

# SELECT SEC AND MARKET DATA

## FISCAL 2017

### Enforcement Information Only

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**TABLE 1**  
**ENFORCEMENT MILESTONES**  
**FISCAL 2017**

<ul style="list-style-type: none"> <li>● Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately \$2.957 billion and to pay penalties of approximately \$832 million.</li> </ul>
<ul style="list-style-type: none"> <li>● Sought orders barring 100 defendants and respondents from serving as officers or directors of public companies.</li> </ul>
<ul style="list-style-type: none"> <li>● Sought emergency relief from federal courts in the form of temporary restraining orders (TROs) to halt ongoing fraudulent conduct in 20 actions, and sought asset freezes in 35 actions.</li> </ul>
<ul style="list-style-type: none"> <li>● Filed 10 actions to enforce investigative subpoenas.</li> </ul>
<ul style="list-style-type: none"> <li>● Halted trading in securities of 309 issuers about which there was inadequate public disclosure.</li> </ul>

In SEC-related criminal cases, prosecutors filed 128 indictments, informations, or contempts in Fiscal Year 2017.

**TABLE 2**  
**ENFORCEMENT ACTION SUMMARY CHART**  
**FOR FISCAL YEAR 2017 BY PRIMARY CLASSIFICATION**

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

<b>Primary Classification</b>	<b>Civil Actions</b>	<b>Stand-Alone Administrative Proceeding</b>	<b>Follow-On Administrative Proceeding</b>	<b>Total</b>	<b>% of Total Actions</b>	<b>% of Civil &amp; Stand-Alone Only Excluding Delinquent Files</b>
Broker-Dealer	10 (23)	43 (57)	115 (117)	168 (197)	22%	12%
Delinquent Filings	0 (0)	112 (322)	0 (0)	112 (322)	15%	---
Foreign Corrupt Practices Act	4 (5)	9 (11)	1 (1)	14 (17)	2%	3%
Insider Trading	31 (88)	10 (12)	0 (0)	41 (100)	5%	9%
Investment Advisors/ Investment Companies	20 (59)	62 (93)	44 (46)	126 (198)	17%	18%
Issuer Reporting and Disclosure	21 (52)	74 (102)	15 (15)	110 (169)	15%	21%
Market Manipulation	24 (133)	17 (24)	5 (5)	46 (162)	6%	9%
Miscellaneous	1 (1)	6 (10)	4 (4)	11 (15)	1%	2%
Public Finance Abuse	3 (20)	14 (17)	2 (2)	19 (39)	3%	4%
Securities Offering	71 (312)	23 (38)	5 (5)	99 (355)	13%	21%
Transfer Agent	0 (0)	3 (5)	5 (5)	8 (10)	1%	1%
<b>TOTALS</b>	<b>185 (693)</b>	<b>373 (691)</b>	<b>196 (200)</b>	<b>754 (1584)</b>	<b>100%</b>	<b>100%</b>

**TABLE 3**  
**FISCAL 2017 ENFORCEMENT CASES**  
**LISTED BY PROGRAM AREA**

<b>Case Name</b>	<b>Type of Action</b>	<b>Release No.</b>	<b>Date Filed</b>
<b>Broker-Dealer</b>			
In the Matter of Jeffery B. Risinger	Follow-on Admin. Proc.	34-79065	10/06/16
In the Matter of Andrew Stitt	Follow-on Admin. Proc.	34-79067	10/06/16
In the Matter of Deutsche Bank Securities, Inc.	Stand-alone Admin. Proc.	34-79083	10/12/16
In the Matter of Keith Michael Rogers	Follow-on Admin. Proc.	34-79102	10/14/16
In the Matter of Paul T. Lebel	Stand-alone Admin. Proc.	33-10236	10/18/16
In the Matter of Bank Leumi le-Israel B.M., et al.	Stand-alone Admin. Proc.	34-79113	10/18/16
In the Matter of Lia Yaffar-Pena	Stand-alone Admin. Proc.	34-79124	10/19/16
In the Matter of Craig V. Sizer	Follow-on Admin. Proc.	34-79121	10/19/16
In the Matter of Miguel Mesa	Follow-on Admin. Proc.	34-79123	10/19/16
In the Matter of John M. Leonard	Follow-on Admin. Proc.	34-79117	10/19/16
In the Matter of Michael Eppy	Follow-on Admin. Proc.	34-79160	10/26/16
In the Matter of Michael S. Cain	Follow-on Admin. Proc.	34-79170	10/27/16
In the Matter of Henning-Carey Proprietary Trading, LLC	Stand-alone Admin. Proc.	34-79175	10/27/16
In the Matter of Joe Lawler	Follow-on Admin. Proc.	34-79186	10/28/16
In the Matter of Nicholas H. Shermeta, et al.	Stand-alone Admin. Proc.	34-79195	10/31/16
In the Matter of Gregory J. Smith	Stand-alone Admin. Proc.	34-79207	11/01/16
In the Matter of Ronald D. Morley, et al.	Stand-alone Admin. Proc.	34-79208	11/01/16
In the Matter of Patrick Reagan Beason	Follow-on Admin. Proc.	34-79226	11/03/16
In the Matter of Bryan Wayne Anderson	Follow-on Admin. Proc.	34-79325	11/16/16
In the Matter of Mark D. Holt	Follow-on Admin. Proc.	34-79338	11/17/16
In the Matter of Cody M. Winters	Follow-on Admin. Proc.	34-79348	11/18/16
In the Matter of Nicholas R. Hamilton	Follow-on Admin. Proc.	34-79349	11/18/16
In the Matter of Sean P. Finn, et al.	Follow-on Admin. Proc.	34-79367	11/21/16
In the Matter of Thomas A. Flowers	Follow-on Admin. Proc.	34-79451	12/01/16
In the Matter of Daniel P. McKelvey	Follow-on Admin. Proc.	34-79453	12/02/16
In the Matter of David W. Noack	Follow-on Admin. Proc.	34-79503	12/07/16
In the Matter of James Baggs	Follow-on Admin. Proc.	34-79512	12/08/16
In the Matter of Donald M. Stuthers	Stand-alone Admin. Proc.	34-79521	12/09/16
In the Matter of Pamela M. Hass	Follow-on Admin. Proc.	34-79529	12/12/16
In the Matter of Chad Deucher	Follow-on Admin. Proc.	34-79566	12/15/16
In the Matter of Richard Clatfelter	Follow-on Admin. Proc.	34-79567	12/15/16
In the Matter of Wilson-Davis & Co., Inc.	Stand-alone Admin. Proc.	34-79580	12/16/16
In the Matter of Anthony B. Kerrigone	Stand-alone Admin. Proc.	34-79579	12/16/16
In the Matter of Byron B. Barkley, et al.	Stand-alone Admin. Proc.	34-79578	12/16/16
In the Matter of Deutsche Bank Securities, Inc.	Stand-alone Admin. Proc.	33-10272	12/16/16
In the Matter of Morgan Stanley & Co., LLC	Stand-alone Admin. Proc.	34-79606	12/20/16
SEC v. Naris Chamroonrat, et al.	Civil	LR-23709	12/21/16
In the Matter of Brian C. Rose	Follow-on Admin. Proc.	34-79692	12/27/16
In the Matter of Robert S. McGregor	Follow-on Admin. Proc.	34-79693	12/27/16
In the Matter of Jason B. Smith	Follow-on Admin. Proc.	34-79694	12/27/16
In the Matter of Brent Loveall	Follow-on Admin. Proc.	34-79695	12/27/16

<b>Case Name</b>	<b>Type of Action</b>	<b>Release No.</b>	<b>Date Filed</b>
In the Matter of Rafael Antonio Calleja, Jr.	Follow-on Admin. Proc.	34-79708	12/29/16
SEC v. Gregory T. Dean, et al.	Civil	LR-23715	01/09/17
In the Matter of ITG, Inc.	Stand-alone Admin. Proc.	33-10279	01/12/17
In the Matter of Citadel Securities, LLC	Stand-alone Admin. Proc.	33-10280	01/13/17
In the Matter of Gregg R. Mulholland	Follow-on Admin. Proc.	34-79799	01/13/17
In the Matter of Ane Plate	Follow-on Admin. Proc.	34-79854	01/23/17
In the Matter of Morgan Stanley Smith Barney, LLC	Stand-alone Admin. Proc.	33-10290	01/24/17
In the Matter of Citigroup Global Markets, Inc.	Stand-alone Admin. Proc.	33-10288	01/24/17
In the Matter of Windsor Street Capital, L.P. (f/k/a Meyers Associates, L.P.), et al.	Stand-alone Admin. Proc.	33-10293	01/25/17
In the Matter of Thomas H. Caniford	Follow-on Admin. Proc.	34-79952	02/02/17
In the Matter of Kirk D. Porter	Follow-on Admin. Proc.	34-79968	02/03/17
In the Matter of Darren Goodrich	Follow-on Admin. Proc.	34-79990	02/08/17
In the Matter of Jaypee International, Inc., et al.	Stand-alone Admin. Proc.	34-80005	02/09/17
In the Matter of Sylvester King, Jr.	Stand-alone Admin. Proc.	34-80006	02/10/17
SEC v. John Abio, et al.	Civil	LR-23751	02/13/17
In the Matter of Joseph A. Nelson	Follow-on Admin. Proc.	34-80026	02/13/17
In the Matter of Sidoti & Company, LLC	Stand-alone Admin. Proc.	34-80027	02/13/17
In the Matter of Angel Oak Capital Partners, LLC, et al.	Stand-alone Admin. Proc.	34-80053	02/16/17
In the Matter of James P. Griffin	Follow-on Admin. Proc.	34-80054	02/16/17
In the Matter of Brian S. Hudnall	Follow-on Admin. Proc.	34-80091	02/23/17
In the Matter of Naveed (a/k/a Nick) A. Khan	Follow-on Admin. Proc.	34-80160	03/06/17
In the Matter of Harrison W. Schumacher, II	Follow-on Admin. Proc.	34-80170	03/07/17
In the Matter of Adam L. Plumer	Follow-on Admin. Proc.	34-80176	03/08/17
In the Matter of Ronald Loshin	Follow-on Admin. Proc.	34-80196	03/10/17
In the Matter of Talman Harris	Follow-on Admin. Proc.	34-80197	03/10/17
In the Matter of Victor Alfaya	Follow-on Admin. Proc.	34-80198	03/10/17
In the Matter of Aaron R. Parthemer	Stand-alone Admin. Proc.	34-80221	03/13/17
In the Matter of David P. Hobson	Follow-on Admin. Proc.	34-80278	03/20/17
In the Matter of William D. Bucci	Follow-on Admin. Proc.	34-80299	03/22/17
In the Matter of Louis Capital Markets, LP	Stand-alone Admin. Proc.	34-80332	03/29/17
In the Matter of Paul L. Gomez	Follow-on Admin. Proc.	34-80342	03/30/17
In the Matter of Vincent Mehdizadeh	Follow-on Admin. Proc.	34-80345	03/30/17
In the Matter of CYGS, LLC	Stand-alone Admin. Proc.	34-80356	03/31/17
In the Matter of Ashif Jiwa	Follow-on Admin. Proc.	34-80389	04/06/17
In the Matter of Dustin S. Smith	Follow-on Admin. Proc.	34-80390	04/06/17
In the Matter of Anthony C. Zufelt	Follow-on Admin. Proc.	34-80402	04/07/17
In the Matter of Robert N. Tricarico	Follow-on Admin. Proc.	34-80424	04/10/17
In the Matter of Andrew C. Powell	Follow-on Admin. Proc.	34-80426	04/11/17
In the Matter of Travis A. Wetzel	Follow-on Admin. Proc.	34-80442	04/12/17
In the Matter of Jeffory Churchfield	Follow-on Admin. Proc.	34-80476	04/18/17
SEC v. Demitrios Hallas	Civil	LR-23813	04/25/17
In the Matter of Christopher Cervino	Follow-on Admin. Proc.	34-80776	04/27/17
In the Matter of Lebenthal & Co., LLC	Stand-alone Admin. Proc.	34-80557	04/28/17
In the Matter of Barclays Capital, Inc.	Stand-alone Admin. Proc.	34-80560	05/01/17
In the Matter of Yoon Seok Lee	Stand-alone Admin. Proc.	34-80561	05/01/17
In the Matter of David F. Wong	Stand-alone Admin. Proc.	34-80562	05/01/17
In the Matter of Gregory Reyftmann	Follow-on Admin. Proc.	34-80568	05/01/17
In the Matter of David Michael Burke	Follow-on Admin. Proc.	34-80572	05/02/17

