

1 13. At all times relevant hereto, Defendants, and each of them, and enhanced by the special
2 relationship created by the fiduciary nature of the roles of the parties, owed a duty of care and good
3 faith and fair dealing with regard to any transaction entered into by the parties and with regard to
4 all of the dealings between Plaintiff and Defendants as alleged herein.
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6 14. Plaintiff is informed and believes, and thereon alleges, that the Defendants herein, and
7 each of them, are named in their respective purported or putative capacities only, based on
8 Plaintiff's claims or assertions only, and are not to be taken as judicial admissions by Plaintiffs of
9 any fact or facts in dispute in this action.
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11 14a. Plaintiff alleges that although suppressed and concealed by Defendants, in or about
12 November 2021, Finra and the Securities Exchange Commission ("SEC") and the department
13 heads therein, believed to include both Robert Cooke, CEO of Finra, as well as Gary Gensler, were
14 specifically aware of and permitted the Fraud that had been utilized with the help of Finra
15 representatives in or about October 2021 in establishing MMTLP to unlawfully trade using false
16 documents and without authorization. Upon information and belief, Finra permitted MMTLP to
17 trade because they received illegal financial favors, future financial favors or other illegal
18 remuneration that was contrary to their mission statement of both Finra & the SEC and law and
19 that it was designed to be personal and aid illegal business activity that could not constitute
20 regulatory activity, in fact Plaintiff alleges that it was ANTI-regulatory activity
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24 14b. Plaintiff alleges that on or about November 29, 2021, Finra, by and through its chief
25 enforcement police and intelligence officers, who were also prior senior enforcement officers at
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1 the SEC, including Mr. Sam Draddy & Patricia Casimates, representatives of Robert Cooke,
2 representatives of Gary Gensler of the SEC, and others in the SEC, whose names are surprisingly
3 redacted, because of ongoing fraud in the establishment by Finra of MMTLP trading, initiated a
4 criminal fraud investigation as to how trading on MMTLP had illegally commenced. It is now
5 understood that the two initial market makers (upon information and belief GTS & CANACCORD
6 but awaiting disclosure by Defendants, confirmation or discovery to confirm and add them if
7 appropriate) with the assistance of both Finra, the Sec and facilitated by Broker-Dealers like
8 Fidelity herein, acted without authorization, using the wrong and inaccurate documents and
9 despite direct disclosure from 3rd parties as to why it should not trade, known prior to November
10 2021 by Finra & the Sec at the very highest levels of the entities, not only let MMTLP improperly
11 trade but permitted it partners and friends to short MMTLP using counterfeit and illegal shares
12 that were not closed out
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16 14c. Plaintiff alleges that although an apparent investigation was undertaken and that any
17 legitimate investigation of these transactions that was not influenced by monetary or other
18 corruption, would yield a result showing the illegality of MMTLP trading and the necessity of an
19 immediate disclosure to public traders, but because of the fraud, corruption and bribery and on
20 other consideration, that Finra, the SEC, Fidelity and all other Defendants received, suppressed
21 and concealed the findings of this and later investigations (which would have been an
22 embarrassment and criminal issue for Defendants).Neither the existence or outcome of any
23 investigation as to MMTLP impacting shareholders was ever made public by any of the named
24 Defendants although all Defendants were specifically aware that said information was material to
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any investment decision made by Plaintiff and other investors.

14d. Plaintiff alleges that although Finra, Mr. Draddy, Ms. Casimates, Robert Cooke, Gary Gensler were aware no later than November 2021 that retail investors would also purchase MMTLP stock (it was primarily used by illegal short traders, facilitated by the corrupt and illegal practices of regulators and facilitated by brokers such as Defendant Fidelity) if they did not disclose the fraud and corruption that existed with the trading and shorting of MMTLP shares., Both Finra and the SEC, led by Robert Cooke & Gary Gensler, and with it being their ultimate responsibility, hid that information and the outcome and findings of the investigations intentionally and with malice with full knowledge so that short traders, hedge funds and broker dealers who fund Finra would be financially benefitted while evading taxes, while long retail traders were knowingly harmed. Plaintiff is informed and believes that as a result of the actions of Defendants, and each of them, that not only has plaintiff and other MMTLP shareholders lost money but there have been multiple suicides, illnesses ,divorces and other consequences that should not have transpired to retail traders and their families during Christmas. The intention of Finra & the other Defendants by not reporting its conclusions and not shutting down the trading of MMTLP in 2021 and any time before December 6, 2022, was to permit holders of short positions to further transact business using false and counterfeit securities while making it so they never had to close any short positions in MMTLP, could make large gains, not pay taxes and defraud the government and taxpayers of the US (while permitting and conspiring as to the commission of crimes). Moreover, Defendants received financial consideration for actively participating in the scheme and also permitting the illegal conduct to continue despite knowledge. at the same time of such criminal

activity. ..

