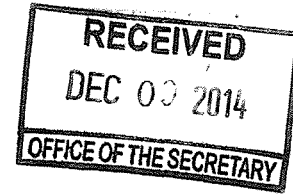


Peter B. King
Direct Dial: 813-347-5103
pking@wiandlaw.com



December 8, 2014

Via E-Mail and Federal Express

Securities and Exchange Commission
Lynn M. Powalski, Deputy Secretary
100 F Street, N.E., Mail Stop 1090
Washington, D.C. 20549

Re: *In re: Dennis J. Malouf*
SEC Administrative Proceeding No. 3-15918

Dear Sir/Madam:

Pursuant to Judge Patil's request at the hearing and the November 28, 2014 Post-Hearing Order, enclosed please find Respondent's list of admitted and offered but not admitted exhibits. A hard copy of Respondent's exhibits are enclosed in six binders. Some of the exhibits (382, 348 & 489) are large, native Excel files. These exhibits have been put on a CD which has been inserted into the front pocket of exhibit binder labeled Volume I. Electronic copies of Respondent's exhibits were provided to Judge Patil during the hearing.

Sincerely yours,

A handwritten signature in black ink that reads "Peter B. King". The signature is written in a cursive, slightly slanted style.

Peter B. King

PBK/jcr
Enclosures

cc: Judge Jason S. Patil
Robert K. Jamieson, Esq.
Stephen McKenna, Esq.
Dugan Bliss, Esq.



UNITED STATES OF AMERICA
BEFORE THE
SECURITIES AND EXCHANGE COMMISSION

In the Matter of

DENNIS MALOUF,

Respondent

ADMINISTRATIVE PROCEEDING
File No. 3-15918

INDEX OF RESPONDENT'S TRIAL EXHIBITS

VOLUME I					
Exhibit No.	Date	Description	Bates Range / Notes	Offered	Admitted
300		Intentionally Left Blank		√	√
301		Intentionally Left Blank		√	√
302		Intentionally Left Blank		√	√
303		Intentionally Left Blank		√	√
304		Intentionally Left Blank		√	√
305		Intentionally Left Blank		√	√
306		Intentionally Left Blank		√	√
307		Intentionally Left Blank		√	√
308		Annotated Testimony Transcript of Maurice LaMonde		√	√
309		Resume of Alan Wolper		√	√
310		Resume of Jerry DeNigris		√	√
311		Resume of Mary Ellen Koch		√	√
312		Offer of Settlement (FINAL) – SEC v. UASNM		√	√
313		Order Instituting Administrative and Cease-and Desist Proceedings: In re: UASNM, Inc.		√	√
314		UASNM Settlement Compliance Documents		√	√
315		Joseph Kopczynski – UAS website biography		√	√
316		Joseph Kopczynski CRD Report		√	√

317		Kirk Hudson – UAS website biography		√	√
318		Kirk Hudson – IAR Public Disclosure Report		√	√
319		Matt Keller – UAS website biography		√	√
320		Matt Keller – IAR Public Disclosure Report		√	√
321		Paula Calhoun – UAS website biography		√	√
322		Kathryn Johnson – FINRA Broker Check		√	√
323		Kathryn Johnson – UAS website biography		√	√
324		Donald Austin McDaniel – FINRA Broker Check		√	√
325		Donald Austin McDaniel – UAS website biography		√	√
326		Donald Austin McDaniel – IAR Public Disclosure Report		√	√
327		Scott Hanson Womack – FINRA Broker Check		√	√
328		Scott Hanson Womack – Website Biography		√	√
329		Scott Hanson Womack – IAR Public Disclosure Report		√	√
330		Monica Villa – IAR Public Disclosure Report		√	√
331		Monica Villa Termination Memo and Meeting Notes	UASNM2683 to UASNM2690	√	√
332		Self-Reporting Letter from UASNM, Inc. to SEC		√	√
333	May 16, 2011	UASNM correspondence to clients		√	√
334	June 30, 2011	UASNM correspondence to clients		√	√
335	October 31, 2011	UASNM correspondence to clients		√	√
336	April 2, 2012	UASNM correspondence to clients		√	√
337		UASNM DVP Account Forms		√	√
338	December 19, 2007	UASNM Sublease to Maurice LaMonde	UASNM0147 to UASNM0149	√	√
339	April 7, 2008	E-mail from Monica Villa to Kirk Hudson re: \$3MM bond purchase	UASNM0103300	√	√
340	February 6, 2008	E-mail from Matt Keller to Maurice LaMonde re: bonds	UASNM0117026	√	√
341	April 21, 2008	E-mail from Matt Keller to Austin McDaniel re: bonds to place in Schwab	UASNM0023976	√	√
342	2008	2008 Trade Away Instructions and Confirms	UASNM0000065 to UASNM0000188	√	√

