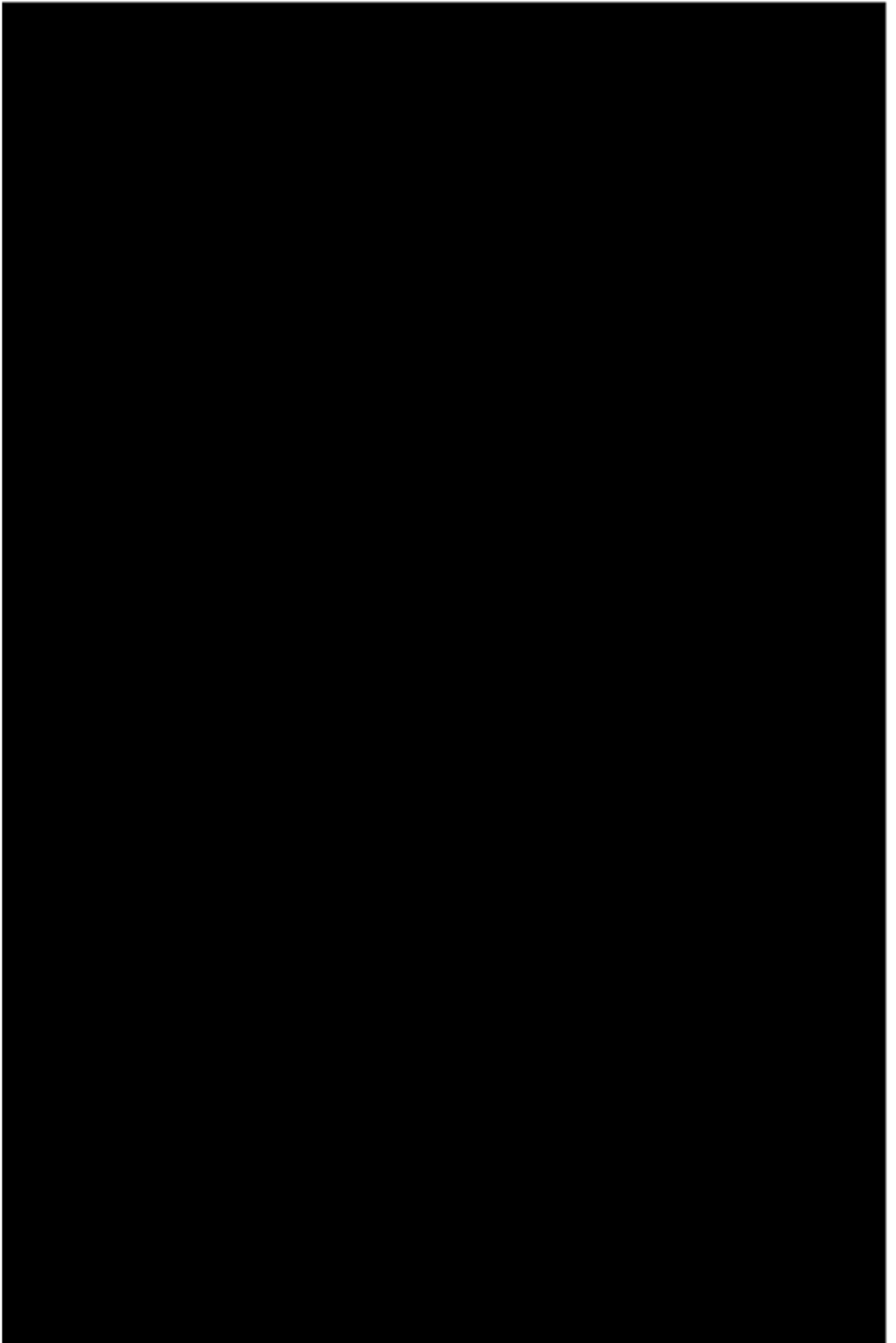
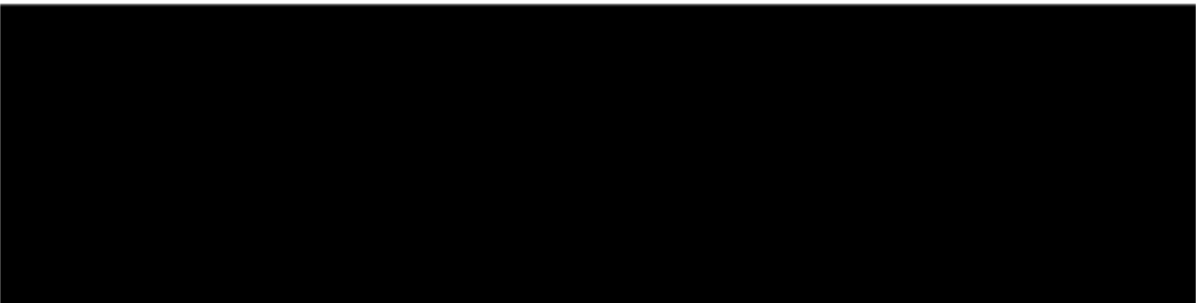


From: Chris Dilorio <[REDACTED]>

To:





Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Date: Tue, 22 Jun 2021 11:31:14 +0000

Attachments: KCG_Appendix_3-20_13_penultimate.docx; KCG_TCR_3-20-13-penultimate_draft.pdf; KCG_TCR_3-20-13-penultimate_draft.docx; KCG_Appendix_3-20_13_penultimate.pdf; kcg1q2015.pdf

SDNY Judges: which one of you will be the lucky recipient of still MORE SEC fraud on your courts?

[Complaint - OFER ABARBANEL \(sec.gov\)](#)

As is SOP for the SEC

More OMISSIONS than submissions

[EDGAR Search Results \(sec.gov\)](#)

per the Welshans et al SEC "complaint"

"NALR is a shell company...."

Full stop. NALR/Alaska/New York/State was at ALL times a FULLY REPORTING SEC company

Are we clear?

Further:

"From March 2019 through November 2020, Abarbanel and the (FULLY SEC REPORTING SHELL) Fund transferred approximately \$102,000,000 of the funds invested by investor Group A into NARL ACCOUNTS"

the COO of State Funds/New York Alaska is Nicholas Abbate

A former "independent" Market Maker at Knight Capital

[UNITED STATES \(sec.gov\)](#)

Guess who controlled (for others) 40% of the State Fund receiving the \$102,000,000 investor Funds?

"Note 9. Control and Ownership"

Brown Brothers Harriman

The penny stock money launderer FINRA/Dick Best all entities unnamed

Guess who controlled (for others) 57% of the State Fund/NARL receiving the \$102,000,000 investor funds?

Bahamas/Toronto based Old Fort/Mosaic Ltd

[Mosaic Financial \(mosaic-financial.com\)](#)



Mosaic Financial

For more than 50 years, our team has built on expertise in private banking for UHNW individuals and families to serve larger and more complex accounts in financial technology. To serve our clients better, we provide a turnkey asset management platform that simplifies custody, execution, accounting, reporting, research,

mosaic-financial.com

Yet, somehow/ some way: no mention of COO Abbate, BBH, OR Mosaic/Old Fort
AND

Of course: absolutely ZERO reference to AML.

ANOTHER fraud SEC complaint coming to the SDNY Courts

The SEC is a grossly corrupt, criminal organization bought and paid for by criminals ACTIVELY facilitating multiple, massive, ongoing frauds on the public while screwing the whistleblower who caught them: ME

Cheers!

Chris

From: Chris Dilorio <[REDACTED]>

Sent: Friday, June 11, 2021 5:59 AM

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

SDNY, NY Supreme Court, NJ Judges et al

to say the SEC is a grossly corrupt ,criminal enterprise ACTIVELY facilitating multiple, massive, ongoing frauds on the public to the benefit of the criminals who own them while screwing the whistleblower who caught them: me. The real world implications of this irrefutable FACT are staggering. REAL lives changed/ruined. Staggering losses for "main street investors" as Clayton referred to them. Because, for ANYONE spending more than an hour or 2 on a trading desk: Gordon Gekko was right: "It's a zero sum game. Somebody wins, somebody loses". The Grossly corrupt SEC has rigged the game in favor of the criminals over the public it is mandated to protect. Mr Paley, did your Micro Cap Fraud Task Force actually accomplish ANYTHING? How did 4+ TRILLION shares of OTCM money laundering shells trade in 1Q 2021? Are prolific Bag Men like Kramer and Honig etc etc etc actually "out of business"?

HELL NO!

Mr Gensler, Chair Waters/Congress made repealing the grossly corrupt Clayton, Peirce, Roisman Rule in the summer of 2020 that exempts 90% of current 13 F filers a priority. Will you execute the stated will of Congress? As the Corrupt POS Paley et al know: NONE OF THESE CRIMINALS are out of business in 2021. In Fact, business is BOOMING

[SEC.gov | SEC Proposes Amendments to Update Form 13F for Institutional Investment Managers; Amend Reporting Threshold to Reflect Today's Equities Markets](#)

SEC.gov | SEC Proposes Amendments to Update Form 13F for Institutional Investment Managers; Amend Reporting Threshold to Reflect Today's Equities Markets

The Securities and Exchange Commission today announced that it has proposed to amend Form 13F to update the reporting threshold for institutional investment managers and make other targeted changes.

www.sec.gov

Speaking of Prolific Bag Man Honig: As you are all aware, I made the connection between Honig, Russian entities, Signature Bank: SBNY, and the criminal law firm of Sichenzia Ross. Mr Gottschall: Have you been able to locate Castle Rock on a map yet?

Here are just a few of the recently filed RIOT Blockchain filings with the SEC

Detailing a few "transactions"

With the likes of The Beijing China Bitcoin mining company Bitmain where RIOT bought the "mining machines" at the Rockdale Texas 1gig+ "HPC" data center. It doesn't look like Bitmain has much of a future in China. But Rockdale Texas is a growth market for sure.

<https://www.sec.gov/Archives/edgar/data/1167419/000107997321000272/ex99x1.htm>

SEC.gov | HOME

Hash Rate Growth . By Q4 2022, Riot expects a total hash rate capacity of 7.7 EH/s with a fleet of approximately 81,146 Antminers, 95% of which will be the latest generation S19 series model.

www.sec.gov

Another "transaction" involves the RIOT acquisition of a Data Center in Rockdale Texas owned by a German entity called Northern Data/Northern Bitcoin/Whinstone

[Northern Data AG successfully closed the sale of its Texas data center to Riot Blockchain, Inc. - Northern Data AG](#)

Northern Data AG successfully closed the sale of its Texas data center to Riot Blockchain, Inc. - Northern Data AG

Frankfurt am Main – May 27, 2021 – Northern Data AG (XETRA: NB2, ISIN: DE000A0SMU87) a leading infrastructure supplier for Bitcoin mining and other HPC infrastructure solutions, successfully completed the sale of its U.S. subsidiary Whinstone US, Inc., which operates a high-performance data center facility based in Rockdale, Texas, to Riot Blockchain, Inc. (NASDAQ: "RIOT"). The ...

northerndata.de

Northern Data is a publicly traded company with ADR's trading OTCM Pinks.

US Jurisdiction established

[Half-Year-Report_2019.pdf \(northerndata.de\)](#)

HALF-YEAR REPORT 2019 - Northern Data

PAGE 4 NORTHERN BITCOIN AG | HALF YEAR REPORT 2019 BITCOIN IS CHANGING THE WORLD Bitcoin is a digital finance system that cannot be manipulated.

northerndata.de



Investor Relations - Northern Data AG

Northern Data AG develops and operates global infrastructure solutions in the field of High-Performance Computing (HPC). With its customer-specific solutions, the company provides the infrastructure for various HPC applications in areas such as bitcoin mining, blockchain, artificial intelligence, big data analytics, IoT or

northerndata.de

[OTC Markets](#) | [NDTAF](#) | [Company Profile](#) | [OTC Markets](#)

Northern Data is now a 12% holder of RIOT

[Inline XBRL Viewer \(sec.gov\)](#)

[EDGAR Filing Documents for 0001140361-21-019019 \(sec.gov\)](#)

Northern Data/Bitcoin Frankfurt came into existence in 2015.

The founder is a guy named Mathis Schultz. Mr Schultz previously was a Private Banker at Julius Baer, LGT, and Elan Capital Management

[Mining Like a Viking: How the Fjords of Norway Offer a Greener Alternative - Bitcoin Magazine: Bitcoin News, Articles, Charts, and Guides](#)



Mining Like a Viking: How the Fjords of Norway Offer a Greener Alternative - Bitcoin Magazine: Bitcoin News, Articles, Charts, and Guides

Northern Bitcoin's energy costs are lowered still by the climate control measures Lefdal mine features by design. As if the Norwegian climate wasn't cool enough, the data center is situated some 656 feet below ground, so it maintains a constant temperature of 55 degrees Fahrenheit (~12.5 degrees Celsius).

bitcoinmagazine.com

Schultz picked a very interesting nobody from New Orleans to build his 1Gig+ "HPC" data center in Rockdale Texas: Chad Everett Harris
qualifications?

[The Year of Chad Everett Harris - Chad Everett Harris](#)



The Year of Chad Everett Harris - Chad Everett Harris

2020 will be the Year of Chad Everett Harris. This will be the year that the last 1642 days of work pays off and things get back to my normal chaotic life that I love. This year will be filled with achievement, challenges, and excitement. It will also be a year of living in the [...]

www.chadeverettharris.com

[Chad Everett Harris | Meet New Orleans Entrepreneur](#)



Chad Everett Harris | Meet New Orleans Entrepreneur

Chad Everett Harris realized his passion for entrepreneurship very early on in his childhood. Born in Palos Verdes, California in 1969, he spent much of his young life moving between cities across the US. In his early years alone, he spent considerable time in Georgia, Michigan, and Louisiana.

www.chadeverettharris.com

[Chad Everett Harris Archives - Page 2 of 4 - Chad Everett Harris](#)

Northern Data/ Northern Bitcoin bought Whinstone in 2019.

Whinstone was building its Rockdale Texas 1 gig+ "HPC" data center in 2020 supervised by Chad Everett Harris

Northern Data/ Northern Bitcoin sells Whinstone Texas "Data center" in April 2021

Northern Data founded in 2015 by former Private Banker Mathis Schultz

RIOT has no office at SEC filings address.

RIOT is Honig/Russian money laundering shell

RIOT does "offering" with SBNY as escrow agent and the criminal law firm Sichenzia Ross.

Northern Data trades OTCM Pinks: no info

Northern Data now owns 12% of RIOT

RIOT is a "customer" of Beijing based Bitmain which has been effectively shut down by the PRC

Bitmain filed a "secret ipo" with Clayton/SEC

RIOT is a National security risk and ONGOING fraud on the public kept up and running by the grossly corrupt SEC: Gottschall et al

[Bitmain](#)

Mr Gottschall: And to think ALL of this is happening 15 from my home in Castle Rock Colorado. Too fucking funny.

Cheers!

Christopher J Dilorio

[REDACTED]

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, June 1, 2021 6:31 AM

[REDACTED]

EFTA00067137

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

SDNY, NY Supreme Courts/NJ Courts grossly corrupt SEC et al,
Let's break down VIRT CEO Dougie "Mr Transparency" Cifu comments to Sell Side analysts on the NITE/VIRT 1Q 2021 earnings call in May 2021:

Per below:

"Yes, Dan, obviously you look at the same metrics I do, just to give you a little commentary on them, I mean April volumes were a hair under 10 billion shares per day which is down 32 odd percent from the first quarter....."

Meaning: 1Q 2021 equity market making volumes at NITE were roughly 13 billion shares per day.

Let's compare the last KCG stand alone quarter: 1Q2017 (below) where total equity market making share volumes were "a hair OVER 10 billion shares per day": 10.082 billion shares per day to be exact.

KCG 1Q2017: 154 mil trading revenue

93.589 mil commissions/fees

eps .05/ 67 mil shares outstanding

Since Dougie "Mr Transparency" Cifu won't actually disclose 1Q2021 metrics, let's do some simple math and solve for "X" shall we?

NITE/VIRT COMBINED 1Q2021

Remember: "April volumes were down approximately 32% from 1Q 2021 volumes "

April volumes were a "Hair under 10 billion shares pe day"

Therefore: Cifu says to Sell Side analysts on May4 2021 earnings call: 1Q2021 share volumes were roughly 13 billion shares per day

The 1q2021 NITE/VIRT combined SEC reviewed 10Q

[Document \(sec.gov\)](#)

trading income: 812.743 mil

net commissions: 191.64 mil

eps 1.91/sh on 123.4 mil shares out

Again: 1Q 2017 OTCM Pink money laundering shell volumes: 90%+ of total equity MM volumes

OVERALL OTCM Volumes: 100-300 billion shares/month

in 1Q2021 OVERALL OTCM Money laundering share volumes were 4+ TRILLION shares

a 10-30x+ INCREASE 2021 vs 2017 in OTCM Money laundering shell volumes

YET TOTAL equity market making share volumes were up just 30+% 1Q2021 vs KCG stand alone 1Q2017????

How much market share did NITE/VIRT LOSE since 2017: 90+%????

NITE/VIRT 1Q2021 share volumes were MULTIPLES of 13 billion shares/day. Cifu is KNOWINGLY LYING

Further:

Recall: ANOTHER example of SEC corruption: the KCG 1Q2014 "astronomical" OTCM share volume metrics expunged by McKessy, Norberg, Pasquinelli, et al from the 1Q2014 10Q:

The KCG stand alone 1Q2014 10Q: the basis of my March 2014 letter to McKessy with Berger Montague : I have attached the KCG 1Q2015 SEC reviewed 10Q above

Year over year numbers: The corrupt SEC failed to expunge

pg 53

1Q2014 KCG STAND ALONE OTCM share volumes

14.045 BILLION shares/day (My Letter to McKessy)

NYSE/NASDAQ volumes: 862 MILLION shares/day

So according to Dougie "Mr Transparency" Cifu"

1Q2021 average daily share volumes were roughly 13 billion shares per day: This number is LESS than KCG stand alone 1Q2014 share volumes of almost 15 billion shares/day: 7 FUCKING YEARS AGO

In 1Q2014 KCG trading revenue was 254.6 million and eps was .30/share

This is blatant, egregious Cifu/SEC facilitated fraud on the public the SEC is mandated to protect.

WHY is Cifu hiding this from the investing public and as important: WHY is the grossly corrupt SEC letting him? Read my TCR. In furtherance of the conspiracy: the CORE business at Knight/KCG/VIRT: NITE is and always has been Illegal naked shorting OTCM shells to facilitate money laundering.

Further: Clayton et al CORRUPTLY gave NITE and CDEL their own exchange: MEMX: in 2020 for this EXACT reason

The FINRA OTCM share volume discrepancies explained: NITE/VIRT is NOT reporting the vast amount of illegal naked shorting OTCM share volumes. Recall my correspondence to the grossly corrupt SEC when MEMX was announced: "Just between us criminals"

Once again, my allegations are irrefutably accurate. The SEC has AGAIN doubled down and taken the side of the criminal entity NITE. As a result: the SEC ACTIVELY facilitates multiple, ongoing frauds on the public to the benefit of the criminals who own them while screwing the whistleblower who caught them: ME.

Cheers!

Whistleblower extraordinaire

Christopher J Dilorio

From: Chris Dilorio <[REDACTED]>

Sent: Friday, May 28, 2021 8:58 AM



Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

SDNY/NY Supreme Court/NJ judges: My apologies. I think I typed too fast for many on this email. Let me state plainly what I allege: For that, I turn directly to UBS Sell Side Analyst Alex Kramm who had quite the exchange with Cifu on the 1Q 2021 earnings call earlier this month.

Mr Kramm: based on my analysis below, tell everyone WHY you think Cifu chose to be "Less transparent" with regards to 1Q 2021 share volumes?

I'll type slower this time:

1Q 2021 OTCM total reported share volumes: 4+ TRILLION

Cifu on the call(I have electronic version should you prefer)

"Yes Dan (Jefferies analyst Fannon), obviously, you look at the same metrics I do, just to give you a little commentary on them (without actually disclosing them), I mean April volumes were a hair under 10 billion shares per day....."

Mr Kramm: this is a knowingly, blatantly false and misleading statement. Accurately: a bald face lie. This is why Cifu won't disclose the actual share volumes.

Per below: in 1Q 2017: the last stand alone KCG quarter: OTCM share volumes were reported in SEC reviewed 10Q at 9+ billion shares/day. Back when OTCM TOTAL SHARE VOLUMES were reported in the 100-300 billion shares per month.

Yet, in 1Q 2021 when total reported OTCM share volumes were more than 1 TRILLION shares per month, hitting almost 2 TRILLION shares in Feb 2021, Cifu would have us believe NITE Equity market making share volumes were a "hair under 10 billion shares per day".

A blatant LIE. The SEC knows EXACTLY what the NITE equity share volumes were in 1Q2021. And it was a LOT MORE than "a hair under 10 billion shares/day". Driven of course by OTCM Money laundering shells.Trading profits: illegal naked shorting. Exploding balance sheet. Insolvent still/again.

Once again, the SEC facilitating/covering up a MASSIVE ongoing fraud on the public to the benefit of the criminals who own them while screwing the whistleblower who caught them: ME

Have a GREAT long weekend!
Christopher J Dilorio
Whistleblower Extraordinaire
[REDACTED]

From: Chris Dilorio <[REDACTED]>
Sent: Friday, May 28, 2021 7:25 AM

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Ms Pasquinelli,

There have been 3 (THREE) SEC actions CLEARLY based on my information that also CLEARLY qualify for OWB Award eligibility.

Sason/Keener/Salviola et al: NewLead

[Joshua Sason, et al. \(Release No. LR-24403; Feb. 15, 2019\) \(sec.gov\)](#)

[Joshua Sason, et al. \(Release No. LR-24403; Feb. 15, 2019\)](#)

SEC Files Charges in Elaborate Microcap Stock Fraud Litigation Release No. 24403 / February 15, 2019
Securities and Exchange Commission v. Joshua Sason, et al.

www.sec.gov

John Fife

[John M. Fife, Chicago Venture Partners, L.P., Iliad Research and Trading, St. George Investments LLC, Tonaquint, Inc., and Typenex Co-Investment, LLC \(Release No. LR-24886; Sep. 3, 2020\) \(sec.gov\)](#)

[John M. Fife, Chicago Venture Partners, L.P., Iliad Research and Trading, St. George Investments LLC, Tonaquint, Inc., and Typenex Co-Investment, LLC \(Release No. LR-24886; Sep. 3, 2020\) - SEC.gov](#)

The Securities and Exchange Commission today filed charges against John M. Fife of Chicago and companies he controls for acquiring and selling more than 21 billion shares of penny stock without registering as a securities dealer with the SEC.

www.sec.gov

Justin Keener/JMJ

[Justin W. Keener d/b/a JMJ Financial \(Release No. LR-24779; Mar. 24, 2020\) \(sec.gov\)](#)

[Justin W. Keener d/b/a JMJ Financial \(Release No. LR-24779; Mar. 24, 2020\) - SEC.gov | HOME](#)

SEC Charges Unregistered Penny Stock Dealer Litigation Release No. 24779 / March 24, 2020 Securities and Exchange Commission v. Justin W. Keener d/b/a JMJ Financial, No. 20-cv-21254 (S.D. Fla. March 24, 2020)

www.sec.gov

ALL: My information.

Yet NONE of these actions have been posted to the OWB Award Eligible website

[SEC.gov | Office of the Whistleblower](#)

[SEC.gov | Office of the Whistleblower](#)

NOTICE: Until further notice, any Whistleblower Award Applications submitted by mail should be sent to the following address due to the mandatory telework posture at the SEC's Washington, DC headquarters: 14420 Albemarle Point Place, Suite 102, Chantilly, VA 20151-1750.

www.sec.gov

SEC IG Hoecker: HOW IS THIS REMOTELY PLAUSIBLE??

There is only 1 explanation: SEC criminal obstruction and corruption.

Like the Dick Best/FINRA BBH complaint: also my information. No mention of executing broker dealers/MM's. OR as the SEC would like us to believe: "Penny stock trading fairies"

NO!

The SEC in ALL of these actions is protecting the criminal enterprise which has been bailed out on multiple occasions: Knight/KCG/VIRT:NITE

Automatically placing this criminal enterprise on the SEC "Do not investigate list".

As a result, the SEC has KNOWINGLY, ACTIVELY facilitated countless, ongoing frauds on the public it is mandated to protect. ALL of the illegal activity I have detailed is ongoing in May 2021. NITE is again/still insolvent. Cifu in the latest attempt to conceal this massive illegal activity has once again limited transparency for the investing public. The NITE Q1 earnings call: May 4, 2021

[Virtu Financial Inc \(VIRT\) Q1 2021 Earnings Call Transcript | The Motley Fool](#)



Virtu Financial Inc (VIRT) Q1 2021 Earnings Call Transcript | The Motley Fool

Virtu Financial Inc (NASDAQ:VIRT) Q1 2021 Earnings Call May 4, 2021, 8:30 a.m. ET. Contents: Prepared Remarks; Questions and Answers; Call Participants; Prepared Remarks: Operator. Good day, and ...

www.fool.com

Cifu: "April volumes were a hair under 10 billion shares per day....."

So, the last 10Q filed by KCG/Knight as a stand alone company was 1Q 2017. The VIRT acquisition closed on July 31, 2017. Cifu won't disclose and the SEC let him KCG 2Q2017 financials. BLATANT fraud. Cifu/ the SEC wrote down more than \$4 billion in fails.

[EDGAR Search Results \(sec.gov\)](#)

The 1Q2017 KCG 10Q

[Document \(sec.gov\)](#)

pg 49

Market Making stats. Cifu no longer discloses in SEC reviewed filings

Avg daily OTC BB and OTC Market shares traded (millions) 9,096

Avg daily NYSE AND NASDAQ shares traded (millions) 986

Per my consistent correspondence with the SEC: Knight/KCG:NITE derived 80-90%+ of their equity Market making share volumes from OTCM. This is why VIRT acquired KCG/Knight. This is and always has been the core business at NITE. This is what Cifu conceals from the investing public. In May 2021.

As I have also detailed over the last several years: FINRA share stats data is complete fraud. This ALSO continues in May 2021

[Market Statistics - Equity Trading Data Monthly \(finra.org\)](https://www.finra.org/market-statistics-equity-trading-data-monthly)

At the top of the page: "Last month statistics: April-2021 Share volume 44+BILLION shares"

Yet below that under April share volumes: TOTAL SHARES: 928+BILLION

The Knight/KCG/VIRT: NITE balance sheet in 1Q 2021 filed with the SEC in May 2021

The balance sheet is AGAIN exploding

[Inline XBRL Viewer \(sec.gov\)](https://www.sec.gov/inlineXBRLViewer.aspx)

NOT HFT related where holding time is seconds

Tangible book after properly classifying naked short fails: booked as an asset: receivable due to self clearing: insolvent. By a VERY wide margin.

ALL as a direct result of ONGOING SEC criminal obstruction and corruption.

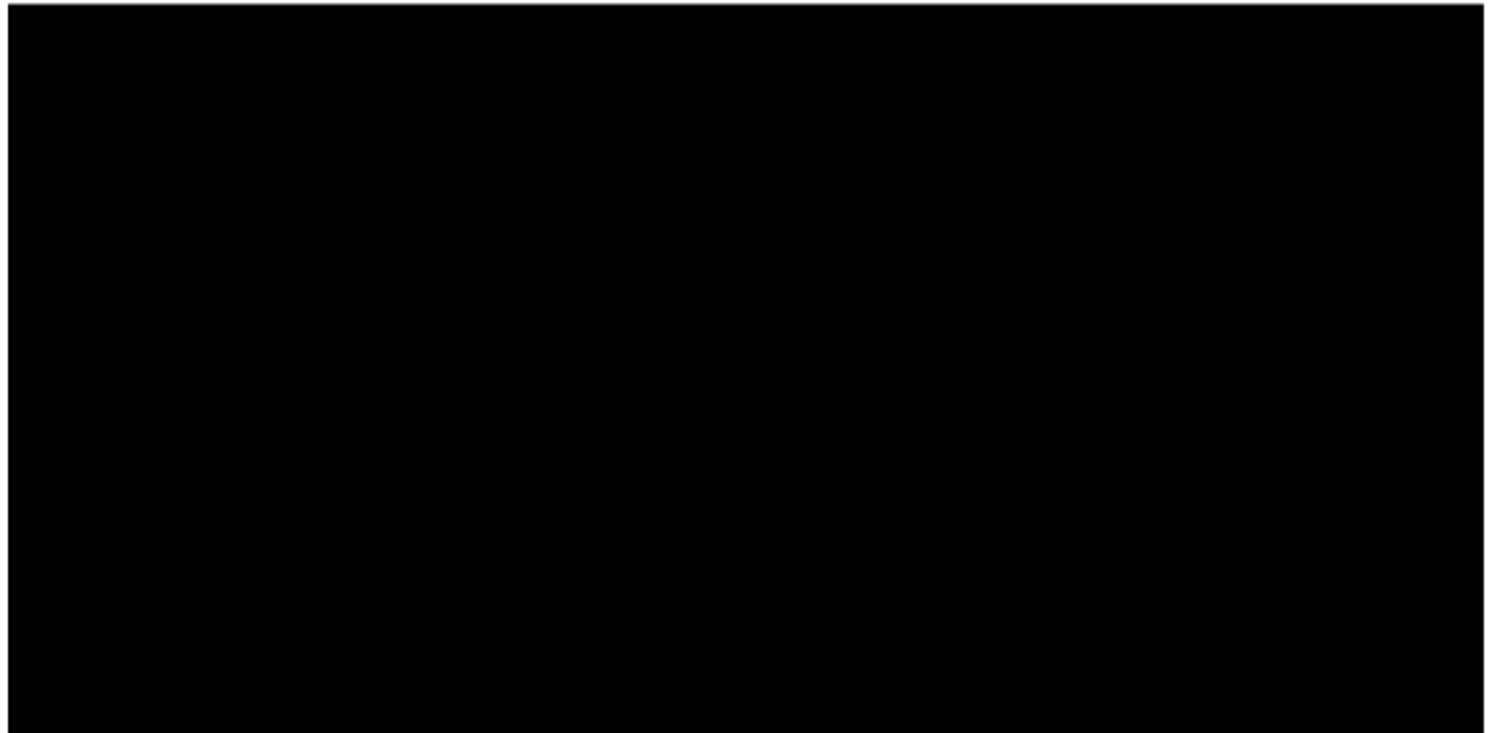
So, Ms Pasquinelli: who was the executing BD/MM converting all of these fraud notes into worthless certs and dumped on the investing public where they are converted to real money? WHY would ANY BD/MM execute these trades? HOW do OTCM money laundering shells trade to trip zeroes? More buyers than sellers? NOPE: illegal naked shorting to facilitate money laundering. That is why none of these actions have been posted to the OWB website. Even though they CLEARLY are eligible actions: My information.

