UNITED STATES DISTRICT COURT SOUTHERN DISTRICT OF NEW YORK

U.S. SECURITIES AND EXCHANGE COMMISSION,

Plaintiff,

vs. : Civil Action No.

BROCO INVESTMENTS, INC. and VALERY MALTSEV,

Defendants.

COMPLAINT

Plaintiff United States Securities and Exchange Commission ("Commission") alleges as follows:

SUMMARY

1. The Commission files this emergency action to halt an ongoing fraud by BroCo Investments, Inc. ("BroCo") and its president, Valery Maltsev ("Maltsev"). This action alleges violations of the federal securities laws by Maltsev, BroCo, and/or individuals acting in concert with them, by repeatedly hijacking the online brokerage accounts of unwitting investors using stolen usernames and passwords and subsequently placing unauthorized trades through the compromised accounts. In almost every instance, prior to intruding into these accounts, using an account they controlled at Genesis Securities LLC ("Genesis"), the Defendants acquired positions in the same securities that were the subjects of the unauthorized trades in the compromised accounts. Minutes after acquiring these positions, and without the compromised accountholders' knowledge, the Defendants, and/or individuals acting in concert with them, placed scores

of unauthorized buy orders at above-market prices using the compromised accounts. After these unauthorized buy orders were placed, the Defendants sold the positions held in their own account – positions they had established only moments earlier – at the artificially inflated prices. In other instances, the Defendants profited by covering short positions previously established in their account while placing unauthorized sell orders through the compromised accounts at substantially lower prices. From August 2009 to the present, these transactions have created the appearance of legitimate trading activity and have artificially affected the prices of at least thirty-eight issuers.

- 2. From August 2009 to December 2009, as a result of coordinating their own trades with those effected during the unlawful intrusions into online brokerage accounts, the Defendants realized unlawful trading profits of at least \$255,532. Online broker-dealers whose customers' accounts were compromised during that time period suffered losses of at least \$603,000 as a result of the Defendants' fraudulent conduct.
- 3. On February 26, 2010, BroCo attempted to withdraw \$110,000 from its Genesis account via wire transfer. Then, on March 2, 2010, BroCo attempted to withdraw an additional \$200,000 from the account via wire transfer. Both withdrawals requested that the funds be wired BroCo's bank account in Cyprus. Genesis has not yet processed these requests.
- 4. By virtue of their conduct, the Defendants have engaged in and, unless enjoined, will continue to engage in, violations of Section 17(a) of the Securities Act of 1933 ("Securities Act") [15 U.S.C. § 77q(a)] and Section 10(b) of the Securities Exchange Act of 1934 ("Exchange Act") [15 U.S.C. § 78j(b)] and Rule 10b-5 promulgated thereunder [17 C.F.R. § 240.10b-5].

JURISDICTION AND VENUE

- 5. The Commission brings this action, and this Court has jurisdiction over this action, pursuant to authority conferred by Sections 20(b), 20(d) and 22(a) of the Securities Act [15 U.S.C. §§ 77t(b), 77t(a) and 77v(a)] and Sections 21(d), 21(e) and 27 of the Exchange Act [15 U.S.C. §§ 78u(d), 77u(e) and 78aa].
- 6. This Court has personal jurisdiction over the Defendants and venue is proper in the Southern District of New York pursuant to 28 U.S.C. § 1391(b)(2) because a substantial part of the events or omissions giving rise to the claims occurred within this District, and pursuant to Section 27 of the Exchange Act [15 U.S.C. § 78aa] because some of the transactions, acts, practices, and courses of business constituting the violations alleged herein occurred within this District.
- 7. The Defendants, directly and indirectly, have made use of the means and instrumentalities of interstate commerce, and the means and instruments of transportation and communication in interstate commerce, in connection with the transactions, acts, practices, and courses of business alleged in this Complaint.

