

Saddle River

October 06, 2020

General Information

This is the website of successor Receiver, Kathy Bazoian Phelps. On February 28, 2019, Ms. Phelps was appointed as the Successor Receiver in the case of *Securities and Exchange Commission v. John V. Bivona, Saddle River Advisors, LLC, SRA Management Associates, LLC, and Frank Mazzola*, Case No. 3:16-cv-1386, in the United States District Court for the Northern District of California. The case was originally filed on March 22, 2016, and on October 11, 2016, Sherwood Partners, Inc. was appointed and served as Receiver until the appointment of Ms. Phelps as successor receiver.

The Receivership is imposed over the following entities: SRA Management Associates, LLC, and relief defendants SRA I LLC, SRA II LLC, SRA III LLC, Clear Sailing Group IV LLC, Clear Sailing Group V LLC, as well as the stipulating affiliated entities, Felix Multi-Opportunity Fund I LLC, Felix Multi-Opportunity Fund II LLC, Felix Management Associates LLC, NYPA Fund I LLC, NYPA Fund II LLC and NYPA Management Associates LLC.

The purpose of this website is to provide convenient access to information about the receivership, including status reports from the Receiver, copies of pleadings filed in the case, and **Frequently Asked Questions (FAQ)**. The website will be updated periodically, and all creditors, investors and parties in interest are encouraged to check the website for updates. If you require further information not contained in this website, you may **Contact Us**.

Recent Updates

December 8, 2020

Airbnb is expected to have an IPO in the near term, but distribution to Airbnb investors will not occur until all lock up periods have expired. The allowed amounts of the Airbnb investor claims have been updated to reflect a stock split that occurred in October 2020.

December 7, 2020

The interim distribution to Class 3 cash claimants has been made. Wire transfers were made to those timely requesting payment by wire, and checks have been sent to requested addresses or, where no request was made, to the last known address of the claimant. The timing of the final distribution is not yet known as the Receiver needs to retain a cash reserve for the administration of the estate.

October 16, 2020

On September 30, 2020, Palantir Technologies began trading publicly following its direct listing. Shortly thereafter, pursuant to the Lockup Agreement executed by the Receiver upon approval by the Court to do so, the Receiver received approximately 20% of the estate's Palantir holdings. Over the week of October 6, the Receiver sold 966,995 shares for an average price of \$10.21, and received total net proceeds after commissions of \$9,854,110. Of those proceeds, \$9,765,512 was contributed to the Plan Fund pursuant to the Court-approved Distribution Plan and \$88,598 was reserved for taxes in connection with the sale of the Palantir shares.

After those sales, there remain 4,773,254 shares of Palantir in the receivership estate, the vast majority of which remain restricted and subject to the Lockup Agreement. Those shares can not be freely traded or distributed until after Palantir issues its FY2020 financial results, which is expected in the first quarter 2021. When the Lockup period expires, the Receiver will make an interim distribution of shares to claimants, but will hold back a percentage of those shares as an administrative reserve until the final tax liability of the receivership has been fully resolved. The Receiver may also need to liquidate additional shares to fund the tax holding account as it relates to the distribution of shares to claimants, depending on the price of Palantir at the time of distribution. We will

file a motion in advance of making a distribution or any further sales as the expiration of the lockup period expires, which will contain details with respect to the anticipated timing and amounts of distribution.

As a result of the recent Palantir sale, the Plan Fund now has sufficient funds to allow us to make an interim distribution to Class 3 unsecured creditor claimants. We are preparing a motion to do so and expect to file it shortly. If you are a Class 3 claimant and have a preference to receive funds via a wire transfer or by a check. If you prefer distribution by wire, please provide wire instructions by sending an email to kphelps@diamondmccarthy.com, and if you prefer check, please ensure that your mailing address is up to date in the Receiver's records.

Please continue to check this website for future updates. We have updated our Frequently Asked Questions substantially in light of the many questions our team has fielded. Please check that page here first if you have a question.

August 18, 2020

There has been discussion in the news recently that Palantir may elect to do a direct listing rather than an underwritten public offering of its shares and that this direct listing may take place in the next month or so. The shares of Palantir that are held in the receivership estate were acquired pursuant to multiple contracts. We are in the process of evaluating any applicable restrictions in those contracts that would limit when and the manner in which those shares might be sold or distributed if Palantir were to do a direct listing. Additionally, if and when Palantir formally announces its intention to conduct a direct listing, we will be able ascertain how Palantir will address contractual restrictions on the resale of its shares and possible waivers of those restrictions. These factors will dictate the timing of when the Palantir shares held by the receivership estate can be sold and distributed pursuant to the terms of the Court-approved distribution plan.

July 27, 2020

The sale of the publicly traded securities pursuant to the terms of the Plan took place on July 23, 2020, and the distributions began on July 24, 2020. Those investors who have provided accurate and valid account information should have received an interim distribution on July 24, 2020 of the following publicly traded securities in which each particular investor had asserted a claim: Cloudera, DropBox, MongoDB, Lyft, Pinterest, Snap, and Uber. Bloom Energy shares have not yet been distributed but will hopefully be distributed within the next week or two.

For those of investors who have not yet delivered your account information to the Receiver, or where the information provided was not valid, your distribution will be delayed until complete and correct account information is provided. Please send all account information to the Receiver at kphelps@diamondmccarthy.com.

July 8, 2020

Many investors have contacted the Receiver to inquire about shares in Palantir Technologies Inc. given the recent news of a possible imminent public offering. The Court approved Distribution Plan does not permit the sale or transfer of any Palantir shares until such time as Palantir has gone public or had a liquidity event and all lockup periods have expired. As such, the Receiver continues to hold the interests in the shares pursuant to the Plan and will continue to monitor the status of Palantir. Claimants may check the status of their Allowed Claims on the **Claims** tab of this website.

July 7, 2020

The Receiver is preparing to seek authority to sell and distribute shares of the following publicly traded securities held in the Receivership Estate:

Bloom Energy, Inc.

Cloudera, Inc.

Dropbox, Inc.

Lyft, Inc.

MongoDB, Inc.

Pinterest, Inc.

Snap, Inc.

Uber Technologies, Inc

For investors with a claim for any of those securities, please send your brokerage account to the Receiver at kphelps@diamondmccarthy.com so that she can direct the transfer of securities directly into your personal brokerage account:

Account Information Needed

Name of Receiving Financial Institution: _____

Receiving Account Number: _____

Receiving Account Name: _____

Receiving Firm DTC Number: _____

May 13, 2020

Hearings were held by Zoom webinar on the following matters, which were resolved as follows:

- Receiver's Motion for (1) Final Approval of Receiver's Plan of Distribution; and (2) For Order Approving Form and Manner of Notice, and Notice of Opportunity to Serve on Investment Advisory Committee (Doc. No. 570). The Motion was granted with two modifications that postpone decisions relating to the treatment of Failed Investment Claims and the treatment of the claim of Joshua Cilano.
 - Plaintiff Securities and Exchange Commission's Objection to Receivership Claims by Michelle Mazzola and Joshua Cilano for Management Fees (Doc. No. 572). The Court granted the objection to the claim of Michelle Mazzola and postponed a decision of the allowance of the claim of Joshua Cilano.
 - Receiver's Motion to Disallow Purported Guarantee Claims (Doc. No. 575). The Court granted the motion.
 - Receiver's Motion for Instructions Regarding Investors Advisory Committee (Doc. No. 583). The Court approved the participation of Joshua Cilano on the Investment Advisory Committee.
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May 11, 2020

The Court posted instructions for dialing into the Zoom hearing for the May 13, 2020 hearings. The instructions can be found [here](#).

April 21, 2020

The Court issued the following notice regarding the May 13, 2020 hearing on the distribution plan and related matters, which are scheduled to go forward by Zoom Webinar on the scheduled date:

CLERKS NOTICE: Regarding the upcoming hearing for motions related to final approval set on 5/13/2020 (Docket Nos. 570, 572, 575, and 583), the Court will conduct same by Zoom Webinar. The general public will receive an invitation, posted on the docket, to appear in these proceedings. The participants in the “well” of the court will be deemed panelists with the ability to see and hear all other panelists. The listening and watching audience, including investors which wish to attend, will be deemed “Attendees.” Attendees will have the opportunity to raise their virtual hand to speak, with permission from the Court, provided that person has given advance notice to the Court that they want to speak at the hearing. The Court directs the Receiver to notify all interested parties (including known investors) of the timing and nature of the 5/13/2020 hearing and to inform them that anyone wishing to speak at the hearing must notify Judge Chen’s CRD via email: EMCCRD@cand.uscourts.gov by 5/11/2020

March 20, 2020

Due to the corona virus, the Court has rescheduled the hearings on the following motions to May 13, 2020 at 10:00 a.m.:

1. [570] Receiver’s Motion for (1) Final Approval of the Receiver’s Plan of Distribution; and (2) for Order Approving Form and Manner of Notice; and Notice of Opportunity to Serve on Investment Advisory Committee
 2. [572] SEC’s Objections to Receivership Claims by Michele Mazzola and Joshua Cilano for Management Fees
 3. [575] Receiver’s Motion for Disallowance of Guaranty Claims
 4. [583] Motion for Instructions Regarding Investment Advisory Committee
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February 28, 2020

This Update is posted to provide a high level summary of the structure of the Plan. All investors and creditors are encouraged to read the terms of the Distribution Plan, and the following summary of the structure of the Plan is not intended to, and shall not, substitute the actual terms of the Plan. The Plan provides for the distribution of shares to investors and cash to creditors as set forth in detail in the Plan.

Under the Plan, investors will receive some of their claimed shares back if and only if an IPO event has occurred for a particular company in which shares are claimed, and creditors will receive some cash back. The number of shares to be returned to investors is not yet fixed as some of the shares held in the estate will need to be liquidated to create the Plan Fund as described in the Plan, which will be used to pay cash to administrative and unsecured creditors. Additionally, some of the shares will need to be liquidated to pay the tax liability associated with the sale and distribution of the shares. It is therefore possible that some investors will not receive any shares following an IPO because the assessment under the Plan exceeds the remaining value of the particular company’s publicly traded share held by the estate, but this is unknown at this time and is dependent on the market value of the shares at the time of liquidation and distribution. Shares that remain pre-IPO at this time will not yet be distributed as the Plan requires that the shares first have an IPO or liquidity event prior to distribution. If the investor has purchased interests in shares that no longer have value because the investment company has failed and will not have a liquidity event such as an IPO, the investor will receive nothing for those shares.

A final distribution schedule for each investment company will be filed with the Court and approved before any distributions are made, which will not occur until a Distribution Plan has been approved and shares are ripe for distribution under the terms of the Plan. Investors are encouraged to review the terms of the Plan and to consult the schedules of Allowed Claims attached to the Plan to evaluate the treatment of their particular claim.

February 27, 2020

The Receiver filed a Motion for Final Approval of the Distribution Plan, which is set for hearing on April 7, 2020. Any opposition or response to the Motion must be filed no later than March 16, 2020. One of the provisions of the Plan provides for the formation of an Investor Advisory Committee (“IAC”) to consult with the Receiver regarding the liquidation of securities in connection with the Plan

implementation. If you are interested in serving on the IAC, please submit an application to the Receiver by March 9, 2020 by email to kphelps@diamondmccarthy.com or regular mail to Kathy Bazoian Phelps, Diamond McCarthy, 1999 Avenue of the Stars, Ste 1100, Los Angeles, CA 90067. The IAC application must include: (1) the investor name; (2) mailing address; (3) email address; (4) phone number; and (5) brief statement of qualifications to serve on the IAC. Submission of an application to serve on the IAC is not a guarantee of a position to serve on the IAC.