<b>Case Name</b>	<b>Type of Action</b>	<b>Release No.</b>	<b>Date Filed</b>
In the Matter of Michael Andre Jones	Follow-on Admin. Proc.	34-80565	05/02/17
In the Matter of Lu Zhang	Stand-alone Admin. Proc.	34-80575	05/02/17
In the Matter of Griffith Thomas Ellis	Follow-on Admin. Proc.	34-80601	05/04/17
In the Matter of Yasuo Oda	Follow-on Admin. Proc.	34-80602	05/04/17
In the Matter of Steven L. Goldstein	Follow-on Admin. Proc.	34-80620	05/08/17
In the Matter of Joseph Loish	Follow-on Admin. Proc.	34-80621	05/08/17
In the Matter of Victor Lovera	Follow-on Admin. Proc.	34-80622	05/08/17
In the Matter of Frank Penaloza	Follow-on Admin. Proc.	34-80623	05/08/17
In the Matter of Edward R. Sachs	Follow-on Admin. Proc.	34-80624	05/08/17
In the Matter of Steven H. Sharaf	Follow-on Admin. Proc.	34-80625	05/08/17
In the Matter of Frederick Eugene Monroe, Jr.	Follow-on Admin. Proc.	34-80628	05/08/17
SEC v. James H. Im	Civil	LR-23848	05/15/17
SEC v. Kee Chan	Civil	LR-23848	05/15/17
In the Matter of Kee Chan	Follow-on Admin. Proc.	34-80732	05/19/17
SEC v. Alpine Securities Corporation	Civil	LR-23853	06/05/17
In the Matter of Bret H. Gardner	Follow-on Admin. Proc.	34-80855	06/05/17
In the Matter of Christopher David Scott	Stand-alone Admin. Proc.	34-80884	06/08/17
In the Matter of Stephanie Lee	Stand-alone Admin. Proc.	34-80896	06/09/17
In the Matter of James R. Trolice	Follow-on Admin. Proc.	34-80932	06/15/17
In the Matter of Moneyline Brokers	Follow-on Admin. Proc.	34-80954	06/19/17
In the Matter of Sandias Azucaradas CR, S.A.	Follow-on Admin. Proc.	34-80955	06/19/17
In the Matter of Vanilla Sky, S.A.	Follow-on Admin. Proc.	34-80956	06/19/17
In the Matter of Bastille Advisors, Inc.	Follow-on Admin. Proc.	34-80957	06/19/17
In the Matter of Club Consultants, Inc.	Follow-on Admin. Proc.	34-80958	06/19/17
In the Matter of Jurojin, Inc.	Follow-on Admin. Proc.	34-80959	06/19/17
In the Matter of Michael J. Randles	Follow-on Admin. Proc.	34-80960	06/19/17
In the Matter of Harold Bailey "B.J." Gallison, II	Follow-on Admin. Proc.	34-80961	06/19/17
In the Matter of Ann M. Hiskey	Follow-on Admin. Proc.	34-80962	06/19/17
In the Matter of Bonwick Capital Partners, LLC, et al.	Stand-alone Admin. Proc.	34-80993	06/21/17
In the Matter of Norrell L. Walker	Follow-on Admin. Proc.	34-81003	06/22/17
In the Matter of Anthony Portelli	Stand-alone Admin. Proc.	34-80996	06/22/17
In the Matter of Wm Smith & Co., et al.	Stand-alone Admin. Proc.	34-81025	06/26/17
In the Matter of Diana P. Lovera	Follow-on Admin. Proc.	34-81101	07/07/17
In the Matter of Dwight Shane Baldwin	Follow-on Admin. Proc.	34-81214	07/26/17
SEC v. Keystone Capital Partners, Inc. d/b/a Federal Employee Benefit Counselors, et al.	Civil	2017-135	07/31/17
In the Matter of Alfred C. Teran	Stand-alone Admin. Proc.	34-81308	08/03/17
In the Matter of Steven V. McClatchey	Follow-on Admin. Proc.	34-81329	08/07/17
In the Matter of Stephen S. Eubanks	Follow-on Admin. Proc.	34-81417	08/17/17
In the Matter of Joshua F. McAlees	Follow-on Admin. Proc.	34-81426	08/18/17
In the Matter of John W. Boyer	Follow-on Admin. Proc.	34-81425	08/18/17
In the Matter of James M. Palladino	Follow-on Admin. Proc.	34-81430	08/18/17
In the Matter of Banca IMI Securities Corp.	Stand-alone Admin. Proc.	33-10401	08/18/17
In the Matter of Allen Chi	Stand-alone Admin. Proc.	34-81447	08/21/17
In the Matter of Jeffrey Gainer	Follow-on Admin. Proc.	34-81461	08/22/17
In the Matter of Paul E. Renfroe	Follow-on Admin. Proc.	34-81455	08/22/17
In the Matter of Brian Michael Berger	Follow-on Admin. Proc.	34-81460	08/22/17
In the Matter of Paul Elvidge	Follow-on Admin. Proc.	34-81459	08/22/17
In the Matter of Gerardo E. Reyes	Follow-on Admin. Proc.	34-81458	08/22/17

<b>Case Name</b>	<b>Type of Action</b>	<b>Release No.</b>	<b>Date Filed</b>
In the Matter of Jason Hershberger	Follow-on Admin. Proc.	34-81466	08/23/17
In the Matter of Shawna Leigh Lynch	Follow-on Admin. Proc.	34-81464	08/23/17
In the Matter of Martin Miller	Follow-on Admin. Proc.	34-81463	08/23/17
In the Matter of Juan M. Perez Ortega	Follow-on Admin. Proc.	34-81465	08/23/17
In the Matter of Jack Sini	Follow-on Admin. Proc.	34-81467	08/23/17
In the Matter of John Abio (a/k/a Tre Brandenburg)	Follow-on Admin. Proc.	34-81480	08/24/17
SEC v. Leon Vaccarelli, et al.	Civil	LR-23927	08/31/17
In the Matter of State Street Global Markets, LLC, et al.	Stand-alone Admin. Proc.	33-10411	09/07/17
In the Matter of Mike Lundy (a/k/a Barkley J.W. Lundy)	Follow-on Admin. Proc.	34-81557	09/08/17
In the Matter of William D. Veasey, IV	Follow-on Admin. Proc.	34-81566	09/11/17
In the Matter of Javier Alvarado, Jr.	Follow-on Admin. Proc.	34-81565	09/11/17
In the Matter of Gary Yin	Follow-on Admin. Proc.	34-81564	09/11/17
In the Matter of Daryl G. Bank	Follow-on Admin. Proc.	34-81593	09/13/17
In the Matter of George Russell Thoreson	Follow-on Admin. Proc.	34-81637	09/15/17
In the Matter of Herschel C. Knippa	Follow-on Admin. Proc.	34-81631	09/15/17
In the Matter of Gerald J. Cocuzzo	Follow-on Admin. Proc.	34-81645	09/18/17
In the Matter of Abio Financial Group, Inc.	Follow-on Admin. Proc.	34-81684	09/22/17
In the Matter of Hui Feng, et al.	Follow-on Admin. Proc.	34-81711	09/25/17
In the Matter of LBMZ Securities, Inc.	Stand-alone Admin. Proc.	34-81719	09/26/17
In the Matter of Naris Chamroonrat	Follow-on Admin. Proc.	34-81718	09/26/17
In the Matter of Louis J. Spina	Follow-on Admin. Proc.	34-81732	09/27/17
In the Matter of Brian C. Jensen	Follow-on Admin. Proc.	34-81736	09/27/17
In the Matter of Avaneesh Krishnamoorthy	Follow-on Admin. Proc.	34-81741	09/27/17
In the Matter of Jeffrey Timothy Kluge	Follow-on Admin. Proc.	34-81758	09/28/17
In the Matter of Bobby D. Jones	Follow-on Admin. Proc.	34-81757	09/28/17
SEC v. William C. Gennity, et al.	Civil	2017-180	09/28/17
In the Matter of Laurence M. Torres	Stand-alone Admin. Proc.	33-10419	09/28/17
In the Matter of Demitrios Hallas	Follow-on Admin. Proc.	34-81743	09/28/17
In the Matter of Daniel C. Caravette	Stand-alone Admin. Proc.	33-10422	09/29/17
In the Matter of Pranav V. Patel	Follow-on Admin. Proc.	34-81762	09/29/17
In the Matter of Louis F. Petrossi	Follow-on Admin. Proc.	34-81763	09/29/17
<b>Delinquent Filings</b>			
In the Matter of Boreal Water Collection, Inc.	Stand-alone Admin. Proc.	34-79043	10/05/16
In the Matter of Cala Corporation, et al.	Stand-alone Admin. Proc.	34-79144	10/24/16
In the Matter of Dynamic Response Group, Inc., et al.	Stand-alone Admin. Proc.	34-79142	10/24/16
In the Matter of BioNovo, Inc., et al.	Stand-alone Admin. Proc.	34-79181	10/28/16
In the Matter of Q Lotus Holdings, Inc., et al.	Stand-alone Admin. Proc.	34-79179	10/28/16
In the Matter of Bill the Butcher, Inc., et al.	Stand-alone Admin. Proc.	34-79219	11/02/16
In the Matter of Questrust Ventures, Inc., et al.	Stand-alone Admin. Proc.	34-79319	11/15/16
In the Matter of Kogeto, Inc., et al.	Stand-alone Admin. Proc.	34-79321	11/16/16
In the Matter of Harvey Westbury Corp., et al.	Stand-alone Admin. Proc.	34-79334	11/17/16
In the Matter of All-Pro Products, Inc., et al.	Stand-alone Admin. Proc.	34-79365	11/21/16
In the Matter of MGN Technologies, Inc.	Stand-alone Admin. Proc.	34-79359	11/21/16
In the Matter of American Mortgage and Investment Co.	Stand-alone Admin. Proc.	34-79372	11/22/16
In the Matter of Odyssey Pictures Corporation, et al.	Stand-alone Admin. Proc.	34-79417	11/29/16
In the Matter of Mars Acquisitions, Inc., et al.	Stand-alone Admin. Proc.	34-79434	11/30/16
In the Matter of Aquanatural Co., et al.	Stand-alone Admin. Proc.	34-79487	12/06/16
In the Matter of Curlew Lake Resources, Inc.	Stand-alone Admin. Proc.	34-79489	12/07/16



