# UNITED STATES OF AMERICA Before the SECURITIES AND EXCHANGE COMMISSION

**ADMINISTRATIVE PROCEEDING** File No. 3-20550

In the Matter of

**Calmare Therapeutics Incorporated.**,

Respondent.

#### DIVISION OF ENFORCEMENT'S MOTION FOR SUMMARY DISPOSITION AND BRIEF IN SUPPORT

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#### **MOTION FOR SUMMARY DISPOSITION**

The Division of Enforcement ("Division"), by counsel, pursuant to the Securities and Exchange Commission ("Commission") Rules of Practice 154 and 250, moves for an order of summary disposition revoking the registration of each class of securities of Calmare Therapeutics Incorporated, ("CTTC" or "Respondent") registered pursuant to Securities Exchange Act of 1934 ("Exchange Act") Section 12. There is no genuine issue concerning any material fact and, pursuant to Exchange Act Section 12(j), the Division, as a matter of law, is entitled to an order revoking the registration of each class of securities of CTTC registered pursuant to Exchange Act Section 12.

As set forth in detail below, an analysis of the five factors set forth in *Gateway*International Holdings, Inc., Exchange Act Release No. 53907, 2006 SEC LEXIS 1288 at \*1920 (May 31, 2006) establishes that revocation is necessary and appropriate for the protection of investors in this case. First, CTTC's violations are serious and egregious because CTTC has failed to file *eighteen* consecutive periodic reports. Second, CTTC's failure to file reports from 2017 to the present means their violation is recurrent, continuous, and ongoing. Third, CTTC's knowledge of its reporting requirements and protracted period of noncompliance demonstrates a high degree of culpability. Fourth, CTTC has made no effort to remedy its past violations. Fifth, CTTC cannot provide any credible assurance that it will comply with the Commission's rules in the future.

The Commission has repeatedly held that delinquencies like CTTC's constitute a serious and egregious violation of Exchange Act Section 13(a)'s reporting requirements. CTTC was aware of its obligations, failed to file timely reports, and has kept both current and prospective

investors in the dark about its financial condition since 2016. Accordingly, revocation of CTTC's registration is necessary and appropriate for the protection of investors.

#### **BRIEF IN SUPPORT**

#### I. Statement of Undisputed Facts

#### A. Issuer Background

CTTC (CIK No. 102198) is a Delaware corporation located in Fairfield, Connecticut, which registered a class of securities with the Commission pursuant to Exchange Act Section 12(g) on Form 8-A12G on December 9, 2014.<sup>1</sup> As of September 9, 2021, CTTC's common stock was quoted on OTC Link, had six market makers, and was eligible for the "piggyback" exception of Exchange Act Rule 15c2-11(f)(3).<sup>2</sup>

#### B. CTTC's Filings History with the Commission

Section 13(a) of the Exchange Act and Rule 13a-1, thereunder, require that all issuers file an annual report for each fiscal year, and Exchange Act Rule 13a-13 requires that domestic issuers file quarterly reports. 15 U.S.C. §78m(a) and 17 C.F.R. §240.13a-1; 17 C.F.R. §240.13a-13. Since CTTC is incorporated in Delaware, it is a domestic issuer and must file quarterly reports.<sup>3</sup>

<sup>&</sup>lt;sup>1</sup> See Exhibit ("Exh.") 1 (Delaware Secretary of State Corporate Report) and Exh. 2 (cover page of Form 8A-12G filed with the Commission on December 9, 2014) to the accompanying Declaration of Gina Joyce in Support of the Division of Enforcement's Motion for Summary Disposition ("Joyce Dec."). As set forth in CTTC's August 20, 2014 Form 8-K, CTTC changed its name from Competitive Technologies, Inc. that day. Competitive Technologies, Inc. registered with the Commission on April 2, 1984 on Form 8-A, and had been listed on the American Stock Exchange and the NYSE until it was stricken from both Exchanges on October 1, 2010 by the filing of a Form 25-NSE.

<sup>&</sup>lt;sup>2</sup> See Exh. 3 to Joyce Dec. (Printout of OTC Dealer report dated September 9, 2021 concerning CTTC).

<sup>&</sup>lt;sup>3</sup> See Exh. 2 to Joyce Dec. (cover page of Form 8A-12G filed with the Commission on December 9, 2014).

CTTC is delinquent in its periodic filings with the Commission, having filed no periodic reports since it filed a 10-K for the period ended December 31, 2016 on July 21, 2017, more than four years ago.<sup>4</sup> CTTC has stipulated that:

Calmare did not file any Form 10-K or Form 10-Q reports with the Securities and Exchange Commission after its Form 10-K, filed in 2017, for the period ending December 31, 2016 and before the issuance of the Order Instituting Proceedings in this matter on September 14, 2021, although Calmare did file a number of Form 8-K reports during and subsequent to 2017. Calmare was therefore delinquent in its obligation, under the Securities and Exchange Act Section 13(a) and Rules 13a-1 and 13a-13 thereunder, to file its Form 10-K or Form 10-Q reports with the Securities and Exchange Commission as of September 14, 2021.<sup>5</sup>

A review of the SEC's Electronic Data Gathering, Analysis, and Retrieval system ("EDGAR") shows that CTTC's last filing with the Commission, of any kind, was an 8-K filed on June 9, 2020, more than a year ago.<sup>6</sup>

#### C. The Instant Proceeding

On November 29, 2018, the Division of Corporation Finance ("Corporation Finance") sent a delinquency letter to the address shown in CTTC's most recent periodic filing, by certified mail, return receipt requested.<sup>7</sup> The delinquency letter stated that CTTC appeared to be delinquent in its periodic filings and warned that it could be subject to institution of an Exchange Act Section 12(j) proceeding without prior notice if it did not file its required reports within fifteen days of the date of the letter.<sup>8</sup> The signed certified mail receipt for the delinquency letter was returned to Corporation Finance on December 3, 2018.<sup>9</sup> The certified receipt appears to

<sup>&</sup>lt;sup>4</sup> See Exh. 4 to Joyce Dec. (Printout of CTTC's EDGAR History).

<sup>&</sup>lt;sup>5</sup> See Exh. 5 to Joyce Dec. (Stipulation at ¶1).

<sup>&</sup>lt;sup>6</sup> See Exh. 4 to Joyce Dec. (Printout of CTTC's EDGAR History).

<sup>&</sup>lt;sup>7</sup> See Exh. 6 to Joyce Dec. (November 29, 2018 delinquency letter to CTTC from Corporation Finance).

<sup>&</sup>lt;sup>8</sup> *Id*.

<sup>&</sup>lt;sup>9</sup> See Exh. 7 to Joyce Dec. (Scan of certified receipt card from CTTC to Corporation Finance).

have been signed for by "M. Caltado." Despite receiving the delinquency letter in 2018, CTTC did not file its delinquent reports, and failed to make additional required filings.

On September 14, 2021, the Commission instituted this proceeding, entitled *Calmare Therapeutics Incorporated*, Exchange Act Release No. 92977, 2021 WL 4202234, at \*1 (Sept. 14, 2021). Simultaneously with the institution of this proceeding, the Commission issued an order suspending trading in the securities of CTTC for ten business days. *Calmare Therapeutics Incorporated*, 2021 WL 4202375 at \*1 (Sept. 14, 2021). At that time, CTTC had failed to file eighteen periodic reports and had not made a compliant periodic filing, timely or otherwise, since it filed its Exchange Act Form 10-K for the period ended December 31, 2016 on July 21, 2017, nearly four months after the annual report was due.<sup>11</sup>

On September 24, 2021, CTTC filed an Answer to the OIP. In its Answer, CTTC blamed Covid-19 for its failure to file eighteen periodic reports, and stated that CTTC did not receive a delinquency letter. However, as set forth above, CTTC did receive a delinquency letter in 2018. Additionally, the Covid-19 pandemic did not cause any business interruptions in the United States during 2017, 2018, or 2019. There is no valid reason why CTTC did not file any periodic reports during those three years. With respect to 2020, on March 4, 2020, the Commission issued a press release, entitled SEC Provides Conditional Regulatory Relief and Assistance for Companies Affected by the Coronavirus Disease 2019 (COVID-19), stating:

To address potential compliance issues, the Commission has issued an order that, subject to certain conditions, provides publicly traded

<sup>&</sup>lt;sup>10</sup> *Id*.

<sup>&</sup>lt;sup>11</sup> See Exh. 8 to Joyce Dec. (Form 10-K cover page), Exh. 9 (first page of CTTC's 10-K for the period ended December 31, 2016), and Exh. 4 (Printout of CTTC's EDGAR History). Instruction A(2)(c) of Form 10-K states that annual reports shall be filed "90 days after the end of the fiscal year covered by the report." Exh. 9 shows that CTTC's fiscal year ended on December 31. Therefore, CTTC's annual report should have been filed by March 31, 2017, but it was not filed until July 21, 2017.

<sup>12</sup> Answer at  $\P$ 1 - 2.

companies with an additional 45 days to file certain disclosure reports that would otherwise have been due between March 1 and April 30, 2020. Among other conditions, companies must convey through a current report a summary of why the relief is needed in their particular circumstances. The Commission may extend the time period for the relief, with any additional conditions it deems appropriate, or provide additional relief as circumstances warrant. Companies and their representatives are encouraged to contact SEC staff with questions on matters of particular concern.

A review of CTTC's EDGAR history shows that CTTC did not file a report explaining why relief was needed in its particular circumstances.<sup>13</sup> The only report filed during the entire year of 2020 was an 8-K filed on June 9, 2020, which announced that CTTC had been awarded a contract by the U.S. Department of Veterans Affairs that "authorizes" \$2.5 million of orders for CTTC's pain therapy devices.<sup>14</sup> CTTC filed nothing else with the Commission during 2020 or 2021.<sup>15</sup> CTTC investors have been in the dark about CTTC's financial condition for more than four years.

#### II. Argument in Support of Summary Disposition

#### A. Standards Applicable to the Division's Summary Disposition Motion.

This proceeding was instituted under Exchange Act Section 12(j), which empowers the Commission:

as it deems necessary or appropriate for the protection of investors ... to suspend for a period not exceeding twelve months, or to revoke the registration of a security, if the Commission finds, on the record after notice and opportunity for hearing, that the issuer, of such security has failed to comply with any provision of this chapter or the rules and regulations thereunder.

<sup>&</sup>lt;sup>13</sup> See Exh. 4 to Joyce Dec. (Printout of CTTC's EDGAR History).

<sup>&</sup>lt;sup>14</sup> See Exh. 4 to Joyce Dec. (Printout of CTTC's EDGAR History) and Exh. 9 to Joyce Dec. (CTTC's June 9, 2020 Form 8-K). Note that the announcement did not state that any orders had actually been placed by the VA, but rather that orders had been authorized.

<sup>&</sup>lt;sup>15</sup> *Id* 

15 U.S.C. §78l(j). Rule 250 of the Commission's Rules of Practice<sup>16</sup> provides for summary disposition in the absence of a genuine issue of material fact. "Under Rule 250, a motion for summary disposition may be granted where there is 'no genuine issue with regard to any material fact and the party making the motion is entitled to a summary disposition as a matter of law." *Kornman v. SEC*, 592 F.3d 173, 181 (D.C. Cir. 2010) (citing 17 C.F.R. § 201.250(b)).

"The Division may file a motion for summary disposition under Rule 250(b), and 'we have repeatedly observed that summary disposition is typically appropriate' in 'proceedings pursuant to Exchange Act Section 12(j)' 'because the issues to be decided are narrowly focused and the facts not genuinely in dispute." *Healthway Shopping Network, et al.*, Exchange Release No. 89374, 2020 WL 4207666 at \*4 (July 22, 2020) (quoting the Amendments to the Commission's Rules of Practice, Release No. 34-78319, 81 Fed. Reg. at 50,224 (July 13, 2016)).

The party opposing summary disposition "may not rely on bare allegations or denials but instead must present specific facts showing a genuine issue of material fact for a hearing." *China-Biotics, Inc.*, Exchange Act Release No. 70800, 2013 WL 5883342 at \*16 (Nov. 4, 2013).

Here, given the nature of the allegations, and CTTC's stipulation that it is delinquent in its periodic filings, summary disposition is appropriate. Despite that, CTTC has sought a far longer litigation schedule, more appropriate to the resolution of a complex civil litigation than a summary Section 12(j) proceeding. CTTC's proposal that summary disposition briefing in this matter be delayed until after January 2022 so that they can obtain expert testimony on the impact

<sup>&</sup>lt;sup>16</sup> Rule 250(b) of the Commission's Rules of Practice provides that, *inter alia*,

any party may make a motion for summary disposition on one or more claims or defenses, asserting that the undisputed pleaded facts, declarations, affidavits, documentary evidence or facts officially noted pursuant to §201.323 show that there is no genuine issue with regard to any material fact and that the movant is entitled to summary disposition as a matter of law.

that revocation would have on present investors is not proportional to the needs of this case. This is especially true because the Commission has held that:

in any deregistration current shareholders could be harmed by a diminution in the liquidity and value of their stock by virtue of the deregistration, but . . . any harm that may result to existing shareholders cannot be the determining factor in our analysis. In evaluating what is necessary or appropriate to protect investors, regard must be had not only for existing stockholders of the issuer, but also for potential investors. Indeed, we have emphasized the significant interests of prospective investors who can be substantially hindered in their ability to evaluate an issuer in the absence of current filings. In any event, both existing and prospective shareholders are harmed by the continuing lack of current and reliable financial information for the company.

*A-Power Energy Generation Systems*, Exchange Act Release No. 69439, 2013 WL 1755036 at \*3 (April 24, 2013). This matter is ripe for resolution at this time.

B. The Division is Entitled to Summary Disposition Against CTTC for its Failures to Comply with Exchange Act Section 13(a) and Rules 13a-1 and 13a-13 Thereunder.

There is no dispute of material fact regarding whether CTTC has failed to comply with Exchange Act Section 13(a) and Rules 13a-1 and 13a-13 thereunder. Given the seriousness of these violations, revocation is appropriate. Section 13(a) of the Exchange Act and the rules promulgated thereunder require issuers of securities registered pursuant to Section 12 of the Exchange Act to file periodic and other reports with the Commission. Exchange Act Rule 13a-1 requires issuers to submit annual reports.... No showing of scienter is necessary to establish a violation of Section 13(a) or the rules thereunder. Telestone Technologies Corp., Initial Decision Release No. 1078, 2016 SEC LEXIS 4185 at 4 (Nov. 9, 2016). Accord Gateway, 2006 SEC LEXIS 1288 at 18, 22 n.28; Stansbury Holdings Corp., Initial Decision Release No.

 $<sup>^{17}</sup>$  Answer at  $\P 1 - 2$ ; Exh. 4 to Joyce Dec. (Printout of CTTC's EDGAR History).

232, 2003 SEC LEXIS 1639 at \*15 (July 14, 2003); *WSF Corp.*, Initial Decision Release No. 204, 2002 SEC LEXIS 1242 at \*14 (May 8, 2002).

Exchange Act Section 13(a) is a cornerstone of the Exchange Act, establishing a system of periodically reporting invaluable information about issuers of securities. "[R]eporting requirements are the primary tools which Congress has fashioned for the protection of investors from negligent, careless, and deliberate misrepresentations in the sale of stock and securities." *America's Sports Voice, Inc.*, Exchange Act Release No. 55511, 2007 WL 858747, at \*4 n.17 (Mar. 22, 2007) (internal quotation marks omitted) (citing *SEC v. Beisinger Indus. Corp.*, 552 F.2d 15, 18 (1st Cir. 1977)). The Commission has stated:

Failure to file periodic reports violates a central provision of the Exchange Act. The purpose of the periodic filing requirements is to supply investors with current and accurate financial information about an issuer so that they may make sound decisions. Those requirements are "the primary tool[s] which Congress has fashioned for the protection of investors from negligent, careless, and deliberate misrepresentations in the sale of stock and securities." Proceedings initiated under Exchange Act Section 12(j) are an important remedy to address the problem of publicly traded companies that are delinquent in the filing of their Exchange Act reports, and thereby deprive investors of accurate, complete, and timely information upon which to make informed investment decisions.

Gateway, 2006 SEC LEXIS 1288 at \*26 (quoting Beisinger, 552 F.2d at 18).

Summary disposition is appropriate when, as here, the undisputed facts prove that CTTC has failed to comply with Section 13(a). *See AIC Int'l, Inc.*, Initial Dec. Release No. 324, 2006 SEC LEXIS 2996 (Dec. 27, 2006) (summary disposition granted in Section 12(j) action); *Bilogic, Inc.*, 2006 SEC LEXIS 2596 at \*12 (Nov. 9, 2006) (same); *Investco, Inc.*, Initial Decision Release No. 312, 2003 SEC LEXIS 2792 at \*7 (November 24, 2003); *Nano World Projects Corp.*, Initial Decision Release No. 228, 2003 SEC LEXIS 1968 at \*3 (May 20, 2003)

(summary disposition in Exchange Act Section 12(j) action granted where certifications on filings and respondent's admission established failure to file annual or quarterly reports).

It is undisputed that CTTC failed to file eighteen periodic reports for the period March 31, 2017 through September 14, 2021.<sup>18</sup> Accordingly, the Division is entitled to summary disposition on its claim that CTTC violated Exchange Act Section 13(a) and Rules 13a-1 and 13a-13, thereunder.

As set forth above, in CTTC's Answer, CTTC argues that it did not receive the delinquency letter. As shown by Exhibit 6, CTTC did in fact receive a delinquency letter in 2018. Regardless, this fact is not material to the relief sought and the Commission need not determine whether CTTC received this letter. As explained in *Accredited Business*Consolidators Corp., 110 S.E.C. Docket 2219, 2014 WL 6737052 (Dec. 1, 2014), a delinquent issuer is not required to receive a delinquency letter:

Section 12(j) of the Exchange Act gives the Commission the authority to suspend or revoke the registration of a security "by order" if the issuer has failed to comply with the Act's periodic filing requirements. 15 U.S.C. § 78l(j). *There is no requirement in this provision that the Commission give an issuer notice prior to the issuance of an OIP. Id.* And, Accredited does not argue that *it* was unaware of the delinquent filings; rather, it claims that it was unaware that the *Commission* knew and cared about them.... This line of argument hurts rather than helps Accredited's case, as it provides further evidence of Accredited's culpability in knowingly ignoring its filing obligations until the Commission took an interest in its delinquency.

2014 WL 6737052, at \*5 (emphasis added); see also Absolute Potential, Inc. (f/k/a Absolute Waste Services, Inc.), Exchange Act Release No. 71866, 2014 SEC LEXIS 1193, at \*n. 10 (April 4, 2014). CTTC was well aware that it was obligated to file periodic reports. CTTC knowingly ignored its filing obligations.

Answer at  $\P = 1 - 2$ ; Exh. 4 to Joyce Dec. (Printout of CTTC's EDGAR History).

#### C. Revocation is the Appropriate Sanction for CTTC's Serial Violations.

Exchange Act Section 12(j) provides that the Commission may revoke or suspend the Exchange Act Section 12 registration of an issuer's securities where it is "necessary or appropriate for the protection of investors." The Commission's determination of which sanction is appropriate "turns on the effect on the investing public, including both current and prospective investors, of the issuer's violations, on the one hand, and the Section 12(j) sanctions on the other hand." *Gateway*, 2006 SEC LEXIS 1288 at \*19-20. In making this determination, the Commission will consider, among other things: (1) the seriousness of the issuer's violations; (2) the isolated or recurrent nature of the violations; (3) the degree of culpability involved; (4) the extent of the issuer's efforts to remedy its past violations and ensure future compliance; and (5) the credibility of the issuer's assurances, if any, against future violations. *Id.; see also Steadman v. SEC*, 603 F.2d 1126, 1140 (5th Cir. 1979) (setting forth the public interest factors that informed the Commission's *Gateway* decision).

"Revocation is a prospective remedy and is imposed based on [the Commission's] concern about *protecting future investors* in the company." *Citizens Capital Corp.*, Exchange Act Release No. 67313, 2012 WL 2499350 at \*8 (June 29, 2012) (emphasis added). Here, all five of the *Gateway* factors establish as a matter of law that revocation of CTTC's registration is necessary and appropriate to protect investors and "furthers the public interest by reinforcing the importance of full and timely compliance with the Exchange Act's reporting requirements."

Nature's Sunshine Prods., Exchange Act Release No. 59268, 2009 WL 137145 at \*8 (Jan. 21, 2009).

#### 1. CTTC's violations of Section 13(a) are serious and egregious.

CTTC's violations of Exchange Act Section 13(a) and Rules 13a-1 and 13a-13, thereunder, are serious and egregious because CTTC has failed to file eighteen consecutive periodic reports, including four Form 10-Ks and fourteen Form 10-Qs.<sup>19</sup>

During the entirety of CTTC's violations – spanning more than four years – investors have lacked current and accurate financial information about the company, which is necessary to make sound decisions. *See America's Sports Voice, Inc.*, 2007 WL 858747 at \*2 (finding that an issuer's failure to file periodic reports violates "a central provision of the Exchange Act,...depriv[ing] both existing and prospective holders of its registered stock of the ability to make informed investment decisions based on current and reliable information."); *see also United States v. Arthur Young & Co.*, 465 U.S. 805, 810 (1984) (observing that "[c]orporate financial statements are one of the primary sources of information available to guide the decisions of the investing public").

The Commission has repeatedly held that a company's failure to file periodic filings constitutes a serious and egregious violation of Section 13(a). *See Impax Laboratories, Inc.*, Exchange Act Release No. 57864, 2008 SEC LEXIS 1197 at \*24 (May 23, 2008); *see also Energy Edge Technologies Corp. et al.*, Initial Decisions Release No. 1201, 2017 SEC LEXIS 3397 at \*6 (Oct. 25, 2017) ("complete failure to file a periodic report is presumably more serious than untimely filing, and the seriousness of an untimely filing presumably increases in proportion to its lateness.").

Although no one factor is controlling, the Commission has repeatedly reaffirmed that "recurrent failure to file periodic reports' is 'so serious that only a strongly compelling showing

<sup>&</sup>lt;sup>19</sup> See Exh. 4 to Joyce Dec. (Printout of CTTC's EDGAR history).

with respect to the other factors we consider would justify a lesser sanction than revocation." *Absolute,* Exchange Act Release No. 71866, 2014 SEC LEXIS 1193 at \*24 (April 4, 2014) (quoting Impax Laboratories, Inc., 2008 SEC LEXIS 1197 at \*27); Calais Resources Inc., Exchange Act Release No. 67312, 2012 WL 2499349 at \*4 (June 29, 2012) (quoting Nature's Sunshine Prods., Inc., 2009 WL 137145 at \*7); accord Cobalis Corp., Exchange Act Release No. 64813, 2011 WL 2644158 at \*5 (July 6, 2011); Am. Stellar Energy, Inc. (n/k/a Tara Gold), Exchange Act Release No. 64897, 2011 WL 2783483 at \*4 (July 18, 2011). Thus, the first Gateway factor clearly supports revocation.

