043	\$ 130,836.00
38	2000045	\$ 100,000.00
39	2000046	\$ 303,950.57
40	2000047	\$ 59,205.42
41	2000048	\$ 480,089.03
42	2000049	\$ 76,706.81
43	2000051	\$ 100,000.00
44	2000052	\$ 250,000.00
45	2000056	\$ 248,231.29

#	Claim #	Net Loss
775	2000917	\$ 39,317.14
776	2000918	\$ 75,330.30
777	2000919	\$ 5,393.89
778	2000920	\$ 14,217.90
779	2000922	\$ 178,839.44
780	2000923	\$ 9,776.82
781	2000924	\$ 239,959.16
782	2000926	\$ 77,910.82
783	2000927	\$ 5,393.89
784	2000928	\$ 90,849.31
785	2000929	\$ 52,000.00
786	2000930	\$ 5,707.05
787	2000931	\$ 48,407.67
788	2000932	\$ 56,029.79
789	2000933	\$ 93,424.65
790	2000935	\$ 5,393.89
791	2000936	\$ 5,393.88
792	2000937	\$ 45,383.54
793	2000938	\$ 208,966.21
794	2000939	\$ 99,945.21
795	2000940	\$ 8,004.40
796	2000941	\$ 3,971.98
797	2000942	\$ 110,276.70
798	2000943	\$ 50,000.00
799	2000944	\$ 28,726.02
800	2000945	\$ 100,000.00
801	2000946	\$ 46,342.45
802	2000947	\$ 4,904.75
803	2000948	\$ 30,030.66
804	2000949	\$ 15,513.98
805	2000950	\$ 66,194.52
806	2000952	\$ 364,602.75
807	2000953	\$ 86,516.64
808	2000954	\$ 21,130.77
809	2000957	\$ 21,639.88
810	2000958	\$ 59,575.08
811	2000959	\$ 175,715.18
812	2000960	\$ 47,320.15
813	2000961	\$ 15,860.82
814	2000963	\$ 110,772.01
815	2000965	\$ 15,784.40
816	2000966	\$ 49,824.79
817	2000967	\$ 48,407.67
818	2000968	\$ 31,258.08
819	2000969	\$ 9,617.77

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
46	2000058	\$ 300,000.00
47	2000059	\$ 179,773.63
48	2000060	\$ 257,519.50
49	2000061	\$ 50,000.00
50	2000062	\$ 325,917.78
51	2000063	\$ 164,980.80
52	2000065	\$ 173,369.85
53	2000066	\$ 200,000.00
54	2000068	\$ 100,000.00
55	2000069	\$ 127,259.20
56	2000070	\$ 102,039.47
57	2000071	\$ 71,250.56
58	2000072	\$ 144,584.54
59	2000073	\$ 96,030.14
60	2000074	\$ 96,178.08
61	2000075	\$ 116,268.40
62	2000076	\$ 63,035.63
63	2000077	\$ 333,758.83
64	2000078	\$ 69,034.63
65	2000079	\$ 224,950.22
66	2000080	\$ 95,057.52
67	2000081	\$ 90,263.02
68	2000082	\$ 261,876.59
69	2000083	\$ 161,698.66
70	2000084	\$ 100,000.00
71	2000085	\$ 100,000.00
72	2000086	\$ 134,065.18
73	2000087	\$ 265,934.82
74	2000088	\$ 94,222.39
75	2000090	\$ 93,550.67
76	2000091	\$ 184,753.33
77	2000093	\$ 286,980.82
78	2000094	\$ 87,035.64
79	2000095	\$ 308,030.67
80	2000097	\$ 81,866.15
81	2000098	\$ 45,731.54
82	2000099	\$ 76,406.71
83	2000100	\$ 674,000.00
84	2000101	\$ 200,000.00
85	2000102	\$ 28,181.91
86	2000103	\$ 2,909,285.03
87	2000104	\$ 200,000.00
88	2000105	\$ 208,708.01
89	2000107	\$ 26,893.16
90	2000108	\$ 126,181.15

#	Claim #	Net Loss
820	2000970	\$ 5,393.88
821	2000971	\$ 24,328.19
822	2000972	\$ 469,383.47
823	2000973	\$ 330,000.00
824	2000974	\$ 100,000.00
825	2000975	\$ 106,301.37
826	2000976	\$ 399,512.30
827	2000977	\$ 156,306.91
828	2000978	\$ 163,005.50
829	2000979	\$ 81,802.76
830	2000980	\$ 2,390,641.52
831	2000982	\$ 181,795.56
832	2000984	\$ 44,954.79
833	2000985	\$ 93,134.26
834	2000986	\$ 198,129.97
835	2000988	\$ 100,000.00
836	2000990	\$ 26,772.60
837	2000991	\$ 320,000.00
838	2000992	\$ 188,175.37
839	2000993	\$ 168,597.28
840	2000994	\$ 15,000.00
841	2000995	\$ 75,596.50
842	2000996	\$ 500,000.00
843	2000997	\$ 77,178.05
844	2000998	\$ 5,707.04
845	2000999	\$ 46,821.92
846	2001000	\$ 366,945.23
847	2001001	\$ 1,026,585.14
848	2001002	\$ 1,026,585.14
849	2001003	\$ 95,108.22
850	2001004	\$ 100,000.00
851	2001005	\$ 130,299.71
852	2001006	\$ 35,967.12
853	2001007	\$ 26,985.21
854	2001009	\$ 85,468.18
855	2001010	\$ 145,068.49
856	2001011	\$ 386,698.33
857	2001012	\$ 164,034.21
858	2001013	\$ 99,397.26
859	2001014	\$ 17,959.60
860	2001015	\$ 191,902.62
861	2001016	\$ 97,863.01
862	2001018	\$ 10,000.00
863	2001019	\$ 69,304.12
864	2001020	\$ 10,000.00

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
91	2000109	\$ 24,705.48
92	2000111	\$ 198,553.68
93	2000112	\$ 220,013.74
94	2000113	\$ 11,114.55
95	2000114	\$ 60,213.72
96	2000115	\$ 167,922.96
97	2000116	\$ 28,535.20
98	2000117	\$ 5,707.06
99	2000118	\$ 44,821.92
100	2000120	\$ 8,510.86
101	2000121	\$ 42,133.14
102	2000122	\$ 151,428.94
103	2000123	\$ 49,219.18
104	2000124	\$ 9,266.31
105	2000126	\$ 36,181.52
106	2000127	\$ 191,123.30
107	2000128	\$ 96,136.98
108	2000129	\$ 222,519.46
109	2000130	\$ 33,000.00
110	2000131	\$ 46,887.64
111	2000132	\$ 89,452.06
112	2000134	\$ 133,897.22
113	2000135	\$ 170,260.23
114	2000136	\$ 235,004.21
115	2000138	\$ 121,232.87
116	2000139	\$ 287,020.66
117	2000141	\$ 58,803.42
118	2000142	\$ 315,130.24
119	2000145	\$ 66,030.00
120	2000146	\$ 29,687.82
121	2000147	\$ 321,216.49
122	2000148	\$ 61,684.92
123	2000149	\$ 125,632.45
124	2000150	\$ 100,000.00
125	2000151	\$ 48,220.74
126	2000153	\$ 1,439,388.80
127	2000155	\$ 63,968.30
128	2000156	\$ 60,015.08
129	2000157	\$ 57,713.45
130	2000158	\$ 250,000.00
131	2000159	\$ 219,025.34
132	2000160	\$ 47,684.93
133	2000161	\$ 4,495.88
134	2000162	\$ 18,967.12
135	2000163	\$ 45,424.67