<b>Case Name</b>	<b>Type of Action</b>	<b>Release No.</b>	<b>Date Filed</b>
In the Matter of Sen Yu International Holdings, Inc.	Stand-alone Admin. Proc.	34-79505	12/08/16
In the Matter of Ben Franklin Retail Stores, Inc., et al.	Stand-alone Admin. Proc.	34-79542	12/13/16
In the Matter of PAB Bankshares, Inc., et al.	Stand-alone Admin. Proc.	34-79657	12/22/16
In the Matter of AFN, Inc., et al.	Stand-alone Admin. Proc.	34-79656	12/22/16
In the Matter of Delverton Resorts International, Inc.	Stand-alone Admin. Proc.	34-79939	02/02/17
In the Matter of Fibercorp International, Inc., et al.	Stand-alone Admin. Proc.	34-79943	02/02/17
In the Matter of AVT, Inc., et al.	Stand-alone Admin. Proc.	34-79941	02/02/17
In the Matter of Oxford City Football Club, Inc.	Stand-alone Admin. Proc.	34-79986	02/08/17
In the Matter of the Registration Statement of Hydrocarb Energy Corp.	Stand-alone Admin. Proc.	34-80058	02/17/17
In the Matter of Myriad Entertainment & Resorts, Inc., et al.	Stand-alone Admin. Proc.	34-80113	02/24/17
In the Matter of Prestige Financial Corp., et al.	Stand-alone Admin. Proc.	34-80112	02/24/17
In the Matter of Sidewinder Explorations, Inc.	Stand-alone Admin. Proc.	34-80111	02/24/17
In the Matter of CirTran Corp., et al.	Stand-alone Admin. Proc.	34-80145	03/03/17
In the Matter of GCA I Acquisition Corp., et al.	Stand-alone Admin. Proc.	34-80174	03/08/17
In the Matter of Shallbetter Industries, Inc., et al.	Stand-alone Admin. Proc.	34-80261	03/16/17
In the Matter of Ubiquity, Inc.	Stand-alone Admin. Proc.	34-80276	03/20/17
In the Matter of China Biopharma, Inc., et al.	Stand-alone Admin. Proc.	34-80293	03/21/17
In the Matter of Real Hip-Hop Network, Inc., et al.	Stand-alone Admin. Proc.	34-80344	03/30/17
In the Matter of International Building Concepts, Ltd., et al.	Stand-alone Admin. Proc.	34-80365	04/03/17
In the Matter of Solar Shore One, Inc., et al.	Stand-alone Admin. Proc.	34-80446	04/13/17
In the Matter of Biovest International, Inc., et al.	Stand-alone Admin. Proc.	34-80493	04/20/17
In the Matter of Axesstel, Inc.	Stand-alone Admin. Proc.	34-80519	04/24/17
In the Matter of Prospect Ventures, Inc., et al.	Stand-alone Admin. Proc.	34-80532	04/26/17
In the Matter of Sanomedics, Inc.	Stand-alone Admin. Proc.	34-80578	05/02/17
In the Matter of Ciralight Global, Inc., et al.	Stand-alone Admin. Proc.	34-80633	05/09/17
In the Matter of Digital Brand Media & Marketing Group, Inc., et al.	Stand-alone Admin. Proc.	34-80701	05/16/17
In the Matter of Atomic Paintball, Inc., et al.	Stand-alone Admin. Proc.	34-80703	05/16/17
In the Matter of A.C. Simmonds and Sons, Inc., et al.	Stand-alone Admin. Proc.	34-80765	05/24/17
In the Matter of Double Crown Resources, Inc., et al.	Stand-alone Admin. Proc.	34-80764	05/24/17
In the Matter of Cardinal Resources, Inc., et al.	Stand-alone Admin. Proc.	34-80829	05/31/17
In the Matter of New Western Energy Corp., et al.	Stand-alone Admin. Proc.	34-80846	06/01/17
In the Matter of Integrated Freight Corporation	Stand-alone Admin. Proc.	34-80863	06/05/17
In the Matter of Evolucia, Inc., et al.	Stand-alone Admin. Proc.	34-80880	06/07/17
In the Matter of Can-Cal Resources, Ltd., et al.	Stand-alone Admin. Proc.	34-80892	06/08/17
In the Matter of T3 Holdings, Inc., et al.	Stand-alone Admin. Proc.	34-80943	06/15/17
In the Matter of dELiA*s, Inc., et al.	Stand-alone Admin. Proc.	34-80981	06/20/17
In the Matter of Energy Edge Technologies Corp., et al.	Stand-alone Admin. Proc.	34-80984	06/20/17
In the Matter of IbeX Advanced Mortgage Technology, Inc.	Stand-alone Admin. Proc.	34-81026	06/26/17
In the Matter of Cibolan Gold Corporation, et al.	Stand-alone Admin. Proc.	34-81216	07/26/17
In the Matter of Aja Cannafacturing, Inc., et al.	Stand-alone Admin. Proc.	34-81217	07/26/17
In the Matter of Attitude Drinks Incorporated, et al.	Stand-alone Admin. Proc.	34-81219	07/26/17
In the Matter of Medicus Homecare, Inc.	Stand-alone Admin. Proc.	34-81235	07/27/17
In the Matter of CNK Global, Inc.	Stand-alone Admin. Proc.	34-81237	07/27/17
In the Matter of Aquentium, Inc., et al.	Stand-alone Admin. Proc.	34-81239	07/27/17
In the Matter of Aurios Inc., et al.	Stand-alone Admin. Proc.	34-81283	08/01/17
In the Matter of Kung Fu Dragon Group Limited	Stand-alone Admin. Proc.	34-81281	08/01/17
In the Matter of China Greenstar Corporation, et al.	Stand-alone Admin. Proc.	34-81300	08/02/17
In the Matter of AV Therapeutics, Inc., et al.	Stand-alone Admin. Proc.	34-81295	08/02/17



