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**UNITED STATES DISTRICT COURT
CENTRAL DISTRICT OF CALIFORNIA
WESTERN DIVISION**

SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

vs.

RICHARD VU NGUYEN, A/K/A
NGUYEN THANH VU, and NTV
FINANCIAL GROUP, INC.,

Defendants,

and

MAI DO,

Relief Defendant.

Case No. 8:19-cv-01174-AG-KES

**PLAINTIFF SECURITIES AND
EXCHANGE COMMISSION'S EX
PARTE APPLICATION FOR ORDER
TO SHOW CAUSE WHY
DEFENDANT RICHARD VU
NGUYEN AND RELIEF
DEFENDANT MAI DO SHOULD NOT
BE HELD IN CIVIL CONTEMPT
AND MEMORANDUM OF POINTS
AND AUTHORITIES IN SUPPORT
THEREOF**

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1 **I. INTRODUCTION**

2 On June 14, 2019, the Court found there was good cause to believe that
3 defendant Richard Nguyen and relief defendant Mai Do, unless restrained, would
4 dissipate, conceal, or transfer assets which could be the subject of an order of
5 disgorgement in this action. (Dkt. No. 15.) To protect against this, the Court ordered
6 that an immediate freeze be placed on all monies and assets in all accounts at any
7 bank, financial institution, brokerage firm, and third-payment processor, held in the
8 name of Nguyen and Do. (*Id.*) The Court further found there was good cause to
9 believe that an accounting of their assets was necessary and ordered them to provide
10 such an accounting to the SEC. (*Id.*) Since then, the Court has issued two additional
11 orders that continue the asset freeze over their accounts and continue their obligation
12 to provide an accounting of their assets to the SEC. (Dkt. Nos. 25 and 58.)

13 The SEC now has evidence showing that Nguyen and Do have violated, and
14 likely continue to violate, the Court's orders. On August 20, 2019, in an abundance
15 of caution, the SEC sent their counsel, Mike N. Vo, a letter notifying him that the
16 SEC suspected his clients of violating the Court's orders and gave defense counsel
17 the opportunity to cure those violations and to give the SEC certain assurances they
18 would not happen again. (Declaration of Douglas M. Miller ("Miller Dec."), ¶ 5, Ex.
19 1.) The SEC followed up its letter with an email and then left Mr. Vo a voicemail,
20 both times asking if he intended to respond. (Miller Dec., ¶ 6, Ex. 2.) As of the date
21 of this filing, the SEC has not received a response to the letter from Mr. Vo and it
22 appears his clients are continuing to violate the Court's orders.

23 Specifically, the SEC has uncovered evidence that Nguyen and Do have
24 approximately fourteen (14) bank/brokerage accounts that they failed to disclose to
25 the SEC despite their court-ordered obligation to provide an accounting of their
26 assets. (Declaration of Jeffrey Brandlin ("Brandlin Dec."), ¶ 4, Exs. 2-11.) The SEC
27 has also uncovered evidence that Nguyen and Do have dissipated, concealed, and/or
28 transferred approximately \$315,637.04 worth of assets without prior Court

1 authorization. (*Id.* at ¶¶ 12-19.) The SEC is also concerned that some of this money
 2 *may* have been used to pay Mr. Vo’s retainer fee, but has no direct evidence of this
 3 fact. In an effort to allay this concerns, the SEC asked Mr. Vo – in writing – to
 4 represent that none of his fees included funds covered by the asset freeze and even
 5 provided him with Ninth Circuit case law showing that unearned retainers would be
 6 covered by the asset freeze. *See SEC v. Interlink Data Network of Los Angeles, Inc.*,
 7 77 F.3d 1201, 1206-07 (9th Cir. 1997) (holding that freeze of “any funds or other
 8 assets in the name, for the benefit or under the control of the Defendants” covered
 9 unearned retainer). As mentioned above, the SEC has not received any response to
 10 this request. Accordingly, the SEC now seeks, pursuant to Local Rule 7-19, an *ex*
 11 *parte* order for Nguyen and Do to show cause why they should not be held in civil
 12 contempt for violating the Court’s orders.

13 In accordance with Local Rule 7-19.1, the SEC has notified defense counsel in
 14 this matter of its *ex parte* application. (Declaration of Douglas M. Miller (“Miller
 15 Dec.”), ¶¶ 3-4.) Kyra Andrassy, counsel for the court-appointed receiver over
 16 defendant NTV Financial stated that she supports and does not oppose the SEC’s *ex*
 17 *parte* application. (Miller Dec., ¶ 3.) The SEC notified Mr. Vo, counsel for the
 18 defendant Richard Nguyen and relief defendant Mai Do, of this *ex parte* application
 19 and asked whether he opposed the application and, if so, whether he intended to file
 20 an opposition. (Miller Dec., ¶ 4.) Mr. Vo indicated that he could not make this
 21 determination until after he read the SEC’s filing. (*Id.*)

22 The SEC is filing this application on an *ex parte* basis because, as set forth in
 23 more detail below, it has uncovered evidence that Nguyen and Do have violated, and
 24 likely are continuing to violation, the Court-ordered asset freeze and accounting of
 25 assets. The SEC requests that the Court consider this *ex parte* application at the
 26 hearing currently scheduled for September 12, 2019, where it will decide the SEC’s
 27 Ex Parte Application to Amend Preliminary Injunction and Continuation of Orders:
 28

(1) Freezing Assets; (2) Requiring Accountings; (3) Prohibiting The Destruction Of Documents; and (4) Appointing Receiver. (Dkt. No. 58.)

II. STATEMENT OF FACTS

A. The Court's Orders

a. The June 14, 2019 Order

On June 14, with the exception of appointing a receiver, the Court granted the SEC's *Ex Parte* Application for a Temporary Restraining Order ("TRO"), Order to Show Cause Why a Preliminary Injunction Should Not Be Granted and Orders: (1) Freezing Assets; (2) Requiring Accountings; (3) Prohibiting the Destruction of Documents; and (4) Granting Expedited Discovery. (Dkt. Nos. 14-15.) In doing so, the Court determined there was good cause to believe that defendant Nguyen and relief defendant Do, unless restrained, would dissipate, conceal, or transfer assets which could be the subject of an order of disgorgement in this action. (Dkt. No. 15.) The Court noted that it was appropriate for the Court to issue the TRO promptly so that it could be served on the appropriate financial institutions, thus preventing the dissipation of assets. (*Id.*) The Court further determined that there was good cause to believe that an accounting of Nguyen's and Do's assets was necessary and ordered that they provide such an accounting to the SEC within five days of its order. (*Id.*)

With respect to the asset freeze over Nguyen's and Do's accounts, the TRO contained the following provision:

IT IS FURTHER ORDERED that, except as otherwise ordered by this Court, an immediate freeze shall be placed on all monies and assets (with an allowance for necessary and reasonable living expenses to be granted only upon good cause shown by application to the Court with notice to and an opportunity for the SEC to be heard) in all accounts at any bank, financial institution, brokerage firm, third-payment payment processor, held in the name of, for the benefit of, or over which account authority is held by Defendants NTV Financial and/or Nguyen, and/or by Relief Defendant Do...

Dkt. No. 15 at § VII. With respect to the court-ordered accounting, the TRO

1 contained the following provision:

2 IT IS FURTHER ORDERED that Defendants and the Relief Defendant,
3 within five days of the issuance of this Order, shall each prepare and
4 deliver to the SEC a detailed and complete schedule of all of their assets,
5 including all real and personal property exceeding \$5,000 in value, and
6 all bank, securities, and other accounts identified by institution, branch
7 address, and account number. The accounting shall include a description
8 of the sources of all such assets. Such accounting shall be filed with the
9 Court and a copy shall be delivered by email to millerdou@sec.gov and
10 delivered by hand or overnight courier to the SEC to the attention of
11 Douglas M. Miller, Trial Counsel, U.S. Securities and Exchange
12 Commission, Los Angeles Regional Office, 444 South Flower Street,
Suite 900, Los Angeles, California, 90071, or such other place and
person as counsel for the SEC may direct in writing. After completion of
the accounting, each of the Defendants shall produce to the SEC at a
time agreeable to the SEC, all books, records and other documents
supporting or underlying their accounting.

13 Dkt. No. 15 at § IX.

14 On June 24, 2019, the Court held a hearing on the SEC's TRO application
15 which Nguyen and Do failed to attend. (Dkt. No. 21.) The Court (1) found, among
16 other things, that the SEC presented sufficient evidence showing good cause to
17 extend the TRO until July 10, 2019, (2) found good cause to appoint Jeffrey E.
18 Brandlin as a temporary receiver over defendant NTV Financial Inc. and its
19 subsidiaries and affiliates, and of all bank and brokerage accounts through which
20 Defendants Richard Nguyen's and NTV Financial's investors and/or clients' funds
21 have flowed, including the accounts identified in the TRO; and (3) set July 1, 2019 as
22 the date by which Nguyen and Do must file any opposition to the TRO and the date
23 by which Nguyen and Do must file the detailed accounting called for by the TRO;
24 July 3, 2019 as the date by which the SEC must file any reply; and July 8, 2019 as the
25 date for the preliminary injunction hearing. (Dkt. Nos. 20-21.)

26 **b. The July 3, 2019 Order**

27 On June 28, 2019, the parties, including the court-appointed receiver, Mr.
28

1 Brandlin, submitted a stipulation to the entry of a preliminary injunction. (Dkt. No.
2 24.) The stipulation provided, among other things, that the asset freeze and the
3 requirement that Nguyen and Do file an accounting of their assets would continue,
4 but gave Nguyen and Do until no later than July 8, 2019 to file their accounting. The
5 stipulation also included a representation by Mr. Vo that Nguyen and Do both “read
6 and understood” the TRO, and appointed Brandlin as the permanent receiver over
7 NTV Financial and its subsidiaries and affiliates, and of all bank and brokerage
8 accounts through which Nguyen and Do’ investors and/or clients’ funds flowed. (*Id.*)

9 On July 3, 2019, the Court issued an order consistent with the stipulation
10 submitted by the parties. (Dkt. No. 25.) It contained the same language regarding the
11 asset freeze and the court-ordered accounting as the TRO:

12 IT IS FURTHER ORDERED that, except as otherwise ordered by this
13 Court, there shall be a continuation of the freeze placed on all monies
14 and assets (with an allowance for necessary and reasonable living
15 expenses to be granted only upon good cause shown by application to
16 the Court with notice to and an opportunity for the SEC to be heard) in
17 all accounts at any bank, financial institution, brokerage firm, third-
18 payment payment processor, held in the name of, for the benefit of, or
19 over which account authority is held by Defendants NTV Financial
20 and/or Nguyen, and/or by Relief Defendant Do...

21 * * *

22 IT IS FURTHER ORDERED that Defendants Nguyen and NTV
23 Financial and the Relief Defendant Mai Do remain under a continuing
24 obligation to prepare and deliver to the SEC, by no later than July 8,
25 2019, a detailed and complete schedule of all of their assets, including
26 all real and personal property exceeding \$5,000 in value, and all bank,
27 securities, and other accounts identified by institution, branch address,
28 and account number. The accounting shall include a description of the
sources of all such assets. Such accounting shall be filed with the Court
and a copy shall be delivered by email to millerdou@sec.gov and
delivered by hand or overnight courier to the SEC to the attention of
Douglas M. Miller, Trial Counsel, U.S. Securities and Exchange
Commission, Los Angeles Regional Office, 444 South Flower Street,
Suite 900, Los Angeles, California, 90071, or such other place and

1 person as counsel for the SEC may direct in writing. After completion of
2 the accounting, each of the Defendants shall produce to the SEC at a
3 time agreeable to the SEC, all books, records and other documents
supporting or underlying their accounting.

4 Dkt. No. 25 at §§ VII and IX.

5 On July 8, 2019, Mike N. Vo filed a notice of appearance as counsel for
6 Nguyen and Do. (Dkt. No. 26.) Shortly after Mr. Vo appeared as counsel, the SEC
7 stipulated that the deadline for Nguyen and Do to file an accounting of their assets
8 should be extended until July 15, 2019. (Dkt. No. 28.) The Court approved the
9 stipulation and issued an order giving them until July 15, 2019 to file a list of their
10 assets. (Dkt. No. 31.)

11 On July 15, 2019, Nguyen and Do filed a list of real and personal property
12 assets with the Court. (Dkt. No. 38.) Among their list of assets were several pieces
13 of real property and personal property, including real property located at 2506 Monte
14 Carlo Dr., Santa Ana, CA 92706 (“the Monte Carlo property”), which Nguyen and
15 Do claimed was purchased with income from sources outside of defendant NTV
16 Financial Group. (*Id.*) The list of assets also included, among other things, several
17 vehicles that Nguyen and Do claimed were purchased with income from sources
18 outside of defendant NTV Financial Group. (*Id.*)

19 **c. The August 15, 2019 Order**

20 On August 8, 2019, after learning that one of the assets listed in Nguyen and
21 Do’s court-ordered accounting – 2506 Monte Carlo Dr., Santa Ana, CA 92706 (“the
22 Monte Carlo property”) – was listed for sale, the SEC filed an *ex parte* application
23 with the Court requesting, among other things, that the preliminary injunction entered
24 by the Court on July 3, 2019 be amended to specifically include the assets disclosed
25 by Nguyen and Do in their accounting filed with the Court. (Dkt. No. 46.) Nguyen
26 and Do opposed the SEC’s request to amend the preliminary injunction. (Dkt. No.
27 47.)
28

1 On August 9, 2019, the Court issued a minute order granting, in part, the SEC's
2 request to amend the preliminary injunction and temporarily extended the preliminary
3 injunction to cover the assets disclosed by Nguyen and Do in their accounting filed
4 with the Court. (Dkt. No. 54.) The Court set a hearing on the matter for August 15,
5 2019 and encouraged the parties to resolve the issue bilaterally, if possible. (*Id.*)

6 On August 14, 2019, the parties filed a stipulation to temporarily amend the
7 preliminary injunction and to extend the hearing previously set by the Court from
8 August 15, 2019 until September 12, 2019, so that the SEC and the receiver could
9 produce various financial records to Mr. Vo and give him sufficient time to review
10 those documents in advance of the hearing. (Dkt. No. 57.)

11 On August 15, 2019, the Court issued an order consistent with the stipulation
12 submitted by the parties. (Dkt. No. 58.) It contained the following language
13 regarding the asset freeze and the court-ordered accounting:

14 IT IS FURTHER ORDERED that, except as otherwise ordered by this
15 Court, Defendants NTV Financial and Nguyen, and Relief Defendant
16 Mai Do, and their officers, agents, servants, employees, attorneys,
17 subsidiaries and affiliate, and those persons in active concert with them,
18 who receive actual notice of this Order, by personal service or otherwise,
19 and each of them, be and hereby are temporarily restrained and enjoined
20 from, directly or indirectly, transferring, assigning, selling,
21 hypothecating, changing, wasting, dissipating, converting, concealing,
22 encumbering, or otherwise disposing of, in any manner, any funds,
23 assets, securities, claims or other real or personal property, including any
24 notes or deeds of trust or other interest in real property, wherever
25 located, of any one of the Defendants or Relief Defendants, or their
26 subsidiaries or affiliates, owned by, controlled by, managed by or in the
27 possession or custody of any of them and from transferring,
28 encumbering dissipating, incurring charges or cash advances on any
debit or credit card of the credit arrangement of any one of the
Defendants or Relief Defendants, or their subsidiaries and affiliates.

* * *

IT IS FURTHER ORDERED that, except as otherwise ordered by this
Court, there shall be a continuation of the freeze placed on all monies

and assets (with an allowance for necessary and reasonable living expenses to be granted only upon good cause shown by application to the Court with notice to and an opportunity for the SEC to be heard) in all accounts at any bank, financial institution, brokerage firm, third-payment payment processor, held in the name of, for the benefit of, or over which account authority is held by Defendants NTV Financial and/or Nguyen, and/or by Relief Defendant Do...

* * *

IT IS FURTHER ORDERED that, except as otherwise ordered by this Court, an immediate freeze shall be placed on the title of the following real and personal properties, which shall not be mortgaged, transferred, or otherwise hypothecated:

1.	12632 Jerome Lane, Garden Grove, CA 92841
2.	2101 N Westwood Ave., Santa Ana, CA 92706
3.	2506 Monte Carlo Dr., Santa Ana, CA 92706
4.	900 W. 17 th Street, Unit B, Santa Ana, CA 92706
5.	2007 Porsche 911 – VIN ending # xxxxx29987S784416
6.	2012 Ferrari 458 Italia – VIN ending in # xxxxxNFA9C0183018
7.	2018 Toyota Tacoma Pickup
8.	2019 Honda Odyssey Van
9.	2002 Maserati Spyder
10.	2006 BMW 750il
11.	2007 Harley Roadking
12.	2005 Harley Softail
13.	2019 Harley Davidson Street Glide
14.	2003 Chopper
15.	2015 Honda Accord

* * *

IT IS FURTHER ORDERED that Defendants Nguyen and NTV Financial and the Relief Defendant Mai Do remain under a continuing obligation to prepare and deliver to the SEC detailed and complete schedules of all of their assets, including all real and personal property exceeding \$5,000 in value, and all bank, securities, and other accounts identified by institution, branch address, and account number. The accounting shall include a description of the sources of all such assets. Such accounting shall be filed with the Court and a copy shall be delivered by email to millerdou@sec.gov and delivered by hand or overnight courier to the SEC to the attention of Douglas M. Miller, Trial Counsel, U.S. Securities and Exchange Commission, Los Angeles Regional Office, 444 South Flower Street, Suite 900, Los Angeles, California, 90071, or such other place and person as counsel for the SEC may direct in writing. After completion of the accounting, each of the Defendants shall produce to the SEC at a time agreeable to the SEC, all books, records and other documents supporting or underlying their accounting.

Dkt. No. 58 at §§ VII, VIII, IX, and X.

B. Evidence Nguyen and Do Have Violated the Court's Orders

a. Defense Counsel's Statements During the Meet & Confer

On August 14, 2019, in accordance with the Court's August 9, 2019 minute order, the parties held a meet and confer regarding the SEC's *ex parte* application to amend the preliminary injunction. (Miller Dec., ¶ 5, Ex. 1.) During the meet and confer, counsel for the receiver, Kyra Andrassy, asked Mr. Vo whether his clients had refinanced a property located at 12632 Jerome Lane, Garden Grove, CA 92841 ("the Jerome property") and whether his clients were using the proceeds of the refinance to pay their living expenses. (*Id.*) She also asked about Mr. Vo's retainer and the source of the funds used to pay his retainer. (*Id.*) Mr. Vo confirmed that his clients had refinanced the Jerome property, were using the proceeds of the refinance to pay their living expenses, and that his clients had no intention of filing an application with the Court to request an allowance for the payment of reasonable living expenses. He

1 also said he would not disclose the source of his retainer. (*Id.*)

2 **b. Documents Relating to the Refinance of the Jerome Property**

3
4 On August 15, 2019, the court-appointed receiver, Jeffrey Brandlin, obtained
5 copies of the closing statement for the refinance of the Jerome property referenced
6 during the August 13, 2019 meet and confer. (Brandlin Dec., ¶ 14, Ex. 13.) The
7 lender, Silver Lantern, LLC, produced documents showing that on June 24, 2019,
8 after the June 14, 2019 asset freeze was in effect, approximately \$315,000 was
9 disbursed to an account in the name of Do. (*Id.*) On June 27, 2019, \$315,300.85 of
10 the refinance proceeds was wired into an account at Cathay Bank in the name of
11 relief defendant Do. (*Id.* at ¶ 17.) By July 3, 2019, the balance in that account was
12 \$0. (*Id.*) According to Cathay Bank, \$188,331.93 was withdrawn by Do in the form
13 of fifteen (15) cashiers' checks (including one (1) cashier's check for \$15,000 made
14 out to Mai Do); \$100,000 total was wired to an account at Robinhood Securities,
15 LLC; and \$15,551.88 was used for credit card and car payments. (*Id.*) The receiver
16 has also discovered 14 bank/brokerage accounts that Nguyen and Do failed to list in
17 their accounting of assets filed with the Court on July 15, 2019, and that they failed to
18 disclose to the SEC in accordance with their obligation to provide an accounting of
19 their assets. (*Id.* at ¶ 4.)

20 **III. ARGUMENT**

21 This Court has the inherent power to enforce compliance with its lawful orders
22 through civil contempt. *See Shillitani v. United States*, 384 U.S. 364, 370 (1966); *see*
23 *also Young v. United States*, 481 U.S. 787, 793 (1987); *United States v. Powers*, 629
24 F.2d 619, 624 (9th Cir. 1980); *SEC v. Bilzerian*, 112 F. Supp. 2d 12, 16 (D.D.C.
25 2000); *SEC v. Bankers Alliance Corp.*, 881 F. Supp. 673, 678 (D.D.C. 1995). A party
26 commits contempt when it violates a definite and specific court order that requires it
27 to perform a particular act, with knowledge of the court's order. *See In re Crystal*
28 *Palace Gambling Hall, Inc.*, 817 F.2d 1361, 1365 (9th Cir. 1987); *SEC v. First*

1 *Financial Group of Texas, Inc.*, 659 F.2d 660, 669 (5th Cir. 1981).

2 In civil contempt, a defendant can purge himself of contempt at any time.
3 *Shillitani*, 384 U.S. at 370-71. In this way, civil contempt is “wholly remedial,” and
4 is not intended to be punitive. Rather, it is meant to coerce compliance with an order
5 of the court. *See Int’l Union, United Mine Workers of America v. Bagwell*, 512 U.S.
6 821, 827 (1994) (“Civil contempt sanctions, or those penalties designed to compel
7 future compliance with a court order, are considered to be coercive and avoidable
8 through obedience.”); *McComb v. Jacksonville Paper Co.*, 336 U.S. 187, 191 (1949);
9 *Southern Railway Co. v. Lanham*, 403 F.2d 119, 124 (5th Cir. 1968); *cf. Bagwell*, 512
10 U.S. at 829 (expanding remedial purposes to include losses sustained, not merely
11 future compliance).

12 To make a *prima facie* showing of civil contempt, the movant must prove only
13 that the contemnor failed to comply with a valid court order. *See United States v.*
14 *Rylander*, 460 U.S. 752, 755 (1983); *FTC v. Affordable Media, LLC*, 179 F.3d 1228,
15 1239 (9th Cir. 1999). In a civil contempt proceeding, the proof of contempt must be
16 clear and convincing. *See Vertex Distributing, Inc. v. Falcon Foam Plastics, Inc.*,
17 689 F.2d 885, 889 (9th Cir. 1982). Civil contempt “may be imposed in an ordinary
18 civil proceeding upon notice and an opportunity to be heard. Neither a jury trial nor
19 proof beyond a reasonable doubt is required.” *Bagwell*, 512 U.S. at 827; *see also*
20 *Penfield Co. of Cal. v. SEC*, 330 U.S. 585, 590 (1947). Thus, a party may be held in
21 contempt if the moving party shows that the “order being enforced is clear and
22 unambiguous, the proof of noncompliance is clear and convincing and the defendant
23 has not been reasonably diligent and energetic in attempting to accomplish what was
24 ordered.” *EEOC v. Local 638*, 753 F.2d 1172, 1178 (2d Cir. 1985) (citations and
25 internal quotation marks omitted). Once a *prima facie* case has been shown, the
26 burden is on the defendant to come forward with evidence showing “categorically
27 and in detail” why he or she is unable to comply. *Rylander*, 460 U.S. at 755.

28 Also, in civil contempt proceedings, intent is not an issue. *Donovan v.*

1 *Mazzola*, 716 F.2d 1226, 1240 (9th Cir. 1983); *Jim Walter Resources, Inc. v.*
 2 *International Union, UMW*, 609 F.2d 165, 168 (5th Cir. 1980). The absence of intent
 3 does not excuse civil contempt because it is a sanction to enforce compliance with an
 4 order of the court, and therefore is not dependent on the state of mind of the
 5 respondent. *See In Re Crystal Palace Gambling Hall, Inc.*, 817 F.2d at 1365; *NLRB*
 6 *v. Ralph Printing and Lithographing Co.*, 433 F.2d 1058, 1062 (8th Cir. 1970). Even
 7 good faith on the part of the defendant is no defense. *Donovan*, 716 F.2d at 1240.
 8 Indeed, civil contempt may be established even though the failure to comply with a
 9 court order was unintentional. *Perry v. O'Donnell*, 759 F.2d 702, 705 (9th Cir.
 10 1985).

11 Nguyen and Do are in contempt of court. Based on the documents obtained by
 12 the receiver, there is clear and convincing evidence that they have violated the
 13 Court's asset freezes and their obligation to provide an accounting of their assets to
 14 the Court and the SEC. Specifically, Nguyen and Do have failed to comply with the
 15 Court's June 14, July 3, and August 15, 2019 orders outlined above. *See In re*
 16 *Crystal Palace Gambling Hall, Inc.*, 817 F.2d 1361, 1365 (9th Cir. 1987) (a party
 17 commits contempt when it violates a definite and specific court order that requires it
 18 to perform a particular act, with knowledge of the court's order); *SEC v. First*
 19 *Financial Group of Texas, Inc.*, 659 F.2d 660, 669 (5th Cir. 1981).

20 **IV. CONCLUSION**

21 For the foregoing reasons, the SEC respectfully requests that the Court issue an
 22 order to show cause why the Nguyen and Do should not be held in civil contempt.

23 Dated: August 29, 2019

Respectfully submitted,

25 /s/ Douglas M. Miller

26 Douglas M. Miller
 27 Kelly C. Bowers
 28 Attorneys for Plaintiff Securities and
 Exchange Commission

PROOF OF SERVICE

I am over the age of 18 years and not a party to this action. My business address is:

U.S. SECURITIES AND EXCHANGE COMMISSION,
444 S. Flower Street, Suite 900, Los Angeles, California 90071
Telephone No. (323) 965-3998; Facsimile No. (213) 443-1904.

On August 29, 2019, I caused to be served the document entitled **PLAINTIFF SECURITIES AND EXCHANGE COMMISSION'S EX PARTE APPLICATION FOR ORDER TO SHOW CAUSE WHY DEFENDANT RICHARD VU NGUYEN AND RELIEF DEFENDANT MAI DO SHOULD NOT BE HELD IN CIVIL CONTEMPT AND MEMORANDUM OF POINTS AND AUTHORITIES IN SUPPORT THEREOF** on all the parties to this action addressed as stated on the attached service list:

☐ **OFFICE MAIL:** By placing in sealed envelope(s), which I placed for collection and mailing today following ordinary business practices. I am readily familiar with this agency's practice for collection and processing of correspondence for mailing; such correspondence would be deposited with the U.S. Postal Service on the same day in the ordinary course of business.

☐ **PERSONAL DEPOSIT IN MAIL:** By placing in sealed envelope(s), which I personally deposited with the U.S. Postal Service. Each such envelope was deposited with the U.S. Postal Service at Los Angeles, California, with first class postage thereon fully prepaid.

☐ **EXPRESS U.S. MAIL:** Each such envelope was deposited in a facility regularly maintained at the U.S. Postal Service for receipt of Express Mail at Los Angeles, California, with Express Mail postage paid.

☐ **HAND DELIVERY:** I caused to be hand delivered each such envelope to the office of the addressee as stated on the attached service list.

☐ **UNITED PARCEL SERVICE:** By placing in sealed envelope(s) designated by United Parcel Service ("UPS") with delivery fees paid or provided for, which I deposited in a facility regularly maintained by UPS or delivered to a UPS courier, at Los Angeles, California.

☐ **ELECTRONIC MAIL:** By transmitting the document by electronic mail to the electronic mail address as stated on the attached service list.

☒ **E-FILING:** By causing the document to be electronically filed via the Court's CM/ECF system, which effects electronic service on counsel who are registered with the CM/ECF system.

☐ **FAX:** By transmitting the document by facsimile transmission. The transmission was reported as complete and without error.

I declare under penalty of perjury that the foregoing is true and correct.

Date: August 29, 2019

/s/ Douglas Miller

Douglas Miller

SEC v. Richard Vu Nguyen et. al.
United States District Court—Central District of California
Case No. 8:19-cv-01174-AG-KES

SERVICE LIST

*Counsel for Defendant(s) Richard V Nguyen and Relief Defendant
Mai Do:*

Mike N. Vo
17910 Skypark Circle, Suite 103
Irvine, CA 92614

Counsel for NTV Financial, Inc.:

Kyra Andrassy for Court Appointed Receiver

kandrassy@swelawfirm.com

Court-Appointed Receiver:

Jeffrey E. Brandlin, CPA Brandlin & Associates

jeff@brandlin.com

DOUGLAS M. MILLER (Cal. Bar No. 240398)
Email: millerdou@sec.gov
KELLY C. BOWERS (Cal. Bar No. 164007)
Email: bowersk@sec.gov

Attorneys for Plaintiff
Securities and Exchange Commission
Michele Wein Layne, Regional Director
Amy J. Longo, Regional Trial Counsel
444 S. Flower Street, Suite 900
Los Angeles, California 90071
Telephone: (323) 965-3998
Facsimile: (213) 443-1904

**UNITED STATES DISTRICT COURT
CENTRAL DISTRICT OF CALIFORNIA
WESTERN DIVISION**

SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

vs.

RICHARD VU NGUYEN, A/K/A
NGUYEN THANH VU, and NTV
FINANCIAL GROUP, INC.,

Defendants,

and

MAI DO,

Relief Defendant.

