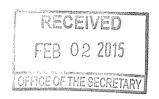
### WHITE ARNOLD & DOWD P.C.

January 30, 2015

#### Via Fed Ex

Hon. Carol Fox Foelak c/o Mr. Anthony F. Bruno Attorney Advisor Office of Administrative Law Judges Securities and Exchange Commission 100 F Street N.E. Washington, DC 20549-1090



Re:

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945 Motion Requesting Issuance of Subpoena to Regions Financial Corporation

### Dear Judge Foelak:

Enclosed please find the original Returns of Service for Neely issued trial subpoenas in the above-referenced matter. Our firm issued checks for a one day's attendance fee and roundtrip mileage to the Jefferson County Courthouse, Birmingham, AL. The checks were furnished with the subpoenas.

Please let me know if you need further information or have any questions.

Very truly yours,

Rebecca G. DePalma

RGD/sj Attachments cc: Augusta S. Dowd, Esq.
J. Mark White, Esq.
William M. Bowen, Jr., Esq.
Linda G. Flippo, Esq.
Katherine Rogers Brown, Esq.
M. Graham Loomis, Esq.
W. Shawn Murnahan, Esq.
Robert K. Gordon, Esq.

	PROOF	OF SERVICE	R	ECEIVED
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	A	ddress of Server	Suite 500  Birmingham, AL 3 205.323.1888	5203
ADDITIONAL INFORMATION  Subpoena issued to:  RE: In The Matter  Administrativ	TOM ADE	a. Neely, Jr.		



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: TOM ADERHOLD

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.
Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

on Jan. / 2

ADMINISTRATIVE LAW HIDGE

	NEW Package Express US Airbill  Fedex Tracking Number	878. OZ15	Sender's Copy	
1	From Please print and press hard.  Sender's FedEx	4 Express Package Service • To most NOTE: Service order has changed. Please select care	tlocations.  Packages up to 150 lbs.  For packages over 150 lbs., use the new Fodsk Express Freight US Airbill.	
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Rev. Date 11/10 • Part #163134 • @1994-2810 FedEx • PRINTED IN U.S.A. SRS

Search Subi My Profile Support Locations English Fed Track Manage Learn FedEx Office® Login FedEx \* Tracking Actual delivery : Wed 1/21/2015 8:27 am Ship (P/U) date Tues 1/20/2015 6:46 pm FL US BIRMINGHAM, AL US Delivered Signature not required Travel History Location Date/Time Activity 1/21/2015 - Wednesday 8:27 am Delivered Left at front door. Package delivered to recipient address - release authorized TAMPA, FL 6:27 am On FedEx vehicle for delivery 6.02 am At destination sort facility TAMPA SI MEMPHIS. TH 4:31 am In transit MEMPHIS, TN Departed FedEx location 3.44 am - 1/20/2015 - Tuesday 11.17 pm Arrived at FedEx location MEMPHIS, TN IRONDALE, AL 8.55 pm Left FedEx origin facility 6:46 pm Picked up IRONDALE, AL Shipment Facts FedEx First Overnight Service 876888485670 Shipper reference TOM NEELY-SEC Delivered To Residence Special handling Deliver Weekday, Residential Delivery Packaging FedEx Envelope Fed St. Search Subm Follow FedEx United States - English Featured Services Companies Customer Focus FedEx One Rate FedEx Express New Customer Center FedEx Ground Small Business Center FedEx SameDay FedEx Office Service Guide FedEx Home Delivery Healthcare Solutions FedEx Freight Customer Support My FedEx Office Rewards Online Retail Solutions FedEx Custom Critical FedEx Trade Networks Packaging Services Ancillary Clearance Services FedEx SupplyChain Company Information FedEx TechConnect About FedEx Careers Other Resources Investor Relations FedEx Compatible Developer Resource Center FedEx Ship Manager Software FedEx Mobile Global Home | Site Map | fedex com Terms of Use | Security and Privacy © FedEx 1995-2015

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ADDITIONAL INFORMATION	٧:				<del>am, AL 35203</del> 323.1888
Subpoena issued to:  RE: In The Matte Administrativ		F. Smith , Mims, R	ogers &	Smith	



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: CAREY BARRENTINE

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COM	APLY WITH THIS SUBPO	DENA.
Failure to comply may subject you to a fine and/o	or imprisonment.	
Signed, sealed and issued pursuant to Rule 232 of the Co	ommission's Rules of Practic	e by:
	/ , ,	
art Tux locas	on Jan. 1d	, 2015
ADMINISTRATIVE LAW JUDGE	$\mathcal{O}$	

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# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.
Failure to comply may subject you to a fine and/or imprisonment.
Signed, sealed and issued pursuant to Rule/232 of the Commission's Rules of Practice by:

on fam. 12 \_\_\_\_\_, 2015

This subpoena was issued at the request of counsel for Rebecca G. DePalma, White Arnold & Dowd P.C., 2025 Third Avenue North, Suite 500, Birmingham, Alabama 35203, <a href="mailto:redepalma@whitearnolddowd.com">redepalma@whitearnolddowd.com</a>; Phone: 205-323-1888, Fax 205-323-8907.

ADMINISTRATIVE LAW JUDGE

To:

JEFF CASH

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ADDITIONAL INFORMATION:				Suite 500 Birmingham, AL 35203 205.323.1888
Subpoena issued to:	DARLENE c/o Alfred F		OLER	
RE: In The Matter Administrative		_		



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: DARLENE CHANDLER c/o Regions Bank

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.	
Failure to comply may subject you to a fine and/or imprisonment.	
Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:	
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## UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: SCOTT CORRIGAN

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.

Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

ADMINISTRATIVE LAW JUDGE

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ADDITIONAL INFORMATION	:			203,323.1000
Subpoena issued to:	BRETT D. c/o Alfred I			
RE: In The Matter Administrative				



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: BRETT D. COUCH

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.
Failure to comply may subject you to a fine and/or imprisonment.
Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

ADMINISTRATIVE LAW JUDGE

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States of America true and correct.  (date)  Process Server e Arnold & Dowd P.C. TORNEYS AT LAW				
5 Third Avenue North ——Suite 500 —— mingham, AL 35203 205.323.1888				
Subpoena issued to: IRENE ESTEVES  RE: In The Matter of Thomas A. Neely, Jr. Administrative Proceeding No. 3-15945				



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: IRENE ESTEVES

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.

Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

ADMINISTRATIVE LAW JUDGE

, 201

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NEW Package Express US Airbill  Tacking Number	Form. 0215	Sender's Copy
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The FedEx US Airbill has changed. See Section 4. For shipments over 150 lbs., order the new FedEx Express Freight US Airbill.	lbs. S  10ur liability is limited to \$100 unless you declare a higher value. See agree to the service conditions on the back of this Airbill and in the cut that limit our liability.	

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Ship (P/U) date Tues 1/20/2015 6:46 pm

Actual delivery Wed 1/21/2015 9:50 am

BIRMINGHAM, AL US

Delivered

VA US

Signature not required

#### Travel History

Date/Time	Activity	Location
<b>-</b> 1/21/2015	- Wednesday	
9:50 am	Delivered	VA
7:47 am	Left at front door. Package delivered to recipient address - release authorized On FedEx vehicle for delivery	HAMPTON, VA
7.33 am	At local FedEx facility	HAMPTON, VA
6:19 am	At destination sort facility	NORFOLK, VA
3,45 am	Departed FedEx location	MEMPHIS, TO
- 1/20/2015	- Tuesday	
11.17 pm	Arrived at FedEx location	MEMPHIS, TH
8.55 pm	Left FedEx origin facility	IRONDALE, AL
6:46 pm	Picked up	IRONDALE, AL

#### Shipment Facts

Tracking number Delivered To

Packaging

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Shipper

FedEx First Overnight

reference

TOM NEELY - SEC

Special handling Deliver Weekday, Residential Delivery

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I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.  Executed on						
ADDITIONAL INFORMATION	V:				205.323.1888	
Subpoena issued to:  RE: In The Matter Administrative		F. Smith , Mims, R	logers d	& Smith		



## UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: SCARLETT FERINO

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.

Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 23/2 of the Commission's Rules of Practice by:

ADMINISTRATIVE LAW JUDGE

, 2013

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Subpoena issued to:	DAVID P.	FLORE	Y		



## UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: DAVID P. FLOREY

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.	
Failure to comply may subject you to a fine and/or imprisonment.	
Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:	
COTOL TOU TOLLOW on Jan. 12, 201	5
ADMINISTRATIVE LAW JUDGE	

	PROOF	OF SERVICE	
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			he United States of America Service is true and correct.
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	S	ignature of Server	White Arnold & Dowd P.C. ATTORNEYS AT LAW 2025 Third Avenue North
	F	Address of Server	Suite 500 Birmingham, AL 35203 205,323,1888
ADDITIONAL INFORMATION	<b>:</b>		
Subpoena issued to:	ANDREA		
	c/o Alfred Bainbridge	r. Smun , Mims, Rogers	& Smith
		Building, Suite	415
	Birminghai	m, AL 35223	
RE: In The Matter		♥ '	
Aummisu auv	e I rocceumg	110. <i>3-13</i> 743	



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: ANDREA FLORIO

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPL	Y WITH THIS SUBPO	ENA.
Failure to comply may subject you to a fine and/or in	nprisonment.	
Signed, sealed and issued pursuant to Rule 232 of the Comm	ission's Rules of Practice	by:
_ Carol tox toelow	on Jan. 12	, 2015
ADMINISTRATIVE LAW JUDGE		

PROOF OF SERVICE						
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KAthy Ins	mar	Yes 🗆 No	AMOUNT \$ 243.84			
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	Si	ignature of Server	Process Server White Arnold & Dowd P.C. ATTORNEYS AT LAW 2025 Third Avenue North			
	A	Address of Server	Suite 500  Birmingham, AL 35203 205.323.1888			
ADDITIONAL INFORMATION	ł:		ZW2.3/23.1000			
Subpoena issued to:  RE: In The Matter Administrativ	r of Thomas A	F. Smith , Mims, Rogers &  A. Neely, Jr.	Smith			



## UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: ROGER FOX

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.
Failure to comply may subject you to a fine and/or imprisonment.
Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:  (2015)  (2015)  (2015)
ADMINISTRATIVE LAW JUDGE //

PROOF OF SERVICE						
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	Α	ddress of S	erver	2025 Third Avenue North Suite 500		
<u></u>				Birmingham, AL 35203 205.323.1888		
ADDITIONAL INFORMATION	:			203.323.1666		
Subpoena issued to:  RE: In The Matter Administrative		a. Neely,				



### UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: LORI GOODSON

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

	NEW Package				NURL	
	Express US Airbill Tracking Number		Form 0215		Sender's Copy	
1	From Please print and press hard  Sender's FedEx Account Number  Sender's FedEx Account Number	4	Express Package Service • To most NOTE: Service order has changed. Please select care		Packages up to 150 lbs. For packages over 150 lbs., use the new FedEx Express Freight US Airbill.	
	Sender's Sherry Taharan	<b>A</b> -	Next Business Day FedEx First Overnight	Z or 3 Business	ar through the residence of the following section of the section o	
	Name Officially 3 Office Phone		Earliest next business morning delivery to select locations. Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.	MEW FedEx 2D Second business mo Saturday Delivery NO	rring.* PT available.	<u>ــــــــــــــــــــــــــــــــــــ</u>
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	Address 2025 3FD AVE N STE 500		FedEx Standard Overnight Next business afternoon.* Saturday Delivery NOT available.	FedEx Express Third business day.* Saturday Delivery NC	Saver OT available.	AND REIAIN
	City BIRMINGHAM State AL ZIP 35203-3331	5	Packaging • Declared value limit \$500.			THIS
2	Your Internal Billing Reference Rietz Scharzeturs will appear on invoice.  Neely—SEC Florations  Yell Aires	1	FedEx Envelope* FedEx Pak*	FedEx Box	FedEx Other	COPY BEFORE
3	To Recipients Michael J. Cranpelo		Special Handling and Delivery Signature Signature Signature of Fedex Standard Overnight, Fedex 2Day A.			FORE AF
	company Ernst + Young LLP		No Signature Required Direct	Signature est recipient's address for delivery. Fee applies	Indirect Signature If no one is evailable at recipient's address, someone at a neighboring address may sign for delivery. For	E NE
			Does this shipment contain dangerous good		residential deliveries only. Foe applies.	=
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	The FedEx US Airbill has changed. See Section 4. For shipments over 150 lbs., order the new FedEx Express Freight US Airbill.	agr	lbs. \$	.00 beck for details. By using this Airbi rent FedEx Service Guida, including	il you Lerms ELL	
	4001 4000 4000 4000 4000 4000 4000 4000	Roy	Date 11/10 • Part #163134 • ©1994-2010 FedEx • PRINTED IN U	.S.A. SRS		

& FedEx 1995-2015

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Fed FedEx Office ® Shin Track Manage Learn Login FedEx \* Tracking 876888485647 Ship (P/U) date : Thur 1/15/2015 7:17 pm Actual delivery Fri 1/16/2015 10:22 am BIRMINGHAM, AL US NY US Delivered Signed for by: T.DAVIS Travel History Location Date/Time Activity - 1/16/2015 - Friday 10:22 am Delivered NEW YORK, NY 8:27 am On FedEx vehicle for delivery NEW YORK NY 8 15 am At local FedEx facility 7 39 am Delivery exception NEW YORK, NY Customer not available or business closed HEWARK NO 7:15 am Departed FedEx location On FedEx vehicle for delivery KEW YORK, NY 7 14 am NEW YORK, M 7.09 am At local FedEx facility 6,13 am Arrived at FedEx location MEMPHIS, TH 3:12 am Departed FedEx location - 1/15/2015 - Thursday 11:16 pm Arrived at FedEx location MEMPHIS TH 8:54 pm Left FedEx origin facility IRONDALE AL Picked up IRONOM F AL 7 17 pm Shipment Facts Tracking Service FedEx First Overnight 876888485647 Shipper NEEL Y-SEC Delivered To Mailroom reference Special handling Deliver Weekday FedEx Envelope Packaging Search Subm Fed 5s. 鹽 United States - English Follow FedEx Featured Services Companies Customer Focus New Customer Center FedEx Express Small Business Center FedEx SameDay FedEx Ground FedEx Office Service Guide FedEx Home Delivery Healthcare Solutions FedEx Freight Customer Support My FedEx Office Rewards Online Retail Solutions FedEx Custom Critical FedEx Trade Networks Packaging Services Anallary Clearance Services Company Information FedEx TechConnect Other Resources Cateers Investor Relations FedEx Compatible Developer Resource Center FedEx Ship Manager Software FedEx Mobile

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			e United States of America ervice is true and correct.			
Executed on			(date)			
	Si	gnature of Server	Process Server White Arnold & Dowd P.C. ATTORNEYS AT LAW 2025 Third Avenue North			
	A	Address of Server	Suite 500 Birmingham, AL 35203 205.323.1888			
ADDITIONAL INFORMATION	V:		<del>203.325.1880</del>			
Subpoena issued to:  RE: In The Matter Administrativ		A. Neely, Jr.				

\*



## UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: GRANT HAINES

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.

Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

ADMINISTRATIVE LAW JUDGE

on January 12, 2019

	Tedex NEW Package Fodex Tracking 8768 8848 5647	Form. 0215 Sender's Copy	
1	From Please print and press hard.  Date / -/5 / 5 Sender's FedEx. Account Number SENDER'S FEDEX ACCOUNT A HARBER ONLY	4 Express Package Service • To most locations.  NOTE: Service order has changed. Please select carefully.  Packages up to 150 lbs.  Packages up to 150 lbs.  Packages aver 150 lbs. use the new FackExpress PackExpress PackEx	
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2	Vour Internal Billing Reference Pirst 24 characters will appear on invoice.  State AL ZIP 35203-3331  Good 50N  THAINES		JUNY BE
3	To Recipient's Michael J. Cranpel 2/2, 773-3815	6 Special Handling and Delivery Signature Options  SATURDAY Delivery  HDT available for FedEx Standard Overnight, FedEx 2Day A.M., or FedEx Express Saver.	ORE AFF
	company Ernst + Young LLP	No Signature Required Beckage may be left without Chaining a signature for delivery. The applies may sign for delivery. Fee applies.  Someone at recipient's address may sign for delivery. Fee applies. The applies of delivery. Fee applies and the applies of the	O I DELLY
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		One box must be checked.  Yes No As per attached Shipper's Declaration Dry Log	Aun
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		7 Payment Bill to:  Enter FedEx Acct. No. or Credit Card No. below.	9
		Sender Acct. No. in Section Acct. No. in Section Recipient Third Party Credit Card Cash/Check	2
	0440036285	FodEx Acts No. Date	
		Total Packages Total Weight Total Declared Value <sup>†</sup>	
	The FedEx US Airbill has changed. See Section 4. For shipments over 150 lbs., order the new FedEx Express Freight US Airbill.	10ur liability is limited to \$100 unless you declare a higher value. See back for details, by using this Airbill you agree to the service conditions on the back of this Airbill and in this current FedEx Service Guide, including terms that find our fieldlity.	