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In the Matter of Axiom Oil & Gas Corp., et al.	Stand-alone Admin. Proc.	34-81298	08/02/17
In the Matter of Valdor Technology International, Inc.	Stand-alone Admin. Proc.	34-81319	08/04/17
In the Matter of Altovida Inc., et al.	Stand-alone Admin. Proc.	34-81333	08/07/17
In the Matter of American Magna Corp., et al.	Stand-alone Admin. Proc.	34-81335	08/07/17
In the Matter of Boldface Group, Inc., et al.	Stand-alone Admin. Proc.	34-81331	08/07/17
In the Matter of China Du Kang Co., Ltd.	Stand-alone Admin. Proc.	34-81356	08/08/17
In the Matter of E-Waste Systems, Inc.	Stand-alone Admin. Proc.	34-81375	08/10/17
In the Matter of CellCyte Genetics Corp., et al.	Stand-alone Admin. Proc.	34-81489	08/28/17
In the Matter of Circle Star Energy Corp., et al.	Stand-alone Admin. Proc.	34-81492	08/28/17
In the Matter of China Precision Steel, Inc., et al.	Stand-alone Admin. Proc.	34-81529	09/05/17
In the Matter of GeoGlobal Resources, Inc., et al.	Stand-alone Admin. Proc.	34-81533	09/05/17
In the Matter of Mackenzie Taylor Minerals, Inc., et al.	Stand-alone Admin. Proc.	34-81525	09/05/17
In the Matter of Bohai Pharmaceuticals Group, Inc.	Stand-alone Admin. Proc.	34-81527	09/05/17
In the Matter of Accelerated Acquisition XVII, Inc., et al.	Stand-alone Admin. Proc.	34-81522	09/05/17
In the Matter of BioPharma Manufacturing Solutions, Inc., et al.	Stand-alone Admin. Proc.	34-81524	09/05/17
In the Matter of Tintic Gold Mining Company	Stand-alone Admin. Proc.	34-81540	09/06/17
In the Matter of American-Swiss Capital, Inc., et al.	Stand-alone Admin. Proc.	34-81535	09/06/17
In the Matter of Hall Tees, Inc., et al.	Stand-alone Admin. Proc.	34-81536	09/06/17
In the Matter of Century Acquisition Corp., et al.	Stand-alone Admin. Proc.	34-81551	09/07/17
In the Matter of Kun De International Holdings, Inc., et al.	Stand-alone Admin. Proc.	34-81575	09/11/17
In the Matter of Gamzio Mobile, Inc., et al.	Stand-alone Admin. Proc.	34-81577	09/11/17
In the Matter of Experience Art and Design, Inc., et al.	Stand-alone Admin. Proc.	34-81587	09/12/17
In the Matter of Chile Mining Technologies, Inc.	Stand-alone Admin. Proc.	34-81589	09/12/17
In the Matter of Cono Italiano, Inc., et al.	Stand-alone Admin. Proc.	34-81609	09/13/17
In the Matter of ANV Security Group, Inc.	Stand-alone Admin. Proc.	34-81607	09/13/17
In the Matter of China Hefeng Rescue Equipment, Inc., et al.	Stand-alone Admin. Proc.	34-81618	09/14/17
In the Matter of Neurologix, Inc., et al.	Stand-alone Admin. Proc.	34-81625	09/14/17
In the Matter of Huixin Waste Water Solutions, Inc.	Stand-alone Admin. Proc.	34-81647	09/18/17
In the Matter of Meridian Co., Ltd.	Stand-alone Admin. Proc.	34-81649	09/18/17
In the Matter of ARX Gold Corporation	Stand-alone Admin. Proc.	34-81643	09/18/17
In the Matter of Immunoclin Corp., et al.	Stand-alone Admin. Proc.	34-81658	09/19/17
In the Matter of Creator Capital, Ltd.	Stand-alone Admin. Proc.	34-81656	09/19/17
In the Matter of Engage Eco Solutions, Inc., et al.	Stand-alone Admin. Proc.	34-81663	09/20/17
In the Matter of JuQun, Inc., et al.	Stand-alone Admin. Proc.	34-81666	09/21/17
In the Matter of Aervision Holdings, Inc., et al.	Stand-alone Admin. Proc.	34-81685	09/22/17
In the Matter of Hampshire Group, Limited, et al.	Stand-alone Admin. Proc.	34-81688	09/22/17
In the Matter of IMK Group, Inc., et al.	Stand-alone Admin. Proc.	34-81692	09/22/17
In the Matter of Penny Auction Solutions, Inc., et al.	Stand-alone Admin. Proc.	34-81690	09/22/17
In the Matter of IN Media Corporation, et al.	Stand-alone Admin. Proc.	34-81704	09/25/17
In the Matter of HydroPhi Technologies Group, Inc., et al.	Stand-alone Admin. Proc.	34-81707	09/25/17
In the Matter of KollagenX Corp., et al.	Stand-alone Admin. Proc.	34-81706	09/25/17
In the Matter of Icon Vapor, Inc., et al.	Stand-alone Admin. Proc.	34-81712	09/25/17
In the Matter of GO EZ Corporation, et al.	Stand-alone Admin. Proc.	34-81694	09/25/17
In the Matter of Guardian 8 Holdings, et al.	Stand-alone Admin. Proc.	34-81731	09/26/17
In the Matter of Next Galaxy Corp., et al.	Stand-alone Admin. Proc.	34-81726	09/26/17
In the Matter of Hydrogen Future Corporation, et al.	Stand-alone Admin. Proc.	34-81728	09/26/17
In the Matter of Infinity Real Estate Holdings Corporation, et al.	Stand-alone Admin. Proc.	34-81723	09/26/17
In the Matter of Dearborn Bancorp, Inc., et al.	Stand-alone Admin. Proc.	34-81735	09/27/17

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<b>Foreign Corrupt Practices Act</b>			
SEC v. Embraer, S.A.	Civil	LR-23676	10/24/16
In the Matter of JP Morgan Chase & Co.	Stand-alone Admin. Proc.	34-79335	11/17/16
SEC v. Braskem, S.A.	Civil	LR-23705	12/21/16
SEC v. Teva Pharmaceutical Industries Limited	Civil	LR-23708	12/22/16
In the Matter of General Cable Corporation	Stand-alone Admin. Proc.	34-79703	12/29/16
In the Matter of Karl J. Zimmer	Stand-alone Admin. Proc.	34-79704	12/29/16
In the Matter of Cadbury Limited, et al.	Stand-alone Admin. Proc.	34-79753	01/06/17
In the Matter of Biomet, Inc.	Stand-alone Admin. Proc.	34-79780	01/12/17
In the Matter of Sociedad Quimica y Minera de Chile, S.A.	Stand-alone Admin. Proc.	34-79795	01/13/17
In the Matter of Orthofix International N.V.	Stand-alone Admin. Proc.	34-79828	01/18/17
SEC v. Michael L. Cohen, et al.	Civil	LR-23728	01/26/17
In the Matter of Gregory S. Weisman	Follow-on Admin. Proc.	34-80775	05/25/17
In the Matter of Halliburton Company, et al.	Stand-alone Admin. Proc.	34-81222	07/27/17
In the Matter of Telia Company AB	Stand-alone Admin. Proc.	34-81669	09/21/17
<b>Insider Trading</b>			
SEC v. James C. Cope, Esq.	Civil	LR-23675	10/21/16
In the Matter of Marc Winters	Stand-alone Admin. Proc.	34-79460	12/02/16
SEC v. Jonathan Ly	Civil	2016-256	12/05/16
In the Matter of Jo Ann Myers, et al.	Stand-alone Admin. Proc.	34-79581	12/16/16
In the Matter of Shelly R. McGuire, CPA	Stand-alone Admin. Proc.	34-79855	01/23/17
In the Matter of Donald P. Jones, CPA	Stand-alone Admin. Proc.	34-79856	01/23/17
SEC v. Lin, Yu-Cheng	Civil	LR-23748	02/09/17
SEC v. Alan Barry Staples	Civil	LR-23746	02/10/17
SEC v. Shaohua (Michael) Yin, et al.	Civil	LR-23747	02/10/17
SEC v. Alda, Ltd., et al.	Civil	LR-23760	02/24/17
In the Matter of Nima Hedayati	Stand-alone Admin. Proc.	34-80238	03/14/17
SEC v. Todd David Alpert	Civil	LR-23780	03/15/17
SEC v. Ariel Darvasi, et al.	Civil	LR-23789	03/23/17
SEC v. Christopher Ludwig	Civil	LR-23784	03/23/17
SEC v. Steven A. Hartung	Civil	LR-23786	03/23/17
SEC v. Lawrence F. Cluff, Jr., et al.	Civil	LR-23801	04/05/17
SEC v. Omar El-Achkar, et al.	Civil	2017-80	04/13/17
SEC v. Avaneesh Krishnamoorthy, et al.	Civil	LR-23814	04/24/17
SEC v. Walter C. Little, et al.	Civil	LR-23833	05/11/17
SEC v. David Blaszczyk, et al.	Civil	LR-23841	05/24/17
SEC v. Michael Trahan	Civil	LR-23854	06/06/17
In the Matter of Dan ("Alice") Zhang, CPA	Stand-alone Admin. Proc.	34-80872	06/07/17
SEC v. Harold L. Altvater	Civil	LR-23868	06/27/17
SEC v. Maureen E. Curran	Civil	LR-23868	06/27/17
SEC v. Susan L. Dubuc	Civil	LR-23868	06/27/17
SEC v. Victory Ho	Civil	LR-23877	07/11/17
SEC v. Fei Yan, et al.	Civil	2017-125	07/12/17
In the Matter of John F. Stimpson	Stand-alone Admin. Proc.	34-81160	07/18/17
SEC v. Damon Hovannisian, et al.	Civil	LR-23901	08/10/17
SEC v. Daniel Rivas, et al.	Civil	LR-23911	08/16/17
SEC v. Evan R. Kita, et al.	Civil	LR-23926	08/31/17
In the Matter of Alan M. Stark, Esq.	Stand-alone Admin. Proc.	34-81523	09/05/17

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SEC v. Brett Kennedy, et al.	Civil	LR-23931	09/07/17
SEC v. Mayank Gupta, et al.	Civil	LR-23934	09/12/17
SEC v. Peter C. Chang	Civil	LR-23937	09/20/17
In the Matter of Joel P. Zingerman	Stand-alone Admin. Proc.	34-81677	09/21/17
SEC v. Justin Samuel Cary	Civil	LR-23940	09/21/17
SEC v. Jason Napodano, et al.	Civil	LR-23943	09/26/17
In the Matter of Fengjiu Zhang, et al.	Stand-alone Admin. Proc.	34-81744	09/28/17
SEC v. Shane P. Fleming, et al.	Civil	2017-184	09/29/17
SEC v. Anand Jayapalan, et al.	Civil	LR-23952	09/29/17

### **Investment Advisors/Investment Companies**

In the Matter of Laurence I. Balter d/b/a Oracle Investment Research	Stand-alone Admin. Proc.	33-10228	10/04/16
In the Matter of Dupree Financial Group, LLC	Stand-alone Admin. Proc.	IA-4546	10/05/16
In the Matter of Nicholas S. Savva	Follow-on Admin. Proc.	IA-4549	10/12/16
In the Matter of Artis Capital Management, L.P., et al.	Stand-alone Admin. Proc.	IA-4550	10/13/16
In the Matter of Matthew D. Haab	Follow-on Admin. Proc.	IA-4552	10/17/16
In the Matter of Calvert Investment Management, Inc.	Stand-alone Admin. Proc.	IA-4554	10/18/16
In the Matter of Mark J. Aubry	Follow-on Admin. Proc.	IA-4556	10/19/16
In the Matter of John Leo Valentine	Stand-alone Admin. Proc.	34-79126	10/20/16
In the Matter of Gary C. Snisky	Follow-on Admin. Proc.	34-79169	10/27/16
SEC v. Marc D. Broidy, et al.	Civil	LR-23679	10/27/16
In the Matter of Wade James Lawrence	Follow-on Admin. Proc.	34-79199	10/31/16
In the Matter of Harvey Altholtz	Follow-on Admin. Proc.	IA-4564	11/03/16
In the Matter of Philip E. Moriarty, II	Follow-on Admin. Proc.	34-79254	11/07/16
SEC v. Christopher K. Schrichte, et al.	Civil	LR-23683	11/07/16
In the Matter of Derik J. Todd, et al.	Stand-alone Admin. Proc.	33-10250	11/10/16
In the Matter of James Y. Lee	Follow-on Admin. Proc.	IA-4571	11/17/16
In the Matter of Shervin Neman, et al.	Follow-on Admin. Proc.	IA-4575	11/29/16
In the Matter of Pacific Investment Management Company, LLC	Stand-alone Admin. Proc.	IA-4577	12/01/16
In the Matter of Harold D. Garrison	Stand-alone Admin. Proc.	IA-4584	12/07/16
In the Matter of State Street Bank and Trust Company	Stand-alone Admin. Proc.	IC-32390	12/12/16
SEC v. Richard G. Cody, et al.	Civil	LR-23702	12/12/16
In the Matter of New Silk Route Advisors, L.P.	Stand-alone Admin. Proc.	IA-4587	12/14/16
In the Matter of Ash Narayan	Follow-on Admin. Proc.	IA-4589	12/15/16
SEC v. Platinum Management (NY), LLC, et al.	Civil	LR-23704	12/19/16
In the Matter of Augustine Capital Management, LLC, et al.	Stand-alone Admin. Proc.	IA-4591	12/20/16
In the Matter of Roy Dekel	Follow-on Admin. Proc.	IA-4594	12/27/16
In the Matter of Essex Financial Services, Inc.	Stand-alone Admin. Proc.	34-79757	01/09/17
In the Matter of John W. Rafal	Stand-alone Admin. Proc.	34-79755	01/09/17
In the Matter of Peter Hershman, Esq.	Stand-alone Admin. Proc.	34-79756	01/09/17
In the Matter of Centre Partners Management, LLC	Stand-alone Admin. Proc.	IA-4604	01/10/17
In the Matter of Morgan Stanley Smith Barney, LLC	Stand-alone Admin. Proc.	34-79794	01/13/17
In the Matter of Gregory W. Gray, Jr.	Follow-on Admin. Proc.	IA-4618	01/17/17
In the Matter of Bob Brakeman Enterprises, LLC, et al.	Stand-alone Admin. Proc.	IA-4620	01/19/17
In the Matter of Susan M. Diamond	Stand-alone Admin. Proc.	34-79848	01/19/17
In the Matter of Hans Peter Black, et al.	Follow-on Admin. Proc.	IA-4624	01/24/17
In the Matter of Geoffrey J. Block	Stand-alone Admin. Proc.	34-79867	01/24/17
SEC v. Strategic Capital Management, LLC, et al.	Civil	LR-23727	01/25/17

