

UNITED STATES BANKRUPTCY COURT  
 SOUTHERN DISTRICT OF FLORIDA  
 MIAMI DIVISION  
[www.flsb.uscourts.gov](http://www.flsb.uscourts.gov)

In re:

PROVIDENCE FINANCIAL  
 INVESTMENTS, INC.,

Case No. 16-20516-AJC  
 Chapter 7  
 (Jointly Administered)

PROVIDENCE FIXED INCOME FUND,  
 LLC,

Case No. 16-20517-AJC

Debtors.

\_\_\_\_\_ /

**NOTICE OF RULE 2004 EXAMINATION**

Maria Yip, the Chapter 7 Trustee (the “Trustee”), for the jointly administered estates of Providence Financial Investments, Inc. and Providence Fixed Income Fund, LLC (the “Debtors”), by and through undersigned counsel, will examine, under oath:

<b>Deponent</b>	<b>Date and Time</b>	<b>Location</b>
Kevin C. Bennett, Principal Forensic and Valuation Services Grant Thornton LLP 200 S. Sixth Street, Ste. 1400 Minneapolis, MN 55402	<b>Thursday, April 6, 2017 @ 10:00 a.m.</b>	Paradigm Reporting c/o Jeannie Reporting 527 Marquette Avenue S, Ste. 1400 Minneapolis, MN 55402

The examination may continue from day to day until completed. If the examinee receives this notice less than 14 days prior to the scheduled examination date, the examination will be rescheduled upon timely request to a mutually agreeable time.

The examination is pursuant to Bankruptcy Rule 2004 and will be taken before an officer authorized to record the testimony. The scope of the examination shall be as described in Bankruptcy Rule 2004.

Dated: March 17, 2017

Respectfully submitted,

BERGER SINGERMAN LLP  
*Counsel for the Trustee*  
1450 Brickell Avenue, Suite 1900  
Miami, FL 33131  
Tel. (305) 755-9500  
Fax (305) 714-4340

By: /s/ James D. Gassenheimer  
James D. Gassenheimer  
Florida Bar No. 959987  
[jgassenheimer@bergersingerman.com](mailto:jgassenheimer@bergersingerman.com)

**CERTIFICATE OF SERVICE**

I **HEREBY CERTIFY** that a true and correct copy of the foregoing notice and corresponding subpoena (attached hereto) was served on the 17<sup>th</sup> day of March, 2017, by electronic transmission through the Court's CM/ECF system upon all parties on the attached Electronic Mail Notice List.

/s/ James D. Gassenheimer  
James D. Gassenheimer

## Electronic Mail Notice List

The following is the list of **parties** who are currently on the list to receive email notice/service for this case.

- Eyal Berger eyal.berger@akerman.com, jeanette.martinez@akerman.com
- Sergio M Cabanas SergioCabanasLaw@aol.com, ef.cabanaslaw@yahoo.com;dkent@cabanaslawfirm.com;Jzenon@cabanaslawfirm.com
- Richard J Cole rcole3@gmail.com, rc3@colecolelaw.com
- Catherine E Douglas catherine.douglas@akerman.com, jeanette.martinez@akerman.com
- James D Gassenheimer jgassenheimer@bergersingerman.com, efile@bergersingerman.com;efile@ecf.inforuptcy.com
- Joan M Levit joan.levit@akerman.com, charlene.cerda@akerman.com
- James B Miller bkcmiami@gmail.com
- Office of the US Trustee USTPRegion21.MM.ECF@usdoj.gov
- Susan R Sherrill-Beard sherrill-beards@sec.gov, atltreorg@sec.gov;berlina@sec.gov;martinc@sec.gov
- Andrea M Stewart amstewartlaw@gmail.com
- Maria Yip trustee@yipcpa.com, myip@ecf.epiqsystems.com

UNITED STATES BANKRUPTCY COURT

Southern District of Florida

In re Providence Financial Investments, Inc., et al.  
Debtor

Case No. 16-20516-AJC

Chapter 7

**SUBPOENA FOR RULE 2004 EXAMINATION**

To: Kevin C. Bennett, Principal, Forensic & Valuation Services, Grant Thornton LLP, 200 S. Sixth St., # 1400, Minneapolis, MN 55402  
(Name of person to whom the subpoena is directed)

**Testimony:** **YOU ARE COMMANDED** to appear at the time, date, and place set forth below to testify at an examination under Rule 2004, Federal Rules of Bankruptcy Procedure and Local Rule 2004-1.

