

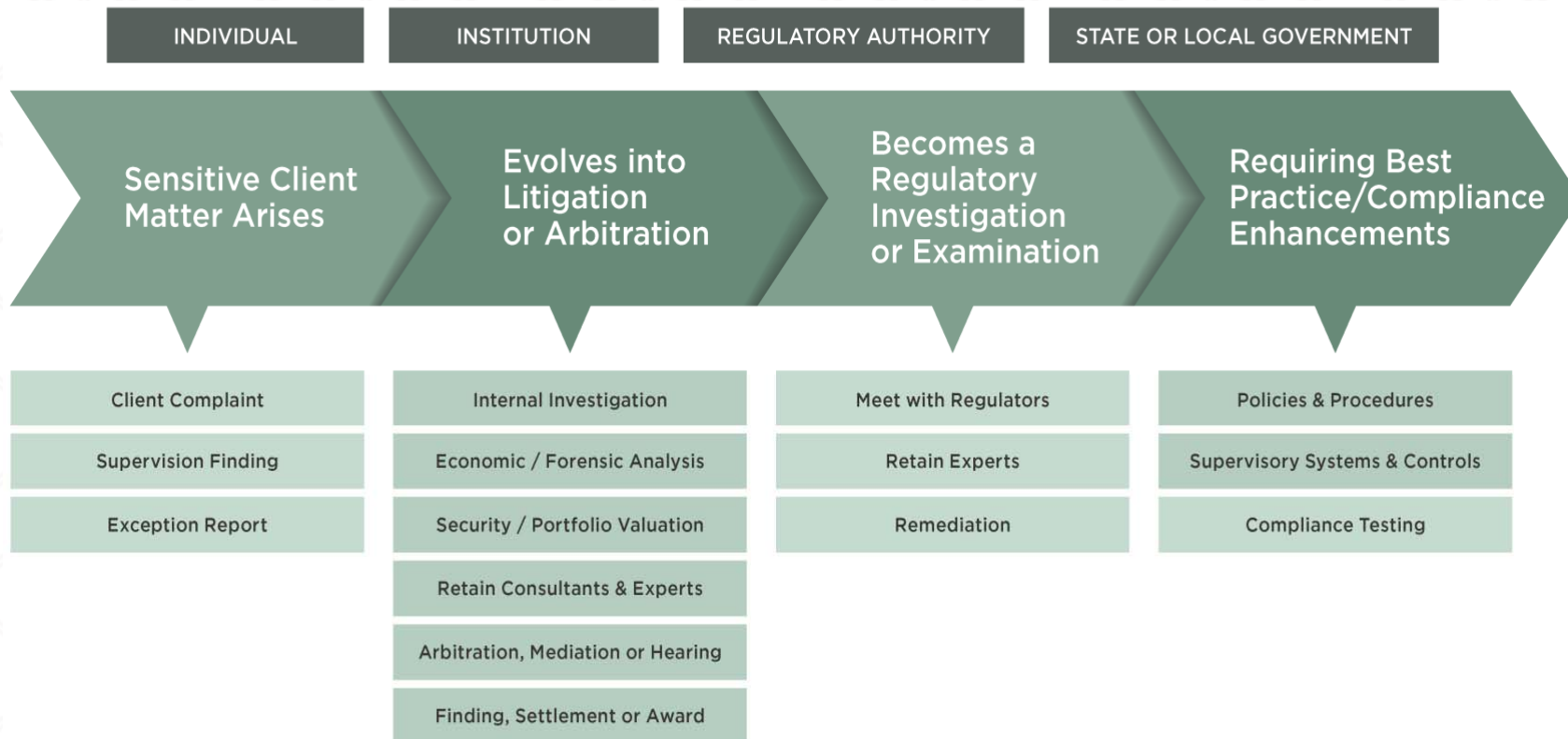
# IBDC

# *Winning Strategies to Maximize Your Impact from Expert Witnesses*

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President / CEO  
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**David Birnbaum**  
Managing Director  
Bates Group LLC