#	Claim #	Net Loss
865	2001021	\$ 31,308.23
866	2001022	\$ 178,904.11
867	2001023	\$ 5,707.06
868	2001024	\$ 5,993.23
869	2001026	\$ 57,936.65
870	2001027	\$ 32,202.74
871	2001028	\$ 9,591.78
872	2001029	\$ 95,561.64
873	2001030	\$ 23,979.45
874	2001031	\$ 37,826.04
875	2001032	\$ 37,826.04
876	2001034	\$ 221,954.03
877	2001035	\$ 118,918.85
878	2001036	\$ 44,726.03
879	2001037	\$ 97,927.65
880	2001038	\$ 76,727.66
881	2001039	\$ 10,331.83
882	2001040	\$ 7,713.85
883	2001041	\$ 67,089.05
884	2001042	\$ 70,240.58
885	2001043	\$ 3,961.91
886	2001044	\$ 5,393.88
887	2001045	\$ 5,707.04
888	2001047	\$ 155,134.91
889	2001048	\$ 73,602.75
890	2001049	\$ 96,534.24
891	2001052	\$ 172,098.62
892	2001053	\$ 100,000.00
893	2001054	\$ 76,169.93
894	2001055	\$ 53,197.14
895	2001056	\$ 78,241.04
896	2001057	\$ 173,863.00
897	2001058	\$ 24,041.11
898	2001059	\$ 34,572.55
899	2001061	\$ 180,660.21
900	2001062	\$ 137,971.19
901	2001063	\$ 80,572.62
902	2001065	\$ 1,750.00
903	2001066	\$ 13,048.29
904	2001067	\$ 15,606.04
905	2001068	\$ 73,195.06
906	2001069	\$ 74,186.83
907	2001070	\$ 35,089.32
908	2001071	\$ 15,302.06
909	2001072	\$ 108,282.19

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
136	2000164	\$ 30,027.40
137	2000165	\$ 198,402.74
138	2000166	\$ 119,832.59
139	2000167	\$ 424,794.46
140	2000168	\$ 8,510.86
141	2000170	\$ 43,863.02
142	2000171	\$ 11,029.26
143	2000172	\$ 29,876.98
144	2000173	\$ 5,393.88
145	2000174	\$ 214,539.34
146	2000175	\$ 7,092.38
147	2000176	\$ 175,536.95
148	2000177	\$ 14,338.78
149	2000178	\$ 32,960.02
150	2000179	\$ 46,118.64
151	2000180	\$ 83,021.92
152	2000181	\$ 183,140.24
153	2000182	\$ 111,842.62
154	2000183	\$ 154,732.85
155	2000184	\$ 268,869.84
156	2000185	\$ 177,610.95
157	2000186	\$ 89,200.00
158	2000188	\$ 1,750.00
159	2000192	\$ 48,643.84
160	2000195	\$ 200,000.00
161	2000196	\$ 13,021.53
162	2000197	\$ 9,271.49
163	2000198	\$ 104,576.71
164	2000199	\$ 165,575.76
165	2000200	\$ 118,806.38
166	2000201	\$ 67,373.11
167	2000203	\$ 67,714.68
168	2000204	\$ 18,865.50
169	2000205	\$ 66,513.71
170	2000206	\$ 18,865.00
171	2000207	\$ 9,619.43
172	2000209	\$ 20,000.00
173	2000210	\$ 5,087.59
174	2000211	\$ 32,600.09
175	2000212	\$ 44,726.03
176	2000213	\$ 1,013,397.17
177	2000214	\$ 45,863.02
178	2000215	\$ 45,205.48
179	2000216	\$ 17,689.60
180	2000217	\$ 11,970.41

#	Claim #	Net Loss
910	2001073	\$ 14,000.00
911	2001074	\$ 40,298.57
912	2001075	\$ 49,645.90
913	2001076	\$ 24,427.41
914	2001077	\$ 11,570.75
915	2001079	\$ 357,808.24
916	2001080	\$ 43,720.16
917	2001081	\$ 43,720.16
918	2001082	\$ 59,613.16
919	2001083	\$ 84,008.84
920	2001084	\$ 18,738.00
921	2001085	\$ 13,553.52
922	2001086	\$ 19,507.52
923	2001087	\$ 61,000.00
924	2001088	\$ 245,468.50
925	2001090	\$ 46,157.27
926	2001091	\$ 104,924.38
927	2001092	\$ 16,488.11
928	2001093	\$ 85,907.93
929	2001094	\$ 83,771.04
930	2001095	\$ 33,097.83
931	2001096	\$ 3,805.60
932	2001097	\$ 89,452.06
933	2001098	\$ 40,145.02
934	2001099	\$ 95,831.80
935	2001100	\$ 181,528.76
936	2001101	\$ 278,881.96
937	2001102	\$ 98,518.58
938	2001103	\$ 12,819.09
939	2001104	\$ 79,320.86
940	2001105	\$ 11,653.69
941	2001106	\$ 45,205.48
942	2001107	\$ 17,032.34
943	2001108	\$ 44,726.03
944	2001109	\$ 4,482.18
945	2001110	\$ 45,671.22
946	2001111	\$ 45,671.25
947	2001112	\$ 244,742.28
948	2001113	\$ 128,810.97
949	2001114	\$ 20,319.47
950	2001115	\$ 99,589.04
951	2001116	\$ 6,448.87
952	2001117	\$ 7,863.44
953	2001118	\$ 10,159.72
954	2001119	\$ 24,226.02

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
181	2000218	\$ 50,553.18
182	2000219	\$ 98,891.08
183	2000220	\$ 67,177.39
184	2000221	\$ 44,898.99
185	2000222	\$ 22,410.95
186	2000223	\$ 74,453.43
187	2000224	\$ 5,504.11
188	2000225	\$ 73,901.57
189	2000226	\$ 43,545.13
190	2000227	\$ 31,689.86
191	2000228	\$ 7,212.25
192	2000229	\$ 23,409.06
193	2000230	\$ 24,705.48
194	2000232	\$ 89,452.06
195	2000233	\$ 71,366.23
196	2000234	\$ 89,452.06
197	2000235	\$ 526,796.36
198	2000236	\$ 81,390.41
199	2000238	\$ 197,304.69
200	2000239	\$ 163,384.95
201	2000240	\$ 45,629.63
202	2000244	\$ 93,219.18
203	2000245	\$ 81,605.50
204	2000246	\$ 98,643.83
205	2000247	\$ 92,428.77
206	2000248	\$ 186,586.32
207	2000249	\$ 190,136.98
208	2000250	\$ 100,000.00
209	2000251	\$ 116,636.71
210	2000252	\$ 45,426.03
211	2000253	\$ 418,684.95
212	2000254	\$ 72,138.31
213	2000255	\$ 30,727.51
214	2000256	\$ 82,873.98
215	2000257	\$ 152,891.60
216	2000258	\$ 45,603.63
217	2000259	\$ 37,815.76
218	2000261	\$ 127,624.71
219	2000262	\$ 250,000.00
220	2000263	\$ 221,247.65
221	2000264	\$ 49,794.52
222	2000265	\$ 46,917.81
223	2000266	\$ 66,641.78
224	2000267	\$ 45,479.47
225	2000268	\$ 29,601.02