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In the Matter of Citigroup Global Markets, Inc.	Stand-alone Admin. Proc.	34-79882	01/26/17
In the Matter of Palestra Capital Management, LLC	Stand-alone Admin. Proc.	34-79879	01/26/17
In the Matter of GL Capital Partners, LLC	Follow-on Admin. Proc.	IA-4629	01/30/17
In the Matter of GL Investment Services, LLC	Follow-on Admin. Proc.	IA-4630	01/30/17
SEC v. Mark J. Varacchi, et al.	Civil	LR-23739	02/02/17
SEC v. Barry F. Connell	Civil	2017-41	02/03/17
In the Matter of Gregg D. Caplitz	Follow-on Admin. Proc.	IA-4644	02/07/17
In the Matter of Rosalind Herman	Follow-on Admin. Proc.	IA-4643	02/07/17
In the Matter of SLRA, Inc., et al.	Stand-alone Admin. Proc.	IA-4641	02/07/17
In the Matter of Jeffrey Slocum & Associates, Inc., et al.	Stand-alone Admin. Proc.	IA-4647	02/08/17
In the Matter of Thomas A. Guerriero	Follow-on Admin. Proc.	IA-4645	02/08/17
In the Matter of Morgan Stanley Smith Barney, LLC	Stand-alone Admin. Proc.	IA-4649	02/14/17
In the Matter of Christopher M. Cunningham	Follow-on Admin. Proc.	34-80065	02/17/17
SEC v. William P. Carlson, Jr.	Civil	LR-23755	02/21/17
In the Matter of John Austin Gibson, Jr.	Follow-on Admin. Proc.	34-80095	02/23/17
In the Matter of Lee P. Vaccaro	Follow-on Admin. Proc.	34-80092	02/23/17
In the Matter of Voya Financial Advisors, Inc.	Stand-alone Admin. Proc.	34-80177	03/08/17
In the Matter of Patrick Churchville	Follow-on Admin. Proc.	34-80183	03/09/17
In the Matter of Michael J. Breton	Follow-on Admin. Proc.	IA-4663	03/13/17
In the Matter of Jeremy S. Hixson	Follow-on Admin. Proc.	34-80231	03/13/17
In the Matter of Stifel, Nicolaus & Company, Incorporated	Stand-alone Admin. Proc.	IA-4665	03/13/17
In the Matter of Warren D. Nadel	Follow-on Admin. Proc.	34-80263	03/16/17
SEC v. Daniel H. Glick, et al.	Civil	LR-23794	03/23/17
In the Matter of Covenant Financial Services, LLC, et al.	Stand-alone Admin. Proc.	IA-4672	03/29/17
In the Matter of Credit Suisse Securities (USA), LLC	Stand-alone Admin. Proc.	34-80373	04/04/17
In the Matter of Sanford Michael Katz	Stand-alone Admin. Proc.	IA-4679	04/04/17
In the Matter of Clayton A. Cohn	Follow-on Admin. Proc.	IA-4683	04/11/17
In the Matter of Anthony G. Sciarra	Follow-on Admin. Proc.	34-80444	04/12/17
SEC v. Justin D. Meadlin, et al.	Civil	LR-23808	04/17/17
In the Matter of Mark J. Varacchi	Follow-on Admin. Proc.	IA-4688	04/19/17
SEC v. Kevin J. Amell	Civil	LR-23812	04/24/17
In the Matter of BlackRock Fund Advisors	Stand-alone Admin. Proc.	IC-32613	04/25/17
In the Matter of Yul L. Pinto Ayala	Follow-on Admin. Proc.	IA-4693	04/27/17
In the Matter of Abida Khan	Follow-on Admin. Proc.	34-80889	04/27/17
In the Matter of William Blair & Company, LLC	Stand-alone Admin. Proc.	IA-4695	05/01/17
In the Matter of Calvert Investment Distributors, Inc., et al.	Stand-alone Admin. Proc.	IA-4696	05/02/17
SEC v. Mohamud Abdi Ahmed, et al.	Civil	LR-23834	05/04/17
In the Matter of Tellone Management Group, Inc., et al.	Stand-alone Admin. Proc.	IA-4701	05/05/17
In the Matter of Source Financial Advisors, LLC, et al.	Stand-alone Admin. Proc.	IA-4702	05/05/17
In the Matter of Barclays Capital, Inc.	Stand-alone Admin. Proc.	33-10355	05/10/17
In the Matter of William J. Wells	Follow-on Admin. Proc.	34-80712	05/18/17
SEC v. Yasuna Murakami, et al.	Civil	LR-23837	05/22/17
SEC v. Gustavo A. Guzman	Civil	LR-23842	05/24/17
In the Matter of Ronald J. Fernandes	Follow-on Admin. Proc.	IA-4711	06/01/17
In the Matter of Marc D. Broidy	Follow-on Admin. Proc.	IA-4712	06/01/17
In the Matter of Mark C. Northrop	Follow-on Admin. Proc.	IA-4716	06/19/17
In the Matter of Serofim Muroff	Follow-on Admin. Proc.	IA-4718	06/22/17
In the Matter of Resilience Management, LLC, et al.	Stand-alone Admin. Proc.	IA-4721	06/29/17
In the Matter of Bantry Bay Capital, LLC, et al.	Stand-alone Admin. Proc.	33-10384	06/30/17

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In the Matter of Landwin Management, LLC, et al.	Stand-alone Admin. Proc.	IA-4725	07/06/17
In the Matter of Paramount Group Real Estate Advisor, LLC	Stand-alone Admin. Proc.	IA-4726	07/06/17
In the Matter of Charles A. Banks, IV	Follow-on Admin. Proc.	IA-4727	07/10/17
In the Matter of Vincent Puma	Follow-on Admin. Proc.	IA-4729	07/14/17
In the Matter of KMS Financial Services, Inc.	Stand-alone Admin. Proc.	34-81169	07/19/17
In the Matter of Brian Kimball Case, et al.	Stand-alone Admin. Proc.	IA-4733	07/25/17
In the Matter of Columbia River Advisors, LLC, et al.	Stand-alone Admin. Proc.	IA-4734	07/28/17
In the Matter of Bradley T. Smegal	Follow-on Admin. Proc.	34-81279	08/01/17
In the Matter of Cadaret, Grant & Co., Inc.	Stand-alone Admin. Proc.	34-81274	08/01/17
In the Matter of Black Diamond Asset Management, LLC, et al.	Stand-alone Admin. Proc.	IA-4739	08/04/17
In the Matter of Donald J. Lester	Follow-on Admin. Proc.	34-81330	08/07/17
In the Matter of Coachman Energy Partners, LLC, et al.	Stand-alone Admin. Proc.	IA-4743	08/14/17
In the Matter of Diane W. Lamm	Follow-on Admin. Proc.	IA-4744	08/15/17
In the Matter of Institutional Investors Advisory Company	Stand-alone Admin. Proc.	IA-4747	08/16/17
In the Matter of Capital Dynamics, Inc.	Stand-alone Admin. Proc.	IA-4746	08/16/17
In the Matter of Deerfield Management Company, L.P.	Stand-alone Admin. Proc.	IA-4749	08/21/17
In the Matter of Vertical Capital Asset Management, LLC, et al.	Stand-alone Admin. Proc.	33-10404	08/22/17
SEC v. Jeremy Joseph Drake	Civil	LR-23915	08/22/17
In the Matter of Martin Shkreli	Follow-on Admin. Proc.	IA-4753	08/22/17
SEC v. Sonya D. Camarco, et al.	Civil	LR-23919	08/23/17
SEC v. Navellier & Associates, Inc., et al.	Civil	LR-23925	08/31/17
In the Matter of Steven C. Scudder	Follow-on Admin. Proc.	34-81534	09/06/17
SEC v. Scott Newsholme	Civil	LR-23930	09/06/17
In the Matter of Envoy Advisory, Inc.	Stand-alone Admin. Proc.	IA-4764	09/08/17
In the Matter of Potomac Asset Management Company, Inc., et al.	Stand-alone Admin. Proc.	IA-4766	09/11/17
In the Matter of Howarth Financial Services, LLC, et al.	Stand-alone Admin. Proc.	34-81585	09/12/17
In the Matter of Jeremy A. Licht d/b/a JL Capital Management	Stand-alone Admin. Proc.	34-81584	09/12/17
In the Matter of Suntrust Investment Services, Inc.	Stand-alone Admin. Proc.	34-81611	09/14/17
In the Matter of Platinum Equity Advisors, LLC	Stand-alone Admin. Proc.	IA-4772	09/21/17
SEC v. Michael S. Moses, et al.	Civil	LR-23941	09/22/17
In the Matter of Marshall G. Eichenauer, Jr., et al.	Stand-alone Admin. Proc.	IA-4773	09/22/17
In the Matter of Aletheia Research and Management, Inc.	Follow-on Admin. Proc.	IA-4774	09/25/17
In the Matter of TRH Financial, LLC	Stand-alone Admin. Proc.	IA-4776	09/26/17
In the Matter of 360 Financial, Inc.	Stand-alone Admin. Proc.	IA-4777	09/26/17
In the Matter of VisionPoint Advisory Group, LLC	Stand-alone Admin. Proc.	IA-4778	09/26/17
In the Matter of Brian J. Keenan	Follow-on Admin. Proc.	IA-4775	09/26/17
In the Matter of Perry H. Beaumont	Stand-alone Admin. Proc.	IA-4781	09/28/17
In the Matter of SIX Financial Information USA, Inc.	Stand-alone Admin. Proc.	IA-4780	09/28/17
In the Matter of Honeysuckle Research, Inc.	Stand-alone Admin. Proc.	IC-32840	09/28/17
SEC v. Tarek D. Bahgat, et al.	Civil	LR-23951	09/28/17
<b>Issuer Reporting and Disclosure</b>			
In the Matter of Credit Suisse AG	Stand-alone Admin. Proc.	33-10229	10/05/16
In the Matter of Rolf Bögli	Stand-alone Admin. Proc.	33-10230	10/05/16
SEC v. Lime Energy Co., et al.	Civil	LR-23673	10/18/16
In the Matter of Ernst & Young, LLP, et al.	Stand-alone Admin. Proc.	34-79109	10/18/16
In the Matter of David A. Aronson, CPA	Stand-alone Admin. Proc.	34-79120	10/19/16
In the Matter of FMC Technologies, Inc., et al.	Stand-alone Admin. Proc.	34-79127	10/20/16



