

FINAL ORDER - THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON MAY 12, 2014 PURSUANT TO RULE 21F-10(f) OF THE EXCHANGE ACT

143 Notices of Covered Action (See Appendix A)

PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF

The Securities and Exchange Commission (“Commission”) received whistleblower award claims from [REDACTED] in response to the Notices of Covered Action set forth in Appendix A hereto. Pursuant to Section 21F of the Securities Exchange Act of 1934 (the “Exchange Act”) and Rule 21F-10 promulgated thereunder, the Claims Review Staff (“CRS”) has evaluated these claims in accordance with the criteria set forth in Rules 21F-1 through 21F-17 promulgated under the Exchange Act. For the reasons discussed below, the CRS has preliminarily determined that [REDACTED] is ineligible for an award in these matters or in any future covered or related actions.

Rule 21F-8 of the Exchange Act sets forth criteria a claimant must meet to be eligible for a whistleblower award. In particular, Rule 21F-8(c)(7) states that “you are not eligible” for an award under either of two conditions:

In your whistleblower submission, your other dealings with the Commission, or your dealings with another authority in connection with a related action, you [i] knowingly and willfully make any false, fictitious, or fraudulent statement or representation, or [ii] use any false writing or document knowing that it contains any false, fictitious, or fraudulent statement or entry with intent to mislead or otherwise hinder the Commission or another authority.

17 C.F.R. § 240.21F-8(c)(7). *See also* Section 21F(i) of the Exchange Act.

The CRS preliminarily finds that [REDACTED] has knowingly and willfully made false, fictitious, or fraudulent statements and representations to the Commission over a course of years and continues to do so. Specifically, we preliminarily find that each of the passages set forth in Appendix B—which are taken from [REDACTED] TCRs, emails to Commission officials, and WB-APPs—are patently false or fictitious. We also preliminarily find that [REDACTED] continued submission of WB-APPs in which [REDACTED] declares that [REDACTED] is entitled to an award are patently false

¹ We note that Rule 21F-8(c)(7) refers to “your other dealings with the Commission” as a category separate and distinct from the specific “whistleblower submission” under consideration. Accordingly, we read “other dealings with the Commission” to encompass, among other things, statements or representations in previous whistleblower submissions as well as a claimant’s correspondence with Commission officials.

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143 Notices of Covered Action (See Appendix A)

Page 2

given that all but one of the 196 WB-APPs that [REDACTED] has filed to date lack even a superficial factual nexus to the covered actions for which [REDACTED] is seeking an award.²

Moreover, we preliminarily find that [REDACTED] knowing and willful state of mind in making these statements is evidenced by the following: (i) the vague, unsupported, and utterly incredible nature of [REDACTED] statements in Appendix B; (ii) [REDACTED] continued submission of the WB-APPs that lack any factual nexus to the covered actions; and (iii) [REDACTED] persistent refusal to withdraw [REDACTED] numerous unsupported claims or to change [REDACTED] behavior in spite of repeated requests and explanations by the Office of the Whistleblower ("OWB").⁴

[REDACTED] has submitted frivolous and unsupported WB-APPs of the type described above relating to almost every single Notice of Covered Action issued by the OWB to date. [REDACTED] unceasing submission of baseless claims has harmed the rights of legitimate whistleblowers and hindered the Commission's implementation of the whistleblower program by, among other

² Even for the sole covered action that did bear a superficial factual nexus—[REDACTED]—the record demonstrates that the information that [REDACTED] claimed in [REDACTED] WB-APP led to the successful enforcement of the action was in no way relied upon—*i.e.*, the information did not cause the staff to open the initial investigation nor did it contribute in any way to the success of the [REDACTED] action.

³ [REDACTED] [REDACTED] has even acknowledged that [REDACTED] was "not directly involved in [the] discovery" of any of these cases.

