

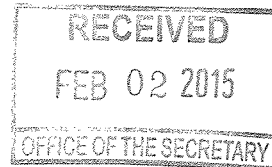


WHITE ARNOLD & DOWD P.C.

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

January 30, 2015

Page 2

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**

RECEIVED  
FEB 02 2015  
OFFICE OF THE SECRETARY

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
--------------------	-----------------	---------------------

SERVED [REDACTED]	DATE 1-21-15	PLACE [REDACTED]
-------------------	-----------------	---------------------

SERVED ON (PRINT NAME) Tom Aderhold	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ 689.04
--	--

SERVED BY (PRINT NAME) Sherry Johnson	TITLE Paralegal
--	--------------------

**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 1-20-15 (date)

*Sherry Johnson*  
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

Address of Server

**ADDITIONAL INFORMATION:**

Subpoena issued to: **TOM ADERHOLD**

[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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:

  
**ADMINISTRATIVE LAW JUDGE**

on Jan. 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**FedEx** Express **NEW Package US Airbill**

FedEx Tracking Number

[Redacted Tracking Number]

**1 From** Please print and press hard.

Date 1-20-15 Sender's FedEx Account Number SENDER'S FEDEX ACCOUNT NUMBER

Sender's Name Sherry Johnson Phone [Redacted]

Company WHITE ARNOLD & DUND PC

Address [Redacted] Dept./Floor/Suite/Room [Redacted]

City BIRMINGHAM State AL ZIP 35203-0331

**2 Your Internal Billing Reference** First 24 characters will appear on invoice.

Tom Neely-SEC

**3 To Recipient's Name**

Tom Aderhold Phone [Redacted]

Company [Redacted] Dept./Floor/Suite/Room [Redacted]

Address [Redacted]

City [Redacted]

0440036285

Form ID No. **0215** **Sender's Copy**

**4 Express Package Service** \*To most locations.

NOTE: Service order has changed. Please select carefully.

Packages up to 150 lbs. For packages over 150 lbs., use the new FedEx Express Freight US Airbill.

- |   |  |
|---|--|
| <p><b>Next Business Day</b></p> <p><input checked="" type="checkbox"/> <b>FedEx First Overnight</b><br/>Earliest next business morning delivery to select locations. Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.</p> <p><input type="checkbox"/> <b>FedEx Priority Overnight</b><br/>Next business morning.* Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.</p> <p><input type="checkbox"/> <b>FedEx Standard Overnight</b><br/>Next business afternoon.* Saturday Delivery NOT available.</p> | <p><b>2 or 3 Business Days</b></p> <p><input type="checkbox"/> <b>NEW FedEx 2Day A.M.</b><br/>Second business morning.* Saturday Delivery NOT available.</p> <p><input type="checkbox"/> <b>FedEx 2Day</b><br/>Second business afternoon.* Thursday shipments will be delivered on Monday unless SATURDAY Delivery is selected.</p> <p><input type="checkbox"/> <b>FedEx Express Saver</b><br/>Third business day.* Saturday Delivery NOT available.</p> |
|---|--|

**5 Packaging** \*Declared value limit \$500.

- FedEx Envelope\*  FedEx Pak\*  FedEx Box  FedEx Tube  Other

**6 Special Handling and Delivery Signature Options**

- SATURDAY Delivery**  
NOT available for FedEx Standard Overnight, FedEx 2Day A.M., or FedEx Express Saver.
- No Signature Required**  
Package may be left without obtaining a signature for delivery.
- Direct Signature**  
Someone at recipient's address may sign for delivery. *Fee applies.*
- Indirect Signature**  
If no one is available at recipient's address, someone at a neighboring address may sign for delivery. For residential deliveries only. *Fee applies.*

- Does this shipment contain dangerous goods?** One box must be checked.
- No  Yes As per attached Shipper's Declaration.  Yes Shipper's Declaration not required.  Dry Ice 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 Bill to:**

- Enter FedEx Acct. No. or Credit Card No. below.
- Sender** Acct. No. in Section will be billed.  Recipient  Third Party  Credit Card  Cash/Check
- FedEx Acct. No. / Credit Card No. \_\_\_\_\_ Exp. Date \_\_\_\_\_

Total Packages \_\_\_\_\_ Total Weight \_\_\_\_\_ lbs. Total Declared Value<sup>1</sup> \_\_\_\_\_ \$ \_\_\_\_\_ .00

<sup>1</sup>Your 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.

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

PULL AND RETAIN THIS COPY BEFORE AFFIXING TO THE PACKAGE. NO POUCH NEEDED.

611



FedEx® Tracking



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

Actual delivery:  
Wed 1/21/2015 8:27 am

BIRMINGHAM, AL US

**Delivered**

FL US

Signature not required

Travel History

Date/Time	Activity	Location
<b>1/21/2015 - Wednesday</b>		
8:27 am	Delivered	FL
	Left at front door. Package delivered to recipient address - release authorized	
6:27 am	On FedEx vehicle for delivery	TAMPA, FL
6:02 am	At destination sort facility	TAMPA, FL
4:31 am	In transit	MEMPHIS, TN
3:44 am	Departed FedEx location	MEMPHIS, TN
<b>1/20/2015 - Tuesday</b>		
11:17 pm	Arrived at FedEx location	MEMPHIS, TN
8:55 pm	Left FedEx origin facility	IRONDALE, AL
6:46 pm	Picked up	IRONDALE, AL

Shipment Facts

Tracking number	876888485670	Service	FedEx First Overnight
Delivered To	Residence	Shipper reference	TOM NEELY-SEC
Packaging	FedEx Envelope	Special handling section	Deliver Weekday, Residential Delivery



- Customer Focus
- New Customer Center
- Small Business Center
- Service Guide
- Customer Support
- My FedEx Office Rewards

- Company Information
- About FedEx
- Careers
- Investor Relations

- Featured Services
- FedEx One Rate
- FedEx SameDay
- FedEx Home Delivery
- Healthcare Solutions
- Online Retail Solutions
- Packaging Services
- Ancillary Clearance Services

- Other Resources
- FedEx Compatible
- Developer Resource Center
- FedEx Ship Manager Software
- FedEx Mobile

- Companies
- FedEx Express
- FedEx Ground
- FedEx Office
- FedEx Freight
- FedEx Custom Critical
- FedEx Trade Networks
- FedEx SupplyChain
- FedEx TechConnect

Follow FedEx

United States - English

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
--------------------	-----------------	---------------------

SERVED	DATE 1/20/15	PLACE [REDACTED] 95M. PL [REDACTED] c. Rd. AL 35228
--------	-----------------	---

SERVED ON (PRINT NAME) KATHY INMAN	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ 50.08
---------------------------------------	---

SERVED BY (PRINT NAME) Mike Curry	TITLE 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 1/20/15 (date)

*Mike Curry*  
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

Address of Server

**ADDITIONAL INFORMATION:**

Subpoena issued to: CAREY BARRENTINE  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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.**

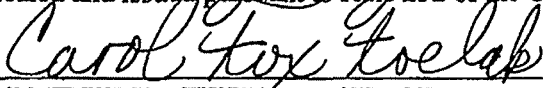
**Circuit Court of Jefferson County  
716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor  
Birmingham, AL 35203**

---

**FEDERAL LAW REQUIRES YOU TO 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. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.



**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE 2025 3 <sup>rd</sup> Ave. No., Suite 500 Birmingham, AL 35203
SERVED	DATE 1/20/15	PLACE [REDACTED]
SERVED ON (PRINT NAME) Kathy Inman	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ <u>696.32</u>	
SERVED BY (PRINT NAME) Mike Curran	TITLE 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 1/20/15 (date)  
[Signature] Process Server  
White Arnold & Dowd P.C.  
ATTORNEYS AT LAW  
2025 Third Avenue North  
Suite 500  
Birmingham, AL 35203  
Address of Server 205.323.1888

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** JEFF CASH  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **JEFF CASH**



---

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

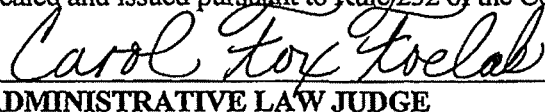
**Circuit Court of Jefferson County  
716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor  
Birmingham, AL 35203**

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 on Jan. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE 2025 3 <sup>rd</sup> Ave. No., Suite 500 Birmingham, AL 35203
--------------------	-----------------	---

SERVED	DATE 1/20/15	PLACE [REDACTED]
--------	-----------------	---------------------

SERVED ON (PRINT NAME) Kathy Inman	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ <u>41.12</u>
---------------------------------------	--

SERVED BY (PRINT NAME) Mike Cherry	TITLE 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 1/15/20 (date)  
[Signature]  
Signature of Server

Address of Server  
Process Server  
White Arnold & Dowd P.C.  
ATTORNEYS AT LAW  
2025 Third Avenue North  
Suite 500