343	2009	2009 Trade Away Instructions and Confirms	UASNM0000188 to UASNM0000292	√	√
344	2010	2010 Trade Away Instructions and Confirms	UASNM0000293 to UASNM0000435	√	√
345	2011	2011 Trade Away Instructions and Confirms	UASNM0000436 to UASNM0000478	√	√
346	October 2008	UAS Compliance Manual – Amended October 2008	ACA000432-0008280 to ACA000432-0008375	√	√
347	April 2010	UAS Compliance Manual – Amended April 2010	ACA000432-0004105 to ACA000432-0004199	√	√
348	December 2011	UAS Compliance Manual – Amended December 2011	ACA000432-0008376 to ACA000432-0008480	√	√
349	August 2008	UAS Compliance Manual – Amended August 2008	ACA000432-0004200 to ACA000432-004303	√	√

VOLUME II

Exhibit No.	Date	Description	Bates Range / Notes	Offered	Admitted
350	March 2010	UAS Compliance Manual – Amended March 2010	ACA000432-0008590 to ACA000432-0008698	√	√
351		Intentionally Left Blank		√	√
352		Intentionally Left Blank		√	√
353	May 17, 2006	Letter from ACA to Joseph Kopczynski / UASNM re: list of books and records requested for ACA review	ACA000432-0003651 to ACA000432-0003670	√	√
354	May 5, 2008	Letter from ACA to Joseph Kopczynski / UASNM re: list of books and records requested for ACA review	ACA000432-0014610 to ACA000432-0014628	√	√
355	April 27, 2009	Letter from ACA to Joseph Kopczynski / UASNM re: list of books and records requested for ACA review	ACA000432-0004534 to ACA000432-0004550	√	√
356	May 10, 2010	Letter from ACA to Joseph Kopczynski / UASNM	ACA000432-0004591 to	√	√

		re: list of books and records requested for ACA review	ACA000432-0004618		
357	May 10, 2010	Letter from ACA to Joseph Kopczynski / UASNM re: list of books and records requested for ACA review (redlined version)	ACA000432-0004551 to ACA000432-0004590	√	√
358		2011 letter from ACA to Dennis Malouf / UASNM re: list of books and records requested for ACA review	ACA000432-0000769 to ACA000432-0000797	√	√
359	September 21, 2011	Letter from ACA to Joseph Kopczynski / UASNM re: list of books and records requested for ACA review	ACA000432-0002199 to ACA000432-0002213	√	√
360	August 10, 2012	Letter from SEC to Joseph Kopczynski / UASNM re: December 2011 examination of UASNM	ACA000432-0005920 to ACA000432-0005928; UASNM0064737	√	√
361	February 14, 2008	2008 emails regarding ACA Contract / Consulting Agreement renewal	ACA000421 to ACA000422; ACA000432-003912 to ACA000432-0003913	√	√
362	March 18, 2010	2010 emails regarding ACA Contract / Consulting Agreement renewal	ACA000432-0012959; ACA000432-0012820 to ACA000432-0012821	√	√
363		ACA Report - UASNM Periodic Review of Best Execution Quality (July to December 2010)	ACA000432-00002751 to ACA000432-0002756	√	√
364		ACA Report - UASNM Periodic Review of Best Execution Quality (Jan to June 2010)	ACA000432-000275 to ACA000432-0002763	√	√
365		ACA Report - UASNM Periodic Review of Best Execution Quality (Jan to June 2011)	ACA000432-0002742 to ACA000432-0002750	√	√
366	July 2005	ACA Report on the Review of UASNM, July 2005	UASNM0347 to UASNM0257	√	√
367		Intentionally Left Blank		√	√
368		Intentionally Left Blank		√	√
369		Intentionally Left Blank		√	√
370	September 10, 2007	ACA Compliance Program Review Findings & Recommendations Report	ACA000432-003353 to ACA000432-0003395	√	√
371	July 31, 2008	ACA Compliance Program Review Findings &	ACA000432-0014357 to	√	√

