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# The SEC Speaks in 2022

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12

Press Release, SEC Announces  
Enforcement Results for FY 2021  
(November 18, 2021)



## Press Release

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# SEC Announces Enforcement Results for FY 2021

## Agency Brought Significant Actions in Traditional and Emerging Areas; Whistleblower Program Surpassed \$1 Billion in Awards

### FOR IMMEDIATE RELEASE

2021-238

*Washington D.C., Nov. 18, 2021* — The Securities and Exchange Commission today announced that it filed 434 new enforcement actions in fiscal year 2021, representing a 7 percent increase over the prior year. Seventy percent of these new or "stand-alone" actions involved at least one individual defendant or respondent. The new actions spanned the entire securities waterfront, including against emerging threats in the crypto and SPAC spaces. For example, the SEC charged a company for operating an unregistered online digital asset exchange, charged a crypto lending platform and top executives alleging a \$2 billion fraud, and brought an action against a special purpose acquisition company, its merger target, top executives, and others for alleged misconduct in a SPAC transaction. The SEC's whistleblower program was critical to these efforts and had a record-breaking year.

The agency filed 697 total enforcement actions in fiscal year 2021, including the 434 new actions, 120 actions against issuers who were delinquent in making required filings with the SEC, and 143 "follow-on" administrative proceedings seeking bars against individuals based on criminal convictions, civil injunctions, or other orders. This represented a 3 percent decrease over the total actions filed in fiscal year 2020.

"The SEC's Enforcement Division is the cop on the beat for America's securities laws," said Chair Gary Gensler.

"As these results show, we go after misconduct wherever we find it in the financial system, holding individuals and companies accountable, without fear or favor, across the \$100-plus trillion capital markets we oversee."

"This year has seen a number of critically important and first-of-their-kind enforcement actions, as well as record-breaking achievements for our whistleblower program, which we expect will lead to even more successful actions in the future," said Gurbir S. Grewal, Director of the SEC's Division of Enforcement. "Undeterred by the challenges of the pandemic, the dedicated public servants in the Enforcement Division have continued to overcome obstacles to bring these cases that protect investors and promote market integrity."

In fiscal year 2021, which ended on Sept. 30, the SEC also obtained judgments and orders for nearly \$2.4 billion in disgorgement and more than \$1.4 billion in penalties, which represented a respective 33 percent decrease and 33 percent increase over amounts ordered in the prior fiscal year in these categories.

Fiscal year 2021 also was a record year for whistleblower awards, with the SEC awarding a total of \$564 million to 108 whistleblowers. The whistleblower program also surpassed \$1 billion in awards over the life of the program.

### Overview of SEC Enforcement in Fiscal Year 2021

In fiscal year 2021, the SEC filed noteworthy enforcement actions across new areas, including a number of first-of-their-kind actions:

- Involving securities using decentralized finance, or "DeFi," technology;
- Charging securities law violations on the "dark web";
- Enforcing a key rule on the duties of municipal advisors;
- Involving Regulation Crowdfunding;
- Charging an alternative data provider with securities fraud;
- Involving failures to timely file and deliver Forms CRS; and
- Against an order and execution management system provider that facilitated electronic trading for failing to register as a broker-dealer.

In addition, the SEC filed impactful enforcement actions that spanned the securities markets, including the following matters:

- A case charging General Electric with violating the antifraud, reporting, disclosure controls, and accounting controls provisions of the securities laws;
- Actions charging Kraft-Heinz and two former executives with a years-long expense management scheme;
- A case against TIAA-CREF's subsidiary for alleged violations in retirement rollover recommendations;
- An action against China-based Luckin Coffee for allegedly defrauding investors about its financial condition;
- A case charging Robinhood Financial with misleading customers about its compensation for routing customer orders;
- An action charging three media companies with illegal offerings of stock and digital assets;
- A litigated case charging AT&T and three investor relations executives with selectively providing information to Wall Street analysts;
- An auditor misconduct case against Ernst & Young and three partners;
- Insider trading cases against a global IT manager at a pharmaceutical company and an investment bank compliance analyst; and
- Cases charging entities for deficient cybersecurity procedures, cybersecurity disclosure controls failures, and misleading investors about a serious cyber breach.

Other examples of enforcement actions in key priority areas include:

#### ***Holding Individuals Accountable***

- Charged corporate executives and other players, including the former CEO and Chairman of Wells Fargo and the former head of Wells Fargo's Community Bank; the founder and former CEO of alternative fuel truck manufacturing company Nikola; the former CEO and CFO of WageWorks; and the former CEO and CFO of FTE Networks.
- Obtained bars from serving as public company officers or directors against numerous individuals, including: the CEO of Loci Inc. who was charged with misleading investors about the company's digital asset securities business; the CEO of a human resources company charged with falsifying the company's financial condition; an attorney and former president of a natural resources company charged with manipulative trading; and CEOs and other executives of various microcap companies.

#### ***Ensuring Gatekeepers Live Up to Their Obligations***

- Suspended two former KPMG auditors for alleged improper professional conduct during the audit of the not-for-profit College of New Rochelle.
- Charged a CPA with failing to register his firm with the Public Company Accounting Oversight Board (PCAOB) and failures in auditing and reviewing the financial statements of a public company client.

- Charged an audit firm partner for allegedly engaging in improper professional conduct during audits of a public company client.
- Charged two attorneys – one of whom was previously disbarred – for their roles in an alleged scheme to fraudulently facilitate the sale of millions of shares of microcap securities to retail investors.
- Barred a securities lawyer from practicing or appearing before the SEC.

#### ***Rooting Out Misconduct in Crypto***

- Charged entities and individuals with unregistered and/or fraudulent offerings of digital asset securities, including: fraud and unregistered offering charges against three individuals who founded and promoted digital asset companies; charges against an issuer and its founders for allegedly defrauding more than a thousand investors in an unregistered offering of digital asset securities; and charges against Ripple Labs and two of its executives alleging a \$1.3 billion unregistered offering.
- Took action against other misconduct in the crypto market, including charging the operator of ICO listing website Coinschedule.com with unlawfully touting digital asset securities.

#### ***Policing Financial Fraud and Issuer Disclosure***

- Brought a number of important actions against companies and executives, including: Under Armour; Sequential Brands Group; and SAExploration Holdings and four former executives.
- Rewarded cooperation and remediation by companies, including Gulfport Energy.
- Continued to use data analytics and other tools to uncover potential violations of the law, leading to charges against Healthcare Services Group in the Division's ongoing Earnings Per Share Initiative and charges against eight companies in an initiative focused on companies' notices of late filings of their quarterly or annual reports.
- Charged The Cheesecake Factory Incorporated with improper disclosures about the impact of the COVID-19 pandemic on its operations and financial condition.

#### ***Charging Improper Conduct by Investment Professionals***

- Brought an action against UK-based investment adviser BlueCrest Capital Management for inadequate disclosures and other misstatements and omissions concerning its transfer of top traders to another fund, which will result in \$170 million being returned to harmed investors.
- Charged investment advisers and their portfolio managers with misleading investors and others about their risk management practices over funds that lost more than \$1 billion in two trading days.
- Charged a fund manager with fraudulently raising and misappropriating tens of millions of dollars in a private fund.
- Charged an unregistered investment adviser for allegedly defrauding a Puerto Rican municipality and misappropriating more than \$7 million of taxpayer funds.
- Charged a rogue trader with causing millions of dollars of losses through unauthorized trading and bankrupting his broker-dealer firm.
- Charged a robo-adviser with breaching its fiduciary duties in connection with its investment of client assets into exchange-traded funds sponsored by its parent company.
- Charged an investment adviser for breaching its fiduciary duties in connection with its receipt of revenue sharing payments.

#### ***Protecting Market Integrity***

- Charged S&P Dow Jones Indices for failures relating to a quality control feature of one of its volatility-related indices, which led S&P to publish and distribute stale index values during a period of unprecedented volatility.

- Charged former credit ratings agency Morningstar Credit Ratings with alleged disclosure and internal control violations in rating commercial mortgage-backed securities.
- Brought charges against UBS and other investment advisers and broker-dealers as part of the Division of Enforcement's Exchange-Traded Products Initiative, which utilizes trading data analytics to uncover potential violations of the securities laws.
- Charged a company, its principal, and its trader with causing broker-dealers to violate Reg SHO by mismarking trades and related issues.
- Charged a global securities pricing service with compliance deficiencies related to so-called single broker quotes.
- Charged a broker-dealer for failures related to filing Suspicious Activity Reports.

#### ***Cracking Down on Insider Trading and Market Manipulation***

- Brought insider trading charges against numerous individuals, including:
  - A former biopharmaceutical company employee charged with insider trading in advance of his company's announcement that it would be acquired by pharmaceutical giant Pfizer Inc.
  - An insider trading ring that allegedly generated more than \$3 million in profits by trading on confidential information about Netflix's subscriber growth.
  - A Silicon Valley insider trading ring charged with trading on confidential earnings information of two technology companies.
- Charged two individuals for alleged wash trading in the options of certain "meme stocks" in early 2021.
- Charged a quantitative analyst and a hedge fund trader for allegedly perpetrating front-running schemes, which were uncovered by the SEC's data analytics tools.
- Charged numerous individuals, including the chairman of a public company, for their roles in alleged long-running fraudulent schemes that generated hundreds of millions of dollars from unlawful stock sales and harmed retail investors in the U.S. and around the world.

#### ***Enforcing the Foreign Corrupt Practices Act***

- Charged Goldman Sachs in connection with the 1Malaysia Development Berhad (1MDB) bribery scheme, resulting in the company paying more than \$1 billion to settle the SEC's charges.
- Charged Deutsche Bank for internal control failures relating to its payments to third-party intermediaries that resulted in approximately \$7 million in bribe payments or payments for unknown services.
- Charged WPP, the world's largest advertising group, with violating the anti-bribery, books and records, and internal accounting controls provisions of the FCPA, resulting in a more than \$19 million settlement.
- Charged Brazilian meat producers with an extensive, multi-year bribery scheme, resulting in a nearly \$27 million settlement to resolve the SEC's charges.

#### ***Guarding Against Public Finance Abuse***

- Charged RBC Capital Markets and two individuals – the former head of municipal sales, trading, and syndication, and the former head of RBC's municipal syndicate desk – with unfair dealing in municipal bond offerings.
- Charged a broker dealer and its former CEO with unfair dealing in connection with the tender offer of municipal bonds.
- Charged a school district and its former chief financial officer with misleading investors who purchased \$28 million in municipal bonds.

#### ***Pursuing Wrongdoing in Securities Offerings***

- Charged an Israeli company and its former top executives with deceiving U.S. investors out of more than \$100 million through fraudulent and unregistered sales of risky “binary option” securities.
- Charged two former executives of a subprime automobile finance company with misleading investors about the loans that backed their \$100 million offering.
- Charged a company and two managing members with participating in a fraudulent, unregistered offering of securities in a purported “green” mining venture.
- Charged a top executive at two companies for allegedly defrauding investors by “scalping” (secretly selling stock while paying promoters to recommend retail investors buy the stock), misappropriating funds, and falsely promoting apps that he claimed would facilitate cryptocurrency transactions and help combat the coronavirus.
- Charged the co-founders of a San Francisco-based medical testing company for allegedly defrauding investors out of \$60 million by falsely portraying the company as a successful start-up with a proven business model and strong prospects for future growth, and the former CEO of another Silicon Valley technology company for allegedly defrauding investors out of \$80 million by falsely claiming strong and consistent growth.
- Brought actions against wrongdoers targeting affinity groups, including:
  - Charging a jewelry wholesaler with raising more than \$69 million and operating a fraudulent Ponzi-like scheme targeting current and retired police officers and firefighters;
  - Charging a company and its CEO for an alleged \$119 million securities fraud targeting members of the South Asian American community;
  - Charging a New Jersey resident with defrauding investors, most of whom were members of the Orthodox Jewish community; and
  - Charging a Florida payday loan company and its CEO with fraudulently raising at least \$66 million from retain investors including members of the Venezuelan-American community.