DEFENDANTS

- 8. Defendant BroCo Investments, Inc. was formed in April 2008 and is located in St. Petersburg, Russia, according to account opening documents at Genesis, where BroCo maintains a securities trading account. According to the company's website, however, BroCo is located in Limassol, Cyprus.
- 9. Defendant Valery Maltsev is believed to be a thirty-six year old Russian citizen residing in or around St. Petersburg, Russia. According to account opening

documents at Genesis, Maltsev is BroCo's president and only officer, and has sole trading authorization for BroCo's securities account.

FACTS

The Defendants' Account Intrusion Scheme

- 10. Beginning in at least August 2009 and continuing to the present, the Defendants engaged in an elaborate scheme in which they manipulated, via account intrusions, the markets for shares of at least thirty-eight issuers. The Defendants' modus operandi was similar for each intrusion. The Defendants first purchased thinly traded securities at the prevailing market prices using their own online brokerage account at Genesis. Shortly thereafter, the Defendants and/or individuals acting in concert with them, using stolen usernames and passwords, intruded into the online brokerage accounts of unsuspecting individuals. The Defendants and/or individuals acting in concert with them then used these intruded accounts to place a series of unauthorized buy orders (for shares of the same issuers purchased only moments earlier in the Defendants' account), typically at prices well above the prevailing market prices for those thinly traded securities. Immediately or shortly thereafter, the Defendants capitalized on the artificially inflated share prices of the targeted securities by selling the shares previously acquired in their account. In other instances, the Defendants profited by covering short positions previously established in their account while placing unauthorized sell orders through the compromised accounts at substantially lower prices.
- 11. Unwitting accountholders were victimized in several ways. Securities held in the victims' online brokerage accounts were oftentimes liquidated in order to finance the unauthorized trading. Many times, the victims whose accounts were hijacked

to make unauthorized purchases lost money when the securities returned to their premanipulation prices.

- 12. Online broker-dealers whose customers' accounts were compromised and used by the Defendants to make unauthorized trades suffered losses in excess of \$600,000. In addition, the Defendants' manipulative trading caused damage to unknowing market participants who were attracted to the artificially inflated prices.
- 13. From August 17, 2009 through the present, the BroCo account at Genesis realized profits of at least \$255,532 from its trading in the following thirty-eight securities, at or around the time of unauthorized trading in compromised accounts:

 Enterra Energy Trust, ExpressJet Holdings, Inc., Icagen, Inc., Catalyst Pharmaceutical Partners, Inc., Akeena Solar, Inc., American Technology Corp., Comstock Homebuilding Companies, Inc., Magellan Petroleum Corp., Amcore Financial, Inc., Majesco
 Entertainment Company, Akorn, Inc., Synthesis Energy Systems, Inc., iGo, Inc., Biofuel Energy Corp., WPT Enterprises, Inc., BMB Munai, Inc., China INSOline Corp., Alliance Fiber Optic Products, 8x8 Inc., Active Power, Inc., Ante4, Inc., Antigenics, Inc., China Direct Industries, Inc., EF Johnson Technologies, Inc., dELIA*s, Inc., Arotech Corp., First M & F Corporation, NewBridge Bancorp, Endwave Corporation, Rosetta Genomics, Ltd., Cybex International, Inc., Vestin Realty Mortgage II, Inc., Clearfield, Inc., Parlux Fragrances, Inc., Compton Petroleum Corp., Xerium Technologies, Newcastle Investments Corp., and AmeriServ Financial, Inc. See Exhibit A, attached hereto.
- 14. On February 26, 2010, BroCo attempted to withdraw \$110,000 from its Genesis account via wire transfer. Then, on March 2, 2010, BroCo attempted to withdraw an additional \$200,000 from the account via wire transfer. Both withdrawals

requested that the funds be wired BroCo's bank account in Cyprus. Genesis has not yet processed these requests.

15. The Defendants' trading in AmeriServe Financial Inc. ("ASRV") is representative of the scheme employed by BroCo and Maltsev with respect to the shares of the other thirty-seven issuers.

AmeriServe Financial, Inc.

