

SELECT SEC AND MARKET DATA

FISCAL 2016

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TABLE 1
ENFORCEMENT MILESTONES
FISCAL 2016

<ul style="list-style-type: none"> ● Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately \$2.809 billion and to pay penalties of approximately \$1.273 billion.¹
<ul style="list-style-type: none"> ● Sought orders barring 113 defendants and respondents from serving as officers or directors of public companies.
<ul style="list-style-type: none"> ● Sought emergency relief from federal courts in the form of temporary restraining orders (TROs) to halt ongoing fraudulent conduct in 24 actions, and sought asset freezes in 33 actions.
<ul style="list-style-type: none"> ● Filed 7 actions to enforce investigative subpoenas.
<ul style="list-style-type: none"> ● Halted trading in securities of 199 issuers about which there was inadequate public disclosure.

In SEC-related criminal cases, prosecutors filed 109 indictments, informations, or contempts in Fiscal Year 2016.

¹ The amounts above do not include certain monies ordered in Securities and Exchange Commission v. Medical Capital Holdings, Inc., et al., Civil Action No. SA CV 09-818 DOC (RNBx) (C.D. Cal.) (\$831 million); Securities and Exchange Commission v. Enrica Cotellessa-Pitz, Civil Action No. 11 CV 9302 (LTS) (S.D.N.Y.) (\$97.3 billion); and Securities and Exchange Commission v. Eric Lipkin, Civil Action No. 11 CV 3826 (LTS) (\$30.6 billion).

TABLE 2
ENFORCEMENT ACTION SUMMARY CHART FOR
FISCAL 2016 BY PRIMARY CLASSIFICATION

(Each action initiated has been included in only one category listed below, even though many actions involved multiple allegations and may fall under more than one category. The number of defendants and respondents is noted parenthetically.)

Primary Classification	Civil Actions	Stand-Alone Administrative Proceeding	Follow-On Administrative Proceeding	Total	% of Total Actions
Broker-Dealer	5 (10)	56 (73)	112 (118)	173 (201)	19.9%
Delinquent Filings	0 (0)	125 (366)	0 (0)	125 (366)	14.4%
Foreign Corrupt Practices Act	1 (1)	20 (24)	0 (0)	21 (25)	2.4%
Insider Trading	29 (57)	16 (21)	0 (0)	45 (78)	5.2%
Investment Advisors/ Investment Companies	20 (62)	78 (129)	61 (63)	159 (254)	18.3%
Issuer Reporting and Disclosure	21 (69)	72 (130)	10 (10)	103 (209)	11.9%
Market Manipulation	16 (69)	14 (27)	3 (3)	33 (99)	3.8%
Miscellaneous	3 (6)	6 (6)	2 (2)	11 (14)	1.3%
Natl Rec Stat Rating Org (NRSRO)	0 (0)	2 (2)	0 (0)	2 (2)	0.2%
Public Finance Abuse	5 (14)	92 (101)	0 (0)	97 (115)	11.2%
Securities Offering	76 (307)	14 (20)	7 (7)	97 (334)	11.2%
Transfer Agent	0 (0)	2 (3)	0 (0)	2 (3)	0.2%
TOTALS	176 (595)	497 (902)	195 (203)	868 (1,700)	100%

TABLE 3
FISCAL 2016 ENFORCEMENT CASES
LISTED BY PROGRAM AREA

Case Name	Type of Action	Release No.	Date Filed
Broker-Dealer			
In the Matter of Thomas J. Palermo	Follow-on Admin. Proc.	34-76080	10/06/15
SEC v. Delaney Equity Group, LLC	Civil	LR-23384	10/06/15
In the Matter of Phillip Cory Roberts, et al.	Stand-alone Admin. Proc.	34-76096	10/07/15
In the Matter of Hugo A. Arias	Follow-on Admin. Proc.	34-76153	10/14/15
In the Matter of Jason A. Keryc	Follow-on Admin. Proc.	34-76154	10/14/15
In the Matter of Jerry A. Cicolani, Jr.	Follow-on Admin. Proc.	34-76166	10/15/15
In the Matter of Kelly C. Hood	Follow-on Admin. Proc.	34-76167	10/15/15
In the Matter of Jason A. Muskey	Follow-on Admin. Proc.	34-76160	10/15/15
In the Matter of Frederick V. McMenimen, III	Follow-on Admin. Proc.	34-76179	10/16/15
In the Matter of Jeffrey A. King	Follow-on Admin. Proc.	34-76242	10/22/15
In the Matter of Joseph J. Azzata	Follow-on Admin. Proc.	34-76263	10/26/15
In the Matter of Patrick R. Burke	Stand-alone Admin. Proc.	33-9968	10/28/15
In the Matter of Hal S. Tunick	Stand-alone Admin. Proc.	33-9969	10/28/15
In the Matter of Patricia S. Miller	Follow-on Admin. Proc.	34-76333	11/03/15
In the Matter of David K. Hirschman	Follow-on Admin. Proc.	34-76361	11/05/15
In the Matter of Kevin C. Brown	Follow-on Admin. Proc.	34-76435	11/13/15
In the Matter of James L. Erwin, et al.	Follow-on Admin. Proc.	34-76503	11/23/15
In the Matter of Marwood Group Research, LLC	Stand-alone Admin. Proc.	34-76512	11/24/15
In the Matter of Brett A. Cooper	Follow-on Admin. Proc.	34-76526	11/25/15
In the Matter of Michael Szafranski	Follow-on Admin. Proc.	34-76523	11/25/15
In the Matter of Mehron P. Azarmehr, et al.	Stand-alone Admin. Proc.	34-76568	12/07/15
In the Matter of Michael A. Bander, et al.	Stand-alone Admin. Proc.	34-76569	12/07/15
In the Matter of Roger A. Bernstein	Stand-alone Admin. Proc.	34-76570	12/07/15
In the Matter of Allen E. Kaye	Stand-alone Admin. Proc.	34-76571	12/07/15
In the Matter of Taraneh Khorrani	Stand-alone Admin. Proc.	34-76572	12/07/15
In the Matter of Mike S. Manesh, et al.	Stand-alone Admin. Proc.	34-76573	12/07/15
In the Matter of Kefei Wang	Stand-alone Admin. Proc.	34-76574	12/07/15
SEC v. Hui Feng, et al.	Civil	LR-23420	12/07/15
In the Matter of Vladimir Eydelman	Follow-on Admin. Proc.	34-76594	12/08/15
In the Matter of Vinay Kumar Nevatia	Follow-on Admin. Proc.	34-76581	12/08/15
In the Matter of Aaron Nowak	Stand-alone Admin. Proc.	33-9988	12/11/15
In the Matter of Deven Sellers, et al.	Follow-on Admin. Proc.	34-76659	12/15/15
In the Matter of KCG Americas, LLC	Stand-alone Admin. Proc.	33-9996	12/21/15
In the Matter of SG Americas Securities, LLC, et al.	Stand-alone Admin. Proc.	33-9999	12/22/15
In the Matter of Kevin I. Zinn	Follow-on Admin. Proc.	34-76752	12/23/15
In the Matter of J.P. Morgan Securities, LLC	Stand-alone Admin. Proc.	33-10001	01/06/16
In the Matter of Wayne L. Palmer	Follow-on Admin. Proc.	34-76843	01/06/16
In the Matter of John Olivia	Follow-on Admin. Proc.	34-76859	01/08/16
In the Matter of Paul D. Crawford	Follow-on Admin. Proc.	34-76866	01/11/16
In the Matter of Goldman, Sachs & Co.	Stand-alone Admin. Proc.	34-76899	01/14/16
In the Matter of Michael T. Snedeker	Follow-on Admin. Proc.	34-76932	01/19/16

Case Name	Type of Action	Release No.	Date Filed
In the Matter of 3C Advisors & Associates, Inc., et al.	Stand-alone Admin. Proc.	34-76979	01/27/16
In the Matter of Salvatore Renaldi	Follow-on Admin. Proc.	34-76977	01/27/16
In the Matter of Kevin A. Boyles	Follow-on Admin. Proc.	34-76986	01/28/16
In the Matter of Philip A. Dressner	Follow-on Admin. Proc.	34-76985	01/28/16
In the Matter of Barclays Capital, Inc.	Stand-alone Admin. Proc.	33-10010	01/31/16
In the Matter of Credit Suisse Securities (USA), LLC	Stand-alone Admin. Proc.	33-10014	01/31/16
In the Matter of Credit Suisse Securities (USA), LLC	Stand-alone Admin. Proc.	33-10013	01/31/16
In the Matter of E.S. Financial Services, Inc.	Stand-alone Admin. Proc.	34-77056	02/04/16
In the Matter of Tyson D. Williams	Follow-on Admin. Proc.	34-77083	02/08/16
In the Matter of Gregory L. Merrick	Follow-on Admin. Proc.	34-77136	02/12/16
In the Matter of Charles P. Grom	Stand-alone Admin. Proc.	34-77150	02/17/16
In the Matter of Jason Maiher	Stand-alone Admin. Proc.	34-77207	02/23/16
In the Matter of Mark A. Lopez	Follow-on Admin. Proc.	34-77225	02/24/16
In the Matter of Joseph A. Giordano	Follow-on Admin. Proc.	34-77244	02/26/16
In the Matter of KeyBanc Capital Markets, Inc.	Stand-alone Admin. Proc.	34-77254	02/29/16
In the Matter of Maximillian Santos	Stand-alone Admin. Proc.	34-77253	02/29/16
In the Matter of Devon C. McLean	Follow-on Admin. Proc.	34-77271	03/01/16
In the Matter of Janice D. Rey	Follow-on Admin. Proc.	34-77270	03/01/16
In the Matter of Frederick J. Birks	Follow-on Admin. Proc.	34-77317	03/08/16
In the Matter of Banc de Binary Ltd., et al.	Follow-on Admin. Proc.	34-77327	03/09/16
In the Matter of Steele V. Stephens	Follow-on Admin. Proc.	34-77347	03/10/16
In the Matter of Barry B. Clare	Stand-alone Admin. Proc.	34-77373	03/15/16
In the Matter of Kevin L. Dowd	Follow-on Admin. Proc.	34-77393	03/17/16
In the Matter of Philip Akel	Follow-on Admin. Proc.	34-77439	03/24/16
In the Matter of Canaccord Genuity, Inc.	Stand-alone Admin. Proc.	33-10059	03/24/16
In the Matter of Yue Han	Follow-on Admin. Proc.	34-77453	03/25/16
In the Matter of Linda Yoo	Stand-alone Admin. Proc.	34-77459	03/28/16
In the Matter of James E. Neilsen	Follow-on Admin. Proc.	34-77486	03/31/16
In the Matter of Raymon G. Chadwick, Jr.	Follow-on Admin. Proc.	34-77519	04/05/16
In the Matter of Terry W. Johnson	Follow-on Admin. Proc.	34-77517	04/05/16
In the Matter of Levi D. Lindemann	Follow-on Admin. Proc.	34-77541	04/06/16
In the Matter of Thomas E. Skypeck	Follow-on Admin. Proc.	34-77546	04/06/16
In the Matter of Craig Scott Capital, LLC, et al.	Stand-alone Admin. Proc.	34-77595	04/12/16
SEC v. Khaled Bassily	Civil	LR-23516	04/12/16
In the Matter of Daniel Christian Stanley Powell	Follow-on Admin. Proc.	34-77653	04/19/16
In the Matter of Caleb J. White	Follow-on Admin. Proc.	34-77689	04/22/16
In the Matter of Malcolm Segal	Follow-on Admin. Proc.	34-77702	04/25/16
In the Matter of Benito Chinaea	Follow-on Admin. Proc.	34-77725	04/27/16
In the Matter of Tomas Alberto Clarke Bethancourt	Follow-on Admin. Proc.	34-77727	04/27/16
In the Matter of Joseph Flores Demeneses, Jr.	Follow-on Admin. Proc.	34-77728	04/27/16
In the Matter of Jose Alejandro Hurtado	Follow-on Admin. Proc.	34-77729	04/27/16
In the Matter of Ernesto Lujan	Follow-on Admin. Proc.	34-77730	04/27/16
In the Matter of Stanley D. Parrish	Follow-on Admin. Proc.	34-77747	04/29/16
In the Matter of Stalin Antonio Asenjo	Follow-on Admin. Proc.	34-77768	05/05/16
In the Matter of Greg Ruehle	Follow-on Admin. Proc.	34-77802	05/10/16
In the Matter of John Steven Blount	Follow-on Admin. Proc.	34-77826	05/12/16
In the Matter of Stephan von Hase	Follow-on Admin. Proc.	34-77832	05/13/16
SEC v. Ross McLellan	Civil	LR-23540	05/13/16
In the Matter of Albert Fried & Company, LLC	Stand-alone Admin. Proc.	34-77971	06/01/16