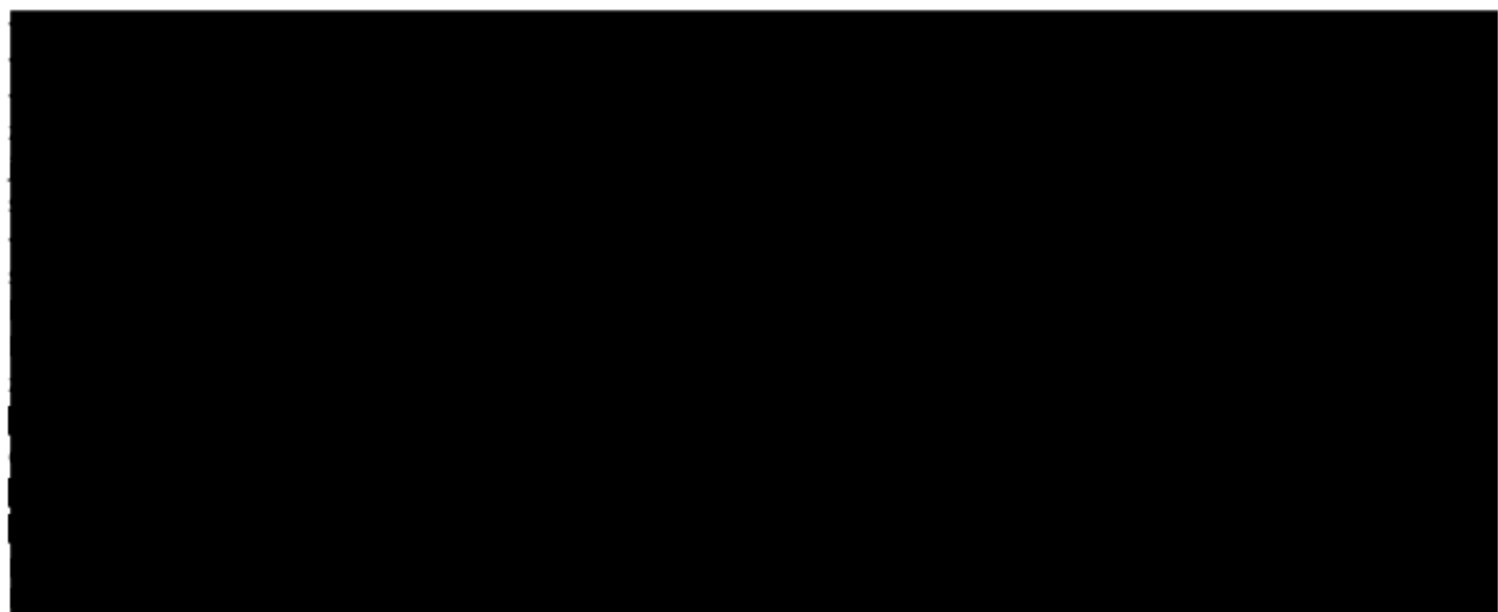
Cheers!

Chris

From: Chris Dilorio <[REDACTED]>

Sent: Thursday, May 27, 2021 5:49 AM





Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

More Honig/Stetson et al SEC facilitated ONGOING fraud on the public

David Urban: Trump PA Campaign Manager and NITE Not So Independent Board Member and his own money laundering shell: FSD Pharma: HUGE with Pakistani's

Had a BINDING LOI to acquire Israeli Therapix.

[FSD Pharma Responds to Therapix Termination of Binding LOI | Business Wire](#)

Not so binding. I caught them. Plan B

Therapix: An Israeli money laundering shell where Stetson was "investor"

[EDGAR Filing Documents for 0001493152-17-003810 \(sec.gov\)](#)

and never shut down by the SEC as is typical of many Honig money laundering shells

[EDGAR Search Results \(sec.gov\)](#)

Today, Therapix is now Sci Sparc Ltd
SEC approved offerings done By Aegis

[SEC FORM D](#)

Yes: that Aegis: also very much up and running in May 2021. New York: SDNY jurisdiction

We don't need no stinkin' SAR's. Aegis prolific OTCM/NASDAQ shell money launderer

[Aegis Capital Corporation \(sec.gov\)](#)

UNITED STATES OF AMERICA Before the SECURITIES AND EXCHANGE
COMMISSION ADMINISTRATIVE PROCEEDING File No. 3-18412 ORDER
INSTITUTING ADMINISTRATIVE PURSUANT TO SECTIONS 15(b) AND 21C

OF THE SECURITIES EXCHANGE ACT OF 1934 AND SECTION 203(e) OF THE INVESTMENT ADVISERS ACT OF 1940, - SEC.gov | HOME

3 As a result of the foregoing, Aegis willfully 2 violated Exchange Act Section 17(a) and Rule 17a-8 thereunder. RESPONDENT Aegis is a dually-registered investment adviser and broker-dealer with multiple branches

www.sec.gov

Well known to the SEC/FINRA: WHO were the customers?

Who were the executing BD/MM's? MORE SEC "penny stock trading fairies" of course. NOPE: NITE.

WHY are all entities once again UN Named?

[Robert_Eide.pdf \(finra.org\)](#)

FINANCIAL INDUSTRY REGULATORY AUTHORITY OFFICE OF HEARING OFFICERS - FINRA.org

FINANCIAL INDUSTRY REGULATORY AUTHORITY OFFICE OF HEARING OFFICERS DISCIPLINARY PROCEEDING NO. 2011026386002 HEARING OFFICER: MJD ORDER ACCEPTING OFFER OF SETTLEMENT August 3, 2015 INTRODUCTION Disciplinary Proceeding No. 2011026386002 was filed on October 21, 2014, by the

www.finra.org

[Orders Accepting Offers of Settlement - Aegis Capital Corp., Charles Smulevitz, Kevin McKenna \(finra.org\)](#)

Complainant, Hearing Officer Rochelle S. Hall Department of Enforcement, Disciplinary Proceeding ORDER ACCEPTING OFFER OF OFFICE OF HEARING OFFICERS INDUSTRY REGULATORY AUTHORITY FINANCIAL Aegis Capital Corp. SETTLEMENT Date: August 3, 2015 Respondents. INTRODUCTION - FINRA.org

another F11"4RA member and registered with FINRA, through the firm, in several capacities, including as a GSR and GSP. Under Article V of the FINRA By-Laws, FINRA possesses

www.finra.org

[Kevin McKenna and Robert Eide \(sec.gov\)](#)

Kevin McKenna and Robert Eide - SEC.gov | HOME

3 As a result of the foregoing, McKenna willfully 2 aided and abetted and caused Aegis' violations of Exchange Act Section 17(a) and Rule 17a-8 thereunder and Eide was a cause of Aegis' violations.

www.sec.gov

Stetson: Honig side kick. Therapix now SciSparc. Still Israel
Beginning on pg 10 of the SciSparc SEC approved and reviewed registration

https://www.sec.gov/Archives/edgar/data/1611746/000121390021022427/ea139707-f1_scisparcltd.htm#a_009

www.sec.gov

20 Raul Wallenberg Street, Tower A, Tel Aviv 6971916, Israel. Tel: (+972) (3) 610-3100 : Puglisi & Associates.
850 Library Ave., Suite 204. Newark, DE 19711

www.sec.gov

Sellers include:

Aegis CEO Robert Eide Pension Plan: NOW that is f'n funny

Hoboken restraunteur Rohit Bawa

[NYC Restaurateur Revamping Former Liberty Bar Site | Jersey Digs](#)



NYC Restaurateur Revamping Former Liberty Bar Site | Jersey Digs

The building itself was designed by Minervini Vandermark and will be four stories of concrete construction. The residential component will consist of three separate 3-bedroom, 2-bathroom units, each occupying one floor.

jerseydigs.com

Connecticut distributor Michael Bozzuto

[Contact | Bozzutos.com](#)

Contact | Bozzutos.com

Connect With One of Our Teams. We value your feedback. Let us know what's on your mind and how we can serve you better. Please select a department on the left to send a message directly to the team you would like to reach.

www.bozzutos.com

and, prolific Bag Man Michael Bigger

Bigger Capital

[EDGAR Search Results \(sec.gov\)](#)

AND many more

More on New York based Bigger Capital coming

Of course, Aegis has a BOOMING wealth Management business

How many related party transactions in this SEC reviewed Therapix F1?

https://www.sec.gov/Archives/edgar/data/1611746/000121390016017994/ff12016_therapixbio.htm#a_017

Next up: SciSparc

Aegis "Investment banking" has ties to Israeli military

Isaac Livni-EIDE: related?

[Investment Banking Team - Aegis Capital Corp. \(aegiscapcorp.com\)](https://www.aegiscapcorp.com)

Aegis just did an SEC approved offering for Meten EdtechX Education Group

China

[EDGAR Search Results \(sec.gov\)](https://www.sec.gov/Archives/edgar/data/1796514/000121390020018525/ea124386-f1_metenedtech.htm)

Brought to the US public/NASDAQ by the same Bag Man who brought Hwang/Archegos money laundering shell
GSX to the US/NASDAQ

Puglisi and Associates:Delaware

https://www.sec.gov/Archives/edgar/data/1796514/000121390020018525/ea124386-f1_metenedtech.htm

[Form F-1 \(sec.gov\)](https://www.sec.gov/Archives/edgar/data/1796514/000121390020018525/ea124386-f1_metenedtech.htm)

Some reports I've read suggest the SEC won't investigate Archegos/Hwang because it lacks "jurisdiction".

Perhaps Ms Hodgman/Strzok can clarify for us.

Recall: Honig,Stetson/Frost/Alpha Cap (my TCR). As I REPEATEDLY told the SEC: multi BILLIONAIRE Frost didn't
risk it all to make a few million. He/they were laundering

8 (EIGHT) YEARS after submitting my NITE/UBS TCR with the SEC, Alpha Capital Anstalt is very much up and
running in 2021

[EDGAR Search Results \(sec.gov\)](https://www.sec.gov/Archives/edgar/data/1796514/000121390020018525/ea124386-f1_metenedtech.htm)

For His part: Frost bought Ladenberg from Icahn/Lorber/ et al: Vector/New Valley AFTER Ladenberg had bought
Icahn's former firm Gruntal. Gruntal: SAC,Sater,Feinberg, Icahn: MILKEN

Archegos and Greensill: Credit Suisse.

Credit Suisse is controlled by Milken flunkies. Including the Risk Officer who quietly stepped down.

Greensill: Jim Justice: Magna/Sason/Saviola/Sichenzia: SDNY/NY Supreme Court

I suspect there will be no SEC investigation of Credit Suisse. Ms Hodgman Strzok is an expert at criminal
obstruction.

Pretty good, eh?

It's a gift really

Cheers!

Christopher J Dilorio

Whistleblower Extraordinaire

[REDACTED]

From: Chris Dilorio <[REDACTED]>

Sent: Monday, May 24, 2021 5:47 AM

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Judge Engelmayer:

Simply put: RIOT exists in SEC filings only. Multiple Honig money laundering shells: Aspenbio/Venaxis/Bioptix involving Russian Government entity: Rusnano

RIOT world HQ in Castle Rock is 15 minutes from my home. Apparently Mr Gottschall can't seem to find Castle Rock on a map. There is no RIOT at SEC filing address.

An ISP: Clear Connect and a Pakistani BPO entity: NASDAQ traded IBEX.

Who did Mr Gottschall deliver his "no further investigation" letter to exactly? It sure as hell wasn't RIOT.

BTW: as a result of said Gottschall letter/determination as result of his incredibly THOROUGH investigation, the SEC chose not to review a RIOT offering in December 2020

[Riot Blockchain, Inc. S-3 Letter.pdf \(sec.gov\)](#)

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549 DIVISION OF CORPORATION FINANCE -
SEC.gov

United States securities and exchange commission logo December 11, 2020 Jeffrey McGonegal Chief
Executive Officer Riot Blockchain, Inc. 202 6th Street, Suite 401

www.sec.gov

and resulted in Susquehanna/CVI pump and dump

[EDGAR Filing Documents for 0001104659-21-023563 \(sec.gov\)](#)

[EDGAR Filing Documents for 0001104659-21-023563](#)

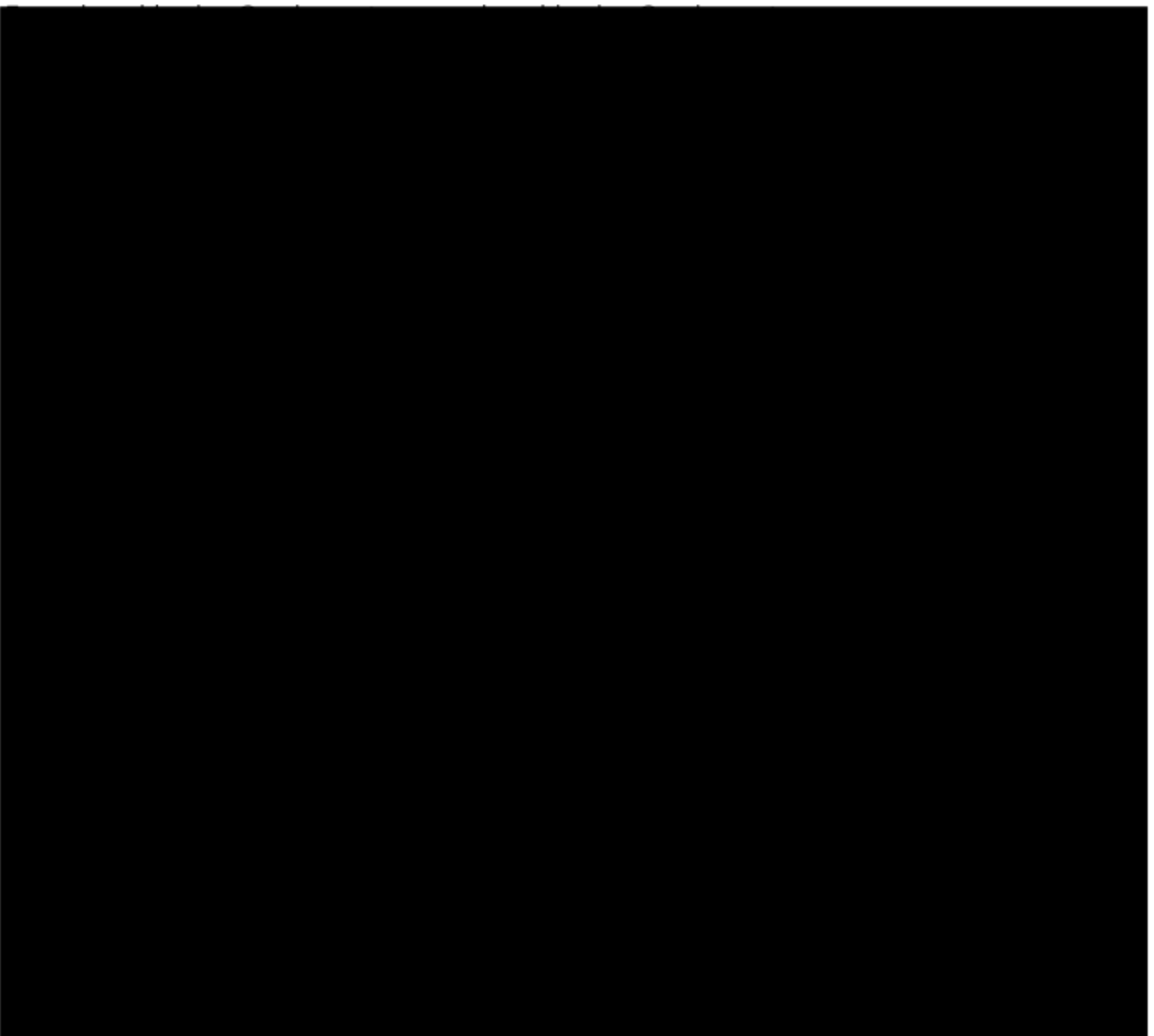
Riot Blockchain, Inc. (Subject) CIK: 0001167419 (see all company filings) IRS No.: 841553387 | State of Incorp.: NV | Fiscal Year End: 1231 Type: SC 13G | Act: 34 ...

www.sec.gov

Judge Engelmayer, other SDNY/NY Supreme Court Judges: I implore you to send me a subpoena
Cheers!
Chris

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, May 18, 2021 6:07 AM



< >; < >
Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Well well well. Mr Gottschall ended his "thorough investigation" into RIOT/Honig et al on 1/29/2020
[Riot Blockchain SEC Ends Investigation Letter 1.29.20 | U.S. Securities And Exchange Commission | Common Law \(scribd.com\)](#)



Riot Blockchain SEC Ends Investigation Letter 1.29.20 | U.S. Securities And Exchange Commission | Common Law | Free 30-day Trial | Scribd

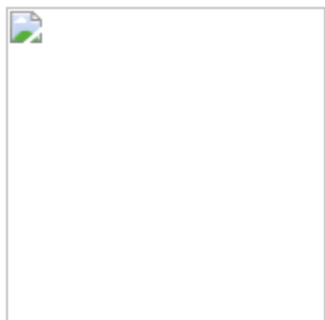
Riot Blockchain SEC Ends Investigation Letter 1.29.20 - Free download as PDF File (.pdf), Text File (.txt) or read online for free. Included a letter from the Denver office of the SEC telling Riot Blockchain that the investigation by the securities regulator is over and at this time no enforcement action is recommended.

www.scribd.com

without EVER visiting the RIOT world HQ in Castle Rock. SHOCKING!
Curious Mr Gottschall: who recieved/signed for your "termination of investigation" into RIOT: The ISP ClearConnect or the Pakistani BPO entity IBEX?
Judge Ramos, other SDNY judges, NY Supreme Court, and NJ Judge Quraishi: you have been played for fools once again by the grossly corrupt SEC. ALL of your courts have jurisdiction over the SEC NY.
Let's give NJ Judge Quraishi a primer on prolific Bag Man Barry Honig shall we?
As detailed by me in my extensive correspondence: the record.
ANOTHER Honig money laundering shell: Inergetics fka Millenium Biotech
[EDGAR Search Results \(sec.gov\)](#)

Based in Newark NJ
Is everyone familiar with Healthcare fraud felon Brian Colleran?

[Three Companies and Their Executives Pay \\$19.5 Million to Resolve False Claims Act Allegations Pertaining to Rehabilitation Therapy and Hospice Services | OPA | Department of Justice](#)



Three Companies and Their Executives Pay \$19.5 Million to Resolve False Claims Act Allegations Pertaining to Rehabilitation Therapy and Hospice Services | OPA | Department of Justice

Ohio based Foundations Health Solutions Inc. (FHS), Olympia Therapy Inc. (Olympia), and Tridia Hospice Care Inc. (Tridia), and their executives, Brian

Colleran (Colleran) and Daniel Parker (Parker), have agreed to pay approximately \$19.5 million to resolve allegations pertaining to the submission

www.justice.gov

Somehow, the DoJ didn't believe this was a criminal case. The "prosecutor" on the case was Chad Readler. Now: JUDGE Chad Readler. Made so by Trump.

Colleran entered into a fraud \$20 million purchase order with Millenium Biotech in 2007

[Millennium Biotechnologies, Inc. Signs Five Year \\$20,000,000 Purchase Agreement with Provider Services Inc. | BioSpace](#)

Millennium Biotechnologies, Inc. Signs Five Year \$20,000,000 Purchase Agreement with Provider Services Inc. - BioSpace

Millennium Biotechnologies, Inc. Signs Five Year \$20,000,000 Purchase Agreement with Provider Services Inc. - read this article along with other careers information, tips and advice on BioSpace

www.biospace.com

Colleran then became a large shareholder in Millenium

[EDGAR Filing Documents for 0001144204-08-023159 \(sec.gov\)](#)

Guess who controlled the money laundering shell Millenium/Inergetics?

Prolific Bag Man Barry Honig

[EDGAR Filing Documents for 0001144204-10-011488 \(sec.gov\)](#)

But, it gets better still: Somehow, some way Prolific Bag Man Josh Sason/Hanover/Magna: MULTIPLE TCR's filed by me and a massive SEC fraud on the SDNY and NY Supreme Courts: NewLead/FreeSeas et al: showed up as a very large holder of Millenium successor Inergetics

[EDGAR Filing Documents for 0001144204-15-034843 \(sec.gov\)](#)

https://www.sec.gov/Archives/edgar/data/72170/000114420414046310/v385056_s1.htm#s1_007

The SEC revoked the Inergetics/Millenium registration only AFTER this massive fraud on the public was committed

I can't seem to find any reference to this money laundering shell in the DoJ/Readler CIVIL not criminal complaint. You won't find any SEC complaint implicating Colleran/ Honig /Sason either

Millenium/Inergetics: New Jersey: SEC NY

OTHER Sason entities list offices at 40 Wall Street: Trump

So, Judge Ramos: HOW did prolific Bag Man Honig become involved in the Honig money laundering shell MGT Capital which ALSO did a "pivot" to crypto mining?

[EDGAR Search Results \(sec.gov\)](#)

Venaxis/Aspenbio/Bioptix: now RIOT. Which only exists in SEC filings. Thanks in large part to the well orchestrated SEC NY/ SEC Denver criminal obstruction/corruption.

[EDGAR Filing Documents for 0001493152-16-013083 \(sec.gov\)](#)

That was 1 thorough "investigation Mr Gottschall. I see great things at the SEC for you

AND guess who ELSE was involved in MGT in 2019 just before the SEC revoked the registration:

Chicago Bag Man Fife/Iliad

6 years after I filed my TCR with the grossly corrupt SEC

[EDGAR Filing Documents for 0001567619-19-008772 \(sec.gov\)](#)

AND the Scumbags at Sichenzia Ross: MULTIPLE frauds on SDNY/NY Supreme Courts with Sason et al

https://www.sec.gov/Archives/edgar/data/1001601/000114420415063432/v423506_s-1.htm

The interconnectedness of my claims on display yet again. OR: The record

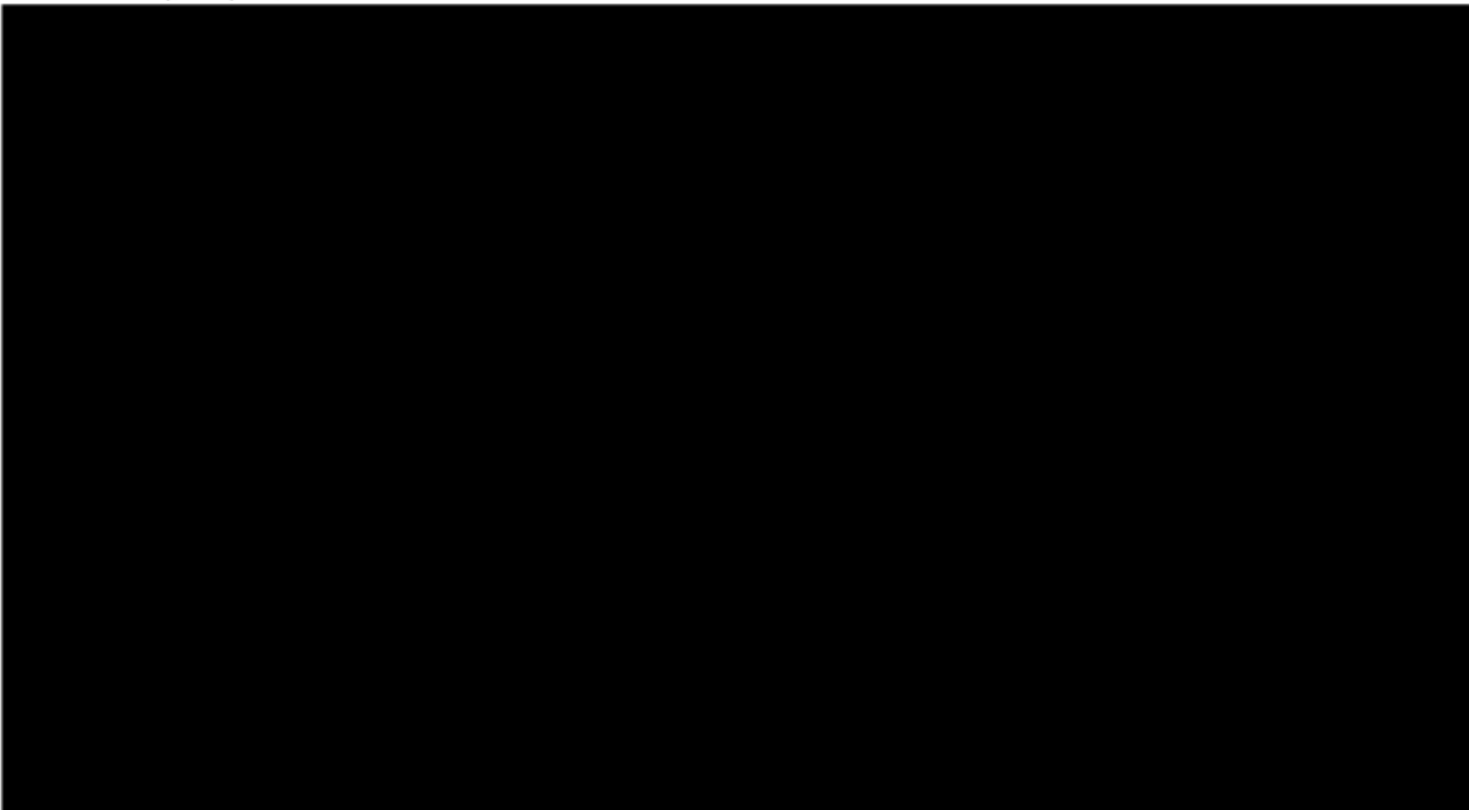
to be continued.....

Cheers!

Chris

From: Chris Dilorio <[REDACTED]>

Sent: Monday, May 17, 2021 5:28 AM



Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Oh,
But it gets MUCH better Mr Gottschall et al:
Ibex Digital:202 6th St suite 401
Bermuda based/Pakistani controlled Ibex Ltd
NASDAQ: IBEX
[EDGAR Search Results \(sec.gov\)](#)

60+% controlled by Pakistani entities: The Resource Group: TRGI
and TRG Pakistan Ltd: TRGP

BPO takes on a WHOLE different meaning.
Which explains the co location with Local ISP ClearConnect.
Riot Blockchain is just a front.
RIOT crypto mining contract with Massena NY Coinmint
[New York Crypto Mining Farm Coinmint Set to Dissolve? - MinerUpdate](#)



New York Crypto Mining Farm Coinmint Set to Dissolve? - MinerUpdate

An ongoing dispute between the two partners who hold equal shares in multi-cryptocurrency mining company Coinmint has resulted in one of the partners filing to dissolve the company.

www.minerupdate.com

is on verge of dissolution
RIOT/Aspenbio/Bioptix/Venaxis is and always has been a Prolific Bag Man Honig money laundering shell.
Because: say it with me: the only difference between a NASDAQ money laundering shell and an OTCM money laundering shell is the amount being laundered.

I've read that somewhere before. Hey, I'm the 1 who said it.
Give me a call Mr Gottschall. After I help you find Castle Rock on a map, I'll walk you through it. I'll type/talk slowly for you. Because, if you can't find Castle Rock on a map you don't have a chance in hell of finding

Pakistan on a map. And, after you're able to find Castle Rock on a map, I'll take you to Vista Gold :VGZ "world HQ" at 7961 Shaffer Parkway Suite 5 Littleton CO
The money laundering shell cited in my TCR and kept up and running by the grossly corrupt SEC for the last 8+ years and with SEC approved offering after offering.

Cheers!

Chris

From: Chris Dilorio <[REDACTED]>

Sent: Friday, May 14, 2021 6:34 AM



Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

In addition to NeoPhotonix and Bioptix

[Bioptix Diagnostics, Inc. - Portfolio company - RUSNANO Group](#)



BiOptix Diagnostics, Inc. - Portfolio company - RUSNANO Group

RUSNANO was founded in March 2011 as an open joint stock company through reorganization of state corporation Russian Corporation of Nanotechnologies. RUSNANO's mission is to develop the Russian nanotechnology industry through co-investment in nanotechnology projects with substantial economic

en.rusnano.com

Rusanano/Akhanov invested in Quantenna

Now On Semiconductor which supplies chips to Apple

[EDGAR Filing Documents for 0001628280-17-001249 \(sec.gov\)](#)

as well as chip company Aquantia

[EDGAR Filing Documents for 0001387131-18-000659 \(sec.gov\)](#)

Aquantia was acquired by giant chip company Marvell

[Company - Newsroom - Marvell Completes Acquisition of Aquantia - Marvell](#)



Company - Newsroom - Marvell Completes Acquisition of Aquantia - Marvell

Marvell Completes Acquisition of Aquantia Accelerating Multi-Gig Ethernet Technology Leadership. Santa Clara, California (September 19, 2019) – Marvell (NASDAQ: MRVL) today announced that it has completed its acquisition of Aquantia, Corp. (NYSE: AQ).. Aquantia pioneered Multi-Gig technology –

www.marvell.com

The SEC massive frauds on the SDNY and NY Supreme Courts continues

Sichenzia Ross: Sason/Crede/ Jim Justice et al NewLead and FreaSeas

As well as WNW and others.

Now RiotBlockchain.

So, Sichenzia facilitated a fraud "acquisition" of certain Futures Commission Broker now Introducing Broker trading platform from Mark B Fisher of "Miami"

https://www.sec.gov/Archives/edgar/data/1167419/000107997318000207/riot_8k-03272018.htm

SEC.gov | HOME

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General Instruction A.2. below):

www.sec.gov

Mark B Fisher has owned MBF Clearing
[MBF Clearing Corp.\(mbfcc.com\)](http://mbfcc.com)

MBF Clearing Corp.

Welcome to MBF Clearing Corp website About MBF Clearing Corp Founded in 1987, MBF Clearing Corp. is widely-recognized for our preeminent role within the global futures markets.

www.mbfcc.com

As well as MBF Capital
[mbf online | management \(mbfcapital.com\)](http://mbfcapital.com)

mbf online | management

Mark Fisher is the President of MBF Capital Corporation, Inc. He is a founder of Vela Pharmaceuticals, Inc., ExSAR Corporation, and Kimeragen, Inc., which merged into Valigen, Inc. Prior to the formation of MBF, Mr. Fisher was a Principal of Alex Brown where he was employed from 1990-1996.

www.mbfcapital.com

for quite some time. BOTH New York based.

Not even sure if there is a Miami Office for either Fisher entities. So WHY "Miami"?

Part of that question can be answered by ANYONE receiving my extensive and irrefutable evidence of SEC criminal obstruction and corruption:

Miami SEC Director Eric Bustilloe. A grossly corrupt Piece of Shit on par with Gottschall and Best. Did Fisher have outside investors in his firms based in Miami?

MBF /Fisher CLEARLY fall under SDNY/NY Supreme Courts jurisdiction. As does Sichenzia Ross

As I have said repeatedly: the national security implications of these massive, multiple SEC facilitated frauds are staggering.

Cheers!
Chris

From: Chris Dilorio <[REDACTED]>

Sent: Thursday, May 13, 2021 9:49 AM

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

"Mr Dilorio, do you have any MORE irrefutable evidence of SEC gross criminal obstruction and corruption while screwing you the whistleblower who caught them?"

Yes SDNY/NY Supreme Courts, SEC IG Hoecker, [REDACTED], FBI, IRS CI etc etc etc: It just so happens I took a field trip to try and find the longstanding address of the Castle Rock CO money laundering shell

Riot Blockchain fka Aspen Bio, Venaxis, Bioptix

[EDGAR Search Results \(sec.gov\)](#)

Enlightening! Kept up and running by the grossly corrupt SEC and pumped by Najarian(NetElement) on CNBC, Riot Blockchain is a Honig/Grousman/Stetson/GRQ et al money laundering shell which somehow escaped (along with many others) the SEC scrutiny in its Honig/Stetson/Frost/Jaclin/Alpha Cap et al complaint

https://www.sec.gov/Archives/edgar/data/1167419/000107997317000238/bioptix_s3.htm

But WAIT. There's MORE!

The Honig/Stetson Bioptix money laundering shell is ALSO a Colorado entity: Boulder

[EDGAR Search Results \(sec.gov\)](#)

Bioptix was just a vehicle to get Honig/Stetson et al into RIOT. Gee, I wonder what they saw in Bioptix that caused them to "invest" when it was around less than 2 years before "pivoting" to blockchain/crypto????

I have an idea!

let's ask the scumbags at Sichenzia Ross who advised on the Bioptix money laundering offering which gave Honig et al ownership in RIOT

<https://www.sec.gov/Archives/edgar/data/1167419/000107997317000154/ex10x5.htm>

SEC

WHEREAS, subject to the terms and conditions set forth in this Agreement and pursuant to Section 4(a)(2) of the Securities Act of 1933, as amended (the "Securities Act"), and Rule 506 promulgated thereunder, the Company desires to issue and sell to each Purchaser, and each Purchaser, severally and not jointly, desires to purchase from the Company, securities of the Company as more fully ...

www.sec.gov

Then, we can ask the Bioptix offering Escrow agent: New York licensed Signature Bank:SBNY. You know the 1: the once and always Private Banking arm of Hapoalim where Strauss/Berman criminally obstructed a thorough investigation of Hapoalim tax evasion and money laundering. The same SBNY which boasted Ivanka Trump as a Board member and was a "go to lender" for Trump/Kushner and where ALL SEC filings have disappeared. AND where Chairman Scott Shay is on BoD of CardWorks (Berman) which was go to processor for Net Element: Merrick Bank UT. Etc etc etc. YES, that SBNY

<https://www.sec.gov/Archives/edgar/data/1167419/000107997317000154/ex10x3.htm>

SEC.gov | HOME

WHEREAS, pursuant to the terms of the Purchase Agreement the Company desires to sell (the "Offering") a minimum of \$2,000,000 (the "Minimum Amount") and a maximum of \$2,250,000 (the "Maximum Amount") of units of its securities (the "Units"). Each Unit is being sold at a price of \$2.50 per Unit. Each Unit consists of one (1) share of the Company's common stock, no par value per share (the ...

www.sec.gov

How much SEC et al criminal obstruction and corruption are we up to so far Mr Gottschall et al?

