

UNITED STATES DISTRICT COURT
DISTRICT OF CONNECTICUT

_____)		
SECURITIES AND EXCHANGE COMMISSION,)		
)	
)	
Plaintiff,)		
v.)		Civil Action No. 3:20-cv-1279
)	
MATTHEW O. CLASON)		
)	
)	
Defendant.)		
_____)		

FINAL JUDGMENT AS TO DEFENDANT MATTHEW O. CLASON

The Securities and Exchange Commission having filed a Complaint, and Matthew O. Clason (“Defendant”) having entered a general appearance; consented to the Court’s jurisdiction over Defendant and the subject matter of this action; consented to entry of this Final Judgment; waived findings of fact and conclusions of law; and waived any right to appeal from this Final Judgment:

I.

IT IS HEREBY ORDERED, ADJUDGED, AND DECREED that Defendant is permanently restrained and enjoined from violating, directly or indirectly, Sections 206(1) and 206(2) of the Investment Advisers Act of 1940 (the “Advisers Act”) [15 U.S.C. § 80b-6(4)] by using the mails or any means or instrumentality of interstate commerce as an investment adviser:

- (1) to employ any device, scheme, or artifice to defraud a client or prospective client; or
- (2) to engage in any transaction, practice, or course of business which operates as a fraud or deceit upon a client or prospective client.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that, as provided in Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also binds the following who receive actual notice of this Judgment by personal service or otherwise: (a) Defendant's officers, agents, servants, employees, and attorneys; and (b) other persons in active concert or participation with Defendant or with anyone described in (a).

II.

IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that Defendant is liable for disgorgement of \$614,840, representing net profits gained as a result of the conduct alleged in the Complaint, together with prejudgment interest thereon in the amount of \$19,632, for a total of \$634,472, which shall be deemed satisfied by the Order of Restitution entered against Defendant in *United States v. Clason*, Crim. No. 3:21-CR-66 (D. Conn.).

Based on Defendant's criminal sentence in *United States v. Clason*, the Commission has determined to withdraw its claims for civil monetary penalties against Defendant.

III.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that Defendant's Consent is incorporated herein with the same force and effect as if fully set forth herein, and that Defendant shall comply with all of the undertakings and agreements set forth therein.

IV.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that, for purposes of exceptions to discharge set forth in Section 523 of the Bankruptcy Code, 11 U.S.C. § 523, the allegations in the Complaint are true and admitted by Defendant, and further, any debt for disgorgement, prejudgment interest, civil penalty or other amounts due by Defendant under this Judgment or any other judgment, order, consent order, decree or settlement agreement entered in

connection with this proceeding, is a debt for the violation by Defendant of the federal securities laws or any regulation or order issued under such laws, as set forth in Section 523(a)(19) of the Bankruptcy Code, 11 U.S.C. § 523(a)(19).

V.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that this Court shall retain jurisdiction of this matter for the purposes of enforcing the terms of this Judgment.

Dated: November 8, 2022

/s/ MICHAEL P. SHEA
UNITED STATES DISTRICT JUDGE