ADDITIONAL INFORMATION:  
Birmingham, AL 35203  
205.323.1888

Subpoena issued to: **DARLENE CHANDLER**  
c/o Alfred F. Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.**  
**Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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:

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

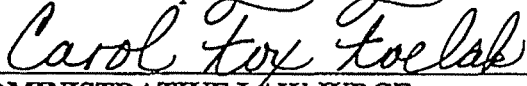
**Circuit Court of Jefferson County  
716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor  
Birmingham, AL 35203**

---

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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. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
--------------------	-----------------	---------------------

SERVED	DATE 1/20/15	PLACE [REDACTED]
--------	-----------------	---------------------

SERVED ON (PRINT NAME) Kathy Inman	[REDACTED] WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ 713.12
---------------------------------------	--

SERVED BY (PRINT NAME) Mike Quay	TITLE 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 1/20/15 (date)

*Mike Quay*  
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

**ADDITIONAL INFORMATION:**

Subpoena issued to: SCOTT CORRIGAN  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **SCOTT CORRIGAN**



---

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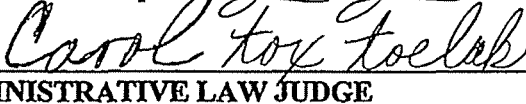
**Circuit Court of Jefferson County  
716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor  
Birmingham, AL 35203**

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 on Jan. 12, 2015  
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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](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
--------------------	-----------------	---------------------

SERVED	DATE 1/20/15	PLACE [REDACTED]
--------	-----------------	---------------------

SERVED ON (PRINT NAME) KATHY INMAN	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ 689.60
---------------------------------------	--

SERVED BY (PRINT NAME) Mike Curry	TITLE 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 1/20/15 (date)

[Signature]  
Signature of Server  
Process Server  
White Arnold & Dowd P.C.  
ATTORNEYS AT LAW  
1025 Third Avenue North  
Suite 500  
Birmingham, AL 35203  
205.323.1888

**ADDITIONAL INFORMATION:**

Subpoena issued to: **BRETT D. COUCH**  
c/o Alfred F. Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.**  
**Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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:

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**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 Toelak* on *Jan. 12*, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.



**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED Fed Ex: [REDACTED]	DATE 1-21-15	PLACE [REDACTED]
SERVED ON (PRINT NAME) Irene Esteves	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No   AMOUNT \$ <u>888.12</u>	
SERVED BY (PRINT NAME) Sherry Johnson	TITLE Paralegal – White Arnold & Dowd P.C.	

**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 1/20/15 Sherry Johnson (date)  
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

**ADDITIONAL INFORMATION:**

Subpoena issued to: **IRENE ESTEVES**  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **IRENE ESTEVES**



---

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**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**

---

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

*Carol Fox Loebel*  
**ADMINISTRATIVE LAW JUDGE**

on Jan. 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**FedEx** *NEW Package*  
Express *US Airbill*

FedEx  
Tracking  
Number

[Redacted Tracking Number]

**1 From** *Please print and press hard*

Date 1-20-15 Sender's FedEx Account Number [Redacted] SENDER'S FEDEX ACCOUNT NUMBER ONLY

Sender's Name Sherry Johnson Phone [Redacted]

Company WHITE ARNOLD & DOWD PC

Address [Redacted] Dept./Floor/Suite/Room [Redacted]

**2 Your Internal Billing Reference**  
First 24 characters will appear on invoice.

Tom Neely - SEC

**3 To Recipient's Name**

Irene Esteves Phone [Redacted]

Company [Redacted]

Address [Redacted] Dept./Floor/Suite/Room [Redacted]

Address [Redacted] State VA ZIP [Redacted]

0440036285

Form ID No. 0215 **Sender's Copy**

**4 Express Package Service** \*To most locations.

NOTE: Service order has changed. Please select carefully.

**Packages up to 150 lbs.**  
For packages over 150 lbs., use the new FedEx Express Freight US Airbill.

- | Next Business Day  | 2 or 3 Business Days  |
|--|---|
| <input checked="" type="checkbox"/> <b>FedEx First Overnight</b><br><small>Earliest next business morning delivery to select locations. Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.</small> | <input type="checkbox"/> <b>NEW FedEx 2Day A.M.</b><br><small>Second business morning.* Saturday Delivery NOT available.</small>  |
| <input type="checkbox"/> <b>FedEx Priority Overnight</b><br><small>Next business morning.* Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.</small>  | <input type="checkbox"/> <b>FedEx 2Day</b><br><small>Second business afternoon.* Thursday shipments will be delivered on Monday unless SATURDAY Delivery is selected.</small> |
| <input type="checkbox"/> <b>FedEx Standard Overnight</b><br><small>Next business afternoon.* Saturday Delivery NOT available.</small>  | <input type="checkbox"/> <b>FedEx Express Saver</b><br><small>Third business days.* Saturday Delivery NOT available.</small>  |

**5 Packaging** \*Declared value limit \$500.

- FedEx Envelope\*  
  FedEx Pak\*  
  FedEx Box  
  FedEx Tube  
  Other

**6 Special Handling and Delivery Signature Options**

- SATURDAY Delivery**  
NOT available for FedEx Standard Overnight, FedEx 2Day A.M., or FedEx Express Saver.
- No Signature Required**  
Package may be left without obtaining a signature for delivery.
- Direct Signature**  
Someone at recipient's address may sign for delivery. *Fee applies.*
- Indirect Signature**  
If no one is available at recipient's address, someone at a neighboring address may sign for delivery. For residential deliveries only. *Fee applies.*

**Does this shipment contain dangerous goods?**

- No  
  Yes As per attached Shipper's Declaration.  
  Yes Shipper's Declaration not required.  
  Dry Ice Dry Ice, 9, UN 1845 \_\_\_\_\_ x \_\_\_\_\_ kg  
  Cargo Aircraft Only
- Dangerous goods (including dry ice) cannot be shipped in FedEx packaging or placed in a FedEx Express Drop Box.

**7 Payment Bill to:**

- Sender** Acct. No. in Section 1 will be billed.  
  Recipient  
  Third Party  
  Credit Card  
  Cash/Check
- Enter FedEx Acct. No. or Credit Card No. below.
- FedEx Acct. No. [Redacted]  
 Credit Card No. [Redacted]  
 Exp. Date [Redacted]

Total Packages \_\_\_\_\_ Total Weight \_\_\_\_\_ lbs. Total Declared Value<sup>1</sup> \_\_\_\_\_ \$ \_\_\_\_\_ .00

<sup>1</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.

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

PULL AND RETAIN THIS COPY BEFORE AFFIXING TO THE PACKAGE. NO POUCH NEEDED.



### FedEx® Tracking



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>1/21/2015 - Wednesday</b>		
9:50 am	Delivered	VA
	Left at front door. Package delivered to recipient address - release authorized	
7:47 am	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, TN
<b>1/20/2015 - Tuesday</b>		
11:17 pm	Arrived at FedEx location	MEMPHIS, TN
8:55 pm	Left FedEx origin facility	IRONDALE, AL
6:46 pm	Picked up	IRONDALE, AL

### Shipment Facts

<b>Tracking number</b>	876888485680	<b>Service</b>	FedEx First Overnight
<b>Delivered To</b>	Residence	<b>Shipper reference</b>	TOM NEELY - SEC
<b>Packaging</b>	FedEx Envelope	<b>Special handling section</b>	Deliver Weekday, Residential Delivery



- Customer Focus**
- [New Customer Center](#)
- [Small Business Center](#)
- [Service Guide](#)
- [Customer Support](#)
- [My FedEx Office Rewards](#)

- Company Information**
- [About FedEx](#)
- [Careers](#)
- [Investor Relations](#)

- Featured Services**
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- Other Resources**
- [FedEx Compatible](#)
- [Developer Resource Center](#)
- [FedEx Ship Manager Software](#)
- [FedEx Mobile](#)

- Companies**
- [FedEx Express](#)
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- [FedEx Freight](#)
- [FedEx Custom Critical](#)
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- [FedEx SupplyChain](#)
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[United States - English](#)

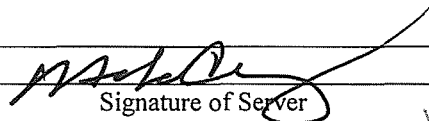
**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	PLACE [REDACTED]
SERVED ON (PRINT NAME) Kathy INMAN	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ 61.84	
SERVED BY (PRINT NAME) Mike Curry	TITLE 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 1/20/15 (date)

  
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

Address of Server

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** SCARLETT FERINO  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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 232 of the Commission's Rules of Practice by:

 on Jan. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE <i>1-14-15</i>	PLACE [REDACTED]
SERVED	DATE <i>1-15-15</i>	PLACE [REDACTED]
SERVED ON (PRINT NAME) <i>DAVID P. FLOREY</i>	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No   AMOUNT \$ <u>143.60</u>	
SERVED BY (PRINT NAME) <i>WM. WAGGONER</i>	TITLE <i>LAW FIRM PROCESS SERVER</i>	

