

1 Justin King
2 Shannon King
3 10639 W. Chestnut Street
4 Marana, AZ 85653

5 *Pro se defendants*

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8 UNITED STATES DISTRICT COURT
9 CENTRAL DISTRICT OF CALIFORNIA
10 SOUTHERN DIVISION

11 SECURITIES AND EXCHANGE
12 COMMISSION,

13 Plaintiff,

14 vs.

15 JUSTIN ROBERT KING; and
16 ELEVATE INVESTMENTS LLC,

17 Defendants,

18 SHANNON LEIGH KING,

19 Relief Defendant.
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Case No. SACV 20-02398-JVS-DFM

**DEFENDANTS' OPPOSITION
TO EX PARTE APPLICATION**

1 Defendant Justin King and Relief Defendant Shannon King respectfully
2 submit this opposition to Plaintiff Securities and Exchange Commission's *Ex Parte*
3 Application for Order to Show Cause Re: Civil Contempt Against Defendant Justin
4 Robert King and Relief Defendant Shannon Leigh King.

5 **I. Introduction**

6 When the SEC first provided notice of this *ex parte* application, it stated that
7 the major grounds on which it would be based were that Justin King was actively
8 concealing assets from the SEC. The purported basis was that the SEC had been told
9 by multiple investors that Justin King told them he had two accounts of which the
10 SEC was unaware. Counsel for Justin and Shannon King quickly investigated and
11 responded within the hour. The SEC was not available until the next morning, at
12 which time counsel explained that Justin King had not told anyone that he had two
13 accounts of which the SEC was not aware, but rather that there were two personal
14 accounts with funds that were not identified by the Receiver in an email he sent to
15 investors and non-investors stating he had obtained \$1.575 million from a single
16 Elevate account at Charles Schwab. In its moving papers, the SEC does not seem to
17 dispute that story and no longer alleges that Justin King is concealing two accounts
18 from the SEC – the original stated purpose of the *ex parte* application.
19 Notwithstanding having learned that its intended allegations were inaccurate, the
20 SEC nonetheless proceeded with this motion. While the original, now-abandoned
21 grounds may well have necessitated *ex parte* relief, none of the grounds on which the
22 SEC now alleges contempt do so, and each is addressed in the accompanying
23 declarations of Justin King and Jennifer Trowbridge and are addressed briefly below.

24 **II. Conversations with Investors**

25 As articulated in the accompanying declaration of Justin King, he received
26 calls in response to an email from the Receiver which appears to have been sent to
27 Justin King's entire contact list. Declaration of Justin King ("JK Decl.") at ¶ 15. The
28 Receiver's email, attached as Exhibit F to the declaration, stated that he had obtained

1 \$1.575 million from a single Elevate account at Charles Schwab, but that in addition,
2 he had, “frozen all known bank and investment accounts for Elevate Investments and
3 Justin and Shannon King.” *Id.* at ¶ 14. The investors questioned Justin about the
4 referenced personal accounts and he informed them that there were two personal
5 accounts with funds that were not identified or described by the Receiver in his email.
6 *Id.* at ¶ 15.

7 The various discussions recounted in the Declaration of Michael Harmon
8 (“Harmon Decl.”), submitted by the SEC in support of its application, are entirely
9 hearsay and in some cases, double hearsay. The SEC’s papers discuss Naomi Hazen
10 in particular and so it is worth addressing the facts surrounding her here. The SEC
11 alleges that Naomi Hazen was told by Justin King that the Receiver was unaware of
12 two other accounts, that there were enough funds to cover all investors’ investments,
13 and that he would pay her back. The problems with these allegations are numerous.
14 Mostly notably, it is entirely reliant upon inadmissible double hearsay. According to
15 the Harmon declaration, Justin King spoke to Hazen, who reported the events to Don
16 Garcia, who then reported the events to Harmon, who now submits a declaration in
17 support of the SEC’s contempt motion. *See* Harmon Decl., ¶ 6. Second the SEC
18 writes that Justin King said he would pay Hazen back “from those funds” in the
19 accounts in the Receiver’s possession to support an allegation that Justin King is
20 purporting to act on Elevate’s behalf. *See* SEC Memo. at p. 1. But even the Harmon
21 double hearsay doesn’t say that. It declares merely that Justin King told Hazen he
22 would pay her back soon if that is what she wanted. Harmon Decl., ¶ 6. It says
23 nothing whatsoever about Elevate, Elevate’s accounts, or any other particular source
24 of funds to pay her back. Third, the Harmon double hearsay says that Hazen told
25 Garcia who told Harmon that Hazen was considering investing more money into
26 Elevate. Harmon Decl., ¶ 6. There is no indication whatsoever that Hazen ever said
27 any such thing to Justin King, and indeed she did not. J King Decl., ¶ 18.

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1 Justin King has made it clear to every investor with whom he has spoken that
2 he no longer has access to any of the accounts and so does not even know the actual
3 balances in the accounts. *Id.* at ¶ 18. He also told them that he would no longer be
4 trading on behalf of Elevate or anyone else. *Id.* at ¶ 19.

5 To prevent any future confusion, misunderstandings, ambiguities, etc., Justin
6 King has now pledged to no longer accept or respond to any communications from
7 investors until the case is finished. *Id.* at ¶ 21.

8 **III. Elevate's Answer**

9 Justin King did not instruct or otherwise ask the Jacko Law Group to prepare
10 or file an answer on behalf of Elevate. The Jacko Law Group had represented
11 Elevate, which was sued by the SEC, since October 2020, so it prepared and filed an
12 answer when due as a matter of course. Declaration of Jennifer Trowbridge
13 (“Trowbridge Decl.”), ¶ 4. The Jacko firm did not do so at Justin’s instructions. *Id.*
14 at ¶ 4.

15 **IV. Accounting**

16 The SEC alleges that Justin and Shannon King failed to provide an accounting
17 as required by paragraphs VII of the TRO and preliminary injunction. As an initial
18 matter, paragraph VII of the preliminary injunction does not require the defendants
19 to prepare or file an accounting. Paragraph VII of the TRO, however, did.

20 In compliance with paragraph VII of the TRO, on December 29, 2020, Justin
21 King completed and signed a “Summary Financial Disclosure Statement” form from
22 the SEC. It is attached as Exhibit 5 to the Declaration of Lynn Dean filed in support
23 of the motion.

24 In addition, in further compliance with paragraph VII of the TRO, on January
25 5, 2021, the Jacko Law Group produced 524 pages of financial disclosure materials
26 to the SEC. The production included tax returns and accounts statements for all
27 accounts of Elevate, Justin King and Shannon King, with the exception of two
28

1 accounts: Justin's personal Fidelity account and Shannon's personal Schwab
2 account, each discussed below. Trowbridge Decl. ¶ 3.

3 With regard to the Fidelity account, as reflected in Exhibit 6 to the Declaration
4 of Lynn Dean, the Fidelity account had only \$2,732 in it from October through
5 December 31, 2020. Therefore, it did not meet the \$5,000 threshold provided in the
6 TRO and was not required to be disclosed. J. King Decl., ¶ 25. Regardless, the SEC
7 readily acknowledges it was aware of the account.

8 With respect to Shannon King's personal Schwab account, Justin King forgot
9 to include it in the financial disclosure because he had no access to it and the only
10 money it ever contained was a single deposit of a portion of the proceeds from the
11 sale of the Kings' home, which was originally purchased in 2014. *Id.* at ¶ 26. Again,
12 this account was immediately frozen upon issuance of the TRO and so clearly, the
13 SEC was well aware of the account. Indeed, this account is referenced in the SEC's
14 moving papers in support of the no-notice, *ex parte* TRO. *See* Carol Kim Declaration
15 in support of TRO [Dkt. 6] at ¶ 4(j). The SEC can hardly claim any delay,
16 inconvenience, or harm whatsoever as a result of Justin King's forgetting to include
17 this unrelated personal account of Shannon's in the financial disclosures.

18 No other assets were missing from the financial disclosures. The SEC's
19 allegations concerning furniture, as addressed in Justin King's declaration, are
20 frankly silly and could have easily been dispatched with a simple phone call without
21 resorting to wasting the Court and parties' time with this *ex parte* motion. *Id.* at ¶¶
22 29-31.

23 Notably absent from the SEC's papers is any indication that it ever raised any
24 issues with *anyone* regarding either the adequacy of the financial disclosures or that
25 they were not filed with the Court, all of which could very easily could have been
26 rectified with a simple phone call. Instead, the SEC is here seeking to have Justin
27 and Shannon King, who have been forced to act mostly *pro se* because all their funds
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1 have been frozen, *incarcerated* for contempt. The mere suggestion is frankly
 2 offensive to any notion of justice.

3 **V. Attendance at Preliminary Hearing**

4 The SEC's motion papers curiously make note that neither Justin nor Shannon
 5 King appeared at the January 19, 2021 preliminary injunction hearing. SEC Memo.,
 6 at p. 2. The Kings had every intention of attending the hearing, having been unable
 7 to pay for an attorney to appear for them or to file papers for them in advance, and
 8 not being ECF-approved to file their own papers in advance. *Id.* at ¶¶ 1-2, Ex. A.

9 The Kings notified the SEC on January 18, 2021 that Shannon's mother had
 10 died from Covid-19 on January 17, 2021, and requested that the SEC agree to a short
 11 continuance. *Id.* at ¶¶ 3-4, Ex. B. The SEC did not respond to that request and we
 12 do not know if the SEC made the Court aware of the Kings' circumstances during
 13 the hearing. *Id.* at ¶ 4.

14 Because the SEC did not respond, the Kings made arrangements to appear at
 15 the virtual hearing, but had been informed that the hearing was to begin at 10:00 a.m.,
 16 with no reference to time zone. Because the Court is in the pacific time zone, the
 17 Kings assumed that the hearing was at 10:00 a.m. pacific time. They did not realize
 18 that the Court's Zoom invite likely adjusted the time automatically when it was
 19 received in Arizona, which is in the mountain time zone. *Id.* at ¶ 5, Ex. C. The Kings
 20 accept responsibility for the unfortunate confusion but nonetheless take issue with
 21 their nonappearance being alluded to by the SEC in light of all of the above
 22 circumstances.

23 **VI. Shannon King's Charles Schwab Account**

24 Had the Kings been able to appear at the preliminary injunction hearing, they
 25 would not have opposed the entry of the preliminary injunction except as it related
 26 to Shannon King's personal Schwab account. *Id.* at ¶ 6.

27 There has only been one deposit *ever* into Shannon King's Schwab account,
 28 and that was \$50,000 on July 20, 2020, which came directly out of the \$93,202.47

1 equity they received from the sale of their Arizona home on July 16, 2020. *Id.* at ¶
2 7.

3 The account had a balance of **\$0.00** on July 1, 2020. The \$93,202.47 was
4 transferred from escrow into the joint account at JP Morgan Chase on July 16, 2020.
5 \$50,000 was then transferred into Shannon’s Schwab account on July 20, 2020. The
6 December 31, 2020 year-end statement for the account reflects that no other deposits
7 or withdrawals were made except for \$1.45 bank sweep interest. *Id.* at ¶ 8.

8 No investor funds, indeed *no funds* other than \$50,000 of the \$93,202.47, were
9 *ever* in Relief Defendant Shannon’s Schwab account. *Id.* at ¶ 9. On July 16, 2020,
10 \$39,950.00 of the \$93,202.47 was transferred to Justin King’s personal Schwab
11 account, which remains subject to the freeze order and those funds remains frozen.
12 *Id.* at ¶ 10.

13 The home was purchased in 2014, five years before any alleged wrongful
14 conduct. No investor funds existed at the time of purchase. *Id.* at ¶ 11. All of this
15 information, including supporting documentation, was provided to the SEC on
16 January 26 and 27, 2021. *Id.* at ¶ 12, Exs. D and E.

17 Notably, Shannon King is only a “Relief Defendant” and is not alleged to have
18 engaged in any wrongdoing. She is alleged to be a relief defendant based primarily
19 on the allegations in paragraphs 6 and 28 of the SEC’s Complaint that Justin
20 transferred money to “S. King” accounts. Specifically, paragraph 6 alleges:
21 “Additionally, in the same period, King transferred \$298,000 to Relief Defendant S.
22 King’s bank account. On December 1, 2020, King transferred an additional \$100,000
23 to S. King’s account.” Paragraph 28 contains nearly identical allegations. [Dkt. 1.]

