

HARD COPY

ORIGINAL

**UNITED STATES OF AMERICA
BEFORE THE
SECURITIES AND EXCHANGE COMMISSION**



In the Matter of :
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 :
 : **Administrative Proceeding**
ZPR INVESTMENT MANAGEMENT, INC., : **File No. 3-15263**
and MAX E. ZAVANELLI :
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 : **Respondents.** :
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**RESPONDENTS, ZPR INVESTMENT MANAGEMENT, INC.
AND MAX E. ZAVANELLI'S
REPLY BRIEF IN SUPPORT OF
MOTION FOR LEAVE TO ADDUCE ADDITIONAL EVIDENCE**

RESPONDENTS, ZPR INVESTMENT MANAGEMENT, INC. ("ZPRIM") and MAX E. ZAVANELLI (collectively referred herein as "Respondents"), by and through their undersigned counsel, and pursuant to Rule 452 of the Securities and Exchange Commission's Rules of Practice, file this reply brief in support of seeking of additional evidence and request the Commission to grant an order allowing the Respondents leave to supplement the record with important material evidence not in the record as stated below.

1. Under SEC Rule 452, a party may move for leave to submit additional evidence after showing "with particularity that such additional evidence is material and that there were reasonable grounds for failure to adduce such evidence previously." The Division of Enforcement objects to Respondents' Motion for Leave to Adduce Additional Evidence ("Motion") solely on the basis that it is not timely under Rule 452 since such a motion must be made "at any time prior to issuance of a decision by the Commission." Notwithstanding this

procedural requirement of Rule 452 governing the conduct of a party, the “Commission upon its motion” may move to adduce additional evidence at any time. *See* 17 C.F.R. §201.452. Additionally, under 15 USCS §78y(a)(5), the Respondents would be entitled to file the same motion and seek remand to the Commission to adduce additional evidence if there is an appeal of the Commission’s Opinion dated October 30, 2015 and subsequent Order Denying Respondents’ Motion for Reconsideration dated June 9, 2016. In order to promote judicial efficiency, the Commission should evaluate the merits of the Motion now rather than later. As previously noted, the Division of Enforcement did not address the merits of the Motion but simply asserted a technical argument that the Motion was not timely. More importantly, in the authorities cited by the Division of Enforcement, the Commission while holding the motions were not timely under Rule 452 **addressed the merits of the motions.** *See* In the Matter of Mitchell M. Maynard, et al., SEC Release No. 2901, IA -2901, 96 SEC Docket 1965, 2009 WL 2082893, (July 16, 2009) and Feeley & Willcox Asset Mgmt. Corp., 56 S.E.C. 1264, 1269 n. 17 (Oct. 9, 2009). As result, the Commission should consider the following arguments in granting the Motion.

2. The Commission entered an order on June 9, 2016, denying Respondents’ Motion for Reconsideration (“Order”). In the Order, the Commission concluded that “[t]he information Respondents **may** have provided in subsequent disclosures does not render the misstatements in the advertisements immaterial.” Order, p.8, *Emphasis Added*.

3. Respondents argued that evidence in the record demonstrated that after the advertisements were published, additional marketing materials were sent to prospective clients who had inquired about the advertisements in two separate tranches. The first set of information was sent by ZPRIM through a marketing package that contained performance data that

supplemented data as required by the GIPS Advertising Guidelines. The second set of information provided by ZPRIM included a GIPS compliant presentation, which contained the performance data required by the GIPS Advertising Guidelines.

4. Respondents argued that as a result of these additional disclosures “each and every prospective client of ZPRIM was given full and fair disclosure of all required performance results of the firm before they decided to select ZPRIM as their adviser.” Order, p.10. Footnote 51 of the Order at page 10, however, concluded that “Respondents do not explain, or cite to anything in the record to demonstrate, how they can be sure that no prospective clients decided to select ZPRIM on the basis of its false advertisements.”

5. ZPRIM retained records that reflect the names of prospective clients and dates when information was forwarded to them by the firm. More importantly, the records show the source of the referral such as an advertisement that each prospective investor was responding to and the types of disclosures and information that ZPRIM sent. These records have been summarized by the records custodian of the firm (the “Summary”) and show that no prospective clients who responded to any of the 2008 or 2011 advertisements at issue, ever became clients of ZPRIM. A copy of this Summary is again attached hereto as Exhibit 1 with an Attestation by the custodian of those records.¹ Respondents request that the Summary be admitted into evidence or alternatively, that testimony be permitted from the persons responsible for creating the Summary and transmitting the information to prospective clients.

6. This evidence would establish that investment performance data for ZPRIM was sent to prospective clients “immediately,” contrary to the conclusion reached in the Order, that

¹ The Summary was also filed by the Respondents on July 20, 2016, with the Motion for Leave to Adduce Additional Evidence. Due to the number of pages that comprise the Summary, Respondents shall file this Exhibit by Federal Express courier as opposed to filing it via facsimile.

there was “scant support in the record” for this assertion. *See* Order, p.10. These records, the Summary and testimony of the record’s custodian would provide additional proof of the assertion that information containing performance data of ZPRIM was sent “immediately” to each prospective client that responded to an advertisement ZPRIM published.

7. The Order also concluded the only evidence supporting the assertion that “ZPRIM consistently provided all information that it omitted from its advertisement” was a single email dated August 12, 2008.² The proffered Summary would provide further proof that supports the conclusion in the email and demonstrate that the flow of information to prospective clients was immediate. *See* Order, p.10.

8. Wherefore, Respondents request that an order be entered permitting the Summary to be entered into the record and to adduce additional testimony from the persons who prepared the Summary and transmitted the marketing materials. The evidence is material. Second, at the time of the hearing, Respondents did not have the benefit of Flannery v. SEC, 810 F.3d 1 (1st Cir. 2015), which held that “context makes a difference” and “thin materiality cannot support a finding of scienter.” If Respondents had the benefit of this decision, it would have been clear that all marketing materials and how the materials were delivered were clearly relevant since the “context makes a difference.” Thus, there is a reasonable ground for Respondents failing to adduce the Summary and additional testimony from ZPRIM’s record custodian at the hearing.

² In addition to the testimony provided at the hearing by David Sappir, Max Zavanelli, Ted Bauchle and others regarding the types of information that were provided to prospective investors, ZPRIM introduced Exhibits RX-10, 16, 18, and 20 to show the performance data being provided to prospective clients. Exhibit RX-11 was, therefore, not the only documentary evidence that Respondents relied on for this point, notwithstanding the Order’s conclusion at pg.10.

Respectfully submitted.

A handwritten signature in blue ink, appearing to read "Philip J. Snyderburn".

PHILIP J. SNYDERBURN, ESQUIRE

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2250 Lucien Way, Suite 140

Maitland, Florida 32751

Telephone: 407-647-2005

Facsimile: 407-647-1522

Attorney for Respondents

CERTIFICATE OF SERVICE

I hereby certify that a copy of the foregoing instrument was filed on this 1st day of August, 2016, via facsimile and that the original and three copies of the same was furnished by Federal Express, overnight delivery, to:

Securities and Exchange Commission
Office of the Secretary
100 F Street, N.E.
Washington, D.C. 20549-9303

and that a true and correct copy of the foregoing has been served via Federal Express, facsimile and e-mail on this date to:

Ms. Jill M. Peterson
Assistant Secretary
Securities and Exchange Commission
100 F Street, N.E.
Washington, D.C. 20549

The Honorable Cameron Elliot
Administrative Law Judge
Securities and Exchange Commission
100 F Street, N.E.
Washington, D.C. 20549

Robert K. Levenson, Esquire
Amie Riggle Berlin, Esquire
Senior Trial Counsel
Division of Enforcement
Securities and Exchange Commission
801 Brickell Avenue, Suite 1800
Miami, Florida 33131


K. MICHAEL SWANN, ESQUIRE

UNITED STATES OF AMERICA
BEFORE THE
SECURITIES AND EXCHANGE COMMISSION

RECEIVED
AUG 03 2016
OFFICE OF THE SECRETARY

In the Matter of

ZPR INVESTMENT MANAGEMENT, INC.,
and MAX E. ZAVANELLI

Respondents.

Administrative Proceeding
File No. 3-15263

ATTESTATION

I, Heidi Belcher, being duly sworn, attest that as the custodian of records for ZPR INVESTMENT MANAGEMENT, INC. ("ZPRIM"), the attached spread sheets contain data from ZPRIM records that have been summarized from the business records of the firm and which reflect when clients contacted the firm and when the information was sent to the clients. I further declare that under the heading "Sent out Brochures & Annual Disclosures," the disclosures included the GIPS compliant presentation. I hereby attest that the above statements are true and accurate to the best of my knowledge.

Further affiant sayeth not.

7-6-2016
Date

Heidi Belcher
HEIDI BELCHER

STATE OF FLORIDA)
 : ss
COUNTY OF Volusia)

The foregoing instrument was acknowledged before me this 6 day of July, 2016, by HEIDI BELCHER who is personally known to me or who has produced Driver's Lic. as identification and who did take an oath.

My Commission Expires

October 19, 2018

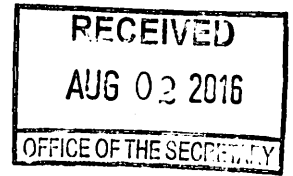
Michella Grace Dinsmore
NOTARY PUBLIC
Michella Grace Dinsmore
Print Name
State of Florida at Large



1545/MOTION42

EXHIBIT
1

UNITED STATES OF AMERICA
BEFORE THE
SECURITIES AND EXCHANGE COMMISSION



In the Matter of

**ZPR INVESTMENT MANAGEMENT, INC.,
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File No. 3-15263**

Due the extensive size of the spreadsheet, which covers four pages across. Each set has been numbered 1 of 4, 2 of 4, 3 of 4, and 4 of 4, consecutively.

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
2	Mr.	Matthew W.		Director of Investments					Atlanta	GA	
3	Mr.	Ramesh							Bakersfield	CA	
4	Mr. & Mrs.	Edward R.							Boston	MA	0
5	Mr.	Vidyadhar							Oakton	VA	
6	Mr.	Tony							St. Joseph	MO	
7	Mr.	Michael							Brooklyn	NY	
8	Mr.	Sean		Vice Pres		Portfolio Advisory			New York	NY	1
9	Mr.	Merv							Wilsonville	OR	
10	Mr.	George							Wadsworth	OH	
11	Ms.	Bonnie							New York	NY	
12	Mr.	Howard							Great Neck	NY	
13	Mr.	Tom							San Ramon	CA	
14	Mr.	Joseph							Scotsdale	AZ	
15	Mr.	George							Minneapolis	MN	
16	Mr.	Arthur							Hoboken	NJ	
17	Dr.	Jeff							New Orleans	LA	
18	Mrs.	Catherine A.							Princeton Junction	NJ	
19	Dr.	Kenneth							Gainesville	FL	
20	Mr.	Murray							Manalapan	NJ	
21	Mr.	Fred							Bethesda	MD	
22	Ms.	Jennifer							Southampton	NY	
23	Mr.	David							Miami	FL	
24	Mr.	Frank							Howard Beach	NY	
25	Mr.	John K.							Los Alamos	NM	
26	Mr.	Donald							New Hope	PA	
27	Mr.	David							Avon	CT	
28	Mr.	Bob							West Hemstead	NY	
29	Dr.	John							Memphis	TN	
30	Mr.	Sam							Santa Barbara	CA	
31	Mr.	Nick							Island Ranch	CO	
32	Mr.	Irving							Glenview	IL	
33	Ms.	Susie							Sarasota	FL	
34	Dr.	Stewart							Bainbridge Island	WA	
35	Mr.	Ronald							Sarasota	FL	
36	Ms.	Gretta Lee							Sarasota	FL	
37	Mr.	Charles							Sarasota	FL	
38	Mrs.	Lois							Sarasota	FL	
39	Mr. & Mrs.	Rudy							Longboat Key	FL	
40	Ms.	Wendy							Kansas City	MO	
41	Mr.	Joe							Los Alamos	NM	
42	Mr.	Ronald							Great Neck	NY	
43	Mr.	James W.							Rancho Cordova	CA	
44	Mr.	Lloyd							Corona Del Mar	CA	
45	Mr. & Mrs.	Roy							Newport Beach	CA	
46	Mr.	Jim							Flushing	NY	
47	Mr.	Gorden							Charles City	LA	
48	Mr.	Shelly							New York	NY	
49	Mr. & Mrs.	Thomas							Alamo	CA	
50	Mr.	Jim							Lebanon	OR	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
2	Matthew W.			David S.	2/9/2007
3	Ramesh			P&I ad	2/13/2007
4	Edward R.			David S.	2/14/2007
5	Vidyadhar			David S.	2/20/2007
6	Tony			Barron's #2 then David	2/23/2007
7	Michael			David S.	2/23/2007
8	Sean			Barrons #3	2/26/2007
9	Merv			Barrons #3	2/26/2007
10	George			Barron's #3	2/26/2007
11	Bonnie			David S.	3/1/2007
12	Howard			David S.	3/9/2007
13	Tom			David S.	3/12/2007
14	Joseph			David S.	3/14/2007
15	George			Barrons #4	3/19/2007
16	Arthur			Barrons #4	3/20/2007
17	Jeff			Barrons #4	4/3/2007
18	Catherine A.			David S.	4/3/2007
19	Kenneth			Money Manager	4/4/2007
20	Murray			Barrons #5	4/9/2007
21	Fred			Barrons #5	4/9/2007
22	Jennifer			Barrons #5	4/9/2007
23	David			Barrons #5	4/9/2007
24	Frank			Barrons #5	4/10/2007
25	John K.			Barrons #5	4/10/2007
26	Donald			Barrons #5	4/11/2007
27	David			██████████ Husband - IM Client	4/12/2007
28	Bob			David S.	4/12/2007
29	John			I think Barrons	4/12/2007
30	Sam			Barrons #5	4/12/2007
31	Nick			Friend of IM client ██████████	4/16/2007
32	Irving			IR Recipient - contact ZPRIM referred the call to ZPRCM on 4/16/2007	4/16/2007
33	Susie			Family of IM client ██████████	4/16/2007
34	Stewart			Barrons #5	4/16/2007
35	Ronald			Barrons #5	4/16/2007
36	Gretta Lee			Family of IM client ██████████	4/16/2007
37	Charles			Barrons #5	4/18/2007
38	Lois			Barrons#5	4/18/2007
39	Rudy			David S.	4/19/2007
40	Wendy			David S.	4/20/2007
41	Joe			David S.	5/2/2007
42	Ronald			David S.	5/2/2007
43	James W.			David S.	5/14/2007
44	Lloyd			██████████ Son	5/14/2007
45	Roy			IBD ad	5/15/2007
46	Jim			US News	5/21/2007
47	Gorden			US News	5/21/2007
48	Shelly			US News	5/22/2007
49	Thomas			US News	5/24/2007
50	Jim			US News	5/24/2007

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
2	Matthew W.	2/9/2007			
3	Ramesh	2/13/2007	3/9/2007		
4	Edward R.	2/14/2007			
5	Vidyadhar	2/21/2007	3/1/2007		
6	Tony	3/1/2007			
7	Michael	2/23/2007	2/23/2007		
8	Sean	3/1/2007			
9	Merv	3/1/2007	3/1/2007		
10	George	3/1/2007	3/1/2007		
11	Bonnie	5 each - 3/2/2007			
12	Howard	Waiting for David to send name of partnership. Done - 3/14.2007	Express mailed - 3/14/2007		
13	Tom	3/13/2007			
14	Joseph	3/15/2007	3/15/2007		
15	George	3/19/2007			
16	Arthur	3/21/2007			
17	Jeff	4/4/2007	4/4/2007		
18	Catherine A.	4/3/2007	4/3/2007		
19	Kenneth	4/9/2007	4/9/2007		
20	Murray	4/9/2007	4/9/2007		
21	Fred	4/9/2007	4/9/2007		
22	Jennifer	4/10/2007	4/10/2007		
23	David	4/10/2007	4/10/2007		
24	Frank	4/10/2007			
25	John K.	4/10/2007	4/10/2007		
26	Donald	4/11/2007	4/11/2007		
27	David	4/12/2007			
28	Bob	4/13/2007			
29	John	4/13/2007	4/13/2007 - Sent out correct GF on 5/10/2007		
30	Sam	4/13/2007			
31	Nick	4/17/2007			
32	Irving	4/17/2007	4/17/2007		
33	Susie	4/17/2007	4/17/2007		
34	Stewart	4/17/2007	4/17/2007		
35	Ronald	4/17/2007	4/17/2007		
36	Gretta Lee	4/17/2007	4/17/2007		
37	Charles	4/18/2007	4/23/2007-sent out updated agreement (Trust)		
38	Lois	4/18/2007 - C. Trust 7/9/07	5/9/07 - Sent out agreements (Trust)		
39	Rudy	4/23/2007	4/23/2007 - Sent out new forms on 5/9/2007 with GF as broker 4/23/2007 - sent out new forms on 5/3/2007		
40	Wendy	4/23/2007	with GF as broker		
41	Joe	5/3/2007	5/3/2007		
42	Ronald	5/7/2007	5/7/2007		
43	James W.	5/16/2007	5/14/2007		
44	Lloyd	5/16/2007	5/14/2007		
45	Roy	5/16/2007	5/16/2007		
46	Jim	5/22/2007			
47	Gorden	5/22/2007	5/22/2007		
48	Shelly	5/23/2007			
49	Thomas	5/29/2007	5/29/2007		
50	Jim	5/24/2007			

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
2	Matthew W.			
3	Ramesh		3/9/2007	Will need to send GIPS disclosure presentation when we get new paperwork as of 2006
4	Edward R.			
5	Vidyadhar		2/27/2007	
6	Tony			
7	Michael		2/24/2007	
8	Sean			
9	Merv		3/5/2007	3/6/07 decided he wanted to open a trust account.
10	George		3/1/2007	
11	Bonnie			
12	Howard		Ted notified UBS on	Will need to send GIPS disclosure presentation when we get new paperwork as of 2006
13	Tom			Will need to send GIPS disclosure presentation when we get new paperwork as of 2006
14	Joseph		3/15/2007	Will need to send GIPS disclosure presentation when we get new paperwork as of 2006
15	George			
16	Arthur			
17	Jeff		4/4/2007	Will need to send GIPS disclosure presentation when we get new paperwork as of 2006
18	Catherine A.		4/3/2007	Will need to send GIPS disclosure presentation when we get new paperwork as of 2006
19	Kenneth		4/9/2007	Will need to send GIPS disclosure presentation when we get new paperwork as of 2006
20	Murray		4/9/2007	Sent GIPS and two green presentation books on 5-7-07
21	Fred		4/9/2007	Will need to send GIPS disclosure presentation when we get new paperwork as of 2006
22	Jennifer		4/10/2007	Resent another solications letter and UBS authorization letter of J. [REDACTED] account on 5/23/2007
23	David		4/10/2007	Sent Presentaions-June 7 2007 - Will be meeting with Max and David on 6/19/2007
24	Frank			
25	John K.		4/10/2007	
26	Donald		4/11/2007	
27	David			Per David's request I sent 10 of his cards and 10 each IM & Global Brochures
28	Bob			
29	John	5/9/2007	4/13/2007 - VOID	Sent him presentaions via also. MZ met with him in LA on 4/21/2007. MZ and Dr. [REDACTED] in continued contact. Heidi B. is keeping track of the many items MZ is sending him.
30	Sam			
31	Nick			
32	Irving		4/17/2007	
33	Susie		4/17/2007	
34	Stewert		4/17/2007	
35	Ronald		4/17/2007	
36	Gretta Lee		4/17/2007	
37	Charles		4/23/2007	Paperwork send via DHL
38	Lois	7/5/2007	4/23/2007- VOID	
39	Rudy	5/10/2007	4/23/2007 - VOID	
40	Wendy	Grace was in contact on 5/2/07 UBS paperwork is void account will be	4/23/2007	
41	Joe	5/2/2007		
42	Ronald	5/3/2007		
43	James W.	5/14/2007		
44	Lloyd			
45	Roy	5/15/2007		
46	Jim			
47	Gorden	Will document when I find out		
48	Shelly	Grace has their ad date as 7/26/07		Sent two green presentation books - June 5 2007
49	Thomas	5/24/2007		
50	Jim			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
51	Mr.	Gerard J.							Sycamore	IL	
52	Mr. & Mrs.	Jamie							Charlotte	NC	
53	Mr. & Mrs.	Naba							Chatham	NJ	
54	Mr. & Mrs.	Robert							Davidsville	PA	
55	Mr.	Richard L.							Cleveland	OH	
56	Mr.	Richard							Tryon	NC	
57	Mr.	Donald						#4A	San Diego	CA	
58	Mr.	George							Ondo Beach	CA	
59	Mr.	Werner							Wauwatosa	WI	
60	Dr.	Sinha S.							Oak Brook	IL	
61	Mr.	Seth						Apt 1722	New York	NY	
62	Mr.	Mel							Parsippany	NJ	
63	Mr. & Mrs.	Deepak							Sugar Land	TX	
64	Mr.	Larry							Clearfield	PA	
65	Ms.	Angie							Dyer	IL	
66	Mr.	Greg							Americus	GA	
67	Mr.	Raymond							Little Rock	AK	
68	Mr.	James							Ocala	FL	
69	Mr.	M.W.							Orleans	MA	
70	Mr.	H.D.							Destin	FL	
71	Mr.	Thomas							E Islip	NY	
72	Mr.	Tim Salton							Ft. Collins	CO	
73	Mr.	Russ						Circle South	Clearwater	FL	
74	Mr.	Gilbert							N. Woodmere	NY	
75	Mr.	Chuck							McKinney	TX	
76	Mr.	Richard							Houston	TX	
77	Ms.	Mae							Chicago	IL	
78	Mr.	Keith							Crown Point	IN	
79	Mr.	Johnny							Liburn	GA	
80	Mr. & Mrs.	Martin							Winter Haven	FL	
81	Dr.	Piyush							Chatsworth	CA	
82	Mr.	Jerome							Amagansatt	NY	
83	Mr.	Thomas							Alamo	CA	
84	Mr.	Carl							Middleton	WI	
85	Mr.	Bob							El Dorodo	AR	
86	Mr.	Mark							Lemont	IL	
87	Mr.	Patrick							San Diego	CA	
88	Mr.	David							Santa Monica	CA	
89	Mr.	Mark							Chesterfield	MO	
90	Mr. & Mrs	Ha							Elizabethtown	KY	
91	Mr.	Blaine							Indianapolis	PA	
92	Mr.	Norwood							Burgaw	NC	
93	Mr.	James							Whitstone	NY	
94	Mr.	Albert							Beltsville	MD	
95	Mr.	Jay							Indianapolis	IN	
96	Mr.	Kiran							Flushing	NY	
97	Mr.	Greg							Weston	MA	
98	Mr.	Stephen							Bellingham	WA	
99	Mr.	Don							Mentor	OH	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
51	Gerard J.			US News	5/24/2007
52	Jamie			US News	5/24/2007
53	Naba			US News	5/25/2007
54	Robert			US News	5/25/2007
55	Richard L.			US News	5/30/2007
56	Richard			US News	5/31/2007
57	Donald			US News	6/1/2007
58	George			US News	6/2/2007
59	Werner			US News	6/4/2007
60	Sinha S.			US News	6/5/2007
61	Seth			Smart Money	6/7/2007
62	Mel			Smart Money	6/8/2007
63	Deepak			Smart Money	6/11/2007
64	Larry			Smart Money	6/11/2007
65	Angie			Smart Money	6/11/2007
66	Greg			Smart Money	6/13/2007
67	Raymond			Smart Money	6/13/2007
68	James			Smart Money	6/13/2007
69	M.W.			Smart Money	6/13/2007
70	H.D.			Smart Money	6/13/2007
71	Thomas			Smart Money	6/13/2007
72	Tim Salton			Smart Money	6/13/2007
73	Russ			Smart Money	6/13/2007
74	Gilbert			Smart Money	6/14/2007
75	Chuck			Smart Money	6/14/2007
76	Richard			Smart Money	6/14/2007
77	Mae			Smart Money	6/18/2007
78	Keith			Smart Money	6/18/2007
79	Johnny			Smart Money	6/19/2007
80	Martin			Smart Money	6/20/2007
81	Piyush			Smart Money	6/20/2007
82	Jerome			Smart Money	6/21/2007
83	Thomas			David S.	6/21/2007
84	Carl			Smart Money	6/21/2007
85	Bob			Smart Money	6/21/2007
86	Mark			David S.	6/22/2007
87	Patrick			David S.	6/27/2007
88	David			David S.	6/27/2007
89	Mark			Smart Money	6/28/2007
90	Ha			Money Manager Review	7/2/2007
91	Blaine			David S.	7/5/2007
92	Norwood			Smart Money 2	7/9/2007
93	James			Smart Money 2	7/9/2007
94	Albert			Barrons 6	7/9/2007
95	Jay			Smart Money 2	7/9/2007
96	Kiran			Barrons 6	7/10/2007
97	Greg			Barrons 6 or Smart Money 2	7/10/2007
98	Stephen			Smart Money 2	7/10/2007
99	Don			Barrons 6 or Smart Money 2	7/11/2007