February 7, 2020

A hearing was held on January 30, 2020 regarding the Receiver's Motion for Instructions on the tax and plan issues. The Court authorized the Receiver to amend prior tax returns and to file qualified settlement fund tax returns. The Court also preliminarily approved the Receiver's form of distribution plan that was attached to her Supplement as Exhibit "1." The Receiver shall meet and confer with counsel for the SRA Fund Investor Group, the SEC and Progresso Ventures on certain revisions to the Plan discussed at the hearing and shall then file a motion for final approval of the distribution plan. The Receiver shall serve notice of the motion for final approval on all claimants.

January 27, 2020

The Receiver has filed her Interim Status Report for Fourth Quarter 2019.

December 26, 2019

The hearing on the Receiver's Motion for Instructions has been continued to January 30, 2020 at 1:30 p.m. The Administrative Motion filed by the SRA Funds Investor Group was denied by the Court.

December 19, 2019

The Court continued the Receiver's Motion for Instructions from December 19, 2019 to January 16, 2020 at 1:30 p.m. The Receiver has filed a Supplement setting for the legal analysis of tax and securities issues relating to the distribution issues in the case, which will be heard and considered by the Court on January 16, 2020. The Investor Group filed an Administrative Motion seeking turnover of reports relating to the tax and securities issues, and the Receiver has filed an opposition to that motion.

October 9, 2019

The Court granted the Receiver's Motion to employ tax and securities professionals and continued the hearing on the Motion for Instructions regarding the tax opinion to December 19, 2019 at 1:30 p.m. The Court's Minute Order from the October 8, 2019 hearing is located [here](#).

October 8, 2019

The hearing on the Receiver's Motion to (1) Employ Miller Kaplan as Tax Advisor; (2) Employ Schinner & Shain as LLP as Securities Counsel; and (3) for Instructions has been rescheduled for October 8, 2019 at 1:30 p.m.

The Court has also rescheduled the case management conference for October 8, 2019 at 1:30 p.m.

The Receiver has filed her Interim Status Report for Third Quarter 2019.

August 29, 2019

A hearing was held on June 27, 2019 in connection with the proposed Distribution Plan. At the hearing, modifications were suggested to the plan, and the parties were asked to meet and confer regarding the proposed modifications. The Receiver was instructed to obtain an opinion regarding the tax consequences of the proposed plan. The Receiver has filed a motion to employ a tax advisor and securities counsel and for instructions regarding the tax opinion, which motion is set for hearing on October 10, 2019.

Following the sharing of that opinion with the SRA Investor Group, Progresso and other interested parties, the Receiver shall file a revised Plan of Distribution with the Court.

A further case management conference is set for October 10, 2019 at 10:30 a.m.

July 1, 2019

A hearing was held on June 27, 2019 in connection with the proposed distribution plan. At the hearing, modifications were suggested to the plan, and the parties were asked to meet and confer regarding the proposed modifications. The Receiver was instructed to obtain an opinion regarding the tax consequences of the proposed plan by August 9, 2019, if possible. Following the sharing of that opinion with the SRA Investor Group, Progresso and other interested parties, the Receiver shall file a revised Plan of Distribution with the Court. The Court's order is reflected in the Court's Civil Minutes.

On June 27, 2019, the Court also approved the Receiver's Motion to Disallow Claims and the Stipulation with Progresso Ventures LLC regarding its claim.

A further case management conference is set for October 17, 2019 at 10:30 a.m.

Court Filings

Please click on the following links to view copies of:

[The Receiver's Reports](#)

[Court-Filed Documents](#)

[Receiver's Proposed Plan of Distribution](#)

[About the Receiver](#)

Kathy Bazoian Phelps, Senior Counsel

(310) 651-2997

kphelps@diamondmccarthy.com

Kathy Bazoian Phelps is lawyer at Diamond McCarthy LLP, a board director on three non-profit boards, and an author. She has been practicing law since 1991, with experience in bankruptcy and receivership law, fiduciary representation, and fraud litigation. She is particularly knowledgeable about fraud detection and the administration of Ponzi scheme cases in bankruptcies and receiverships. She has served as a fiduciary in bankruptcy cases and represents receivers in federal regulatory as well as state court receivership cases.

Kathy is a frequently requested speaker on topics ranging from bankruptcy, financial compliance, fraud detection, Ponzi schemes, and handling disruptive personalities in corporations. She applies her knowledge across a wide variety of industries ranging from financial institutions to real estate-related businesses.

Kathy's publications include the following:

- *The Ponzi Book: A Legal Resource for Unraveling Ponzi Schemes*. co-authored with Hon. Steven Rhodes (Ret.) (LexisNexis® 2012)
- *Fraud and Forensics: Piercing Through the Deception in a Commercial Fraud Case*, co-author (American Bankruptcy Institute 2015)
- *Ponzi-Proof Your Investments: An Investor's Guide to Avoiding Ponzi Schemes and Other Fraudulent Scams* (IRR Publishing 2013)
- *The Depths of Deepening Insolvency: Damage Exposure For Officers, Directors and Others*, co-authored with Prof. Jack F. Williams (American Bankruptcy Institute 2013)
- Author of *The Ponzi Scheme Blog* at www.theponziscHEMEblog.com

In addition to her roles as lawyer, speaker and author, Kathy also serves as a mediator and is currently on the mediation and arbitration rosters for the Financial Industry Regulatory Authority, as well as the Bankruptcy Mediation Panel for the Central District of California and the Bankruptcy Mediation Panel for the District of Arizona.

For Kathy's full bio, please [click here](#).

FAQ

Q. When will I get my Palantir shares?

A. We expect to make the first interim distribution of Palantir shares in the first half of 2021. As part of Palantir's process of going public, we and many shareholders executed a Lockup Agreement with Palantir to ensure that 20% of the Receivership's holdings would be freely tradeable when Palantir started trading. The other 80% of the receivership's holdings will be freely tradeable and may be distributed a few days after Palantir issues its FY2020 annual financial results.

We expect those results to be in the first quarter of 2021, but we don't have the exact date and can't guarantee exactly when it will be. Once those results are out and the court approves our motion to make the distribution, we will work to get you your shares as fast we can.

We will make a separate motion with the Court when it is time to make this distribution. A copy of that motion will be sent to you at the email address we have on file.

Q. What do you need from me to send my Palantir shares?

A. We need your brokerage account information, and then our bankers can process the transfer using the Depository Trust Company (DTC) clearing system. That means we need your account name, account number, brokerage name, and brokerage DTC number. That last number is like a routing number for brokerage accounts, and is likely available on your brokerage's website or can be obtained directly from your broker.

You can email that information to us, it's secure! If you feel the need to add some extra security, you can send the information in a password-protected PDF or using a secure email program.

Q. Did you sell any Palantir shares? What for?

A. Yes. As part of Palantir's process of going public, we and many shareholders executed a Lockup Agreement with Palantir to ensure that 20% of the Receivership's holdings would be freely tradeable when Palantir started trading. The Receiver sold 966,995 shares, which was most of that 20%, which netted \$9,854,110 after commissions. Of that, \$88,598 was reserved for taxes in connection with the sale of the Palantir shares, and the remaining funds have been placed in the Plan Fund account, as required by the Distribution Plan that the Court approved in this case.

There are 4,773,254 shares of Palantir remaining. When the restrictions are lifted, the Receiver will file a motion regarding her proposed interim distribution of Palantir shares which will also identify any shares that may need to be sold to pay for any taxes owed by the receivership as a result of the distribution and any shares to be held back as an administrative reserve pending final tax clearance.

WE DO NOT KNOW THE EXACT AMOUNT of shares that will be distributed to you at this time but we will do our best to approximate that number when we file our motion to make the interim Palantir distribution in early 2021. That motion will be posted on the website at www.diamondmccarthy.com/bankruptcy/saddle-river/ and sent to the email address(es) we have on file for you.

Q. Why did you place \$9.76 million of the Palantir sales proceeds in the Plan Fund? Is that your fee?

A. *THAT IS NOT OUR FEE.* The SRA funds were placed into federal receivership by the Securities Exchange Commission, and there are a number of claimants that have a valid claim against the receivership. Some claims are for shares (Class 4 investor claims), and some are for cash (Class 3 unsecured creditor claims and Class 5 subordinated claims). As you can see on our website, the total Class 3 unsecured creditor claims total nearly \$10 million.

The Plan Fund is primarily to be used to pay those Class 3 claims, as well as administrative expenses and subordinated claims. So while administrative fees are to be paid from the Plan Fund, most of the Plan Fund is used to pay creditor claims. Any administrative fees that will be paid are subject to approval of the Court.

Moreover, if you have a Class 4 claim, but the value of the shares you received was less than your allowed claim amount, then the remainder (or “deficiency”) will become a Class 5 subordinated claim. Those claims will be evaluated at the end of the receivership, and the Receiver will make a distribution on them if there are sufficient assets in the estate, subject to further Court approval.

Q. I’m a Class 3 Claimant. When and how do I get paid?

A. As a result of the Palantir sale, the receivership now has enough cash for the Receiver to make an interim distribution to Class 3 claimants. To ensure that the receivership retains sufficient cash to satisfy all its obligations, the Receiver will request court authority to retain an administrative reserve. The Receiver intends to file a motion with the Court asking for permission to distribute a portion of the cash on hand to Class 3 unsecured creditor claimants on an interim basis.

The Receiver is requesting that Class 3 Claimants make an election to receive their distribution by wire or otherwise provide their current mailing address to the Receiver if they wish to receive a check. If the Receiver does not hear from a claimant, the Receiver will mail a check to the claimant’s last known address on file following Court approval of the interim distribution.

Q. I’m a Class 4 Claimant. Don’t I own these shares? That’s what I thought when I invested.

A. When the SRA entities were placed into receivership by the Securities Exchange Commission, all of the shares in the entities became part of the receivership, which is treated as a Qualified Settlement Fund. When you filled out a claim form, you asserted a claim against the receivership, as did many other claimants.

The Receiver worked with the SEC and the investor group to come up with a Distribution Plan for how to handle all those claims. Some claimants will get back cash, and some will get back shares, as stated in the Distribution Plan. But until that distribution is made, the shares are owned by the receivership, not each claimant. And as this is a receivership with many claimants and limited assets, you should NOT expect to receive 100% of the shares in which you thought you invested. Nevertheless, the Receiver, her staff, her advisors, and the SEC are all working very hard to ensure that all claimants receive a fair distribution as quickly as possible.

Q. What about the rest of the publicly traded shares?

A. In July and August 2020, the Receiver distributed to claimants most of eight publicly traded securities – Bloom Energy, Cloudera, Dropbox, Lyft, MongoDB, Pinterest, Snapchat, and Uber. The Receiver also sold enough shares in each of those companies to fund the Plan Fund – around \$2.5 million as stated in the Distribution Plan – and to reserve for taxes. With few exceptions, you should have received the first interim distribution of those shares.

The Receiver also held back a percentage of the shares in an administrative reserve, in order to ensure that she has sufficient assets to satisfy the tax liabilities of the receivership in case they turn out to be higher than expected. If those assets are needed to satisfy increased tax liabilities, they will be used as such. Once the final tax liabilities of the Receivership are settled, if there are assets

remaining in the receivership, the Receiver will be in a position to distribute those assets to claimants, subject to the all of the receivership's obligations.

Q. Why do some accounts need special handling?

A. Our bankers use the DTC system, which works great and fast for most US-based brokerages. But for transfers to international accounts at institutions that use correspondent accounts, it gets a little more complicated. In those situations, the financial institution with the DTC number accepts the shares and then sends them to the international institution, which then deposits them with the claimant. To handle that, our bankers generally need to coordinate with the receiving institution in advance to make sure that the transfer is complete. That means we'll need an email address of either a private banker or the settlements department at the receiving institution so our bankers can coordinate. Please note that our bankers still must use the DTC system to make the transfer, and cannot use SWIFT.