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In the Matter of Julianne M. Chandler	Follow-on Admin. Proc.	34-79137	10/21/16
In the Matter of Domenick F. Consolo, CPA, et al.	Stand-alone Admin. Proc.	33-10242	10/31/16
In the Matter of Adrian D. Beamish, CPA	Stand-alone Admin. Proc.	34-79193	10/31/16
In the Matter of the Registration Statement of Flaster Corporation	Stand-alone Admin. Proc.	33-10245	11/04/16
In the Matter of the Registration Statement of iLoan, Inc.	Stand-alone Admin. Proc.	33-10246	11/04/16
In the Matter of the Registration Statement of Zubra, Inc.	Stand-alone Admin. Proc.	33-10247	11/04/16
In the Matter of the Registration Statement of Instride, Inc.	Stand-alone Admin. Proc.	33-10248	11/04/16
In the Matter of PowerSecure International, Inc.	Stand-alone Admin. Proc.	34-79256	11/07/16
In the Matter of Christopher Egan	Stand-alone Admin. Proc.	33-10256	11/15/16
SEC v. Gavin Campion	Civil	LR-23690	11/17/16
In the Matter of Grassi & Co., CPAs, P.C.	Stand-alone Admin. Proc.	34-79368	11/21/16
In the Matter of Gary R. Purwin, CPA	Stand-alone Admin. Proc.	34-79369	11/21/16
In the Matter of PMB Helin Donovan, LLP, et al.	Stand-alone Admin. Proc.	34-79364	11/21/16
In the Matter of United Continental Holdings, Inc.	Stand-alone Admin. Proc.	34-79454	12/02/16
In the Matter of KPMG, LLP	Stand-alone Admin. Proc.	34-79483	12/06/16
In the Matter of Joel Felix	Stand-alone Admin. Proc.	33-10269	12/16/16
In the Matter of Jack Henry & Associates, Inc.	Stand-alone Admin. Proc.	34-79650	12/21/16
In the Matter of Badree Komandur ACA, et al.	Stand-alone Admin. Proc.	34-79669	12/22/16
In the Matter of Alok Saraf, CA	Stand-alone Admin. Proc.	34-79668	12/22/16
In the Matter of David A. Loppert	Follow-on Admin. Proc.	34-79698	12/27/16
In the Matter of General Cable Corporation	Stand-alone Admin. Proc.	34-79702	12/29/16
In the Matter of L3 Technologies, Inc.	Stand-alone Admin. Proc.	34-79772	01/11/17
In the Matter of The Bank of New York Mellon Corporation	Stand-alone Admin. Proc.	34-79777	01/12/17
In the Matter of Allergan, Inc.	Stand-alone Admin. Proc.	34-79814	01/17/17
In the Matter of Orthofix International N.V.	Stand-alone Admin. Proc.	33-10281	01/18/17
In the Matter of Jeffrey Hammel, CPA	Stand-alone Admin. Proc.	33-10282	01/18/17
In the Matter of Brian McCollum	Stand-alone Admin. Proc.	34-79819	01/18/17
In the Matter of Kenneth Mack, et al.	Stand-alone Admin. Proc.	34-79820	01/18/17
In the Matter of Eytan Bar	Stand-alone Admin. Proc.	33-10284	01/18/17
In the Matter of Mer Telemanagement Solutions, Ltd.	Stand-alone Admin. Proc.	33-10285	01/18/17
In the Matter of General Motors Company	Stand-alone Admin. Proc.	34-79825	01/18/17
In the Matter of MDC Partners, Inc.	Stand-alone Admin. Proc.	33-10283	01/18/17
In the Matter of HomeStreet, Inc., et al.	Stand-alone Admin. Proc.	34-79844	01/19/17
In the Matter of Overseas Shipholding Group, Inc., et al.	Stand-alone Admin. Proc.	33-10286	01/23/17
SEC v. Mathias Francisco Sandoval Herrera, et al.	Civil	LR-23726	01/24/17
In the Matter of the Registration Statement of Infeed Medica Corp.	Stand-alone Admin. Proc.	33-10294	01/25/17
In the Matter of Anderson Bradshaw PLLC, et al.	Stand-alone Admin. Proc.	34-79880	01/26/17
SEC v. Thomas Miller, et al.	Civil	LR-23741	02/03/17
In the Matter of Ixia, et al.	Stand-alone Admin. Proc.	33-10302	02/03/17
In the Matter of the Registration Statements of Oxford City Football Club, Inc.	Stand-alone Admin. Proc.	33-10304	02/08/17
In the Matter of CVR Energy, Inc.	Stand-alone Admin. Proc.	34-80039	02/14/17
SEC v. Kent P. Watts, et al.	Civil	LR-23810	02/17/17
SEC v. Darrell Glenn Hardaway, et al.	Civil	LR-23753	02/17/17
In the Matter of Edward Richardson Jr., CPA, et al.	Stand-alone Admin. Proc.	34-80103	02/24/17
In the Matter of the Registration Statement of Go EZ Corporation	Stand-alone Admin. Proc.	33-10313	02/27/17
In the Matter of the Registration Statement of Arc LifeStyle Group, Inc.	Stand-alone Admin. Proc.	33-10314	02/27/17

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SEC v. Desarrolladora Homex, S.A.B. de C.V.	Civil	LR-23765	03/03/17
SEC v. Notis Global, Inc. (f/k/a Medbox, Inc.), et al.	Civil	LR-23774	03/09/17
SEC v. Nasir N. Shakouri, et al.	Civil	LR-23775	03/10/17
In the Matter of Advanced Emissions Solutions, Inc.	Stand-alone Admin. Proc.	33-10329	03/29/17
SEC v. Mark McKinnies	Civil	LR-23793	03/29/17
In the Matter of William Joseph Kouser, Jr., CPA, et al.	Stand-alone Admin. Proc.	34-80370	04/04/17
SEC v. Michael D. Shumway	Civil	LR-23800	04/05/17
In the Matter of Michael D. Shumway	Follow-on Admin. Proc.	34-80480	04/18/17
In the Matter of Mark McKinnies, CPA	Follow-on Admin. Proc.	34-80507	04/21/17
In the Matter of David Pruitt, CPA	Stand-alone Admin. Proc.	34-80548	04/28/17
In the Matter of Mark Wentlent	Stand-alone Admin. Proc.	34-80547	04/28/17
In the Matter of MagnaChip Semiconductor Corporation, et al.	Stand-alone Admin. Proc.	33-10352	05/01/17
In the Matter of Miles S. Nadal	Stand-alone Admin. Proc.	34-80652	05/11/17
In the Matter of the Registration Statement of Emerald Isle Exploration, Ltd.	Stand-alone Admin. Proc.	33-10357	05/12/17
In the Matter of the Registration Statement of Canso Enterprises, Ltd.	Stand-alone Admin. Proc.	33-10358	05/12/17
In the Matter of the Registration Statement of Privoz	Stand-alone Admin. Proc.	33-10359	05/12/17
In the Matter of the Registration Statement of Formous Corp.	Stand-alone Admin. Proc.	33-10362	05/12/17
In the Matter of the Registration Statement of Universal Movers Corp.	Stand-alone Admin. Proc.	33-10360	05/12/17
In the Matter of the Registration Statement of Lorilay Corp.	Stand-alone Admin. Proc.	33-10361	05/12/17
In the Matter of the Registration Statement of Lion Print Corp.	Stand-alone Admin. Proc.	33-10363	05/12/17
In the Matter of Daniel Millmann, CPA	Stand-alone Admin. Proc.	34-80749	05/23/17
In the Matter of Lisa Hanmer, CPA	Stand-alone Admin. Proc.	34-80750	05/23/17
SEC v. David N. Fuselier, et al.	Civil	LR-23855	06/06/17
In the Matter of Michael B. Hayford, et al.	Stand-alone Admin. Proc.	33-10369	06/09/17
In the Matter of George J. Palathinkal	Follow-on Admin. Proc.	34-80910	06/12/17
SEC v. CannaVEST Corp., et al.	Civil	LR-23861	06/15/17
In the Matter of Eric W. Kirchner, et al.	Stand-alone Admin. Proc.	34-80947	06/15/17
In the Matter of New York REIT, Inc., et al.	Stand-alone Admin. Proc.	34-80992	06/21/17
In the Matter of Christopher K. Brenner, Esq., CPA	Follow-on Admin. Proc.	34-80991	06/21/17
In the Matter of Michael L. Hudson	Follow-on Admin. Proc.	34-81033	06/27/17
SEC v. Penn West Petroleum, Ltd., et al.	Civil	2017-120	06/28/17
SEC v. Quadrant 4 System Corporation, et al.	Civil	2017-122	06/29/17
In the Matter of Christopher A. Conley	Stand-alone Admin. Proc.	33-10376	06/29/17
In the Matter of Matthew L. Egna	Stand-alone Admin. Proc.	33-10377	06/29/17
In the Matter of Andrew S. Keck	Stand-alone Admin. Proc.	33-10378	06/29/17
In the Matter of Sarah E. Keck	Stand-alone Admin. Proc.	33-10379	06/29/17
In the Matter of Nigel G. Lindsay	Stand-alone Admin. Proc.	33-10380	06/29/17
In the Matter of Marilyn Stark	Stand-alone Admin. Proc.	33-10381	06/29/17
In the Matter of David Lubin	Stand-alone Admin. Proc.	34-81172	07/19/17
In the Matter of Enviso Capital, LLC, et al.	Stand-alone Admin. Proc.	34-81173	07/19/17
In the Matter of Michael S. Shore	Follow-on Admin. Proc.	33-10396	08/01/17
SEC v. Michael L. Hudson	Civil	LR-23897	08/04/17
In the Matter of KPMG, LLP, et al.	Stand-alone Admin. Proc.	34-81396	08/15/17
In the Matter of Lisa Pavelka McAlister, CPA	Follow-on Admin. Proc.	34-81397	08/15/17



