

EXHIBIT A

Patrick B. Garbe
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Professional Experience:

Mayer Brown LLP. New York. 1997 to present.

Electronic Discovery Specialist. 2007 to present.

- Lead development efforts with clients and legal teams in order to implement defensible electronic discovery plans in commercial litigation, antitrust, investigations, tax and bankruptcy matters
- Consult with clients on preservation and collection issues based on analysis of clients' information technology, client interviews and discussions with legal teams
- Consult with clients and legal teams for contracting electronic discovery services
- Perform data analytics using leading discovery applications, including standard document review platforms
- Prepare and lead certain aspects of the meet and confer dialogue under FRCP 26(f), including the negotiation and development of production protocols
- Assist counsel during discovery negotiations with governmental and regulatory agencies, including the negotiation and development of production protocols
- Provide educational instruction on electronic discovery, including CLE presentations, new business pitches and speaking engagements
- Assist clients in records management by consulting in the development of policies and procedures for the data remediation, preservation, collection, review and production of ESI
- Member of the Electronic Discovery and Records Management Practice group
- Testified as a summary witness at trial (N.D. Ill) in support of exhibits summarizing the data analytics on the opposition's evidence contained in a document review platform

Litigation and Bankruptcy Paralegal Manager. 1997 to 2007.

- Maintained an active case load while managing full-time and temporary paralegals
- Consulted and advised on project management, litigation support and legal services from preservation and collection through document review, production and trial
- Led trial support teams
- Extensive client contacts on discovery issues, government investigations and trial preparation

Shearman & Sterling. New York. 1990 to 1997.

Litigation Paralegal

- Lead paralegal in complex litigations and government investigations, including alleged violations of state and federal securities laws, antitrust and "Second Request" actions
- Senior paralegal in complex commercial litigations, including class actions and MDL's involving mass tort claims, M&A transactions, breach of contract and fraud
- Lead trial paralegal in NJ District Court case resulting in a \$150 million jury award to client in a contract dispute
- Trial paralegal in *pro bono* representation of an individual during the death penalty sentencing trial in Florida state court

Sheppard, Mullin, Richter & Hampton. Los Angeles. 1986 to 1990.

Litigation Paralegal

- Trial paralegal in 2 District Court cases (securities action and antitrust action)
- Lead paralegal in multiple *Qui Tam*/False Claims Act investigations concerning defense contracts for missiles and military aircraft

Orrick, Herrington & Sutcliffe/Deets & Associates. San Francisco. 1985 to 1986.

Litigation Paralegal/Litigation Support

- Reviewed and issue coded documents produced in a complex probate matter (*Buck Trust*)
- Entered objective and issue coding into a document production database
- Extensive use of document database to support trial team

Education:

Seton Hall University, Bachelor of Arts, Political Science, 1981.

Rutgers, The State University of New Jersey, masters program and teaching assistant, American History, 1982 to 1984.

Golden Gate University, School of Law, 1984 to 1985.

Publications:

Chapter 7, "Review and Production of Electronically Stored Information," *Electronic Discovery Deskbook* (Practicing Law Institute, 2009) (with Michael Lackey and Gabrielle Butcher)

Tip of the Month, February 2010, "Selecting an Electronic Discovery Vendor," *Mayer Brown Newsletter* (with Christopher Hansen and Allisa Vermillion)

Tip of the Month, March 2010, "Managing the Electronic Discovery Relationship," *Mayer Brown Newsletter* (with Christopher Hansen and Allisa Vermillion)

Recent Presentations:

"What is E-Discovery," Mayer Brown Litigation Training Series (CLE-certified)

"Managing E-Discovery Costs," Mayer Brown Litigation Training Series (CLE-certified)

"Document Production: Collection, Review and Production Decisions (a.k.a. How to Survive a Large Document Production)," Mayer Brown Litigation Training Series (CLE-certified)

"Custody and Control of ESI," Mayer Brown in-house training (with Deloitte Financial Advisory Services)

EXHIBIT B

PROTOCOL GOVERNING THE PRODUCTION OF RECORDS

I. Production Formats of Electronic Records

Defendants agree that all responsive electronically stored information ("ESI") shall be produced in the following formats:

- A. **TIFFs.** All images shall be delivered as single page Group IV TIFF image files. Image file names should not contain spaces.
- B. **Unique IDs.** Each image should have a unique file name and should be named with the Bates number assigned to it.
- C. **Text Files.** Extracted full text in the format of multipage .txt files shall be provided. The total number of text files delivered should match the total number of TIFF files delivered. Each text file should match the respective TIFF filename. Text from redacted pages will be produced in OCR format rather than extracted text.
- D. **Parent-Child Relationships.** Parent-child relationships (the association between an attachment and its parent record) should be preserved.
- E. **Database Load Files/Cross-Reference Files.** Records should be provided in a format compatible with Concordance 8x and Opticon 3x in the following format:

Example Concordance Delimited File

```

bBegDocb_pEndDoc b_pBegAttach b_p EndAttach b_p DocPages b_p RecordType
b_p MasterDate b_p SentOn_Date b_p SentOne_Time b_p Recvd_Time b
b ABC001 b_p ABC002 b_p ABC001 b_p ABC005 b_p 2 b_p Email b_p b_p
01/01/2008 b_p 13 05 GMT b_p 13:08 GMT b
b ABC003 b_p ABC005 b_p ABC001 b_p ABC005 b_p 3 b_p Attachment b_p b
_p b_p b_p
```

Example Opticon Delimited File

There should be one row in each load file per TIFF image. Files that are the first page of a record should contain a "Y" in the file where appropriate.

Format: ProductionNumber,VolumeLabel,ImagePath,DocBreak,
FolderBreak,BoxBreak,PageCount

Example: Record MS000001 – MS000003 and MS000004 – MS000005 on DVD
volume MS001 would be:

MS000001,MS001,D:\IMAGES\001\MS000001.TIF,Y,,,3
MS000002,MS001,D:\IMAGES\001\MS000002.TIF,,,,
MS000003,MS001,D:\IMAGES\001\MS000003.TIF,,,,
MS000004,MS001,D:\IMAGES\001\MS000004.TIF,Y,,,2
MS000005,MS001,D:\IMAGES\001\MS000005.TIF,,,,

- F. **Metadata.** For records that were originally created using common, off-the-shelf software (e.g., Microsoft Word, Microsoft PowerPoint, Adobe PDF), Defendants will provide all metadata fields set forth in the below metadata fields. Defendants must produce all files attached to each email they produce, but only if such files are actually attached to that email in the ordinary course of business. To the extent a Defendant produces email attachments that were originally created using common, off-the-shelf software, a Defendant will produce the metadata for those attached electronic records in accordance with this section.

