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KY ADTI Measurements
Nov 2001 - June 2003

		Nov-01	Dec-01	Jan-02	Feb-02	Mar-02	Apr-02	May-02	Jun-02	Jul-02	Aug-02	Sep-02	Oct-02	Nov-02	Dec-02	Jan-03	Feb-03	Mar-03	Apr-03	May-03	Jun-03	Total
Original P13	Tier-1	$ 76,650	$ 26,500	$ 155,500	$ 104,100	$ 244,200	$ 190,650	$ 129,100	$ 222,300	$ 139,800	$ 92,450	$ 82,100	$ 172,700	$ 227,900	$ 401,150	$ 305,950	$ 304,850	$ 322,550	$ 238,900	$ 486,850	$ 234,100	$ 4,158,300
	Tier-2	$ -	$ -	$ 163,000	$ 105,000	$ 147,000	$ 152,500	$ 155,500	$ 149,500	$ 152,000	$ 140,500	$ 107,000	$ 145,000	$ 180,500	$ 289,000	$ 275,500	$ 297,000	$ 244,000	$ 213,000	$ 244,000	$ 225,000	$ 3,385,000
	Total	$ 76,650	$ 26,500	$ 318,500	$ 209,100	$ 391,200	$ 343,150	$ 284,600	$ 371,800	$ 291,800	$ 232,950	$ 189,100	$ 317,700	$ 408,400	$ 305,950	$ 581,450	$ 601,850	$ 566,550	$ 451,900	$ 730,850	$ 459,100	$ 7,543,300
P13-A (SMS)	Tier-1	$ -	$ -	$ -	$ -	$ -	$ -	$ 150	$ 8,250	$ -	$ -	$ -	$ -	$ 1,050	$ 1,350	$ -	$ 150	$ 10,300	$ 150	$ 5,850	$ -	$ 27,250
	Tier-2	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Total	$ -	$ -	$ -	$ -	$ -	$ -	$ 150	$ 8,250	$ -	$ -	$ -	$ -	$ 1,050	$ 1,350	$ -	$ 150	$ 10,300	$ 150	$ 5,850	$ -	$ 27,250
P13-B (Trigger)	Tier-1	$ -	$ -	$ -	$ -	$ -	$ -	$ 1,350	$ -	$ -	$ 150	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 30,900	$ 2,250	$ 34,650
	Tier-2	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
	Total	$ -	$ -	$ -	$ -	$ -	$ -	$ 1,350	$ -	$ -	$ 150	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 30,900	$ 2,250	$ 34,650
P13-C (Non-Trigger)	Tier-1	$ -	$ -	$ 62,700	$ 150	$ 450	$ -	$ -	$ 14,250	$ 7,200	$ -	$ 600	$ -	$ -	$ 198,450	$ -	$ 900	$ 9,550	$ 9,450	$ -	$ -	$ 303,700
	Tier-2	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 22,500	$ -	$ -	$ 22,500
	Total	$ -	$ -	$ 62,700	$ 150	$ 450	$ -	$ -	$ 14,250	$ 7,200	$ -	$ 600	$ -	$ -	$ 198,450	$ -	$ 900	$ 9,550	$ 31,950	$ -	$ -	$ 326,200

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: November

200111

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		9	26	35	1	$ 150	$ 3,600
KY		0	1	1	0	$ -	$ -
KY		0	6	6	1	$ 150	$ 750
KY		1	5	6	1	$ 150	$ 600
KY		363	136	499	1	$ 150	$ 16,650
KY		3	0	3	0	$ -	$ -
KY		0	3	3	0	$ -	$ -
KY		2	99	101	1	$ 150	$ 14,100
KY		65	231	296	1	$ 150	$ 32,400
KY		47	63	110	1	$ 150	$ 8,550
Tier 1 Penalties						**TOTAL:**	**$ 76,650**

200111	-1	490	570	1060	1		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: December

200112

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		0	1	1	0	$ -	$ -
KY		15	29	44	2	$ 250	$ 6,750
KY		284	55	339	2	$ 250	$ 9,500
KY		0	1	1	0	$ -	$ -
KY		3	34	37	2	$ 250	$ 8,000
KY		1	11	12	2	$ 250	$ 2,250
Tier 1 Penalties						**TOTAL:**	**$ 26,500**

200112	-1	303	131	434	2		
Tier 2 Penalties						**TOTAL:**	**$ -**

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Submetric: Original P13 - ADTI-LNP
Period: January

200201

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY		8	28	36	3	$ 500	$ 13,000
KY		0	4	4	0	$ -	$ -
KY		143	41	184	3	$ 500	$ 16,000
KY		0	4	4	0	$ -	$ -
KY		0	1	1	0	$ -	$ -
KY		35	66	101	3	$ 500	$ 30,500
KY		53	205	258	3	$ 500	$ 96,000
Tier 1 Penalties						**TOTAL:**	**$155,500**

200201	-1	239	349	588	3	$ 500	
Tier 2 Penalties						**TOTAL:**	**$163,000**

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Submetric: Original P13 - ADTI-LNP
Period: February

