

Exhibit List Pursuant to Rule 351 (17 C.F.R. § 201.351(b))

January 26, 2015

TO: Administrative Proceedings Records Section

FROM: Judge Jason S. Patil 
Office of Administrative Law Judges

RE: Hearing in the Matter of Thomas R. Delaney II and Charles W. Yancey
Administrative Proceeding File No. 3-15873

Hearing held October 27-31, November 3-7, and November 10, 2014, in Dallas,
Texas

The following exhibits of the Division of Enforcement and Respondents were admitted or
offered and not admitted.

Exhibit No	Date	Document Description	Beg. Bate	End Bate
26	10/19/2010	Email from Brian Hall to Brian Gover RE: REG SHO 204 Notifications	PENSON 0009044	PENSON 0009047
35	11/24/2010	Email from Holly Hasty to Mike Johnson; Rudy De La Sierra; Brian Hall ; John Kenny; Bart McCain; Bill Yancey. Subject: 2008 Reg SHO Examination Response - Final draft with attached FINAL DRAFT of Firm's 2008 SHO Examination Response.	PENSON 0722228	PENSON 0722240
36	11/30/2010	Email from Rich Barber to Brian Gover Re Management Committee Meeting 12/1/2010 with attached: Maintenance Queue; Cost Saving - Comparison of DTC charges between Legacy Ridge(158) and Penson	PENSON 0646029-30	PENSON 0646033-34, and other unnumbered pages
37		Penalty Box Items		
40	10/22/2010	10/22/10 Email From: Brian Gover To: Gary Wiedman Subject: 2010 Penson Exit Meeting Repo Attached: Final 2010 Penson Exit Meeting Report	PENSON 0624660	PENSON 0624672
53	10/19/2010	Email From: Logan Satterwhite To: Rudy De La Sierra; Brian Hall; Marc McCain; Terry Ray; Lindsey Wetzig. Subject: 204 Penalty Box. xls, with attached: 204 Penalty Box.xls	PENSON 0325618	PENSON 0325619, and others
65		Global Equity Finance - Security Lending, Organization Chart	PENSON 0000531	PENSON 0000534
66	9/29/2010	Penson Financial Services Broker _Dealer Written Supervisory Policies and Procedures	PENSON 0498234	PENSON 0498632
67	10/17/2008	Federal Register/Vol. 73, No. 202/ Friday, October 17, 2008/ Rules and Regulations		
68	10/20/2008	Division of Trading and Market Guidance Regarding Sale of Loaned but Recalled Securities		
69	7/31/2009	Federal Register/Vol. 74, No. 146/ Friday, July 31, 2009/ Rules and Regulations		
70	12/21/2009	3012 Test Results, Memo from Eric Alaniz to Brian Hall and Rudy De La Sierra re SEC Rule 204	PFSI 136754	PFSI 136761
73	12/31/2010	Email from Eric Alaniz to Mike Johnson, Brian Hall and Rudy De La Sierra re PFSI's Written Supervisory Procedures for 2011	PENSON 0442492	PENSON 0442523
74	1/11/2011	Email from Eric Alaniz to Rudy De La Sierra re PFSI's Written Supervisory Procedures for 2011	PENSON 0450062	
82	1/25/2010	Email from Eric Alaniz to Tom Delaney re ROOR- 2D Stock Loan - for Approval	PFSI 1399336	PFSI 1399336.10
83	7/28/2010	Financial Industry Regulatory Authority Letter of Acceptance, Waiver and Consent No. 20080126810-01		
84	2/23/2010	Email from Brian Hall to Eric Alaniz, Rudy De La Sierra, Mike Johnson and Tom Delaney re SEC Rule 204 - Regulation SHO	PFSI 1421506	PFSI 1421506.000004

Exhibit No	Date	Document Description	Beg. Bate	End Bate
85	6/17/2010	3012 Test Results Memo from Eric Alaniz to Summer, Jerry and Brian re Audit Buy-In Department, Regulation SHO Rule 204	PFSI 1332607	PFSI 1332610
86	11/8/2010	Email from Brian Gover to Kimberly Miller, Holly Hasty, Tom Delaney, Bill Yancey, Bart McCain, Rudy De Le Sierra, John Kenny, Doug Gorenflo, Jerry Riley and Mike Johnson re: Compliance Meeting Re: Regulatory Responses	PFSI 1464031	PFSI 1464031.02
87	11/3/2010	Email from Tom Delaney to Doug Gorenflo re Emailing project sheet with attached project sheet	PFSI 1473574	PFSI 1473574.01
88	10/22/2010	FINRA Examination No. 2010205551, Exit Meeting Report for the Examination of Penson Financial Services, Inc. Dallas, TX	PFSI 1631380	PFSI 1631380.11
89	3/18/2011	Penson Financial Services correspondence to FINRA re 2010 Cycle Examination of Penson Financial Services, Inc. Firm CRD number 25866	PFSI 1484317	PFSI 1484317.37
90	3/9/2011	Email from Kimberly Miller to Tom Delaney and Holly Hasty re FINRA 2010 Exam Report - Draft Response with attached draft	PFSI 145898	PFSI 1454898.31
91	7/26/2010	Email from Eric Alaniz to Summer Poldrack, Tom Delaney, Brian Gover, Jerry Reilly and Holly Hasty re ***REG SHO***	PFSI 1407856	PFSI 1407856.04
92	8/2/2010	Email from Eric Alaniz to Bill Yancey, Tom Delaney and Erin Jones re 2010-2011 Quarterly Annual Certification Meeting	PFSI 1383417	
93	11/15/2010	Email from Thomas Textor to Eric Alaniz re Distributions/Restricted Stock Sales	PFSI 1381833	PFSI 1381833.02
94	12/9/2010	Email from Alan Ramsey to Tom Delaney re ThinkEquity	PFSI 1470948	PFSI 1470949
95	12/6/2007	Financial Industry Regulatory Authority Letter of Acceptance, Waiver and Consent No. 2005002670701		
96	4/20/2010	Renaissance Regulatory Services, Inc. - Penson Financial Services, Inc. Third Semi-Annual Regulation T Report of the Independent Consultant 4/20/2010	PFSI 1397286	PFSI 1397286.20
99		Email from Eric Alaniz to John Kenny, Brian Gover, Mike Johnson, Rudy De La Sierra, Dan Wiengarten, Keller Reid, Holly Hasty, Mark Bell, Jerry Reilly, Summer Poldrack and Tom Delaney re 3012 CEO Certification with Bill Yancey	PFSI 1476943	
101	11/24/2010	Penson Financial Services, Inc. correspondence to SEC re 2008 Examination - Regulation SHO		
106	6/5/2011	Email from Dana Shipley to Kimberly Miller, Marshall Battle, Christie Pittman, Richard Dorsey and Andy Konchan re K00-4498 K00-4669 32542383 32556946 2 overcharged IRA fees...again	PFSI 1560893-60917; 60919-20	PFSI 1560922-60926
108		PFSI Compliance Charter	SOF 0043	SOF 0050
109		CD - Slides of PFSI Compliance Department Restructuring & Human Capital Analysis		
120		Master Securities Loan Agreement		

Exhibit No	Date	Document Description	Beg. Bate	End Bate
124	2/23/2010	Email from Brian Hall to Eric Alaniz, Rudy De La Sierra re SEC Rule 204 - Regulation SHO	PFSI 1421506	PFSI 1221506.4
125	8/10/2009	Email from Tom Delaney re Adoption of Reg SHO Rule 204		
126	11/5/2010	Email from Mike Johnson to Brian Hall re Last Nights Close Global SEC Lending Receivables	PENSON 110838	
127	12/3/2010	Email from Mike Johnson to Lindsey Wetzig As of Last Night Call	PENSON 355898	PENSON 355900
128	11/8/2010	Email from Mike Johnson to Phil Pendergraft and Brian Hall re The receivables are running ahead of most months by 200K	PENSON 110785	
129	1/14/2011	Email from Mike Johnson to Phil Pendergraft, Frank Cesce, John Kenny, Rudy DeLeSierra, and Brian Hall re I just landed and informed that Merrill Lynch closed us down.	PENSON 479809	
132	9/20/2011	Penson Rule 204 of Regulation SHO, September 20, 2011		
133	3/29/2010	Email from Sharon Ray to Eric Alaniz re Accepted: 3012 CEO Certification with Bill Yancey	PFSI 1384515	
134	1/28/2010	Email from Eric Alaniz to Bill Yancey re 2009-2010 Quarterly Annual Certification Meeting	PFSI 1399244	
135	3/31/2010	Annual Certification of Compliance and Supervisory Processes Penson Financial Services, Inc. FINRA Rule 3130 in accordance with the April 1, 2010 deadline	PFSI 1384375	PFSI 1384375.000007
136	3/17/2011	Email from Kimberly Miller to Holly Hasty re FINRA Cycle Examination - Draft responses	PFSI 1546423	PFSI 1546426.000034
151	9/21/2009	Email from Bill Yancey to Tom Delaney re Eric Alaniz agreeing to stay with PFSI, 9/21/2009	PFSI 1457856	PFSI 147586.000001
152	7/19/2010	Email from Thomas Textor to Kathleen Mercandino re Eric Alaniz List of Tasks	PFSI 1626054	
153	7/15/2010	Email from Eric Alaniz to Kimberly Miller and Tom Delaney re ****REG SHO***, 7/15/2010	PFSI 1384363	PFSI 13834363.000003
154	7/26/2010	Email from Eric Alaniz to Deborah Pransky re SEC Rule 204	PFSI 1383881	PFSI 1383881.000002
155	6/24/2010	Email from Eric Alaniz to Tom Delaney re Reg-Ed for Reg SHO	PFSI 1420961	
157		Wells Submission on behalf of Thomas R. Delaney, II		
158	7/26/2010	Email from Eric Alaniz to Tom Delaney, Brian Gover, Jerry Reilly and Holly Hasty re Reg Sho		
159		Wells Submission on behalf of Thomas R. Delaney, II		
160	12/13/2008	Email from Mike Johnson to Phil Pendergrast, Andy Koslow, Tom Delaney and Bill Yancey re SEC Rule 204 T - comments needed		
161	4/13/2009	Correspondence from the SEC to Penson Financial re Examination Regarding Regulation SHO		
163	8/10/2009	Outlook calendar request fro Adoption of Reg SHO Rule 204 meeting from Mike Johnson to Tom Delaney	PFSI 1444914	