Metadata Fields

- Custodian
- Beginning Bates Number
- Ending Bates Number
- Beginning Attachment Number
- Ending Attachment Number
- Record Type
- Master_Date
- SentOn_Date and Time
- Received_Date and Time
- Create_Date and Time
- Last_Modified Date and Time
- Parent Folder
- Author
- To
- From
- CC
- BCC
- Subject/Title
- OriginalSource
- Native Path
- File Extension
- File Name
- File Size
- Full Text

- G. **Spreadsheets.** For spreadsheets that were originally created using common, off-the-shelf software (e.g., Microsoft Excel), Defendants will produce the spreadsheets in native format and, in addition, in TIFF format.

II. Production Format of Hard Copy Records

Defendants agree that all responsive hard copy records shall be produced in the following formats:

- A. **TIFFs.** All images shall be delivered as single page Group IV TIFF image files. Image file names should not contain spaces.
- B. **Unique IDs.** Each image should have a unique file name and should be named with the Bates number assigned to it.
- C. **OCR.** High-quality multipage OCR text should be provided. Each text file should match the respective TIFF filename.
- D. **Database Load File/Cross-Reference Files.** Records should be provided in a format compatible with Concordance 8x and Opticon 3x in the formats identified in Section I.E above.
- E. **Unitizing of Records.** In scanning hard copy records, distinct records should not be merged into a single record, and single records should not be split into multiple records (*i.e.*, hard copy records should be logically unitized).
- F. **Parent-Child Relationships.** Parent-child relationships (the association between an attachment and its parent record) should be preserved.
- G. **Objective Coding Fields.** The following objective coding fields should be provided:
 - Beginning Bates Number
 - Ending Bates Number
 - Beginning Attachment Number
 - Ending Attachment Number
 - Source/Custodian
- H. **Objective Coding Format.** The objective coding fields should be provided in the following format:
 - Fields should be Pipe (|) delimited.
 - String values within the file should be enclosed with Carats (^).
 - Multiple entries in a field should have a semi-colon (;) delimiter.
 - The first line should contain metadata headers and below the first line there should be exactly only one line for each record.
 - Each field row must contain the same amount of fields as the header row.

EXHIBIT C

SEC Data Delivery Standards

The following document describes the technical requirements for electronic productions produced to the Securities and Exchange Commission. Any proposed formats other than what is listed below (including databases) should not be produced without discussions and approval from the legal and technical staff of the Division of Enforcement. The SEC uses Concordance 9.58 and Concordance Image 4.5 to review their electronic document collections.

General Instructions

1. Provide a cover letter with each production which includes the Bates range and a general description of the documents and/or the custodian(s). The cover letter should also summarize the number of records, images, emails and attachments in the production. *The cover letter MUST be imaged and provided as the first record in the delimited text file for all preferred formats discussed below.*
2. Produce documents in the same form that it was created or maintained. Documents created or stored electronically should not be produced in hard copy.
3. Deliver data on CD, DVD, or hard drive. The smallest number of media is required. If the collection is large enough to fit onto a hard drive, the SEC can provide one, if needed.
4. Label all media submitted. Include on the label at least the following information: case number, production date, Bates range and disk number, if applicable.
5. Organize all productions by custodian unless otherwise instructed.
6. Provide all productions free of computer viruses.
7. Provide all passwords for documents, files, or compressed archives provided in the production under a separate cover.
8. Overview of preferred formats for production
 - a. Paper Documents - Scanned paper converted/processed to TIFF files, Bates numbered, and includes OCR text
 - b. Email Collections – Electronic mail converted/processed to TIFF files for the email and attachment(s), Bates numbered, includes a link to the email or native file, and includes full text.
 - c. Native Files – Electronic documents converted/processed to TIFF files, Bates numbered, includes a link to the native file, and includes full text.

Paper Documents

- 1) **Image files.** Images must be Group IV TIFF files (single or multi-page files). All images should be Bates numbered. The number of files per folder should be limited to 1,000 files.
- 2) **Delimited Text file.** At a minimum, this file must contain an IMAGEID field (image key used to reference images in Concordance Image). The image key must be unique, fixed length, and CANNOT be the Bates number of the document. If you change the length of the image key in a subsequent production, the production will be rejected. Bates numbers (endorsed on the documents and included in the delimited text file) MUST be delivered in a consistent manner for sorting purposes. For example, if the first production delivered is Bates stamped ABC-0000001-ABC-0005267, subsequent productions with the same prefix must have the same format (spaces, dashes, etc.) and the same number of digits. For example ABC 0005268, ABC0005268 or ABC-00005268 is not acceptable. The delimited text file must also include a header record. The delimiters for the file must be as follows:

Comma – ASCII character	20
Quote - “ “	254
Newline - “ “	174

SEC Data Delivery Standards

- 3) **OCR Text.** The OCR text provided to the SEC can be delivered two ways. (1) The OCR text can be delivered as multi-page ASCII files. The name of the file must match the IMAGEID field. (2) The OCR text can be included in the Delimited Text file (OCRTEXT field).

If possible (regardless of delivery method), please place page markers at the beginning or end of each OCR text page as shown:

*** LA000001 ***

The data surrounded by *** is the Concordance Image ImageID (see example below).

- 4) **Concordance Image Cross-Reference file.** The Concordance Image cross-reference file is a comma delimited file consisting of six fields per line. There must be a line in the cross-reference file for every image in the database. The format for the file is as follows:

ImageID, VolumeLabel, ImageFilePath, DocumentBreak, FolderBreak, BoxBreak, PageCount

ImageID: The unique designation that Concordance and Concordance Image use to identify an image.

VolumeLabel: Optional.

ImageFilePath: The full path to the image file.

DocumentBreak: If this field contains the letter "Y," then this is the first page of a document. If this field is blank, then this page is not the first page of a document.