- 16. AmeriServe Financial Inc. is a publicly traded, Johnstown, Pennsylvania-based bank. The company's shares are traded on the NASDAQ Global Market under the symbol ASRV. From December 1 December 20, 2009, ASRV traded an average of approximately 11,300 shares per day. On December 21, 2009, trading in ASRV increased more than twenty times, with 277,567 shares trading that day. At least 200,000 shares were bought or sold between BroCo's trades and the unauthorized trades placed through compromised Scottrade accounts. On that day, ASRV opened at \$1.60 per share and increased to an intraday high of \$1.80 per share.
- 17. On December 21, 2009, at 1:37 p.m. EST, BroCo bought 6,500 shares of ASRV at a price of \$1.51 per share.
- 18. Approximately one minute later, at 1:38 p.m., and continuing over the ensuing ten minutes, three accounts at Scottrade, Inc. ("Scottrade") were illegally accessed and, without the authorization or knowledge of the account holders, used to purchase 102,200 shares of ASRV at prices ranging from \$1.545 to \$1.828 per share.

- 19. From 1:39 p.m. until 1:49 p.m. coinciding almost exactly with the intrusion time period (1:38 p.m. 1:49 p.m.) BroCo sold 80,000 shares of ASRV at prices ranging from \$1.70 to \$1.80 per share.
- 20. The 73,500 shares BroCo sold in excess of what it had previously purchased resulted in a short position.
- 21. Between 1:50 p.m. and 1:52 p.m., unauthorized trades were placed through the compromised Scottrade accounts, resulting in the sale of 73,500 shares at prices ranging from \$1.466 to \$1.74 per share.
- 22. From 1:50 p.m. to 1:52 p.m. coinciding exactly with the intrusion time period BroCo covered its short position, purchasing 73,500 shares at a price of \$1.55 per share.
- 23. By trading shares of ASRV within minutes of unauthorized trading through the compromised accounts, Maltsev and BroCo grossed \$141,500 in approximately fifteen minutes, realizing a net profit of \$17,760. The unauthorized purchase and sale orders in the intruded accounts during the ASRV intrusion resulted in losses of \$20,355.63 to the holders of the intruded accounts. In addition, Maltsev's manipulative trading caused damage to market participants who purchased shares of ASRV during the intrusion period.

COUNT I

Violations of Section 17(a) of the Securities Act [15 U.S.C. § 77q(a)]

- 24. The Commission re-alleges and incorporates by reference paragraphs 1 through 23 above.
- 25. As set forth more fully above, the Defendants, by engaging in the conduct described above, directly or indirectly, in the offer or sale of securities, by the use of means or instruments of transportation or communication in interstate commerce or by the use of the mails:
- (a) knowingly or recklessly employed devices, schemes or artifices to defraud;
- (b) knowingly, recklessly or negligently obtained money or property by means of untrue statements of material fact or by omitting to state material facts necessary in order to make the statements made, in the light of the circumstances under which they were made, not misleading; or
- (c) knowingly, recklessly or negligently engaged in transactions, practices or courses of business which operated or would operate as a fraud or deceit upon the purchasers of such securities.
- 26. By reason of the foregoing, the Defendants have violated Section 17(a) of the Securities Act [15 U.S.C. § 77q(a)].

COUNT II

Violations of Section 10(b) of the Exchange Act [15 U.S.C. § 78j(b)] and Rule 10b-5 thereunder [17 C.F.R. § 240.10b-5]

- 27. The Commission re-alleges and incorporates by reference paragraphs 1 through 23 above.
- 28. As set forth more fully above, the Defendants, by engaging in the conduct described above, directly or indirectly, in connection with the purchase or sale of securities, by the use of means or instrumentalities of interstate commerce, or of the mails, or of a facility of a national securities exchange, knowingly or recklessly:
 - (a) employed devices, schemes or artifices to defraud;
- (b) made untrue statements of material facts or omitted to state material facts necessary in order to make the statements made, in the light of the circumstances under which they were made, not misleading; or
- (c) engaged in acts, practices or courses of business which operated or would operate as a fraud or deceit upon other persons.
- 29. By reason of the foregoing, the Defendants have violated Section 10(b) of the Exchange Act [15 U.S.C. § 78j(b)] and Rule 10b-5 thereunder [17 C.F.R. § 240.10b-5].

