

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

- - - - -X
:
UNITED STATES OF AMERICA :
:
- v. - :
: **INFORMATION**
SERGEI POLEVIKOV, :
: 21 Cr. ____ (LJL)
Defendant. :
:
- - - - -X

COUNT ONE
(Securities Fraud)

The United States Attorney charges:

1. From at least in or about January 2014 through at least in or about October 2019, in the Southern District of New York and elsewhere, SERGEI POLEVIKOV, the defendant, willfully and knowingly, directly and indirectly, by use of the means and instrumentalities of interstate commerce, the mails and the facilities of national securities exchanges, used and employed manipulative and deceptive devices and contrivances in connection with the purchase and sale of securities, in violation of Title 17, Code of Federal Regulations, Section 240.10b-5, by:
(a) employing devices, schemes and artifices to defraud;
(b) making untrue statements of material facts and omitting to state material facts necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading; and (c) engaging in acts, practices and courses of

business which operated and would operate as a fraud and deceit upon persons, to wit, POLEVIKOV fraudulently misappropriated confidential information from his employer, a Manhattan-based asset management firm (the "Employer Firm"), about the Employer Firm's confidential trading activity, and used that information for his own profit by making and causing profitable securities trades in accounts controlled or directed by POLEVIKOV.

(Title 15, United States Code, Sections 78j(b) & 78ff; Title 17, Code of Federal Regulations, Section 240.10b-5; Title 18, United States Code, Section 2.)

FORFEITURE ALLEGATION

2. As a result of committing the offense charged in Count One of this Information, SERGEI POLEVIKOV, the defendant, shall forfeit to the United States pursuant to Title 18, United States Code, Section 981(a)(1)(C) and Title 28, United States Code Section 2461, any property, real or personal, that constitutes or is derived from proceeds traceable to the commission of the offense alleged in Count One of this Information that the defendant personally obtained.

Substitute Assets Provision

3. If any of the above-described forfeitable property, as a result of any act or omission by the defendant:

a. cannot be located upon the exercise of due diligence;

b. has been transferred or sold to, or deposited with, a third party;

c. has been placed beyond the jurisdiction of the court;

d. has been substantially diminished in value; or

e. has been commingled with other property which cannot be divided without difficulty;

it is the intent of the United States, pursuant to Title 21, United States Code, Section 853(p), and Title 28, United States Code Section 2461, to seek forfeiture of any other property of the defendant up to the value of the forfeitable property described above.

(Title 18, United States Code, Section 981(a)(1)(C);
Title 21, United States Code, Section 853(p);
Title 28, United States Code, Section 2461.)



DAMIAN WILLIAMS
United States Attorney

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78j(b) & 78ff; Title 17, Code of Federal
Regulations, Section 240.10b-5; Title
18, United States Code, Section 2.)

DAMIAN WILLIAMS

U.S. Attorney.