Exhibit No	Date	Document Description	Beg. Bate	End Bate
164	8/10/2009	Email from Tom Delaney re Adoption of Reg SHO Rule 204		
165	9/22/2009	Email from Tom Delaney to Lee Thornton re open audit findings follow-up		
166	1/25/2010	Email from Eric Alaniz to Tom Delaney re ROOR-2D Stock Borrow and Stock Loan - for Approval		
168	5/17/2010	Email from Kimberly Miller to Brian Gover, Tom Delaney and Holly Hasty re Reports for audit	PFSI 1450464	PFSI 1450464.0000001
169	8/2/2010	Email from Eric Alaniz to Tom Delaney and Bill Yancey re 2010-2011 Quarterly Annual Certification Meeting		
170	4/22/2010	Correspondence from Penson Financial Services to SEC re Examination Regarding Regulation SHO	PFSI 1471300	PFSI 1471300.0000003
171	5/10/2010	Email from Holly Hasty to Tom Delaney and Kimberly Miller re Reg SHO	PFSI 1439076	PFSI 1439076.0000004
172		FINRA - Frequently Asked Questions Rule 3012 Report		
175	5/14/2009	Email from Kimberly Miller to Tom Delaney re Matrix with attached Registered Representative Supervisory Matrix 5-5-2009	PFSI 2024343_000003; 1552426-1552426_000003	PFSI 1581234.000006
176	10/31/2008	Penson Financial Services WSPs	2 unnumbered; PFSI 2289767	PFSI 2290023
177	2/26/2009	Email from Kimberly Miller to McCain, Yancey and Delaney Re Supervisory Structure Update including all referenced attachments	PFSI 1963819	PFSI 1963820
178	5/14/2009	Email from Kimberly Miller to Delaney Re Matrix including all referenced attachments	PFSI 2024343	PFSI 2024350
180	7/20/2009	Penson Financial Services WSPs	2 unnumbered; PFSI 2291155	PFSI 2291448
181	8/18/2009	Email from Brian Gover to Hooks, Poldrack, Hasty, Wetzig and Reilly Re Rule 204- buy ins, reporting, procedures	PFSI 1510431	
182	1/11/2010	Email from Kimberly Miller to Melissa Miller Re Registered Rep Supervisory Matrix (including all referenced attachments)	PFSI 1495810	PFSI 1495811, and unnumbered
183	3/11/2010	Email from Denise Steffel to Louanne Forbes-Elcock Re Penson Acquisition of Certain Ridge Clearing Correspondent Relationships- FINRA 1017 Application (including all referenced attachments)	2 unnumbered; PFSI 2353535	PFSI 2353946
184	3/31/2010	Email from Delaney to Michael Malone Re NYSE 342.30 Annual Report (including all referenced attachments)	PFSI 1780885	PFSI 1780945
185	3/31/2010	Email from Michael Malone to Delaney Re NYSE 342.30 Annual Report	PFSI 2027715	PFSI 2027717
186	3/31/2010	Email from Kimberly Miller to Luanne Forbes Re NYSE 342.30 and FINRA 3012 Summaries (including all referenced attachments)	PFSI 1408306	PFSI 1408307 and PFSI 1408309, and unnumbered
187	3/31/2010	Email from Delaney to Ken Belter Re PFSO WSP Notice- New Version Published	PFSI 1428591	

In the Matter of Thomas R. Delaney II and Charles W. Yancey
File No. 3-15873
Division of Enforcement's Exhibit List

Exhibit No	Date	Document Description	Beg. Bate	End Bate
188	3/31/2010	Person Fincial Services WSP	2 unnumbered, PFSI 2289438	PFSI 2289764
189	3/31/2010	Email from Eric Alaniz to Aaron McInerney Re PFSI WSPs-Clearing- Ver C-003 3-31-10	PFSI 1383678 -PFSI 1383680	
190	4/1/2010	Email from Holly Hasty to breshanhl@cboe.com RE Annual Compliance and CEO Certification (including all referenced attachments)	PFSI 1514084 and PFSI 1514087	
191	4/1/2010	Email from Delaney to Ken Belter Re 3/31/2010 WSPs	PFSI 1781356	PFSI 1781358
192	4/14/2010	Email from Laura Magyar to Gorenflo, Hasty and Delaney Re Clarification (including all referenced attachments)	PFSI 1427501	PFSI 1427503
193	4/14/2010	Email from Holly Hasty to Laura Magyar, Gorenflo and Delaney Re Clarification	PFSI 1452125	
194	5/11/2010	Email from Kimberly Miller to Marvin Hill Re FINRA Request-CEO Certification Records (including all referenced attachments)	PFSI 1607039	PFSI 160741 and PFSI 160742, and unnumbered
195	5/11/2010	Email from Eric Alaniz to Delaney Re FINRA Request	PFSI 1886219	PFSI 1886221
196	5/26/2010	Email from Kimberly Miller to John Kenny Re Supervisory Matrix (including all referenced attachments)	PFSI 1605727 -PFSI 1605729	
197	7/6/2010	Email from Holly Hasty to Ken Belter Re WSP updated-June 2010	PFSI 1437612	PFSI 1437613
198	8/13/2010	Email Kimberly Ross to Joseph Ross Re Supervisory Matrix	PFSI 1585691	
199	8/23/2010	Email from Joseph Ross to Eric Alaniz Re Supervisory Matrix (including all referenced attachments)	PFSI 1394050 and PFSI 1394052	
200	9/3/2010	Email from Kimberly Miller to Thomas Barlos Re NSX Correspondence Examination (including all referenced attachments)	PFSI 2163696	PFSI 2164374
201	9/8/2010	Email from Kimberly Miller to Ryan Sheridan Re Trading Activity in various securities on various trade dates (including all referenced attachments)	PFSI 1620257	PFSI 1620262 (No PFSI 1620259), and unnumbered
202	10/11/2010	Email from Kimberly Miller to Kai Ng and Holly Hasty Re FINRA Matter ID 20100219467 (including all referenced attachments)	PFSI 1548222	PFSI 1548229 (No PFSI 1548225), and unnumbered
203	10/27/2010	Letter from Laura Magyar to Thomas Delaney Re Deficiencies	PFSI 1602788	
204	10/27/2010	Email from Gorenflo to Delaney Re PFSI Responses to SEC	PFSI 1471299	PFSI 1471304 (not including 1471302), and unnumbered
205	11/1/2010	Email from Holly Hasty to Tanja Samardzija Re CBOE Sponsored Access Exam- Exam-in-Progress Report (including all referenced attachments)	PFSI 1528298	PFSI 1528315, and unnumbered
206	11/15/2010	Email from Kimberly Miller to Delaney Re Draft RegSHO Response (including all referenced attachments)	PFSI 1435569	PFSI 1435570, and unnumbered
207	11/16/2010	Email from Kimberly Miller to Delaney Re Supervisory Matrix (including all referenced attachments)	PFSI 1969723	PFSI 1969728

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Exhibit No	Date	Document Description	Beg. Bate	End Bate
208	11/19/2010	Email from Delaney to Kimberly Miller Re DRAFT- RegSHO Responses (including all referenced attachments)	PFSI 1909769	PFSI 1909780
209	11/24/2010	Email from Logan Satterwhite to Rudy DeLaSierra Re 204 Penalty Box (including all referenced attachments)	PENSON 0423313	PENSON 0423314, and unnumbered
210	12/15/2010	Email from Eric Alaniz to Joseph Ross Re WSPs	PFSI 1418547	
211	1/10/2011	Email from Kimberly Miller to Adam Rodriguez Re Pension Kick off/ Documentation Request (including all referenced attachments)	PFSI 1469404	PFSI 1469407, and unnumbered
212	1/13/2011	Email from Logan Satterwhite to Rudy DeLaSierra Re 204 Penalty Box (including all referenced attachments)	PENSON 0449405	PENSON 0449406, and unnumbered
213	2/2/2011	Email from Eric Alaniz to Amberly Rubiel Re can you provide me	PFSI 1404726 and PFSI 1404728	
214	3/3/2011	Penson Financial Services WSPs	2 unnumbered, PFSI 2290401	PFSI 2290811
215	3/4/2011	Email from Brian Hall to Kimberly Miller Re 204 Closeout Findings Response (including all referenced attachments)	PFSI 1566080	PFSI 1566081, and unnumbered
216	3/30/2011	Email from Joseph Ross to Thomas Barto Re Annual Compliance and CEO Certification (including all referenced attachments)	PFSI 1545695	PFSI 1545696, and unnumbered
217	4/20/2011	Email from Kimberly Miller to dailymonitoring@cboe.com Re Pension Financial Services, Inc- Associated Persons Exam Sweep (including all referenced attachments)	PFSI 1581234	PFSI 1581237 (No PFSI 158236), and unnumbered
224	4/4/2012	Investigative Testimony of Thomas Delaney (vol 1, 2, & 3), incl. 8-29-12 and 7-31-13		
227	1/23/2013	Investigative Testimony of Charles Yancey		
229	6/7/2013	Wells Submission of Charles Yancey		
230	7/24/2013	First Supplemental Wells Submission of Charles Yancey		
232	9/9/2013	Second Supplemental Wells Submission of Charles Yancey		
237	3/10/2014	Third Supplemental Wells Submission of Charles Yancey		
238		Expert Report of David Paulukaitis		
239		Expert Report of Dr. Larry Harris		
240		CRD for Charles Yancey		
241		CRD for Thomas Delaney		
242		CRD for Michael Johnson		
243		CRD for Penson Financial Services		
244		CEO Certification Summaries for Penson Delaney and Yancey		

Exhibit No	Date	Document Description	Beg. Bate	End Bate
245		<i>In the Matter of Michael H. Johnson</i> Order Instituting Administrative and Cease-and-Desist Proceedings		
246		<i>In the Matter of Michael H. Johnson</i> Offer of Settlement		
247		<i>In the Matter of Lindsey Alan Wetzig</i> Order Instituting Administrative and Cease-and-Desist Proceedings		
248		<i>In the Matter of Lindsey Alan Wetzig</i> Offer of Settlement		
255	10/16/2008	Morgan Lewis Financial Crisis Impact Analysis "SEC adopts Interim Close-Out Requirements for Short Sales"		
256	12/16/2008	SIFMA Letter		
257	11/25/2008	EWV, LLC Letter		
258	12/16/2008	ICI Letter		
259	12/23/2008	RMA Letter		
260		Article by Eric Sirri "REGULATORY POLITICS AND SHORT SELLING"		
261	8/13/2010	Email from Kimberly Miller to Joseph Ross RE Supervisory Matrix		
262	2/8/2011	Email from Holly Hasty to Thomas Textor Re Compliance WSPs		
263	2/26/2009	Email from Kimberly Miller to Bill Yancey RE Supervisory Structure Update		
264	9/29/2009	Securities Lending and Short Sale Roundtable		
265	8/12/2009	Email from Pendergraft to Gover, McCain and Delaney Re: REN Call		
266	11/12/2009	Email from McCain to Delaney Re: Fwd blue sheet		
267	11/5/2010	Email from McCain to Pendergraft Re: Trades		
268	11/20/2010	Email from McCain to Pendergraft Re: Pinnacle		
269	12/7/2010	Email from McCain to Pendergraft Re: 80010317		
270	12/10/2010	Email from McCain to Pendergraft Re: Response to FINRA-Important		
271	7/26/2010	Email from Mike Johnson to Yancey and McCain		
272	10/25/2010	Email from McCain to Johnson and Hall Re: Firm Financing		
273	11/14/2010	Email from Johnson to McCain		
274	10/25/2010	Email from Johnson to McCain		
275	1/12/2011	Email from McCain to Johnson		
276	3/12/2011	Email from McCain to Yancey Re: Thank You		
277	4/14/2010	Email from Kimberly Miller to Brian Gover Re Series 27		

In the Matter of Thomas R. Delaney II and Charles W. Yancey

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Thomas R. Delaney II's Final Exhibit List