200202

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY		33	27	60	4	$ 600	$ 14,400
KY		68	62	130	4	$ 600	$ 33,000
KY		0	8	8	1	$ 150	$ 900
KY		8	49	57	4	$ 600	$ 27,600
KY		9	50	59	4	$ 600	$ 28,200
Tier 1 Penalties						**TOTAL:**	**$104,100**

200202	-1	118	196	314	4	$ 500	
Tier 2 Penalties						**TOTAL:**	**$105,000**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: March

200203

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY		23	31	54	5	$ 700	$ 19,600
KY		12	1	13	0	$ -	$ -
KY		521	96	617	5	$ 700	$ 45,500
KY		0	5	5	1	$ 150	$ 600
KY		0	58	58	5	$ 700	$ 38,500
KY		12	211	223	5	$ 700	$140,000
Tier 1 Penalties						**TOTAL:**	**$244,200**

200203	-1	568	402	970	5	$ 500	
Tier 2 Penalties						**TOTAL:**	**$147,000**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: April

200204

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY		31	46	77	6	$ 800	$ 33,600
KY		1	124	125	1	$ 150	$ 17,700
KY		15	2	17	0	$ -	$ -
KY		980	207	1187	6	$ 800	$118,400
KY		3	2	5	1	$ 150	$ 150
KY		0	1	1	0	$ -	$ -
KY		13	26	39	6	$ 800	$ 19,200
KY		3	3	6	6	$ 800	$ 1,600
KY		2	2	4	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$190,650**

200204	-1	1048	413	1461	6	$ 500	
Tier 2 Penalties						**TOTAL:**	**$152,500**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: May

200205

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY		39	21	60	7	$ 800	$ 14,400
KY		1		1	0	$ -	$ -
KY		71	20	91	1	$ 150	$ 2,250
KY		1126	157	1283	7	$ 800	$ 74,400
KY		1	4	5	1	$ 150	$ 450
KY		4	7	11	7	$ 800	$ 4,000
KY		43	47	90	7	$ 800	$ 33,600
Tier 1 Penalties						**TOTAL:**	**$129,100**

200205	-1	1285	256	1541	7	$ 500	
Tier 2 Penalties						**TOTAL:**	**$155,500**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: June

200206

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY		1	0	1	0	$ -	$ -
KY		13	19	32	8	$ 800	$ 13,600
KY		51	7	58	2	$ 250	$ 1,000
KY		996	159	1155	8	$ 800	$ 80,800
KY		0	32	32	1	$ 150	$ 4,500
KY		0	4	4	0	$ -	$ -
KY		46	106	152	8	$ 800	$ 78,400
KY		6	58	64	8	$ 800	$ 44,000
Tier 1 Penalties						**TOTAL:**	**$222,300**

200206	-1	1113	385	1498	8	$ 500	
Tier 2 Penalties						**TOTAL:**	**$149,500**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: July

200207

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY		0	1	1	0	$ -	$ -
KY		7	16	23	9	$ 800	$ 10,400
KY		1	5	6	1	$ 150	$ 600
KY		76	10	86	3	$ 500	$ 3,000
KY		699	115	814	9	$ 800	$ 59,200
KY		0	1	1	0	$ -	$ -
KY		0	11	11	2	$ 250	$ 2,250
KY		1	216	217	1	$ 150	$ 30,750
KY		1	0	1	0	$ -	$ -
KY		22	45	67	9	$ 800	$ 33,600
Tier 1 Penalties						**TOTAL:**	**$139,800**

200207	-1	807	420	1227	9	$ 500	
Tier 2 Penalties						**TOTAL:**	**$152,000**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: August

200208

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY			1	1	0	$ -	$ -
KY		1	55	56	10	$ 800	$ 41,600
KY		34	14	48	4	$ 600	$ 7,200
KY		354	59	413	10	$ 800	$ 30,400
KY		8		8	0	$ -	$ -
KY			1	1	0	$ -	$ -
KY		2	4	6	1	$ 150	$ 450
KY		14	18	32	10	$ 800	$ 12,800
Tier 1 Penalties						**TOTAL:**	**$ 92,450**

200208	-1	413	152	565	10	$ 500	
Tier 2 Penalties						**TOTAL:**	**$140,500**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: September

200209

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY			1	1	0	$ -	$ -
KY		7	29	36	11	$ 800	$ 21,600
KY			4	4	0	$ -	$ -
KY		3		3	0	$ -	$ -
KY		576	98	674	11	$ 800	$ 51,200
KY		5	6	11	1	$ 150	$ 600
KY			1	1	0	$ -	$ -
KY		3	8	11	2	$ 250	$ 1,500
KY		16	13	29	11	$ 800	$ 7,200
Tier 1 Penalties						**TOTAL:**	**$ 82,100**

200209	-1	610	160	770	11	$ 500	
Tier 2 Penalties						**TOTAL:**	**$107,000**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: October