Case No. 8:19-cv-01174-AG-KES

**[PROPOSED] ORDER TO SHOW
CAUSE WHY DEFENDANT
RICHARD VU NGUYEN AND
RELIEF DEFENDANT MAI DO
SHOULD NOT BE HELD IN CIVIL
CONTEMPT**

1 FOR GOOD CAUSE SHOWN, Plaintiff Securities and Exchange
2 Commissions' ("SEC") *Ex Parte* Application for Order to Show Cause Why
3 Defendant Richard Vu Nguyen and Relief Defendant Mai Do Should Not Be Held in
4 Civil Contempt (Dkt No. __) is hereby GRANTED.

5 IT IS ORDERED THAT defendant Richard Vu Nguyen and relief defendant
6 Mai Do shall personally appear before this Court on September 12, 2019 at 10:00
7 a.m. to show cause why an order of civil contempt should not be issued against them.

8 This Order shall be deemed served when emailed to counsel for defendant
9 Richard Vu Nguyen and relief defendant Mai Do. Any declarations, points and
10 authorities, or other submissions in opposition to the issuance of an order of civil
11 contempt shall be filed with the Court and served by email on counsel to the SEC no
12 later than __ o'clock __.m. on _____, 2019. Any reply papers shall be
13 filed with the Court and served by email on the corporate defendants no later than
14 __ o'clock __.m. on _____, 2019.

15
16 IT IS SO ORDERED.

17
18
19 Dated: _____, 2019

UNITED STATES DISTRICT JUDGE

20
21 Presented by:

22 /s/Douglas M. Miller

23 Douglas M. Miller

24 Kelly C. Bowers

25 Attorneys for Plaintiff

26 Securities and Exchange Commission
27
28

DOUGLAS M. MILLER (Cal. Bar No. 240398)
Email: millerdou@sec.gov
KELLY C. BOWERS (Cal. Bar No. 164007)
Email: bowersk@sec.gov

Attorneys for Plaintiff
Securities and Exchange Commission
Michele Wein Layne, Regional Director
Amy J. Longo, Regional Trial Counsel
444 S. Flower Street, Suite 900
Los Angeles, California 90071
Telephone: (323) 965-3998
Facsimile: (213) 443-1904

UNITED STATES DISTRICT COURT
CENTRAL DISTRICT OF CALIFORNIA
Western Division

COMMISSION,

Plaintiff,

vs.

RICHARD VU NGUYEN, A/K/A
NGUYEN THANH VU, and NTV
FINANCIAL GROUP, INC.,

Defendants,

and

MAI DO,

Relief Defendant.

Case No. 8:19-cv-01174-AG-KES

**DECLARATION OF DOUGLAS M.
MILLER IN SUPPORT OF EX
PARTE FOR ORDER TO SHOW
CAUSE WHY DEFENDANT
RICHARD VU NGUYEN AND
RELIEF DEFENDANT MAI DO
SHOULD NOT BE HELD IN CIVIL
CONTEMPT**

1 I, Douglas M. Miller, declare pursuant to 28 U.S.C. § 1746 as follows:

2 1. I am an attorney admitted to practice law by the State Bar of California
3 and by this Court. I am currently a Senior Trial Counsel with Plaintiff Securities and
4 Exchange Commission's ("SEC") Los Angeles Regional Office. I have personal
5 knowledge of the matters set forth herein, except as otherwise noted, and, if called as
6 a witness, I could and would competently testify under oath to the facts stated herein.

7 2. I make this declaration in support of the SEC's accompanying
8 Memorandum of Points and Authorities in Support of Ex Parte Application for Order
9 to Show Cause Why Defendant Richard Vu Nguyen and Relief Defendant Mai Do
10 Should Not Be Held in Civil Contempt ("the Order to Show Cause").

11 3. On August 29, 2019, I contacted counsel for the court-appointed
12 receiver, Kyra Andrassy, and let her know that I planned to file the Order to Show
13 Cause. Ms. Andrassy stated that she did not oppose the application.

14 4. On August 29, 2019, I attempted to contact counsel for defendant
15 Richard Vu Nguyen and relief defendant Mai Do, Mike N. Vo, and let him know that
16 I planned to file the Order to Show Cause. My call went to a voicemail system that
17 indicated Mr. Vo did not accept ex parte notifications via voicemail. After listening
18 to this voicemail, I sent Mr. Vo an email stating that I intended to file the Order to
19 Show Cause and to respond as soon as possible, letting me know if he opposed the
20 Order to Show Cause and, if so, whether he intended to file an opposition. Mr. Vo
21 later responded, "I won't know if an Opposition will be filed until I see the *ex parte*
22 motion. Please send a copy when available."

23 5. Attached hereto as **Exhibit 1** is a true and correct copy of a letter dated
24 August 20, 2019 addressed to Mr. Mike N. Vo, Esq.

25 6. Attached hereto as **Exhibit 2** are true and correct copy of an email thread
26 dated from August 20, 2019 through August 21, 2019.

27 I declare under penalty of perjury under the laws of the United States of
28 America that the foregoing is true and correct.

Executed this 29th day of August, 2019 in Los Angeles, California.

/s/ Douglas M. Miller
DOUGLAS M. MILLER

PROOF OF SERVICE

I am over the age of 18 years and not a party to this action. My business address is:

U.S. SECURITIES AND EXCHANGE COMMISSION,
444 S. Flower Street, Suite 900, Los Angeles, California 90071
Telephone No. (323) 965-3998; Facsimile No. (213) 443-1904.

On August 29, 2019, I caused to be served the document entitled **DECLARATION OF DOUGLAS M. MILLER IN SUPPORT OF EX PARTE FOR ORDER TO SHOW CAUSE WHY DEFENDANT RICHARD VU NGUYEN AND RELIEF DEFENDANT MAI DO SHOULD NOT BE HELD IN CIVIL CONTEMPT** on all the parties to this action addressed as stated on the attached service list:

☐ **OFFICE MAIL:** By placing in sealed envelope(s), which I placed for collection and mailing today following ordinary business practices. I am readily familiar with this agency's practice for collection and processing of correspondence for mailing; such correspondence would be deposited with the U.S. Postal Service on the same day in the ordinary course of business.

☐ **PERSONAL DEPOSIT IN MAIL:** By placing in sealed envelope(s), which I personally deposited with the U.S. Postal Service. Each such envelope was deposited with the U.S. Postal Service at Los Angeles, California, with first class postage thereon fully prepaid.

☐ **EXPRESS U.S. MAIL:** Each such envelope was deposited in a facility regularly maintained at the U.S. Postal Service for receipt of Express Mail at Los Angeles, California, with Express Mail postage paid.

☐ **HAND DELIVERY:** I caused to be hand delivered each such envelope to the office of the addressee as stated on the attached service list.

☐ **UNITED PARCEL SERVICE:** By placing in sealed envelope(s) designated by United Parcel Service ("UPS") with delivery fees paid or provided for, which I deposited in a facility regularly maintained by UPS or delivered to a UPS courier, at Los Angeles, California.

☐ **ELECTRONIC MAIL:** By transmitting the document by electronic mail to the electronic mail address as stated on the attached service list.

☒ **E-FILING:** By causing the document to be electronically filed via the Court's CM/ECF system, which effects electronic service on counsel who are registered with the CM/ECF system.

☐ **FAX:** By transmitting the document by facsimile transmission. The transmission was reported as complete and without error.

I declare under penalty of perjury that the foregoing is true and correct.

Date: August 29, 2019

/s/ Douglas Miller

Douglas Miller

SEC v. Richard Vu Nguyen et. al.
United States District Court—Central District of California
Case No. 8:19-cv-01174-AG-KES

SERVICE LIST

*Counsel for Defendant(s) Richard V Nguyen and Relief Defendant
Mai Do:*

Mike N. Vo
17910 Skypark Circle, Suite 103
Irvine, CA 92614

Counsel for NTV Financial, Inc.:

Kyra Andrassy for Court Appointed Receiver
kandrassy@swelawfirm.com

Court-Appointed Receiver:

Jeffrey E. Brandlin, CPA Brandlin & Associates
jeff@brandlin.com

EXHIBIT 1



**UNITED STATES
SECURITIES AND EXCHANGE COMMISSION**
LOS ANGELES REGIONAL OFFICE
444 S. FLOWER STREET, SUITE 900
LOS ANGELES, CALIFORNIA 90071

DIRECT DIAL: (323) 965-3837
FAX: (213) 443-1904

August 20, 2019

VIA EMAIL & REGULAR MAIL

Mike N. Vo, Esq.
17910 Skypark Circle, Suite 103
Irvine, California 92614
mvo@mikevolaw.com

Re: Securities and Exchange Commission v. Defendants Richard Vu Nguyen, aka
Nguyen Thanh Vu, and NTV Financial Group, Inc., and Relief Defendant Mai
Do Case No. 19-cv-01174-AG-KES

Dear Mr. Vo:

We are writing to follow up on several issues that were raised with you during our August 13, 2019 meet and confer regarding our Ex Parte Application to Amend Preliminary Injunction and Continuation of Orders: (1) Freezing Assets; (2) Requiring Accountings; (3) Prohibiting the Destruction of Documents; and (4) Appointing Receiver. We have serious concerns that your clients are in violation of the Court-imposed asset freeze.

During the meet and confer, counsel for the receiver, Kyra Andrassy, asked whether your clients had refinanced a property located at 12632 Jerome Lane, Garden Grove, CA 92841 ("the Jerome property") and whether they were using the proceeds of the refinance to pay their living expenses. She also asked about your retainer and the source of the funds used to pay your retainer. You confirmed that your clients had refinanced the Jerome property, were using the proceeds of the refinance to pay their living expenses, and your clients had no intention of filing an application with the Court to request an allowance for the payment of reasonable living expenses. You also said you would not disclose the source of your retainer.

It appears that the funds being used to pay your clients' living expenses, without prior authorization by the Court, and possibly your retainer, are subject to the asset freezes the Court has put in place. For example, Section VII of the initial Temporary Restraining Order ("TRO") provided:

Mike N. Vo
August 20, 2019
Page 2

IT IS FURTHER ORDERED that, except as otherwise ordered by this Court, an immediate freeze shall be placed on all monies and assets (with an allowance for necessary and reasonable living expenses to be granted only upon good cause shown by application to the Court with notice to and an opportunity for the SEC to be heard) in all accounts at any bank, financial institution, brokerage firm, third-party payment processor, held in the name of, for the benefit of, or over which account authority is held by Defendants NTV Financial and/or Nguyen, and/or by Relief Defendant Do, including but not limited to the accounts listed below...

Any bank, financial institution, brokerage firm, or third-party payment processor shall hold and retain within their control and prohibit the withdrawal, removal, transfer or other disposal of any such funds or other assets except as otherwise ordered by this Court. (Dkt. No. 15.)

This same provision has been contained in all of the subsequent asset freezes issued by the Court. (Dkt. Nos. 25 and 58.) These orders have also required any person who receives notice of the order and who holds more than \$5,000 “for the account or benefit of any one of the Defendants” to provide SEC counsel with “a written statement identifying all such assets,” among other information. (Dkt. Nos. 15, 25 and 58.) Finally, each of these orders have required your clients to provide us with “a detailed and complete schedule of all of their assets, including all real and personal property exceeding \$5,000 in value, and all bank, securities, and other accounts identified by institution, branch address, and account number.” (*Id.*)

We have obtained copies of the closing statement for the refinance of the Jerome property from the lender, Silver Lantern, LLC, which indicate that on June 24, 2019, after the asset freezes mentioned above were in effect, approximately \$315,637.04 was disbursed to your client, Mai Do. (Ex. 1.) We have also obtained copies of the escrow records that indicate your client, Richard Nguyen, personally directed that those funds go to an Apex Clearing Corporation brokerage account in the name of Mai Do (Account No. 61996904). (Ex. 2.) However, Apex Clearing Corp. has advised us and that they never received those funds. Just days later, on July 5, 2019, we were contacted by your clients’ former counsel, Kien Le, notifying us that you had been retained as counsel and would be substituting in for Mr. Le. (Ex. 3.)

This evidence, combined with your representations during the meet and confer, indicate that your clients are violating the asset freeze by: (1) using funds from the Jerome property refinance to pay for their living expenses and to pay your retainer without Court

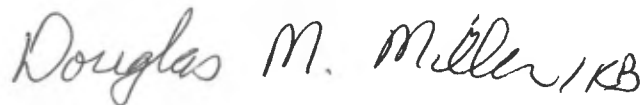
Mike N. Vo
August 20, 2019
Page 3

approval; and (2) not including in their accounting of assets for the proceeds of the Jerome property refinance. It also indicates that you also may be violating the asset freeze by holding funds for Do and Nguyen as a retainer against future legal fees without reporting such funds in an accounting.

Based on the foregoing, we demand that you and your clients do the following by no later than 2:00 pm, August 21, 2019: (1) identify where the funds obtained from the refinance of the Jerome property (approximately \$315,637.04) are presently located; (2) provide a detailed and complete accounting of any expenditure of the funds obtained from the refinance of the Jerome property; (3) provide a detailed and complete accounting of any other accounts or assets that are being used for the benefit of your clients; (4) state the amount that you or your firm received from Nguyen or Do and the amount of funds you are currently holding for the benefit of Nguyen or Do; and (5) represent that your clients will not use proceeds from the Jerome property refinance to pay any further living expenses or legal fees without Court approval. *See SEC v. Interlink Data Network of Los Angeles, Inc.*, 77 F.3d 1201, 1206-07 (9th Cir. 1997) (holding that freeze of “any funds or other assets in the name, for the benefit or under the control of the Defendants” covered unearned retainer).

Absent receiving this information and sufficient assurance and evidence that your clients are not in violation of the asset freeze as to either their payment of living expenses or of your firm’s retainer, we will be obliged to bring this issue to the Court’s attention to seek enforcement of the TRO and the Preliminary Injunction.

Sincerely,

Handwritten signature of Douglas M. Miller in cursive script, followed by the initials KB.

DOUGLAS M. MILLER
Senior Trial Counsel

Enclosures: Escrow Settlement Statement
June 20, 2019 email from ZHOG Network to NSW2 Escrow
July 5, 2019 email from Kien Le to Douglas Miller

cc: Kyra Andrassy, Esq.

American Land Title Association

ALTA Settlement Statement - Borrower
Adopted 05-01-2015

File No./Escrow No.: NSWREF19157159 **Stewart Title Guaranty Company**
Print Date & Time: 6/18/2019 2:04:38 PM 5000 Birch St
Officer/Escrow Officer: Ste 550
Newport Beach, CA 92660
(833) 692-3958

Property Address: 12632 JEROME LANE
GARDEN GROVE, CA 92841 (ORANGE)
(133-301-07)

Borrower: MAI DO
12632 Jerome Ln
Garden Grove, CA 92841

Lender: Silver Lantern, LLC
707 H St, Eureka, CA 95501

Settlement Date: 6/18/2019

Disbursement Date: 6/24/2019

Description	Borrower		
	P.O.C.	Debit	Credit
Payoffs			
Net Payoff to (NA) Standard Mortgage Financial Services Inc		\$118,766.24	
Principal: \$116,955.39			
Hold for ck 5040 6/27: \$65.55			
Other Fees : \$315.00			
Interest through 6/28: \$403.74			
Hold for Ck 5035 6/21 : \$1,026.56			
New Loans			
Loan Amount			\$460,000.00
Lender Doc Fees to (NA) Silver Lantern, LLC		\$1,000.00	
Broker Fee to (NA) Equinox Home Financing Inc		\$5,750.00	
Processing Fee to (NA) Equinox Home Financing Inc		\$495.00	
Prepaid Interest (118.1900 per day from 6/21/2019 to 7/1/2019)		\$1,181.90	
Property Taxes (2016) to Orange County Tax Collector		\$15,813.82	
Title Charges			
Title - Lender's Title Insurance to Stewart Title Guaranty Company		\$575.00	
Title - ALTA 22-06 Location - Loan Policy 6-17-06 Endorsement(s) to Stewart Title Guaranty Company			
Title - ALTA 8.1-06 Environmental Protection Lien 6-17-06 Endorsement(s) to Stewart Title Guaranty Company			
Title - ALTA 9-06 Restrictions, Encroachments, Minerals-Loan Policy 4-2-12 Endorsement(s) to Stewart Title Guaranty Company			
Title - Settlement or closing fee to Stewart Title Guaranty Company		\$500.00	
Title - Signing Fee to Coast 2 Coast Signings, Inc		\$125.00	
Government Recording and Transfer Charges			
Recording Fees: Mortgage to Stewart Title Guaranty Company \$156.00		\$156.00	
	P.O.C.	Debit	Credit
Subtotals	\$0.00	\$144,362.96	\$460,000.00
Due To Borrower		\$315,637.04	
Totals	\$0.00	\$460,000.00	\$460,000.00

SUBSTITUTE FORM 1099 SELLER STATEMENT: The information contained herein is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction will be imposed on you if this item is required to be reported and the IRS determines that it has not been reported.

SELLER INSTRUCTIONS: If this real estate was your principal residence, file form 2119, Sale or Exchange of Principal Residence, for any gain, with your income tax return; for other transactions, complete the applicable parts of form 4797, Form 6252 and/or Schedule D (Form 1040). This transaction does not need to be reported on Form 1099-S if you sign a certification containing assurances that any capital gain from this transaction will be exempt from tax under new IRS Code Section 121. You are required by law to provide the Settlement Agent with your correct taxpayer identification number. If you do not provide the Settlement Agent with your correct taxpayer identification number, you may be subject to civil or criminal penalties imposed by law.

Acknowledgement

We/I have carefully reviewed the ALTA Settlement Statement and find it to be a true and accurate statement of all receipts and disbursements made on my account or by me in this transaction and further certify that I have received a copy of the ALTA Settlement Statement. We/I authorize Stewart Title Guaranty Company to cause the funds to be disbursed in accordance with this statement.

BORROWER(S)

MAI DO

From: [ZHOG NETWORK](#)
To: [NSW2 Escrow](#)
Subject: [External] Fwd: correct wiring instruction for MAI DO
Date: Thursday, June 20, 2019 7:37:26 AM
Attachments: [Ally WiringInstruction.pdf](#)

This is for MAI DO

Please wire our fund into our brokerage account instead of Bank of America

Wire Routing Information

Routing Number:

071000288

Bank Account Number:

3713302

SWIFT:

HATRUS44

Bank Information:

BMO Harris Bank

111 W. Monroe St.

Chicago, Illinois 60603

Name on Bank Account:

Apex Clearing Corp

One Dallas Center

350 N. St Paul

Suite 1300

Dallas, TX 75201

For Further Credit To:

MAI DO

For Further Credit Account:

61996904

Important Information

- We don't allow incoming or outgoing international or third party wires.
- Keep in mind, if you don't include **For Further Credit To** with your Ally Invest account number and name, your deposit may be delayed.
- Initial funding via wire transfers of \$5,000 or more is eligible for reimbursement of related wire transfer fees (\$25 maximum). This doesn't apply to retirement accounts. This is a one-time credit for your first deposit, and no subsequent deposits will qualify.

please use this wiring instruction.

Richard

From: [Kien Le](#)
To: [Miller, Douglas](#)
Subject: Unexpectedly Have to Withdraw from Case (SEC v. NTV Financial, et al.)
Date: Friday, July 05, 2019 1:01:27 PM

CAUTION: This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Doug,

Good afternoon. I recently received some pressing family news that will require my time and attention in the Bay Area. Therefore, I am withdrawing from this case. I have already talked to Richard about it and he has already retained another attorney, Mike Vo. I have already spoken to Mr. Vo and will be forwarding him everything I have on this matter.

Here is his information should you want to get in touch with him:

Mike N. Vo
Law Offices of Mike N. Vo
17190 Skypark Cir, Suite 103
Irvine, CA 92614
Tel: (949) 221-8238
Fax: (844) 394-0129
mvo@mikevolaw.com

I apologize for any inconvenience this may cause. If you have any other questions or concerns, please feel free to contact me. Thank you.

Sincerely,

Kien Le, Esq.
Law Offices of Kien Le
12755 Brookhurst Street, Suite 115
Garden Grove CA 92840
Tel: (714) 684-6553
Fax: (714) 260-9365
kienle.law@gmail.com

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INTERNET CONFIDENTIALITY NOTICE: This communication and any accompanying documents are confidential information intended only for the use of the person to whom it is addressed.

If the reader of this message is not the named recipient or an employee or agent responsible for delivering this message to the named recipient, please notify us immediately that you have received this message in error. Then delete this message and any accompanying documents without copying or reading them. You are hereby notified that any review, disclosure, dissemination, copying distribution, or the taking of any action in reliance on the contents of this information is strictly prohibited. Email is covered by the Electronic Communications Privacy Act, 18 U.S.C. §§ 2510-2521 and is legally privileged.

EXHIBIT 2

From: [Bowers, Kelly C.](#)
To: [Miller, Douglas](#)
Subject: FW: Smail SEC v. Nguyen
Date: Thursday, August 29, 2019 11:08:39 AM

Kelly Curtis Bowers
Los Angeles Regional Office
U.S. Securities and Exchange Commission
Tel. 323 965 3924

From: Miller, Douglas <millerdou@SEC.GOV>
Sent: Wednesday, August 21, 2019 2:17 PM
To: Bowers, Kelly C. <BowersK@sec.gov>; Mike Vo <mvo@mikevolaw.com>
Cc: Kyra Andrassy <kandrassy@swelawfirm.com>
Subject: RE: Smail SEC v. Nguyen

Mike,

We have not received a response to this email and just wanted to confirm you are not planning to send one.

DM

From: Bowers, Kelly C. <BowersK@sec.gov>
Sent: Tuesday, August 20, 2019 10:09 AM
To: Mike Vo <mvo@mikevolaw.com>
Cc: Miller, Douglas <millerdou@SEC.GOV>; Kyra Andrassy <kandrassy@swelawfirm.com>; Bowers, Kelly C. <BowersK@sec.gov>
Subject: Smail SEC v. Nguyen
Importance: High

Letter from Douglas M. Miller

Kelly Curtis Bowers
Los Angeles Regional Office
U.S. Securities and Exchange Commission
Tel. 323 965 3924

1 DOUGLAS M. MILLER (Cal. Bar No. 240398)
Email: millerdou@sec.gov
2 KELLY C. BOWERS (Cal. Bar No. 164007)
Email: bowersk@sec.gov

3 Attorneys for Plaintiff
4 Securities and Exchange Commission
Michele Wein Layne, Regional Director
5 Amy J. Longo, Regional Trial Counsel
444 S. Flower Street, Suite 900
6 Los Angeles, California 90071
Telephone: (323) 965-3998
7 Facsimile: (213) 443-1904

8 **UNITED STATES DISTRICT COURT**
9 **CENTRAL DISTRICT OF CALIFORNIA**
10 **Western Division**

11 COMMISSION,

12 Plaintiff,

13 vs.

14 RICHARD VU NGUYEN, A/K/A NGUYEN
15 THANH VU, and NTV FINANCIAL
16 GROUP, INC.,

17 Defendants,

18 and

19 MAI DO,

20 Relief Defendant.
21
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Case No. 8:19-cv-01174-AG-KES

**DECLARATION OF JEFFREY
BRANDLIN**

1 I, Jeffrey Brandlin, declare as follows:

2 1. I am the federal equity receiver appointed by the U.S. District Court, Central
3 District of California, over NTV Financial Group, Inc. ("NTV Financial"), and certain assets of
4 defendant Richard Nguyen and relief defendant Mai Do. I know the facts contained in this
5 declaration to be true of my own personal knowledge, except as otherwise stated and, if called as a
6 witness, I could and would competently testify with respect thereto. I make this supplemental
7 declaration in support of the ex parte application of the Securities and Exchange Commission (the
8 "SEC") to expand the scope of the order freezing assets [Docket No. 46] (the "Application").
9 Unless otherwise defined in this declaration, all terms defined in the Application are incorporated
10 herein by this reference.

11 **Undisclosed Accounts**

12
13 2. It is my understanding that, pursuant to the preliminary injunction and related
14 orders [Docket No. 25], and as subsequently amended per stipulation [Docket No. 28] and order
15 thereon [Docket No. 31], defendants Richard Nguyen and Mai Do (collectively, the "Defendants")
16 were required to file and serve a complete schedule of all of their assets, including all bank and
17 brokerage accounts, by July 15, 2019. On July 15, 2019, the Defendants filed their list of assets
18 [Docket No. 38] ("Defendants' List of Assets"), a copy of which is attached hereto as Exhibit "1."

19 3. As the receiver, some of my duties include collecting all funds and assets of or
20 managed by Defendant NTV Financial and/or the Subject Accounts (as identified in the order
21 appoint a permanent receiver [Docket No. 25]), and preserving and preventing the dissipation of
22 such assets and funds. The Subject Accounts were not limited to the specifically identified
23 accounts but instead included all accounts held by or for the benefit of NTV Financial or the
24 Defendants. To this end, one of the first tasks that my proposed counsel and I undertook after my
25 appointment as receiver was to notify all banks and brokerage firms listed in the asset freeze that I
26 had been appointed and that accounts in the name of NTV Financial or the Defendants were within
27 the scope of the receivership estate and to be frozen and turned over to the receivership estate, and
28 to request records for those accounts.

4. Based on the responses and documents that I have received to those requests and based on my subsequent investigation and comparison of those responses with the Defendants' List of Assets, I believe the Defendants omitted a number of accounts from their list, including the following:

INSTITUTION	ACCOUNT NAME/OWNER	ACCOUNT NO.	Exhibit No.
Apex Clearing/Ally Securities	Richard Nguyen	ending in 9010	2
Apex Clearing/Ally Securities	Mai Do	ending in 6904	2
Bank of America	Mai Do POD Phuong Do	ending in 2347	3
Bank of America	Custodial Account for Loan T Do Mai Do Rep Payee	ending in 5653	3
Bank of America	Mai Do	ending in 0399	3
Cathay Bank	Mai Do	ending in 9150	4
Citibank	Mai Do	ending in 7059	5
Citibank	Richard Nguyen	ending in 7824	5
E*Trade	Mai Do	ending in 2378	6
Fidelity Brokerage Services, LLC	Richard Nguyen	ending in 8347	7
Fidelity Brokerage Services, LLC	Mai Do	ending in 8163	8
Farmers & Merchants Bank	Mai Do	ending in 8635	9
Robinhood Securities LLC	Mai Do	ending in 5368	10
Eagle Community Credit Union	Mai Do	ending in 2006	11

1 5. Attached hereto as Exhibits 2-6 are true and correct copies of excerpts of the
2 records I received in response to my production requests from Apex Clearing, Bank of America,
3 Cathay Bank, Citibank and E*Trade, respectively.

4 6. Attached hereto as Exhibits 7-11 are true and correct copies of excerpts of the
5 records I received in response to my production request from Fidelity Brokerage Services, LLC
6 ("Fidelity").

7 7. I have requested statements and other records for all of the above-detailed accounts
8 and have received some, but not all of the requested documents. My investigation of the
9 Defendants' accounts is on-going.

10 8. Based on my review of the production received to date, the Defendants transferred
11 funds into and/or out of the following accounts identified above after the asset freeze was entered
12 on June 14, 2019:

13

14 INSTITUTION	15 ACCOUNT NAME/OWNER	16 ACCOUNT NO.	17 Exhibit No.
18 Cathay Bank	Mai Do	ending in 9150	4
19 Citibank	Mai Do	ending in 7059	5
20 Citibank	Richard Nguyen	ending in 7824	5
21 Fidelity Brokerage 22 Services, LLC	Mai Do	ending in 8163	8

23 9. For example, based on my review of the production received from Fidelity, on July
24 29, 2019 and July 30, 2019, defendant Mai Do wired \$95,000 and \$60,500 out of her Fidelity
25 account and into her account at Farmers & Merchants Bank. (*See*. Ex. 8 at 58.) Neither of these
26 accounts were disclosed by the Defendants on the Defendants' List of Assets.

27 10. I am concerned because under the terms of the preliminary injunction, the
28 undisclosed accounts are part of the receivership estate. By failing to disclose the accounts or to

1 fully cooperate with me and instead forcing me to discover the accounts and then chase the funds
2 through various accounts, I am expending effort and incurring fees with a risk that the funds will
3 be depleted by the time I determine where they ultimately went. For example, by the time my
4 counsel received a response from Fidelity regarding the asset freeze on August 21, 2019, I was
5 informed, through my counsel, that Mai Do's account ending in 8163, which was opened on July
6 12, 2019, only had a balance of approximately \$6 on hand because she had withdrawn or
7 transferred approximately \$158,975 to other accounts.

8 11. I am similarly concerned that funds that were on hand from the refinancing of one
9 of the Defendants' properties, as detailed below, may no longer be recoverable for the benefit of
10 the estate.

11 **The Post-Asset Freeze Jerome Property Refinance**

12
13 12. The Defendants' List of Assets included a property located at 12632 Jerome Lane,
14 Garden Grove, CA (the "Jerome Property"). (*See* Ex. 1 at 2.)

15 13. After my appointment, my counsel obtained a property profile report for the Jerome
16 Property. A true and correct copy of relevant excerpts of the property profile report are attached
17 hereto as Exhibit "12." The property profile report reflects that Mai Do holds title to the Jerome
18 Property, that a mortgage had been recorded against the Jerome Property on June 21, 2019 by
19 lender Silver Lantern, LLC ("Silver Lantern"), and that another lender's mortgage had been
20 released pursuant to a recording on July 10, 2019. (*See* Ex. 12 at 70.)