#### ***Swiftly Acting to Protect Investors***

- Obtained an asset freeze and other emergency relief in an enforcement action against a Los Angeles-based actor and his company in connection with an alleged \$690 million Ponzi scheme.
- Obtained emergency relief in an action charging a New York-based real estate developer with fraudulently raising more than \$229 million through EB-5 securities offerings.
- Filed an emergency action, and obtained a temporary restraining order and asset freeze against several defendants, in a case alleging a \$110 million Ponzi scheme.
- Suspended trading in the securities of more than two dozen companies because of questions about increased trading activity and volatility connected to the winter’s “memestock” trading.
- Took emergency action in numerous other cases, including:
  - to freeze assets in an alleged fraudulent scheme relating to a cryptocurrency trading fund;
  - to stop an alleged ongoing fraudulent offering by an investment adviser;
  - to freeze assets of an offshore fund and two related individuals;
  - to freeze assets of an investment professional and two investment firms engaged in an alleged “cherry-picking” scheme; and
  - to freeze assets of a trader who allegedly used social media to spread information about a defunct company while secretly profiting by selling his own holdings of the company’s stock.

#### ***Achieving Success in Litigation***



- Investment adviser World Tree Financial and co-owners Wesley Kyle Perkins and Priscilla Perkins were found liable for a fraudulent cherry-picking scheme and related misrepresentations.
- Investment adviser Richard Duncan was found liable for violating the anti-fraud provisions of the Investment Advisers Act for soliciting his clients' investments in an advance-fee scam.
- Final judgments were entered against investment adviser Westport Capital Markets and its owner, Chris McClure, ordering disgorgement and related interest of more than \$820,000, and civil penalties of \$500,000 against Westport and \$200,000 against McClure. The final judgments follow a March 2020 jury verdict, as well as a prior grant of partial summary judgment, both in the SEC's favor.

#### ***Rewarding and Protecting Whistleblowers***

- Gave the highest awards in the program's history, including a \$114 million award to a whistleblower whose information and assistance led to the successful enforcement of an SEC action and related actions by another agency; and a \$110 million award to another whistleblower who provided significant independent analysis that substantially advanced both the SEC's investigation and another agency's related investigation.
- Charged a broker-dealer with violating a whistleblower protection rule that prohibits taking any action to impede an individual from communicating directly with the SEC about a possible securities law violation.
- Charged a registered investment adviser with allegedly violating whistleblower protection laws by including language in termination and separation agreements that impeded individuals from coming forward to the SEC and by retaliating against a known whistleblower, along with charging that entity and others with running a Ponzi-like scheme that raised more than \$1.7 billion from more than 17,000 retail investors.

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## **Related Materials**

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- Addendum: FY21 Enforcement Statistics

**ADDENDUM TO  
DIVISION OF ENFORCEMENT PRESS RELEASE  
FISCAL YEAR 2021**

Enforcement Summary Chart for FY 2021 by Primary Classification							
Primary Classification	Civil Actions	Standalone AP	Follow-On AP	Delinquent Filings	Total	% of Total Actions	% of Civil and Standalone APs
Broker Dealer	10 (23)	26 (32)	74 (77)	0 (0)	110 (132)	16%	8%
Delinquent Filings	0 (0)	0 (0)	0 (0)	120 (120)	120 (120)	17%	0%
Foreign Corrupt Practices Act	0 (0)	5 (8)	0 (0)	0 (0)	5 (8)	1%	1%
Insider Trading	19 (37)	9 (10)	0 (0)	0 (0)	28 (47)	4%	6%
Investment Advisers / Investment Companies	33 (85)	87 (108)	39 (40)	0 (0)	159 (233)	23%	28%
Issuer Reporting / Audit & Accounting	11 (26)	42 (61)	17 (17)	0 (0)	70 (104)	10%	12%
Market Manipulation	23 (71)	3 (6)	5 (5)	0 (0)	31 (82)	4%	6%
Miscellaneous	3 (3)	4 (5)	0 (0)	0 (0)	7 (8)	1%	2%
NRSRO	1 (1)	1 (1)	0 (0)	0 (0)	2 (2)	0%	0%
Public Finance Abuse	2 (3)	10 (12)	0 (0)	0 (0)	12 (15)	2%	3%
Securities Offering	123 (398)	19 (32)	8 (8)	0 (0)	150 (438)	22%	33%
SRO / Exchange	0 (0)	1 (1)	0 (0)	0 (0)	1 (1)	0%	0%
Transfer Agent	1 (2)	1 (1)	0 (0)	0 (0)	2 (3)	0%	0%
<b>Total</b>	<b>228 (649)</b>	<b>208 (277)</b>	<b>143 (147)</b>	<b>120 (120)</b>	<b>697 (1,193)</b>	<b>100%</b>	<b>100%</b>

Each action initiated has been included in only one category listed above, even though many actions involved multiple allegations and may fall under more than one category. The number of defendants and respondents is noted parenthetically.

*A listing of the actions referenced in the table above is provided in the last section of this document.*

Enforcement Actions Filed in Fiscal Years 2016 to 2021						
	FY 2021	FY 2020	FY 2019	FY 2018	FY 2017	FY 2016
Standalone Enforcement Actions	434	405	526	490	446	548
Follow-On Admin. Proceedings	143	180	210	210	196	195
Delinquent Filings	120	130	126	121	112	125
<b>Total Actions</b>	<b>697</b>	<b>715</b>	<b>862</b>	<b>821</b>	<b>754</b>	<b>868</b>

Standalone Enforcement Actions is a combined count of Civil Actions and Standalone APs.

Total Money Ordered (in millions)						
	FY 2021	FY 2020	FY 2019	FY 2018	FY 2017	FY 2016
Penalties	\$1,456	\$1,091	\$1,101	\$1,439	\$832	\$1,273
Disgorgement	\$2,396	\$3,589	\$3,248	\$2,506	\$2,957	\$2,809
<b>Total</b>	<b>\$3,852</b>	<b>\$4,680</b>	<b>\$4,349</b>	<b>\$3,945</b>	<b>\$3,789</b>	<b>\$4,083</b>

Money Distributed to Harmed Investors (in millions)					
FY 2021	FY 2020	FY 2019	FY 2018	FY 2017	FY 2016
<b>\$521</b>	\$602	\$1,197	\$794	\$1,073	\$140

## FISCAL YEAR 2021 ENFORCEMENT CASES LISTED BY PROGRAM AREA

Case Name	Type of Action	Release No.	Date Filed
<b>BROKER-DEALER</b>			
In the Matter of Alejandro Cortes	Follow-on Admin. Proc.	34-90069	10/01/20
In the Matter of Gary S. Wykle, a/k/a Gary S. Wyckel	Follow-on Admin. Proc.	34-90090	10/05/20
In the Matter of Anthony Goldstein	Follow-on Admin. Proc.	34-90097	10/06/20
In the Matter of Andrew Dale Ledbetter, Esq.	Follow-on Admin. Proc.	34-90238 & 34-90239	10/21/20
In the Matter of Christian J. Baquerizo	Follow-on Admin. Proc.	34-90237	10/21/20
In the Matter of Kevin Cardenas	Follow-on Admin. Proc.	34-90236	10/21/20
SEC v. Alex Duain Forester, et al.	Civil	LR-24952	10/26/20
In the Matter of Alan D. Seidel	Follow-on Admin. Proc.	34-90295	10/30/20
In the Matter of Conrad A. Coggeshall	Follow-on Admin. Proc.	34-90358	11/05/20
In the Matter of Salvatore Ciccone	Follow-on Admin. Proc.	34-90370	11/06/20
SEC v. Hughe Duwayne Graham, et al.	Civil	LR-24958	11/06/20
In the Matter of Joshua Stephens-Anselm	Follow-on Admin. Proc.	34-90374	11/09/20
In the Matter of Benjamin F. Edwards & Company, Inc.	Stand-alone Admin. Proc.	34-90413	11/13/20
In the Matter of American Portfolios Financial Services, Inc., et al.	Stand-alone Admin. Proc.	34-90411	11/13/20
In the Matter of Rajesh Taneja	Follow-on Admin. Proc.	34-90564	12/04/20
In the Matter of Ravi Iyer	Stand-alone Admin. Proc.	34-90628	12/10/20
SEC v. Karina Chairaz	Civil	LR-24986	12/15/20
In the Matter of Robinhood Financial, LLC	Stand-alone Admin. Proc.	33-10906	12/17/20
In the Matter of Roger E. Dobrovodsky	Follow-on Admin. Proc.	34-90724	12/18/20
In the Matter of Robert Todd Seth	Follow-on Admin. Proc.	34-90725	12/18/20
In the Matter of John G. Wright, Jr.	Stand-alone Admin. Proc.	34-90727	12/18/20
In the Matter of Cormark Securities, Inc.	Stand-alone Admin. Proc.	34-90740	12/21/20
In the Matter of ITG Canada Corp., n/k/a Virtu ITG Canada Corp.	Stand-alone Admin. Proc.	34-90741	12/21/20
SEC v. Global Investment Strategy UK, Ltd., et al.	Civil	LR-24996	12/22/20
In the Matter of Larry Louis Matyas	Follow-on Admin. Proc.	34-90813	12/29/20
In the Matter of Christopher J. Ashby	Follow-on Admin. Proc.	34-90844	01/04/21
In the Matter of Scott W. Beynon	Follow-on Admin. Proc.	34-90845	01/04/21
In the Matter of Jordan S. Nelson	Follow-on Admin. Proc.	34-90843	01/04/21
In the Matter of Kerry L. Hoffman	Follow-on Admin. Proc.	34-90902	01/11/21
In the Matter of Thomas J. Robbins	Follow-on Admin. Proc.	34-90920	01/14/21
In the Matter of Daniel J. Merriman	Follow-on Admin. Proc.	34-90921	01/14/21
In the Matter of Richard Portillo, et al.	Follow-on Admin. Proc.	34-90950	01/19/21
In the Matter of Anthony Todd Johnson	Follow-on Admin. Proc.	34-91020	01/29/21
In the Matter of Green Bud Initiatives, LLC	Follow-on Admin. Proc.	34-91022	01/29/21
In the Matter of Jeremy Johnson	Follow-on Admin. Proc.	34-91021	01/29/21
In the Matter of Amogh Karney	Follow-on Admin. Proc.	34-91026	02/01/21
In the Matter of Lightspeed Trading, LLC	Stand-alone Admin. Proc.	33-10924	02/02/21
In the Matter of Anthony Killarney	Follow-on Admin. Proc.	34-91099	02/10/21
In the Matter of David Correia	Follow-on Admin. Proc.	34-91140	02/17/21
In the Matter of Craig A. Zabala	Follow-on Admin. Proc.	34-91201	02/24/21
In the Matter of Allan L. Lundervold	Follow-on Admin. Proc.	34-91209	02/25/21
In the Matter of Ross McLellan	Follow-on Admin. Proc.	34-91243	03/02/21
In the Matter of Kevin Graetz	Follow-on Admin. Proc.	34-91246	03/03/21
In the Matter of Jocelyn Murphy	Follow-on Admin. Proc.	34-91270	03/05/21
In the Matter of Minish "Joe" Hede	Follow-on Admin. Proc.	34-91289	03/10/21
In the Matter of Glen A. Stewart	Follow-on Admin. Proc.	34-91304	03/11/21