PLACE Paradigm Reporting c/o Jeannie Reporting 527 Marquette Avenue South, Ste. 1400 Minneapolis, MN 55402	DATE AND TIME <b>Thursday, April 6, 2017 @ 10:00 a.m.</b>
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The examination will be recorded by this method: Court Reporter

**Production:** You, or your representatives, must also bring with you to the examination the following documents, electronically stored information, or objects, and must permit inspection, copying, testing, or sampling of the material:

The following provisions of Fed. R. Civ. P. 45, made applicable in bankruptcy cases by Fed. R. Bankr. P. 9016, are attached – Rule 45(c), relating to the place of compliance; Rule 45(d), relating to your protection as a person subject to a subpoena; and Rule 45(e) and 45(g), relating to your duty to respond to this subpoena and the potential consequences of not doing so.

Date: March 17, 2017

CLERK OF COURT

OR

\_\_\_\_\_  
Signature of Clerk or Deputy Clerk

/s/ James D. Gassenheimer  
Attorney's signature

The name, address, email address, and telephone number of the attorney representing (name of party) Maria Yip,  
Chapter 7 Trustee who issues or requests this subpoena, are:

James D. Gassenheimer, Esq. ([jgassenheimer@bergersingerman.com](mailto:jgassenheimer@bergersingerman.com)), Berger Singerman LLP, 1450 Brickell Ave., Ste. 1900, Miami, FL 33131, Tel. 305-755-9500

**Notice to the person who issues or requests this subpoena**

If this subpoena commands the production of documents, electronically stored information, or tangible things, or the inspection of premises before trial, a notice and a copy of this subpoena must be served on each party before it is served on the person to whom it is directed. Fed. R. Civ. P. 45(a)(4).

**PROOF OF SERVICE**

**(This section should not be filed with the court unless required by Fed. R. Civ. P. 45.)**

I received this subpoena for (name of individual and title, if any): \_\_\_\_\_  
on (date) \_\_\_\_\_.

I served the subpoena by delivering a copy to the named person as follows: \_\_\_\_\_  
\_\_\_\_\_ on (date) \_\_\_\_\_ ; or

I returned the subpoena unexecuted because: \_\_\_\_\_  
\_\_\_\_\_

Unless the subpoena was issued on behalf of the United States, or one of its officers or agents, I have also tendered to the witness the fees for one day's attendance, and the mileage allowed by law, in the amount of \$ \_\_\_\_\_.

My fees are \$ \_\_\_\_\_ for travel and \$ \_\_\_\_\_ for services, for a total of \$ \_\_\_\_\_.

I declare under penalty of perjury that this information is true and correct.

Date: \_\_\_\_\_

\_\_\_\_\_  
Server's signature

\_\_\_\_\_  
Printed name and title

\_\_\_\_\_  
Server's address

Additional information concerning attempted service, etc.:

**Federal Rule of Civil Procedure 45(c), (d), (e), and (g) (Effective 12/1/13)**  
**(made applicable in bankruptcy cases by Rule 9016, Federal Rules of Bankruptcy Procedure)**

**(c) Place of compliance.**

(1) *For a Trial, Hearing, or Deposition.* A subpoena may command a person to attend a trial, hearing, or deposition only as follows:

- (A) within 100 miles of where the person resides, is employed, or regularly transacts business in person; or
- (B) within the state where the person resides, is employed, or regularly transacts business in person, if the person
  - (i) is a party or a party's officer; or
  - (ii) is commanded to attend a trial and would not incur substantial expense.

(2) *For Other Discovery.* A subpoena may command:

- (A) production of documents, or electronically stored information, or things at a place within 100 miles of where the person resides, is employed, or regularly transacts business in person; and
- (B) inspection of premises, at the premises to be inspected.

**(d) Protecting a Person Subject to a Subpoena; Enforcement.**

(1) *Avoiding Undue Burden or Expense; Sanctions.* A party or attorney responsible for issuing and serving a subpoena must take reasonable steps to avoid imposing undue burden or expense on a person subject to the subpoena. The court for the district where compliance is required must enforce this duty and impose an appropriate sanction — which may include lost earnings and reasonable attorney's fees — on a party or attorney who fails to comply.

(2) *Command to Produce Materials or Permit Inspection.*

(A) *Appearance Not Required.* A person commanded to produce documents, electronically stored information, or tangible things, or to permit the inspection of premises, need not appear in person at the place of production or inspection unless also commanded to appear for a deposition, hearing, or trial.

