

# Exhibit A

**Shields, Kathleen (BRO)**

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**From:** Tito Garza <cargar28cargar@gmail.com>  
**Sent:** Monday, August 03, 2015 10:34 AM  
**To:** Shields, Kathleen (BRO)  
**Cc:** Lundgren, Gretchen  
**Subject:** Re: In the Matter of GAW Miners, LLC, File No. B-2979

Thank you so much Miss Shields, I look forward to meeting you then.

Have a great week.

-Carlos

On Mon, Aug 3, 2015 at 9:08 AM, Shields, Kathleen (BRO) <[ShieldsKa@sec.gov](mailto:ShieldsKa@sec.gov)> wrote:

Dear Mr. Garza –

I am willing to give you one final extension in order that you may attempt to retain an attorney. I will extend your testimony date until next Wednesday, August 12, at 9:30 am, but that is the final extension to which I will agree. If you are unable to retain counsel by that time, we will see you then on your own.

- Kathy Shields

**From:** Tito Garza [<mailto:cargar28cargar@gmail.com>]  
**Sent:** Friday, July 31, 2015 8:46 PM

**To:** Shields, Kathleen (BRO)  
**Cc:** Lundgren, Gretchen  
**Subject:** Re: In the Matter of GAW Miners, LLC, File No. B-2979

Hi Miss Shields,

Thank you for clarifying for me. Unfortunately I've been through a few phones since my position with GAW and was not allowed to keep my company computer when I left. I also don't recall using my personal email for business matters. I will bring my 1099 when we meet.

On another note, I have continued to work hard at obtaining counsel and while I have applied for many state assistance programs to reduce my cost I have yet to acquire an attorney. I am hoping that I may ask for another extension? Please understand that I've never dealt with anything like this and I'm taking it very seriously and just want to ensure I take the proper steps in working through this and putting it behind me.

Thank you for your consideration, have a great weekend.

Kind Regards,

Carlos

On Mon, Jul 27, 2015 at 9:46 AM, Shields, Kathleen (BRO) <[ShieldsKa@sec.gov](mailto:ShieldsKa@sec.gov)> wrote:

Hello Mr. Garza –

Yes, we would like a copy of your 1099. You can either bring it with you to testimony, or scan it and email it to me.

As for other documents that would be responsive to the subpoena, did you ever conduct company business through your own email account, or using your own phone or computer? If so, there are likely documents stored there that should be produced.

Finally, please fill out the background questionnaire that was attached to your subpoena and bring it with you when you come to testify. That will help us get through the background section of our questions more quickly.

I look forward to meeting you on August 4.

- Kathy Shields

**From:** Tito Garza [<mailto:cargar28cargar@gmail.com>]  
**Sent:** Friday, July 24, 2015 6:16 PM  
**To:** Shields, Kathleen (BRO)  
**Cc:** Lundgren, Gretchen  
**Subject:** Re: In the Matter of GAW Miners, LLC, File No. B-2979

Hi Miss Shields,

Thank you very much for the extension. Regarding the subpoena, when I no longer have access to my company email and due to company policy that forbid me to take any important documents of the company I do not have any records outside of my personal 1099. Is that something you would like me to send over?

Thanks for your help.

Cheers,

Carlos

On Tue, Jul 21, 2015 at 2:14 PM, Shields, Kathleen (BRO) <[ShieldsKa@sec.gov](mailto:ShieldsKa@sec.gov)> wrote:

Dear Mr. Garza –

Thank you for getting in touch with me to discuss your testimony at the SEC, which is currently scheduled for next Tuesday, July 28 at 9:30 am. I am willing to postpone your testimony for one week, until August 4, 2015, to allow you additional time to retain counsel. If you retain counsel, please have that person contact me. Unless I hear from you otherwise, I will expect to see you on August 4.

Also, the documents that we subpoenaed from you were due on July 14. Please let me know when you will produce those documents. If you have technical questions about how to do that, please let me know what types of documents you have and I can get you information on how to produce materials to us.

In case you have misplaced it, another copy of your subpoena is attached to this email.

Regards,

Kathy Shields

Kathleen Burdette Shields  
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Boston, MA 02110  
Telephone: (617) 573-8904  
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[shieldska@sec.gov](mailto:shieldska@sec.gov)

**From:** Tito Garza [<mailto:cargar28cargar@gmail.com>]  
**Sent:** Monday, July 20, 2015 9:11 PM  
**To:** Shields, Kathleen (BRO)  
**Subject:** In the Matter of GAW Miners, LLC, File No. B-2979

Dear Ms Shields,

I am in receipt of your subpoena asking for my testimony at the Commission's office in Boston on July 1, 2015.

Unfortunately, due to my financial resources at the present time, I have not been able to obtain legal council to represent me in time for the requested date. I kindly ask you grant me an extension to allow me the time to gather the resources I need to be represented by legal council.

Best Regards,

Carlos Garza