⁴ The OWB has engaged in numerous communications with [REDACTED] to explain the rules governing the whistleblower program and its view of the deficiencies of [REDACTED] submissions, and to give [REDACTED] the opportunity to correct [REDACTED] actions. For example, on February 1, 2013, the OWB called [REDACTED] and explained the basic premise of the Commission's whistleblower program, and the rules pursuant to which the Commission may pay an award. During that call, the OWB explained the factual nexus that must exist between the tip [REDACTED] submits and the Notice of Covered Action for which [REDACTED] requests an award. The OWB made it clear during that call that repeatedly filing claims for whistleblower awards that have no relation to the facts in the underlying matter will not result in an award under the whistleblower program. Similarly, on February 7, 2013 and April 4, 2013, the OWB advised [REDACTED] in writing that [REDACTED] numerous submissions for whistleblower awards failed to demonstrate the factual nexus required by Rule 21F-4(c). Notwithstanding the OWB's efforts, [REDACTED] has continued [REDACTED] bad-faith conduct.

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143 Notices of Covered Action (See Appendix A)

Page 3

things, delaying the Commission's ability to finalize meritorious awards to other claimants and consuming significant staff resources.⁵

For these reasons, the CRS has preliminarily determined that, pursuant to Rule 21F-8(c)(7) of the Exchange Act, [REDACTED] is not eligible to be considered for whistleblower awards in these matters or in any future covered or related actions. Accordingly, if this determination becomes the final determination of the Commission, the OWB should summarily reject all pending and future whistleblower award claims submitted by [REDACTED].⁶

By: Claims Review Staff
Dated: March 13, 2014

⁵ For example, [REDACTED] unsuccessfully requested reconsideration of the Preliminary Determination denying [REDACTED] award application in *SEC v. Andrey C. Hicks and Locust Offshore Management, LLC*, 1:11-cv-11888-RGS (D. Mass. 2011) (NoCA 2012-27), and as a result both consumed considerable staff effort with [REDACTED] frivolous claim and caused a delay in the Commission's ability to make a final determination to the three legitimate whistleblowers in this matter. This is to say nothing of the time and effort OWB staff expended to prepare the administrative record and other materials for an additional 51 claims that the Commission previously denied. *In the Matter of the Claims for Awards by [REDACTED]* (March 19, 2013).

⁶ We caution [REDACTED] that we will not entertain any attempt by [REDACTED] to withdraw [REDACTED] WB-APPs following the issuance of this Preliminary Determination given: (i) [REDACTED] previous gamesmanship with withdrawing and then seeking to reinstate a WB-APP; and (ii) [REDACTED] repeated unwillingness to withdraw these frivolous applications when [REDACTED] had a reasonable opportunity to do so, *see supra* note 4, and that [REDACTED] attempt now to change course would simply be a transparent effort to evade the consequences of [REDACTED] bad faith conduct.