		Recommendations Report	ACA000432-0014401		
372		Intentionally Left Blank		√	√
373		Intentionally Left Blank		√	√
374		Intentionally Left Blank		√	√
375	December 4, 2009	ACA Compliance Program Review Findings & Recommendations Report	ACA000432-004304 to ACA000432-0004353	√	√
376		Intentionally Left Blank		√	√
377	December 9, 2010	ACA Compliance Program Review Findings & Recommendations Report	ACA000432-0003531 to ACA000432-0003591	√	√
378	March 23, 2011	ACA Compliance Program Review Findings & Recommendations Report	ACA000432-0003671 to ACA000432-0003729	√	√
379		Intentionally Left Blank		√	√
380		Intentionally Left Blank		√	√
381	December 14, 2011	ACA Compliance Program Review Findings & Recommendations Report	ACA000432-0003206 to ACA000432-0003248	√	√
382		ACA Best Execution Quarterly Analysis (spreadsheets)	Provided on CD due to Size and Volume	√	√
383		ACA Personal Trading Sheets		√	√
384		ACA Trade Blotters	Provided on CD due to Size and Volume	√	√
385		ACA Invoices to UASNM and Payments	ACA000033 to ACA000078; ACA000001 to ACA000003	√	√
386	October 9-11, 2012	ACA October 9-11, 2012 Review Notes	ACA000432-0005248 to ACA000432-0005252	√	√
387	May 10, 2011	E-mail from M. Ciambor to R. Stype re: your call	ACA000432-0011157 to ACA000432-0011158	√	√
388	June 2, 2009	E-mail from E. Alvarez at ACA re UASN short term trading (SEC-USANM-AP-000013710)	ACA000432-0013529	√	√
389	March 1, 2011	E-mail exchange re: UASNM CCO (SEC-USANM-AP-000011831)	ACA000432-0011650 to ACA000432-0011652	√	√
390	November 23, 2011	E-mail from J. Szuch re: UASNM Review 2011 (ACA000432-0009050)	ACA000432-0009050 to ACA000432-0009054	√	√
391	September 13, 2006	SEC Deficiency Letter	SECMaloufprod0000008 to	√	√

			SECMaloufprod0000011		
392		Intentionally Left Blank		√	√
393		Intentionally Left Blank		√	√
394		Intentionally Left Blank		√	√
395		Intentionally Left Blank		√	√
396		Intentionally Left Blank		√	√
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398		Intentionally Left Blank		√	√
399		Intentionally Left Blank		√	√
400		Intentionally Left Blank		√	√

VOLUME III

Exhibit No.	Date	Description	Bates Range / Notes	Offered	Admitted
401	August 1, 2008	Amended ADV for Universal Advisory Services – August 1, 2008		√	√
402	February 4, 2008	ADV for Universal Advisory Services Schedule F – February 4, 2008	ACA000432-0014586 to ACA000432-001464	√	√
403	December 1, 2008	ADV for Universal Advisory Services Part II – December 1, 2008	ACA000432-0002819 to ACA000432-0002839	√	√
404	March 31, 2009	ADV for Universal Advisory Services – March 31, 2009		√	√
405	March 31, 2010	ADV for Universal Advisory Services – March 31, 2010		√	√
406	April 12, 2010	ADV for Universal Advisory Services Schedule F – April 12, 2010	UASNM0019076 to UASNM0019098	√	√
407	January 25, 2011	Amended ADV for Universal Advisory Services – January 25, 2011		√	√
408	March 2011	Draft UASNM ADV Part 2A - March 2011		√	√
409	March 31, 2011	ADV for Universal Advisory Services – March 31, 2011		√	√
410	March 2011	Part 2A of Form ADV The Brochure for Universal		√	√

