

UNITED STATES SOUTHERN DISTRICT OF NEW YORK  
 CRIMINAL PROSECUTIONS FOR INSIDER TRADING  
 (By Occupation; as of 2/12/87)

	<u>DEFENDANT</u>	<u>FIRM</u>	<u>STATUS</u>	<u>DATE</u>
A.	<u>CORPORATE OFFICERS AND DIRECTORS</u>			
1.	DARIUS N. KEATON 86 Cr. 50 (WK)	SANTA FE INT'L CORP.	Indicted; awaiting trial	01/16/86
B.	<u>INVESTMENT BANKERS</u>			
2.	ADRIAN ANTONIU 80 Cr. 742 (CES)	MORGAN STANLEY & CO., INC. and KUHN LOEB & CO.	*Sentenced to 39 months' probation; \$5000 fine	08/11/82
3.	E. JACQUES COURTOIS 81 Cr. 53 (CSH)	MORGAN STANLEY & CO., INC.	Sentenced to 6 months' imprisonment	02/13/84
4.	JAMES PONDICCIO 84 Cr. 9 (CSH)	LAZARD FRERES & CO.	Sentenced to 3 years' probation	03/09/84
5.	DENNIS B. LEVINE 86 Cr. 519 (GLG)	DREXEL, BURNHAM, LAMBERT, INC.	*Awaiting sentence	Pleaded Guilty 06/05/86
6.	ROBERT M. WILKIS 86 Cr. 1112 (PKL)	E.F. HUTTON & CO.	*Sentenced to 1 year plus 1 day imprison- ment; 5 years' probation	02/09/87

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\* Sentences denoted by an asterisk are cases where the defendant pleaded guilty and our review of the public record discloses that the defendant cooperated in the investigation prior to sentencing.

	<u>DEFENDANT</u>	<u>FIRM</u>	<u>STATUS</u>	<u>DATE</u>
7.	DAVID BROWN 86 Cr. 761 (JFK)	GOLDMAN SACHS	**Sentenced to 30 days' imprisonment (to be served on weekends); 3 years' probation; 300 hours' community service; \$10,000 fine	01/12/87
8.	IRA B. SOKOLOW 86 Cr. 762 (JFK)	LEHMAN BROTHERS	**Sentenced to 1 year plus 1 day imprisonment; 3 years' probation	11/06/86
9.	RANDALL P. CECOLA (Financial Analyst) 86 Cr. 1113 (PKL)	LAZARD FRERES & CO.	Sentenced to 6 years' probation	02/10/87
C. <u>ARBITRAGEURS</u>				
10.	ANDREW SOLOMON 86 Cr. 451 (GLG)	MARCUS SCHLOSS & CO.	*Sentenced to 1 year probation; 250 hours' community service; \$10,000 fine	11/26/86
11.	ROBERT SALSBURY 86 Cr. 453 (GLG)	DREXEL, BURNHAM, LAMBERT, INC.	*Sentenced to 3 years' probation; 600 hours' community service	12/02/86

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\*\* The Government described Mr. Sokolow's and Mr. Brown's cooperation as being of only "limited assistance."

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D.	<u>LAW FIRMS</u>			
	<u>ATTORNEYS</u>			
12.	DAVID HALL 80 Cr. 692 (CES)	DEMAS & HALL	Sentenced to 25 days' imprisonment; 2 years' probation	12/23/80
13.	CARLO FLORENTINO 82 Cr. 450 (WCC)	WACHTELL, LIPTON, ROSEN & KATZ; DAVIS POLK & WARDWELL	Sentenced to 2 years' probation	10/04/82
14.	KENNETH RUBINSTEIN 83 Cr. 474 (MEL)	FRIED, FRANK, HARRIS, SHRIVER & JACOBSON	Sentenced to 30 months' probation	09/23/83
15.	ILAN REICH 86 Cr. 863 (RWS)	WACHTELL, LIPTON, ROSEN & KATZ	Sentenced to 1 year plus 1 day imprisonment; 5 years' probation	01/23/87
16.	MICHAEL DAVID 86 Cr. 454 (JFK)	PAUL, WEISS, RIFKIND, WHARTON & GARRISON	Awaiting sentence	Pleaded Guilty 11/26/86
17.	DAVID W.C. CLARK 87 Cr. 49 (JFK)	APPLETON, RICE & PERRIN	Indicted	01/29/87
	<u>STAFF</u>			
18.	STEVEN MATTHEWS CROW (Word Processor) 84 Cr. 239 (WK)	SKADDEN, ARPS, SLATE, MEAGHER & FLOM	*Sentenced to 3 years' probation; restitution; 450 hours' community service	10/04/84

