

**ADDENDUM TO  
DIVISION OF ENFORCEMENT PRESS RELEASE  
FISCAL YEAR 2024**

<b>Enforcement Summary Chart for FY 2024 by Primary Classification</b>							
<b>Primary Classification</b>	<b>Civil Actions</b>	<b>Standalone APs</b>	<b>Follow-On APs</b>	<b>Delinquent Filings</b>	<b>Total</b>	<b>% of Total Actions</b>	<b>% of Civil and Standalone APs</b>
<b>Broker Dealer</b>	7 (13)	54 (79)	37 (37)	0 (0)	98 (129)	17%	14%
<b>Delinquent Filings</b>	0 (0)	0 (0)	0 (0)	59 (59)	59 (59)	10%	0%
<b>Foreign Corrupt Practices Act</b>	0 (0)	2 (2)	0 (0)	0 (0)	2 (2)	0%	0%
<b>Insider Trading</b>	16 (30)	18 (18)	1 (1)	0 (0)	35 (49)	6%	8%
<b>Investment Advisers / Investment Companies</b>	17 (39)	80 (91)	38 (39)	0 (0)	135 (169)	23%	23%
<b>Issuer Reporting / Audit &amp; Accounting</b>	22 (49)	27 (33)	11 (12)	0 (0)	60 (94)	10%	11%
<b>Market Manipulation</b>	11 (45)	6 (6)	2 (2)	0 (0)	19 (53)	3%	4%
<b>Miscellaneous</b>	5 (8)	50 (64)	1 (1)	0 (0)	56 (73)	10%	13%
<b>NRSRO</b>	0 (0)	6 (6)	0 (0)	0 (0)	6 (6)	1%	1%
<b>Public Finance Abuse</b>	0 (0)	14 (16)	0 (0)	0 (0)	14 (16)	2%	3%
<b>Securities Offering</b>	80 (288)	14 (18)	3 (3)	0 (0)	97 (309)	17%	22%
<b>SRO / Exchange</b>	1 (2)	0 (0)	0 (0)	0 (0)	1 (2)	0%	0%
<b>Transfer Agent</b>	0 (0)	1 (1)	0 (0)	0 (0)	1 (1)	0%	0%
<b>Total</b>	<b>159 (474)</b>	<b>272 (334)</b>	<b>93 (95)</b>	<b>59 (59)</b>	<b>583 (962)</b>	<b>100%</b>	<b>100%</b>

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.

*A listing of the actions referenced in the table above is provided in the last section of this document.*

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<b>Enforcement Actions Filed in Fiscal Years 2019 to 2024</b>						
	FY 2024	FY 2023	FY 2022 <sup>1</sup>	FY 2021	FY 2020	FY 2019
Standalone Enforcement Actions	431	501	463	434	405	526
Follow-On Admin. Proceedings	93	162	169	143	180	210
Delinquent Filings	59	121	129	120	130	126
<b>Total Actions</b>	<b>583</b>	<b>784</b>	<b>761</b>	<b>697</b>	<b>715</b>	<b>862</b>

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

<b>Total Money Ordered (in millions)</b>						
	FY 2024	FY 2023	FY 2022	FY 2021	FY 2020	FY 2019
Penalties	\$2,102	\$1,580	\$4,194	\$1,456	\$1,091	\$1,101
Disgorgement	\$6,092	\$3,369	\$2,245	\$2,395	\$3,588	\$3,248
<b>Total</b>	<b>\$8,194</b>	<b>\$4,949</b>	<b>\$6,439</b>	<b>\$3,852</b>	<b>\$4,680</b>	<b>\$4,349</b>

<b>Money Distributed to Harmed Investors (in millions)</b>					
FY 2024	FY 2023	FY 2022	FY 2021	FY 2020	FY 2019
<b>\$345</b>	\$930	\$937	\$521	\$602	\$1,197

<sup>1</sup> FY 2022 is now reported as 463 Standalone Enforcement Actions and 761 Total Actions (an increase of one in each category) due to a separate action, *SEC v. Daughtry, James Blake*, Case No. 1:24-cv-00125-RAH-CWB (M.D. Ala.), resulting from a change of venue for one of the parties in the originally-filed action, *SEC v. Eakes, Jared, D.*, Case No. 3:22-cv-01055-TJC-MCR (M.D. Fla.).