## 2. CTTC's violations of Section 13(a) are recurrent, continuous, and ongoing.

CTTC's failure to file reports for more than four years constitutes a recurrent, continuous, and ongoing violation of Section 13(a). See, e.g., Accredited Bus. Consolidators Corp., 2015 WL 5172970 at \*2 (failure to file "any periodic reports for over two years" was recurrent); Nature's Sunshine Prods., 2009 WL 137145 at \*5 (failure to file "required filings over the course of the two-year period in the OIP" was recurrent). Given the central importance of the reporting requirements imposed by Section 13(a) and the rules thereunder, delinquencies of far less duration have resulted in revocation. See, e.g., WSF Corp., 2002 SEC LEXIS 1242 at \*14 (revoking issuer who failed to file one Form 10-K and three Forms 10-Q); Freedom Golf Corp., Initial Decision Release No. 227, 2003 SEC LEXIS 1178 at \*5 (May 15, 2003) (revoking issuer who failed to file one Form 10-K and one Form 10-Q); iBIZ Technology Corp., Initial Decision Release No. 312, 2006 SEC LEXIS 1406 at \*1 (June 16, 2006) (revoking issuer who failed to file one Form 10-K and two Forms 10-Q). Therefore, the second Gateway factor supports revocation.

#### 3. CTTC's degree of culpability supports revocation.

CTTC's knowledge of its reporting requirements and protracted period of noncompliance evidences a high degree of culpability also supporting revocation. In *Gateway*, the Commission held that the delinquent issuer "evidenced a high degree of culpability," because it "knew of its reporting obligations, yet failed to file" twenty periodic reports and only filed two Forms 12b-25. *Gateway*, 2006 SEC LEXIS 1288 at \*21. *See also Citizens Capital Corp.*, 2012 WL 2499350 at \*5 (finding respondent's "long history of ignoring reporting obligations evidences a high degree of culpability") (cleaned up).

CTTC's Answer, which touts its filing of certain Form 8-Ks in saying that CTTC "has filed Current Reports on Form 8-K as those reports are required in compliance with Exchange Act Section 13(a) and Rules 13a-1 and 13a," is direct evidence of CTTC's knowledge of its reporting requirements.<sup>20</sup> CTTC also understood the need to file a Form 12b-25, notifying the Commission of its inability to timely file its periodic reports, as evidenced by the three Forms 12b-25 filed in 2017: 1) on March 31, 2017; 2) on August 16, 2017; and (3) on November 15, 2017.<sup>21</sup> But since November 2017, CTTC has not even bothered to file Forms 12b-25 for its numerous additional delinquent filings. Accordingly, the third *Gateway* factor supports revocation.

## 4. CTTC has not made sufficient efforts to remedy its past violations and ensure future compliance.

In determining what sanctions will adequately protect investors, the Commission considers the extent of the issuer's efforts to remedy its past violations and ensure future compliance. *Gateway*, 2006 WL 1506286 at \*4. CTTC has not made sufficient efforts to

<sup>&</sup>lt;sup>20</sup> Answer at ¶1.

<sup>&</sup>lt;sup>21</sup> See Exh. 4 to Joyce Dec. (Printout of CTTC's EDGAR history).

remedy its past violations. Indeed, in its Answer, CTTC has only stated that it "now has a revenue stream by which it is able to pay auditors and others, and has a plan by which it has now begun working on preparing and filing all past due reports."<sup>22</sup> Such a statement is insufficient; a vague plan is not a sufficient effort. *See A-Power Energy Generation Systems, Ltd.*, Initial Decision Release No. 470, 2012 WL 5377787 at \*1 (Nov. 2, 2012) (finding that although A-Power "represents that it plans to return to compliance," such plans were insufficient to avoid revocation under Section 12(j)). In affirming that Initial Decision, the Commission stated that A-Power "provided no information on the steps that it has taken or plans to take to remedy its past violations and ensure future compliance. And it has not indicated whether it has hired an auditor..." and "it is unreasonable to expect that A-Power can become current in its reporting obligations in the foreseeable future." *A-Power Energy Generation Systems, Ltd.*, 2013 WL 11755036 at \*3; *see also Investco, Inc.*, 2003 SEC LEXIS 2792 at \*6.

Here, as in *A-Power Energy Generation Systems, Ltd.*, CTTC has not provided any information on the steps that it has taken or plans to take to remedy its past violations and ensure future compliance. And it has not indicated whether it has hired an auditor. Nor has it provided a specific date by which it will file any of its many delinquent reports. CTTC merely says that it "now has a revenue stream by which it is able to pay auditors and others, and has a plan by which it has now begun working on preparing and filing all past due reports." Simply having a plan is insufficient. Having the ability to pay auditors and others is insufficient. During its long period of delinquency and in the months since this case was initiated, CTTC has not filed a single one of its many delinquent filings.

<sup>22</sup> Answer at ¶1.

<sup>&</sup>lt;sup>23</sup> Answer at  $\P$ 1.

CTTC has not made sufficient efforts to remedy its past violations and ensure future compliance. Thus, the fourth *Gateway* factor supports revocation.

#### 5. CTTC cannot credibly provide assurances as to future compliance.

CTTC has not provided any assurance that it will comply with the Commission's rules in the future. Even if it did, any assurances CTTC may provide would lack credibility. CTTC has not filed a periodic report for more than four years. An issuer's failure "to recognize the importance of providing [required] information to its investors undermines the credibility of its assurances of future compliance with its reporting obligations." *Am. Stellar*, 2011 WL 2783483 at \*5 (issuer's assurances were not credible where it claimed investors were not harmed by missing annual reports in 2008 and 2009 because there was no reliable information on the company's condition for those years and the issuer's last annual report contained the most current information available).

CTTC's likelihood of future violations can be inferred from a single past violation, including the very violation that led to the enforcement action. *See KPMG Peat Marwick LLP*, Exchange Act Release No. 44050, 2001 SEC LEXIS 422 at \*21- 22 (Mar. 8, 2001) (some risk of future violation "need not be very great to warrant issuing a cease-and-desist order and that in the ordinary case and absent evidence to the contrary, a finding of past violation raises a sufficient risk of future violation.").

Moreover, other assurances provided by CTTC in the past have not been credible. When CTTC filed a Form 12b-25 on March 18, 2017, notifying the Commission of its inability to timely file its 2016 Form 10-K, and representing in the Form 12b-25 that it would file its 2016 annual report within 15 days of the due date, CTTC's assurance was not credible. CTTC did not file its 2016 Form 10-K within 15 days of its due date; it did not file its 2016 10-K until July 21,

2017 – nearly 4 months late.<sup>24</sup> When CTTC filed a 12b-25 on August 16, 2017, notifying the Commission of its inability to timely file its June 30, 2017 Form 10-Q, and representing in the Form 12b-25 that it would file its June 30, 2017 quarterly report within five days of the due date, CTTC's assurance was not credible. CTTC did not file its June 30, 2017 10-Q with 5 days of its due date; it did not file its June 30, 2017 10-Q at all.<sup>25</sup> When CTTC filed a 12b-25 on November 15, 2017, notifying the Commission of its inability to timely file its September 30, 2017 Form 10-Q, and representing in the Form 12b-25 that it would file its September 30, 2017 quarterly report within five days of the due date, CTTC's assurance again was not credible. CTTC did not file its September 30, 2017 10-Q with 5 days of its due date; it did not file its September 30, 2017 10-Q at all.<sup>26</sup>

Any assurance that CTTC may provide would lack credibility. The fifth *Gateway* factor supports revocation.

#### D. CTTC Cannot Provide Any Showing That Revocation Is Inappropriate.

All five *Gateway* factors support revocation of CTTC's registration as being necessary and appropriate for the protection of investors. The explanations and other defenses CTTC has raised in its Answer do not rebut a single factor. *See, e.g., Eagletech Communications, Inc.,*Exchange Act Release No. 54095, 2006 SEC LEXIS 1534 at \*6 (July 5, 2006) (issuer being the victim of third-party criminal activity would not excuse failure to file periodic reports); *Cobalis Corp.,* 2011 WL 2644158 at \*6 (actions of shareholder in forcing involuntary bankruptcy proceeding and forcing issuance of stock did not excuse Exchange Act violations).

<sup>&</sup>lt;sup>24</sup> See Exh. 4 to Joyce Dec. (Printout of CTTC's EDGAR history).

<sup>&</sup>lt;sup>25</sup> *Id*.

<sup>&</sup>lt;sup>26</sup> *Id*.

For instance, even if Covid-19 did have a grave impact on CTTC, then the investing public was deprived of highly relevant information, arguably when it was most needed. *See China-Biotics, Inc.*, 2013 WL 5883342 at \*11 (delinquencies were "especially serious" because they occurred when the company was undergoing significant changes which were "precisely the kind of material information that must be disclosed on a timely basis under Exchange Act Section 13 to ensure fair dealing in a company's securities"). Moreover, CTTC was delinquent for three years before the Covid-19 pandemic began. In addition, CTTC's vague reference to the grave impact of Covid-19 on its operations lacks credibility, since CTTC also claims that during the same time period, it assured itself of a revenue stream and devised an unspecified plan for filing its delinquent reports.

Even if CTTC is now ready to file its eighteen missing periodic reports, it is too late. To make a compelling showing to avoid revocation, it is not enough for the issuer to show that it "has returned to reporting compliance and begun to submit long overdue filings" because "other considerations may justify" revocation. *e-Smart Techs., Inc.*, Exchange Act Release No. 50514, 2004 WL 2309336 at \*2 n.18 (Oct. 12, 2004) (internal punctuation and citation omitted). Evidence that an issuer became compliant only after Section 12(j) proceedings are initiated does not satisfy the "strongly compelling" showing necessary to overcome the presumption of revocation:

As we have recognized, revocation may be warranted [where an issuer has regained compliance before a law judge issues an initial decision] to address not only the harm to current and prospective investors in the noncompliant issuer but also to address the broader systemic harm that follows from registrants who "game the system" by complying with their unambiguous reporting obligations only when they are confronted by imminent revocation. A sanction other than revocation would reward those issuers who fail to file required periodic reports when due over an extended period of time and make last-minute filings only after becoming the subject of Exchange Act Section 12(j) proceedings in an effort to bring

themselves current with their reporting obligations. Such conduct prolongs indefinitely the period during which public investors would be without accurate, complete, and timely reports and significantly detracts from the Exchange Act's reporting requirements.

Absolute, 2014 SEC LEXIS 1193 at \*27. See also China-Biotics, 2013 WL 11270156 (ordering revocation under same circumstances); Nature's Sunshine Prods., 2009 WL 137145 at \*8 (revocation warranted to deter issuers which, "on the eve of hearings before the law judge or, in this case, oral argument on appeal, make last-minute filings in an effort to bring themselves current with their reporting obligations"); Calais Resources Inc., 2012 WL 2499349 at \*7 (same).

There is no valid excuse for CTTC's delinquency. Revocation is the appropriate sanction for CTTC's conduct.

#### III. Conclusion

For the reasons set forth above, a sanction of revocation is appropriate and necessary for the protection of investors. Accordingly, the Division requests that the Commission grant the Division's Motion for Summary Disposition and that the Commission revoke the registrations of each class of CTTC's securities registered under Exchange Act Section 12.

Dated: December 2, 2021 Respectfully submitted,

/s/ Christopher Bruckmann

Christopher Bruckmann

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joyceg@sec.gov

Securities and Exchange Commission

100 F Street, N.E.

Washington, D.C. 20549

Counsel for Division of Enforcement

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#### **CERTIFICATE OF SERVICE**

I hereby certify that I caused true copies of the Division of Enforcement's Motion for Summary Disposition as to Calmare Therapeutics Incorporated and Brief in Support to be served on the following on December 2, 2021, in the manner indicated below:

/s/ Christopher Bruckmann	
Christopher Bruckmann	_

Via eFap:

Office of the Secretary

By Email

Paul L. Vorndran Alan Talesnick Jones & Keller, P.C. 1675 Broadway, 26th Floor Denver, Colorado 80202 pvorndran@joneskeller.com atalesnick@joneskeller.com

Counsel for Respondent Calmare Therapeutics Incorporated

#### CERTIFICATE AS TO LENGTH

Although this Motion and Brief is longer than 15 pages, it complies with SEC Rule of Practice 154 because, exclusive of table of contents, table of authorities, and the supporting declarations and exhibits, it contains 5,805 words, as indicated by Microsoft Word.

/s/ Christopher Bruckmann
Christopher Bruckmann

#### Report Section Summary

General Information (1)

Tax Information (1)

File History Information (1)

Stock Information (1)

Registered Agent Information (1)

Report section(s) with no matches (2)

#### General Information

Name: CALMARE THERAPEUTICS INCORPORATED

Date: 07-20-2021 Time: 05:59:33 PM

Address:

County: Country:

File Number: 774308 Company Stock: true

Kind of Corporation: Corporation

Type of Corporation: General

Status: Void, AR's or Tax Delinquent

Status Date & Time: 03-01-2019

Residency:

Incorporation State: DE

Incorporation Date & Time: 08-12-1971

Renewal Date & Time: Merged to Number:

Foreign Incorporation Name:

Type of Foreign Corporation: Expiration Date: Foreign Date of Incorporation: Original State: Quarterly Filing:

**Date of Last Annual Report:** 

#### Tax Information

Tax Type: A/R Filing Required

Tax Balance: 453168.53 Tax Year: 2018 Filing Fee: 50 **Total Taxes:** 200000 **Total Penalty:** 200 **Total Interest:** 16200 **Total Other:** 0 **Total Paid:** Total Unpaid Balance: 216450

 Total Unpaid Balance:
 216450

 Tax Year:
 2017

 Filing Fee:
 50

 Total Taxes:
 200000

 Total Penalty:
 200

 Total Interest:
 36468.53

Total Other: 0

1

The data provided to you by CLEAR may not be used as a factor in establishing a consumer's eligibility for credit, insurance, employment, or for any other purpose authorized under the FCRA.

Delaware Corporate Record Detail | CALMARE THERAPEUTICS, 774308 | 07/20/21 06:59 PM | Reference: N/A

Total Paid: 0

 Total Unpaid Balance:
 236718.53

 Tax Year:
 2016

 Filing Fee:
 50

 Total Taxes:
 5339.90

 Total Penalty:
 125

 Total Interest:
 983.68

 Total Other:
 0

 Total Paid:
 6498.58

#### File History Information

Total Unpaid Balance:

Filing Year: 2016

Document Code Amendment Stock

Description:

Number of pages in

Document: Number of Domestication

Pages:

Document Filing Date & 05-16-2016 11:40:00 AM

Time:

Document Effective Date & 05-16-2016

Time:

Document Filing Status: Archived

Name Prior to Merger:

Merger Type:

Filing Year: 2016

Document Code Amendment Stock

Description:

Number of pages in 1

Document:

Number of Domestication 0

Pages:

Document Filing Date &

Time:

02-04-2016 11:23:00 AM

Document Effective Date & 02-04-2016

Time:

Document Filing Status: Archived

Name Prior to Merger:

Merger Type:

Filing Year: 2014

Document Code Amendment

Description:

Number of pages in

Document:

Number of Domestication 0

Pages:

Document Filing Date & 08-20-2014 11:42:00 AM

Time:

Document Effective Date & 08-20-2014

Time:

Document Filing Status: Completed

Name Prior to Merger:

Merger Type:

Filing Year: 2014

Document Code Amendment Stock

Description:

Number of pages in

2

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Pages:

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Document Effective Date & 02-27-2014

Time:

Document Filing Status: Completed

Name Prior to Merger:

Merger Type:

Filing Year: 2010

Document Code Stock Designation

Description:

Number of pages in 4
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Number of Domestication 0

Pages:

Document Filing Date & 12-17-2010 02:37:00 PM

Time:

Document Effective Date & 12-17-2010

Time:

Document Filing Status: Completed

Name Prior to Merger:

Merger Type:

#### Stock Information

Stock Amendment Number: 4

Effective Date & Time: 05-16-2016
Total Authorized Shares: 100056670

No Par Shares: 0

Description: COMMON

Class:

Series:

Number of Authorized 100000000

Shares:

Designated Shares: 0
Par Value: 0.01

Description: 5% PREFERRED

Class: Series:

Number of Authorized 35920

Shares:

Designated Shares: 0
Par Value: 25

Description: SERIES B PREFERRED

Class: Series:

Number of Authorized 20000

Shares:

Designated Shares: 0
Par Value: 0.001

Description: SERIES CONV PREFERRED

Class:

Series:

Number of Authorized 750

Shares:

3

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Delaware Corporate Record Detail | CALMARE THERAPEUTICS, 774308 | 07/20/21 06:59 PM | Reference: N/A

Designated Shares: 0
Par Value: 1000

Registered Agent Information

Agent's Name: THE CORPORATION TRUST COMPANY

Agent's Number: 9000010
Agent's County: New Castle

Agent's Country: US

Address: CORPORATION TRUST CENTER 1209 ORANGE

ST WILMINGTON, DE 19801

Phone: Fax:

Report section(s) with no matches

Merger Information, Possible Bankruptcies

#### UNITED STATES SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549

FORM 8-A12(G)

## FOR REGISTRATION OF CERTAIN CLASSES OF SECURITIES PURSUANT TO SECTION 12(b) OR (g) OF THE SECURITIES EXCHANGE ACT OF 1934

#### CALMARE THERAPEUTICS INCORPORATED

(Exact name of Registrant as specified in its charter)

**Delaware** (State or other jurisdiction of Incorporation)

36-2664428 (IRS Employer Identification Number)

1375 Kings Highway East, Suite 400 Fairfield, Connecticut 06824

(Address of principal executive offices)

Phone: (203) 368-6044 (Registrant's Telephone Number)

Securities to be registered pursuant to Section 12(b) of the Act: None
If this form relates to the registration of a class of securities pursuant to Section 12(b) of the Exchange Act and is effective pursuant to General Instruction A.(c), check the following box.
If this form relates to the registration of a class of securities pursuant to Section 12(g) of the Exchange Act and is effective pursuant to General Instruction A.(d), check the following box.
Securities to be registered pursuant to Section 12(g) of the Act:
Title of each class to be so registered
Common Stock, par value \$0.01 per share

#### INFORMATION REQUIRED IN REGISTRATION STATEMENT

#### Item 1. Description of Registrant's Securities to be Registered

The following sets forth the material terms of the Company's common stock. However, a more detailed description of our securities is contained in the Company's Articles of Incorporation:

Our Articles of Incorporation authorize the issuance of 40,000,000 shares of common stock, par value \$0.01. As of November 21, 2014, the Company had 25,801,772 shares issued and outstanding.

Holders of common stock are entitled to one vote per share on all matters to be voted on by the stockholders. Holders of common stock are entitled to receive rateably such dividends, if any, as may be declared by the Board of Directors out of funds legally available therefor. In the event of a liquidation, dissolution, or winding up of the Company, the holders of common stock are entitled to share rateably in all of our assets which are legally available for distribution after payment of all debts and other liabilities and liquidation preference of any outstanding stock.

Holders of our common stock have no preemptive rights to purchase common stock. There are no conversion or redemption rights or sinking fund provisions with respect to the common stock. The outstanding shares of common stock are validly issued, fully paid and non-assessable.