Appendix A – Award Claims

Claim No.	NoCA	Matter Name	Date Claim Submitted
1	2011-194	In the Matter of Pipeline Trading Systems LLC, Fred J. Federspiel, and Alfred R. Berkeley III	2/24/2012
2	2011-200	In the Matter of Credit Suisse Alternative Capital, LLC (f/k/a Credit Suisse Alternative Capital, Inc.), Credit Suisse Asset Management LLC, and Samir H. Bhatt	2/24/2012
3	2011-206	SEC v. George Wesley Harris, and Giant Operating, LLC	4/04/2012
4	2011-211	In the Matter of Morgan Stanley Investment Management Inc. ¹	4/04/2012
5	2011-217	In the Matter of UBS Securities LLC	4/04/2012
6	2012-13	SEC v. Wachovia Bank, N.A. (n/k/a Wells Fargo Bank, N.A.)	4/18/2012
7	2012-55	SEC v. Marco Glisson	6/08/2012
8	2012-61	SEC v. U.S. Sustainable Energy Corp., John H. Rivera	9/26/2012
9	2012-62	SEC v. New Futures Trading International Corporation and Henry Roche	9/26/2012
10	2012-63	SEC v. Conrad M. Black, F. David Radler and Hollinger, Inc.	9/26/2012
11	2012-64	SEC v. Wealth Management LLC; James Putman; and Simone Fevola	9/26/2012
12	2012-65	SEC v. James Clements and Zeina Smidi	9/26/2012
13	2012-66	SEC v. James Roland Dial, Evan Nicolas Jarvis, and Alexander W. Ellerman	9/26/2012
14	2012-68	SEC v. Strategic Management & Opportunity Corporation; Robert J. Pratt, and Jeffrey A. Brommer	9/26/2012
15	2012-69	SEC v. H. Clayton Peterson, Drew Clayton Peterson, Drew K. Brownstein, and Big 5 Asset Management, LLC	9/26/2012
16	2012-70	SEC v. Robert Glenn Bard and Vision Specialist Group, LLC	9/26/2012
17	2012-71	SEC v. Jason George Rivera, Jr., Marc Christopher Harmon, The Joseph Rene Corporation, and Executive Members Management Group	9/26/2012
18	2012-72	SEC v. Phillip W. Offill, Jr., David B. Stocker, Curtis-Case, Inc., Shane A. Mullholand, Ryan M. Reynolds, Timothy T. Page, Steven P. Fischer, RSMR Capital Group, Inc., Dissemination Services, L.L.C., Page Properties, L.P.,	10/25/2012

¹ On April 18, 2012, [REDACTED] wrote to the Office of the Whistleblower and indicated that [REDACTED] incorrectly applied to NoCA 2011-211 but intended to apply to NoCA 2011-212. We include NoCA 2011-211 for completeness.

[REDACTED] has already been denied an award for NoCA 2011-212 as part of the Commission's prior decision to deny an award on 51 separate claims.

Appendix A – Award Claims

		and ATN Enterprises, L.L.C.	
19	2012-73	SEC v. Jeffrey L. Mowen, Thomas R. Fry, Bevan J. Wilde, Gary W. Hansen, Michael G. Butcher, James B. Mooring, David G. Bartholomew, and Michael W. Averett	10/25/2012
20	2012-74	SEC v. Robert D. Orr, Leland G. Orr, Michael S. Lowry, Michael S. Hess, Kyle L. Garst, and Travis W. Vrbas	10/25/2012
21	2012-75	SEC v. Phillip R. Trujillo, Wealth Management Resources, LLC, PTV 22, LLC, PTV 33, LLC, and PTV 44, LLC.	10/25/2012
22	2012-77	SEC v. Spyglass Equity Systems, Inc., Richard L. Carter, Preston L. Sjoblom, Tyson D. Elliott, Flatiron Capital Partners, LLC, Flatiron Systems, LLC, and David E. Howard II	10/25/2012
23	2012-78	SEC v. Kevan D. Acord, Philip C. Growney, Alberto J. Perez, Jose G. Perez, Sebastian De La Maza, and Thomas L. Borell	10/25/2012
24	2012-79	SEC v. Ralph R. Cioffi and Matthew M. Tannin	10/25/2012
25	2012-82	SEC v. Mohammed Mark Amin, Robert Reza Amin, Michael Mahmood Amin, Sam Saeed Pirnazar, Mary Teresa Coley, and Ali Tashakori	10/25/2012
26	2012-85	SEC v. Manuel M. Bello, Ayuda Equity Funding LLC, and Amerifund Capital Holdings, LLC	11/29/2012
27	2012-87	SEC v. Doyle Scott Elliott, Scott Elliott, Inc., Michael J. Xirinachs, Emerald Asset Advisors LLC, Robert L. Weidenbaum, and CLX & Associates Inc.	11/29/2012
28	2012-88	SEC v. Falconstor Software, Inc.	11/29/2012
29	2012-89	SEC v. Harbert Management Corporation, HMC-New York Inc., and HMC Investors, LLC	11/29/2012
30	2012-90	SEC v. William K. Harrison and Eddie W. Sawyers	11/29/2012
31	2012-92	SEC v. Jeffrey Alan Lowrance and First Capital Savings & Loan, Ltd.	11/29/2012
32	2012-93	SEC v. Mizuho Securities USA Inc.	11/29/2012
33	2012-94	SEC v. Omar Ali Rizvi, Bellwether Venture Capital Fund I, Inc., and Strategy Partners, LLC	11/29/2012
34	2012-95	SEC v. Titan Wealth Management, LLC, Point West Partners, LLC, and Thomas Lester Irby II	11/29/2012
35	2012-96	In the Matter of Jeffrey A. Wolfson, Robert A. Wolfson, and Golden Anchor Trading II, LLC (n/k/a Barabino Trading, LLC)	11/29/2012
36	2012-97	SEC v. Stanley J. Kowalewski and SJK Investment Management, LLC	11/29/2012

