

SANCTN

funds managed by affiliates of **Apollo Global Management, LLC**. After receiving this nonpublic information from Whelehan, on January 22, 2016, Tsai purchased 1,500 shares of ADT stock. On that same day, Tsai also recommended to a close relative to purchase ADT stock. Later that day, Tsai's close relative purchased 343 shares of ADT stock. Whelehan did not trade in ADT stock. According to the complaint, when ADT's acquisition was announced on February 16, 2016, its stock price rose 48 percent, resulting in Tsai and her close relative generating illicit profits of approximately \$ 19,500.00 and \$ 4,414.41, respectively. The SEC's complaint charges Tsai and Whelehan with violating Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder. Without admitting or denying the allegations in the SEC's complaint, Tsai and Whelehan have each consented to the entry of judgments permanently enjoining them from violating those provisions of the federal securities laws. In addition, Whelehan has agreed to pay \$ 23,914.41 in civil penalties, and Tsai has agreed to disgorge \$ 23,914.41 in illicit profits plus \$ 521.08 in prejudgment interest, and pay \$ 23,914.41 in civil penalties. The settlements are subject to court approval. The SEC's investigation was conducted by Gerald Gross and Sheldon Mui, and was supervised by Sanjay Wadhwa, all of the SEC's New York office. See source document(s) for additional information.

DEBBIE WILLIAMS, Regina Warfel, individually and on behalf of all others similarly situated, Brett Reilly, individually and on behalf of all others similarly situated, Juan M. Restrepo, individually and on behalf of all others similarly situated, Jennie H. Pham, individually and on behalf of all others similarly situated Lucy Schnabel, Brian Schnabel, individually and on behalf of all others similarly situated, Plaintiffs-Appellants, Debra Miller, individually and on behalf of all others similarly situated, William Thompson, individually and on behalf of all others similarly situated, Brittany DiCarolis, Annette Sumlin, Hope Kelm, individually and on behalf of all others similarly situated, Barbara Timmcke, individually and on behalf of all others similarly situated, Edward Schnabel, individually and on behalf of all others similarly situated, David Frankel, individually and on behalf of all others similarly situated, Plaintiffs, v. AFFINION GROUP, LLC, Apollo Global Management, LLC, Beckett Media LLC, Buy.com, Inc., IAC/InteractiveCorp, PeopleFindersPro, Inc., Shoebuy.com, Inc., Trilegiant Corporation, Wyndham Worldwide Corp., Defendants-Appellees, 1-800-Flowers.com, Inc., Adaptive Marketing, LLC, Days Inns Worldwide, Inc., Rakuten USA, Inc., Vertrue Inc., Webloyalty.com, Inc., Orbitz Worldwide, LLC, Priceline.com, Inc., TigerDirect, Inc., Bank of America N.A., Wells Fargo Bank, N.A., Citigroup Inc., Capital One Financial Corporation, Chase Bank USA, N.A., Citibank, N.A. Hotwire, Inc., Chase Paymentech Solutions, LLC, United Online, Inc.,

For internal use only

For internal use only