

**UNITED STATES OF AMERICA**  
**Before the**  
**SECURITIES AND EXCHANGE COMMISSION**

**SECURITIES EXCHANGE ACT OF 1934**  
**Release No. 96579 / December 23, 2022**

**ADMINISTRATIVE PROCEEDING**  
**File No. 3-21262**

**In the Matter of**

**ROGER KNOX,**

**Respondent.**

**ORDER INSTITUTING  
ADMINISTRATIVE PROCEEDINGS  
PURSUANT TO SECTION 15(b) OF  
THE SECURITIES EXCHANGE ACT  
OF 1934, MAKING FINDINGS, AND  
IMPOSING REMEDIAL SANCTIONS**

**I.**

The Securities and Exchange Commission (“Commission”) deems it appropriate and in the public interest that public administrative proceedings be, and hereby are, instituted pursuant to Section 15(b) of the Securities Exchange Act of 1934 (“Exchange Act”) against Roger Knox (“Respondent”).

**II.**

In anticipation of the institution of these proceedings, Respondent has submitted an Offer of Settlement (the “Offer”) which the Commission has determined to accept. Solely for the purpose of these proceedings and any other proceedings brought by or on behalf of the Commission, or to which the Commission is a party, Respondent admits the Commission’s jurisdiction over him and the subject matter of these proceedings, and the findings contained in paragraph III.2 and III.4 below, and consents to the entry of this Order Instituting Administrative Proceedings Pursuant to Section 15(b) of the Exchange Act, Making Findings, and Imposing Remedial Sanctions (“Order”), as set forth below.

**III.**

On the basis of this Order and Respondent’s Offer, the Commission finds that:

1. Knox, working with others, acted as an unregistered broker-dealer and controlled a foreign company that he used between at least mid-2015 and 2018 to enable public company control persons fraudulently to sell stock to retail investors in the public United States securities markets. Knox, who is 51 years old, is a citizen of the United Kingdom and currently resides in the United States.

2. On December 21, 2022, a final judgment was entered by consent against Knox, permanently enjoining him from future violations of Sections 5(a), 5(c) and 17(a) of the Securities Act of 1933, and Sections 10(b) and 15(a) of the Exchange Act and Rules 10b-5 thereunder, in the civil action entitled Securities and Exchange Commission v. Roger Knox, et al., Civil Action Number 18-cv-12058-RGS, in the United States District Court for the District of Massachusetts.

3. The Commission's complaint, filed October 2, 2018, alleged that Knox, while acting as an unregistered broker-dealer and working in coordination with others, used omnibus accounts he controlled to provide a layer of disguise to public company insiders or control persons, who intended to defraud investors by secretly dumping large quantities of stock—including the securities of public companies Environmental Packaging Technologies Holdings, Inc. and CURE Pharmaceutical Holding Corp., in circumvention of registration and disclosure requirements imposed by the federal securities laws. The complaint alleged that Knox's actions operated as a fraud and deceit on investors and violated the securities registration and broker-dealer registration provisions of the federal securities laws.

4. On January 13, 2020, Knox pled guilty to one count of conspiracy to commit securities fraud, in violation of 18 U.S.C. §371, and one count of securities fraud in violation of 15 U.S.C. §§78j(b) and 78ff, and 17 C.F.R. §240.10b-5, before the United States District Court for the District of Massachusetts, in United States v. Roger Knox, 18-CR-10385-NMG.

#### IV.

In view of the foregoing, the Commission deems it appropriate and in the public interest to impose the sanctions agreed to in Respondent Knox's Offer.

Accordingly, it is hereby ORDERED pursuant to Section 15(b)(6) of the Exchange Act, that Respondent Knox be, and hereby is barred from association with any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization; and

Any reapplication for association by the Respondent will be subject to the applicable laws and regulations governing the reentry process, and reentry may be conditioned upon a number of factors, including, but not limited to, compliance with the Commission's order and payment of any or all of the following: (a) any disgorgement or civil penalties ordered by a Court against the Respondent in any action brought by the Commission; (b) any disgorgement amounts ordered against the Respondent for which the Commission waived payment; (c) any arbitration award related to the conduct that served as the basis for the Commission order; (d) any self-regulatory organization arbitration award to a customer, whether or not related to the conduct that served as

the basis for the Commission order; and (e) any restitution order by a self-regulatory organization, whether or not related to the conduct that served as the basis for the Commission order.

By the Commission.

Vanessa A. Countryman  
Secretary