Appendix A – Award Claims

37	2012-98	In the Matter of Wells Fargo Brokerage Services, LLC n/k/a Well Fargo Securities, LLC and Shawn Patrick McMurtry	11/29/2012
38	2012-99	SEC. v Nancy Shao Wen Chu, Elizabeth Tsang, aka Yuen Yee Tsang, and Eric Jon Strasser	11/29/2012
39	2012-100	SEC v. Pfizer Inc.	11/29/2012
40	2012-101	SEC. v. Wyeth LLC	11/29/2012
41	2012-102	SEC v. Irwin Boock, Stanton B. J. DeFreitas, Nicolette D. Loisel, Roger L. Shoss, and Jason C. Wong	11/29/2012
42	2012-103	SEC v. Oracle Corporation	11/29/2012
43	2012-106	SEC. v. Mantria Corporation, Troy B. Wragg, Amanda E. Knorr, Speed of Wealth, LLC, Wayne M. McKelvy, and Donna M. McKelvy	1/30/2013
44	2012-107	SEC v. Larry Michael Parrish	1/30/2013
45	2012-109	SEC v. Homeland Safety International, Inc. F/K/A Sniffex, Inc.; Mark B. Lindberg; Petar D. Mihaylov; Yuri P. Markov; Paul B. Johnson; Nicholas V. Klausgaard; and Ilona V. Klausgaard	1/30/2013
46	2012-110	SEC v. Blackout Media Corporation, formerly known as First Canadian American Holding Corporation, and Sandy Winick	1/30/2013
47	2012-112	SEC v. Orthofix International N.V	1/30/2013
48	2012-113	SEC v. ICP Asset Management, LLC, ICP Securities, LLC, Institutional Credit Partners, LLC, and Thomas C. Priore	1/30/2013
49	2012-115	SEC v. John Scott Clark, Impact Cash, LLC, a Utah Limited Liability Company and Impact Payment Systems, LLC a Nevada Limited Liability Company	1/30/2013
50	2012-116	SEC v. Robert L. Buckhannon, Terry D. Rawstern, Dale E. St. Jean, Gregory D. Tindall, Richard D. Mittasch, Christopher T. Paganos, Glenn M. Barikmo, and Imperium Investment Advisors, LLC	1/30/2013
51	2012-117	SEC v. Fabrizio Neves and Jose Luna	1/30/2013
52	2012-118	SEC v. James S. Quay, a/k/a Jim Quay, a/k/a Stephen Quay, a/k/a Stephen Jameson, and Jeffrey A. Quay	1/30/2013
53	2012-119	SEC v. East Delta Resources Corp., Victor Sun, David Amsel, and Mayer Amsel	1/30/2013
54	2012-120	SEC v. Jonathan R. Curshen, Michael S. Krome, David C. Ricci, Ronny Morales Salazar, Robert L. Weidenbaum, Ariav "Eric" Weinbaum, and Yitzchak Zigdon a/k/a Izhack Zigdon	1/30/2013
55	2012-121	SEC v. Conrad M. Black, F. David Radler and Hollinger, Inc	1/30/2013

