

**ADDENDUM TO
DIVISION OF ENFORCEMENT PRESS RELEASE
FISCAL YEAR 2025**

Enforcement Actions Filed	
Standalone Actions ¹	303
Follow-On APs	69
Delinquent Filings	84
Total Actions	456

Distributions (in millions)	
Total Money Distributed to Harmed Investors	\$262

Total Money Ordered (in millions)²	
Penalties	\$7,208
Disgorgement	\$10,760
Total	\$17,968
Certain Offsets³	\$292
Certain Penalties⁴	\$71
Total Less Certain Offsets and Certain Penalties	\$17,605

¹ Standalone Enforcement Actions is a combined count of Civil Actions and Standalone APs.

² Of the total for FY 2025, a significant amount arises from orders related to a single action (SEC v. Stanford International Bank Ltd., et al, No. 3:09-cv-298-N (N.D. Tex. filed Feb. 16, 2009)). The FY 2025 monies ordered from that case are: penalties of \$5.9 billion and disgorgement of \$9 billion, for a total of \$14.9 billion. Excluding that case, the FY 2025 monies ordered are: penalties of \$1.3 billion and disgorgement of \$1.7 billion, for a total of \$3 billion (\$2.7 billion excluding certain offsets and certain penalties as set forth in the table).

³ In some cases, the SEC obtains judgments where all or a portion of the amount of disgorgement ordered is deemed satisfied by a court order in a separate non-SEC action (e.g., a parallel criminal proceeding that orders restitution and/or forfeiture). This row shows the approximate total of such amounts based on currently available data.

⁴ From FY 2022 through the early part of FY 2025, the SEC instituted settled administrative proceedings that imposed \$2.3 billion in penalties against firms for failing to maintain and preserve off-channel communications, which this Commission views as representing an inappropriate use of enforcement resources by the prior Commission that did little to advance investor protection. Of the \$2.3 billion total imposed, \$71 million was ordered in early FY 2025.

ADDENDUM TO DIVISION OF ENFORCEMENT PRESS RELEASE FISCAL YEAR 2025

Enforcement Summary Chart for FY 2025 by Primary Classification								
Primary Classification	Civil Actions	Standalone APs	Follow-On APs	Delinquent Filings	Total	% of Total Actions	Total Civil Actions & Standalone APs	% of Civil and Standalone APs
Broker Dealer	5 (6)	34 (41)	26 (28)	0 (0)	65 (75)	14%	39 (47)	13%
Delinquent Filings	0 (0)	0 (0)	0 (0)	84 (84)	84 (84)	18%	0 (0)	0%
Foreign Corrupt Practices Act	1 (1)	5 (5)	0 (0)	0 (0)	6 (6)	1%	6 (6)	2%
Insider Trading	21 (43)	10 (13)	1 (1)	0 (0)	32 (57)	7%	31 (56)	10%
Investment Advisers / Investment Companies	20 (40)	52 (71)	27 (27)	0 (0)	99 (138)	22%	72 (111)	24%
Issuer Reporting / Audit & Accounting	11 (25)	25 (28)	11 (12)	0 (0)	47 (65)	10%	36 (53)	12%
Market Manipulation	11 (39)	4 (4)	1 (1)	0 (0)	16 (44)	4%	15 (43)	5%
Miscellaneous	5 (7)	4 (4)	0 (0)	0 (0)	9 (11)	2%	9 (11)	3%
NRSRO	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0%	0 (0)	0%
Public Finance Abuse	1 (3)	5 (7)	1 (2)	0 (0)	7 (12)	2%	6 (10)	2%
Securities Offering	75 (237)	13 (13)	2 (2)	0 (0)	90 (252)	20%	88 (250)	29%
SRO / Exchange	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0%	0 (0)	0%
Transfer Agent	0 (0)	1 (1)	0 (0)	0 (0)	1 (1)	0%	1 (1)	0%
Total	150 (401)	153 (187)	69 (73)	84 (84)	456 (745)	100%	303 (588)	100%

Each action initiated has been included in only one category listed above, even though many actions may fall under more than one category. Party counts are noted in parentheses.