24 Those allegations are demonstrably false by reference to the *SEC’s own*
25 *evidence* offered in support of the no-notice, *ex parte* TRO. The Carol Kim
26 Declaration filed by the SEC in support of the no-notice, *ex parte* TRO admits, under
27 oath, that those transfers were *not* to a bank account in the name of “S. King,” but
28 rather were to a joint bank account in the name of J. King or S. King. *See* Kim

1 Declaration [Dkt. 6] at ¶ 17(b) (defining the account “King – Chase x8635” as a joint
2 account at JPMorgan Chase in the name of Shannon King or Justin King) and ¶¶ 21
3 & 22 (declaring that the very same transfers alleged in paragraphs 6 and 28 were
4 made to the “King – Chase x8635” account, and therefore not to “S. King’s bank
5 account” as alleged in paragraphs 6 and 28).

6 In short, the SEC has no evidence whatsoever that Defendant Justin King *ever*
7 transferred *any* money into an account that was *solely* in the name of Relief
8 Defendant Shannon King. Nonetheless, presumably based on these inaccurate
9 allegations, the TRO and Preliminary Injunction were issued freezing accounts solely
10 in Shannon King’s name, including her personal Charles Schwab account whose only
11 deposit *ever* came directly from the sale of the Kings’ home.

12 **VII. Conclusion**

13 Based on all of the foregoing and the accompanying declarations, Defendant
14 Justin King and Relief Defendant Shannon King respectfully submit that they are not
15 in contempt of the TRO or preliminary injunction and that the SEC’s request should
16 be denied outright.

17 Dated: February 5, 2021
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19 By: /s/ Justin King

20 Justin King

21 Shannon King

22 *Pro se defendants*
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1 Justin King
2 Shannon King
3 10639 W. Chestnut Street
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8 UNITED STATES DISTRICT COURT
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11 SECURITIES AND EXCHANGE
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14 vs.

15 JUSTIN ROBERT KING; and
16 ELEVATE INVESTMENTS LLC,

17 Defendants,

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19 SHANNON LEIGH KING,

20 Relief Defendant.
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Case No. SACV 20-02398-JVS-DFM

**DEFENDANT JUSTIN KING'S
DECLARATION IN
OPPOSITION TO *EX PARTE*
APPLICATION**

1 I, Justin Robert King, declare and state as follows:

2 **Attendance at Preliminary Hearing**

3 1. The Court held a preliminary injunction hearing on January 19, 2021.
4 My wife, relief defendant Shannon King, and I intended to appear at that hearing.
5 We did not intend to oppose the preliminary injunction generally, but to oppose the
6 continued asset freeze as it related to one particular account solely in my wife's name
7 and which has never had any investor funds in it.

8 2. Due to the asset freeze entered as part of the TRO, we were unable to
9 retain counsel to appear for us or to prepare and file papers in advance of the hearing.
10 We signed up for ECF credentials in advance of the hearing, but were not granted
11 approval to file papers via ECF as non-attorneys until January 21, 2021. Attached as
12 Exhibit A is the email with our ECF approval on January 21, 2021.

13 3. Due to the asset freeze, we were forced to move with our three children
14 out of Orange County and back to live in Arizona near Shannon's parents who could
15 provide some limited financial assistance. As we arrived in Arizona on January 17,
16 2021, Shannon's mother died from Covid-19.

17 4. On January 18, 2021, at 2:56 p.m., we sent an email to Lynn Dean at the
18 SEC notifying her of Shannon's mother's death and asking to continue the hearing
19 scheduled for the next day. We had previously advised Ms. Dean that Shannon's
20 mother was in the ICU. Ms. Dean did not respond to the email. I do not know if the
21 SEC made the Court aware of these circumstances at the hearing. We only heard
22 from Ms. Dean after the hearing and the preliminary injunction had been granted.
23 Attached as Exhibit B is the email we sent to Ms. Dean on January 18, 2021.

24 5. Because we did not hear back from the SEC in response to our email
25 requesting a short continuance due to Shannon's mother's death, we made
26 arrangements to attempt to appear at the hearing. The email Zoom invite we received
27 from the Court's clerk stated that that the hearing was at 10:00 a.m. It did not include
28 a time zone. Because the Court is in the pacific time zone, we assumed the hearing

1 was at 10:00 a.m. pacific time. We now suspect that the Zoom invite automatically
2 changed the time to mountain time because we were in Arizona, but that was not
3 apparent to us from the invite. Attached as Exhibit C is a screen shot of the Zoom
4 invite for the preliminary injunction hearing reflecting a starting time of 10:00 a.m.

5 **Shannon King's Charles Schwab Account**

6 6. Had we been able to appear at the hearing, we would not have opposed
7 the entry of the preliminary injunction except as it related to Shannon's personal
8 Schwab account.

9 7. There has only been one deposit ever into Shannon's Schwab account,
10 and that was \$50,000 on July 20, 2020, which came directly out of the \$93,202.47 of
11 equity we received from the sale of our Arizona home on July 16, 2020.

12 8. The account had a balance of \$0.00 on July 1, 2020. \$93,202.47 was
13 transferred from escrow into our joint account at JP Morgan Chase on July 16, 2020.
14 \$50,000 was then transferred into Shannon's Schwab account on July 20, 2020. The
15 December 31, 2020 year-end statement for the account reflects that no other deposits
16 or withdrawals were made except for \$1.45 bank sweep interest.

17 9. No investor funds, indeed no funds other than \$50,000 of the
18 \$93,202.47, were ever in Shannon's Schwab account.

19 10. On July 16, 2020, \$39,950.00 of the \$93,202.47 was transferred to my
20 personal Schwab account, which is also subject to the freeze order and remains
21 frozen.

22 11. The home we sold in Arizona was purchased in 2014, five years before
23 any alleged wrongful conduct. No investor funds existed at the time of its purchase.

24 12. All of this information, including supporting documentation, was
25 provided to the SEC on January 26 and 27, 2021. Attached as Exhibits D and E are
26 the emails to the SEC with this explanation and supporting documentation.

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1 **Conversations with Investors**

2 13. On January 21, 2021, the Receiver appointed by the Court sent an email
3 regarding Elevate and the receivership. Although the declaration from Michael
4 Harmon states that the email was sent to investors and potential investors, it appears
5 it was sent to my entire contact list, whether or not the contact had any knowledge
6 whatsoever of Elevate. I have heard from several people in response to the email
7 who had no knowledge of Elevate.

8 14. The Receiver stated in his email that he had recovered \$1,575,000 from
9 a single Schwab account and referenced other personal accounts that had been frozen.
10 Specifically, he stated:

11 We have so far obtained approximately \$1,575,000 from
12 an account at Charles Schwab and have frozen all known
13 bank and investment accounts for Elevate Investments and
Justin and Shannon King.

14 Attached as Exhibit F is a copy of the Receiver's email.

15 15. In response to this email, I received many calls from investors and non-
16 investors. Some of the investors asked about the personal accounts referenced in the
17 email. I told those investors that there were two other personal accounts that
18 contained funds that were frozen and that were not identified by the Receiver in the
19 email. I was referring to my and Shannon's personal accounts at Schwab.

20 16. I did not tell any investor that there were any accounts of which the
21 Receiver or the SEC were not aware. I did not tell any investor that there were
22 enough funds to cover every investors' investments. It is certainly my understanding
23 that by the time they contacted me, the investors were fully aware that Elevate had
24 suffered investment losses.

25 17. To be clear, there are no accounts of which the Receiver or the SEC are
26 not aware.

27 18. When I spoke with Ms. Naomi Hazen, I told her that I felt bad about the
28 investment losses and that I would do everything I could to try to pay back investors.

1 I never said or suggested that I would do so from Elevate funds. I told Ms. Hazen
2 and all investors to whom I spoke that I no longer had access to the Elevate accounts
3 or my personal accounts and could not definitively state how much was in them.
4 Neither Ms. Hazen nor any other investor ever told me they had any desire to invest
5 more money with Elevate or me.

6 19. I also made it clear to every investor with whom I spoke that I would no
7 longer be trading on behalf of Elevate or on behalf of anyone.

8 20. Since the TRO, I have not held myself out or represented to anyone that
9 I control, manage or represent Elevate.

10 21. After receiving notice of this ex parte motion, on the advice of counsel,
11 I have ceased accepting or responding to any communications from investors, even
12 though most are friends and family.

13 **Elevate's Answer**

14 22. I did not instruct or otherwise ask the Jacko Law Group to prepare or
15 file an Answer on behalf of Elevate. It is my belief they did so with the understanding
16 they were representing Elevate and it was required.

17 **Accounting**

18 23. As ordered by the TRO, on December 29, 2020, I completed and signed
19 a "Summary Financial Disclosure Statement" form from the SEC. It is attached as
20 Exhibit 5 to the Declaration of Lynn Dean in support of this ex parte motion.

21 24. Also as ordered by the TRO, on January 5, 2021, the Jacko Law Group,
22 which had represented Elevate since approximately October 2020, produced 524
23 pages of financial disclosure materials to the SEC. The production included our
24 personal tax returns and accounts statements for all accounts of Elevate, Justin King
25 and Shannon King, with the exception of two accounts: my personal Fidelity account
26 and Shannon's personal Schwab account.

27 25. As reflected in Exhibit 6 to the Declaration of Lynn Dean in support of
28 this ex parte motion, my personal Fidelity account had only \$2,732 in it from October

1 through December 31, 2020. Therefore, as of the December 29, 2020 financial
2 disclosure provided to the SEC, it did not meet the \$5,000 threshold provided in the
3 TRO.

4 26. I did not include Shannon's personal Schwab account merely because
5 (a) I forgot about it; (b) I had no access to it; (c) it was never remotely connected to
6 any of my Elevate activities; and (d) the funds in it consisted only of a portion of the
7 proceeds of the sale of our home that was purchased in 2014.

8 27. Shannon's personal Schwab account was nonetheless frozen
9 immediately after the TRO, suggesting to me that the SEC was already aware of it
10 regardless. It was identified in the SEC's papers filed in support of the TRO.

11 28. No other assets are missing from the financial disclosures made,
12 including as to furniture.

13 **Furniture**

14 29. The check attached as Ex. 4 to the Declaration of Lynn Dean was not
15 to purchase furniture. Alan Pekarcik was our landlord who rented us a furnished
16 house in Orange County. When he was trying to sell the house in October 2020, as
17 a courtesy, he permitted us to retain the furniture for a short time and asked us to sell
18 it for him. The referenced check for \$6,000 was our payment to him in advance for
19 that furniture which we sold within a few weeks, for less than \$6,000 as it turned out.
20 Thus, it was long gone by December 29, 2020, and should not have been included in
21 the financial disclosure.

22 30. The moving truck that we used to move to Arizona was packed with our
23 personal effects, including clothing, kitchen items, bikes, kids toys, storage bins, etc.
24 Mattresses, which were more than 5 years old, were the only items that could be
25 considered furniture. Those had a value of \$0, and thus, the financial disclosure
26 stating we do not own any furniture is not false.

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1 31. This ex parte motion is the first the SEC has ever mentioned a concern
2 about furniture, and has never asked me for any explanations regarding these alleged
3 discrepancies.

4 32. In fact, this ex parte motion is the first the SEC has ever taken issue with
5 the financial disclosures at all. The SEC has never communicated to me, or to my
6 knowledge any attorney representing me, that it felt the disclosures were inadequate
7 or that they were not properly filed with the Court. Had they done so, I would have
8 immediately rectified any issues.

9 Pursuant to 28 U.S.C. § 1746, I declare under penalty of perjury that the
10 foregoing is true and correct.

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12 Executed on February 5, 2021.

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14 By: /s/ Justin King
15 Justin King
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EXHIBIT A

From: [Justin King](#)
To: [Quinn, Michael J.](#)
Subject: [EXT] Fwd: PACER Account Settings Changed
Date: Friday, February 5, 2021 8:13:58 AM

----- Forwarded message -----

From: <do_not_reply@psc.uscourts.gov>
Date: Thu, Jan 21, 2021 at 7:51 AM
Subject: PACER Account Settings Changed
To: <jrking80@gmail.com>



The following change has been made to your PACER account:

Account #	
Account Contact	Justin King
Account Status	Active
Changed Setting	Account Registration Has Been Authorized

If you did not make this change or have questions, please contact the PACER Service Center.