21 14. On August 4, 2019, my counsel caused a subpoena to be served on Silver Lantern.
22 On August 15, 2019, Silver Lantern produced documents which reflect that the Jerome Property
23 was refinanced with Silver Lantern, and on June 24, 2019, approximately \$315,000 was disbursed
24 to Mai Do. True and correct copies of excerpts of the production received from Silver Lantern are
25 attached hereto as Exhibit "13." According to the records produced by Silver Lantern, the escrow
26 for the refinance was handled by Stewart Title Guaranty Company ("Stewart Title").

27 15. On August 15, 2019, my counsel caused a subpoena to be served on Stewart Title.
28 True and correct copies of excerpts of the production received from Stewart Title are attached

1 hereto as Exhibit "14." According to these documents, approximately \$315,000 in refinance
2 proceeds were disbursed to an account in Mai Do's name at Cathay Bank ending in account
3 number 9150 ("Cathay Bank Account 9150"). (See Ex. 14 at 80-81.) Cathay Bank Account 9150
4 was not disclosed on the Defendants' List of Assets, but under the terms of the preliminary
5 injunction and the order appointing me, the account and the funds in it, including the refinance
6 proceeds, belonged to the receivership estate.

7 16. Through separate tracing of the Defendants' accounts, I had previously learned that
8 defendant Mai Do had Cathay Bank Account 9150. On August 6, 2019, my counsel contacted
9 Cathay Bank and requested that Cathay Bank Account 9150 be frozen, and that Cathay Bank
10 produce certain documents. I am informed that, on August 6, 2019, Cathay Bank informed my
11 counsel that Cathay Bank Account 9150 had previously been closed.

12 17. On August 23, 2019, Cathay Bank produced documents in response to my request.
13 True and correct copies of excerpts of Cathay Bank's response are attached hereto as Exhibit "15."
14 According to Cathay Bank's production, the \$315,300.85 was wired to Cathay Bank Account 9150
15 on June 27, 2019, and subsequently disbursed such that Cathay Bank Account 9150 had a balance
16 of \$0 on July 3, 2019. (See Ex. 15 at 83-85.) According to Cathay Bank's production, \$188,331.93
17 was withdrawn by Mai Do in the form of fifteen (15) cashiers' checks (including one (1) cashier's
18 check for \$15,000 made out to Mai Do); \$100,000 total was wired to an account at Robinhood
19 Securities, LLC; and \$15,551.88 was used for credit card and car payments.

20 18. I believe that the Defendants' failure to accurately disclose their accounts and assets
21 has directly hindered and interfered with my ability to perform my duties as the receiver, including
22 my ability to take control of and prevent the dissipation of funds in the Subject Accounts.

23 19. By failing to accurately disclose their assets and fully cooperate with me, the
24 Defendants have forced me to seek the information from third party sources at the expense of the
25 receivership estate and the investors. I am concerned that these extra costs, coupled with the post-
26 asset freeze dissipation of the Defendants' assets, may decrease the recovery that

1 investors ultimately receive.

2 I declare under penalty of perjury under the laws of the United States
3 of America that the foregoing is true and correct.

4 Executed on this 28th day of August, 2019, at Los Angeles, California.

5
6 
7 JEFFREY BRANDLIN

PROOF OF SERVICE

I am over the age of 18 years and not a party to this action. My business address is:

U.S. SECURITIES AND EXCHANGE COMMISSION,
444 S. Flower Street, Suite 900, Los Angeles, California 90071
Telephone No. (323) 965-3998; Facsimile No. (213) 443-1904.

On August 29, 2019, I caused to be served the document entitled **DECLARATION OF JEFFREY BRANDLIN** on all the parties to this action addressed as stated on the attached service list:

☐ **OFFICE MAIL:** By placing in sealed envelope(s), which I placed for collection and mailing today following ordinary business practices. I am readily familiar with this agency's practice for collection and processing of correspondence for mailing; such correspondence would be deposited with the U.S. Postal Service on the same day in the ordinary course of business.

☐ **PERSONAL DEPOSIT IN MAIL:** By placing in sealed envelope(s), which I personally deposited with the U.S. Postal Service. Each such envelope was deposited with the U.S. Postal Service at Los Angeles, California, with first class postage thereon fully prepaid.

☐ **EXPRESS U.S. MAIL:** Each such envelope was deposited in a facility regularly maintained at the U.S. Postal Service for receipt of Express Mail at Los Angeles, California, with Express Mail postage paid.

☐ **HAND DELIVERY:** I caused to be hand delivered each such envelope to the office of the addressee as stated on the attached service list.

☐ **UNITED PARCEL SERVICE:** By placing in sealed envelope(s) designated by United Parcel Service ("UPS") with delivery fees paid or provided for, which I deposited in a facility regularly maintained by UPS or delivered to a UPS courier, at Los Angeles, California.

☐ **ELECTRONIC MAIL:** By transmitting the document by electronic mail to the electronic mail address as stated on the attached service list.

☒ **E-FILING:** By causing the document to be electronically filed via the Court's CM/ECF system, which effects electronic service on counsel who are registered with the CM/ECF system.

☐ **FAX:** By transmitting the document by facsimile transmission. The transmission was reported as complete and without error.

I declare under penalty of perjury that the foregoing is true and correct.

Date: August 29, 2019

/s/ Douglas Miller
Douglas Miller

SEC v. Richard Vu Nguyen et. al.
United States District Court—Central District of California
Case No. 8:19-cv-01174-AG-KES

SERVICE LIST

Counsel for Defendant(s) Richard V Nguyen and Relief Defendant Mai Do:

Mike N. Vo
17910 Skypark Circle, Suite 103
Irvine, CA 92614

Counsel for NTV Financial, Inc.:

Kyra Andrassy for Court Appointed Receiver
kandrassy@swelawfirm.com

Court-Appointed Receiver:

Jeffrey E. Brandlin, CPA Brandlin & Associates
jeff@brandlin.com

1 MIKE N. VO (SBN 216340)

2 mvo@mikevolaw.com

JULIE H. LIN (SBN 306825)

3 jlin@mikevolaw.com

4 **LAW OFFICES OF MIKE N. VO, APLC**

17910 Skypark Circle, Suite 103

Irvine, CA 92614

6 TEL: 949-221-8238

7 FAX: 844-394-0129

8 Attorney for Defendants Richard Vu Nguyen a/k/a Nguyen Thanh Vu and Mai Do

10 **UNITED STATES DISTRICT COURT**
11 **FOR THE CENTRAL DISTRICT OF CALIFORNIA**
12 **SOUTHERN DIVISION**

15 SECURITIES AND EXCHANGE
16 COMMISSION,

17 Plaintiff,

18 vs.

20 RICHARD VU NGUYEN, A/K/A
21 NGUYEN THANH VU, and NTV
22 FINANCIAL GROUP, INC.,

23 Defendants,

24 and

25 MAI DO,

27 Relief Defendant

Civil Action No.: 8:19-cv-01174-AG-KES

Honorable Andrew J. Guilford

**NOTICE OF DISCLOSURE OF
DEFENDANTS RICHARD V.
NGUYEN AND MAI DO'S ASSETS
PURSUANT TO PRELIMINARY
INJUNCTION ORDER (Dkt. 25)**

**Complaint Filed: 6/13/18
Trial Date: None Set**

TO THE HONORABLE COURT, ALL PARTIES, AND THEIR ATTORNEYS OF RECORD:

PLEASE TAKE NOTICE that Defendants Richard V. Nguyen and Mai Do hereby submit the following list of real and personal property assets pursuant to the July 3, 2019, Preliminary Injunction Order (Dkt. 25) and Order re: Stipulation to Continue Deadline to Submit List of Assets (Dkt. 31).

I. REAL PROPERTY

Address	Source of Asset
1. [REDACTED], Garden Grove, CA 92841	Obtained prior to NTV Financial Group began business
2. [REDACTED], Santa Ana, CA 92706	Income from sources outside of NTV Financial Group
3. [REDACTED], Santa Ana, CA 92706	Income from sources outside of NTV Financial Group
4. [REDACTED], Unit B, Santa Ana, CA 92706	Income from sources outside of NTV Financial Group

II. PERSONAL PROPERTY

Item	Source of Asset
1. 2007 Porsche 911	Income from sources outside of NTV Financial Group
2. 2013 Ferrari 458	Income from sources outside of NTV Financial Group
3. 2018 Toyota Tacoma Pickup	Income from sources outside of NTV Financial Group

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1	4. 2019 Honda Odyssey Van	Income from sources outside of NTV Financial Group
2		
3	5. 2002 Maserati Spyder	Obtained prior to NTV Financial Group began business
4		
5	6. 2006 BMW 750il	Obtained prior to NTV Financial Group began business
6		
7	7. 2007 Harley Roadking	Obtained prior to NTV Financial Group began business
8		
9	8. 2005 Harley Softail	Income from sources outside of NTV Financial Group
10		
11	9. 2019 Harley Davidson Street Glide	Income from sources outside of NTV Financial Group
12		
13	10.2003 Chopper	Obtained prior to NTV Financial Group began business
14		
15	11.2015 Honda Accord	Obtained prior to NTV Financial Group began business
16		
17		

III. ACCOUNTS

20	Bank/Account Number	Source of Asset
21	1. Bank Of America NTV Financial Group Inc.; # [REDACTED]	NTV Financial Group
22	[REDACTED]-8771	
23		
24	2. Bank Of America NTV Financial Group Inc. DBA NTLF (Nguyen Tran Le Fund); # [REDACTED]-8768	NTV Financial Group
25		
26		
27		
28		

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1	3. Bank Of America Richard	NTV Financial Group
2	Nguyen DBA NTV Service	
3	Group; # [REDACTED]-1210	
4	4. JP Morgan Chase NTV	NTV Financial Group
5	Financial Group Inc.;	
6	# [REDACTED] 1135	
7	5. JP Morgan Chase Mai Do	NTV Financial Group
8	DBA NTV Business Group;	
9	# [REDACTED] 3619	
10	6. Wells Fargo Bank NTV	NTV Financial Group
11	Financial Group Inc. DBA	
12	NTLF(Nguyen Tran Le	
13	Fund); # [REDACTED] 4464	
14	7. Wells Fargo Bank Richard	Income from sources outside of NTV
15	Nguyen; # [REDACTED] 8738	Financial Group
16	8. Banc of California Mai Do;	Income from sources outside of NTV
17	# [REDACTED]-2032	Financial Group
18	9. US Bank Richard Nguyen	NTV Financial Group
19	DBA NTV Service Group;	
20	#1 [REDACTED] 5338	
21	10.Simple Richard Nguyen;	Income from sources outside of NTV
22	# [REDACTED] 1511	Financial Group
23	11.Charles Schwab NTV	NTV Financial Group
24	Financial Group Inc.; # [REDACTED]-	
25	6464	
26		
27		
28		

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17910 Skybank Circle, Suite 103, Irvine, CA 92614

12.Charles Schwab Richard Nguyen; # [REDACTED]-8787	Income from sources outside of NTV Financial Group
13.E*Trade Mai Do; # [REDACTED]- 3288	Income from sources outside of NTV Financial Group
14.E*Trade Mai Do; # [REDACTED]- 1301	Income from sources outside of NTV Financial Group
15.E*Trade Mai Do; # [REDACTED] 2529	Income from sources outside of NTV Financial Group
16.E*Trade NTV Financial Group Inc.; # [REDACTED]-1412	NTV Financial Group
17.E*Trade Richard Nguyen; # [REDACTED]-9407	Income from sources outside of NTV Financial Group
18.Interactive Brokers NTV Financial Group Inc.; # [REDACTED] 9327	NTV Financial Group
19.Merrill Lynch Richard Nguyen; # [REDACTED] 1580	Income from sources outside of NTV Financial Group
20.Richard Nguyen; # [REDACTED] [REDACTED] 10-11	Income from sources outside of NTV Financial Group

IV. BUSINESS

Name of Business	Source of Asset
1. Pho Moc Restaurant	Mai Do purchased 3 years ago for \$80,000

1
2 Dated: July 15, 2019

LAW OFFICES OF MIKE N. VO, APLC

3 /s/Mike N. Vo
4 Mike N. Vo (SBN 216340)
5 Attorneys for Defendants Richard Nguyen
6 and Mai Do
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CERTIFICATE OF SERVICE

I hereby certify that on July 15, 2019, I electronically filed the foregoing
“**NOTICE OF DISCLOSURE OF DEFENDANTS RICHARD V. NGUYEN AND MAI
DO’S ASSETS**” with the Clerk of the Court using the CM/ECF system which will send
notification of such filing via electronic mail to all counsel of record.

/s/ Mike N. Vo

LAW OFFICES OF MIKE N. VO, APLC
17910 Skypark Circle, Suite 103, Irvine, CA 92614

6/27/2019

Accounts



SUMMARY | 9010 (Margin) Richard V Nguyen

Account Equity

\$18,095.93

Amount Available to Withdraw ?

\$262.93

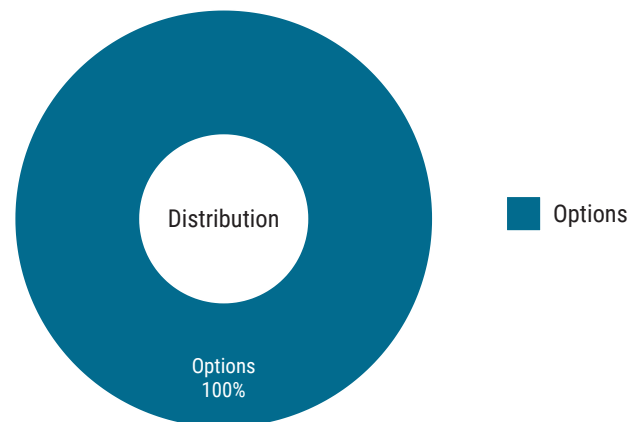
Buying Power

\$0.00

Customer Information

Customer Information Details

Correspondent	Ally Invest
Name & Address	Richard V Nguyen 3708 Westminster Ave Santa Ana, CA 92703
Account Registration	INDIVIDUAL
Home Phone	714-725-5166
Email Address	Ntvfgusa@gmail.com
Account Status	Closed
Rep. Code	A14
Tax ID	xxx-xx-3562
Date of Birth	Feb 7, 1967



Balances

Type	Trade	Settled
------	-------	---------

Positions

Positions Details

Options	\$17,833.00
---------	-------------

6/27/2019

Margin	\$262.93	\$262.93
Totals	\$262.93	\$262.93

Margin

Balance Details

S.M.A.	\$308.39
Margin Excess	\$262.93
Day Trade Buying Power	\$0.00

All values in USD equivalent.

Activity

No activity between Jun 26, 2019 and Jun 27, 2019.

Accounts

Total Market Value	\$17,833.00
--------------------	-------------

All values in USD equivalent.

Activity Details

All values in USD equivalent.

6/28/2019

Accounts



SUMMARY | ██████████6904 (Margin) Mai Do

Account Equity

\$6,822.29

Amount Available to Withdraw ?

\$131.77

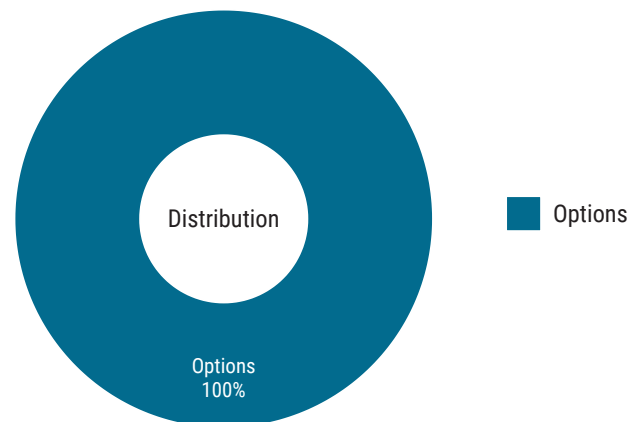
Buying Power

\$131.77

Customer Information

Customer Information Details

Correspondent	Ally Invest
Name & Address	Mai Do 2101 N Westwood Ave Santa Ana, CA 92706
Account Registration	INDIVIDUAL
Home Phone	714-725-5166
Email Address	NTVFGUSA@GMAIL.COM
Account Status	Open
Rep. Code	A14
Tax ID	xxx-xx-6059
Date of Birth	Jul 21, 1968



Balances

Type	Trade	Settled
Margin	\$131.77	\$131.77

Positions

Positions Details

Options	\$6,690.52
Total Market Value	\$6,690.52

All values in USD equivalent.

6/28/2019

Accounts

Totals	\$131.77	\$131.77
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Margin

Balance Details

S.M.A.	\$131.77
Margin Excess	\$131.77
Day Trade Buying Power	\$131.77

All values in USD equivalent.

Activity

Activity Details

Type	Trade Date	Settle Date	Tag #	Timestamp	Symbol	Description	Trade Action	Qty	Price	Net Amount
Trades	Jun 28, 2019	Jul 1, 2019		Jun 28, 2019	TWTR 20200117C 35.000		Sell To Close	-11	\$4.47	\$4,911.31
Trades	Jun 28, 2019	Jul 1, 2019		Jun 28, 2019	TWTR 20200117C 37.000		Sell To Close	-4	\$3.67	\$1,460.25

All values in USD equivalent.



P.O. Box 15284
Wilmington, DE 19850

MAI DO
POD PHUONG DO
12632 JEROME LN
GARDEN GROVE, CA 92841-4806

Customer service information

 Customer service: 1.800.432.1000
TDD/TTY users only: 1.800.288.4408
En Español: 1.800.688.6086
 bankofamerica.com
 Bank of America, N.A.
P.O. Box 25118
Tampa, FL 33622-5118

Your Adv Tiered Interest Chkg

for May 15, 2019 to June 12, 2019

MAI DO POD PHUONG DO

Account number: [REDACTED] 2347

Account summary

Beginning balance on May 15, 2019	\$5,950.23
Deposits and other additions	0.05
Withdrawals and other subtractions	-0.00
Checks	-0.00
Service fees	-0.00
Ending balance on June 12, 2019	\$5,950.28

Annual Percentage Yield Earned this statement period: 0.01%.
Interest Paid Year To Date: \$0.30.

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"An Outstanding Customer Experience."
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¹ Mobile Banking requires that you download the Mobile Banking app and is only available for select mobile devices. Message and data rates may apply.

² J.D. Power 2019 Mobile App Certification ProgramSM and 2019 Website Certification ProgramSM recognition is based on successful completion of an audit and exceeding a customer experience benchmark through a survey of recent servicing interactions. For more information, visit jdpower.com/awards. SSM-11-18-0579.C | ARFVGMFT

MAI DO | Account # [REDACTED] 2347 | May 15, 2019 to June 12, 2019

IMPORTANT INFORMATION: BANK DEPOSIT ACCOUNTS

How to Contact Us - You may call us at the telephone number listed on the front of this statement.

Updating your contact information - We encourage you to keep your contact information up-to-date. This includes address, email and phone number. If your information has changed, the easiest way to update it is by visiting the Help & Support tab of Online Banking.

Deposit agreement - When you opened your account, you received a deposit agreement and fee schedule and agreed that your account would be governed by the terms of these documents, as we may amend them from time to time. These documents are part of the contract for your deposit account and govern all transactions relating to your account, including all deposits and withdrawals. Copies of both the deposit agreement and fee schedule which contain the current version of the terms and conditions of your account relationship may be obtained at our financial centers.

Electronic transfers: In case of errors or questions about your electronic transfers- If you think your statement or receipt is wrong or you need more information about an electronic transfer (e.g., ATM transactions, direct deposits or withdrawals, point-of-sale transactions) on the statement or receipt, telephone or write us at the address and number listed on the front of this statement as soon as you can. We must hear from you no later than 60 days after we sent you the FIRST statement on which the error or problem appeared.

- Tell us your name and account number.
- Describe the error or transfer you are unsure about, and explain as clearly as you can why you believe there is an error or why you need more information.
- Tell us the dollar amount of the suspected error.

For consumer accounts used primarily for personal, family or household purposes, we will investigate your complaint and will correct any error promptly. If we take more than 10 business days (10 calendar days if you are a Massachusetts customer) (20 business days if you are a new customer, for electronic transfers occurring during the first 30 days after the first deposit is made to your account) to do this, we will provisionally credit your account for the amount you think is in error, so that you will have use of the money during the time it will take to complete our investigation.

For other accounts, we investigate, and if we find we have made an error, we credit your account at the conclusion of our investigation.

Reporting other problems - You must examine your statement carefully and promptly. You are in the best position to discover errors and unauthorized transactions on your account. If you fail to notify us in writing of suspected problems or an unauthorized transaction within the time period specified in the deposit agreement (which periods are no more than 60 days after we make the statement available to you and in some cases are 30 days or less), we are not liable to you and you agree to not make a claim against us, for the problems or unauthorized transactions.

Direct deposits - If you have arranged to have direct deposits made to your account at least once every 60 days from the same person or company, you may call us to find out if the deposit was made as scheduled. You may also review your activity online or visit a financial center for information.

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Bank of America, N.A. Member FDIC and  Equal Housing Lender



MAI DO | Account # [REDACTED] 2347 | May 15, 2019 to June 12, 2019

Deposits and other additions

Date	Description	Amount
06/12/19	Interest Earned	0.05
Total deposits and other additions		\$0.05

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Investment products:

Are Not FDIC Insured | Are Not Bank Guaranteed | May Lose Value

SSM-02-19-0619.8 | ARVSWN3H

MAI DO | Account # [REDACTED] 2347 | May 15, 2019 to June 12, 2019

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P.O. Box 15284
Wilmington, DE 19850

CUSTODIAL ACCT FOR THUC V DO
MAI DO REP PAYEE
12632 JEROME LN
GARDEN GROVE, CA 92841-4806

Customer service information

Customer service: 1.800.432.1000
TDD/TTY users only: 1.800.288.4408
En Español: 1.800.688.6086
 bankofamerica.com
 Bank of America, N.A.
P.O. Box 25118
Tampa, FL 33622-5118

Your Adv Plus Banking

for April 17, 2019 to May 16, 2019

Account number: [REDACTED] 5653

CUSTODIAL ACCT FOR THUC V DO MAI DO REP PAYEE

Account summary

Beginning balance on April 17, 2019	\$1,829.80
Deposits and other additions	0.00
Withdrawals and other subtractions	-0.00
Checks	-0.00
Service fees	-0.00
Ending balance on May 16, 2019	\$1,829.80

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SSM-01-19-2834.C | ARFMQTX6

CUSTODIAL ACCT FOR THUC V DO | Account # [REDACTED] 5653 | April 17, 2019 to May 16, 2019

IMPORTANT INFORMATION: BANK DEPOSIT ACCOUNTS

How to Contact Us - You may call us at the telephone number listed on the front of this statement.

Updating your contact information - We encourage you to keep your contact information up-to-date. This includes address, email and phone number. If your information has changed, the easiest way to update it is by visiting the Help & Support tab of Online Banking.

Deposit agreement - When you opened your account, you received a deposit agreement and fee schedule and agreed that your account would be governed by the terms of these documents, as we may amend them from time to time. These documents are part of the contract for your deposit account and govern all transactions relating to your account, including all deposits and withdrawals. Copies of both the deposit agreement and fee schedule which contain the current version of the terms and conditions of your account relationship may be obtained at our financial centers.

Electronic transfers: In case of errors or questions about your electronic transfers - If you think your statement or receipt is wrong or you need more information about an electronic transfer (e.g., ATM transactions, direct deposits or withdrawals, point-of-sale transactions) on the statement or receipt, telephone or write us at the address and number listed on the front of this statement as soon as you can. We must hear from you no later than 60 days after we sent you the FIRST statement on which the error or problem appeared.

- Tell us your name and account number.
- Describe the error or transfer you are unsure about, and explain as clearly as you can why you believe there is an error or why you need more information.
- Tell us the dollar amount of the suspected error.

For consumer accounts used primarily for personal, family or household purposes, we will investigate your complaint and will correct any error promptly. If we take more than 10 business days (10 calendar days if you are a Massachusetts customer) (20 business days if you are a new customer, for electronic transfers occurring during the first 30 days after the first deposit is made to your account) to do this, we will provisionally credit your account for the amount you think is in error, so that you will have use of the money during the time it will take to complete our investigation.

For other accounts, we investigate, and if we find we have made an error, we credit your account at the conclusion of our investigation.

Reporting other problems - You must examine your statement carefully and promptly. You are in the best position to discover errors and unauthorized transactions on your account. If you fail to notify us in writing of suspected problems or an unauthorized transaction within the time period specified in the deposit agreement (which periods are no more than 60 days after we make the statement available to you and in some cases are 30 days or less), we are not liable to you and you agree to not make a claim against us, for the problems or unauthorized transactions.

Direct deposits - If you have arranged to have direct deposits made to your account at least once every 60 days from the same person or company, you may call us to find out if the deposit was made as scheduled. You may also review your activity online or visit a financial center for information.

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Bank of America, N.A. Member FDIC and



Equal Housing Lender



P.O. Box 15284
Wilmington, DE 19850

CUSTODIAL ACCT FOR THUC V DO
MAI DO REP PAYEE
2101 N WESTWOOD AVE
SANTA ANA, CA 92706-1943

Customer service information

Customer service: 1.800.432.1000
TDD/TTY users only: 1.800.288.4408
En Español: 1.800.688.6086
bankofamerica.com
Bank of America, N.A.
P.O. Box 25118
Tampa, FL 33622-5118

Your Adv Plus Banking

for May 17, 2019 to June 14, 2019

CUSTODIAL ACCT FOR THUC V DO MAI DO REP PAYEE

Account summary

Beginning balance on May 17, 2019	\$1,829.80
Deposits and other additions	0.00
Withdrawals and other subtractions	-0.00
Checks	-0.00
Service fees	-0.00
Ending balance on June 14, 2019	\$1,829.80

Account number: [REDACTED] 5653

CUSTODIAL ACCT FOR THUC V DO | Account: [REDACTED] 5653 | May 17, 2019 to June 14, 2019

IMPORTANT INFORMATION: BANK DEPOSIT ACCOUNTS

How to Contact Us - You may call us at the telephone number listed on the front of this statement.

Updating your contact information - We encourage you to keep your contact information up-to-date. This includes address, email and phone number. If your information has changed, the easiest way to update it is by visiting the Help & Support tab of Online Banking.

Deposit agreement - When you opened your account, you received a deposit agreement and fee schedule and agreed that your account would be governed by the terms of these documents, as we may amend them from time to time. These documents are part of the contract for your deposit account and govern all transactions relating to your account, including all deposits and withdrawals. Copies of both the deposit agreement and fee schedule which contain the current version of the terms and conditions of your account relationship may be obtained at our financial centers.

Electronic transfers: In case of errors or questions about your electronic transfers- If you think your statement or receipt is wrong or you need more information about an electronic transfer (e.g., ATM transactions, direct deposits or withdrawals, point-of-sale transactions) on the statement or receipt, telephone or write us at the address and number listed on the front of this statement as soon as you can. We must hear from you no later than 60 days after we sent you the FIRST statement on which the error or problem appeared.

- Tell us your name and account number.
- Describe the error or transfer you are unsure about, and explain as clearly as you can why you believe there is an error or why you need more information.
- Tell us the dollar amount of the suspected error.

For consumer accounts used primarily for personal, family or household purposes, we will investigate your complaint and will correct any error promptly. If we take more than 10 business days (10 calendar days if you are a Massachusetts customer) (20 business days if you are a new customer, for electronic transfers occurring during the first 30 days after the first deposit is made to your account) to do this, we will provisionally credit your account for the amount you think is in error, so that you will have use of the money during the time it will take to complete our investigation.

For other accounts, we investigate, and if we find we have made an error, we credit your account at the conclusion of our investigation.

Reporting other problems - You must examine your statement carefully and promptly. You are in the best position to discover errors and unauthorized transactions on your account. If you fail to notify us in writing of suspected problems or an unauthorized transaction within the time period specified in the deposit agreement (which periods are no more than 60 days after we make the statement available to you and in some cases are 30 days or less), we are not liable to you and you agree to not make a claim against us, for the problems or unauthorized transactions.

Direct deposits - If you have arranged to have direct deposits made to your account at least once every 60 days from the same person or company, you may call us to find out if the deposit was made as scheduled. You may also review your activity online or visit a financial center for information.

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DocuSign Envelope ID: 0A8B8013-2AD4-4FA4-9D58-734F8EE6AE43



**Personal Signature Card
with Substitute Form W-9**

Electronic Signature
Do not send to Records
Management if printed.

BANK OF AMERICA, N.A. (THE "BANK")

Account Number: [REDACTED] 0399

Account Type: ☒ Checking ☐ Savings ☐ Certificate of Deposit

Account Title: MAI DO

Ownership Type	<input checked="" type="checkbox"/> Individual Owner
	<input type="checkbox"/> Fiduciary (For Example: Trust, UTMA, Rep Payee, Custodian, Guardian, Estate)
	Types of Joint Accounts
	<input type="checkbox"/> Joint with Rights of Survivorship <input type="checkbox"/> Tenants by the Entirety – Only applicable if recognized by state law for bank accounts. Joint Account for ME, TX and NC only (as defined by ME (18-A MRSA §8-101 et seq.)TX (V.T.C.A., Estates Code §113.151), NC (N.C.G.S. § 53-C-6-6)). During the lifetime of the account co-owners, the Bank may pay the money in the account to, or on the order of, any person named on the account. All co-owners must agree to one of the following two choices, and sign below to confirm: <input type="checkbox"/> With survivorship - means upon the death of one joint owner, the money remaining in the account will belong to the surviving joint owner(s), and will not be inherited by the heirs of the deceased joint owner controlled by the deceased owner's will. <input type="checkbox"/> Without survivorship - means if one of the owners dies, the deceased owner's ownership interest in the account passes as part of the owner's estate under the owner's will or by intestacy if there is no will.

