## 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%
Total	226 (649)	208 (277)	143 (147)	120 (120)	697 (1,193)	100%	100%

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.

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	
Total Actions	697	715	862	821	754	868	

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	
Total	\$3,852	\$4,680	\$4,349	\$3,945	\$3,789	\$4,083	

М	oney Distrib	uted to Harr	ned Investor	rs (in million	s)
FY 2021	FY 2020	FY 2019	FY 2018	FY 2017	FY 2016
\$521	\$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
DDOVED DEALED			
BROKER-DEALER			
In the Matter of Maiordes Courtes	Follow on Admin Dros	24.00000	10/01/20
In the Matter of Alejandro Cortes	Follow-on Admin. Proc. 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.	FOIIOW-OII AUIIIIII. PTOC.	34-90238 & 34-90239	10/21/20
In the Matter of Christian J. Baquerizo	Follow-on Admin. Proc.	34-90239	10/21/20
In the Matter of Kevin Cardenas	Follow-on Admin. Proc.	34-90237	10/21/20
SEC v. Alex Duain Forester, et al.	Civil	LR-24952	10/21/20
In the Matter of Alan D. Seidel	Follow-on Admin. Proc.	34-90295	10/20/20
In the Matter of Conrad A. Coggeshall	Follow-on Admin. Proc.	34-90293	11/05/20
In the Matter of Collida A. Coggestian	Follow-on Admin. Proc.	34-90338	11/05/20
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	
·	Stand-alone Admin. Proc.	34-90413	11/09/20 11/13/20
In the Matter of Benjamin F. Edwards & Company, Inc. 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 Iver	Stand-alone Admin. Proc.	34-90628	12/04/20
SEC v. Karina Chairez	Civil	LR-24986	12/15/20
In the Matter of Robinhood Financial, LLC	Stand-alone Admin. Proc.	33-10906	12/13/20
In the Matter of Roger E. Dobrovodsky	Follow-on Admin. Proc.	34-90724	12/17/20
In the Matter of Robert Todd Seth	Follow-on Admin. Proc.	34-90725	12/18/20
In the Matter of Robert Toda Seth	Stand-alone Admin. Proc.	34-90727	12/18/20
In the Matter of Cormark Securities, Inc.	Stand-alone Admin. Proc.	34-90740	12/18/20
In the Matter of Cormark Securities, inc.  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	12/21/20
In the Matter of Larry Louis Matyas	Follow-on Admin. Proc.	34-90813	12/22/20
In the Matter of Christopher J. Ashby	Follow-on Admin. Proc.	34-90813	01/04/21
In the Matter of Constopher 3. Ashby	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	01/04/21
In the Matter of Thomas J. Robbins	Follow-on Admin. Proc.	34-90920	01/11/21
In the Matter of Phonies J. Robbins In the Matter of Daniel J. Merriman	Follow-on Admin. Proc.	34-90921	01/14/21
In the Matter of Banlers, Merrinian 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	01/19/21
In the Matter of Green Bud Initiatives, LLC	Follow-on Admin. Proc.	34-91020	01/29/21
In the Matter of Green Bud Millatives, ELC	Follow-on Admin. Proc.	34-91022	01/29/21
In the Matter of Amogh Karney	Follow-on Admin. Proc.	34-91021	02/01/21
In the Matter of Lightspeed Trading, LLC	Stand-alone Admin. Proc.	33-10924	02/01/21
In the Matter of Eightspeed Trading, EEC  In the Matter of Anthony Killarney	Follow-on Admin. Proc.	34-91099	02/02/21
In the Matter of David Correia	Follow-on Admin. Proc.	34-91099	02/10/21
In the Matter of Craig A. Zabala	Follow-on Admin. Proc.	34-91201	02/17/21
In the Matter of Claig A. Zabaia In the Matter of Allan L. Lundervold	Follow-on Admin. Proc.	34-91201	02/24/21
In the Matter of Ross McLellan	Follow-on Admin. Proc.	34-91243	02/23/21
In the Matter of Kevin Graetz	Follow-on Admin. Proc.	34-91246	03/02/21
In the Matter of Nevill Graetz	Follow-on Admin. Proc.	34-91270	03/05/21
In the Matter of Minish "Joe" Hede	Follow-on Admin. Proc.	34-91289	03/03/21
In the Matter of Glen A. Stewart	Follow-on Admin. Proc.	34-91304	03/10/21
in the matter of dictiva stewart	. 5	J- J130-	00, 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	Civil	LR-25058	03/22/21
Ltd. and d/b/a Suretrader, et al.	Fallann an Admin Duan	24.04202	02/22/24
In the Matter of Andrew L. White	Follow-on Admin. Proc.	34-91392	03/23/21
In the Matter of Christophus P. Pantin	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 Beserglik, 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 &	07/28/21
		34-92447	
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 Trager 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.	34-91972	05/21/21
In the Matter of Intelligent Cloud Resources, Inc.	Stand-alone Admin. Proc.	34-91989	05/24/21
In the Matter of Intelligent Cloud Resources, inc.  In the Matter of CathayOnline, Inc., f/k/a Lazzara Financial Asset	Stand-alone Admin. Proc.	34-91989	05/24/21
Recovery, Inc.	Stand dione Admin. 1100.	3- 32010	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 Germin Equipment Partiers income rund VI, LP	Stand dione Admin. Froc.	34-31330	03/23/21

In the Matter of Jin Wan Hong Intern	national Holdings, Ltd.	Stand-alone Admin. Proc.	34-92004	05/25/21
In the Matter of Morris Business Dev	velopment Co.	Stand-alone Admin. Proc.	34-92006	05/25/21
In the Matter of Gemini Equipment I	Partners Income Fund X	Stand-alone Admin. Proc.	34-92025	05/26/21
In the Matter of General Builders Co	rp.	Stand-alone Admin. Proc.	34-92026	05/26/21
In the Matter of Gemini Equipment I	Partners Income Fund VIII, LP	Stand-alone Admin. Proc.	34-92039	05/27/21
In the Matter of Gemini Equipment I	Partners Income Fund IX, LP	Stand-alone Admin. Proc.	34-92041	05/27/21
In the Matter of General Energy Res	ources & Technology Corp.	Stand-alone Admin. Proc.	34-92062	05/27/21
In the Matter of Glacier Holdings, Inc	c., n/k/a StyleMaster, Inc.	Stand-alone Admin. Proc.	34-92063	05/27/21
In the Matter of International Techn	ology Enterprises, Ltd.	Stand-alone Admin. Proc.	34-92045	05/27/21
In the Matter of Mediterranean Min	erals Corp.	Stand-alone Admin. Proc.	34-92046	05/27/21
In the Matter of Rich Pharmaceutica	ls, Inc.	Stand-alone Admin. Proc.	34-92047	05/27/21
In the Matter of Rystar Communicat	ions, Ltd.	Stand-alone Admin. Proc.	34-92042	05/27/21
In the Matter of Spongetech Deliver	y 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 Pharmaceu	uticals, Inc.	Stand-alone Admin. Proc.	34-92056	05/27/21
In the Matter of Globesat Holding Co	orp.	Stand-alone Admin. Proc.	34-92083	06/01/21
In the Matter of Golden Goliath Reso	ources, 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 Hole	ding Corp.	Stand-alone Admin. Proc.	34-92740	08/24/21
In the Matter of Chineselnvestors.co	• .	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, In	c.	Stand-alone Admin. Proc.	34-92746	08/24/21
In the Matter of GeoPetro Resource		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 Acquisition		Stand-alone Admin. Proc.	34-92757	08/25/21
In the Matter of Triton Emission Solu		Stand-alone Admin. Proc.	34-92759	08/25/21
In the Matter of United Cannabis Co	·	Stand-alone Admin. Proc.	34-92771	08/26/21
In the Matter of Wari, Inc.	. poracion	Stand-alone Admin. Proc.	34-92773	08/26/21
In the Matter of Al Document Service	es Inc	Stand-alone Admin. Proc.	34-92776	08/27/21
In the Matter of Blue Eagle Lithium,	•	Stand-alone Admin. Proc.	34-92791	08/27/21
In the Matter of CBA Florida, Inc., f/l		Stand-alone Admin. Proc.	34-92794	08/27/21
In the Matter of Dragon Jade Interna		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	08/30/21
In the Matter of Jade Global Holding		Stand-alone Admin. Proc.	34-92832	08/31/21
Corporation	s, me., i, i, a media / maryties	Starra dioric / tarriii. 1 Toc.	3132032	00,01,21
In the Matter of Prime Global Capita	l Group Incorporated	Stand-alone Admin. Proc.	34-92823	08/31/21
In the Matter of Theron Resource Gr		Stand-alone Admin. Proc.	34-92821	08/31/21
In the Matter of Advanced BioEnergy		Stand-alone Admin. Proc.	34-92836	09/01/21
In the Matter of Amazing Energy Oil		Stand-alone Admin. Proc.	34-92850	09/01/21
In the Matter of American Retail Gro		Stand-alone Admin. Proc.	34-92838	09/01/21
In the Matter of IronClad Encryption		Stand-alone Admin. Proc.	34-92842	09/01/21
In the Matter of Nostalgia Family Bra	·	Stand-alone Admin. Proc.	34-92843	09/01/21
In the Matter of NVCN Corporation	31143, 1116.	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.	, me.	Stand-alone Admin. Proc.	34-92858	09/02/21
In the Matter of Elite Performance H	Iolding Corn	Stand-alone Admin. Proc.	34-92927	09/02/21
In the Matter of Eventure Interactive		Stand-alone Admin. Proc.	34-92927	09/09/21
		Stand-alone Admin. Proc.		
In the Matter of Aeon Global Health	COLP.	Stand-alone Admin. Proc. Stand-alone Admin. Proc.	34-92947	09/13/21
In the Matter of ABC Group, Inc.			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 BlackBidge Technol		Stand-alone Admin. Proc.	34-92956	09/13/21
In the Matter of BlackRidge Technology	= :	Stand-alone Admin. Proc.	34-92957	09/13/21
In the Matter of Brightlane Corn	IIIC.	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/
In the Matter of Citadel Exploration, Inc.	Stand-alone Admin. Proc.	34-93008	09/15/
In the Matter of Consumer Capital Group, Inc.	Stand-alone Admin. Proc.	34-93006	09/15/
In the Matter of GelTech Solutions, Inc.	Stand-alone Admin. Proc.	34-92995	09/15/
In the Matter of Incoming, Inc.	Stand-alone Admin. Proc.	34-92997	09/15/
In the Matter of Intelligent Highway Solutions, Inc.	Stand-alone Admin. Proc.	34-92991	09/15/
In the Matter of LevelBlox, Inc.	Stand-alone Admin. Proc.	34-92993	09/15/
In the Matter of Medifirst Solutions, Inc.	Stand-alone Admin. Proc.	34-93028	09/16/
In the Matter of MyDx, Inc.	Stand-alone Admin. Proc.	34-93031	09/16/
In the Matter of Ngen Technologies Holdings Corp.	Stand-alone Admin. Proc.	34-93038	09/16/
In the Matter of Online Disruptive Technologies, Inc.	Stand-alone Admin. Proc.	34-93040	09/16/
In the Matter of Enterprise IV Corporation	Stand-alone Admin. Proc.	34-93058	09/20
In the Matter of Real Goods Solar, Inc.	Stand-alone Admin. Proc.	34-93077	09/20
In the Matter of Skye Life Ventures, Ltd.	Stand-alone Admin. Proc.	34-93079	09/20
In the Matter of Sports Field Holdings, Inc.	Stand-alone Admin. Proc.	34-93060	09/20
In the Matter of Stealth Technologies, Inc.	Stand-alone Admin. Proc.	34-93063	09/20
In the Matter of HEPI Pharmaceuticals, Inc.	Stand-alone Admin. Proc.	34-93080	09/21
In the Matter of Vista International Technologies, Inc.	Stand-alone Admin. Proc.	34-93096	09/21
In the Matter of WorldNet, Inc. of Nevada	Stand-alone Admin. Proc.	34-93081	09/21
	Stand-alone Admin. Proc.	34-93099	09/21
In the Matter of Yus International Group, Ltd.	Stand-alone Admin. Froc.	34-93099	09/21
FOREIGN CORRUPT PRACTICES ACT			
		34-90170	10/14
In the Matter of J&F Investimentos, S.A., et al.	Stand-alone Admin. Proc.		-,
	Stand-alone Admin. Proc. Stand-alone Admin. Proc.		10/22
In the Matter of The Goldman Sachs Group, Inc.	Stand-alone Admin. Proc.	34-90243	•
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG	Stand-alone Admin. Proc. Stand-alone Admin. Proc.	34-90243 34-90875	01/08
In the Matter of J&F Investimentos, S.A., et al. In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc	Stand-alone Admin. Proc.	34-90243	01/08 06/25
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc	Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc.	34-90243 34-90875 34-92259	10/22, 01/08, 06/25, 09/24,
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc	Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc.	34-90243 34-90875 34-92259	01/08 06/25
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires	Stand-alone Admin. Proc.	34-90243 34-90875 34-92259	01/08 06/25 09/24 11/05
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth	Stand-alone Admin. Proc. Civil	34-90243 34-90875 34-92259 34-93117	01/08 06/25 09/24 11/05 11/05
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth	Stand-alone Admin. Proc. Civil	34-90243 34-90875 34-92259 34-93117	01/08 06/25 09/24 11/05 11/05 11/20
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING	Stand-alone Admin. Proc. Civil	34-90243 34-90875 34-92259 34-93117 34-90360 LR-24961	01/08 06/25 09/24 11/05 11/05 11/20
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan	Stand-alone Admin. Proc. Civil	34-90243 34-90875 34-92259 34-93117 34-90360 LR-24961 LR-24967	01/08 06/25 09/24 11/05 11/05 11/20 12/11
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al.	Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc.  Stand-alone Admin. Proc. Civil Civil Civil	34-90243 34-90875 34-92259 34-93117 34-90360 LR-24961 LR-24967 LR-24982	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn	Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc.  Stand-alone Admin. Proc. Civil Civil Civil Civil	34-90243 34-90875 34-92259 34-93117 34-90360 LR-24961 LR-24967 LR-24982 LR-24998	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz	Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc.  Stand-alone Admin. Proc. Civil Civil Civil Civil Civil	34-90243 34-90875 34-92259 34-93117 34-90360 LR-24961 LR-24967 LR-24982 LR-24998 LR-25024	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al.	Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc.  Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Civil	34-90243 34-90875 34-92259 34-93117 34-90360 LR-24961 LR-24967 LR-24982 LR-24998 LR-25024 LR-25099	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin	Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc.  Stand-alone Admin. Proc. Civil	34-90243 34-90875 34-92259 34-93117 34-90360 LR-24961 LR-24967 LR-24982 LR-24998 LR-25024 LR-25099 2021-94	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin SEC v. Nathaniel Brown, et al.	Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc.  Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Civil Civil Stand-alone Admin. Proc.	34-90243 34-90875 34-92259 34-93117 34-90360 LR-24961 LR-24967 LR-24982 LR-24998 LR-25024 LR-25099 2021-94 34-92156	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11 06/15
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin SEC v. Nathaniel Brown, et al. In the Matter of Mounir N. Gad	Stand-alone Admin. Proc. Civil	34-90243 34-90875 34-92259 34-93117 34-9360 LR-24961 LR-24967 LR-24982 LR-24998 LR-25024 LR-25099 2021-94 34-92156 LR-25123 34-92305	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11 06/15
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin SEC v. Nathaniel Brown, et al. In the Matter of Mounir N. Gad In the Matter of Nathan E. Guido	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Civil Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil	34-90243 34-90875 34-92259 34-93117 34-90360 LR-24961 LR-24967 LR-24982 LR-24998 LR-25024 LR-25099 2021-94 34-92156 LR-25123	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11 06/15 06/30
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin SEC v. Nathaniel Brown, et al. In the Matter of Mounir N. Gad In the Matter of Nathan E. Guido SEC v. Sean Wygovsky	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil	34-90243 34-90875 34-92259 34-93117 34-9360 LR-24961 LR-24967 LR-24982 LR-25024 LR-25024 LR-25099 2021-94 34-92156 LR-25123 34-92305 34-92306 2021-118	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11 06/15 06/30 06/30
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin SEC v. Nathaniel Brown, et al. In the Matter of Mounir N. Gad In the Matter of Nathan E. Guido	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Stand-alone Admin. Proc. Civil	34-90243 34-90875 34-92259 34-93117 34-93117 34-90360 LR-24961 LR-24967 LR-24982 LR-24998 LR-25024 LR-25029 2021-94 34-92156 LR-25123 34-92305 34-92306	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11 06/15 06/30 07/02 07/09
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin SEC v. Nathaniel Brown, et al. In the Matter of Mounir N. Gad In the Matter of Nathan E. Guido SEC v. Sean Wygovsky SEC v. Eric J. Watson, et al. In the Matter of Alan L. Alexander	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc.	34-90243 34-90875 34-92259 34-93117 34-90360 LR-24961 LR-24967 LR-24982 LR-25024 LR-25029 2021-94 34-92156 LR-25123 34-92305 34-92306 2021-118 2021-121 34-92474	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11 06/15 06/30 07/02 07/09 07/23
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin SEC v. Nathaniel Brown, et al. In the Matter of Mounir N. Gad In the Matter of Nathan E. Guido SEC v. Sean Wygovsky SEC v. Eric J. Watson, et al. In the Matter of Alan L. Alexander In the Matter of Tan V. Kha	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc.	34-90243 34-90875 34-92259 34-93117 34-93117 34-90360 LR-24961 LR-24967 LR-24982 LR-25024 LR-25024 LR-25029 2021-94 34-92156 LR-25123 34-92305 34-92306 2021-118 2021-121 34-92474 34-92475	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11 06/15 06/30 06/30 07/02 07/09 07/23 07/23
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin SEC v. Nathaniel Brown, et al. In the Matter of Mounir N. Gad In the Matter of Nathan E. Guido SEC v. Sean Wygovsky SEC v. Eric J. Watson, et al. In the Matter of Alan L. Alexander In the Matter of Tan V. Kha SEC v. Leonard R. Barr	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc. Civil Civil Civil Civil Stand-alone Admin. Proc. Stand-alone Admin. Proc. Civil	34-90243 34-90875 34-92259 34-93117 34-93117 34-9360 LR-24961 LR-24967 LR-24982 LR-24998 LR-25024 LR-25099 2021-94 34-92156 LR-25123 34-92305 34-92306 2021-118 2021-121 34-92474 34-92475 LR-25159	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11 06/15 06/30 07/02 07/09 07/23 07/23 08/06
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin SEC v. Nathaniel Brown, et al. In the Matter of Mounir N. Gad In the Matter of Nathan E. Guido SEC v. Sean Wygovsky SEC v. Eric J. Watson, et al. In the Matter of Alan L. Alexander In the Matter of Tan V. Kha SEC v. Leonard R. Barr In the Matter of Zorayr Mikael Manukyan-Zakaryan	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil	34-90243 34-90875 34-92259 34-93117 34-93117 34-9360 LR-24961 LR-24967 LR-24982 LR-25024 LR-25029 2021-94 34-92156 LR-25123 34-92305 34-92306 2021-118 2021-121 34-92474 34-92475 LR-25159 34-92624	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11 06/30 06/30 07/02 07/09 07/23 08/06 08/10
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin SEC v. Nathaniel Brown, et al. In the Matter of Mounir N. Gad In the Matter of Nathan E. Guido SEC v. Sean Wygovsky SEC v. Eric J. Watson, et al. In the Matter of Alan L. Alexander In the Matter of Tan V. Kha SEC v. Leonard R. Barr In the Matter of Zorayr Mikael Manukyan-Zakaryan SEC v. Matthew Panuwat	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Stand-alone Admin. Proc. Civil Civil Civil Stand-alone Admin. Proc. Civil Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil	34-90243 34-90875 34-92259 34-93117 34-93117 34-9360 LR-24961 LR-24967 LR-24982 LR-25024 LR-25024 LR-25099 2021-94 34-92156 LR-25123 34-92305 34-92306 2021-118 2021-121 34-92474 34-92475 LR-25159 34-92624 LR-25170	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11 06/15 06/30 07/02 07/09 07/23 08/06 08/10 08/17