NOTE: Please do not reply to this message. This is an automated message sent from an unmonitored mailbox. If you have questions or comments, please email them to pacer@psc.uscourts.gov or call the PACER Service Center at (800) 676-6856 between 8 AM and 6 PM CT Monday through Friday.

EXHIBIT B

From: [Shannon King](#)
To: [Lynn M. Dean](#); Wannerk@sec.gov
Cc: [Quinn, Michael J.](#); [Jennifer Trowbridge](#); [Justin ?? King](#)
Subject: [EXT] Elevate Investments Suit
Date: Monday, January 18, 2021 2:56:20 PM

Hello,

As you were aware my mom was in the ICU on a ventilator with Covid pneumonia. She passed yesterday. I was hoping that we could perhaps get a week continuance for our hearing scheduled tomorrow?

I appreciate your understanding.

Sent from my iPhone

EXHIBIT C

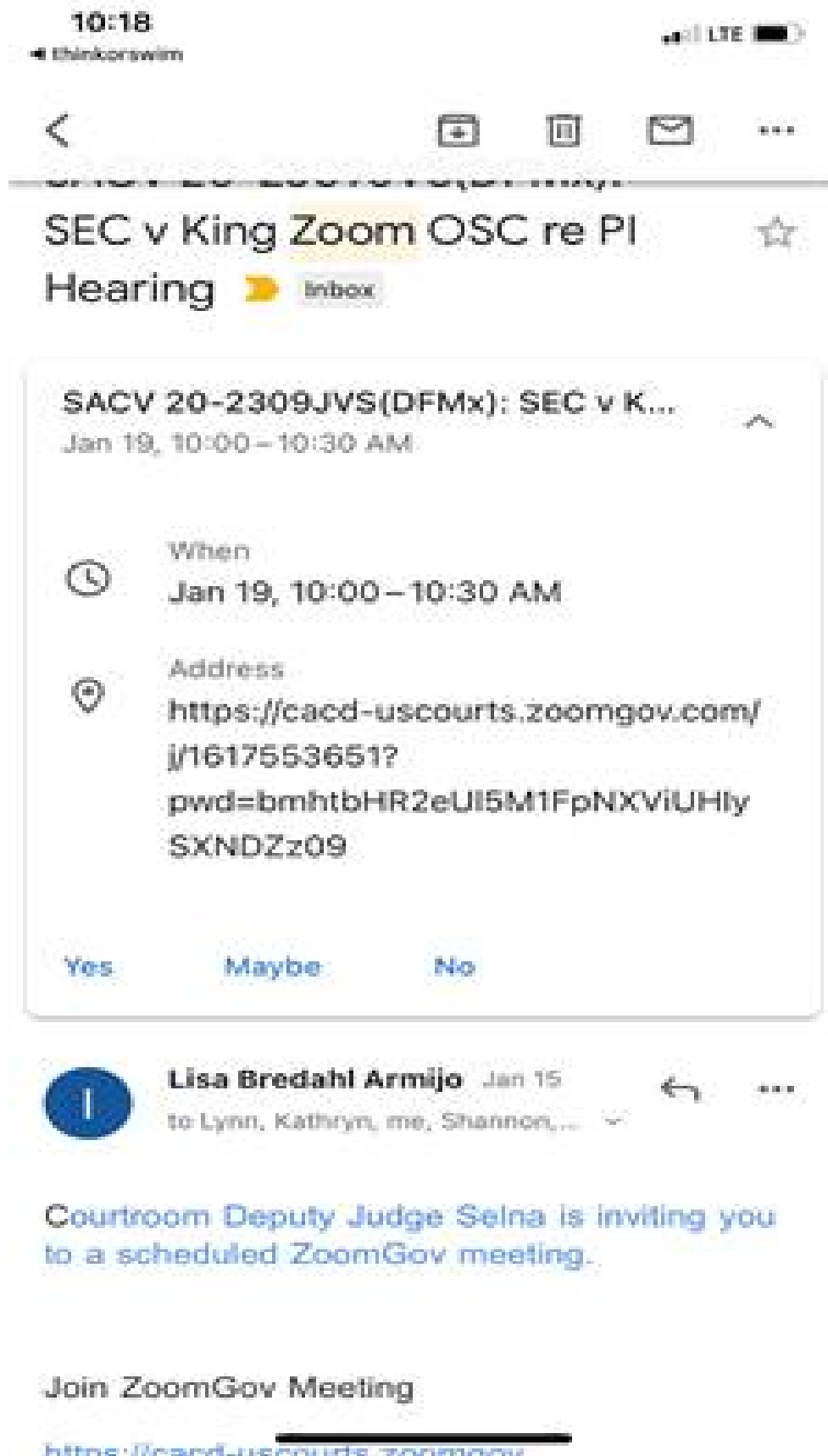


EXHIBIT D

From: [Quinn, Michael J.](#)
To: ["Dean, Lynn M."](#)
Subject: King SETTLEMENT DOCS
Date: Tuesday, January 26, 2021 1:38:08 PM
Attachments: [Sale of Home Documentation to SEC\(41854813.1\).pdf](#)

SETTLEMENT COMMUNICATION

Lynn,

Thank you for the call today. As discussed, I have attached the documentation supporting the source of funds in Shannon King's personal Charles Schwab account (ending in 4019), highlighted for convenience. Specifically the attached documents include:

- Escrow statement from sale of Phoenix home dated July 16, 2020, reflecting \$93,202.47 due to seller
- Chase Account statement for joint account (8635) reflecting wire received on July 16, 2020 in the amount of \$93,202.47
- Same Chase Account statement reflects \$50,000.00 wire to Shannon's personal Schwab account on July 20 (and \$39,950.00 wire to Justin's personal Schwab account on July 16)
- Shannon's personal Charles Schwab account statement for July 2020 reflecting beginning balance of \$0 and incoming wire in the amount of \$50,000.00 on July 20
- Shannon's year-end statement for personal Charles Schwab account reflecting beginning balance of \$0 and total credits of \$50,001.45 (\$1.45 was bank sweep interest)

Accordingly, we believe this demonstrates that Shannon's Charles Schwab account does not and has never contained any investor funds and we are hopeful we can stipulate to release the freeze on this account.

Please let me know if you need any additional information.

Thanks,
Mike

Michael J. Quinn, Shareholder

VedderPrice

T +1 424 204 7734

1925 Century Park East, Suite 1900

Los Angeles, CA 90067

[web](#) | [email](#) | [offices](#) | [biography](#)

American Land Title Association

ALTA Settlement Statement - Combined

Adopted 05-01-2015

File No:

First American Title Insurance Company

Printed: 07/16/2020, 12:26 PM

Officer/Escrow Officer: Penny

Bailey/PB

Settlement Location:

2121 W Chandler Blvd, Ste 215,
Chandler, AZ 85224

2121 W Chandler Blvd, Ste 215 • Chandler, AZ 85224

Phone: (480)777-0051 Fax: (866)417-0638

Final Settlement Statement



I hereby certify that this is a true and correct
copy of the original.

First American Title Insurance Company

By _____

Property Address: 3345 East Pinchot Avenue #7, Phoenix, AZ 85018

Buyer: Neil Bhargava

Seller: Shannon L. King, Justin R. King

Lender: Stearns Lending, LLC

Settlement Date: 07/16/2020

Disbursement Date: 07/16/2020

Seller		Description	Buyer	
Debit	Credit		Debit	Credit
		Financial		
	362,500.00	Sale Price	362,500.00	
		Deposit: on 05/20/2020 by Neil Bhargava		3,000.00
		Deposit: on 07/15/2020 by Neil Bhargava		22,062.06
		Loan Amount - Stearns Lending, LLC		344,375.00
		Prorations/Adjustments		
	134.19	Association Dues 07/16/20 to 08/01/20 @\$260.00/mo	134.19	
2,186.01		County Taxes 01/01/20 to 07/16/20 @\$4,050.22/yr		2,186.01
		Loan Charges		
		Loan Charges to Stearns Lending, LLC		
		Prepaid Interest 07/16/20 to 08/01/20 @\$29.890000/day	478.24	
		0.561% of Loan Amount (Points)	1,931.94	
		Appraisal Fee POC-B \$525.00		
		Tax Service	66.00	
		Credit Report to Galaxy Lending Group, LLC	70.75	
		Mortgage Broker: Galaxy Lending Group, LLC		
		Lender Paid Compensation to Galaxy Lending Group, LLC POC \$5,165.63		
		Impounds		
		Aggregate Adjustment		377.61
		Homeowner's Insurance 4 mo(s) @\$94.40/mo	377.60	
		County Property Taxes 6 mo(s) @\$337.52/mo	2,025.12	
		Title Charges & Escrow / Settlement Charges		
1,644.00		Title - Owner's Title Insurance Eagle Owner's Policy to First American Title Insurance Company		

This is a summary of the closing transaction prepared by First American Title Insurance Company. This document is not intended to replace the Closing Disclosure form.

Seller		Description	Buyer	
Debit	Credit		Debit	Credit
		Title - Lender's Policy Extended Lender's Policy to First American Title Insurance Company	940.00	
		Title - [ALTA 5-06] Planned Unit Development - Assessments P [ALTA 5-06] Planned Unit Development - Assessments Priority to First American Title Insurance Company	100.00	
		Title - [ALTA 8.1-06] Environmental Protection Lien [ALTA 8.1-06] Environmental Protection Lien to First American Title Insurance Company	100.00	
		Title - [ALTA 9-06] Restrictions, Encroachments, Minerals - [ALTA 9-06] Restrictions, Encroachments, Minerals - Loan Policy to First American Title Insurance Company	100.00	
		Title - AZ Closing Protection Letter-Lender AZ Closing Protection Letter-Lender to First American Title Insurance Company	25.00	
684.00		Title - Escrow Fee Escrow Fees to First American Title Insurance Company	684.00	
100.00		Title - Recon Tracking Fee Recon Tracking Fee to First American Title Insurance Company		
		Commission		
645.00		Real Estate Commission to HomeSmart		
10,875.00		Real Estate Commission to Berkshire Hathaway Home Services Arizona Properties		
		Government Recording and Transfer Charges		
		Record First Grant/Warranty Deed Paid by Others-Settlement Record Warranty Deed to Maricopa Agent \$30.00 County Recorder		
		Record First Deed of Trust Paid by Others-Settlement Record Deed of Trust to Maricopa Agent \$30.00 County Recorder		
		Payoff(s) and Payment(s)		
		Freedom Mortgage		
247,497.27		Principal Balance to Freedom Mortgage		
1,649.98		Interest to 7.1.2020 per demand to Freedom Mortgage		
547.00		Escrow/Impound to Freedom Mortgage		
545.64		Mortgage Insurance Premium to Freedom Mortgage		
79.42		Late Charge to Freedom Mortgage		
30.00		Recording Fee to Freedom Mortgage		
10.00		Additional Items Due to Freedom Mortgage		
78.42		late fee July to Freedom Mortgage		
1,649.98		interest to 8.1.2020 to Freedom Mortgage		
		Miscellaneous		
		broker admin fee to Berkshire Hathaway Home Services Arizona Properties	295.00	
260.00		Association Dues - JULY to Cottages at Arcadia Homeowners Assoc.		
		Association Dues - AUG & SEPT to Cottages at Arcadia Homeowners Assoc.	520.00	
		Capital Reserve Contribution to Cottages at Arcadia Homeowners	520.00	

This is a summary of the closing transaction prepared by First American Title Insurance Company. This document is not intended to replace the Closing Disclosure form.

Seller		Description	Buyer	
Debit	Credit		Debit	Credit
		Assoc.		
23.00		HOA Resale Demand Pkg Service Fee to HomeWiseDocs.com		
5.00		HOA Resale Demand Pkg Update to HomeWiseDocs.com		
377.00		Resale Demand Pkg to Ogden & Company, Inc.		
45.00		Resale Demand Update to Ogden & Company, Inc.		
500.00		Home Warranty to Choice Home Warranty		
		to American Family Insurance	1,132.84	
		Property Taxes ALL 2019 TAXES 127-31- POC-S \$4,050.22 298 to Maricopa County Treasurer		
269,431.72	362,634.19	Subtotals	372,000.68	372,000.68
		Due From/To Buyer		
93,202.47		Due To Seller		
362,634.19	362,634.19	Totals	372,000.68	372,000.68

This is a summary of the closing transaction prepared by First American Title Insurance Company. This document is not intended to replace the Closing Disclosure form.