#### Item 2. Exhibits

The following exhibits are incorporated herein by reference:

<b>Exhibit Number</b>	Description of Exhibit
3.1	Unofficial restated certificate of incorporation of the registrant as amended to date filed (on April 1, 1998) as Exhibit 4.1 to registrant's
	Registration Statement on Form S-8, File Number 333-49095 and hereby incorporated by reference
3.2	Certificate of Amendment to Articles of Incorporation, filed on August 20, 2014, on Form 8-K and hereby incorporated by reference
3.3	By-laws of the registrant as amended effective October 14, 2005, filed (on December 12, 2005) as Exhibit 3.2 to registrant's Quarterly Report
	on Form 10-Q for the quarterly period ended October 31, 2005, and hereby incorporated by reference.
3.3	

#### SIGNATURE

Pursuant to the requirements of the Securities Exchange Act of 1934, as amended, the Company has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

#### CALMARE THERAPEUTICS INCORPORATED

Date: December 8, 2014

By: <u>/s/ Conrad Mir</u> Conrad Mir Chief Executive Officer



MMID: 1SEC UserID: GJOYCE

Phone1: 202-551-4850 Phone2: Fax: Email: JoyceG@sec.gov

Name: Gina Joyce

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Issue or symbol \*

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## **OTC Markets Group Inc.® Quote & Inside History**

Security Quote History from 09/09/2021 to 09/09/2021

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#### **CTTC** -- CALMARE THERAPEUTICS INC

CUSIP: 13126R102 OTC ID:7756 Security Type:CS

Exclude: None

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☐ Inserts					
☐ Deletes					

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Company: CALMARE THERAPEUTICS Inc

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•	SC 13G/A	005-30128	02/11/2020		02/11/2020						
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□   P. 88.8   001.9888   121.92017   0.02.5.03   121.82017   121.92017   12												
□	٠	<u>8-K</u>	001-08696	12/19/2017	5.02, 5.03	12/18/2017	12/12/2017					
	•	<u>8-K</u>	001-08696	12/18/2017	4.01	12/15/2017	12/11/2017					
□   PRESCRA   001-08695   1204/0017   1122/2017   1222/2017   1	•	DFAN14A	001-08696	12/08/2017		12/08/2017		2	12/08/2017	P2	07/02/2018	C2
	•	DEFC14A	001-08696	12/05/2017		12/05/2017			12/05/2017	P2	07/02/2018	C2
□   N 110Q         \$01.08686         11/15/2017         \$1/15/2017         \$03/10/2017         \$03/10/2017         \$1/15/2017         \$1/15/2017         \$1/15/2017         \$1/15/2017         \$03/10/2017         \$	•	PREC14A	001-08696	12/04/2017		12/04/2017		2	12/05/2017	P7	07/02/2018	C2
□	•	PREN14A	001-08696	11/22/2017		11/22/2017	11/22/2017	2	12/01/2017	P1	07/02/2018	C2
□ → B.E.         001.08666         007.02/2017         A.01, 9.01         09/07/2017         09/07/2017         08/15/2017         08/15/2017         08/15/2017         08/15/2017         08/15/2017         08/15/2017         08/15/2017         08/15/2017         08/15/2017         08/15/2017         08/15/2017         08/15/2017         08/15/2017         08/15/2017         08/15/2017         08/15/2017         09/15/2018         09/15/2018         09/15/2018         09/15/2018         09/15/2018         09/15/2018         09/15/20	•	NT 10-Q	001-08696	11/15/2017		11/15/2017	09/30/2017				11/15/2017	СХ
□	•	SC 13D/A	005-30128	09/21/2017		09/21/2017						
□ ► 10.K         001.08896         07721/2017         07721/2017         17/31/2016         03/31/2017         03/31/2016         03/31/2016         03/31/201	•	<u>8-K</u>	001-08696	09/14/2017	4.01, 9.01	09/14/2017	09/07/2017					
□	•	NT 10-Q	001-08696	08/16/2017		08/16/2017	06/30/2017				08/16/2017	сх
□ ► NT 10-05         001-08696         03/31/2017         03/31/2016         03/31	•	<u>10-K</u>	001-08696	07/21/2017		07/21/2017	12/31/2016					
□ ► 8.K         001-08696         03/23/2017         5.02         03/23/2017         03/18/2017         □ ► 8.K         001-08696         02/23/2017         5.02, 9.01         02/23/2017         01/19/2017         □ ► 1         0.19/2017         □ ► 1         0.19/2017         □ ► 1         0.19/2017         □ ► 1         0.19/2017         □ ► 1         □ ► 1         □ ► 1         □ ► 1         □ ► 1         □ ► 1         □ ► 1         □ ► 1         □ ► 1         □ ► 1         □ ► 1         □ ► 1         □ ► 1         □ ► 1         □ ► 1         □ ► 1         □ □ □ 0.00         0.00         □ ○ 0.00         □ ○ 0.00         0.00         □ ○ 0.00         0.00         □ ○ 0.00         □ 1         □ 1/15/2016 <td>•</td> <td><u>SC 13D</u></td> <td>005-30128</td> <td>06/30/2017</td> <td></td> <td>06/30/2017</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td>	•	<u>SC 13D</u>	005-30128	06/30/2017		06/30/2017						
□ ► 8K         001-08696         0223/2017         5.02,9.01         0273/2017         01/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2016         07/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2017         07/19/2016         07/19/2016 <td>•</td> <td>NT 10-K</td> <td>001-08696</td> <td>03/31/2017</td> <td></td> <td>03/31/2017</td> <td>12/31/2016</td> <td></td> <td></td> <td></td> <td>03/31/2017</td> <td>СХ</td>	•	NT 10-K	001-08696	03/31/2017		03/31/2017	12/31/2016				03/31/2017	СХ
□         ▶ SC.13G         905-30128         92/14/2017         92/13/2017         92/13/2017         97/12/2016         97/21/2017         CX           □         ▶ 8±K         901-98696         12/29/2016         5.07, 7.01, 8.01, 9.01         11/15/2016         11/15/2016         97/21/2017         CX           □         ▶ 8±K         901-98696         11/15/2016         5.07, 7.01, 8.01, 9.01         11/15/2016         11/15/2016         CX           □         ▶ 0.02         901-98696         10/15/2016         98/21/2016         10/25/2016         11/15/2016         CX           □         ▶ 10.02         901-98696         98/15/2016         98/15/2016         66/30/2016         98/15/2016         CX           □         ▶ 10.02         901-98696         95/19/2016         95/19/2016         95/19/2016         03/31/2016         97/21/2017         CX           □         ▶ 10.4         901-98696         95/19/2016         95/19/2016         93/31/2016         93/31/2016         93/31/2016         93/31/2016         93/31/2016         93/31/2016         93/31/2016         93/31/2016         93/31/2016         93/31/2016         93/31/2016         93/31/2015         93/31/2016         93/31/2016         03/31/2015         93/31/2015         93/31/2015 </td <td>٠</td> <td><u>8-K</u></td> <td>001-08696</td> <td>03/23/2017</td> <td>5.02</td> <td>03/23/2017</td> <td>03/18/2017</td> <td></td> <td></td> <td></td> <td></td> <td></td>	٠	<u>8-K</u>	001-08696	03/23/2017	5.02	03/23/2017	03/18/2017					
□ ► 10-Q         001-08696         12/29/2016         5.07,7.01,8.01,9.01         12/29/2016         9/30/2016         07/21/2017         CX           □ ► 8±K         001-08696         11/15/2016         5.07,7.01,8.01,9.01         11/15/2016         11/15/2016         11/15/2016         11/15/2016         11/15/2016         11/15/2016         11/15/2016         CX         09/30/2016         11/15/2016         CX         09/30/2016         10/25/2016         CX         09/30/2016         10/25/2016         CX         09/30/2016         00/30/2016	٠	<u>8-K</u>	001-08696	02/23/2017	5.02, 9.01	02/23/2017	01/19/2017					
□	٠	<u>SC 13G</u>	005-30128	02/14/2017		02/13/2017						
□ ▶ NT10Q         001-08696         11/15/2016         11/15/2016         09/30/2016         11/15/2016         CX           □ ▶ DEF14A         001-08696         10/25/2016         10/25/2016         11/09/2016         10/25/2016         07/21/2017         CX           □ ▶ 10-Q         001-08696         08/15/2016         08/15/2016         06/30/2016         06/30/2016         08/15/2016	٠	<u>10-Q</u>	001-08696	12/29/2016		12/29/2016	09/30/2016				07/21/2017	СХ
□ ▶ 0EF14A         001-08696         10/25/2016         10/25/2016         10/25/2016         10/25/2016         10/25/2016         06/30/2016         07/21/2017         CX           □ ▶ 10-Q         001-08696         08/22/2016         08/22/2016         06/30/2016         06/30/2016         08/15/2016         09/15/2015         09/16/2016         09/16/2016         01/15/2016         09/15/2016         09/15/2015         09/16/2016         01/15/2016         01/15/2016         09/15/2015         09/15/2016         09/15/2016         03/31/2015         09/30/2015         09/15/2016         09/15/2016         00/15/2016         03/31/2015         09/30/2015         09/15/2016         09/15/2016         00/15/2016         00/15/2016 <td< td=""><td>٠</td><td><u>8-K</u></td><td>001-08696</td><td>11/21/2016</td><td>5.07, 7.01, 8.01, 9.01</td><td>11/21/2016</td><td>11/09/2016</td><td></td><td></td><td></td><td></td><td></td></td<>	٠	<u>8-K</u>	001-08696	11/21/2016	5.07, 7.01, 8.01, 9.01	11/21/2016	11/09/2016					
□         ▶ 10-Q         001-08696         08/22/2016         08/32/2016         06/30/2016         07/21/2017         CX           □         ▶ NT 10-Q         001-08696         08/15/2016         08/15/2016         06/30/2016         08/15/2016         08/15/2016         08/15/2016         08/15/2016         08/15/2016         07/21/2017         CX           □         ▶ NT 10-Q         001-08696         05/17/2016         05/17/2016         03/31/2016         05/17/2015         05/15/2016         05/15/2016         05/15/2016         05/15/2016         05/15/2016         05/15/2016         05/15/2016         05/15/2016         05/15/2016         05/15/2016         05/15/2015	٠	NT 10-Q	001-08696	11/15/2016		11/15/2016	09/30/2016				11/15/2016	СХ
□ ▶ NT10-Q         001-08696         08/15/2016         08/15/2016         06/30/2016         08/15/2016         08/15/2016         08/15/2016         08/15/2016         08/15/2016         08/15/2016         08/15/2016         07/21/2017         CX           □ ▶ NT10-Q         001-08696         05/17/2016         05/17/2016         05/17/2016         03/31/2015         1         09/16/2016         P2         09/16/2016         CI           □ ▶ NT10-K         001-08696         03/31/2016         03/31/2016         03/31/2015         1         09/16/2016         P2         09/16/2016         CI           □ ▶ NT10-K         001-08696         03/31/2016         03/31/2016         03/31/2015         1         09/16/2016         CX           □ ▶ 10-Q         001-08696         03/01/2016         03/01/2016         01/08/2015         04/14/2016         CX           □ ▶ 3K         001-08696         01/15/2016         5.02         01/15/2016         01/08/2015         04/14/2016         CX           □ ▶ 3K         001-08696         10/23/2015         5.03, 5.07, 7.01, 9.01         10/23/2015         09/15/2015         04/14/2016         CX           □ ▶ 3K         001-08696         10/14/2015         5.02, 8.01, 9.01         09/23/2015         09/15/2015	•	DEF 14A	001-08696	10/25/2016		10/25/2016	11/09/2016				10/25/2016	сх
	•	<u>10-Q</u>	001-08696	08/22/2016		08/22/2016	06/30/2016				07/21/2017	сх
□ ► NT10-Q         001-08696         05/17/2016         05/17/2016         03/31/2016         05/17/2016         CX         05/17/2016<	•	NT 10-Q	001-08696	08/15/2016		08/15/2016	06/30/2016				08/15/2016	сх
Image: Problem of the probl	•	<u>10-Q</u>	001-08696	05/19/2016		05/19/2016	03/31/2016				07/21/2017	сх
□ ► NT10-K         001-08696         03/31/2016         02/31/2016         12/31/2015         03/31/2016         CX           □ ► 10-Q         001-08696         03/01/2016         03/01/2016         09/30/2015         04/14/2016         CX           □ ► SC 13G         005-30128         02/01/2016         01/29/2016         01/08/2016         01/08/2016         04/14/2016         CX           □ ► 3-K         001-08696         01/15/2016         5.02         01/15/2016         06/30/2015         04/14/2016         CX           □ ► 3-K         001-08696         10/23/2015         5.03, 5.07, 7.01, 9.01         10/23/2015         10/16/2015         04/14/2016         CX           □ ► 3-K         001-08696         10/14/2015         5.03, 5.07, 7.01, 9.01         10/23/2015         10/16/2015         04/14/2016         CX           □ ► 3-K         001-08696         10/14/2015         5.02, 8.01, 9.01         09/23/2015         09/15/2015         09/15/2015         09/15/2015         09/15/2015         09/15/2015         09/15/2015         09/15/2015         09/15/2015         09/15/2015         09/15/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015	•	NT 10-Q	001-08696	05/17/2016		05/17/2016	03/31/2016				05/17/2016	сх
□ ► 10-Q         001-08696         03/01/2016         03/01/2016         09/30/2015         04/14/2016         CX           □ ► SC 13G         005-30128         02/01/2016         01/29/2016         01/08/2016         01/08/2016         04/14/2016         CX           □ ► 8-K         001-08696         01/15/2016         5.02         01/15/2016         01/08/2015         04/14/2016         CX           □ ► 8-K         001-08696         10/23/2015         5.03, 5.07, 7.01, 9.01         10/23/2015         10/16/2015         04/14/2016         CX           □ ► 8-K         001-08696         10/14/2015         10/14/2015         10/14/2015         04/14/2016         CX           □ ► 8-K         001-08696         09/23/2015         10/14/2015         09/15/2015         09/15/2015         04/14/2016         CX           □ ► 8-K         001-08696         09/23/2015         5.02, 8.01, 9.01         09/25/2015         09/15/2015         09/15/2015         09/15/2015         09/23/2015         09/15/2015         09/15/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         09/23/2015         00/23/20	•	<u>10-K</u>	001-08696	04/14/2016		04/14/2016	12/31/2015	1	09/16/2016	P2	09/16/2016	C1
□ ► SC13G         005-30128         02/01/2016         01/29/2016         01/29/2016         01/08/2016         01/08/2016         01/08/2016         01/08/2016         01/08/2016         01/08/2016         01/08/2016         01/08/2016         01/08/2016         01/08/2016         01/08/2016         01/08/2016         01/08/2016         01/08/2016         01/08/2016         01/08/2016         01/08/2015         01/08/2015         06/30/2015         06/30/2015         04/14/2016         0X	•	NT 10-K	001-08696	03/31/2016		03/31/2016	12/31/2015				03/31/2016	сх
□ ► 8-K         001-08696         01/15/2016         5.02         01/15/2016         01/08/2015         04/14/2016         CX           □ ► 10-Q         001-08696         12/02/2015         5.03, 5.07, 7.01, 9.01         10/23/2015         10/16/2015         04/14/2016         CX           □ ► 8-K         001-08696         10/14/2015         5.03, 5.07, 7.01, 9.01         10/14/2015         3/31/2015         04/14/2016         CX           □ ► 10-Q         001-08696         09/25/2015         5.02, 8.01, 9.01         09/25/2015         09/15/2015         09/15/2015         09/15/2015         09/23/2015	•	<u>10-Q</u>	001-08696	03/01/2016		03/01/2016	09/30/2015				04/14/2016	сх
□ ► 10-Q         001-08696         12/02/2015         5.03,5.07,7.01,9.01         10/23/2015         06/30/2015         04/14/2016         CX           □ ► 8-K         001-08696         10/23/2015         5.03,5.07,7.01,9.01         10/23/2015         10/16/2015         04/14/2016         CX           □ ► 10-Q         001-08696         10/14/2015         5.02,8.01,9.01         09/25/2015         09/15/2015	•	SC 13G	005-30128	02/01/2016		01/29/2016						
□         ▶         8-K         001-08696         10/23/2015         5.03,5.07,7.01,9.01         10/23/2015         10/16/2015         04/14/2016         CX           □         ▶         10-Q         001-08696         10/14/2015         5.02,8.01,9.01         09/25/2015         09/15/2015         04/14/2016         CX           □         ▶         8-K         001-08696         09/23/2015         5.02,8.01,9.01         09/25/2015         09/15/2015         09/23/2015         12/31/2014         09/23/2014         09/23/2015         03/31/2015         03/31/2015	•	<u>8-K</u>	001-08696	01/15/2016	5.02	01/15/2016	01/08/2016				]	
□         ▶         10-Q         001-08696         10/14/2015         10/14/2015         03/31/2015         04/14/2016         CX           □         ▶         8-K         001-08696         09/25/2015         5.02, 8.01, 9.01         09/25/2015         09/15/2015         09/15/2015         09/23/2015         CX           □         ▶         DEF 14A         001-08696         09/23/2015         09/04/2015         09/04/2015         3         09/10/2015         CX           □         ▶         PRE 14A         001-08696         09/04/2015         09/04/2015         09/04/2015         3         09/10/2015         C3           □         ▶         8-K         001-08696         06/26/2015         1.01, 2.02, 9.01         06/26/2015         06/24/2015         06/24/2015         09/04/2015         09/04/2015         09/04/2015         06/24/2015         06/24/2015         06/24/2015         06/24/2015         06/24/2015         06/24/2015         06/24/2015         06/24/2015         03/31/2014         04/14/2016         CX         03/31/2014         03/31/2014         03/31/2014         03/31/2014         03/31/2014         03/31/2015         03/16/2015         02/13/2015         02/13/2015         02/13/2015         02/13/2015         02/13/2015         02/13/2015 <td>•</td> <td><u>10-Q</u></td> <td>001-08696</td> <td>12/02/2015</td> <td></td> <td>12/02/2015</td> <td>06/30/2015</td> <td></td> <td></td> <td></td> <td>04/14/2016</td> <td>СХ</td>	•	<u>10-Q</u>	001-08696	12/02/2015		12/02/2015	06/30/2015				04/14/2016	СХ
Image: blue blue blue blue blue blue blue blue	•	<u>8-K</u>	001-08696	10/23/2015	5.03, 5.07, 7.01, 9.01	10/23/2015	10/16/2015					•
□         ▶         DEF 14A         001-08696         09/23/2015         09/23/2015         10/15/2015         09/23/2015         CX           □         ▶         PRE 14A         001-08696         09/04/2015         09/04/2015         09/04/2015         3         09/10/2015         C3           □         ▶         8-K         001-08696         06/26/2015         1.01, 2.02, 9.01         06/26/2015         06/24/2015         06/24/2015         04/14/2016         CX           □         ▶         NT 10-K         001-08696         03/31/2015         03/31/2015         12/31/2014         03/31/2014         03/31/2015         CX           □         ▶         SC 13G/A         005-30128         03/16/2015         03/16/2015         02/13/2015	•	<u>10-Q</u>	001-08696	10/14/2015		10/14/2015	03/31/2015				04/14/2016	СХ
□         ▶         PRE 14A         001-08696         09/04/2015         09/04/2015         09/04/2015         3         09/10/2015         C3           □         ▶         8-K         001-08696         06/26/2015         1.01, 2.02, 9.01         06/26/2015         06/24/2015         06/24/2015         06/24/2015         06/24/2015         06/24/2015         06/24/2015         06/24/2015         06/24/2015         06/24/2015         06/24/2015         07/04/2016	•	<u>8-K</u>	001-08696	09/25/2015	5.02, 8.01, 9.01	09/25/2015	09/15/2015					•
□       ▶       8-K       001-08696       06/26/2015       1.01, 2.02, 9.01       06/26/2015       06/24/2015       06/24/2015       04/14/2016       CX         □       ▶       10-K       001-08696       03/31/2015       03/31/2015       12/31/2014       03/31/2014       03/31/2015       CX         □       ▶       SC 13G/A       005-30128       03/16/2015       03/16/2015       02/13/2015       02/1	•	DEF 14A	001-08696	09/23/2015		09/23/2015	10/15/2015				09/23/2015	СХ
□       ▶       10-K       001-08696       06/24/2015       06/24/2015       12/31/2014       04/14/2016       CX         □       ▶       NT 10-K       001-08696       03/31/2015       03/31/2015       12/31/2014       03/31/2015       CX         □       ▶       SC 13G/A       005-30128       02/17/2015       02/13/2015       02/13/2015       02/06/2015       02/06/2015       02/06/2015       02/06/2015       02/06/2015       02/06/2014       000-07918       12/09/2014       12/08/2014       11/21/2014       09/30/2014       06/24/2015       CX         □       ▶       NT 10-Q       001-08696       11/121/2014       11/14/2014       09/30/2014       11/14/2014       11/14/2014       07/06/2015       00/06/2015	•	PRE 14A	001-08696	09/04/2015		09/04/2015	09/04/2015	3			09/10/2015	C3
□       ▶       NT 10-K       001-08696       03/31/2015       03/31/2015       12/31/2014       03/31/2015       CX         □       ▶       SC 13G/A       005-30128       03/16/2015       03/16/2015       02/13/2015	•	<u>8-K</u>	001-08696	06/26/2015	1.01, 2.02, 9.01	06/26/2015	06/24/2015					-
□       ▶       SC 13G/A       005-30128       03/16/2015       03/16/2015         □       ▶       SC 13G       005-30128       02/17/2015       02/06/2015         □       ▶       SC 13G/A       005-30128       02/06/2015       02/06/2015         □       ▶       8-A12G       000-07918       12/09/2014       12/08/2014         □       ▶       10-Q       001-08696       11/21/2014       11/21/2014       09/30/2014         □       ▶       NT 10-Q       001-08696       11/14/2014       11/14/2014       09/30/2014	•	<u>10-K</u>	001-08696	06/24/2015		06/24/2015	12/31/2014				04/14/2016	СХ
□       ▶       SC 13G       005-30128       02/17/2015       02/13/2015         □       ▶       SC 13G/A       005-30128       02/06/2015       02/06/2015         □       ▶       8-A12G       000-07918       12/09/2014       12/08/2014         □       ▶       10-Q       001-08696       11/21/2014       11/21/2014       09/30/2014       06/24/2015       CX         □       ▶       NT 10-Q       001-08696       11/14/2014       11/14/2014       09/30/2014       11/14/2014       CX	•	NT 10-K	001-08696	03/31/2015		03/31/2015	12/31/2014			-	03/31/2015	СХ
□       ▶       SC 13G/A       005-30128       02/06/2015       02/06/2015         □       ▶       8-A12G       000-07918       12/09/2014       12/08/2014         □       ▶       10-Q       001-08696       11/21/2014       11/21/2014       09/30/2014       06/24/2015       CX         □       ▶       NT 10-Q       001-08696       11/14/2014       11/14/2014       09/30/2014       11/14/2014       CX	•	SC 13G/A	005-30128	03/16/2015		03/16/2015		•				•
□       ▶       8-A12G       000-07918       12/09/2014       12/08/2014         □       ▶       10-Q       001-08696       11/21/2014       11/21/2014       09/30/2014       06/24/2015       CX         □       ▶       NT 10-Q       001-08696       11/14/2014       11/14/2014       09/30/2014       11/14/2014       CX	•	SC 13G	005-30128	02/17/2015		02/13/2015					1	
□       ▶       10-Q       001-08696       11/21/2014       09/30/2014       06/24/2015       CX         □       ▶       NT 10-Q       001-08696       11/14/2014       11/14/2014       09/30/2014       11/14/2014       CX	•	SC 13G/A	005-30128	02/06/2015		02/06/2015	1		1		1	
□ ► NT 10-Q 001-08696 11/14/2014 11/14/2014 09/30/2014 11/14/2014 CX	•	<u>8-A12G</u>	000-07918	12/09/2014		12/08/2014	1		1		1	
	•	<u>10-Q</u>	001-08696	11/21/2014		11/21/2014	09/30/2014		1		06/24/2015	СХ
□ ► RW 333-190069 11/14/2014 11/13/2014 □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □	•	NT 10-Q	001-08696	11/14/2014		11/14/2014	09/30/2014				11/14/2014	сх
	•	<u>RW</u>	333-190069	11/14/2014		11/13/2014		•				
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믜	•	<u>8-K</u>	001-08696	11/12/2014	8.01	11/12/2014	08/22/2014					
믜	•	<u>8-K</u>	001-08696	09/02/2014	8.01	09/02/2014	06/23/2014					
	•	<u>8-K</u>	001-08696	08/20/2014	5.03, 5.07, 7.01, 9.01	08/20/2014	08/14/2014				1	
	•	<u>10-Q</u>	001-08696	08/14/2014		08/13/2014	06/30/2014				06/24/2015	СХ
	•	DEF 14A	001-08696	07/31/2014		07/31/2014	08/14/2014				07/31/2014	СХ
	•	PRE 14A	001-08696	07/16/2014		07/16/2014	08/14/2014	3			07/22/2014	C3
	•	<u>8-K</u>	001-08696	05/29/2014	5.02, 8.01, 9.01	05/29/2014	05/29/2014					
	•	<u>8-K</u>	001-08696	05/28/2014	7.01, 9.01	05/28/2014	05/28/2014					
	•	<u>10-Q</u>	001-08696	05/15/2014		05/15/2014	03/31/2014				06/24/2015	СХ
	٠	<u>10-K/A</u>	001-08696	04/30/2014		04/30/2014	12/31/2013	8	07/08/2014	P2	07/08/2014	C8
	•	<u>8-K</u>	001-08696	04/29/2014	8.01	04/29/2014	04/29/2014					
	•	<u>10-K</u>	001-08696	04/16/2014		04/15/2014	12/31/2013	8	07/08/2014	P2	07/08/2014	C8
	•	NT 10-K	001-08696	04/01/2014		04/01/2014	12/31/2013				04/01/2014	СХ
	•	<u>8-K</u>	001-08696	03/17/2014	8.01	03/17/2014	02/10/2014					
	٠	SC 13G/A	005-30128	02/04/2014		02/04/2014						
	٠	<u>SC 13G/A</u>	005-30128	01/23/2014		01/23/2014						
	٠	<u>8-K</u>	001-08696	12/10/2013	7.01, 9.01	12/10/2013	12/05/2013					
	٠	<u>10-Q</u>	001-08696	11/20/2013		11/19/2013	09/30/2013				04/16/2014	СХ
	٠	NT 10-Q	001-08696	11/15/2013		11/15/2013	09/30/2013				11/15/2013	СХ
	٠	<u>8-K</u>	001-08696	10/04/2013	5.02, 8.01, 9.01	10/04/2013	09/12/2013					
	٠	<u>SC 13G</u>	005-30128	09/27/2013		09/27/2013						
	٠	<u>8-K</u>	001-08696	09/17/2013	3.02	09/17/2013	09/17/2013					
	٠	<u>S-1/A</u>	333-190069	09/13/2013		09/13/2013		4	09/26/2013	P1	11/14/2014	WD
	•	<u>8-K</u>	001-08696	09/11/2013	2	09/10/2013	09/10/2013					•
	٠	<u>S-8</u>	333-191070	09/09/2013	0	09/09/2013					09/09/2013	EX
	٠	<u>8-K/A</u>	001-08696	09/05/2013	2	09/05/2013	09/05/2013					
	•	<u>10-Q</u>	001-08696	08/13/2013	0	08/13/2013	06/30/2013			1	04/16/2014	СХ
	•	SC 13G	005-30128	08/12/2013	0	08/12/2013						•
	•	<u>8-K</u>	001-08696	07/26/2013	2	07/26/2013	07/26/2013				1	
	•	<u>S-1</u>	333-190069	07/22/2013	0	07/22/2013		4	08/15/2013	P1	11/14/2014	WD
	٠	<u>S-8</u>	333-189680	06/28/2013	0	06/28/2013	1			'	06/28/2013	EX
	•	<u>8-K</u>	001-08696	06/27/2013	1	06/27/2013	06/27/2013					!
	•	<u>10-Q/A</u>	001-08696	06/27/2013	0	06/27/2013	03/31/2013				1	
	٠	<u>10-Q</u>	001-08696	06/19/2013	0	06/19/2013	03/31/2013				04/16/2014	СХ
	•	<u>10-K/A</u>	001-08696	06/07/2013	0	06/07/2013	12/31/2012					
	•	<u>10-K</u>	001-08696	05/31/2013	0	05/31/2013	12/31/2012		1		04/16/2014	СХ
	•	DEFR14A	001-08696	05/31/2013	0	05/31/2013			1		05/31/2013	СХ
	•	DEFA14A	001-08696	05/10/2013	0	05/10/2013	1		1		05/10/2013	сх
	•	DEFA14A	001-08696	05/10/2013	0	05/10/2013	1		1	-	05/10/2013	сх
	•	DEF 14A	001-08696	05/10/2013	0	05/10/2013	05/10/2013		1	-	05/10/2013	СХ
	•	NT 10-K	001-08696	04/01/2013	0	04/01/2013	12/31/2012		1	-	04/01/2013	СХ
	•	<u>S-8</u>	333-187050	03/05/2013	0	03/05/2013			1		03/05/2013	EX
	•	<u>8-K</u>	001-08696	02/26/2013	2	02/25/2013	02/25/2013		1			1
	•	SC 13G/A	005-30128	02/12/2013	0	02/12/2013			1		1	-
	•	<u>8-K</u>	001-08696	02/05/2013	1	02/04/2013	02/04/2013		1	-	1	
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Ш	_	<u>10-Q/A</u>	001-08696	11/30/2012	0	11/30/2012	09/30/2012				
	•	<u>10-Q</u>	001-08696	11/16/2012	0	11/16/2012	09/30/2012			05/31/2013	СХ
	•	NT 10-Q	001-08696	11/15/2012	0	11/15/2012	09/30/2012			11/15/2012	СХ
	•	<u>8-K</u>	001-08696	10/31/2012	2	10/31/2012	10/31/2012				
	•	<u>10-Q/A</u>	001-08696	09/14/2012	0	09/14/2012	06/30/2012				_
	•	<u>10-Q</u>	001-08696	08/21/2012	0	08/20/2012	06/30/2012			05/31/2013	СХ
	•	NT 10-Q	001-08696	08/14/2012	0	08/14/2012	06/30/2012			08/14/2012	СХ
	•	<u>8-K</u>	001-08696	07/06/2012	3	07/06/2012	07/06/2012				_
	•	<u>S-8</u>	333-181963	06/07/2012	0	06/07/2012				06/07/2012	EX
	•	<u>8-K</u>	001-08696	05/30/2012	2	05/30/2012	05/30/2012				
	٠	<u>10-Q</u>	001-08696	05/18/2012	0	05/18/2012	03/31/2012			05/31/2013	СХ
	٠	NT 10-Q	001-08696	05/15/2012	0	05/15/2012	03/31/2012			05/15/2012	СХ
	٠	<u>10-K/A</u>	001-08696	05/15/2012	0	05/15/2012	12/31/2011				
	٠	DEFR14A	001-08696	04/19/2012	0	04/18/2012				04/19/2012	СХ
	٠	<u>10-K</u>	001-08696	04/16/2012	0	04/16/2012	12/31/2011		-	05/31/2013	СХ
	•	DEFA14A	001-08696	04/16/2012	0	04/13/2012				04/16/2012	СХ
	•	DEFA14A	001-08696	04/13/2012	0	04/13/2012				04/13/2012	СХ
	•	DEF 14A	001-08696	04/13/2012	0	04/13/2012	04/13/2012			04/13/2012	СХ
	•	<u>8-K</u>	001-08696	04/03/2012	1	04/03/2012	04/03/2012				
	•	NT 10-K	001-08696	03/30/2012	0	03/30/2012	12/31/2011			03/30/2012	СХ
	•	<u>8-K</u>	001-08696	03/06/2012	2	03/05/2012	03/05/2012				
	•	<u>S-8</u>	333-179681	02/24/2012	0	02/24/2012				02/24/2012	EX
	•	<u>8-K</u>	001-08696	02/01/2012	2	02/01/2012	02/01/2012				
	•	<u>8-K</u>	001-08696	01/30/2012	1	01/30/2012	01/30/2012				
	•	CT ORDER	001-08696	01/13/2012	0	01/13/2012				01/13/2012	СТ
	•	CT ORDER	001-08696	01/13/2012	0	01/13/2012	1			01/13/2012	СТ
	•	CT ORDER	001-08696	01/13/2012	0	01/13/2012	1			01/13/2012	СТ
	•	8-K/A	001-08696	01/13/2012	1	01/12/2012	03/04/2011				
	•	<u>8-K/A</u>	001-08696	01/13/2012	1	01/12/2012	05/31/2011				
	•	S-8 POS	333-176389	01/06/2012	0	01/06/2012		<u> </u>		01/06/2012	EX
	•	<u>D</u>	021-170471	12/21/2011	1	12/21/2011				12/21/2011	СХ
	•	S-8 POS	333-176389	12/09/2011	0	12/09/2011				12/09/2011	EX
	•	SC 13G	005-30128	12/07/2011	0	12/07/2011					
	•	10-Q/A	001-08696	11/17/2011	0	11/17/2011	09/30/2011				
	•	10-Q	001-08696	11/14/2011	0	11/14/2011	09/30/2011			04/16/2012	СХ
	•	S-8 POS	333-176389	11/01/2011	0	10/31/2011	, ,		<del></del>	11/01/2011	EX
	•	8-K/A	001-08696	10/03/2011	2	10/03/2011	10/03/2011				
	•	8-K/A	001-08696	10/03/2011	1	10/03/2011	05/04/2011				
	•	CT ORDER	001-08696	09/21/2011	0	09/21/2011				09/21/2011	СТ
	· •	10-Q/A	001-08696	09/16/2011	0	09/15/2011	06/30/2011		-		1
	, •	S-8 POS	333-176389	09/15/2011	0	09/15/2011	15,50,2011	<u> </u>		09/15/2011	EX
	, ,	10-K/A	001-08696	09/15/2011	0	09/15/2011	07/31/2010				
H	<u>,</u>	<u>S-8</u>	333-176389	08/19/2011	0	08/18/2011	31,31,2010			08/19/2011	EX
H	<u>,</u>	3-6 10-Q/A	001-08696	08/19/2011	0	08/18/2011	06/30/2011				T
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Ш	•	10-Q/A	001-08696	08/18/2011	0	08/17/2011	06/30/2011				
	-		352 3555	,,	-	,,	11,30,2011				