Wait, there's more!

In 2015, just prior to Honig/Stetson/SBNY/Sichenzia et al fraud offering, Boulder Based Bioptix FKA Alphasniffer did an SEC approved D offering

[SEC FORM D/A](#)

SEC FORM D/A

In submitting this notice, each issuer named above is: Notifying the SEC and/or each State in which this notice is filed of the offering of securities described and undertaking to furnish them, upon written request, in the accordance with applicable law, the information furnished to offerees.*

www.sec.gov

Guess who shows up as A Bioptix/Alphasniffer insider?

Dimitry Akhanov

WTAF is Rusnano USA????? AND head of the Russian Federal Energy Agency????

WHY is he involved in Bioptix now RIOT???

[Dimitry Akhanov, CEO of Rusnano USA, Inc., RUSNANO \(topionetworks.com\)](http://www.topionetworks.com)

Dimitry Akhanov, CEO of Rusnano USA, Inc., RUSNANO

Curated profile of Dimitry Akhanov, CEO of Rusnano USA, Inc., RUSNANO

www.topionetworks.com

Akhanov is also involved in NYSE listed Neophotonics

[NeoPhotonics Names Dimitry Akhanov to Board of Directors President and CEO of Rusnano USA Joins NeoPhotonics Board | NeoPhotonics Corporation](#)

[EDGAR Search Results \(sec.gov\)](#)

Neophotonics supplies optical chips to some of the biggest optical switching companies in the world like US based Cisco and Ciena

Recall: Honig/Stetson/Frost/Alpha Cap

Alpha Cap: my 2013 TCR

Honig/Stetson: Jaclin: Farkas: BLNK. Also CFO New: NETE: Crede/SBNY/CardWorks/ESQ etc

Honig also Trump fundraiser: Cleveland: Colleran. DoJ "prosecutor" on Colleran massive healthcare fraud: Chad Readler. Trump made Readler a Federal judge.

SEC left dozens of Jaclin money laundering shells up and running. Including Blink/New Image Concepts, Intercloud with Sason etc. As well as OZ/Maso/Sculptor NJ deli Hometown International: HWIN. NONE of this is by accident. SEC gross criminal obstruction and corruption.

Now Honig/Stetson: Bioptix now crypto RIOT.

Right here. 15 minutes from my home. Like CGFIA and VGZ. As well as prolific shell CPA firm BF Borgers.

Give me a call Mr Gottschall. I'll point out Castle Rock to you on a map you grossly corrupt piece of shit!

Cheers!

Chris

From: Chris Dilorio <[REDACTED]>

Sent: Sunday, May 9, 2021 5:06 PM

[REDACTED]

[REDACTED] <[REDACTED]>;

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Per below:

Judge Cote's sentencing of Dan Kamensky is a gross miscarriage of justice. The SDNY, NY Supreme Court, [REDACTED], Mr Kamensky's counsel, FBI, other DoJ attorneys are in possession of information which clearly indicates a long standing and grossly corrupt relationship between the SEC and Handler/Jefferies. Further, as is material in the "ongoing" Joshua Sason investigations of massive fraud committed on the SDNY/NY Supreme Courts and directly related to my multiple claims: AQR and Sason: MI Acquisition with known felon Tom Priore: ICP: also SDNY and now a direct lending client of Ares Management: Ressler: Drexel with Handler: also Neiman Marcus. In short: Handler/Ressler set up Mr Kamensky for fucking with their deal. Had Kamensky won his bid, Ares/Ressler would have been left with a much less valuable asset. AND put them further under water.

[AresNeiman.pdf \(pecloserlook.org\)](https://pecloserlook.org/AresNeiman.pdf)

Sticker Shock: Can Ares Management Sell Neiman Marcus?

2 Ares' Neiman Marcus Gamble In September 2013, Ares Management purchased luxury retailer Neiman Marcus in a joint venture of Ares Corporate Opportunities Funds III and IV and the Canadian Pension Plan Investment

www.pecloserlook.org

The SDNY Courts had this information. Kamensky's counsel had this information. Judge Cote should have declared a mistrial rather than sentence Kamensky. A gross miscarriage of justice.

Now, let's turn to another example where the grossly corrupt SEC is ACTIVELY facilitating multiple frauds on the investing public while screwing the whistleblower who caught them: ME.

Recall ANOTHER completely fraudulent denial of award : UBS AML. Where Norberg/OWB invoked the ILLEGALLY enacted Summary Disposition Rule aka Christopher J Dilorio rule. Where the SEC own SEC website clearly states: ALL tips received are THOROUGHLY reviewed by Enforcement Staff. Meaning: The Summary Disposition Rule: SEC Staff never saw the information: is a KNOWN fraud.

Follow up for Mr Searles/Banerjee et al: SEC LA where multiple frauds left up and running. Ares also LA and NY. Milken: Beverly Hills

Recall: UBS San Diego: K2. Where FINRA, FINCEN, and the SEC all confirmed UBS cross border business was never shut down per the terms of the DoJ dropping it's DPA in 2010. Further, clearly obstructed by SEC IG Hoecker when I filed a complaint with his office in 2015 after receiving another denial for Award related to the UBS Reg Sho complaint. ALSO according to the SEC OWB FAQ: Enforcement staff notifies investigating staff of related tips received AND Whistleblowers are ALSO entitled to awards based on new lines of inquiry. The Mckessy/Norberg/Hoecker criminal obstruction led to the UBS cross border business never being shut down. The UBS AML complaint acknowledges this irrefutable fact.

UBS K2: NO individuals were censured/fined by SEC/FINRA. ALL correspondence to UBS Weehawken. SEC LA:Searles/Banerjee et al had ZERO jurisdiction.

Searles: Anton Chia and related fraud and money laundering. As I have also irrefutably proven: MULTIPLE frauds Up and running today.

It is no coincidence the SEC LA/ UBS San Diego multiple money laundering frauds. Searles et al are PROTECTING UBS San Diego. That's why none of these frauds have been shut down. The UBS cross border business is very much up and running TODAY

MORE....

Who is San Diego resident Jason Sunstein? CFO of several Once/still SEC reporting money laundering shells trading OTCM Pinks and no doubt well known to Searles,Banerjee et al in SEC LA.

Viper Networks fka

Tinglefoot Mining

Baja Pacific International

Taig Ventures

[EDGAR Search Results \(sec.gov\)](#)

[Microsoft Word - VPER - OTC PinkGuidelines Annual 12.31.20\(Feb21 vers\)v.3_nowcfo changes - Apollo Smart Lights-3.docx \(otcmkt.com\)](#)

VPER - OTC PinkGuidelines Annual 12.31.20(Feb21 vers)v.3 nowcfo changes
- Apollo Smart Lights-3

27& 0dunhwv *urxs ,qf 27& 3lqn %dvlf 'lvforvxuh *xlgholqhv y)heuxdu\ 3djh ri ,i wklv lvvxhu ru dq\ ri lwv
suhghfhvruv kdyh ehq wkh vxemhfw ri vxfk surfhghglqv sohduh surylgh dgglwlrqdo ghwdlov lq wkh

Santeon Group

fka Air-Q

Air Rover

Covenant Financial

Homegate Corp

Spartan Oil

ubroadcast

[EDGAR Search Results \(sec.gov\)](#)

Santeon and Viper: African/Egyptian entities/Individuals

Santeon CEO : Ashraf Rofail

International Land Alliance

[EDGAR Search Results \(sec.gov\)](#)

A San Diego virtual office well known to the SEC in its correspondence

[Virtual Office in DiamondView Tower | Regus RU](#)

Virtual Office in DiamondView Tower | Regus RU

Renting a Virtual Office in DiamondView Tower is affordable and easy. Choose a virtual office option and pay one simple price. Get a quote today.

www.regus.ru

[filename1.pdf \(sec.gov\)](#)

[filename1.pdf \(sec.gov\)](#)

International Land Alliance

[EDGAR Search Results \(sec.gov\)](#)

A little California pot

a little "Mexico vacation properties"

[Mexico Vacation Property Investment | Baja Mexico Real Estate Investment | International Land Alliance \(ila.company\)](#)



Mexico Vacation Property Investment | Baja Mexico Real Estate Investment - Baja Mexico Real Estate Investment | International Land Alliance

International Land Alliance is a Mexico vacation property investment firm based in San Diego, California. The company was formed for the purpose of developing and selling residential communities for home buyers, vacation/second home, retirement, and investors.

ila.company

As of 2017, ILA is a Wyoming LLC

[SEC FORM D](#)

SEC FORM D

In submitting this notice, each issuer named above is: Notifying the SEC and/or each State in which this notice is filed of the offering of securities described and undertaking to furnish them, upon written request, in the accordance with applicable law, the information furnished to offerees.*

www.sec.gov

Of course: as has been well documented by ME: ILA currency of choice for these "beautiful Mexico land ventures" is common stock.

In April 2021

[International Land Alliance Inc. \(Form: 8-K, Received: 04/05/2021 14:00:05\) \(otcm Markets.com\)](#)

OMID Holdings

fka New York Based Av1 Group

[content \(otcm Markets.com\)](#)

Disclosure Statement Pursuant to the Pink Basic Disclosure Guidelines - OTC Markets Group

OTC Markets Group Inc. OTC Pink Basic Disclosure Guidelines (v2.1 December 2019) Page 1 of 23 .
Disclosure Statement Pursuant to the Pink Basic Disclosure Guidelines

backend.otcm Markets.com

Back in 2010, AV1 Group New York was controlled by a Moussa Traore

[SEC FORM D](#)

Who happens to have the same name as former Mali Dictator.

Of Course, Jason Sunstein ONLY experience on Linked In is his ILA tenure. ALL of these other ventures have been omitted. Gee, I wonder why.

[Jason Sunstein - Co-Founder and Vice President - International Land Alliance, Inc. \(OTCQB: ILAL\) | LinkedIn](#)



Jason Sunstein - Co-Founder and Vice President -
International Land Alliance, Inc. (OTCQB: ILAL) |
[LinkedIn](#)

Jason Sunstein Co-Founder and Vice President at International Land Alliance,
Inc. San Diego, California 500+ connections

www.linkedin.com

Mr Searles, Banerjee, SEC LA have been criminally obstructing a REAL investigation into Sunstein et al. Right there in San Diego/UBS K2 back yard. So: No individual UBS San Diego K2 complaints, multiple money laundering shells up and running.

For MANY reasons IG Hoecker: ALL SEC OWB Denials of my award applications are complete fraud. ALL of the activity continues TODAY as a direct result of your criminal obstruction and corruption.

AND: NITE and CDEL trading all of them.

In furtherance of the conspiracy.....

Cheers!

Chris

From: Chris Dilorio <[REDACTED]>

Sent: Friday, May 7, 2021 4:01 PM

[REDACTED]

[REDACTED] <[REDACTED]>

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Judge Cote,

Your 6 month prison sentence for Dan Kamensky is a gross miscarriage of justice. Your Courts, Ms Strauss, and Mr Kamensky's counsel are in possession of information that clearly indicates a long standing and corrupt relationship between the SEC and Handler/Jefferies. Kamensky was set up. I will be contacting Mr Kamensky directly as his counsel has committed gross negligence in his representation.

Chris

From: Chris Dilorio <[REDACTED]>

Sent: Friday, May 7, 2021 6:28 AM

[REDACTED]

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

SDNY/NY Supreme Court Judges et al:

The interconnectedness of my claims on display AGAIN

Per my 2013 TCR criminally obstructed by McKessy/Norberg et al: WHY do \$50 billion Swiss banks trade OTCM Pink penny and fractional penny stocks? The record is irrefutable: FINRA/SEC/FINCEN using my information: these publicly traded shells are the perfect money laundering vehicle. Absolutely IRREFUTABLE. WHY do firms like NITE and CDEL trade the same OTCM Pink shells? Abusive, illegal naked shorting to facilitate this illegal activity. Virtually riskless. VERY profitable. NONE of this happens without a willing executing criminal BD like NITE converting worthless certs to real money and dumped on the investing public the SEC is MANDATED to protect. ACTIVELY facilitated and perpetuated by the grossly corrupt SEC: reverse splits, no CAT, Obligation Warehouse: circumvent close outs of Rule 204, rarely revoked registrations, outsourcing the entire OTCM to the BD SRO FINRA, etc etc etc. I made the link between the money laundering and the illegal, abusive naked shorting. This is and always has been the core business at Knight/KCG/VIRT:NITE. ALL money laundering can be reverse engineered from the executing BD/MM level. The cash register.

What we are seeing in GME is a rounding error compared to the fails and illegal naked shorting in the OTCM.

As I have also repeatedly said: the only difference between a money laundering OTCM Pink shell and a NASDAQ SPAC is the amount of money being laundered. Also on display real time as I have detailed. As with Swiss banks and penny/fractional penny stocks: WHY do giant Quant Hedge Funds like AQR facilitate so many fraud blank check shell transactions? CERTAINLY does not fit the investment thesis of a firm run by Phd's.

WHY does giant PE/Real Estate firm Apollo play Fisker SPAC? WHY did Goldman,JPM,Jefferies et al bail out NITE more than once? WHY has the SEC repeatedly bailed out criminal NITE?

The most recent Earnings call for NITE was remarkable: SELL SIDE is actually doing what it's supposed to do and questioning NITE/Cifu lack of transparency particularly in the last few years. This has been going on for some time detailed by me and blessed by the SEC. This lack of transparency is designed to conceal from the public the true nature of the core NITE business: illegal, abusive naked shorting OTCM publicly traded shells to facilitate money laundering. Until now, the Sell Side turned a blind eye/ also intentionally misled the public by omitting these share volumes from their models. These share volumes have been the subject of other SEC/FINRA actions. But, somehow NITE has avoided such actions. INEXPLICABLE. The SEC/FINRA have done everything in their power to protect NITE. WHY? Because they bailed out a known criminal entity in 2012 and have been criminally and corruptly covering up this irrefutable fact ever since. As a result: The illegal activity has continued unabated. Then in 1Q2021, the activity hit a level not even dreamt of. It has been a well orchestrated and massive SEC facilitated fraud on the public the SEC is mandated to protect. A key player in this massive fraud is the corrupt SEC IG Carl Hoecker who not only has criminally and corruptly obstructed an investigation of my extremely serious allegations, Hoecker has also criminally obstructed Congress from executing its oversight of the SEC.

These corrupt, criminal, ongoing frauds have also found their way into the SDNY and NY Supreme Courts as I have detailed. Mr Kamensky is most definitely NOT on the SEC/DoJ "Do not investigate list". This can also be observed in real time. Per my correspondence: MI Acquisition: Magna/Sason: 40 Wall St with AQR/"payment processing" and felon Tommy Priore: ICP:SDNY.

There is a straight and direct line between ICP/Priore and the Degenerate Milken flunkie Handler/Jefferies. Where ██████████ Praised the work of the SEC. As I have previously detailed: Ares Management: Neiman Marcus: Tony Ressler: Milken/ Drexel degenerate flunkie has built quite the monstrosity. A little PE. A little Real estate. But the 800lb gorilla at Ares: Credit. Ressler's sister is married to Fat Leon Black. Close knit bunch for sure. Ares:

[EDGAR Search Results \(sec.gov\)](#)

Massive CLO manager/originator. 1 stop shop. Because as I detailed previously: now a direct lender to fraud money laundering entities like Priore/Sason/AQR et al: PRTH.

Because securitization drives the lending and is not a byproduct of sound credit analysis: Junk is junk REAL TIME.

I applaud Chair Waters and her efforts to reign in illegal trading practices detailed in my extensive record. However: non bank lenders like the massive Ares pose a systemic risk to the US financial system. CLO's are a massive fraud on the public developed by the Milken degenerates like the sub prime and S&L's. The SEC actually brought a complaint recently: IIG which described using CLO's as a money laundering vehicle. The Caymans have recently cracked down also. Greensill: Credit Suisse: Milken: is another example of securitization as money laundering vehicle in sub prime factoring: Jim Justice. SBNY is also a securitization fraud: SBA.

Chair Waters and her Committees see the Credit Ratings Agency/SEC fraud I have also detailed.

My Coronavirus/repo virus: CLO correspondence: The SEC corruptly didn't downgrade massive CLO debt in 2020. The result: issuance exploded in 2021. Non bank lenders like Ares as well as Apollo,Jefferies, Ted Virtue etc etc have reaped tens of millions in management fees. Who told the SEC to obstruct the proper role of the

Credit Agencies to downgrade massive CLO's in 2020? Mr Clements knows. His garbage CLO "report" late in 2020 set the stage for the "all clear" to the SEC.

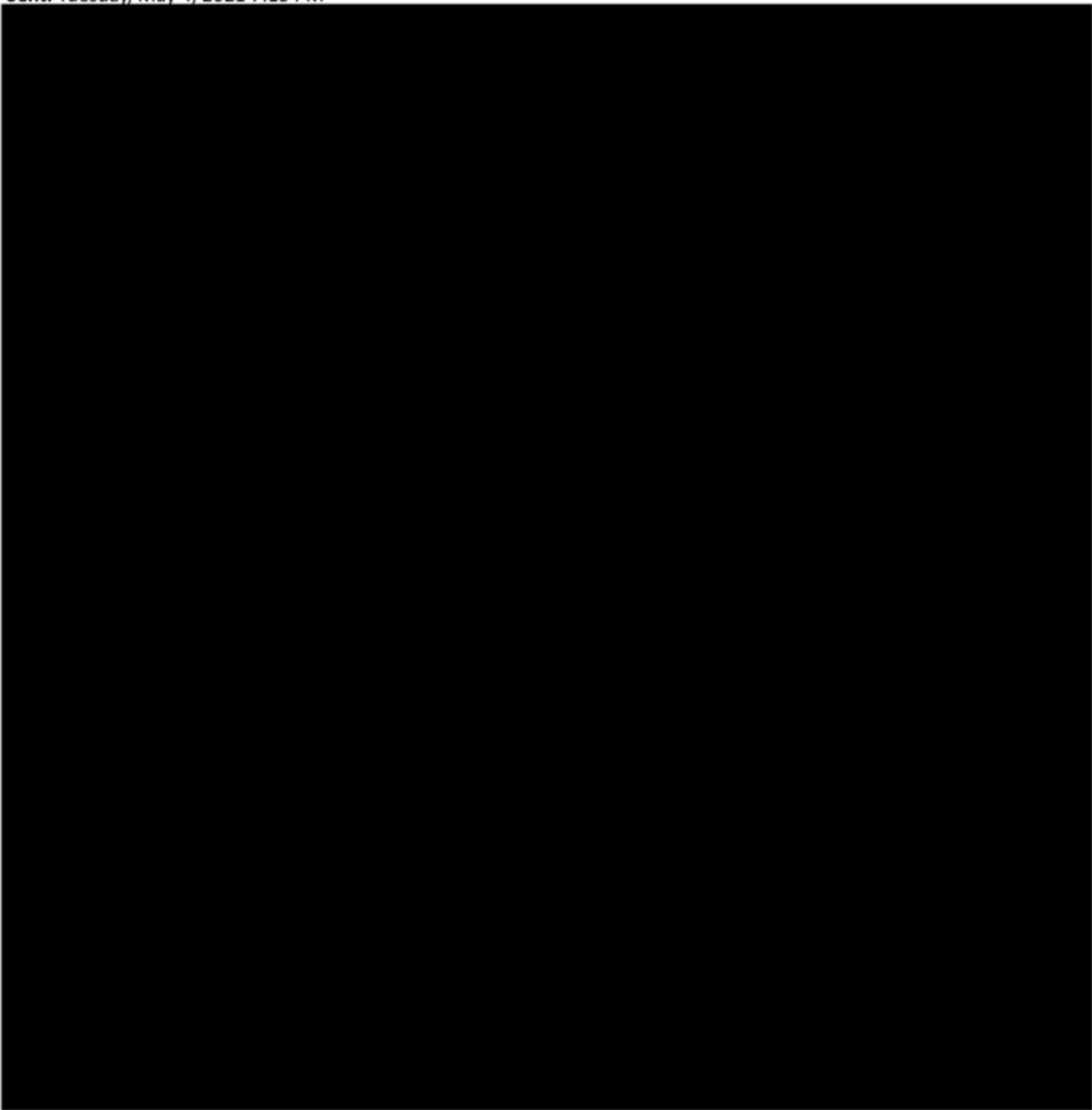
Oh Mr Kamensky! I only hope you sue these corrupt scumbags who ruined your life while they are treated with ZERO implications for their illegal activity by the grossly corrupt SEC/DoJ.

Cheers!

Chris

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, May 4, 2021 7:15 PM



Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Mr "Not so Transparent" Dougie Cifu got a little testy on the 1Q2021 earnings call and it abruptly ended. 2 Sell Side Analysts: Fannon/Jefferies and Kramm/UBS pressed @dougielarge on his lack of transparency. What is Dougie Cifu hiding? Something about "what percentage of those 4+ trillion shares of OTCM money laundering shells did NITE trade?" made Dougie squirm like the snake most already know he is. Love the parting shot to Kramm/UBS: "your firm would love to have our business"

[Virtu Financial Inc \(VIRT\) Q1 2021 Earnings Call Transcript | The Motley Fool](#)



Virtu Financial Inc (VIRT) Q1 2021 Earnings Call Transcript | The Motley Fool

Virtu Financial Inc (NASDAQ:VIRT) Q1 2021 Earnings Call May 4, 2021, 8:30 a.m. ET. Contents: Prepared Remarks; Questions and Answers; Call Participants; Prepared Remarks: Operator. Good day, and ...

www.fool.com

I fell off my chair laughing.
Still no questions on the ballooning/insolvent balance sheet. But, hey it's a start.
Ms Mehraban, Mr Williams: your former Paul Weiss colleague Dougie Cifu is feeling some heat. I know you will be gentle with him
Mr Gensler: in case you missed it: Dougie sends his best

Cheers!
Chris

From: Chris Dilorio <[REDACTED]>
Sent: Monday, May 3, 2021 2:03 PM

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

SDNY/NY Supreme Court Judges.

I once challenge the best and brightest the SEC/DoJ/FBI/IRS CI/FINCEN have to offer. Tear me to shreds. Make an example. I haven't been wrong about 1 single thing. NOT EVEN 1.

The record is simply irrefutable:

The latest edition of "The SEC is a grossly corrupt, criminal organization actively facilitating multiple, massive, ongoing frauds on the public it is mandated to protect to the benefit of the criminals who own them while screwing the whistleblower who caught them: ME"

I refer you to the SEC Office of the Whistleblower FAQ

Of course, I have multiple forms copied should you prefer

[SEC.gov | Office of the Whistleblower](#)

[SEC.gov | Office of the Whistleblower](#)

3. What information can I submit to the SEC? The SEC conducts investigations into possible violations of the federal securities laws. In general, the more specific, credible, and timely a whistleblower tip, the more likely it is that the tip will be forwarded to investigative staff for further follow-up or investigation.

AGAIN AGAIN AGAIN IG Hoecker et al: the "summary disposition" aka Christopher J Dilorio rule corruptly enacted by Norberg/Clayton et al was/is COMPLETE FRAUD

per FAQ #12 from the grossly corrupt SEC/OWB website:

"ALL TIPS, complaints, and referrals received by the SEC are FULLY REVIEWED BY OUR ENFORCEMENT STAFF....."

FURTHER

"Complaints that relate to an EXISTING INVESTIGATION are FORWARDED TO the STAFF WORKING ON THE MATTER."

New line of inquiry.

I don't see how it could be ANY MORE CLEAR IG Hoecker et al.

In addition to annual reports to Congress ACKNOWLEDGING the OWB as the primary contact for whistleblowers to the Commission at large, this is damning. The summary disposition rule aka Christopher J Dilorio Rule: "SEC staff never saw Mr Dilorio's information" is complete and total FRAUD. Designed to use my information to both bring and obstruct thorough investigations while screwing me out of rightful compensation.

IG Hoecker, I'm still looking forward to our first interview given the 3 (THREE) complaints I have filed with your office. The UBS Reg SHO Denial was complete fraud. The UBS FINRA/FINCEN, SEC AML Denial was complete fraud. The Opco Denial was complete fraud. ALL must be reversed. The Summary Disposition Rule/aka Christopher J Dilorio rule must be nullified RETROACTIVE to its passage as it is clearly contrary to the SEC Rules ITSELF.

I look forward to speaking with you Carl

[REDACTED]

Cheers!

Chris

From: Chris Dilorio <[REDACTED]>

Sent: Thursday, April 22, 2021 5:57 AM

To: [REDACTED]

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

so sorry for incorrect e mail

From: Chris Dilorio <[REDACTED]>

Sent: Thursday, April 22, 2021 5:44 AM

[REDACTED]

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Judge Buchwald,

I hope your colleagues in the SDNY and NY Supreme Court have forwarded my information. Like your colleagues, you are the victim of another SEC fraud on the SDNY court. I am an irrefutable expert on SEC criminal obstruction and corruption. Jay Clayton was NEVER "shocked" by the widespread fraud in the OTCM and crypto markets.

[Widespread Fraud in ICOs and Penny Stocks Shocked SEC's Jay Clayton - Bloomberg](#)



Widespread Fraud in ICOs and Penny Stocks Shocked SEC's Jay Clayton - Bloomberg

The former Wall Street deals lawyer who leads the U.S. Securities and Exchange Commission said one of the biggest surprises of his first year heading the agency has been learning about the levels ...

www.bloomberg.com

Clayton's firm Sullivan Cromwell/Jared Fishman/Rodgin Cohen et al are EXPERTS on penny stock fraud having bailed out the criminal enterprise Knight/KCG/VIRT:NITE on more than 1 occasion. OTCM shells and crypto are complimentary money laundering vehicles.

Clayton and the SEC have obstructed a thorough investigation of my very serious allegations for years. Including the 2017 merger of Virtu and KCG: NITE. As a direct result multiple, massive SEC facilitated frauds on the public the SEC is mandated to protect are very much ongoing. In 1Q 2021, more than 4 TRILION shares of OTCM money laundering shells were traded. Money laundering shells like SEC reporting HWIN and hundreds just like it. Bitcoin continues to be mined in China, Russia, and Belarus. Bitcoin claims to have a limited supply. But, can that actually be verified? On his way out the door, Clayton bought the Ripple action. As you have stated: extremely flawed SEC argument that Ripple IS a security but somehow Bitcoin ISN'T.

In fact: either ALL crypto are securities OR NONE are. The IRS for its part treats cryptos as a capital asset. Subject to capital gains and losses for tax purposes. As your colleagues can attest, the interconnectedness of my information is irrefutable. Several entities including Signature Bank/Greenbox are just 1 example of my "Derivative" information.

Seems to me that Clayton, Hinman, crypto pumper Peirce ALL had KNOWN settled precedent to regulate Bitcoin and ALL crypto as securities: SEC V SG Ltd. Where appeals Court got it right and where Howey was applied:

[Securities & Exchange Commission v. SG Ltd., 265 F.3d 42 | Casetext Search + Citator](#)

[Securities & Exchange Commission v. SG Ltd., 265 F.3d 42 | Casetext Search + Citator](#)

Read Securities & Exchange Commission v. SG Ltd., 265 F.3d 42, see flags on bad law, and search Casetext's comprehensive legal database

casetext.com

The inconsistency in the SEC approach to regulating ALL crypto as securities has caused great confusion in the marketplace and has opened the door wide to fraud.

This is just another example of SEC corruption.

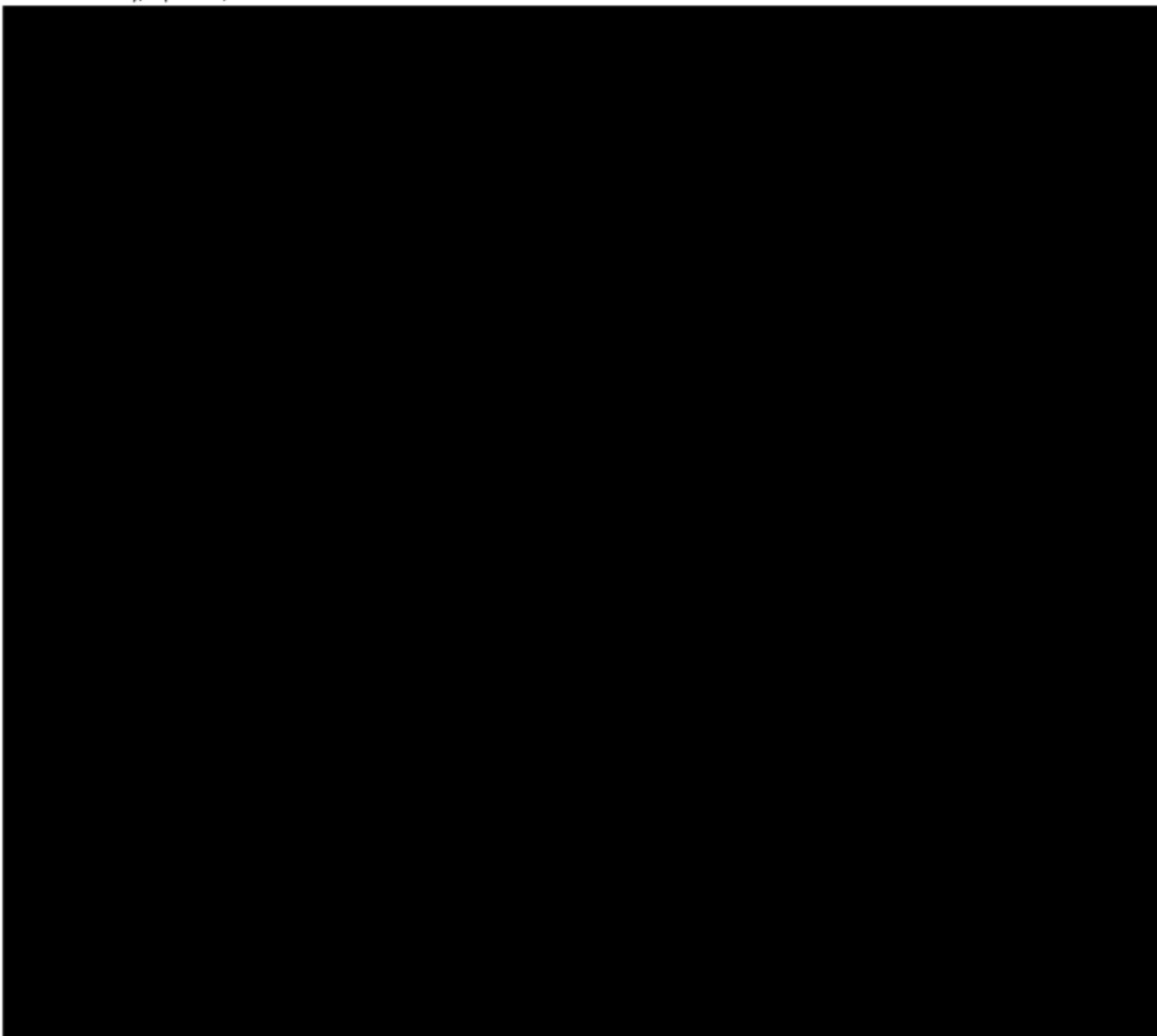
Now, the SEC corruption has reached your Courtroom as well

Cheers!

Christopher J Dilorio

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, April 20, 2021 11:39 AM



Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Several typos omissions corrected below

Judge Ramos: SEC 1 Off's

[Sec. & Exch. Comm'n v. Honig, 18 Civ. 8175 \(ER\) | Casetext Search + Citor](#)

[Sec. & Exch. Comm'n v. Honig, 18 Civ. 8175 \(ER\) | Casetext Search + Citor](#)

Read [Sec. & Exch. Comm'n v. Honig, 18 Civ. 8175 \(ER\)](#), see flags on bad law, and search Casetext's comprehensive legal database

[casetext.com](#)

SEC settled quickly with Honig et al. Also Alpha Capital Anstalt: Liechtenstein: IMDS: Bag Man Schlaff: Bawag: Refco:Rhino: Sedona: Scan Graphics: Shaye Hirsch: Karfunkel: Kushners: Nordlicht: Englander: et al: Judge Swain Derivatives.

