

IN THE UNITED STATES BANKRUPTCY COURT  
FOR THE NORTHERN DISTRICT OF ALABAMA  
SOUTHERN DIVISION

In re:	)	
	)	
JEFFERSON COUNTY, ALABAMA, a	)	Case No. 11-05736-TBB-9
political subdivision of the State of	)	
Alabama,	)	
Debtor.	)	
	)	
	)	
_____	)	

**CERTIFICATION OF DAVID HARTIE WITH RESPECT TO THE TABULATION OF VOTES ON AND COMMUTATION ELECTIONS WITH RESPECT TO THE CHAPTER 9 PLAN OF ADJUSTMENT FOR JEFFERSON COUNTY, ALABAMA (DATED JULY 29, 2013)**

I, David Hartie, depose and say under penalty of perjury:

1. I am a Director of Public Securities Services, employed by Kurtzman Carson Consultants LLC (“KCC”), whose main business address is 599 Lexington Avenue, 39<sup>th</sup> Floor, New York, NY 10022. I am over the age of 18 and not a party to this action.

2. On November 22, 2011, the Court entered the *Order Appointing Kurtzman Carson Consultants LLC as Claims, Noticing and Balloting Agent Pursuant to 28 U.S.C. § 156(c) and Rule 2002 of the Federal Rules of Bankruptcy Procedure [Docket No. 291]*, designating KCC as the official Claims, Noticing and Balloting Agent for Jefferson County, Alabama (the “County”), the debtor in the above-referenced case.

3. On July 3, 2013, the County filed its *Motion for Entry of Order Approving: (A) the Form, Scope, and Nature of Solicitation, Balloting, Tabulation, and Notices with Respect to the “Chapter 9 Plan of Adjustment for Jefferson County, Alabama (Dated June 30, 2013)”*; and (B) *Related Confirmation Procedures, Deadlines, and Notices [Docket No. 1832]* (as subsequently



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supplemented, the “Solicitation Procedures Motion”).<sup>1</sup> On August 7, 2013, the Court entered the *Order Approving: (A) the Form, Scope, and Nature of Solicitation, Balloting, Tabulation, and Notices with Respect to the "Chapter 9 Plan of Adjustment for Jefferson County, Alabama (Dated July 29, 2013)"; and (B) Related Confirmation Procedures, Deadlines, and Notices [Docket No. 1975]* (the “Solicitation Procedures Order”), thereby approving the Solicitation Procedures Motion.

4. KCC worked with the County and its counsel and other professionals to solicit votes to accept or reject the *Chapter 9 Plan of Adjustment for Jefferson County, Alabama (Dated July 29, 2013) [Docket No. 1911]* (as subsequently further supplemented, amended, or modified, the “Plan”<sup>2</sup>) and to tabulate the Ballots of Creditors voting to accept or reject the Plan and electing to either make or not make the Commutation Election for those eligible to make such election. Except as otherwise noted, I could and would testify to the following based upon my personal knowledge. I am authorized to submit this Certification on behalf of KCC.

5. KCC has considerable experience in soliciting and tabulating votes to accept or reject proposed bankruptcy plans.

**A. Service and Transmittal of Solicitation Packages and Related Information**

6. The Solicitation Procedures Order established August 6, 2013 as the Ballot Record Date for determining which Creditors were entitled to receive Solicitation Packages and, where applicable, vote on the Plan. Pursuant to the Solicitation Procedures Order, Holders of Claims in Classes 1-A and 1-B (together, the “Sewer Warrant Voting Classes”), together with Holders of Claims in Classes 2-A, 2-B, 2-C and 5-A (collectively with the Sewer Warrant Voting Classes, the “Warrant Voting Classes”

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<sup>1</sup> Capitalized terms not defined herein shall have the meanings ascribed to them in the Solicitation Procedures Motion.

