



CARLSON, CASPERS, VANDENBURGH & LINDQUIST
INTELLECTUAL PROPERTY LITIGATION & COUNSELING

R.J. Zayed
Direct Dial: 612-436-9643
E-mail: rzayed@ccvl.com

April 8, 2011

By Facsimile
866-282-5682

JP Morgan Chase Bank, N.A.
Chase Home Lending
Attn: Emily
PO Box 24714
Columbus, OH 43224

Re: Account # [REDACTED] (Hollie J. Beckman)

SEC v. Beckman, et al; Court File No.: 11-cv-00574 (D. Minn.)

Dear Emily:

This letter follows up on your conversation with my colleague, Brian Hayes. Enclosed with this letter are Orders recently entered by the United States District Court for the District of Minnesota, the Honorable Michael J. Davis presiding, establishing a receivership in the above-referenced case involving Jason Bo-Alan Beckman and Hollie Beckman, and various entities and assets controlled by them. Copies of the following are again enclosed:

- (1) Order Imposing Asset Freeze And Other Ancillary Relief And Setting **Hearing On Motion For Preliminary Injunction** in *SEC v. Beckman et al.*, 11-cv-00574 (MJD/FLN) (Docket No. 9), entered on March 8, 2011; and
- (2) **Order Appointing Receiver** in *SEC v. Beckman et al.*, 11-cv-00574 (MJD/FLN) (Docket No. 10), entered on March 8, 2011.

My understanding from your conversation with Mr. Hayes is that he is now an authorized individual on the account or accounts held in the name of Jason and/or Hollie Beckman. I wish to confirm that the authorization granted to Mr. Hayes allows him complete access to the

A Professional Corporation

225 South Sixth Street, Suite 2100, Minneapolis, MN 55402
Tel. 612.436.9600 Fax: 612.436.9605 www.ccvl.com

EXHIBIT U

JP Morgan Chase Bank, N.A.
April 8, 2011
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account, including, but not limited to, online "live" access to the account and access to the complete loan history and application documents, as well as all correspondence with the accountholder, both past and future.

Please contact Mr. Hayes, at (612) 436-9613, or by email at bhayes@ccvl.com if you need any additional information or have any questions regarding the foregoing.

Very truly yours,

A handwritten signature in black ink, appearing to read "R.J. Zayed". The signature is written in a cursive style with some stylized flourishes.

R.J. Zayed
Receiver, USDC Minnesota
Nos. 09-cv-3332 and 09-cv-3333

RJZ/BWH/jmk

Enclosures



CARLSON, CASPERS, VANDENBURGH & LINDQUIST

INTELLECTUAL PROPERTY LITIGATION & COUNSELING

Fax Transmission:

Date: April 8, 2011

To:	Chase Home Lending Attn: Emily	From:	Joe Kaczrowski
Company:	JP Morgan Chase Bank NA	Our Ref.:	11-cv-00574
Your Ref:	Hollie J. Beckman [REDACTED]	Fax No.:	612-436-9605
Fax No.:	866-282-5682	Phone No.:	612-436-9663
Phone No.:	888-215-2800 x3228596	Email:	jkaczrowski@ccvl.com
Total Pages:	31 (incl. cover)	Return Fax To:	Joe Kaczrowski

Confirmation via Mail: YES NO

Message:
Emily:

Please find enclosed copies of the Orders previously sent to Chase along with correspondence from the Receiver.

If you have any questions, please contact Mr. Hayes at 612-436-9613 or bhayes@ccvl.com.

This transmission contains information that is confidential and/or legally privileged. It is intended only for use by the person to whom it is directed. If you have received this facsimile in error, please notify us by telephone immediately so that we can arrange for the return of the original document to us.

EXHIBIT U

MEMORY TRANSMISSION REPORT

TIME : 04-08-2011 11:50AM
 TEL NUMBER : 6124369605
 NAME : CARLSON CASPERS

FILE NUMBER : 544
 DATE : 04-08 11:40AM
 TO : 18662825682
 DOCUMENT PAGES : 031
 START TIME : 04-08 11:40AM
 END TIME : 04-08 11:50AM
 SENT PAGES : 031
 STATUS : OK

FILE NUMBER : 544

***** SUCCESSFUL TX NOTICE *****



CARLSON, CASPERS, VANDENBURGH & LINDQUIST
 INTELLECTUAL PROPERTY LITIGATION & COUNSELING

Fax Transmission:

Date: April 8, 2011

To:	Chase Home Lending	From:	Joe Kaczrowski
Company:	Attn: Emily JP Morgan Chase Bank NA	Our Ref.:	11-cv-00574
Your Ref:	Hollie J. Beckman	Fax No.:	612-436-9605
Fax No.:	866-282-5682	Phone No.:	612-436-9663
Phone No.:	888-215-2800 x3228596	Email:	jkaczrowski@ccvl.com
Total Pages:	31 (incl. cover)	Return Fax To:	Joe Kaczrowski

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Message:
 Emily:

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From: Brent Elswick
Sent: Thursday, June 03, 2010 4:20 PM
To: alexandra.mcinerney@ubs.com
Subject: SEC/CFTC v. Cook: Oxford Global Advisors Large Cap Core

Dear Ms. McInerney:

As we discussed over the telephone this afternoon, please find attached several pieces of scanned correspondence we have received. These items were forwarded to our law office as a result of the Receiver's investigations and subsequent seizure of any and all Oxford assets and/or accounts, as per court order. We are concerned that Receiver assets may rest with your entity; and if so, respectfully request the immediate remittance of those funds.