In the Matter of Michael Sean Murphy	Follow-on Admin. Proc.	34-91310	03/12/21
In the Matter of Ivan Ramos	Follow-on Admin. Proc.	34-91346	03/18/21
SEC v. Mintbroker International, Ltd., f/k/a Swiss America Securities Ltd. and d/b/a Suretrader, et al.	Civil	LR-25058	03/22/21
In the Matter of Andrew L. White	Follow-on Admin. Proc.	34-91392	03/23/21
In the Matter of Chris A. Dantin	Follow-on Admin. Proc.	34-91404	03/24/21
In the Matter of Christopher D. Dantin	Follow-on Admin. Proc.	34-91405	03/24/21
In the Matter of John Alexander van Arem	Follow-on Admin. Proc.	34-91511	04/08/21
In the Matter of Christopher Lee Hibbard	Follow-on Admin. Proc.	34-91591	04/16/21
In the Matter of Jaime M. Westenbarger	Follow-on Admin. Proc.	34-91613	04/19/21
In the Matter of Kenneth Ciapala	Follow-on Admin. Proc.	34-91739	05/03/21
In the Matter of Bradley J. Tennison	Follow-on Admin. Proc.	34-91749	05/04/21
In the Matter of Stephen J. Byrne	Follow-on Admin. Proc.	34-91811	05/10/21
In the Matter of Gregory P. Herlean	Follow-on Admin. Proc.	34-91814	05/10/21
In the Matter of GWFS Equities, Inc.	Stand-alone Admin. Proc.	34-91853	05/12/21
In the Matter of Clinton Maurice Tucker, II	Follow-on Admin. Proc.	34-91888	05/13/21
In the Matter of Seth A. Leyton	Follow-on Admin. Proc.	34-91924	05/18/21
In the Matter of Gil Beserjikli, et al.	Follow-on Admin. Proc.	34-91938	05/19/21
SEC v. BTIG, LLC	Civil	LR-25092	05/19/21
In the Matter of Emil Botvinnik	Follow-on Admin. Proc.	34-91974	05/21/21
In the Matter of Stephen Michael Thompson	Follow-on Admin. Proc.	34-92066	05/28/21
In the Matter of Anthony Nicolosi, f/k/a Anthony Peluso	Follow-on Admin. Proc.	34-92187	06/16/21
In the Matter of Guggenheim Securities, LLC	Stand-alone Admin. Proc.	34-92237	06/23/21
In the Matter of Neovest, Inc.	Stand-alone Admin. Proc.	34-92285	06/29/21
In the Matter of DeAndre P. Sears	Follow-on Admin. Proc.	34-92309	07/01/21
In the Matter of Frederick M. Stow	Follow-on Admin. Proc.	34-92397	07/13/21
In the Matter of David Aaron Rockwell	Follow-on Admin. Proc.	34-92423	07/15/21
In the Matter of John Clifford Park	Follow-on Admin. Proc.	34-92427	07/16/21
In the Matter of Paul Hanson	Follow-on Admin. Proc.	34-92462	07/21/21
In the Matter of Executive Financial Services, Inc.	Follow-on Admin. Proc.	34-92463	07/21/21
In the Matter of Miguel Holguin	Stand-alone Admin. Proc.	34-92457	07/21/21
In the Matter of Birkelbach & Co.	Stand-alone Admin. Proc.	34-92489	07/26/21
In the Matter of Capital Portfolio Management, Inc.	Stand-alone Admin. Proc.	34-92490	07/26/21
In the Matter of Greentree Investment Services, Inc.	Stand-alone Admin. Proc.	34-92488	07/26/21
In the Matter of Tradier Brokerage, Inc.	Stand-alone Admin. Proc.	34-92486	07/26/21
In the Matter of ST Invest, LLC d/b/a Trade App	Stand-alone Admin. Proc.	34-92485	07/26/21
In the Matter of Bill Parker Agency	Stand-alone Admin. Proc.	34-92487	07/26/21
In the Matter of Shaun Greenwald, CPA	Follow-on Admin. Proc.	34-92510 & 34-92447	07/28/21
SEC v. Lupo Securities, LLC, f/k/a Alphagen Securities, LLC	Civil	LR-25152	07/29/21
In the Matter of Herbert J. Sims & Co, Inc.	Stand-alone Admin. Proc.	33-10959	07/30/21
In the Matter of Integral Financial, LLC, et al.	Stand-alone Admin. Proc.	33-10958	07/30/21
In the Matter of Erik Christian Jones	Follow-on Admin. Proc.	34-92642	08/11/21
In the Matter of Murchinson, Ltd., et al.	Stand-alone Admin. Proc.	34-92684	08/17/21
In the Matter of Alpine Securities Corporation	Follow-on Admin. Proc.	34-92775	08/26/21
In the Matter of Alexander Goldschmidt	Follow-on Admin. Proc.	34-92817	08/30/21
In the Matter of Michael Vax	Follow-on Admin. Proc.	34-92819	08/30/21
In the Matter of Michael A. Bressman	Follow-on Admin. Proc.	34-92875	09/02/21
SEC v. Eliseo Acosta	Civil	LR-25205	09/13/21
In the Matter of Coda Markets, Inc., et al.	Stand-alone Admin. Proc.	33-10985	09/20/21
In the Matter of Revere Securities, LLC, et al.	Stand-alone Admin. Proc.	34-93065	09/20/21
In the Matter of Kevin Drost	Follow-on Admin. Proc.	34-93085	09/21/21
In the Matter of Brian Koslow	Follow-on Admin. Proc.	34-93087	09/21/21
In the Matter of David Waltzer	Follow-on Admin. Proc.	34-93086	09/21/21
In the Matter of Mark Thomas Johnson	Follow-on Admin. Proc.	34-93084	09/21/21
In the Matter of Michael E. Noble	Follow-on Admin. Proc.	34-93116	09/23/21
In the Matter of Ivan Acevedo	Follow-on Admin. Proc.	34-93123	09/24/21

In the Matter of Jonah Engler, a/k/a/ Jonah Engler-Silberman	Follow-on Admin. Proc.	34-93126	09/24/21
SEC v. Carebourn Capital, L.P., et al.	Civil	LR-25223	09/24/21
In the Matter of Tradition Securities and Derivatives, LLC	Stand-alone Admin. Proc.	34-93154	09/28/21
In the Matter of John Howley	Stand-alone Admin. Proc.	34-93146	09/28/21
In the Matter of Dane R. Roseman	Follow-on Admin. Proc.	34-93170	09/29/21
In the Matter of Chad Thomas Mackland	Follow-on Admin. Proc.	34-93220	09/30/21
In the Matter of Spar Street	Follow-on Admin. Proc.	34-93207	09/30/21
In the Matter of LPL Financial, LLC	Stand-alone Admin. Proc.	33-10992	09/30/21
SEC v. Keith A. Wakefield	Civil	LR-25239	09/30/21

#### DELINQUENT FILINGS

In the Matter of Dougherty's Pharmacy, Inc.	Stand-alone Admin. Proc.	34-90493	11/23/20
In the Matter of All Grade Mining, Inc.	Stand-alone Admin. Proc.	34-91129	02/16/21
In the Matter of Long Blockchain Corp.	Stand-alone Admin. Proc.	34-91174	02/19/21
In the Matter of Apotheca Biosciences, Inc.	Stand-alone Admin. Proc.	34-91796	05/07/21
In the Matter of BioHemp International, Inc.	Stand-alone Admin. Proc.	34-91800	05/07/21
In the Matter of Alphacom Holdings, Inc.	Stand-alone Admin. Proc.	34-91819	05/10/21
In the Matter of Ameritek Ventures, Inc.	Stand-alone Admin. Proc.	34-91822	05/10/21
In the Matter of Cerebain Biotech Corp.	Stand-alone Admin. Proc.	34-91826	05/10/21
In the Matter of China Soar Information Technology, Inc.	Stand-alone Admin. Proc.	34-91828	05/10/21
In the Matter of FlatWorld Acquisition Corp.	Stand-alone Admin. Proc.	34-91842	05/11/21
In the Matter of Freestone Resources, Inc.	Stand-alone Admin. Proc.	34-91846	05/11/21
In the Matter of Gala Pharmaceutical, Inc.	Stand-alone Admin. Proc.	34-91848	05/11/21
In the Matter of MJ Biotech, Inc., f/k/a Michael James Enterprises, Inc.	Stand-alone Admin. Proc.	34-91850	05/11/21
In the Matter of Aedan Financial Corporation	Stand-alone Admin. Proc.	34-91855	05/12/21
In the Matter of AirXpanders, Inc.	Stand-alone Admin. Proc.	34-91856	05/12/21
In the Matter of Moregain Pictures, Inc.	Stand-alone Admin. Proc.	34-91879	05/12/21
In the Matter of Pledge Petroleum Corp.	Stand-alone Admin. Proc.	34-91882	05/12/21
In the Matter of Quantum Materials Corp.	Stand-alone Admin. Proc.	34-91867	05/12/21
In the Matter of Texas South Energy, Inc.	Stand-alone Admin. Proc.	34-91869	05/12/21
In the Matter of US-China Biomedical Technology, Inc.	Stand-alone Admin. Proc.	34-91889	05/13/21
In the Matter of Vilacto Bio, Inc.	Stand-alone Admin. Proc.	34-91891	05/13/21
In the Matter of Spectrascience, Inc.	Stand-alone Admin. Proc.	34-91899	05/17/21
In the Matter of Traqer Corp.	Stand-alone Admin. Proc.	34-91907	05/17/21
In the Matter of UBI Blockchain Internet, Ltd.	Stand-alone Admin. Proc.	34-91900	05/17/21
In the Matter of USA Zhimingde International Group Corp.	Stand-alone Admin. Proc.	34-91911	05/17/21
In the Matter of W O Group, Inc.	Stand-alone Admin. Proc.	34-91905	05/17/21
In the Matter of YBCC, Inc.	Stand-alone Admin. Proc.	34-91908	05/17/21
In the Matter of Echo Therapeutics, Inc.	Stand-alone Admin. Proc.	34-91928	05/18/21
In the Matter of Arias Intel Corp.	Stand-alone Admin. Proc.	34-91943	05/19/21
In the Matter of AtheroNova, Inc.	Stand-alone Admin. Proc.	34-91945	05/19/21
In the Matter of Boston Carriers, Inc.	Stand-alone Admin. Proc.	34-91939	05/19/21
In the Matter of Chelsea Oil & Gas, Ltd.	Stand-alone Admin. Proc.	34-91941	05/19/21
In the Matter of Clic Technology, Inc.	Stand-alone Admin. Proc.	34-91954	05/20/21
In the Matter of Creative Waste Solutions, Inc.	Stand-alone Admin. Proc.	34-91956	05/20/21
In the Matter of FreeSeas, Inc.	Stand-alone Admin. Proc.	34-91970	05/21/21
In the Matter of Generation NEXT Franchise Brands, Inc.	Stand-alone Admin. Proc.	34-91972	05/21/21
In the Matter of Global Capital Partners, Inc.	Stand-alone Admin. Proc.	34-91987	05/24/21
In the Matter of Intelligent Cloud Resources, Inc.	Stand-alone Admin. Proc.	34-91989	05/24/21
In the Matter of CathayOnline, Inc., f/k/a Lazzara Financial Asset Recovery, Inc.	Stand-alone Admin. Proc.	34-92010	05/25/21
In the Matter of Digital Donations Technologies, Inc.	Stand-alone Admin. Proc.	34-92008	05/25/21
In the Matter of Galea Life Sciences, Inc.	Stand-alone Admin. Proc.	34-91998	05/25/21
In the Matter of Gemini Equipment Partners Income Fund IV, LP	Stand-alone Admin. Proc.	34-91999	05/25/21
In the Matter of Gemini Equipment Partners Income Fund V	Stand-alone Admin. Proc.	34-91995	05/25/21
In the Matter of Gemini Equipment Partners Income Fund VI, LP	Stand-alone Admin. Proc.	34-91996	05/25/21

