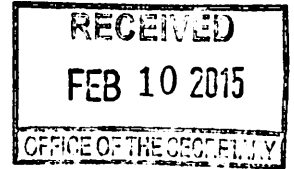


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UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION



ADMINISTRATIVE PROCEEDING
File No. 3-16178

In the Matter of
**Gregory T. Bolan, Jr. and
Joseph C. Ruggieri,**

Respondents.

DIVISION OF ENFORCEMENT'S WITNESS LIST

The Division of Enforcement ("Division") respectfully submits its witness list pursuant to Rule of Practice 222(a)(4) and the Order Setting Prehearing Schedule, dated November 26, 2014. The Division reserves the right to supplement this list. The Division further reserves the right to call additional witnesses whose names appear on Respondents' witness lists, to rebut evidence proffered by Respondents, or, if necessary, to authenticate documents.

1. **Gregory T. Bolan, Jr.**
c/o Sam Lieberman, Esq.
Sadis & Goldberg LLP



Respondent Gregory T. Bolan, Jr. ("Bolan") is expected to testify about relevant subjects including the allegations against him in the Order instituting these proceedings (the "OIP").

2. **Joseph C. Ruggieri**
c/o Paul W. Ryan, Esq.
Serpe Ryan LLP



Respondent Joseph C. Ruggieri ("Ruggieri") is expected to testify about relevant subjects including the allegations against him in the OIP.

3. **Christopher Bartlett**
c/o Michael Missal, Esq.
K&L Gates

[REDACTED]

Mr. Bartlett is expected to testify about relevant subjects including position trading at Wells Fargo Securities, LLC (“Wells Fargo”) and his communications concerning Bolan.

4. **Matthew Brown**
c/o Michael Missal, Esq.
K&L Gates

[REDACTED]

Mr. Brown is expected to testify about relevant subjects including position trading at Wells Fargo and his supervision of Ruggieri.

5. **Timothy Evans**
c/o Michael Missal, Esq.
K&L Gates

[REDACTED]

Mr. Evans is expected to testify about relevant subjects including his communications with Bolan and his concerns about Bolan’s communications with Wells Fargo clients.

6. **Scott Friedman**
c/o Michael Missal, Esq.
K&L Gates

[REDACTED]

Mr. Friedman is expected to testify about relevant subjects including Wells Fargo compliance policies and procedures and the compliance inquiry involving Bolan and Ruggieri.

7. **Daniel Hughes**
c/o Michael Missal, Esq.
K&L Gates

[REDACTED]

Mr. Hughes is expected to testify about relevant subjects including Wells Fargo's annual training for research analysts, including Bolan, and his communications with Bolan.

8. **Michael Madsen**
c/o Michael Missal, Esq.
K&L Gates

[REDACTED]

Mr. Madsen is expected to testify about relevant subjects including Bolan's research reports and his communications with Bolan.

9. **Christopher Malcolm**
c/o Michael Missal, Esq.
K&L Gates

[REDACTED]

Mr. Malcolm is expected to testify about and authenticate relevant documents including Bolan's and Ruggieri's office telephone records.

10. **Edward S. O'Neal, Ph.D.**
Securities Litigation and Consulting Group, Inc.

[REDACTED]

Mr. O'Neal is expected to testify as an expert witness about relevant subjects. Pursuant to the Court's Order Setting Procedural Schedule, dated November 26, 2014, the Division will provide Mr. O'Neal's initial expert report to Respondents on February 17, 2015.

11. **Scott Walster**
Securities and Exchange Commission
New York Regional Office
[REDACTED]
Supervisory Financial Economist

Mr. Walster is expected to testify as a summary witness about relevant subjects including summaries of voluminous trading records, research reports, and telephone records.

12. **Todd Wickwire**
c/o Michael Missal, Esq.
K&L Gates
[REDACTED]

Mr. Wickwire is expected to testify about relevant subjects including his supervision of Bolan and Bolan's employment at Wells Fargo.

13. **Scott Yi**
c/o Michael Missal, Esq.
K&L Gates
[REDACTED]

Mr. Yi is expected to testify about relevant subjects including: (a) Wells Fargo's compliance policies and procedures; (b) the Wells Fargo compliance inquiry involving Bolan and Ruggieri; and (c) Ruggieri's trading records.

14. **Custodian of Records**
Verizon Wireless
[REDACTED]

The Custodian of Records for Verizon Wireless is expected to testify about and authenticate cellular telephone records.

**15. Custodian of Records
Comcast Corp.**

[REDACTED]

The Custodian of Records for Comcast Corp. is expected to testify about and authenticate Bolan's residential telephone records.

**16. Custodian of Records
National Financial Services LLC**

[REDACTED]

The Custodian of Records for National Financial Services LLC is expected to testify about and authenticate Trader A's trading records.

**17. Custodian of Records
Wells Fargo Securities, LLC
c/o Michael Missal, Esq.
K&L Gates**

[REDACTED]

The Custodian of Records for Wells Fargo is expected to testify about and authenticate relevant Wells Fargo records.

**18. Custodian of Records
Time Warner Cable
c/o Neustar, Inc.**

[REDACTED]

The Custodian of Records for Time Warner Cable is expected to testify about and authenticate relevant residential telephone records.

19. Medical Expert Witness

The Division reserves its right to call a rebuttal expert medical witness to rebut the testimony of any medical expert designated by Respondent Bolan to testify about any medical condition that Bolan claims is relevant to the OIP's allegations against him.

