08-01420-scc Doc 8332 Filed 02/24/14 Entered 02/24/14 18:04:43 Main Document Pg 16 of 31

## IN RE LEHMAN BROTHERS INC., CASE NO: 08-01420 (SCC) SIPA TWO HUNDRED TWELFTH OMNIBUS OBJECTION: EXHIBIT A- NO LIABILITY CLAIMS

	NAME / ADDRESS OF CLAIMANT	CLAIM NUMBER	DATE FILED	TOTAL CLAIM DOLLARS	TRUSTEE'S REASON FOR PROPOSED DISALLOWANCE
1	ALASKA PERMANENT CAP MGMT A/C CITY & BOROUGH OF JUNEAU 900 W. 5TH AVENUE SUITE 601 ANCHORAGE, AK 99501-2044	5580	6/1/2009	\$75,000.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
2	AMYLIN PHARMACEUTICALS ATTN: GREGORY CUDDEBACK, DIRECTOR - FINANCE 9360 TOWNE CENTRE DRIVE SAN DIEGO, CA 92121	4783	5/27/2009	\$6,750,000.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
3	ARBUTHNOT LATHAM & COMPANY LTD ARBUTHNOT HOUSE 20 ROPEMAKER STREET LONDON EC24 9AR UNITED KINGDOM	1556	1/26/2009	\$974,408.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
4	BAKER, JAMES R. 600 EAGLE DRIVE PINEVILLE, LA 71360	3373	2/2/2009	\$337,936.65	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
5	BANC INTERNACIONAL D ANDORRA ADELA CORTINA FABREGA AV MERITXELL, 96 ANDORRA AD500 ANDORRA	7002070	5/27/2009	UNSPECIFIED*	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
6	BENEFICIAL FINANCIAL GROUP NICK LARSEN PO BOX 11558 SALT LAKE CITY, UT 84147	7002089	5/27/2009	\$3,000,000.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
7	BENNETT, MARTIN TTEE 167TH ST PRESCRIPTION CTR INC PEN TR 219 30 STEWART ROAD HOLLIS HILLS, NY 11427	1963	1/28/2009	\$200,000.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.

<sup>\*</sup> Claim includes unspecified amounts (i.e., amounts not specified by the claimant, amounts listed in a foreign currency, unliquidated amounts and/or amounts listed as "unknown", "\$0.00\*", "unascertainable", "undetermined", or where no dollar amounts were entered in the spaces provided on the proof of claim form), or is a customer claim reclassified to a general creditor claim, which, consistent with the general creditor claims register, is listed as unspecified even where the claimant listed a specific amount on the SIPC customer claim form.

