

INSIDER TRADING DEFENDANTS SINCE AUGUST 2009

CASES CHARGED SINCE AUGUST 2009

	DEFENDANT	CHARGED	STATUS
1	Lee, Richard C.B.	10/13/2009	Pled 10/13/2009
2	Chiesi, Danielle	10/15/2009	Sentenced 7/20/2011 to 30 months in prison
3	Goel, Rajiv	10/15/2009	Sentenced 9/24/2012 to 2 years of probation
4	Kumar, Anil	10/15/2009	Sentenced 7/19/2012 to 2 years of probation
5	Kurland, Mark	10/15/2009	Sentenced 5/21/2010 to 27 months in prison
6	Moffat, Robert	10/15/2009	Sentenced 9/13/2010 to 6 months in prison
7	Rajaratnam, Raj	10/15/2009	Sentenced 10/13/2011 to 132 months in prison; 2255 habeas petition filed 6/16/2015
8	Far, Ali	10/19/2009	Sentenced 2/11/2013 to 1 year of probation
9	Khan, Roomy	10/19/2009	Sentenced 1/31/2013 to 1 year in prison
10	Fortuna, Steve	10/20/2009	Sentenced 2/13/2013 to 2 years of probation, including 6 months on home confinement and 120 hours of community service
11	Shankar, Gautham	10/20/2009	Sentenced 4/18/2012 to 3 years of probation, including 6 months' home confinement
12	Grmovsek, Stanko	10/27/2009	Sentenced 1/21/2010 to time served
13	Tudor, Franz	10/29/2009	Sentenced 6/4/2012 to 3 years of probation
14	Cutillo, Arthur	11/4/2009	Sentenced 6/30/2011 to 30 months in prison
15	Drimal, Craig	11/4/2009	Sentenced 8/31/2011 to 66 months in prison
16	Goffer, Emanuel	11/4/2009	Sentenced 10/7/2011 to 36 months in prison
17	Goffer, Zvi	11/4/2009	Sentenced 9/21/2011 to 120 months in prison; 2255 habeas petition filed 1/22/2015
18	Goldfarb, Jason	11/4/2009	Sentenced 8/19/2011 to 36 months in prison
19	Hariri, Ali	11/4/2009	Sentenced 11/8/2010 to 18 months in prison
20	Kimelman, Michael	11/4/2009	Sentenced 10/12/2011 to 30 months in prison; 2255 habeas petition filed 3/12/2015
21	Plate, David	11/4/2009	Sentenced 11/2/2011 to 3 years of probation, including 6 months home confinement
22	Shah, Deep	11/4/2009	At Large/Pending
23	Santarlas, Brien	12/10/2009	Sentenced 11/30/2011 to 6 months in prison
24	Slaine, David	12/18/2009	Sentenced 1/20/2012 to 3 years of probation
25	Hardin, Thomas	12/21/2009	Sentenced 2/25/2015 to time served
26	Koval, Alexei	3/22/2010	Sentenced 5/24/2011 to 26 months in prison
27	Poteroba, Igor	3/22/2010	Sentenced 3/21/2011 to 22 months in prison
28	Hoxie, Bonnie	5/25/2010	Sentenced 2/22/2011 to 4 months home confinement
29	Sebbag, Yonni	5/25/2010	Sentenced 1/28/2011 to 27 months in prison
30	Hansen, Richard	9/27/2010	Sentenced 5/13/2011 to 3 months in prison
31	Benhamou, Yves	11/1/2010	Sentenced 12/21/2011 to 3 years supervised release
32	Chu, Don	11/23/2010	Sentenced 9/7/2011 to 2 years of probation
33	DeVore, Daniel	12/10/2010	Sentenced 12/5/2013 to time served and 2 years of supervised release
34	Scolaro, Anthony	12/10/2010	Sentenced 8/2/2012 to 3 years of probation

