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*Attorneys for Court-Appointed Receiver R. Wayne Klein*

**UNITED STATES DISTRICT COURT FOR THE DISTRICT OF UTAH  
CENTRAL DIVISION**

<p>R. WAYNE KLEIN, as Receiver,</p> <p style="text-align: center;">Plaintiff,</p> <p style="text-align: center;">v.</p> <p>SARAH MORTENSEN and JOHN DOES 1-5,</p> <p style="text-align: center;">Defendant.</p>	<p><b>COMPLAINT</b></p> <p><b>(Ancillary to Case No. 2:12-cv-00591)</b></p> <p>Civil No. _____</p>
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R. Wayne Klein, the Court-Appointed Receiver (the “Receiver” or “Plaintiff”) of National Note of Utah, LC (“National Note”), its subsidiaries and affiliates (collectively, unless otherwise stated, National Note and all subsidiaries and affiliated entities are referred to herein as “NNU”), and the assets of Wayne LaMar Palmer (“Palmer”), in the case styled as *Securities and Exchange Commission v. National Note of Utah, LC et al.*, Case No. 2:12-cv-00591 (D. Utah) (Jenkins, J.) (the “SEC Civil Enforcement Case”), hereby files this Complaint against Sarah Mortensen (“Mortensen”) and John Does 1-5 (“Defendant Does” and together with Mortensen, “Defendant”), and states, alleges and avers as follows:

**STATEMENT OF THE CASE**

1. NNU was operated as an enterprise with all of the characteristics of a Ponzi scheme through which money was solicited from investors.<sup>1</sup> Upon information and belief, Defendant was an NNU investor who received monies from NNU, and the Receiver seeks to avoid the transfers and/or recover the value of the transfers from Defendant for the benefit of the receivership estate established in the SEC Civil Enforcement Case discussed in greater detail below. Additionally, the Receiver seeks a declaration that Defendant has no valid interest in real property of the Receivership Estate.

**PARTIES**

2. Pursuant to an Order Appointing Receiver and Staying Litigation entered on June 25, 2012 in the SEC Civil Enforcement Case (the “Receivership Order”),<sup>2</sup> Plaintiff is the duly-appointed Receiver for National Note and Palmer “together with any and all subsidiaries and affiliated entities of National Note and Palmer. . . .”<sup>3</sup>

3. Upon information and belief, Defendant Mortensen is a resident of or is domiciled in in the State of Utah.

4. Upon information and belief, Defendant Does are currently unknown parties who have received monies or property from NNU, or are persons to whom Mortensen has transferred monies or property received from NNU.

**JURISDICTION AND VENUE**

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<sup>1</sup> See SEC Civil Enforcement Case, Docket No. 1 (Complaint).

<sup>2</sup> SEC Civil Enforcement Case, Docket No. 9.

<sup>3</sup> *Id.* (Receivership Order, pp. 1-2).

5. Subject matter jurisdiction is proper in this Court pursuant to 28 U.S.C. §1367.
6. The Court has personal jurisdiction over Defendant.
7. Venue is proper in this Court pursuant to 28 U.S.C. § 754.

## **FACTS**

### **The Ponzi Scheme**

8. Since at least 1994 until the commencement of the SEC Civil Enforcement Case, NNU raised capital by soliciting investors to purchase promissory notes, which typically promised to pay interest at a rate of interest above market rates.

9. Upon information and belief, investors understood that they were investing in an enterprise that, among other things, bought and sold mortgage notes, underwrote and made loans, or bought and sold real estate assets through National Note, or one of many affiliated entities subject to the Receivership Order, all of which are referred to herein collectively as “NNU.”

10. Typically, investment funds were deposited in a commingled bank account controlled by NNU. NNU would then transfer such investor funds to another bank account (the “Investor Account”).

11. Monies on deposit in the Investor Account were commingled, and transfers to investors by NNU were made from the commingled funds on deposit in that Investor Account.

12. At all times relevant hereto, NNU was insolvent.

### **Defendant’s Investment and the Transfers**

13. On or about 2001, Defendant commenced investing with NNU. A history of Defendant’s investment(s) is attached hereto as Exhibit A.

14. Defendant paid NNU cash in the total amount of \$39,442.69 through a series of

transactions beginning in or about 2001 (the “Principal Cash Investment”).

15. As set forth on Exhibit A, NNU transferred a total of \$48,010.05 in cash to Defendant (the “Total Transfers”).

16. Of the Total Transfers, \$8,567.36 is an amount that is over and above Defendant’s Principal Cash Investment (the “False Profit Transfers”) (collectively, the Total Transfers and the False Profit Transfers are the “Transfers”).<sup>4</sup>

### **National Note’s Investment Scheme**

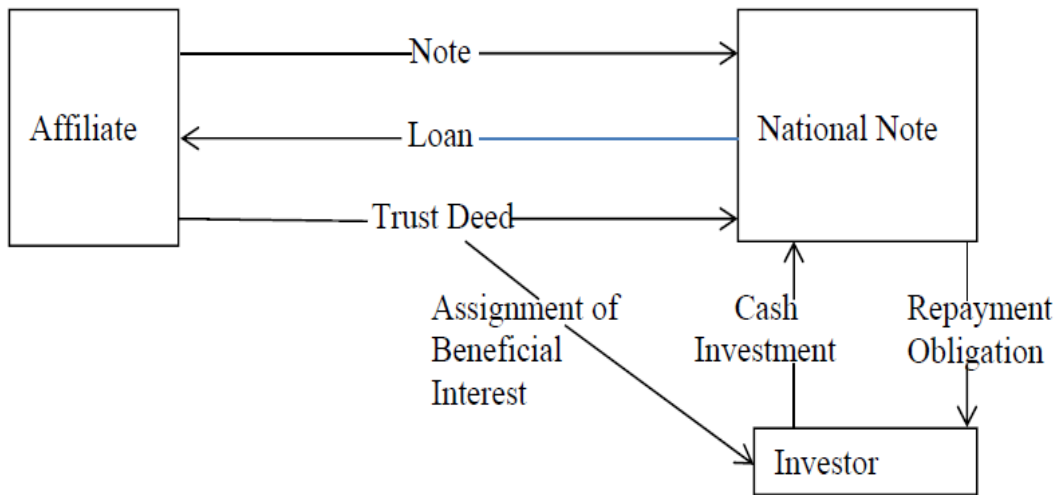
17. National Note represented to investors that their investment in National Note would be secured by real property. National Note did not own real property sufficient to secure these investments. Accordingly, National Note devised a scheme pursuant to which National Note would purport to grant security to investors, when in truth, National Note would take investors’ money and give them no security in return. National Note’s scheme was as follows.

18. First, National Note would lend money to an affiliated entity (the “Affiliate”). The Affiliate would execute a promissory note, pursuant to which it agreed to repay the loan to National Note (the “Affiliate Note”). The Affiliate Note would then be secured by a Trust Deed executed by the Affiliate in favor of National Note (the “Affiliate Trust Deed”).

19. National Note then solicited money from investors by promising that their investment would be secured by Assignments of Beneficial Interest in Trust Deed (the “ABIs”). The ABIs purported to assign National Note’s “right, title and interest” in the Affiliate Trust Deed. National Note did not assign its interest in the Affiliate Note to the investors. The following diagram shows National Note’s scheme:

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<sup>4</sup> See Exh. A.



20. The investors purportedly received an assignment of National Note’s secured interest in real property. This secured interest gave National Note the right to foreclose on the underlying real property if the Affiliate defaulted on the Affiliate Note. If, however, the Affiliate never defaulted and the Affiliate Note was paid, the Affiliate Trust Deed was cancelled and the secured interest disappeared.

21. The Affiliate was not a party to any of the ABIs and there was no privity of contract between the Affiliate and the investors. Accordingly, there was no contract pursuant to which the Affiliate was obligated to pay the Affiliate Note payments to the investors instead of National Note. Moreover, the ABI did not assign National Note’s rights under the Affiliate Note to the investors. Accordingly, the ABI did not give the Investor the right to demand payment under the Affiliate Note.