☐ Check if designating beneficiaries: Payable on Death (POD) / In Trust For (ITF) / Totten Trust and TX and NC only Beneficiary Disclosure Acknowledgement (Refer to Beneficiary Addendum for details).

By signing below, I/we acknowledge, agree and consent:

- To open this account and understand this does not change or replace any existing accounts I/we may have with Bank of America.
- This account is and will be governed by the terms and conditions set forth in the account opening documents, including the Deposit Agreement and Disclosures and the Personal Schedule of Fees and I/we are in receipt of these documents.
- The Bank may change these documents at any time by adding new terms, or deleting or amending existing terms. The Deposit Agreement includes a provision for jury trial waiver or reference to a judicial referee.
- A joint account with right of survivorship is the property of each co-owner and payable to either co-owner or to the surviving co-owner(s) if a co-owner dies.
- The signature(s) will serve as verification for any transaction in connection with this account, and as the certification (set forth below) of the taxpayer identification number (TIN) to which I/we want interest reported.
- Failure to fully complete and return the signature card may impact the ability to receive full FDIC deposit insurance coverage.

☐ **Nonresident Alien (NRA) Status:** Check this box if ALL owners of this account are a non U.S. person (NRA) for U.S. tax purposes. Have them complete/sign the applicable Form(s) W-8.

Substitute Form W-9: Certification – Under penalties of perjury, I certify that:

- The number shown on this form is the correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (A) I am exempt from backup withholding, or (B) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (C) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (Defined in the W-9 instructions); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification Instructions: You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. (Please refer to the IRS instructions for Form W-9).

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Tax ID Number (SSN, EIN or ITIN)	Report Interest	Printed Name or Fiduciary Title	Sign Next to Name or Fiduciary Title (Line 1) Sign Next to all other Printed Names	Date
[REDACTED] 6059	<input checked="" type="checkbox"/>	MAI DO	<i>MAI DO</i>	6/13/2019
	<input type="checkbox"/>			
	<input type="checkbox"/>			

00-15-9295D 11-2018

NCA
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Associate Name: Tam Phan

Financial Center: BROOKHURST-WESTMINSTER

Bank Number: 318

Date: 06/13/2019



BANK OF AMERICA, N.A. (THE "BANK")

Transaction History

MAI DO

ADV PLUS BANKING

**** * 0399

Last Posting Date 06/28/2019

Date/Time Printed 7/1/2019 3:21 PM EST

Since Last Statement Summary

Last Statement Date 06/25/2019

Balance Last Statement (\$) \$270.00

Deposits/Credits (+) # 3 \$9,800.00 Holds (-)

Withdrawals/Debits (-) # 5 \$9,530.00 Pending Credits (+)

Available Balance (\$) \$0.00

Some of the information was not available when this page was printed. Please ask your Bank of America banker to assist you
Balance Last Statement, Deposits/Credits, Withdrawals/Debits may not total to Available Balance.

Date	Description	Type	Amount	Available Balance
06/14/2019	Online Banking transfer to CHK 2347	Fee	-\$1,500.00	\$2,500.00
06/14/2019	Online Banking transfer from CHK 2347	Transfer	\$1,500.00	\$4,000.00
06/14/2019	Online Banking Transfer Conf# 2d695642e; NTV SERVICE GROUP, NTV SERVICE GROUP	Transfer	\$2,500.00	\$2,500.00

No More Activity For This Account

For additional information or service, please contact the Customer Service Center at 1-800-432-1000

* = Item(s) included in Previous Statement(s).

**** * 0399

00-14-9036M 11-2010

NCA



Branch: 0000005

MAI DO
3708 WESTMINSTER AVE
SANTA ANA CA 92703

Last statement: June 27, 2019
This statement: July 27, 2019
Total days in statement period: 31

Page 1
[REDACTED] 9150
(5)

Direct inquiries to:
800-922-8429

Cathay Bank
9121 Bolsa Ave
Westminster CA 92683

WE ARE REDESIGNING CATHAYBANK.COM TO BETTER SERVE YOU! WATCH FOR MORE NEWS.

** Closed Account - Final Statement

Simple Checking

Account number	[REDACTED] 9150	Beginning balance	\$0.00
Enclosures	5	Total additions	315,401.28
Low balance	\$0.00	Total subtractions	315,401.28
Average balance	\$0.00	Ending balance	\$0.00
Avg collected balance	\$0		

CHECKS

Number	Date	Amount	Number	Date	Amount
	06-28	96.00		06-28	188,331.93
	06-28	7,000.00	99	07-02	2,087.72

DEBITS

Date	Description	Subtractions
06-27	' Service Charge	10.00
	INCOMING WIRE FEE	
07-01	' Preauthorized Wd	120.87
	Credit One Bank Payment 190628	
07-01	' Preauthorized Wd	147.02
	SO CAL EDISON CO BILL PAYMT 190701	
07-01	' Preauthorized Wd	338.62
	Credit One Bank Payment 190628	



MAI DO
July 27, 2019

Page 2
9150

Date	Description	Subtractions
07-01	' Preauthorized Wd SO CAL EDISON CO BILL PAYMT 190701	350.00
07-01	' Preauthorized Wd SO CAL EDISON CO BILL PAYMT 190701	1,816.73
07-01	' Preauthorized Wd CITI CARD ONLINE PAYMENT 190701	4,620.24
07-01	' Preauthorized Wd CAPITAL ONE ONLINE PMT 190628	7,207.22
07-01	' Preauthorized Wd ROBINHOOD Funds 190628	50,000.00
07-02	' Preauthorized Wd TOYOTA FINANCIAL RETAIL_PAY 190702	1,475.55
07-02	' Preauthorized Wd HONDA PMT 8004451358 190702	1,789.38
07-02	' Preauthorized Wd ROBINHOOD Funds 190701	50,000.00
07-03	Debit Memo	9.57
07-03	' Preauthorized Wd ROBINHOOD Funds 190702	0.43

CREDITS

Date	Description	Additions
06-27	' Deposit	100.00
06-27	' Wire Transfer-IN STEWART TITLE GUARANTY COMPANY	315,300.85
06-28	' Preauthorized Credit ROBINHOOD Funds 190627	0.08
06-28	' Preauthorized Credit ROBINHOOD Funds 190627	0.35

DAILY BALANCES

Date	Amount	Date	Amount	Date	Amount
06-27	315,390.85	07-01	55,362.65	07-03	0.00
06-28	119,963.35	07-02	10.00		

OVERDRAFT/RETURN ITEM FEES

	Total for this period	Total year-to-date
Total Overdraft Fees	\$0.00	\$0.00
Total Returned Item Fees	\$0.00	\$0.00

Thank you for banking with Cathay Bank



Page 3 of 3
Account: 9150
Date 07/27/19

MAI DO. *Ma Do*
CATHAY BANK
支票/支票存根
CHECKING/MONEY MARKET ACCOUNT WITHDRAWAL
日期 6/28/19
收到自我的支票/支票存根
RECEIVED FROM MY CHECKING/MONEY MARKET ACCOUNT
Nine Six Dollars
不可转让 NOT NEGOTIABLE
支票/支票存根 CHECKING/MONEY MARKET ACCOUNT NO
* 05479150
金额 \$ 96.
50 17 39 50

06/28/2019 \$96.00

MAI DO. *Ma Do*
CATHAY BANK
支票/支票存根
CHECKING/MONEY MARKET ACCOUNT WITHDRAWAL
日期 6/28/19
收到自我的支票/支票存根
RECEIVED FROM MY CHECKING/MONEY MARKET ACCOUNT
Seven thousand even
不可转让 NOT NEGOTIABLE
支票/支票存根 CHECKING/MONEY MARKET ACCOUNT NO
* 05479150
金额 \$ 7000.00
50 17 39 50

06/28/2019 \$7,000.00

MAI DO. *Ma Do*
CATHAY BANK
支票/支票存根
CHECKING/MONEY MARKET ACCOUNT WITHDRAWAL
日期 6/28/19
收到自我的支票/支票存根
RECEIVED FROM MY CHECKING/MONEY MARKET ACCOUNT
Cathay Bank - for CC \$188,331.93
One hundred eighty eight thousand and 93/100
不可转让 NOT NEGOTIABLE
支票/支票存根 CHECKING/MONEY MARKET ACCOUNT NO
* 22203950:0098
金额 \$ 188,331.93
50 17 39 50

06/28/2019 \$188,331.93

ADVICE OF DEBIT CHECKING
Virtual Document
Account: 9150
Description: Early Closure Fee
Approved By: A800179, Sam Shih \$9.57
Name: MAI DO
Cash Drawer: 0103 User A800K42
16 07032019 N 09:51:0 NNN
50 17 39 50

07/03/2019 \$9.57

MAI DO. *Ma Do*
CATHAY BANK
支票/支票存根
CHECKING/MONEY MARKET ACCOUNT WITHDRAWAL
日期 7/2/19
收到自我的支票/支票存根
RECEIVED FROM MY CHECKING/MONEY MARKET ACCOUNT
Cash \$2,087.72
Two thousand eighty seven and 72/100
不可转让 NOT NEGOTIABLE
支票/支票存根 CHECKING/MONEY MARKET ACCOUNT NO
* 22203950:0099
金额 \$ 2,087.72
50 17 39 50

07/02/2019 99 \$2,087.72

06282019 00500400321050 122203950
06282019 000000 0000321050 >122203950<

06282019 00500400321150 122203950
06282019 000000 0000321150 >122203950<

06282019 00500400050730 122203950
06282019 000000 000050730 >122203950<

ADVICE OF DEBIT CHECKING
Virtual Document
Account: 9150
Description: Early Closure Fee
Approved By: A800179, Sam Shih \$9.57
Name: MAI DO
Cash Drawer: 0103 User A800K42
16 07032019 N 09:51:0 NNN
50 17 39 50

07022019 032002000290140 122203950
07022019 000000 0000290140 >122203950<



AFFIDAVIT

STATE OF TEXAS)

) SS:

COUNTY OF BEXAR)

I, Melissa Leal, do hereby state and declare as follows:

1. I am an employee of and a duly authorized custodian of the records for Citibank, N.A. (hereinafter "CBNA") and have authority to certify the attached records.
2. The testimony in this affidavit is based upon my personal knowledge, and the facts contained herein are true and correct.
3. The accounts in question are or were owned and issued by CBNA.
4. The attached records are copies or duplicates of the available records requested in the Order.
5. These records were prepared by the personnel of the business in the ordinary course of business at or near the time of the act, condition or event.
6. Documents attached are in the matter of **Richard Nguyen and Mai Do**, Citibank reference number **eSOP-07252019-0019522-002**.

I certify under penalty of perjury that the foregoing is true and correct. Executed on August 6, 2019 at San Antonio, TX.

Melissa Leal, Legal Support Specialist
Citibank, N.A.

Subscribed and sworn to before me on August 6, 2019.



My commission expires

9/13/21

Notary Public





Transaction Activity

Customer Name		RICHARD V NGUYEN		Account Number	*****7824
				Account Type	REGULAR CHECKING
Date	Description	Credit Amount	Debit Amount	Balance	
07/25/2019	Other Debit		75.31	0.00	
07/17/2019	Cash Withdrawal 02:46p #4633		400.00	75.31	
07/16/2019	Cash Withdrawal 03:14p #4633		400.00	475.31	
07/15/2019	DepositTeiler03	875.31		875.31	

Citibank Client Services 013
PO Box 6201
Sioux Falls, SD 57117-6201

01Q/R1/04F013

000
CITIBANK, N. A.
Account
[REDACTED] 7059

MAI DO
12632 JEROME LN
GARDEN GROVE CA

92841-4806

Statement Period
Jun 27 - Jul 28, 2019

Page 1 of 4

BASIC BANKING PACKAGE AS OF JULY 28, 2019

Relationship Summary:

Checking	\$0.00
Savings	----
Investments (not FDIC Insured)	----
Loans	----
Credit Cards	----

BASIC BANKING PACKAGE FEES

Regular Checking Fees		Your Fees this Statement Period
Monthly Service Fee*	\$12.00	Waived due to deposit balances
Fee for non-Citibank ATM transaction	\$2.50	None

*To waive the monthly service fee, make one qualifying direct deposit and one qualifying bill payment during the statement period, or maintain \$1,500+ in qualifying linked deposit accounts for the previous calendar month. Qualifying bill payments are those made using Citibank Online, Citi Mobile or Citiphone Banking.

All fees assessed in this statement period, including non-Citibank ATM fees, will appear as charges on your next Citibank monthly statement (to the account that is currently debited for your monthly service fee).

Please refer to your Client Manual-Consumer Accounts and Marketplace Addendum booklet for details on how we determine your monthly fees and charges.

CHECKING ACTIVITY

Regular Checking

7059		Beginning Balance:		\$0.00
		Ending Balance:		\$0.00
Date	Description	Amount Subtracted	Amount Added	Balance
06/27	Deposit Teller		100.00	100.00
06/28	Deposit Teller		15,000.00	15,100.00
07/01	Official Check purchased	10.00		
07/01	Official Check purchased	10.00		
07/01	Cash Withdrawal 06/29 01:22p #6657 Teller	3,545.83		
07/01	Cash Withdrawal 06/29 01:26p #6657 Teller	3,545.83		
07/01	Cash Withdrawal 06/29 01:30p #6657 Teller	7,500.00		488.34
07/05	ACH Electronic Credit Square Inc SDV-VRFY		0.01	
07/05	ACH Electronic Credit Square Inc Payroll		0.16	

MAI DO

Account [REDACTED] 7059 Page 2 of 4
Statement Period - Jun 27 - Jul 28, 2019

010/R1/04F013

CHECKING ACTIVITY				Continued
Date	Description	Amount Subtracted	Amount Added	Balance
07/05	ACH Electronic Credit Square Inc Payroll		0.24	
07/05	ACH Electronic Credit Square Inc 190704P2		4.67	
07/05	ACH Electronic Debit Square Inc SDV-VRFY T200132818745	0.01		
07/05	ACH Electronic Debit Square Inc Payroll	0.40		
07/05	ACH Electronic Debit SO CAL GAS PAID SCGC 0847108845	64.53		428.48
07/08	Deposit 07/07 02:05p #6657 Citibank ATM 2677 N MAIN ST, SANTA ANA, CA		800.00	
07/08	Deposit 07/07 02:06p #6657 Citibank ATM 2677 N MAIN ST, SANTA ANA, CA		1,427.98	
07/08	ACH Electronic Debit BILLMATRIX BILLPAYFEE 10932415892	2.75		
07/08	ACH Electronic Debit HD FS RETAIL CONS BILL PAY 10932415891	938.67		1,715.04
07/09	ACH Electronic Credit Square Inc 190709P2		152.41	
07/09	ACH Electronic Debit SO CAL GAS PAID SCGC 0637109858	97.29		1,770.16
07/10	ACH Electronic Credit Square Inc 190710P2		134.35	1,904.51
07/11	ACH Electronic Credit Square Inc 190711P2		279.32	2,183.83
07/12	ACH Electronic Credit Square Inc 190712P2		181.42	
07/12	ACH Electronic Debit SO CAL GAS PAID SCGC 0637109858	8.82		
07/12	ACH Electronic Debit SO CAL GAS PAID SCGC 0847108845	331.08		2,025.35
07/15	ACH Electronic Credit ROBINHOOD Funds		0.15	
07/15	ACH Electronic Credit ROBINHOOD Funds		0.18	
07/15	ACH Electronic Credit Square Inc 190715P2		415.11	
07/15	ACH Electronic Credit Square Inc 190715P2		495.25	
07/15	Cash Withdrawal 07/13 03:03p #6657 Teller	1,800.00		
07/15	Cash Withdrawal 12:53p #6657 Citibank ATM 17632 17TH ST, TUSTIN, CA	1,000.00		136.04
07/16	ACH Electronic Credit Square Inc 190716P2		370.57	
07/16	ACH Electronic Debit FID BKG SVC LLC MONEYLINE	40.00		
07/16	Cash Withdrawal 01:22p #6657 ATM 1545 W 17TH ST SANTA ANA CAUS051	400.00		66.61
07/17	Cash Withdrawal 12:11p #6657 ATM 1545 W 17TH ST SANTA ANA CAUS051	20.00		46.61
07/18	ACH Electronic Credit FID BKG SVC LLC MONEYLINE		2,200.00	
07/18	ACH Electronic Debit ROBINHOOD Funds	0.33		2,246.28
07/19	Cash Withdrawal 07/19 01:48p #6657 Teller	1,000.00		
07/19	Cash Withdrawal 12:40a #6657 Citibank ATM 2677 N MAIN ST, SANTA ANA, CA	1,000.00		246.28
07/22	ACH Electronic Credit FID BKG SVC LLC MONEYLINE		1,200.00	
07/22	Cash Withdrawal 05:43p #6657 Citibank ATM 2677 N MAIN ST, SANTA ANA, CA	900.00		546.28
07/23	ACH Electronic Debit Credit One Bank Payment 0000355735663	10.69		
07/23	ACH Electronic Debit Credit One Bank Payment 0000355735858	397.28		138.31
07/25	Other Debit	138.31		0.00
Total Subtracted/Added		22,761.82	22,761.82	

All transaction times and dates reflected are based on Eastern Time.
Transactions made on weekends, bank holidays or after bank business hours are not reflected in your account until the next business day.

CUSTOMER SERVICE INFORMATION		
IF YOU HAVE QUESTIONS ON:	YOU CAN CALL*:	YOU CAN WRITE:
Checking	888-248-4226 (For Speech and Hearing Impaired Customers Only TDD: 800-945-0258)	Citibank Client Services 100 Citibank Drive San Antonio, TX 78245-9966
* To ensure quality service, calls are randomly monitored.		

Please read the paragraphs below for important information on your accounts with us. Note that some of these products may not be available in all states or in all packages.

MAI DO

Account [REDACTED] 7059 Page 4 of 4
Statement Period - Jun 27 - Jul 28, 2019

010/R1/04F013

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CONCIERGE DAILY TRANSACTION/TRANSMITTAL REPORT

Business:	Citibank, N.A. (013)	Report Date:	Mon, Jul 15, 2019
Financial Center:	TUSTIN NORTH (0281)	Expense Code:	00281

TRANSMITTED COMPONENTS FOR PROCESSING (by CFA Name)

CFA Name:	Shuchita Syed	Contact ID:	9191960114307001
CFA P#:	8839813	Session Date:	Mon, Jul 15, 2019
Referred by:	Britney Ashcraft	Referred by GEID:	1010737723
Override Type:	None		
CBOL Link Accessed:	N	Funds Type:	New Funds
ESignature:	Y		

Package(s) & Associated Account(s)

Package Type 1:	Basic Banking					
Acct Type	Acct #	Special Acct Title	Acct Title Description	Checkbook Order	Fee	Initial Deposit(\$)
1 Regular Checking	7824	N		N	N	875.00

Signer 1 of 1

Name:	RICHARD V NGUYEN	Relationship Type:	New
CIN:	5082420057334633	Since:	Mon, Jul 15, 2019
U.S. Residency:	US Citizen	SSN/ITIN:	3562
Certification Status:	Certified W-9	Certification Date:	July 15, 2019
Primary Email Id:	richard19672019@gmail.com		
Secondary Email Id:		DOB:	Feb 07, 1967
Home Address:	3708 WESTMINISTER AVE SANTA ANA, CA 92703	Home Phone:	-
Employment:	Full time; NTV MOTOR	Work Phone:	
High Risk Customer:	N	Citibank at Work:	N
		SPF Status:	N

TAX Documents:

Received:

Card Info

CIN:	5403850057334633	Printed Name:	RICHARD V NGUYEN
Card Ordered:	Order Blue Citibank Debit Card	Card Printed:	Blue Debit
Mailing Address:	Residence	PIN Set:	Y

Address Verification: Verified: Trans Union Satisfied

TIN to Name Match

Verification: SSN VALIDATION WAS SUCCESSFUL

Identification:

Primary ID: PHOTO U.S. DRIVER'S LICENSE
Issuing State : CA
License Number : 4691
Issue Date : 02/06/2019
Expiration Date : 02/07/2024

Application Recommendation: Approve

Identity Verification (CHEX):

Recommended Action: Approve
Qualifile Score: 590
SSN Validation: BECAME AVAILABLE FOR ISSUANCE IN 1973 IN AK
Reason(s): A0-A0100001 - OPEN ACCOUNT
NA-NA - NA
NA-NA - NA
NA-NA - NA
NA-NA - NA

Hotfile Verification(EWS)

Recommended Action: Approve
Hotfile Score: 0
Hotfile Notes:
Reason(s): -

CitiScreening Check: Pass

Signer Override(s)
None

DocuSign Envelope ID: 9994512A-BA7E-457B-9FC5-4056EB1233D3

BASIC ACCOUNT




ACCOUNT TITLE: RICHARD V NGUYEN
ADDRESS: 3708 WESTMINISTER AVE
SANTA ANA CA 92703

ACCOUNT NUMBER(S) CKG 42025517824

NAME/SIGNER	CARD
Richard V Nguyen	YES


By signing below, I: (1) confirm I have received and agree to be bound by all Citibank, N.A. terms and conditions applicable to my account(s), including the Client Manual Consumer Accounts, its Marketplace Addendum and/or any applicable loan note(s) or agreement(s), and (2) understand and acknowledge that, if applicable, such note(s)/agreement(s) provide that any dispute between us will be resolved by binding arbitration.

Signer 1 Signature 	Signer 2 Signature
Signer 3 Signature	Signer 4 Signature

DATE: 07/15/2019 FIMP:013

BASIC ACCOUNT



ACCOUNT TITLE: RICHARD V NGUYEN			
ACCOUNT NUMBER(S): CKG [REDACTED] 7824			
SIGNER 1 NAME (Please sign within the box below.) RICHARD V NGUYEN	DATE 07/15/2019	SIGNER 2 NAME (Please sign within the box below.)	DATE 07/15/2019
			
SIGNER 3 NAME (Please sign within the box below.)	DATE 07/15/2019	SIGNER 4 NAME (Please sign within the box below.)	DATE 07/15/2019

Forward to Signature Verification Unit

DocuSign Envelope ID: 9994612A-BA7E-457B-9FC5-4056EB1233D3

Form W-9 (Rev. October 2018) Department of the Treasury Internal Revenue Service	Request for Taxpayer Identification Number and Certification ► Go to www.irs.gov/FormW9 for instructions and the latest information.	Give Form to the requester. Do not send to the IRS.
--	--	--

Print or Type See Specific Instructions on page 3.	1. Name (as shown on your income tax return). Name is required on this line; do not leave this line blank. RICHARD V NGUYEN		
	2. Business name/disregarded entity name, if different from above		
	3. Check appropriate box for federal tax classification of the person whose name is entered on line 1. check only one of the following seven boxes: <input checked="" type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ► Notes: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner. <input type="checkbox"/> Other (see instructions) ►	4. Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ (Applies to accounts maintained outside the U.S.)	
	5. Address (number, street, and apt. or suite no.) See instructions. 3708 WESTMINSTER AVE	Requester's name and address (optional)	
	6. City, state, and ZIP code SANTA ANA CA 92703		
7. List account number(s) here (optional)			

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Social security number
<div style="background-color: black; width: 100px; height: 1.2em; margin: 0 auto;"></div> <div style="display: inline-block; border: 1px solid black; padding: 0 5px;">3</div> <div style="display: inline-block; border: 1px solid black; padding: 0 5px;">5</div> <div style="display: inline-block; border: 1px solid black; padding: 0 5px;">6</div> <div style="display: inline-block; border: 1px solid black; padding: 0 5px;">2</div>

or

Employer identification number
<div style="display: inline-block; border: 1px solid black; width: 20px; height: 1.2em; margin: 0 5px;"></div> <div style="display: inline-block; border: 1px solid black; width: 20px; height: 1.2em; margin: 0 5px;"></div> <div style="display: inline-block; border: 1px solid black; width: 20px; height: 1.2em; margin: 0 5px;"></div> <div style="display: inline-block; border: 1px solid black; width: 20px; height: 1.2em; margin: 0 5px;"></div> <div style="display: inline-block; border: 1px solid black; width: 20px; height: 1.2em; margin: 0 5px;"></div> <div style="display: inline-block; border: 1px solid black; width: 20px; height: 1.2em; margin: 0 5px;"></div> <div style="display: inline-block; border: 1px solid black; width: 20px; height: 1.2em; margin: 0 5px;"></div> <div style="display: inline-block; border: 1px solid black; width: 20px; height: 1.2em; margin: 0 5px;"></div>

Notes: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions: You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here	Signature of U.S. person ►	Date ► 07/15/2019
------------------	-----------------------------------	--------------------------

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.
Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross

- proceeds)
 - Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
 - Form 1099-S (proceeds from real estate transactions)
 - Form 1099-K (merchant card and third party network transactions)
 - Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
 - Form 1099-C (canceled debt)
 - Form 1099-A (acquisition or abandonment of secured property)
- Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.
- If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.*

Cat. No 10231X

Form W-9 (Rev. 10-2018)

SFW9

CONCIERGE DAILY TRANSACTION/TRANSMITTAL REPORT

Business: Citibank, N.A. (013) Report Date: Thu, Jun 27, 2019
Financial Center: FOUNTAIN VALLEY (0771) Expense Code: 00771

TRANSMITTED COMPONENTS FOR PROCESSING (by CFA Name), continued

CFA Name: Diana Lewis Contact ID: 9191780125207001
CFA P#: 1864732 Session Date: Thu, Jun 27, 2019
Referred by: Referred by GEID:
Override Type: None Funds Type: New Funds
CSOL Link Accessed: N
ESignature: N

Package(s) & Associated Account(s)

Package Type 1: Basic Banking	Acct #	Special Acct Title	Acct Title Description	Checkbook Order Fee	Initial Deposit(\$)
1 Regular Checking	7059	N		N	100.00

Signer 1 of 1

Name: MAI DO	Relationship Type: New
CIN: 5082420057056657	Since: Thu, Jun 27, 2019
U.S. Residency: US Citizen	SSN/ITIN: 6059
Certification Status: Certified W-9	Certification Date: June 27, 2019
Primary Email Id:	DOB: Jul 21, 1968
Secondary Email Id:	Home Phone: -
Home Address: 12632 JEROME LN	Work Phone:
GARDEN GROVE, CA 92841	Citibank at Work: N
Employment: Business Owner;	SPF Status: N
High Risk Customer: N	

TAX Documents:

Received:

Card Info
CIN: 5403850057056657
Card Ordered: Order Blue Citibank Debit Card
Mailing Address: Residence

Printed Name: MAI DO
Card Printed: Blue Debit
PIN Set: Y

Address Verification: Verified: Trans Union Satisfied
TIN to Name Match
Verification: SSN VALIDATION WAS SUCCESSFUL
Identification: Primary ID: PHOTO U.S. PASSPORT
Passport Number : 6799
Issue Date : 12/13/2013
Expiration Date : 12/12/2023

Application Recommendation: Approve

Identity Verification (CHEX):

Recommended Action: Approve
Qualifile Score: 648
SSN Validation: BECAME AVAILABLE FOR ISSUANCE IN 1980 IN CA
Reason(s): A0-A0100001 - OPEN ACCOUNT
NA-NA - NA
NA-NA - NA
NA-NA - NA
NA-NA - NA

Hotfile Verification(EWS)

Recommended Action: Approve
Hotfile Score: 0
Hotfile Notes:
Reason(s): -

CitiScreening Check: Pass

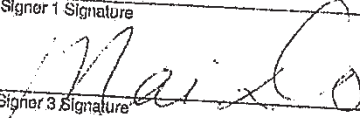
Signer Override(s)
None

DATE: 06/27/2019 FIMP: 013 Basic Banking Account
ACCOUNT TITLE: MAI DO
ADDRESS: 12632 JEROME LN GARDEN GROVE, CA 92841
ACCOUNT NUMBER(S): CKG 7059



NAME / SIGNER		CARD
MAI DO		YES

By signing below, I: (1) confirm I have received and agree to be bound by all Citibank, N.A. terms and conditions applicable to my account(s), including the Client Manual Consumer Accounts, its Marketplace Addendum and/or any applicable loan note(s) or agreement(s), and (2) understand and acknowledge that, if applicable, such note(s)/agreement(s) provide that any dispute between us will be resolved by binding arbitration.

Signer 1 Signature 	Signer 2 Signature
Signer 3 Signature	Signer 4 Signature

**Request for Taxpayer
Identification Number and Certification**

Go to www.irs.gov/FormW9 for instructions and the latest information.

Give Form to the requester. Do not send to the IRS.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.
MAL DO

2 Business name/disregarded entity name, if different from above.

3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes.

☐ Individual/sole proprietor or single-member LLC ☐ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) _____

Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3)

Exempt payee code (if any) _____

Exemption from FATCA reporting code (if any) _____

(Applies to accounts established after 10/18/14)

5 Address (number, street, and apt. or suite no.) See instructions.
12632 JEROME LN

6 City, state, and ZIP code
GARDEN GROVE CA 92841

7 List account number(s) here (optional)

8 Requester's name and address (optional)

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number
[Redacted] - 6 0 5 9

or
Employer identification number
[Redacted]

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part I, later.