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FedEx \* Tracking

876888485647

Ship (P/U) date Thur 1/15/2015 7:17 pm

Actual delivery

Fri 1/16/2015 10:22 am

NEW YORK, NY

MEMPHIS, TN

BIRMINGHAM, AL US

Delivered

NY US

Signed for by: T.DAVIS

Travel History

Date/Time Activity Location - 1/16/2015 - Friday

10:22 am Delivered On FedEx vehicle for delivery 8.27 am 8-15 am At local FedEx facility

Departed FedEx location

NEW YORK, NY NEW YORK, NY 7:39 am Delivery exception Customer not available or business closed

NEWARK, NJ 7:15 am Departed FedEx location On FedEx vehicle for delivery NEW YORK, NY 7:14 am 7:09 am At local FedEx facility HEWYORK NY NEWARK NJ Arrived at FedEx location 6.13 am

- 1/15/2015 - Thursday

Arrived at FedEx location MEMPHIS, TN 11.18 pm Left FedEx origin facility IRONDALE, AL 8:54 pm 7:17 pm Picked up IRONDALE, AL

Shipment Facts

3:12 am

Tracking Service FedEx First Overnight 876888485647 number Shipper

NEELY-SEC Delivered To Mailroom reference Special handling Deliver Weekday Packaging FedEx Envelope

Fed 3x.

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# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: JOHN HALEY

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.

Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

ADMINISTRATIVÉ LAW JUDGE

January 12, 201

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Subpoena issued to:  RE: In The Matter Administrative		F. Smith Mims, R n, AL 35	223 , Jr.	z Smith	



### UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: GRAYSON HALL

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.
Failure to comply may subject you to a fine and/or imprisonment.
Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

on fam. / 2 , 201

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RECEIVED BY SERVER	DATE 1-80-15	PLACE		ord Ave. No., Suite 500 ngham, AL 35203
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	DECLARAT	TION OF	SERV	ER
•	mation contained	I in the Pr	Server	Process Server White Arnold & Dowd P.C. ATTORNEYS AT LAW
	P	Address of S	erver	Suite 500 Birmingham, AL 35203
ADDITIONAL INFORMATION	:			205.323.1888
Subpoena issued to:  RE: In The Matter Administrative		F. Smith , Mims, R	logers &	& Smith



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: DOUGLAS JACKSON

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.

Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

ADMINISTRATIVE LAW JUDGE

	PROOF	OF SERVICE	
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	Α	ddress of Server	2025 Third Avenue Suite 500 Birmingham, AL 3
ADDITIONAL INFORMATION:			205.323.1888
Subpoena issued to:	MARK JAl c/o Alfred I Bainbridge,		& Smith
RE: In The Matter of Administrative		•	



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: MARK JAREMA

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.
Failure to comply may subject you to a fine and/or imprisonment.
Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:
Carol toy tollale on Jan. 12 ,2019
ADMINISTRATIVE L'AW JUDGE

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ADDITIONAL INFORMATIO	N:	Address of Server	***************************************	2025 Thir St Birmingh 205.
Subpoena issued to:	c/o Alfred		rs & Smith	

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# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: LYNN JOHNSON

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.
Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

on fam. 12, 2015

ADMINISTRATIVE LAW JUDGE

PROOF OF SERVICE				
RECEIVED BY SERVER	DATE 1-20-15	PLACE		
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that the foregoing infor			he United States of America Service is true and correct.	
Executed on Law 1		el Ac	(date)	
		ignature of Server	Process Server White Arnold & Dowd P.C. ATTORNEYS AT LAW 3025 Third Avenue North Suite 500 Birmingham, AL 35203	
ADDITIONAL INFORMATION	₹:		205.323.1888	
Subpoena issued to:  RE: In The Matte Administrativ	c/o Alfred Bainbridge	, Mims, Rogers  A. Neely, Jr.	& Smith	



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: BRAD KIMBROUGH

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO CO	MPLY WITH THIS SUBPOENA.
Failure to comply may subject you to a fine and	d/or imprisonment.
Signed, sealed and issued pursuant to Rule 232 of the	Commission's Rules of Practice by:
Carol for toolah	12 200
	on yan./2 ,2015
ADMINISTRATIVE LAW JUDGE	

PROOF OF SERVICE						
RECEIVED BY SERVER	DATE	PLACE				
	1-20-15					
SERVED	DATE 1/20/15	PLAC				
SERVED ON (PRINT NAME)	/	FEES AND MILEAC	GE TENDERED TO WITNESS			
Kathy INNA	<i>,</i>	√O\Xes □ No	AMOUNT \$629.12			
SERVED BY (PRINT NAME)		TITLE				
Mike Curry		PACSE	ss Seaver			
	DECLARA	ΓΙΟΝ OF SER	VER			
			the United States of America f Service is true and correct.  (date)			
	/ <i>V</i> {	ignature of Server	>			
			Process Server White Arnold & Dowd P.C.			
	Ā	Address of Server	ATTORNEYS AT LAW 2025 Third Avenue North Suite 500			
ADDITIONAL INFORMATION	i:		Birmingham, AL 35203 205.323.1888			
Subpoena issued to:	_		& Smith			
RE: In The Matter of Thomas A. Neely, Jr. Administrative Proceeding No. 3-15945						

. 2



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: BOB KORTE

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA. Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

ADMINISTRATIVE LAW JUDGE

tan. 12 ,201

PROOF OF SERVICE				
RECEIVED BY SERVER	DATE 1-14-15	PLACE		
SERVED	DATE 1-14-15	PLACE		
SERVED ON (PRINT NAME)		FEES AND MILEAGE	TENDERED TO WITNESS	
William Cla	RK	Yes No (*previously issued)		
SERVED BY (PRINT NAME)		TITLE		
INM WAGGON	ER	LAW FIRM	PROCESS SERVER	
	DECLARAT	TION OF SERVE	ER	
Executed on			Process Server White Arnold & Dowd P.C. ATTORNEYS AT LAW 2025 Third Avenue North Suite 500	
		Address of Server	Birmingham, AL 35203 205.323.1888	
Subpoena issued to:  RE: In The Matte Administrativ	JEFFREY	•		



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: JEFFREY C. KUEHR

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COM	MPLY WITH THIS SUBPOEN	IA.
Failure to comply may subject you to a fine and/		
Signed, sealed and issued pursuant to Rule 232 of the C	ommission's Rules of Practice by	r:
Carol tox toeld	on Jan. 12	, 2015
ADMINISTRATIVE LAW JUDGE	— <del>7</del>	

PROOF OF SERVICE				
RECEIVED BY SERVER	DATE 1-15-15	PLACE		
SERVED	DATE 1-15-15	PLACE		
SERVED ON (PRINT NAME)	wis	FEES AND MILEAGE TEN		
SERVED BY (PRINT NAME) Sherry Johnson		TITLE: Paralegal for	White Arnold & Dowd P.C.	
	DECLARAT	ΓΙΟΝ OF SERVER		
that the foregoing infor  Executed on	rmation contained	d in the Proof of Serv	United States of America vice is true and correct.  (date)  WHITE ARNOLD 8  2025 Third Avenue North, Suite 500,	
ADDITIONAL INFORMATION	Ň:			
Subpoena issued to:  RE: In The Matte Administrativ	r of Thomas A	_		



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: DAVID ARTHUR LEWIS

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COM	MPLY WITH THIS SUBPOENA.	
Failure to comply may subject you to a fine and/	or imprisonment.	
Signed, sealed and issued pursuant to Rule 232 of the Co	1	2015
ADMINISTRATIVE LAW JUDGE		

The FedEx US Airbill has changed. See Section 4. For shipments over 150 lbs., order the new FedEx Express Freight US Airbill.