## FISCAL YEAR 2024 ENFORCEMENT CASES LISTED BY PROGRAM AREA

Case Name	Type of Action	Release No.	Date Filed
<b>BROKER-DEALER</b>			
In the Matter of Ronald E. Filoramo	Follow-on Admin. Proc.	<a href="#">34-98716</a>	10/11/23
In the Matter of Bradley M. Holts	Follow-on Admin. Proc.	<a href="#">34-98823</a>	10/30/23
In the Matter of Eric Christopher Cannon	Follow-on Admin. Proc.	<a href="#">34-98827</a>	10/31/23
In the Matter of Laidlaw and Company (UK) Ltd.	Standalone Admin. Proc.	<a href="#">34-98983</a>	11/20/23
In the Matter of Richard Michalski, et al.	Standalone Admin. Proc.	<a href="#">34-98984</a>	11/20/23
In the Matter of Alan Z. Appelbaum	Follow-on Admin. Proc.	<a href="#">33-11257</a>	12/07/23
In the Matter of Scott Levine	Follow-on Admin. Proc.	<a href="#">34-99178</a>	12/14/23
In the Matter of Chingyuan "Gary" Chang	Standalone Admin. Proc.	<a href="#">34-99239</a>	12/26/23
In the Matter of Jeffrey Alan Horn	Follow-on Admin. Proc.	<a href="#">34-99254</a>	12/29/23
In the Matter of Brian Kingsfield	Follow-on Admin. Proc.	<a href="#">34-99341</a>	01/12/24
In the Matter of Morgan Stanley & Co. LLC	Standalone Admin. Proc.	<a href="#">34-99336</a>	01/12/24
In the Matter of Pawan Kumar Passi	Standalone Admin. Proc.	<a href="#">34-99337</a>	01/12/24
In the Matter of Brent Seaman	Follow-on Admin. Proc.	<a href="#">34-99388</a>	01/18/24
In the Matter of Douglas McKelvey	Follow-on Admin. Proc.	<a href="#">34-99412</a>	01/22/24
SEC v. Aryeh Goldstein, et al.	Civil Injunctive	<a href="#">LR-25930</a>	01/23/24
SEC v. Jesus Rodriguez	Civil Injunctive	<a href="#">LR-25932</a>	01/24/24
In the Matter of Robert Joseph Armijo	Follow-on Admin. Proc.	<a href="#">34-99437</a>	01/29/24
In the Matter of Brijesh Goel	Follow-on Admin. Proc.	<a href="#">34-99478</a>	02/06/24
In the Matter of Northwestern Mutual Investment Services, LLC, et al.	Standalone Admin. Proc.	<a href="#">34-99501</a>	02/09/24
In the Matter of Key Investment Services LLC, et al.	Standalone Admin. Proc.	<a href="#">34-99500</a>	02/09/24
In the Matter of Cambridge Investment Research, Inc., et al.	Standalone Admin. Proc.	<a href="#">34-99498</a>	02/09/24
In the Matter of Lincoln Financial Advisors Corporation, et al.	Standalone Admin. Proc.	<a href="#">34-99499</a>	02/09/24
In the Matter of Huntington Investment Company, et al.	Standalone Admin. Proc.	<a href="#">34-99504</a>	02/09/24
In the Matter of Guggenheim Securities LLC, et al.	Standalone Admin. Proc.	<a href="#">34-99502</a>	02/09/24
In the Matter of Oppenheimer & Co. Inc.	Standalone Admin. Proc.	<a href="#">34-99503</a>	02/09/24
In the Matter of U.S. Bancorp Investments, Inc.	Standalone Admin. Proc.	<a href="#">34-99505</a>	02/09/24
In the Matter of TIAA-CREF Individual & Institutional Services, LLC	Standalone Admin. Proc.	<a href="#">34-99549</a>	02/16/24
In the Matter of Dale Jay Engelhardt	Follow-on Admin. Proc.	<a href="#">34-99605</a>	02/26/24
In the Matter of Aryeh Goldstein	Follow-on Admin. Proc.	<a href="#">34-99656</a>	03/01/24
In the Matter of ShapeShift AG	Standalone Admin. Proc.	<a href="#">34-99676</a>	03/05/24
In the Matter of David P. Grzan	Follow-on Admin. Proc.	<a href="#">34-99882</a>	04/02/24
In the Matter of Ronald M. Heineman	Follow-on Admin. Proc.	<a href="#">34-99903</a>	04/03/24
SEC v. Mark Borden	Civil Injunctive	<a href="#">LR-25971</a>	04/08/24
In the Matter of Luis F. Serrano	Follow-on Admin. Proc.	<a href="#">34-99953</a>	04/12/24
In the Matter of Julio Eduardo Taffinder	Follow-on Admin. Proc.	<a href="#">34-99952</a>	04/12/24
In the Matter of Hayden F. Greene	Follow-on Admin. Proc.	<a href="#">34-99948</a>	04/12/24
In the Matter of Mark Borden	Follow-on Admin. Proc.	<a href="#">34-99985</a>	04/17/24