Sign Here Signature of U.S. person _____ Date _____

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

Purpose of Form

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- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-IE (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

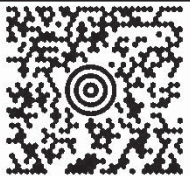
Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See *What is backup withholding*, later.

SHIPPING
(972) 653-8200
CITI
100 CITIBANK DR
SAN ANTONIO TX 78245

0.4 LBS LTR 1 OF 1

SHIP MICHAEL L. SIMON
TO: (714) 445-1000
SMILEY WANG-EKVALL
3200 PARK CENTER DRIVE, STE., 250
COSTA MESA, CA 92626

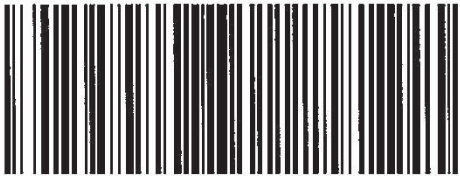


CA 926 9-10



UPS NEXT DAY AIR
TRACKING #: 1Z 50E 731 01 0020 0453

1



BILLING: P/P
REF1: 100118827



PAGE 1 OF 6

April 1, 2019 - June 30, 2019

Account Number: [REDACTED]-2378

Account Type: INDIVIDUAL

E*TRADE Securities LLC

P.O. Box 484

Jersey City, NJ 07303-0484

1-800-503-9260

etrade.com Member FINRA/SIPC

Customer Update:

Connect to E*TRADE on the go.

The award-winning E*TRADE Mobile app puts everything you need in the palm of your hand—investing, trading, research, easy-to-use tools, and more. Visit etrade.com/mobile or your device's app store to download today!

IMPORTANT INFORMATION:

An added measure of protection.

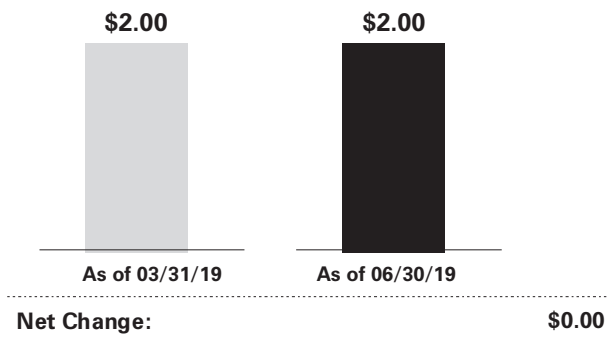
We now offer you the ability to designate an individual who is at least 18 years old to be your trusted contact person (TCP). If you elect to designate a TCP, you authorize E*TRADE to contact this person and to disclose information about your account to: address possible financial exploitation; confirm the specifics of your current contact information, health status, or the identity of any legal guardian, executor, trustee, or holder of a power of attorney; or as otherwise permitted by applicable law. To designate a new TCP or to update your current TCP election, visit etrade.com/tcp.

MAI DO

12632 JEROME LANE

GARDEN GROVE CA 92841-4806

Account At A Glance



DETACH HERE

MAI DO
12632 JEROME LANE
GARDEN GROVE CA 92841-4806

DETACH HERE

Use This Deposit Slip

Acct: [REDACTED]-2378

Please do not send cash

Make checks payable to E*TRADE Securities LLC

Mail deposits to:

TOTAL DEPOSIT

Dollars	Cents

E*TRADE SECURITIES LLC

P.O. Box 484

Jersey City, NJ 07303-0484

063020190001 [REDACTED] 23789

EXHIBIT "6", PAGE 38

E*TRADE Platinum
Investment Account

E*TRADE



E*TRADE Platinum
Investment Account



E*TRADE®

Please refer to the E*TRADE Securities LLC ("ETS") Customer Agreement (the "Customer Agreement") for a complete discussion of the terms and conditions governing your account. If you have questions regarding the Customer Agreement or your account, please email us through etrade.com or call 800-ETRADE1. THE INFORMATION CONTAINED IN YOUR ACCOUNT STATEMENT SHALL BE BINDING UPON YOU IF YOU DO NOT OBJECT, EITHER IN WRITING OR VIA ELECTRONIC MAIL WITHIN FIVE (5) DAYS AFTER THE ACCOUNT STATEMENT IS FIRST RECEIVED BY YOU. In case of errors or questions about your electronic transfers please telephone us at 800-ETRADE1 immediately or write us at E*TRADE Securities LLC, PO Box 484, Jersey City, NJ 07303-0484, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. We must hear from you no later than 60 days after we sent you the FIRST statement on which the error or the problem appeared. When you contact us, you must:

1. Tell us your name, account number, and ATM card or Check card number.
2. Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe there is an error or why you need more information.
3. Tell us the dollar amount of the suspected error.

We will investigate your complaint and will correct any error promptly. If we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

Securities products and services are offered by ETS, Member FINRA/SIPC. Your account is carried by ETS, Member FINRA/SIPC, which maintains your funds and securities deposited with ETS directly by you. Inquiries concerning the positions and balances in your account may be directed to ETS at 800-503-9260. All other inquiries regarding your account or the activity therein should be directed to ETS. Please promptly report any inaccuracy or discrepancy in your account to ETS at 800-503-9260. You should re-confirm any oral communication in writing to further protect your rights, including rights under the Securities Investor Protection Act.

Applicable Rules and Regulations. All transactions in your account shall be subject to the constitution, rules, regulations, customs, and usages of the exchange or market, and its clearing house, where the transactions are executed by ETS or its agents, including ETS affiliates. Also, where applicable, the transactions shall be subject to the provisions of the Securities Act of 1933, as amended, the Securities Exchange Act of 1934, as amended, and the rules and regulations of the Securities and Exchange Commission ("SEC"), the Board of Governors of the Federal Reserve System, and any applicable self-regulatory organization. For information about FINRA's Broker Check Program, including an investor brochure, please contact FINRA at 800-289-9999 or www.finra.org.

Securities Pricing. The amounts printed in the total market value column of the Account Holdings section, or any amounts derived therefrom, are based on US month end prices and are provided to us by outside quotation services for the securities currently held by us in your account. Prices of municipal bonds, certain over-the-counter securities, and federal obligations are approximations and are only for guidance purposes. The prices used are based on the last reported transaction known to the quotation services or the yields or values that are calculated on the basis of these prices. The value of brokered CDs reflected on this statement is estimated by a third-party pricing service. Actual value may differ if you elect to sell your CD(s) in the secondary market.

Interest/Dividends. We are required by law to report annually to you and to the Internal Revenue Service on Form 1099 any taxable interest, dividends, and capital gains credited to your account, as well as any taxes withheld. The year-to-date figures shown on your statement reflect these amounts classified to the best of our current knowledge based on activity. In certain circumstances, payments may be subject to reclassification, such reclassifications will be reflected to the Internal Revenue Service on your Form 1099. Your statement may not reflect all adjustments required for tax purposes, please refer to your tax documents.

SIPC and other Insurance Coverage. ETS is a member of the Securities Investor Protection Corporation ("SIPC"). SIPC currently protects the assets in each of your securities accounts at ETS up to \$500,000 (including \$250,000 for claims for cash). Visit www.sipc.org or call 202-371-8300 for more information including a brochure on SIPC protection. (Please note that money market mutual fund balances are not considered cash; they are considered to be securities.) Additional protection for ETS has been secured through an independent insurer, more information about which can be found at <https://us.etrade.com/customer-service/faq>. The market risks associated with investing and any resulting losses are not covered by SIPC or the additional protection.

Payment for Order Flow. The SEC (as well as FINRA) requires that all broker-dealers inform their customers when a new account is opened, and on an annual basis thereafter, of payment for order flow practices (compensation received for placing orders through specialists on national securities exchanges, over-the-counter market makers, alternative trading systems, and ECNs (collectively, "market centers")). Consistent with the overriding principle of best execution, ETS routes orders to various market centers. ETS receives remuneration (generally in the form of per share cash payments or through profit sharing arrangements) for routing orders in securities to particular market centers for execution. Such remuneration is considered compensation to ETS, and the source and amount of any compensation received in connection with your transaction will be disclosed to you upon written request. ETS, absent instructions from you to the contrary, takes a number of factors into consideration in determining where to route customers' orders, including the speed of execution, price improvement opportunities (executions at prices superior to the then prevailing inside market), automatic execution guarantees, the availability of efficient and reliable order handling systems, the level of service provided, the cost of executing orders and whether it will receive cash or non-cash payments for routing order flow, and reciprocal business arrangements.

Margin Accounts. The amount of margin required will be the greater of (1) the amount required by applicable laws, regulations, the rules of applicable self-regulatory organizations and clearinghouses, or (2) the amount required by ETS in its sole discretion. You will be charged interest on a daily basis on all debit balances that you owe to ETS and on credit extended to you by ETS for the purpose of purchasing, carrying, or trading in securities or otherwise. Interest is calculated on a 360-day basis using settlement date balances. Except as otherwise agreed by you and ETS, the applicable interest rate for margin loans will be determined by adding the prevailing base rate and the applicable sliding scale percentage rate, which is in turn determined by your average daily debit balance. Your stated interest rate is subject to change without notice during each period in accordance with fluctuations in your average daily debit balance and changes to the base rate that are attributable to a change in the Federal Funds rate. ETS will provide you with at least 30 days' prior written notice before changing your stated interest rate for any other reason. Information about ETS's base rate is available upon written request to ETS. For more information on how ETS calculates interest, please see the Customer Agreement. If you have a margin account, this statement is a combined statement for both your margin account and special memorandum account. The permanent record of the separate account as required by Regulation T of the Federal Reserve Board is available for your inspection.

Free Credit Balances. Any cash balances in your securities account, which represent an obligation of ETS, are payable to you upon demand and referred to as free credit balances. Your free credit cash balances: 1) can be maintained in the securities account and will earn interest through the "Cash Balance Program" as more fully described at: www.etrade.com/cashbalance, and 2) as such are held unsegregated and may be used by ETS in the conduct of its business, subject to the limitations of Rule 15c3-3 under the Securities Exchange Act of 1934. Your free credit cash balances can alternatively be directed to other cash balance options.

Other Cash Balance Option. In addition to the Cash Balance Program you may have the option to have free credit balances in your securities account automatically transferred to a bank sweep product, which is an account at a bank (or banks, collectively, "Program Banks") whose deposits are insured by the FDIC, but which are not obligations of ETS. Accounts opened prior to May 10, 2018 may also be eligible to have their free credit balances transferred to certain money market mutual funds. For detailed information about the products available for free credit balances go to www.etrade.com/sweepoptions ("Sweep Program"). The products available under the Sweep Program may change at any time. Notification of changes will be provided to the extent required by applicable law. Additionally, you may at any time change your selection among the products available in the Sweep Program. You may elect, subject to any limitation set forth in any Sweep Program agreement or, with respect to an account at a bank, under federal banking laws (which includes, without limitation, program banks' potential requirement of seven days' notice before permitting a withdrawal or transfer of funds from such account) that the balance in the bank deposit account be returned, or shares of the money market mutual fund in which you have a beneficial interest be liquidated and the proceeds returned, as applicable, to the securities account or remitted to you. With respect to your decision to participate in a bank sweep product, please remember you are responsible for monitoring the cash balance of your bank sweep accounts deposited with the Program Banks to determine whether you have total deposit balances held in the same capacity at any Program Bank in excess of the \$250,000 FDIC deposit insurance limit.

Options Trading. If you are approved for options trading, you are responsible for advising ETS of any material changes in your investment objectives or financial situation. Additionally, further information regarding commissions and other charges related to the execution of option transactions has been included in the confirmations of such transactions previously provided to you. Such information will also be made available promptly upon request.

Random Allocation of Options Assignment Notices. Assignment notices for short option contracts are allocated among customer short option positions in accordance with a random allocation method. A detailed description of ETS's random allocation method is available at etrade.com and a hard copy of the allocation procedures is available upon request.

Financial Statement. A financial statement of ETS is available for your inspection at its offices or at etrade.com or will be mailed to you upon your written request.

Valuation of Certain Alternative Investments (including DPP and REIT securities). Account statements for Individual Retirement Accounts may include valuations for alternative investments. The values of such investments are estimated and reflect either the most recent valuation provided to ETS by the issuer of the investment, or a valuation provided by an independent third party, which ETS will obtain as part of its services, on an annual or more frequent basis. ETS does not provide a guarantee of the value or the appropriateness of the appraisal methodology applied by the independent third party in providing a value and ETS assumes no responsibility for verifying the accuracy of any valuation presented. Failure of the issuer to provide a timely valuation is your sole responsibility. The investment may reflect no value if a valuation was unavailable or is inaccurate. Investment in non-publicly traded securities, which includes alternative investments, often involves higher risk and less liquidity than other more traditional investments. Because there is generally no secondary market for alternative investments, the values reported to you should not be relied upon as any indication of market value. You may be able to sell your interests in the alternative investments held in your account, if at all, only for amounts that are substantially less than their purchase price or the estimated values showing on your account statements. If your statement reflects a distribution that included a return of capital on Direct Participation Programs and/or REITs, please note that said distributions are reported and a net investment per share estimated value is also reported. Pricing and distribution information has been provided by the sponsor, issuer or other external party responsible for reporting of the DPP or REIT and the classification of distributions as income or return of capital, in whole or in part, is subject to final accounting by such party(ies) and will be reported to you on a Form 1099 or K-1, as applicable.

ETS is an indirect subsidiary of E*TRADE Financial Corporation. If you have a complaint, please call 800-ETRADE1, or write to: E*TRADE Securities LLC, P.O. Box 484, Jersey City, NJ 07303-0484.

Definitions:

Activity/Trade Date. Trade date or transaction date of other entries.

Total Portfolio Percent. Percentage of your holding by issue of security.

DIV/CPN% Yield. Annual dividend or bond % yield.

Open Orders. Buy or sell orders for securities that have not yet been executed or canceled.

Symbol/CUSIP. The symbol or identification number for each security.

*** Denotes a security where either the country of issue or country of incorporation of the issuer is outside the US.

Pending and Unsettled Transactions. Based on the timing of statement generation, the value of certain unsettled trades and/or pending transactions (e.g., transactions that take place following the last business day of the month) may not be reflected on your statement. Please e-mail us through etrade.com or call 800-ETRADE1 with any questions.

S1RB240 - 06/19



E*TRADE Platinum
Investment Account



Account Number: ■■■-2378

Statement Period : April 1, 2019 - June 30, 2019

Account Type: INDIVIDUAL

Direct your service and investment questions to:

GREGORY BARBRE

Platinum Client Group

800-503-9260

Customer Update:

Invest on the go.

With the E*TRADE Mobile app, you have everything you need in the palm of your hand—investing, trading, research, easy-to-use tools, and more. Visit etrade.com/mobile to learn more.

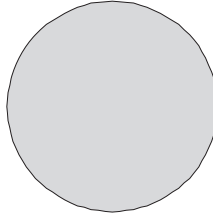
ACCOUNT OVERVIEW

Last Statement Date: March 31, 2019

Beginning Account Value (On 03/31/19): \$ 2.00
Ending Account Value (On 06/30/19): \$ 2.00
Net Change: \$ 0.00

For current rates, please visit etrade.com/rates

ASSET ALLOCATION (AS OF 06/30/19)



100.00% - Cash & Equivalents

ACCOUNT VALUE SUMMARY

	AS OF 06/30/19		AS OF 03/31/19		% CHANGE
Cash & Equivalents	\$	2.00	\$	2.00	0.00%
Total Cash/Margin Debt	\$	2.00	\$	2.00	0.00%
Net Account Value	\$	2.00	\$	2.00	0.00%

Securities products and services are offered by E*TRADE Securities LLC, Member FINRA/SIPC. Sweep Deposit Account is a bank deposit account with E*TRADE Bank, a Federal savings bank, Member FDIC. Sweep deposit accounts at each bank are FDIC-insured up to a maximum of \$250,000. Securities products and cash balances other than Sweep Deposit Account funds are not FDIC-insured, are not guaranteed deposits or obligations of E*TRADE Bank, and are subject to investment risk, including possible loss of the principal invested.

E*TRADE Securities LLC • PO Box 484, Jersey City, NJ 07303-0484 • www.etrade.com • 1-800-503-9260 • Member FINRA/SIPC

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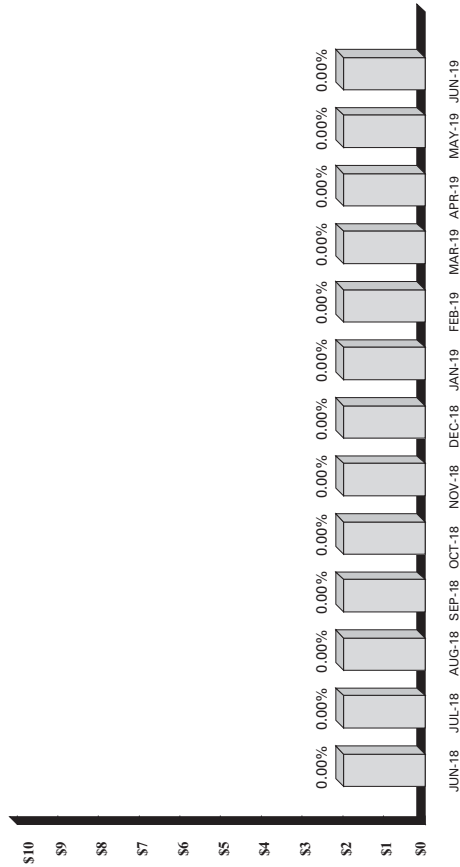


Account Number: [REDACTED] 2378

Statement Period : April 1, 2019 - June 30, 2019

Account Type: INDIVIDUAL

NET ACCOUNT VALUE BY MONTH END

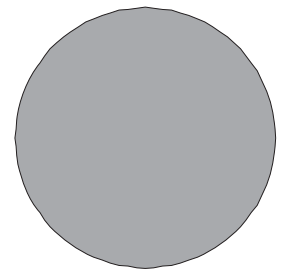


ACCOUNT TRANSACTION SUMMARY

DESCRIPTION	THIS PERIOD	YEAR TO DATE
-------------	-------------	--------------

NO ACTIVITY THIS PERIOD

TOP 10 ACCOUNT HOLDINGS (AS OF 06/30/19)



100.00% - CASH EQUIV



E*TRADE Platinum
Investment Account



Account Number: [REDACTED] 2378

Statement Period : April 1, 2019 - June 30, 2019

Account Type: INDIVIDUAL

ACCOUNT HOLDINGS

CASH & CASH EQUIVALENTS (100.00% of Holdings)

DESCRIPTION	PORTFOLIO %	AMOUNT
Extended Insurance Sweep Deposit Account		
Opening Balance		2.00
Closing Balance	100.00	2.00
Average Balance		2.00
Extended Insurance Sweep Deposit Account Balance by Bank as of June 30, 2019		
ETRADE BANK		2.00
Under the Extended Insurance Sweep Deposit Account (ESDA) Program, cash balances from your brokerage account into the ESDA Program may shift from one program bank to another on a daily basis and a different combination or subset of the Program Banks may be used from day to day with dynamic deposit limits. Your ESDA Program cash balances will be FDIC-insured up to an aggregate of at least \$1,250,000. Uninvested cash balances in the ESDA program are not covered by SIPC. The balance in your bank deposit sweep account may be withdrawn on your order and proceeds returned to your securities account or remitted to you. To see a list of Program Banks please visit www.etrade.com/esdaagreement or call us at 1-800-ETRADE-1 (1-800-387-2331).		
TOTAL CASH & CASH EQUIVALENTS	100.00%	\$2.00
TOTAL PRICED PORTFOLIO HOLDINGS (ON 06/30/19)		
		\$2.00

E*TRADE[®]



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INVESTMENT REPORT
May 1, 2019 - June 30, 2019

Fidelity Account RICHARD NGUYEN - INDIVIDUAL

► Account Number: [REDACTED] 8347

Envelope # BHFFGWBBBTWVM

RICHARD NGUYEN
3708 WESTMINSTER AVE
SANTA ANA CA 92703-1446

Your Account Value: **\$1.24**

Change from Last Period: ► 0

	This Period	Year-to-Date
Beginning Account Value	\$1.24	-
Change in Investment Value *	-	1.24
Ending Account Value **	\$1.24	\$1.24
Accrued Interest (AI)	0.00	
Ending Account Value Incl. AI	\$1.24	

* Reflects appreciation or depreciation of your holdings due to price changes, transactions from Other Activity In or Out and Multi-currency transactions, plus any distribution and income earned during the statement period.

** Excludes unpriced securities.

Contact Information

Online	Fidelity.com
FAST SM -Automated Telephone	(800) 544-5555
Customer Service	(800) 544-6666

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Brokerage services provided by Fidelity Brokerage Services LLC (FBS), Member NYSE, SIPC (800) 544-6666. Brokerage accounts carried by National Financial Services LLC (NFS), Member NYSE, SIPC.



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INVESTMENT REPORT
May 1, 2019 - June 30, 2019

Account # [REDACTED] 8347
RICHARD NGUYEN - INDIVIDUAL

Account Summary

Account Value: **\$1.24**

Account Holdings

Change in Account Value **► \$0.00**

	This Period	Year-to-Date
Beginning Account Value	\$1.24	-
Change in Investment Value *	0.00	1.24
Ending Account Value	\$1.24	\$1.24
Accrued Interest (AI)	0.00	
Ending Account Value Incl. AI	\$1.24	

Total Account Trades Jul 2018 - Jun 2019: 0

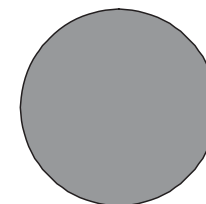
* Reflects appreciation or depreciation of your holdings due to price changes, transactions from Other Activity In or Out and Multi-currency transactions, plus any distribution and income earned during the statement period.

Core Account and Credit Balance Cash Flow

Core Account: FIDELITY GOVERNMENT MONEY MARKET

	This Period	Year-to-Date
Beginning Balance	\$1.24	-
Investment Activity		
Dividends, Interest & Other Income ^D	-	1.24
Total Investment Activity	-	\$1.24
Ending Balance	\$1.24	\$1.24

^D Includes dividend reinvestments.



100% Core Account (\$1)

Top Holdings

Description	Value	Percent of Account
Fidelity Government Money Market	\$1	100%
Total	\$1	100%

Please note that, due to rounding, percentages may not add to 100%.

Income Summary

	This Period	Year-to-Date
Taxable	-	\$1.24
Dividends	-	1.24
Total	-	\$1.24

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INVESTMENT REPORT
May 1, 2019 - June 30, 2019

Holdings

Account # [REDACTED] 8347
RICHARD NGUYEN - INDIVIDUAL

Core Account

Description	Beginning Market Value May 1, 2019	Quantity Jun 30, 2019	Price Per Unit Jun 30, 2019	Ending Market Value Jun 30, 2019	EAI (\$) / EY (%)
FIDELITY GOVERNMENT MONEY MARKET (SPAXX)	\$1.24	1.240	\$1.0000	\$1.24	\$0.02 1.610%
-- 7-day yield: 2.02%					
Total Core Account (100% of account holdings)	\$1.24			\$1.24	\$0.02
Total Holdings				\$1.24	\$0.02

EAI **Estimated Annual Income (EAI) & Estimated Yield (EY)**- EAI is an estimate of annual income for a specific security position over the next rolling 12 months. EAI may be negative on short & EY positions. EY is calculated by dividing the current EAI for a security position by its statement closing date market value. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. Actual income and yield might be lower or higher than the estimated amounts. **For calculation details, refer to the "Additional Information and Endnotes" section.**

Additional Information and Endnotes

- Changes to the customer agreement for one or more of your Fidelity accounts. NO ACTION REQUIRED.

Effective August 8, 2019, we are deleting and replacing the subsections titled "Credits to Your Account" and "Debits to Your Account" of the section "How Transactions Are Settled." These changes primarily affect how the core account operates, including the introduction of a second sweep each morning for accounts that utilize a Fidelity Money Market Mutual Fund as the account's core fund.

Additionally, for the Fidelity Account(R) Customer Agreement, we will also change the second sentence in the second paragraph of the section titled "Borrowing on Margin" to read: "The Intra-day and After-hours Free Credit Balance, money in the core account, and any cash dividends paid on marginable securities are automatically applied to your margin debt, unless you tell us otherwise."

You can view the new customer agreement(s) and obtain a copy of your new agreement(s) at [Fidelity.com/2019-customer-agreements](https://www.fidelity.com/2019-customer-agreements). If you have any questions or would like to discuss alternative options, please give us a call at 800-343-3548. If you don't contact us, we will consider you to have consented to the changes outlined above.

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INVESTMENT REPORT
May 1, 2019 - June 30, 2019

Additional Information and Endnotes

Account # [REDACTED] 347
RICHARD NGUYEN - INDIVIDUAL

Please note that this change affects all Fidelity accounts except Fidelity mutual fund-only accounts, ABLE accounts, Fidelity investment-only non-prototype retirement accounts, and 529 College Savings Plan accounts.

- ▶ Please be aware that we have added the following new section called 'Optional Dividends' to the customer agreement that governs your account.

Optional Dividends: At times certain issuers that pay dividends may offer shareholders an opportunity to elect to receive stock, cash, or a combination of both. This is known as an 'Optional Dividend'. The issuer will assign a default if no instruction is received. For example, the default option could be cash, stock or a combination of both. You have the opportunity up until the applicable deadline to make an election to receive the payment of your choice. Please be advised, if you do not make an election prior to the deadline, your account will be assigned a default election based on the dividend reinvestment program instructions you established with respect to your account. This default election will be utilized in lieu of the issuer's default option being applied to your account.

- ▶ Securities purchased on margin are the firm's collateral for the loan to you. The actual amount you can borrow and the firm's margin maintenance requirements may vary depending on the firm's internal margin policies which exceed the margin requirements of FINRA and NYSE. The firm's margin policies are subject to review and revision at any time in the firm's sole discretion. The firm reserves the right to alter the terms on your margin loan at any time to comply with changes in the firm's policies. If the securities in your account decline in value, so does the value of the collateral supporting your loan, and, as a result, the firm can take action, such as issue a margin call and/or sell securities or other assets in any of your accounts held with the member, in order to maintain the required equity in the account. It is important that you fully understand the risks involved in trading securities on margin.

The risks include the following: IMPORTANT: (1) YOU CAN LOSE MORE FUNDS THAN YOU DEPOSIT IN THE MARGIN ACCOUNT. (2) THE FIRM CAN FORCE THE SALE OF SECURITIES OR OTHER ASSETS IN YOUR ACCOUNT(S). (3) THE FIRM CAN SELL YOUR SECURITIES OR OTHER ASSETS WITHOUT CONTACTING YOU. (4) YOU ARE NOT ENTITLED TO CHOOSE WHICH SECURITIES OR OTHER ASSETS IN YOUR ACCOUNT(S) ARE LIQUIDATED OR SOLD TO MEET A MARGIN CALL. (5) THE FIRM CAN INCREASE ITS "HOUSE" MAINTENANCE MARGIN REQUIREMENTS AT ANY TIME AND IS NOT REQUIRED TO PROVIDE YOU ADVANCE WRITTEN NOTICE. (6) YOU ARE NOT ENTITLED TO AN EXTENSION OF TIME ON A MARGIN CALL.

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness. **Please refer to the Help/Glossary on Fidelity.com for additional information regarding these calculations.**

For more information about your statement, please refer to our **Frequently Asked Questions** document at [Fidelity.com/statements](https://www.fidelity.com/statements).

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Information About Your Fidelity Statement

TDD Service for the Hearing-Impaired Call 800-544-0118, 9 am - 9 pm ET, 7 days a week.

Lost or Stolen Cards For 24-Hour worldwide customer service, call 800-529-2164 for American Express or 800-323-5353 for Fidelity® Debit Card.

Additional Investments with Fidelity Make checks payable to Fidelity Investments. Include your account number on the check. For retirement and health savings accounts (HSA), designate in the memo field whether your contribution is for the current or prior year. Mail checks or other inquiries to: Fidelity Investments, P.O. Box 770001, Cincinnati, OH 45277-0003.

Income Summary Shows income by tax status for the statement and year-to-date periods. Except for interest income earned on, or distributed by, tax-exempt securities, Fidelity reports dividends and capital gains held in taxable accounts as taxable income. A portion of income reported as tax-exempt income may be subject to alternative minimum taxes and/or state and local taxes. In Traditional IRAs, Rollover IRAs, SEP-IRAs, SIMPLE IRAs and Keoghs, earnings are reported as tax-deferred income. In Roth IRAs and HSAs, earnings are reported as tax-exempt income as they may be federally tax-exempt if certain conditions are met.

Cost Basis, Gain/Loss, and Holding Period Information NFS is required to report certain cost basis and holding period information to the IRS on Form 1099-B. Unless otherwise specified, NFS applies the average cost method for open-end mutual funds and the first-in, first-out (FIFO) method for all other securities. Cost basis is adjusted for wash sales on securities with the same CUSIP held in the same account (unless your account receives mark-to-market reporting). Your statement may not reflect all adjustments required for tax purposes. Customers should consult their tax advisors for further information.

