

# Securities Crimes 2d

---

## Filing Instructions

Special Note: Before filing this release, make sure your volume is up-to-date. If the following release information is located at the bottom of the title page, "© 2022 Thomson Reuters, Rel. 8, 12/2022" your volume is up-to-date; follow the filing instructions below. If you do not see this release information, please contact Customer Service (phone 1-800-328-4880, fax: 1-800-340-9378) for updating assistance before filing this release.

**by Marvin G. Pickholz, Peter J. Henning and Jason R. Pickholz**

---

**Remove Pages:**

**Insert New Pages:**

---

### Volume 21

Unnumbered to xlviii	Unnumbered to xlviii
1-1 to 1-46	1-1 to 1-48
2-1 to 2-59	2-1 to 2-60
3-17 to 3-44	3-17 to 3-44.3
3-59 to 3-74	3-59 to 3-74.1
3-85 to 3-88	3-85 to 3-88.1
3-109 to 3-118	3-109 to 3-118
3-127 to 3-148	3-127 to 3-148.3
4-1 to 4-2	4-1 to 4-2
4-75 to 4-94.8	4-75 to 4-94.12
6-1 to 6-4	6-1 to 6-4
6-75 to 6-82	6-75 to 6-82.2
6-103 to 6-110	6-103 to 6-110.1
7-1 to 7-2	7-1 to 7-2
7-45 to 7-48.4	7-45 to 7-48.13
7-129 to 7-132	7-129 to 7-132.2
7-157 to 7-160	7-157 to 7-160
9-1 to 9-54	9-1 to 9-56
10-9 to 10-10	10-9 to 10-10
10-27 to 10-30	10-27 to 10-30.1

---

*For Customer Assistance Call 1-800-328-4880*

*<https://legal.thomsonreuters.com/>*

---

---

**Remove Pages:**

**Insert New Pages:**

---

---

**Volume 21A**

Unnumbered to xxx ..... Unnumbered to xxx  
..... App. 9A-1 to App. 9A-6  
Tbl of L&R-1 to Tbl of L&R-21 ..... Tbl of L&R-1 to Tbl of L&R-22  
Tbl of Add Auth-1 ..... Tbl of Add Auth-1  
Tbl of Cases-1 to Tbl of Cases-68 ..... Tbl of Cases-1 to Tbl of  
Cases-71  
Index-1 to Index-29 ..... Index-1 to Index-29

**You may receive some blank pages, this is a normal by product of the printing process. Any blank pages may be discarded/recycled.**

**Important:** Shelving/Filing Instructions or Shipment Insert

## **Securities Crimes 2d**

**Release # 9, November 2023**

Marvin G. Pickholz and Jason R. Pickholz

Here is your Release #9 (November 2023) update of *Securities Crimes 2d*. Whether you are defending or prosecuting a securities case, *Securities Crimes 2d* provides the background, guidance and strategies you need to be effective. The treatise covers enforcement powers and agency structure of the Securities and Exchange Commission (SEC), types of formal and informal SEC investigations, and specific problems related to parallel proceedings, and analysis and discussion of latest developments under the Federal Sentencing Guidelines.

For ease of handling, please note that the materials in this shipment may ship in more than one box.

### **Filing Instructions**

Please see separate filing instructions.

### **Highlights**

- Expanded discussion on exemptions from the application of Rule 21F-9(e)(2). § 3:15.
- New section on settlements on consent. § 4:19.50.
- New analysis on motions for preliminary injunctions by the SEC. § 4:20.50.
- Supreme Court expounds on limitations of the mail and wire fraud statutes in *Ciminelli v. U.S.*, 598 U.S. 306 (2023). § 6:31.
- New and expanded discussion on cryptocurrency, non-fungible tokens, crypto asset exchange platforms, and criminal prosecutions involving digital assets. §§ 7:10.60-7:10.90.
- Latest developments in enforcement against insider trading. § 7:28.

# 42985241si

- Sample SEC offer of settlement. Appendix 9A.

Westlaw Database Identifier. **SECCRIM**

### **Contact Us**

Thomson Reuters thanks you for subscribing to this product. Should you have any questions regarding this product, please do not hesitate to contact Customer Service at 1-800-328-4880 or by fax at 1-800-340-9378. If you would like to inquire about related publications, or wish to place an order, please contact us at 1-800-328-9352.



**Thomson Reuters**  
**610 Opperman Drive**  
**Eagan, MN 55123**

[legal.thomsonreuters.com](http://legal.thomsonreuters.com)

# Securities Crimes

---

## Filing Instructions

Special Note: Before filing this release, make sure your volume is up-to-date. If the following release information is located at the bottom of the title page, “© 2021 Thomson Reuters, Rel. 7, 12/2021” your volume is up-to-date; follow the filing instructions below. If you do not see this release information, please contact Customer Service (phone 1-800-328-4880, fax: 1-800-340-9378) for updating assistance before filing this release.

