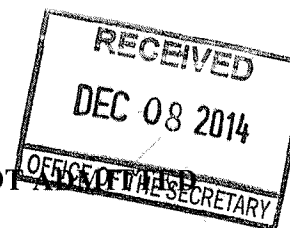


**IN RE DENNIS J. MALOUF
ADMINISTRATIVE PROCEEDING NO. 3-15918
DIVISION'S LIST OF EXHIBITS ADMITTED AND OFFERED BUT NOT
December 8, 2014**



Exh No.	DATE	Exhibit Description	OFF.	ADM./ PAGE- Line #	STIP.	BATES
<u>4</u>		Kirk Hudson's response to document subpoena		83:7	X	HUDSON0000001 - HUDSON0000003
<u>6</u>		UASNM's response to document subpoena		83:7	X	UASNM000016- UASNM0000024
<u>8</u>	8/17/2004	Asset Purchase Agreement between Universal Advisory Services, Inc. and UASNM, Inc. and Joe Kopczynski		83:7	X	HUDSON0000005 - HUDSON0000046
<u>9</u>	6/1/2010	UAS: Operating Structure as of June 2010		83:7	X	ACA000432-0004654 - ACA000432-0004656
<u>10</u>		Marketing piece called Universal Advisory Services, Inc., An Overview of Our Firm		11/24	adm	UASNM0019693 - UASNM0019717
<u>11</u>	6/3/2009	Email from Enrique Alvarez to Mike Ciambor re: UASN Marketing Issues		83:7	X	ACA000432-0013502
<u>12</u>	4/20/2011	String of emails between Gerry Maddoux and Dennis Malouf re: stocks		83:7	X	UASNM0132068 - UASNM0132070
<u>13</u>	2007 through 2012	Spreadsheet of financial statements and a collection of the UASNM financial statements from 2007 through 2012		11/24	not adm	UASNM0023029 - UASNM0023076
<u>14</u>		Diagram of the UASNM office layout		83:7	X	RJFS-SEC-UASNM- 000975
<u>15</u>	2007 through 2012 Amended April 2010	Compliance Manual for Universal Advisory Services NM, Inc.		83:7	X	ACA000432-0012444 - ACA000432-0012547
<u>16</u>	1/18/2012	Branch Manager Review Detail Report		83:7	X	RJFS-SEC-UASNM- 001561 RJFS-SEC- UASNM-001565
<u>17</u>	12/16/2009	Email from MONICAP to Kirk and cc'd to Paula; Dennis re: RJ fees paid		83:7	X	UASNM0080767
<u>18</u>	6/27/2008	Email from Dennis Malouf to Kirk Hudson and Matt Keller		83:7	X	UASNM0128028

<u>19</u>	1/21/2009	Email from Joe Kopczynski to Dennis cc'd to Kirk Hudson re: reducing market exposure; including email chain		83:7	X	UASNM031515 - UASNM031516
<u>20</u>	7/28/2011	Emails between Joe Kopczynski and Mike Ciambor re: Audit		83:7	X	ACA000432-0010041 - ACA000432-0010042
<u>21</u>	3/26/2011	Email from Kirk Hudson to Dennis Malouf re: disclosure question		83:7	X	UASNM0134738
<u>22</u>	3/21/2011	Emails between Kirk Hudson and Dennis Malouf and Monica Villa re: input on securities sold		83:7	X	UASNM0134801 - UASNM0134802
<u>23</u>		UASNM's Answer and Response to Interrogatories and Requests for Admissions		83:7	X	
<u>24</u>	2/4/2008	Form ADV, Part II for UASNM		83:7	X	UASNM0425 - UASNM0443
<u>25</u>	10/1/2009	Form ADV, Part II for UASNM		83:7	X	UASNM1455 - UASNM1473
<u>26</u>	3/18/2010	Form ADV, Part II for UASNM		83:7	X	UASNM1427 - UASNM1451
<u>27</u>	4/12/2010	Form ADV, Part II for UASNM		83:7	X	UASNM0358 - UASNM0380
<u>28</u>	3/2011	Form ADV, Part II for UASNM		83:7	X	UASNM0117 - UASNM0144
<u>29</u>		Trade blotter for Raymond James		83:7	X	RJFS-Malouf-000150 - RJFS-Malouf-000226
<u>30</u>	8-17-04 to 5-13-11	Spreadsheet of Bond Trades 8-17-04 to 5-13-11		127:7		MaloufSEC000077 - MaloufSEC000132
<u>34</u>		First Amended Verified Complaint for Injunctive Relief, Declaratory Judgment, Debt Owed, Breach of Fiduciary Duty, Shareholder Oppression, Breach of Employment Agreement, Misrepresentation and Fraud (with handwritten notes)		83:7	X	
<u>34A</u>		First Amended Verified Complaint for Injunctive Relief, Declaratory Judgment, Debt Owed, Breach of Fiduciary Duty, Shareholder Oppression, Breach of Employment Agreement, Misrepresentation and Fraud (without handwritten notes)		83:7	X	

