

COUNT	CHARGE	MAXIMUM PENALTIES PER COUNT
Count 1	Investment Adviser Fraud	5 years in prison and a fine of \$10,000
Count 2	Securities Fraud	20 years in prison and a fine of \$5,000,000 or twice the gross gain or loss from the offense
Counts 3-7	Wire Fraud	20 years in prison and a fine of \$250,000 or twice the gross gain or loss from the offense
Counts 8-15	Travel Act Violations	5 years in prison and a fine of \$250,000 or twice the gross gain or loss from the offense