

**IN THE SUPREME COURT OF THE STATE OF NEVADA**

Case Nos. 79425 and 79526

ATHANASIOS SKARPELOS, AN INDIVIDUAL

Appellants,

v.

WEISER ASSET MANAGEMENT, LTD., A BAHAMAS COMPANY AND  
WEISER (BAHAMAS) LTD., A BAHAMAS COMPANY,

Respondents.

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WEISER ASSET MANAGEMENT, LTD., A BAHAMAS COMPANY AND  
WEISER (BAHAMAS) LTD., A BAHAMAS COMPANY

Appellants,

v.

ATHANASIOS SKARPELOS, AN INDIVIDUAL,

Respondent.

Appeal from the Judgment of the Second Judicial District Court, Washoe County  
District Court Case No.: CV15-02259  
Second Judicial District Court of the State of Nevada  
In and For the County of Washoe

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VOLUME 6**

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Notice of Appeal	8/15/2019	13	JA2595- JA2615
Notice of Cross-Appeal	8/29/2019	13	JA2634- JA2655
Notice of Entry of Judgment (Findings of Fact, Conclusions of Law and Judgment)	4/22/2019	11	JA2168- JA2181
Notice of Entry of Order (Order Denying Motion for Reconsideration)	11/18/2019	14	JA2670- JA2681
Notice of Entry of Order (Order Denying Motion to Alter or Amend Judgment)	8/9/2019	13	JA2572- JA2582
Notice of Entry of Order (Order Granting in Part and Denying in Part Motion to Retax Costs)	8/9/2019	13	JA2555- JA2571
Notice of Entry of Order (Order Granting Motion for Attorneys' Fees)	8/9/2019	13	JA2583- JA2594

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Order Denying Motion for Reconsideration	10/24/2019	13	JA2663-JA2669
Order Denying Motion to Alter or Amend Judgment	8/6/2019	13	JA2539-JA2544
Order Denying Skarpelos' Motion in Limine	6/29/2018	3	JA0616-JA0622
Order Granting in Part and Denying in Part Motion to Retax Costs	8/6/2019	13	JA2527-JA2538
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Reply in Support of Skarpelos' Motion to Alter or Amend Judgment	6/7/2019	13	JA2519- JA2526
Reply in Support of Weiser's Motion for Reconsideration for Attorney's Fees Award	9/10/2019	13	JA2656- JA2662
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Skarpelos' Motion to Alter or Amend Judgment	4/25/2019	11	JA2183- JA2248
Skarpelos' Objections to Weiser's Pretrial Disclosures	1/11/2019	4	JA0630- JA0635
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Transcript of Proceedings - Trial - Day 1	1/28/2019	7	JA1272- JA1423
Transcript of Proceedings - Trial - Day 2	1//29/2019	7; 8	JA1425- JA1470; JA1471- JA1557
Transcript of Proceedings 02/06/2019	2/6/2019	10	JA1914- JA1950
Trial Exhibit 1, Anavex Life Sciences Corp. Share Certificate 0753 for 6,633,332 shares (WEISER000281)	1/28/2019	6	JA1135- JA1136
Trial Exhibit 11, MHNYMA Swift-Single Customer Credit Transfer (WEISER000346)	1/31/2019	9	JA1716- JA1717
Trial Exhibit 12, 12/21/2012 email Lambros Pedafronimos L. Pedaf@gmail.com to Christos Livadas (WEISER000345)	1/31/2019	9	JA1718- JA1719
Trial Exhibit 13, 1/10/2013 Corporate Indemnity to Nevada Agency and Transfer Company to Reissuance of Lost Certificate (S000007)	1/28/2019	6	JA1160- JA1161

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Trial Exhibit 14, 3/28/2013 Athanasios Skarpelos Affidavit for Lost Stock Certificate (S000008-S000009)	1/28/2019	6	JA1162- JA1164
Trial Exhibit 15, 3/29/2013 Athanasios Skarpelos Stop Transfer Order (S000010)	1/28/2019	6	JA1165- JA1166
Trial Exhibit 16, 4/4/2013 NATCO Transfer (S000011)	1/28/2019	6	JA1167- JA1168
Trial Exhibit 18, 4/26/2013 email Lambros Pedafronimos L.Pedaf@gmail.com to Christos Livadas (WEISER000338)	1/31/2019	9	JA1720- JA1721
Trial Exhibit 19, 5/09/2013 email Lambros Pedafronimos L.Pedaf@gmail.com to Christos Livadas (WEISER000312)	1/31/2019	9	JA1722- JA1723
Trial Exhibit 2, WAM New Account Opening Form (WEISER000352-361)	1/28/2019	6	JA1137- JA1147
Trial Exhibit 20, 5/24/2013 email Lambros Pedafronimos L.Pedaf@gmail.com to Christos Livadas (WEISER000340)	1/28/2019	6	JA1169- JA1170
Trial Exhibit 21, 06/24/2013 Email Christos Livadas Lambros to Pedafronimos L.Pedaf@gmail.com (S000012)	1/28/2019	6	JA1171- JA1172

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Trial Exhibit 22, 06/24/2013 Email Lambros Pedafronimos L.Pedaf@gmail.com to Christos Livadas (S000013)	1/28/2019	6	JA1173- JA1174
Trial Exhibit 23, 06/24/2013 Email Christos Livadas Lambros to Pedafronimos L.Pedaf@gmail.com (S000014)	1/28/2019	6	JA1175- JA1176
Trial Exhibit 24, 06/24/2013 Email Lambros Pedafronimos L.Pedaf@gmail.com to Christos Livadas (S000015)	1/28/2019	6	JA1177- JA1178
Trial Exhibit 25, 06/24/2013 Email Lambros Pedafronimos L.Pedaf@gmail.com to Christos Livadas (WEISER000333-000337)	1/28/2019	6	JA1179- JA1184
Trial Exhibit 26, 06/25/2013 Email Lambros Pedafronimos L.Pedaf@gmail.com to Christos Livadas (S000016)	1/28/2019	6	JA1185- JA1186
Trial Exhibit 27, 07/02/2013 Lambros Pedafronimos L.Pedaf@gmail.com to Christos Livadas (S000017)	1/28/2019	6	JA1187- JA1188
Trial Exhibit 28, 07/02/2013 Christos Livadas Lambros to Pedafronimos L.Pedaf@gmail.com (S000018)	1/28/2019	6	JA1189- JA1190

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Trial Exhibit 29, 07/03/2013 Lambros Pedafronimos L.Pedaf@gmail.com to Christos Livadas (S000019)	1/28/2019	6	JA1191- JA1192
Trial Exhibit 3, Letter dated October 30, 2015 from Montello Law Firm to NATCO (WEISER000002-WEISER000003)	1/28/2019	6	JA1148- JA1150
Trial Exhibit 30, 07/05/2013 Stock Sale and Purchase Agreement between Weiser and Skarpelos (WEISER000207-WEISER000209)	1/28/2019	6	JA1193- JA1196
Trial Exhibit 31, 07/09/2013 Lambros Pedafronimos L.Pedaf@gmail.com to Christos (S000020)	1/28/2019	6	JA1197- JA1198
Trial Exhibit 32, 07/09/2013 Blank Stock Sale and Purchase Agreement signed by Skarpelos (WEISER000161-WEISER000163)	1/28/2019	6	JA1199- JA1202
Trial Exhibit 33, 7/09/2013 Email Lambros Pedafronimos L.Pedaf@gmail.com to Christos Livadas (WEISER000328-WEISER000332)	1/28/2019	6	JA1203- JA1208
Trial Exhibit 34, Blank Stock Sale and Purchase Agreement (WEISER000156-WEISER000158)	1/28/2019	6	JA1209- JA1212

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Trial Exhibit 35, 07/12/2013 Power of Attorney to Transfer Bonds or Shares (WEISER000368)	1/28/2019	6	JA1213- JA1214
Trial Exhibit 36, 07/12/2013 Power of Attorney to Transfer Bonds or Shares (WEISER000369)	1/28/2019	6	JA1215- JA1216
Trial Exhibit 40, 10/28/2013 Email Tom Skarpelos and Christos Livadas (WEISER000339)	1/28/2019	6	JA1217- JA1218
Trial Exhibit 43, 12/31/2013 Weiser Skarpelos Statement of Account for February 1, 2013 - December 31, 2013 (WEISER000378-WEISER000380)	1/28/2019	6	JA1219- JA1222
Trial Exhibit 44, Duplicate copy of 12/31/2013 Weiser Skarpelos Statement of Account for February 1, 2013 - December 31, 2013 (WEISER000378-WEISER000380)	1/28/2019	6	JA1223- JA1226
Trial Exhibit 46, 11/02/2015 Letter Ernest A. Alvarez to Nevada Agency and Transfer Company Weiser Asset Management Ltd. (WEISER000004)	1/28/2019	6	JA1227- JA1228
Trial Exhibit 47, 11/03/2015 Letter Alexander H. Walker III to Ernest A. Alvarez (WEISER000001)	1/28/2019	6	JA1229- JA1230

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Trial Exhibit 48, 11/12/2015 Letter Elias Soursos, Weiser Asset Management Ltd. to NATCO (WEISER000011)	1/28/2019	6	JA1231- JA1232
Trial Exhibit 49, 11/12/2015 Letter Bernard Pinsky to Nevada Agency and Transfer Company (WEISER000007-WEISER000008)	1/28/2019	6	JA1233- JA1235
Trial Exhibit 50, 11/12/2015 Email Christos Livadas to Nick Boutasalis (WEISER 000214-WEISER000215)	1/28/2019	6	JA1236- JA1238
Trial Exhibit 51, 11/13/2015 Letter Ernesto A. Alvarez to Alexander Walker III, Esq. (WEISER000009)	1/28/2019	6	JA1239- JA1240
Trial Exhibit 52, 11/13/2015 Letter Ernesto A. Alvarez to Nevada Agency and Transfer Company (WEISER000005)	1/28/2019	6	JA1241- JA1242
Trial Exhibit 53, 11/13/2015 email Alexander H. Walker III to Ernesto A. Alvarez cc Amanda Cardinelli (WEISER000187-WEISER000189)	1/28/2019	6	JA1243- JA1246
Trial Exhibit 54, 11/13/2015 Letter Nick Boutasalis to NATCO (PID-00045-PID-00048)	1/28/2019	6	JA1247- JA1251

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Trial Exhibit 55, 11/16/2015 letter to Ernesto A. Alvarez to Alexander Walker III, Esq., (WEISER000012)	1/28/2019	6	JA1252- JA1253
Trial Exhibit 56, 11/17/2015 email Bill Simonitsch to Louis R. Montello cc Ernesto Alvarez (WEISER000238)	1/28/2019	6	JA1254- JA1255
Trial Exhibit 57, 11/18/2015 email Bill Simonitsch and Ernesto A. Alvarez (WEISER000216-WEISER000217)	1/28/2019	6	JA1256- JA1258
Trial Exhibit 58, 11/19/2015 Email bill Simonitsch and Ernesto A. Alvarez cc Louis Montello (WEISER000218-WEISER000219)	1/28/2019	7	JA1259- JA1261
Trial Exhibit 59, 11/19/2015 Email Christos Livadas re Tom Transfer request (WEISER000320-WEISER000322)	1/28/2019	7	JA1262- JA1265
Trial Exhibit 60, 11/19/2015 email Christos Livadas re Skarpelos Email flow 2011-2013 (WEISER000341-WEISER000343)	1/28/2019	7	JA1266- JA1269
Trial Exhibit 61, Bank documents (S000032-S000035)	1/30/2019	7	JA1560- JA1564
Trial Exhibit 7, 05/30/2011 Email between Athanasios Skarpelos and Howard Daniels re Courier Address for WAM, Ltd. (S000006)	1/28/2019	6	JA1151- JA1152

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Trial Exhibit 8, 05/31/2011 Skarpelos Identify Verification Form with Supporting Documents (WEISER000362-WEISER00367)	1/28/2019	6	JA1153- JA1159
Verified Memorandum of Costs and Disbursements	4/25/2019	11	JA2363- JA2443
Weiser's Motion for Reconsideration of Attorney's Fee Award (Request for Oral Argument)	8/19/2019	13	JA2616- JA2623
Weiser's Opposition to Motion to Compel	8/14/2017	1	JA0134- JA0137
Weiser's Opposition to Skarpelo's Motion for Attorney's Fees	5/24/2019	12	JA2502- JA2508
Weiser's Opposition to Skarpelos' Motion for Summary Judgment	4/12/2018	3	JA0466- JA0583
Weiser's Opposition to Skarpelos' Motion in Limine	4/12/2018	2; 3	JA0353- JA0420; JA0421- 0465
Weiser's Answer and Cross Claim	5/24/2016	1	JA0058- JA0070
Weiser's Answer to Skarpelos' Cross-Claim	6/15/2016	1	JA0071- JA0074

No action taken by "WAM" nor any failure to take action or exercise any right, remedy or power available under this Agreement or otherwise shall be deemed to constitute a waiver or other modification of any of "WAM"'s rights, remedies or powers. This Agreement is subject to modification only by a further agreement in writing between "WAM" and the customer.

All investment decisions are made solely by the customer. Notwithstanding anything in this Agreement, "WAM" accepts no responsibility whatsoever for and shall in no circumstances be liable to the Customer in connection with such decisions.

You may close your Account at any time by providing written notice. "WAM" may close your Account at any time for any reason. Closing the Account will not affect the rights and obligations of either party incurred prior to the date the Account is closed. You will reimburse "WAM" for the cost of collection of any debit balance or deficiency in connection with any of your Accounts including reasonable attorney's fees and court costs. "WAM" will retain the authority to complete any transaction that may be pending at the time your Account is closed, without regard to the reason for the Account being closed.

"WAM" may assign its rights and duties under this Agreement to any of its subsidiaries or affiliates without prior notice; or to any other entity upon prior notice to you.

You understand and agree that the terms and conditions that your account are subject to may change from time to time, as published by "WAM". Notice of amendments to this agreement may be made either by delivery of notice to any address, facsimile number or electronic email address which appears on "WAM" records; or by noting on "WAM" Client Statements, whether statements are delivered by mail, fax, email, or Online Access.

The headings of each provision of this Agreement are for descriptive purposes only and shall not be deemed to modify or qualify any of the rights or obligations set forth in each such provision. The above stated rights of "WAM" are severable. In the event that one or more is unenforceable, such unenforceability shall not affect the whole.

#### 16. Jurisdiction

This Agreement shall be governed by and construed in accordance with the laws of The Bahamas, and the customer hereby irrevocably agrees that any legal suit, action or proceeding brought by him against "WAM" shall be brought in the courts of The Bahamas. The customer hereby accepts and irrevocably submits to the jurisdiction of the said courts and acknowledges their competence and agrees to be bound by any judgement thereof, provided that nothing herein shall limit "WAM"'s right to bring proceedings against the customer elsewhere.



Message

**From:** Christos [/O=CL/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=CHRISTOS]  
**Sent:** 7/6/2012 9:49:05 PM  
**To:** Laurine Luo [/O=CL/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=Laurineluo]  
**Subject:** Re: 答复: Travel Itinerary Athanasios Skarpelos

Hi Laurine,

Yes, Next sunday. :-)

Athens-Singapore on 13th looks perfect except we need to check business class pricing (note in the itinerary Lambros sent it is biz class, and he says it was \$4000).

Let me know biz class pricing for the singapore one and the munich one asap.

Cheers,  
Christos

---

**From:** Laurine Luo  
**To:** Christos  
**Sent:** Fri Jul 06 23:30:42 2012  
**Subject:** 答复: Travel Itinerary Athanasios Skarpelos

Hi Christos,

When you said "needs to arrive Zhuhai by this Sunday" is it means he needs to come by tomorrow? in that case, I will be in big trouble because I didn't get you the quotation yesterday....

And the flight quotation from 7<sup>th</sup> July to 24<sup>th</sup> July is \$1463.

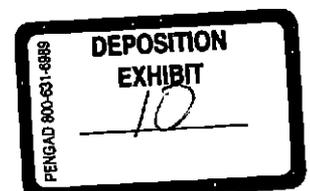
If he come on next Sunday from 13<sup>th</sup> July to 24<sup>th</sup> July (almost schedule as he showed as below), and the best quotation I can get is \$1014, it is Singapore Air, and good layover time, can catch the ferry from HK.

The schedule as Lambros showed as below, the best price I can get is \$1890.

Please feel free to check more details as attachment and kindly advise.

Best regards,

Laurine



JA1052  
WEISER000347

发件人: Christos [mailto:[christos@bizex.bz](mailto:christos@bizex.bz)]  
发送时间: 2012年7月5日 星期四 21:22  
收件人: Laurine Luo  
主题: Re: Travel Itinerary Athanasios Skarpelos

Summary: Tom is departing Athens, Greece, and needs to arrive Zhuhai by this Sunday.  
And then return to Athens 23rd +/- 1 day.

Cheers,  
Christos

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**From:** Lambros Pedafronimos  
**To:** Laurine Luo  
**Cc:** Athanasios Skarpelos; Christos  
**Sent:** Thu Jul 05 08:59:19 2012  
**Subject:** Travel Itinerary Athanasios Skarpelos

Hi Laurine,

Please find below the travel dates as well as the recommended itinerary for Athanasios Skarpelos.

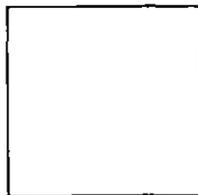
**Fri Jul/13/2012 - Departure**

**1 stop Total travel time : 15h 25m**



- Athens
  - ATH 7:00pm
  - Lufthansa 1753
  - Business (D) [Seat Preview](#)
  - Airbus A321
  - Munich
  - MUC 8:35pm
  - Terminal 2
- 2h 35m  
944 miles

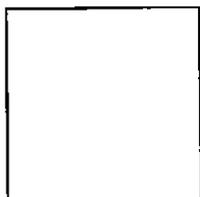
Layover: 1h 40m



- Munich
  - MUC 10:15pm
  - Terminal 2
  - Lufthansa 730
  - Business (D) [Seat Preview](#)
  - AIRBUS INDUSTRIE A340-600
  - Hong Kong
  - HKG 3:25pm + 1 day
  - Terminal 1
  - Arrives on Sat Jul/14/2012
- 11h 10m  
5,626 miles

Wed Jul/25/2012 - Return

1 stop Total travel time : 17h 45m



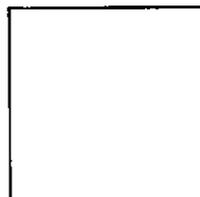
- Hong Kong
- HKG 11:30pm
- Terminal 1

- Munich
- MUC 5:45am + 1 day
- Terminal 2

12h 15m  
5,626 miles

- Lufthansa 731
- Business (Z) [Seat Preview](#)
- AIRBUS INDUSTRIE A340-600

Layover: 3h 10m



- Munich
- MUC 8:55am
- Terminal 2

- Athens
- ATH 12:15pm

2h 20m  
944 miles

- Lufthansa 1750
- Business (Z) [Seat Preview](#)

Best Regards,

--

Lambros Pedafronimos

**CORPORATE INDEMNITY**  
To  
**NEVADA AGENCY AND TRANSFER COMPANY**  
**FOR REISSUANCE OF LOST CERTIFICATE**

WHEREAS ANAVEX LIFE SCIENCES (hereinafter "the Company") has requested that a duplicate certificate of stock for shares of common stock of this company be issued in replacement of the original certificate 660 & 753 (hereinafter "Original Certificate"), which has been LOST; and

Whereas, Stockholder has not furnished a bond, the Company desires to replace said certificate without bond, and the Company agrees to indemnify Nevada Agency and Transfer Company (hereinafter "NATCO") against any and all costs, damages, actions, expenses, and attorney's fees which might result from the issuance of a duplicate certificate to replace the original certificate; and

Whereas, the Company acknowledges that pursuant to Sections 8-405 and 8-210 of the Uniform Commercial Code, should the original certificate ever be properly presented for transfer by a protected purchaser, NATCO may be required to transfer and reissue said original certificate and the Company will be required to take the appropriate actions under Article 8 of the Uniform Commercial Code, and/or the Securities Act of 1933, as amended, including, but not limited to, purchasing an equivalent number of shares in the public market for cancellation or registering such shares under the Securities Act of 1933, as amended,

NOW, THEREFORE, the Board of Directors of the Company has adopted the following resolutions;

**RESOLVED:** that NATCO be authorized and directed to issue a new stock certificate representing 6,725,832 shares of the common stock of the Company in place of the Original Certificate in the name of Athanasios Skarpelos.

**AND IT FURTHER BE RESOLVED:** that, should the Original Certificate ever be properly presented for transfer, NATCO is hereby instructed to transfer and reissue such certificate and the Company agrees that it will take the appropriate actions in regards to such certificate under the Uniform Commercial Code and/or the Securities Act of 1933, as amended.

**AND IT LASTLY BE RESOLVED** that the Company hereby agrees to indemnify NATCO against any and all costs, damages, actions, expenses, and attorney's fees which might result from the issuance of a duplicate certificate to replace the original certificate or the transfer and reissuance of the Original Certificate should it ever be properly presented for transfer.

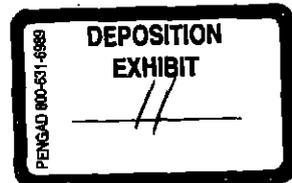
The below Officer of the Company hereby certify that the above resolutions were adopted by the Board of Directors of the Company on JAN 10, 2013, and are binding obligations of the Company.

Signature

Athanasios Skarpelos

Name and Title

ΑΝΑΣΤΑΣΙΟΣ Δ. ΧΡΙΣΤΙΑΣ  
ΔΙΔΑΚΤΩΡ ΝΟΜΙΚΗΣ ΠΑΡΙΣΙΩΝ  
ΔΙΚΗΓΟΡΟΣ ΠΑΡ' ΑΡΕΙΩ ΠΑΓΩ  
ΑΚΑΔΗΜΙΑΣ 57 - ΑΘΗΝΑ 108 79  
ΤΗΛ.: 3600154, 3603853, FAX: 3608926  
ΑΜ/ΔΣΑ: 3730 - ΑΦΜ: 006521572



S080007

JA1055

**AFFIDAVIT FOR LOST STOCK CERTIFICATE**

I, Athanasios Skarpelos hereby declare and affirm as follows:

1. That I reside at:  
NISSOYS 5  
Street Address  
Athens GLYFADA  
City, State & Zip  
GREECE 16675  
Country

2. That I am the legal and beneficial owner of the following shares of Anavex Life Sciences Corp.

3. The above-mentioned stock ownership is represented as follows:

ISSUED TO	CERT. NO.	SHARE QTY	DATE ISSUED
Athanasios Skarpelos	660	92500	9/24/2007
	753	6633332	10/29/2009

4. That said certificate was/was not endorsed. (Circle one)

5. That the present status of the certificate is as follows: (Please describe, i.e. lost, misplaced or stolen.) lost

\_\_\_\_\_

\_\_\_\_\_

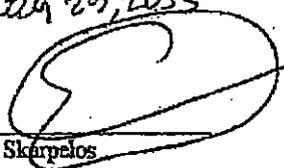
6. That I have not assigned, hypothecated, pledged, or in any other way disposed of either the stock certificate or its rights as a stockholder, in whole or in part.

7. That if the original certificate should ever come into my hands, custody or control, I will immediately and without consideration surrender the original to the Issuing Corporation or Nevada Agency and Transfer Company for cancellation.

ΑΝΑΣΤΑΣΙΟΣ Δ. ΧΡΙΣΤΙΑΣ  
 ΔΙΔΑΚΤΟΡ ΝΟΜΙΚΗΣ ΠΑΡΙΣΙΩΝ  
 ΔΙΚΗΓΟΡΟΣ ΠΑΡ' ΑΡΕΙΩ ΠΑΓΩ  
 ΑΚΑΔΗΜΙΑΣ 67 - ΑΘΗΝΑ 106 79  
 ΤΗΛ: 3600154, 3603853, FAX: 3608926  
 ΑΜ/ΔΣΑ: 8730 - ΑΦΜ: 096521672



Date: March 29, 2013

  
Athanasios Skarpeles

**ACKNOWLEDGEMENT/NOTARIZATION**

State of GRECE

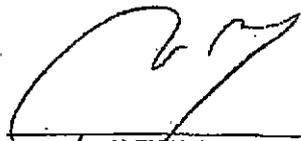
) ss.

County of ATTIKA

On March 29, 2013 (DATE) before me, Anastase CHRISTIAS (NAME OF NOTARY), personally appeared Mr. Athanasios SKARPELOS (NAME) personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that s/he executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

(NOTARY PUBLIC) Δ. ΧΡΙΣΤΙΑΣ  
ΔΙΔΑΚΤΩΡ ΝΟΜΙΚΗΣ ΠΑΡΙΣΙΩΝ  
ΔΙΚΗΓΟΡΟΣ ΠΑΡ' ΑΡΕΙΩ ΠΑΓΩ  
ΑΚΑΔΗΜΙΑΣ 57 - ΑΘΗΝΑ 106 79  
ΤΗΛ: 3600154, 3603853, FAX: 3608926  
ΑΜΙΔΕΑ: 3730 - ΑΦΜ: 006521572

  
NOTARY SIGNATURE

RECEIVED

APR 03 2013

**STOP TRANSFER ORDER**

DATE: March 29, 2013

NEVADA AGENCY AND  
TRANSFER COMPANY

NEVADA AGENCY AND TRANSFER COMPANY:

PLEASE BE ADVISED THAT THE FOLLOWING STOCK CERTIFICATE(S) OF ANAVEX LIFE SCIENCES CORP, A NEVADA CORPORATION, have been reported as:

LOST     STOLEN     DESTROYED

ISSUED TO	CERT. NO.	SHARE QTY	DATE ISSUED	RESTRICTED?
64 Athanasios Skarpelos	660	92500	9/24/2007	Yes
	753	6633332	10/29/2009	Yes

KINDLY RECORD A STOP-TRANSFER ORDER AGAINST THE ABOVE CERTIFICATE(S).

VERY TRULY YOURS,

  
s/ Athanasios Skarpelos

SHAREHOLDER CONTACT INFORMATION:

Name: Athanasios Skarpelos

Social Security #: 06333202

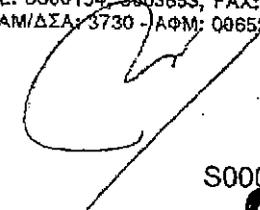
Address: MISSOYSS  
GLYFADA ATHENS GREECE

Telephone: +306974657879.

Email: tomskarp@yellco.com

\*\*\*THIS DOCUMENT MUST BE COMPLETED AND SIGNED BY THE REGISTERED SHAREHOLDER(S)\*\*\*

ΑΝΑΣΤΑΣΙΟΣ Δ. ΧΡΙΣΤΙΑΣ  
ΔΙΔΑΚΤΩΡ ΝΟΜΙΚΗΣ ΠΑΡΙΣΙΩΝ  
ΔΙΚΗΓΟΡΟΣ ΠΑΡ' ΑΡΕΙΩ ΠΑΓΩ  
ΑΚΑΔΗΜΙΑΣ 57 - ΑΘΗΝΑ 106 79  
ΤΗΛ.: 3600154, 3603853, FAX: 3608926  
ΑΜ/ΔΣΑ: 3730 - ΑΦΜ: 006521572



S000010

DEPOSITION  
EXHIBIT  
JA10583

# NEVADA AGENCY AND TRANSFER COMPANY

50 WEST LIBERTY, SUITE 880, RENO, NEVADA 89501 • TELEPHONE (775) 322-0626

74061

DATE 4/04/2013

74061

ANAVEX LIFE SCIENCES  
CORP.  
PO BOX 10068 PACIFIC CTR  
VANCOUVER BC V7Y1C3

ANAVEX LIFE SCIENCES  
CORP.  
PO BOX 10068 PACIFIC CTR  
VANCOUVER BC V7Y1C3

WE ACKNOWLEDGE RECEIPT OF CERTIFICATES OF STOCK OF THE ABOVE COMPANY AS FOLLOWS:

CERTIFICATE NUMBER	NAME	NUMBER OF SHARES		CERTIFICATE NUMBER	NAME	NUMBER OF SHARES
660	SKARPELOS, ATHANASIOS *	92500			ISSUED	
753	SKARPELOS, ATHANASIOS *	6633332				
	RESTRICTED - 144 LEGEND					
	LOST CERTIFICATES					
	CANCELED			975	SKARPELOS, ATHANASIOS * SH # 00064 NISSOYS 5 GLYFADA ATHENS 16675 GREECE	30.00 6725832
	CANCELED				ISSUED	
	CANCELED				RESTRICTED - 144 LEGEND	
					LOST CERTIFICATE FEE	50.00
					CERT SENT VIA UPS #1Z60E72E0491625533 TO SHAREHOLDER ISSUED	50.00

OTHER CHARGES FOR THE ABOVE TRANSFERS ARE AS FOLLOWS:

6725832

6725832

ISSUING  
OTHER CHARGES



30.00  
100.00

EACH

JA1059



I.pedaf <l.pedaf@gmail.com>

**RE: Courier Address for Weiser Asset Management Ltd.**

Athanasios Skarpelos <tom@bizex.bz>  
To: hbdaniels@weiseram.com  
Cc: l.pedaf@gmail.com

Mon, May 30, 2011 at 8:30 PM

Thank you Howard. Also i need the forms to open account with Weiser Asset Management Ltd before I leave so we can deposit the Anavex certificate in that account. We can meet today or tomorrow to open the account.

TOM SKARPELOS  
tom@bizex.bz  
Cell: +16463184979

-----Original Message-----

From: hbdaniels@weiseram.com [mailto:hbdaniels@weiseram.com]  
Sent: Fri 5/27/2011 8:20 AM  
To: Athanasios Skarpelos  
Subject: Courier Address for Weiser Asset Management Ltd.

Hi Tom,

I hope you are doing well.

I understand you have some certificates that you would like to courier in advance of opening your account with Weiser.

Please Courier them to:

Weiser Asset Management Limited

Attn: Howard Daniels

de la Plaine House,  
28 Parliament Street  
P.O. Box N-10697,  
Nassau, Bahamas  
Phone-242-325-0922

Sincerely,

Howard Daniels  
Chief Operating Officer, Director  
Weiser Asset Management Ltd.  
Nassau, Bahamas  
Office 242-325-0922  
Cell 242-454-7873  
Alternate Cell 647-965-2275



This communication and any attachments may contain information that is privileged or confidential and is intended only for the use of the individual to whom it is addressed. Any other distribution, copying or disclosures is strictly prohibited. If you have received this communication in error, please notify us immediately then delete this



l.pedaf <l.pedaf@gmail.com>

---

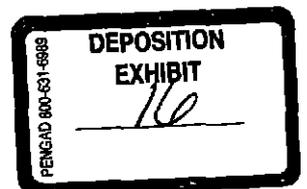
Did u get my txt few days ago re. Kinezi and I need docs?

---

Christos <christos@bizex.bz>  
To: l.pedaf@gmail.com

Mon, Jun 24, 2013 at 8:03 PM

I have a call with them late tonight



S000012

JA1061



l.pedaf <l.pedaf@gmail.com>

---

Did u get my txt few days ago re. Kinezi and I need docs?

---

Lambros Pedafronimos <l.pedaf@gmail.com>

Mon, Jun 24, 2013 at 8:15 PM

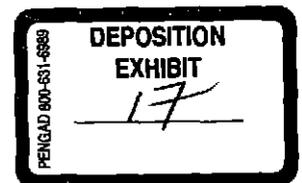
To: Christos <christos@bizex.bz>

Yes re, were putting the docs in place

On Mon, Jun 24, 2013 at 8:03 PM, Christos <christos@bizex.bz> wrote:

I have a call with them late tonight

—  
Lambros Pedafronimos



S000013

JA1062



I.pedaf <l.pedaf@gmail.com>

---

Did u get my txt few days ago re. Kinezi and I need docs?

---

Christos <christos@bizex.bz>  
To: I.pedaf@gmail.com

Mon, Jun 24, 2013 at 8:30 PM

Email me blanks ones now so I can show them what they'll be looking like etc

---

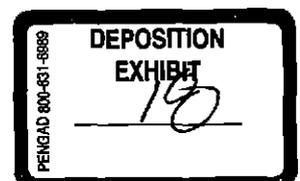
**From:** Lambros Pedafronimos  
**To:** Christos  
**Sent:** Mon Jun 24 13:15:55 2013  
**Subject:** Re: Did u get my txt few days ago re. Kinezi and I need docs?

Yes re, were putting the docs in place

On Mon, Jun 24, 2013 at 8:03 PM, Christos <christos@bizex.bz> wrote:

I have a call with them late tonight

—  
Lambros Pedafronimos



S000014

JA1063



I.pedaf <l.pedaf@gmail.com>

---

**Did u get my txt few days ago re. Kinezi and I need docs?**

---

Lambros Pedafronimos <l.pedaf@gmail.com>  
To: Christos <christos@bizex.bz>

Mon, Jun 24, 2013 at 8:53 PM

attached bud!

On Mon, Jun 24, 2013 at 8:30 PM, Christos <christos@bizex.bz> wrote:

Email me blanks ones now so I can show them what they'll be looking like etc

---

**From:** Lambros Pedafronimos  
**To:** Christos  
**Sent:** Mon Jun 24 13:15:55 2013  
**Subject:** Re: Did u get my txt few days ago re. Kinezi and I need docs?

Yes re, were putting the docs in place

On Mon, Jun 24, 2013 at 8:03 PM, Christos <christos@bizex.bz> wrote:

I have a call with them late tonight

—  
Lambros Pedafronimos

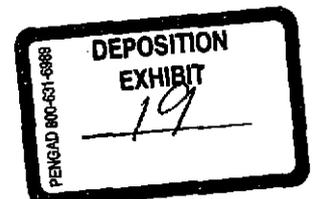
—  
Lambros Pedafronimos

---

**2 attachments**

 **POA.pdf**  
20K

 **STOCK SALE AND PURCHASE AGREEMENT.docx**  
17K



S000015

JA1064



I.pedaf <l.pedaf@gmail.com>

---

**Did u get my txt few days ago re. Kinezi and I need docs?**

---

Lambros Pedafronimos <l.pedaf@gmail.com>  
To: Christos <christos@bizex.bz>

Tue, Jun 25, 2013 at 3:54 PM

We need somone to complete the language on the purchase and sale agreement. Do we have anyone on our end for that?