CHASE for BUSINESS

Printed from Chase for Business

PREMIER PLUS CKG (...8635)

-\$99,999,994,150.32

Available balance

Off

Debit card coverage

On

Overdraft protection

\$5,849.67

Present balance

Uncollected funds

Total \$0.00

ON HOLD(1)

Date	Reason	Expires	Amount
Dec 29, 2020	We've received a legal order to hold funds in your account.	Dec 31, 2099	\$99,999,999,999.99

Account activity

SHOWING

Search

Filtered by:

Jul 16, 2020 to Jul 20, 2020

All transactions

Date	Description	Type	Amount	Balance
Jul 20, 2020	ONLINE DOMESTIC WIRE FEE	Fee	-\$25.00	\$9,993.01
	ONLINE DOMESTIC WIRE TRANSFER VIA: CITIBANK A/C: CHARLES SCHWAB NEW YORK NY 10022 US REF: FURTHER CREDIT TO SHANNON KING 4019/BNF/FURTHER CREDIT TO SHANNON KING 4019/TIME/15:57 IMAD: 0720B1QGC08C009749 TRN: 7021920202ES 07/20	Outgoing wire transfer	-\$50,000.00	\$10,018.01
	Online Transfer to CHK ...8687 transaction#: 9968787145 07/20	Account transfer	-\$17,000.00	\$60,018.01
Jul 17, 2020	SJC CHECKING SJC WATER PPD ID:	ACH debit	-\$146.70	\$77,018.01
Jul 16, 2020	DOMESTIC INCOMING WIRE FEE	Fee	-\$15.00	\$77,164.71
	ONLINE DOMESTIC WIRE FEE	Fee	-\$25.00	\$77,179.71
	ONLINE DOMESTIC WIRE FEE	Fee	-\$25.00	\$77,204.71
	Payment to Chase card ending in 5926 07/16	Account transfer	-\$3,717.03	\$77,229.71

Date	Description	Type	Amount	Balance
	Online Transfer to CHK ...8687 transaction#: 9957918004 07/16	Account transfer	-\$4,000.00	\$80,946.74
	Online Transfer to CHK ...8687 transaction#: 9957907366 07/16	Account transfer	-\$10,000.00	\$84,946.74
	ONLINE DOMESTIC WIRE TRANSFER VIA: CITIBANK NYC/ A/C: CHARLES SCHWAB NEW YORK NY 10022 US REF: FURTHER CREDIT TO JUSTIN KING /BNF/FURTHER CREDIT TO JUSTIN KING NG /TIME/10:04 IMAD: 0716B1QGC07C005928 TRN: 4379320198ES 07/16	Outgoing wire transfer	-\$39,950.00	\$94,946.74
	ONLINE DOMESTIC WIRE TRANSFER VIA: WELLS FARGO NA A/C: TD AMERITRADE CLEARING INC SAN FRANCISCO CA 94104 US REF: FBO: ACCT JUSTIN KING 3345 E PINCHOT AVE UNIT 7, PHX, AZ 85 018/BNF/FBO: ACCT JUSTIN KING 3345 E PINCHOT AVE UNIT 7 PHX AZ 85018/TIME/09:52 IMAD: 0716B1QGC02C004213 TRN: 4376520198ES 07/16	Outgoing wire transfer	-\$10,000.00	\$134,896.74
	FEDWIRE CREDIT VIA: FIRST AMERICAN TRUST, FSB/ B/O: FIRST AMERICAN TITLE INSURANCE COMPSCOTTSDALE AZ 85258 REF: CHASE NYC/CTR/BNF=SHANNON L KING OR JUSTIN R KING PHOENIX AZ 7 US/AC- 8130 RFB=O/B FST AM TR CO OBI=SELLER PROCEEDS SHANNON L. KING/JUSTIN R. KING (480)777-005 1 FIRST IMAD: 0716L1B78J1C004328 TRN: 6569309198FF	Incoming wire transfer	\$93,202.47	\$144,896.74

JPMorgan Chase Bank, N.A. Member FDIC

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Equal Opportunity Lender

JPMorgan Chase Bank, N.A.
P O Box 182051
Columbus, OH 43218 - 2051

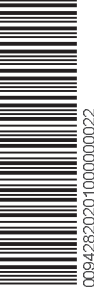
July 07, 2020 through August 06, 2020
Primary Account: [REDACTED] **8635**

CUSTOMER SERVICE INFORMATION

Web site: **Chase.com**
Service Center: **1-800-935-9935**
Deaf and Hard of Hearing: **1-800-242-7383**
Para Espanol: **1-877-312-4273**
International Calls: **1-713-262-1679**

00094282 DRE 601 211 22020 NNNNNNNNNN 1 000000000 04 0000

SHANNON L KING
OR JUSTIN R KING
3219 E CAMELBACK RD STE 478
PHOENIX AZ 85018-2307



CONSOLIDATED BALANCE SUMMARY

ASSETS

Checking & Savings

	ACCOUNT	BEGINNING BALANCE THIS PERIOD	ENDING BALANCE THIS PERIOD
Chase Premier Plus Checking	[REDACTED] 8635	\$2,315.93	\$15,088.03
Chase Plus Savings	[REDACTED] 0680	500.29	500.30
Total		\$2,816.22	\$15,588.33

TOTAL ASSETS

\$2,816.22 **\$15,588.33**

CHASE PREMIER PLUS CHECKING

SHANNON L KING

Account Number: [REDACTED] **8635**

OR JUSTIN R KING

CHECKING SUMMARY

	AMOUNT
Beginning Balance	\$2,315.93
Deposits and Additions	261,648.72
Electronic Withdrawals	-248,711.62
Fees	-165.00
Ending Balance	\$15,088.03
Annual Percentage Yield Earned This Period	0.01%
Interest Paid This Period	\$0.12
Interest Paid Year-to-Date	\$0.33

Your account ending in 0680 is linked to this account for overdraft protection.

Thank you for your military service and commitment to our country. Your monthly service fee was waived as a benefit of Chase Military Banking.

July 07, 2020 through August 06, 2020
 Primary Account: [REDACTED] **8635**

TRANSACTION DETAIL

DATE	DESCRIPTION	AMOUNT	BALANCE
	Beginning Balance		\$2,315.93
07/07	Am Nat Ins CO Anico Pymt	-96.77	2,219.16
07/08	07/08 Online Transfer To Chk ...5780 Transaction#: 9912900688	-62.00	2,157.16
07/09	Nordstrom Trans	-73.27	2,083.89
07/09	Best Buy Auto Pymt Web ID: Citiautfr	-50.00	2,033.89
07/13	The Resolution G Payroll	115.38	2,149.27
07/14	Schwab Brokerage Moneylink	1,000.00	3,149.27
07/15	Fedwire Credit Via: Bank of America, N.A B/O: Wayne M Dunn Blythe, CA, 92225, US Ref: Chase Nyc/Ctr/Bnf=Shannon L King OR Justin R King Phoenix AZ 85018-230 7 US/Ac 8130 R Obi=Wayne And Janie Dunn Subscripti On Bbi=/Acc/DDA Justin Ki Ng 3219 E. Camelback Road, Ste. 1mad: 0715B6B7Hu3RU13230 Trn: 6336909197Ff	50,000.00	53,149.27
07/15	Deposit	50,000.00	103,149.27
07/15	Schwab Brokerage Moneylink	38,000.00	141,149.27
07/15	07/15 Online Transfer To Chk ...8687 Transaction#: 9946223547	-2,000.00	139,149.27
07/15	07/15 Online Domestic Wire Transfer Via: Union LA Aka Uboc/ A/C: Jane Shorma Burbank CA 91505 US Ref: 1 OR 2/Bnf/Jane Shorma/Time/14:42 Imad: 0715B1Qgc08C010951 Trn: 3076420197Es	-35,000.00	104,149.27
07/15	07/15 Domestic Wire Transfer Via: Union LA Aka Uboc/ A/C: Jane Shorma Burbank CA 91505 US Ref:/Time/15:31 Imad: 0715B1Qgc02C013289 Trn: 6852620197Es	-45,000.00	59,149.27
07/15	07/15 Online Transfer To Chk ...8687 Transaction#: 9950789419	-7,000.00	52,149.27
07/15	Capital One Crcardpmt Web ID: 9541719018	-380.00	51,769.27
07/15	Domestic Wire Fee	-35.00	51,734.27
07/15	Online Domestic Wire Fee	-25.00	51,709.27
07/15	Domestic Incoming Wire Fee	-15.00	51,694.27
07/16	Fedwire Credit Via: First American Trust, Fsb/ B/O: First American Title Insurance Compsscotsdale AZ 85258 Ref: Chase Nyc/Ctr/Bnf=Shannon L King OR Justin R King Phoenix AZ 85018-230 7 US/Ac 8130 Rfb=O/B Fst Am Tr CO Obi=Seller Proceeds Shannon L. King/Justin R. King (480)777-005 1 First Imad: 0716L1B78J1C004328 Trn: 6569309198Ff	93,202.47	144,896.74
07/16	07/16 Online Domestic Wire Transfer Via: Wells Fargo NA/ A/C: TD Ameritrade Clearing Inc San Francisco CA 94104 US Ref: Fbo: Acct Justin King 3345 E Pinchot Ave Unit 7, Phx, AZ 85 018/Bnf/Fbo: Acct Justin King 3345 E Pinchot Ave Unit 7 Phx AZ 85018/Time/09:52 Imad: 0716B1Qgc02C004213 Trn: 4376520198Es	-10,000.00	134,896.74
07/16	07/16 Online Domestic Wire Transfer Via: Citibank Nyc A/C: Charles Schwab New York NY 10022 US Ref: Further Credit To Justin King /Bnf/Further Credit To Justin Ki Ng Time/10:04 Imad: 0716B1Qgc07C005928 Trn: 4379320198Es	-39,950.00	94,946.74
07/16	07/16 Online Transfer To Chk ...8687 Transaction#: 9957907366	-10,000.00	84,946.74
07/16	07/16 Online Transfer To Chk ...8687 Transaction#: 9957918004	-4,000.00	80,946.74
07/16	07/16 Payment To Chase Card Ending IN 5926	-3,717.03	77,229.71
07/16	Online Domestic Wire Fee	-25.00	77,204.71
07/16	Online Domestic Wire Fee	-25.00	77,179.71
07/16	Domestic Incoming Wire Fee	-15.00	77,164.71
07/17	Sjc Checking Sjc Water	-146.70	77,018.01
07/20	07/18 Online Transfer To Chk ...8687 Transaction#: 9968787145	-17,000.00	60,018.01

July 07, 2020 through August 06, 2020
 Primary Account: [REDACTED] **8635**

TRANSACTION DETAIL *(continued)*

DATE	DESCRIPTION	AMOUNT	BALANCE
07/20	07/20 Online Domestic Wire Transfer Via: Citibank Nyc 089 A/C: Charles Schwab New York NY 10022 US Ref: Further Credit To Shannon King -4019/Bnf/Further Credit To Shannon King -4019/Time/15:57 Imad: 0720B1Qgc08C009749 Trn: 7021920202Es	-50,000.00	10,018.01
07/20	Online Domestic Wire Fee	-25.00	9,993.01
07/21	Online Transfer From Chk ...8687 Transaction#: 9980786890	3,100.00	13,093.01
07/21	Online Transfer From Chk ...8687 Transaction#: 9980791955	500.00	13,593.01
07/21	Capital One Mobile Pmt Web ID: 9279744980	-9,000.00	4,593.01
07/21	Capital One Mobile Pmt Web ID: 9279744980	-4,253.75	339.26
07/21	Hsbc Bank USA NA Hsbc Bank Web ID: 9044021964	-251.06	88.20
07/21	Best Buy Payment Web ID: Citictp	-73.97	14.23
07/23	Online Transfer From Chk ...8687 Transaction#: 9991545329	500.00	514.23
07/23	Capital One Crcardpmt Web ID: 9541719018	-21.00	493.23
07/24	The Resolution G Payroll	230.75	723.98
08/03	Toyota Financial Lease_Pay Web ID: 2953775816	-636.07	87.91
08/04	Schwab Brokerage Moneylink	25,000.00	25,087.91
08/04	08/04 Online Transfer To Chk ...8687 Transaction#: 10060796447	-10,000.00	15,087.91
08/06	Interest Payment	0.12	15,088.03
Ending Balance			\$15,088.03

OVERDRAFT AND RETURNED ITEM FEE SUMMARY

	Total for This Period	Total Year-to-date
Total Overdraft Fees *	\$.00	\$.00
Total Returned Item Fees	\$.00	\$34.00

* Total Overdraft Fees includes Insufficient Funds Fees, and Extended Overdraft Fees

CHASE PLUS SAVINGS

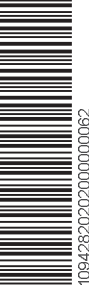
SHANNON L KING

Account Number: [REDACTED] 0680

OR JUSTIN R KING

SAVINGS SUMMARY

	AMOUNT
Beginning Balance	\$500.29
Deposits and Additions	0.01
Ending Balance	\$500.30
Annual Percentage Yield Earned This Period	0.02%
Interest Paid This Period	\$0.01
Interest Paid Year-to-Date	\$0.08



July 07, 2020 through August 06, 2020
Primary Account: [REDACTED] 8635

The monthly service fee for this account was waived as an added feature of Chase Premier Plus Checking account.