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
51	Gerard J.		5/24/2007	6/6/2007 - sent new contract without margin on 7/24/07	
52	Jamie		5/29/2007	5/29/2007	
53	Naba		5/29/2007	5/29/2007	
54	Robert		5/29/2007	5/29/2007	
55	Richard L.		5/30/2007	7/9/2007 resent via dhl on 9/10/2007	
56	Richard		5/31/2007		
57	Donald		6/4/2007	6/4/2007	
58	George		6/5/2007	6/7/2007	
59	Werner	6/6/2007-resent 6/27/07		6/6/2007- resent 6/27/07	
60	Sinha S.		6/7/2007	6/7/2007	
61	Seth		6/13/2007	6/13/2007	
62	Mel		6/8/2007		
63	Deepak		6/13/2007	6/13/2007	
64	Larry		6/13/2007		
65	Angie		6/11/2007		
66	Greg		6/13/2007		
67	Raymond		6/13/2007		
68	James		6/13/2007		
69	M.W.		6/13/2007		
70	H.D.		6/13/2007		
71	Thomas		6/13/2007		
72	Tim Salton		6/13/2007		
73	Russ		6/13/2007		
74	Gilbert		6/14/2007	7/13/2007	
75	Chuck		6/14/2007		
76	Richard		6/15/2007	6/15/2007	
77	Mae		6/19/2007		
78	Keith	7/6/07 - info was lost then found			
79	Johnny		6/25/2007	6/25/2007	
80	Martin		6/25/2007	6/25/2007	
81	Piyush	6/21/2007 resent info to work address on 7/5/07			
82	Jerome		6/21/2007		
83	Thomas		6/25/2007	6/25/2007	
84	Carl		6/21/2007		
85	Bob	6/21/2007 - sent again 7/9/07		7/9/2007	
86	Mark		6/25/2007	10/26/2007	
87	Patrick		6/27/2007		
88	David		6/27/2007		
89	Mark		6/29/2007		
90	Ha		7/5/2007	7/13/2007	
91	Blaine		7/9/2007	7/9/2007	
92	Norwood		7/9/2007		
93	James		7/9/2007		
94	Albert		7/9/2007		
95	Jay		7/9/2007		
96	Kiran		7/12/2007		
97	Greg		7/12/2007	7/12/2007	
98	Stephen		7/12/2007	7/12/2007	
99	Don		7/12/2007		

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
51	Gerard J.	6/5/2007		
52	Jamie	5/24/2007		
53	Naba	5/25/2007		
54	Robert	5/25/2007		
55	Richard L.	6/1/2007		Delay in mailouts was due to waiting on Grace for proper names of accounts (as of 7/9/07) I still have not recv's name of his partnership so I just sent out papers for Individual (account not funded yet either)
56	Richard			
57	Donald	6/1/2007		
58	George	6/6/2007		
59	Werner	6/5/2007 re added 6/25/07		
60	Sinha S.	6/6/2007		
61	Seth	6/8/2007		
62	Mel			
63	Deepak	6/11/2007		
64	Larry			
65	Angie			
66	Greg			
67	Raymond			
68	James			
69	M.W.			
70	H.D.			
71	Thomas			
72	Tim Salton			
73	Russ			
74	Gilbert	7/11/2007		Sent 2 green presentation books on 6/27/07 per David S.'s request.
75	Chuck			
76	Richard	6/15/2007		
77	Mae			
78	Keith			
79	Johnny			
80	Martin			
81	Piyush			
82	Jerome			
83	Thomas	6/25/2007		
84	Carl			
85	Bob	7/5/2007		
86	Mark	10/24/2007		
87	Patrick			Sent 2 green presentation books
88	David			Sent 2 green presentation books
89	Mark			
90	Ha	7/11/2007		
91	Blaine	7/5/2007		
92	Norwood			
93	James			
94	Albert			
95	Jay			
96	Kiran			
97	Greg	7/10/2007		
98	Stephen	7/10/2007		
99	Don			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
100	Mr. & Mrs.	Derek							Monterey Park	CA	
101	Dr.	Jeffrey							Knoxville	TN	
102	Mr.	Henry							Mars Hill	NC	
103	Mr.	Sanjay							Seacaucus	NJ	
104	Mr.	Matthew							Charlotte	NC	
105	Mr.	Stephen D.							Prospect	KY	
106									Franklin	MI	
107	Mr.	Richard							Rolling	MT	
108	Mr.	Robert							Briarcliff	NY	
109	Mr.	Yuling							Washington Crossing	PA	
110	Mr.	Walter							Surfside Beach	SC	
111	Mr.	Dan							Chapel Hill	NC	
112	Mr.	Dan							Rancho Mirage	CA	
113	Mr.	Frank							Laguna Woods	CA	
114	Mr.	Larry							West Liberty	IL	
115	Mr.	Dick							Fairport	NY	
116	Mr.	Shakti							Cerritos	CA	
117	Mr.	Jim							Oconomowoc	WI	
118	Mr.	Matthew							Katy	TX	
119	Mr.	Jean-Marc							Aliso Viejo	CA	
120	Mr.	Michael							Greenwich	CT	
121	Mr.	Mike							Ozark	MO	
122	Mr.	Mark							Alexandria Bay	NY	
123	Mr. & Mrs.	Patrick							Fergus Falls	MN	
124	Mr.	Patrick							Salem	SC	
125	Mr.	Edward							Youngstown	FL	
126	Mr.	Art							Plainfield	NJ	
127	Mr.	James							Marshfield	WI	
128	Mr.	David							Burbank	CA	
129	Dr.	Clemens							Fort Lee	NJ	
130	Mr.	Kayel							Oyster Bay	NY	
131	Mr.	Doug							Hillsborough	NJ	
132	Mr.	Phil							Baytown	TX	
133	Mr.	Bruce							Oxnard	CA	
134	Mr.	Gary							Falmouth	ME	
135	Mr.	Donald							Washington	DC	
136	Mr.	Kenneth							Gwyedd Valley	PA	
137	Mr.	Max						Apt 12	Surf Side	FL	
138	Mr.	Robert							Friday Harbor	WA	
139	Mr.	John							Elizabethtown	KY	
140	Mr.	Carrell							Towson	MD	
141	Mr.	Steve							Santa Cruz	Bovlivia	
142	Mr. & Mrs.	Nenad							Township of Washington	NJ	
143	Mr.	Wing							Orlando	FL	
144	Mr.	Larry							Youngstown	NY	
145	Mr.	Roger B							Colorado Springs	CO	
146	Mr.	Michael						8th Floor	New York	NY	
147	Mr.	Jack							Asotin	WA	
148	Mr.	Paul							Tacoma	WA	
149	Dr.	Bernard							Richmond	CA	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
100	Derek			Smart Money	7/11/2007
101	Jeffrey			contacted Ted via email	7/11/2007
102	Henry			Barrons 6 or Smart Money 2	7/11/2007
103	Sanjay			Barrons 6 or Smart Money 2	7/11/2007
104	Matthew			Barrons 6 or Smart Money 2	7/11/2007
105	Stephen D.			Smart Money 2	7/11/2007
106				Yaching	7/12/2007
107	Richard			Barrons 6 or Smart Money 2	7/13/2007
108	Robert			Barrons 6 or Smart Money 2	7/13/2007
109	Yuling			Barrons 6 or Smart Money 2	7/13/2007
110	Walter			Smart Money 2	7/16/2007
111	Dan			Barrons 6 or Smart Money 2	7/16/2007
112	Dan			Barrons 6 or Smart Money 2	7/17/2007
113	Frank			Smart Money 2	7/17/2007
114	Larry			Smart Money 2	7/17/2007
115	Dick			Smart Money 2	7/17/2007
116	Shakti			Barrons 6 or Smart Money 2	7/18/2007
117	Jim			Barrons 6 or Smart Money 2	7/18/2007
118	Matthew			not sure?/David	7/18/2007
119	Jean-Marc			Barrons 6 or Smart Money 2	7/18/2007
120	Michael			David S.	7/23/2007
121	Mike			email came to Ted	7/23/2007
122	Mark			not sure?/David	7/24/2007
123	Patrick			not sure?/David	7/25/2007
124	Patrick			US World and News	7/31/2007
125	Edward			US World and News	7/31/2007
126	Art			US World and News	8/1/2007
127	James			US World and News	8/2/2007
128	David			US World and News	8/2/2007
129	Clemens			US World and News	8/7/2007
130	Kayel			US World and News	8/8/2007
131	Doug			US World and News	8/8/2007
132	Phil			US World and News	8/13/2007
133	Bruce			US World and News	8/13/2007
134	Gary			US World and News	8/13/2007
135	Donald			US World and News	8/13/2007
136	Kenneth			US World and News	8/20/2007
137	Max			US World and News	8/20/2007
138	Robert			US World and News	8/20/2007
139	John			Contacted Ted via his email	8/21/2007
140	Carrell			US World and News	8/22/2007
141	Steve			not sure?/David	8/24/2007
142	Nenad			Barrons #3	9/5/2007
143	Wing			Smart Money #3	9/11/2007
144	Larry			Smart Money #3	9/11/2007
145	Roger B			Smart Money #3	9/11/2007
146	Michael			Smart Money #3	9/12/2007
147	Jack			Smart Money #3	9/12/2007
148	Paul			Smart Money #3	9/12/2007
149	Bernard			Smart Money #3	9/12/2007

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
100	Derek		7/13/2007	7/13/2007	
101	Jeffrey		7/12/2007	7/12/07 - sent him a sample contract per his request	
102	Henry		7/12/2007	7/19/2007	
103	Sanjay		7/12/2007		
104	Matthew		7/12/2007		
105	Stephen D.		7/13/2007	7/13/2007	
106		7/12/2007, resent more info on 7/26/07		7/26/2007	
107	Richard		7/17/2007	7/17/2007	
108	Robert		7/17/2007	7/17/2007	
109	Yuling		7/17/2007	7/17/2007	
110	Walter		7/16/2007		
111	Dan		7/17/2007	7/17/2007	
112	Dan		7/17/2007		
113	Frank		7/17/2007		
114	Larry		7/17/2007		
115	Dick		7/18/2007		
116	Shakti		7/18/2007		
117	Jim		7/19/2007		
118	Matthew		7/25/2007	7/25/2007	
119	Jean-Marc		7/18/2007		
120	Michael		7/24/2007		
121	Mike		7/24/2007		
122	Mark		7/24/2007		
123	Patrick		7/26/2007	7/26/2007	
124	Patrick		8/3/2007	10/15/2007	
125	Edward		8/13/2007	8/13/2007 & 8/23/07 for IRA Account	
126	Art		8/3/2007		
127	James		8/13/2007	8/13/2007	
128	David		8/3/2007		
129	Clemens		8/13/2007	8/13/2007	
130	Kayel		8/10/2007		
131	Doug		8/13/2007	8/13/2007	
132	Phil		8/14/2007		
133	Bruce		8/14/2007		
134	Gary		8/14/2007		
135	Donald		8/14/2007		
136	Kenneth		8/23/2007	8/23/2007	
137	Max		8/23/2007	8/23/2007	
138	Robert		8/23/2007	8/23/2007	
139	John		8/23/2007		
140	Carrell		8/23/2007		
141	Steve		8/27/2007	8/28/2007	
142	Nenad		9/6/2007	9/28/2007	
143	Wing		9/11/2007	9/28/2007	
144	Larry		9/11/2007		
145	Roger B		9/11/2007	11/1/2007	
146	Michael		9/12/2007		
147	Jack	10/2/07 (due to Grace not telling me!)		10/2/2007	
148	Paul		9/12/2007		
149	Bernard		9/12/2007		

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
100	Derek	7/11/2007		
101	Jeffrey			
102	Henry	7/16/2007		
103	Sanjay			
104	Matthew			
105	Stephen D.	7/11/2007		
106		7/18/2007		
107	Richard	7/13/2007		
108	Robert	7/13/2007		
109	Yuling	7/13/2007		
110	Walter			
111	Dan	7/16/2007		
112	Dan			
113	Frank			
114	Larry			
115	Dick			
116	Shakti			
117	Jim			
118	Matthew	7/28/2007		
119	Jean-Marc			
120	Michael			
121	Mike			
122	Mark			
123	Patrick	7/25/2007		
124	Patrick	10/11/2007		
125	Edward	7/31/2007 & 8/20/07 for IRA Account		
126	Art			
127	James	8/2/2007		
128	David			
129	Clemens	8/7/2007		
130	Kayel			
131	Doug	8/8/2007		
132	Phil			
133	Bruce			
134	Gary			
135	Donald			
136	Kenneth	8/20/2007		
137	Max	8/20/2007		
138	Robert	8/20/2007		
139	John			
140	Carrell			
141	Steve	8/28/2007		Everything sent from us and grace via email due to being in Bolivia
142	Nenad	9/27/2007		
143	Wing	9/27/2007		
144	Larry			
145	Roger B	10/28/2007		
146	Michael			
147	Jack	9/12/2007		
148	Paul			
149	Bernard			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
150	Mr.	William G.							Rock Hill	SC	
151	Mr.	Geoffery							North Hampton	NH	
152	Dr.	Krishan							Radford	VA	
153	Mr. & Mrs.	Lawrence							North Port	NY	
154	Mr.	Alan							Calabasas	CA	
155	Mr.	Stan							West Hills	CA	
156	Mr.	Stephen							San Jose	CA	
157	Mr.	Robert							Mamaroneck	NY	
158	Mr.	Bernard							Denver	CO	
159	Mr. & Mrs.	Gerald							Bensalem	PA	
160	Mr.	Nasser							Pinellas Park	FL	
161	Mr.	James R.							Grossepoint Woods	MI	
162	Mr.	Sie							Herndon	VA	
163	Mr.	Don							Shoreline	WA	
164	Mr. & Mrs.	Martin							Happauge	NY	
165	Mr.	Tiger							Houston	TX	
166	Mr.	James							Dawville	PA	
167	Mr.	Ken							Salon	OH	
168	Mr.	Randy							Carlsborg	WA	
169	Mr.	Jeff							Skylesville	MD	
170	Mr.	David							Newport Beach	CA	
171		Cosmin				Brownson, Rehum, & Foxworth Inc			Chicago	IL	
172	Mr.	Leon							Fort Lee	NJ	
173	Mr.	Bernard							Newport News	VA	
174	Dr.	Vinu							Dayton	OH	
175	Mrs.	Smita							Dayton	OH	
176	Mr.	Vincent							Hinsdale	IL	
177	Mr.	Jonathon							Norwood	NJ	
178	Mr.	Bob							Norris City	IL	
179	Mr.	Jim							Federal Way	WA	
180	Mr.	Richard							Seattle	WA	
181	Mr.	John							Parrish	FL	
182	Ms.	Carole							New York	NY	
183	Mr.	Paul							Crystal River	FL	
184	Mr.	Steve							Ambler	PA	
185	Mr.	Paul							Pointe Verde Beach	FL	
186	Mr.	Robert							Ormond Beach	FL	
187	Mr. & Mrs.	James							New Smyrna Beach	FL	
188	Mr. & Mrs.	Adekola							Manlius	NY	
189	Mr.	Todd							Bolton	CT	
190	Mr.	Doron							Westborough	MA	
191	Mr.	Peter							Jacksonville	FL	
192	Mr.	M.B.							Largo	FL	
193	Mr.	John							East Longmeadow	MA	
194	Mr.	J. Struthers							Vero Beach	FL	
195	Mr. & Mrs.	Richard J.							Donlap	IL	
196	Mr.	Michael							Greenville	MS	
197	Mr.	Stuart							Copiague	NY	
198	Mr.	C. Albert							Dallas	TX	
199	Mr.	Allen							Whitehouse Station	NJ	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
150	William G.			Smart Money #3	9/12/2007
151	Geoffery			US World and News	9/12/2007
152	Krishan			Smart Money #3	9/12/2007
153	Lawrence			US World and News	9/12/2007
154	Alan			Smart Money #3	9/13/2007
155	Stan			Smart Money #3	9/18/2007
156	Stephen			Smart Money #3	9/18/2007
157	Robert			Smart Money #3	9/19/2007
158	Bernard			Smart Money #3	9/20/2007
159	Gerald			Smart Money #3	9/20/2007
160	Nasser			Smart Money 33	9/21/2007
161	James R.			Smart Money #3	9/24/2007
162	Sie			Smart Money #3	9/24/2007
163	Don			Smart Money #3	9/25/2007
164	Martin			Smart Money #3	9/26/2007
165	Tiger			Smart Money #3	9/26/2007
166	James			Smart Money #3	9/28/2007
167	Ken			Smart Money #3	9/28/2007
168	Randy			Smart Money #3	10/1/2007
169	Jeff			Smart Money #3	10/1/2007
170	David			Smart Money #3	10/2/2007
171	Cosmin			contacted Amy via her email	10/4/2007
172	Leon			Smart Money #3	10/4/2007
173	Bernard			Smart Money #4	10/4/2007
174	Vinu			Smart Money #4	10/5/2007
175	Smita			Smart Money #4	10/5/2007
176	Vincent			Smart Money #4	10/8/2007
177	Jonathon			Smart Money #4	10/8/2007
178	Bob			Smart Money #4	10/8/2007
179	Jim			Smart Money #4	10/8/2007
180	Richard			Smart Money #4	10/8/2007
181	John			Smart Money #5	10/9/2007
182	Carole			Smart Money #4	10/9/2007
183	Paul			Smart Money #5	10/9/2007
184	Steve			Smart Money #4	10/9/2007
185	Paul			Smart Money #5	10/9/2007
186	Robert			Smart Money #5	10/9/2007
187	James			Smart Money #5	10/9/2007
188	Adekola			Smart Money #5	10/10/2007
189	Todd			Smart Money #5	10/10/2007
190	Doron			Smart Money #5	10/11/2007
191	Peter			Smart Money #5	10/11/2007
192	M.B.			Smart Money #5	10/12/2007
193	John			Smart Money #5	10/12/2007
194	J. Struthers			Smart Money #5	10/14/2007
195	Richard J.			Smart Money #5	10/14/2007
196	Michael			Smart Money #5	10/14/2007
197	Stuart			Smart Money #5	10/14/2007
198	C. Albert			Smart Money #5	10/14/2007
199	Allen			Smart Money #5	10/14/2007

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
150	William G.		9/12/2007	9/18/2007	
151	Geoffery		9/13/2007	9/13/2007	
152	Krishan		9/12/2007		
153	Lawrence		9/13/2007	9/13/2007	
154	Alan		9/14/2007	9/28/2007	
155	Stan		9/18/2007		
156	Stephen		9/18/2007		
157	Robert		9/24/2007	9/24/2007	
158	Bernard		9/24/2007	9/24/2007	
159	Gerald		9/24/2007	9/20/2007	
160	Nasser		9/24/2007		
161	James R.		9/24/2007	10/5/2007	
162	Sie		9/24/2007		
163	Don		9/26/2007		
164	Martin		9/28/2007	9/28/2007 resent contract 12/5/07	
165	Tiger		9/28/2007	9/28/2007	
166	James		10/2/2007		
167	Ken		10/2/2007		
168	Randy		10/2/2007	1/14/2008	
169	Jeff	10/5/07 (waited until 10/9/07 to send due to Jeff being on vacation) sent via DHL.	1/14/08 - sent via email		
170	David		10/5/2007		
171	Cosmin		10/5/2007		
172	Leon		10/5/2007		
173	Bernard		10/15/2007	10/15/2007	
174	Vinu		10/9/2007	10/26/2007	
175	Smita		10/9/2007	10/26/2007	
176	Vincent		10/9/2007	11/1/2007	
177	Jonathon		10/9/2007		
178	Bob		10/9/2007		
179	Jim		10/9/2007	10/26/2007	
180	Richard		10/9/2007		
181	John		10/15/2007	10/15/2007	
182	Carole		10/9/2007	10/26/2007	
183	Paul		10/19/2007	10/26/2007	
184	Steve		10/9/2007		
185	Paul		10/15/2007	10/15/2007	
186	Robert		10/15/2007	10/15/2007	
187	James		10/15/2007	10/15/2007	
188	Adekola		10/15/2007	10/15/2007	
189	Todd		10/15/2007	10/15/2007	
190	Doron		10/15/2007	10/15/2007	
191	Peter		10/17/2007		
192	M.B.		10/17/2007		
193	John		10/17/2007		
194	J. Struthers		10/18/2007	10/18/2007	
195	Richard J.	10/18/2007 - resent 12/12/07	10/18/2007 - resent 12/12/07		
196	Michael		10/18/2007	10/18/2007	
197	Stuart		10/18/2007	10/18/2007	
198	C. Albert		10/18/2007	10/18/2007	
199	Allen		10/18/2007	10/18/2007	

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
150	William G.	9/14/2007		
151	Geoffery	9/12/2007		
152	Krishan			
153	Lawrence	9/12/2007		
154	Alan	9/26/2007		
155	Stan			
156	Stephen			
157	Robert	9/19/2007		
158	Bernard	9/20/2007		
159	Gerald	9/20/2007		
160	Nasser			
161	James R.	10/3/2007		
162	Sie			
163	Don			
164	Martin	9/26/2007		
165	Tiger	9/26/2007		
166	James			
167	Ken			
168	Randy	1/10/2008		
169	Jeff	1/11/08 - sent via email		
170	David			
171	Cosmin		Also sent both green presentation books.	
172	Leon			
173	Bernard	10/4/2007		
174	Vinu	10/23/2007		
175	Smita	10/23/2007		
176	Vincent	10/31/2007		
177	Jonathon			
178	Bob			
179	Jim	10/19/2007		
180	Richard			
181	John	10/9/2007		
182	Carole	10/24/2007		
183	Paul	10/23/2007		
184	Steve			
185	Paul	10/9/2007		
186	Robert	10/9/2007		
187	James	10/9/2007		
188	Adekola	10/10/2007		
189	Todd	10/10/2007		
190	Doron	10/11/2007		
191	Peter			
192	M.B.			
193	John			
194	J. Struthers	10/14/2007		
195	Richard J.	10/14/2007 - resent 12/12/07		
196	Michael	10/14/2007		
197	Stuart	10/14/2007		
198	C. Albert	10/14/2007		
199	Allen	10/14/2007		