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin SEC v. Nathaniel Brown, et al. In the Matter of Mounir N. Gad In the Matter of Nathan E. Guido SEC v. Sean Wygovsky SEC v. Eric J. Watson, et al. In the Matter of Alan L. Alexander In the Matter of Tan V. Kha SEC v. Leonard R. Barr In the Matter of Zorayr Mikael Manukyan-Zakaryan SEC v. Matthew Panuwat SEC v. Denise Grevas	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Stand-alone Admin. Proc. Civil Civil Civil Stand-alone Admin. Proc. Civil Civil Stand-alone Admin. Proc. Civil Civil Stand-alone Admin. Proc. Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil	34-90243 34-90875 34-92259 34-93117 34-93117 34-90360 LR-24961 LR-24967 LR-24982 LR-25024 LR-25029 2021-94 34-92156 LR-25123 34-92305 34-92306 2021-118 2021-121 34-92474 34-92475 LR-25159 34-92624 LR-25170 LR-25174	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 06/07 06/11 06/15 06/30 07/02 07/09 07/23 07/23 08/06 08/10 08/17
In the Matter of The Goldman Sachs Group, Inc.  In the Matter of Deutsche Bank AG  In the Matter of Amec Foster Wheeler Limited  In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires  SEC v. Douglas A. Roth  SEC v. Michael Sullivan  SEC v. Christopher Clark, et al.  SEC v. Jason Peltz  SEC v. Mark J. Ahn  SEC v. Mohammed A. Bari  SEC v. Chad Calice, et al.  In the Matter of David G. Martin  SEC v. Nathaniel Brown, et al.  In the Matter of Mounir N. Gad  In the Matter of Nathan E. Guido  SEC v. Sean Wygovsky  SEC v. Eric J. Watson, et al.  In the Matter of Alan L. Alexander  In the Matter of Tan V. Kha  SEC v. Leonard R. Barr  In the Matter of Zorayr Mikael Manukyan-Zakaryan  SEC v. Matthew Panuwat  SEC v. Denise Grevas  SEC v. Sung Mo Jun, et al.	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Civil Civil Civil Stand-alone Admin. Proc. Civil Civil Civil Civil	34-90243 34-90875 34-92259 34-93117 34-90360 LR-24961 LR-24967 LR-24982 LR-25024 LR-25099 2021-94 34-92156 LR-25123 34-92305 34-92306 2021-118 2021-121 34-92474 34-92475 LR-25159 34-92624 LR-25170 LR-25170 LR-25174 LR-25180	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11 06/15 06/30 07/02 07/09 07/23 08/06 08/10 08/17 08/18
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin SEC v. Nathaniel Brown, et al. In the Matter of Mounir N. Gad In the Matter of Nathan E. Guido SEC v. Sean Wygovsky SEC v. Eric J. Watson, et al. In the Matter of Alan L. Alexander In the Matter of Tan V. Kha SEC v. Leonard R. Barr In the Matter of Zorayr Mikael Manukyan-Zakaryan SEC v. Denise Grevas SEC v. Sung Mo Jun, et al. In the Matter of Scott Chasin, et al.	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Civil Civil Stand-alone Admin. Proc. Civil Civil Civil Civil Stand-alone Admin. Proc.	34-90243 34-90875 34-92259 34-93117 34-93117 34-90360 LR-24961 LR-24967 LR-24982 LR-25024 LR-25029 2021-94 34-92156 LR-25123 34-92305 34-92306 2021-118 2021-121 34-92474 34-92475 LR-25159 34-92624 LR-25170 LR-25174 LR-25170 LR-25174 LR-25180 34-92810	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11 06/15 06/30 07/02 07/09 07/23 07/23 08/06 08/10 08/17 08/18 08/18
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin SEC v. Nathaniel Brown, et al. In the Matter of Mounir N. Gad In the Matter of Nathan E. Guido SEC v. Sean Wygovsky SEC v. Eric J. Watson, et al. In the Matter of Alan L. Alexander In the Matter of Tan V. Kha SEC v. Leonard R. Barr In the Matter of Zorayr Mikael Manukyan-Zakaryan SEC v. Matthew Panuwat SEC v. Denise Grevas SEC v. Sung Mo Jun, et al. In the Matter of Scott Chasin, et al. In the Matter of Beth Mueller	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Civil Stand-alone Admin. Proc. Civil Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Civil Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Stand-alone Admin. Proc. Stand-alone Admin. Proc.	34-90243 34-90875 34-92259 34-93117 34-93117 34-9360 LR-24961 LR-24967 LR-24982 LR-25024 LR-25099 2021-94 34-92156 LR-25123 34-92305 34-92306 2021-118 2021-121 34-92474 34-92475 LR-25159 34-92475 LR-25159 34-92624 LR-25170 LR-25174 LR-25170 LR-25174 LR-25180 34-92810 34-92801	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11 06/15 06/30 07/02 07/09 07/23 07/23 08/16 08/17 08/18 08/18 08/30 08/30
In the Matter of The Goldman Sachs Group, Inc. In the Matter of Deutsche Bank AG In the Matter of Amec Foster Wheeler Limited In the Matter of WPP plc  INSIDER TRADING  In the Matter of Michael J. Pires SEC v. Douglas A. Roth SEC v. Michael Sullivan SEC v. Christopher Clark, et al. SEC v. Jason Peltz SEC v. Mark J. Ahn SEC v. Mohammed A. Bari SEC v. Chad Calice, et al. In the Matter of David G. Martin SEC v. Nathaniel Brown, et al. In the Matter of Mounir N. Gad In the Matter of Nathan E. Guido SEC v. Sean Wygovsky SEC v. Eric J. Watson, et al. In the Matter of Alan L. Alexander In the Matter of Tan V. Kha SEC v. Leonard R. Barr In the Matter of Zorayr Mikael Manukyan-Zakaryan	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Civil Civil Stand-alone Admin. Proc. Civil Civil Civil Civil Stand-alone Admin. Proc.	34-90243 34-90875 34-92259 34-93117 34-93117 34-90360 LR-24961 LR-24967 LR-24982 LR-25024 LR-25029 2021-94 34-92156 LR-25123 34-92305 34-92306 2021-118 2021-121 34-92474 34-92475 LR-25159 34-92624 LR-25170 LR-25174 LR-25170 LR-25174 LR-25180 34-92810	01/08 06/25 09/24 11/05 11/05 11/20 12/11 12/22 02/05 05/26 06/07 06/11 06/15 06/30 07/02 07/09 07/23 07/23 08/06 08/10 08/17 08/18 08/18

SEC. V. Sergie Polewikov, et. al.         C.Vvil         2021-1.81         09/17/21           SEC. V. Sergie Polewikov, et. al.         Civil         2021-203         09/29/21           ISC. V. Sergie Polewikov, et. al.         Civil         2021-203         09/29/21           INVESTMENT ADVISERS / INVESTMENT COMPANIES         VIVII         2021-203         09/29/21           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-5618         10/22/20           In the Matter of Edghos Securities Management, Inc.         Stand-alone Admin. Proc.         IA-5620         10/22/20           SEC V. Christopher W. Burns, et al.         Civil         IR-29663         11/12/20           In the Matter of Capital Securities Management, Inc.         Stand-alone Admin. Proc.         IA-5620         11/13/20           In the Matter of Seval Alliance Associates, Inc.         In the Matter of Seval Milance Associates, Inc.         Stand-alone Admin. Proc.         IA-5629         11/13/20           In the Matter of Carigi Rumbaugh         Follow-on Admin. Proc.         34-90568         11/24/20           SEC V. Enguel Garcia Limenes, Ir.         Civil         IR-25509         12/04/20           SEC V. Enguel H. Advisors, LLC,		a		
In the Matter of Phillip Timothy Howard, Esq.   Follow-on Admin. Proc.   34-90550   10/05/20   In the Matter of Phillip Timothy Howard, Esq.   Follow-on Admin. Proc.   A-5618   10/22/20   In the Matter of EDG Management Company, LLC   Stand-alone Admin. Proc.   A-5618   10/22/20   In the Matter of EDG Management Company, LLC   Stand-alone Admin. Proc.   A-5618   10/22/20   In the Matter of Capitol Securities Management, Inc.   Stand-alone Admin. Proc.   A-5620   10/65/20   In the Matter of Capitol Securities Management, Inc.   Stand-alone Admin. Proc.   A-5620   11/05/20   In the Matter of Capitol Securities Management, Inc.   Stand-alone Admin. Proc.   A-5627   11/13/20   In the Matter of Capitol Securities Management, Inc.   Stand-alone Admin. Proc.   A-5627   11/13/20   In the Matter of Sourniti Financial Group, Inc.   Stand-alone Admin. Proc.   A-5627   11/13/20   In the Matter of Capital Management, Inc.   Stand-alone Admin. Proc.   A-5627   11/13/20   In the Matter of Craig Rumbaugh   Follow-on Admin. Proc.   A-5629   11/13/20   In the Matter of Craig Rumbaugh   Follow-on Admin. Proc.   A-5629   11/13/20   In the Matter of Bancwest Investment Services, Inc.   Civil   Inc. Page 50   11/13/20   In the Matter of Bancwest Investment Services, Inc.   Stand-alone Admin. Proc.   34-90568   11/04/20   In the Matter of Bancwest Investment Services, Inc.   Stand-alone Admin. Proc.   34-90566   11/04/20   In the Matter of Bancwest Investment Services, Inc.   Stand-alone Admin. Proc.   34-90566   11/04/20   In the Matter of Isouer Section Secti	SEC v. Dayakar R. Mallu	Civil	2021-181	09/17/21
In the Matter of Phillip Timothy Howard, Esq. In the Matter of Phillip Timothy Howard, Esq. In the Matter of Paul Horton Smith, 5r. In the Matter of Paul Horton Smith, 5r. In the Matter of Paul Horton Smith, 5r. In the Matter of Dos Management Company, LLC Stand-alone Admin. Proc. In the Matter of Capitol Securities Management, Inc. Stand-alone Admin. Proc. In the Matter of Capitol Securities Management, Inc. Stand-alone Admin. Proc. In the Matter of Capitol Securities Management, Inc. Stand-alone Admin. Proc. In the Matter of Securities America Advisors, Inc. Stand-alone Admin. Proc. In the Matter of Securities America Advisors, Inc. Stand-alone Admin. Proc. In the Matter of Soval Alliance Associates, Inc. In the Matter of Soval Alliance Associates, Inc. In the Matter of Soval Alliance Associates, Inc. In the Matter of Soval Maliance Associates, Inc. In the Matter of Soval Maliance Associates, Inc. In the Matter of Soval Maliance Associates, Inc. In the Matter of Craig Rumbaugh Follow-on Admin. Proc. In the Matter of Craig Rumbaugh Follow-on Admin. Proc. In the Matter of Parfait Mutimura In the Matter of Parfait Mutimura In the Matter of BancWest Investment Services, Inc. In the Matter of BlaucTest Capital Management Limited In the Matter of BlaucTest Capital Management Limited In the Matter of BancWest Investment Services, Inc. In the Matter of Robert I, Linder SEC v. Layenia Admin. Proc. In the Matter of Musich Sould Selection Services, Inc. In the Matter of Musich Sould Selection Services, Inc. In the Matter of Musich Sould Selection Selection Services, Inc. In the Matter of Musich Sould Selection Selecti				
In the Matter of Phillip Timothy Howard, Esq. In the Matter of Paul Horton Smith, Sr. In the Matter of Paul Horton Smith, Sr. In the Matter of EDG Management Company, LLC In the Matter of House Management Company, LLC In the Matter of Kohammed All Rashid In the Matter of Mohammed All Rashid In the Matter of Capitol Securities Management, Inc. SEC v. Christies America Advisors, Inc. In the Matter of Sumities America Advisors, Inc. In the Matter of Craig Rumbaugh Follow-on Admin. Proc. In the Matter of Craig Rumbaugh Follow-on Admin. Proc. In the Matter of Sumities America Advisors, Inc. In the Matter of Parfait Mutimura Follow-on Admin. Proc. In the Matter of BancWest Investment Services, Inc. In the Matter of Read Management Linited In the Matter of Robert J. Linder In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Munish Sood Follow-on Admin. Proc. In the Matter of Munish Sood Follow-on Admin. Proc. In the Matter of Munish Sood Follow-on Admin. Proc. In the Matter of Munish Sood Follow-on Admin	SEC v. Jose Luis Casero Sanchez, et al.	Civil	2021-203	09/29/21
In the Matter of Phillip Timothy Howard, Esq. In the Matter of Paul Horton Smith, Sr. In the Matter of Paul Horton Smith, Sr. In the Matter of EDG Management Company, LLC In the Matter of House Management Company, LLC In the Matter of Kohammed All Rashid In the Matter of Mohammed All Rashid In the Matter of Capitol Securities Management, Inc. SEC v. Christies America Advisors, Inc. In the Matter of Sumities America Advisors, Inc. In the Matter of Craig Rumbaugh Follow-on Admin. Proc. In the Matter of Craig Rumbaugh Follow-on Admin. Proc. In the Matter of Sumities America Advisors, Inc. In the Matter of Parfait Mutimura Follow-on Admin. Proc. In the Matter of BancWest Investment Services, Inc. In the Matter of Read Management Linited In the Matter of Robert J. Linder In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Robert J. Linder Follow-on Admin. Proc. In the Matter of Munish Sood Follow-on Admin. Proc. In the Matter of Munish Sood Follow-on Admin. Proc. In the Matter of Munish Sood Follow-on Admin. Proc. In the Matter of Munish Sood Follow-on Admin	INVESTMENT ADVISEDS / INVESTMENT COMPANIES			
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   In the Matter of HobNammed All Rashid   Follow-on Admin. Proc.   IA-5617   10/22/20   In the Matter of Kohammed All Rashid   Follow-on Admin. Proc.   IA-5627   11/05/20   In the Matter of Capitol Securities Management, Inc.   Stand-alone Admin. Proc.   IA-5627   I1/13/20   In the Matter of Capitol Securities America Advisors, Inc.   Stand-alone Admin. Proc.   IA-5627   I1/13/20   In the Matter of Securities America Advisors, Inc.   Stand-alone Admin. Proc.   IA-5629   I1/13/20   In the Matter of Summit Financial Group, Inc.   Stand-alone Admin. Proc.   IA-5629   I1/13/20   In the Matter of Craig Rumbaugh   Follow-on Admin. Proc.   IA-5629   I1/13/20   In the Matter of Craig Rumbaugh   Follow-on Admin. Proc.   IA-5629   I1/13/20   In the Matter of Sammit Multimura   Follow-on Admin. Proc.   IA-5629   I1/13/20   In the Matter of Brafial Multimura   Follow-on Admin. Proc.   IA-5629   I1/20/120   In the Matter of Brafial Multimura   Follow-on Admin. Proc.   IA-5629   I1/20/120   In the Matter of Brafial Multimura   Follow-on Admin. Proc.   IA-5629   I1/20/120   In the Matter of BancWest Investment Services, Inc.   Stand-alone Admin. Proc.   IA-5648   I1/20/120   In the Matter of BancWest Investment Services, Inc.   Stand-alone Admin. Proc.   IA-5648   I1/20/120   In the Matter of BancWest Investment Services, Inc.   Stand-alone Admin. Proc.   IA-5649   I1/20/120   In the Matter of Robert J. Linder   Follow-on Admin. Proc.   IA-5649   I1/20/120   In the Matter of Robert J. Linder   Follow-on Admin. Proc.   IA-5649   I1/20/120   In the Matter of Robert J. Linder   Follow-on Admin. Proc.   IA-5649   I1/20/120   In the Matter of Mustafa Abdel Wadood   Follow-on Admin. Proc.   IA-5649   I1/20/120   In the Matter of Mustafa Abdel Wadood   Stand-alone Admin. Proc.   IA-5670   I1/20/120   In the Matter of Mustafa Abdel Wadood   Stand-alone Admin. Proc.   IA-5670   I1/20/120   In the Matte	INVESTMENT ADVISERS / INVESTMENT COMPANIES			
In the Matter of Pauli 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 Goptiol Securities Management, Inc.         Stand-alone Admin. Proc.         IA-5620         10/26/20           In the Matter of Capitol Securities Management, Inc.         Stand-alone Admin. Proc.         IA-5627         11/13/20           In the Matter of Securities America Advisors, Inc.         Stand-alone Admin. Proc.         IA-5626         11/13/20           In the Matter of Summit Financial Group, Inc.         Stand-alone Admin. Proc.         IA-5626         11/13/20           In the Matter of Group Garcia Jimenez, Jr.         Civil         IR-24905         11/20/120           SEC V. Eaguel Moura Borges, et al.         Civil         IR-24905         12/01/20           In the Matter of BlueCrest Capital Management Limited         Stand-alone Admin. Proc.         34-90585         12/07/20           In the Matter of Tollower of Robert J. Lindner         Stand-alone Admin. Proc.         33-10896         12/08/20           In the Matter of Tollower of Robert J. Lindner         Stand-alone Admin. Proc.         34-90585         12/09/20           In the Matter of Robert J. Lindner         Stand-alone Admin. Proc.         34-90784         12/	In the Matter of Phillip Timothy Howard, Esg.	Follow-on Admin. Proc.	34-90550	10/05/20
In the Matter of EDG Management Company, LLC         Is and-alone Admin. Proc.         IA-5617         10/22/20           In the Matter of Mohammed Ali Rashid         Follow-on Admin. Proc.         IA-5610         10/26/20           In the Matter of Capitol Securities Management, Inc.         Stand-alone Admin. Proc.         IA-5629         11/10/20           In the Matter of Securities America Advisors, Inc.         Stand-alone Admin. Proc.         IA-5629         11/13/20           In the Matter of Securities America Advisors, Inc.         Stand-alone Admin. Proc.         IA-5629         11/13/20           In the Matter of Summit Financial Group, Inc.         Stand-alone Admin. Proc.         IA-5629         11/13/20           In the Matter of Summit Financial Group, Inc.         Civil         IR-24975         11/20/20           SEC v. Eugenio Garcia Jimenez, Jr.         Civil         IR-24975         12/01/20           SEC v. Eugenio Garcia Jimenez, Jr.         Civil         IR-24975         12/01/20           In the Matter of Brance Matter of Brance Structies Investment Services, Inc.         Follow-on Admin. Proc.         34-90566         12/09/20           In the Matter of Bullec Crest Capital Management Limited         Stand-alone Admin. Proc.         33-1086         12/09/20           In the Matter of Bullec Crest Capital Management Limited         Stand-alone Admin. Proc.         14-5643 <td>·</td> <td></td> <td></td> <td></td>	·			
In the Matter of Mohammed Ali Rashid         Follow-on Admin. Proc.         14-5620         10/26/20           in the Matter of Capitol Securities Management, Inc.         Stand-alone Admin. Proc.         14-2963         11/05/20           SEC V. Christopher W. Burns, et al.         Civil         1R-24963         11/12/20           In the Matter of Securities America Advisors, Inc.         Stand-alone Admin. Proc.         1A-5627         11/13/20           In the Matter of Securities America Advisors, Inc.         Stand-alone Admin. Proc.         1A-5626         11/13/20           In the Matter of Summit Financial Group, Inc.         Stand-alone Admin. Proc.         1A-5626         11/13/20           In the Matter of Summit Financial Group, Inc.         Civil         IR-25295         11/20/20           SEC V. Eugenio Garcia Jimenez, Jr.         Civil         IR-25295         11/20/120           In the Matter of Bancwest Investment Services, Inc.         Follow-on Admin. Proc.         34-90566         12/01/20           In the Matter of Bancwest Investment Services, Inc.         Stand-alone Admin. Proc.         34-9058         12/07/20           In the Matter of Bancwest Capital Management Limited         Stand-alone Admin. Proc.         34-9058         12/07/20           In the Matter of Bancwest Capital Management Lice, et al.         Civil         R-24980         12/11/20	·	Stand-alone Admin. Proc.		