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2 14e. Plaintiff alleges that not only did Defendants not disclose the results of their findings
3 from the November 29, 2021 and December 2, 2022 fraud investigations, but they concealed the
4 documents with the intention of keeping it away from retail traders and all citizens. It was only
5 through a December 16, 2022 dated FOIA request, the only one of which has any real response
6 (although even that was incomplete and received after 3-30-2023) that uncovered the intentional
7 coverup and obstruction of justice and of a criminal investigations undertaken but concealed and
8 obstructed by Finra, the Sec , Robert Cooke and Gary Gensler.. Even the 3-16-2022 Finra
9 purported “full fact FAQ” dated 3-16-2022 surprisingly failed to mention any of the investigations,
10 outcomes, parties, claims, etc. at any time referenced in the subsequently produced dated 3-30-
11 2023 FOIA reply..
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15 14f. Plaintiff alleges that while Finra, the SEC, Robert Cooke, Gary Gensler, Sam Draddy,
16 Patricia Casimates, Richard Boyle, Jay Gibbon and others, on information and belief, either paid
17 bribes or were paid monetary bribes,, paid or received other financial consideration, did illegal
18 favors or received illegal favors, set up future employment in their own personal interests and other
19 improper personal business considerations, that they intentionally hid the existence and results of
20 the fraud investigations started in 2021 and in 2022 re MMTLP from retail traders. Plaintiff alleges
21 that they permitted investors such a Plaintiff to buy MMTLP shares that all the above named
22 individuals (Draddy etc.) knew were counterfeit, diluted and illegal shares. They permitted and
23 welcomed short buyers to dilute retail by purchasing counterfeit short shares which they knew
24 Finra & the SEC and the other Defendants would never make them close, cover , nor recognize
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1 any gain nor pay taxes. Following the trading halt instituted by FINRA, The SEC, The DTCC,
2 upon information and belief, and with the knowledge and consent of the Broker-Dealers such as
3 and including Fidelity, the above acted in conformity with their plan by transferring counterfeit
4 short positions that never had to close to NB. (admitted by Finra per their 3-16-2023 FAQ on
5 MMTLP). Not only was that fraud, securities fraud, conspiracy to commit securities fraud,
6 conspiracy to commit obstruction of justice, conspiracy to commit tax evasion, conspiracy to aid
7 in tax evasion, possible tax evasion, obstruction of justice and probably a series of other intentional
8 financial crimes, but the actions also diluted Plaintiff's positions and illegally and intentionally
9 deprived the Country of tax revenue that was rightfully due. As of today, Plaintiff's position at
10 Fidelity arising out of the MMTLP matter is zero and as of now Plaintiff has lost the entirety of
11 his investment.
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15 14g. Plaintiff alleges that Finra, despite advanced technology, and despite knowledge by
16 Draddy and Cooke, and the SEC, by and through Gary Gensler, and both Finra & SEC general
17 Counsel, not only took no action to deal with the fraud and corruption arising out of both the 2021
18 & 2022 investigations, and, moreover, when the issue was addressed in early December 2022, the
19 same individuals referenced in paragraph 14f above, when pretending that the MMTLP issue had
20 just arisen, further concealed the existence of both the 2021 and 2022 investigations. Plaintiff
21 alleges that Per the 3-30-2023 FOIA response, Finra, by and though Cooke, Boyle, Gibbon,
22 Draddy and Casimates, further concealed the existence of the prior investigations and facts
23 constituting Fraud and criminality. They did inadvertently acknowledge, though, that prior to
24 December 2022 that Finra's Market Fraud Investigations teams received several tips relating to
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1 Fraud of MMTLP prior to the spinoff completion. Plaintiff alleges that the FOIA response does
2 not include any of the reflected tips, nor, what happened. At no time have any of the Defendants
3 disclosed the existence or outcome of the November 2021, or December 2022 investigations, the
4 tips which were never disclosed to traders (retail traders that is—short holders were clearly tipped
5 off prior to the 8th of December 2022) or anything. Moreover, all Defendants permitted all long
6 retail traders to continue to trade MMTLP shares through 2022, despite Defendants' knowledge
7 that the long traders were being unfairly treated and would only lose their money if they traded
8 MMTLP (in particular the last few days of trading when Plaintiff purchased his MMTLP shares
9 from Fidelity). Plaintiff purchased his shares after both the 2021 and 2022 investigations but prior
10 to any disclosure of the real facts (starting in late March 2023).
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13 14h. Plaintiff alleges that as suggested in the FOIA response, dated on or about 3-30-2023,
14 that prior to December 1, 2022, with full knowledge of all criminal misconduct, the fact that
15 MMTLP should not have traded in the first place, with full knowledge of the illegality, and under
16 the supervision of Robert Cooke and Gary Gensler, Defendants collectively concocted a plot, and
17 agreed no later than 12-2-2022, and conspired and took action in furtherance of same, whereby as
18 of 12-2-2022, they knew and collectively agreed that without informing the public that they would
19 halt the trading of MMTLP stock just prior to trading on 12-9-2022, not require short holders to
20 close positions, move those counterfeit and illegal short positions to Next Bridge Hydrocarbons
21 ("NB"), not require those short positions to recognize or pay taxes on gains (Plaintiff alleges that
22 on the 8th of December 2022 trading of counterfeit shares reduced the share price from
23 approximately \$8.25 to \$2.88 per share that day resulting in a large gain for all short holders that
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1 day that Defendants made sure they never had to recognize)). Moreover, Defendants, and each
2 of them, further obstructed justice and conspired to commit tax fraud and other crimes by never
3 disclosing these communications and the existence of the 2022 fraud investigation. Plaintiff is
4 informed and believes, and therein asserts, that the basis for the Finra & SEC conduct in
5 suppressing the fraud reports and permitting the illegal and unlawful trading of counterfeit short
6 positions, and upon information and belief, was personal and financial benefit for regulators such
7 as Cooke & Gensler, and financial remuneration or other illegal remuneration, favors or past
8 financial favors, future employment or positions, for Finra representatives such as Draddy,
9 Casimates, Gibbons, Boyle & Cooke and others . The choice by Defendants above to engage in
10 illegal conduct for illegal remuneration or other illegal benefits, was undertaken by Finra, the SEC
11 and any and all others involved outside of any regulatory conduct. In fact, and plaintiff is informed
12 and believes, that the actions undertaken by Defendants above were anti regulatory and completely
13 outside any regulatory capacity. Plaintiff alleges It would be like asserting that an off duty cop
14 who robs a liquor store is acting in his law enforcement capacity.
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18 14i. Plaintiff alleges that per the 3-30-2023 dated FOIA reply, it is clear that all of the
19 heads at Finra & the SEC were involved in the planning of the false trading halt no later than 12-
20 2-2022. Finra, with the consent of the SEC, and with knowledge and consent of broker dealers like
21 Fidelity, as well as apparently general counsel, and as referenced in the 3-16-2023 Finra FAQ,
22 besides admitting that although there were trapped shorts in NB that could not trade (as the OTC
23 has apparently just also confirmed), Defendants, and Finra generated multiple False Corporate
24 Action notices (at least 12-6 & 12-8) that were intended to deceive the public and did deceive
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1 Plaintiff (as they had a contrary plan in the works already) Instead Finra's published Corporate
2 action notices, which Defendants knew were intentionally false (again for the benefit of short
3 holders, hedge funds, broker dealers and all defendants who would benefit financially and
4 defendants, on information and belief, who were bribed, received other material consideration or
5 were paid directly or other such unethical and illegal items). Defendants falsely asserted that
6 MMTLP would trade thru the end of the 8th of December, and thereafter before being delisted and
7 shares move to NB, that short holders (there were millions of counterfeit shares just on the 8th let
8 alone hundreds of millions prior) they would need to cover and close only on the 9th and 12th (with
9 a commensurate rise in stock price due to the huge number of short shares that needed to be covered
10 which had to be borrowed). Broker dealers such as Fidelity made illegal funds by illegally lending
11 these counterfeit shares to short holders for a return of interest and other consideration. They
12 received interest on these illegal shares, until the positions were closed—which still has yet to
13 happen. They were aware of and knew that MMTLP would not trade when they sold Plaintiff
14 MMTLP shares in December 2022. Prior to 12-6-2022, Defendants, and each of them, knew that
15 if they let MMTLP trade after the 8th of December, that the price would explode contrary to their
16 interests and the interests of the short holders and the hedge funds that they were protecting.
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21 14j. Plaintiff alleges that the failure to disclose the falsity of the 12-6 & 12-8 Corporate
22 action notices was intended to protect the short sellers so that they would not have to recognize
23 any tax gain and they could generate a large profit on these transactions and to continue to have
24 retail purchase counterfeit diluted shares which transactions generated compensation and
25 remuneration for Defendants.. When they issued both false Corporate action notices on 12-6 &
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1 12-8, all defendants knew that there were a gargantuan amount, hundreds of millions of illegal
2 and counterfeit short shares, because per the FOIA response the **Defendants had pulled the Blue**
3 **Sheets** (which yields the correct count of shares held by each broker before 12-6-2022). Moreover,
4 all defendants were fully aware of the fact that MMTLP would be hard to reconcile do to the
5 extensive and ongoing illegal shorting of MMTLP which Defendants facilitated intentionally.
6 Despite that knowledge prior to 12-5-2022, they let retail shareholders like plaintiff, buy further
7 counterfeit shares on the 5th of December and thereafter, which Defendants, and the SEC too, and
8 Robert Cooke and Gary Gensler knew (**suspiciously the FOIA documents redact all the**
9 **executive names copied on the FOIA release documents**) would only harm and cause Plaintiff
10 to lose money. Per Plaintiff's current account with Fidelity, it still reflects a zero value as to any
11 securities arising out of MMTLP. Thus, Plaintiff lost his full MMTLP investment.
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14 14k. Plaintiff alleges that other than through the FOIA request and the inept 3-16-2022
15 FAQ response, at all times, in order to protect their own personal and financial interests, and
16 having nothing to do with regulating the financial system, Defendants, and each of them, further
17 committed illegal conduct by blocking or attempting to block the release of relevant documents,
18 and block and shield other Defendants and culpable parties from criminal responsibility. These
19 acts of concealment and obstruction of justice continue as of today.
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22 14l. Plaintiff alleges that prior to issuing the U3 halt, all Defendants were aware that unless
23 they intervened, that the price of MMTLP stock would trade in excess of 100x the closing price
24 on the 8th. In order to protect the Financial assets of short positions, and to try and further conceal
25 the extent of the fraud, and to try and forestall the huge losses that short positions would need to
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1 incur and more, Defendants wanted the entire controversy to remain suppressed so that the illegal
2 conduct involved would not be disclosed.

