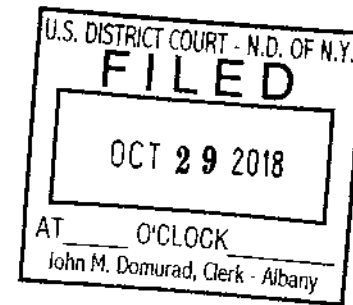


Chris A. Gustafson, Kim A. Taddeo, Scott A. Gustafson
14113 Douglass Lane,
Saratoga, CA 95070

October 21, 2018

William J. Brown
Phillips Lytle LLP
One Canalside
125 Main Street



Dear William J. Brown,

We are writing to you regarding the status of our McGinn, Smith & Co. settlement Claim. You sent us a letter dated 28 August 2018 stating we would hear from within several weeks; as of 21 October 2018 we have yet to hear from you.

We read in Document 1023-3 filed with the court on 10/12/2018 that you indicated an email was sent to the Donald B. Gustafson Trust Beneficiaries. We have not received an email; please send correspondence via US Mail to ensure correspondence doesn't get lost.

Sincere regards,

Chris A. Gustafson, TTE

Chris A. Gustafson, TTE

Kim A. Taddeo, TTE

Kim A. Taddeo, TTE

Scott A. Gustafson, TTE

Scott A. Gustafson, TTE

Enclosures:

William J. Brown letter dated 28 August 2018

Document 1023-3 Filed 10/12/2018

CC:

Honorable Christian F. Hummel, US Magistrate Judge
James T Foley U.S. Courthouse
445 Broadway, Room 441
Albany, NY 12207

Temmerman, Cilley & Kohlmann, LLP
Jennifer F. Scharre
2502 Stevens Creek Boulevard
San Jose, CA 95128

**William J. Brown, as Receiver
of McGinn, Smith & Co., Inc., et al.**

Tel: 716.847.7089
www.mcginnsmithreceiver.com

One Canalside
125 Main Street
Buffalo, NY 14203

August 28, 2018

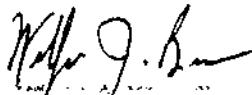
Chris A. Gustafson
Kim A. Taddeo
Scott A. Gustafson
14113 Douglass Lane
Saratoga, CA 95070

Re: McGinn Smith & Co. Inc.

Dear All:

We have your July 14, 2018 letter. The basis for the legal transfer of the claim is under review, and you will receive an answer in the next several weeks.

Very truly yours,


William J. Brown
Receiver

EEEnh
Doc #01-3060948.3

33474 Brown, William J. as Receiver of McGinn,
Smith & Co., Inc., et al
00001 Claims Administration & Objections
August 30, 2018

Invoice Number 952185

Page 21 of 39

<u>Date</u>	<u>Tkpr</u>		<u>Hours</u>
02/20/18	WJB	Review J Loffredo claim file and revise Investor Questionnaire letter to include preferred stock reference	0.2
02/21/18	WJB	Conference CNE re format of preparation of motion to object to broker claims based upon SEC proceeding	0.1
02/22/18	WJB	Assemble information for preparation of motion to object to broker claims including SEC trial decision on broker proceeding and forward eight e-mails with materials to CNE including legal research	0.6
02/22/18	WJB	Conference staff re next steps on claim files	0.1
02/22/18	WJB	Review Order on notice of dismissal of I/R Nemeth as regards collateral recovery and process claims	0.1
02/22/18	WJB	Review D Gustafson claim file and prepare email trust beneficiaries re necessary documents in order to process claim	0.2
02/22/18	WJB	Conference CNE re follow-up questions on broker claim objection motion	0.1
02/22/18	WJB	Review investor file and e-mail with collateral information and forward to CNE to process	0.1
02/22/18	CNE	Review and dispose of claim 6710, 4768-4771; Prepare response to investor correspondence	1.1
02/23/18	WJB	Review draft J Jeanneret letter prepared by CNE; Conference CNE re revisions	0.2
02/23/18	CNE	Prepare response to investor correspondence.	0.6
02/25/18	CNE	Review and dispose of claims 5231-5234, 6590	0.3
02/26/18	CNE	Review research memo and SEC case for disputed claims motion	1.5
02/27/18	CNE	Conduct legal research for broker claims motion.	4.5

Caris Gustafson
14113 Douglas Lane
San Diego, CA 95070

CERTIFIED MAIL

7018 2290 0001 0886 0899



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12207

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Honorable Christian F. Hummel, US Magistrate Judge
James T Foley U.S. Courthouse
445 Broadway, Room 441
Albany, N.Y. 12207

U.S. DISTRICT COURT
JOHN M. DOMURAD, CLERK

OCT 29 2018

RECEIVED

12207-296799