Exhibit No.	Date	Document Description	BegBates	EndBates
300	3/4/11	Email from Brian Hall to Kimberly Miller Re: 204 Closeout Findings Response (Exhibit B to Mike Johnson Wells Submission)		
301		Eric Alaniz' 204 Compliance Notebook	SECSUPP 000002	SECSUPP 000137
302	9/22/08	Special Compliance Memorandum Re: Pensons Response to Recent SEC Emergency Orders Regarding Short Selling	PFSI2190936	PFSI2190939
303	9/29/08	Compliance Alert Re: Additional Information related to SEC Emergency Order / Rule 204T ("Order")	PFSI2190786	PFSI2190787
304		Person Financial Services BD Written Supervisory Policies and Procedures to Current Securities Lending (Stock Loan) – Dallas Office I	PFSI2191359	PFSI2191375
305		Buy-Ins, Dealer Cashiering & International Settlements/ P&S Org Chart	PFSI2191257	
306		Operations Org Chart	PFSI2191256	
307		Person Financial Services BD Written Supervisory Policies and Procedures 12/30/10 to Current Securities Lending (Stock Loan) – Dallas Office I	PFSI2191208	PFSI2191224
308	10/13/08	Compliance Alert Re: Anticipated Regulatory Actions Addressing Continued Market Activity	PFSI2191113	PFSI2191114
309		Compliance Org Chart	PFSI2190946	
310		Global Equity Finance – Securities Lending Org Chart	PFSI2190945	
311	11/8/10	Email from Brian Hall to Tom Delaney, Holly Hasty, Mike Johnson, Rudy DeLaSierra Re: SEC Audit-Stock Loan Response	PENSON0795823	PENSON0795825

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Exhibit No.	Date	Document Description	BegBates	EndBates
312	12/31/10	Email from Eric Alaniz to Mike Johnson, Brian Hall, Rudy DeLaSierra, Eric Alaniz, Thomas Textor Re: PFSI's Written Supervisory Procedures for 2011		
313	11/24/10	Email from Holly Hasty to Mike Johnson, Brian Hall, Rudy DeLaSierra, John Kenny, Bart McCain, Bill Yancey, Tom Delaney, Kimberly Miller, Doug Gorenflo Re: 2008 Reg SHO Examination Response – FINAL DRAFT		
314	11/12/10	Email from Kimberly Miller to Brian Hall, Rudy DeLaSierra, Mike Johnson, Brian Gover, Summer Poldrack Re: NEW Finra Investigation-Regulation SHO		
315	12/2/10	Email from Summer Poldrack to Summer Poldrack Re: Venture Distributions		
316	12/3/10	Email from Alan Ramsey to Mitch Mintz		
317	1/26/11	Email from Brian Hall to Eric Alaniz, Mike Johnson, Rudy DeLaSierra, Thomas Textor Re: PFSI's Written Supervisory Procedures for 2011		
318	3/22/10	Email from Eric Alaniz to Brian Hall Re: SEC Rule 204- Regulation SHO		
319	2/26/10	Email from Summer Poldrack to Erick Alaniz, Jerry Reilly, Brian Gover Re: Regulation SHO Remediation – Buy-In Group (2)		
320	2/19/10	Email from Eric Alaniz to Brian Hall, Rudy DeLaSierra, Mike Johnson, Tom Delaney Re: SEC Rule 204 – Regulation SHO		
321	1/22/10	Email from Summer Poldrack to Eric Alaniz Re: just wanted to let you know...		
322	1/20/10	Email from Eric Alaniz to Jimmy		

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Exhibit No.	Date	Document Description	BegBates	EndBates
		Glasgow Re: SEC Rule 204		
323	1/15/10	Calendar Appointment from Eric Alaniz with attendees Brian Gover, Summer Poldrack, Rudy DeLa Sierra, Tom Delaney, Doug Gorenflo, Lindsey Wetzig Re: Rule 204 Test		
324	1/7/10	Email from Summer Poldrack to Eric Alaniz Re: EXT816		
325	11/18/09	Email from Eric Alaniz to Kari Dill re: Latest WSPs		
326		Penston Financial Services BD Written Supervisory Policies and Procedures 5/6/2010 to Current		
327	2/9/11	Email from Eric Alaniz to Scott Mullins Re: 3012 Testing Procedures		
328	8/20/10	Email from Eric Alaniz to Holly Hasty Re: Buy-Ins Per Rule 204		
329	8/2/10	Email from Eric Alaniz to Bill Yancey, Tom Delaney, Erin Jones Re: 2010-2011 Quarterly Annual Certification Meeting	PFSI1635751	
330	5/5/08	Memo: Regulation SHO Process Enhancement	PFSI0002784	PFSI0002785
331	7/16/08	Compliance Alert 08-07-02 Re: SEC RELEASE: Naked Short Selling – EFFECTIVE JULY 21, 2008	PFSI0002782	PFSI0002783
332	7/18/08	Compliance Alert 08-07-02 UPDATE Re: SEC RELEASE: Naked Short Selling – EFFECTIVE JULY 21, 2008	PFSI0002780	PFSI0002781
333	6/24/10	Email from Angel Beeson to Summer Poldrack Re: 3012 Testing for Reg SHO Rule 204	PFSI1332603 PFSI1332607	PFSI1332604 PFSI1332612
334	11/12/10	Email from Mike Johnson to Kimberly Miller Re: NEW Finra Investigation – Regulation SHO	PFSI0990566	PFSI0990567
335	11/12/10	Email from John Kenny to Doug Gorenflo, Bill Yancey, Bart McCain, Tom Delaney Re: 2009 Enforcement Request	PFSI0588265	PFSI0588266
336	12/10/10	Email from Thomas Textor to Mitch	PFSI1066909	PFSI1066911

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Exhibit No.	Date	Document Description	BegBates	EndBates
		Mintz Re: NEW Finra Investigation – Regulation SHO		
337	11/15/10	Email from Thomas Textor to Mitch Mintz, Kimberly Miller, Brian Gover Re: NEW Finra Investigation – Regulation SHO	PFSI1064058	PFSI1064059
338	12/2/10	Email from Johnson to Pendergraft, Hall, DeLaSierra Re: As of Last Night Close	PFSI1123110	
339	12/23/10	Email from Yancey to Kenny Re: Ridge Fails	PFSI0605426	
340	1/13/11	Email from Mitch Mintz to Rudy DeLaSierra Re: REE – 75381M102	PFSI1072087	PFSI1072091
341	1/13/11	Email from Rudy DeLaSierra to John Kenny Re: quick call	PFSI0669526	PFSI0669529
342	10/9/09	Email from Kimberly Miller to Holly Hasty Re: Regulation SHO WSP		
343		EXT 816 Report Procedures (Long Sales – 204T Rules)		
344	6/23/10	Email from Brian Gover to Jerry Reilly, Summer Poldrack, Eric Alaniz Re: 3012 Testing for Reg SHO Rule 204		
345	3/11/10	Email from Hall to Alaniz, DeLaSierra, Poldrack Re: SEC Rule 204 - Regulation SHO		
346	3/10/10	Email from Alaniz to Hall Re: Regulation SHO Remediation – Securities Lending Group		
347	10/14/10	Email from Alaniz to Denise Steffel Re: Reg SHO Test		
348	8/10/09	Email from Delaney to list Re: Adoption of Reg SHO Rule 204		
349	8/10/09	Out of office reply from Mike Johnson to Tom Delaney		
350	3/26/10	Email from Alaniz to Gorenflo Re: Reg SHO Remediation		
351	9/29/10	Email Alaniz to Reilly Re: 3012 Buy-In SEC Rule 204 Test		
352	9/24/10	Email from Alaniz to Poldrack Re: 3012 Buy-In SEC Rule 204 Test		

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353	2/23/10	Email Hall to Alaniz, DeLaSierra, Johnson, Delaney Re: SEC Rule 204 – Regulation SHO		
354		Penson Exam Items and Regulatory Matters January 2009- Present		
355	5/7/10	Email from Johnson to Delaney Re: Half Hourly for 5:00am CST		
356	6/7/10	Email from Delaney to Yancey Re: Niederkrome and my schedule for this week and early next week		
358	3/23/10	Email from Hasty to Laurel Hooks Re: Rule 204 Meeting		
359	10/21/10	Email from Hasty to Reilly Re: FINRA Trading Examination Request		
360	7/30/09	Email from Laurel Hooks to Johnson, Hall, Kenny, Hasty, Gorenflo Re: Regulation SHO Rule 204 Effective 7.31.09		
361	4/9/10	Email from Brian Davis to Hasty, Jeffrey Hunter Re: Compliance Workflows		
362		Penson Financial Services Broker-Dealer Written Supervisory Policies and Procedures		
363	4/13/10	Letter from Morgan Lewis to FINRA Re: FINRA Matter Nos. 20080126810 and 20080136989		
364	12/1/10	Email from Mike Johnson to Brian Gover, Rudy DeLaSierra, Brian Hall, Bill Yancey, Stephen Worcester, John Kenny, Milan Doshi Re: spencer Winston securities		
365	12/2/10	Email from Mike Johnson to Logan Satterwhite, Lindsey Wetzig, Brian Hall Re: spencer Winston securities		
366	12/1/10	Email from Bill Yancey to Brian Gover Re: spencer winston securities	PFSI0295154	PFSI0295156
367	12/1/10	Email from Mike Johnson to Gover, DeLaSierra, Hall, Yancey, Worcester, Kenny, Doshi Re: spencer winston	PFSI0670442	PFSI0670444

In the Matter of Thomas R. Delaney II and Charles W. Yancey
File No. 3-15873
Thomas R. Delaney II's Final Exhibit List

Exhibit No.	Date	Document Description	BegBates	EndBates
		securities		
368	12/1/10	Email from Yancey to David Greenberg, Gover, Johnson, Sharon Ray, Kenny Re: spencer winston securities	PFSI0670738	PFSI0670739
369	12/2/10	Email from Brian Hall to Milan Doshi Re: spencer winston securities	PFSI0330022	PFSI0330025
370	12/2/10	Email from Mike Johnson to Satterwhite, Wetzig, Hall Re: spencer winston securities	PFSI0789361	PFSI0789364
371	12/2/10	Email from Yancey to Johnson, Lisa Henderson, Mary Smith, Steve Zhang, Kenny, Bart McCain Re: spencer winston securities	PFSI0671196	PFSI0671200
380*	2/11/11	Email string between Holly Hasty, Tom Delaney, Mike Johnson, Brian Hall Re: Reg SHO Buy-In vs Penalty Box		
382	10/29/10	Email Johnson to Stock Loan-All Offices		
383	1/8/10	Email from Alaniz to Hall, Wetzig, Johnson, DeLaSierra Re: Securities Lending Audit-3012 Test		
384	7/9/10	Email from Gorenflo to Delaney, Hasty Re: Reminder: Upcoming Webinars		
385	1/12/10	Email from Alaniz to Hall, Wetzig, DeLaSierra, Johnson Re: Rule 204 Test		
386	8/21/09	Email from Kenny to Delaney Re: Rule 204	TDAP 000001	TDAP 000003
387		Memo Re: Business Case for Ridge New Hires	TDAP 000004	TDAP 000009
388	2/15/11	Email from Mike Johnson to Tom Delaney, Brian Hall, Rudy DeLa Sierra Re: Reg-SHO discussion	TDAP 000010	
389	11/15/10	Email from Tom Delaney to Kimberly Miller Re: reg sho audit answers	TDAP 000011	TDAP 000015
390	1/10/11	Email from Kimberly Miller to Adam Rodriguez, Tom Delaney Re: Penson Kick off / Documentation Request	TDAP 000016	TDAP 000027
391	9/24/10	Email from Eric Alaniz to Rudy DeLa Sierra, Brian Hall, Mike Johnson, Tom Delaney, Thomas Textor Re: 3012 Test	TDAP 000028	TDAP 000029

