

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: Failed to take a picture while at the CFA Chicago Open House event with Natalie Dunn.

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

Total Fine:

Error Summary:

Date	Description	Cost of Error (+/-)	Prevention Tactics	Deadline
8/3/16	Failed to take a picture at a networking event. This is a recurring problem that I must address.	0	Set an alarm to go off at the beginning of an event to take a picture instead of trying to remember to take one at the end when everyone wants to leave.	8/3/16

Required Signatures:

(No electronic signatures)

Bradley A. McNew
Compliance Analyst Name

Bradley A. McNew
Compliance Analyst Signature

8-8-16
Date

Hilary Towbin
Manager Name

Hilary Towbin
Manager Signature

8-8-16
Date

Jonathan A. Markowitz
Partner's Name

Jonathan A. Markowitz
Partner's Signature

8-8-16
Date

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

Dominic DeMicco
Trader's Name

D. DeMicco
Trader's Signature

8/7/16
Date

SNIP COPY OF PICTURE (S) BELOW. EMAIL TO MMSPIRE INTERNSHIP MANAGER (hilary.towbin@mmfund.com), MMSPIRE COMPLIANCE ANALYSTS (faraz.khan@mmfund.com and brad.mcnew@mmfund.com), and MCNEW (leslie@mmfund.com).