

MMspire Fund Error Report

To: Compliance Analysts (Faraz Khan and Brad McNew), MMspire Intern Manager (Ms. Hilary Towbin), Prof Leslie K. McNew, Coach Jonathon Markowitz

From: Dominic DeMicco

Error Explanation: Blew out daily stop loss of 75 pips

Operational Fines: Public Shaming Picture to be sent with this completed document.

Total Fine:

Error Summary:

Date	Description	Cost of Error (+/-)	Prevention Tactics	Deadline
6/27/16	Blew out daily stop loss of 75 pips	-13.1 pips	Set stops so that daily stop loss never gets hit. Create personal stop loss of 40 pips to ensure 75 pip stop never gets close to hitting.	7/5/16

Required Signatures:

(No electronic signatures)

Bradley A. McNew
Compliance Analyst Name

Bradley A. McNew
Compliance Analyst Signature

7-28-16
Date

Hilary Towbin
Manager Name

Hilary Towbin
Manager Signature

7/28/16
Date

Leslie McNew
Partner's Name

Leslie McNew
Partner's Signature

7/28/16
Date

The trader below has agreed to and taken the public shaming picture:

Dominic DeMicco
Trader's Name

D. DeMicco
Trader's Signature

7/28/16
Date

SNIP COPY OF PICTURE (S) BELOW. EMAIL TO MMSPIRE INTERNSHIP MANAGER (hilary.towbin@gmail.com), MMSPIRE COMPLIANCE ANALYSTS (farazalikhan96@gmail.com, and brad_mcnew@sbcglobal.net), and MCNEW (lesmcnew@gmail.com).