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Attorneys for Receiver for Defendants
AEQUITAS MANAGEMENT, LLC; AEQUITAS HOLDINGS, LLC;
AEQUITAS COMMERCIAL FINANCE, LLC; AEQUITAS
CAPITAL MANAGEMENT, INC.; AEQUITAS INVESTMENT
MANAGEMENT, LLC

IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF OREGON
PORTLAND DIVISION

SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

v.

AEQUITAS MANAGEMENT, LLC;
AEQUITAS HOLDINGS, LLC; AEQUITAS
COMMERCIAL FINANCE, LLC;
AEQUITAS CAPITAL MANAGEMENT,
INC.; AEQUITAS INVESTMENT
MANAGEMENT, LLC; ROBERT J.
JESENİK; BRIAN A. OLIVER; and N.
SCOTT GILLIS,

Defendants.

No. 3:16-cv-00438-JR

AFFIDAVIT OF SERVICE RE: DOCKET
NOS. 852, 853, 854 & 855



- d. “[Proposed] Limited Judgement as to the Professional Firms and the Terrell Parties, Including Permanent Injunctions,” dated October 22, 2020 [Docket No. 855], and
- e. “Notice of Receiver’s Motion for Order (1) Approving Compromises of Claims, (2) Approving and Authorizing Performance of Settlement Agreements, (3) Entering Claims Bars, and (4) Removing a Receivership Entity and an Extended Entity,” a sample of which is annexed hereto as Exhibit A,

by causing true and correct copies to be enclosed securely in separate postage prepaid envelopes and delivered via priority mail to those parties listed on the annexed Exhibit B.

3. All envelopes utilized in the service of the foregoing contained the following legend: “LEGAL DOCUMENTS ENCLOSED. PLEASE DIRECT TO THE ATTENTION OF ADDRESSEE, PRESIDENT OR LEGAL DEPARTMENT.”

/s/ Panagiota Manatakis
Panagiota Manatakis

Sworn to before me this
22nd day of October, 2020

/s/ Cassandra Murray

Notary Public, State of New York

No. 01MU6220179

Qualified in Queens County

Commission Expires April 12, 2022

EXHIBIT A

IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF OREGON
PORTLAND DIVISION

**SECURITIES AND EXCHANGE
COMMISSION,**

Plaintiff,

vs.

**AEQUITAS MANAGEMENT, LLC, ET
AL,**

Defendants.

No. 3:16-cv-00438-JR

**NOTICE OF RECEIVER’S MOTION FOR
ORDER (1) APPROVING COMPROMISES
OF CLAIMS, (2) APPROVING AND
AUTHORIZING PERFORMANCE OF
SETTLEMENT AGREEMENTS, (3)
ENTERING CLAIMS BARS, and (4)
REMOVING A RECEIVERSHIP ENTITY
AND AN EXTENDED ENTITY**

You are receiving this Notice and related pleadings because, on October 22, 2020, the Receiver filed a motion requesting, amongst other relief, that the Court enter a limited judgment enjoining you and others from asserting any Contribution Claims against (1) certain Professional Firms that served various Aequitas corporate entities as well as (2) Patrick Terrell and related individuals and entities.

Copies of the Receiver’s Motion for Order (1) Approving Compromises of Claims, (2) Approving and Authorizing Performance of Settlement Agreements, (3) Entering Claims Bars, and (4) Removing a Receivership Entity and an Extended Entity (“Motion to Approve Settlements”) and related pleadings are enclosed for your review.

FURTHER ACTION?

You need not take any further action if you agree to the relief requested by the Receiver, specifically including entry of a limited judgment enjoining you from asserting any Contribution Claims against (1) certain Professional Firms that served various Aequitas corporate entities as well as (2) Patrick Terrell and related individuals and entities.

If you wish to support, oppose, or otherwise respond to the Receiver's Motion to Approve Settlements, you must do so by no later than November 5, 2020. To comply with that deadline, you must both:

- (a) Serve a copy of your written support, opposition or other response, if any, on counsel for the Receiver at:

Troy Greenfield
Alex Poust
SCHWABE WILLIAMSON & WYATT
1211 SW 5th Ave., Suite 1900
Portland, OR 97204

- (b) File the original of your written support, opposition or other response, if any, with the United States District Court, District of Oregon, Portland Division, located at 1000 SW Third Ave., Portland, OR 97204.