FolderBreak: Leave empty.

BoxBreak: Leave empty.

PageCount: Optional.

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Sample Data

Delimited Text file:

 FIRSTBATES  LASTBATES  IMAGEID 
 MT00000001  MT00000002  IMG0000001 
 MT00000003  MT00000004  IMG0000003 
 MT00000005  MT00000006  IMG0000005 

Concordance Image Cross-reference File:

IMG0000001,,E:\001\00010001.TIF,Y,,,
IMG0000002,,E:\001\00010002.TIF,,,,
IMG0000003,,E:\001\00010003.TIF,Y,,,
IMG0000004,,E:\001\00010004.TIF,,,,
IMG0000005,,E:\001\00010005.TIF,Y,,,
IMG0000006,,E:\001\00010006.TIF,,,,

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Multi-page OCR Text File (IMG0000001.txt):

*** IMG0000001 ***

Protocol Regarding Data and Document Migration

This Protocol Regarding Data and Document Migration ("Protocol"), effective as of February 1, 2002, applies to all Enron employees in North America who are transferring from Enron Corp. or its affiliates (collectively, "Enron") to UBS AG or its affiliates (collectively, "UBS"). All data must be migrated by Friday, February 8, 2002.

In General

Enron has agreed to provide UBS with the information and data that is necessary to operate the gas and power business in North America, subject to the limitations in Section II below. This Protocol will address how employees transferring to UBS should migrate the data or documents that they are entitled to have and that will be necessary for them to do their job at UBS. Employees should migrate only the data that is absolutely necessary for them to perform their job at UBS. If there is a doubt as to whether the information is necessary, the data should not be migrated at this time. If it is deemed necessary in the future, it can be obtained from Enron at that time, using the instructions contained in Exhibit 5.

This Protocol applies to data and information stored in all locations, including files, office computers, home computers, portable devices (such as laptop computers, Blackberry or other handhelds), or other such devices. Laptops should contain only information that is approved for migration.

All employees transferring to UBS must comply with the record preservation order of the U.S. Bankruptcy Court, as described below. All information that is migrated is subject to review by government investigators. To ensure compliance with this Protocol, Enron will conduct random audits of information selected for migration.

II. Limitations on Information to Be Migrated

- * Employees should migrate only information that is absolutely necessary to perform their jobs at UBS.
- * No information (1) Enron transactions or business deals that occurred prior to February 8, 2002 may be migrated to UBS without prior approval of the Enron Legal Department.
- * No information about an Enron customer, other than contact and address information, should be migrated to UBS without prior approval of the Enron Legal Department. * Information protected by confidentiality restrictions shall not be migrated to UBS without prior approval by the Enron Legal Department.

III. Migration of Electronic Data

Electronic data may be migrated to UBS, subject to the limitations described in Section II above. All migration of electronic data must be complete by midnight on Thursday, February 7, 2002.

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CONFIDENTIAL

SEC Data Delivery Standards

*** IMG0000002 ***

A. Electronic Mail

1. E-Mail Address. Employees transferring to UBS will be provided a new email address (in most cases, the new address will be: `firsiname.lastname@ubswenergy.com`). IT will set the system to send an automatic response to any external e-mails sent to an Enron email address with the details of the individual's new UBS address.

2. Copies of Migrated E-Mail. Employees transferring to UBS will not have access to their Enron electronic mailbox after the transaction closes. Employees transferring to UBS must copy all electronic mail items they wish to retain, subject to the restrictions described in Section II above, in accordance with instructions attached as Exhibit I to this Protocol.

B. Contact List, Calendar, and Tasks

The contact list, calendar, tasks, and notes contained in Microsoft Outlook or other office management software programs will be transferred by IT to employees' UBS workstation on February 8, 2002.

If, however, those applications contain confidential data or other inappropriate or unnecessary information as described in Section II above, then each employee should print such information and then delete it from the system before February 8, 2002. Printouts should be provided to Richard Sanders (EB3827) or Harlan Murphy (EB3811) in the Enron Legal Department.

Portable email devices should be cleared of all information that is not migrated pursuant to this Protocol.

C. Common Drives (O and M)

Employees who wish to transfer permissible data from common drives to UBS should copy that data to the following drive: UBSWE 0:. Each employee will be responsible for this task, and each employee will be responsible for compliance with the restrictions set forth in this Protocol. (Lists of documents, directories, or folders to be transferred that were previously provided to IT will not be taken into consideration.) Written instructions on performing these tasks are attached as Exhibit 2.

D. H Drive

All compliant information stored in the H drive should be copied to a new UBS H drive in accordance with the instructions attached as Exhibit 3. Any information not transferred to the new UBS H drive should be left in the former Enron H drive.

E. C Drive

Because the C Drive may physically be moved to UBS, the procedure for C Drive migration differs slightly from that of the other drives. This procedure will require extra care on the part of the user.

If an employee has information that should not be migrated to UBS, please call the Resolution Center at x3-1411 for assistance. If an employee's C-Drive does not contain the file `C:\ThMP\TRNEDO..ckc 2`

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Data File with OCR text (first record):

