

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: GBP Long position should have been closed when 10 EMA < 20 EMA, I did not exit the trade as my plan dictates. I was walking from the train to the CBOT and was not looking at my tablet. This was a violation of my trading plan.

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

Total Fine:

Error Summary:

Date	Description	Cost of Error (+/-)	Prevention Tactics	Deadline
7/12/16	Got long when 10 EMA > 20 EMA, did not exit when the 10 EMA < 20 EMA	-32.1	Do not make trades on the train	7/12/16

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).