

Exhibit 1 – Case-Specific Memoranda Accessed by Enforcement Staff Relating to *Cochran* and *Jarkesy*

	Matter	Nature of recommendation in Adjudication memorandum	Memorandum first made available in OS database	Date ENF administrative staff accessed memorandum	Date ENF staff first emailed memorandum to other ENF staff	Whether memorandum was uploaded to the ENF Centralized Database	Date memorandum was emailed to the NYRO Supervisor	Whether memorandum was uploaded to the NYRO database	Date of Commission vote on the recommended action ¹	Date Commission issued the corresponding order	Whether ENF made a filing between the date memorandum was first made available in OS database and the Commission vote
1	<u>David S. Hall, P.C. d/b/a The Hall Group CPAs, David S. Hall, CPA, Michelle L. Helterbran Cochran, CPA, and Susan A. Cisneros, Admin. Proc. 3-17228 (A.1)</u>	Not applicable – no case-specific memoranda relating to <i>Cochran</i> were accessed. For Omnibus Memoranda accessed by ENF staff that encompassed <i>Cochran</i> , see Exhibits 3 and 4.									
2	<u>John Thomas Capital Mgmt. Grp. LLC d/b/a Patriot28 LLC, and George R. Jarkesy Jr., Admin. Proc. 3-15255 (A.2)</u>	Set the appeal for Commission consideration	2/4/19	2/5/19	2/26/19	Yes	2/26/19	No	2/19/19	2/21/19	No
		Extend time for issuing a decision	1/15/20	1/16/20 ²	1/22/20	Yes	Not applicable	No	1/21/20	1/21/20	No
		Extend time for issuing a decision	2/28/20	3/2/20	3/5/20	Yes	Not applicable	No	3/5/20	3/5/20	No
		Extend time for issuing a decision	3/30/20	3/31/20	4/6/20	Yes	Not applicable	No	4/6/20	4/6/20	No
		Extend time for issuing a decision	5/4/20	5/5/20	5/5/20	Yes	Not applicable	No	5/4/20	5/5/20	No
		Extend time for issuing a decision	6/3/20	6/3/20	6/4/20	No	Not applicable	No	6/4/20	6/5/20	No
		Extend time for issuing a decision	6/29/20	6/29/20	7/6/20	Yes	Not applicable	No	7/1/20	7/6/20	No
		Extend time for issuing a decision	8/3/20	8/5/20	8/5/20	Yes	Not applicable	No	8/4/20	8/5/20	No

¹ Reflects the date the last Commissioner voted on the staff recommendation.

² An OS staff member emailed an Outstanding Seriatim Report to senior staff members in ENF on January 15, 2020 that included a brief description of the action recommended in this memorandum.

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		Issue an opinion and order on appropriate remedies	9/3/20	Between 9/3 and 9/8/20 ³	9/8/20	No	Not applicable	No	9/4/20	9/4/20	No

³ In a few instances, access logs did not reveal the precise date that ENF administrative staff accessed a memorandum. Where, as here, a date range is provided, it reflects the period between the date the Adjudication memorandum was made available in the OS databases and the date the memorandum was emailed to other ENF staff for upload to the Enforcement Centralized Database.