bFIRSTBATESp bLASTBATESp bIMAGEIDp bOCRTEXTp
 bMT00000001p bMT00000002p bIMG0000001p b*** IMG0000001 ***@@Protocol Regarding Data and Document Migration@@This Protocol Regarding Data and Document Migration ("Protocol"), effective as of February 1, 2002, applies to all Enron employees in North America who are transferring from Enron Corp. or its affiliates (collectively, "Enron") to UBS AG or its affiliates (collectively, "UBS"). All data must be migrated by Friday, February 8, 2002. In General Enron has agreed to provide IJBS with the information and data that is necessary to operate the gas and power business in North America, subject to the limitations in Section II below. This Protocol will address how employees transferring to UBS should migrate the data or documents that they are entitled to have and that will be necessary for them to do their job at UBS. Employees should migrate only the data that is absolutely necessary for them to perform their job at UBS. If there is a doubt as to whether the information is necessary, the data should not be migrated at this time. If it is deemed necessary in the future, it can be obtained from Enron at that time, using the instructions contained in Exhibit 5. This Protocol applies to data and information stored in all locations, including files, office computers, home computers, portable devices (such as laptop computers, Blackberry or other handhelds), or other such devices. Laptops should contain only information that is approved for migration. All employees transferring to UBS must comply with the record preservation order of the U.S. Bankruptcy Court, as described below. All information that is migrated is subject to review by government investigators. To ensure compliance with this Protocol, Enron will conduct random audits of information selected for migration. II. Limitations on Information to Be Migrated * Employees should migrate only information that is absolutely necessary to perform their jobs at UBS. * No information (1) Enron transactions or business deals that occurred prior to February 8, 2002 may be migrated to UBS without prior approval of the Enron Legal Department. * No information about an Enron customer, other than contact and address information, should be migrated to UBS without prior approval of the Enron Legal Department. * Information protected by confidentiality restrictions shall not be migrated to UBS without prior approval by the Enron Legal Department. III. Migration of Electronic Data Electronic data may be migrated to UBS, subject to the limitations described in Section II above. All migration of electronic data must be complete by midnight on Thursday, February 7, 2002. ECd-000006469 CONFIDENTIAL *** IMG0000002 *** 2/5, 1) 2) A. Electronic Mail 1. E-Mail Address. Employees transferring to UBS will be provided a new email address (in most cases, the new address will be: firstname.lastname@ubswenergy.com). IT will set the system to send an automatic response to any external e-mails sent to an Enron email address with the details of the individual's new UBS address. 2. Copies of Migrated E-Mail. Employees transferring to IJBS will not have access to their Enron electronic mailbox after the transaction closes. Employees transferring to UBS must copy all electronic mail items they wish to retain, subject to the restrictions described in Section II above, in accordance with instructions attached as Exhibit I to this Protocol. B. Contact List, Calendar, and Tasks The contact list, calendar, tasks, and notes contained in Microsoft Outlook or other office management software programs will be transferred by IT to employees' UBS workstation on February 8, 2002. If, however, those applications contain confidential data or other inappropriate or unnecessary information as described in Section II above, then each employee should print such information and then delete it from the system before February 8, 2002. Printouts should be provided to Richard Sanders (EB3827) or Harlan Murphy (EB3811) in the Enron Legal Department. Portable email devices should be cleared of all information that is not migrated pursuant to this Protocol. C. Common Drives (O and M) Employees who wish to transfer permissible data from common drives to UBS should copy that data to the following drive: UBSWE 0:. Each employee will be responsible for this task, and each employee will be responsible for compliance with the restrictions set forth in this Protocol. (Lists of documents, directories, or folders to be transferred that were previously provided to IT will not be taken into consideration.) Written instructions on performing these tasks are attached as Exhibit 2. D. H Drive All compliant information stored in the H drive should be copied to a new UBS H drive in accordance with the instructions attached as Exhibit 3. Any information not transferred to the new UBS H drive should be left in the former Enron H drive. E. C Drive Because the C Drive may physically be moved to UBS, the procedure for C Drive migration differs slightly from that of the other drives. This procedure will require extra care on the part of the user. If an employee has information that should not be migrated to UBS, please call the Resolution Center at x3-1411 for assistance. If an employee's C-Drive does not C:\ThMP\TRNEDO..ckc 2 ECd-000006470 CONFIDENTIAL p

SEC Data Delivery Standards**Email Collections****Preferred Format: Delimited Text with Images and Native Attachments**

- 1) **Image files.** The producing party will provide a TIFF image for each page of the email and attachment(s). Images must be Group IV TIFF files (single or multi-page files). All images should be Bates numbered. The number of TIFF files per folder should be limited to 1,000 files. Refer to the Paper Documents section for Bates and image key numbering rules.
- 2) **Native files.** The producing party will provide a copy of the email and native attachment files. The number of native files per folder should be limited to 1,000 files.
- 3) **Delimited Text file.** The text and metadata of the email and the attachment(s) is extracted and entered in the appropriate fields and provided as an ASCII delimited text file. The email will be the "parent" and the attachment(s) will be the "child." An email may have more than one child. The child attachment's Bates number will be listed in the parent email's coded fields under CHILD_BATES. If there is more than one attachment, list the first Bates number of each attachment and separate them by semi-colons (;). The parent email's Bates number will be listed in the child(s) attachment(s) under PARENT_BATES. The child/children will immediately follow the parent record. The following is a field definition table of the data requested, including sample data for an email and an attachment.

Sample Data - Email

Field	Sample Data	Comment
FIRSTBATES	BT 000001	First Bates number of email
LASTBATES	BT 000008	Last Bates number of email
BEGATTACH	BT 000001	First Bates number of attachment range
ENDATTACH	BT 000015	Last Bates number of attachment range
PARENT_BATES	BT 000001	First Bates number of parent email
CHILD_BATES	BT 000009; BT 000012	First Bates number of "child" attachment(s); can be more than one Bates number listed; depends on number of attachments
CUSTODIAN	John Smith	Mailbox where the email resided
FROM	John Smith	Sender
TO	Janice Coffman	Recipient(s)
CC	Frank Thompson	Carbon copy recipient(s)
BCC	John Cain	Blind carbon copy recipient(s)
SUBJECT	Board Meeting Minutes for 7/1/03	Subject of the email
DATE_SENT	10/10/2005	Date the email was sent
TIME_SENT	07:05 PM	Time the email was sent; must be a separate field and

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		cannot be combined with the DATE SENT field
LINK	D:\SEC Production\BT 000001.msg	Hyperlink to the email; should be named per the FIRSTBATES number
FILE_EXTEN	MSG	The file extension of the email; will vary depending on the email format
AUTHOR		Empty for email
DATE_CREATED		Empty for email
TIME_CREATED		Empty for email
DATE_MOD		Empty for email
TIME_MOD		Empty for email
DATE_ACCESSD		Empty for email
TIME_ACCESSD		Empty for email
PRINTED_DATE		Empty for email
FILE_SIZE	5,952	Size of email in KB
INTFILEPATH	Personal Folders\Deleted Items\Board Meeting Minutes for 7/1/03.msg	Location of email
TEXT	<p>From: Smith, John [XYZ Corp] Sent: Friday, July 11, 2003 4:42 PM To: Coffman, Janice [CDT Corp] Subject: Board Meeting Minutes for 7/1/03</p> <p>Janice; Attached is a copy of the July Board Meeting Minutes for your review. Please let me know if you have any questions.</p> <p>John Smith Assistant Director Information Technology Phone: (202) 555-1111 Fax: (202) 555-1112 Email: jsmith@xyz.com</p>	Text of the email