<sup>2</sup> The County filed a modified version of the Plan on November 6, 2013 [Docket No. 2182]. For the reasons set forth in the *Notice of Plan Modifications and Hearing Thereon [Docket No. 2184]*, the County will request at the Confirmation Hearing that the Court find that the modified version of the Plan shall be deemed accepted by all creditors who have previously accepted the July 29 version of the Plan.

or “Warrant Claims”) were entitled to vote to accept or reject the Plan. Holders of Claims in the Sewer Warrant Voting Classes were also eligible to make or not make the Commutation Election.<sup>3</sup> Classes 3-A, 5-B and 5-C were not entitled to vote on the Plan.<sup>4</sup>

7. Pursuant to the Solicitation Procedures Order, in an effort to ascertain all known members of the Warrant Voting Classes,<sup>5</sup> KCC relied on, among other things, the listings of Institutional Nominees received from the Depository Trust Company (“DTC”), along with information received from The Bank of New York Mellon, as Indenture Trustee for the Sewer Warrant Voting Classes, to identify the Holders of Warrants Claims entitled to vote to accept or reject the Plan and make or not make the Commutation Election

8. On or before August 21, 2013, KCC caused to be served Solicitation Packages on all known members of Classes 1-A, 1-B, 2-A, 2-B, 2-C and 5-A in accordance with the Solicitation Procedures Order. Additionally, KCC caused to be served the Notice of Non-Voting Status on all known members of Classes 3-A, 5-B and 5-C. An affidavit evidencing the service of the foregoing was filed with the Court on September 18, 2013 [**Docket No. 2055**].

9. Pursuant to the Solicitation Procedures Order, KCC coordinated with Broadridge Financial Solutions, Inc. (“Broadridge”), an entity that acts as agent on behalf of the Institutional Nominees for the Beneficial Holders of the Warrant Claims. KCC provided Solicitation Packages to

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<sup>3</sup> Holders of Claims in Classes 1-C, 1-D, 2-D, 2-E, 5-D, 5-E, 6 and 7 were also entitled to vote on the Plan. A separate Voting Certification will be filed relating to the tabulation of those votes.

<sup>4</sup> Holders of Claims in Classes 1-E, 1-F, 3-B, 4, 8, and 9 were also not entitled to vote on the Plan. A separate voting certification will be filed relating to the service of materials on those Holders.

<sup>5</sup> In accordance with the terms of the Solicitation Procedures Order, the County published notice of the Confirmation Hearing in each of *The Birmingham News*, *The Bond Buyer*, and *The Wall Street Journal*, which notice set forth, among other things, the time and place of the Confirmation Hearing, the opportunity and conditions for filing objections to the Plan, the procedures for submitting votes to accept or reject the Plan, as well as substantive information relating to the Commutation Election, the releases and injunctions to be provided by the Plan and the validation of the New Sewer Warrants and the Approved Rate Structure [**Docket No. 2051**].

the Institutional Nominees appearing on the listings received from DTC or directly to Broadridge, for subsequent forwarding to the underlying Beneficial Holders of Warrant Claims. KCC also provided a Master Ballot to each Institutional Nominee for their use in reporting the voting and election instructions from the underlying Beneficial Holders. An affidavit evidencing the mailing of the Solicitation Packages from Broadridge to the respective Institutional Holders was filed with the Court on October 29, 2013 [**Docket No. 2167**].

10. There are approximately 80 Institutional Nominees representing the Beneficial Holders of the Warrant Claims, with 69 Institutional Nominees representing the Beneficial Holders of Sewer Warrant Claims. In total, KCC provided 7,622 individual Solicitation Packages to the Institutional Nominees and Broadridge for forwarding to the underlying Beneficial Holders, of which 4,841 Solicitation Packages were provided for the Beneficial Holders of Sewer Warrant Claims.

11. Pursuant to the Solicitation Procedures Order, KCC utilized the procedures described in the Plan Procedures Motion as Exhibit 2 (the “Sewer Plan Support Ballot Procedures”) to (i) provide the Beneficial Holder Ballots applicable to the Sewer Warrants and Bank Warrants held by those Sewer Plan Support Parties that provided necessary information to KCC (the “Designated Sewer Plan Support Parties”) directly to such Designated Plan Support Parties; (ii) facilitate the return of such Ballots directly to KCC and KCC’s processing of such Ballots; and (iii) recognize for all purposes such Beneficial Holder Ballots as valid and controlling Ballots of such Creditors for voting, election and tabulation purposes.

12. On October 9, 2013, pursuant to the Solicitation Procedures Order, KCC utilized the procedures described in the Plan Procedures Motion as Exhibit 8 (the “Rescission of Deemed Election Procedures”) to provide the Rescission of Deemed Election Notice and the Rescission of Deemed Election beneficial and master forms to the Institutional Nominees of Beneficial Holders of Series

2003-C-9 Through C-10 Sewer Warrants. An affidavit evidencing the service of the foregoing was filed with the Court on November 1, 2013 [**Docket No. 2176**].