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
200	Mr.	Tai							Dublin	CA	
201	Mr. & Mrs.	William P.							Wilmette	IL	
202	Mr.	Carl							Rice	MN	
203	Mr.	John							Merced	CA	
204	Dr.	Joseph							McComb	MS	
205	Mr.	Mark							Lawrence	KA	
206	Mr. & Mrs.	Mike							Gallant	AL	
207	Mr.	Leonard							Los Angeles	CA	
208	Mr.	Sherrick							Bend	OR	
209	Mr.	Rick							Willow Grove	PA	
210	Mr.	John							Chicago	IL	
211	Mr.	Cliff							Princeton Junction	NJ	
212	Mr.	Matthew							Platte Center	NE	
213	Mr.	Wayne							Oscoda	MI	
214	Mr.	Charles A.							Washington	DC	
215	Mr.	John							Newport Beach	CA	
216	Mr.	Robert							Ewart	IL	
217	Mr.	Dennis							Colebrook	CT	
218	Mr.	Roger							Albuquerque	NM	
219	Mr.	Alan							Ft. Meyers	FL	
220	Mr.	Arthur							Aurora	IL	
221	Mr.	J.W.							Blowing Rock	NC	
222	Mr.	Donald							St. Charles	IL	
223	Mr.	Dean							Mokena	IL	
224	Mr.	Jim							Washington	NC	
225	Mr.	Dennis							Glenwood Landing	NY	
226	Mr.	Henry							Jamaica	NY	
227	Mr.	Philip							Roy	UT	
228	Ms.	Genevieve							Winnetka	IL	
229	Mr.	Sal							Eastchester	NY	
230	Mr.	Jim							Pottstown	PA	
231	Mr.	Arthur							Mountain View	CA	
232	Mr.	William H.							Cincinnati	OH	
233	Mr.	Len							Pompano Beach	FL	
234	Mr.	Jose							Miami	FL	
235	Mr.	Jim							Baldwinville	NY	
236	Mr.	Dayven							Brooklyn	NY	
237	Dr.	Mark							Port Jefferson Station	NY	
238	Mr.	Daniel							Bedford	MA	
239	Mr.	David							San Jose	CA	
240	Mr.	Marvin							Williamsport	PA	
241	Mr.	Phil							Dayton	OH	
242	Mr.	Robert							Monroe Township	NJ	
243	Mr.	Chris							Brecksville	OH	
244	Mr.	Harvey							Forest Hills	NY	
245	Mr.	Johnathan							New York	NY	
246	Mr.	Clark							West Chester	PA	
247	Mr.	William							Little Falls	NJ	
248	Mr.	Jay							Imperial Beach	CA	
249	Mr. & Mrs.	Joseph							Poughkeepsie	NY	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
200	Tai			Smart Money #5	10/16/2007
201	William P.			Smart Money #5	10/16/2007
202	Carl			Smart Money #5	10/16/2007
203	John			Smart Money #5	10/16/2007
204	Joseph			Smart Money #5	10/17/2007
205	Mark			Smart Money #5	10/17/2007
206	Mike			Smart Money #5	10/18/2007
207	Leonard			Smart Money #5	10/22/2007
208	Sherrick			Smart Money #5	10/23/2007
209	Rick			Smart Money #5	10/24/2007
210	John			Smart Money #5	10/24/2007
211	Cliff			Smart Money #5	10/25/2007
212	Matthew			Smart Money #4	10/30/2007
213	Wayne			Smart Money #4	10/30/2007
214	Charles A.			Smart Money #4	10/31/2007
215	John			Smart Money #5	11/5/2007
216	Robert			Smart Money #5	11/6/2007
217	Dennis			Smart Money #5	11/8/2007
218	Roger			Smart Money #5	11/13/2007
219	Alan			Smart Money #5	11/13/2007
220	Arthur			Smart Money #5	11/14/2007
221	J.W.			Smart Money #5	11/14/2007
222	Donald			Smart Money #5	11/14/2007
223	Dean			Smart Money #5	11/15/2007
224	Jim			Smart Money #5	11/16/2007
225	Dennis			Smart Money #5	11/16/2007
226	Henry			Smart Money #5	11/16/2007
227	Philip			Smart Money #5	11/16/2007
228	Genevieve			Smart Money #5	11/19/2007
229	Sal			Smart Money #5	11/19/2007
230	Jim			Smart Money #5	11/20/2007
231	Arthur			Smart Money #5	11/26/2007
232	William H.			Smart Money 5	11/29/2007
233	Len			Smart Money #5	11/30/2007
234	Jose			Smart Money #5	11/30/2007
235	Jim			Smart Money 5	12/4/2007
236	Dayven			Smart Money 5	12/4/2007
237	Mark			Smart Money #5	12/4/2007
238	Daniel			Len [REDACTED]	12/5/2007
239	David			Len [REDACTED]	12/5/2007
240	Marvin			Len [REDACTED]	12/5/2007
241	Phil			Smart Money 5	12/5/2007
242	Robert			Smart Money 5	12/5/2007
243	Chris			Smart Money 5	12/5/2007
244	Harvey			Smart Money 5	12/5/2007
245	Johnathan			email via Ted/Smart Money 5	12/6/2007
246	Clark			Smart Money 5	12/7/2007
247	William			Smart Money 5	12/7/2007
248	Jay			Smart Money 5	12/10/2007
249	Joseph			Smart Money 5	12/10/2007

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
200	Tai		10/17/2007	10/18/2007	
201	William P.		10/17/2007	10/19/2007	
202	Carl		10/17/2007		
203	John		10/17/2007	10/19/2007	
204	Joseph		10/17/2007		
205	Mark		10/17/2007		
206	Mike		10/18/2007	10/19/2007	
207	Leonard		10/23/2007		
208	Sherrick		10/24/2007		
209	Rick		10/26/2007		
210	John		10/26/2007		
211	Cliff		10/26/2007		
212	Matthew		10/31/2007		
213	Wayne		10/31/2007		
214	Charles A.		11/1/2007		
215	John	11/14/07 (lost in my in box found on the 13th)			
216	Robert		11/8/2007	11/8/2007	
217	Dennis		11/9/2007		
218	Roger		11/14/2007	11/20/2007	
219	Alan		11/14/2007		
220	Arthur		11/14/2007	11/20/2007	
221	J.W.		11/20/2007		
222	Donald		11/20/2007	11/20/2007	
223	Dean		11/20/2007	11/30/2007	
224	Jim		11/20/2007		
225	Dennis		11/20/2007		
226	Henry		11/20/2007		
227	Philip		11/20/2007	11/30/2007	
228	Genevieve		11/21/2007		
229	Sal		11/30/2007	11/30/2007	
230	Jim		11/21/2007		
231	Arthur		11/26/2007		
232	William H.		12/5/2007		
233	Len		12/5/2007		
234	Jose		12/5/2007		
235	Jim		12/5/2007		
236	Dayven		12/6/2007		
237	Mark		12/5/2007	1/7/2008 via email	
238	Daniel		12/5/2007		
239	David		12/5/2007		
240	Marvin		12/5/2007		
241	Phil		12/6/2007		
242	Robert		12/6/2007		
243	Chris		12/6/2007		
244	Harvey		12/6/2007		
245	Johnathan		12/7/2000	12/20/2007	
246	Clark		12/7/2007		
247	William		12/7/2007		
248	Jay		12/12/2007	1/14/2008	
249	Joseph		12/12/2007	12/20/2007	

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
200	Tai	10/17/2007		
201	William P.	10/17/2007		
202	Carl			
203	John	10/17/2007		
204	Joseph			
205	Mark			
206	Mike	10/17/2007		
207	Leonard			
208	Sherrick			
209	Rick			
210	John			
211	Cliff			
212	Matthew			
213	Wayne			
214	Charles A.			
215	John			
216	Robert	11/6/2007		
217	Dennis			
218	Roger	11/14/2007		
219	Alan			
220	Arthur	11/14/2007		
221	J.W.			
222	Donald	11/14/2007		
223	Dean	11/16/2007		
224	Jim			
225	Dennis			
226	Henry			
227	Philip	11/16/2007		
228	Genevieve			
229	Sal	11/16/2007		
230	Jim			
231	Arthur			
232	William H.			
233	Len			
234	Jose			
235	Jim			
236	Dayven			
237	Mark	12/28/07 - via email		
238	Daniel			
239	David			
240	Marvin			
241	Phil			
242	Robert			
243	Chris			
244	Harvey			
245	Johnathan	12/13/2007		
246	Clark			
247	William			
248	Jay	1/11/2008		
249	Joseph	12/17/2007		

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
250	Mr. & Mrs.	Sanford							Cambridge	MA	
251	Mr.	Chris							Potomac	MD	
252	Mr.	Gary							Springfield	OR	
253	Mr.	Bill							Raleigh	NC	
254	Mr.	Rolf							St. Louis	MO	
255	Mr.	Robert							Wilmington	NC	
256	Mr.	James							Chatom	AL	
257	Mr.	Paul							Escanaba	MI	
258	Mr.	John							Naperville	IL	
259	Mr. & Mrs.	James							Long Boat Key	FL	
260	Mr.	Jim							Haverhill	MA	
261	Mr.	Ray							Belmont	CA	
262	Mr.	Ronald							Tuscon	AR	
263	Mr.	Dan							Hinesdale	IL	
264	Mr.	John							Alta Dena	CA	
265	Mr.	Michael							Barrington	IL	
266	Mr.	James							Garland	TX	
267	Dr.	Lucille B.							Albany	GA	
268	Mr.	George							Del Ray Beach	FL	
269	Mr.	Jeff							Bronx	NY	
270	Mr.	Mitchell C.							Bogalusa	LA	
271	Ms.	Dee Ann							Shrewsbury	NJ	
272	Mr.	Shamkant							Foster City	CA	
273	Mr. & Mrs.	John							Bourbonnais	IL	
274	Mr.	Hrantv							Forest Hills	NY	
275	Mr.	Gary							Livermore	CA	
276	Mr.	Philip							Needham	MA	
277	Mr.	Edward							Tierra Verde	FL	
278	Ms.	Edith S.							Tulsa	OK	
279	Mr.	Robert							Albion	MI	
280	Mr.	David							Chevy Chase	MD	
281	Mr.	Ken							Dublin	OH	
282	Mr. & Mrs.	Daniel							Boulder	CO	
283	Mr.	Don							Naples	FL	
284	Mr.	Mike							Roseburg	OR	
285	Mr.	Neil							New York	NY	
286	Mr.	Mark							Kansas City	MO	
287	Mr.	Igazio							Little Ferry	NJ	
288	Mr.	Mike							Gibsonia	PA	
289	Mr.	William							Grand Rapids	MI	
290	Mr.	Joseph							Murrieta	CA	
291	Dr.	Morteza							Fairfax Station	VA	
292	Ms.	Lynne							New York	NY	
293	Mr.	Steve							Sunrise	FL	
294	Mr.	Steve							Hampton Bays	NY	
295	Mr. & Mrs.	Eric A.							Kerrville	TX	
296	Dr.	James L.							Demerest	NJ	
297	Mr.	James							Westmont	IL	
298	Mr.	Gary							Livermore	CA	
299	Mr.	Stephen							Midland	TX	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
250	Sanford			Smart Money 5	12/11/2007
251	Chris			Smart Money 5	12/11/2007
252	Gary			Smart Money 5	12/11/2007
253	Bill			Smart Money 5	12/11/2007
254	Rolf			Smart Money 5	12/11/2007
255	Robert			Smart Money 5	12/11/2007
256	James			Smart Money 5	12/11/2007
257	Paul			Smart Money 5	12/12/2007
258	John			Smart Money 5	12/12/2007
259	James			Smart Money 5	12/12/2007
260	Jim			Smart Money 5	12/14/2007
261	Ray			Smart Money 5	12/14/2007
262	Ronald			Smart Money 5	12/14/2007
263	Dan			Smart Money 5	12/14/2007
264	John			Smart Money 5	12/17/2007
265	Michael			Smart Money 5	12/18/2007
266	James			Smart Money 5	12/19/2007
267	Lucille B.			Smart Money 5	12/19/2007
268	George			Smart Money 5	12/20/2007
269	Jeff			Smart Money 5	12/20/2007
270	Mitchell C.			Smart Money 5	12/20/2007
271	Dee Ann			Smart Money 5	12/20/2007
272	Shamkant			Smart Money 5	12/21/2007
273	John			Smart Money 5	12/24/2007
274	Hrantvv			Smart Money 5	12/26/2007
275	Gary			Smart Money 5	12/26/2007
276	Philip			Kiplingers #2	12/31/2007
277	Edward			Kiplingers #2	1/2/2008
278	Edith S.			Kiplingers #2	1/2/2008
279	Robert			Kiplingers #2	1/2/2008
280	David			Kiplingers #2	1/2/2008
281	Ken			Kiplingers #2	1/3/2008
282	Daniel			Kiplingers #2	1/4/2008
283	Don			Kiplingers #2	1/4/2008
284	Mike			Kiplingers #2	1/4/2008
285	Neil			Kiplingers #2	1/4/2008
286	Mark			Kiplingers #2	1/7/2008
287	Igazio			Kiplingers #2	1/7/2008
288	Mike			Kiplingers #2	1/7/2008
289	William			Kiplingers #2	1/7/2008
290	Joseph			Kiplingers #2	1/8/2008
291	Morteza			Kiplingers #2	1/10/2008
292	Lynne			Kiplingers #2	1/11/2008
293	Steve			Kiplingers #2	1/15/2008
294	Steve			Kiplingers #2	1/15/2008
295	Eric A.			Kiplingers #2	1/15/2008
296	James L.			Kiplingers #2	1/16/2008
297	James			Kiplingers #2	1/16/2008
298	Gary			Kiplingers #2	1/17/2008
299	Stephen			Kiplingers #2	1/17/2008

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
250	Sanford	waiting for Grace to send me account name - 1/2/08			
251	Chris		12/12/2007	12/12/2007	
252	Gary		12/12/2007		
253	Bill		12/12/2007		
254	Rolf		12/12/2007		
255	Robert		12/12/2007		
256	James		12/12/2007		
257	Paul		12/12/2007		
258	John		12/12/2007	4/30/2008	
259	James		12/12/2007	12/20/2007	
260	Jim		12/20/2007		
261	Ray		12/20/2007		
262	Ronald		12/20/2007		
263	Dan		12/20/2007		
264	John		12/20/2007	12/20/2007	
265	Michael		12/20/2007		
266	James		12/20/2007	12/20/2007	
267	Lucille B.		12/28/2007	12/28/2007	
268	George		12/20/2007		
269	Jeff	12/20/047			
270	Mitchell C.		12/20/2007	1/14/2008	
271	Dee Ann		12/20/2007		
272	Shamkant		12/22/2007		
273	John		12/28/2007	1/7/2008	
274	Hrantvv		12/28/2007		
275	Gary		12/28/2007		
276	Philip	1/3/2008 - resent 1/7/08			
277	Edward		1/3/2008	1/7/2008	
278	Edith S.		1/3/2008		
279	Robert		1/3/2008		
280	David		1/3/2008		
281	Ken		1/3/2008		
282	Daniel		1/7/2008	1/22/2008	
283	Don		1/7/2008		
284	Mike		1/7/2008	1/22/2008	
285	Neil		1/7/2008		
286	Mark		1/8/2008	1/9/2008	
287	Igazio		1/8/2008		
288	Mike		1/8/2007		
289	William		1/8/2007		
290	Joseph		1/9/2008	1/9/2008	
291	Morteza		1/10/2008		
292	Lynne		1/14/2008		
293	Steve		1/15/2008		
294	Steve		1/15/2008		
295	Eric A.		1/15/2008	1/28/2008	
296	James L.		1/18/2008	5/13/2008	
297	James		1/18/2008		
298	Gary		1/22/2008	1/22/2008	
299	Stephen		1/18/2008		

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
250	Sanford	12/11/2007		
251	Chris	12/11/2007		
252	Gary			
253	Bill			
254	Rolf			
255	Robert			
256	James			
257	Paul			
258	John	4/25/2008		
259	James	12/13/2007		
260	Jim			
261	Ray			
262	Ronald			
263	Dan			
264	John	12/17/2007		
265	Michael			
266	James			
267	Lucille B.	12/19/2007		
268	George			
269	Jeff			
270	Mitchell C.	1/11/2008		
271	Dee Ann			
272	Shamkant			
273	John	1/3/2008		
274	Hrantv			
275	Gary			
276	Philip			
277	Edward	1/3/2008		
278	Edith S.			
279	Robert			
280	David			
281	Ken			
282	Daniel	1/17/2008		
283	Don			
284	Mike	1/17/2008		
285	Neil			
286	Mark	1/9/2008		
287	Igazio			
288	Mike			
289	William			
290	Joseph	1/8/2008		
291	Morteza			
292	Lynne			
293	Steve			
294	Steve			
295	Eric A.	1/24/2008		
296	James L.	4/30/2008		
297	James			
298	Gary	1/17/2008		
299	Stephen			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
300	Mr.	Dean							Las Vegas	NV	
301	Mr.	F.							Wellesley	MA	
302	Mr.	Eric							Seattle	WA	
303	Mr.	Robert							N Little Rock	AR	
304	Mr.	Robert							Greenwood	MO	
305	Mr.	David							Hamburg	NJ	
306	Mr.	Kevin							South Barrington	IL	
307	Mr.	Jerry							Carrollton	TX	
308	Mr.	Frank							Kent	OH	
309	Dr.	Lonnie							Buford	GA	
310	Ms.	Joanne							Uniondale	NY	
311	Mr.	John							Pearl	MS	
312	Mr.	James							New Ellerton	SC	
313	Mr.	Jim							Carlinville	IL	
314	Mr.	BJ							Clearwater	FL	
315	Ms.	Cecile							Ft. Lauderdale	FL	
316	Mr.	Jim							Astoria	NY	
317	Ms.	Genna							Philadelphia	PA	
318	Mr.	Richard							Berreah	OH	
319	Mr.	Mark							Trussville	AL	
320	Mr.	Edward							Montecito	CA	
321	Dr.	Bruce							Scottsdale	AZ	
322	Mr.	Bud									
323	Mr.	Mark							Topeka	KS	
324	Mr.	Brian							Lynn Haven	FL	
325	Mr.	Keith							New York	NY	
326	Mr.	Edwin							Lantana	FL	
327	Mr.	Kurt							Little Falls	NY	
328	Mr.	John							Gulf Breeze	FL	
329	Mr.	Ralph							Cranston	RI	
330	Mr.	Robert or Ro							Kansas City	MO	
331	Dr.	N.P.							Norfolk	NE	
332	Mr.	Silas							Pueblo West	CO	
333	Mr.	Otto							North Kansas City	MO	
334	Mr.	Cary							Ocean	NJ	
335	Mr.	Donald							Phoenix	AZ	
336	Mr.	Charles							West Memphis	AK	
337	Mr.	Charles							Fargo	ND	
338	Mr.	Hany							Tulsa	OK	
339	Mr.	Robert							Riverforest	IL	
340	Mr.	Milton							Branchport	NY	
341	Mr.	Jeremiah J.							Manchester	NH	
342	Mr.	Darrell							Metairie	LA	
343	Mr.	Keith							New Holland	PA	
344	Mr. & Mrs.	Nicolae							Reseda	CA	
345	Mr.	William							Seattle	WA	
346	Mr.	Peter							Rockville	MD	
347	Mr.	Paul							Greensboro	NC	
348	Mr.	Glenn							Staten Island	NY	
349	Mr.	Scott							College Park	MD	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
300	Dean			Kiplingers #2	1/17/2008
301	F.			Kiplingers#2	1/22/2008
302	Eric			Kiplingers #2	1/22/2008
303	Robert			Kiplingers #2	1/22/2008
304	Robert			Kiplingers #2	1/23/2008
305	David			Kiplingers #2	1/23/2008
306	Kevin			Kiplingers #2	1/23/2008
307	Jerry			Kiplenger's #3	1/25/2008
308	Frank			Kiplingers #3	1/25/2008
309	Lonnie			Kiplengers #3	1/29/2008
310	Joanne			Kiplengers #3	1/29/2008
311	John			Kiplengers #3	1/30/2008
312	James			Kiplengers #3	1/31/2008
313	Jim			Kiplengers #3	1/31/2008
314	BJ			Kiplengers #3	2/1/2008
315	Cecile			Kiplengers #3	2/5/2008
316	Jim			Kiplengers #3	2/5/2008
317	Genna			Kiplenger #3	2/5/2008
318	Richard			Kiplengers #3	2/5/2008
319	Mark			Kiplengers #3	2/8/2008
320	Edward			Kiplenger's #3	2/8/2008
321	Bruce			Kiplengers #3	2/13/2008
322	Bud			Kiplengers #3	2/13/2008
323	Mark			Kiplengers #3	2/19/2008
324	Brian			Website Inquiry	3/2/2008
325	Keith			Friend of David	3/12/2008
326	Edwin			Smart Money 6	3/17/2008
327	Kurt			Smart Money 6	3/27/2008
328	John			Smart Money7	3/31/2008
329	Ralph			Not Sure	4/9/2008
330	Robert or Rd			Not Sure	4/10/2008
331	N.P.			Not Sure	4/10/2008
332	Silas			Smart Money 7	4/11/2008
333	Otto			Smart Money7	4/17/2008
334	Cary			Smart Money7	4/17/2008
335	Donald			Smart Money7	4/23/2008
336	Charles			Smart Money7	4/23/2008
337	Charles			Smart Money7	4/28/2008
338	Hany			Smart Money7	5/7/2008
339	Robert			Smart Money7	5/7/2008
340	Milton			Smart Money7	5/13/2008
341	Jeremiah J.			Smart Money7	6/10/2008
342	Darrell			Smart Money7	6/13/2008
343	Keith			Smart Money7	6/17/2008
344	Nicolae			Smart Money7	6/17/2008
345	William			Smart Money7	6/24/2008
346	Peter			Smart Money7	6/27/2008
347	Paul			Smart Money7	7/15/2008
348	Glenn			Smart Money7	7/18/2008
349	Scott			Smart Money7	7/29/2008

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
300	Dean		1/18/2008		
301	F.		1/22/2008		
302	Eric		1/24/2008	2/7/2008	
303	Robert		1/24/2008		
304	Robert		1/24/2008		
305	David		1/24/2008	1/24/2008	
306	Kevin		1/24/2008	1/24/2008	
307	Jerry		1/28/2008	2/7/2008	
308	Frank		1/28/2008		
309	Lonnie		1/29/2008		
310	Joanne		1/31/2008		
311	John		2/7/2008	2/7/2008	
312	James		2/7/2008		
313	Jim		2/7/2008		
314	BJ		2/7/2008		
315	Cecile		2/7/2008		
316	Jim		2/7/2008	2/20/2008	
317	Genna		2/7/2008		
318	Richard		2/7/2008	2/7/2008	
319	Mark		2/13/2008		
320	Edward		2/13/2008		
321	Bruce	Per request sent: 2/20/08			
322	Bud		2/20/2008	2/20/2008	
323	Mark		2/19/2008	2/19/2008	
324	Brian		3/3/2009		
325	Keith		3/19/2008		
326	Edwin		3/19/2008		
327	Kurt		3/27/2008		
328	John		4/3/2008		
329	Ralph		4/9/2008		
330	Robert or Rd		4/11/2008		
331	N.P.		4/11/2008		
332	Silas		4/14/2008		
333	Otto		4/18/2008		
334	Cary		4/18/2008		
335	Donald		4/23/2008		
336	Charles		4/23/2008	5/13/2008	
337	Charles		4/30/2008		
338	Hany		5/13/2008	5/13/2008	
339	Robert		5/13/2008	5/13/2008	
340	Milton		5/15/2008		
341	Jeremiah J.		6/11/2008		
342	Darrell		6/17/2008		
343	Keith		6/24/2008	6/25/2008	
344	Nicolae		6/24/2008	6/24/2008	
345	William		6/24/2008		
346	Peter		6/30/2008		
347	Paul		7/17/2008		
348	Glenn		7/21/2008		
349	Scott		7/30/2008		