22. The end result of this scheme was that the investors received no security at all. If National Note breached its agreement with the investor, the investor had no foreclosure rights as a result of the assignment of National Note’s interest in the Affiliate Deed of Trust, because the

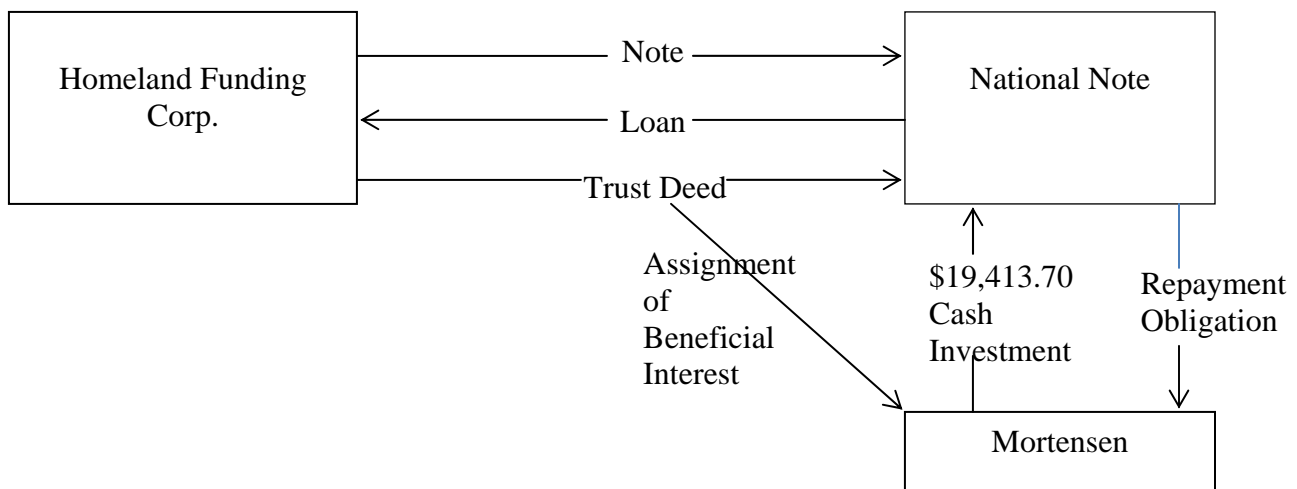
Affiliate Deed of Trust was security for the Affiliate Note, not the agreement between National Note and the investors.

**Defendant Invests \$19,413.70 with National Note**

23. On or about 2007, Defendant invested \$19,413.70 with National Note. This agreement was documented in a Promissory Note, dated July 10, 2007 (the “Mortensen Note”).

24. Consistent with the financing scheme outlined above, the Mortensen Note was not secured by a deed of trust. Instead, on July 17, 2007, National Note executed an Assignment of Beneficial Interest in Trust Deed in favor of Mortensen (the “Mortensen ABI”). The Mortensen ABI purported to assign National Note’s interest in a Trust Deed for real property in Fairfield, Utah - specifically four undeveloped parcels of real estate located in Fairfield, Utah and identified as the Cedar Fort Land (“Fairfield Lots”). The Trust Deed was executed by Homeland Funding, Corp. in favor of National Note (the “Fairfield Trust Deed”). The Fairfield Trust Deed was security for a loan between National Note and Homeland Funding Corp. (the “Fairfield Note”). National Note did not assign its beneficial interest in the Fairfield Note to Defendant.

The following diagram illustrates the transactions:



26. National Note did not execute a trust deed for the Fairfield Lots in favor of Defendant. Moreover, Homeland Funding Corp. is not a party to the Mortensen ABI. Indeed, there is no privity of contract between Homeland Funding Corp. and Defendant. Finally, the Mortensen ABI did not assign National Note's rights under the Fairfield Note to Defendant. Accordingly, the Mortensen ABI did not give Defendant the right to demand payment under the Fairfield Note.

27. All that Defendant purported to receive through the Mortensen ABI was an assignment of National Note's security interest in the Fairfield Trust Deed. National Note's security interest merely gave National Note the right to foreclose on the Fairfield Lots if Homeland Funding Corp. defaulted on the Fairfield Note. If, however, Homeland Funding Corp. never defaulted and the Fairfield Note was paid, the Fairfield Trust Deed was cancelled and the secured interest disappeared, regardless of whether National Note honored the Mortensen Note.

28. Conversely, the Mortensen ABI gave Defendant no right to foreclose on the Fairfield Lots, had National Note defaulted on the Mortensen Note. This is because the Fairfield Trust Deed did not secure the Mortensen Note. Accordingly, as a matter of law and fact, the Mortensen ABI gave no security to Defendant. The Mortensen Note was nothing more than an unsecured note.

#### **The SEC Civil Case and the Receiver's Appointment**

29. On June 25, 2012, the SEC Civil Enforcement Case was filed, alleging that NNU is a Ponzi scheme, and seeking, among other things, orders (a) restraining and enjoining NNU and Palmer from continuing to violate federal securities laws, (b) freezing assets and prohibiting

NNU from transferring, changing, wasting, dissipating, converting, concealing, or otherwise disposing of assets, (c) prohibiting NNU from destroying, mutilating, concealing, transferring, altering, or otherwise disposing of NNU's books and records, (d) imposing civil money penalties against NNU and Palmer, and (e) requiring the disgorgement by NNU and Palmer of all ill-gotten gains received by them pursuant to the scheme.<sup>5</sup>

30. Also on June 25, 2012, as a result of the filing of the SEC Civil Enforcement Action, the Court entered a Temporary Restraining Order and Order to Show Cause against the defendants<sup>6</sup> and the Receivership Order appointing the Receiver.<sup>7</sup> Since that time, both National Note and Palmer have stipulated to a Preliminary Injunction Order that prohibits National Note and Palmer from committing any further acts in furtherance of the Ponzi scheme and that prohibits National Note and Palmer from withdrawing, transferring, selling, buying, pledging, encumbering, assigning, dissipating, concealing, or otherwise disposing of any of their assets.<sup>8</sup>

31. On or about May 21, 2013, the Court entered an Order authorizing the Receiver to commence legal proceedings for the benefit of and on behalf of the receivership estate.<sup>9</sup>

**FIRST CLAIM FOR RELIEF**

*(Avoidance of Fraudulent Transfers Under Utah Code Ann. §§ 25-6-5(1)(a) and 25-6-8)*

32. The Receiver re-alleges and incorporates herein by reference each of the preceding allegations as if set forth completely herein.

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<sup>5</sup> SEC Civil Enforcement Case, Docket No. 1 (Complaint).

<sup>6</sup> *Id.*, Docket No. 7.

<sup>7</sup> *Id.*, Docket No. 9.

<sup>8</sup> *Id.*, Docket Nos. 45 and 46.

<sup>9</sup> *Id.*, Docket No. 315.



33. NNU was engaged in an enterprise with all of the characteristics of a Ponzi scheme.

34. NNU made the Transfers to Defendant in furtherance of the Ponzi scheme.

35. At all relevant times hereto, NNU had at least one creditor.

36. The Transfers were made and any obligations to Defendant incurred with actual intent to hinder, delay or defraud a creditor of NNU.

37. Pursuant to Utah Code Ann. §§ 25-6-5(1)(a) and 25-6-8, the Receiver may avoid and recover the Transfers to Defendant.

38. Alternatively, to the extent that Defendant took in good faith and for a reasonably equivalent value, the Receiver may avoid and recover the False Profit Transfers from Defendant.

**SECOND CLAIM FOR RELIEF**

*(Avoidance of Fraudulent Transfers Under Utah Code Ann. §§ 25-6-5(1)(b) and 25-6-8)*

39. The Receiver re-alleges and incorporates herein by reference each of the preceding allegations as if set forth completely herein.

40. NNU was engaged in an enterprise that has all of the characteristics of a Ponzi scheme.

41. NNU made the Transfers to Defendant in furtherance of the Ponzi scheme.

42. At all relevant times hereto, NNU had at least one creditor.

43. The Transfers were made or the obligations to Defendant were incurred by NNU without receiving a reasonably equivalent value in exchange for the Transfers or obligations.

44. At the time the Transfers were made, NNU (a) was engaged or was about to be engaged in a business or transaction for which the remaining assets of NNU were unreasonably

small in relation to the business or transaction; or (b) intended to incur, or believed or reasonably should have believed that it would incur, debts beyond its ability to pay as such debts became due.

45. Pursuant to Utah Code Ann. §§ 25-6-5(1)(b) and 25-6-8, the Receiver may avoid and recover the Transfers to Defendant.

46. Alternatively, to the extent that Defendant took in good faith and for a reasonably equivalent value, the Receiver may avoid and recover the False Profit Transfers from Defendant.

**THIRD CLAIM FOR RELIEF**

*(Avoidance of Fraudulent Transfers Under Utah Code Ann. §§ 25-6-6(1) and 25-6-8)*

47. The Receiver re-alleges and incorporates herein by reference each of the preceding allegations as if set forth completely herein.

48. NNU was engaged in a Ponzi scheme.

49. NNU made the Transfers to Defendant in furtherance of the Ponzi scheme

50. NNU had at least one creditor at the time that the Transfers were made or the obligation to Defendant was incurred.

51. The Transfers were made or the obligation to Defendant was incurred by NNU without NNU receiving a reasonably equivalent value in exchange for the Transfer or obligation.