In the Matter of Capitol Securities Management, Inc.   Stand-alone Admin. Proc.   IR-24963   11/10/20   In the Matter of Securities America Advisors, Inc.   Stand-alone Admin. Proc.   IR-3627   11/13/20   In the Matter of Securities America Advisors, Inc.   Stand-alone Admin. Proc.   IR-3627   11/13/20   In the Matter of Sournit Financial Group, Inc.   Stand-alone Admin. Proc.   IR-3629   11/13/20   In the Matter of Summit Financial Group, Inc.   Stand-alone Admin. Proc.   IR-3626   11/13/20   In the Matter of Summit Financial Group, Inc.   Stand-alone Admin. Proc.   IR-24975   12/01/20   In the Matter of Summit Financial Group, Inc.   Civil   IR-22501   12/01/20   In the Matter of Barndwest Investment Services, Inc.   Stand-alone Admin. Proc.   34-90568   11/20/20   In the Matter of Bancwest Investment Services, Inc.   Stand-alone Admin. Proc.   34-90568   12/07/20   In the Matter of Bancwest Investment Services, Inc.   Stand-alone Admin. Proc.   34-90585   12/07/20   In the Matter of Bancwest Investment Services, Inc.   Stand-alone Admin. Proc.   34-90585   12/07/20   In the Matter of ICE Data Pricing & Reference Data, LLC   Stand-alone Admin. Proc.   34-90585   12/07/20   In the Matter of ICE Data Pricing & Reference Data, LLC   Stand-alone Admin. Proc.   34-90585   12/07/20   In the Matter of Robert J. Lindner   Stand-alone Admin. Proc.   34-90781   12/14/20   In the Matter of Robert J. Lindner   Stond-alone Admin. Proc.   34-90781   12/14/20   In the Matter of Munish Sood   Follow-on Admin. Proc.   34-90781   12/21/20   In the Matter of Munish Sood   Stand-alone Admin. Proc.   34-90781   12/21/20   In the Matter of Musical Abdel Wadood   Stand-alone Admin. Proc.   34-90783   12/21/20   In the Matter of Musical Abdel Wadood   Stand-alone Admin. Proc.   34-9088   01/05/21   In the Matter of Musical Abdel Wadood   Stand-alone Admin. Proc.   34-9088   01/05/21   In the Matter of Musical Abdel Wadood   Stand-alone Admin. Proc.   34-9088   01/05/21   In the Matter of Matter Matter Matter of Musical Advisors, L		Follow-on Admin. Proc.		
SEC v. Christopher W. Burns, et al.   Civil   IR-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-5626   11/13/20   In the Matter of Graig Rumbaugh   Follow-on Admin. Proc.   IA-5626   11/13/20   SEC v. Eugenio Garcia Jimenez, Ir.   Civil   IR-24975   12/01/20   SEC v. Eugenio Garcia Jimenez, Ir.   Civil   IR-24975   12/01/20   In the Matter of Graig Rumbaugh   Follow-on Admin. Proc.   IR-25099   12/01/20   In the Matter of Barntwest Investment Services, Inc.   Follow-on Admin. Proc.   34-90566   12/04/20   In the Matter of Barntwest Investment Services, Inc.   Stand-alone Admin. Proc.   34-9056   12/08/20   In the Matter of Barntwest Investment Services, Inc.   Stand-alone Admin. Proc.   34-9058   12/07/20   In the Matter of IBueCrest Capital Management Limited   Stand-alone Admin. Proc.   34-9058   12/07/20   In the Matter of Barntwest Indinger   Follow-on Admin. Proc.   IR-24985   12/07/20   In the Matter of Robert I. Lindner   Follow-on Admin. Proc.   IR-24985   12/07/20   In the Matter of Robert I. Lindner   Follow-on Admin. Proc.   IR-24985   12/11/20   SEC v. TH Wealth Management, LLC, et al.   Civil   IR-24990   12/18/20   In the Matter of Munish Sood   Follow-on Admin. Proc.   34-9075   12/21/20   In the Matter of Mustafa Abdel Wadood   Stand-alone Admin. Proc.   34-9075   12/21/20   In the Matter of Mustafa Abdel Wadood   Stand-alone Admin. Proc.   34-9079   12/23/20   In the Matter of Proc. Securities, LLC   Stand-alone Admin. Proc.   34-9079   12/23/20   In the Matter of Proc. Securities, LLC   IR-25010   10/15/21   In the Matter of Proc. Securities, LLC   IR-25010   10/15/21   In the Matter of Proc. Securities, LLC   IR-25010   10/15/21   In the Matter of Proc. Securities, LLC   IR-25010   10/15/21   In the Matter of David Hu   IR-25010   10/15/21   IR-25010   10/15/21   IR-25010   10/15/21   IR-25010   10/15/21   In the Matter of David Hu   IR-25		Stand-alone Admin. Proc.		
In the Matter of Securities America Advisors, Inc.         Stand-alone Admin. Proc.         IA-5627         11/13/20           In the Matter of Syal Alliance Associates, Inc.         Stand-alone Admin. Proc.         IA-5626         11/13/20           In the Matter of Graig Rumbaugh         Follow-on Admin. Proc.         IA-5626         11/13/20           SEC V. Eugenio Garcia Jimenez, Ir.         Civil         IR. P4975         12/01/20           SEC V. Raquel Moura Borges, et al.         Civil         IR. P5209         12/01/20           In the Matter of BancWest Investment Services, Inc.         Stand-alone Admin. Proc.         34-90565         12/01/20           In the Matter of BlueCrest Capital Management Limited         Stand-alone Admin. Proc.         34-90685         12/07/20           In the Matter of Clast Patricing & Reference Data, LLC         Stand-alone Admin. Proc.         34-90685         12/07/20           SEC V. Taylealth Advisors, LLC, et al.         Civil         IR. 24985         12/11/20           SEC V. Taylealth Management, LLC, et al.         Civil         IR. 24985         12/11/20           SEC V. Taylealth Management, LLC, et al.         Civil         IR. 24990         12/12/20           In the Matter of Mustard Abdel Wadood         Stand-alone Admin. Proc.         34-90745         12/21/20           In the Matter of Mustard Abdel Wado				
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           SEC v. Eugenio Garcia Jimenez, Jr.         Civil         IR-24975         12/01/20           SEC v. Raquel Moura Borges, et al.         Civil         IR-25209         12/01/20           In the Matter of Parfait Mutimura         Follow-on Admin. Proc.         34-90586         12/04/20           In the Matter of BancWest Investment Services, Inc.         Stand-alone Admin. Proc.         34-90586         12/08/20           In the Matter of Bucerest Capital Management Limited         Stand-alone Admin. Proc.         34-90586         12/07/20           In the Matter of Silver Stand-alone Admin. Proc.         14-5643         12/08/20           In the Matter of GLC Data Pricing & Reference Data, LLC         Stand-alone Admin. Proc.         14-5647         12/14/20           In the Matter of Robert J. Lindner         Follow-on Admin. Proc.         18-5647         12/14/20           SEC v. CapWealth Management, LLC, et al.         Civil         IR-24993         12/12/20           In the Matter of Wunish Sood         Follow-on Admin. Proc.         34-90745         12/21/20           In the Matter of Wunish Sood         Stand-alone		Stand-alone Admin, Proc.		
In the Matter of Summit Financial Group, Inc.         Stand-alone Admin. Proc.         14,5626         11/13/20           In the Matter of Graig Rumbaugh         Follow-on Admin. Proc.         34-90508         11/24/20           SEC v. Eugenio Garcia Jimenez, Jr.         Civil         IR-25209         12/01/20           SEC v. Raquel Moura Borges, et al.         Civil         IR-25209         12/04/20           In the Matter of Parfait Mutimura         Follow-on Admin. Proc.         34-90566         12/04/20           In the Matter of BlucCrest Capital Management Limited         Stand-alone Admin. Proc.         33-90585         12/07/20           In the Matter of ICE Data Pricing & Reference Data, LLC         Stand-alone Admin. Proc.         33-10896         12/08/20           SEC v. CapWealth Advisors, LLC, et al.         Civil         IR-24985         12/11/20           In the Matter of Robert J. Lindner         Follow-on Admin. Proc.         14-5647         12/14/20           In the Matter of Munish Sood         Follow-on Admin. Proc.         34-90751         12/21/20           In the Matter of Munish Sood         Follow-on Admin. Proc.         34-90751         12/21/20           In the Matter of Munish Sood         Stand-alone Admin. Proc.         33-90745         12/21/20           In the Matter of Munish Sood         Stand-alone Admin. Proc.	•			
In the Matter of Craig Rumbaugh   Follow-on Admin. Proc.   34-90508   11/24/20   SEC v. Rugenio Garcia, Jimenez, Jr.   Civil   IR-24975   12/01/20   In the Matter of Darial Multimura   Follow-on Admin. Proc.   34-90566   12/04/20   In the Matter of BancWest Investment Services, Inc.   Stand-alone Admin. Proc.   34-90565   12/04/20   In the Matter of BancWest Investment Services, Inc.   Stand-alone Admin. Proc.   34-90565   12/04/20   In the Matter of BlueCrest Capital Management Limited   Stand-alone Admin. Proc.   34-90565   12/08/20   In the Matter of IEC Data Pricing & Reference Data, LLC   Stand-alone Admin. Proc.   IA-5643   12/09/20   In the Matter of ICC Data Pricing & Reference Data, LLC   Stand-alone Admin. Proc.   IA-5647   12/14/20   In the Matter of Robert J. Lindner   Follow-on Admin. Proc.   IA-5647   12/14/20   In the Matter of Robert J. Lindner   Follow-on Admin. Proc.   IA-5647   12/14/20   In the Matter of Munish Sood   Follow-on Admin. Proc.   IA-90951   12/21/20   In the Matter of Woya Financial Advisors, Inc.   Stand-alone Admin. Proc.   34-90751   12/21/20   In the Matter of Munish Sood   Sollow-on Admin. Proc.   IA-90951   12/21/20   In the Matter of Munish Sood   Stand-alone Admin. Proc.   IA-90951   12/21/20   In the Matter of Pruco Securities, LLC   Stand-alone Admin. Proc.   IA-9091   12/22/20   In the Matter of Barry F. Connell   Follow-on Admin. Proc.   IA-90948   11/05/21   In the Matter of Munish Sood   IA-90948   IA-90948   IA-90949   IA-	·			
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 Parfalt Mutimura         Follow-on Admin. Proc.         34-90586         12/04/20           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.         13-6643         12/09/20           SEC v. CapWealth Advisors, LLC, et al.         Civil         LR-24985         12/11/20           SEC v. TW Wealth Management, LLC, et al.         Civil         LR-24990         12/14/20           SEC v. TW Wealth Management, LLC, et al.         Civil         LR-24991         12/14/20           SEC v. TW Wealth Management, LLC, et al.         Civil         LR-24993         12/11/20           In the Matter of Muster of Woya Financial Advisors, Inc.         Stand-alone Admin. Proc.         34-90745         12/21/20           SEC v. Th Wealth Matter of Muster of Wroce Securities, LLC         Stand-alone Admin. Proc.         33-10912         12/21/20           In the Matter of Muster of M	• •			
SEC v. Raquel Moura Borges, et al.				
In the Matter of Pariat Mutimura   Follow-on Admin. Proc.   34-90565   12/04/20   10 the Matter of BlueCrest Capital Management Limited   Stand-alone Admin. Proc.   34-90585   12/07/20   10 the Matter of BlueCrest Capital Management Limited   Stand-alone Admin. Proc.   14-5643   12/08/20   10 the Matter of ICE Data Pricing & Reference Data, LLC   Stand-alone Admin. Proc.   14-5643   12/09/20   11 the Matter of Robert J. Lindner   Follow-on Admin. Proc.   14-5647   12/14/20   12				
In the Matter of BancWest Investment Services, Inc.				