		Advisory Services – Updated March 2011			
411	June 2011	Part 2A of Form ADV The Brochure for Universal Advisory Services – Updated June 2011		√	√
412	June 27, 2011	Amended ADV for Universal Advisory Services – June 27, 2011		√	√
413	July 18, 2011	Amended ADV for Universal Advisory Services – July 18, 2011		√	√
414	October 18, 2011	Amended ADV for Universal Advisory Services – October 18, 2011		√	√
415	March 31, 2012	ADV for Universal Advisory Services – March 31, 2012		√	√
416	March 2012	Part 2A of Form ADV The Brochure for Universal Advisory Services – Updated March 2012		√	√
417	April 2012	Part 2A of Form ADV The Brochure for Universal Advisory Services – Updated April 2012		√	√
418	March 28, 2013	ADV for Universal Advisory Services – March 28, 2013		√	√
419	March 2013	Part 2A of Form ADV The Brochure for Universal Advisory Services – Updated March 2013		√	√
420	April 30, 2013	Form ADV-E for Universal Advisory Services – April 30, 2013		√	√
421	2009	UASNM Employee Earnings Summary 2009	UASNM0021586; UASNM0021580; UASNM0021582	√	√
422	March 31, 2014	ADV for Universal Advisory Services – March 31, 2014		√	√
423	March 2014	Part 2A of Form ADV The Brochure for Universal Advisory Services – Updated March 2014		√	√
424	April 22, 2014	Amended ADV for Universal Advisory Services – April 22, 2014		√	√
425	September 2014	Part 2A of Form ADV The Brochure for Universal Advisory Services – Updated September 2014		√	√
426	September 11, 2014	Amended ADV for Universal Advisory Services –		√	√

		September 11, 2014			
427	September 11, 2014	Amended ADV for Universal Advisory Services – September 11, 2014		√	√
428	September 19, 2014	Amended ADV for Universal Advisory Services – September 19, 2014		√	√
429	2007	UASNM Employee Earnings Summary 2007	UASNM0021535; UASNM001527 to UASNM0021528	√	√
430	2008	UASNM Employee Earnings Summary 2008	UASNM0021551; UASNM0021543; UASNM0021545	√	√
431	2009	UASNM Employee Earnings Summary 2009	UASNM0021586; UASNM0021580; UASNM0021582	√	√
432	2010	UASNM Employee Earnings Summary 2010	UASNM0021617; UASNM21611; UASNM21612	√	√
433	2011	UASNM Employee Earnings Summary 2011	UASNM0021649; UASNM21644; UASNM21645	√	√
434	November 4, 2013	Letter From P. Griebel to J. Mulhern and K. Gottschall		√	√
435		SEC Enforcement Manual		√	
436		Article - How to Handle Proceeds from the Sale of a Business Attributable to non-197 intangibles		√	√
437		Intentionally Left Blank		√	√
438	2006	Dennis Malouf tax return – 2006		√	√
439	2007	Dennis Malouf tax return – 2007		√	√
VOLUME IV					
Exhibit No.	Date	Description	Bates Range / Notes	Offered	Admitted

440	2008	Dennis Malouf tax return – 2008		√	√
441	2008	Dennis Malouf tax return – 2009		√	√
442	2010	Dennis Malouf tax return – 2010		√	√
443		Intentionally Left Blank		√	√
444		Intentionally Left Blank		√	√
445		RJFS Payroll Statements	RJFS-SEC-UASNM-000003 to RJFS-SEC-UASNM-000090; RJFS-SEC-UASNM-005996 to RJFS-SEC-UASNM-009697	√	√
446		Intentionally Left Blank		√	√
447		The “Why, What and How of Best Execution” article by Tina Mitchell and Krista Zipfel		√	
448	September 9, 2014	Letter from Charles Schwab to NM Wealth Management, LLC (Malouf) re: termination of Investment Manager Service Agreement		√	√
449		SEC Welcome Letter - Information for Newly-Registered Investment Advisers		√	√
450		SIFMA Best Execution Guidelines for Fixed Income Securities		√	√
451	July 2, 2001	Memo from Joseph Kopczynski (Branch Manager 4GE) to Raymond James Compliance Dept. re: cancellations	RJFS-SEC-UASNM-000833	√	√
452	September 30, 2009	E-mail from M. Ciambor re: UASN Marketing Issues	ACA000432-0013485 to ACA000432-0013486	√	√
453		Form ADV Gary Eugene Gibbons DBA The Coleridge Group		√	√
454		Gary Gibbons Thunderbird Biography		√	√
455	February 25, 2014	E-mail from J. Mulhern to P. Griebel re: Proposed Offer of Settlement and Order Instituting Proceedings		√	
456	April 2, 2014	E-mail from J. Mulhern to P. Griebel re: Revised Settlement Documents		√	