Appendix A – Award Claims

56	2012-122	SEC v. Private Equity Management Group, Inc.; Private Equity Management Group, LLC; and Danny Pang	1/30/2013
57	2012-124	SEC v. Anand Sekaran and Wasson Capital Advisors Ltd.	1/30/2013
58	2012-125	SEC v. Joseph J. Monterosso, Luis E. Vargas, Lawrence E. Lynch, and Timothy Huff	1/30/2013
59	2012-127	SEC v. Christel S. Scucci, Karen S. Beach, Cameron H. Linton, Esq., Protégé Enterprises, LLC, and Capital Edge Enterprises, LLC	1/30/2013
60	2012-128	SEC v. Kris Chellam	1/30/2013
61	2012-130	SEC v. Well Advantage Limited, Certain Unknown Traders in the Securities of Nexen, Inc. In an Account of Phillip Securities PTE LTD., and Certain Unknown Traders in the Securities of Nexen, Inc. in an Account of Citibank NA A/C HK 4	1/30/2013
62	2013-1	SEC v. I. Joseph Massoud	1/30/2013
63	2013-3	SEC v. EagleEye Asset Management, LLC and Jeffrey A. Liskov	1/30/2013
64	2013-5	SEC v. Francis E. Wilde, Steven E. Woods, Mark A. Gelazela, Bruce H. Haglund, Matrix Holdings LLC, BMW Majestic LLC, IDLYC Holdings Trust LLC, and IDYLC Holdings Trust	1/30/2013
65	2013-7	SEC v. Igor Cornelsen and Bainbridge Group Inc.	1/30/2013
66	2013-8	SEC v. Tiger Asia Management, LLC, Tiger Asia Partners, LLC, Sung Kook (a/k/a Bill) Hwang, and Raymond Y.H. Park	1/30/2013
67	2013-9	SEC v. BP p.l.c.	1/30/2013
68	2013-10	SEC v. Management Solutions, Inc., a Texas Corporation; Wendell A. Jacobson; and Allen R. Jacobson	1/30/2013
69	2013-11	SEC v. Gary J. Martel, D/B/A Martel Financial Group, and MFG Funding	3/29/2013
70	2013-13	SEC v. Igor Poteroba, Aleksey Koval and Alexander Vorobiev	3/29/2013
71	2013-14	SEC v. Eli Lilly and Company	3/29/2013
72	2013-15	SEC v. David E. Ruskjer	3/29/2013
73	2013-16	SEC v. Howard Brett Berger	3/29/2013
74	2013-18	SEC v. Innovative Advisory Services, Inc., Innovative Advisory Services LLC, Island Trader LLC and Richard H. Nickles	3/29/2013
75	2013-19	SEC v. Gilbert G. Lundstrom, James A. Laphen, and Trevor A. Lundstrom	3/29/2013