The Receiver will thereafter file and serve his reply to any written support, oppositions, or other responses. If no opposition is filed, the Court may enter an order approving the motion without further notice to you. If oppositions are filed and remain unresolved by agreement of the affected parties, the Court may schedule a hearing to consider those unresolved issues before the Honorable Judge Jolie A. Russo, at the United States District Court, District of Oregon, Portland Division, 1000 SW Third Ave., Portland, OR 97204.

EXHIBIT B

SERVICE LIST

Recipient	Address Information
ALAN A. LORDI	ADDRESS REDACTED
ALTERNATIVE CAPITAL ADVISERS, LLC	ADDRESS REDACTED
ANDREW N. MACRITCHIE	ADDRESS REDACTED
ANDREW S. CRAIG	ADDRESS REDACTED
ANNADEL CAPITAL, INC	ADDRESS REDACTED
ANTHONY BUDA	ADDRESS REDACTED
ASHTON THOMAS PRIVATE WEALTH, LLC	ADDRESS REDACTED
ATHERTON CAPITAL HOLDINGS, LLC	ADDRESS REDACTED
AXION FINANCIAL GROUP, LLC	ADDRESS REDACTED
BKS ADVISORS, LLC	ADDRESS REDACTED
BRETT BROWN	ADDRESS REDACTED
BRIAN A. OLIVER	ADDRESS REDACTED
BRIAN RICE	ADDRESS REDACTED
BRIAN ZECK	ADDRESS REDACTED
CEDAR SPRINGS CAPITAL, LLC	ADDRESS REDACTED
CHRISTOPHER CROW	ADDRESS REDACTED
CLIENT 1ST ADVISORY GROUP, LLC	ADDRESS REDACTED
CONCERT WEALTH MANAGEMENT	ADDRESS REDACTED
COPPERSTONE PARTNERS, LLC	ADDRESS REDACTED
CRAIG FROUDE	ADDRESS REDACTED
CRITERION WEALTH MANAGEMENT	ADDRESS REDACTED
DE GROOTE FINANCIAL GROUP	ADDRESS REDACTED
DEL MAR WEALTH MANAGEMENT	ADDRESS REDACTED
DETALUS ADVISORS, LLC	ADDRESS REDACTED
DONNA MILES	ADDRESS REDACTED
EDMUND AND MARILYN JENSEN TENANTS IN COMMON	ADDRESS REDACTED
EDMUND JENSEN	ADDRESS REDACTED
EDWARD TEXERIA	ADDRESS REDACTED
EKATERINA BARON	ADDRESS REDACTED
ELITE WEALTH MANAGEMENT	ADDRESS REDACTED
ENCOMPASS WEALTH ADVISORS, LLC	ADDRESS REDACTED
ENVISO CAPITAL, LLC	ADDRESS REDACTED
ETESIAN WEALTH ADVISORS, LLC	ADDRESS REDACTED
FAMILY OFFICE RESEARCH, LLC	ADDRESS REDACTED
FOURSTAR WEALTH ADVISORS, LLC	ADDRESS REDACTED
FUSION ANALYTICS INVESTMENT PARTNERS LLC	ADDRESS REDACTED
GF CAPITAL MANAGEMENT & ADVISORS, LLC	ADDRESS REDACTED
GILLIS MANAGEMENT SOLUTIONS INC.	ADDRESS REDACTED
GM ADVISORY GROUP	ADDRESS REDACTED
GOOD HARBOR FINANCIAL, LLC	ADDRESS REDACTED
GPS CAPITAL MANAGEMENT, LLC	ADDRESS REDACTED
GUPTA WEALTH MANAGEMENT	ADDRESS REDACTED