These SEC 1 off's guarantee the activity continues. It does.

Below: Tri-Mark: Sytner

last 10K filed with the SEC:2010

[form10k5to1holding123110.htm \(sec.gov\)](#)

Pg 46 Honig owned 2,514,786 shares or 7%

That's STATED control

When did the SEC waive 13D/G filings simply because it was disclosed in an audited/SEC reviewed 10K?

Not 1 off's: guarantee activity continues

Judge Ramos, did you put an end to Honig?

NOPE

[Barry C. Honig, et al. \(Release No. LR-24262; Sep. 7, 2018\) \(sec.gov\)](#)

[Barry C. Honig, et al. \(Release No. LR-24262; Sep. 7, 2018\)](#)

The Securities and Exchange Commission today charged a group of ten individuals and ten associated entities for their participation in long-running fraudulent schemes that generated over \$27 million from unlawful stock sales and caused significant harm to retail investors who were left holding virtually worthless stock.

[www.sec.gov](#)

And, as I proved below: Jaclin/Honig STILL up and running in April 2021

SDNY Judges/NY Supreme Court: The SEC CONTINUES to play you for fools while ACTIVELY facilitating massive, ongoing frauds on the public it is mandated to protect while screwing the whistleblower who caught them: ME
As I have stated repeatedly in my correspondence: the record
Multi billionaire Frost wasn't trying to MAKE a few million. Frost et al were LAUNDERING.
Frost: bought Ladenburg from Icahn/LeBow/Lorber: Vector /New Valley. AFTER Icahn rolled his former employer: Gruntal: Sater,Feinberg,SAC et al: MILKEN: into Ladenburg. As MY record also clearly shows: Honig also Colleran: Trump felon fundraiser. AND: Vector/New Valley also Trump/Russia.

"1 off's"!

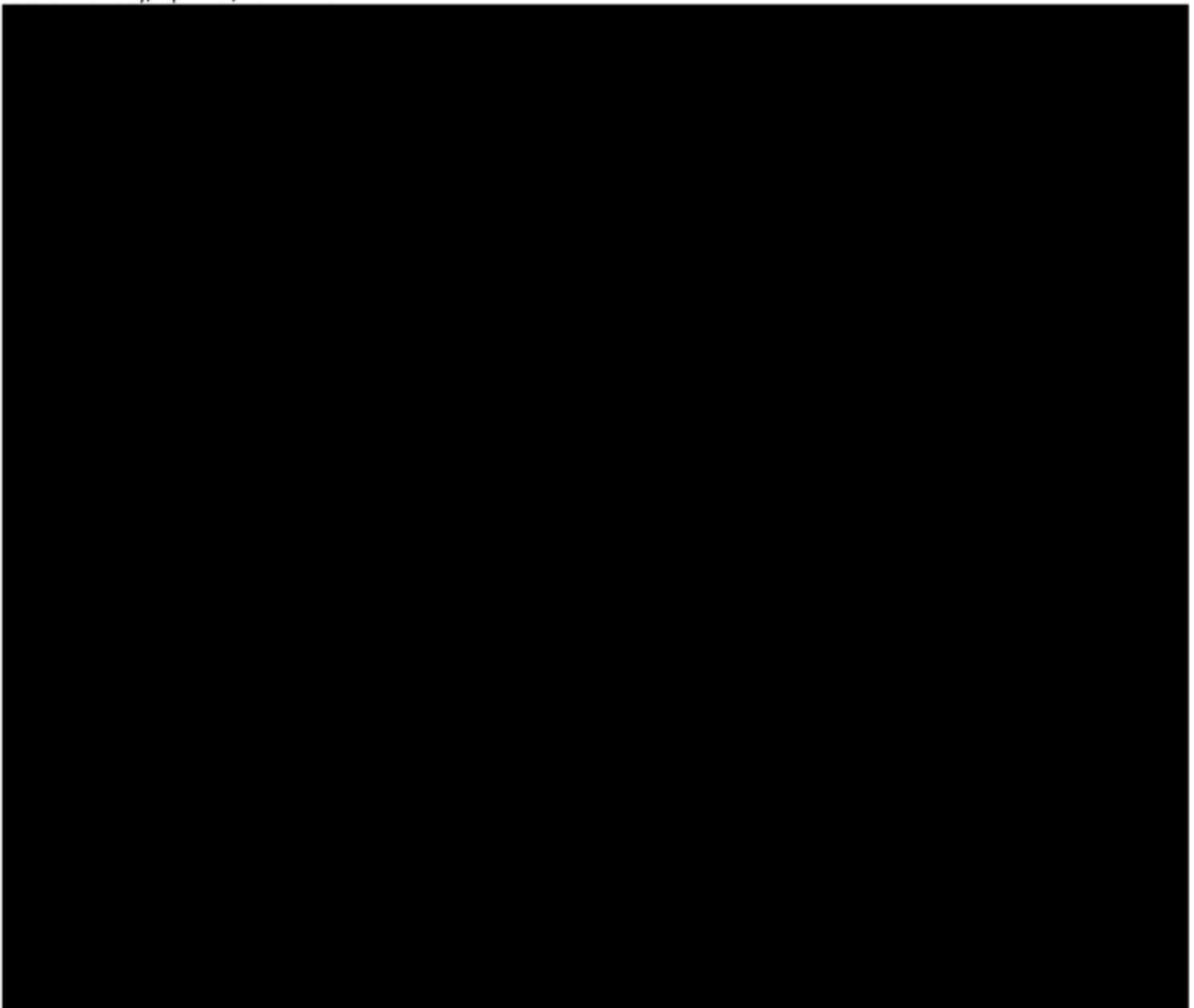
Too f'n funny

Cheers!

Chris

From: Chris Dilorio <[REDACTED]>

Sent: Monday, April 19, 2021 4:10 PM



Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Welcome to Episode number: I lost track: of SEC criminal obstruction/corruption while screwing the public it is mandated to protect and screwing the whistleblower who caught them: ME.

Give me a call Mr Gensler. Love to catch up. Saw where you did a OTCM esque reverse split in the massive USO fraud on the public.

SDNY Judges et al, when you read about something as absurd and ridiculous as Hometown International with a Deli front and New Jersey and entities in Hong Kong and Macau, you're probably thinking what I was thinking 10 years ago when I began researching NITE and the OTCM shells they traded. But, these are NOT 1 offs. This is WHY the OTCM exists: abusive naked shorting OTCM shells to facilitate money laundering is and always has been the core business at NITE et al. This is WHY NITE has been bailed out multiple times by other criminal entities. There is no such thing as just 1 cock roach. HWIN is no different. It is part of a MUCH MUCH bigger and well orchestrated scheme.

More on Hometown International:

Hey look, there's a Senegal/Ivory Coast individual named Ibrahima Thiam with a Macau address

[OTCQB-Certification.pdf \(sec.report\)](#)

If the name Thiam is familiar, it should be: Tidjane Thiam the former CEO of Milken controlled Credit Suisse: Jim Justice: Greensill.

The resemblance is striking. Don't you think?

[Ibrahima Thiam - Wetlands International](#)



Ibrahima Thiam - Wetlands International

P.O. Box 471 6700 AL Wageningen The Netherlands. Tel. +31 (0) 318 660 910 E-mail: RSIN Number: 806703726
Reg No: 09099028

www.wetlands.org

You know the 1 I'm talking about Judge Silver: NITE top traded/multiple SEC/FINRA reverse splits/Jim Justice: 5 Mile: Perian Salviola/Josh Sason/Sichenzia : NewLead fame? AND sister fraud "Greek Shipper" FreeSeas: also NY Supreme Court. Also Sason/Sichenzia. But with other Milken flunkie Terren Peizer. Crede. Along with Deutsche Bank and Credit Suisse. Peizer/Crede also Net Element. Net Element former CFO New: also Blink Charging: with MJJ/Keener AND Prolific Bag Man Michael Farkas. MORE derivatives

More on Farkas later in the e mail. Read on

And, not to get too graphic

But another Hong Kong/Macau HWIN "investor" is Swiss "model" Nathalie Pasyawon

[Nathalie Pasyawon - Boobpedia - Encyclopedia of big boobs](#)

Interconnectedness defined. OR as I like to say MORE DERIVATIVES

The 2020 SEC reviewed HWIN 10K filed March 26, 2021

https://www.sec.gov/Archives/edgar/data/1632081/000121390021018020/f10k2020_hometowninter.htm

www.sec.gov

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 . FORM 10-K (Mark One) ☒ ANNUAL REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE SECURITIES EXCHANGE ACT OF 1934 For the fiscal year ended: December 31, 2020 or ☐ TRANSITION REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE SECURITIES EXCHANGE ACT OF 1934 For the transition period from ____ to ____

www.sec.gov

Guess who has been the HWIN auditor since 2015?

Fined/censured by PCAOB Liggett and Webb

James Liggett/Martin Webb

[Microsoft Word - 105-2020-010-LW.docx \(azureedge.net\)](#)

Not the ONLY money laundering shells L/W CPA are involved in either

[Directory - Service Provider Directory | OTC Markets](#)

[OTC Markets | Official site of OTCQX, OTCQB and Pink Markets](#)

Get Stock & Bond Quotes, Trade Prices, Charts, Financials and Company News & Information for OTCQX, OTCQB and Pink Securities.

www.otcmarkets.com

Several SEC reporting

AND a few more with up and running TODAY

NASDAQ listed Orbital Energy Group OEG

[EDGAR Search Results \(sec.gov\)](#)

Aqua Power Systems APSI. That's Aqa Power systems fka NC Solar: a Jaclin money laundering shell

[EDGAR Search Results \(sec.gov\)](#)

https://www.sec.gov/Archives/edgar/data/1553264/000114420412044855/v321146_s1.htm

Bang Holdings Corp BXNG: VERY appropriate Name. Read on. Also Jaclin. Also Zenith. AND Platinum
[EDGAR Search Results \(sec.gov\)](#)

Brownies Marine Group BWMG
[EDGAR Search Results \(sec.gov\)](#)

C2E Energy Inc OOGI FKA Odyssey Oil and Gas: through 2020: a NY HQ company
https://www.sec.gov/Archives/edgar/data/1160798/000121390021020286/f10k2020_c2eenergyinc.htm

www.sec.gov

The Company intended to expand the making of bio fuels from algae to other large mining Companies in South Africa. On May 26, 2009, the Company acquired 51% of H-Power (Pty) Ltd. H-Power (Pty) Limited, a South African registered company, which owns an exclusive license to develop and market batteries based on patented Hybrid Battery Technology worldwide. However, on August 27, 2009, the ...

www.sec.gov

Enviro Technologies US Inc EVTN
[EDGAR Search Results \(sec.gov\)](#)

Hometown International HWIN
See Below

Ocean Thermal Energy Corp CPWR
[EDGAR Search Results \(sec.gov\)](#)

Point Of Care Nano-Technology Inc PCNT fka Alternative Energy and Environmental Solutions: Also Jaclin
[fs10511_altenergy.htm \(sec.gov\)](#)

[EDGAR Search Results \(sec.gov\)](#)

Second Street Capital CTON
[content \(otcm Markets.com\)](#)

Vynleads Inc VYND
[EDGAR Search Results \(sec.gov\)](#)

PuraDyn Filter Technologies PFTI
[EDGAR Search Results \(sec.gov\)](#)

A New York Liggett/Webb money laundering shell is C2E Energy Inc

Began as an "exercise equipment " shell controlled by Curtis Olschansky

Everyone remember the Better Buns machine?

https://www.sec.gov/Archives/edgar/data/1160798/000114420407015535/v069715_10ksb.htm

SEC

Indicate by check mark whether the registrant (1) has filed all reports required to be filed by Section 13 or 15 (d) of the Securities Exchange Act of 1934 during the preceding 12 months (or for such shorter period that the registrant was required to file such reports), and (2) has been subject to such filing requirements for the past 90 days.

www.sec.gov

Here's ANOTHER lesson in derivatives for the slow on the uptake

New York C2E Energy Inc is now controlled by PROLIFIC Bag Man David Lazar/Zenith Partners/International /Equity Holdings LLC's and Custodian Ventures.

https://www.sec.gov/Archives/edgar/data/1160798/000121390021020286/f10k2020_c2eenergyinc.htm

www.sec.gov

The Company intended to expand the making of bio fuels from algae to other large mining Companies in South Africa. On May 26, 2009, the Company acquired 51% of H-Power (Pty) Ltd. H-Power (Pty) Limited, a South African registered company, which owns an exclusive license to develop and market batteries based on patented Hybrid Battery Technology worldwide. However, on August 27, 2009, the ...

www.sec.gov

Lazar/Zenith following money laundering shells:

Mediashift MSHF

Melt Inc MELT

XXStream XMET

FinotecGroup FTGI

Enabling Asia Inc EAIN

Goff Corp GOFF

NYSE listed SyntheticBiologics SYN

Exobox EXBX

just to name a few

Lazar NY address: 3445 Lawrence Ave

Oceanside, NY

Also SEC NY

Lazar partner in Zenith is Los Angeles/Beverly Hills/Santa Monica based Barry Sytner

also home to Mogilevich Bag Man Milken/Dexel/Boyd Jefferies et al

Sytner was himself in control of Tri - Mark Mfg Inc with guess who? Barry Honig

[EDGAR Search Results \(sec.gov\)](#)

and another money laundering shell up and running today: Chinese \$\$ laundering shell Worry Free Holdings
Teed up and ready to go with Rent A CFO: CFO NOW
Worry Free is FKA SEC reporting iVoicelideas Inc

[EDGAR Search Results \(sec.gov\)](#)

[Microsoft Word - WYCC 30 SEPT 2018 OTC FILING.FILED VERSION \(otcmartets.com\)](#)

Worry Free not the only Lazar China \$\$ laundering shell

Hong Kong Winalite Group

[EDGAR Search Results \(sec.gov\)](#)

Not revoked by the grossly corrupt SEC after 10 years of no financial disclosures. Rather: voluntarily suspended by Lazar to be re used at a later date. Per my record with the SEC et al: money laundering shells go dark AFTER the fraud is committed. SEC does nothing to PREVENT the fraud from happening in the first place

https://www.sec.gov/Archives/edgar/data/1059885/000121390020001328/f1515d0120_hongkongwinalite.htm

Anyone keeping track of the Jaclin/Honig related money laundering shells we're up to so far?

Again: the Lazar/Sytner/Zenith/Custodian Ventures/Liggett/Webb list is not exhaustive

But in excess of 20 money laundering shells up and running today should be a good start. Don't you think Mr Gensler?

Of course, the money laundering shell that ties all of these ongoing frauds together is Bang Holdings: BXNG

https://www.sec.gov/Archives/edgar/data/1632323/000161577415000921/s101040_s1.htm#INTEREST

SEC.gov | HOME

(1) This Registration Statement covers the resale by our selling shareholders up to (1) 1,857,050 shares of common stock previously issued to such selling shareholders and (2) 1,500,000 shares of common stock issuable upon exercise of outstanding warrants ("Warrants") at an exercise price of \$0.35 per share, that were issued in connection with a Securities Purchase Agreement by and between ...

www.sec.gov

A Colorado incorporated/Miami based/Jaclin money laundering shell where Liggett/Webb are auditor with Farkas/Platinum/Zenith Equity Holdings/Michael Bernstein et al

[EDGAR Search Results \(sec.gov\)](#)

Vast majority: SEC reporting. Several Jaclin. BXNG: Farkas/Jaclin. Several with Chinese Nationals.

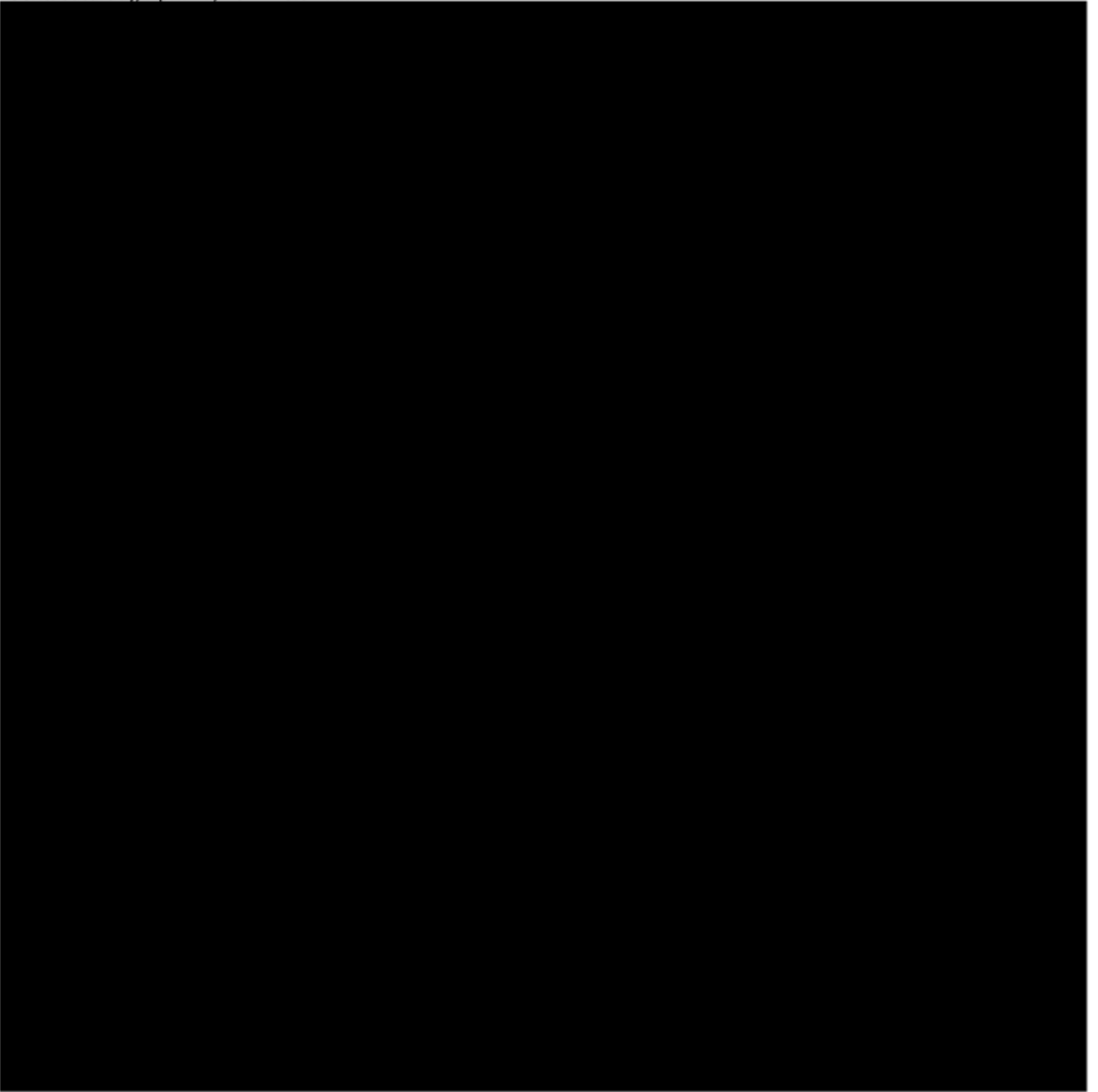
Zenith/Lazar/Sytner: Jaclin 2.0 like Honig. ABSOLUTELY NOTHING random about this as I have stated repeatedly: MASSIVE in scope/Brazen/Egregious/ongoing/SEC facilitated/SEC IG complicit frauds on the public the grossly corrupt SEC is mandated to protect while screwing the whistleblower who caught them: ME. AND NONE OF IT HAPPENS without well known criminal entities like executing BD/MM's NITE et al. NOT the "penny stock trading fairies"

No, SDNY/NY Supreme Court Judges: Hometown International is NOT a 1 off that slipped through the cracks. At ALL times Jaclin has been under the jurisdiction of the SEC NY. At ALL times SEC NY ALSO under the jurisdiction of the SDNY.

Cheers!
Chris

From: Chris Dilorio <[REDACTED]>

Sent: Saturday, April 17, 2021 10:31 AM



Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

SDNY Judges and SEC IG,

I would like to Re admit the following which is part of my extensive record with the grossly corrupt SEC: Jaclin Money laundering shells: Honig et al. AND prolific Bag Man Michael Farkas: BLNK,ICLD etc etc
Have you been watching the story about this Deli in New Jersey with a \$100 million dollar market cap?

[US Financial Markets Have Become A Giant Mirage Built On A Foundation Of Fraud | ZeroHedge](#)



US Financial Markets Have Become A Giant Mirage Built On A Foundation Of Fraud

ZeroHedge - On a long enough timeline, the survival rate for everyone drops to zero

www.zerohedge.com

SDNY judges/ SEC IG: This is what I have been telling the grossly corrupt SEC for more than 8 f'n years now. ALL of this activity is up and running TODAY: April 2021 thanks to SEC criminal obstruction and corruption. The SEC is a criminal enterprise ACTIVELY facilitating multiple, ongoing frauds on the public it is mandated to protect to the benefit of the criminals who own them while screwing the whistleblower who caught them: ME Say Hi to the OTCM Pink money laundering shell Hometown International
[EDGAR Search Results \(sec.gov\)](#)

pg 22 and following of Selling Shareholders in this 2020 SEC approved S1

https://www.sec.gov/Archives/edgar/data/1632081/000121390020014269/ea122720-s1_hometown.htm#j_015

SEC.gov | HOME

(1) Pursuant to Rule 416(a) under the Securities Act of 1933, as amended (the "Securities Act"), there are also being registered hereby an additional indeterminate number of shares of the Registrant's Common Stock, \$0.0001 par value (the "Common Stock") as may become issuable to the selling stockholders as a result of stock splits, stock dividends and similar transactions, and, in ...

www.sec.gov

New Jersey Deli with "investors" in Macau, Hong Kong etc

Welcome to my world in dealing with the grossly corrupt SEC

Of course, Hometown International was ANOTHER Jaclin money laundering shell kept up and running by the grossly corrupt SEC

https://www.sec.gov/Archives/edgar/data/1632081/000114420415059929/v422176_s1.htm

SEC.gov | HOME

25 E. Grant Street . Woodstown, NJ 08098 (856)759-9034 (Address, including zip code, and telephone number, Including area code, of registrant's principal executive offices)

www.sec.gov

What I have been telling the grossly corrupt SEC for YEARS: This is WHY the OTCM exists. AND, in Q1 2021, more than 4 TRILLION shares of money laundering shells like Hometown International were traded by NITE, CDEL et al.

[Market Statistics - Equity Trading Data Monthly \(finra.org\)](https://www.finra.org/market-statistics)

ABSOLUTELY nothing has changed in the last 8 years. Infact, as the grossly corrupt SEC,DoJ et al have been in possession of my information, this illegal activity has EXPLODED.

SEC IG: DO YOUR FUCKING JOB!!!!!!

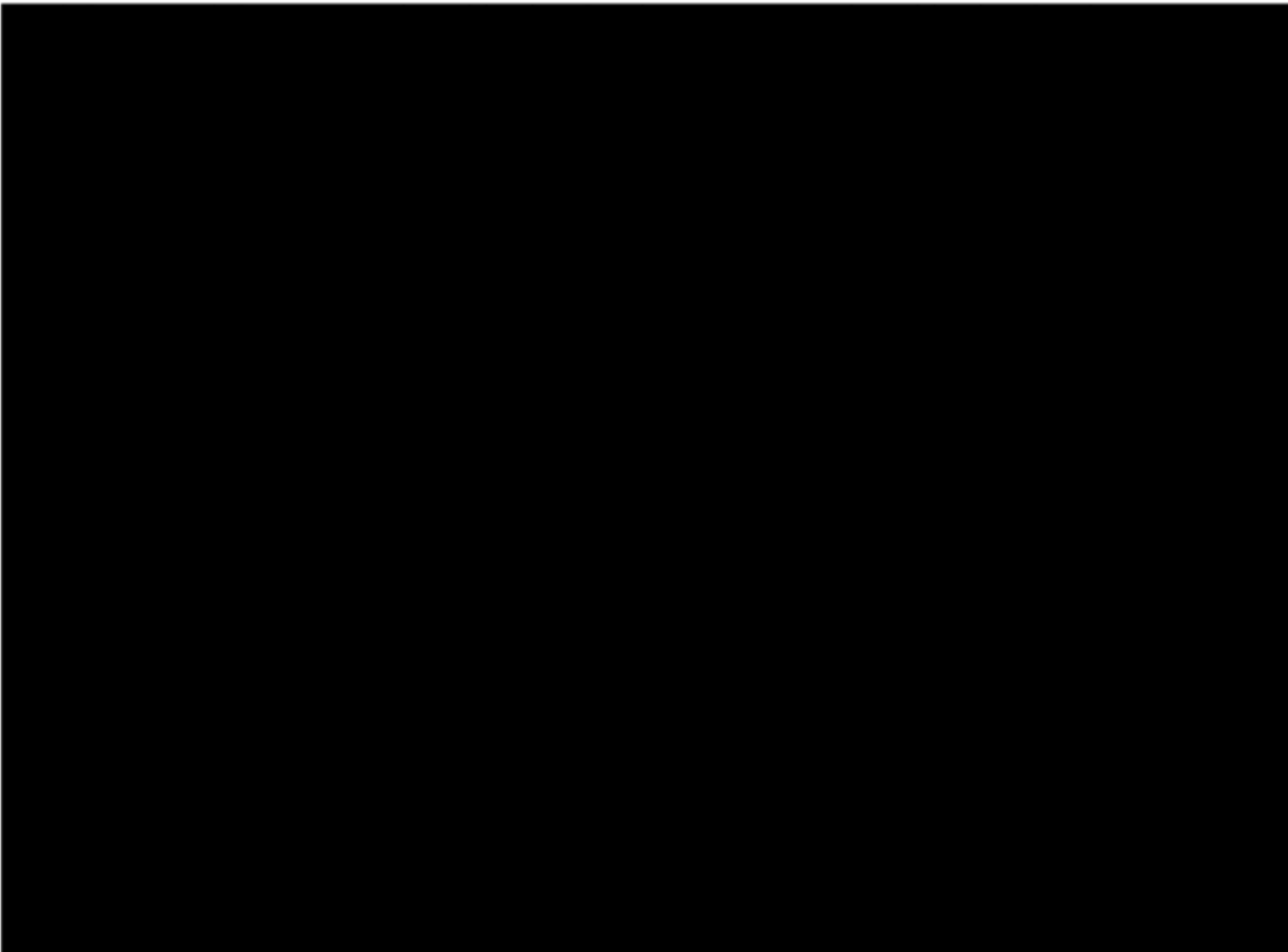
Hometown International: Woodstown NJ: SEC NY: SDNY jurisdiction

Cheers!

Chris

From: Chris Dilorio <[REDACTED]>

Sent: Monday, April 5, 2021 5:29 AM



Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Judge Swain: still ANOTHER version of A Stroll Down the ABSOLUTELY NOTHING HAS CHANGED Avenue. This is another version of my extensive correspondence as I wait on the SEC Final Determination. Below, I detailed the \$765 million fraud DFC/taxpayer loan to almost insolvent Kodak to transition from film/cameras(buggy whips) to hydroxychloroquine. The DFC was run by Jared Kushner's college roommate. Massive fraud from the outset. The SEC of course never investigated the massive pump and dump related to this fraud. AND, thanks to the SEC egregious obstruction of Congress: there is STILL no CAT. Of Course the DFC first appointed IG Zakel (Sep 6 2020) concluded 2 months later that Jared's roommate didn't break any laws. Further: The Akin Gump internal investigation is ripped to shreds by yours truly below. AGAIN: There was no Clayton et al/SEC OR DoJ investigation into the egregious Insider Pump and Dump that took place in KODK related to the fraud DFC taxpayer loan.

The interconnectedness of my claims on display yet again.

Some Interesting entities involved with Blackstone/Schwarzman/New in the almost insolvent at the time/still: KODK.

Recall from a version I sent last week Judge Swain:

Sedona/Scan Graphics: 1998

Kushners/Nordlicht/Englander AND

The Karfunkel Family Trust

<https://www.sec.gov/Archives/edgar/data/764843/0000943396-98-000012.txt>

KODK got some attention when GEORGE KARFUNKEL made a generous donation to a "synagogue" in Brooklyn called Congregation Chemdas Yisroel

https://www.sec.gov/Archives/edgar/data/31235/000121390020020114/ea124950sc13da2karfunkel_eas.htm

SEC.gov | HOME

This Amendment No. 2 to Schedule 13D ("Amendment No. 2") relates to the common stock, \$0.01 par value per share (the "Common Stock"), of Eastman Kodak Company, a New Jersey corporation (the "Issuer"), and amends and supplements the initial statement on Schedule 13D filed on May 18, 2017, as amended and supplemented by the Schedule 13D/A filed on December 6, 2019 (the "Schedule ...

www.sec.gov

Chemdas Yisroel address:

This EXACT address is the home of Roth CPA's etc

Which also has offices in Israel

[Roth&Co – We understand that your business is your life's work \(rothcocpa.com\)](http://rothcocpa.com)

Roth&Co - We understand that your business is your life's work

NEW YORK. 1428 36th Street, Suite 200 Brooklyn, NY 11218 Phone: 718-236-1600 Fax: 718-236-4849

rothcocpa.com

Important to note here that George Karfunkel founded 1 of the largest Stock transfer companies: American Stock Transfer. Did I mention there was no Jay Clayton et al/SEC/DoJ Insider trading/P&D investigation into KODK?

I digress.

See, back in 2004, Barry F'n Honig had a shop called GRQ Consultants

GRQ was involved in 2 money laundering Shells:

Amplidyne yada yada

[EDGAR Filing Documents for 0001170022-05-000036 \(sec.gov\)](https://www.sec.gov/Archives/edgar/data/0001170022/05-000036/sec.gov)

AND

Cell Power Technologies

[EDGAR Filing Documents for 0001144204-04-007936 \(sec.gov\)](https://www.sec.gov/Archives/edgar/data/0001144204/04-007936/sec.gov)

Everyone catch the address of this Cell Boost "technology" Cell Power?

The SAME address as Chemdas Yisroel and Roth CPA's

but just down the hall: Suite 205

This is priceless.

An SEC approved offering from 2005 for Cell Power

https://www.sec.gov/Archives/edgar/data/1202034/000114420405030051/v026245_424b3.txt

Who was the law firm on this money laundering shell in 2005???

Sichenzia Ross. The same law firm responsible for NewLead and FreeSeas: 2 massive frauds perpetrated on the SDNY Courts as well as NY Supreme Court. Brought to you by the grossly corrupt SEC.

Gets better still....

The SEC revoked Cell Power Technologies in 2010

[EDGAR Search Results \(sec.gov\)](https://www.sec.gov/Archives/edgar/data/0001144204/10-000036/sec.gov)

Barry Honig/Jaclyn: also Blink Charging with prolific Bag Man Michael Farkas, JMJ, Drexel Alum Director, Jonathan New: NETE CFO up and running in 2021.

And Barry Honig: Frost/Stetson/Collieran/ Alpha Capital et al

Recall the record Janey: "multi billionaire Frost wasn't trying to MAKE a few million. Frost was laundering"

Frost: bought Ladenburg from Icahn/Vector after Ladenburg bought Gruntal: Milken, SAC, Feinberg et al

Collieran: Trump felon fundraiser

Alpha Cap: Schlaff: Bawag/Refco/Sedona/Judge Swain: also my Knight/KCG/VIRT:NITE TCR

2020. TEN YEARS AFTER the SEC revoked the Honig/Sichenzia money laundering shell down the hall from Chemdas Yisroel/Roth CPA: Garfunkel: Cell Power Technologies

Garfunkel: 1998 Sedona/Scan Graphics w/Kushners et al

Karfunkel/Chemdas Yisroel/Roth CPA's weren't the only ones to "get the look" (for those of you with ZERO trading experience charged with enforcing Securities Laws like insider trading, this is the term used for insider trading)

Moses Marx also "got the look"

[EDGAR Filing Documents for 0001104659-20-089495 \(sec.gov\)](#)

EDGAR Filing Documents for 0001104659-20-089495

EASTMAN KODAK CO (Subject) CIK: 0000031235 (see all company filings) IRS No.: 160417150 | State of Incorp.:NJ | Fiscal Year End: 1231 Type: SC 13D/A | Act: 34 | File ...

www.sec.gov

Marx and Karfunkel go way back and are still in business together

Does United Equities/Commodities ring any bells?