In the Matter of Thomas R. Delaney II and Charles W. Yancey
File No. 3-15873
Thomas R. Delaney II's Final Exhibit List

Exhibit No.	Date	Document Description	BegBates	EndBates
		Follow Up		
392	9/24/10	Email from Eric Alaniz to Summer Poldrack, Jerry Reilly, Brian Gover, Tom Delaney, Thomas Textor Re: 3012 Buy-In SEC Rule 204 Test	TDAP 000030	TDAP 000031
393	3/9/10	Email from Eric Alaniz to Summer Poldrack, Brian Gover, Jerry Reilly, Tom Delaney Re: Regulation SHO Remediation – Buy-In Group	TDAP 000032	TDAP 000037
394	5/18/10	Email from Eric Alaniz to John Kenny, Tom Delaney Re: Reg Sho 3012 Testing	TDAP 000038	TDAP 000047
395	6/16/10	Email string between Eric Alaniz, Summer Poldrack, Jerry Reilly, Brian Gover, John Kenny, Tom Delaney Re: 3012 Reg SHO Document Request	TDAP 000048	TDAP 000050
396	10/26/09	Email string between Bill Yancey and Eric Alaniz, Tom Delaney Re: 2009-2010 CEO Certification	TDAP 000051	TDAP 000054
397	9/21/08	Email from Tom Delaney to Bill Yancey, Phil Pendergraft, John Kenny, Mike Johnson Re: SEC “tips” on avoiding failures to deliver...	TDAP 000055	TDAP 000056
398	7/17/08	Email from Tom Delaney to Mike Johnson, Rudy DeLaSierra, Llynal Carey, John Kenny, Bill Yancey Re: SEC Emergency Order	TDAP 000057	TDAP 000059
399	7/19/08	Email from Bart McCain to Tom Delaney, Bill Yancey Re: Comp and Bonus Guidelines-Compliance	TDAP 000060	
400	7/22/08	Email from Tom Delaney to Tom Delaney Re: Compliance presentation 20080722	TDAP 000061	TDAP 000081
401	9/21/08	Email from Kenny to Delaney, Pendergraft, Yancey, Johnson, Reid, B. McCain Re: General Communication and FAQ	TDAP 000082	TDAP 000087
402	1/6/10	Email from Alaniz to DeLaSierra Re: Rule 204 Test		
403	9/22/09	Email from Delaney to Thornton Re:		

In the Matter of Thomas R. Delaney II and Charles W. Yancey
File No. 3-15873
Thomas R. Delaney II's Final Exhibit List

Exhibit No.	Date	Document Description	BegBates	EndBates
		open audit findings follow-up		
404		Master Securities Loan Agreement		
405	8/2008	PFSI Compliance Charter	TDAP 000088	TDAP 000095
406	7/15/08	Email from Bill Yancey to Mike Johnson, Tom Delaney, John Kenny, Bart McCain, Ray Carli, John Thackeray, Llynal Carey, Rudy DeLaSierra, John Nicosia, Phil Pendergraft Re: New Short Sale Rule	TDAP 000096	TDAP 000098
407	9/21/08	Email from Pendergraft to Delaney, Yancey, Kenny, Johnson, Reid, B. McCain Re: General Communication and FAQ	TDAP 000099	TDAP 000100
408	9/22/08	Email from Delaney to PINemails, Yancey, Carey, Kenny, Pendergraft, Johnson, Zhang, Reid Re: Compliance Alert and FAQ	PFSI1697411	PFSI1697413
409	8/10/09	Email from Delaney Re: Adoption of Reg SHO Rule 204		
410	2/23/10	Email from Hall to Alaniz, DeLaSierra, Johnson, Delaney Re: SEC Rule 204-Regulation SHO	TDAP 000101	TDAP 000102
411	2/23/10	Email from Johnson to Hall, Alaniz, DeLaSierra, Delaney Re: SEC Rule 204-Regulation SHO	TDAP 000103	TDAP 000104
412	3/23/10	Email from Hall to Alaniz Re: Re: SEC Rule 204-Regulation SHO		
413	6/24/10	Email from Alaniz to Delaney Re: Reg-Ed for Reg SHO	TDAP 000105	
414	6/17/10	3012 Document Request from Alaniz to Gover, Poldrack, Reilly	TDAP 000106	TDAP 000109
415	6/17/10	Email from Alaniz to Poldrack, Reilly, Gover, Kenny, Delaney Re: 3012 Reg SHO Document Request	TDAP 000110	TDAP 000112
416	7/9/10	Email from Gorenflo to Delaney, Hasty Re: Reminder: Upcoming Webinars		
417	8/20/10	Email from Alaniz to Zabloudil, Glasgow, Textor, Delaney Re: Buy-Ins Per Rule 204	TDAP 000113	TDAP 000118

In the Matter of Thomas R. Delaney II and Charles W. Yancey
File No. 3-15873
Thomas R. Delaney II's Final Exhibit List

Exhibit No.	Date	Document Description	BegBates	EndBates
418	9/22/10	Email from Textor to Ruble, Delaney, Waldrop, Alaniz Re: PFSI Compliance Follow-up	TDAP 000119	TDAP 000124
419	9/30/10	Email from Alaniz to Reilly Re: 3012 Buy-In SEC Rule 204 Test		
420	10/15/10	Email from Gover to Doshi, Alaniz, Mintz, Reilly, Poldrack, Delaney, Textor, Johnson, DeLaSierra, Hall, Ramsey, VanHouten, Miller, Gonzalez, Kenny Re: REG SHO 204 Notification	TDAP 000125	TDAP 000134
421*	9/19/08	Email from Yancey to Delaney, PINemails, Carey, Blomquist, Pendergraft, Reid, Johnson, Koslow, Scheurich Re: EMERGENCY CORRESPONDENT NOTICE – PLEASE FORWARD IMMEDIATELY		
422*	9/22/08	Email from Andy Koslow to Delaney, Yancey, Pendergraft, Son, Kenny, Engemoen, Thackeray, Johnson, Reid, Scheurich, Walker, Davis, High Re: Morgan Lewis Securities Industry FYI: SEC Emergency Orders: Implications for Buyside and Sellside Firms		
422a	9/25/08	Morgan Lewis Securities Industry FYI Re: SEC Staff Provides Guidance on Short Sale Emergency Orders:		
423*	9/24/08	Email From Koslow to Son, Engemoen, Pendergraft, Yancey, Carey, Delaney, Kenny, Reid, Thackeray, Scheurich, Walker, High, Davis Re: SIFMA Call with SEC Staff on Close-Out Requirements		

In the Matter of Thomas R. Delaney II and Charles W. Yancey

File No. 3-15873

Thomas R. Delaney II's Final Exhibit List

Exhibit No.	Date	Document Description	BegBates	EndBates
425*	8/10/09	Email from Andy Koslow to Pendergraft, Son, Engemoen, Yancey, Delaney, Kenny, B. McCain, Gilmore, Scheurich, Gilliland, Davis, Logan, High Re: Morgan Lewis Securities Industry FYI: SEC Announces Actions on Short Sales		
425a	8/10/09	Morgan Lewis Securities Industry FYI Re: SEC Announces Actions on Short Sales		
436	3/4/11	Email from Hall to Miller Re: 204 Closeout Findings Response	TDAP 000135	TDAP 000136
446	7/30/14	Letter from Nicholas P. Heinke to Addleman and Baker Re: Brady material		
452	3/20/09	Letter to OCIE Re: Examination Regarding Regulation SHO	OCIE_CONFIDENTIAL_000002508	
453		GAO-09-483, Regulation SHO		
454	10/14/14	Expert Report of Professor Erik Sirri		
455	6/24/10	DTCC Important Notice Re: Penson Financial Services, Inc. and Ridge Clearing & Outsources Solutions, Inc. Conversion		

In the Matter of Thomas R. Delaney II and Charles W. Yancey
 File No. 3-15873
 Thomas R. Delaney II's Final Exhibit List

The below exhibits were offered by Respondent Delaney and not admitted:

Exhibit No.	Date	Document Description	BegBates	EndBates
357*	2/11/11	Email from Delaney to Johnson, Hall, Hasty Re: Reg SHO Buy-IN vs Penalty Box	PFSI1469521	
372*	2/11/11	Email from Johnson to Delaney, DeLaSierra, Hall, Gover, Polsrack, Hasty Re: Reg SHO Buy-In vs Penalty Box	PFSI1455902.001	PFSI1455902.002
374*	2/11/11	Email from Hasty to Delaney Re: Reg SHO Buy-In vs Penalty Box	PFSI1455884.001	PFSI1455884.004
376*	2/11/11	Email from Hasty to Delaney, Johnson, Hall Re: Reg SHO Buy-In vs Panalty Box	PFSI1443712.001	PFSI1443712.003
378*	2/10/11	Email from Mark Fitterman to Tom Delaney Re: ATTORNEY-CLIENT PRIVILEGED COMMUNICATION REG SHO		
447		Privilege Log provided by Penson Financial Services		

* These documents were identified as privileged by the holder of the privilege. The holder of the privilege did not agree to waive the privilege at the time of the hearing in this matter.