#	Claim #	Net Loss
955	2001120	\$ 212,679.45
956	2001121	\$ 5,393.89
957	2001122	\$ 67,232.88
958	2001123	\$ 2,151.47
959	2001125	\$ 350,000.00
960	2001126	\$ 98,986.30
961	2001128	\$ 5,321.16
962	2001129	\$ 44,246.59
963	2001130	\$ 49,794.52
964	2001131	\$ 57,550.69
965	2001132	\$ 34,012.84
966	2001133	\$ 44,726.03
967	2001134	\$ 57,183.31
968	2001135	\$ 140,424.57
969	2001136	\$ 98,054.78
970	2001137	\$ 106,370.42
971	2001138	\$ 1,750.00
972	2001139	\$ 600,490.89
973	2001140	\$ 134,001.53
974	2001141	\$ 28,380.83
975	2001142	\$ 179,351.38
976	2001144	\$ 43,967.20
977	2001145	\$ 24,130.13
978	2001146	\$ 351,584.22
979	2001147	\$ 53,197.14
980	2001148	\$ 44,032.90
981	2001149	\$ 468,597.24
982	2001150	\$ 1,030,078.02
983	2001151	\$ 97,046.57
984	2001152	\$ 97,197.25
985	2001153	\$ 91,408.25
986	2001154	\$ 302,818.26
987	2001155	\$ 1,098,658.95
988	2001158	\$ 150,000.00
989	2001159	\$ 170,901.03
990	2001160	\$ 180,000.00
991	2001161	\$ 100,000.00
992	2001162	\$ 100,000.00
993	2001163	\$ 1,137,360.41
994	2001165	\$ 195,964.40
995	2001166	\$ 86,120.58
996	2001167	\$ 35,926.13
997	2001169	\$ 42,456.47
998	2001170	\$ 233,433.28
999	2001171	\$ 40,938.40

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
226	2000269	\$ 3,789.32
227	2000270	\$ 100,000.00
228	2000271	\$ 100,000.00
229	2000272	\$ 41,039.31
230	2000273	\$ 48,068.49
231	2000274	\$ 45,205.46
232	2000277	\$ 99,945.21
233	2000278	\$ 94,410.95
234	2000280	\$ 132,505.43
235	2000281	\$ 41,101.26
236	2000282	\$ 3,278.28
237	2000283	\$ 19,557.86
238	2000284	\$ 50,003.70
239	2000285	\$ 10,819.94
240	2000287	\$ 23,458.90
241	2000288	\$ 574,500.00
242	2000290	\$ 9,863.01
243	2000291	\$ 1,126,188.35
244	2000292	\$ 131,216.31
245	2000293	\$ 131,216.31
246	2000294	\$ 17,979.67
247	2000295	\$ 189,808.24
248	2000296	\$ 24,130.13
249	2000297	\$ 23,979.45
250	2000298	\$ 31,490.42
251	2000299	\$ 34,178.64
252	2000300	\$ 148,214.37
253	2000301	\$ 25,000.00
254	2000303	\$ 16,210.15
255	2000304	\$ 5,707.07
256	2000305	\$ 89,004.79
257	2000306	\$ 7,663.80
258	2000307	\$ 15,852.88
259	2000308	\$ 15,852.88
260	2000309	\$ 50,182.59
261	2000310	\$ 179,709.19
262	2000311	\$ 33,728.42
263	2000314	\$ 28,417.10
264	2000316	\$ 3,216.19
265	2000317	\$ 48,449.63
266	2000319	\$ 10,000.00
267	2000322	\$ 114,152.10
268	2000323	\$ 56,109.55
269	2000324	\$ 47,219.17
270	2000325	\$ 69,471.19

#	Claim #	Net Loss
1000	2001173	\$ 102,000.00
1001	2001174	\$ 108,119.92
1002	2001175	\$ 70,864.93
1003	2001177	\$ 65,800.61
1004	2001178	\$ 56,106.11
1005	2001180	\$ 121,413.68
1006	2001181	\$ 219,012.88
1007	2001183	\$ 86,197.23
1008	2001184	\$ 144,353.54
1009	2001185	\$ 26,533.32
1010	2001186	\$ 152,529.55
1011	2001187	\$ 4,971.60
1012	2001188	\$ 13,336.50
1013	2001189	\$ 149,232.42
1014	2001191	\$ 196,054.66
1015	2001192	\$ 97,860.27
1016	2001193	\$ 581,346.14
1017	2001194	\$ 165,384.87
1018	2001195	\$ 508,709.59
1019	2001196	\$ 606,397.22
1020	2001197	\$ 170,147.98
1021	2001198	\$ 307,637.52
1022	2001199	\$ 133,484.89
1023	2001201	\$ 169,263.03
1024	2001202	\$ 96,441.44
1025	2001203	\$ 965,205.45
1026	2001204	\$ 209,287.44
1027	2001206	\$ 295,596.07
1028	2001207	\$ 71,963.04
1029	2001208	\$ 80,712.28
1030	2001209	\$ 97,257.53
1031	2001210	\$ 100,000.00
1032	2001211	\$ 89,375.26
1033	2001212	\$ 804,730.71
1034	2001213	\$ 82,900.00
1035	2001214	\$ 750,495.91
1036	2001215	\$ 300,000.00
1037	2001216	\$ 161,262.45
1038	2001217	\$ 71,369.87
1039	2001218	\$ 45,119.17
1040	2001219	\$ 137,383.61
1041	2001220	\$ 47,978.09
1042	2001221	\$ 174,339.78
1043	2001222	\$ 46,576.72
1044	2001223	\$ 46,615.08

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
271	2000326	\$ 84,419.14
272	2000328	\$ 264,519.12
273	2000329	\$ 82,211.22
274	2000330	\$ 29,682.28
275	2000331	\$ 60,745.24
276	2000332	\$ 29,682.28
277	2000333	\$ 68,338.54
278	2000334	\$ 59,098.63
279	2000335	\$ 56,197.20
280	2000336	\$ 12,105.24
281	2000337	\$ 251,689.72
282	2000338	\$ 276,112.41
283	2000339	\$ 166,350.66
284	2000340	\$ 96,158.27
285	2000341	\$ 223,605.14
286	2000343	\$ 100,000.00
287	2000344	\$ 96,690.44
288	2000345	\$ 89,397.27
289	2000346	\$ 77,676.71
290	2000347	\$ 195,342.48
291	2000348	\$ 50,093.15
292	2000349	\$ 82,295.89
293	2000350	\$ 139,025.25
294	2000351	\$ 21,860.08
295	2000352	\$ 56,294.13
296	2000353	\$ 5,707.04
297	2000354	\$ 27,193.94
298	2000355	\$ 17,488.06
299	2000356	\$ 204,771.79
300	2000357	\$ 9,998.24
301	2000358	\$ 104,464.65
302	2000359	\$ 12,248.78
303	2000360	\$ 14,749.79
304	2000361	\$ 5,462.12
305	2000362	\$ 1,660,682.22
306	2000363	\$ 71,561.64
307	2000364	\$ 6,275.14
308	2000365	\$ 1,750.00
309	2000366	\$ 34,456.85
310	2000367	\$ 47,116.43
311	2000368	\$ 53,786.30
312	2000369	\$ 45,205.48
313	2000370	\$ 33,469.04
314	2000371	\$ 38,071.23
315	2000372	\$ 7,191.83

#	Claim #	Net Loss
1045	2001224	\$ 63,805.51
1046	2001225	\$ 1,044,909.56
1047	2001226	\$ 14,860.96
1048	2001227	\$ 19,901.36
1049	2001228	\$ 132,867.36
1050	2001229	\$ 148,065.24
1051	2001231	\$ 139,357.81
1052	2001234	\$ 250,000.00
1053	2001235	\$ 86,767.15
1054	2001236	\$ 174,572.66
1055	2001237	\$ 261,227.39
1056	2001238	\$ 250,000.00
1057	2001239	\$ 92,986.27
1058	2001240	\$ 109,998.62
1059	2001241	\$ 49,275.25
1060	2001242	\$ 257,519.50
1061	2001243	\$ 954,363.92
1062	2001244	\$ 954,432.93
1063	2001245	\$ 110,849.64
1064	2001247	\$ 110,806.55
1065	2001249	\$ 103,332.19
1066	2001250	\$ 78,241.04
1067	2001252	\$ 121,631.13
1068	2001253	\$ 100,454.19
1069	2001254	\$ 1,894,904.13
1070	2001255	\$ 98,608.25
1071	2001256	\$ 97,016.43
1072	2001257	\$ 224,689.08
1073	2001258	\$ 224,719.21
1074	2001259	\$ 55,969.75
1075	2001260	\$ 53,709.47
1076	2001261	\$ 170,093.09
1077	2001262	\$ 153,835.67
1078	2001263	\$ 53,838.37
1079	2001264	\$ 233,478.12
1080	2001265	\$ 90,973.99
1081	2001266	\$ 173,661.82
1082	2001267	\$ 105,291.83
1083	2001268	\$ 100,000.00
1084	2001269	\$ 116,049.30
1085	2001270	\$ 898,093.15
1086	2001272	\$ 115,876.62
1087	2001274	\$ 89,106.89
1088	2001275	\$ 45,557.53
1089	2001276	\$ 447,465.76



