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MICROCAP FRAUD · THE FULL MAP

Skills & *Expertise*

The records and analysis behind over a decade investigating microcap fraud, including nine years as principal investigator for the SEC's Microcap Fraud Task Force.

Adviser Fraud & Boiler Rooms

Account-statement verification, cross-account trading analysis, and sales-operation records.

Bank Analysis & Fund Tracing

Bank statement reconstruction, Fedwire and CHIPS, SWIFT messages, correspondent banking, and offshore tracing through secrecy jurisdictions.

Concealed Ownership

Control-group and reporting-threshold analysis, nominee structures, and IP, VPN, chat, and phone-record correlation.

Convertible Financing & Dilution

Convertible-note terms, discount-to-market conversion cycles, and cap-table analysis.

Cross-Border Schemes

Foreign broker-dealer order flow, international routing reconstruction, and offshore entity and account records.

Document Review & Productions

Case-file and e-production review, prioritization of voluminous records, deduplication, and drafting document requests.

Gatekeepers

Attorney opinion letters, transfer agent files, audit engagement records, and dealer registration analysis.

Market Manipulation

Matched-order and wash-trade reconstruction, marking-the-close and spoofing analysis, float and liquidity control, and price and volume impact.

Market Mechanics

Custody and clearing, transfer agent operations, the roles of introducing, executing, and clearing brokers, OTC quotation mechanics, and cross-market trading.

OTC Filings & Financial Forensics

OTC Markets disclosure under the alternative reporting standard, EDGAR review, materiality analysis, and beneficial-ownership tables.

Promotion & False Statements

Compensation tracing, authorship analysis, campaign analytics, and press-release timing against trading records.

Shells & Reverse Mergers

Formation and reactivation records, quotation and settlement eligibility, and reverse-merger and PIPE structures.

Unregistered Distributions

Registration-chain reconstruction across EDGAR, Rule 144 analysis, restrictive-legend removal, and distribution-chain economics.

WHERE THIS IS APPLIED

Expert witness work, fraud investigations, and litigation support. Every engagement starts with a conflicts check and a confidential review of your matter, with a response within 1-2 business days.