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<u> </u>		<u>10-Q</u>	001-08696	08/15/2011	0	08/15/2011	06/30/2011			[	04/16/2012	СХ
뷔	•	10-K/A	001-08696	07/21/2011	0	07/20/2011	07/31/2010	1	08/23/2011	P1	01/17/2012	C1
뷔	•	<u>8-K</u>	001-08696	07/14/2011	2	07/14/2011	07/14/2011		_	-	1	
뷔	<u> </u>	<u>8-K</u>	001-08696	07/05/2011		07/05/2011	, ,		-		-	
뷔	<u> </u>	<u>8-K</u>	001-08696	06/10/2011 05/31/2011	2	06/10/2011	06/10/2011		-		-	
뷔		<u>8-K</u>	001-08696	05/31/2011	0	05/31/2011	05/31/2011		-		05/26/2011	EX
뷔	_	<u>S-8</u>	333-174518	05/26/2011	0	05/26/2011	03/31/2011		-		05/26/2011	CX
뷔	<u> </u>	10-Q	001-08696	05/20/2011 05/16/2011	0	05/20/2011			-		04/16/2012	СХ
$\exists$	<u> </u>	NT 10-Q 8-K	001-08696 001-08696	05/16/2011	1	05/16/2011 05/06/2011	03/31/2011		-		05/16/2011	ICX
뮈	_	8-K	001-08696	05/06/2011 05/04/2011	2	05/04/2011	05/04/2011		-	-	1	
믬	<u>,</u>	8-K			3		04/18/2011		-		_	
뷔	_		001-08696	04/19/2011	0	04/19/2011	04/18/2011		-		02/10/2011	СХ
뷔	<u>,</u>	DEFA14A	001-08696	03/18/2011	0	03/18/2011	1		-		03/18/2011	СХ
뷔	<u>,</u>	DEFA14A	001-08696	03/18/2011	0	03/18/2011	03/18/2011		-		03/18/2011	СХ
뷔	<u>,</u>	<u>DEF 14A</u> <u>8-K</u>	001-08696	03/18/2011	2	03/18/2011	03/18/2011		-		03/18/2011	Icv
밁	_		001-08696	03/04/2011		03/04/2011	, ,		-		1	
	_	10-Q/A	001-08696	03/04/2011	0	03/04/2011	10/31/2010				1	
	<u> </u>	8-K	001-08696	03/04/2011	1	03/04/2011	02/23/2011	1	05/25/2011	D1	01/17/2012	C1
믬	<u> </u>	<u>10-K/A</u> 8-K	001-08696 001-08696	03/04/2011	2	03/03/2011	07/31/2010	1	05/25/2011	P1	01/17/2012	CI
믬	_	8-K	001-08696	03/01/2011	2	02/23/2011	03/01/2011		-		1	
붜	<u> </u>			02/23/2011	0				_		04/16/2012	СХ
	<u> </u>	10-Q	001-08696	02/22/2011	0	02/22/2011	12/31/2010		_		04/16/2012	ICX
	<u> </u>	SC 13G/A	005-30128	02/15/2011	0	02/15/2011	12/21/2010		-		02/14/2011	СХ
	<u> </u>	NT 10-Q	001-08696	02/14/2011	1	02/14/2011	12/31/2010				02/14/2011	icx .
	<u> </u>	8-K 8-K	001-08696 001-08696	02/11/2011	3	02/11/2011	02/11/2011		-		-	
ㅐ	<u> </u>	SC 13D/A	005-30128	02/11/2011 12/17/2010	0	12/17/2010	02/11/2011		-		1	
붜	_				4		12/15/2010		-		-	
붜	<u> </u>	8-K	001-08696 001-08696	12/15/2010	0	12/15/2010	12/15/2010		-		04/16/2012	CV
뷔	_	10-Q	001-08696	12/15/2010 11/30/2010	-	12/15/2010 11/30/2010	10/31/2010		_		04/16/2012	СХ
믬	<u> </u>	8-K/A	001-08696		1	11/18/2010	11/18/2010		-		-	
뷔	_	8-K	001-08696	11/18/2010	0	10/27/2010	07/31/2010	1	02/02/2011	P1	01/17/2012	C1
뷔	<u> </u>	<u>10-K</u> <u>25-NSE</u>	001-08696	10/27/2010	0		07/31/2010	1	02/02/2011	LI	01/17/2012	CI
뷔	<u>,</u>			10/01/2010		10/01/2010	1				<u> </u> 	
뷔	_	SC 13D	005-30128	09/21/2010	0	09/21/2010	00/17/2010				<u> </u> 	
$\dashv$	<u> </u>	8-K/A	001-08696	09/17/2010	2	09/17/2010	09/17/2010				<u> </u> 	
$\frac{\sqcup}{\Box}$	<u> </u>	<u>8-K</u>	001-08696	09/13/2010	1	09/13/2010	09/13/2010				<u> </u> 	
	<u> </u>	<u>8-K</u>	001-08696	08/30/2010	2	08/30/2010	08/30/2010		-		-	
	<u> </u>	8-K	001-08696	07/23/2010	3	07/23/2010	07/23/2010		-		_	
	-	424B3	333-167273	07/15/2010	0	07/15/2010	1		_		07/14/2010	EV
	<u> </u>	EFFECT S 1/A	333-167273	07/14/2010	0	07/14/2010	1		07/14/2010	D2	07/14/2010	EX
	<u> </u>	<u>S-1/A</u>	333-167273	07/14/2010	0	07/14/2010	1	4	07/14/2010	P2	07/14/2010	E4
	<u> </u>	<u>S-1/A</u>	333-167273	07/13/2010	0	07/13/2010	-	4	07/14/2010	P7	07/14/2010	E4
뷔	<u> </u>	<u>S-1/A</u>	333-167273	07/01/2010	0	07/01/2010	06/10/2212	4	07/13/2010	P1	07/14/2010	E4
뷔	<u> </u>	8-K	001-08696	06/16/2010	1	06/16/2010	06/10/2010		1		10/27/2215	CY.
ш	•	<u>10-Q</u>	001-08696	06/14/2010	0	06/14/2010	04/30/2010		1		10/27/2010	СХ

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$\Box$	•	<u>8-K</u>	001-08696	06/10/2010	2	06/10/2010	06/10/2010				1	
뷔	•	<u>S-1</u>	333-167273	06/02/2010	0	06/02/2010	05/00/0040	4	06/28/2010	P1	07/14/2010	E4
뷔	_	<u>8-K</u>	001-08696	06/02/2010	3	06/02/2010	06/02/2010		<u> </u>		02/20/2010	EX
뷔	_	<u>S-8</u>	333-165779	03/30/2010	0	03/30/2010	01/21/2010				03/30/2010	+
뷔		10-Q	001-08696	03/16/2010	0	03/16/2010	01/31/2010				10/27/2010	СХ
뷔	_	DEFA14A	001-08696 001-08696	02/25/2010	0	02/25/2010	-				02/25/2010	СХ
뷔	_	DEFA14A		02/25/2010	0	02/25/2010	02/25/2010				02/25/2010	СХ
뷔	_	DEF 14A	001-08696	02/25/2010	0	02/25/2010	02/25/2010				02/25/2010	ICX
뮈	<u> </u>	SC 13G/A SC 13G	005-30128 005-30128	02/16/2010	0	02/12/2010	-		_		1	
	<u>,</u>	10-Q	001-08696	12/15/2009	0	12/15/2009	10/31/2009				10/27/2010	СХ
	<u>,</u>	10-K	001-08696	10/27/2009	0	10/27/2009	07/31/2009				10/27/2010	СХ
	<u>,</u>	424B3	333-161216	10/02/2009	0	10/02/2009	01/31/2003				10/21/2010	Icx
	<u>,</u>	EFFECT	<u>333-161216</u>	10/01/2009	0	10/01/2009	1				10/01/2009	EX
	<u>,</u>	CT ORDER	001-08696	09/30/2009	0	09/30/2009	-					CT
ㅐ	<u>,</u>	8-K/A	001-08696	09/29/2009	1	09/29/2009	07/30/2009				09/30/2009	Ci
$\exists$	<u>,</u>	S-1/A	<u>333-161216</u>	09/25/2009	0	09/25/2009	01/30/2009	4	09/30/2009	P2	10/01/2009	E4
$\exists$	<u>,</u>	S-1/A	<u>333-161216</u>	09/18/2009	0	09/18/2009	1	4	09/24/2009	P7	10/01/2009	E4
ㅐ	<u>,</u>	<u>S-1/A</u> <u>S-1</u>	333-161216	08/10/2009	0	08/10/2009	_	4	09/09/2009	P1	10/01/2009	E4
ㅐ	<u>,</u>	8-K	001-08696	08/07/2009	3	08/07/2009	08/06/2009		03/03/2003	' -	10/01/2003	
귀	<u>,</u>	8-K	001-08696	08/05/2009	2	08/05/2009	08/05/2009		<u> </u> 		<u> </u> 	
귀	<u>,</u>	8-K	001-08696	07/30/2009	3	07/30/2009	07/30/2009		<u> </u> 		<u> </u> 	
귀	· •	10-Q	001-08696	06/15/2009	0	06/15/2009	04/30/2009		_		10/27/2009	СХ
귀	· •	S-8	333-158144	03/23/2009	0	03/23/2009	0.70072003		-		03/23/2009	EX
귀	· •	10-Q	001-08696	03/17/2009	0	03/17/2009	01/31/2009		-		10/27/2009	СХ
$\exists$	<u> </u>	DEFA14A	001-08696	03/10/2009	0	03/10/2009	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		_		03/10/2009	СХ
$\frac{-}{\Box}$	•	DEFA14A	001-08696	03/10/2009	0	03/10/2009	-		_		03/10/2009	СХ
$\frac{-}{\Box}$	<b>•</b>	DEF 14A	001-08696	03/10/2009	0	03/10/2009	03/09/2009		_		03/10/2009	СХ
司	•	8-K	001-08696	02/26/2009	1	02/26/2009	02/25/2009		_			
$\exists$	•	<u>8-K</u>	001-08696	02/26/2009	3	02/26/2009	02/24/2009		_			
	•	SC 13G	005-30128	02/17/2009	0	02/13/2009			-		1	
$\Box$	•	<u>8-K</u>	001-08696	01/23/2009	1	01/23/2009	01/23/2009		-	-	1	
	•	<u>8-K</u>	001-08696	01/15/2009	1	01/15/2009	01/14/2009		_		-	
	•	<u>8-K</u>	001-08696	12/16/2008	1	12/16/2008	12/16/2008		-		-	
	•	<u>10-Q</u>	001-08696	12/12/2008	0	12/12/2008	10/31/2008		-		10/27/2009	СХ
	•	<u>8-K</u>	001-08696	12/08/2008	1	12/08/2008	12/02/2008					
	•	<u>10-K</u>	001-08696	10/28/2008	0	10/28/2008	07/31/2008				10/27/2009	СХ
	•	424B3	333-152881	09/30/2008	0	09/30/2008						
	•	<u>EFFECT</u>	333-152881	09/26/2008	0	09/26/2008	1		1		09/26/2008	EX
	•	<u>RW</u>	333-152821	09/25/2008	0	09/25/2008	1		1		10/02/2008	WD
	•	<u>S-1/A</u>	333-152881	09/24/2008	0	09/24/2008	1	4	09/26/2008	P2	09/26/2008	E4
	•	<u>S-1/A</u>	333-152881	09/18/2008	0	09/18/2008	1	4	09/24/2008	P1	09/26/2008	E4
	•	<u>S-1/A</u>	333-152881	09/05/2008	0	09/05/2008	1	4	09/16/2008	P1	09/26/2008	E4
	٠	<u>S-1</u>	333-152881	08/08/2008	0	08/08/2008	]	4	09/03/2008	P1	09/26/2008	E4
	٠	<u>S-8</u>	333-152821	08/06/2008	0	08/06/2008					08/06/2008	EX
							1		1			Ē