<u>35</u>	9/10/2007	UASNM Compliance Program Review, Findings & Recommendations Report		83:7	X	UASNM2024 - UASNM2066
<u>36</u>	9/30/2008	UASNM Compliance Program Review, Findings & Recommendations Report		83:7	X	ACA000432-0013870 - ACA000432-0013914
<u>37</u>	12/4/2009	UASNM Compliance Program Review, Findings & Recommendations Report		83:7	X	ACA000432-0013157 - ACA000432-0013207
<u>38</u>	3/23/2011	UASNM Compliance Program Review, Findings & Recommendations Report		83:7	X	UASNM2551 - UASNM2609
<u>39</u>	12/13/2011	Emails between Joseph Kopczynski and Mike Ciambor re: Report w/attached UASNM Annual Compliance Review (DRAFT)		83:7	X	ACA000432-0007733 - ACA000432-0007777
<u>40</u>	9/27/2012	Emails between Mike Ciambor and Barry P. Schwartz re: UAS Custody comment		342:24		ACA000432-0006310 - ACA000432-0006313
<u>42</u>	8/22/2013	Monica Villa's background questionnaire		83:7	X	
<u>43</u>	5/15/2007	RJFS Registered Branch Assistant Questionnaire		83:7	X	RJFS-SEC-UASNM-000952 RJFS-SEC-UASNM-000955
<u>44</u>	9/6/2011	Steven McGinnis' transcript from the litigation UASNM, Inc. v. Dennis Malouf with exhibits (with handwritten notes)		423:16		
<u>44A</u>		Steven McGinnis' transcript from the litigation UASNM, Inc. v. Dennis Malouf with exhibits (with handwritten eratta pages)		11/24	not adm	
<u>45</u>	3/21/2013	Letter to John Mulhern from Williams D. Nelson enclosing Malouf's supplemental answers and documents		83:7	X	
<u>48</u>	1/17/2013	Letter to John Mulhern from William D. Nelson enclosing Malouf's response to subpoena		83:7	X	
<u>49</u>		String of emails between William D. Nelson and John Mulhern re: Malouf's 2010, 2011 and 2012 tax returns		83:7	X	
<u>50</u>	2010	2010 Form 1040 for Dennis J. Malouf and Aubrey M. Kopczynski (unfiled)		83:7	X	
<u>51</u>	2006	2006 Form 1040 for Dennis J. Malouf and Aubrey M. Kopczynski (unfiled)		83:7	X	MaloufSEC001162 - MaloufSEC001198
<u>52</u>	2007	2007 Form 1040 for Dennis J. Malouf and Aubrey M. Kopczynski (unfiled)		83:7	X	MaloufSEC001199 - MaloufSEC001227

<u>53</u>	2008	2008 Form 1040 for Dennis J. Malouf and Aubrey M. Kopczynski (unfiled)		83:7	X	MaloufSEC001228 - MaloufSEC001256
<u>55</u>	8/20/2013	Dennis J. Malouf background questionnaire		83:7	X	
<u>56</u>	4/23/2007	Raymond James Commission Ranking Report - Customize		83:7	X	RJFS-SEC-UASNM-000874 - RJFS-SEC-UASNM-000878
<u>57</u>	1/2/2008	Purchase of Practice Agreement between Dennis Malouf and Raymond James Financial Services, Inc. and Maurice Lamonde		83:7	X	MaloufSEC000133 - MaloufSEC000144
<u>58</u>	7/12/2006	DVP accounts for various custodians		83:7	X	MaloufSEC000145 - MaloufSEC000151
<u>59</u>	5/12/2009	Email from Kirk Bell to Maurice Lamonde re: Follow Up to Our Conversation 5/12/2009		83:7	X	RJFS-SEC-UASNM-000119
<u>60</u>	5/21/2009	Emails between Maurice Lamonde and Kirk Bell re: Personal Financial Statement		83:7	X	RJFS-SEC-UASNM-000136 - RJFS-SEC-UASNM-000138
<u>63</u>	4/18/2008	Raymond James Commission Ranking Report - Customize		83:7	X	RJFS-SEC-UASNM-001001 - RJFS-SEC-UASNM-001017
<u>64</u>	7/22/2010	Email from Kirk Bell to David Patchen and cc'd to Nicole Caringal; Ian Beresford re: please call me; 7/22/2010 email from Eva Skibicki		83:7	X	RJFS-SEC-UASNM-001835
<u>65</u>	9/17/2010	Emails between Kirk Bell and Eva Skibicki		83:7	X	RJFS-SEC-UASNM-001876 - RJFS-SEC-UASNM-001877
<u>66</u>	11/19/2008	Excerpt from Universal Advisory Services, Inc.'s website as of November 18, 2008		11/24	adm	
<u>68</u>	5/3/2009	Excerpt from Universal Advisory Services, Inc.'s website as of May 3, 2009		11/24	adm	
<u>69</u>	7/21/2010	Excerpt from Universal Advisory Services, Inc.'s website as of July 21, 2010		11/24	adm	
<u>70</u>	7/17/2006	UASNM Form ADV Part II		83:7	X	UASNM1376 - UASNM1400