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4 14k. Plaintiff alleges that in their forced 3-16-2-22 FAQ, that the FAQ was generated
5 based on pressure from investors and congress in light of the situation being unresolved and
6 everyone ignoring or refusing to correct the problem. In it, without disclosing any of the matter
7 that would later come out in the FOIA request and thereby being further deceptive and false and
8 criminal, FINRA admits making numerous technical errors, but takes no responsibility and literally
9 throws it at the Brokers—while suggesting that Brokers, like Fidelity, have a way of privately
10 manipulating short positions for the benefit of short holders and Fidelity. Moreover,
11 Defendant Fidelity, on or about 3-21-2023, admitted that they had short positions in NB, a non-
12 trading company, and that although the total MMTLP situation was completely unresolved, and
13 words to the effect that Fidelity would welcome and could maneuver the short positions. This was
14 nonpublic and an admission of criminality. Finra also admitted that as of now, NB cannot trade.
15 Again, both the Corporate action notices and FAQ are false and were proven to be false by the
16 contents of the 3-30-2023 FOIA response as well as the other recently obtained information.
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20 14l. Plaintiff alleges that prior to December 5, 2022, that Finra, the DTCC & the Sec, as
21 reflected in the 3-16-2023 Finra FAQ, the later 3-30-2023 dated FOIA release and other later
22 discovered materials from 3-21-2023 & 3-23-2023, had an agreement in place, with Broker-
23 Dealers such as Fidelity, short holders and hedge funds, that with regard to MMTLP, agreeing
24 illegally and for their own personal present or future financial benefit, that after 12-8-2023, and
25 even known by Defendants prior to Finra generating either the 12-6 or 12-8 Corporate action
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1 notices, that contrary to as represented by all Defendants to the public (except short holders, hedge
2 funds, broker dealers who knew already) that 1. MMTLP would not trade after 12-8-2022; 2. that
3 Long investors would not be able to sell their shares to shorts for closing on 12-9 & 12-12; 3. that
4 shorts would not have to close their positions, could carry them into NB and not recognize any
5 tax gain or pay taxes; 4. that since MMTLP would be heavily shorted on 12-8-2022, that if long
6 MMTLP shareholders wanted to reduce losses, they should sell their shares prior to the 8th; 5. that
7 Finra & the SEC had undertaken an investigation of MMTLP in both 2021 and 2022 and concealed
8 the information, obstructed justice with regard to MMTLP and other matters to be discovered as
9 the coverup sheds. Plaintiff alleges that consistent with these allegations, congress, including Pete
10 Sessions, as of 4-3-2023, is directly securing or attempting to secure documents as to MMTLP
11 which have been hidden or concealed by Defendants. **SAME INCLUDES THE BLUE SHEETS**
12 **WHICH HAVE BEEN CONCEALED BY DEFENDNATS SINCE EARLY DECEMBER**
13 **2022.** Plaintiff alleges that per the FOIA response, that it was admitted that Defendants had the
14 Blue Sheets and therefore a seemingly full MMTLP & MMAT share count (showing millions of
15 counterfeit shares) no later than 12-5-2023 and certainly well prior to 12-8-2023.