Other situations can require special handling as well. For example, if you are asking that we distribute to a retirement account because you invested through a retirement account, we will need some additional documentation to make that distribution. Or, if your account is a trust that requires additional instructions to send to the receiving institution, that can take extra time.

Q. How can I avoid the delays caused by special handling?

A. Unfortunately, there is not much we can do if you have an account that requires special handling. Our goal is to accommodate every type of account that we can reasonably. That said, we can typically distribute to discount online brokerages very quickly. Any claimant is free to open an account at one of those for the distribution, and where the shares go after that is up to the claimant.

Q. I thought my investment was tax-free. Why are you holding back for taxes?

A. When the receivership was created, by operation of federal law the receivership assets became part of a Qualified Settlement Fund, or QSF. A QSF is a taxable entity that has tax obligations independent of the original SRA funds, and independent of any of your individual tax obligations. The Receiver has engaged professional tax counsel and accountants to assess the tax obligations of the QSF.

The sale of securities for a gain and the distribution of securities at a gain are both taxable events under the federal tax laws. That means the receivership needs to sell sufficient shares in order to reserve for those tax liabilities. Moreover, the receivership's tax liabilities are based on the tax bases of the underlying shares, and the Receiver engaged a valuation expert to ascertain the correct valuations. But due to the judgment and subjectivity that is necessarily part of that valuation exercise, the Receiver must reserve sufficient assets in case the tax liabilities turn out to be higher than expected.

As a federal receivership supervised by a federal district court, there is no question that the QSF must pay all federal taxes and cannot have a tax deficiency. The Receiver is therefore obligated to take a conservative approach to reserving for taxes. Once the tax status and liabilities of the receivership are resolved, the Receiver will be able to distribute any assets that were reserved but were not needed to satisfy the receivership's tax or other obligations.

Q. How does the distribution affect my tax liability?

A. The Receiver cannot provide any legal or tax advice to claimants. The tax consequences discussed above are the taxes that the receivership owes based on federal and state tax laws. Your individual tax consequences are going to be based on the nature and circumstances of your investment, and you are going to have to determine those on your own or in consultation with your advisors. Neither the Receiver nor her counsel is permitted to give tax advice to individual claimants.

What is a Receiver?

A Receiver is an individual appointed by the United States District Court to act as a neutral party responsible for administering the assets of the receivership entities and to distribute them to the investors and creditors. The Court provides instructions concerning

the Receiver's various responsibilities, duties and obligations. The Order Appointing Receiver sets forth the Receiver's duties in this case. The Receiver makes periodic reports to the Court. The Receiver will distribute the recovered assets to investors and creditors in accordance with an order from the Court.

Who does the Receiver work for?

The Receiver is an agent of the Court and therefore works for the appointing judge. The beneficiaries of the Receiver's work are the investors and creditors.

Can I write off my investment loss?

The Receiver cannot give tax or other legal advice. Please consult with your accountant or tax advisor and seek their advice.

Do you have an estimate of what percent of our original investment may be returned to us in the form of a distribution?

It is too early to make such an estimate. The Receiver cannot disburse funds or securities to creditors and investors until there has been a "Liquidity Event," as defined by the operating agreements for the SRA Funds and until a Distribution Plan has been approved. The ultimate value of the shares, and whether there is a shortfall or surplus of shares, is unknown at this time. Additionally, the amount of administrative or other priority tax claims is presently unknown, which may impact distribution amounts.

Can an Investor's position be liquidated at this time?

The Receiver will hold all shares in each series until a Liquidity Event occurs. The Receiver will dispose of the shares pursuant to the Distribution Plan that is approved by the Court.

Can I still file a claim?

A claims bar date was ordered by the Court, which was January 31, 2018. The Court has ordered that the Claims Bar Date may be reopened for the limited purpose of serving individuals and entities who may not have previously received notice. If you did not receive notice of the Claims Bar Date, please feel free to submit a claim with an explanation of why it is being submitted late, and the claim will be evaluated by the Receiver. Submission of a late claim is not a guarantee that such claim will ultimately be allowed. The Court has established **May 14, 2019** as a firm claims bar date after which claims which have not been filed will be disallowed in their entirety.

Is my Broker Dealer, responsible for my losses, and, if so, what will the Receiver do?

Investors will need to consult with their own attorney to ascertain their rights to pursue personal claims against brokers.

Is the Receiver under any time constraints by the Court and the SEC?

The Receiver shall file status reports with the Court every 120 days, which will reflect any upcoming established hearings or deadlines. Otherwise, at this time, there are no specific time frames specified by the Court. In addition, investors are advised that the receivership is part of Securities and Exchange Commission lawsuit enforcement litigation. Litigation by its very nature takes time. Notwithstanding the foregoing, the Receiver intends to move as quickly as possible, given the circumstances, but respectfully requests investors to be patient.

How do I contact the Receiver?

All parties are encouraged to search the site first, before attempting to contact the Receiver directly, which will keep costs down and limit the administrative burden to the estate. If direct contact is necessary, the Receiver can be contacted at:

Kathy Bazoian Phelps, Receiver

Diamond McCarthy LLP

1999 Avenue of the Stars, Suite 1100

Los Angeles, CA 90067

(310) 651-2997

kphelps@diamondmccarthy.com

The website will also be updated to reflect significant receivership events.

[Filings / Court Documents](#)

Receiver Reports:

Receiver's Interim Status Report For Third Quarter 2020

Receiver's Interim Status Report Through Second Quarter 2020

Receiver's Interim Status Report For Fourth Quarter 2019

Receiver's Interim Status Report For Third Quarter 2019

Court Documents:

Order Approving Seventh Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver, Diamond McCarthy LLP, Miller Kaplan Arase LLP And Schinner & Shain LLP From July 1, 2020 Through September 30, 2020 (*Filed November 10, 2020, DOC 633*)

Seventh Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver, Diamond McCarthy LLP, Miller Kaplan Arase LLP And Schinner & Shain LLP From July 1, 2020 Through September 30, 2020 (*Filed November 10, 2020, DOC 632*)

- Declaration Of Kathy Bazoian Phelps In Support Of Seventh Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver, Diamond McCarthy LLP, Miller Kaplan Arase LLP And Schinner & Shain LLP From July 1, 2020 Through September 30, 2020 (*Filed November 10, 2020, DOC 632-1*)
- Declaration Of Christopher Sullivan In Support Seventh Of Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver, Diamond McCarthy LLP, Miller Kaplan Arase LLP And Schinner & Shain LLP From July 1, 2020 Through September 30, 2020 (*Filed November 10, 2020, DOC 632-2*)
- Declaration Of Julia Damasco In Support Of Seventh Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver, Diamond McCarthy LLP, Miller Kaplan Arase LLP And Schinner & Shain LLP From July 1, 2020 Through September 30, 2020 (*Filed November 10, 2020, DOC 632-3*)
- Declaration Of Frederick Koenen In Support Of Seventh Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver, Diamond McCarthy LLP, Miller Kaplan Arase LLP And Schinner & Shain LLP From July 1, 2020 Through September 30, 2020 (*Filed November 10, 2020, DOC 632-4*)
- [Proposed] Order Approving Seventh Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver, Diamond McCarthy LLP, Miller Kaplan Arase LLP And Schinner & Shain LLP From July 1, 2020 Through September 30, 2020 (*Filed November 10, 2020, DOC 632-5*)

Order Granting Motion By Receiver Kathy Bazoian Phelps To Make Interim Distribution To Class 3 Claimants (*Filed November 9, 2020, DOC 631*)

Notice Of Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order To Make Interim Distribution To Class 3 Claimants (*Filed November 2, 2020, DOC 630*)

Administrative Motion By Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order To Make Interim Distribution To Class 3 Claimants (*Filed November 2, 2020, DOC 629*)

- Declaration Of Kathy Bazoian Phelps In Support Of Administrative Motion By Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order To Make Interim Distribution To Class 3 Claimants (*Filed November 2, 2020, DOC 629-1*)

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- [Proposed] Order Granting Motion By Receiver Kathy Bazoian Phelps To Make Interim Distribution To Class 3 Claimants (*Filed November 2, 2020, DOC 629-2*)

Order Granting Motion By Receiver Kathy Bazoian Phelps For Modification Of The Distribution Plan With Respect To Claimant The ELIV Group, LLC (*Filed September 11, 2020, DOC 627*)

Order Granting Motion By Receiver Kathy Bazoian Phelps Authorization To Execute Lock-Up Agreement And To Sell Securities Pursuant To Distribution Plan (*Filed September 9, 2020, DOC 626*)

Notice Of Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Modifying The Distribution Plan With Respect To Claimant The ELIV Group, LLC (*Filed September 9, 2020, DOC 625*)

Administrative Motion By Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Modifying The Distribution Plan With Respect To Claimant The ELIV Group, LLC (*Filed September 9, 2020, DOC 624*)

- Declaration Of Kathy Bazoian Phelps In Support Of Administrative Motion By Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Modifying The Distribution Plan With Respect To Claimant The ELIV Group, LLC (*Filed September 9, 2020, DOC 624-1*)
- Declaration Of Mary Langan In Support Of Administrative Motion By Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Modifying The Distribution Plan With Respect To Claimant The ELIV Group, LLC (*Filed September 9, 2020, DOC 624-2*)
- [Proposed] Order Granting Motion By Kathy Bazoian Phelps For Modification Of The Distribution Plan With Respect To Claimant The ELIV Group, LLC (*Filed September 9, 2020, DOC 624-3*)

Notice Of Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Authorizing Execution Of Lock-Up Agreement And Approving Sale Of Securites Pursuant To Distribution Plan (*Filed September 4, 2020, DOC 623*)

Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Authorizing Execution Of Lock-Up Agreement And Approving Sale Of Securites Pursuant To Distribution Plan (*Filed September 4, 2020, DOC 622*)

- Declaration Of Kathy Bazoian Phelps In Support Of Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Authorizing Execution Of Lock-Up Agreement And Approving Sale Of Securites Pursuant To Distribution Plan (*Filed September 4, 2020, DOC 622-1*)
- [Proposed] Order Granting Motion By Receiver Kathy Bazoian Phelps Authorization To Execute Lock-Up Agreement And To Sell Securites Pursuant To Distribution Plan (*Filed September 4, 2020, DOC 622-2*)

Order Approving Sixth Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver, Diamond McCarthy LLP, Miller Kaplan Arase LLP And Schinner & Shain Through June 30, 2020. (*Filed September 9, 2020, DOC 621*)

Order Granting Motion By Receiver Kathy Bazoian Phelps For Approval Of Sale And Distribution Of Publicly Traded Securities Pursuant To Distribution Plan (*Filed July 20, 2020, DOC 619*)

Notice Of Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Sale And Distribution Of Publicly Traded Securities Pursuant To Distribution Plan (*Filed July 13, 2020, DOC 618*)

Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Rule 7-11 For Order Approving Sale And Distribution Of Publicly Traded Securities Pursuant To Distribution Plan (*Filed July 13, 2020, DOC 617*)

Declaration Of Kathy Bazoian Phelps In Support Of Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Rule 7-11 For Order Approving Sale And Distribution Of Publicly Traded Securities Pursuant To Distribution Plan (*Filed July 13, 2020, DOC 617-1*)

[Proposed] Order Granting Motion By Receiver Kathy Bazoian Phelps For Approval Of Sale And Distribution Of Publicly Traded Securities Pursuant To Distribution Plan (*Filed July 13, 2020, DOC 617-2*)