RELIEF REQUESTED

WHEREFORE, the Commission respectfully requests the Court:

I

Temporarily, preliminarily, and permanently restrain and enjoin the Defendants, and each of the Defendants' agents, servants, employees, attorneys, and all persons in

active concert or participation with them who receive actual notice of the injunction by personal service or otherwise, and each of them, from future violations of Section 17(a) of the Securities Act, Section 10(b) of the Exchange Act, and Rule 10b-5 thereunder;

II

Order the freezing of the Defendants assets and direct that all financial or depository institutions comply with the Court's Order. Furthermore, order that the Defendants immediately repatriate any funds held at any bank or other financial institution not subject to the jurisdiction of the Court, and that they direct the deposit of such funds into the registry of the Court, pending conclusion of this matter.

Ш

Order that the Defendants be restrained and enjoined from destroying, removing, mutilating, altering, concealing, or disposing of, in any manner, any of their books and records of documents relating to the matters set forth in the Complaint, or the books and records and such documents of any entities under their control, until further order of the Court.

IV

Order that the parties may commence discovery immediately, and that notice periods be shortened to permit the parties to require production of documents and the taking of depositions, on 72-hours notice.

V

Order the Defendants to disgorge an amount equal to the funds and benefits they obtained illegally as a result of the violations alleged herein, plus prejudgment interest on that amount.

Order the Defendants to pay civil penalties pursuant to Section 20(d) of the Securities Act [15 U.S.C. § 77t(d)] and Section 21(d) of the Exchange Act [15 U.S.C. § 78u(d)].

VII.

Grant such other and further relief as this Court deems just and proper.

Respectfully submitted,

Suzanne J. Romajas (9R-4531)

Justin Chretien (Pro hac vice admission pending)

Thomas A. Sporkin
David R. Herman

Adam M. Schoeberlein

Securities and Exchange Commission 100 F Street, N.E. Washington, D.C. 20549-4030 (202) 551-4953 [Chretien] (202) 772-9245 [Chretien Fax] ChretienJ@sec.gov