In the Matter of Efren Norberto Quiroz Gardea	Follow-on Admin. Proc.	<a href="#">34-100019</a>	04/24/24
In the Matter of Luis Ricardo Quiroz Gardea	Follow-on Admin. Proc.	<a href="#">34-100018</a>	04/24/24
SEC v. Tri-Bridge Ventures, LLC, et al.	Civil Injunctive	<a href="#">LR-25987</a>	04/29/24
In the Matter of Timothy A. Nemeckay	Follow-on Admin. Proc.	<a href="#">34-100045</a>	05/01/24
SEC v. Curt Kramer, et al.	Civil Injunctive	<a href="#">LR-25995</a>	05/07/24
In the Matter of Sean McManus	Follow-on Admin. Proc.	<a href="#">34-100171</a>	05/17/24
In the Matter of George Rauch (f/k/a George B. Fasciano)	Follow-on Admin. Proc.	<a href="#">34-100184</a>	05/20/24
In the Matter of Key Investment Services, LLC	Standalone Admin. Proc.	<a href="#">34-100186</a>	05/21/24
In the Matter of Mark Allan Plummer	Follow-on Admin. Proc.	<a href="#">34-100207</a>	05/22/24
In the Matter of Todd Stuart Breitling	Follow-on Admin. Proc.	<a href="#">34-100238</a>	05/29/24
In the Matter of Gabriel Edelman	Follow-on Admin. Proc.	<a href="#">34-100249</a>	05/30/24
In the Matter of John D. Fierro	Follow-on Admin. Proc.	<a href="#">34-100339</a>	06/14/24
In the Matter of Brook Church-Koegel	Follow-on Admin. Proc.	<a href="#">34-100381</a>	06/18/24
In the Matter of David H. Goldman	Follow-on Admin. Proc.	<a href="#">34-100382</a>	06/18/24
In the Matter of Nicole J. Walker	Follow-on Admin. Proc.	<a href="#">34-100383</a>	06/18/24
In the Matter of Dwayne Malloy	Follow-on Admin. Proc.	<a href="#">34-100428</a>	06/26/24
In the Matter of LifeMark Securities Corp.	Standalone Admin. Proc.	<a href="#">34-100616</a>	07/29/24
SEC v. Garrett W. Moretz	Civil Injunctive	<a href="#">LR-26061</a>	07/29/24
In the Matter of Geoffrey Wolterstorff	Standalone Admin. Proc.	<a href="#">34-100615</a>	07/29/24
In the Matter of Western International Securities, Inc.	Standalone Admin. Proc.	<a href="#">34-100618</a>	07/30/24
In the Matter of OTC Link LLC	Standalone Admin. Proc.	<a href="#">34-100692</a>	08/12/24
In the Matter of Piper Sandler & Co.	Standalone Admin. Proc.	<a href="#">34-100698</a>	08/14/24
In the Matter of Osaic Services, Inc., et al.	Standalone Admin. Proc.	<a href="#">34-100701</a>	08/14/24
In the Matter of Great Point Capital, LLC	Standalone Admin. Proc.	<a href="#">34-100696</a>	08/14/24
In the Matter of First Trust Portfolios L.P.	Standalone Admin. Proc.	<a href="#">34-100700</a>	08/14/24
In the Matter of Cetera Advisor Networks LLC, et al.	Standalone Admin. Proc.	<a href="#">34-100699</a>	08/14/24
In the Matter of Hilltop Securities Inc.	Standalone Admin. Proc.	<a href="#">34-100697</a>	08/14/24
In the Matter of Truist Securities, Inc., et al.	Standalone Admin. Proc.	<a href="#">34-100703</a>	08/14/24
In the Matter of TD Securities (USA) LLC, et al.	Standalone Admin. Proc.	<a href="#">34-100711</a>	08/14/24
In the Matter of BNY Mellon Securities Corporation, et al.	Standalone Admin. Proc.	<a href="#">34-100712</a>	08/14/24
In the Matter of Cowen and Company, LLC, et al.	Standalone Admin. Proc.	<a href="#">34-100710</a>	08/14/24
In the Matter of Haitong International Securities (USA) Inc.	Standalone Admin. Proc.	<a href="#">34-100708</a>	08/14/24
In the Matter of Apex Clearing Corporation	Standalone Admin. Proc.	<a href="#">34-100702</a>	08/14/24
In the Matter of Wilson J. Rondini, III	Follow-on Admin. Proc.	<a href="#">34-100728</a>	08/15/24
In the Matter of GHS Investments, LLC, et al.	Standalone Admin. Proc.	<a href="#">34-100769</a>	08/19/24
In the Matter of Ronald Walter Hannes	Follow-on Admin. Proc.	<a href="#">34-100976</a>	09/09/24
In the Matter of Frank M. Vecchio	Follow-on Admin. Proc.	<a href="#">34-101008</a>	09/12/24
In the Matter of Anthony Guarino	Standalone Admin. Proc.	<a href="#">34-101006</a>	09/12/24
In the Matter of Robert Seropian	Standalone Admin. Proc.	<a href="#">34-101007</a>	09/12/24
In the Matter of eToro USA LLC	Standalone Admin. Proc.	<a href="#">34-101001</a>	09/12/24
In the Matter of State Farm VP Management Corp.	Standalone Admin. Proc.	<a href="#">34-101037</a>	09/16/24
In the Matter of Ralph M. Trigg	Standalone Admin. Proc.	<a href="#">34-101035</a>	09/16/24
In the Matter of First Horizon Advisors, Inc.	Standalone Admin. Proc.	<a href="#">34-101071</a>	09/18/24
In the Matter of Michael Trofimoff	Follow-on Admin. Proc.	<a href="#">34-101101</a>	09/19/24
In the Matter of Regions Securities LLC	Standalone Admin. Proc.	<a href="#">34-101140</a>	09/24/24
In the Matter of Invesco Distributors, Inc., et al.	Standalone Admin. Proc.	<a href="#">34-101141</a>	09/24/24