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l — I		l	1	1	L	1	I	ı	I		I	
Ш	<u> </u>	<u>8-K</u>	001-08696	08/01/2008	2	08/01/2008	07/29/2008		1		_	
	<u>.</u>	<u>8-K</u>	001-08696	07/25/2008	3	07/25/2008	07/22/2008		-		/ /	[au
	<u> </u>	<u>10-Q</u>	001-08696	06/12/2008	0	06/12/2008	04/30/2008		-		10/28/2008	CX
	<u> </u>	DEFA14A	001-08696	03/26/2008	0	03/26/2008	<u> </u>				03/26/2008	CX
	<u> </u>	DEF 14A	001-08696	03/24/2008	0	03/24/2008	03/19/2008				03/24/2008	CX
	<u> </u>	<u>10-Q</u>	001-08696	03/17/2008	0	03/17/2008	03/14/2008		_		10/28/2008	СХ
Ш	<u> </u>	SC 13G/A	005-30128	03/05/2008	0	03/04/2008	_		1		_	
	<u> </u>	<u>8-K</u>	001-08696	01/28/2008	1	01/28/2008	01/22/2008		<u> </u>		_	
	<u> </u>	<u>10-Q</u>	001-08696	12/14/2007	0	12/14/2007	10/31/2007		1		10/28/2008	СХ
	<u> </u>	<u>S-8</u>	333-147553	11/21/2007	0	11/20/2007	1				11/21/2007	EX
	<u> </u>	<u>10-K/A</u>	001-08696	11/06/2007	0	11/06/2007	07/31/2007	8	06/03/2008	P2	06/03/2008	C8
	•	<u>10-K</u>	001-08696	10/30/2007	0	10/29/2007	07/31/2007	8	06/03/2008	P2	06/03/2008	C8
	•	<u>8-K</u>	001-08696	09/04/2007	1	09/04/2007	09/04/2007					
	•	<u>8-K</u>	001-08696	08/10/2007	1	08/10/2007	08/09/2007		_		_	
	•	<u>8-K</u>	001-08696	07/11/2007	1	07/11/2007	07/09/2007					
	•	<u>10-Q</u>	001-08696	06/15/2007	0	06/14/2007	04/30/2007				10/30/2007	СХ
	•	<u>8-K</u>	001-08696	04/19/2007	2	04/19/2007	04/17/2007					
	•	<u>8-K</u>	001-08696	04/13/2007	2	04/13/2007	04/12/2007					
	•	<u>S-8</u>	333-141743	04/02/2007	0	04/02/2007					04/02/2007	EX
	٠	<u>10-Q</u>	001-08696	03/16/2007	0	03/16/2007	01/31/2007				10/30/2007	СХ
	٠	<u>8-K</u>	001-08696	02/22/2007	1	02/22/2007	02/20/2007	1	02/26/2007	P2	02/26/2007	C1
	٠	<u>8-K</u>	001-08696	02/15/2007	2	02/15/2007	02/12/2007	1	02/15/2007	P2	02/15/2007	C1
	٠	<u>SC 13G</u>	005-30128	02/14/2007	0	02/14/2007						
	٠	<u>8-K</u>	001-08696	02/07/2007	1	02/07/2007	02/06/2007					
	٠	<u>8-K</u>	001-08696	02/06/2007	2	02/06/2007	02/02/2007					
	٠	<u>8-K</u>	001-08696	01/30/2007	3	01/29/2007	01/24/2007					
	٠	DFAN14A	001-08696	01/26/2007	0	01/26/2007		-			01/26/2007	СХ
	٠	<u>8-K</u>	001-08696	01/24/2007	1	01/24/2007	01/18/2007					
	•	DFAN14A	001-08696	01/24/2007	0	01/24/2007		3	01/26/2007	P1	02/02/2007	C4
	•	DEFA14A	001-08696	01/24/2007	0	01/23/2007				•	01/24/2007	СХ
	•	DEFA14A	001-08696	01/24/2007	0	01/23/2007					01/24/2007	СХ
	•	DFAN14A	001-08696	01/22/2007	0	01/22/2007		4	01/26/2007	P1	02/02/2007	C4
	•	DEFA14A	001-08696	01/19/2007	0	01/19/2007					01/19/2007	СХ
	٠	DEFA14A	001-08696	01/19/2007	0	01/19/2007					01/19/2007	СХ
	•	<u>8-K</u>	001-08696	01/19/2007	1	01/19/2007	01/17/2007					'
	•	<u>8-K</u>	001-08696	01/19/2007	1	01/19/2007	01/18/2007				1	
	•	DFAN14A	001-08696	01/19/2007	0	01/19/2007		4	01/23/2007	P1	02/02/2007	C4
	•	DEFA14A	001-08696	01/18/2007	0	01/18/2007	1			1	01/18/2007	сх
	•	DFAN14A	001-08696	01/18/2007	0	01/18/2007	1	4	01/23/2007	P1	02/02/2007	C4
	•	DFAN14A	001-08696	01/18/2007	0	01/18/2007	1	4	01/23/2007	P1	02/02/2007	C4
	•	DEFA14A	001-08696	01/18/2007	0	01/17/2007	1				01/18/2007	СХ
	•	DEFA14A	001-08696	01/17/2007	0	01/17/2007	1		1		01/17/2007	СХ
	•	DFAN14A	001-08696	01/17/2007	0	01/17/2007	1	4	01/23/2007	P1	02/02/2007	C4
	•	DEFA14A	001-08696	01/16/2007	0	01/16/2007	1			'	01/16/2007	СХ
	•	DFAN14A	001-08696	01/12/2007	0	01/12/2007	1		1		01/12/2007	СХ
							1		1			1

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□   DEPAMAR 001-08696 0.011/2007 0 0 0.108/2007         0 0.108/2007 0 0.108/2007         0 0.108/2007 0 0.108/2007         0 0.108/2007 0 0.108/2007         0 0.108/2007 0 0.108/2007         0 0.108/2007 0 0.108/2007         0 0.108/2007 0 0.108/2007         0 0.108/2007 0 0.108/2007         0 0.108/2007 0 0.108/2007         0 0.108/2007         0 0.108/2007         0 0.108/2007         0 0.108/2007         0 0.108/2007         0 0.108/2007         0 0.108/2007         0 0.108/2007         0 0.108/2007         0 0.108/2007         0 0.108/2007         0 0.108/2007         0 0.108/2008         1.17/28/2006         0 0.12/28/2006         0 1.22/28	•	<u>8-K</u>	001-08696	01/11/2007	1	01/11/2007	01/11/2007					
□   DETAILAD         001.086960         01.08,70077         0         01.08,20077         0         01.08,20077         0         01.08,20077         0         01.08,20077         0         01.08,20077         0         01.08,20077         0         01.08,20077         0         01.08,20077         0         01.08,20077         0         01.08,20078         0         01.08,20078         0         12.28,20066         0         12.28,20066         0         12.28,20066         0         12.28,20066         0         12.28,20066         0         12.27,20066         0	•	DFAN14A	001-08696	01/11/2007	0	01/11/2007					01/11/2007	СХ
□ ► DEFAMARA 001-08696 00.093/2007         0 0.083/2007         0 0.083/2007         0 0.083/2007         0 0.083/2007         0 0.083/2007         12/28/2006         0 12/28/2009         12/28/2006         0 12/28/2009         12/28/2006         0 12/28/2009         12/28/2006         0 12/28/2009         12/28/2006         0 12/28/2009         12/28/2009         0 12/28/2009         0	•	DFAN14A	001-08696	01/11/2007	0	01/11/2007					01/11/2007	СХ
□   DEFALAA         00.086906         2278/2008         0         2228/2008           □   S. \$1350A         005.30128         1277/2006         0         1226/2006           □   S. \$1350A         005.30128         1277/2006         0         1226/2008           □   DERALAA         001.08696         1277/2006         0         1226/2008           □   DEFALAA         001.08696         1277/2008         0         1227/2008           □   DEFALAA         001.08696         1277/2008         0         1227/2008           □   DEFALAA         001.08696         1277/2008         0         1227/2008           □   DEFALAA         001.08696         1272/1008         0         1227/2008           □   DEFALAA         001.08696         1272/1008         0         1272/2006           □   DEFALAA         001.08696         1272/2008         0         1272/2006           □   DEFALAA         001.08696         12719/2008         0         12719/2008           □   DEFALAA         001.08696         12719/2008         0         12719/2008           □   DEFALAA         001.08696         12719/2008         0         12719/2008           □   DEFALAA         001.08696         12714/2000         1271	•	DEFA14A	001-08696	01/08/2007	0	01/08/2007					01/08/2007	СХ
□	•	DFAN14A	001-08696	01/03/2007	0	01/03/2007					01/03/2007	сх
□ → SC138JA         965-30128         12/77/7000         0         12/26/2006           □ → DFRHAMA         901-08696         12/77/7006         0         12/26/2006           □ → DFRHAMA         901-08696         12/77/7006         0         12/26/2006           □ → DFRHAMA         901-08696         12/71/7006         0         12/21/2006           □ → DFRHAMA         901-08696         12/71/7006         0         12/71/2006           □ → DFRHAMA         901-08696         12/71/7006         0         12/71/2006           □ → DFRHAMA         901-08696         12/70/7006         0         12/70/7006           □ → DFRHAMA         901-08696         12/71/7006         0         12/71/7006           □ → DFRHAMA         901-08696         12/71/7006         0         12/71/7006           □ → DFRHAMA         901-08696         12/71/7006         0         12/18/7006           □ → DFRHAMA         901-08696         12/71/7006         0         12/18/7006           □ → DFRHAMA         901-08696         12/71/7006         0         12/18/7006         12/18/7006           □ → DRAHAM         901-08696         12/71/7006         0         12/18/7006         12/18/7006         12/18/7006	٠	DEFA14A	001-08696	12/28/2006	0	12/28/2006					12/28/2006	СХ
□ → DEANIALA 001-08696         12/27/2006         0         12/26/2005           □ → DERNIALA 001-08696         12/26/2006         0         12/26/2005           □ → DEFANA 001-08696         12/27/2006         0         12/27/2006           □ → DEFANA 001-08696         12/27/2006         0         12/27/2006           □ → DERNIALA 001-08696         12/27/2006         0         12/27/2006           □ → DERNIALA 001-08696         12/20/2006         0         12/20/2006           □ → DERNIALA 001-08696         12/20/2006         0         12/20/2006           □ → DERNIALA 001-08696         12/19/2006         0         12/20/2006           □ → DERNIALA 001-08696         12/19/2006         0         12/19/2006           □ → DERNIALA 001-08696         12/18/2006         0         12/18/2006           □ → DERNIALA 001-08696         12/18/2006         0         12/18/2006         12/18/2006           □ → DERNIALA 001-08696         12/18/2006         0         12/18/2006         10/31/2006           □ → DERNIALA 001-08696         12/18/2006         0         12/18/2006         10/31/2006           □ → PERLIAL 001-08696         12/18/2006         0         12/18/2006         11/18/2006           □ → PERLIAL 001-08696	٠	<u>SC 13G/A</u>	005-30128	12/27/2006	0	12/26/2006						
□ → DRNIALA 001.08696         1272072006         0         1276272006         1272172006         1272	٠	<u>SC 13G/A</u>	005-30128	12/27/2006	0	12/26/2006						
□ → DEFA14A         001-08696         12/22/2006         0         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/20/2006	٠	DFAN14A	001-08696	12/27/2006	0	12/26/2006					12/27/2006	СХ
□ ► DEFCIAA         001-08696         12/21/2006         0         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/21/2006         12/20/2006	٠	DFRN14A	001-08696	12/26/2006	0	12/26/2006					12/26/2006	СХ
	٠	DEFA14A	001-08696	12/22/2006	0	12/21/2006					12/22/2006	СХ
	٠	DEFC14A	001-08696	12/21/2006	0	12/21/2006					12/21/2006	СХ
	٠	DFAN14A	001-08696	12/20/2006	0	12/20/2006					12/20/2006	СХ
	•	DFRN14A	001-08696	12/20/2006	0	12/20/2006					12/20/2006	СХ
□ ► DEFNIAA         001.08696         12/18/2006         0         12/18/2006         12/18/2006         12/18/2006         12/18/2006         12/18/2006         12/18/2006         12/18/2006         12/18/2006         12/18/2006         12/15/2006	•	DEFA14A	001-08696	12/20/2006	0	12/20/2006					12/20/2006	СХ
□ P DEFAIAA         001-08686         12/15/2006         0         12/15/2006         10/31/2006         1         12/15/2006         10/31/2006         1         12/15/2006         10/31/2006         1         10/31/2006         10/31/2006         1         10/30/2007         1         10/30/2007         1         10/30/2007         1         10/30/2007         1         10/30/2007         1         10/30/2007         1         10/30/2007         1         10/30/2007         1         10/30/2007         1         10/30/2007         1         10/30/2007         1         10/30/2007         1         1         10/30/2007         1         10/30/2007         1         10/30/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12/14/2006         1         12	•	DFAN14A	001-08696	12/19/2006	0	12/19/2006					12/19/2006	сх
□ ▶ 10-Q         001-08595         12/14/2006         0         12/14/2006         10/31/2006         10/30/2007         10/30/2007         10/30/2006         10/30/2006         10/30/2006         10/30/2006         10/30/2006         10/30/2006         12/14/2006	•	DEFN14A	001-08696	12/18/2006	0	12/18/2006	12/18/2006				12/18/2006	сх
	•	DEFA14A	001-08696	12/15/2006	0	12/15/2006					12/15/2006	сх
□ ► PEE 14A         001-08696         12/08/2006         0         12/08/2006         12/08/2006         4         12/18/2006         P1         02/02/2007         □         □ ► PEEN14A         001-08696         12/08/2006         0         12/08/2006         12/08/2006         4         12/18/2006         P1         02/02/2007         0         □         □         ► PEEN14A         001-08696         12/08/2006         0         12/08/2006         4         12/18/2006         P1         02/02/2007         0         12/04/2006         0         12/04/2006         0         12/04/2006         P1         02/02/2007         0         12/04/2006	•	<u>10-Q</u>	001-08696	12/14/2006	0	12/14/2006	10/31/2006				10/30/2007	сх
	٠	<u>8-K</u>	001-08696	12/14/2006	2	12/14/2006	12/14/2006					
	٠	PRE 14A	001-08696	12/08/2006	0	12/08/2006	12/08/2006	4	12/18/2006	P1	02/02/2007	C4
▶ DEF 14A         001-08696         12/04/2006         0         12/04/2006         01/16/2007         12/04/2006         0           □ ▶ 8-K         001-08696         12/01/2006         2         12/01/2006         11/27/2006         11/30/2006	٠	PREN14A	001-08696	12/08/2006	0	12/08/2006	12/08/2006	4	12/18/2006	P1	02/02/2007	C4
□	٠	DFAN14A	001-08696	12/08/2006	0	12/08/2006		4	12/18/2006	P1	02/02/2007	C4
	•	DEF 14A	001-08696	12/04/2006	0	12/04/2006	01/16/2007				12/04/2006	СХ
□ ► 10-K         001-08696         10/30/2006         0         10/30/2006         0         10/30/2006         0         10/30/2006         0         10/30/2006         0         10/30/2006         0         10/30/2006         0         10/30/2006         0         10/30/2006         0         10/30/2006         0         0         10/30/2006         0	•	<u>8-K</u>	001-08696	12/01/2006	2	12/01/2006	11/27/2006			'		•
□ ► 8-K         001-08696         10/23/2006         2         10/23/2006         10/20/2006         10/23/2006         10/23/2006         10/23/2006         10/23/2006         10/23/2006         10/23/2006         10/23/2006         10/23/2006         10/23/2006         10/23/2006         10/23/2006         10/23/2006         10/23/2006         10/23/2006         10/23/2006         10/20/2006         10/23/2006	•	DFAN14A	001-08696	11/30/2006	0	11/30/2006				'	11/30/2006	СХ
□         ▶         425         001-08696         09/06/2006         0         09/06/2006         0         08/02/2006         0         08/02/2006         □         □         ▶         8.K         001-08696         08/02/2006         1         08/02/2006         07/10/2006         09/10/2006	•	<u>10-K</u>	001-08696	10/30/2006	0	10/30/2006	07/31/2006				10/30/2007	СХ
□         ▶         8-K         001-08696         08/02/2006         1         08/02/2006         08/02/2006         08/02/2006         08/02/2006         08/02/2006         08/02/2006         08/02/2006         08/02/2006         08/02/2006         08/02/2006         08/02/2006         08/02/2006         08/02/2006         08/02/2006         08/02/2006         08/02/2006         07/10/2006         07/10/2006         07/10/2006         08/02/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006         08/03/2006 <td>•</td> <td><u>8-K</u></td> <td>001-08696</td> <td>10/23/2006</td> <td>2</td> <td>10/23/2006</td> <td>10/23/2006</td> <td></td> <td></td> <td></td> <td></td> <td>•</td>	•	<u>8-K</u>	001-08696	10/23/2006	2	10/23/2006	10/23/2006					•
□         ▶         8-K         001-08696         07/10/2006         2         07/10/2006         07/10/2006         0         0         07/10/2006         0         0         06/26/2006         0         0         06/26/2006         0	•	<u>425</u>	001-08696	09/06/2006	0	09/06/2006		•			1	
□         ▶         8-K         001-08696         06/26/2006         2         06/26/2006         06/22/2006         06/22/2006         06/15/2006         09/15/2006         09/15/2006         09/15/2006         09/15/2006         09/15/2006         09/15/2006         09/15/2006         09/15/2006         09/15/2006         09/15/2006         09/15/2006         09/15/2006         09/15/2006         09/15/2006 <td>•</td> <td><u>8-K</u></td> <td>001-08696</td> <td>08/02/2006</td> <td>1</td> <td>08/02/2006</td> <td>08/02/2006</td> <td></td> <td></td> <td></td> <td>1</td> <td></td>	•	<u>8-K</u>	001-08696	08/02/2006	1	08/02/2006	08/02/2006				1	
	•	<u>8-K</u>	001-08696	07/10/2006	2	07/10/2006	07/10/2006				1	
□         ▶         10-Q         001-08696         06/09/2006         0         06/09/2006         04/30/2006         □         10/30/2006         0         10/30/2006 <td< td=""><td>•</td><td><u>8-K</u></td><td>001-08696</td><td>06/26/2006</td><td>2</td><td>06/26/2006</td><td>06/22/2006</td><td></td><td></td><td></td><td></td><td></td></td<>	•	<u>8-K</u>	001-08696	06/26/2006	2	06/26/2006	06/22/2006					
□         ▶         8-K         001-08696         06/09/2006         2         06/09/2006         06/09/2006         □         06/09/2006         □         06/09/2006         □	•	<u>8-K</u>	001-08696	06/20/2006	2	06/19/2006	06/15/2006		]			
□       ▶       8-K       001-08696       05/04/2006       1       05/04/2006       04/28/2006       04/28/2006       10/30/2006       10/30/2006       04/28/2006       04/28/2006       10/30/2006       04/28/2006       03/09/2006       03/09/2006       03/09/2006       03/09/2006       03/09/2006       02/15/2006	•	<u>10-Q</u>	001-08696	06/09/2006	0	06/09/2006	04/30/2006		]		10/30/2006	СХ
□       ▶       10-Q       001-08696       03/10/2006       0       03/10/2006       01/31/2006       0       10/30/2006       0         □       ▶       8-K       001-08696       03/09/2006       2       03/09/2006       02/15/2006       0       0       02/15/2006       0 <t< td=""><td>•</td><td><u>8-K</u></td><td>001-08696</td><td>06/09/2006</td><td>2</td><td>06/09/2006</td><td>06/09/2006</td><td></td><td>1</td><td></td><td></td><td>•</td></t<>	•	<u>8-K</u>	001-08696	06/09/2006	2	06/09/2006	06/09/2006		1			•
□       ▶       8-K       001-08696       03/09/2006       2       03/09/2006       03/09/2006       03/09/2006       03/09/2006       03/09/2006       03/09/2006       03/09/2006       03/09/2006       03/09/2006       03/09/2006       03/09/2006       03/09/2006       00/00/2006	•	<u>8-K</u>	001-08696	05/04/2006	1	05/04/2006	04/28/2006		1			
□       ▶       8-K       001-08696       02/23/2006       2       02/22/2006       02/15/2006         □       ▶       8-K       001-08696       02/23/2006       2       02/22/2006       02/15/2006         □       ▶       424B3       333-113751       02/17/2006       0       02/17/2006         □       ▶       POS AM       333-113751       02/06/2006       0       0       02/06/2006       3       02/10/2006       P2       02/16/2006       E         □       ▶       10-Q       001-08696       12/12/2005       0       12/12/2005       10/31/2005       10/31/2005       10/30/2006       0         □       ▶       8-K       001-08696       12/12/2005       2       12/12/2005       12/12/2	•	<u>10-Q</u>	001-08696	03/10/2006	0	03/10/2006	01/31/2006		1		10/30/2006	СХ
□       ▶       8-K       001-08696       02/23/2006       2       02/22/2006       02/15/2006       0       02/15/2006       □       □       ▶       424B3       333-113751       02/17/2006       0       02/17/2006       □       0       02/17/2006       □       02/10/2006       □       02/10/2006       □       02/10/2006       □       02/10/2006       □       02/10/2006       □       02/10/2006       □       02/10/2006       □       □       02/10/2006       □       02/10/2006       □       □	•	<u>8-K</u>	001-08696	03/09/2006	2	03/09/2006	03/09/2006		1			•
□       ▶       424B3       333-113751       02/17/2006       0       02/17/2006       3       02/10/2006       P2       02/16/2006       E         □       ▶       POS AM       333-113751       02/06/2006       0       02/06/2006       3       02/10/2006       P2       02/16/2006       E         □       ▶       10-Q       001-08696       12/12/2005       0       12/12/2005       10/31/2005       10/31/2005       10/30/2006       0         □       ▶       8-K       001-08696       12/12/2005       2       12/12/2005       12/12/2005       12/12/2005       12/12/2005	•	<u>8-K</u>	001-08696	02/23/2006	2	02/22/2006	02/15/2006		1		1	
□       ▶       POS AM       333-113751       02/06/2006       0       02/06/2006       3       02/10/2006       P2       02/16/2006       E         □       ▶       10-Q       001-08696       12/12/2005       0       12/12/2005       10/31/2005       10/31/2005       10/30/2006       0         □       ▶       8-K       001-08696       12/12/2005       2       12/12/2005       12/12/2005       12/12/2005       12/12/2005	•	<u>8-K</u>	001-08696	02/23/2006	2	02/22/2006	02/15/2006		1		1	
□     ▶     10-Q     001-08696     12/12/2005     0     12/12/2005     10/31/2005     10/30/2006     0       □     ▶     8-K     001-08696     12/12/2005     2     12/12/2005     12/12/2005     12/12/2005	•	<u>424B3</u>	333-113751	02/17/2006	0	02/17/2006		-	1		1	
□ <b>▶</b> 8-K 001-08696 12/12/2005 2 12/12/2005	•	POS AM	333-113751	02/06/2006	0	02/06/2006	1	3	02/10/2006	P2	02/16/2006	E3
	•	<u>10-Q</u>	001-08696	12/12/2005	0	12/12/2005	10/31/2005			-	10/30/2006	СХ
□         ▶         DEF 14A         001-08696         11/28/2005         0         11/28/2005         01/17/2006         11/28/2005         0	•	<u>8-K</u>	001-08696	12/12/2005	2	12/12/2005	12/12/2005		1			
	•	DEF 14A	001-08696	11/28/2005	0	11/28/2005	01/17/2006		1		11/28/2005	СХ
						1			1			1