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19 14M. All Defendants, working together in concert, suppressed and the blocked the release
20 of all pertinent information prior to Plaintiff purchasing MMTLP shares including but also not
21 limited to the contents of the Blue Sheets. If Plaintiff had known the truth, or had it even been
22 accessible, he would not have invested in MMTLP. Plaintiff has requested a redacted version of
23 the Blue Sheets from Defendants, but like other lack of transparency, they have refused to even
24 respond.
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1 14N. Plaintiff alleges that that despite knowledge of fraud and criminality with regard to
2 the initial trading of MMTLP and the later move to NB, at latest as of November 2021, that Finra
3 & the Sec, despite knowledge of the misconduct by others at the highest enforcement and
4 management levels of both Finra & the Sec, including, but not limited to, Sam Draddy, Patricia
5 Casimates, Richard Boyle, Jay Gibbon and others, both in 2021 and 2022, not only approved
6 multiple S1 forms permitting this fiasco to proceed, but offered no warnings or guidance to
7 investors and permitted them to rely on the record that failed to disclose material facts (and go off
8 like sheep to slaughter). Plaintiff also alleges that since there is a gap in time referenced in the
9 production of documents per the FOIA response for nearly one year, it suggests that evidence may
10 have been destroyed. Per the late obtained partial FOIA documents, Plaintiff knows that the fraud
11 teams, general counsel, the market operations teams, the head enforcement agents, the crime
12 detection units (and these are the only names that have not been suspiciously redacted), were all
13 involved and not a word out of them up to this moment. Plaintiff alleges that but for the partial 3-
14 30-2023 FOIA response, Plaintiff would not know any of the details of the ongoing investigations
15 that were hidden from investors, nor the involvement of Draddy, Casimates, Boyle & Gibbon and
16 **the senior management of both Finra & the SEC up to the top.**