In the Matter of Jin Wan Hong International Holdings, Ltd.	Stand-alone Admin. Proc.	34-92004	05/25/21
In the Matter of Morris Business Development Co.	Stand-alone Admin. Proc.	34-92006	05/25/21
In the Matter of Gemini Equipment Partners Income Fund X	Stand-alone Admin. Proc.	34-92025	05/26/21
In the Matter of General Builders Corp.	Stand-alone Admin. Proc.	34-92026	05/26/21
In the Matter of Gemini Equipment Partners Income Fund VIII, LP	Stand-alone Admin. Proc.	34-92039	05/27/21
In the Matter of Gemini Equipment Partners Income Fund IX, LP	Stand-alone Admin. Proc.	34-92041	05/27/21
In the Matter of General Energy Resources & Technology Corp.	Stand-alone Admin. Proc.	34-92062	05/27/21
In the Matter of Glacier Holdings, Inc., n/k/a StyleMaster, Inc.	Stand-alone Admin. Proc.	34-92063	05/27/21
In the Matter of International Technology Enterprises, Ltd.	Stand-alone Admin. Proc.	34-92045	05/27/21
In the Matter of Mediterranean Minerals Corp.	Stand-alone Admin. Proc.	34-92046	05/27/21
In the Matter of Rich Pharmaceuticals, Inc.	Stand-alone Admin. Proc.	34-92047	05/27/21
In the Matter of Rystar Communications, Ltd.	Stand-alone Admin. Proc.	34-92042	05/27/21
In the Matter of Spongetech Delivery Systems, Inc.	Stand-alone Admin. Proc.	34-92043	05/27/21
In the Matter of XSport Global, Inc.	Stand-alone Admin. Proc.	34-92049	05/27/21
In the Matter of Immune Pharmaceuticals, Inc.	Stand-alone Admin. Proc.	34-92056	05/27/21
In the Matter of Globesat Holding Corp.	Stand-alone Admin. Proc.	34-92083	06/01/21
In the Matter of Golden Goliath Resources, Ltd.	Stand-alone Admin. Proc.	34-92084	06/01/21
In the Matter of OrangeHook, Inc.	Stand-alone Admin. Proc.	34-92471	07/22/21
In the Matter of ATI Nationwide Holding Corp.	Stand-alone Admin. Proc.	34-92740	08/24/21
In the Matter of ChineseInvestors.com, Inc.	Stand-alone Admin. Proc.	34-92742	08/24/21
In the Matter of Empire Post Media	Stand-alone Admin. Proc.	34-92744	08/24/21
In the Matter of EV Charging USA, Inc.	Stand-alone Admin. Proc.	34-92746	08/24/21
In the Matter of GeoPetro Resources Co.	Stand-alone Admin. Proc.	34-92762	08/25/21
In the Matter of Giggles N' Hugs, Inc.	Stand-alone Admin. Proc.	34-92764	08/25/21
In the Matter of Sunburst Acquisitions V, Inc.	Stand-alone Admin. Proc.	34-92757	08/25/21
In the Matter of Triton Emission Solutions, Inc.	Stand-alone Admin. Proc.	34-92759	08/25/21
In the Matter of United Cannabis Corporation	Stand-alone Admin. Proc.	34-92771	08/26/21
In the Matter of Wari, Inc.	Stand-alone Admin. Proc.	34-92773	08/26/21
In the Matter of AI Document Services, Inc.	Stand-alone Admin. Proc.	34-92776	08/27/21
In the Matter of Blue Eagle Lithium, Inc.	Stand-alone Admin. Proc.	34-92791	08/27/21
In the Matter of CBA Florida, Inc., f/k/a Cord Blood of America, Inc.	Stand-alone Admin. Proc.	34-92794	08/27/21
In the Matter of Dragon Jade International Limited	Stand-alone Admin. Proc.	34-92813	08/30/21
In the Matter of Grand Perfecta, Inc.	Stand-alone Admin. Proc.	34-92811	08/30/21
In the Matter of Pura Naturals, Inc.	Stand-alone Admin. Proc.	34-92815	08/30/21
In the Matter of Emarine Global, Inc.	Stand-alone Admin. Proc.	34-92831	08/31/21
In the Matter of Jade Global Holdings, Inc., f/k/a Media Analytics Corporation	Stand-alone Admin. Proc.	34-92832	08/31/21
In the Matter of Prime Global Capital Group Incorporated	Stand-alone Admin. Proc.	34-92823	08/31/21
In the Matter of Theron Resource Group	Stand-alone Admin. Proc.	34-92821	08/31/21
In the Matter of Advanced BioEnergy, LLC	Stand-alone Admin. Proc.	34-92836	09/01/21
In the Matter of Amazing Energy Oil and Gas, Co.	Stand-alone Admin. Proc.	34-92850	09/01/21
In the Matter of American Retail Group, Inc.	Stand-alone Admin. Proc.	34-92838	09/01/21
In the Matter of IronClad Encryption Corporation	Stand-alone Admin. Proc.	34-92842	09/01/21
In the Matter of Nostalgia Family Brands, Inc.	Stand-alone Admin. Proc.	34-92843	09/01/21
In the Matter of NVCN Corporation	Stand-alone Admin. Proc.	34-92862	09/02/21
In the Matter of Sylios Corp.	Stand-alone Admin. Proc.	34-92855	09/02/21
In the Matter of Infinity Distribution, Inc.	Stand-alone Admin. Proc.	34-92857	09/02/21
In the Matter of VIVI Holdings, Inc.	Stand-alone Admin. Proc.	34-92858	09/02/21
In the Matter of Elite Performance Holding Corp.	Stand-alone Admin. Proc.	34-92927	09/09/21
In the Matter of Eventure Interactive, Inc.	Stand-alone Admin. Proc.	34-92928	09/09/21
In the Matter of Aeon Global Health Corp.	Stand-alone Admin. Proc.	34-92947	09/13/21
In the Matter of ALCO Stores, Inc.	Stand-alone Admin. Proc.	34-92953	09/13/21
In the Matter of ARC Group, Inc.	Stand-alone Admin. Proc.	34-92949	09/13/21
In the Matter of Arista Financial Corp.	Stand-alone Admin. Proc.	34-92956	09/13/21
In the Matter of BlackRidge Technology International, Inc.	Stand-alone Admin. Proc.	34-92957	09/13/21
In the Matter of Bnet Media Group, Inc.	Stand-alone Admin. Proc.	34-92961	09/13/21
In the Matter of Brightlane Corp.	Stand-alone Admin. Proc.	34-92979	09/14/21

In the Matter of Calmare Therapeutics Incorporated	Stand-alone Admin. Proc.	34-92977	09/14/21
In the Matter of Citadel Exploration, Inc.	Stand-alone Admin. Proc.	34-93008	09/15/21
In the Matter of Consumer Capital Group, Inc.	Stand-alone Admin. Proc.	34-93006	09/15/21
In the Matter of GelTech Solutions, Inc.	Stand-alone Admin. Proc.	34-92995	09/15/21
In the Matter of Incoming, Inc.	Stand-alone Admin. Proc.	34-92997	09/15/21
In the Matter of Intelligent Highway Solutions, Inc.	Stand-alone Admin. Proc.	34-92991	09/15/21
In the Matter of LevelBlox, Inc.	Stand-alone Admin. Proc.	34-92993	09/15/21
In the Matter of Medifirst Solutions, Inc.	Stand-alone Admin. Proc.	34-93028	09/16/21
In the Matter of MyDx, Inc.	Stand-alone Admin. Proc.	34-93031	09/16/21
In the Matter of Ngen Technologies Holdings Corp.	Stand-alone Admin. Proc.	34-93038	09/16/21
In the Matter of Online Disruptive Technologies, Inc.	Stand-alone Admin. Proc.	34-93040	09/16/21
In the Matter of Enterprise IV Corporation	Stand-alone Admin. Proc.	34-93058	09/20/21
In the Matter of Real Goods Solar, Inc.	Stand-alone Admin. Proc.	34-93077	09/20/21
In the Matter of Skye Life Ventures, Ltd.	Stand-alone Admin. Proc.	34-93079	09/20/21
In the Matter of Sports Field Holdings, Inc.	Stand-alone Admin. Proc.	34-93060	09/20/21
In the Matter of Stealth Technologies, Inc.	Stand-alone Admin. Proc.	34-93063	09/20/21
In the Matter of HEPI Pharmaceuticals, Inc.	Stand-alone Admin. Proc.	34-93080	09/21/21
In the Matter of Vista International Technologies, Inc.	Stand-alone Admin. Proc.	34-93096	09/21/21
In the Matter of WorldNet, Inc. of Nevada	Stand-alone Admin. Proc.	34-93081	09/21/21
In the Matter of Yus International Group, Ltd.	Stand-alone Admin. Proc.	34-93099	09/21/21

#### FOREIGN CORRUPT PRACTICES ACT

In the Matter of J&F Investimentos, S.A., et al.	Stand-alone Admin. Proc.	34-90170	10/14/20
In the Matter of The Goldman Sachs Group, Inc.	Stand-alone Admin. Proc.	34-90243	10/22/20
In the Matter of Deutsche Bank AG	Stand-alone Admin. Proc.	34-90875	01/08/21
In the Matter of Amec Foster Wheeler Limited	Stand-alone Admin. Proc.	34-92259	06/25/21
In the Matter of WPP plc	Stand-alone Admin. Proc.	34-93117	09/24/21