In the Matter of Alpaca Securities LLC	Standalone Admin. Proc.	<a href="#">34-101137</a>	09/24/24
In the Matter of Canaccord Genuity LLC	Standalone Admin. Proc.	<a href="#">34-101142</a>	09/24/24
In the Matter of CIBC World Markets Corp., et al.	Standalone Admin. Proc.	<a href="#">34-101138</a>	09/24/24
In the Matter of Intesa Sanpaolo IMI Securities Corp.	Standalone Admin. Proc.	<a href="#">34-101139</a>	09/24/24
In the Matter of Qatalyst Partners LP	Standalone Admin. Proc.	<a href="#">34-101143</a>	09/24/24
In the Matter of Stifel, Nicolaus & Company, Inc.	Standalone Admin. Proc.	<a href="#">34-101144</a>	09/24/24
In the Matter of Chimene Van Gundy	Follow-on Admin. Proc.	<a href="#">34-101188</a>	09/25/24
In the Matter of Elevation, LLC	Standalone Admin. Proc.	<a href="#">34-101183</a>	09/25/24
In the Matter of Investment Security Corporation	Standalone Admin. Proc.	<a href="#">34-101184</a>	09/25/24
In the Matter of LODAS Securities, LLC	Standalone Admin. Proc.	<a href="#">34-101185</a>	09/25/24
In the Matter of Ministry Partners Securities, LLC	Standalone Admin. Proc.	<a href="#">34-101186</a>	09/25/24
In the Matter of Vistia Capital, LLC	Standalone Admin. Proc.	<a href="#">34-101187</a>	09/25/24
In the Matter of Moloney Securities Co., Inc., et al.	Standalone Admin. Proc.	<a href="#">34-101213</a>	09/27/24
SEC v. Robert M. Vance	Civil Injunctive	<a href="#">LR-26139</a>	09/27/24
In the Matter of TD Securities (USA) LLC	Standalone Admin. Proc.	<a href="#">33-11314</a>	09/30/24