TRANSACTION DETAIL

DATE	DESCRIPTION	AMOUNT	BALANCE
	Beginning Balance		\$500.29
08/06	Interest Payment	0.01	500.30
	Ending Balance		\$500.30

You earned a higher interest rate on your Chase Plus Savings account during this statement period because you had a qualifying Chase Premier Plus Checking account.

IN CASE OF ERRORS OR QUESTIONS ABOUT YOUR ELECTRONIC FUNDS TRANSFERS: Call us at 1-866-564-2262 or write us at the address on the front of this statement (non-personal accounts contact Customer Service) immediately if you think your statement or receipt is incorrect or if you need more information about a transfer listed on the statement or receipt.

For personal accounts only: We must hear from you no later than 60 days after we sent you the FIRST statement on which the problem or error appeared. Be prepared to give us the following information:

- Your name and account number
- The dollar amount of the suspected error
- A description of the error or transfer you are unsure of, why you believe it is an error, or why you need more information.

We will investigate your complaint and will correct any error promptly. If we take more than 10 business days (or 20 business days for new accounts) to do this, we will credit your account for the amount you think is in error so that you will have use of the money during the time it takes us to complete our investigation.

IN CASE OF ERRORS OR QUESTIONS ABOUT NON-ELECTRONIC TRANSACTIONS: Contact the bank immediately if your statement is incorrect or if you need more information about any non-electronic transactions (checks or deposits) on this statement. If any such error appears, you must notify the bank in writing no later than 30 days after the statement was made available to you. For more complete details, see the Account Rules and Regulations or other applicable account agreement that governs your account. Deposit products and services are offered by JPMorgan Chase Bank, N.A. Member FDIC

JPMorgan Chase Bank, N.A. Member FDIC



Schwab One® Account of
SHANNON KING

Account Number
[REDACTED] **4019**

Statement Period
July 14-31, 2020

Manage Your Account

Questions about this statement

1 (800) 435-4000 - 24/7 Customer service

For the most current records on your account visit us at

schwab.com/login *Statements are archived up to 10 years online*

SHANNON KING
26500 PASEO INFINITA
SAN JUAN CAPO CA
92675

Commitment to Transparency

Client Relationship Summaries and Best Interest disclosures at schwab.com/transparency

Schwab One® Account of
SHANNON KINGAccount Number
4019Statement Period
July 14-31, 2020

Terms and Conditions

GENERAL INFORMATION AND KEY TERMS:

All references to "Schwab" in this document refer to the broker-dealer Charles Schwab & Co., Inc. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement. If you receive any other communication from any source other than Schwab which purports to represent your holdings you should verify its content with this statement. Securities, products, and services are not available in all countries and are subject to country specific restrictions.

AIP (Automatic Investment Plan) Customers: Schwab receives remuneration in connection with certain transactions effected through Schwab. If you participate in a systematic investment program through Schwab, the additional information normally detailed on a trade confirmation will be provided upon request.

Average Daily Balance: Average daily composite of all cash balances that earn interest and all loans from Schwab that are charged interest.

Bank Sweep Feature and Bank Sweep for Benefit Plans Features: Schwab acts as your agent and custodian in establishing and maintaining your Bank Sweep and Bank Sweep for Benefit Plans features as a Schwab Cash feature for your brokerage account. Deposit accounts constitute direct obligations of banks affiliated with Schwab and are not obligations of Schwab. Deposit accounts are insured by the FDIC within applicable limits. The balance in the bank deposit accounts can be withdrawn on your order and the proceeds returned to your securities account or remitted to you as provided in your Account Agreement. For information on FDIC insurance and its limits, as well as other important disclosures about the Bank Sweep for Benefit Plans features, please refer to the Cash Features Disclosure Statement available online or from a Schwab representative.

Cash: Any Free Credit Balance owed by us to you payable upon demand which, although accounted for on our books of record, is not segregated and may be used in the conduct of this firm's business.

Dividend Reinvestment Customers: Dividend reinvestment transactions were effected by Schwab acting as a principal for its own account, except for the reinvestment of Schwab dividends, for which an independent broker-dealer acted as the buying agent. Further information on these transactions will be furnished upon written request.

Estimated Annual Income: Derived from information provided by outside parties. Schwab cannot guarantee the accuracy of such information. Since the interest and dividends are subject to change at any time, they should not be relied upon for making investment decisions.

Fees and Charges: It is your responsibility, and not Schwab's, to verify the accuracy of all fees. Margin interest charged to your Account during the statement period is included in this section of the statement.

Interest: For the Schwab One Interest, Bank Sweep, and Bank Sweep for Benefit Plans features, interest is paid for a period that differs from the Statement Period. Balances include interest paid as indicated on your statement by Schwab or one or more of its affiliated banks. These balances do not include interest that may have accrued during the Statement Period after interest is paid. The interest paid may include interest that accrued in the prior Statement Period. For the Schwab One Interest feature, interest accrues daily from the second-to-last business day of the prior month and is posted on the second-to-last business day of the current month. For the Bank Sweep feature, interest accrues daily from the 16th day of the prior month and is credited/posted on the first business day after the 15th of the current month.

If, on any given day, the interest that Schwab calculates for the Free Credit Balances in the Schwab One Interest feature in your brokerage account is less than \$.005, you will not accrue any interest on that day. For balances held at banks affiliated with Schwab in the Bank Sweep

and Bank Sweep for Benefit Plans features, interest will accrue even if the amount is less than \$.005.

Latest Price/Price (Investment Detail Section Only): The most recent price evaluation available on the last business day of the statement period, normally the last trade price or bid. Unpriced securities denote that no market evaluation update is currently available. Price evaluations are obtained from outside parties. Schwab shall have no responsibility for the accuracy or timeliness of any such valuations. Pricing of assets not held at Schwab is for informational purposes only. Some securities, especially thinly traded equities in the OTC market or foreign markets, may not report the most current price and are indicated as Stale Priced. For Limited Partnerships (LP) and Real Estate Investment Trust (REIT) securities, you may see that the value reflected on your periodic statement for this security is unpriced. FINRA rules require that certain LP and REIT securities, that have not been priced within 18 months, must show as unpriced on customer statements. Note that these securities are generally illiquid, the value of the securities will be different than its purchase price; if applicable, that accurate valuation information may not be available.

Margin Account Customers: This is a combined statement of your margin account and special memorandum account maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account as required by Regulation T is available for your inspection.

Non-Publicly Traded Securities: All assets shown on this statement, other than certain direct investments which may be held by a third party, are held in your Account. Values of certain Non-Publicly Traded Securities may be furnished by a third party and Schwab shall have no responsibility for the accuracy or timeliness of such valuations. The Securities Investor Protection Corporation (SIPC) does not cover many limited partnership interests.

Option Customers: Be aware of the following: 1) Commissions and other charges related to the execution of option transactions have been included in confirmations of such transactions previously furnished to you and will be made available promptly upon request 2) You should advise us promptly of any material changes in your investment objectives or financial situation 3) Exercise assignment notices for the option contracts are allocated among customer short positions by an automated procedure which randomly selects from among all customer short option positions those contracts which are subject to exercise, including positions established on the day of assignment 4) Realized gain/loss of underlying securities is adjusted to reflect the premiums of assigned or exercised options. Please consult your tax advisor or IRS publication 550, Investment Income and Expenses, for additional information on Options.

Schwab Sweep Money Funds: Includes the primary money market funds into which Free Credit Balances may be automatically invested pursuant to your Account Agreement. Schwab or an affiliate acts and receives compensation as the Investment Advisor, Transfer Agent, Shareholder Service Agent and Distributor for the Schwab Sweep Money Funds. The amount of such compensation is disclosed in the prospectus. The yield information for Schwab Sweep Money Funds is the current 7-day yield as of the statement period. Yields vary. If, on any given day, the accrued daily dividend for your selected sweep money fund as calculated for your account is less than 1/2 of 1 cent (\$.005), your account will not earn a dividend for that day. In addition, if you do not accrue at least 1 daily dividend of \$0.01 during a pay period, you will not receive a money market dividend for that period. Schwab and the Schwab Sweep Money Funds investment advisor may be voluntarily reducing a portion of a Schwab Sweep Money Fund's expenses. Without these reductions, yields would have been lower.

Securities Products and Services: Securities products and services are offered by Charles Schwab & Co., Inc., Member SIPC. Securities products

and services, including unswept intraday funds and net credit balances held in brokerage accounts are not deposits or other obligations of, or guaranteed by, any bank, are not FDIC insured, and are subject to investment risk and may lose value. SIPC does not cover balances held at banks affiliated with Schwab in the Bank Sweep and Bank Sweep for Benefit Plans features.

Gain (or Loss): Unrealized Gain or (Loss) and Realized Gain or (Loss) sections ("Gain/Loss Section(s)") contain a gain or a loss summary of your Account. This information is not a solicitation or a recommendation to buy or sell. It may, however, be helpful for investment and tax planning strategies. Schwab does not provide tax advice and encourages you to consult with your tax professional. Please view the Cost Basis Disclosure Statement for additional information on how gain (or loss) is calculated and how Schwab reports adjusted cost basis information to the IRS.

IN CASE OF ERRORS OR DISCREPANCIES: If you find an error or discrepancy relating to your brokerage activity (other than an electronic fund transfer) you must notify us promptly, but no later than 10 days after this statement is sent or made available to you. If this statement shows that we have mailed or delivered security certificate(s) that you have not received, notify Schwab immediately. You may call us at 800-435-4000. (Outside the U.S., call +1-415-667-8400.) Any oral communications should be re-confirmed in writing to further protect your rights, including rights under the Securities Investor Protection Act (SIPA). If you do not so notify us, you agree that the statement activity and Account balance are correct for all purposes with respect to those brokerage transactions.

COMPLAINT CONTACT INFORMATION: Complaints about Schwab statements, products or services may be directed to 1-800-435-4000. For clients residing outside of the U.S., call collect +1-415-667-8400. Please send any written complaints to the Client Advocacy Team, 211 Main St., San Francisco, CA 94105, USA.

Address Changes: It is your obligation to keep Schwab informed of any changes in your address, telephone number or other contact information. If you fail to notify Schwab of those changes, you may not receive important notifications about your Account, and trading or other restrictions might be placed on your Account. For assistance, you may contact Schwab at 1-800-435-4000. Clients residing outside of the U.S. may call Schwab collect at +1-415-667-8400.

Additional Information: We are required by law to report to the Internal Revenue Service adjusted cost basis information (if applicable), certain payments to you and credits to your Account during the calendar year.

Retain this statement for income tax purposes. Schwab or an affiliate acts as the Investment Advisor, Transfer Agent, Shareholder Service Agent and Distributor for the Sweep Funds and as Transaction Services Agent for the Government Money Fund. Schwab or an affiliate is compensated by the Sweep Funds for acting in each of these capacities other than as Distributor. The amount of such compensation is disclosed in the prospectus. Additional information will be provided upon written request. A financial statement for your inspection is available at Schwab's offices or a copy will be mailed to you upon written request.