In the Matter of BlueCrest Capital Management Limited   Stand-alone Admin. Proc.   1A-5643   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   IR-24985   12/11/20   In the Matter of Robert J. Lindner   Follow-on Admin. Proc.   IA-5647   12/14/20   In the Matter of Robert J. Lindner   Follow-on Admin. Proc.   IA-5647   12/14/20   In the Matter of Munish Sood   Follow-on Admin. Proc.   34-90745   12/21/20   In the Matter of Voya Financial Advisors, Inc.   Stand-alone Admin. Proc.   34-90745   12/21/20   In the Matter of Voya Financial Advisors, Inc.   Stand-alone Admin. Proc.   34-90745   12/21/20   In the Matter of Mustafa Abdel Wadood   Stand-alone Admin. Proc.   34-90790   12/23/20   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.   34-90790   12/23/20   In the Matter of Michelle Morton   Follow-on Admin. Proc.   34-90848   01/05/21   In the Matter of Advanced Practice Advisors, LLC, et al.   Stand-alone Admin. Proc.   IA-5663   01/06/21   In the Matter of Reginal Buddy Ringgold, III, a/k/a Rasool Abdul   Razional Admin. Proc.   IA-5670   01/15/21   SEC v. Michael Sztrom, et al.   Stand-alone Admin. Proc.   IA-5670   01/15/21   Rahim El   In the Matter of Reginal Buddy Ringgold, III, a/k/a Rasool Abdul   Follow-on Admin. Proc.   IA-5679   01/29/21   In the Matter of Barry F. Constant Proc.   IA-5679   01/29/21   In the Matter of Mathew Martoma   Follow-on Admin. Proc.   IA-5679   01/29/21   In the Matter of Mathew Martoma   Follow-on Admin. Proc.   IA-5679   02/04/21   SEC v. Baiba L. Goodman   Follow-on Admin. Proc.   IA-5684   03/02/21   SEC v. Isaiah L. Goodman   Follow-on Admin. Proc.   IA-5684   03/02/21   In the Matter of Minslow, Evans & Crocker, Inc.   Stand-alone Admin. Proc.   IA-5694   03/02/21   In the Matter of Follow-on Admin. Proc.   IA-5694   03/02/21   In the Matter of Winslow,				
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   IR-24985   12/11/20   In the Matter of Robert 1. Lindner   Follow-on Admin. Proc.   IR-24990   12/18/20   SEC v. TH Wealth Management, LLC, et al.   Civil   IR-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.   34-90751   12/21/20   SEC v. Charles Samel   Civil   IR-24993   12/21/20   In the Matter of Mustafa Abdel Wadood   Stand-alone Admin. Proc.   33-10912   12/22/20   In the Matter of Barry F. Connell   Follow-on Admin. Proc.   34-90848   01/05/21   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.   34-90848   01/05/21   In the Matter of Advanced Practice Advisors, LLC, et al.   Stand-alone Admin. Proc.   IA-5663   01/06/21   In the Matter of Michelle Morton   Follow-on Admin. Proc.   IA-5670   01/14/21   SEC v. Jacob C. Glick   Civil   IR-25010   01/15/21   In the Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul   Rindle Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul   Rindle Matter of David Hu   Follow-on Admin. Proc.   IA-5675   01/29/21   In the Matter of David Hu   Follow-on Admin. Proc.   IA-5675   01/29/21   In the Matter of David Hu   Follow-on Admin. Proc.   IA-5675   01/29/21   In the Matter of Mathew Martoma   Follow-on Admin. Proc.   IA-5679   02/04/21   SEC v. SpB Capital Holdings, LLC, et al.   Civil   UR-25001   02/04/21   SEC v. SpB Capital Holdings, LLC, et al.   Civil   UR-25006   02/08/21   In the Matter of Mathew Martoma   Follow-on Admin. Proc.   IA-5680   02/08/21   In the Matter of Follow-on Admin. Proc.   IA-5680   02/08/21   In the Matter of Goodman   Follow-on Admin. Proc.   IA-5694   03/02/21   In the Matter of Gregory Moats Sampson   Follow-on Admin. Proc.   IA-5694   03/02/21   In the Matter o	•			
SEC v. CapWealth Advisors, LLC, et al.         Civil         LR-24985         12/11/20           In the Matter of Robert J. Lindner         Follow-on Admin. Proc.         1A-5647         12/14/20           SEC v. TH Wealth Management, LLC, et al.         Civil         1R-24990         12/13/20           In the Matter of Wunish Sood         Follow-on Admin. Proc.         34-90751         12/21/20           In the Matter of Wunish Sood         Stand-alone Admin. Proc.         34-90745         12/21/20           SEC v. Charles Samel         Civil         LR-24993         12/21/20           In the Matter of Mustaff Abdel Wadood         Stand-alone Admin. Proc.         33-10912         12/22/20           In the Matter of Barry F. Connell         Follow-on Admin. Proc.         34-90790         12/23/20           In the Matter of Michelle Morton         Follow-on Admin. Proc.         1A-5663         01/06/21           In the Matter of Advanced Practice Advisors, LLC, et al.         Stand-alone Admin. Proc.         1A-5670         01/14/21           SEC v. Michael Sztrom, et al.         Civil         LR-25010         01/15/21           SEC v. Jacob C. Glick         Civil         LR-25010         01/15/21           In the Matter of Reginald Buddy Ringgold, Ill, a/k/a Rasool Abdul         Follow-on Admin. Proc.         1A-5679         02/04/21				
In the Matter of Robert J. Lindner SEC v. TH Wealth Management, LLC, et al. Civil R-24990 12/18/20 In the Matter of Munish Sood Follow-on Admin. Proc. 34-90751 12/21/20 In the Matter of Woya Financial Advisors, Inc. Stand-alone Admin. Proc. 34-90745 12/21/20 SEC v. Charles Samel Civil LR-24993 12/21/20 In the Matter of Noya Financial Advisors, Inc. Stand-alone Admin. Proc. 34-90745 12/21/20 In the Matter of Mustafa Abdel Wadood Stand-alone Admin. Proc. 34-90790 12/23/20 In the Matter of Pruco Securities, LLC Stand-alone Admin. Proc. 34-90848 01/05/21 In the Matter of Barry F. Connell Follow-on Admin. Proc. 34-90848 01/05/21 In the Matter of Barry F. Connell Follow-on Admin. Proc. 14-5663 01/06/21 In the Matter of Advanced Practice Advisors, LLC, et al. Stand-alone Admin. Proc. 14-5663 01/14/21 SEC v. Michael Sztrom, et al. Civil LR-25010 01/15/21 SEC v. Jacob C. Glick Civil LR-25010 01/15/21 In the Matter of Reginald Buddy Ringgold, Ill, a/k/a Rasool Abdul Rollow-on Admin. Proc. 14-5671 01/21/21 Rahim El In the Matter of Daniel Investments Associates, LLC, et al. Stand-alone Admin. Proc. 14-5671 01/21/21 In the Matter of Daniel Investments Associates, LLC, et al. Stand-alone Admin. Proc. 14-5671 01/21/21 In the Matter of Daniel Investments Associates, LLC, et al. Stand-alone Admin. Proc. 14-5675 01/29/21 In the Matter of Daniel Investments Associates, LLC, et al. Follow-on Admin. Proc. 14-5679 02/04/21 In the Matter of Mathew Martoma SEC v. GPB Capital Holdings, LLC, et al. Civil 2021-24 02/04/21 In the Matter of Mathew Martoma SEC v. GPB Capital Holdings, LLC, et al. Civil 2021-24 02/04/21 In the Matter of Mathew Martoma Follow-on Admin. Proc. 14-5680 02/05/21 In the Matter of Derek Payne Burcham Follow-on Admin. Proc. 14-5680 02/05/21 In the Matter of Oerek Payne Burcham Follow-on Admin. Proc. 14-5680 02/05/21 In the Matter of Oerek Payne Burcham Follow-on Admin. Proc. 14-5680 02/05/21 In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. 14-5690 03/02/21 In the Matter of World Tree Financial, LLC				
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 Woya Financial Advisors, Inc.         Stand-alone Admin. Proc.         34-90745         12/21/20           SEC v. Charles Samel         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 Bury F. Connell         Follow-on Admin. Proc.         34-90884         01/05/21           In the Matter of Michelle Morton         Follow-on Admin. Proc.         1A-5663         01/06/21           In the Matter of Advanced Practice Advisors, LLC, et al.         Stand-alone Admin. Proc.         1A-5663         01/06/21           SEC v. Michael Sztrom, et al.         Civil         LR-25010         01/15/21         01/15/21           SEC v. Michael Sztrom, et al.         Civil         LR-25010         01/15/21         01/15/21           SEC v. Michael Strom, et al.         Civil         LR-25010         01/15/21         01/15/21           In the Matter of Reginald Buddy Ringgold, Ill, a/k/a Rasool Abdul         Follow-on Admin. Proc.         IA-5671         01/21/21         01/15/21           In the Matt	, ,	-		
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   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.   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 Pruco Securities, LLC   Stand-alone Admin. Proc.   34-90848   01/05/21   In the Matter of Michelle Morton   Follow-on Admin. Proc.   14-5663   01/06/21   In the Matter of Advanced Practice Advisors, LLC, et al.   Stand-alone Admin. Proc.   14-5670   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   EL R. Stand-alone Admin. Proc.   14-5671   01/15/21   EL R. Stand-alone Admin. Proc.   14-5671   01/15/21   In the Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul   Follow-on Admin. Proc.   14-5675   01/29/21   In the Matter of Daniel Investments Associates, LLC, et al.   Stand-alone Admin. Proc.   14-5675   01/29/21   In the Matter of Daniel Investments Associates, LLC, et al.   Follow-on Admin. Proc.   14-5675   02/04/21   In the Matter of Mathew Martoma   Follow-on Admin. Proc.   14-5680   02/05/21   SEC v. GPB Capital Holdings, LLC, et al.   Civil   2021-24   02/04/21   In the Matter of Mathew Martoma   Follow-on Admin. Proc.   14-5680   02/05/21   In the Matter of Derek Payne Burcham   Follow-on Admin. Proc.   14-5680   02/05/21   In the Matter of Derek Payne Burcham   Follow-on Admin. Proc.   14-5694   03/02/21   In the Matter of Gregory Moats Sampson   Follow-on Admin. Proc.   14-5694   03/02/21   SEC v. George Heckler   Civil   LR-25041   03/02/21   In the Matter of Winslow, Evans & Crocker, Inc.   Giolow-on Admin. Proc.   14-5694   03/02/21   In the Matter of World Tree Financial, LLC   Follow-on Admin. Proc.   34-91379   03/22/21   In the Matter of World				
In the Matter of Voya Financial Advisors, Inc.   Stand-alone Admin. Proc.   34-90745   12/21/20				
SEC v. Charles Samel         Civil         IR-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. Jacob C. Gilck         Civil         IR-25011         01/15/21           SEC V. Jacob C. Gilck         Civil         IR-25011         01/15/21           In the Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul         Follow-on Admin. Proc.         IA-5671         01/21/21           Rahim El         In the Matter of Daniel Investments Associates, LLC, et al.         Stand-alone Admin. Proc.         IA-5675         01/29/21           In the Matter of Mathew Martoma         Follow-on Admin. Proc.         IA-5675         01/29/21           In the Matter of Mathew Martoma         Follow-on Admin. Proc.         IA-5680         02/04/21           SEC v. GPB Capital Holdings, LLC, et al.				
In the Matter of Mustafa Abdel Wadood In the Matter of Pruco Securities, LLC In the Matter of Pruco Securities, LLC In the Matter of Pruco Securities, LLC In the Matter of Barry F. Connell In the Matter of Barry F. Connell In the Matter of Barry F. Connell In the Matter of Michelle Morton In the Matter of Michelle Morton In the Matter of Advanced Practice Advisors, LLC, et al. SEC v. Michael Sztrom, et al. SEC v. Michael Sztrom, et al. SEC v. Jacob C. Glick Civil LR-25011 In the Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul Rahim El In the Matter of Daniel Investments Associates, LLC, et al. Stand-alone Admin. Proc. In the Matter of Daniel Investments Associates, LLC, et al. Stand-alone Admin. Proc. In the Matter of David Hu In the Matter of David Hu In the Matter of Mathew Martoma SEC v. GPB Capital Holdings, LLC, et al. SEC v. Isaiah L. Goodman Civil SEC v. Isaiah L. Goodman Civil SEC v. Isaiah L. Goodman Civil SEC v. Isaiah L. Goodman Follow-on Admin. Proc. In the Matter of Derek Payne Burcham Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Winslow, Evans & Crocker, Inc. Stand-alone Admin. Proc. In the Sequence of Civil In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Winslow, Evans & Crocker, Inc. Stand-alone Admin. Proc. In the Sequence of Civil In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Sequence of Civil In the Matter of Follow-on Admin. Proc. In the Matter of Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of Troy E. Marchand Stand-alone Admin. Proc. In the Matter of Troy E. Marchand Stand-alone Admin. P				
In the Matter of Pruco Securities, LLC In the Matter of Barry F. Connell In the Matter of Michelle Morton In the Matter of Advanced Practice Advisors, LLC, et al. In the Matter of Advanced Practice Advisors, LLC, et al. In the Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul Reginal El In the Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul Robert of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of David Hu In the Matter of Mathew Martoma Follow-on Admin. Proc. In the Matter of Mathew Martoma Follow-on Admin. Proc. In the Matter of Mathew Martoma Follow-on Admin. Proc. In the Matter of Rosedale Asset Management, LLC, f/k/a Princeton Advisory Wealth Management, LLC SEC v. GPB Capital Holdings, LLC, et al. In the Matter of Rosedale Asset Management, LLC, f/k/a Princeton Advisory Wealth Management, LLC SEC v. Isaiah L. Goodman Civil LR 25026 O2/08/21 In the Matter of Oerek Payne Burcham Follow-on Admin. Proc. In 5683 O2/11/21 In the Matter of Winslow, Evans & Crocker, Inc. Stand-alone Admin. Proc. In 5694 O3/02/21 In the Matter of Winslow, Evans & Crocker, Inc. Stand-alone Admin. Proc. In 5694 O3/02/21 In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. In 5694 O3/02/21 In the Matter of Wesley Kyle Perkins Follow-on Admin. Proc. In 5694 O3/02/21 In the Matter of Wesley Kyle Perkins Follow-on Admin. Proc. In 5694 O3/02/21 In the Matter of Tyle Enancial, LLC Follow-on Admin. Proc. In 5694 O3/02/21 In the Matter of Tyle Enancial, LLC Follow-on Admin. Proc. In 5694 O3/02/21 In the Matter of Tyle C. Sadek Stand-alone Admin. Proc. In 5690 O3/22/21 In the Matter of Tyle C. Sadek Stand-alone Admin. Proc. In 5690 O3/22/21 In the Matter				
In the Matter of Barry F. Connell In the Matter of Michelle Morton In the Matter of Michelle Morton In the Matter of Michelle Morton In the Matter of Advanced Practice Advisors, LLC, et al. SEC v. Michael Sztrom, et al. SEC v. Michael Sztrom, et al. SEC v. Jacob C. Glick Civil LR-25011 In the Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul Rahim El In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Mul In the Matter of Mathew Martoma SEC v. GPB Capital Holdings, LLC, et al. In the Matter of Rosedale Asset Management, LLC, f/k/a Princeton Advisory Wealth Management, LLC SEC v. Isaiah L. Goodman Civil In the Matter of Derek Payne Burcham Follow-on Admin. Proc. IA-5680 O2/05/21 In the Matter of Oerek Payne Burcham Follow-on Admin. Proc. IA-5683 O2/11/21 In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. IA-5680 O2/02/21 In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. IA-5680 O2/02/21 In the Matter of Winslow, Evans & Crocker, Inc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. IA-5694 O3/02/21 In the Matter of Winslow Haarman, et al. Civil LR-25047 O3/02/21 In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. IA-5690 O3/22/21 In the Matter of Wesley Kyle Perkins Follow-on Admin. Proc. Stand-alone Admin. Proc. O3/22/21 In the Matter of Wesley Kyle Perkins Follow-on Admin. Proc. O3/22/21 In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. O3/22/21 In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. O3/22/21 In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. O3/22/21 In the Matter of Tyler C. Sadek				
In the Matter of Michelle Morton In the Matter of Advanced Practice Advisors, LLC, et al. Stand-alone Admin. Proc. IA-5663 01/06/21 SEC v. Michael Sztrom, et al. Civil LR-25010 01/15/21 SEC v. Jacob C. Glick In the Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul Rahim EI In the Matter of Daniel Investments Associates, LLC, et al. Stand-alone Admin. Proc. IA-5671 01/21/21 In the Matter of David Hu In the Matter of David Hu In the Matter of Mathew Martoma SEC v. GPB Capital Holdings, LLC, et al. In the Matter of Rosedale Asset Management, LLC, f/k/a Princeton Advisory Wealth Management, LLC SEC v. Isaiah L. Goodman In the Matter of Oerek Payne Burcham In the Matter of Winslow, Evans & Crocker, Inc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. Stand-alone Admin. Proc. IA-5680 02/08/21 In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. Stand-alone Admin. Proc. IA-5680 02/08/21 In the Matter of Winslow, Evans & Crocker, Inc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. IA-5680 03/02/21 SEC v. Paul W. Haarman, et al. Civil LR-25011 In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. IA-5694 03/02/21 In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. IA-5693 03/02/21 In the Matter of World Tree Financial, LLC SEC v. Paul W. Haarman, et al. Stand-alone Admin. Proc. IA-5700 03/22/21 In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. Stand-alone Admin. Proc. IA-5700 03/22/21 In the Matter of World Tree Financial, LLC Sec V. Stand-alone Admin. Proc. Stand-alone Admin. Proc. Stand-alone Admin. Proc. IA-5700 03/22/21 In the Matter of Tyle C. Sadek Stand-alone Admin. Proc. Stand-alon	·			