**B. The Tabulation Process**

13. The Solicitation Procedures Order established October 7, 2013 at 5:00 p.m. (prevailing U.S. Central time) as the Ballot Deadline.

14. Pursuant to the Solicitation Procedures Order, KCC received and tabulated Master Ballots as follows: (a) each returned Master Ballot was opened and inspected at KCC's offices; (b) Master Ballots were date-stamped; and (c) all Master Ballots received on or before the Ballot Deadline were tabulated in accordance with the Tabulation Rules.

15. In total, KCC received and processed 513 Master Ballots representing over 900 Beneficial Holder accounts. Of these, 388 Master Ballots were received from Institutional Nominees of Sewer Warrant Claims, representing over 600 Beneficial Holder accounts. KCC also received an additional 310 Beneficial Holder Ballots directly from the Designated Sewer Plan Support Parties.

16. Pursuant to the Rescission of Deemed Election Procedures, KCC provided the Rescission of Deemed Election beneficial and master forms to the Institutional Nominees representing Beneficial Holders of Series 2003-C-9 Through C-10 Sewer Warrants in the aggregate principal amount of \$23,800,000, which were the holders who would be deemed to have made the Commutation Election under the Plan and the Solicitation Procedures Order.

17. The Solicitation Procedures Order established November 5, 2013 at 5:00 p.m. (prevailing U.S. Central time) as the deadline for parties to exercise a right to rescind a deemed Commutation Election.

18. In total, KCC received and processed one (1) set of Rescission of Deemed Election Notice and Rescission of Deemed Election beneficial and master forms regarding \$500,000 of Series

2003-C-10 Sewer Warrants held by one (1) account.

**C. Tabulation Summary**

19. Set forth below is a summary of the voting results with respect to the Warrant Voting Classes, tabulated on a consolidated basis.

<b>Total Ballots Received</b>			
<b>Accept</b>		<b>Reject</b>	
<b>Number</b>	<b>Amount</b>	<b>Number</b>	<b>Amount</b>
<b>Class 1-A – Sewer Warrant Claims</b>			
503 (93.84%)	\$2,146,556,525.00 (99.42%)	33 (6.16%)	\$12,430,000.00 (0.58%)
<b>Class 1-B – Bank Warrant Claims and Primary Standby Sewer Warrant Claims</b>			
20 (100.00%)	\$476,706,252.76 (100.00%)	0 (0.00%)	\$0.00 (0.00%)
<b>Class 2-A – Series 2004-A School Claims</b>			
161 (87.98%)	\$396,097,000.00 (99.94%)	22 (12.02%)	\$255,000.00 (0.06%)
<b>Class 2-B – Series 2005-A School Claims</b>			
10 (83.33%)	\$80,545,000.00 (95.84%)	2 (16.67%)	\$3,500,000.00 (4.16%)
<b>Class 2-C – Series 2005-B School Claims and Standby School Warrant Claims</b>			
1 (100.00%)	\$141,145,000.00 (100.00%)	0 (0.00%)	\$0.00 (0.00%)
<b>Class 5-A – Series 2001-B GO Claims and Standby GO Warrant Claims</b>			
2 (100.00%)	\$105,000,000.00 (100.00%)	0 (0.00%)	\$0.00 (0.00%)

20. The Commutation Election Report for Warrant Voting Classes 1-A and 1-B is attached hereto as Exhibit A and Exhibit B, respectively. The Commutation Election Report for Class 1-A includes the exercise of the Rescission of Deemed Election in respect of the one (1) holder of \$500,000 Series 2003-C-10 Sewer Warrants that exercised such right by the November 7, 2013 deadline for doing so.

Unacceptable Ballots

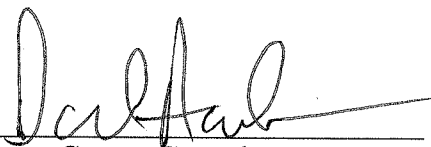
21. Attached as Exhibit C to this Certification is a detailed report of any Master Ballots or Ballots that were not included in the tabulation above because they did not satisfy the requirements for

a valid Ballot as set forth in the Solicitation Procedures Order for the reasons described below:

- a. Late-Filed                      Any Ballot received after the Ballot Deadline; or
- b. Improperly Submitted        Any Beneficial Holder Ballot received directly by KCC that was not submitted to the Institutional Nominee for processing and submission on a Master Ballot.