<u>71</u>	2/14/2011	Emails between Mike Ciambor and Dennis Malouf re: ADV		83:7	X	UASNM0069857 - UASNM0069859
<u>74</u>	2006	Maurice Lamonde's 2006 Tax Returns		83:7	X	LAMONDE0000109 - LAMONDE0000134
<u>75</u>	2007	Maurice Lamonde's 2007 Tax Returns		83:7	X	LAMONDE0000135 - LAMONDE0000154
<u>76</u>	2008	Maurice Lamonde's 2008 Tax Returns		83:7	X	LAMONDE0000155 - LAMONDE0000179
<u>77</u>	2009	Maurice Lamonde's 2009 Tax Returns		83:7	X	LAMONDE0000180 - LAMONDE0000198
<u>78</u>	2010	Maurice Lamonde's 2010 Tax Returns		83:7	X	LAMONDE0000199 - LAMONDE0000222
<u>79</u>	2011	Maurice Lamonde's 2011 Tax Returns		83:7	X	LAMONDE0000223 - LAMONDE0000247
<u>80</u>	12/13/2007	Emails from Kirk Bell to Dennis Malouf; Maurice Lamond and cc'd to John Holecek; David Patchen; Tina Solomon; Jared O'Neal re: Transition to IAD		83:7	X	RJFS-SEC-UASNM- 001828 - RJFS-SEC- UASNM-001829
<u>81</u>	12/14/2007	Raymond James Financial Services, Inc. Independent Associate Agreement with Maurice Lamonde 12/14/2007		83:7	X	RJFS-SEC-UASNM- 000699 - RJFS-SEC- UASNM-000709
<u>82</u>	12/19/07- 12/21/07	Emails between Jared O'Neil and Kirk Bell with an attachment of an email from Bell to Malouf and Lamonde		83:7	X	RJFS-SEC-UASNM- 001827
<u>83</u>	1/2/2008	Emails between Jared O'Neil and Maurice Lamonde re: RJFS-ICD FA Termination **Joining IAD**		83:7	X	RJFS-SEC-UASNM- 001822 - RJFS-SEC- UASNM-001823
<u>84</u>	4/21/2008	Raymond James Financial Services Branch Manager 2007 Annual Compliance Interview		83:7	X	RJFS-SEC-UASNM- 000794 - RJFS-SEC- UASNM-001061
<u>85</u>	5/8/2008	Compliance Memorandum from Catherine Doney to Moe Lamonde re: Branch Examination on 4/21/2008, branch 4GE		83:7	X	RJFS-SEC-UASNM- 000981 - RJFS-SEC- UASNM-000983