FISCAL YEAR 2025 ENFORCEMENT CASES LISTED BY PROGRAM AREA

Case Name	Type of Action	Release No.	Date Filed
BROKER-DEALER			
In the Matter of Thrivent Investment Management, Inc.	Standalone Admin. Proc.	34-101234	10/02/24
SEC v. Cumberland DRW LLC	Civil Injunctive	LR-26151	10/10/24
In the Matter of Palos Management Inc., et al.	Standalone Admin. Proc.	34-101324	10/15/24
In the Matter of PHX Financial, Inc.	Standalone Admin. Proc.	34-101361	10/16/24
SEC v. Baris Cabalar	Civil Injunctive	LR-26161	10/16/24
In the Matter of Martin Zizi	Follow-on Admin. Proc.	34-101472	10/30/24
In the Matter of J.P. Morgan Securities LLC	Standalone Admin. Proc.	33-11324	10/31/24
In the Matter of J.P. Morgan Securities LLC	Standalone Admin. Proc.	34-101493	10/31/24
In the Matter of Lion Street Financial, LLC	Standalone Admin. Proc.	34-101633	11/15/24
In the Matter of Lightspeed Financial Services Group LLC	Standalone Admin. Proc.	34-101705	11/22/24
In the Matter of Paulson Investment Company, LLC	Standalone Admin. Proc.	34-101706	11/22/24
In the Matter of Webull Financial LLC	Standalone Admin. Proc.	34-101707	11/22/24
SEC v. Brad Hare, et al.	Civil Injunctive	LR-26181	11/25/24
In the Matter of Industrial and Commercial Bank of China Financial Services LLC	Standalone Admin. Proc.	34-101794	12/02/24
In the Matter of Brad Hare	Follow-on Admin. Proc.	34-101859	12/10/24
In the Matter of Mammoth West Corporation	Follow-on Admin. Proc.	34-101861	12/10/24
SEC v. Christopher Booth Kennedy	Civil Injunctive	LR-26191	12/10/24
In the Matter of David Harry-Nelson Austin	Follow-on Admin. Proc.	34-101926	12/16/24
In the Matter of SogoTrade, Inc.	Standalone Admin. Proc.	34-101936	12/17/24
In the Matter of David Chong Kyi	Standalone Admin. Proc.	34-101937	12/17/24
In the Matter of Christopher S. Knight	Follow-on Admin. Proc.	34-101981	12/19/24
In the Matter of John N. Matson	Follow-on Admin. Proc.	34-102021	12/20/24
In the Matter of Deutsche Bank Securities Inc.	Standalone Admin. Proc.	34-102011	12/20/24
In the Matter of Wells Fargo Clearing Services, LLC	Standalone Admin. Proc.	34-102009	12/20/24
In the Matter of LPL Financial LLC	Standalone Admin. Proc.	34-102008	12/20/24
In the Matter of Richard Brown	Follow-on Admin. Proc.	34-102031	12/23/24
In the Matter of Morningview Financial, LLC, et al.	Follow-on Admin. Proc.	34-102088	01/02/25
In the Matter of Jonathan Mimun (a/k/a Jonathan "Yoni" Maymon, Yonatan Mimun and Jonatan Mimun), et al.	Follow-on Admin. Proc.	34-102142	01/10/25
In the Matter of SpeedRoute LLC	Standalone Admin. Proc.	34-102157	01/10/25
In the Matter of Liquidnet, Inc.	Standalone Admin. Proc.	33-11351	01/10/25
In the Matter of Akshay Niranjani	Follow-on Admin. Proc.	34-102173	01/13/25
In the Matter of BMO Capital Markets Corp.	Standalone Admin. Proc.	34-102160	01/13/25
In the Matter of PJT Partners LP	Standalone Admin. Proc.	34-102167	01/13/25
In the Matter of Charles Schwab & Co., Inc.	Standalone Admin. Proc.	34-102172	01/13/25