457	April 7, 2014	E-mail from J. Mulhern to P. Griebel re: Word Versions of Settlement Documents		√	
458	April 8, 2014	E-mail From J. Burns to J. Mulhern re: Redline Drafts of Order and Offer		√	
459	April 8, 2014	E-mail from J. Burns to J. Mulhern re: Updated Redline		√	
460	April 9, 2014	E-mail Between J. Mulhern, J. Burns, and P. Griebel re: Revised Settlement Documents		√	
461	April 9, 2014	E-mail Between J. Mulhern, K. Gottschall, J. Burns, and P. Griebel re: Revised Settlement Documents FINAL		√	
462	April 9 2014	E-mail from J. Mulhern to P. Griebel re: Revised Settlement Documents		√	
463	April 10, 2014	E-mail from P. Griebel to J. Mulhern re: Offer of Settlement (executed)		√	
464	May 9, 2014	E-mail from J. Mulhern to P. Griebel and B. Chappell re Revised Order		√	
465	May 13, 2014	E-mail From J. Mulhern to P. Griebel and B. Chappell re: Revised Order and Offer		√	
466	May 14, 2014	E-mail from K. Hudson to J. Mulhern re: Executed Offer with Corresponding Order		√	
467	April 7, 2011	E-mails Between D. Malouf and K. Hudson re: Original Statements		√	√
468	May 18, 2011	E-mail From J. Kopczynski to M. Ciambor re: Dennis Issue		√	√
469	May 19, 2011	E-mail From J. Kopczynski to M. Ciambor re: Dennis Issue		√	√
470	May 27, 2011	E-mail From B. Bailey to P. Rogers re: Dennis Malouf/UASNM		√	√
471	June 4, 2011	E-mail from J. Burns to M. Ciambor re: UASNM, Inc. Request for Compliance Assistance		√	√
472	June 15, 2011	E-mail from K. Hudson to C. Genovese re: Trade Data		√	√

473	June 24, 2011	E-mails Between J. Kopczynski and M. Ciambor re: Form ADV Pt. 2A and 2B Update		√	√
474	October 10, 2006	Letter from J. Kopczynski to SEC re: UASNM, Inc.	UASNM1495 to UASNM1505	√	√
475	August 10, 2012	Letter to J. Kopczynski from SEC re: Examination of UASNM	ACA000432-0005920 to ACA000432-005928	√	√
476	October 8, 2012	Letter from J. Kopczynski to SEC re: Examination of UASNM		√	√
477	March 13, 2009	E-mail from A. McDaniel to C. Genovese re: Send Bond Information to M. Villa	UASNM0029327 to UASNM0029328	√	√
478	May 11, 2011	E-mails Between J. Kopczynski to K. Hudson re: P. Calhoun and Agreement	UASNM2759 to UASNM2763	√	√
479	July 22, 2014	UASNM Joint Motion to Enforce Settlement Agreement and Disburse Funds from Escrow Account		√	√
480	March 23, 2011	E-mails Between B. Schwartz and M. Ciambor re: UAS Report	ACA000357 to ACA000358	√	√
481		Intentionally Left Blank		√	√
482	November 3, 2008	E-mail from M. Ciambor to J. Kopczynski re: Compliance Review Follow Up	UASNM0019244 to UASNM0029270	√	√
483		Intentionally Left Blank		√	√
484	May 18, 2011	E-mail from M. Ciambor re: Re-Schedule Request	ACA000432-0011122	√	√
485	August 24, 2011	E-mail from M. Ciambor to J. Kopczynski re: Self Report	UASNM0068731 to UASNM0068733	√	√
486	June 20, 2011	E-Mail from J. Kopczynski to K. Hudson re: UASNM Reports	UASNM2796	√	√
487	July 29, 2011	E-mails Between J. Kopczynski and M. Ciambor re: Audit	ACA000432-0010039 to ACA000432-0010040	√	√
488	October 21, 2011	E-mail from M. Ciambor to J. Kopczynski and K. Hudson re: Summary of Recommendations	ACA000432-0009191 to ACA000432-009192	√	√
489		Kirk Hudson Bond Spreadsheet	Provided on CD due to Size and Volume	√	√
490	December 6, 2011	E-mail from J. Kopczynski to M. Ciambor re: Part I, Question 43	ACA000432-0008162	√	√