# Bates: An End-to-End Solution

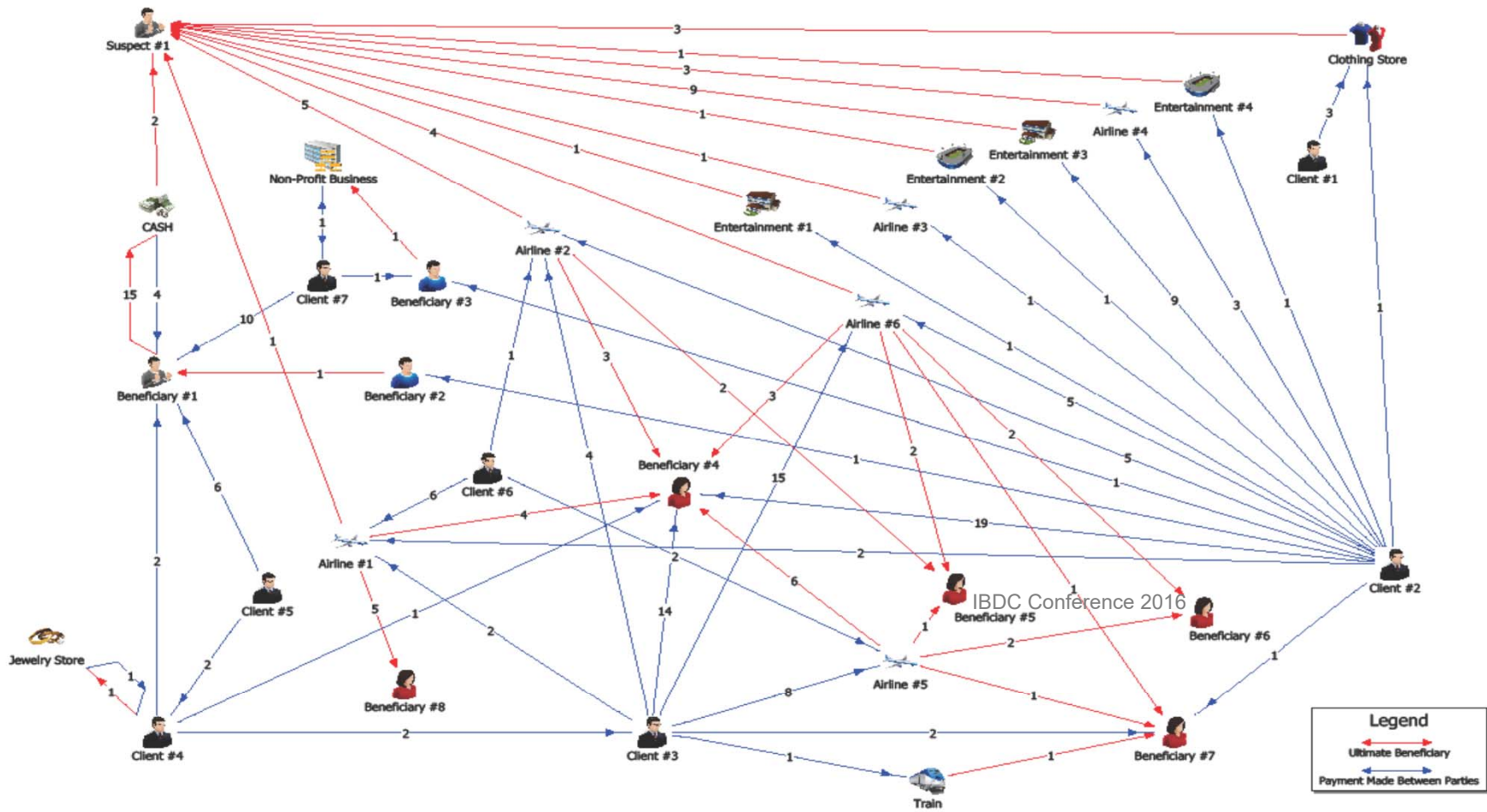


# Account Analysis Schedule

- ▶ Account Reconciliation
- ▶ Equity Change Analysis
- ▶ P/(L) Summary
- ▶ Security Group P/(L)
- ▶ Purchases and Sales Summary
- ▶ Cash Entry Summary

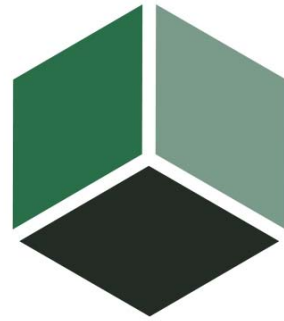
<b>ACCOUNT RECONCILIATION</b>				
FROM 3/30/99 TO 12/31/02		CLIENT NAME/CLIENT ACCOUNT NUMBER		
<b>CASH/SECURITY FLOW SUMMARY</b>		<b>OUT-OF-POCKET PROFIT / (LOSS) CALCULATION</b>		
IN:	VALUE OF SECURITIES LONG IN ACCOUNT	\$0.00	TRADING REALIZED PROFIT / (LOSS)	(\$275,399.48)
	VALUE OF SECURITIES RECEIVED IN ACCOUNT	491,448.66	TRADING UNREALIZED PROFIT / (LOSS)	(21,139.42)
	ACCRUED INTEREST RECEIVED/LONG	1,144.50	CAPITAL GAINS DISTRIBUTIONS	17,075.78
	CASH TRANSFER(S) FROM ACCOUNT:      XXX-XXXXX	145,521.02		
	RECEIVED DEBIT BALANCE FM XXX-XXXXX	(43,260.08)	<b>TOTAL TRADING PROFIT / (LOSS)</b>	<b>(\$279,463.12)</b>
	<b>TOTAL AMOUNT IN</b>	<b>\$594,854.10</b>		
OUT:	VALUE OF SECURITIES LONG IN ACCOUNT	\$0.00	<b>TOTAL TRADING PROFIT / (LOSS) (FROM ABOVE)</b>	<b>(279,463.12)</b>
	CASH BALANCE AT CONCLUSION OF ACCOUNT	19.62	STOCK DIVIDENDS/BOND INTEREST	9,467.66
	VALUE OF SECURITIES DELIVERED FROM ACCOUNT	85,859.13	MARGIN INTEREST	(36,200.00)
	CASH OUT	195,528.14	FEES	(10,113.14)
	CASH TRANSFER(S) TO ACCOUNT:      XXX-XXXXX	8,000.00	CASH IN LIEU	32.70
	DELIVERED DEBIT BALANCE	(10,828.70)		
	<b>TOTAL AMOUNT OUT</b>	<b>\$278,578.19</b>	<b>TOTAL OUT-OF-POCKET PROFIT / (LOSS)</b>	<b>(\$316,275.90)</b>
	<b>NET SECURITY/CASH FLOW FROM ACCOUNT</b>	<b>(\$316,275.90)</b>		
SOURCE: BROKERAGE FIRM CLIENT STATEMENTS		PAGE 1 OF 1	PREPARED BY BATES GROUP LLC 11/25/13 5:22 PM	

Client Investigation – Transactions Identified for Further Review



**Legend**

- ←→ Ultimate Beneficiary
- Payment Made Between Parties



# **BATES** GROUP

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