<u>86</u>	5/25/2010	Raymond James Financial Services, Compliance Interview		83:7	X	RJFS-SEC-UASNM-001578 - RJFS-SEC-UASNM-001589
<u>87</u>	5/20/2010	Raymond James Commission Ranking Report		83:7	X	RJFS-SEC-UASNM-001294 - RJFS-SEC-UASNM-001296
<u>88</u>	3/11/2009	Emails between Maurice Lamonde and Barbara Lamonde re: paying Dennis out of wrong account		83:7	X	RJFS-SEC-UASNM-000112 - RJFS-SEC-UASNM-000113
<u>89</u>	4/28/2009	Emails between Maurice Lamonde and Barbara Lamonde re: Situation		22:22		RJFS-SEC-UASNM-000114 - RJFS-SEC-UASNM-000115
<u>90</u>	5/14/2009	Email from Maurice Lamonde to Barbara Lamonde attaching Purchase of Practice Agreement.doc		11/24	adm	RJFS-SEC-UASNM-000122 - RJFS-SEC-UASNM-000128
<u>91</u>	5/12/2009	Email from Kirk Bell to Maurice Lamonde attaching email from George Chiariello re: For Your Review - FYI Only		83:7	X	RJFS-SEC-UASNM-000116
<u>92</u>	6/11/2009	Email from David Patchen to Kirk Bell re: Region Five Bi-Weekly Compliance and Sales Management Meeting Conducted on June 3rd, 2009, enclosing email chain		83:7	X	SEC-RJFS-E-0000233
<u>93</u>	7/29/2009	Email from Kirk Bell to Maurice Lamonde and cc'd to David Patchen; Rob Blemis re: Peter Lehrman and Universal Advisory Services		83:7	X	SEC-RJFS-E-0000232
<u>94</u>	May to November 2009	String of Emails between Kirk Bell and Maurice Lamonde re: Loans		83:7	X	RJFS-SEC-UASNM-000150 - RJFS-SEC-UASNM-000155
<u>95</u>	6/3/2010	Email from Kirk Bell from Maurice Lamonde re: Branch 4GE Moe Lamonde/Dennis Malouf agreement		83:7	X	RJFS-SEC-UASNM-000158 - RJFS-SEC-UASNM-000159
<u>96</u>	6/3/2010	Email from Sarah Cray to Kirk Bell; Nicole Caringal; Gerri Kavouklis Price; Ian Beresford re: Branch 4GE Moe Lamonde/Dennis Malouf agreement		83:7	X	RJFS-SEC-UASNM-000156 - RJFS-SEC-UASNM-000157

<u>97</u>	6/10/2010	Email from Eileen O'Donnell to Kirk Bell and cc'd to Maurie Lamonde re: 4GE Purchase Agreement w/attachment		83:7	X	RJFS-SEC-UASNM-000160 - RJFS-SEC-UASNM-000166
<u>98</u>	6/11/2010	String of emails re: 4GE Purchase agreement		83:7	X	RJFS-SEC-UASNM-000169 - RJFS-SEC-UASNM-000170
<u>99</u>	6/30/2010	Email from Shane Coley to Maurice Lamonde and cc'd to Glen Elmlad; Nicole Caringal; Sherry Cochran; David Patchen; Kirk Bell; Tina Solomon; Ian Beresford re: 2010 Compliance Examination Report - 4GE		83:7	X	RJFS-SEC-UASNM-000172 - RJFS-SEC-UASNM-000177
<u>100</u>	August to September 2010	String of emails between Kirk Bell and Maurice Lamonde re: UAS		83:7	X	RJFS-SEC-UASNM-000172 - RJFS-SEC-UASNM-000199
<u>101</u>	12/17/2008 to 4/16/2009	Payroll Advances		11/24	adm	RJFS-SEC-UASNM-001777
<u>102</u>	5/20/2010	Email from Gerri Kavouklis Price to Shane Coley re: Payroll Advances - 4GE		11/24	adm	RJFS-SEC-UASNM-001392
<u>103</u>	11/22/2008 - 12/08/2008	Raymond James Financial Services Payroll Statement		83:7	X	RJFS-SEC-UASNM-008064 - RJFS-SEC-UASNM-008096
<u>104</u>	2008	Lamonde's 2008 Wells Fargo Bank Statements		83:7	X	MLAMONDE0000001 - MLAMONDE0000090
<u>105</u>	2009	Lamonde's 2009 Wells Fargo Bank Statements		83:7	X	MLAMONDE0000091 - MLAMONDE
<u>106</u>	2010	Lamonde's 2010 Wells Fargo Bank Statements		83:7	X	MLAMONDE0000163 - MLAMONDE0000274
<u>107</u>	2011	Lamonde's 2011 Wells Fargo Bank Statements		83:7	X	
<u>108</u>	12/6/2008 - 12/19/2008	Raymond James Financial Services Payroll Statement for period 12/6/2008 - 12/19/2008		83:7	X	RJFS-SEC-UASNM-008097 - RJFS-SEC-UASNM-008153