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		NUMBER	FILED	DOLLARS	DISALLOWANCE
8	BLUE CROSS AND BLUE SHIELD OF ALABAMA	7000781	1/29/2009	\$4,128,008.69	NO LEGAL OR FACTUAL JUSTIFICATION
	MARY C SMITH				FOR ASSERTING A CLAIM AGAINST LBI.
	450 RIVERCHASE PARKWAY EAST				THE CLAIMED SECURITIES WERE NOT
	BIRMINGHAM, AL 35298				ISSUED OR GUARANTEED BY LBI.
9	BNP PARIBAS SINGAPORE TRUST CORPORATION	1658	1/26/2009	\$285,794.25	NO LEGAL OR FACTUAL JUSTIFICATION
	LIMITED				FOR ASSERTING A CLAIM AGAINST LBI.
	AS TRUSTEES OF [REDACTED]				THE CLAIMED SECURITIES WERE NOT
	20 COLLYER QUAY #18-01 TUNG CENTRE				ISSUED OR GUARANTEED BY LBI.
	SINGAPORE 049319				
10	SINGAPORE CHIN, HENRY	7001077	1/30/2009	UNSPECIFIED*	NO LEGAL OR FACTUAL JUSTIFICATION
10	270 SUGAR TOMS LANE	7001077	1/30/2009	UNSPECIFIED	FOR ASSERTING A CLAIM AGAINST LBI.
	APT 1504				THE CLAIMED STOCK CONSTITUTES AN
	EAST NORWICH, NY 11732-1159				EQUITY INTEREST IN LBHI.
11	CITITRUST MF [REDACTED]	3459	2/5/2009	\$152,435.48	NO LEGAL OR FACTUAL JUSTIFICATION
11	CITITRUST SPA ISTITUTO FIDUCIARIO	3437	2/3/2007	Ψ132,τ33.τ0	FOR ASSERTING A CLAIM AGAINST LBI.
	FORO BUONAPARTE N 16				THE CLAIMED SECURITIES WERE NOT
	MILANO 20121				ISSUED OR GUARANTEED BY LBI.
	ITALY				
12	CITY LONG BEACH	7000742	1/29/2009	\$20,000,000.00	NO LEGAL OR FACTUAL JUSTIFICATION
	STEVEN T GUBNER				FOR ASSERTING A CLAIM AGAINST LBI.
	21650 OXNARD STREET, SUITE 500				THE CLAIMED SECURITIES WERE NOT
	333 WEST OCEAN BLVD				ISSUED OR GUARANTEED BY LBI.
	WOODLAND HILLS, CA 91367				
13	DANLY, BARBARA A., TTEE	585	12/30/2008	UNSPECIFIED*	NO LEGAL OR FACTUAL JUSTIFICATION
	BARBARA A DANLY TRUST DTD 10/08/90				FOR ASSERTING A CLAIM AGAINST LBI.
	7 ACADEMY LANE, APT. 123				THE CLAIMED SECURITIES WERE NOT
	TOPSHAM, ME 04086				ISSUED OR GUARANTEED BY LBI.
14	DESERET MUTUAL BENEFITS ADMINISTRATORS	7002090	5/27/2009	\$11,535,160.39	NO LEGAL OR FACTUAL JUSTIFICATION
	NICK LARSEN				FOR ASSERTING A CLAIM AGAINST LBI.
	PO BOX 11558				THE CLAIMED SECURITIES WERE NOT
1.5	SALT LAKE CITY, UT 84147	5540	6/1/2000	Ф <b>2</b> с 0 с 0 <b>2 7</b>	ISSUED OR GUARANTEED BY LBI.
15	DOROTHY SITTON TRUST, FARMERS STATE	5548	6/1/2009	\$26,068.75	NO LEGAL OR FACTUAL JUSTIFICATION
	BANK, TRUSTEE				FOR ASSERTING A CLAIM AGAINST LBI.
	C/O VICTOR J. HENSON				THE CLAIMED SECURITIES WERE NOT
	200 WEST STATE STREET				ISSUED OR GUARANTEED BY LBI.
	JACKSONVILLE, IL 62650				

