

**IN THE UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF TEXAS
DALLAS DIVISION**

ALTERNATIVE DISPUTE RESOLUTION SUMMARY

1. Style of case: **Thomas L. Taylor III, as Temporary Receiver for Breitling Energy Corporation, et al. v. Rothstein Kass. P.A. d/b/a Rothstein Kass & Co., P.C., et al.**
2. Civil action number: **3:19-cv-01594-D**
3. Nature of the suit: **securities/professional negligence**
4. Method of ADR used: **mediation (by Zoom)**
5. Date ADR session was held: **January 20, 2021 & February 11, 2021**
6. Outcome of ADR (*Select one*):
 - Parties did not use my services
 - Settled, in part, as a result of ADR
 - Settled as a result of ADR*
 - Parties were unable to reach a settlement
7. What was your TOTAL fee: **\$12,870.00**
8. Duration of ADR: **two days, eight (8) hours each day** (i.e., one day, two hours)
9. Please list persons in attendance (including party association, defendant, plaintiff). Please provide the names, address and telephone number of counsel on the reverse of this form.

Please see attached

10. Provider information:

Hon. Jeff Kaplan (Ret.)
8401 North Central Expressway Suite 610
Dallas, Texas 75225
Telephone: (214) 744-5267

/s/ Jeff Kaplan
Signature

February 12, 2021

* This is a conditional settlement subject to court approval. Parties will file settlement papers with the court on or before April 12, 2021.

Alternative Dispute Resolution Summary
Continued

Please provide the names, addresses and telephone numbers of counsel:

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Thomas L. Taylor III, with Plaintiff
Brian Matlock, with Defendants
Ray Obsuth, with Defendants
Shimon Getler, with Defendants
David Soltero, with Defendants
Pam Albanese, with Defendants
Michael Tone, with Defendants

CERTIFICATE OF SERVICE

I hereby certify that on this 12th day of February, 2021, I electronically submitted the foregoing document with the clerk of the court for the U.S. District Court for the Northern District of Texas.

/s/ Judy Stephenson
Judy Stephenson, Case Manager