On Mon, Jun 24, 2013 at 8:53 PM, Lambros Pedafronimos <l.pedaf@gmail.com> wrote:  
attached bud!

On Mon, Jun 24, 2013 at 8:30 PM, Christos <christos@bizex.bz> wrote:

Email me blanks ones now so I can show them what they'll be looking like etc

---

**From:** Lambros Pedafronimos  
**To:** Christos  
**Sent:** Mon Jun 24 13:15:55 2013  
**Subject:** Re: Did u get my txt few days ago re. Kinezi and I need docs?

Yes re, were putting the docs in place

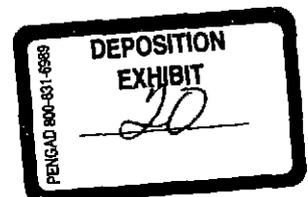
On Mon, Jun 24, 2013 at 8:03 PM, Christos <christos@bizex.bz> wrote:

I have a call with them late tonight

--  
Lambros Pedafronimos

--  
Lambros Pedafronimos

--  
Lambros Pedafronimos



S000016

JA1065



I.pedaf <l.pedaf@gmail.com>

---

## Agreement

---

Lambros Pedafronimos <l.pedaf@gmail.com>  
To: Christos Livadas <christos@bizex.bz>

Tue, Jul 2, 2013 at 4:12 PM

Hi Bud,

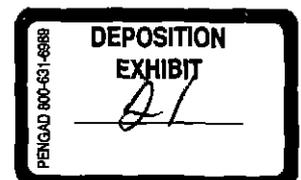
Attached is a copy of the purchase and sale agreement, let me know if any adjustments need to be made. I will send you a copy of the POA tonight.

Best,

Lambros Pedafronimos

---

 STOCK SALE AND PURCHASE AGREEMENT.pdf  
55K



S000017

JA1066

---

**Agreement**

---

**Christos** <christos@bizex.bz>  
To: Lambros Pedafronimos <l.pedaf@gmail.com>

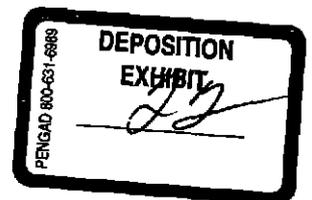
Tue, Jul 2, 2013 at 4:52 PM

Dont forget: they need to be notarized.

Courier originals to Bouts.

On Jul 2, 2013, at 9:13 AM, "Lambros Pedafronimos" <l.pedaf@gmail.com> wrote:

- > Hi Bud,
- >
- > Attached is a copy of the purchase and sale agreement, let me know if any adjustments need to be made. I will send you a copy of the POA tonight.
- >
- > Best,
- > -
- > Lambros Pedafronimos
- > <STOCK SALE AND PURCHASE AGREEMENT.pdf>



S000018

JA1067

---

**Agreement**

---

Lambros Pedafronimos <l.pedaf@gmail.com>  
To: Christos <christos@bizex.bz>

Wed, Jul 3, 2013 at 10:22 PM

Hi Bud,

Please find attached the updated purchase and sale document with the figures that were discussed.

This is the version that will be notarized.

Cheers,

L

On Tue, Jul 2, 2013 at 4:52 PM, Christos <christos@bizex.bz> wrote:

- >
- > Dont forget: they need to be notarized.
- >
- > Courier originals to Bouts.
- >
- >
- > On Jul 2, 2013, at 9:13 AM, "Lambros Pedafronimos" <l.pedaf@gmail.com> wrote:

>> Hi Bud,

>> Attached is a copy of the purchase and sale agreement, let me know if any adjustments need to be made. I will send you a copy of the POA tonight.

>> Best,

>> -

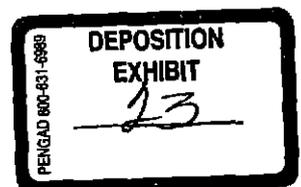
>> Lambros Pedafronimos

>> <STOCK SALE AND PURCHASE AGREEMENT.pdf>

-  
Lambros Pedafronimos

---

 PAS.pdf  
44K



S000019

JA1068



l.pedaf <l.pedaf@gmail.com>

---

## Notarized Documents

---

Lambros Pedafronimos <l.pedaf@gmail.com>  
To: Christos Livadas <christos@bizex.bz>

Tue, Jul 9, 2013 at 2:08 PM

Hi Bud,

Per our discussion, please find attached the notarized copies.

Regards,

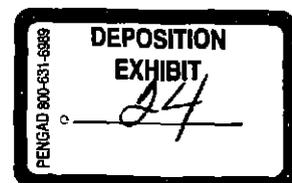
Lambros Pedafronimos

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### 2 attachments

 POATom.pdf  
230K

 Purchase And Sale.pdf  
2118K



S000020

JA1069

## STOCK SALE AND PURCHASE AGREEMENT

THIS STOCK SALE AND PURCHASE AGREEMENT (this Agreement) is dated as of July 5, 2013 and is made and entered into by and among WEISER LTD. ( Buyer ) and Athanasios Skarpeios ( Seller ) with respect to the following facts:

A.

Seller owns 3,316,666 shares of common stock of Anavex Life Sciences Corp., a Nevada corporation (the Company).

B.

Seller desires to sell to Buyer, and Buyer desires to purchase from Seller, 3,316,666 shares of the Company's common stock upon the terms and conditions set forth in this Agreement.

Accordingly, for and in consideration of the premises, the mutual promises, covenants and agreements hereafter set forth, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Seller and Buyer, intending to be legally bound, do hereby agree as follows:

### ARTICLE I

#### SALE AND PURCHASE

##### Section 1.1

**Sale and Purchase of Shares.** On and subject to the terms and conditions of this Agreement, effective as of the Closing Date, Buyer shall purchase from Seller, and Seller shall sell to Buyer, Three Million Three Hundred and Sixteen Thousand Six Hundred and Sixty Six (3,316,666) shares of common stock (the Shares) of the Company registered in the name of Seller for the consideration specified in Section 1.2 and upon the terms and conditions set forth in this Agreement.

##### Section 1.2

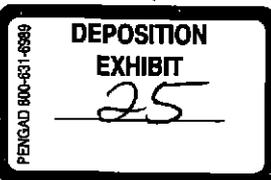
**Purchase Price.** The purchase price for the Shares (the Purchase Price) is Two Hundred and Fifty Thousand dollars (\$250,000.00). The Purchase Price shall be paid to the Seller at the Closing, in cash.

##### Section 1.3

**Closing Date; Deliveries.** The closing shall occur on September 30, 2013 or such other date as the parties hereto may agree to (the Closing Date). On the Closing Date, Buyer shall deliver a check in the amount of the Purchase Price to Seller, and Seller shall deliver to Buyer a share certificate representing the Shares issued in the name of the Seller.

### ARTICLE II

#### REPRESENTATIONS, WARRANTIES AND COVENANTS OF SELLER



JA1070  
WEISER000207

To induce Buyer to enter into and perform its obligations under this Agreement, Seller hereby represents and warrants to Buyer, and covenants with Buyer, as follows:

#### **Section 2.1**

**Authority and Capacity.** Seller has all requisite power, authority and capacity to enter into this Agreement. The execution, delivery and performance of this Agreement by Seller does not, and the consummation of the transaction contemplated hereby will not, result

in a breach of or default under any agreement to which Seller is a party or by which Seller is bound.

#### **Section 2.2**

**Binding Agreement.** This Agreement has been duly and validly executed and delivered by Seller and constitutes Seller's valid and binding agreement, enforceable against Seller in accordance with and subject to its terms.

#### **Section 2.3**

**Title to Shares.** Seller is the lawful, record and beneficial owner of all of the Shares, free and clear of any liens, claims, agreements, charges, security interests and encumbrances whatsoever. The sale, conveyance, assignment, and transfer of the Shares in accordance with the terms of this Agreement transfers to Buyer legal and valid title to the Shares, free and clear of all liens, security interests, hypothecations or pledges.

### **ARTICLE III**

#### **REPRESENTATIONS AND WARRANTIES OF BUYER**

To induce Seller to enter into and perform their obligations under this Agreement, Buyer represents and warrants to Seller as follows:

#### **Section 3.1**

**Authority and Capacity.** Buyer has all requisite power, authority and capacity to enter into this Agreement. The execution, delivery and performance of this Agreement by Buyer does not, and the consummation of the transaction contemplated hereby will not, result in a breach of or default under any agreement to which Buyer is a party or by which Buyer is bound.

#### **Section 3.2**

**Disclosure.** Buyer has reviewed the SEC Reports and is aware of the Company's business and financial condition.

#### **Section 3.3**

**Investment Representations.** Buyer is acquiring the Shares for Buyer's own account and is not acquiring the Shares with a view to or for sale in connection with any distribution thereof within the meaning of the Securities Act of 1933, as amended.

ARTICLE IV

MISCELLANEOUS

Section 4.1

Entire Agreement. This Agreement constitutes the entire understanding and agreement of the parties relating to the subject matter hereof and supersedes any and all prior understandings, agreements, negotiations and discussions, both written and oral, between the parties hereto with respect to the subject matter hereof.

Section 4.2

Governing Law. This Agreement shall be construed, interpreted and enforced in accordance with, and shall be governed by, the laws of the State of California without reference to, and regardless of, any applicable choice or conflicts of laws principles.

Section 4.3

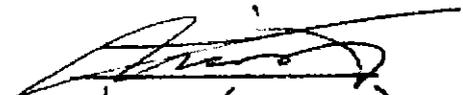
Counterparts. This Agreement may be executed in any number of counterparts and by the several parties hereto in separate counterparts, each of which shall be deemed to be an original, and all of which together shall constitute one and the same Agreement.

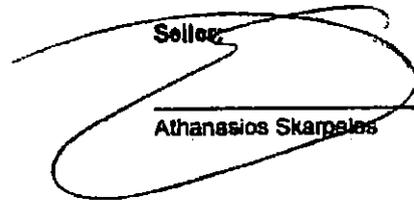
Section 4.4

Further Assurances. Each of the parties hereto shall from time to time at the request of any other party hereto, and without further consideration, execute and deliver to such other party such further instruments of assignment, transfer, conveyance and confirmation and take such other action as such other party may reasonably request in order to more effectively fulfill the purposes of this Agreement.

IN WITNESS WHEREOF, this Agreement has been signed by the parties hereto as of the date first above written.

Buyer:

  
WEISER (BAHAMAS) LTD

Seller:  
  
Athanasios Skarpalos

ΣΚΑΡΠΑΛΟΣ ΑΘΑΝΑΣΙΟΣ  
0917113 411 12432  
  
ΣΩΤΗΡΙΟΣ Γ. ΚΑΨΑΛΗΣ  
Υπάλληλος Κ.Ε.Π.  
Λόγος Βόρειος Κίνησης

**STOCK SALE AND PURCHASE AGREEMENT**

THIS STOCK SALE AND PURCHASE AGREEMENT (this Agreement) is dated as of \_\_\_\_\_

\_\_\_\_\_ and is made and entered into by and among \_\_\_\_\_ ( Buyer ) and Athanasios Skarpelos ( Seller ) with respect to the following facts:

A.

Seller owns 3,316,666 shares of common stock of Anavex Life Sciences Corp., a Nevada corporation (the Company ).

B.

Seller desires to sell to Buyer, and Buyer desires to purchase from Seller, 3,316,666 shares of the Company's common stock upon the terms and conditions set forth in this Agreement.

Accordingly, for and in consideration of the premises, the mutual promises, covenants and agreements hereafter set forth, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Seller and Buyer, intending to be legally bound, do hereby agree as follows:

**ARTICLE I**

**SALE AND PURCHASE**

**Section 1.1**

**Sale and Purchase of Shares.** On and subject to the terms and conditions of this Agreement, effective as of the Closing Date, Buyer shall purchase from Seller, and Seller shall sell to Buyer, Three Million

Three Hundred and Sixteen Thousand Six Hundred and Sixty Six (3,316,666) shares of common stock (the Shares ) of the Company registered in the name of Seller for the consideration specified in Section 1.2 and upon the terms and conditions set forth in this Agreement.

**Section 1.2**

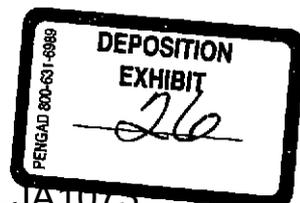
**Purchase Price.** The purchase price for the Shares (the Purchase Price ) is Two Hundred and Fifty Thousand dollars (\$250,000.00). The Purchase Price shall be paid to the Seller at the Closing, in cash.

**Section 1.3**

**Closing Date; Delivery.** The closing shall occur on \_\_\_\_\_ of \_\_\_\_\_, \_\_\_\_\_ date as the parties hereto may agree to (the Closing Date ). On the Closing Date, Buyer shall deliver a check in the amount of the Purchase Price to Seller, and Seller shall deliver to Buyer a share certificate representing the Shares issued in the name of the Seller.

**ARTICLE II**

**REPRESENTATIONS, WARRANTIES AND COVENANTS OF SELLER**



To induce Buyer to enter into and perform its obligations under this Agreement, Seller hereby represents and warrants to Buyer, and covenants with Buyer, as follows:

### Section 2.1

**Authority and Capacity.** Seller has all requisite power, authority and capacity to enter into this Agreement. The execution, delivery and performance of this Agreement by Seller does not, and the consummation of the transaction contemplated hereby will not, result

in a breach of or default under any agreement to which Seller is a party or by which Seller is bound.

### Section 2.2

**Binding Agreement.** This Agreement has been duly and validly executed and delivered by Seller and constitutes Seller's valid and binding agreement, enforceable against Seller in accordance with and subject to its terms.

### Section 2.3

**Title to Shares.** Seller is the lawful, record and beneficial owner of all of the Shares, free and clear of any liens, claims, agreements, charges, security interests and encumbrances whatsoever. Seller shall conveyance, assignment, and transfer of the Shares in accordance with the terms of this Agreement to Buyer legal and valid title to the Shares, free and clear of all:

represents and warrants to Seller as follows:

### Section 3.1

**Authority and Capacity.** Buyer has all requisite power, authority and capacity to enter into this Agreement. The execution, delivery and performance of this Agreement by Buyer does not, and the consummation of the transaction contemplated hereby will not, result in a breach of or default under any agreement to which Buyer is a party or by which Buyer is bound.

### Section 3.2

**Disclosure.** Buyer has reviewed the SEC Reports and is aware of the Company's business and financial condition.

### Section 3.3

**Investment Representations.** Buyer is acquiring the Shares for Buyer's own account and is not acquiring the Shares with a view to or for sale in connection with any distribution thereof within the meaning of the Securities Act of 1933, as amended.

ARTICLE IV

MISCELLANEOUS

Section 4.1

**Entire Agreement.** This Agreement constitutes the entire understanding and agreement of the parties relating to the subject matter hereof and supersedes any and all prior understandings, agreements, negotiations and discussions, both written and oral, between the parties hereto with respect to the subject matter hereof.

Section 4.2

**Governing Law.** This Agreement shall be construed, interpreted and enforced in accordance with



Buyer: \_\_\_\_\_  
Seller: \_\_\_\_\_

IN WITNESS WHEREOF, this Agreement has been signed by the parties hereto as of the date first above written.

Buyer:

\_\_\_\_\_

Seller: \_\_\_\_\_  
Athanasios Skarpeles

ΣΚΑΡΠΕΛΟΣ ΑΘΑΝΑΣΙΟΣ  
09/12/13 ΑΥ 12452  
ΣΩΤΗΡΙΟΣ Γ. ΚΑΨΑΛΗΣ  
Υπάλληλος Κ.Ε.Π.  
Λόγιου Βόρειας Κυνουφίας

Message

---

**From:** Nick Boutsalis [nboutsalis@primorisgroup.com]  
**Sent:** 12/17/2013 5:00:05 PM  
**To:** Christos Weiser Capital [xtos@weisercapital.bz]  
**Subject:** Stock Certificate

WITHOUT PREJUDICE:

Mr. Livadas,

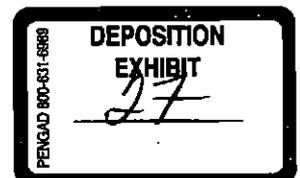
Further to your phone call and email. The transfer agent is prepared to issue a new certificate in your firms name. The TA will require the following, which you have indicated you have.

To transfer shares, the following items must be submitted to the transfer agents office:

- The original stock certificate(s)
- A letter of instruction including contact information for the sender and cost basis
- A stock power or the back of the certificate signed by the current registered shareholder or authorized signatory and medallion guaranteed
- The new shareholder name, address and social security number
- Fees in the amount of \$30 for each new certificate issued
- A courier account number or additional fees of \$15 FedEx ground in the domestic US, \$30 overnight shipping domestic US, \$40 Canada, \$50 International or \$75 for Australia and Israel

**NOTE: All stock must ship via courier with a signature required at time of delivery**

If you have any further questions please do hesitate to call me.



JA1076  
WEISER000168

Message

**From:** Nick Boutsalis [nboutsalis@primorisgroup.com]  
**Sent:** 12/18/2013 7:45:51 AM  
**To:** Tiffany Erickson [tiffany@natco.org]  
**Subject:** Re: Anavex Life Sciences

Thank you Tiffany. Will pass information along.

**From:** Tiffany Erickson <tiffany@natco.org>  
**Date:** Tue, 17 Dec 2013 17:53:05 -0500  
**To:** 1 <nboutsalis@primorisgroup.com>  
**Cc:** 'Christopher Misssling' <cmisssling@anavexcorp.com>, "stocktransfer@natco.org" <stocktransfer@natco.org>  
**Subject:** RE: Anavex Life Sciences

Hi Nick:

To transfer shares, the following items must be submitted to our offices:

- ? The original stock certificate(s)
  - ? A letter of instruction including contact information for the sender and cost basis
  - ? A stock power or the back of the certificate signed by the current registered shareholder or authorized signatory and medallion guaranteed
  - ? The new shareholder name, address and social security number
  - ? Fees in the amount of \$30 for each new certificate issued
  - ? A courier account number or additional fees of \$15 FedEx ground in the domestic US, \$30 overnight shipping domestic US, \$40 Canada, \$50 International or \$75 for Australia and Israel
- NOTE: All stock must ship via courier with a signature required at time of delivery**

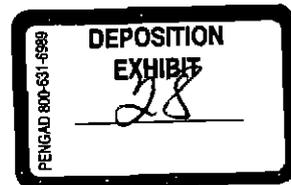
As Mr. Skarpelos is located in Greece, he may not be able to obtain a medallion guarantee. We will accept a signature guarantee or notary on the stock power or back of the certificate(s) and copies of two forms of photo I.D.

Best regards,  
*Tiffany Erickson*  
Transfer Agent Manager

Nevada Agency and Transfer Company  
50 West Liberty Street, Suite 880  
Reno NV 89501

Tel: 775-322-0626  
Fax: 775-322-5623  
Email: [tiffany@natco.org](mailto:tiffany@natco.org)

[www.natco.org](http://www.natco.org)



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USE, COPYING, REVIEW OR DISCLOSURE IS PROHIBITED. PLEASE NOTIFY THE SENDER IMMEDIATELY IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR. THANK YOU FOR YOUR ASSISTANCE AND CO-OPERATION.

**From:** Nick Boutsalis [<mailto:nboutsalis@primorisgroup.com>]  
**Sent:** Tuesday, December 17, 2013 2:38 PM  
**To:** Tiffany Erickson  
**Cc:** Nick Boutsalis; Christopher Missling  
**Subject:** Re: Anavex Life Sciences

Thank you for you email.

Weiser has the original certificates along with the signed PA and wishes to put them in the firms name as the client had instructed.

How do we proceed?

On Dec 17, 2013, at 5:28 PM, "Tiffany Erickson" <[tiffany@natco.org](mailto:tiffany@natco.org)> wrote:  
Good afternoon Nick:

Unfortunately, we are unable to assist in this matter. We would recommend having the Buyer contact Mr. Skarpelos directly to obtain the certificates.

Best regards,  
*Tiffany Erickson*  
Transfer Agent Manager

Nevada Agency and Transfer Company  
50 West Liberty Street, Suite 880  
Reno NV 89501

Tel: 775-322-0626  
Fax: 775-322-5623  
Email: [tiffany@natco.org](mailto:tiffany@natco.org)

[www.natco.org](http://www.natco.org)

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**From:** Nick Boutsalis [<mailto:nboutsalis@primorisgroup.com>]  
**Sent:** Monday, December 16, 2013 9:31 AM  
**To:** [tiffany@natco.org](mailto:tiffany@natco.org)

**Cc:** Christopher Missling  
**Subject:** Anavex Life Sciences

Hello Tiffany,

I have received a phone call and documents from a clients broker that would like some direction.

What I understood was the following.

Buyer (Weiser Client) and Seller (Athanasios Skarpelos) had an agreement where buyer pledged/sold his shares to Buyer.

Buyer now wants to receive his certificate in his name or in the brokers name. This is where problem lies. Buyer has concerns that perhaps Seller has somehow deposited the following certs and therefore buyer will not be able to get his certificate.

What do I tell the broker? How should they proceed?

Thank You

Nick Boutsalis  
Anavex Investor Relations  
416-489-0092

**MONTELLO LAW**  
2750 N.E. 185<sup>th</sup> Street, Suite 201  
Aventura, Florida 33180

**Telephone: (305) 682-2000**  
**Facsimile: (305) 682-3669**

October 30, 2015

**VIA EMAIL**  
[info@natco.org](mailto:info@natco.org)  
**AND FEDEX**

Nevada Agency and Transfer Company  
50 West Liberty Street, Suite 880  
Reno, Nevada 89501

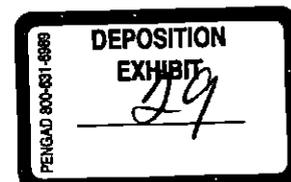
Re: Transfer of Shares of Anavex Life Sciences Corp. Common Stock

Ladies and Gentlemen:

We are writing on behalf of Weiser Asset Management Ltd., a Bahamas company ("Weiser"). On or about July 12, 2013, Athanasios Skarpelos ("Seller") sold 3,316,666 shares of common stock (the "Sold Stock") of Anavex Life Sciences Corp., a Nevada corporation ("Anavex"). Subsequently, Weiser delivered to Nevada Agency and Transfer Company ("Transfer Agent"), in its capacity as the transfer agent for Anavex common stock, Stock Certificate No. 0753 for 6,633,332 shares of Anavex common stock issued in the name of Seller (the "Stock Certificate") and a stock power executed by Seller in favor of Weiser to effect the transfer of the Sold Stock to Weiser (the "Stock Power").

In response to Weiser's submission of the Stock Certificate and Stock Power, you advised Weiser that Seller had reported to you that he had lost the Stock Certificate and requested that you issue a replacement certificate. It is our understanding that pursuant to your request, Seller submitted an affidavit under oath in which he stated that he had lost the Stock Certificate. You then issued a replacement certificate to Seller (the "Replacement Certificate").

It is clear that Seller obtained the Replacement Certificate under false pretenses. We hereby demand that you immediately place a stop transfer restriction on the shares of Anavex common stock represented by the Replacement Certificate, cancel the Replacement Certificate, and register on Anavex's stock transfer records Weiser's ownership of the 3,316,666 shares of Anavex common stock. If you have any doubt as to your obligations under applicable law, we remind you that pursuant to Nev. Rev. Stat. §104.8405, if, after the issue of a new security certificate, a protected purchaser of the original certificate presents the original certificate for registration of transfer, the transfer agent must register the transfer.



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Nevada Agency and Transfer Company

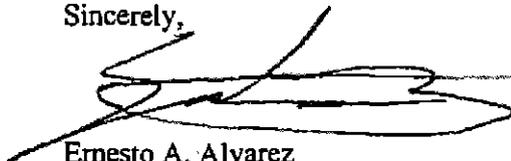
October 30, 2015

Page 2

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We request that you immediately confirm to us in writing that you are taking the steps outlined above. Your immediate action is critical in order to avoid any potential loss or damage to Weiser.

Sincerely,

A handwritten signature in black ink, appearing to read "Ernesto A. Alvarez", written over a horizontal line.

Ernesto A. Alvarez

cc: Weiser Asset Management Ltd. (via email)

**MONTELLO LAW**  
2750 N.E. 185<sup>th</sup> Street, Suite 201  
Aventura, Florida 33180

Telephone: (305) 682-2000  
Facsimile: (305) 682-3669

November 2, 2015

**VIA EMAIL**

[info@natco.org](mailto:info@natco.org)

Nevada Agency and Transfer Company  
50 West Liberty Street, Suite 880  
Reno, Nevada 89501

Re: Transfer of Shares of Anavex Life Sciences Corp. Common Stock

Ladies and Gentlemen:

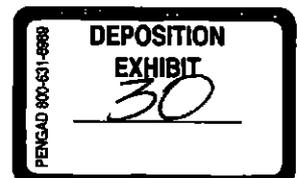
This letter is a follow-up to our letter to you dated October 30, 2015, in which we demanded that Nevada Agency and Transfer Company immediately place a stop transfer order on the Replacement Certificate (as defined in our October 30<sup>th</sup> letter). This is a time-sensitive issue, and therefore, we reiterate our demand that you immediately place a stop transfer order on the Replacement Certificate and confirm to us that you have done so.

Sincerely,



Ernesto A. Alvarez

cc: Weiser Asset Management Ltd. (via email)



JA1082  
WEISER000004

**ALEXANDER H. WALKER III**

**Attorney at Law**  
American Plaza II  
57 West 200 South, Suite 400  
Salt Lake City, Utah 84101  
(801) 363-0100  
(801) 521-3301 (Fax)  
admitted in Utah and Nevada

November 3, 2015

Via U.S. Mail and Facsimile: (305) 682-3669

Ernesto A. Alvarez  
MONTELLO Law  
2750 N.E. 185<sup>th</sup> Street, Suite 201  
Aventura, Florida 33180

*Re: Anavex Life Sciences Corp./Skarpelos/Weiser Asset Management, Ltd.*

Mr. Alvarez:

I represent Nevada Agency and Transfer Company ("NATCO"). NATCO has received your letter dated October 30, 2015. I am trying confirm the information in your letter and would appreciate it if you could provide me with copies of the documents evidencing your client's presentment of certificate number 0753 as referenced in your letter, including a copy of certificate 0753 and any instruction your client submitted therewith.

Also, for purposes of your request for stop transfer instructions, are you making a request under section 8-403 that the issuer not register a transfer? If so can you please confirm the facts that support your client's claim that is an "appropriate person" as that term is identified under the applicable provisions of the Uniform Commercial Code. That information would be very helpful.

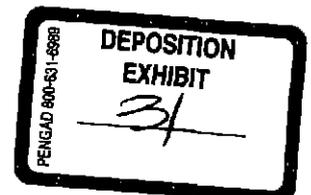
So you are aware, NATCO has contacted both Anavex and Mr. Skarpelos and has requested that they address this matter.

Please contact me at your convenience.

Sincerely,

  
Alexander H. Walker III

AHW:hm  
cc: Client



JA1083  
WEISER000001



Attention:  
Nevada Agency and Transfer Company  
50 West Liberty Street, Suite 880  
Reno, Nevada 89501

Nov. 12, 2015

Re: Share Certificate DWAC Request

To Whom It May Concern:

Enclosed, please find the Anavex Life Sciences Corp. share certificate #0753 (6,633,332 shares) registered in the name of Athanasios Skarpelos.

Please have this share certificate restriction's legend removed and transfer via DWAC to State Street Bank's settlement instructions below.

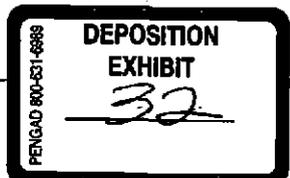
**SETTLEMENT INSTRUCTION:**

Name of Bank: State Street Bank  
DTC Participant #: 0997  
Account Name: Weiser Asset Management Ltd.  
Agent account: CCMA  
DTC Institution ID: 0997  
Agent Bank #: 26022

Sincerely,

A handwritten signature in black ink, appearing to read 'Elias Souras', written over a white background.

Elias Souras  
Weiser Asset Management Ltd.  
Institutional Trade Desk



# CLARK WILSON LLP

Reply to: Bernard Pinsky, Q.C.  
Direct Tel: 604.643.3153  
Email: BPinsky@cwilson.com  
File No: 43750-0001

CLARK WILSON LLP  
Barristers & Solicitors  
Patent & Trade-Mark Agents  
900 – 885 West Georgia Street  
Vancouver, BC V6C 3H1 Canada  
T. 604.687.5700 F. 604.687.6314  
cwilson.com

November 12, 2015

WITHOUT PREJUDICE

VIA EMAIL EALVAREZ@MONTELOLAW.COM>

Nevada Agency and Transfer Company  
50 West Liberty Street, Suite 880  
Reno NV 89501

Attention: Ernesto A. Alvarez

Dear Sirs:

Re: Claim of Weiser Asset Management Ltd.

We have been retained by Tom Skarpelos regarding the claim of Weiser Asset Management Ltd. ("Weiser") put forward in your letter dated October 30, 2015 and addressed to Nevada Agency and Transfer Company.

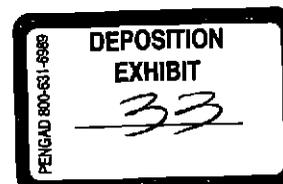
The following are the facts according to our client: Mr. Skarpelos did provide Weiser Asset Management with certificates 660 and 753 in 2011 in order to establish his brokerage account with Weiser, who represented themselves as a registered broker-dealer. The process of opening the account was not going smoothly, and our client found out that Weiser was not in fact a properly licensed dealer in the United States. Mr. Skarpelos tried many times to reach his contact at Weiser to get his shares back, but was unsuccessful in connecting with anyone in authority, and Mr. Skarpelos was alarmed when Weiser then stopped answering their phones.

At this point, Mr. Skarpelos was worried that Weiser was not reliably holding the shares and contacted Nevada Agency to see about cancelling the share certificates he had delivered to Weiser and getting new ones. Mr. Skarpelos was able to cancel the old certificates and had new ones issued in April, 2013.

In July, 2013, Weiser did re-establish contact with Mr. Skarpelos and informed him that they would like to arrange the sale of Mr. Skarpelos' shares. Mr. Skarpelos was prepared to sell on the right conditions, and did sign a purchase agreement on July 9, 2013 with regard to sale of the new certificates, not the cancelled certificates. However, Mr. Skarpelos kept in his possession the share certificates that had been re-issued together with the original stock power of attorney and original purchase agreement. Mr. Skarpelos would transfer the originals of those documents to the buyer when and if the purchase price was forthcoming within a reasonable time. The purchase price was actually never paid, and the proposed purchaser was never identified by Weiser. The purchase and sale agreement expired within a reasonable time of Mr. Skarpelos' signature being affixed. The date of the Agreement which has since expired is July 9, 2013, months after certs 660 and 753 had been cancelled.

In your demand letter to Nevada Agency, you quote Nevada Revised Statute 104.8405. Unfortunately, you neither quote it in full nor refer to the definitions of terms which are crucial for understanding the law. It is true that if "a protected purchaser of the original certificate presents it for registration of

CW9038042.1



JA1085  
WEISER000007

transfer, the issuer shall register the transfer" but the clause goes on to say "unless an overissue shall result." In this case, clearly an overissue would result as Mr. Skarpelos replaced those cancelled shares with others.

Secondly, the definition of "protected purchaser" under Nevada law is:

**NRS 104.8303 Protected purchaser.**

1. "Protected purchaser" means a purchaser of a certificated or uncertificated security, or of an interest therein, who:

- (a) Gives value;
- (b) Does not have notice of any adverse claim to the security; and
- (c) Obtains control of the certificated or uncertificated security.

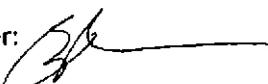
In this case, Weiser neither gave value nor can claim that it did not have notice of an adverse claim. It knew and knows now that Mr. Skarpelos lays claim to the shares, he has not sold them, because any intended or contemplated sale did not complete.

If Weiser wishes to prove its claim in court, it is welcome to attempt to do so and Mr. Skarpelos will rigorously fight such a claim.

Mr. Skarpelos states that Weiser is holding the cancelled certificate numbers 660 and 753 improperly, and those certificates should be returned to Nevada Agency for cancellation. If Weiser fails to do so, our client will consider his legal remedies.

Yours truly,

**CLARK WILSON LLP**

Per: 

Bernard Pinsky, Q.C.\*  
Incorporated Partner

BIP/bip

Encl.

cc: Tom Skarpelos

\* Admitted to practice in: British Columbia; California

Message

**From:** Christos Livadas [xtos@weisercapital.bz]  
**Sent:** 11/12/2015 3:01:11 PM  
**To:** Louis Montello [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=LMontello]  
**CC:** Ernesto Alvarez [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=Ealvarez]  
**Subject:** Re: Submission request: Anavex Stock Certificate #0753

Redacted

**From:** Louis Montello <LMontello@montellolaw.com>  
**Date:** Thu, 12 Nov 2015 16:16:14 -0500  
**To:** Christos Weiser Capital<xtos@weisercapital.bz>  
**Cc:** Ernesto Alvarez<ealvarez@montellolaw.com>  
**Subject:** Submission request: Anavex Stock Certificate #0753

Redacted

Louis R. Montello



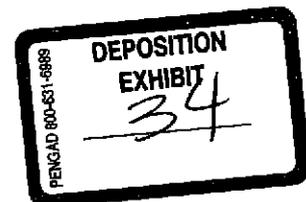
2750 NE 185<sup>th</sup> St., Suite 201

Aventura, FL 33180

T: (305) 682-2000 | F: (305) 682-3669

[lmontello@montellolaw.com](mailto:lmontello@montellolaw.com)

[www.montellolaw.com](http://www.montellolaw.com)



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**From:** Christos Weiser Capital [mailto:xtos@weisercapital.bz]  
**Sent:** Thursday, November 12, 2015 2:45 PM  
**To:** Nick Boutsalis (nboutsalis@primorisgroup.com)  
**Subject:** Submission request: Anavex Stock Certificate #0753

Hi, Nick –

Thank-you for confirming your office received the original stock certificate #0753, stock power, and copy of passport for Athanasios Skarpelos on November 2013, and is in safe-keeping.