Yancey Trial Exhibits

Exhibit No.	Date	Document Description	Beg Bates	End Bates
501	1/19/2011	Email from Clearing, REG SHO 204 to Triad Securities re: ***REG SHO***-UBT	PENSON0403565	PENSON0403566
502	1/11/2011	Email from Pendergraft to Johnson re: PASLA/RMA Conference Confirmation Letter	REGSHO00105666_0001	REGSHO00105667_0001
503	6/7/2011	Penson Organizational Chart 6.7.2011	PFSI2293068	PFSI2293743
504	9/12/2008	Email from De La Sierra to Delaney cc: Johnson re: Emailing: 08-AE-02		
505	1/20/2010	Email from Alaniz to Glasgow re: SEC Rule 204	PFSI1387230	PFSI1387231
506	12/14/2010	Email from Johnson to Pendergraft	REGSHO00214458_0001	REGSHO00214458_0003
507	3/31/2010	Calendar appointment from Alaniz to Kenny, Gover, Johnson, De La Sierra, Hall, Weingarten, Reid, Hasty, Bell, Reilly, Poldrack, Delaney re: 3012 CEO Certification with Bill Yancey		
508	10/6/2010	Calendar appointment from Gorenflo re: Exit Conference - SEC Regulation SHO Examination	PENSON-SEC0000404	PENSON-SEC0000404
509	3/26/2010	Email from Alaniz to Gorenflo re: Reg SHO Remediation	PFSI1420289	PFSI1420292_0004
510	7/30/2009	Email from Laurel Hooks to Johnson, Hall, Kenny cc: Hasty, Gorenflo re: Regulation SHO Rule 204 Effective 7.31.09	PFSI1479502	PFSI1479502
511	1/26/2011	Email from Belter to Textor cc: Delaney re: Updated Compliance Procedures	PFSI1885528	PFSI1885556
512	3/30/2009	Email from Alaniz to Compliance US re: 3012/3130 Annual CEO Certification	PFSI1991910	PFSI1991912
513	6/29/2009	Email from Hinson to Alaniz re: New Org Chart	PFSI2120356	PFSI2120425
514	4/22/2010	Email from Hinson to Miller re: Org Chart	PFSI2227406	PFSI2227474
515	11/2/2009	Email from Pendergraft to Johnson re: October Numbers officially closed	REGSHO00027272_0001	REGSHO00027273_0001
516	2/3/2010	Email from Johnson to Pendergraft and Son re: reporting on travel, downsizing the department and ramping up marketing to get more business	REGSHO00066004_0001	REGSHO00066004_0001
517	9/15/2010	Email from Pendergraft to Johnson	REGSHO00176670_0001	REGSHO00176671_0001
518	10/25/2010	Email from Pendergraft to Johnson re: travel	REGSHO00181830_0001	REGSHO00181831_0001
519	6/24/2009	Email from Rafteseth to Gorenflo, De La Sierra, Kenny, Delaney, Steffel re: PorC Request	PFSI2062896	PFSI2062915
520	11/12/2009	Email from Hinson to Miller re: Org Chart	PFSI2213225	PFSI2213295

Yancey Trial Exhibits

Exhibit No.	Date	Document Description	Beg Bates	End Bates
521	1/25/2010	Email from Johnson to Pendergraft, Son	REGSHO00159509_0001	REGSHO00159510_0001
522	12/10/2010	Email from Johnson to Pendergraft re: Accepted: 2010 Budget	REGSHO00206937_0001	REGSHO00206937_0001
523	10/11/2011	Email from Boneau to Yancey cc: Alaniz, Hasty re: Meeting Summary Rule 3130_CCO/CEO Certification	PFSI1401668	PFSI1401670
524	7/7/2011	Email from Alaniz to Boneau re: Supervision Process Summary Doc	PFSI1414483	PFSI1414485
525	7/14/2010	Email from Yancey to Delaney re: Staffing Memo	PFSI1837449	PFSI1837449
526	10/31/2009	Email from Johnson to Pendergraft re: London Opportunity	REGSHO00027023_0001	REGSHO00027023_0003
527	1/7/2010	Email from Pendergraft to Johnson re: Thanks	REGSHO00036792_0001	REGSHO00036792_0001
528	2/22/2011	Email from Johnson to Pendergraft re: OCC requirements	REGSHO00083894_0001	REGSHO00083894_0002
529	6/23/2010	Email from Pendergraft to Johnson, Son	REGSHO00170111_0001	REGSHO00170111_0002
530	10/1/2010	Email from Johnson to Pendergraft	REGSHO00178904_0001	REGSHO00178905_0001
531	9/24/2008	Email from Pendergraft to Kenny re: SEC Emergency short sale rule update meeting	REGSHO00192091_0001	REGSHO00192092_0001
532	11/12/2010	Email from Gorenflo to Kenny re: 2009 Enforcement Request, incl. WSP	PENSON0499964	
533	9/22/2008	Email from Delaney to Johnson re: Compliance Alert REVISION AND FINAL DRAFT	FBD088565	FBD088565
534	11/9/2010	Email from Poldrack to Neblett, Pajewski re: *****URGENT*****204 execution 00910M100 AIRYY ***due 9:30am EST	PENSON0068882	PENSON0068883
535	11/29/2010	Email from Johnson to Pendergraft, Son	PENSON0709072	PENSON0709072
536	4/26/2011	Email from Alaniz to Alaniz re: Compliance Departments WSPs Location	PFSI1380792	PFSI1380794_0026
537	6/25/2010	Calendar from Gover to Poldrack, Reilly, Beeson, and Pitman re: Reg Sho/204	PFSI1420942	PFSI1420943_0004
538	12/2/2010	Calendar appointment re: Compliance focus group	PFSI1479474	PFSI1479475_0009
539	3/5/2009	Email from Magyar to Gorenflo	PFSI1551838	PFSI1551838_0006
540	9/30/2010	Email from Belter to Textor re: WSP Updated Version C-005, incl. WSP		

Yancey Trial Exhibits

Exhibit No.	Date	Document Description	Beg Bates	End Bates
541	12/15/2008	Email from Kenny to Delaney re: FW: Rule 204T Draft Comment Letter	PFSI1842604	PFSI1842624
542	12/2/2008	Email from Yancey to Fertig, Kenny, Hall, Johnson, De La Sierra cc: Pendergraft, Delaney, Hasty, Gorenflo re: SEC Examination - December 15, 2008	PFSI1858913	PFSI1858914
543	3/31/2010	Email from Alaniz to Delaney, Miller re: NYSE 342.30 Annual Report	PFSI2124126	PFSI2124186
544	8/7/2009	August 2008 Compliance Department Written Procedures	PFSI2138337	PFSI2138375
545	9/24/2009	Email from Hinson to Miller re: Org Chart	PFSI2181190	PFSI2181245
546	12/17/2007	Email from Pendergraft to Yancey attaching Global Equity Finance weekly update.doc	REGSHO00033795_0001	REGSHO00033796_0001
547	7/16/2009	Meeting Forward Notification to Pendergraft re: MBR - Securities Lending Review	REGSHO00088891_0001	REGSHO00088891_0001
548	2/15/2011	Email from Johnson to Pendergraft	REGSHO00109625_0001	REGSHO00109626_0001
549	3/11/2010	Email from Johnson to Pendergraft	REGSHO00200406_0001	REGSHO00200406_0002
550	11/23/2010	Email from Pendergraft to Johnson cc: Yancey re: SIFMA Singapore	REGSHO00205147_0001	REGSHO00205147_0001
551	6/30/2010	Email from Pendergraft to Yancey re: Finra Visit	PFSI2019889	PFSI2019889
552	9/22/2008	Special Compliance Memorandum from PFSI Compliance Department re: Penon's Response to Recent SEC Emergency Orders Regarding Short Selling	PENSON0000556	PENSON0000559
553	12/2/2011	Email from Poldrack to Miller re: ext816 reports 11/25/2011-current	PFSI1590784	PFSI1590785
554	3/10/2010	Email from Poldrack to Alaniz cc: Reilly, Gover, and Delaney re: Regulation SHO Remediation - Buy-in Group (2)	PFSI2000280	PFSI2000284
555		Organization Chart Selected Departments, February 2006	PWI-SEC-0817832	PWI-SEC-0817839
556	2/18/2011	Email from Johnson to Pendergraft re: Stock Loan P&L Flash.xls	REGSHO00110216_0001	REGSHO00110216_0002
557	4/7/2010	Email from Johnson to Pendergraft	REGSHO00162968_0001	REGSHO00162969_0001
558	2/23/2010	Email from Hall to Alaniz, De La Sierra cc: Johnson and Delaney re: SEC Rule 204 - Regulation SHO	Testimony Ex. 84 (PFSI1421506)	Testimony Ex. 84 (PFSI1421506.0000004)
559	5/5/2008	Memo from Penon to All Correspondents re: Release Date Notification - Regulation SHO Process Enhancement		
560	11/1/2010	Email from Johnson to Pendergraft, Yancey, Son, others re: commission accruals	PENSON0711741	PENSON0711742

Yancey Trial Exhibits

Exhibit No.	Date	Document Description	Beg Bates	End Bates
561	10/21/2010	Email from Beeson to Hasty cc: Reilly, Pittman, Hughes re: FINRA Trading Examination Request		
562	9/28/2010	Email from Ross to Miller cc: Textor re: Firm Element CE Completion Log	PFSI1585315	PFSI1585317_0007
563	3/9/2011	Email from Johnson to Pendergraft	REGSHO00083457_0001	REGSHO00083458_0001
564	11/9/2009	Email from Pendergraft to Son forwarding email from Johnson re: PFSL	REGSHO00126600_0001	REGSHO00126600_0003
565	1/26/2009	Emails between Pendergraft and Johnson re: Today's discussion	REGSHO00215012_0001	REGSHO00215012_0004
566	11/9/2010	Email from Beeson to TradeKing cc: Harvey, Poldrack re: Buy Ins	PENSON0176803	PENSON0176805
567	10/22/2010	Calendar Appointment re: Stock Loan Meeting	PENSON0718432	PENSON0718432
568	11/14/2011	Email from Miller to Johnson re: Short Selling Compliance Alerts	PFSI1556567	PFSI1556570_0002
569	8/5/2010	Email from Hall to Miller re: Outstanding FINRA Items	PFSI1585052	PFSI1585053
570	5/5/2010	Email from Redhair to Miller re: Entity Org. Chart	PFSI2227541	PFSI2227609
571	1/9/2009	Organizational Chart 1/9/2009	PFSI2293542	PFSI2293576
572	10/30/2009	Email from Johnson to Pendergraft re: Accepted: Exec Call	REGSHO00026879_0001	REGSHO00026879_0001
573	12/18/2009	Emails between Pendergraft and Johnson re: Ridge Stock Loan	REGSHO00132156_0001	REGSHO00132156_0003
574	6/20/2007	Email from Yancey to Gardner re: Update	REGSHO00227152	REGSHO00227152
575	2/11/2009	Email from Johnson to Pendergraft, Son	REGSHO00215546_0001	REGSHO00215547_0001
576	1/6/2010	Email from Alaniz to Poldrack, Reilly cc: Gover re: Rule 204	PFSI1399919	PFSI1399921
577	5/18/2010	Email from Alaniz to Kenney, Delaney re: Reg Sho 3012 Testing	PFSI1921655	PFSI1921665
578	2/2/2009	Email from Johnson to Son, Pendergraft cc: Skain, McBey, Hall re: Travel	REGSHO00212503_0001	REGSHO00212503_0002
579	1/13/2009	Email from Gorenflo to Delaney re: SEC Latest Request List	PFSI1909008	PFSI1909017
580	12/31/2010	Email from Hall to Clearing, REG SHO 204, Penson - Dallas - Stock Loan, De La Sierra re: ***REG SHO***-BORROW	PENSON0003424	PENSON0003424
581	2/28/2011	Calendar appointment from Miller re: Compliance Meeting/Regulatory Responses	PENSON-SEC-0001861	PENSON-SEC-0001863_0019