52. NNU was insolvent at the time the Transfers were made or the obligation was incurred, or became insolvent as a result of the Transfers or the obligation incurred.

53. Pursuant to Utah Code Ann. §§ 25-6-6(1) and 25-6-8, the Receiver may avoid and recover the Transfers to Defendant.

54. Alternatively, to the extent that Defendant took in good faith and for a reasonably

equivalent value, the Receiver may avoid and recover the False Profit Transfers from Defendant.

**FOURTH CLAIM FOR RELIEF**

*(Constructive Trust)*

55. The Receiver re-alleges and incorporates herein by reference each of the preceding allegations as if set forth completely herein.

56. The Transfers to Defendant were comprised of property of NNU and were made by NNU in furtherance of the Ponzi scheme.

57. Allowing Defendant to retain the Transfers would unjustly enrich Defendant and would be inequitable.

58. The Transfers can be traced to wrongful behavior.

59. An injustice would result if Defendant was allowed to keep the Transfers.

60. A constructive trust for the benefit of the receivership estate must be imposed for the benefit of the receivership estate in the amount of the Transfers made by NNU to Defendant, or in the alternative if Defendant acted in good faith, for the False Profit Transfers.

**FIFTH CLAIM FOR RELIEF**

*(Unjust Enrichment)*

61. The Receiver re-alleges and incorporates herein by reference each of the preceding allegations as if set forth completely herein.

62. The Transfers to Defendant were comprised of property of NNU and were made by NNU in furtherance of the Ponzi scheme.

63. The Transfers conferred a benefit upon Defendant.

64. The Defendant knowingly benefitted from the Transfers.

65. Allowing Defendant to retain the Transfers would unjustly enrich Defendant and

would be inequitable.

66. Absent return of the Transfers, the receivership estate will be damaged by Defendant's unjust enrichment and may have no adequate remedy at law.

67. Defendant must disgorge the amount of the Transfers, or if Defendant acted in good faith, the False Profit Transfers, for the benefit of the receivership estate.

**SIXTH CLAIM FOR RELIEF**

*(Disgorgement)*

68. The Receiver re-alleges and incorporates herein by reference each of the preceding allegations as if set forth completely herein.

69. The Transfers were made as part of and in furtherance of a Ponzi scheme.

70. The Transfers were ill-gotten by Defendant.

71. Defendant has no claim to the Transfers made by NNU, or derivatively, from NNU's investors.

72. All Transfers made to Defendant, or if Defendant acted in good faith, the False Profit Transfers, should be disgorged to the Receiver for the benefit of the receivership estate.

**SEVENTH CLAIM FOR RELIEF**

*(Declaratory Judgment)*

73. The Receiver incorporates by reference herein all previous paragraphs of this Complaint.

74. An actual controversy has arisen between the Receiver and Defendant regarding the enforceability of the Mortensen ABI.

75. The Receiver is entitled to a declaratory judgment that:

- a. The Mortensen ABI is invalid and never gave Defendant any security for its \$19,413.70 investment with National Note.

76. A judicial declaration is necessary and appropriate at this time under the circumstances in order that the respective rights and duties of the parties may be determined.

**PRAYER FOR RELIEF**

WHEREFORE, the Receiver prays for Judgment against Defendant as follows:

A. Pursuant to the Receiver's First Claim for Relief, judgment against Defendant avoiding the Transfers under Utah Code Ann. §§ 25-6-5(a)(1) and 25-6-8, and permitting Plaintiff's recovery of the value of the Transfers in the total amount of \$48,010.05, or alternatively, the amount of the False Profit Transfers, in the total amount of \$8,567.36.

B. Pursuant to the Receiver's Second Claim for Relief, judgment against Defendant avoiding the Transfers under Utah Code Ann. §§ 25-6-5(a)(2) and 25-6-8, and permitting Plaintiff's recovery of the value of the Transfers in the total amount of \$48,010.05, or alternatively, the amount of the False Profit Transfers, in the total amount of \$8,567.36.

C. Pursuant to the Receiver's Third Claim for Relief, judgment against Defendant avoiding the Transfers under Utah Code Ann. §§ 25-6-6(1) and 25-6-8, and permitting Plaintiff's recovery of the value of the Transfers in the total amount of \$48,010.05, or alternatively, the amount of the False Profit Transfers, in the total amount of \$8,567.36.

D. Pursuant to the Receiver's Fourth Claim for Relief, judgment against Defendant imposing a constructive trust for the benefit of the receivership estate on any and all Transfers, or alternatively, all False Profit Transfers.

E. Pursuant to the Receiver's Fifth Claim for Relief, judgment against Defendant for

unjust enrichment, and requiring Defendant to disgorge the Transfers in the total amount of \$48,010.05, or alternatively, the amount of the False Profit Transfers, in the total amount of \$8,567.36.

F. Pursuant to the Receiver's Sixth Claim for Relief, entry of an Order requiring Defendant to disgorge the Transfers in the total amount of \$48,010.05, or alternatively, the amount of the False Profit Transfers, in the total amount of \$8,567.36.

G. Pursuant to the Receiver's Seventh Claim for Relief, entry of an Order and Judgment declaring that:

a. The Mortensen ABI is invalid and never gave Defendant any security for its \$19,413.70 loan to National Note.

H. Judgment for pre-judgment interest, costs, and fees, including reasonable attorney's fees, as may be allowed by law.

I. For such other and further relief as the Court deems just and proper.

DATED this 21<sup>st</sup> day of June, 2013.

**DORSEY & WHITNEY LLP**

*/s/ Peggy Hunt*

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Peggy Hunt

Chris Martinez

Jeffrey M. Armington

*Attorneys for Receiver*

# EXHIBIT A

### Investment Pay History

Reference

Mortensen SM01-1110-PY NNU  
 Printed 02/12/13 Period of 01/01/90 - 12/31/12

Additional information

# 50

Regular pmt:	700.00	Int rate:	12.000 12.000	Rem pmts:	5/ 5	Orig bal:	0.00
Escrow pmt:	0.00	Int calc:	Fixed	Per diem:	1.10	Orig date:	11/10/01
Service fee:	0.00	Pmt type:	1099 T USRule 365 M	Next due:	11/01/11	Maturity:	03/01/12
Total pmt:	700.00	NSF fee:	0.00	Arrears:	3500.00		
		Reminder:	03/01/12				

BALLOON DATE

Pay Date	Due/Type	Amount	RetCap/Ref	Income	DiscEarn	Basis	----- Payment/Balance -----		-----
							Escrow	Late	Svc
11/10/01		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
11/10/01	P	-8000.00	-8000.00	0.00	0.00	8000.00	0.00	0.00	0.00
			INITIAL						
Annual Total:		0.00	-8000.00	0.00	0.00		0.00	0.00	0.00
Escrow Paid Out:							0.00		
01/01/02	01/01/02 R	136.77	0.00	80.00	0.00	8000.00	0.00	0.00	0.00
			9362	56.77 AI					
01/01/02	P	0.00	0.00	56.77	0.00	8000.00	0.00	0.00	0.00
			9362						
02/01/02	02/01/02 R	80.00	0.00	80.00	0.00	8000.00	0.00	0.00	0.00
			9446						
02/28/02	03/01/02 R	80.00	0.00	80.00	0.00	8000.00	0.00	0.00	0.00
			9535						
03/18/02	P	-1000.00	-1000.00	0.00	0.00	9000.00	0.00	0.00	0.00
			ADD2PRIN	44.71 AI					
03/18/02	P	-1000.00	-1000.00	0.00	0.00	10000.00	0.00	0.00	0.00
			ADD2PRIN	44.71 AI					
04/01/02	04/01/02 R	90.74	0.00	80.00	0.00	10000.00	0.00	0.00	0.00
			9616	10.74 AI					
04/01/02	P	0.00	0.00	10.74	0.00	10000.00	0.00	0.00	0.00
			9616						
05/01/02	05/01/02 R	100.00	0.00	100.00	0.00	10000.00	0.00	0.00	0.00
			9700						
05/01/02	P	-100.00	-100.00	0.00	0.00	10100.00	0.00	0.00	0.00
			ADD2PRIN						
05/13/02	P	39.85	0.00	39.85	0.00	10100.00	0.00	0.00	0.00
			INT9730						
05/13/02	Y	10100.00	10100.00	0.00	0.00	0.00	0.00	0.00	0.00
			PO 2364						
Annual Total:		10627.36	8000.00	527.36	0.00		0.00	0.00	0.00
Escrow Paid Out:							0.00		
07/09/04	06/01/02 R	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
			BRINGCUR						
07/09/04	07/01/02 R	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
			BRINGCUR						



