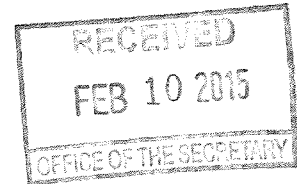


ORIGINAL

ADMINISTRATIVE PROCEEDING
FILE NO. 3-16195



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

In the Matter of

JUDY K. WOLF,

Respondent.

Judge Cameron Elliot

JOINT EXHIBIT LIST

The Division of Enforcement (“Division”) and Respondent Judy K. Wolf (“Wolf”) submit the following Joint Exhibit List under Rule 4 of the General Prehearing Order.

The parties agree that for the exhibits not objected to they would be deemed admitted at the beginning of the hearing set to commence on February 23, 2015. The parties’ objections to exhibits are filed concurrently herewith.

The parties reserve their right to amend or supplement the below list before the hearing, should it identify additional exhibits it may use.

Hearing Exhibit No.	Document Description	Admitted	Objected To By Division/Wolf
251	Draft Wachovia Securities Retail Control Group procedures for insider trading reviews, last update October 26, 2009		
252	Wells Fargo Advisors Retail Control Group procedures for reviews for potential insider trading, last update July 23, 2010		
253	Operating Procedures – reviews for potential insider trading		

Hearing Exhibit No.	Document Description	Admitted	Objected To By Division/Wolf
254	Operating Procedures – reviews for potential insider trading published June 19, 2012		
255	Judy Wolf's Burger King insider trading review file with cover page, front running report, position inquiry report, option position summary, and Yahoo Finance screen were produced to Commission staff on March 11, 2013 [The cover page and front running report were produced to Commission staff on January 11, 2013]		
256	BKC 09.02.10 options download.xls		
257	BKS 09.02.10 options exposure download.xls		
342	Judy Wolf's November 19, 2009 email re "Links to Logs"		
343	Judy Wolf's Excel spreadsheet log listing potential insider trading reviews she conducted January 2009 to present, dated April 22, 2013		
368	Judy Wolf's September 27, 2012 emails re Commission action against Prado		
376	February 28, 2013 email regarding Judy Wolf's memorandum re Burger King insider trading "Summary of Events" and revisions thereto		
379	Roseann St. John's File [Judy Wolf's Burger King insider trading review file; Commission's complaint filed against Waldyr da Silva Prado Neto, SDNY Civil Action No. 12-CIV-7094; Judy Wolf's February 28, 2013 "Summary of Events" memo; and Commission's press release re action against Igor Cornelsen, release number 2012-248]		
380	Modesto Moya's File		
380A	Copies of news articles contained within Ex. 380; PRADO-SEC-025272-025288		
381	Judy Wolf's 2012 Burger King review file re Burger King insider trading with post-it "gave original to Roseann 12/28/12"		
399	Judy Wolf's March 25-26, 2013 emails re Real American Brands insider trading review and use of her Excel spreadsheet log as a guide		
401	Judy Wolf's July 2010 insider trading review of ATC Technology Corp. and 2012 request for information about that review		
403	Judy Wolf's handwritten notes re June 13, 2013 termination of employment at Wells Fargo Advisors		Wolf

Hearing Exhibit No.	Document Description	Admitted	Objected To By Division/Wolf
500	Order Instituting Proceedings against The Buckingham Research Group, Inc. Exchange Act Release No. 63313 (Nov. 17, 2010)		Wolf
501	November 22, 2010 email exchange between Judy Wolf and Roseann St John regarding SEC enforcement action against Buckingham Research for failing to have adequate policies and procedures to prevent misuse of nonpublic information; PRADO-SEC-JWOLFEMAIL-0270140-0270143		Wolf
502	November 29, 2010 email exchange between Judy Wolf, Roseann St John and Modesto Moya, regarding internal assessment of SEC enforcement action against Buckingham Research; PRADO-SEC-JWOLFEMAIL-0271027-0271030		Wolf
503	Buckingham Research assessment memo dated November 29, 2010; PRADO-SEC-JWOLFEMAIL-0271031		Wolf
504	Wells Fargo Advisors' Code of Ethics and Business Conduct; PRADO-SEC-082818-083584		
505	Judy Wolf's Team Member Acknowledgement form signed January 29, 2010		
506	SEC Order Instituting Proceedings against Janney Montgomery Scott		Wolf
507	Judy Wolf's July 11, 2011 email re Janney Montgomery Scott case; PRADO-SEC-JWOLFEMAIL-0103190-0103192		Wolf
508	Judy Wolf's July 12, 2011 emails re Janney Montgomery Scott case; PRADO-SEC-JWOLFEMAIL-0103274-0103275		Wolf
509	Judy Wolf's July 13, 2011 emails re Janney Montgomery Scott case; PRADO-SEC-JWOLFEMAIL-0103610-0103611 and SEC-Wolf J-E-0004616-0004617		Wolf
510	Judy Wolf's July 14, 2011 emails re Janney Montgomery Scott case; PRADO-SEC-JWOLFEMAIL-0103776-0103781		Wolf
511	Judy Wolf's July 14, 2011 email and attached chart comparing compliance procedures in Janney Montgomery Scott case vs. Well Fargo Adviser's procedures. PRADO-SEC-JWOLFEMAIL-0335482		Wolf
512	Judy Wolf's July 21, 2011 emails re meeting to discuss Janney Montgomery Scott case; PRADO-SEC-JWOLFEMAIL-0336584		Wolf

