

United States v. Bonventre, et al., S10 10 Cr. 228 (LTS)

COUNT(S)	CHARGE	DEFENDANT(S)	MAXIMUM PENALTIES
ONE	Conspiracy to Commit Securities Fraud, Falsify Records of a Broker-Dealer, Falsify Records of an Investment Adviser, and to Commit Mail Fraud	Daniel Bonventre Annette Bongiorno Joann Crupi Jerome O'Hara George Perez	Five yrs. imprisonment; three yrs. supervised release; fine of the greatest of \$250,000 or twice the gross gain or loss; mandatory \$100 special assessment; and restitution
TWO	Conspiracy to Commit Securities Fraud, Falsify Records of a Broker-Dealer, and Falsify Records of an Investment Adviser	Daniel Bonventre Joann Crupi Jerome O'Hara George Perez	Five yrs. imprisonment; three yrs. supervised release; fine of the greatest of \$10,000 or twice the gross gain or loss; mandatory \$100 special assessment; and restitution
THREE	Conspiracy to Commit Securities Fraud, Falsify Records of a Broker-Dealer, Falsify Records of an Investment Adviser, to Make False Filings with the SEC, to Commit Mail Fraud, and to Commit Bank Fraud	Daniel Bonventre	Five yrs. imprisonment; three yrs. supervised release; fine of the greatest of \$10,000 or twice the gross gain or loss; mandatory \$100 special assessment; and restitution
FOUR	Conspiracy to Obstruct and Impede the Lawful Governmental Function of the Internal Revenue Service	Daniel Bonventre	Five yrs. imprisonment; three yrs. supervised release; fine of the greatest of \$10,000 or twice the gross gain or loss; mandatory \$100 special assessment; and restitution

SIX	Securities Fraud	Daniel Bonventre Annette Bongiorno Joann Crupi Jerome O'Hara George Perez	20 yrs. imprisonment; three yrs. sup. release; fine of the greatest of \$5,000,000 or twice the gross gain or loss; mandatory \$100 special assessment; restitution
SEVEN	Securities Fraud	Daniel Bonventre Joann Crupi Jerome O'Hara George Perez	20 yrs. imprisonment; three yrs. sup. release; fine of the greatest of \$5,000,000 or twice the gross gain or loss; mandatory \$100 special assessment; restitution
EIGHT	Securities Fraud	Daniel Bonventre	20 yrs. imprisonment; three yrs. sup. release; fine of the greatest of \$5,000,000 or twice the gross gain or loss; mandatory \$100 special assessment; restitution
NINE	Falsifying Records of a Broker-Dealer	Daniel Bonventre Annette Bongiorno Joann Crupi Jerome O'Hara George Perez	20 yrs. imprisonment; three yrs. sup. release; fine of the greatest of \$5,000,000 or twice the gross gain or loss; mandatory \$100 special assessment; restitution
TEN	Falsifying Records of a Broker-Dealer	Daniel Bonventre Joann Crupi Jerome O'Hara George Perez	20 yrs. imprisonment; three yrs. sup. release; fine of the greatest of \$5,000,000 or twice the gross gain or loss; mandatory \$100 special assessment; restitution
ELEVEN	Falsifying Records of a Broker-Dealer	Daniel Bonventre	20 yrs. imprisonment; three yrs. sup. release; fine of the greatest of \$5,000,000 or twice the gross gain or loss; mandatory \$100 special assessment; restitution
TWELVE	Falsifying Records of an Investment Adviser	Daniel Bonventre Annette Bongiorno Joann Crupi Jerome O'Hara George Perez	Five yrs. imprisonment; three yrs. sup. release; \$250,000 or twice the gross gain or loss; mandatory \$100 special assessment; restitution

THIRTEEN	Falsifying Records of an Investment Adviser	Daniel Bonventre Joann Crupi Jerome O'Hara George Perez	Five yrs. imprisonment; three yrs. sup. release; \$250,000 or twice the gross gain or loss; mandatory \$100 special assessment; restitution
FOURTEEN	Falsifying Records of an Investment Adviser	Daniel Bonventre	Five yrs. imprisonment; three yrs. sup. release; \$250,000 or twice the gross gain or loss; mandatory \$100 special assessment; restitution
FIFTEEN	False Filing With the SEC	Daniel Bonventre	20 yrs. imprisonment; three yrs. sup. release; fine of the greatest of \$5,000,000 or twice the gross gain or loss; mandatory \$100 special assessment; restitution
SIXTEEN	Conspiracy to Commit Bank Fraud	Joann Crupi	30 yrs. imprisonment, five yrs. S/R, a fine of \$1,000,000, or twice the gross pecuniary gain or loss from the offense, \$100 sp. assessment
SEVENTEEN	Bank Fraud	Joann Crupi	30 yrs. imprisonment, five yrs. S/R, a fine of \$1,000,000, or twice the gross pecuniary gain or loss from the offense, \$100 sp. assessment
EIGHTEEN	Bank Fraud	Daniel Bonventre	30 yrs. imprisonment, five yrs. S/R, a fine of \$1,000,000, or twice the gross pecuniary gain or loss from the offense, \$100 sp. assessment
TWENTY THROUGH TWENTY-THREE	Subscribing to a False Individual Income Tax Return	Daniel Bonventre	Three yrs. imprisonment; one yr. sup. release; fine of the greatest of \$250,000 or twice the gross gain or loss; mandatory \$100 special assessment; costs of prosecution

TWENTY-FOUR	Obstructing and Impeding the Due Administration of the Internal Revenue Laws	Daniel Bonventre	Three yrs. imprisonment; one yr. sup. release; fine of the greatest of \$250,000 or twice the gross gain or loss; mandatory \$100 special assessment; costs of prosecution
TWENTY-FIVE THROUGH TWENTY-NINE	Tax Evasion	Annette Bongiorno	Five yrs. imprisonment; three yrs. sup. release; fine of the greatest of \$250,000 or twice the gross gain or loss; mandatory \$100 special assessment; costs of prosecution
THIRTY	Obstructing and Impeding the Due Administration of the Internal Revenue Laws	Annette Bongiorno	Three yrs. imprisonment; one yr. sup. release; fine of the greatest of \$250,000 or twice the gross gain or loss; mandatory \$100 special assessment; costs of prosecution
THIRTY-ONE THROUGH THIRTY-THREE	Tax Evasion	Joann Crupi	Five yrs. imprisonment; three yrs. sup. release; fine of the greatest of \$250,000 or twice the gross gain or loss; mandatory \$100 special assessment; costs of prosecution