## Investment Pay History

Reference

SM01-1110-PY NNU Page 2  
 Printed 02/12/13 Period of 01/01/90 - 12/31/12

Pay Date	Due/Type	Amount	RetCap/Ref	Income	DiscEarn	Basis	Payment/Balance		Svc
							Escrow	Late	
07/09/04	08/01/02 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	09/01/02 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	10/01/02 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	11/01/02 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	12/01/02 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	01/01/03 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	02/01/03 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	03/01/03 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	04/01/03 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	05/01/03 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	06/01/03 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	07/01/03 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	08/01/03 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	09/01/03 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	10/01/03 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	11/01/03 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	12/01/03 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	01/01/04 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	02/01/04 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	03/01/04 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	04/01/04 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	05/01/04 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	06/01/04 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	07/01/04 R	0.00	0.00 BRINGCUR	0.00	0.00	0.00	0.00	0.00	0.00
07/09/04	P	-8400.00	-8400.00 ADD2PRIN	0.00	0.00	8400.00	0.00	0.00	0.00

## Investment Pay History

Reference

SM01-1110-PY NNU

Page 3

Printed 02/12/13

Period of 01/01/90 - 12/31/12

Pay Date	Due/Type	Amount	RetCap/Ref	Income	DiscEarn	Basis	----- Payment/Balance -----		Svc
							Escrow	Late	
08/01/04	08/01/04 R	84.00	0.00	0.01	0.00	8400.00	0.00	0.00	0.00
			12343	83.99 AI					
08/01/04	P	0.00	0.00	83.99	0.00	8400.00	0.00	0.00	0.00
			12343						
08/01/04	P	-84.00	-84.00	0.00	0.00	8484.00	0.00	0.00	0.00
			ADD2PRIN						
08/04/04	P	-1160.00	-1160.00	0.00	0.00	9644.00	0.00	0.00	0.00
			CASH	8.37 AI					
09/01/04	09/01/04 R	97.15	0.00	0.01	0.00	9644.00	0.00	0.00	0.00
			12482	97.14 AI					
09/01/04	P	0.00	0.00	97.14	0.00	9644.00	0.00	0.00	0.00
			12482						
09/01/04	P	-97.15	-97.15	0.00	0.00	9741.15	0.00	0.00	0.00
			ADD2PRIN						
10/01/04	10/01/04 R	97.41	0.00	0.01	0.00	9741.15	0.00	0.00	0.00
			12628	97.40 AI					
10/01/04	P	0.00	0.00	97.40	0.00	9741.15	0.00	0.00	0.00
			12628						
10/01/04	P	-97.41	-97.41	0.00	0.00	9838.56	0.00	0.00	0.00
			ADD2PRIN						
11/01/04	11/01/04 R	98.39	0.00	0.01	0.00	9838.56	0.00	0.00	0.00
			12786	98.38 AI					
11/01/04	P	0.00	0.00	98.38	0.00	9838.56	0.00	0.00	0.00
			12786						
11/01/04	P	-98.39	-98.39	0.00	0.00	9936.95	0.00	0.00	0.00
			ADD2PRIN						
11/12/04	P	600.00	564.06	35.94	0.00	9372.89	0.00	0.00	0.00
			2935						
12/01/04	12/01/04 R	58.55	0.00	0.01	0.00	9372.89	0.00	0.00	0.00
			12943	58.54 AI					
12/01/04	P	0.00	0.00	58.54	0.00	9372.89	0.00	0.00	0.00
			12943						
12/01/04	P	-58.55	-58.55	0.00	0.00	9431.44	0.00	0.00	0.00
			ADD2PRIN						
<b>Annual Total:</b>		<b>1035.50</b>	<b>-9431.44</b>	<b>471.44</b>	<b>0.00</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Escrow Paid Out:</b>							<b>0.00</b>		
01/01/05	01/01/05 R	94.31	0.00	0.01	0.00	9431.44	0.00	0.00	0.00
			13114	94.30 AI					
01/01/05	P	0.00	0.00	94.30	0.00	9431.44	0.00	0.00	0.00
			13114						
01/01/05	P	-94.31	-94.31	0.00	0.00	9525.75	0.00	0.00	0.00
			ADD2PRIN						
02/01/05	02/01/05 R	95.26	0.00	0.01	0.00	9525.75	0.00	0.00	0.00
			13283	95.25 AI					
02/01/05	P	0.00	0.00	95.25	0.00	9525.75	0.00	0.00	0.00
			13283						
02/01/05	P	-95.26	-95.26	0.00	0.00	9621.01	0.00	0.00	0.00
			ADD2PRIN						

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Pay Date	Due/Type	Amount	RetCap/Ref	Income	DiscEarn	Basis	Payment/Balance		Svc
							Escrow	Late	
03/01/05	03/01/05 R	96.21	0.00	0.01	0.00	9621.01	0.00	0.00	0.00
			13462	96.20 AI					
03/01/05	P	0.00	0.00	96.20	0.00	9621.01	0.00	0.00	0.00
			13462						
03/01/05	P	-96.21	-96.21	0.00	0.00	9717.22	0.00	0.00	0.00
			ADD2PRIN						
04/01/05	04/01/05 R	97.17	0.00	0.01	0.00	9717.22	0.00	0.00	0.00
			13660	97.16 AI					
04/01/05	P	0.00	0.00	97.16	0.00	9717.22	0.00	0.00	0.00
			13660						
04/01/05	P	-97.17	-97.17	0.00	0.00	9814.39	0.00	0.00	0.00
			ADD2PRIN						
05/01/05	05/01/05 R	98.14	0.00	0.01	0.00	9814.39	0.00	0.00	0.00
			13866	98.13 AI					
05/01/05	P	0.00	0.00	98.13	0.00	9814.39	0.00	0.00	0.00
			13866						
05/01/05	P	-98.14	-98.14	0.00	0.00	9912.53	0.00	0.00	0.00
			ADD2PRIN						
06/01/05	06/01/05 R	99.13	0.00	0.01	0.00	9912.53	0.00	0.00	0.00
			14085	99.12 AI					
06/01/05	P	0.00	0.00	99.12	0.00	9912.53	0.00	0.00	0.00
			14085						
06/01/05	P	-99.13	-99.13	0.00	0.00	10011.66	0.00	0.00	0.00
			ADD2PRIN						
07/01/05	07/01/05 R	100.17	0.00	0.01	0.00	10011.66	0.00	0.00	0.00
			15327	100.11 AI					
07/01/05	P	0.00	0.05	100.11	0.00	10011.61	0.00	0.00	0.00
			15327						
07/01/05	P	-100.17	-100.17	0.00	0.00	10111.78	0.00	0.00	0.00
			ADD2PRIN						
08/01/05	08/01/05 R	101.12	0.00	0.01	0.00	10111.78	0.00	0.00	0.00
			14582	101.11 AI					
08/01/05	P	0.00	0.00	101.11	0.00	10111.78	0.00	0.00	0.00
			14582						
08/01/05	P	-101.12	-101.12	0.00	0.00	10212.90	0.00	0.00	0.00
			ADD2PRIN						
09/01/05	09/01/05 R	102.13	0.00	0.01	0.00	10212.90	0.00	0.00	0.00
			14844	102.12 AI					
09/01/05	P	0.00	0.00	102.12	0.00	10212.90	0.00	0.00	0.00
			14844						
09/01/05	P	-102.13	-102.13	0.00	0.00	10315.03	0.00	0.00	0.00
			ADD2PRIN						
10/01/05	10/01/05 R	103.15	0.00	0.01	0.00	10315.03	0.00	0.00	0.00
			15118	103.14 AI					
10/01/05	P	0.00	0.00	103.14	0.00	10315.03	0.00	0.00	0.00
			15118						
10/01/05	P	-103.15	-103.15	0.00	0.00	10418.18	0.00	0.00	0.00
			ADD2PRIN						
11/01/05	11/01/05 R	104.18	0.00	0.01	0.00	10418.18	0.00	0.00	0.00
			15403	104.17 AI					