Yancey Trial Exhibits

Exhibit No.	Date	Document Description	Beg Bates	End Bates
582	11/10/2010	CNS Desk Checklist	PFSI0381216	PFSI0381226
583	1/8/2010	Email from Alaniz to Hall cc: Johnson, De La Sierra re: Securities Lending Audit - 3012 Test	PFSI1387538	PFSI1387541
584	6/17/2010	Memo from Alaniz re: Supervisory Controls Verification and Testing 2009-2010	PFSI1635778	PFSI1635781
585	5/24/2010	Email from Delaney to Koutros re: WSPs	PFSI1816103	PFSI1816369, and unnumbered
586	9/24/2010	Email from Alaniz to De La Sierra, Hall cc: Johnson, Delaney, Textor re: 3012 Test Follow Up	PFSI2010496	PFSI2010498
587	10/26/2009	Email from Yancey to Alaniz cc: Delaney re: RE: 2009-2010 CEO Certification	PFSI2099480	PFSI2099484
588	3/22/2010	Email from Hinson to Alaniz re: Org Chart	PFSI2123845	PFSI2123913
589	5/12/2009	Organizational Chart 5/12/2009	PFSI2130156	PFSI2130190
590	7/28/2009	Email from Johnson to Pendergraft	REGSHO00021020_0001	REGSHO00021020_0002
591	3/9/2011	Email from Johnson to Pendergraft re: Singapore event	REGSHO00083455_0001	REGSHO00083456_0001
592	4/2/2012	SEC Webpage - Division of Trading and Market Guidance Regarding Sale of Loaned but Recalled Securities Q&A	Testimony Ex. 68	
593	12/18/2009	Email from Alaniz to Poldrack re: 3012 Document Request	PFSI1388081	PFSI1388081_0003
594	5/26/2011	Email Hasty to Yancey, McCain, Kenny, Koslow, Byrom, Miller, Alaniz, Bell cc: Davis, Logan, Gilmore re: FINRA 2010 Examination Disposition Letter	PENSON-SEC0000490	PENSON-SEC0000492
595	9/24/2010	Email from Alaniz to Poldrack, Reilly cc: Gover, Delaney, Textor re: 3012 Buy - In SEC Rule 204 Test	PFSI1420856	PFSI1420857
596	1/3/2011	Email from Johnson to Pendergraft re: Commission Allocation	REGSHO00030374_0001	REGSHO00030375_0001
597	12/6/2007	Email from Yancey to Pendergraft re: Couple of updates	REGSHO00002026_0001	REGSHO00002026_0005
598	9/3/2009	Email from Pendergraft to Johnson	REGSHO00096775_0001	REGSHO00096775_0002
599	7/28/2010	Email from Johnson to Pendergraft, Son	REGSHO00070360_0001	REGSHO00070361_0001
600	4/22/2010	April 22, 2010 Letter from Gorenflo to SEC re: Examination Regarding Regulation SHO	PFSI1471300	PFSI1471300_0004

Yancey Trial Exhibits

Exhibit No.	Date	Document Description	Beg Bates	End Bates
601	11/11/2009	Email from Hutchinson to Gover, Hasty cc: Hall and others re: PFS643 Defect - "CNS Clean Up" Report - DRAFT Requirements (v1.0)	PFSI1497714	PFSI1497716_0003
602	3/20/2008	Email from Ake to Penson - Dallas - Business Process, Penson Group Leaders cc: Belter, Penson - Dallas - Compliance, Dicks re: Upcoming FINRA Audit	PFSI1827122	PFSI1827125
603	5/28/2010	Email from McCain to Miller, Delaney, Smith, Gover, De La Sierra and others cc: Yancey, Kenny, Engel, Pendergraft re: FINRA comments re PFSI WSPs	PFSI1948449	PFSI1948451_0004
604	2/1/2010	Email from Son to Yancey, Pendergraft re: SWS related	REGSHO00065463_0001	REGSHO00065464_0001
605	12/7/2009	Email from Johnson to Pendergraft, Son	REGSHO00130358_0001	REGSHO00130359_0001
606	1/24/2010	Email from Johnson to Pendergraft, Son cc: Yancey re: Stock shares for bonus	REGSHO00159371_0001	REGSHO00159371_0001
607	11/24/2010	Email from Johnson to Pendergraft RE:	REGSHO00205219_0001	REGSHO00205220_0001
608	8/14/2008	Email from Pendergraft to Gardner re: Mike Johnson	REGSHO00227149	REGSHO00227149
609	2/19/2010	Email from Alaniz to Hall, De La Sierra cc: Johnson, Delaney re: SEC Rule 204 - Regulation SHO	PFSI1386000	PFSI1386002
610	6/17/2010	Memo from Alaniz to Summer, Jerry, Brian re: 3012 Test Results - Regulation SHO Rule 204	PFSI1635787	PFSI1635790
611	11/8/2010	Email from Johnson to Pendergraft cc: Hall	Testimony Ex. 128 (PENSON0110785)	Testimony Ex. 128 (PENSON0110785)
612	12/10/2010	Email from Pendergraft to Johnson re: Budgets	REGSHO00206932_0001	REGSHO00206933_0001
613		Master Securities Loan Agreement - 2000 Version	Testimony Ex. 120	
614	7/30/2013 (Date Printed)	Frequently Asked Questions - Rule 3012 Report - FINRA	Testimony Ex. 172	
615	6/10/2008	Memo from Penson to All Correspondents re: Release Date Notification - Regulation SHO Process Enhancement		
616	3/11/2010	Email from Hall to Alaniz cc: De La Sierra, Poldrack re: SEC Rule 204 - Regulation SHO	PFSI1409102	PFSI1409104_0004
617	3/10/2010	Email from Alaniz to Hall re: SEC Rule 204 - Regulation SHO	PFSI1409275	PFSI1409277
618	2/19/2010	Email from Alaniz to Poldrack cc: Gover re: SEC Rule 204 - Regulation SHO	PFSI1421603	PFSI1421605
619	1/31/2011	Email from Poldrack to Miller cc: Gover re: SEC Audit Response #3, #5 # 11	PFSI1564874	PFSI1564891

Yancey Trial Exhibits

Exhibit No.	Date	Document Description	Beg Bates	End Bates
620	5/17/2010	Email from Poldrack to Miller cc: Gover re: additions to audit request	PFSI1605438	PFSI1605460_0012
621	7/15/2008	Email from Yancey to Johnson, Delaney re: New Short sale rule	PFSI1809819	PFSI1809821
622	7/16/2010	Email from Yancey to Engemoen cc: McCain re: Newest Org Chart	PFSI2306620	PFSI2306688
623	4/11/2008	Email from Yancey to Pendergraft forwarding email from Johnson re: ME	REGSHO00000234_0001	REGSHO00000234_0006
624	1/17/2011	Email from McCain to Pendergraft, Yancey re: Commission Allocation	REGSHO00106501_0001	REGSHO00106502_0001
625	4/12/2010	Email from Johnson to Pendergraft	REGSHO00163466_0001	REGSHO00163467_0001
626		Global Equity Finance - Securities Lending Organizational Chart	Testimony Ex. 65 (PENSON0000531)	Testimony Ex. 65 (PENSON0000534)
627	10/2/2009	Email from Pendergraft to Johnson re: Business	REGSHO00093899_0001	REGSHO00093900_0001
628	3/9/2011	Email from Miller to Rodriguez re: FW: Stock Loan Takeaway Responses	PFSI1600541	PFSI1600552
629	8/20/2009	Email from Krone to Alaniz re: Org charts	PFSI2122144	PFSI2122210
630	9/29/2009	Email from Johnson to Pendergraft, Son	REGSHO00093286_0001	REGSHO00093287_0001
631	12/22/2010	SEC Short Sells - Mandatory Buy-ins	Testimony Ex. 20	
632	11/10/2009	Email from Pendergraft to Johnson, Skain, McBey re: Canada and UK	REGSHO00126788_0001	REGSHO00126788_0002
633	3/31/2010	Calendar appointment to Yancey, Delaney re: 3012 CEO Certification with Bill Yancey		
634	10/9/2009	Email from Miller to Hasty re: Regulation SHO WSP	PFSI1521178	PFSI1521180
635	10/7/2009	Email from Hasty to Miller re: 09-09-23-WSP[1].doc	PFSI1541602	PFSI1541603_0002
636	1/29/2010	Email from Pendergraft to Johnson	REGSHO00065301_0001	REGSHO00065302_0001
637	3/28/2011	Email from Pendergraft to Johnson cc: Yancey	REGSHO00080662_0001	REGSHO00080663_0001
638	3/11/2011	Email from Johnson to Pendergraft	REGSHO00083863_0001	REGSHO00083864_0001
639	12/14/2009	Emails between Pendergraft and Johnson re: Bonus comments	REGSHO00131317_0001	REGSHO00131317_0003
640		CNS Fails Report	Testimony Ex. 7	

Yancey Trial Exhibits

Exhibit No.	Date	Document Description	Beg Bates	End Bates
641	8/20/2010	Email from Gover to Poldrack, Reilly, cc: Beeson, Pitman re: pfs643.204 buy-in due today @ market open	PFSI1352938	PFSI1352942
642	1/27/2010	Email from Johnson to Pendergraft	REGSHO00064828_0001	REGSHO00064829_0001
643	12/17/2010	Email from Johnson to Pendergraft	REGSHO00218229_0001	REGSHO00218230_0001
644	12/3/2009	Email from Alaniz to Dill attaching Org Chart 12.3.09.ppt	PFSI2121373	PFSI2121444
645	1/7/2010	Email from Alaniz to Poldrack cc: Gover re: Rule 204	PFSI1411519	PFSI1411520
646	1/11/2011	Johnson to Pendergraft, Gardner re: commission allocation change	REGSHO00105714_0001	REGSHO00105715_0001
647	7/9/2010	Email from Gorenflo to Delaney cc: Hasty re: Reminder: Upcoming Webinars	PFSI1426634	PFSI1426634_0002
648	3/31/2011	Email from Johnson to Pendergraft re: commission payments	REGSHO00078705_0001	REGSHO00078706_0001
649	3/5/2011	Email from Johnson to Pendergraft, Son	REGSHO00082949_0001	REGSHO00082949_0001
650	12/14/2009	Email from Johnson to Pendergraft	REGSHO00131225_0001	REGSHO00131226_0001
651	6/16/2010	Email from Alaniz to Poldrack, Reilly, Gover cc: Kenny, Delaney re: 3012 Reg SHO Document Request	PFSI1397565	PFSI1397567
652	9/17/2008	Email from Johnson to Pendergraft, Kenny, Yancey	REGSHO00101722_0001	REGSHO00101723_0001
653	10/19/2010	Email from Pendergraft to Johnson re:	PENSON0719310	PENSON0719310
654	3/31/2010	Email from Alaniz to Miller re: NASD Rule 3012 Report 2009-2010	PFSI2027651	PFSI2027659
655	3/21/2011	Email from Johnson to Pendergraft cc: Redhair	REGSHO00082321_0001	REGSHO00082322_0001
656	11/9/2009	Email from Johnson to Pendergraft re: Confidential 2010 Global Sec Lending Business Plan	REGSHO00126580_0001	REGSHO00126582_0001, and unnumbered
657	1/11/2011	Email from Alaniz to De La Sierra cc: Johnson, Hail re: PFSI's Written Supervisory Procedures for 2011	PFSI1135866	PFSI1135867
658	2/16/2011	Email from Textor to Alaniz FW: 3012 Testing	PFSI1630282	PFSI1630282_0003
659	4/1/2010	Email from Delaney to Belter re: 3/31/2010 WSPs	PFSI1781356	PFSI1781358
660	7/2/2004	Mike Johnson's Resume	REGSHO00227171	REGSHO00227172
661	9/2/2009	Email from Gorenflo to Delaney re: Compliance Reorganization	Testimony Ex. 98 (PFSI1472097)	Testimony Ex. 98 (PFSI1472097.0000003)