200210

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY			1	1	0	$ -	$ -
KY		24	31	55	12	$ 800	$ 22,400
KY			12	12	1	$ 150	$ 1,500
KY		17	3	20	0	$ -	$ -
KY		909	141	1050	12	$ 800	$ 71,200
KY			442	442	1	$ 150	$ 63,000
KY		12	1	13	0	$ -	$ -
KY			1	1	0	$ -	$ -
KY		1	21	22	3	$ 500	$ 9,000
KY		10	10	20	12	$ 800	$ 5,600
Tier 1 Penalties						**TOTAL:**	**$172,700**

200210	-1	973	663	1636	12	$ 500	
Tier 2 Penalties						**TOTAL:**	**$145,000**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: November

200211

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY		1		1	0	$ -	$ -
KY		6	30	36	13	$ 800	$ 22,400
KY		4	15	19	2	$ 250	$ 3,000
KY		3	10	13	1	$ 150	$ 1,200
KY		1020	282	1302	13	$ 800	$173,600
KY		4	6	10	1	$ 150	$ 600
KY		2	3	5	1	$ 150	$ 300
KY		6	6	12	4	$ 600	$ 2,400
KY		20	32	52	13	$ 800	$ 23,200
KY			10	10	1	$ 150	$ 1,200
Tier 1 Penalties						**TOTAL:**	**$227,900**

200211	-1	1066	394	1460	13	$ 500	
Tier 2 Penalties						**TOTAL:**	**$180,500**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: December

200212

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY			5	5	1	$ 150	$ 600
KY		1		1	0	$ -	$ -
KY		10	28	38	14	$ 800	$ 20,800
KY		44	540	584	3	$ 500	$255,500
KY		38	6	44	2	$ 250	$ 1,000
KY		968	182	1150	14	$ 800	$100,000
KY			5	5	2	$ 250	$ 1,000
KY		5		5	0	$ -	$ -
KY		12	8	20	14	$ 800	$ 4,000
KY			77	77	2	$ 250	$ 18,250
KY		23	2	25	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$401,150**

200212	-1	1101	853	1954	14	$ 500	
Tier 2 Penalties						**TOTAL:**	**$289,000**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: January

200301

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY			1	1	0	$ -	$ -
KY		21	12	33	15	$ 800	$ 8,000
KY		11	101	112	4	$ 600	$ 57,000
KY		84	16	100	3	$ 500	$ 5,500
KY		1118	230	1348	15	$ 800	$130,400
KY		9	14	23	1	$ 150	$ 1,650
KY			2	2	0	$ -	$ -
KY		21		21	0	$ -	$ -
KY		62	12	74	15	$ 800	$ 6,400
KY		14	205	219	3	$ 500	$ 97,000
Tier 1 Penalties						**TOTAL:**	**$305,950**

200301	-1	1340	593	1933	15	$ 500	
Tier 2 Penalties						**TOTAL:**	**$275,500**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: February

200302

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY			2	2	0	$ -	$ -
KY		23	9	32	16	$ 800	$ 5,600
KY		2		2	0	$ -	$ -
KY		47	7	54	4	$ 600	$ 2,400
KY		1028	181	1209	16	$ 800	$ 96,800
KY		8	21	29	2	$ 250	$ 4,250
KY			1	1	0	$ -	$ -
KY			1	1	0	$ -	$ -
KY		53	118	171	16	$ 800	$ 87,200
KY		9	191	200	4	$ 600	$108,600
Tier 1 Penalties						**TOTAL:**	**$304,850**

200302	-1	1170	531	1701	16	$ 500	
Tier 2 Penalties						**TOTAL:**	**$297,000**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: March

200303

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY		12	16	28	17	$ 800	$ 10,400
KY			20	20	1	$ 150	$ 2,550
KY		52	13	65	5	$ 700	$ 7,000
KY		934	146	1080	17	$ 800	$ 73,600
KY		13	5	18	3	$ 500	$ 1,000
KY			5	5	1	$ 150	$ 600
KY		2	10	12	1	$ 150	$ 1,200
KY		24	246	270	17	$ 800	$185,600
KY			61	61	5	$ 700	$ 40,600
Tier 1 Penalties						**TOTAL:**	**$322,550**

200303	-1	1037	522	1559	17	$ 500	
Tier 2 Penalties						**TOTAL:**	**$244,000**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: April

200304

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY		2		2	0	$ -	$ -
KY		20	23	43	18	$ 800	$ 16,800
KY		12	8	20	2	$ 250	$ 1,250
KY		56	9	65	6	$ 800	$ 4,800
KY		531	180	711	18	$ 800	$115,200
KY			3	3	0	$ -	$ -
KY		13	41	54	4	$ 600	$ 22,800
KY			1	1	0	$ -	$ -
KY		40	2	42	0	$ -	$ -
KY		141	65	206	18	$ 800	$ 44,000
KY			44	44	6	$ 800	$ 33,600
KY		4	5	9	1	$ 150	$ 450
Tier 1 Penalties						**TOTAL:**	**$238,900**

200304	-1	819	381	1200	18	$ 500	
Tier 2 Penalties						**TOTAL:**	**$213,000**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: May

