

**UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF ILLINOIS  
EASTERN DIVISION**

|  |   |                           |
|--|---|---------------------------|
| LAWRENCE E. JAFFE PENSION PLAN,              | ) | Lead Case No. 02-C-5893   |
| On Behalf of Itself and All Others Similarly | ) | (Consolidated)            |
| Situated,                                    | ) |                           |
|  | ) |                           |
|  | ) | <u>CLASS ACTION</u>       |
| Plaintiff,                                   | ) |                           |
|  | ) | Honorable Jorge L. Alonso |
| vs.  | ) |                           |
|  | ) |                           |
| HOUSEHOLD INTERNATIONAL, INC., et            | ) |                           |
| al.,   | ) |                           |
|  | ) |                           |
|  | ) |                           |
| Defendants.                                  | ) |                           |

## DEFENDANTS' REVISED EXHIBIT LIST

**[Exhibit C-2 to [Proposed] Final Pretrial Order]**

## Defendants' Revised Exhibit List

June 3, 2016

| Ex. No.    | Bates Start | Bates End | Document Date | Document Title/Description   | Plaintiff's Objections  | Defendants' Responses to Objection  |
|------------|-------------|-----------|---------------|--|---|---|
| DX0001     |             |           |               | Composite Analyst Reports  | N/A   | N/A   |
| DX0001-A   |             |           |               | Analyst Reports up until September 30, 2001  | N/A   | N/A   |
| DX0001-A.1 |             |           | 1/17/2001     | Bernstein Research, <i>HI / Strong Earnings Offset Higher Losses</i> , January 17, 2001  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805, 901.                                 | FRE 401, 403, 703, 801(c), 902(6)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-A.2 |             |           | 3/2/2001      | Credit Suisse First Boston, <i>Specialty Finance: Poised for a Strong Rebound; Robust Fundamentals</i> , March 2, 2001   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-A.3 |             |           | 5/25/2001     | Deutsche Bank Alex. Brown, <i>Credit Card Quarterly, Subprime Lending: Serving the Underserved</i> , May 25, 2001  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-A.4 |             |           | 9/0/2001      | Deutsche Banc Alex. Brown, <i>Credit Card Quarterly, Monolines Vs. Banks: Who Has the Competitive Edge?</i> , September 2001   | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805, FRCP 26 | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401 403, 703, 801(c), publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-B   |             |           |               | Analyst Reports between October 1, 2001 and December 31, 2001  | N/A   | N/A   |
| DX0001-B.1 |             |           | 10/17/2001    | Piper Jaffray, <i>Solid September Quarter At \$1.07; Margin Expansion Drives Quarter, While Credit Basically Stable, But Something To Continue To Watch Closely; Headwinds Continue To Grow</i> , October 17, 2001 | FRE 801, 802  | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.    | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections  | Defendants' Responses to Objection  |
|------------|-------------|-----------|---------------|---|---|---|
| DX0001-B.2 |             |           | 10/18/2001    | Legg Mason, <i>HI: Continued Solid Performance</i> , October 18, 2001   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-B.3 |             |           | 11/15/2001    | Raymond James (Vincierra), <i>Providian Financial Corporation</i> , November 15, 2001                                     | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26 | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c);<br>Publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-B.4 |             |           | 11/27/2001    | Wachovia Securities (Whitney, Herr & Sipkin), <i>Credit Cards 101: Complete Industry Primer</i> , November 27, 2001       | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26 | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c);<br>publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-B.5 |             |           | 11/28/2001    | A.G. Edwards (Houck, Ward & Shanahan), <i>Credit Card Industry Review Third-Quarter 2001</i> , November 28, 2001          | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-B.6 |             |           | 11/28/2001    | Morgan Stanley (Posner, Nambiar & Meehan), <i>Weekly Pulse: Confidence, Employment Outlook Weaken</i> , November 28, 2001 | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26 | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c);<br>publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-B.7 |             |           | 11/30/2001    | Ventana (Ryan), <i>Household International: Used Car Pile-Up</i> , November 30, 2001                                      | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections   | Defendants' Responses to Objection  |
|-------------|-------------|-----------|---------------|---|--|---|
| DX0001-B.8  |             |           | 12/2/2001     | Deutsche Banc (Alpert, St. Leger & Swanberg), <i>Household International, Inc. (HI): "Strong Buy" Ridiculous Bashing by Barron's</i> , December 2, 2001 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-B.9  |             |           | 12/3/2001     | ABN AMRO (Napoli, Kaster & Harte), <i>Household International, Inc.: Complete Analysis shows math is solid, reiterate Buy</i> , December 3, 2001        | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805  | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-B.10 |             |           | 12/4/2001     | Bernstein Research (Mason & Biggs), <i>HI: Loss Recognition Policies and the Other Unsecured Portfolio</i> , December 4, 2001                           | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 801, 802, 805   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 801 (c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263)                |
| DX0001-B.11 |             |           | 12/11/2001    | Legg Mason (Sochol & Brendler), <i>HI: Downgrading Rating to Market Performance (part 1)</i> , December 11, 2001  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 801, 802  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-B.12 |             |           | 12/11/2001    | Legg Mason (Sochol & Brendler), <i>HI: Downgrading Rating to Market Performance (part 2)</i> , December 11, 2001  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 801, 802   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).           |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description   | Plaintiff's Objections  | Defendants' Responses to Objection   |
|-------------|-------------|-----------|---------------|--|---|--|
| DX0001-B.13 |             |           | 12/11/2001    | Legg Mason (Sochol & Brendler), <i>HI: Downgrading Rating to Market Performance (part 3)</i> , December 11, 2001                   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 801, 802   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-B.14 |             |           | 12/12/2001    | Morgan Stanley (Posner, Nambiar & Meehan), <i>Weekly Pulse</i> , December 12, 2001   | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26 | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c); publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-C    |             |           |               | Analyst Reports between January 1, 2002 and March 31, 2002   | N/A   | N/A  |
| DX0001-C.1  |             |           | 1/2/2002      | Credit Suisse First Boston (Orenbuch, Hecht & Harter), <i>Specialty Finance, Fourth Quarter Earnings Preview</i> , January 2, 2002 | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26 | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c); Publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-C.2  |             |           | 1/2/2002      | A.G. Edwards (Houck, Ward & Shanahan), <i>Specialty Finance Quarterly: Fourth Quarter 2001</i> , January 2, 2002                   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0001-C.3  |             |           | 1/15/2002     | Credit Suisse First Boston (Hesser & Ziegler), <i>Household International (Buy) — Headlines Hang Over Name</i> , January 15, 2002  | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-C.4  |             |           | 1/15/2002     | Ventana (Ryan), <i>Our Take On The Fitch Downgrade, And More! (HI-\$53-SELL)</i> , January 15, 2002                                | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description   | Plaintiff's Objections  | Defendants' Responses to Objection  |
|-------------|-------------|-----------|---------------|--|---|---|
| DX0001-C.5  |             |           | 1/16/2002     | Salomon Smith Barney, <i>HI: 4Q01 Results In Line and Solid</i> , January 16, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-C.6  |             |           | 1/16/2002     | AG Edwards (Houck & Ward), <i>Upgrade HI Shares to Buy on Continued Performance and Attractive Valuation</i> , January 16, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-C.7  |             |           | 1/16/2002     | Piper Jaffray (Grondahl & Elving), <i>Household International, Inc. Margin Expansion Drives Quarter, While Credit Quality Only Slightly Deteriorates, But Something to Watch Closely Headwinds Remain</i> , January 16, 2002 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-C.8  |             |           | 1/17/2002     | Fox-Pitt Kelton (Tierney & McDonald), <i>HI Gets Bum Rap for Decent 4Q01</i> , January 17, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-C.9  |             |           | 1/17/2002     | Ventana (Ryan), <i>High Quality Earnings? Wait Just a Second...Household (HI-\$54-SELL)</i> , January 17, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-C.10 |             |           | 1/25/2002     | Bernstein Research (Mason & Biggs), <i>HI: Over-Discounting Negative Short-Term News Flow</i> , January 25, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-C.11 |             |           | 1/25/2002     | Morgan Stanley (Posner & Meehan), <i>Auto Finance Channel Check: Signs of Sanity</i> , January 25, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections  | Defendants' Responses to Objection  |
|-------------|-------------|-----------|---------------|---|---|---|
| DX0001-C.12 |             |           | 1/30/2002     | Morgan Stanley (Posner, Nambiar & Meehan), <i>Weekly Pulse</i> , January 30, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26                              | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-C.13 |             |           | 2/1/2002      | Bernstein Research (Mason & Biggs), <i>Household International: Effect of Increasing Losses Overstated</i> , February 1, 2002 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-C.14 |             |           | 2/4/2002      | Wachovia (Whitney, Herr & Sipkin), <i>Financial Regulators End Party for Subprime Issuers</i> , February 4, 2002              | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26 | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-C.15 |             |           | 2/6/2002      | A.G. Edwards, <i>Upgrading to Strong Buy from Buy</i> , February 6, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-C.16 |             |           | 2/6/2002      | Ventana (Ryan), <i>"Stretching" For Growth Household (HI-\$45-SELL)</i> , February 6, 2002                                    | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-C.17 |             |           | 2/7/2002      | Bear Stearns, <i>More Bad Publicity...How Much Worse Can It Get?</i> , February 7, 2002                                       | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0001-C.18 |             |           | 2/7/2002      | Deutsche Bank, <i>Unsubstantiated Claims Continue to Haunt Stock</i> , February 7, 2002                                       | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description   | Plaintiff's Objections  | Defendants' Responses to Objection  |
|-------------|-------------|-----------|---------------|--|---|---|
| DX0001-C.19 |             |           | 2/8/2002      | Ventana Capital, <i>Funding Manageable, Earnings Quality Still and Issue</i> , February 8, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-C.20 |             |           | 2/13/2002     | Bernstein Research (Mason & Biggs), <i>HI: Collateral Damage</i> , February 13, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-C.21 |             |           | 3/5/2002      | Bernstein (Mason), <i>HI: Downgrade to Market-Perform: Legal Threats Increase Structural Risk to the Business Model and Near-Term Earnings Risk (1 of 2)</i> , March 5, 2002 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-C.22 |             |           | 3/5/2002      | Bernstein (Mason), <i>HI: Downgrade to Market-Perform: Legal Threats Increase Structural Risk to the Business Model and Near-Term Earnings Risk (2 of 2)</i> , March 5, 2002 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-C.23 |             |           | 3/15/2002     | Salomon Smith Barney (Vetto & Parechanian), <i>Household International, Inc. - HI: 10k Offers Improved Disclosure</i> , March 15, 2002                                       | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-C.24 |             |           | 3/18/2002     | Salomon Smith Barney (Vetto), <i>Specialty Finance - SSB's Specialty Finance Weekly</i> , March 18, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |



## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description   | Plaintiff's Objections  | Defendants' Responses to Objection  |
|-------------|-------------|-----------|---------------|--|---|---|
| DX0001-C.25 |             |           | 3/28/2002     | Deutsche Banc Alex Brown, <i>Consumer Finance 2002 Outlook</i> , March 28, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-D    |             |           |               | Analyst Reports between April 1, 2002 and June 30, 2002  | N/A   | N/A   |
| DX0001-D.1  |             |           | 4/9/2002      | Salomon Smith Barney (Vetto), <i>HI: Investor Day Opens the Kimono</i> , April 9, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-D.2  |             |           | 4/15/2002     | Bernstein Research, <i>HI: Expect Strengthening of the Balance Sheet and Further Migration to Less Aggressive Accounting</i> , April 15, 2002            | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-D.3  |             |           | 4/17/2002     | William Blair, <i>Household International: Strong First Quarter, up 20%; Raising Estimates</i> , April 17, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-D.4  |             |           | 4/17/2002     | Credit Suisse First Boston, <i>Tops Estimates On Way to 15th Consecutive Quarterly Record; Balance Sheet Significantly Strengthened</i> , April 17, 2002 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-D.5  |             |           | 4/18/2002     | Bear Stearns, <i>Earnings Stronger Than Expected on Better RAL, Securitization Gains, and FASB 142 Change</i> , April 18, 2002                           | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description   | Plaintiff's Objections  | Defendants' Responses to Objection  |
|-------------|-------------|-----------|---------------|--|---|---|
| DX0001-D.6  |             |           | 4/25/2002     | Ventana Capital, <i>Looking For Quality Earnings? You Won't Find It Here!</i> , April 25, 2002                 | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                |
| DX0001-D.7  |             |           | 4/26/2002     | Lehman Brothers (Harting & Cohen), <i>Specialty Finance Quarterly: Solid Results Continue</i> , April 26, 2002 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-D.8  |             |           | 5/3/2002      | Credit Suisse First Boston, <i>New Initiatives will Outweigh Lending Practice Concerns</i> , May 3, 2002       | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-D.9  |             |           | 5/3/2002      | Bernstein Research, <i>HI   Legal Risk To Business Model Is Increasing; Market Perform</i> , May 3, 2002       | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-D.10 |             |           | 5/10/2002     | Bernstein Research, <i>Household International: Legal Risk to Business Model Increasing</i> , May 10, 2002     | FRE 801, 802, 805   | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-D.11 |             |           | 5/20/2002     | Bernstein Research, <i>HI   Joe Luna of Washington State</i> , May 20, 2002                                    | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                |
| DX0001-D.12 |             |           | 5/31/2002     | Fox-Pitt Kelton, <i>April Data Point to Impending Peak in Losses</i> , May 31, 2002                            | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description   | Plaintiff's Objections   | Defendants' Responses to Objection  |
|-------------|-------------|-----------|---------------|--|--|---|
| DX0001-D.13 |             |           | 5/31/2002     | Wachovia, <i>Initiating Research Coverage With A Buy Rating (part 1)</i> , May 31, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802               | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-D.14 |             |           | 5/31/2002     | Wachovia, <i>Initiating Research Coverage With A Buy Rating (part 2)</i> , May 31, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805          | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-D.15 |             |           | 6/20/2002     | CIBC World Markets, <i>Household International - Business diversification and efficiency should drive steady earnings growth</i> , June 20, 2002 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805          | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-D.16 |             |           | 6/28/2002     | JP Morgan, <i>Household International: 2Q02 Preview &amp; Update</i> , June 28, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805          | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-E    |             |           |               | Analyst Reports between July 1, 2002 and September 30, 2002  | N/A  | N/A   |
| DX0001-E.1  |             |           | 7/1/2002      | Credit Suisse, <i>Specialty Finance - Second quarter earnings preview</i> , July 1, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26 | FRE 401, 403, 703, 801(c), Disclosed in expert reliance materials; Publicly available document.<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.2  |             |           | 7/1/2002      | Deutsche Bank, <i>2Q02 Quarterly preview - Fundamentals steady, stocks not</i> , July 1, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802               | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-E.3  |             |           | 7/17/2002     | Banc of America (Mayer), <i>HI: Reports in Line Quarter: Trends Mixed (Part 1 of 2)</i> , July 17, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805          | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-E.4  |             |           | 7/17/2002     | Banc of America (Mayer), <i>HI: Reports in Line Quarter: Trends Mixed (Part 2 of 2)</i> , July 17, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805          | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections  | Defendants' Responses to Objection  |
|-------------|-------------|-----------|---------------|---|---|---|
| DX0001-E.5  |             |           | 7/17/2002     | Bear Stearns, <i>Household International (HI-\$46.10) – Buy, Solid Loan Growth, Increased Liquidity; Stock Weakness not Reflective of Favorable Business Trends</i> , July 17, 2002 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.6  |             |           | 7/17/2002     | CIBC World Markets, <i>In-Line 2Q02 EPS Offer No Surprises; Maintain Buy</i> , July 17, 2002  | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                |
| DX0001-E.7  |             |           | 7/17/2002     | Fox-Pitt Kelton, <i>Regulatory Uncertainty Causes Big Problems For Consumer Finance Group</i> , July 17, 2002   | FRE 801, 802  | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                |
| DX0001-E.8  |             |           | 7/18/2002     | Banc One Capital Markets, <i>Solid Second Quarter Earnings</i> , July 18, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.9  |             |           | 7/18/2002     | Deutsche Bank (Alpert), <i>Household International Solid 2Q performance - Part 1/2</i> , July 18, 2002  | FRE 801, 802  | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                |
| DX0001-E.10 |             |           | 7/18/2002     | Deutsche Bank (Alpert), <i>Household International Solid 2Q performance - Part 2/2</i> , July 18, 2002  | FRE 801, 802  | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                |
| DX0001-E.11 |             |           | 7/18/2002     | Fox-Pitt, <i>Household International - Makes numbers but focus has changed</i> , July 18, 2002  | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                |
| DX0001-E.12 |             |           | 7/18/2002     | Merrill Lynch (Hughes), <i>Household Intl: Nice quarter, wrong day part 1</i> , July 18, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections  | Defendants' Responses to Objection  |
|-------------|-------------|-----------|---------------|---|---|---|
| DX0001-E.13 |             |           | 7/18/2002     | Merrill Lynch (Hughes), <i>Household Intl: Nice quarter, wrong day part 2</i> , July 18, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.14 |             |           | 7/18/2002     | Salomon Smith Barney, <i>HI: 2Q02 EPS a mixed bag; trimming ests, target to be prudent (part 1)</i> , July 18, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.15 |             |           | 7/18/2002     | Salomon Smith Barney, <i>HI: 2Q02 EPS a mixed bag; trimming ests, target to be prudent (part 2)</i> , July 18, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.16 |             |           | 7/18/2002     | Salomon Smith Barney, <i>HI: 2Q02 EPS a mixed bag; trimming ests, target to be prudent (part 3)</i> , July 18, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802      | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.17 |             |           | 7/18/2002     | Warburg, <i>Household International - Consumer finance</i> , July 18, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.18 |             |           | 7/26/2002     | Bear Stearns, <i>Capital One Financial – Attractive; Some light shed on regulatory issues: MOU may be of less concern than new FFIEC guidelines</i> , July 26, 2002 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.19 |             |           | 7/26/2002     | Credit Suisse First Boston, <i>Meeting Should Begin to Address Concerns – Part 1</i> , July 26, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.20 |             |           | 7/26/2002     | Credit Suisse, <i>The most puzzling bond of all Household Finance hits historic wides on no news-Look no further than Capital One</i> , July 26, 2002               | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections   | Defendants' Responses to Objection  |
|-------------|-------------|-----------|---------------|---|--|---|
| DX0001-E.21 |             |           | 7/31/2002     | Morgan Stanley, <i>Channel Check: Surprisingly Strong Subprime Growth</i> , July 31, 2002                       | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' Daubert motion and MIL No. 4); 801, 802, 805   | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-E.22 |             |           | 8/5/2002      | Portales partners (Ryan), <i>Household International - What is wrong with this picture</i> , August 5, 2002     | FRE 801, 802, 805  | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0001-E.23 |             |           | 8/14/2002     | Goldman Sachs, <i>HI: Reduce 02 and 03 by \$0.20 each. Maintain RL</i> , August 14, 2002                        | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' Daubert motion and MIL No. 4); 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.24 |             |           | 8/14/2002     | JP Morgan, <i>Household International: Restating financial statements</i> , August 14, 2002                     | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' Daubert motion and MIL No. 4); 801, 802, 805   | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-E.25 |             |           | 8/14/2002     | Salomon Smith Barney, <i>HI: Certifies statements, but restates \$386 million past income</i> , August 14, 2002 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' Daubert motion and MIL No. 4); 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.26 |             |           | 8/14/2002     | William Blair, <i>Household International restates financials for credit card business</i> , August 14, 2002    | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' Daubert motion and MIL No. 4); 801, 802, 805   | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description   | Plaintiff's Objections  | Defendants' Responses to Objection  |
|-------------|-------------|-----------|---------------|--|---|---|
| DX0001-E.27 |             |           | 8/15/2002     | Bear Stearns, <i>Restatement Should Have Modest Impact On Household. New Capital Ratio Targets And Funding Challenges Likely to Impact EPS Next Year Though part 1</i> , August 15, 2002 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805   | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-E.28 |             |           | 8/15/2002     | Bear Stearns, <i>Restatement Should Have Modest Impact On Household. New Capital Ratio Targets And Funding Challenges Likely to Impact EPS Next Year Though part 2</i> , August 15, 2002 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805   | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-E.29 |             |           | 8/15/2002     | Lehman Brothers, <i>Household International: 10Q review &amp; earnings restatement</i> , August 15, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805   | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-E.30 |             |           | 8/15/2002     | UBS Warburg, <i>Household - Earnings restatement not significant</i> , August 15, 2002   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br><br>FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.31 |             |           | 8/16/2002     | AG Edwards, <i>HI restates earnings due to accounting issues - estimates and PO change</i> , August 16, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805   | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-E.32 |             |           | 8/22/2002     | Fox-Pitt Kelton, <i>The Card Game – Credit Card Monthly</i> , August 22, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805   | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0001-E.33 |             |           | 8/22/2002     | Credit Suisse, <i>Auto Finance - Interpreting the Trust Data - moving beyond the curves</i> , August 22, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805   | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections  | Defendants' Responses to Objection  |
|-------------|-------------|-----------|---------------|---|---|---|
| DX0001-E.34 |             |           | 8/27/2002     | Keefe, Bruyette & Woods, <i>Initiating Coverage of Household International With a Market Perform Rating Yet Another Un-Investable Situation</i> , August 27, 2002 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 801, 802, 805   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br><br>FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).            |
| DX0001-E.35 |             |           | 9/12/2002     | Morgan Stanley, <i>Diversified Financials - Weekly Pulse</i> , September 12, 2002   | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26   | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c); Publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial  |
| DX0001-E.36 |             |           | 9/13/2002     | Morgan Stanley, <i>Diversified Financials - Correction: Weekly Pulse</i> , September 13, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26  | FRE 401, 403, 703, 801(c); publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0001-E.37 |             |           | 9/17/2002     | Credit Suisse, <i>Competitors' woes spill over (Again) into household</i> , September 17, 2002  | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26   | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c); Publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial  |
| DX0001-E.38 |             |           | 9/18/2002     | UBS Warburg, <i>Household International: Reducing Price Target To \$41</i> , September 18, 2002   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br><br>FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.39 |             |           | 9/18/2002     | AG Edwards, <i>Household International - Lowering rate on HI to hold from buy</i> , September 18, 2002  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805     | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |



## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections  | Defendants' Responses to Objection   |
|-------------|-------------|-----------|---------------|---|---|--|
| DX0001-E.40 |             |           | 9/18/2002     | Lehman Brothers, <i>Specialty Finance - Industry Update</i> , September 18, 2002  | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26 | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c); publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-E.41 |             |           | 9/22/2002     | CIBC World Markets, <i>Lowering Price Target On Persistent Headline Risk, But Maintaining SP Rating</i> , September 22, 2002          | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>No objection.                                       | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).   |
| DX0001-E.42 |             |           | 9/30/2002     | Lehman Brothers, <i>Household International: Change of Earnings Forecast: Revising Estimates; Updating model</i> , September 30, 2002 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802  | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0001-F    |             |           |               | Analyst Reports after October 1, 2002   | N/A   | N/A  |
| DX0001-F.1  |             |           | 10/3/2002     | CIBC, <i>Specialty Finance-Third Quarter 2002 preview</i> , October 3, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0001-F.2  |             |           | 10/3/2002     | Deutsche Bank, <i>3Q02 Quarterly Preview Proceed with caution</i> , October 3, 2002   | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26 | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c); publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial                                       |
| DX0001-F.3  |             |           | 10/4/2002     | JP Morgan, <i>Household International: 3Q02 Preview &amp; Update</i> , October 4, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0001-F.4  |             |           | 10/4/2002     | Credit Suisse, <i>Specialty Finance- Third quarter earnings preview</i> , October 4, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26                              | FRE 401, 403, 703, 801(c), Disclosed in expert reliance materials; publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections   | Defendants' Responses to Objection  |
|-------------|-------------|-----------|---------------|---|--|---|
| DX0001-F.5  |             |           | 10/7/2002     | CIBC World Markets, <i>Household International - Downgrading to SU on downside risk related to fundamentals and valuation</i> , October 7, 2002 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805      | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).         |
| DX0001-F.6  |             |           | 10/8/2002     | UBS Warburg, <i>Household: Lowering Target; Still Creating Value Despite Lower Growth</i> , October 8, 2002                                     | FRE 801, 802, 805  | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                        |
| DX0001-F.7  |             |           | 10/9/2002     | Deutsche Bank, <i>Household International: Widening spreads impacting stock and group</i> , October 9, 2002                                     | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805      | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).         |
| DX0001-F.8  |             |           | 10/10/2002    | Morgan Stanley, <i>Worth a Look</i> , October 10, 2002  | FRE 801, 802, 805  | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                        |
| DX0001-F.9  |             |           | 10/11/2002    | William Blair, <i>Household Reaches Settlement, But Lowering Estimates, Long-term Growth Rate Part I</i> , October 11, 2002                     | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805, 901 | FRE 401, 403, 703, 801(c), 902(6)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0001-F.10 |             |           | 10/16/2002    | CIBC World Markets, <i>3Q02 Operating EPS Upside Surprise; Upgrading To Sector Performer</i> , October 16, 2002                                 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805      | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).         |
| DX0001-F.11 |             |           | 10/16/2002    | Piper Jaffray, <i>Follows Up Settlement Announcement with Good Earnings Performance</i> , October 16, 2002                                      | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805      | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).         |
| DX0001-F.12 |             |           | 10/25/2002    | Deutsche Bank, <i>New Capital in Attempt to Restore Confidence</i> , October 25, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805      | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).         |
| DX0001-F.13 |             |           | 11/14/2002    | Deutsche Bank, <i>It's All About Funding</i> , November 14, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805      | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).         |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No.     | Bates Start | Bates End | Document Date | Document Title/Description   | Plaintiff's Objections   | Defendants' Responses to Objection   |
|-------------|-------------|-----------|---------------|--|--|--|
| DX0001-F.14 |             |           | 9/9/2003      | Fitch Ratings, <i>Credit Card ABS Midyear Review and Update</i> , September 9, 2003              | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c) Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0002      |             |           | 10/1/2001     | "The All-America Research Team," Institutional Investor  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26                     | FRE 401, 403, 703, 801(c); publicly available document Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0003      |             |           | 10/5/2001     | "Card Cos.' 3Q Seen Solid, But '02 Views Matters Most", Tara Siegel Bernard, Dow Jones Newswires | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                              | FRE 401, 403, 703, 801(c) Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0004      |             |           | 10/12/2001    | "Update 1-Credit card co Shares Fall After Providian warns," F. Brinley Bruton, Reuters          | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                              | FRE 401, 403, 703, 801(c) Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0005      |             |           | 10/13/2001    | "Providian Warning Prompts Sell-Off," Leslie Earnest, Los Angeles Times                          | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                              | FRE 401, 403, 703, 801(c) Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0006      |             |           | 10/15/2001    | "Providian's 3Q Slump Shows 2-Tier Sector," Lavonne Kuykendall, American Baker                   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                              | FRE 401, 403, 703, 801(c) Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0007      |             |           | 10/17/2001    | "Capital One, Others' Shares Bounce on Earnings," Reuters  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                              | FRE 401, 403, 703, 801(c) Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0008      |             |           | 10/18/2001    | "3Q Earnings: Stellar 3Q at Metris, Household, Capital One," Lavonne Kuykendall, American Banker | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                              | FRE 401, 403, 703, 801(c) Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections   | Defendants' Responses to Objection   |
|---------|-------------|-----------|---------------|---|--|--|
| DX0009  |             |           | 10/19/2001    | "Update 1-Providian Shares Tumble After Poor Earnings," Reuters   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                  | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0010  |             |           | 10/31/2001    | "Are Cards Stronger Than Consumer Confidence?" Matthias Rieker, American Banker                                 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                  | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0011  |             |           | 11/9/2001     | "Abusive Lending," City News Service  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br><br>FRE 801, 802, 805                          | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0012  |             |           | 11/15/2001    | "Credit Card Issuer Providian Financial suffers another Wall Street beating," Michael Liedtke, Associated Press | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                  | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0013  |             |           | 12/12/2001    | "Credit Card Charge-Offs Increased in October," Business Wire   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                  | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0014  |             |           | 12/13/2001    | "Stocks Overcome Early Torpidity As P&G, Toll Brothers See Gains", Robert O'Brien, The Wall Street Journal      | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                  | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0015  |             |           | 1/1/2002      | "Top 25 B&C Lenders in 2001," Inside B&C Lending  | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802; FRCP 26 | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c);<br>Publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial                                  |
| DX0016  |             |           | 1/16/2002     | "Household Reports Record Quarterly and Full-Year Net Income," PR Newswire                                      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>No objection                                   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections  | Defendants' Responses to Objection   |
|---------|-------------|-----------|---------------|---|---|--|
| DX0017  |             |           | 1/21/2002     | "Fitch Sees Growing Consumer Debt Woes," National Mortgage News                                       | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0018  |             |           | 1/28/2002     | "Doubting Tyco," Jonathan R. Laing, Barron's  | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0019  |             |           | 1/28/2002     | "Update 2-Credit Card Stocks Fall on Metris Worries," Reuters News                                    | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0020  |             |           | 1/28/2002     | "Credit card stocks fall on Metris, sub-prime worries," Reuters News                                  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0021  |             |           | 1/28/2002     | "The Bear that Roared: How Short-Seller Jim Chanos helped expose Enron", Johnathan R. Laing, Barron's | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26 | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c); Publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0022  |             |           | 2/1/2002      | "Household Gets Rapped," Paul Muolo, American Banker  | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0023  |             |           | 2/1/2002      | "Household Gets Rapped," US Banker  | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0024  |             |           | 2/5/2002      | "In Brief: Fed Survey Finds More Mortgage Demand," Michele Heller, American Banker                    | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0025  |             |           | 2/5/2002      | "US Banks Report Tightened Lending Rules," The Wall Street Journal                                    | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections  | Defendants' Responses to Objection  |
|---------|-------------|-----------|---------------|---|---|---|
| DX0026  |             |           | 2/11/2002     | "A Rough Ride Ahead: More Defaults in Consumer Loans," Adam Tempkin, Asset Securitization Report  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0027  |             |           | 2/11/2002     | "Banking Regulators Concerned About Subprime Loan Performance," Richard Cowden, BNA's Banking Report  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0028  |             |           | 2/11/2002     | "FDIC Alerts Banks to Subprime Woes," National Mortgage News  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0029  |             |           | 2/18/2002     | "A Rough Ride Ahead: More Defaults in Consumer Loans: Part II: Is the Sky Falling...or is it just tiering?" Adam Tempkin, Asset Securitization Report | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0030  |             |           | 2/20/2002     | "New Data No Boost to Card Firms," W.A. Lee, American Banker  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0031  |             |           | 2/21/2002     | "Household Gets Rapped," Banking Wire   | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                |
| DX0032  |             |           | 2/21/2002     | "Consumer Finance Firms' Outlook Bleak, Fitch Says," Erick Bergquist, American Banker   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0033  |             |           | 2/21/2002     | "Credit-Card Companies Are Raising Rates," Ruth Simon, The Wall Street Journal  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0034  |             |           | 2/25/2002     | "DC Council Approves New Predatory Law," National Mortgage News   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0035  |             |           | 2/27/2002     | "Credit Card Companies Rally on Greenspan," Reuters News  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections  | Defendants' Responses to Objection  |
|---------|-------------|-----------|---------------|---|---|---|
| DX0036  |             |           | 3/26/2002     | "Worries About Sub-Prime Market Drag Down Lenders, Card Issuers Financial Services: Some Analysts Fear that Rising Interest Rates Could Lead to Higher Default Rate," E. Scott Reckard, Los Angeles Times | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0037  |             |           | Apr-02        | "Shape Up, Issuers!" Linda Punch, Credit Card Management  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0038  |             |           | 4/15/2002     | "In Brief: FDIC: Subprime is Biggest Immediate Risk," Damian Paletta, American Banker   | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26 | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0039  |             |           | 4/17/2002     | "Household Reports Record First Quarter Net Income," PR Newswire  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br><br>No objection                                    | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).  |
| DX0040  |             |           | 4/18/2002     | "As NextCard Eyes Closing, OCC Takes Metris in Hand," Lavonne Kuykendall and Matthias Rieker, American Banker   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0041  |             |           | 4/22/2002     | "A Wild Ride with Subprime Lenders; You'd be Hard Pressed to Find a More Volatile Sector than Lenders that Cater to High-Risk Borrowers. Got Strong Nerves?" Mara Der Hovanesian, Business Week           | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0042  |             |           | 4/25/2002     | "Keeping the Lid on Subprime Exposure," Burney Simpson, Credit Card Management  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0043  |             |           | 4/29/2002     | "Credit Card Delinquency Soars," CNNfn: Markets Impact  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |



## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start | Bates End | Document Date | Document Title/Description   | Plaintiff's Objections  | Defendants' Responses to Objection   |
|---------|-------------|-----------|---------------|--|---|--|
| DX0044  |             |           | 4/29/2002     | "Fitch Ratings Report: Finance Company Capital Standards – 2002," Business Wire                        | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0045  |             |           | 5/10/2002     | "Panelist Discussion - Michael Farr, Charles Gabriel, Greg Valliere," Wall Street Week                 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805, 901                                  | FRE 401, 403, 703, 801(c), 902(6)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0046  |             |           | 6/3/2002      | "Rating Agencies Worry Over High Credit Card Losses," BondWeek   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0047  |             |           | 6/14/2002     | "Regulatory Crackdown Near for Card Issuers," Rob Garver, American Banker                              | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0048  |             |           | 6/28/2002     | "NY Bill to Drive Subprime Out of State?" Kyriaki Venetis, Origination News                            | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0049  |             |           | 7/1/2002      | "Card Cos 2Q EPS Produce Mixed Bag; Trends Mostly Stable," Tara Siegel Bernard, Dow Jones News Service | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |
| DX0050  |             |           | 7/11/2002     | "HD in Brief: Chargeoffs Send Capital One Stock Down", Lavonne Kuykendall, American Banker             | Defendants agree not to use. FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26 | Defendants will not use with defense experts, unless the document is used earlier at trial. FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                            |
| DX0051  |             |           | 7/17/2002     | "Household Reports Record Second Quarter Results on Strong Receivables Growth," PR Newswire, Dow Jones | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 801, 802, 805                                   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0052  |             |           | 7/17/2002     | "UPDATE 2-Credit card stocks dive on consumer default fears," Philip Klein, Reuters News               | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                                       | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).  |



## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections  | Defendants' Responses to Objection  |
|---------|-------------|-----------|---------------|---|---|---|
| DX0053  |             |           | 7/18/2002     | "2Q Earnings: Another Record at Household as 2Q Net Increases by 17%," Erick Bergquist, American Banker | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0054  |             |           | 7/18/2002     | "Capital One Sees Shares Fall 40% On Fed Warning," Carrick Mollenkamp, The Wall Street Journal          | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0055  |             |           | 7/18/2002     | "Regulatory Move Causes Drop in Capital One Shares," Bloomberg News and The New York Times              | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0056  |             |           | 7/18/2002     | "Are None Immune in Card Crackdown?" W.A. Lee, American Banker  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0057  |             |           | 7/19/2002     | "Subprime Forecast: Defaults Will Edge Up On Today's Loans," Ted Cornwell, Mortgage Servicing News      | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0058  |             |           | 7/23/2002     | "Subprime Loans Will Be Covered by Federal Rules," Carrick Mollenkamp, The Wall Street Journal          | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0059  |             |           | 7/26/2002     | "Feds Will Keep Subprime Data Secret at First," American Banker   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0060  |             |           | 7/30/2002     | "In Brief: Specialty Firms Win Big in Stock Rally," Matthias Rieker, American Banker                    | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0061  |             |           | 8/2/2002      | "Watch Out for the Double-Dip: The Economy Has Hit an Air Pocket and Some Fear the Worst," CNNMoney     | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0062  |             |           | 8/6/2002      | "Cox Communications Falls 19%, Comcast 14% as Market Slides," Robert O'Brien, The Wall Street Journal   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start | Bates End | Document Date | Document Title/Description   | Plaintiff's Objections  | Defendants' Responses to Objection  |
|---------|-------------|-----------|---------------|--|---|---|
| DX0063  |             |           | 8/7/2002      | "AmeriCredit Corp. Shares Fall Sharply On Delinquency Concerns-DJ," Reuters Significant Developments                                     | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0064  |             |           | 8/15/2002     | "A double dip? – Monetary policy in the United States," The Economist  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0065  |             |           | 8/23/2002     | "US puts screws on consumer credit," The Australian Financial Review   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0066  |             |           | 8/27/2002     | "DJ. WSJ (8/28) Abreast Of The Market - Stock Prices Struggle Tue," Oster Dow Jones Select   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0067  |             |           | 9/4/2002      | "Stocks Slump Across the Board; Major Indexes Off 4% as Fears Linger About Economy, Iraq and Accounting," Ben White, The Washington Post | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0068  |             |           | 9/16/2002     | "Delinquencies Rising, but Auto ABS Structures Sound, Kevin Donovan, Asset Securitization Report   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0069  |             |           | 9/17/2002     | "MGIC Warning Spurs an Industrywide Stock Drop," Tommy Fernandez, American Banker  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0070  |             |           | 9/23/2002     | "Finance Co. Bonds Slide Despite 41-Yr Low In Tsy Yields," Christine Richard, Dow Jones Capital Markets Report,                          | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0071  |             |           | 10/7/2002     | "Credit Cards 3Q Results Mixed; Focus On New Regulations," Tara Siegel Bernard, Dow Jones News Service                                   | FRE 801, 802, 805   | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                |
| DX0072  |             |           | 10/7/2002     | "DJ. US Late Market Comment -4 - American Express Falls 7%," Oster Dow Jones Select  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start | Bates End | Document Date | Document Title/Description   | Plaintiff's Objections   | Defendants' Responses to Objection   |
|---------|-------------|-----------|---------------|--|--|--|
| DX0073  |             |           | 10/7/2002     | "U.S. Consumer Lender companies' Stocks Slide," Reuters  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                  | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                              |
| DX0074  |             |           | 10/7/2002     | "UPDATE 1-U.S. financial stocks fall in weak economy," Reuters News  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                  | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                              |
| DX0075  |             |           | 10/8/2002     | "Finance company spreads widen," Jenny Wiggins, Financial Times  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805                  | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                              |
| DX0076  |             |           | 10/16/2002    | "Household Reports Operating Net Income of \$1.17 per share for the Third Quarter," PR Newswire, Dow Jones | FRE 801, 802, 805  | FRE 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0077  |             |           | 10/29/2002    | "The 2002 All-America Research Team," Institutional Investor   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805; FRCP 26         | FRE 401, 403, 703, 801(c); publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0078  |             |           | 1/1/2003      | "Top 25 B&C Lenders in 2002," Inside B&C Lending   | FRE 401, 402, 403, 702, 703, 801, 802, 805; FRCP 26  | FRE 401, 403, 703, 801(c); publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0079  |             |           | 3/24/2003     | "Top Subprime Lenders in 2002," National Mortgage News   | FRE 401, 402, 403, 702, 703, 801, 802, 805; FRCP 26  | FRE 401, 403, 703, 801(c); publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0080  |             |           | 3/4/1997      | Household Consumer Loan Trust 1997-1, Prospectus (Form 424B1) (March 4, 1997)                              | Per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial, may only be used to cross-examine Fischel. FRE 401, 402, 403, 801, 802 | Per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial, may only be used to cross-examine Fischel.<br>FRE 401, 403, 803(6)   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start | Bates End | Document Date | Document Title/Description  | Plaintiff's Objections  | Defendants' Responses to Objection   |
|---------|-------------|-----------|---------------|---|---|--|
| DX0081  |             |           | 11/14/2000    | Household International Form 10-Q for the period ended September 30, 2000 | FRE 401, 402, 403   | FRE 401, 403   |
| DX0082  |             |           | 5/9/2001      | Household International Form 10-Q for the period ended March 31, 2001     | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>No objection. | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). |
| DX0083  |             |           | 8/10/2001     | Household International Form 10-Q for the period ended June 30, 2001      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>No objection. | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). |
| DX0084  |             |           | 11/14/2001    | Household International Form 10-Q for the period ended September 30, 2001 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>No objection. | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). |
| DX0085  |             |           | 3/13/2002     | Household International Form 10-K for the year ended December 31, 2001    | No objection  | N/A  |
| DX0086  |             |           | 5/10/2002     | Household International Form 10-Q for the period ended March 31, 2002     | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>No objection. | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start       | Bates End         | Document Date | Document Title/Description   | Plaintiff's Objections  | Defendants' Responses to Objection   |
|---------|-------------------|-------------------|---------------|--|---|--|
| DX0087  |                   |                   | 8/14/2002     | Household International Form 10-Q for the period ended June 30, 2002   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>No objection. | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). |
| DX0088  |                   |                   | 10/11/2002    | Household International Form 8-K dated October 11, 2002 with Exhibits 99.1 and 99.2  | FRE 801, 802, 805   | FRE 803(6); 801(c)   |
| DX0089  |                   |                   | 10/24/2002    | Household International Form 10-Q for the period ended September 30, 2002  | No objection  | N/A  |
| DX0091  |                   |                   | 1/31/2001     | "Expanded Guidance for Subprime Lending Programs," FDIC, January 31, 2001  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)  |
| DX0092  | FI-HOUSEHOLD00047 | FI-HOUSEHOLD00050 | 11/29/2001    | "Household Automotive Trust 2001-3," Fitch (Nielwocik & Reese), November 29, 2001  | FRE 401, 402, 403, 702, 703, 801, 802, 805, 901; FRCP 26  | FRE 401, 403, 703, 801(c), 902(6); publicly available document   |
| DX0093  |                   |                   | 11/29/2001    | "Agencies Adopt Recourse, Direct Credit Substitutes and Residual Interests Final Rule," Board of Governors of the Federal Reserve System and FDIC Joint Press Release, November 29, 2001 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)  |
| DX0094  | FI-HOUSEHOLD00333 | FI-HOUSEHOLD00336 | 1/11/2002     | "Fitch Affirms Household International, Lowers HFC, Rtg Outlook To Negative," Fitch, January 11, 2002  | FRE 801, 802, 805   | FRE 801(c)   |
| DX0095  |                   |                   | 2/27/2002     | "Monetary Policy Report to the Congress," Board of Governors of the Federal Reserve System, February 27, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)  |
| DX0096  |                   |                   | Mar 2002      | "Subprime Markets, the Role of GSEs, and Risk-Based Pricing," Kenneth Temkin, Jennifer E. H. Johnson, and Diane Levy U.S. Department of Housing and Urban Development, March 2002        | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)  |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start        | Bates End          | Document Date | Document Title/Description   | Plaintiff's Objections  | Defendants' Responses to Objection |
|---------|--------------------|--------------------|---------------|--|---|------------------------------------|
| DX0097  |                    |                    | 6/20/2002     | "Current Economic and Financial Conditions: Recent Developments," Prepared for the Federal Open Market Committee by the staff of the Board of Governors of the Federal Reserve System, June 20, 2002 | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)          |
| DX0098  |                    |                    | 7/22/2002     | "Federal Financial Institution Regulators Draft Guidance on Credit Card Lending," Board of Governors of the Federal Reserve System Joint Press Release, July 22, 2002                                | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)          |
| DX0099  | FI-HOUSEHOLD 00348 | FI-HOUSEHOLD 00351 | 8/14/2002     | "Fitch affirms Household at 'A' following announcement," Fitch, August 14, 2002  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)          |
| DX0100  |                    |                    | 1/1/2003      | "The 2001 Recession: How Was It Different and What Developments May Have Caused It?" Kevin L. Kliesen, Federal Reserve Bank of St. Louis Review 85, no. 1 (2003)                                     | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)          |
| DX0101  |                    |                    | 2/11/2003     | "Monetary Policy Report to the Congress," Board of Governors of the Federal Reserve System, February 11, 2003  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)          |
| DX0102  |                    |                    | 3/18/2003     | "The Division of Supervision and Consumer Protection's Examination Assessment of Subprime Lending," Office of Inspector General, March 18, 2003  | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)          |
| DX0103  |                    |                    | 7/17/2003     | "Business Cycle Dating Committee," National Bureau of Economic Research, July 17, 2003   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | FRE 401, 403, 703, 801(c)          |
| DX0104  | PLF-G 000001       | PLF-G 000609       |               | Glickenhau & Company Trading Records   | FRE 401, 402, 403   | FRE 401, 403                       |
| DX0105  | HHS-ED 005115      | HHS-ED 005116      | 10/22/1999    | Memo from Ancona to Schoenholz re: Long-Term Liquidity   | FRE 401, 402, 403, 801, 802, 805  | FRE 401, 403, 803(6)               |
| DX0106  | HHS 02859223       | HHS 02859229       | 8/8/2001      | Memo from Schoenholz to Gilmer re: Financial Targets 2002 Through 2004   | FRE 401, 402, 403, 801, 802, 805  | FRE 401, 403, 803(6), 801(c)       |
| DX0107  | HHS 03402565       | HHS 03402567       | 10/26/2001    | Memo from D. Schoenholz subject: Risk Based Capital, dated October 26, 2001  | FRE 401, 402, 403, 801, 802, 805, LR 16.1, Final Pretrial Order Form, n.5   | FRE 401, 403, 803(6)               |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start    | Bates End      | Document Date | Document Title/Description  | Plaintiff's Objections   | Defendants' Responses to Objection   |
|---------|----------------|----------------|---------------|---|--|--|
| DX0108  | HI KPMG 011146 | HI KPMG 011148 | 11/11/2001    | Minutes of the Meeting of the Finance Committee of Household International, Inc.  | FRE 401, 402, 403, 801, 802, 805   | FRE 401, 403, 803(6), 801(c)   |
| DX0109  | HHS 02867898   | HHS 02867989   | 1/29/2002     | Household International 2002 Operating Plan -January 2002 Board of Directors Meeting Package  | FRE 401, 402, 403, 801, 802, 805   | FRE 401, 403, 801(c), 803(6)   |
| DX0110  | HHS 03033274   | HHS 03033306   | 1/29/2002     | Managing Credit Quality in a Recession Presented to the Board of Directors - Part of January 2002 Board of Directors Meeting Package  | FRE 106, 401, 402, 403, 801, 802, 805  | FRE 401, 403, 803(6), 801(c)   |
| DX0111  | HHS 01232632   | HHS 01232633   | 2/14/2002     | Email subject: OCC Update from Margaret A. Sprude, dated February 14, 2002  | FRE 401, 402, 403, 801, 802, 805, LR 16.1, Final Pretrial Order Form, n.5  | FRE 401, 403, 801(c), 803(6)   |
| DX0112  | HHS-ED 485746  | HHS-ED 485746  | 7/8/2002      | Message from Barney Moss subject: Equity Forwards, dated July 8, 2002   | FRE 401, 402, 403, 801, 802, 805, LR 16.1, Final Pretrial Order Form, n.5  | FRE 401, 403, 803(6), 801(c)   |
| DX0113  | HI KPMG 017706 | HI KPMG 017708 | 11/11/2002    | Topics to be Covered at November 11, 2002 Household International Meeting of the Finance Committee  | FRE 106, 401, 402, 403, 801, 802, 805  | FRE 401, 403, 803(6)   |
| DX0114  | HHS 02127692   | HHS 02127702   | 4/6/1998      | Blair, William & Co. (Gomberg), Comments Following Household International's Financial Relations Conference, dated April 6, 1998  | Defendants agree not to use. Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403 (preceding objections overruled pursuant to Court's Order on Pltfs' Daubert motion and MIL No. 4); 106, 801, 802, 805 | Defendants will not use with defense experts, unless the document is used earlier at trial. Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0115  | H003854        | H003856        | 7/22/1998     | Bulletin Board from Linda Maples, Ron Ferrari and Tom Detelich to All U.S. Sales Offices and HFCPS Department Managers re: Bi-Weekly Payment Worksheet, dated July 22, 1998 | FRE 401, 402, 403, 801, 802  | FRE 401, 403, 803(6)   |
| DX0116  | HHT 0006853    | HHT 0007018    | 11/24/1998    | Household Automobile Revolving Trust I, Securitization Prospectus (Form 424B1), dated November 24, 1998   | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel.<br>FRE 401, 402, 403, 801, 802  | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel.<br>FRE 401, 403, 803(6)   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start  | Bates End    | Document Date | Document Title/Description   | Plaintiff's Objections   | Defendants' Responses to Objection   |
|---------|--------------|--------------|---------------|--|--|--|
| DX0117  | HHS 02379170 | HHS 02379177 | 1999          | Sales Compensation Plan Rules and Regulations, dated 1999  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0118  | HHS 03388820 | HHS 03388820 | 6/10/1999     | Email from Gary Gilmer to Beth Boeke re: the prohibition against loan flipping, dated June 10, 1999  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0119  | HHS 02129843 | HHS 02129845 | 7/12/1999     | ABN AMRO, (Napoli & Kaster), <i>Positive Trends Almost Across the Board: Reiterate Buy, Raising Estimates</i> , dated July 12, 1999  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0120  | HHS 02404908 | HHS 02404909 | 7/13/1999     | Optional Credit Insurance Disclosure, dated July 13, 1999  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0121  | HHS 02390237 | HHS 02390239 | 7/13/1999     | Loan Repayment and Security Agreement, dated July 13, 1999   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0122  | HHS 02200198 | HHS 02200198 | Aug-99        | HFC/Beneficial Insurance Sales Code of Conduct, dated August 1999  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0123  | HHS 02878142 | HHS 02878142 | 10/20/1999    | Email from Patrick Zenzola to Denis O'Toole, Robin Allcock, Tom Detelich, Kathleen Curtin, Tom Schneider and Nancy Bromley re: Meeting with CA Department of Corporations to discuss AMTPA, dated October 20, 1999 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6), 801(c)   |



## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start  | Bates End    | Document Date | Document Title/Description  | Plaintiff's Objections   | Defendants' Responses to Objection  |
|---------|--------------|--------------|---------------|---|--|---|
| DX0124  | HHT 0017932  | HHT 0018060  | 11/16/1999    | HFC Revolving Corporation, Prospectus Supplement (Form 424B5), dated November 16, 1999  | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel. FRE 401, 402, 403, 801, 802   | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel. FRE 401, 403, 803(6)   |
| DX0125  | HHS 03418585 | HHS 03418585 | 12/8/1999     | Email from Gary Gilmer to all HFC & Beneficial BSMs & Processing Center Management re: bulletin boards and the importance of compliance, dated December 8, 1999 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 402, 403, 801, 802   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 403, 803(6)   |
| DX0126  | H011679      | H011685      | 1/1/2000      | 2000 Rules and Regulations to Consumer Finance Sales Incentive Compensation Program, dated January 1, 2000  | FRE 401, 402, 403, 801, 802  | FRE 401, 403, 803(6)  |
| DX0127  | HHT 0014103  | HHT 0014172  | 2/15/2000     | Household Auto Receivables Corporation, Prospectus Supplement (Form 424B3), dated February 15, 2000   | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel. FRE 401, 402, 403, 801, 802   | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel. FRE 401, 403, 801(c)   |
| DX0128  | HHT 0014173  | HHT 0014243  | 2/18/2000     | Household Auto Receivables Corporation, Prospectus Supplement (Form 424B4), dated February 18, 2000   | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel. FRE 401, 402, 403, 801, 802   | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel. FRE 401, 403, 803(6)   |
| DX0129  | HHS 02749771 | HHS 02749775 | 2/29/2000     | HFC/Beneficial Uniform Operational Manual: Daily Audit Requirements, dated February 29, 2000  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 402, 403, 801, 802   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 403, 803(6)   |
| DX0130  | HHS 02128206 | HHS 02128208 | 3/16/2000     | Legg Mason Wood Walker, Inc. (Sochol), <i>Household - We Do Consumer Finance Right, Initiating Coverage with Outperform Rating</i> , dated March 16, 2000       | Defendants agree not to use. Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 402, 403 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802 | Defendants will not use with defense experts, unless the document is used earlier at trial. Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 403, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start  | Bates End    | Document Date | Document Title/Description   | Plaintiff's Objections   | Defendants' Responses to Objection   |
|---------|--------------|--------------|---------------|--|--|--|
| DX0131  | HHT 0000038  | HHT 0000039  | 4/6/2000      | Legg Mason Wood Walker, Inc. (Sochol), <i>Executing Well on the Vision</i> , dated April 6, 2000   | Defendants agree not to use. Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | Defendants will not use with defense experts, unless the document is used earlier at trial. Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0132  | HHS 02362563 | HHS 02362563 | 4/10/2000     | Email from Gary Gilmer to All HFC and Beneficial Employees re: Predatory Lending, dated April 10, 2000   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0133  | HHS 03250178 | HHS 03250179 | 4/25/2000     | "ACORN Takes on Nation's Largest Consumer Finance Companies" Press Release, ACORN  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>No objection   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).   |
| DX0134  | HHS 02866729 | HHS 02866730 | 5/1/2000      | Email from Gary Gilmer to All Household Employees re: Predatory Lending, dated May 1, 2000   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0135  | HHT 0014385  | HHT 0014456  | 6/9/2000      | Household Auto Receivables Corporation, Prospectus Supplement (Form 424B3), dated June 9, 2000   | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel.<br>FRE 401, 402, 403, 801, 802  | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel.<br>FRE 401, 403, 801(c)   |
| DX0136  | HHT 0014313  | HHT 0014384  | 6/15/2000     | Household Auto Receivables Corporation, Prospectus Supplement (Form 424B2), dated June 15, 2000  | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel.<br>FRE 401, 402, 403, 801, 802  | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel.<br>FRE 401, 403, 803(6)   |
| DX0137  | HHS 02880774 | HHS 02880775 | 7/19/2000     | Goldman Sachs Investment Research Department, <i>Household International: Maintain Aggressive RL Rating on Excellent 2nd Quarter</i> , dated July 19, 2000 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start  | Bates End    | Document Date | Document Title/Description   | Plaintiff's Objections   | Defendants' Responses to Objection  |
|---------|--------------|--------------|---------------|--|--|---|
| DX0138  | HHT 0016003  | HHT 0016070  | 8/25/2000     | Household Auto Receivables Corp., Prospectus Supplement (Form 424B3), dated August 25, 2000  | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel. FRE 401, 402, 403, 801, 802             | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel. FRE 401, 403, 803(6)             |
| DX0139  | HHT 0014457  | HHT 0014525  | 8/31/2000     | Household Auto Receivables Corporation, Prospectus Supplement (Form 424B2), dated August 31, 2000  | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel (Dkt. 2195). FRE 401, 402, 403, 801, 802 | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial only to cross-examine Fischel (Dkt. 2195). FRE 401, 403, 801(c) |
| DX0140  | HHS 02911230 | HHS 02911232 | 9/20/2000     | Letter from William Aldinger to Members of the Board of Directors re: ACORN Protests, attaching Household's media statement on Predatory Lending, dated September 20, 2000 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 402, 403, 801, 802                               | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 403, 803(6)                               |
| DX0141  | HHS 02227691 | HHS 02227713 | Oct-00        | Ethical Lending - Service Staff Meeting Manager's Guide, dated October 2000  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 402, 403, 801, 802                               | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 403, 803(6)                               |
| DX0142  | HHS 02883064 | HHS 02883066 | 10/2/2000     | Memo from Paul Creatura, Lisa Sodeika to Larry Bangs, et al. re Product Restructuring, dated October 2, 2000   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 402, 403, 801, 802                               | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 403, 803(6)                               |
| DX0143  | HHS 02188267 | HHS 02188269 | 11/11/2000    | Loan Repayment and Security Agreement, dated November 11, 2000   | FRE 401, 402, 403, 801, 802  | FRE 401, 403, 803(6)  |
| DX0144  | HHS 03103477 | HHS 03103500 | 11/13/2000    | Household International Annual Report of the General Counsel to the Audit Committee with Respect to Household International's Business Principles, dated November 13, 2000 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 106, 401, 402, 403, 801, 802                          | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 403, 803(6)                               |
| DX0145  | HHS 02379282 | HHS 02379292 | 1/1/2001      | The 2001 Sales Compensation Plan: Rules and Regulations, effective January 1, 2001   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195). FRE 401, 402, 403, 801, 802                               | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).  |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start  | Bates End    | Document Date | Document Title/Description  | Plaintiff's Objections   | Defendants' Responses to Objection   |
|---------|--------------|--------------|---------------|---|--|--|
| DX0146  | HHS 02911338 | HHS 02911339 | 1/15/2001     | Email from Gary Gilmer to Larry Bangs re: ACORN Complaints, dated January 15, 2001  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0147  | HHS 02939650 | HHS 02939666 | 1/16/2001     | Memo from Lisa Sodeika to Gary Gilmer and Tom Detelich re: Customer Reviews (ACORN), attaching customer reviews, dated January 16, 2001 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6), 801(c)   |
| DX0148  | HHT 0014244  | HHT 0014312  | 3/2/2001      | Household Auto Receivables Corporation, Prospectus Supplement (Form 424B2), dated March 2, 2001   | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195), only to cross-examine Fischel.<br>FRE 401, 402, 403, 801, 802   | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195), only to cross-examine Fischel.<br>FRE 401, 403, 803(6)  |
| DX0149  | HHT 0000119  | HHT 0000124  | 3/8/2001      | Legg Mason (Sochol & Brendler), <i>HI: Picking UP Market Share and P/E Multiple Points</i> , dated March 8, 2001                        | Defendants agree not to use. Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | Defendants will not use with defense experts, unless the document is used earlier at trial. Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0150  | HHT 0000125  | HHT 0000139  | 3/14/2001     | William Blair & Co. (Gomberg & Tibodeau), <i>Update Report</i> , dated March 14, 2001   | Defendants agree not to use. Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | Defendants will not use with defense experts, unless the document is used earlier at trial. Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0151  | HHS 03149124 | HHS 03149147 | 3/29/2001     | 2001 Proxy Statement, dated March 29, 2001  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>No objection.  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).   |
| DX0152  | HHS 03436204 | HHS 03436204 | 4/3/2001      | Household Financial Relations Conference, Tape II, dated April 3, 2001 (Video)  | FRE 401, 402, 403, 801, 802  | FRE 401, 403, 803(6)   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start   | Bates End     | Document Date | Document Title/Description  | Plaintiff's Objections   | Defendants' Responses to Objection  |
|---------|---------------|---------------|---------------|---|--|---|
| DX0153  | HHS 03436205  | HHS 03436205  | 4/3/2001      | DVD: Household Financial Relations Conference, Marriott O'Hare, Tape III, dated April 3, 2001 (Video)                                   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802                                | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)                                |
| DX0154  | HHS 03436202  | HHS 03436202  | 5/8/2001      | HH 2001 Annual Shareholders Meeting, dated May 9, 2001 (Video)  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802                                | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)                                |
| DX0155  | AA061389      | AA061392      | 5/8/2001      | Minutes of 2001 Annual Meeting of Shareholders of Household International, Inc., dated May 8, 2001                                      | FRE 401, 402, 403  | FRE 401, 403, 803(6)  |
| DX0156  | HHS 02862773  | HHS 02862776  | 5/10/2001     | Memo from Ned Hennigan to Tom Detelich re: May 2001 Operating Results, dated May 10, 2001   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802                                | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)                                |
| DX0157  | HHT 0018061   | HHT 0018202   | 5/11/2001     | HFC Revolving Corporation, Prospectus Supplement (Form 424B5), dated May 11, 2001   | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195), only to cross-examine Fischel.<br>FRE 401, 402, 403, 801, 802 | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195), only to cross-examine Fischel.<br>FRE 401, 403, 801(c) |
| DX0158  | HHS 02484488  | HHS 02484488  | 5/24/2001     | Bulletin Board from Rob O'Han to All HFC Sales Offices & HFCPS Management re: Prohibited Sales Practices, dated May 24, 2001            | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>No objection.  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).  |
| DX0159  | HHS-ED 510577 | HHS-ED 510584 | 5/25/2001     | Business development visit report from DSM Robbins, dated May 25, 2001  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 106, 401, 402, 403, 801, 802                           | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)                                |
| DX0160  | HHT 0000698   | HHT 0000702   | 5/29/2001     | "'Predatory' Lending Targeted: A State Senator Seeks to Protect Consumers from Exorbitant Interest Rate", Aurelio Rojas, Sacramento Bee | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>No objection.  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).  |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start  | Bates End    | Document Date | Document Title/Description   | Plaintiff's Objections   | Defendants' Responses to Objection   |
|---------|--------------|--------------|---------------|--|--|--|
| DX0161  | HHS 02187244 | HHS 02187245 | 6/5/2001      | Email from Gary Gilmer to All HFC and Beneficial Employees re: Responsible Lending, dated June 5, 2001   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6) |
| DX0162  | HHS 03208037 | HHS 03208038 | 6/7/2001      | Email from Ned Hennigan to Dana M. Williams re: invitation to Responsible Lending Summit, dated June 7, 2001   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6) |
| DX0163  | HHS 02901940 | HHS 02901940 | 6/12/2001     | Email from Gary Gilmer to Kathleen Curtin, Lisa Sodeika, Larry Bangs, Walt Rybak, Craig Stroom, Joe Vozar, Tom Detelich, Gregory Snyder and Denis O'Toole re: Illinois Pay Right Rewards, dated June 12, 2001                    | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6) |
| DX0164  | HHS 02942670 | HHS 02942674 | 6/28/2001     | Letter from Kevin Murphy, Deputy Commissioner of Minnesota Department of Commerce to Jordan Ash of ACORN re: Complaints Against Household Industrial Finance Company and Beneficial Loan and Thrift Company, dated June 28, 2001 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c) |
| DX0165  | H007414      | H007415      | 7/2/2001      | Customer Satisfaction Survey, dated July 2, 2001 and signed September 29, 2001   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6) |
| DX0166  | HHS 02251218 | HHS 02251236 | 7/2/2001      | Selling Mortgages Workshop, dated July 2, 2001   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6) |
| DX0167  | HHS 00030968 | HHS 00030971 | 7/23/2001     | Press Release, Household International Inc., Household International Redefines Best Practices in Subprime Lending, dated July 23, 2001   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c) |
| DX0168  | H008115      | H008116      | 7/24/2001     | Email from Gary Gilmer to All Household Employees re: Household's Best Practices Initiatives, dated July 24, 2001  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6) |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start    | Bates End      | Document Date | Document Title/Description  | Plaintiff's Objections   | Defendants' Responses to Objection   |
|---------|----------------|----------------|---------------|---|--|--|
| DX0169  | HHS 03451881   | HHS 03451925   | 7/24/2001     | Letter from Tom Schneider to Arizona Financial Services Division re: response to Arizona Examination Report (attached), dated July 24, 2001                 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802                                | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0170  | HHT 0002255    | HHT 0002398    | 8/3/2001      | HRSI Funding Inc II, Prospectus Supplement (Form 424B3), dated August 3, 2001   | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195), only to cross-examine Fischel.<br>FRE 401, 402, 403, 801, 802 | Presumptively admissible per ¶6 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195), only to cross-examine Fischel.<br>FRE 401, 403, 803(6)  |
| DX0171  | HHS-ED 578892  | HHS-ED 578901  | 8/26/2001     | Comprehensive audit report from DSM Matheis, dated August 26, 2001  | FRE 401, 402, 403, 801, 802  | FRE 401, 403, 803(6)   |
| DX0172  | HHT 0000743    | HHT 0000745    | 9/12/2001     | "PERA Urged to Drop Finance Firm Investment", Morgan Lee, Albuquerque Journal   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805                           | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0173  | HHS 02362549   | HHS 02362549   | 10/3/2001     | Email from Gary Gilmer to All Consumer Lending Employees re: Ethical Behavior, dated October 3, 2001  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802                                | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0174  | HI KPMG 034104 | HI KPMG 034110 | 10/9/2001     | Memo from Cliff Mizialko to Files re: Evaluation of the Adequacy of HI Credit Loss Reserves at September 30, 2001, dated October 9, 2001                    | FRE 401, 402, 403, 801, 802  | FRE 401, 403, 803(6)   |
| DX0175  | HHS 03418104   | HHS 03418106   | 10/18/2001    | Letter from Tom Schneider to Sharon Dawes re: Antonio Ortega  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 106, 401, 402, 403, 801, 802                           | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0176  | HHS03134299    | HHS03134314    | 10/18/2001    | E-mail Subject: FW: Gain-On-Sale- Calling On The Special Teams; Attachment Article Title: When the Going Gets Tough... The Accounting Department Gets Going | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 801, 802, 805  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c)   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start  | Bates End    | Document Date | Document Title/Description   | Plaintiff's Objections   | Defendants' Responses to Objection   |
|---------|--------------|--------------|---------------|--|--|--|
| DX0177  | FDIC-0881    | FDIC-0883    | 11/12/2001    | Memo from Mary Johnston to Robin Allcock re: Complaint Resolution / Rapid Response Team, dated November 12, 2001                               | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0178  | HHS 02904751 | HHS 02904752 | 11/15/2001    | Press Release, Household International Inc., Household Responds to California Department of Corporations' Lawsuit, dated November 15, 2001     | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 702, 703, 801, 802, 805   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c)   |
| DX0179  | HHT 0000766  | HHT 0000768  | 11/21/2001    | "Household's Bum Rap?", Erick Bergquist, American Banker   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' Daubert motion and MIL No. 4); 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                                   |
| DX0180  | HHT 0000250  | HHT 0000252  | 12/13/2001    | Deutsche Banc Alex. Brown Inc. (Alpert, St. Leger & Swanberg), <i>Detail on Credit Policies -- We See No Problem</i> , dated December 13, 2001 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' Daubert motion and MIL No. 4); 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).                                   |
| DX0181  | HHS-ED487851 | HHS-ED487851 | 12/19/2001    | E-mail chain between P. Makowski and D. Schoenholz, subject: No Subject, last dated December 19, 2001  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0182  | HHT 0000782  | HHT 0000784  | 12/29/2001    | "The Mortgage Bite: Some Lenders Prey on Borrowers" Marc Albert, San Mateo County Times  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805, FRCP 26  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 703, 801(c); publicly available document<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |



## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start  | Bates End    | Document Date | Document Title/Description  | Plaintiff's Objections  | Defendants' Responses to Objection  |
|---------|--------------|--------------|---------------|---|---|---|
| DX0183  | ILAG 001124  | ILAG 001150  | 2002          | Illinois customer complaints and correspondence re: customer complaints and various customer loan forms, regarding May 2002 loan  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c)  |
| DX0184  | HHS 02859015 | HHS 02859023 | 1/3/2002      | Letter from Robin Allcock to Russell Spain III (State Corporation Commission, Bureau of Financial Institutions, Virginia) re: response to Virginia Report of Examination, dated January 3, 2002 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6), 801(c)  |
| DX0185  | HHS 02880203 | HHS 02880205 | 1/17/2002     | Merrill Lynch Global Securities Research (Hughes), <i>Household International Inc (HI/NYSE) Good Numbers, Tough Audience</i> , dated January 17, 2002   | FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805   | FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263).   |
| DX0186  | HHS 00089210 | HHS 00089261 | 1/28/2002     | Email subject: Senior Management Meeting Presentation from Paul A. Makowski, dated January 28, 2002   | FRE 401, 402, 403, 801, 802   | FRE 401, 403, 803(6)  |
| DX0187  | HHT 0000286  | HHT 0000288  | 2/8/2002      | Ventana Capital, LLC (Ryan), <i>More Is Likely To Come From Recent Investigations</i> , dated February 8, 2002  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 702, 703 (preceding objections overruled pursuant to Court's Order on Pltfs' <i>Daubert</i> motion and MIL No. 4); 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 703, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0188  | H008109      | H008112      | 4/8/2002      | Fax Memo from Tom Detelich to Rob O'Han re: Examples of forms provided to Bellingham customers, including handwritten notes from Gary Gilmer and Lisa Sodeika, dated April 8, 2002              | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)  |
| DX0189  | HHS 02135255 | HHS 02135282 | 4/9/2002      | Household International 2002 Proxy Statement, dated April 9, 2002   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>No objection.   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).  |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start  | Bates End    | Document Date | Document Title/Description  | Plaintiff's Objections  | Defendants' Responses to Objection   |
|---------|--------------|--------------|---------------|---|---|--|
| DX0190  | HHS 03424557 | HHS 03424566 | 4/9/2002      | Memo from Ned Hennigan to Tom Detelich re: March 2002 operating results, dated April 9, 2002  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6), 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0191  | HHS 03031911 | HHS 03031916 | 5/14/2002     | Minutes of 2002 Annual Meeting of Shareholders, dated May 14, 2002  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403                     | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403   |
| DX0192  | HHS 02868552 | HHS 02868552 | 5/17/2002     | Email from Robin Allcock to Kathleen Curtin, Lisa Sodeika and Donna Taillon re: Expanded Report of Examination, dated May 17, 2002  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 106                               | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).   |
| DX0193  | HHS 02904454 | HHS 02904455 | 5/20/2002     | Email from Gary Gilmer to All Consumer Lending Employees re: Responsible Lending, dated May 20, 2002  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 410, 402, 403, 801, 802           | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0194  | HHS 02857664 | HHS 02857689 | 5/21/2002     | Letter from Robin Allcock to Paul Swierczak (Chief Examiner, New Jersey Department of Banking and Insurance) re: response to New Jersey Report of Examination, dated May 21, 2002                     | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6), 801(c)   |
| DX0195  | HHS 03418222 | HHS 03418243 | 6/10/2002     | Email from Lisa Sodeika to Stephen Hicks, Tom Detelich, Kenneth Walker, Rob O'Han, Mike Eden, Ned Hennigan, Calo Bucaro re: 2001 & 2002 complaints involving "terms of contract", dated June 10, 2002 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 106, 401, 402, 403, 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6), 801(c)   |
| DX0196  | HHS 02904471 | HHS 02904473 | 6/13/2002     | Memo from Gary Gilmer to Bill Aldinger re: Regulatory Responses, dated June 13, 2002  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802           | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0197  | HHS 02944123 | HHS 02944203 | 6/28/2002     | Response to Washington Department of Financial Institutions Expanded Report of Examination for Household Finance Corporation III, dated June 28, 2002   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802           | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start    | Bates End      | Document Date | Document Title/Description   | Plaintiff's Objections  | Defendants' Responses to Objection   |
|---------|----------------|----------------|---------------|--|---|--|
| DX0198  | HHS 00035952   | HHS 00035955   | 7/10/2002     | Email subject: HAF Delinquency and Chargeoff Trends from Tim R. Condon, dated July 10, 2002  | FRE 401, 402, 403, 801, 802   | FRE 401, 403, 803(6)   |
| DX0199  | HHS-ED 016421  | HHS-ED 016433  | 7/24/2002     | Effective Rate Complaint Review: Regulatory Compliance Risk Management Department - Summary of Findings, Updated July 24, 2002   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802       | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)         |
| DX0200  | HHS 03053358   | HHS 03053361   | 8/12/2002     | Letter from OCC to David Schoenholz re: appeal of prepaid asset account decision, dated August 12, 2002  | Presumptively admissible pursuant to the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195)<br>FRE 401, 402, 403, 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c)         |
| DX0201  | HHS 02075651   | HHS 02075651   | 8/13/2002     | Email from Bill Aldinger to All Household Employees, Subject: James Kauffman Named SVP- Compliance & Policy, dated August 13, 2002   | Presumptively admissible pursuant to the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195)<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)         |
| DX0202  | HI KPMG 006433 | HI KPMG 006460 | 8/27/2002     | KPMG Audit of the Reserve For Credit Losses as of December 31, 2000 and 2001 and the Related Provision for Credit Losses for the years ended December 31, 1999, 2000 & 2001, dated August 27, 2002 | FRE 401, 402, 403, 801, 802, 805  | FRE 401, 403, 801(c), 803(6)   |
| DX0203  | HHS 02935088   | HHS 02935093   | 9/27/2002     | Letter from Stephen Hicks to Amy Adams, dated Sept. 27, 2002   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6), 801(c) |
| DX0204  | HHS 03441978   | HHS 03442010   | 11/21/2002    | Letter from Stephen Hicks to Terry Meyer (Chief Examiner, Minnesota Department of Commerce) re: response to Minnesota Report of Examination, dated November 21, 2002                               | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)         |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start  | Bates End    | Document Date | Document Title/Description  | Plaintiff's Objections   | Defendants' Responses to Objection   |
|---------|--------------|--------------|---------------|---|--|--|
| DX0205  |              |              | 2/27/2009     | "ViewPoint: Use Receivership to Restore Confident", Ghiglieri & Krasne, American Banker                                 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 801(c)<br>Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0206  | HHS 02483587 | HHS 02483587 |               | Video: HFC Managing Trust   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6), 801(c)   |
| DX0207  | HHS 02483593 | HHS 02483593 |               | Video: Household International HFC/Beneficial "The Home Equity Advantage"   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6)   |
| DX0208  | HHS 02889373 | HHS 02889385 |               | Consumer Lending: Human Resources & Training Presentation   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6), 801(c)   |
| DX0209  | HHS 02905385 | HHS 02905394 |               | Responsible Lending: Household Initiatives  | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802, 805 | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6), 801(c)   |
| DX0210  | HHS 03452300 | HHS 03452300 |               | DVD: USCF 2001 Conference, Meeting in a Box   | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 402, 403, 801, 802      | Presumptively admissible per ¶7 of the Stipulation and Proposed Order Regarding Evidentiary Issues and Scope of Trial (Dkt. 2195).<br>FRE 401, 403, 803(6), 801(c)   |
| DX0211  | HHS 03468204 | HHS 03468235 | 2001          | Household International 2001 Management's Discussion & Analysis and Financial Statements                                | FRE 401, 402, 403, 801, 802, LR 16.1, Final Pretrial Order Form, n.5   | FRE 401, 403, 803(6)   |
| DX0212  | HHS 03468236 | HHS 03468310 | 2001          | Household International 2001 Management's Discussion & Analysis and Financial Statements (Draft) with handwritten notes | FRE 401, 402, 403, 801, 802, LR 16.1, Final Pretrial Order Form, n.5   | FRE 401, 403, 803(6), 801(c)   |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start                   | Bates End          | Document Date | Document Title/Description  | Plaintiff's Objections   | Defendants' Responses to Objection   |
|---------|-------------------------------|--------------------|---------------|---|--|--|
| DX0213  | HHS 03150384                  | HHS 03150421       | 3/11/2002     | Letter from Steven L. McDonald to Audit Committee Members, dated March 11, 2002   | FRE 401, 402, 403, 801, 802, LR 16.1, Final Pretrial Order Form, n.5   | FRE 401, 403, 803(6)   |
| DX0214  | HHS 031468311                 | HHS 03468348       | 3/11/2002     | Letter from Steven L. McDonald to Audit Committee Members, dated March 11, 2002   | FRE 401, 402, 403, 801, 802, LR 16.1, Final Pretrial Order Form, n.5   | FRE 401, 403, 803(6), 801(c)   |
| DX0215  | FI-HOUSEHOLD 00228            | FI-HOUSEHOLD 00229 | 6/19/2001     | Fitch, <i>Household Home Equity Loan Trust 2001-1</i> , June 19, 2001   | FRE 401, 402, 403, 801, 802, 805, FRCP 26, LR 16.1, Final Pretrial Order Form, n.5   | FRE 401, 403, 801(c), publicly available document Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0216  | FI-HOUSEHOLD 00317            | FI-HOUSEHOLD 00317 | 5/18/2001     | "Fitch Rts Household HE Loan Trust \$716.7MM Asset-Bkd Crfs 2001-1", Alla Sirotic & Cheryl Glory, Fitch   | FRE 401, 402, 403, 801, 802, 805, FRCP 26, LR 16.1, Final Pretrial Order Form, n.5   | FRE 401, 403, 801(c); publicly available document Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0217  | WF 001021                     | WF 001024          | 6/1/2001      | Moody's Investors Service (Teicher & Workman Nonas), <i>Household Home Equity Loan Trust 2001-1 Closed-End Home Equity Loan Asset Backed Certificates, Series 2001-1</i> , June 1, 2001 | FRE 401, 402, 403, 801, 802, 805, FRCP 26, LR 16.1, Final Pretrial Order Form, n.5   | FRE 401, 403, 801(c), publicly available document Admissible for limited purpose per Joint Proposed Jury Instruction No. 15 (Dkt. 2151-20) and Court's Ruling at Pre-trial Hearing on May 31, 2016 (Tr. at 263). |
| DX0218  | HHS 03266154                  | HHS 03266207       | Oct-02        | Household International Business Unit Report October 2002 from Steve McDonald to Joe Hoff   | FRE 401, 402, 403, 801, 802, 805, LR 16.1, Final Pretrial Order Form, n.5  | FRE 401, 403, 803(6)   |
| DX0219  | PLF-G 000610                  | PLF-G 000669       |               | Glickenhause & Co. Form 13F Reports   | FRE 401, 402, 403  | FRE 401, 403   |
| DX0220  | PLF-G 000670                  | PLF-G 002097       |               | Proofs of Claim and Releases for All Accounts Managed by Glickenhause & Co.   | FRE 401, 402, 403  | FRE 401, 403   |
| DX0221  | PLF-G 002098                  | PLF-G 002140       |               | Glickenhause & Co. Account Activity in Household International  | FRE 401, 402, 403  | FRE 401, 403   |
| DX0222  | Ferrell Deposition Exhibit 16 |                    | December-92   | Scott E. Stickel, The Journal of Finance, Reputation and Performance Among Security Analysts (Abstract)   | Plaintiffs object to the late addition of this exhibit which was not disclosed in Ferrell's expert reports, was not listed on defendants' trial exhibit list pursuant to the Court's April 22, 2016 deadline and was not disclosed in response to Plaintiffs' Daubert motion and MIL No. 4. See LR 16.1.1, Fed. R. Civ. P. 26(a)(2)(B). Plaintiffs also object pursuant to FRE 401, 402, 403, 702, 703, 801, 802, 805. | Court's Ruling at Pre-trial Hearing on May 18, 2016 Tr. at 43. FRE 401, 801(c) and 803(18).  |

