

## SEC FY 2019 INSIDER TRADING CASES

|   | Release No. | Date        | MNPI Topic                     | Summary   | Link  |
|---|-------------|-------------|--------------------------------|---|---|
| SEC v. Ettu                               | Civil       | PR 2018-251 | 11/2/2018 Acquisition          | Analyst at investment bank tipped M&A activity                            | <a href="https://www.sec.gov/news/press-release/2018-251">https://www.sec.gov/news/press-release/2018-251</a>                         |
| SEC v. Dragojlovic                        | Civil       | LR-24338    | 11/7/2018 Acquisition          | Trader misappropriated info from brother, employee                        | <a href="https://www.sec.gov/litigation/litreleases/2018/lr24338.htm">https://www.sec.gov/litigation/litreleases/2018/lr24338.htm</a> |
| SEC v. Hengen                             | Civil       | LR-24340    | 11/8/2018 Acquisitions         | Trader misappropriated info from wife, employee of acquirer               | <a href="https://www.sec.gov/litigation/litreleases/2018/lr24340.htm">https://www.sec.gov/litigation/litreleases/2018/lr24340.htm</a> |
| SEC v. Gannamaneni, et al.                | Civil       | LR-24371    | 12/6/2018 Acquisitions         | Contractor at bank tipped information about deals bank working on         | <a href="https://www.sec.gov/litigation/litreleases/2018/lr24371.htm">https://www.sec.gov/litigation/litreleases/2018/lr24371.htm</a> |
| SEC v. Cho                                | Civil       | LR-24375    | 12/17/2018 Acquisition         | Trader misappropriated info from wife, banker working on deal             | <a href="https://www.sec.gov/litigation/litreleases/2018/lr24375.htm">https://www.sec.gov/litigation/litreleases/2018/lr24375.htm</a> |
| SEC v. Ieremenko                          | Civil       | LR-24381    | 1/15/2019 Earnings             | Hacker obtained nonpublic earnings info by hacking SEC Edgar system       | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24381.htm">https://www.sec.gov/litigation/litreleases/2019/lr24381.htm</a> |
| In the Matter of Daniel J. Callahan       | AP          | 34-85079    | 2/8/2019 Equity stake          | Outside lawyer learned of investment and exclusive supplier agreement     | <a href="https://www.sec.gov/enforce/34-85079-s">https://www.sec.gov/enforce/34-85079-s</a>   |
| SEC v. Levoff                             | Civil       | LR-24399    | 2/13/2019 Earnings             | Apple attorney for securities compliance traded on info re quarter        | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24399.htm">https://www.sec.gov/litigation/litreleases/2019/lr24399.htm</a> |
| SEC v. Vacante                            | Civil       | LR-24406    | 2/21/2019 FDA Approval         | Employee learned of withdrawal of FDA premarket notification              | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24406.htm">https://www.sec.gov/litigation/litreleases/2019/lr24406.htm</a> |
| In the Matter of Tai Chen-Yang            | AP          | 34-85525    | 4/5/2019 Acquisition           | Misappropriated info from wife that relative shared re acquisition        | <a href="https://www.sec.gov/litigation/admin/2019/34-85525.pdf">https://www.sec.gov/litigation/admin/2019/34-85525.pdf</a>           |
| SEC v. Powers                             | Civil       | LR-24448    | 4/10/2019 Earnings             | Asst. GC at SeaWorld traded before earnings announcement                  | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24448.htm">https://www.sec.gov/litigation/litreleases/2019/lr24448.htm</a> |
| SEC v. Yuh-Yue Chen                       | Civil       | LR-24454    | 4/10/2019 Earnings             | Engineer at co accessed accounting area for earnings MNPI                 | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24454.htm">https://www.sec.gov/litigation/litreleases/2019/lr24454.htm</a> |
| SEC v. Quentin Louis Wilcox               | Civil       | LR-24453    | 4/16/2019 Earnings             | Financial manager traded on earnings MNPI                                 | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24453.htm">https://www.sec.gov/litigation/litreleases/2019/lr24453.htm</a> |
| SEC v. One or More Unknown Traders        | Civil       | LR-24462    | 4/29/2019 Acquisition          | Unknown trader's suspicious trades before Chevron / Anandarko             | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24462.htm">https://www.sec.gov/litigation/litreleases/2019/lr24462.htm</a> |
| SEC v. Fettner, et al.                    | Civil       | LR-24468    | 5/7/2019 Acquisition           | Misappropriated by looking at documents at friend's house                 | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24468.htm">https://www.sec.gov/litigation/litreleases/2019/lr24468.htm</a> |