Sample Data - Attachment

Field	Sample Data	Comment
FIRSTBATES	BT 000009	First Bates number of attachment
LASTBATES	BT 000011	Last Bates number of attachment
BEGATTACH	BT 000001	First Bates number of the attachment range
ENDATTACH	BT 000015	Last Bates number of the attachment range
PARENT BATES	BT 000001	First Bates number of parent

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		email
CHILD BATES		
CUSTODIAN	John Smith	Mailbox where the email resided
FROM		Empty for attachment
TO		Empty for attachment
CC		Empty for attachment
BCC		Empty for attachment
SUBJECT		Empty for attachment
DATE SENT		Empty for attachment
TIME SENT		Empty for attachment
LINK	D:\SEC Production\BT 000009.doc	Hyperlink to the native attachment named per the FIRSTBATES number
FILE_EXTEN	DOC (attachment – ex. Word document)	The file extension will vary depending on the document type
AUTHOR	John Smith	Attachment/native file metadata
DATE_CREATED	10/08/2005	Attachment metadata
TIME_CREATED	07:05 PM	Time the attachment was created; must be a separate field and cannot be combined with the DATE_CREATED field.
DATE_MOD	10/19/2005	Attachment metadata
TIME_MOD	07:05 PM	Time the attachment was modified; must be a separate field and cannot be combined with the DATE_MOD field.
DATE_ACCESSD	10/10/2005	Attachment metadata
TIME_ACCESSD	07:05 PM	Time the attachment was accessed; must be a separate field and cannot be combined with the DATE_ACCESSD field.
PRINTED_DATE	10/19/2005	Attachment metadata
FILE_SIZE	765,952	Size of file in KB
INTFILEPATH	Personal Folders\Deleted Items\Board Meeting Minutes for 7/1/03.msg\Meeting Minutes.doc	Path where attachment file was stored
TEXT	Meeting Minutes for Teleconference 10/1/03 Discussion over employee stock options transpired. Decision was made to offer the options as part of the employee's Christmas bonus. Announcement was made regarding Roland Moore	Text of the attachment

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	being promoted to Assistant Director	
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The delimited text file must include a header record. The delimiters for the file must be as follows:

Comma – ASCII character 20
 Quote - “ “ 254
 Newline - “ “ 174

- 4) **Full Text.** When the full text is not provided in the ASCII delimited text file or if text exceeds 12MB in the TEXT field, the full text provided to the SEC can be delivered as multi-page ASCII files. The name of the file must match the image key field. Any document in which text cannot be extracted should be OCR'd, particularly in the case of PDFs without embedded text.
- 5) **Concordance Image Cross-Reference file.** The Concordance Image cross-reference file is a comma delimited file consisting of six fields per line. There must be a line in the cross-reference file for every image in the database.

We will also accept the following formats:

PST – a personal storage file native to Microsoft Outlook. You must provide any necessary passwords or decryption.

NSF – a personal storage file native to Lotus Notes. You must provide any necessary passwords or decryption.

Native Files**Preferred Format: Delimited Text with Images and Links to Native Files:**

1. **Image files.** The producing party will provide a TIFF image of the native files. Images must be Group IV TIFF files (single or multi-page files). All images should be Bates numbered. The number of TIFF files per folder should be limited to 1,000 files. Refer to the Paper Documents section for Bates and image key numbering rules.
2. **Native files.** The producing party will provide a copy of the native files. The number of native files per folder should be limited to 1,000 files.
3. **Delimited Text file.** An ASCII delimited file containing the metadata associated with the file, text extracted from the native file, and a directory path to the native file. The fields to be included in the production are as follows:

FIELD	SAMPLE DATA	COMMENT
FIRSTBATES	GT000001	First Bates number of native file
LASTBATES	GT000001	Last Bates number of native file
CUSTODIAN	John Smith	Individual from whom the documents originated

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LINK	D:\SEC Production\GT000001.doc	Hyperlink to native file named per the FIRSTBATES number
AUTHOR	John Smith	
DATE_CREATED	10/08/2005	
TIME_CREATED	07:05 PM	Time the document was created; must be a separate field and cannot be combined with the DATE_CREATED field.
DATE_MOD	10/09/2005	
TIME_MOD	07:05 PM	Time the document was modified; must be a separate field and cannot be combined with the DATE_MOD field.
DATE_ACCESSD	10/10/2005	
TIME_ACCESSD	07:05 PM	Time the attachment was accessed; must be a separate field and cannot be combined with the DATE_ACCESSD field.
PRINTED_DATE	10/10/2005	
FILE_SIZE	765,952	Size of file in KB
PATH	J:\SHARED\SMITH\Meeting Minutes.doc	Path where native file was stored
TEXT	Meeting Minutes for Teleconference 10/1/03 Discussion over employee stock options transpired. Decision was made to offer the options as part of the employee's Christmas bonus. Announcement was made regarding Roland Moore being promoted to Assistant Director	Text extracted from native file.

The delimited text file must include a header record. The delimiters for the file must be as follows:

Comma – ASCII character 20
Quote - “ “ 254
Newline - “ “ 174

- 4) **Full Text.** When the full text is not provided in the ASCII delimited text file or if text exceeds 12MB in the TEXT field, the full text provided to the SEC can be delivered as multi-page ASCII files. The name of the file must match the image key field. Any document in which text cannot be extracted should be OCR'd, particularly in the case of PDFs without embedded text.

SEC Data Delivery Standards

- 5) **Concordance Image Cross-Reference file.** The Concordance Image cross-reference file is a comma delimited file consisting of six fields per line. There must be a line in the cross-reference file for every image in the database.

Optional Format:

Native files will be delivered in Custodian named folders.

If PDFs are delivered, all PDF files must meet the following requirements:

1. All PDFs must be unitized i.e. each PDF represents a discrete document; a single PDF cannot contain multiple documents
2. All PDFs must contain embedded text to include all discernable words within the document, not selected text.
3. If Bates endorsed, the PDF file will be named as the Bates range, with ALL document text contained within.