## DELINQUENT FILINGS

In the Matter of Continental Energy Corp.	Standalone Admin. Proc.	<a href="#">34-99004</a>	11/21/23
In the Matter of ACCPAC International, Inc. (n/k/a Sage Software, Inc.)	Standalone Admin. Proc.	<a href="#">34-99607</a>	02/26/24
In the Matter of American CryoStem Corporation	Standalone Admin. Proc.	<a href="#">34-99608</a>	02/26/24
In the Matter of Applied Minerals, Inc.	Standalone Admin. Proc.	<a href="#">34-99611</a>	02/27/24
In the Matter of Cang Bao Tian Xia International Art Trade Center, Inc.	Standalone Admin. Proc.	<a href="#">34-99612</a>	02/27/24
In the Matter of Ecco Auto World Corp.	Standalone Admin. Proc.	<a href="#">34-99615</a>	02/27/24
In the Matter of Edge Data Solutions, Inc.	Standalone Admin. Proc.	<a href="#">34-99616</a>	02/27/24
In the Matter of Global Wholehealth Partners Corporation	Standalone Admin. Proc.	<a href="#">34-99631</a>	02/29/24
In the Matter of Green Hygienics Holdings, Inc.	Standalone Admin. Proc.	<a href="#">34-99632</a>	02/29/24
In the Matter of HQDA Elderly Life Network Corp.	Standalone Admin. Proc.	<a href="#">34-99629</a>	02/29/24
In the Matter of Ionix Technology, Inc.	Standalone Admin. Proc.	<a href="#">34-99630</a>	02/29/24
In the Matter of MBG Holdings, Inc. (f/k/a American Metals Recovery and Recycling, Inc.)	Standalone Admin. Proc.	<a href="#">34-99648</a>	02/29/24
In the Matter of nDivision Inc.	Standalone Admin. Proc.	<a href="#">34-99649</a>	02/29/24
In the Matter of VOSB Acquisition Corp. I	Standalone Admin. Proc.	<a href="#">34-99626</a>	02/29/24
In the Matter of WedoTalk Inc.	Standalone Admin. Proc.	<a href="#">34-99627</a>	02/29/24
In the Matter of Western Magnesium Corp.	Standalone Admin. Proc.	<a href="#">34-99628</a>	02/29/24
In the Matter of Colambda Technologies, Inc. (f/k/a New Century Resources Corporation)	Standalone Admin. Proc.	<a href="#">34-99660</a>	03/04/24
In the Matter of Discovery Energy Corp.	Standalone Admin. Proc.	<a href="#">34-99661</a>	03/04/24
In the Matter of ESP Resources, Inc. (n/k/a Great Tang Bid Technology, Inc.)	Standalone Admin. Proc.	<a href="#">34-99672</a>	03/05/24
In the Matter of Fearless Films, Inc.	Standalone Admin. Proc.	<a href="#">34-99673</a>	03/05/24
In the Matter of Fovea Jewelry Holdings Ltd.	Standalone Admin. Proc.	<a href="#">34-99674</a>	03/05/24
In the Matter of Gene Biotherapeutics, Inc. (f/k/a Taxus Cardium Pharmaceuticals Group, Inc.)	Standalone Admin. Proc.	<a href="#">34-99675</a>	03/05/24
In the Matter of Daniels Corporate Advisory Company, Inc.	Standalone Admin. Proc.	<a href="#">34-100763</a>	08/19/24
In the Matter of Arch Leasing Corp Trust	Standalone Admin. Proc.	<a href="#">34-100764</a>	08/19/24
In the Matter of Herzog International Holdings, Inc.	Standalone Admin. Proc.	<a href="#">34-100760</a>	08/19/24
In the Matter of Image Chain Group Limited, Inc.	Standalone Admin. Proc.	<a href="#">34-100761</a>	08/19/24
In the Matter of WindGen Energy, Inc.	Standalone Admin. Proc.	<a href="#">34-100765</a>	08/19/24
In the Matter of ZZLL Information Technology, Inc.	Standalone Admin. Proc.	<a href="#">34-100766</a>	08/19/24