In the Matter of Santander US Capital Markets LLC	Standalone Admin. Proc.	34-102171	01/13/25
In the Matter of Robinhood Financial LLC, et al.	Standalone Admin. Proc.	34-102170	01/13/25
In the Matter of Joseph J. Orlando Jr.	Standalone Admin. Proc.	34-102176	01/14/25
In the Matter of Danny Z. Spiegel	Standalone Admin. Proc.	34-102175	01/14/25
In the Matter of Tamir Shabat	Standalone Admin. Proc.	34-102174	01/14/25
In the Matter of GTS Securities, LLC	Standalone Admin. Proc.	34-102192	01/14/25
In the Matter of Karina N. Fernandez, Esq.	Follow-on Admin. Proc.	34-102204 & 34-102251	01/16/25
In the Matter of Janalie C. Joseph a/k/a Janalie C. Bingham	Follow-on Admin. Proc.	34-102221	01/16/25
In the Matter of Jean Joseph	Follow-on Admin. Proc.	34-102222	01/16/25
In the Matter of LPL Financial LLC	Standalone Admin. Proc.	34-102224	01/17/25
In the Matter of Paul John McCabe, Jr., et al.	Standalone Admin. Proc.	34-102230	01/17/25
In the Matter of Michael Sealy	Standalone Admin. Proc.	34-102233	01/17/25
In the Matter of Christopher Booth Kennedy	Follow-on Admin. Proc.	34-102268	01/23/25
In the Matter of Manuel Alvis	Follow-on Admin. Proc.	34-102307	01/30/25
In the Matter of Arthur P. Pizzello, Jr	Follow-on Admin. Proc.	34-102340	02/04/25
In the Matter of Ashish Aggarwal	Follow-on Admin. Proc.	34-102360	02/05/25
In the Matter of Centaurus Financial, Inc., et al.	Standalone Admin. Proc.	34-102379	02/07/25
In the Matter of John S. Winslow	Follow-on Admin. Proc.	34-102674	03/14/25
In the Matter of Erik Matz	Follow-on Admin. Proc.	34-102741	03/27/25
In the Matter of Brian Heepke	Follow-on Admin. Proc.	34-102740	03/27/25
In the Matter of Ashley Antos	Follow-on Admin. Proc.	34-102739	03/27/25
In the Matter of Velox Clearing LLC	Standalone Admin. Proc.	34-102769	04/04/25
SEC v. Rajesh Markan	Civil Injunctive	LR-26337	06/27/25
In the Matter of Marco Antonio Lemus	Follow-on Admin. Proc.	34-103362	07/01/25
In the Matter of Rajesh Markan	Follow-on Admin. Proc.	34-103479	07/16/25
In the Matter of Caz L. Craffy a/k/a Carz Levinski Craffey	Follow-on Admin. Proc.	34-103538	07/24/25
In the Matter of Justin R. Kimbrough	Follow-on Admin. Proc.	34-103656	08/07/25
In the Matter of Emerson Equity, LLC	Standalone Admin. Proc.	34-103674	08/11/25
In the Matter of Tony Barouti	Standalone Admin. Proc.	34-103675	08/11/25
In the Matter of Dennis Verderosa	Follow-on Admin. Proc.	34-103770	08/25/25
In the Matter of Bloomberg Tradebook LLC	Standalone Admin. Proc.	33-11390	09/18/25

DELINQUENT FILINGS

In the Matter of B2Digital, Incorporated	Standalone Admin. Proc.	34-101278	10/08/24
In the Matter of ABCO Energy, Inc.	Standalone Admin. Proc.	34-101279	10/08/24
In the Matter of American Bio Medica Corporation	Standalone Admin. Proc.	34-101284	10/08/24
In the Matter of ARTelligence Holdings, Inc. (fka Tautachrome, Inc.)	Standalone Admin. Proc.	34-101285	10/08/24
In the Matter of Cannagistics, Inc.	Standalone Admin. Proc.	34-101287	10/09/24
In the Matter of China Energy Technology Corp., Ltd.	Standalone Admin. Proc.	34-101288	10/09/24
In the Matter of International Fast Food Corporation	Standalone Admin. Proc.	34-101292	10/09/24
In the Matter of Lattice, Inc.	Standalone Admin. Proc.	34-101293	10/09/24
In the Matter of Clickstream Corporation	Standalone Admin. Proc.	34-101326	10/15/24
In the Matter of GeneThera, Inc.	Standalone Admin. Proc.	34-101327	10/15/24