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	NAME ADDRESS OF CLAIMANT	NUMBER	FILED	DOLLARS	DISALLOWANCE
16	ELLIOT COMMON TRUST FUND LLC	2432	1/29/2009	\$600,000.00	NO LEGAL OR FACTUAL JUSTIFICATION
	CHRIS ANGIULO				FOR ASSERTING A CLAIM AGAINST LBI.
	ELLIOT FINANCIAL SERVICES				THE CLAIMED SECURITIES WERE NOT
	1070 HOLT AVE				ISSUED OR GUARANTEED BY LBI.
	MANCHESTER, NH 03109-5603				
17	FRADIN, RUSSELL P. & JUDITH B., TEN IN COM	2999	1/30/2009	\$450,000.00	NO LEGAL OR FACTUAL JUSTIFICATION
	200 OLD GREEN BAY ROAD				FOR ASSERTING A CLAIM AGAINST LBI.
	WINNETKA, IL 60093-1561				THE CLAIMED SECURITIES WERE NOT
					ISSUED OR GUARANTEED BY LBI.
18	HALCO INVESTMENTS L.C.	2430	1/29/2009	\$450,000.00	NO LEGAL OR FACTUAL JUSTIFICATION
	ATTN: HALPERIN, BARRY				FOR ASSERTING A CLAIM AGAINST LBI.
	500 SOUTHEAST FIFTH AVE.				THE CLAIMED SECURITIES WERE NOT
	PENTHOUSE 01				ISSUED OR GUARANTEED BY LBI.
	BOCA RATON, FL 33432				
19	HAUN, JOHN M	185	12/15/2008	\$2,678.23	NO LEGAL OR FACTUAL JUSTIFICATION
	181 CORONADO AVENUE				FOR ASSERTING A CLAIM AGAINST LBI.
	SAN CARLOS, CA 94070-2805				THE CLAIMED SECURITIES WERE NOT
					ISSUED OR GUARANTEED BY LBI.
20	IRRONI, JONATHAN	9007076	1/26/2009	UNSPECIFIED*	NO LEGAL OR FACTUAL JUSTIFICATION
	18 ASAEL ST				FOR ASSERTING A CLAIM AGAINST LBI.
	TEL-AVIV 69083				THE CLAIMED SECURITIES WERE NOT
	ISRAEL				ISSUED OR GUARANTEED BY LBI.
21	KOSS, JAN DEDEKA	789	1/9/2009	\$76,568.00	NO LEGAL OR FACTUAL JUSTIFICATION
	2031 HARMON TOWERS				FOR ASSERTING A CLAIM AGAINST LBI.
	SECAUCUS, NJ 07094				THE CLAIMED SECURITIES WERE NOT
					ISSUED OR GUARANTEED BY LBI.
22	LANIFICIO EUROPA S.N.C. DI PIERO	7002211	5/27/2009	\$1,412,828.48	NO LEGAL OR FACTUAL JUSTIFICATION
	E LUIGI GUARDUCCI				FOR ASSERTING A CLAIM AGAINST LBI.
	MAURIZIO AVV. NARDI				THE CLAIMED SECURITIES WERE NOT
	VIALE DELLA REPUBBLICA N. 235				ISSUED OR GUARANTEED BY LBI.
	PRATO, PO 59100				
	ITALY				
23	LIM, MDM PEK TIN AND KIM KEE YAP	7001986	5/25/2009	\$172,413.79	NO LEGAL OR FACTUAL JUSTIFICATION
	59G DUKU ROAD				FOR ASSERTING A CLAIM AGAINST LBI.
	SINGAPORE 429222				THE CLAIMED SECURITIES WERE NOT
	SINGAPORE				ISSUED OR GUARANTEED BY LBI.

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24	LUDWIG, GARY K. 14836 PRAIRIE LAKE DR PERRYSBURG, OH 43551-8852	839	1/9/2009	\$25,000.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
25	MORRIS, DAVID 2016 PACIFIC AVENUE, APT. 301 SAN FRANCISCO, CA 94109-2258	4336	4/17/2009	\$25,753.85	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
26	MT. WASHINGTON CO-OP 455 WEST BROADWAY SOUTH BOSTON, MA 02127	4158	3/12/2009	\$178,000.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
27	NATIONAL FINANCIAL COMPANY PENSION DTD 1/1/1998 20 PINEWOOD BLVD - SUITE #3 PO BOX 18185 MUNDS PARK, AZ 86017	1607	1/26/2009	\$630,636.95	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
28	NATIONAL FINANCIAL COMPANY 20 PINEWOOD BLVD SUITE 3 PO BOX 18185 MUNDS PARK, AZ 86017-8185	1657	1/26/2009	\$639,705.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
29	NLC MUTUAL INSURANCE COMPANY MICHAEL EUGENE MCCORD ATTN MICHAEL MCCORD 1301 PENNSYLVANIA NW SUITE 550 WASHINGTON, DC 20004	7000363	1/12/2009	\$1,543,125.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
30	OHIO NATIONAL LIFE ASSURANCE CORPORATION, THE ONE FINANCIAL WAY CINCINNATI, OH 45242	4438	5/6/2009	\$1,000,000.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
31	OHIO NATIONAL LIFE INSURANCE COMPANY, THE ONE FINANCIAL WAY CINCINNATI, OH 45242	4437	5/6/2009	\$2,000,000.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.