| SEC v. Schulman, et al.                   | Civil       | LR-24465    | 5/9/2019 Acquisition and other | Employee learned employer acquiring co, and tipped other info from friend | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24465.htm">https://www.sec.gov/litigation/litreleases/2019/lr24465.htm</a> |
| SEC v. Ramsey                             | Civil       | LR-24474    | 5/21/2019 Acquisitions         | Related to 8/2018 case re Kendricks; recruited tipper                     | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24474.htm">https://www.sec.gov/litigation/litreleases/2019/lr24474.htm</a> |
| In the Matter of David A. Altom, et al    | AP          | 34-85956    | 5/29/2019 Acquisition          | Employee learned of acquisition, tipped neighbor                          | <a href="https://www.sec.gov/litigation/admin/2019/34-85956.pdf">https://www.sec.gov/litigation/admin/2019/34-85956.pdf</a>           |
| SEC v. Starker                            | Civil       | LR-24503    | 6/18/2019 Secondary offering   | Trader leaned of secondary from director and banker                       | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24503.htm">https://www.sec.gov/litigation/litreleases/2019/lr24503.htm</a> |
| In the Matter of Tory J.R. Schalkle       | AP          | 34-86268    | 7/1/2019 Acquisition           | Employee of consulting firm engaged re M&A traded on deal                 | <a href="https://www.sec.gov/litigation/admin/2019/34-86268.pdf">https://www.sec.gov/litigation/admin/2019/34-86268.pdf</a>           |
| SEC v. Blakstad, et al.                   | Civil       | PR 2019-126 | 7/10/2019 Earnings             | Employee tipped earnings results  | <a href="https://www.sec.gov/news/press-release/2019-126">https://www.sec.gov/news/press-release/2019-126</a>                         |
| SEC v. Loman                              | Civil       | LR-24540    | 7/18/2019 Earnings             | Controller traded before earnings announcement and in acquisition target  | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24540.htm">https://www.sec.gov/litigation/litreleases/2019/lr24540.htm</a> |
| In the Matter of Balaji Sundarraj, et al. | AP          | 34-86435    | 7/23/2019 Acquisition          | Trader overheard telephone conversation about acquisition                 | <a href="https://www.sec.gov/litigation/admin/2019/34-86435.pdf">https://www.sec.gov/litigation/admin/2019/34-86435.pdf</a>           |
| In the Matter of Timothy M. Rooney, Sr.   | AP          | 34-86489    | 7/26/2019 Earnings             | Registered rep tipped earnings information by company employee            | <a href="https://www.sec.gov/litigation/admin/2019/34-86489.pdf">https://www.sec.gov/litigation/admin/2019/34-86489.pdf</a>           |
| In the Matter of James W. Holden          | AP          | 34-86521    | 7/31/2019 Joint venture        | Trader learned of significant joint venture from director                 | <a href="https://www.sec.gov/litigation/admin/2019/34-86521.pdf">https://www.sec.gov/litigation/admin/2019/34-86521.pdf</a>           |
| SEC v. Tsai                               | Civil       | LR-24568    | 8/12/2019 Acquisition          | Investment banker traded on acquisition bank was working on               | <a href="https://www.sec.gov/news/press-release/2019-149">https://www.sec.gov/news/press-release/2019-149</a>                         |
| SEC v. Nahata, et al.                     | Civil       | LR-24562    | 8/12/2019 Acquisition          | Employee of acquirer traded and tipped on acquisition                     | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24562.htm">https://www.sec.gov/litigation/litreleases/2019/lr24562.htm</a> |
| In the Matter of Lorenz Erne              | AP          | 34-86690    | 8/15/2019 Acquisition          | Employee of parent of acquirer traded on acquisition                      | <a href="https://www.sec.gov/litigation/admin/2019/34-86690.pdf">https://www.sec.gov/litigation/admin/2019/34-86690.pdf</a>           |
| SEC v. Daubenspeck, et al.                | Civil       | LR-24587    | 9/5/2019 Earnings              | Trader learned of earnings information misappropriated from employee      | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24587.htm">https://www.sec.gov/litigation/litreleases/2019/lr24587.htm</a> |
| SEC v. Nall, III, et al.                  | Civil       | LR-24613    | 9/23/2019 Acquisition          | Tipper misappropriated information from father who was director           | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24613.htm">https://www.sec.gov/litigation/litreleases/2019/lr24613.htm</a> |
| SEC v. Irvin                              | Civil       | LR-24618    | 9/24/2019 Earnings             | Employee traded and tipped on earnings information                        | <a href="https://www.sec.gov/litigation/litreleases/2019/lr24618.htm">https://www.sec.gov/litigation/litreleases/2019/lr24618.htm</a> |

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