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
300	Dean			
301	F.			
302	Eric	2/5/2008		
303	Robert			
304	Robert			
305	David	David emailed grace on the 23rd to send him info		
306	Kevin	David emailed grace on the 23rd to send him info		
307	Jerry	Have not heard yet from Grace		
308	Frank			
309	Lonnie			
310	Joanne			
311	John	1/30/2008		
312	James			
313	Jim			
314	BJ			
315	Cecile			
316	Jim	2/11/2008		
317	Genna			
318	Richard	2/5/2008		
319	Mark			
320	Edward			
321	Bruce			
322	Bud	2/13/2008		
323	Mark	2/19/2008		
324	Brian			
325	Keith			
326	Edwin			
327	Kurt			
328	John			
329	Ralph			
330	Robert or Rd			
331	N.P.			
332	Silas			
333	Otto			
334	Cary			
335	Donald			
336	Charles	4/30/2008		
337	Charles			
338	Hany	5/7/2008		
339	Robert	5/7/2008		
340	Milton			
341	Jeremiah J.			
342	Darrell			
343	Keith	6/24/2008		
344	Nicolae	6/17/2008		
345	William			
346	Peter			
347	Paul			
348	Glenn			
349	Scott			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
350	Mr.	Max							Murphys	CA	
351	Mr.	Charles Lee							Dallas	TX	
352	Mr.	Joseph A.							Portland	OR	
353	Mr.	Carrll							Philadelphia	PA	
354	Mr.	John							Terra Alta	WV	
355	Mr.	Frank							Bloomington	MN	
356	Mr.	George							North Olmstead	OH	
357	Mr.	Peter							Manhattan Beach	CA	
358	Mr.	Hugh							Glatonbury	CT	
359	Dr.	Paul							Carroll County	MD	
360	Mr.	Able Pete							Joplin	MO	
361	Mr.	Ron							Yonkers	NY	
362	Ms.	Laura							Viroqua	WI	
363	Mr.	Charles							San Diego	CA	
364	Mr.	Michael							Belleville	NJ	
365	Mr.	Peter							Paimio, 21530	Finland	
366	Mr.	Carl							Rockledge	FL	
367	Mr.	Stuart							Aventura	FL	
368	Ms.	Patti							Carnelian Bay	CA	
369	Mr.	Jimmy							Red Bank	TN	
370	Mr.	James							Houston	TX	
371	Mr.	Walter							Metairie	LA	
372	Mr.	Steve							Souderton	PA	
373	Ms.	Dominic							Brighton	MI	
374	Dr.	Gary							Jacksonville	FL	
375	Mr.	Steven							Chicago	IL	
376	Mr.	Wei							Chicago	IL	
377		Tadas							Boston	MA	
378	Mr.	Josh							Los Angeles	CA	
379	Mr.	John							Allentown	PA	
380	Mr.	Michael							Tulsa	OK	
381	Mr.	Dennis							Mission Viejo	CA	
382	Mr.	Rocco							New York	NY	
383	Mr.	Emilio							New York	NY	
384	Mr.	Michael							Chicago	IL	
385	Mr.	John							Yorktown	VA	
386	Mr.	Jim							Racine	WI	
387		Arys							Providence	RI	
388	Mr.	Jim							Farmington Hills	MI	
389	Mr.	Michael							Murfreesboro	TN	
390	Mr.	David							Frankfort	KY	
391	Ms.	Patti							Carnelian Bay	CA	
392	Mr.	Weston							Atlanta	GA	
393	Mr.	Joshua							Longwood	FL	
394	Mr.	Wayne							Hollywood	FL	
395	Mr.	Joseph							Houston	TX	
396	Mr.	Ryan							Austin	TX	
397	Mr.	James							Howell	MI	
398	Mr.	John							Kansas City	MO	
399		Dg							Cincinnati	OH	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
350	Max			Smart Money 8	9/5/2008
351	Charles Lee			Smart Money 8	9/10/2008
352	Joseph A.			Smart Money 8	9/16/2008
353	Carrll			Smart Money 8	9/22/2008
354	John			Smart Money 8	10/4/2008
355	Frank			Smart Money 8	10/7/2008
356	George			Smart Money 8	10/11/2008
357	Peter			Smart Money 8	10/15/2008
358	Hugh			Smart Money 9	11/3/2008
359	Paul			Smart Money 10	11/9/2008
360	Able Pete			Smart Money 10	11/11/2008
361	Ron			Smart Money 10	11/21/2008
362	Laura			Smart Money 10	11/24/2008
363	Charles			Smart Money 10	11/30/2008
364	Michael			Smart Money 10	12/2/2008
365	Peter			contacted david via email	12/15/2008
366	Carl			contacted ZPR directly	12/17/2008
367	Stuart			Smart Money #13	1/30/2009
368	Patti			contacted ZPR directly	2/5/2009
369	Jimmy			Website Inquiry	2/26/2009
370	James			Website Inquiry	2/28/2009
371	Walter			Website Inquiry	2/28/2009
372	Steve			Website Inquiry	3/1/2009
373	Dominic			Website Inquiry	3/1/2009
374	Gary			Website Inquiry	3/2/2009
375	Steven			Website Inquiry	3/2/2009
376	Wei			Website Inquiry	3/2/2009
377	Tadas			Website Inquiry	3/4/2009
378	Josh			Website Inquiry	3/4/2009
379	John			Website Inquiry	3/5/2009
380	Michael			Website Inquiry	3/5/2009
381	Dennis			Website Inquiry	3/9/2009
382	Rocco			Website Inquiry	3/11/2009
383	Emilio			Website Inquiry	3/12/2009
384	Michael			Website Inquiry	5/29/2009
385	John			Website Inquiry	6/8/2009
386	Jim			Website Inquiry	6/9/2009
387	Arys			Website Inquiry	6/17/2009
388	Jim			Website Inquiry	6/26/2009
389	Michael			Website Inquiry	7/22/2009
390	David			Website Inquiry	7/24/2009
391	Patti			Website Inquiry	7/26/2009
392	Weston			Website Inquiry	8/5/2009
393	Joshua			Website Inquiry	8/11/2009
394	Wayne			Website Inquiry	8/14/2009
395	Joseph			Website Inquiry	8/21/2009
396	Ryan			Website Inquiry	8/21/2009
397	James			Website Inquiry	8/22/2009
398	John			Website Inquiry	8/31/2009
399	Dg			Website Inquiry	9/8/2009

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
350	Max		9/8/2008	9/8/2008	
351	Charles Lee		9/10/2008		
352	Joseph A.		9/16/2008		
353	Carrll	10/3/08 - delay due to him being out of town, sent went he was back.			
354	John		10/6/2008		
355	Frank		10/8/2008		
356	George		10/14/2008		
357	Peter		10/16/2008		
358	Hugh		11/4/2008		
359	Paul		11/11/2008		
360	Able Pete		11/12/2008		
361	Ron		11/24/2008		
362	Laura		11/25/2008		
363	Charles		12/1/2008		
364	Michael		12/3/2008		
365	Peter		12/17/2008		
366	Carl		12/17/2008		
367	Stuart		12/30/2009		
368	Patti		2/5/2009	10/19/2009	
369	Jimmy		2/27/2009		
370	James		3/2/2009		
371	Walter		3/2/2009		
372	Steve		3/2/2009		
373	Dominic		3/2/2009		
374	Gary		3/3/2009		
375	Steven		3/3/2009		
376	Wei		3/3/2009		
377	Tadas		3/5/2009		
378	Josh		3/5/2009		
379	John		3/6/2009		
380	Michael		3/6/2009		
381	Dennis		3/10/2009		
382	Rocco		3/12/2009		
383	Emilio		3/13/2009		
384	Michael		6/2/2009		
385	John		6/9/2009		
386	Jim		6/10/2009		
387	Arys		6/16/2009		
388	Jim		6/29/2009		
389	Michael	7/27/09 - I was on vacation			
390	David		7/27/2009		
391	Patti		7/27/2009	10/19/2009	
392	Weston		8/10/2009		
393	Joshua		8/12/2009		
394	Wayne		8/17/2009		
395	Joseph		8/24/2009		
396	Ryan		8/24/2009		
397	James		8/24/2009		
398	John		9/1/2009		
399	Dg		9/8/2009		

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
350	Max	9/5/2008		
351	Charles Lee			
352	Joseph A.			
353	Carrll			
354	John			
355	Frank			
356	George			
357	Peter			
358	Hugh			
359	Paul			
360	Able Pete			
361	Ron			
362	Laura			
363	Charles			
364	Michael			
365	Peter			
366	Carl			
367	Stuart			
368	Patti			
369	Jimmy			
370	James			
371	Walter			
372	Steve			
373	Dominic			
374	Gary			
375	Steven			
376	Wei			
377	Tadas			
378	Josh			
379	John			
380	Michael			
381	Dennis			
382	Rocco			
383	Emilio			
384	Michael			
385	John			
386	Jim			
387	Arys			
388	Jim			
389	Michael			
390	David			
391	Patti			
392	Weston			
393	Joshua			
394	Wayne			
395	Joseph			
396	Ryan			
397	James			
398	John			
399	Dg			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
400	Mr.	Rick							Brighton	MI	
401	Mr.	Mark							Ft. Lauderdale	FL	
402	Mr.	Robert							DeLand	FL	
403	Mr.	Joel							Strongsvill	OH	
404	Mr.	Myron							Bronx	NY	
405	Mr.	William							West Hills	CA	
406	Mr.	Brian							Glen Ellyn	IL	
407	Mr.	Henry							Pittsford	NY	
408	Mr.	Jerome							Landfall	MN	
409	Mr.	Donald							Macungie	PA	
410	Mr.	Peter							Williamsburg	VA	
411	Mr.	Mark							Novi	MI	
412	Mr.	John							New York	NY	
413	Mr.	John							Marcus	IA	
414	Mr.	Greg							East Lansing	MI	
415	Mr.	Michael									
416	Ms.	Barbara							Phoenix	AZ	
417	Ms.	Sharan							South Pasandena	CA	
418	Mr.	James							Santa Barbara	CA	
419	Mr.	James							Arlington	VA	
420		Arvind							Matthews	NC	
421	Mr.	Mark							Lamont	IL	
422	Mr.	Gregg									
423	Mr.	John							McAllex	TX	
424	Mr.	Stanley							Centennial	CO	
425		Sat							Media	PA	
426	Mr.	Robert							Seattle	WA	
427	Mr.	Julian							Long Boat Key	FL	
428	Ms.	Trish									
429	Mr.	David									
430	Mr.	Ron							Talala	OK	
431	Mr.	Manju							Santa Clara	CA	
432	Dr.	Milton							Boynton Beach	FL	
433	Mr.	Greg							Midvale	OH	
434	Mr.	Ralph							Holland	OH	
435	Mr.	Greg							East Lansing	MI	
436	Mr.	Paul							Junction	TX	
437	Mr.	B.L.							Santa Ana	CA	
438	Mr.	Dennis							St. Lois	MO	
439	Mr.	Jeff							Huntington	NY	
440	Mr.	Timothy							Mason	OH	
441	Mr.	Alan							Swarthmore	PA	
442	Mr.	Sheng							Downingtown	PA	
443	Mr.	Joseph							Atkinson	NH	
444	Mr.	Marvin							Lancaster	CA	
445		J							Portland	OR	
446	Mr.	Anthony							Ocala	FL	
447	Mr.	Art							Redding	CT	
448	Mr.	Jerry							Malibu	CA	
449		Jerry							Malibu	CA	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
400	Rick			website Inquiry	9/14/2009
401	Mark			website Inquiry	9/15/2009
402	Robert			website Inquiry	9/17/2009
403	Joel			website Inquiry	9/21/2009
404	Myron			website Inquiry	10/5/2009
405	William			contacted ZPR	10/14/2009
406	Brian			website Inquiry	10/15/2009
407	Henry			Smart Money #11	10/19/2009
408	Jerome			website Inquiry	10/21/2009
409	Donald			website Inquiry	10/22/2009
410	Peter			website Inquiry	10/27/2009
411	Mark			website Inquiry	11/5/2009
412	John			Smart Money #12	11/17/2009
413	John			David Mailing 11/09	11/17/2009
414	Greg			website Inquiry	11/17/2009
415	Michael			Database Lead	11/19/2009
416	Barbara			website Inquiry	11/20/2009
417	Sharan			website Inquiry	11/20/2009
418	James			website Inquiry	11/22/2009
419	James			website Inquiry	11/23/2009
420	Arvind			website Inquiry	11/23/2009
421	Mark			David Mailing 11/09	11/23/2009
422	Gregg			contacted Ted via email	11/23/2009
423	John			Smart Money #12	11/24/2009
424	Stanley			website inquiry	12/2/2009
425	Sat			website inquiry	12/6/2009
426	Robert			Smart Money #12	12/14/2009
427	Julian			Smart Money #12	12/14/2009
428	Trish			David's email mailing	12/15/2009
429	David			David's email mailing	12/15/2009
430	Ron			website inquiry	12/15/2009
431	Manju			website inquiry	12/17/2009
432	Milton			Smart Money #12	12/18/2009
433	Greg			website inquiry	12/20/2009
434	Ralph			website inquiry	12/21/2009
435	Greg			website inquiry	12/21/2009
436	Paul			website inquiry	12/21/2009
437	B.L.			Smart Money #13	12/22/2009
438	Dennis			Smart Money #13	12/23/2009
439	Jeff			website inquiry	12/23/2009
440	Timothy			website inquiry	12/27/2009
441	Alan			website inquiry	12/28/2009
442	Sheng			Smart Money #13	12/30/2009
443	Joseph			website inquiry	12/31/2009
444	Marvin			website inquiry	1/2/2010
445	J			website inquiry	1/2/2010
446	Anthony			website inquiry	1/2/2010
447	Art			website inquiry	1/2/2010
448	Jerry			website inquiry	1/3/2010
449	Jerry			website inquiry	1/3/2010

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
400	Rick		9/15/2009		
401	Mark		9/16/2009		
402	Robert		9/21/2009		
403	Joel		9/22/2009		
404	Myron		10/5/2009	1/4/2010	
405	William		10/14/2009		
406	Brian		10/19/2009		
407	Henry		10/20/2009		
408	Jerome		10/22/2009		
409	Donald		10/26/2009		
410	Peter		10/28/2009		
411	Mark		11/5/2009		
412	John		11/18/2009		
413	John		11/18/2009		
414	Greg		11/18/2009		
415	Michael		11/23/2009		
416	Barbara		11/23/2009		
417	Sharan		11/23/2009	12/29/2009	
418	James		11/23/2009		
419	James		11/23/2009		
420	Arvind		11/23/2009	1/14/2010	
421	Mark		11/24/2009	11/24/2009	
422	Gregg		11/23/2009		
423	John		11/24/2009		
424	Stanley		12/3/2009		
425	Sat		12/12/2009		
426	Robert		12/18/2009		
427	Julian		12/18/2009		
428	Trish		12/15/2009		
429	David		12/15/2009		
430	Ron		12/16/2009		
431	Manju		12/18/2009		
432	Milton		12/21/2009		
433	Greg		12/21/2009		
434	Ralph		12/22/2009		
435	Greg		12/21/2009		
436	Paul		12/22/2009		
437	B.L.		12/28/2009		
438	Dennis		12/28/2009		
439	Jeff		12/28/2009		
440	Timothy		12/28/2009	1/5/2010	
441	Alan		12/28/2009		
442	Sheng		1/4/2010		
443	Joseph		1/4/2010		
444	Marvin		1/5/2010		
445	J		1/5/2010		
446	Anthony		1/6/2010		
447	Art		1/5/2010		
448	Jerry		1/13/2010	1/13/2010	
449	Jerry		1/5/2010		

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
400	Rick			
401	Mark			
402	Robert			
403	Joel			
404	Myron			
405	William			
406	Brian			
407	Henry			
408	Jerome			
409	Donald			
410	Peter			
411	Mark			
412	John			
413	John			
414	Greg			
415	Michael			
416	Barbara			
417	Sharan			
418	James			
419	James			
420	Arvind			
421	Mark			
422	Gregg			
423	John			
424	Stanley			
425	Sat			
426	Robert			
427	Julian			
428	Trish			
429	David			
430	Ron			
431	Manju			
432	Milton			
433	Greg			
434	Ralph			
435	Greg			
436	Paul			
437	B.L.			
438	Dennis			
439	Jeff			
440	Timothy			
441	Alan			
442	Sheng			
443	Joseph			
444	Marvin			
445	J			
446	Anthony			
447	Art			
448	Jerry			
449	Jerry			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
450	Mr.	Kip							Atlanta	GA	
451	Ms.	Jessica							Baltimore	MD	
452		C							New Rochelle	NY	
453	Mr.	James K							Los Angeles	CA	
454	Mr.	Ralph							Cranston	RI	
455	Mr.	Stan							Akron	OH	
456	Mr.	Christopher							Palm Harbor	FL	
457	Dr.	Chalmers							Haverford	PA	
458		JC							Pikeville	KY	
459		Ronnie							Pikeville	KY	
460	Mr.	John							Mechanicsburg	PA	
461	Mr.	William							Pamplin	VA	
462	Mr.	Steve							Highland Park	IL	
463	Mr.	Douglas							Lafayette	CO	
464		Vinod							Roslyn	NY	
465	Mr.	Peter							Canton	CT	
466	Dr.	William							Witchita	KS	
467	Mr.	William R							Witchita	KS	
468	Mr.	Mervin							Palm City	FL	
469	Mrs.	Jung Ja							Heath	TX	
470	Ms.	Pamela							Chicago	IL	
471	Mr.	Mike							New York	NY	
472	Mr.	Keith							Milton	GA	
473	Mr.	Naser							Pasadena	CA	
474	Mr.	Walter							N Dartmouth	MA	
475	Mr.	Lawrence							Wilkes Barre	PA	
476	Mr.	Tom							Nevada City	CA	
477	Mr.	Noah							Tucson	AZ	
478	Mr.	Henry							North Richland Hills	TX	
479	Mr.	Walter							Davenport	IA	
480	Mr.	Dan							Osprey	FL	
481	Mr.	Robert							Long Beach	NY	
482		Ajoy							Omaha	NE	
483	Mr.	George							Vero Beach	FL	
484	Mr.	Nathan							Tampa	FL	
485	Mr.	Gary							Owatonna	MN	
486	Mr.	Tom							Cape Coral	FL	
487	Mr.	Walter							Metairie	LA	
488	Mr.	Patrick							Dallas	TX	
489	Mr.	Washington							Newark	NJ	
490	Mr. & Mrs.	Michael							Gallant	AL	
491	Mr.	Melvin							Byhalia	MS	
492	Mr.	Greg							Cedarburg	WI	
493	Mr.	James							Howell	MI	
494	Mr.	Patrick							Cortland	OH	
495	Mr.	Rob							Hartington	NE	
496	Mr.	Joseph							Hampstead	NC	
497		Yi-wei							Bellevue	WA	
498	Mr.	Kenny							Tempe	AZ	
499	Mr.	Ken							Sun Lakes	AZ	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
450	Kip			website inquiry	1/3/2010
451	Jessica			website inquiry	1/4/2010
452	C			website inquiry	1/4/2010
453	James K			website inquiry	1/4/2010
454	Ralph			Barron's Jan 4 2010	1/4/2010
455	Stan			website inquiry	1/4/2010
456	Christopher			website inquiry	1/5/2010
457	Chalmers			Smart Money #13	1/5/2010
458	JC			website inquiry	1/5/2010
459	Ronnie			website inquiry	1/5/2010
460	John			website inquiry	1/8/2010
461	William			website inquiry	1/8/2010
462	Steve			website inquiry	1/9/2010
463	Douglas			website inquiry	1/10/2010
464	Vinod			website inquiry	1/10/2010
465	Peter			website inquiry	1/11/2010
466	William			website inquiry	1/11/2010
467	William R			website inquiry	1/11/2010
468	Mervin			Smart Money #13	1/13/2010
469	Jung Ja			Barron's Jan 18 2010	1/18/2010
470	Pamela			website inquiry	1/18/2010
471	Mike			website inquiry	1/18/2010
472	Keith			website inquiry	1/18/2010
473	Naser			Barron's Jan 18 2010	1/19/2010
474	Walter			website inquiry	1/19/2010
475	Lawrence			website inquiry	1/20/2010
476	Tom			website inquiry	1/21/2010
477	Noah			website inquiry	1/25/2010
478	Henry			From David Sappir	1/26/2010
479	Walter			website inquiry	1/27/2010
480	Dan			Barron's Jan 25 2010	1/27/2010
481	Robert			website inquiry	1/29/2010
482	Ajoy			website inquiry	1/31/2010
483	George			Barron's Feb 1 2010	2/1/2010
484	Nathan			Barron's Feb 1 2010	2/1/2010
485	Gary			website inquiry	2/3/2010
486	Tom			Barron's Feb 1 2010	2/3/2010
487	Walter			website inquiry	2/4/2010
488	Patrick			website inquiry	2/5/2010
489	Washington			website inquiry	2/6/2010
490	Michael			Barron's Feb 1 2010	2/9/2010
491	Melvin			P&I Feb 8 2010	2/10/2010
492	Greg			website inquiry	2/10/2010
493	James			website inquiry	2/10/2010
494	Patrick			website inquiry	2/11/2010
495	Rob			website inquiry	2/11/2010
496	Joseph			Website	2/11/2010
497	Yi-wei			website inquiry	2/15/2010
498	Kenny			From David Sappir	2/16/2010
499	Ken			P&I Feb 8 2010	2/16/2010

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
450	Kip		1/5/2010		
451	Jessica		1/5/2010		
452	C		1/5/2010		
453	James K		1/5/2010		
454	Ralph		1/5/2010		
455	Stan		1/5/2010		
456	Christopher		1/6/2010		
457	Chalmers		1/6/2010		
458	JC		1/6/2010		
459	Ronnie		1/6/2010		
460	John		1/11/2010		
461	William		1/11/2010		
462	Steve		1/11/2010		
463	Douglas		1/11/2010		
464	Vinod		1/11/2010		
465	Peter		1/12/2010		
466	William		1/15/2010	1/15/2010	
467	William R		1/12/2010		
468	Mervin		1/15/2010	1/15/2010	
469	Jung Ja		1/18/2010		
470	Pamela		1/19/2010		
471	Mike		1/20/2010		
472	Keith		1/20/2010		
473	Naser		1/21/2010	1/19/2010	
474	Walter		1/20/2010		
475	Lawrence		1/21/2010		
476	Tom		1/21/2010		
477	Noah		1/25/2010		
478	Henry		1/31/2010		
479	Walter		1/28/2010		
480	Dan		1/28/2010	1/28/2010	
481	Robert		2/1/2010		
482	Ajoy		2/1/2010		
483	George		2/1/2010		
484	Nathan		2/1/2010		
485	Gary		2/4/2010		
486	Tom		2/4/2010		
487	Walter		2/4/2010		
488	Patrick		2/8/2010		
489	Washington		2/8/2010		
490	Michael		2/18/2010	2/18/2010	
491	Melvin		2/11/2010		
492	Greg		2/11/2010		
493	James		2/11/2010		
494	Patrick		2/11/2010		
495	Rob		2/11/2010		
496	Joseph		2/14/2010		
497	Yi-wei		2/16/2010		
498	Kenny		2/17/2010		
499	Ken		2/17/2010		

