

IN THE UNITED STATES DISTRICT COURT
FOR THE WESTERN DISTRICT OF WISCONSIN

SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

v.

SPECIAL VERDICT

19-cv-809-wmc

BLUEPOINT INVESTMENT
COUNSEL, et. al.,

Defendants.

We, the jury, for our special verdict, do find as follows:

I. Question No. 1: Count Four -- Section 10(b) of the Exchange Act, and Rule 10b-5

Did the following defendants violate Section 10(b) of the Exchange Act and Rule 10b-5 thereunder?

- | | | |
|---|---------------|-------------------|
| 1. Christopher J. Nohl | Yes: <u>✓</u> | No: <u> </u> |
| 2. Michael G. Hull | Yes: <u>✓</u> | No: <u> </u> |
| 3. Chrysalis Financial, LLC | Yes: <u>✓</u> | No: <u> </u> |
| 4. Greenpoint Asset Management II | Yes: <u>✓</u> | No: <u> </u> |
| 5. Bluepoint Investment Counsel, LLC | Yes: <u>✓</u> | No: <u> </u> |
| 6. Greenpoint Tactical Income Fund, LLC | Yes: <u>✓</u> | No: <u> </u> |
| 7. GP Rare Earth Trading Account, LLC | Yes: <u>✓</u> | No: <u> </u> |

II. Question No. 2: Counts One, Two and Three

A. Section 17(a)(1) of the Securities Act (knowingly or recklessly)

Did the following defendants violate Section 17(a)(1) of the Securities Act?

- | | | |
|---|---------------|-------------------|
| 1. Christopher J. Nohl | Yes: <u>✓</u> | No: <u> </u> |
| 2. Michael G. Hull | Yes: <u>✓</u> | No: <u> </u> |
| 3. Chrysalis Financial, LLC | Yes: <u>✓</u> | No: <u> </u> |
| 4. Greenpoint Asset Management II | Yes: <u>✓</u> | No: <u> </u> |
| 5. Bluepoint Investment Counsel, LLC | Yes: <u>✓</u> | No: <u> </u> |
| 6. Greenpoint Tactical Income Fund, LLC | Yes: <u>✓</u> | No: <u> </u> |
| 7. GP Rare Earth Trading Account, LLC | Yes: <u>✓</u> | No: <u> </u> |

B. Section 17(a)(2) of the Securities Act (knowingly, recklessly or negligently)

Did the following defendants violate Section 17(a)(2) of the Securities Act?

- | | | |
|---|---------------|-------------------|
| 1. Christopher J. Nohl | Yes: <u>✓</u> | No: <u> </u> |
| 2. Michael G. Hull | Yes: <u>✓</u> | No: <u> </u> |
| 3. Chrysalis Financial, LLC | Yes: <u>✓</u> | No: <u> </u> |
| 4. Greenpoint Asset Management II | Yes: <u>✓</u> | No: <u> </u> |
| 5. Bluepoint Investment Counsel, LLC | Yes: <u>✓</u> | No: <u> </u> |
| 6. Greenpoint Tactical Income Fund, LLC | Yes: <u>✓</u> | No: <u> </u> |

C. Section 17(a)(3) of the Securities Act (knowingly, recklessly or negligently)

Did the following defendants violate Section 17(a)(3) of the Securities Act?

- | | | |
|------------------------|---------------|-------------------|
| 1. Christopher J. Nohl | Yes: <u>✓</u> | No: <u> </u> |
|------------------------|---------------|-------------------|

- | | | |
|---|---------------|-------------------|
| 2. Michael G. Hull | Yes: <u>✓</u> | No: <u> </u> |
| 3. Chrysalis Financial, LLC | Yes: <u>✓</u> | No: <u> </u> |
| 4. Greenpoint Asset Management II | Yes: <u>✓</u> | No: <u> </u> |
| 5. Bluepoint Investment Counsel, LLC | Yes: <u>✓</u> | No: <u> </u> |
| 6. Greenpoint Tactical Income Fund, LLC | Yes: <u>✓</u> | No: <u> </u> |
| 7. GP Rare Earth Trading Account, LLC | Yes: <u>✓</u> | No: <u> </u> |

III. Question No. 3: Counts Five, Six, Eight and Nine

A. Section 206(1) of the Advisers Act (devise, scheme or artifice)

Did the following defendants violate Section 206(1) of the Advisers Act?

- | | | |
|--------------------------------------|---------------|-------------------|
| 1. Christopher J. Nohl | Yes: <u>✓</u> | No: <u> </u> |
| 2. Michael G. Hull | Yes: <u>✓</u> | No: <u> </u> |
| 3. Chrysalis Financial, LLC | Yes: <u>✓</u> | No: <u> </u> |
| 4. Greenpoint Asset Management II | Yes: <u>✓</u> | No: <u> </u> |
| 5. Bluepoint Investment Counsel, LLC | Yes: <u>✓</u> | No: <u> </u> |

B. Section 206(2) of the Advisers Act (transaction, practice or cause of business)

Did the following defendants violate Section 206(2) of the Advisers Act?

- | | | |
|--------------------------------------|---------------|-------------------|
| 1. Christopher J. Nohl | Yes: <u>✓</u> | No: <u> </u> |
| 2. Michael G. Hull | Yes: <u>✓</u> | No: <u> </u> |
| 3. Chrysalis Financial, LLC | Yes: <u>✓</u> | No: <u> </u> |
| 4. Greenpoint Asset Management II | Yes: <u>✓</u> | No: <u> </u> |
| 5. Bluepoint Investment Counsel, LLC | Yes: <u>✓</u> | No: <u> </u> |

IV. Question No. 4: Count Eleven -- Section 206(4) of the Advisers Act and Rule 206(4)-8

Did the following defendants violate Section 206(4) of the Advisers Act?

1. Christopher J. Nohl

Yes: ✓ No: _____

2. Michael G. Hull

Yes: ✓ No: _____

3. Chrysalis Financial, LLC

Yes: ✓ No: _____

4. Greenpoint Asset Management II

Yes: ✓ No: _____

Ricky Delu
Presiding Juror

Madison, Wisconsin

Dated this 2 day of August, 2022.