

OPPORTUNITY FOR COMMENT

Pursuant to this Notice, all interested parties are advised that they may obtain a copy of the Proposed Plan of Distribution (“Plan”) from the Commission’s public website, <http://www.sec.gov>. Interested parties may also obtain a written copy of the Plan by submitting a written request to Nancy Chase Burton, Esq., United States Securities and Exchange Commission, 100 F Street, NE, Washington, DC 20549-5631. All persons who desire to comment on the Plan may submit their comments, in writing, no later than thirty (30) days from the date of this Notice:

1. to the Office of the Secretary, United States Securities and Exchange Commission, 100 F Street, NE, Washington, DC 20549-1090;
2. by using the Commission’s Internet comment form (<http://www.sec.gov/litigation/admin.shtml>); or
3. by sending an e-mail to rule-comments@sec.gov.

Comments submitted should include “Administrative Proceeding File No. 3-15654” in the subject line. Comments received will be publicly available. Persons should submit only information that they wish to make publicly available.

THE DISTRIBUTION PLAN

The Fair Fund is comprised of the amounts of disgorgement, prejudgment interest, and civil monetary penalty paid by Respondents, plus any accumulated interest.² The Plan provides for the refund of a portion of the trading profits taken from Respondents’ customers between October 2, 2006 and December 31, 2011 (the “relevant period”). The proposed methodology provides Respondents’ customers full refunds of trading profits on U.S. securities and pro rata refunds of trading profits on non-U.S. securities. Customers will receive a payment in an amount equal to (i) the trading profits on U.S. securities, (ii) a pro rata portion of the trading profits on non-U.S. securities, or, where applicable, both (i) and (ii).

The Fair Fund is not being distributed according to a claims-made process. The identity of the harmed customers and the amount of trading profits taken from them during the

² The Commission ordered that additional funds arising from related Commission actions shall be aggregated in the Fair Fund. The related actions to date are *In the Matter of Jonathan Samuel Daspin*, Administrative Proceeding File No. 3-15652 (Exchange Act Rel. No. 71126 (Dec. 18, 2013)), which ordered Daspin to pay \$1,111,550 in disgorgement and prejudgment interest; and *In the Matter of Thomas Lekargeren*, Administrative Proceeding File No. 3-15653 (Exchange Act Rel. No. 71127 (Dec. 18, 2013)), which ordered Lekargeren to pay \$117,042 in disgorgement and prejudgment interest. Daspin and Lekargeren have paid their respective ordered amounts to the Commission and these amounts will be added to the Fair Fund for distribution.

relevant period will be determined from the books and records of Respondents.

For the Commission, by its Secretary, pursuant to delegated authority.

Lynn M. Powalski
Deputy Secretary