In the Matter of Advanced Practice Advisors, LLC, et al.  SEC v. Michael Sztrom, et al.  SEC v. Jacob C. Glick In the Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul Rahim EI  In the Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul Rahim EI  In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Mathew Martoma SEC v. GPB Capital Holdings, LLC, et al. In the Matter of Rosedale Asset Management, LLC, f/k/a Princeton Advisory Wealth Management, LLC  SEC v. Isaiah L. Goodman Civil In the Matter of Derek Payne Burcham Follow-on Admin. Proc. In the Matter of Winslow, Evans & Crocker, Inc. In the Matter of Gegory Moats Sampson Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Winslow, Evans & Crocker, Inc. In the Matter of Saiah L. Goodman Follow-on Admin. Proc. In the Matter of Saiah L. Goodman Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of Wesley Kyle Perkins Follow-on Admin. Proc. In the Matter of Tyle C. Marchand Stand-alone Admin. Proc. In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. In the Matter of Tyler C. Sadek				
SEC v. Michael Sztrom, et al.  SEC v. Jacob C. Glick In the Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul Rollin the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Mathew Martoma Follow-on Admin. Proc. IA-5675 O1/29/21 In the Matter of Mathew Martoma Follow-on Admin. Proc. IA-5679 SEC v. GPB Capital Holdings, LLC, et al. In the Matter of Rosedale Asset Management, LLC, f/k/a Princeton Advisory Wealth Management, LLC SEC v. Isaiah L. Goodman Civil In the Matter of Derek Payne Burcham In the Matter of Winslow, Evans & Crocker, Inc. In the Matter of Winslow, Evans & Crocker, Inc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. IA-5683 O2/11/21 SEC v. George Heckler Civil IR-25047 O3/09/21 SEC v. George Heckler Civil IR-25047 O3/09/21 SEC v. Paul W. Haarman, et al. In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. IA-5694 O3/02/21 In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. IA-5690 O3/02/21 In the Matter of Wesley Kyle Perkins Follow-on Admin. Proc. J4-91379 O3/22/21 In the Matter of Troy E. Marchand Stand-alone Admin. Proc. J4-91378 O3/22/21 In the Matter of Troy E. Marchand Stand-alone Admin. Proc. J4-91379 O3/22/21 In the Matter of Troy E. Marchand Stand-alone Admin. Proc. J4-91370 O3/22/21 In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. J4-91401 O3/24/21 In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. J4-91401 O3/24/21 In the Matter of Tyler C. Sadek				
SEC v. Jacob C. Glick In the Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul Rahim El In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of David Hu Follow-on Admin. Proc. In the Matter of David Hu Follow-on Admin. Proc. In the Matter of Mathew Martoma Follow-on Admin. Proc. In the Matter of Mathew Martoma Follow-on Admin. Proc. In the Matter of Rosedale Asset Management, LLC, f/k/a Princeton Advisory Wealth Management, LLC SEC v. Isaiah L. Goodman Civil In the Matter of Derek Payne Burcham In the Matter of Derek Payne Burcham In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of Troy E. Marchand Stand-alone Admin. Proc. In the Matter of Troy E. Marchand Stand-alone Admin. Proc. In the Matter of Troy E. Marchand Stand-alone Admin. Proc. In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. In the Matter of Tyler C. Sadek	• •			
In the Matter of Reginald Buddy Ringgold, III, a/k/a Rasool Abdul Rahim El In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of Daniel Investments Associates, LLC, et al. In the Matter of David Hu Follow-on Admin. Proc. IA-5675 O1/29/21 In the Matter of Mathew Martoma Follow-on Admin. Proc. IA-5679 O2/04/21 SEC v. GPB Capital Holdings, LLC, et al. In the Matter of Rosedale Asset Management, LLC, f/k/a Princeton Advisory Wealth Management, LLC SEC v. Isaiah L. Goodman Civil In the Matter of Derek Payne Burcham Follow-on Admin. Proc. IA-5683 O2/11/21 In the Matter of Winslow, Evans & Crocker, Inc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. IA-5694 O3/02/21 SEC v. George Heckler Civil In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. IA-5694 O3/09/21 SEC v. Paul W. Haarman, et al. Civil In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. IA-5700 O3/22/21 In the Matter of World Tree Financial, LLC In the Matter of World Tree Financial, LLC In the Matter of Wesley Kyle Perkins Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC In the Matter of Troy E. Marchand Stand-alone Admin. Proc. In the Matter of Troy E. Marchand Stand-alone Admin. Proc. In the Matter of Troy E. Marchand Stand-alone Admin. Proc. In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. IA-5707 O3/24/21 In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. IA-5707 O3/24/21 In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. IA-5707 O3/24/21 In the Matter of Tyler C. Sadek	•			
Rahim El  In the Matter of Daniel Investments Associates, LLC, et al.  In the Matter of David Hu In the Matter of David Hu In the Matter of Mathew Martoma Follow-on Admin. Proc. IA-5679 SEC v. GPB Capital Holdings, LLC, et al. In the Matter of Rosedale Asset Management, LLC, f/k/a Princeton Advisory Wealth Management, LLC SEC v. Isaiah L. Goodman Civil In the Matter of Derek Payne Burcham In the Matter of Derek Payne Burcham In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Isaiah L. Goodman In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of Troy E. Marchand Stand-alone Admin. Proc. In the Matter of Troy E. Marchand Stand-alone Admin. Proc. In the Matter of Troy E. Marchand In the Matter of Troy E. Marchand Stand-alone Admin. Proc. In the Matter of Troy E. Marchand In the Matter of Troy E. Marchand Stand-alone Admin. Proc. In the Matter of Troy E. Marchand In the Mat				
In the Matter of Daniel Investments Associates, LLC, et al.  In the Matter of David Hu  Follow-on Admin. Proc.  IA-5675  01/29/21  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  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. IA-5683  02/11/21  In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. IA-5694  03/02/21  SEC v. George Heckler Civil LR-25047  SEC v. Paul W. Haarman, et al. In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. IA-5694  03/09/21  SEC v. Paul W. Haarman, et al. In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. IA-5700  03/22/21  In the Matter of Wesley Kyle Perkins Follow-on Admin. Proc. 34-91379  03/22/21  In the Matter of Wesley Kyle Perkins Follow-on Admin. Proc. 34-91379  03/22/21  In the Matter of Troy E. Marchand Stand-alone Admin. Proc. 34-91379  03/24/21  In the Matter of Troy E. Marchand Stand-alone Admin. Proc. IA-5707  03/24/21  In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. IA-5707  03/24/21		Follow-on Admin. Proc.	IA-56/1	01/21/21
In the Matter of David Hu In the Matter of Mathew Martoma Follow-on Admin. Proc. In the Matter of Mathew Martoma Follow-on Admin. Proc. F		Stand along Admin Dros	IA EC7E	01/20/21
In the Matter of Mathew Martoma  Follow-on Admin. Proc. IA-5679 02/04/21  SEC v. GPB Capital Holdings, LLC, et al.  In the Matter of Rosedale Asset Management, LLC, f/k/a Princeton Advisory Wealth Management, LLC  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.  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. 34-91401 03/24/21  In the Matter of Tyler C. Sadek  Stand-alone Admin. Proc. IA-5707 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				
SEC v. GPB Capital Holdings, LLC, et al.  In the Matter of Rosedale Asset Management, LLC, f/k/a Princeton Advisory Wealth Management, LLC  SEC v. Isaiah L. Goodman In the Matter of Derek Payne Burcham In the Matter of Winslow, Evans & Crocker, Inc. Stand-alone Admin. Proc. In the Matter of Gregory Moats Sampson In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. SEC v. George Heckler SEC v. George Heckler SEC v. Paul W. Haarman, et al. In the Matter of Isaiah L. Goodman In the Matter of World Tree Financial, LLC In the Matter of World Tree Financial, LLC SEC v. Paul W. Haarman, et Service SEC v. Paul W. Haarman Service SEC v. Dauglas E. Service SEC v. Douglas E. Elstun				
In the Matter of Rosedale Asset Management, LLC, f/k/a Princeton Advisory Wealth Management, LLC  SEC v. Isaiah L. Goodman In the Matter of Derek Payne Burcham In the Matter of Winslow, Evans & Crocker, Inc. In the Matter of Gregory Moats Sampson SEC v. George Heckler SEC v. Paul W. Haarman, et al. In the Matter of Isaiah L. Goodman In the Matter of Segory Moats Sampson SEC v. Paul W. Haarman, et al. In the Matter of Isaiah L. Goodman In the Matter of Segory Moats Sampson SEC v. Paul W. Haarman, et al. In the Matter of Isaiah L. Goodman In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of World Tree Financial, LLC In the Matter of Wesley Kyle Perkins Follow-on Admin. Proc. In the Matter of Troy E. Marchand Stand-alone Admin. Proc. 34-91378 33/22/21 In the Matter of Scott T. Wolfrum Stand-alone Admin. Proc. IA-5707 33/24/21 In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. IA-5707 33/24/21 In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. IA-5707 33/24/21 In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. IA-5707 33/24/21 In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. IA-5707 33/24/21 In the Matter of Tyler C. Sadek				
Advisory Wealth Management, LLC  SEC v. Isaiah L. Goodman In the Matter of Derek Payne Burcham In the Matter of Winslow, Evans & Crocker, Inc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. Stand-alone Admin. Proc. IA-5683 O2/11/21 In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. IA-5694 O3/02/21 SEC v. George Heckler Civil LR-25047 O3/09/21 SEC v. Paul W. Haarman, et al. Civil LR-25051 O3/11/21 In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. IA-5700 O3/22/21 In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. O3/4-91379 O3/22/21 In the Matter of Wesley Kyle Perkins Follow-on Admin. Proc. O3/4-91378 O3/22/21 In the Matter of Troy E. Marchand Stand-alone Admin. Proc. O3/4-91401 O3/24/21 In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. IA-5707 O3/24/21 In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. O3/29/21		-		
SEC v. Isaiah L. Goodman In the Matter of Derek Payne Burcham In the Matter of Derek Payne Burcham In the Matter of Winslow, Evans & Crocker, Inc. In the Matter of Winslow, Evans & Crocker, Inc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. IA-5694 O3/02/21 SEC v. George Heckler Civil LR-25047 O3/09/21 SEC v. Paul W. Haarman, et al. Civil LR-25051 O3/11/21 In the Matter of Isaiah L. Goodman Follow-on Admin. Proc. IA-5700 O3/22/21 In the Matter of World Tree Financial, LLC Follow-on Admin. Proc. In the Matter of Wesley Kyle Perkins Follow-on Admin. Proc. In the Matter of Troy E. Marchand Stand-alone Admin. Proc. In the Matter of Scott T. Wolfrum Stand-alone Admin. Proc. IA-5707 O3/24/21 In the Matter of Tyler C. Sadek Stand-alone Admin. Proc. IA-5707 O3/24/21 SEC v. Douglas E. Elstun Civil LR-25061 O3/29/21		Stand-alone Admin. Proc.	IA-5080	02/05/21
In the Matter of Derek Payne Burcham In the Matter of Winslow, Evans & Crocker, Inc. In the Matter of Gregory Moats Sampson Follow-on Admin. Proc. Stand-alone Admin. Proc. IA-5683 02/11/21 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. 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	- · · · · · · · · · · · · · · · · · · ·	Ciil	1.0.05006	02/02/24
In the Matter of Winslow, Evans & Crocker, Inc.  In the Matter of Gregory Moats Sampson  Follow-on Admin. Proc.  IA-5694  O3/02/21  SEC v. George Heckler  Civil  LR-25047  O3/09/21  SEC v. Paul W. Haarman, et al.  In the Matter of Isaiah L. Goodman  Follow-on Admin. Proc.  IA-5700  O3/22/21  In the Matter of World Tree Financial, LLC  Follow-on Admin. Proc.  IA-5700  O3/22/21  In the Matter of Wesley Kyle Perkins  Follow-on Admin. Proc.  In the Matter of Troy E. Marchand  Stand-alone Admin. Proc.  Stand-alone Admin. Proc.  34-91378  O3/22/21  In the Matter of Scott T. Wolfrum  Stand-alone Admin. Proc.  Stand-alone Admin. Proc.  IA-5707  O3/24/21  In the Matter of Tyler C. Sadek  Stand-alone Admin. Proc.  IA-5707  O3/24/21  SEC v. Douglas E. Elstun  Civil  LR-25061  O3/29/21				
In the Matter of Gregory Moats Sampson  SEC v. George Heckler  Civil  LR-25047  O3/09/21  SEC v. Paul W. Haarman, et al.  Civil  LR-25051  O3/11/21  In the Matter of Isaiah L. Goodman  Follow-on Admin. Proc.  IA-5700  O3/22/21  In the Matter of World Tree Financial, LLC  Follow-on Admin. Proc.  IA-91379  O3/22/21  In the Matter of Wesley Kyle Perkins  Follow-on Admin. Proc.  JA-91378  O3/22/21  In the Matter of Troy E. Marchand  Stand-alone Admin. Proc.  JA-91378  O3/22/21  In the Matter of Scott T. Wolfrum  Stand-alone Admin. Proc.  JA-91401  O3/24/21  In the Matter of Tyler C. Sadek  Stand-alone Admin. Proc.  IA-5707  O3/24/21  SEC v. Douglas E. Elstun  Civil  LR-25061  O3/29/21	·			
SEC v. George Heckler  SEC v. Paul W. Haarman, et al.  In the Matter of Isaiah L. Goodman  In the Matter of World Tree Financial, LLC  In the Matter of Wesley Kyle Perkins  In the Matter of Troy E. Marchand  In the Matter of Scott T. Wolfrum  Stand-alone Admin. Proc.  Stand-alone Admin. Proc.  34-91401  37/24/21  SEC v. Douglas E. Elstun  Civil  LR-25061  03/09/21  103/12/21  103/12/21  103/22/21  103/22/21  103/22/21  103/22/21  103/22/21  103/22/21  103/22/21  103/22/21  103/22/21  103/22/21  103/22/21				
SEC v. Paul W. Haarman, et al.  In the Matter of Isaiah L. Goodman  In the Matter of Isaiah L. Goodman  In the Matter of World Tree Financial, LLC  In the Matter of World Tree Financial, LLC  In the Matter of Wesley Kyle Perkins  In the Matter of Troy E. Marchand  In the Matter of Scott T. Wolfrum  In the Matter of Tyler C. Sadek  SEC v. Douglas E. Elstun  Civil  LR-25061  03/11/21  In the Matter of Isaiah L. Goodman  Follow-on Admin. Proc.  34-91379  34-91378  03/22/21  Stand-alone Admin. Proc.  34-91401  03/24/21  Stand-alone Admin. Proc.  IA-5707  03/24/21  SEC v. Douglas E. Elstun				
In the Matter of Isaiah L. Goodman In the Matter of World Tree Financial, LLC In the Matter of World Tree Financial, LLC In the Matter of Wesley Kyle Perkins Follow-on Admin. Proc. 34-91379 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 World Tree Financial, LLC In the Matter of Wesley Kyle Perkins In the Matter of Troy E. Marchand In the Matter of Scott T. Wolfrum In the Matter of Tyler C. Sadek SEC v. Douglas E. Elstun  Follow-on Admin. Proc. 34-91378 03/22/21 Sellow-on Admin. Proc. 34-91378 03/22/21 Stand-alone Admin. Proc. 33-10937 03/24/21 Stand-alone Admin. Proc. 1A-5707 03/24/21 SEC v. Douglas E. Elstun Civil LR-25061 03/29/21				
In the Matter of Wesley Kyle Perkins In the Matter of Troy E. Marchand In the Matter of Scott T. Wolfrum In the Matter of Tyler C. Sadek SEC v. Douglas E. Elstun  Follow-on Admin. Proc. 34-91378 O3/22/21 Stand-alone Admin. Proc. 34-91401 O3/24/21 Stand-alone Admin. Proc. IA-5707 O3/24/21 LR-25061 O3/29/21				
In the Matter of Troy E. Marchand In the Matter of Scott T. Wolfrum Stand-alone Admin. Proc. 33-10937 Stand-alone Admin. Proc. 34-91401 Stand-alone Admin. Proc. IA-5707 SEC v. Douglas E. Elstun Stand-alone Admin. Proc. IA-5707 Stand-alone Admin. Proc. IA-5707 O3/24/21 SEC v. Douglas E. Elstun Stand-alone Admin. Proc. IA-5707 O3/29/21	·			
In the Matter of Scott T. Wolfrum  In the Matter of Scott T. Wolfrum  Stand-alone Admin. Proc. 34-91401 03/24/21  Stand-alone Admin. Proc. IA-5707 03/24/21  SEC v. Douglas E. Elstun  Civil LR-25061 03/29/21				
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	•		33-10937	
SEC v. Douglas E. Elstun Civil LR-25061 03/29/21				
	·		IA-5707	
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			LR-25061	
	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

	Fallerin an Admin Duca		04/00/04
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
•	Stand-alone Admin. Proc.	IA-5790	07/26/21
In the Matter of Madden Funds Management, Ltd	Stand-alone Admin. Proc.		07/26/21
In the Matter of Madden Funds Management, Ltd.	Stand-alone Admin. Proc.	IA-5792 IA-5793	
In the Matter of Quantitative Asset Management, LLC In the Matter of Summit Financial Advisors, Inc.	Stand-alone Admin. Proc.		07/26/21 07/26/21
In the Matter of Embree Financial Group, Inc.	Stand-alone Admin. Proc.	IA-5794 IA-5791	07/26/21
• • • • • • • • • • • • • • • • • • • •	Stand-alone Admin. Proc.		
In the Matter of Paratus Financial, Inc. In the Matter of Harold Davidson & Associates, Inc.	Stand-alone Admin. Proc.	IA-5795	07/26/21 07/26/21
In the Matter of Haroid Davidson & Associates, inc.  In the Matter of Castle Wealth Planning, LLC	Stand-alone Admin. Proc.	IA-5797 IA-5796	07/26/21
In the Matter of Castle Wealth Planning, LLC  In the Matter of Eastside Financial Advisors, LLC	Stand-alone Admin. Proc.	IA-5796 IA-5800	07/26/21
In the Matter of Eastside Financial Advisors, LLC	Stand-alone Admin. Proc.	IA-5800 IA-5798	07/26/21
In the Matter of Conen Kingeristern, LLC  In the Matter of Dynamic Trading Management, LLC	Stand-alone Admin. Proc.	IA-5798 IA-5799	07/26/21
In the Matter of Bynamic Trading Management, LLC  In the Matter of Sauberan & Company, LLC	Stand-alone Admin. Proc.	IA-5799 IA-5801	07/26/21
In the Matter of Sauberan & Company, LLC  In the Matter of Mighty Oak Strong America Investment Company	Stand-alone Admin. Proc.		07/26/21
	Stand-alone Admin. Proc.	IA-5802	
In the Matter of O'Brien Greene & Co., Inc.	Stand-alone Aumin. 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	Stand-alone Admin. Proc.	IA-5832	08/25/21
Advisors, Inc. SEC v. Guillaume David Boccara	Civil	LD 25107	08/26/21
	Stand-alone Admin. Proc.	LR-25187	08/26/21
In the Matter of Educators Financial Services, Inc.		IA-5836	
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. Stand-alone Admin. Proc.	33-10970	08/30/21
In the Matter of KMS Financial Services, Inc.		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 &	09/21/21
	Ct. II	34-93090	00/02/24
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

	5 11		