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	•	<u>8-K</u>	001-08696	11/25/2005	2	11/25/2005	11/25/2005				_	
	•	<u>8-K</u>	001-08696	11/02/2005	2	11/02/2005	11/02/2005					
	•	<u>8-K</u>	001-08696	10/20/2005	2	10/20/2005	10/14/2005					
	•	<u>10-K</u>	001-08696	10/13/2005	0	10/13/2005	07/31/2005				10/30/2006	СХ
	•	<u>8-K</u>	001-08696	10/11/2005	2	10/11/2005	10/11/2005					
	•	<u>8-K</u>	001-08696	10/03/2005	2	10/03/2005	10/03/2005					
	•	<u>8-K</u>	001-08696	09/14/2005	2	09/14/2005	09/14/2005					
	٠	<u>8-K</u>	001-08696	08/16/2005	2	08/15/2005	08/10/2005					
	٠	<u>8-K</u>	001-08696	08/03/2005	2	08/03/2005	07/26/2005					
	•	<u>8-K</u>	001-08696	06/30/2005	2	06/30/2005	06/27/2005					
	•	<u>8-K</u>	001-08696	06/23/2005	2	06/23/2005	06/23/2005					
	٠	<u>8-K</u>	001-08696	06/17/2005	2	06/17/2005	06/14/2005					
	٠	<u>8-K</u>	001-08696	06/15/2005	3	06/15/2005	06/14/2005					
	•	<u>10-Q</u>	001-08696	06/14/2005	0	06/14/2005	04/30/2005				10/13/2005	СХ
	•	<u>424B3</u>	<u>333-113751</u>	03/28/2005	0	03/28/2005						
	٠	SC 13D/A	005-30128	03/22/2005	0	03/22/2005						
	٠	<u>8-K</u>	001-08696	03/17/2005	2	03/17/2005	03/14/2005					
	٠	<u>10-Q</u>	001-08696	03/17/2005	0	03/17/2005	01/31/2005				10/13/2005	СХ
	٠	POS AM	<u>333-113751</u>	02/15/2005	0	02/15/2005		4	03/16/2005	P1	03/24/2005	E4
	٠	<u>8-K</u>	001-08696	01/21/2005	3	01/21/2005	01/14/2005					
	٠	<u>8-K</u>	001-08696	01/21/2005	1	01/21/2005	11/15/2004					
	٠	<u>8-K</u>	001-08696	01/03/2005	2	01/03/2005	12/29/2004					
	٠	<u>8-K</u>	001-08696	12/20/2004	2	12/20/2004	12/15/2004					
	٠	<u>8-K</u>	001-08696	12/15/2004	2	12/15/2004	12/13/2004					
	٠	<u>10-Q</u>	001-08696	12/14/2004	0	12/14/2004	10/31/2004				10/13/2005	СХ
	٠	<u>ARS</u>	001-08696	12/06/2004	0	12/06/2004	07/31/2004				12/06/2004	сх
	٠	<u>8-K</u>	001-08696	11/24/2004	2	11/24/2004	11/23/2004					
	٠	DEF 14A	001-08696	11/24/2004	0	11/24/2004	01/14/2005				11/24/2004	СХ
	٠	<u>8-K</u>	001-08696	11/24/2004	2	11/24/2004	11/19/2004					
	٠	<u>S-8 POS</u>	033-44612	11/03/2004	0	11/03/2004					11/03/2004	EX
	٠	<u>10-K</u>	001-08696	10/29/2004	0	10/29/2004	07/31/2004				10/13/2005	сх
	٠	<u>8-K</u>	001-08696	10/19/2004	2	10/19/2004	10/14/2004					
	•	<u>8-K</u>	001-08696	10/14/2004	2	10/13/2004	10/13/2004					
	٠	<u>8-K</u>	001-08696	09/29/2004	2	09/29/2004	09/27/2004					
	•	<u>8-K</u>	001-08696	08/17/2004	2	08/17/2004	08/16/2004				]	
	•	<u>8-K</u>	001-08696	08/12/2004	2	08/12/2004	08/11/2004					
	•	<u>8-K</u>	001-08696	08/06/2004	2	08/06/2004	08/05/2004					
	•	<u>8-K</u>	001-08696	06/14/2004	1	06/14/2004	06/10/2004				]	
	•	<u>10-Q</u>	001-08696	06/14/2004	0	06/14/2004	04/30/2004				10/29/2004	СХ
	•	<u>8-K</u>	001-08696	06/09/2004	2	06/09/2004	06/08/2004		]			,
	•	<u>8-K</u>	001-08696	05/10/2004	2	05/10/2004	05/03/2004		1	-	]	
	•	<u>424B3</u>	333-113751	05/06/2004	0	05/06/2004			1		1	
	•	<u>S-1/A</u>	333-113751	05/04/2004	0	05/04/2004	1	4	05/04/2004	P2	05/06/2004	E4
	•	<u>8-K</u>	001-08696	04/20/2004	2	04/19/2004	04/19/2004					,
	•	<u>S-1</u>	333-113751	03/19/2004	0	03/19/2004		4	04/19/2004	P1	05/06/2005	E4
							1			•		

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	•	<u>8-K</u>	001-08696	03/17/2004	1	03/17/2004	03/16/2004		-		-	
	•	<u>10-Q</u>	001-08696	03/16/2004	0	03/16/2004	01/31/2004				10/29/2004	СХ
	<u> </u>	<u>8-K</u>	001-08696	02/27/2004	2	02/27/2004	02/27/2004					
	<u> </u>	<u>8-K</u>	001-08696	02/12/2004	2	02/12/2004	02/12/2004					
	•	<u>8-K</u>	001-08696	01/29/2004	2	01/29/2004	01/23/2004				<u> </u>	
	•	SC 13D/A	005-30128	12/22/2003	0	12/22/2003	]					
	•	<u>8-K</u>	001-08696	12/15/2003	1	12/15/2003	10/31/2003				_	
	•	<u>10-Q</u>	001-08696	12/15/2003	0	12/15/2003	10/31/2003				10/29/2004	СХ
	•	<u>ARS</u>	001-08696	11/28/2003	0	11/28/2003	07/31/2003				11/28/2003	СХ
	•	DEF 14A	001-08696	11/24/2003	0	11/24/2003	01/16/2004				11/24/2003	СХ
	•	<u>8-K</u>	001-08696	11/10/2003	3	11/10/2003	10/30/2003					
	•	<u>8-K</u>	001-08696	10/31/2003	1	10/31/2003	10/29/2003					
	•	<u>10-K</u>	001-08696	10/29/2003	0	10/29/2003	07/31/2003				10/29/2004	СХ
	•	<u>8-K</u>	001-08696	10/22/2003	2	10/22/2003	10/17/2003					
	٠	<u>8-K/A</u>	001-08696	10/07/2003	2	10/07/2003	09/02/2003					
	٠	<u>8-K/A</u>	001-08696	10/03/2003	2	10/03/2003	09/02/2003					
	٠	<u>8-K/A</u>	001-08696	09/19/2003	2	09/19/2003	09/02/2003					
	٠	<u>8-K</u>	001-08696	09/16/2003	1	09/16/2003	09/16/2003					
	٠	<u>8-K</u>	001-08696	09/10/2003	1	09/09/2003	09/02/2003	1	09/12/2003	P1	10/16/2003	C1
	٠	<u>8-K</u>	001-08696	09/04/2003	2	09/04/2003	09/04/2003					
	•	<u>8-K</u>	001-08696	07/02/2003	2	07/02/2003	07/02/2003					
	•	<u>8-K</u>	001-08696	06/16/2003	2	06/16/2003	06/12/2003					-
	•	<u>10-Q</u>	001-08696	06/11/2003	0	06/11/2003	04/30/2003				10/29/2003	СХ
	•	<u>8-K</u>	001-08696	06/10/2003	1	06/10/2003	06/10/2003					•
	•	<u>8-K</u>	001-08696	05/28/2003	3	05/28/2003	05/19/2003				]	
	•	<u>10-Q/A</u>	001-08696	03/17/2003	0	03/17/2003	01/31/2003				]	-
	٠	<u>10-Q</u>	001-08696	03/17/2003	0	03/17/2003	01/31/2003				10/29/2003	СХ
	•	<u>8-K</u>	001-08696	02/21/2003	1	02/21/2003	02/07/2003					•
	•	<u>S-8</u>	333-102798	01/29/2003	0	01/29/2003		•			01/29/2003	EX
	•	SC 13D/A	005-08250	01/06/2003	0	01/06/2003	]					•
	•	ARS	001-08696	12/23/2002	0	12/23/2002	07/31/2002				12/23/2002	СХ
	•	DEF 14A	001-08696	12/19/2002	0	12/19/2002	01/24/2002				12/19/2002	СХ
	•	<u>10-Q</u>	001-08696	12/16/2002	0	12/16/2002	10/31/2002				10/29/2003	СХ
	•	<u>10-K/A</u>	001-08696	11/18/2002	0	11/18/2002	07/31/2002					-!
	•	<u>10-K</u>	001-08696	10/30/2002	0	10/30/2002	07/31/2002				10/29/2003	СХ
	•	<u>8-K</u>	001-08696	08/16/2002	1	08/16/2002	08/13/2002					
	•	<u>8-K</u>	001-08696	08/06/2002	1	08/06/2002	07/16/2002				1	
	•	<u>8-K</u>	001-08696	07/25/2002	1	07/25/2002	07/23/2002		1		1	
	•	<u>8-K</u>	001-08696	06/20/2002	2	06/20/2002	07/17/2002		1		1	
	•	<u>10-Q</u>	001-08696	06/14/2002	0	06/14/2002	04/30/2002		1		10/30/2002	СХ
	•	<u>10-Q</u>	001-08696	03/18/2002	0	03/18/2002	01/31/2002		1		10/30/2002	СХ
	•	<u>S-8</u>	333-81456	01/28/2002	0	01/28/2002			1		01/28/2002	EX
	•	AR/S	001-08696	12/20/2001	0	12/20/2001	07/31/2001		1		12/20/2001	СХ
	•	DEFA14A	001-08696	12/19/2001	0	12/19/2001			1		12/19/2001	СХ
	•	DEF 14A	001-08696	12/19/2001	0	12/19/2001	01/18/2002		1		12/19/2001	СХ
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S.S.P.OS   033-10528	_		l	l	l	l.	l	l l
S.B.P.OS   033-10528   11/09/2001   0	뷔	•						
10-KA								07/31/2001
10.K								
SC 13B/A   005-08250   09/25/2001   0   09/25/2001     10-Q   001-08696   06/14/2001   0   06/14/2001     2-R   2-R   2-R   2-R   2-R   2-R     333-58612   04/10/2001   0   04/10/2001     348/S   001-08696   12/21/2000   0   12/21/2000   12/21/2000     348/S   001-08696   12/21/2000   0   12/21/2000   07/31/2000     348/S   001-08696   12/21/2000   0   12/21/2000   07/31/2000     348/S   001-08696   12/21/2000   0   12/21/2000   07/31/2000     4   10-Q   001-08696   12/21/2000   0   12/21/2000   07/31/2000     5   10-Q   001-08696   12/21/2000   0   10/21/2000   07/31/2000     6   10-Q   001-08696   03/16/2000   0   05/14/2000   0   07/31/2000     5   10-Q   001-08696   03/16/2000   0   05/14/2000   0   07/31/2000     5   10-Q   001-08696   03/16/2000   0   03/15/2000   0   07/31/2000     6   10-Q   001-08696   03/16/2000   0   03/15/2000   0   07/31/2000     7   10-Q   001-08696   03/16/2000   0   03/15/2000   0   07/31/2000     8   10-Q   001-08696   03/16/2000   0   03/13/2000   0   07/31/2000     9   10-Q   001-08696   07/21/21/999   0   12/22/1999   0   12/22/1999   0   12/22/1999   0   12/22/1999   0   12/22/1999   0   12/21/1999   0   12/21/1999   0   12/21/1999   0   12/21/1999   0   12/21/1999     9   10-Q   001-08696   12/21/1999   0   12/21/1999   0   12/21/1999   0   10/31/1999     9   10-R   400-08696   12/21/1999   0   10/28/1999   0   10/28/1999   0   10/28/1999     9   10-R   001-08696   06/14/1999   0   03/16/1999   0   07/31/1999     9   10-Q   001-08696   06/14/1999   0   03/16/1999   0   07/31/1998     9   10-R   001-08696   06/14/1999   0   03/16/1999   0   07/31/1998     9   10-R   001-08696   06/14/1999   0   03/16/1999   0   07/31/1998     9   10-R   001-08696   07/31/1998   0   07/31/1998   0   07/31/1998     9   10-R   001-08696   07/31/1998   0   07/31/1998   0   07/31/1998     9   10-R   001-08696   07/31/1998   0   07/31/1998   0   07/31/1998     9   10-Q   001-08696   07/31/1998   0   07/31/1998   0   07/31/1998     9   10-Q   001-08696   07/31/1998   0   07/31/1998   0   07/31/1		•	<u>10-K/A</u>		11/09/2001		11/09/2001	07/31/2001
10-Q   001-08696   06/14/2001   0   06/14/2001   0   04/10/2001		•	<u>10-K</u>	001-08696	10/29/2001	0	10/29/2001	07/31/2001
▶ S.8.         333-58512         04/10/2001         0         04/10/2001           ▶ 10-Q         001-08695         03/16/2001         0         03/16/2001         0           ▶ 3-K         001-08696         12/21/2000         1         12/21/2000         1           ▶ AR/S         001-08696         12/21/2000         0         12/21/2000         0           ▶ DEF 14A         001-08696         12/21/2000         0         12/21/2000         0/1/31/2000           ▶ 10-Q         001-08696         12/21/2000         0         12/15/2000         10/31/2000           ▶ 10-Q         001-08696         10/27/2000         0         10/27/2000         0/31/2000           ▶ 10-Q         001-08696         10/27/2000         0         05/14/2000         0         04/30/2000           ▶ 5C 13G         005-08250         02/03/2000         0         02/03/2000         0         03/31/2000           ▶ S.8.         333-95763         01/31/2000         0         01/31/2000         0         03/31/2000           ▶ AR/S         001-08696         12/22/1999         0         12/22/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0		•	SC 13D/A	005-08250	09/25/2001	0	09/25/2001	
No.   10-Q   001-08696   03/16/2001   0   03/16/2001   0   03/16/2001   0   03/16/2001   0   03/16/2001   0   03/16/2001   0   03/16/2001   0   03/16/2001   0   03/16/2001   0   03/16/2001   0   03/16/2001   0   03/16/2000		•	<u>10-Q</u>	001-08696	06/14/2001	0	06/14/2001	04/30/2001
No.   No.		•	<u>S-8</u>	333-58612	04/10/2001	0	04/10/2001	
▶         AR/S         001-08696         12/21/2000         0         12/21/2000         07/31/2000           ▶         DEF 14A         001-08696         12/20/2000         0         12/20/2000         01/19/2001           ▶         10-Q         001-08696         12/15/2000         0         12/15/2000         10/31/2000           ▶         10-Q         001-08696         10/27/2000         0         06/14/2000         0         06/14/2000         0         04/30/2000           ▶         10-Q         001-08696         03/16/2000         0         03/16/2000         0         03/16/2000         0         10/31/2000           ▶         2C.13G         005-08250         02/03/2000         0         0         01/31/2000         0         13/31/2000           ▶         2.8         333-95763         01/31/2000         0         0         12/29/1999         0         12/29/1999         0         12/29/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999		•	<u>10-Q</u>	001-08696	03/16/2001	0	03/16/2001	01/31/2001
▶         DEF 14A         001-08696         12/20/2000         0         12/20/2000         01/19/2001           ▶         10-Q         001-08696         12/15/2000         0         12/15/2000         0         10/31/2000           ▶         10-K405         001-08696         10/27/2000         0         10/27/2000         07/31/2000           ▶         10-Q         001-08696         06/14/2000         0         06/14/2000         0         04/30/2000           ▶         10-Q         001-08696         03/16/2000         0         02/03/2000         0         13/12000           ▶         5-8         333-95763         01/31/2000         0         01/31/2000         0         12/29/1999         0         12/29/1999         0         12/29/1999         0         12/29/1999         0         12/29/1999         0         12/29/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/2		•	<u>8-K</u>	001-08696	12/21/2000	1	12/21/2000	12/21/2000
No.   10.		•	AR/S	001-08696	12/21/2000	0	12/21/2000	07/31/2000
▶         10-K405         001-08696         10/27/2000         0         10/27/2000         07/31/2000           ▶         10-Q         001-08696         06/14/2000         0         06/14/2000         04/30/2000           ▶         10-Q         001-08696         03/16/2000         0         03/16/2000         0         01/31/2000           ▶         Sc 13G         005-08250         02/03/2000         0         02/03/2000         0           ▶         Sc 13G         005-08250         02/03/2000         0         01/31/2000         0           ▶         Sc 13G         005-08250         12/29/1999         0         12/29/1999         08/31/1999           ▶         DEF 14A         001-08696         12/21/1999         0         12/21/1999         0         12/21/1999         0         12/10/1999         0         12/10/1999         0         12/10/1999         0         12/10/1999         0         12/10/1999         0         12/10/1999         0         12/10/1999         0         12/10/1999         0         12/10/1999         0         12/10/1999         0         12/10/1999         0         12/10/1999         0         12/10/1999         0         12/10/1999         0         12		•	DEF 14A	001-08696	12/20/2000	0	12/20/2000	01/19/2001
Note		•	<u>10-Q</u>	001-08696	12/15/2000	0	12/15/2000	10/31/2000
▶ 10-Q         001-08696         03/16/2000         0         03/16/2000         01/31/2000           ▶ 5C 13G         005-08250         02/03/2000         0         02/03/2000           ▶ 5-8         333-95763         01/31/2000         0         12/29/1999         08/31/1999           ▶ AR/S         001-08696         12/29/1999         0         12/22/1999         04/27/2000           ▶ DEF 14A         001-08696         12/14/1999         0         12/14/1999         10/31/1999           ▶ SC 13D         005-08250         12/10/1999         0         12/10/1999         0/27/2000         3           ▶ PRE 14A         001-08696         12/20/1/1999         0         12/20/1/1999         0/27/2000         3           ▶ PRE 14A         001-08696         10/28/1999         0         12/28/1999         0/27/2000         3           ▶ 10-Q         001-08696         10/28/1999         0         0/214/1999         0/27/30/1999         0/27/30/1999           ▶ 8-K         001-08696         06/14/1999         0         06/14/1999         0/27/30/1999         0/27/30/1999           ▶ 10-Q         001-08696         03/16/1999         0         02/111/1999         0/27/31/1999           ▶ DEF 14A </th <th></th> <th>•</th> <th><u>10-K405</u></th> <th>001-08696</th> <th>10/27/2000</th> <th>0</th> <th>10/27/2000</th> <th>07/31/2000</th>		•	<u>10-K405</u>	001-08696	10/27/2000	0	10/27/2000	07/31/2000
▶         SC 13G         005-08250         02/03/2000         0         02/03/2000         0         02/03/2000         0         02/03/2000         0         02/03/2000         0         02/03/2000         0         02/03/2000         0         02/03/2000         0         02/03/2000         0         02/03/2000         0         02/03/2000         0         02/03/2000         0         02/03/2000         0         02/03/2000         0<		•	<u>10-Q</u>	001-08696	06/14/2000	0	06/14/2000	04/30/2000
▶ S-8         333-95763         01/31/2000         0         01/31/2000           ▶ AR/S         001-08696         12/29/1999         0         12/29/1999         08/31/1999           ▶ DEF 14A         001-08696         12/22/1999         0         12/24/1999         01/27/2000           ▶ 10-Q         001-08696         12/14/1999         0         12/14/1999         10/31/1999           ▶ SC 13D         005-08250         12/10/1999         0         12/10/1999         0         12/10/1999           ▶ PRE 14A         001-08696         12/01/1999         0         12/01/1999         01/27/2000         3           ▶ 10-K405         001-08696         10/28/1999         0         10/28/1999         07/31/1999         0           ▶ 10-Q         001-08696         06/14/1999         0         06/14/1999         04/30/1999         0           ▶ 10-Q         001-08696         06/10/1999         1         06/10/1999         01/31/1999         0           ▶ 25 13G         005-08250         02/11/1999         0         02/11/1999         0         01/12/1999         0         01/12/1999         07/31/1998           ▶ DEF 14A         001-08696         01/12/1999         0         01/12/1999		•	<u>10-Q</u>	001-08696	03/16/2000	0	03/16/2000	01/31/2000
N AR/S         001-08696         12/29/1999         0         12/29/1999         08/31/1999           N DEF 14A         001-08696         12/22/1999         0         12/22/1999         01/27/2000           N 10-Q         001-08696         12/14/1999         0         12/14/1999         10/31/1999           N 2C 13D         005-08250         12/10/1999         0         12/10/1999         0         12/10/1999         0           N PRE 14A         001-08696         12/01/1999         0         12/01/1999         01/27/2000         3           N 10-K405         001-08696         10/28/1999         0         10/28/1999         07/31/1999         0           N 10-Q         001-08696         06/10/1999         1         06/10/1999         0         03/16/1999         0         05/28/1999         0         07/31/1999         0         02/11/1999         0         02/11/1999         0         03/16/1999         0         03/16/1999         0         03/16/1999         0         03/16/1999         0         03/16/1999         0         03/16/1999         0         03/11/1999         0         02/11/1999         0         02/11/1999         0         02/11/1999         0         01/11/1999         0		•	<u>SC 13G</u>	005-08250	02/03/2000	0	02/03/2000	
▶ DEF 14A         001-08696         12/22/1999         0         12/22/1999         01/27/2000           ▶ 10-Q         001-08696         12/14/1999         0         12/14/1999         10/31/1999           ▶ SC 13D         005-08250         12/10/1999         0         12/10/1999         0           ▶ PRE 14A         001-08696         12/20/1/1999         0         12/20/1/1999         01/27/2000         3           ▶ 10-Q         001-08696         10/28/1999         0         10/28/1999         07/31/1999         0         06/14/1999         04/30/1999         0           ▶ 10-Q         001-08696         06/10/1999         1         06/10/1999         05/28/1999         0         03/16/1999         0         03/16/1999         0         03/16/1999         0         03/16/1999         0         03/16/1999         0         03/16/1999         0         03/16/1999         0         03/16/1999         0         03/16/1999         0         03/16/1999         0         03/16/1999         0         03/16/1999         0         03/11/1999         0         03/11/1999         0         03/11/1999         0         03/11/1999         0         03/11/1999         0         03/11/1999         0         03/11/1999		•	<u>S-8</u>	333-95763	01/31/2000	0	01/31/2000	
▶ 10-Q         001-08696         12/14/1999         0         12/14/1999         10/31/1999           ▶ SC 13D         005-08250         12/10/1999         0         12/10/1999         0         12/10/1999           ▶ PRE 14A         001-08696         12/01/1999         0         12/01/1999         01/28/1999         07/31/1999           ▶ 10-Q         001-08696         10/28/1999         0         06/14/1999         04/30/1999           ▶ 8-K         001-08696         06/10/1999         1         06/10/1999         04/30/1999           ▶ 10-Q         001-08696         03/16/1999         0         03/16/1999         01/31/1999           ▶ 10-Q         001-08696         03/16/1999         0         02/11/1999         01/31/1999           ▶ 2C 13G         005-08250         02/11/1999         0         02/11/1999         07/31/1998           ▶ DEF 14A         001-08696         01/12/1999         0         01/12/1999         07/31/1998           ▶ 10-Q         001-08696         11/24/1998         0         11/24/1998         0         02/11/1999           ▶ 10-K/A         001-08696         11/24/1998         0         11/24/1998         07/31/1998           ▶ 10-Q         001-08696		•	AR/S	001-08696	12/29/1999	0	12/29/1999	08/31/1999
Note		٠	DEF 14A	001-08696	12/22/1999	0	12/22/1999	01/27/2000
PRE 14A		•	<u>10-Q</u>	001-08696	12/14/1999	0	12/14/1999	10/31/1999
I →         10-K405         001-08696         10/28/1999         0         10/28/1999         07/31/1999           I →         10-Q         001-08696         06/14/1999         0         06/14/1999         04/30/1999           I →         8-K         001-08696         06/10/1999         1         06/10/1999         05/28/1999           I →         10-Q         001-08696         03/16/1999         0         03/16/1999         01/31/1999           I →         SC 13G         005-08250         02/11/1999         0         02/11/1999         0           I →         AR/S         001-08696         01/11/1999         0         01/11/1999         07/31/1998           I →         DEF 14A         001-08696         01/11/1998         0         01/11/1999         07/31/1998           I →         10-Q         001-08696         12/14/1998         0         11/24/1998         0         11/24/1998         0         11/24/1998         0         11/24/1998         0         11/24/1998         0         11/24/1998         0         11/24/1998         0         11/24/1998         0         11/24/1998         0         11/24/1998         0         10/28/1998         0         07/31/1998         0 <th< th=""><th></th><th>•</th><th>SC 13D</th><th>005-08250</th><th>12/10/1999</th><th>0</th><th>12/10/1999</th><th></th></th<>		•	SC 13D	005-08250	12/10/1999	0	12/10/1999	
I ►         10-Q         001-08696         06/14/1999         0         06/14/1999         04/30/1999           I ►         10-Q         001-08696         06/10/1999         1         06/10/1999         05/28/1999           I ►         10-Q         001-08696         03/16/1999         0         03/16/1999         01/31/1999           I ►         SC 13G         005-08250         02/11/1999         0         02/11/1999         0           I ►         AR/S         001-08696         01/12/1999         0         01/12/1999         07/31/1998           I ►         DEF 14A         001-08696         01/11/1999         0         01/11/1999         07/31/1998           I ►         10-Q         001-08696         12/14/1998         0         11/24/1998         0         10/31/1998           I ►         10-K         001-08696         10/28/1998         0         10/28/1998         07/31/1998           I ►         10-Q         001-08696         10/07/1998         0         10/07/1998         08/31/1998           I ►         10-Q         001-08696         05/15/1998         0         06/15/1998         0         01/31/1998           I ►         25E         333-49095 <th< th=""><th></th><th>•</th><th>PRE 14A</th><th>001-08696</th><th>12/01/1999</th><th>0</th><th>12/01/1999</th><th>01/27/2000 3</th></th<>		•	PRE 14A	001-08696	12/01/1999	0	12/01/1999	01/27/2000 3
▶         8-K         001-08696         06/10/1999         1         06/10/1999         05/28/1999           ▶         10-Q         001-08696         03/16/1999         0         03/16/1999         01/31/1999           ▶         SC 13G         005-08250         02/11/1999         0         02/11/1999         07/31/1998           ▶         AR/S         001-08696         01/11/1999         0         01/11/1999         07/31/1998           ▶         DEF 14A         001-08696         01/11/1999         0         01/11/1999         07/31/1998           ▶         10-Q         001-08696         12/14/1998         0         12/14/1998         10/31/1998           ▶         10-K/A         001-08696         11/24/1998         0         11/24/1998         07/31/1998           ▶         10-K         001-08696         10/28/1998         0         10/28/1998         07/31/1998           ▶         10-Q         001-08696         10/07/1998         0         10/07/1998         08/31/1998           ▶         10-Q         001-08696         03/17/1998         0         04/01/1998         0           ▶         10-Q         001-08696         03/03/1998         0         03/03/1998		•	<u>10-K405</u>	001-08696	10/28/1999	0	10/28/1999	07/31/1999
▶         10-Q         001-08696         03/16/1999         0         03/16/1999         01/31/1999           ▶         SC 13G         005-08250         02/11/1999         0         02/11/1999         0           ▶         AR/S         001-08696         01/12/1999         0         01/12/1999         07/31/1998           ▶         DEF 14A         001-08696         01/11/1999         0         01/11/1999         02/12/1999           ▶         10-Q         001-08696         12/14/1998         0         12/14/1998         10/31/1998           ▶         10-K/A         001-08696         11/24/1998         0         11/24/1998         07/31/1998           ▶         10-K         001-08696         10/28/1998         0         10/28/1998         07/31/1998           ▶         10-Q         001-08696         10/07/1998         0         06/15/1998         04/30/1998           ▶         10-Q         001-08696         03/17/1998         0         03/17/1998         01/31/1998           ▶         DEFR14A         001-08696         03/303/1998         0         03/303/1998           ▶         DEF 14A         001-08696         02/10/1998         0         02/10/1998		•	<u>10-Q</u>	001-08696	06/14/1999	0	06/14/1999	04/30/1999
▶         SC 13G         005-08250         02/11/1999         0         02/11/1999           ▶         AR/S         001-08696         01/12/1999         0         01/12/1999         07/31/1998           ▶         DEF 14A         001-08696         01/11/1999         0         01/11/1999         02/12/1999           ▶         10-Q         001-08696         12/14/1998         0         12/14/1998         10/31/1998           ▶         10-K/A         001-08696         11/24/1998         0         11/24/1998         07/31/1998           ▶         10-K         001-08696         10/08/1998         0         10/08/1998         07/31/1998           ▶         NO ACT         001-08696         10/07/1998         0         10/07/1998         08/31/1998           ▶         10-Q         001-08696         06/15/1998         0         06/15/1998         04/30/1998           ▶         5-8         333-49095         04/01/1998         0         03/17/1998         01/31/1998           ▶         10-Q         001-08696         03/03/1998         0         03/03/1998         0           ▶         DEF 14A         001-08696         02/10/1998         0         02/10/1998         07/31		•	<u>8-K</u>	001-08696	06/10/1999	1	06/10/1999	05/28/1999
▶       AR/S       001-08696       01/12/1999       0       01/12/1999       07/31/1998         I ▶       DEF 14A       001-08696       01/11/1999       0       01/11/1999       02/12/1999         I ▶       10-Q       001-08696       12/14/1998       0       12/14/1998       10/31/1998         I ▶       10-K/A       001-08696       11/24/1998       0       11/24/1998       07/31/1998         I ▶       10-K       001-08696       10/28/1998       0       10/28/1998       07/31/1998         I ▶       NO ACT       001-08696       10/07/1998       0       10/07/1998       08/31/1998         I ▶       10-Q       001-08696       06/15/1998       0       06/15/1998       04/30/1998         I ▶       10-Q       001-08696       03/17/1998       0       03/17/1998       01/31/1998         I ▶       DEFR14A       001-08696       02/17/1998       0       02/17/1998       03/31/1998         I ▶       DEF 14A       001-08696       02/10/1998       0       02/10/1998         I ▶       AR/S       001-08696       02/05/1998       0       02/10/1998       07/31/1997         I ▶       DEF 14A       001-08696       12/1		•	<u>10-Q</u>	001-08696	03/16/1999	0	03/16/1999	01/31/1999
▶         DEF 14A         001-08696         01/11/1999         0         01/11/1999         02/12/1999           ▶         10-Q         001-08696         12/14/1998         0         12/14/1998         10/31/1998           ▶         10-K/A         001-08696         11/24/1998         0         11/24/1998         07/31/1998           ▶         10-K         001-08696         10/07/1998         0         10/28/1998         07/31/1998           ▶         NO ACT         001-08696         10/07/1998         0         10/07/1998         08/31/1998           ▶         10-Q         001-08696         06/15/1998         0         06/15/1998         04/30/1998           ▶         5-8         333-49095         04/01/1998         0         03/17/1998         01/31/1998           ▶         10-Q         001-08696         03/17/1998         0         03/317/1998         01/31/1998           ▶         DEFR14A         001-08696         02/17/1998         0         02/17/1998         03/31/1998           ▶         C13G         005-08250         02/10/1998         0         02/10/1998         0           ▶         AR/S         001-08696         02/05/1998         0         02/05/		•	SC 13G	005-08250	02/11/1999	0	02/11/1999	
▶ 10-Q       001-08696       12/14/1998       0       12/14/1998       10/31/1998         ▶ 10-K/A       001-08696       11/24/1998       0       11/24/1998       07/31/1998         ▶ 10-K       001-08696       10/28/1998       0       10/28/1998       07/31/1998         ▶ NO ACT       001-08696       10/07/1998       0       10/07/1998       08/31/1998         ▶ 10-Q       001-08696       06/15/1998       0       06/15/1998       04/30/1998         ▶ S-8       333-49095       04/01/1998       0       03/17/1998       01/31/1998         ▶ 10-Q       001-08696       03/17/1998       0       03/03/1998       01/31/1998         ▶ DEFR14A       001-08696       03/03/1998       0       02/17/1998       03/31/1998         ▶ SC 13G       005-08250       02/10/1998       0       02/10/1998       07/31/1997         ▶ AR/S       001-08696       12/15/1997       0       12/15/1997       10/31/1997         ▶ DEF 14A       001-08696       12/15/1997       0       11/17/1997         ▶ BC 13D       005-08250       11/17/1997       0       11/13/1997         ▶ DEF 14A       001-08696       11/13/1997       0       11/13/1997		•	AR/S	001-08696	01/12/1999	0	01/12/1999	07/31/1998
I D-K/A       001-08696       11/24/1998       0       11/24/1998       07/31/1998         I D-K       001-08696       10/28/1998       0       10/28/1998       07/31/1998         I NO ACT       001-08696       10/07/1998       0       10/07/1998       08/31/1998         I D-Q       001-08696       06/15/1998       0       06/15/1998       04/30/1998         I P S-8       333-49095       04/01/1998       0       04/01/1998         I P D-Q       001-08696       03/17/1998       0       03/17/1998       01/31/1998         I P DEFR14A       001-08696       02/17/1998       0       02/17/1998       03/31/1998         I P SC 13G       005-08250       02/10/1998       0       02/10/1998       07/31/1997         I P 10-Q       001-08696       02/05/1998       0       02/05/1998       07/31/1997         I P 10-Q       001-08696       12/15/1997       0       11/17/1997         I P DEF 14A       001-08696       11/13/1997       0       11/13/1997         I P DEF 14A       001-08696       11/13/1997       0       11/13/1997		•	DEF 14A	001-08696	01/11/1999	0	01/11/1999	02/12/1999
▶       10-K       001-08696       10/28/1998       0       10/28/1998       07/31/1998         ▶       NO ACT       001-08696       10/07/1998       0       10/07/1998       08/31/1998         ▶       10-Q       001-08696       06/15/1998       0       04/01/1998       0         ▶       S-8       333-49095       04/01/1998       0       04/01/1998       0         ▶       10-Q       001-08696       03/17/1998       0       03/17/1998       01/31/1998         ▶       DEFR14A       001-08696       03/03/1998       0       03/03/1998       0         ▶       DEF 14A       001-08696       02/17/1998       0       02/17/1998       03/31/1998         ▶       SC 13G       005-08250       02/10/1998       0       02/10/1998       0       07/31/1997         ▶       AR/S       001-08696       12/15/1997       0       12/15/1997       10/31/1997         ▶       DEF 14A       001-08696       11/17/1997       0       11/17/1997         ▶       DEF 14A       001-08696       11/13/1997       0       11/13/1997		•	<u>10-Q</u>	001-08696	12/14/1998	0	12/14/1998	10/31/1998
I → NO ACT       001-08696       10/07/1998       0       10/07/1998       08/31/1998         I → 10-Q       001-08696       06/15/1998       0       06/15/1998       04/30/1998         I → S-8       333-49095       04/01/1998       0       04/01/1998         I → 10-Q       001-08696       03/17/1998       0       03/17/1998       01/31/1998         I → DEFR14A       001-08696       02/17/1998       0       02/17/1998       03/31/1998         I → SC 13G       005-08250       02/10/1998       0       02/10/1998       07/31/1997         I → AR/S       001-08696       02/05/1998       0       02/05/1998       07/31/1997         I → 10-Q       001-08696       12/15/1997       0       12/15/1997       10/31/1997         I → DEF 14A       001-08696       11/17/1997       0       11/13/1997       12/19/1997		•	<u>10-K/A</u>	001-08696	11/24/1998	0	11/24/1998	07/31/1998
I → 10-Q       001-08696       06/15/1998       0       06/15/1998       04/30/1998         I → S-8       333-49095       04/01/1998       0       04/01/1998         I → 10-Q       001-08696       03/17/1998       0       03/17/1998       01/31/1998         I → DEFR14A       001-08696       03/03/1998       0       03/03/1998         I → DEF 14A       001-08696       02/17/1998       0       02/17/1998       03/31/1998         I → SC 13G       005-08250       02/10/1998       0       02/10/1998       07/31/1997         I → AR/S       001-08696       02/05/1998       0       02/05/1998       07/31/1997         I → 10-Q       001-08696       12/15/1997       0       12/15/1997       10/31/1997         I → SC 13D       005-08250       11/17/1997       0       11/17/1997         I → DEF 14A       001-08696       11/13/1997       0       11/13/1997		•	<u>10-K</u>	001-08696	10/28/1998	0	10/28/1998	07/31/1998
▶ S-8       333-49095       04/01/1998       0       04/01/1998         ▶ 10-Q       001-08696       03/17/1998       0       03/17/1998       01/31/1998         ▶ DEFR14A       001-08696       03/03/1998       0       02/17/1998       03/31/1998         ▶ SC 13G       005-08250       02/10/1998       0       02/10/1998         ▶ AR/S       001-08696       02/05/1998       0       02/05/1998       07/31/1997         ▶ 10-Q       001-08696       12/15/1997       0       12/15/1997       10/31/1997         ▶ SC 13D       005-08250       11/17/1997       0       11/17/1997         ▶ DEF 14A       001-08696       11/13/1997       0       11/13/1997		•	NO ACT	001-08696	10/07/1998	0	10/07/1998	08/31/1998
I ► 10-Q       001-08696       03/17/1998       0       03/17/1998       01/31/1998         I ► DEFR14A       001-08696       03/03/1998       0       03/03/1998         I ► DEF 14A       001-08696       02/17/1998       0       02/17/1998       03/31/1998         I ► SC 13G       005-08250       02/10/1998       0       02/10/1998       07/31/1997         I ► AR/S       001-08696       02/05/1998       0       02/05/1998       07/31/1997         I ► 10-Q       001-08696       12/15/1997       0       12/15/1997       10/31/1997         I ► SC 13D       005-08250       11/17/1997       0       11/17/1997         I ► DEF 14A       001-08696       11/13/1997       0       11/13/1997		•	<u>10-Q</u>	001-08696	06/15/1998	0	06/15/1998	04/30/1998
▶       DEFR14A       001-08696       03/03/1998       0       03/03/1998         ▶       DEF 14A       001-08696       02/17/1998       0       02/17/1998       03/31/1998         ▶       SC 13G       005-08250       02/10/1998       0       02/10/1998         ▶       AR/S       001-08696       02/05/1998       0       02/05/1998       07/31/1997         ▶       10-Q       001-08696       12/15/1997       0       12/15/1997       10/31/1997         ▶       SC 13D       005-08250       11/17/1997       0       11/17/1997         ▶       DEF 14A       001-08696       11/13/1997       0       11/13/1997       12/19/1997		•	<u>S-8</u>	333-49095	04/01/1998	0	04/01/1998	'
▶ DEF 14A       001-08696       02/17/1998       0       02/17/1998       03/31/1998         ▶ SC 13G       005-08250       02/10/1998       0       02/10/1998         ▶ AR/S       001-08696       02/05/1998       0       02/05/1998       07/31/1997         ▶ 10-Q       001-08696       12/15/1997       0       12/15/1997       10/31/1997         ▶ SC 13D       005-08250       11/17/1997       0       11/17/1997         ▶ DEF 14A       001-08696       11/13/1997       0       11/13/1997       12/19/1997		•	<u>10-Q</u>	001-08696	03/17/1998	0	03/17/1998	01/31/1998
▶ SC 13G       005-08250       02/10/1998       0       02/10/1998         ▶ AR/S       001-08696       02/05/1998       0       02/05/1998       07/31/1997         ▶ 10-Q       001-08696       12/15/1997       0       12/15/1997       10/31/1997         ▶ SC 13D       005-08250       11/17/1997       0       11/17/1997         ▶ DEF 14A       001-08696       11/13/1997       0       11/13/1997       12/19/1997		•	DEFR14A	001-08696	03/03/1998	0	03/03/1998	1
I       ▶       AR/S       001-08696       02/05/1998       0       02/05/1998       07/31/1997         I       ▶       10-Q       001-08696       12/15/1997       0       12/15/1997       10/31/1997         I       ▶       SC 13D       005-08250       11/17/1997       0       11/17/1997         I       ▶       DEF 14A       001-08696       11/13/1997       0       11/13/1997       12/19/1997		•	DEF 14A	001-08696	02/17/1998	0	02/17/1998	03/31/1998
I ► 10-Q       001-08696       12/15/1997       0       12/15/1997       10/31/1997         I ► SC 13D       005-08250       11/17/1997       0       11/17/1997         I ► DEF 14A       001-08696       11/13/1997       0       11/13/1997       12/19/1997		•	SC 13G	005-08250	02/10/1998	0	02/10/1998	
I     ▶     SC 13D     005-08250     11/17/1997     0     11/17/1997       I     ▶     DEF 14A     001-08696     11/13/1997     0     11/13/1997     12/19/1997		•	AR/S	001-08696	02/05/1998	0	02/05/1998	07/31/1997
DEF 14A         001-08696         11/13/1997         0         11/13/1997         12/19/1997		•	<u>10-Q</u>	001-08696	12/15/1997	0	12/15/1997	10/31/1997
		•	SC 13D	005-08250	11/17/1997	0	11/17/1997	
I         ▶         10-K         001-08696         10/29/1997         0         10/29/1997         07/31/1997		•	DEF 14A	001-08696	11/13/1997	0	11/13/1997	12/19/1997
		•	<u>10-K</u>	001-08696	10/29/1997	0	10/29/1997	07/31/1997

