

## Appendix II: Documents Considered

In addition to the documents cited in my report, the following documents were considered by me in issuing my expert opinions in this report. Documents identified below are to be considered inclusive of any and all exhibits to the particular document. Additional documents considered by me are included by bates number in Schedule A to Appendix II.

<b>Amy Hirsch</b> <b>Documents Considered List</b>	
<b>Public Documents</b>	
1	A Report to Congress in Accordance with § 356(C) of the USA Patriot Act of 2001, Submitted by the Secretary of the Treasury, the Board of Governors of the Federal Reserve System, the Securities and Exchange Commission, (December 2002), <a href="https://www.fincen.gov/sites/default/files/shared/356report.pdf">https://www.fincen.gov/sites/default/files/shared/356report.pdf</a>
2	Cambridge Dictionary, <a href="https://dictionary.cambridge.org/us/dictionary/english/investment-manager">https://dictionary.cambridge.org/us/dictionary/english/investment-manager</a>
3	CFA Institute, Why hire a CFA® Charterholder? <a href="https://www.cfainstitute.org/business/hire">https://www.cfainstitute.org/business/hire</a>
4	Charles Schwab, “Using the Sortino Ratio to Gauge Downside Risk,” June 27, 2024, <a href="https://www.schwab.com/learn/story/using-sortino-ratio-to-gauge-downside-risk">https://www.schwab.com/learn/story/using-sortino-ratio-to-gauge-downside-risk</a>
5	Corporate Finance Institute, “Exchange-Traded Product” <a href="https://corporatefinanceinstitute.com/resources/career-map/sell-side/capital-markets/exchange-traded-product-etp/">https://corporatefinanceinstitute.com/resources/career-map/sell-side/capital-markets/exchange-traded-product-etp/</a>
6	Corporate Finance Institute, “Factor Analysis” <a href="https://corporatefinanceinstitute.com/resources/data-science/factor-analysis/">https://corporatefinanceinstitute.com/resources/data-science/factor-analysis/</a>
7	Corporate Finance Institute, “Fund of Funds (FOF),” <a href="https://corporatefinanceinstitute.com/resources/career-map/sell-side/capital-markets/fund-of-funds-fof/">https://corporatefinanceinstitute.com/resources/career-map/sell-side/capital-markets/fund-of-funds-fof/</a>
8	Corporate Finance Institute, “Notional Value,” <a href="https://corporatefinanceinstitute.com/resources/valuation/notional-value/">https://corporatefinanceinstitute.com/resources/valuation/notional-value/</a>
9	Delaware Department of State: Division of Corporations, Entity Details – Fairfield Greenwich Partners, LLC, <a href="https://icis.corp.delaware.gov/ecorp/entitysearch/NameSearch.aspx">https://icis.corp.delaware.gov/ecorp/entitysearch/NameSearch.aspx</a>
10	GARP, FRM Certification Overview, <a href="https://www.garp.org/frm">https://www.garp.org/frm</a>
11	Hedge Funds, Leverage, and the Lessons of Long-Term Capital Management, Report of the President’s Working Group on Financial Markets (April 1999), <a href="https://www.cftc.gov/sites/default/files/tm/tmhedgefundreport.htm">https://www.cftc.gov/sites/default/files/tm/tmhedgefundreport.htm</a>
12	History of the GIPS Standards, Performance Measurement Solutions, (available at: <a href="https://www.performancemeasurementsolutions.com/history">https://www.performancemeasurementsolutions.com/history</a> )

13	Investor.gov, “Over-The-Counter (OTC) Securities,” <a href="https://www.investor.gov/introduction-investing/investing-basics/glossary/over-counter-otc-securities">https://www.investor.gov/introduction-investing/investing-basics/glossary/over-counter-otc-securities</a>
14	Jennifer Keeney LinkedIn Profile, <a href="https://www.linkedin.com/in/jenniferkeeney">https://www.linkedin.com/in/jenniferkeeney</a>
15	John Downes and Jordan Elliot Goodman, Dictionary of Finance and Investment Terms (Barron’s Educational Series ed., 5th ed. 1998).
16	New York Institute of Finance, How Institutions Manage Counter-Party Risk <a href="https://www.nyif.com/articles/how-institutions-manage-counter-party-risk">https://www.nyif.com/articles/how-institutions-manage-counter-party-risk</a>
17	OCC, “What is OCC,” <a href="https://www.theocc.com/company-information/what-is-occ">https://www.theocc.com/company-information/what-is-occ</a>
18	Oxford Dictionary of Finance and Banking (2018) sixth ed., Oxford University Press.