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. Tolstedt	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 William G. Stiehl, CPA SEC v. Live Ventures Incorporated, et al. Civil In the Matter of National Beverage Corp. Stand-alor In the Matter of Gary S. Klein Stand-alor In the Matter of Gary S. Klein Stand-alor In the Matter of Pearson plc In the Matter of Healthcare Services Group, Inc., et al. Stand-alor In the Matter of Jonathan Brett Woodard In the Matter of Jonathan Brett Woodard In the Matter of Fareteum Corporation Stand-alor In the Matter of The Kraft Heinz Co., et al. SEC v. Klaus Hofmann Civil In the Matter of Carlos Javier Moctezuma Velasco In the Matter of Carlos Javier Moctezuma Velasco In the Matter of Ramón Lafarga Bátiz In the Matter of Ramón Lafarga Bátiz In the Matter of Ravindranathan Raghunathan, CPA, et al.  MARKET MANIPULATION  SEC v. John McAfee, et al. SEC v. Jilian Sidoti In the Matter of Mustafa David Sayid, Esq. In the Matter of Norman T. Reynolds, Esq. SEC v. Amir Bruno Elmaani, a/k/a Bruno Block In the Matter of Ronald Phillips, Esq. SEC v. Barton S. Ross SEC v. Arrayit Corporation, et al. SEC v. Sirve Schoengood, et al. SEC v. Andrew L. Fassari SEC v. Arrayit Corporation, et al. SEC v. Nicholas Kabylafkas SEC v. Wilness Matrix Group, Inc., et al. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Mardon Muller SEC v. Lorarie Abujudeh SEC v. Lorarie Abujudeh SEC v. Thereick L. Sharp, et al. SEC v. Thereick L. Sharp, et al. SEC v. Thereick L. Sharp, et al. SEC v. Timothy Page, et al. SEC v. Daniel Cattlin, et al. SEC v. Daniel Cattlin, et al.	ne Admin. Proc.	34-92540	08/02/2
SEC v. Live Ventures Incorporated, et al. In the Matter of National Beverage Corp. Stand-aloi In the Matter of Gary S. Klein In the Matter of Pearson plc In the Matter of Pearson plc In the Matter of Jonathan Brett Woodard In the Matter of The Kraft Heinz Co., et al. Stand-aloi In the Matter of The Kraft Heinz Co., et al. Stand-aloi In the Matter of Carlos Javier Moctezuma Velasco In the Matter of Carlos Javier Moctezuma Velasco In the Matter of Ramón Lafarga Bátiz Follow-on In the Matter of Roand R. Barr In the Matter of Roand Raghunathan, CPA, et al. Stand-aloi MARKET MANIPULATION  SEC v. John McAfee, et al. SEC v. John McAfee, et al. SEC v. Jilian Sidoti In the Matter of Norman T. Reynolds, Esq. Follow-on SEC v. Amir Bruno Elmaani, a/k/a Bruno Block In the Matter of Ronald Phillips, Esq. Follow-on SEC v. Arrayit Corporation, et al. SEC v. Bruce Schoengood, et al. SEC v. Nicholas Kabylafkas SEC v. Arrayit Corporation, et al. SEC v. Nicholas Kabylafkas SEC v. Nicholas Kabylafkas SEC v. Nicholas Kabylafkas SEC v. Vichinas Kabylafkas SEC v. Vichinas Kabylafkas SEC v. Vicholas Kabylafkas S	ne Admin. Proc.	34-92539	08/02/2
In the Matter of National Beverage Corp. In the Matter of Gary S. Klein In the Matter of Gary S. Klein In the Matter of Pearson plc In the Matter of Pearson plc In the Matter of Jonathan Brett Woodard In the Matter of The Kraft Heinz Co., et al. Stand-aloi SEC v. Klaus Hofmann Civil In the Matter of Leonard R. Barr In the Matter of Carloss Javier Moctezuma Velasco In the Matter of Samón Lafarga Bátiz Follow-on In the Matter of Noe Corrales Reyes In the Matter of Noe Corrales Reyes In the Matter of Ravindranathan Raghunathan, CPA, et al.  MARKET MANIPULATION  SEC v. John McAfee, et al. SEC v. Jillian Sidoti In the Matter of Mustafa David Sayid, Esq. Follow-on In the Matter of Norman T. Reynolds, Esq. Follow-on SEC v. Amir Bruno Elmaani, a/k/a Bruno Block Ivil In the Matter of Ronald Phillips, Esq. Follow-on SEC v. Barton S. Ross SEC v. Arrayit Corporation, et al. SEC v. Bruce Schoengood, et al. SEC v. Arrayit Corporation, et al. SEC v. Airborne Wireless Network, et al. SEC v. Airborne Wireless Network, et al. SEC v. Nicholas Kabylafkas SEC v. Nicholas Kabylafkas SEC v. V. Nicholas Kabylafkas SEC v. V. Nicholas Kabylafkas SEC v. V. Serve Shoengood, et al. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Mark A. Miller SEC v. Mark A. Miller SEC v. Lusi Jimenez Carrillo, et al. SEC v. C. V. Sarton SEC v. Amard Haris Tajyar, et al. SEC v. Almad Haris Tajyar, et al. SEC v. Touries, LLC, et al. In the Matter of Peter Dichiara In the Matter of Peter Dichiara In the Matter of Peter Dichiara In the Matter of Vuepeng Xie SEC v. Timothy Page, et al. SEC v. Suyun Gu, et al. In the Matter of Adam Heimann, et al. SEC v. Mark J. Melnick		LR-25155	08/02/2
In the Matter of Gary S. Klein In the Matter of Pearson plc In the Matter of Pearson plc In the Matter of Pearson plc In the Matter of Jonathan Brett Woodard In the Matter of Jonathan Brett Woodard In the Matter of Jonathan Brett Woodard In the Matter of The Kraft Heinz Co., et al. SEC v. Klaus Hofmann SEC v. Klaus Hofmann In the Matter of Leonard R. Barr In the Matter of Leonard R. Barr In the Matter of Carlos Javier Moctezuma Velasco In the Matter of Ramón Lafarga Bátiz In the Matter of Roe Corrales Reyes In the Matter of Roe Corrales Reyes In the Matter of Ravindranathan Raghunathan, CPA, et al.  MARKET MANIPULATION  SEC v. John McAfee, et al. SEC v. Jillian Sidoti In the Matter of Morthan T. Reynolds, Esq. In the Matter of Norman T. Reynolds, Esq. In the Matter of Norman T. Reynolds, Esq. SEC v. Barton S. Ross SEC v. Barton S. Ross SEC v. Arrayit Corporation, et al. SEC v. Barton S. Ross SEC v. Arrayit Corporation, et al. SEC v. Airborne Wireless Network, et al. SEC v. V. Sirone Wireless Network, et al. SEC v. V. Micholas Kabylafkas SEC v. Usicholas Kabylafkas SEC v. Usicholas Kabylafkas SEC v. Wark A. Miller SEC v. Burden S. A. Matter Group, Inc., et al. SEC v. Barton S. Ross SEC v. Wark A. Miller SEC v. Luis Jimenez Carrillo, et al. SEC v. Luis Jimenez Carrillo, et al. SEC v. Crederick L. Sharp, et al. SEC v. Timen Warter of Helikon Investments, Ltd. SEC v. Timen Watter of Helikon Investments, Ltd. SEC v. Timenthy Page, et al. SEC v. Suyun Gu, et al. In the Matter of Peter Dichiara In the Matter of Helikon Investments, Ltd. SEC v. Suyun Gu, et al. SEC v. Wark J. Melnick SEC v. Mark J. Melnick SEC v. Mark J. Melnick	ne Admin. Proc.	34-92560	08/04/2
In the Matter of Pearson plc In the Matter of Healthcare Services Group, Inc., et al. In the Matter of Healthcare Services Group, Inc., et al. In the Matter of Jonathan Brett Woodard In the Matter of Pareteum Corporation Stand-alor In the Matter of The Kraft Heinz Co., et al. SEC v. Klaus Hofmann In the Matter of Carlos Javier Moctezuma Velasco In the Matter of Carlos Javier Moctezuma Velasco In the Matter of Carlos Javier Moctezuma Velasco In the Matter of Ramón Lafarga Bátiz Follow-on In the Matter of Noe Corrales Reyes Follow-on In the Matter of Ravindranathan Raghunathan, CPA, et al.  MARKET MANIPULATION  SEC v. John McAfee, et al. SEC v. Amir Bruno Elmaani, a/k/a Bruno Block In the Matter of Norman T. Reynolds, Esq. Follow-on SEC v. Bruce Schoengood, et al. SEC v. Arrit Corporation, et al. SEC v. Arrit Corporation, et al. SEC v. Airborne Wireless Network, et al. SEC v. Wellnoas Kabylaffas SEC v. Wellness Matrix Group, Inc., et al. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Luis Jimenez Carrillo, et al. SEC v. Luis Jimenez Carrillo, et al. SEC v. Civil SEC v. Cycharlie Abujudeh SEC v. Luis Jimenez Carrillo, et al. SEC v. Almad Haris Tajyar, et al. SEC v. Timothy Page, et al. SEC v. Suyun Gu, et al. In the Matter of Adam Heimann, et al. SEC v. Mark J. Melnick SEC v. Mark J. Melnick	ne Admin. Proc.	34-92611	08/09/2
In the Matter of Healthcare Services Group, Inc., et al. In the Matter of Jonathan Brett Woodard In the Matter of Jonathan Brett Woodard In the Matter of Pareteum Corporation Stand-alor SEC v. Klaus Hofmann Civil In the Matter of The Kraft Heinz Co., et al. SEC v. Klaus Hofmann Civil In the Matter of Leonard R. Barr In the Matter of Carlos Javier Moctezuma Velasco In the Matter of Ramón Lafarga Bátiz Follow-on In the Matter of Ravindranathan Raghunathan, CPA, et al. Stand-alor MARKET MANIPULATION  SEC v. John McAfee, et al. SCC v. Jillian Sidoti In the Matter of Mustafa David Sayid, Esq. In the Matter of Mostafa David Sayid, Esq. Follow-on SEC v. Amir Bruno Elmaani, a/k/a Bruno Block In the Matter of Ronald Phillips, Esq. SEC v. Arrayit Corporation, et al. SEC v. Arrayit Corporation, et al. SEC v. Andrew L. Fassari SEC v. Andrew L. Fassari SEC v. Anirone Wireless Network, et al. SEC v. Usbong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan Goldman, et al. In the Matter of Amit Tandon, Esq. SEC v. Wark A. Miller SEC v. Wark A. Miller SEC v. Wark A. Miller SEC v. Wark and Matter of Carrillo, et al. SEC v. Wark A. Miller SEC v. Wark A. Miller SEC v. Luis Jimenez Carrillo, et al. SEC v. Luis Jimenez Carrillo, et al. SEC v. Civil SEC v. Crederick L. Sharp, et al. SEC v. Civil SEC v. Crederick L. Sharp, et al. SEC v. Timethy Page, et al. SEC v. Daniel Cattlin, et al. In the Matter of Peter Dichiara In the Matter of Helikon Investments, Ltd. SEC v. Timethy Page, et al. SEC v. Mark J. Melnick SEC v. Mark J. Melnick	ne Admin. Proc.	33-10963	08/16/2
In the Matter of Jonathan Brett Woodard In the Matter of Pareteum Corporation In the Matter of Pareteum Corporation SEC v. Klaus Hofmann Civil In the Matter of Leonard R. Barr In the Matter of Leonard R. Barr In the Matter of Carlos Javier Moctezuma Velasco In the Matter of Ramón Lafarga Bátiz In the Matter of Ramón Lafarga Bátiz In the Matter of Roe Corrales Reyes In the Matter of Ravindranathan Raghunathan, CPA, et al.  SEC v. John McAfee, et al. SEC v. John McAfee, et al. SEC v. John McAfee, et al. SEC v. John McAfee, et al. SEC v. Jillian Sidoti Civil In the Matter of Mustafa David Sayid, Esq. In the Matter of Morman T. Reynolds, Esq. SEC v. Amir Bruno Elmaani, a/k/a Bruno Block Civil In the Matter of Ronald Phillips, Esq. SEC v. Barton S. Ross SEC v. Arrayit Corporation, et al. SEC v. Arrayit Corporation, et al. SEC v. Airobrne Wireless Network, et al. SEC v. Nicholas Kabylafkas SEC v. Nicholas Kabylafkas SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan Civil SEC v. Wellness Matrix Group, Inc., et al. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Mark A. Miller SEC v. Luis Jimenez Carrillo, et al. SEC v. Mark A. Miller SEC v. Luis Jimenez Carrillo, et al. SEC v. Corporation, et al. SEC v. Corporation, et al. SEC v. Mark A. Miller SEC v. Corporation, et al. SEC v. Mark A. Miller SEC v. Corporation, et al. SEC v. Mark A. Miller SEC v. Corporation, et al. SEC v. Mark A. Miller SEC v. Corporation, et al. SEC v. Mark A. Miller SEC v. Corporation, et al. SEC v. Mark A. Miller SEC v. Corporation, et al. SEC v. Mark A. Miller SEC v. Corporation, et al. SEC v. Mark A. Miller SEC v. Corporation, et al. SEC v. Mark A. Miller SEC v. Corporation, et al. SEC v. Mark A. Miller SEC v. Corporation, et al. SEC v. Corporation, et al. SEC v. Seconary	ne Admin. Proc.	33-10967	08/24/2
In the Matter of The Kraft Heinz Co., et al.  SEC v. Klaus Hofmann  Civil  In the Matter of Leonard R. Barr  In the Matter of Carlos Javier Moctezuma Velasco  In the Matter of Ramón Lafarga Bátiz  Follow-on  In the Matter of Ravindranathan Raghunathan, CPA, et al.  Stand-alor  MARKET MANIPULATION  SEC v. John McAfee, et al.  SEC v. John McAfee, et al.  SEC v. Jillian Sidoti  In the Matter of Mustafa David Sayid, Esq.  In the Matter of Mustafa David Sayid, Esq.  In the Matter of Norman T. Reynolds, Esq.  In the Matter of Ronald Phillips, Esq.  SEC v. Barton S. Ross  SEC v. Barton S. Ross  SEC v. Arrayit Corporation, et al.  SEC v. Airborne Wireless Network, et al.  SEC v. Nicholas Kabylafkas  SEC v. Nicholas Kabylafkas  SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Marlon Muller  SEC v. Marlon Muller  SEC v. Charlie Abujudeh  SEC v. Luis Jimenez Carrillo, et al.  SEC v. In Matter of Peter Dichiara  In the Matter of Adam Heimann, et al.  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  SEC v. Mark J. Melnick  SEC v. Mark J. Melnick	n Admin. Proc.	34-92835	09/01/2
In the Matter of The Kraft Heinz Co., et al.  SEC v. Klaus Hofmann In the Matter of Leonard R. Barr In the Matter of Carlos Javier Moctezuma Velasco In the Matter of Ramón Lafarga Bátiz In the Matter of Ramón Lafarga Bátiz In the Matter of Romón	ne Admin. Proc.	33-10975	09/02/2
In the Matter of Leonard R. Barr In the Matter of Carlos Javier Moctezuma Velasco In the Matter of Ramón Lafarga Bátiz In the Matter of Romón Lafarga Bátiz In the Matter of Rowindranathan Raghunathan, CPA, et al.  Stand-alor  MARKET MANIPULATION  SEC v. John McAfee, et al. SEC v. John McAfee, et al. SEC v. Jillian Sidoti In the Matter of Mustafa David Sayid, Esq. In the Matter of Mustafa David Sayid, Esq. In the Matter of Norman T. Reynolds, Esq. In the Matter of Ronald Phillips, Esq. SEC v. Amir Bruno Elmaani, a/k/a Bruno Block In the Matter of Ronald Phillips, Esq. SEC v. Barton S. Ross SEC v. Barton S. Ross SEC v. Arrayit Corporation, et al. SEC v. Andrew L. Fassari SEC v. Andrew L. Fassari SEC v. Airborne Wireless Network, et al. SEC v. Nicholas Kabylafkas SEC v. Vilonag Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan Goldman, et al. In the Matter of Amit Tandon, Esq. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Mark A. Miller SEC v. Marlon Muller SEC v. Charlie Abujudeh SEC v. Luis Jimenez Carrillo, et al. SEC v. Armad Haris Tajyar, et al. SEC v. Armad Haris Tajyar, et al. SEC v. Frederick L. Sharp, et al. SEC v. Trederick L. Sharp, et al. SEC v. Opt. Ventures, LLC, et al. In the Matter of Helikon Investments, Ltd. SEC v. Timothy Page, et al. SEC v. Daniel Cattlin, et al. In the Matter of Adam Heimann, et al. SEC v. Mark J. Melnick SEC v. Suyun Gu, et al. In the Matter of Adam Heimann, et al. SEC v. Mark J. Melnick SEC v. Mark J. Melnick	ne Admin. Proc.	33-10977	09/03/2
In the Matter of Carlos Javier Moctezuma Velasco In the Matter of Ramón Lafarga Bátiz In the Matter of Ramón Lafarga Bátiz In the Matter of Romón Lafarga Bátiz In the Matter of Ravindranathan Raghunathan, CPA, et al.  MARKET MANIPULATION  SEC v. John McAfee, et al. SEC v. Jillian Sidoti In the Matter of Mustafa David Sayid, Esq. In the Matter of Mustafa David Sayid, Esq. In the Matter of Norman T. Reynolds, Esq. In the Matter of Ronald Phillips, Esq. SEC v. Amir Bruno Elmaani, a/k/a Bruno Block Civil In the Matter of Ronald Phillips, Esq. SEC v. Barton S. Ross SEC v. Arrayit Corporation, et al. SEC v. Arrayit Corporation, et al. SEC v. Andrew L. Fassari SEC v. Nicholas Kabylafkas SEC v. Nicholas Kabylafkas SEC v. Nicholas Kabylafkas SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan Goldman, et al. In the Matter of Amit Tandon, Esq. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Mark A. Miller SEC v. Mark A. Miller SEC v. Luis Jimenez Carrillo, et al. SEC v. Luis Jimenez Carrillo, et al. SEC v. Luis Jimenez Carrillo, et al. SEC v. Ahmad Haris Tajyar, et al. SEC v. Ahmad Haris Tajyar, et al. SEC v. Cyl Ventures, LLC, et al. In the Matter of Peter Dichiara In the Matter of Peter Dichiara In the Matter of Helikon Investments, Ltd. SEC v. Timothy Page, et al. SEC v. Timothy Page, et al. SEC v. Timothy Page, et al. SEC v. Suyun Gu, et al. SEC v. Suyun Gu, et al. SEC v. Suyun Gu, et al. SEC v. Mark J. Melnick SEC v. Mark J. Melnick		LR-25195	09/03/2
In the Matter of Ramón Lafarga Bátiz In the Matter of Noe Corrales Reyes In the Matter of Ravindranathan Raghunathan, CPA, et al.  MARKET MANIPULATION  SEC v. John McAfee, et al. SEC v. John McAfee, et al. SEC v. Jillian Sidoti In the Matter of Mustafa David Sayid, Esq. In the Matter of Mustafa David Sayid, Esq. In the Matter of Norman T. Reynolds, Esq. In the Matter of Ronald Phillips, Esq. SEC v. Amir Bruno Elmaani, a/k/a Bruno Block In the Matter of Ronald Phillips, Esq. SEC v. Barton S. Ross SEC v. Arrayit Corporation, et al. SEC v. Bruce Schoengood, et al. SEC v. Airborne Wireless Network, et al. SEC v. Nicholas Kabylafkas SEC v. Nicholas Kabylafkas SEC v. Nicholas Kabylafkas SEC v. Wellness Matrix Group, Inc., et al. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Mark A. Miller SEC v. Mark A. Miller SEC v. Luis Jimenez Carrillo, et al. SEC v. Charlie Abujudeh SEC v. Luis Jimenez Carrillo, et al. SEC v. Ahmad Haris Tajyar, et al. SEC v. Ahmad Haris Tajyar, et al. SEC v. Trederick L. Sharp, et al. SEC v. Cyl Ventures, LLC, et al. In the Matter of Peter Dichiara In the Matter of Adam Heimann, et al. SEC v. Daniel Cattlin, et al. SEC v. Daniel Cattlin, et al. SEC v. Suyun Gu, et al. SEC v. Mark J. Melnick SEC v. Mark J. Melnick	n Admin. Proc.	34-92944	09/13/2
In the Matter of Noe Corrales Reyes In the Matter of Ravindranathan Raghunathan, CPA, et al.  MARKET MANIPULATION  SEC v. John McAfee, et al. SEC v. Jillian Sidoti In the Matter of Mustafa David Sayid, Esq. In the Matter of Mustafa David Sayid, Esq. In the Matter of Norman T. Reynolds, Esq. In the Matter of Ronald Phillips, Esq. SEC v. Amir Bruno Elmaani, a/k/a Bruno Block In the Matter of Ronald Phillips, Esq. SEC v. Barton S. Ross SEC v. Barton S. Ross SEC v. Arrayit Corporation, et al. SEC v. Arrayit Corporation, et al. SEC v. Airborne Wireless Network, et al. SEC v. Nicholas Kabylafkas SEC v. Nicholas Kabylafkas SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan Goldman, et al. In the Matter of Amit Tandon, Esq. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Mark A. Miller SEC v. Luis Jimenez Carrillo, et al. SEC v. Luis Jimenez Carrillo, et al. SEC v. Ahradha Haris Tajyar, et al. SEC v. Ahmad Haris Tajyar, et al. SEC v. Trederick L. Sharp, et al. SEC v. Charlie Abujudeh SEC v. Charlie Abujudeh SEC v. Trederick L. Sharp, et al. SEC v. Oph Ventures, LLC, et al. In the Matter of Peter Dichiara In the Matter of Peter Dichiara In the Matter of Helikon Investments, Ltd. SEC v. Daniel Cattlin, et al. In the Matter of Adam Heimann, et al. SEC v. Suyun Gu, et al. SEC v. Suyun Gu, et al. SEC v. Suyun Gu, et al. SEC v. Mark J. Melnick SEC v. Mark J. Melnick	n Admin. Proc.	34-93135	09/27/2