**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
316	2000373	\$ 77,042.64
317	2000374	\$ 96,136.99
318	2000375	\$ 5,529.52
319	2000376	\$ 142,356.19
320	2000377	\$ 67,664.39
321	2000378	\$ 164,765.36
322	2000379	\$ 3,278.28
323	2000380	\$ 18,644.50
324	2000381	\$ 22,363.00
325	2000382	\$ 3,216.19
326	2000383	\$ 5,707.04
327	2000384	\$ 8,105.09
328	2000385	\$ 735.40
329	2000386	\$ 722,204.31
330	2000387	\$ 1,964,796.48
331	2000389	\$ 191,041.08
332	2000390	\$ 74,147.94
333	2000391	\$ 84,082.40
334	2000392	\$ 135,531.78
335	2000393	\$ 114,057.52
336	2000395	\$ 29,966.07
337	2000396	\$ 130,528.44
338	2000397	\$ 616,482.97
339	2000398	\$ 83,185.64
340	2000399	\$ 33,163.80
341	2000400	\$ 9,511.72
342	2000401	\$ 3,170.58
343	2000402	\$ 3,278.28
344	2000405	\$ 27,000.00
345	2000406	\$ 125,155.61
346	2000408	\$ 92,876.71
347	2000409	\$ 149,083.71
348	2000410	\$ 162,995.27
349	2000411	\$ 81,701.25
350	2000412	\$ 7,213.30
351	2000413	\$ 48,260.27
352	2000414	\$ 66,474.65
353	2000415	\$ 123,671.23
354	2000416	\$ 46,246.58
355	2000417	\$ 32,646.51
356	2000418	\$ 4,728.26
357	2000420	\$ 21,507.59
358	2000421	\$ 22,479.44
359	2000422	\$ 93,643.83
360	2000423	\$ 6,556.58

#	Claim #	Net Loss
1090	2001277	\$ 56,201.50
1091	2001278	\$ 17,328.76
1092	2001279	\$ 201,958.84
1093	2001280	\$ 182,715.05
1094	2001281	\$ 104,490.97
1095	2001282	\$ 2,500,000.00
1096	2001284	\$ 185,821.08
1097	2001285	\$ 100,000.00
1098	2001287	\$ 170,997.33
1099	2001288	\$ 200,000.00
1100	2001289	\$ 156,934.27
1101	2001290	\$ 49,563.35
1102	2001291	\$ 62,276.75
1103	2001293	\$ 86,153.45
1104	2001294	\$ 202,614.52
1105	2001296	\$ 44,045.23
1106	2001298	\$ 67,561.66
1107	2001299	\$ 88,778.12
1108	2001300	\$ 251,013.66
1109	2001301	\$ 216,078.73
1110	2001302	\$ 40,537.05
1111	2001303	\$ 360,239.16
1112	2001304	\$ 90,136.99
1113	2001305	\$ 100,000.00
1114	2001306	\$ 46,241.11
1115	2001307	\$ 218,607.07
1116	2001308	\$ 901,625.80
1117	2001309	\$ 577,939.64
1118	2001312	\$ 55,757.13
1119	2001313	\$ 278,753.42
1120	2001314	\$ 53,197.14
1121	2001315	\$ 261,227.39
1122	2001316	\$ 205,617.74
1123	2001317	\$ 177,520.53
1124	2001318	\$ 169,890.47
1125	2001319	\$ 1,444,372.10
1126	2001323	\$ 500,000.00
1127	2001324	\$ 100,000.00
1128	2001326	\$ 210,928.65
1129	2001327	\$ 1,000,000.00
1130	2001328	\$ 86,512.95
1131	2001330	\$ 368,750.63
1132	2001331	\$ 105,102.64
1133	2001332	\$ 96,597.90
1134	2001333	\$ 121,413.70

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
361	2000424	\$ 13,776.18
362	2000425	\$ 89,972.60
363	2000426	\$ 9,392.49
364	2000427	\$ 44,726.03
365	2000428	\$ 89,348.99
366	2000429	\$ 56,836.22
367	2000430	\$ 4,728.26
368	2000431	\$ 4,728.25
369	2000432	\$ 187,402.06
370	2000433	\$ 58,803.09
371	2000435	\$ 38,046.58
372	2000436	\$ 4,728.25
373	2000437	\$ 124,955.65
374	2000438	\$ 18,032.89
375	2000439	\$ 8,991.79
376	2000440	\$ 18,005.46
377	2000441	\$ 44,726.03
378	2000442	\$ 87,200.00
379	2000444	\$ 190,867.01
380	2000445	\$ 37,291.73
381	2000446	\$ 97,839.59
382	2000447	\$ 44,523.31
383	2000448	\$ 24,575.57
384	2000449	\$ 236,419.44
385	2000451	\$ 26,004.33
386	2000452	\$ 35,588.60
387	2000453	\$ 26,444.91
388	2000454	\$ 49,410.96
389	2000455	\$ 15,867.77
390	2000456	\$ 46,008.02
391	2000457	\$ 77,424.66
392	2000458	\$ 77,424.66
393	2000459	\$ 83,149.86
394	2000460	\$ 5,707.07
395	2000461	\$ 147,026.31
396	2000462	\$ 262,936.91
397	2000463	\$ 68,817.20
398	2000464	\$ 49,410.96
399	2000465	\$ 522,969.85
400	2000466	\$ 238,935.91
401	2000467	\$ 48,068.49
402	2000468	\$ 95,112.10
403	2000469	\$ 182,835.47
404	2000470	\$ 364,345.14
405	2000471	\$ 61,514.97

#	Claim #	Net Loss
1135	2001335	\$ 81,078.08
1136	2001336	\$ 982,554.15
1137	2001338	\$ 107,944.47
1138	2001339	\$ 100,000.00
1139	2001340	\$ 198,071.24
1140	2001341	\$ 313,739.70
1141	2001342	\$ 89,564.39
1142	2001343	\$ 124,031.95
1143	2001345	\$ 152,647.31
1144	2001346	\$ 335,816.43
1145	2001347	\$ 93,134.26
1146	2001348	\$ 146,760.17
1147	2001349	\$ 29,352.17
1148	2001350	\$ 29,352.17
1149	2001351	\$ 155,474.00
1150	2001352	\$ 104,490.97
1151	2001353	\$ 1,030,078.02
1152	2001354	\$ 980,068.50
1153	2001355	\$ 149,376.66
1154	2001357	\$ 58,246.56
1155	2001358	\$ 74,738.45
1156	2001359	\$ 77,931.49
1157	2001360	\$ 500,000.00
1158	2001361	\$ 96,142.46
1159	2001362	\$ 250,000.00
1160	2001363	\$ 309,698.54
1161	2001364	\$ 196,805.66
1162	2001365	\$ 111,224.51
1163	2001367	\$ 271,652.08
1164	2001368	\$ 331,948.78
1165	2001369	\$ 200,000.00
1166	2001370	\$ 420,717.85
1167	2001371	\$ 445,095.90
1168	2001372	\$ 2,433,525.28
1169	2001373	\$ 168,884.91
1170	2001374	\$ 388,172.94
1171	2001377	\$ 48,791.79
1172	2001378	\$ 182,175.38
1173	2001379	\$ 643,589.10
1174	2001381	\$ 153,539.40
1175	2001382	\$ 714,513.70
1176	2001383	\$ 287,550.87
1177	2001384	\$ 1,185,780.78
1178	2001385	\$ 1,097,945.21
1179	2001386	\$ 46,006.86