In the Matter of Live Current Media Inc.	Standalone Admin. Proc.	34-101328	10/15/24
In the Matter of Mexus Gold US	Standalone Admin. Proc.	34-101329	10/15/24
In the Matter of OS Support, Inc.	Standalone Admin. Proc.	34-101332	10/15/24
In the Matter of Point of Care Nano-Technology, Inc.	Standalone Admin. Proc.	34-101333	10/15/24
In the Matter of Sharing Economy International Inc.	Standalone Admin. Proc.	34-101334	10/15/24
In the Matter of Sollensys Corp.	Standalone Admin. Proc.	34-101335	10/15/24
In the Matter of Taihe Group, Inc.	Standalone Admin. Proc.	34-101330	10/15/24
In the Matter of TORtec Group Corporation	Standalone Admin. Proc.	34-101331	10/15/24
In the Matter of UBI Blockchain Internet Ltd.	Standalone Admin. Proc.	34-101343	10/15/24
In the Matter of Worldwide Strategies Inc.	Standalone Admin. Proc.	34-101344	10/15/24
In the Matter of 808 Renewable Energy Corporation	Standalone Admin. Proc.	34-101347	10/15/24
In the Matter of Globesat Holding Corp.	Standalone Admin. Proc.	34-101365	10/16/24
In the Matter of Integral Vision Inc.	Standalone Admin. Proc.	34-101366	10/16/24
In the Matter of MusclePharm Corporation	Standalone Admin. Proc.	34-101354	10/16/24
In the Matter of Nutralife Biosciences, Inc.	Standalone Admin. Proc.	34-101355	10/16/24
In the Matter of Purthanol Resources Limited	Standalone Admin. Proc.	34-101363	10/16/24
In the Matter of Renewable Innovations, Inc.	Standalone Admin. Proc.	34-101364	10/16/24
In the Matter of Traqer Corp.	Standalone Admin. Proc.	34-101362	10/16/24
In the Matter of Spectrascience, Inc.	Standalone Admin. Proc.	34-101376	10/17/24
In the Matter of Striker Oil & Gas, Inc.	Standalone Admin. Proc.	34-101378	10/17/24
In the Matter of Amanasu Techno Holdings Corp.	Standalone Admin. Proc.	34-101522	11/06/24
In the Matter of Confluence Acquisition Partners I, Inc.	Standalone Admin. Proc.	34-101523	11/06/24
In the Matter of Subaye.com, Inc.	Standalone Admin. Proc.	34-101527	11/06/24
In the Matter of Sunwin Stevia International, Inc.	Standalone Admin. Proc.	34-101528	11/06/24
In the Matter of EliteSoft Global Inc.	Standalone Admin. Proc.	34-101553	11/07/24
In the Matter of G.G.S. Plastic Engineering Inc.	Standalone Admin. Proc.	34-101554	11/07/24
In the Matter of Golden Goliath Resources Ltd.	Standalone Admin. Proc.	34-101548	11/07/24
In the Matter of H3 Enterprises, Inc. (f/k/a Uptown Restaurant Group, Inc.)	Standalone Admin. Proc.	34-101549	11/07/24
In the Matter of New Asia Partners China Corp.	Standalone Admin. Proc.	34-101544	11/07/24
In the Matter of Pharmamatrix Acquisition Corp.	Standalone Admin. Proc.	34-101545	11/07/24
In the Matter of Redstar Partners, Inc.	Standalone Admin. Proc.	34-101541	11/07/24
In the Matter of Rystar Communications Ltd.	Standalone Admin. Proc.	34-101542	11/07/24
In the Matter of Sino American Oil Co.	Standalone Admin. Proc.	34-101538	11/07/24
In the Matter of Spongetech Delivery Systems, Inc.	Standalone Admin. Proc.	34-101539	11/07/24
In the Matter of TolerRx, Inc.	Standalone Admin. Proc.	34-101534	11/07/24
In the Matter of Vision Energy Corp.	Standalone Admin. Proc.	34-101535	11/07/24
In the Matter of DG Acquisition Corp.	Standalone Admin. Proc.	34-101590	11/12/24
In the Matter of Digatrade Financial Corp.	Standalone Admin. Proc.	34-101591	11/12/24
In the Matter of Galaxy Next Generation, Inc.	Standalone Admin. Proc.	34-101592	11/13/24
In the Matter of Global Secure Corp. (n/k/a Global Secure Ltd.)	Standalone Admin. Proc.	34-101593	11/13/24
In the Matter of Innovative Energy Solutions, Inc.	Standalone Admin. Proc.	34-101594	11/13/24
In the Matter of MJ Harvest, Inc.	Standalone Admin. Proc.	34-101595	11/13/24
In the Matter of PRN Corp.	Standalone Admin. Proc.	34-101600	11/13/24
In the Matter of QuatRx Pharmaceuticals Company	Standalone Admin. Proc.	34-101602	11/13/24
In the Matter of Sangui Biotech International, Inc.	Standalone Admin. Proc.	34-101607	11/13/24