Order Approving Fifth Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver, Diamond McCarthy LLP, Miller Kaplan Arase LLP, And Schinner & Shain LLP From January 1, 2020 Through March 30, 2020. *(Filed June 23, 2020, DOC 615)*

Fifth Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver, Diamond McCarthy LLP, And Schinner & Shain LLP From January 1, 2020 Through March 30, 2020. *(Filed June 17, 2020, DOC 614)*

Declaration Of Kathy Bazoian Phelps In Support Of Fifth Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver, Diamond McCarthy LLP, And Schinner & Shain LLP From January 1, 2020 Through March 30, 2020. *(Filed June 17, 2020, DOC 614-1)*

Declaration Of Christopher D. Sullivan In Support Of Fifth Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver, Diamond McCarthy LLP, And Schinner & Shain LLP From January 1, 2020 Through March 30, 2020. *(Filed June 17, 2020, DOC 614-2)*

Declaration Of Frederick Koenen In Support Of Fifth Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver, Diamond McCarthy LLP, And Schinner & Shain LLP From January 1, 2020 Through March 30, 2020. *(Filed June 17, 2020, DOC 614-3)*

[Proposed] Order Approving Fifth Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver, Diamond McCarthy LLP, And Schinner & Shain LLP From January 1, 2020 Through March 30, 2020. *(Filed June 17, 2020, DOC 614-4)*

Amended Order Re Motions: (1) For Final Approval Of Receiver's Plan Of Distribution And For Order Approving Form And Manner Of Notice [DKT NO 570]; (2) To Disallow Purported Guarantee Claims [DKT NO 575]; (3) For Instructions Re Investor Advisory Committee [DKT NO 583] *(Filed May 25, 2020, DOC 613)*

[Proposed] Amended Order Re Motions: (1) For Final Approval Of Receiver's Plan Of Distribution And For Order Approving Form And Manner Of Notice [DKT NO 570]; (2) To Disallow Purported Guarantee Claims [DKT NO 575]; (3) For Instructions Re Investor Advisory Committee [DKT NO 583] *(Filed May 22, 2020, DOC 612)*

Declaration of Kathy Bazoian Phelps Re [Proposed] Amended Order Re Motions: (1) For Final Approval Of Receiver's Plan Of Distribution And For Order Approving Form And Manner Of Notice [DKT NO 570]; (2) To Disallow Purported Guarantee Claims [DKT NO 575]; (3) For Instructions Re Investor Advisory Committee [DKT NO 583] *(Filed May 22, 2020, DOC 612-1)*

Civil Minutes for proceedings held by Zoom webinar on May 13, 2020 *(Filed May 13, 2020, DOC 608)*

Notice of Zoom Dial-in Information *(Filed May 7, 2020, DOC 606)*

Saddle River Profit Opportunity LLC's Opposition To Receiver's Plan Of Distribution And Reservation Of Rights *(Filed May 7, 2020, DOC 607)*

Notice Of Zoom Webinar Hearing On Motions Related To Final Approval Of Receiver's Distribution Plan (DOC. NOS. 570, 572, 575, 583) *(Filed April 27, 2020, DOC 603)*

Plaintiff Securities And Exchange Commission's Reply In Support Of It's Objection To Joshua Cilano's Appointment To Investor Advisory Committee *(Filed April 9, 2020, DOC 601)*

The SRA Funds Investor Group And Claimant Joshua Cilano's Joint Response To The SEC's Objection To Mr. Cilano's Appointment To The Investor Advisory Committee *(Filed April 2, 2020, DOC 600)*

Plaintiff Securities And Exchange Commission's Reply In Support Of It's Objections To Claims By Michele Mazzola And Joshua Cilano For Management Fees *(Filed April 2, 2020, DOC 599)*

Receiver's Reply To Opposition Of Joshua Cilano To Plaintiff Securities And Exchange Commission's Objections To Receivership Claims By Michele Mazzola And Joshua Cilano For Management Fees *(Filed April 1, 2020, DOC 598)*

Declaration Of Kathy Bazoian Phelps In Support Of Receiver's Reply To Opposition Of Joshua Cilano To Plaintiff Securities And Exchange Commission's Objections To Receivership Claims By Michele Mazzola And Joshua Cilano For Management Fees *(Filed April 1, 2020, DOC 598-1)*

Receiver's Omnibus Reply To Oppositions To Motion For: (1) Final Approval Of Receiver's Plan Of Distribution; And (2) For Order Approving Form And Manner Of Notice; *(Filed March 26, 2020, DOC 594)*

Declaration Of Kathy Bazoian Phelps In Support Receiver's Omnibus Reply To Oppositions To Motion For (1) Final Approval Of Receiver's Plan Of Distribution; And (2) For Order Approving Form And Manner Of Notice *(Filed March 26, 2020, DOC 594-1)*

Stipulation And Order To Extend Deadlines For Filing Reply Papers In Support Of Objection To Management Fee Claims (ECF 572) And In Response To Motion For Instructions On Investor Advisory Committee (ECF 583) *(Filed March 26, 2020, DOC 593)*

Declaration Of Joshua Cilano In Response To Plaintiff Securities And Exchange Commission's Objections To Receivership Claims By Joshua Cilano *(Filed March 24, 2020, DOC 591-1)*

Opposition Of Joshua Cilano To Plaintiff Securities And Exchange Commission's Objection To The Creditor Claim Of Joshua Cilano *(Filed March, 23, 2020, DOC 590)*

Progresso's Notice Of Joinder In Plaintiff Securities And Exchange Commission's Objections To Receivership Claims By Michele Mazzola And Joshua Cilano For Management Fees *(Filed March 20, 2020, DOC 589)*

Plaintiff Securities And Exchange Commission's Objection To Joshua Cilano's Appointment To Investor Advisory Committee *(Filed March 18, 2020, DOC 587)*

Stipulation And Order As Modified Modifying Briefing And Hearing Schedule On Plaintiff Sec's Objection To Joshua Cilano's Receivership Claim *(Filed March 18, 2020, DOC 586)*

Stipulation And [Proposed] Order Modifying Briefing And Hearing Schedule On Plaintiff Sec's Objection To Joshua Cilano's Receivership Claim *(Filed March 16, 2020, DOC 585)*

Notice Of Motion And Motion By Receiver Kathy Bazoian Phelps For Instructions Regarding Investors Advisory Committee; Memorandum Of Points And Authorities *(Filed March 13, 2020, DOC 583)*

Declaration Of Kathy Bazoian Phelps In Support Of Receiver's Motion For Instructions Regarding Investor Advisory Committee *(Filed March 13, 2020, DOC 583-1)*

[Proposed] Order Granting Motion By Receiver Kathy Bazoian Phelps For Instructions Regarding Investor Advisory Committee *(Filed March 13, 2020, DOC 583-2)*

Securities And Exchange Commission Opposition to Plan *(Filed March 11, 2020, DOC 582)*

Saddle River Profit Opportunity Investor Letter Objection To Plan *(Filed March 11, 2020, DOC 580)*

Receiver's Notice Of Joinder In Plaintiff Securities And Exchange Commission's Objections To Receivership Claims By Michele Mazzola And Joshua Cilano For Management Fees *(Filed March 12, 2020, DOC 579)*

Order Granting Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Settlement With Trustee Of John Bivona Bankruptcy Estate And The Eliv Group *(Filed March 9, 2020, DOC 578)*

Order Granting Administration Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Employment Of: (1) Oxis Capital, Inc. As Valuation Professional; And (2) Miller Kaplan As Tax Preparer *(Filed March 9, 2020, DOC 577)*

Receiver's Notice Of Motion And Motion To Disallow Purported Guarantee Claims; Memorandum Of Points And Authorities (*Filed March 6, 2020, DOC 575*)

Declaration Of Kathy Bazoian Phelps In Support Of Receiver's Motion To Disallow Purported Guarantee Claims (*Filed March 6, 2020, DOC 575-1*)

(Proposed) Order Granting Receiver's Motion To Disallow Purported Guarantee Claims (*Filed March 6, 2020, DOC 575-2*)

Proof Of Service (*Filed March 6, 2020, DOC 575-3*)

Plaintiff Securities And Exchange Commission's Objections To Receivership Claims By Michele Mazzola And Joshua Cilano For Management Fees (*Filed February 28, 2020, DOC 572*)

Attachment Exhibit 1 (*Filed February 28, 2020, DOC 572-1*)

Attachment Exhibit 2 (*Filed February 28, 2020, DOC 572-2*)

Certificate Of Service (*Filed February 28, 2020, DOC 572-3*)

Notice Of Hearing On Motion For: (1) Final Approval Of Receiver's Plan Of Distribution; And (2) For Order Approving Form And Manner Of Notice; And Notice Of Opportunity To Serve On Investment Advisory Committee (*Filed February 27, 2020, DOC 571*)

Notice Of Motion And Motion For: (1) Final Approval Of Receiver's Plan Of Distribution; And (2) For Order Approving Form And Manner Of Notice; And Notice Of Opportunity To Serve On Investment Advisory Committee (*Filed February 27, 2020, DOC 570*)

Declaration Of Kathy Bazoian Phelps In Support Of Motion For: (1) Final Approval Of Receiver's Plan Of Distribution; And (2) For Order Approving Form And Manner Of Notice; And Notice Of Opportunity To Serve On Investment Advisory Committee (*Filed February 27, 2020, DOC 570-1*)

[Proposed] Order Granting Motion For: (1) Final Approval Of Receiver's Plan Of Distribution; And (2) For Order Approving Form And Manner Of Notice; (*Filed February 27, 2020, DOC 570-2*)

Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Settlement With Trustee Of John Bivona Bankruptcy Estate And The Eliv Group (*Filed February 25, 2020, DOC 569*)

Declaration Of Kathy Bazoian Phelps In Support Of Administrative Motion Pursuant To Local Civil Rule 7-11 For Order Approving Settlement With Trustee Of John Bivona Bankruptcy Estate And The Eliv Group (*Filed February 25, 2020, DOC 569-1*)

[Proposed] Order Granting Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Settlement With Trustee Of John Bivona Bankruptcy Estate And The Eliv Group (*Filed February 25, 2020, DOC 569-2*)

Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Employment Of: (1) Oxis Capital, Inc. As Valuation Professional; (2) Miller Kaplan Arase, LLC As Tax Preparer (*Filed February 25, 2020, DOC 568*)

Declaration Of Kathy Bazoian Phelps In Support In Support Of Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Rule 7-11 For Order Approving Employment Of: (1) Oxis Capital, Inc. As Valuation Professional; And (2) Miller Kaplan Arase LLC As Tax Preparer (*Filed February 25, 2020, DOC 568-1*)

[Proposed] Order Granting Administration Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Employment Of: (1) Oxis Capital, Inc. As Valuation Professional; And (2) Miller Kaplan As Tax Preparer (*Filed February 25, 2020, DOC 568-2*)

Order Approving Fourth Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From October 1, 2019 Through December 31, 2019; For The Approval Of Fees For Miller Kaplan Arase LLP From August 2019 Through December 31, 2019; And For The Approval Of Fees For Schinner & Shain Through December 31, 2019 (*Filed February 19, 2020, DOC 567*)

Stipulation And Order As Modified (1) Setting Briefing And Hearing Schedule On Receiver's Motion For Final Approval Of Distribution Plan And Related Claims Objections; And (2) Approving Procedures Re Selection Of Investment Advisory Committee (*Filed February 19, 2020, DOC 566*)

Stipulation And [Proposed] Order (1) Setting Briefing And Hearing Schedule On Receiver's Motion For Final Approval Of Distribution Plan And Related Claims Objections; And (2) Approving Procedures Re Selection Of Investment Advisory Committee (*Filed February 18, 2020, DOC 565*)