Cost Fidelity provides purchase cost information for securities held in retirement and HSA accounts. Such information may be adjusted for certain transactions and does not reflect dividends or capital gains reinvestments. Fidelity reports transaction profit or loss information when securities are sold within a retirement or HSA account. Transaction profit or loss is calculated by subtracting purchase cost from sales proceeds

using the FIFO method if shares were purchased at different times or prices. **Statement Mailing** We deliver statements at least four times during the calendar year for any account with a balance.

Statement Discrepancies Please review your statement and report any inaccuracies or discrepancies. Inquiries, concerns or questions regarding your brokerage account or the activity therein should be directed to FBS by calling 800-544-6666, and NFS, who carries your brokerage accounts, by calling 866-408-1138. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act (SIPA).

Material Changes Please advise us of material changes in your investment objectives or financial situation related to your brokerage account(s).

Mutual Funds and Performance Before investing, consider the funds' investment objectives, risks, charges and expenses. Contact Fidelity for a prospectus containing this information. Read it carefully. Performance data shown represents past performance and is no guarantee of future results. Investment return and principal value will fluctuate, so you may have a gain or loss when shares are sold. Current performance may be higher or lower than that quoted. Visit Fidelity.com/performance for most recent month-end performance.

Sales Loads & Fees Each fund reserves the right to terminate or modify its exchange privilege in the future. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay FBS and/or NFS sales loads and 12b-1 fees described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by FBS or NFS will be furnished to you upon written request. At the time you purchase shares of funds those shares will be assigned either a load, transaction fee (TF) or no transaction fee (NTF) status. When you subsequently sell those shares, any fees applicable to your transaction will be assessed based on the status assigned to the shares at the time of purchase.

Additional Information About Your Brokerage Account, If Applicable

Free credit balances (FCB) are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law. **Assets Separate from Your Brokerage Account** Only securities in the margin portion of your brokerage account contribute to margin and maintenance requirements.

Other Assets, which may be reported on your statement, including insurance products that are distributed by FBS and Fidelity Insurance Agency, Inc. and mutual fund only accounts held directly with the fund (Fidelity Mutual Fund Accounts) are not carried by NFS, not covered by the Securities Investor Protection Corporation (SIPC) and do not count toward your margin and maintenance requirements. Assets held in brokerage accounts managed by Fidelity Personal and Workplace Advisors LLC (FPWA) are carried by NFS and covered by SIPC but do not contribute to your margin and maintenance requirements. **Short Account Balances** Securities sold short are held in a segregated short account. These securities are marked-to-market for margin purposes, and any increase or decrease from the previous week's value is transferred weekly to your margin account. Fidelity represents your short account balance as of the last weekly mark-to-market, not as of the statement end date. **Information About Your Option Transactions** Each transaction confirmation previously delivered to you contains full information about commissions and other charges, and such information is available promptly upon request. Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description is available upon request. Short positions in American-style options are liable for assignment anytime. The writer of a European-style option is subject to exercise assignment only during the exercise period. For more information, please call Fidelity at 800-544-6666. **Equity Dividend Reinvestment** Shares credited to your account resulted from transactions by FBS acting as agent for your account, or the Depository Trust Company (DTC). **Price Information/Total Market Value** The Total Market Value has been calculated out to 9 decimal places; however, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency with which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for fixed income securities, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect N/A or unavailable where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not closely reflect the value at which the security may be sold or purchased based on various market factors. The sale or redemption of any fixed income security prior to maturity may result in a loss. Prices for Certificates of Deposits (CDs) on your statement are generally estimates and are not based on actual market prices. The secondary market for CDs is generally illiquid. You should always request a current valuation for your securities prior to making a financial decision or placing an order.

Executing Orders on the Floor of the NYSE The Floor broker may permit the Designated Market Maker to trade on parity with the order for some or all of the executions associated with filling that order, where such permission would not be inconsistent with the broker's best execution obligations.

SIPC Securities in accounts carried by NFS, a Fidelity Investments company, are protected in accordance with the SIPC up to \$500,000 (including cash claims limited to \$250,000). For details, including the SIPC brochure, please see www.sipc.org or call 1-202-371-8300. NFS has arranged for additional protection for cash and covered securities to supplement its SIPC coverage. Neither coverage protects against a decline in the market value of securities.

Fidelity Investments Fidelity Distributors Corporation (FDC) is the distributor for Fidelity Funds with marketing and shareholder services provided by FBS or NFS. **Brokerage services are provided by FBS, which clears all transactions through its affiliate, NFS. NFS carries all brokerage accounts. FBS and NFS are members of the NYSE and SIPC.** Upon written request, Fidelity will mail an NFS financial statement, which is also available for inspection at its office. Fidelity Investments (with pyramid logo) is a trademark of FMR LLC.

FPWA Services Fidelity Go®, Fidelity® Personalized Planning & Advice and Fidelity® Strategic Disciplines are advisory services offered by FPWA, a registered investment adviser. Fidelity® Strategic Disciplines includes the Breckinridge Intermediate Municipal Strategy, the Fidelity® Equity-Income Strategy, the Fidelity® Tax-Managed U.S. Equity Index Strategy, the Fidelity® U.S. Large Cap Equity Strategy, the Fidelity® International Equity Strategy, the Fidelity® Intermediate Municipal Strategy and the Fidelity® Core Bond Strategy. Fidelity® Wealth Services are advisory services offered by FPWA or Fidelity Personal Trust Company, FSB (FPTC), a federal savings bank. Nondeposit investment products and trust services offered by FPTC and its affiliates are not insured or guaranteed by the Federal Deposit Insurance Corporation or any other government agency, are not obligations of any bank, and are subject to risk, including possible loss of principal. **These advisory services are provided for a fee.** FBS, NFS, FDC, FPWA and FPTC are direct or indirect subsidiaries of FMR LLC.

Ratings information from Standard & Poors ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

Miscellaneous Mutual fund shares, other securities held in your account, and insurance products are neither deposits nor obligations of, nor endorsed or guaranteed by, any bank or other depositing institution, nor are they federally insured by the FDIC or any other agency. If you request a reprint of your statement, the disclosure information may not be the same as the information originally provided. To confirm that an authorized, direct deposit has been made to your Fidelity Account or Fidelity Mutual Fund Account, call Fidelity at 1-800-544-5555.

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INVESTMENT REPORT
July 12, 2019 - July 31, 2019

Fidelity Account MAI DO - INDIVIDUAL

► Account Number: [REDACTED] 8163

Envelope # BHHHFTBBVFWC

MAI DO
2101 N WESTWOOD AVE
SANTA ANA CA 92706-1943

Your Account Value: \$500.91

Change from Last Period: ▲ \$500.91

	This Period	Year-to-Date
Beginning Account Value	-	-
Additions	94,851.04	94,851.04
Subtractions	-161,005.46	-161,005.46
Transaction Costs, Fees & Charges	-2,030.46	-2,030.46
Change in Investment Value *	66,655.33	66,655.33
Ending Account Value **	\$500.91	\$500.91
Accrued Interest (AI)	0.00	
Ending Account Value Incl. AI	\$500.91	

Contact Information

Online	Fidelity.com
FAST SM -Automated Telephone	(800) 544-5555
Customer Service	(800) 544-6666

* Reflects appreciation or depreciation of your holdings due to price changes, transactions from Other Activity In or Out and Multi-currency transactions, plus any distribution and income earned during the statement period.

** Excludes unpriced securities.

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Brokerage services provided by Fidelity Brokerage Services LLC (FBS), Member NYSE, SIPC (800) 544-6666. Brokerage accounts carried by National Financial Services LLC (NFS), Member NYSE, SIPC.



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INVESTMENT REPORT
July 12, 2019 - July 31, 2019

Account # [REDACTED] 8163
MAI DO - INDIVIDUAL

Account Summary

Account Value: **\$500.91**

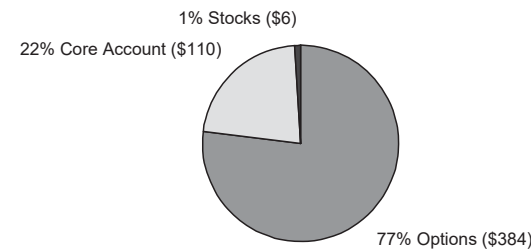
Account Holdings

Change in Account Value **▲ \$500.91**

	This Period	Year-to-Date
Beginning Account Value	-	-
Additions	94,851.04	94,851.04
Deposits	2,330.00	2,330.00
Securities Transferred In	92,521.04	92,521.04
Subtractions	-161,005.46	-161,005.46
Withdrawals	-158,975.00	-158,975.00
Transaction Costs, Fees & Charges	-2,030.46	-2,030.46
Change in Investment Value *	66,655.33	66,655.33
Ending Account Value	\$500.91	\$500.91
Accrued Interest (AI)	0.00	
Ending Account Value Incl. AI	\$500.91	

Total Account Trades Aug 2018 - Jul 2019: 19

* Reflects appreciation or depreciation of your holdings due to price changes, transactions from Other Activity In or Out and Multi-currency transactions, plus any distribution and income earned during the statement period.



Top Holdings

Description	Value	Percent of Account
Call (Acb) Aurora Cannabis INC Jan 17 20 \$7 (100 Shs)	\$384	77%
Fidelity Government Money Market	110	22
Sirius Xm Hldgs INC Com	6	1
Total	\$500	100%

Please note that, due to rounding, percentages may not add to 100%.

Income Summary

	This Period	Year-to-Date
Taxable	\$32.11	\$32.11
Dividends	32.11	32.11
Total	\$32.11	\$32.11

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INVESTMENT REPORT
July 12, 2019 - July 31, 2019

Account # [REDACTED] 8163
MAI DO - INDIVIDUAL

Core Account and Credit Balance Cash Flow

Core Account: FIDELITY GOVERNMENT MONEY MARKET

	This Period	Year-to-Date
Beginning Balance	-	-
Investment Activity		
Securities Bought	-\$351,671.05	-\$351,671.05
Securities Sold	508,394.59	508,394.59
Dividends, Interest & Other Income ^D	32.11	32.11
Total Investment Activity	\$156,755.65	\$156,755.65
Cash Management Activity		
Deposits	2,330.00	2,330.00
Withdrawals	-158,975.00	-158,975.00
Total Cash Management Activity	-\$156,645.00	-\$156,645.00
Ending Balance	\$110.65	\$110.65

^D Includes dividend reinvestments.

Realized Gains and Losses from Sales

(May not reflect all gains and losses due to incomplete cost basis)

	This Period	Year-to-Date
Net Short-term Gain/Loss	59,411.07	59,411.07
Short-term Gain	69,287.87	69,287.87
Short-term Loss	-10,227.08	-10,227.08
Short-term Disallowed Loss	350.28	350.28
Net Gain/Loss	\$59,411.07	\$59,411.07

Holdings

Core Account

Description	Beginning Market Value Jul 12, 2019	Quantity Jul 31, 2019	Price Per Unit Jul 31, 2019	Ending Market Value Jul 31, 2019	Total Cost Basis	Unrealized Gain/Loss Jul 31, 2019	EAI (\$) / EY (%)
FIDELITY GOVERNMENT MONEY MARKET (SPAXX)	unavailable	110.650	\$1.0000	\$110.65	not applicable	not applicable	\$2.08 1.880%
Total Core Account (22% of account holdings)	unavailable			\$110.65			\$2.08

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INVESTMENT REPORT
July 12, 2019 - July 31, 2019Account # [REDACTED] 8163
MAI DO - INDIVIDUAL

Holdings

Stocks

Description	Beginning Market Value Jul 12, 2019	Quantity Jul 31, 2019	Price Per Unit Jul 31, 2019	Ending Market Value Jul 31, 2019	Total Cost Basis	Unrealized Gain/Loss Jul 31, 2019	EAI (\$) / EY (%)
Common Stock							
^M SIRIUS XM HLDGS INC COM (SIRI)	unavailable	1.000	\$6.2600	\$6.26	\$5.59 ^t	\$0.67	\$0.05 0.800%
Total Common Stock (1% of account holdings)	unavailable			\$6.26	\$5.59	\$0.67	\$0.05
Total Stocks (1% of account holdings)	unavailable			\$6.26	\$5.59	\$0.67	\$0.05

Options

Description	Beginning Market Value Jul 12, 2019	Quantity Jul 31, 2019	Price Per Unit Jul 31, 2019	Ending Market Value Jul 31, 2019	Total Cost Basis	Unrealized Gain/Loss Jul 31, 2019
^M CALL (ACB) AURORA CANNABIS INC JAN 17 20 \$7 (100 SHS) (ACB200117C7)	unavailable	8.000	\$0.4800	\$384.00	\$960.00 ^t	-\$576.00
Total Options (77% of account holdings)	unavailable			\$384.00	\$960.00	-\$576.00

Total Holdings				\$500.91	\$965.59	-\$575.33	\$2.13
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EAI **Estimated Annual Income (EAI) & Estimated Yield (EY)**- EAI is an estimate of annual income for a specific security position over the next rolling 12 months. EAI may be negative on short & EY positions. EY is calculated by dividing the current EAI for a security position by its statement closing date market value. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. Actual income and yield might be lower or higher than the estimated amounts. **For calculation details, refer to the "Additional Information and Endnotes" section.**

Total Cost Basis does not include the cost basis on core, money market or other positions where cost basis is unknown or not applicable.

^t Third-party provided

^M Position held in margin account.

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INVESTMENT REPORT
July 12, 2019 - July 31, 2019Account # [REDACTED] 8163
MAI DO - INDIVIDUAL

Activity

Securities Bought & Sold

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Total Cost Basis	Transaction Cost	Amount
07/19	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) OPENING TRANSACTION	3392909SQ	You Bought	1.000	\$2.16000	-	-\$0.69	-\$216.69
07/19	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) OPENING TRANSACTION	3392909SQ	You Bought	1.000	2.14000	-	-5.64	-219.64
07/19	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) OPENING TRANSACTION	3392909SQ	You Bought	2.000	2.16000	-	-1.38	-433.38
07/19	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) OPENING TRANSACTION	3392909SQ	You Bought	6.000	2.16000	-	-4.13	-1,300.13
07/19	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) OPENING TRANSACTION	3392909SQ	You Bought	10.000	2.16000	-	-6.89	-2,166.89
07/19	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) OPENING TRANSACTION	3392909SQ	You Bought	10.000	2.16000	-	-6.89	-2,166.89
07/19	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) OPENING TRANSACTION	3392909SQ	You Bought	10.000	2.16000	-	-6.89	-2,166.89
07/19	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) OPENING TRANSACTION	3392909SQ	You Bought	20.000	2.16000	-	-13.78	-4,333.78
07/19	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) OPENING TRANSACTION	3392909SQ	You Bought	20.000	2.16000	-	-13.78	-4,333.78
07/19	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) OPENING TRANSACTION	3392909SQ	You Bought	30.000	2.16000	-	-20.66	-6,500.66
07/19	CALL (TWTR) TWITTER INC COM JAN 17 20 \$36 (100 SHS) CLOSING TRANSACTION	4173789MK	You Sold Short-term gain: \$2,078.53	-45.000	5.57000	22,950.00f	-36.47	25,028.53
07/25	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) CLOSING TRANSACTION	3392909SQ	You Sold Short-term gain: \$13,505.29	-136.000	3.65000	36,040.00f	-94.71	49,545.29
07/25	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) CLOSING TRANSACTION	3392909SQ	You Sold Short-term gain: \$6,500.48	-64.000	3.65000	16,810.00f	-49.52	23,310.48

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INVESTMENT REPORT
July 12, 2019 - July 31, 2019Account # [REDACTED] 8163
MAI DO - INDIVIDUAL

Activity

Securities Bought & Sold (continued)

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Total Cost Basis	Transaction Cost	Amount
07/25	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) CLOSING TRANSACTION	3392909SQ	You Sold <i>Short-term gain: \$8,807.35</i>	-64.000	3.55000	13,868.09f	-44.56	22,675.44
07/25	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) CLOSING TRANSACTION	3392909SQ	You Sold <i>Short-term gain: \$6,799.65</i>	-60.000	3.55000	14,453.62f	-46.73	21,253.27
07/25	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) CLOSING TRANSACTION	3392909SQ	You Sold <i>Short-term gain: \$4,715.19</i>	-50.000	3.55000	13,000.00f	-34.81	17,715.19
07/25	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) CLOSING TRANSACTION	3392909SQ	You Sold <i>Short-term gain: \$2,201.84</i>	-16.000	3.55000	3,467.02f	-11.14	5,668.86
07/25	CALL (TWTR) TWITTER INC COM JAN 17 20 \$38 (100 SHS) OPENING TRANSACTION	4173789KI	You Bought	1.000	4.90000	-	-0.69	-490.69
07/25	CALL (TWTR) TWITTER INC COM JAN 17 20 \$38 (100 SHS) OPENING TRANSACTION	4173789KI	You Bought	11.000	4.90000	-	-7.58	-5,397.58
07/25	CALL (TWTR) TWITTER INC COM JAN 17 20 \$38 (100 SHS) OPENING TRANSACTION	4173789KI	You Bought	30.000	4.90000	-	-25.61	-14,725.61
07/25	CALL (TWTR) TWITTER INC COM JAN 17 20 \$38 (100 SHS) OPENING TRANSACTION	4173789KI	You Bought	59.000	4.90000	-	-40.64	-28,950.64
07/25	CALL (TWTR) TWITTER INC COM JAN 17 20 \$38 (100 SHS) OPENING TRANSACTION	4173789KI	You Bought	99.000	4.90000	-	-68.19	-48,578.19
07/25	CALL (TWTR) TWITTER INC COM JAN 17 20 \$38 (100 SHS) CLOSING TRANSACTION	4173789KI	You Sold <i>Short-term gain: \$6,712.40</i>	-200.000	5.25000	98,142.71f	-144.89	104,855.11
07/25	CALL (ZNGA) ZYNGA INC COM JAN 17 20 \$6 (100 SHS) OPENING TRANSACTION	4210219HH	You Bought	200.000	0.81000	-	-142.71	-16,342.71
07/25	CALL (ZNGA) ZYNGA INC COM JAN 17 20 \$6 (100 SHS) CLOSING TRANSACTION	4210219HH	You Sold <i>Short-term gain: \$64.18</i>	-116.000	0.83000	9,478.77f	-85.05	9,542.95
07/25	CALL (ZNGA) ZYNGA INC COM JAN 17 20 \$6 (100 SHS) CLOSING TRANSACTION	4210219HH	You Sold <i>Short-term gain: \$37.54</i>	-63.000	0.83000	5,147.96f	-43.50	5,185.50

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INVESTMENT REPORT
July 12, 2019 - July 31, 2019Account # [REDACTED] 8163
MAI DO - INDIVIDUAL

Activity

Securities Bought & Sold (continued)

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Total Cost Basis	Transaction Cost	Amount
07/25	CALL (ZNGA) ZYNGA INC COM JAN 17 20 \$6 (100 SHS) CLOSING TRANSACTION	4210219HH	You Sold <i>Short-term gain: \$12.52</i>	-21.000	0.83000	1,715.98f	-14.50	1,728.50
07/26	CALL (TWTR) TWITTER INC COM JAN 17 20 \$38 (100 SHS) OPENING TRANSACTION	4173789KI	You Bought	100.000	5.15000	-	-73.83	-51,573.83
07/29	CALL (BIDU) BAIDU INC SPON ADS MAR 20 20 \$110 (100 SHS) OPENING TRANSACTION	4274049SO	You Bought	29.000	15.43000	-	-24.93	-44,771.93
07/29	CALL (BIDU) BAIDU INC SPON ADS MAR 20 20 \$110 (100 SHS) CLOSING TRANSACTION	4274049SO	You Sold <i>Short-term loss: \$282.79</i>	-29.000	15.35000	44,771.93f	-25.86	44,489.14
07/29	CALL (IQ) IQIYI INC SPON EACH MAR 20 20 \$20 (100 SHS) OPENING TRANSACTION	4278319EA	You Bought	4.000	2.88000	-	-2.76	-1,154.76
07/29	CALL (IQ) IQIYI INC SPON EACH MAR 20 20 \$20 (100 SHS) OPENING TRANSACTION	4278319EA	You Bought	20.000	2.88000	-	-13.78	-5,773.78
07/29	CALL (IQ) IQIYI INC SPON EACH MAR 20 20 \$20 (100 SHS) OPENING TRANSACTION	4278319EA	You Bought	27.000	2.87000	-	-23.55	-7,772.55
07/29	CALL (IQ) IQIYI INC SPON EACH MAR 20 20 \$20 (100 SHS) OPENING TRANSACTION	4278319EA	You Bought	64.000	2.88000	-	-44.08	-18,476.08
07/29	CALL (IQ) IQIYI INC SPON EACH MAR 20 20 \$20 (100 SHS) OPENING TRANSACTION	4278319EA	You Bought	85.000	2.88000	-	-58.55	-24,538.55
07/29	CALL (IQ) IQIYI INC SPON EACH MAR 20 20 \$20 (100 SHS) CLOSING TRANSACTION	4278319EA	You Sold <i>Short-term loss: \$2,690.36</i> <i>Short-term disallowed loss:</i> <i>\$350.28</i> <i>Wash sale of: 07/26/2019</i> <i>\$350.28</i>	-176.000	2.74000	50,787.18f	-127.18	48,096.82
07/29	CALL (IQ) IQIYI INC SPON EACH MAR 20 20 \$20 (100 SHS) CLOSING TRANSACTION	4278319EA	You Sold <i>Short-term loss: \$719.49</i>	-24.000	2.74000	7,278.82f	-16.67	6,559.33
07/29	CALL (TWTR) TWITTER INC COM JAN 17 20 \$38 (100 SHS) CLOSING TRANSACTION	4173789KI	You Sold <i>Short-term gain: \$17,498.74</i>	-98.000	6.95000	50,542.35f	-68.91	68,041.09

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INVESTMENT REPORT
July 12, 2019 - July 31, 2019Account # [REDACTED] 8163
MAI DO - INDIVIDUAL

Activity

Securities Bought & Sold (continued)

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Total Cost Basis	Transaction Cost	Amount
07/29	CALL (TWTR) TWITTER INC COM JAN 17 20 \$38 (100 SHS) CLOSING TRANSACTION	4173789KI	You Sold <i>Short-term gain: \$354.16</i>	-2.000	6.96000	1,031.48 f	-6.36	1,385.64
07/29	CALL (ZNGA) ZYNGA INC COM MAR 20 20 \$6 (100 SHS) OPENING TRANSACTION	4285009CY	You Bought	200.000	1.13000	-	-142.71	-22,742.71
07/29	CALL (ZNGA) ZYNGA INC COM MAR 20 20 \$6 (100 SHS) CLOSING TRANSACTION	4285009CY	You Sold <i>Short-term loss: \$2,613.25</i>	-159.000	0.98000	18,080.45 f	-114.80	15,467.20
07/29	CALL (ZNGA) ZYNGA INC COM MAR 20 20 \$6 (100 SHS) CLOSING TRANSACTION	4285009CY	You Sold <i>Short-term loss: \$672.59</i>	-41.000	0.98000	4,662.26 f	-28.33	3,989.67
07/29	CALL (ZNGA) ZYNGA INC COM MAR 20 20 \$5 (100 SHS) OPENING TRANSACTION	4285009HF	You Bought	200.000	1.82000	-	-142.71	-36,542.71
07/29	CALL (ZNGA) ZYNGA INC COM MAR 20 20 \$5 (100 SHS) CLOSING TRANSACTION	4285009HF	You Sold <i>Short-term loss: \$2,686.13</i>	-200.000	1.70000	36,542.71 f	-143.42	33,856.58
Total Securities Bought						-	-\$893.05	-\$351,671.05
Total Securities Sold						\$448,771.33	-\$1,137.41	\$508,394.59
Net Securities Bought & Sold							-\$2,030.46	\$156,723.54

Securities Transferred In

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Amount
07/17	CALL (ACB) AURORA CANNABIS INC JAN 17 20 \$7 (100 SHS) ACB ACB200117C7 CALL VALUE OF TRANSACTION \$840.00	4040649KG	Transfer Of Assets	8.000	\$1.0500	-
07/17	CALL (SNAP) SNAP INC CL A JAN 17 20 \$15 (100 SHS) SNAP SNAP200117C15 CALL VALUE OF TRANSACTION \$65,800.00	3392909SQ	Transfer Of Assets	280.000	2.3500	-
07/17	CALL (TWTR) TWITTER INC COM JAN 17 20 \$36 (100 SHS) TWTR TWTR200117C36 CALL VALUE OF TRANSACTION \$25,875.00	4173789MK	Transfer Of Assets	45.000	5.7500	-

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INVESTMENT REPORT
July 12, 2019 - July 31, 2019Account # [REDACTED] 8163
MAI DO - INDIVIDUAL**Activity**

Securities Transferred In (continued)

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Amount
07/18	SIRIUS XM HLDGS INC COM	82968B103	Transfer Of Assets	1.000	6.0400	-
	ACAT RECEIVE VALUE OF TRANSACTION					\$6.04
Total Securities Transferred In						-

Dividends, Interest & Other Income

(Includes dividend reinvestment)

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Amount
07/31	FIDELITY GOVERNMENT MONEY MARKET	31617H102	Dividend Received	-	-	\$32.11
Total Dividends, Interest & Other Income						\$32.11

Deposits

Date	Reference	Description	Amount
07/16		Eft Funds Received Er25482985 /web Citibank Fsb *****7059	\$40.00
07/18	Transfer Of Assets	Acat Receive	2,290.00
Total Deposits			\$2,330.00

Withdrawals

Date	Reference	Description	Amount
07/18	Transfer Of Assets	ACAT RECEIVE	-\$75.00
07/18	Money Line Paid	EFT FUNDS PAID ED04162598 /WEB CITIBANK FSB *****7059	-2,200.00
07/22	Money Line Paid	EFT FUNDS PAID ED04250897 /WEB CITIBANK FSB *****7059	-1,200.00
07/29	Wire Tfr To Bank	WD58342959 FARMERS + MERCHANTS BK OF LONG *****8635	-95,000.00
07/30	Wire Tfr To Bank	WD58357638 FARMERS + MERCHANTS BK OF LONG *****8635	-60,500.00

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INVESTMENT REPORT
July 12, 2019 - July 31, 2019Account # [REDACTED] 8163
MAI DO - INDIVIDUAL

Activity

Withdrawals (continued)

Date	Reference	Description	Amount
Total Withdrawals			-\$158,975.00

Daily Additions and Subtractions

Additions/subtractions from your Core Account, which utilizes FIDELITY GOVERNMENT MONEY MARKET, were effected on the dates and in the amounts indicated. If your Core Account utilizes a Fidelity money market fund, these transactions were effected at \$1.00/share, and the number of shares bought/ sold equals the transaction value.

Date	Total Additions	Total Subtractions	Net Activity	Daily Balance	Date	Total Additions	Total Subtractions	Net Activity	Daily Balance
07/16	\$40.00	-	\$40.00	\$40.00	07/26	-	-51,573.83	-51,573.83	95,466.14
07/18	15.00	-	15.00	55.00	07/29	-	-34,887.60	-34,887.60	60,578.54
07/19	1,189.80	-	1,189.80	1,244.80	07/30	-	-60,500.00	-60,500.00	78.54
07/22	-	-1,200.00	-1,200.00	44.80	07/31	32.11	-	32.11	110.65
07/25	146,995.17	-	146,995.17	147,039.97					

Trades Pending Settlement

Trade Date	Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Total Cost Basis	Amount
07/31	08/01	CALL (ACB) AURORA CANNABIS INC JAN 17 20 \$7 (100 SHS) CLOSING TRANSACTION	ACB	Sold Short-term loss: \$562.47	-8.0000	\$0.51000	\$960.00 ^f	\$397.53
Total Trades Pending Settlement								\$397.53

Cost basis and gain/loss information is provided as a service to our customers and is based on standards for filing US Federal Tax Returns as determined by Fidelity. This information is not intended to address tax law or reporting requirements applicable in your country of tax residence.

f FIFO (First-In, First-Out)

Additional Information and Endnotes

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for

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INVESTMENT REPORT
July 12, 2019 - July 31, 2019

Account # [REDACTED] 8163
MAI DO - INDIVIDUAL

Additional Information and Endnotes

that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness. **Please refer to the Help/Glossary on Fidelity.com for additional information regarding these calculations.**

For more information about your statement, please refer to our **Frequently Asked Questions** document at [Fidelity.com/statements](https://www.fidelity.com/statements).

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Add EFT Standing Instructions

Account Owner's Name: MAI DO

Bank Name: FARMERS & MERCHANTS BANK LONG

Bank Routing Number: 122201198

Bank Account Number: [REDACTED] 8635

Bank Account Type: Checking

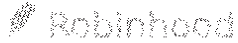
Electronically Signed: Yes

Form ID: 1.932149

Fidelity Account(s): [REDACTED] 8163

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85 Willow Rd, Menlo Park, CA 94025
support@robinhood.com

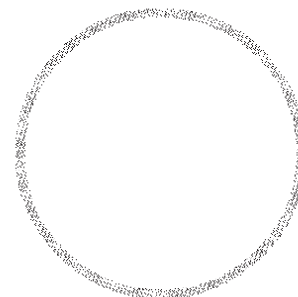
06/01/2019 to 06/30/2019
Mai Do Account # [REDACTED]
2101 N Westwood Ave Santa Ana CA 92706

📊 OPTIONS 📈 EQUITIES 💰 CASH

Account Summary

	OPENING BALANCE	CLOSING BALANCE
Net Account Balance	N/A	\$50,000.00
Total Securities	N/A	\$0.00
Portfolio Value	N/A	\$50,000.00

Portfolio Allocation



💰 **CASH**
100.00%

📈 **EQUITIES**
0.00%

📊 **OPTIONS**
0.00%

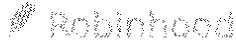
Income and Expense Summary

	THIS PERIOD	YEAR TO DATE
Dividends	\$0.00	\$0.00
Capital Gains Distributions	\$0.00	\$0.00
Interest	\$0.00	\$0.00

This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions exempted. Please address all communications to the firm and not to the individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

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85 Willow Rd, Menlo Park, CA 94025
support@robinhood.com

06/01/2019 to 06/30/2019
Mail Do Account # [REDACTED] 1430
2101 N Westwood Ave Santa Ana CA 92706

IMPORTANT INFORMATION

Robinhood Securities, LLC ("RHS") carries your account as the clearing broker by arrangement with your introducing broker-dealer, Robinhood Financial, LLC ("RHF").