Please confirm receipt of this email, and courier these items to Anavex' transfer agent.

Furthermore, please forward tracking# and advise when the courier has been delivered to the transfer agent.

Regards,

Christos

Christos Livadas

Director, Weiser (Bahamas) Ltd.

+1-242-698-6605

**MONTELLO LAW**  
2750 N.E. 185<sup>th</sup> Street, Suite 201  
Aventura, Florida 33180

**Telephone: (305) 682-2000**  
**Facsimile: (305) 682-3669**

November 13, 2015

**VIA EMAIL**

Alexander Walker III, Esquire  
American Plaza II  
57 West 200 South, Suite 400  
Salt Lake City, Utah 84101

Re: Transfer of Shares of Anavex Life Sciences Corp. Common Stock

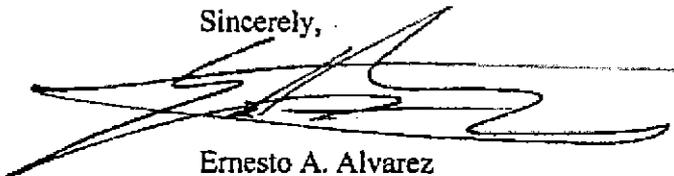
Dear Mr. Walker:

We are writing in response to your letter to us dated November 3, 2015. We have confirmed that Anavex Life Sciences Corp. ("Anavex") has delivered or is in the process of delivering to Nevada Agency and Transfer Company (the "Transfer Agent") original Stock Certificate No. 0753 for 6,633,332 shares of Anavex common stock issued in the name of Mr. Skarpelos and the stock power executed by Mr. Skarpelos in favor of Weiser Asset Management Ltd. ("Weiser"). Enclosed please find our letter to the Transfer Agent requesting that it register on Anavex's stock transfer records Weiser's ownership of the 3,316,666 shares of Anavex common stock.

Because Anavex issued a new certificate to Mr. Skarpelos, we are making this request to the Transfer Agent pursuant to Nev. Rev. Stat. §104.8405, which states that if, after the issue of a new security certificate, a protected purchaser of the original certificate presents the original certificate for registration of transfer, the transfer agent must nonetheless register the transfer. In this case, Weiser meets the §104.8303 definition of a "protected purchaser" because it purchased a certificated security for value without notice of any adverse claim to the security at the time of such purchase, and thereafter obtained control of the certificated security.

Please immediately confirm to us in writing that the Transfer Agent is effecting the transfer of the Stock to Weiser. The Transfer Agent's immediate action is critical in order to avoid loss or damage to Weiser.

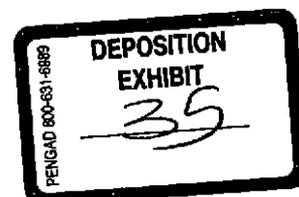
Sincerely,



Ernesto A. Alvarez

Enclosure

cc: Weiser Asset Management Ltd. (via email) (with enclosure)



JA1089  
WEISER000009

**MONTELLO LAW**  
2750 N.E. 185<sup>th</sup> Street, Suite 201  
Aventura, Florida 33180

**Telephone: (305) 682-2000**  
**Facsimile: (305) 682-3669**

November 13, 2015

**VIA EMAIL**

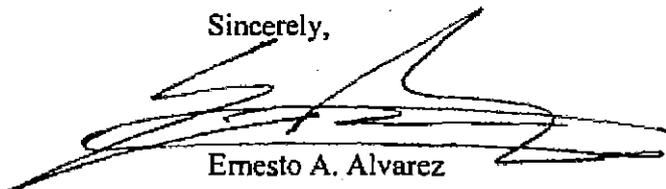
Nevada Agency and Transfer Company  
50 West Liberty Street, Suite 880  
Reno, Nevada 89501

Re: Transfer of Shares of Anavex Life Sciences Corp. Common Stock

Ladies and Gentlemen:

This letter is in reference to our letter dated October 30, 2015, regarding the registration of the transfer of shares of Anavex Life Sciences Corp. ("Anavex") to Weiser Asset Management Ltd. ("Weiser") pursuant to the July 12, 2013 sale transaction whereby Mr. Skarpelos sold 3,316,666 shares of Anavex common stock (the "Stock") to Weiser. We understand that Anavex has received original Stock Certificate No. 0753 and the stock power executed by Mr. Skarpelos in favor of Weiser to effect the transfer of the Stock to Weiser. We request that you immediately effect the transfer of the Stock from Mr. Skarpelos to Weiser on Anavex's stock transfer records in accordance with the enclosed instruction letter from Weiser.

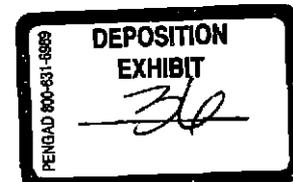
Sincerely,



Ernesto A. Alvarez

Enclosure

cc: Weiser Asset Management Ltd. (via email) (with enclosure)  
Alexander Walker III, Esquire (via email) (with enclosure)



JA1090  
WEISER000005

Message

**From:** Louis Montello [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=LMONTELLO]  
**Sent:** 11/13/2015 4:29:30 PM  
**To:** 'xtos@weisercapital.bz' [xtos@weisercapital.bz]  
**CC:** Ernesto Alvarez [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=Ealvarez]  
**Subject:** Nevada Agency and Transfer Company

Redacted

Louis R. Montello



2750 NE 185<sup>th</sup> St., Suite 201

Aventura, FL 33180

T: (305) 682-2000 | F: (305) 682-3669

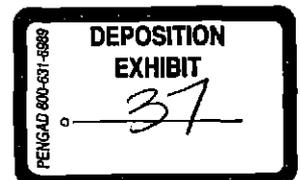
[lmontello@montellolaw.com](mailto:lmontello@montellolaw.com)

[www.montellolaw.com](http://www.montellolaw.com)

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**From:** Alex Walker [<mailto:awalkerlaw@aol.com>]  
**Sent:** Friday, November 13, 2015 6:26 PM  
**To:** Ernesto Alvarez  
**Cc:** Amanda Cardinalli  
**Subject:** Re: Nevada Agency and Transfer Company



JA1091  
WEISER000187

Mr. Alvarez:

Your letter of November 13, 2015 to me requests that I "immediately confirm [to you] in writing that the Transfer Agent is effecting the transfer of the Stock to Weiser." I have checked with Nevada Agency and Transfer Company and to date the original stock certificate to which your refer has not been received. As you know, no transfer can be effected without a proper presentment of the certificate with the appropriate accompanying documentation in compliance with the requirements of Nevada's Uniform Commercial Code.

Alex Walker

Alexander Walker III

Attorney at Law

American Plaza II

57 West 200 South, Suite 400

Salt Lake City, Utah 84101

(801)363-0100

(801)521-3301 (Fax)

[awalkerlaw@aol.com](mailto:awalkerlaw@aol.com)

\*Admitted in Utah and Nevada

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On Nov 13, 2015, at 2:59 PM, Ernesto Alvarez <[ealvarez@montellolaw.com](mailto:ealvarez@montellolaw.com)> wrote:

Please see the attached letter.

Ernesto A. Alvarez

<image001.jpg>

2750 NE 185<sup>th</sup> St., Suite 201

Aventura, FL 33180

T: (305) 682-2000 | F: (305) 682-3669

[ealvarez@montellolaw.com](mailto:ealvarez@montellolaw.com)

[www.montellolaw.com](http://www.montellolaw.com)

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<NEVADA.AGENCY.TRANSFER.CO.WALKER.LTR.11.13.15.pdf>

Nevada Agency & Transfer Co  
50 W Liberty St # 880,  
Reno, NV  
89501

November 13, 2015

Dear Sirs;

Please find enclosed Stock Certificate 0753 for Anavex Life Sciences, copy of Passport # AA3117184 and notarized POA. As instructed by Weiser we are sending them to you as we had them in our office. We have been informed that a letter of instruction is to follow.

Regards

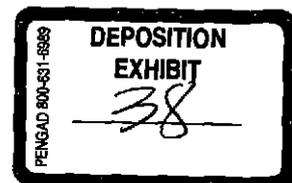


Nick Boutsalis  
Primoris Group  
160 Eglinton Ave East #602  
Toronto, Ontario  
M4P 3B5  
416-489-0092

**RECEIVED**

NOV 16 2015

NEVADA AGENCY AND  
TRANSFER COMPANY



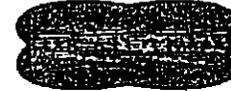
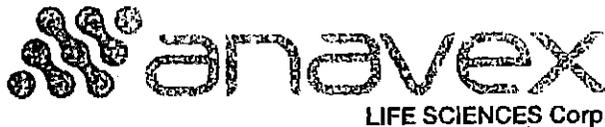
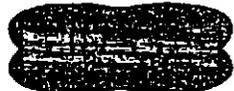
PID - 000045  
JA1094



NOT VALID UNLESS COUNTERSIGNED BY TRANSFER AGENT.  
INCORPORATED UNDER THE LAWS OF THE STATE OF NEVADA.

NUMBER

SHARES



"THE SHARES REPRESENTED BY THIS CERTIFICATE HAVE NOT BEEN REGISTERED UNDER THE SECURITIES ACT OF 1933, AND MAY NOT BE SOLD, TRANSFERRED OR OTHERWISE DISPOSED UNLESS, IN THE OPINION OF COUNSEL SATISFACTORY TO THE ISSUER, THE TRANSFER QUALIFIES FOR AN EXEMPTION FROM OR EXEMPTION TO THE REGISTRATION PROVISIONS THEREOF."

AUTHORIZED COMMON STOCK: 150,000,000 SHARES  
PAR VALUE: \$0.001

CUSIP NO. 032797 10 2

*This Certifies that*

\*\*\*ATHANASIOS SKARPELOS\*\*\*

Is The Record Holder Of \*\*\*SIX MILLION SIX HUNDRED THIRTY THREE THOUSAND THREE HUNDRED THIRTY TWO\*\*\*

Shares of ANAVEX LIFE SCIENCES CORP. Common Stock

transferable on the books of the Corporation by the holder hereof, in person or by duly authorized attorney, upon surrender of this Certificate properly endorsed. This Certificate is not valid until countersigned by the Transfer Agent and registered by the Registrar.

Witness the facsimile seal of the Corporation and the facsimile signatures of its duly authorized officers.

Dated: OCTOBER 29, 2009

SECRETARY



PRESIDENT

NOT VALID UNLESS COUNTERSIGNED BY TRANSFER AGENT

Countersigned & Registered

Countersigned and Registered  
Nevada Agency and Transfer Company  
50 West Liberty Street • Suite 880 • Reno, Nevada 89501

Authorized Signature

© 2009 Copyright 2009, Raytheon Company, Inc. / Salt Lake City, Utah

PID - 000047

JA1096

**POWER OF ATTORNEY TO TRANSFER BONDS OR SHARES**

FOR VALUE RECEIVED the undersigned hereby sells, assigns and transfers unto:

\_\_\_\_\_  
(Name of transferee)  
of

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
(Transferee's address)

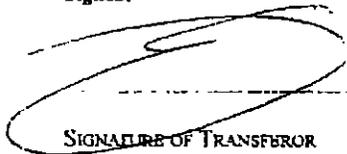
↑ \_\_\_\_\_ ↑  
(Description of Security - include number and class of Shares or amount (par value), rate and maturity of Bonds)

standing in the name of the undersigned on the books of \_\_\_\_\_ represented by certificate No. \_\_\_\_\_ and hereby irrevocably constitutes and appoints \_\_\_\_\_ the attorney of the undersigned to transfer the said shares on the books of the Company with full power of substitution in the premises.

DATED at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

Signed:

In the presence of:

  
SIGNATURE OF TRANSFEROR

*J. K. P. NGOR ABANASIO AT A I 724522*  
*09/12/13*

  
SIGNATURE OF WITNESS

Signature of transferor guaranteed by

**NOTE: The signature to this assignment must correspond with the name as recorded on the certificate/bond in every particular without alteration or enlargement or any change whatever. The signature of the person executing this power must be guaranteed by a Bank or Trust Company; or by a Member of the Toronto Stock Exchange.**

**MONTELLO LAW**  
2750 N.E. 185<sup>th</sup> Street, Suite 201  
Aventura, Florida 33180

**Telephone: (305) 682-2000**  
**Facsimile: (305) 682-3669**

November 16, 2015

**VIA EMAIL**

Alexander Walker III, Esquire  
American Plaza II  
57 West 200 South, Suite 400  
Salt Lake City, Utah 84101

Re: Transfer of Shares of Anavex Life Sciences Corp. Common Stock

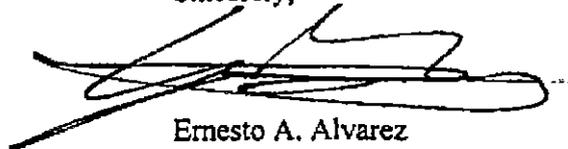
Dear Mr. Walker:

In response to your letter to us dated November 3, 2015, we have confirmed that Anavex Life Sciences Corp. ("Anavex") has delivered to Nevada Agency and Transfer Company (the "Transfer Agent") original Stock Certificate No. 0753 for 6,633,332 shares of Anavex common stock issued in the name of Mr. Athanasios Skarpelos and the stock power executed by Mr. Skarpelos in favor of Weiser Asset Management Ltd. ("Weiser"). In addition, we previously provided the Transfer Agent with an instruction letter from Weiser to the Transfer Agent requesting that it register on Anavex's stock transfer records Weiser's ownership of the 3,316,666 shares of Anavex common stock.

To reiterate our client's position, Weiser has presented an original certificate to the Transfer Agent for registration of transfer, and, pursuant to §104.8405 of Nevada Uniform Commercial Code – Investment Securities (the "Act"), the Transfer Agent must register the transfer. Weiser is a "protected purchaser" in accordance with §104.8303 of the Act because it purchased a certificated security for value, did not have notice of any adverse claim to the security and obtained control of the certificated security.

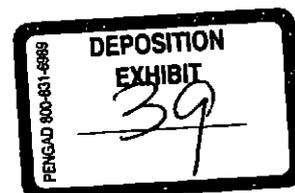
Please immediately confirm to us in writing that the Transfer Agent is effecting the transfer by Mr. Skarpelos to Weiser of 3,316,666 shares of Anavex common stock. The Transfer Agent's immediate action is critical in order to avoid loss or damage to Weiser.

Sincerely,



Ernesto A. Alvarez

cc: Weiser Asset Management Ltd. (via email) (with enclosure)



JA1098  
WEISER000012

Message

**From:** Simonitsch, Bill J [bill.simonitsch@klgates.com]  
**Sent:** 11/17/2015 12:55:28 PM  
**To:** Louis Montello [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=LMontello]  
**CC:** Ernesto Alvarez [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=Ealvarez]  
**Subject:** Transfer of shares of Anavex Life Science

Nice speaking with you today. Per our conversation, you will send me a copy of the fully executed Power of Attorney and a copy of the fully executed July 12, 2013 sales transaction between Skarpelos and Weiser. After I review those documents, I will speak with Anavex regarding your client's position that it is a protected purchaser.

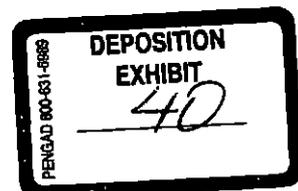
Sincerely,

Bill Simonitsch



William J. Simonitsch  
K&L Gates LLP  
Southeast Financial Center, Suite 3900  
200 S. Biscayne Blvd.  
Miami, Florida 33131  
Phone: 305.539.3336  
Fax: 305.358.7095  
E-mail: [bill.simonitsch@klgates.com](mailto:bill.simonitsch@klgates.com)  
Website: [www.klgates.com](http://www.klgates.com)

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JA1099  
WEISER000238

Message

**From:** Simonitsch, Bill J [bill.simonitsch@klgates.com]  
**Sent:** 11/18/2015 12:16:14 PM  
**To:** Ernesto Alvarez [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=Ealvarez]  
**Subject:** RE: Transfer of Shares of Anavex Life Sciences Corp.

Thank you.

**From:** Ernesto Alvarez [mailto:ealvarez@montellolaw.com]  
**Sent:** Wednesday, November 18, 2015 12:21 PM  
**To:** Simonitsch, Bill J  
**Cc:** Louis Montello  
**Subject:** Transfer of Shares of Anavex Life Sciences Corp.

Mr. Simonitsch:

As per your request, attached please find the following documents:

1. Stock Power.
2. Stock Sale and Purchase Agreement.

Thank you,

Ernesto A. Alvarez

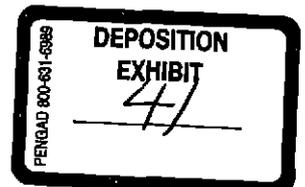


2750 NE 185<sup>th</sup> St., Suite 201

Aventura, FL 33180

T: (305) 682-2000 | F: (305) 682-3669

[ealvarez@montellolaw.com](mailto:ealvarez@montellolaw.com)



JA1100  
WEISER000216

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Message

**From:** Simonitsch, Bill J [bill.simonitsch@klgates.com]  
**Sent:** 11/19/2015 1:50:32 PM  
**To:** Ernesto Alvarez [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=Ealvarez]  
**CC:** Louis Montello [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=LMontello]  
**Subject:** RE: Transfer of Shares of Anavex Life Sciences Corp.

Thank you again for providing this back-up. Do you also have proof that you can provide me showing that the purchase price was paid and received?

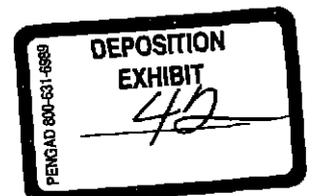
Sincerely,

Bill Simonitsch



William J. Simonitsch  
K&L Gates LLP  
Southeast Financial Center, Suite 3900  
200 S. Biscayne Blvd.  
Miami, Florida 33131  
Phone: 305.539.3336  
Fax: 305.358.7095  
E-mail: [bill.simonitsch@klgates.com](mailto:bill.simonitsch@klgates.com)  
Website: [www.klgates.com](http://www.klgates.com)

**From:** Ernesto Alvarez [mailto:ealvarez@montellolaw.com]  
**Sent:** Wednesday, November 18, 2015 12:21 PM  
**To:** Simonitsch, Bill J  
**Cc:** Louis Montello  
**Subject:** Transfer of Shares of Anavex Life Sciences Corp.



JA1102  
WELPER000218

Mr. Simonitsch:

As per your request, attached please find the following documents:

1. Stock Power.
2. Stock Sale and Purchase Agreement.

Thank you,

Ernesto A. Alvarez



2750 NE 185<sup>th</sup> St., Suite 201

Aventura, FL 33180

T: (305) 682-2000 | F: (305) 682-3669

[eaalvarez@montellolaw.com](mailto:eaalvarez@montellolaw.com)

[www.montellolaw.com](http://www.montellolaw.com)

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WEISER

Statement of Account

ACCOUNT USD 200-802992

Statement for the period February 1, 2019 - December 31, 2019

Skarpalos, Athanasios  
Tirax II Ghylada  
Athens  
Greece

For additional service, contact  
ELIAS SOURSOS  
Investment Advisor

242-698-6600

ACCOUNT SUMMARY

Estimated Current Value

CASH ON DEPOSIT	4,115.36
COMMON SHARES	N/A
<hr/>	
Total Assets	USD 4,115.36

CASH SUMMARY

USD Account	USD 4,115.36
-------------	--------------

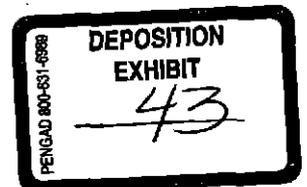
SECURITIES SUMMARY

USD Account

	Quantity	Location	Current Price	Estimated MV
<b>COMMON SHARES</b>				
ANAVEX LIFE SCIENCES CORP.	92,500	Res-Seg	N/A	
ANAVEX LIFE SCIENCES CORP. <small>(NYSE partial of corp 0758)</small>	3,318,856	Res-Seg	N/A	

Market Value of COMMON SHARES

N/A





Statement for the period February 1, 2013 - December 31, 2013

SKARPELOS, ATHANASIOS  
ACCOUNT USD 200-802992

**ACCOUNT ACTIVITY**

**Cash - USD**

Date	Activity	Value Date	Debit	Credit	Balance
02/01/2013	Opening Balance		(140,267.64)		(140,268)
03/25/2013	*Transfer TRANS USD TO EUR W200802992032513 10,000 EUR	03/28/2013	(13,391.90)		(153,678.54)
03/25/2013	*Wire Out Fee		(125.00)		(153,804.54)
04/02/2013	*STOCK SALE ANAVEX LIFE SCIENCE CORP 3,316,866	04/02/2013		249,580.00	85,775.48
05/09/2013	*Transfer TRANS USD TO EUR W200802992050913 15,000 EUR	05/14/2013	(20,098.40)		75,706.08
05/09/2013	*Wire Out Fee		(125.00)		75,581.08
05/22/2013	*Transfer TRANS USD TO EUR W200802992052213 16,093.90 EUR	05/29/2013	(20,000.00)		55,581.08
05/22/2013	*Wire Out Fee		(125.00)		55,456.08
07/02/2013	*Transfer TRANS USD TO EUR W200802992070213 19,000 EUR	07/08/2013	(18,847.60)		35,608.26
07/02/2013	*Wire Out Fee		(125.00)		35,483.26
08/06/2013	*Transfer TRANS USD TO EUR W200802992080613 15,000 EUR	08/08/2013	(20,857.90)		14,625.96
08/06/2013	*Wire Out Fee		(125.00)		14,700.96
08/18/2013	*Transfer TRANS USD TO EUR W200802992081813 7,500 EUR	08/23/2013	(10,480.60)		4,240.38
08/18/2013	*Wire Out Fee		(125.00)		4,115.38

**Securities - USD**

Settlement Day	Activity Type	Quantity	Description	Price	Amount
04/02/2013	SELL	3,316,866	ANAVEX LIFE SCIENCES CORP	0.076332	\$249,580.00



**WEISER**

Statement for the period February 1, 2013 - December 31, 2013

SKARPELOS, ATHANASIOS  
ACCOUNT USD 200-602982

Important information on depositing physical certificates with Weiser Asset Management Ltd., is available from your account manager or your financial advisor. Please read the document titled "Escheatment of Physical Certificates".

Effective October 1st 2013 our administrative fee for an Early Settlement Check will be 1% (with minimum of \$50,000)

**Terms, conditions & other information**

- This is a statement of your account according to our records. If it is not in accordance with yours please contact the Chief Compliance Officer immediately.
- The prices shown on the statement, used for the purpose of displaying market values, while obtained from sources believed to be reliable, cannot be guaranteed as to their accuracy. In any event, market values are shown as "estimated". If "N/A" appears in connection with any specific security, either there is no price or we were unable to obtain a reliable one.
- We expect prompt settlement of cash balances due to us.
- Credit balances are payable on request upon receipt by us of securities in "good delivery" form that may be owed by you.
- Any free credit balances, with the exception of balances held for registered plans, represent funds payable on demand, which although properly recorded in our books, are not segregated and may be used in the conduct of our business.

Message

---

**From:** Lambros Pedafronimos [l.pedaf@gmail.com]  
**Sent:** 12/21/2012 5:42:42 AM  
**To:** Christos [/O=CL/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=CHRISTOS]  
**Subject:** Transfer Stuck  
**Attachments:** Trnsfer.jpg

Hi Bud,

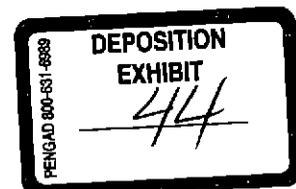
Someone forgot to include the beneficiary in the details of the transfer. Please get the the sender to contact his bank and provide the beneficiary name for the transfer to go through.

Beneficiary Name: Ntina Nikolaoy Pentafronimoy

Thanks

--

Lambros Pedafronimos



JA1107  
WEISER000345

ΜΗΝΥΜΑ SWIFT

ΑΡΙΘΜΟΣ ΑΝΑΦΟΡΑΣ: 20121220949014E665

0542 ΑΣΤΡΟΥΣ

ΡΕΞΕ

Αρ. Εντολής: 20121220949014E665 A/A 903163 Κ.Ε. 142  
Ημερομηνία 20/12/2012 Ώρα 14:06 Είδος Μηνύματος: SWIFT Κατ.Προσφ. 94

\*\*\* I N C O M I N G M E S S A G E \*\*\*

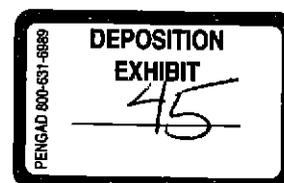
-----Message Header-----  
Swift Input :FIN 103 Single Customer Credit Transfer  
Sender :MIDLGB22XXX HSBC BANK PLC  
: (ALL U.K. OFFICES), LONDON  
Receiver :CRBAGRAAXX ALPHA BANK AE  
: ATHENS

-----User Header-----  
FIN Copy Service:EBA

-----Message Text-----  
20: Transaction Reference Number  
GBS20122H9WF08A0  
23B: Bank Operation Code Identification of the Option  
CRED  
32A: Date, Currency Code and Amount  
20/12/2012 EUR #20.000,#  
33B: Currency/Instructed Amount  
EUR  
20000,  
50K: Ordering Customer  
VERDMONT CAPITAL S.A.EDIF. HITECH  
PLAZACALLE 53 OBARRIOPANAMA / PANAMA  
A  
52A: Ordering Institution (ISO Bank Identifier)  
MIDLGB22BHX  
57B: Account With Institution (Branch)  
/BRANCH 542  
59: Beneficiary Customer  
/GR7801405420342002101002793  
→ ELLINIKO ASTROS KYNOURIAS22001GREEC  
E  
71A: Details of Charges  
SHA  
72: Sender to Receiver Information  
/ACC/REF 46213NU01E2P

-----End of Message-----

Αναριθμός Ανταποκριτή: 098003805020614  
Κατάσταση: ΕΚΔΟΣΗ ΕΝΤ. Κ.Ε=142 20/12/2012-A0



Message

---

**From:** Lambros Pedafronimos [l.pedaf@gmail.com]  
**Sent:** 5/9/2013 1:15:38 PM  
**To:** Christos [/O=CL/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=CHRISTOS]  
**Subject:** Acct/Details

Bank Name: Alpha Bank A.E

Bank Address: 2, Mavrothalassiti Street, Paralio Astros, 22001

Branch: 542

Bank Tel: +30 27550 52466

Beneficiary: Nikolaos Pentafronimos

Beneficiary Address: Astros Kynourias, Arkadia Greece

IBAN: GR78 0140 5420 5420 0210 1002 793

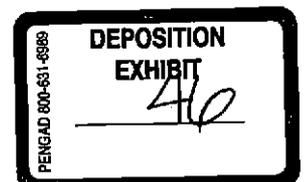
Account Number: 542 00 2101 002 793

BIC/SWIFT: CRBAGRAAXX

US Intermediary: Bank of New York Mellon, New York, IRVTUS3N

--

Lambros Pedafronimos



JA1109  
WEISER000312

Message

**From:** Christos [christos@bizex.bz]  
**Sent:** 11/19/2015 1:13:30 PM  
**To:** Christos Weiser Capital [/O=WEISER/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=Xtos]  
**Subject:** FW: Tom Transfer request. Fw: Quadruple Bypass

Begin forwarded message:

**From:** Alana Wheaton  
**Date:** April 27, 2013 at 1:17:02 AM GMT+8  
**To:** Rainbow  
**Cc:** Christos  
**Subject:** RE: Transfer request. Fw: Quadruple Bypass

Completed.

**From:** Rainbow  
**Sent:** Friday, April 26, 2013 12:42 PM  
**To:** Alana Wheaton  
**Cc:** Christos  
**Subject:** FW: Transfer request. Fw: Quadruple Bypass

Hi Alana,

Please authorize the following payment online per Christos' request.

Txn Date	Payment From	Beneficiary	Reference	Amount	Prepared/ 1st Authorised
29/04/2013	Business Integrated Account 817-552540-838 USD Savings	NIKOLAOS PENTAFRONIMOS 542002101002793		USD 20,000.00	PUSER2/



JA1110  
WEISER000320

Thanks

Rainbow

**From:** Christos  
**Sent:** 2013年4月26日 23:30  
**To:** Rainbow  
**Subject:** Transfer request. Fw: Quadruple Bypass

Hi R,

Can you transfer \$20k as shareholder withdrawal to details below. Soonest possible.. Tom had heart-attack and is waiting for payments to stay alive.

---

**From:** Lambros Pedafronimos  
**To:** Christos  
**Sent:** Fri Apr 26 11:21:32 2013  
**Subject:** Quadruple Bypass

Bank Name: Alpha Bank A.E

Bank Address: 2, Mavrothalassiti Street, Paralio Astros, 22001

Branch: 542

Bank Tel: +30 27550 52466

Beneficiary: Nikolaos Pentafronimos

Beneficiary Address: Astros Kynourias, Arkadia Greece

IBAN: GR78 0140 5420 5420 0210 1002 793

Account Number: 542 00 2101 002 793

BIC/SWIFT: CRBAGRAAXX

US Intermediary: Bank of New York Mellon, New York, IRVTUS3N

 Lambros Pedafronimos



Message

**From:** Christos Weiser Capital [/O=WEISER/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=XTOS]  
**Sent:** 11/19/2015 1:41:10 PM  
**To:** Christos Weiser Capital [/O=WEISER/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=Xtos]  
**Subject:** Skarpelos email flow 2011-2013

Subject	Date	Size
Credit: Russia under recent pressure, blood still spilling for the small guys	Sat 1/25/2013 11:20 PM	4 KB
RE: Apartment and House to lease at Marina Beach	Thu 1/27/2013 7:11 PM	1 KB
Answers presentation by Brounner contact	Tue 2/12/2013 2:13 AM	1 KB
For: Petacta Systems	Thu 2/14/2013 2:15 AM	90 KB
RE: AVXL - Short Term Financing Needs	Fri 2/4/2011 12:14 AM	18 KB
RE: AVXL - Short Term Financing Needs	Fri 2/4/2011 4:18 PM	36 KB
RE: TDV Daily: Free Medicine For All	Tue 2/8/2011 4:26 AM	235 KB
RE: TDV Daily: Are They Trying to Destroy the US as Purpose?	Tue 2/8/2011 4:26 PM	104 KB
RE: Fund money Q-A	Wed 2/9/2011 4:39 PM	4 KB
RE: AVXL deck	Thu 2/10/2011 3:12 AM	4 KB
RE: Andrew - Director Appointment	Tue 2/15/2011 9:28 PM	9 KB
Co. AD partner w. search Fw: CON Company	Wed 2/16/2011 9:19 PM	1 KB
RE: Andrew Related Show Deck	Thu 2/17/2011 5:15 PM	13 KB
Director for Administrators - II	Fri 2/18/2011 3:21 PM	1 KB
Soft	Fri 2/25/2011 12:12 AM	897 B
RE: AVXL - equipment maintenance	Tue 3/1/2011 1:25 AM	1 KB
RE: Feedback from First Analysis	Thu 3/1/2011 10:13 PM	4 KB
Out of Office AutoReply: ANAVEX Update Report by VRS_01092011	Wed 3/3/2011 12:11 AM	679 B
For: Potential guy - check out the link ASAP	Sat 3/15/2011 2:36 AM	1 KB
Answers 2-73	Thu 3/19/2011 3:00 PM	3 KB
RE: Forecast extended to studies	Fri 3/20/2011 2:14 AM	3 KB
RE: Forecast extended to studies	Fri 3/20/2011 3:23 AM	3 KB
Answers cashflow	Thu 6/2/2011 2:19 AM	3 KB
RE: Answers cashflow	Thu 6/2/2011 1:07 AM	3 KB
RE: Answers - Devotee Checking	Mon 6/13/2011 10:34 PM	11 KB
AV - 5	Thu 6/16/2011 1:40 AM	1 KB
Harvey - pending payback	Sat 6/18/2011 6:57 AM	1 KB
RE: Answers CEO	Wed 6/23/2011 7:25 PM	9 KB
Harvey RE: Answers - Jessica Baker	Tue 6/23/2011 8:53 AM	23 KB
RE: Harvey RE: Answers - Jessica Baker	Sat 6/25/2011 5:48 PM	19 KB
Harvey screen	Mon 11/20/2011 4:10 PM	4 KB
FW: Byron Capital Markets Investor Advisory Meeting at AgriSource v. Bay with C12 GO Target Price	Mon 11/20/2011 4:36 PM	1 MB
FW: Para	Tue 7/19/2011 2:23 PM	3 KB
Robert C	Mon 8/1/2011 5:50 PM	3 KB
Lab	Thu 8/23/2012 7:34 PM	2 KB