In the Matter of Seven Networks, Inc. (n/k/a Seven Networks, LLC)	Standalone Admin. Proc.	34-101608	11/13/24
In the Matter of Unico American Corporation	Standalone Admin. Proc.	34-102265	01/23/25
In the Matter of iSign Solutions Inc.	Standalone Admin. Proc.	34-102520	03/04/25
In the Matter of Adorbs Inc. (f/k/a Soul Biotechnology Corp.)	Standalone Admin. Proc.	34-103792	08/28/25
In the Matter of Agri-Fintech Holdings, Inc. (f/k/a Tingo, Inc.)	Standalone Admin. Proc.	34-103840	09/03/25
In the Matter of Amergent Hospitality Group, Inc.	Standalone Admin. Proc.	34-103857	09/04/25
In the Matter of American Noble Gas, Inc.	Standalone Admin. Proc.	34-103858	09/04/25
In the Matter of Arowana Media Holdings, Inc. (f/k/a Mike The Pike Productions, Inc.)	Standalone Admin. Proc.	34-103853	09/04/25
In the Matter of Century Cobalt Corp.	Standalone Admin. Proc.	34-103855	09/04/25
In the Matter of GrowLife, Inc.	Standalone Admin. Proc.	34-103874	09/05/25
In the Matter of Healthtech Solutions, Inc./UT	Standalone Admin. Proc.	34-103875	09/05/25
In the Matter of Hfactor, Inc.	Standalone Admin. Proc.	34-103898	09/05/25
In the Matter of Huaizhong Health Group, Inc.	Standalone Admin. Proc.	34-103899	09/05/25
In the Matter of InnovaQor, Inc.	Standalone Admin. Proc.	34-103909	09/08/25
In the Matter of Lucent Holdings, Inc.	Standalone Admin. Proc.	34-103910	09/08/25
In the Matter of Maiden Creek Mining Co., Inc.	Standalone Admin. Proc.	34-103916	09/09/25
In the Matter of Manuka, Inc.	Standalone Admin. Proc.	34-103917	09/09/25
In the Matter of MedMen Enterprises, Inc.	Standalone Admin. Proc.	34-103924	09/09/25
In the Matter of MJ Holdings, Inc.	Standalone Admin. Proc.	34-103925	09/09/25
In the Matter of National Competitive Bowlers Association, Inc.	Standalone Admin. Proc.	34-103934	09/10/25
In the Matter of Q BioMed Inc.	Standalone Admin. Proc.	34-103935	09/10/25
In the Matter of Dais Corp.	Standalone Admin. Proc.	34-103948	09/11/25
In the Matter of GlassBridge Enterprises, Inc.	Standalone Admin. Proc.	34-103949	09/11/25
In the Matter of RespireRx Pharmaceuticals Inc.	Standalone Admin. Proc.	34-103942	09/11/25
In the Matter of Stem Cell Inc.	Standalone Admin. Proc.	34-103943	09/11/25
In the Matter of Sysorex, Inc.	Standalone Admin. Proc.	34-103962	09/12/25
In the Matter of Tenaya Group, Inc.	Standalone Admin. Proc.	34-103963	09/12/25
In the Matter of Victoria Lake, Inc.	Standalone Admin. Proc.	34-103953	09/12/25
In the Matter of W&E Source Corp.	Standalone Admin. Proc.	34-103954	09/12/25