Sender's Conv

190.00

4	Express Package Service • To mo: NOTE: Service order has changed. Please select ca	est locations.	Packages up to 1 For packages over 150 lbs., use Fedex Expross Freight U	the new
	Next Business Day		2 or 3 Business Days	
X	FedEx First Overnight Earliest next business morning delivery to select locations. Fridey shipments will be delivered on Mondey unless SATURDAY Delivery is selected.	1 1 1 1	NEW FedEx 2Day A.M. Second business morning.* Seturday Dolivery NOT available.	Ç
	FedEx Priority Overnight Next business morning.* Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.	;	FedEx 2Day Second business afternoon,* Thursday shipments will be delivored on Monday unless SATURDAY Delivery is selected.	
	FedEx Standard Overnight Next business afternoon.* Seturday Delivery NOT available.		FedEx Express Saver Third business day.* Saturday Dalivery NOT available.	
5	Packaging • Declared value limit \$500.			
×	FedEx Envelope* FedEx Pak*	,	FedEx FedEx D	Other
6	Special Handling and Delivery Si	ignature	Options	
	SATURDAY Delivery NOT available for FedEx Standard Overnight, FedEx 2Day A	LM., or FedEx l	Express Saver.	
X	Package may be left without Someon	et Signatur ne et recipion! gn for delivery.	s address someone at a neigh	boring : For
E	loes this shipment contain dangerous goo			
	No Yes Yes Shipper's Declaration. Shipper's Dot required	eclaration	Dry Ice Dry Ice, 9, UN 1845	kg
Dang or pla	erous goods (including dry ice) cannot be shipped in FedEx pac ced in a FedEx Express Drop Box.	ckeging	Cargo Aircraft Only	
7	Payment Bill to:			
	Enter FedEx Acct.	No. or Credit	Card No. below.	

Credit Card

<sup>†</sup>Our liability is limited to \$100 unless you declare a higher value. See back for details. By using this Airbill you agree to the service conditions on the back of this Airbill and in the current FedEx Service Guide, including terms that limit our liability.

Total Declared Value<sup>1</sup>

Pll

Cash/Check

Rev. Date 11/10 • Part #163134 • @1994-2010 FodEx • PRINTED IN U.S.A. SRS

Total Weight

Total Packages

@ FedEx 1995-2015

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Support Locations (##2 Facilish Search Subi Fed Shìp Track FedEx Office ® Manage Learn Login FedEx \* Tracking 876888485658 Ship (P/U) date : Thur 1/15/2015 7:17 pm Actual delivery . Fri 1/16/2015 7:44 am BIRMINGHAM, AL US NC US Delivered Signature not required Travel History Date/Time Location - 1/16/2015 - Friday 7:44 am Delivered Left at front door. Package delivered to recipient address - release authorized 6:58 am On FedEx vehicle for delivery CHARLOTTE, NO 6:11 am At destination sort facility CHARLOTTE, NO 3:52 am Departed FedEx location MEMPHIS. Th - 1/15/2015 - Thursday 11.18 pm Arrived at FedEx location MEMPHIS, TH Left FedEx origin facility IRONOALE, AL 8:54 pm IRONDALE, AL 7:17 pm Picked up Shipment Facts Tracking Service FedEx First Overnight 876888485658 Shipper NEELY-SEC MATTER Delivered To Residence reference Packaging FedEx Envelope Special handling Deliver Weekday, Residential Delivery Fed St. **Signal United States - English** Customer Focus Featured Services Follow FedEx Companies New Customer Center FedEx One Rate FedEx Express FedEx Ground Small Business Center FedEx SameDay FedEx Office Service Guide FedEx Home Delivery Healthcare Sciutions FedEx Freight My FedEx Office Rewards Online Retail Solutions FedEx Custom Critical Packaging Services FedEx Trade Networks Company Information Ancillary Clearance Services FedEx SupplyChain About FedEx FedEx TechConnect Careers Other Resources Investor Relations FedEx Compatible Developer Resource Center FedEx Ship Manager Software FedEx Mobile

PROOF OF SERVICE					
RECEIVED BY SERVER	-20-15	PLACE			
SERVED D	20/15	PLACE	ı		
SERVED ON (PRINT NAME)  WITNESS  Yes No AMOUNT \$ 59.04  SERVED BY (PRINT NAME)  TITLE					
MIKE CLERA	<u>لـــــــ</u>	1 re	rls	s Server	
	DECLARAT	TION OI	FSERV	'ER	
Executed on	I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.  Executed on				
	Address of Server Birmingham, AL 35203 205.323.1888			Birmingham, AL 35203 205.323.1888	
ADDITIONAL INFORMATION:					
Subpoena issued to:  SHARRI LOGSDON  c/o Alfred F. Smith  Bainbridge, Mims, Rogers & Smith  RE: In The Matter of Thomas A. Neely, Jr.  Administrative Proceeding No. 3-15945					



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: SHARRI LOGSDON

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.	
Failure to comply may subject you to a fine and/or imprisonment.	
Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:	
	2015
ADMINISTRATIVE LAW JUDGE	

	PROOF	OF SERVICE		
RECEIVED BY SERVER	DATE 1-20-15	PLACE		
SERVED	DATE 1 20 15		,	
SERVED ON (PRINT NAME)		FEES AND MILEAGE	E TENDERED TO WITNESS	
KATh INMA	)	Yes 🗆 No	AMOUNT \$ <u>41.68</u>	
SERVED BY (PRINT NAME)		TITLE		
Mike Cua	eny	Proces=	s Seaver	
	DECLARAT	TION OF SERV	ER	
<del>-</del>			Service is true and correct.  (date)	
Signature of Server  Signature of Server  Aits Arnold & Dowd P.C.  TTORNEYS AT LAW  025 Third Avenue North  Suite 500  Address of Server				
205.323.1888				
ADDITIONAL INFORMATION	<b>N:</b>			
Subpoena issued to:  TIM McCARTHY  c/o Alfred F. Smith  Bainbridge, Mims, Rogers & Smith  Birmingham, AL 35223				
RE: In The Matte		• .		



### UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: Tim McCarthy
Regions Bank

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS ST	UBPOENA.
Failure to comply may subject you to a fine and/or imprisonment.	
Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of P	ractice by:
Carol tou koelah on land	10
	2015
ADMINISTRATIVE L'AW JUDGE	

PROOF OF SERVICE				
RECEIVED BY SERVER	DATE -20-15	PLACE		
SERVED	DATE 1/20/5	Pl		
SERVED ON (PRINT NAME)		FEES AND MILEAGE	E TENDERED TO WITNESS	
KAthy Jump	9	Yes 🗆 No	amount \$54.00	
SERVED BY (PRINT NAME)		TITLE		
Mike Cyany	9	Proces	s Server	
/	DECLARAT	TION OF SERV	ER	
I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.  Executed on				
			Birmingham, AL 35203 205.323.1888	
ADDITIONAL INFORMATION:				
Subpoena issued to:  ANDY McCRITE  c/o Alfred F. Smith  Bainbridge, Mims, Rogers & Smith  RE: In The Matter of Thomas A. Neely, Jr.  Administrative Proceeding No. 3-15945				

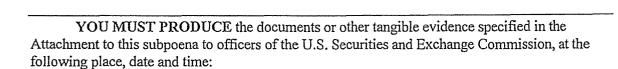


# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To:

ANDY McCRITE



YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.
Failure to comply may subject you to a fine and/or imprisonment.
Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:
On Van ./2 ,2015
ADMINISTRATIVE LAW JUDGE