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Subject	Date	Time	Size
Christian Re: Lab proposal	Tue 8/2/2012	4:37 PM	2 KB
Christian Water treatment for Profile for Asan et	Mon 8/6/2012	4:28 PM	21 KB
Christian Water - 3 updates	Tue 8/7/2012	6:50 PM	1 KB
Christian Re: Water - 3 updates	Tue 8/7/2012	8:16 PM	2 KB
Christian Re: Profile for Asan et	Thu 8/9/2012	11:16 AM	13 KB
Christian Re: Hi level	Thu 8/9/2012	9:37 PM	1 KB
Christian We had an interesting issue today	Sat 8/18/2012	1:32 AM	4 KB
Christian Out of Office AutoReply: AV Process	Tue 8/21/2012	8:56 PM	348 B
Christian Yes, ANXL STCC Short	Mon 8/27/2012	9:18 PM	26 KB
Christian About Alzheimer's Disease, Alzheimer's Treatments	Mon 8/20/2012	2:05 AM	437 B
Christian Discussion group re: FDA error Accept safety - Health - Alzheimer's Disease - NBCNews.com	Mon 9/10/2012	2:39 AM	361 B
Christian For: How the FDA can make you a millionaire	Wed 9/12/2012	6:38 PM	17 KB
Christian Re: Mackinvey is dead	Sun 9/16/2012	9:57 AM	1001 B
Christian Re: Mackinvey is dead	Sun 9/16/2012	12:45 PM	1 KB
Christian Re: ANAVEX - SUMMARY OUTCOME OF THE TELECONFERENCE WITH Dr. PIAZZA	Tue 9/18/2012	4:28 AM	8 KB
Christian Re: ANAVEX - SUMMARY OUTCOME OF THE TELECONFERENCE WITH Dr. PIAZZA	Tue 9/18/2012	5:44 AM	773 B
Christian For: Looking pharmaceutical firms "going up" on Alzheimer's treatment after series of expensive failed trials	Wed 9/19/2012	3:57 PM	3 KB
Christian Re: U-PSON	Fri 9/21/2012	8:04 PM	4 KB
Christian Re: Answer to LP, actual version 09/24/2012	Mon 9/24/2012	9:13 AM	12 KB
Christian Chat with Christopher on 9/25/2012	Fri 9/28/2012	10:21 PM	3 KB
Christian Re: Answer's requests	Mon 10/1/2012	4:30 PM	4 KB
Christian New LP agreement to Alisa	Mon 10/1/2012	11:18 PM	1 KB
Christian Re: Answer's requests	Wed 10/3/2012	12:51 AM	9 KB
Christian Re: Answer's requests	Wed 10/3/2012	3:11 AM	1 KB
Christian FW: Venerables - CNE 20080001318.5 - Approval Requested	Wed 10/10/2012	1:28 AM	24 KB
Christian Mail FW: Kansas Fact Sheet	Wed 10/10/2012	9:58 PM	28 KB
Christian Re: 159-860 Access new agreement and end of contract 15-10-12	Mon 10/15/2012	9:42 PM	10 KB
Christian FW: Alzheimer's Are We Ready for the Coming Epidemic?	Mon 10/15/2012	9:36 PM	134 KB
Christian Broadcast - Z TALK - Eagle Mountain Closes \$2 Billion Private Placement with Western Capital	Thu 10/18/2012	4:01 AM	669 B
Christian For: U-ANXL ANAVEX 2-72 shows to block oxidative stress, preventing onset of Alzheimer's disease	Thu 10/18/2012	4:49 PM	1 KB
Christian Re: FYI - Answer	Fri 10/19/2012	1:21 AM	2 KB
Christian Answer	Fri 10/19/2012	1:31 AM	7 KB
Christian Re: Answer	Fri 10/19/2012	1:39 AM	8 KB
Christian Re: 159-860 New agreement	Thu 10/25/2012	4:44 PM	21 KB
Christian For: NIM beta Five XPRESSO Class Yacht	Fri 10/26/2012	5:22 PM	12 KB

From	Subject	Received	Size
Christine	AC comments to Tom	Sat 10/27/2012 1:34 AM	1 KB
Christine	AV contract performance	Tue 10/30/2012 8:17 PM	1 KB
Christine	Re: Conclusions on Andrew's initial statement	Wed 10/31/2012 2:22 AM	19 KB
Christine	AV	Sun 11/4/2012 10:59 PM	662 B
Christine	Re: AV	Sun 11/4/2012 11:27 PM	1 KB
Christine	Re: Notes to AC and AV	Tue 11/6/2012 3:52 AM	3 KB
Christine	Re: Fwd: Physics of scenarios	Tue 11/6/2012 10:28 PM	69 KB
Christine	Meet in Geneva, update 2007 agreement	Thu 11/8/2012 12:31 AM	2 KB
Christine	Re: Meet in Geneva, update 2007 agreement	Thu 11/8/2012 12:35 AM	3 KB
Christine	Everyone's schedule set?	Thu 11/15/2012 12:04 AM	573 B
Christine	Re: Everyone's schedule set?	Thu 11/15/2012 12:18 AM	1 KB
Christine	Re: E99 Annex 14-11-2012	Thu 11/15/2012 12:52 AM	6 KB
Christine	Re: E99 Annex 14-11-2012	Thu 11/15/2012 2:26 AM	5 KB
Christine	Re: E99 Attachment	Mon 11/19/2012 4:25 PM	2 KB
Christine	"Have we we at now?"	Sat 11/24/2012 5:08 AM	573 B
Christine	Re: "Have we we at now?"	Sat 11/24/2012 5:49 PM	2 KB
Christine	Re	Wed 11/28/2012 10:11 PM	9 KB
Christine	Catch-up Transfer AMT RE: E99 New draft of <del>amendment</del> and some questions on patent	Mon 12/3/2012 8:54 PM	7 KB
Christine	FR: AVXL DTCC Sheet	Tue 12/4/2012 7:49 PM	34 KB
Christine	Re: AVXL DTCC Sheet	Tue 12/4/2012 8:03 PM	1 KB
Christine	Deadline precision	Wed 12/5/2012 10:51 PM	1 KB
Christine	Answers - Directors	Tue 12/18/2012 5:57 PM	1 KB
Christine	FR: AVXL DTCC Sheet	Mon 1/7/2013 6:28 PM	39 KB
Christine	Re: Directors	Thu 1/10/2013 1:23 AM	747 B
Christine	Topic	Thu 1/10/2013 5:40 PM	871 B
Christine	Call -1-242-344-2418	Tue 1/10/2013 6:48 PM	761 B
Christine	2013: Junior Gold Co. of the Year - ETSX	Wed 1/23/2013 6:30 PM	154 KB
Christine	Insulin-like Growth Factor 1 (IGF1) Approval After Early Trials	Tue 2/12/2013 4:29 PM	3 KB
Christine	RE: LANGFOLD TAKES 15% STAKE IN EAGLE MOUNTAIN (E TSX) EAGLE ACQUIRES 100% OF ERI OLYANA PROJECT	Tue 2/12/2013 8:27 PM	23 KB
Christine	CM	Wed 2/20/2013 4:01 AM	1 KB
Christine	CM	Wed 2/20/2013 6:30 PM	1 KB



**SECURITIES COMMISSION OF THE BAHAMAS  
LICENSEES UNDER THE SECURITIES INDUSTRY ACT, 2011**

Name	Categories	Phone	Fax	Email	Address	P. O. Box	Registered Personnel
Abaco Global Advisors Ltd.	1. Managing Securities	328-2131	356-2155	info@abaco-ld.com	One Sandport Place West Bay Street Nassau, Bahamas	38	Michelle Knowles-Dunne, Olivier Noz
Advantage Financial International Ltd.	1. Managing Securities 2. Advising on Securities	327-0669	327-0696	swalson@gemeshim.com	5th floor East Bay Street Nassau, Bahamas	N-9058	Francoise Conforti, Samantha Watson, Crooks
Abelus Invest Ltd.	1. Managing Securities 2. Advising on Securities	367-2090	367-5788	demitris.jylloufi@abellinvest.com	700 Con Mackey Boulevard Abaco, Bahamas	AP-20415	Demetrius Sylloufi
Alliance Investment Management Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Advising on Securities	326-7333	326-7336	wblack@allianceinvest.com jbrown@allianceinvest.com	Ground floor British Colonial Hilton Centre of Commerce 1 Bay Street Nassau, Bahamas	55-19051	Jillian Brown, April Black-Meyer, Nolan Johnson
Alternative Asset Advisors S.A.	1. Managing Securities 2. Advising on Securities	702-1400	327-6029	jillan.jorgeson@aybank.com	Bayley Executive Park West Bay Street, 10th floor Nassau, Bahamas	N-1089	Veronica Babka-Maurer, Jacqueline Townsend, Jillian Jorgeson, Kelra Pratt
Analitical Research Advisors, LLC	1. Managing Securities 2. Advising on Securities	322-6448	325-8445	info@starling-bahamas.com	208A Saffrey Square Bank Lane and Bay Street Nassau, Bahamas	N-9341	Jean-Stephane Meris Lodi, Michelle Isale
Andbank (Bahamas) Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	394-7090	394-7089	BAHAMAS.AL@andbank.com wendell.gardiner@andbank.com	One Montague Place East Bay Street Nassau, Bahamas	AN-59323	Manuel Martinecz Campos, Claudine Farquharson, Wendell Gardiner, Denzil Bruntner, Werner Gruner, George Maitla
Artsbacher (Bahamas) Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	322-1161	326-6020	carlton.minter@wplaw.com	4th floor Colica Imperial building 1308 East Bay Street Nassau, Bahamas	N-7768	Sandra Biles, Catherine L. Fildy, Ricardo Rolin, Mary Rodland, Carlton Newton-Moore, Chantrea Clarno, Lashelle White, Katherine Rolin, Azma Rodgers, Emmanuel Konoldie
Aubul Securities Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	(305) 374-8111	(305) 372-9955	enfirm@aubul.com	Port Nassau Centre Hathborough Street Nassau, Bahamas	SP-67093	Andre Mendes Sousa, Fernando Mauicko Da Rocha Pereira Leite, Nichilga Palao, Wendy Warren, Andre Pereira Landi

March 31, 2015

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SECURITIES COMMISSION OF THE BAHAMAS  
LICENSEES UNDER THE SECURITIES INDUSTRY ACT, 2011

Name	Categories	Phone	Fax	Email	Address	P. O. Box	Registered Personnel
Amer Bank & Trust (Bahamas) Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	327-6594	327-6584	David.thain@amerbank.bh	Suite 2 Building 2 Caves Village Nassau, Bahamas	N-3917	David G. Thain; David Raunce; Walter; Christina Lisa Paterson
Ariana Capital Management	1. Managing Securities 2. Advising on Securities	327-9947	327-9988	irna@arianacapital.com	Caves Village West Bay Street Nassau, Bahamas	N-7776	Jean-Marc Emden
Alia Partners	1. Managing Securities	394-4382	394-4183	contact@alipartners.com	Village Road North Nassau, Bahamas	SS-19669	Georges Marcou; Tamara Bala
Assets Management Inc.	1. Managing Securities 2. Advising on Securities	502-7010	394-3253	gulfone@assets.com	308 East Bay Street Nassau, Bahamas	CB-12407	Anthony Ferguson; Yeh Eschubing; Prescott Adderley
Bahamas Central Securities Depository	Clearing Facility	322-5572/5	356-3013	michael.lamerson@royaldefinity.com	Suite 203 Port Nassau Centre Nassau, Bahamas	EE-15672	
Bahamas International Securities Exchange (BISX) Exchange		323-2330	323-2330	info@bahamas.com hgrant@bisx.com kdw@bisx.com	2nd Floor of the Park Nassau Centre British Colonial Hilton Nassau, Bahamas	EE-15672	Keith Davies
Bahamas Securities (1987) Limited	1. Advising on Securities	325-6591	325-6592	colman@bdcsmpltd.com	3rd Floor Archibair House Bank Lane Nassau, Bahamas	F-2989	George C. Culver; Myles J. Culver
Barca del Stimpione (Crewless) Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	322-3015	356-2020	beat.madr@stimpione-overseas.com	3rd Floor George House George Street Nassau, Bahamas	N-8159	Best Viktor Meier; Neil De Cordova Baker; Edrick Claret; Stanley Coulter; Simone Bertoldo; Michale Plumb; Francesca Trizine
Banco Santander Bahamas International Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	502-7500	322-3585	rosagonzalezcastajon@bimias.com	3rd Floor Goodman's Bay Corporate Centre West Bay Street Nassau, Bahamas	N-1682	José Gonzalez de Castañón; Roberto Morales
Bank of the Bahamas Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	326-2560	325-7162	info.bob@bankbahamas.com	Clayton House Shirley & Charlotte Streets Nassau, Bahamas	N-7118	Paul McWeeny; Renee Davis; Hubert Edwards; Laura Williams; Michael Harding; Phillip Albany



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Name	Categories	Phone	Fax	Email	Address	P. O. Box	Registered Personnel
Edmond de Rothschild (Bahamas) Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	702-4000	702-4008	n.sawyer@ed.com	Lyford Financial Centre Lyford Cay 92 Nassau, Bahamas	SP-03048	Christine Mahood, Michelle Rectory, Brenda Davis, Mark-Claude Tremblay, John Marlowe, Andrea Saunders, Lockley Kromley II
Beaumont Osgood International Limited	2. Managing Securities 2. Advising on Securities	362-8859	562-3972	sahya.builer@beaumontosgood.com	Unit 2 Old Fort Bay Lyford Cay Nassau, Bahamas	N-4287	Nicole M. Dupuy, Zalya Butler
Bondimark Advisors (Bahamas) Ltd.	1. Advising on Securities	326-7333	325-6532	jbrown@bondimarkinvest.com	Gresham House Church the Street North Nassau, Bahamas	N-10244	Zullen Brown
Berkley (Bahamas) Limited	1. Arranging Deals	393-8395	394-6841	contact@berkleypb.com	2nd Floor One Montague Place Nassau, Bahamas	N-3927	Wesley T. Roberts, Christopher I. Thompson, Frank L. Saunders
Binnock Advisors Limited	1. Arranging Deals 2. Managing Securities 3. Advising on Securities	502-8822	502-8140	diane@growpaysystems.com	Bayville House Bayville Executive Park West Bay Street & Blake Road Nassau, Bahamas	AP-59213	Monique L. Naylor, Matthew Gibbons, Sharda Rochelle Pearson
Binnock Investment Group Ltd.	1. Managing Securities	502-8822	502-8840	diane@groundtymer.com	Bayville House Bayville Executive Park West Bay Street & Blake Road Nassau, Bahamas	AP-59213	Matthew Gibbons
Birevyn Capital Ltd.	1. Managing Securities 2. Advising on Securities	695-1039	327-1179	juliana.ginton@birevyncapital.com	3rd Floor Suite # 304 Centre of Commerce 1 Bay Street Nassau, Bahamas	SP-65214	
Black Lake Management Services Ltd	1. Managing Securities 2. Advising on Securities	437-0808	1-0660 807 2383	lan@blacklakemanagement.com	2nd Floor Centre of Commerce 1 Bay Street Nassau, Bahamas	SS-19501	Ian Black, Charmka Gibbons, Claudio Miller
Birevyn Global Advisors Ltd.	1. Managing Securities	391-4182	394-4183	contact@birevyn-ltd.com	Willem Road North Nassau, Bahamas	SS-19689	Roger Landucci, Tereasa Bah



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Name	Categories	Phone	Fax	Email	Address	P. O. Box	Registered Representative
Blue Hops Ltd.	1. Managing Securities	375-2150	326-2151	bluehope@bluehops.com	2nd Terrace Conventry Nassau, Bahamas	N-7755	Oliker Chapman; Wejdy Warren
Blue Line Advisors Ltd.	1. Managing Securities	394-4182	394-4183	contact@blueline.com	Village Road North Nassau, Bahamas	SS-19689	David Pullar; Tamara Bain
Blue Sea Asset Management Ltd.	1. Managing Securities 2. Advising on Securities	502-7010	393-4638	psdint@bluesea.com	30 East Bay Street Nassau, Bahamas	CB-12407	Anthony Ferguson; Prescott Addeley
Brown & CIE Ltd.	1. Managing Securities 2. Advising on Securities	325-6581	325-6582	Raymond@allbank.com	Anchor House East Street Nassau, Bahamas	N-10144	Julian Brown
BS Overseas (Bahamas) Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	502-2200	502-2200	saajin.maher@bsbank.com	Goodman's Bay Corporate Centre West Bay Street & Seawall Drive Nassau, Bahamas	N-7130	Jennifer Weller; Albin Torchea-Nevry; Ma Tio Ramon do Felinto Albera Tuketa; Vanila Victoria Meyers; Alec Bell; Brenda Ferguson; James Denise Campbell; Tony Swearing; Julian Addeley; Andrea Frenson; Pierluigi Pecorini; Andrew Craschi; Luca Tamburini; Christian Salming; Saqib Mahomed; Franco Martelli; Katherine Marchant
Buzerfield Trust (Bahamas) Limited	1. Managing Securities 2. Advising on Securities	393-8200	393-3772	info@buzerfield.com	Montage Building Centre East Bay Street Nassau, Bahamas	N-8242	Julian Martel; Timothy Colclough
CBH (Bahamas) Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	594-6161	394-8262	dhilton@cbhbank.com	CBH House East Bay Street Nassau, Bahamas	N-1724	Steven L. Miller; Usula Belle; Ahmad Strachan; Lucindy Smith; Jason O'Beir; Dorothy Hilton
CFAL	1. Managing Securities 2. Advising on Securities	502-7010	356-3077	sthurston@cfal.com	508 East Bay East Bay Street Nassau, Bahamas	CB-12407	Anthony Ferguson; Pamela Muggiova; Prescott Addeley
CFAL Securities Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	502-7010	356-3677	sthurston@cfal.com	4th floor 508 East Bay East Bay Street Nassau, Bahamas	CB-12407	Anthony Ferguson; Shafeeqa Duncanson; Pamela O'Leary Muggera; Sophia Palmer Thurston; Tiffany Angelique Smith; Dwaine Swann James Stubbs; Jeanette Christal Francis; Anna Zavros; Kevin Burrows; Giovanna Evans; Prescott Addeley



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Name	Categories	Phone	Fax	Email	Address	P. O. Box	Registered Personnel
CIBC Trust Company (Bahamas) Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	334-1800	322-5892	rlclemens_builer@ibnl.com	Goldman's Bay Corporate Centre West Bay Street & Seaway Drive Nassau, Bahamas	N-3833	Sean R. Harrington; Norma Major
Citic Bank & Trust Company (Bahamas) Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals	402-4100	394-0701	lhpbsm@cbcm.com	One Montague Place East Bay Street Nassau, Bahamas	N-4908	Nevada M. Deane; Daniel M. Ambassador; Delaney, Ula A. Hepburn; Rupert White
Colonial Pension Services (Bahamas) Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	502-7526	502-7501	Larry.Gibson@abankjohns.com.bs	2nd Floor Albion House Cuthbert Avenue Nassau, Bahamas	SS-6245	Larry Gibson; Christine L. Pritcher
Cove Capital Partners Ltd.	1. Dealing in Securities as Agent 2. Managing Securities 3. Advising on Securities	676-2775/6		lhb@ccplcapital	PEL Chamberland House Chamberland Street Nassau, Bahamas	SS-6836	Heather Bolton-Husarukw; Ulfjan Russell
Corner Bank (Overseas) Limited	1. Managing Securities 2. Advising on Securities	394-4977	394-3264	info@cbk@corner.bs	1st Floor 308 East Bay Street Nassau, Bahamas	N-7234	Colyn Roberts; Michelle-Christie Dhum Miller
Credit Suisse AG (Basseterre Branch) Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	356-8100	326-6589	veressa.journeis@credit-suisse.com	4th Floor The Bahamas Financial Centre Shirley & Charlotte Streets Nassau, Bahamas	N-4928	Muriel Mackey; Delric Bernaby; Michael Barson; Alexandre Barriere; Tonka Mumburu; Ricardo Claudio Macedor; Leonrado Rayner; Francisco Gonzalez; Guillermo Simoes; Blanche Juan Zaurris; Thomas Kattar; Luis Barron; Maria Leopoldo de Figue; Darren Campbell; Vanessa Klemes; Sofia Maria Pinto Pinheiro; Philippa Symonowicz; Sergio das Santos; Rodrigo Pavez; Carlos D'Almeida



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Name	Categories	Phone	Fax	Email	Address	Registered Personnel
Credit Suisse Bank (Bahamas) Ltd.	1. Dealing in Securities as Principal & Agent	302-4000	302-4049	marco.naldedo@credit-suisse.com	The Bahamas Financial Centre Shirley & Charlotte Streets Nassau, Bahamas	Marco Macedo
de la Fontaine & Associates Ltd.	1. Managing Securities	594-0128	354-4183	contact@amps1td.com	Halibury Commercial Centre Village Road Nassau, Bahamas	Ralf Hubert; Tamara Bain
Deltec Bank & Trust Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	302-4100	362-4623	log@deltecbank.com	Deltec House Lyford Cay Nassau, Bahamas	Terrance Gilling; David McLaughlin; James Moss; Sherene Saunders; Lianne Johnson; Damien Essau; Forbes; David McLaughlin; Richard Beak; Jill Lela; David Minoz; Robert Turpin; Wilfrid Watts
Deltec Investment Advisors Limited	1. Managing Securities 2. Advising on Securities	302-1800	362-4623	dmorris@deltecbank.com	Deltec House Lyford Cay Nassau, Bahamas	Dennis Forbes; Lianne Johnson; David McLaughlin; David Munro; Lela Lela; Wynne Watts
EPG Bank & Trust (Bahamas) Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	502-5400	502-5428	theresa.hansen-eddie.liv@epgbank.com	2nd Floor Centre of Commerce 1 Bay Street Nassau, Bahamas	Karen Puder; Robert Morrison; Christopher Southgate; Theresa Vener-Addley; Jorge Zeballos; GS Singh; Paul Martin-Seguro; Neil Emery; Terec Amador; Leah Treco; Jaime Essonne; Neil Scheremagne; Duliza Smith
Eco Securities Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	367-2558	367-2568	ecobank@bale.net.bs	Loyalist Plaza, Don Mackley Boulevard, Marsh Harbour, Abaco	John D. Benjamin; Ellison Collins; Lawrence Collins; David Hoang; Linda Carolina Leathersden; Robert Simpson
Equity Bank and Trust Bahamas Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	676-8388	676-8109	info@equitybahamas.com	Squire Trust House Coral Village West Bay Street Nassau, Bahamas	Dillon Dean; Shelley Ward
Eurobank Bank Limited	1. Dealing in Securities as Agent	327-4157	327-4159	clients@eurobankbhd.com	Suite 12 West Bay Street & Biko Road Nassau, Bahamas	Itatidad Esther Benitez



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LICENSEES UNDER THE SECURITIES INDUSTRY ACT, 2011**

Name	Categories	Phone	Fax	Email	Address	P. O. Box	Responsible Person(s)
Euro-Dutch Trust Company (Bahamas) Limited	1. Dealing in Securities as Agent	325-1033	323-7918	ceo@euro-dutch.com	Templeton Building Lyford Cay Nassau, Bahamas	N-9204	Dawn E. Donaldson-Davies; Antoinette L. Innes-Standant Eric Strachan
Ernst Partners Limited	1. Managing Securities	356-6456	356-8923	info@erpartner.com	Meribrough & Queen Streets Nassau, Bahamas	N-9028	Jesse McBrain, David Roume, Juan Manuel Sosa, Francisco Verstraeten
EWIver Ltd.	1. Managing Securities 2. Advising on Securities	327-6070	327-6073	info@ewiver.com	Building #4 Caves Village West Bay Street Nassau, Bahamas	SP-65801	Richard Broughton; Flavio de Paula; Simone Zambelli
H.A. Management Limited (formerly F.L. Management Ltd.)	1. Managing Securities 2. Advising on Securities	503-7050	893-5002	hahwest@h.a.edu	508 East Bay Street Nassau, Bahamas	N-9058	Nicola Stewart
FAB Portfolio Management (Bahamas) Ltd.	1. Managing Securities 2. Advising on Securities	362-6823	335-8445	fab@fabportfolio.com	Daltec House Western Road Nassau, Bahamas	N-289	Alan Edward Cole; Fabrice Zamboni
FC Capital Investments Ltd.	1. Managing Securities 2. Advising on Securities	877-9661	354-6875	info@fcbahamas.com	Dominion House Abolouse Avenue Nassau, Bahamas	SS-19027	Leo Beuchart; Beverly Rahming; Tiffany Jones
FG Capital Markets Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	386-4000	383-1100	info@familyguard.com	Family Guardian Corporate Centre, East Bay & Shirley Streets	SS-6232	Lyrene Burney; Cardinal McCord; Stuart Jenkins; Kelly Ashley Reelby; C. Andre White; Sheral Westlake-Chollie
Fidelis Asset Management & Partners (Bahamas) Ltd.	1. Managing Securities 2. Advising on Securities	503-7978	326-2889	info@fsm.com	Bayview House East Bay Street Nassau, Bahamas	CB-12407	Brett Anthony Jurane; Prescott Aberley
FISL Overseas Bank Limited	1. Dealing in Securities as Principal & Agent	327-4775	327-4776	info@fistoverseasbank.com	Office #1, Building #2 Caves Village Professional Centre West Bay Street Nassau, Bahamas	CB-11903	Jorge Horacio Sheedens; Carlos Patricio Walkon



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First Caribbean International Bank (Bahamas) Limited	1. Dealing in Securities as Principal 2. Agent 3. Managing Securities 4. Advising on Securities	325-7384	323-1087	sherryjohnston@firstcaribbeanbank.com	Charlotte House Shirley A. Charabba Street Nassau, Bahamas	N-2321	Sean Byder, Janelle Moray, Paul Major, Sharon Deveau, Randy Taylor, Maria Roelandt-Alton, Giza MacKenzie
Pfizer Fund Administration Services Ltd.	1. Managing Securities 2. Advising on Securities	266-2240	354-3470	benetk@pfizer.bs	Bahamas Financial Centre Shirley A. Charabba Street Nassau, Bahamas	CB-13115	Fernando Antonio Prado, Indira Ferguson
Global International Ltd.	2. Managing Securities 2. Advising on Securities	378-7000	323-7001	adj@barbimassinternational.com	Lyford Cay Western Road Nassau, Bahamas	SP-62095	Keaner Delastre, Jean-Pierre Ribas, Darré Smith
Global Asset Management Ltd.	1. Managing Securities	308-2150	326-2151	gale@leading-services.net	2nd Terr. West Cantwell Nassau, Bahamas	N-7755	Oliver Chapman, Kelly Ferguson
GEN Global Equities Management S.A.	1. Managing Securities 2. Advising on Securities	677-5270	362-5257	ceo@euro-dutch.com	Templeton Building West Bay Street Nassau, Bahamas	N-9204	Anthony L.M. Inder-Randers, Eric Strachan
Gems Management Limited	1. Managing Securities 2. Advising on Securities	376-1905	326-3889	cedric.carroll@gemmanagement.com	Norfolk House Frederick Street Nassau, Bahamas	CB-12809	Cedric Carroll, Sheldon Cartwright, Thessa Sweeting-Diglio, David Marsh, Wendy Warren
Geoffratt (Bahamas) Limited	1. Managing Securities 2. Advising on Securities	356-4114	356-4125	jp@geoffratt.com	The Dranery 28 Caribbeish Street Nassau, Bahamas	N-1991	Oliver Camporese, Peter Carey, Jerome Conner, Garcia Whyms
Global Advisors Partners Ltd.	1. Managing Securities 2. Advising on Securities	323-1622	323-1622	ivano@globaladvisors.com	3rd Floor Coda of the Reston Building Charlotte Street Nassau, Bahamas	N-9471	Ivano Altas, Alexander Yancoff, Edgar Selignons, Sergio Delaude



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Name	Categories	Phone	Fax	Email	Address	P.O. Box	Registered Personnel
Global Private Portfolio Management Limited	1. Managing Securities 2. Advising on Securities	327-1097	327-1070	hemic@ppm@globalpm.com	Suite 232, 2nd Floor, Island Lane Building, Old Towne, Sandyport Nassau, Bahamas	N-407	Henry A. Fodlowski; Michael L. Slack; Elyseworth Moxie; Lemon Mungai; Nathan Addeley
Gonot Bank & Trust Limited	1. Dealing in Securities as Principal & Agent 3. Managing Securities 4. Advising on Securities	352-5406	352-5405	phantmer@bankgonot.com	Offices at Old Fort Bay West Bay St, Nassau, Bahamas	SP-61302	Patric Hammerer; Renkhina Mislack; Raquel Jacqueline Ouncumbe; James French
Green Cay Private Client Ltd.	1. Managing Securities 2. Advising on Securities	362-6400	362-6402	ju@greencay.com.bs	Lyford Cay Drive Nassau, Bahamas	N-7776	Jane Maria Sabais; Joseph Blyme; Russell Fryer; Wendy Warren
Hasenbichler Asset Management Inc.	1. Managing Securities 2. Advising on Securities	502-7020	393-5002	info@genaultfundservices.com	4th Floor 308 East Bay, Street P.O. Box N-9039 Nassau, Bahamas	N-9039	Bernd Michael Hasenbichler
Holwesko Advisors Ltd.	1. Managing Securities 2. Advising on Securities	362-7800	362-6733	mholwesko@holweskopartners.com	Shiplon House West Bay Street Lyford Cay Nassau, Bahamas	N-7776(7)	Richard Farrington; Mark Holwesko; Gregory Cleare; Eileen Zyp
Holwesko Partners Ltd.	1. Managing Securities 2. Advising on Securities	362-7800	362-6733	compliance@holweskopartners.com	Shiplon House West Bay Street Lyford Cay Nassau, Bahamas	N-7776(7)	Mark Holwesko; Gregory Cleare; Eileen Zyp; Richard S. Farrington
Lyford International Bank & Trust Limited (formerly Holtling Bank & Trust Limited)	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	362-7000	362-7007	compliance@holtlingbank.bs	Lyford Manor West Bay Street Nassau, Bahamas	CB-13012	Porcia Yvette Smith; Deyantra Edgcombe; Noelle Scott; Joel Jarbier
Holler Management Limited	1. Managing Securities 2. Advising on Securities	335-4885	323-7284	ump@veriteco-bahamas.com bh@hollerint.com	3rd Floor Allantic House Nassau, Bahamas	N-529	Bernard Rubes; Richard Coulson



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Independent Advisory Services Limited	1. Managing Securities 2. Advising on Securities	337-6037	327-6058	info@iadservices.com	Lagoon Court Suite 215 Old Town Mall Nassau, Bahamas	SP-63924	Adolfo P. Miranda; Nabeha Dha
Itza Bank & Trust Bahamas Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	502-3300	378-2750	andrea.scandolo@itza-bahamas.com	318 Annex Building East Bay Street Nassau, Bahamas	N-3930	
J. Safra Asset Management Limited	1. Managing Securities 2. Advising on Securities	677-6555	677-6550	w.pentho@jstra.bs	Building III Bayville Executive Park West Bay Street & Baska Road Nassau, Bahamas	CB-10988	Israel Bobay; Daniel Kamin[il]
J. Safra Sarasin Asset Management Bahamas Ltd.	1. Managing Securities 2. Advising on Securities	601-6600	601-6601	norma.litson@jassarasah.com	Suite 110-B Saffery Square Building Bay Street & Bank Lane Nassau, Bahamas	N-10988	Norman Phipps
Jubilee Bank & Trust (Bahamas) Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	394-0300	394-9340	rochelle.rolfe@jubileebank.com	Ocean Centre Montague Pineshore Nassau, Bahamas	N-4830	Maria Elyvoust-Darville; Rochelle Rolfe; Nicholas Martin Goud; Romo Calderon; Patrick Feuz; Patrick Guye-Bergant; Sharon Laheur; Emil Sutter; Tiffany Jones; Philip Vlahis; Andrea Bianchi; Andrea Rolfe; Anna Zyzobak-Guzay; Lareya McPherson; Mark Zibanski
K.P. Investment Advisors Ltd.	1. Managing Securities	394-4182	394-4183	contact@kpsa-bd.com	Hatfield Commercial Centre Village Road Nassau, Bahamas	SS-19689	Karl Hoerlans; Phure M. Monnarés; Tamara Balin
Quantum Analytics Management Ltd. (formerly Emerald Asset Management)	1. Managing Securities 2. Advising on Securities	424-8227		fabio@qanema.com	Shoreline Drive Old Fort Island Nassau, Bahamas	CR-50766 #218	Fabio Allencay; Dave Smith



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Leifshon Global Advisors Ltd.	1. Advising on Securities	356-4454	356-2432	leifshon@leifshon.com	Waterloham Place Marinepark & Queen Streets Nassau, Bahamas	N-2026	David Renner; Miguel Srichan
Leno Corporate Services Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	364-2800	364-5880	lensgry@lenocorporateservices.com	2nd Floor Pineapple Place Nassau, Bahamas	N-7535	Sean Longley; Khalil Brahimovic; Trietta Smely; Allan Bestwick
LDeco Asset Management Ltd.	1. Managing Securities	394-4182	394-4183	contact@ldeco-ld.com	Suite No. 2 Melbony Commercial Center Village Road Nassau, Bahamas	55-1568	Pierre Blabien; Pierre Monnard; Karl Hoerler; Tamara Bah
Lighthouse Asset Management Ltd.	1. Managing Securities 2. Advising on Securities	327-6564	327-6594	lga@lighthouse-am.com	Offices at Old Fort Bay Building 4, Lyford Cay Nassau, Bahamas	N-7776	Riccardo Romani; Austalia Carmelo Grill-Duck; Walter Chirben
LOM Stockbrokers International Ltd. (formerly LOM Securities (Bahamas) Limited)	1. Dealing in Securities as Agent 2. Advising on Securities	323-0032	323-0084	craig.lins@lom.com	Suite 209 British Colonial Hilton Centre of Commerce 1 Bay Street Nassau, Bahamas	CB-12762	Craig Linst; Samy Scully
Lombard Oiler & Co (Bahamas) Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	302-2100	302-2100	ndella.horton@lomb.com	Goodman's Bay Corporate Centre West Bay Street & Seafire Drive Nassau, Bahamas	N-4938	Heidi Horton; Rosemary Barrett; Maurice Chisclair; Christophe Cowburn; Claudio Godard; Renaud Vaillancourt; Hervé Féry; Bertrand Lhué; Christian Pultroni; Christophe Leonard
Lyford Investment Management Ltd.	1. Managing Securities 2. Advising on Securities	325-0922	325-0911	ddean@equitybahamas.com	Equity House, Cayes Village West Bay Street Nassau, Bahamas	N-10687	Dillon Dean; Stephen Walker
Macro Bank Limited	1. Dealing in Securities as Agent 2. Arranging Deals	327-6418	327-6437	rfine@macrobank.com	Caves Village Professional Centre West Bay Street Nassau, Bahamas	N-4444	Robin Simons; Elen Ker; Sheila Giani
Magellan Securities Limited	1. Managing Securities 2. Advising on Securities	326-2700	326-2718	boavidowksi@magellansecurities.net	Goodman's Bay Corporate Centre 2nd floor Nassau, Bahamas	CB-12762	Robert Dawidowski; Alicja Roberts; Mercedes Miller