In the Matter of Quantrx Biomedical Corporation	Standalone Admin. Proc.	<a href="#">34-100775</a>	08/20/24
In the Matter of Rayont Inc.	Standalone Admin. Proc.	<a href="#">34-100776</a>	08/20/24
In the Matter of Vetanova, Inc.	Standalone Admin. Proc.	<a href="#">34-100781</a>	08/20/24
In the Matter of VII Peaks Co-Optivist Income BDC II, Inc.	Standalone Admin. Proc.	<a href="#">34-100782</a>	08/20/24
In the Matter of Diego Pellicer Worldwide, Inc.	Standalone Admin. Proc.	<a href="#">34-100801</a>	08/21/24
In the Matter of FISION Corporation, f/k/a DE Acquisition 6, Inc.	Standalone Admin. Proc.	<a href="#">34-100800</a>	08/21/24
In the Matter of Impax Laboratories, LLC	Standalone Admin. Proc.	<a href="#">34-100795</a>	08/21/24
In the Matter of LGBTQ Loyalty Holdings, Inc.	Standalone Admin. Proc.	<a href="#">34-100796</a>	08/21/24
In the Matter of Perk International, Inc.	Standalone Admin. Proc.	<a href="#">34-100821</a>	08/27/24
In the Matter of Petrogress, Inc.	Standalone Admin. Proc.	<a href="#">34-100822</a>	08/27/24
In the Matter of Amanasu Environment Corp.	Standalone Admin. Proc.	<a href="#">34-100889</a>	09/03/24
In the Matter of Charrette de Cafe, Corp.	Standalone Admin. Proc.	<a href="#">34-100890</a>	09/03/24
In the Matter of Cordia Corp.	Standalone Admin. Proc.	<a href="#">34-100898</a>	09/03/24
In the Matter of Empire Global Gaming, Inc.	Standalone Admin. Proc.	<a href="#">34-100899</a>	09/03/24
In the Matter of Commerce Group Corp. /W/	Standalone Admin. Proc.	<a href="#">34-100909</a>	09/04/24
In the Matter of Community Medical Transport, Inc.	Standalone Admin. Proc.	<a href="#">34-100910</a>	09/04/24
In the Matter of Harvey Electronics, Inc.	Standalone Admin. Proc.	<a href="#">34-100911</a>	09/04/24
In the Matter of Kallo, Inc.	Standalone Admin. Proc.	<a href="#">34-100912</a>	09/04/24
In the Matter of Major League Football Inc.	Standalone Admin. Proc.	<a href="#">34-100913</a>	09/04/24
In the Matter of Max Sound Corp.	Standalone Admin. Proc.	<a href="#">34-100914</a>	09/04/24
In the Matter of Motos America, Inc.	Standalone Admin. Proc.	<a href="#">34-100915</a>	09/04/24
In the Matter of Nanomix Corp.	Standalone Admin. Proc.	<a href="#">34-100916</a>	09/04/24
In the Matter of Navitas International Corp.	Standalone Admin. Proc.	<a href="#">34-100921</a>	09/04/24
In the Matter of Palayan Resources, Inc.	Standalone Admin. Proc.	<a href="#">34-100922</a>	09/04/24
In the Matter of Powertech Industries Inc.	Standalone Admin. Proc.	<a href="#">34-100923</a>	09/04/24
In the Matter of Rhino Biotech Ltd. (f/k/a Eurasia Energy Ltd.)	Standalone Admin. Proc.	<a href="#">34-100925</a>	09/04/24
In the Matter of Salt Blockchain Inc.	Standalone Admin. Proc.	<a href="#">34-100955</a>	09/05/24
In the Matter of LexaGene Holdings Inc.	Standalone Admin. Proc.	<a href="#">34-100931</a>	09/05/24
In the Matter of United Capital Consultants Inc.	Standalone Admin. Proc.	<a href="#">34-100932</a>	09/05/24
In the Matter of Veroni Brands Corp.	Standalone Admin. Proc.	<a href="#">34-100933</a>	09/05/24
In the Matter of Atlas Financial Holdings, Inc.	Standalone Admin. Proc.	<a href="#">34-101220</a>	09/30/24