Yancey Trial Exhibits

Exhibit No.	Date	Document Description	Beg Bates	End Bates
662	6/29/2009	Email from Pendergraft to Johnson re: Six Month Bonuses	REGSHO00086910_0001	REGSHO00086910_0003
663	1/25/2010	Email from Delaney to Worcester re: FW: ROOR- 2D Stock Borrow and Stock Loan- For Approval	PFSI1441350	PFSI1441352_0012
664	8/5/2009	Email from Johnson to Pendergraft	REGSHO00022102_0001	REGSHO00022103_0001
665	1/30/2010	Email from Pendergraft to Johnson, Son, Engemoen, McAleer, Yancey, Engel cc: De La Sierra, and others re: January run rates	REGSHO00065390_0001	REGSHO00065391_0001
666	2/5/2009	Email from Pendergraft to Johnson, Son	REGSHO00187927_0001	REGSHO00187928_0001
667	5/18/2010	Email from Johnson to Pendergraft FW: Emailing: ShortSaleNegativeBill_051710051710_GWDS	REGSHO00203977_0001	REGSHO00203977_0005
668	9/27/2010	Email from Johnson to Pendergraft re: Lightspeed	REGSHO00178237_0001	REGSHO00178237_0003
669	1/28/2010	Email from Alaniz to Yancey cc: Delaney, Alaniz re: 2009-2010 Quarterly Annual Certification Meeting	PFSI1908279	PFSI1908281
670	11/30/2010	Email from Johnson to Wetzig, De La Sierra, Hall	PENSON0708819	PENSON0708819
671	2/18/2009	Email from Pendergraft to Johnson	REGSHO00073757_0001	REGSHO00073758_0001
672	10/31/2007	Written Supervisory Procedures Project	Testimony Ex. 110 (SOF0011)	Testimony Ex. 110 (SOF0012)
673	5/7/2010	Email from Delaney to Miller re: Compliance Org Chart Pre Closing.vsd	PFSI1805771	PFSI1805772
674	3/29/2010	Calendar appointment from Alaniz to Kenny, Gover, Johnson, De La Sierra and others re: 3012 CEO Certification with Bill Yancey	PFSI2025152	PFSI2025152
675	9/28/2007	Calendar appointment from Yancey to Delaney re: Stock Loan Visit Discussion	PFSI1715532	PFSI1715532
676	2/15/2011	Email from Delaney to Hasty re: In mike johnson's office for Reg sho	PFSI2140906	PFSI2140906
677	8/4/2010	Email from Scheurich to Miller re: Org. Chart	PFSI2163172	PFSI2163240
678	3/7/2011	Email from Johnson to Pendergraft	REGSHO00083001_0001	REGSHO00083002_0001
679	12/21/2009	Email from Johnson to Pendergraft re: Another call	REGSHO00132334_0001	REGSHO00132334_0001
680	9/30/2010	Email from Pendergraft to Johnson re: Conversation	REGSHO00178787_0001	REGSHO00178787_0002
681	3/2/2010	Email from Pendergraft to Johnson, Son, Engemoen, Yancey, McAleer cc: McCain and others re: November Receivables	REGSHO00199147_0001	REGSHO00199147_0002

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Exhibit No.	Date	Document Description	Beg Bates	End Bates
682	3/30/2010	Calendar appointment - Hasty accepts invite from Alaniz re: 3012 CEO Certification with Bill Yancey	Testimony Ex. 100	
683	2/24/2011	Email from Ellman to FINRA, Delaney, Yancey, et al., Re: Revised Pension Exam Report	PFSI2346934	PFSI2346954
684	1/21/2011	Email from Johnson to Pendergraft	REGSHO00107143_0001	REGSHO00107144_0001
685	7/31/2008	Email from Ray to McCain, Yancey, Gover, Ferguson, and others re: Weekly Update	PFSI2326985	PFSI2326989
686	3/23/2010	Email from Hall to Alaniz re: SEC Rule 204 - Regulation SHO	PFSI1408719	PFSI1408720
687	1/1/2010	Email from Johnson to Pendergraft and Son cc: Hall, De La Sierra re: New Bonus calculation of Stock Loan in NYC and Dallas	REGSHO00133368_0001	REGSHO00133368_0002
688	12/20/2010	Email from Johnson to Pendergraft	REGSHO00190673_0001	REGSHO00190674_0001
689	8/23/2010	Email from Johnson to Pendergraft	REGSHO00174123_0001	REGSHO00174123_0002
690	2/10/2010	Email from Pendergraft to Johnson	REGSHO00067054_0001	REGSHO00067054_0003
691	2/26/2010	Email from Poldrack to Alaniz cc: Reilly, Gover re: Regulation SHO Remediation - Buy-in Group (2)	PFSI1385772	PFSI1385773_0004
692	3/29/2011	Email from Delaney to Yancey cc: Hasty, Textor re: CEO/CCO Meeting	PFSI1453866	PFSI1453866
693	6/1/2010	Email from Hall to McCain, Miller, Delaney, Smith, Gover, De La Sierra, and others re: FINRA comments re PFSI WSPs	PFSI1947401	PFSI1947403
694	1/26/2008	Email from Johnson to Pendergraft	REGSHO00009635_0001	REGSHO00009636_0009
695	11/25/2009	Email from Johnson to Son cc: Pendergraft re: Estimated stock loan expenses charged to PWI not allocated out to operating units	REGSHO00129269_0001	REGSHO00129270_0001
696	10/22/2010	Email from Johnson to Pendergraft re: Accepted: Stock Loan Meeting	REGSHO00181425_0001	REGSHO00181425_0001
697		PFSI Compliance Charter	Testimony Ex. 108 (SOF0043)	Testimony Ex. 108 (SOF0050)
698	8/18/2008	Fiserv Health - Employee Change	REGSHO00227107	REGSHO00227107
699	2/14/2011	Email from Thomas Textor to Alaniz FW: 2010 Pension Exam Report	PENSON-SEC 0002185	PENSON-SEC 0002186_0019
700	10/6/2011	Email from Alaniz to Boneau re: Global Framework	PFSI1389910	PFSI1389911
701	8/28/2009	Email from Gorenflo to Waldrop cc: Delaney re: Compliance WSPs	PFSI2085404	PFSI2085431

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Exhibit No.	Date	Document Description	Beg Bates	End Bates
702	3/9/2010	Email from Alaniz to Poldrack cc: Gover re: FW: Regulation SHO Remediation - Buy in Group	PFSI2002311	PFSI2002316
703	10/10/2010	Email from Johnson to Pendergraft	REGSHO00179881_0001	REGSHO00179881_0001
704		Outline of Compliance Officers Action Plan for CEO Certification Process and Written Supervisory Procedures Rewrite	Testimony Ex. 112 SOF 0016	SOF 0018
705	2/27/2010	Email Johnson to Pendergraft re: RSU Grants	REGSHO00198947_0001	REGSHO00198947_0002
706	1/28/2011	Email from Rodriguez to Miller re: FINRA P&C Exam	PFSI1566059	PFSI1566059_0002
707	12/9/2009	Email from Pendergraft to Johnson	REGSHO00130801_0001	REGSHO00130802_0001
708	1/10/2011	Email from Miller to Rodriguez cc: Delaney re: Penson Kick Off/Documentation Request	PFSI1830255	PFSI1830270
709	8/18/2010	Email from Johnson to Pendergraft	REGSHO00173496_0001	REGSHO00173496_0001
710	3/11/2011	Email from Johnson to Pendergraft re: Away From Office	REGSHO00083823_0001	REGSHO00083824_0001
711	1/27/2010	Email from Johnson to Pendergraft	REGSHO00064855_0001	REGSHO00064856_0001
712	9/25/2009	Email from Yancey to Pendergraft re: Mike Johnson	REGSHO00092738_0001	REGSHO00092738_0002
713	3/4/2011	Email from Hall to Miller re: 204 Closeout Findings Response	PFSI1566080	PFSI1566082
714	6/16/2009	Email from Pendergraft to Penson - All Offices re: Stock Loan promotion	PFSI2037654	PFSI2037654
715	1/28/2009	Email from Johnson to Pendergraft, Son cc: Hall re: Travel	REGSHO00218170_0001	REGSHO00218170_0002
716	8/2/2010	Email from Alaniz to Yancey cc: Delaney, Jones re: 2010-2011 Quarterly Certification Meeting	PFSI1906382	PFSI1906384
717	1/3/2013	"Background Questionnaire" for Michael Johnson	Testimony Ex. 123	
718	9/22/2009	Email from Johnson to Pendergraft re: Accepted: Stock loan review and recon in PFSL	REGSHO00099386_0001	REGSHO00099386_0001
719	4/29/2010	Email from Gorenflo to Delaney re: 204 Allocation Letter	PFSI1451029	PFSI1451031
720	11/4/2010	Email from Scheurich to Alaniz re: Org Chart	PFSI2124955	PFSI2125024
721	11/14/2011	Email from Johnson to Pendergraft, Engel re:	REGSHO00138691_0001	REGSHO00138692_0001
722	8/4/2009	Email from Alaniz to Yancey cc: Delaney re: 2009-2010 Certification	PFSI1412292	PFSI1412294_0002

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Exhibit No.	Date	Document Description	Beg Bates	End Bates
723	12/14/2009	Email from Alaniz to Poldrack re: 3012 Document Request	PFSI1412337	PFSI1412341_0003
724	12/23/2008	Email from Waldrop to Yancey, McCain, Kenny, Smith, Delaney cc: Engemoen, Pendergraft, Son, others re: audit reports - buy-ins	PFSI1819623	PFSI1819632
725	7/30/2009	Email from Johnson to Pendergraft	REGSHO00021316_0001	REGSHO00021316_0001
726	2/23/2011	Email from Pendergraft to Johnson	REGSHO00084050_0001	REGSHO00084051_0001
727	9/14/2008	Email from Johnson to Yancey, De La Sierra, Wetzig, Hall, McCain, Pendergraft	REGSHO00216800_0001	REGSHO00216801_0001
728	1/6/2009	Email from Gorenflo to Fertig re: SEC Latest Request List	PFSI1899664	PFSI1899670
729	9/29/2008	Compliance Alert from PFSI Compliance Department re: Additional Information related to SEC Emergency Order/Rule 204T ("Order")		
730	5/30/2011	Email from Johnson to Pendergraft, De La Sierra re: ETB list comparison	REGSHO00085909_0001	REGSHO00085909_0002
731	3/1/2011	Email from Miller to Kai Ng re: FINRA Matter ID: 20100219467 (NYSE Amex, BOX, PHLX, BATS)Penson Financial Services, Inc.		
732	3/31/2010	Pendergraft to Johnson re: Looking at March Month End	REGSHO00162031_0001	REGSHO00162032_0001
733	10/6/2011	Email from Johnson to Pendergraft	REGSHO00135162_0001	REGSHO00135163_0001
734	6/23/2010	Email from Gover to Reilly, Poldrack cc: Alaniz re: 3012 Testing for Reg SHO Rule 204	PFSI1397374	PFSI1397376_0004
735	7/23/2009	Email from Alaniz to Yancey cc: Delaney re: 2009-2010 Quarterly Annual Certification Meeting	PFSI2109688	PFSI2109689
736	1/22/2010	Email from Alaniz to Poldrack re: just wanted to let you know...	PFSI1422917	PFSI1422917
737	11/24/2010	Email from Gorenflo to Hasty re: 2008 Reg SHO Examination Response - FINAL DRAFT	PFSI1507183	PFSI1507185_0012
738	3/29/2011	Email from Delaney to Yancey, Pendergraft, Engemoen, McCain cc: Hasty, Textor, Scheurich, Ross re: CEO Certification / Rule 342.30(e)/ 3130(b) / NSX Rule 5.7	PFSI2144659	PFSI2144699
739	10/19/2009	Email from Delaney to Yancey, Pendergraft re: FINRA_Executive_Presentation DRAFT 9.ppt	PFSI1441168	PFSI1441169_0062
740	12/16/2010	Email from Johnson to Pendergraft re: Dia short cost	REGSHO00217070_0001	REGSHO00217070_0002
741	5/3/2010	Email from Johnson to Pendergraft	REGSHO00201789_0001	REGSHO00201790_0001