Case Name	Type of Action	Release No.	Date Filed
In the Matter of Craig Medoff	Follow-on Admin. Proc.	34-77968	06/01/16
In the Matter of Steve Koifman	Follow-on Admin. Proc.	34-77981	06/02/16
In the Matter of Galen J. Marsh	Follow-on Admin. Proc.	34-78020	06/08/16
In the Matter of Morgan Stanley Smith Barney, LLC	Stand-alone Admin. Proc.	34-78021	06/08/16
In the Matter of American Life, Inc., et al.	Stand-alone Admin. Proc.	34-78042	06/13/16
In the Matter of Clark S. Gardner	Follow-on Admin. Proc.	34-78085	06/15/16
In the Matter of David L. Post	Follow-on Admin. Proc.	34-78083	06/15/16
In the Matter of Jonathan E. Rosenberg	Follow-on Admin. Proc.	34-78084	06/15/16
In the Matter of Rohit Bansal	Follow-on Admin. Proc.	34-78087	06/16/16
In the Matter of Merrill Lynch, Pierce, Fenner and Smith Incorporated, et al.	Stand-alone Admin. Proc.	34-78141	06/23/16
In the Matter of William Tirrell	Stand-alone Admin. Proc.	34-78142	06/23/16
In the Matter of James Anthony Catipay	Follow-on Admin. Proc.	34-78160	06/27/16
In the Matter of Patrick G. Mackaronis	Follow-on Admin. Proc.	34-78170	06/28/16
In the Matter of ICAN Investment Group, LLC	Follow-on Admin. Proc.	34-78210	06/30/16
In the Matter of NFS Group, LLC d/b/a Novers Financial a/k/a Safe Retirement Experts	Follow-on Admin. Proc.	34-78211	06/30/16
In the Matter of Christopher A. Novinger	Follow-on Admin. Proc.	34-78213	06/30/16
In the Matter of Speers Financial Group, LLC	Follow-on Admin. Proc.	34-78212	06/30/16
In the Matter of Brady J. Speers	Follow-on Admin. Proc.	34-78214	06/30/16
In the Matter of Cheongwha "Heywood" Chang	Follow-on Admin. Proc.	34-78268	07/08/16
In the Matter of Toni Tong Chen, CPA	Follow-on Admin. Proc.	34-78269	07/08/16
In the Matter of Bitcoin Investment Trust, et al.	Stand-alone Admin. Proc.	34-78282	07/11/16
In the Matter of Citigroup Global Markets, Inc.	Stand-alone Admin. Proc.	34-78291	07/12/16
In the Matter of Jeffrey E. Gallagher	Follow-on Admin. Proc.	34-78318	07/13/16
In the Matter of Timothy A. Nemeckay	Follow-on Admin. Proc.	34-78411	07/25/16
In the Matter of Nathan Schleifer	Follow-on Admin. Proc.	34-78418	07/26/16
SEC v. John T. Place, et al.	Civil	LR-23613	08/08/16
In the Matter of David R. Gray, II	Follow-on Admin. Proc.	34-78516	08/09/16
In the Matter of Terry Pickering Lobelsky	Follow-on Admin. Proc.	34-78515	08/09/16
In the Matter of Merle G. Walter	Follow-on Admin. Proc.	34-78518	08/09/16
In the Matter of Ricky T. Meyer	Follow-on Admin. Proc.	34-78551	08/11/16
In the Matter of Stephen Wilshinsky	Follow-on Admin. Proc.	34-78559	08/11/16
In the Matter of Izak Zirk De Maison (f/k/a) Izak Zirk Engelbrecht	Follow-on Admin. Proc.	34-78569	08/12/16
In the Matter of Tianyu Zhou	Stand-alone Admin. Proc.	34-78571	08/15/16
In the Matter of Damon M. Barnes, et al.	Stand-alone Admin. Proc.	34-78579	08/16/16
In the Matter of Jeremy D. Barnes	Stand-alone Admin. Proc.	34-78580	08/16/16
In the Matter of Daniel J. Bean	Stand-alone Admin. Proc.	34-78581	08/16/16
In the Matter of Joshua M. Beauregard, et al.	Stand-alone Admin. Proc.	34-78583	08/16/16
In the Matter of Edwin K. Chin	Stand-alone Admin. Proc.	34-78585	08/16/16
In the Matter of Delaney Equity Group, LLC, et al.	Stand-alone Admin. Proc.	33-10122	08/16/16
In the Matter of John L. Shipley	Stand-alone Admin. Proc.	34-78582	08/16/16
In the Matter of Delaney Equity Group, LLC	Stand-alone Admin. Proc.	34-78603	08/17/16
In the Matter of Justin Esposito	Follow-on Admin. Proc.	34-78606	08/17/16
In the Matter of Gregory Goldstein	Follow-on Admin. Proc.	34-78599	08/17/16
In the Matter of Michael T. Angeletti	Follow-on Admin. Proc.	34-78650	08/23/16
In the Matter of Christopher J. Borgo	Follow-on Admin. Proc.	34-78651	08/23/16
In the Matter of Michael J. Calash	Follow-on Admin. Proc.	34-78649	08/23/16
In the Matter of David Anthony Eratostene	Follow-on Admin. Proc.	34-78645	08/23/16

Case Name	Type of Action	Release No.	Date Filed
In the Matter of Douglas Kuber	Follow-on Admin. Proc.	34-78655	08/23/16
In the Matter of Alan D. Messina	Follow-on Admin. Proc.	34-78646	08/23/16
In the Matter of Curtis A. Peterson	Stand-alone Admin. Proc.	34-78639	08/23/16
In the Matter of Gary X. Schultz	Follow-on Admin. Proc.	34-78647	08/23/16
In the Matter of Chazon Stein	Follow-on Admin. Proc.	34-78648	08/23/16
In the Matter of Thomas T. M. Ho	Stand-alone Admin. Proc.	34-78656	08/24/16
In the Matter of Mark A. Ivener, et al.	Stand-alone Admin. Proc.	34-78657	08/24/16
In the Matter of Martin J. Lawler	Stand-alone Admin. Proc.	34-78658	08/24/16
In the Matter of Kieran T. Kuhn	Follow-on Admin. Proc.	34-78682	08/25/16
In the Matter of Pamella B. Watson	Follow-on Admin. Proc.	34-78717	08/29/16
In the Matter of Angelique de Maison	Follow-on Admin. Proc.	34-78725	08/30/16
In the Matter of Robert D. Milligan	Follow-on Admin. Proc.	34-78756	09/01/16
In the Matter of William Scholander	Follow-on Admin. Proc.	34-78768	09/02/16
In the Matter of Eduardo Guillermo Diaz	Follow-on Admin. Proc.	34-78776	09/07/16
In the Matter of Aaron Nash Kazinec	Follow-on Admin. Proc.	34-78775	09/07/16
In the Matter of Marius Morariu	Follow-on Admin. Proc.	34-78783	09/08/16
In the Matter of Andrew W.W. Caspersen	Follow-on Admin. Proc.	34-78842	09/14/16
In the Matter of Gordon W. Jenkins	Follow-on Admin. Proc.	34-78853	09/15/16
In the Matter of Francis W. Kreais	Follow-on Admin. Proc.	34-78852	09/15/16
In the Matter of Theodore P. Sweeten	Follow-on Admin. Proc.	34-78854	09/15/16
In the Matter of Kenny Phu	Stand-alone Admin. Proc.	34-78876	09/19/16
In the Matter of David A. Zimmerman	Follow-on Admin. Proc.	34-78875	09/19/16
In the Matter of Roger G. Coleman, Sr.	Follow-on Admin. Proc.	34-78890	09/20/16
In the Matter of Karl E. Hahn	Follow-on Admin. Proc.	34-78895	09/21/16
In the Matter of Jack Tagliaferro	Follow-on Admin. Proc.	34-78927	09/23/16
In the Matter of Nicholas M. Bonacci	Stand-alone Admin. Proc.	34-78932	09/26/16
In the Matter of Merrill Lynch, Pierce, Fenner and Smith Incorporated	Stand-alone Admin. Proc.	34-78929	09/26/16
In the Matter of Robert Seibert	Follow-on Admin. Proc.	34-78936	09/26/16
In the Matter of UBS Financial Services, Inc.	Stand-alone Admin. Proc.	34-78958	09/28/16
In the Matter of James E. Cleary, Jr.	Stand-alone Admin. Proc.	34-78994	09/29/16
In the Matter of Jason Cope	Follow-on Admin. Proc.	34-78999	09/29/16
In the Matter of Jason M. Ganton	Stand-alone Admin. Proc.	34-78995	09/29/16
In the Matter of Mason D. Newman	Stand-alone Admin. Proc.	34-78996	09/29/16
In the Matter of Kenneth S. Whitehead	Follow-on Admin. Proc.	34-78976	09/29/16
In the Matter of Kona Jones Barbera	Follow-on Admin. Proc.	34-79006	09/30/16
In the Matter of Jonathan Greenfield	Follow-on Admin. Proc.	34-79015	09/30/16
Delinquent Filings			
In the Matter of OneSource Technologies, Inc., et al.	Stand-alone Admin. Proc.	34-76090	10/07/15
In the Matter of OSK Capital I Corp., et al.	Stand-alone Admin. Proc.	34-76089	10/07/15
In the Matter of Accentia Biopharmaceuticals, Inc., et al.	Stand-alone Admin. Proc.	34-76169	10/16/15
In the Matter of Life Care Medical Devices, Ltd., et al.	Stand-alone Admin. Proc.	34-76171	10/16/15
In the Matter of Oriental Nonferrous Metals Technology Co., Ltd., et al.	Stand-alone Admin. Proc.	34-76252	10/23/15
In the Matter of The Jenex Corp., et al.	Stand-alone Admin. Proc.	34-76253	10/23/15
In the Matter of Pan Asia Mining Corp., et al.	Stand-alone Admin. Proc.	34-76279	10/27/15
In the Matter of American Power Corp., et al.	Stand-alone Admin. Proc.	34-76315	10/30/15
In the Matter of CodeSmart Holdings, Inc.	Stand-alone Admin. Proc.	34-76337	11/04/15

Case Name	Type of Action	Release No.	Date Filed
In the Matter of Friendly Energy Exploration, et al.	Stand-alone Admin. Proc.	34-76358	11/05/15
In the Matter of Inelco Corp., et al.	Stand-alone Admin. Proc.	34-76378	11/06/15
In the Matter of Echelon Acquisition Corp., et al.	Stand-alone Admin. Proc.	34-76404	11/10/15
In the Matter of Riverdale Mining, Inc., et al.	Stand-alone Admin. Proc.	34-76426	11/12/15
In the Matter of Equity Ventures Group, Inc., et al.	Stand-alone Admin. Proc.	34-76448	11/16/15
In the Matter of African Copper Corp., et al.	Stand-alone Admin. Proc.	34-76476	11/19/15
In the Matter of Ben Franklin Financial, Inc. (a/k/a Franklin Ben Financial, Inc.), et al.	Stand-alone Admin. Proc.	34-76560	12/03/15
In the Matter of Fox Energy Corp.	Stand-alone Admin. Proc.	34-76561	12/04/15
In the Matter of Cadan Resources Corp., et al.	Stand-alone Admin. Proc.	34-76582	12/08/15
In the Matter of Downer's Gap, Inc. (a/k/a Downers Gap, Inc.), et al.	Stand-alone Admin. Proc.	34-76583	12/08/15
In the Matter of SMF Energy Corp.	Stand-alone Admin. Proc.	34-76618	12/11/15
In the Matter of Dewpoint Environmental, Inc., et al.	Stand-alone Admin. Proc.	34-76679	12/17/15
In the Matter of Dome Holding Corp., et al.	Stand-alone Admin. Proc.	34-76680	12/17/15
In the Matter of Bioject Medical Technologies, Inc., et al.	Stand-alone Admin. Proc.	34-76728	12/22/15
In the Matter of Bravo Resource Partners, Ltd., et al.	Stand-alone Admin. Proc.	34-76726	12/22/15
In the Matter of USChina Venture I, Inc., et al.	Stand-alone Admin. Proc.	34-76735	12/22/15
In the Matter of Easylink Information Technology Co., Ltd.	Stand-alone Admin. Proc.	34-76751	12/23/15
In the Matter of Yayi International, Inc.	Stand-alone Admin. Proc.	34-76747	12/23/15
In the Matter of Changda International Holdings, Inc.	Stand-alone Admin. Proc.	34-76785	12/29/15
In the Matter of Zhong Wen International Holding Co., Ltd.	Stand-alone Admin. Proc.	34-76783	12/29/15
In the Matter of Buncombe, Inc., et al.	Stand-alone Admin. Proc.	34-76794	12/30/15
In the Matter of China Domestica Bio-technology Holdings, Inc.	Stand-alone Admin. Proc.	34-76793	12/30/15
In the Matter of DE Acquisition 7, Inc., et al.	Stand-alone Admin. Proc.	34-76795	12/30/15
In the Matter of USA Graphite, Inc.	Stand-alone Admin. Proc.	34-76791	12/30/15
In the Matter of China Holdings Group, Inc., et al.	Stand-alone Admin. Proc.	34-76846	01/07/16
In the Matter of Cinema Internet Networks, Inc. (a/k/a Quentin Ventures Ltd.), et al.	Stand-alone Admin. Proc.	34-76847	01/07/16
In the Matter of DC Brands International, Inc.	Stand-alone Admin. Proc.	34-76861	01/11/16
In the Matter of Go Green Smokeless Oil International, Inc., et al.	Stand-alone Admin. Proc.	34-76872	01/11/16
In the Matter of NHS Financial, Inc.	Stand-alone Admin. Proc.	34-76873	01/11/16
In the Matter of Champion Enterprises, Inc. (a/k/a CEI Liquidation Estate)	Stand-alone Admin. Proc.	34-76882	01/13/16
In the Matter of Andain, Inc.	Stand-alone Admin. Proc.	34-76898	01/14/16
In the Matter of China Ticket Center, Inc., et al.	Stand-alone Admin. Proc.	34-76940	01/21/16
In the Matter of Daytona Systems, Inc., et al.	Stand-alone Admin. Proc.	34-76951	01/21/16
In the Matter of 99 Cent Stuff, Inc., et al.	Stand-alone Admin. Proc.	34-76962	01/22/16
In the Matter of Oldwebsites.com, Inc., et al.	Stand-alone Admin. Proc.	34-76964	01/22/16
In the Matter of Diversified Health & Fitness, Inc., et al.	Stand-alone Admin. Proc.	34-76987	01/28/16
In the Matter of Eight-Eight Acquisition Corp. I, et al.	Stand-alone Admin. Proc.	34-76988	01/28/16
In the Matter of DCI Telecommunications, Inc., et al.	Stand-alone Admin. Proc.	34-77011	02/01/16
In the Matter of RSL Communications, Ltd., et al.	Stand-alone Admin. Proc.	34-77010	02/01/16
In the Matter of Bailey Frances Corp., et al.	Stand-alone Admin. Proc.	34-77060	02/04/16
In the Matter of CBC Acquisition Corp. 1, et al.	Stand-alone Admin. Proc.	34-77061	02/04/16
In the Matter of Disaster Preparedness Systems, Inc., et al.	Stand-alone Admin. Proc.	34-77102	02/10/16
In the Matter of China Rongxin Chemical Holding Group, Inc., et al.	Stand-alone Admin. Proc.	34-77135	02/12/16
In the Matter of Shearson Financial Network, Inc., et al.	Stand-alone Admin. Proc.	34-77133	02/12/16