I declare under penalty of perjury that the foregoing is true and correct to the best of my knowledge, information and belief. If called to testify at trial on this matter, I would testify under oath to the facts stated in this Certification.

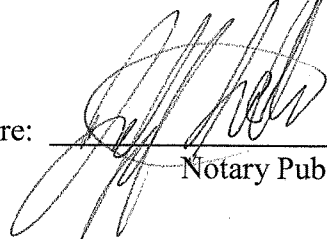
Dated: November 13, 2013

By:   
Kurtzman Carson Consultants LLC  
Claims and Noticing Agent  
599 Lexington Avenue, 39<sup>th</sup> Floor  
New York, NY 10022  
Telephone: (917) 281-4800

State of New York, County of New York

Subscribed and sworn to before me on November 13, 2013, by David Hartie, proved to me on the basis of satisfactory evidence to be the person who appeared before me.

WITNESS my hand and official seal.

Signature:   
Notary Public



# Exhibit A



**Exhibit A**

Class Name	Class Description	Series	Insurer	Made Commutation Election	Deemed to Have Made Commutation Election	Not Making Commutation Election	Deemed to be Not Making Commutation Election	Rescission of Deemed Election (Series C-9 and C-10 only)	Amount Retaining Insurance	Resulting Tail Risk
1-A	Sewer Warrant Claims	1997-A	FGIC	\$38,261,400.00	\$17,583,600.00	\$1,185,000.00	n/a	n/a	\$1,185,000.00	\$237,000.00
1-A	Sewer Warrant Claims	2001-A	FGIC	\$5,110,000.00	\$4,655,000.00	\$250,000.00 <sup>1</sup>	n/a	n/a	\$225,000.00	\$45,000.00
1-A	Sewer Warrant Claims	2002-C-1	Syncora	\$293,750,000.00	\$3,550,000.00	\$1,500,000.00	n/a	n/a	\$1,500,000.00	\$300,000.00
1-A	Sewer Warrant Claims	2002-C-5	Syncora	\$97,450,000.00	\$850,000.00	\$0.00	n/a	n/a	\$0.00	\$0.00
1-A	Sewer Warrant Claims	2003-A SRF	n/a	\$0.00	\$11,690,000.00	\$0.00	n/a	n/a	\$0.00	\$0.00
1-A	Sewer Warrant Claims	2003-B-1	FGIC	\$704,000,000.00	\$14,925,000.00	\$450,000.00	n/a	n/a	\$450,000.00	\$90,000.00
1-A	Sewer Warrant Claims	2003-B-8	Assured	\$1,165,000.00	n/a	\$28,255,000.00	\$32,700,000.00	n/a	\$60,955,000.00	\$12,191,000.00
1-A	Sewer Warrant Claims	2003-C-1	FGIC	\$107,300,000.00	\$2,700,000.00	\$0.00	n/a	n/a	\$0.00	\$0.00
1-A	Sewer Warrant Claims	2003-C-2	FGIC	\$109,625,000.00	\$375,000.00	\$0.00	n/a	n/a	\$0.00	\$0.00
1-A	Sewer Warrant Claims	2003-C-3	FGIC	\$106,100,000.00	\$3,900,000.00	\$0.00	n/a	n/a	\$0.00	\$0.00
1-A	Sewer Warrant Claims	2003-C-4	FGIC	\$101,200,000.00	\$8,675,000.00	\$125,000.00	n/a	n/a	\$125,000.00	\$25,000.00
1-A	Sewer Warrant Claims	2003-C-5	FGIC	\$109,775,000.00	\$7,225,000.00	\$0.00	n/a	n/a	\$0.00	\$0.00
1-A	Sewer Warrant Claims	2003-C-6	FGIC	\$87,000,125.00	\$499,875.00	\$0.00	n/a	n/a	\$0.00	\$0.00
1-A	Sewer Warrant Claims	2003-C-7	FGIC	\$84,850,000.00	\$2,650,000.00	\$0.00	n/a	n/a	\$0.00	\$0.00
1-A	Sewer Warrant Claims	2003-C-8	FGIC	\$88,000,000.00	\$0.00	\$0.00	n/a	n/a	\$0.00	\$0.00
1-A	Sewer Warrant Claims	2003-C-9	Assured	\$94,300,000.00	\$6,750,000.00	\$7,650,000.00	n/a	\$0.00	\$7,650,000.00	\$1,530,000.00
1-A	Sewer Warrant Claims	2003-C-10	Assured	\$78,925,000.00	\$16,550,000.00	\$12,775,000.00	n/a	\$500,000.00	\$13,275,000.00	\$2,655,000.00

**TOTAL**     **\$17,073,000.00**

1. Total includes a ballot returned with respect to one account holding \$25,000.00 of Series 2001-A warrants in CUSIP 472682JF1. Because Series 2001-A warrants in CUSIP 472682JF1 should be satisfied in full through the Reinstated Sewer Warrant Principal Payments to be made under the Plan, this account is not treated as one that has retained insurance or that creates any Tail Risk.