INSIDER TRADING DEFENDANTS SINCE AUGUST 2009

35	Motey, Karl	12/14/2010	Sentenced 2/4/2013 to time served
36	Fleishman, James	12/16/2010	Sentenced 12/21/2011 to 30 months in prison
37	Karunatilaka, Manosha	12/16/2010	Sentenced 9/15/2011 to 18 months in prison
38	Longoria, Mark Anthony	12/16/2010	Sentenced 7/1/2013 to time served
39	Shimoon, Walter	12/16/2010	Sentenced 7/1/2013 to time served
40	Pflaum, Jason	12/17/2010	Sentenced 1/31/2013 to time served
41	Jiau, Winifred	12/28/2010	Sentenced 9/21/2011 to 48 months in prison
42	Nguyen, Bob	1/11/2011	Sentenced 10/2013 to 2 years of probation
43	Cardillo, Michael	1/26/2011	Sentenced 10/25/2012 to 3 years of probation
44	Smith, Adam	1/26/2011	Sentenced 6/26/2012 to 2 years of probation
45	Freeman, Noah	2/7/2011	Sentenced 2/5/2015 to time served
46	Barai, Samir	2/8/2011	Pled 5/27/2011
47	Longueuil, Donald	2/8/2011	Sentenced 7/29/2011 to 30 months in prison
48	Skowron, Joseph	4/13/2011	Sentenced 11/18/11 to 5 years in prison
49	Nguyen, Son Ngoc	5/27/2011	Sentenced 4/12/2012 to 1 year of probation
50	Peterson, H. Clayton	8/5/2011	Sentenced 10/11/2011 to 24 months probation with first 3 months on home confinement
51	Peterson, Drew	8/5/2011	Sentenced 4/11/2012 to 3 years of probation
52	Ng, Stanley	8/10/2011	Sentenced 5/9/2012 to 2 years of probabtion with 400 hours of community service
53	Allen, Scott	9/15/2011	Pled 3/19/12
54	Bennett, John	9/15/2011	Pled 11/28/2011
55	Brownstein, Drew K.	10/21/2011	Sentenced 1/11/12 to 1 year and 1 day in prison
56	Gupta, Rajat	10/26/2011	Sentenced 10/24/2012 to 2 years in prison; 2255 habeas petition denied
57	Newman, Todd	1/18/2012	Vacated, petition for certiorari filed
58	Chiasson, Anthony	1/18/2012	Vacated, petition for certiorari filed
59	Horvath, Jon	1/18/2012	Pled 9/28/2012
60	Kuo, Danny	1/18/2012	Pled 4/13/2012
61	Tortora, Jesse	5/18/2011	Pled 5/18/2011
62	Adondakis, Spyridon ("Sam")	4/25/2011	Pled 4/25/2011
63	Goyal, Sandeep ("Sandy")	11/3/2011	Pled 11/3/2011
64	Whitman, Doug	2/10/2012	Sentenced 1/24/2013 to 2 years in prison; 2255 habeas petition denied
65	Kinnucan, John	2/17/2012	Sentenced 1/15/2013 to 51 months in prison
66	Barnetson, Donald	2/17/2012	Sentenced 6/25/2013 to 1 year of probation
67	Kwok, Robert	5/21/2012	Sentenced 10/17/2012 to 2 years of probation
68	Shah, Reema	5/21/2012	Sentenced 10/24/2014 to 2 years of probation
69	Ebrahim, Alnoor	6/18/2012	Sentenced 10/25/2012 to 1 year and 1 day in prison
70	Nguyen, Tai	6/26/2012	Sentenced 3/14/2013 to 1 year and 1 day in prison; 2255 habeas petition filed 5/5/2015
71	Wang, Wesley	7/13/2012	Sentenced 1/9/2013 to 2 years of probation
72	Lim, Hyung	9/4/2012	Pled 9/4/2012
73	Martoma, Mathew	11/20/2012	Sentenced 9/8/2014 to 9 years in prison; appeal pending

INSIDER TRADING DEFENDANTS SINCE AUGUST 2009

74	Conradt, Thomas C.	11/29/2012	Dismissed on Gov't motion without prejudice on 2/3/2015
75	Weishaus, David J.	11/29/2012	Dismissed on Gov't motion without prejudice on 2/3/2015
76	Martin, Trent	12/26/2012	Dismissed on Gov't motion without prejudice on 2/3/2015
77	Rajaratnam, Rengan	3/21/2013	Acquitted at trial 7/8/2014
78	Riley, David	3/26/2013	Convicted at trial 10/2/2014
79	Teeple, Matthew	3/26/2013	Sentenced 10/16/2014 to 60 months in prison
80	Johnson, John	3/18/2013	Sentenced 4/23/2015 to time served
81	Steinberg, Michael	3/29/2013	Sentenced 5/16/2014 to 42 months in prison; appeal pending
82	Lee, Richard	7/23/2013	Pled 7/23/2013
83	S.A.C. Capital Advisors, L.P.	7/25/2013	Sentenced 4/10/2014 to \$1.184 billion financial penalty
84	S.A.C. Capital Advisors, LLC	7/25/2013	Sentenced 4/10/2014 to \$1.184 billion financial penalty
85	CR Intrinsic Investors, LLC	7/25/2013	Sentenced 4/10/2014 to \$1.184 billion financial penalty
86	Sigma Capital Management, LLC	7/25/2013	Sentenced 4/10/2014 to \$1.184 billion financial penalty
87	Aggarwal, Sandeep	7/30/2013	Pled 11/8/2013
88	Prado, Waldyr	1/27/2014	Pending
89	Cornelsen, Igor	1/27/2014	Pending
90	Hixon, Jr., Frank Perkins	2/21/2014	Sentenced on 8/1/2014 to 30 months in prison
91	Durant, Benjamin	6/25/2014	Dismissed on Gov't motion without prejudice on 2/3/2015
92	Payton, Daryl	6/25/2014	Dismissed on Gov't motion without prejudice on 2/3/2015
93	Lucarelli, Michael	8/25/2014	Sentenced 1/22/2015 to 30 months in prison
94	Dmitry Braverman	9/16/2014	Sentenced 7/29/2015 to 24 months in prison
95	Zachary Zwerko	10/14/2014	Pled 2/19/2015
96	David Post	10/14/2014	Pled 10/24/2014
97	Cedric Canas	2/3/2015	Pending
98	Richard Cunniffe	5/12/2015	Pled 5/12/2015
99	Bob Stewart	7/15/2015	Pled 8/12/15
100	Sean Stewart	7/15/2015	Pending
	TOTAL CHARGED:	100	
	TOTAL CONVICTED:	87	
	TOTAL ACQUITTED:	1	
	TOTAL VACATED:	7	
	TOTAL SENTENCED:	70	