200305

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY			14	14	1	$ 150	$ 1,800
KY		5	15	20	19	$ 800	$ 9,600
KY		12	16	28	3	$ 500	$ 6,500
KY		40	2	42	0	$ -	$ -
KY		390	84	474	19	$ 800	$ 48,000
KY		28	36	64	5	$ 700	$ 23,100
KY		8	10	18	1	$ 150	$ 1,050
KY		68	410	478	19	$ 800	$308,800
KY		7	116	123	7	$ 800	$ 88,000
Tier 1 Penalties						**TOTAL:**	**$486,850**

200305	-1	558	703	1261	19	$ 500	
Tier 2 Penalties						**TOTAL:**	**$244,000**

Exhibit 4
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Submetric: Original P13 - ADTI-LNP
Period: June

200306

ST_CD	OCN	# Responses <= 15 MIN	# Responses> 15 MIN	Total	FAIL_MTH_CNT	FEE	Remedy
KY			1	1	0	$ -	$ -
KY		26	46	72	2	$ 250	$ 10,500
KY			83	83	20	$ 800	$ 63,200
KY		3	4	7	4	$ 600	$ 1,800
KY		49	10	59	1	$ 150	$ 1,050
KY		192	35	227	20	$ 800	$ 19,200
KY			3	3	0	$ -	$ -
KY		25	75	100	6	$ 800	$ 56,000
KY		7	7	14	1	$ 150	$ 750
KY		9		9	0	$ -	$ -
KY		85	21	106	20	$ 800	$ 12,800
KY		5	91	96	8	$ 800	$ 68,800
KY		1	2	3	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$234,100**

200306	-1	402	378	780	20	$ 500	
Tier 2 Penalties						**TOTAL:**	**$225,000**

Exhibit 4
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Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: November

200111

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		41	0	41	0	$ -	$ -
KY		0	1	1	0	$ -	$ -
KY		5	0	5	0	$ -	$ -
KY		491	0	491	0	$ -	$ -
KY		3	0	3	0	$ -	$ -
KY		103	0	103	0	$ -	$ -
KY		161	1	162	0	$ -	$ -
KY		101	0	101	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200111	-1	905	2	907	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

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Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: December

200112

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		1	0	1	0	$ -	$ -
KY		118	0	118	0	$ -	$ -
KY		89	0	89	0	$ -	$ -
KY		430	1	431	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		98	0	98	0	$ -	$ -
KY		109	0	109	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200112	-1	846	1	847	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: January

200201

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		123	0	123	0	$ -	$ -
KY		7	1	8	0	$ -	$ -
KY		225	0	225	0	$ -	$ -
KY		4	0	4	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		610	0	610	0	$ -	$ -
KY		84	0	84	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200201	-1	1054	1	1055	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: February

200202

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		79	0	79	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		123	0	123	0	$ -	$ -
KY		11	0	11	0	$ -	$ -
KY		91	0	91	0	$ -	$ -
KY		109	0	109	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200202	-1	414	0	414	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: March

200203

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		53	0	53	0	$ -	$ -
KY		13	0	13	0	$ -	$ -
KY		666	0	666	0	$ -	$ -
KY		5	0	5	0	$ -	$ -
KY		81	0	81	0	$ -	$ -
KY		50	0	50	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200203	-1	868	0	868	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: April

200204

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		70	0	70	0	$ -	$ -
KY		127	0	127	0	$ -	$ -
KY		18	0	18	0	$ -	$ -
KY		1269	1	1270	0	$ -	$ -
KY		3	0	3	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		38	0	38	0	$ -	$ -
KY		24	0	24	0	$ -	$ -
KY		4	0	4	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200204	-1	1554	1	1555	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: May

200205

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		55	0	55	0	$ -	$ -
KY		2	0	2	0	$ -	$ -
KY		56	1	57	0	$ -	$ -
KY		1143	0	1143	0	$ -	$ -
KY		4	0	4	0	$ -	$ -
KY		5	0	5	0	$ -	$ -
KY		13	0	13	0	$ -	$ -
KY		51	11	62	1	$ 150	$ 1,350
Tier 1 Penalties						**TOTAL:**	**$ 1,350**

200205	-1	1329	12	1341	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: June

200206

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		16	0	16	0	$ -	$ -
KY		61	0	61	0	$ -	$ -
KY		1197	5	1202	0	$ -	$ -
KY		3	0	3	0	$ -	$ -
KY		28	0	28	0	$ -	$ -
KY		37	0	37	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200206	-1	1342	5	1347	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: July

200207

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		1	0	1	0	$ -	$ -
KY		70	0	70	0	$ -	$ -
KY		26	0	26	0	$ -	$ -
KY		87	0	87	0	$ -	$ -
KY		836	2	838	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		11	0	11	0	$ -	$ -
KY		3	0	3	0	$ -	$ -
KY		6	0	6	0	$ -	$ -
KY		75	0	75	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200207	-1	1116	2	1118	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: August

200208

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		1	0	1	0	$ -	$ -
KY		83	0	83	0	$ -	$ -
KY		50	0	50	0	$ -	$ -
KY		455	0	455	0	$ -	$ -
KY		8	0	8	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		6	0	6	0	$ -	$ -
KY		33	2	35	1	$ 150	$ 150
Tier 1 Penalties						**TOTAL:**	**$ 150**

