

UNITED STATES DISTRICT COURT  
DISTRICT OF MASSACHUSETTS

_____	)	
SECURITIES AND EXCHANGE	)	
COMMISSION,	)	
	)	
<b>Plaintiff,</b>	)	
	)	
<b>v.</b>	)	
	)	
CHARLIE JINAN CHEN,	)	<b>Civil Action No.</b>
	)	<b>18-10657-FDS</b>
	)	
<b>Defendant,</b>	)	
	)	
<b>and</b>	)	
	)	
SHUI FOON MOK,	)	
	)	
<b>Relief Defendant.</b>	)	
_____	)	

**FINAL JUDGMENT**

**SAYLOR, C.J.**

In accordance with Jury Verdict returned on February 3, 2020 (ECF 67) and the Memorandum and Order on Defendant’s Motion for Judgment as a Matter of Law or for a New Trial and Plaintiff’s Motion for Entry of Judgment filed this day (ECF 97), IT IS HEREBY ORDERED, ADJUDGED, AND DECREED that:

1. Defendant, Charlie Jinan Chen (“Defendant”), is permanently restrained and enjoined from violating, directly or indirectly, Section 10(b) of the Securities Exchange Act of 1934 (the “Exchange Act”), 15 U.S.C. § 78j(b), and Rule 10b-5 promulgated thereunder, 17 C.F.R. § 240.10b-5, by using any means or instrumentality of interstate commerce, or

of the mails, or of any facility of any national securities exchange, in connection with the purchase or sale of any security:

- (a) to employ any device, scheme, or artifice to defraud;
  - (b) to make any untrue statement of a material fact or to omit to state a material fact necessary in order to make the statements made, in the light of the circumstances under which they were made, not misleading; or
  - (c) to engage in any act, practice, or course of business which operates or would operate as a fraud or deceit upon any person.
2. As provided in Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also binds the following who receive actual notice of this Final Judgment by personal service or otherwise: (a) Defendant's officers, agents, servants, employees, and attorneys; and (b) other persons in active concert or participation with Defendant or with anyone described in (a).
3. Defendant is permanently restrained and enjoined from violating Section 17(a) of the Securities Act of 1933 (the "Securities Act"), 15 U.S.C. § 77q(a), in the offer or sale of any security by the use of any means or instruments of transportation or communication in interstate commerce or by use of the mails, directly or indirectly:
- (a) to employ any device, scheme, or artifice to defraud;
  - (b) to obtain money or property by means of any untrue statement of a material fact or any omission of a material fact necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading;
- or

(c) to engage in any transaction, practice, or course of business which operates or would operate as a fraud or deceit upon the purchaser.

4. As provided in Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also binds the following who receive actual notice of this Final Judgment by personal service or otherwise: (a) Defendant's officers, agents, servants, employees, and attorneys; and (b) other persons in active concert or participation with Defendant or with anyone described in (a).
5. Defendant shall pay a civil penalty in the amount of \$892,827.00 to the Securities and Exchange Commission pursuant to Section 21A of the Exchange Act, 15 U.S.C. § 78u-1, and the Insider Trading and Securities Fraud Enforcement Act of 1988.
6. Defendant shall make payment no later than 42 days from the entry of this Final Judgment, or, in the alternative, according to a reasonable installment schedule based on his ability to pay. Defendant and the Commission shall confer and either (a) submit to the Court a stipulated payment schedule, or (b) move separately for an order providing a particular payment schedule, no later than 35 days from the entry of this Final Judgment.
7. Defendant may transmit payment electronically to the Commission, which will provide detailed ACH transfer/Fedwire instructions upon request. Payment may also be made directly from a bank account via Pay.gov through the SEC website at <http://www.sec.gov/about/offices/ofm.htm>. Defendant may also pay by certified check, bank cashier's check, or United States postal money order payable to the Securities and Exchange Commission, which shall be delivered or mailed to:

Enterprise Services Center  
Accounts Receivable Branch  
6500 South MacArthur Boulevard  
Oklahoma City, OK 73169

and shall be accompanied by a letter identifying the case title, civil action number, and name of this Court; Charlie Chen as a defendant in this action; and specifying that payment is made pursuant to this Final Judgment.

8. Defendant shall simultaneously transmit photocopies of evidence of payment and case identifying information to the Commission's counsel in this action. By making this payment, Defendant relinquishes all legal and equitable right, title, and interest in such funds and no part of the funds shall be returned to Defendant. The Commission shall send the funds paid pursuant to this Final Judgment to the United States Treasury.
9. Defendant shall pay post judgment interest on any delinquent amounts pursuant to 28 U.S.C. § 1961.
10. This Court shall retain jurisdiction of this matter for the purposes of enforcing the terms of this Final Judgment.

Dated: January 30, 2025

BY THE COURT,  
**Barbara I. Beatty**  
Deputy Clerk