SERVICE LIST

Recipient	Address Information
IMS CAPITAL MANAGEMENT, INC.	ADDRESS REDACTED
INCOME OPPORTUNITY CAPITAL, LLC	ADDRESS REDACTED
INTEGRATED FINANCIAL SOLUTIONS GROUP, LLC	ADDRESS REDACTED
INTEGRITY BANK AND TRUST	ADDRESS REDACTED
INTERNATIONAL ASSETS ADVISORY, LLC	ADDRESS REDACTED
JAMES F. CRUMPACKER	ADDRESS REDACTED
JAMES H. GANIER	ADDRESS REDACTED
JAMES P. BISENIUS	ADDRESS REDACTED
JAMES VON GREMP	ADDRESS REDACTED
JASON MACRAE	ADDRESS REDACTED
JEFFREY MAZER	ADDRESS REDACTED
JUETTEN PERSONAL FINANCIAL PLANNING, LLC	ADDRESS REDACTED
KEITH BARNES	ADDRESS REDACTED
KEITH GREGG	ADDRESS REDACTED
L. MARTIN BRANTLEY	ADDRESS REDACTED
LEBENTHAL & CO., LLC	ADDRESS REDACTED
LEBENTHAL WEALTH ADVISORS, LLC	ADDRESS REDACTED
LEGACY CONSULTING GROUP	ADDRESS REDACTED
MALLOY & CO.	ADDRESS REDACTED
MANCHESTER FINANCIAL	ADDRESS REDACTED
MARILYN JENSEN	ADDRESS REDACTED
MATRIX CAPITAL ADVISORS, LLC	ADDRESS REDACTED
MICHAEL I. CHONG	ADDRESS REDACTED
MICHELLE M. AGOSTINE	ADDRESS REDACTED
MIRACLE MILE ADVISORS, LLC	ADDRESS REDACTED
MIRAE ASSET WEALTH MANAGEMENT (USA) INC.	ADDRESS REDACTED
MORGAN STANLEY/GRAYSTONE CONSULTING	ADDRESS REDACTED
MSSB CUST FBO WILLIAM MCCORMICK SEP IRA	ADDRESS REDACTED
N. SCOTT GILLIS	ADDRESS REDACTED
OCEAN AVENUE WEALTH MANAGEMENT	ADDRESS REDACTED
OLAF JANKE	ADDRESS REDACTED
PATRICIA BROWN	ADDRESS REDACTED
PATRICK TERRELL	ADDRESS REDACTED
PATTY WHITTINGTON	ADDRESS REDACTED
PETER HAND	ADDRESS REDACTED
PIERPONT INVESTMENT GROUP	ADDRESS REDACTED
PRIVATE ADVISORY GROUP LLC	ADDRESS REDACTED
R. SCOTT WOOD	ADDRESS REDACTED

SERVICE LIST

Recipient	Address Information
ROBERT E. BEDRITIS	ADDRESS REDACTED
ROBERT HOLMEN	ADDRESS REDACTED
ROBERT J. JESENİK	ADDRESS REDACTED
ROBERT NOACK	ADDRESS REDACTED
ROBERT ZUKIS	ADDRESS REDACTED
RORY DONNELLY	ADDRESS REDACTED
RYAN MCDONALD	ADDRESS REDACTED
SCOTTSDALE WEALTH PLANNING, INC	ADDRESS REDACTED
SICA WEALTH MANAGEMENT, LLC	ADDRESS REDACTED
STANLEY W. SMITH	ADDRESS REDACTED
STEEL PEAK WEALTH MANAGEMENT, LLC	ADDRESS REDACTED
STEVEN HEDBERG	ADDRESS REDACTED
STRATEGIC CAPITAL GROUP	ADDRESS REDACTED
TAMMY WOOD	ADDRESS REDACTED
THE WILLIAM C. MCCORMICK TRUST	ADDRESS REDACTED
THOMAS M. GOILA	ADDRESS REDACTED
THOMAS P. REITER	ADDRESS REDACTED
THOMAS SIDLEY	ADDRESS REDACTED
THOMAS SZABO	ADDRESS REDACTED
TRACY OLIVER	ADDRESS REDACTED
VANCLEF FINANCIAL GROUP	ADDRESS REDACTED
WACKER WEALTH PARTNERS, LLC	ADDRESS REDACTED
WARREN BRASCH	ADDRESS REDACTED
WAYNE MARSCHALL	ADDRESS REDACTED
WILLIAM C. AND JANI E. MCCORMICK FOUNDATION	ADDRESS REDACTED
WILLIAM C. MCCORMICK	ADDRESS REDACTED
WILLIAM GLASGOW	ADDRESS REDACTED
WILLIAM M. MALLOY III	ADDRESS REDACTED
WILLIAM RUH	ADDRESS REDACTED
WMI INVESTMENTS, LLC	ADDRESS REDACTED

Total count 110