**Pleadings and Case Filings**

19	First Amended Complaint, <i>Picard v. Fairfield Inv. Fund Limited, et al.</i> , Adv. Pro. No. 09-01239 (LGB) (Bankr. S.D.N.Y. July 20, 2010), ECF No. 23..
20	Second Amended Complaint, <i>Picard v. Fairfield Inv. Fund Limited, et al.</i> , Adv. Pro. No. 09-01239 (LGB) (Bankr. S.D.N.Y. Aug. 28, 2020), ECF No. 286 (“Second Amended Complaint”).
21	Answer and Affirmative Defenses of Defendant Amit Vijayvergiya to the Second Amended Complaint, September 30, 2021.
22	Answer and Affirmative Defenses of Defendant Andres Piedrahita to the Second Amended Complaint, September 30, 2021.
23	Answer and Affirmative Defenses of Defendant Philip Toub to the Second Amended Complaint, September 30, 2021.
24	Answer and Affirmative Defenses of Defendants Corina Noel Piedrahita and Share Management LLC to the Second Amended Complaint, September 30, 2021.
25	Answer and Affirmative Defenses of Defendants Fairfield Greenwich Limited, Fairfield Greenwich (Bermuda) Limited, and Fairfield Greenwich Advisors LLC to the Second Amended Complaint, September 30, 2021.
26	Answer and Affirmative Defenses of Defendants Fairfield Investment Fund Limited and Stable Fund L.P. to the Second Amended Complaint, September 30, 2021.
27	Answer and Affirmative Defenses of Defendants Walter M. Noel, Jr., Jeffrey Tucker, Fairfield International Managers, Inc., and Fairfield Greenwich Capital Partners to the Second Amended Complaint, September 30, 2021.
28	Defendants’ Responses and Objections to the Trustee’s First Set of Requests for Admission to Defendants, April 18, 2025.
29	Entity Defendants’ Verified Responses and Objections to the Trustee’s First Set of Interrogatories Pursuant to Federal Rule of Civil Procedure 33 and Local Bankruptcy Rule 7033-1, April 18, 2025.
30	Order Modifying the Expert Discovery Schedule and Establishing a Briefing Schedule for Partial Summary Judgment, May 5, 2025.

<b>Depositions and Exhibits</b>	
31	Anwar Deposition of Albert Van Nijen, November 8, 2012.
32	Anwar Deposition of Amit Vijayrvergiya, June 17, 2013, June 18, 2013.
33	Anwar Deposition of Andres Piedrahita, June 5, 2013.
34	Anwar Deposition of Andrew Smith, January 27, 2012.
35	Anwar Deposition of Anthony Dell'Arena, January 23, 2013.
36	Anwar Deposition of Anuschka Cova, July 26, 2012.
37	Anwar Deposition of Arno Boelaars, April 11, 2013.
38	Anwar Deposition of Bert Lokhorst, August 16, 2012.
39	Anwar Deposition of Bill DeRosa, February 7, 2013.
40	Anwar Deposition of Brian Francoeur, May 16, 2012.
41	Anwar Deposition of Charles Murphy, May 11, 2012.
42	Anwar Deposition of Charles Rund, January 31, 2013.
43	Anwar Deposition of Chris Meijnders, November 26, 2012.
44	Anwar Deposition of Christoffel Smeets, June 20, 2013.
45	Anwar Deposition of Corina Piedrahita, April 20, 2012.
46	Anwar Deposition of Cornelis Hage, October 16, 2012.
47	Anwar Deposition of Daniel Lipton, May 14, 2013, May 15, 2013.
48	Anwar Deposition of Daniel Van Veen, October 11, 2012.
49	Anwar Deposition of David Horn, February 17, 2012.
50	Anwar Deposition of Derek Hatoum, August 14, 2012.
51	Anwar Deposition of Dorothy Sanford, July 25, 2012.
52	Anwar Deposition of Edward Ludwig, May 17, 2013.
53	Anwar Deposition of Eric Hartkamp, November 28, 2012.
54	Anwar Deposition of Ermanno Unternaehrer, January 17, 2013.
55	Anwar Deposition of Fred Gertsen, November 30, 2012.
56	Anwar Deposition of Ger Jan (Folgert) Meijer, May 9, 2013.
57	Anwar Deposition of Ger Jan Meijer, December 6, 2012.
58	Anwar Deposition of Gert Smit, October 18, 2012.
59	Anwar Deposition of Gil Berman, June 20, 2013.
60	Anwar Deposition of Gordon McKenzie, May 8, 2013.
61	Anwar Deposition of Han Hufschmid, May 7, 2013.
62	Anwar Deposition of Harold Greisman, January 20, 2012.
63	Anwar Deposition of Ian Pilgrim, May 18, 2012.
64	Anwar Deposition of Ian Smith, October 19, 2012.
65	Anwar Deposition of Ian Webb, January 25, 2013.
66	Anwar Deposition of Ira Rosenblum, November 14, 2012.
67	Anwar Deposition of Jacqueline Harary, February 24, 2012.
68	Anwar Deposition of Jeffrey Tucker, June 27, 2013, June 28, 2013.
69	Anwar Deposition of Jess Luzadas, May 31, 2013.

