

**IN THE UNITED STATES DISTRICT COURT  
FOR THE NORTHERN DISTRICT OF ILLINOIS  
EASTERN DIVISION**

|   |   |                                      |
|---|---|--------------------------------------|
| <b>UNITED STATES SECURITIES AND<br/>EXCHANGE COMMISSION,</b>                      | : |                                      |
|   | : |                                      |
| <b>Plaintiff,</b>   | : |                                      |
|   | : |                                      |
| <b>v.</b>   | : | <b>Civil Action No. 1:25-cv-7491</b> |
|   | : |                                      |
| <b>ELISEO JOJO PRISNO and P/E<br/>CAPITAL INVESTMENT<br/>MANAGEMENT PARTNERS,</b> | : | <b>Hon. Jorge L. Alonso</b>          |
|   | : |                                      |
| <b>Defendants.</b>  | : |                                      |
|   | : |                                      |

**JUDGMENT AS TO DEFENDANT P/E CAPITAL  
INVESTMENT MANAGEMENT PARTNERS**

The Securities and Exchange Commission having filed a Complaint and Defendant P/E Capital Investment Management Partners (“Defendant”) having entered a general appearance; consented to the Court’s jurisdiction over Defendant and the subject matter of this action; consented to entry of this Judgment without admitting or denying the allegations of the Complaint (except as to jurisdiction and except as otherwise provided herein in paragraph II); waived findings of fact and conclusions of law; and waived any right to appeal from this Judgment:

I.

IT IS HEREBY ORDERED, ADJUDGED, AND DECREED that Defendant is permanently restrained and enjoined from violating, directly or indirectly, Section 206(1) and Section 206(2) of the Investment Advisers Act of 1940 (the “Advisers Act”) [15 U.S.C § 80b-

6(1)-(2)], by use of the mails or any means or instrumentality of interstate commerce, directly or indirectly:

- (1) to employ any device, scheme, or artifice to defraud any client or prospective client; and
- (2) to engage in any transaction, practice, or course of business which operates as a fraud or deceit upon any client or prospective client

by: (i) approving actions on clients' behalf without their authorization, including by accessing client brokerage or advisory accounts using client credentials, or otherwise impersonating clients to financial institutions; or by (ii) charging, invoicing, or collecting from any advisory client any fee not fully disclosed in advance and expressly authorized in writing by the client.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that, as provided in Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also binds the following who receive actual notice of this 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).

## II.

IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that Defendant shall pay disgorgement of ill-gotten gains, prejudgment interest thereon, and a civil penalty pursuant to Section 21(d)(3) and (d)(7) of the Securities Exchange Act of 1934 [15 U.S.C. § 78u(d)(3), (7)] and Section 209(e) of the Advisers Act [15 U.S. Code § 80b-9(e)]. The Court shall determine the amounts of the disgorgement and civil penalty upon motion of the Commission. Prejudgment interest shall be calculated based on the amount of fees charged to

clients each quarter (excluding the standard advisory fee) from the last day of such quarter, dating back to February 1, 2019, based on the rate of interest used by the Internal Revenue Service for the underpayment of federal income tax as set forth in 26 U.S.C. § 6621(a)(2).

In connection with the Commission's motion for disgorgement, prejudgment interest, and civil penalties, and at any hearing held on such a motion: (a) Defendant will be precluded from arguing that he did not violate the federal securities laws as alleged in the Complaint; (b) Defendant may not challenge the validity of the Consent or this Judgment; (c) solely for the purposes of such motion, the allegations of the Complaint shall be accepted as and deemed true by the Court; and (d) the Court may determine the issues raised in the motion on the basis of affidavits, declarations, excerpts of sworn deposition or investigative testimony, and documentary evidence, without regard to the standards for summary judgment contained in Rule 56(c) of the Federal Rules of Civil Procedure. In connection with the Commission's motion for disgorgement, prejudgment interest, and civil penalties, the parties may take discovery, including discovery from appropriate non-parties.

III.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that the Consent is incorporated herein with the same force and effect as if fully set forth herein, and that Defendant shall comply with all of the undertakings and agreements set forth therein.

IV.

There being no just reason for delay, pursuant to Rule 54(b) of the Federal Rules of Civil Procedure, the clerk is ordered to enter this judgment forthwith and without further notice.

Dated: March 26, 2026



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UNITED STATES DISTRICT JUDGE