Appendix A – Award Claims

76	2013-20	SEC v. Sean David Morton, Vajra Productions, LLC, 27 Investments, LLC, and Magic Eight Ball Distributing, Inc.	3/29/2013
77	2013-22	SEC v. J.C. Reed & Company, Inc., J.C. Reed Advisory Group, LLC, Barron A. Mathis, and Estate of John C. Reed, Lana L. Reed Executrix	3/29/2013
78	2013-23	SEC v. Peter Siris, Guerrilla Capital Management, LLC, and Hua Mei 21st Century, LLC	3/29/2013
79	2013-24	SEC v. Sky Way Global LLC (A/K/A Sky Way Global, Inc.), Brent C. Kovar, Glenn A. Kovar, James S. Kent, Kenneth Bruce Baker (A/K/A Bruce Baker), and Kenneth R. Kramer	3/29/2013
80	2013-25	SEC v. Douglas F. Vaughan, The Vaughan Company, Realtors, Inc., and Vaughan Capital, LLC.	3/29/2013
81	2013-26	SEC v. Chetan Kapur and Lilaboc, LLC, d/b/a ThinkStrategy Capital Management, LLC.	6/07/2013
82	2013-27	SEC v. Merendon Mining (Nevada) Inc, Larry Lee Adair, Milowe Allen Brost a/k/a/ Milow Brost, M.B. Gonne or Phillip K. Collins, Ward K. Capstick, Bradley Dean Regier, Gary Allen Sorenson a/k/a Don Grey Fox, Martin M. Werner, Syndicated Gold Depository Inc, now known as Bahamas Resources Alliance Ltd., Merendon Mining Corp. Ltd., Institute For Financial Learning Group of Companies, Inc.	6/07/2013
83	2013-28	SEC v. EFS, LLC, Freedom Fidelity, LLC, James N. Pratt, SP&V, LLC, and Timothy V. Coffin	6/07/2013
84	2013-29	SEC v. Oversea Chinese Fund Limited Partnership, Weizhen Tang & Associates, Inc., Weizhen Tang Corp., Winwin Capital Management, LLC, Winwin Capital Limited Partnership, J.O.R. & Associates, LLC, and Weizhen Tang	6/07/2013
85	2013-30	SEC v. M. Mark McAdams and R. Dane Freeman	6/07/2013
86	2013-31	SEC v. K2 Unlimited, Inc., 211 Ventures, LLC, Diane Glatfelter, Robert C. Rice, and Robert S. Anderson	6/07/2013
87	2013-33	SEC v. Derek A. Nelson, Capital Mountain Holding Corp., Systems XXI, Act I, LLC, and Systems XXI, Act II, LLC	6/07/2013
88	2013-34	SEC v. City Capital Corporation, Ephren W. Taylor, II, and Wendy Jean Connor	6/07/2013
89	2013-35	SEC v. Verde Retirement LLC, a California limited liability company, Verde FX Nevada, LLC, a California limited liability company, Covenant Capital Partners, a California corporation, and Steven L. Hamilton	6/07/2013
90	2013-36	In the Matter of Banco Comercial Português, S.A.	6/07/2013

Appendix A – Award Claims

91	2013-37	SEC v. 3 Eagles Research & Development LLC, Harry Dean Proudfoot III, Matthew Dale Proudfoot, Laurie Anne Vrvilo and Dennis Ashley Bukantis	6/07/2013
92	2013-38	SEC v. Big Apple Consulting USA, Inc., MJMM Investments, LLC, Marc Jablon, Matthew Maguire, Mark C. Kaley, and Keith Jablon	6/07/2013
93	2013-40	SEC v. Frank Bluestein	6/07/2013
94	2013-42	SEC v. Steven Brewer, Adam Erickson, Brewer Investment Group, LLC, Brewer Financial Services, LLC and Brewer Investment Advisors, LLC	6/07/2013
95	2013-43	SEC v. Stanford International Bank, Ltd., Stanford Group Company, Stanford Capital Management, LLC, R. Allen Stanford, James M. Davis, and Laura Pendergest-Holt	6/07/2013
96	2013-44	SEC v. Parker Drilling Company	6/07/2013
97	2013-45	SEC v. Richard Verdiramo, Vincent L. Verdiramo, Esq., Edward Meyer, Jr., and Victoria Chen	6/07/2013
98	2013-46	In the Matter of Capital One Financial Corporation, Peter A. Schnall, and David A. Lagassa	6/07/2013
99	2013-47	SEC v. Grant Ivan Grieve; Finvest Asset Management, LLC; and Finvest Fund Management, LLC	6/07/2013
100	2013-48	SEC v. Matthew John Ryan and Prime Rate And Return, LLC, individually and doing business as American Integrity Financial Co.	6/07/2013
101	2013-49	SEC v. Albert K. Hu, Asenqua, Inc., Asenqua Capital Management, LLC, AQC Asset Management, Ltd., and Fireside Capital Management, Ltd.	6/07/2013
102	2013-50	SEC v. Jorge Gomez and Roberto Aleph Espinosa	6/07/2013
103	2013-51	In the Matter of Koninklijke Philips Electronics N.V.	6/07/2013
104	2013-52	SEC v. Thomas Fisher, Kathleen Halloran, and George Behrens	9/12/2013
105	2013-54	SEC v. Joel I. Wilson, Diversified Group Partnership Management, LLC, and American Realty Funds Corporation	9/12/2013
106	2013-55	SEC v. RINO International Corporation, Dejun “David” Zou, and Jianping “Amy” Qiu	9/12/2013
107	2013-56	In the Matter of Total, S.A.	9/12/2013
108	2013-58	SEC v. Ricardo Bonilla Rojas and Shadai Yire, Inc.	9/12/2013
109	2013-59	SEC v. Tyco International LTD	9/12/2013