**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 *JAN 15, 2015* (date)

*Wm Waggoner*  
Signature of Server      Process Server  
White Arnold & Dowd P.C.  
ATTORNEYS AT LAW  
2025 Third Avenue North  
Suite 500  
Birmingham, AL 35203  
205.223.1888

**ADDITIONAL INFORMATION:**

**Subpoena issued to:      DAVID P. FLOREY**  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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**



---

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---

**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. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.



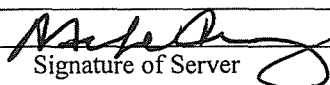
**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	[REDACTED]
SERVED ON (PRINT NAME) Kathy Inman	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ <u>50.08</u>	
SERVED BY (PRINT NAME) Mark Beard	TITLE 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 1/20/15 (date)

  
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

Address of Server

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** ANDREA FLORIO  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
600 Luckie Building, Suite 415  
Birmingham, AL 35223

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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.**

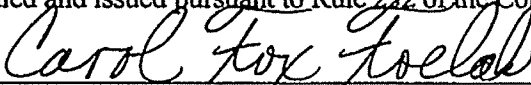
**Circuit Court of Jefferson County  
716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor  
Birmingham, AL 35203**

---

**FEDERAL LAW REQUIRES YOU TO 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. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	[REDACTED]
SERVED ON (PRINT NAME) Kathy Iasman	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No   AMOUNT \$ <u>243.84</u>	
SERVED BY (PRINT NAME) Mike Bryant	TITLE 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 1/20/15 (date)

  
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

Address of Server

**ADDITIONAL INFORMATION:**

Subpoena issued to: **ROGER FOX**  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.**  
**Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **ROGER FOX**

[REDACTED]  
[REDACTED]

---

**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 Fox Koelak* on *Jan. 12*, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-15-15	PLACE [REDACTED]
SERVED [REDACTED]	DATE [REDACTED]	PLACE [REDACTED]
SERVED ON (PRINT NAME) Michael Crane	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ 48.96	
SERVED BY (PRINT NAME) Sherry Johnson	TITLE Paralegal White Arnold & Dowd P.C.	

**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 1-15-15 (date)

Sherry Johnson  
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

Address of Server

**ADDITIONAL INFORMATION:**

Subpoena issued to: **LORI GOODSON**  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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**

---

**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 Fox Toelak* on *Jan. 12*, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**FedEx** *NEW Package*  
Express *US Airbill*

FedEx  
Tracking  
Number

[Redacted]

Form ID No. **0215** **Sender's Copy**

**1 From** *Please print and press hard.*  
Date 1-15-15 Sender's FedEx Account Number SENDER'S FEDEX ACCOUNT NUMBER ONLY  
Sender's Name Sherry Johnson Phone [Redacted]  
Company WHITE ARNOLD & BOND PC  
Address 2025 3RD AVE N STE 500  
City BIRMINGHAM State AL ZIP 35203-3331

**2 Your Internal Billing Reference**  
First 24 characters will appear on invoice. Neely - SEC [Goodson] [HAINES]

**3 To**  
Recipient's Name Michael J. Crane Phone [Redacted]  
Company ERNST + YOUNG LLP

[Redacted]

0440036285

**4 Express Package Service** \*To most locations. *Packages up to 150 lbs. For packages over 150 lbs., use the new FedEx Express Freight US Airbill.*  
NOTE: Service order has changed. Please select carefully.  
**Next Business Day**  
 FedEx First Overnight  
Earliest 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  
Next business afternoon.\* Saturday Delivery NOT available.  
**2 or 3 Business Days**  
 NEW FedEx 2Day A.M.  
Second business morning.\* Saturday Delivery NOT available.  
 FedEx 2Day  
Second business afternoon.\* Thursday shipments will be delivered on Monday unless SATURDAY Delivery is selected.  
 FedEx Express Saver  
Third business day.\* Saturday Delivery NOT available.

**5 Packaging** \*Declared value limit \$500.  
 FedEx Envelope\*  FedEx Pak\*  FedEx Box  FedEx Tube  Other

**Special Handling and Delivery Signature Options**  
 SATURDAY Delivery  
NOT available for FedEx Standard Overnight, FedEx 2Day A.M., or FedEx Express Saver.  
 No Signature Required  
Package may be left without obtaining a signature for delivery.  
 Direct Signature  
Someone at recipient's address may sign for delivery. *Fee applies.*  
 Indirect Signature  
If no one is available at recipient's address, someone at a neighboring address may sign for delivery. *For residential deliveries only. Fee applies.*

**Does this shipment contain dangerous goods?**  
One box must be checked.  
 No  Yes  
As per attached Shipper's Declaration.  Yes  
Shipper's Declaration not required.  Dry Ice  
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 Bill to:** Enter FedEx Acct. No. or Credit Card No. below.  
 Sender Acct. No. in Section 4 will be billed.  Recipient  Third Party  Credit Card  Cash/Check  
FedEx Acct. No. Credit Card No. Exp. Date

Total Packages \_\_\_\_\_ Total Weight \_\_\_\_\_ lbs. Total Declared Value† \$ \_\_\_\_\_ .00

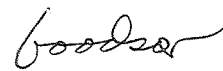
**The FedEx US Airbill has changed. See Section 4.**  
For shipments over 150 lbs., order the new FedEx Express Freight US Airbill.

†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.

Rev. Date 11/10 • Part #183134 • ©1994-2010 FedEx • PRINTED IN U.S.A. SRS

PULL AND RETAIN THIS COPY BEFORE AFFIXING TO THE PACKAGE. NO POUCH NEEDED.

611



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Ship Track Manage Learn FedEx Office®

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FedEx® Tracking

876888485647

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

Actual delivery  
Fri 1/16/2015 10:22 am

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	NY
8:27 am	On FedEx vehicle for delivery	NEW YORK, NY
8:15 am	At local FedEx facility	NEW YORK, NY
7:39 am	Delivery exception	NEW YORK, NY
	Customer not available or business closed	
7:15 am	Departed FedEx location	NEWARK, NJ
7:14 am	On FedEx vehicle for delivery	NEW YORK, NY
7:09 am	At local FedEx facility	NEW YORK, NY
6:13 am	Arrived at FedEx location	NEWARK, NJ
3:12 am	Departed FedEx location	MEMPHIS, TN
- 1/15/2015 - Thursday		
11:18 pm	Arrived at FedEx location	MEMPHIS, TN
8:54 pm	Left FedEx origin facility	IRVINGDALE, AL
7:17 pm	Picked up	IRVINGDALE, AL

Shipment Facts

Tracking number	876888485647	Service	FedEx First Overnight
Delivered To	Mailroom	Shipper reference	NEELY-SEC
Packaging	FedEx Envelope	Special handling section	Deliver Weekday



Search Subr

**Customer Focus**  
 New Customer Center  
 Small Business Center  
 Service Guide  
 Customer Support  
 My FedEx Office Rewards

**Company Information**  
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 Careers  
 Investor Relations

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 FedEx SameDay  
 FedEx Home Delivery  
 Healthcare Solutions  
 Online Retail Solutions  
 Packaging Services  
 Ancillary Clearance Services

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 FedEx Ship Manager Software  
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**Companies**  
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 FedEx Office  
 FedEx Freight  
 FedEx Custom Critical  
 FedEx Trade Networks  
 FedEx SupplyChain  
 FedEx TouchConnect

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United States - English



**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-15-15	PLACE [REDACTED]
SERVED [REDACTED]	[REDACTED]	PLACE [REDACTED]
SERVED ON (PRINT NAME) Michael Crane	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ 45.60	
SERVED BY (PRINT NAME) Sherry Johnson	TITLE Paralegal White Arnold & Dowd P.C.	

**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 1-15-15 (date)  
Sherry Johnson  
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

Address of Server

**ADDITIONAL INFORMATION:**

Subpoena issued to: **GRANT HAINES**  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **GRANT HAINES**  
[REDACTED]

---

**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 Fox Foelak on January 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

# FedEx Express NEW Package US Airbill

FedEx Tracking Number

8768 8848 5647

Form ID No.