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
406	2000472	\$ 308,493.17
407	2000473	\$ 333,484.89
408	2000474	\$ 673,220.48
409	2000475	\$ 53,197.14
410	2000477	\$ 45,389.08
411	2000479	\$ 147,430.07
412	2000480	\$ 476,945.19
413	2000481	\$ 114,863.03
414	2000482	\$ 143,914.40
415	2000484	\$ 500,000.00
416	2000485	\$ 1,000,000.00
417	2000486	\$ 342,706.93
418	2000487	\$ 141,672.60
419	2000488	\$ 183,780.18
420	2000490	\$ 224,832.77
421	2000491	\$ 333,347.28
422	2000493	\$ 55,270.17
423	2000494	\$ 43,424.84
424	2000495	\$ 960,053.88
425	2000496	\$ 66,496.48
426	2000497	\$ 92,797.25
427	2000498	\$ 22,883.55
428	2000499	\$ 47,409.60
429	2000500	\$ 82,974.34
430	2000502	\$ 28,369.53
431	2000503	\$ 174,422.01
432	2000504	\$ 94,816.43
433	2000506	\$ 24,082.20
434	2000507	\$ 3,121.19
435	2000508	\$ 24,226.02
436	2000509	\$ 322,854.84
437	2000510	\$ 118,058.34
438	2000512	\$ 257,519.50
439	2000513	\$ 257,519.50
440	2000514	\$ 170,982.01
441	2000515	\$ 308,471.24
442	2000516	\$ 53,926.86
443	2000517	\$ 303,197.14
444	2000518	\$ 48,942.43
445	2000519	\$ 80,550.66
446	2000521	\$ 100,000.00
447	2000522	\$ 203,032.49
448	2000523	\$ 62,641.08
449	2000525	\$ 86,939.75
450	2000526	\$ 134,320.11

#	Claim #	Net Loss
1180	2001387	\$ 161,671.19
1181	2001389	\$ 172,498.62
1182	2001391	\$ 219,050.97
1183	2001392	\$ 3,000,000.00
1184	2001393	\$ 232,986.28
1185	2001394	\$ 135,648.00
1186	2001396	\$ 228,895.62
1187	2001398	\$ 1,034,711.47
1188	2001399	\$ 174,505.46
1189	2001400	\$ 68,441.09
1190	2001401	\$ 87,375.35
1191	2001402	\$ 98,704.11
1192	2001403	\$ 100,000.00
1193	2001404	\$ 519,661.02
1194	2001405	\$ 1,545,117.03
1195	2001406	\$ 687,523.29
1196	2001408	\$ 619,667.70
1197	2001410	\$ 125,915.77
1198	2001411	\$ 97,901.76
1199	2001412	\$ 91,715.10
1200	2001413	\$ 91,715.10
1201	2001416	\$ 706,212.32
1202	2001417	\$ 309,023.40
1203	2001418	\$ 65,613.61
1204	2001419	\$ 66,638.27
1205	2001420	\$ 625,776.16
1206	2001422	\$ 75,579.40
1207	2001423	\$ 56,344.59
1208	2001425	\$ 100,000.00
1209	2001426	\$ 100,000.00
1210	2001427	\$ 158,878.85
1211	2001428	\$ 181,010.54
1212	2001430	\$ 96,715.06
1213	2001431	\$ 300,000.00
1214	2001432	\$ 55,294.45
1215	2001434	\$ 438,637.06
1216	2001435	\$ 365,720.14
1217	2001437	\$ 360,382.63
1218	2001438	\$ 256,821.90
1219	2001439	\$ 117,777.92
1220	2001440	\$ 284,750.71
1221	2001441	\$ 192,898.64
1222	2001442	\$ 95,726.01
1223	2001443	\$ 100,000.00
1224	2001444	\$ 92,328.73

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
451	2000529	\$ 83,501.33
452	2000530	\$ 75,000.00
453	2000531	\$ 83,454.75
454	2000532	\$ 530,547.95
455	2000534	\$ 44,954.79
456	2000535	\$ 138,609.62
457	2000536	\$ 487,617.19
458	2000539	\$ 87,879.50
459	2000540	\$ 157,193.61
460	2000544	\$ 228,887.68
461	2000546	\$ 48,117.77
462	2000547	\$ 337,344.21
463	2000550	\$ 92,810.98
464	2000551	\$ 75,000.00
465	2000552	\$ 22,939.53
466	2000553	\$ 39,660.65
467	2000554	\$ 261,660.40
468	2000556	\$ 17,214.64
469	2000557	\$ 63,836.62
470	2000558	\$ 40,623.31
471	2000559	\$ 470,679.44
472	2000561	\$ 125,282.16
473	2000562	\$ 493,219.17
474	2000563	\$ 250,000.00
475	2000564	\$ 245,737.00
476	2000565	\$ 434,609.58
477	2000566	\$ 100,000.00
478	2000567	\$ 100,000.00
479	2000568	\$ 34,846.36
480	2000569	\$ 98,280.68
481	2000570	\$ 186,153.45
482	2000571	\$ 525,816.47
483	2000573	\$ 231,886.06
484	2000574	\$ 106,394.60
485	2000575	\$ 113,375.29
486	2000576	\$ 87,178.09
487	2000577	\$ 1,053,396.77
488	2000578	\$ 115,383.34
489	2000580	\$ 261,227.39
490	2000581	\$ 330,411.79
491	2000582	\$ 571,642.11
492	2000583	\$ 70,597.96
493	2000584	\$ 94,273.96
494	2000585	\$ 200,000.00
495	2000586	\$ 35,008.96

#	Claim #	Net Loss
1225	2001445	\$ 2,626,862.97
1226	2001446	\$ 158,632.28
1227	2001447	\$ 250,000.00
1228	2001448	\$ 150,000.00
1229	2001449	\$ 73,457.63
1230	2001450	\$ 437,290.47
1231	2001451	\$ 735,918.24
1232	2001452	\$ 81,026.03
1233	2001453	\$ 1,848,882.21
1234	2001454	\$ 347,929.64
1235	2001455	\$ 272,750.50
1236	2001458	\$ 90,778.09
1237	2001459	\$ 106,837.00
1238	2001460	\$ 97,197.25
1239	2001461	\$ 421,904.06
1240	2001462	\$ 58,178.05
1241	2001465	\$ 194,013.70
1242	2001466	\$ 48,224.30
1243	2001467	\$ 201,517.85
1244	2001468	\$ 93,360.28
1245	2001469	\$ 91,824.69
1246	2001470	\$ 91,824.69
1247	2001472	\$ 179,621.97
1248	2001473	\$ 70,405.40
1249	2001474	\$ 171,463.07
1250	2001476	\$ 312,190.54
1251	2001478	\$ 4,049,673.96
1252	2001479	\$ 234,987.68
1253	2001485	\$ 1,044,909.57
1254	2001486	\$ 96,164.39
1255	2001487	\$ 300,000.00
1256	2001488	\$ 199,520.53
1257	2001489	\$ 93,479.46
1258	2001490	\$ 100,000.00
1259	2001491	\$ 500,000.00
1260	2001493	\$ 257,519.50
1261	2001494	\$ 137,261.67
1262	2001495	\$ 88,624.70
1263	2001496	\$ 578,946.04
1264	2001497	\$ 49,705.47
1265	2001498	\$ 49,275.25
1266	2001499	\$ 169,060.26
1267	2001501	\$ 235,292.54
1268	2001502	\$ 104,490.97
1269	2001503	\$ 160,726.17