Fourth Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From October 1, 2019 Through December 31, 2019; For The Approval Of Fees For Miller Kaplan Arase LLP From August 2019 Through December 31, 2019; And For The Approval Of Fees For Schinner & Shain Through December 31, 2019 (*Filed February 14, 2020, DOC 564*)

Declaration Of Kathy Bazoian Phelps In Support Of Fourth Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From October 1, 2019 Through December 31, 2019; For The Approval Of Fees For Miller Kaplan Arase LLP From August 2019 Through December 31, 2019; And For The Approval Of Fees For Schinner & Shain LLP Through December 31, 2019 (*Filed February 14, 2019, DOC 564-1*)

Declaration Of Christopher Sullivan In Support Of Fourth Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From October 1, 2019 Through December 31, 2019; For The Approval Of Fees For Miller Kaplan Arase LLP From August 2019 Through December 31, 2019; And For The Approval Of Fees For Schinner & Shain LLP Through December 31, 2019 (*Filed February 14, 2019, DOC 564-9*)

Declaration Of Julia Damasco In Support Of Fourth Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From October 1, 2019 Through December 31, 2019; For The Approval Of Fees For Miller Kaplan Arase LLP From August 2019 Through December 31, 2019; And For The Approval Of Fees For Schinner & Shain LLP Through December 31, 2019 (*Filed February 14, 2019, DOC 564-13*)

Declaration Of Frederick Koenen In Support Of Fourth Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From October 1, 2019 Through December 31, 2019; For The Approval Of Fees For Miller Kaplan Arase LLP From August 2019 Through December 31, 2019; And For The Approval Of Fees For Schinner & Shain LLP Through December 31, 2019 (*Filed February 14, 2019, DOC 564-15*)

Order Re Motion By Receiver Kathy Bazoian Phelps For Instructions Re Tax Matters Re Distribution Plan (*Filed February 7, 2020, DOC 562*)

Receiver's Interim Status Report For Fourth Quarter 2019 (*Filed January 24, 2020, DOC 557*)

Receiver's Reply To The SRA Funds Investor Group's Response To The Receiver's Supplement To Motion For Instructions Re Tax Matters Re Distribution Plan (*Filed January 21, 2020, DOC 553*)

Plaintiff Securities And Exchange Commission's Reply To SRA Investor Group Opposition Regarding Receiver's Tax Opinions And Request For Instructions (*Filed January 21, 2020, DOC 551*)

Order Granting Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Settlement With Equity Acquisition Company LTD (*Filed January 15, 2020, DOC 550*)

The SRA Funds Investor Group's Response To The Receiver's Supplemental Filing Re Proposed Distribution Plan (EFC. No. 538) (*Filed January 13, 2020, DOC 549*)

Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Settlement With Equity Acquisition Company Ltd. (*Filed January 9, 2020, DOC 547*)

Declaration of Kathy Bazoian Phelps In Support Of Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Settlement With Equity Acquisition Company Ltd. (*Filed January 9, 2020, DOC 547-1*)

Exhibit 1 – Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Settlement With Equity Acquisition Company Ltd. (*Filed January 9, 2020, DOC 547-2*)

Order Denying Administrative Motion By SRA Funds Investor Group (*Filed December 24, 2019, DOC 543*)

Plaintiff Securities And Exchange Commission’s Opposition To SRA Investor Group’s Administrative Motion (*Filed December 20, 2019, DOC 541*)

Receiver’s Opposition To SRA Funds Investor Group’s Administrative Motion Re Receiver’s Motion To Employ Tax And Securities Counsel (*Filed December 20, 2019, DOC 540*)

Declaration Of Kathy Bazoian Phelps In Support Of Receiver’s Opposition To SRA Funds Investor Group’s Administrative Motion Re Receiver’s Motion To Employ Tax And Securities Counsel (*Filed December 20, 2019, DOC 540-1*)

The SRA Funds Investor Group’s Administrative Motion Re Receiver’s Motion To Employ Tax Advisor And Securities Counsel (*Filed December 18, 2019, DOC 539*)

Declaration Of Jonathan K. Levine In Support Of The SRA Funds Investor Group’s Administrative Motion (*Filed December 18, 2019, DOC 539-2*)

Exhibit A – The SRA Funds Investor Group’s Administrative Motion Re Receiver’s Motion To Employ Tax Advisor And Securities Counsel (*Filed December 18, 2019, DOC 539-3*)

Exhibit B – The SRA Funds Investor Group’s Administrative Motion Re Receiver’s Motion To Employ Tax Advisor And Securities Counsel (*Filed December 18, 2019, DOC 539-4*)

Exhibit C – The SRA Funds Investor Group’s Administrative Motion Re Receiver’s Motion To Employ Tax Advisor And Securities Counsel (*Filed December 18, 2019, DOC 539-5*)

Exhibit D – The SRA Funds Investor Group’s Administrative Motion Re Receiver’s Motion To Employ Tax Advisor And Securities Counsel (*Filed December 18, 2019, DOC 539-6*)

Exhibit E – The SRA Funds Investor Group’s Administrative Motion Re Receiver’s Motion To Employ Tax Advisor And Securities Counsel (*Filed December 18, 2019, DOC 539-7*)

Exhibit F – The SRA Funds Investor Group’s Administrative Motion Re Receiver’s Motion To Employ Tax Advisor And Securities Counsel (*Filed December 18, 2019, DOC 539-8*)

Exhibit G – The SRA Funds Investor Group’s Administrative Motion Re Receiver’s Motion To Employ Tax Advisor And Securities Counsel (*Filed December 18, 2019, DOC 539-9*)

Supplement To Motion By Receiver Kathy Bazoian Phelps For Instructions Re Tax Matters Re Distribution Plan (*Filed December 16, 2019, DOC 538*)

Civil Minutes (*Filed October 8, 2019, DOC 532*)

Reply To The SRA Funds Investor Group’s Response To The Receiver’s Motion To: (1) Employ Miller Kaplan As Tax Advisor (2) Employ Schinner & Shain LLP As Securities Counsel; And (3) For Instructions (*Filed October 3, 2019, DOC 528*)

Joint Status Report (*Filed October 3, 2019, DOC 527*)

Receiver’s Interim Status Report For Third Quarter 2019 (*Filed October 3, 2019, DOC 526*)

The SRA Funds Investor Group's Response To The Receiver's Motion To Employ Professionals And For Instructions From The Court (ECF No. 516) (*Filed September 20, 2019, DOC 519*)

Exhibit A – The SRA Funds Investor Group's Response To The Receiver's Motion To Employ Professionals And For Instructions From The Court (ECF No. 516) (*Filed September 20, 2019, DOC 519-1*)

Stipulation And Order (1) Modifying Briefing And Hearing Schedule On Receiver's Motion To Employ Professionals And For Instructions And (2) Rescheduling Case Management Conference (*Filed August 23, 2019, DOC 518*)

Motion By Receiver Kathy Bazoian Phelps To: (1) Employ Miller Kaplan As Tax Advisor (2) Employ Schinner & Shain LLP As Securities Counsel; And (3) For Instructions (*Filed August 15, 2019, DOC 516*)

Notice Of Motion And Motion By Receiver Kathy Bazoian Phelps To (1) Employ Miller Kaplan As Tax Advisor (2) Employ Schinner & Shain LLP As Securities Counsel; And (3) For Instructions (*Filed August 15, 2019, DOC 516-1*)

Declaration Of Receiver Kathy Bazoian Phelps In Support Of Motion To: (1) Employ Miller Kaplan As Tax Advisor (2) Employ Schinner & Shain LLP As Securities Counsel; And (3) For Instructions (*Filed August 15, 2019, DOC 516-2*)

Proposed Order On Motion By Receiver Kathy Bazoian Phelps To: (1) Employ Miller Kaplan As Tax Advisor (2) Employ Schinner & Shain LLP As Securities Counsel; And (3) For Instructions (*Filed August 15, 2019, DOC 516-3*)

Certificate Of Service On All Interested Parties (*Filed August 15, 2019, DOC 516-4*)

Order Approving Second Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From April 1, 2019 Through June 30, 2019 And For Claims Agent Stretto From June 18, 2018 Through February 28, 2019 (*Filed August 13, 2019, DOC 515*)

Order As Modified Granting Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 To (1) Excuse Deadline Re Tax Opinion; And (2) Shorten Time For Notice On Motion To Employ Professionals And For Instructions (*Filed August 13, 2019, DOC 514*)

Second Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From April 1, 2019 Through June 30, 2019 And For Claims Agent Stretto From June 18, 2018 Through February 28, 2019 (*Filed August 9, 2019, DOC 513*)

Declaration Of Kathy Bazoian Phelps In Support Of Second Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From April 1, 2019 Through June 30, 2019 And For Claims Agent Stretto From June 18, 2018 Through February 28, 2019 (*Filed August 9, 2019, DOC 513-1*)

Declaration Of Lesley Anne Hawes In Support Of Second Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From April 1, 2019 Through June 30, 2019 And For Claims Agent Stretto From June 18, 2018 Through February 28, 2019 (*Filed August 9, 2019, DOC 513-2*)

Proposed Order Approving Second Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From April 1, 2019 Through June 30, 2019 And For Claims Agent Stretto From June 18, 2018 Through February 28, 2019 (*Filed August 9, 2019, DOC 513-3*)

Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 To (1) Excuse Deadline Re Tax Opinion; And (2) Shorten Time For Notice On Motion To Employ Professionals And For Instructions (*Filed August 9, 2019, DOC 512*)

Declaration Of Kathy Bazoian Phelps In Support Of Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 To (1) Excuse Deadline Re Tax Opinion; And (2) Shorten Time For Notice On Motion To Employ Professionals And For Instructions (*Filed August 9, 2019, DOC 512-1*)

Order Granting Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 To (1) Excuse Deadline Re Tax Opinion; And (2) Shorten Time For Notice On Motion To Employ Professionals And For Instructions (*Filed August 9, 2019, DOC 512-2*)

Order Granting Amended Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Rule 7-11 For Order Approving Settlement With Pradeep Sindhu (*Filed July 30, 2019, DOC 511*)

Amended Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Settlement With Pradeep Sindhu (*Filed July 24, 2019, DOC 510*)

Proposed Order Granting Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Settlement With Pradeep Sindhu (*Filed July 22, 2019, DOC 509-1*)

Civil Minutes (*Filed June 27, 2019, DOC 503*)

Stipulation and Order Fixing The Allowed Amount Of Progresso's Unsecured Creditor Claim (*Filed June 27, 2019, DOC 502*)

Order Granting Motion To Disallow Certain Claims (*Filed June 27, 2019, DOC 501*)

Plaintiff Securities and Exchange Commission's Response To Investor Group's Objections To Receiver's Revised Distribution Plan; Supporting Declaration Of John S. Yun (*Filed June 25, 2019, DOC 500*)

Amended Order Granting The Former Receiver's Application For An Order To Pay Its And Its' Counsel's Fees For The Period January 1 To March 31, 2019 (*Filed June 24, 2019, DOC 499*)

The SRA Funds Investor Group's Response To The Successor Receiver's Proposed Plan Of Distribution (ECF NOS. 487-488) (*Filed June 20, 2019, DOC 496*)

Stipulation And Proposed Order Fixing The Allowed Amount Of Progresso's Unsecured Creditor Claim (*Filed June 7, 2019, DOC 490*)

Comments Of Receiver Kathy Bazoian Phelps Re Distribution Plan (*Filed June 6, 2019, DOC 488*)

Receiver's Proposed Plan Of Distribution (*Filed June 6, 2019, DOC 487*)

Objection To Plaintiff Securities And Exchange Commission's Revised Distribution Plan (*Filed June 6, 2019, DOC 486*)

Order Approving First Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From The Inception Of The Successor Receiver's Activities Through March 31, 2019 (*Filed June 6, 2019, DOC 485*)

First Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From The Inception Of The Successor Receiver's Activities Through March 31, 2019 (*Filed May 28, 2019, DOC 482*)

Declaration Of Kathy Bazoian Phelps In Support Of First Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From The Inception Of The Successor Receiver's Activities Through March 31, 2019 (*DOC 483*)

Declaration Of Lesley Anne Hawes In Support Of First Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From The Inception Of The Successor Receiver's Activities Through March 31, 2019 (*DOC 484*)

[Proposed] Order Approving First Interim Administrative Motion For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees And Expenses For The Successor Receiver And Counsel From The Inception Of The Successor Receiver's Activities Through March 31, 2019 (*DOC 484-1*)

Proof Of Service (*DOC 484-2*)

Receiver's Notice Of Motion And Motion To Disallow Certain Claims; Memorandum Of Points And Authorities (*Filed May 23, 2019, DOC 481*)

Declaration Of Kathy Bazoian Phelps In Support Of Receiver's Motion To Disallow Certain Claims (*DOC 481-1*)

Proposed Order Regarding Receiver's Notice Of Motion And Motion To Disallow Certain Claims; Memorandum Of Points And Authorities (*DOC 481-2*)

Order Granting The Former Receiver's Application For An Order To Pay Its And Its' Counsel's Fees For The Period October 1 To December 31, 2018 (*Filed April 25, 2019, DOC 480*)

Order Granting Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Employment Of: (1) Diamond McCarthy LLP, As General Counsel; (2) Grobstein Teeple LLC As Accountants; And (3) Stretto As Claims Agent (*Filed March 20, 2019, DOC 476*)

Administrative Motion By Receiver Kathy Bazoian Phelps Pursuant To Local Civil Rule 7-11 For Order Approving Employment Of: (1) Diamond McCarthy LLP, As General Counsel; (2) Grobstein Teeple LLC As Accountants; And (3) Stretto As Claims Agent (*Filed March 18, 2019, DOC 471*)

[Proposed] Order Granting Administrative Motion (*DOC 471-1*)

Declaration Of Lesley Anne Hawes (*DOC 472*)

Exhibit 1 (*DOC 472-1*)

Exhibit 2 (*DOC 472-2*)

Declaration Of Howard B. Grobstein (*DOC 473*)

Exhibit 3 (*DOC 473-1*)

Exhibit 4 (*DOC 473-2*)

Declaration Of Kathy Bazoian Phelps (*DOC 474*)

Exhibit 5 (*DOC 474-1*)

Plaintiff Securities And Exchange Commission's Revised Order Appointing Receiver (*Filed February 28, 2019, DOC 469*)

Notice of Lodging of Receiver's Quarterly Report To The Court For The Quarter Ended December 31, 2018 (*Filed February 1, 2019, DOC 451*)

Plaintiff Securities And Exchange Commission's Request With Proposed Order For Extension Of Filing Deadline During Furlough of Plaintiff's Counsel (*Filed December 29, 2018, DOC 446*)

Plaintiff Security And Exchange Commission's Request With Proposed Order For Extension Of Filing Deadline During Furlough Of Plaintiff's Counsel (*Filed December 27, 2018, DOC 444*)

Order Re Proposed Distribution Plans (*Filed December 20, 2018, DOC 443*)

Status Update Re: Susan Uecker On Behalf Of SRA Funds Investor Group (*Filed December 18, 2018, DOC 442*)

Civil Minutes – December 13, 2018 (*Filed December 13, 2018, DOC 437*)

The SRA Funds Investor Group's Response To The Securities And Exchange Commission's December 10, 2018 Filing (ECF 435) (*Filed December 11, 2018, DOC 436*)

Plaintiff Securities And Exchange Commission's Brief In Response To The SRA Investor Group's Objections To The Amended Joint Distribution Plan And Revised Order Appointing Receiver (*Filed December 10, 2018, DOC 435*)

Non-Party Telesoft Capital, LLC's Joinder To The SRA Funds Investor Group's (1) Objections To The Amended Joint Distribution Plan Filed By The SEC And The Receiver On 11/21/18; (2) Objections To The SEC's Proposed New Receiver And Proposed Revised Order Appointing Receiver; And (3) Renewed Application For Entry Of The Investor Group's Proposed Alternative Distribution Plan (*Filed December 10, 2018, DOC 434*)

The SRA Funds Investor Group's (1) Objections To The Amended Joint Distribution Plan Filed By The SEC And The Receiver On 11/21/18; (2) Objections To The SEC's Proposed New Receiver And Proposed New Receiver And Proposed Revised Order Appointing Receiver; And (3) Renewed Application For Entry Of The Investor Group's Proposed Alternative Distribution Plan (*Filed December 7, 2018, DOC 432*)

Supplemental Joint Status Report (*Filed December 6, 2018, DOC 431*)

Interested Party Progresso Ventures, LLC's Responses And Objections To SEC And Receiver's Proposed Amendment To The Joint Distribution Plan (*Filed December 6, 2018, DOC 430*)

Objection Of Interested Party Global Generation Group, LLC To Amended Proposed Joint Plan of Distribution (*Filed December 6, 2018, DOC 429*)

Plaintiff Securities And Exchange Commission's Notice Of Filing Of Amended Proposed Joint Distribution Plan And Amended Order Appointing Receiver (*Filed November 21, 2018, DOC 420*)

Notice Of Lodging Of Receiver's Quarterly Report To The Court For The Quarter Ended September 30, 2018 (*Filed October 31, 2018, DOC 418*)

Civil Minutes – October 23, 2018 (*Filed October 23, 2018, DOC 413*)

Order Re Global Generation's Status As Creditor Or Investor (*Filed October 10, 2018, DOC 409*)

Exhibit C – Proposed Joint Plan of Distribution (*Filed September 28, 2018, DOC 408-4*)

Exhibit B – The SRA Funds Investor Group's Proposed Alternative Distribution Plan (*Filed September 28, 2018, DOC 408-3*)

Exhibit A – Proposed Joint Plan of Distribution (*Filed September 28, 2018, DOC 408-2*)

Declaration of Karen A. Sebaski In Support Of Interested Party Progresso Ventures, LLC's Responses And Objections To Competing Distribution Plans (*Filed September 28, 2018, DOC 408-1*)

Interested Party Progresso Ventures, LLC's Responses And Objections To Competing Distribution Plans (*Filed September 28, 2018, DOC 408*)

Declaration of Jonathan K. Levine In Support Of The SRA Funds Investor Group's Proposed Alternative Plan of Distribution (*Filed September 28, 2018, DOC 407-2*)

The SRA Funds Investor Group's Proposed Alternative Distribution Plan (*Filed September 28, 2018, DOC 407-1*)

The SRA Funds Investor Group's Brief In Support Of Proposed Alternative Distribution Plan (*Filed September 28, 2018, DOC 407*)

Exhibit A – The SRA Funds Investor Group's Proposed Alternative Distribution Plan (*Filed September 28, 2018, DOC 406-2*)

Declaration of Theodore A. Griffinger, Jr. In Support of Global Generation Group, LLC's Objection To The SRA Funds Investor Group's Proposed Alternative Distribution Plan (*Filed September 28, 2018, DOC 406-1*)

Global Generation Group, LLC's Objections To The SRA Funds Investor Group's Proposed Alternative Distribution Plan (*Filed September 28, 2018, DOC 406*)

Attachment A – Proposed Joint Plan of Distribution (*Filed September 28, 2018, DOC 404-1*)

Plaintiff Securities And Exchange Commission’s Brief In Support Of The Proposed Amendments To The Joint Distribution Plan And In Opposition To The SRA Investor Group’s Amended Alternative Plan (*Filed September 28, 2018, DOC 404*)

The SRA Funds Investor Group’s Notice Of Exchange Of Proposed Alternative Distribution Plan (*Filed August 30, 2018, DOC 401*)

Plaintiff’s Securities And Exchange Commission’s Notice Of Exchange Of Amended Proposed Joint Distribution Plan (*Filed August 30, 2018, DOC 400*)

The SRA Funds Investor Group’s Objection To Letter Filed By John Syron On Behalf Of Interested Party Global Generation Group LLC [DKT 398] (*Filed August 24, 2018, DOC 399*)

Letter from Global Generation Group To The U.S. District Court Norther District State of California (*Filed August 24, 2018, DOC 398*)

The SRA Funds Investor Group’s Supplemental Brief Re Global Generation Pursuant To The Court’s August 16, 2018 Minute Order [DKT. 395] (*Filed August 23, 2018, DOC 397*)

Global Generation Group LLC’s Response To The Court’s August 16, 2018 Order (Court Docket No. 395) (*Filed August 23, 2018, DOC 396*)

Civil Minutes – August 16, 2018 (*Filed August 16, 2018, DOC 395*)

Supplemental Joint Status Report (Filed August 9, 2018, DOC 392)

Notice of Lodging of Receiver’s Quarterly Report To The Court For The Quarter Ended June 30, 2018 (*Filed August 2, 2018, DOC 386*)

Order Re SEC’s Motion For Order Restablishing Shortfalls And Request For Recognition Of Claim By Progresso Ventures, LLC And Global Generation Group LLC (*Filed July 30, 2018, DOC 385*)

Interest Party Progresso Ventures, LLC’s Supplemental Brief Re Classification Of Its Investor And Creditor Claims (Per D.E. 379) (*Filed July 24, 2018, DOC 384*)

The SRA Funds Investor Group’s Supplemental Brief In Response To The Court’s July 17, 2018 Order [DKT. 379] (*Filed July 24, 2018, DOC 383*)

Global Generation Group, LLC’s Response To The Court’s July 17, 2018 Order (Docket No. 379) (*Filed July 24, 2018, DOC 382*)

Plaintiff Securities And Exchange Commission’s Supplemental Brief Regarding Progresso Ventures, LLC’s And Global Generation Group, LLC’s Claims (*Filed July 24, 2018, DOC 381*)

Order Re: Progresso Ventures, LLC And Global Generation Group, LLC’s Claims (*Filed July 17, 2018, DOC 379*)

Amended Civil Minutes – July 16, 2018 (*Filed July 16, 2018, DOC 375*)

Declaration Of Eduardo Saverin (*Filed July 10, 2018, DOC 373*)

(1) Interested Party Progresso Ventures, LLC’s Reply In Further Support Re: Classification Of Its Investor And Creditor Claims (*Filed July 10, 2018, DOC 372*)

Reply Of Interest Party Global Generation Group, LLC To The SRA Funds Investor Group’s Consolidated Response (*Filed July 10, 2018, DOC 368*)

Plaintiff Security And Exchange Commission’s Reply Brief In Support Of Motion For Order Establishing Shortfalls (*Filed July 10, 2018, DOC 367*)

Supplemental Joint Status Report (Filed July 9, 2018, DOC 365)

Declaration Of Elizabeth C. Pritzker In Support Of The SRA Funds Investor Group's Consolidated Response To: (1) Interested Party Progresso Ventures, LLC's Claim Filing; (2) Interested Party Global Generation Group, LLC's Claim Filing; And (3) Plaintiff Securities And Exchange Commission's Motion For Order Establishing Shortfalls (*Filed July 6, 2018, DOC 363*)

Interested Party Global Generation Group, LLC's Response To Plaintiff's Motion For Order Establishing Shortfalls (*Filed July 6, 2018, DOC 361*)

Declaratation of Karen A. Sebaski Filed In Support Of Interested Party Progresso Ventures, LLC's Motion Re Classification Of Its Investor And Creditor Claims (*Filed June 29, 2018, DOC 360-1*)

Supplemental Declaration Of John Syron (*Filed June 29, 2018, DOC 359-1*)