PROOF OF SERVICE					
RECEIVED BY SERVER	1-27-US	PLACE			
SERVED	DATE / 25/15	PLACE			
SERVED ON PRINT NAME)	155 st	FEES AND MILEAGE	ETENDERED TO WITNESS  AMOUNT \$75.84		
SERVED BY (PRINT NAME)	4.HC	TITLE	4		
7	DECLARAT	TION OF SERV	ER		
I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.  Executed on					
ADDITIONAL INFORMATION	ADDITIONAL INFORMATION:				
Subpoena issued to:  GERTRUDE "Trudy" MAYOROS c/o Alfred F. Smith Bainbridge, Mims, Rogers & Smith Birmingham, AL 35223  RE: In The Matter of Thomas A. Neely, Jr. Administrative Proceeding No. 3-15945					



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: GERTRUDE "Trudy" MAYOROS

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

PROOF OF SERVICE				
RECEIVED BY	DATE	PLACE		
SERVED	DATE	PLACE 3		
SERVED ON (PRINT NAME)		FEES AND MILEAGE	E TENDERED TO WITNESS	
KEYOSHA C	REEN	Yes □ No	amount \$ <u>48.96</u>	
SERVED BY (PRINT NAME)		TITLE		
Wm. WAGGON	IEN	LAW Firm	PROCESS SERVER	
	DECLARA	TION OF SERV	ER	
I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.  Executed on Jan. 14, 2015 (date)  Signature of Server Process Server White Arnold & Dowd P.C. ATTORNEYS AT LAW  Address of Server 2025 Third Avenue North Suite 500				
ADDITIONAL INFORMATION	N:		Birmingham, AL 35203 205.323.1888	
Subpoena issued to:  LISA MEAD  c/o Maxwell H. Pulliam  The Historical Kress Building  RE: In The Matter of Thomas A. Neely, Jr.  Administrative Proceeding No. 3-15945				



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: LISA MEAD

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.

Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

ADMINISTRATIVE LAW JUDGE

This subpoena was issued at the request of counsel for Rebecca G. DePalma, White Arnold & Dowd P.C., 2025 Third Avenue North, Suite 500, Birmingham, Alabama 35203, <a href="mailto:red-rep-length: red-rep-length: red-rep-le

	PROOF	OF SERVICE	
RECEIVED BY SERVER	DATE 1-14-15	PLACE	
SERVED	DATE /-15-15	PLACE	
SERVED ON (PRINT NAME)		FEES AND MILEAGE	TENDERED TO WITNESS
STEPHANIE	MOORE	Yes 🗆 No	amount \$ <u>46.16</u>
SERVED BY (PRINT NAME)		TITLE	
WM WAGG	DNER	LAW FIRM	leoness Server
	DECLARAT	TION OF SERV	ER
Executed on 54	S	ignature of Server	Process Servi White Arnold & Do ATTORNEYS AT 2025 Third Avenue Suite 500
A DOUTION A WEST AND A STATE OF THE STATE OF			Birmingham, AL 3 205.323.1886
ADDITIONAL INFORMATION	l:		
Subpoena issued to:		TE MOORE FirstBank Headqu	arters
RE: In The Matte Administrativ		•	



### UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: STEPHANIE MOORE
c/o ServisFirstBank Headquarters

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.

Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

ADMINISTRATIVE LAW JUDGE

G DePalma White Arnold &

PROOF OF SERVICE				
RECEIVED BY SERVER	1-20-15	PLACE		
SERVED	1/20/15			
SERVED ON (PRINT NAME)  Kathy Iso N	(AA)	FEES AND MILEAC	ge tendered to witness  Amount \$_690.16	
served by (PRINT NAME)  Mike Cua	ear	Paoce	SS Servio	
	DECLARAT	TION OF SER	VER	
I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.  Executed on				
Address of Server Suite 500  Birmingham, AL 35203 205.323.1888				
ADDITIONAL INFORMATION:				
Subpoena issued to:  DAVID PAPKE  c/o Alfred F. Smith  Bainbridge, Mims, Rogers & Smith  RE: In The Matter of Thomas A. Neely, Jr.  Administrative Proceeding No. 3-15945				



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:			
VOLUMET ATTEND AND TECTIEV before an Administrative Law Judge of the U.S.			
YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and ime (and from day to day, as may be required, until completion of the hearing):			
February 23, 2015 @ 9:00 a.m.			
Circuit Court of Jefferson County			
716 No. Richard Arrington Jr. Blvd., 6 <sup>th</sup> Floor Birmingham, AL 35203			
FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.			
Failure to comply may subject you to a fine and/or imprisonment.			
Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:			
(and tool toolal and 12 2016			

This subpoena was issued at the request of counsel for Rebecca G. DePalma, White Arnold & Dowd P.C., 2025 Third Avenue North, Suite 500, Birmingham, Alabama 35203, <a href="mailto:rdepalma@whitearnolddowd.com">rdepalma@whitearnolddowd.com</a>; Phone: 205-323-1888, Fax 205-323-8907.

ADMINISTRATIVE LÁW JUDGE

DAVID PAPKE

To:

PROOF OF SERVICE			
RECEIVED BY SERVER	DATE 1-0-15	PLACE	
SERVED	DATE 1/20/15	PLAC B	
SERVED ON (PRINT NAME)		FEES AND MILEAGE TENDERED TO WITNESS	
KATHY INMAN		Yes □ No AMOUNT \$ <u>47.28</u>	
SERVED BY (PRINT NAME)		TITLE	
MIKE CURRY		Process Senver	
DECLARATION OF SERVER			
I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.  Executed on //2 o/ S (date)  Signature of Server Process Server White Arnold & Dowd P.C.			
ATTORNEYS AT LAW 2025 Third Avenue North Address of Server Suite 500			
Birmingham, AL 35203 205.323.1888			
ADDITIONAL INFORMATION:			
Subpoena issued to:  DOWD RITTER  c/o Alfred F. Smith  Bainbridge, Mims, Rogers & Smith			
RE: In The Matter of Thomas A. Neely, Jr. Administrative Proceeding No. 3-15945			



### UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.
Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

On ADMINISTRATIVE LAW JUDGE

on ADMINISTRATIVE LAW JUDGE

This subpoena was issued at the request of counsel for Rebecca G. DePalma, White Arnold & Dowd P.C., 2025 Third Avenue North, Suite 500, Birmingham, Alabama 35203, <a href="mailto:rdepalma@whitearnolddowd.com">rdepalma@whitearnolddowd.com</a>; Phone: 205-323-1888, Fax 205-323-8907.

To:

DOWD RITTER

PROOF OF SERVICE				
RECEIVED BY SERVER	DATE	PLACE		
	1-22-15			
SERVED	DATE	PLACE		
VIA Fed Ex 876888485691	1-23215			
SERVED ON (PRINT NAME)	7	FEES AND MILEAGE TENDERED TO WITNESS		
Craif F. K	ogers	Yes □ No AMOUNT \$_348.77		
SERVED BY (PRINT NAME)		TITLE		
SHERRY JOHNSON		Paralegal – White Arnold & Dowd P.C.		
	DECLARAT	TION OF SERVER		
I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.  Executed on  Signature of Server  Process Server White Arnold & Dowd P.C ATTORNEYS AT LAW 2025 Third Avenue North Suite 500 Birmingham, AL 35203 205 323 1888				
Subpoena issued to:  CRAIG F. ROGERS  RE: In The Matter of Thomas A. Neely, Jr. Administrative Proceeding No. 3-15945				

A STATE



### UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY	Y WITH THIS SUBPOENA.
Failure to comply may subject you to a fine and/or im	prisonment.
Signed, sealed and issued pursuant to Rule 232 of the Commi	ission's Rules of Practice by:
	$\Omega$ .
Cant tox toelas	on tan. (2, 2015
ADMINISTRATIVE LAW JUDGE	

This subpoena was issued at the request of counsel for Rebecca G. DePalma, White Arnold & Dowd P.C., 2025 Third Avenue North, Suite 500, Birmingham, Alabama 35203, <a href="mailto:rdepalma@whitearnolddowd.com">rdepalma@whitearnolddowd.com</a>; Phone: 205-323-1888, Fax 205-323-8907.

**CRAIG ROGERS** 

To:

FedEx Tracking Number

1 From Please print and press hard Sender's FedEx Account Number SEROLA'S PEOLEGISCH ABUSES SECT Phone 20 1323-1888 Company WHITE ARNOLD Addres Dept/Floor/Sulte/Room 2 Your Internal Billing Reference First 24 characters will appear on invoice.