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In the Matter of Wentworth IV, Inc., et al.	Stand-alone Admin. Proc.	34-77132	02/12/16
In the Matter of Ceyoniq AG (n/k/a CEYONIQ, Inc.), et al.	Stand-alone Admin. Proc.	34-77167	02/17/16
In the Matter of Digiblue Media, Inc., et al.	Stand-alone Admin. Proc.	34-77166	02/17/16
In the Matter of Infrastructure International, Inc.	Stand-alone Admin. Proc.	34-77227	02/24/16
In the Matter of TexStar Oil Corporation, et al.	Stand-alone Admin. Proc.	34-77788	02/24/16
In the Matter of Chardan China Acquisition Corp., et al.	Stand-alone Admin. Proc.	34-77238	02/25/16
In the Matter of DE Acquisition 5, Inc., et al.	Stand-alone Admin. Proc.	34-77237	02/25/16
In the Matter of Map IV Acquisition, Inc., et al.	Stand-alone Admin. Proc.	34-77260	03/01/16
In the Matter of Elsinore Capital II, Ltd., et al.	Stand-alone Admin. Proc.	34-77273	03/02/16
In the Matter of Natural Resources Corporation In the Matter of Joseph Denard Reid (a/k/a Reid Joseph Denard), et al.	Stand-alone Admin. Proc.	34-77272	03/02/16
In the Matter of eCareer Holdings, Inc.	Stand-alone Admin. Proc.	34-77278	03/03/16
In the Matter of Geo Global Group Ltd. (f/k/a Geo Genesis Group, Ltd.)	Stand-alone Admin. Proc.	34-77313	03/08/16
In the Matter of Concertsbyu.Com, Inc., et al.	Stand-alone Admin. Proc.	34-77326	03/08/16
In the Matter of Rings To Dine For, Inc.	Stand-alone Admin. Proc.	34-77397	03/17/16
In the Matter of Clubhouse Videos, Inc., et al.	Stand-alone Admin. Proc.	34-77467	03/29/16
In the Matter of Lenco Mobile, Inc.	Stand-alone Admin. Proc.	34-77496	03/31/16
In the Matter of Expleo Solutions, Inc., et al.	Stand-alone Admin. Proc.	34-77482	03/31/16
In the Matter of Mondeo Investments, Inc., et al.	Stand-alone Admin. Proc.	34-77544	04/06/16
In the Matter of CelLynx Group, Inc., et al.	Stand-alone Admin. Proc.	34-77622	04/14/16
In the Matter of Gold Hills Mining, Ltd., et al.	Stand-alone Admin. Proc.	34-77670	04/21/16
In the Matter of Coyote Resources, Inc., et al.	Stand-alone Admin. Proc.	34-77672	04/21/16
In the Matter of Pioneer Exploration, Inc., et al.	Stand-alone Admin. Proc.	34-77741	04/29/16
In the Matter of EQCO2, Inc., et al.	Stand-alone Admin. Proc.	34-77739	04/29/16
In the Matter of Giant Resources, Inc., et al.	Stand-alone Admin. Proc.	34-77760	05/04/16
In the Matter of GroveWare Technologies, Ltd., et al.	Stand-alone Admin. Proc.	34-77762	05/04/16
In the Matter of Li-Ion Motors Corp. (a/k/a Terra Inventions Corp.), et al.	Stand-alone Admin. Proc.	34-77806	05/11/16
In the Matter of Bodisen Biotech, Inc., et al.	Stand-alone Admin. Proc.	34-77805	05/11/16
In the Matter of Dragon Bright Mintai Botanical Technology Cayman Ltd., et al.	Stand-alone Admin. Proc.	34-77866	05/20/16
In the Matter of China Unistone Acquisition Corp., et al.	Stand-alone Admin. Proc.	34-77868	05/20/16
In the Matter of Greenpower International Group, Ltd., et al.	Stand-alone Admin. Proc.	34-77893	05/24/16
In the Matter of China VantagePoint Acquisition Co., et al.	Stand-alone Admin. Proc.	34-77894	05/24/16
In the Matter of Eric B. Global Ventures, Inc., et al.	Stand-alone Admin. Proc.	34-77953	05/31/16
In the Matter of Advanced Life Sciences Holdings, Inc., et al.	Stand-alone Admin. Proc.	34-78022	06/08/16
In the Matter of Cascade Technologies Corp., et al.	Stand-alone Admin. Proc.	34-78073	06/15/16
In the Matter of MIT Holding, Inc.	Stand-alone Admin. Proc.	34-78070	06/15/16
In the Matter of Essential Telecommunications, Inc., et al.	Stand-alone Admin. Proc.	34-78068	06/15/16
In the Matter of Galileo Petroleum, Ltd., et al.	Stand-alone Admin. Proc.	34-78092	06/16/16
In the Matter of Caspian International Oil Corporation, et al.	Stand-alone Admin. Proc.	34-78115	06/21/16
In the Matter of Coastal Pacific Mining Corp., et al.	Stand-alone Admin. Proc.	34-78138	06/23/16
In the Matter of Rebornne (USA), Inc.	Stand-alone Admin. Proc.	34-78136	06/23/16
In the Matter of Longwei Petroleum Investment Holding Limited	Stand-alone Admin. Proc.	34-78140	06/23/16
In the Matter of Easy Health Technologies, Ltd., et al.	Stand-alone Admin. Proc.	34-78159	06/27/16
In the Matter of Breitling Energy Corporation	Stand-alone Admin. Proc.	34-78258	07/08/16
In the Matter of HII Technologies, Inc.	Stand-alone Admin. Proc.	34-78288	07/11/16
	Stand-alone Admin. Proc.	34-78307	07/13/16

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In the Matter of Franklin Bank Corporation	Stand-alone Admin. Proc.	34-78349	07/15/16
In the Matter of Algorex Corporation, et al.	Stand-alone Admin. Proc.	34-78362	07/19/16
In the Matter of Great Basin Gold Limited	Stand-alone Admin. Proc.	34-78363	07/19/16
In the Matter of Scanner Technologies Corp., et al.	Stand-alone Admin. Proc.	34-78366	07/20/16
In the Matter of Capitol City Bancshares, Inc., et al.	Stand-alone Admin. Proc.	34-78507	08/09/16
In the Matter of Ameralink, Inc., et al.	Stand-alone Admin. Proc.	34-78539	08/10/16
In the Matter of Dominion Minerals Corp., et al.	Stand-alone Admin. Proc.	34-78538	08/10/16
In the Matter of Eastland Financial Corp., et al.	Stand-alone Admin. Proc.	34-78540	08/10/16
In the Matter of Dynamic Ventures Corp.	Stand-alone Admin. Proc.	34-78563	08/12/16
In the Matter of Safecode Drug Technologies Corp.	Stand-alone Admin. Proc.	34-78561	08/12/16
In the Matter of Triumph Ventures Corp.	Stand-alone Admin. Proc.	34-78562	08/12/16
In the Matter of Global Earth Energy, Inc.	Stand-alone Admin. Proc.	34-78624	08/22/16
In the Matter of Fairfield Minerals, Ltd., et al.	Stand-alone Admin. Proc.	34-78722	08/30/16
In the Matter of Ilio, Inc., et al.	Stand-alone Admin. Proc.	34-78723	08/30/16
In the Matter of Grace Development, Inc., et al.	Stand-alone Admin. Proc.	34-78734	08/31/16
In the Matter of Multi-Corp. International, Inc., et al.	Stand-alone Admin. Proc.	34-78732	08/31/16
In the Matter of Affordable Green Homes International, et al.	Stand-alone Admin. Proc.	34-78858	09/16/16
In the Matter of All Energy Corp., et al.	Stand-alone Admin. Proc.	34-78857	09/16/16
In the Matter of Bluforest, Inc.	Stand-alone Admin. Proc.	34-78891	09/20/16
In the Matter of AIC International Resources Corp., et al.	Stand-alone Admin. Proc.	34-78903	09/22/16
In the Matter of Amarillo Mesquite Grill, Inc., et al.	Stand-alone Admin. Proc.	34-78904	09/22/16
In the Matter of Capital Preferred Yield Fund-III, LP, et al.	Stand-alone Admin. Proc.	34-78905	09/22/16
In the Matter of Medient Studios, Inc. a/k/a Moon River Studios, Inc.	Stand-alone Admin. Proc.	34-78923	09/23/16
In the Matter of Accel Brands, Inc.	Stand-alone Admin. Proc.	34-78933	09/26/16
In the Matter of Cantab Pharmaceuticals PLC, et al.	Stand-alone Admin. Proc.	34-78970	09/28/16
In the Matter of Telestone Technologies Corp., et al.	Stand-alone Admin. Proc.	34-78971	09/28/16
In the Matter of Sierra Resource Group, Inc.	Stand-alone Admin. Proc.	34-78973	09/29/16
Foreign Corrupt Practices Act			
In the Matter of Bristol-Myers Squibb Company	Stand-alone Admin. Proc.	34-76073	10/05/15
In the Matter of SAP SE	Stand-alone Admin. Proc.	34-77005	02/01/16
In the Matter of Ignacio Cueto Plaza	Stand-alone Admin. Proc.	34-77057	02/04/16
In the Matter of SciClone Pharmaceuticals, Inc.	Stand-alone Admin. Proc.	34-77058	02/04/16
In the Matter of PTC, Inc.	Stand-alone Admin. Proc.	34-77145	02/16/16
SEC v. VimpelCom, Ltd.	Civil	2016-34	02/18/16
In the Matter of Qualcomm Incorporated	Stand-alone Admin. Proc.	34-77261	03/01/16
In the Matter of Mikhail Gourevitch	Stand-alone Admin. Proc.	34-77288	03/03/16
In the Matter of Nordion (Canada), Inc.	Stand-alone Admin. Proc.	34-77290	03/03/16
In the Matter of Novartis AG	Stand-alone Admin. Proc.	34-77431	03/23/16
In the Matter of Las Vegas Sands Corp.	Stand-alone Admin. Proc.	34-77555	04/07/16
In the Matter of Analogic Corporation, et al.	Stand-alone Admin. Proc.	34-78113	06/21/16
In the Matter of Johnson Controls, Inc.	Stand-alone Admin. Proc.	34-78287	07/11/16
In the Matter of LAN Airlines S.A.	Stand-alone Admin. Proc.	34-78402	07/25/16
In the Matter of Key Energy Services, Inc.	Stand-alone Admin. Proc.	34-78558	08/11/16
In the Matter of AstraZeneca PLC	Stand-alone Admin. Proc.	34-78730	08/30/16
In the Matter of Jun Ping Zhang	Stand-alone Admin. Proc.	34-78825	09/13/16
In the Matter of Nu Skin Enterprises, Inc.	Stand-alone Admin. Proc.	34-78884	09/20/16
In the Matter of Anheuser-Busch InBev SA/NV	Stand-alone Admin. Proc.	34-78957	09/28/16

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In the Matter of Och-Ziff Capital Management Group, LLC, et al.	Stand-alone Admin. Proc.	34-78989	09/29/16
In the Matter of GlaxoSmithKline plc	Stand-alone Admin. Proc.	34-79005	09/30/16
Insider Trading			
SEC v. Oscar Wu	Civil	LR-23380	10/07/15
SEC v. Francis J. van Steenberge, et al.	Civil	LR-23385	10/09/15
SEC v. Vlad B. Spivak, et al.	Civil	LR-23398	11/02/15
SEC v. Zhichen Zhou, et al.	Civil	LR-23403	11/09/15
SEC v. Steven C. Watson	Civil	LR-23408	11/17/15
SEC v. Yue Han, et al.	Civil	2015-267	11/24/15
In the Matter of Eric E. Shear	Stand-alone Admin. Proc.	34-76695	12/18/15
In the Matter of Danny E. Carpenter, et al.	Stand-alone Admin. Proc.	34-76741	12/22/15
In the Matter of Vivian S. Shields	Stand-alone Admin. Proc.	34-76818	01/04/16
In the Matter of Reid A. Hackney, CPA	Stand-alone Admin. Proc.	34-76879	01/12/16
SEC v. Dennis W. Hamilton	Civil	2016-24	02/05/16
SEC v. Robert M. Munakash, et al.	Civil	LR-23460	02/05/16
In the Matter of Jarrod L. Spector	Stand-alone Admin. Proc.	34-77094	02/09/16
In the Matter of Abdallah Fadel	Stand-alone Admin. Proc.	34-77109	02/10/16
In the Matter of Nicholas A. Prezioso	Stand-alone Admin. Proc.	34-77185	02/19/16
In the Matter of Lawrence M. Gincel	Stand-alone Admin. Proc.	34-77258	03/01/16
In the Matter of Patricia Zajick Metzler, et al.	Stand-alone Admin. Proc.	34-77257	03/01/16
In the Matter of Craig N. Salamone	Stand-alone Admin. Proc.	34-77259	03/01/16
SEC v. Jay Y. Fung	Civil	LR-23483	03/09/16
In the Matter of Eric J. Wolff	Stand-alone Admin. Proc.	34-77383	03/16/16
SEC v. John E. Hardy, III	Civil	LR-23492	03/18/16
SEC v. John Afriyie, et al.	Civil	LR-23519	04/13/16
SEC v. Peter D. Nunan	Civil	LR-23558	05/02/16
SEC v. William T. Walters, et al.	Civil	2016-92	05/19/16
SEC v. Steven V. McClatchey, et al.	Civil	LR-23552	05/31/16
SEC v. Michael J. Maciocio, et al.	Civil	LR-23561	06/03/16
SEC v. Guolin Ma	Civil	LR-23564	06/09/16
SEC v. Schultz Chan	Civil	None	06/14/16
SEC v. Christopher Plaford	Civil	2016-119	06/15/16
SEC v. Sanjay Valvani, et al.	Civil	2016-119	06/15/16
SEC v. Christopher Salis, et al.	Civil	LR-23571	06/16/16
SEC v. James S. Hannon	Civil	LR-23574	06/20/16
SEC v. Andrew F. Kerr	Civil	LR-23586	06/29/16
SEC v. Thomas W. Avent, Jr., et al.	Civil	LR-23593	07/07/16
In the Matter of Yi Chen, CPA	Stand-alone Admin. Proc.	34-78413	07/26/16
SEC v. Edward J. Kosinski	Civil	LR-23611	08/04/16
SEC v. Paul T. Rampoldi, et al.	Civil	LR-23619	08/11/16
SEC v. Leon G. Cooperman, et al.	Civil	2016-189	09/21/16
SEC v. Colin Whelehan, et al.	Civil	LR-23652	09/22/16
In the Matter of Frank P. Barucci	Stand-alone Admin. Proc.	34-78938	09/26/16
In the Matter of Frank S. Barucci	Stand-alone Admin. Proc.	34-78937	09/26/16
In the Matter of Syed A. Hashim	Stand-alone Admin. Proc.	34-78940	09/26/16
In the Matter of Vijay S. Rajan	Stand-alone Admin. Proc.	34-78939	09/26/16
SEC v. Nino Coppero del Valle, et al.	Civil	LR-23660	09/28/16
SEC v. Robert Gadimian	Civil	LR-23662	09/29/16