<u>109</u>	12/20/2008 - 1/2/2009	Raymond James Financial Services Payroll Statement for period 12/20/2008 - 1/2/2009		83:7	X	RJFS-SEC-UASNM-008154 - RJFS-SEC-UASNM-008208
<u>110</u>	1/3/2009 - 1/23/2009	Raymond James Financial Services Payroll Statement for period 1/3/2009 - 1/23/2009		83:7	X	RJFS-SEC-UASNM-008209 - RJFS-SEC-UASNM-008245
<u>111</u>	1/24/2009 - 2/6/2009	Raymond James Financial Services Payroll Statement for period 1/24/2009 - 2/6/2009		83:7	X	RJFS-SEC-UASNM-008246 - RJFS-SEC-UASNM-008272
<u>112</u>		Summary of Malouf Bond Trades in Excess of \$1 million (revised)		11/24	adm	
<u>116</u>	8/15/2013	Letter to John Mulhern from Mark P. Barracca responding to RJFS subpoena		83:7	X	
<u>119</u>		Raymond James Financial Job Description (Assistant Regional Director - RJFS Regional Management)		83:7	X	RJFS-SEC-UASNM-001955 - RJFS-SEC-UASNM-001957
<u>120</u>	11/11/2011	RJFS Compliance Manual Revised 11/11/2011		83:7	X	RJFS-SEC-UASNM-005348 - RJFS-SEC-UASNM-005351
<u>121</u>	1/29/2008	RJFS Compliance Manual Revised 1/29/2008		83:7	X	RJFS-SEC-UASNM-004553 - RJFS-SEC-UASNM-004555
<u>122</u>	1/1/2007 - 12/31/2011	4GE RJFS Supervision (January 1, 2007 through December 31, 2011)		83:7	X	RJFS-SEC-UASNM-001892
<u>123</u>	Revised 7/11/2008	RJFS Compliance Manual - General Compliance Overview: Responsibilities and Retention Requirements		83:7	X	RJFS-SEC-UASNM-003841 - RJFS-SEC-UASNM-003854
<u>124</u>	Revised 2/13/2009	RJFS Compliance Manual - Business Locations: Registration, Requirements & Examinations		83:7	X	RJFS-SEC-UASNM-003953 - RJFS-SEC-UASNM-003960
<u>125</u>	8/11/2008	RJFS Compliance Manual - Supervisory Alert System		83:7	X	RJFS-SEC-UASNM-004432 - RJFS-SEC-UASNM-004436

<u>126</u>	Revised 8/21/2009	RJFS Compliance Manual - Trade Execution & Review		83:7	X	RJFS-SEC-UASNM-005189 - RJFS-SEC-UASNM-005192
<u>127</u>	Revised 8/28/2009	RJFS Compliance Manual - Mark-ups/Downs		83:7	X	RJFS-SEC-UASNM-004167 - RJFS-SEC-UASNM-004169
<u>128</u>	Revised 3/18/2011	RJFS Compliance Manual - Fee-based Accounts: Investment Advisor Representative Registrations		83:7	X	RJFS-SEC-UASNM-005587 - RJFS-SEC-UASNM-005590
<u>129</u>	Revised 5/24/2011	RJFS Compliance Manual - Heightened Supervision/Surveillance		83:7	X	RJFS-SEC-UASNM-005642 - RJFS-SEC-UASNM-005643
<u>130</u>	1/31/2006	RJFS Compliance Manual - Gratuities or Compensation to Employees of Others Revised 1/31/2006		83:7	X	RJFS-SEC-UASNM-004853 RJFS-SEC-UASNM-004854
<u>131</u>	Revised 8/31/2011	RJFS Compliance Manual - Unregistered Personnel		83:7	X	RJFS-SEC-UASNM-005992 - RJFS-SEC-UASNM-005993
<u>132</u>	Revised 4/25/2007	RJFS Compliance Manual - Business Succession Plans		83:7	X	RJFS-SEC-UASNM-003305 - RJFS-SEC-UASNM-003307
<u>133</u>	9/9/2005	Memo to Maurice Lamonde from Tim Schultz re: Branch Audit		83:7	X	RJFS-SEC-UASNM-000841 - RJFS-SEC-UASNM-000842
<u>134</u>	2/22/2006	Compliance Memorandum from David Rapport to Moe Lamonde re: Branch Examination on 2/14/2006		83:7	X	RJFS-SEC-UASNM-000836 - RJFS-SEC-UASNM-000839
<u>135</u>	4/23/2007	Emails between David Patchen and Kirk Bell and others re: What's the status with Moe Lamonde		83:7	X	SEC-RJFS-E-0000271
<u>136</u>	7/16/2007	Email from Kirk Bell to Jim Fulp and David Patchen re: Set up a meeting with Averitt and Runkle		83:7	X	SEC-RJFS-E-0000266