Attorneys for Plaintiff

Dated: March 15, 2010

Exhibit A to Plaintiff's Complaint

EXHIBIT A

BroCo Transactions at or Around the Time of Intrusions

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10/6/2009	10/2/2009		MPET		30,000	\$41,211	\$44,699	\$3,488	11:41 a.m 12:01 p.m.	11:45 a.m 12:16 p.m.
10/7/2009				NasdaqGS	26,000	\$38,572		\$4,496	12:15 p.m 12:36 p.m.	12:31 p.m 12:51 p.m.
10/8/2009	10/6/2009		COOL	NasdaqCM	35,300		\$52,696	\$3,467	12:44 p.m. <u>-12:57 p.m.</u>	12:48 p.m 12:53 p.m.
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11/2/2009 KAZ AMEX 22,500 \$22,529 \$24,525 \$1,996 1:22 p.m 2:43 p.m. 2:27 p.m 2:39 p.m. 11/2/2009 CHIO NasdaqCM 101,900 \$103,409 \$113,779 \$10,370 1:33 p.m 2:22 p.m. 1:43 p.m 2:36 p.m. 11/5/2009 AFOP NasdaqCM 114,340 \$127,496 \$144,582 \$17,113 1:21 p.m 2:30 p.m. 1:59 p.m 2:13 p.m. 11/9/2009 EGHT NasdaqCM 126,900 \$144,935 \$158,521 \$13,586 11:58 a.m 2:01 p.m. 12:20 p.m 1:22 p.m. 11:20 p.m 1:22 p.m. 11/13/2009 ACPW NasdaqGM 156,229 \$179,538 \$199,916 \$20,378 12:59 p.m 3:59 p.m. 12:20 p.m 1:42 p.m. 11/13/2009 AGEN NasdaqGM 50,835 \$53,903 \$3,068 12:21 p.m 12:38 p.m. 12:26 p.m 12:26 p.m. 11/16/2009 CDII NasdaqGM 50,477 \$53,740 \$54,515 \$775 \$12:02 p.m 12:15 p.m. 12:10 p.m 12:26 p.m. 11/16/2009 EFJI NasdaqGM 51,792	10/13/2009		BIOF	NasdaqGM	78,000	\$90,608	\$107,125	\$16,517	11:33 a.m 12:59 p.m.	11:59 a.m 12:06 p.m.
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11/13/2009 ANTF OTCBB 44,600 \$50,835 \$53,903 \$3,068 12:21 p.m 12:38 p.m. 12:26 p.m 12:36 p.m. 11/13/2009 AGEN NasdaqCM 50,477 \$53,740 \$54,515 \$775 12:02 p.m 12:15 p.m. 12:10 p.m 12:26 p.m. 11/16/2009 CDII NasdaqGM 21,997 \$31,651 \$33,500 \$1,849 2:02 p.m 2:39 p.m. 2:16 p.m 2:23 p.m. 11/16/2009 EFJI NasdaqGM 51,792 \$60,596 \$65,775 \$5,179 12:11 p.m 12:28 p.m. 12:12 p.m 12:30 p.m. 11/18/2009 DLIA NasdaqGM 6,900 \$13,455 \$14,421 \$966 12:57 p.m 1:40 p.m. 1:03 p.m 2:03 p.m. 11/18/2009 ARTX NasdaqGM 50,000 \$86,430 \$93,400 \$6,970 12:14 p.m 3:41 p.m. 12:20 p.m 12:34 p.m. 11/26/2009 FMFC NasdaqGS 21,586 \$47,474 \$53,917 \$6,444 1:49 p.m 2:08 p.m. 1:52 p.m 1:58 p.m. 11/26/2009 NBBC NasdaqGS 59,304 \$130,468	11/9/2009		EGHT	NasdaqCM	126,900	\$144,935	\$158,521	\$13,586	11:58 a.m 2:01 p.m.	12:20 p.m 12:27 p.m.