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Pay Date	Due/Type	Amount	RetCap/Ref	Income	DiscEarn	Basis	Payment/Balance		Svc
							Escrow	Late	
11/01/05	P	0.00	0.00 15403	104.17	0.00	10418.18	0.00	0.00	0.00
11/01/05	P	-104.18	-104.18 ADD2PRIN	0.00	0.00	10522.36	0.00	0.00	0.00
12/01/05	12/01/05 R	105.22	0.00 15706	0.01 105.21 AI	0.00	10522.36	0.00	0.00	0.00
12/01/05	P	0.00	0.00 15706	105.21	0.00	10522.36	0.00	0.00	0.00
12/01/05	P	-105.22	-105.22 ADD2PRIN	0.00	0.00	10627.58	0.00	0.00	0.00
<b>Annual Total:</b>		<b>1196.19</b>	<b>-1196.14</b>	<b>1196.14</b>	<b>0.00</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Escrow Paid Out:</b>							<b>0.00</b>		
01/01/06	01/01/06 R	106.28	0.00 16017	0.01 106.27 AI	0.00	10627.58	0.00	0.00	0.00
01/01/06	P	0.00	0.00 16017	106.27	0.00	10627.58	0.00	0.00	0.00
01/01/06	P	-106.28	-106.28 ADD2PRIN	0.00	0.00	10733.86	0.00	0.00	0.00
02/01/06	02/01/06 R	107.34	0.00 16340	0.01 107.33 AI	0.00	10733.86	0.00	0.00	0.00
02/01/06	P	0.00	0.00 16340	107.33	0.00	10733.86	0.00	0.00	0.00
02/01/06	P	-107.34	-107.34 ADD2PRIN	0.00	0.00	10841.20	0.00	0.00	0.00
03/01/06	03/01/06 R	108.41	0.00 16676	0.01 108.40 AI	0.00	10841.20	0.00	0.00	0.00
03/01/06	P	0.00	0.00 16676	108.40	0.00	10841.20	0.00	0.00	0.00
03/01/06	P	-108.41	-108.41 ADD2PRIN	0.00	0.00	10949.61	0.00	0.00	0.00
04/01/06	04/01/06 R	109.50	0.00 17027	0.01 109.49 AI	0.00	10949.61	0.00	0.00	0.00
04/01/06	P	0.00	0.00 17027	109.49	0.00	10949.61	0.00	0.00	0.00
04/01/06	P	-109.50	-109.50 ADD2PRIN	0.00	0.00	11059.11	0.00	0.00	0.00
04/19/06	P	-2000.00	-2000.00 CASH	0.00 65.45 AI	0.00	13059.11	0.00	0.00	0.00
05/01/06	05/01/06 R	116.97	0.00 17393	0.01 116.96 AI	0.00	13059.11	0.00	0.00	0.00
05/01/06	P	0.00	0.00 17393	116.96	0.00	13059.11	0.00	0.00	0.00
05/01/06	P	-116.97	-116.97 ADD2PRIN	0.00	0.00	13176.08	0.00	0.00	0.00
05/19/06	P	-1000.00	-1000.00 CASH	0.00 77.97 AI	0.00	14176.08	0.00	0.00	0.00
06/01/06	06/01/06 R	138.56	0.00 17776	0.01 138.55 AI	0.00	14176.08	0.00	0.00	0.00

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Pay Date	Due/Type	Amount	RetCap/Ref	Income	DiscEarn	Basis	Payment/Balance		Svc
							Escrow	Late	
06/01/06	P	0.00	0.00 17776	138.55	0.00	14176.08	0.00	0.00	0.00
06/01/06	P	-138.56	-138.56 ADD2PRIN	0.00	0.00	14314.64	0.00	0.00	0.00
07/01/06	07/01/06 R	143.15	0.00 18161	0.01 143.14 AI	0.00	14314.64	0.00	0.00	0.00
07/01/06	P	0.00	0.00 18161	143.14	0.00	14314.64	0.00	0.00	0.00
07/01/06	P	-143.15	-143.15 ADD2PRIN	0.00	0.00	14457.79	0.00	0.00	0.00
08/01/06	08/01/06 R	144.58	0.00 18558	0.01 144.57 AI	0.00	14457.79	0.00	0.00	0.00
08/01/06	P	0.00	0.00 18558	144.57	0.00	14457.79	0.00	0.00	0.00
08/01/06	P	-144.58	-144.58 ADD2PRIN	0.00	0.00	14602.37	0.00	0.00	0.00
09/01/06	09/01/06 R	146.02	0.00 18970	0.01 146.01 AI	0.00	14602.37	0.00	0.00	0.00
09/01/06	P	0.00	0.00 18970	146.01	0.00	14602.37	0.00	0.00	0.00
09/01/06	P	-146.02	-146.02 ADD2PRIN	0.00	0.00	14748.39	0.00	0.00	0.00
10/01/06	10/01/06 R	147.48	0.00 19390	0.01 147.47 AI	0.00	14748.39	0.00	0.00	0.00
10/01/06	P	0.00	0.00 19390	147.47	0.00	14748.39	0.00	0.00	0.00
10/01/06	P	-147.48	-147.48 ADD2PRIN	0.00	0.00	14895.87	0.00	0.00	0.00
10/04/06	P	-1000.00	-1000.00 CASH	0.00 14.69 AI	0.00	15895.87	0.00	0.00	0.00
10/25/06	11/01/06 R	161.02	0.00 19817	0.01 161.01 AI	0.00	15895.87	0.00	0.00	0.00
10/25/06	P	0.00	0.00 19817	161.01	0.00	15895.87	0.00	0.00	0.00
10/25/06	P	-161.02	-161.02 ADD2PRIN	0.00	0.00	16056.89	0.00	0.00	0.00
12/01/06	12/01/06 R	160.57	0.00 20251	0.01 160.56 AI	0.00	16056.89	0.00	0.00	0.00
12/01/06	P	0.00	0.00 20251	160.56	0.00	16056.89	0.00	0.00	0.00
12/01/06	P	-160.57	-160.57 ADD2PRIN	0.00	0.00	16217.46	0.00	0.00	0.00
<b>Annual Total:</b>		<b>1589.88</b>	<b>-5589.88</b>	<b>1589.88</b>	<b>0.00</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Escrow Paid Out:</b>							<b>0.00</b>		
01/01/07	01/01/07 R	162.17	0.00 20692	0.01 162.16 AI	0.00	16217.46	0.00	0.00	0.00
01/01/07	P	0.00	0.00 20692	162.16	0.00	16217.46	0.00	0.00	0.00

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Pay Date	Due/Type	Amount	RetCap/Ref	Income	DiscEarn	Basis	Payment/Balance		Svc
							Escrow	Late	
01/01/07	P	-162.17	-162.17	0.00	0.00	16379.63	0.00	0.00	0.00
			ADD2PRIN						
02/01/07	02/01/07 R	163.80	0.00	0.01	0.00	16379.63	0.00	0.00	0.00
			21139	163.79 AI					
02/01/07	P	0.00	0.00	163.79	0.00	16379.63	0.00	0.00	0.00
			21139						
02/01/07	P	-163.80	-163.80	0.00	0.00	16543.43	0.00	0.00	0.00
			ADD2PRIN						
03/01/07	03/01/07 R	165.43	0.00	0.01	0.00	16543.43	0.00	0.00	0.00
			21600	165.42 AI					
03/01/07	P	0.00	0.00	165.42	0.00	16543.43	0.00	0.00	0.00
			21600						
03/01/07	P	-165.43	-165.43	0.00	0.00	16708.86	0.00	0.00	0.00
			ADD2PRIN						
04/01/07	04/01/07 R	167.09	0.00	0.01	0.00	16708.86	0.00	0.00	0.00
			22062	167.08 AI					
04/01/07	P	0.00	0.00	167.08	0.00	16708.86	0.00	0.00	0.00
			22062						
04/01/07	P	-167.09	-167.09	0.00	0.00	16875.95	0.00	0.00	0.00
			ADD2PRIN						
04/13/07	P	-1100.00	-1100.00	0.00	0.00	17975.95	0.00	0.00	0.00
			CASH	66.58 AI					
05/01/07	05/01/07 R	172.96	0.00	0.01	0.00	17975.95	0.00	0.00	0.00
			22540	172.95 AI					
05/01/07	P	0.00	0.00	172.95	0.00	17975.95	0.00	0.00	0.00
			22540						
05/01/07	P	-172.96	-172.96	0.00	0.00	18148.91	0.00	0.00	0.00
			ADD2PRIN						
06/01/07	06/01/07 R	181.49	0.00	0.01	0.00	18148.91	0.00	0.00	0.00
			23002	181.48 AI					
06/01/07	P	0.00	0.00	181.48	0.00	18148.91	0.00	0.00	0.00
			23002						
06/01/07	P	-181.49	-181.49	0.00	0.00	18330.40	0.00	0.00	0.00
			ADD2PRIN						
07/01/07	07/01/07 R	183.30	0.00	0.01	0.00	18330.40	0.00	0.00	0.00
			23477	183.29 AI					
07/01/07	P	0.00	0.00	183.29	0.00	18330.40	0.00	0.00	0.00
			23477						
07/01/07	P	-183.30	-183.30	0.00	0.00	18513.70	0.00	0.00	0.00
			ADD2PRIN						
07/10/07	P	-900.00	-900.00	0.00	0.00	19413.70	0.00	0.00	0.00
			CASH	54.78 AI					
08/01/07	08/01/07 R	195.20	0.00	0.01	0.00	19413.70	0.00	0.00	0.00
			23958	195.19 AI					
08/01/07	P	0.00	0.00	195.19	0.00	19413.70	0.00	0.00	0.00
			23958						
08/01/07	P	-195.20	-195.20	0.00	0.00	19608.90	0.00	0.00	0.00
			ADD2PRIN						
09/01/07	09/01/07 R	196.09	0.00	0.01	0.00	19608.90	0.00	0.00	0.00
			24442	196.08 AI					