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Investment Advisors/Investment Companies			
In the Matter of Arthur F. Jacob, CPA, et al.	Stand-alone Admin. Proc.	34-76079	10/05/15
In the Matter of Blackstone Management Partners, LLC, et al.	Stand-alone Admin. Proc.	IA-4219	10/07/15
In the Matter of Wolverine Trading, LLC, et al.	Stand-alone Admin. Proc.	34-76109	10/08/15
In the Matter of James T. Budden, et al.	Stand-alone Admin. Proc.	IA-4225	10/13/15
In the Matter of James A. Evans, Jr.	Follow-on Admin. Proc.	IA-4226	10/13/15
SEC v. Lonny S. Bernath	Civil	LR-23387	10/13/15
In the Matter of UBS Willow Management LLC, et al.	Stand-alone Admin. Proc.	33-9964	10/19/15
SEC v. Michael Donnelly	Civil	2015-242	10/19/15
In the Matter of Paul Lee Moore	Follow-on Admin. Proc.	IA-4234	10/20/15
In the Matter of Evelyn Litwok	Follow-on Admin. Proc.	IA-4235	10/21/15
In the Matter of Retirement Investment Advisors, Inc.	Stand-alone Admin. Proc.	34-76218	10/21/15
In the Matter of Garfield M. Taylor	Follow-on Admin. Proc.	34-76243	10/22/15
In the Matter of James N. Fry	Follow-on Admin. Proc.	IA-4242	10/26/15
In the Matter of National Asset Management, Inc.	Stand-alone Admin. Proc.	34-76264	10/26/15
In the Matter of Robert Burton	Follow-on Admin. Proc.	IA-4244	10/27/15
In the Matter of John D'Auria	Follow-on Admin. Proc.	34-76280	10/27/15
In the Matter of Gary M. Arford	Stand-alone Admin. Proc.	34-76287	10/28/15
SEC v. Summit Trust Company, et al.	Civil	LR-23393	10/28/15
In the Matter of Sean M. Meadows	Follow-on Admin. Proc.	34-76304	10/29/15
In the Matter of Jonathan Warren Brooks	Follow-on Admin. Proc.	34-76328	11/02/15
In the Matter of James Michael Murray	Follow-on Admin. Proc.	IA-4252	11/02/15
In the Matter of Fenway Partners, LLC, et al.	Stand-alone Admin. Proc.	IA-4253	11/03/15
In the Matter of Scott A. Doak	Stand-alone Admin. Proc.	33-9976	11/04/15
In the Matter of Lonny S. Bernath	Follow-on Admin. Proc.	IA-4257	11/05/15
In the Matter of Cherokee Investment Partners, LLC, et al.	Stand-alone Admin. Proc.	IA-4258	11/05/15
In the Matter of George Charles Cody Price	Follow-on Admin. Proc.	IA-4259	11/05/15
In the Matter of Metis Wealth Advisors, LLC, et al.	Stand-alone Admin. Proc.	34-76432	11/12/15
In the Matter of George P. Brown	Follow-on Admin. Proc.	IA-4264	11/13/15
In the Matter of Oscar Wu	Follow-on Admin. Proc.	IA-4265	11/13/15
In the Matter of Virtus Investment Advisers, Inc.	Stand-alone Admin. Proc.	IA-4266	11/16/15
In the Matter of Chris Yoo	Follow-on Admin. Proc.	IA-4267	11/16/15
In the Matter of FCG Advisors, LLC	Stand-alone Admin. Proc.	IA-4268	11/17/15
In the Matter of Thomas A. Kolbe	Stand-alone Admin. Proc.	IA-4269	11/17/15
In the Matter of Christopher R. Kelly, Esq.	Follow-on Admin. Proc.	34-76477	11/19/15
In the Matter of Cranshire Capital Advisors, LLC	Stand-alone Admin. Proc.	IA-4277	11/23/15
In the Matter of JH Partners, LLC	Stand-alone Admin. Proc.	IA-4276	11/23/15
In the Matter of Alpha Fiduciary, Inc., et al.	Stand-alone Admin. Proc.	IA-4283	11/30/15
In the Matter of Michael L. Shea	Stand-alone Admin. Proc.	34-76528	11/30/15
In the Matter of John Michael Babiarz	Follow-on Admin. Proc.	IA-4288	12/08/15
In the Matter of Peter J. Eichler, Jr.	Follow-on Admin. Proc.	34-76635	12/14/15
SEC v. Atlantic Asset Management, LLC	Civil	2015-280	12/15/15
In the Matter of Owen Li, et al.	Stand-alone Admin. Proc.	33-9991	12/16/15
SEC v. Martin Shkreli, et al.	Civil	LR-23433	12/17/15
In the Matter of JPMorgan Chase Bank, N.A., et al.	Stand-alone Admin. Proc.	33-9992	12/18/15
In the Matter of David A. Bryson	Follow-on Admin. Proc.	IA-4300	12/22/15
In the Matter of Bart C. Gutekunst	Follow-on Admin. Proc.	IA-4301	12/22/15
In the Matter of Morgan Stanley Investment Management Inc., et al.	Stand-alone Admin. Proc.	33-9998	12/22/15

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In the Matter of Richard Pereira, CPA	Follow-on Admin. Proc.	IA-4302	12/22/15
In the Matter of Shreyans Desai	Follow-on Admin. Proc.	34-76838	01/05/16
In the Matter of Richard M. Higgins	Follow-on Admin. Proc.	34-76878	01/12/16
In the Matter of Hudson Capital Partners Corporation	Follow-on Admin. Proc.	IA-4312	01/13/16
In the Matter of Rahfco Management Group, LLC	Follow-on Admin. Proc.	34-76885	01/13/16
In the Matter of Everhart Financial Group, Inc., et al.	Stand-alone Admin. Proc.	34-76897	01/14/16
In the Matter of Invent Ventures, Inc., et al.	Stand-alone Admin. Proc.	34-76916	01/14/16
In the Matter of Equinox Fund Management, LLC	Stand-alone Admin. Proc.	33-10004	01/19/16
In the Matter of Moazzam "Mark" Malik	Follow-on Admin. Proc.	IA-4357	01/27/16
In the Matter of Peter Kuperman, et al.	Stand-alone Admin. Proc.	33-10009	01/28/16
In the Matter of Jason Bo-Alan Beckman	Follow-on Admin. Proc.	34-77017	02/02/16
In the Matter of Michael Donnelly	Follow-on Admin. Proc.	34-77052	02/04/16
In the Matter of Louis V. Schooler	Follow-on Admin. Proc.	34-77134	02/12/16
SEC v. Wade James Lawrence	Civil	LR-23467	02/16/16
In the Matter of Cantella & Co.	Stand-alone Admin. Proc.	IA-4338	02/23/16
In the Matter of David S. Lee, Esq., CPA	Follow-on Admin. Proc.	34-77224	02/24/16
In the Matter of Emanuel L. Sarris, Sr.	Follow-on Admin. Proc.	IA-4343	02/24/16
In the Matter of Marco Investment Management, LLC, et al.	Stand-alone Admin. Proc.	IA-4348	03/02/16
In the Matter of Royal Alliance Associates, Inc., et al.	Stand-alone Admin. Proc.	34-77362	03/14/16
SEC v. John V. Bivona, et al.	Civil	LR-23501	03/22/16
In the Matter of Christopher M. Gibson	Stand-alone Admin. Proc.	34-77466	03/29/16
In the Matter of Burrill Capital Management, LLC, et al.	Stand-alone Admin. Proc.	34-77473	03/30/16
SEC v. Joseph Andrew Paul, et al.	Civil	LR-23510	04/01/16
In the Matter of Alexander R. Bastron	Stand-alone Admin. Proc.	34-77528	04/05/16
In the Matter of Cambridge Investment Research Advisors, Inc.	Stand-alone Admin. Proc.	IA-4361	04/05/16
In the Matter of Daniel Rivera	Follow-on Admin. Proc.	IA-4363	04/05/16
In the Matter of Jabari W. Ragas	Follow-on Admin. Proc.	34-77566	04/08/16
In the Matter of Paul Leon White, II	Follow-on Admin. Proc.	34-77630	04/15/16
In the Matter of Bruce A. Hartshorn	Stand-alone Admin. Proc.	34-77648	04/19/16
In the Matter of TPG Advisors, LLC d/b/a The Phillips Group Advisors, et al.	Stand-alone Admin. Proc.	34-77649	04/19/16
In the Matter of Daniel N. Ginsparg	Stand-alone Admin. Proc.	IA-4374	04/20/16
In the Matter of Joann Jackson	Follow-on Admin. Proc.	34-77663	04/20/16
In the Matter of Roger S. Bliss	Follow-on Admin. Proc.	IA-4379	04/27/16
In the Matter of Professional Investment Management, Inc.	Follow-on Admin. Proc.	IA-4378	04/27/16
SEC v. Louis Martin Blazer, III	Civil	LR-23534	05/06/16
In the Matter of David Brochu	Follow-on Admin. Proc.	IA-4384	05/09/16
In the Matter of James A. Winkelmann, Sr., et al.	Stand-alone Admin. Proc.	33-10080	05/19/16
SEC v. Ash Narayan, et al.	Civil	LR-23579	05/24/16
In the Matter of Jacqueline J. Stanfill	Follow-on Admin. Proc.	IA-4394	05/26/16
In the Matter of Biscayne Capital International, LLC, et al.	Stand-alone Admin. Proc.	IA-4399	05/27/16
In the Matter of Federated Global Investment Management Corp.	Stand-alone Admin. Proc.	IA-4401	05/27/16
In the Matter of Steven R. Markusen, et al.	Follow-on Admin. Proc.	IA-4406	05/31/16
SEC v. Hope Advisors, LLC, et al.	Civil	LR-23551	05/31/16
SEC v. Momentum Investment Partners, LLC (d/b/a Avatar Investment Management) et al.	Civil	LR-23549	05/31/16
In the Matter of Blackstreet Capital Management, LLC, et al.	Stand-alone Admin. Proc.	34-77959	06/01/16
In the Matter of James Caird Asset Management, LLP, et al.	Stand-alone Admin. Proc.	IA-4413	06/02/16

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SEC v. Kingdom Legacy General Partner, LLC, et al.	Civil	LR-23560	06/07/16
In the Matter of Daniel Thibeault	Follow-on Admin. Proc.	IA-4419	06/10/16
In the Matter of The Bank of New York Mellon	Stand-alone Admin. Proc.	40-32151	06/13/16
In the Matter of Alan H. Gold	Follow-on Admin. Proc.	IA-4422	06/14/16
In the Matter of Richard W. Davis, Jr.	Follow-on Admin. Proc.	IA-4423	06/15/16
SEC v. Stefan Lumiere	Civil	2016-119	06/15/16
In the Matter of Apex Fund Services (US), Inc.	Stand-alone Admin. Proc.	IA-4428	06/16/16
In the Matter of Apex Fund Services (US), Inc.	Stand-alone Admin. Proc.	IA-4429	06/16/16
In the Matter of Simpson Hughes Financial, LLC, et al.	Stand-alone Admin. Proc.	34-78128	06/22/16
In the Matter of Ross, Sinclair & Associates, LLC, et al.	Stand-alone Admin. Proc.	34-78147	06/23/16
In the Matter of Jan E. Helen	Stand-alone Admin. Proc.	33-10108	06/28/16
In the Matter of WFG Advisors, LP	Stand-alone Admin. Proc.	34-78189	06/28/16
In the Matter of Lee D. Weiss	Follow-on Admin. Proc.	34-78197	06/29/16
In the Matter of Blair D. Ackman, CPA	Follow-on Admin. Proc.	34-78273	07/11/16
In the Matter of Alicia M. Diaz, Esq.	Follow-on Admin. Proc.	34-78274	07/11/16
In the Matter of William Emery Matthews	Follow-on Admin. Proc.	IA-4449	07/11/16
In the Matter of Gavin L. Hamels	Follow-on Admin. Proc.	34-78322	07/14/16
In the Matter of RiverFront Investment Group, LLC	Stand-alone Admin. Proc.	IA-4453	07/14/16
SEC v. Thomas D. Conrad, Jr., et al.	Civil	LR-23597	07/15/16
In the Matter of Advantage Investment Management, LLC	Stand-alone Admin. Proc.	IA-4455	07/18/16
In the Matter of Washington Wealth Management, LLC	Stand-alone Admin. Proc.	IA-4456	07/18/16
In the Matter of Saving2Retire, LLC, et al.	Stand-alone Admin. Proc.	IA-4457	07/19/16
In the Matter of Concert Global Group Limited, et al.	Stand-alone Admin. Proc.	33-10113	07/21/16
In the Matter of Louis Martin Blazer, III	Follow-on Admin. Proc.	IA-4465	07/28/16
In the Matter of Alison, LLC, et al.	Stand-alone Admin. Proc.	34-78457	08/02/16
In the Matter of Perry S. Sawano	Follow-on Admin. Proc.	IA-4473	08/09/16
In the Matter of Brad R. Hawkins	Follow-on Admin. Proc.	IA-4478	08/10/16
In the Matter of Island Trader, LLC, et al.	Follow-on Admin. Proc.	34-78537	08/10/16
In the Matter of Randall W. McKee	Follow-on Admin. Proc.	IA-4479	08/11/16
SEC v. Matrix Capital Markets, LLC, et al.	Civil	2016-161	08/11/16
In the Matter of Fortius Financial Advisors, LLC, et al.	Stand-alone Admin. Proc.	IA-4483	08/15/16
In the Matter of Donald F. ("Jay") Lathen, et al.	Stand-alone Admin. Proc.	33-10120	08/15/16
In the Matter of Anthony Tyrone Jones, Jr.	Follow-on Admin. Proc.	IA-4488	08/16/16
In the Matter of Michael J. Oppenheim	Follow-on Admin. Proc.	34-78591	08/16/16
In the Matter of Paul J. Jackson	Follow-on Admin. Proc.	IA-4490	08/17/16
In the Matter of Apollo Management V, LP, et al.	Stand-alone Admin. Proc.	IA-4493	08/23/16
In the Matter of WL Ross & Co., LLC	Stand-alone Admin. Proc.	IA-4494	08/24/16
In the Matter of AssetMark, Inc. (f/k/a Genworth Financial Wealth Management, Inc.)	Stand-alone Admin. Proc.	IA-4508	08/25/16
In the Matter of Banyan Partners, LLC	Stand-alone Admin. Proc.	IA-4499	08/25/16
In the Matter of BB&T Securities, LLC	Stand-alone Admin. Proc.	IA-4506	08/25/16
In the Matter of Congress Wealth Management, LLC	Stand-alone Admin. Proc.	IA-4507	08/25/16
In the Matter of Constellation Wealth Advisors, LLC	Stand-alone Admin. Proc.	IA-4505	08/25/16
In the Matter of Executive Monetary Management, LLC	Stand-alone Admin. Proc.	IA-4503	08/25/16
In the Matter of HT Partners, LLC	Stand-alone Admin. Proc.	IA-4500	08/25/16
In the Matter of J.J.B. Hilliard, W.L. Lyons, LLC	Stand-alone Admin. Proc.	IA-4502	08/25/16
In the Matter of Ladenburg Thalmann Asset Management, Inc.	Stand-alone Admin. Proc.	IA-4501	08/25/16
In the Matter of Orinda Asset Management, LLC	Stand-alone Admin. Proc.	IA-4513	08/25/16
In the Matter of Prospera Financial Services, Inc.	Stand-alone Admin. Proc.	IA-4498	08/25/16