#### INSIDER TRADING

In the Matter of Michael J. Pires	Stand-alone Admin. Proc.	34-90360	11/05/20
SEC v. Douglas A. Roth	Civil	LR-24961	11/05/20
SEC v. Michael Sullivan	Civil	LR-24967	11/20/20
SEC v. Christopher Clark, et al.	Civil	LR-24982	12/11/20
SEC v. Jason Peltz	Civil	LR-24998	12/22/20
SEC v. Mark J. Ahn	Civil	LR-25024	02/05/21
SEC v. Mohammed A. Bari	Civil	LR-25099	05/26/21
SEC v. Chad Calice, et al.	Civil	2021-94	06/07/21
In the Matter of David G. Martin	Stand-alone Admin. Proc.	34-92156	06/11/21
SEC v. Nathaniel Brown, et al.	Civil	LR-25123	06/15/21
In the Matter of Mounir N. Gad	Stand-alone Admin. Proc.	34-92305	06/30/21
In the Matter of Nathan E. Guido	Stand-alone Admin. Proc.	34-92306	06/30/21
SEC v. Sean Wygovsky	Civil	2021-118	07/02/21
SEC v. Eric J. Watson, et al.	Civil	2021-121	07/09/21
In the Matter of Alan L. Alexander	Stand-alone Admin. Proc.	34-92474	07/23/21
In the Matter of Tan V. Kha	Stand-alone Admin. Proc.	34-92475	07/23/21
SEC v. Leonard R. Barr	Civil	LR-25159	08/06/21
In the Matter of Zorayr Mikael Manukyan-Zakaryan	Stand-alone Admin. Proc.	34-92624	08/10/21
SEC v. Matthew Panuwat	Civil	LR-25170	08/17/21
SEC v. Denise Grevas	Civil	LR-25174	08/18/21
SEC v. Sung Mo Jun, et al.	Civil	LR-25180	08/18/21
In the Matter of Scott Chasin, et al.	Stand-alone Admin. Proc.	34-92810	08/30/21
In the Matter of Beth Mueller	Stand-alone Admin. Proc.	34-92801	08/30/21
SEC v. Cavco Industries, Inc., et al.	Civil	LR-25196	09/02/21
SEC v. Robert Scott Parkhurst	Civil	LR-25196	09/02/21



SEC v. Dayakar R. Mallu	Civil	2021-181	09/17/21
SEC v. Sergei Polevikov, et al.	Civil	2021-186	09/23/21
SEC v. Jose Luis Casero Sanchez, et al.	Civil	2021-203	09/29/21

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INVESTMENT ADVISERS / INVESTMENT COMPANIES

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In the Matter of Phillip Timothy Howard, Esq.	Follow-on Admin. Proc.	34-90550	10/05/20
In the Matter of Paul Horton Smith, Sr.	Follow-on Admin. Proc.	IA-5618	10/22/20
In the Matter of EDG Management Company, LLC	Stand-alone Admin. Proc.	IA-5617	10/22/20
In the Matter of Mohammed Ali Rashid	Follow-on Admin. Proc.	IA-5620	10/26/20
In the Matter of Capitol Securities Management, Inc.	Stand-alone Admin. Proc.	34-90361	11/05/20
SEC v. Christopher W. Burns, et al.	Civil	LR-24963	11/12/20
In the Matter of Securities America Advisors, Inc.	Stand-alone Admin. Proc.	IA-5627	11/13/20
In the Matter of Royal Alliance Associates, Inc.	Stand-alone Admin. Proc.	IA-5629	11/13/20
In the Matter of Summit Financial Group, Inc.	Stand-alone Admin. Proc.	IA-5626	11/13/20
In the Matter of Craig Rumbaugh	Follow-on Admin. Proc.	34-90508	11/24/20
SEC v. Eugenio Garcia Jimenez, Jr.	Civil	LR-24975	12/01/20
SEC v. Raquel Moura Borges, et al.	Civil	LR-25209	12/01/20
In the Matter of Parfait Mutimura	Follow-on Admin. Proc.	34-90566	12/04/20
In the Matter of BancWest Investment Services, Inc.	Stand-alone Admin. Proc.	34-90585	12/07/20
In the Matter of BlueCrest Capital Management Limited	Stand-alone Admin. Proc.	33-10896	12/08/20
In the Matter of ICE Data Pricing & Reference Data, LLC	Stand-alone Admin. Proc.	IA-5643	12/09/20
SEC v. CapWealth Advisors, LLC, et al.	Civil	LR-24985	12/11/20
In the Matter of Robert J. Lindner	Follow-on Admin. Proc.	IA-5647	12/14/20
SEC v. TH Wealth Management, LLC, et al.	Civil	LR-24990	12/18/20
In the Matter of Munish Sood	Follow-on Admin. Proc.	34-90751	12/21/20
In the Matter of Voya Financial Advisors, Inc.	Stand-alone Admin. Proc.	34-90745	12/21/20
SEC v. Charles Samei	Civil	LR-24993	12/21/20
In the Matter of Mustafa Abdel Wadood	Stand-alone Admin. Proc.	33-10912	12/22/20
In the Matter of Pruco Securities, LLC	Stand-alone Admin. Proc.	34-90790	12/23/20
In the Matter of Barry F. Connell	Follow-on Admin. Proc.	34-90848	01/05/21
In the Matter of Michelle Morton	Follow-on Admin. Proc.	IA-5663	01/06/21
In the Matter of Advanced Practice Advisors, LLC, et al.	Stand-alone Admin. Proc.	IA-5670	01/14/21
SEC v. Michael Sztrom, et al.	Civil	LR-25010	01/15/21
SEC v. Jacob C. Glick	Civil	LR-25011	01/15/21
In the Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul Rahim El	Follow-on Admin. Proc.	IA-5671	01/21/21
In the Matter of Daniel Investments Associates, LLC, et al.	Stand-alone Admin. Proc.	IA-5675	01/29/21
In the Matter of David Hu	Follow-on Admin. Proc.	34-91059	02/04/21
In the Matter of Mathew Martoma	Follow-on Admin. Proc.	IA-5679	02/04/21
SEC v. GPB Capital Holdings, LLC, et al.	Civil	2021-24	02/04/21
In the Matter of Rosedale Asset Management, LLC, f/k/a Princeton Advisory Wealth Management, LLC	Stand-alone Admin. Proc.	IA-5680	02/05/21
SEC v. Isaiah L. Goodman	Civil	LR-25026	02/08/21
In the Matter of Derek Payne Burcham	Follow-on Admin. Proc.	IA-5683	02/11/21
In the Matter of Winslow, Evans & Crocker, Inc.	Stand-alone Admin. Proc.	34-91118	02/12/21
In the Matter of Gregory Moats Sampson	Follow-on Admin. Proc.	IA-5694	03/02/21
SEC v. George Heckler	Civil	LR-25047	03/09/21
SEC v. Paul W. Haarman, et al.	Civil	LR-25051	03/11/21
In the Matter of Isaiah L. Goodman	Follow-on Admin. Proc.	IA-5700	03/22/21
In the Matter of World Tree Financial, LLC	Follow-on Admin. Proc.	34-91379	03/22/21
In the Matter of Wesley Kyle Perkins	Follow-on Admin. Proc.	34-91378	03/22/21
In the Matter of Troy E. Marchand	Stand-alone Admin. Proc.	33-10937	03/24/21
In the Matter of Scott T. Wolfrum	Stand-alone Admin. Proc.	34-91401	03/24/21
In the Matter of Tyler C. Sadek	Stand-alone Admin. Proc.	IA-5707	03/24/21
SEC v. Douglas E. Elstun	Civil	LR-25061	03/29/21
In the Matter of E*Hedge Securities, Inc., f/k/a E*Hedge Inc., et al.	Follow-on Admin. Proc.	IA-5713	04/05/21

In the Matter of Don Warner Reinhard	Follow-on Admin. Proc.	IA-5715	04/08/21
SEC v. Martin Silver	Civil	LR-25070	04/13/21
In the Matter of Mason Investment Advisory Services, Inc.	Stand-alone Admin. Proc.	IA-5719	04/15/21
In the Matter of Martin Silver, CPA	Follow-on Admin. Proc.	IA-5723	04/19/21
In the Matter of Dean Mustaphalli	Follow-on Admin. Proc.	IA-5724	04/19/21
SEC v. Andrew T. Franzone, et al.	Civil	LR-25081	04/23/21
In the Matter of Hai Khoa Dang	Follow-on Admin. Proc.	IA-5731	05/05/21
In the Matter of Peter J. DeCaprio	Stand-alone Admin. Proc.	IA-5732	05/10/21
SEC v. Knight Nguyen Investments, et al.	Civil	LR-25089	05/13/21
In the Matter of George Heckler	Follow-on Admin. Proc.	IA-5737	05/24/21
In the Matter of Roy Y. Gagaza	Follow-on Admin. Proc.	34-91993	05/25/21
In the Matter of Arjuna Ariathurai	Stand-alone Admin. Proc.	33-10945	05/27/21
SEC v. Anthony Caine, et al.	Civil	LR-25101	05/27/21
SEC v. James K. Couture	Civil	LR-25104	06/01/21
In the Matter of Centaurus Financial, Inc.	Stand-alone Admin. Proc.	34-92095	06/02/21
In the Matter of Emperor Investments, Inc.	Stand-alone Admin. Proc.	IA-5745	06/03/21
In the Matter of Gurprit Chandhoke, et al.	Stand-alone Admin. Proc.	34-92114	06/04/21
In the Matter of Michelle E. MacDonald	Stand-alone Admin. Proc.	IA-5747	06/04/21
In the Matter of Verus Capital Partners, LLC	Stand-alone Admin. Proc.	IA-5748	06/07/21
In the Matter of Bingqing Yang	Follow-on Admin. Proc.	IA-5749	06/11/21
In the Matter of Feltl Advisors, LLC	Stand-alone Admin. Proc.	IA-5750	06/11/21
SEC v. Ramiro Jose Sugranes, et al.	Civil	LR-25119	06/11/21
In the Matter of Intervest International, Inc., et al.	Stand-alone Admin. Proc.	34-92166	06/14/21
In the Matter of Crown Capital Securities, L.P.	Stand-alone Admin. Proc.	34-92258	06/24/21
SEC v. Gregory David Paris, et al.	Civil	LR-25126	06/28/21
SEC v. John Robert Jones, Jr.	Civil	LR-25125	06/28/21
SEC v. SkiHawk Capital Partners, LLC, et al.	Civil	LR-25128	06/29/21
In the Matter of Securities America Advisors, Inc.	Stand-alone Admin. Proc.	IA-5762	06/30/21
In the Matter of Raj Rajaratnam	Follow-on Admin. Proc.	IA-5764	07/02/21
In the Matter of Michael Barry Carter	Follow-on Admin. Proc.	34-92324	07/02/21
In the Matter of St. Germain Investment Management, Inc.	Stand-alone Admin. Proc.	IA-5767	07/08/21
In the Matter of Kestra Advisory Services, LLC	Stand-alone Admin. Proc.	IA-5770	07/09/21
In the Matter of Kestra Private Wealth Services, LLC	Stand-alone Admin. Proc.	IA-5771	07/09/21
In the Matter of TIAA-CREF Individual & Institutional Services, LLC	Stand-alone Admin. Proc.	33-10954	07/13/21
In the Matter of Cascade Investment Group, Inc.	Stand-alone Admin. Proc.	34-92390	07/14/21
In the Matter of UBS Financial Services, Inc.	Stand-alone Admin. Proc.	IA-5781	07/19/21
In the Matter of Suneet Singal	Follow-on Admin. Proc.	IA-5783	07/21/21
In the Matter of The Cavanaugh Group, Inc.	Stand-alone Admin. Proc.	IA-5804	07/26/21
In the Matter of Canton Hathaway, LLC	Stand-alone Admin. Proc.	IA-5788	07/26/21
In the Matter of John A. Bysko Associates	Stand-alone Admin. Proc.	IA-5787	07/26/21
In the Matter of Medallion Wealth Advisors, LLC	Stand-alone Admin. Proc.	IA-5789	07/26/21
In the Matter of Altschuler, James Stephen (d/b/a Altschuler Financial Services)	Stand-alone Admin. Proc.	IA-5786	07/26/21
In the Matter of Minot DeBlois Advisors, LLC	Stand-alone Admin. Proc.	IA-5790	07/26/21
In the Matter of Madden Funds Management, Ltd.	Stand-alone Admin. Proc.	IA-5792	07/26/21
In the Matter of Quantitative Asset Management, LLC	Stand-alone Admin. Proc.	IA-5793	07/26/21
In the Matter of Summit Financial Advisors, Inc.	Stand-alone Admin. Proc.	IA-5794	07/26/21
In the Matter of Embree Financial Group, Inc.	Stand-alone Admin. Proc.	IA-5791	07/26/21
In the Matter of Paratus Financial, Inc.	Stand-alone Admin. Proc.	IA-5795	07/26/21
In the Matter of Harold Davidson & Associates, Inc.	Stand-alone Admin. Proc.	IA-5797	07/26/21
In the Matter of Castle Wealth Planning, LLC	Stand-alone Admin. Proc.	IA-5796	07/26/21
In the Matter of Eastside Financial Advisors, LLC	Stand-alone Admin. Proc.	IA-5800	07/26/21
In the Matter of Cohen Klingenstein, LLC	Stand-alone Admin. Proc.	IA-5798	07/26/21
In the Matter of Dynamic Trading Management, LLC	Stand-alone Admin. Proc.	IA-5799	07/26/21
In the Matter of Sauberan & Company, LLC	Stand-alone Admin. Proc.	IA-5801	07/26/21
In the Matter of Mighty Oak Strong America Investment Company	Stand-alone Admin. Proc.	IA-5802	07/26/21
In the Matter of O'Brien Greene & Co., Inc.	Stand-alone Admin. Proc.	IA-5803	07/26/21