0215

Sender's Copy

1 From *Please print and press hard.*  
 Date 1-15-15 Sender's FedEx Account Number SENDER'S FEDEX ACCOUNT NUMBER ONLY

Sender's Name Sherry Johnson Phone [REDACTED]

Company WHITE ARNOLD & SOND PC

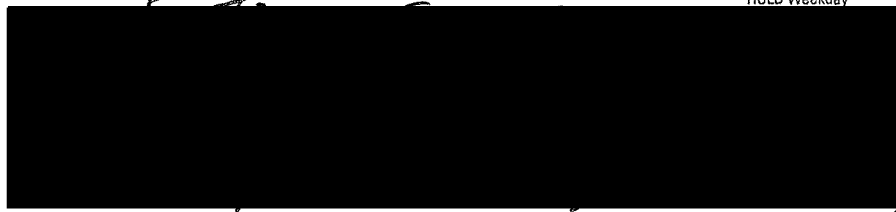
Address [REDACTED] Dept./Floor/Suite/Room

City BIRMINGHAM State AL ZIP 35203-3331

2 Your Internal Billing Reference Neely - SEC [Goodson] [HAINES]  
 First 24 characters will appear on invoice.

3 To Recipient's Name Michael J. Crane 212, 773-3815 Phone

Company ERNST + YOUNG LLP



0440036285

4 Express Package Service \*To most locations.  
 NOTE: Service order has changed. Please select carefully. Packages up to 150 lbs. For packages over 150 lbs., use the new FedEx Express Freight US Airbill.

Next Business Day	2 or 3 Business Days
<input checked="" type="checkbox"/> <b>FedEx First Overnight</b> Earliest next business morning delivery to select locations. Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.	<input type="checkbox"/> <b>NEW FedEx 2Day A.M.</b> Second business morning.* Saturday Delivery NOT available.
<input type="checkbox"/> <b>FedEx Priority Overnight</b> Next business morning.* Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.	<input type="checkbox"/> <b>FedEx 2Day</b> Second business afternoon.* Thursday shipments will be delivered on Monday unless SATURDAY Delivery is selected.
<input type="checkbox"/> <b>FedEx Standard Overnight</b> Next business afternoon.* Saturday Delivery NOT available.	<input type="checkbox"/> <b>FedEx Express Saver</b> Third business day.* Saturday Delivery NOT available.

5 Packaging \*Declared value limit \$500.  
 FedEx Envelope\*  FedEx Pak\*  FedEx Box  FedEx Tube  Other

6 Special Handling and Delivery Signature Options  
 SATURDAY Delivery  
NOT available for FedEx Standard Overnight, FedEx 2Day A.M., or FedEx Express Saver.

No Signature Required  
Package may be left without obtaining a signature for delivery.
 Direct Signature  
Someone at recipient's address may sign for delivery. Fee applies.
 Indirect Signature  
If no one is available at recipient's address, someone at a neighboring address may sign for delivery. For residential deliveries only. Fee applies.

Does this shipment contain dangerous goods?  
 One box must be checked.  
 No  Yes As per attached Shipper's Declaration.  Yes Shipper's Declaration not required.  Dry Ice  
Dry ice, 9, UN 1845 \_\_\_\_\_ x \_\_\_\_\_ kg  
 Cargo Aircraft Only  
Dangerous goods (including dry ice) cannot be shipped in FedEx packaging or placed in a FedEx Express Drop Box.

7 Payment Bill to:  
 Enter FedEx Acct. No. or Credit Card No. below.  
 Sender Acct. No. in Section 4 will be billed.  Recipient  Third Party  Credit Card  Cash/Check  
FedEx Acct. No. Credit Card No. Exp. Date

Total Packages \_\_\_\_\_ Total Weight \_\_\_\_\_ Total Declared Value<sup>†</sup> \_\_\_\_\_  
 \_\_\_\_\_ lbs. \$ \_\_\_\_\_ .00

<sup>†</sup>Your 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.

611

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

PULL AND RETAIN THIS COPY BEFORE AFFIXING TO THE PACKAGE. NO POUCH NEEDED.

Haines  
Hodge

My Profile | Support | Locations | English | Search | Subr



Ship | Track | Manage | Learn | FedEx Office®

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

**Delivered**

NY US

Signed for by: T.DAVIS

Travel History

Date/Time	Activity	Location
- 1/16/2015 - Friday		
10:22 am	Delivered	NY
8:27 am	On FedEx vehicle for delivery	NEW YORK, NY
8:15 am	At local FedEx facility	NEW YORK, NY
7:39 am	Delivery exception Customer not available or business closed	NEW YORK, NY
7:15 am	Departed FedEx location	NEWARK, NJ
7:14 am	On FedEx vehicle for delivery	NEW YORK, NY
7:09 am	At local FedEx facility	NEW YORK, NY
6:13 am	Arrived at FedEx location	NEWARK, NJ
3:12 am	Departed FedEx location	MEMPHIS, TN
- 1/15/2015 - Thursday		
11:18 pm	Arrived at FedEx location	MEMPHIS, TN
8:54 pm	Left FedEx origin facility	IRONDALE, AL
7:17 pm	Picked up	IRONDALE, AL

Shipment Facts

Tracking number	876888485647	Service	FedEx First Overnight
Delivered To	Mailroom	Shipper reference	NEELY-SEC
Packaging	FedEx Envelope	Special handling section	Deliver Weekday



Search | Subr

<p><b>Customer Focus</b></p> <ul style="list-style-type: none"> <li>New Customer Center</li> <li>Small Business Center</li> <li>Service Guide</li> <li>Customer Support</li> <li>My FedEx Office Rewards</li> </ul> <p><b>Company Information</b></p> <ul style="list-style-type: none"> <li>About FedEx</li> <li>Careers</li> <li>Investor Relations</li> </ul>	<p><b>Featured Services</b></p> <ul style="list-style-type: none"> <li>FedEx One Rate</li> <li>FedEx SameDay</li> <li>FedEx Home Delivery</li> <li>Healthcare Solutions</li> <li>Online Retail Solutions</li> <li>Packaging Services</li> <li>Ancillary Clearance Services</li> </ul> <p><b>Other Resources</b></p> <ul style="list-style-type: none"> <li>FedEx Compatible</li> <li>Developer Resource Center</li> <li>FedEx Ship Manager Software</li> <li>FedEx Mobile</li> </ul>	<p><b>Companies</b></p> <ul style="list-style-type: none"> <li>FedEx Express</li> <li>FedEx Ground</li> <li>FedEx Office</li> <li>FedEx Freight</li> <li>FedEx Custom Critical</li> <li>FedEx Trade Networks</li> <li>FedEx SupplyChain</li> <li>FedEx TechConnect</li> </ul>	<p><b>Follow FedEx</b></p> <p>United States - English</p>
--	--	---	---

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	[REDACTED]
[REDACTED] ON (PRINT NAME) Kathy Toman	FEES AND MILEAGE TENDERED TO WITNESSES [REDACTED]	
SERVED BY (PRINT NAME) Mike CURRY	TITLE 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 1/20/15 (date)

*Mike Curry*  
Signature of Server

Process Server  
White Arnold & Dowd P.C.  
ATTORNEYS AT LAW  
2035 Third Avenue North  
Suite 500  
Birmingham, AL 35203  
205.323.1888

Address of Server

**ADDITIONAL INFORMATION:**

Subpoena issued to: **JOHN HALEY**  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.**  
**Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **JOHN HALEY**



---

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**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 Fox Foelak*

on *January 12*, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	[REDACTED]

SERVED ON (PRINT NAME) Kathy Therman	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ <u>60.16</u>
---	--

SERVED BY (PRINT NAME) Mike Curry	TITLE 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 1/20/15 (date)

*Mike Curry*  
Signature of Server

Process Server  
White Arnold & Dowd PC  
ATTORNEYS AT LAW  
1025 Third Avenue North  
Suite 500  
Birmingham, AL 35203  
205.323.1888

Address of Server

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** GRAYSON HALL  
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**



**SUBPOENA**

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

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

To: **GRAYSON HALL**



---

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Birmingham, AL 35203**

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

 on Jan. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.



**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE 2025 3 <sup>rd</sup> Ave. No., Suite 500 Birmingham, AL 35203
--------------------	-----------------	---

SERVED	DATE 1/20/15	[REDACTED] bly [REDACTED]
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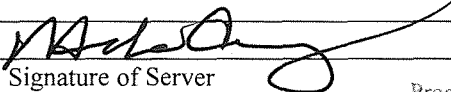
SERVED ON (PRINT NAME) Kathy Inman	FEES AND MILEAGE TENDERED TO WITNESS <input type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ <u>49.52</u>
---------------------------------------	---

SERVED BY (PRINT NAME) Mike Chaney	TITLE 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 1/20/15 (date)

  
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

Address of Server

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** DOUGLAS JACKSON  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **DOUGLAS JACKSON**



---

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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 Fox Koelak*

on *Jan. 12*, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	[REDACTED]
SERVED ON (PRINT NAME) KATHY JASMAN	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No   AMOUNT \$ <u>57.36</u>	
SERVED BY (PRINT NAME) MIKE CUNY	TITLE 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 1/20/15 (date)

*[Signature]*  
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

Address of Server

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** MARK JAREMA  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **MARK JAREMA**  
[REDACTED]

---

**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:

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716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor  
Birmingham, AL 35203**

---

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

*Carol Toy Toelak* on *Jan. 12*, 2015  
**ADMINISTRATIVE LAW JUDGE**

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

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	PLACE [REDACTED]
SERVED ON (PRINT NAME) KATHY INMAN	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ 364.24	
SERVED BY (PRINT NAME) MIKE CURRY	TITLE 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 1/20/15 (date)

[Signature]  
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

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** LYNN JOHNSON  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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:

---

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**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.**

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

*Carol Foy Koelak*

on *Jan. 12*, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	[REDACTED]
SERVED ON (PRINT NAME) Kathy [REDACTED]	[REDACTED]	[REDACTED]
SERVED BY (PRINT NAME) Mike [REDACTED]	[REDACTED]	Process Server

[REDACTED] 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 1/20/15 (date)

*[Signature]*  
Signature of Server

Process Server  
White Arnold & Dowd P.C.  
ATTORNEYS AT LAW  
3025 Third Avenue North  
Suite 500  
Birmingham, AL 35203  
205.323.1888

Address of Server

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** BRAD KIMBROUGH  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **BRAD KIMBROUGH**



---

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

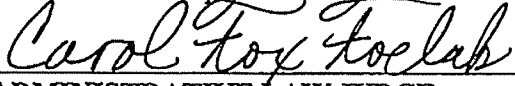
**Circuit Court of Jefferson County  
716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor  
Birmingham, AL 35203**

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

 on Jan. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.