## Defendants' Revised Exhibit List

June 3rd, 2016

| Ex. No. | Bates Start                   | Bates End | Document Date | Document Title/Description   | Plaintiff's Objections   | Defendants' Responses to Objection  |
|---------|-------------------------------|-----------|---------------|--|--|---|
| DX0223  | Ferrell Deposition Exhibit 22 |           | December-94   | Michael Cliff and David Denis, The Journal of Finance, Do Initial Public Offering Firms Purchase Analyst Coverage with Underpricing (Abstract) | Plaintiffs object to the late addition of this exhibit which was not disclosed in Ferrell's expert reports, was not listed on defendants' trial exhibit list pursuant to the Court's April 22, 2016 deadline and was not disclosed in response to Plaintiffs' Daubert motion and MIL No. 4. See LR 16.1.1, Fed. R. Civ. P. 26(a)(2)(B). Plaintiffs also object pursuant to FRE 401, 402, 403, 702, 703, 801, 802, 805. | Court's Ruling at Pre-trial Hearing on May 18, 2016 Tr. at 43. FRE 401, 801(c) and 803(18). |
| DX0224  | Ferrell Deposition Exhibit 27 |           | 07/06/11      | Xiaoding Liu, Jay Ritter, Journal of Financial Economics, Local underwriter oligopolies and IPO underpricing, (Abstract)                       | Plaintiffs object to the late addition of this exhibit which was not disclosed in Ferrell's expert reports, was not listed on defendants' trial exhibit list pursuant to the Court's April 22, 2016 deadline and was not disclosed in response to Plaintiffs' Daubert motion and MIL No. 4. See LR 16.1.1, Fed. R. Civ. P. 26(a)(2)(B). Plaintiffs also object pursuant to FRE 401, 402, 403, 702, 703, 801, 802, 805. | Court's Ruling at Pre-trial Hearing on May 18, 2016 Tr. at 43. FRE 401, 801(c) and 803(18). |
| DX0225  | Ferrell Deposition Exhibit 20 |           | 6/26/1997     | Craig G. Dunbar, Factors Affecting Investment Bank Initial Public Offering Market Share, J. Financial Economics 55 (2002) 3-41                 | Plaintiffs object to the late addition of this exhibit which was not disclosed in Ferrell's expert reports, was not listed on defendants' trial exhibit list pursuant to the Court's April 22, 2016 deadline and was not disclosed in response to Plaintiffs' Daubert motion and MIL No. 4. See LR 16.1.1, Fed. R. Civ. P. 26(a)(2)(B). Plaintiffs also object pursuant to FRE 401, 402, 403, 702, 703, 801, 802, 805. | Court's Ruling at Pre-trial Hearing on May 18, 2016 Tr. at 43. FRE 401, 801(c) and 803(18). |
| DX0226  | Ferrell Deposition Exhibit 21 |           | 7/2/1999      | L. Krigman et al., Why do Firms Switch Underwriters?, J. financial Economics 60 (2001) 245-284   | Plaintiffs object to the late addition of this exhibit which was not disclosed in Ferrell's expert reports, was not listed on defendants' trial exhibit list pursuant to the Court's April 22, 2016 deadline and was not disclosed in response to Plaintiffs' Daubert motion and MIL No. 4. See LR 16.1.1, Fed. R. Civ. P. 26(a)(2)(B). Plaintiffs also object pursuant to FRE 401, 402, 403, 702, 703, 801, 802, 805. | Court's Ruling at Pre-trial Hearing on May 18, 2016 Tr. at 43. FRE 401, 801(c) and 803(18). |