200208	-1	637	2	639	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: September

200209

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		1	0	1	0	$ -	$ -
KY		25	0	25	0	$ -	$ -
KY		7	0	7	0	$ -	$ -
KY		2	0	2	0	$ -	$ -
KY		715	0	715	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		5	0	5	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		23	0	23	0	$ -	$ -
KY		22	0	22	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200209	-1	802	0	802	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: October

200210

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		1	0	1	0	$ -	$ -
KY		60	0	60	0	$ -	$ -
KY		12	0	12	0	$ -	$ -
KY		21	0	21	0	$ -	$ -
KY		1190	0	1190	0	$ -	$ -
KY		27	0	27	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		25	0	25	0	$ -	$ -
KY		6	0	6	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200210	-1	1343	0	1343	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: November

200211

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		1	0	1	0	$0	$0
KY		1	0	1	0	$0	$0
KY		33	0	33	0	$0	$0
KY		15	0	15	0	$0	$0
KY		14	0	14	0	$0	$0
KY		1393	2	1395	0	$0	$0
KY		10	0	10	0	$0	$0
KY		6	0	6	0	$0	$0
KY		49	1	50	0	$0	$0
KY		48	0	48	0	$0	$0
KY		21	0	21	0	$0	$0
Tier 1 Penalties						**TOTAL:**	**$0**

200211	-1	1591	3	1594	0		
Tier 2 Penalties						**TOTAL:**	**$0**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: December

200212

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		5	0	5	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		34	0	34	0	$ -	$ -
KY		38	0	38	0	$ -	$ -
KY		46	0	46	0	$ -	$ -
KY		1208	0	1208	0	$ -	$ -
KY		5	0	5	0	$ -	$ -
KY		5	0	5	0	$ -	$ -
KY		22	0	22	0	$ -	$ -
KY		84	0	84	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200212	-1	1448	0	1448	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: January

200301

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		1	0	1	0	$ -	$ -
KY		22	0	22	0	$ -	$ -
KY		29	0	29	0	$ -	$ -
KY		98	0	98	0	$ -	$ -
KY		1439	2	1441	0	$ -	$ -
KY		21	0	21	0	$ -	$ -
KY		2	0	2	0	$ -	$ -
KY		20	0	20	0	$ -	$ -
KY		59	0	59	0	$ -	$ -
KY		84	0	84	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200301	-1	1775	2	1777	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: February

200302

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		2	0	2	0	$ -	$ -
KY		40	0	40	0	$ -	$ -
KY		54	0	54	0	$ -	$ -
KY		1206	4	1210	0	$ -	$ -
KY		38	0	38	0	$ -	$ -
KY		2	0	2	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		130	0	130	0	$ -	$ -
KY		86	0	86	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200302	-1	1559	4	1563	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: March

200303

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		28	0	28	0	$ -	$ -
KY		72	0	72	0	$ -	$ -
KY		1172	5	1177	0	$ -	$ -
KY		26	0	26	0	$ -	$ -
KY		2	1	3	0	$ -	$ -
KY		12	0	12	0	$ -	$ -
KY		45	0	45	0	$ -	$ -
KY		65	0	65	0	$ -	$ -
KY		6	0	6	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200303	-1	1428	6	1434	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: April

200304

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		28	0	28	0	$ -	$ -
KY		26	0	26	0	$ -	$ -
KY		31	0	31	0	$ -	$ -
KY		324	2	326	0	$ -	$ -
KY		2	0	2	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		29	0	29	0	$ -	$ -
KY		15	0	15	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ -**

200304	-1	456	2	458	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: May

200305

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		14		14	0	$ -	$ -
KY		13	6	19	1	$ 150	$ 600
KY		15	13	28	1	$ 150	$ 1,500
KY		40	2	42	1	$ 150	$ 150
KY		532	18	550	0	$ -	$ -
KY		80	26	106	1	$ 150	$ 3,300
KY		18		18	0	$ -	$ -
KY		39	177	216	1	$ 150	$ 25,350
KY		141		141	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ 30,900**

200305	-1	892	242	1134	1		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13-B - % LNP Trigger Applied Prior to DD
Period: June

200306

ST_CD	OCN	Triggered Orders (MADE)	Orders that did not meet Trigger (MISSED)	Total Triggered Orders (TOTAL)	FAIL_MTH_CNT	FEE	Remedy
KY		1		1	0	$ -	$ -
KY		74		74	0	$ -	$ -
KY		7		7	0	$ -	$ -
KY		61		61	0	$ -	$ -
KY		210	1	211	0	$ -	$ -
KY		3		3	0	$ -	$ -
KY		37		37	0	$ -	$ -
KY		13	2	15	0	$ -	$ -
KY		9		9	0	$ -	$ -
KY		47	11	58	2	$ 250	$ 2,250
KY		67		67	0	$ -	$ -
KY		3		3	0	$ -	$ -
Tier 1 Penalties						**TOTAL:**	**$ 2,250**