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SEC v. Brian Pappas, et al.	Civil	LR-23914	08/21/17
In the Matter of Edward DiMaria	Follow-on Admin. Proc.	34-81451	08/22/17
In the Matter of Matthew Gamsey, CPA	Follow-on Admin. Proc.	34-81452	08/22/17
In the Matter of Waldemar Grab	Follow-on Admin. Proc.	34-81544	09/07/17
In the Matter of Thomas C. Tekulve, Jr., CPA	Follow-on Admin. Proc.	34-81619	09/14/17
In the Matter of Joseph H. Craft, CPA	Follow-on Admin. Proc.	34-81664	09/20/17
In the Matter of Paritz & Company, P.A., et al.	Stand-alone Admin. Proc.	34-81678	09/21/17
SEC v. Aegerion Pharmaceuticals, Inc.	Civil	LR-23942	09/22/17
SEC v. Eric Pulier	Civil	LR-23945	09/27/17
In the Matter of Robert K. Stewart, CPA	Follow-on Admin. Proc.	34-81740	09/27/17
In the Matter of Alere, Inc.	Stand-alone Admin. Proc.	33-10417	09/28/17
SEC v. Accelera Innovations, Inc., et al.	Civil	LR-23969	09/29/17
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SEC v. Ryan Gilbertson, et al.	Civil	LR-23680	10/31/16
In the Matter of Joel Pensley, Esq.	Follow-on Admin. Proc.	34-79202	10/31/16
In the Matter of Alexander Kon	Stand-alone Admin. Proc.	33-10252	11/14/16
SEC v. Jason Kumpf	Civil	LR-23693	11/21/16
SEC v. Joseph Taub, et al.	Civil	2016-261	12/12/16
SEC v. Edward F. Panos, et al.	Civil	LR-23703	12/19/16
SEC v. Iat Hong, et al.	Civil	LR-23711	12/27/16
SEC v. Raymond H. Barton, et al.	Civil	2017-33	01/25/17
SEC v. Lek Securities Corporation, et al.	Civil	LR-23776	03/10/17
SEC v. Jerry Miller	Civil	LR-23782	03/13/17
SEC v. Lidingo Holdings, LLC, et al.	Civil	LR-23802	04/10/17
SEC v. CSIR Group, LLC, et al.	Civil	LR-23802	04/10/17
In the Matter of CytRx Corporation	Stand-alone Admin. Proc.	33-10345	04/10/17
In the Matter of Michael A. McCarthy, et al.	Stand-alone Admin. Proc.	33-10343	04/10/17
In the Matter of Edward Borrelli, et al.	Stand-alone Admin. Proc.	33-10341	04/10/17
In the Matter of Galena Biopharma, Inc., et al.	Stand-alone Admin. Proc.	33-10337	04/10/17
In the Matter of ImmunoCellular Therapeutics, Ltd.	Stand-alone Admin. Proc.	33-10338	04/10/17
In the Matter of Manish Singh, et al.	Stand-alone Admin. Proc.	33-10346	04/10/17
In the Matter of Lion Biotechnologies, Inc.	Stand-alone Admin. Proc.	33-10340	04/10/17
In the Matter of Joel Corenman	Stand-alone Admin. Proc.	33-10336	04/10/17
In the Matter of Christopher French	Stand-alone Admin. Proc.	33-10347	04/10/17
In the Matter of Craig Keolanui	Stand-alone Admin. Proc.	33-10339	04/10/17
In the Matter of Stephen Ramey	Stand-alone Admin. Proc.	33-10342	04/10/17
In the Matter of Ciaran Thornton	Stand-alone Admin. Proc.	33-10344	04/10/17
SEC v. Mustafa David Sayid, et al.	Civil	LR-23805	04/12/17
SEC v. Tobin Smith, et al.	Civil	LR-23902	04/12/17
In the Matter of Jared M. Galanis	Follow-on Admin. Proc.	34-80513	04/24/17
In the Matter of Corey J. Brinson, Esq.	Follow-on Admin. Proc.	34-80733	05/19/17
SEC v. Robert W. Murray	Civil	LR-23836	05/19/17
SEC v. Adesh Kumar Tyagi	Civil	LR-23850	05/31/17
SEC v. Arista Power, Inc., et al.	Civil	LR-23863	06/19/17
SEC v. James M. Farinella, et al.	Civil	LR-23864	06/21/17
SEC v. PowerTradersPress.com, Inc., et al.	Civil	LR-23878	07/12/17
SEC v. Troy Joseph Flowers, et al.	Civil	LR-23881	07/19/17

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In the Matter of Joey Giamichael, et al.	Stand-alone Admin. Proc.	33-10391	07/25/17
In the Matter of Luis J. Carrillo, Esq.	Follow-on Admin. Proc.	34-81209	07/26/17
In the Matter of Wade D. Huettel, Esq.	Follow-on Admin. Proc.	34-81210	07/26/17
SEC v. Jeffrey D. Martin, et al.	Civil	LR-23892	07/27/17
In the Matter of Anastasios P. "Tommy" Belesis	Stand-alone Admin. Proc.	33-10395	08/01/17
SEC v. Robert D. B. Genovese, et al.	Civil	LR-23895	08/01/17
In the Matter of Joe Yiu Cheung	Stand-alone Admin. Proc.	33-10397	08/02/17
SEC v. Richard P. Cedrone, et al.	Civil	LR-23928	08/31/17
In the Matter of Mark A. Gomes	Stand-alone Admin. Proc.	33-10414	09/15/17
SEC v. Brian C. Jensen	Civil	LR-23949	09/22/17
SEC v. Micheal A. Skerry	Civil	LR-23950	09/28/17
SEC v. Jason McDiarmid, et al.	Civil	LR-23953	09/29/17
<b>Miscellaneous</b>			
In the Matter of Michael L. Reger	Stand-alone Admin. Proc.	33-10241	10/31/16
In the Matter of Kent W. Easter	Follow-on Admin. Proc.	34-79243	11/04/16
In the Matter of NeuStar, Inc.	Stand-alone Admin. Proc.	34-79593	12/19/16
In the Matter of SandRidge Energy, Inc.	Stand-alone Admin. Proc.	34-79607	12/20/16
In the Matter of Abraham M. Fisch, Esq.	Follow-on Admin. Proc.	34-79813	01/17/17
In the Matter of BlackRock, Inc.	Stand-alone Admin. Proc.	34-79804	01/17/17
In the Matter of Richard Medina, Jr.	Follow-on Admin. Proc.	34-79875	01/25/17
In the Matter of Jeffrey E. Eberwein, et al.	Stand-alone Admin. Proc.	34-80038	02/14/17
SEC v. David R. Humphrey, CPA	Civil	LR-23827	05/09/17
In the Matter of David R. Humphrey, CPA	Follow-on Admin. Proc.	33-10368	06/01/17
In the Matter of State Street Bank and Trust Company	Stand-alone Admin. Proc.	33-10410	09/07/17
<b>Public Finance Abuse</b>			
In the Matter of Bruce A. Cole, Esq.	Follow-on Admin. Proc.	34-79461	12/02/16
SEC v. Navnoor S. Kang, et al.	Civil	2016-272	12/21/16
In the Matter of The Port Authority of New York and New Jersey	Stand-alone Admin. Proc.	33-10278	01/10/17
In the Matter of NGN Capital, LLC	Stand-alone Admin. Proc.	IA-4612	01/17/17
In the Matter of Aisling Capital, LLC	Stand-alone Admin. Proc.	IA-4616	01/17/17
In the Matter of Cypress Advisors, Inc.	Stand-alone Admin. Proc.	IA-4613	01/17/17
In the Matter of Alta Communications, Inc.	Stand-alone Admin. Proc.	IA-4614	01/17/17
In the Matter of Pershing Square Capital Management, LP	Stand-alone Admin. Proc.	IA-4608	01/17/17
In the Matter of Commonwealth Venture Management Corp.	Stand-alone Admin. Proc.	IA-4615	01/17/17
In the Matter of Lime Rock Management, LP	Stand-alone Admin. Proc.	IA-4611	01/17/17
In the Matter of The Banc Funds Company, LLC	Stand-alone Admin. Proc.	IA-4609	01/17/17
In the Matter of Adams Capital Management, Inc.	Stand-alone Admin. Proc.	IA-4617	01/17/17
In the Matter of FFL Partners, LLC	Stand-alone Admin. Proc.	IA-4610	01/17/17
SEC v. Dwayne Edwards, et al.	Civil	LR-23725	01/20/17
In the Matter of Robert B. Crowe, Esq.	Follow-on Admin. Proc.	34-80643	05/10/17
In the Matter of Beaumont Financing Authority	Stand-alone Admin. Proc.	33-10406	08/23/17
SEC v. Alan Charles Kapanicas	Civil	LR-23920	08/23/17
In the Matter of O'Connor & Company Securities, Inc., et al.	Stand-alone Admin. Proc.	33-10405	08/23/17
In the Matter of Municipal Finance Services, Inc., et al.	Stand-alone Admin. Proc.	34-81475	08/24/17
<b>Securities Offering</b>			
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In the Matter of Curt Kramer, et al.	Stand-alone Admin. Proc.	33-10239	10/27/16
SEC v. Jeffrey D. Smith d/b/a Atlanta Capital LLC, et al.	Civil	LR-23685	11/08/16
In the Matter of Glenn Johnson, et al.	Stand-alone Admin. Proc.	33-10249	11/08/16
SEC v. Onix Capital, LLC, et al.	Civil	LR-23697	11/08/16
SEC v. David R. Bergstein	Civil	2016-235	11/09/16
In the Matter of EZTD, Inc.	Stand-alone Admin. Proc.	33-10251	11/10/16
In the Matter of Casey Cummings	Stand-alone Admin. Proc.	33-10253	11/14/16
In the Matter of OTC Global Partners, LLC, et al.	Stand-alone Admin. Proc.	33-10254	11/14/16
SEC v. Patrick S. Carter, et al.	Civil	2016-242	11/17/16
SEC v. Rafael Antonio Calleja, Jr.	Civil	LR-23698	11/22/16
SEC v. Matthew Carl Griffin, et al.	Civil	LR-23694	11/23/16
In the Matter of Dennis Ira Ringer	Stand-alone Admin. Proc.	33-10259	11/23/16
SEC v. Blackbird Capital Partners, LLC, et al.	Civil	LR-23695	11/28/16
SEC v. Harrison Katzen	Civil	LR-23696	11/29/16
In the Matter of Roy D. Kessel, Esq.	Follow-on Admin. Proc.	34-79484	12/06/16
In the Matter of Equidate, Inc., et al.	Stand-alone Admin. Proc.	33-10262	12/06/16
In the Matter of Robert L. Baker, et al.	Stand-alone Admin. Proc.	33-10264	12/08/16
In the Matter of Lan Phuong Nguyen, Esq.	Stand-alone Admin. Proc.	33-10267	12/16/16
In the Matter of Michael J. Muellerleile, Esq., et al.	Stand-alone Admin. Proc.	33-10268	12/16/16
SEC v. John L. Threshie, Jr.	Civil	LR-23707	12/21/16
SEC v. Emilio Francisco, et al.	Civil	LR-23712	12/27/16
SEC v. AJN Investments, LLC, et al.	Civil	LR-23714	12/28/16
SEC v. Robin G. Charlet, et al.	Civil	LR-23720	01/13/17
SEC v. San Francisco Regional Center, LLC, et al.	Civil	LR-23721	01/17/17
In the Matter of Charles A. Bennett	Follow-on Admin. Proc.	34-79824	01/18/17
SEC v. Herman Ronnie Young, Jr. d/b/a Race Cyclor	Civil	LR-23729	01/26/17
SEC v. Joseph Meli, et al.	Civil	LR-23731	01/27/17
SEC v. Brian S. Hudnall, et al.	Civil	LR-23732	01/27/17
SEC v. Patric Ken Baccam, et al.	Civil	LR-23737	01/31/17
SEC v. Paul A. Garcia, et al.	Civil	LR-23738	02/01/17
In the Matter of Thomas R. Stanley, II	Stand-alone Admin. Proc.	33-10307	02/13/17
SEC v. Terminus Energy, Inc., et al.	Civil	LR-23749	02/14/17
SEC v. Patrick O. Howard, et al.	Civil	LR-23752	02/14/17
SEC v. James P. Toner, Jr.	Civil	LR-23750	02/14/17
SEC v. Steve H. Karroum, et al.	Civil	LR-23756	02/16/17
In the Matter of Web Debt Solutions, LLC	Stand-alone Admin. Proc.	33-10316	02/28/17
SEC v. Renato Rodriguez, et al.	Civil	LR-23762	03/02/17
In the Matter of Mark M. George	Follow-on Admin. Proc.	34-80195	03/09/17
SEC v. VIPWallST, Inc., et al.	Civil	LR-23773	03/09/17
SEC v. Andy Shin Fong Chen, et al.	Civil	LR-23778	03/15/17
SEC v. LottoNet Operating Corp., et al.	Civil	LR-23791	03/20/17
SEC v. Dr. Keith Laggos	Civil	LR-23787	03/22/17
SEC v. Treasure Enterprise, LLC, et al.	Civil	2017-74	03/28/17
SEC v. Michael Andre Jones	Civil	LR-23817	03/29/17
SEC v. Lucita A. Zamoras	Civil	LR-23798	04/03/17
In the Matter of Lawson Financial Corporation, et al.	Stand-alone Admin. Proc.	33-10334	04/05/17
In the Matter of John T. Lynch, Jr.	Stand-alone Admin. Proc.	33-10335	04/05/17