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In the Matter of Risk Paradigm Group, LLC	Stand-alone Admin. Proc.	IA-4504	08/25/16
In the Matter of Schneider Downs Wealth Management Advisors, LP	Stand-alone Admin. Proc.	IA-4497	08/25/16
In the Matter of Shamrock Asset Management, LLC	Stand-alone Admin. Proc.	IA-4496	08/25/16
In the Matter of David Kayatta	Follow-on Admin. Proc.	IA-4517	08/31/16
In the Matter of Paul Mata	Follow-on Admin. Proc.	34-78736	08/31/16
In the Matter of Mario Pincheira	Follow-on Admin. Proc.	IA-4516	08/31/16
In the Matter of Raymond James & Associates, Inc.	Stand-alone Admin. Proc.	IA-4525	09/08/16
In the Matter of Robert W. Baird & Co. Incorporated	Stand-alone Admin. Proc.	IA-4526	09/08/16
SEC v. Charles A. Banks, IV	Civil	LR-23642	09/09/16
In the Matter of First Reserve Management, LP	Stand-alone Admin. Proc.	IA-4529	09/14/16
In the Matter of Aviva Investors Americas, LLC	Stand-alone Admin. Proc.	IA-4534	09/23/16
In the Matter of Jan Gleisner, et al.	Stand-alone Admin. Proc.	IA-4537	09/28/16
SEC v. Peter R. Kohli, et al.	Civil	LR-23659	09/28/16
In the Matter of Sheren Tsai	Follow-on Admin. Proc.	IA-4539	09/29/16
In the Matter of Colin Whelehan	Follow-on Admin. Proc.	IA-4538	09/29/16
SEC v. Nicholas S. Savva	Civil	LR-23661	09/29/16
In the Matter of Moloney Securities Co., Inc., et al.	Stand-alone Admin. Proc.	34-79003	09/30/16
SEC v. Ikenna Ikokwu, et al.	Civil	LR-23670	09/30/16

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In the Matter of Grant Thornton Audit Pty Limited	Stand-alone Admin. Proc.	34-76066	10/01/15
In the Matter of Grant Thornton India, LLP	Stand-alone Admin. Proc.	34-76065	10/01/15
In the Matter of Home Loan Servicing Solutions, Ltd.	Stand-alone Admin. Proc.	34-76074	10/05/15
SEC v. Arthur F. Knapp, Jr.	Civil	LR-23379	10/06/15
SEC v. Ryan Petersen	Civil	LR-23379	10/06/15
In the Matter of Nicholas Toms, Esq.	Follow-on Admin. Proc.	34-76195	10/19/15
In the Matter of Arthur F. Knapp, Jr., CPA	Follow-on Admin. Proc.	34-76250	10/23/15
In the Matter of The St. Joe Company, et al.	Stand-alone Admin. Proc.	33-9967	10/27/15
In the Matter of Larry D. Liberfarb, P.C.	Stand-alone Admin. Proc.	34-76401	11/09/15
In the Matter of Standard Bank Plc	Stand-alone Admin. Proc.	33-9981	11/30/15
In the Matter of Grant Thornton, LLP	Stand-alone Admin. Proc.	34-76536	12/02/15
In the Matter of Melissa K. Koepfel, CPA, et al.	Stand-alone Admin. Proc.	34-76537	12/02/15
In the Matter of Robin L. Bigalke, CPA	Stand-alone Admin. Proc.	34-76610	12/10/15
In the Matter of Richard Confessore, CPA	Stand-alone Admin. Proc.	34-76609	12/10/15
In the Matter of DKM Certified Public Accountants, Inc., et al.	Stand-alone Admin. Proc.	34-76608	12/10/15
In the Matter of Peter Messineo, CPA, et al.	Stand-alone Admin. Proc.	34-76607	12/10/15
In the Matter of Joseph E. Mohr, CPA	Stand-alone Admin. Proc.	34-76611	12/10/15
In the Matter of Charles Loveless, CPA	Stand-alone Admin. Proc.	34-76633	12/14/15
In the Matter of Michael McKenna, CPA	Stand-alone Admin. Proc.	34-76634	12/14/15
In the Matter of Blue Mountain Eco Tours, Inc.	Stand-alone Admin. Proc.	33-9995	12/21/15
In the Matter of Scription Work Solutions, Inc. (f/k/a Transtech Solutions, Inc.)	Stand-alone Admin. Proc.	33-9994	12/21/15
In the Matter of Spicer Jeffries, LLP	Stand-alone Admin. Proc.	34-76734	12/22/15
SEC v. Charles S. Bailey, et al.	Civil	2016-7	01/13/16
In the Matter of Ocwen Financial Corp.	Stand-alone Admin. Proc.	34-76938	01/20/16
In the Matter of BioElectronics Corp., et al.	Stand-alone Admin. Proc.	33-10036	02/05/16
In the Matter of Monsanto Company, et al.	Stand-alone Admin. Proc.	33-10037	02/09/16
In the Matter of Frazer Frost, LLP, et al.	Stand-alone Admin. Proc.	33-10039	02/11/16

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In the Matter of Julieta Favela Barcenas	Stand-alone Admin. Proc.	34-77162	02/17/16
In the Matter of Donald J. Glidewell, CPA	Stand-alone Admin. Proc.	34-77161	02/17/16
SEC v. Hector M. Absi, Jr.	Civil	2016-32	02/17/16
SEC v. Marrone Bio Innovations, Inc.	Civil	2016-32	02/17/16
In the Matter of Timothy Quintanilla, CPA	Follow-on Admin. Proc.	34-77231	02/25/16
SEC v. Reed J. Killion, et al.	Civil	LR-23484	03/09/16
In the Matter of Joseph R. Allred, CPA	Stand-alone Admin. Proc.	34-77342	03/10/16
In the Matter of Wayne Gray, CPA	Stand-alone Admin. Proc.	34-77343	03/10/16
In the Matter of David S. Krueger, CPA	Stand-alone Admin. Proc.	34-77344	03/10/16
In the Matter of Magnum Hunter Resources Corporation	Stand-alone Admin. Proc.	34-77345	03/10/16
In the Matter of Ronald D. Ormand	Stand-alone Admin. Proc.	34-77346	03/10/16
SEC v. RVPlus, Inc., et al.	Civil	LR-23489	03/14/16
In the Matter of ModusLink Global Solutions, Inc., et al.	Stand-alone Admin. Proc.	33-10055	03/15/16
In the Matter of Elliot R. Berman, CPA, et al.	Stand-alone Admin. Proc.	34-77447	03/25/16
SEC v. Aveo Pharmaceuticals Inc., et al.	Civil	LR-23503	03/29/16
In the Matter of Navistar International Corporation	Stand-alone Admin. Proc.	33-10061	03/31/16
SEC v. Daniel Ustian	Civil	LR-23507	03/31/16
In the Matter of William H. Caughran, Esq.	Follow-on Admin. Proc.	34-77531	04/05/16
In the Matter of James A. White	Follow-on Admin. Proc.	34-77532	04/05/16
In the Matter of Thakkar CPA, PLLC, et al.	Stand-alone Admin. Proc.	34-77542	04/06/16
In the Matter of INTL FCStone, Inc.	Stand-alone Admin. Proc.	34-77596	04/12/16
SEC v. Erik K. Bardman, et al.	Civil	LR-23523	04/18/16
In the Matter of Ener1, Inc., et al.	Stand-alone Admin. Proc.	33-10068	04/19/16
In the Matter of Robert D. Hesselgesser, CPA	Stand-alone Admin. Proc.	34-77646	04/19/16
In the Matter of Logitech International, S.A., et al.	Stand-alone Admin. Proc.	34-77644	04/19/16
In the Matter of Laura P. Messenbaugh, CPA	Follow-on Admin. Proc.	34-77657	04/20/16
In the Matter of Cabela's Incorporated, et al.	Stand-alone Admin. Proc.	34-77717	04/26/16
In the Matter of David S. Hall, P.C., d/b/a The Hall Group CPAs, et al.	Stand-alone Admin. Proc.	34-77718	04/26/16
In the Matter of Santos, Postal & Company, P.C., et al.	Stand-alone Admin. Proc.	34-77745	04/29/16
In the Matter of MaloneBailey, LLP, et al.	Stand-alone Admin. Proc.	34-77755	05/02/16
In the Matter of Swisher Hygiene, Inc.	Stand-alone Admin. Proc.	33-10081	05/24/16
SEC v. Michael J. Kipp, et al.	Civil	LR-23544	05/24/16
SEC v. John Pierrard	Civil	LR-23544	05/24/16
In the Matter of American Registrar & Transfer Company, et al.	Stand-alone Admin. Proc.	33-10082	05/25/16
SEC v. First Mortgage Corporation, Inc., et al.	Civil	LR-23553	05/31/16
In the Matter of Jane E. Starrett, CPA	Follow-on Admin. Proc.	33-10085	06/01/16
In the Matter of NuGold Resources, Inc.	Stand-alone Admin. Proc.	33-10086	06/02/16
In the Matter of ZRHO Beverages, Inc.	Stand-alone Admin. Proc.	33-10088	06/02/16
In the Matter of Silberstein Ungar PLLC, et al.	Stand-alone Admin. Proc.	34-77997	06/06/16
In the Matter of IEC Electronics Corp., et al.	Stand-alone Admin. Proc.	34-78017	06/08/16
In the Matter of ICON Capital, LLC f/k/a ICON Capital Corporation	Stand-alone Admin. Proc.	34-78030	06/10/16
SEC v. Chris A. Faulkner, et al.	Civil	LR-23582	06/24/16
SEC v. Michael P. Toups, et al.	Civil	LR-23584	06/27/16
In the Matter of The Phoenix Companies, Inc.	Stand-alone Admin. Proc.	34-78341	07/15/16
In the Matter of EFP Rotenberg, LLP, et al.	Stand-alone Admin. Proc.	34-78393	07/22/16
In the Matter of Sand International, Inc.	Stand-alone Admin. Proc.	34-78430	07/27/16
SEC v. Global Digital Solutions, Inc., et al.	Civil	LR-23618	08/11/16

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In the Matter of John W.R. Miller	Stand-alone Admin. Proc.	34-78623	08/22/16
In the Matter of Thomas Dulek, CPA	Stand-alone Admin. Proc.	34-78711	08/29/16
In the Matter of RBC Capital Markets, LLC	Stand-alone Admin. Proc.	34-78735	08/31/16
SEC v. Contrarian Press, LLC, et al.	Civil	LR-23636	09/06/16
In the Matter of William J. Sears	Stand-alone Admin. Proc.	33-10212	09/08/16
SEC v. Brian S. Block, et al.	Civil	2016-180	09/08/16
SEC v. RPM International Inc., et al.	Civil	LR-23639	09/09/16
In the Matter of Portugal Telecom, SGPS, S.A., et al.	Stand-alone Admin. Proc.	34-78824	09/13/16
In the Matter of Cliffe R. Bodden	Stand-alone Admin. Proc.	33-10214	09/16/16
In the Matter of Tod A. Ditommaso, Esq.	Stand-alone Admin. Proc.	33-10215	09/16/16
In the Matter of Scott M. Dittman, CPA	Stand-alone Admin. Proc.	33-10211	09/16/16
In the Matter of Fusion Pharm, Inc.	Stand-alone Admin. Proc.	33-10210	09/16/16
In the Matter of Microcap Management LLC, et al.	Stand-alone Admin. Proc.	33-10213	09/16/16
In the Matter of Ernst & Young, LLP, et al.	Stand-alone Admin. Proc.	34-78872	09/19/16
In the Matter of Ernst & Young, LLP, et al.	Stand-alone Admin. Proc.	34-78873	09/19/16
In the Matter of Park National Corporation	Stand-alone Admin. Proc.	34-78896	09/21/16
In the Matter of Robert A. Waegelein, CPA	Stand-alone Admin. Proc.	34-78897	09/21/16
SEC v. Medient Studios, Inc., et al.	Civil	2016-191	09/23/16
In the Matter of Connexus Corporation	Stand-alone Admin. Proc.	34-78934	09/26/16
In the Matter of Bluefire Renewables, Inc.	Stand-alone Admin. Proc.	34-78955	09/27/16
In the Matter of Orrstown Financial Services, Inc., et al.	Stand-alone Admin. Proc.	33-10222	09/27/16
In the Matter of Weatherford International plc, f/k/a Weatherford International Ltd., et al.	Stand-alone Admin. Proc.	33-10221	09/27/16
SEC v. Keith Hunter	Civil	LR-23657	09/27/16
In the Matter of Altair Nanotechnologies, Inc.	Stand-alone Admin. Proc.	34-78997	09/29/16
In the Matter of Steven M. Brazile, CPA	Follow-on Admin. Proc.	34-79021	09/30/16
In the Matter of D'Arelli Pruzansky, P.A., et al.	Stand-alone Admin. Proc.	34-79004	09/30/16
In the Matter of Dennis Duban, CPA	Follow-on Admin. Proc.	34-79020	09/30/16
In the Matter of Elray Resources, Inc.	Stand-alone Admin. Proc.	34-79011	09/30/16
In the Matter of Alan Ritter, CPA	Follow-on Admin. Proc.	34-79019	09/30/16
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In the Matter of Briargate Trading, LLC, et al.	Stand-alone Admin. Proc.	33-9959	10/08/15
In the Matter of Auriga Global Investors, Sociedad de Valores, S.A.	Stand-alone Admin. Proc.	34-76145	10/14/15
In the Matter of Harvest Capital Strategies, LLC	Stand-alone Admin. Proc.	34-76144	10/14/15
In the Matter of J.P. Morgan Investment Management Inc.	Stand-alone Admin. Proc.	34-76143	10/14/15
In the Matter of Omega Advisors, Inc.	Stand-alone Admin. Proc.	34-76142	10/14/15
In the Matter of Sabby Management, LLC	Stand-alone Admin. Proc.	34-76141	10/14/15
In the Matter of War Chest Capital Partners, LLC	Stand-alone Admin. Proc.	34-76140	10/14/15
SEC v. James Alan Craig	Civil	LR-23401	11/05/15
In the Matter of Hadi Aboukhater	Stand-alone Admin. Proc.	34-76399	11/09/15
In the Matter of Sandip Shah	Stand-alone Admin. Proc.	34-76396	11/09/15
In the Matter of Shaileish Shah	Stand-alone Admin. Proc.	34-76398	11/09/15
SEC v. Jammin' Java Corp., et al.	Civil	2015-259	11/17/15
In the Matter of Behruz Afshar, et al.	Stand-alone Admin. Proc.	33-9983	12/03/15
SEC v. Jehu Hand, et al.	Civil	LR-23424	12/10/15
SEC v. Samuel DelPresto, et al.	Civil	2015-279	12/15/15
SEC v. Edward Durante, et al.	Civil	LR-23434	12/18/15