How about Berkshire Bancorp? ANOTHER New York licensed Bank

[EDGAR Search Results \(sec.gov\)](#)

Karfunkel/Marx moved BERK from the NASDAQ to the OTCM Pinks around 2013

WHY? Less disclosure stupid.

[Microsoft Word - {D634DCBC-639A-4A58-8504-3EDC20157A89} \(otcmkt.com\)](#)

hey look! Marx,Karfunkel:BERK has the same auditor as Trump: Mazars. Prly just ANOTHER coincidence. For those of you incapable of following along: The probability that ALL of the Karfunkel illgotten gains in the SEC/Trump/Kushner/Blackstone/DFC et al facilitated P&D/Insider trading went to Congregation Chemdas Yisroel is virtually ZERO.

Have I mentioned there was NO :zero,zilch,nada Jay Clayton et al/SEC/DoJ insider trading investigation into KODK?

OK, good. Got it covered

Maybe, just maybe had the grossly corrupt SEC thoroughly investigated my irrefutably accurate allegations: Blackstone/Schwarzman: NITE, the massive pump and dump fraud:Blackstone et al: KODK wouldn't have happened. Which is why there has NEVER been a thorough investigation of my irrefutably accurate allegations. In fact, the grossly corrupt SEC has criminally obstructed a thorough investigation of my claims SO THAT frauds like KODK can continue. The SEC is bought and paid for by criminals while actively facilitating MULTIPLE frauds on the public it is mandated to protect WHILE screwing the whistleblower who caught them:ME. the record Janey is IRREFUTABLE.

Finally Ms Wing/Strauss: will you be keeping your DOJ e mail address up and running months after you land a new gig like Geoffrey Berman has? Almost like he never left.

So Judge Swain: What has changed since your Sedona/Badian/Hirsch/Refco/Bawag decision?

ABSOLUTELY NOTHING!

Yes: Blackstone/Schwarzman/Marx/Karfunkel/Kushner/Trump et al are most definitely on the SEC/DoJ "Do not investigate List"

Cheers!

Chris

From: Chris Dilorio <[REDACTED]>

Sent: Wednesday, September 23, 2020 7:18 PM

[REDACTED]
<[REDACTED]>
Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Judges Cave and Nathan,

If there was ANY question as to the veracity of my extremely serious allegations, the SEC put it to rest today with its "clarification" and new rules governing the Whistleblower program:

My preliminary denial in June for the Opco Award application which was 5 years in the waiting: "SEC staff never saw Mr Dilorio's information"

I refer you to the ONLY new rule in the "clarifications" in the interest of "transparency"

<https://www.sec.gov/rules/final/2020/34-89963.pdf>

SECURITIES AND EXCHANGE COMMISSION 17 CFR Parts 240 and 249 RIN 3235-AM11 ACTION SUMMARY

SECURITIES AND EXCHANGE COMMISSION . 17 CFR Parts 240 and 249 [Release No. 34-89963; File No. S7-16-18] RIN 3235-AM11 . Whistleblower Program Rules

www.sec.gov

New Rule 240.21F-18 Summary Disposition

(3) The information you submitted was never provided to or used by the staff handling the covered action or the underlying investigation (or examination), and the staff members otherwise had no contact with you.

AKA the Christopher J Dilorio Rule. Created to deny awards of rightful compensation. Per my appeal: a whistleblower CAN NOT know who at the SEC he/she should contact as investigations are done in strict confidentiality. Further, the OWB itself is the CENTRAL contact for whistleblowers. It is the EXPLICIT and EXCLUSIVE responsibility of the OWB to distribute whistleblower information within the SEC. This "rule" is FURTHER overwhelming evidence of SEC corruption and obstruction.

Judges Cave and Nathan: ALL information presented to your Courts must be treated with extreme skepticism if not outright disdain. IF the SEC is willing to commit massive fraud on whistleblowers who expose their corruption and criminal activity just imagine the evidence it is willing to fabricate to bring a case like they are in Kamensky. An immediate STAY in Kamensky is warranted until an independent thorough investigation of my claims can be executed. ALL evidence presented to your courts by the SEC must be questioned in light of the overwhelming evidence I have provided. Again: this corruption goes straight to Jay Clayton himself. His former colleague Jared Fishman has played a key role in this massive fraud. Clayton NEVER disclosed these conflicts. In addition, your Honors are in possession of other Clayton/Sull Crom/AQR/Girsky facilitated fraud: Nikola. This is what it has come to when you blow the whistle on the grossly corrupt SEC: They create a completely arbitrary and fraudulent rule to silence you.

Rule 204-21F summary disposition aka Screw the whistleblowers exposing SEC corruption Rule OR

The Christopher J Dilorio Rule

Regards,
Christopher J Dilorio
Whistleblower
[REDACTED]

FROM:Chris Dilorio <[REDACTED]>
Sent: Wednesday, September 23, 2020 5:27 AM

[REDACTED]

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Judges Cave and Nathan,

My allegations are chock full of members of the SEC "Do Not investigate Club". Per my TCR: Key to the Aug 2012 "glitch/Bailout: Blackstone/Schwarzman. Blackstone had done extensive Due Diligence on Knight prior to the "glitch" and had considered buying them north of \$14/sh. Somehow/some way Blackstone decided not to go ahead with buying Knight not too long before the "glitch" which took the stock to \$3. The ultimate bailout deal was NOT collateral based. Rather a convert with a %50 discount to \$3: \$1.50/share. "WHEW". Per my TCR: ALL 2012 "glitch" bailout participants including Blackstone knew EXACTLY the fraud on the Knight balance sheet. Because of SEC corruption/criminal obstruction, NITE is insolvent TODAY. Absolutely nothing has changed. A massive ongoing fraud on the public.

As a direct result of the SEC "Do not investigate Club", The KODK/Blackstone fraud on US Taxpayers (see below) was perpetrated on the public.

Steve Schwarzman/Blackstone are near the top of the SEC "Do not investigate List".

Obviously, Mr Kamensky is not in the Club.

As you can clearly see from my appeal to the OWB: The SEC intended to run out the clock. 5 years in the waiting in their Preliminary Determination Opco Award Denial for " Investigators never saw my information". Yet, SEC actions based on my information include: Hanover/Magna, JMJ/Keener, Fife, Southridge/Hicks, Opco, and UBSS. Missing somehow: NITE, Handler/Jefferies, Blackstone/Schwarzman etc etc.

The last overt act of this massive conspiracy has not yet occurred.

Mr Kamensky and I are BOTH victims of a longstanding and corrupt relationship between the SEC and Handler/Jefferies et al. Also victim of this corruption: the investing public the SEC is mandated to protect and the US Taxpayer.

Regards,
Christopher J Dilorio
Whistleblower
[REDACTED]

From: Chris Dilorio <[REDACTED]>
Sent: Wednesday, September 16, 2020 6:25 AM

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Janey,
Schwarzman must be pretty close to the top of the SEC's "do not investigate" list.
The latest Schwarzman/Blackstone orchestrated fraud and cover up: KODK
Today, the KODK Board Member Jason New: Blackstone "independent" outside inquiry by the law firm Akin Gump is in

<https://www.kodak.com/content/products-brochures/Company/Report-to-the-Special-Committee-09.15.2020.pdf>

"gaps" indeed
The flowery New/BX cover up is chock FULL of gaps.

"Introduction to Phlow"

Phlow: the VA consortium receiving \$350 mil in Government Covid funding to provide Trump pushed Covid Cure: hydroxychloroquine

<https://www.prnewswire.com/news-releases/phlow-corporation-awarded-354-million-hhsasprbarda-contract-to-manufacture-essential-medicines-in-shortage-301061648.html>

Phlow Corporation Awarded \$354 Million HHS/ASPR/BARDA Contract to Manufacture Essential Medicines in Shortage - PR Newswire

RICHMOND, Va., May 19, 2020 /PRNewswire/ -- Phlow, a U.S.-based, public benefit drug manufacturing corporation, has received federal government funding of \$354 million for advanced manufacturing ...

www.prnewswire.com

Phlow already has/had a long standing relationship with Ampac Fine Chemicals

<https://www.phlow-usa.com/about-us/>



About Us | Phlow Corporation

Robert Mooney is a tireless champion of creativity and business acumen. As an entrepreneur and co-founder of New Richmond Ventures (NRV), Bob counseled startups and early stage companies on accounting and financial reporting, capital

strategies, equity raising, project financing, milestones, business

www.phlow-usa.com

In May 2020, Phlow was re starting/building a mfg facility/warehouse with partner Ampac (AFC) to fulfill its Government contract

<https://richmondbizsense.com/2020/05/20/new-richmond-based-pharma-startup-with-350m-in-funding-eyes-facility-in-petersburg/>



New Richmond-based pharma startup with \$350M in funding eyes facility in Petersburg - Richmond BizSense

Earlier this month BizSense first reported Phlow's initial government contract for \$6 million, but details on the company's plans remained unclear at the time.. Gupton said in an interview Tuesday the company's plans have been in the works for about 18 months, well before COVID-19 hit.

richmondbizsense.com

Per the KODK/New/BX/Akin Gump cover up: pg 20

"On June 15 2020,Kodak signed a Letter of Intent with Phlow in furtherance of its application to the DFC to show it had a CUSTOMER for its future API's"

Most definitely "DEFINITIVE AND MATERIAL"

So, where is the SEC reviewed/required 8k for this agreement?

<https://www.sec.gov/cgi-bin/browse-edgar?CIK=31235>

Meaning: the DFC application was a FRAUD. Fraud on the government. Fraud on American taxpayers.

Further: WHY would the DFC consider "loaning" \$765 million to KODK with NO EXISTING API capability when it already granted LESS money to Phlow/Ampac with proven capabilities? Answer: KODK liquidity issues are SEVERE

Like Milken: Insider trading is NOT the real issue here. The latest BX orchestrated "glitch": KODK.

I know this information may be more than the SEC/DoJ are capable of comprehending.

Call me and I'll walk you through it SLOWLY.

Cheers!

Christopher J Dilorio

Whistleblower

[REDACTED]
[REDACTED]

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, September 1, 2020 7:40 AM

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Janey,

MORE on the Blackstone/Trump/Kushner KODK P&D gift.

Again, BX helped orchestrate the Knight "glitch" and bailout. No doubt, the "luckiest" f'ers on the Street. VERY high on the SEC do not investigate list. So, they can continue to facilitate criminal activity.

See below: Jason New: KODK BoD: BX. In charge of the KODK "internal investigation". Now we read where D E Shaw has taken a 5% stake in KODK. guess who DE Shaw largest investor is: Blackstone. Corruption cover up. For the record Janey

<https://www.thetrustedinsight.com/investment-news/de-shaw-blackstone-20190325420/>

Cheers!

Christopher J Dilorio

Whistleblower

From: Chris Dilorio <[REDACTED]>

Sent: Thursday, August 20, 2020 12:04 PM

[REDACTED]

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Mr Best,

Congratulations on your new position as Director of SECNY.

No doubt you have earned the promotion. For those of you who don't know Dick Best from his FINRA days, this masterpiece is what got him his job at the SEC Atlanta office

<https://www.finra.org/media-center/news-releases/2014/finra-fines-brown-brothers-harriman-record-8-million-substantial-anti>

The BBH AML complaint. Truly, fantastic work.

ALL of the entities in the complaint are un named. WHY?

This is my information.

Swiss Banks, FFI's, and of course: penny stock trading fairies aka executing BD's/MM's that made it all possible. Per Dick's complaint: BBH delivered 80%+ of the trades to executing BD's/MM's. Did Dick Best criminally obstruct an investigation into my claims? Per my extensive correspondence with Robin Traxler at FINRA AND the fact that the SEC had my Knight Capital TCR in its possession for almost a year when Dick brought his BBH complaint. So, did Dick's complaint implicate entities in my TCR and that's why ALL of the entities in Dick's complaint are un named? Most certainly YES.

Recall, this scheme generated \$850 MILLION in proceeds. Dick's \$8 mil fine was not a deterrent. Intentionally so.

So Congrats Dick on your new position as Director at SECNY. Janey, Hoecker, Dick, the record is extensive of my correspondence including Dick Best at the Atlanta Office. No doubt he will be recusing himself related to matters involving the un named entities in his FINRA BBH complaint. OR will he do what is expected at the SEC: Criminally obstruct investigations while screwing whistleblowers like me?

Cheers!

Christopher J Dilorio

Whistleblower
[REDACTED]
[REDACTED]

From: Chris Dilorio <[REDACTED]>

Sent: Wednesday, August 19, 2020 6:53 AM

[REDACTED]

[REDACTED]

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Further:

Janey, Hoecker, Jay, Mehraban et al

Let me help narrow down the SEC facilitated, ongoing accounting fraud at NITE as I know none of you have ever spent a day on a trading desk:

IF the avg holding period for VIRT HFT is a matter of seconds AND VIRT goes home flat every night, then what is the receivable/fails related to? With the core Virtu HFT business eliminated, what that does that leave? The CASH OTCM business maybe? Should I draw a picture in crayon for you Ms Mehraban?

NITE: 3 different CFO's in the last year. Ms Mehraban, How much is your former Paul Weiss colleague/boss Dougie Cifu paying you to criminally obstruct an investigation of my allegations?

Janey, Hoecker, Mehraban et al: When it comes to trading fraud/accounting fraud cover ups, SEC attorneys are CLEARLY not qualified.

The record there is ALSO IRREFUTABLE.

Here glitchy glitchy.

Cheers!

Christopher J Dilorio

Whistleblower

[REDACTED]
[REDACTED]

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, August 18, 2020 6:37 PM

[REDACTED]

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight Capital TCR & Appendix

Janey, Hoecker, Mehraban, Jay et al,

The massive SEC facilitated fraud on the public known as Knight/KCG/VIRT: NITE is reaching epic proportions in August 2020. For the new "accounting" hires at the SEC:

In 1Q2020, the receivable at NITE was up 90% or \$1.2 BILLION from Dec 2019 to \$2.562,721 billion

Per the extensive record Janey: fails: because of self clearing are booked as a receivable. FRAUD. no intention of delivering. More accurately a liability. AND per my 2013 TCR: a large portion: structural liability as a result of an open naked short fail position WHEN not if a reverse split is approved by the grossly corrupt SEC/FINRA. There are some new "buckets" Malusso, Ioffe, Dougie large have created within the Receivable as well. Creative. The accounting shell game: moving fraud (abusive naked shorts) from bucket to bucket.

The 1Q2020 10Q

<https://www.sec.gov/ix?doc=/Archives/edgar/data/1592386/000159238620000006/virtufinancial03-31x20.htm>

Inline XBRL Viewer - SEC

The Inline XBRL Viewer allows a user to quickly and easily review details of the tagged information in an Inline document by automatically placing a top and bottom highlight border around each tagged numeric fact and left and right border for each block tagged fact.

www.sec.gov

pg 23.

Buckets total \$2.562,721 BILLION

the 2Q2020 10Q

<https://www.sec.gov/ix?doc=/Archives/edgar/data/1592386/000159238620000009/virt-20200630.htm>

pg 24

Buckets total \$2.441,283 BILLION

The FRAUD (please see the record Janey).

ALL of the receivable items are related to SETTLEMENT.

Certain items within the receivable: buckets: would zero out within days IF VIRT was in compliance with the Securities LAWS: Close out requirements of Rule 204. So, isn't it beyond amazing THAT: although there was

some change in certain buckets AND that the amounts were zeroed out within days of March 31, 2020 ONLY to end the quarter June 30, 2020 a mere \$121.438 MILLION difference from the March 31, 2020 ending balance??????

That is absolutely f'n amazing: \$2.562,721 BILLION zeroed out from March 30, 2020 THEN a \$2.441.283 balance at June 30,2020. Well, the SEC does believe in "penny stock trading fairies" too.

Nope. Not penny stock trading fairies. AND VIRT didn't zero out :FAILED to SETTLE BILLIONS \$\$ in transactions. This massive fraud is due to NEVER closing/covering as is mandated by LAW. SEC, ongoing, massive fraud on the public. Classic bucket shell game. A la FCM and Reverse mortgages.

NOTHING has changed thanks to SEC corruption and obstruction while screwing whistleblowers like me.

The massive NITE accounting fraud facilitated by the SEC that facilitates the ongoing fraud on the public the SEC is mandated to protect.

CLEARLY, IRREFUTABLY: NITE is and always has been a criminal entity. ILLEGAL NAKED SHORTING drives trading profits at NITE. ALWAYS has. Janey, please post Jay Clayton AND Ms Mehraban NITE conflict disclosures. No doubt, Dougie large will see this e mail the same way the grossly corrupt SEC has disclosed my information to NITE for the last 10 years. NITE is GROSSLY insolvent TODAY August 18,2020.

Cheers!

Christopher J Dilorio

Whistleblower

[REDACTED]
[REDACTED]

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, August 11, 2020 6:53 AM

[REDACTED]

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight TCR & Appendix

Janey, Hoecker et al

SEC criminal obstruction virtually real time.

SEC.gov | SEC Charges Interactive Brokers With Repeatedly Failing to File Suspicious Activity Reports

The Securities and Exchange Commission today announced that Interactive Brokers LLC will pay an \$11.5 million penalty to settle charges it repeatedly failed to file Suspicious Activity Reports (SARs) for U.S. microcap securities trades it executed on behalf of its customers.

www.sec.gov

SECNY: Lara Shalov Mehraban. Ms Mehraban, I've asked this before: Was Dougie "Large" Cifu your boss at Paul Weiss? The IBKR "complaint" is getting very close to your former boss/colleague isn't it?

Questions Ms Mehraban doesn't want the public to see:

Her former boss/colleague Dougie "Large" Cifu hired Alex Ioffe as VIRT CFO in 2019. From 2003-2019 Ioffe was CFO at IBKR. INCLUDING the period covered in Ms Mehraban's complaint.

Not filing SAR's, Microcap securities, AML red flags. No kidding. WHY are the securities un named? WHO was ultimate executing BD/MM?

As self clearing Ms Mehraban, isn't Knight/KCG/VIRT (Cifu): NITE the LARGEST clearing agent of microcap securities? How many SAR's coming out of your former boss executing BD/MM?

Per my TCR: NONE. ZILCH. NADA. How do I know that?

When would the criminal enterprise NITE which is run by Ms Mehraban's former Paul Weiss boss/colleague Cifu file a SAR:

BEFORE

or

AFTER trading billions of shares?

Did NITE Compliance rely on IBKR/Ioffe compliance? That would be a violation wouldn't it?

Ms Mehraban is the poster child of SEC corruption and criminal obstruction while screwing whistleblowers like me. Virtually real time in August 2020. Very much an ONGOING and massive fraud on the investing public.

Ms Mehraban, please pass along my warmest regards to your former Paul Weiss boss/colleague Dougie "Large". No doubt you "chat" often.

The record is overwhelming AND irrefutable.

Cheers!

Christopher J Dilorio

Whistleblower

[REDACTED]
[REDACTED]

From: Chris Dilorio <[REDACTED]>

Sent: Monday, August 10, 2020 8:32 AM

[REDACTED]

[REDACTED]

Subject: Fw: Formal appeal for denial covered action 2015-016/ Knight TCR & Appendix

Janey, Hoecker et al

speaking of NO 8K, recall the extensive record for the criminal/insolvent/fraud on the public

Knight/KCG/VIRT:NITE

The record Janey: Clayton/Sull Crom/Fishman "sale" of FCM business to other criminal firm Wedbush with NO 8K

3Q2014 10Q

<https://www.sec.gov/Archives/edgar/data/1569391/000156939114000013/kcg2014093010-q.htm>

KCG then CFO Bisgay resigned with 2 weeks left in the quarter and didn't certify the financials. WHO certified along with Coleman? Sean P GALVIN.

Cifu, Viola, Urban, Hutchins et al getting the fraud band back together

<https://finance.yahoo.com/news/virtu-financial-announces-changes-finance-105100941.html>

WHY would "Cutting edge technology firm" VIRT want to go with a guy who knows how to run the books at low as low tech gets OTCM cash trading firm Knight/KCG? The core business at Knight/KCG/VIRT: NITE is and always has been: abusive naked shorting OTCM (and other) publicly traded shells to facilitate money laundering
Here glitchy glitchy

Cheers!

Christopher J Dilorio

Whistleblower
[REDACTED]
[REDACTED]

From: Chris Dilorio <[REDACTED]>

Sent: Friday, August 7, 2020 6:20 AM

[REDACTED]

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight TCR & Appendix

The SEC facilitated fraud on the public continues unabated. MORE irrefutable evidence of SEC criminal obstruction while screwing whistleblowers like me.

A direct result of this ongoing massive fraud on the public.

After NITE reported its 1Q2020 results I again again, again, like the last 10 years, alerted the grossly corrupt SEC to the massive accounting fraud at NITE as a direct result of abusive naked shorting.

Per my 2013 TCR Janey, Hoecker, Jay et al:

NITE is in a constant state of insolvency as a result of illegal, criminal, abusive naked shorting OTCM money laundering shells. This illegal activity drives trading revenue at NITE. This illegal activity is and ALWAYS has been the core business at NITE. This very profitable albeit illegal activity is WHY Sull Crom client KCG was bought by Virtu. This illegal activity is WHY NITE has been repeatedly bailed out by GS,BX,JEF, JPM and the SEC. The receivable is where NITE books naked short fails as a result of self clearing. NITE has no intention of closing/ can't close these naked short positions. NOT a legit asset. Further, the receivable isn't a legit asset NITE can convert to cash for its own use. There are prior commitments on these "assets": SETTLEMENT. In 1Q2020, the NITE receivable grew to \$2.5 BILLION. UP 90% from December 2019.

https://www.sec.gov/Archives/edgar/data/1592386/000110465920057660/tm2018404d1_ex99-1.htm

SEC.gov | HOME

Exhibit 99.1 . Virtu Announces First Quarter 2020 Results . NEW YORK, NY, May 7, 2020 - Virtu Financial, Inc. (NASDAQ: VIRT), a leading provider of financial services and products that leverages cutting edge technology to deliver innovative, transparent trading solutions to its clients and liquidity to the global markets, today reported results for the first quarter ended March 31, 2020.

www.sec.gov

Per the SEC reviewed 8k filing this am Aug 7, 2020 NITE reported 2Q2020 earnings. showing the receivable roughly flat with 1Q2020 at 2.44 BILLION

https://www.sec.gov/Archives/edgar/data/1592386/000110465920091707/tm2026789d1_ex99-1.htm

These are NOT "assets". More accurately, these are LIABILITIES. Massive accounting fraud. After moving these fraud "assets" to the appropriate liability classification, NITE tangible book value is GROSSLY insolvent. The SEC has obstructed my allegations for several years while allowing NITE to write down this structural liability on

more than 1 occasion. Further, sell side analysts at the guidance of Cifu et al never question these EGREGIOUS balance sheet issues. AND, with the grossly corrupt SEC blessing, Cifu et al never disclose insolvency in any SEC filing OR investor presentation.

After dismal April/May REPORTED OTCM volumes on the FINRA now controlled website, June saw a dramatic spike in share volumes.

The Top 25 OTCM money laundering shells by share volume in June 2020 and share price

PLYZ	.00015
PVDG	.0008
RTON	.00015
GRST	.001
RNVA	.76 (rev split)
OZSC	.0049
EWLL	.0002
VSYM	.0012
OPTI	.14755
AFOM	.0001
SIML	.00025
IGEN	.0084
XMET	.0002
GTEH	.0001
ABCE	.0003
TSOI	.007
NTRR	.0014
GFTX	.0005
LVXI	.0003
SGMD	.0024
INQD	.002765
RBNW	.0005
TLSS	.0238
TPTW	.07215
HYSR	.0328

Combined price approximately \$1

How do stocks trade to trip zeroes? More buyers than sellers?

Covering/closing out naked short fails shouldn't be an issue. ONLY explanation: abusive naked shorting: MANIPULATION. NOT Bona Fide market making.

As a direct result of this massive, ongoing SEC facilitated fraud on the public, ABSOLUTELY NOTHING HAS CHANGED.

The record is irrefutable: SEC criminal obstruction while screwing whistleblowers like me to facilitate a MASSIVE, ongoing fraud on the public. Key facilitator: Jay Clayton/Jared Fishman: Sull Crom

Cheers!

Christopher J Dilorio

Whistleblower

[REDACTED]
[REDACTED]

From: Chris Dilorio <[REDACTED]>

Sent: Thursday, July 30, 2020 9:31 AM

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight TCR & Appendix

MORE SEC corruption/obstruction/screwing whistleblowers like me.

Per my 2013 TCR attached Janey, we know that Schwarzman/Blackstone has played a key role in perpetuating the criminal entity Knight,KCG,VIRT:NITethe Sull Crom client.

We also know Trump and Schwarzzy are BFF's. Schwarzzy is also connected to Kushner and Epstein.

Schwarzzy is most definitely on the SEC's "Do not investigate List"

A stroll down the record Janey: Around the same time as the SEC/BX/JEF/GS et al August 1 2012 NITE "trading glitch", Schwarzzy/BX were key advisers to bondholders of Eastman Kodak and to the company also. Jason New: Blackstone was re elected to the KODK BoD in May 2020.

https://www.sec.gov/Archives/edgar/data/31235/000156459020027039/kodk-8k_20200520.htm

Then the Pumper/Grifter in Chief Trump goes out wide and far with this absolutely incredible news:

The camera/film company Eastman Kodak is now going to be the US savior in pharma ingredients supply chain. This is a page out of the penny stock grifter playbook. This is what happens when we have a WH full of money laundering shell grifters. So, what has been the result of this incredible pump/transformation? KODK has gone from 2 to 90 back to 40.

As is typical Trump/grifters/ and his criminal Clayton led SEC: the public hasn't seen a 8K filed by KODK to detail this incredible "transformation". The SEC has given its blessing to yet ANOTHER Trump/Grifter/Bag Men P&D. in KODK, FBO Trump BFF and Sull Crom client: Knight "savior" Schwarzzy/BX. Had the grossly corrupt SEC investigated my claims instead of obstructing them and screwing me, MAYBE Schwarzzy/BX would have thought twice about their latest gift: KODK. We know that Schwarzzy is also a prolific GOP donor.

F'n criminals

Cheers!

Christopher J Dilorio

EFTA00067200

Whistleblower

From: Chris Dilorio <[REDACTED]>

Sent: Thursday, July 30, 2020 6:33 AM

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight TCR & Appendix

Still MORE IRREFUTABLE evidence of SEC criminal obstruction and corruption while screwing whistleblowers like me. Per the record Janey: Trump PA campaign Mgr David Urban on the BoD of #1 money laundering shell trader and Clayton/Sull Crom client NITE. Urban also on the BoD of money laundering shell: Pakastani/Canadian pot company w/ 200k in revenue FSD Pharma:HUGE. Today HUGE is up more than 100% on "news" it will pivot away from growing pot in Canada to "developing" a pot based cure for Covid. A money laundering shell. Of course, the grossly corrupt SEC has approved a \$20 million public offering for Urban/Trump: HUGE SEC facilitated P&D to facilitate money laundering

<https://www.sec.gov/Archives/edgar/data/1771885/000106299320003258/formsuppl.htm>

AGAIN, the SEC is a criminal organization facilitating criminal activity and protecting criminals at the expense of the public it is MANDATED to protect while screwing whistleblowers like me.

The record is extensive.

Cheers!

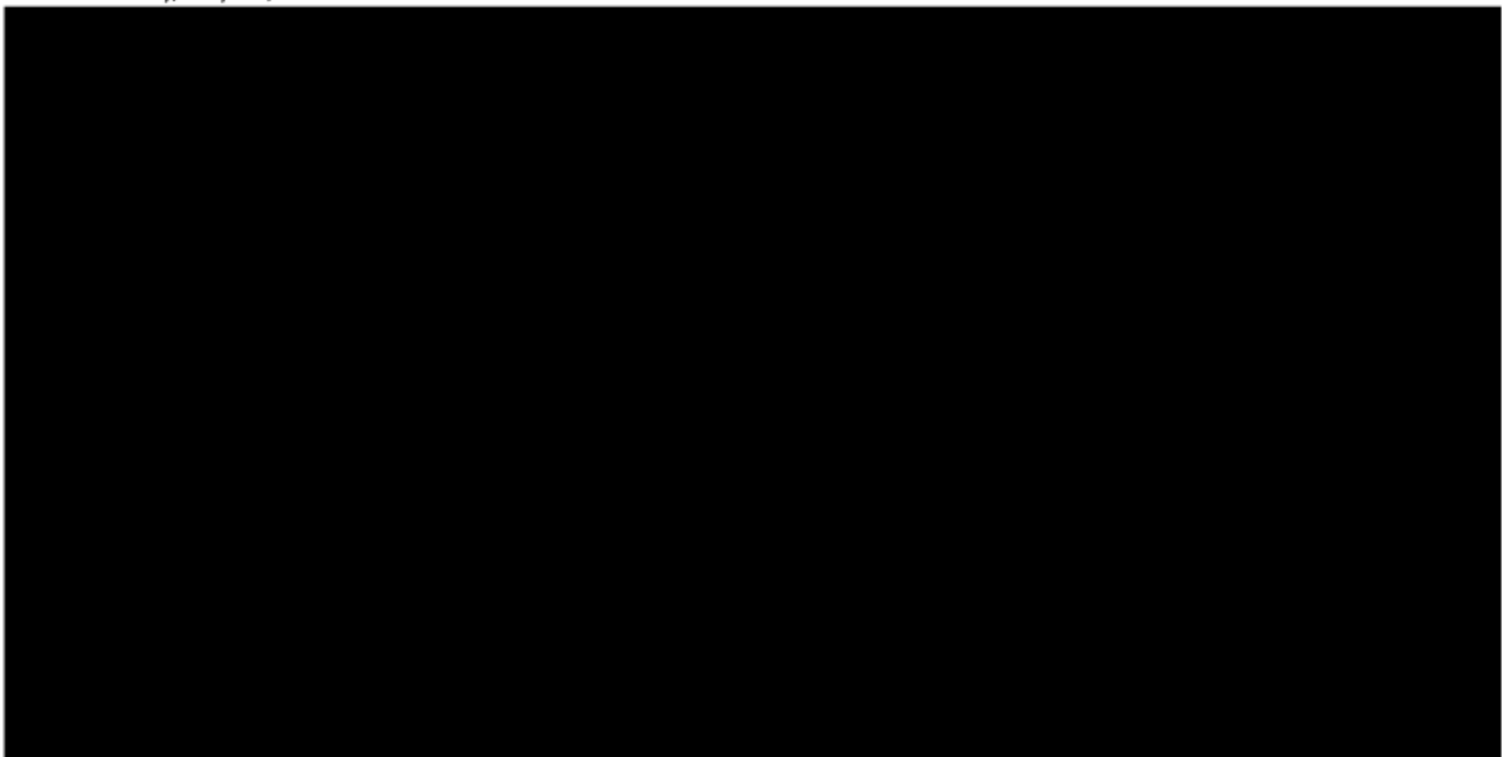
Christopher J Dilorio

Whistleblower

EFTA00067201

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, July 28, 2020 7:48 AM



Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

STILL MORE OVERWHELMING evidence to support my extremely serious allegations that the SEC is a criminal organization, run by criminals, to support criminal activity while screwing whistleblowers like me.

Farkas: Michael: is a prolific Bag Man well known to the SEC. Farkas chose a Jaclin money laundering shell INTENTIONALLY. Blink Charging (BLNK) is ANOTHER SEC facilitated fraud on the public the SEC is MANDATED to protect.

Other Farkas money laundering shell: i Incubator

<https://www.sec.gov/cgi-bin/browse-edgar?CIK=1044693>

As is SOP for the grossly corrupt SEC: Revoked AFTER this massive fraud on the public was complete

<https://www.sec.gov/litigation/admin/2009/34-60013.pdf>

ALSO SOP for the corrupt SEC: No mention of Farkas and his controlling i Incubator entities in the complaint

<https://www.sec.gov/Archives/edgar/data/1044693/000104653200000261/0001046532-00-000261-index.htm>

<https://www.sec.gov/Archives/edgar/data/1044693/000104653200000265/0001046532-00-000265-index.htm>

<https://www.sec.gov/Archives/edgar/data/1044693/000104653200000263/0001046532-00-000263-index.htm>

ALSO missing from the i Incubator complaint: Executing BD/MM of the worthless Farkas certs dumped on the public while the grossly corrupt SEC watched. Those damn "penny stock trading fairies" AGAIN!

