

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF FLORIDA**

CASE NO. 19-cv-62047-FAM

**PLAINTIFF'S NOTICE OF DISMISSAL OF PENALTY CLAIM
AGAINST DEFENDANT ALAN G. HEIDE**

Plaintiff Securities and Exchange Commission hereby dismisses its claim for a civil money penalty against Defendant Alan G. Heide due to his conviction in the parallel criminal case of *U.S. v. Heide*, Case No. 19-cr-60231-RKA, also pending in the Southern District of Florida, as well Heide's sentence of five years in prison and an order that he pay more than \$57 million in restitution to defrauded investors. The civil penalty claim against Heide was the only remaining issue in the case, and this notice of dismissal will end the Commission's litigation of the matter. The Court may administratively close the case, but the Commission notes that under the terms of the Judgment the Court entered against Heide (DE 5), the Court retains jurisdiction to enforce the Judgment.

Dated: December 10, 2020

Respectfully submitted,

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