(B) *Objections.* A person commanded to produce documents or tangible things or to permit inspection may serve on the party or attorney designated in the subpoena a written objection to inspecting, copying, testing or sampling any or all of the materials or to inspecting the premises — or to producing electronically stored information in the form or forms requested. The objection must be served before the earlier of the time specified for compliance or 14 days after the subpoena is served. If an objection is made, the following rules apply:

- (i) At any time, on notice to the commanded person, the serving party may move the court for the district where compliance is required for an order compelling production or inspection.
- (ii) These acts may be required only as directed in the order, and the order must protect a person who is neither a party nor a party's officer from significant expense resulting from compliance.

(3) *Quashing or Modifying a Subpoena.*

(A) *When Required.* On timely motion, the court for the district where compliance is required must quash or modify a subpoena that:

- (i) fails to allow a reasonable time to comply;
- (ii) requires a person to comply beyond the geographical limits specified in Rule 45(c);
- (iii) requires disclosure of privileged or other protected matter, if no exception or waiver applies; or
- (iv) subjects a person to undue burden.

(B) *When Permitted.* To protect a person subject to or affected by a subpoena, the court for the district where compliance is required may, on motion, quash or modify the subpoena if it requires:

- (i) disclosing a trade secret or other confidential research, development, or commercial information; or

(ii) disclosing an unretained expert's opinion or information that does not describe specific occurrences in dispute and results from the expert's study that was not requested by a party.

(C) *Specifying Conditions as an Alternative.* In the circumstances described in Rule 45(d)(3)(B), the court may, instead of quashing or modifying a subpoena, order appearance or production under specified conditions if the serving party:

- (i) shows a substantial need for the testimony or material that cannot be otherwise met without undue hardship; and
- (ii) ensures that the subpoenaed person will be reasonably compensated.

**(e) Duties in Responding to a Subpoena.**

(1) *Producing Documents or Electronically Stored Information.* These procedures apply to producing documents or electronically stored information:

(A) *Documents.* A person responding to a subpoena to produce documents must produce them as they are kept in the ordinary course of business or must organize and label them to correspond to the categories in the demand.

(B) *Form for Producing Electronically Stored Information Not Specified.* If a subpoena does not specify a form for producing electronically stored information, the person responding must produce it in a form or forms in which it is ordinarily maintained or in a reasonably usable form or forms.

(C) *Electronically Stored Information Produced in Only One Form.* The person responding need not produce the same electronically stored information in more than one form.

(D) *Inaccessible Electronically Stored Information.* The person responding need not provide discovery of electronically stored information from sources that the person identifies as not reasonably accessible because of undue burden or cost. On motion to compel discovery or for a protective order, the person responding must show that the information is not reasonably accessible because of undue burden or cost. If that showing is made, the court may nonetheless order discovery from such sources if the requesting party shows good cause, considering the limitations of Rule 26(b)(2)(C). The court may specify conditions for the discovery.

(2) *Claiming Privilege or Protection.*

(A) *Information Withheld.* A person withholding subpoenaed information under a claim that it is privileged or subject to protection as trial-preparation material must:

- (i) expressly make the claim; and
- (ii) describe the nature of the withheld documents, communications, or tangible things in a manner that, without revealing information itself privileged or protected, will enable the parties to assess the claim.

(B) *Information Produced.* If information produced in response to a subpoena is subject to a claim of privilege or of protection as trial-preparation material, the person making the claim may notify any party that received the information of the claim and the basis for it. After being notified, a party must promptly return, sequester, or destroy the specified information and any copies it has; must not use or disclose the information until the claim is resolved; must take reasonable steps to retrieve the information if the party disclosed it before being notified; and may promptly present the information under seal to the court for the district where compliance is required for a determination of the claim. The person who produced the information must preserve the information until the claim is resolved.

(g) **Contempt.** The court for the district where compliance is required — and also, after a motion is transferred, the issuing court — may hold in contempt a person who, having been served, fails without adequate excuse to obey the subpoena or an order related to it.

**For Access to Subpoena Materials**

Fed. R. Civ. P. 45(a) Committee Note (2013)

- Parties desiring access to information produced in response to this subpoena will need to follow up with the party serving the subpoena to obtain such access.
- The party serving the subpoena should make reasonable provisions for prompt access.
- The court for the district where compliance with the subpoena is required has authority to order notice of receipt of produced materials or access to them.