

SHARTSIS FRIESE LLP

| Name | Type | SEC ID | Date | MNPI Topic | Summary | Link |
|--|-------|----------|------------|-----------------------|---|---|
| SEC FY 2018 | | | | | | |
| SEC v. Arun J. Singh | Civil | LR-23957 | 10/3/2017 | Acquisition | Exec told friend/trader about acquisition negotiations | https://www.sec.gov/litigation/litreleases/2017/lr23957.htm |
| SEC v. Christopher J. Lollar | Civil | LR-24096 | 11/1/2017 | Discovery of oil | Petroleum engineer employee traded re announcement of discovery | https://www.sec.gov/litigation/litreleases/2018/lr24096.htm |
| SEC v. Susan L. Ellerin, et al. | Civil | LR-23986 | 11/14/2017 | Acquisition | Consultant to PE firm learned of PE firm acquisition | https://www.sec.gov/litigation/litreleases/2017/lr23986.htm |
| SEC v. Stephen J. Leonard | Civil | LR-24005 | 12/6/2017 | Drug trial | Employee of biotech trusted sibling to keep trial confidential | https://www.sec.gov/litigation/litreleases/2017/lr24005.htm |
| SEC v. Joseph Spera, et al. | Civil | LR-24084 | 12/11/2017 | Secondary offerings | Posed as PMs to induce banks to disclose confidential secondaries | https://www.sec.gov/litigation/litreleases/2018/lr24084.htm |
| SEC v. Lanny Brown, et al. | Civil | LR-24015 | 12/14/2017 | Acquisition | Employee learned that employer was acquisition target | https://www.sec.gov/litigation/litreleases/2017/lr24015.htm |
| SEC v. Kenneth Peer | Civil | LR-24012 | 12/14/2017 | Acquisition | Therapist learned of acquisition from patient/employee of target | https://www.sec.gov/litigation/litreleases/2017/lr24012.htm |
| In the Matter of Anthony P. Chiera, et al. | AP | 34-82485 | 1/11/2018 | Acquisition | Employee tipped friend re employer's acquisition by another co. | https://www.sec.gov/litigation/admin/2018/34-82485-s.pdf |
| SEC v. Unknown Traders in The Securities of Bioverativ, Inc. | Civil | LR-24035 | 1/26/2018 | Acquisition | Unknown traders used Swiss accts to buy out of the money calls | https://www.sec.gov/litigation/litreleases/2018/lr24035.htm |
| SEC v. Todd M. LaVelle | Civil | LR-24044 | 2/8/2018 | Acquisition | CEO learned of acquisition of large customer | https://www.sec.gov/litigation/litreleases/2018/lr24044.htm |
| In the Matter of Ara Chackerian | AP | 34-82694 | 2/12/2018 | Acquisition | Director learned of acquisition of large customer (same LaVelle) | https://www.sec.gov/litigation/litreleases/2018/lr24044.htm |
| SEC v. Yang Xie | Civil | LR-24056 | 2/27/2018 | Acquisition | Employee traded in target of employer after receiving email not to trade | https://www.sec.gov/litigation/litreleases/2018/lr24056.htm |
| SEC v. Robert M. Morano | Civil | LR-24065 | 3/5/2018 | Acquisition | Employee working on press release learned of employer's acq. | https://www.sec.gov/litigation/litreleases/2018/lr24065.htm |
| SEC v. Jun Ying | Civil | LR-24073 | 3/14/2018 | Data breach | Employee used information to determine that employer suffered breach | https://www.sec.gov/litigation/litreleases/2018/lr24073.htm |
| SEC v. Saverio J. Barbera | Civil | LR-24104 | 4/5/2018 | Acquisition | CEO of target told friend about acquisition | https://www.sec.gov/litigation/litreleases/2018/lr24104.htm |
| SEC v. Charlie Jinan Chen, et al. | Civil | LR-24097 | 4/5/2018 | Earnings | Employee told trader of earnings results on 8 occasions | https://www.sec.gov/litigation/litreleases/2018/lr24097.htm |
| In the Matter of Douglas Nelson | AP | 34-83053 | 4/16/2018 | Equity stake | Employee of Monster told relative re Coke's equity inv. and exclusive provider agreement | https://www.sec.gov/litigation/admin/2018/34-83053.pdf |
| SEC v. David A. Zimlikli, et al. | Civil | LR-24134 | 5/4/2018 | Acquisition (merger) | Trader misappropriated info from banker friend working on deal | https://www.sec.gov/litigation/litreleases/2018/lr24134.htm |
| SEC v. Bovorn Rungruangnavarat | Civil | LR-24136 | 5/4/2018 | Acquisition | Trader learned of acquisition from banker friend | https://www.sec.gov/litigation/litreleases/2018/lr24136.htm |
| SEC v. Woojae (Steve) Jung, et al. | Civil | LR-24153 | 5/31/2018 | Acquisitions & other | Banker traded on info re 12 transactions in friend's Korean acct | https://www.sec.gov/litigation/litreleases/2018/lr24153.htm |
| SEC v. Kurt J. Bordian | Civil | LR-24164 | 6/12/2018 | Acquisition | Accountant for director learned of acquisition | https://www.sec.gov/litigation/litreleases/2018/lr24164.htm |