Data Delivery Standards

The following document describes the technical requirements for electronic productions produced to the Criminal Division, United States Department of Justice. Any proposed formats other than what is listed below (including databases) should not be produced without discussions and approval from the Criminal Division Litigation Support Staff. Please provide a summary of the number of records, images, emails, and attachments in the production; so that we can confirm that everything was loaded into our system. The Criminal Division uses Concordance 8.2 and Opticon 3.2 to review their electronic document collections.

I. Scanned Collections

- 1) **Image files.** Images must be Group IV TIFF files (single or multi-page files). File names cannot contain embedded spaces. The number of files per folder should be limited to 500 files.
- 2) **Delimited Text file.** At a minimum, this file must contain an IMAGEID field (image key used to reference images in Opticon). The image key must be unique, fixed length, and cannot be the Bates number of the document. The delimited text file must include a header record. The delimiters for the file must be as follows:

Comma -	ASCII character	20
Quote -	" "	254
Newline -	" "	174

- 3) **OCR Text.** The OCR text provided to the SEC can be delivered two ways. (1) The OCR text can be delivered as multi-page TXT files. The name of the file must match the IMAGEID field. (2) The OCR text can be included in the Delimited Text file (OCRTEXT field).

If possible (regardless of delivery method), please place page markers at the beginning or end of each OCR text page as shown:

*** LA000001 ***

The data surrounded by *** is the Opticon ImageID (see example below).

- 4) **Opticon Cross-Reference file.** The Opticon cross-reference file is a comma delimited file consisting of six fields per line. There must be a line in the cross-reference file for every image in the database. The format for the file is as follows:

ImageID,VolumeLabel,ImageFilePath,DocumentBreak,FolderBreak,BoxBreak,PageCount

ImageID: The unique designation that Concordance and Opticon use to identify an image.

VolumeLabel: Leave this field empty.

ImageFilePath: The full path to the image file.

DocumentBreak: If this field contains the letter "Y," then this is the first page of a document. If this field is blank, then this page is not the first page of a document.

FolderBreak: Leave empty.

BoxBreak: Leave empty.

PageCount: Leave empty.

Sample Data

Delimited Text file:

þFIRSTBATESþ þLASTBATESþ þIMAGEIDþ
þMT00000001þ þMT00000002þ þIMG0000001þ
þMT00000003þ þMT00000004þ þIMG0000003þ
þMT00000005þ þMT00000006þ þIMG0000005þ

Opticon Cross-reference File:

IMG0000001,,E:\001\00010001.TIF,Y,,,
IMG0000002,,E:\001\00010002.TIF,,,,
IMG0000003,,E:\001\00010003.TIF,Y,,,
IMG0000004,,E:\001\00010004.TIF,,,,
IMG0000005,,E:\001\00010005.TIF,Y,,,
IMG0000006,,E:\001\00010006.TIF,,,,

Multi-page OCR Text File (IMG0000001.txt):

*** IMG0000001 ***

**The Securities and Exchange Commission
VISION**

The Securities and Exchange Commission (SEC) aims to be the standard against which federal agencies are measured. The SEC will strengthen the integrity and soundness of U.S. securities markets, and will conduct its work in a manner that is as sophisticated, flexible, and dynamic as the securities market it regulates.

MISSION

The mission of the Securities and Exchange Commission is to protect investors; maintain fair, orderly, and efficient markets; and facilitate capital formation.

VALUES

Managing the evolving needs of a complex marketplace and in pursuing its mission, the Securities and Exchange Commission embraces the following values:

INTEGRITY

As the federal agency entrusted with enforcing and regulating the U.S. securities markets, each member of the SEC staff has a personal responsibility to demonstrate the highest ethical standards to inspired confidence and trust in one another and in the public the

agency serves.

FAIRNESS

As an agency with both regulatory and enforcement powers, the SEC must treat investors and market participants fairly in accordance with the law. As an employer, the SEC must seek to hire and retain a diverse staff, and ensure that all decisions affecting employees and applicants are fair and ethical. As professionals, the staff must treat all others with respect and dignity.

ACCOUNTABILITY

The SEC staff embraces the responsibility with which it is charged. In carrying out its mission, the staff readily holds itself accountable to the public it serves and takes personal responsibility for achieving SEC goals.

RESOURCEFULNESS

*** IMG0000002 ***

The SEC staff strives to work creatively proactively, and effectively in assessing and addressing risk to the securities markets, the public, and other market participants. The staff is committed to finding flexible and innovative approaches to the Commission's work and using independent judgment in exploring new ways to fulfill the SEC's mission in the most efficient manner possible.

TEAMWORK

The SEC recognizes that its success requires a diverse, coordinated team committed to the highest standards of trust, hard work, cooperation, and communication. The staff is committed to these values and is striving to work more effectively as a team – rather than as separate divisions or offices – and to coordinate more effectively with business, governments, and organizations in the U.S. and abroad.

COMMITMENT TO EXCELLENCE

The SEC demands the highest standards of excellence, integrity, commitment, and dedication from its staff. The investing public and the U.S. securities markets deserve nothing less.

Data File with OCR text (first two records):

 FIRSTBATES   LASTBATES   IMAGEID   OCRTEXT 
 MT00000001   MT00000002   IMG0000001     *** IMG0000001 *** The Securities and Exchange Commission VISION The Securities and Exchange Commission (SEC) aims to be the standard against which federal agencies are measured. The SEC will strengthen the integrity and soundness of U.S. securities markets, and will conduct its work in a manner that is as sophisticated, flexible, and dynamic as the securities markets it regulates. MISSION The mission of the Securities and Exchange Commission is to protect investors; maintain fair, orderly, and efficient markets; and facilitate capital formation. VALUES Managing the evolving needs of a complex marketplace and in pursuing its mission, the Securities and Exchange Commission embraces the following values: INTEGRITY As the federal agency entrusted with enforcing and regulating the U.S. securities markets, each member of the SEC staff has a personal responsibility to demonstrate the highest ethical standards to inspired confidence and trust in one another and in the public the agency