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
450	Kip			
451	Jessica			
452	C			
453	James K			
454	Ralph			
455	Stan			
456	Christopher			
457	Chalmers			
458	JC			
459	Ronnie			
460	John			
461	William			
462	Steve			
463	Douglas			
464	Vinod			
465	Peter			
466	William			
467	William R			
468	Mervin			
469	Jung Ja			
470	Pamela			
471	Mike			
472	Keith			
473	Naser	1/19/2010		
474	Walter			
475	Lawrence			
476	Tom			
477	Noah			
478	Henry			
479	Walter			
480	Dan			
481	Robert			
482	Ajoy			
483	George			
484	Nathan			
485	Gary			
486	Tom			
487	Walter			
488	Patrick			
489	Washington			
490	Michael			
491	Melvin			
492	Greg			
493	James			
494	Patrick			
495	Rob			
496	Joseph			HC sent 2/15/2011
497	Yi-wei			
498	Kenny			
499	Ken			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
500	Mr.	Benson							Morristown	NJ	
501	Mr.	Boris							Clarksburg	MD	
502	Mr.	David							Frankfort	KY	
503		Vytas							Chicago	IL	
504	Mr.	Michael							Vineland	NJ	
505	Mr.	Anthony							Albany	GA	
506	Ms.	Elaine							Denver	CO	
507	Mr.	John							Niagra Falls	NY	
508	Mr.	Kenneth							Kekaha	HI	
509	Mr.	Wilfred		SVP & Partner							
510	Mr.	Jon							Laytown	MO	
511	Mr.	Clark							Naples	FL	
512	Mr.	Hymie							Palm Beach Gardens	FL	
513	Mr.	Dave							Pam Beach Gardens	FL	
514	Mr.	Henry							New York	NY	
515	Mr.	Reid							Dallas	TX	
516	Mr.	Steve							Minot	ND	
517	Mr.	Richard							New Oxford	PA	
518	Mr.	Alan Shawn							Cranston	RI	
519	Mr.	Patrick							Wilmington	DE	
520		Ronnie							Delbarton	WV	
521	Mr.	Michael							Happy Valley	OR	
522	Ms.	Elizabeth							Los Angeles	CA	
523	Dr.	Sandra							Bethesda	MD	
524	Mr.	Lowell							Orange	CA	
525	Mr.	Jared							Hutchinson	MN	
526	Mr.	Jim							Ft. Worth	TX	
527	Mr.	Bill							Houston	TX	
528	Mr.	Marlin							Rio Verde	AZ	
529	Mr.	Roger							Eagleview	PA	
530	Mr.	Robert							Alexandria	VA	
531	Mr.	Gary							Hutchinson	MN	
532	Mr.	Jim							Hilton Head	SC	
533	Ms.	Mary						Wake Forest University	Winston-Salem	NC	
534	Mr.	Al							Buffalo	NY	
535	Mr.	Robert							San Anselmo	CA	
536	Mr.	John							Naples	FL	
537	Mr.	Ryan							Jacksonville	FL	
538	Mr.	David							Fullerton	CA	
539	Ms.	Ann							Scotsdale	AZ	
540	Mr.	Henry							Boulder	CO	
541	Mr.	Gabriel							New York	NY	
542	Mr.	Ron							Orange	CA	
543	Mr.	Ray							Henderson	TX	
544	Dr.	Gary							Jacksonville	FL	
545	Mr.	James		President					Cedar Rapids	IA	
546	Mr.	Frank							SantaBarbara	CA	
547	Mr.	Chris							Rochester	MN	
548	Mr.	Ron							Houston	TX	
549	Mr.	Stewart							Austin	TX	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
500	Benson			not sure	2/17/2010
501	Boris			website inquiry	2/21/2010
502	David			website inquiry	2/24/2010
503	Vytas			website inquiry	2/25/2010
504	Michael			not sure	2/25/2010
505	Anthony			not sure	2/25/2010
506	Elaine			not sure	3/3/2010
507	John			not sure	3/4/2010
508	Kenneth			not sure	3/10/2010
509	Wilfred			Contacted David via email	3/16/2010
510	Jon			Smart Money #14	3/19/2010
511	Clark			Smart Money #14	3/19/2010
512	Hymie			Smart Money #14	3/20/2010
513	Dave			Smart Money #14	3/22/2010
514	Henry			Smart Money #14	3/23/2010
515	Reid			Smart Money #14	3/23/2010
516	Steve			Smart Money #14	3/24/2010
517	Richard			Smart Money #14	3/26/2010
518	Alan Shawn			Smart Money #14	3/29/2010
519	Patrick			Morgan Stanley	4/1/2010
520	Ronnie			website inquiry	4/5/2010
521	Michael			website inquiry	4/5/2010
522	Elizabeth			website inquiry	4/6/2010
523	Sandra			Smart Money #14	4/9/2010
524	Lowell			website inquiry	4/14/2010
525	Jared			website inquiry	4/19/2010
526	Jim			website inquiry	4/21/2010
527	Bill			website inquiry	4/22/2010
528	Marlin			not sure	4/23/2010
529	Roger			not sure	4/23/2010
530	Robert			website inquiry	4/24/2010
531	Gary			website inquiry	4/25/2010
532	Jim			Website	4/29/2010
533	Mary			Website	5/18/2010
534	Al			From David Sappir	5/24/2010
535	Robert			Website	5/25/2010
536	John			Website	5/27/2010
537	Ryan			Website	5/30/2010
538	David			Website	6/3/2010
539	Ann			From David Sappir	6/3/2010
540	Henry			Website	6/14/2010
541	Gabriel			Website	6/17/2010
542	Ron			Website	7/7/2010
543	Ray			From Scott Halverson	7/8/2010
544	Gary			From David Sappir	7/13/2010
545	James			From Ted Bauchle	7/16/2010
546	Frank			Website	8/14/2010
547	Chris			David Sappir	8/16/2010
548	Ron			Website	8/17/2010
549	Stewart			Website	8/18/2010

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
500	Benson		2/17/2010		
501	Boris		2/22/2010		
502	David		2/25/2010		
503	Vytas		3/1/2010		
504	Michael		3/1/2010	3/1/2010	
505	Anthony		3/1/2010	3/1/2010	
506	Elaine		3/4/2010		
507	John		3/8/2010	3/8/2010	
508	Kenneth		3/15/2010	3/15/2010	
509	Wilfred		3/22/2010		
510	Jon		3/23/2010		
511	Clark		3/23/2010		
512	Hymie		3/23/2010		
513	Dave		3/23/2010		
514	Henry		3/23/2010		
515	Reid		3/24/2010		
516	Steve		3/25/2010		
517	Richard		4/6/2010	4/6/10 delayed due to not sure what to title account	
518	Alan Shawn		3/30/2010		
519	Patrick	4/6/10 sent various info			
520	Ronnie		4/6/2010		
521	Michael		4/5/2010		
522	Elizabeth		4/6/2010		
523	Sandra		4/13/2010		
524	Lowell		4/14/2010		
525	Jared		4/20/2010		
526	Jim		4/22/2010		
527	Bill		4/22/2010		
528	Marlin		4/27/2010	4/27/2010	
529	Roger		4/27/2010	4/27/2010	
530	Robert		4/26/2010		
531	Gary		4/26/2010		
532	Jim		4/29/2010		
533	Mary		5/19/2010		
534	Al		5/25/2010		
535	Robert		5/25/2010		
536	John		6/1/2010		
537	Ryan		6/1/2010		
538	David		6/7/2010		
539	Ann		6/3/2010		
540	Henry		6/14/2010		
541	Gabriel		6/17/2010		
542	Ron		7/8/2010		
543	Ray		7/13/2010		
544	Gary		7/13/2010		
545	James		7/21/2010		
546	Frank		8/14/2010		
547	Chris		8/16/2010		
548	Ron		8/18/2010		
549	Stewart		8/24/2010		

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
500	Benson			
501	Boris			
502	David			
503	Vytas			
504	Michael	2/25/2010		
505	Anthony	2/25/2010		
506	Elaine			
507	John			
508	Kenneth			
509	Wilfred			
510	Jon			
511	Clark			
512	Hymie			
513	Dave			
514	Henry			
515	Reid			
516	Steve			
517	Richard	3/26/2010		
518	Alan Shawn			
519	Patrick			
520	Ronnie			
521	Michael			
522	Elizabeth			
523	Sandra			
524	Lowell			
525	Jared			
526	Jim			
527	Bill			
528	Marlin	4/23/2010		
529	Roger	4/23/2010		
530	Robert			
531	Gary			
532	Jim			
533	Mary			
534	Al			
535	Robert			
536	John			
537	Ryan			
538	David			
539	Ann			
540	Henry			
541	Gabriel			
542	Ron			
543	Ray			
544	Gary			
545	James			
546	Frank			
547	Chris			sent PB/info 20100817
548	Ron			
549	Stewart			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
550	Mr.	Jay							Pensacola	FL	
551	Mrs.	Valentina							Woodhaven	NY	
552	Mr.	Glenn							Carlsbad	CA	
553	Mr.	Scott							SunValley	ID	
554	Mr.	Raphael							Wilmette	IL	
555	Mr.	Stan							Vienna	VA	
556	Mr.	David							Park City	UT	
557	Mr.	Michael							ParadiseValley	AZ	
558	Mr.	Gary							Owatonna	MN	
559	Mr.	John							SunCity	AZ	
560	Mr.	Michael							McLean	VA	
561	Mr.	Arthur							Boca Raton	FL	
562	Mr.	Clifford							Douglaston	NY	
563	Mr.	William							Madison	NJ	
564	Mr.	Scott							Birmingham	AL	
565	Mr.	Bakees							North Brunswick	NJ	
566	Mr.	Dimitar							Minneapolis	MN	
567	Mr.	Ray							Basye	VA	
568	Mr.	Stephen							Newport Beach	CA	
569	Ms.	Carole							Saint-Laurent	Quebec,	
570	Mr.	Richard							Lynnfield	MA	
571	Mr.	David							Naples	FL	
572	Ms.	Tamara							Valencia	PA	
573	Mr.	Richard							Milton	GA	
574	Mr.	John							Sedona	AZ	
575	Mr.	Donald		President					Davenport	IA	
576	Mr.	Rob							San Francisco	CA	
577	Mr.	Majeed							GoldRiver	CA	
578	Mr.	Ken							Solon	OH	
579	Mr.	Ari							Washington	DC	
580	Mrs.	Leila							Venice	CA	
581	Mr.	DB							NewYork	NY	
582	Mr.	Edward							Brooklyn	NY	
583	Mrs.	Tina							Bloomfield	MI	
584	Mr.	Charles							Milwaukee	WI	
585	Mr.	Ross							Atlanta	GA	
586	Mr.	David							Seminole	FL	
587	Mrs.	Maggie							Denver	CO	
588	Mr.	Frank							Wilmington	DE	
589	Mr.	Christopher							Suamico	WI	
590	Mr.	Charles							Scottsdale	AZ	
591	Mr.	Lorin							Henderson	NV	
592	Mr.	Grover							Marion	OH	
593	Mr.	Bernie							Boynton Beach	FL	
594	Mr.	Gary							San Fransico	CA	
595	Mr.	Tom							Fayetteville	NC	
596	Mr.	John							Basking Ridge	NJ	
597	Mr.	Jonathan							Potomac	MD	
598	Mr.	E.							Westport	MA	
599	Mr.	Tom							Atascadero	CA	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
550	Jay			Website	8/18/2010
551	Valentina			Website	8/18/2010
552	Glenn			Website	8/18/2010
553	Scott			Website	8/18/2010
554	Raphael			Website	8/18/2010
555	Stan			Website	8/18/2010
556	David			David Sappir	8/20/2010
557	Michael			Website	8/20/2010
558	Gary			Website	8/20/2010
559	John			Website	8/23/2010
560	Michael			Website	8/24/2010
561	Arthur			David Sappir	8/25/2010
562	Clifford			Website	8/27/2010
563	William			Website	8/29/2010
564	Scott			Website	8/29/2010
565	Bakees			Website	9/3/2010
566	Dimitar			Website	9/3/2010
567	Ray			Website	9/4/2010
568	Stephen			Website	9/6/2010
569	Carole			Website	9/7/2010
570	Richard			Website	9/9/2010
571	David			From David Sappir	9/10/2010
572	Tamara			Website	9/12/2010
573	Richard			Website	9/12/2010
574	John			Website	9/13/2010
575	Donald			From David Sappir	9/21/2010
576	Rob			Website	9/21/2010
577	Majeed			David Sappir	10/1/2010
578	Ken			Website	10/8/2010
579	Ari			David Sappir	11/1/2010
580	Leila			David Sappir	11/1/2010
581	DB			Website	11/2/2010
582	Edward			Website	11/3/2010
583	Tina			Website	11/5/2010
584	Charles			Website	11/9/2010
585	Ross			Website	11/9/2010
586	David			Website	11/9/2010
587	Maggie			Website	11/9/2010
588	Frank			David Sappir	11/12/2010
589	Christopher			Website	12/20/2010
590	Charles			Website	12/22/2010
591	Lorin			Website	12/24/2010
592	Grover			Website	12/25/2010
593	Bernie			Website	12/25/2010
594	Gary			Website	12/25/2010
595	Tom			Website	12/26/2010
596	John			Website	12/26/2010
597	Jonathan			Website	12/26/2010
598	E.			Website	12/26/2010
599	Tom			Website	12/26/2010

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
550	Jay	8/24/2010			
551	Valentina	8/24/2010			
552	Glenn	8/24/2010			
553	Scott	8/18/2010			
554	Raphael	8/18/2010			
555	Stan	8/24/2010			
556	David	8/24/2010			
557	Michael	8/23/2010			
558	Gary	8/24/2010			
559	John	8/24/2010			
560	Michael	8/24/2010			
561	Arthur	8/26/2010			
562	Clifford	8/30/2010			
563	William	8/30/2010			
564	Scott	8/30/2010			
565	Bakees	9/7/2010			
566	Dimitar	9/7/2010			
567	Ray	9/7/2010			
568	Stephen	9/7/2010			
569	Carole	9/8/2010			
570	Richard	9/9/2010			
571	David	9/13/2010			
572	Tamara	9/13/2010			
573	Richard	9/13/2010			
574	John	9/14/2010			
575	Donald	9/23/2010			
576	Rob	9/21/2010			
577	Majeed	10/5/2010			
578	Ken	10/8/2010			
579	Ari	11/1/2010			
580	Leila	11/1/2010			
581	DB	11/4/2010			
582	Edward	11/4/2010			
583	Tina	11/9/2010			
584	Charles	11/10/2010			
585	Ross	11/10/2010			
586	David	11/10/2010			
587	Maggie	11/10/2010			
588	Frank	11/12/2010			
589	Christopher	12/21/2010			
590	Charles	12/22/2010			
591	Lorin	12/28/2010			
592	Grover	12/28/2010			
593	Bernie	12/28/2010			
594	Gary	12/27/2010			
595	Tom	12/26/2010			
596	John	12/28/2010			
597	Jonathan	12/28/2010			
598	E.	12/28/2010			
599	Tom	12/28/2010			

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
550	Jay			
551	Valentina			
552	Glenn			
553	Scott			
554	Raphael			
555	Stan			
556	David			
557	Michael			
558	Gary			
559	John			
560	Michael			
561	Arthur			
562	Clifford			
563	William			
564	Scott			
565	Bakees			
566	Dimitar			
567	Ray			
568	Stephen			
569	Carole			
570	Richard			HC sent 9/13/2010
571	David			
572	Tamara			Invalid Email - Sent Hard Copy
573	Richard			
574	John			HC sent 9/15/2010
575	Donald			
576	Rob			HC sent 9/23/2010
577	Majeed			
578	Ken			
579	Ari			
580	Leila			
581	DB			
582	Edward			
583	Tina			
584	Charles			
585	Ross			
586	David			
587	Maggie			
588	Frank			Sent 10 Brochures, 10Charts,10Max Chapter
589	Christopher			
590	Charles			
591	Lorin			
592	Grover			
593	Bernie			
594	Gary			
595	Tom			
596	John			
597	Jonathan			
598	E.			
599	Tom			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
600	Mr.	Chad							Columbia	MD	
601	Mr.	Robert							Bellaire	TX	
602	Mr.	Peter							Summerfield	FL	
603	Mr.	Ray							Atlanta	GA	
604	Mr.	Joseph							Staten Island	NY	
605	Mr.	Matt							Chesterbrook	PA	
606	Mr.	Bruce							Buens park	CA	
607	Mr.	Robert							Clearwater	FL	
608	Mr.	Paul							Atlanta	GA	
609	Mr.	Bill							Miami Beach	FL	
610	Mr.	Eric							Dallas	TX	
611	Mr.	Julie							Los Angeles	CA	
612	Dr.	Earle							Bev Hills	CA	
613	Mr.	Harold							Great Neck	NY	
614	Mr.	Andrew							Tulsa	OK	
615		Aubrey							Dallas	TX	
616	Mr.	Tyrone							Wabon	MA	
617	Ms.	Lee Anne							Jupiter	FL	
618	Mr.	David							Jupiter	FL	
619		Cheryl & Bru							Ft. Myers	FL	
620	Ms.	Barbara							Tiburon	CA	
621	Ms.	Connie							New York	NY	
622	Mr.	Peter							Glenshaw	PA	
623	Mr.	John							New York	NY	
624	Mr.	James							Knoxville	TN	
625	Mr.	Dan							Annandale	NJ	
626	Mr.	Francis							Hartford	CT	
627	Dr.	Doug							Atlanta	GA	
628	Ms.	Margaret							Kingwood	TX	
629	Mr.	Evan							Bethesda	MD	
630	Dr.	Louis							Nyack	NY	
631	Mr.	Peter							Houston	TX	
632	Mr.	William							Worthington	OH	
633	Mr.	Joseph S							South Bend	IN	
634	Mr.	Steve							San Jose	CA	
635	Mr.	Jim							Deforest	WI	
636	Mr.	Gib							New York	NY	
637	Mr.	Mark							New York	NY	
638	Mr.	Jack							Sonoma	CA	
639	Mr.	Cecil							Morehead City	NC	
640	Mr.	V.							Ft. Lauderdale	FL	
641	Mr.	Robert							Nutley	NJ	
642	Mr.	Umberto							Independence	OH	
643	Mr.	Marian							Stamford	CT	
644	Mr.	Ken							Maple Grove	MN	
645	Mr.	D.L.							Diana	TX	
646	Mr.	Mark							Woburn	MA	
647	Mr.	Joseph							Independence	OH	
648	Mr.	Floyd							Las Vegas	NV	
649	Mr.	Daniel							Willow Park	TX	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
600	Chad			Website	12/26/2010
601	Robert			Website	12/26/2010
602	Peter			Website	12/27/2010
603	Ray			David Sappir	12/27/2010
604	Joseph			Website	12/27/2010
605	Matt			Website	12/27/2010
606	Bruce			David Sappir	12/27/2010
607	Robert			David Sappir	12/27/2010
608	Paul			Website	12/27/2010
609	Bill			David Sappir	12/28/2010
610	Eric			Website	12/28/2010
611	Julie			Website	12/28/2010
612	Earle			David Sappir	12/29/2010
613	Harold			Barrons 12/27/2010	12/29/2010
614	Andrew			Barrons 12/27/2010	12/30/2010
615	Aubrey			Barrons 12/27/2010	12/30/2010
616	Tyrone			Barrons 12/27/2010	12/30/2010
617	Lee Anne			Barrons 12/27/2010	12/30/2010
618	David			Barrons 12/27/2010	12/30/2010
619	Cheryl & Bru			Barrons 12/27/2010	12/30/2010
620	Barbara			Barrons 12/27/2010	12/30/2010
621	Connie			Barrons 12/27/2010	12/31/2010
622	Peter			Barrons 12/27/2010	12/31/2010
623	John			Barrons 12/27/2010	12/31/2010
624	James			Barrons 12/27/2010	1/1/2011
625	Dan			Barrons 12/27/2010	1/1/2011
626	Francis			Barrons 12/27/2010	1/1/2011
627	Doug			Barrons 12/27/2010	1/1/2011
628	Margaret			Barrons 12/27/2010	1/1/2011
629	Evan			Barrons 12/27/2010	1/1/2011
630	Louis			Barrons 12/27/2010	1/2/2011
631	Peter			Barrons 12/27/2010	1/2/2011
632	William			Barrons 12/27/2010	1/2/2011
633	Joseph S			Barrons 12/27/2010	1/2/2011
634	Steve			Barrons 12/27/2010	1/2/2011
635	Jim			Barrons 1/3/11	1/3/2011
636	Gib			Barrons 1/3/11	1/3/2011
637	Mark			Barrons 1/3/11	1/3/2011
638	Jack			Barrons 1/3/11	1/3/2011
639	Cecil			Barrons 1/3/11	1/3/2011
640	V.			Barrons 1/3/11	1/3/2011
641	Robert			Barrons 1/3/11	1/4/2011
642	Umberto			Barrons 1/3/11	1/4/2011
643	Marian			Barrons 1/3/11	1/4/2011
644	Ken			Barrons 1/3/11	1/4/2011
645	D.L.			Barrons 1/3/11	1/4/2011
646	Mark			Barrons 1/3/11	1/4/2011
647	Joseph			Barrons 1/3/11	1/5/2011
648	Floyd			Barrons 1/3/11	1/5/2011
649	Daniel			Barrons 1/3/11	1/5/2011

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
600	Chad		12/28/2010		
601	Robert		12/28/2010		
602	Peter		12/28/2010		
603	Ray		12/28/2010		
604	Joseph		12/28/2010		
605	Matt		12/28/2010		
606	Bruce		12/28/2010		
607	Robert		12/28/2010		
608	Paul		12/27/2010		
609	Bill		12/28/2010		
610	Eric		12/29/2010		
611	Julie		12/29/2010		
612	Earle		12/29/2010		
613	Harold		12/30/2010		
614	Andrew		12/30/2010		
615	Aubrey		12/30/2010		
616	Tyrone	12/30/210			
617	Lee Anne		12/30/2010	12/30/2010	
618	David		12/30/2010	12/30/2010	
619	Cheryl & Bru		12/30/2010	12/30/2010	
620	Barbara		12/30/2010	12/30/2010	
621	Connie		12/31/2010		
622	Peter		12/31/2010		
623	John		1/4/2011		
624	James		1/4/2011		
625	Dan		1/4/2011		
626	Francis		1/4/2011		
627	Doug		1/4/2011		
628	Margaret		1/4/2011		
629	Evan		1/4/2011		
630	Louis		1/4/2011		
631	Peter		1/4/2011		
632	William		1/4/2011		
633	Joseph S		1/4/2011		
634	Steve		1/4/2011		
635	Jim		1/4/2011		
636	Gib		1/4/2011		
637	Mark		1/4/2011		
638	Jack		1/4/2011		
639	Cecil		1/4/2011		
640	V.		1/6/2011	Feb. 2011	
641	Robert		1/4/2011		
642	Umberto		1/5/2011		
643	Marian		1/4/2011		
644	Ken		1/5/2011		
645	D.L.		1/6/2011		
646	Mark		1/4/2011		
647	Joseph		1/6/2011		
648	Floyd		1/6/2011		
649	Daniel		1/6/2011		