NOPE.

BLNK never should have happened. Farkas, his NETE CFO, Keener, Nordlicht, etc etc should have been shut down LONG AGO

Cheers!
Christopher J Dilorio
Whistleblower

From: Chris Dilorio <[REDACTED]>

Sent: Thursday, July 23, 2020 5:59 AM

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

The grossly corrupt SEC response to whistleblower OVERWHELMING evidence of money laundering ,manipulation, and fraud: MY INFORMATION has been remarkably consistent over the last 9 years++:
Obstruct, cover up, facilitate illegal activity at the expense of the investing public it is sworn to protect while screwing whistleblowers like me.

BLNK: A KNOWN Jaclin money laundering shell. Rev merger with a KNOWN Bag Man: Michael Farkas who was the largest shareholder of ANOTHER money laundering shell: SkyWay but somehow escaped the SEC investigation. With Board members like Engel: Drexel, Scigliano: Acies: NETE a CFO:New from NETE. A known to the SEC Bag Man: Keener who the SEC has kept up and running for YEARS since being BARRED (Not Exactly) by Industry SRO FINRA.

In addition to that name Farkas: ANDREW/Jonathan Farkas. Trump fundraiser and Epstein: Jeffrey: business partner, this fraud has an added element. So, after receiving my overwhelming evidence with AML red flags too numerous to count, what was the par for the course SEC response: Approved BLNK public offering just several days ago AND with my overwhelming evidence in hand. But, that's not where the corrupt SEC active facilitation of this massive fraud on the public ends. Yesterday, 7/22, BLNK put out a PR linking it to a few hundred charging stations in VA,MD,DC. This pr drove the stock up almost 30% at 1 point and closed 15% higher on almost 8x avg volume. A most certainly "MATERIAL" event. AND an event that required an SEC 8k filing if "DEFINITIVE" as well. No such 8K was filed by BLNK for this pr. This pr therefore must be complete FRAUD intended ONLY to facilitate a massive Pump and Dump on the public. It accomplished its intended fraudulent outcome.

But, back to BLNK fka New Image Concepts: the company

Between Blink and New Image Concepts, BLNK was known as Car Charging Inc

https://www.sec.gov/Archives/edgar/data/1429764/000114420414059745/v390669_def14c.htm

This 2014 SEC approved offering also had several red flags of its own. WHOPPERS in fact.
Guess who ELSE was involved in this years in the operating money laundering shell?
Platinum Funds/Nordlicht. With links to Kushner(s) and Trump lawyer Giuliani. Other NY entities, a Columbus OH entity, a Chicago entity, and a Belize entity. Still counting the AML red flags?
The icing on the top of this massive SEC facilitated fraud: ex NM Governor Bill Richardson.
Who, is also linked to Jeff Epstein and his NM Zorro Ranch.

BLNK: money laundering fraud on the public ACTIVELY facilitated by the SEC in July 2020 despite overwhelming whistleblower (me) information. Linked to Milken, Russia, Trump, and Epstein. Of course the 7/22 trading activity NEVER would have happened without willing, executing BD's and MM's like the criminal entity known as Knight, KCG, VIRT: NITE. Which has also been kept up and running by the grossly corrupt SEC despite overwhelming evidence of a massive, ongoing, criminal conspiracy detailed by a whistleblower: me.

Cheers!
Christopher J Dilorio
Whistleblower

[REDACTED]
[REDACTED]

From: Chris Dilorio <[REDACTED]>
Sent: Wednesday, July 22, 2020 8:44 AM

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

Greetings grossly corrupt SEC et al
Still MORE SEC facilitated fraud on the public it is mandated to protect:

EFTA00067204

BLNK: Farkas/JMJ/Jaclin/CFO New(NETE) money laundering fraud
today's pr

<https://www.globenewswire.com/news-release/2020/07/22/2065815/0/en/Blink-Charging-Awarded-Grant-from-Virginia-Clean-Cities-to-Place-200-Fast-Level-2-Charging-Stations-Across-the-Mid-Atlantic-Region.html>

Of course, BLNK didn't file an SEC reviewed 8K for this material, definitive agreement that has the stock up 27% on 5x normal volume at 10:30 EST

In fact, the last filing with the SEC by BLNK was actually the SEC declaring effective a public offering of securities on 7/15/20. 1 week ago today.

MORE SEC facilitated fraud on the public.

Cheers!
Christopher J Dilorio
Whistleblower

[REDACTED]
[REDACTED]

From: Chris Dilorio <[REDACTED]>
Sent: Tuesday, July 14, 2020 3:31 PM

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

EFTA00067205

OH JOHNNY!

<https://www.reuters.com/article/bc-finreg-fbi-laundering-private-equity-idUSKCN24F1TP>



FBI concerned over laundering risks in private equity, hedge funds - leaked document - Reuters

The U.S. Federal Bureau of Investigation believes firms in the nearly \$10-trillion private investment funds industry are being used as vehicles for laundering money at scale, according to a leaked ...

www.reuters.com

Janey,

Even though you admit not distributing my information within the SEC, I was busy distributing it myself to others.

Carl baby, I'm afraid this means your first "investigation" of my complaints to you wasn't exactly "thorough" as I've been saying for years.

Shall I point out the pages for you?

Blackstone wanted to buy NITE but only AFTER their SEC/JEF et al orchestrated August 1 2012 "glitch" "luckiest f'ers" on the Street

<https://www.businessinsider.com.au/blackstone-dodged-a-bullet-with-knight-capital-2012-8>



WHEW: Blackstone Almost Bought Knight Capital Before Its Stock Collapsed

One company is breathing a sigh of relief after a trading glitch sent shares of Knight Capital Group from more than \$10.30 to nearly \$2.50 last week.

www.businessinsider.com.au

From my TCR you admit never distributing Janey

<https://www.reuters.com/article/us-wealth-summit-ubs-blackstone-idUSTRE6A055020101101>



UBS brokerage's McCann sees more Blackstone ties - Reuters

UBS , rebuilding a brokerage hard-hit by the financial crisis, lately has been mingling in some good company: Blackstone Group LLP.

www.reuters.com

The UBS award application I sent to Janey TEN TIMES from a commercial fax machine:
ALSO MY INFORMATION

<https://www.sec.gov/enforce/34-84828-s>

SEC.gov | SEC Charges UBS Financial Services Inc. with Anti-Money Laundering Violations

ADMINISTRATIVE PROCEEDING File No. 3-18931. December 17, 2018 - The Securities and Exchange Commission today announced settled charges against broker-dealer UBS Financial Services Inc. for failing to report suspicious transactions in customer accounts. UBS agreed to pay a \$5 million civil penalty to resolve the SEC's charges, and separately agreed to pay \$10 million to the U.S. Treasury ...

www.sec.gov

y'all are gonna be FAMOUS!

Cheers!

Christopher J Dilorio

Whistleblower

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, July 14, 2020 12:34 PM

[REDACTED]

[REDACTED]
[REDACTED] <[REDACTED]>
Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

MORE SEC corruption/obstruction
ANOTHER Jaclin money laundering shell:

https://www.sec.gov/Archives/edgar/data/1449527/000121390008002174/fs1_prcomplete.htm

YESDtc Holdings fka PR Complete

<https://www.sec.gov/cgi-bin/browse-edgar?CIK=1449527>

MORE related entities to my claims:

Bill Scigliano: Chairman BoD

Scigliano was also a Director at Oleg Firer's revoked but still very much up and running in MA: Acies Corp. Acies was incorporated by His Eminence with a NY address of 14 Wall Street: Rovt: Allied Wallet: WireCard. Jaclin and Oleg related entities/people: Money laundering shells. Is the grossly corrupt SEC regretting their Jaclin complaint which was a cover up for much larger criminal activity: MY CLAIMS?

But there's more.

The SEC also brought "more coverup than complaint" In Frost,Honig,Alpha,Stetson et al. The SEC Knows who else was involved in the Jaclin money laundering shell PRComplete/YESDtc:

Barry Honig/GRQ

<https://www.sec.gov/Archives/edgar/data/1449527/000152153612000023/0001521536-12-000023-index.htm>

So, Jaclin money laundering Shells and Honig too?

Gee, maybe Bag Men Honig, Keener, Scigliano etc KNEW these were money laundering shells?

Who was the executing BD/MM converting all these billions of worthless Jaclin,Ironridge,JMJ,Farkas,Honig etc etc certs into real money?

The SEC response: "penny stock trading fairies". NOPE: NITE

How is it possible that there is NO reference to AML in ANY of these SEC complaints?

Because the SEC outsourced BD compliance with the BSA to industry advocate FINRA. DUH

Then, there's the Jaclin money laundering shell New Image/BLNK. Gee, wonder if Farkas of money laundering shell Skyway, JMJ/Keener: money laundering shells in my claims, Engel: Drexel, Jonathan New NETE CFO, etc knew BLNK was/is a money laundering shell too.

His Eminence Firer is a prolific Bag Man. I've been telling the SEC that for years.

Janey, update my NETE and AQR TCR's. You know, for the record. Several entities in my TCR's linked to Jaclin's shell factory. Including NITE.

I've asked this many times Janey,Jay,Hoecker et al:

WHAT EXACTLY DOES THE NITE COMPLIANCE DEPARTMENT DO EXACTLY?

Other than looking the other way while they naked short publicly traded shells to facilitate money laundering that is

Cheers!

Christopher J Dilorio

Whistleblower

[REDACTED]

[REDACTED]

From: Chris Dilorio <[REDACTED]>

Sent: Monday, July 13, 2020 10:50 AM

[REDACTED]

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

Janey, Hoecker, Jay et al

still MORE SEC attempts to cover up illegal activity at the expense of the public it is mandated to protect.

The SEC latest Rule change proposal

<https://www.sec.gov/news/press-release/2020-152>

SEC.gov | SEC Proposes Amendments to Update Form 13F for Institutional Investment Managers; Amend Reporting Threshold to Reflect Today's Equities Markets

The Securities and Exchange Commission today announced that it has proposed to amend Form 13F to update the reporting threshold for institutional investment managers and make other targeted changes.

www.sec.gov

Will exempt 90% of current 13F filers from future equity holdings disclosures.

WHO does that benefit? Certainly not the public the SEC is mandated to protect. LESS transparency still for the likes of Keener, Sason, Asher/Kramer, IBC, Ironridge/Coulston, Alpha, Dutchess, Crede, etc etc etc

Costs to file: pocket change

<https://www.netacn.com/Service.aspx?id=dLfmwmZHCKOsIL-sP3V8Dw>

Form 13F EDGAR Filing Agent Service :: Advisor Consultant Network

ACN will compile your 13F Report and act as your Filing Agent in order to submit the report to EDGAR. Send us your Holdings List, we compile the Form 13F Report and send you a Proof for your review and approval. Upon your approval we will submit the report to EDGAR. You will receive an email notification as will ACN that the report has been accepted.

www.netacn.com

So, WHY does the SEC want LESS transparency for the investing public it is mandated to protect?

The SEC is bought and paid for by criminals.

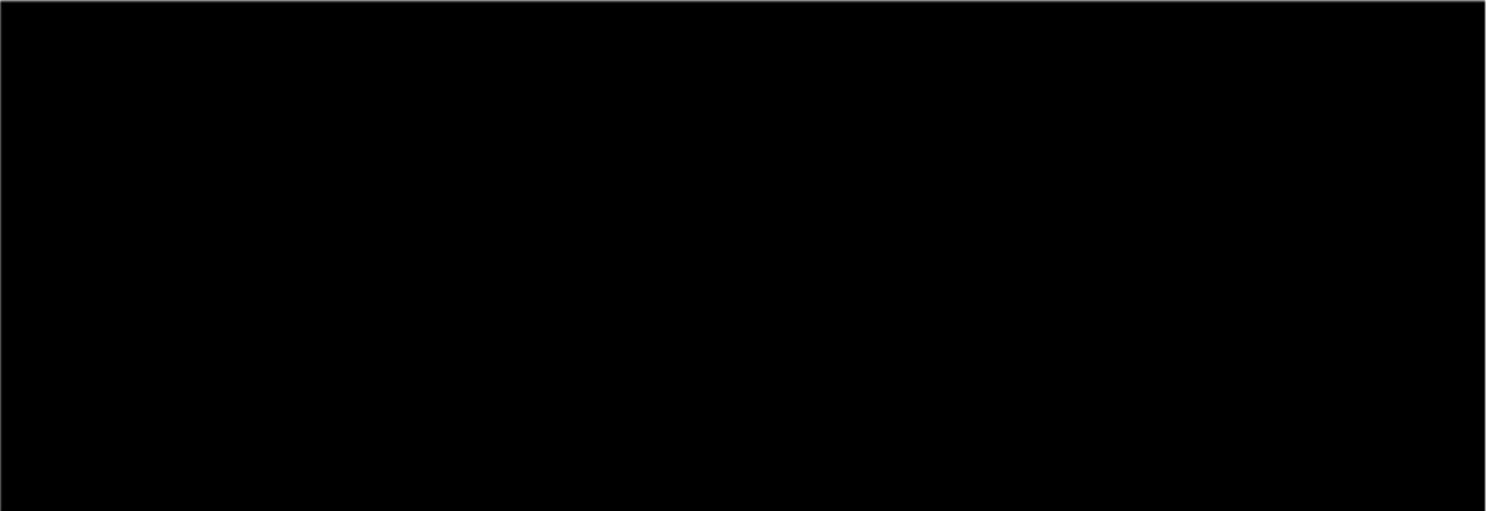
Cheers!

Christopher J Dilorio

Whistleblower

From: Chris Dilorio <[REDACTED]>

Sent: Wednesday, July 8, 2020 9:35 AM



[REDACTED] > [REDACTED]
[REDACTED] < [REDACTED] >
Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

Janey, Hoecker et al,

Is Trump prolific Bag Man Jonathan Farkas related to Bag Man Michael Farkas: Skyway largest shareholder:
REVOKED

<https://www.hollywoodreporter.com/rambling-reporter/inside-hamptons-fundraisers-netted-trump-12m-election-1230690>



Inside the Hamptons Fundraisers That Netted Trump \$12M for Re-election | Hollywood Reporter

The numbers are in and President Donald Trump's quick trip to the Hamptons on Friday raked in \$12 million for his re-election campaign as his Republican allies were quick to declare it a win ...

www.hollywoodreporter.com

Now Michael Farkas is CEO of Jaclin money laundering shell New Image Concepts/Blink charging
How did Farkas (Michael) escape the SkyWay SEC complaint?

<https://www.sec.gov/litigation/complaints/2009/comp20960.pdf>

Would explain the Milken/Drexel flunkie Engel on the BLNK BoD as well.

Also explains why the grossly corrupt SEC let Bag Man JMJ/Keener up and running in 2020 and the Crede/Milken/Putin etc NETE CFO New now CFO at BLNK

Some BLNK/Trump/rinsing. With help from "issuer/bag man funded research" Zacks aka Seethroughequities 2.0. Russian money?

Cheers!

Christopher J Dilorio

Whistleblower
[REDACTED]

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, July 7, 2020 6:09 AM

[REDACTED]

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

Janey,

MORE EXTRAORDINARY SEC corruption and criminal obstruction designed to protect criminals and screw whistleblowers like me. Despite my very generous 4 day offer to produce the entire record which is the basis of my award application/denial/appeal AND REQUIRED by the statute I have referenced:

240.21F-12 "Materials that may form the basis of an award determination and that may comprise the record on appeal", The several hundred e mails I have sent you, Hoecker et al MUST be part of this record. Janey, you failed to produce this record. As I made clear: my 6/23/2020 emails to you Hoecker, SEC commissioners were merely re re re sent previously sent e mails: the record. Further, my 6/23/2020 e mail: Formal appeal for preliminary denial covered action 2015-016 Knight Capital & Appendix was merely a summary of several hundred e mails sent to you, Hoecker et al. These e mails SHOULD be the record. You failed to produce the record. Which begs the question: WHAT "record" was used to determine the SEC preliminary denial exactly IF the SEC can't produce the record? The preliminary denial was completely fabricated and must be reversed. But, it doesn't end there: per my 6/23/2020 summary based on several hundred e mails sent to the SEC, the RECORD of EXTRAORDINARY corrupt obstruction designed to protect criminals and screw whistleblowers is not confined to Opco,NITE,UBSS,Sason,Keener etc etc etc. I have filed 2 TCR's with the OWB related to the money laundering/transaction

laundering/Putin/Rakishev/Trump/Kushner/Alfa/Crede/Peizer/Milken/Hapoalim/SBNY/CardWorks/ESQ/WireCard/AQR etc etc etc fraud known as Net Element. For YEARS the SEC has been in possession of not just my TCR's but HUNDREDS of e mails supporting my TCR's comprising the extensive record. Here again, the SEC is covering up a MASSIVE fraud perpetrated on the public and well within even the grossly corrupt SEC ability to shut down the fraud IF they had used my information to execute its mandate to do so. Instead, the SEC obstructed a thorough investigation. Per my previous e mails: the record: NETE claimed to be a payment processing entity. Claiming further to process BILLIONS of dollars worth of transactions every year. Its subsidiary Pay Online is linked to the massive fraud Wire Card. How's the SEC Wire Card investigation coming along? For years, based on my extensive financials research and other research, I pleaded and pleaded with the SEC to shut down this massive fraud. They did not. email after email. Year after year I wrote the SEC "NETE is a money laundering/transaction laundering fraud". Rather than shut it down, the SEC with the help of NASDAQ allowed fraud public offerings by Crede/Peizer/Milken related entities: Esousa and Cobblestone and a reverse split so NETE could keep its NASDAQ listing. The balance sheet has been grossly insolvent for years: goodwill.

ALL of my allegations were confirmed when NETE decided to "unlock value in its payment processing" business by doing a reverse merger with a CA EV "manufacturer" started by a musician. This fraud transaction is quite common in money laundering shell land dominated by NITE/VIRT. The SEC cover up of criminal activity while screwing whistleblowers:ME: The "payment processing business" is to be "sold". Related of course was the SEC cover up of criminal activity while screwing whistleblowers: ME: The Goldman/Sull Cromm advised purchase by ALLY of CardWorks: Merrick Bank: NETE and then the recent unwinding of this fraud transaction. No doubt the brain child of Chair Clayton and his Sull Cromm colleague Jared Fishman who has played a key role in keeping the criminal entity NITE/VIRT up and running.

NETE/Mullen: "here glitchy glitchy" cover up. But, who the hell would EVER touch the massive fraud: NETE? Only another fraud: Mullen.

Mullen doesn't "manufacture" ANYTHING. Mullen is simply a car dealership.

The K50 EV is manufactured in China by Qiantu a subsidiary of CH-Auto. Qiantu/CH have a production facility in China. There will be no Mullen "production" of EV vehicles in Washington or anywhere else in the US.

But, the SEC facilitated fraud doesn't end at protecting criminals and screwing whistleblowers: ME. Per my TCR attached, there is a well orchestrated eco system of fraud. Including "issuer/bag man funded research" that facilitates P&D. In fact, on 11/8/2018 the SEC brought a complaint against an entity I cited in 1 of my emails to the SEC: the record: known as SeeThroughEquity

<https://www.sec.gov/litigation/complaints/2018/comp-pr2018-259.pdf>

Seethruequity, LLC, Ajay Tandon, and Amit Tandon

THE DEFENDANTS 6. SeeThruEquity, LLC is a Delaware limited liability company that was co-founded in 2011 by brothers Ajay Tandon and Amit Tandon.

www.sec.gov

SeeThroughEquity was engaged in a Pump and Dump promotion of NETE in April and August 2018

<https://www.netelement.com/press-releases/release-content/1062906#.XwRXEOWSnIV>



SeeThruEquity Issues Update on Net Element, Inc.

NEW YORK, NY / ACCESSWIRE / April 10, 2018 / SeeThruEquity, a leading independent equity research and corporate access firm focused on smallcap and microcap public companies, today announced that it has issued an update on Net Element, Inc. (). The note is available here: NETE April 2018 Update Note. Net Element, Inc. (NASDAQ: NETE, "Net Element") is a global financial

www.netelement.com

<https://www.netelement.com/press-releases/release-content/10734671#.XwRXGuWSnIV>



SeeThruEquity Issues Update on Net Element, Inc.

NEW YORK, NY / ACCESSWIRE / August 6, 2018 / SeeThruEquity, a leading independent equity research and corporate access firm focused on smallcap and microcap public companies, today announced that it has issued an update on Net Element, Inc. (). The note is available here: NETE August 2018 Update Note. Net Element, Inc. (Nasdaq CM: NETE, "Net Element") is a global financial

www.netelement.com

So, the SEC SeeThroughEquity complaint acknowledges the fraud associated with NETE. Well orchestrated. This P&D campaign was part of the 2 fraud offerings : Esousa and Cobblestone: I alerted the SEC to. Who PAID for the SeeThrough P&D? Crede/Peizer/Esousa/Cobblestone?

The cherry on top of the SEC corrupt obstruction: NETE was still in business in 2020 to receive taxpayer Cares Act money.

A summary of the record.

Janey, Hoecker et al,
Please update my Net Element and AQR TCR's
Cheers!
Christopher J Dilorio
Whistleblower
[REDACTED]

Not just irony but a massive fraud on the

From: Chris Dilorio <[REDACTED]>
Sent: Tuesday, June 30, 2020 1:01 PM

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

Janey,
the purpose of your 5 years in the waiting PRELIMINARY denial of my OpCo Award application could not be any more clear: run the clock out and protect NITE,UBSS,Magna et al while denying me rightful compensation. But, As I have repeatedly told you, Hoecker, your colleagues: the last overt act of this vast conspiracy has not yet occurred:

NITE/VIRT is insolvent today 6/30/2020 as a direct result of the SEC facilitated fraud on the public which is and always has been the core business at NITE/VIRT: Abusive naked shorting publicly traded shells to facilitate money laundering. The public is STILL at risk. The SEC has facilitated NITE intentionally misleading the public as to the true nature of its business. The SEC still facilitates this massive fraud on the public while it intentionally misleads the public there is no naked shorting because the SEC authorized the DTCC to create the illegal, shadow clear mechanism Obligation Warehouse (OW) so NITE's criminal activity can continue and it can circumvent close out REQUIREMENTS of Rule 204 of Reg SHO. ALL very much ongoing in June 2020 as a direct result of the SEC (OWB/Hoecker/Enforcement etc etc) criminal obstruction and ACTIVE facilitation of the criminal enterprise known as Knight/KCG/VIRT: NITE.

Clayton never disclosed his Sull Crom/Fishman/NITE conflicts. He must step down from the SEC IMMEDIATELY until a criminal investigation can be concluded. NITE must be halted IMMEDIATELY as it still poses a monumental risk to the investing public. FINRA should go back to being a cheerleader as it is just another enabler of this criminal activity. It has NO business enforcing SECURITIES LAWS. It should not be overseeing the OTCM. FINRA fines are a joke and not meant to be a deterrent. INTENTIONALLY siding with criminals over the investing public the SEC is mandated to protect. The cesspool known as the OTCM MUST be shut down. It exists

SOLEY for the purpose of facilitating a massive fraud on the public. The OW must be shut down IMMEDIATELY so the public can see just how pervasive naked short selling: MANIPULATION really is. EVERYONE at the SEC who has had contact with my information MUST resign/be terminated IMMEDIATELY. ALL of the AQR blank check shells must be shut down IMMEDIATELY as they pose a serious national security risk. AQR MUST be shut down IMMEDIATELY.

Certainly not exhaustive BUT a good start

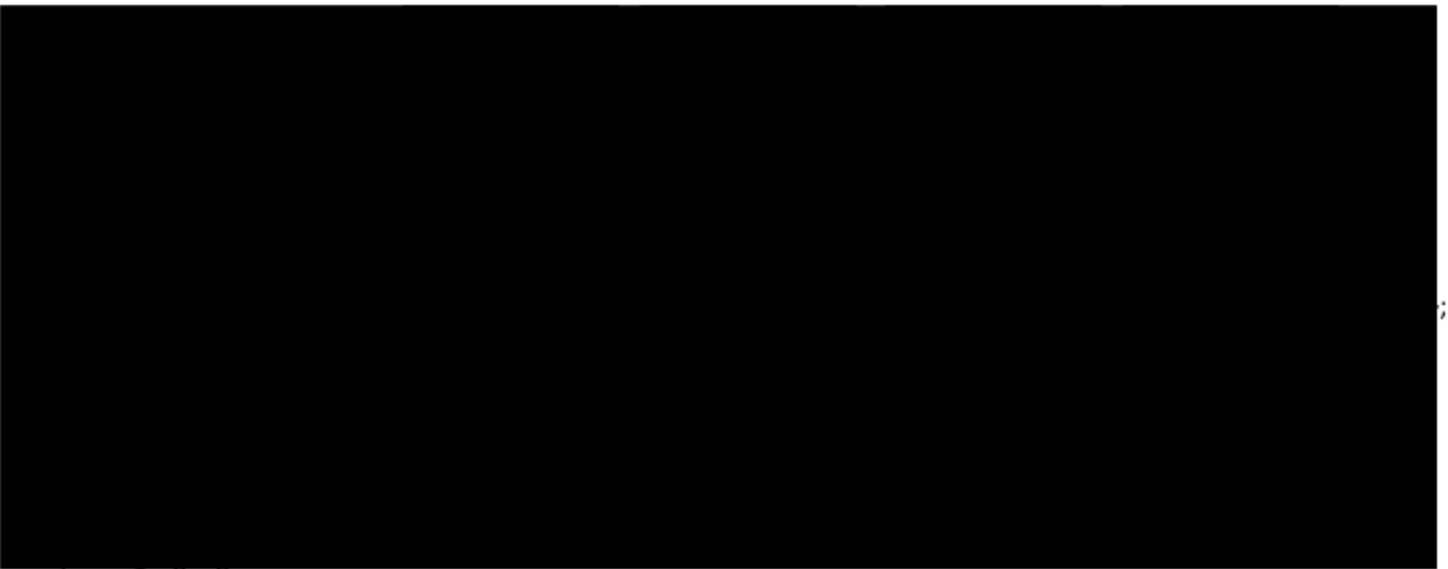
Cheers!

Christopher J Dilorio

Whistleblower
[REDACTED]

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, June 30, 2020 7:36 AM



Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

Janey,

please add the following info to my appeal of your preliminary denial of my Opco award.

More evidence the SEC is using/has used my information to both bring complaints and protect/obstruct complaints. Again, you, McKessy, Hoecker have been in possession of my 2013 TCR filed with Berger for several years. In addition to hundreds of e mails continuing into 2020 showing irrefutable and overwhelming evidence to support my allegations.

Highlighted in my attached TCR and related to my Opco Award application: Joshie Sason/Hanover/Magna: CGFIA, IMDS, NewLead, FreeSeas, PRTH etc etc etc. The SEC Sason/NewLead complaint is also my information as I filed separate but related NewLead, and FreeSeas TCR's with your office. The SEC complaint: Sason assignments: bogus notes. NO SHIT? Really? detailed by me. In addition to Bag Man Sason/Hanover/Magna, I detailed the illegal activity of Bag Man Justin Keener/JMJ in my 2013 TCR. Keener was the customer in the FINRA World Trade Financial complaint.

<https://www.finra.org/media-center/news-releases/2013/finra-fines-three-firms-900000-inadequate-anti-money-laundering>

FINRA Fines Three Firms \$900,000 for Inadequate Anti-Money Laundering Programs | FINRA.org

WASHINGTON - The Financial Industry Regulatory Authority (FINRA) announced today that it has fined three firms a total of \$900,000 for failing to establish and implement adequate anti-money laundering (AML) programs and other supervisory systems to detect suspicious transactions.

www.finra.org

Related to the billions of OTCM money laundering shells traded through World Trade, the BD SRO FINRA requested information from Keener related to his assignments and acquisition of bogus convertible notes including bank statements to prove the notes weren't bogus. Keener told FINRA to 'F Off'

https://www.finra.org/sites/default/files/OHODecision/p182993_0_0.pdf

FINANCIAL INDUSTRY REGULATORY AUTHORITY OFFICE OF HEARING OFFICERS

5 distributions of securities in violation of Section 5 of the Securities Act of 1933. Tr. 158, 179-180.6 On September 22, 2011, FINRA staff served a request on Keener, pursuant to FINRA

www.finra.org

FINRA barred Keener/JMJ in 2013 as a "Bad Actor"

The SEC was certainly aware of the FINRA action

<https://www.sec.gov/litigation/opinions/2012/34-68014.pdf>

As recently as 2019 Bag Man Keener/JMJ was involved in ANOTHER money laundering shell called Blink Charging fka New Image Concepts

<https://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001429764&owner=exclude&count=40&hidefilings=0>

<https://www.sec.gov/Archives/edgar/data/1429764/000114420419004046/0001144204-19-004046-index.htm>

EDGAR Filing Documents for 0001144204-19-004046

Blink Charging Co. (Subject) CIK: 0001429764 (see all company filings) IRS No.: 030608147 | State of Incorp.: NV | Fiscal Year End: 1231 Type: SC 13G/A | Act: 34 ...

www.sec.gov

New Image Concepts was detailed by the SEC in their Jaclin et al "Shell factory" complaint in 2016. PRIOR to Keener involvement.

<https://www.sec.gov/litigation/complaints/2016/comp-pr2016-86.pdf>

Case No. 2:16-cv-03250

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 Case 2:16-cv-03250 Document
1 Filed 05/12/16 Page 1 of 45 Page ID #:1 AMY JANE LONGO, Cal ...

www.sec.gov

But Keener not the only 1 involved who knew New Concept was a money laundering shell.
CEO of Blink is Michael Farkas. SEC knows him well from his Skyway Communications days.
The SEC revoked the registration of Farkas/Skyway in 2007

[https://www.sec.gov/cgi-bin/browse-edgar?
action=getcompany&CIK=0001128723&owner=exclude&count=40&hidefilings=0](https://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001128723&owner=exclude&count=40&hidefilings=0)

The CFO of Blink is Jonathan New. Formerly CFO of the AQR/Crede: Milken money laundering/Transaction
laundering blank check shell: Cazador/Arco: Net Element

A director of Blink is a guy named Donald Engel who worked at Drexel with Milken.
New Concepts was HQ'd in Santa Monica: Milken

But it gets better

the Jaclin shell factory also linked to Honig, Stetson, Alpha Cap, Frost as well

<http://www.teribuhl.com/2019/08/06/honigs-shell-factory-attorney-gregg-jaclin-barred-as-sec-lawyer/>



Honig's Shell Factory Attorney Gregg Jaclin Barred as SEC lawyer - TERI BUHL

Your Voice. High Times Admits SEC Filing is Wrong: Stormy Simon
off the Board - L.A. Cannabis News on Text messages show
Cannabis investors Defrancesco & Serruya allegedly Colluded
with Clarus Securities' Christodoulis in Multiple Stocks; High
Times Admits SEC Filing is Wrong: Stormy Simon off the Board -

www.teribuhl.com

Where the SEC said multi billionaire Frost risked ALL to make a few million. NO, Frost, Alpha (also in my attached
TCR), Stetson, Honig were LAUNDERING. Frost bought Ladenburg from Milken flunkie Icahn AFTER Icahn rolled
Gruntal int Ladenburg. Gruntal: Icahn, Sater, SAC, Feinberg et al: Milken

The SEC intentionally omitted a Honig/Stetson shell from this complaint:

Millenium Bio/Inergetics

linked to Trump Cleveland fundraiser and healthcare fraud felon: Brian Colleran

In typical SEC "cover up", revoked the Millenium/Inergetics registration in 2019.

[https://www.sec.gov/cgi-bin/browse-edgar?
action=getcompany&CIK=0000072170&owner=exclude&count=40&hidefilings=0](https://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0000072170&owner=exclude&count=40&hidefilings=0)

Finally,

SEVEN F'n Years AFTER FINRA barred (not exactly) Keener/JMJ and my Berger TCR filed with your office Janey,
The SEC is going after Keener/JMJ related to my information AGAIN
17.5 BILLION shares of money laundering penny stocks.