serves. **AIRNESS** As an agency with both regulatory and enforcement powers, the SEC must treat investors and market participants fairly in accordance with the law. As an employer, the SEC must seek to hire and retain a diverse staff, and ensure that all decisions affecting employees and applicants are fair and ethical. As professionals, the staff must treat all others with respect and dignity. **ACCOUNTABILITY** The SEC staff embraces the responsibility with which it is charged. In carrying out its mission, the staff readily holds itself accountable to the public it serves and takes personal responsibility for achieving SEC goals. ***** IMG000002 *** RESOURCEFULNESS** The SEC staff strives to work creatively proactively, and effectively in assessing and addressing risk to the securities markets, the public, and other market participants. The staff is committed to finding flexible and innovative approaches to the Commission's work and using independent judgment in exploring new ways to fulfill the SEC's mission in the most efficient manner possible. **TEAMWORK** The SEC recognizes that it success requires a diverse, coordinated team committed to the highest standards of trust, hard work, cooperation, and communication. The staff is committed to these values and is striving to work more effectively as a team – rather than as separate divisions or offices – and to coordinate more effectively with business, governments, and organizations in the U.S. and abroad. **COMMITMENT TO EXCELLENCE** The SEC demands the highest standards of excellence, integrity, commitment, and dedication from its staff. The investing public and the U.S. securities markets deserve nothing less. p

II. Email Collections**Preferred Format:****Delimited Text with Images and Native Attachments:**

- 1) The producing party will provide a TIFF image of the email and the attachment(s), and a copy of the native attachment file(s). The text and metadata of the email and the attachment(s) is extracted and entered in the appropriate fields and provided as an ASCII delimited text file. All images are bates numbered. The email image will be the "parent" and the attachment(s) will be the "child." An email may have more than one child. The child attachment's bates number will be listed in the parent email's coded fields under CHILD_BATES. If there is more than one attachment, list the first bates number of each attachment and separate them by semi-colons (;). The parent email's bates number will be listed in the child(s) attachment(s) under PARENT_BATES. The child/children will immediately follow the parent record. The following is a field definition table of the data requested, including sample data.

Field	Sample Data	Comment
FIRSTBATES	BT 000001	First bates number of email
LASTBATES	BT 000008	Last bates number of email
BEGATTACH	BT 000009	First bates number of attachment(s)
ENDATTACH	BT 000015	Last bates number of attachments (s)
PARENT_BATES	BT 000001	First bates number of parent email
CHILD_BATES	BT 000009, BT 000012	First bates number of "child" attachment(s); can be more than one bates number listed; depends on number of attachments
CUSTODIAN	John Smith	Mailbox where the email resided
FROM	John Smith	For email
TO	Janice C. Homan	For email
CC	Frank Thompson	For email
BCC	John Cain	For email
SUBJECT	Changes to Access Database	Subject of the email
DATE SENT	10/10/2005	Date the email was sent
TIME SENT	07:05 PM	Time the email was received
LINK	D:\SEC Production\7/1/03 Meeting Minutes.pdf	Hyperlink to native attachment (listed as file name)
FILE_EXTEN	PST (email) DOC (attachment - ex. Word document)	The file extension will vary depending on whether the document is a parent email or a child attachment
AUTHOR	John Smith	Attachment metadata
DATE CREATED	10/08/2005	Attachment metadata

DATE MOD	10/19/2005	Attachment metadata
DATE ACCESSD	10/10/2005	Attachment metadata
PRINTED DATE	10/19/2005	Attachment metadata
FILE_SIZE	765,952	Attachment metadata (in KB)
PATH	J:\SHARED\SMITHJ	Path where attachment file was stored
INTFILEPATH	Personal Folders/Deleted Items	Location of email
TEXT	<p>From: Smith, John [XYZ Corp] Sent: Friday, July 11, 2003 4:42 PM To: Coffman, Janice [CDT Corp] Subject: Board Meeting Minutes for 7/1/03</p> <p>Janice; Attached is a copy of the July Board Meeting Minutes for your review. Please let me know if you have any questions.</p> <p>John Smith Assistant Director Information Technology Phone: (202) 555-1111 Fax: (202) 555-1112 Email: jsmith@xyz.com</p>	Text of the email or attachment

The delimited text file must include a header record. The delimiters for the file must be as follows:

Comma - ASCII character 20
Quote - " " 254
Newline - " " 174

We will also accept the following formats:

PST - a personal storage file native to Microsoft Outlook. You must provide any necessary passwords or decryption.

NSF - a personal storage file native to Lotus Notes. You must provide any necessary passwords or decryption.

III. Native Files**Preferred Format:**

Native files will be delivered with an ASCII delimited file containing the metadata associated with the files, text extracted from the native file, and a directory path to the native file. The fields to be included in the production are as follows:

FIELD	SAMPLE DATA	COMMENT
DOCID	GT000001	Unique sequential number
TEXT	Meeting Minutes for Teleconference 10/1/03 Discussion over employee stock options transpired. Decision was made to offer the options as part of the employee's Christmas bonus. Announcement was made regarding Roland Moore being promoted to Assistant Director	Text extracted from native file.
LINK	D:\SEC Production\10/1/02 Meeting Minutes.pdf	Hyperlink to native file (listed as file name)
AUTHOR	John Smith	
DATE CREATED	10/08/2005	
DATE MOD	10/09/2005	
DATE ACCESSD	10/10/2005	
PRINTED DATE	10/10/2005	
FILE SIZE	765,952	
PATH	J:\SHARED\SMITHJ	Path where native file was stored

Optional Format:

Native files will be delivered in Custodian named folders.

IV. Media Form

The data can be delivered on CD, DVD, or portable USB hard drive. The smallest number of media is preferred.

EXHIBIT D

From: Cordaro, Joseph (USANYS) [Joseph.Cordaro@usdoj.gov]
Sent: Thursday, February 03, 2011 5:38 PM
To: Cerullo, Norman
Cc: Bridget Kessler; Peter Markowitz; james.f.horton@gmail.com; Hannah Weinstein; Caroline E Glickler; Sunita Patel; Darius Charney; Tuffin, Paula A.; Diana, Anthony J.; Schildcrout, Jeremy; Plush, Lisa R.; Connolly, Christopher (USANYS)
Subject: RE: NDLO et al. v. ICE et al., No. 10 Civ. 3488 (S.D.N.Y.) (SAS)

Norm,

Thanks for your email. We are working on the previous production, and hope to have that done next week. I would appreciate if we could get back to you tomorrow concerning the spreadsheets.

