

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:

Error Explanation:

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

Total Fine:

Error Summary:

Date	Description	Cost of Error (+/-)	Prevention Tactics	Deadline
7/28/16	I forgot my American Flag pin at home when I should have been wearing it for the team picture.	0	Keep American Flag pin in work brief case at all times.	7/28/16

Required Signatures:
(No electronic signatures)

<u>Bradley A. McNew</u> Compliance Analyst Name	<u>Bradley A. McNew</u> Compliance Analyst Signature	<u>7-28-16</u> Date
<u>Hilary Towbin</u> Manager Name	<u>Hilary Towbin</u> Manager Signature	<u>7-28-16</u> Date
<u>[Signature]</u> Partner's Name	<u>[Signature]</u> Partner's Signature	<u>7/28/2016</u> Date

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

<u>Faraz Khan</u> Trader's Name	<u>[Signature]</u> Trader's Signature	<u>7-28-16</u> Date
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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).