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Pay Date	Due/Type	Amount	RetCap/Ref	Income	DiscEarn	Basis	Payment/Balance		
							Escrow	Late	Svc
09/01/07	P	0.00	0.00	196.08	0.00	19608.90	0.00	0.00	0.00
			24442						
09/01/07	P	-196.09	-196.09	0.00	0.00	19804.99	0.00	0.00	0.00
			ADD2PRIN						
10/01/07	10/01/07 R	198.05	0.00	0.01	0.00	19804.99	0.00	0.00	0.00
			24943	198.04 AI					
10/01/07	P	0.00	0.00	198.04	0.00	19804.99	0.00	0.00	0.00
			24943						
10/01/07	P	-198.05	-198.05	0.00	0.00	20003.04	0.00	0.00	0.00
			ADD2PRIN						
11/01/07	11/01/07 R	200.03	0.00	0.01	0.00	20003.04	0.00	0.00	0.00
			25442	200.02 AI					
11/01/07	P	0.00	0.00	200.02	0.00	20003.04	0.00	0.00	0.00
			25442						
11/01/07	P	-200.03	-200.03	0.00	0.00	20203.07	0.00	0.00	0.00
			ADD2PRIN						
12/01/07	12/01/07 R	202.03	0.00	0.01	0.00	20203.07	0.00	0.00	0.00
			25952	202.02 AI					
12/01/07	P	0.00	0.00	202.02	0.00	20203.07	0.00	0.00	0.00
			25952						
12/01/07	P	-202.03	-202.03	0.00	0.00	20405.10	0.00	0.00	0.00
			ADD2PRIN						
12/27/07	01/01/08 R	7000.00	0.00	0.01	0.00	20405.10	0.00	0.00	0.00
			4134	204.04 AI					
12/27/07	P	0.00	6795.95	204.04	0.00	13609.15	0.00	0.00	0.00
			4134						
Annual Total:		9187.64	2608.31	2391.69	0.00		0.00	0.00	0.00
Escrow Paid Out:							0.00		
02/01/08	02/01/08 R	136.09	0.00	0.01	0.00	13609.15	0.00	0.00	0.00
			26982	136.08 AI					
02/01/08	P	0.00	0.00	136.08	0.00	13609.15	0.00	0.00	0.00
			26982						
02/01/08	P	-136.09	-136.09	0.00	0.00	13745.24	0.00	0.00	0.00
			ADD2PRIN						
03/01/08	03/01/08 R	13882.69	0.00	0.01	0.00	13745.24	0.00	0.00	0.00
			27509	137.44 AI					
03/01/08	Y	0.00	13745.24	137.44	0.00	0.00	0.00	0.00	0.00
			27509						
03/14/08	P	-13882.69	-13882.69	0.00	0.00	13882.69	0.00	0.00	0.00
			ADDBACK						
04/01/08	04/01/08 R	82.16	0.00	0.01	0.00	13882.69	0.00	0.00	0.00
			28049	82.15 AI					
04/01/08	P	0.00	0.00	82.15	0.00	13882.69	0.00	0.00	0.00
			28049						
04/01/08	P	-82.16	-82.16	0.00	0.00	13964.85	0.00	0.00	0.00
			ADD2PRIN						
05/01/08	05/01/08 R	139.65	0.00	0.01	0.00	13964.85	0.00	0.00	0.00
			28589	139.64 AI					

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Pay Date	Due/Type	Amount	RetCap/Ref	Income	DiscEarn	Basis	----- Payment/Balance -----		
							Escrow	Late	Svc
05/01/08	P	0.00	0.00	139.64	0.00	13964.85	0.00	0.00	0.00
			28589						
05/01/08	P	-139.65	-139.65	0.00	0.00	14104.50	0.00	0.00	0.00
			ADD2PRIN						
06/01/08	06/01/08 R	141.05	0.00	0.01	0.00	14104.50	0.00	0.00	0.00
			29135	141.04 AI					
06/01/08	P	0.00	0.00	141.04	0.00	14104.50	0.00	0.00	0.00
			29135						
06/01/08	P	-141.05	-141.05	0.00	0.00	14245.55	0.00	0.00	0.00
			ADD2PRIN						
07/01/08	07/01/08 R	142.46	0.00	0.01	0.00	14245.55	0.00	0.00	0.00
			29693	142.45 AI					
07/01/08	P	0.00	0.00	142.45	0.00	14245.55	0.00	0.00	0.00
			29693						
07/01/08	P	-142.46	-142.46	0.00	0.00	14388.01	0.00	0.00	0.00
			ADD2PRIN						
08/01/08	08/01/08 R	143.88	0.00	0.01	0.00	14388.01	0.00	0.00	0.00
			30246	143.87 AI					
08/01/08	P	0.00	0.00	143.87	0.00	14388.01	0.00	0.00	0.00
			30246						
08/01/08	P	-143.88	-143.88	0.00	0.00	14531.89	0.00	0.00	0.00
			ADD2PRIN						
09/01/08	09/01/08 R	145.32	0.00	0.01	0.00	14531.89	0.00	0.00	0.00
			30797	145.31 AI					
09/01/08	P	0.00	0.00	145.31	0.00	14531.89	0.00	0.00	0.00
			30797						
09/01/08	P	-145.32	-145.32	0.00	0.00	14677.21	0.00	0.00	0.00
			ADD2PRIN						
10/01/08	10/01/08 R	146.77	0.00	0.01	0.00	14677.21	0.00	0.00	0.00
			31358	146.76 AI					
10/01/08	P	0.00	0.00	146.76	0.00	14677.21	0.00	0.00	0.00
			31358						
10/01/08	P	-146.77	-146.77	0.00	0.00	14823.98	0.00	0.00	0.00
			ADD2PRIN						
11/01/08	11/01/08 R	148.24	0.00	0.01	0.00	14823.98	0.00	0.00	0.00
			31920	148.23 AI					
11/01/08	P	0.00	0.00	148.23	0.00	14823.98	0.00	0.00	0.00
			31920						
11/01/08	P	-148.24	-148.24	0.00	0.00	14972.22	0.00	0.00	0.00
			ADD2PRIN						
12/01/08	12/01/08 R	149.72	0.00	0.01	0.00	14972.22	0.00	0.00	0.00
			32485	149.71 AI					
12/01/08	P	0.00	0.00	149.71	0.00	14972.22	0.00	0.00	0.00
			32485						
12/01/08	P	-149.72	-149.72	0.00	0.00	15121.94	0.00	0.00	0.00
			ADD2PRIN						
<b>Annual Total:</b>		<b>15258.03</b>	<b>-1512.79</b>	<b>1512.79</b>	<b>0.00</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Escrow Paid Out:</b>							<b>0.00</b>		