| SEC v. Sebastian Pinto-Thomaz, et al. | Civil | LR-24178 | 6/26/2018 | Acquisition | Credit agency employee learned of acq when acquirer inquired about ratings impact of acq. | https://www.sec.gov/litigation/litreleases/2018/lr24178.htm |
| SEC v. Sudhakar Reddy Bonthu | Civil | LR-24183 | 6/28/2018 | Data breach | Employee surmised that employer had suffered data breach | https://www.sec.gov/litigation/litreleases/2018/lr24183.htm |
| SEC v. Nelson Molina | Civil | LR-24186 | 7/5/2018 | Acquisition | Employee learned employer was exploring transaction, self-reported | https://www.sec.gov/litigation/litreleases/2018/lr24186.htm |
| In the Matter of Michael Johnson | AP | 34-83602 | 7/6/2018 | Acquisition | Trader misappropriated info from relative accountant to sr. exec. | https://www.sec.gov/litigation/admin/2018/34-83602.pdf |
| SEC v. Robert O. Carr, et al. | Civil | LR-24191 | 7/10/2018 | Acquisition | CEO provided girlfriend info re acquisition of CEO's company | https://www.sec.gov/litigation/litreleases/2018/lr24191.htm |
| SEC v. Gene Shen | Civil | LR-24194 | 7/10/2018 | Product development | Employee traded on info re announcements of product dev milestones | https://www.sec.gov/litigation/litreleases/2018/lr24194.htm |
| SEC v. Matthew Brunstrum, et al. | Civil | LR-24212 | 7/24/2018 | Earnings | Employee learned of negative earnings | https://www.sec.gov/litigation/litreleases/2018/lr24212.htm |
| In the Matter of Yao Li | AP | 33-10525 | 7/24/2018 | Earnings | Employee learned of three negative earnings announcements | https://www.sec.gov/litigation/admin/2018/33-10525.pdf |
| SEC v. Richard T. Cunniffe | Civil | LR-24215 | 7/25/2018 | Acquisitions | Banker tipped father on deals, who in-turn tipped friend | https://www.sec.gov/litigation/litreleases/2018/lr24215.htm |
| SEC v. Anup Madan | Civil | LR-24221 | 7/31/2018 | Acquisition | Employee who participated in due diligence learned of acq | https://www.sec.gov/litigation/litreleases/2018/lr24221.htm |
| SEC v. Robert Lozuk | Civil | LR-24222 | 7/31/2018 | Acquisition | Employee of target told friend about acquisition | https://www.sec.gov/litigation/litreleases/2018/lr24222.htm |
| In the Matter of Fred Tinker | AP | 34-83742 | 7/31/2018 | Acquisition | Employee learned of potential acquisition and traded in wife's acct. | https://www.sec.gov/enforce/34-83742-s |
| In the Matter of Aaron R. Smith | AP | 34-83795 | 8/7/2018 | Acquisition | Son misappropriated info from father, a director of target co. | https://www.sec.gov/enforce/34-83795-s |
| SEC v. Christopher Collins, et al. | Civil | LR-24231 | 8/8/2018 | Drug trial | Director/congressman told son about clinical failure of co's drug | https://www.sec.gov/litigation/litreleases/2018/lr24231.htm |
| SEC v. Lauren Zarsky | Civil | LR-24231 | 8/8/2018 | Drug trial | Tippee of above (Collins) | https://www.sec.gov/litigation/litreleases/2018/lr24231.htm |
| SEC v. Dorothy Zarsky | Civil | LR-24231 | 8/8/2018 | Drug trial | Tippee of above (Collins) | https://www.sec.gov/litigation/litreleases/2018/lr24231.htm |
| In the Matter of Honglan Wang | AP | 34-83857 | 8/16/2018 | Drug trial | Employee learned of positive drug trial results | https://www.sec.gov/litigation/admin/2018/34-83857.pdf |
| SEC v. A. Catlin Cade, IV | Civil | LR-24240 | 8/17/2018 | Acquisition | Accountant for co. owned by director of acquiring company | https://www.sec.gov/litigation/litreleases/2018/lr24240.htm |
| In the Matter of Joseph Jennings, CPA | AP | 34-83889 | 8/20/2018 | Acquisition | Audit employee learned of clients' merger, traded options in relative's acct. | https://www.sec.gov/enforce/34-83889-s |
| In the Matter of Ismail Lila | AP | 34-83896 | 8/21/2018 | Strategic partnership | Employee learned of employer's strategic partnership | https://www.sec.gov/enforce/34-83896-s |
| In the Matter of James T. Lentz | AP | 33-10535 | 8/22/2018 | Earnings | Employee learned that lagging sales required reduced distributions to unit holders | https://www.sec.gov/litigation/admin/2018/33-10535.pdf |
| SEC v. Steven Fishoff, et al. | Civil | LR-24245 | 8/23/2018 | Licensing agreement | Employee tipped friend in business of selling MNPI to traders | https://www.sec.gov/litigation/litreleases/2018/lr24245.htm |
| SEC v. Marvin Mychal-Christopher Kendrick, et al. | Civil | LR-24252 | 8/29/2018 | Acquisitions | Banker gave tips in exchange for cash and other perks | https://www.sec.gov/litigation/litreleases/2018/lr24252.htm |
| SEC v. Amer Deeba | Civil | LR-24251 | 8/30/2018 | Earnings | Employee tipped brothers about missed sales forecast | https://www.sec.gov/litigation/litreleases/2018/lr24251.htm |