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In the Matter of Diane D. Dalmy, Esq.	Follow-on Admin. Proc.	34-76740	12/22/15
SEC v. Evgenii Zavodchikov, et al.	Civil	LR-23471	02/17/16
SEC v. Guy Gentile	Civil	LR-23496	03/23/16
SEC v. Tobin Smith, et al.	Civil	LR-23504	03/29/16
In the Matter of Steve Pappas	Stand-alone Admin. Proc.	34-77525	04/05/16
SEC v. David Aubel, et al.	Civil	LR-23511	04/07/16
SEC v. Luke C. Zouvas, et al.	Civil	LR-23526	04/25/16
SEC v. Asher Z. Zwebner	Civil	LR-23526	04/26/16
SEC v. Richard St. Julien, et al.	Civil	LR-23529	05/03/16
SEC v. Nauman A. Aly	Civil	2016-95	05/24/16
In the Matter of Jack H. Halperin	Follow-on Admin. Proc.	34-77972	06/01/16
In the Matter of 2 West Inc., et al.	Stand-alone Admin. Proc.	34-78077	06/14/16
SEC v. Idris D. Mustapha	Civil	LR-23580	06/22/16
In the Matter of Richard Weed, Esq.	Follow-on Admin. Proc.	34-78832	09/13/16
In the Matter of Jeffrey A. Silverman, et al.	Stand-alone Admin. Proc.	33-10223	09/27/16
SEC v. Louis T. Buonocore, et al.	Civil	LR-23668	09/29/16
SEC v. Marcus A. Luna, et al.	Civil	LR-23666	09/29/16
Miscellaneous			
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SEC v. Nathaniel D. Ponn	Civil	LR-23508	03/31/16
In the Matter of Gerry G. Zobrist, Esq.	Follow-on Admin. Proc.	34-77665	04/20/16
SEC v. Jay Mac Rust, et al.	Civil	2016-87	05/13/16
In the Matter of BlueLinx Holdings, Inc.	Stand-alone Admin. Proc.	34-78528	08/10/16
In the Matter of Health Net, Inc.	Stand-alone Admin. Proc.	34-78590	08/16/16
SEC v. Manuel E. Jesus a/k/a Manny Backus, et al.	Civil	LR-23645	09/13/16
In the Matter of Charles A. Koppelman	Stand-alone Admin. Proc.	34-78922	09/23/16
In the Matter of Matthew T. Mellon, II	Stand-alone Admin. Proc.	34-78924	09/23/16
In the Matter of David A. Paterson	Stand-alone Admin. Proc.	34-78921	09/23/16
In the Matter of International Game Technology	Stand-alone Admin. Proc.	34-78991	09/29/16
Natl Rec Stat Rating Org (NRSRO)			
In the Matter of DBRS, Inc.	Stand-alone Admin. Proc.	34-76261	10/26/15
In the Matter of Francis Parisi	Stand-alone Admin. Proc.	33-10050	03/07/16
Public Finance Abuse			
In the Matter of Vincent J. Debaggis	Stand-alone Admin. Proc.	34-76904	01/14/16
In the Matter of State Street Bank and Trust Company	Stand-alone Admin. Proc.	34-76905	01/14/16
SEC v. Robert B. Crowe	Civil	LR-23446	01/14/16
In the Matter of Barclays Capital, Inc.	Stand-alone Admin. Proc.	33-10016	02/02/16
In the Matter of Boenning & Scattergood, Inc.	Stand-alone Admin. Proc.	33-10018	02/02/16
In the Matter of D.A. Davidson & Co.	Stand-alone Admin. Proc.	33-10019	02/02/16
In the Matter of First Midstate Incorporated	Stand-alone Admin. Proc.	33-10017	02/02/16
In the Matter of Hilltop Securities, Inc.	Stand-alone Admin. Proc.	33-10023	02/02/16
In the Matter of Janney Montgomery Scott, LLC	Stand-alone Admin. Proc.	33-10022	02/02/16
In the Matter of Jefferies, LLC	Stand-alone Admin. Proc.	33-10020	02/02/16
In the Matter of KeyBanc Capital Markets, Inc.	Stand-alone Admin. Proc.	33-10021	02/02/16
In the Matter of Mitsubishi UFJ Securities (USA), Inc.	Stand-alone Admin. Proc.	33-10026	02/02/16

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In the Matter of Municipal Capital Markets Group, Inc.	Stand-alone Admin. Proc.	33-10025	02/02/16
In the Matter of Roosevelt & Cross Incorporated	Stand-alone Admin. Proc.	33-10027	02/02/16
In the Matter of TD Securities (USA), LLC	Stand-alone Admin. Proc.	33-10024	02/02/16
In the Matter of United Bankers' Bank	Stand-alone Admin. Proc.	33-10029	02/02/16
In the Matter of Wells Fargo Bank, N.A. Municipal Products Group	Stand-alone Admin. Proc.	33-10028	02/02/16
In the Matter of First Southwest Company, LLC	Stand-alone Admin. Proc.	34-77300	03/07/16
SEC v. Rhode Island Commerce Corporation (f/k/a Rhode Island Economic Development Coporation), et al.	Civil	LR-23480	03/07/16
In the Matter of Westlands Water District, et al.	Stand-alone Admin. Proc.	33-10053	03/09/16
In the Matter of Central States Capital Markets, LLC, et al.	Stand-alone Admin. Proc.	34-77369	03/15/16
SEC v. Town of Ramapo, New York, et al.	Civil	LR-23521	04/14/16
SEC v. Eric J. Kellogg	Civil	LR-23543	05/19/16
In the Matter of Keygent LLC, et al.	Stand-alone Admin. Proc.	34-78053	06/13/16
In the Matter of School Business Consulting, Inc., et al.	Stand-alone Admin. Proc.	34-78054	06/13/16
In the Matter of Feltl & Company, Inc.	Stand-alone Admin. Proc.	34-78114	06/21/16
SEC v. Juan Rafael Rangel	Civil	LR-23578	06/21/16
In the Matter of Ascension Health Alliance	Stand-alone Admin. Proc.	33-10129	08/24/16
In the Matter of Black Jack Fire Protection District of St. Louis County, Missouri	Stand-alone Admin. Proc.	33-10130	08/24/16
In the Matter of Blair Oaks R-II School District, Missouri	Stand-alone Admin. Proc.	33-10131	08/24/16
In the Matter of Board of Education of Madison County, Alabama	Stand-alone Admin. Proc.	33-10132	08/24/16
In the Matter of Board of Trustees of Arkansas Tech University	Stand-alone Admin. Proc.	33-10133	08/24/16
In the Matter of Borough of Roselle Park in the County of Union, New Jersey	Stand-alone Admin. Proc.	33-10134	08/24/16
In the Matter of Boulder County, Colorado	Stand-alone Admin. Proc.	33-10135	08/24/16
In the Matter of Carilion Clinic	Stand-alone Admin. Proc.	33-10136	08/24/16
In the Matter of Casella Waste Systems, Inc.	Stand-alone Admin. Proc.	33-10137	08/24/16
In the Matter of City of Alameda	Stand-alone Admin. Proc.	33-10128	08/24/16
In the Matter of City of Alliance, Nebraska	Stand-alone Admin. Proc.	33-10138	08/24/16
In the Matter of City of Andover, Kansas	Stand-alone Admin. Proc.	33-10139	08/24/16
In the Matter of City of Bainbridge Island, Washington	Stand-alone Admin. Proc.	33-10140	08/24/16
In the Matter of City of Cedar Rapids, Iowa	Stand-alone Admin. Proc.	33-10141	08/24/16
In the Matter of City of Chelsea, Massachusetts	Stand-alone Admin. Proc.	33-10142	08/24/16
In the Matter of City of Columbia, South Carolina	Stand-alone Admin. Proc.	33-10143	08/24/16
In the Matter of City of Devils Lake, North Dakota	Stand-alone Admin. Proc.	33-10144	08/24/16
In the Matter of City of Gary, Indiana	Stand-alone Admin. Proc.	33-10145	08/24/16
In the Matter of City of Ithaca, New York	Stand-alone Admin. Proc.	33-10146	08/24/16
In the Matter of City of Memphis, Tennessee	Stand-alone Admin. Proc.	33-10147	08/24/16
In the Matter of City of Nichols Hills, Oklahoma	Stand-alone Admin. Proc.	33-10148	08/24/16
In the Matter of City of South Bend, Indiana	Stand-alone Admin. Proc.	33-10150	08/24/16
In the Matter of City of Vestavia Hills, Alabama	Stand-alone Admin. Proc.	33-10151	08/24/16
In the Matter of City of West Des Moines, Iowa	Stand-alone Admin. Proc.	33-10152	08/24/16
In the Matter of Collegium Charter School	Stand-alone Admin. Proc.	33-10153	08/24/16
In the Matter of Colorado Department of the Treasury and State Treasurer on Behalf of the Colorado Department of Transportation	Stand-alone Admin. Proc.	33-10154	08/24/16

Case Name	Type of Action	Release No.	Date Filed
In the Matter of Community Unit School District Number 18 (Blue Ridge)	Stand-alone Admin. Proc.	33-10155	08/24/16
In the Matter of County of Adams, Pennsylvania	Stand-alone Admin. Proc.	33-10156	08/24/16
In the Matter of County of Berrien, Michigan	Stand-alone Admin. Proc.	33-10157	08/24/16
In the Matter of Delaware Transportation Authority	Stand-alone Admin. Proc.	33-10159	08/24/16
In the Matter of East Ouachita Parish School District of the Parish of Ouachita, State of Louisiana	Stand-alone Admin. Proc.	33-10160	08/24/16
In the Matter of El Castillo Retirement Residences	Stand-alone Admin. Proc.	33-10161	08/24/16
In the Matter of Electric and Water Plant Board of the City of Frankfort, Kentucky	Stand-alone Admin. Proc.	33-10162	08/24/16
In the Matter of Fulton County, Georgia	Stand-alone Admin. Proc.	33-10163	08/24/16
In the Matter of Hazleton Area School District	Stand-alone Admin. Proc.	33-10165	08/24/16
In the Matter of Heber Light & Power Company, Utah	Stand-alone Admin. Proc.	33-10164	08/24/16
In the Matter of Idaho Housing and Finance Association	Stand-alone Admin. Proc.	33-10166	08/24/16
In the Matter of Kentucky Housing Corporation	Stand-alone Admin. Proc.	33-10167	08/24/16
In the Matter of Lauderdale County, Mississippi	Stand-alone Admin. Proc.	33-10168	08/24/16
In the Matter of Lawrence & Memorial Hospital, Inc., et al.	Stand-alone Admin. Proc.	33-10169	08/24/16
In the Matter of Metropolitan Airport Authority of Peoria, Peoria County, Illinois	Stand-alone Admin. Proc.	33-10170	08/24/16
In the Matter of Montgomery College	Stand-alone Admin. Proc.	33-10172	08/24/16
In the Matter of Montgomery College Foundation, Inc.	Stand-alone Admin. Proc.	33-10171	08/24/16
In the Matter of North Carolina Eastern Municipal Power Agency	Stand-alone Admin. Proc.	33-10173	08/24/16
In the Matter of North Slope Borough, Alaska	Stand-alone Admin. Proc.	33-10174	08/24/16
In the Matter of Oklahoma Housing Finance Agency	Stand-alone Admin. Proc.	33-10175	08/24/16
In the Matter of Palatine Park District, Cook County, Illinois	Stand-alone Admin. Proc.	33-10176	08/24/16
In the Matter of Pecos County, Texas	Stand-alone Admin. Proc.	33-10177	08/24/16
In the Matter of Public Utility District No. 1 of Whatcom County, Washington	Stand-alone Admin. Proc.	33-10178	08/24/16
In the Matter of Sanitary District of the City of Gary, Indiana	Stand-alone Admin. Proc.	33-10179	08/24/16
In the Matter of Southern New Hampshire University	Stand-alone Admin. Proc.	33-10180	08/24/16
In the Matter of State of Hawaii	Stand-alone Admin. Proc.	33-10181	08/24/16
In the Matter of State of Minnesota	Stand-alone Admin. Proc.	33-10182	08/24/16
In the Matter of State of Montana Department of Transportation	Stand-alone Admin. Proc.	33-10183	08/24/16
In the Matter of Syracuse University	Stand-alone Admin. Proc.	33-10184	08/24/16
In the Matter of Tea Area School District 41-5, South Dakota	Stand-alone Admin. Proc.	33-10185	08/24/16
In the Matter of The City of Oconomowoc, Wisconsin	Stand-alone Admin. Proc.	33-10149	08/24/16
In the Matter of The County Commission of Ohio County, West Virginia	Stand-alone Admin. Proc.	33-10186	08/24/16
In the Matter of The County of Franklin, New York	Stand-alone Admin. Proc.	33-10158	08/24/16
In the Matter of The Municipal Authority of the City of McKeesport	Stand-alone Admin. Proc.	33-10187	08/24/16
In the Matter of The Ohio State University	Stand-alone Admin. Proc.	33-10188	08/24/16
In the Matter of Thompson School District No. R2-J	Stand-alone Admin. Proc.	33-10189	08/24/16
In the Matter of Town of Fairfield, Connecticut	Stand-alone Admin. Proc.	33-10190	08/24/16
In the Matter of Town of Hilton Head Island, South Carolina	Stand-alone Admin. Proc.	33-10191	08/24/16
In the Matter of Town of York, Maine	Stand-alone Admin. Proc.	33-10192	08/24/16
In the Matter of Township of East Brunswick, New Jersey	Stand-alone Admin. Proc.	33-10193	08/24/16
In the Matter of Unified School District No. 418, McPherson County, Kansas	Stand-alone Admin. Proc.	33-10194	08/24/16