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
600	Chad			
601	Robert			
602	Peter			
603	Ray			
604	Joseph			
605	Matt			
606	Bruce			
607	Robert			
608	Paul			
609	Bill			
610	Eric			
611	Julie			
612	Earle			
613	Harold			
614	Andrew			
615	Aubrey			
616	Tyrone			
617	Lee Anne			
618	David			
619	Cheryl & Bru			
620	Barbara			
621	Connie			
622	Peter			
623	John			
624	James			
625	Dan			
626	Francis			
627	Doug			
628	Margaret			
629	Evan			
630	Louis			
631	Peter			
632	William			
633	Joseph S			
634	Steve			
635	Jim			
636	Gib			
637	Mark			
638	Jack			
639	Cecil			
640	V.			
641	Robert			
642	Umberto			
643	Marian			
644	Ken			
645	D.L.			
646	Mark			
647	Joseph			
648	Floyd			
649	Daniel			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
650	Mr.	Walter							Wakefield	RI	
651	Ms.	Marilyn							Fort Lee	NJ	
652	Mr.	Clayton R.							Gearhart	OR	
653	Mrs.	Nirmala							Lancaster	CA	
654	Mr.	Laurence							San Diego	CA	
655	Mr.	Charles							Los Altos	CA	
656	Mr.	Lawrence							Los Altos	CA	
657	Mr.	Arthur							Dana Point	CA	
658	Mr.	Robert							Hudson	NH	
659	Mr.	Enrique							Miami	FL	
660	Mr.	James							Knoxville	TN	
661	Mr.	Joshua							Tampa	FL	
662	Mr.	Paul							Providence	RI	
663	Mr.	Al							Los Angeles	CA	
664	Mr.	Ray							La Jolla	CA	
665	Mr.	Roger							Long Boat Key	FL	
666	Mr.	Bill							Fullerton	CA	
667	Mr.	Dan							Plymouth	MA	
668	Mr.	Ganesh							LasVagas	NV	
669	Mr.	Mark							GreenWood	IN	
670	Mr.	Jerry							Charlottesville	VA	
671	Mr.	Stanley							Boynton Beach	FL	
672	Mr.	Bernard							Boca Raton	FL	
673	Mr.	Ray							Walnut Creek	CA	
674	Mr.	Stephen							Long Beach	NY	
675	Mr.	Patrick							Newton	MA	
676	Mr.	Kenneth							Milford	DE	
677	Mr.	Dennis							Pinehurst	NC	
678	Mr.	Dennis							Cedar Rapids	IA	
679	Mr.	Jess							Brandenton	FL	
680	Mr.	Leslie							South Dartmouth	MA	
681	Mr.	James							Pasadena	CA	
682	Mr.	Don							North Platte	NE	
683	Mr.	Bill							Colorado Springs	CO	
684	Mr.	Donald							Westlake Village	CA	
685	Mr.	Rose							Belair	TX	
686	Mr.	Charlie							Charleston	SC	
687	Mr.	James							Middletown	MD	
688	Mr.	Jack							Mckinleyville	CA	
689	Mr.	Donald							Free Union	VA	
690	Mr.	Andrew							Reisterstown	MD	
691	Mr.	Amarjeet							Louisville	KY	
692	Mr.	Sundaresan							Pensacola	FL	
693	Dr.	Louis							Nyack	NY	
694	Mr.	John							Ft. Lauderdale	FL	
695	Mr.	Albert							Groveland	FL	
696	Mr.	Bill							Anchorage	AL	
697	Mr.	Bob							Elizabethtown	KY	
698	Mr.	Stephen							Independence	MO	
699	Mr.	Karl							Los Altos	CA	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
650	Walter			Barrons 1/3/11	1/6/2011
651	Marilyn			From David Sappir	1/6/2011
652	Clayton R.			Barrons 1/3/11	1/6/2011
653	Nirmala			From David Sappir	1/6/2011
654	Laurence			Barrons 1/3/11	1/6/2011
655	Charles			Barrons 1/3/11	1/7/2011
656	Lawrence			Barrons 1/3/11	1/7/2011
657	Arthur			Barrons 1/3/11	1/8/2011
658	Robert			Barrons 1/3/11	1/8/2011
659	Enrique			Barrons 1/7/11	1/10/2011
660	James			Barrons 1/7/11	1/10/2011
661	Joshua			Barrons 1/7/11	1/10/2011
662	Paul			Barrons 1/7/11	1/12/2011
663	Al			Barrons 1/7/11	1/12/2011
664	Ray			Barrons 1/7/11	1/13/2011
665	Roger			Barrons 1/7/11	1/13/2011
666	Bill			Website (Smart Money Feb 2011)	1/14/2011
667	Dan			Website (Smart Money Feb 2011)	1/15/2011
668	Ganesh			Website (Smart Money Feb 2011)	1/15/2011
669	Mark			Website (Smart Money Feb 2011)	1/16/2011
670	Jerry			Website (Smart Money Feb 2011)	1/16/2011
671	Stanley			Website (Smart Money Feb 2011)	1/16/2011
672	Bernard			David Sappir	1/18/2011
673	Ray			David Sappir	1/18/2011
674	Stephen			David Sappir	1/18/2011
675	Patrick			David Sappir	1/18/2011
676	Kenneth			Website (Smart Money Feb 2011)	1/18/2011
677	Dennis			Website (Smart Money Feb 2011)	1/18/2011
678	Dennis			Website (Smart Money Feb 2011)	1/19/2011
679	Jess			Website (Smart Money Feb 2011)	1/20/2011
680	Leslie			Website (Smart Money Feb 2011)	1/20/2011
681	James			Website (Smart Money Feb 2011)	1/20/2011
682	Don			David Sappir	1/20/2011
683	Bill			Website (Smart Money Feb 2011)	1/20/2011
684	Donald			Website (Smart Money Feb 2011)	1/20/2011
685	Rose			David Sappir	1/21/2011
686	Charlie			Website (Smart Money Feb 2011)	1/21/2011
687	James			Website (Smart Money Feb 2011)	1/21/2011
688	Jack			Website(Smart Money Feb 2011)	1/22/2011
689	Donald			Website (Smart Money Feb 2011)	1/22/2011
690	Andrew			Website(Smart Money Feb 2011)	1/22/2011
691	Amarjeet			Website (Smart Money February 2011)	1/23/2011
692	Sundaresan			Website (Smart Money February 2011)	1/23/2011
693	Louis			From David Sappir	1/24/2011
694	John			Website(Smart Money Feb 2011)	1/24/2011
695	Albert			Smart Money Feb 2011	1/24/2011
696	Bill			Website (Smart Money February 2011)	1/24/2011
697	Bob			Website(Smart Money Feb 2011)	1/24/2011
698	Stephen			Website(Smart Money Feb 2011)	1/25/2011
699	Karl			Website(Smart Money Feb 2011)	1/25/2011

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
650	Walter		1/11/2011		
651	Marilyn		1/11/2011		
652	Clayton R.		1/6/2011		
653	Nirmala		1/11/2011		
654	Laurence		1/6/2011		
655	Charles		1/11/2011		
656	Lawrence		1/11/2011		
657	Arthur		1/11/2011		
658	Robert		1/11/2011		
659	Enrique		1/11/2011		
660	James		1/10/2011		
661	Joshua		1/11/2011		
662	Paul		1/12/2011		
663	Al		1/13/2011		
664	Ray		1/13/2011		
665	Roger		1/13/2011		
666	Bill		1/18/2011		
667	Dan		1/18/2011		
668	Ganesh		1/18/2011		
669	Mark		1/19/2011		
670	Jerry		1/19/2011		
671	Stanley		1/19/2011		
672	Bernard		1/19/2011		
673	Ray		1/20/2011		
674	Stephen		1/19/2011		
675	Patrick		1/19/2011		
676	Kenneth		1/19/2011		
677	Dennis		1/20/2011		
678	Dennis		1/20/2011		
679	Jess		1/20/2011		
680	Leslie		1/24/2011		
681	James		1/26/2011		
682	Don		1/24/2011		
683	Bill		1/26/2011		
684	Donald		1/20/2011		
685	Rose		1/24/2011		
686	Charlie		1/24/2011		
687	James		1/24/2011		
688	Jack		1/25/2011		
689	Donald		1/24/2011		
690	Andrew		1/25/2011		
691	Amarjeet		1/25/2011		
692	Sundaresan		1/25/2011		
693	Louis		1/24/2011		
694	John		1/25/2011		
695	Albert		1/26/2011		
696	Bill		1/25/2011		
697	Bob		1/25/2011		
698	Stephen		1/26/2011		
699	Karl		1/25/2011		

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
650	Walter			
651	Marilyn			
652	Clayton R.			
653	Nirmala			
654	Laurence			
655	Charles			
656	Lawrence			
657	Arthur			
658	Robert			
659	Enrique			
660	James			
661	Joshua			
662	Paul			
663	Al			
664	Ray			
665	Roger			
666	Bill			
667	Dan			
668	Ganesh			
669	Mark			
670	Jerry			
671	Stanley			
672	Bernard			
673	Ray			
674	Stephen			
675	Patrick			
676	Kenneth			
677	Dennis			
678	Dennis			
679	Jess			
680	Leslie			
681	James			
682	Don			
683	Bill			
684	Donald			
685	Rose			
686	Charlie			
687	James			
688	Jack			
689	Donald			
690	Andrew			
691	Amarjeet			HC sent 1/24/2011
692	Sundaresan			HC sent 1/24/2011
693	Louis			
694	John			
695	Albert			
696	Bill			HC sent 1/24/2011
697	Bob			
698	Stephen			
699	Karl			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
700	Mr.	Alejandro							Raleigh	NC	
701	Mr.	BW							Greenbank	WA	
702	Mr.	Ralph							Chesterfield	MO	
703	Mr.	Alex							Evanston	IN	
704	Mr.	Carl							Viera	FL	
705	Ms.	Roseann							Highland Beach	FL	
706	Mr.	Robert							Spofford	NH	
707	Mr.	Kurt							Long Beach	CA	
708	Mr.	Irwin							New York	NY	
709	Mr.	Larry							Houston	TX	
710	Mr.	Lester							Lake Forest	IL	
711	Mr.	Deepak							Clinton	MS	
712	Mr.	Rob							Boulder	CO	
713	Mr.	Edgar							Alexandria	VA	
714		Wei							Chicago	IL	
715	Mr.	John							Herndon	VA	
716	Mr.	George							Chicago	IL	
717	Mr.	William							El Dorado	AR	
718	Mr.	William							St. Petersburg	FL	
719	Mr.	David							Winchester	VA	
720	Mr.	Tom							Scottsdale	AZ	
721	Mr.	Nelson							Smyrna	GA	
722	Ms.	Betty							Canoga Park	CA	
723	Mr.	Cengiz							Rolling Hills Estates	CA	
724	Mr.	Robert							Boynton	FL	
725	Mr.	Bruce							Iowa City	IA	
726	Mr.	Leon							Hamptons Bays	NY	
727	Ms.	Dana							Pittsfield	MA	
728	Mr.	Vivek							Lakewood Ranch	FL	
729	Mr.	Gary							New Holstein	WI	
730	Mr.	Howard							West Chester	PA	
731	Ms.	Rudy							Jackson Heights	NY	
732	Mr.	Spencer							Kansas City	MO	
733	Mr.	Malcolm							Walnut Creek	CA	
734	Mr.	Allan							El Dorado Hills	CA	
735	Mr.	Chris							Rochester	MN	
736	Mr.	J. Roger							Santa Barbara	CA	
737	Mr.	Matt									
738	Mr.	Clayton							Seneca	SC	
739		Jess							Palm Harbor	FL	
740	Mr.	Frank							Oklahoma City	OK	
741	Mr.	Matthew M.							San Antonio	TX	
742	Mr. & Mrs.	Murray							Del Ray Beach	FL	
743	Mr.	Bill							Austin	TX	
744	Mr.	Allen							Homer Glen	IL	
745	Mr.	Hayden							New York	NY	
746	Mr.	Jack							Indianapolis	IN	
747	Mr.	Hardy							Indianapolis	IN	
748	Mr.	Peter							Overland Park	KS	
749	Mr.	Mel							Boca Raton	FL	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
700	Alejandro			From David Sappir	1/26/2011
701	BW			From David Sappir	1/26/2011
702	Ralph			Website	1/26/2011
703	Alex			Website	1/27/2011
704	Carl			Website	1/29/2011
705	Roseann			Website	1/29/2011
706	Robert			Website	1/31/2011
707	Kurt			Website	2/3/2011
708	Irwin			Website	2/4/2011
709	Larry			From David Sappir	2/4/2011
710	Lester			Website	2/5/2011
711	Deepak			Website	2/5/2011
712	Rob			Website	2/6/2011
713	Edgar			Website	2/7/2011
714	Wei			Website	2/7/2011
715	John			Website	2/8/2011
716	George			Website	2/9/2011
717	William			From David Sappir	2/9/2011
718	William			From David Sappir	2/10/2011
719	David			Website	2/10/2011
720	Tom			From David Sappir	2/10/2011
721	Nelson			Website	2/10/2011
722	Betty			Website	2/11/2011
723	Cengiz			Website	2/11/2011
724	Robert			Website	2/13/2011
725	Bruce			Website	2/15/2011
726	Leon			Website	2/16/2011
727	Dana			Website	2/20/2011
728	Vivek			Website	2/20/2011
729	Gary			Website	2/21/2011
730	Howard			From David Sappir	2/22/2011
731	Rudy			Website	2/23/2011
732	Spencer			Website	3/2/2011
733	Malcolm			Website	3/2/2011
734	Allan			Website (Barrons 03/02/11	3/5/2011
735	Chris			From David Sappir	3/8/2011
736	J. Roger			From David Sappir	3/8/2011
737	Matt			Website	3/8/2011
738	Clayton			Website	3/11/2011
739	Jess			Website	3/12/2011
740	Frank			Website	3/13/2011
741	Matthew M.			From David Sappir	3/14/2011
742	Murray			From Grace	3/17/2011
743	Bill			Website	3/17/2011
744	Allen			Website (Barrons 03/19/11)	3/19/2011
745	Hayden			Website (Barrons 03/19/11	3/19/2011
746	Jack			Website (Barrons 03/19/11)	3/20/2011
747	Hardy			Website (Barrons 03/19/11)	3/20/2011
748	Peter			Website (Barrons 03/19/11)	3/21/2011
749	Mel			Website (Barrons 03/19/11	3/21/2011

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
700	Alejandro		1/31/2011		
701	BW		1/31/2011		
702	Ralph		1/26/2011		
703	Alex		1/31/2011		
704	Carl		1/31/2011		
705	Roseann		1/31/2011		
706	Robert		2/3/2011		
707	Kurt		2/3/2011		
708	Irwin		2/8/2011		
709	Larry		2/9/2011		
710	Lester		2/8/2011		
711	Deepak		2/8/2011		
712	Rob		2/8/2011		
713	Edgar		2/8/2011		
714	Wei		2/8/2011		
715	John		2/8/2011		
716	George		2/9/2011		
717	William		2/11/2011		
718	William		2/11/2011		
719	David		2/11/2011		
720	Tom		2/11/2010		
721	Nelson		2/11/2011		
722	Betty		2/14/2011		
723	Cengiz		2/14/2011		
724	Robert		2/14/2011		
725	Bruce		2/16/2010		
726	Leon		2/16/2011		
727	Dana		2/23/2011		
728	Vivek		2/23/2011		
729	Gary		2/23/2011		
730	Howard		2/23/2011		
731	Rudy		2/24/2011		
732	Spencer		3/3/2011		
733	Malcolm		3/8/2011		
734	Allan		3/8/2011		
735	Chris		3/9/2011		
736	J. Roger		3/9/2011		
737	Matt		3/9/2011		
738	Clayton		3/14/2011		
739	Jess		3/14/2011		
740	Frank		3/14/2011		
741	Matthew M.		3/14/2011		
742	Murray		3/21/2011	3/21/2011	
743	Bill		3/21/2011		
744	Allen		3/21/2011		
745	Hayden		3/21/2011		
746	Jack		3/21/2011		
747	Hardy		3/21/2011		
748	Peter		3/22/2011		
749	Mei		3/22/2011		

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
700	Alejandro			
701	BW			
702	Ralph			HC sent 1/31/2011
703	Alex			
704	Carl			
705	Roseann			
706	Robert			HC Sent 2/9/2011
707	Kurt			HC Sent 2/8/2011
708	Irwin			HC Sent 2/9/2011
709	Larry			
710	Lester			HC Sent 2/9/2011
711	Deepak			HC Sent 2/9/2011
712	Rob			HC Sent 2/9/2011
713	Edgar			
714	Wei			HC sent 2/9/2011
715	John			HC sent 2/9/2011
716	George			
717	William			
718	William			
719	David			
720	Tom			
721	Nelson			
722	Betty			HC sent 2/15/2011
723	Cengiz			HC sent 2/15/2011
724	Robert			
725	Bruce			HC sent 2/17/2010
726	Leon			HC sent 2/17/2010
727	Dana			
728	Vivek			
729	Gary			
730	Howard			
731	Rudy			
732	Spencer			
733	Malcolm			
734	Allan			
735	Chris			
736	J. Roger			
737	Matt			
738	Clayton			
739	Jess			
740	Frank			
741	Matthew M.			
742	Murray			
743	Bill			
744	Allen			
745	Hayden			
746	Jack			
747	Hardy			
748	Peter			
749	Mel			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
750	Mr.	Raffalele							Highland Mills	NY	
751	Mr.	Jim							Farmington Hills	MI	
752	Mr.	Jack							Farmington Hills	MI	
753	Mr.	Bhagubhai							Greer	SC	
754	Ms.	Susan							Sarasota	FL	
755	Mr.	John							Reeds Spring	MO	
756	Mr.	Ron							Rockville	MD	
757	Mr.	Jim							Palo Alto	CA	
758	Mr.	Fred							Van Cleave	MS	
759	Mr.	Sean							Los Angeles	CA	
760	Mr.	Don							Tulsa	OK	
761	Mr.	Ed							Philadelphia	PA	
762	Mr.	Nathan							Tampa	FL	
763	Mr.	Roger							White Plains	NY	
764	Mr.	Stephen							Armonk	NY	
765	Mr.	Tyler							Tampa	FL	
766	Mr.	Larry							Edgewater	NJ	
767	Mr.	Randall							Hanover	IL	
768	Mr.	Mel							Del Ray Beach	FL	
769	Mr.	James							Metairite	LA	
770	Mr.	Philip							Garden Grove	CA	
771	Mr.	Donald							Trabuco Canyon	CA	
772	Mr.	James							Carson City	NV	
773	Mr.	Robert							Rock Tavern	NY	
774	Mr.	Frank							Brown Deer	WI	
775	Mr.	Terry							Edina	MN	
776	Mr.	Paul							Satellite Beach	FL	
777	Mr.	Venkat							Ellicott City	MD	
778	Mr.	John							Pinellas Park	FL	
779		Weiwen							Woodbury	MN	
780	Mr.	Drew							Toms River	NJ	
781	Mr.	Clifford							San Diego	CA	
782	Mr.	Steven							Irvine	CA	
783	Mr.	George							Rancho Palos Verdes	CA	
784	Mr.	David							New York	NY	
785	Mr.	Seymour							New York	NY	
786	Mr.	Robert							Perry	GA	
787	Mr.	David							San Francisco	CA	
788	Mr.	George							Colleyville	TX	
789	Mr.	Robert							Los Angeles	CA	
790	Mr.	Bruce							Yorkville	IL	
791	Mr.	Ray							Alexandria	VA	
792	Mr.	Raj							Morgan Hill	NJ	
793	Mr.	Christopher							Suamico	WI	
794	Mr.	Michael							Newtown	CT	
795	Mr.	Alfred							Scarsdale	NY	
796	Mr.	George							Waban	MA	
797	Mr.	Mark							Granville	OH	
798	Mr.	Barry							Brooklyn	NY	
799	Mr.	Choung									

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
750	Raffalele			From David (Barrons 03/19/11)	3/21/2011
751	Jim			Website (Barrons 03/19/11)	3/21/2011
752	Jack			From David (Barrons 03/19/11)	3/21/2011
753	Bhagubhai			Website (Barrons 03/19/11)	3/22/2011
754	Susan			Website (Barrons 03/19/11)	3/23/2011
755	John			Webstie (Barrons 03/19/11)	3/24/2011
756	Ron			From David Sappir (Barrons 3/19/11)	3/24/2011
757	Jim			Website (Barrons 03/19/11)	3/28/2011
758	Fred			From David Sappir (Barrons 03/21/11)	3/28/2011
759	Sean			Website (Barrons 03/19/11)	3/28/2011
760	Don			Website (Barrons 03/19/11)	3/29/2011
761	Ed			From David Sappir (Barrons 03/19/11)	3/29/2011
762	Nathan			Website	4/4/2011
763	Roger			From David (Smart Money May 2011)	4/8/2011
764	Stephen			Website (Smart Money May 2011)	4/10/2011
765	Tyler			Website (Smart Money May 2011)	4/10/2011
766	Larry			Website (Smart Money May 2011)	4/10/2011
767	Randall			Website (Smart Money May 2011)	4/10/2011
768	Mel			From David (Smart Money May 2011)	4/14/2011
769	James			Website (Smart Money May 2011)	4/15/2011
770	Philip			Website (Smart Money May 2011)	4/18/2011
771	Donald			Website (Smart Money May 2011)	4/18/2011
772	James			Website (Smart Money May 2011)	4/18/2011
773	Robert			Website (Smart Money May 2011)	4/18/2011
774	Frank			Website (Smart Money May 2011)	4/18/2011
775	Terry			From David (Smart Money May 2011)	4/18/2011
776	Paul			Website (Smart Money May 2011)	4/18/2011
777	Venkat			Website (Smart Money May 2011)	4/18/2011
778	John			Website (Smart Money May 2011)	4/18/2011
779	Weiwen			Website (Smart Money May 2011)	4/18/2011
780	Drew			Website (Smart Money May 2011)	4/19/2011
781	Clifford			Website (Smart Money May 2011)	4/19/2011
782	Steven			Website (Smart Money May 2011)	4/19/2011
783	George			Website (Smart Money May 2011)	4/19/2011
784	David			From David (Smart Money May 2011)	4/19/2011
785	Seymour			From David (Smart Money May 2011)	4/19/2011
786	Robert			Website (Smart Money May 2011)	4/20/2011
787	David			Website (Smart Money May 2011)	4/20/2011
788	George			Website (Smart Money May 2011)	4/20/2011
789	Robert			Website (Smart Money May 2011)	4/20/2011
790	Bruce			Website (Smart Money May 2011)	4/20/2011
791	Ray			Website (Smart Money May 2011)	4/21/2011
792	Raj			Website (Smart Money May 2011)	4/22/2011
793	Christopher			Website (Smart Money May 2011)	4/22/2011
794	Michael			Website (Smart Money May 2011)	4/23/2011
795	Alfred			Website (Smart Money May 2011)	4/24/2011
796	George			Website (Smart Money May 2011)	4/24/2011
797	Mark			Website (Smart Money May 2011)	4/24/2011
798	Barry			Website (Smart Money May 2011)	4/24/2011
799	Choung			From David (Smart Money May 2011)	4/25/2011