# Exhibit B

**Exhibit B**

<b>Class Name</b>	<b>Class Description</b>	<b>Series</b>	<b>Made Commutation Election</b>	<b>Deemed to Have Made Commutation Election</b>	<b>Not Making Commutation Election</b>	<b>Deemed to be Not Making Commutation Election</b>
1-B	Bank Warrants Claims and Primary Standby Sewer Warrant Claims	2002-C-2	\$47,711,810.00	\$0.00	\$0.00	n/a
1-B	Bank Warrants Claims and Primary Standby Sewer Warrant Claims	2002-C-3	\$61,854,172.00	\$0.00	\$0.00	n/a
1-B	Bank Warrants Claims and Primary Standby Sewer Warrant Claims	2002-C-4	\$47,664,771.00	\$0.00	\$0.00	n/a
1-B	Bank Warrants Claims and Primary Standby Sewer Warrant Claims	2002-C-6	\$93,654,947.00	\$0.00	\$0.00	n/a
1-B	Bank Warrants Claims and Primary Standby Sewer Warrant Claims	2002-C-7	\$31,770,242.00	\$0.00	\$0.00	n/a
1-B	Bank Warrants Claims and Primary Standby Sewer Warrant Claims	2003-B-2	\$35,589,821.00	\$0.00	\$0.00	n/a
1-B	Bank Warrants Claims and Primary Standby Sewer Warrant Claims	2003-B-3	\$16,167,356.00	\$0.00	\$0.00	n/a
1-B	Bank Warrants Claims and Primary Standby Sewer Warrant Claims	2003-B-4	\$16,167,356.00	\$0.00	\$0.00	n/a
1-B	Bank Warrants Claims and Primary Standby Sewer Warrant Claims	2003-B-5	\$48,520,884.00	\$0.00	\$0.00	n/a
1-B	Bank Warrants Claims and Primary Standby Sewer Warrant Claims	2003-B-6	\$9,694,473.00	\$0.00	\$0.00	n/a
1-B	Bank Warrants Claims and Primary Standby Sewer Warrant Claims	2003-B-7	\$67,910,421.00	\$0.00	\$0.00	n/a