## Investment Pay History

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Pay Date	Due/Type	Amount	RetCap/Ref	Income	DiscEarn	Basis	Payment/Balance		Svc
							Escrow	Late	
01/01/09	01/01/09 R	151.22	0.00	0.01	0.00	15121.94	0.00	0.00	0.00
			33057	151.21 AI					
01/01/09	P	0.00	0.00	151.21	0.00	15121.94	0.00	0.00	0.00
			33057						
01/01/09	P	-151.22	-151.22	0.00	0.00	15273.16	0.00	0.00	0.00
			ADD2PRIN						
02/01/09	02/01/09 R	152.73	0.00	0.01	0.00	15273.16	0.00	0.00	0.00
			33625	152.72 AI					
02/01/09	P	0.00	0.00	152.72	0.00	15273.16	0.00	0.00	0.00
			33625						
02/01/09	P	-152.73	-152.73	0.00	0.00	15425.89	0.00	0.00	0.00
			ADD2PRIN						
03/01/09	03/01/09 R	154.26	0.00	0.01	0.00	15425.89	0.00	0.00	0.00
			34198	154.25 AI					
03/01/09	P	0.00	0.00	154.25	0.00	15425.89	0.00	0.00	0.00
			34198						
03/01/09	P	-154.26	-154.26	0.00	0.00	15580.15	0.00	0.00	0.00
			ADD2PRIN						
04/01/09	04/01/09 R	155.80	0.00	0.01	0.00	15580.15	0.00	0.00	0.00
			34779	155.79 AI					
04/01/09	P	0.00	0.00	155.79	0.00	15580.15	0.00	0.00	0.00
			34779						
04/01/09	P	-155.80	-155.80	0.00	0.00	15735.95	0.00	0.00	0.00
			ADD2PRIN						
05/01/09	05/01/09 R	157.36	0.00	0.01	0.00	15735.95	0.00	0.00	0.00
			35367	157.35 AI					
05/01/09	P	0.00	0.00	157.35	0.00	15735.95	0.00	0.00	0.00
			35367						
05/01/09	P	-157.36	-157.36	0.00	0.00	15893.31	0.00	0.00	0.00
			ADD2PRIN						
06/01/09	06/01/09 R	158.93	0.00	0.01	0.00	15893.31	0.00	0.00	0.00
			35958	158.92 AI					
06/01/09	P	0.00	0.00	158.92	0.00	15893.31	0.00	0.00	0.00
			35958						
06/01/09	P	-158.93	-158.93	0.00	0.00	16052.24	0.00	0.00	0.00
			ADD2PRIN						
07/01/09	07/01/09 R	160.52	0.00	0.01	0.00	16052.24	0.00	0.00	0.00
			36555	160.51 AI					
07/01/09	P	0.00	0.00	160.51	0.00	16052.24	0.00	0.00	0.00
			36555						
07/01/09	P	-160.52	-160.52	0.00	0.00	16212.76	0.00	0.00	0.00
			ADD2PRIN						
08/01/09	08/01/09 R	162.13	0.00	0.01	0.00	16212.76	0.00	0.00	0.00
			37150	162.12 AI					
08/01/09	P	0.00	0.00	162.12	0.00	16212.76	0.00	0.00	0.00
			37150						
08/01/09	P	-162.13	-162.13	0.00	0.00	16374.89	0.00	0.00	0.00
			ADD2PRIN						
09/01/09	09/01/09 R	163.75	0.00	0.01	0.00	16374.89	0.00	0.00	0.00
			37746	163.74 AI					

## Investment Pay History

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Period of 01/01/90 - 12/31/12

Pay Date	Due/Type	Amount	RetCap/Ref	Income	DiscEarn	Basis	Payment/Balance		Svc
							Escrow	Late	
09/01/09	P	0.00	0.00	163.74	0.00	16374.89	0.00	0.00	0.00
			37746						
09/01/09	P	-163.75	-163.75	0.00	0.00	16538.64	0.00	0.00	0.00
			ADD2PRIN						
10/01/09	10/01/09 R	165.39	0.00	0.01	0.00	16538.64	0.00	0.00	0.00
			38352	165.38 AI					
10/01/09	P	0.00	0.00	165.38	0.00	16538.64	0.00	0.00	0.00
			38352						
10/01/09	P	-165.39	-165.39	0.00	0.00	16704.03	0.00	0.00	0.00
			ADD2PRIN						
11/01/09	11/01/09 R	167.04	0.00	0.01	0.00	16704.03	0.00	0.00	0.00
			38957	167.03 AI					
11/01/09	P	0.00	0.00	167.03	0.00	16704.03	0.00	0.00	0.00
			38957						
11/01/09	P	-167.04	-167.04	0.00	0.00	16871.07	0.00	0.00	0.00
			ADD2PRIN						
12/01/09	12/01/09 R	168.71	0.00	0.01	0.00	16871.07	0.00	0.00	0.00
			38571	168.70 AI					
12/01/09	P	0.00	0.00	168.70	0.00	16871.07	0.00	0.00	0.00
			38571						
12/01/09	P	-168.71	-168.71	0.00	0.00	17039.78	0.00	0.00	0.00
			ADD2PRIN						
12/18/09	01/01/10 R	2000.00	0.00	0.01	0.00	17039.78	0.00	0.00	0.00
			4946	170.39 AI					
12/18/09	P	0.00	1829.60	170.39	0.00	15210.18	0.00	0.00	0.00
			4946						
<b>Annual Total:</b>		<b>3917.84</b>	<b>-88.24</b>	<b>2088.24</b>	<b>0.00</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Escrow Paid Out:</b>							<b>0.00</b>		
02/01/10	02/01/10 R	152.10	0.00	0.01	0.00	15210.18	0.00	0.00	0.00
			40817	152.09 AI					
02/01/10	P	0.00	0.00	152.09	0.00	15210.18	0.00	0.00	0.00
			40817						
02/01/10	P	-152.10	-152.10	0.00	0.00	15362.28	0.00	0.00	0.00
			ADD2PRIN						
03/01/10	03/01/10 R	700.00	546.38	153.62	0.00	14815.90	0.00	0.00	0.00
			41453						
04/01/10	04/01/10 R	700.00	551.84	148.16	0.00	14264.06	0.00	0.00	0.00
			42087						
05/01/10	05/01/10 R	700.00	557.36	142.64	0.00	13706.70	0.00	0.00	0.00
			42716						
06/01/10	06/01/10 R	700.00	562.93	137.07	0.00	13143.77	0.00	0.00	0.00
			43357						
07/01/10	07/01/10 R	700.00	568.56	131.44	0.00	12575.21	0.00	0.00	0.00
			43991						
08/01/10	08/01/10 R	700.00	574.25	125.75	0.00	12000.96	0.00	0.00	0.00
			44631						
09/01/10	09/01/10 R	700.00	579.99	120.01	0.00	11420.97	0.00	0.00	0.00
			45282						

## Investment Pay History

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Pay Date	Due/Type	Amount	RetCap/Ref	Income	DiscEarn	Basis	Payment/Balance		Svc
							Escrow	Late	
10/01/10	10/01/10 R	700.00	585.79 45945	114.21	0.00	10835.18	0.00	0.00	0.00
11/01/10	11/01/10 R	700.00	591.65 46613	108.35	0.00	10243.53	0.00	0.00	0.00
12/01/10	12/01/10 R	700.00	597.56 47292	102.44	0.00	9645.97	0.00	0.00	0.00
Annual Total:		7152.10	5564.21	1435.79	0.00		0.00	0.00	0.00
Escrow Paid Out:							0.00		
01/01/11	01/01/11 R	700.00	603.54 48009	96.46	0.00	9042.43	0.00	0.00	0.00
02/01/11	02/01/11 R	700.00	609.58 48686	90.42	0.00	8432.85	0.00	0.00	0.00
03/01/11	03/01/11 R	700.00	615.67 49369	84.33	0.00	7817.18	0.00	0.00	0.00
04/01/11	04/01/11 R	700.00	621.83 50066	78.17	0.00	7195.35	0.00	0.00	0.00
05/01/11	05/01/11 R	700.00	628.05 50757	71.95	0.00	6567.30	0.00	0.00	0.00
06/01/11	06/01/11 R	700.00	634.33 51458\	65.67	0.00	5932.97	0.00	0.00	0.00
07/01/11	07/01/11 R	700.00	640.67 52166	59.33	0.00	5292.30	0.00	0.00	0.00
08/01/11	08/01/11 R	700.00	647.08 52880	52.92	0.00	4645.22	0.00	0.00	0.00
09/01/11	09/01/11 R	700.00	653.55 53600	46.45	0.00	3991.67	0.00	0.00	0.00
10/01/11	10/01/11 R	700.00	660.08 54324	39.92	0.00	3331.59	0.00	0.00	0.00
Annual Total:		7000.00	6314.38	685.62	0.00		0.00	0.00	0.00
Escrow Paid Out:							0.00		
Report Total:		56964.54	-3331.59	11898.95	0.00		0.00	0.00	0.00
Escrow Paid Out:							0.00		
Balances:						3331.59	0.00	0.00	0.00

Taxable: 11898.95

JS 44 (Rev. 12/12)

**CIVIL COVER SHEET**

The JS 44 civil cover sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law, except as provided by local rules of court. This form, approved by the Judicial Conference of the United States in September 1974, is required for the use of the Clerk of Court for the purpose of initiating the civil docket sheet. (SEE INSTRUCTIONS ON NEXT PAGE OF THIS FORM.)

**I. (a) PLAINTIFFS**  
R. Wayne Klein, as Receiver

**DEFENDANTS**  
SARAH MORTENSEN and JOHN DOES 1-5,

(b) County of Residence of First Listed Plaintiff Salt Lake  
(EXCEPT IN U.S. PLAINTIFF CASES)

County of Residence of First Listed Defendant Salt Lake  
(IN U.S. PLAINTIFF CASES ONLY)

NOTE: IN LAND CONDEMNATION CASES, USE THE LOCATION OF THE TRACT OF LAND INVOLVED.