In the Matter of Noe Corrales Reyes In the Matter of Ravindranathan Raghunathan, CPA, et al.  MARKET MANIPULATION  SEC v. John McAfee, et al.  SEC v. John McAfee, et al.  SEC v. Jillian Sidoti In the Matter of Mustafa David Sayid, Esq. In the Matter of Norman T. Reynolds, Esq. In the Matter of Ronald Phillips, Esq. SEC v. Amir Bruno Elmaani, a/k/a Bruno Block In the Matter of Ronald Phillips, Esq. SEC v. Barton S. Ross SEC v. Barton S. Ross SEC v. Barton S. Ross SEC v. Arrayit Corporation, et al. SEC v. Bruce Schoengood, et al. SEC v. Airborne Wireless Network, et al. SEC v. Nicholas Kabylafkas SEC v. Nicholas Kabylafkas SEC v. Nicholas Kabylafkas SEC v. Wellness Matrix Group, Inc., et al. In the Matter of Amit Tandon, Esq. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Mark A. Miller SEC v. Luis Jimenez Carrillo, et al. SEC v. Luis Jimenez Carrillo, et al. SEC v. Charlie Abujudeh SEC v. Luis Jimenez Carrillo, et al. SEC v. Charlie Abujudeh SEC v. Luis Jimenez Carrillo, et al. SEC v. Charlie Abujudeh SEC v. Charlie Abujudeh SEC v. Charlie Abujudeh SEC v. Charlie Abujudeh SEC v. Seph Ventures, LLC, et al. Civil SEC v. Trimothy Page, et al. SEC v. Trimothy Page, et al. SEC v. Daniel Cattlin, et al. In the Matter of Suepeng Xie SEC v. Suyun Gu, et al. SEC v. Mark J. Melnick SEC v. Mark J. Melnick	n Admin. Proc.	34-93137	09/27/2
MARKET MANIPULATION  SEC v. John McAfee, et al.  SEC v. John McAfee, et al.  SEC v. Jillian Sidoti In the Matter of Mustafa David Sayid, Esq. In the Matter of Morman T. Reynolds, Esq. SEC v. Amir Bruno Elmaani, a/k/a Bruno Block In the Matter of Ronald Phillips, Esq. SEC v. Arrayit Corporation, et al. SEC v. Arrayit Corporation, et al. SEC v. Airborne Wireless Network, et al. SEC v. Nicholas Kabylafkas SEC v. Nicholas Kabylafkas SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan Goldman, et al. In the Matter of Amit Tandon, Esq. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Mark A. Miller SEC v. Charlie Abujudeh SEC v. Luis Jimenez Carrillo, et al. SEC v. Luis Jimenez Carrillo, et al. SEC v. Terderick L. Sharp, et al. SEC v. Ahmad Haris Tajyar, et al. SEC v. Timothy Page, et al. SEC v. Suyun Gu, et al. In the Matter of Adam Heimann, et al. SEC v. Suyun Gu, et al. SEC v. Suyun Gu, et al. SEC v. Suyun Gu, et al. SEC v. Mark J. Melnick	n Admin. Proc.	34-93136	09/27/2
SEC v. John McAfee, et al.  SEC v. Jillian Sidoti In the Matter of Mustafa David Sayid, Esq. In the Matter of Norman T. Reynolds, Esq. SEC v. Amir Bruno Elmaani, a/k/a Bruno Block In the Matter of Ronald Phillips, Esq. SEC v. Amir Bruno S. Ross SEC v. Barton S. Ross SEC v. Arrayit Corporation, et al. SEC v. Bruce Schoengood, et al. SEC v. Airborne Wireless Network, et al. SEC v. Nicholas Kabylafkas SEC v. Vicholas Kabylafkas SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan Goldman, et al. In the Matter of Amit Tandon, Esq. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Mark A. Miller SEC v. Mark A. Miller SEC v. Marlon Muller SEC v. Charlie Abujudeh SEC v. Lius Jimenez Carrillo, et al. SEC v. Frederick L. Sharp, et al. SEC v. GPL Ventures, LLC, et al. In the Matter of Peter Dichiara In the Matter of Peter Dichiara In the Matter of Peter Dichiara In the Matter of Helikon Investments, Ltd. SEC v. Timothy Page, et al. SEC v. Timothy Page, et al. SEC v. Daniel Cattlin, et al. In the Matter of Adam Heimann, et al. SEC v. Suyun Gu, et al. In the Matter of Adam Heimann, et al. SEC v. Mark J. Melnick SEC v. Mark J. Melnick	ne Admin. Proc.	34-93133	09/27/2
SEC v. Jillian Sidoti In the Matter of Mustafa David Sayid, Esq. In the Matter of Mustafa David Sayid, Esq. In the Matter of Norman T. Reynolds, Esq. SEC v. Amir Bruno Elmaani, a/k/a Bruno Block In the Matter of Ronald Phillips, Esq. SEC v. Barton S. Ross SEC v. Barton S. Ross SEC v. Bruce Schoengood, et al. SEC v. Bruce Schoengood, et al. SEC v. Airborne Wireless Network, et al. SEC v. Airborne Wireless Network, et al. SEC v. Vicholas Kabylafkas SEC v. Vichona Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan Goldman, et al. In the Matter of Amit Tandon, Esq. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Mark A. Miller SEC v. Marlon Muller SEC v. Luis Jimenez Carrillo, et al. SEC v. Luis Jimenez Carrillo, et al. SEC v. Ahmad Haris Tajyar, et al. SEC v. Ahmad Haris Tajyar, et al. SEC v. Opl. Ventures, LLC, et al. In the Matter of Peter Dichiara In the Matter of Helikon Investments, Ltd. SEC v. Daniel Cattlin, et al. SEC v. Daniel Cattlin, et al. SEC v. Daniel Cattlin, et al. SEC v. Suyun Gu, et al. SEC v. Suyun Gu, et al. SEC v. Suyun Gu, et al. SEC v. Mark J. Melnick SEC v. Mark J. Melnick SEC v. Mark J. Melnick	_		
SEC v. Jillian Sidoti In the Matter of Mustafa David Sayid, Esq. In the Matter of Norman T. Reynolds, Esq. SEC v. Amir Bruno Elmaani, a/k/a Bruno Block In the Matter of Ronald Phillips, Esq. SEC v. Barton S. Ross SEC v. Arrayit Corporation, et al. SEC v. Bruce Schoengood, et al. SEC v. Airborne Wireless Network, et al. SEC v. Airborne Wireless Network, et al. SEC v. Nicholas Kabylafkas SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan Goldman, et al. In the Matter of Amit Tandon, Esq. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Mark A. Miller SEC v. Mark A. Miller SEC v. Charlie Abujudeh SEC v. Luis Jimenez Carrillo, et al. SEC v. Luis Jimenez Carrillo, et al. SEC v. Afrade Haris Tajyar, et al. SEC v. GPL Ventures, LLC, et al. In the Matter of Peter Dichiara In the Matter of Peter Dichiara In the Matter of Helikon Investments, Ltd. SEC v. Daniel Cattlin, et al. SEC v. Daniel Cattlin, et al. SEC v. Suyun Gu, et al. SEC v. Mark J. Melnick SEC v. Mark J. Melnick		LR-24941	10/05/2
In the Matter of Mustafa David Sayid, Esq.  In the Matter of Norman T. Reynolds, Esq.  SEC v. Amir Bruno Elmaani, a/k/a Bruno Block In the Matter of Ronald Phillips, Esq.  SEC v. Barton S. Ross  SEC v. Barton S. Ross  SEC v. Arrayit Corporation, et al.  SEC v. Bruce Schoengood, et al.  SEC v. Andrew L. Fassari  SEC v. Airborne Wireless Network, et al.  SEC v. Nicholas Kabylafkas  SEC v. Vibong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan  Goldman, et al.  In the Matter of Amit Tandon, Esq.  Follow-on  SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Edgar M. Radjabli, et al.  SEC v. Mark A. Miller  SEC v. Marlon Muller  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. Trederick L. Sharp, et al.  SEC v. Timothy Page, et al.  SEC v. Timothy Page, et al.  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  SEC v. Mark J. Melnick  Civil		LR-24949	10/19/2
In the Matter of Norman T. Reynolds, Esq.  SEC v. Amir Bruno Elmaani, a/k/a Bruno Block In the Matter of Ronald Phillips, Esq.  SEC v. Barton S. Ross  SEC v. Barton S. Ross  SEC v. Arrayit Corporation, et al.  SEC v. Bruce Schoengood, et al.  SEC v. Andrew L. Fassari  SEC v. Airborne Wireless Network, et al.  SEC v. Nicholas Kabylafkas  SEC v. Nicholas Kabylafkas  SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan  Goldman, et al.  In the Matter of Amit Tandon, Esq.  SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Mark A. Miller  SEC v. Mark A. Miller  SEC v. Marlon Muller  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. GPL Ventures, LLC, et al.  In the Matter of Helikon Investments, Ltd.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  SEC v. Suyun Gu, et al.  SEC v. Mark J. Melnick  SEC v. Mark J. Melnick  SEC v. Mark J. Melnick	n Admin. Proc.	34-90258	10/22/2
SEC v. Amir Bruno Elmaani, a/k/a Bruno Block  In the Matter of Ronald Phillips, Esq.  SEC v. Barton S. Ross  SEC v. Arrayit Corporation, et al.  SEC v. Arrayit Corporation, et al.  SEC v. Andrew L. Fassari  SEC v. Airborne Wireless Network, et al.  SEC v. Nicholas Kabylafkas  SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan  Goldman, et al.  In the Matter of Amit Tandon, Esq.  SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Mark A. Miller  SEC v. Marlo Muller  SEC v. Charlie Abujudeh  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Luis Jimenez Carrillo, et al.  SEC v. GPL Ventures, LLC, et al.  In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Timothy Page, et al.  SEC v. Jonaiel Cattlin, et al.  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  SEC v. Mark J. Melnick  Civil	n Admin. Proc.	34-90259	10/22/2
In the Matter of Ronald Phillips, Esq.  SEC v. Barton S. Ross  Civil  SEC v. Arrayit Corporation, et al.  Civil  SEC v. Bruce Schoengood, et al.  Civil  SEC v. Andrew L. Fassari  Civil  SEC v. Airborne Wireless Network, et al.  Civil  SEC v. Nicholas Kabylafkas  Civil  SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan  Goldman, et al.  In the Matter of Amit Tandon, Esq.  SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Edgar M. Radjabli, et al.  SEC v. Mark A. Miller  SEC v. Marlon Muller  SEC v. Charlie Abujudeh  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. GPL Ventures, LLC, et al.  In the Matter of Peter Dichiara  In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil  SEC v. Mark J. Melnick  Civil		LR-24980	12/09/2
SEC v. Barton S. Ross  SEC v. Arrayit Corporation, et al.  SEC v. Arrayit Corporation, et al.  SEC v. Bruce Schoengood, et al.  SEC v. Andrew L. Fassari  SEC v. Airborne Wireless Network, et al.  SEC v. Nicholas Kabylafkas  SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan  Goldman, et al.  In the Matter of Amit Tandon, Esq.  Follow-on  SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Edgar M. Radjabli, et al.  SEC v. Mark A. Miller  SEC v. Marlon Muller  SEC v. Charlie Abujudeh  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Frederick L. Sharp, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. Aphad Haris Tajyar, et al.  SEC v. GPL Ventures, LLC, et al.  In the Matter of Peter Dichiara  In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil	n Admin. Proc.	34-90715	12/17/2
SEC v. Arrayit Corporation, et al.  SEC v. Bruce Schoengood, et al.  SEC v. Andrew L. Fassari  SEC v. Airborne Wireless Network, et al.  SEC v. Nicholas Kabylafkas  SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan  Goldman, et al.  In the Matter of Amit Tandon, Esq.  SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Edgar M. Radjabli, et al.  SEC v. Mark A. Miller  SEC v. Marlon Muller  SEC v. Charlie Abujudeh  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Frederick L. Sharp, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. Aphater of Peter Dichiara  In the Matter of Peter Dichiara  In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil  SEC v. Mark J. Melnick  Civil  Stand-alor  SEC v. Mark J. Melnick  Civil		LR-24989	12/18/2
SEC v. Bruce Schoengood, et al.  SEC v. Andrew L. Fassari  SEC v. Airborne Wireless Network, et al.  SEC v. Nicholas Kabylafkas  SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan  Goldman, et al.  In the Matter of Amit Tandon, Esq.  SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Edgar M. Radjabli, et al.  SEC v. Mark A. Miller  SEC v. Marlon Muller  SEC v. Charlie Abujudeh  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Frederick L. Sharp, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. Aphatter of Peter Dichiara  In the Matter of Peter Dichiara  In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil  SEC v. Mark J. Melnick  Civil  Stand-alon  SEC v. Mark J. Melnick		LR-25029	02/11/2
SEC v. Andrew L. Fassari SEC v. Airborne Wireless Network, et al. SEC v. Nicholas Kabylafkas SEC v. Nicholas Kabylafkas SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan Goldman, et al. In the Matter of Amit Tandon, Esq. SEC v. Wellness Matrix Group, Inc., et al. SEC v. Edgar M. Radjabli, et al. SEC v. Edgar M. Radjabli, et al. SEC v. Mark A. Miller SEC v. Marlon Muller SEC v. Charlie Abujudeh SEC v. Charlie Abujudeh SEC v. Luis Jimenez Carrillo, et al. SEC v. Frederick L. Sharp, et al. SEC v. Ahmad Haris Tajyar, et al. SEC v. Aphad Haris Tajyar, et al. SEC v. GPL Ventures, LLC, et al. In the Matter of Peter Dichiara In the Matter of Helikon Investments, Ltd. SEC v. Timothy Page, et al. SEC v. Daniel Cattlin, et al. In the Matter of Xuepeng Xie SEC v. Suyun Gu, et al. In the Matter of Adam Heimann, et al. SEC v. Mark J. Melnick SEC v. Mark J. Melnick SEC v. Mark J. Melnick		LR-25034	02/23/2
SEC v. Airborne Wireless Network, et al.  SEC v. Nicholas Kabylafkas  SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan Goldman, et al.  In the Matter of Amit Tandon, Esq.  Follow-on SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Edgar M. Radjabli, et al.  SEC v. Mark A. Miller  SEC v. Marlon Muller  SEC v. Charlie Abujudeh  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Frederick L. Sharp, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. GPL Ventures, LLC, et al.  In the Matter of Peter Dichiara  In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil  SEC v. Mark J. Melnick  Civil  Civil  Stand-alon SEC v. Mark J. Melnick  Civil		LR-25052	03/02/2
SEC v. Nicholas Kabylafkas SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan Goldman, et al. In the Matter of Amit Tandon, Esq. Follow-on SEC v. Wellness Matrix Group, Inc., et al. SEC v. Edgar M. Radjabli, et al. SEC v. Mark A. Miller SEC v. Marlon Muller SEC v. Charlie Abujudeh SEC v. Luis Jimenez Carrillo, et al. SEC v. Frederick L. Sharp, et al. SEC v. Ahmad Haris Tajyar, et al. SEC v. Aphather of Peter Dichiara In the Matter of Peter Dichiara In the Matter of Helikon Investments, Ltd. SEC v. Timothy Page, et al. SEC v. Daniel Cattlin, et al. In the Matter of Xuepeng Xie SEC v. Suyun Gu, et al. In the Matter of Adam Heimann, et al. SEC v. Mark J. Melnick Civil SEC v. Mark J. Melnick Civil SEC v. Mark J. Melnick Civil		LR-25043	03/02/2
SEC v. Ubong Uboh, a/k/a Nedi Shupo, Frank Goldman, and Jonathan Goldman, et al.  In the Matter of Amit Tandon, Esq.  SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Edgar M. Radjabli, et al.  SEC v. Mark A. Miller  SEC v. Marlon Muller  SEC v. Charlie Abujudeh  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Frederick L. Sharp, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. GPL Ventures, LLC, et al.  In the Matter of Peter Dichiara  In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil  Stand-alor  SEC v. Mark J. Melnick		LR-25048	03/11/2
In the Matter of Amit Tandon, Esq.  SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Edgar M. Radjabli, et al.  SEC v. Mark A. Miller  SEC v. Marlon Muller  SEC v. Charlie Abujudeh  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Frederick L. Sharp, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. GPL Ventures, LLC, et al.  In the Matter of Peter Dichiara  In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Timothy Page, et al.  Civil  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  SEC v. Mark J. Melnick  Civil  SEC v. Mark J. Melnick  Civil  SEC v. Mark J. Melnick  Civil		LR-25075	04/15/2
SEC v. Wellness Matrix Group, Inc., et al.  SEC v. Edgar M. Radjabli, et al.  SEC v. Mark A. Miller  SEC v. Marlon Muller  SEC v. Marlon Muller  SEC v. Charlie Abujudeh  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Frederick L. Sharp, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. GPL Ventures, LLC, et al.  In the Matter of Peter Dichiara  In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil  SEC v. Mark J. Melnick  Civil  SEC v. Mark J. Melnick  Civil  Civil  SEC v. Mark J. Melnick  Civil	n Admin. Proc.	34-91628	04/22/2
SEC v. Edgar M. Radjabli, et al.  SEC v. Mark A. Miller  SEC v. Marlon Muller  SEC v. Charlie Abujudeh  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Frederick L. Sharp, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. GPL Ventures, LLC, et al.  In the Matter of Peter Dichiara  In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil  SEC v. Mark J. Melnick  Civil  SEC v. Mark J. Melnick  Civil	77.0111111.77.00.	LR-25114	06/11/2
SEC v. Mark A. Miller  SEC v. Marlon Muller  SEC v. Charlie Abujudeh  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Frederick L. Sharp, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. GPL Ventures, LLC, et al.  In the Matter of Peter Dichiara  In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil  SEC v. Mark J. Melnick  Civil  SEC v. Mark J. Melnick  Civil		LR-25115	06/11/2
SEC v. Marlon Muller  SEC v. Charlie Abujudeh  SEC v. Luis Jimenez Carrillo, et al.  SEC v. Frederick L. Sharp, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. GPL Ventures, LLC, et al.  In the Matter of Peter Dichiara  In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil  Stand-alor  SEC v. Mark J. Melnick  Civil		LR-25118	06/18/2
SEC v. Charlie Abujudeh SEC v. Luis Jimenez Carrillo, et al. SEC v. Frederick L. Sharp, et al. SEC v. Ahmad Haris Tajyar, et al. SEC v. GPL Ventures, LLC, et al. In the Matter of Peter Dichiara In the Matter of Helikon Investments, Ltd. SEC v. Timothy Page, et al. SEC v. Daniel Cattlin, et al. In the Matter of Xuepeng Xie SEC v. Suyun Gu, et al. In the Matter of Adam Heimann, et al. SEC v. Mark J. Melnick  Civil SEC v. Mark J. Melnick  Civil Stand-alor SEC v. Mark J. Melnick  Civil		LR-25143	07/14/2
SEC v. Luis Jimenez Carrillo, et al.  SEC v. Frederick L. Sharp, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. GPL Ventures, LLC, et al.  In the Matter of Peter Dichiara  In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil  SEC v. Mark J. Melnick  Civil  Civil  Stand-alor  Civil  Civil  Civil  Civil		LR-25143 LR-25147	07/14/2