Joe

Joseph N. Cordaro
Assistant United States Attorney
Southern District of New York
86 Chambers Street, 3rd Floor
New York, New York 10007
Tel: (212) 637-2745
Fax: (212) 637-2686
Email: joseph.cordaro@usdoj.gov

From: Cerullo, Norman [mailto:NCerullo@mayerbrown.com]
Sent: Thursday, February 03, 2011 9:47 AM
To: Cordaro, Joseph (USANYS)
Cc: Bridget Kessler; Peter Markowitz; james.f.horton@gmail.com; Hannah Weinstein; Caroline E Glickler; Sunita Patel; Darius Charney; Tuffin, Paula A.; Diana, Anthony J.; Schildcrout, Jeremy; Plush, Lisa R.; Connolly, Christopher (USANYS)
Subject: RE: NDLO et al. v. ICE et al., No. 10 Civ. 3488 (S.D.N.Y.) (SAS)

Dear Joe,

Thank you for providing Plaintiffs with a corrected reproduction of ICE's opt-out production. We are still in the process of analyzing the reproduced disc and will be in touch with any questions or concerns in addition to those raised in Plaintiffs' letter of January 26th.

In my e-mail below of January 21st, Plaintiffs requested that Defendants, per the Court's directive, reproduce all pre opt-out productions in the specified format as soon as possible, but no later than Monday, January 31, 2011. We have not received the reproduction or any proposed, alternative date for when Defendants plan to do so. Please provide the reproduction, or set forth a reasonable date Defendants plan to do so, by the end of the day.

Also, thank you for your e-mail of January 21st providing Plaintiffs with the Bates ranges of documents in the January 17, 2011 opt-out production that contain spreadsheets. Plaintiffs have been reviewing these spreadsheets produced in PDF format in a good faith effort to limit the request for such spreadsheets to be reproduced in their native format. Our preliminary review of these spreadsheets indicate that Plaintiffs need just three in native format, which appear to be different versions of the same spreadsheet. These are Bates ranges: FBI-SC-2857-2966; FBI-SC-2580-2651; and FBI-SC-2511-2579. These spreadsheet do not appear to contain any redactions or claimed exemptions, alleviating any concerns Defendants may have about producing them in native. Please produce these spreadsheet in their native format, or set forth a reasonable date by which you plan to do so, by the end of the day.

Regards,
Norm

From: Cordaro, Joseph (USANYS) [mailto:Joseph.Cordaro@usdoj.gov]
Sent: Monday, January 24, 2011 7:28 PM
To: Cerullo, Norman
Cc: Bridget Kessler; Peter Markowitz; james.f.horton@gmail.com; Hannah Weinstein; Caroline E Glickler; Sunita Patel; Darius Charney; Tuffin, Paula A.; Diana, Anthony J.; Schildcrout, Jeremy; Plush, Lisa R.; Connolly, Christopher (USANYS)
Subject: RE: NDLON et al. v. ICE et al., No. 10 Civ. 3488 (S.D.N.Y.) (SAS)

Norm,

I tried to call you a few times this evening but ended up in VM. On #1, thanks for the reminder. On #2, over the weekend we went back over the ICE opt-out production with an eye toward saving the entirety to one DVD. During our review, we discovered that a few of the files were incorrectly named (i.e., typos), and that there were approximately 40 gaps in the Bates range. We have rectified both of these problems, and have saved the entirety, from Bates No. 2020-14124, onto one DVD, broken up by document. We wanted to let you know that there are two remaining gaps in the Bates range. The first (0008710-0008821) is due to a numbering error in the production. The second (0013873-0013879) corresponds to two non-responsive records and were inadvertently processed and subsequently pulled from the production. I am going to run three copies of the disk uptown and leave them with your mailroom.

Please let me know if you have any questions. Thanks.

Joe

Joseph N. Cordaro
Assistant United States Attorney
Southern District of New York
86 Chambers Street, 3rd Floor
New York, New York 10007
Tel: (212) 637-2745
Fax: (212) 637-2686
Email: joseph.cordaro@usdoj.gov

From: Cerullo, Norman [mailto:NCerullo@mayerbrown.com]
Sent: Friday, January 21, 2011 4:49 PM
To: Connolly, Christopher (USANYS); Cordaro, Joseph (USANYS)
Cc: Bridget Kessler; Peter Markowitz; james.f.horton@gmail.com; Hannah Weinstein; Caroline E Glickler; Sunita Patel; Darius Charney; Tuffin, Paula A.; Diana, Anthony J.; Schildcrout, Jeremy; Plush, Lisa R.
Subject: NDLON et al. v. ICE et al., No. 10 Civ. 3488 (S.D.N.Y.) (SAS)

Dear Joe and Chris,

We write regarding two format of production issues.

First, we remind you that Defendants are required, per the Court's directives at the January 12, 2011 hearing, to re-produce all records originally produced to Plaintiffs before 1/17/11 in a format that conforms to the specifications in Plaintiffs' letter to you dated January 13, 2011. The Court directed Defendants to turn to the issue of re-producing these

records "immediately" after the 1/17 opt-out production. Therefore, please re-produce these records in the specified format as soon as possible, but no later than Monday, January 31, 2011.

Second, as you know, over 2,000 PDF files produced by ICE as part of Defendants' January 17, 2011 opt-out production had incorrect file names. You provided Plaintiffs with a CD that purportedly contains these same records but with correct PDF file names, i.e., file names that are the underlying document Bates number. However, because the original files were incorrectly named, it is exceedingly burdensome for Plaintiffs to match the incorrect file name PDFs with the new, correct file name PDFs in order to replace them in the production. Therefore, we request that Defendants re-produce the ICE production with these correct file names properly incorporated into the production. The inability to match the old, incorrectly named records with the corrected records is prejudicial to Plaintiffs because it is causing significant delay in Plaintiffs' review of the records. Plaintiffs therefore request that Defendants re-produce the ICE production as specified as soon as possible, but no later than close of business on Monday, January 24, 2011.

Please do not hesitate to contact me with any questions.

Regards,

Norman R. Cerullo
MAYER BROWN LLP
1675 Broadway
New York, NY 10019
Phone: 212-506-2276
Fax: 212-849-5876
e-mail: ncerullo@mayerbrown.com
<http://www.mayerbrown.com>

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