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Metropolitan Bank (Bahamas) Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals in Securities	677-1925	594-2142	john.lawrence@metrobankbahamas.com	Suite 700 2nd Floor New Providence Financial Centre East Bay St. Nassau, Bahamas	CR-56766	Maqueline Bally, Ernest McAlpine, Indrewni Gibson, John Lawrence
Mifbankm Investment Advisors Ltd.	1. Managing Securities	894-1182	394-4189	contact@apms-ltd.com	Mckinley Commercial Centre Village Road Nassau, Bahamas	SS-19689	Carl Howkings, Pierre M. Monnard, Fabrice Carpentier de Caro, Tamara Bain
MP Global Bahamas Ltd.	1. Managing Securities 2. Advising on Securities	677-6770		mp.mckey@mpglobal.com	South Beach Square Sandport Nassau, Bahamas	CB-10935	Stephen Madley, Nicoletta Duncanson, Jaspreet Chahal
MMG Bank & Trust Ltd.	1. Dealing in Securities as Agent 2. Managing Securities 3. Advising on Securities	325-2400	322-5357	luerna.thompson@mmgbank.com	Suite 102 Suffrey Square Bay Street & Bank Lane Nassau, Bahamas	N-4889	Paulette Hanna-Ferguson, Laverne Thompson
Nordica Investment Management Limited	1. Managing Securities 2. Advising on Securities	327-2600	335-9445	scote@nordica-bahamas.com	Suite 205A Suffrey Square Bay Street & Bank Lane Nassau, Bahamas	N-10222	Daniel Hedrick, Anna Hedbrook
Octogona Fund Management Limited	1. Managing Securities 2. Advising on Securities	362-4995	3624996	rcm@octogona.com.bs	No. 3 Offices Old Fort Bay Nassau, Bahamas	SP-43157	R. Clive Moore, Roger Kristian Kwechobit, Cindy Thompson
Old Fort Financial	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	362-6900	362-6900	shumwika.farmanee@oldfortfinancial.com james.schafer@oldfortfinancial.com	Offices at Old Fort Bay Building #4 Western Road Nassau, Bahamas	SP-43771	Robert F. Jensen, C. James Schaefer, Shantele Fernandez, Latere Culmar
Oracle Capital Advisors Ltd.	1. Dealing in Securities as Agent 2. Managing Securities 3. Advising on Securities	323-5448	325-5448	info@sterling-bahamas.com	Suffrey Square Bank Lane and Bay Street Nassau, Bahamas	N-0934	Oleg Nidnyuk, Michelle Bah
Pacific Global Advisors Ltd.	1. Managing Securities	394-4182	394-4183	contact@apms-ltd.com	Hickory Commercial Centre Nassau, Bahamas	SS-19689	Ashur Akh, Karl Howkins, Pierre Monnard, Emano Tamburini, Tamara Bain



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Barque Neelands (formerly Pasche Bank & Trust Limited)	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	327-3333	325-1316	G.Schmitt@enquiriesbarq.com	Unit 1 Western Commercial Centre, Mt. Pleasant Village Western Road Nassau, Bahamas	AP-99241	Cliff Arnold Schmitt; Patricia Miller
Publix Global Advisors Ltd.	1. Managing Securities	394-0128	394-4103	601144@publix.com	Hobbs Commercial Centre Nassau, Bahamas	SS-19649	Pierre Moncheur de Maudouze; Tamara Bish
Picket Bank & Trust Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	302-2722	327-6510	jmccain@picket.com	Riviera Executive Park West Bay Street & Bble Road Nassau, Bahamas	N-0837	Yves Y. Lourdin; Erich W. Muesma; Jan H.C. Mischonick; Gregory Schuler; Jeremy Baber; Allison Moss; Tamica Rolle; Leo Ruberg; Pierre Collé; Juan Villanar; Tyrone Fomler; Sandra Walker; Milham Scott; Donna Barr; Michael Beckley; Jona Swares
PNC Asset Management Ltd.	1. Managing Securities 2. Advising on Securities	325-4379	325-8445	info@pnc-bahamas.com	2nd Floor Suite 2024 Sentry Square Building Bank Lane and Bay Street Nassau, Bahamas	N-9936	Ann Edward Cole; Elena Emanuele Frandoni; Michele Bain
Prime Capital Management S.A.	1. Managing Securities 2. Advising on Securities	362-4955	362-4996	rcm@octogen.com.bs	100,3 Offices at Old Fort Bay Nassau, Bahamas	SP-83157	Lana Taylor; Ronald Clive Moore
Prime Investment Bank Limited	1. Dealing in Securities as Agent	503-5650	302-5970	plb@primebank.bs	Dermdale House Queen Street Nassau, Bahamas	N-3918	Arcyline Bain; Yvonne Coleby; Climbie Thompson; Valerio Zauch; Roger Duanig; Christine Leo
Prudential Advisors Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	328-7115	378-7139	monique.rooper@prudential.com.bs	3rd Floor Godman's Day Corporate Centre Nassau, Bahamas	AP-59223-409	Carrel E. Burrows; Monique R. Cooper; Bradley S. Censhingham; Olive C. Gallow; Kimwood N. Kerr; Florabelle Rodgers; Charlotte Loretta Elynick; Wendy Warren
RLA.F. Ltd	1. Managing Securities 2. Advising on Securities	601-5334	601-8139	mlthompson@rla.com.bs	No. 1 Bay Executive Park West Bay Street Nassau, Bahamas	N-9937	Danielle Saxon



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RBC Dominion Securities (Global) Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	362-6740	362-6744	mario.rnith@bc.com	Lyford Manor Lyford Coy Nassau, Bahamas	N-3234	John N. Bond; Andrew G. McCartney; Sophie E. McKenzie; Ciro D. Newbold; Michael Umwer; Ashley Logan; Jenia Scott; Maria Smith
RMG Investment Advisors Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	367-7100	342-7240	proberts@rmdvisors.com	Winterbourn Place Marlborough & Cunney Sts. Nassau, Bahamas	N-3026	Roberto A. Roberts; Robert Ingray
Royal Fidelity Capital Markets Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	356-7764	376-3000	michael.anderson@fidelitybahamas.com	Fidelity Financial Centre 51 Frederick Street Nassau, Bahamas	CB-12337	Michael A. Anderson; Sherell Woodside; Pauline Louise; Barbara Payne
Royal Fidelity Merchant Bank & Trust Limited	1. Managing Securities 2. Advising on Securities	356-7764	376-3000	judy.higgs@fidelitybahamas.com	Fidelity Financial Centre 51 Frederick Street Nassau, Bahamas	CB-12337	Clara Faycharson; Joseph James Buteaux; Paulette Lorraine; Tahirah Gray; Michael Anderson; Karen Major; Spencer Von Dean
RCSI Limited	1. Managing Securities 2. Advising on Securities	502-7020	393-5092	shah@winesfundservices.com	4th Floor 308 East Bay Street Nassau, Bahamas	N-9058	Christopher Wesley Satterfield; Neil Patrick Harney; Antoine Bastien
Safra Asset Management (Bahamas) Limited	1. Managing Securities 2. Advising on Securities	677-6555	677-6550	w.perrine@safra.bs	2nd Floor King's Court Bay Street Nassau, Bahamas	CB-10988	Daniel Nilsim Kinkball; Israel Berba
Bank Lsifra Srafin (Bahamas) Ltd. (formerly Safra International Bank & Trust Ltd.)	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	601-6003	601-6001	norman.frisson@lsifrasrafin.com	Saffray Square, Suite 109-B Bay Street & Bank Lane Nassau, Bahamas	CB-10988	Norman Frisson; Adrian Zadeh; Yantoni Zakaune; Jojo Franco; Dania Samalgit
Scotiabank (Bahamas) Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	358-1433	356-1618	sean.albert@scotiabank.com	Rawson Square Bay Street Nassau, Bahamas	N-751B	Dena Mous; Manda Lamorne; Kevin Tsaiyk; Lisa Taylor; Penny Ferguson; Sean Albert; Tamara Van Breegel



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Scotiabank Caribbean Treasury Limited	1. Managing Securities 2. Advising on Securities	302-2960	328-7432	wayne.howard@scotiabank.com	Suite 300 British Colonial Hilton Centre of Commerce 1 Bay Street Nassau, Bahamas	N-7518	Wayne Howard; Robin Scordillo; Shanda Miller
Solon Securities International Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	362-6330	362-4181	js@solonsecuritiesinternational.com	Lyford Cay House Lot Floor Lyford Cay Nassau, Bahamas	CS-13041	Erica Dolven; Jay Collins; Craig Shroy
Societe Generale Private Banking (Bahamas) Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	302-5000	302-4709	brn.stourup@sg.com	2nd Floor Lyford Cay House Western Road Nassau, Bahamas	N-7745	William Remyck; Gede; Jenke Aelia Johnson; Dominique J. Lalande; Usha Mackay; Therese Hudson; Shandra Berry William Gibson; Jay Miggs; Anthony Ridge; Adrian Smith; Yves Stourup; Valentin Bethell; Monica Miller; Felix Mark Smith; Jeanette Chadebay-Selland
Staffing Financial Group Inc.	1. Managing Securities 2. Advising on Securities	677-1900	677-1810	info@staffing-bahamas.com	New Providence Financial Centre East Bay Street Nassau, Bahamas	N-1812	David Eason; Antonio Collins; Terrell (Russell) Stephen Tiller
Stone Tower Management Ltd.	1. Managing Securities 2. Advising on Securities	326-1150	326-2151	stonetower@leadingsolutions.net	2nd Terrace West Centerville Nassau, Bahamas	N-7715	Olliver Chapman; Wendy Warren
Swift Capital Ltd.	1. Managing Securities 2. Advising on Securities	603-2090	603-2071	jm@swifcap.net	Old Fort Bay Town Centre Unit 7, Building 2 Nassau, Bahamas	SC-0333	Ereife; Alan Paul Dalponte; Marilina Rambaud
Swiss America Securities, Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	488-5173	324-0983	info@swissamerica.com	Suite # 17 Elizabeth on Bay Plaza Elizabeth Ave. & Bay Street Nassau, Bahamas	BE-17971	Philip Dornier; Guy Gendle; Sarah Rahnholz; Tiffany Donalson; Damirido Nieme
Swiss Atlantic S.A.	1. Managing Securities 2. Advising on Securities	956-6420	922-6084	swa@swissamericabm.net	2nd Terrace West Centerville Nassau, Bahamas	N-10587	Alan Richardson; Oskar Chapman; Wendy Warren



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SSS Solutions Ltd. (Formerly Swiss Investment Solutions (IS) Ltd.)	1. Managing Securities	601-5345	601-5340	www.solutions-bd.com kenn.mrophee@sis-solutions-bd.com	Devonshire House Queen Street Nassau, Bahamas	SP-69111	Yeva Mrophee, Michelle Miller
Syl Bank & Trust Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	327-6933	327-6629	miguel.gonzalez@sybanc.com	Bayside Executive Park West Bay Street & Blake Road Nassau, Bahamas	N-1089	Miguel Gonzalez, Yvonne Ruffs Doyle-Haines, Jacqueline Townsend, Philippe Dumais, Frank Neigt
Templation Global Advisors Limited	1. Managing Securities 2. Advising on Securities	362-4000	362-5281	tsinda@templation.com	Templation House Lyford Cay Nassau, Bahamas	N-7759	Lisa Myers, James Kasper, Cynthia Sweeting, Edgerton Scott III, Norman Boersma, Michael O'Grady, Peter Palijak, Heather Arnold
Tendenci Asset Management Limited	1. Managing Securities 2. Advising on Securities	328-7020		contact@tendencigrp.com	Goodman's Bay Corporate Centre West Bay Street Nassau, Bahamas	SP-60596	Leo Kyss, Indra Ferguson
The Bank of Nova Scotia Trust Company (Bah) Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	602-5700	326-0991	raw@scubaham@scotiabank.com	Scotia House 404 East Bay Street Nassau, Bahamas	N-3016	Sonal Banerji, John Ravindra Jeebhoy, Shamini Symons-The-Gibson, Gregory Walker
The Private Trust Corporation Limited	1. Dealing in Securities as Agent 2. Arranging Deals	329-4574	326-8288	sc@privatetrustco.com	Charlotte House Shirley & Charlotte Streets Nassau, Bahamas	N-45	Adrian Doolittle-Jones, Bruce Roberts, Clarlene Y. Starr, Monique Bawa
The Street Trader Limited	1. Dealing in Securities	326-6963		millerlaw95@gmail.com	Lagoon Court Sandport Nassau, Bahamas	EE-32971	Ven Andre Wilson, Calvin Rolle
The Whitehall Trust Company Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	356-5454	356-9132	nassau@whitehall.com	Whitehall Place Marlborough & Queen Streets Nassau, Bahamas	N-3026	John G. Hooper, David Roimes, Jasika Thornley



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Tillman Securities Ltd.	1. Dealing in Securities as Principal 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	356-3244	356-3245	info@tillmansecurities.com	1 George Street Nassau, Bahamas	55-19420	Hiro C. Spandidis; Charissa Major; Monisha Nashby; Vickal Roberts; Dominique Munroe
UBS (Bahamas) Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	394-9300	396-3312	andrews.jo@ubs.com	UBS House East Bay Street Nassau, Bahamas	N-7757	Marcia V. Akdeniz; Jose A.M. Aguilar Mojica; Charita Noblage; Karla Pires; Karen A. Tomqvist; Andras Eucharany Gornai; Marcel Ott; Rest Bonnes Poubetes; Felicia Caudrey Boyer-Bazard; Tibbaud Jakovych; Fabian Falkowski; Rene Baumgartner; Susanao Baum; Walter Barreto
UCAP Bahamas Limited	1. Managing Securities 2. Advising on Securities	702-4500	702-4524	clemente.l.ducati@ucap.com	Lyford Cay Financial Centre Western Road Nassau, Bahamas	N-7776	Clemente Ducassy; Wendy Wahren
Union Bancaire Privée (Bahamas) Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	362-4307	362-4339	edg@ubp.ch	5th Floor Lyford Cay House West Bay Street Nassau, Bahamas	N-7529	Eric M. Dyer; Vandyke Saunders; Peter Butler; Branda Powell; Davawn Turner; Paul Russell; Cliff McPhee; Pascal Michener; Kysen Noshie-Young
Union Bancaire Privée, UBP SA	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	325-6755	325-6765	edg@ubp.ch	5th Floor Lyford Cay House West Bay Street Nassau, Bahamas	N-7529	Eric M. Dyer; Branda Powell; Davawn Turner; Vandyke Saunders; Paul Russell; Cliff McPhee; Peter Butler; Kysen McPhee-Young



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LICENSEES UNDER THE SECURITIES INDUSTRY ACT, 2011**

Name	Categories	Phone	Fax	Email	Address	J.O. Box	Registered Personnel
Vaughan Asset Management Limited	1. Managing Securities 2. Advising on Securities	927-4170/ 227-4174	327-4176	vashan@corahouse.com	Suite 212 2nd Floor The Old Town Larson Court Building West Bay Street Nassau, Bahamas	SP-81708	James Burrows; Nathan Addeley; Hubert Francis-Ponce
Victorian Bank Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	328-0081	328-0983	mpayan@victorianbank.com	Suite 2nd Suffrey Square Building Bay Street & Bank Lane Nassau, Bahamas	N-851	Mario R.K. Payne; Samuel J.H. Williams
Wilson Advisors III Ltd.	1. Advising	502-7030	399-5002	info@wilsonadvisors.com	5th Floor 308 East Bay Street Nassau, Bahamas	N-8058	Bert Uwek; Antoine Bastien
Weiner Asset Management Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	699-6600	698-6601	terah.rehming@webar.com.bs	Offices at Old Fort Bay Building 88, Pigeonhole Plaza Lyford Cay Nassau, Bahamas	N-30697	Dillon Dean; Mylyn Cassar; Elias Sourouz; David Siddors; Terah Rehming
Wells Capital Management Inc.	1. Managing Securities 2. Advising on Securities	362-3080	362-6550	vanita.lanford@wellsicap.com	Lyford Manor Victims Road Nassau, Bahamas	N-7776	Jeffrey A. Everett; Dale Wyner
Wendmore Corporate Management Limited	1. Managing Securities	677-1922	694-8326	john@wendmore.com	Suite 2000 New Providence Financial Centre East Bay Street Nassau, Bahamas	CR-36768	John Lawrence
WEACG Ltd.	1. Managing Securities	394-4182	394-4183	contact@wpa-hold.com	Wings Road North Nassau, Bahamas	SS-19569	Charles de la Baume; Tamara Bath



SECURITIES COMMISSION OF THE BAHAMAS  
 LICENSEES UNDER THE SECURITIES INDUSTRY ACT, 2011

Name	Categories	Phone	Fax	Email	Address	P.O. Box	Depleted Personnel
Jefferson Capital Limited (formerly WMS Management Ltd)	1. Managing Securities 2. Advising on Securities	502-7070	393-5002	info@geneticfundservices.com	1st Floor 308 East Bay Street Nassau, Bahamas	N-9058	All Bilgrami, Samantha Watson
XL Partners Ltd.	1. Managing Securities 2. Advising on Securities	856-4114	323-2154	jefferson@globalcmtd.com	Global House Cumberland Court One Cumberland Street Nassau, Bahamas	N-1991	Garla Whyne

NOT VALID UNLESS COUNTERSIGNED BY TRANSFER AGENT.  
INCORPORATED UNDER THE LAWS OF THE STATE OF NEVADA.

NUMBER

0753

SHARES

\*\*\*6,633,332\*\*\*



"THE SHARES REPRESENTED BY THIS CERTIFICATE HAVE NOT BEEN REGISTERED UNDER THE SECURITIES ACT OF 1933, AND MAY NOT BE SOLD, TRANSFERRED OR OTHERWISE DISPOSED UNLESS, IN THE OPINION OF COUNSEL SATISFACTORY TO THE ISSUER, THE TRANSFER QUALIFIES FOR AN EXEMPTION FROM OR EXEMPTION TO THE REGISTRATION PROVISIONS THEREOF."

AUTHORIZED COMMON STOCK: 150,000,000 SHARES  
PAR VALUE: \$0.001

CUSIP NO. 032797 10 2

*This Certifies that*

\*\*\*ATHANASIOS SKARPELOS\*\*\*

As The Record Holder Of  
\*\*\*SIX MILLION SIX HUNDRED THIRTY THREE THOUSAND THREE HUNDRED THIRTY TWO\*\*\*

Shares of ANAVEX LIFE SCIENCES CORP. Common Stock

transferable on the books of the Corporation by the holder hereof, in person or by duly authorized attorney, upon surrender of this Certificate properly endorsed. This Certificate is not valid until countersigned by the Transfer Agent and registered by the Registrar.

Witness: the forsworn seal of the Corporation and the forsworn signatures of its duly authorized officers.

Date: OCTOBER 29, 2009

SECRETARY

PRESIDENT



Countersigned and Registered  
Nevada Agency and Transfer Company  
50 West Liberty Street • Suite 880 • Reno, Nevada 89501

No. CV15-02259

Skarpelos

vs.

Weizer et al

Skarpelos Ex. 1

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By [Signature]  
Deputy





# Weiser Asset Management Ltd

de la Plaine House, 28 Parliament Street, P.O. Box N-10697, Nassau, Bahamas

Tel: 647-965-2275

www.weiseram.com

## About this Application

This is the Weiser Asset Management Ltd. Account Application. Please read it carefully, as you will select products and services, tell us how you want to communicate with us, and agree to certain provisions that will govern our relationship. When we accept it, this Application and all accompanying or supplemental documents form the entire Agreement between us for this account.

Unless otherwise indicated in this Application, the words "you," "your," "yourself," and "yours" mean the applicant(s). The words "we," "us," and "our" mean {Weiser Asset Management Ltd, de la Plaine House, 28 Parliament Street, P.O. Box N-10697, Nassau, Bahamas } and our branches, subsidiaries, and affiliates.

## Getting Started

Please complete this application in full, sign and return the original to WEISER ASSET MANAGEMENT LTD. along with any additional documents required as noted below.

### Individual Account

- Account Application Form
- Completed Identity Verification Form

- Copy of Passport
- Bank Reference

### Joint Account

- Account Application form
- Completed Identity Verification form\*

- Copy of Passport
- Bank reference

\* For each party in the joint account

### Corporate Account

- Account Application Form
- Completed Identity Verification Form\*
- Sealed Corp Resolution Authorizing Account Opening
- Certified Copy of Articles of Incorporation

- Copy of Passport\*
- Bank Reference\*
- Verification of Officers and Directors of Company
- Certified Copy of Certificate of Good Standing

\* For each Signatory and Beneficial Owner

### Trust Account

- Account Application Form
- Copy of Passport for each Trustee and Signatory
- Complete Identity Verification Form for each Trustee and Signatory
- Certified copy of the Trust Agreement
- Bank Reference for Trustees and Signatories
- Copy of Passport for primary clients under the Trust
- Complete Identity Verification Form for primary clients under the Trust
- Bank Reference for primary clients under the Trust

The above information helps us comply with various securities regulations and rules. Please note: if we cannot verify the information you provide, we may be required to restrict or deny your account.

Please remember to notify us if you experience a significant life change, such as the birth of a child, marriage, divorce, death of a spouse, loss of a job, change in financial situation, etc.



# 1 Select An Account

## Account Type

- Individual Account
- Joint Account (more than one account holder)
- Corporate Account
- Trust Account

## Other Accounts

Do you have other accounts with us?  Yes  No

*If yes, please provide details*

Preferred Account Name \_\_\_\_\_







2 Please Tell Us About Yourself—CONTINUED

**All Applicants**

**Industry and Other Affiliations**

<p><i>Primary Applicant</i></p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>  <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p><i>Co-Applicant</i></p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>  <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p><i>Are you, your spouse, or any other immediate family members, including parents, in-laws, siblings and dependents:</i></p> <p><b>Employed by or associated with the securities industry (for example, a sole proprietor, partner, officer, director, or branch manager of a broker-dealer firm) or a financial regulatory agency?</b></p> <p>If yes, please specify entity below. If employed by the entity and, if required, please provide a letter from your employer (with this Application) approving establishment of this account.</p> <p><input type="checkbox"/> Broker-Dealer or Securities Dealer      <input type="checkbox"/> Investment Adviser</p> <p>Name of entity(ies): _____</p> <p><b>An officer, director or 10% (or more) shareholder in a publicly-owned company?</b></p> <p>Name of company and symbol: <u>Anavex Life Science-AVX</u></p> <p><b>A senior military, governmental or political official in a non-US country?</b></p> <p>Name of country: _____</p> <p><small>[Firms may consider whether to include this question in the context of their risk assessment procedures and the products and services they offer.]</small></p>
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**Household Financial Background**

Please tell us your best estimate as to:

ANNUAL INCOME <sup>1</sup> (from all sources)	NET WORTH <sup>2</sup> (excluding your residence)	LIQUID NET WORTH <sup>3</sup>	TAX RATE (highest marginal)
<input type="checkbox"/> \$25,000 and under	<input type="checkbox"/> \$25,000 and under	<input type="checkbox"/> \$25,000 and under	<input type="checkbox"/> 0-15%
<input type="checkbox"/> \$25,001-50,000	<input type="checkbox"/> \$25,001-50,000	<input type="checkbox"/> \$25,001-50,000	<input type="checkbox"/> 16-25%
<input type="checkbox"/> \$50,001-100,000	<input type="checkbox"/> \$50,001-200,000	<input type="checkbox"/> \$50,001-200,000	<input type="checkbox"/> 26-30%
<input type="checkbox"/> \$100,001-250,000	<input type="checkbox"/> \$200,001-500,000	<input type="checkbox"/> \$200,001-500,000	<input type="checkbox"/> 31-35%
<input checked="" type="checkbox"/> \$250,001-500,000	<input type="checkbox"/> \$500,001-1,000,000	<input type="checkbox"/> \$500,001-1,000,000	<input type="checkbox"/> Over 35%
<input type="checkbox"/> Over \$500,000	<input checked="" type="checkbox"/> \$1,000,001-3,000,000	<input type="checkbox"/> \$1,000,001-3,000,000	
	<input type="checkbox"/> Over \$3,000,000	<input type="checkbox"/> Over \$3,000,000	

ANNUAL EXPENSES <sup>4</sup> (recurring)	SPECIAL EXPENSES <sup>5</sup> (future, non-recurring)	
<input type="checkbox"/> \$50,000 and under	<input type="checkbox"/> \$50,000 and under	<p><sup>1</sup> Annual income includes income from sources such as employment, alimony, social security, investment income, etc.</p> <p><sup>2</sup> Net worth is the value of your assets minus your liabilities. For purposes of this application, assets include stocks, bonds, mutual funds, other securities, bank accounts, and other personal property. Do not include your primary residence among your assets. For liabilities, include any outstanding loans, credit card balances, taxes, etc. Do not include your mortgage.</p> <p><sup>3</sup> Liquid net worth is your net worth minus assets that cannot be converted quickly and easily into cash, such as real estate, business equity, personal property and automobiles, expected inheritances, assets earmarked for other purposes, and investments or accounts subject to substantial penalties if they were sold or if assets were withdrawn from them.</p> <p><sup>4</sup> Annual expenses might include mortgage payments, rent, long-term debts, utilities, alimony or child support payments, etc.</p> <p><sup>5</sup> Special expenses might include a home purchase, remodeling a home, a car purchase, education, medical expenses, etc.</p>
<input type="checkbox"/> \$50,001-100,000	<input type="checkbox"/> \$50,001-100,000	
<input type="checkbox"/> \$100,001-250,000	<input type="checkbox"/> \$100,001-250,000	
<input type="checkbox"/> \$250,001-500,000	<input type="checkbox"/> Over \$250,000	
<input type="checkbox"/> Over \$500,000		

*Timeframe for special expenses:*

Within 2 years

3-5 years

6-10 years



### 3 Tell Us How You Intend to Use This Account

The more we know about you and your goals for this account, the better we can serve you. Please answer the following questions about your investment objectives, financial situation and attitude toward investment risk to help us determine which investment products and strategies are suitable for you.

The investments in this account will be (check one):

I plan to use this account for the following (check all that apply):

- Less than 1/3 of my financial portfolio
- Roughly 1/3 to 2/3 of my financial portfolio
- More than 2/3 of my financial portfolio

- Generate income for current or future expenses
- Partially fund my retirement
- Wholly fund my retirement
- Steadily accumulate wealth over the long term
- Preserve wealth and pass it on to my heirs
- Pay for education
- Market speculation
- Other: \_\_\_\_\_

When is the earliest you expect to need funds from this account?

- Under 3 years
- 3-5 years
- 6-10 years
- 11-20 years
- Over 20 years

#### Select the category that best describes the risk that you are willing to take in this account

Investing involves risk. Different investment products and strategies involve different degrees of risk. The higher the expected returns of a product or strategy, the greater the risk that you could lose most of your investment. Investments should be chosen based on your objectives, timeframe, and tolerance for market fluctuations.

Please select the degree of risk you (and any co-applicants, if applicable) are willing to take with the assets in this account, in light of the purpose(s) you identified above.

- Conservative.** I want to preserve my initial principal in this account, with minimal risk, even if that means this account does not generate significant income or returns and may not keep pace with inflation.
- Moderately Conservative.** I am willing to accept low risk to my initial principal, including low volatility, to seek a modest level of portfolio returns.
- Moderate.** I am willing to accept some risk to my initial principal and tolerate some volatility to seek higher returns, and understand I could lose a portion of the money invested.
- Moderately Aggressive.** I am willing to accept high risk to my initial principal, including high volatility, to seek high returns over time, and understand I could lose a substantial amount of the money invested.
- Significant Risk.** I am willing to accept maximum risk to my initial principal to aggressively seek maximum returns, and understand I could lose most, or all, of the money invested.



3

Tell Us How You Intend to Use This Account—CONTINUED

**Financial Investment Experience**

We are collecting the information below to better understand your investment experience. We recognize your responses may change over time as you work with us.

Please check the boxes that best describe your investment experience to date

Investment	Years experience			Transactions per year (excluding automatic investments)		
Mutual Funds/ Exchange Traded Funds	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input checked="" type="checkbox"/> Over 5	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input checked="" type="checkbox"/> Over 15
Individual Stocks	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input checked="" type="checkbox"/> Over 5	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input checked="" type="checkbox"/> Over 15
Bonds	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input checked="" type="checkbox"/> Over 5	<input checked="" type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Options	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input checked="" type="checkbox"/> Over 5	<input type="checkbox"/> 0-5	<input checked="" type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Securities Futures	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input checked="" type="checkbox"/> Over 5	<input type="checkbox"/> 0-5	<input checked="" type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Annuities	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input checked="" type="checkbox"/> Over 5	<input checked="" type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Alternative <sup>5</sup>	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input checked="" type="checkbox"/> Over 5	<input type="checkbox"/> 0-5	<input checked="" type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Margin	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input checked="" type="checkbox"/> Over 5			

<sup>5</sup> May include structured products, hedge funds, etc.

**Decision-Making (check all that apply)**

- I consult with my broker, investment adviser, CPA, or other financial professional.
- I generally make my own decisions and/or consult with my co-applicant(s).
- I discuss investment decisions with family and/or friends.

**Other Investment Information (optional)**

Please consider providing us with additional information about your other investments to help us more fully understand your financial situation and what types of investments or strategies may be appropriate for your total investment portfolio.

Investment type/Description	Firm holding the investment	Amount (\$US)
		\$
		\$
		\$
		\$

(use additional space as needed)



## 4 Tell Us How You Will Fund This Account

Please tell us how you are funding this account (check all that apply):

- Income  
 Pension or retirement savings  
 Funds from another account  
 Gift  
 Sale of business or property

- Insurance payout  
 Inheritance  
 Social Security benefits  
 Home Equity Line of Credit/Reverse Mortgage  
 Other: certificate for AUXL

## 5 Tell Us How You Want to Work With Us

### Account Features

#### **Borrowing Money to Buy Securities (Buying "On Margin") – Please Read Carefully**

You will have a "cash account," unless you choose to have a "margin loan account" (customarily known as a "margin account"). To help you decide whether a margin loan account is right for you, please read this information and the Margin Loan Agreement.

In a cash account, you pay for your securities in full at the time of purchase. In a margin loan account, we may lend you a portion of the purchase price. This is called buying securities "on margin."

\* For example, when you buy equity securities (such as common stock) on margin, you typically must deposit at least 50% of the purchase price, and we would loan you the balance. You are liable for repaying the borrowed funds and the interest incurred.

If you borrow funds in your margin loan account and the value of your holdings declines significantly, you may be subject to a "margin call." This means that we can either (1) require you to deposit additional cash or marketable securities to your account immediately, or (2) sell any of the securities in your account to cover any shortfall, without informing you in advance. We will decide which of your securities to sell. Even if we notify you that you have a certain number of days to cover the shortfall, we may still sell your securities before that timeframe expires. Further, we may increase at any time the level of equity that you must maintain in your margin account without triggering a margin call.

Borrowing funds to buy securities is only appropriate for those investors who can tolerate losing more than the amount of money deposited in the account. To avoid the use of margin, even in a margin loan account, always pay for your purchases in full at the time of purchase.

- No I do not want the ability to borrow funds in my account, which means I will have a cash account.  
 Yes I want the ability to borrow funds in my account. I have read the Margin Account Agreement and understand my rights and obligations under it.

**Note: If you do not check any box above, by default you will have a cash account.**

### Communications Choices

#### Communications Options

We will use online access and email to send you any communications.

Please tell us the email address we should use: fm@bizex.biz

If required, please tell us an additional email addresses we should use: \_\_\_\_\_

Relationship to Primary Applicant/Co-Applicant: \_\_\_\_\_



**5** Tell Us How You Want to Work With Us—CONTINUED

Please supply a username and password for online access. These should be between 6 and 12 characters and are case sensitive

Username \_\_\_\_\_

Password \_\_\_\_\_

**Back-Up Contact Information**

If we are unable to reach you for the period of time stated in the Terms & Conditions, you authorize us to contact the person listed below and to disclose information about you in order to confirm the specifics of your current contact information, health status, and the identity of any legal guardian, executor, trustee, or holder of a power of attorney.

*Note. Your back-up contact should not be a co-applicant.*

Mr.     Mrs.     Ms.     Dr.    **Suffix**     Sr.     Jr.

First Name		Middle Name	Last Name
Address			Apt/Suite No.
City	State	ZIP Code	Country
Work Phone	Home Phone	Mobile Phone	Email Address
Relationship to Primary Applicant/Co-Applicant: _____			



# 6 Review and Submit This Application

## Confirmations and Signatures – Please Read Carefully

By signing this Application, you affirm that you have received and read this Application and any supplemental documents governing this relationship. You affirm that the information you have provided is accurate and you agree to notify us of any changes in the information provided.

### Additional Certifications

Please check all boxes that apply, and sign and date below.

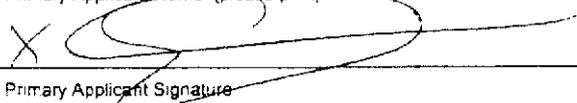
Primary Applicant      Co-Applicant

**Non-Resident Alien:** I certify that I am not a U.S. citizen, U.S. resident alien, or other U.S. person for U.S. tax purposes, and I am submitting the applicable I.D. to certify my foreign status and, if applicable, claim tax treaty benefits.

### Signatures

Athanasios (Tom) Skarpelas.