In the Matter of Westbourne Investments, Inc.	Stand-alone Admin. Proc.	IA-5805	07/26/21
In the Matter of Carmel Capital Management, LLC	Stand-alone Admin. Proc.	IA-5806	07/26/21
SEC v. Michael V. Shustek, et al.	Civil	LR-25154	07/29/21
In the Matter of Coburn & Meredith, Inc.	Stand-alone Admin. Proc.	34-92526	07/30/21
In the Matter of First Heartland Consultants, Inc.	Stand-alone Admin. Proc.	IA-5812	08/02/21
In the Matter of Douglas Michael Hodge	Follow-on Admin. Proc.	34-92554	08/03/21
In the Matter of USA Financial Securities Corporation	Stand-alone Admin. Proc.	34-92553	08/03/21
In the Matter of Kimberly D. Butler, et al.	Stand-alone Admin. Proc.	33-10962	08/06/21
SEC v. Evarist C. Amah	Civil	LR-25162	08/09/21
In the Matter of Edgar M. Radjabli	Follow-on Admin. Proc.	IA-5819	08/12/21
In the Matter of David P. Ortiz	Follow-on Admin. Proc.	34-92674	08/13/21
In the Matter of ISC Advisors, Inc.	Stand-alone Admin. Proc.	IA-5820	08/13/21
In the Matter of Matthew O. Clason	Follow-on Admin. Proc.	34-92688	08/17/21
SEC v. Fusion Analytics Investment Partners, LLC, et al.	Civil	LR-25173	08/17/21
In the Matter of SoFi Wealth, LLC	Stand-alone Admin. Proc.	IA-5826	08/19/21
SEC v. Robert J. Mueller, et al.	Civil	LR-25179	08/20/21
In the Matter of Northwest Advisors, Inc.	Stand-alone Admin. Proc.	IA-5830	08/24/21
In the Matter of Charles Samel	Follow-on Admin. Proc.	IA-5831	08/25/21
In the Matter of Jonathan Roberts Advisory Group, Inc. d/b/a J.W. Cole Advisors, Inc.	Stand-alone Admin. Proc.	IA-5832	08/25/21
SEC v. Guillaume David Boccara	Civil	LR-25187	08/26/21
In the Matter of Educators Financial Services, Inc.	Stand-alone Admin. Proc.	IA-5836	08/27/21
In the Matter of Cantella & Co., Inc.	Stand-alone Admin. Proc.	34-92809	08/30/21
In the Matter of Roger E. Dobrovodsky	Stand-alone Admin. Proc.	33-10970	08/30/21
In the Matter of KMS Financial Services, Inc.	Stand-alone Admin. Proc.	34-92807	08/30/21
In the Matter of Cetera Advisor Networks, LLC, et al.	Stand-alone Admin. Proc.	34-92800	08/30/21
In the Matter of Cambridge Investment Research, Inc., et al.	Stand-alone Admin. Proc.	34-92806	08/30/21
In the Matter of McDonald Partners, LLC	Stand-alone Admin. Proc.	33-10973	08/31/21
SEC v. Tellone Management Group, Inc., et al.	Civil	LR-25189	08/31/21
In the Matter of Direct Lending Investments, LLC	Follow-on Admin. Proc.	IA-5846	09/03/21
In the Matter of Frontier Wealth Management, LLC, et al.	Stand-alone Admin. Proc.	33-10978	09/03/21
In the Matter of David Wagner	Follow-on Admin. Proc.	IA-5851	09/07/21
In the Matter of Douglas E. Elstun	Follow-on Admin. Proc.	IA-5850	09/07/21
In the Matter of Horter Investment Management, LLC, et al.	Stand-alone Admin. Proc.	IA-5853	09/08/21
In the Matter of Paradigm Wealth Advisory, LLC	Stand-alone Admin. Proc.	IA-5852	09/08/21
In the Matter of Diastole Wealth Management, Inc., et al.	Stand-alone Admin. Proc.	IA-5855	09/10/21
In the Matter of MML Investors Services, LLC	Stand-alone Admin. Proc.	34-92935	09/10/21
In the Matter of Rothschild Investment Corporation	Stand-alone Admin. Proc.	34-92951	09/13/21
In the Matter of JW Korth & Company, L.P., et al.	Stand-alone Admin. Proc.	34-92945	09/13/21
In the Matter of Berthel Fisher & Company Financial Services, Inc.	Stand-alone Admin. Proc.	34-93033	09/16/21
In the Matter of BFC Planning, Inc.	Stand-alone Admin. Proc.	IA-5863	09/16/21
In the Matter of Regal Investment Advisors, LLC, et al.	Stand-alone Admin. Proc.	34-93035	09/16/21
In the Matter of Daniel B. Kamensky, Esq.	Follow-on Admin. Proc.	IA-5869 & 34-93090	09/21/21
SEC v. Michael F. Shillin	Civil	LR-25218	09/23/21
SEC v. Buttonwood Financial Group, LLC, et al.	Civil	LR-25222	09/23/21
In the Matter of Cowen Prime Advisors, LLC	Stand-alone Admin. Proc.	IA-5874	09/27/21
In the Matter of Soteira Capital, LLC, et al.	Stand-alone Admin. Proc.	IA-5877	09/28/21
SEC v. Naseem Mohammed Salamah	Civil	LR-25233	09/28/21
In the Matter of Naseem Mohammed Salamah	Follow-on Admin. Proc.	IA-5884	09/30/21
In the Matter of Richard Vu Nguyen	Follow-on Admin. Proc.	IA-5882	09/30/21
In the Matter of Redwood Wealth Management, LLC, et al.	Stand-alone Admin. Proc.	IA-5880	09/30/21
In the Matter of Robert D. Press	Stand-alone Admin. Proc.	33-10991	09/30/21
In the Matter of Donna M. Silverman	Stand-alone Admin. Proc.	33-10990	09/30/21
SEC v. Richard James Roberts, et al.	Civil	LR-25238	09/30/21
SEC v. Ron K. Harrison, et al.	Civil	LR-25241	09/30/21

## ISSUER REPORTING / AUDITING &amp; ACCOUNTING

In the Matter of Nicholas Tornello, CPA	Follow-on Admin. Proc.	34-90089	10/05/20
SEC v. SAExploration Holdings, Inc., et al.	Civil	LR-24943	10/08/20
In the Matter of James DePalma, CPA	Follow-on Admin. Proc.	34-90166	10/14/20
In the Matter of Daniel O'Neal	Follow-on Admin. Proc.	34-90167	10/14/20
In the Matter of Allen Garner	Follow-on Admin. Proc.	34-90168	10/14/20
In the Matter of Andeavor, LLC	Stand-alone Admin. Proc.	34-90208	10/15/20
In the Matter of Cory Adam Leshner	Follow-on Admin. Proc.	34-90268	10/23/20
In the Matter of Steven L. Henning, CPA	Follow-on Admin. Proc.	34-90281	10/29/20
In the Matter of Frank G. Mueller	Follow-on Admin. Proc.	34-90369	11/06/20
In the Matter of John G. Stumpf	Stand-alone Admin. Proc.	33-10887	11/13/20
SEC v. Carrie L. Tolsted	Civil	LR-24964	11/13/20
In the Matter of The Cheesecake Factory Incorporated	Stand-alone Admin. Proc.	34-90565	12/04/20
In the Matter of Covia Holdings Corp., et al.	Stand-alone Admin. Proc.	33-10897	12/08/20
In the Matter of General Electric Company	Stand-alone Admin. Proc.	33-10899	12/09/20
In the Matter of Mark E. Watson, III	Stand-alone Admin. Proc.	34-90630	12/10/20
SEC v. Sequential Brands Group, Inc.	Civil	LR-24981	12/11/20
In the Matter of Belden, Inc., et al.	Stand-alone Admin. Proc.	33-10903	12/14/20
In the Matter of Dentsply Sirona, Inc.	Stand-alone Admin. Proc.	34-90681	12/16/20
SEC v. Luckin Coffee, Inc.	Civil	LR-24987	12/16/20
In the Matter of Laksha Bohra	Follow-on Admin. Proc.	34-90696	12/17/20
In the Matter of Mancera, S.C., et al.	Stand-alone Admin. Proc.	34-90699	12/17/20
In the Matter of Apex Global Brands, Inc., f/k/a Cherokee, Inc.	Stand-alone Admin. Proc.	33-10907	12/17/20
In the Matter of Jason Boling, CPA	Stand-alone Admin. Proc.	34-90716	12/17/20
In the Matter of India Globalization Capital, Inc., et al.	Stand-alone Admin. Proc.	33-10908	12/21/20
In the Matter of Joseph Jackson, et al.	Stand-alone Admin. Proc.	33-10925	02/02/21
In the Matter of Edward T. Kelly, CPA	Follow-on Admin. Proc.	34-91131	02/16/21
In the Matter of Christopher L. Stanley, CPA	Stand-alone Admin. Proc.	34-91185	02/23/21
In the Matter of Jennifer M. Stewart, CPA	Stand-alone Admin. Proc.	34-91186	02/23/21
In the Matter of Gulfport Energy Corporation	Stand-alone Admin. Proc.	34-91196	02/24/21
In the Matter of Michael G. Moore	Stand-alone Admin. Proc.	33-10930	02/24/21
SEC v. AT&T, Inc., et al.	Civil	LR-25045	03/05/21
In the Matter of Christopher E. Knauth, CPA	Stand-alone Admin. Proc.	34-91475	04/05/21
In the Matter of Fortem Resources, Inc.	Stand-alone Admin. Proc.	34-91715	04/29/21
In the Matter of TruTankless, Inc.	Stand-alone Admin. Proc.	34-91716	04/29/21
In the Matter of ShiftPixy, Inc.	Stand-alone Admin. Proc.	34-91717	04/29/21
In the Matter of Rokk3r, Inc.	Stand-alone Admin. Proc.	34-91721	04/29/21
In the Matter of Daniels Corporate Advisory Company, Inc.	Stand-alone Admin. Proc.	34-91722	04/29/21
In the Matter of HQDA Elderly Life Network, Corp.	Stand-alone Admin. Proc.	34-91723	04/29/21
In the Matter of Asta Funding, Inc.	Stand-alone Admin. Proc.	34-91718	04/29/21
In the Matter of Igen Networks Corp.	Stand-alone Admin. Proc.	34-91719	04/29/21
In the Matter of Under Armour, Inc.	Stand-alone Admin. Proc.	33-10940	05/03/21
SEC v. Harmel S. Rayat, et al.	Civil	LR-25102	05/28/21
In the Matter of First American Financial Corporation	Stand-alone Admin. Proc.	34-92176	06/14/21
In the Matter of Paul L. Chancey, Jr. CPA	Stand-alone Admin. Proc.	34-92378	07/13/21
In the Matter of Stockman Kast Ryan & Co, LLP, et al.	Stand-alone Admin. Proc.	34-92382	07/13/21
In the Matter of Momentus, Inc., et al.	Stand-alone Admin. Proc.	33-10955	07/13/21
SEC v. Mikhail Kokorich	Civil	2021-124	07/13/21
SEC v. Michael Palleschi, et al.	Civil	LR-25141	07/15/21
In the Matter of Tandy Leather Factory, Inc., et al.	Stand-alone Admin. Proc.	34-92455	07/21/21
In the Matter of Brent Whiteley, Esq.	Follow-on Admin. Proc.	34-92505	07/26/21
In the Matter of Michael Mortimer	Follow-on Admin. Proc.	34-92507	07/26/21
In the Matter of Steven A. Splain, CPA	Follow-on Admin. Proc.	34-92503	07/26/21
SEC v. Trevor R. Milton	Civil	2021-141	07/29/21
In the Matter of Paycom Software, Inc.	Stand-alone Admin. Proc.	34-92527	07/30/21