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	<u>DEFENDANT</u>	<u>FIRM</u>	<u>STATUS</u>	<u>DATE</u>
19.	ALFRED SALVATORE (Proofreader) 84 Cr. 260 (WK)	SKADDEN, ARPS, SLATE, MEAGHER & FLOM	*Sentenced to 3 years' probation; restitution; 450 hours' community service	10/04/84
20.	KENNETH PETRICIG (Proofreader) 84 Cr. 256 (WK)	SKADDEN, ARPS, SLATE, MEAGHER & FLOM	*Sentenced to 3 years' probation; restitution; 450 hours' community service	10/04/84
21.	ALAN IHNE (Manager of Office Services) 84 Cr. 686 (CLB)	SULLIVAN & CROMWELL	Sentenced to 18 months' imprisonment; 5 years' probation	06/14/85
22.	MANOHAR LAL MADAN (Word Processor) 85 Cr. 1076 (WK)	WACHTELL, LIPTON, ROSEN & KATZ	Sentenced to 6 months' imprisonment	07/28/86
23.	CHRISTOPHER MOFFATT (Accounting Clerk) 85 Cr. 1113 (LBS)	SULLIVAN & CROMWELL	Sentenced to 3 years' probation	12/06/85
24.	LEONARD DIRUSSO (Facilities and Purchasing Manager) 85 Cr. 1113 (LBS)	SULLIVAN & CROMWELL	Sentenced to 3 years' probation	12/06/85

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E.	<u>ACCOUNTING FIRMS</u>			
25.	HQWARD L. DAVIDOWITZ 82 Cr. 846 (JES)	ERNST & WHINNEY	Sentenced to 39 weekends' imprisonment; \$10,000 fine; 5 years' probation	02/02/83
26.	DANIEL J. SILVERMAN 86 Cr. 452 (GLG)	ARTHUR YOUNG & CO.	Awaiting Sentence	Pleaded Guilty 06/05/86
F.	<u>STOCKBROKERS/OTHER SECURITIES PROFESSIONALS</u>			
27.	BRUCE PAUL (Stockbroker) 83 Cr. 14 (RJW)	EDWARD A. VINER & CO., INC.	Sentenced to 3 years' probation	05/04/83
28.	JAMES L. COVELLO (Bond Trader) 84 Cr. 204 (MEL)	GINTEL & CO.	*Sentenced to 3 years' probation; 630 hours' community service	02/07/85
29.	AARON LERMAN (Stockbroker) 84 Cr. 283 (CLB)	PRUDENTIAL-BACHE	Sentenced to 6 months' imprisonment; 4 years' probation; 200 hours' community service	11/01/84
30.	PETER N. BRANT 84 Cr. 470 (CES)	KIDDER, PEABODY & CO. INCORPORATED	*Awaiting Sentence	Pleaded Guilty 07/12/84