Case Name	Type of Action	Release No.	Date Filed
In the Matter of Westchester County Health Care Corporation	Stand-alone Admin. Proc.	33-10195	08/24/16
In the Matter of Wyoming Community Development Authority	Stand-alone Admin. Proc.	33-10196	08/24/16
In the Matter of Yukon Municipal Authority, Yukon, Oklahoma	Stand-alone Admin. Proc.	33-10197	08/24/16
Securities Offering			
SEC v. William J. Wells, et al.	Civil	2015-226	10/01/15
In the Matter of UBS AG	Stand-alone Admin. Proc.	33-9961	10/13/15
SEC v. Ascenergy LLC, et al.	Civil	LR-23394	10/13/15
SEC v. Donald J. Lester, et al.	Civil	LR-23388	10/16/15
SEC v. John Clifford Williams	Civil	LR-23390	10/20/15
SEC v. Diverse Financial Corporation, et al.	Civil	LR-23396	10/28/15
SEC v. William M. Apostelos, et al.	Civil	LR-23397	10/29/15
SEC v. EB5 Asset Manager, LLC, et al.	Civil	LR-23409	11/03/15
SEC v. Earl D. Miller, et al.	Civil	LR-23405	11/05/15
SEC v. Bobby M. Collins	Civil	LR-23404	11/10/15
SEC v. James A. Torchia, et al.	Civil	LR-23416	11/10/15
SEC v. Robert Yang, et al.	Civil	LR-23414	11/19/15
SEC v. Christopher Freeman Brogdon, et al.	Civil	2015-264	11/20/15
SEC v. Bernard M. Parker	Civil	LR-23413	11/23/15
SEC v. Homero Joshua Garza, et al.	Civil	LR-23415	12/01/15
SEC v. Robert Seibert	Civil	LR-23425	12/02/15
SEC v. Trudy R. Gilmond	Civil	LR-23421	12/04/15
SEC v. Oxford City Football Club, Inc., et al.	Civil	LR-23429	12/10/15
SEC v. Vu H. Le a/k/a Vinh H. Le, et al.	Civil	LR-23432	12/15/15
SEC v. CAUSwave, Inc., et al.	Civil	LR-23435	12/16/15
In the Matter of Allen M. Perres, et al.	Stand-alone Admin. Proc.	33-9997	12/21/15
SEC v. Southern Cross Resources Group, Inc., et al.	Civil	LR-23436	12/21/15
SEC v. Marquis Properties, LLC, et al.	Civil	LR-23451	01/19/16
In the Matter of Edward H. Spiegel, et al.	Stand-alone Admin. Proc.	33-10007	01/21/16
SEC v. Kenneth W. Crumbley, et al.	Civil	LR-23453	01/21/16
SEC v. OTC Capital Partners, LLC, et al.	Civil	LR-23452	01/22/16
In the Matter of Justin Moongyu Lee, Esq., CPA	Follow-on Admin. Proc.	34-76978	01/27/16
SEC v. American Growth Funding II, LLC, et al.	Civil	LR-23459	02/03/16
SEC v. Optimum Income Property, LLC, et al.	Civil	LR-23464	02/10/16
SEC v. Gregory Ruehle	Civil	LR-23466	02/11/16
SEC v. Jilbert Tahmazian, Esq.	Civil	LR-23465	02/11/16
SEC v. PV Enterprises, Inc., et al.	Civil	LR-23468	02/16/16
SEC v. Nathan Halsey, et al.	Civil	LR-23473	02/17/16
In the Matter of IBC Funds, LLC	Stand-alone Admin. Proc.	33-10042	02/19/16
SEC v. Fortitude Group, Inc., et al.	Civil	LR-23479	02/29/16
SEC v. Strategic Global Investments, Inc., et al.	Civil	LR-23479	02/29/16
In the Matter of Steven H. Davis, Esq.	Follow-on Admin. Proc.	34-77325	03/08/16
In the Matter of Steven Zoernack, et al.	Stand-alone Admin. Proc.	33-10051	03/08/16
SEC v. Aequitas Management, LLC, et al.	Civil	LR-23485	03/10/16
SEC v. BIC Real Estate Development Corporation, et al.	Civil	LR-23487	03/11/16
SEC v. Mark A. Jones	Civil	LR-23490	03/15/16
SEC v. Daniel Rivera, et al.	Civil	LR-23506	03/24/16
SEC v. Andrew W.W. Caspersen, et al.	Civil	LR-23505	03/28/16
SEC v. John Scott Clark	Civil	LR-23509	03/31/16

Case Name	Type of Action	Release No.	Date Filed
SEC v. William E. Mapp, III, et al.	Civil	LR-23515	04/11/16
SEC v. Ariel Quiros, et al.	Civil	LR-23520	04/12/16
SEC v. PLCMGMT LLC, et al.	Civil	2016-72	04/15/16
SEC v. George A. Moore, III, et al.	Civil	LR-23527	05/03/16
SEC v. James R. Trolice, et al.	Civil	LR-23532	05/04/16
SEC v. Devon Archer, et. al.	Civil	LR-23535	05/11/16
SEC v. Imran Husain, et al.	Civil	LR-23537	05/12/16
SEC v. David B. Kaplan, Esq., et al.	Civil	LR-23547	05/19/16
SEC v. JSG Capital Investments, LLC, et al.	Civil	LR-23550	05/25/16
SEC v. Christopher R. Esposito, et al.	Civil	LR-23545	05/26/16
SEC v. Joshua J. Hansen	Civil	None	05/26/16
SEC v. Charles C. Liu, et al.	Civil	LR-23556	05/26/16
In the Matter of Donald J. Stoecklein, Esq.	Stand-alone Admin. Proc.	33-10087	06/02/16
SEC v. Richard W. Davis, Jr., et al.	Civil	LR-23554	06/02/16
SEC v. Haena Park	Civil	2016-106	06/02/16
SEC v. Steven Wise	Civil	LR-23555	06/02/16
SEC v. Providence Financial Investments, Inc., et al.	Civil	LR-23567	06/07/16
In the Matter of Ethiopian Electric Power	Stand-alone Admin. Proc.	33-10093	06/08/16
SEC v. Thomas J. Connerton, et al.	Civil	LR-23565	06/08/16
SEC v. Andrew K. Proctor, et al.	Civil	LR-23568	06/14/16
In the Matter of Gregory G. Jones	Follow-on Admin. Proc.	34-78096	06/17/16
SEC v. Hemp, Inc., et al.	Civil	LR-23575	06/20/16
In the Matter of Merrill Lynch, Pierce, Fenner & Smith Incorporated	Stand-alone Admin. Proc.	33-10103	06/23/16
In the Matter of RD Legal Capital, LLC, et al.	Stand-alone Admin. Proc.	33-10111	07/14/16
SEC v. Zachary Brooke Roberts	Civil	LR-23595	07/14/16
SEC v. James Hugh Brennan, III, et al.	Civil	LR-23600	07/20/16
In the Matter of Dennis Navarra	Stand-alone Admin. Proc.	33-10114	07/21/16
In the Matter of Samuel Braslau	Follow-on Admin. Proc.	34-78409	07/25/16
SEC v. Traffic Monsoon, LLC, et al.	Civil	LR-23604	07/26/16
SEC v. Jeffery A. McCollum, et al.	Civil	LR-23603	07/27/16
SEC v. Matthew White, et al.	Civil	LR-23607	07/27/16
SEC v. Merrill Robertson, Jr., et al.	Civil	LR-23616	08/10/16
SEC v. Edwin Ruh, Jr., et al.	Civil	LR-23614	08/10/16
SEC v. Michael Andre Jones	Civil	LR-23622	08/19/16
SEC v. John M. Ragsdale	Civil	LR-23623	08/19/16
SEC v. Secured Income Reserve, Inc., et al.	Civil	LR-23626	08/24/16
In the Matter of Michael Ralph Casey, Esq.	Follow-on Admin. Proc.	34-78707	08/26/16
In the Matter of Joseph L. Pittera, Esq.	Follow-on Admin. Proc.	34-79168	08/26/16
SEC v. Enviro Board Corporation, et al.	Civil	LR-23628	08/26/16
In the Matter of Jilbert Tahmazian, Esq.	Follow-on Admin. Proc.	34-78754	09/01/16
SEC v. Donald V. Watkins Sr., Esq., et al.	Civil	LR-23634	09/01/16
SEC v. Gordon W. Jenkins, et al.	Civil	LR-23638	09/07/16
In the Matter of BOKF, NA	Stand-alone Admin. Proc.	33-10204	09/09/16
SEC v. Marrien Neilson	Civil	LR-23640	09/09/16
SEC v. Tycoon Energy, Inc., et al.	Civil	LR-23643	09/09/16
In the Matter of Med-X, Inc.	Stand-alone Admin. Proc.	33-10216	09/16/16
In the Matter of Sheldon Rose, et al.	Stand-alone Admin. Proc.	33-10218	09/21/16
SEC v. Mard, Inc. f/k/a KiOR, Inc, et al.	Civil	LR-23655	09/26/16

Case Name	Type of Action	Release No.	Date Filed
SEC v. Craig V. Sizer, et al.	Civil	LR-23658	09/26/16
SEC v. Jason A. Wallace	Civil	LR-23656	09/27/16
SEC v. Aegis Oil, LLC, et al.	Civil	LR-23663	09/29/16
In the Matter of Rainbow International, Corp. (a/k/a Raintree Brands Incorporated)	Stand-alone Admin. Proc.	33-10226	09/30/16
SEC v. Infinex Ventures, Inc., et al.	Civil	LR-23665	09/30/16
Transfer Agent			
In the Matter of Bay City Transfer Agency and Registrar, Inc., et al.	Stand-alone Admin. Proc.	34-78608	08/18/16
In the Matter of Wilmington Savings Fund Society, FSB	Stand-alone Admin. Proc.	34-78906	09/22/16

TABLE 4
INVESTIGATIONS OF POSSIBLE VIOLATIONS OF THE
ACTS ADMINISTERED BY THE COMMISSION

Opened in Fiscal Year 2016	1,063
Closed in Fiscal Year 2016.....	776
Ongoing ² as of September 30, 2016.....	1,729
Formal Orders of Investigation Issued in Fiscal Year 2016.....	681



² Refers to matters at the investigative stage, and excludes those that are open solely due to litigation, collections, distributions, and other post-litigation activity. Also excludes investigations in the closing process.

TABLE 5
UNCONSOLIDATED FINANCIAL INFORMATION
FOR BROKER-DEALERS
2011 – 2015 1/
(\$ in Millions)

	2011	2012	2013	2014	2015
<u>Revenues</u>					
Securities Commissions	\$ 47,707.0	\$ 40,565.8	\$ 40,110.9	\$ 39,484.1	\$ 37,290.1
Gains (Losses) in Trading and Investment Accounts	10,243.0	26,879.6	21,249.9	21,581.4	16,430.8
Profits (Losses) from Underwriting and Selling Groups	22,933.6	27,911.3	31,990.8	33,486.1	30,687.1
Margin Interest	6,202.3	7,196.0	7,090.8	8,235.9	8,434.9
Revenues from Sale of Investment Company Shares	19,391.8	20,147.1	21,613.3	22,767.6	22,121.5
All Other Revenues	139,280.0	141,714.5	150,405.0	153,880.9	160,742.7
Total Revenues	\$ 245,757.7	\$ 264,414.3	\$ 272,460.7	\$ 279,435.8	\$ 275,707.1
<u>Expenses</u>					
Registered Representatives' Compensation (Part II Only) 2/	\$ 41,094.3	\$ 42,657.8	\$ 48,455.6	\$ 52,780.4	\$ 52,682.2
Other Employee Compensation and Benefits	57,576.2	58,144.1	57,577.5	57,509.6	58,982.8
Compensation to Partners and Voting Stockholder Officers	3,765.0	3,884.9	3,929.6	4,231.1	4,173.5
Commissions and Clearance Paid to Other Brokers	25,383.9	24,179.1	25,124.4	25,741.7	25,106.3
Interest Expenses	20,344.5	20,623.4	16,587.6	15,869.0	16,108.6
Regulatory Fees and Expenses	2,457.2	2,137.4	2,456.6	2,642.7	2,674.3
All Other Expenses 2/	78,296.3	78,224.1	89,699.3	95,087.1	91,174.7
Total Expenses	\$ 228,917.4	\$ 229,850.8	\$ 243,830.7	\$ 253,861.6	\$ 250,902.4
<u>Income and Profitability</u>					
Pre-tax Income	\$ 16,840.3	\$ 34,563.5	\$ 28,629.9	\$ 25,574.2	\$ 24,804.8
Pre-tax Profit Margin	6.9%	13.1%	10.5%	9.2%	9.0%
Pre-tax Return on Equity 3/	7.5%	14.7%	12.0%	10.5%	10.2%
<u>Assets, Liabilities and Capital</u>					
Total Assets	\$4,661,501.0	\$4,892,076.0	\$4,590,749.0	\$4,440,222.3	\$4,051,280.8
Liabilities					
(a) Unsubordinated Liabilities	4,321,456.7	4,540,797.7	4,234,171.3	4,078,990.5	3,690,331.9
(b) Subordinated Liabilities	122,204.2	116,873.7	113,897.2	118,147.7	115,967.7
(c) Total Liabilities	<u>\$4,443,660.9</u>	<u>\$4,657,671.4</u>	<u>\$4,348,068.5</u>	<u>\$4,197,138.2</u>	<u>\$3,806,299.7</u>
Ownership Equity	\$ 217,840.1	\$ 234,404.6	\$ 242,680.4	\$ 243,084.1	\$ 244,981.2
Number of Firms	4,708	4,761	4,555	4,380	4,247

Figures may not add due to rounding.

1/ Calendar, rather than fiscal, year data is reported in this table.

2/ Registered representatives' compensation for firms that neither carry nor clear is included in "other expenses" as this expense item is not reported separately on Part IIA of the FOCUS Report.

3/ The denominator in the ROE calculation is the average total equity of sample firms at the start and end of the period. Entry and exit of firms do not have a material impact on the calculated ROE.

Source: FOCUS Report

TABLE 6
UNCONSOLIDATED ANNUAL REVENUES AND EXPENSES
FOR BROKER-DEALERS DOING A PUBLIC BUSINESS
2011 – 2015 1/
(\$ in Millions)

	2011	2012	2013	2014	2015
<u>Revenues</u>					
Securities Commissions	\$ 47,420.9	\$ 40,394.1	\$ 39,508.0	\$ 39,256.6	\$ 37,080.3
Gains (Losses) in Trading and Investment Accounts	6,046.3	21,154.3	16,187.8	15,967.3	11,805.7
Profits (Losses) from Underwriting and Selling Groups	22,933.6	27,911.3	31,583.1	33,486.1	30,687.1
Margin Interest	6,202.2	7,195.9	6,979.0	8,235.9	8,434.9
Revenues from Sale of Investment Company Shares	19,391.8	20,147.1	21,613.3	22,767.6	22,121.5
All Other Revenues	134,818.0	139,745.3	146,838.3	152,644.3	158,294.3
Total Revenues	\$236,812.8	\$256,548.0	\$262,709.5	\$272,357.7	\$268,423.7
<u>Expenses</u>					
Registered Representatives' Compensation (Part II Only) 2/	\$ 41,094.3	\$ 42,657.6	\$ 48,412.3	\$ 52,779.8	\$ 52,655.5
Other Employee Compensation and Benefits	56,548.7	57,146.8	55,777.9	56,699.4	58,078.9
Compensation to Partners and Voting Stockholder Officers	3,645.0	3,798.9	3,846.6	4,182.0	4,115.3
Commissions and Clearance Paid to Other Brokers	24,438.1	23,372.5	24,300.2	25,075.4	24,269.9
Interest Expenses	19,823.6	20,029.3	15,958.2	15,489.5	15,702.2
Regulatory Fees and Expenses	1,939.8	1,846.0	2,135.2	2,354.1	2,396.4
All Other Expenses 2/	75,880.8	75,744.7	86,514.9	92,754.4	88,928.7
Total Expenses	\$223,370.3	\$224,595.8	\$236,945.3	\$249,334.6	\$246,147.0
<u>Income and Profitability</u>					
Pre-tax Income	\$ 13,442.5	\$ 31,952.2	\$ 25,764.3	\$ 23,023.1	\$ 22,276.7
Pre-tax Profit Margin	5.7%	12.5%	9.8%	8.5%	8.3%
Pre-tax Return on Equity 3/	6.3%	14.3%	11.3%	9.9%	9.5%
Number of Firms	4,481	4,564	4,344	4,268	4,145

Figures may not add due to rounding.

1/ Calendar, rather than fiscal, year data is reported in this table.

2/ Registered representatives' compensation for firms that neither carry nor clear is included in "other expenses" as this expense item is not reported separately on Part IIA of the FOCUS Report.

3/ The denominator in the ROE calculation is the average total equity of sample firms at the start and end of the period. Entry and exit of firms do not have a material impact on the calculated ROE.

