

UNITED STATES DISTRICT COURT
MIDDLE DISTRICT OF FLORIDA
FORT MYERS DIVISION

CASE NO.: 2:09-CV-229-FTM-29SPC

SECURITIES AND EXCHANGE COMMISSION,

Plaintiff,

vs.

FOUNDING PARTNERS CAPITAL MANAGEMENT
and WILLIAM L. GUNLICKS,

Defendants,

FOUNDING PARTNERS STABLE-VALUE FUND, LP,
FOUNDING PARTNERS STABLE-VALUE FUND II, LP,
FOUNDING PARTNERS GLOBAL FUND, LTD., and
FOUNDING PARTNERS HYBRID-VALUE FUND, LP,

Relief Defendants.

**RECEIVER'S NOTICE OF COMPLIANCE WITH PRELIMINARY
APPROVAL OF SETTLEMENT AND SCHEDULING ORDER
AND NOTICE OF NO OBJECTIONS TO THE SETTLEMENT AGREEMENT**

Receiver Daniel S. Newman, not individually, but solely in his capacity as the Court-appointed receiver ("Receiver") for Founding Partners Capital Management Company ("FPCM"); Founding Partners Stable-Value Fund L.P.; Founding Partners Stable-Value Fund II, L.P.; Founding Partners Global Fund, Ltd.; and Founding Partners Hybrid-Value Fund, L.P. (collectively, the "Receivership Entities"), hereby gives notice that he has complied in full with subparts (a) and (b) of Section III of the Court's Preliminary Approval of Settlement and Scheduling Order, dated August 16, 2023 (the "Preliminary Order") (D.E. 598).

Pursuant to the Preliminary Order at Section III(a), the Receiver timely sent the form of the Notice approved by the Court (Exhibit C to the Settlement Agreement) to all Bar Order Parties

via an approved method and using the contact information in the Receiver's files, and to all counsel of record for any party in this action or the Litigation (as defined in the Preliminary Order).

Pursuant to the Preliminary Order at Section III(b), the Receiver also timely posted on the Receiver's website (<http://www.foundingpartners-receivership.com>) the Settlement Agreement, the Approval Motion, the Preliminary Order, the Notice, and all exhibits and appendices to those documents.

The deadline for objections to the Settlement Agreement was September 18, 2023. **No objections were filed with the Court, and none were sent to the Receiver's office.**

Dated: October 13, 2023.

Respectfully submitted,

NELSON MULLINS RILEY & SCARBOROUGH
Attorneys for Receiver
One Biscayne Tower, 21st Floor
2 South Biscayne Boulevard
Miami, FL 33131
Tel: (813) 225-3011
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By: /s/ Christopher Cavallo
Christopher Cavallo, Esq.
Florida Bar No. 0092305
Jonathan Etra, Esq.
Florida Bar No. 0686905

CERTIFICATE OF SERVICE

I hereby certify that on October 13, 2023, I electronically filed the foregoing document with the Clerk of the Court using CM/ECF. I also certify that the foregoing is being served this day on all counsel of record identified on the attached Service List in the manner specified, either via transmission of Notices of Electronic Filing generated by CM/ECF or in some other authorized manner for those counsel who are not authorized to receive Notices of Electronic Filing.

By: /s/ Christopher Cavallo
Christopher Cavallo, Esq.

SERVICE LIST

<p>Teresa Verges, Esq. Securities and Exchange Commission 801 Brickell Avenue, Suite 1800 Miami, FL 33131 vergest@sec.gov <i>Counsel for U.S. Securities and Exchange Commission</i> <u>Service via CM/ECF</u></p>	<p>Gabrielle D'Alemberte, Esq. The D'Alemberte Trial Firm, P.A. 1749 N.E. Miami Ct. Suite 301 Miami, FL 33132 gabrielle@dalemberte.com <i>Counsel for William & Pamela Gunlicks</i> <u>Service via CM/ECF</u></p>
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