10/30/2002	сх
	•
 11/09/2001	EX
	I
10/30/2002	СХ
10/00/2002	
 10/20/2002	СХ
10/30/2002	
04/10/2001	EX
10/30/2002	СХ
12/21/2000	СХ
 12/20/2000	СХ
10/30/2002	СХ
10/30/2002	СХ
10/30/2002	СХ
 10/30/2002	СХ
01/31/2000	EX
12/29/1999	СХ
12/22/1999	СХ
10/30/2002	СХ
	l
12/10/1999	C3
10/30/2002	СХ
	СХ
 10/30/2002	l CX
10/20/2002	CV
 10/30/2002	СХ
01/12/1999	СХ
01/11/1999	СХ
10/30/2002	СХ
 10/30/2002	СХ
10/07/1998	СХ
11/06/1998	СХ
04/01/1998	EX
11/06/1998	СХ
03/03/1998	СХ
02/17/1998	СХ
02/05/1998	СХ
11/06/1998	СХ
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11/13/1997	СХ
11/06/1998	СХ
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	•	<u>PRE 14A</u>	001-08696	10/24/1997	0	10/24/1997	12/19/1997	3			10/27/1997	C3
	•	<u>10-Q</u>	001-08696	06/12/1997	0	06/12/1997	04/30/1997				11/07/1997	сх
	•	<u>10-Q</u>	001-08696	03/14/1997	0	03/14/1997	01/31/1997				11/07/1997	СХ
	•	<u>SC 13G</u>	005-08250	02/12/1997	0	02/11/1997						
	•	<u>S-8</u>	<u>333-18759</u>	12/24/1996	0	12/24/1996					12/24/1996	EX
	•	<u>10-Q</u>	001-08696	12/16/1996	0	12/16/1996	10/31/1996				11/07/1997	СХ
	•	DEF 14A	001-08696	11/19/1996	0	11/19/1996	12/20/1996				11/19/1996	СХ
	•	<u>8-K</u>	001-08696	11/18/1996	1	11/18/1996	11/08/1996					
	•	<u>10-K/A</u>	001-08696	10/31/1996	0	10/31/1996	07/31/1996					
	•	<u>10-K405</u>	001-08696	10/28/1996	0	10/28/1996	07/31/1996				11/07/1997	СХ
	•	<u>10-Q</u>	001-08696	06/13/1996	0	06/13/1996	04/30/1996				11/07/1996	СХ
	٠	<u>8-K/A</u>	001-08696	04/11/1996	1	04/11/1996	01/31/1996					
	٠	<u>10-Q/A</u>	001-08696	03/15/1996	0	03/15/1996	01/31/1996					
	•	<u>10-Q</u>	001-08696	03/14/1996	0	03/14/1996	01/31/1996				11/07/1996	СХ
	•	<u>8-K</u>	001-08696	02/12/1996	2	02/12/1996	01/31/1996					
	٠	<u>10-Q</u>	001-08696	12/13/1995	0	12/13/1995	10/31/1995				11/07/1996	сх
	٠	SC 13D/A	005-08250	11/17/1995	0	11/17/1995						
	٠	AR/S	001-08696	11/14/1995	0	11/14/1995	07/31/1995				11/14/1995	СХ
	٠	<u>S-8 POS</u>	<u>033-48081</u>	11/13/1995	0	11/13/1995					11/13/1995	EX
	٠	DEF 14A	001-08696	11/13/1995	0	11/13/1995	12/15/1995				11/13/1995	сх
	٠	<u>10-K405</u>	001-08696	10/26/1995	0	10/26/1995	07/31/1995				11/07/1996	СХ
	٠	SC 13D/A	005-08250	07/11/1995	0	07/11/1995						
	٠	<u>424B3</u>	033-60210	07/11/1995	0	07/11/1995						
	٠	<u>10-Q</u>	001-08696	06/13/1995	0	06/13/1995	04/30/1995				11/07/1995	СХ
	٠	<u>10-Q/A</u>	001-08696	05/16/1995	0	05/16/1995	01/31/1995					
	٠	<u>8-K/A</u>	001-08696	05/15/1995	1	05/15/1995	02/15/1995			•		
	٠	<u>8-K</u>	001-08696	04/27/1995	1	04/27/1995	04/17/1995	4	05/24/1995	P2	05/24/1995	C4
	٠	RW	033-90580	04/12/1995	0	04/12/1995					04/12/1995	сх
	٠	POS AM	033-48080	03/24/1995	0	03/24/1995		3	04/28/1995	P4	04/28/1995	C3
	٠	<u>S-3</u>	033-90580	03/24/1995	0	03/24/1995		1	04/14/1995	Р3	04/20/1995	WD
	٠	<u>10-Q</u>	001-08696	03/17/1995	0	03/17/1995	01/31/1995				11/07/1995	сх
	•	SC 13D/A	005-30128	03/14/1995	0	03/14/1995						
	•	<u>8-K</u>	001-08696	03/02/1995	2	03/02/1995	02/15/1995					
	٠	SC 13G/A	005-30128	02/16/1995	0	02/16/1995						
	•	<u>S-8</u>	033-87756	12/23/1994	0	12/23/1994					12/23/1994	EX
	•	<u>8-K</u>	001-08696	12/21/1994	1	12/21/1994	12/16/1994	4	01/04/1995	P2	01/04/1995	C4
	•	<u>10-Q</u>	001-08696	12/15/1994	0	12/15/1994	10/31/1994			•	11/07/1995	СХ
	٠	AR/S	001-08696	11/10/1994	0	11/10/1994	07/31/1994				11/10/1994	сх
	٠	DEF 14A	001-08696	11/10/1994	0	11/10/1994	12/16/1994				11/10/1994	сх
	•	<u>10-K405</u>	001-08696	10/28/1994	0	10/28/1994	07/31/1994	5	04/27/1995	P1	06/15/1995	C5
	•	PRE 14A	001-08696	10/20/1994	0	10/20/1994	12/16/1994	3			10/25/1994	C3
	•	SC 13D/A	005-30128	10/13/1994	0	10/13/1994			1			•
	•	<u>424B3</u>	033-60210	07/11/1994	0	07/11/1994						
	٠	<u>424C</u>	033-60210	07/11/1994	0	07/11/1994			]			
	•	<u>10-Q</u>	001-08696	06/14/1994	0	06/14/1994	04/30/1994				11/07/1994	СХ
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	<u> </u>	<u>10-Q</u>	001-08696	03/17/1994	0	03/17/1994	01/31/1994		-		11/07/1994	СХ
	<u> </u>	<u>424C</u>	033-48080	01/25/1994	0	01/25/1994	1		-		1	
	<u> </u>	<u>424B3</u>	033-48080	01/25/1994	0	01/25/1994			_		1	
	<u> </u>	<u>10-Q</u>	001-08696	12/15/1993	0	12/15/1993	10/31/1993				11/07/1994	СХ
	<u> </u>	DEF 14A	001-08696	11/10/1993	0	11/10/1993	12/17/1993				11/10/1993	СХ
	•	AR/S	001-08696	11/10/1993	0	11/10/1993	07/31/1993				11/10/1993	СХ
	•	<u>NT 10-K</u>	001-08696	10/28/1993	0	10/28/1993	07/31/1993				10/28/1993	СХ
	•	<u>8-K</u>	001-08696	10/14/1993	1	10/14/1993	09/30/1993	4	10/20/1993	P2	10/20/1993	C4
	•	<u>8-K</u>	001-08696	10/01/1993	1	10/01/1993	09/28/1993	4	10/08/1993	P2	10/08/1993	C4
	•	REGDEX/A	<u>021-10219-8B</u>	08/30/1993	2	08/30/1993					08/30/1993	СХ
	•	<u>424C</u>	033-60210	08/20/1993	0	08/20/1993						
	•	<u>424B3</u>	033-60210	08/20/1993	0	08/20/1993						
	•	<u>10-K405</u>	001-08696	07/31/1993	0	07/31/1993	07/31/1993				11/07/1994	СХ
	•	<u>8-K</u>	001-08696	07/29/1993	2	07/29/1993	07/21/1993					
	•	REGDEX	<u>021-10219-8B</u>	07/26/1993	2	07/26/1993					07/26/1993	сх
	٠	<u>8-K</u>	001-08696	07/16/1993	2	07/16/1993	07/09/1993	4	07/26/1993	P2	07/26/1993	C4
	٠	424B3	033-60210	07/08/1993	0	07/08/1993						
	•	<u>S-3/A</u>	033-60210	06/25/1993	0	06/25/1993		1	06/30/1993	P2	07/07/1993	E1
	•	<u>10-Q</u>	001-08696	06/14/1993	0	06/14/1993	04/30/1993				12/07/1993	СХ
	•	SCA 13D/A	005-30128	06/10/1993	0	06/10/1993						
	•	<u>10-Q/A</u>	001-08696	05/28/1993	0	05/28/1993	01/31/1993				1	
	•	<u>8-K/A</u>	001-08696	05/24/1993	1	05/24/1993	11/11/1992	4	06/08/1993	P2	06/08/1993	C4
	•	<u>10-K/A</u>	001-08696	05/24/1993	0	05/24/1993	07/31/1992			'		'
	•	10-Q/A	001-08696	05/24/1993	0	05/24/1993	10/31/1992				1	
	•	<u>S-3</u>	033-60210	04/05/1993	0	04/05/1993		1	05/14/1993	P1	07/07/1993	E1
	•	10-Q/A	001-08696	03/25/1993	0	03/25/1993	01/31/1992					-
	•	<u>10-Q</u>	001-08696	03/17/1993	0	03/17/1993	01/31/1993				12/07/1993	СХ
	•	<u>8-K</u>	001-08696	02/26/1993	2	02/26/1993	02/12/1993	4	05/07/1993	P2	05/07/1993	C4
	•	SCH 13G/A	005-30128	02/17/1993	0	02/17/1993						
	•	<u>8-K</u>	001-08696	02/08/1993	1	02/08/1993	02/05/1993	4	02/12/1993	P2	02/12/1993	C4
	•	SCA 13D/A	005-30128	12/30/1992	0	12/30/1992				-1		1
	•	SCA 13D/A	005-30128	12/21/1992	0	12/21/1992					1	
	•	<u>10-Q</u>	001-08696	12/15/1992	0	12/15/1992	10/31/1992		1		12/07/1993	СХ
	•	<u>8-K</u>	001-08696	12/07/1992	1	12/07/1992	11/11/1992	4	01/12/1993	P2	01/12/1993	C4
	•	AR/S	001-08696	11/17/1992	0	11/17/1992	07/31/1992			1	11/17/1992	сх
	•	DEF 14A	001-08696	11/17/1992	0	11/17/1992	12/18/1992		1		11/17/1992	сх
	•	<u>10-K</u>	001-08696	11/13/1992	0	11/13/1992	07/31/1992		1		12/07/1993	СХ
$\exists$	•	NT 10-K	001-08696	10/28/1992	0	10/28/1992	07/31/1992	2	05/14/1993	P2	07/07/1993	C2
$\exists$	•	424B3	033-41031	09/15/1992	0	09/15/1992		1			· ·	1
$\exists$	•	424C	033-41031	09/15/1992	0	09/15/1992	†		1		†	
$\exists$	<u> </u>	424B3	033-48080	08/11/1992	0	08/11/1992	1		1		†	
	<u>,</u>	10-K/A	001-08696	08/03/1992	0	08/03/1992	07/31/1991	5	08/06/1992	P2	08/06/1992	C5
	<u>,</u>	S-3/A	033-48080	08/03/1992	0	08/03/1992	, , , , , , , , , , , , , , , , , , , ,	1	08/06/1992	P1	08/10/1992	E1
$\exists$	<u>,</u>	SCA 13D/A	005-30128	07/23/1992	0	07/23/1992	1	-	-,,	<u> </u>	,,	1 -
	<u>,</u>	<u>S-3/A</u>	033-48080	07/17/1992	0	07/17/1992	1	1	07/27/1992	P1	08/10/1992	E1
		<u> </u>	233 10000	31/11/1332		<u> </u>	1		01/21/1332	-	30,10,1332	+