11/13/2009 AGEN NasdaqCM 50,477 \$53,740 \$54,515 \$775 12:02 p.m 12:15 p.m. 12:10 p.m 12:26 p.m. 11/16/2009 CDII NasdaqGM 21,997 \$31,651 \$33,500 \$1,849 2:02 p.m 2:39 p.m. 2:16 p.m 2:23 p.m. 11/16/2009 EFJI NasdaqGM 51,792 \$60,596 \$65,775 \$5,179 12:11 p.m 12:28 p.m. 12:12 p.m 12:30 p.m. 11/18/2009 DLIA NasdaqGM 6,900 \$13,455 \$14,421 \$966 12:57 p.m 1:40 p.m. 1:03 p.m 2:03 p.m. 11/18/2009 ARTX NasdaqGM 50,000 \$86,430 \$93,400 \$6,970 12:14 p.m 3:41 p.m. 12:20 p.m 12:34 p.m. 11/24/2009 FMFC NasdaqGS 21,586 \$47,474 \$53,917 \$6,444 1:49 pm 2:08 p.m. 1:52 p.m 1:58 p.m. 11/25/2009 NBBC NasdaqGS 59,304 \$130,468 \$147,073 \$16,605 2:52 p.m. 2:53 p.m 2:56 p.m. 12/1/2009 ROSG NasdaqGM 40,198 \$94,063 \$99,6	11/10/2009		ACPW	NasdaqGM	156,229	\$179,538	\$199,916			
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11/18/2009 ARTX NasdaqGM 50,000 \$86,430 \$93,400 \$6,970 12:14 p.m 3:41 p.m. 12:20 p.m 12:34 p.m. 11/24/2009 FMFC NasdaqGS 21,586 \$47,474 \$53,917 \$6,444 1:49 pm 2:08 p.m. 1:52 p.m 1:58 p.m. 11/25/2009 NBBC NasdaqGS 59,304 \$130,468 \$147,073 \$16,605 2:52 p.m. 2:53 p.m 2:56 p.m. 11/30/2009 ENVV NasdaqGM 40,198 \$94,063 \$99,691 \$5,628 1:19 p.m 1:38 p.m. 1:14 p.m 1:44 p.m. 12/1/2009 ROSG NasdaqGM 47,616 \$99,993 \$115,494 \$15,501 12:10 p.m 1:02 p.m. 12:23 p.m 12:28 p.m. 12/2/2009 CYBI NasdaqGM 63,854 \$78,246 \$95,142 \$16,896 1:51 p.m 3:56 p.m. 1:52 p.m 2:00 p.m. 12/9/2009 VRTB NasdaqGS 62,100 \$136,465 \$149,036 \$12,571 12:08 p.m 3:02 p.m. 1:48 p.m 1:59 p.m. 12/15/2009 PARL NasdaqGS 45,338 \$98,836 \$	11/16/2009		EFJI	NasdaqGM	51,792	\$60,596	\$65,775	\$5,179	12:11 p.m 12:28 p.m.	12:12 p.m 12:30 p.m.
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11/25/2009 NBBC NasdaqGS 59,304 \$130,468 \$147,073 \$16,605 2:52 p.m. 2:53 p.m 2:56 p.m. 11/30/2009 ENWV NasdaqGM 40,198 \$94,063 \$99,691 \$5,628 1:19 p.m 1:38 p.m. 1:14 p.m 1:44 p.m. 12/1/2009 ROSG NasdaqGM 47,616 \$99,993 \$115,494 \$15,501 12:10 p.m 1:02 p.m. 12:23 p.m 12:28 p.m. 12/2/2009 CYBI NasdaqGM 63,854 \$78,246 \$95,142 \$16,896 1:51 p.m 3:56 p.m. 1:52 p.m 2:00 p.m. 12/9/2009 VRTB NasdaqGS 62,100 \$136,465 \$149,036 \$12,571 12:08 p.m 3:02 p.m. 1:48 p.m 1:59 p.m. 12/10/2009 CLFD NasdaqGM 28,701 \$77,492 \$83,519 \$6,027 12:59 p.m 1:23 p.m. 1:14 p.m 1:19 p.m. 12/15/2009 PARL NasdaqGS 45,338 \$98,836 \$108,811 \$9,975 1:11 p.m 1:30 p.m. 1:21 p.m 1:27 p.m. 12/21/2009 ASRV NasdaqGM 80,000 \$123,740				NasdaqGS				\$6,444	1:49 pm 2:08 p.m.	
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12/21/2009 ASRV NasdaqGM 80,000 \$123,740 \$141,500 \$17,760 1:30 p.m 1:49 p.m. 1:38 p.m 1:52 p.m.										
				-			Profits	\$255,532		