Justin W. Keener d/b/a JMJ Financial (Release No. LR-24779; Mar. 24, 2020)

SEC Charges Unregistered Penny Stock Dealer Litigation Release No. 24779 / March 24, 2020 Securities and Exchange Commission v. Justin W. Keener d/b/a JMJ Financial, No. 20-cv-21254 (S.D. Fla. March 24, 2020)

www.sec.gov

WHO was/were executing BD's/MM's in these billions of shares of worthless Keener/JMJ money laundering shells????

What are odds that bogus note/worthless certs/assignments Sason/Magna would be involved with bogus notes/worthless certs/assignments Keener/JMJ in money laundering shells like IMDS and CGFIA etc) AND CGFIA was detailed by me to the SEC/FINRA AND CGFIA was 1 of the shells in the FINRA Opco AML complaint AND where NITE and UBSS traded billions of shares of CGFIA AND where NITE and UBSS traded billions of shares of IMDS also Now, what are the odds of all of that?

All you have to do is read my attached TCR Janey.

Cheers!

Christopher J Dilorio

Whistleblower

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, June 23, 2020 4:11 PM

[REDACTED]

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

small typos/corrections:

Mirror trade activity peaked in 1H2014 not 2H2014 and this coincides with OTCM astronomical share volume data in 1Q2014 and 2Q2014 that were expunged from KCG 10Q SEC filings. Not 2Q2014 and 3Q2014 SEC reviewed 10Q's as I previously stated corrected below
Chris

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, June 23, 2020 9:48 AM

[REDACTED]; [REDACTED] <[REDACTED]>;
[REDACTED] <[REDACTED]>; [REDACTED]

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

Ms Norberg,

I am in receipt of the SEC OWB correspondence allowing me more time to respond to the preliminary denial of my award application for the Oppenheimer 2015 covered action. This e mail was the last 1 I sent to your office related to my appeal. It will serve as the basis of my appeal. Including the attachments of my 2013 TCR submitted with Berger Montague to the SEC. I will also forward correspondence from 2012 and following detailing my extensive correspondence with Robin Traxler at FINRA as well as Sean McKessy in the OWB. Even though, I have previously forwarded your office as well as the SEC IG office the exact same corroborating evidence. My response to you will be lengthy and detailed. However, given that it took your office FIVE YEARS to send me a preliminary denial notice, that is understandable and in fact a result of YOUR lengthy delay in notifying me. ALL of my response pertains to the denial appeal at hand.

In 2011, I filed my first Whistleblower complaint with the SEC. Detailing a massive fraud on the public directly implicating dozens of entities. The center of my claims: Knight/KCG/VIRT: collectively NITE and the Swiss banking giant UBS:UBSS. By far, NITE was and still is today the largest MM/executing BD in the OTCM space. I was shocked to find the Swiss banking Giant UBSS was trading many of the same stocks as NITE and to the extent they were. This came on the heels of the FINRA UBSS Reg SHO complaint where the extent of the UBSS activity "threatened to undermine the integrity of our markets" while the SEC analysis of this activity was simply a case of "sloppy record keeping". My experience as an Institutional Sales trader: executing multi million share equity trades for the largest institutions in the world like Fidelity and Putnam. In addition, as a Research Sales person: analyzing financial statements and making investment recommendations formed the basis of my expertise. In fact, the SEC OWB has paid out awards for information just like mine. In August of 2011, I informed the SEC that NITE was insolvent having reported just \$105 mil in working capital at June 30, 2011. AND, for the reasons cited in my TCR detailing massive accounting fraud as a direct result of illegal naked shorting/self clearing/reverse splits/cusip changes etc. The SEC had a choice: investigate these extremely serious allegations and shut down this massive fraud on the public OR cover up their failure and allow this massive fraud on the public to continue. Unfortunately for the American public the SEC is mandated to protect, the SEC chose the latter. As a direct result, ALL of the activity detailed by me in this TCR and other TCR's filed with the SEC as well as 9 years of additional correspondence with the SEC, this is very much an ongoing, massive scheme. One that the SEC actively facilitates. Countless losses have been incurred as a result. NITE as I detailed is in a constant state of insolvency. The SEC has time and again intentionally misled the investing public that there is no abusive naked shorting. NITE is still in business TODAY.

The core business at NITE is and always has been: abusive naked shorting OTCM shells to facilitate money laundering. Not DMM, FCM, reverse mortgages, or even HFT. This illegal business is EXTREMELY profitable and

virtually riskless. AND, both the SEC and FINRA know this. In 2016, FINRA brought a Rule 204 complaint against NITE. The fine was pathetic and not meant to be a deterrent. This is WHY the OTCM exists. But it's not JUST OTCM as my AQR TCR filed with the SEC clearly proves: NASDAQ Blank check shells as well. I have also filed separate TCR's related to NewLead and FreeSeas: 2 massive money laundering shells which began on NASDAQ, de listed to the OTCM. NONE of the activity detailed in the Opco/Gibraltar complaint takes place without a willing executing BD/MM who ultimately turns worthless certs into real money. That #1 trader is NITE. As you read in my Knight TCR CGFIA is at the heart and, because it was based in Colorado, became a template of sorts for my extensive research. See Ms Norberg, unlike the SEC "investigators" on the Opco/Gibraltar complaint, I've actually seen first hand the CGFIA "world HQ" as well as the rented Littleton home of CGFIA CEO Guyer. I've done extensive research on Properties claimed to be owned and M&A transactions done for the sole purpose of cert printing and distribution (Aurelio AMNP) where the ultimate acquisition amounted to a distributor of Ukrainian folk music. I've also done extensive research on domestic and foreign financial institutions claiming to "invest" in these scam companies like Josh Sason/Hanover/Magna also cited in my 2013 Berger/Knight TCR linked. So, as I detailed to Ms Traxler, I followed Guyer to Neuchatel Switzerland and his previous endeavor: Antelope Technologies also with an office in Highlands Ranch CO. Where I discovered a connection to Swiss/German individuals/entities that were also related to another OTCM shell in the OpCo/Gibraltar complaint as well as my Knight TCR: AppTech. Offices in the Woodlands TX and Boca Raton. AND very much up and running today. SHOCKING. The SEC OpCo/Gibraltar complaint is based on the FINRA complaint. That is absolutely irrefutable. As the Gibraltar complaint alleges just 1 OTCM shell and just a million shares while Commissioners Stein and Aguilar referenced BILLIONS of shares in their OpCo waiver dissent. Who executed those BILLIONS of shares? Was OpCo even a MM? If I ask a question it's typically a rhetorical: I know the answer. The SEC knows the answer also. The SEC OpCo complaint does not mention the executing BD/MM. The SEC complaint doesn't mention Sason/Hanover/Magna either. The SEC complaint makes no mention of illegal naked shorting which is clearly evident in the CGFIA 10Q referenced below. THIS IS MY INFORMATION. So, why aren't NITE, Hanover/Magna and UBSS implicated in the SEC OpCo/Gibraltar complaint? What my TCR clearly and irrefutably proves: NITE was engaged in illegal activity both BEFORE and AFTER the SEC et al orchestrated August 1 2012 "trading glitch". So, the SEC bailed out a KNOWN criminal entity. Unfortunately for the investing public, the SEC has doubled down on facilitating this illegal activity into 2020. The "glitch". Knight was insolvent in August 2011. I told the SEC this. The "glitch" proved my allegations. Key point in my TCR: NITE inadvertently sent 4000 worthless securities to JPM to secure an emergency bridge financing as collateral. These were open, naked short fails that could not be covered/closed due to a cusip change (SEC/FINRA approved rev split) booked as an "asset"(receivable) due to self clearing: MASSIVE accounting fraud. Ironically, the "glitch" proved my allegations: despite claiming to have a "highly liquid balance sheet" NITE had to raise the entire amount of the "glitch". AND the ultimate "financing" was not collateral based. Rather a 50% discounted convert when the stock had already been crushed to \$3 OR \$1.50. ALL of the financing participants knew the NITE balance sheet was complete fraud. NITE also committed securities fraud in pledging those 4000 worthless securities as collateral to JPM: SCOTUS Rubin: pledging collateral to secure financing is an offer to sell. JPM looked the other way. As did the SEC. Further, I submitted my amended TCR with Berger in March 2013, In August of 2013, FINRA brought a penny stock AML complaint against OpCo. Sale of unregistered penny stocks. WHO ultimately executed the trades? 2008-2010. In July 2013, the "glitch" financing Gen Atlantic/Getco reverse merger with Knight to form KCG closed. The new CEO of KCG was Dan Coleman who ran Equities at UBSS during their Reg Sho and cross border activity. For UBSS, the DOJ (Acosta Downing et al) dropped their DPA in 2010. My claims: the FINRA OpCo/Gibraltar complaint clearly implicates UBSS criminal activity AFTER the DoJ dropped its UBSS x border DPA. This is what the SEC is protecting in the OpCo/Gibraltar complaint: NITE/UBSS/Hanover/Magna illegal activity.

Also in my Knight/Berger 2013 TCR: IMDS. A multi year money laundering shell kept up and running by the SEC. Also NITE,UBSS, and Hanover Magna. In addition to other entities like JMJ, Southridge, and Alpha Capital Anstalt. Alpha Capital Anstalt is very much in business today as a result of SEC obstruction while the SEC

recently brought a complaint against JMJ for activity like that in IMDS even AFTER he was barred by FINRA. In IMDS, the SEC allowed 2 barred individuals (CEO/CFO) to do an offering that created 37 BILLION shares of IMDS at .0001 with Chinese Nationals before revoking the IMDS registration. What do you do with 37 billion shares of IMDS at .0001 when there are no bids below that? NOTHING. The stock never traded. The SEC orchestrated a NITE/UBSS/Hanover/Magna/JMJ/Alpha etc MASSIVE naked shorting to facilitate money laundering scheme bailout so that the MASSIVE naked short position didn't need to be covered in the open market as is mandated by Rule 204. Thus insuring profits and not MASSIVE losses for NITE and UBSS.

I also filed separate TCR's for NewLead and FreeSeas. 2 "Greek shipping" money laundering shells started on NASDAQ and delisted to OTCM. NITE top trader in BOTH. Hanover/Magna in both. I contacted the KY Div of Mines and notified the SEC that these "transactions" were complete fraud. The SEC Feb 2019 complaint against Hanover/Magna is my information: Bogus obligations, assigned, converted to worthless certs. Then dumped on the public and converted to REAL money by the executing BD/MM:NITE. Who generates illegal trading profits by abusive naked shorting. Very symbiotic relationship. 1 of the Hanover/Magna entities was Gibraltar/Hanover. Somehow omitted from the SEC OpCo/Gibraltar complaint. In NewLead, then SEC White and Ceresney firm Debevoise did a "fairness opinion" of a Russian Nickel wire transaction where the NewLead CEO had back dated documents. That has been expunged from SEC reviewed filings. FreeSeas: a structured tax evasion/money laundering shell. Also involved Credit Suisse and Deutsche Bank. Both Debevoise clients. Both involved in the tens of billions Russian Mirror trade scheme. In addition to Hanover/Magna a Milken related entity Crede: Run by Milken/Drexel/Obstruction of justice/Parking: Terren Peizer and his felon partner Michael Wachs. This led me to Net Element NETE. Peizer again. This time with more AML red flags than be counted. Well known to the SEC through TWO of my separate TCR's. CEO is Oleg Firer. Firer former money laundering shell Acies shut down by the SEC while NETE was left up and running. Acies very much up and running also in MA. In NETE: NASDAQ. AQR Blank check shell. SEC allowed 2 offerings so that NETE could keep its NASDAQ listing. 1 was with entity Esousa: felon Wachs ex wife. 2nd was with Cobblestone: felon Wachs sister. I told the SEC. They still approved the offerings. I discovered AQR money laundering blank check shell activity doing research on NITE and Hanover/Magna. A top traded NITE OTCM shell was Cereplast. Another AQR blank check shell. Hanover/Magna/NITE/ and Alpha Capital Anstalt. Alpha is Liechtenstein based and controlled by Martin Schlaff: Austria/Israel. Also IMDS (w/Schlaff controlled Balmore) and the Frost/Honing/Stetson et al complaint. Schlaff also LH Financial/Wolfson/Sulphco and Bawag: Sedona/Scan Graphics: Refco: Naked shorting. NITE is Refco on steroids. Cereplast ended in bankruptcy.

NETE claims to be a "payment processor". BILLIONS in transactions processed. Never break even let alone profitable. Balance sheet complete fraud. AML red Flags: Firer is Grenada Amb to Russia living in Miami, Apockinas/Grinshpun/Antonov/Rakishev/Trump/Kushner/SBNY/CardWorks/Merrick Bank/ESQ/Cohen etc etc etc money laundering/transaction laundering BILLIONS shell. Kept up and running for years since filing my NETE/AQR SEC TCR's. ALL of my allegations proved accurate in 2020 when NETE received Cares Act taxpayer money then announcing it was "unlocking the value in its misunderstood payment processing business" by doing a reverse merger with a CA electric car company started by a former musician. The payment processing business to be "sold" and the new company (Mullen) will own 80-90%. All made possible by SEC obstruction and ACTIVELY facilitating illegal activity. Another AQR blank check shell is Astra/Phunware. More Greek shippers related to massive swindler Economou originally intended to do an "energy logistics company" acquisition and somehow settled on "mobile app developer" Austin TX: Phunware. PHUN CEO is well known to the SEC with shells going back 15 years. I alerted the DoJ and SEC that PHUN was a money laundering shell. In addition to the "genius quant" AQR, AIPAC: Gerber/Hudson Bay, Nordlicht: Ari Glass/Boothbay, 1MDB: Khazanah Nasional, Global Crown/Rani Jarkas/EFG/BSI/Optima/Max Fang. AG Barr 1MDB waivers: Kirkland also AQR. Broidy: Trump: 1MDB money laundering. PHUN also received Cares Act money. AND PHUN is Trump/Kushner/Parscale campaign mobile App. PHUN should have also been shut down long ago. AQR too. OTHER AQR blank check shells: CIS/Delta/Urban Tea, Ability/Cambridge, Hunter Maritime, and MI Acquisition/Priority Tech Holdings. Ability/Cambridge: Israeli cellular intercept/surveillance. Israel sent employees to jail. In the US it was "securities fraud". The SEC Ability/Cambridge complaint was handled by Ansu Banerjee in the SECLA office.

Milken/Mogilevich/BoNY money laundering entity Sinex: Debasish Banerjee. WHY did SECLA have jurisdiction over ABILF/Cambridge? Result: ABILF is very much up and running today. I believe this is the PHUN/Trump/Kushner/Parscale mobile app technology.

Hunter Maritime:HUNTF: Never consummated an acquisition. Just cert printing/dumping. Also involved: Milken family office: Silver Rock. MI/Priority:PRTH. CEO Tom Priore: well known fraudster to the SEC. Also transaction/money laundering like NETE. Also involved: Hanover/Magna.

ALL AQR money laundering shells up and running today thanks to the SEC. Only recently did the SEC revoke CGFIA and NewLead. well after going dark and the massive fraud on the public had already been perpetrated. In NewLead, FreeSeas, etc etc etc a common tool used is reverse splits to perpetuate and facilitate illegal activity. SEC/FINRA approved. The result is the massive accounting fraud at NITE. WHEN not IF there is an open naked short fail when a rev split takes place, a new CUSIP/security is issued. Trades in the old cusip/security cease. This creates a structural liability. The fail/short can NOT be closed. Like covering a short in AAPL with MSFT. Because NITE is self clearing it books a prop naked short as a receivable. An asset. But, because NITE won't or CAN'T deliver, massive accounting fraud. Literally a liability booked as an asset. This is how "glitches" are born. But the SEC facilitated fraud doesn't end there. The definition of a failed trade: 1 that hasn't settled. The SEC/DTCC issue new securities where trades in the old haven't settled yet AND not authorized by the issuer. Settlement: buyer brings cash/seller brings securities. The DTCC simply makes journal entries. But there are still "IOU's" in the system. The SEC authorized the DTCC to create a shadow clear,non guaranteed, ILLEGAL (clearly contrary to 34' Act "prompt and accurate settlement) Obligation Warehouse so criminals like NITE et al can circumvent close out REQUIREMENTS of Rule 204. The OW is just what it sounds like. Per my Knight TCR, DTCC suspends services (Chill/Lock) and trades are deemed "ex clearing". In a FOIA request made with POGO,Berger and I asked the SEC fails data on dozens of NITE/UBSS top traded stocks like CGFIA,APCX and IMDS. The SEC response: see our website. The SEC fails data is for DTCC cleared trades only. The SEC knows exactly the level of fails sitting in the OW. They don't disclose. Intentionally misleading the public there is no naked shorting. In 1Q2020, the receivable at NITE/VIRT increased \$1.2 BILLION sequentially. Up almost 90%. AND the tangible book value is grossly insolvent. When it comes down to it, there really isn't ANYTHING in the receivable that NITE can convert into cash for its own use. There are prior commitments on those "assets": SETTLEMENT of transactions. Because the SEC has never shut down this activity, NITE is in a constant state of insolvency.

Other examples of SEC attempts to cover up NITE illegal activity so that it can continue include: Cerberus/Feinberg/VIRT bidding on NITE post "glitch". Wasn't their turn. First, Gen Atlantic needed to monetize its GETCO "investment". The HFT business at GETCO was in a death spiral when the rev merger took place. So what was the attraction to NITE? The business that had absolutely ZERO overlap/synergies: OTCM. As low tech as it gets. Literally a trader sitting in a chair. As I have asked the SEC on hundreds of occasions over the years: what would happen to NITE trading profits if their OTCM share volumes went to ZERO? Cerberus is Feinberg: Gruntal/Milken. Also bailed out Bawag:Refco, HSH, and Deutsche Bank (\$50 bil Bad Bank to Goldman). Another Milken/NITE connection is Rich Handler: Jefferies. Also a Milken/Drexel protege. Milken was Gruntal: Feinberg,SAC,Icahn, Sater etc. Gruntal was "sold" to Ladenburg. Controlled by Vector/NewValley:Icahn/Lorber/Elliman etc. And, was sold to multi billionaire Frost. Who, according to the SEC risked it all trying to "make" a few million when he, Honig, Stetson, Alpha et al were really LAUNDERING. Milken also Whiterock ,D H Blair (Morty Davis) and AR Baron (Bressman/D H Blair) which was the precursor to Bear Stearns collapse . So, Milken and his merry crew of flunkies are really at the nexus of JUNK. They own Trump and his White House (Trump casino junk) and they own the SEC. It was Milken, Leon Black, Handler, Moelis, Virtue: Drexel that caused the S&L taxpayer bailout stuffing them with junk like Trump's. It is no coincidence that these same flunkies are also the largest CLO originators/managers. CLO's: Junk on steroids. AGAIN Bailed out by taxpayers in Cares Act HY. There also connections to Epstein. Treasury Sec Mnuchin and Black: HY/Junk/S&L's and Epstein. Black: Money laundering shell ESWW kept up and running by the SEC was/is an Epstein money laundering vehicle: JUNK IS JUNK.

THIS EXPLAINS the Handler/Jefferies/Milken repeated bailouts of NITE. It also explains the SEC criminal obstruction.

SEC Chair Clayton is also directly linked to this criminal obstruction. His firm Sullivan Cromwell and Jared Fishman are ACTIVELY facilitating this massive fraud on the public. Clayton did not disclose these conflicts in his disclosures. Sull Crom/Fishman have advised Knight/KCG/VIRT and several transactions designed to facilitate this ongoing and ongoing fraud on the public. Many of the same players involved in the "glitch" were involved in the VIRT acquisition of KCG in July 2017. In addition to Sull Crom/Fishman and Handler/Jefferies: JPM and Goldman. The SEC facilitated fraud in the NITE/VIRT transaction is egregious illegal activity. The transaction NEVER should have happened. KCG was an SEC reporting company until the deal closed on July 31 2017. Despite this FACT, VIRT CEO Cifu refused to "publish" KCG 2Q2017 financials. I estimate Cifu/Coleman/Handler/GS/JPM wrote down more than \$4 billion in open naked short fails: "leverage". The SEC let him. Meaning: "assets" used to determine the take out/ tangible book of KCG was complete fraud. VIRT grossly OVER paid for insolvent KCG.

Prior to the NITE/VIRT transaction closing in July 2017, NITE would report its trading stats monthly. Including OTCM share volumes. Cifu stopped this post merger. The SEC let him. In fact, you will find NO reference to NITE/VIRT OTCM share volumes in any SEC reviewed filing, sell side research or investor presentation. A well orchestrated fraud on the public. Omissions to Intentionally mislead the public as to the true representation of the NITE/VIRT business model. These share volumes are also at the center of my 2013 Berger TCR. There are no affirmative disclosures in any SEC filings to this day as to the AML risks posed in trading these OTCM and other shells. In a 2014 letter to the SEC, I detailed the first 2 months of NITE OTCM share volumes. When the 1Q2014 10Q was filed, these volumes were confirmed: An ASTRONOMICAL increase sequentially as well as year over year. These share volumes/my letter/TCR SHOULD have triggered an immediate SEC investigation. It did not. This portion of the KCG 1Q2014 10Q was expunged as well as 2Q2014 OTCM share volumes. I have detailed this to the SEC/OWB/Enforcement/IG. In the months leading up to the NITE/VIRT closing in July 2017, KCG put out monthly trade stat pr's showing KCG trading more volume than the overall market. Also indicative of naked shorting. Those pr's were also expunged. I also including electronic forms to the SEC OWB/Enforcement/IG. The SEC has essentially outsourced the ENTIRE OTCM market to the Broker Dealer SRO FINRA. Including: management of the OTCM share volume website fka OtcBB.com. Today, there is very little transparency into trading activity by MM as a result. Also: ISSUER corporate actions: rev splits, Short interest reporting: an absolute farce given there is still no CAT. AND BD compliance with the BSA. Per my TCR: WHY did NITE and UBSS trade Billions of shares of CGFIA and IMDS AFTER a Chill or Lock was placed (ex clear/OW)? CLEAR AML red flags. Because they had an open naked short position. Why not pull a market? Because they had an open naked short position. SAR's? WHEN? BEFORE OR AFTER THEY TRADED BILLIONS OF SHARES? There were no SAR's either. NITE can not outsource its compliance responsibilities to 3rd parties (like OpCo) when executing trades as MM. In 2015 at a SIFMA conference, Ceresney was "shocked" by the number of BD's under his supervision filing 1 or ZERO SAR's. NITE SHOULD have been investigated for egregious BSA violations long ago based on my TCR. Knight/KCG/VIRT:NITE is and always has been a criminal enterprise. Spitzer Russian/US mob bust: "worthless paper". Ashton Tech became VIE became Optimark became Knight/Trimark NITE literally "made by the mob". The SEC has known this for years. ALL of the "worthless paper" shells were SEC reporting companies. Today, Trump PA Campaign Mgr David Urban sits on the NITE BoD. AND is also on the BoD of his very own money laundering shell: Canadian/Pakastani/pot/COVID: FSD Parma: HUGE. Trump advisers/campaign staff Bannon and Parscale also involved in OTCM money laundering shells.Parscale Cloudcommerce fka Roaming Messenger also receiving taxpayer Cares Act money.

Madoff: more money laundering than Ponzi. HOW THE HELL did the SEC let that scam go on for as long as it did? Criminal obstruction. The former SEC IG Kotz actually investigated his "bosses" at the SEC unlike current IG Hoecker. Years of SEC obstruction. Bullshit "investigations" into "running ahead" meant to distract. Similar to the SEC "glitch" "market access complaint" where former SEC "glitch" Enforcement Dir Khuzami/Kirkland(Barr) also rep'd NITE. Can't make this up. The center of IG Kotz scathing failure of the SEC in Madoff: SEC NY and Mr John McCarthy who ended up being Knight/KCG Chief Counsel. As I said: can't make this up. And, as we know Madoff started his career in NASDAQ penny stocks exactly like the 1's in the Spitzer/Mob complaint.

OTCM: This is WHY the OTCM exists: abusive naked shorting publicly traded shells to facilitate money laundering. CEO Cromwell Coulson CHAIRED the FINRA market Regulation Cmte. Say it with me: Can't make this shit up: CMTSU. A founding OTCM Board member is former NITE trader Andrew Wimpfheimer:CMTSU. This is a very well orchestrated and ongoing fraud on the public. Russian mirror trades: no SEC OR DOJ investigation HOW? According to stories: activity peaked in 1H2014. Coinciding with NITE astronomical OTCM 1Q2014 share volume increase. In addition to money laundering penny stock shells, the OTCM is also home to many ADR's. Including Russian ADR's cited in the NYDFS/DBTCA/mirror trade complaint. Little/no disclosures. Also in my TCR: P&D is just a tool used to facilitate the fraud and NOT a stand alone fraud. The SEC intentionally stops short of thorough investigations into much bigger frauds. The same way it has the public believe the "penny stock trading fairies" convert worthless certs to real money. NO! willing executing BD's and MM's like NITE do that. Less than a year after filing my Knight TCR with Berger, FINRA (not the SEC) brought the BBH AML complaint. This was my information. Swiss banks, foreign/domestic institutions, executing BD's/MM's/ penny stock shells: \$850 mil in proceeds. Did BBH implicate NITE and other entities in my claims? WHY are all of the entities in the complaint UN NAMED? In the interest of transparency for the investing public? In 2019, I also filed an award application for the UBS x border/AML complaint. This is BLATANTLY my information. SEC/FINRA/ AND the SEC. I filed an IRS TCR based on my SEC TCR attached. In April 2016, 2 IRS CI Agents: VIKAS Arora and Nathan Sarnacki flew to Denver from Chicago to meet with me. I believe they were blown away. Then came the UBS complaint. As a follow up to our meeting, they wanted to know WHO at the SEC I shared my information with. I told them. That was the last I heard from them although I continued to send them my information.

To the SEC IG Carl Hoecker: In 2015 I parted ways with Berger as I was convinced the SEC was using my information in an unethical/illegal manner to both bring and obstruct complaints. Berger was not willing to file an IG complaint. After parting ways, I almost immediately did just that. Prior to retaining Berger I had filed an award application for the UBS Reg Sho complaint. In my submission and my correspondence with McKessy/OWB I made the claim based on OWB permissible rules to "open a new line of inquiry". One that would link the trading activity detailed in my ultimate TCR by NITE and UBSS. That link: Abusive naked shorting publicly traded shells and money laundering. My application was denied and there was no investigation into this link. The SEC had just bailed out a "known criminal enterprise":NITE "glitch" was not a forthcoming admission. Neither was the blatantly and knowingly false pretext for the DOJ dropping its UBSS x border DPA because "UBSS was in full compliance" in 2010. So, rather than open a new line of inquiry, the SEC chose to obstruct.

I made clear to Hoecker the egregious conflicts by Khuzami,White and Ceresney with clients UBS,JPM,CS, and DB. Hoecker claims to have conducted a "thorough" investigation of my very serious allegations and found nothing. Despite MJW waivers received to "investigate" her Swiss bank client CS. Then in 2019, Hoecker arrogantly told me I could file a FOIA request on his findings. Then, came 2019 and absolutely nothing had changed. NITE was still trading billions of shares of OTCM shells like ELTZ. There were still no risk disclosures. Cifu refused to publish KCG 2Q2017 financials, Hanover/Magna/AQR/Alpha/IMDS etc etc etc were still up and running . I filed ANOTHER complaint with IG Hoecker. Despite the fact that Hoecker himself wrote the IG handbook on "thorough investigations" mandating complainant interviews, I have never been interviewed by Hoecker. In addition, the IG Hoecker is mandated to inform Congress as to serious allegations like mine. He did not. In doing so, obstructed Congress from executing its oversight of the SEC/OWB. And despite hundreds of offers to fly to SEC HQ to have the best and brightest at the SEC rip apart my allegations 1 by 1 I have never been taken up on my offer. Why is that? The SEC OWB has gone to great lengths in other cases to explain the OWB process etc to whistleblowers. I have never been told "no thanks" for my information. In fact, McKessy has solicited MORE information from me after submitting my Berger TCR. In Madoff, an intern could have verified/shut down in weeks NOT years. No contra parties. Only a well orchestrated obstruction by SECNY/McCarthy et al kept it up and running. As I have also repeatedly told the SEC: My claims could be verified in weeks also. NITE has a P&L for every stock they trade. These, aggregated, are basis for quarterly trading profits. These P&L's, combined with OW data, and balance sheet data will validate ALL of my claims. I've offered my service to do exactly that. 2 weeks max. Afterall, proprietary trading strategies are NOT proprietary if they're

illegal. For the reasons I have listed in this summary, NITE/VIRT is on the SEC "do not investigate list". And yes, there most definitely is such a thing. Especially when it comes to illegal activity facilitated by the SEC. So, the SEC denial of my OpCo award claim which was 5 years in the making is just another example of my very serious allegations: The SEC solicits and uses whistleblower information like mine to both bring and obstruct complaints. Unethical. Illegal. To deny my award application because the "investigators" didn't see my information is further affirmation of my allegations. They saw it. They used it. They denied my compensation for it. Again Ms Norberg, I will forward my 2012 etc emails with Robin Traxler at FINRA as well as McKessy as further evidence that my Award application denial should be overturned. Further affirmation from 2 dissenting SEC Commissioners and the judge in the Gibraltar case makes this denial both egregious and bizarre. Bizarre ONLY if you believe that there is no SEC obstruction that is. BTW, crazy stuff going on with the firing of Mr Berman/Clayton nomination to take his place/Rabbitt to DoJ/Carpenito replacing [REDACTED]/Trump/Barr don't you think? The SEC needs some fixers. Wonder why. I'm cc'ing some of our mutual friends on this email Jane. The last overt act of this massive ongoing, SEC facilitated conspiracy has not occurred yet.

Cheers!
Christopher J Dilorio
Whistleblower
[REDACTED]

From: Chris Dilorio <[REDACTED]>
Sent: Wednesday, June 10, 2020 2:30 PM
To: [REDACTED]
Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

Mr Roach,
The SEC is irrefutably using my information in unethical and illegal manner. My information is being used to BOTH Bring complaints AND obstruct/protect investigations into entities detailed in my various TCR's. Denying me rightful compensation. This is the latest example.....
Chris

From: Chris Dilorio <[REDACTED]>
Sent: Monday, May 18, 2020 10:36 AM

[REDACTED]

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

As straightforward as it gets:
The SEC OWB dragged its feet for 5 years in issuing its preliminary denial notice.
The SEC knows this is my information. The SEC committed fraud on the court in Gibraltar. The judge corrected them. The SEC was omitting information that implicated NITE, UBSS and customers like Sason/Hanover/Magna. The SEC was obstructing a thorough investigation of my claims. The naked shorting cited in the CGFIA 10Q in 2013 PROVES my allegations. The SEC's "targeted investigation" stops short of a full accounting. The SEC

Gibraltar complaint does NOT explain the totality of the Oppenheimer complaint. The SEC Gibraltar complaint cites 1 OTCM shell and less than 1 million shares traded by Opco. 2 dissenting Opco waiver SEC Commissioners proved that also citing "BILLIONS" of shares in their dissent. The SEC/Opco AML complaint was based on the FINRA complaint and my information. The SEC OWB concocted a completely fabricated reason for denying my Award: "The SEC investigators involved never saw claimants information". The responsibility to distribute Whistleblower information within the SEC is the exclusive and explicit responsibility of the OWB. As a result, the massive fraud taking place continued well into 2020. The 1Q2020 10Q proves this.

The SEC IG Hoecker is guilty of violating specific IG requirements in keeping Congress informed of serious matters like mine. The SEC IG Hoecker has never interviewed me despite my filing 2 separate complaints with his office. The SEC IG Hoecker is guilty of criminal obstruction. SEC Chair Clayton and Co Enforcement Peikin worked at Sullivan Cromwell with Jared Fishman. Fishman has played a key role in the SEC facilitated criminal obstruction. Peikin and Clayton should have recused themselves from ANY pending NITE/VIRT matter before the SEC: My information. Clayton and Peikin should have recused themselves from the SEC facilitated KCG/VIRT merger. My information, including the Opco AML complaint SHOULD have stopped the merger from ever happening. 2 former SEC Commissioners agree with that analysis. The SEC is actively facilitating a massive ,ongoing fraud on the American people they are mandated to protect. NITE/VIRT is a criminal entity. The SEC MUST invoke emergency powers and halt trading in VIRT IMMEDIATELY.