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Exhibit No.	Date	Document Description	Beg Bates	End Bates
742	3/28/2011	Email from Textor to Delaney, cc: Alaniz, Belter FW: Updated...	PFSI1441509	PFSI1441512
743	2/11/2011	Email from Poldrack to Miller re: how is 643 report is created	PFSI1600744	PFSI1600744_0002
744	3/31/2010	Email from Alaniz to Miller, Delaney re: NASD Rule 3012 Summary Report 2009-2010	PFSI2027614	PFSI2027626
745	10/9/2009	Email from Pendergraft to Johnson	REGSHO00023566_0001	REGSHO00023567_0001
746	7/6/2010	Penson WSPs "7/6/2010 to Current"	PFSI0646785	PFSI0647125
747	2/3/2011	Email from Miller to Hall re: Penalty Box Spreadsheets	PFSI1617245	PFSI1617248_0019
748	12/21/2009	Email from Johnson to Pendergraft	REGSHO00132283_0001	REGSHO00132284_0001
749	1/6/2010	Email from Johnson to Pendergraft, Son	REGSHO00133683_0001	REGSHO00133684_0001
750		EXT 816 Report Procedures (Long Sales - 204T Rule)	OCIE_CONFIDENTIAL_000001321	OCIE_CONFIDENTIAL_000001321
751		EXT 816 Report	OCIE_CONFIDENTIAL_000001342	OCIE_CONFIDENTIAL_000001342_0011
752	11/6/2008	November 6, 2008 Letter from OCIE to Fertig re: Examination Regarding Regulation SHO	OCIE_CONFIDENTIAL_000001950	OCIE_CONFIDENTIAL_000001950_0012
753	9/17/2008	Email from Penson to Correspondents re: Important - New SEC Short Sale Rule	OCIE_CONFIDENTIAL_000002187	OCIE_CONFIDENTIAL_000002187_0002
754		PFS 642/PFS 643 Document	OCIE_CONFIDENTIAL_000002252	OCIE_CONFIDENTIAL_000002252
755		Report Codes	OCIE_CONFIDENTIAL_000002528	OCIE_CONFIDENTIAL_000002528
756		April 23, 2009 Letter from Gorenflo to Magyar re: Examination Regarding Regulation SHO	OCIE_CONFIDENTIAL_000002530	OCIE_CONFIDENTIAL_000002530_0006
757		Phil Pendergraft FINRA Broker Check		
758		Bill Yancey FINRA Broker Check		
759		Daniel Son FINRA Broker Check		
777	10/6/2014	Letter from Heinke to Addleman, Breaux, Ewing, Mallett, Baker, Smith, Washburn, Lebenta		
778	10/23/2014	Letter from Heinke to Addleman, Breaux, Ewing, Mallett, Baker, Smith, Washburn, Lebenta		

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Exhibit No.	Date	Document Description	Beg Bates	End Bates
779	10/26/2014	Letter from Heinke to Addleman, Breaux, Ewing, Mallett, Baker, Smith, Washburn, Lebenta		
780	11/5/2010	Email from Johnson to Hall re Last Nights Close Global SEC Lending Receivables	PENSON0110838	PENSON0110838
781	12/2/2010	Email from DeLaSierra to Johnson re: As of Last Night Close	PENSON0077418	PENSON0077419
782	12/28/2010	Email from Hall to Pendergraft re: December Loan Statistics	PENSON0004178	PENSON0004178
783	1/3/2011	Email from Pendergraft to Johnson cc: Hall re: pricing amendment for borrows	PENSON0714234	PENSON0714236
784	8/13/2010	Email from Johnson to Son, Pendergraft cc: Hall, DeLaSierra re: Update	REGSHO00072055_0001	REGSHO00072056_0001
785	12/2/2010	Email from Johnson to Pendergraft, Hall, DeLaSierra re: As of Last Night Close	PENSON0419396	PENSON0419396
786	4/20/2011	Email from Johnson to Pendergraft, Hall, Wetzig cc: Gover re: Can you borrow this security?	REGSHO00012641_0001	REGSHO00012641_0002
787	11/24/2010	Email from Gover to Beasley, Madden, Pajewski, Troster re: FW: GM	PENSON0620246	PENSON0620247
788	1/5/2010	Email from Pendergraft to Johnson cc: Son re: FW: Stock Loan Mark-ups	REGSHO00133660_0001	REGSHO00133660_0003
789	5/11/2011	Email from Pendergraft to Johnson re: 234F & 513F Combination	REGSHO00074823_0001	REGSHO00074824_0001
790	11/24/2010	Email from Hall to Troster	PENSON0006136	PENSON0006137
791	4/15/2010	Email from Johnson to Son, Pendergraft	REGSHO00164034_0001	REGSHO00164034_0002
792	9/29/2008	Email from Johnson to Pendergraft re: Estimated September Net Recievables	REGSHO00072457_0001	REGSHO00072458_0001
793	7/13/2010	Email from Johnson to Pendergraft cc: Hall	REGSHO00172647_0001	REGSHO00172648_0001
794	11/23/2010	Email from Johnson to Pendergraft re: FW: A/C 712-11819	PENSON0709365	PENSON0709365
795	1/12/2009	Email from Johnson to Pendergraft	REGSHO00209526_0001	REGSHO00209526_0002
796	9/20/2010	Email from Johnson to Pendergraft, Son	REGSHO00177168_0001	REGSHO00177169_0001
797	7/1/2010	Email from Johnson to Pendergraft, Son	REGSHO00171328_0001	REGSHO00171329_0001
798	4/21/2011	Email from Johnson to Pendergraft re: hard stock loans	REGSHO00012734_0001	REGSHO00012734_0002
799	2/10/2010	Email from Johnson to Weingarten cc: Pendergraft re: Ridge Locates	REGSHO00067047_0001	REGSHO00067047_0001

Yancey Trial Exhibits

Exhibit No.	Date	Document Description	Beg Bates	End Bates
800	7/22/2010	Email from Johnson to Pendergraft cc: Hall re: analysis of market conditions in stock loan	REGSHO00069647_0001	REGSHO00069648_0001
801	8/17/2010	Email from Johnson to Pendergraft cc: Hall, DeLaSierra re: TD securities financing opportunity	REGSHO00173365_0001	REGSHO00173365_0004
802	4/7/2010	Email from Johnson to Pendergraft, Son cc: McCain	REGSHO00162909_0001	REGSHO00162909_0002
803	6/9/2011	Email from Pendergraft to Johnson re: borrow/loan balances for JPMC EOD 6/9	REGSHO00020380_0001	REGSHO00020380_0004
804	11/12/2010	Email from Johnson to Pendergraft re: Stock loan financing	REGSHO00184929_0001	REGSHO00184929_0002
805	7/13/2010	Email from Pendergraft to Johnson, Son Re: Ridge income	REGSHO00172650_0001	REGSHO00172650_0001
806	6/10/2011	Email from Pendergraft to McCain	REGSHO00020460_0001	REGSHO00020460_0003
807	3/31/2010	Email from Pendergraft to Johnson re: Looking at March Month End	REGSHO00162031_0001	REGSHO00162031_0004
808	1/3/2011	Email from Johnson to Pendergraft cc: McCain, Smith re: Commission accruals and total due on Jan. 31	PENSON0705990	PENSON0705991
809	1/5/2010	Email from Pendergraft to Johnson, Son cc: Yancey, McCain re: Raises	REGSHO00133602_0001	REGSHO00133602_0003
810	11/12/2010	Email from Pendergraft to Yancey, Hanville, Delaney, Gilmore, McAleer, Gallian re: 2010_11_17_FINRA meeting.ppt	REGSHO00184767_0001	REGSHO00184767_0002, and unnumbered pages
811	3/23/2010	Email from Pendergraft to Yancey re: SEC presentation	REGSHO00160862_0001	REGSHO00160862_0002, unnumbered
812	1/18/2010	Email from Johnson to Pendergraft, Son	REGSHO00158550_0001	REGSHO00158550_0002
813	9/21/2008	Email from Pendergraft to Delaney, Yancey, Kenny, Johnson, Reid, B. McCain Re: General Communication and FAQ	PFSI1929470	PFSI1929475
814	11/10/2008	Email from Pendergraft to Koslow re: SEC-Reg SHO Examination	REGSHO00212811_0001	REGSHO00212812_0001
815	9/21/2008	Email from Reid to Pendergraft, Yancey, Delaney, Kenny, Johnson, McCain re: General Communication and FAQ	PFSI1928523	PFSI1928525
816	10/6/2011	Email from Johnson to Pendergraft, Engel	REGSHO00135132_0001	REGSHO00135132_0002
817	4/8/2010	Email from Pendergraft to Johnson	REGSHO00163114_0001	REGSHO00163114_0002
818	7/6/2010	Email from Johnson to Pendergraft, Son	REGSHO00171748_0001	REGSHO00171748_0002

Yancey Trial Exhibits

Exhibit No.	Date	Document Description	Beg Bates	End Bates
819	7/7/2011	Email from Johnson to Pendergraft	REGSHO00116140_0001	REGSHO00116140_0001
820	2/18/2011	Email from Johnson to Pendergraft, Son	REGSHO00110223_0001	REGSHO00110223_0002
821	9/27/2010	Email from Johnson to Pendergraft, Son	REGSHO00178108_0001	REGSHO00178108_0002
822	4/14/2010	Email from Johnson to Son, Pendergraft re: Travel Update	REGSHO00163884_0001	REGSHO00163884_0002
823	6/23/2010	Email from Pendergraft to Johnson, Son	REGSHO00170111_0001	REGSHO00170111_0002
824	3/23/2010	Email from Johnson to Son, Pendergraft	REGSHO00160896_0001	REGSHO00160896_0002,unnumbered
825	10/6/2011	Email from Johnson to Pendergraft	REGSHO00135162_0001	REGSHO00135162_0002
826	9/23/2009	Email from Raphael to Pendergraft re: Penson Worldwide Organization Chart 9.23.2009.ppt	REGSHO00092328_0001	5 unnumbered
827	10/19/2010	Email from Miller to Sit, Hasty re: PFSI - Nasdaq/BATS/BX Order Entry	PFSI2257310	PFSI2257350
828		Independent Expert Witness Report of Judith Poppalardo		
829	11/5/2014	Amended Expert Report of Marlon Q. Paz		