In the Matter of Ernst & Young, LLP, et al.	Stand-alone Admin. Proc.	34-92540	08/02/21
In the Matter of William G. Stiehl, CPA	Stand-alone Admin. Proc.	34-92539	08/02/21
SEC v. Live Ventures Incorporated, et al.	Civil	LR-25155	08/02/21
In the Matter of National Beverage Corp.	Stand-alone Admin. Proc.	34-92560	08/04/21
In the Matter of Gary S. Klein	Stand-alone Admin. Proc.	34-92611	08/09/21
In the Matter of Pearson plc	Stand-alone Admin. Proc.	33-10963	08/16/21
In the Matter of Healthcare Services Group, Inc., et al.	Stand-alone Admin. Proc.	33-10967	08/24/21
In the Matter of Jonathan Brett Woodard	Follow-on Admin. Proc.	34-92835	09/01/21
In the Matter of Pareteum Corporation	Stand-alone Admin. Proc.	33-10975	09/02/21
In the Matter of The Kraft Heinz Co., et al.	Stand-alone Admin. Proc.	33-10977	09/03/21
SEC v. Klaus Hofmann	Civil	LR-25195	09/03/21
In the Matter of Leonard R. Barr	Follow-on Admin. Proc.	34-92944	09/13/21
In the Matter of Carlos Javier Moctezuma Velasco	Follow-on Admin. Proc.	34-93135	09/27/21
In the Matter of Ramón Lafarga Báltiz	Follow-on Admin. Proc.	34-93137	09/27/21
In the Matter of Noe Corrales Reyes	Follow-on Admin. Proc.	34-93136	09/27/21
In the Matter of Ravindranathan Raghunathan, CPA, et al.	Stand-alone Admin. Proc.	34-93133	09/27/21

#### MARKET MANIPULATION

SEC v. John McAfee, et al.	Civil	LR-24941	10/05/20
SEC v. Jillian Sidoti	Civil	LR-24949	10/19/20
In the Matter of Mustafa David Sayid, Esq.	Follow-on Admin. Proc.	34-90258	10/22/20
In the Matter of Norman T. Reynolds, Esq.	Follow-on Admin. Proc.	34-90259	10/22/20
SEC v. Amir Bruno Elmaani, a/k/a Bruno Block	Civil	LR-24980	12/09/20
In the Matter of Ronald Phillips, Esq.	Follow-on Admin. Proc.	34-90715	12/17/20
SEC v. Barton S. Ross	Civil	LR-24989	12/18/20
SEC v. Arrayit Corporation, et al.	Civil	LR-25029	02/11/21
SEC v. Bruce Schoengood, et al.	Civil	LR-25034	02/23/21
SEC v. Andrew L. Fassari	Civil	LR-25052	03/02/21
SEC v. Airborne Wireless Network, et al.	Civil	LR-25043	03/02/21
SEC v. Nicholas Kabylafkas	Civil	LR-25048	03/11/21
SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan Goldman, et al.	Civil	LR-25075	04/15/21
In the Matter of Amit Tandon, Esq.	Follow-on Admin. Proc.	34-91628	04/22/21
SEC v. Wellness Matrix Group, Inc., et al.	Civil	LR-25114	06/11/21
SEC v. Edgar M. Radjabli, et al.	Civil	LR-25115	06/11/21
SEC v. Mark A. Miller	Civil	LR-25118	06/18/21
SEC v. Marlon Muller	Civil	LR-25143	07/14/21
SEC v. Charlie Abujudeh	Civil	LR-25147	07/22/21
SEC v. Luis Jimenez Carrillo, et al.	Civil	LR-25161	08/04/21
SEC v. Frederick L. Sharp, et al.	Civil	LR-25164	08/05/21
SEC v. Ahmad Haris Tajyar, et al.	Civil	LR-25167	08/13/21
SEC v. GPL Ventures, LLC, et al.	Civil	LR-25169	08/13/21
In the Matter of Peter Dichiarà	Follow-on Admin. Proc.	34-93101	09/21/21
In the Matter of Helikon Investments, Ltd.	Stand-alone Admin. Proc.	34-93091	09/21/21
SEC v. Timothy Page, et al.	Civil	LR-25227	09/23/21
SEC v. Daniel Cattlin, et al.	Civil	LR-25227	09/23/21
In the Matter of Xuepeng Xie	Stand-alone Admin. Proc.	33-10989	09/27/21
SEC v. Suyun Gu, et al.	Civil	LR-25224	09/27/21
In the Matter of Adam Heumann, et al.	Stand-alone Admin. Proc.	33-10994	09/30/21
SEC v. Mark J. Melnick	Civil	2021-206	09/30/21

#### MISCELLANEOUS

SEC v. Abhi Batra, a/k/a Abhimanyu Batra	Civil	LR-25012	01/15/21
SEC v. James Roland Jones	Civil	2021-51	03/18/21

In the Matter of S&P Dow Jones Indices, LLC	Stand-alone Admin. Proc.	33-10943	05/17/21
In the Matter of Elaine A. Dowling, Esq.	Stand-alone Admin. Proc.	34-92293	06/29/21
In the Matter of Harold P. Gewerter, Esq.	Stand-alone Admin. Proc.	34-92292	06/29/21
SEC v. Apostolos Trovias	Civil	2021-122	07/09/21
In the Matter of App Annie, Inc., et al.	Stand-alone Admin. Proc.	34-92975	09/14/21

#### NATL REC STAT RATING ORG (NRSRO)

SEC v. Morningstar Credit Ratings, LLC	Civil	LR-25030	02/16/21
In the Matter of DBRS, Inc.	Stand-alone Admin. Proc.	34-92952	09/13/21

#### PUBLIC FINANCE ABUSE

In the Matter of First Midstate, Inc., et al.	Stand-alone Admin. Proc.	34-90783	12/22/20
In the Matter of Hilltop Securities, Inc., et al.	Stand-alone Admin. Proc.	34-92370	07/09/21
In the Matter of Crews & Associates, Inc.	Stand-alone Admin. Proc.	34-92768	08/26/21
In the Matter of Rush F. Harding, III	Stand-alone Admin. Proc.	34-92769	08/26/21
In the Matter of Anthony A. Falsetta	Stand-alone Admin. Proc.	33-10972	08/31/21
In the Matter of Sweetwater Union High School District	Stand-alone Admin. Proc.	33-10981	09/16/21
SEC v. Karen Marie Michel	Civil	LR-25215	09/16/21
In the Matter of RBC Capital Markets, LLC	Stand-alone Admin. Proc.	34-93042	09/17/21
In the Matter of Kenneth G. Friedrich	Stand-alone Admin. Proc.	34-93043	09/17/21
In the Matter of Jaime L. Durando	Stand-alone Admin. Proc.	34-93044	09/17/21
SEC v. Choice Advisors, LLC, et al.	Civil	LR-25220	09/22/21
In the Matter of Paula Permenter	Stand-alone Admin. Proc.	34-93105	09/23/21

#### SECURITIES OFFERING

SEC v. Alexander S. Rowland	Civil	LR-24944	10/13/20
In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet	Stand-alone Admin. Proc.	33-10878	10/23/20
SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al.	Civil	LR-24954	11/03/20
SEC v. Benja Incorporated, et al.	Civil	LR-24968	11/23/20
SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al.	Civil	LR-24970	11/24/20
SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen	Civil	LR-24972	12/01/20
SEC v. Richard J. Rubin, et al.	Civil	LR-24973	12/02/20
SEC v. J. Jeremy Barbera, et al.	Civil	LR-24978	12/09/20
SEC v. Roger E. Dobrovodsky	Civil	LR-24983	12/14/20
SEC v. Robert Todd Seth	Civil	LR-24983	12/14/20
SEC v. Matthew L. Walker	Civil	LR-24983	12/14/20
SEC v. Keith Berman, et al.	Civil	2020-327	12/17/20
In the Matter of ShipChain, Inc.	Stand-alone Admin. Proc.	33-10909	12/21/20
SEC v. CapSource, Inc., et al.	Civil	LR-24992	12/21/20
SEC v. Michael B. Zipprich, et al.	Civil	LR-24992	12/21/20
SEC v. Dike Boone Nerren	Civil	LR-24991	12/21/20
SEC v. Siliconsage Builders, LLC, aka Silicon Sage Builders, et al.	Civil	2020-329	12/21/20
SEC v. Justin Robert King, et al.	Civil	LR-25006	12/21/20
SEC v. Ripple Labs, Inc. et al.	Civil	2020-338	12/22/20
SEC v. Stefan Qin, et al.	Civil	LR-24997	12/22/20
In the Matter of Lantson E. Eldred, Esq.	Follow-on Admin. Proc.	34-90789	12/23/20
In the Matter of Tierion, Inc.	Stand-alone Admin. Proc.	33-10914	12/23/20
SEC v. Ronnie Lee Moss, Jr., et al.	Civil	LR-24995	12/23/20
SEC v. Gregory Altieri	Civil	LR-25000	12/30/20
SEC v. William J. Bowser, et al.	Civil	LR-25003	12/30/20
SEC v. DeAndre P. Sears, et al.	Civil	LR-25002	12/31/20
SEC v. ConTXT, Inc., et al.	Civil	LR-25005	01/07/21