Any third party trademarks appearing herein are the property of their respective owners. Schwab and its affiliated banks are subsidiaries of The Charles Schwab Corporation. (1017-7MAX)

SIPC has taken the position that it will not cover the balances held in your deposit accounts maintained under programs like our Bank Sweep feature. Please see your Cash Feature Disclosure Statement for more information on insurance coverage.
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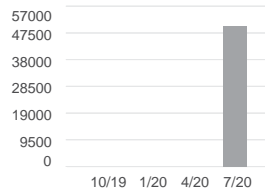
Schwab One® Account of
SHANNON KING

Account Number
4019

Statement Period
July 14-31, 2020

Account Value as of 07/31/2020: \$ 50,221.68

Change in Account Value	This Period	Year to Date	Account Value
Starting Value	\$ 0.00	\$ 0.00	
Credits	50,000.00	50,000.00	
Debits	0.00	0.00	
Transfer of Securities (In/Out)	0.00	0.00	
Income Reinvested	0.00	0.00	
Change in Value of Investments	221.68	221.68	
Ending Value on 07/31/2020	\$ 50,221.68	\$ 50,221.68	
Total Change in Account Value	\$ 50,221.68	\$ 50,221.68	



Asset Composition	Market Value	% of Account Assets	Overview
Cash and Bank Sweep ^{x,z}	\$ 51,496.68	75%	<p>75% Cash, Bank Sweep [X,Z] 25% Options</p>
Options	17,175.00	25%	
Total Assets Long	\$ 68,671.68		
Options (Short)	(18,450.00)		
Total Assets Short^s	\$ (18,450.00)		
Net Loan Balance	0.00		
Total Account Value	\$ 50,221.68	100%	

Schwab One® Account of
SHANNON KINGAccount Number
4019Statement Period
July 14-31, 2020

Realized Gain or (Loss) This Period

Unrealized Gain or (Loss)

Gain or (Loss) Summary

Complete realized gain/loss information may be unavailable for this statement period. This information will be reported beginning with your next statement.

\$221.68

All Investments

Values may not reflect all of your gains/losses. Cost basis may change and be adjusted in certain cases. Statement information should not be used for tax preparation, instead refer to official tax documents. For additional gain or (loss) information refer to Terms and Conditions.

Margin Loan Information

Margin Loan
BalanceFunds Available
to Withdraw*Securities
Buying Power*Margin Loan Rates Vary
by Balance

	Margin Loan Balance	Funds Available to Withdraw*	Securities Buying Power*	Margin Loan Rates Vary by Balance
This Period	0.00	41,497.00	82,994.00	4.50% - 8.32%

The opening margin loan balance for the statement period was \$0.00.

For more information about the margin feature, please visit schwab.com/margin.

*Values include any cash plus the amount available using margin borrowing.

Cash Transactions Summary

This Period

Year to Date

	This Period	Year to Date
Starting Cash *	\$ 0.00	\$ 0.00
Deposits and other Cash Credits	50,000.00	50,000.00
Investments Sold	28,188.34	28,188.34
Dividends and Interest	0.00	0.00
Withdrawals and other Debits	0.00	0.00
Investments Purchased	(26,691.66)	(26,691.66)
Fees and Charges	0.00	0.00
Total Cash Transaction Detail	51,496.68	51,496.68
Ending Cash *	\$ 51,496.68	\$ 51,496.68

*Cash (includes any cash debit balance) held in your account plus the value of any cash invested in a sweep money fund.

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Schwab One® Account of
SHANNON KING

Account Number
4019

Statement Period
July 14-31, 2020

Investment Detail - Cash and Bank Sweep

Cash	Starting Balance	Ending Balance	% of Account Assets
Cash	0.00	10,000.68	15%
Total Cash	0.00	10,000.68	15%

Bank Sweep	Starting Balance	Ending Balance	% of Account Assets
CHARLES SCHWAB BANK	0.00	41,496.00	60%
Total Bank Sweep ^{x,z}	0.00	41,496.00	60%
Total Cash and Bank Sweep		51,496.68	75%

Investment Detail - Options

Options	Quantity	Market Price	Market Value	% of Account Assets	Unrealized Gain or (Loss)	Holding Days	Holding Period
	Units Purchased	Cost Per Share	Cost Basis	Acquired			
CALL S & P 500 INDEX	10.0000 ^s	2.15000	(2,150.00)		273.33		
\$3340 EXP 08/05/20	10.0000 ^s	2.4233	(2,423.33)	07/30/20	273.33	1	Short-Term
SYMBOL: SPXW 08/05/2020 3340.00 C							
CALL S & P 500 INDEX	10.0000	1.72500	1,725.00	3%	(361.67)		
\$3345 EXP 08/05/20	10.0000	2.0866	2,086.67	07/30/20	(361.67)	1	Short-Term
SYMBOL: SPXW 08/05/2020 3345.00 C							

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Schwab One® Account of
SHANNON KINGAccount Number
4019Statement Period
July 14-31, 2020

Investment Detail - Options (continued)

Options (continued)	Quantity		Market Price	Market Value	% of Account Assets Acquired	Unrealized Gain or (Loss)	Holding Days	Holding Period
	Units Purchased	Cost Per Share						
CALL S & P 500 INDEX	10.0000	4.25000		(4,250.00)		178.35		
\$3420 EXP 08/19/20	5.0000	4.3433		(2,171.68)	07/30/20	46.68	1	Short-Term
SYMBOL: SPXW 08/19/2020	3.0000	4.5133		(1,354.01)	07/30/20	79.01	1	Short-Term
3420.00 C	2.0000	4.5133		(902.66)	07/30/20	52.66	1	Short-Term
<i>Cost Basis</i>				(4,428.35)				
CALL S & P 500 INDEX	10.0000	3.85000		3,850.00	6%	(241.65)		
\$3425 EXP 08/19/20	2.0000	4.1767		835.34	07/30/20	(65.34)	1	Short-Term
SYMBOL: SPXW 08/19/2020	3.0000	4.1766		1,252.99	07/30/20	(97.99)	1	Short-Term
3425.00 C	5.0000	4.0066		2,003.32	07/30/20	(78.32)	1	Short-Term
<i>Cost Basis</i>				4,091.65				
PUT S & P 500 INDEX	10.0000	10.05000		10,050.00	15%	(4,406.67)		
\$3020 EXP 08/19/20	10.0000	14.4566		14,456.67	07/30/20	(4,406.67)	1	Short-Term
SYMBOL: SPXW 08/19/2020 3020.00 P								
PUT S & P 500 INDEX	10.0000	10.40000		(10,400.00)		4,493.33		
\$3025 EXP 08/19/20	10.0000	14.8933		(14,893.33)	07/30/20	4,493.33	1	Short-Term
SYMBOL: SPXW 08/19/2020 3025.00 P								
PUT S & P 500 INDEX	10.0000	1.55000		1,550.00	2%	(4,506.67)		
\$3110 EXP 08/05/20	10.0000	6.0566		6,056.67	07/30/20	(4,506.67)	1	Short-Term
SYMBOL: SPXW 08/05/2020 3110.00 P								
PUT S & P 500 INDEX	10.0000	1.65000		(1,650.00)		4,793.33		
\$3115 EXP 08/05/20	10.0000	6.4433		(6,443.33)	07/30/20	4,793.33	1	Short-Term
SYMBOL: SPXW 08/05/2020 3115.00 P								
Total Options	0.0000			(1,275.00)	25%	221.68		
				Total Cost Basis:		(1,496.68)		

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Schwab One® Account of
SHANNON KINGAccount Number
4019Statement Period
July 14-31, 2020

Investment Detail - Total

Total Investment Detail 50,221.68

Total Account Value 50,221.68

Total Cost Basis (1,496.68)

Transaction Detail - Purchases & Sales

Options Activity

Settle Date	Trade Date	Transaction	Description	Quantity	Unit Price	Total Amount
07/31/20	07/30/20	Bought	PUT S & P 500 INDEX \$3110 EXP 08/05/20: SPXW 08/05/2020 3110.00 P	10.0000	6.0500	(6,056.67)
07/31/20	07/30/20	Short Sale	PUT S & P 500 INDEX \$3115 EXP 08/05/20: SPXW 08/05/2020 3115.00 P	(10.0000)	6.4500	6,443.33
07/31/20	07/30/20	Short Sale	CALL S & P 500 INDEX \$3340 EXP 08/05/20: SPXW 08/05/2020 3340.00 C	(10.0000)	2.4300	2,423.33
07/31/20	07/30/20	Bought	CALL S & P 500 INDEX \$3345 EXP 08/05/20: SPXW 08/05/2020 3345.00 C	10.0000	2.0800	(2,086.67)
07/31/20	07/30/20	Bought	PUT S & P 500 INDEX \$3020 EXP 08/19/20: SPXW 08/19/2020 3020.00 P	10.0000	14.4500	(14,456.67)
07/31/20	07/30/20	Short Sale	PUT S & P 500 INDEX \$3025 EXP 08/19/20: SPXW 08/19/2020 3025.00 P	(10.0000)	14.9000	14,893.33
07/31/20	07/30/20	Short Sale	CALL S & P 500 INDEX \$3420 EXP 08/19/20: SPXW 08/19/2020 3420.00 C	(5.0000)	4.3500	2,171.68
07/31/20	07/30/20	Short Sale	CALL S & P 500 INDEX \$3420 EXP 08/19/20: SPXW 08/19/2020 3420.00 C	(3.0000)	4.5200	1,354.01
07/31/20	07/30/20	Short Sale	CALL S & P 500 INDEX \$3420 EXP 08/19/20: SPXW 08/19/2020 3420.00 C	(2.0000)	4.5200	902.66

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Schwab One® Account of
SHANNON KING

Account Number
4019

Statement Period
July 14-31, 2020

Transaction Detail - Purchases & Sales (continued)

Options Activity (continued)

Settle Date	Trade Date	Transaction	Description	Quantity	Unit Price	Total Amount
07/31/20	07/30/20	Bought	CALL S & P 500 INDEX \$3425 EXP 08/19/20: SPXW 08/19/2020 3425.00 C	5.0000	4.0000	(2,003.32)
07/31/20	07/30/20	Bought	CALL S & P 500 INDEX \$3425 EXP 08/19/20: SPXW 08/19/2020 3425.00 C	3.0000	4.1700	(1,252.99)
07/31/20	07/30/20	Bought	CALL S & P 500 INDEX \$3425 EXP 08/19/20: SPXW 08/19/2020 3425.00 C	2.0000	4.1700	(835.34)
Total Options Activity						1,496.68
Total Purchases & Sales						1,496.68

Transaction Detail - Deposits & Withdrawals

Transaction Date	Process Date	Activity	Description	Location	Credit/(Debit)
07/20/20	07/20/20	Funds Received	WIRED FUNDS RECEIVED		50,000.00
Total Deposits & Withdrawals					50,000.00

The total deposits activity for the statement period was \$50,000.00. The total withdrawals activity for the statement period was \$0.00.

Total Transaction Detail **51,496.68**

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Schwab One® Account of
SHANNON KING

Account Number
4019

Statement Period
July 14-31, 2020

Bank Sweep Activity

Transaction Date	Transaction	Description	Withdrawal	Deposit	Balance ^{x,z}
Opening Balance ^{x,z}					0.00
07/21/20	Auto Transfer	BANK CREDIT FROM BROKERAGE ^x		50,000.00	50,000.00
07/31/20	Auto Transfer	BANK TRANSFER TO BROKERAGE	8,504.00		41,496.00
Total Activity			8,504.00	50,000.00	
Ending Balance ^{x,z}					41,496.00

Bank Sweep: Interest Rate as of 07/31/20 was 0.01%. ^z

Endnotes For Your Account

Symbol Endnote Legend

S	Short sale. Possible tax modifications of the holding period may be required for covered short positions. The market value of these securities will be expressed as a debit and be netted against any long positions in Total Account Value.
X	Bank Sweep deposits are held at FDIC-insured bank(s) ("Banks") that are affiliated with Charles Schwab & Co., Inc.
Z	For Bank Sweep and Bank Sweep for Benefit Plans features, interest is paid for a period that differs from the Statement Period. Balances include interest paid as indicated on your statement by Schwab or one or more of its affiliated banks. These balances do not include interest that may have accrued during the Statement Period after interest is paid. The interest paid may include interest that accrued in the prior Statement Period.