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on debt balances in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 1st day of the month to the last day of the month. The interest is based on the average daily balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the new debt balance.

We are required to report to the Internal Revenue Service all cash dividends and interest credited to your account on securities held for you in our name. All dividends and interest credits should be included in your income tax return.

Information relative to fees and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of the information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure which randomly selects from amongst all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request. You may have received a confirmation for a trade which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement, the trade will appear on your next regular monthly statement.

You are to promptly advise Robinhood of any material changes concerning your investment objectives or financial situation by updating your information using the Robinhood platform or by contacting support@robinhood.com.

Our financial statement is available for your personal inspection, it can also be emailed to you upon request.

As a reminder of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please visit www.sipc.org.

Any free credit balances represent funds payable upon demand which, although properly accounted for on our books and records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

Notice to Customers

RHS acts as clearing agent for your trades. Your account, which was introduced to us by RHF, is established under your name on a "fully disclosed" basis at RHS. You remain a customer of RHF.

As required, under SEC rules, both the firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

As a clearing agent, we provide securities clearance and may provide order execution based on RHF instructions. RHS will not be involved with or have any responsibility for decisions regarding securities transactions in your account. RHF will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders and any instructions regarding the deposit or withdrawal of securities or monies should be made through RHF.

In addition to the above mentioned services, RHS will provide cashing services, safeguarding of funds and securities while in our possession, monitoring compliance with applicable credit Regulation T and RHS internal policies, preparing and making accessible your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account may be based on the size and net debit balance during the interest period.

The dividend totals reflected in the Income and Expense Summary are inclusive of both taxable and non-taxable dividends.

These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charges to customers, consult the RHF Retail Commissions and Fee Schedule available through <https://about.robinhood.com/legal>.

RHS is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA"), and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-269-9999 or via their website www.finra.org. RHS carries your account and acts as your custodian for funds and securities deposited with us directly by you, through RHF as a result of transactions we process to your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both RHF and RHS. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communications in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to: support@robinhood.com.

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealers relationship with such venue. In addition, the Rule (SEC 606) requires broker-dealers to disclose, upon customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact RHF.

Statement of Financial Condition
Robinhood Securities, LLC, unaudited Statement of Financial Condition as of December 31, 2018 is available on the Company's website at www.robinhood.com/legal. A paper copy may be requested at no cost by calling 1-(800)-282-1327. At December 31, 2018, Robinhood Securities, LLC, had a net capital of \$148,748,805, which was \$137,692,281 in excess of its required net capital of \$11,056,524.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS.

(Page 3 of 10)

Page 3 of 3



85 Willow Rd, Menlo Park, CA 94025
support@robinhood.com

06/01/2019 to 06/30/2019
Mai Do Account # [REDACTED] 1428
2101 N Westwood Ave Santa Ana CA 92706

PORTFOLIO SUMMARY


EQUITIES/OPTIONS	SYM/CUSIP	ACCT TYPE	QTY	PRICE	MKT VALUE	LAST PERIOD'S MKT VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
Total Securities					\$0.00			\$0.00	0.00%
Total Cash (Net Portfolio Balance)					\$50,000.00				100.00%
Total Priced Portfolio					\$50,000.00				

ACCOUNT ACTIVITY

DESCRIPTION	SYMBOL	ACCT TYPE	TRANSACTION	DATE	QTY	PRICE	DEBIT	CREDIT
ACH Deposit		Margin	ACH	06/26/2019				\$50,000.00
Total Funds Paid and Received							\$0.00	\$50,000.00

EXECUTED TRADES PENDING SETTLEMENT
These transaction may not be reflected in the other summaries

DESCRIPTION	ACCT TYPE	TRANSACTION	TRADE DATE	SETTLE DATE	QTY	PRICE	DEBIT	CREDIT
Total Executed Trades Pending Settlement							\$0.00	\$0.00

Mai Do 2101 N Westwood Ave Santa Ana CA 92706	Date _____	9004 <u>90-8086</u> 3222
Pay to the Order of _____ \$ 		
		Dollars
		

⑆322281992⑆ [REDACTED] 2006⑈9004		

Add EFT Standing Instructions

Account Owner's Name: MAI DO

Bank Name: EAGLE COMMUNITY CREDIT UNION

Bank Routing Number: 322281992

Bank Account Number: [REDACTED] 2006

Bank Account Type: Checking

Electronically Signed: Yes

Form ID: 1.932149

Fidelity Account(s): [REDACTED] 8163



PROPERTY PROFILE

Property:
12632 Jerome Ln
Garden Grove, CA 92841
APN: 133-301-07

Data deemed reliable, but not guaranteed.
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Do Mai
12632 Jerome Ln, Garden Grove, CA 92841

APN: 133-301-07
Orange County

Owner Information

Primary Owner: **DO MAI**

Secondary Owner:

Mail Address: **12632 JEROME LN**
GARDEN GROVE CA 92841

Site Address: **12632 JEROME LN**
GARDEN GROVE CA 92841

Assessor Parcel Number: **133-301-07**

Census Tract: **0881.07**

Housing Tract Number: **1835**

Lot Number: **46**

Page Grid: **798-C6**

Legal description: **Lot: 46 Tract No: 1835 Abbreviated Description: LOT:46 SUBD:GARDEN GROVE SANITARY**
DISTRICT TR#:1835 N TR 1835 BLK LOT 46

Sale Information

Sale Date: **07/25/2003**

Document #: **2003000888684**

Sale Amount: **\$385,000**

Seller: **MADDUX, BENJAMIN**
D; MADDUX, RENEE

Sale Type:

Cost/SF: **\$191**

Assessment & Tax Information

Assessed Value: **\$471,645**

Land Value: **\$357,276**

Imp. Value: **\$114,369**

Homeowner **H**
Exemption:

% Improvement: **24.25%**

Tax Amount: **\$5,873.62**

Tax Status: **Delinquent: 2016**

Tax Year: **2018**

Tax Rate Area: **18-007**

Tax Account ID:

Property Characteristics

Bedrooms: **3**

Year Built: **1954**

Pool:

Bathrooms: **3**

Square Feet: **2,008 SF**

Lot Size: **7,953 SF**

Partial Baths:

Number of Units: **0**

No of Stories: **1**

Total Rooms: **5**

Garage: **Garage 1**

Fire Place: **1**

Property Type: **Single Family Residential Properties**

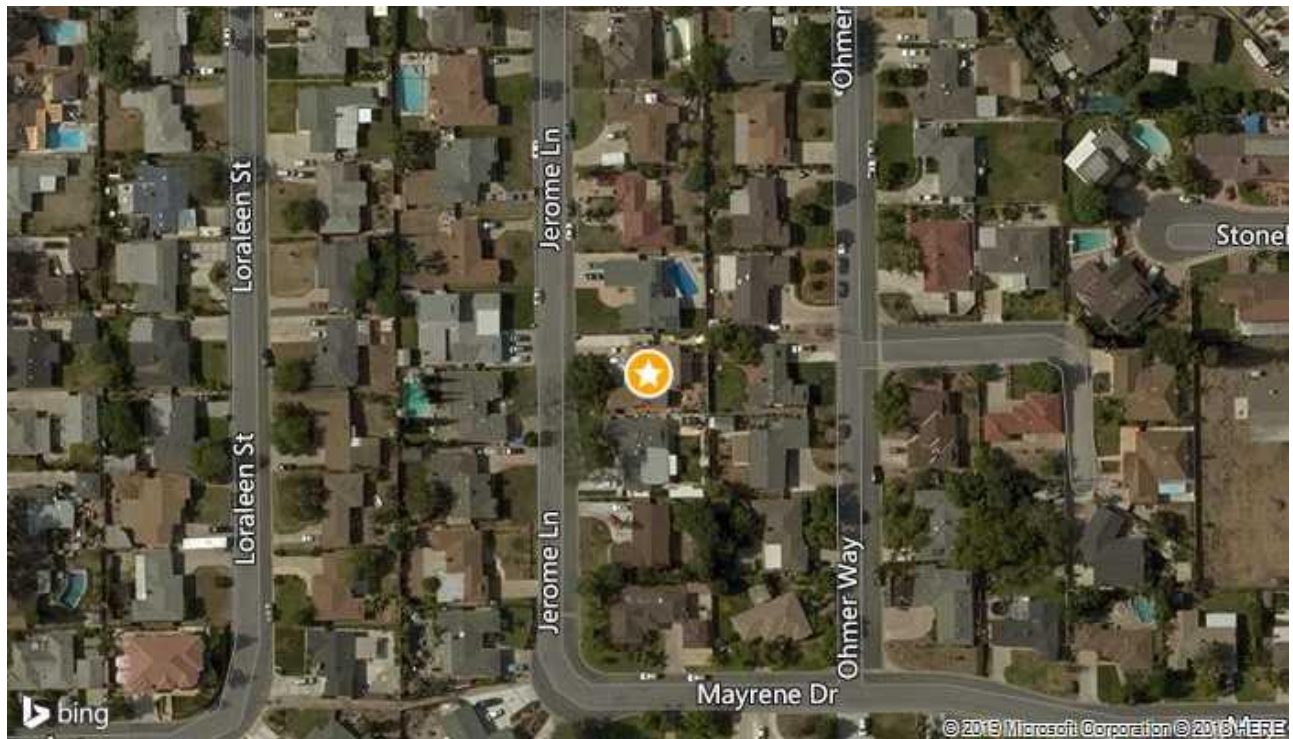
Building Style:

Owner
Exclusions:

Use Code: **Single Family Residential**

Zoning:

Aerial Map





Do Mai
12632 Jerome Ln, Garden Grove, CA 92841

APN: 133-301-07
Orange County

Mortgage Release

Recording Date: **07/10/2019** Document #: **2019000244822 BK-PG -**
Loan Amount: **\$120,000** Document Type: **Release Of Mortgage**
Original Lender: **THE CASSIT FAMILY TRUST** Origination Doc #: **2016000048404 BK-PG -**
REVOCABLE LIVIN
Borrowers Name: **SO,MAI**
Origination Recording Date: **02/04/2016** Effective Date: **06/22/2019**
Current Lender: **STANDARD MORTGAGE FINANCIAL SERVICES, INC. A CALIFORNIA CORPORATION, AS TRUSTEE**

Mortgage Record

Recording Date: **06/21/2019** Document #: **2019000220164 BK-PG -**
Loan Amount: **\$460,000** Loan Type: **Commercial Loan**
TD Due Date: Type of Financing:
Interest Rate:
Lender Name: **SILVER LANTERN LLC**
Lender Type: **Other**
Borrowers Name: **DO, MAI**
Vesting:

Mortgage Release

Recording Date: **04/25/2019** Document #: **2019000134593 BK-PG -**
Loan Amount: **\$120,000** Document Type: **Full Release With Legal Description**
Original Lender: **US BANK NA ND** Origination Doc #: **2005000491357 BK-PG -**
Borrowers Name: **DO,LUYEN D**
Origination Recording Date: **06/24/2005** Effective Date: **04/22/2019**
Current Lender: **U.S. BANK TRUST COMPANY, NATIONAL ASSOCIATION**

Mortgage Release

Recording Date: **06/08/2017** Document #: **2017000233590 BK-PG -**
Loan Amount: **N/A** Document Type: **Substitution Of Trustee And Full Reconveyance**
Original Lender: **MERS, INC. AS NOMINEE FOR** Origination Doc #: **2003000888685 BK-PG -**
T.J. FINANCIAL, INC., ITS
SUCCESSORS AND ASSIGNS
Borrowers Name: **LUYEN DINH DO**
Origination Recording Date: **07/25/2003** Effective Date: **06/07/2017**
Current Lender: **MERS, INC.**

Mortgage Release

Recording Date: **02/25/2016**

Loan Amount: **\$120,000**

Original Lender: **US BANK NA ND**

Borrowers Name: **DO, LUYEN D**

Origination Recording Date: **06/24/2005**

Current Lender: **U.S. BANK TRUST COMPANY, NATIONAL ASSOCIATION**

Document #: **2016000077038 BK-PG -**

Document Type: **Full Release With Legal
Description**

Origination Doc #: **2005000491357 BK-PG -**

Effective Date: **02/16/2016**

Mortgage Record

Recording Date: **02/04/2016**

Loan Amount: **\$120,000**

TD Due Date:

Interest Rate:

Lender Name: **THE CASSIT FAMILY TRUST REVOCABLE LIVIN**

Lender Type: **Private Party**

Borrowers Name: **DO, MAI**

Vesting:

Document #: **2016000048404 BK-PG -**

Loan Type: **Unknown Loan Type**

Type of Financing:

Prior Transfer

Recording Date: **09/23/2008**

Price: **N/A**

First TD: **N/A**

Mortgage Doc #:

Lender Name:

Buyer Name: **DO, MAI**

Buyer Vesting:

Seller Name: **DO, LUYEN DINH**

Legal description: **Lot: 46 Tract No: 1835 Map Ref: MP57 PG10&11**

City/Muni/Twp: **GARDEN GROVE**

Document #: **2008000446004 BK-PG -**

Document Type: **Intra-family Transfer Or
Dissolution**

Type of Sale: **Non-Arms Length Transfer**

Interest Rate:

Mortgage Record

Recording Date: **06/24/2005**

Loan Amount: **\$120,000**

TD Due Date:

Interest Rate:

Lender Name: **US BANK NA ND**

Lender Type: **Bank**

Borrowers Name: **DO, LUYEN D**

Vesting:

Document #: **2005000491357 BK-PG -**

Loan Type: **Credit Line**

Type of Financing:

Mortgage Record

Recording Date: **07/25/2003**

Loan Amount: **\$205,000**

TD Due Date: **08/01/2018**

Interest Rate:

Lender Name: **TJ FINANCIAL INC**

Lender Type: **Finance Company**

Document #: **2003000888685 BK-PG -**

Loan Type: **Unknown Loan Type**

Type of Financing:

Borrowers Name: **DO, LUYEN DINH**

Vesting:

Prior Transfer

Recording Date: **07/25/2003**

Price: **\$385,000**

First TD: **\$205,000**

Mortgage Doc #: **2003000888685**

Lender Name: **TJ FINANCIAL INC**

Buyer Name: **DO, LUYEN DINH**

Buyer Vesting:

Seller Name: **MADDUX, BENJAMIN D; MADDUX, RENEE**

Legal description: **Lot: 46 Tract No: 1835 Map Ref: MP57 PG10&11**

City/Muni/Twp: **GARDEN GROVE**

Document #: **2003000888684 BK-PG -**

Document Type: **Grant Deed**

Type of Sale: **Full-Computed From Transfer Tax**

Interest Rate:

Mortgage Record

Recording Date: **08/31/2001**

Loan Amount: **\$165,000**

TD Due Date: **09/01/2031**

Interest Rate:

Lender Name: **COUNTRYWIDE HOME LOANS INC**

Lender Type: **Lending Institution**

Borrowers Name: **MADDUX, BENJAMIN D; MADDUX, RENEE**

Vesting: **Joint Tenants**

Document #: **20010613920 BK-PG -**

Loan Type: **Unknown Loan Type**

Type of Financing:

Mortgage Record

Recording Date: **03/03/1998**

Loan Amount: **\$128,250**

TD Due Date: **03/01/2028**

Interest Rate:

Lender Name: **COUNTRYWIDE HOME LOANS INC**

Lender Type: **Lending Institution**

Borrowers Name: **MADDUX, BENJAMIN D; MADDUX, RENEE**

Vesting: **Joint Tenants**

Document #:

Loan Type:

Type of Financing:

Prior Transfer

Recording Date: **03/03/1998**

Price: **\$135,000**

First TD: **\$128,250**

Mortgage Doc #:

Lender Name: **COUNTRYWIDE HOME LOANS INC**

Buyer Name: **MADDUX, BENJAMIN D; MADDUX, RENEE**

Buyer Vesting: **Joint Tenants**

Seller Name: **MEARS RICHARD D**

Legal description:

Abbreviated Description: **N TR 1835 LOT 46**

City/Muni/Twp: **GARDEN GROVE**

Document #: **19980117864 BK-PG -**

Document Type: **Grant Deed**

Type of Sale: **Full-Computed From Transfer Tax**

Interest Rate:

American Land Title Association	ALTA Settlement Statement - Borrower Adopted 05-01-2015
---------------------------------	--

File No./Escrow No.:	NSWREF19157159	Stewart Title Guaranty Company
Print Date & Time:	6/18/2019 2:04:38 PM	5000 Birch St
Officer/Escrow Officer:		Ste 550
		Newport Beach, CA 92660
		(833) 692-3958

Property Address:	12632 JEROME LANE GARDEN GROVE, CA 92841 (ORANGE) (133-301-07)
Borrower:	MAI DO 12632 Jerome Ln Garden Grove, CA 92841
Lender:	Silver Lantern , LLC 707 H St, Eureka, CA 95501
Settlement Date:	6/18/2019
Disbursement Date:	6/24/2019

Description	Borrower		
	P.O.C.	Debit	Credit
Payoffs			
Net Payoff to (NA) Standard Mortgage Financial Services Inc		\$118,766.24	
Principal: \$116,955.39			
Hold for ck 5040 6/27: \$65.55			
Other Fees : \$315.00			
Interest through 6/28: \$403.74			
Hold for Ck 5035 6/21 : \$1,026.56			
New Loans			
Loan Amount			\$460,000.00
Lender Doc Fees to (NA) Silver Lantern , LLC		\$1,000.00	
Broker Fee to (NA) Equinox Home Financing Inc		\$5,750.00	
Processing Fee to (NA) Equinox Home Financing Inc		\$495.00	
Prepaid Interest (118.1900 per day from 6/21/2019 to 7/1/2019)		\$1,181.90	
Property Taxes (2016 .) to Orange County Tax Collector		\$15,813.82	
Title Charges			
Title - Lender's Title Insurance to Stewart Title Guaranty Company		\$575.00	
Title - ALTA 22-06 Location - Loan Policy 6-17-06 Endorsement(s) to Stewart Title Guaranty Company			
Title - ALTA 8.1-06 Environmental Protection Lien 6-17-06 Endorsement(s) to Stewart Title Guaranty Company			
Title - ALTA 9-06 Restrictions, Encroachments, Minerals-Loan Policy 4-2-12 Endorsement(s) to Stewart Title Guaranty Company			
Title - Settlement or closing fee to Stewart Title Guaranty Company		\$500.00	
Title - Signing Fee to Coast 2 Coast Signings, Inc		\$125.00	
Government Recording and Transfer Charges			
Recording Fees: Mortgage to Stewart Title Guaranty Company \$156.00		\$156.00	
	P.O.C.	Debit	Credit
Subtotals	\$0.00	\$144,362.96	\$460,000.00
Due To Borrower		\$315,637.04	
Totals	\$0.00	\$460,000.00	\$460,000.00

SUBSTITUTE FORM 1099 SELLER STATEMENT: The information contained herein is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction will be imposed on you if this item is required to be reported and the IRS determines that it has not been reported.

SELLER INSTRUCTIONS: If this real estate was your principal residence, file form 2119, Sale or Exchange of Principal Residence, for any gain, with your income tax return; for other transactions, complete the applicable parts of form 4797, Form 6252 and/or Schedule D (Form 1040). This transaction does not need to be reported on Form 1099-S if you sign a certification containing assurances that any capital gain from this transaction will be exempt from tax under new IRS Code Section 121. You are required by law to provide the Settlement Agent with your correct taxpayer identification number. If you do not provide the Settlement Agent with your correct taxpayer identification number, you may be subject to civil or criminal penalties imposed by law.

Acknowledgement

We/I have carefully reviewed the ALTA Settlement Statement and find it to be a true and accurate statement of all receipts and disbursements made on my account or by me in this transaction and further certify that I have received a copy of the ALTA Settlement Statement. We/I authorize Stewart Title Guaranty Company to cause the funds to be disbursed in accordance with this statement.

BORROWER(S)

MA/ DO

stewart title

Real partners. Real possibilities.

Tax Information Form

Page 1 of 1

Date: June 13, 2019

Loan Number:

File Number: NSWREF19157159

Borrower/Buyer: Mai Do

Address: 12632 Jerome Lane, Garden Grove, CA 92841

Parcel ID#: 133-301-07

County Real Estate Taxes

Tax ID Number #: 133-301-07

Current Tax Year: 2018

Check Payable to: Orange County Tax Collector

Payment Interval: Semiannual

Address C/S/Z: PO Box 1438, Santa Ana, CA 92702-1438

Land Assessed Value: \$357,276.00

Phone: (714) 834-3411

Improvement Assessed Value: \$114,369.00

Total Assessed Value: \$464,645.00

Amount	Status	Due Date	Paid Date	Delinquent Date
\$2,936.81	Paid		November 2, 2018	
\$2,936.81	Paid		November 2, 2018	

Total Annual Tax: \$5,873.62

Payment Frequency: Semiannual

Comments: 2016 & 2017 Amount to Redeem for June 30, 2019 is \$15,813.82.

Important Note:

"The information set out above is provided for general reference to the subject matter being covered. The tax information provided is obtained from public records and the provider does not guarantee that the figure stated is the final tax amount. Tax information provided is valid only through the date of the report. All tax figures must be verified prior to closing."

Page 1 of 1

STGC/NSWREF1915715.08.23.2019.00003

stewart title

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Stewart Title Guaranty Company
5000 Birch St, Ste 550
Newport Beach, CA 92660
Main: (877) 405-2820
Direct:
Fax:

Date: June 18, 2019
Escrow No.: NSWREF19157159
Property Address: 12632 Jerome Lane, Garden Grove, CA 92841
Borrower: Mai Do

**AMENDMENT/SUPPLEMENT TO
ESCROW INSTRUCTIONS**

THE ABOVE NUMBERED ESCROW IS HEREBY AMENDED AND/OR SUPPLEMENTED AS FOLLOWS:

VESTING: Vesting to be: Mai Do, a single woman

PROPERTY ADDRESS:
12632 Jerome Lane, Garden Grove, CA 92841

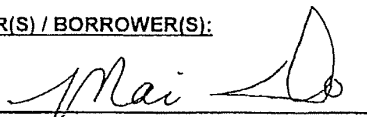
LEGAL DESCRIPTION:
LOT 46 OF TRACT 1635, IN THE GARDEN GROVE SANITARY DISTRICT, SHOWN ON A MAP THEREOF, RECORDED IN BOOK 57, PAGES 10 AND 11 OF MISCELLANEOUS MAPS, IN THE OFFICE OF THE COUNTY RECORDER OF ORANGE COUNTY.

EXCEPT THEREFROM ALL OIL, GAS, MINERALS AND OTHER HYDROCARBON SUBSTANCES, LYING BELOW A DEPTH OF 500 FEET FROM THE SURFACE OF SAID PROPERTY, BUT WITH NO RIGHT OF SURFACE ENTRY, WHERE THEY HAVE BEEN PREVIOUSLY RESERVED IN INSTRUMENTS OF RECORD.

NEW LOAN FINANCING: Borrower obtaining and property qualifying for a new loan securing a note in the amount of \$460,000.00 in favor of Silver Lantern, LLC. Borrower's signature on all loan documents shall constitute their full approval of the terms and conditions contained therein.

ALL OTHER TERMS AND CONDITIONS TO REMAIN THE SAME.

BUYER(S) / BORROWER(S):


Mai Do

STGC/NSWREF1915715.08.23.2019.00010

stewart title

Real partners. Real possibilities.

AUTHORIZATION TO DISBURSE PROCEEDS

☒ You are receiving proceeds: \$315,637.04

☐ You are receiving consumer debt checks

Consumer Debt Checks and/or Proceeds

☐ Please send my Consumer Debt Checks and/or Proceeds to my primary mailing address: (All checks less than \$10,000 OR where PO BOX is selected will be sent "USPS/Regular Mail"). *Consumer Debt may include Lien Payments on another property if wire instructions were not received.

Wire Proceeds (Not available for proceeds less than \$100)

☒ I authorize Stewart Title Guaranty Company to wire any proceeds due to me per the Closing Disclosure and Settlement Statement to my bank account using the following bank information:

Account Type: ☒ Checking

☐ Saving

ABA/ACH Routing Number

(Contact your financial institution to verify correct numbers)

177000661

Account Number:

REDACTED

0399

Bank Name:

Bank of America

Print Name as it appears on Account:

Mai Do

Account opened in City and State

CA

Please note that while Stewart Title Guaranty Company does not charge any fee to wire proceeds, your financial institution may charge a fee to your account for receipt of the wired funds.

I understand and all parties agree that the above personal or financial information will not be divulged to any unauthorized persons, without my consent, unless required by law.

Date: 6/18, 2019

Mai Do

Mai Do

STGC/NSWREF1915715.08.23.2019.00011

23920/Do

ITEMIZATION OF OTHER FEES	
Description	Amount
Demand Fee	\$30.00
Reconveyance Fee	\$45.00
Recording Fee	\$225.00
Incoming Wire fees	\$15.00
Total	\$315.00

Wire Instructions

*****Fax or email our office wire confirmation, otherwise the borrower may be charged additional interest until we receive notification. Our Fax Number is 951-686-0361 and email iliana@standardmortgagefinancial.com*****

Bank: City National Bank
3484 Central Avenue
Riverside, CA 92506
(909) 481-2473

Routing No.: 122016066

Credit: Standard Mortgage Financial Services, Inc.

Account No.: REDACTED 5013 (Collection Trust)

Type of Account: Collection Trust Account

Please be sure to reference our Loan Number and Borrower Name.

STGC/NSWREF1915715.08.23.2019.00012

This is for MAI DO

Please wire our fund into our brokerage account instead of Bank of America

Wire Routing Information

Routing Number:

071000288

Bank Account Number:

REDACTED 3302

SWIFT:

HATRUS44

Bank Information:

BMO Harris Bank

111 W. Monroe St.

Chicago, Illinois 60603

Name on Bank Account:

Apex Clearing Corp

One Dallas Center

350 N. St Paul

Suite 1300

Dallas, TX 75201

For Further Credit To:

MAI DO

For Further Credit Account:

REDACTED 6904

Important Information

- We don't allow incoming or outgoing international or third party wires.
- Keep in mind, if you don't include **For Further Credit To** with your Ally Invest account number and name, your deposit may be delayed.
- Initial funding via wire transfers of \$5,000 or more is eligible for reimbursement of related wire transfer fees (\$25 maximum). This doesn't apply to retirement accounts. This is a one-time credit for your first deposit, and no subsequent deposits will qualify.

STGC/NSWREF1915715.08.23.2019.00013

8/21/2019: Wire Detail

File ID: 437970

Page 1 of 1

Incoming Wire Detail

File: NSWREF19157159 **System ID:** 4430636
Date: 06/25/2019 **Imported Date:** 06/25/2019 6:17 PM
User: Tiffany L. Coleman
Transactee: Mai Do
Amount: \$315,488.85
Confirmation #: E:190625178105
Receiving Bank: Wells Fargo
San Francisco, CA
Receiving ABA: 121000248
Receiving Account: REDACTED 0074
For Credit Of:
Memo:
Note:
Sending Bank:
Broker/Lender Info:
Borrower Info: WIRE REFERENCE: 190625178105,000027464050799 WF RETURN WIRES IN PROCESS MAC
P6101-081 1300 SW 5TH AVE 8TH, FL PORTLAND OR 97,201-5667 4380552 OBI=RTN YR MT103
REF 4380552 DTD 20190621 USD 315518.85 WIR,E SENT FROM 3RD PA,RTY OUR WFW190625-
000666 /FTR/ BNF=D REDACTED 0074,BNK=Y STEWART TITLE GUA,RANTY COMPANY CTS,WEST
CAL ESCROW ACCT, (RESWARE) 1360 POST OAK BLVD., #100MC HOUSTON CA, US
BBI=RT,N YR MT103 REF 4380552 DTD 20190621 USD 315518.85 BNF BANK RTND FUNDS UTA
OU,R WFW190625-000666,Completed Timestamp 190625180112 (Time Released),
Additional Info:
Beneficiary: Wells Fargo
Payment Ref #: E:190625178105

STGC/NSWREF1915715.08.23.2019.00014

From: Mai Do [mailto:maid19682019@gmail.com]
Sent: Thursday, June 27, 2019 7:01 AM
To: NSW2 Escrow <NSW2_Escrow@stewart.com>
Subject: [External] Use this email for Mai Do

I will give you an account to wire fund ASAP to me this morning around 9am.

