

Fraud Charge Tracker

This database tracks allegations in criminal cases of fraudulent or related dishonest conduct.* InvesmentNews

<u>Name</u>	<u>Firm</u>	<u>Fraud Type Alleged</u>	<u>Amount</u>	<u>Status</u>
<u>Philip Barry</u>	Leverage Group	Ponzi	\$45,000,000	G 06-17-11
<u>Kenneth Marsh</u>	Gryphon Holdings Inc.	Adviser Fraud	\$17,500,000	G 04-14-11
<u>Francisco Illarramendi</u>	Michael Kenwood Group LLC	Adviser Fraud	\$53,000,000	03-08-11
<u>Steven T. Kobayashi</u>	UBS	Wire Fraud	\$3,300,000	03-03-11
<u>Anne Marie Schlenker</u>	Edward Jones	Wire Fraud	\$266,000	G 03-03-11
<u>Kenneth Ira Starr</u>	Starr Investment Advisers	Ponzi	\$59,000,000	G 03-02-11
<u>Milton Balkany</u>		Wire Fraud	\$3,250,000	G 02-

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				28 - 11
<u>Michael Montgomery</u>	Mutual Service Corp.	Wire Fraud	\$1,200,000	02 - 24 - 11
<u>Hank Morris</u>		Securities Fraud	\$19,000,000	02 - 17 - 11 G
<u>Delroy Henry</u>		Securities Fraud	\$700,000	02 - 15 - 11 G
<u>Shawn Roberts</u>	Applied Benefits and Concepts Inc.	Mail Fraud	\$1,000,000	02 - 14 - 11 G
<u>Daniel Spitzer</u>	Kenzie Fund	Ponzi	\$105,000,000	02 - 11 - 11
<u>Guy De Chimay</u>	Chimay Capital Management Inc.	Ponzi	\$7,000,000	02 - 02 - 11 G
<u>Timothy McQueen, Joseph Brunson, Tony Pough</u>	Capital Consortium Group	Mail Fraud	\$80,000,000	12 - 15 - G

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				10
<u>Vaughn Reeves</u>	Alanar	Securities Fraud	\$6,000,000	G 12 - 08 - 10
<u>Jenifer Devine</u>	Devine Wholesale	Ponzi	\$8,000,000	11 - 30 - 10
<u>Bryan Behrens</u>	21st Century Financial Group	Securities Fraud	\$6,800,000	G 11 - 29 - 10
<u>Sanjeev Jayant Kumar Shah</u>	Smith Barney	Wire Fraud	\$3,000,000	11 - 26 - 10
<u>Annette Bongiorno, Joann Crupi</u>	Bernard L. Madoff Investment Securities LLC	Conspiracy		11 - 18 - 10
<u>Germaine Pang</u>	Independent contractor	Mail Fraud	\$1,000,000	G 11 - 12 - 10
Total (67 results)			\$9,499,093,000	
<u>Robert Stinson Jr.</u>	Keystone State Corp.	Ponzi	\$17,000,000	G 11-05- 10

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<u>Sean Michael Mueller</u>	Mueller Capital Management LLC	Ponzi		\$71,000,000	G	11-03- 10
<u>Arthur Nadel</u>	Scoop Management Inc.	Securities Fraud		\$168,000,000	G	10-22- 10
<u>Marcus Schrenker</u>	Heritage Wealth Management	Securities Fraud		\$160,000	G	10-08- 10
<u>Frank Castaldi</u>	Parkway Towers Insurance Agency	Mail fraud		\$77,000,000	G	09-16- 10
<u>Brian Anderson</u>	PrimeVest Financial Services	Embezzlement		\$1,000,000	G	09-09- 10
<u>Patrick Rakotonanahary</u>	Cyber Market Group LLC	Ponzi		\$10,300,000	G	09-08- 10
<u>Enrique F. Villalba</u>	Money Market Alternative	Ponzi		\$39,000,000	G	09-08- 10
<u>Joseph Blimline</u>	Provident Royalties LLC	Investment Fraud		\$535,000,000	G	09-01- 10
<u>Christopher Bass</u>	Revisco Finanz & Swiss Capital Harbor	Securities Fraud		\$5,900,000	G	08-19- 10
<u>Rhonda Breard</u>	ING Financial Partners	Theft		\$9,000,000	G	08-17- 10
<u>William Huber</u>	Quarter Funds	Ponzi		\$15,000,000	G	08-16- 10