Should there be any question as to our capacity to investigate this matter with you, please find attached two Orders which set forth our authority and power to "take any action which could be taken by the officers, directors, partners, members, and trustees of the [named Defendants and Relief-Defendants]." *Second Amended Order Appointing Receiver*, at Part I.I. We are also authorized to "take exclusive custody, control, and possession of all funds, property, and other assets in the possession of, or under the control of the Defendants wherever situated" and to "close out all commodities futures positions, or other outstanding positions and/or hold such assets without further court order". See *Order Continuing Appointment of the Temporary Receiver*, at Parts I.A.,K.

I look forward to your quick and timely reply.

Thank you.

Brent

Brenton A. Elswick
Carlson, Caspers, Vandenburg & Lindquist, P.C.
225 South Sixth Street, Suite 3200
Minneapolis, MN 55402
direct: (612) 436-9667
main: (612) 436-9660
email: belswick@ccvl.com

This message contains confidential information intended for use of the named addressee(s) and may contain proprietary and/or legally privileged information. If you are not the designated recipient, you may not read, copy, distribute, or retain this message. If you received this message in error, please notify the sender by reply e-mail, and destroy and delete it from your system. Thank you.

EXHIBIT U

From: Brent Elswick
Sent: Thursday, March 10, 2011 2:14 PM
To: 'robert.matthews@ubs.com'
Cc: 'miriam.santiago@ubs.com'; [REDACTED] Brent Elswick
Subject: SEC v. Beckman: UBS Financial Services accounts

Dear Mr. Matthews:

Please find attached and served upon you the following with regard to the above-referenced matter:

- Order Appointing Receiver re *Beckman et al.*;
- Order Imposing Asset Freeze and Other Ancillary Relief regarding *Beckman et al.*;
- Order Continuing Appointment of the Temporary Receiver regarding *Cook et al.*; and
- Second Amended Order Appointing Receiver regarding *Cook et al.*

I am an attorney working with Court-appointed Receiver, R.J. Zayed, on the Receiverships established in the attached Orders. Last summer, I corresponded with two of your colleagues, Mr. Raccuglia and Ms. McInerney on this issue; however, Mr. Beckman was not yet named a Defendant and we were unable to secure any records from your office. As the attached Orders show, we have now been appointed Receiver over Mr. Beckman, Oxford Private Client Group, and any and all entities or assets under his control. The Orders give us with the power and duty to "take any action which could be taken by the officers, directors, partners, members, shareholders, and trustees of Oxford PCG . . ." *Order Appointing Receiver*, Case 11-cv-574, SEC Doc. 10, § I.I. Specifically, section XV of the same Order requires that you immediately "file with the Court and serve on the Receiver and counsel for the Commission a certified statement setting forth, with respect to each such account or other asset, the balance in the account in the amount or description of the assets as of the close of business on the date of receipt of the notice." *Order Appointing Receiver*, Case 11-cv-574, SEC Doc. 10, § XV. Attached for your convenience are the Orders relating to the parallel Trevor Cook case.

Please immediately freeze any and all Beckman related accounts and forward any and all account statements, files, and records relating to the accounts to me at the address listed below. We encourage electronic production and would welcome a CD or DVD containing electronic copies of the requested materials. As this is a Receivership, and funds are limited to what recovery there may be for the defrauded investor, we respectfully request that you cooperate with the Orders in lieu of the time and money involved with the service of a subpoena.

Should there be any questions or concerns, please do not hesitate to call me at the numbers referenced below.

Thank you.

Brent

Brenton A. Elswick
Carlson, Caspers, Vandenburg & Lindquist, P.C.
225 South Sixth Street, Suite 3200
Minneapolis, MN 55402
direct: (612) 436-9667
main: (612) 436-9600
email: belswick@ccvl.com

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EXHIBIT W

not read, copy, distribute, or retain this message. If you received this message in error, please notify the sender by reply e-mail, and destroy and delete it from your system. Thank you.

EXHIBIT W

From: robert.matthews@ubs.com [mailto:robert.matthews@ubs.com]
Sent: Thursday, March 10, 2011 2:18 PM
To: Brent Elswick
Cc: miriam.santiago@ubs.com; [REDACTED]
Subject: RE: SEC v. Beckman: UBS Financial Services accounts

This message is: UNCLASSIFIED

Mr. Elswick:

We will review the documents and respond to you as soon as possible.

Robert Matthews

From: Brent Elswick
Sent: Wednesday, March 16, 2011 3:52 PM
To: 'alexandra.mcinerney@ubs.com'
Cc: Brent Elswick; [REDACTED]
Subject: FW: SEC v. Beckman: UBS Financial Services accounts

Dear Ms. McInerney:

As discussed by telephone this afternoon, please find attached our prior email detailing pieces of correspondence we received regarding Mr. Beckman's business with UBS Financial Services. This is not a comprehensive set of records received from your office. Also attached for your convenience is our recent Beckman Asset Freeze Order and Receiver appointment Order. I trust these files, and the social security numbers provided for Mr. and Mrs. Beckman, help with the timely search for and production of our records.

Please call or write with any questions.

Thank you.

Brent