200306	-1	532	14	546	0		
Tier 2 Penalties						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13C - SMS - ADTI-LNP
Period: November

200111

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_CNT	FEE	Remedy
KY		35	0	35	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		10	0	10	0	$ -	$ -
KY		6	0	6	0	$ -	$ -
KY		501	0	501	0	$ -	$ -
KY		3	0	3	0	$ -	$ -
KY		3	0	3	0	$ -	$ -
KY		110	0	110	0	$ -	$ -
KY		342	0	342	0	$ -	$ -
KY		142	0	142	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200111	-1	1153	0	1153	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13C - SMS - ADTI-LNP
Period: December

200112

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_CNT	FEE	Remedy
KY		1	0	1	0	$ -	$ -
KY		271	0	271	0	$ -	$ -
KY		89	0	89	0	$ -	$ -
KY		450	0	450	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		113	0	113	0	$ -	$ -
KY		120	0	120	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200112	-1	1045	0	1045	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13C - SMS - ADTI-LNP
Period: January

200201

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_ CNT	FEE	Remedy
KY		116	0	116	0	$ -	$ -
KY		108	0	108	0	$ -	$ -
KY		247	0	247	0	$ -	$ -
KY		4	0	4	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		567	0	567	0	$ -	$ -
KY		895	0	895	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200201	-1	1938	0	1938	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13C - SMS - ADTI-LNP
Period: February

200202

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_CNT	FEE	Remedy
KY		69		69	0	$ -	$ -
KY		132		132	0	$ -	$ -
KY		11		11	0	$ -	$ -
KY		68		68	0	$ -	$ -
KY		61		61	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200202	-1	341	0	341	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13C - SMS - ADTI-LNP
Period: March

200203

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH _CNT	FEE	Remedy
KY		56		56	0	$ -	$ -
KY		13		13	0	$ -	$ -
KY		665		665	0	$ -	$ -
KY		7		7	0	$ -	$ -
KY		172		172	0	$ -	$ -
KY		224		224	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200203	-1	1137	0	1137	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13C - SMS - ADTI-LNP
Period: April

200204

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_CNT	FEE	Remedy
KY		53		53	0	$ -	$ -
KY		126		126	0	$ -	$ -
KY		19		19	0	$ -	$ -
KY		955		955	0	$ -	$ -
KY		5		5	0	$ -	$ -
KY		1		1	0	$ -	$ -
KY		29		29	0	$ -	$ -
KY		403		403	0	$ -	$ -
KY		4		4	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200204	-1	1595	0	1595	0		
Tier 2 Penalties:						$ -	**$ -**

Exhibit 4
EDITED

Submetric: P13C - SMS - ADTI-LNP
Period: May

200205

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_CNT	FEE	Remedy
KY		59	3	62	1	$ 150	$ 150
KY		2		2	0	$ -	$ -
KY		96		96	0	$ -	$ -
KY		1291	1	1292	0	$ -	$ -
KY		5		5	0	$ -	$ -
KY		11		11	0	$ -	$ -
KY		92		92	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ 150**

200205	-1	1556	4	1560	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13C - SMS - ADTI-LNP
Period: June

200206

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_CNT	FEE	Remedy
KY		1		1	0	$ -	$ -
KY		33		33	0	$ -	$ -
KY		61		61	0	$ -	$ -
KY		1165		1165	0	$ -	$ -
KY		35		35	0	$ -	$ -
KY		82		82	0	$ -	$ -
KY		92	60	152	1	$ 150	$ 8,250
KY		186		186	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ 8,250**

200206	-1	1655	60	1715	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13C - SMS - ADTI-LNP
Period: July

200207

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_CNT	FEE	Remedy
KY		1		1	0	$ -	$ -
KY		112	2	114	0	$ -	$ -
KY		66		66	0	$ -	$ -
KY		90		90	0	$ -	$ -
KY		818		818	0	$ -	$ -
KY		1		1	0	$ -	$ -
KY		11		11	0	$ -	$ -
KY		218		218	0	$ -	$ -
KY		1		1	0	$ -	$ -
KY		70		70	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200207	-1	1388	2	1390	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13C - SMS - ADTI-LNP
Period: August

200208

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH _CNT	FEE	Remedy
KY		1		1	0	$ -	$ -
KY		84	1	85	0	$ -	$ -
KY		50		50	0	$ -	$ -
KY		445	1	446	0	$ -	$ -
KY		8		8	0	$ -	$ -
KY		1		1	0	$ -	$ -
KY		6		6	0	$ -	$ -
KY		41		41	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200208	-1	636	2	638	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13C - SMS - ADTI-LNP
Period: September

200209

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_CNT	FEE	Remedy
KY		1		1	0	$ -	$ -
KY		37		37	0	$ -	$ -
KY		4		4	0	$ -	$ -
KY		3		3	0	$ -	$ -
KY		669	8	677	0	$ -	$ -
KY		11		11	0	$ -	$ -
KY		1		1	0	$ -	$ -
KY		11		11	0	$ -	$ -
KY		29		29	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200209	-1	766	8	774	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13C - SMS - ADTI-LNP
Period: October