# Exhibit C

**Exhibit C**

Plan Class	Plan Class Description	Series	CUSIP	Creditor Name	Date Received	Date Signed	Voting Amount	Accept/Reject the Plan?	Make Commutation Election?	Reason Unacceptable
1-A	Sewer Warrant Claims	1997-A	Unknown	Robert Carl Brutkiewicz	10/7/2013	10/2/2013	\$10,000.00	Accept	Yes	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot.
1-A	Sewer Warrant Claims	1997-A	Unknown	Roger McNiel	10/4/2013	10/1/2013	\$5,000.00	Accept	Yes	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot.
1-A	Sewer Warrant Claims	1997-A	472682 MD 2	Terry Knight	9/30/2013	9/25/2013	\$15,000.00	Accept	Yes	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot.
1-A	Sewer Warrant Claims	1997-A	472682 MC 4	Richard C Good	10/8/2013	9/18/2013	\$5,000.00	Accept	Yes	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot.
1-A	Sewer Warrant Claims	1997-A	472682 NW 9	Marion A Wall	9/4/2013	8/30/2013	\$5,000.00	Accept	Yes	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot.
1-A	Sewer Warrant Claims	1997-A	472682 MD 2	Estate of James Ralph Taylor	9/10/2013	9/4/2013	\$10,000.00	Accept	Yes	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot.
1-A	Sewer Warrant Claims	1997-A	472682 MD 2	Eloise Mae Turner	9/9/2013	9/4/2013	\$20,000.00	Accept	Yes	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot.
1-A	Sewer Warrant Claims	1997-A	472682 MD 2	LCM Capital Management	10/7/2013	10/6/2013	\$50,000.00	Accept	Yes	Ballot received after the voting deadline / Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot.
1-A	Sewer Warrant Claims	1997-A	472682 MD 2	W Larkin Coker III	9/10/2013	9/4/2013	\$80,000.00	Accept	Yes	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot
1-A	Sewer Warrant Claims	1997-A	472682 MD 2	Joan Coker	9/10/2013	9/4/2013	\$5,000.00	Accept	Yes	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot
1-A	Sewer Warrant Claims	2001-A	472682 JM 6	Stephen S Cannon Trust	9/6/2013	9/2/2013	\$5,000.00	Accept	Yes	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot
1-A	Sewer Warrant Claims	2001-A	472682 JM 6	Ashley B Cannon Trust	9/6/2013	9/2/2013	\$5,000.00	Accept	Yes	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot
1-A	Sewer Warrant Claims	2003-B-8	472682 MR 1	Southern Farm Bureau Casualty Insurance Company	10/8/2013	10/7/2013	\$1,990,000.00	Accept	Yes	Ballot received after the voting deadline / Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot
1-A	Sewer Warrant Claims	2003-B-8	472682 MR 1	Florida Farm Bureau Casualty Insurance Company	10/8/2013	10/7/2013	\$750,000.00	Accept	Yes	Ballot received after the voting deadline / Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot
1-A	Sewer Warrant Claims	2003-B-8	472682 MQ 3	A Faye Dollar	9/16/2013	9/3/2013	\$35,000.00	Accept	No box checked	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot
1-A	Sewer Warrant Claims	2003-B-8	472682 MS 9	Petersen Family Trust	9/18/2013	9/9/2013	\$10,000.00	Reject	No	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot

Exhibit C

Plan Class	Plan Class Description	Series	CUSIP	Creditor Name	Date Received	Date Signed	Voting Amount	Accept/Reject the Plan?	Make Commutation Election?	Reason Unacceptable
1-A	Sewer Warrant Claims	2003-B-8	472682 MQ 3	US Bank	10/7/2013	10/4/2013	\$25,000.00	Accept	No	Master Ballot submitted with no available copies of Beneficial Owner Ballots cast by underlying holders
1-A	Sewer Warrant Claims	2003-B-8	472682 MQ 3	E*TRADE Clearing	10/8/2013	10/1/2013	\$85,000.00	Reject	No	Ballot received after the voting deadline.
1-A	Sewer Warrant Claims	2003-B-8	472682 MS 9	E*TRADE Clearing	10/8/2013	10/7/2013	\$110,000.00	Reject	No	Ballot received after the voting deadline.
1-A	Sewer Warrant Claims	2003-B-8	472682 MQ 3	JP Morgan Chase Bank NA, as nominee	10/7/2013	10/7/2013	\$3,285,000.00	Accept	No	Ballot received after the voting deadline.
2-A	2004-A School Claims	2004-A	472653 AP 9	Lorraine Maresca	9/18/2013	9/16/2013	\$20,000.00	Accept	n/a	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot
2-A	2004-A School Claims	2004-A	472653 AU 8	David C Stromswold & Ruth E Stromswold	9/24/2013	9/17/2013	\$40,000.00	Accept	n/a	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot
2-A	2004-A School Claims	2004-A	472653 AP 9	Jeffrey L Hogue	9/30/2013	9/10/2013	\$5,000.00	Accept	n/a	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot
2-A	2004-A School Claims	2004-A	472653 AP 9	Jeannine F Hogue	9/30/2013	not dated	unknown	Accept	n/a	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot
2-A	2004-A School Claims	2004-A	472653 AS 3	William A Mitchell & Gladys B Mitchell	9/30/2013	9/13/2013	unknown	Accept	n/a	Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot
2-A	2004-A School Claims	2004-A	472653 AJ 3	SEI Private Trust Company	10/7/2013	10/4/2013	\$25,000.00	Accept	n/a	Master Ballot submitted with no available copies of Beneficial Owner Ballots cast by underlying holders
2-A	2004-A School Claims	2004-A	472653 AT 1	Ila Belle N Weaver	10/22/2013	9/17/2013	\$10,000.00	Accept	n/a	Ballot received after the voting deadline / Improperly submitted Beneficial Owner Ballot which should have been returned to Institutional Nominee for processing and submission on a Master Ballot.