SEC v. Frederick L. Sharp, et al.  SEC v. Ahmad Haris Tajyar, et al.  SEC v. GPL Ventures, LLC, et al.  In the Matter of Peter Dichiara  In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil  Stand-alor  Civil  Stand-alor  Civil		LR-25161	08/04/2
SEC v. Ahmad Haris Tajyar, et al.  SEC v. GPL Ventures, LLC, et al.  In the Matter of Peter Dichiara In the Matter of Helikon Investments, Ltd.  SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al. In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al. In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil  Stand-alor  SEC v. Mark J. Melnick  Civil		LR-25164	08/04/2
SEC v. GPL Ventures, LLC, et al.  In the Matter of Peter Dichiara In the Matter of Helikon Investments, Ltd. Stand-alor SEC v. Timothy Page, et al. SEC v. Daniel Cattlin, et al. Civil In the Matter of Xuepeng Xie SEC v. Suyun Gu, et al. Civil In the Matter of Adam Heimann, et al. SEC v. Mark J. Melnick Civil Civil Civil		LR-25167	08/03/2
In the Matter of Peter Dichiara In the Matter of Helikon Investments, Ltd. Stand-alor SEC v. Timothy Page, et al. SEC v. Daniel Cattlin, et al. In the Matter of Xuepeng Xie SEC v. Suyun Gu, et al. In the Matter of Adam Heimann, et al. SEC v. Mark J. Melnick  Follow-on Stand-alor Stand-alor Civil Stand-alor Stand-alor Civil		LR-25167 LR-25169	08/13/2
In the Matter of Helikon Investments, Ltd.  Stand-alor SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Stand-alor Sec v. Mark J. Melnick  Stand-alor Civil	Admin Proc		
SEC v. Timothy Page, et al.  SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil  Civil		34-93101	09/21/2
SEC v. Daniel Cattlin, et al.  In the Matter of Xuepeng Xie SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil  Civil  Civil	ne Admin. Froc.	34-93091	09/21/2 09/23/2
In the Matter of Xuepeng Xie  SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Stand-alor  Civil  Civil		LR-25227	
SEC v. Suyun Gu, et al.  In the Matter of Adam Heimann, et al.  SEC v. Mark J. Melnick  Civil	no Admin Broc	LR-25227	09/23/2
In the Matter of Adam Heimann, et al.  Stand-alor SEC v. Mark J. Melnick  Civil	ne Aumin. Proc.	33-10989	09/27/2
SEC v. Mark J. Melnick Civil	no Admin Proc	LR-25224	09/27/2
MISCELLANEOUS	ne Admin. Proc.	33-10994 2021-206	09/30/2 09/30/2
SEC v. Abbi Dates a /le/a Abbimari v. Bates		LD 25042	04/45/
SEC v. Abhi Batra, a/k/a Abhimanyu Batra Civil SEC v. James Roland Jones Civil		LR-25012 2021-51	01/15/2 03/18/2

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
in the Matter of BBNS, inc.	Staria dione / tariiii 1 100.	34 32332	03/13/21
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	08/31/23
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	09/16/22
In the Matter of RBC Capital Markets, LLC	Stand-alone Admin. Proc.	34-93042	09/17/23
In the Matter of Kenneth G. Friedrich	Stand-alone Admin. Proc.	34-93043	09/17/23
In the Matter of Jaime L. Durando	Stand-alone Admin. Proc.	34-93044	09/17/23
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			
	Civil	LR-24944	10/13/20
SEC v. Alexander S. Rowland	Civil Stand-alone Admin. Proc.	LR-24944 33-10878	
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet	-		10/23/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al.	Stand-alone Admin. Proc.	33-10878	10/23/20 11/03/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers	Stand-alone Admin. Proc. Civil	33-10878 LR-24954	10/23/20 11/03/20 11/23/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al.	Stand-alone Admin. Proc. Civil Civil Civil	33-10878 LR-24954 LR-24968 LR-24970	10/23/20 11/03/20 11/23/20 11/24/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen	Stand-alone Admin. Proc. Civil Civil Civil	33-10878 LR-24954 LR-24968 LR-24970	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al.	Stand-alone Admin. Proc. Civil Civil Civil Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al.	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24978	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Civil Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24978 LR-24983	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth	Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Civil Civil Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24978 LR-24983 LR-24983	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth SEC v. Matthew L. Walker	Stand-alone Admin. Proc. Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24978 LR-24983 LR-24983 LR-24983	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth SEC v. Matthew L. Walker SEC v. Keith Berman, et al.	Stand-alone Admin. Proc. Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24978 LR-24983 LR-24983 LR-24983 2020-327	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20 12/14/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth SEC v. Matthew L. Walker SEC v. Keith Berman, et al. In the Matter of ShipChain, Inc.	Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc.	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24978 LR-24983 LR-24983 LR-24983 2020-327 33-10909	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20 12/17/20 12/21/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth SEC v. Matthew L. Walker SEC v. Keith Berman, et al. In the Matter of ShipChain, Inc. SEC v. CapSource, Inc., et al.	Stand-alone Admin. Proc. Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24978 LR-24983 LR-24983 LR-24983 2020-327 33-10909 LR-24992	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20 12/17/20 12/21/20 12/21/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth SEC v. Matthew L. Walker SEC v. Keith Berman, et al. In the Matter of ShipChain, Inc. SEC v. CapSource, Inc., et al. SEC v. Michael B. Zipprich, et al.	Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24978 LR-24983 LR-24983 LR-24983 2020-327 33-10909 LR-24992 LR-24992	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20 12/17/20 12/21/20 12/21/20 12/21/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth SEC v. Matthew L. Walker SEC v. Keith Berman, et al. In the Matter of ShipChain, Inc. SEC v. CapSource, Inc., et al. SEC v. Michael B. Zipprich, et al. SEC v. Dike Boone Nerren	Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24983 LR-24983 LR-24983 2020-327 33-10909 LR-24992 LR-24992 LR-24991	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20 12/17/20 12/21/20 12/21/20 12/21/20 12/21/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth SEC v. Matthew L. Walker SEC v. Keith Berman, et al. In the Matter of ShipChain, Inc. SEC v. CapSource, Inc., et al. SEC v. Michael B. Zipprich, et al. SEC v. Dike Boone Nerren SEC v. Siliconsage Builders, LLC, aka Silicon Sage Builders, et al.	Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24983 LR-24983 LR-24983 2020-327 33-10909 LR-24992 LR-24992 LR-24991 2020-329	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20 12/17/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth SEC v. Matthew L. Walker SEC v. Keith Berman, et al. In the Matter of ShipChain, Inc. SEC v. CapSource, Inc., et al. SEC v. Dike Boone Nerren SEC v. Dike Boone Nerren SEC v. Siliconsage Builders, LLC, aka Silicon Sage Builders, et al. SEC v. Justin Robert King, et al.	Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Civil Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24983 LR-24983 LR-24983 2020-327 33-10909 LR-24992 LR-24992 LR-24991 2020-329 LR-25006	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20 12/17/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth SEC v. Matthew L. Walker SEC v. Keith Berman, et al. In the Matter of ShipChain, Inc. SEC v. CapSource, Inc., et al. SEC v. Michael B. Zipprich, et al. SEC v. Dike Boone Nerren SEC v. Siliconsage Builders, LLC, aka Silicon Sage Builders, et al. SEC v. Justin Robert King, et al. SEC v. Ripple Labs, Inc. et al.	Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Civil Civil Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24978 LR-24983 LR-24983 2020-327 33-10909 LR-24992 LR-24992 LR-24991 2020-329 LR-25006 2020-338	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20 12/14/20 12/17/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth SEC v. Matthew L. Walker SEC v. Keith Berman, et al. In the Matter of ShipChain, Inc. SEC v. CapSource, Inc., et al. SEC v. Michael B. Zipprich, et al. SEC v. Dike Boone Nerren SEC v. Justin Robert King, et al. SEC v. Ripple Labs, Inc. et al. SEC v. Ripple Labs, Inc. et al.	Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24978 LR-24983 LR-24983 2020-327 33-10909 LR-24992 LR-24992 LR-24991 2020-329 LR-25006 2020-338 LR-24997	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20 12/14/20 12/17/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20 12/22/20 12/22/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Robert Todd Seth SEC v. Matthew L. Walker SEC v. Keith Berman, et al. In the Matter of ShipChain, Inc. SEC v. CapSource, Inc., et al. SEC v. Michael B. Zipprich, et al. SEC v. Dike Boone Nerren SEC v. Siliconsage Builders, LLC, aka Silicon Sage Builders, et al. SEC v. Justin Robert King, et al. SEC v. Ripple Labs, Inc. et al. SEC v. Stefan Qin, et al. In the Matter of Lantson E. Eldred, Esq.	Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil Civil Civil Civil Civil Civil Civil Civil Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24978 LR-24983 LR-24983 2020-327 33-10909 LR-24992 LR-24992 LR-24991 2020-329 LR-25006 2020-338 LR-24997 34-90789	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20 12/14/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20 12/22/20 12/22/20 12/23/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth SEC v. Matthew L. Walker SEC v. Keith Berman, et al. In the Matter of ShipChain, Inc. SEC v. CapSource, Inc., et al. SEC v. Michael B. Zipprich, et al. SEC v. Dike Boone Nerren SEC v. Siliconsage Builders, LLC, aka Silicon Sage Builders, et al. SEC v. Justin Robert King, et al. SEC v. Stefan Qin, et al. In the Matter of Lantson E. Eldred, Esq. In the Matter of Tierion, Inc.	Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24978 LR-24983 LR-24983 2020-327 33-10909 LR-24992 LR-24992 LR-24991 2020-329 LR-25006 2020-338 LR-24997 34-90789 33-10914	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20 12/14/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20 12/22/20 12/22/20 12/23/20 12/23/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth SEC v. Matthew L. Walker SEC v. Keith Berman, et al. In the Matter of ShipChain, Inc. SEC v. CapSource, Inc., et al. SEC v. Dike Boone Nerren SEC v. Siliconsage Builders, LLC, aka Silicon Sage Builders, et al. SEC v. Justin Robert King, et al. SEC v. Ripple Labs, Inc. et al. SEC v. Stefan Qin, et al. In the Matter of Lantson E. Eldred, Esq. In the Matter of Tierion, Inc. SEC v. Ronnie Lee Moss, Jr., et al.	Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24978 LR-24983 LR-24983 2020-327 33-10909 LR-24992 LR-24992 LR-24991 2020-329 LR-25006 2020-338 LR-24997 34-90789 33-10914 LR-24995	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20 12/14/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20 12/22/20 12/23/20 12/23/20 12/23/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth SEC v. Robert Todd Seth SEC v. Keith Berman, et al. In the Matter of ShipChain, Inc. SEC v. CapSource, Inc., et al. SEC v. Dike Boone Nerren SEC v. Dike Boone Nerren SEC v. Siliconsage Builders, LLC, aka Silicon Sage Builders, et al. SEC v. Instin Robert King, et al. SEC v. Stefan Qin, et al. In the Matter of Lantson E. Eldred, Esq. In the Matter of Tierion, Inc. SEC v. Ronnie Lee Moss, Jr., et al. SEC v. Gregory Altieri	Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil	33-10878 LR-24954 LR-24968 LR-24970  LR-24972 LR-24973 LR-24978 LR-24983 LR-24983 2020-327 33-10909 LR-24992 LR-24992 LR-24991 2020-329 LR-25006 2020-338 LR-24997 34-90789 33-10914 LR-24995 LR-25000	10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/09/20 12/14/20 12/14/20 12/14/20 12/17/20 12/21/20 12/21/20 12/21/20 12/21/20 12/22/20 12/22/20 12/23/20 12/23/20 12/30/20
SEC v. Alexander S. Rowland In the Matter of Tradenet Capital Markets, Ltd. d/b/a Tradenet SEC v. Terrence Chalk, a/k/a "Dr. Terrence Cash", et al. SEC v. Benja Incorporated, et al. SEC v. Brothers Investment Group International, Inc., n/k/a Brothers International Group Inc., et al. SEC v. Mark Alan Lisser, a/k/a Mark Alan a/k/a Mark Allen SEC v. Richard J. Rubin, et al. SEC v. J. Jeremy Barbera, et al. SEC v. Roger E. Dobrovodsky SEC v. Robert Todd Seth SEC v. Keith Berman, et al. In the Matter of ShipChain, Inc. SEC v. CapSource, Inc., et al. SEC v. Dike Boone Nerren SEC v. Dike Boone Nerren SEC v. Siliconsage Builders, LLC, aka Silicon Sage Builders, et al. SEC v. In the Matter of Lantson E. Eldred, Esq. In the Matter of Lantson E. Eldred, Esq. In the Matter of Tierion, Inc. SEC v. Ronnie Lee Moss, Jr., et al. SEC v. Gregory Altieri SEC v. William J. Bowser, et al. SEC v. DeAndre P. Sears, et al.	Stand-alone Admin. Proc. Civil Stand-alone Admin. Proc. Civil	33-10878 LR-24954 LR-24968 LR-24970 LR-24972 LR-24973 LR-24978 LR-24983 LR-24983 2020-327 33-10909 LR-24992 LR-24992 LR-24991 2020-329 LR-25006 2020-338 LR-24997 34-90789 33-10914 LR-24995	10/13/20 10/23/20 11/03/20 11/23/20 11/24/20 12/01/20 12/02/20 12/14/20 12/14/20 12/14/20 12/14/20 12/12/20 12/21/20 12/21/20 12/21/20 12/21/20 12/21/20 12/22/20 12/23/20 12/23/20 12/30/20 12/30/20 12/31/20

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. Shamoon Omer Rafiq, a/k/a Shamoon Rafiq, Omer Rafiq, and	Civil	LR-25049	03/12/21
Omar Rafiq			
In the Matter of Ettro Capital Management Corp., et al.	Stand-alone Admin. Proc.	33-10932	03/15/21
SEC v. Christopher D. Dantin, 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-25109A LR-25108	06/07/21
SEC v. Cell>Point, LLC, et al.	Civil	LR-25108 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-25110 LR-25117	06/14/21
SEC v. Ofer Abarbanel, et al.	Civil		
	Stand-alone Admin. Proc.	2021-107	06/21/21
In the Matter of Loci, Inc., et al.	Stand-alone Admilli. Proc.	33-10950	06/22/21

SE	C v. Joseph Geromini	Civil	LR-25120	06/23/21
	the Matter of Gateway One Lending & Finance, LLC	Stand-alone Admin. Proc.	33-10951	06/24/21
SE	C 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
SE	C 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
SE	C v. Lambert Vander Tuig, et al.	Civil	LR-25134	07/02/21
SE	C v. Parallax Health Sciences, Inc., et al.	Civil	LR-25137	07/07/21
SE	C v. Profit Connect Wealth Services, Inc., et al.	Civil	LR-25144	07/08/21
SE	C v. Jonathan Mimun, a/k/a Jonathan Maymon, et al.	Civil	LR-25140	07/12/21
SE	C 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
SE	C v. Jefferey A. Gordon, et al.	Civil	LR-25142	07/15/21
SE	C v. Outdoor Capital Partners, LLC, et al.	Civil	LR-25148	07/19/21
SE	C v. Aron Govil	Civil	2021-132	07/19/21
SE	C v. Rahulkumar "Rahul" M. Patel	Civil	LR-25146	07/21/21
SE	C v. Mine Shaft Brewing, LLC, et al.	Civil	LR-25149	07/27/21
SE	C v. Joshua Louis Rupp	Civil	2021-140	07/28/21
	C 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
	C v. Uulala, Inc., et al.	Civil	LR-25157	08/04/21
	the Matter of Blockchain Credit Partners d/b/a DeFi Money Market,	Stand-alone Admin. Proc.	33-10961	08/06/21
et				
SE	C v. Martin Adrian Ruiz, et al.	Civil	LR-25165	08/06/21
SE	C v. MJ Capital Funding, LLC, et al.	Civil	LR-25168	08/09/21
SE	C v. Blessing K. Egbon	Civil	LR-25163	08/10/21
	C v. The Movie Studio, Inc., et al.	Civil	LR-25166	08/13/21
	C v. Battery Private, Inc., et al.	Civil	LR-25171	08/13/21
	C v. Arthur Hall, et al.	Civil	LR-25172	08/17/21
	the Matter of William Scott Lawler, Esq.	Follow-on Admin. Proc.	34-92707	08/18/21
	C v. Medsis International, Inc., et al.	Civil	LR-25176	08/19/21
	C v. John J. Woods, et al.	Civil	LR-25181	08/20/21
	C v. Carl Jensen, et al.	Civil	LR-25183	08/24/21
	C v. Manish Lachwani	Civil	LR-25182	08/25/21
	C v. William B. McHenry, Jr., et al.	Civil	LR-25184	08/26/21
	C v. Jason Dodd Bullard, et al.	Civil	LR-25194	08/27/21
	the Matter of Michael P. Egan	Stand-alone Admin. Proc.	33-10971	08/30/21
	the Matter of Michael R. Arbuckle	Stand-alone Admin. Proc.	33-10969	08/30/21
	C v. Howard S. Kleyman	Civil	None	08/30/21
	C v. Dawson L. Davenport, et al.	Civil	LR-25193	08/31/21
	C v. Bitconnect, et al.	Civil	2021-172	09/01/21
	the Matter of George L. Divel, III	Stand-alone Admin. Proc.	33-10974	09/02/21
	C v. Frederick Bauman	Civil	LR-25199	09/08/21
	C v. Rivetz Corp., et al.	Civil	LR-25198	09/08/21
	C v. ProSky, Inc., et al.	Civil	LR-25198	09/10/21
	the Matter of GTV Media Group, Inc., et al.	Stand-alone Admin. Proc.	33-10979	09/10/21
	• • • • • • • • • • • • • • • • • • • •	Civil		
	C v. SHE Beverage Company, Inc.		LR-25206	09/14/21
	the Matter of Charles Parkinson Lloyd	Stand-alone Admin. Proc.	33-10980	09/15/21
	C v. Simon Piers Thurlow, et al.	Civil	LR-25207	09/15/21
	C v. Robert Samuel Shumake, Jr., et al.	Civil	LR-25210	09/20/21
	C v. Leena Jaitley d/b/a Managed Options Trading and Options by	Civil	LR-25211	09/20/21
	os, et al.	Follow-on Admin. Proc.	34-02000	00/21/21
	the Matter of Frederick Bauman, Esq.	Civil	34-93089	09/21/21
	C v. Back to Green Mining, LLC, et al.	Civil	LR-25214	09/21/21
	C v. Frantz Simeon, et al.	Civil	LR-25216	09/22/21
)E	C v. James R. Collins, et al.	CIVII	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
SRO / EXCHANGE			
In the Matter of Poloniex, LLC	Stand-alone Admin. Proc.	34-92607	08/09/21
TRANSFER AGENT			
In the Matter of OTR, Inc.	Stand-alone Admin. Proc.	34-90828	12/30/20
in the Matter of Otto, inc.			