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
750	Raffalele		3/21/2011		
751	Jim		3/22/2011		
752	Jack		3/21/2011		
753	Bhagubhai		3/23/2011		
754	Susan		3/24/2011	4/7/2011	
755	John		3/24/2011		
756	Ron		3/24/2011		
757	Jim		3/29/2011		
758	Fred		3/29/2011		
759	Sean		3/29/2011		
760	Don		3/29/2011		
761	Ed		3/29/2011		
762	Nathan		4/5/2011		
763	Roger		4/11/2011		
764	Stephen		4/11/2011		
765	Tyler		4/11/2011		
766	Larry		4/11/2011		
767	Randall		4/11/2011		
768	Mel		4/14/2011		
769	James		4/18/2011		
770	Philip		4/18/2011		
771	Donald		4/18/2011		
772	James	4/19/11 - only hard copies sent			
773	Robert		4/18/2011		
774	Frank		4/18/2011		
775	Terry		4/19/2011		
776	Paul		4/19/2011		
777	Venkat		4/18/2011		
778	John		4/19/2011		
779	Weiwen		4/18/2011		
780	Drew		4/20/2011		
781	Clifford		4/20/2011		
782	Steven		4/19/2011		
783	George		4/19/2011		
784	David		4/20/2011		
785	Seymour		4/20/2011		
786	Robert		4/20/2011		
787	David		4/21/2011		
788	George		4/20/2011		
789	Robert		4/21/2011		
790	Bruce		4/21/2011		
791	Ray		4/21/2011		
792	Raj		4/25/2011		
793	Christopher		4/25/2011		
794	Michael		4/25/2011		
795	Alfred		4/25/2011		
796	George		4/25/2011		
797	Mark		4/25/2011		
798	Barry		4/25/2011		
799	Choung	4/26/11 - only email contact			

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
750	Raffalele			
751	Jim			
752	Jack			
753	Bhagubhai			
754	Susan			
755	John			
756	Ron			
757	Jim			
758	Fred			
759	Sean			
760	Don			
761	Ed			
762	Nathan			
763	Roger			
764	Stephen			
765	Tyler			
766	Larry			
767	Randall			
768	Mel			
769	James			
770	Philip			
771	Donald			
772	James			
773	Robert			
774	Frank			
775	Terry			
776	Paul			
777	Venkat			
778	John			
779	Weiwen			
780	Drew			
781	Clifford			
782	Steven			
783	George			
784	David			
785	Seymour			
786	Robert			
787	David			
788	George			
789	Robert			
790	Bruce			
791	Ray			
792	Raj			
793	Christopher			
794	Michael			
795	Alfred			
796	George			
797	Mark			
798	Barry			
799	Choung			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
800	Mr.	Scott							New York	NY	
801	Mr.	John							Lutherville	MD	
802	Mr.	Coman							Sugar Mountain	NC	
803	Mr.	Stephen							Walled Lake	MI	
804	Mr.	Leon							Hampton Bays	NY	
805	Mr.	Ray							Four Seasons	MO	
806	Mr.	Nathan							Del Ray Beach	FL	
807	Mr.	George							Fairhope	AL	
808	Mr.	Michael							Franklin Lakes	NJ	
809	Mr.	Damon							Beaumont	TX	
810	Mr.	Irwin							Oak Park	IL	
811	Mr.	David							Overland Park	KS	
812	Mr.	Naren							Palos Verdes	CA	
813	Mr.	Patrick							East Longmeado	MA	
814	Mr.	David							Penfield	NY	
815	Mr.	Roger							Milford	CT	
816	Mr.	Nathan							Tampa	FL	
817	Mr.	W.R.							Center	TX	
818	Mr.	Ken							Chester	VA	
819	Mr.	William							Sarasota	FL	
820	Mr.	Joseph							Alameda	CA	
821	Ms.	Patty							Kinnelon	NJ	
822	Mr.	Robert							Stanwood	WA	
823	Ms.	Mindy							Huntingdon Valley	PA	
824	Mr.	Jim							Binghamton	NY	
825	Mr.	Bernardo							Kearny	NJ	
826	Mr.	Darrell							Castro Valley	CA	
827	Mr.	Nigel							Crestview	FL	
828	Ms.	Leslie							Oak Park	IL	
829	Mr.	Lee							Cold Spring Harbor	NY	
830	Mr.	Vincent							Grosse Pointe Farms	MI	
831	Mr.	James							Carlisle	PA	
832	Mr.	Aaron									
833	Mr.	Marvin							Rockaway Beach	NY	
834	Mr.	Tony									
835	Mr.	Russell							Pasadena	CA	
836	Mr.	Gerry							El Cajon	CA	
837	Mr.	Darrell							The Villages	FL	
838	Mr.	Stephen							Frontenac	MO	
839	Mr.	Joe							Chester	NJ	
840	Mr.	Lee							Whittier	CA	
841	Mr.	Tony							Newark	NJ	
842	Mr.	Ahmed							Chicago	IL	
843	Ms.	Carol							North Palm Beach	FL	
844	Mr.	Marco							Bradenton	FL	
845	Mr.	Michael							Los Gatos	CA	
846	Mr.	Fred							Salt Lake City	UT	
847	Mr.	Roger							Riverside	IL	
848		Cassian							Milpitas	CA	
849	Mr.	Richard							Clarkston	WA	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
800	Scott			From David (Smart Money May 2011)	4/25/2011
801	John			Website (Smart Money May 2011)	4/25/2011
802	Coman			Website (Smart Money May 2011)	4/26/2011
803	Stephen			Website (Smart Money May 2011)	4/26/2011
804	Leon			Website (Smart Money May 2011)	4/28/2011
805	Ray			Website (Smart Money May 2011)	4/30/2011
806	Nathan			Website (Smart Money May 2011)	5/1/2011
807	George			Website (Smart Money May 2011)	5/1/2011
808	Michael			Website (Smart Money May 2011)	5/2/2011
809	Damon			From David	5/4/2011
810	Irwin			From David (Smart Money May 2011)	5/4/2011
811	David			Website (Smart Money May 2011)	5/5/2011
812	Naren			Website (Smart Money May 2011)	5/7/2011
813	Patrick			Website (Smart Money May 2011)	5/9/2011
814	David			Website	5/16/2011
815	Roger			Website	5/23/2011
816	Nathan			Website	5/24/2011
817	W.R.			From David	5/25/2011
818	Ken			Website	5/26/2011
819	William			From David	5/27/2011
820	Joseph			Website	6/1/2011
821	Patty			Website	6/1/2011
822	Robert			Website	6/2/2011
823	Mindy			Website	6/3/2011
824	Jim			Website	6/9/2011
825	Bernardo			Website (Smart Money July 2011 or Forbes June 27)	6/10/2011
826	Darrell			Website (Smart Money July 2011 or Forbes June 27)	6/11/2011
827	Nigel			Website (Smart Money July 2011 or Forbes June 27)	6/11/2011
828	Leslie			Website (Smart Money July 2011 or Forbes June 27)	6/12/2011
829	Lee			Website (Smart Money July 2011 or Forbes June 27)	6/12/2011
830	Vincent			Website (Smart Money July 2011 or Forbes June 27)	6/13/2011
831	James			From David (Smart Money July 2011 or Forbes June 27)	6/16/2011
832	Aaron			From David via Greg [REDACTED]	6/17/2011
833	Marvin			From David (Smart Money July 2011 or Forbes June 27)	6/17/2011
834	Tony			From David via Greg [REDACTED]	6/17/2011
835	Russell			Website (Smart Money July 2011 or Forbes June 27)	6/17/2011
836	Gerry			Website (Smart Money July 2011 or Forbes June 27)	6/19/2011
837	Darrell			Website (Smart Money July 2011 or Forbes June 27)	6/19/2011
838	Stephen			Website (Smart Money July 2011 or Forbes June 27)	6/19/2011
839	Joe			Website (Smart Money July 2011 or Forbes June 27)	6/20/2011
840	Lee			Website (Smart Money July 2011 or Forbes June 27)	6/20/2011
841	Tony			Website (Smart Money July 2011 or Forbes June 27)	6/20/2011
842	Ahmed			Website (Smart Money July 2011 or Forbes June 27)	6/22/2011
843	Carol			Website (Smart Money July 2011 or Forbes June 27)	6/22/2011
844	Marco			Website (Smart Money July 2011 or Forbes June 27)	6/22/2011
845	Michael			Website (Smart Money July 2011 or Forbes June 27)	6/24/2011
846	Fred			From David (Smart Money July 2011 or Forbes June 27)	6/27/2011
847	Roger			From David (Smart Money July 2011 or Forbes June 27)	6/27/2011
848	Cassian			Website (Smart Money July 2011 or Forbes June 27)	6/27/2011
849	Richard			From David (Smart Money July 2011 or Forbes June 27)	6/29/2011

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
800	Scott		4/26/2011		
801	John		4/26/2011		
802	Coman		4/27/2011		
803	Stephen		4/27/2011		
804	Leon		5/2/2011		
805	Ray		5/2/2011		
806	Nathan		5/2/2011		
807	George		5/2/2011		
808	Michael		5/3/2011		
809	Damon		5/5/2011		
810	Irwin		5/5/2011		
811	David		5/5/2011		
812	Naren		5/10/2011		
813	Patrick		5/10/2011		
814	David		5/18/2011		
815	Roger		5/24/2011		
816	Nathan		5/25/2011		
817	W.R.		5/26/2011		
818	Ken		5/31/2011		
819	William		5/31/2011		
820	Joseph		6/2/2011		
821	Patty		6/1/2011		
822	Robert		6/2/2011		
823	Mindy		6/6/2011		
824	Jim		6/13/2011		
825	Bernardo		6/13/2011		
826	Darrell		6/13/2011		
827	Nigel		6/13/2011		
828	Leslie		6/13/2011		
829	Lee		6/13/2011		
830	Vincent		6/13/2011		
831	James		6/16/2011		
832	Aaron		6/20/2011		
833	Marvin		6/21/2011		
834	Tony		6/20/2011		
835	Russell		6/21/2011		
836	Gerry		6/21/2011		
837	Darrell		6/21/2011		
838	Stephen		6/21/2011		
839	Joe		6/21/2011		
840	Lee		6/21/2011		
841	Tony		6/21/2011		
842	Ahmed		6/27/2011		
843	Carol		6/22/2011		
844	Marco		6/22/2011		
845	Michael		6/27/2011		
846	Fred		6/29/2011		
847	Roger		6/27/2011	10-31-11 2nd try 12/14/11	
848	Cassian		6/28/2011		
849	Richard		6/30/2011		

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
800	Scott			
801	John			
802	Coman			
803	Stephen			
804	Leon			
805	Ray			
806	Nathan			
807	George			
808	Michael			
809	Damon			
810	Irwin			
811	David			
812	Naren			
813	Patrick			
814	David			
815	Roger			
816	Nathan			
817	W.R.			
818	Ken			
819	William			
820	Joseph			
821	Patty			
822	Robert			
823	Mindy			
824	Jim			
825	Bernardo			
826	Darrell			
827	Nigel			
828	Leslie			
829	Lee			
830	Vincent			
831	James			
832	Aaron			
833	Marvin			
834	Tony			
835	Russell			
836	Gerry			
837	Darrell			
838	Stephen			
839	Joe			
840	Lee			
841	Tony			
842	Ahmed			
843	Carol			
844	Marco			
845	Michael			
846	Fred			
847	Roger			
848	Cassian			
849	Richard			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
850		Vennie							Chicago	IL	
851	Mr.	Alfred							Bourne	TX	
852	Mr.	James							Howell	MI	
853	Mr.	Phillip J.				Executive VP/Director of Manager Res			Chicago	IL	
854	Mr.	Steven							Victorville	CA	
855	Mr.	Dave							Downers Grove	IL	
856	Mr.	Derek							New York	NY	
857	Mr.	Jack							Farmington Hills	MI	
858	Mr.	Ronald							Spring Lake	NJ	
859	Mr.	Joe							Tucson	AZ	
860		Jie							Nashua	NH	
861	Ms.	Bettylou							Glasgow	KY	
862	Mr.	Jeffery				Research Analyst			Whitestone	NY	
863	Mr.	Edward							Westville	NJ	
864	Mr.	Benjamin							Arcata	CA	
865	Mr.	Eduardo									
866	Mr.	John							Hempstead	NC	
867	Mr.	Mark							Henderson	NV	
868	Mr.	Robert							Hilton Head Island	SC	
869	Mr.	William							Arcadia	CA	
870	Mr.	Paul							Winchester	MA	
871	Mr.	Richard							Mill Valley	CA	
872	Ms.	Julie							Sanford	FL	
873	Mr.	Hugh							Bel Air	CA	
874	Mr.	Donald							St. Louis	MO	
875	Mr.	Greg							Spokane	WA	
876	Mr.	Wade							Buffalo	NY	
877		Rohit							Aurora	IL	
878	Mr.	Jeff							Irvine	CA	
879	Mr.	Robert							Bellevue	WA	
880		Abdel Sallan							Coconut Creek	FL	
881	Mr.	Colby							Nashville	TN	
882	Mr.	Leonard J.							Holbrook	NY	
883	Mr.	Brian							Cottage Grove	WI	
884	Mr.	John							Ausin	TX	
885	Mr.	Richard							Orinda	CA	
886	Mr.	Gary							Las Vegas	NV	
887	Mr.	James							Fairhope	AL	
888	Mr.	Art							Wrightsville	PA	
889	Dr.	Doug							Atlanta	GA	
890	Ms.	Diane							Whoming	MI	
891	Mr.	Grover							Marion	OH	
892	Mr.	Vito							Pompano Beach	FL	
893	Mr.	Roman							DeLand	FL	
894	Mr.	Matthew							Memphis	TN	
895	Mr.	Ed							Oxford	MS	
896	Mr.	Dmitry							Farmington Hills	MI	
897	Mr.	Jeremy		Financial Consultant		Wells Fargo Advisors					
898	Mr.	Phil							Chicago	IL	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
850	Vennie			From David via Greg [REDACTED]	6/29/2011
851	Alfred			From David via William [REDACTED]	6/29/2011
852	James			Website (Smart Money July 2011 or Forbes June 27)	6/29/2011
853	Phillip J.			From David	6/30/2011
854	Steven			Website (Smart Money July 2011 or Forbes June 27)	7/4/2011
855	Dave			From David via Greg [REDACTED]	7/5/2011
856	Derek			Website (Smart Money July 2011 or Forbes June 27)	7/6/2011
857	Jack			Website (Smart Money July 2011 or Forbes June 27)	7/6/2011
858	Ronald			From David (Smart Money July 2011 or Forbes June 27)	7/6/2011
859	Joe			Website (Smart Money July 2011 or Forbes June 27)	7/7/2011
860	Jie			Website (Smart Money July 2011 or Forbes June 27)	7/7/2011
861	Bettylou			Website (Smart Money July 2011 or Forbes June 27)	7/8/2011
862	Jeffery			From David	7/11/2011
863	Edward			Website (Smart Money July 2011 or Forbes June 27)	7/11/2011
864	Benjamin			Website (Smart Money July 2011 or Forbes June 27)	7/12/2011
865	Eduardo			From David	7/14/2011
866	John			From David (Smart Money July 2011 or Forbes June 27)	7/15/2011
867	Mark			Website (Smart Money July 2011 or Forbes June 27)	7/15/2011
868	Robert			Website (Smart Money July 2011 or Forbes June 27)	7/17/2011
869	William			Website	8/6/2011
870	Paul			Website	8/9/2011
871	Richard			Website	8/15/2011
872	Julie			Called FL office	8/22/2011
873	Hugh			From David	8/24/2011
874	Donald			From David	8/30/2011
875	Greg			Website	9/5/2011
876	Wade			Website	9/9/2011
877	Rohit			Website	9/14/2011
878	Jeff			Website	9/16/2011
879	Robert			Website	9/17/2011
880	Abdel Sallan			Website	9/27/2011
881	Colby			Website	9/28/2011
882	Leonard J.			Website	10/5/2011
883	Brian			Website	10/26/2011
884	John			Website	11/1/2011
885	Richard			From David	11/2/2011
886	Gary			From David	11/2/2011
887	James			Website	11/8/2011
888	Art			From David	11/15/2011
889	Doug			Website	11/18/2011
890	Diane			From David	11/21/2011
891	Grover			Website	11/28/2011
892	Vito			Website	1/6/2012
893	Roman			Website	1/12/2012
894	Matthew			Website	1/26/2012
895	Ed			Website	2/1/2012
896	Dmitry			Website	2/6/2012
897	Jeremy			From David	2/14/2012
898	Phil			Website	3/1/2012

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
850	Vennie		6/30/2011		
851	Alfred		6/30/2011		
852	James		6/30/2011		
853	Phillip J.		7/5/2011		
854	Steven		7/6/2011		
855	Dave		7/6/2011		
856	Derek		7/7/2011		
857	Jack		7/6/2011		
858	Ronald		7/6/2011		
859	Joe		7/7/2011		
860	Jie		7/11/2011		
861	Bettylou		7/11/2011		
862	Jeffery		7/14/2011		
863	Edward		7/11/2011		
864	Benjamin		7/13/2011		
865	Eduardo		7/14/2011		
866	John		7/18/2011		
867	Mark		7/18/2011		
868	Robert		7/18/2011	12/7/2012 YES - Asian & Global GIPS	
869	William		8/9/2011		
870	Paul		8/9/2011		
871	Richard		8/15/2011		
872	Julie		8/23/2011		
873	Hugh		8/29/2011		
874	Donald		8/31/2011		
875	Greg		9/7/2011		
876	Wade		9/12/2011		
877	Rohit		9/14/2011		
878	Jeff		9/19/2011		
879	Robert		9/19/2011		
880	Abdel Sallan		9/27/2011		
881	Colby		9/28/2011		
882	Leonard J.		10/5/2011		
883	Brian		10/27/2011		
884	John		11/3/2011		
885	Richard		11/3/2011		
886	Gary		11/3/2011		
887	James		11/9/2011		
888	Art		11/16/2011		
889	Doug		11/22/2011		
890	Diane		11/22/2011		
891	Grover		11/30/2011		
892	Vito		1/10/2012		
893	Roman		1/18/2012		
894	Matthew	1/30/12 - only sent info via email!!			
895	Ed		2/2/2012		
896	Dmitry	2/7/12 email/2/8/12 hardcopy emailed info only he also spoke to Mark - we are to small as of Feb 2012 to have them work with us.			
897	Jeremy				
898	Phil	email: 3/5/12 hardcopy: 3/6/12			

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
850	Vennie			
851	Alfred			
852	James			
853	Phillip J.			
854	Steven			
855	Dave			
856	Derek			
857	Jack			
858	Ronald			
859	Joe			
860	Jie			
861	Bettylou			
862	Jeffery			
863	Edward			
864	Benjamin			
865	Eduardo			
866	John			
867	Mark			
868	Robert			
869	William			
870	Paul			
871	Richard			
872	Julie			
873	Hugh			
874	Donald			
875	Greg			
876	Wade			
877	Rohit			
878	Jeff			
879	Robert			
880	Abdel Sallan			
881	Colby			
882	Leonard J.			
883	Brian			
884	John			
885	Richard			
886	Gary			
887	James			
888	Art			
889	Doug			
890	Diane			
891	Grover			
892	Vito			
893	Roman			
894	Matthew			
895	Ed			
896	Dmitry			
897	Jeremy			
898	Phil			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
899	Mr.	Don							Leesburg	FL	
900	Mr.	David							Great Neck	NY	
901	Dr.	Leonard							Holbrook	NY	
902	Mr.	Rick							Norwalk	CT	
903	Mr.	Jim							Pine Bluff	AR	
904	Mr.	Doug							Atlanta	GA	
905	Mr.	Gary							Shrewsbury	MA	
906	Mr.	Nathan							Tampa	FL	
907	Mr.	David							New York	NY	
908	Mr.	Ted							Palmdale	CA	
909	Mr.	Bill							New York	NY	
910	Mr.	Clarke							Canada		
911	Mr.	Bhagubhai							Greer	SC	
912	Mr.	Brad							New York	NY	
913	Dr.	Clemens							New York	NY	
914	Mr.	James							Blairstown	NJ	
915	Mr.	Richard							Orinda	CA	
916	Mr.	Martin							Beverly Hills	CA	
917	Mr.	Hugo							Cranston	RI	
918	Mr.	Andres				Investment Associate			Westfield	NJ	
919	Mr.	Russell							Dallas	TX	
920	Mr.	Andrew							San Marino	CA	
921	Mr.	Peter							Sumter	SC	
922	Mr.	David G.							Chicago	IL	
923	Mr.	Fabio									
924	Mr.	Gary							Owatonna	MN	
925	Mr. & Mrs.	James (Pan							Loudin	TN	
926	Mr.	Maghar							Webster	NY	
927	Mr.	H. Robbie							Vista	CA	
928	Dr.	Perrin							Tomball	TX	
929	Mr.	Frank							Naperville	IL	
930	Mr.	Chip							Augusta	GA	
931	Mr.	Wing							Orlando	FL	
932	Mr.	Donald							Boise	ID	
933	Mr.	Orest							Manmouth Beach	NJ	
934	Mr.	Dora							Toronto	CA	
935	Mr.	Joseph							Ponte Vedra Beach	FL	
936	Mr.	Mark							N Ft. Myers	FL	
937	Mr.	Eric							Ponte Vedra Beach	FL	
938	Mr.	Sharath							Billerica	MA	
939	Mr.	Irwin							Hilton Head	SC	
940	Mr.	Cecil W.							Pontotoc	MS	
941	Ms.	Jennifer							Beverly Hills	CA	
942	Mr.	Douglas							Glen Ellyn	IL	
943	Mr.	Benjamin							Amherst	NH	
944	Mr.	Jack							Farmington	MI	
945	Mr.	Pieter							Parksville	BC	
946	Mr.	Leland							Naples	FL	
947	Mr.	Donald							Sun City	FL	
948	Mr.	Jay							Palatine	IL	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
899	Don			From David	3/1/2012
900	David			Son of current Client Alex Michaels	3/5/2012
901	Leonard			From David	3/6/2012
902	Rick			On Investment Report list - 2009	3/8/2012
903	Jim			Website	3/29/2012
904	Doug			Website	3/30/2012
905	Gary			Website	3/31/2012
906	Nathan			On Investment Report List	4/18/2012
907	David			Website	5/15/2012
908	Ted			Website	5/17/2012
909	Bill			Website	5/21/2012
910	Clarke			Confrence call with Mark & David	6/20/2012
911	Bhagubhai			Website	7/20/2012
912	Brad			Website	7/24/2012
913	Clemens			Former Client from 2007	9/6/2012
914	James			Mailing list from 10/4/2010	9/20/2012
915	Richard			Forbes Oct 2012	9/29/2012
916	Martin			Forbes Oct 2012	9/29/2012
917	Hugo			Client - Mr. [redacted]	10/3/2012
918	Andres			Forbes Oct 2012	10/3/2012
919	Russell			Forbes Oct 2012	10/4/2012
920	Andrew			Forbes Oct 2012	10/4/2012
921	Peter			Client - Mr. [redacted]	10/10/2012
922	David G.			Forbes Oct 2012	10/16/2012
923	Fabio			Emailed Ted	11/5/2012
924	Gary			Orginal Contact made: 8/24/12 Now: 11/12/12	11/12/2012
925	James (Pan			Forbes Dec 2012	11/28/2012
926	Maghar			Forbes Dec 2012	11/29/2012
927	H. Robbie			Forbes Dec 2012	12/1/2012
928	Perrin			Forbes Dec 2012	12/2/2012
929	Frank			Forbes Dec 2012	12/3/2012
930	Chip			Forbes Dec 2012	12/4/2012
931	Wing			Forbes Dec 2012	12/5/2012
932	Donald			Forbes Dec 2012	12/8/2012
933	Orest			Forbes Dec 2012	12/11/2012
934	Dora			Forbes Dec 2012	12/11/2012
935	Joseph			Forbes Dec 2012	12/13/2012
936	Mark			Forbes Dec 2012	12/13/2012
937	Eric			Forbes Dec 2012	12/18/2012
938	Sharath			Forbes Dec 2012	12/18/2012
939	Irwin			Forbes Dec 2012	12/18/2012
940	Cecil W.			Forbes Dec 2012 or Fortune 2013 Investors Guide	12/20/2012
941	Jennifer			Forbes Dec 2012 or Fortune 2013 Investors Guide	12/21/2012
942	Douglas			Forbes Dec 2012 or Fortune 2013 Investors Guide	12/21/2012
943	Benjamin			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	12/23/2012
944	Jack			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	12/24/2012
945	Pieter			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	12/25/2012
946	Leland			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	12/26/2012
947	Donald			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	12/26/2012
948	Jay			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	12/26/2012