^{*} Note on 11/10/2009 ACPW: BroCo trading occurred almost exclusively before 1:45 p.m. (one trade at 3:59 p.m.)

JS 44C/SDNY REV. 1/2008

CIVIL COVER SHEET 2217

The JS-44 civil cover sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law, except as provided by local rules of court. This form, approved by the Judicial Conference of the United States in September 1974, is required for use of the Clerk of Court for the purpose of initiating the civil docket sheet.

PLAINTIFFS			DEFENDANTS				
U.S. Securities and	Exchange Commissi	on	BroCo Investments, Inc. and Valery Maltsev				
Suzanne J. Romajas / Ju U.S. Securities & Exchar 100 F Street, N.E. Washington, DC 20549- CAUSE OF ACTION (CIT (DC	nge Commission 4030 Tel: 202-551-495 ETHE U.S. CIVIL STATUTE	3 UNDER WHICH YOU ARE FI L STATUTES UNLESS DIVER					
Has this or a similar case	e been previously filed in S	DNY at any time? No?	Yes? Judge Previo	usly Assigned			
If yes, was this case Vo	. Invol. Dismissed	. No ☐ Yes ☐ If yes,	give date	& Case No.			
(PLACE AN [x] IN ONE	BOX ONLY)	NATURE	OF SUIT				
	TORTS		ACTIONS UNDER STATUTES				
CONTRACT	PERSONAL INJURY	PERSONAL INJURY	FORFEITURE/PENALTY	BANKRUPTCY	OTHER STATUTES		
[] 110 INSURANCE [] 120 MARINE [] 130 MILLER ACT [] 140 NEGOTIABLE INSTRUMENT [] 150 RECOVERY OF OVERPAYMENT & ENFORCEMENT OF JUDGMENT [] 151 MEDICARE ACT [] 152 RECOVERY OF DEFAULTED STUDENT LOANS (EXCL VETERANS RECOVERY OF OVERPAYMENT OF VETERAN'S BENEFIT'S [] 160 STOCKHOLDERS SUITS [] 190 OTHER CONTRACT CONTRACT [] 195 CONTRACT I LABILITY [] 196 FRANCHISE REAL PROPERTY [] 210 LAND CONDEMNATION [] 220 FORECLOSURE [] 230 REINT LEASE & EJECTMENT [] 240 TORTS TO LAND [] 245 TORT PRODUCT LIABILITY [] 240 TORTS TO LAND [] 245 TORT PRODUCT LIABILITY [] 1290 ALL OTHER REAL PROPERTY	[] 310 AIRPLANE [] 315 AIRPLANE PRODUCT LIABILITY [] 320 ASSAULT, LIBEL & SLANDER [] 330 FEDERAL EMPLOYERS' LIABILITY [] 340 MARINE [] 345 MARINE PRODUCT LIABILITY [] 350 MOTOR VEHICLE PRODUCT LIABILITY [] 350 MOTOR VEHICLE I] 355 MOTOR VEHICLE PRODUCT LIABILITY [] 360 OTHER PERSONAL INJURY ACTIONS UNDER STATUTES CIVIL RIGHTS [] 441 VOTING [] 442 EMPLOYMENT [] 443 MOUSING/ ACCOMMODATIONS [] 444 WELFARE [] 445 AMERICANS WITH DISABILITIES - EMPLOYMENT [] 446 AMERICANS WITH DISABILITIES - OTHER CIVIL RIGHTS [] 440 OTHER CIVIL RIGHTS	[]362 PERSONAL INJURY- MED MALPRACTICE []365 PERSONAL INJURY PRODUCT LIABILITY PERSONAL PROPERTY []370 OTHER FRAUD []371 TRUTH IN LENDING []380 OTHER PERSONAL PROPERTY DAMAGE PROPERTY DAMAGE PROPERTY DAMAGE PRODUCT LIABILITY PRISONER PETITIONS []510 MOTIONS TO VACATE SENTENCE 28 USC 2255 []530 HABEAS CORPUS []555 DEATH PENALTY []5650 CIVIL RIGHTS []555 PRISON CONDITION	PROPERTY 21 USC 881 [] 630 LIQUOR LAWS [] 640 RR & TRUCK [] 650 AIRLINE REGS [] 660 OCCUPATIONAL SAFETY/HEALTH [] 690 OTHER LABOR [] 710 FAIR LABOR STANDARDS ACT [] 720 LABOR/MGMT RELATIONS [] 730 LABOR/MGMT REPORTING & DISCLOSURE ACT [] 740 RAILWAY LABOR ACT [] 790 OTHER LABOR LITIGATION [] 791 EMPL RET INC SECURITY ACT IMMIGRATION [] 462 NATURALIZATION APPLICATION	[] 422 APPEAL 28 USC 158 [] 423 WITHDRAWAL 28 USC 157 PROPERTY RIGHTS [] 820 COPYRIGHTS [] 840 TRADEMARK SOCIAL SECURITY [] 861 HIA (1395ff) [] 862 BLACK LUNG (923) [] 863 DIWC/DIWW (405(g)) [] 864 SSID TITLE XVI [] 865 RSI (405(g)) FEDERAL TAX SUITS [] 870 TAXES (U.S. Plaintiff or Defendant) [] 871 IRS-THIRD PARTY 26 USC 7609	[] 400 STATE REAPPORTIONMENT [] 410 ANTITRUST [] 430 BANKS & BANKING [] 450 COMMERCE [] 480 DEPORTATION RACKETEER INFLUENCED & CORRUPT ORGANIZATION ACT (RICO) [] 480 CONSUMER CREDIT [] 490 CABLE/SATELLITE TV [] 810 SELECTIVE SERVICE SECURTITES/ COMMODITIES/ EXCHANGE [] 875 CUSTOMER CHALLENGE 12 USC 3410 [] 890 OTHER STATUTORY ACTIONS [] 891 AGRICULTURAL ACTS [] 892 ECONOMIC STABILIZATION ACT [] 893 ENVIRONMENTAL MATTERS [] 894 ENERGY ALLOCATION ACT [] 895 FREEDOM OF INFORMATION ACT [] 890 APPEAL OF FEE DETERMINATION UNDER EQUAL ACCESS TO JUSTICE [] 950 CONSTITUTIONALITY OF STATE STATUTES		
Check if demanded CHECK IF THIS IS UNDER F.R.C.P. 2	A CLASS ACTION	DO YOU CLAIM IF SO, STATE:	THIS CASE IS RELATED	TO A CIVIL CASE NOW	PENDING IN S.D.N.Y.?		
	OTHER			DOCKET NUME	BER		
Check YES only if demand JURY DEMAND:	nded in complaint ES M NO			an explanation of why case			