**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	PLACE [REDACTED]

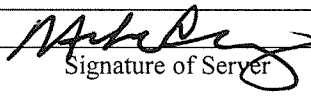
SERVED ON (PRINT NAME) Kathy Evans	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ <u>629.12</u>
---------------------------------------	---

SERVED BY (PRINT NAME) Mike Curry	TITLE 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 1/20/15 (date)

  
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

Address of Server

**ADDITIONAL INFORMATION:**

**Subpoena issued to: BOB KORTE**  
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**



**SUBPOENA**

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

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

To: **BOB KORTE**



---

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716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor  
Birmingham, AL 35203**

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

Handwritten signature of Carol Toy Soelak in cursive.

on Jan. 12, 2015

**ADMINISTRATIVE LAW JUDGE**

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

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-14-15	PLACE [REDACTED]
SERVED	DATE 1-14-15	PLACE [REDACTED] Suite
SERVED ON (PRINT NAME) WILLIAM CLARK	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ 57.92* (*previously issued)	
SERVED BY (PRINT NAME) WM WAGGONER	TITLE LAW FIRM 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 JAN. 14, 2015 (date)

Wm Waggoner Process Server  
Signature of Server White Arnold & Dowd P.C.  
ATTORNEYS AT LAW  
2025 Third Avenue North  
Suite 500  
Address of Server Birmingham, AL 35203  
205.323.1888

**ADDITIONAL INFORMATION:**

**Subpoena issued to: JEFFREY C. KUEHR**  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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 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 Fox Koelak* on *Jan. 12*, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

NOTICE TO WITNESS: If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE <i>1-15-15</i>	PLACE [REDACTED]
SERVED Via Fed Ex [REDACTED]	DATE <i>1-15-15</i>	PLACE [REDACTED]
SERVED ON (PRINT NAME) <i>DAVE Lewis</i>	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No   AMOUNT \$ <u><i>\$483.52</i></u>	
SERVED BY (PRINT NAME) <b>Sherry Johnson</b>	TITLE: <b>Paralegal for White Arnold &amp; Dowd P.C.</b>	

**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 *1-15-15* (date)  
*Sherry Johnson*  
Signature of Server

\_\_\_\_\_  
Address of Server

  
**WHITE ARNOLD & DOWD**  
2025 Third Avenue North, Suite 500, Birmingham, AL 35203

**ADDITIONAL INFORMATION:**

**Subpoena issued to: DAVID ARTHUR LEWIS**  
[REDACTED]  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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**  
[REDACTED]

---

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Birmingham, AL 35203**

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

*Carol Fox Koelak*

on Jan. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**FedEx** Express **NEW Package US Airbill**

FedEx Tracking Number

8768 8848 5658

Form ID No.

0215

Sender's Copy

**1 From** Please print and press hard.

Date 1-15-15 Sender's FedEx Account Number 100014872

Sender's Name Sherry Johnson Phone [REDACTED]

Company WHITE ARNOLD [REDACTED] & DOWD PC

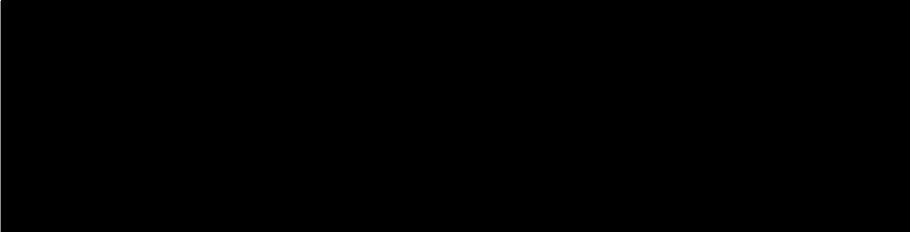
Address [REDACTED]

City [REDACTED]

**2 Your Internal Billing Reference** Neely - SEC MATTER

First 24 characters will appear on invoice.

**3 To Recipient's Name** David Arthur Lewis Phone [REDACTED]



0440036285

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

**4 Express Package Service** \*To most locations.

NOTE: Service order has changed. Please select carefully.

Packages up to 150 lbs.  
For packages over 150 lbs., use the new FedEx Express Freight US Airbill.

**Next Business Day**

**FedEx First Overnight**  
Earliest 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**  
Next business afternoon.\* Saturday Delivery NOT available.

**2x/3 Business Days**

**NEW FedEx 2Day A.M.**  
Second business morning.\* Saturday Delivery NOT available.

**FedEx 2Day**  
Second business afternoon.\* Thursday shipments will be delivered on Monday unless SATURDAY Delivery is selected.

**FedEx Express Saver**  
Third business day.\* Saturday Delivery NOT available.

**5 Packaging** \*Declared value limit \$500.

**FedEx Envelope\***  **FedEx Pak\***  **FedEx Box**  **FedEx Tube**  **Other**

**6 Special Handling and Delivery Signature Options**

**SATURDAY Delivery**  
NOT available for FedEx Standard Overnight, FedEx 2Day A.M., or FedEx Express Saver.

**No Signature Required**  
Package may be left without obtaining a signature for delivery.

**Direct Signature**  
Someone at recipient's address may sign for delivery. *Fee applies.*

**Indirect Signature**  
If no one is available at recipient's address, someone at a neighboring address may sign for delivery. For residential deliveries only. *Fee applies.*

**Does this shipment contain dangerous goods?**

One box must be checked.  
 **No**  **Yes** As per attached Shipper's Declaration.  **Yes** Shipper's Declaration not required.  **Dry Ice** Dry Ice, 3, UN 1845 \_\_\_\_\_ x \_\_\_\_\_ kg  **Cargo Aircraft Only**

Dangerous goods (including dry ice) cannot be shipped in FedEx packaging or placed in a FedEx Express Drop Box.

**7 Payment Bill to:**

Enter FedEx Acct. No. or Credit Card No. below.  
 **Sender** Acct. No. in Section 1 will be billed.  **Recipient**  **Third Party**  **Credit Card**  **Cash/Check**

Total Packages \_\_\_\_\_ Total Weight \_\_\_\_\_ lbs. Total Declared Value<sup>1</sup> \$ \_\_\_\_\_ .00

<sup>1</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.

PULL AND RETAIN THIS COPY BEFORE AFFIXING TO THE PACKAGE. NO POUCH NEEDED.

611



Ship Track Manage Learn FedEx Office®

Login

FedEx® Tracking

876888485658

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

Actual delivery  
Fri 1/16/2015 7:44 am

BIRMINGHAM, AL US

Delivered

NC US

Signature not required

Travel History

Date/Time	Activity	Location
- 1/16/2015 - Friday		
7:44 am	Delivered	NC
	Left at front door. Package delivered to recipient address - release authorized	
6:58 am	On FedEx vehicle for delivery	CHARLOTTE, NC
6:11 am	At destination sort facility	CHARLOTTE, NC
3:52 am	Departed FedEx location	MEMPHIS, TN
- 1/15/2015 - Thursday		
11:18 pm	Arrived at FedEx location	MEMPHIS, TN
8:54 pm	Left FedEx origin facility	IRONDALE, AL
7:17 pm	Picked up	IRONDALE, AL

Shipment Facts

Tracking number	876888485658	Service	FedEx First Overnight
Delivered To	Residence	Shipper reference	NEELY-SEC MATTER
Packaging	FedEx Envelope	Special handling section	Deliver Weekday, Residential Delivery



Search Submit

- Customer Focus
  - New Customer Center
  - Small Business Center
  - Service Guide
  - Customer Support
  - My FedEx Office Rewards
- Company Information
  - About FedEx
  - Careers
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- Featured Services
  - FedEx One Rate
  - FedEx SameDay
  - FedEx Home Delivery
  - Healthcare Solutions
  - Online Retail Solutions
  - Packaging Services
  - Ancillary Clearance Services
- Other Resources
  - FedEx Compatible
  - Developer Resource Center
  - FedEx Ship Manager Software
  - FedEx Mobile