SEC v. Eric C. Malley, et al.	Civil	LR-25007	01/12/21
In the Matter of Wireline, Inc.	Stand-alone Admin. Proc.	33-10920	01/15/21
SEC v. William Andrew Stack, Esq.	Civil	LR-25013	01/15/21
SEC v. Ivan Ramos	Civil	LR-25016	01/26/21
SEC v. Vuuzle Media Corp., et al.	Civil	LR-25017	01/27/21
SEC v. Viktor Gjonaj	Civil	LR-25018	01/28/21
SEC v. Kristijan Krstic, a/k/a Felix Logan, et al.	Civil	LR-25020	02/01/21
SEC v. Lev Parnas, et al.	Civil	LR-25023	02/04/21
SEC v. Stephen Scott Moleski, et al.	Civil	LR-25025	02/05/21
In the Matter of Zachary Brooke Roberts, Esq.	Follow-on Admin. Proc.	34-91134	02/16/21
SEC v. Joseph Cimino	Civil	LR-25031	02/17/21
SEC v. Coinseed, Inc., et al.	Civil	LR-25032	02/17/21
SEC v. Glen A. Stewart	Civil	LR-25036	02/24/21
SEC v. EarthSource Minerals International, LLC, et al.	Civil	LR-25040	03/01/21
SEC v. Renew Forestry Group, LLC, et al.	Civil	LR-25041	03/01/21
SEC v. Chatfield PCS, Ltd., et al.	Civil	LR-25055	03/03/21
SEC v. Shawn C. Cutting, et al.	Civil	LR-25046	03/05/21
SEC v. Craig C. Garrick, Jr.	Civil	LR-25044	03/05/21
SEC v. Shamooun Omer Rafiq, a/k/a Shamooun Rafiq, Omer Rafiq, and Omar Rafiq	Civil	LR-25049	03/12/21
In the Matter of Ettro Capital Management Corp., et al.	Stand-alone Admin. Proc.	33-10932	03/15/21
SEC v. Christopher D. Bantion, et al.	Civil	LR-25053	03/17/21
SEC v. David P. Ortiz	Civil	LR-25053	03/17/21
SEC v. Andrew L. White	Civil	LR-25053	03/17/21
SEC v. Seth P. Levine	Civil	LR-25054	03/18/21
SEC v. Jessica Richman, et al.	Civil	LR-25056	03/18/21
SEC v. John W. Fisher	Civil	LR-25057	03/22/21
SEC v. Jason P. Wootten, et al.	Civil	LR-25059	03/22/21
SEC v. LBRY, Inc.	Civil	LR-25060	03/29/21
SEC v. George S. Blankenbaker, et al.	Civil	LR-25063	03/31/21
SEC v. Richard J. Randolph, III	Civil	LR-25064	04/01/21
SEC v. Zachary J. Horwitz, et al.	Civil	LR-25067	04/05/21
SEC v. Richard Dale Sterritt, Jr., a/k/a Richard Richman, et al.	Civil	2021-61	04/14/21
SEC v. Spot Tech House, Ltd., f/k/a Spot Option, Ltd., et al.	Civil	LR-25073	04/16/21
SEC v. Harbor City Capital Corp., et al.	Civil	LR-25082	04/20/21
SEC v. Sheng-Wen Cheng	Civil	LR-25076	04/20/21
SEC v. Corbyn W. Jones, Esq.	Civil	LR-25079	04/22/21
SEC v. Peter R. Quartararo, et al.	Civil	LR-25083	04/27/21
SEC v. Rahsaan King, et al.	Civil	LR-25085	04/29/21
SEC v. Richard Randall	Civil	LR-25086	04/30/21
In the Matter of Seth P. Levine, Esq.	Follow-on Admin. Proc.	34-91772	05/05/21
In the Matter of Maxwell Drever	Stand-alone Admin. Proc.	33-10941	05/05/21
In the Matter of Corbyn W. Jones, Esq.	Follow-on Admin. Proc.	34-91795	05/07/21
SEC v. Roy Y. Gagaza	Civil	LR-25091	05/17/21
SEC v. The Premier Healthcare Solution, LLC, et al.	Civil	LR-25094	05/19/21
SEC v. LFS Funding Limited Partnership, et al.	Civil	LR-25093	05/20/21
SEC v. The Legacy Group, Inc., et al.	Civil	LR-25097	05/24/21
SEC v. Trevon Brown, et al.	Civil	2021-90	05/28/21
SEC v. Kevin T. Carney, et al.	Civil	LR-25107	06/01/21
SEC v. The Estate of Kenneth J. Casey	Civil	LR- 25106	06/02/21
SEC v. Property Income Investors, LLC, et al.	Civil	LR-25109A	06/07/21
SEC v. Thomas Nicholas Salzano	Civil	LR-25108	06/07/21
SEC v. Cell>Point, LLC, et al.	Civil	LR-25113	06/10/21
SEC v. Robert Joseph Armijo, et al.	Civil	LR-25116	06/14/21
SEC v. Ali Asif Hamid, et al.	Civil	LR-25117	06/15/21
SEC v. Ofer Abarbanel, et al.	Civil	2021-107	06/21/21
In the Matter of Loci, Inc., et al.	Stand-alone Admin. Proc.	33-10950	06/22/21

SEC v. Joseph Geromini	Civil	LR-25120	06/23/21
In the Matter of Gateway One Lending & Finance, LLC	Stand-alone Admin. Proc.	33-10951	06/24/21
SEC v. Princeton Alternative Funding, LLC, et al.	Civil	LR-25124	06/24/21
In the Matter of Andrea S. Trout, Esq.	Follow-on Admin. Proc.	34-92273	06/28/21
In the Matter of Howard Davner	Stand-alone Admin. Proc.	33-10952	06/29/21
SEC v. Matthew J. Skinner, et al.	Civil	LR-25127	06/29/21
In the Matter of Reuben Robert Goldman, et al.	Stand-alone Admin. Proc.	33-10953	06/30/21
SEC v. Lambert Vander Tuig, et al.	Civil	LR-25134	07/02/21
SEC v. Parallax Health Sciences, Inc., et al.	Civil	LR-25137	07/07/21
SEC v. Profit Connect Wealth Services, Inc., et al.	Civil	LR-25144	07/08/21
SEC v. Jonathan Mimun, a/k/a Jonathan Maymon, et al.	Civil	LR-25140	07/12/21
SEC v. Shimon Rosenfeld, Esq.	Civil	LR-25139	07/12/21
In the Matter of Blotics Ltd. f/d/b/a Coinschedule, Ltd.	Stand-alone Admin. Proc.	33-10956	07/14/21
SEC v. Jefferey A. Gordon, et al.	Civil	LR-25142	07/15/21
SEC v. Outdoor Capital Partners, LLC, et al.	Civil	LR-25148	07/19/21
SEC v. Aron Govil	Civil	2021-132	07/19/21
SEC v. Rahulkumar "Rahul" M. Patel	Civil	LR-25146	07/21/21
SEC v. Mine Shaft Brewing, LLC, et al.	Civil	LR-25149	07/27/21
SEC v. Joshua Louis Rupp	Civil	2021-140	07/28/21
SEC v. Edward L. Wooten, et al.	Civil	LR-25153	07/30/21
In the Matter of Wendan Bao, et al.	Stand-alone Admin. Proc.	33-10960	08/04/21
SEC v. Uulala, Inc., et al.	Civil	LR-25157	08/04/21
In the Matter of Blockchain Credit Partners d/b/a DeFi Money Market, et al.	Stand-alone Admin. Proc.	33-10961	08/06/21
SEC v. Martin Adrian Ruiz, et al.	Civil	LR-25165	08/06/21
SEC v. MJ Capital Funding, LLC, et al.	Civil	LR-25168	08/09/21
SEC v. Blessing K. Egbon	Civil	LR-25163	08/10/21
SEC v. The Movie Studio, Inc., et al.	Civil	LR-25166	08/13/21
SEC v. Battery Private, Inc., et al.	Civil	LR-25171	08/13/21
SEC v. Arthur Hall, et al.	Civil	LR-25172	08/17/21
In the Matter of William Scott Lawler, Esq.	Follow-on Admin. Proc.	34-92707	08/18/21
SEC v. Medsis International, Inc., et al.	Civil	LR-25176	08/19/21
SEC v. John J. Woods, et al.	Civil	LR-25181	08/20/21
SEC v. Carl Jensen, et al.	Civil	LR-25183	08/24/21
SEC v. Manish Lachwani	Civil	LR-25182	08/25/21
SEC v. William B. McHenry, Jr., et al.	Civil	LR-25184	08/26/21
SEC v. Jason Dodd Bullard, et al.	Civil	LR-25194	08/27/21
In the Matter of Michael P. Egan	Stand-alone Admin. Proc.	33-10971	08/30/21
In the Matter of Michael R. Arbuckle	Stand-alone Admin. Proc.	33-10969	08/30/21
SEC v. Howard S. Kleyman	Civil	None	08/30/21
SEC v. Dawson L. Davenport, et al.	Civil	LR-25193	08/31/21
SEC v. Bitconnect, et al.	Civil	2021-172	09/01/21
In the Matter of George L. Divel, III	Stand-alone Admin. Proc.	33-10974	09/02/21
SEC v. Frederick Bauman	Civil	LR-25199	09/08/21
SEC v. Rivetz Corp., et al.	Civil	LR-25198	09/08/21
SEC v. ProSky, Inc., et al.	Civil	LR-25203	09/10/21
In the Matter of GTV Media Group, Inc., et al.	Stand-alone Admin. Proc.	33-10979	09/13/21
SEC v. SHE Beverage Company, Inc.	Civil	LR-25206	09/14/21
In the Matter of Charles Parkinson Lloyd	Stand-alone Admin. Proc.	33-10980	09/15/21
SEC v. Simon Piers Thurlow, et al.	Civil	LR-25207	09/15/21
SEC v. Robert Samuel Shumake, Jr., et al.	Civil	LR-25210	09/20/21
SEC v. Leena Jaitley d/b/a Managed Options Trading and Options by Pros, et al.	Civil	LR-25211	09/20/21
In the Matter of Frederick Bauman, Esq.	Follow-on Admin. Proc.	34-93089	09/21/21
SEC v. Back to Green Mining, LLC, et al.	Civil	LR-25214	09/21/21
SEC v. Frantz Simeon, et al.	Civil	LR-25216	09/22/21
SEC v. James R. Collins, et al.	Civil	LR-25219	09/23/21



SEC v. Biogenic, Inc., et al.	Civil	LR-25217	09/23/21
In the Matter of Resolute Capital Partners LTD, LLC, et al.	Stand-alone Admin. Proc.	33-10987	09/24/21
SEC v. Star Chain, Inc., et al.	Civil	LR-25225	09/24/21
SEC v. Sky Group USA, LLC, et al.	Civil	LR-25234	09/27/21
SEC v. VerdeGroup Investment Partners, Inc., et al.	Civil	LR-25228	09/27/21
SEC v. Richard Xia, a/k/a Yi Xia, et al.	Civil	LR-25230	09/27/21
SEC v. C3 International, Inc., et al.	Civil	LR-25231	09/28/21
SEC v. Jaeson Birnbaum	Civil	LR-25232	09/28/21
SEC v. Gregory A. Ciccone, et al.	Civil	LR-25236	09/29/21
In the Matter of Victoria Chan, Esq.	Follow-on Admin. Proc.	34-93202	09/30/21
SEC v. Mark Allan Plummer, et al.	Civil	LR-25235	09/30/21
SEC v. Punch TV Studios, Inc., et al.	Civil	LR-25237	09/30/21

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#### SRO / EXCHANGE

In the Matter of Poloniex, LLC	Stand-alone Admin. Proc.	34-92607	08/09/21
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#### TRANSFER AGENT

In the Matter of OTR, Inc.	Stand-alone Admin. Proc.	34-90828	12/30/20
SEC v. Michael James Ferguson Jr. Foreign Private Trust, et al.	Civil	LR-25229	09/27/21

## NOTES

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