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SEC v. Matthew W. Fox, et al.	Civil	LR-23809	04/19/17
In the Matter of Harold Ray Smith	Stand-alone Admin. Proc.	34-80527	04/25/17
SEC v. Matthew A. Krimm, et al.	Civil	LR-23811	04/25/17
SEC v. Wensheng Lin, et al.	Civil	LR-23821	04/26/17
SEC v. Carl Keith Battie	Civil	LR-23829	04/27/17
SEC v. Kamal Zuhdi Abdallah	Civil	LR-23819	04/28/17
SEC v. Serofim Muroff, et al.	Civil	LR-23818	04/28/17
SEC v. William R. Schantz, III, et al.	Civil	LR-23824	05/04/17
SEC v. Douglas Roe, et al.	Civil	LR-23832	05/11/17
In the Matter of Emerald Isle Exploration, Ltd., et al.	Stand-alone Admin. Proc.	33-10356	05/12/17
SEC v. Thurman P. Bryant, III, et al.	Civil	LR-23838	05/15/17
SEC v. Hadsell Chemical Processing, LLC, et al.	Civil	LR-23835	05/17/17
In the Matter of Everette L. Scott, Jr.	Follow-on Admin. Proc.	34-80774	05/25/17
In the Matter of Fredrick J. Todd	Follow-on Admin. Proc.	34-80894	06/09/17
SEC v. Seyed Taher Kameli, et al.	Civil	LR-23866	06/22/17
SEC v. Diana P. Lovera	Civil	LR-23869	06/28/17
SEC v. Renwick Haddow, et al.	Civil	LR-23870	06/30/17
SEC v. Cheryl L. Jones	Civil	LR-23872	07/03/17
SEC v. Carol J. Wayland, et al.	Civil	LR-23876	07/06/17
In the Matter of Retirement Surety, LLC, et al.	Stand-alone Admin. Proc.	33-10386	07/06/17
In the Matter of Randal Wallis	Stand-alone Admin. Proc.	33-10387	07/06/17
In the Matter of Ronald Howard Wills	Stand-alone Admin. Proc.	33-10388	07/06/17
SEC v. Petroforce Energy, LLC, et al.	Civil	LR-23884	07/24/17
SEC v. John Anthony Giunti, et al.	Civil	LR-23887	07/25/17
SEC v. Anthony Joseph Marino, et al.	Civil	LR-23886	07/25/17
SEC v. Joey Stanton Dodson	Civil	LR-23888	07/26/17
SEC v. Harold J. Swart, Jr., et al.	Civil	LR-23892	07/27/17
SEC v. Cash Capital, LLC, et al.	Civil	LR-23890	07/28/17
SEC v. Patrick S. Muraca, et al.	Civil	LR-23893	07/31/17
In the Matter of Karen F. Aalders	Stand-alone Admin. Proc.	33-10393	07/31/17
In the Matter of Sterling Craig Barton	Stand-alone Admin. Proc.	33-10394	07/31/17
SEC v. 7S Oil & Gas, LLC, et al.	Civil	LR-23896	08/01/17
SEC v. Hidalgo Mining Corp., et al.	Civil	LR-23903	08/04/17
SEC v. Jay Belson, et al.	Civil	LR-23906	08/10/17
SEC v. Michael Quigley, et al.	Civil	LR-23908	08/10/17
SEC v. Tennstar Energy, Inc., et al.	Civil	LR-23924	08/11/17
SEC v. Robert Cortez Marshall	Civil	LR-23907	08/15/17
SEC v. Vergeous, LLC, et al.	Civil	LR-23909	08/16/17
SEC v. Dawn J. Bennett, et al.	Civil	LR-23922	08/25/17
SEC v. Craig H. Carton, et al.	Civil	LR-23929	09/06/17
SEC v. Christopher A. Faulkner, et al.	Civil	LR-23979	09/11/17
SEC v. Ronald Van Den Heuvel, et al.	Civil	LR-23938	09/19/17
SEC v. Edward Chen, et al.	Civil	LR-23944	09/20/17
SEC v. David Howard Welch, et al.	Civil	LR-23947	09/27/17
In the Matter of Success Holding Group International, Inc.	Stand-alone Admin. Proc.	33-10418	09/28/17
SEC v. Pedro Fort Berbel, et al.	Civil	2017-208	09/28/17

<b>Case Name</b>	<b>Type of Action</b>	<b>Release No.</b>	<b>Date Filed</b>
SEC v. The Leonard Vincent Group, et al.	Civil	2017-182	09/29/17
SEC v. REcoin Group Foundation, LLC, et al.	Civil	2017-185	09/29/17
<b>Transfer Agent</b>			
In the Matter of Empire Stock Transfer, Inc., et al.	Stand-alone Admin. Proc.	33-10270	12/16/16
In the Matter of Olde Monmouth Stock Transfer Co., Inc., et al.	Stand-alone Admin. Proc.	33-10303	02/07/17
In the Matter of Raymond H. Barton	Follow-on Admin. Proc.	34-80000	02/09/17
In the Matter of William G. Goode	Follow-on Admin. Proc.	34-80001	02/09/17
In the Matter of Columbia Management Investment Services Corp.	Stand-alone Admin. Proc.	34-80016	02/10/17
In the Matter of Harrison Katzen	Follow-on Admin. Proc.	34-80817	05/31/17
In the Matter of Ronald S. Hunt	Follow-on Admin. Proc.	34-81082	07/06/17
In the Matter of Cecil Franklin Speight	Follow-on Admin. Proc.	34-81724	09/26/17

**TABLE 4**  
**INVESTIGATIONS OF POSSIBLE VIOLATIONS OF THE**  
**ACTS ADMINISTERED BY THE COMMISSION**

Opened in Fiscal Year 2017 .....	965
Closed in Fiscal Year 2017.....	989
Ongoing <sup>1</sup> as of September 30, 2017.....	1,695
Formal Orders of Investigation Issued in Fiscal Year 2017.....	611




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<sup>1</sup> Refers to matters at the investigative stage, and excludes those that are open solely due to litigation, collections, distributions, and other post-litigation activity. Also excludes investigations in the closing process.