For information on how Schwab pays its representatives, go to <http://www.schwab.com/compensation>.

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Schwab One® Account of
SHANNON KING

Account Number
[REDACTED] 4019

Statement Period
December 1-31, 2020

Manage Your Account

Questions about this statement

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26500 PASEO INFINITA
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92675

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Client Relationship Summaries and Best Interest disclosures at [schwab.com/transparency](https://www.schwab.com/transparency)

Schwab One® Account of
SHANNON KINGAccount Number
4019Statement Period
December 1-31, 2020

Terms and Conditions

GENERAL INFORMATION AND KEY TERMS:

All references to "Schwab" in this document refer to the broker-dealer Charles Schwab & Co., Inc. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement. If you receive any other communication from any source other than Schwab which purports to represent your holdings you should verify its content with this statement. Securities, products, and services are not available in all countries and are subject to country specific restrictions.

AIP (Automatic Investment Plan) Customers: Schwab receives remuneration in connection with certain transactions effected through Schwab. If you participate in a systematic investment program through Schwab, the additional information normally detailed on a trade confirmation will be provided upon request.

Average Daily Balance: Average daily composite of all cash balances that earn interest and all loans from Schwab that are charged interest.

Bank Sweep Feature and Bank Sweep for Benefit Plans Features: Schwab acts as your agent and custodian in establishing and maintaining your Bank Sweep and Bank Sweep for Benefit Plans features as a Schwab Cash feature for your brokerage account. Deposit accounts constitute direct obligations of banks affiliated with Schwab and are not obligations of Schwab. Deposit accounts are insured by the FDIC within applicable limits. The balance in the bank deposit accounts can be withdrawn on your order and the proceeds returned to your securities account or remitted to you as provided in your Account Agreement. For information on FDIC insurance and its limits, as well as other important disclosures about the Bank Sweep for Benefit Plans-features, please refer to the Cash Features Disclosure Statement available online or from a Schwab representative.

Cash: Any Free Credit Balance owed by us to you payable upon demand which, although accounted for on our books of record, is not segregated and may be used in the conduct of this firm's business.

Dividend Reinvestment Customers: Dividend reinvestment transactions were effected by Schwab acting as a principal for its own account, except for the reinvestment of Schwab dividends, for which an independent broker-dealer acted as the buying agent. Further information on these transactions will be furnished upon written request.

Estimated Annual Income: Derived from information provided by outside parties. Schwab cannot guarantee the accuracy of such information. Since the interest and dividends are subject to change at any time, they should not be relied upon for making investment decisions.

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If, on any given day, the interest that Schwab calculates for the Free Credit Balances in the Schwab One Interest feature in your brokerage account is less than \$.005, you will not accrue any interest on that day. For balances held at banks affiliated with Schwab in the Bank Sweep

and Bank Sweep for Benefit Plans features, interest will accrue even if the amount is less than \$.005.

Latest Price/Price (Investment Detail Section Only): The most recent price evaluation available on the last business day of the statement period, normally the last trade price or bid. Unpriced securities denote that no market evaluation update is currently available. Price evaluations are obtained from outside parties. Schwab shall have no responsibility for the accuracy or timeliness of any such valuations. Pricing of assets not held at Schwab is for informational purposes only. Some securities, especially thinly traded equities in the OTC market or foreign markets, may not report the most current price and are indicated as Stale Priced. For Limited Partnerships (LP) and Real Estate Investment Trust (REIT) securities, you may see that the value reflected on your periodic statement for this security is unpriced. FINRA rules require that certain LP and REIT securities, that have not been priced within 18 months, must show as unpriced on customer statements. Note that these securities are generally illiquid, the value of the securities will be different than its purchase price; if applicable, that accurate valuation information may not be available.

Margin Account Customers: This is a combined statement of your margin account and special memorandum account maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account as required by Regulation T is available for your inspection.

Non-Publicly Traded Securities: All assets shown on this statement, other than certain direct investments which may be held by a third party, are held in your Account. Values of certain Non-Publicly Traded Securities may be furnished by a third party and Schwab shall have no responsibility for the accuracy or timeliness of such valuations. The Securities Investor Protection Corporation (SIPC) does not cover many limited partnership interests.

Option Customers: Be aware of the following: 1) Commissions and other charges related to the execution of option transactions have been included in confirmations of such transactions previously furnished to you and will be made available promptly upon request 2) You should advise us promptly of any material changes in your investment objectives or financial situation 3) Exercise assignment notices for the option contracts are allocated among customer short positions by an automated procedure which randomly selects from among all customer short option positions those contracts which are subject to exercise, including positions established on the day of assignment 4) Realized gain/loss of underlying securities is adjusted to reflect the premiums of assigned or exercised options. Please consult your tax advisor or IRS publication 550, Investment Income and Expenses, for additional information on Options.

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SIPC has taken the position that it will not cover the balances held in your deposit accounts maintained under programs like our Bank Sweep feature. Please see your Cash Feature Disclosure Statement for more information on insurance coverage.
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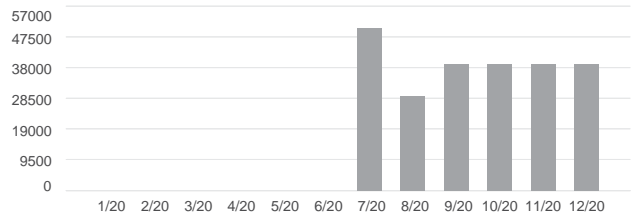
Schwab One® Account of
SHANNON KING

Account Number
4019

Statement Period
December 1-31, 2020

Account Value as of 12/31/2020: \$ 39,373.11

Change in Account Value	This Period	Year to Date	Account Value
Starting Value	\$ 39,372.79	\$ 0.00	
Credits	0.32	50,001.45	
Debits	0.00	0.00	
Transfer of Securities (In/Out)	0.00	0.00	
Income Reinvested	0.00	0.00	
Change in Value of Investments	0.00	(10,628.34)	
Ending Value on 12/31/2020	\$ 39,373.11	\$ 39,373.11	
Total Change in Account Value	\$ 0.32	\$ 39,373.11	
	0.00%		



Asset Composition	Market Value	% of Account Assets
Bank Sweep ^{x,z}	\$ 39,373.11	100%
Total Assets Long	\$ 39,373.11	
Net Loan Balance	0.00	
Total Account Value	\$ 39,373.11	100%

To explore the features of this statement visit schwab.com/premiumstatement

Schwab One® Account of
SHANNON KINGAccount Number
4019Statement Period
December 1-31, 2020

Gain or (Loss) Summary	Realized Gain or (Loss) This Period		Unrealized Gain or (Loss)
	Short Term	Long Term	
All Investments	\$0.00	\$0.00	\$0.00

Values may not reflect all of your gains/losses. Cost basis may change and be adjusted in certain cases. Statement information should not be used for tax preparation, instead refer to official tax documents. For additional gain or (loss) information refer to Terms and Conditions.

Income Summary	This Period		Year to Date	
	Federally Tax-Exempt	Federally Taxable	Federally Tax-Exempt	Federally Taxable
Bank Sweep Interest	0.00	0.32	0.00	1.45
Total Income	0.00	0.32	0.00	1.45

Margin Loan Information	Margin Loan Balance	Funds Available to Withdraw*	Securities Buying Power*	Margin Loan Rates Vary by Balance
This Period	0.00	0.00	0.00	4.50% - 8.32%

The opening margin loan balance for the statement period was \$0.00.
For more information about the margin feature, please visit schwab.com/margin.
*Values include any cash plus the amount available using margin borrowing.

Cash Transactions Summary	This Period	Year to Date
Starting Cash*	\$ 39,372.79	\$ 0.00
Deposits and other Cash Credits	0.00	50,000.00
Investments Sold	0.00	746,888.23
Dividends and Interest	0.32	1.45
Withdrawals and other Debits	0.00	0.00
Investments Purchased	0.00	(757,516.57)
Fees and Charges	0.00	0.00
Total Cash Transaction Detail	0.32	39,373.11
Ending Cash*	\$ 39,373.11	\$ 39,373.11

*Cash (includes any cash debit balance) held in your account plus the value of any cash invested in a sweep money fund.

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Schwab One® Account of
SHANNON KING

Account Number
4019

Statement Period
December 1-31, 2020

Investment Detail - Bank Sweep

Bank Sweep	Starting Balance	Ending Balance	% of Account Assets
CHARLES SCHWAB BANK	39,372.79	39,373.11	100%
Total Bank Sweep ^{x,z}	39,372.79	39,373.11	100%
Total Bank Sweep		39,373.11	100%
Total Investment Detail			39,373.11
Total Account Value			39,373.11
Total Cost Basis			N/A

Transaction Detail - Dividends & Interest (including Money Market Fund dividends reinvested)

Transaction Date	Process Date	Activity	Description	Credit/(Debit)
12/15/20	12/16/20	Bank Interest ^{x,z}	BANK INT 111620-121520: SCHWAB BANK	0.32
Total Dividends & Interest				0.32
Total Transaction Detail				0.32

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Schwab One® Account of
SHANNON KING

Account Number
4019

Statement Period
December 1-31, 2020

Bank Sweep Activity

Transaction Date	Transaction	Description	Withdrawal	Deposit	Balance ^{x,z}
Opening Balance ^{x,z}					39,372.79
12/15/20	Interest Paid ^{x,z}	BANK INTEREST - CHARLES SCHWAB BANK		0.32	39,373.11
12/15/20	Auto Transfer	BANK TRANSFER TO BROKERAGE	0.32		39,372.79
12/17/20	Auto Transfer	BANK CREDIT FROM BROKERAGE ^x		0.32	39,373.11
Total Activity			0.32	0.64	
Ending Balance ^{x,z}					39,373.11

Bank Sweep: Interest Rate as of 12/31/20 was 0.01%. ^z

Endnotes For Your Account

Symbol Endnote Legend

- X** Bank Sweep deposits are held at FDIC-insured bank(s) ("Banks") that are affiliated with Charles Schwab & Co., Inc.
- Z** For Bank Sweep and Bank Sweep for Benefit Plans features, interest is paid for a period that differs from the Statement Period. Balances include interest paid as indicated on your statement by Schwab or one or more of its affiliated banks. These balances do not include interest that may have accrued during the Statement Period after interest is paid. The interest paid may include interest that accrued in the prior Statement Period.

For information on how Schwab pays its representatives, go to <http://www.schwab.com/compensation>.

EXHIBIT E

From: [Quinn, Michael J.](#)
To: ["Dean, Lynn M."](#)
Cc: ["Wanner, Kathryn"](#)
Subject: RE: [EXT] RE: King SETTLEMENT DOCS
Date: Wednesday, January 27, 2021 4:49:25 PM
Attachments: [Warranty Deed re S King Home 61.pdf](#)
[Warranty Deed re S King Home 62.pdf](#)

Attached is a deed by which Shannon added Justin to the title in December 2014 before they were married and 4.5 years before the allegations in the complaint.

From: Dean, Lynn M. <DeanL@sec.gov>
Sent: Wednesday, January 27, 2021 4:20 PM
To: Quinn, Michael J. <mquinn@vedderprice.com>
Cc: Wanner, Kathryn <wannerk@SEC.GOV>
Subject: Re: [EXT] RE: King SETTLEMENT DOCS

OK. Perhaps some documentation on that. The sellers are listed on the title as Shannon and Justin.

On Jan 27, 2021, at 3:14 PM, Quinn, Michael J. <mquinn@vedderprice.com> wrote:

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.

Yes, I can try to do that, but it was purchased by Shannon before she and Justin were married, and years before any of the conduct alleged in the complaint.

From: Dean, Lynn M. <DeanL@sec.gov>
Sent: Wednesday, January 27, 2021 2:17 PM
To: Quinn, Michael J. <mquinn@vedderprice.com>
Cc: Wanner, Kathryn <wannerk@SEC.GOV>
Subject: [EXT] RE: King SETTLEMENT DOCS

Mike,

Can you get some documentation regarding the source of funds used to purchase the house?

Lynn

From: Quinn, Michael J. <mquinn@vedderprice.com>
Sent: Tuesday, January 26, 2021 1:38 PM
To: Dean, Lynn M. <DeanL@sec.gov>
Subject: King SETTLEMENT DOCS

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.