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31.	GIUSEPPE TOME 84 Cr. 534 (SWK)	BAIRD-PATRICK & CO., INC.	Indicted; currently a fugitive in Europe	08/07/84
32.	JAMES M. NEWMAN (Stockbroker) 82 Cr. 166 (CSH)	EXECUTIVE SECURITIES	Sentenced to 1 year plus 1 day imprisonment; 3 years' probation; \$10,000 fine	07/16/82
33.	KENNETH P. FELIS (Stockbroker) 84 Cr. 605 (CES)	KIDDER, PEABODY & CO. INCORPORATED	Sentenced to 6 months' imprisonment; \$25,000 fine; 5 years' probation; 500 hours' community service	08/07/85
34.	HOWARD ROSSMAN (Stockbroker) 84 Cr. 707 (CES)	PRUDENTIAL-BACHE	Sentenced to 3 years' probation; 400 hours' community service	06/13/86
35.	ROBERT D'ELIA (Stockbroker) 84 Cr. 707 (CES)	PRUDENTIAL-BACHE	Sentenced to 3 years' probation; 1,000 hours' community service; \$30,000 fine	06/13/86
36.	JAMES STIVALETTI (Stockbroker) 84 Cr. 686 (CLB)	BOND RICHMAN & CO., INC.	Sentenced to 2-1/2 years' imprisonment; \$10,000 fine; 5 years' probation	07/11/85
37.	EUGENE CHIARAMONTE (Stockbroker) 84 Cr. 686 (CLB)	BOND RICHMAN & CO., INC.; PAUL L. FORCHHEIMER & CO.	Sentenced to 18 months' imprisonment; \$10,000 fine	06/14/85
38.	DAVID RAPAPORT (Stockbroker) 84 Cr. 686 (CLB)	BOND RICHMAN & CO., INC.; PAUL L. FORCHHEIMER & CO.	Sentenced to 6 months' imprisonment; \$10,000 fine	06/14/85

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39.	MORTON SHAPIRO (Stockbroker) 86 Cr. 455 (GLG)	MOSELY, WALLGARTEN, ESTABROOK & WEEDEN, INC.	Awaiting Sentence	Pleaded Guilty 06/05/86
<b>G. <u>FINANCIAL PRINTERS</u></b>				
40.	VINCENT CHIARELLA 78 Cr. 2 (RO)	PANDICK PRESS	Sentenced to 1 month imprisonment; 5 years' probation (vacated by the Supreme Court)	03/18/80
41.	CLARENCE ABRAMSON 84 Cr. 487 (RLC)	BOWNE & CO.	Awaiting Sentence	Pleaded Guilty 07/19/84
42.	CHARLES GARBER 84 Cr. 541 (WK)	BOWNE & CO.	Sentenced to 3 years' probation; 300 hours' community service	12/20/84
43.	ANTHONY MATERIA 84 Cr. 985 (PNL)	BOWNE & CO.	Sentenced to 5 months' imprisonment; 4 years' probation; 400 hours' community service	06/21/85
<b>H. <u>MISCELLANEOUS</u></b>				
44.	CONSTANTINE SPYROPOLOUS 82 Cr. 166 (CSH)	ENGINEER	*Sentenced to 3 years' probation; \$10,000 fine	04/12/83

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45.	FRANKLIN CARNIOL 82 Cr. 166 (CSH)	SALES MANAGER FOR ITT AND WESTINGHOUSE	Sentenced to 3 years' probation; 500 hours' community service	09/20/85
46.	STEVEN NUSSBAUM 81 Cr. 672 (JMC)	DENTIST	Sentenced to 5 years' probation; \$10,000 fine	04/26/83
47.	STEPHEN L. WALLIS 84 Cr. 521 (WCC)	CABDRIVER	Sentenced to weekends in prison for 18 months; 5 years' probation; \$49,000 restitution	09/18/84
48.	SHARON WILLEY 84 Cr. 521 (WCC)	RECEPTIONIST	Sentenced to 5 years' probation; \$34,000 restitution	09/18/84
49.	R. FOSTER WINANS 84 Cr. 605 (CES)	WALL STREET JOURNAL	Sentenced to 18 months' imprisonment; \$5,000 fine; 5 years' probation; 400 hours' community service (certiorari granted by Supreme Court)	08/06/85
50.	DAVID CARPENTER 84 Cr. 605 (CES)	UNEMPLOYED	Sentenced to \$1,000 fine; 3 years' probation; 200 hours' community service (certiorari granted by Supreme Court)	08/06/85

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