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
496	2000588	\$ 191,802.74
497	2000590	\$ 922,825.33
498	2000591	\$ 749,886.69
499	2000593	\$ 542,054.13
500	2000595	\$ 93,230.15
501	2000596	\$ 340,904.07
502	2000597	\$ 913,613.74
503	2000598	\$ 71,316.39
504	2000600	\$ 82,619.24
505	2000601	\$ 296,521.72
506	2000602	\$ 155,093.19
507	2000603	\$ 197,457.54
508	2000604	\$ 95,635.62
509	2000605	\$ 98,860.28
510	2000606	\$ 58,665.74
511	2000607	\$ 287,342.46
512	2000608	\$ 190,923.64
513	2000609	\$ 18,586.81
514	2000610	\$ 387,246.13
515	2000611	\$ 161,424.69
516	2000613	\$ 190,265.56
517	2000614	\$ 44,217.83
518	2000615	\$ 95,638.37
519	2000616	\$ 53,197.14
520	2000617	\$ 303,123.11
521	2000621	\$ 200,000.00
522	2000622	\$ 100,000.00
523	2000623	\$ 257,519.50
524	2000624	\$ 63,271.24
525	2000625	\$ 150,854.78
526	2000626	\$ 64,929.64
527	2000627	\$ 354,782.65
528	2000628	\$ 68,778.00
529	2000629	\$ 149,928.81
530	2000630	\$ 150,000.00
531	2000632	\$ 222,196.87
532	2000633	\$ 114,271.13
533	2000635	\$ 102,013.66
534	2000637	\$ 227,100.00
535	2000638	\$ 163,378.84
536	2000639	\$ 70,693.16
537	2000641	\$ 210,406.37
538	2000642	\$ 81,706.80
539	2000643	\$ 202,465.76
540	2000644	\$ 49,676.98

#	Claim #	Net Loss
1270	2001504	\$ 250,000.00
1271	2001505	\$ 519,422.19
1272	2001507	\$ 63,865.66
1273	2001508	\$ 261,849.62
1274	2001509	\$ 149,416.49
1275	2001511	\$ 90,087.68
1276	2001512	\$ 57,354.99
1277	2001514	\$ 184,690.43
1278	2001515	\$ 390,958.90
1279	2001516	\$ 693,741.78
1280	2001517	\$ 97,000.00
1281	2001518	\$ 101,846.42
1282	2001520	\$ 451,715.63
1283	2001521	\$ 73,446.60
1284	2001522	\$ 188,321.78
1285	2001523	\$ 59,209.59
1286	2001525	\$ 50,000.00
1287	2001526	\$ 72,041.06
1288	2001527	\$ 191,405.48
1289	2001528	\$ 87,775.40
1290	2001529	\$ 59,464.41
1291	2001531	\$ 100,000.00
1292	2001533	\$ 153,523.24
1293	2001534	\$ 134,997.27
1294	2001535	\$ 45,119.17
1295	2001536	\$ 220,000.00
1296	2001537	\$ 1,030,078.02
1297	2001538	\$ 359,394.46
1298	2001540	\$ 100,000.00
1299	2001541	\$ 139,488.32
1300	2001544	\$ 100,000.00
1301	2001545	\$ 53,076.60
1302	2001546	\$ 104,490.97
1303	2001547	\$ 100,000.00
1304	2001548	\$ 100,000.00
1305	2001549	\$ 50,746.57
1306	2001550	\$ 135,369.86
1307	2001551	\$ 16,083.28
1308	2001553	\$ 46,438.36
1309	2001554	\$ 106,736.16
1310	2001556	\$ 256,178.09
1311	2001557	\$ 39,317.14
1312	2001558	\$ 100,000.00
1313	2001559	\$ 95,234.88
1314	2001560	\$ 22,369.32

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
541	2000645	\$ 176,971.92
542	2000646	\$ 132,986.31
543	2000647	\$ 201,834.61
544	2000649	\$ 191,670.46
545	2000650	\$ 92,934.26
546	2000651	\$ 88,471.28
547	2000652	\$ 473,095.92
548	2000653	\$ 140,878.08
549	2000654	\$ 186,610.96
550	2000655	\$ 235,858.92
551	2000656	\$ 100,000.00
552	2000657	\$ 236,976.70
553	2000658	\$ 100,000.00
554	2000659	\$ 156,122.73
555	2000660	\$ 175,148.03
556	2000661	\$ 250,000.00
557	2000662	\$ 85,062.46
558	2000663	\$ 119,421.11
559	2000664	\$ 49,502.33
560	2000665	\$ 41,934.17
561	2000666	\$ 100,000.00
562	2000667	\$ 87,775.40
563	2000668	\$ 59,464.41
564	2000669	\$ 339,780.84
565	2000670	\$ 162,062.66
566	2000671	\$ 81,301.34
567	2000672	\$ 200,000.00
568	2000673	\$ 113,436.80
569	2000674	\$ 71,973.89
570	2000675	\$ 184,958.93
571	2000677	\$ 100,000.00
572	2000678	\$ 200,000.00
573	2000679	\$ 71,095.87
574	2000680	\$ 78,402.74
575	2000682	\$ 80,230.09
576	2000683	\$ 100,000.00
577	2000684	\$ 65,671.18
578	2000685	\$ 117,557.07
579	2000687	\$ 87,509.05
580	2000688	\$ 60,309.51
581	2000689	\$ 100,000.00
582	2000690	\$ 500,000.00
583	2000691	\$ 94,063.00
584	2000692	\$ 69,753.40
585	2000693	\$ 302,197.58

#	Claim #	Net Loss
1315	2001561	\$ 37,395.68
1316	2001562	\$ 24,995.62
1317	2001563	\$ 34,619.04
1318	2001564	\$ 112,380.50
1319	2001565	\$ 91,450.41
1320	2001566	\$ 55,977.65
1321	2001567	\$ 112,003.96
1322	2001568	\$ 2,912.29
1323	2001569	\$ 179,006.45
1324	2001570	\$ 58,482.19
1325	2001571	\$ 393,442.25
1326	2001572	\$ 32,036.99
1327	2001573	\$ 5,726.87
1328	2001574	\$ 1,248.10
1329	2001575	\$ 75,400.66
1330	2001576	\$ 35,423.00
1331	2001577	\$ 57,337.00
1332	2001578	\$ 49,095.12
1333	2001579	\$ 53,176.98
1334	2001580	\$ 292,613.27
1335	2001581	\$ 231,240.29
1336	2001582	\$ 17,979.67
1337	2001584	\$ 73,972.60
1338	2001592	\$ 1,734,000.01
1339	2001596	\$ 45,479.45
1340	2001597	\$ 45,671.21
1341	2001598	\$ 165,649.40
1342	2001599	\$ 260,796.51
1343	2001600	\$ 48,045.37
1344	2001601	\$ 46,150.69
1345	2001602	\$ 5,822.05
1346	2001603	\$ 60,026.36
1347	2001604	\$ 77,736.34
1348	2001605	\$ 5,393.88
1349	2001606	\$ 30,100.06
1350	2001607	\$ 9,640.98
1351	2001608	\$ 380,217.14
1352	2001609	\$ 335,496.38
1353	2001610	\$ 5,707.04
1354	2001611	\$ 5,393.89
1355	2001612	\$ 14,190.42
1356	2001613	\$ 87,005.49
1357	2001614	\$ 250,000.00
1358	2001616	\$ 48,784.24
1359	2001618	\$ 61,422.03