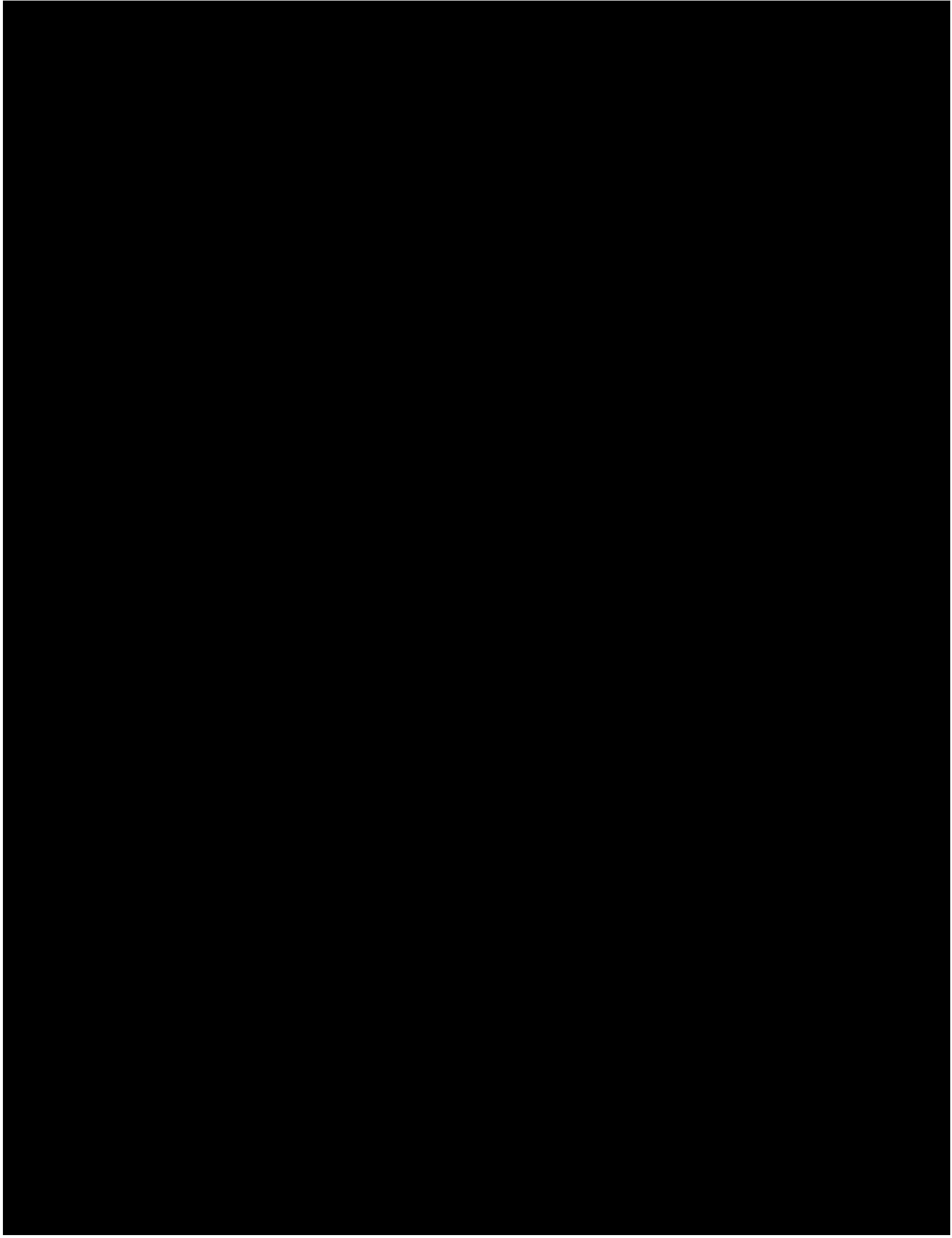
Dated: February 9, 2015
New York, New York

DIVISION OF ENFORCEMENT

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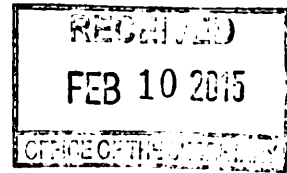
By:

Sandeep Satwalekar
Alexander Vasilescu
Preethi Krishnamurthy
Securities and Exchange Commission
New York Regional Office
200 Vesey Street, Suite 400
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[REDACTED]





UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
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NEW YORK, NEW YORK 10281-1022



SANDEEP SATWALEKAR
(212) 336-0161
SatwalekarS@sec.gov

February 9, 2015

VIA FACSIMILE & UPS OVERNIGHT

Brent J. Fields, Secretary
Office of the Secretary
U.S. Securities and Exchange Commission
100 F Street, N.E., Mail Stop 3628
Washington, DC 20549
Fax: (202) 772-9324

Re: *In the Matter of Gregory T. Bolan, Jr. and Joseph C. Ruggieri*, AP File No. 3-16178

Dear Mr. Fields:

Please find enclosed for filing the Division of Enforcement's witness list and a certificate of service in the above-captioned proceeding. The overnight delivery contains an original and three copies of each document for filing.

Respectfully submitted,

Sandeep Satwalekar
Division of Enforcement

cc: Judge Jason S. Patil (by email and overnight mail w/ encls.)
Sam Lieberman, Esq. (by email w/ encls.)
Paul Ryan, Esq. (by email w/ encls.)