

**UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF INDIANA  
INDIANAPOLIS DIVISION**

<b>JAMES A. KNAUER as the Court Appointed</b>	)	
<b>Receiver for HEARTLAND</b>	)	
<b>FINANCIAL SERVICES, INC., JMS</b>	)	
<b>INVESTMENT GROUP, LLC,</b>	)	<b>CASE NO. IP-01-1168-C T/K</b>
	)	
<b>Plaintiff,</b>	)	
	)	
<b>v.</b>	)	
	)	
<b>JONATHON ROBERTS FINANCIAL</b>	)	
<b>GROUP, INC., ALLIANCE CAPITAL</b>	)	
<b>MANAGEMENT CORP., ANDOVER</b>	)	
<b>SECURITIES, INC., FSC SECURITIES</b>	)	
<b>CORPORATION AND FFP SECURITIES,</b>	)	
<b>INC.,</b>	)	
	)	
<b>Defendants.</b>	)	

**PLAINTIFF’S FIRST SET OF INTERROGATORIES TO  
FSC SECURITIES CORPORATION**

The Plaintiff, James A. Knauer as Court Appointed Receiver, by counsel, tenders and propounds to the Defendant, FSC Securities Corporation (“FSC”), the following Interrogatories which are to be answered under oath and without evasion within thirty (30) days after service hereof pursuant to Indiana Trial Rule 33.

**INSTRUCTIONS**

- A. All information is to be divulged which is in your possession and control, or within the possession or control of your attorneys, investigators, agents, employees, or other representatives.
- B. You are reminded that all answers must be made separately and fully, and that an incomplete or evasive answer is a failure to answer.
- C. You are reminded that you are under a continuing duty seasonably to supplement your

responses with respect to any questions directly addressed to the identity and location or persons or organizations having knowledge of discoverable matters.

### **DEFINITIONS**

1. "You," or "your" refers to the Defendant and its attorneys, including any agent, officer, director, employee or representative or any person acting on your behalf.

2. "Any" and "all" shall be construed to mean "each and every."

3. "Document" means the original or an identical and legible copy thereof, and all non-identical copies (whether different from the original by reason of notations made on such copies or otherwise), regardless of origin or location, of any writings or records of any type or description, however produced or reproduced, including but not limited to any papers or books, records, letters, photographs, videotapes, audiotapes, correspondence, communications, telegrams, cables, telex messages, memoranda, notes, notations, work papers, transcripts, minutes, reports and recordings of telephone or other conversations, or of interviews, conferences, or other meetings, affidavits, statements, summaries, opinions, reports, studies, analyses, evaluations, contracts, agreements, jottings, agendas, bulletins, notices, announcements, advertisements, instructions, charges, manuals, brochures, publications, schedules price lists, client lists, journals, statistical records, desk calendars, appointment books, diaries, lists, tabulations, sound recordings, computer printouts, data processing program library, data processing input and output, electronic mail, microfilm, books of accounts, records and invoices reflecting business operations, all records kept by electronic, photographic or mechanical means, any notes or drafts relating to the foregoing, and all things similar to any of the foregoing, however denominated.

4. "Identify", "identity", "identification", "describe" or "description":

A. When used in reference to an individual, shall mean to state his or her full

name, present or last known residence address, business or official affiliation, business address, and phone number.

- B. When used in reference to a corporation, shall mean to state its full name, officers, directors, shareholders, its state of incorporation, and its principal place of business.
- C. When used in reference to a partnership, shall mean to state its full name, the identity (as defined) of each partner, and its principal place of business.
- D. When used in reference to a person other than an individual, corporation or partnership, shall mean to state its official name, its organizational form, and its address.
- E. When used in reference to a communication, shall mean to state (a) whether such communication is oral or in writing; (b) if in writing, its date, author, addressee, custodian, title, present location and subject matter; (c) if oral, the date, persons participating, and the subject matter thereof. In lieu of identifying any written communication, copies thereof may be furnished to Defendant.

5. "Communicate" or "communications": Every manner or means of disclosure, transfer, or exchange, and every disclosure, transfer or exchange of information whether orally or by document or whether face-to-face, by telephone, mail, personal delivery, or otherwise.

6. The singular includes the plural and vice versa. The masculine includes the feminine and neuter genders. The past tense includes the present tense where the clear meaning is not distorted by change of tense.

7. "Or" and "and" shall mean and/or.

8. "Person" or "persons" means any and all natural persons or individuals, corporations, partnerships, organizations, associations, governmental bodies or political or quasi-corporate subdivisions thereof, groups or other business enterprises, together with their predecessors, successors, and assigns, their directors, officers, agents, servants, consultants, contractors, subcontractors, employees, and representatives, and all agents and representatives thereof.

9. "Relating to" means constituting, defining, describing, discussing, involving, concerning, containing, evidencing, embodying, reflecting, identifying, stating, analyzing, mentioning, responding to, referring to, dealing with, commenting upon, or in any way pertaining to.

### **INTERROGATORIES**

1. State the name, address, telephone number, and relationship to FSC Securities Corporation of each person who prepared or assisted in the preparation of the responses to these interrogatories.

### **ANSWER:**

2. Provide a full and complete description of all transactions that have occurred between FSC Securities Corporation and Andover Securities Corporation at anytime involving FSC Securities Corporation purchasing or acquiring property (tangible or intangible) from Andover Securities Corporation.

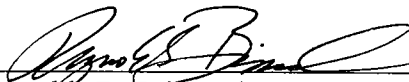
**ANSWER:**

3. Provide a full and complete description of all facts known to FSC Securities Corporation regarding the current status and location of Andover Securities Corporation.

**ANSWER:**

Respectfully submitted,

KROGER, GARDIS & REGAS, LLP

By:   
Reynolds B. Brissenden, Attorney No. 19989-49  
Attorney for Plaintiff  
James A. Knauer, Receiver

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**111 Monument Circle, Suite 900**  
**Indianapolis, Indiana 46204-5125**  
**(317) 692-9000**

**CERTIFICATE OF SERVICE**

The undersigned hereby certifies that the foregoing has been served upon the following parties by placing a copy of the same in the United States Mail, first class postage pre-paid, on this 13<sup>th</sup> day of May, 2002:

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