Declaration of Michael Maily In Support of Receiver's Accountant's First Fee And Expense Application For The Period November 1, 2017 To April 30, 2018 (*Filed June 29, 2018, DOC 358-1*)

Exhibit A And Declaration of Tony Stearns In Support Of Plaintiff's Motion Establishing Shortfalls (*Filed June 29, 2018, DOC 356-1 and 356*)

Exhibit 1 And Declaration Of Ellen Chen In Support Of Plaintiff's Motion Establishing Shortfalls (*Filed June 29, 2018, DOC 355-1 and 355*)

Exhibit 1, 2, A, B And Supplemental Declaration Of M. Monica IP, CPA In Support Of Plaintiff's Motion Establishing Shortfalls (*Filed June 29, 2018, DOC 354-1, 354-2, 354-3, 354-4 and 354*)

[Proposed] Order Granting Plaintiff Securities And Exchange Commission's Motion For Order Establishing Shortfalls And Plaintiff Securites And Exchange Commission's Motion For Order Establishing Shortfalls (*Filed June 29, 2018, DOC 353-1 and 353*)

Amended Civil Minutes – June 22, 2018 (*Filed June 27, 2018, DOC 352*)

Civil Minutes – June 22, 2018 (*Filed June 25, 2018, DOC 351*)

Progresso Ventures, LLC's Case Management Conference Statement (*Filed June 20, 2018, DOC 347*)

The SRA Funds Investor Group's Case Management Conference Statement (*Filed June 15, 2018, DOC 343*)

Joint Supplemental Status Report (*Filed June 15, 2018, DOC 342*)

Notice of Lodging Of The Receiver's Claims Progress Report As Of June 14, 2018 (*Filed June 14, 2018, DOC 340*)

Notice of Lodging Of Change In Name Of Law Firm Acting as Local New York Counsel To Receiver (*Filed June 11, 2018, DOC 335*)

Abstract of Judgment Notice (*Filed May 22, 2018, DOC 334*)

Notice Of Lodging Of Receiver's Quarterly Report To The Court For The Quarter Ended March 31, 2018 (*Filed May 1, 2018, DOC 333*)

Civil Minutes – April 19, 2018 (*Filed April 20, 2018, DOC 332*)

Withdrawal Of Counsel – Global Generations (*Filed April 18, 2018, DOC 331*)

Clerk's Notice Reminder (*Entered April 18, 2018*)

Clerks's Notice Setting (*Entered April 16, 2018*)

The SRA Funds Investor Group's Response To The Receiver's April 11, 2018 Expedited Application Re Claims Administrator's Fees And Work (*Filed April 16, 2018, DOC 328*)

Clerk's Notice (*Entered April 11, 2018*)

Certificate Of Service (Filed April 11, 2018, DOC 326-3)

[Proposed] Order Approving Receiver's Application To Pay Claims Administrator And Approval For Further Work (*Filed April 11, 2018, DOC 326-2*)

Declaration Of Peter Hartheimer In Support Of Administrative Application For Approval Of Claims Administrator's Fees And Additional Work (*Filed April 11, 2018, DOC 326-1*)

Expedited Application Under L.R. 7-11 For The Approval Of Claims Administrator's Fees And Additional Work (*Filed April 11, 2018, DOC 326*)

Transcript Order – February 28, 2018 Hearing (*Filed March 28, 2018, DOC 324*)

Notice Of Lodging Of Receiver's Claims Process Progress Report (*Filed March 21, 2018, DOC 319*)

Exhibit B – Plaintiff Securities And Exchange Commission's Brief In Support Of Its Proposed Amendments To Joint Distribution Plan (*Filed March 15, 2018, DOC 317-2*)

Exhibit A – Plaintiff Securities And Exchange Commission's Brief In Support Of Its Proposed Amendments To Joint Distribution Plan (*Filed March 15, 2018, DOC 317-1*)

Plaintiff Securities And Exchange Commission's Brief In Support Of Its Proposed Amendments To Joint Distribution Plan (*Filed March 15, 2018, DOC 317*)

[Proposed] Order Granting The Receiver's Administrative Application For An Order Pursuant To Local Rule 7-11 To Pay The Receiver And His Counsel's Fees For The Period October 1, 2017 To December 31, 2017 (*Filed March 13, 2018, DOC 315*)

Receiver's Administrative Application For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees For The Period October 1 To December 31, 2017, For The Receiver And Counsel (*Filed February 28, 2018, DOC 314*)

Stipulation And Order To Extend Deadlines For Filing Proposed Distribution Plan Amendments And Objections (Filed February 26, 2018, DOC 313)

Stipulation And Order To Extend Deadlines For Filing Proposed Distribution Plan Amendments And Objections (Filed February 26, 2018, DOC 312)

[Proposed] Final Judgment Of Permanent Injunctions And Other Equitable Relief Against Defendant Saddle River Advisors, LLC (*Filed February 12, 2018, DOC 311*)

Civil Minutes – February 8, 2018 (*Filed February 9, 2018, DOC 309*)

Plaintiff Securities And Exchange Commission's Request And Proposed Order To Allow Telephonic Appearance Of Counsel From The New York Regional Office (*Filed February 9, 2018, DOC 308*)

Plaintiff Securities And Exchange Commission's Request And Proposed Order To Allow Telephonic Appearance Of Counsel From The New York Regional Office (*Filed February 2, 2018, DOC 307*)

Notice Of Lodging Of Receiver's Quarterly Report To The Court For The Quarter Ended December 31, 2017 (*Filed January 31, 2018, DOC 306*)

Supplemental Joint Status Report (Filed January 31, 2018, DOC 305)

[Proposed] Order Granting The Receiver's Request For The Payment Of Local Counsel Fees For The Period October 2016 To November 2017 (*Filed January 25, 2018, DOC 304*)

[Proposed] Order Granting The Receiver's Administrative Application For An Order Pursuant To Local Rule 7-11 To Pay The Receiver And His Counsel's Fees For The Period July 1, 2017 To September 30, 2017 (*Filed January 25, 2018, DOC 303*)

Consent Of Defendant SRA Management Associates, LLC And Relief Defendants SRA I, LLC, SRA II, LLC clear Sailing Group IV, LLC And Clear Sailing Group V, LLC To Entry Of Final Judgment (*Filed January 16, 2018, DOC 298*)

Letter From Donald R. Harivel (*Filed January 8, 2018, DOC 299*)

Receiver's Administrative Application For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees For The Period July 1 To September 30, 2017, For The Receiver Counsel (*Filed December 26, 2017, DOC 296*)

[Proposed] Final Judgment Of Permanent Injunctions And Other Relief Against Defendant Frank Gregory Mazzola And Relief Defendant Michele J. Mazzola (*Filed December 22, 2017, DOC 295*)

[Proposed] Final Judgment Of Permanent Injunctions And Other Relief Against Defendant John V. Bivona And Relief Defendant Anne Bivona (*Filed December 22, 2017, DOC 294*)

Plaintiff Securities And Exchange Commission's Reply Regarding Entry Of Final Judgments (*Filed December 22, 2017, DOC 293*)

The SRA Funds Investor Group's Response To The Proposed Entry Of Final Judgments Against Certain Defendants And Relief Defendants (*Filed December 21, 2017, DOC 292*)

Receiver's Motion For Approval Of Fees And Expenses Of Local Counsel Retained By The Receiver For The Period October 2016 To November 2017 (*Filed December 20, 2017, DOC 291*)

Receiver's Motion For Approval Of Fees And Expenses Of Local Counsel Retained By The Receiver For The Period October 2016 To November 2017 (*Filed December 20, 2017, DOC 290*)

Order To Interested Parties Regarding Proposed Entry Of Final Judgment (*Filed December 19, 2017, DOC 289*)

[Proposed] Order Granting The Receiver's Administrative Application Pursuant To L.R. 7-11 For The Use Of A Publication Notice Of Claim Procedure And Cut-Off Date (*Filed December 18, 2017, DOC 288*)

Consent Of Defendant Saddle River Advisors, LLC To Entry Of Final Judgment (*Filed December 15, 2017, DOC 287*)

Consent Of Relief Defendant Michele J. Mazzola To Entry Of Final Judgment (*Filed December 15, 2017, DOC 286*)

Consent Of Relief Defendant Anne Bivona To Entry Of Final Judgment (*Filed December 15, 2017, DOC 285*)

Receiver's Application Pursuant To L.R. 7-11 For Approval Of Print Media Notification Of Claim Cut-Off Date (*Filed December 14, 2017, DOC 284*)

Order Granting The Receiver's Administrative Application Pursuant To L.R. 7-11 For The Retention Of A Claims Administrator (*Filed December 7, 2017, DOC 283*)

Receiver's Application Pursuant To Local Rule 7-11 For The Retention Of A Claims Administrator (*Filed December 7, 2017, DOC 282*)

[Proposed] Order Granting The Receiver's Administrative Application For The Retention Of An Independent Investment Banker (*Filed December 1, 2017, DOC 281*)

Receiver's Unopposed Application Pursuant To Local Rule 7-11 For The Retention Of An Independent Investment Banker (*Filed November 30, 2017, DOC 280*)

Order Approving Revised Claim Form (*Filed November 22, 2017, DOC 279*)

Notice Of Lodging Of Court Approved Claim Form (*Filed November 21, 2017, DOC 278*)

Transcript Order For Proceedings Held On November 16, 2017 (*Filed November 17, 2017, DOC 276*)

Civil Minutes – November 16, 2017 (*Filed November 17, 2017, DOC 275*)

Plaintiff Securities And Exchange Commission's Request And Proposed Order To Allow Telephonic Appearance Of Counsel From New York Regional Office (*Filed November 14, 2017, DOC 274*)

Certificate Of Service (Filed November 14, 2017, DOC 273)

Order Regarding November 16, 2017 Status Congerence And Proposed Claim Form (*Filed November 14, 2017, DOC 272*)

Notice Of Lodgin Of Receiver's Quarterly Report To The Court For The Quarter Ended September 30, 2017 (*Filed November 9, 2017, DOC 271*)

Certificate Of Service (Filed November 9, 2017, DOC 270)

Plaintiff Securities And Exchange Commission's Request And Proposed Order To Allow Telephonic Appearance Of Counsel From The New York Regional Office (*Filed November 9, 2017, DOC 269*)

Supplemental Joint Status Report (Filed November 9, 2017, DOC 268)

Receiver's Reply To SRA Group's Response To Second Interim Fee Application (*Filed November 2, 2017, DOC 266*)

Certificate Of Service (Filed November 2, 2017, DOC 265-1)

Notice Of Lodging Of Proposed Claim Form (*Filed November 2, 2017, DOC 265*)

The SRA Funds Investor Group's Response To The Receiver's October 19, 2017 Administrative Fee Application (*Filed October 23, 2017, DOC 263*)

Certificate Of Service (Filed October 19, 2017, DOC 262-4)

[Proposed] Order Granting The Receiver's Administrative Application For An Order Pursuant To Local Rule 7-11 To Pay The Receiver And His Counsels Fees For The Period April 1, 2017 To June 30, 2017 (*Filed October 19, 2017, DOC 262-3*)

Declaration Of Peter Hartheimer In Support Of Miscellaneous Administrative For an Order Pursuant To Local Rule 7-11 To Pay Fees (*Filed October 19, 2017, DOC 262-2*)

Declaration Of John W. Cotton In Support Of Miscellaneous Administrative For An Order Pursuant To Local Rule 7-11 To Pay Fees (*Filed October 19, 2017, DOC 262-1*)

Receiver's Administrative Application For An Order Pursuant To Local Rule 7-11 For The Approval Of Fees For April 1, 2017 To June 30, 2017 For The Receiver And Counsel (*Filed October 19, 2017, DOC 262*)