491	December 6, 2011	E-mail from M. Ciambor to J. Kopczynski re: Part I, Question 43	UASNM0066570	√	√
492	December 9, 2011	E-mail from J. Kopczynski to M. Ciambor re: Report	ACA000432-0007845	√	√
493		Bond Desk Trade Tickets	MaloufSEC 000001 to MaloufSEC 000132	√	√
494		UASNM, Inc. Loan Agreement	UASNM1979 to UASNM1985	√	√
495		Articles re: Business Valuation	MALOUF 00210 to MALOUF238	√	
496	July 21, 2009	E-mail from M. Villa to C. Genovese re: Bids	ACA000432-0010039 to ACA000432-0010040	√	√
497	June 15, 2011	E-mail from K. Hudson to J. Kopczynski re: Dennis U-5	UASNM0069561 to UASNM0069563	√	√
498	December 14, 2011	E-mail from J. Kopczynski re: Compliance Files	UASNM0022969 to UASNM0022972	√	√
499	June 16, 2011	Dennis Malouf Form U-5	UASNM0023129 to UASNM0023135	√	√
500		National Advisors Trust Company Board Meeting Minutes	NATC00001 to NATC00111	√	

VOLUME V

Exhibit No.	Date	Description	Bates Range / Notes	Offered	Admitted
501		UASNM, Inc. Note Payments Spreadsheet	Kopczynski000331 to Kopczynski000334	√	√
502		UASNM, Inc. Notice of Default	UASNM1531 to UASNM1534	√	√
503	May 23, 2011	Letter from P. Griebel to M. LaMonde re: Lease at 4906 Alameda Blvd.		√	√
504	June 1, 2011	Letter from P. Griebel to M. LaMonde re: Lease at 4906 Alameda Blvd.		√	√
505		Draft Complaint By UASNM Against Raymond James Financial Services, M. LaMonde and D. Malouf.		√	

506	October 19, 2010	E-mail from M. Ciambor to R. Shelton re: Part 2	ACA000385 to ACA000410	√	√
507	May 27, 2014	Complaint by UASNM, Inc. Against Dennis Malouf		√	√
508	June 9, 2011	Dennis Malouf's Response to Plaintiff's Petition for TRO and Affidavit		√	√
509	May 23, 2002	Letter from SEC to Raymond James Financial	RJFS-Malouf-000001	√	√
510	February 12, 1998	Dennis Malouf Outside Activity Form Raymond James Financial Services	RJFS-Malouf-000128 to RJFS-Malouf-000129	√	√
511	September 25, 2007	Dennis Malouf Independent RIA Service Agreement Raymond James Financial Services	RJFS-Malouf-000234 to RJFS-Malouf-000239	√	√
512	September 6, 2006	E-mail Between K. Bell and D. Malouf with Notes	RJFS-Malouf-000334	√	√
513	December 13, 2007	E-mail from K. Bell to D. Malouf re: Voicemail – Thank You	SEC-RJFS-E-0000143 to SEC-RJFS-E-0000144	√	√
514	January 2, 2008	E-mail from J. O'Neal to M. LaMonde re: RJFS-ICD FA Termination	SEC-RJFS-E-0000706 to SEC-RJFS-E-0000707	√	√
515	January 2, 2008	E-mail from J. O'Neal to M. LaMonde re: Please Review	SEC-RJFS-E-0000711	√	√
516	May 12, 2009	E-mail from K. Bell to M. LaMonde re: Follow Up to Our Conversation	SEC-RJFS-E-0000132	√	√
517	May 12, 2009	E-mail from K. Bell to R. Sanchez and M. LaMonde re: Affiliation Considerations	SEC-RJFS-E-0000008 to SEC-RJFS-E-0000010	√	√
518		Intentionally Left Blank		√	√
519		Intentionally Left Blank		√	√
520		Intentionally Left Blank		√	√
521		Intentionally Left Blank		√	√
522		Intentionally Left Blank		√	√
523		Intentionally Left Blank		√	√
524		Kirk Bell FINRA Broker Check		√	√
525		Kirk Bell IAR Public Disclosure Report		√	√
526		David Patchen FINRA Broker Check		√	√
527		David Patchen IAR Public Disclosure Report		√	√
528		Bond Desk Website Screenshots		√	√
529	2007	Raymond James Financial Services OSJ Exam - 2007	RJFS-SEC-UASNM-000998 to RJFS-SEC-UASNM-	√	√