- Companies
  - FedEx Express
  - FedEx Ground
  - FedEx Office
  - FedEx Freight
  - FedEx Custom Critical
  - FedEx Trade Networks
  - FedEx SupplyChain
  - FedEx TechConnect

Follow FedEx

United States - English



**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
--------------------	-----------------	---------------------

SERVED	DATE 1/20/15	PLACE [REDACTED]
--------	-----------------	---------------------

SERVED ON (PRINT NAME) KATHY INMAN	WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ 59.04
---------------------------------------	--

SERVED BY (PRINT NAME) MIKE O'NEAL	TITLE 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 1/20/15 (date)

*[Signature]*  
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

Address of Server

**ADDITIONAL INFORMATION:**

Subpoena issued to: SHARRI LOGSDON  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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:

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**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:

Handwritten signature of Carl Foy Toelak in cursive.  
**ADMINISTRATIVE LAW JUDGE**

on Jan. 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	[REDACTED]
SERVED ON (PRINT NAME) Kathy Iwanan	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No   AMOUNT \$ <u>41.68</u>	
SERVED BY (PRINT NAME) Mike Crout	TITLE 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 1/20/15 (date)

[Signature]  
Signature of Server

Process Server  
Title  
Arnold & Dowd P.C.  
ATTORNEYS AT LAW  
025 Third Avenue North  
Suite 500  
Birmingham, AL 35203  
205.323.1888

**ADDITIONAL INFORMATION:**

**Subpoena issued to:**      **TIM McCARTHY**  
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**



**SUBPOENA**

**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**



---

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716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor  
Birmingham, AL 35203**

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

 on Jan. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	PLACE [REDACTED]

SERVED ON (PRINT NAME) <i>RATHY JAMES</i>	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ <u>54.00</u>
--	--

SERVED BY (PRINT NAME) <i>Mike Cray</i>	TITLE <i>Process Server</i>
--	--------------------------------

**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 1/20/15 (date)

*Mike Cray*  
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

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** **ANDY McCRITE**  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.**  
**Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **ANDY McCRITE**  
[REDACTED]

---

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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

---

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

Carol Fox Toelak on Jan. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

NOTICE TO WITNESS: If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

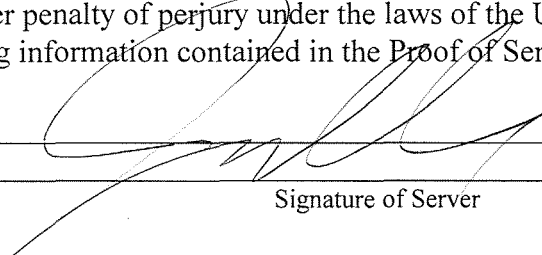
**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-27-15	PLACE [REDACTED]
SERVED	DATE 1/28/15	PLACE
SERVED ON (PRINT NAME) Affair Buddy Smith	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No   AMOUNT \$ 75.84	
SERVED BY (PRINT NAME) MATT WHITE	TITLE Att	

**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 \_\_\_\_\_ (date)



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

Address of Server

**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**



**SUBPOENA**

**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**



---

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

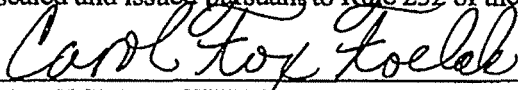
**Circuit Court of Jefferson County  
716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor  
Birmingham, AL 35203**

---

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

 on Jan. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.



**PROOF OF SERVICE**

RECEIVED BY [REDACTED]	DATE [REDACTED]	PLACE [REDACTED]
---------------------------	--------------------	---------------------

SERVED	DATE [REDACTED]	PLACE [REDACTED]
--------	--------------------	---------------------

SERVED ON (PRINT NAME) <b>KEYOSHA GREEN</b>	FEEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No   AMOUNT \$ <u>48.96</u>
--	---

SERVED BY (PRINT NAME) <b>Wm. WAGGONER</b>	TITLE <b>LAW FIRM PROCESS SERVER</b>
---	---

**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 JAN. 14, 2015 (date)

Wm Waggoner  
Signature of Server

Address 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:**      **LISA MEAD**  
c/o Maxwell H. Pulliam  
The Historical Kress Building  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.**  
**Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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.**

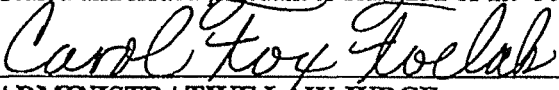
**Circuit Court of Jefferson County  
716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor  
Birmingham, AL 35203**

---

**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:

 on Jan. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-14-15	PLACE [REDACTED]
SERVED	DATE 1-15-15	PLACE [REDACTED]

SERVED ON (PRINT NAME) **STEPHANIE MOORE**

FEES AND MILEAGE TENDERED TO WITNESS  
 Yes  No AMOUNT \$ 46.16

SERVED BY (PRINT NAME) **WM WAGGONER**

TITLE **LAW FIRM 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 JAN. 15, 2015 (date)

Wm Waggoner  
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

**ADDITIONAL INFORMATION:**

**Subpoena issued to: STEPHANIE MOORE**  
c/o ServisFirstBank Headquarters  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.**  
**Administrative Proceeding No. 3-15945**

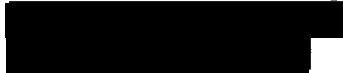


**SUBPOENA**

**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:

*Carol Toy Foelak* on *Jan. 12*, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

NOTICE TO WITNESS: If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
--------------------	-----------------	---------------------

SERVED	DATE 1/20/15	[REDACTED]
--------	-----------------	------------

SERVED ON (PRINT NAME) Kathy Isman	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ <u>690.16</u>
---------------------------------------	---

SERVED BY (PRINT NAME) Mike Curry	TITLE 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 1/20/15 (date)

[Signature]  
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

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** DAVID PAPKE  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **DAVID PAPKE**



---

**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. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

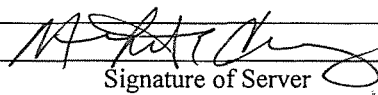
**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	PLACE [REDACTED]
SERVED ON (PRINT NAME) KATHY INMAN	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ 47.28	
SERVED BY (PRINT NAME) MIKE CURRY	TITLE 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 1/20/15 (date)

  
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

Address of Server

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** DOWD RITTER  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **DOWD RITTER**



---

**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. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.



**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-22-15	PLACE [REDACTED]
SERVED VIA Fed Ex 876888485691	DATE 1-23-15	PLACE [REDACTED]
SERVED ON (PRINT NAME) <i>Craig F. Rogers</i>		FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No   AMOUNT \$ <u>348.77</u>
SERVED BY (PRINT NAME) SHERRY JOHNSON		TITLE Paralegal – White Arnold & Dowd P.C.

**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 1-22-15 (date)  
*Sherry Johnson*

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

Address of Server

**ADDITIONAL INFORMATION:**

**Subpoena issued to:      CRAIG F. ROGERS**

[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **CRAIG ROGERS**



---

**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 Foelak* on *Jan. 12*, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

FedEx  
Tracking  
Number

[Redacted Tracking Number]

Form ID No. 0215

Sender's Copy

**1 From** Please print and press hard.

Date 1-22-15 Sender's FedEx Account Number SENDER'S / FEDEX ACCOUNT NUMBER ONLY 11000-148952

Sender's Name Sherry Johnson Phone (201) 323-1888

Company WHITE ARNOLD & DOWD PC

Address [Redacted]

State [Redacted] Zip [Redacted]

**2 Your Internal Billing Reference** Tom Neely - SEC

First 24 characters will appear on invoice.

**3 To Recipient's Name** Craig F. Rogers Phone ( )

Company [Redacted]

Address [Redacted]

Address [Redacted]

**HOLD Saturday**  
FedEx location address  
REQUIRED. Availability ONLY for  
FedEx Priority Overnight and  
FedEx 2Day.

**HOLD Saturday**  
FedEx location address  
REQUIRED. Availability ONLY for  
FedEx Priority Overnight and  
FedEx 2Day.

**4 Express Package Service** \*To most locations.  
NOTE: Service order has changed. Please select carefully.

Packages up to 150 lbs.  
For packages over 150 lbs. use the new  
FedEx Express Freight US Airbill.

Next Business Day	2 or 3 Business Days
<input checked="" type="checkbox"/> <b>FedEx First Overnight</b> Earliest next business morning delivery to select locations. Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.	<input type="checkbox"/> <b>NEW FedEx 2Day A.M.</b> Second business morning.* Saturday Delivery NOT available.
<input type="checkbox"/> <b>FedEx Priority Overnight</b> Next business morning.* Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.	<input type="checkbox"/> <b>FedEx 2Day</b> Second business afternoon.* Thursday shipments will be delivered on Monday unless SATURDAY Delivery is selected.
<input type="checkbox"/> <b>FedEx Standard Overnight</b> Next business afternoon.* Saturday Delivery NOT available.	<input type="checkbox"/> <b>FedEx Express Saver</b> Third business day.* Saturday Delivery NOT available.

