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Disposition: Per a Complaint issued by the Commission dated 04/13/16, the Commission respectfully requests that this United States District Court for the Southern District of New York: permanently enjoin Defendant John Afriyie from violating Section 10(b) of the Exchange Act 15 U.S.C. section 78j(b) and Rule 10b-5 thereunder 17 C.F.R. section 240.10b-5 ; order Defendant John Afriyie and Relief Defendant Lawrencia Afriyie to disgorge their ill-gotten gains, including prejudgment interest; order Defendant John Afriyie to pay civil penalties pursuant to Sections 21(d)(3) and 21A of the Exchange Act 15 U.S.C. sections 78u(d)(3) and 78u-1 ; and grant such other and further relief as this Court may determine to be just and necessary.

***** ADDITIONAL PARTY INFORMATION *****

Afriyie, Lawrencia
Monmouth County, NJ

Action: Complaint

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HARDCOPY ORDER NUMBER: SEC1606E-04018945
Alleged Offense(s): Plaintiff Securities and Exchange Commission ("the Commission"), for its Complaint against Defendant John Afriyie and Relief Defendant Lawrencia Afriyie, alleges as follows: This case involves unlawful insider trading by Defendant John Afriyie, an analyst at an investment firm ("Investment Firm"), in the options of The ADT Corporation ("ADT") ahead of an announcement that affiliates of **Apollo Global Management, LLC** ("Apollo"), an alternative investment manager, planned to acquire ADT. Beginning in at least January 2016, through his employment, John Afriyie learned material, nonpublic information about the acquisition and purchased high risk, out-of-the-money ADT call options in his mother's brokerage account. When Apollo and ADT announced the acquisition before market open on February 16, 2016, ADT's stock price jumped nearly 48%. By trading on inside information regarding the acquisition, John Afriyie reaped approximately \$ 1.56 million in illicit profits. By knowingly or recklessly engaging in the conduct described in this Complaint, John Afriyie violated and, unless restrained and enjoined by this Court, will continue to violate Section 10(b) of the Securities Exchange Act of 1934 ("Exchange Act") 15 U.S.C. section 78j(b) and Rule 10b-5 thereunder 17 C.F.R. section 240.10b-5 . John Afriyie, age 28, resides in New York City, New York. At all relevant times, Afriyie was employed in Investment Firm's New York City office as an analyst focused on public

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