<u>137</u>	7/13/2007 and 7/16/2007	Emails from David Patchen to Kirk Bell re: RJ IM		83:7	X	SEC-RJFS-E-0000267 - SEC-RJFS-E- 0000268
<u>138</u>	12/13/2007	String of Emails between Kirk Bell, Jared O'Neal, and John Holecek re: Voicemail-Than You		83:7	X	RJFS-SEC-UASNM- 001786 - RJFS-SEC- UASNM-001787
<u>139</u>	12/6/2006	Audit: FA Statistical Analysis as of 12/06/2006		83:7	X	RJFS-SEC-UASNM- 001065 - RJFS-SEC- UASNM-001079
<u>140</u>	2009 Q1	Branch - FA Matrix (2009 Q1)		11/24	not adm	RJFS-SEC-UASNM- 001778
<u>142</u>	8/15/2008	Email string between Kirk Bell, Maurice Lamonde and others re: Payroll Advance		83:7	X	SEC-RJFS-E-0000249 - SEC-RJFS-E- 0000250
<u>144</u>	8/13/2009	Email from Kirk Bell to Rob Blenis; Gerri Kavouklis Price; Saad Rahmouni-Idrissi re: Peter Lehrman and Universal Advisory Services attaching emails from Maurice Lamonde		83:7	X	RJFS-SEC-UASNM- 001961 - RJFS-SEC- UASNM-001964
<u>145</u>	9/3/2009	Compliance Memorandum from Saad Rahmouni to Maurice Lamonde re: Branch Examination on 6/8/09		83:7	X	RJFS-SEC-UASNM- 001117 - RJFS-SEC- UASNM-001120
<u>146</u>	5/19/2010	Email from Gerri Kavouklis Price to Kirk Bell and cc'd to Nicole Caringal; Sherry Cochran re: Payroll Advances		83:7	X	RJFS-SEC-UASNM- 001813 - RJFS-SEC- UASNM-001817
<u>149</u>	6/21/2010	Email from Kirk Bell to Nicole Caringal and Ian Beresford re: Moe Lamonde 4GE		83:7	X	RJFS-SEC-UASNM- 000171
<u>150</u>	5/24/2010 – 6/27/2010	String of Emails between Kirk Bell and Kris Kaufmann re: Escalating Suitability Alert - Region V (Branch 4GE)		83:7	X	RJFS-SEC-UASNM- 001872 - RJFS-SEC- UASNM-001875
<u>151</u>	7/1/2010	Email from Shane Coley to Ian Beresford re: 4GE Exams w/ 4GE Exams.doc attachment		83:7	X	RJFS-SEC-UASNM- 001843 - RJFS-SEC- UASNM-001845
<u>152</u>	7/6/2010	Emails between Ian Beresford and Shane Coley re: 4GE - Mo Lamonde		11/24	not adm	RJFS-SEC-UASNM- 001862

<u>153</u>	7/22/2010	Email from Kirk Bell to Eva Skibiicki re: Moe Lamonde	83:7	X	RJFS-SEC-UASNM-001861
<u>154</u>	7/23/2010	Email from Kirk Bell to Tina Solomon and cc'd to Nicole Caringal; Sarah Cray; Ian Beresford and David Patchen re: Schedule Calls	83:7	X	SEC-RJFS-E-0000174
<u>155</u>	8/2/2010	Email from Ian Beresford to Kirk Bell re: 4GE - Moe Lamonde	83:7	X	RJFS-SEC-UASNM-001842
<u>156</u>	8/4/2010	Email from Shane Coley to Maurice Lamonde and cc'd to Ian Beresford; Nicole Caringal; Kirk Bell re: Compliance Exam Follow-up - 4GE	83:7	X	RJFS-SEC-UASNM-000179 - RJFS-SEC-UASNM-000180
<u>157</u>	9/16/2010	Email from Shane Coley to Kirk Bell attaching email sent to Maurice Lamonde outlining items from his exam that were incomplete or need further clarification	83:7	X	RJFS-SEC-UASNM-000200 - RJFS-SEC-UASNM-000201
<u>158</u>	9/15 to 16/2010	Emails between Ian Beresford and Kirk Bell re: 4GE - Moe Lamonde	83:7	X	RJFS-SEC-UASNM-001818
<u>160</u>	2/13/2008 - 12/7/2009	Compilation of Selected Bond Trades from Exhibit 29 (RJFS-Malouf-000150 through 226)	11/24	adm	
<u>161</u>	11/20/2008	Letter to Amal Aly, Esq from James L. Eastman responding to Aly's letter of 11/19/2008	83:7	X	
<u>164</u>	9/25/2006	Raymond James Financial Job Description (Regional Director - RJFS Regional Management)	83:7	X	RJFS-SEC-UASNM-001952 - RJFS-SEC-UASNM-001954
<u>165</u>	3/15/2013	RJFS-ICD Branch Supervision	83:7	X	RJFS-SEC-UASNM-001893 - RJFS-SEC-UASNM-001894
<u>166</u>	8/9/2001	Letter to Joe Tully from Kosha K. Dalal re: Representative Purchase of Book of Business Pursuant to NASD IM-2420-2 8/9/2001	83:7	X	
<u>167</u>	11/20/1996	Letter from Robert J. Smith responding to letter of 6/28/1996	83:7	X	
<u>168</u>	12/9/1998	Letter to Leslie D. Smith from Robert J. Smith re: issues raised in letter of 8/27/1998	83:7	X	
<u>171</u>	1/16/2013	ACA Compliance Group's 1/16/2013 Response to subpoena	83:7	X	