200210

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_ CNT	FEE	Remedy
KY		30		30	0	$ -	$ -
KY		12		12	0	$ -	$ -
KY		16		16	0	$ -	$ -
KY		916		916	0	$ -	$ -
KY		442		442	0	$ -	$ -
KY		13		13	0	$ -	$ -
KY		1		1	0	$ -	$ -
KY		22		22	0	$ -	$ -
KY		18		18	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200210	-1	1470	0	1470	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13C - SMS - ADTI-LNP
Period: November

200211

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_CNT	FEE	Remedy
KY		1		1	0	$ -	$ -
KY		1		1	0	$ -	$ -
KY		35		35	0	$ -	$ -
KY		19		19	0	$ -	$ -
KY		63	10	73	1	$ 150	$ 1,050
KY		1207		1207	0	$ -	$ -
KY		10		10	0	$ -	$ -
KY		146		146	0	$ -	$ -
KY		50		50	0	$ -	$ -
KY		53		53	0	$ -	$ -
KY		10		10	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ 1,050**

200211	-1	1595	10	1605	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13C - SMS - ADTI-LNP
Period: December

200212

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_ CNT	FEE	Remedy
KY		5		5	0	$ -	$ -
KY		1		1	0	$ -	$ -
KY		62		62	0	$ -	$ -
KY		24	2	26	0	$ -	$ -
KY		46		46	0	$ -	$ -
KY		1154		1154	0	$ -	$ -
KY		5		5	0	$ -	$ -
KY		5		5	0	$ -	$ -
KY		20		20	0	$ -	$ -
KY		77		77	0	$ -	$ -
KY		33	11	44	1	$ 150	$ 1,350
Tier 1 Penalties:						**TOTAL:**	**$ 1,350**

200212	-1	1432	13	1445	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13C - SMS - ADTI-LNP
Period: January

200301

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_ CNT	FEE	Remedy
KY		1		1	0	$ -	$ -
KY		33		33	0	$ -	$ -
KY		129		129	0	$ -	$ -
KY		102		102	0	$ -	$ -
KY		1366		1366	0	$ -	$ -
KY		23		23	0	$ -	$ -
KY		2		2	0	$ -	$ -
KY		21		21	0	$ -	$ -
KY		82		82	0	$ -	$ -
KY		214	6	220	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200301	-1	1973	6	1979	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13C - SMS - ADTI-LNP
Period: February

200302

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_CNT	FEE	Remedy
KY		2		2	0	$ -	$ -
KY		32		32	0	$ -	$ -
KY		2		2	0	$ -	$ -
KY		58		58	0	$ -	$ -
KY		1227		1227	0	$ -	$ -
KY		35		35	0	$ -	$ -
KY		2		2	0	$ -	$ -
KY		1		1	0	$ -	$ -
KY		204	8	212	1	$ 150	$ 150
KY		201	7	208	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ 150**

200302	-1	1764	15	1779	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13C - SMS - ADTI-LNP
Period: March

200303

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_ CNT	FEE	Remedy
KY		37		37	0	$ -	$ -
KY		20		20	0	$ -	$ -
KY		77	1	78	0	$ -	$ -
KY		1123		1123	0	$ -	$ -
KY		23	3	26	1	$ 150	$ 150
KY		64		64	0	$ -	$ -
KY		12		12	0	$ -	$ -
KY		243	50	293	2	$ 250	$ 10,000
KY		54	2	56	1	$ 150	$ 150
KY		2		2	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ 10,300**

200303	-1	1655	56	1711	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13C - SMS - ADTI-LNP
Period: April

200304

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_CNT	FEE	Remedy
KY		2		2	0	$ -	$ -
KY		42		42	0	$ -	$ -
KY		21		21	0	$ -	$ -
KY		55		55	0	$ -	$ -
KY		553		553	0	$ -	$ -
KY		1		1	0	$ -	$ -
KY		52		52	0	$ -	$ -
KY		8	2	10	1	$ 150	$ 150
KY		42		42	0	$ -	$ -
KY		172		172	0	$ -	$ -
KY		31		31	0	$ -	$ -
KY		9		9	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ 150**

200304	-1	988	2	990	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13C - SMS - ADTI-LNP
Period: May

200305

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_CNT	FEE	Remedy
KY		14		14	0	$ -	$ -
KY		30		30	0	$ -	$ -
KY		28		28	0	$ -	$ -
KY		42		42	0	$ -	$ -
KY		482		482	0	$ -	$ -
KY		103	2	105	0	$ -	$ -
KY		18		18	0	$ -	$ -
KY		532	60	592	1	$ 150	$ 5,850
KY		123	3	126	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ 5,850**

200305	-1	1372	65	1437	1		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13C - SMS - ADTI-LNP
Period: June

200306

ST_CD	OCN	#responses < 60	total #responses >= 60	total #responses	FAIL_MTH_CNT	FEE	Remedy
KY		1		1	0	$ -	$ -
KY		85		85	0	$ -	$ -
KY		83		83	0	$ -	$ -
KY		7		7	0	$ -	$ -
KY		61		61	0	$ -	$ -
KY		228		228	0	$ -	$ -
KY		3		3	0	$ -	$ -
KY		108		108	0	$ -	$ -
KY		15		15	0	$ -	$ -
KY		11		11	0	$ -	$ -
KY		110		110	0	$ -	$ -
KY		96		96	0	$ -	$ -
KY		3		3	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200306	-1	811	0	811	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: November