**5 Packaging** \*Declared value limit \$500.

FedEx Envelope\*  
  FedEx Pak\*  
  FedEx Box  
  FedEx Tube  
  Other

**6 Special Handling and Delivery Signature Options**

**SATURDAY Delivery**  
NOT available for FedEx Standard Overnight, FedEx 2Day A.M., or FedEx Express Saver.

**No Signature Required**  
Package may be left without obtaining a signature for delivery.

**Direct Signature**  
Someone at recipient's address may sign for delivery. Fee applies.

**Indirect Signature**  
If no one is available at recipient's address, someone at a neighboring address may sign for delivery. For residential deliveries only. Fee applies.

**Does this shipment contain dangerous goods?**  
One box must be checked.

No  
  Yes As per attached Shipper's Declaration.  
  Yes Shipper's Declaration not required.

Dry Ice Dry Ice, 9, UN 1845 \_\_\_\_\_ x \_\_\_\_\_ kg  
  Cargo Aircraft Only

Dangerous goods (including dry ice) cannot be shipped in FedEx packaging or placed in a FedEx Express Drop Box.

**7 Payment Bill to:**

Enter FedEx Acct. No. or Credit Card No. below.

Sender Acct. No. in Section 1 will be billed.  
  Recipient  
  Third Party  
  Credit Card  
  Cash/Check

FedEx Acct. No. / Credit Card No. \_\_\_\_\_ Exp. Date \_\_\_\_\_

Total Packages \_\_\_\_\_ Total Weight \_\_\_\_\_ lbs. Total Declared Value<sup>1</sup> \_\_\_\_\_ \$ \_\_\_\_\_ .00

<sup>1</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.

PULL AND RETAIN THIS COPY BEFORE AFFIXING TO THE PACKAGE. NO POUCH NEEDED.

611

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

0440036285

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FedEx® Tracking



Ship (P/U) date:  
Thur 1/22/2015 6:39 pm

Actual delivery:  
Fri 1/23/2015 9:55 am

BIRMINGHAM, AL US

**Delivered**

SC US

*Signature not required*

Travel History

Date/Time	Activity	Location
<b>1/23/2015 - Friday</b>		
9:55 am	Delivered Left at front door. Package delivered to recipient address - release authorized	SC
8:14 am	On FedEx vehicle for delivery	ANDERSON, SC
6:23 am	At destination sort facility	GREER, SC
4:22 am	Departed FedEx location	MEMPHIS, TN
<b>1/22/2015 - Thursday</b>		
11:35 pm	Arrived at FedEx location	MEMPHIS, TN
8:55 pm	Left FedEx origin facility	IRONDALE, AL
6:39 pm	Picked up	IRONDALE, AL

Shipment Facts

<b>Tracking number</b>	876888485691	<b>Service</b>	FedEx First Overnight
<b>Delivered To</b>	Residence	<b>Shipper reference</b>	TOM NEELY SEC
<b>Packaging</b>	FedEx Envelope	<b>Special handling section</b>	Deliver Weekday, Residential Delivery



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**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-27-15	PLACE [REDACTED]
SERVED	DATE 1/28/15	PLACE [REDACTED]
SERVED ON (PRINT NAME) c/o Alfred F. Smith	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ <u>46.16</u>	
SERVED BY (PRINT NAME) M. White	TITLE Att	

**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 \_\_\_\_\_ (date)  
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  
Address of Server

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** TRACY SHEEHY  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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.**

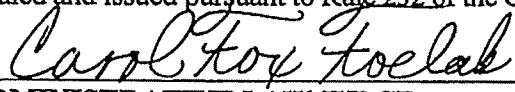
**Circuit Court of Jefferson County  
716 No. Richard Arrington Jr. Blvd., 6<sup>th</sup> Floor  
Birmingham, AL 35203**

---

**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. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	PLACE [REDACTED]
SERVED ON (PRINT NAME) Kathy Inman	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ 218.64	
SERVED BY (PRINT NAME) Mike Church	TITLE 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 1/20/15 (date)

*Mike Church*  
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

Address of Server

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** MICHAEL FRANKLIN SMITH  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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"**



---

**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 Fox Toelch*

on Jan. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.



**PROOF OF SERVICE**

RECEIVED BY [REDACTED]	DATE [REDACTED]	PLACE [REDACTED]
SERVED [REDACTED]	DATE 1-16-15	PLACE [REDACTED]
SERVED ON (PRINT NAME) Allen Stanley	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ <u>208.00</u>	
SERVED BY (PRINT NAME) Sherry Johnson	TITLE Paralegal White Arnold & Dowd P.C.	

**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 January 15, 2015 (date)

Sherry Johnson  
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

Address of Server

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** ALLEN STANLEY  
c/o Federal Reserve Bank of Atlanta  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**

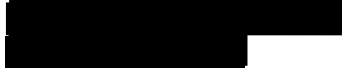


**SUBPOENA**

**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:

 on Jan. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

# FedEx Express *NEW Package* US Airbill

FedEx Tracking Number

[Redacted Tracking Number]

Form ID No. **0215** **Sender's Copy**

**1 From** Please print and press hard.  
Date 1-15-15 Sender's FedEx Account Number SENDER'S ACCOUNT NO. 1485

Sender's Name Sherry Johnson Phone [Redacted]

Company WHITE ARNOLD & DOWD PC

Address [Redacted] Dept./Floor/Suite/Room [Redacted]

**2 Your Internal Billing Reference** Neely-SEC CASE  
First 24 characters will appear on invoice.

**3 To Recipient's Name** Allen Stanley Phone [Redacted]

Company Federal Reserve Bank of Atlanta

Address [Redacted] Dept./Floor/Suite/Room [Redacted]  
We cannot deliver to P.O. boxes or P.O. ZIP codes.

Address [Redacted]  
Use this line for the HOLD location address or for continuation of your shipping address.

0440036285

**4 Express Package Service** \* To most locations.  
NOTE: Service order has changed. Please select carefully.

- |  |   |
|--|---|
| <p><b>Next Business Day</b></p> <p><input checked="" type="checkbox"/> <b>FedEx First Overnight</b><br/><small>Earliest next business morning delivery to select locations. Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.</small></p> <p><input type="checkbox"/> <b>FedEx Priority Overnight</b><br/><small>Next business morning.* Friday shipments will be delivered on Monday unless SATURDAY Delivery is selected.</small></p> <p><input type="checkbox"/> <b>FedEx Standard Overnight</b><br/><small>Next business afternoon.* Saturday Delivery NOT available.</small></p> | <p><b>2 or 3 Business Days</b></p> <p><input type="checkbox"/> <b>NEW FedEx 2Day A.M.</b><br/><small>Second business morning.* Saturday Delivery NOT available.</small></p> <p><input type="checkbox"/> <b>FedEx 2Day</b><br/><small>Second business afternoon.* Thursday shipments will be delivered on Monday unless SATURDAY Delivery is selected.</small></p> <p><input type="checkbox"/> <b>FedEx Express Saver</b><br/><small>Third business day.* Saturday Delivery NOT available.</small></p> |
|--|---|

**5 Packaging** \* Declared value limit \$500.

FedEx Envelope\*     FedEx Pak\*     FedEx Box     FedEx Tube     Other

**6 Special Handling and Delivery Signature Options**

- SATURDAY Delivery**  
NOT available for FedEx Standard Overnight, FedEx 2Day A.M., or FedEx Express Saver.
- No Signature Required**  
Package may be left without obtaining a signature for delivery.
- Direct Signature**  
Someone at recipient's address may sign for delivery. **Fee applies.**
- Indirect Signature**  
If no one is available at recipient's address, someone at a neighboring address may sign for delivery. For residential deliveries only. **Fee applies.**

**Does this shipment contain dangerous goods?**  
One box must be checked.

No     Yes As per attached Shipper's Declaration.     Yes Shipper's Declaration not required.     Dry Ice Dry Ice, 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 Bill to:** Enter FedEx Acct. No. or Credit Card No. below.

Sender Acct. No. in Section 1 will be billed.     Recipient     Third Party     Credit Card     Cash/Check

FedEx Acct. No. / Credit Card No. \_\_\_\_\_ Exp. Date \_\_\_\_\_

Total Packages \_\_\_\_\_ Total Weight \_\_\_\_\_ Total Declared Value† \_\_\_\_\_

\_\_\_\_\_ lbs. \$ \_\_\_\_\_ .00

†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.

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

611

PULL AND RETAIN THIS COPY BEFORE AFFIXING TO THE PACKAGE. NO POUCH NEEDED.