Appendix A – Award Claims

110	2013-60	SEC v. Richard J. Senior, Matthew Bell, Lynne Norman and Shaun P. Whiteley	9/12/2013
111	2013-62	SEC v. Victor Dosti and Whittier Trust Company	9/12/2013
112	2013-63	SEC v. William Graulich, IV and iVest International Holdings, Inc.	9/12/2013
113	2013-65	SEC v. Geoffrey J. Eiten and National Financial Communications, Corp.	9/12/2013
114	2013-66	SEC v. Ryan M. Reynolds, Jason Wynn, Carlton Fleming, Beverage Creations, Inc., Bellatalia, LP, Wynn Industries, LLC, and Thomas Wade Investments, LLC	9/12/2013
115	2013-68	SEC v. International Business Machines Corporation	9/12/2013
116	2013-69	SEC v. Fuqi International, Inc. and Yu Kwai Chong	9/12/2013
117	2013-70	SEC v. Keyuan Petrochemicals, Inc. and Aichun Li	9/12/2013
118	2013-71	SEC v. Bryan Arias, Hugo A. Arias, Anthony C. Ciccone, Salvatore Ciccone, Diane Kaylor, Jason A. Keryc, Anthony Massaro, Christopher E. Curran, Ryan K. Dunaske, Michael P. Dunne, Martin C. Hartmann III, Michael D. Keryc, Ronald R. Roaldsen, Jr., and Laura Ann Tordy	9/12/2013
119	2013-72	SEC v. Mack D. Murrell, David Teekell, and Charles W. Adams	9/12/2013
120	2013-73	SEC v. Robert Stinson, Jr., Life's Good, Inc., Life's Good Stabl Mortgage Fund, LLC, Life's Good High Yield Mortgage Fund, LLC, Life's Good Capital Growth Fund, LLC, IA Capital Fund, LLC, and Keystone State Capital Corporation	9/12/2013
121	2013-74	SEC v. Igors Nagaicevs	9/12/2013
122	2013-76	SEC v. Art Intellect, Inc., a Utah Corporation, d/b/a Mason Hill and Virtual MG, Patrick Merrill Brody, Laura A. Roser, and Gregory D. Wood	9/12/2013
123	2013-77	SEC v. Richard DeMaria	12/12/2013
124	2013-78	SEC v. David B. Welliver and Dblaine Capital, LLC	12/12/2013
125	2013-79	SEC v. Badin Rungruangnavarat	12/12/2013
126	2013-80	SEC v. Firas A. Hamdan, individually and doing business as FAH Capital Partners	12/12/2013
127	2013-81	SEC v. Scott London and Bryan Shaw	12/12/2013