Primary Applicant Name (please print)

X 

Primary Applicant Signature

05/31/2011

Date

Co-Applicant Name (please print)

Co-Applicant Signature

Date

### INTERNAL

Weiser Management Approval-



10/13/11

Signature

Date

Account Number:

11120001



No. CV15-02259  
Skappelos  
vs.  
Weiser  
Skappelos Ex. 2

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By [Signature]  
Deputy



**MONTELLO LAW**  
2750 N.E. 185<sup>th</sup> Street, Suite 201  
Aventura, Florida 33180

**Telephone: (305) 682-2000**  
**Facsimile: (305) 682-3669**

October 30, 2015

**VIA EMAIL**  
[info@natco.org](mailto:info@natco.org)  
**AND FEDEX**

Nevada Agency and Transfer Company  
50 West Liberty Street, Suite 880  
Reno, Nevada 89501

Re: Transfer of Shares of Anavex Life Sciences Corp. Common Stock

Ladies and Gentlemen:

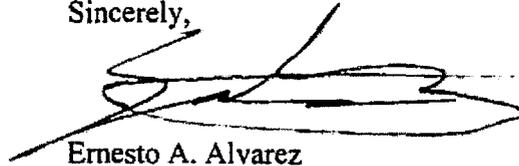
We are writing on behalf of Weiser Asset Management Ltd., a Bahamas company ("Weiser"). On or about July 12, 2013, Athanasios Skarpelos ("Seller") sold 3,316,666 shares of common stock (the "Sold Stock") of Anavex Life Sciences Corp., a Nevada corporation ("Anavex"). Subsequently, Weiser delivered to Nevada Agency and Transfer Company ("Transfer Agent"), in its capacity as the transfer agent for Anavex common stock, Stock Certificate No. 0753 for 6,633,332 shares of Anavex common stock issued in the name of Seller (the "Stock Certificate") and a stock power executed by Seller in favor of Weiser to effect the transfer of the Sold Stock to Weiser (the "Stock Power").

In response to Weiser's submission of the Stock Certificate and Stock Power, you advised Weiser that Seller had reported to you that he had lost the Stock Certificate and requested that you issue a replacement certificate. It is our understanding that pursuant to your request, Seller submitted an affidavit under oath in which he stated that he had lost the Stock Certificate. You then issued a replacement certificate to Seller (the "Replacement Certificate").

It is clear that Seller obtained the Replacement Certificate under false pretenses. We hereby demand that you immediately place a stop transfer restriction on the shares of Anavex common stock represented by the Replacement Certificate, cancel the Replacement Certificate, and register on Anavex's stock transfer records Weiser's ownership of the 3,316,666 shares of Anavex common stock. If you have any doubt as to your obligations under applicable law, we remind you that pursuant to Nev. Rev. Stat. §104.8405, if, after the issue of a new security certificate, a protected purchaser of the original certificate presents the original certificate for registration of transfer, the transfer agent must register the transfer.

We request that you immediately confirm to us in writing that you are taking the steps outlined above. Your immediate action is critical in order to avoid any potential loss or damage to Weiser.

Sincerely,

A handwritten signature in black ink, appearing to read "Ernesto A. Alvarez". The signature is stylized with several loops and a long horizontal stroke.

Ernesto A. Alvarez

cc: Weiser Asset Management Ltd. (via email)

No. CVIS-02259

Skarpelos

vs.

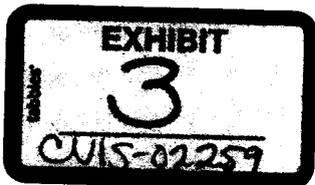
Weiser et al

Skarpelos Ex. 3

Admitted: 1/28, 2019

JACQUELINE BRYANT, CLERK

By Mh  
Deputy





l.pedaf <l.pedaf@gmail.com>

---

**RE: Courier Address for Weiser Asset Management Ltd.**

---

Athanasios Skarpelos <tom@bizex.bz>  
To: hbdaniels@weiseram.com  
Cc: l.pedaf@gmail.com

Mon, May 30, 2011 at 8:30 PM

Thank you Howard. Also I need the forms to open account with Weiser Asset Management Ltd before I leave so we can deposit the Anavex certificate in that account. We can meet today or tomorrow to open the account.

TOM SKARPELOS  
tom@bizex.bz  
Cell: +16463184979

-----Original Message-----

From: hbdaniels@weiseram.com [mailto:hbdaniels@weiseram.com]  
Sent: Fri 5/27/2011 8:20 AM  
To: Athanasios Skarpelos  
Subject: Courier Address for Weiser Asset Management Ltd.

Hi Tom,

I hope you are doing well.

I understand you have some certificates that you would like to courier in advance of opening your account with Weiser.

Please Courier them to:

Weiser Asset Management Limited

Attn: Howard Daniels

de la Plaine House,  
28 Parliament Street  
P.O. Box N-10697,  
Nassau, Bahamas  
Phone-242-325-0922

Sincerely,

Howard Daniels  
Chief Operating Officer, Director  
Weiser Asset Management Ltd.  
Nassau, Bahamas  
Office 242-325-0922  
Cell 242-454-7873  
Alternate Cell 647-965-2275

This communication and any attachments may contain information that is privileged or confidential and is intended only for the use of the individual to whom it is addressed. Any other distribution, copying or disclosure is strictly prohibited. If you have received this communication in error, please notify us immediately then delete this

5000006  
JA1151

No. CV15-02259

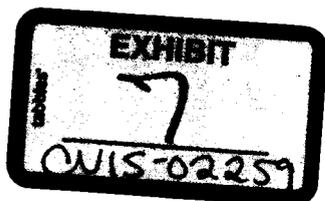
Skarpelos  
vs.

Weiser et al

Weiser Ex. 7

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By [Signature]  
Deputy





# Weiser Asset Management Ltd

de la Plaine House, 28 Parliament Street , P.O. Box N-10697, Nassau. Bahamas

Tel: 647-965-2275

www.weiseram.com

## Identity Verification Form (Form IVF)

This form must be completed for each beneficial owner and signatory of a Weiser Asset Management Ltd account, including individuals named on Powers of Attorney and Trading Authorizations. The information requested is required under Anti-Money Laundering regulations of The Bahamas. Please copy this form as necessary to complete for each relevant individual.

Full Name	ATHANASIOS (TOM) SKARPELOS
Residential Street Address (No PO Boxes)	
	TIXIS 11 GLYFADA ATHENS
	GREECE 16675
City / State / Province	
Country & Postal Code	
Contact Phone	tom@bizex.bz
Nationality/Citizenship	GREEK
Date of Birth	24 / 11 / 66
Place of Birth	GREECE
Occupation / Position	SELF EMPLOYED
Length of Employment	
Employers Name and Full Address	
Employers website (if applicable)	
If Self-Employed, describe the nature of your business	INVESTMENTS.



<p>Have you ever been convicted of an indictable offence, fraud, or any other criminal offence? (If yes, provide details)</p> <p>YES / <input checked="" type="radio"/> NO</p>
<p>Have you ever had an investment account application refused/account closed by a bank or other financial institution?</p> <p>YES / <input checked="" type="radio"/> NO</p>
<p>Have you ever been convicted of a securities related offence, or entered into an agreement with a securities regulator as a result of a regulator's allegations? (If yes, provide details)</p> <p>YES / <input checked="" type="radio"/> NO</p>
<p>Are you a director or officer of a public company? (If yes, provide details)</p> <p>YES / <input checked="" type="radio"/> NO</p>
<p>Name and address of the financial institution supplying your reference (if not attached)</p>

Please attach:

- Notarized copy of your valid passport/photo ID
- Bank Reference for an account in your name, that has been open for one year or more
- Utility bill or other acceptable verification of residential address (Not required if address is included in bank reference)

*A bank, licensed trust company, or brokerage firm in an approved jurisdiction should provide references. References and utility bills should be recently dated.*

I CERTIFY THAT THE INFORMATION PROVIDED BY ME IN THIS DOCUMENT IS TRUE AND CORRECT, AND I AGREE TO ADVISE WESIER ASSET MANAGEMENT LTD. IMMEDIATELY OF ANY CHANGE TO THIS INFORMATION.

Signed

Date



MAY 31 2011



Identity Verification Form.docx



644 00

**ΠΡΟΣΟΧΗ !! ΕΙΔΟΠΟΙΗΣΗ ΔΙΑΚΟΠΗΣ**

**Αγαπητέ Πελάτη,**

Έχετε οφειλή στο προηγούμενο λογαριασμό σας.  
Παρακαλούμε για την εξόφληση της οφειλής σας  
το αργότερο μέχρι την ημερομηνία λήξης του  
λογαριασμού, διαφορετικά μετά λήξης μας  
θα βρεθούμε στη δυσάρεστη θέση  
να διακόψουμε την ηλεκτροδότηση σας.

**ΕΤΑΧΕ ΠΑΡΟΧΗΣ**

ΑΕ. Η ΑΙΘΡΟΝΟΥ ΗΛΕΚΤΡ.



**ΠΑΡΑΔΟΣ**

6041 14 19 002300

6041 14 19 002300

19/05/2011 19/07/2011

**ΕΤΑΧΕ ΠΑΡΟΧΗΣ**



Μυρτιά, Σκάριας 101, 111

Τηλέφωνο: 210 2520000

This letter confirms that Athanasios Kostopoulos, born 19/01/1967, is a customer in good standing of this Bank. Our records indicate that Athanasios Kostopoulos has been a client at this bank for the past 10 years. Athanasios Kostopoulos has operated a business and is currently active.

During the past 10 years, Athanasios Kostopoulos has been a client of this bank.

Yours faithfully,

Mr. Vassilios Kostopoulos

Αριθ. Πρωτ. ΑΠ/111/2023



ALPHA BANK

01 0 WISA

03/27/2011

4060 0114 9765 4000

ΕΥΡΩ 1.000

ΣΥΛΛΗΞΙΑΣ ΑΝΑΛΟΓΙΣ ΤΟΥ ΠΛΗΡ  
ΤΥΧΗΣ 19  
158 75 ΠΑΥΣΑΔΑ

ΚΑΤΕ ΤΙΣ ΑΝΟΠΕΙ ΤΑΙ  
ΕΙΣ ΤΗΝ ΚΟΥΡΑ  
ΑΝΕΠΙΣΤΑΣΕΩΣ ΕΝ ΤΗ ΒΙΣΑΙ

ΑΝΟΠΕΙ ΤΙΣ ΑΝΟΠΕΙ  
ALPHA BANK BONUS  
ΚΑΙ ΑΝΕΠΙΣΤΑΣΕΩΣ 5.000 ΕΠΙΤΟΧΟΣ ΔΩΡΟ  
ΕΙΣ ΤΗΝ ΚΟΥΡΑ ΤΟΥΣ ΕΛΛΗΝΟΠΟΛΙΤΕ  
ΣΤΟ 12/11/11  
ΕΠΙΣΤΡΟΦΗ ΤΙΑ ΤΟΥΣ ΟΡΟΥΣ  
ΣΤΟ WWW.ALPHA.GR/BONUS

ΑΝΟΠΕΙ ΤΙΣ ΑΝΟΠΕΙ  
ΤΟΥ ALPHA WEB BANKING  
ΚΑΙ ΑΝΟΠΕΙ ΤΙΣ ΑΝΟΠΕΙ  
ΕΙΣ ΤΗΝ ΚΟΥΡΑ ΚΑΙ ΔΩΡΟΝ  
ΟΥ ΑΝΟΠΕΙ ΤΙΣ ΚΑΡΤΑΣ ΤΑΙ.  
ΟΛΟΚΡΟΠΙΣ ΚΑΙ ΑΝΟΠΕΙ  
ΣΤΟ 801 11 326 0000 ΠΗ  
ΣΤΟ WWW.ALPHA.GR

03/03/2011

04/03/2011

1914778

ΣΥΛΛΗΞΙΑΣ ΑΝΑΛΟΓΙΣ

0157708

47,43

170300

47,40



WEISER000367  
JA1158

No. CWIS-02259

JK Kpelos

vs.

Weiser et al

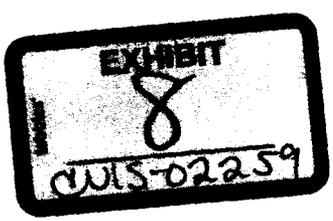
Weiser Ex. 8

Admitted: 1/28, 2019

JACQUELINE BRYANT, CLERK

By mm

Deputy



**CORPORATE INDEMNITY**  
To  
**NEVADA AGENCY AND TRANSFER COMPANY**  
FOR REISSUANCE OF LOST CERTIFICATE

WHEREAS ANAVEX LIFE SCIENCES (hereinafter "the Company") has requested that a duplicate certificate of stock for shares of common stock of this company be issued in replacement of the original certificate 660 & 753 (hereinafter "Original Certificate"), which has been LOST; and

Whereas, Stockholder has not furnished a bond, the Company desires to replace said certificate without bond, and the Company agrees to indemnify Nevada Agency and Transfer Company (hereinafter "NATCO") against any and all costs, damages, actions, expenses, and attorney's fees which might result from the issuance of a duplicate certificate to replace the original certificate; and

Whereas, the Company acknowledges that pursuant to Sections 8-405 and 8-210 of the Uniform Commercial Code, should the original certificate ever be properly presented for transfer by a protected purchaser, NATCO may be required to transfer and reissue said original certificate and the Company will be required to take the appropriate actions under Article 8 of the Uniform Commercial Code, and/or the Securities Act of 1933, as amended, including, but not limited to, purchasing an equivalent number of shares in the public market for cancellation or registering such shares under the Securities Act of 1933, as amended,

NOW, THEREFORE, the Board of Directors of the Company has adopted the following resolutions;

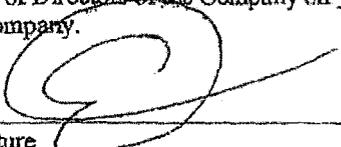
**RESOLVED:** that NATCO be authorized and directed to issue a new stock certificate representing 6,725,832 shares of the common stock of the Company in place of the Original Certificate in the name of Athanasios Skarpeios.

---

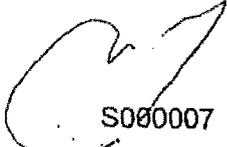
**AND IT FURTHER BE RESOLVED:** that, should the Original Certificate ever be properly presented for transfer, NATCO is hereby instructed to transfer and reissue such certificate and the Company agrees that it will take the appropriate actions in regards to such certificate under the Uniform Commercial Code and/or the Securities Act of 1933, as amended.

**AND IT LASTLY BE RESOLVED** that the Company hereby agrees to indemnify NATCO against any and all costs, damages, actions, expenses, and attorney's fees which might result from the issuance of a duplicate certificate to replace the original certificate or the transfer and reissuance of the Original Certificate should it ever be properly presented for transfer.

The below Officer of the Company hereby certify that the above resolutions were adopted by the Board of Directors of the Company on JAN 10, 2013, and are binding obligations of the Company.

  
\_\_\_\_\_  
Signature  
Athanasios Skarpeios  
Name and Title

ΑΝΑΣΤΑΣΙΟΣ Δ. ΧΡΙΣΤΙΑΣ  
ΔΙΔΑΚΤΩΡ ΝΟΜΙΚΗΣ ΠΑΡΙΣΙΩΝ  
ΔΙΚΗΓΟΡΟΣ ΠΑΡ' ΑΡΕΙΩ ΠΑΓΩ  
ΑΚΑΔΗΜΙΑΣ 57 - ΑΘΗΝΑ 106 79  
ΤΗΛ.: 3600154, 3603853, FAX: 3608926  
ΑΜ/ΔΣΑ: 3790 - ΑΦΜ: 006521572

  
S000007

JA1160

No. CN15-02259

Skarpelos

vs.

Weiser

Weiser Ex. 13

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By MM  
Deputy



**AFFIDAVIT FOR LOST STOCK CERTIFICATE**

I, Athanasios Skarpelos hereby declare and affirm as follows:

1. That I reside at:  
NISSOYS 5  
Street Address  
Athens GLYFADA  
City, State & Zip  
GREECE 16675  
Country

2. That I am the legal and beneficial owner of the following shares of Anavex Life Sciences Corp.  
 3. The above-mentioned stock ownership is represented as follows:

ISSUED TO	CERT. NO.	SHARE QTY	DATE ISSUED
Athanasios Skarpelos	660	92500	9/24/2007
	753	6633332	10/29/2009

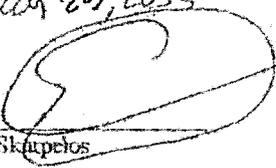
4. That said certificate was/was not endorsed. (Circle one)  
 5. That the present status of the certificate is as follows: (Please describe, i.e. lost, misplaced or stolen.) lost.

6. That I have not assigned, hypothecated, pledged, or in any other way disposed of either the stock certificate or its rights as a stockholder, in whole or in part.  
 7. That if the original certificate should ever come into my hands, custody or control, I will immediately and without consideration surrender the original to the Issuing Corporation or Nevada Agency and Transfer Company for cancellation.

ΑΝΑΣΤΑΣΙΟΣ Δ. ΧΡΙΣΤΙΑΣ  
 ΔΙΔΑΚΤΩΡ ΝΟΜΙΚΗΣ ΠΑΡΙΣΙΩΝ  
 ΔΙΚΗΓΟΡΟΣ ΠΑΡ' ΑΡΕΙΩ ΠΑΓΩ  
 ΑΚΑΔΗΜΙΑΣ 57 - ΑΘΗΝΑ 106 79  
 ΤΗΛ: 3600154, 3603853, FAX: 3608926  
 ΑΜ/ΔΣΑ: 3730 - ΑΦΜ: 006521572



Date: March 29, 2013

  
Athanasios Skarpeios

ACKNOWLEDGEMENT/NOTARIZATION

State of ARIZONA

) ss.

County of AVILA

On March 29, 2013 (DATE) before me, Athanasios CHRISTOPOULOS (NAME OF NOTARY), personally appeared Η ΑΓΓΕΛΙΚΗ ΚΑΡΠΕΙΟΥ (NAME) personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that s/he executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

NOTARY PUBLIC  
ΑΝΤΩΝΙΟΣ Δ. ΧΡΙΣΤΙΑΝΟΣ  
ΔΙΔΑΚΤΩΡ ΝΟΜΙΚΗΣ ΠΑΡΙΣΙΩΝ  
ΔΙΚΗΓΟΡΟΣ ΠΑΡ' ΑΡΙΘΜΟ ΠΑΓΩ  
ΑΚΑΔΗΜΙΑΣ 57 - ΑΘΗΝΑ 106 79  
ΤΗΛ: 3600154, 3603853, FAX: 3608926  
ΑΜΙΔΕΑ: 3730 - ΑΦΜ: 006521572

  
NOTARY SIGNATURE

No. CV15-02259

Skappelos

vs.

Weiser et al

Weiser Ex. 14

Admitted: 1/28, 2019

JACQUELINE BRYANT, CLERK

By *VM*  
Deputy



RECEIVED

APR 05 2013

**STOP TRANSFER ORDER**

DATE: MARCH 29 2013

NEVADA AGENCY AND  
TRANSFER COMPANY

NEVADA AGENCY AND TRANSFER COMPANY:

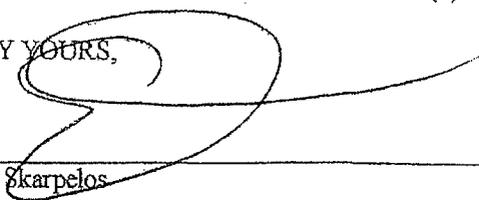
PLEASE BE ADVISED THAT THE FOLLOWING STOCK CERTIFICATE(S) OF ANAVEX LIFE SCIENCES CORP, A NEVADA CORPORATION, have been reported as:

LOST     STOLEN     DESTROYED

ISSUED TO	CERT. NO.	SHARE QTY	DATE ISSUED	RESTRICTED?
Athanasios Skarpelos	660	92500	9/24/2007	Yes
	753	6633332	10/29/2009	Yes

KINDLY RECORD A STOP-TRANSFER ORDER AGAINST THE ABOVE CERTIFICATE(S).

VERY TRULY YOURS,

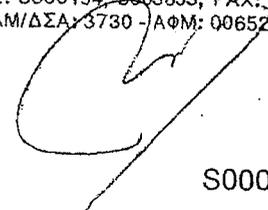
  
s/ Athanasios Skarpelos

SHAREHOLDER CONTACT INFORMATION:

Name: Athanasios Skarpelos  
 Social Security #: 06333202  
 Address: NISSOYS S  
GLYFADA ATHENS GREECE  
 Telephone: +306974657879  
 Email: tomskarp@yellco.com

\*\*\*THIS DOCUMENT MUST BE COMPLETED AND SIGNED BY THE REGISTERED SHAREHOLDER(S)\*\*\*

ΑΝΑΣΤΑΣΙΟΣ Δ. ΧΡΙΣΤΙΑΣ  
 ΔΙΔΑΚΤΩΡ ΝΟΜΙΚΗΣ ΠΑΡΙΣΙΩΝ  
 ΔΙΚΗΓΟΡΟΣ ΠΑΡ' ΑΡΕΙΩ ΠΑΓΩ  
 ΑΚΑΔΗΜΙΑΣ 57 - ΑΘΗΝΑ 106 79  
 ΤΗΛ.: 3600154 - 3603853, FAX: 3608926  
 ΑΜ/ΔΣΑ: 3730 - ΑΦΜ: 006521572



S000010

JA1165

No. CUIS-02259

Skarpelos

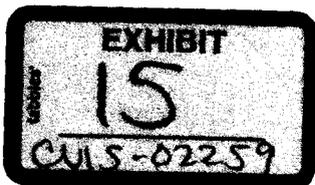
vs.

Weiser et al

Weiser Ex. 15

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By MMW  
Deputy





No. CNIS-02259

Skarpelos

vs.

Weiser et al

Weiser Ex. 16

Admitted: 1/28, 20 19  
JACQUELINE BRYANT, CLERK

By MM  
Deputy



Message

---

**From:** Lambros Pedafronimos [l.pedaf@gmail.com]  
**Sent:** 5/24/2013 11:12:00 AM  
**To:** Christos [/O=CL/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=CHRISTOS]  
**Subject:** Re: Tom update????

Ela bud, he will be active on Monday, I brought him down to village for some fresh air.

I monitor all of his correspondance.

On Fri, May 24, 2013 at 5:21 PM, Christos <[christos@bizex.bz](mailto:christos@bizex.bz)> wrote:

Lou, are you getting Tom's emails? Is he?

--

Lambros Pedafronimos

No. CNIS-02259

Skarpelos

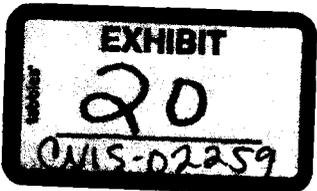
vs.

Weiser et al

Weiser Ex. 20

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By [Signature]  
Deputy





I.pedaf <I.pedaf@gmail.com>

---

**Did u get my txt few days ago re. Kinezi and I need docs?**

---

Christos <christos@bizex.bz>  
To: I.pedaf@gmail.com

Mon, Jun 24, 2013 at 8:03 PM

I have a call with them late tonight

S000012  
JA1171

No. CUIS-02259

Skappalos

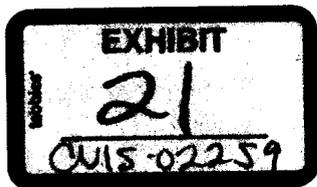
vs.

Weiser et al

Weiser Ex. 21

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By MM  
Deputy





I.pedaf <l.pedaf@gmail.com>

---

**Did u get my txt few days ago re. Kinezi and I need docs?**

---

Lambros Pedafronimos <l.pedaf@gmail.com>  
To: Christos <christos@bizex.bz>

Mon, Jun 24, 2013 at 8:15 PM

Yes re, were putting the docs in place

On Mon, Jun 24, 2013 at 8:03 PM, Christos <christos@bizex.bz> wrote:

I have a call with them late tonight

—  
Lambros Pedafronimos

S000013  
JA1173

No. CVIS-02259

Skarpelos

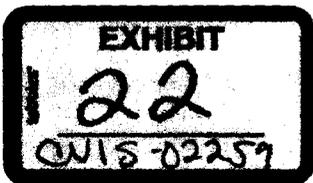
vs.

Weiseretal

Weiser Ex. 22

Admitted: 1/28, 20 19  
JACQUELINE BRYANT, CLERK

By MM  
Deputy





I.pedaf <I.pedaf@gmail.com>

---

**Did u get my txt few days ago re. Kinezi and I need docs?**

---

**Christos** <christos@bizex.bz>  
To: I.pedaf@gmail.com

Mon, Jun 24, 2013 at 8:30 PM

Email me blanks ones now so I can show them what they'll be looking like etc

---

**From:** Lambros Pedafronimos  
**To:** Christos  
**Sent:** Mon Jun 24 13:15:55 2013  
**Subject:** Re: Did u get my txt few days ago re. Kinezi and I need docs?

Yes re, were putting the docs in place

On Mon, Jun 24, 2013 at 8:03 PM, Christos <christos@bizex.bz> wrote:

I have a call with them late tonight

—  
Lambros Pedafronimos

S000014  
JA1175

No. CN15-02259

Skarpelos

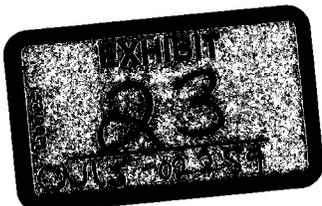
vs.

Weizenetal

Weisen Ex. 23

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By mm  
Deputy



---

**Did u get my txt few days ago re. Kinezi and I need docs?**

---

Lambros Pedafronimos <I.pedaf@gmail.com>  
To: Christos <christos@bizex.bz>

Mon, Jun 24, 2013 at 8:53 PM

attached bud!

On Mon, Jun 24, 2013 at 8:30 PM, Christos <christos@bizex.bz> wrote:

Email me blanks ones now so I can show them what they'll be looking like etc

---

**From:** Lambros Pedafronimos  
**To:** Christos  
**Sent:** Mon Jun 24 13:15:55 2013  
**Subject:** Re: Did u get my txt few days ago re. Kinezi and I need docs?

Yes re, were putting the docs in place

On Mon, Jun 24, 2013 at 8:03 PM, Christos <christos@bizex.bz> wrote:

I have a call with them late tonight

--  
Lambros Pedafronimos

--  
Lambros Pedafronimos

---

**2 attachments**

 **POA.pdf**  
20K

 **STOCK SALE AND PURCHASE AGREEMENT.docx**  
17K

No. CN15-02259

Skarpelos

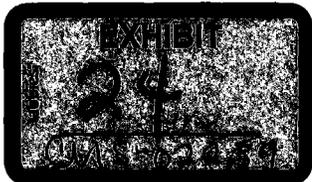
vs.

Weiseretal

Weiser Ex. 24

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By mm  
Deputy



Message

---

**From:** Lambros Pedafronimos [l.pedaf@gmail.com]  
**Sent:** 6/24/2013 11:53:04 AM  
**To:** Christos [/O=CL/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=CHRISTOS]  
**Subject:** Re: Did u get my txt few days ago re. Kinezi and I need docs?  
**Attachments:** POA.pdf; STOCK SALE AND PURCHASE AGREEMENT.docx

attached bud!

On Mon, Jun 24, 2013 at 8:30 PM, Christos <[christos@bizex.bz](mailto:christos@bizex.bz)> wrote:

Email me blanks ones now so I can show them what they'll be looking like etc

---

**From:** Lambros Pedafronimos  
**To:** Christos  
**Sent:** Mon Jun 24 13:15:55 2013  
**Subject:** Re: Did u get my txt few days ago re. Kinezi and I need docs?  
Yes re, were putting the docs in place  
On Mon, Jun 24, 2013 at 8:03 PM, Christos <[christos@bizex.bz](mailto:christos@bizex.bz)> wrote:

I have a call with them late tonight

--  
Lambros Pedafronimos

--  
Lambros Pedafronimos

POWER OF ATTORNEY TO TRANSFER BONDS OR SHARES

FOR VALUE RECEIVED the undersigned hereby sells, assigns and transfers unto:

\_\_\_\_\_  
(Name of transferee)  
of \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
(Transferee's address)

\_\_\_\_\_  
↑

↑ (Description of Security - include number and class of Shares or, amount (par value), rate and maturity of Bonds)

standing in the name of the undersigned on the books of \_\_\_\_\_ represented by certificate No. \_\_\_\_\_ and hereby irrevocably constitutes and appoints \_\_\_\_\_ the attorney of the undersigned to transfer the said shares on the books of the Company with full power of substitution in the premises.

DATED at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

Signed: \_\_\_\_\_ In the presence of: \_\_\_\_\_

SIGNATURE OF TRANSFEROR

SIGNATURE OF WITNESS

Signature of transferor guaranteed by: \_\_\_\_\_

**NOTE: The signature to this assignment must correspond with the name as recorded on the certificate/bond in every particular without alteration or enlargement or any change whatever. The signature of the person executing this power must be guaranteed by a Bank or Trust Company; or by a Member of the Toronto Stock Exchange.**

## STOCK SALE AND PURCHASE AGREEMENT

THIS STOCK SALE AND PURCHASE AGREEMENT (this " **Agreement** " ) is dated as of November 30, 2010, and is made and entered into by and among Parrish Medley ( " **Buyer** " ) and Kyle Beddome ( " **Seller** " ) with respect to the following facts:

A.

Seller owns 31,500,000 shares of common stock of ABC Corp., a Nevada corporation (the " **Company** " ).

B.

Seller desires to sell to Buyer, and Buyer desires to purchase from Seller, 11,250,000 shares of the Company's common stock upon the terms and conditions set forth in this Agreement.

Accordingly, for and in consideration of the premises, the mutual promises, covenants and agreements hereafter set forth, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Seller and Buyer, intending to be legally bound, do hereby agree as follows:

### ARTICLE I

#### SALE AND PURCHASE

##### Section 1.1

**Sale and Purchase of Shares.** On and subject to the terms and conditions of this Agreement, effective as of the Closing Date, Buyer shall purchase from Seller, and Seller shall sell to Buyer, Eleven Million Two Hundred and Twenty Five Thousand (11,250,000) shares of common stock (the " **Shares** " ) of the Company registered in the name of Seller for the consideration specified in Section 1.2 and upon the terms and conditions set forth in this Agreement.

##### Section 1.2

**Purchase Price.** The purchase price for the Shares (the " **Purchase Price** " ) is One Thousand One Hundred and Twenty Five dollars (\$1,125.00). The Purchase Price shall be paid to the Seller at the Closing, in cash.

##### Section 1.3

**Closing Date; Deliveries.** The closing shall occur on December 22, 2010, or such other date as the parties hereto may agree to (the " **Closing Date** " ). On the Closing Date, Buyer shall deliver a check in the amount of the Purchase Price to Seller, and Seller shall deliver to Buyer a share certificate representing the Shares issued in the name of the Seller.

### ARTICLE II

#### REPRESENTATIONS, WARRANTIES AND COVENANTS OF SELLER

To induce Buyer to enter into and perform its obligations under this Agreement, Seller hereby represents and warrants to Buyer, and covenants with Buyer, as follows:

#### **Section 2.1**

**Authority and Capacity.** Seller has all requisite power, authority and capacity to enter into this Agreement. The execution, delivery and performance of this Agreement by Seller does not, and the consummation of the transaction contemplated hereby will not, result

in a breach of or default under any agreement to which Seller is a party or by which Seller is bound.

#### **Section 2.2**

**Binding Agreement.** This Agreement has been duly and validly executed and delivered by Seller and constitutes Seller's valid and binding agreement, enforceable against Seller in accordance with and subject to its terms.

#### **Section 2.3**

**Title to Shares.** Seller is the lawful, record and beneficial owner of all of the Shares, free and clear of any liens, claims, agreements, charges, security interests and encumbrances whatsoever. The sale, conveyance, assignment, and transfer of the Shares in accordance with the terms of this Agreement transfers to Buyer legal and valid title to the Shares, free and clear of all liens, security interests, hypothecations or pledges.

### **ARTICLE III**

#### **REPRESENTATIONS AND WARRANTIES OF BUYER**

To induce Seller to enter into and perform their obligations under this Agreement, Buyer represents and warrants to Seller as follows:

#### **Section 3.1**

**Authority and Capacity.** Buyer has all requisite power, authority and capacity to enter into this Agreement. The execution, delivery and performance of this Agreement by Buyer does not, and the consummation of the transaction contemplated hereby will not, result in a breach of or default under any agreement to which Buyer is a party or by which Buyer is bound.

#### **Section 3.2**

**Disclosure.** Buyer has reviewed the SEC Reports and is aware of the Company's business and financial condition.

#### **Section 3.3**

**Investment Representations.** Buyer is acquiring the Shares for Buyer's own account and is not acquiring the Shares with a view to or for sale in connection with any distribution thereof within the meaning of the Securities Act of 1933, as amended.

**ARTICLE IV**

**MISCELLANEOUS**

**Section 4.1**

**Entire Agreement.** This Agreement constitutes the entire understanding and agreement of the parties relating to the subject matter hereof and supersedes any and all prior understandings, agreements, negotiations and discussions, both written and oral, between the parties hereto with respect to the subject matter hereof.

**Section 4.2**

**Governing Law.** This Agreement shall be construed, interpreted and enforced in accordance with, and shall be governed by, the laws of the State of California without reference to, and regardless of, any applicable choice or conflicts of laws principles.

**Section 4.3**

**Counterparts.** This Agreement may be executed in any number of counterparts and by the several parties hereto in separate counterparts, each of which shall be deemed to be an original, and all of which together shall constitute one and the same Agreement.

**Section 4.4**

**Further Assurances.** Each of the parties hereto shall from time to time at the request of any other party hereto, and without further consideration, execute and deliver to such other party such further instruments of assignment, transfer, conveyance and confirmation and take such other action as such other party may reasonably request in order to more effectively fulfill the purposes of this Agreement.

IN WITNESS WHEREOF, this Agreement has been signed by the parties hereto as of the date first above written.

**Buyer:**

**PARRISH MEDLEY**

\_\_\_\_\_  
Parrish Medley

**Seller:**

**KYLE BEDDOME**

\_\_\_\_\_  
Kyle Beddome

No. CV15-02259

Skarpelos

vs.

Weisenetal

Weiser Ex. 25

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By [Signature]  
Deputy





I.pedaf <I.pedaf@gmail.com>

---

## Did u get my txt few days ago re. Kinezi and I need docs?

---

Lambros Pedafronimos <I.pedaf@gmail.com>  
To: Christos <christos@bizex.bz>

Tue, Jun 25, 2013 at 3:54 PM

We need somone to complete the language on the purchase and sale agreement. Do we have anyone on our end for that?

On Mon, Jun 24, 2013 at 8:53 PM, Lambros Pedafronimos <I.pedaf@gmail.com> wrote:  
attached bud!