			000999; RJFS-SEC-UASNM-000806 to RJFS-SEC-UASNM-000807; RJFS-SEC-UASNM-000907 to RJFS-SEC-UASNM-000951		
530	2008	Raymond James Financial Services OSJ Exam - 2008	RJFS-SEC-UASNM-000794 to RJFS-SEC-UASNM-000805; RJFS-SEC-UASNM-001018 to RJFS-SEC-UASNM-001061; RJFS-SEC-UASNM-001088; RJFS-SEC-UASNM-001089	√	√
531	2009	Raymond James Financial Services OSJ Exam - 2009	RJFS-SEC-UASNM-001150 to RJFS-SEC-UASNM-001183; RJFS-SEC-UASNM-001222 to RJFS-SEC-UASNM-001223	√	√
532	2010	Raymond James Financial Services OSJ Exam - 2010	RJFS-SEC-UASNM-001298 to RJFS-SEC-UASNM-001371; RJFS-SEC-UASNM-001400 to RJFS-SEC-UASNM-001415	√	√
533	2011	Raymond James Financial Services OSJ Exam - 2011	RJFS-SEC-UASNM-005340 to RJFS-SEC-UASNM-005433; RJFS-SEC-UASNM-001432 to RJFS-SEC-UASNM-001493	√	√
534	November 1, 2007	E-mail from K. Bell to T. Solomon re: Schedule Call	RJFS-Malouf-000312	√	√
535	December 10, 2008	E-mail From M. Villa to P. Calhoun re: Prime Brokerage Trade Away	UASNM0047955	√	√
536	September 24, 2008	E-mail From M. Villa to P. Calhoun re: Revision on Prime Broke Trade Aways	UASNM-111964	√	√
537	September 29, 2009	E-mails Between M. LaMonde and M. Keller re:	UASNM-112387	√	√

		Tom Emory's Advisor			
538	April 11, 2011	E-mail From P. Calhoun to D. Malouf re: Bookkeeping Accounts	UASNM012106	√	√
539		Intentionally Left Blank	SEC-RJFS-E-0000090 to SEC-RJFS-E-0000091	√	√
540	August 22, 2007	E-mail from M. Keller to A. McDaniel re: \$1.75 million bonds purchased	UASNM0000737	√	√
541	February 7, 2008	E-mail from M. Keller to A. McDaniel re: Delivery of Bonds	UASNM0000738	√	√
542	August 18, 2007	E-mail from M. Keller to A. McDaniel and K. Hudson re: Bond Bids	UASNM0025676	√	√
543	October 19, 2007	E-mail from M. Keller to A. McDaniel re: \$480,00 Worth of Bonds Maturing	UASNM0040924	√	√
544	April 13, 2009	E-mail from M. Villa to J. Kopczynski re: Would you do a little job for me please?	UASNM0045133	√	√
545	April 28, 2011	E-mail from M. Villa to M. Keller re: Muni Bond Trades	UASNM0025067	√	√
546		Intentionally Left Blank		√	√
547	June 17, 2010	E-mail from M. Keller to M. Villa re: confirmation	UASNM0055003	√	√
548	May 30, 2007	E-mail from A. McDaniel re: Bonds Sold	UASNM0057833	√	√
549	May 2, 2008	E-mail from M. Villa to K. Hudson re: Please Call Sara Morlan	UASNM0058428	√	√
550	April 20, 2011	E-mail from D. Malouf to K. Hudson re: Mock Audit	UASNM0076719	√	√
551	February 22, 2010	E-mail from M. Villa to J. Kopczynski re: Bonds	UASNM0085641	√	√
552	December 5, 2006	E-mail from L. Bloom to A. McDaniel and K. Hudson re: Trade Email	UASNM0087332 to UASNM0087334	√	√
553	July 2, 2008	E-mail from M. Villa to K. Hudson re: 7-02-08 Global Transaction Ledger	UASNM0091982	√	√
554	April 21, 2010	E-mail from K. Hudson to D. Malouf and M. Villa re: List of Bond Buy Amounts	UASNM0115640	√	√
555	August 10, 2009	E-mail from K. Hudson to M. Villa re: To Allocate Dennis' Buy of Friday	UASNM0115867	√	√

