

**UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK**

SECURITIES AND EXCHANGE COMMISSION,

Plaintiff,

v.

JOHN A. MATTERA, ET AL.,

*Defendants,*

- AND -

ANN A. MATTERA, ET AL.,

*Relief Defendants.*

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11 Civ. 8323 (PKC)

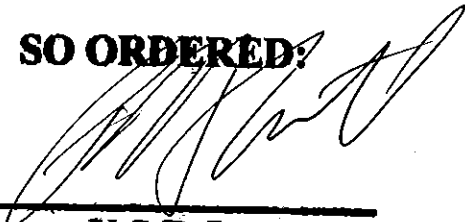
ECF Case

**NOTICE OF DISMISSAL OF CLAIMS FOR DISGORGEMENT  
AND CIVIL MONEY PENALTY AGAINST BRADFORD VAN SICLEN**

Pursuant to Rule 41(a)(1) of the Federal Rules of Civil Procedure, Plaintiff Securities and Exchange Commission voluntarily dismisses its claims for disgorgement, prejudgment interest, and a civil money penalty against defendant Bradford Van Siclen in view of the criminal sanctions imposed against him in the parallel criminal case, *United States v Bradford Van Siclen*, 12-cr-00005 (PKC) (S.D.N.Y.).

Dated: New York, New York  
October 19, 2015

**SO ORDERED:**



**U.S.D.J.**

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