Source: FOCUS Report

TABLE 7
UNCONSOLIDATED BALANCE SHEET FOR
BROKER-DEALERS DOING A PUBLIC BUSINESS YEAR-END,
2011 – 2015 1/
(\$ in Millions)

	2011	2012	2013	2014	2015
<u>Assets</u>					
Cash	\$ 117,176.8	\$ 133,315.9	\$ 116,200.0	\$ 115,069.7	\$ 109,248.4
Receivables from Other					
Broker-Dealers	1,267,609.3	1,248,634.3	1,326,605.7	1,400,125.0	1,262,422.9
Receivables from Customers	192,502.9	215,394.9	241,662.3	257,173.9	227,664.6
Receivables from Non-customers	47,027.9	89,242.5	98,637.6	105,759.2	62,981.8
Long Positions in Securities and Commodities	1,074,566.4	1,162,455.0	1,041,076.9	974,828.6	849,498.6
Securities and Investments not Readily Marketable	19,688.3	22,039.8	26,240.3	32,613.2	27,038.3
Securities Purchased Under Agreements to Resell (Part II only) 2/	1,577,408.0	1,631,034.7	1,316,329.3	1,145,352.5	1,130,326.1
Exchange Membership	246.0	238.2	210.6	215.8	285.4
Other Assets 2/	254,065.3	265,373.2	294,719.7	293,462.6	280,725.8
Total Assets	\$4,550,290.9	\$4,767,728.5	\$4,461,682.4	\$4,324,601.4	\$3,950,192.0
<u>Liabilities and Equity Capital</u>					
Bank Loans Payable	\$ 45,046.6	\$ 57,936.3	\$ 67,882.6	\$ 78,838.8	\$ 42,422.7
Payables to Other Broker-dealers	621,109.0	678,523.4	660,795.9	677,608.9	558,967.3
Payables to Non-customers	71,027.5	45,106.6	41,208.9	47,601.1	45,703.3
Payables to Customers	681,310.5	731,662.1	791,642.2	835,830.3	825,668.5
Short Positions in Securities and Commodities	381,572.2	368,904.7	369,823.3	374,512.4	336,306.2
Securities Sold Under Repurchase Agreements (Part II only) 2/	2,065,576.3	2,185,299.8	1,761,037.4	1,539,035.2	1,355,075.3
Other Non-subordinated Liabilities 2/	356,883.3	360,509.2	423,470.9	417,986.4	434,190.4
Subordinated Liabilities	121,861.2	116,783.3	113,787.8	118,102.0	115,934.0
Total Liabilities	\$4,344,386.5	\$4,544,725.4	\$4,229,649.0	\$4,089,515.0	\$3,714,267.7
Equity Capital	\$ 205,904.4	\$ 223,003.1	\$ 232,033.4	\$ 235,086.3	\$ 235,924.3
Number of Firms 3/	4,481	4,286	4,173	4,115	3,981

Figures may not add due to rounding.

1/ Calendar, rather than fiscal, year data is reported in this table.

2/ Resale agreements and repurchase agreements for firms that neither carry nor clear are included in "other assets" and "other" non-subordinated liabilities," respectively, as these items are not reported separately on Part IIA of the FOCUS Report.

3/ Due to entry and exit of firms during the course of the year, the number of firms reported in Tables 6 and 7 differ.

Source: FOCUS Report

TABLE 8
UNCONSOLIDATED REVENUES AND EXPENSES FOR
CARRYING/CLEARING BROKER-DEALERS 2014–2015 1/
(\$ in Millions)

	2014		2015		Percent Change 2014–2015
	Dollars	Percent of Total Revenues	Dollars	Percent of Total Revenues	
<u>Revenues</u>					
Securities Commissions	\$ 30,148.8	14.2%	\$ 28,765.2	13.8%	-4.6%
Gains (Losses) in Trading and Investment Accounts	13,166.3	6.2%	8,800.0	4.2%	-33.2%
Profits (Losses) from Underwriting and Selling Groups	28,808.0	13.6%	8,800.0	4.2%	-69.5%
Margin Interest	8,235.9	3.9%	8,434.9	4.1%	2.4%
Revenues from Sale of Investment Company Shares	12,362.8	5.8%	11,899.8	5.7%	-3.7%
Miscellaneous Fees	46,386.4	21.9%	49,811.3	23.9%	7.4%
Revenues from Research	207.0	0.1%	253.9	0.1%	22.7%
Commodities Revenues	2,002.3	0.9%	2,684.9	1.3%	34.1%
All Other Revenues	70,483.8	33.3%	71,337.7	34.3%	1.2%
Total Assets	\$211,801.3	100.0%	\$207,992.6	100.0%	-1.8%
<u>Expenses</u>					
Registered Representatives' Compensation	\$ 52,779.8	24.9%	\$ 52,655.5	25.3%	-0.2%
Other Employee Compensation and Benefits	41,405.4	19.5%	42,545.8	20.5%	2.8%
Compensation to Partners and Voting Stockholder Officers	1,743.8	0.8%	1,671.2	0.8%	-4.2%
Commissions and Clearance Paid to Other Brokers	11,361.0	5.4%	11,561.1	5.6%	1.8%
Communications	6,634.9	3.1%	6,589.3	3.2%	-0.7%
Occupancy and Equipment Costs	6,796.5	3.2%	6,969.8	3.4%	2.5%
Data Processing Costs	3,054.2	1.4%	2,766.8	1.3%	-9.4%
Interest Expenses	15,286.6	7.2%	15,557.7	7.5%	1.8%
Regulatory Fees and Expenses	2,007.9	0.9%	2,027.3	1.0%	1.0%
Losses in Error Accounts and Bad Debts	221.6	0.1%	364.6	0.2%	64.5%
All Other Revenues	52,769.4	24.9%	48,088.8	23.1%	-8.9%
Total Assets	\$194,061.3	91.6%	\$190,797.9	91.7%	-1.7%
<u>Income and Profitability</u>					
Pre-tax Income	\$ 17,740.0	8.4%	\$ 17,194.8	8.3%	-3.1%
Pre-tax Profit Margin	8.4%		8.3%		
Pre-tax Return on Equity	8.5%		8.1%		
Number of Firms 2/	475		480		

Figures may not add due to rounding.

1/ Calendar, rather than fiscal, year data is reported in this table.

Note: Includes information from firms doing a public business that carry customer accounts or clear securities transactions.

2/ The denominator in the ROE calculation is the average total equity of sample firms at the start and end of the period. Entry and exit of firms do not have a material impact on the calculated ROE.

Source: FOCUS Report

TABLE 9
**UNCONSOLIDATED BALANCE SHEET FOR CARRYING/
CLEARING BROKER-DEALERS YEAR-END, 2014–2015 1/**
(\$ in Millions)

	2014		2015		Percent Change 2014–2015
	Dollars	Percent of Total Assets	Dollars	Percent of Total Assets	
Assets					
Cash	\$ 108,641.2	2.5%	\$ 102,945.9	2.6%	-5.2%
Receivables from Other Broker-Dealers	1,394,254.9	32.7%	1,257,054.0	32.2%	-9.8
(a) Securities Failed to Deliver	23,012.9	0.5%	24,000.2	0.6%	4.3
(b) Securities Borrowed	1,228,221.3	28.8%	1,093,745.8	28.0%	-10.9
(c) Other	143,020.6	3.4%	139,308.0	3.6%	-2.6
Receivables from Customers	257,173.9	6.0%	227,664.6	5.8%	-11.5
Receivables from Non-customers	104,382.9	2.4%	61,690.7	1.6%	-40.9
Long Positions in Securities and Commodities	939,347.2	22.0%	832,206.2	21.3%	-11.4
(a) Bankers Acceptances, Certificates of Deposit and Commercial Paper	20,807.7	0.5%	19,471.9	0.5%	-6.4
(b) U.S. and Canadian Government Obligations	543,599.3	12.8%	523,495.9	13.4%	-3.7
(c) State and Municipal Government Obligations	18,309.3	0.4%	13,438.4	0.3%	-26.6
(d) Corporate Obligations	98,348.7	2.3%	75,329.8	1.9%	-23.4
(e) Stocks and Warrants	184,952.2	4.3%	146,351.1	3.7%	-20.9
(f) Options	21,575.9	0.5%	17,134.9	0.4%	-20.6
(g) Arbitrage	10,269.8	0.2%	2,490.8	0.1%	-75.7
(h) Other Securities	41,128.0	1.0%	34,477.7	0.9%	-16.2
(i) Spot Commodities	356.2	0.0%	15.5	0.0%	-95.6
Securities and Investments Not Readily Marketable	32,238.5	0.8%	26,764.8	0.7%	-17.0
Securities Purchased Under Agreements to Resell	1,145,352.5	26.9%	1,130,326.1	28.9%	-1.3
Exchange Membership	201.7	0.0%	274.2	0.0%	35.9
Other Assets	281,494.0	6.6%	268,102.7	6.9%	-4.8
Total Assets	\$4,263,086.8	100.0%	\$3,907,029.2	100.0%	-8.4%
Liabilities and Equity Capital					
Bank Loans Payable	\$ 74,386.5	1.7%	\$ 41,879.1	1.1%	-43.7%
Payables to Other Broker-dealers	668,672.8	15.7%	555,658.3	14.2%	-16.9
(a) Securities Failed to Receive	23,443.3	0.5%	22,751.0	0.6%	-3.0
(b) Securities Loaned	573,250.6	13.4%	473,710.5	12.1%	-17.4
(c) Other	71,978.8	1.7%	59,196.9	1.5%	-17.8
Payables to Non-customers	45,170.0	1.1%	44,960.1	1.2%	-0.5
Payables to Customers	835,830.3	19.6%	825,668.5	21.1%	-1.2
Short Positions in Securities and Commodities	359,149.0	8.4%	327,930.3	8.4%	-8.7
Securities Sold Under Repurchase Agreements	1,539,035.2	36.1%	1,355,075.3	34.7%	-12.0
Other Non-subordinated Liabilities	411,757.3	9.7%	427,778.6	10.9%	3.9
Subordinated Liabilities	116,621.1	2.7%	115,517.2	3.0%	-0.9
Total Liabilities	\$4,050,622.2	95.0%	\$3,694,467.4	94.6%	-8.8%
Equity Capital	\$ 212,464.6	5.0%	\$ 212,561.8	5.4%	0.0%
Number of Firms 3/	464		461		

Figures may not add due to rounding.

1/ Calendar, rather than fiscal, year data is reported in this table.

Note: Includes information for firms doing a public business that carry customer accounts or clear securities transactions.

2/ Due to entry and exit of firms during the course of the year, the number of firms reported in Tables 8 and 9 differ.

Source: FOCUS Report

TABLE 10
TRANSACTION ACTIVITY IN EQUITIES,
OPTIONS, AND SECURITY FUTURES

Year	Market Value of Sales (millions)				
	Total	Equity Trading	Option Trading	Option Exercises and Futures Deliveries	Security Futures Trading ¹
1996	\$8,266,339	\$8,123,748	\$67,862	\$74,729	0
1997	\$11,692,830	\$11,487,872	\$104,535	\$100,422	0
1998	\$15,164,183	\$14,903,153	\$140,261	\$120,769	0
1999	\$23,218,783	\$22,813,331	\$260,294	\$145,159	0
2000	\$36,275,278	\$35,557,087	\$485,106	\$233,085	0
2001	\$26,138,050	\$25,636,203	\$277,549	\$224,298	0
2002	\$23,028,157	\$22,657,944	\$161,278	\$208,935	307,169
2003	\$22,737,469	\$22,291,534	\$164,085	\$281,851	2,501,247
2004	\$27,875,851	\$27,158,223	\$222,962	\$494,666	2,175,093
2005	\$34,567,580	\$33,222,684	\$350,365	\$994,531	5,493,850
2006	\$43,940,594	\$41,797,793	\$531,302	\$1,611,498	7,793,480
2007	\$66,135,906	\$63,064,287	\$860,659	\$2,210,959	7,858,431
2008	\$82,012,446	\$78,653,007	\$1,095,766	\$2,263,674	3,733,682
2009	\$59,849,805	\$57,565,681	\$709,842	\$1,574,282	2,728,266
2010	\$64,008,305	\$61,146,333	\$724,614	\$2,137,358	4,774,046
2011	\$70,100,192	\$66,682,887	\$923,389	\$2,493,916	3,672,898
2012	\$59,370,606	\$55,619,547	\$937,604	\$2,813,454	6,394,016
2013	\$62,899,444	\$59,514,598	\$751,661	\$2,633,185	9,545,882
2014	\$69,979,265	\$66,354,328	\$761,922	\$2,863,015	10,914,857
2015	\$74,148,435	\$70,790,348	\$720,461	\$2,637,626	11,710,494

Calendar Year 2015

BATS Exchange, Inc.	\$5,716,722	\$5,390,154	\$72,699	\$253,869	
BATS Y-Exchange, Inc.	\$2,490,406	\$2,490,406			
BOX Options Exchange LLC	\$72,784		\$16,153	\$56,631	
C2 Options Exchange, Inc.	\$41,683		\$8,994	\$32,690	
Chicago Board Options Exchange, Inc.	\$533,541	\$11	\$112,290	\$421,240	
The Chicago Stock Exchange, Inc.	\$636,847	\$636,847			
EDGA Exchange, Inc.	\$1,716,410	\$1,716,410			
EDGX Exchange, Inc.	\$4,696,163	\$4,695,703	\$217	\$242	
FINRA, Inc.	\$23,634,800	\$23,634,800			
International Securities Exchange, LLC	\$418,372		\$92,981	\$325,391	
ISE Gemini, LLC	\$88,443		\$19,520	\$68,923	
Miami International Securities Exchange, LLC	\$169,271		\$37,471	\$131,800	
NASDAQ OMX BX	\$1,452,993	\$1,429,805	\$5,156	\$18,033	
NASDAQ OMX PHLX	\$1,414,358	\$677,373	\$156,299	\$580,686	
The Nasdaq Stock Market LLC	\$12,850,611	\$12,592,017	\$53,704	\$204,890	
National Stock Exchange, Inc.	\$2	\$2			
New York Stock Exchange, Inc.	\$8,376,169	\$8,376,169			
NYSE Amex LLC	\$391,162	\$59,376	\$70,689	\$261,097	
NYSE Arca, Inc.	\$9,432,950	\$9,091,274	\$74,289	\$267,386	
OneChicago, LLC	\$14,748			\$14,748	11,710,494

Data are the value of all sales of equities and options listed on an exchange or subject to last-sale reporting. Also reported are the value of such options that were exercised, the value of single-stock futures that were delivered, and the number of round turn contracts in single-stock futures traded on an exchange. Specifically excluded are options and futures on indexes.

¹ This is the number of round turn contracts, or one purchase and one sale of a contract for future delivery. Security futures began trading in November 2002.

Sources: Form R31 for October 2003 and later months. For September 2003 and earlier months, submissions to the SEC by national securities exchanges, the NASD, and the OCC, and various issues of the Nasdaq Factbook.