On Mon, Jun 24, 2013 at 8:30 PM, Christos <christos@bizex.bz> wrote:

Email me blanks ones now so I can show them what they'll be looking like etc

---

**From:** Lambros Pedafronimos  
**To:** Christos  
**Sent:** Mon Jun 24 13:15:55 2013  
**Subject:** Re: Did u get my txt few days ago re. Kinezi and I need docs?

Yes re, were putting the docs in place

On Mon, Jun 24, 2013 at 8:03 PM, Christos <christos@bizex.bz> wrote:

I have a call with them late tonight

--  
Lambros Pedafronimos

--  
Lambros Pedafronimos

--  
Lambros Pedafronimos

S000016  
JA1185

No. CWIS-02259

Skarpelos

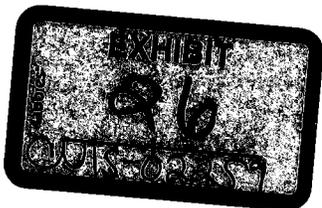
vs.

Weiser et al

Weiser Ex. 24

Admitted: 1/28, 20 19  
JACQUELINE BRYANT, CLERK

By mm  
Deputy





l.pedaf <l.pedaf@gmail.com>

---

## Agreement

---

**Lambros Pedafronimos** <l.pedaf@gmail.com>  
To: Christos Livadas <christos@bizex.bz>

Tue, Jul 2, 2013 at 4:12 PM

Hi Bud,

Attached is a copy of the purchase and sale agreement, let me know if any adjustments need to be made. I will send you a copy of the POA tonight.

Best,

---

Lambros Pedafronimos

---

 **STOCK SALE AND PURCHASE AGREEMENT.pdf**  
55K

S000017  
JA1187

No. CV15-02259

Skarpelos

vs.

Weiser et al

Weiser Ex. 27

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By MM  
Deputy





I.pedaf <I.pedaf@gmail.com>

---

## Agreement

---

Christos <christos@bizex.bz>  
To: Lambros Pedafronimos <I.pedaf@gmail.com>

Tue, Jul 2, 2013 at 4:52 PM

Dont forget: they need to be notarized.

Courier originals to Bouts.

On Jul 2, 2013, at 9:13 AM, "Lambros Pedafronimos" <I.pedaf@gmail.com> wrote:

> Hi Bud,  
>  
> Attached is a copy of the purchase and sale agreement, let me know if any adjustments need to be made. I will  
send you a copy of the POA tonight.  
>  
> Best,  
> --  
> Lambros Pedafronimos  
> <STOCK SALE AND PURCHASE AGREEMENT.pdf>

S000018

JA1189

No. CW15-02259

Skarpelos

vs.

Weiser et al

Weiser Ex. 28

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By WMM  
Deputy





I.pedaf <l.pedaf@gmail.com>

---

## Agreement

---

Lambros Pedafronimos <l.pedaf@gmail.com>  
To: Christos <christos@bizex.bz>

Wed, Jul 3, 2013 at 10:22 PM

Hi Bud,

Please find attached the updated purchase and sale document with the figures that were discussed.

This is the version that will be notarized.

Cheers,

L

On Tue, Jul 2, 2013 at 4:52 PM, Christos <christos@bizex.bz> wrote:

>  
> Dont forget: they need to be notarized.

>  
> Courier originals to Bouts.

>  
> On Jul 2, 2013, at 9:13 AM, "Lambros Pedafronimos" <l.pedaf@gmail.com> wrote:

>> Hi Bud,

>> Attached is a copy of the purchase and sale agreement, let me know if any adjustments need to be made. I will send you a copy of the POA tonight.

>> Best,

>> --

>> Lambros Pedafronimos

>> <STOCK SALE AND PURCHASE AGREEMENT.pdf>

—  
Lambros Pedafronimos

---

 PAS.pdf  
44K

S000019  
JA1191

No. CV15-02289

Skappelos

vs.

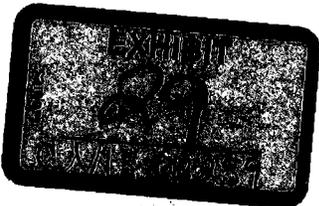
Weiseretal

Weiser Ex. 29

Admitted: 1/28, 2019

JACQUELINE BRYANT, CLERK

By MM  
Deputy



## STOCK SALE AND PURCHASE AGREEMENT

THIS STOCK SALE AND PURCHASE AGREEMENT (this **Agreement**) is dated as of July 5, 2013 and is made and entered into by and among WEKER LTD. (**Buyer**) and Athanasios Skarpelios (**Seller**) with respect to the following facts:

A.

Seller owns 3,316,666 shares of common stock of Anavex Life Sciences Corp., a Nevada corporation (the **Company**).

B.

Seller desires to sell to Buyer, and Buyer desires to purchase from Seller, 3,316,666 shares of the Company's common stock upon the terms and conditions set forth in this Agreement.

Accordingly, for and in consideration of the premises, the mutual promises, covenants and agreements hereafter set forth, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Seller and Buyer, intending to be legally bound, do hereby agree as follows:

### ARTICLE I

#### SALE AND PURCHASE

##### Section 1.1

**Sale and Purchase of Shares.** On and subject to the terms and conditions of this Agreement, effective as of the Closing Date, Buyer shall purchase from Seller, and Seller shall sell to Buyer, Three Million Three Hundred and Sixteen Thousand Six Hundred and Sixty Six (3,316,666) shares of common stock (the **Shares**) of the Company registered in the name of Seller for the consideration specified in Section 1.2 and upon the terms and conditions set forth in this Agreement.

##### Section 1.2

**Purchase Price.** The purchase price for the Shares (the **Purchase Price**) is Two Hundred and Fifty Thousand dollars (\$250,000.00). The Purchase Price shall be paid to the Seller at the Closing, in cash.

##### Section 1.3

**Closing Date; Deliveries.** The closing shall occur on September 20, 2013 or such other date as the parties hereto may agree to (the **Closing Date**). On the Closing Date, Buyer shall deliver a check in the amount of the Purchase Price to Seller, and Seller shall deliver to Buyer a share certificate representing the Shares issued in the name of the Seller.

### ARTICLE II

#### REPRESENTATIONS, WARRANTIES AND COVENANTS OF SELLER

To induce Buyer to enter into and perform its obligations under this Agreement, Seller hereby represents and warrants to Buyer, and covenants with Buyer, as follows:

#### **Section 2.1**

**Authority and Capacity.** Seller has all requisite power, authority and capacity to enter into this Agreement. The execution, delivery and performance of this Agreement by Seller does not, and the consummation of the transaction contemplated hereby will not, result

in a breach of or default under any agreement to which Seller is a party or by which Seller is bound.

#### **Section 2.2**

**Binding Agreement.** This Agreement has been duly and validly executed and delivered by Seller and constitutes Seller's valid and binding agreement, enforceable against Seller in accordance with and subject to its terms.

#### **Section 2.3**

**Title to Shares.** Seller is the lawful, record and beneficial owner of all of the Shares, free and clear of any liens, claims, agreements, charges, security interests and encumbrances whatsoever. The sale, conveyance, assignment, and transfer of the Shares in accordance with the terms of this Agreement transfers to Buyer legal and valid title to the Shares, free and clear of all liens, security interests, hypothecations or pledges.

### **ARTICLE III**

#### **REPRESENTATIONS AND WARRANTIES OF BUYER.**

To induce Seller to enter into and perform their obligations under this Agreement, Buyer represents and warrants to Seller as follows:

#### **Section 3.1**

**Authority and Capacity.** Buyer has all requisite power, authority and capacity to enter into this Agreement. The execution, delivery and performance of this Agreement by Buyer does not, and the consummation of the transaction contemplated hereby will not, result in a breach of or default under any agreement to which Buyer is a party or by which Buyer is bound.

#### **Section 3.2**

**Disclosure.** Buyer has reviewed the SEC Reports and is aware of the Company's business and financial condition.

#### **Section 3.3**

**Investment Representations.** Buyer is acquiring the Shares for Buyer's own account and is not acquiring the Shares with a view to or for sale in connection with any distribution thereof within the meaning of the Securities Act of 1933, as amended.

ARTICLE IV

MISCELLANEOUS

Section 4.1

Entire Agreement. This Agreement constitutes the entire understanding and agreement of the parties relating to the subject matter hereof and supersedes any and all prior understandings, agreements, negotiations and discussions, both written and oral, between the parties hereto with respect to the subject matter hereof.

Section 4.2

Governing Law. This Agreement shall be construed, interpreted and enforced in accordance with, and shall be governed by, the laws of the State of California without reference to, and regardless of, any applicable choice or conflicts of laws principles.

Section 4.3

Counterparts. This Agreement may be executed in any number of counterparts and by the several parties hereto in separate counterparts, each of which shall be deemed to be an original, and all of which together shall constitute one and the same Agreement.

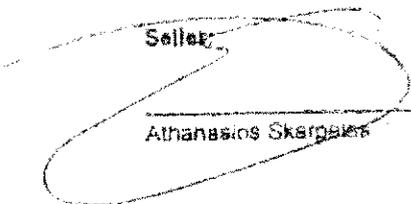
Section 4.4

Further Assurances. Each of the parties hereto shall from time to time at the request of any other party hereto, and without further consideration, execute and deliver to such other party such further instruments of assignment, transfer, conveyance and confirmation and take such other action as such other party may reasonably request in order to more effectively fulfill the purposes of this Agreement.

IN WITNESS WHEREOF, this Agreement has been signed by the parties hereto as of the date first above written.

Buyer:

  
Weiser (Enquirer) LLC

Seller:  
  
Athanasios Skarpeles

ΕΚΣΤΡΩΣΗ ΑΒΑΝΑΝΩΝ  
09/12/13 #2 2102  
  
Αθανάσιος Σκαρπέλης  
Υπάλληλος ΚΕ.Π.  
Αγορά Βόρειας

No. CULS-02259

Skarpelos

vs.

Weiseretal

Weiser Ex. 30

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By mm  
Deputy





l.pedaf <l.pedaf@gmail.com>

---

## Notarized Documents

---

Lambros Pedafronimos <l.pedaf@gmail.com>  
To: Christos Livadas <christos@bizex.bz>

Tue, Jul 9, 2013 at 2:08 PM

Hi Bud,

Per our discussion, please find attached the notarized copies.

Regards,

---

Lambros Pedafronimos

---

### 2 attachments

 POATom.pdf  
230K

 Purchase And Sale.pdf  
2118K

S000020

JA1197

No. CV15-02259

Skarpelos

vs.

Weiser et al

Weiser Ex. 31

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By MMW  
Deputy



## STOCK SALE AND PURCHASE AGREEMENT

THIS STOCK SALE AND PURCHASE AGREEMENT (this **Agreement** ) is dated as of \_\_\_\_\_, \_\_\_\_\_, and is made and entered into by and among \_\_\_\_\_ ( **Buyer** ) and Athanasios Skarpelos ( **Seller** ) with respect to the following facts:

A.

Seller owns 3,316,666 shares of common stock of Anavex Life Sciences Corp., a Nevada corporation (the **Company** ).

B.

Seller desires to sell to Buyer, and Buyer desires to purchase from Seller, 3,316,666 shares of the Company's common stock upon the terms and conditions set forth in this Agreement.

Accordingly, for and in consideration of the premises, the mutual promises, covenants and agreements hereafter set forth, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Seller and Buyer, intending to be legally bound, do hereby agree as follows:

### ARTICLE I

#### SALE AND PURCHASE

##### Section 1.1

**Sale and Purchase of Shares.** On and subject to the terms and conditions of this Agreement, effective as of the Closing Date, Buyer shall purchase from Seller, and Seller shall sell to Buyer, Three Million

Three Hundred and Sixteen Thousand Six Hundred and Sixty Six (3,316,666) shares of common stock (the **Shares** ) of the Company registered in the name of Seller for the consideration specified in Section 1.2 and upon the terms and conditions set forth in this Agreement.

##### Section 1.2

**Purchase Price.** The purchase price for the Shares (the **Purchase Price** ) is Two Hundred and Fifty Thousand dollars (\$250,000.00). The Purchase Price shall be paid to the Seller at the Closing, in cash.

##### Section 1.3

**Closing Date: Deliveries.** The closing shall occur on \_\_\_\_\_, \_\_\_\_\_, or such number, date as the parties hereto may agree to (the **Closing Date** ). On the Closing Date, Buyer shall deliver a check in the amount of the Purchase Price to Seller, and Seller shall deliver to Buyer a share certificate representing the Shares issued in the name of the Seller.

### ARTICLE II

#### REPRESENTATIONS, WARRANTIES AND COVENANTS OF SELLER

To induce Buyer to enter into and perform its obligations under this Agreement, Seller hereby represents and warrants to Buyer, and covenants with Buyer, as follows:

### Section 2.1

**Authority and Capacity.** Seller has all requisite power, authority and capacity to enter into this Agreement. The execution, delivery and performance of this Agreement by Seller does not, and the consummation of the transaction contemplated hereby will not, result

in a breach of or default under any agreement to which Seller is a party or by which Seller is bound.

### Section 2.2

**Binding Agreement.** This Agreement has been duly and validly executed and delivered by Seller and constitutes Seller's valid and binding agreement, enforceable against Seller in accordance with and subject to its terms.

### Section 2.3

**Title to Shares.** Seller is the lawful, record and beneficial owner of all of the Shares, free and clear of any liens, claims, agreements, charges, security interests and encumbrances whatsoever. The only conveyance, assignment, and transfer of the Shares in accordance with the terms of this Agreement transfers to Buyer legal and valid title to the Shares, free and clear of all

represents and warrants to Seller as follows:

### Section 3.1

**Authority and Capacity.** Buyer has all requisite power, authority and capacity to enter into this Agreement. The execution, delivery and performance of this Agreement by Buyer does not, and the consummation of the transaction contemplated hereby will not, result

### Section 3.2

**Disclosure.** Buyer has reviewed the SEC Reports and is aware of the Company's business and financial condition.

### Section 3.3

**Investment Representations.** Buyer is acquiring the Shares for Buyer's own account and is not acquiring the Shares with a view to or for sale in connection with any distribution thereof within the meaning of the Securities Act of 1933, as amended.

ARTICLE IV

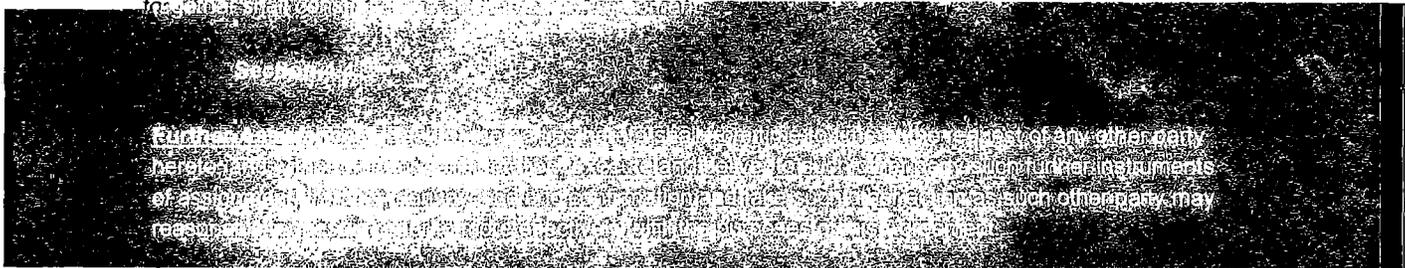
MISCELLANEOUS

Section 4.1

**Entire Agreement.** This Agreement constitutes the entire understanding and agreement of the parties relating to the subject matter hereof and supersedes any and all prior understandings, agreements, negotiations and discussions, both written and oral, between the parties hereto with respect to the subject matter hereof.

Section 4.2

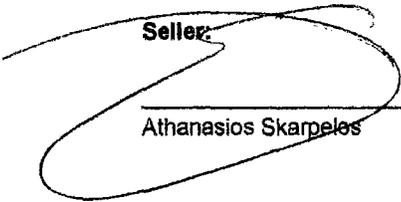
**Governing Law.** This Agreement shall be construed, interpreted and enforced in accordance with



IN WITNESS WHEREOF, this Agreement has been signed by the parties hereto as of the date first above written.

Buyer:

\_\_\_\_\_

Seller:  
  
Athanasios Skarpeles

ΣΚΑΡΠΕΛΙΔΕ ΑΘΑΝΑΣΙΟΣ  
0912113 ΑΠ 72452  
  
ΣΩΤΗΡΙΟΣ Γ. ΚΑΣΙΑΚΗΣ  
Υπάλληλος Κ.Ε.Π.  
Λήμου Βόρειας Κυνουρίας

No. CW15-02259

Skarpelos

vs.

Weiser et al

Weiser Ex. 32

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By mm  
Deputy



Message

---

**From:** Lambros Pedafronimos [l.pedaf@gmail.com]  
**Sent:** 7/9/2013 5:08:33 AM  
**To:** Christos [/O=CL/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=CHRISTOS]  
**Subject:** Notarized Documents  
**Attachments:** POATom.pdf; Purchase And Sale.pdf

Hi Bud,

Per our discussion, please find attached the notarized copies.

Regards,

--

Lambros Pedafronimos

**POWER OF ATTORNEY TO TRANSFER BONDS OR SHARES**

FOR VALUE RECEIVED the undersigned hereby sells, assigns and transfers unto:

\_\_\_\_\_  
(Name of transferee)  
of

\_\_\_\_\_  
(Transferee's address)

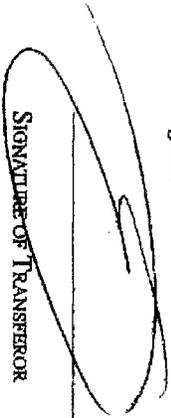
↑ \_\_\_\_\_ ↓

Description of Security - include number and class of Shares or amount (par value), rate and maturity of Bonds

standing in the name of the undersigned on the books of \_\_\_\_\_ represented by certificate No. \_\_\_\_\_ and hereby irrevocably constitutes and appoints \_\_\_\_\_ the attorney of the undersigned to transfer the said shares on the books of the Company with full power of substitution in the premises.

DATED at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_.

Signed:

  
SIGNATURE OF TRANSFEROR

Signature of transferor guaranteed by:

In the presence of:

SKRNEOZ ADANASIQ AT. AT IT 24522  
09/19/13

SIGNATURE OF WITNESS

**NOTE: The signature to this assignment must correspond with the name as recorded on the certificate/bond in every particular without alteration or enlargement or any change whatever. The signature of the person executing this power must be guaranteed by a Bank or Trust Company or by a Member of the Toronto Stock Exchange.**

## STOCK SALE AND PURCHASE AGREEMENT

THIS STOCK SALE AND PURCHASE AGREEMENT (this **Agreement** ) is dated as of \_\_\_\_\_, \_\_\_\_\_, and is made and entered into by and among \_\_\_\_\_ ( **Buyer** ) and Athanasios Skarpelos ( **Seller** ) with respect to the following facts:

A.

Seller owns 3,316,666 shares of common stock of Anavex Life Sciences Corp., a Nevada corporation (the **Company** ).

B.

Seller desires to sell to Buyer, and Buyer desires to purchase from Seller, 3,316,666 shares of the Company's common stock upon the terms and conditions set forth in this Agreement.

Accordingly, for and in consideration of the premises, the mutual promises, covenants and agreements hereafter set forth, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Seller and Buyer, intending to be legally bound, do hereby agree as follows:

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### ARTICLE II

#### REPRESENTATIONS, WARRANTIES AND COVENANTS OF SELLER

To induce Buyer to enter into and perform its obligations under this Agreement, Seller hereby represents and warrants to Buyer, and covenants with Buyer, as follows:

#### **Section 2.1**

**Authority and Capacity.** Seller has all requisite power, authority and capacity to enter into this Agreement. The execution, delivery and performance of this Agreement by Seller does not, and the consummation of the transaction contemplated hereby will not, result

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#### **Section 2.3**

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### **ARTICLE III**

#### **REPRESENTATIONS AND WARRANTIES OF BUYER**

To induce Seller to enter into and perform their obligations under this Agreement, Buyer represents and warrants to Seller as follows:

#### **Section 3.1**

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#### **Section 3.2**

**Disclosure.** Buyer has reviewed the SEC Reports and is aware of the Company's business and financial condition.

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**Investment Representations.** Buyer is acquiring the Shares for Buyer's own account and is not acquiring the Shares with a view to or for sale in connection with any distribution thereof within the meaning of the Securities Act of 1933, as amended.

**ARTICLE IV**

**MISCELLANEOUS**

**Section 4.1**

**Entire Agreement.** This Agreement constitutes the entire understanding and agreement of the parties relating to the subject matter hereof and supersedes any and all prior understandings, agreements, negotiations and discussions, both written and oral, between the parties hereto with respect to the subject matter hereof.

**Section 4.2**

**Governing Law.** This Agreement shall be construed, interpreted and enforced in accordance with, and shall be governed by, the laws of the State of California without reference to, and regardless of, any applicable choice or conflicts of laws principles.

**Section 4.3**

**Counterparts.** This Agreement may be executed in any number of counterparts and by the several parties hereto in separate counterparts, each of which shall be deemed to be an original, and all of which together shall constitute one and the same Agreement.

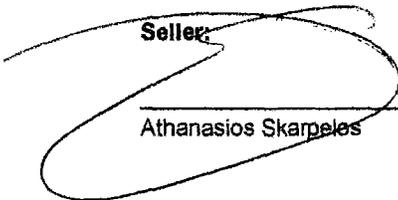
**Section 4.4**

**Further Assurances.** Each of the parties hereto shall from time to time at the request of any other party hereto, and without further consideration, execute and deliver to such other party such further instruments of assignment, transfer, conveyance and confirmation and take such other action as such other party may reasonably request in order to more effectively fulfill the purposes of this Agreement.

IN WITNESS WHEREOF, this Agreement has been signed by the parties hereto as of the date first above written.

**Buyer:**

\_\_\_\_\_

**Seller:**  
  
Athanasios Skarpeles

ΣΚΑΡΠΕΛΙΟΣ ΑΘΑΝΑΣΙΟΣ  
09121123456789  
ΣΩΤΗΡΙΟΣ Γ. ΚΑΨΑΛΗΣ  
Υπάλληλος Κ.Ε.Π.  
Δήμου Βόρειας Κυνουρίας

No. CN15-02259

Skarpelos

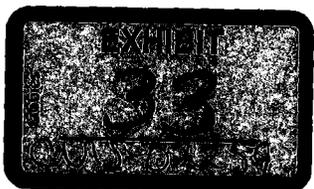
vs.

Weisenhof

Weiser Ex. 33

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By [Signature]  
Deputy



## STOCK SALE AND PURCHASE AGREEMENT

THIS STOCK SALE AND PURCHASE AGREEMENT (this **Agreement** ) is dated as of \_\_\_\_\_, \_\_\_\_\_, and is made and entered into by and among \_\_\_\_\_ ( **Buyer** ) and Athanasios Skarpelos ( **Seller** ) with respect to the following facts:

A.

Seller owns 3,316,666 shares of common stock of Anavex Life Sciences Corp., a Nevada corporation (the **Company** ).

B.

Seller desires to sell to Buyer, and Buyer desires to purchase from Seller, 3,316,666 shares of the Company's common stock upon the terms and conditions set forth in this Agreement.

Accordingly, for and in consideration of the premises, the mutual promises, covenants and agreements hereafter set forth, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Seller and Buyer, intending to be legally bound, do hereby agree as follows:

### ARTICLE I

#### SALE AND PURCHASE

##### Section 1.1

**Sale and Purchase of Shares.** On and subject to the terms and conditions of this Agreement, effective as of the Closing Date, Buyer shall purchase from Seller, and Seller shall sell to Buyer, Three Million Three Hundred and Sixteen Thousand Six Hundred and Sixty Six (3,316,666) shares of common stock (the **Shares** ) of the Company registered in the name of Seller for the consideration specified in Section 1.2 and upon the terms and conditions set forth in this Agreement.

##### Section 1.2

**Purchase Price.** The purchase price for the Shares (the **Purchase Price** ) is Two Hundred and Fifty Thousand dollars (\$250,000.00). The Purchase Price shall be paid to the Seller at the Closing, in cash.

##### Section 1.3

**Closing Date; Deliveries.** The closing shall occur on \_\_\_\_\_, \_\_\_\_\_, or such other date as the parties hereto may agree to (the **Closing Date** ). On the Closing Date, Buyer shall deliver a check in the amount of the Purchase Price to Seller, and Seller shall deliver to Buyer a share certificate representing the Shares issued in the name of the Seller.

### ARTICLE II

#### REPRESENTATIONS, WARRANTIES AND COVENANTS OF SELLER

To induce Buyer to enter into and perform its obligations under this Agreement, Seller hereby represents and warrants to Buyer, and covenants with Buyer, as follows:

**Section 2.1**

**Authority and Capacity.** Seller has all requisite power, authority and capacity to enter into this Agreement. The execution, delivery and performance of this Agreement by Seller does not, and the consummation of the transaction contemplated hereby will not, result

in a breach of or default under any agreement to which Seller is a party or by which Seller is bound.

**Section 2.2**

**Binding Agreement.** This Agreement has been duly and validly executed and delivered by Seller and constitutes Seller's valid and binding agreement, enforceable against Seller in accordance with and subject to its terms.

**Section 2.3**

**Title to Shares.** Seller is the lawful, record and beneficial owner of all of the Shares, free and clear of any liens, claims, agreements, charges, security interests and encumbrances whatsoever. The sale, conveyance, assignment, and transfer of the Shares in accordance with the terms of this Agreement transfers to Buyer legal and valid title to the Shares, free and clear of all liens, security interests, hypothecations or pledges.

**ARTICLE III**

**REPRESENTATIONS AND WARRANTIES OF BUYER**

To induce Seller to enter into and perform their obligations under this Agreement, Buyer represents and warrants to Seller as follows:

**Section 3.1**

**Authority and Capacity.** Buyer has all requisite power, authority and capacity to enter into this Agreement. The execution, delivery and performance of this Agreement by Buyer does not, and the consummation of the transaction contemplated hereby will not, result in a breach of or default under any agreement to which Buyer is a party or by which Buyer is bound.

**Section 3.2**

**Disclosure.** Buyer has reviewed the SEC Reports and is aware of the Company's business and financial condition.

**Section 3.3**

**Investment Representations.** Buyer is acquiring the Shares for Buyer's own account and is not acquiring the Shares with a view to or for sale in connection with any distribution thereof within the meaning of the Securities Act of 1933, as amended.

**ARTICLE IV**

**MISCELLANEOUS**

**Section 4.1**

**Entire Agreement.** This Agreement constitutes the entire understanding and agreement of the parties relating to the subject matter hereof and supersedes any and all prior understandings, agreements, negotiations and discussions, both written and oral, between the parties hereto with respect to the subject matter hereof.

**Section 4.2**

**Governing Law.** This Agreement shall be construed, interpreted and enforced in accordance with, and shall be governed by, the laws of the State of California without reference to, and regardless of, any applicable choice or conflicts of laws principles.

**Section 4.3**

**Counterparts.** This Agreement may be executed in any number of counterparts and by the several parties hereto in separate counterparts, each of which shall be deemed to be an original, and all of which together shall constitute one and the same Agreement.

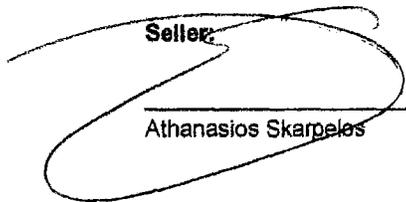
**Section 4.4**

**Further Assurances.** Each of the parties hereto shall from time to time at the request of any other party hereto, and without further consideration, execute and deliver to such other party such further instruments of assignment, transfer, conveyance and confirmation and take such other action as such other party may reasonably request in order to more effectively fulfill the purposes of this Agreement.

IN WITNESS WHEREOF, this Agreement has been signed by the parties hereto as of the date first above written.

**Buyer:**

\_\_\_\_\_

**Seller:**  
  
Athanasios Skarpeles

ΣΚΑΡΠΕΛΙΟΣ ΑΘΑΝΑΣΙΟΣ  
09/11/2021  
ΣΩΤΗΡΙΟΣ Γ. ΚΑΨΑΛΗΣ  
Υπάλληλος Κ.Ε.Π.  
Λόγιου Βόρειας Κυνουρίας

No. CV15-02259

Skarpelos

vs.

Weiser et al

Weiser Ex. 34

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By [Signature]  
Deputy



**POWER OF ATTORNEY TO TRANSFER BONDS OR SHARES**

FOR VALUE RECEIVED the undersigned hereby sells, assigns and transfers unto:

Weiser (Bahamas) Ltd.

(Name of transferee)

of

#104 Island Lane

Olde Towne, Sandyport

Nassau, Bahamas

(Transferor's address)

6,633,332 Share of Anavex Life Sciences Corp. Common Stock

(Description of Security - include number and class of Shares or amount (par value), rate and maturity of Bonds)

standing in the name of the undersigned on the books of ATHANASTIOS SKARPELOS represented by certificate No. 753 and hereby irrevocably constitutes and appoints WEISER (BAHAMAS) LTD. the attorney of the undersigned to transfer the said shares on the books of the Company with full power of substitution in the premises.

DATED at Athens this 12 day of JULY, 2013.

Signed:

In the presence of:

Signature of TRANSFEROR

Signature of Witness

Signature of transferor guaranteed by:

YENI AOG KELL  
Afijou Bópataq Kópoufias

NOTE: The signature to this assignment must correspond with the name as recorded on the certificate/bond in every particular without alteration or enlargement or any change whatever. The signature of the person executing this power must be guaranteed by a Bank or Trust Company, or by a Member of the Toronto Stock Exchange.

No. CW15-02259

Skappalos

vs.

Weiser, et al

Weiser Ex. 35

Admitted: 1/28, 2019

JACQUELINE BRYANT, CLERK

By mm

Deputy



**POWER OF ATTORNEY TO TRANSFER BONDS OR SHARES**

FOR VALUE RECEIVED the undersigned hereby sells, assigns and transfers unto:

\_\_\_\_\_  
(Name of transferee)  
of

\_\_\_\_\_  
(Transferee's address)

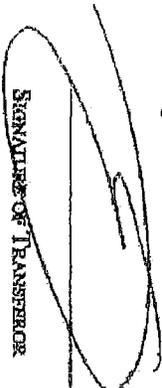
\_\_\_\_\_  
↑

(Description of Security - include number and class of Shares or amount (par value), rate and maturity of Bonds)

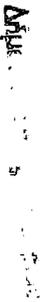
standing in the name of the undersigned on the books of \_\_\_\_\_ represented by certificate No. \_\_\_\_\_ and hereby irrevocably constitutes and appoints \_\_\_\_\_ the attorney of the undersigned to transfer the said shares on the books of the Company with full power of substitution in the premises.

DATED at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_.

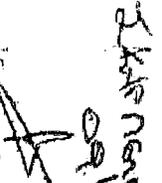
Signer:

  
SIGNATURE OF TRANSFEROR

Signature of transferor guaranteed by:

  
Signature of \_\_\_\_\_

In the presence of:

  
SIGNATURE OF WITNESS  
SKRNGNOZ ABANASIQ AT. A T T 2 4 5 2 2  
09/19/12

**NOTE:** The signature to this assignment must correspond with the name as recorded on the certificate/bond in every particular without alteration or enlargement or any change whatever. The signature of the person executing this power must be guaranteed by a Bank or Trust Company or by a Member of the Toronto Stock Exchange.

No. CN15-02259

Skarpelos

vs.

Weisenhof

Weisen Ex. 36

Admitted: 1/28, 2019

JACQUELINE BRYANT, CLERK

By mm

Deputy



Message

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**From:** tom skarp [tomskarp@yahoo.com]  
**Sent:** 10/28/2013 11:18:05 AM  
**To:** Christos [/O=CL/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=CHRISTOS]  
**Subject:** Re: Loulou

ok

Tom Skarpelos  
tomskarp@yahoo.com

---

**From:** Christos <christos@bizex.bz>  
**To:** tomskarp@yahoo.com  
**Sent:** Monday, October 28, 2013 7:18 PM  
**Subject:** Re: Loulou

So what he's gone to the village - has he explained nothing to you??

I'll be online in about 45min

---

**From:** Tom Skarpelos  
**To:** Christos  
**Sent:** Mon Oct 28 13:10:00 2013  
**Subject:** Re: Loulou

Hi bud

He is move down to the village and working in the vineyard but I am around if you like to chat.

Tom Skarpelos

On Oct 28, 2013, at 6:50 PM, "Christos" <[christos@bizex.bz](mailto:christos@bizex.bz)> wrote:

I haven't heard from him in a week. I had everything's ready for \$ and Christopher to go ahead.

No. CN15-02259

Skarpelos

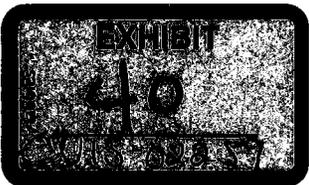
vs.