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32	PANAGEAS, SAM S AND KATHERINE S JTWROS 126 SILVER SPRING ROAD RIDGEFIELD, CT 06877-5415	7000780	1/29/2009	\$200,000.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
33	PARET, FRITZ 17954 SW 35 ST MIRAMAR, FL 33029	1189	1/20/2009	\$116,015.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
34	PEOPLE'S UNITED BANK 2 BURLINGTON SQUARE ATTN: TRUST DEPT BURLINGTON, VT 05401	2737	1/30/2009	\$1,915,231.15	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
35	PHILIPS, PHILLIP B. JR. 3728 PHILLIPS HWY, SUITE 219 JACKSONVILLE, FL 32207-6880	3190	1/30/2009	\$200,000.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
36	RABITZ, ARTHUR A, TTEE GLADYS R RABITZ TTEE ARTHUR A RABITZ AND GLADYS R RABITZ TRUST DTD 07/22/1988 18315 DAVES AVENUE LOS GATOS, CA 95030-3113	657	1/5/2009	\$54,837.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITY REPRESENTS A DEPOSIT AGREEMENT WITH LEHMAN BROTHERS BANK FSB, SUBSEQUENTLY KNOWN AS AURORA BANK FSB, NOT LBI.
37	ROTMAN, MARVIN - ACF DAVID Z. ROTMAN U/NY/UGMA 94 KINGSPOINT ROAD KINGSPOINT, NY 11024-1303	2197	1/29/2009	\$67,585.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
38	ROTMAN, MARVIN IRA ROLLOVER CUSTODIAN 94 KINGSPOINT ROAD KINGSPOINT, NY 11024-1303	2190	1/29/2009	\$786,820.77	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
39	SHINKONG INSURANCE CO., LTD 5-12/F, NO 15 CHIENKUO N ROAD SEC 2 TAIPEI 104 TAIWAN	7000181	12/22/2008	\$2,030,666.66	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED SECURITIES WERE NOT ISSUED OR GUARANTEED BY LBI.
40	SICA, SUSAN 364 95TH STREET APT. 1A BROOKLYN, NY 11209	7001324	3/20/2009	\$7,086.00	NO LEGAL OR FACTUAL JUSTIFICATION FOR ASSERTING A CLAIM AGAINST LBI. THE CLAIMED STOCK CONSTITUTES AN EQUITY INTEREST IN LBHI.

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41	THIRD STAGE INVESTMENT GRP	1089	1/16/2009	\$250,000.00	NO LEGAL OR FACTUAL JUSTIFICATION
	A/C [REDACTED]				FOR ASSERTING A CLAIM AGAINST LBI.
	1326 BELLEVUE WAY NE#6				THE CLAIMED SECURITIES WERE NOT
	BELLEVUE, WA 98004-3685				ISSUED OR GUARANTEED BY LBI.
42	TOKYO SHOKENGYO KENKO-HOKEN KUMIAI	3442	2/4/2009	\$9,983,358.00	NO LEGAL OR FACTUAL JUSTIFICATION
	NIHON BASHI KAYABACHO				FOR ASSERTING A CLAIM AGAINST LBI.
	CHOO-KU				THE CLAIMED SECURITIES WERE NOT
	TOKYO				ISSUED OR GUARANTEED BY LBI.
	JAPAN				
43	WALSH, JOHN L AND PATRICIA M	3536	2/9/2009	\$69,057.87	NO LEGAL OR FACTUAL JUSTIFICATION
	JTWROS				FOR ASSERTING A CLAIM AGAINST LBI.
	1504 E GRAND OAK LANE				THE CLAIMED SECURITIES WERE NOT
	WEST CHESTER, PA 19380-5911				ISSUED OR GUARANTEED BY LBI.
44	WILLIAMS, LORELEI IMA	1924	1/28/2009	\$100,000.00	NO LEGAL OR FACTUAL JUSTIFICATION
	HARRIS N.A.				FOR ASSERTING A CLAIM AGAINST LBI.
	111 W. MONROE ST FLOOR 111/LLE				THE CLAIMED SECURITY REPRESENTS A
	ATTN: MINA GARCIA				DEPOSIT AGREEMENT WITH LEHMAN
	CHICAGO, IL 60603				BROTHERS BANK FSB, SUBSEQUENTLY
					KNOWN AS AURORA BANK FSB, NOT LBI.
45	ZUNINO, F. ANTHONY	7000405	1/20/2009	\$12,893.98	NO LEGAL OR FACTUAL JUSTIFICATION
	311 WEST 43RD STREET				FOR ASSERTING A CLAIM AGAINST LBI.
	NEW YORK, NY 10036				THE CLAIMED STOCK CONSTITUTES AN
					EQUITY INTEREST IN LBHI.
	Total			\$72,465,072.94	-

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