[Proposed] Stipulation And Protective Order Concerning The Non-Disclosure Of Certain Confidential Information (*Filed October 6, 2017, DOC 261*)

[Proposed] Stipulation And Protective Order Concerning The Non-Disclosure Of Certain Confidential Information (*Filed October 6, 2017, DOC 260*)

Transcript Order For Proceedings Held On September 28, 2017 (Filed October 2, 2017, DOC 258)

Transcript Order For Proceedings Held On September 28, 2017 (Filed September 29, 2017, DOC 257)

Civil Minutes – September 28, 2017 (*Filed September 29, 2017, DOC 256*)

Letter from Donald R. Harivel Regarding 213 (*Filed September 27, 2017, DOC 255*)

Certificate Of Service (*Filed September 27, 2017, DOC 253*)

Plaintiff Securities And Exchange Commission's Submission Of Additioinal Information In Support Of Joint Motion For Approval Of The Proposed Joint Distribution Plan (*Filed September 27, 2017, DOC 252*)

Exhibit A – The SRA Funds Investor Group’s Response To The Court’s September 22, 2017 Order (*Filed September 27, 2017, DOC 251-2*)

Declaration Of Josua Cilano In Response To Court’s September 22, 2017 Order (*Filed September 27, 2017, DOC 251-1*)

The SRA Funds Investor Group’s Response To The Court’s September 22, 2017 Order (*Filed September 27, 2017, DOC 251*)

Civil Minutes – September 27, 2017 (*Filed September 27, 2017, DOC 250*)

Certificate Of Service (*Filed September 27, 2017, DOC 249-1*)

Notice Of Lodging Of Receiver’s Response To Court’s Order Of September 22, 2017, Requesting The Submission Of Additional Information In Support Of Joint Motion For Approval Of The Proposed Distribution Plan (*Filed September 27, 2017, DOC 249*)

Order Requiring Parties To Submit Additional Information And Requiring Joshua Cilano To Respond (*Filed September 22, 2017, DOC 247*)

Order Regarding Plaintiff SEC And Receiver’s Request For Preliminary Findings Related To Proposed Joint Distribution Plan (*Filed September 13, 2017, DOC 246*)

Declaration Of John Syron In Support Of Global Generation Group, LLC And Benchmark Capital, LLC’s Reply To The SRA Funds Investor Group’s Objections To Joint Distribution Plan Of The Receiver And The SEC And Proposed Alternative Plan Of Distribution (*Filed September 13, 2017, DOC 244*)

Global Generation Group, LLC And Benchmark Capital, LLC’s Reply To The SRA Funds Investor Group’s Objections To Joint Distribution Plan Of The Receiver And The SEC And Proposed Alternative Plan Of Distribution (*Filed September 13, 2017, DOC 243*)

Reply Declaration Of Marc D. Katz In Support Of Plaintiff’s Joint Motion With The Receiver For Approval Of The Proposed Joint Distribution Plan (*Filed September 13, 2017, DOC 241*)

Supplemental Declaration Of John S. Yun In Support Of Plaintiff’s Joint Motion With The Receiver For Approval Of The Proposed Joint Distribution Plan (*Filed September 13, 2017, DOC 240*)

Supplemental Declaration Of M. Monica IP, CPA (*Filed September 13, 2017, DOC 239*)

Plaintiff Securities And Exchange Commission’s Reply To Oppositions To Motion For Approval Of Proposed Joint Distribution Plan (*Filed September 13, 2017, DOC 238*)

Declaration Of Peter Hartheimer In Support Of Receiver’s Reply To SRA Investor Group’s Objections To The Joint Distribution Plan Of The Receiver And The SEC (*Filed September 12, 2017, DOC 237-2*)

Declaration Of Nicolas Hernandez In Support Of Receiver’s Reply To SRA Investor Group’s Opposition To Joint Plan Of Distribution (*Filed September 12, 2017, DOC 237-1*)

Receiver’s Reply Brief To The Investors Group’s Objections To The Joint Distribution Plan Of The Receiver And The SEC (*Filed September 12, 2017, DOC 237*)

[Proposed] Order (1) Denying The Receiver’s And The SEC’s Motion For Approval Of A Joint Distribution Plan And (2) Approving The Alternative Plan Of Distribution Proposed By The SRA Funds Investor Group (*Filed August 24, 2017, DOC 232*)

Declaration Of Joshua Cilano In Support Of The SRA Funds Investor Group’s (1) Objections To Joint Distribution Plan Of The Receiver And The SEC, And (2) Proposed Alternative Plan Of Distribution (*Filed August 24, 2017, DOC 231*)

Exhibit A – Declaration Of Jonathan K. Levine In Support Of The SRA Funds Investor Group’s (1) Objections To Joint Distribution Plan Of The Receiver And The SEC, And (2) Proposed Alternative Plan Of Distribution (*Filed August 24, 2017, DOC 230-1*)

Declaration Of Jonathan K. Levine In Support Of The SRA Funds Investor Group's (1) Objections To Joint Distribution Plan Of The Receiver And The SEC, And (2) Proposed Alternative Plan Of Distribution (*Filed August 24, 2017, DOC 230*)

The SRA Funds Investor Group's (1) Objections To Joint Distribution Plan Of The Receiver And The SEC, And (2) Proposed Alternative Plan Of Distribution (*Filed August 24, 2017, DOC 229*)

Notice Of Lodging Of Revised Declaration Of Georgiana Nertea In Support Of Motion For Approval Of Consolidated Distribution Plan (*Filed August 24, 2017, DOC 228*)

Non-Parties Global Generation Group, LLC And Benchmark Capital, LLC's Comments To Receiver's Motion For Approval Of A Consolidated Distribution Plan, Retention Of Professionals, Dissolution Of Certain Defendants And Relief Defendants And Consent By The Receiver To Permanent Injunction (*Filed August 24, 2017, DOC 227*)

Exhibit C – Non-Party Telesoft Capital LLC's Objection To Receiver's Motion For Approval Of A Consolidated Distribution Plan (*Filed August 24, 2017, DOC 226-4*)

Exhibit B – Non-Party Telesoft Capital LLC's Objection To Receiver's Motion For Approval Of A Consolidated Distribution Plan (*Filed August 24, 2017, DOC 226-3*)

Exhibit A – Non-Party Telesoft Capital LLC's Objection To Receiver's Motion For Approval Of A Consolidated Distribution Plan (*Filed August 24, 2017, DOC 226-2*)

Declaration Of Patrick E. Gibbs In Support Of Non-Party Telesoft Capital LLC's Objection To Receiver's Motion For Approval Of A Consolidated Distribution Plan (*Filed August 24, 2017, DOC 226-1*)

Non-Party Telesoft Capital LLC's Objection To Receiver's Motion For Approval Of A Consolidated Distribution Plan (*Filed August 24, 2017, DOC 226*)

Declaration Of Relief Defendant Anne Bivona In Support Of Opposition To Joint Motion For Approval Of The Proposed Joint Distribution Plan (*Filed August 24, 2017, DOC 225*)

Exhibit 4 – Supplemental Declaration Of M. Monica IP, CPA (*Filed August 17, 2017, DOC 219-4*)

Exhibit 3 – Supplemental Declaration Of M. Monica IP, CPA (*Filed August 17, 2017, DOC 219-3*)

Exhibit 2 – Supplemental Declaration Of M. Monica IP, CPA (*Filed August 17, 2017, DOC 219-2*)

Exhibit 1 – Supplemental Declaration Of M. Monica IP, CPA (*Filed August 17, 2017, DOC 219-1*)

Supplemental Declaration Of M. Monica IP, CPA (*Filed August 17, 2017, DOC 219*)

Joint Reply By Securities And Exchange Commission And Receiver To Responses To Motions For Approval Of Proposed Joint Distribution Plan (*Filed August 17, 2017, DOC 218*)

Notice Of Lodging Of Receiver's Quarterly Report To The Quarter Ended June 30, 2017 (*Filed August 14, 2017, DOC 216*)

Declaration Of M. Monica IP, CPA (*Filed June 29, 2017, DOC 200*)

Certificate Of Service (*Filed June 29, 2017, DOC 196-4*)

[Proposed] Order Approving Receiver's Motion For Approval Of A Joint Distribution Plan, Retention Of Professionals, Dissolution Of Certain Defendants And Relief Defendants And Relief Defendants And Consent By The Receiver To Permanent Injunction (*Filed June 29, 2017, DOC 196-3*)

Declaration Of Peter Hartheimer In Support Of Motion For Approval Of Joint Distribution Plan (*Filed June 29, 2017, DOC 196-2*)

Declaration of Georgiana Nertea In Support Of Motion For Approval Of Consolidated Distribution Plan (*Filed June 29, 2017, DOC 196-1*)

Receiver's Notice Of Motion And Motion For Approval Of A Consolidated Distribution Plan, Retention Of Professionals, Dissolution Of Certain Defendants And Relief Defendants And Consent By The Receiver To Permanent Injunction (*Filed June 29, 2017, DOC 196*)

Stipulation For Order Setting Briefing And Hearing Schedule For Receiver's Motion To Approve Distribution Plan (*Filed June 6, 2017, DOC 191*)

Notice Of Lodging Of Receiver's Quarterly Report To The Court For The Quarter Ended March 31, 2017 (*Filed May 16, 2017, DOC 183*)

Notice Of Lodging Of Receiver's Quarterly Report To The Court For The Quarter Ended January 31, 2017 (*Filed February 1, 2017, DOC 168*)

Plaintiff Securities And Exchange Commission's Stipulated Order For Appointment Of Reciever (*Filed October 11, 2016, DOC 142*)

Notice of Lodging Of Independent Monitor's Third Interim Report To The Court (*Filed July 5, 2016, DOC 120*)

Notice Of Lodging Of Independent Monitor's Final Report To The Court (*Filed May 10, 2016, DOC 074*)

Notice Of Lodging Of Independent Monitor's Second Report To The Court (*Filed April 25, 2016, DOC 060*)

Notice Of Lodging Of Independent Monitor's First Report To The Court (*Filed March 11, 2016, DOC 054*)

Order Granting Temporary Restraining Order, Appointment Of Independent Monitor, And Other Preliminary Relief (*Filed March 25, 2016, DOC 036*)

Combined Exhibits – Declaration Of Ellen Chen (*Filed March 22, 2016, DOC 014-2 to 020-10*)

Declaration Of Ellen Chen (*Filed March 22, 2016, DOC 014*)

Plaintiff Securities And Exchange Commission's Ex Parte Motion For Temporary Restraining Orders, Asset Freezes, Appointment Of A Monitor And Other Relief (*Filed March 22, 2016, DOC 004*)

Complaint (*Filed March 22, 2016, DOC 001*)

Contact the Receiver

All parties are encouraged to search the site first, before attempting to contact the Receiver directly, which will keep costs down and limit the administrative burden to the estate. If direct contact is necessary, the Receiver can be contacted at: Kathy Bazoian Phelps, Receiver

Diamond McCarthy LLP

1999 Avenue of the Stars, Suite 1100

Los Angeles, CA 90067

(310) 651-2997

kphelps@diamondmccarthy.com

The website will also be updated to reflect significant receivership events.

Claims

Class 3: Unsecured Creditor Claims

Investor Claims

Class 4A:	Addepar
Class 4B:	Airbnb
Class 4C:	Bloom Energy
Class 4D:	Cloudera
Class 4E:	Dropbox
Class 4F:	Evernote
Class 4G:	Lookout
Class 4H:	Lyft
Class 4I:	MongoDB
Class 4J:	Palantir
Class 4K:	Pinterest
Class 4M:	Snap, Inc.
Class 4N:	Uber
Class 4O:	ZocDoc