In short Mr Arp, the criminal activity actively perpetrated by the SEC OWB/IG must be referred to law enforcement as well as Congress. Separate but related: SEC facilitated criminal activity and my claims. The criminality is a matter for law enforcement. My pending matters with the SEC have no bearing on a criminal investigation OR a GAO investigation.

You are incorrect in your analysis.

I Urge the IG Integrity Board to have SEC IG Hoecker refute my claims point by point.

I will be on a plane tomorrow so he can do it in person.

Cheers!

Christopher J Dilorio

Whistleblower

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, May 12, 2020 8:54 AM

To: [REDACTED] <[REDACTED]>

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

Almost immediately I filed a formal appeal to the SEC OWB fabricated denial of my award application. In this appeal I show irrefutable proof of my allegations: The SEC OWB used/ is using my information to both bring complaints AND obstruct complaints while denying me compensation. In short: My information exposes an ongoing, massive in scope, SEC facilitated fraud on the American people. Rather than shut it down, the SEC has chosen to cover up so that the illegal activity can continue. It does in 2020

Chris

From: Chris Dilorio <[REDACTED]>

Sent: Monday, May 11, 2020 7:16 PM

To: [REDACTED]

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

From: Chris Dilorio <[REDACTED]>

Sent: Wednesday, April 29, 2020 8:03 AM

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

The SMOKING GUN in my allegations:

Naked shorting in CGFIA (My TCR/FINRA complaint) by "un named third party BD" in 2013. Well known to the SEC. This is why there was no investigation into the ENTIRETY of the FINRA trading activity. The SEC issued waivers to Opco within days of its AML complaint. WHO was the SEC protecting? WHO were the customers and executing BD's/MM's in the Opco complaint? ALSO well known to the SEC:

MY INFORMATION. 5 years to get a preliminary denial: statute of limitations. BUT the last overt act of this ongoing conspiracy has not yet occurred.

Chris

From: Chris Dilorio <[REDACTED]>

Sent: Wednesday, April 29, 2020 7:56 AM

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

Still more evidence of a well orchestrated scheme to cover up and obstruct a FULL SEC investigation into Opco/Gibraltar/NITE/UBSS trading activity in billions of shares of OTCM money laundering shells. The SEC used my information to bring AND obstruct complaints.

The 2 SEC Commissioners dissent in granting Oppenheimer waivers after this egregious activity

<https://www.sec.gov/news/statement/dissenting-statement-oppenheimer-inc.html>

SEC.gov | Dissenting Statement In the Matter of Oppenheimer & Co., Inc.

Dissenting Statement In the Matter of Oppenheimer & Co., Inc., by Commissioner Luis A. Aguilar and Commissioner Kara M. Stein, February 4, 2015

www.sec.gov

In fact, the SEC waivers came within days of their complaint. Here, these 2 Commissioners cite Oppenheimer trading "BILLIONS of shares of penny stocks". Clearly, they were not JUST referencing the SEC Gibraltar complaint. WHO was the SEC protecting with its complaint then waivers?

EFTA00067227

The smoking gun which I have provided to the SEC on several e mails:

Which came in an SEC reviewed CGFIA 10Q

https://www.sec.gov/Archives/edgar/data/1344394/000135448814000425/cgfi_10q.htm

cgfi_10q.htm - SEC

Indicate by check mark whether the registrant (1) has filed all reports required to be filed by Section 13 or 15(d) of the Securities Exchange Act of 1934 during the preceding 12 months (or for such shorter period that the registrant was required to file such reports), and (2) has been subject to such filing requirements for the past 90 days.

www.sec.gov

pg 27

"Our stock is subject to a "Global Lock" imposed by the Depository Trust and Clearing Corporation (DTCC)"

"On September 24, 2013, we were notified that the DTCC would be placing a 'Global Lock' on the Company's Class A stock as a result of actions by a third-party broker dealer. On November 11 2013, DTCC imposed the "Global Lock". Since less than 0.02% of the Company's Class A common stock shares were held within DTCC, Management chose to not undertake the expense of challenging the Global Lock. Nevertheless, shares that are held in street name (CEDE & CO), will not be able to be withdrawn from DTCC without further action."

Of Course, I have hard copies if you prefer.

ex clearing: The illegal SEC/DTCC Obligation Warehouse.

This is CLEAR, IREFUTABLE, INCONTROVERTIBLE evidence of naked shorting by executing BD's in CGFIA. This activity took place per my Knight/UBSS TCR submitted to the SEC. So, WHY did the SEC obstruct an investigation into the ENTIRETY of the trading activity in the FINRA (and FINCEN) complaints? WHO were the executing BD's/MM's? WHO were the customers?

The veracity of my information is also irrefutable and incontrovertible.

Game. Set. Match. The SEC is a grossly corrupt, criminal enterprise facilitating illegal activity detailed by me so that this activity can continue. It does in 2020. The SEC solicits then uses Whistleblower information (MINE) to bring complaints AND obstruct other illegal activity while denying proper compensation to whistleblowers (ME). The SEC KNEW who the "third party BD" was in the CGFIA filing long before it filed its Opco complaint in 2015. It had my TCR in its possession in March 2013. So why did it take 5 years for the SEC to issue its preliminary denial? I would remind the SEC that this is very much an ONGOING conspiracy on the part of the SEC et al. IN FURTHERANCE OF THE CONSPIRACY.....

Cheers!

Christopher J Dilorio

Whistleblower

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, April 28, 2020 7:24 AM

[REDACTED] >;

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

Per my extensive SEC TCR's: Josh Sason/Emanuel/Abitebol/Hanover/Magna extensive overlap with NITE/VIRT (and AQR) money laundering shells.

The SEC Sason/Magna/NewLead Feb 2019 complaint: also my information

<https://www.sec.gov/litigation/complaints/2019/comp24403.pdf>

Marc P. Berger SECURITIES AND EXCHANGE COMMISSION Brookfield Place
200 Vesey Street, Suite 400 New York, NY 10281-1022 SOUTHERN
DISTRICT OF NEW YORK JOSHUA SASON, MARC MANUEL,

3 5. In addition, Pallas acted as an underwriter for a primary offering of NewLead stock, which NewLead attempted to disguise as an asset sale transaction.

www.sec.gov

https://www.sec.gov/Archives/edgar/data/1322587/000114420413065095/v361773_sc13g.htm

www.sec.gov

(i) Sole power to vote or to direct the vote . The information required by Item 4(c)(i) is set forth in Row 5 of the cover page for each Reporting Person hereto and is incorporated by reference for each such Reporting Person.

www.sec.gov

MG Partners Ltd: Abitebol

But not in the complaint: MAGNA GIBRALTAR INVESTMENTS LLC: also Abitebol

As with Opco/GIBRALTAR, who is the SEC protecting?

AND, per my extensive correspondence with the SEC re my TCR's: The SEC is ALSO grossly under estimating the criminal activity in NITE/Magna/NewLead

SEC: Criminals bailing out/actively facilitating criminals/criminal activity.

soliciting/using whistleblower information in unethical/illegal manner to bring complaints/obstruct complaints/deny whistleblower rightful compensation.

Cheers!

Christopher J Dilorio

Whistleblower
[REDACTED]

From: Chris Dilorio <[REDACTED]>

Sent: Tuesday, April 28, 2020 6:43 AM

EFTA00067229

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

More evidence of SEC fraud on the court in Gibraltar.

It is CLEAR that the Opco AML Covered Action 2015-016 was NOT ENTIRELY based on the SEC Gibraltar Action. The SEC Gibraltar action covered trading activity in just 1 OTCM Money laundering shell: Magnum d'Or where Opco traded less than 1 million shares. CLEARLY the SEC Opco complaint was based on the trading activity in the FINRA Opco AML complaint: my information. However, the SEC Opco complaint even stops short of a thorough investigation of the ENTIRETY of the FINRA trading activity. WHY? WHY didn't the SEC Opco/Gibraltar complaint go into trading activity in the FINRA AML OTCM shells through 2014 as FINCEN did? WHY did the SEC omit MATERIAL information to the court in Gibraltar causing a "significant under estimating" of criminal activity? The SEC knows who the accounts were. The SEC knows who the executing BD's/MM's were. The SEC committed a fraud on the court in Gibraltar.

Gibraltar was ROLLING OUT NEW OTCM services into the end of 2011.

<https://www.pr.com/press-release/355246>

Gibraltar Global Securities Now Offering Offshore Brokerage Accounts - PR.com

Nassau, Bahamas, The, September 22, 2011 --()-- Gibraltar Global Securities is now offering offshore brokerage accounts in addition to their broad array of financial services.Gibraltar Global ...

www.pr.com

<https://www.pr.com/press-release/355247>

GGSI Bahamas is Now Offering Pink Sheet Clearance

Offshore Broker Adds to Buying and Selling Services

www.pr.com

<https://www.pr.com/press-release/369649>

GGSI Bahamas Provides State-of-the-Art Security for OTC PINK Transactions and Communication

GGSI (Gibraltar Global Securities Inc.) has just announced the release of their latest security measures designed to protect their client's personal data, and to secure electronic communication.

www.pr.com

The SEC KNEW the Gibraltar/Opco trading activity went well beyond 2011 YET cut off its investigation at "well into 2010". Thus, KNOWINGLY omitting material information in Gibraltar: FRAUD ON THE COURT.

Confirming my allegations of SEC criminal activity in handling my information. WHY? to protect NITE and UBSS.
2 criminal entities bailed out by the SEC.

Now, the SEC is using the completely fabricated reason for denying my award claim for covered action 2015-016: "The investigators never saw the claimants information".

WHEN the explicit and exclusive responsibility to distribute whistleblower information within the SEC falls on the OWB itself.

More criminal activity.

Criminals bailing out criminals while denying Whistleblowers due process and compensation.

Cheers!

Christopher J Dilorio

[REDACTED]
Whistleblower

From: Chris Dilorio <[REDACTED]>

Sent: Sunday, April 26, 2020 9:36 AM

To: [REDACTED]

Subject: Fw: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

From: Chris Dilorio <[REDACTED]>

Sent: Friday, April 24, 2020 8:18 AM

[REDACTED] >; [REDACTED] <[REDACTED]>;
[REDACTED] <[REDACTED]>; [REDACTED]

Subject: Formal appeal for preliminary denial covered action 2015-016/ Knight Capital TCR & Appendix

I am in receipt of the SEC preliminary denial of my award claim for the Oppenheimer AML covered action 2015-016

This is my formal appeal of the SEC preliminary determination.

My award application was based on this very simple FACT:

The SEC (and FINCEN) Oppenheimer AML actions were based on the FINRA Oppenheimer AML action

FINRA

https://www.finra.org/sites/default/files/fda_documents/2009018668801_FDA_KMX39652.pdf

of - FINRA

which is FINRA a party, to the entry of findings and violations consistent with the allegations of the (as Complaint sanctions amended and by the Offer of Settlement), to the imposition of the set forth and below, understands fully that this Order will become part of Respondent's permanent disciplinary and record may any be considered in future actions brought by FINRA. BACKGROUND ...

www.finra.org

The SEC

<https://www.sec.gov/litigation/admin/2015/33-9711.pdf>

Before the SECURITIES AND EXCHANGE COMMISSION

Before the . SECURITIES AND EXCHANGE COMMISSION . SECURITIES ACT OF 1933 . Release No. 9711 / January 27, 2015 . SECURITIES EXCHANGE ACT OF 1934 . Release No. 74141 / January 27, 2015 . ACCOUNTING AND AUDITING ENFORCEMENT . Release No. 3621 / January 27, 2015 . ADMINISTRATIVE PROCEEDING . File No. 3 -16361 . In the Matter of

www.sec.gov

FINCEN

<https://www.fincen.gov/news/news-releases/fincen-fines-oppenheimer-co-inc-20-million-continued-anti-money-laundering>

FinCEN Fines Oppenheimer & Co. Inc. \$20 Million for Continued Anti-Money Laundering Shortfalls | FinCEN.gov

Washington, D.C. – The Financial Crimes Enforcement Network (FinCEN), working closely with the U.S. Securities and Exchange Commission (SEC), assessed a \$20 million civil money penalty today against Oppenheimer & Co., Inc., for willfully violating the Bank Secrecy Act (BSA). Oppenheimer, a securities broker-dealer in New York, admitted that it failed to establish and implement an adequate ...

www.fincen.gov

In the summer of 2012, I had extensive correspondence with Robin Traxler at FINRA where I also cc'd Sean McKessy then SEC OWB Chief. The CURRENT OWB Chief and the SEC IG are in possession of this correspondence. My correspondence dealt with 2 penny stock shells cited in my Knight Capital TCR submitted by Berger Montague in March 2013 attached here: Colorado Goldfields and AppTech. Both shells were NITE and UBSS top traded OTCM shells in 2010-2013. These 2 shells were cited by FINRA in their Oppenheimer AML complaint. Again, the SEC and FINCEN Oppenheimer AML complaints were based on this FINRA complaint. In fact, per the FINRA Opco complaint above, customer "TC" was dumping worthless AppTech (APCX) certificates well into mid 2010. DIRECTLY overlapping with the NITE/UBSS APCX trading activity cited in my Berger 2013 TCR attached and discussed by me with Robin Traxler at FINRA. HOW is it possible that the SEC OWB didn't share my information with SEC investigators? Current SEC OWB Chief Norberg was previously an assistant to then OWB Chief McKessy.

WHO ultimately executed the trades cited in the FINRA Opco complaint?

Further, the SEC Gibraltar Securities complaint raises more questions than answers as well.

<https://www.sec.gov/litigation/complaints/2013/comp22683.pdf>

UNITED STATES DISTRICT COURT SOUTHERN DISTRICT OF NEW YORK
SECURITIES AND EXCHANGE COMMISSION, 13 Civ. 6718 (GJR) GLOBAL
SECURITIES, COMPLAINT NATURE OF THE ACTION - SEC.gov

12. David Della Sciucca, Jr., age 27, is a resident of Fort Lauderdale, Florida. In the Magnum d'Or complaint, the Commission charged Della Sciucca with acting as a nominee

www.sec.gov

The SEC Gibraltar Securities complaint references only 1 OTCM money laundering shell: Magnum d'Or. The complaint specifically states that Oppenheimer sold just 969,822 shares. Again, no mention of executing BD/MM.

The SEC Oppenheimer AML cites Gibraltar trading activity also.

The share amounts in the SEC complaint grossly under estimate that in the FINRA complaint. WHY?

The judge in the Gibraltar case said "the SEC's requested amount CLEARLY UNDERESTIMATES the defendants ill-gotten gains...."

<http://www.tribune242.com/news/2016/jan/13/bahamian-broker-25m-sanction/>

Bahamian broker in \$25m sanction | The Tribune

A former Bahamian broker/dealer and its principal have been hit with a combined \$24.484 million in financial sanctions by a US court, which found that their "ill gotten gains" were likely ...

www.tribune242.com

WHY didn't the SEC go after ALL of the sellers in the FINRA Opco AML complaint? WHY did the SEC "strip out" \$46 million from the Gibraltar ill gotten gains claiming the customers were "UNKNOWN"? WHO is the SEC protecting? WHO were the executing BD's/MM's in the FINRA Opco CGFIA and APCX trades? They certainly know who the customers were. Is customer "JK" Justin Keener/JMJ also in my March 2013 TCR attached? While the SEC Opco AML was based on the FINRA Opco AML, it stopped short of a thorough investigation of NITE and UBSS. In fact, the trading activity of NITE/VIRT and UBSS in the FINRA complaint: my information SHOULD have triggered an immediate investigation of NITE and UBSS. It did not. Did the SEC commit fraud on the court in its OMISSION of material information?

The timing of the SEC's preliminary determination and the reasoning for the denial ALSO raises more questions than answers.

My Award application for the Oppenheimer AML SEC complaint was 5 years ago. That's FIVE years ago. So, WHY NOW am I so blessed by the SEC with a preliminary judgement?

The SEC basis for denying my Award claim for covered action 2015-016:

"Investigative staff responsible for the covered action NEVER RECEIVED ANY INFORMATION FROM THE CLAIMANT OR had any communication with the claimant"

Let's take this whopper in 2 parts:

First, the SEC OWB denied my Award application because The investigators in the complaint never received my information. Has the SEC OWB re written the investigative protocol in this denial? How am I or ANY whistleblower supposed to know WHO the investigators are in a particular case WHEN according to the SEC: ALL investigations are done in a confidential manner????

WHAT DOES THE SEC DO WITH WHISTLEBLOWER TIPS EXACTLY? Do they share whistleblower information with ENFORCEMENT as is mandated? HOW would ANY whistleblower know WHO to share information with at the

SEC? Isn't that the job of the SEC OWB?

Second, the fact that no one at the SEC contacted me DOES NOT mean the SEC didn't use my information. This is a completely bogus argument. It certainly would NOT be the first time the SEC used my information now would it Jane?

In fact, it is NOT the responsibility of the whistleblower to get his/her information to the right Enforcement personnel. That responsibility EXPLICITLY falls on the SEC OWB. So, is the SEC OWB admitting gross negligence in handling my information? After the monumental failure in the Madoff Ponzi/ money laundering SEC facilitated scam on the public the then SEC IG made specific recommendations to the SEC with regards to the proper handling/vetting of Tips and Complaints.

<https://www.sec.gov/files/468.pdf>

Review and Analysis of OCIE Examinations of Bernard L. Madoff Investment Securities, LLC

Review and Analysis of OCIE Examinations of Bernard L. Madoff Investment Securities, LLC Executive Summary Background. On June 25, 2009, the Securities and Exchange Commission's

www.sec.gov

AGAIN: The responsibility to properly vet Whistleblower information and get the information into the right hands at the SEC falls EXPLICITLY and EXCLUSIVELY with the SEC OWB itself and is NOT the responsibility of the whistleblower. Further, according to the previous SEC IG in the monumental Madoff failure: the responsibility to contact those supplying Tips and Complaints ALSO falls explicitly and exclusively with the SEC OWB and not the whistleblower. Using these excuses as the basis of denial of Award is completely contrary to SEC MANDATED protocols and procedures.

Is the SEC OWB admitting it doesn't comply with those recommendations? Recall: the monumental SEC Madoff failure was NOT the fault of Whistleblowers either. OR is the SEC OWB scrambling for a 5 years in the waiting preliminary determination?

So, after 5 years of waiting for a preliminary determination for my award claim, this is what the SEC best and brightest come up with?

My Denial of Award for covered action 2015-016 was completely made up on the fly.

The SEC OWB has applied completely fabricated "rules" to issue this denial. Further affirmation of ALL of my allegations.

Also by SEC admission, the SEC allowed these 2 penny stock shells to remain a clear and present risk to the investing public. Were CGFIA and APCX ONLY money laundering shells for Oppenheimer in 2008-2010 and then suddenly they were no longer money laundering shells when NITE and UBSS traded billions of shares of both shells 2010-2013?

WHY did it take until September 2018 before the SEC finally revoked the CGFIA registration?

<https://www.sec.gov/cgi-bin/browse-edgar?company=Garpa&owner=exclude&action=getcompany>

So, WHY was there no SEC investigation of NITE and UBSS trading activity in money laundering shells APCX and CGFIA? The SEC et al facilitated NITE "glitch" took place in August 2012. This SEC/Jefferies/JPM/BX/GS/SEC Chair Clayton Sullivan Cromwell colleague Jared Fishman et al bailout coincides directly with NITE trading activity in 2 SEC/FINRA/FINCEN acknowledged money laundering shells. AND the "bailout" penny stock esque reverse merger between Getco and Knight didn't close until July 2013. HOW could the SEC conduct a COMPLETE and thorough investigation into the FINRA Opco AML complaint WITHOUT implicating NITE when NITE was CLEARLY trading billions of shares of OTCM money laundering shells BEFORE and coinciding with the SEC et al facilitated

"glitch" bailout? For UBSS, the DOJ dropped its cross border AML DPA complaint in 2010. UBSS was trading money laundering shells well after the DOJ claimed UBSS was in compliance with the cross border DPA. To be clear: BOTH NITE and UBSS knew CGFIA and APCX were money laundering shells when they traded billions of shares of each 2010-2013. Is that FACT disputed by the SEC? The SEC OBSTRUCTED a thorough investigation into the ENTIRETY of trading activity of NITE and UBSS in CGFIA and APCX: MY CLAIMS. Josh Sason/Hanover/ Magna knew CGFIA was a money laundering shell also

<https://www.sec.gov/Archives/edgar/data/1344394/000114420413041432/0001144204-13-041432-index.htm>

ALSO in my claims: Joshua Sason/Hanover Magna. CGFIA. Also my NewLead TCR1426518350699 and FreeSeas TCR1440274395191 separate but related TCR's where NITE was a top trader in both and BOTH TCR's were filed well in advance (years prior) to the Sason/Hanover/Magna February 2019 complaint. Here's one thing the SEC has been consistent about: The SEC ignores the role of executing BD's and MM's in these scams. WHY? Because NITE is the #1 OTCM shell trader. As far as the SEC is concerned Penny stock trading fairies convert worthless certificates into real money. NO! Executing BD's/MM's like NITE do. Did Oppenheimer sell this order flow to NITE? Who ultimately converted these worthless certificates to real money? As the number 1 OTCM money laundering shell trader it is statistically improbable the NITE has never been the focus of an SEC AML complaint. Per my TCR: what does the NITE Compliance Department do exactly? How many SAR's has NITE filed in the last 10 years? In a 2015 SIFMA speech then SEC Enforcement Director Ceresney was "SHOCKED" by the number of BD's filing 1 or ZERO SAR's. That was just 5 years ago. WHEN would NITE file a SAR related to the billions of shares of OTCM money laundering shells it trades like CGFIA and APCX: BEFORE or AFTER it trades those BILLIONS of shares? Does NITE pull markets and alert regulators OR continue to trade billions of shares of OTCM money laundering shells in the face of GLARING AML red flags? In fact, in December 2019 the top traded NITE/VIRT OTCM money laundering shell was ELTZ

<https://www.sec.gov/cgi-bin/browse-edgar?>

[action=getcompany&CIK=0001607281&owner=exclude&count=40&hidefilings=0](https://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001607281&owner=exclude&count=40&hidefilings=0)

The SEC knows the people/entities in ELTZ well

<https://www.sec.gov/litigation/admin/34-46993.htm>

Strata Coal Company and Terrence A. Tecco: Admin. Proc. Rel. No. 34-46993 / December 13, 2002

Strata Coal Company ("Strata" or "the company") is a non-reporting Nevada shell corporation based in Frisco, Texas. Strata's shares are quoted on the Pink Sheets under the symbol SCOC. Until September 2002, the company was known as WesPac Technologies, at which time it changed its name to Strata. 2. Tecco is the sole officer, director, and ...

www.sec.gov

<https://www.sec.gov/news/press-release/2019-16>

SEC.gov | SEC Charges Broker-Dealer and Transfer Agent in Microcap Shell Factory Fraud

The Securities and Exchange Commission today announced charges against a broker-dealer, a transfer agent, and three individuals for their roles in the creation of over a dozen undisclosed "blank check" companies from 2009 to 2014.

Doesn't the NITE/VIRT compliance Department have internet service in Jersey City? As a DIRECT result of the SEC obstructing a complete and thorough investigation into the ENTIRETY of trading activity in APCX and CGFIA, the top NITE/VIRT traded OTCM money laundering shell in December 2019 was AML red flags galore ELTZ. Illegal activity ACTIVELY facilitated by the SEC. The examples cited in this e mail are not exhaustive.

And, for it's part AppTech is up and running again/still

<https://www.sec.gov/cgi-bin/browse-edgar?company=Apptech&owner=exclude&action=getcompany>

Unfortunately, AppTech is still up and running as a direct result of the aforementioned SEC " CLEARLY under estimating" otherwise known as CLEARLY OBSTRUCTING.

In conclusion, The SEC solicits information from whistleblowers like me. The SEC uses whistleblower information to bring actions and then doesn't compensate whistleblowers for their information.

OR

The SEC uses whistleblower information to protect criminality perpetrated on the investing public so that this criminal activity can continue. BOTH are gross dereliction of the stated and MANDATED SEC Whistleblower statutes. To blame a whistleblower for the SEC's EXPLICIT and EXCLUSIVE responsibility to properly vet and distribute whistleblower information within the SEC as an excuse to deny Awards is also criminal activity. The SEC: criminals using whistleblower information to protect other criminals AND deny whistleblower rightful compensation for their information.

I appeal the SEC preliminary determination and wish to file ANOTHER complaint with the SEC IG.

Cheers!

Christopher J Dilorio

Janey,

how long have you been in possession of my Knight Capital TCR? Almost 7 years to the day. How many follow up e mails have I sent the SEC since then?

For 7 fucking years, the SEC has known about JMJ/Keener. I told them

<https://www.sec.gov/litigation/complaints/2020/comp-pr2020-72.pdf>

IN THE UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF FLORIDA SECURITIES AND EXCHANGE COMMISSION No. COMPLAINT SUMMARY - sec.gov

5. Justin W. Keener, age 45, resides in San Juan, Puerto Rico. During the Relevant Period, Keener was a resident of Miami Beach, Florida. Keener registered the name "JMJ Financial" as a fictitious name in Florida in 2008 and used it to conduct the business described

In February 2019, the SEC brought an action against Joshua Sason/NewLead
I told the SEC about Magna/ Sason ALSO in my 2013 TCR.

<https://www.sec.gov/litigation/litreleases/2019/lr24403.htm>

Joshua Sason, et al. (Release No. LR-24403; Feb. 15, 2019)

Washington, D.C., February 15, 2019 - The Securities and Exchange Commission today announced charges against four individuals and related businesses for their roles in two microcap frauds and unlawful securities offerings.

www.sec.gov

AND, I filed separate but related NewLead and FreeSeas TCR's in 2015

Then there's the UBS AML complaint.

ALSO my claims. For which I sent 10 (TEN) separate Award applications from a commercial fax machine in April/May 2019. AND I have YET to receive even a preliminary determination from the OWB/Norberg IG, I see your "investigation" into my very very serious accusations of Obstruction related to my information was thorough. In short, the SEC has and still is ripping me off.

Janey, be a hun and update my TCR's/Awards cited in this e mail.

And Ms Welshhans, a couple of questions for you:

1) Have you read the FINRA WTFC Keener complaint? Fictitious notes Ring a bell?

Same MO as Sason/Magna/NewLead/FreeSeas etc etc etc

2) WHO executed the Keener OTCM trades in your complaint? Penny stock trading fairies?

YES, NITE was a top trader in BOTH FreeSeas and NewLead

The core business at NITE/VIRT is and ALWAYS has been: abusive naked shorting OTCM (and other) shells to facilitate money laundering.

In short Ms Welshhans, NITE/VIRT converts these worthless certs into real money. NONE of JMJ/Sason/IBC/Ironridge/Asher etc etc etc activity takes place without a willing, corrupt, criminal, executing BD/MM like NITE/VIRT, CDEL etc

Finally, The Keener SEC complaint is FURTHER evidence that FINRA has NO business enforcing US securities LAWS. When FINRA "invited" Keener to a disciplinary hearing almost 7 years ago, Keener told them to "fuck off". FINRA bar meant nothing the last 7 years. EXCEPT JMJ/Keener/NITE ripping off more investors.

Obviously the SEC has/is using my information. I expect to be compensated.

Cheers!

Christopher Dilorio

Whistleblower
[REDACTED]

Mr Peirce,

Congratulations on your nomination as SEC Commissioner. I have read your paper on FINRA lack of accountability. I believe the SEC has abdicated its responsibility to enforce Broker Dealer compliance with the BSA to FINRA BECAUSE it is not accountable. The SEC has not initiated a single stand alone AML complaint.

The Brown Brothers Harriman AML complaint IS my claim. ALL of the entities in the complaint are un named WHY? My SEC and IRS Whistleblower complaints explain why.

Hello, My name is Chris DiIorio. I have filed extensive SEC and IRS Whistleblower complaints alleging a direct link between penny stock money laundering, domestic and foreign entities, Swiss Banks, and executing brokers like KCG and UBS. I can provide overwhelming evidence of SEC obstruction. Please read the FINRA Brown Brothers Harriman AML complaint. This is my claim. All of the entities in the complaint are un named. Why? The SEC is not only obstructing an investigation, they are aiding and abetting the activity. These are not far flung theories. The UBS Whistleblower Birkenfeld and his attorney sent 52,000 accounts to the SEC and DOJ. The DOJ at the influence of President Obama and Hillary Clinton entered into the UBS DPA based on just 4400. What is so egregious is the activity continues unabated today.

Start with the so called August 2012 Knight/KCG trading "glitch". Initial reports say the NYSE was breaking the trades. WHY did they stop. Former KCG CEO Joyce said he had a very frank discussion with then SEC Chair Schapiro where the SEC wanted to send a very strong message to market participants. Why not just continue to break the trades and hit KCG with a hefty fine? That would not create the conditions to grant KCG exception after exception to do their emergency funding which transferred 74% of the company to "glitch" funding participants and ultimate reverse merger partner GETCO. AND, despite claiming to having a "highly liquid balance sheet" KCG had to raise the entire amount of the loss.

A very significant and public event was cited in a WSJ article where immediately following the "glitch" KCG inadvertently sent 4000 worthless securities to JPM in an attempt to secure a tri party financing where JPM guaranteed the loan. This is discussed in my attached TCR's and also the topic in a March 2014 letter I sent to the SEC. In the end, the emergency funding was NOT collateral based. The participants knew exactly what a fraud the KCG balance sheet was. After the stock was decimated to \$3, the deal was a convertible with a conversion price at a 50% discount or \$1.50/ share.

There is much more, but this is a good start.

Recently, KCG did a modified Dutch auction where they "sold" an asset (HotSpot) to an entity both KCG and GETCO were a major shareholder (BATS) KCG CEO Coleman called it a "highly competitive process". Virtually all of the proceeds went to buy back stock from "glitch" financing participants. The purchase price was \$14/share. The stock had never traded there and hasn't since. Reports say 82 million shares were tendered at or BELOW \$14. But they chose to repurchase 23 million shares AT \$14????? I have overwhelming evidence that supports my allegations that the SEC is engaging in criminal obstruction to protect KCG.

1) Current KCG Dan Coleman ran Equities at UBS during the massive REG Sho violations as well as the cross border activity detailed by Whistleblower Birkenfeld. White and Ceresney represented UBS prior to joining the SEC

2) At June 30 2011 KCG/Knight reported just 105 million in working capital with hundreds of millions in worthless securities sitting on its balance sheet. KCG was insolvent

3) The SEC orchestrated the emergency funding for KCG following the so called Aug 2012 trading "glitch"

4) Read FINRA AML complaints against Brown Brothers Harriman. This is my claim. It links penny stock money laundering to executing brokers like KCG, domestic and foreign entities, and Swiss banks. ALL of the entities in the complaint are un named. WHY?

5) The FINRA World Trade Financial AML complaint discusses several entities cited in my claims. The customer the complaint focuses on is Justin Keener. Still very much in business. The red flags cited by FINRA were cited in my claims as well. Yet still no investigation.

6) in July 2015 I contacted Kevin Goodman Dir OCIE for Broker Deals at the SEC. He had never seen my information. The IG OCIE Madoff report mandated the OCIE to vet information. McKessy and Ceresney never sent my info to him

7) I'm sure you are familiar with the Manning v Merrill, KCG, UBS et al litigation. The SEC does not want an investigation into my claims while the litigation is pending.

8) My claims detail ex clearing trading activity by KCG and UBS. despite the glaring red flags in doing so. Ex clearing s the Obligation Warehouse. A NON GUARANTEED SERVICE set up by the SEC and DTCC to allow firms like KCG to circumvent close out requirements of Rule 204. Clearly contrary to the intent of the SEC

authorization in Sec 17a of the 1934 Act to create a system of prompt and timely settlement and to remove impediments there of.

In short, I told the SEC KCG was insolvent in 2011. Rather than investigate and prosecute, they chose to obstruct. The activity in my TCR's pre dates the "glitch". An investigation would show the SEC bailed out a criminal enterprise. Because of the obstruction, the activity continues today unabated in stocks like STBV,VELA,NEWL,FREE, and dozens more. The investing public remains at risk

More to come
Chris Dilorio