(PLACE AN x IN ONE	E BOX ONLY)		ORIGIN	_			
1 Original Proceeding	2a. Removed from 2b. Removed from State Court Al at least one party is pro se	Appellate Courl n ND		5 Transferi (Specify		Multidistrict 7	Appeal to District Judge from Magistrate Judge Judgment
(PLACE AN x IN ONE	BOX ONLY)	BA	SIS OF JURISD	ICTION		IF DIVERSITY	, INDICATE
1 U.S. PLAINTIFF	2 U.S. DEFE		RAL QUESTION NOT A PARTY)	4 DIVERSIT	Y 	CITIZENSHIP (28 USC 1322	
(Dlass on IV) in		ISHIP OF PRINCIP	·	OR DIVERSIT	Y CASES O	NLY)	
(Place an [X] in	one box for Plaintii	f and one box for Defer	ndant)				
CITIZEN OF THIS STATE	PTF DEF []1 []1	CITIZEN OR SUBJE FOREIGN COUNTE				nd PRINCIPAL PLACE NOTHER STATE	PTF DEF []5 []5
CITIZEN OF ANOTHER S	TATE []2 []2	INCORPORATED <u>or</u> OF BUSINESS IN T		[]4 []4 FO	REIGN NATION		[]6 []6
PLAINTIFF(S) ADDI	RESS(ES) AND C	COUNTY(IES)			<u>-</u>		
U.S. Securities & I 100 F Street, N.E. Washington, D.C.	_	mission					
DEFENDANT(S) AD	DRESS(ES) AND	COUNTY(IES)			-		
BroCo Investment Office 113, 2nd Flo Medine Mews Chaussee Str. Port Louis, Mauriti	oor	ry Maltsev					
	N IS HEREBY MAD	WN DE THAT, AT THIS TIM LOWING DEFENDANT		NABLE, WITH REA	SONABLE DII	LIGENCE, TO ASCE	RTAIN THE
		LD BE ASSIGNED		HITE PLAINS	S V M	ANHATTAN	
DATE 3/12/2010 RECEIPT#	SIGNATURE OF A	maja	D	[] NO M YES ([O TO PRACTIC DATE ADMITTE ar Code # S		, <mark>95</mark>
Magistrate Judge	is to be designat	ted by the Clerk of	the Court.			•	
Magistrate Judge				78/	is so	esignated.	
J. Michael McMah	on. Clerk of Cou	ırt by	Deputy Clerk	•			

UNITED STATES DISTRICT COURT (NEW YORK SOUTHERN)