(c) Attorneys (Firm Name, Address, and Telephone Number)  
Peggy Hunt  
Dorsey & Whitney, LLP  
136 South Main Street #1000, SLC, UT 84101; 801-933-7360

Attorneys (If Known)

**II. BASIS OF JURISDICTION** (Place an "X" in One Box Only)

- 1 U.S. Government Plaintiff  
 3 Federal Question (U.S. Government Not a Party)  
 2 U.S. Government Defendant  
 4 Diversity (Indicate Citizenship of Parties in Item III)

**III. CITIZENSHIP OF PRINCIPAL PARTIES** (Place an "X" in One Box for Plaintiff and One Box for Defendant)

- |   |                            |                            |   |                            |                            |
|---|----------------------------|----------------------------|---|----------------------------|----------------------------|
|   | PTF                        | DEF                        |   | PTF                        | DEF                        |
| Citizen of This State                   | <input type="checkbox"/> 1 | <input type="checkbox"/> 1 | Incorporated or Principal Place of Business In This State     | <input type="checkbox"/> 4 | <input type="checkbox"/> 4 |
| Citizen of Another State                | <input type="checkbox"/> 2 | <input type="checkbox"/> 2 | Incorporated and Principal Place of Business In Another State | <input type="checkbox"/> 5 | <input type="checkbox"/> 5 |
| Citizen or Subject of a Foreign Country | <input type="checkbox"/> 3 | <input type="checkbox"/> 3 | Foreign Nation  | <input type="checkbox"/> 6 | <input type="checkbox"/> 6 |

**IV. NATURE OF SUIT** (Place an "X" in One Box Only)

CONTRACT	TORTS	FORFEITURE/PENALTY	BANKRUPTCY	OTHER STATUTES	
<input type="checkbox"/> 110 Insurance <input type="checkbox"/> 120 Marine <input type="checkbox"/> 130 Miller Act <input type="checkbox"/> 140 Negotiable Instrument <input type="checkbox"/> 150 Recovery of Overpayment & Enforcement of Judgment <input type="checkbox"/> 151 Medicare Act <input type="checkbox"/> 152 Recovery of Defaulted Student Loans (Excludes Veterans) <input type="checkbox"/> 153 Recovery of Overpayment of Veteran's Benefits <input type="checkbox"/> 160 Stockholders' Suits <input checked="" type="checkbox"/> 190 Other Contract <input type="checkbox"/> 195 Contract Product Liability <input type="checkbox"/> 196 Franchise	<b>PERSONAL INJURY</b> <input type="checkbox"/> 310 Airplane <input type="checkbox"/> 315 Airplane Product Liability <input type="checkbox"/> 320 Assault, Libel & Slander <input type="checkbox"/> 330 Federal Employers' Liability <input type="checkbox"/> 340 Marine <input type="checkbox"/> 345 Marine Product Liability <input type="checkbox"/> 350 Motor Vehicle <input type="checkbox"/> 355 Motor Vehicle Product Liability <input type="checkbox"/> 360 Other Personal Injury <input type="checkbox"/> 362 Personal Injury - Medical Malpractice	<b>PERSONAL INJURY</b> <input type="checkbox"/> 365 Personal Injury - Product Liability <input type="checkbox"/> 367 Health Care/Pharmaceutical Personal Injury Product Liability <input type="checkbox"/> 368 Asbestos Personal Injury Product Liability <b>PERSONAL PROPERTY</b> <input type="checkbox"/> 370 Other Fraud <input type="checkbox"/> 371 Truth in Lending <input type="checkbox"/> 380 Other Personal Property Damage <input type="checkbox"/> 385 Property Damage Product Liability	<input type="checkbox"/> 625 Drug Related Seizure of Property 21 USC 881 <input type="checkbox"/> 690 Other  <b>LABOR</b> <input type="checkbox"/> 710 Fair Labor Standards Act <input type="checkbox"/> 720 Labor/Management Relations <input type="checkbox"/> 740 Railway Labor Act <input type="checkbox"/> 751 Family and Medical Leave Act <input type="checkbox"/> 790 Other Labor Litigation <input type="checkbox"/> 791 Employee Retirement Income Security Act  <b>IMMIGRATION</b> <input type="checkbox"/> 462 Naturalization Application <input type="checkbox"/> 465 Other Immigration Actions	<input type="checkbox"/> 422 Appeal 28 USC 158 <input type="checkbox"/> 423 Withdrawal 28 USC 157  <b>PROPERTY RIGHTS</b> <input type="checkbox"/> 820 Copyrights <input type="checkbox"/> 830 Patent <input type="checkbox"/> 840 Trademark  <b>SOCIAL SECURITY</b> <input type="checkbox"/> 861 HIA (1395ff) <input type="checkbox"/> 862 Black Lung (923) <input type="checkbox"/> 863 DIWC/DIWW (405(g)) <input type="checkbox"/> 864 SSID Title XVI <input type="checkbox"/> 865 RSI (405(g))  <b>FEDERAL TAX SUITS</b> <input type="checkbox"/> 870 Taxes (U.S. Plaintiff or Defendant) <input type="checkbox"/> 871 IRS—Third Party 26 USC 7609	<input type="checkbox"/> 375 False Claims Act <input type="checkbox"/> 400 State Reapportionment <input type="checkbox"/> 410 Antitrust <input type="checkbox"/> 430 Banks and Banking <input type="checkbox"/> 450 Commerce <input type="checkbox"/> 460 Deportation <input type="checkbox"/> 470 Racketeer Influenced and Corrupt Organizations <input type="checkbox"/> 480 Consumer Credit <input type="checkbox"/> 490 Cable/Sat TV <input type="checkbox"/> 850 Securities/Commodities/Exchange <input type="checkbox"/> 890 Other Statutory Actions <input type="checkbox"/> 891 Agricultural Acts <input type="checkbox"/> 893 Environmental Matters <input type="checkbox"/> 895 Freedom of Information Act <input type="checkbox"/> 896 Arbitration <input type="checkbox"/> 899 Administrative Procedure Act/Review or Appeal of Agency Decision <input type="checkbox"/> 950 Constitutionality of State Statutes
REAL PROPERTY	CIVIL RIGHTS	PRISONER PETITIONS			
<input type="checkbox"/> 210 Land Condemnation <input type="checkbox"/> 220 Foreclosure <input type="checkbox"/> 230 Rent Lease & Ejectment <input type="checkbox"/> 240 Torts to Land <input type="checkbox"/> 245 Tort Product Liability <input type="checkbox"/> 290 All Other Real Property	<input type="checkbox"/> 440 Other Civil Rights <input type="checkbox"/> 441 Voting <input type="checkbox"/> 442 Employment <input type="checkbox"/> 443 Housing/Accommodations <input type="checkbox"/> 445 Amer. w/Disabilities - Employment <input type="checkbox"/> 446 Amer. w/Disabilities - Other <input type="checkbox"/> 448 Education	<b>Habeas Corpus:</b> <input type="checkbox"/> 463 Alien Detainee <input type="checkbox"/> 510 Motions to Vacate Sentence <input type="checkbox"/> 530 General <input type="checkbox"/> 535 Death Penalty <b>Other:</b> <input type="checkbox"/> 540 Mandamus & Other <input type="checkbox"/> 550 Civil Rights <input type="checkbox"/> 555 Prison Condition <input type="checkbox"/> 560 Civil Detainee - Conditions of Confinement			

**V. ORIGIN** (Place an "X" in One Box Only)

- 1 Original Proceeding  
 2 Removed from State Court  
 3 Remanded from Appellate Court  
 4 Reinstated or Reopened  
 5 Transferred from Another District (specify)  
 6 Multidistrict Litigation

**VI. CAUSE OF ACTION**

Cite the U.S. Civil Statute under which you are filing (Do not cite jurisdictional statutes unless diversity):  
28 U.S.C. § 754

Brief description of cause:  
Recovery of the value of transfers from Defendant for the benefit of the receivership estate.

**VII. REQUESTED IN COMPLAINT:**

CHECK IF THIS IS A CLASS ACTION UNDER RULE 23, F.R.Cv.P.  
 DEMAND \$ 48,010.05  
 CHECK YES only if demanded in complaint:  
 JURY DEMAND:  Yes  No

**VIII. RELATED CASE(S) IF ANY**

(See instructions): JUDGE Jenkins DOCKET NUMBER 2:12-cv-00591

DATE 06/21/13 SIGNATURE OF ATTORNEY OF RECORD

FOR OFFICE USE ONLY

RECEIPT # \_\_\_\_\_ AMOUNT \_\_\_\_\_ APPLYING IFP \_\_\_\_\_ JUDGE \_\_\_\_\_ MAG. JUDGE \_\_\_\_\_