Company

3 To

We cannot deliver to P.O. boxes or P.O. ZIP codes.

Address

DLD Weekday Ex location address DURED, NOT available for

HOLD Saturday
FedEx location address
REQUIRED, Available ONLY for
FedEx Priority Ovamight and

0440036285

The FedEx US Airbill has changed. See Section 4. For shipments over 150 lbs., order the new FedEx Express Freight US Airbill

Phone (

Dept/Roor/Suits/Room

Form 0215

Sender's Conv

FedEx First Overnight Saftest next business morning delivery to select locations. Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.  FedEx Priority Overnight Next business morning. Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.  FedEx Standard Overnight FedEx Standard Overnight Next business afternoon.*	Packages up to 150 lbs. For packages our it'd lbs. use he new FedEx Express Freight US Airbill.  3 Equations Days V FedEx 2Day A.M. at business morting: 4 by elivery NOT available.  Ex 2Day us business afernoon.* Thursday shipments a delivered on Monday unless SATURDAY ry is selected.				
FedEx First Overnight Saftest next business morning delivery to select locations. Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.  FedEx Priority Overnight Next business morning. Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.  FedEx Standard Overnight FedEx Standard Overnight Next business afternoon.*	V FedEx 2Day A.M.  d business morning." lay Delivery NOT availabla.  Ex 2Day  d business afternoon." Trursday shipments  d elivered on Monday unless SATURDAY				
Section and business morting delivery to select Ocetions. Fladly shipments will be delivered on Monday unless SATURDAY Delivery is selected.  FedEx Priority Overnight Next business mortining. *Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.  FedEx Standard Overnight Next business afternoon. *	nd business morning." Jey Delivery NOT availabla.  EX 2Day Al business afternoon." Thursday shipments of diversed on Monday unless SATURDAY				
Next business morning- Triday shipments will be delivered on Monday unless SATURDAY Delivery will be used to selected.  FedEx Standard Overnight FedEx Standard Overnight Third Triday Delivery Standard Overnight Third Triday Standard Overnight Third Thi	nd business afternoon.* Thursday shipments a delivered on Monday unless SATURDAY				
Next business afternoon.*					
Satur	Ex Express Saver business day.* day Delivery NOT available.				
5 Packaging * Doctared value limit \$500.					
FedEx Envelope* FedEx Pak* B	edEx FedEx Other				
6 Special Handling and Delivery Signature Options					
SATURDAY Delivery NOT evailable for FedEx Standard Overnight, FedEx 2Day A.M., or FedEx Expre					
No Signature Required Package may be left without obtaining a signature for delivery.  Direct Signature Someone at trecipient's address may sign for delivery. Fee applies regional difference of the signature of					
Does this shipment contain dangerous goods?	residential deliveries only. Fee applies.				
One hox must be checked.	Drylce				
No As per attached Shipper's Declaration not required.	Dry ICe 9, UN 1845 x kg				
Dangerous goods (including dry ice) cannot be shipped in FedEx packaging or placed in a FedEx Express Drop Box.	Cargo Aircraft Only				
7 Payment <i>Bill to</i> :					
Enter FedEx Acct. No. or Credit Card	No. below.				
Sender Act No.in Section Recipient Third Party	Credit Card Cash/Check				
FedExact No. Credit Card No.	Exp. Onte				
Total Packages Total Weight Total Declared Value					
lbs. \$					
Our liability is limited to \$100 unless you declare a higher value. See back for details, B agree to the service conditions on the back of this Arbill and in the current FedEx Service	y using this Airbii you				

Rov. Date 11/10 • Part #163134 • @1994-2010 FodEx • PRINTED IN U.S.A. SRS

My Profile Support Locations English Search Subi Fed Ship FedEx Office ® Track Manage Learn Login FedEx \* Tracking Ship (P/U) date : Thur 1/22/2015 6:39 pm Actual delivery Fri 1/23/2015 9:55 am sc us BIRMINGHAM, AL US Delivered Signature not required Travel History Date/Time Location Activity - 1/23/2015 - Friday 9:55 am Delivered Left at front door. Package delivered to recipient address - release authorized 8:14 am On FedEx vehicle for delivery ANDERSON, SC 6.23 am At destination sort facility GREER, SC Departed FedEx location 4:22 am - 1/22/2015 - Thursday 11:35 pm Arrived at FedEx location MEMPHIS, IN Left FedEx origin facility 8:55 cm 6.39 pm Picked up IRONDALE, AL Shipment Facts FedEx First Overnight Tracking number Service 876888485691 Shipper TOM NEELY SEC Delivered To Residence Special handling Deliver Weekday, Residential Delivery Packaging FedEx Envelope section Fed Pox Search Subn Will United States - English Follow FedEx Customer Focus Featured Services Companies New Customer Center FedEx One Rate FedEx Express

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FedEx Ground FedEx Office FedEx Freight FedEx Custom Critical FedEx Trade Networks FedEx SupplyChain FedEx TechConnect

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PROOF OF SERVICE					
RECEIVED BY SERVER	1-27-15	PLACE			
SERVED	DATE 1/28/15	PLACE			
SERVED ON (PRINT NAME)  FEES AND MILEAGE TENDERED TO WITNESS  X Yes  No AMOUNT \$ 46.16					
SERVED BY (PRINT NAME)	t	TITLE	JJ	×	
	DECLARAT	TION OI	SERV	ER	
I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.  Executed on  Signature of Server  Process Server White Arnold & Dowd P.C. ATTORNEYS AT LAW 2025 Third Avenue North Suite 500 Birmingham, AL 35203 205.323.1888					and correct. (date)  Server & Dowd P.C. //S AT LAWvenue North 500 a, AL 35203
ADDITIONAL INFORMATION:					
Subpoena issued to:  TRACY SHEEHY c/o Alfred F. Smith Bainbridge, Mims, Rogers & Smith  RE: In The Matter of Thomas A. Neely, Jr. Administrative Proceeding No. 3-15945					



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: TRACY SHEEHY

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

PROOF OF SERVICE				
RECEIVED BY SERVER	DATE 1-20-15	PLACE		
SERVED	DATE 1	PL.		
SERVED ON (PRINT NAME)		FEES AND MILEAC	GE TENDERED TO WITNESS	
Kathy Innon		Yes 🗆 No	AMOUNT \$ 218.64	
SERVED BY (PRINT NAME)		TITLE		
M, Ke Clu	enl	flocas	& Serva	
	DECLARAT	TION OF SERV	VER	
Executed on Signature of Server  Signature of Server  Process Server White Arnold & Dowd P.C. ATTORNEYS AT LAW 2025 Third Avenue North Suite 500 Birmingham, AL 35203 205.323.1888				
Subpoena issued to:  MICHAEL FRANKLIN SMITH c/o Alfred F. Smith Bainbridge, Mims, Rogers & Smith  RE: In The Matter of Thomas A. Neely, Jr. Administrative Proceeding No. 3-15945				



### UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: MICHAEL FRANKLIN SMITH "Mike"

following place, date and time:

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COM	IPLY WITH THIS SUBPOEN	IA.
Failure to comply may subject you to a fine and/o	or imprisonment.	
Signed, sealed and issued pursuant to Rule 232 of the Co	ommission's Rules of Practice by	<b>':</b>
	7	
Carol tox tollar	on (200.12	, 2015
ADMINISTRATIVE LAW JUDGE	7	<del></del>

PROOF OF SERVICE					
RECEIVED BY	DATE	PLACE			
SERVED	DATE 1-15-15	PLACE PLACE			
SERVED ON (PRINT NAME)		FEES AND MILEAGE TENDERED TO WITNESS			
Allen Sto	asley	Yes   No AMOUNT \$_208.00			
SERVED BY (PRINT NAME) Sherry JE	Sherry Johnson white Arnold + Dowd P.C.				
	DECLARA	ΓΙΟΝ OF SERVER			
I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.  Executed on  Signature of Server  Process Server White Arnold & Dowd P.C. ATTORNEYS AT LAW 2025 Third Avenue North Suite 500 Birmingham, AL 35203					
ADDITIONAL INFORMATION: 205.323.1888					
Subpoena issued to:  ALLEN STANLEY  c/o Federal Reserve Bank of Atlanta  RE: In The Matter of Thomas A. Neely, Jr.  Administrative Proceeding No. 3-15945					



### UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: ALLEN STANLEY

c/o Federal Reserve Bank of Atlanta

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

Februaru 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.

Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

ADMINISTRATIVE LAW JUDGE

ben 12 .20

NEW Package Express US Airbill  Fodex Tracking Number  Fodex Tracking Number	Form 0215 Sender's Copy
1 From Please print and press hard.  Date 1575 Sender's FedEx Account Number SENDER'S CERTSON ACCOUNT Number	4 Express Package Service • To most locations.  NOTE: Service order has changed. Please select carefully.  Packages over 150 lbs. use the new Foots Express Freight US Alrbill.
Sender's Sherry Johnson Phone	Nord Business Day  2 or 3 Business Days  FedEx First Overnight Earliest next business morning delivery to select  Second business morning.*
Company WHITE ARNOLD A SEE & DOWD PC	Ocations. Friday chipments will be delivered on Monday unless SATURDAY Delivery is selected.  Fed Ex Priority. Overnight Next business morning.* Friday shipments will be delivered on Monday unless SATURDAY of the selection of t
Add Dopt/Floor/Suitu/Roc	is selected.  Fed Ex Standard Overnight Next business afternoon. Saturday Delivery NOT available.  Delivery is salected.  Fed Ex Express Saver Third business day. Saturday Delivery NOT available.
2 Your Internal Billing Reference Neely - SEGETTIALASE	5 Packaging *Declared value limit \$500.  FedEx Envelope* FedEx Pak* FedEx Tube Other
3 To Recipient's Allen Stanley Phone ( )	6 Special Handling and Delivery Signature Options  SATURDAY Delivery 101 available for Fadex Standard Overnight, Fadex 2Day A.M., or Fadex Express Sever.
company Federal Reserve Bank of Atlanta	No Signature Required  Someone at recipients address may sign for delivery. Fee applies.  Indirect Signature If no one is a mulable at recipient's address someone at neighboring address someone at neighboring address someone vision for delivery. For residential delivering only the expelles.
D Weekday Joseph anddress RED, NOT available to	Does this shipment contain dangerous goods? One box must be checked.
We cannot deliver to P.O. boxes or P.O. ZIP codes.  Dept/Ploor/Suite/Room HOLD Saturday Fodex hocation address Address  Address	arcianad in a Endry Evenes from Roy
Use this line for the HOLD location address or for continuation of your shipping address.	7 Payment Bill to:  Enter FedEx Acct. No. or Credit Card No. below.
0440035285	Sender  Sender Section Section Recipient Third Party Credit Card Cash/Check Fotik-Act No. Description Section Date  Sender Cash/Check Fotik-Act No. Date  Sen Date  Sen Date  Sen Date  Sen Date  Sen Date  Sen Date
The FedEx US Airbill has changed. See Section 4. For shipments over 150 lbs., order the new FedEx Express Freight US Airbill.	Total Packages Total Weight Total Declared Value†    los. s

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PRHS 1

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My Profile Support Locations Will English Search Subi Fed Ship Track Manage Learn FedEx Office ® Login FedEx \* Tracking Actual delivery Fri 1/16/2015 7:57 am Ship (P/U) date : Thur 1/15/2015 7:17 pm BIRMINGHAM, AL US GA US Delivered Signed for by. P.RANSOM Travel History Date/Time Location - 1/16/2015 - Friday 7:57 am Delivered 8:55 am On FedFx vehicle for delivery 5.39 am At local FedEx facility ATLANTA, QA 4.59 am At destination sort facility Departed FedEx location 3.07 am - 1/15/2015 - Thursday 11:18 pm Arrived at FedEx location MEMPHIS TH Left FedEx origin facility ARTHURAL P. 41 8:54 pm Picked up IRONDALS, AL 7:17 pm Shipment Facts Tracking Service FedEx First Overnight 876888485669 Shipper reference NEELY-SEC CASE Receptionist/Front Dask Delivered To Special handling Deliver Weekday FedEx Envelope Packaging Search Subm FedEx. 機能 United States - English Follow FedEx Customer Focus Featured Services Companies FedEx One Rate New Customer Center FedEx Ground FedEx Office Small Business Center FedEx SameDay Service Guide FedEx Home Delivery Healthcare Solutions FedEx Freight Customer Support My FedEx Office Rewards Online Retail Solutions FedEx Custom Critical FodEx Trade Networks Packaging Services FedEx SupplyChain Company Information Ancillary Clearance Services FedEx TechConnect Careers Other Resources Investor Relations FedEx Compatible Developer Resource Center FedEx Ship Manager Software FedEx Mobile

	PROOI	F OF SERVICE
RECEIVED BY SERVER	DATE	PLACE
32.X. B.X	1-20-15	
SERVED	DATE -15	PLACE PLACE
SERVED ON (PRINT NAME)		FEES AND MILEAGE TENDERED TO WITNESS
		Yes 🗆 No AMOUNT S 215.84
SERVED BY (PRINT NAME)		TITLE
Sherry Johnson		Paralegal – White Arnold & Dowd P.C.
	DECLARA	TION OF SERVER
ADDITIONAL INFORMATION		Address of Server  Address of Server  Signature of Server  White Arnold & Dowd  ATTORNEYS AT LA  2025 Third Avenue N  Suite 500  Birmingham, AL 353  205.323.1888
ADDITIONAL INFORMATION		205.323.1888
Subpoena issued to:		EGARDEN



### UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

YOU DOUGH DOUBLISH A THE THE TOTAL SECTION OF THE T

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.

Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

ADMINISTRATIVE LAW JUDGE

Jan /2 , 201

This subpoena was issued at the request of counsel for Rebecca G. DePalma, White Arnold & Dowd P.C., 2025 Third Avenue North, Suite 500, Birmingham, Alabama 35203, <a href="mailto:redepalma@whitearnolddowd.com">redepalma@whitearnolddowd.com</a>; Phone: 205-323-1888, Fax 205-323-8907.

To:

**BILL TEEGARDEN** 

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FedEx \* Tracking

876888485706

Ship (P/U) date Tues 1/20/2015 6:46 pm

Actual delivery : Wed 1/21/2015 7:24 am

Location

MARIETTA, GA

ATLANTA, GA

MEMPHIS, TN

MEMPHIS, TN

IRONDALE, AL

IRONDALE, AL

GΑ

BIRMINGHAM, AL US

Delivered

GA US

Signature not required

Travel History

Date/Time

Activity

- 1/21/2015 - Wednesday

7:24 am

Delivered

Left at front door. Package delivered to recipient address - release authorized

On FedEx vehicle for delivery

6;42 am 4:37 am

At destination sort facility

Departed FedEx location 2:43 am

- 1/20/2015 - Tuesday

11:17 pm

Arrived at FedEx location

8:55 pm

6.46 pm

Tracking number

Shipment Facts

876888485706

Left FedEx origin facility

Picked up

FedEx First Overnight

Service Shipper

TOM NEELY-SEC

Delivered To Residence Packaging FedEx Envelope

Companies

FedEx Express

FedEx Ground

FedEx Office

FedEx Freight

Special handling Deliver Weekday, Residential Delivery

FedFax.

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**New Customer Center** Small Business Center

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PROOF OF SERVICE					
RECEIVED BY SERVER	DATE 1-20-15	PLACE		. )	
SERVED	DATE 12015	PL		. 911 0/1/16	
SERVED ON (PRINT NAME)	V) (			TENDERED TO WITNESS	
Kally Invan		Yes	□ No	AMOUNT \$ <u>48.96</u>	
SERVED BY (PRINT NAME)		TITLE			
Mike au	ery	Proc	185 E	Seaver	
	DECLARAT	TION OF	SERV	ER	
I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.  Executed on   Signature of Server  White Arnold & Dowd PC. ATTORNEYS AT LAW					
Address of Server Suite 500 Birmingham, AL 35203					
ADDITIONAL INFORMATION:					
Subpoena issued to:  DAVID JACKSON TURNER, JR.  c/o Alfred F. Smith  Bainbridge, Mims, Rogers & Smith					
RE: In The Matter of Thomas A. Neely, Jr. Administrative Proceeding No. 3-15945					



### UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: <u>DAVID JACKSON TURN</u>ER, JR.

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.

Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

Cant tou tollaw or

. 2015

ADMINISTRATIVE LAW'JUDGE

PROOF OF SERVICE					
RECEIVED BY	DATE	PLACE			
	1-14-15				
SERVED	DATE	PLACE			
				WITNESS	
GWEN W	AMBIES	Yes	□ No	AMOUNT \$ 46.72	
SERVED BY (PRINT NAME)		TITLE			
WM WAGE	ONEL	LAW	Fil	n PROCESS SERVER	
	DECLARAT	TION OI	SERV	ER	
I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.					
Executed on 5A	~ 16, 201	5		(date)	
	n Waxay	ignature of	Server	Process Server White Arnold & Dowd P.C. ATTORNEYS AT LAW 2025 Third Avenue North Suite 500	
	F	Address of	Server	Birmingham, AL 35203 205.323.1888	
ADDITIONAL INFORMATION	N:				
Subpoena issued to:  C/O BBVA Compass Bank  RE: In The Matter of Thomas A. Neely, Jr.  Administrative Proceeding No. 3-15945					



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: GWEN WAMBLES

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.

Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

ADMINISTRATIVE LAW HIDGE

PROOF OF SERVICE						
RECEIVED BY SERVER	DATE 1-20-15	PLACE				
SERVED	DATE 1/20/15	1	; ,			
SERVED ON (PRINT NAME)		FEES AND MILEAGE	TENDERED TO WITNESS  AMOUNT \$52.88			
SERVED BY (PRINT NAME)  MIKC CHILL	H.	Process	Server			
	DECLARATION OF SERVER					
I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.  Executed on 123115 (date)						
Executed on V	Ma	to Cer	(date)			
		gnature of Server	Process Server White Arnold & Dowd P.C. ATTORNEYS AT LAW 2025 Third Avenue North Suite 500			
			Birmingham, AL 35203 205.323.1888			
ADDITIONAL INFORMATION:						
Subpoena issued to:  WILLIAM WELLS  c/o Alfred F. Smith  Bainbridge, Mims, Rogers & Smith						
RE: In The Matter of Thomas A. Neely, Jr. Administrative Proceeding No. 3-15945						



### UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: WILLIAM WELLS

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.
Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

administrative Law Judge

PROOF OF SERVICE						
RECEIVED BY SERVER	DATE 1-22-15	PLACE				
SERVED	DATE 1-22-15	PLACE				
SERVED ON (PRINT NAME)		FEES AND MILEAGE TENDERED TO WITNESS				
MAIBETH PORTER		Yes 🗆 No	AMOUNT \$ 610.64			
SERVED BY (PRINT NAME)		TITLE				
WM WAGG	ONER	LAW Firm	PROCESS SERVER			
	DECLARAT	TION OF SERVI	ER			
I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.						
Executed on	N 22, 2	015	(date)			
Process Server White Arnold & Dowd P.C. ATTORNEYS AT LAW 1025 Third Avenue North Suite 500  Address of Server  Address of Server  Process Server White Arnold & Dowd P.C. ATTORNEYS AT LAW 1025 Third Avenue North Suite 500  Address of Server 205.323.1888						
ADDITIONAL INFORMATION:						
Subpoena issued to:  JOHN ROBERTS  c/o Maibeth Porter  Maynard, Cooper & Gale, P.C.  RE: In The Matter of Thomas A. Neely, Jr.  Administrative Proceeding No. 3-15945						



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: JOHN ROBERTS

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

Circuit Court of Jefferson County 716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.
Failure to comply may subject you to a fine and/or imprisonment.
Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

On Jan - / 2 , 2015

ADMINISTRATIVE LAW JUDGE

PROOF OF SERVICE				
RECEIVED BY	DATE	PLACE		
	1-15-15			
SERVED	DATE 1-15-15	PLACE		
SERVED ON (PRINT NAME)		S AND MILEAGE	ed)	
SERVED BY (PRINT NAME)  Sherry Je	physon	Paral White	lega L- Arnold & Dowd R.C.	
/	DECLARA	TION OF SERV	ER	
_			ne United States of America Service is true and correct.	
Executed on	-15-15 hory de	kra	(date)	
	$\bigcup \bigcup S$	ignature of Server	<b>₩</b>	
Manager and the second of the			WHITE ARNOLD & DOW	/D
	A	Address of Server	2025 Third Avenue North, Suite 500, Birming	ham, AL 3520
ADDITIONAL INFORMATION	<b>V</b> :			
Subpoena issued to:  RE: In The Matte Administrativ	r of Thomas A		нву	

TRANSMISSION VERIFICATION REPORT

: 01/15/2015 10:57

NAME FAX

TEL SER.# : U62700J1N902968

DATE, TIME FAX NO./NAME DURATION PAGE(S) RESULT

01/15 10:56 5810799 00:00:40 03 STANDARD **ECM** 

### White Arnold & Dowd P.C.

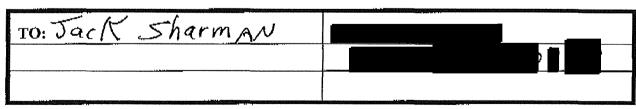
### 2025 Third Avenue North Birmingham, AL 35203

**FACSIMILE NUMBER: TELEPHONE NUMBER: (205) 323-1888** 

(205) 323-8907

FACSIMILE TRANSMISSION COVER SHEET

FROM:



### **CONFIDENTIALITY NOTICE**

The documents accompanying this cover sheet contain information from the law firm of White Arnold & Dowd P.C. The information is confidential and is intended only for the --- - ft - in dividual an antity to which it is addressed. The information may be exhibit to



### **UNITED STATES OF AMERICA** SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

MICHAEL J. WILLOUGHBY To:

YOU MUST PRODUCE the documents or other tangible evidence specified in the Attachment to this subpoena to officers of the U.S. Securities and Exchange Commission, at the following place, date and time:

YOU MUST ATTEND AND TESTIFY before an Administrative Law Judge of the U.S. Securities and Exchange Commission, at a hearing in this matter, at the following place, date and time (and from day to day, as may be required, until completion of the hearing):

February 23, 2015 @ 9:00 a.m.

**Circuit Court of Jefferson County** 716 No. Richard Arrington Jr. Blvd., 6th Floor Birmingham, AL 35203

FEDERAL LAW REQUIRES YOU TO COMPLY WITH THIS SUBPOENA.

Failure to comply may subject you to a fine and/or imprisonment.

Signed, sealed and issued pursuant to Rule 232 of the Commission's Rules of Practice by:

This subpoena was issued at the request of counsel for Rebecca G. DePalma, White Arnold & Dowd P.C., 2025 Third Avenue North, Suite 500, Birmingham, Alabama 35203, rdepalma@whitearnolddowd.com; Phone: 205-323-1888, Fax 205-323-8907.

PROOF OF SERVICE					
RECEIVED BY SERVER	DATE 1-20-15	PLACE			
SERVED	DATE .		į		
SERVED ON (PRINT NAME)		FEES AND MILEAGE TENDERED TO WITNESS			
DAVID B. EDMONDS		Yes [	□ No	AMOUNT \$ 55.68	
SERVED BY (PRINT NAME)		TITLE			
WM. WAGO	SONEN	LAW	Fire	m PROCESS SERVER	
	DECLARAT	TION OF S	SERVI	ER	
I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.					
Executed on JAN 21, 2015 (date)					
Signature of Server White Arnold & Do ATTORNEYS AT 2025 Third Avenue			Process Server White Arnold & Dowd P.C. ATTORNEYS AT LAW 2025 Third Avenue North Suite 500		
	Α	Address of Se	rver	Birmingham, AL 35203 205.323.1888	
ADDITIONAL INFORMATION:					
Subpoena issued to:  DAVID B. EDMONDS  RE: In The Matter of Thomas A. Neely, Jr.  Administrative Proceeding No. 3-15945					



# UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of Thomas A. Neely, Jr., Administrative Proceeding No. 3-15945

To: DAVID B. EDMONDS

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ADMINISTRATIVE LÁW JUDGE

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ADMINISTRATIVE LAW JUDGE