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<u>Henri Zogaib</u>	Executive Investment Group	Ponzi	\$5,000,000	07-30-10
<u>Paul Greenwood</u>	WG Trading Investors	Securities Fraud	\$544,000,000	G 07-28-10
<u>Matthew Pizzolato</u>	Gulf Region Guaranty Inc.	Investment Fraud	\$20,000,000	G 07-23-10
<u>Delbert Foster Blount III</u>	Ameriprise Financial	Mail fraud	\$2,700,000	G 06-15-10
<u>Scott Rothstein</u>	Rothstein, Rosenfeldt, Adler	Ponzi	\$1,400,000,000	G 06-09-10
<u>Nicholas Smirnow</u>		Ponzi	\$70,000,000	06-01-10
<u>Verlin Swartzendruber</u>	Preferred Management and Trust	Wire Fraud	\$14,000,000	G 05-24-10
<u>Robert Emmett McDowell</u>	Drumbone Capital Group	Theft	\$337,000	G 05-20-10
<u>Steven Mandala</u>	Merrill Lynch & Co	Theft	\$780,000	G 05-19-10
<u>James Halstead</u>	GamePlan Inc.	Ponzi	\$61,000,000	G 05-13-10
<u>Stephen Clifford</u>	Clifford Financial Associates	Tax Fraud	\$4,300,000	G 05-05-10
<u>Evan Brent Dooley</u>	MF Global Holdings Ltd.	Theft	\$141,000,000	04-

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					29-10
<u>Eric Butler</u>	Credit Suisse Group AG	Securities Fraud	\$1,200,000,000	G	04-27-10
<u>Steven M. Brasner</u>	Infinity Financial Group LLC	Insurance Fraud	\$1,600,000		04-23-10
<u>Jeffrey Charles Bruteyn</u>	AmeriFirst Funding Corp.	Securities Fraud	\$50,000,000	G	04-15-10
<u>Steven Byers</u>	WexTrust	Ponzi	\$255,000,000	G	04-13-10
<u>Tom Petters</u>	Petters Group Worldwide	Ponzi	\$3,650,000,000	G	04-08-10
<u>Donald Anthony Young</u>	Acorn Management LLC	Money Laundering	\$25,000,000	G	04-01-10
<u>Patrick Kiley</u>	Crown Forex	Ponzi	\$190,000,000		03-31-10
<u>Michael E. McCready</u>		Securities Fraud	\$8,000,000	G	03-30-10
<u>John Doorly</u>		Mail Fraud	\$20,000,000	G	03-28-10
<u>Wayne Read</u>	Louisiana Film Studios LLC	Theft	\$1,900,000	G	03-23-10
<u>Alan Fishman</u>	A.R Capital Global Fund	Securities Fraud	\$20,000,000	G	03-10-10

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<u>Gaston and Teresita Cantens</u>	Royal West Properties Inc.	Ponzi	\$135,000,000		03-03-10
<u>Edward T. Stein</u>	Edward T. Stein Associates Ltd.	Ponzi	\$55,000,000	G	02-28-10
<u>Cathy Giesecker</u>	T.J Giesecker Farms and Trucking	Ponzi	\$27,400,000	G	02-25-10
<u>Ryan Jindra</u>	Envision Investment Advisers	Wire Fraud	\$500,000		02-22-10
<u>Edward S. Digges Jr.</u>	Millenium Terminal Investment Program	Securities Fraud	\$10,000,000	G	02-19-10
Total (67 results)			\$9,499,093,000		
<u>Richard Elkinson</u>		Ponzi	\$29,000,000		02-19-10
<u>Oren Eugene Sullivan Jr.</u>	NYLIFE Securities LLC.	Ponzi	\$3,700,000	G	02-19-10
<u>John Orecchio</u>	AA Capital	Investment Fraud	\$24,000,000	G	02-18-10
<u>Alberto Vilar</u>	Amerido Investment Advisors LLC	Adviser Fraud	\$40,000,000	G	02-05-10
<u>Donald Chouinard</u>	LPL Financial	Securities Fraud	\$1,500,000		01-29-10

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<u>Gary Brown</u>		Securities Fraud	\$20,000,000	G 01-22-10
<u>Wayne Puff</u>	New Jersey Affordable Homes Corp.	Ponzi	\$100,000,000	G 01-15-10