Ship Track Manage Learn FedEx Office®

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FedEx® Tracking



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

Actual delivery  
Fri 1/16/2015 7:57 am

BIRMINGHAM, AL US

Delivered

GA US

Signed for by: R.RANSOM

Travel History

Date/Time	Activity	Location
- 1/16/2015 - Friday		
7:57 am	Delivered	GA
6:55 am	On FedEx vehicle for delivery	ATLANTA, GA
5:39 am	At local FedEx facility	ATLANTA, GA
4:59 am	At destination sort facility	ATLANTA, GA
3:07 am	Departed FedEx location	MEMPHIS, TN
- 1/15/2015 - Thursday		
11:18 pm	Arrived at FedEx location	MEMPHIS, TN
8:54 pm	Left FedEx origin facility	IRONDALE, AL
7:17 pm	Picked up	IRONDALE, AL

Shipment Facts

Tracking number	876888485669	Service	FedEx First Overnight
Delivered To	Receptionist/Front Desk	Shipper reference	NEELY-SEC CASE
Packaging	FedEx Envelope	Special handling section	Deliver Weekday



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**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED [REDACTED]	DATE [REDACTED] 15	PLACE [REDACTED]
SERVED ON (PRINT NAME)	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No   AMOUNT \$ <u>215.84</u>	
SERVED BY (PRINT NAME) Sherry Johnson	TITLE Paralegal – White Arnold & Dowd P.C.	

**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 1-20-13 (date)  
Sherry Johnson

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

Address of Server

**ADDITIONAL INFORMATION:**

**Subpoena issued to: BILL TEEGARDEN**  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **BILL TEEGARDEN**  
[REDACTED]  
[REDACTED]

---

**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 Toelab* on *Jan. 12*, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.



## FedEx® Tracking

876888485706

Ship (P/U) date :  
Tues 1/20/2015 6:46 pmActual delivery :  
Wed 1/21/2015 7:24 am

BIRMINGHAM, AL US

**Delivered**

GA US

Signature not required

## Travel History

Date/Time	Activity	Location
- 1/21/2015 - Wednesday		
7:24 am	Delivered	GA
	Left at front door. Package delivered to recipient address - release authorized	
6:42 am	On FedEx vehicle for delivery	MARIETTA, GA
4:37 am	At destination sort facility	ATLANTA, GA
2:43 am	Departed FedEx location	MEMPHIS, TN
- 1/20/2015 - Tuesday		
11:17 pm	Arrived at FedEx location	MEMPHIS, TN
8:55 pm	Left FedEx origin facility	IRONDALE, AL
6:46 pm	Picked up	IRONDALE, AL

## Shipment Facts

Tracking number	876888485706	Service	FedEx First Overnight
Delivered To	Residence	Shipper reference	TOM NEELY-SEC
Packaging	FedEx Envelope	Special handling section	Deliver Weekday, Residential Delivery



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United States - English

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	PL [REDACTED]
SERVED ON (PRINT NAME) Kathy Turner	[REDACTED] TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ 48.96	
SERVED BY (PRINT NAME) Mike Avery	TITLE 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 1/20/15 (date)

Signature of Server

Process Server  
White Arnold & Dowd PC  
ATTORNEYS AT LAW  
3025 Third Avenue North  
Suite 500  
Birmingham, AL 35203  
205.323.1888

Address of Server

**ADDITIONAL INFORMATION:**

Subpoena issued to: **DAVID JACKSON TURNER, JR.**  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.**  
**Administrative Proceeding No. 3-15945**





**SUBPOENA**

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

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

To: **DAVID JACKSON TURNER, 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:

*Carol Toy Toelak*

on Jan. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY [REDACTED]	DATE 1-14-15	PLACE [REDACTED]
---------------------------	-----------------	---------------------

SERVED	DATE [REDACTED]	PLACE [REDACTED]
--------	--------------------	---------------------

[REDACTED]	[REDACTED] WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No   AMOUNT \$ <u>46.72</u>
------------	--

SERVED BY (PRINT NAME) W.M. WAGGONER	TITLE LAW FIRM 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 JAN 16, 2015 (date)

Wm Waggoner  
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

**ADDITIONAL INFORMATION:**

**Subpoena issued to:**      **GWEN WAMBLES**  
   C/O BBVA Compass Bank

[REDACTED]  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.**  
**Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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:

*Carol Fox Toelak* on *Jan. 12*, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE 1/20/15	[REDACTED]
SERVED ON (PRINT NAME) Robby Tasmann	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No   AMOUNT \$ <u>52.88</u>	
SERVED BY (PRINT NAME) Mike Curran	TITLE 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 1/20/15 (date)

*Mike Curran*  
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

Address of Server

**ADDITIONAL INFORMATION:**

**Subpoena issued to:** WILLIAM WELLS  
c/o Alfred F. Smith  
Bainbridge, Mims, Rogers & Smith  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



**SUBPOENA**

**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:

*Carol Fox Toelak* on *Jan. 12*, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

NOTICE TO WITNESS: If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-22-15	PLACE [REDACTED]
SERVED	DATE 1-22-15	PLACE [REDACTED]
SERVED ON (PRINT NAME) MAIBETH PORTER	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ <u>610.64</u>	
SERVED BY (PRINT NAME) WM WAGGONER	TITLE LAW FIRM 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 JAN 22, 2015 (date)

Wm Waggoner Process Server  
Signature of Server White Arnold & Dowd P.C.  
ATTORNEYS AT LAW  
1025 Third Avenue North  
Suite 500  
Birmingham, AL 35203  
205.323.1888

**ADDITIONAL INFORMATION:**

**Subpoena issued to: JOHN ROBERTS**  
c/o Maibeth Porter  
Maynard, Cooper & Gale, P.C.

[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.**  
**Administrative Proceeding No. 3-15945**



**SUBPOENA**

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

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

To: **JOHN ROBERTS**  
[REDACTED]

---

**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 Toelch* on *Jan. 12*, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY [REDACTED]	DATE 1-15-15	PLACE [REDACTED]
SERVED	DATE 1-15-15	PLACE
SERVED ON (PRINT NAME) [REDACTED] E	S AND MILEAGE TENDERED TO WITNESS [REDACTED] (previously issued)	
SERVED BY (PRINT NAME) Sherry Johnson	TITLE Paralegal white Arnold & Dowd P.C.	

**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 1-15-15 (date)  
Sherry Johnson  
Signature of Server



WHITE ARNOLD & DOWD

Address of Server

2025 Third Avenue North, Suite 500, Birmingham, AL 35203

**ADDITIONAL INFORMATION:**

Subpoena issued to: **MICHAEL J. WILLOUGHBY**

[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**



TRANSMISSION VERIFICATION REPORT

TIME : 01/15/2015 10:57  
NAME :  
FAX :  
TEL :  
SER.# : U62700J1N902968

DATE, TIME	01/15 10:56
FAX NO./NAME	5810799
DURATION	00:00:40
PAGE(S)	03
RESULT	OK
MODE	STANDARD ECM

**White Arnold & Dowd P.C.**  
2025 Third Avenue North  
Birmingham, AL 35203

FACSIMILE NUMBER: (205) 323-8907  
TELEPHONE NUMBER: (205) 323-1888

FACSIMILE TRANSMISSION COVER SHEET

Date: 1-15-15

FROM:

TO: Jack SharmAN	[REDACTED]
	[REDACTED]
	[REDACTED]

TOTAL PAGES INCLUDING THIS PAGE: 3

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 use of the individual or entity to which it is addressed. The information may be subject to



**SUBPOENA**

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

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

To: **MICHAEL J. WILLOUGHBY**  
[REDACTED]  
[REDACTED]

---

**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 Fox Toelak* on Jan. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.

**PROOF OF SERVICE**

RECEIVED BY SERVER	DATE 1-20-15	PLACE [REDACTED]
SERVED	DATE [REDACTED]	[REDACTED]
SERVED ON (PRINT NAME) DAVID B. EDMONDS	FEES AND MILEAGE TENDERED TO WITNESS <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No AMOUNT \$ 55.68	
SERVED BY (PRINT NAME) Wm. WAGGONER	TITLE Law Firm 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 JAN 21, 2015 (date)

Wm Waggoner 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

**ADDITIONAL INFORMATION:**

Subpoena issued to: **DAVID B. EDMONDS**  
[REDACTED]

**RE: In The Matter of Thomas A. Neely, Jr.  
Administrative Proceeding No. 3-15945**

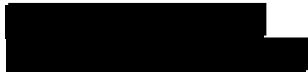


**SUBPOENA**

**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**



---

**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. 12, 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, [rdepalma@whitearnolddowd.com](mailto:rdepalma@whitearnolddowd.com); Phone: 205-323-1888, Fax 205-323-8907.

---

**NOTICE TO WITNESS:** If you claim a witness fee or mileage, submit this subpoena with the claim voucher.