556	December 7, 2009	E-mail from K. Hudson to M. Villa re: Dec Bond Alloc.xls	UASNM0116041	√	√
557	May 23, 2008	E-mail from K. Hudson to M. Villa re: Allocation Worksheet	UASNM0120357	√	√
558	September 30, 2002	Letter from SEC to J. Kopczynski re: File No. 801-40458	SECMaloufprod0000001 to SECMaloufprod0000007	√	√
559	August 20, 2012	E-mail from M. Keller re: Best Execution Meeting	UASNM0023202	√	√
560	August 27, 2014	Letter from S. McKenna re Brady Material		√	√
561		Raymond James Continuing Commissions Policy		√	√
562		Emails from UASNM DVP binders		√	√
563		Capital Forensics' analysis reducing RJFS markups on trade away transactions (excluding munis tab)		√	√
564		Raymond James Trade Away Transactions Under Review		√	√
565		List of ADVs		√	√
566		ACA Training Materials (Trading)	Designated Confidential	√	√
567		ACA Training Materials (Compliance Manual and Compliance Program)	Designated Confidential	√	√
568		ACA Training Materials (Books and Records)	Designated Confidential	√	√
569		ACA Training Materials (Marketing and Advertising)	Designated Confidential	√	√
570		ACA Training Materials (Portfolio Management)	Designated Confidential	√	√
VOLUME VI					
Exhibit No.	Date	Description	Bates Range / Notes	Offered	Admitted
571	December 3, 2011	E-mail from Kopczynski to Ciambor re SEC exam	ACA000432-0008911 to ACA000432-0008921	√	√
572	December 6, 2011	E-mail from Ciambor to B. Schwartz re edited UASNM Report	ACA000432-0008702	√	√
573	December 6, 2011	E-mail from Kopczynski to Ciambor re Amended Compliance Manual	ACA000432-0008165 to ACA000432-0008166	√	√
574	December 6, 2011	E-mail from Kopczynski to Ciambor re Amended	UASNM0066570 to	√	√

		Compliance Manual	UASNM0066571		
575	December 7, 2011	E-mail from B. Schwartz to Ciambor re edited UASNM Compliance Program Review	ACA000432-0007999	√	√
576	December 9, 2011	E-mail from Ciambor to Kopczynski re Onsite document requests	ACA000432-0007850	√	√
577	December 9, 2011	E-mail from Kopczynski to Ciambor re Report	ACA000432-0007845	√	√
578		SEC Release 34-23170		√	√
579		Alan Wolper - Expert Report		√	√
580		Alan Wolper - Rebuttal Expert Report.		√	√
581	October 22, 2014	Jerry DeNigris - Expert Report		√	√
582	October 23, 2014	Jerry DeNigris - Amended Expert Report		√	√
583	October 29, 2014	Jerry DeNigris - Rebuttal Expert Report		√	√
584		E-Mail Composite re: Dennis Malouf's role as CCO		√	√
585		<i>Reserved</i>			
586		<i>Reserved</i>			
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** Note: All of Respondent's exhibits were admitted on Day 6 of the final hearing by Judge Patil with the exception of several listed above that are not marked admitted. Respondent counsel indicated on Day 6 of the hearing that Respondent would not rely upon those exhibits (435, 447, 455 to 466, 495, 500, and 505).