

**UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF WISCONSIN  
GREEN BAY DIVISION**

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SECURITIES AND EXCHANGE COMMISSION,

Plaintiff,

v.

Civil Action No: 09-C-506

WEALTH MANAGEMENT, LLC,  
JAMES PUTMAN, and SIMONE FEVOLA,

Defendants, and

WML GRYPHON FUND, LLC;  
WML WATCH STONE PARTNERS, L.P.; WML  
PANTERA PARTNERS, L.P.; WML PALISADE  
PARTNERS, L.P.; WML L3, LLC;  
WML QUETZAL PARTNERS, L.P., and  
EMPLOYEE SERVICES OF APPLETON, INC.,

Relief Defendants.

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**NOTICE OF (A) FILING OF (I) TWELFTH INTERIM APPLICATION FOR ALLOWANCE  
AND PAYMENT OF FEES AND EXPENSES OF RECEIVER AND HER COUNSEL AND (II)  
SEVENTH INTERIM APPLICATION OF ALAN D. LASKO & ASSOCIATES, P.C., AND (B)  
OBJECTION PROCEDURE**

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**PLEASE TAKE NOTICE** that, on July 16, 2019, Faye B. Feinstein, as Receiver for Wealth Management, LLC, and the Relief Defendants named above (the "Receiver"), and Quarles & Brady LLP filed with the Clerk of the United States District Court for the Eastern District of Wisconsin (the "Court") the following papers (collectively, the "Applications"):

- (a) **Status Report and Twelfth Interim Application for Allowance and Payment of Compensation to, and for Reimbursement of Expenses of, (I) Faye B. Feinstein, Receiver for Wealth Management LLC and the Relief Defendants, and (II) Quarles and Brady LLP, as Counsel to the Receiver, for the Period from June 1, 2018, through May 31, 2019** (the "Q&B Application"); and
- (b) **Seventh Interim Application for Allowance and Payment of Compensation to Alan D. Lasko & Associates, P.C., as Accountants to the Receiver, for the Period from June 1, 2015, through May 31, 2019** (the "Lasko Application").

**PLEASE TAKE FURTHER NOTICE** that the Q&B Application (i) seeks allowance of compensation in the amount of \$81,223.05 (the "Q&B Subject Period Fees") and of reimbursement of actual and necessary expenses in the amount of \$267.99 (the "Q&B Subject Period Expenses") for the period from June 1, 2018, through May 31, 2019; and (ii) asks that the Court authorize the Receiver to

pay the Q&B Subject Period Fees and the Q&B Subject Period Expenses to Quarles & Brady LLP from the assets of Wealth Management, LLC, and/or the Relief Defendants.

**PLEASE TAKE FURTHER NOTICE** that the Lasko Application (i) seeks allowance of compensation in the amount of \$9,101.43 (the "Lasko Subject Period Fees") and of reimbursement of actual and necessary expenses in the amount of \$10.00 (the "Lasko Subject Period Expenses") for the period from June 1, 2015, through May 31, 2019; and (ii) asks that the Court authorize the Receiver to pay the Lasko Subject Period Fees and the Lasko Subject Period Expenses to Alan D. Lasko & Associates, P.C. from the assets of Wealth Management, LLC, and/or the Relief Defendants.

**PLEASE TAKE FURTHER NOTICE** that, on July 18, 2019, the Court entered a Scheduling Order regarding both of the Applications (Docket No. 486) (the "Scheduling Order").

**PLEASE TAKE FURTHER NOTICE** that, pursuant to the Scheduling Order, any objections to the Q&B Application and/or to the Lasko Application must be filed with the Court and served on undersigned counsel (which service may be made via the Court's CM/ECF System) **on or before August 19, 2019 (the "Objection Deadline")**.

**PLEASE TAKE FURTHER NOTICE** that, pursuant to the Scheduling Order, if no objection to an Application is filed on or before the Objection Deadline, the Court may grant that Application without a hearing.

**PLEASE TAKE FURTHER NOTICE** that, pursuant to the Scheduling Order, if one or more objections to an Application are filed on or before the Objection Deadline, the Court will determine whether or not to hold a hearing on that Application, and, if the Court decides to schedule a hearing, a separate notice of the date and time of such hearing will be served upon you.

**PLEASE TAKE FURTHER NOTICE** that Quarles & Brady LLP and Lasko, respectively, each requests that any objection to the Application state with specificity the legal and factual bases for the objection and the item or items of compensation or expense reimbursement objected to.

**PLEASE TAKE FURTHER NOTICE** that, if you have not received a copy of one or both of the Applications with this Notice, you may obtain copies, without charge: (1) from the Web site for the Receiver Estate, [www.wealthmgmt.com](http://www.wealthmgmt.com); (2) from the Office of the Clerk of the Court, 125 South Jefferson Street, Green Bay, Wisconsin, during regular business hours; or (3) by requesting the same from the Receiver at [receiver@quarles.com](mailto:receiver@quarles.com).

DATED: July 18, 2019

s/ Faye B. Feinstein  
Faye B. Feinstein, Receiver

s/ Christopher Combest  
Christopher Combest  
One of the Receiver's Attorneys

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