<u>172</u>	4/1/2002	Consulting Agreement between Adviser Compliance Associates LLC and Universal Advisory Services, Inc.		83:7	X	ACA000432-0009425 - ACA000432-0009427
<u>173</u>	effective 10/31/2011	Consulting Agreement between Adviser Compliance Associates LLC dba ACA Compliance Group and UASNM, Inc. effective 10/31/2011		83:7	X	ACA000432-0007246 - ACA000432-0007255
<u>174</u>	effective 10/31/2011	ACA Personal Trading Compliance License and Service Agreement between Adviser Compliance Associates LLC dba ACA Compliance Group and UASNM, Inc.		83:7	X	ACA000432-0007429 - ACA000432-0007443
<u>175</u>	October 2011 - January 2012	String of emails between Cathie Saadeh, Mike Ciambor and Matt Steinhilber re: UASNM Agreements		83:7	X	ACA000432-0007232 - ACA000432-0007234
<u>176</u>	Q208	UASNM Review Q208		83:7	X	ACA000432-0004817
<u>177</u>	Q308	UASNM Review Q308		83:7	X	ACA000432-0004761
<u>178</u>	4Q08	4Q08 Transaction Ledger		11/24	not adm	ACA000432-0013819
<u>179</u>	Q109	UASNM Review Q109		83:7	X	ACA000432-0004813
<u>180</u>	Q209	UASNM Review Q209		83:7	X	ACA000432-0004818
<u>181</u>	Q309	UASNM Review Q309		83:7	X	ACA000432-0004822
<u>182</u>	6/29/2010	Email from Nikhil Kishore to monicap@uasinc.org re: ACA/Blotter Request		83:7	X	ACA000432-0012203
<u>184</u>	11/3/2009	Emails between Kirk Hudson and Mike Ciambor re: ACA Follow Up		83:7	X	ACA000432-0013319 - ACA000432-0013320
<u>185</u>	Q1 & Q2 2011	UAS Best Ex Q1 & Q2 2011		83:7	X	ACA000432-0002726
<u>186</u>	Q3 & Q4 2010	UAS Best Ex Q3 & Q4 2010		83:7	X	ACA000432-0002727
<u>187</u>	6/1/2007	Email from Mike Ciambor to Luke Wilson re: UASNM docs		83:7	X	ACA000432-0015266
<u>188</u>	5/26/2010	Emails between Mike Ciambor and Jeremy Szuch re: UASNM Engagement		83:7	X	ACA000432-0012376 - ACA000432-0012381

