

S-03529A-03-0000



14

Exhibit "A"

RECEIVED

2003 APR -9 A 9:47

All books, records, documents, memoranda, and other papers, whether stored in hard copy or on electric media, incident or relating to Carrington Financial Planning Services, Richard Dean Carrington a/k/a Richard Dean Frank a/k/a Frank Carrington, Blake E. Morrow, and James W. White for the time period beginning January 1, 1992 to the present including, but not limited to, the following:

ARIZONA CORPORATION COMMISSION
DOCUMENT CONTROL

1. All accounting records and books of original entry maintained for the sale of viatical settlements, investment contracts, stock, partnership interests and any other investments offered and/or sold by the above named entity and individuals, including, but not limited to, cash receipts journal, cash disbursements, sales journal, general journal, general ledger, and subsidiary ledger, for the above entity;
2. All bank accounts and/or escrow accounts, whether open or closed, in the name of or for the benefit of, the above named entity and individuals including:
 - a. The name and number of each account;
 - b. The name of the bank and/or escrow company and the address of the branch at which the account is located;
 - c. The names of all signatories on each account;
3. All bank statements, deposits with offsets and other credits, canceled checks, withdrawals and other debits, and any wire transfer information indicating both the originator and the beneficiary of the wire transfer for all of the accounts referenced in Item #2 above;
4. All contractual agreements and correspondence between the above named entity and individuals and
 - a. Any viatical settlement sales broker and/or entity that assists the above named entity or individuals in locating for sale or selling viators' insurance policies;
 - b. Any doctor and/or medical professional paid by the above named entity and individuals for consultation and/or services regarding the health and life expectancy of viators selling their life insurance policies;
5. Names, addresses, and telephone numbers of all individuals who have been offered and/or sold viatical settlements, investment contracts, stocks, partnership interests and any other investments offered by or on behalf of the above named entity and individuals;

Arizona Corporation Commission

DOCKETED

APR 09 2003

DOCKETED BY	CR
-------------	----

6. Names, addresses, and telephone numbers of all individuals and/or firms who have offered and/or sold viatical settlements, investment contracts, stocks, partnership interests, and any other investments offered and sold by or on behalf of the above named entity;
7. All payments received, including commission and/or fees, by Carrington Estate Planning Services for the sale of or placement of investors in viatical settlement policies, investment contracts, stocks, partnership interests, and any other investments offered by the above named entity and individuals;
8. All payments made for any reason, including salary, commissions, bonuses and/or fees to the above named individuals and all Carrington Estate Planning Services' sales representatives and independent contractors by the above named entity, for the sale of or placement of investors in viatical settlements policies, investment contracts, stock, partnership interests and any other investment offered and/or sold by the above named entity and individuals;
9. All advertisements, circulars, offering memoranda, brochures, pamphlets, newsletters, flyers, or other literature made available to potential investors regarding viatical settlements, investment contracts, stocks, partnership interests, and any other investments offered by the above named entity and individuals including, but not limited to,
 - a. Copies and transcripts of all advertisements or commercials recorded for radio and/or television; the name of the radio and/or television stations on which the advertisements or commercials were or are currently being broadcast; and the dates and times the advertisements or commercials were or are currently being broadcast;
 - b. Copies of all advertisements prepared for publication in a newspaper or magazine; name of the newspaper and/or magazine that the advertisements were or are currently being published; and the dates that the advertisements were or are currently being published;
10. Certificate of membership to the National Viatical Association;
11. All budgets, projections, spreadsheets and work papers used in the preparation of offering memoranda for viatical settlements, investment contracts, stocks, partnership interests, and any other investment offered and/or sold by the above named entity and individuals;
12. All information provided to investors by the above named entity and individuals, for use in preparing their individual income tax returns with regards to their investments in viatical settlement policies, investment contracts, stocks, partnership interests, and any other investments offered and/or sold by the above named entity and individuals;

13. All offeree and investor correspondence or inquiries received by the above named entity and individuals with regards to viatical settlements investment, investment contracts, stocks, partnership interests, and any other investments offered and/or sold by the above named entity and individuals;
14. All correspondence sent to offerees and investors regarding viatical settlements, investment contracts, stocks, partnership interests, and any other investments offered and/or sold by or on behalf of the above named entity;
15. All budget, projections, spread sheets and work papers used in the preparation of offering memoranda for viatical settlements, investment contracts, stocks, partnership interests or any other investments offered by the above named entity and individuals;
16. All agreements, statements of receipts, subscription forms, subscription agreements, offeree questionnaires, certificates, promissory notes, and bills of sale, offered by or on behalf of the above named entity, for viatical settlement policies, investment contracts, stocks, partnership interests, and any other investments offered by the above named entity and individuals.