

Q: What legal proceedings not involving the Receiver are you aware of with allegations stemming from the scheme?

A: We are aware of the following legal proceedings:

**Grad et al. v. Associated Bank**

Filed: October 27, 2009  
Venue: Wisconsin Circuit Court, Brown County  
Cite/Docket No.: 09-cv-2949  
Status: Dismissed, Pending Appeal  
Plaintiffs: Herman Grad, Marya Grad, Keith Gillam, Murielle Vendette Gillam, Ivan Velev, Maia Veleva  
Defendant: Associated Bank  
Appeal: Wisconsin Court of Appeals, District 3 (10-ap-1461)

**In re Mack et al.**

Filed: November 15, 2010  
Venue: Arizona Corporation Commission  
Cite/Docket No.: S-20768A-10-0463  
Status: Open  
Plaintiff: Arizona Corporation Commission  
Defendants: Joseph Mack and Helen Marie Mack d/b/a Secure Retirement Solutions, Mack Financial Group, LLC, Darin Whittington and Gina Whittington

**McDonald et al. v. Entrust Group et al.**

Filed: February 2, 2010  
Venue: Minnesota District Court, Hennepin County  
Cite/Docket No.: 27-cv-10-2253  
Status: Open  
Plaintiffs: Louise Beatty, Timothy Beatty, Gunvant Bhatt, David Bratt, Mark Cobb, Allen Collins, James DeVito, Craig Engel, Stephen Flemmons, William Fravel, Karen Gladstone, Bonnie Gloth, Harry Grusche, Sandy Grusche, Curtis Harvey, Dan Haynes, Diann Haynes, Edward Hemenway, Robert Herr, Edith Hoepfner, Shirley Jacobs, Joseph Kalina, Donald Kincaid, Karl Kokotan, Stephen Laube, Donald Lindberg, Thomas Los, Joan McDonald, Phillip McDonald, Michael McGonnell, Paul Migliorelli, Jacquelyn Miller, Russell Miller, Donald Moran, David Nielson, Barry Owens, Robert Pajor, Mary Patterson, Michael Patterson, Jerome Reynolds, Robert Roiger, Robert Roof, Greg Rutter, Gordon Schepke, Kathlyn Schepke, David Smith, Dwight Smith, Edgar Stephenson, Linda

Stephenson, Mark Sticha, Ronald Stolpman, Lawrence Treiber,  
Daryl Vossler, John Walencik, Stanislaw Zukowski  
Defendants: Entrust Midwest LLC, The Entrust Group

**Steinberg v. Entrust Midwest et al.**

Filed: January 18, 2010  
Venue: Northern District of Illinois  
Cite/Docket No.: 10-cv-332  
Status: Open  
Plaintiff: Ronald Steinberg  
Defendants: Entrust Midwest, LLC, The Entrust Group, Inc.

**In re NRP Financial**

Filed: September 24, 2009  
Venue: FINRA  
Cite/Docket No.: 09-05297  
Status: Noted as settling on October 6, 2010 for \$50,000

**In re Western International Securities**

Filed: September 14, 2010  
Venue: FINRA  
Cite/Docket No.: 10-03946  
Status: Pending

**In re NRP Financial and Western International Securities**

Filed: May 1, 2010  
Venue: FINRA  
Cite/Docket No.: 10-01907  
Status: Pending

**In re Western International Securities**

Filed: November 17, 2009  
Venue: FINRA  
Cite/Docket No.: 09-06587  
Status: Arbitration Pending

**In re Oxford Private Client Group**

Filed: September 9, 2009  
Venue: FINRA  
Cite/Docket No.: UNKNOWN  
Status: Pending