Company Folder Page 14 of 14

 
 07/17/1992
 07/31/1991
 5
 07/27/1992

 << Prev - 1 - Next >>
 □ **10-K/A** 0 P1 08/06/1992 C5 001-08696 07/17/1992

# UNITED STATES OF AMERICA Before the SECURITIES AND EXCHANGE COMMISSION

ADMINISTRATIVE PROCEEDING File No. 3-20550

In the Matter of

Calmare Therapeutics Incorporated.,

Respondent.

#### **STIPULATION**

The Division of Enforcement ("Division") and Calmare Therapeutics Incorporated ("Respondent" or "Calmare"), hereby stipulate and agree as follows:

- 1. Calmare did not file any Form 10-K or Form 10-Q reports with the Securities and Exchange Commission after its Form 10-K, filed in 2017, for the period ending December 31, 2016 and before the issuance of the Order Instituting Proceedings in this matter on September 14, 2021, although Calmare did file a number of Form 8-K reports during and subsequent to 2017. Calmare was therefore delinquent in its obligation, under the Securities and Exchange Act Section 13(a) and Rules 13a-1 and 13a-13 thereunder, to file its Form 10-K or Form 10-Q reports with the Securities and Exchange Commission as of September 14, 2021.
- 2. Calmare has not filed any Form 10-K or Form 10-Q reports with the Securities and Exchange Commission between September 14, 2021 and today's date. Calmare therefore remains delinquent in its obligation, under the Securities and Exchange Act

Section 13(a) and Rules 13a-1 and 13a-13 thereunder, to file its Form 10-K and Form 10-Q reports with the Securities and Exchange Commission as of today's date.

Dated: November 4, 2021

Respectfully submitted,

#### /s/ Christopher Bruckmann

Christopher Bruckmann (202) 551-5986 Gina Joyce (202) 551-4850 bruckmannc@sec.gov joyceg@sec.gov Securities and Exchange Commission 100 F Street, N.E. Washington, D.C. 20549 Counsel for Division of Enforcement

#### /s/ Paul L. Vorndran

Paul L. Vorndran
Alan Talesnick
Jones & Keller
1675 Broadway, 26th Floor
Denver, Colorado 80202
pvorndran@joneskeller.com
atalesnick@joneskeller.com
Counsel for Respondent Calmare Therapeutics Incorporated



# UNITED STATES SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549

November 29, 2018

CERTIFIED MAIL TRACKING # 70172400000008370968 RETURN RECEIPT REQUESTED

Conrad Mir, CEO CALMARE THERAPEUTICS Inc 1375 Kings Highway East Fairfield, CT 06824

Re: CALMARE THERAPEUTICS Inc

File No. 1-08696

Dear Mr. Mir:

We are writing to address the reporting responsibilities under the Securities Exchange Act of 1934 of the referenced company. For ease of discussion in this letter, we will refer to the referenced company as the "Registrant."

It appears that the Registrant is not in compliance with its reporting requirements under Section 13(a) of the Securities Exchange Act of 1934. If the Registrant is in compliance with its reporting requirements, please contact us (through the contact person specified below) within fifteen days from the date of this letter so we can discuss the reasons why our records do not indicate that compliance. If the Registrant is not in compliance with its reporting requirements, it should file all required reports within fifteen days from the date of this letter.

If the Registrant has not filed all required reports within fifteen days from the date of this letter, please be aware that the Registrant may be subject, without further notice, to an administrative proceeding to revoke its registration under the Securities Exchange Act of 1934. This administrative proceeding would be brought by the Commission's Division of Enforcement pursuant to Section 12(j) of the Securities Exchange Act of 1934. If the Registrant's stock is trading, it also may be subject to a trading suspension by the Commission pursuant to Section 12(k) of the Securities Exchange Act of 1934.

#### Page 2

Finally, please consider whether the Registrant is eligible to terminate its registration under the Securities Exchange Act of 1934. If the Registrant is eligible to terminate its registration, it would do so by filing a Form 15 with the Commission. While the filing of a Form 15 may cease the Registrant's on-going requirement to file periodic and current reports, it would **not** remove the Registrant's obligation to file all reports required under Section 13(a) of the Securities Exchange Act of 1934 that were due on or before the date the Registrant filed its Form 15. Again, if the Registrant is eligible to terminate its registration under the Securities Exchange Act of 1934, please note that the filing of a Form 15 would not remove the Registrant's requirement to file delinquent Securities Exchange Act of 1934 reports – the Registrant would still be required to file with the Commission all periodic reports due on or before the date on which the Registrant filed a Form 15.

If you should have a particular question in regard to this letter, please contact the undersigned at (202) 551-3245 or by email at OEL\_DFP@sec.gov.

Sincerely,

/s/ Marva D. Simpson

Marva D. Simpson Special Counsel Office of Enforcement Liaison Division of Corporation Finance

### **SENDER:** COMPLETE THIS SECTION

- Complete items 1, 2, and 3.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.
- 1. Article Addressed to:

Conrad Mir, CEO CALMARE THERAPEUTICS Inc 1375 Kings Highway East Fairfield, CT 06824



9590 9402 3349 7227 1835 80

2. Article Number (Transfer from sentice label)

**П968** 7017

3. Service Type

A. Signature

☐ Adult Signature

☐ Adult Signature Restricted Delivery

B. Received by (Printed Name)

COMPLETE THIS SECTION ON DELIVERY

D. Is delivery address different from item 1?

If YES, enter delivery address below:

☐ Certified Mail®

☐ Certified Mail Restricted Delivery

☐ Collect on Delivery

Collect on Delivery Restricted Delivery

1 Mail Restricted Delivery

(OVEL #500)

USIT Priority Mail Express® ☐ Registered Mail™

90

00

☐ Registered Mail Restricted Delivery

☐ Agent

C. Date of Delivery

☐ Yes

□ No

☐ Addressee

Return Receipt for Merchandise

☐ Signature Confirmation™

☐ Signature Confirmation

**Restricted Delivery** 

**Domestic Return Receipt** 

PS Form 3811, July 2015 PSN 7530-02-000-9053

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

#### OMB APPROVAL

OMB Number: 3235-0063 Expires: October 31, 2022 Estimated average burden hours per response ... . 2,326.62

#### **FORM 10-K**

#### ANNUAL REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE SECURITIES EXCHANGE ACT OF 1934

#### GENERAL INSTRUCTIONS

#### A. Rule as to Use of Form 10-K.

- (1) This Form shall be used for annual reports pursuant to Section 13 or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m or 78o(d)) (the "Act") for which no other form is prescribed. This Form also shall be used for transition reports filed pursuant to Section 13 or 15(d) of the Act.
- (2) Annual reports on this Form shall be filed within the following period:
  - (a) 60 days after the end of the fiscal year covered by the report (75 days for fiscal years ending before December 15, 2006) for large accelerated filers (as defined in 17 CFR 240.12b-2):
  - (b) 75 days after the end of the fiscal year covered by the report for accelerated filers (as defined in 17 CFR 240.12b-2); and
  - (c) 90 days after the end of the fiscal year covered by the report for all other registrants.
- (3) Transition reports on this Form shall be filed in accordance with the requirements set forth in Rule 13a-10 (17 CFR 240.13a-10) or Rule 15d-10 (17 CFR 240.15d-10) applicable when the registrant changes its fiscal year end.
- (4) Notwithstanding paragraphs (2) and (3) of this General Instruction A., all schedules required by Article 12 of Regulation S-X (17 CFR 210.12-01 - 210.12-29) may, at the option of the registrant, be filed as an amendment to the report not later than 30 days after the applicable due date of the report.

#### B. Application of General Rules and Regulations.

- (1) The General Rules and Regulations under the Act (17 CFR 240) contain certain general requirements which are applicable to reports on any form. These general requirements should be carefully read and observed in the preparation and filing of reports on this Form.
- (2) Particular attention is directed to Regulation 12B which contains general requirements regarding matters such as the kind and size of paper to be used, the legibility of the report, the information to be given whenever the title of securities is required to be stated, and the filing of the report. The definitions contained in Rule 12b-2 should be especially noted. See also Regulations 13A and 15D.

#### C. Preparation of Report.

- (1) This form is not to be used as a blank form to be filled in, but only as a guide in the preparation of the report on paper meeting the requirements of Rule 12b-12. Except as provided in General Instruction G, the answers to the items shall be prepared in the manner specified in Rule 12b-13.
- (2) Except where information is required to be given for the fiscal year or as of a specified date, it shall be given as of the latest practicable date.
- (3) Attention is directed to Rule 12b-20, which states: "In addition to the information expressly required to be included in a statement or report, there shall be added such further material information, if any, as may be necessary to make the required statements, in the light of the circumstances under which they are made, not misleading."

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

## SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

#### FORM 8-K

#### CURRENT REPORT

#### PURSUANT TO SECTION 13 OR 15(d) OF THE SECURITIES EXCHANGE ACT OF 1934

Date of Report (Date of earliest event reported): June 9, 2020 (June 1, 2020)

#### CALMARE THERAPEUTICS INCORPORATED

(Exact name of registrant as specified in its charter)

Delaware	001-08696	36-2664428
(State or other jurisdiction	(Commission File Number)	(IRS Employer
of Incorporation)		Identification Number)
	1375 Kings Highway East Fairfield, CT 06824 (Address of principal executive offices)	
	203-368-6044 (Registrant's Telephone Number)	
(For	N/A mer name or former address, if changed since last r	report)
Check the appropriate box below if the Form 8-K filing provisions:	ng is intended to simultaneously satisfy the filing	g obligation of the registrant under any of the following
☐ Written communications pursuant to Rule 425 under	the Securities Act (17 CFR 230.425)	
☐ Soliciting material pursuant to Rule 14a-12 under the	Exchange Act (17 CFR 240.14a-12)	
☐ Pre-commencement communications pursuant to Rul	e 14d-2(b) under the Exchange Act (17 CFR 240 14	4d-2(b))
☐ Pre-commencement communications pursuant to Rul	e 13e-4(c) under the Exchange Act (17 CFR 240.13	3e-4(c))
Securities registered pursuant to Section 12(b) of the Act	t: None	
Title of each class	Trading Symbol(s)	Name of each exchange on which registered
Indicate by check mark whether the registrant is an em Rule 12b-2 of the Securities Exchange Act of 1934 (§24)		f the Securities Act of 1933 (§230.405 of this chapter) or
		Emerging growth company □
If an emerging growth company, indicate by check mark financial accounting standards provided pursuant to Sect	e	d transition period for complying with any new or revised

#### Item 1.01 Entry into a Material Definitive Agreement.

On June 1, 2020, Calmare Therapeutics Incorporated (the "Registrant") was awarded Federal Supply Schedule Contract 36F79720D0118 (the "Agreement"), effective June 15, 2020, by the U.S. Department of Veterans Affairs (the "VA"). The Agreement authorizes \$2,500,000 of orders by the VA for Calmare® Pain Therapy Devices. The Agreement was awarded under Schedule 65 II A-Medical. Equipment and Supplies under Federal Supply Schedule Solicitation RFP-797-FSS-99-0025-R9 and has a term of 5 years. A redacted copy of the award letter is provided in this Form 8-K as Exhibit 10.1.

#### ITEM 8.01 OTHER EVENTS.

On June 9, 2020, the Registrant issued a press release titled "Calmare Therapeutics Awarded \$2.5 Million, Five-Year Contract by U.S. Department of Veteran Affairs for Calmare® Pain Therapy Devices". A copy of the press release is provided in this Form 8-K as Exhibit 99.1.

The information in Item 8.01 of this Form 8-K is being furnished and shall not be deemed "filed" for the purposes of Section 18 of the Securities Exchange Act of 1934, or otherwise subject to the liabilities of that section. The information in Item 8.01 of this Form 8-K also shall not be deemed to be incorporated by reference into any filing under the Securities Act of 1933, as amended, or the Securities Exchange Act of 1934, except to the extent that the Company specifically incorporates it by reference.

#### ITEM 9.01. Financial Statements and Exhibits

Exhibits.

- 10.1 Letter, dated June 1, 2020, from U.S. Federal Supply Schedule Service to Calmare Therapeutics Incorporated awarding Federal Supply Schedule Contract 36F79720D0118, effective June 15, 2020, by the U.S. Department of Veterans Affairs to Calmare Therapeutics Incorporated.
- 99.1 Press Release, dated June 9, 2020, titled "Calmare Therapeutics Awarded \$2.5 Million, Five-Year Contract by U.S. Department of Veteran Affairs for Calmare Pain Therapy Devices".

1

#### SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned thereunto duly authorized.

June 9, 2020 By: /s/ Conrad Mir

Conrad Mir Chief Executive Officer

#### UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

#### FORM 10-K

## ANNUAL REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE SECURITIES EXCHANGE ACT OF 1934

Mark One)  ☑ ANNUAL REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE SECURIT	ΓΙΕS EXCHANGE ACT OF 1934		
For the fiscal year ended December 31, 2016			
$\hfill\Box$ Transition report pursuant to Section 13 or 15(d) of the Section	URITIES EXCHANGE ACT OF 1934		
For the transition period from	to		
Commission file numb	per <u>001-08696</u>		
CALM	MARE		
CALMARE THERAPEUTI			
(Exact name of registrant as s	pecified in its charter)		
Delaware (State of the initial list of the ini	36-2664428 (I. R. S. Employer		
(State or other jurisdiction of incorporation or organization)	(I. R. S. Employer Identification No.)		
1375 Kings Highway East, Suite 400, Fairfield, CT		06824	
(Address of principal executive offices)		(Zip Code)	
Registrant's telephone number, including area code (203) 368-6044			
Securities registered pursuant to Section 12(b) of the Act: None			
Securities registered pursuant to Section 12(g) of the Act: Common Stock, \$0.01 par	value		
Indicate by check mark if the registrant is a well-known seasoned issuer, as defined in	Rule 405 of the Securities Act.	Yes □ No 🗵	
Indicate by check mark if the registrant is not required to file reports pursuant to Section	on 13 or Section 15(d) of the Act.	Yes □ No ⊠	
Indicate by check mark whether the registrant (1) has filed all reports required to be filed act of 1934 during the preceding 12 months (or for such shorter period that the registra subject to such filing requirements for the past 90 days.		Yes ⊠ No □	
Indicate by check mark whether the registrant has submitted electronically and posted Data File required to be submitted and posted pursuant to Rule 405 of Regulation S-T (months (or for such shorter period that the registrant was required to submit and post su	(§232.405 of this chapter) during the preceding 12	Yes ⊠ No 🗆	
Indicate by check mark if disclosure of delinquent filers pursuant to Item 405 of Regula herein, and will not be contained, to the best of registrant's knowledge, in definitive preference in Part III of this Form 10-K or any amendment to this Form 10-K.			
Indicate by check mark whether the registrant is a large accelerated filer, an accelerate of "large accelerated filer," "accelerated filer" and "smaller reporting company" in Rul		any. See definitions	
Large accelerated filer □	Accelerated filer		
Non-accelerated filer ☐ (Do not check if a smaller reporting company)	Smaller reporting company		
	Emerging growth company		
If an emerging growth company, indicate by check mark if the registrant has elected normancial accounting standards provided pursuant to Section 13(a) of the Exchange Act	1 1. 6	any new or revised	
Indicate by check mark whether the registrant is a shell company (as defined in rule 12	b-2 of the Exchange Act).	Yes □ No ⊠	
State the aggregate market value of the registrant's voting and non-voting common equ of \$0.1001 as reported by the OTCQB, as of the last business day of the registrant's mo		\$3,040,702	
As of July 17, 2017, the registrant had 30,376,639 shares of its common stock, \$0.01 pe	ar value per share, outstanding.		
Documents Incorporated By Reference: None			

Exhibit 10, p. 1