

**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:** 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
8/3/2016	Failed to take a picture at a networking event. This is a recurring problem that I must address.	0	Request to take a picture at the beginning of a networking event instead of at the end.	8/3/2016

**Required Signatures:**

(No electronic signatures)

<u>Bradley A. McNew</u> Compliance Analyst Name	<u>Bradley A. McNew</u> Compliance Analyst Signature	<u>8-8-16</u> Date
<u>Hilary Towbin</u> Manager Name	<u>Hilary Towbin</u> Manager Signature	<u>8-8-16</u> Date
<u>Jonathan A. Markowitz</u> Partner's Name	<u>[Signature]</u> Partner's Signature	<u>8-8-16</u> Date

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

<u>Garrett Swanson</u> Trader's Name	<u>[Signature]</u> Trader's Signature	<u>8/8/2016</u> Date
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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)).