Weizenhof

Weiser Ex. 40

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By mm  
Deputy





Statement of Account

ACCOUNT USD 200-802992

Statement for the period February 1, 2013 - December 31, 2013

Skarpelos, Athanasios  
Tirax II Glylada  
Athens  
Greece

For additional service, contact  
ELIAS SOUROSO  
Investment Advisor

242-888-6900

**ACCOUNT SUMMARY**

Estimated Current Value

CASH ON DEPOSIT	4,115.36
COMMON SHARES	N/A
<b>Total Assets</b>	<b>USD 4,115.36</b>

**CASH SUMMARY**

USD Account	USD 4,115.36
-------------	--------------

**SECURITIES SUMMARY**

USD Account

	Quantity	Location	Current Price	Estimated MV
<b>COMMON SHARES</b>				
ANAVEX LIFE SCIENCES CORP.	92,500	Res-Seg	N/A	
ANAVEX LIFE SCIENCES CORP.*	3,318,855	Res-Seg	N/A	
*REP (part of acct 0050)				

Market Value of COMMON SHARES

N/A



SKARPELOS, ATHANASIOS  
ACCOUNT USD 200-802992

Statement for the period February 1, 2013 - December 31, 2013

**ACCOUNT ACTIVITY**

**Cash - USD**

Date	Activity	Value Date	Debit	Credit	Balance
02/01/2013	Opening Balance		(140,267.84)		(140,268)
03/25/2013	*Transfer TRANS USD TO EUR W200802992032513 10,000 EUR	03/28/2013	(13,891.90)		(153,879.54)
03/25/2013	*Wire Out Fee		(125.00)		(153,804.54)
04/08/2013	*STOCK SALE ANAVEX LIFE SCIENCE CORP 9,916,866	04/02/2013		249,560.00	95,775.48
05/09/2013	*Transfer TRANS USD TO EUR W200802992050913 15,000 EUR	05/14/2013	(20,098.40)		75,706.08
05/09/2013	*Wire Out Fee		(125.00)		75,581.08
05/22/2013	*Transfer TRANS USD TO EUR W200802992052213 16,033.90 EUR	05/29/2013	(20,000.00)		55,581.08
05/22/2013	*Wire Out Fee		(125.00)		55,456.08
07/02/2013	*Transfer TRANS USD TO EUR W200802992070213 15,000 EUR	07/08/2013	(18,847.80)		36,608.28
07/02/2013	*Wire Out Fee		(125.00)		35,483.28
08/05/2013	*Transfer TRANS USD TO EUR W200802992080513 15,000 EUR	08/08/2013	(20,857.90)		14,625.38
08/05/2013	*Wire Out Fee		(125.00)		14,700.38
09/16/2013	*Transfer TRANS USD TO EUR W200802992091613 7,500 EUR	09/23/2013	(10,460.80)		4,240.38
09/16/2013	*Wire Out Fee		(125.00)		4,115.38

**Securities - USD**

Settlement Day	Activity Type	Quantity	Description	Price	Amount
04/02/2013	SELL	9,916,866	ANAVEX LIFE SCIENCES CORP	0.075232	629,580.00



SKARPELOS, ATHANASIOS  
ACCOUNT USD 200-802982

Statement for the period February 1, 2013 - December 31, 2013

Important information on depositing physical certificates with Weiser Asset Management Ltd., is available from your account manager or your financial advisor. Please read the document titled "Escheatment of Physical Certificates"

Effective October 1st 2013 our administrative fee for an Early Settlement Check will be 1% (with minimum of \$50,000)

#### Terms, conditions & other information

- This is a statement of your account according to our records. If it is not in accordance with yours please contact the Chief Compliance Officer immediately.
- The prices shown on the statement, used for the purpose of displaying market values, while obtained from sources believed to be reliable, cannot be guaranteed as to their accuracy. In any event, market values are shown as "estimated". If "N/A" appears in connection with any specific security, either there is no price or we were unable to obtain a reliable one.
- We expect prompt settlement of cash balances due to us.
- Credit balances are payable on request upon receipt by us of securities in "good delivery" form that may be owed by you.
- Any free credit balances, with the exception of balances held for registered plans, represent funds payable on demand, which although properly recorded in our books, are not segregated and may be used in the conduct of our business.

No. CU15-02259

Skappelos

vs.

Weisenetal

Weisen Ex. 43

Admitted: 1/28, 2019

JACQUELINE BRYANT, CLERK

By mm

Deputy





Statement of Account

ACCOUNT USD 200-802992

Statement for the period February 1, 2013 - December 31, 2013

Skarpelos, Athanasios  
Tixis II Glyfada  
Athens  
Greece

For additional service, contact:  
ELIAS SOURSOS  
Investment Advisor

242-698-6000

**ACCOUNT SUMMARY**

Estimated Current Value

CASH ON DEPOSIT	4,115.36
COMMON SHARES	N/A
<hr/>	
Total Assets	USD 4,115.36

**CASH SUMMARY**

USD Account	USD 4,115.36
-------------	--------------

**SECURITIES SUMMARY**

USD Account

	Quantity	Location	Current Price	Estimated MV
<b>COMMON SHARES</b>				
ANAVEX LIFE SCIENCES CORP.	92,500	Res-Seg	N/A	
ANAVEX LIFE SCIENCES CORP.*	8,316,666	Res-Seg	N/A	
<small>*REF (as of Oct 27/13)</small>				

Market Value of COMMON SHARES

N/A



Statement for the period February 1, 2013 - December 31, 2013

SKARPELOS, ATHANASIOS  
ACCOUNT USD 200-802982

**ACCOUNT ACTIVITY**

**Cash - USD**

Date	Activity	Value Date	Debit	Credit	Balance
02/01/2013	Opening Balance		(140,287.64)		(140,288)
03/25/2013	*Transfer TRANS USD TO EUR W200802992032513 10,000 EUR	03/26/2013	(13,991.90)		(153,679.54)
03/26/2013	*Wire Out Fee		(125.00)		(153,604.54)
04/02/2013	*STOCK SALE ANAVEX LIFE SCIENCE CORP 3,316,866	04/02/2013		249,580.00	95,775.46
05/09/2013	*Transfer TRANS USD TO EUR W200802992050913 15,000 EUR	05/14/2013	(20,059.40)		75,706.06
05/09/2013	*Wire Out Fee		(125.00)		75,581.06
05/22/2013	*Transfer TRANS USD TO EUR W200802992052213 15,033.90 EUR	05/29/2013	(20,000.00)		55,581.06
05/22/2013	*Wire Out Fee		(125.00)		55,456.06
07/02/2013	*Transfer TRANS USD TO EUR W200802992070213 15,000 EUR	07/06/2013	(19,847.80)		35,608.26
07/02/2013	*Wire Out Fee		(125.00)		35,483.26
08/06/2013	*Transfer TRANS USD TO EUR W200802992080613 15,000 EUR	08/09/2013	(20,657.50)		14,825.96
08/06/2013	*Wire Out Fee		(125.00)		14,700.96
09/18/2013	*Transfer TRANS USD TO EUR W200802992091813 7,500 EUR	09/23/2013	(10,462.60)		4,240.36
09/18/2013	*Wire Out Fee		(125.00)		4,115.36

**Securities - USD**

Settlement Day	Activity Type	Quantity	Description	Price	Amount
04/02/2013	SELL	3,316,866	ANAVEX LIFE SCIENCES CORP	0.075332	\$249,580.00



Statement for the period February 1, 2013 - December 31, 2013

SKARPELOS, ATHANASIOS  
ACCOUNT USD 200-802892

Important information on depositing physical certificates with Weiser Asset Management Ltd., is available from your account manager or your financial advisor. Please read the document titled "Escheatment of Physical Certificates".

Effective October 1st 2013 our administrative fee for an Early Settlement Check will be 1% (with minimum of \$50,000)



Terms, conditions & other information:

- This is a statement of your account according to our records. If it is not in accordance with yours please contact the Chief Compliance Officer immediately.
- The prices shown on the statement, used for the purpose of displaying market values, while obtained from sources believed to be reliable, cannot be guaranteed as to their accuracy. In any event, market values are shown as "estimated". If "N/A" appears in connection with any specific security, either there is no price or we were unable to obtain a reliable one.
- We expect prompt settlement of cash balances due to us.
- Credit balances are payable on request upon receipt by us of securities in "good delivery" form that may be owed by you.
- Any free credit balances, with the exception of balances held for registered plans, represent funds payable on demand, which although properly recorded in our books, are not segregated and may be used in the conduct of our business.

No. CV15-02259

Skarpelos

vs.

Weiseretal

Weiser Ex. 44

Admitted: 1/28, 20 19  
JACQUELINE BRYANT, CLERK

By [Signature]  
Deputy



**MONTELLO LAW**  
2750 N.E. 185<sup>th</sup> Street, Suite 201  
Aventura, Florida 33180

**Telephone: (305) 682-2000**  
**Facsimile: (305) 682-3669**

November 2, 2015

**VIA EMAIL**

[info@natco.org](mailto:info@natco.org)

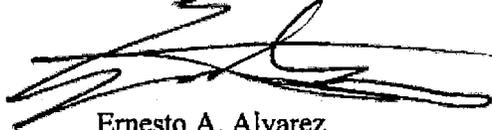
Nevada Agency and Transfer Company  
50 West Liberty Street, Suite 880  
Reno, Nevada 89501

Re: Transfer of Shares of Anavex Life Sciences Corp. Common Stock

Ladies and Gentlemen:

This letter is a follow-up to our letter to you dated October 30, 2015, in which we demanded that Nevada Agency and Transfer Company immediately place a stop transfer order on the Replacement Certificate (as defined in our October 30<sup>th</sup> letter). This is a time-sensitive issue, and therefore, we reiterate our demand that you immediately place a stop transfer order on the Replacement Certificate and confirm to us that you have done so.

Sincerely,



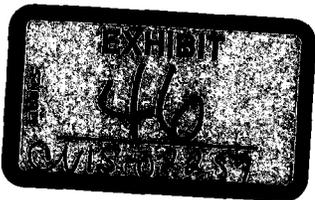
Ernesto A. Alvarez

cc: Weiser Asset Management Ltd. (via email)

No. CWIS-02259  
Skarpelos  
vs.  
Weiseretal  
Weiser Ex. 46

Admitted: 1/28, 20 19  
JACQUELINE BRYANT, CLERK

By mm  
Deputy



**ALEXANDER H. WALKER III**

**Attorney at Law**  
American Plaza II  
57 West 200 South, Suite 400  
Salt Lake City, Utah 84101  
(801) 363-0100  
(801) 521-3301 (Fax)  
admitted in Utah and Nevada

November 3, 2015

Via U.S. Mail and Facsimile: (305) 682-3669

Ernesto A. Alvarez  
MONTELLO Law  
2750 N.E. 185<sup>th</sup> Street, Suite 201  
Aventura, Florida 33180

***Re: Anavex Life Sciences Corp./Skarpelos/Weiser Asset Management, Ltd.***

Mr. Alvarez:

I represent Nevada Agency and Transfer Company ("NATCO"). NATCO has received your letter dated October 30, 2015. I am trying confirm the information in your letter and would appreciate it if you could provide me with copies of the documents evidencing your client's presentment of certificate number 0753 as referenced in your letter, including a copy of certificate 0753 and any instruction your client submitted therewith.

Also, for purposes of your request for stop transfer instructions, are you making a request under section 8-403 that the issuer not register a transfer? If so can you please confirm the facts that support your client's claim that is an "appropriate person" as that term is identified under the applicable provisions of the Uniform Commercial Code. That information would be very helpful.

So you are aware, NATCO has contacted both Anavex and Mr. Skarpelos and has requested that they address this matter.

Please contact me at your convenience.

Sincerely,

  
Alexander H. Walker III

AHW:hm  
cc: Client

No. CV15-02259

Skarpelos

vs.

Weiser et al

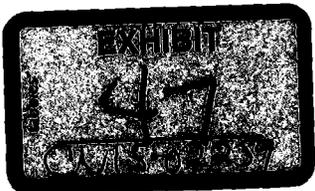
Weiser Ex. 47

Admitted: 1/28, 2019

JACQUELINE BRYANT, CLERK

By MM

Deputy





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Attention:  
Nevada Agency and Transfer Company  
50 West Liberty Street, Suite 880  
Reno, Nevada 89501

Nov. 12, 2015

Re: Share Certificate DWAC Request

To Whom It May Concern:

Enclosed, please find the Anavex Life Sciences Corp. share certificate #0753 (6,633,332 shares) registered in the name of Athanasios Skarpelos.

Please have this share certificate restriction's legend removed and transfer via DWAC to State Street Bank's settlement instructions below.

**SETTLEMENT INSTRUCTION:**

Name of Bank: State Street Bank  
DTC Participant #: 0997  
Account Name: Weiser Asset Management Ltd.  
Agent account: CCMA  
DTC Institution ID: 0997  
Agent Bank #: 26022

Sincerely,

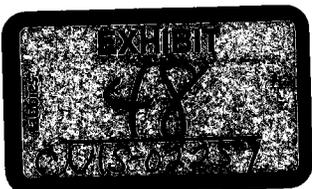
A handwritten signature in black ink, appearing to read 'Elias Sourlos', is written over a faint, illegible typed name.

Elias Sourlos  
Weiser Asset Management Ltd.  
Institutional Trade Desk

No. CWIS-02259  
Skappelos  
vs.  
Weiser et al  
Weiser Ex. 48

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By Wm  
Deputy



November 12, 2015

WITHOUT PREJUDICE

VIA EMAIL EALVAREZ@MONTELOLAW.COM>

Nevada Agency and Transfer Company  
50 West Liberty Street, Suite 880  
Reno NV 89501

Attention: Ernesto A. Alvarez

Dear Sirs:

Re: Claim of Weiser Asset Management Ltd.

We have been retained by Tom Skarpelos regarding the claim of Weiser Asset Management Ltd. ("Weiser") put forward in your letter dated October 30, 2015 and addressed to Nevada Agency and Transfer Company.

The following are the facts according to our client: Mr. Skarpelos did provide Weiser Asset Management with certificates 660 and 753 in 2011 in order to establish his brokerage account with Weiser, who represented themselves as a registered broker-dealer. The process of opening the account was not going smoothly, and our client found out that Weiser was not in fact a properly licensed dealer in the United States. Mr. Skarpelos tried many times to reach his contact at Weiser to get his shares back, but was unsuccessful in connecting with anyone in authority, and Mr. Skarpelos was alarmed when Weiser then stopped answering their phones.

At this point, Mr. Skarpelos was worried that Weiser was not reliably holding the shares and contacted Nevada Agency to see about cancelling the share certificates he had delivered to Weiser and getting new ones. Mr. Skarpelos was able to cancel the old certificates and had new ones issued in April, 2013.

In July, 2013, Weiser did re-establish contact with Mr. Skarpelos and informed him that they would like to arrange the sale of Mr. Skarpelos' shares. Mr. Skarpelos was prepared to sell on the right conditions, and did sign a purchase agreement on July 9, 2013 with regard to sale of the new certificates, not the cancelled certificates. However, Mr. Skarpelos kept in his possession the share certificates that had been re-issued together with the original stock power of attorney and original purchase agreement. Mr. Skarpelos would transfer the originals of those documents to the buyer when and if the purchase price was forthcoming within a reasonable time. The purchase price was actually never paid, and the proposed purchaser was never identified by Weiser. The purchase and sale agreement expired within a reasonable time of Mr. Skarpelos' signature being affixed. The date of the Agreement which has since expired is July 9, 2013, months after certs 660 and 753 had been cancelled.

In your demand letter to Nevada Agency, you quote Nevada Revised Statute 104.8405. Unfortunately, you neither quote it in full nor refer to the definitions of terms which are crucial for understanding the law. It is true that if "a protected purchaser of the original certificate presents it for registration of

transfer, the issuer shall register the transfer" but the clause goes on to say "unless an overissue shall result." In this case, clearly an overissue would result as Mr. Skarpelos replaced those cancelled shares with others.

Secondly, the definition of "protected purchaser" under Nevada law is:

**NRS 104.8303 Protected purchaser.**

1. "Protected purchaser" means a purchaser of a certificated or uncertificated security, or of an interest therein, who:

- (a) Gives value;
- (b) Does not have notice of any adverse claim to the security; and
- (c) Obtains control of the certificated or uncertificated security.

In this case, Weiser neither gave value nor can claim that it did not have notice of an adverse claim. It knew and knows now that Mr. Skarpelos lays claim to the shares, he has not sold them, because any intended or contemplated sale did not complete.

If Weiser wishes to prove its claim in court, it is welcome to attempt to do so and Mr. Skarpelos will rigorously fight such a claim.

Mr. Skarpelos states that Weiser is holding the cancelled certificate numbers 660 and 753 improperly, and those certificates should be returned to Nevada Agency for cancellation. If Weiser fails to do so, our client will consider his legal remedies.

Yours truly,

**CLARK WILSON LLP**

Per: 

Bernard Pinsky, Q.C.\*  
Incorporated Partner

BIP/bip

Encl.

cc: Tom Skarpelos

\* Admitted to practice in: British Columbia; California

No. CNIS-02259

Skappelos

vs.

Weisenetal

Weisen Ex. 49

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By [Signature]  
Deputy



Message

**From:** Christos Livadas [xtos@weisercapital.bz]  
**Sent:** 11/12/2015 3:01:11 PM  
**To:** Louis Montello [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=LMontello]  
**CC:** Ernesto Alvarez [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=Ealvarez]  
**Subject:** Re: Submission request: Anavex Stock Certificate #0753

Redacted

**From:** Louis Montello <LMontello@montellolaw.com>  
**Date:** Thu, 12 Nov 2015 16:16:14 -0500  
**To:** Christos Weiser Capital<xtos@weisercapital.bz>  
**Cc:** Ernesto Alvarez<ealvarez@montellolaw.com>  
**Subject:** Submission request: Anavex Stock Certificate #0753

Redacted

Louis R. Montello



2750 NE 185<sup>th</sup> St., Suite 201

Aventura, FL 33180

T: (305) 682-2000 | F: (305) 682-3669

[lmontello@montellolaw.com](mailto:lmontello@montellolaw.com)

[www.montellolaw.com](http://www.montellolaw.com)

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**From:** Christos Weiser Capital [mailto:xtos@weisercapital.bz]  
**Sent:** Thursday, November 12, 2015 2:45 PM  
**To:** Nick Boutsalis (nboutsalis@primorisgroup.com)  
**Subject:** Submission request: Anavex Stock Certificate #0753

Hi, Nick –

Thank-you for confirming your office received the original stock certificate #0753, stock power, and copy of passport for Athanasios Skarpelos on November 2013, and is in safe-keeping.

Please confirm receipt of this email, and courier these items to Anavex' transfer agent.

Furthermore, please forward tracking# and advise when the courier has been delivered to the transfer agent.

Regards,

Christos

Christos Livadas

Director, Weiser (Bahamas) Ltd.

+1-242-698-6605

No. CV15-02259

Skarpelos

vs.

Weisenhof

Weism Ex. 50

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By mm  
Deputy



**MONTELLO LAW**  
2750 N.E. 185<sup>th</sup> Street, Suite 201  
Aventura, Florida 33180

**Telephone: (305) 682-2000**  
**Facsimile: (305) 682-3669**

November 13, 2015

**VIA EMAIL**

Alexander Walker III, Esquire  
American Plaza II  
57 West 200 South, Suite 400  
Salt Lake City, Utah 84101

Re: Transfer of Shares of Anavex Life Sciences Corp. Common Stock

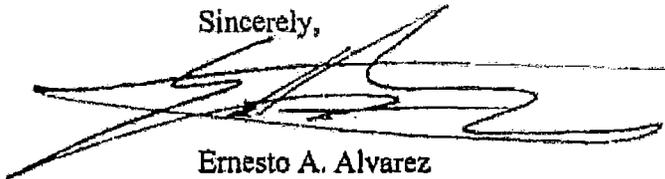
Dear Mr. Walker:

We are writing in response to your letter to us dated November 3, 2015. We have confirmed that Anavex Life Sciences Corp. ("Anavex") has delivered or is in the process of delivering to Nevada Agency and Transfer Company (the "Transfer Agent") original Stock Certificate No. 0753 for 6,633,332 shares of Anavex common stock issued in the name of Mr. Skarpelos and the stock power executed by Mr. Skarpelos in favor of Weiser Asset Management Ltd. ("Weiser"). Enclosed please find our letter to the Transfer Agent requesting that it register on Anavex's stock transfer records Weiser's ownership of the 3,316,666 shares of Anavex common stock.

Because Anavex issued a new certificate to Mr. Skarpelos, we are making this request to the Transfer Agent pursuant to Nev. Rev. Stat. §104.8405, which states that if, after the issue of a new security certificate, a protected purchaser of the original certificate presents the original certificate for registration of transfer, the transfer agent must nonetheless register the transfer. In this case, Weiser meets the §104.8303 definition of a "protected purchaser" because it purchased a certificated security for value without notice of any adverse claim to the security at the time of such purchase, and thereafter obtained control of the certificated security.

Please immediately confirm to us in writing that the Transfer Agent is effecting the transfer of the Stock to Weiser. The Transfer Agent's immediate action is critical in order to avoid loss or damage to Weiser.

Sincerely,



Ernesto A. Alvarez

Enclosure

cc: Weiser Asset Management Ltd. (via email) (with enclosure)

No. CNIS-02259

Skappelos

vs.

Weiser et al

Weiser Ex. 51

Admitted: 1/28, 20 19  
JACQUELINE BRYANT, CLERK

By [Signature]  
Deputy



**MONTELLO LAW**  
2750 N.E. 185<sup>th</sup> Street, Suite 201  
Aventura, Florida 33180

**Telephone: (305) 682-2000**  
**Facsimile: (305) 682-3669**

November 13, 2015

**VIA EMAIL**

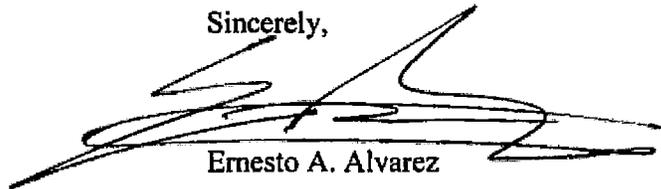
Nevada Agency and Transfer Company  
50 West Liberty Street, Suite 880  
Reno, Nevada 89501

Re: Transfer of Shares of Anavex Life Sciences Corp. Common Stock

Ladies and Gentlemen:

This letter is in reference to our letter dated October 30, 2015, regarding the registration of the transfer of shares of Anavex Life Sciences Corp. ("Anavex") to Weiser Asset Management Ltd. ("Weiser") pursuant to the July 12, 2013 sale transaction whereby Mr. Skarpelos sold 3,316,666 shares of Anavex common stock (the "Stock") to Weiser. We understand that Anavex has received original Stock Certificate No. 0753 and the stock power executed by Mr. Skarpelos in favor of Weiser to effect the transfer of the Stock to Weiser. We request that you immediately effect the transfer of the Stock from Mr. Skarpelos to Weiser on Anavex's stock transfer records in accordance with the enclosed instruction letter from Weiser.

Sincerely,



Ernesto A. Alvarez

Enclosure

cc: Weiser Asset Management Ltd. (via email) (with enclosure)  
Alexander Walker III, Esquire (via email) (with enclosure)

No. CNIS-02259

Skarpelos

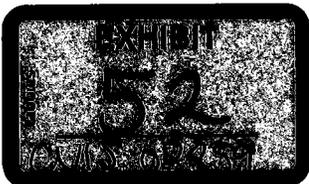
vs.

Weisenfal

Weisen Ex. 52

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By [Signature]  
Deputy



Message

**From:** Louis Montello [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=LMONTELLO]  
**Sent:** 11/13/2015 4:29:30 PM  
**To:** 'xtos@weisercapital.bz' [xtos@weisercapital.bz]  
**CC:** Ernesto Alvarez [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=Ealvarez]  
**Subject:** Nevada Agency and Transfer Company

Redacted

Louis R. Montello



2750 NE 185<sup>th</sup> St., Suite 201

Aventura, FL 33180

T: (305) 682-2000 | F: (305) 682-3669

[lmontello@montellolaw.com](mailto:lmontello@montellolaw.com)

[www.montellolaw.com](http://www.montellolaw.com)

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**From:** Alex Walker [<mailto:awalkerlaw@aol.com>]  
**Sent:** Friday, November 13, 2015 6:26 PM  
**To:** Ernesto Alvarez  
**Cc:** Amanda Cardinalli  
**Subject:** Re: Nevada Agency and Transfer Company

JA1243  
WEISER000187

Mr. Alvarez:

Your letter of November 13, 2015 to me requests that I "immediately confirm [to you] in writing that the Transfer Agent is effecting the transfer of the Stock to Weiser." I have checked with Nevada Agency and Transfer Company and to date the original stock certificate to which your refer has not been received. As you know, no transfer can be effected without a proper presentment of the certificate with the appropriate accompanying documentation in compliance with the requirements of Nevada's Uniform Commercial Code.

Alex Walker

Alexander Walker III

Attorney at Law

American Plaza II

57 West 200 South, Suite 400

Salt Lake City, Utah 84101

(801)363-0100

(801)521-3301 (Fax)

[awalkerlaw@aol.com](mailto:awalkerlaw@aol.com)

\*Admitted in Utah and Nevada

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On Nov 13, 2015, at 2:59 PM, Ernesto Alvarez <[ealvarez@montellolaw.com](mailto:ealvarez@montellolaw.com)> wrote:

Please see the attached letter.

Ernesto A. Alvarez

<image001.jpg>

2750 NE 185<sup>th</sup> St., Suite 201

Aventura, FL 33180

T: (305) 682-2000 | F: (305) 682-3669

[ealvarez@montellolaw.com](mailto:ealvarez@montellolaw.com)

[www.montellolaw.com](http://www.montellolaw.com)

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<NEVADA.AGENCY.TRANSFER.CO.WALKER.LTR.11.13.15.pdf>

No. CNIS-02259

Skarpeles

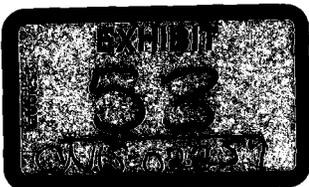
vs.

Weiseretal

Weiser Ex. 53

Admitted: 1/28, 20 19  
JACQUELINE BRYANT, CLERK

By [Signature]  
Deputy



Nevada Agency & Transfer Co  
50 W Liberty St # 880,  
Reno, NV  
89501

**RECEIVED**

NOV 16 2015

NEVADA AGENCY AND  
TRANSFER COMPANY

November 13, 2015

Dear Sirs;

Please find enclosed Stock Certificate 0753 for Anavex Life Sciences, copy of Passport # AA3117184 and notarized POA. As instructed by Weiser we are sending them to you as we had them in our office. We have been informed that a letter of instruction is to follow.

Regards



Nick Boutsalis  
Primoris Group  
160 Eglinton Ave East #602  
Toronto, Ontario  
M4P 3B5  
416-489-0092

PID - 000045  
JA1247



NOT VALID UNLESS COUNTERSIGNED BY TRANSFER AGENT,  
INCORPORATED UNDER THE LAWS OF THE STATE OF NEVADA.

NUMBER

SHARES



# ANAVEX

LIFE SCIENCES Corp.

"THE SHARES REPRESENTED BY THIS CERTIFICATE HAVE NOT BEEN REGISTERED UNDER THE SECURITIES ACT OF 1933, AND MAY NOT BE SOLD, TRANSFERRED OR OTHERWISE DISPOSED UNLESS, IN THE OPINION OF COUNSEL SATISFACTORY TO THE ISSUER, THE TRANSFER QUALIFIES FOR AN EXEMPTION FROM OR EXEMPTION TO THE REGISTRATION PROVISIONS THEREOF."

AUTHORIZED COMMON STOCK: 150,000,000 SHARES  
PAR VALUE: \$1.001

CUSIP NO. 032797 10 2

*Oliver Wyman*

\*\*\*ATHANASTIOS SKARPELOS\*\*\*

Is The Record Holder Of \*\*\*SIX MILLION SIX HUNDRED THIRTY THREE THOUSAND THREE HUNDRED THIRTY TWO\*\*\*

Shares of ANAVEX LIFE SCIENCES CORP. Common Stock transferable on the books of the Corporation by the holder hereof, in person or by duly authorized attorney, upon surrender of this Certificate properly endorsed. This Certificate is not valid until countersigned by the Transfer Agent and registered by the Registrar.

Witness the facsimile seal of the Corporation and the facsimile signatures of its duly authorized officers.

Dated: OCTOBER 29, 2009



*[Signature]*  
SECRETARY

*[Signature]*  
PRESIDENT

NOT VALID UNLESS COUNTERSIGNED BY TRANSFER AGENT

Countersigned & Registered

Countersigned and Registered  
Nevada Agency and Transfer Company  
50 West Liberty Street • Suite 880 • Reno, Nevada 89501

Authorized Signatory

**POWER OF ATTORNEY TO TRANSFER BONDS OR SHARES**

FOR VALUE RECEIVED the undersigned hereby sells, assigns and transfers unto:

\_\_\_\_\_  
(Name of transferee)  
of  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
(Transferee's address)

↑ \_\_\_\_\_ ↑

Description of Security - Include number and class of Shares or amount (par value), rate and maturity of Bonds

standing in the name of the undersigned on the books of \_\_\_\_\_, represented by certificate No. \_\_\_\_\_ and hereby irrevocably constitutes and appoints \_\_\_\_\_ the attorney of the undersigned to transfer the said shares on the books of the Company with full power of substitution in the premises.

DATED at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_.

Signed:

  
SIGNATURE OF TRANSFEROR

In the presence of:

  
SIGNATURE OF WITNESS

Signature of transferor guaranteed by

NOTE: The signature to this assignment must correspond with the name as recorded on the certificate/bond in every particular without alteration or enlargement or any change whatever. The signature of the person executing this power must be guaranteed by a Bank or Trust Company, or by a Member of the Toronto Stock Exchange.

No. CN15-02259

Skarpelos

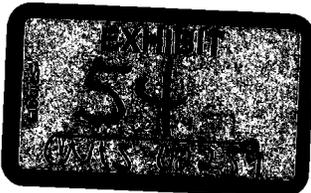
vs.

Weiser et al

Weiser Ex. 54

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By mm  
Deputy



**MONTELLO LAW**  
2750 N.E. 185<sup>th</sup> Street, Suite 201  
Aventura, Florida 33180

**Telephone: (305) 682-2000**  
**Facsimile: (305) 682-3669**

November 16, 2015

**VIA EMAIL**

Alexander Walker III, Esquire  
American Plaza II  
57 West 200 South, Suite 400  
Salt Lake City, Utah 84101

Re: Transfer of Shares of Anavex Life Sciences Corp. Common Stock

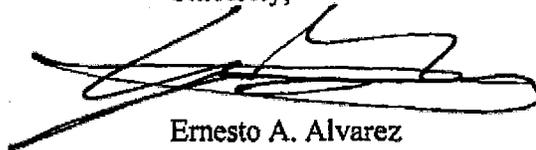
Dear Mr. Walker:

In response to your letter to us dated November 3, 2015, we have confirmed that Anavex Life Sciences Corp. ("Anavex") has delivered to Nevada Agency and Transfer Company (the "Transfer Agent") original Stock Certificate No. 0753 for 6,633,332 shares of Anavex common stock issued in the name of Mr. Athanasios Skarpelos and the stock power executed by Mr. Skarpelos in favor of Weiser Asset Management Ltd. ("Weiser"). In addition, we previously provided the Transfer Agent with an instruction letter from Weiser to the Transfer Agent requesting that it register on Anavex's stock transfer records Weiser's ownership of the 3,316,666 shares of Anavex common stock.

To reiterate our client's position, Weiser has presented an original certificate to the Transfer Agent for registration of transfer, and, pursuant to §104.8405 of Nevada Uniform Commercial Code – Investment Securities (the "Act"), the Transfer Agent must register the transfer. Weiser is a "protected purchaser" in accordance with §104.8303 of the Act because it purchased a certificated security for value, did not have notice of any adverse claim to the security and obtained control of the certificated security.

Please immediately confirm to us in writing that the Transfer Agent is effecting the transfer by Mr. Skarpelos to Weiser of 3,316,666 shares of Anavex common stock. The Transfer Agent's immediate action is critical in order to avoid loss or damage to Weiser.

Sincerely,



Ernesto A. Alvarez

cc: Weiser Asset Management Ltd. (via email) (with enclosure)

No. CN15-02259  
Skarpelos

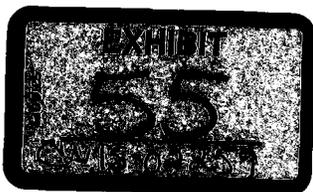
vs.

Weiser et al

Weiser Ex. 55

Admitted: 1/28, 20 19  
JACQUELINE BRYANT, CLERK

By [Signature]  
Deputy



Message

---

**From:** Simonitsch, Bill J [bill.simonitsch@klgates.com]  
**Sent:** 11/17/2015 12:55:28 PM  
**To:** Louis Montello [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=LMontello]  
**CC:** Ernesto Alvarez [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=Ealvarez]  
**Subject:** Transfer of shares of Anavex Life Science

Nice speaking with you today. Per our conversation, you will send me a copy of the fully executed Power of Attorney and a copy of the fully executed July 12, 2013 sales transaction between Skarpelos and Weiser. After I review those documents, I will speak with Anavex regarding your client's position that it is a protected purchaser.

Sincerely,

Bill Simonitsch

**K&L GATES**

William J. Simonitsch  
K&L Gates LLP  
Southeast Financial Center, Suite 3900  
200 S. Biscayne Blvd.  
Miami, Florida 33131  
Phone: 305.539.3336  
Fax: 305.358.7095  
E-mail: [bill.simonitsch@klgates.com](mailto:bill.simonitsch@klgates.com)  
Website: [www.klgates.com](http://www.klgates.com)

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No CNIS-02259

Skarpelos

vs.

Weisen et al

Weisen Ex. 56

Admitted: 1/28, 2019  
JACQUELINE BRYANT, CLERK

By mmw  
Deputy



Message

---

**From:** Simonitsch, Bill J [bill.simonitsch@klgates.com]  
**Sent:** 11/18/2015 12:16:14 PM  
**To:** Ernesto Alvarez [/O=FIRST ORGANIZATION/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=Ealvarez]  
**Subject:** RE: Transfer of Shares of Anavex Life Sciences Corp.

Thank you.

**From:** Ernesto Alvarez [mailto:ealvarez@montellolaw.com]  
**Sent:** Wednesday, November 18, 2015 12:21 PM  
**To:** Simonitsch, Bill J  
**Cc:** Louis Montello  
**Subject:** Transfer of Shares of Anavex Life Sciences Corp.

Mr. Simonitsch:

As per your request, attached please find the following documents:

1. Stock Power.
2. Stock Sale and Purchase Agreement.

Thank you,

Ernesto A. Alvarez



2750 NE 185<sup>th</sup> St., Suite 201

Aventura, FL 33180

T: (305) 682-2000 | F: (305) 682-3669

[ealvarez@montellolaw.com](mailto:ealvarez@montellolaw.com)

[www.montellolaw.com](http://www.montellolaw.com)

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JA1257  
WEISER000217

No. CWIS-02259

Skappelos

vs.

Weiskopf

Weiskopf Ex. 57

Admitted: 4/28, 2019  
JACQUELINE BRYANT, CLERK

By [Signature]  
Deputy

