Full text for Appendix 1: Public Company and Subsidiary Defendants: Timing of Resolutions and Enforcement Venue (FY 2017–FY 2026). Appendix 1 consists of a table whose rows represent fiscal years between FY 2017 and FY 2026 inclusive. Each row has five columns; these columns are as follows (from left to right): SEC Fiscal Year of Initiation, Civil Actions Initiated and Resolved on Same Date, Civil Actions Initiated and Resolved on Different Dates, Administrative Proceedings Initiated and Resolved on Same Date, and Administrative Proceedings Initiated and Resolved on Different Dates. In FY 2017, there were 6 civil actions initiated and resolved on the same date, 1 civil action initiated and resolved on different dates, 58 administrative proceedings initiated and resolved on the same date, and no administrative proceedings initiated and resolved on different dates. In FY 2018, there were 8 civil actions initiated and resolved on the same date, 4 civil actions initiated and resolved on different dates, 61 administrative proceedings initiated and resolved on the same date, and no administrative proceedings initiated and resolved on different dates. In FY 2019, there were 4 civil actions initiated and resolved on the same date, 3 civil actions initiated and resolved on different dates, 89 administrative proceedings initiated and resolved on the same date, and no administrative proceedings initiated and resolved on different dates. In FY 2020, there were 5 civil actions initiated and resolved on the same date, 3 civil actions initiated and resolved on different dates, 54 administrative proceedings initiated and resolved on the same date, and no administrative proceedings initiated and resolved on different dates. In FY 2021, there was 1 civil action initiated and resolved on the same date, 6 civil actions initiated and resolved on different dates, 46 administrative proceedings initiated and resolved on the same date, and no administrative proceedings initiated and resolved on different dates. In FY 2022, there were 3 civil actions initiated and resolved on the same date, 5 civil actions initiated and resolved on different dates, 60 administrative proceedings initiated and resolved on the same date, and no administrative proceedings initiated and resolved on different dates. In FY 2023, there were 4 civil actions initiated and resolved on the same date, 3 civil actions initiated and resolved on different dates, 84 administrative proceedings initiated and

resolved on the same date, and no administrative proceedings initiated and resolved on different dates. In FY 2024, there were 2 civil actions initiated and resolved on the same date, 3 civil actions initiated and resolved on different dates, 75 administrative proceedings initiated and resolved on the same date, and no administrative proceedings initiated and resolved on different dates. In FY 2025, there were 3 civil actions initiated and resolved on the same date, no civil actions initiated and resolved on different dates, 53 administrative proceedings initiated and resolved on the same date, and no administrative proceedings initiated and resolved on different dates. In FY 2026, there was 1 civil action initiated and resolved on the same date, 3 civil actions initiated and resolved on different dates, 12 administrative proceedings initiated and resolved on the same date, and no administrative proceedings initiated and resolved on different dates.