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SERVICES · INVESTIGATIONS

Microcap Fraud *Investigations*

When something looks off in a microcap stock, the answer is in the records. Joe finds what happened, what it means, and where that leaves you, drawing on nine years as principal investigator for the SEC's Microcap Fraud Task Force.

ENGAGEMENTS

Suspected fraud in a position

Manipulation, dilution, or promotion in a stock you hold or trade.

Pre-suit workups

Testing whether the records support the claims in a private investor lawsuit before a complaint is drafted.

Whistleblower complaints

Building the documented record behind a submission to the SEC or another regulator.

Diligence

An issuer, financier, or counterparty examined before money moves.

Reconstruction after a loss

What happened, who was involved, and where the money went.

WHAT TO EXPECT

Scope

A confidential read of the matter and a conflicts check. The engagement can be a higher-level assessment, a full reconstruction, or anywhere in between.

Records

Trading and brokerage data, bank records, transfer agent files, EDGAR and OTC disclosures, and the promotion itself; document requests drafted, or drafted with counsel, aimed at the records that matter.

Reconstruction

Trading reconstruction, bank analysis and fund tracing, ownership analysis, and promotion timelines.

Findings

A written chronology and a findings memo setting out what happened and what the records show, each point tied to the exhibit behind it.

Next steps

A record built to be used, whether for a whistleblower submission, a complaint, a negotiation, or the litigation that follows.

STARTING AN ENGAGEMENT

Every engagement starts with a conflicts check and a confidential read of your matter, with a response within 1-2 business days.