FOREIGN CORRUPT PRACTICES ACT

In the Matter of Moog Inc.	Standalone Admin. Proc.	34-101307	10/11/24
In the Matter of RTX Corporation	Standalone Admin. Proc.	34-101353	10/16/24
In the Matter of BIT Mining Ltd.	Standalone Admin. Proc.	34-101649	11/18/24
SEC v. Cyril Sebastien Dominique Cabanes	Civil Injunctive	LR-26177	11/20/24
In the Matter of AAR CORP.	Standalone Admin. Proc.	34-101987	12/19/24
In the Matter of Deepak Sharma	Standalone Admin. Proc.	34-101988	12/19/24

INSIDER TRADING

SEC v. Matthew Groom	Civil Injunctive	LR-26159	10/15/24
SEC v. Ruimin Xie	Civil Injunctive	LR-26162	10/15/24
In the Matter of Umaphathi Kakkera	Standalone Admin. Proc.	34-101379	10/17/24
SEC v. Carlos Sacanell	Civil Injunctive	LR-26168	10/31/24

SEC v. Robert Brian Thompson	Civil Injunctive	LR-26172	11/08/24
SEC v. Ken Peterman	Civil Injunctive	LR-26197	12/11/24
SEC v. Sai-Hong Ignatius Ou	Civil Injunctive	LR-26198	12/18/24
SEC v. Curt Ludwig Dewitz	Civil Injunctive	LR-26200	12/18/24
In the Matter of David S. Sargent	Follow-on Admin. Proc.	34-102117	01/06/25
SEC v. Alfred V. Tobia, Jr., et al.	Civil Injunctive	LR-26218	01/13/25
SEC v. John C. Lowe, Jr., et al.	Civil Injunctive	LR-26236	01/15/25
SEC v. Anthony Marsico, et al.	Civil Injunctive	LR-26243	01/16/25
In the Matter of Barry A. Ruffalo	Standalone Admin. Proc.	34-102246	01/17/25
In the Matter of William R. Ruffalo	Standalone Admin. Proc.	34-102247	01/17/25
In the Matter of Robert L. Ruffalo, et al.	Standalone Admin. Proc.	34-102248	01/17/25
SEC v. Gabriel Rebeiz	Civil Injunctive	LR-26231	01/21/25
In the Matter of John A. Heropoulos	Standalone Admin. Proc.	33-11362	01/24/25
In the Matter of Kenneth G. Miccio	Standalone Admin. Proc.	34-102266	01/24/25
SEC v. Eamma Safi, et al.	Civil Injunctive	LR-26268	03/04/25
In the Matter of Jeffrey Suchecki	Standalone Admin. Proc.	34-102515	03/04/25
SEC v. George N. Demos	Civil Injunctive	LR-26262	03/07/25
SEC v. Trijya Vakil, et al.	Civil Injunctive	LR-26348	07/10/25
SEC v. Brian M. Kashman	Civil Injunctive	LR-26359	07/21/25
In the Matter of Vincent Barbuto	Standalone Admin. Proc.	34-103615	08/01/25
In the Matter of Anthony Finale	Standalone Admin. Proc.	34-103614	08/01/25
SEC v. Bruce Cameron Conway	Civil Injunctive	LR-26370	08/07/25
SEC v. Robert Yedid, et al.	Civil Injunctive	LR-26376	08/14/25
SEC v. Brent Cranmer, et al.	Civil Injunctive	LR-26378	08/18/25
SEC v. Justin Chen, et al.	Civil Injunctive	LR-26380	08/18/25
SEC v. Rouzbeh "Ross" Haghighat, et al.	Civil Injunctive	LR-26383	08/22/25
In the Matter of David J. Minson	Standalone Admin. Proc.	34-103764	08/22/25
SEC v. Ryan Squillante	Civil Injunctive	LR-26388	09/05/25