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
899	Don	3/6/12 also sent Feb 2012 IR			
900	David		3/6/2012	3/6/2012	
901	Leonard		3/8/2012	3/8/2012	
902	Rick		3/8/2012	3/8/12 - 3rd time sending contracts. Will open IRA and Individual account	
903	Jim		4/2/2012		
904	Doug		4/2/2012		
905	Gary		4/2/2012		
906	Nathan	emailed: 4/18/12 Hard copies: 4/24/12		Sent all GIPS tables	
907	David		5/16/2012		
908	Ted		5/21/2012		
909	Bill		5/21/2012		
910	Clarke		6/20/2012		
911	Bhagubhai		7/24/2012		
912	Brad		7/26/2012		
913	Clemens		9/7/2012	9/7/2012 YES - Asian GIPS papers sent 9/7/12	9/7/2012
914	James		9/24/2012	9/24/2012 YES - All GIPS sent 9/24/12	10/20/2012
915	Richard		10/1/2012	10/17/2012 YES - All GIPS sent 10/17/12	10/17/2012
916	Martin		10/1/2012		
917	Hugo		10/4/2012		
918	Andres		10/4/2012		
919	Russell		10/4/2012		
920	Andrew		10/4/2012	10/4/2012 YES - Asain GIPS sent 10/4/12	10/4/2012
921	Peter		10/10/2012		
922	David G.		10/16/2012		
923	Fabio	11/5/12 - email only			
924	Gary		11/13/2012	11/13/2012 YES - All GIPS sent 11/13/12	11/13/2012
925	James (Pan)		11/29/2012		
926	Maghar		11/29/2012	11/29/2012 YES - All GIPS sent 11/29/12	11/29/2012
927	H. Robbie		12/3/2012		
928	Perrin		12/3/2012		
929	Frank		12/3/2012		
930	Chip		12/5/2012		
931	Wing		12/6/2012	12/6/2012 YES - All GIPS sent 12/6/12	12/6/2012
932	Donald		12/12/2012		
933	Orest		12/12/2012		
934	Dora		12/12/2012		
935	Joseph		12/18/2012		
936	Mark		12/13/2012		
937	Eric		12/18/2012		
938	Sharath		12/18/2012	Per Mark send GIPS - Global, SCV, & All Asian	
939	Irwin		12/18/2012		
940	Cecil W.		12/24/2012		
941	Jennifer		12/24/2012		
942	Douglas		12/24/2012		
943	Benjamin		12/24/2012		
944	Jack		12/24/2012		
945	Pieter		12/27/2012		
946	Leland		12/27/2012		
947	Donald		12/27/2012		
948	Jay		12/27/2012		

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
899	Don			
900	David			
901	Leonard			
902	Rick			
903	Jim			
904	Doug			
905	Gary			
906	Nathan			
907	David			
908	Ted			
909	Bill			
910	Clarke			
911	Bhagubhai			
912	Brad			
913	Clemens			
914	James			
915	Richard			
916	Martin			
917	Hugo			
918	Andres			
919	Russell			
920	Andrew			
921	Peter			
922	David G.			
923	Fabio			
924	Gary			
925	James (Pan			
926	Maghar			
927	H. Robbie			
928	Perrin			
929	Frank			
930	Chip			
931	Wing			
932	Donald			
933	Orest			
934	Dora			
935	Joseph			
936	Mark			
937	Eric			
938	Sharath			
939	Irwin			
940	Cecil W.			
941	Jennifer			
942	Douglas			
943	Benjamin			
944	Jack			
945	Pieter			
946	Leland			
947	Donald			
948	Jay			

	A	B	C	D	E	F	G	H	I	J	K
1	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
949	Mr.	Robert							Normon	OK	
950	Mr.	Russell							Towson	MD	
951	Mr.	Amit							Wixom	MI	
952	Mr.	John							Marcus	IA	
953		Mo							Troy	MI	
954	Ms.	S							Clearwater	FL	
955	Mr.	Tom							Kansas City	MO	
956	Dr.	Saroj							Albert Lea	MN	
957	Mr.	Doug							Toronto	Ontario	
958	Mr.	Grant							Sylvania	OH	
959	Mr.	Ric							Richmond	VA	
960	Mr.	Robert							Poulsbo	WA	
961	Mr.	William							Fort Smith	TX	
962	Mr.	Yoshihto							San Francisco	CA	
963	Mr.	Eric							Fleming Island	FL	
964	Mr.	Raymond							Onancock	VA	
965	Mr.	Ting									
966	Mr.	Husam							Beckley	WV	
967	Mr.	Gobi							Sunnyvale	CA	
968	Mr.	Arthur							Thousand Oaks	CA	
969	Mr.	James							Wycoff	NJ	
970	Mr.	Mark							Canonsburg	PA	
971	Mr.	Brett							New Canaan	CT	
972	Mr.	Roman							Reading	PA	
973	Mr.	Mark							St. Louis	MO	
974	Ms.	Joyce							Blacksburg	VA	
975	Mr.	Michael							Bryn Mawr	PA	
976	Mr.	Christopher							Suamico	WI	
977	Dr.	Saroj							Albert Lea	MN	
978	Mr.	Michael							Oak Brook	IL	
979	Dr.	Dhan							Marion	IN	
980	Ms.	Lee Ann							Northglenn	CO	
981	Dr.	Brian							Wesley Chapel	FL	
982	Mr.	Paul							DeLand	FL	
983	Mr.	Kyle									
984	Mr.	Jeffrey M.									
985	Mr.	Jim							Hilton Head	SC	
986		Andrew									
987	Mr.	Steve							Ankeny	IA	
988	Mr.	William							Willmer	MN	
989	Mr.	Don							Port Salerno	FL	
990	Mr.	Steve							Washington	DC	
991		Naren									
992	Mr.										
993	Mr.	Edwin							Pensicola	FL	
994	Mr.	Dushyant									
995	Mr.	Gary							Denver	CO	
		Santosh							Diamond Bar	CA	
997	Ms.	Joy		Director of Finance					Moscow	ID	
998	Mr.	James							Jensen Beach	FL	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
949	Robert			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	12/26/2012
950	Russell			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	12/26/2012
951	Amit			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	12/31/2012
952	John			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	12/31/2012
953	Mo			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	12/31/2012
954	S			First contacted us 11/21/2007	1/2/2013
955	Tom			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	1/3/2013
956	Saroj			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	1/4/2013
957	Doug			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	1/4/2013
958	Grant			Forbes Dec 2012 or Fortune 2013 Investors Guide or Year End Bloomberg Business Week	1/7/2013
959	Ric			Website	1/9/2013
960	Robert			Website	1/9/2013
961	William			David	1/14/2013
962	Yoshihto			Website	1/15/2013
963	Eric			Website	1/17/2013
964	Raymond			Website	1/17/2013
965	Ting			Website	1/17/2013
966	Husam			David	1/17/2013
967	Gobi			Website	1/23/2013
968	Arthur			Website	1/24/2013
969	James			David	1/25/2013
970	Mark			David	1/25/2013
971	Brett			David	1/25/2013
972	Roman			David	1/28/2013
973	Mark			Website	1/28/2013
974	Joyce			David	1/29/2013
975	Michael			David	2/1/2013
976	Christopher			Website	2/11/2013
977	Saroj			David	2/13/2013
978	Michael			Website	2/14/2013
979	Dhan			Website	2/15/2013
980	Lee Ann			David	2/20/2013
981	Brian			David	2/21/2013
982	Paul			Walk In	2/26/2013
983	Kyle			David	2/27/2013
984	Jeffrey M.			David	3/6/2013
985	Jim			Website	3/11/2013
986	Andrew			Website	3/11/2013
987	Steve			David	3/12/2013
988	William			David	3/25/2013
989	Don			David	3/25/2013
990	Steve			Fortune April 2013	3/31/2013
991	Naren			Fortune April 2013	3/31/2013
992				Fortune April 2013	4/1/2013
993	Edwin			Fortune April 2013	4/1/2013
994	Dushyant			Fortune April 2013	4/1/2013
995	Gary			Fortune April 2013	4/1/2013
996	Santosh			Fortune April 2013	4/1/2013
997	Joy			Fortune April 2014	4/3/2013
998	James			previous client	4/3/2013

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
949	Robert		12/27/2012		
950	Russell		12/27/2012		
951	Amit		1/2/2013		
952	John		1/2/2013		
953	Mo		1/2/2013		
954	S		1/2/2013		
955	Tom		1/7/2013		
956	Saroj		1/7/2013		
957	Doug		1/7/2013		
958	Grant		1/7/2013		
959	Ric		1/10/2013		
960	Robert		1/10/2013		
961	William	1/14/2013 HC & fee structure			
962	Yoshihto		16-Jan		
963	Eric		1/22/2013		
964	Raymond		1/22/2013		
965	Ting	1/17/13 email only			
966	Husam	resent 1/29/13 Priority mail had wrong address 1/22/2013 HC only			
967	Gobi		1/24/2013	2/1/13 again 5/1/13	2/1/13 again 5/1/13
968	Arthur		1/24/2013		
969	James	1/29/2013 HC only			
970	Mark	1/29/2013 +yearly for Asia and Global			
971	Brett	1/29/2013 HC only			
972	Roman	1/28/2013 HC only			
973	Mark	1/29/2013 & 2/22/2013			
974	Joyce	1/30/2013 HC only			
975	Michael	2/4/2013 HC only			
976	Christopher	2/13/2013 original contact 12/20/10 & 4/25/11			
977	Saroj	2/14/2013 original contact 1/4/13 Forbes Dec 12			
978	Michael		2/14/2013		
979	Dhan		2/19/2013		
980	Lee Ann	2/21/2013 HC only			
981	Brian	2/25/2013 HC only			
982	Paul		2/26/2013		
983	Kyle	2/28/2013 email only			
984	Jeffrey M.	3/7/2013 email only			
985	Jim	3/11/2013 1st contact 4/30/10			
986	Andrew	3/12/2013 email only			
987	Steve	3/13/2013 HC only			
988	William	3/27/2013 HC only			
989	Don	3/27/2013 HC only			
990	Steve		3/31/2013		
991	Naren	4/1/2013 email only			
992		4/2/2013 email only			
993	Edwin	4/2/2013 HC only			
994	Dushyant	4/2/2013 email only		resent email 7/16	
995	Gary	4/2/2013 HC only			
996	Santosh	4/2/2013 HC only			
997	Joy	4/4/2013 HC only resent to correct address 4/16/2013			
998	James		4/3/2013	4/3/2013 4/3/2013 (Asian GIPS)	4/3/2013

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
949	Robert			
950	Russell			
951	Amit			
952	John			
953	Mo			
954	S			
955	Tom			
956	Saroj			
957	Doug			
958	Grant			
959	Ric			
960	Robert			
961	William			
962	Yoshihto			
963	Eric			
964	Raymond			
965	Ting			
966	Husam			
967	Gobi			
968	Arthur			
969	James			
970	Mark			
971	Brett			
972	Roman			
973	Mark			
974	Joyce			
975	Michael			
976	Christopher			
977	Saroj			
978	Michael			
979	Dhan			
980	Lee Ann			
981	Brian			
982	Paul			
983	Kyle			
984	Jeffrey M.			
985	Jim			
986	Andrew			
987	Steve			
988	William			
989	Don			
990	Steve			
991	Naren			
992				
993	Edwin			
994	Dushyant			
995	Gary			
996	Santosh			
997	Joy			
998	James			

1	A	B	C	D	E	F	G	H	I	J	K
	Reference	First Name		Position	Company Name	Additional Info	Address Line 1	Address Line 2	City	State	Zip Code
999	Mr.	Bill							Bainbridge Island	WA	
1000	Mr.	Mel							Del Ray Beach	FL	
1001	Mr.	Warren							Newport Beach	CA	
1002	Ms.	Sally							North Potomac	MD	
1003	Mr.	Robert							New York	NY	
1004	Mr.	Sudhir							Portland	OR	
1005	Mr.	Lawrence							Albuquerque	NM	
1006	Mr.	Narendar							Sterling	VA	
1007	Mr.	Anand							Edison	NJ	
1008	Mr.	Javier							New York	NY	
1009	Mr.	Frank									
1010	Mr.	Jose									
1011	Mr.	John							Westchester	PA	
1012	Mr.	Jeff							San Francisco	CA	
1013	Mr.	Kevin							wyckoff	NJ	
1014	Mr.	Joe							Alexandria	VA	
1015	Mr.	Ralph							Ada	MI	
1016		Mamun							salt lake city	UT	
1017	Mr.	Sheldon							Soda Springs	ID	
1018	Mr.	Gary							Glen Ridge	NJ	
1019	Mr.	David							Tempe	AZ	
1020	Mr.	Matthew							Bozeman	MT	
1021	Mr.	Joseph							garden city	NY	
1022	Ms.	Elizabeth							Gaithersburg=	MD	
1023	Mr.	Harry							Montgomery Village	MD	
1024	Mr.										
1025	Mr.	David							PHILADELPHIA	PA	
1026	Mr.	Brandon							Wildwood	MO	
1027	Mr.	Jordan							Toronto, Ontario	Canada	
1028	Mr.	Vinod							Salisbury	NC	
1029	Mr.	John							Westchester	PA	
1030	Mr.	Robert							College Park	MD	
1031	Dr. & Mrs.	James & Mo							Jensen Beach	FL	
1032	Mr.	John							Adrian	MI	
1033	Mr.	Joseph							Oak Brook	IL	
1034	Mr.	Niranjan							Holmdel	NJ	
1035	Ms.	Gloria							San Rafael	CA	
1036	Mr.	Joeseeph							Skaneateles	NY	
1037	Mr.	Mark							Midkiff	TX	
1038	Mr.	Charles							Cranston	RI	
1039	Mr.	Walter							Denver	CO	
1040	Mr.	Gerald							Huntington	NY	
1041	Mr.	Kenny							Key Largo	FL	
1042	Mr.	Michael						website inquiry	Los Angeles	CA	
1043	Mr.	Rick							Norwalk	CT	
1044	Mr.	Ed							Philadelphia	PA	
1045	Mr. & Mrs.	Harold							Naggagansett	RI	
1046	Mr.	Bing							Point Roberts	WA	
1047	Mr. & Mrs.	Kevin		President					Malibu	CA	
1048	Mr.	Ron							Flushing	MI	

	B	L	M	N	O
1	First Name	Email	Phone	Source	Contact Date
999	Bill			Fortune April 2013	4/3/2013
1000	Mel			Fortune April 2013	4/8/2013
1001	Warren			Fortune April 2013	4/8/2013
1002	Sally			Fortune April 2013	4/11/2013
1003	Robert			Website	4/12/2013
1004	Sudhir			Ad in Fortune	4/13/2013
1005	Lawrence			Forbes Magazine	4/14/2013
1006	Narendar			David	4/15/2013
1007	Anand			David	4/15/2013
1008	Javier			Lipper awards	4/16/2013
1009	Frank			David	4/17/2013
1010	Jose			David	4/17/2013
1011	John			David	4/18/2013
1012	Jeff			Website	4/19/2013
1013	Kevin			new york times	4/23/2013
1014	Joe			fortune mag	4/24/2013
1015	Ralph			Mark [REDACTED] - Morgan Stanley - Farmington Hills MI	4/26/2013
1016	Mamun			newspaper/magazine	5/5/2013
1017	Sheldon			Ad in Fortune	5/18/2013
1018	Gary			David	5/23/2013
1019	David			Website	5/25/2013
1020	Matthew			Barron's	6/3/2013
1021	Joseph			lipper report	6/6/2013
1022	Elizabeth			Do Not recuerdo.	6/8/2013
1023	Harry			David	6/10/2013
1024				David	6/11/2013
1025	David			DAVID. JOEL. [REDACTED] INCORPORATE.	6/11/2013
1026	Brandon			Researching manager performance.	6/13/2013
1027	Jordan			Website	6/20/2013
1028	Vinod			Kiplenger's #2	1/18/2008 - sent more brochures on 2/13/08
1029	John			From David	1/30/12 - Sent info 1st time 5/31/11
1030	Robert			Barrons 1/3/11	1/7/2011 recontacted us: 10/18/12
1031	James & Mo			Smart Money #5	10/11/2007 again on 10/29/08
1032	John			Smart Money #5	10/17/2007 recontacted 4/9/10
1033	Joseph			Smart Money #5	10/9/2007 - recontacted June 2008
1034	Niranjan			website Inquiry	11/21/2009 recontacted us: 12/24/12
1035	Gloria			Smart Money #13	12/28/2009 again via letter on 4/5/10
1036	Joeseeph			Smart Money #5	12/4/2007 recontacted 4/7/10
1037	Mark			has been on IR list sense 10/05	1st contact 10/2005 recontacted us a few times in 2006 - 2007. Spoke with David Feb 2008 - resent info 2/20/08
1038	Charles			Barrons #2/David recontacted	1st: 11/14/2006 2nd: 2/2007
1039	Walter			Barrons #3	2/26/2007/2nd contact 3/39/2007
1040	Gerald			Barrons #3	2/27/2007 - recontacted - 5/15/2007
1041	Kenny			From David Sappir	2/27/2011 - recontacted us again: 12/7/12
1042	Michael			Website	2/7/2012 Recontacted: 10/16/12
1043	Rick			Smart Money 6	3/27/2008 recontacted 4/23/10
1044	Ed			Recontacted us - rev's IR	3/29/11 First Contact 12/6/12
1045	Harold			David S.	3/30/2007/again on 4/17/2007
1046	Bing			Barrons #3	3/5/2007 - contaced us again 4/4/2007
1047	Kevin			Barrons #3	3/6/2007 - recontacted 5/29/07
1048	Ron			not sure	3/8/2010 recontacted: 12/29/10

	B	P	Q	R	S
1	First Name	Sent out Brochures & Annual Disclosure	Sent out ZPR Management Agreement	PROSPECT CLIENT SENT GIPS ANNUAL DISCLOSURE	Sent Out JP Morgan Paperwork
999	Bill	4/4/2013 HC only			
1000	Mel	7/9/2013 HC only			
1001	Warren	4/9/2013 HC only			
1002	Sally		4/12/2013		
1003	Robert		4/12/2013		
1004	Sudhir		4/16/2013		
1005	Lawrence		4/16/2013		
1006	Narendar		4/16/2013		
1007	Anand		4/16/2013		
1008	Javier		4/16/2013		
1009	Frank	4/19/2013 email only			
1010	Jose	4/18/2013 email only			
1011	John	4/18/2013 HC along with verifiers reports			
1012	Jeff		4/22/2013		
1013	Kevin		4/23/2013		
1014	Joe		4/24/2013		
1015	Ralph		4/29/2013		
1016	Mamun		5/6/2013		
1017	Sheldon		5/20/2013		
1018	Gary		5/24/2013		
1019	David	5/28 email 6/4 HC			
1020	Matthew		6/4/2013		
1021	Joseph		6/7/2013		
1022	Elizabeth		6/10/2013		
1023	Harry	6/11/2013 HC only			
1024		6/11/2013 email only			
1025	David		6/12/2013		
1026	Brandon		6/13/2013		
1027	Jordan		6/20/2013		
1028	Vinod		1/22/2008		
1029	John	1/30/2012 - On 3/8/12 sent Morningstar reports and ADV on via email			
1030	Robert	1/11/2011 resent: 10/18/12		10/18/2012 Sent ALL GIPS	10/18/2012
1031	James & Mo	10/15/2007 - resent info 11/4/08		11/4/2008	
1032	John	10/17/2007 resent 4/13/10	10/26/2007 resent 4/13/10		
1033	Joseph	10/19/2007 - resent 6/3/08	11/1/2007 - resent 6/3/08		
1034	Niranjan	11/23/2009 resent current info: 12/24/12			
1035	Gloria	12/28/2009 resent on 4/5/10			
1036	Joeseeph	12/5/2007 resent info 4/13/10		4/7/2010	
1037	Mark		2/20/2008	2/20/2008	
1038	Charles	1st: 11/14/2006 2nd: 3/1/2007			
1039	Walter			3/30/2007	
1040	Gerald	3/1/2007-resent 5/17/2007		5/17/2007	
1041	Kenny	1/31/2011 resent current info: 12/12/12			
1042	Michael	2/8/12 email & hardcopy returned due to bad address given. Recontacted & sent: 10/17/12		10/17/2012 YES - ALL GIPS sent 10/17/12	10/17/2012
1043	Rick	3/27/2008 resent 4/27/10		4/27/2010	
1044	Ed		12/6/2012	12/6/2012 YES - All GIPS sent 12/6/12	12/6/2012
1045	Harold		4/2/2007	4/18/2007	
1046	Bing	3/6/2007 sent 2007 brochures on 4/4/2007	4/4/2007 on 5/8/2007 sent out updated agreement		
1047	Kevin	3/6/2007/resent 5/59/07	3/6/2007/resent for Amanda [REDACTED] on 5/29/07		
1048	Ron	3/8/2010 resent info: 12/29/10		3/8/2010	

	B	T	U	V
1	First Name	Grace sent out Forms/Contacted Client	Sent out UBS Forms	Notes
999	Bill			
1000	Mel			
1001	Warren			
1002	Sally			
1003	Robert			
1004	Sudhir			
1005	Lawrence			
1006	Narendar			
1007	Anand			
1008	Javier			
1009	Frank			
1010	Jose			
1011	John			
1012	Jeff			
1013	Kevin			
1014	Joe			
1015	Ralph			
1016	Mamun			
1017	Sheldon			
1018	Gary			
1019	David			
1020	Matthew			
1021	Joseph			
1022	Elizabeth			
1023	Harry			
1024				
1025	David			
1026	Brandon			
1027	Jordan			
1028	Vinod			
1029	John			
1030	Robert			
1031	James & Mo	10/29/2008		
1032	John	10/23/2007		
1033	Joseph	10/31/2007 - resent 6/2/08		
1034	Niranjan			
1035	Gloria			
1036	Joeseeph			
1037	Mark	2/8/2008		
1038	Charles		2/27/2007	3/27/07 Resent Management Agreement and solicitation letter.
1039	Walter		3/30/2007	
1040	Gerald	5/15/2007		
1041	Kenny			
1042	Michael			
1043	Rick	4/23/2010		
1044	Ed			
1045	Harold	5/16/2007	4/18/2007	VOID
1046	Bing	5/7/2007	4/4/2007	- VOID
1047	Kevin	5/29/2007	3/6/2007	-VOID
1048	Ron			