

ORIGINAL

ADMINISTRATIVE PROCEEDING
FILE NO. 3-16195



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

In the Matter of

JUDY K. WOLF,

Respondent.

Judge Cameron Elliot

**DIVISION OF ENFORCEMENT'S
EXHIBIT LIST**

The Division of Enforcement (“Division”) hereby identifies the exhibits below that it may use at the hearing of this matter scheduled to commence on February 23, 2015. The Division reserves its right to amend or supplement the below list before the hearing, should it identify additional exhibits it may use.

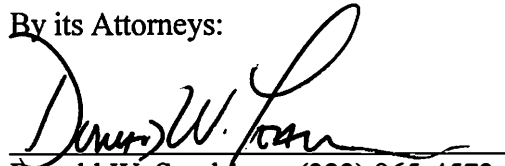
Hearing Exhibit No.	Document Description	Admitted
251	Draft Wachovia Retail Control Group procedures for insider trading reviews, last update October 26, 2009	
252	Wells Fargo Advisors Retail Control Group procedures for reviews for potential insider trading, last update July 23, 2010	
253	Operating Procedures – reviews for potential insider trading	
254	Operating Procedures – reviews for potential insider trading published June 19, 2012	
255	Judy Wolf’s Burger King insider trading review file with cover page as produced to Commission staff on January 14, 2013	
342	Judy Wolf’s November 19, 2009 email re “Links to Logs”	
343	Judy Wolf’s Excel spreadsheet log listing potential insider trading reviews she conducted January 2009 to present, dated April 22, 2013	

Hearing Exhibit No.	Document Description	Admitted
368	Judy Wolf's September 27, 2012 emails re Commission action against Prado	
376	February 28, 2013 email regarding Judy Wolf's memorandum re Burger King insider trading "Summary of Events" and revisions thereto	
379	Judy Wolf's Burger King insider trading review file; Commission's complaint filed against Waldyr da Silva Prado Neto, SDNY Civil Action No. 12-CIV-7094; Judy Wolf's February 28, 2013 "Summary of Events" memo; and Commission's press release re action against Igor Cornelsen, release number 2012-248	
380	Judy Wolf's September 14, 2012 email re Prado/Burger King; Modesto Moya file re Burger King insider trading review	
380A	Copies of news articles contained within Ex. 380; PRADO-SEC-025272-88	
381	Judy Wolf's file re Burger King insider trading with post-it "gave original to Roseann 12/28/12"	
387	Partial "Summary of Events" memo prepared by Judy Wolf re Burger King insider trading review dated February 28, 2013	
399	Judy Wolf's March 25-26, 2013 emails re Real American Brands insider trading review and use of her Excel spreadsheet log as a guide	
401	Judy Wolf's July 2010 insider trading review of ATC Technology Corp. and 2012 request for information about that review	
403	Judy Wolf's handwritten notes re June 13, 2013 termination of employment at Wells Fargo Advisors	
500	Order Instituting Proceedings against The Buckingham Research Group, Inc. Exchange Act Release No. 63313 (Nov. 17, 2010)	
501	November 22, 2010 email exchange between Judy Wolf and Roseann St. Jean regarding SEC enforcement action against Buckingham Research for failing to have adequate policies and procedures to prevent misuse of nonpublic information; PRADO-SEC-JWOLFEMAIL-0270140-43	
502	November 29, 2010 email exchange between Judy Wolf, Roseann St. Jean and Modesto Moya, regarding internal assessment of SEC enforcement action against Buckingham Research; PRADO-SEC-JWOLFEMAIL-0271027-0271030	
503	Buckingham Research assessment memo dated November 29, 2010; PRADO-SEC-JWOLFEMAIL-0271031	
504	Wells Fargo Advisors' Code of Ethics and Business Conduct; PRADO-SEC-082818-083584	
505	Judy Wolf's Team Member Acknowledgement form signed January 29, 2010	
506	SEC Order Instituting Proceedings against Janney Montgomery Scott	