Hearing Exhibit No.	Document Description	Admitted	Objected To By Division/Wolf
513	Commission staff's March 27, 2013 subpoena to Judy Wolf for testimony and documents		
514	Judy Wolf's July 22, 2011 updated analysis of Janney Scott Montgomery case; PRADO-SEC-JWOLFEMAIL-0336641 and SEC-Wolf J-E-0004289		Wolf
515	March 14, 2013 email regarding retrieval history of Judy Wolf's Burger King trading review file sent to and retrieved from off-site storage at Iron Mountain; PRADO-SEC-JWOLFEMAIL-0391506-0391507		
516	March 15, 2013 email regarding retrieval history of Judy Wolf's Burger King trading review file sent to and retrieved from off-site storage at Iron Mountain; PRADO-SEC-JWOLFEMAIL-0391527		
517	Commission staff's June 13, 2012 request for documents to Wells Fargo Advisors		
518	Commission staff's July 20, 2012 request for documents to Wells Fargo Advisors		
519	Commission staff's December 21, 2012 request for documents to Wells Fargo Advisors		
520	Judy Wolf's February 28, 2013 memorandum summarizing her Burger King insider trading review ; PRADO-SEC-025227-025233		
521	Transcript of Judy Wolf's sworn testimony taken on March 13, 2013		Wolf
522	Audio recording of Judy Wolf's sworn testimony taken on March 13, 2013		Wolf
523	Commission staff's March 14, 2013 request for documents to Wells Fargo Advisors re metadata and other items		
524	Keesal, Young & Logan March 25, 2013 letter to Commission staff re altered log re Burger King		
525	Judy Wolf's Excel spreadsheet log "Potential Insider Trading Reviews January 2009 to present"		
526	Metadata for Judy Wolf's Excel spreadsheet log "Potential Insider Trading Reviews January 2009 to present 122812"		
527	Judy Wolf's Excel spreadsheet log "Insider Trading Reviews 010213"		
528	Metadata for Judy Wolf's Excel spreadsheet log "Insider Trading Reviews 010213"		
529	Wells Fargo Advisors Form U5 Termination Notice filed with FINRA re termination of Judy Wolf		Wolf

Hearing Exhibit No.	Document Description	Admitted	Objected To By Division/Wolf
530	Final Judgment entered against Waldyr da Silva Prado Neto in SEC v. Prado, SDNY Civil Action No. 12-CIV-7094		Wolf
531	Commission staff's Wells Notice to Judy Wolf's counsel, dated January 14, 2014		Wolf
532	Transcript of Judy Wolf's sworn testimony taken on April 10, 2014		Wolf
533	Order Instituting Proceedings against Wells Fargo Advisors LLC Exchange Act Release No. 73175 (Sept. 22, 2014)		Wolf
534	Wells Fargo Advisors January 11, 2013 letter to Commission staff re production of Burger King review and log entry		
600	PDF Version of the Burger King frontrunning report		
601	February 4, 2013 E-mail from Judy Wolf to Joann Jolly; PRADO-SEC-JWOLFEMAIL-0386107		
602	September 7, 2012 Letter from Stephen Young to David Brown		
603	September 24, 2012 E-mails between Judy Wolf and Roseann St John; PRADO-SEC-025371-73		
604	March 5, 2013 E-mail from Steve Young to David Brown and copying Megan Bergstrom		
605	November 30, 2012 E-mails; PRADO-SEC-025441-45		
606	March 11, 2013 E-mail from Steven Young to Megan Bergstrom and David Brown. Philip Toben and Jeannie Reeves are copied on the e-mail.		
607	January 29, 2013 E-mail from Roseann St John to James Alosi, Greg Otto, Linda Perry, and Judy Wolf. Modesto Moya is copied on the e-mail; PRADO-SEC-JWOLFEMAIL-0385916		
608	September 27, 2012 E-mails; PRADO-SEC-025404-09		
609	January 29, 2014 E-mail from Shanda Hastings to Andrew Ceresney. Daniel Hawke, Diana Tani, David Brown, Clay Grumke, Michael Missal, and Andrew Porter are copied on the email		Division
610	January 29, 2014 Letter from Michael Missal to Andrew Ceresney, which was attached to Exhibit 612		Division
611	January 29, 2014 Letter from Michael Missal to Andrew Ceresney, which was attached to Exhibit 612		Division
612	February 10, 2014 Letter from Michael Missal to David Brown and Megan Bergstrom		

Hearing Exhibit No.	Document Description	Admitted	Objected To By Division/Wolf
613	Document enclosed with Exhibit 612; PRADO-SEC-008965-72		
614	March 11, 2013 E-mail from Philip Toben to Steve Young, Megan Bergstrom, and David Brown. Jeannie Reeves is copied on the e-mail		
615	April 21, 2014 E-mail from Andrew Porter to David Brown and Megan Bergstrom. Michael Missal and Shanda Hastings are copied on the e-mail.		
616	March 14, 2013 E-mail from Judy Wolf to Philip Toben attached to Exhibit 615; PRADO-SEC-0089837		
617	March 14, 2013 E-mail from Judy Wolf to Philip Toben attached to Exhibit 615; PRADO-SEC-0089838		
618	September 2010 Potential Insider Trading Reviews Spreadsheet attached to Exhibit 615 (originally attached to Exhibit 623); PRADO-SEC-0089839-40		
619	March 1, 2013 E-mail from Judy Wolf to Modesto Moya with a copy to Roseann St John; PRADO-SEC-025496		

DATED: February 9, 2015

Respectfully submitted,

DIVISION OF ENFORCEMENT

By its Attorneys:

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Securities and Exchange Commission

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DATED: February 9, 2015

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