

**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:** Garrett Swanson

**Error Explanation:** I traded against 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  |
|-----------|--|---------------------|--|-----------|
| 6/30/2016 | I saw the EMA pair cross bullish in the middle of an open candle. The candle did not close with a cross. I speculated and entered a trade against the trend. | -19.3               | I will wait for each candle to close before I enter a trade. I will pay attention to everything involved in when I should enter in a trade, such as resistance lines, support lines, trend lines, and girth. | 6/30/2016 |

**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

McNew  
Partner's Name

Leslie K. McNew  
Partner's Signature

7/28/2016  
Date

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

Garrett Swanson  
Trader's Name

[Signature]  
Trader's Signature

7/28/16  
Date

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