



SUBPOENA DUCES TECUM

UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

To: Custodian of Records
Goldman Sachs Execution & Clearing, L.P.
30 Hudson Street
Jersey City, NJ 07302-4699

You are hereby required to produce to the Division of Enforcement of the Securities and Exchange Commission, 44 Montgomery Street, Suite 2800, San Francisco, California, 94104, on the 19th day of December 2014, at 5:00 p.m., **In the Matter of Sean C. Cooper, Administrative Proceeding File No. 3-16130**, those books, papers, documents, and other things described in the Attachment hereto.

Fail not at your peril.

In testimony whereof, the undersigned, an officer designated by the Securities and Exchange Commission, has set his hand this ___th day of December, 2014.

Honorable Jason S. Patil
Administrative Law Judge

SUBPOENA ATTACHMENT FOR GOLDMAN SACHS EXECUTION & CLEARING

December 5, 2014

In the Matter of Sean C. Cooper Administrative Proceeding File 3-16130

For Account No. 7VBD in the name of Westend Partners LP (Client No. 000752540), Goldman Sachs Execution & Clearing, L.P. ("Goldman Sachs") is requested to produce the following materials:

1. All margin calls during the period of January 1, 2010 through December 31, 2011.
2. All Margin Calculation System Customer Margin By Account Base Number Reports for the period of August 1, 2011 through November 30, 2011.
3. All Asset Summary Reports for the period of September 1, 2011 through November 30, 2011.
4. All written communications (including emails and correspondence) during 2011 requesting the termination, transfer, or closing of the Account at Goldman Sachs.
5. Documents (including the margin account agreement) describing Goldman's house margin requirements for the Account during the period of January 2, 2010 through December 31, 2011.

All documents (including but not limited to emails) reflecting, conveying, or communicating margin calls on the Account during the period of January 1, 2010 through December 31, 2011.

All documents (including emails and order tickets) discussing or reflecting the potential or actual liquidation of holdings in the Account to meet a margin call during the period of January 1, 2010 through December 31, 2011.



SUBPOENA DUCES TECUM

UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

To: Custodian of Records
Weeden Prime Services, LLC
145 Mason Street
Greenwich, CT 06830

You are hereby required to produce to the Division of Enforcement of the Securities and Exchange Commission, 44 Montgomery Street, Suite 2800, San Francisco, California, 94104, on the 19th day of December 2014, at 5:00 p.m., **In the Matter of Sean C. Cooper, Administrative Proceeding File No. 3-16130**, those books, papers, documents, and other things described in the Attachment hereto.

Fail not at your peril.

In testimony whereof, the undersigned, an officer designated by the Securities and Exchange Commission, has set his hand this ___th day of December, 2014.

Honorable Jason S. Patil
Administrative Law Judge

SUBPOENA ATTACHMENT FOR WEEDEN PRIME SERVICES

December 5, 2014

In the Matter of Sean C. Cooper Administrative Proceeding File 3-16130

For Account No. [REDACTED] in the name of Westend Partners LP (Taxpayer Id. No. 14-xxx4223) located at 86 Graham Street, Suite 100, San Francisco, CA 94129, Weeden Prime Services formerly known as Saxis Group LLC ("Saxis") is requested to produce the following materials:

1. All documents (including but not limited to emails) reflecting, conveying, or communicating margin calls by Saxis, Goldman Sachs Execution & Clearing, L.P. ("Goldman Sachs") and/or Wedbush Securities, Inc. ("Wedbush") on the Account during the period of January 1, 2010 through December 31, 2011.
2. All documents (including emails and order tickets) discussing or reflecting the potential or actual liquidation of holdings in the Account to meet any margin call during the period of January 1, 2010 through December 31, 2011.
3. All written communications (including emails and correspondence) during 2011 requesting the termination, transfer, or closing by Westend Partners LP of the Account at Goldman Sachs.