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
586	2000695	\$ 246,745.79
587	2000696	\$ 158,958.08
588	2000697	\$ 115,338.44
589	2000699	\$ 500,000.00
590	2000700	\$ 367,382.21
591	2000701	\$ 185,000.00
592	2000703	\$ 699,877.93
593	2000704	\$ 81,837.31
594	2000706	\$ 88,854.80
595	2000707	\$ 1,791,680.54
596	2000708	\$ 376,328.80
597	2000709	\$ 100,000.00
598	2000710	\$ 100,000.00
599	2000711	\$ 213,821.96
600	2000713	\$ 666,486.64
601	2000715	\$ 107,696.26
602	2000716	\$ 578,008.21
603	2000717	\$ 121,448.46
604	2000718	\$ 72,408.30
605	2000719	\$ 273,847.41
606	2000720	\$ 28,269.01
607	2000721	\$ 87,506.90
608	2000722	\$ 250,823.72
609	2000723	\$ 111,638.43
610	2000724	\$ 89,178.65
611	2000725	\$ 257,519.50
612	2000726	\$ 187,294.26
613	2000727	\$ 89,397.27
614	2000728	\$ 100,000.00
615	2000729	\$ 100,000.00
616	2000730	\$ 165,646.53
617	2000732	\$ 52,565.52
618	2000733	\$ 76,685.35
619	2000734	\$ 191,634.28
620	2000735	\$ 496,657.51
621	2000736	\$ 45,314.99
622	2000738	\$ 209,790.89
623	2000739	\$ 248,735.30
624	2000741	\$ 268,657.55
625	2000742	\$ 27,466.62
626	2000743	\$ 108,835.38
627	2000744	\$ 432,239.66
628	2000746	\$ 45,119.17
629	2000747	\$ 362,079.54
630	2000749	\$ 26,419.81

#	Claim #	Net Loss
1360	2001619	\$ 172,304.04
1361	2001620	\$ 56,106.11
1362	2001621	\$ 113,790.46
1363	2001623	\$ 69,368.57
1364	2001624	\$ 57,981.50
1365	2001625	\$ 734,200.57
1366	2001627	\$ 83,984.01
1367	2001628	\$ 1,073,430.07
1368	2001629	\$ 934,369.85
1369	2001631	\$ 158,365.59
1370	2001632	\$ 233,493.03
1371	2001633	\$ 227,095.89
1372	2001634	\$ 1,816,971.21
1373	2001635	\$ 200,000.00
1374	2001637	\$ 100,000.00
1375	2001641	\$ 651,269.88
1376	2001643	\$ 24,425.85
1377	2001644	\$ 192,997.26
1378	2001646	\$ 139,130.26
1379	2001647	\$ 245,506.85
1380	2001648	\$ 292,586.30
1381	2001649	\$ 181,766.59
1382	2001651	\$ 62,511.09
1383	2001652	\$ 434,794.48
1384	2001653	\$ 150,000.00
1385	2001654	\$ 70,246.55
1386	2001655	\$ 200,000.00
1387	2001656	\$ 397,902.75
1388	2001657	\$ 23,842.46
1389	2001658	\$ 66,017.44
1390	2001659	\$ 11,242.80
1391	2001660	\$ 979,958.33
1392	2001661	\$ 24,465.75
1393	2001662	\$ 101,712.31
1394	2001663	\$ 144,068.51
1395	2001664	\$ 100,000.00
1396	2001665	\$ 123,854.70
1397	2001666	\$ 100,000.00
1398	2001667	\$ 131,439.14
1399	2001669	\$ 125,219.78
1400	2001672	\$ 91,632.28
1401	2001673	\$ 94,974.02
1402	2001674	\$ 62,279.49
1403	2001676	\$ 324,931.37
1404	2001677	\$ 92,767.11



**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
631	2000751	\$ 973,360.80
632	2000752	\$ 57,517.29
633	2000753	\$ 68,312.33
634	2000754	\$ 188,743.85
635	2000755	\$ 1,808,438.39
636	2000756	\$ 163,378.84
637	2000757	\$ 75,000.00
638	2000758	\$ 80,036.99
639	2000759	\$ 630,238.38
640	2000761	\$ 170,998.58
641	2000763	\$ 91,780.85
642	2000764	\$ 106,471.20
643	2000765	\$ 46,489.58
644	2000767	\$ 76,312.27
645	2000768	\$ 115,840.41
646	2000769	\$ 4,562.53
647	2000771	\$ 63,411.61
648	2000772	\$ 44,821.92
649	2000773	\$ 201,675.41
650	2000774	\$ 8,053.30
651	2000776	\$ 94,602.73
652	2000777	\$ 59,005.39
653	2000778	\$ 214,186.19
654	2000779	\$ 175,827.22
655	2000780	\$ 352,285.34
656	2000781	\$ 144,119.75
657	2000782	\$ 116,057.94
658	2000783	\$ 114,922.88
659	2000784	\$ 106,837.00
660	2000785	\$ 8,985.35
661	2000786	\$ 89,452.06
662	2000787	\$ 24,082.19
663	2000788	\$ 5,393.88
664	2000789	\$ 200,000.00
665	2000791	\$ 8,176.43
666	2000792	\$ 8,176.44
667	2000794	\$ 94,027.39
668	2000795	\$ 37,841.09
669	2000796	\$ 22,712.32
670	2000797	\$ 68,113.98
671	2000798	\$ 13,446.59
672	2000799	\$ 9,327.83
673	2000800	\$ 698,756.13
674	2000801	\$ 101,563.70
675	2000802	\$ 87,507.55

#	Claim #	Net Loss
1405	2001678	\$ 141,365.76
1406	2001679	\$ 227,189.04
1407	2001681	\$ 114,652.13
1408	2001682	\$ 44,926.20
1409	2001684	\$ 86,019.20
1410	2001685	\$ 86,019.20
1411	2001686	\$ 86,019.20
1412	2001687	\$ 113,461.90
1413	2001688	\$ 156,783.58
1414	2001690	\$ 117,045.11
1415	2001691	\$ 76,316.81
1416	2001692	\$ 515,039.01
1417	2001693	\$ 1,044,909.57
1418	2001694	\$ 251,695.89
1419	2001695	\$ 45,312.33
1420	2001697	\$ 46,567.13
1421	2001698	\$ 358,497.76
1422	2001699	\$ 100,000.00
1423	2001700	\$ 4,452,602.75
1424	2001701	\$ 186,060.25
1425	2001702	\$ 53,418.38
1426	2001703	\$ 53,418.38
1427	2001704	\$ 100,723.26
1428	2001705	\$ 77,970.54
1429	2001706	\$ 115,122.69
1430	2001707	\$ 102,274.62
1431	2001708	\$ 58,122.53
1432	2001709	\$ 523,687.23
1433	2001710	\$ 56,000.00
1434	2001711	\$ 63,530.60
1435	2001712	\$ 893,813.30
1436	2001713	\$ 1,271,613.45
1437	2001714	\$ 4,487.02
1438	2001716	\$ 292,086.45
1439	2001718	\$ 38,957.53
1440	2001720	\$ 97,468.49
1441	2001721	\$ 45,426.03
1442	2001722	\$ 1,696,887.10
1443	2001724	\$ 452,194.00
1444	2001726	\$ 139,212.27
1445	2001729	\$ 60,315.09
1446	2001730	\$ 93,367.13
1447	2001731	\$ 83,484.89
1448	2001733	\$ 119,892.87
1449	2001736	\$ 261,227.39



**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
676	2000803	\$ 101,975.34
677	2000804	\$ 79,439.75
678	2000805	\$ 49,573.05
679	2000806	\$ 5,707.07
680	2000807	\$ 57,062.76
681	2000808	\$ 22,363.00
682	2000809	\$ 25,046.59
683	2000810	\$ 35,174.66
684	2000811	\$ 15,238.22
685	2000812	\$ 67,554.80
686	2000814	\$ 98,249.63
687	2000815	\$ 18,513.20
688	2000816	\$ 63,388.30
689	2000818	\$ 73,058.21
690	2000819	\$ 100,000.00
691	2000820	\$ 18,913.02
692	2000821	\$ 48,669.63
693	2000822	\$ 73,013.91
694	2000823	\$ 7,092.39
695	2000825	\$ 216,567.09
696	2000827	\$ 3,490.63
697	2000829	\$ 19,195.02
698	2000830	\$ 3,841.10
699	2000831	\$ 95,224.67
700	2000832	\$ 88,712.37
701	2000833	\$ 34,177.14
702	2000834	\$ 3,730.45
703	2000837	\$ 18,913.02
704	2000838	\$ 4,741.21
705	2000839	\$ 394,209.33
706	2000840	\$ 242,109.15
707	2000841	\$ 32,583.88
708	2000842	\$ 879,248.62
709	2000844	\$ 9,456.51
710	2000845	\$ 46,105.48
711	2000846	\$ 95,638.37
712	2000847	\$ 821,643.86
713	2000848	\$ 175,907.33
714	2000849	\$ 647,843.49
715	2000850	\$ 350,000.00
716	2000851	\$ 100,000.00
717	2000852	\$ 86,306.87
718	2000853	\$ 96,775.34
719	2000854	\$ 458,384.17
720	2000856	\$ 72,905.50