Appendix A – Award Claims

128	2013-82	SEC v. Joseph Simone; Island Capital Management, Inc., Joseph Lando; Joseph Caracciolo; Alfred Varricchio; Anthony Pianelli; Jill Pianelli; JAP JAP Enterprises, LLC; Brian Fabrizzi; Donald Sorrentino; Anthony Carannante, individually and d/b/a A&C Management; Steven Daronzio, individually and d/b/a/ A&C Management; Rochelle Roman; Shaun Sarnicola; Anthony Tanico; Andrea Lando-Tanico; AJT Ltd; AJGT Ltd.; Michael McCormack; Donna Centola; DMAC Services, Inc.; Andrew Caccioppoli; Thomas Macli; Donna Macli; Lumac Corp.; Gary Manfre; Ricahrd Manfre; and RAM Solutions, Inc.	12/12/2013
129	2013-83	SEC v. John A. Mattera, Bradford Van Sielen, The Praetorian Global Fund, Ltd., Praetorian G Power I, LLC, Praetorian G Power II, LLC, Praetorian G Power IV, LLC, Praetorian G Power V, LLC, Praetorian G Power VI, LLC, David E. Howard II, John R. Arnold, First American Service Transmittals, Inc., Joseph Alamazon, and Spartan Capital Partners	12/12/2013
130	2013-84	SEC v. Phillip J. DeZwirek	12/12/2013
131	2013-89	SEC v. Harbinger Capital Partners LLC; Philip A. Falcone; and Peter A. Jenson	12/12/2013
132	2013-90	SEC v Yusaf Jawed, Grifphon Asset Management LLC, Grifphon Holdings, LLC, and Robert P. Custis	12/12/2013
133	2013-94	Marcin Malarz, Jacek Sienkiewicz, and Arthur Lin	12/12/2013
134	2013-96	SEC v. The Milan Group, Inc., a/k/a The Milan Trading Group, Inc., Frank L. Pavlico III, a/k/a Frank Lorenzo, Brynee K. Baylor, Baylor & Jackson, P.L.L.C	12/12/2013
135	2013-97	Brian G. Elrod and Nova Dean Pack	12/12/2013
136	2013-98	SEC v. Petro-Suisse LTD. and Mark Gasarch	12/12/2013
137	2013-101	SEC v. Edmund E. Wilson and Walter L. Ross	12/12/2013
138	2013-105	SEC v. China MediaExpress Holdings, Inc., and Zheng Cheng	12/12/2013
139	2013-106	SEC v. Small Business Capital Corp., Mark Feathers; Investors Prime Fund, LLC; and SBC Portfolio Fund, LLC.	12/12/2013
140	2013-107	SEC v. Edward T. Stein	12/12/2013
141	2013-108	SEC v. Huakang Zhou (a/k/a David Zhou) and Warner Technology and Investment Corporation	12/12/2013

Appendix A – Award Claims

142	2013-109	SEC v. Berton M. Hochfeld and Hochfeld Capital Management, L.L.C.	12/12/2013
143	2013-110	SEC v. Diebold, Inc.	12/12/2013

Appendix B – [REDACTED] Statements¹

<div data-bbox="203 315 349 388">[REDACTED]</div>	<div data-bbox="349 315 706 388">[REDACTED]</div> <div data-bbox="349 388 706 525">[REDACTED]</div>	<div data-bbox="706 315 1464 388">[REDACTED]</div> <div data-bbox="706 388 1464 525">[REDACTED]</div>
<div data-bbox="203 640 349 693">[REDACTED]</div>	<div data-bbox="349 640 706 693">[REDACTED]</div> <div data-bbox="349 693 706 840">[REDACTED]</div>	<div data-bbox="706 640 1464 1092">[REDACTED]</div>
<div data-bbox="203 1155 349 1207">[REDACTED]</div>	<div data-bbox="349 1155 706 1207">[REDACTED]</div> <div data-bbox="349 1207 706 1365">[REDACTED]</div>	<div data-bbox="706 1155 1464 1638">[REDACTED]</div>

¹ [REDACTED]