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| SEC v. Rong Chen, et al. | Civil | LR-24269 | 9/10/2018 | Acquisitions | Advisor to acquiring companies traded in account in wife's name | https://www.sec.gov/litigation/litreleases/2018/lr24269.htm |
| In the Matter of Thomas Earl Hayden, II, et al. | AP | 34-84304 | 9/27/2018 | Equity stake | Employee tipped trader re equity investment and exclusive supplier agreement | https://www.sec.gov/enforce/34-84304-s |
| In the Matter of Gary Bernard Ross | AP | 34-84305 | 9/27/2018 | Equity stake | Broker misappropriated info from client re equity investment and exclusive supplier agrmt. | https://www.sec.gov/litigation/admin/2018/34-84305.pdf |
| In the Matter of Unal Patel, et al. | AP | 34-84315 | 9/28/2018 | Acquisition | Trader misappropriated info from friend, employee at acquiring co. | https://www.sec.gov/litigation/admin/2018/34-84315.pdf |
| SEC v. Bryan B. Long | Civil | LR-24317 | 9/28/2018 | Acquisition | Dir of SEC reporting at acquirer traded in target company | https://www.sec.gov/litigation/litreleases/2018/lr24317.htm |
| SEC v. Bryan R. Ziegenfuss | Civil | LR-24298 | 9/28/2018 | Acquisition & other | Employee learned of employer's acq of another co, and 2 other matters | https://www.sec.gov/litigation/litreleases/2018/lr24298.htm |

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| SEC v. Dragojlovic | Civil | LR-24338 | 11/7/2018 | Acquisition | Trader misappropriated info from brother, employee | https://www.sec.gov/litigation/litreleases/2018/lr24338.htm |
| SEC v. Hengen | Civil | LR-24340 | 11/8/2018 | Acquisitions | Trader misappropriated info from wife, employee of acquirer | https://www.sec.gov/litigation/litreleases/2018/lr24340.htm |
| SEC v. Gannamaneni, et al. | Civil | LR-24371 | 12/6/2018 | Acquisitions | Contractor at bank tipped information about deals bank working on | https://www.sec.gov/litigation/litreleases/2018/lr24371.htm |
| SEC v. Cho | Civil | LR-24375 | 12/17/2018 | Acquisition | Trader misappropriated info from wife, banker working on deal | https://www.sec.gov/litigation/litreleases/2018/lr24375.htm |
| SEC v. Ieremenko | Civil | LR-24381 | 1/15/2019 | Earnings | Hacker obtained nonpublic earnings info by hacking SEC Edgar system | https://www.sec.gov/litigation/litreleases/2019/lr24381.htm |
| In the Matter of Daniel J. Callahan | AP | 34-85079 | 2/8/2019 | Equity stake | Outside lawyer for Monster learned of Coke investment and exclusive supplier agreement | https://www.sec.gov/enforce/34-85079-s |
| SEC v. Levoff | Civil | LR-24399 | 2/13/2019 | Earnings | Apple attorney for securities compliance traded on info re quarter | https://www.sec.gov/litigation/litreleases/2019/lr24399.htm |
| SEC v. Vacante | Civil | LR-24406 | 2/21/2019 | FDA Approval | Employee learned of withdrawal of FDA premarket notification | https://www.sec.gov/litigation/litreleases/2019/lr24406.htm |

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