**by Marvin G. Pickholz, Peter J. Henning and Jason R. Pickholz**

---

**Remove Pages:**

**Insert New Pages:**

---

### Volume 21

Unnumbered to xlvii .....	Unnumbered to xlviii
1-1 to 1-46 .....	1-1 to 1-46
2-1 to 2-36.....	2-1 to 2-36.1
2-49 to 2-50.....	2-49 to 2-50
3-59 to 3-94.....	3-59 to 3-94.4
3-105 to 3-132.....	3-105 to 3-132.2
4-1 to 4-2 .....	4-1 to 4-2
4-79 to 4-94.....	4-79 to 4-94.8
5-47 to 5-52.....	5-47 to 5-52.1
5-81 to 5-86.....	5-81 to 5-86.1
6-1 to 6-4 .....	6-1 to 6-4
6-49 to 6-52.....	6-49 to 6-52
6-103 to 6-120.....	6-103 to 6-120
6-181 to 6-184.....	6-181 to 6-184.2
7-1 to 7-2 .....	7-1 to 7-2
7-45 to 7-48.....	7-45 to 7-48.4
7-89 to 7-90 .....	7-89 to 7-90
7-101 to 7-108.....	7-101 to 7-108.2
9-23 to 9-24.....	9-23 to 9-24.1
9-43 to 9-51 .....	9-43 to 9-54

---

*For Customer Assistance Call 1-800-328-4880*

*<https://legal.thomsonreuters.com/>*

---

**Remove Pages:**

---

---

**Insert New Pages:**

---

10-7 to 10-8..... 10-7 to 10-8.2

**Volume 21A**

Unnumbered to xii ..... Unnumbered to xxx  
— ..... App. 15E-1 to App. 15E-10  
— ..... App. 15F-1 to App. 15F-9  
— ..... App. 15G-1 to App. 15G-4  
— ..... App. 38A-1 to App. 38A-8  
— ..... App. 38B-1  
— ..... App. 74-1 to App. 74-9  
— ..... App. 75-1 to App. 75-15  
Tbl of L&R-1 to Tbl of L&R-21 ..... Tbl of L&R-1 to Tbl of L&R-21  
Tbl of Add Auth-1 ..... Tbl of Add Auth-1  
Tbl of Cases-1 to Tbl of Cases-68 .... Tbl of Cases-1 to Tbl of Cases-68  
Index-1 to Index-28 ..... Index-1 to Index-29

**You may receive some blank pages, this is a normal by product of the printing process. Any blank pages may be discarded/recycled.**

# Securities Crimes

---

## Filing Instructions

Special Note: Before filing this release, make sure your volume is up-to-date. If the following release information is located at the bottom of the title page, “© 2019 Thomson Reuters, 11/2019, Rel. 6” your volume is up-to-date; follow the filing instructions below. If you do not see this release information, please contact Customer Service (phone 1-800-328-4880, fax: 1-800-340-9378) for updating assistance before filing this release.

**by Marvin G. Pickholz and Jason R. Pickholz**

---

**Remove Pages:**

**Insert New Pages:**

---

### Volume 21

Unnumbered to li .....	Unnumbered to xlvii
1-1 to 1-45 .....	1-1 to 1-46
2-1 to 2-58 .....	2-1 to 2-59
3-1 to 3-140 .....	3-1 to 3-168
4-1 to 4-18 .....	4-1 to 4-18.1
4-29 to 4-30 .....	4-29 to 4-30
4-41 to 4-42 .....	4-41 to 4-42
4-51 to 4-52.6 .....	4-51 to 4-52.6
4-61 to 4-64 .....	4-61 to 4-64.1
4-75 to 4-96.15 .....	4-75 to 4-96.23
5-21 to 5-38 .....	5-21 to 5-38.1
5-51 to 5-60 .....	5-51 to 5-60.2
5-85 to 5-104 .....	5-85 to 5-104.2
6-7 to 6-20 .....	6-7 to 6-20.1
6-33 to 6-154 .....	6-33 to 6-154.8
6-165 to 6-166 .....	6-165 to 6-166.1
6-175 to 6-176 .....	6-175 to 6-176.1
6-185 to 6-186 .....	6-185 to 6-186.1
7-1 to 7-6 .....	7-1 to 7-6.1
7-51 to 7-64 .....	7-51 to 7-64.1

---

*For Customer Assistance Call 1-800-328-4880*

*<https://legal.thomsonreuters.com/>*

---

**Remove Pages:**

---

**Insert New Pages:**

---

7-91 to 7-102.....	7-91 to 7-102.1
7-153 to 7-154.....	7-153 to 7-154
7-175 to 7-178.....	7-175 to 7-178.1
9-1 to 9-14.....	9-1 to 9-14.1
9-49 to 9-50.....	9-49 to 9-50
10-1 to 10-44.....	10-1 to 10-45

**Volume 21A**

Unnumbered to xii.....	Unnumbered to xii
.....	App. 14A-1 to App. 14A-16
.....	App. 14B-1
App. 15-1 to App. 15-15.....	App. 15-1 to App. 15-15
Tbl of L&R-1 to Tbl of L&R-19.....	Tbl of L&R-1 to Tbl of L&R-21
Tbl of Add Auth-1.....	Tbl of Add Auth-1
Tbl of Cases-1 to Tbl of Cases-67 ....	Tbl of Cases-1 to Tbl of Cases-68
Index-1 to Index-28.....	Index-1 to Index-28

**You may receive some blank pages, this is a normal by product of the printing process. Any blank pages may be discarded/recycled.**