#### FOREIGN CORRUPT PRACTICES ACT

In the Matter of SAP SE	Standalone Admin. Proc.	<a href="#">34-99308</a>	01/10/24
In the Matter of Deere & Company	Standalone Admin. Proc.	<a href="#">34-100984</a>	09/10/24

#### INSIDER TRADING

SEC v. Brian Marc Rubin	Civil Injunctive	<a href="#">LR-25882</a>	10/17/23
In the Matter of Joseph Conlan	Standalone Admin. Proc.	<a href="#">34-98824</a>	10/30/23
In the Matter of Tian "Tony" Tian	Standalone Admin. Proc.	<a href="#">34-99410</a>	01/22/24
SEC v. Tyler Loudon	Civil Injunctive	<a href="#">LR-26013</a>	02/22/24
In the Matter of Hemant Agrawal	Standalone Admin. Proc.	<a href="#">34-99666</a>	03/04/24
SEC v. Roy M. Cook, et al.	Civil Injunctive	<a href="#">LR-25948</a>	03/12/24
SEC v. Jordan Qsar, et al.	Civil Injunctive	<a href="#">LR-25956</a>	03/26/24
SEC v. Andreas Bechtolsheim	Civil Injunctive	<a href="#">LR-25955</a>	03/26/24

In the Matter of Anthony Manna	Standalone Admin. Proc.	<a href="#">34-99926</a>	04/09/24
In the Matter of Michael Sapaicone	Standalone Admin. Proc.	<a href="#">34-99927</a>	04/09/24
In the Matter of Joseph Young	Standalone Admin. Proc.	<a href="#">34-99928</a>	04/09/24
SEC v. Kevin Crotty	Civil Injunctive	<a href="#">LR-25985</a>	04/26/24
SEC v. Sanjay Bhandari, et al.	Civil Injunctive	<a href="#">LR-25989</a>	04/30/24
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#### **SRO / EXCHANGE**

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#### **TRANSFER AGENT**

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