Mai Do

STGC/NSWREF1915715.08.23.2019.00015

From: Mai Do
To: NSW2_Escrow
Subject: [External] Wire Instruction ASAP
Date: Thursday, June 27, 2019 12:22:55 PM

Cathay Bank
Routing: 122203950
9121 Bolsa Ave.
Westminster, CA 92683

Benefit of MAI DO
acc# [REDACTED] 150

On Thu, Jun 27, 2019, 7:02 AM NSW2 Escrow <NSW2_Escrow@stewart.com> wrote:

Ok, thank you .

Please send all requests to NSW2_Escrow@stewart.com

cid:image001.jpg@01D37004.69A9EB80



Sincerely,

Estela Habermehl

Escrow Officer

Centralized Title Services

Stewart Title Guaranty Company

5000 N Birch Street, Suite 550

Newport Beach, CA 92660

O (833-692-3958) | D (949) 377-1397 | F (713) 808-7040

www.stewart.com | Estela.Habermehl@stewart.com

STGC/NSWREF1915715.08.23.2019.00016

POSTING SUMMARY

Bank:	Wells Fargo (4502200074)	Sales Price:	\$0.00
File Number:	NSWREF19157159	Loan Number:	
Closer:		Underwriter:	Stewart Title Guaranty Company (NSW)
Buyer(s):	Mai Do	Est Settlement:	6/18/2019
Seller(s):		Actual Settlement:	6/18/2019
		Property Address:	12632 Jerome Lane, Garden Grove, CA 92841

Receipts

Payer	Cleared Date	Rcvd Date	Method	Status	Number	Credit	Debit
Silver Lantern , LLC	06/20/2019	06/20/2019	Wire	Received		\$460,000.00	
Mai Do	06/25/2019	06/25/2019	Wire	Received		\$315,488.85	
						Posted Receipts:	\$775,488.85

Disbursements

Payee	Cleared Date	Issued Date	Method	Status	Number	Credit	Debit
Silver Lantern , LLC	06/21/2019	06/20/2019	Check	Issued	5028		\$1,300.09
Orange County Tax Collector	06/26/2019	06/20/2019	Check	Issued	5029		\$15,813.82
Silver Lantern , LLC	06/21/2019	06/20/2019	Check	Issued	5030		\$1,000.00
Coast 2 Coast Signings, Inc	06/26/2019	06/20/2019	Check	Issued	5031		\$125.00
Equinox Home Financing, Inc	06/21/2019	06/21/2019	Wire	Issued			\$6,245.00
Standard Mortgage Financial Services, Inc	06/21/2019	06/21/2019	Wire	Issued			\$118,766.24
Mai Do	06/21/2019	06/21/2019	Wire	Issued			\$315,518.85
Stewart Title Guaranty Company	06/24/2019	06/20/2019	Wire	Issued		\$1,231.00	\$1,231.00
Stewart Title Guaranty Company	07/01/2019	06/26/2019	Wire	Issued			\$1,075.00
Stewart Title Guaranty Company	07/01/2019	06/26/2019	Wire	Issued			\$1,075.00
Orange County Tax Collector	07/17/2019	06/27/2019	Check	Issued	5178		\$26.00
Mai Do	06/27/2019	06/27/2019	Wire	Issued			\$315,300.85
Stewart Title Guaranty Company	07/01/2019	06/27/2019	Wire	Issued			\$318.00
						Posted Disbursements:	-\$775,488.85
						Posted Balance:	\$0.00

STGC/NSWREF1915715.08.23.2019.00017

PAYMENT ARCHIVE AND RESEARCH CENTER**Query Results Report**

Printed On : 8/23/2019

MSG_SOURCE_TYPE	PPUSA
Account No	██████9150
Amount	315,300.85
Beneficiary	MAI DO
BNF ADDR1	12632 JEROME LN GARDEN GROVE CALIFO
BNF ADDR2	RNIA 92841 UNITED STATES OF AMERICA
BNF ID	██████9150
Branch ID	1001005
Country Code	US
Currency	USD
Wire Date	06/27/2019
Direction	I
Fee	0.00
IMAD	2019062711B7032R016588
MID	190627120343F200
Paymt Method	FED
Msg Status	COMPLETE
Msg Type	10
Msg Subtype	00
OBI	4453642, BORROWER PROCEEDS TO ACCTNO 05479150 MAI DO REMITTER SM 3142368615
Office	001
OMAD	20190627L2LFCB1C00046206271503FT03
Originator	STEWART TITLE GUARANTY COMPANY
ORG ADDR1	CTS WEST CAL ESCROW ACCT, (RESWARE)
ORG ADDR2	1980 POST OAK BLVD STE 1420
ORG ADDR3	HOUSTON TX 77056-3879
ORG ID	000004502200074
ORG ID Code	AC
Recv ABA	122203950
Recv Name	CATH BK LA
Reference	2019062700159763
Sender ABA	121000248
Sender Name	WELLS FARGO SF
Paymt Source	FLS
Time	12:22:34
UserID	PATRICIA
Value Date	06/27/2019

Total messages : 1

Total Amount : 315.300.85



Branch: 0000005

MAI DO
3708 WESTMINSTER AVE
SANTA ANA CA 92703

Last statement: June 27, 2019
This statement: July 27, 2019
Total days in statement period: 31

Page 1
[REDACTED] 9150
(5)

Direct inquiries to:
800-922-8429

Cathay Bank
9121 Bolsa Ave
Westminster CA 92683

WE ARE REDESIGNING CATHAYBANK.COM TO BETTER SERVE YOU! WATCH FOR MORE NEWS.

** Closed Account - Final Statement

Simple Checking

Account number	[REDACTED] 9150	Beginning balance	\$0.00
Enclosures	5	Total additions	315,401.28
Low balance	\$0.00	Total subtractions	315,401.28
Average balance	\$0.00	Ending balance	\$0.00
Avg collected balance	\$0		

CHECKS

Number	Date	Amount	Number	Date	Amount
	06-28	96.00		06-28	188,331.93
	06-28	7,000.00	99	07-02	2,087.72

DEBITS

Date	Description	Subtractions
06-27	' Service Charge	10.00
	INCOMING WIRE FEE	
07-01	' Preauthorized Wd	120.87
	Credit One Bank Payment 190628	
07-01	' Preauthorized Wd	147.02
	SO CAL EDISON CO BILL PAYMT 190701	
07-01	' Preauthorized Wd	338.62
	Credit One Bank Payment 190628	



MAI DO
July 27, 2019

Page 2
9150

Date	Description	Subtractions
07-01	' Preauthorized Wd SO CAL EDISON CO BILL PAYMT 190701	350.00
07-01	' Preauthorized Wd SO CAL EDISON CO BILL PAYMT 190701	1,816.73
07-01	' Preauthorized Wd CITI CARD ONLINE PAYMENT 190701	4,620.24
07-01	' Preauthorized Wd CAPITAL ONE ONLINE PMT 190628	7,207.22
07-01	' Preauthorized Wd ROBINHOOD Funds 190628	50,000.00
07-02	' Preauthorized Wd TOYOTA FINANCIAL RETAIL_PAY 190702	1,475.55
07-02	' Preauthorized Wd HONDA PMT 8004451358 190702	1,789.38
07-02	' Preauthorized Wd ROBINHOOD Funds 190701	50,000.00
07-03	Debit Memo	9.57
07-03	' Preauthorized Wd ROBINHOOD Funds 190702	0.43

CREDITS

Date	Description	Additions
06-27	' Deposit	100.00
06-27	' Wire Transfer-IN STEWART TITLE GUARANTY COMPANY	315,300.85
06-28	' Preauthorized Credit ROBINHOOD Funds 190627	0.08
06-28	' Preauthorized Credit ROBINHOOD Funds 190627	0.35

DAILY BALANCES

Date	Amount	Date	Amount	Date	Amount
06-27	315,390.85	07-01	55,362.65	07-03	0.00
06-28	119,963.35	07-02	10.00		

OVERDRAFT/RETURN ITEM FEES

	Total for this period	Total year-to-date
Total Overdraft Fees	\$0.00	\$0.00
Total Returned Item Fees	\$0.00	\$0.00

Thank you for banking with Cathay Bank



Page 3 of 3
Account: 9150
Date: 07/27/19

MAI DO. *Ma Do*
CATHAY BANK
支票號碼/提款單號
CHECKING/MONEY MARKET ACCOUNT WITHDRAWAL
日期 6/28/19
金額 \$ 96.00
九十六元
NOT NEGOTIABLE
Signature: *Ma Do*
CATHAY BANK
支票號碼/提款單號
CHECKING/MONEY MARKET ACCOUNT NO.
金額 \$ 96.00
九十六元
NOT NEGOTIABLE

06/28/2019 \$96.00

MAI DO. *Ma Do*
CATHAY BANK
支票號碼/提款單號
CHECKING/MONEY MARKET ACCOUNT WITHDRAWAL
日期 6/28/19
金額 \$ 7,000.00
七千零元
NOT NEGOTIABLE
Signature: *Ma Do*
CATHAY BANK
支票號碼/提款單號
CHECKING/MONEY MARKET ACCOUNT NO.
金額 \$ 7,000.00
七千零元
NOT NEGOTIABLE

06/28/2019 \$7,000.00

MAI DO. *Ma Do*
CATHAY BANK
支票號碼/提款單號
CHECKING/MONEY MARKET ACCOUNT WITHDRAWAL
日期 6/28/19
金額 \$ 188,331.93
一百八十八萬三千一百九十三元
NOT NEGOTIABLE
Signature: *Ma Do*
CATHAY BANK
支票號碼/提款單號
CHECKING/MONEY MARKET ACCOUNT NO.
金額 \$ 188,331.93
一百八十八萬三千一百九十三元
NOT NEGOTIABLE

06/28/2019 \$188,331.93

ADVANCE OF DEBIT CHECKING
Virtual Document
Account: 9150
Description: Early Closure Fee
Approved By: A800179, Sam Shih
Name: MAI DO
Cash Drawer: 0103 User A800K42
16 07032019 N 09:51:0 NNN
\$9.57
九元五角七

07/03/2019 \$9.57

MAI DO. *Ma Do*
CATHAY BANK
支票號碼/提款單號
CHECKING/MONEY MARKET ACCOUNT WITHDRAWAL
日期 7/2/19
金額 \$ 2,087.72
二千零八十七元七角二分
NOT NEGOTIABLE
Signature: *Ma Do*
CATHAY BANK
支票號碼/提款單號
CHECKING/MONEY MARKET ACCOUNT NO.
金額 \$ 2,087.72
二千零八十七元七角二分
NOT NEGOTIABLE

07/02/2019 99 \$2,087.72

06282019 00500400301050 122203950
06282019 000000 0000301050 >122203950<

06282019 00500400321150 122203950
06282019 000000 0000321150 >122203950<

06282019 00500400050730 122203950
06282019 000000 0000500730 >122203950<

ADVANCE OF DEBIT CHECKING
Virtual Document
Account: 9150
Description: Early Closure Fee
Approved By: A800179, Sam Shih
Name: MAI DO
Cash Drawer: 0103 User A800K42
16 07032019 N 09:51:0 NNN
\$9.57
九元五角七

07022019 032002000290140 122203950
07022019 000000 0000200140 >122203950<



Account Number: [REDACTED] 9150
Capture Date: June 28, 2019
Item Number: 61700008191340
Posted Date: June 28, 2019
Posted Item Number: 617091340
Serial Number:
Amount: 188,331.93

MAI DO
3708 WESTMINSTER AVE
SANTA ANA CA 92703-1446

MAI DO uspp# [REDACTED] 6799
exp 12/12/2023.

16-365
1222 5

DATE 6/28/19.

98

PAY TO
THE ORDER OF Cathay Bank - for CC \$ 188,331.93

One hundred eighty eight thousand three hundred and 93/100 DOLLARS

Cathay Bank
8121 BOLSA AVENUE
WESTMINSTER, CA 92683
1-800-922-8429

MEMO

12220395010098 [REDACTED] 9 15011

SPECIALTY NOTE

06282019 005004000500730 122203950

06282019 000000 0000500730, >122203950<

ENCLOSURE



Account Number: [REDACTED] 3003
Capture Date: July 03, 2019
Item Number: 5250030485733
Posted Date: July 03, 2019
Posted Item Number: 52585733
Serial Number: 2005002800
Amount: 5,385.18

CASHIER'S CHECK (BANK CONTROL A/C)
DO NOT MAIL
HOLD STATEMENT BY JOEY WONG

THE ORIGINAL DOCUMENT HAS A WHITE REFLECTIVE WATERMARK ON THE BACK. HOLD AT AN ANGLE TO VIEW. DO NOT CASH IF NOT PRESENT.

Cathay Bank
9121 Bolsa Ave., Westminster, CA 92683
DATE: June 28th, 2019
PAY **FIVE THOUSAND THREE HUNDRED EIGHTY-FIVE DOLLARS AND EIGHTEEN CENTS *******
TO THE ORDER OF **FCI LENDER SERVICE, INC.**
CASHIER'S CHECK
MAI DO Acc# [REDACTED] 9838
AMOUNT: *****\$5,385.18
AUTHORIZED SIGNATURE [Signature]
VOID OVER \$5,385.18
MICR LINE: @ 200 500 2800 @ 1222 2039501 @ 71003003 @

Security Features
Please look for the following additional check security features before accepting this document. IF NOT PRESENT, DO NOT NEGOTIATE THE DOCUMENT.
• Laid lines on the back of check.
• Microprinting - under magnification, the top border on the front of this check should read: "Standard Register".
• Standard Register logo.
• An Artificial Watermark is present and is viewable at an angle.
• Copyban Capture - security void pattern on front, if copied.
© Padlock design is a certification mark of Check Payment Systems Association.
C 59 17
1 / 2 / 2019

CREDIT TO PAYEE ACCT
ABSENCE OF ENDORSE GUART
SUNWEST BANK - IRVINE, CA
(714) 730-4444
>122228003<

000673457
ENCLOSE CHECK HERE
X PAY TO THE ORDER OF
SUNWEST BANK
FOR DEPOSIT ONLY
FCI LENDER SERVICES INC
LOAN SERVICING TRUST ACCT
3120
DC QT ABTE, SIGN STAMP DEL ON THIS LINE
DEPOSIT ONLY BA IN FOLD-FLATTEN



Account Number: [REDACTED] 8003
Capture Date: July 03, 2019
Item Number: 5250030477992
Posted Date: July 03, 2019
Posted Item Number: 52577992
Serial Number: 2005002801
Amount: 3,540.27

CASHIER'S CHECK (BANK CONTROL A/C)
DO NOT MAIL
HOLD STATEMENT BY JOEY WONG

THE ORIGINAL DOCUMENT HAS A WHITE REFLECTIVE WATERMARK ON THE BACK. HOLD AT AN ANGLE TO VIEW. DO NOT CASH IF NOT PRESENT.

Cathay Bank

9121 Bolsa Ave., Westminster, CA 92683

DATE: June 28th, 2019

PAY ☒ THREE THOUSAND FIVE HUNDRED FORTY DOLLARS AND TWENTY-SEVEN CENTS *****

TO THE ORDER OF **FOURSIGHT CAPITAL**

CASHIER'S CHECK

MAI DO Acc# [REDACTED] 5675

PER ENV

16395 1222 CASHIER'S CHECK NO. 2005002801

AMOUNT: ***\$3,540.27**

VALID OVER \$3,540.27

2005002801 1222039501 8003 0000354027

000673458

JPMORGANCHASE BK NA		CR TO NMD
070219	>074909962<	PAYEE ALL
28932577	2967526	RTS RSVD
00787500	145	0000000469341858



Account Number: [REDACTED] 3003
Capture Date: July 01, 2019
Item Number: 5250030431524
Posted Date: July 01, 2019
Posted Item Number: 52531524
Serial Number: 2005002813
Amount: 15,000.00

CASHIER'S CHECK (BANK CONTROL A/C)
DO NOT MAIL
HOLD STATEMENT BY JOEY WONG

THE ORIGINAL DOCUMENT HAS A WHITE REFLECTIVE WATERMARK ON THE BACK. HOLD AT AN ANGLE TO VIEW. DO NOT CASH IF NOT PRESENT.

Cathay Bank

16-395
1222

CASHIER'S
CHECK NO. 2005002813

9121 Bolsa Ave., Westminster, CA 92683

DATE: June 28th, 2019

PAY ☒ FIFTEEN THOUSAND DOLLARS AND ZERO CENTS

TO THE ORDER OF **MAI DO**

CASHIER'S CHECK

MAI DO

AMOUNT: *****\$15,000.00

AUTHORIZED SIGNATURE
Valid Over \$15,000.00

⑈ 2005002813⑈ ⑆ 122203950⑆ ⑈ [REDACTED] 3003⑈

000673470

Please look for the following additional security features. IF NOT PRESENT, DO NOT NEGOTIATE THE DOCUMENT.

- Laid lines
- Microprinting
- Thermochromic ink
- Clear watermark
- Copyban Capture

⑆ 02895011568 86282819 CA611 7575637 BIC



Account Number: [REDACTED] 3003
Capture Date: July 01, 2019
Item Number: 5250030433706
Posted Date: July 01, 2019
Posted Item Number: 52533706
Serial Number: 2005002811
Amount: 3,384.00

CASHIER'S CHECK (BANK CONTROL A/C)
DO NOT MAIL
HOLD STATEMENT BY JOEY WONG

THE ORIGINAL DOCUMENT HAS A WHITE REFLECTIVE WATERMARK ON THE BACK. HOLD AT AN ANGLE TO VIEW. DO NOT CASH IF NOT PRESENT.

Cathay Bank
9121 Bolsa Ave., Westminster, CA 92683

DATE: June 28th, 2019

PAY **THREE THOUSAND THREE HUNDRED EIGHTY-FOUR DOLLARS AND ZERO CENTS**

TO THE ORDER OF **CRAIG MILLER & KIMILO MILLER**

CASHIER'S CHECK

MAI DO

16-395
1222

CASHIER'S CHECK NO. 2005002811

PAY ONLY **3,384.00**

AMOUNT: *****\$3,384.00

[Signature]
AUTHORIZED SIGNATURE
Void Over \$3,384.00

⑈ 2005002811⑈ ⑈ 22203950⑈ ⑈ [REDACTED] 3003⑈

Please look for the following additional check security features before accepting this document. IF NOT PRESENT, DO NOT NEGOTIATE THE DOCUMENT.

- Laid lines on the back of check should be in alignment or the check is not authentic - watch for cut and paste.
- Microprinting - under magnification, the top border on the front of this check should read: "Standard Register Standard Security".
- Thermochromic Ink - Standard Register mark on back of check fades from blue to clear when heat is applied.
- An Artificial Watermark is present and is viewable at an angle.
- CopyScan Capture® - security void pattern on front if copied.
- Padlock design is a confirmation mark of Check Payment Systems Association.

⑈ 9910000224 06282019
E 5624 ID 453 PKT 01
7475072933

000673468

CREDITED TO THE ACCOUNT OF
THE WITH-HIN NAMED PAYEE
AGENCY OF ENDORSEMENT GUARANTEED
5239 US Bank 5239



Account Number: [REDACTED] 3003
Capture Date: July 01, 2019
Item Number: 5250030428515
Posted Date: July 01, 2019
Posted Item Number: 52528515
Serial Number: 2005002807
Amount: 25,000.00

CASHIER'S CHECK (BANK CONTROL A/C)
DO NOT MAIL
HOLD STATEMENT BY JOEY WONG

THE ORIGINAL DOCUMENT HAS A WHITE REFLECTIVE WATERMARK ON THE BACK. HOLD AT AN ANGLE TO VIEW. DO NOT CASH IF NOT PRESENT.

Cathay Bank
9121 Bolsa Ave., Westminster, CA 92683
DATE: June 28th, 2019
PAY ☒ TWENTY-FIVE THOUSAND DOLLARS AND ZERO CENTS *****
TO THE ORDER OF **MICHELLE NGUYEN**
CASHIER'S CHECK
MAI DO

16-395
1222
CASHIER'S CHECK NO. 2005002807
PAY **25000.00**
AMOUNT: *****\$25,000.00
AUTHORIZED SIGNATURE
VOID OVER \$25,000.00
20050028071112 2220395012 # [REDACTED] 300311

Please look for the following additional check security features before accepting this document. If NOT PRESENT, DO NOT NEGOTIATE THE DOCUMENT.

- Laid lines - a series of raised lines that run horizontally across the front of the check.
- Microprinting - tiny letters that form a continuous band around the front of the check.
- Thermochromic Ink - a color-changing ink that turns from red to blue when the check is heated.
- Artificial Water mark - a watermark that is visible when the check is held up to the light.
- Copyban Capture - a security void pattern on the back of the check.
- Pinlock design - a design that is not visible when the check is viewed from the front.
- Payment Systems Association (PSA) logo.

000673464

CREDITED TO ACCOUNT OF
WITHIN NAMED PAYEE
FOR DEPOSIT ONLY
JPMorgan Chase Bank N.A.



Account Number: [REDACTED] 3003
Capture Date: July 02, 2019
Item Number: 5250030459885
Posted Date: July 02, 2019
Posted Item Number: 52559885
Serial Number: 2005002799
Amount: 15,054.00

CASHIER'S CHECK (BANK CONTROL A/C)
DO NOT MAIL
HOLD STATEMENT BY JOEY WONG

THE ORIGINAL DOCUMENT HAS A WHITE REFLECTIVE WATERMARK ON THE BACK. HOLD AT AN ANGLE TO VIEW. DO NOT CASH IF NOT PRESENT.

Cathay Bank

16-395
1221 CASHIER'S
CHECK NO. 2005002799

9121 Bolsa Ave., Westminster, CA 92683

DATE: June 28th, 2019

PAY **PAY \$15,054.00**

AMOUNT: *****\$15,054.00

PAY ☒ FIFTEEN THOUSAND FIFTY-FOUR DOLLARS AND ZERO CENTS *****

TO **BBSC DEVELOPMENT LLC**

THE
ORDER
OF

CASHIER'S CHECK

MAI DO

AUTHORIZED SIGNATURE
Hold Over \$15,054.00

⑈ 2005002799⑈ ⑆ 122203950⑆ ⑈ [REDACTED] 3003⑈

⑈ Padlock design is a certification mark of Check Payment Systems Association.

- Please look for the following additional check security features before accepting this document. IF NOT PRESENT, DO NOT NEGOTIATE THE DOCUMENT.
- Laid lines on the back of check should be in alignment or the check is not authentic. Watch for cut and paste.
 - Microprinting - under magnification, the top border on the front of this check should read: *Standard Register Standardized Security*.
 - Holographic ink - Standard Register mark on back of check, presses from blue to silver when held to a light.
 - Artificial Watermark is present and is viewable in an angle.
 - Copyton Capture® - security void pattern on front if copied.

⑈ Padlock design is a certification mark of Check Payment Systems Association.

000673456

FOR DEPOSIT ONLY

ENDORSE TO THE CREDIT OF

X **Within Named Payee**

Farmers & Merchants Bank of LB

DO NOT WRITE IN THESE SPACES

STANDARD REGISTER

⑈ 022749006006410 07012019 > 122201198 <



Account Number: [REDACTED] 3003
Capture Date: July 02, 2019
Item Number: 5250030457326
Posted Date: July 02, 2019
Posted Item Number: 52557326
Serial Number: 2005002802
Amount: 1,141.74

CASHIER'S CHECK (BANK CONTROL A/C)
DO NOT MAIL
HOLD STATEMENT BY JOEY WONG

THE ORIGINAL DOCUMENT HAS A WHITE REFLECTIVE WATERMARK ON THE BACK. HOLD AT AN ANGLE TO VIEW. DO NOT CASH IF NOT PRESENT.

Cathay Bank
9121 Bolsa Ave., Westminster, CA 92683
DATE: June 28th, 2019
PAY ☒ ONE THOUSAND ONE HUNDRED FORTY-ONE DOLLARS AND SEVENTY-FOUR CENTS *****
TO THE ORDER OF **MATADORS COMMUNITY CREDIT UNION**
CASHIER'S CHECK
MAI DO ACC# [REDACTED] 30-15

16-395
1222 **CASHIER'S CHECK NO. 2005002802**

PAY ONLY **1116174**
AMOUNT: *****\$1,141.74

AUTHORIZED SIGNATURE
Valid Over \$1,141.74

000673459

0278<
Matadors Community CU
07/01/2019 0002-0081
B0017 S001760

⑈ 200 500 280 2⑈⑈⑈ 1 2 2 2 0 3 9 5 0 ⑈ ⑈ [REDACTED] 3003 ⑈



Account Number: [REDACTED] 0101
Capture Date: June 28, 2019
Item Number: 61700008191339
Posted Date: June 28, 2019
Serial Number:
Amount: 375.00

CASH OUT - CREDIT

Virtual Document
Account: [REDACTED] 9150

Cash Drawer
0101

— cashed — \$375.00

Description: Cashiers Check
Cash Drawer: 0101 User A800H52
18 06282019 N 09:31:2 N N N

⑆5031⑈3950⑆

[REDACTED] 0101⑈

⑆0000037500⑆

CASH OUT - CREDIT

Virtual Document
Account: [REDACTED] 9150

Cash Drawer
0101

\$375.00

Description: Cashiers Check
Cash Drawer: 0101 User A800H52
18 06282019 N 09:31:2 N N N

⑆5031⑈3950⑆

[REDACTED] 0101⑈

⑆0000037500⑆



Account Number: [REDACTED] 3003
Capture Date: July 01, 2019
Item Number: 5250030428242
Posted Date: July 01, 2019
Posted Item Number: 52528242
Serial Number: 2005002805
Amount: 20,000.00

CASHIER'S CHECK (BANK CONTROL A/C)
DO NOT MAIL
HOLD STATEMENT BY JOEY WONG

THE ORIGINAL DOCUMENT HAS A WHITE REFLECTIVE WATERMARK ON THE BACK. HOLD AT AN ANGLE TO VIEW. DO NOT CASH IF NOT PRESENT.

Cathay Bank
9121 Bolsa Ave., Westminster, CA 92683

DATE: June 28th, 2019

PAY ☒ TWENTY THOUSAND DOLLARS AND ZERO CENTS

TO THE ORDER OF **DAVID VO**

CASHIER'S CHECK

MAI DO

16-395
1222 CASHIER'S CHECK NO. 2005002805

PAY **20000.00**
ONLY IN U.S. DOLLARS

AMOUNT: *****\$20,000.00

AUTHORIZED SIGNATURE
Valid Over \$20,000.00

⑈ 2005002805⑈ ⑆ 122203950⑆ ⑈ [REDACTED] 3003 ⑈

000673462


22-479255-46

Please look for the following additional checks security features when receiving your document. If NOT PRESENT, DO NOT CASH! (ALWAYS) Use DOCUMENT:

- Land lines on the back of check - trace the lines to the front of the check, or back to the back of the check.
- Microprinting - on the front and back of the check, the words "CATHAY BANK" are printed in a repeating pattern.
- Spectra - 3000 line/mm printed image - Spectra - 3000 line/mm printed image - Spectra - 3000 line/mm printed image.
- Thermochromic Ink - Spectra - 3000 line/mm printed image.
- An Artificial Watermark is present on the back of the check.
- Copy/scan Capture - security word pattern on front of check.

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CASHIER'S CHECK (BANK CONTROL A/C)
DO NOT MAIL
HOLD STATEMENT BY JOEY WONG

 Please insert the following additional check
 if NOT cashed by the following date:
 _____ DO NOT NEGOTIABLE THE

 • Land lines or other
 • Mobile phones
 • Motor vehicles
 • Motorcycles
 • Sunbathers
 • Thermometers
 • Cell phones
 • An Artificial Womb
 • Any angle
 • Copying Capture
 • Copied
 • A Patrick design is a certification mark of Check
 Payment Systems Association

EXHIBIT "15", PAGE 102



Account Number: [REDACTED] 3003
Capture Date: July 02, 2019
Item Number: 5250030465709
Posted Date: July 02, 2019
Posted Item Number: 52565709
Serial Number: 2005002803
Amount: 7,500.00

CASHIER'S CHECK (BANK CONTROL A/C)
DO NOT MAIL
HOLD STATEMENT BY JOEY WONG

THE ORIGINAL DOCUMENT HAS A WHITE REFLECTIVE WATERMARK ON THE BACK. HOLD AT AN ANGLE TO VIEW. DO NOT CASH IF NOT PRESENT.

Cathay Bank
9121 Bolsa Ave., Westminster, CA 92683
DATE: June 28th, 2019
PAY ☒ SEVEN THOUSAND FIVE HUNDRED DOLLARS AND ZERO CENTS *****
TO THE ORDER OF **S.J. DISTRIBUTORS INC.**
CASHIER'S CHECK
MAI DO [REDACTED] 3936
AMOUNT: *****\$7,500.00
AUTHORIZED SIGNATURE [Signature]
VOID OVER \$7,500.00
MICR LINE: @ 200 500 280 3 1 2 2 2 0 3 9 5 0 1 3003

*Padlock design is a certification mark of Check Payment Systems Association.

Please look for the following additional check security features before accepting this document. IF NOT PRESENT, DO NOT NEGOTIATE THE DOCUMENT.

- * Laid lines on the back of check should be in alignment; or the check is not authentic - watch for cut and paste.
- * Microprinting - under magnification, the top border on the front of this check should read: Standard Register.
- * Standardized Security - Standard Register mark on back of check.
- * An Artificial Watermark is present and is viewable at an angle.
- * Copydan Capture® - security void pattern on front if copied.

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S J Distributors Inc
[REDACTED] 5136