<u>189</u>	6/2/2009 through 6/4/2009	UASNM Audit 6/2/2009 through 6/4/2009		83:7	X	ACA000432-0004634 - ACA000432-0004652
<u>190</u>	10/14/2010	Email from Mike Ciambor to Kirk Hudson re: ACA Follow Up		83:7	X	ACA000432-0012127
<u>191</u>	6/9/2010	Email from Mike Ciambor to Dennis Malouf cc'd to Jeremy Szuch re: RJ Bond Trades		83:7	X	ACA000432-0012217
<u>192</u>	10/23/2008	Email from Mike Ciambor to Joseph Kopczynski; Kirk Hudson re: Compliance Review Follow Up dated 10/23/2008		83:7	X	ACA000432-0013869
<u>193</u>		Demonstrative Exhibit - UASNM ADV Disclosures re RJFS Conflict of Interest		83:7	X	
<u>194</u>	7/21/2011	UASNM v. Malouf - Malouf Transcript		83:7	X	
<u>195 Part 1</u> <u>195 Part 2</u> <u>195 Part 4</u>	7/21/2011	UASNM v. Malouf - Malouf Video, Parts 1-4		83:7	X	
<u>196</u>		Malouf FINRA registration		83:7	X	
<u>197</u>		Malouf FINRA Registrations Summary		83:7	X	
<u>198</u>		UASNM FINRA Registration/Reporting Status		83:7	X	
<u>199</u>		Malouf 2009 Tax Return (not filed)		83:7	X	MaloufSEC001261- 001281
<u>200</u>		Malouf 2011 Tax Return (not filed)		83:7	X	MaloufSEC001312- 001363
<u>201</u>		Summary of Payments made by Lamonde to Malouf		83:7	X	
<u>202</u>		Summary of Commissions on UASNM bond trading		368:5		
<u>203</u>		Summary of Comparison of Commissions Earned by Lamonde from Malouf's Trades with Payments Made by Lamonde to Malouf		368:5		
<u>204</u>		Summary of UASNM Trades - Raymond James Trade Blotter		368:5		
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<u>206</u>		Summary of UASNM Trades (U.S., U.S. Government Agencies) - Raymond James Trade Blotter		342:24		
<u>207</u>		Raymond James Trade Proportion Analysis		368:5		
<u>208</u>		Malouf Income Analysis		83:7	X	
<u>209</u>		Raymond James Commission Analysis		368:5		
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<u>214</u>		Malouf 2010 tax return (not filed)		83:7	X	
<u>215</u>	8/20/2008	Schedule F of Form ADV		83:7	X	MaloufSEC000561-579
<u>216</u>	12/1/2008	Form ADV		83:7	X	MaloufSEC000580-604
<u>217</u>	1/1/2010	Form ADV		83:7	X	MaloufSEC 000624-648
<u>218</u>	8/19/2008	E-mail exchange involving Matt Keller re purchase of \$1,606,673 US Treasury bond from RJ after RJ matched lower Schwab price		83:7	X	UASNM0026019
<u>219</u>	7/17/2008 – 4/21/2008	E-mail exchange re \$2.2 million (US Treasury?) bond purchase		83:7	X	UASNM0032888
<u>220</u>	7/1/2009	E-mail from Matt Keller to Monica Pineda re \$600,000 US Treasury bond purchase from Schwab (which beat RJ price)		83:7	X	UASNM0033287
<u>221</u>	4/17/2008-4/21/08	E-mail re \$1.125 million (Federal Home Loan Bank?) bond purchase where RJ matched Schwab offer		83:7	X	UASNM0044516 - UASNM0044517
<u>222</u>	2005 thru 2010	Malouf 2005 through 2010 Profit and Loss		83:7	X	SEC-PGM-P-0000022-24
<u>223</u>	2008	Malouf 2008 Balance Sheet		83:7	X	SEC-PGM-P-0000012-13
<u>224</u>	2008	2008 Ledger of payments from Lamonde to Malouf		83:7	X	SEC-PGM-P-0000017
<u>225</u>	2009	2009 Ledger of Malouf Payments from Lamonde		83:7	X	SEC-PGM-P-0000025
<u>226</u>	10/1/2013	Investigative Testimony Transcript of Kirk E. Bell		83:7	X	
<u>227</u>	10/23/2013	Investigative Testimony Transcript of Paula Calhoun		83:7	X	

<u>228</u>	10/4/2013	Investigative Testimony Transcript of Michael Ciambor		83:7	X	
<u>229</u>	8/27/2013	Investigative Testimony Transcript of Kirk R. Hudson		83:7	X	
<u>230</u>	8/28/2013	Investigative Testimony Transcript of Joseph Kopczynski		83:7	X	
<u>231</u>	9/9/2013	Investigative Testimony Transcript of Dennis J. Malouf		83:7	X	
<u>232</u>	10/2/2013	Investigative Testimony Transcript of David B. Patchen		83:7	X	
<u>233</u>	9/9/2013	Investigative Testimony Transcript of Monica Villa		83:7	X	
<u>234</u>	Amended by SR-NASD-35-39 eff. August 30, 1996 and SR-NASD-98-86 eff. Nov. 19, 1998	FINRA 2420. Dealing with Non-Members		83:7	X	
<u>235</u>	11/20/2008	Letter from James Eastman, to Amal Aly re Request for No-Action Relief Relating to NYSE Rule 353(b) and NASD IM-2420-2		83:7	X	
<u>236</u>	3/18/2013	Letter from Joseph Furey to Amy Lee, Packerland Brokerage Services		83:7	X	
<u>237</u>	10/1/2014	SEC Release No. 34-7310; File No. SR-FINRA 2014-037		83:7	X	
<u>238</u>	6/23/2011	Email from Miller to Malouf re Sch C		83:7	X	SEC-PGM-P-0000197-213
<u>239</u>	9/17/2013	Investigative Testimony Transcript of Maurice Lamonde (highlighted)		83:7	X	
<u>240</u>	6/9/2011	Malouf Affidavit		83:7	X	UASNMO119349-358
<u>241</u>	10/10/2014	Email from R. Jamieson to S. Mckenna		83:7	X	
<u>242</u>	10/13/2014	Email from Jamieson		83:7	X	
<u>243</u>	10/22/14	Expert Report of Gary Gibbons		11/24	adm	
<u>244</u>	10/29/14	Gibbons' Rebuttal of Wolper and DeNigris Reports		11/24	adm	
<u>245</u>	7/21/14	Malouf's Answer and Affirmative Defenses		11/24	adm	
<u>246</u>	11/7/14	Respondent Malouf's Pre-Hearing Brief		11/24	adm	