#	Claim #	Net Loss
1450	2001738	\$ 55,000.00
1451	2001739	\$ 125,000.00
1452	2001740	\$ 1,500,000.00
1453	2001741	\$ 91,668.49
1454	2001742	\$ 91,101.40
1455	2001745	\$ 87,638.40
1456	2001746	\$ 98,884.93
1457	2001747	\$ 136,230.19
1458	2001748	\$ 231,232.88
1459	2001749	\$ 186,082.18
1460	2001750	\$ 1,000,000.00
1461	2001751	\$ 61,227.43
1462	2001752	\$ 769,290.29
1463	2001757	\$ 281,841.26
1464	2001759	\$ 181,643.82
1465	2001760	\$ 100,000.00
1466	2001761	\$ 100,000.00
1467	2001763	\$ 145,389.05
1468	2001764	\$ 48,613.71
1469	2001765	\$ 128,204.77
1470	2001766	\$ 100,000.00
1471	2001767	\$ 48,224.30
1472	2001768	\$ 256,913.39
1473	2001770	\$ 150,000.00
1474	2001771	\$ 358,336.23
1475	2001772	\$ 501,079.98
1476	2001775	\$ 53,418.38
1477	2001776	\$ 309,023.40
1478	2001777	\$ 250,000.00
1479	2001778	\$ 101,158.35
1480	2001779	\$ 418,949.80
1481	2001780	\$ 144,507.74
1482	2001781	\$ 52,765.65
1483	2001783	\$ 103,383.39
1484	2001784	\$ 527,721.93
1485	2001786	\$ 98,673.97
1486	2001787	\$ 360,000.00
1487	2001788	\$ 1,431,207.54
1488	2001790	\$ 439,445.23
1489	2001791	\$ 318,866.68
1490	2001792	\$ 200,000.00
1491	2001793	\$ 47,731.49
1492	2001794	\$ 206,455.89
1493	2001795	\$ 204,452.13
1494	2001800	\$ 250,000.00

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
721	2000857	\$ 94,816.43
722	2000858	\$ 112,168.71
723	2000859	\$ 110,187.60
724	2000861	\$ 6,044.16
725	2000862	\$ 78,653.90
726	2000863	\$ 496,139.71
727	2000864	\$ 40,653.28
728	2000865	\$ 98,608.22
729	2000866	\$ 73,794.66
730	2000867	\$ 3,196.78
731	2000869	\$ 118,501.10
732	2000870	\$ 89,452.06
733	2000871	\$ 44,726.03
734	2000872	\$ 142,909.58
735	2000873	\$ 90,767.12
736	2000874	\$ 5,529.50
737	2000875	\$ 15,206.83
738	2000876	\$ 10,734.24
739	2000877	\$ 14,915.62
740	2000878	\$ 99,748.51
741	2000879	\$ 145,468.77
742	2000880	\$ 221,602.28
743	2000881	\$ 107,728.59
744	2000882	\$ 18,312.47
745	2000883	\$ 183,376.72
746	2000884	\$ 74,404.39
747	2000885	\$ 46,607.47
748	2000886	\$ 8,127.76
749	2000887	\$ 8,050.67
750	2000888	\$ 3,595.97
751	2000889	\$ 44,867.53
752	2000890	\$ 102,462.40
753	2000891	\$ 123,100.00
754	2000892	\$ 93,643.83
755	2000893	\$ 107,451.78
756	2000895	\$ 738,287.66
757	2000896	\$ 21,531.80
758	2000897	\$ 98,397.26
759	2000898	\$ 45,597.57
760	2000899	\$ 17,928.77
761	2000900	\$ 73,972.60
762	2000901	\$ 3,278.28
763	2000903	\$ 5,610.52
764	2000904	\$ 44,970.66
765	2000905	\$ 22,479.44

#	Claim #	Net Loss
1495	2001801	\$ 94,958.88
1496	2001802	\$ 100,000.00
1497	2001803	\$ 58,145.89
1498	2001804	\$ 49,275.25
1499	2001805	\$ 154,629.36
1500	2001808	\$ 3,781,594.05
1501	2001809	\$ 290,917.80
1502	2001810	\$ 75,588.87
1503	2001811	\$ 108,856.08
1504	2001813	\$ 100,000.00
1505	2001814	\$ 58,782.83
1506	2001815	\$ 139,117.79
1507	2001816	\$ 113,554.93
1508	2001818	\$ 245,939.65
1509	2001819	\$ 26,709.21
1510	2001820	\$ 301,780.87
1511	2001821	\$ 128,403.00
1512	2001822	\$ 330,128.12
1513	2001824	\$ 110,000.00
1514	2001825	\$ 261,227.39
1515	2001826	\$ 69,501.89
1516	2001827	\$ 45,952.06
1517	2001828	\$ 396,842.71
1518	2001829	\$ 66,403.17
1519	2001830	\$ 172,134.25
1520	2001831	\$ 40,288.71
1521	2001832	\$ 261,227.39
1522	2001833	\$ 66,496.48
1523	2001834	\$ 1,030,078.02
1524	2001835	\$ 205,549.59
1525	2001837	\$ 47,704.17
1526	2001838	\$ 104,451.97
1527	2001839	\$ 72,252.60
1528	2001840	\$ 368,608.77
1529	2001841	\$ 195,579.19
1530	2001842	\$ 100,000.00
1531	2001843	\$ 425,562.75
1532	2001844	\$ 145,897.31
1533	2001845	\$ 245,178.08
1534	2001846	\$ 1,641,700.43
1535	2001849	\$ 48,246.04
1536	2001850	\$ 25,000.00
1537	2001851	\$ 25,000.00
1538	2001852	\$ 25,000.00
1539	2001853	\$ 25,000.00

**Exhibit B**  
**Aequitas Private Notes Litigation**  
**Net Losses of Eligible Class-Member Accounts**

#	Claim #	Net Loss
766	2000906	\$ 36,522.90
767	2000907	\$ 215,186.31
768	2000908	\$ 178,904.11
769	2000909	\$ 18,033.20
770	2000910	\$ 104,855.28
771	2000913	\$ 134,765.77
772	2000914	\$ 67,983.56
773	2000915	\$ 104,374.95
774	2000916	\$ 215,000.00

#	Claim #	Net Loss
1540	2001854	\$ 4,728.26
1541	2001861	\$ 979,958.33
1542	2001862	\$ 182,158.92
1543	2001863	\$ 78,435.61
1544	2001864	\$ 147,945.21
1545	2001865	\$ 47,479.44
1546	2001866	\$ 118,698.64
1547	2001867	\$ 172,739.72

# **Exhibit C**

**Exhibit C**  
**Aequitas Private Notes Litigation**  
**Estimated Net Settlement Fund**

Settlement Fund	\$ 234,613,000.01
Awarded Fees and Expenses	\$ (58,131,484.66)
Incentive Awards	\$ (80,000.00)
Tax Payments	\$ (33,000.00)
Epiq Estimated Fees and Expenses	\$ (160,145.08)
Interest	\$ 273,625.78
<b>Net Settlement Fund</b>	<b>\$ 176,481,996.05</b>