70	Anwar Deposition of John Verhooren, September 6, 2012.
71	Anwar Deposition of Larry Luckmann, February 14, 2013.
72	Anwar Deposition of Lauren Ross, May 10, 2013.
73	Anwar Deposition of Lisa Bergeron, August 7, 2012.
74	Anwar Deposition of Lourdes Barreneche, December 20, 2011, December 21, 2011.
75	Anwar Deposition of Maria Teresa Pulido Mendoza, January 11, 2012.
76	Anwar Deposition of Mark McKeefry, June 19, 2013.
77	Anwar Deposition of Michel Van Zanten, June 13, 2013.
78	Anwar Deposition of Nancy Zhang, January 30, 2013.
79	Anwar Deposition of Nicholas Braham, May 24, 2013.
80	Anwar Deposition of Patricia Perruzza, September 24, 2012.
81	Anwar Deposition of Paul Kavanagh, October 25, 2012.
82	Anwar Deposition of Peter Schmid, June 26, 2013, June 27, 2013.
83	Anwar Deposition of Richard Landsberger, January 6, 2012.
84	Anwar Deposition of Robert Blum, June 11, 2013.
85	Anwar Deposition of Robert Voges, February 28, 2013.
86	Anwar Deposition of Robertino Marugg, November 1, 2012.
87	Anwar Deposition of Robin Taylor, July 26, 2012.
88	Anwar Deposition of Ronald Irausquin, January 24, 2013.
89	Anwar Deposition of Santiago Reyes, December 15, 2011.
90	Anwar Deposition of Scott Case, October 4, 2012.
91	Anwar Deposition of Selene Woo, December 17, 2012.
92	Anwar Deposition of Stephen Wall, November 12, 2012, November 13, 2012.
93	Anwar Deposition of Sylvie Villoria, October 9, 2012.
94	Anwar Deposition of Varsha Dalvi, May 3, 2013.
95	Anwar Deposition of Walter Noel, June 12, 2013.
96	Anwar Deposition of Willem Holst, December 13, 2012.
97	Anwar Deposition of William Keunen, April 18, 2013.
98	Anwar Deposition of William Keunen, December 20, 2012, December 21, 2012.
99	Deposition of Amit Vijayvergiya, January 30, 2025, January 31, 2025.
100	Deposition of Andres Piedrahita, February 6, 2025.
101	Deposition of Andrew Ludwig, March 8, 2024.
102	Deposition of Annette Bongiorno, May 22, 2019.
103	Deposition of Christopher Cutler, January 21, 2010.
104	Deposition of Dan Lipton, January 23, 2025.
105	Deposition of Gil Berman, July 1, 2024.
106	Deposition of Gregory Bowes, October 23, 2024.
107	Deposition of Harold Greisman, January 9, 2024.
108	Deposition of Jeffrey Tucker, January 28, 2025.
109	Deposition of Jennifer Keeney, March 1, 2024.
110	Deposition of Jo Ann Sala, April 8, 2019.

111	Deposition of Mark McKeefry, February 5, 2025.
112	Deposition of Mark McKeefry, February 7, 2025.
113	Deposition of Robert Blum, April 18, 2024.
114	MSD Deposition of Amit Vijayvergiya, March 6, 2009.
115	MSD Deposition of Daniel E. Lipton, March 5, 2009.
116	MSD Deposition of Gordon McKenzie, March 27, 2009.
117	MSD Deposition of Jefferey Tucker, March 12, 2009.
118	MSD Deposition of Walter Noel, February 11, 2009.
119	SEC Deposition of Amit Vijayvergiya, October 20, 2009.
120	SEC Deposition of Jeffery Tucker, January 30, 2006.

### Structured Data

121	BarclayHedge Hedge Fund Database.
122	Bloomberg Market Data.
123	CBOE Market Data.
124	Federal Reserve FRB H:15 Release.
125	Hedge Fund Research Inc. © 2012 HFR Inc.
126	Morningstar Direct Database.
127	Settled Cash table.
128	StorQM Customer Statements.
129	SQL Compilation of BLMIS Data and Summary of Databases.
130	TICK Data.