INVESTMENT ADVISERS / INVESTMENT COMPANIES

In the Matter of Daniel Stephen Madasz	Follow-on Admin. Proc.	IA-6740	10/02/24
In the Matter of LDP Partners LLC, et al.	Standalone Admin. Proc.	IA-6743	10/07/24
In the Matter of Rimar Capital USA, Inc., et al.	Standalone Admin. Proc.	33-11316	10/10/24
SEC v. Jeffrey Arsenault, et al.	Civil Injunctive	LR-26160	10/11/24
In the Matter of WisdomTree Asset Management, Inc.	Standalone Admin. Proc.	IA-6753	10/21/24
In the Matter of Francisco Javier Malave Hernandez	Follow-on Admin. Proc.	IA-6754	10/22/24
In the Matter of Raymond J. DiMuro	Follow-on Admin. Proc.	IA-6756	10/24/24
In the Matter of J.P. Morgan Securities LLC	Standalone Admin. Proc.	34-101494	10/31/24
In the Matter of J.P. Morgan Investment Management Inc.	Standalone Admin. Proc.	IC-35373	10/31/24
In the Matter of J.P. Morgan Investment Management Inc.	Standalone Admin. Proc.	IA-6761	10/31/24
In the Matter of Wahed Invest, LLC	Standalone Admin. Proc.	IA-6763	11/01/24
In the Matter of Mark J. Boucher	Follow-on Admin. Proc.	34-101521	11/06/24
In the Matter of Christopher Turean	Follow-on Admin. Proc.	IA-6766	11/07/24
In the Matter of Sean Michael Kane	Follow-on Admin. Proc.	34-101558	11/07/24

In the Matter of Dusan Varga	Follow-on Admin. Proc.	IA-6768	11/07/24
In the Matter of Invesco Advisers, Inc.	Standalone Admin. Proc.	IA-6770	11/08/24
In the Matter of Epic Capital Wealth Advisors, LLC	Standalone Admin. Proc.	IA-6771	11/08/24
In the Matter of David M. Anthony	Follow-on Admin. Proc.	IA-6772	11/08/24
In the Matter of Kevin John Kane	Follow-on Admin. Proc.	34-101657	11/20/24
SEC v. James Burleson	Civil Injunctive	LR-26178	11/21/24
SEC v. David Kushner, et al.	Civil Injunctive	LR-26176	11/21/24
In the Matter of Fair Invest, LLC, et al.	Standalone Admin. Proc.	33-11329	11/25/24
SEC v. Stephen Kenneth Leech	Civil Injunctive	LR-26183	11/25/24
In the Matter of Richard Dow Rockwell	Follow-on Admin. Proc.	34-101813	12/04/24
In the Matter of Morgan Stanley Smith Barney LLC	Standalone Admin. Proc.	34-101842	12/09/24
In the Matter of SeaCrest Wealth Management, LLC	Standalone Admin. Proc.	33-11338	12/12/24
SEC v. Eric McKenzie Cobb	Civil Injunctive	LR-26201	12/12/24
In the Matter of Greenhaven Road Investment Management, LP	Standalone Admin. Proc.	IA-6789	12/13/24
In the Matter of GSSG Solar, LLC	Standalone Admin. Proc.	IA-6790	12/13/24
In the Matter of Kudu Investment Holdings, LLC	Standalone Admin. Proc.	IA-6791	12/13/24
In the Matter of Longpoint Partners LP	Standalone Admin. Proc.	IA-6793	12/13/24
In the Matter of NFC Investments, LLC	Standalone Admin. Proc.	IA-6794	12/13/24
In the Matter of The Catalyst Capital Group Inc.	Standalone Admin. Proc.	IA-6792	12/13/24
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