200111

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		8	2	10	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
KY		1	0	1	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200111	-1	10	2	12	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: December

200112

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		162		162	0	$ -	$ -
KY		11	1	12	0	$ -	$ -
KY		1		1	0	$ -	$ -
KY		2		2	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200112	-1	16	161	177	1		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: January

200201

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		1		1	0	$ -	$ -
KY		19	2	21	0	$ -	$ -
KY			440	440	1	$ 150	$ 62,700
Tier 1 Penalties:						**TOTAL:**	**$ 62,700**

200201	-1	19	443	462	2		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: February

200202

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		4		4	0	$ -	$ -
KY		4	2	6	1	$ 150	$ 150
KY		1		1	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ 150**

200202	-1	9	2	11	0	$ -	
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: March

200203

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		1	4	5	1	$ 150	$ 450
KY		100	2	102	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ 450**

200203	-1	101	6	107	1	$ -	
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: April

200204

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		2	1	3	0	$ -	$ -
KY		2		2	0	$ -	$ -
KY		2		2	0	$ -	$ -
KY		202		202	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200204	-1	208	1	209	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: May

200205

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		3		3	0	$ -	$ -
KY		1		1	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200205	-1	4	0	4	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: June

200206

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		1		1	0	$ -	$ -
KY			100	100	1	$ 150	$ 14,250
Tier 1 Penalties:						**TOTAL:**	**$ 14,250**

200206	-1	1	100	101	1		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: July

200207

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		8	40	48	1	$ 150	$ 5,700
KY		4	1	5	0	$ -	$ -
KY			12	12	1	$ 150	$ 1,500
KY		8		8	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ 7,200**

200207	-1	20	53	73	2		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: August

200208

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		1		1	0	$ -	$ -
KY		1		1	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200208	-1	2	0	2	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: September

200209

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		1		1	0	$ -	$ -
KY		5		5	0	$ -	$ -
KY			5	5	1	$ 150	$ 600
KY		6		6	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ 600**

200209	-1	12	5	17	1		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: October

200210

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		5		5	0	$ -	$ -
KY		5		5	0	$ -	$ -
KY		5		5	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200210	-1	15	0	15	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: November

200211

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		60		60	0	$ -	$ -
KY		13	2	15	0	$ -	$ -
KY		3	1	4	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200211	-1	76	3	79	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: December

200212

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		2	0	2	0	$0	$0
KY		3960	1600	5560	1	$150	$198,300
KY		5	2	7	1	$150	$150
KY		2	0	2	0	$0	$0
KY		0	1	1	0	$0	$0
Tier 1 Penalties:						**TOTAL:**	**$198,450**

200212	-1	3969	1603	5572	1	$0	$0
Tier 2 Penalties:						**TOTAL:**	**$0**

Exhibit 4
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Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: January

200301

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		4		4	0	$ -	$ -
KY		12		12	0	$ -	$ -
KY		2		2	0	$ -	$ -
KY		7		7	0	$ -	$ -
KY		5		5	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200301	-1	30	0	30	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
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Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: February

200302

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		1		1	0	$ -	$ -
KY		2		2	0	$ -	$ -
KY		8	1	9	0	$ -	$ -
KY			1	1	0	$ -	$ -
KY			1	1	0	$ -	$ -
KY		28	8	36	1	$ 150	$ 900
Tier 1 Penalties:						**TOTAL:**	**$ 900**

200302	-1	39	11	50	1		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: March

200303

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		4		4	0	$ -	$ -
KY		9	1	10	0	$ -	$ -
KY			60	60	1	$ 150	$ 8,550
KY		1		1	0	$ -	$ -
KY			5	5	2	$ 250	$ 1,000
Tier 1 Penalties:						**TOTAL:**	**$ 9,550**

200303	-1	14	66	80	2		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: April

200304

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		1		1	0	$ -	$ -
KY		2	3	5	1	$ 150	$ 300
KY		8	65	73	1	$ 150	$ 9,150
KY		87	4	91	0	$ -	$ -
KY		19		19	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ 9,450**

200304	-1	117	72	189	3		
Tier 2 Penalties:						**TOTAL:**	**$ 22,500**

Exhibit 4
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Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: May

200305

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		6		6	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200305	-1	6	0	6	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**

Exhibit 4
EDITED

Submetric: P13D - ADTI-LNP (Non-Trigger)
Period: June

200306

ST_CD	OCN	#Responses <= 12 hours	Total #Responses > 12 hours	Total #Responses	FAIL_MTH_CNT	FEE	REMEDY
KY		3		3	0	$ -	$ -
KY		2		2	0	$ -	$ -
Tier 1 Penalties:						**TOTAL:**	**$ -**

200306	-1	5	0	5	0		
Tier 2 Penalties:						**TOTAL:**	**$ -**