SETTLEMENT COMMUNICATION

Lynn,

Thank you for the call today. As discussed, I have attached the documentation supporting the source of funds in Shannon King's personal Charles Schwab account (ending in 4019), highlighted for convenience. Specifically the attached documents include:

- Escrow statement from sale of Phoenix home dated July 16, 2020, reflecting \$93,202.47 due to seller
- Chase Account statement for joint account (8635) reflecting wire received on July 16, 2020 in the amount of \$93,202.47
- Same Chase Account statement reflects \$50,000.00 wire to Shannon's personal Schwab account on July 20 (and \$39,950.00 wire to Justin's personal Schwab account on July 16)
- Shannon's personal Charles Schwab account statement for July 2020 reflecting beginning balance of \$0 and incoming wire in the amount of \$50,000.00 on July 20
- Shannon's year-end statement for personal Charles Schwab account reflecting beginning balance of \$0 and total credits of \$50,001.45 (\$1.45 was bank sweep interest)

Accordingly, we believe this demonstrates that Shannon's Charles Schwab account does not and has never contained any investor funds and we are hopeful we can stipulate to release the freeze on this account.

Please let me know if you need any additional information.

Thanks,
Mike

Michael J. Quinn, Shareholder

VedderPrice

T +1 424 204 7734

1925 Century Park East, Suite 1900

Los Angeles, CA 90067

[web](#) | [email](#) | [offices](#) | [biography](#)

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Vedder Price P.C. is affiliated with Vedder Price LLP, which operates in England and Wales, with Vedder Price (CA), LLP which operates in California and with Vedder Price Pte. Ltd. which operates in Singapore.

9RECORDING REQUESTED BY:
Fidelity National Title Agency
AND WHEN RECORDED MAIL TO:
Shannon Leigh Larson
911 E. Camelback Rd.
#1083
Phoenix, AZ 85014

ESCROW NO.: 72006512-072-TF

SPACE ABOVE THIS LINE FOR RECORDER'S USE

WARRANTY DEED B9

For the consideration of Ten Dollars, and other valuable consideration,
Shannon Leigh Larson, An Unmarried Woman

("Grantor") conveys to

Shannon Leigh Larson, An Unmarried Woman and Justin R. King, An Unmarried Man
the following real property situated in Maricopa County, Arizona:

**Unit 7, COTTAGES AT ARCADIA SITE CONDOMINIUMS, according to the Declaration of
Condominium in Recording No. 2013-0947708 and as shown in Book 1163 of Maps,
page 27, records of Maricopa County, Arizona;**

TOGETHER WITH an undivided interest in the common elements as shown on said plat.

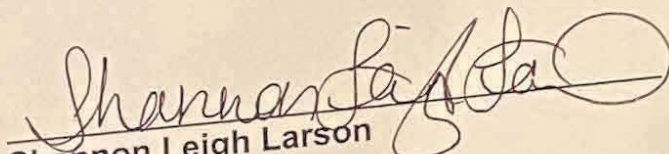
SUBJECT TO: Current taxes and other assessments, reservations in patents and all
easements, rights of way, encumbrances, liens, covenants, conditions, restrictions, obligations,
and liabilities as may appear of record.

Grantor warrants the title against all persons whomsoever, subject to the matters set forth
above.

Dated: December 10, 2014

Grantor(s):

BUYER:


Shannon Leigh Larson

Escrow No.: 72006512-072-TF
Warranty Deed...Continued
Page 2

NOTARY ACKNOWLEDGMENT(S) TO WARRANTY DEED

State of ARIZONA } ss:
County of MARICOPA

The foregoing document was acknowledged before me this 18th day of DECEMBER 2014

by Shannon Leigh Larson



BRANDY MOODY
Notary Public - Arizona
Maricopa County
Expires 01/14/2017

Brandy Moody
Notary Public BRANDY MOODY

My commission expires: 01-14-17

You are instructed to pay these funds in the above numbered escrow for the benefit of \$2000.00, a part of this escrow. You are authorized to use said funds in completing the escrow under instructions given to be given to you by said party. I hereby waive any present or future interest in said funds.

If these funds are for the benefit of the owner and the owner is obtaining a new loan in order to complete the transaction, you are authorized to share the details of this deposit, including the bank account information, the funds came from with the owner's new lender.

I acknowledge and understand the escrow instructions may call for a release of said funds prior to the close of escrow, and may contain provisions regarding disbursement of funds in the event the escrow is terminated. Any such payment of these funds in accordance with the instructions or the order to pay shall be without liability or recourse upon Fidelity National Title Agency for the return of money.

In the event this escrow is cancelled or your agency is revoked, any portion of these funds remaining deposited, are NOT subject to disbursement (payment) instructions of the parties, shall be disbursed solely according to the instructions of the parties to this escrow.

Third Party Depositor

Stephanie Daniel

Witness

Witness

The undersigned hereby accept and approve said funds for use in the above numbered escrow

Shannon Leigh Larson
Shannon Larson

Date: 12/18/14

EXHIBIT F

From: [Justin King](#)
To: [Jennifer Trowbridge](#); [Quinn, Michael J.](#); [Robert Conca](#)
Subject: [EXT] Fwd: Receivership of Elevate Investments, LLC, and its subsidiaries and affiliates
Date: Friday, January 22, 2021 8:29:31 AM

----- Forwarded message -----

From: **Jeff Brandlin** <jeff@brandlin.com>
Date: Thu, Jan 21, 2021 at 4:09 PM
Subject: Receivership of Elevate Investments, LLC, and its subsidiaries and affiliates
To:
CC: Mike Harmon <Mike@brandlin.com>

You are receiving this email because you have been identified as an investor or potential

investor with Elevate Investments, LLC, and/or Justin Robert King. As you may be aware, in late

December 2020, the Securities and Exchange Commission ("SEC") filed a civil enforcement

action against Elevate Investments, LLC, and Justin Robert King. The complaint also named

Shannon King as a relief defendant because she is believed to be in possession of funds

belonging to Elevate Investments. The action is pending before the U.S. District Court, Central

District of California (the "Court") as

Securities & Exchange Commission v. Justin Robert King;

and Elevate Investments, LLC, Case No. 8:20-cv-02398-JVS. On December 28,

2020, the Court

appointed me as the temporary receiver of Elevate Investments, LLC and any subsidiaries and

affiliates (together, "Elevate Investments"). I have identified Area Auto Glass, LLC, AZ

Investment Kings, and Opulent, LLC, as likely affiliates and may identify additional entities in the

days to come. On January 19, 2021, the Court issued a preliminary injunction and appointed

me as the permanent receiver.

1.

Why are you receiving this e-mail? We are still reviewing Elevate Investments' books

and records, but your name appeared in computer files as a potential investor.

2.

What is a receiver?

A receiver is a neutral person appointed by a judge whose duties

are to secure and take charge of a receivership defendants' property and business operations

and to seek to recover assets for the benefit of defrauded investors. As the receiver, I report

to the Hon. James V. Selna, who is the federal district court judge presiding over the SEC's lawsuit.

I will file reports with the Court in public pleadings that keep the Court informed as to my

progress.

3.

What is the current status of Elevate Investments? I have ceased all operations of

Elevate Investments and stopped all investment activity. I have secured assets in bank and

trading accounts and liquidated the remaining investments. We are in the process of

identifying other potential assets of Elevate Investments. We have so far obtained

approximately \$1,575,000 from an account at Charles Schwab and have frozen all known bank

and investment accounts for Elevate Investments and Justin and Shannon King. We are in the

process of investigating what other assets may be recovered and will provide updates as we

learn more.

We have set up a website to provide investors with current information. The

address for the website is:

**[https://protect-us.mimecast.com/s/kRtvCKr6yAu4EmNnFpiwZT?
domain=donlinrecano.com](https://protect-us.mimecast.com/s/kRtvCKr6yAu4EmNnFpiwZT?domain=donlinrecano.com).**

4.

What happens to the money you invested with Elevate Investments or Mr. King?

Based on our preliminary findings, it appears that the amount held by Elevate Investments and the Kings as of my appointment was significantly less than the amount invested with Elevate Investments. Because of that and the allegations in the complaint, you do not have access to the funds that you invested with Elevate Investments. Instead, you now hold a claim against the Elevate Investments receivership estate for the amount that you invested, less any distributions that you may have received.

5.

How do you make a claim against the receivership estate? As soon as possible, my

office will seek Court approval of a claims procedure where I would send a letter to each

investor informing them of what the records show they are owed. If an investor disagrees, they

will have an opportunity to provide us with a claim form and documents that support the

amount they believe they are owed. I will notify you by letter and through the case website

when this process is underway.

6.

When can you expect a distribution on your claim?

At this early stage, we cannot

predict when or how much we will be able to return to victims. We are making every effort to

gather assets so that distributions can be made to investors. We will keep you updated as we

have more definitive information about the estimated return.

7.

Do you need an attorney? We cannot advise you on this. My job is to seek to recover

assets for the benefit of victims. If there is a dispute about the amount of a specific investor

claim, the Court will resolve that dispute. If that happens, I will notify you and give you the

opportunity to consult with a lawyer.

8.

How are my professionals and I paid? I, along with my staff and certain professionals

that I hire to assist me will submit fee applications to the Court. The Court will review the

applications and either approve or deny the fees. We will notify investors of those applications

as required, and they will be posted on the website for the receivership.

9.

What are my qualifications and those of my counsel? I am the founder and chief

executive of Brandlin & Associates, which has been providing accounting, restructuring, and

insolvency consulting since 1980. I have been involved in multiple federal equity receiverships

over my career. My counsel, Kyra Andrassy at the law firm of Smiley Wang-Ekvall, LLP, has

many years of experience representing court-appointed fiduciaries and in asset recovery.

10.

Do you have information about potential assets? If you have information about

potential assets of Elevate Investments, please share the information with me.

If you have any questions, please email me at

jeff@brandlin.com.

Please check the receivership

website for updates. Again, the website is at

<http://www.donlinrecano.com/ElevateInvestments>.

We are keenly aware of the difficulties

that this situation may impose on you and your family and remain committed to working

diligently to resolve the matter as favorably and promptly as possible.

Jeffrey E. Brandlin, CPA, CFF / CIRA, CM&AA

Brandlin & Associates

jeff@brandlin.com

www.brandlin.com

DECLARATION OF JENNIFER TROWBRIDGE

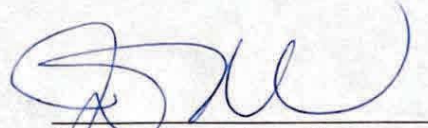
I, Jennifer Trowbridge declare as follows:

1. I know each of the following facts to be true of my own personal knowledge, except as otherwise stated, and if called as a witness, I could and would competently testify with respect thereto.
2. I am a Junior Partner with Jacko Law Group, PC, which was engaged, among other things, to represent Elevate Investments, LLC (“Elevate”) in this current matter.
3. On January 5, 2021, the following documents were produced to the SEC on behalf of Elevate:
 - a. Elevate organizational documents;
 - b. Elevate offering documents;
 - c. Elevate performance reports;
 - d. Bank Statements for Shannon and Justin King’s joint personal bank account with JPMorgan Chase; account number ending 8635;
 - e. Bank Statements for Area Auto Glass, LLC’s bank account at JPMorgan Chase; account number ending 8687;
 - f. Bank Statements for Clear Auto Glass, LLC’s bank account at JPMorgan Chase; account number ending 9806;
 - g. Bank Statements for AZ Investments Kings, LLC’s bank account at JPMorgan Chase; account number ending 3592;
 - h. Bank Statements for Kaleigh Larson and Shannon King’s joint bank account at JPMorgan Chase; account number ending 5780;
 - i. Bank Statements for bmodiful, LLC account at NOVO Platform, Inc.; account number ending 5148; and
 - j. Tax Returns for Area Auto Glass, LLC, Elevate Investments, LLC and Justin & Shannon King.

1 4. Elevate's Answer to the Complaint was due on January 19, 2021. Consistent with the
2 representation of an entity in litigation, and in the normal course of business, I prepared
3 Elevate's Answer for filing.

4 5. Elevate's Answer was submitted for filing with the Court prior to the Preliminary
5 Injunction and Appointment of Receiver being filed.
6

7 I declare under penalty of perjury under the laws of the State of California that the
8 foregoing is true and correct. Executed this 5th of February, 2021 at San Diego, California.
9

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11 Jennifer Trowbridge, Esq.
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