Hearing Exhibit No.	Document Description	Admitted
507	Judy Wolf's July 11, 2011 email re Janney Montgomery Scott case; PRADO-SEC-JWOLFEMAIL-0103190-91	
508	Judy Wolf's July 12, 2011 emails re Janney Montgomery Scott case; PRADO-SEC-JWOLFEMAIL-0103274-75	
509	Judy Wolf's July 13, 2011 emails re Janney Montgomery Scott case; PRADO-SEC-JWOLFEMAIL-0103610-0103611 and SEC-Wolf_J-E-0004616	
510	Judy Wolf's July 14, 2011 emails re Janney Montgomery Scott case; PRADO-SEC-JWOLFEMAIL-0103776-81	
511	Judy Wolf's July 14, 2011 email and attached chart comparing compliance procedures in Janney Montgomery Scott case vs. Well Fargo Adviser's procedures. PRADO-SEC-JWOLFEMAIL-0335482	
512	Judy Wolf's July 21, 2011 emails re meeting to discuss Janney Montgomery Scott case; PRADO-SEC-JWOLFEMAIL-0336584	
513	July 21, 2011 email exchange between Roseann St. John, James Aliosi and Judy Wolf; PRADO-SEC-JWOLFEMAIL-0336584	
514	Judy Wolf's July 22, 2011 updated analysis of Janney Scott Montgomery case; PRADO-SEC-JWOLFEMAIL-0336641 and SEC-Wolf J-E-0004289	
515	March 14, 2013 email regarding retrieval history of Judy Wolf's Burger King trading review file sent to and retrieved from off-site storage at Iron Mountain; PRADO-SEC-JWOLFEMAIL-0391506-7	
516	March 15, 2013 email regarding retrieval history of Judy Wolf's Burger King trading review file sent to and retrieved from off-site storage at Iron Mountain; PRADO-SEC-JWOLFEMAIL-0391527	
517	Commission staff's June 13, 2012 request for documents to Wells Fargo Advisors	
518	Commission staff's July 20, 2012 request for documents to Wells Fargo Advisors	
519	Commission staff's December 21, 2012 request for documents to Wells Fargo Advisors	
520	Judy Wolf's February 28, 2013 memorandum summarizing her Burger King insider trading review ; PRADO-SEC-025227	
521	Transcript of Judy Wolf's sworn testimony taken on March 13, 2013	
522	Audio recording of Judy Wolf's sworn testimony taken on March 13, 2013	
523	Commission staff's March 14, 2013 request for documents to Wells Fargo Advisors re metadata and other items	
524	Keesal, Young & Logan March 25, 2013 letter to Commission staff re altered log re Burger King	
525	Judy Wolf's Excel spreadsheet log "Potential Insider Trading Reviews January 2009 to present"	

Hearing Exhibit No.	Document Description	Admitted
526	Metadata for Judy Wolf's Excel spreadsheet log "Potential Insider Trading Reviews January 2009 to present" 122812"	
527	Judy Wolf's Excel spreadsheet log "Insider Trading Reviews 010213"	
528	Metadata for Judy Wolf's Excel spreadsheet log "Insider Trading Reviews 010213"	
529	Wells Fargo Advisors Form U5 Termination Notice filed with FINRA re termination of Judy Wolf	
530	Final Judgment entered against Waldyr da Silva Prado Neto in SEC v. Prado, SDNY Civil Action No. 12-CIV-7094	
531	Commission staff's Wells Notice to Judy Wolf's counsel, dated January 14, 2014	
532	Transcript of Judy Wolf's sworn testimony taken on April 10, 2014	
533	Order Instituting Proceedings against Wells Fargo Advisors LLC Exchange Act Release No. 73175 (Sept. 22, 2014)	

Respectfully submitted,
DIVISION OF ENFORCEMENT
By its Attorneys:



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