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21 14.O-Plaintiff alleges that all new matter asserted starting at Para14a above through this
22 paragraph is new matter, is the opposite of regulatory activity or undertaken legally or in good
23 faith, is terribly incriminating to all defendants, and was not known at the time the second amended
24 complaint was filed. Moreover, it was intentionally suppressed and hidden and Plaintiff was only
25 made aware of this through a partial FOIA response. **Plaintiff alleges in light of the obvious**

concealment by Defendants. That the Court order immediate and full discovery.

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2 14.P-Plaintiff alleges that all of the above confirms that the only reason there was a U3
3 halt was unrelated to the false reason given by Defendants. If they had not been tipped, no shorting
4 of MMTLP would have occurred on 12-8-2022, the date the shorting of MMTLP stock is most
5 suspect.. All actions of Defendants were done intentionally, with the intention of harming Plaintiff
6 and investors like plaintiff, and with regard to the MMTLP issue has caused harm to Plaintiff by
7 reason in the loss of money, lost opportunity, and other damages. Paragraphs 14A thru 14P are
8 incorporated in full by reference in each claim for relief below.
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13 **FIRST CLAIM FOR RELIEF:DECLARATORY RELIEF**

14 **(AGAINST ALL DEFENDANTS)**

15 15. Plaintiff re-alleges and incorporates by reference all preceding paragraphs as
16 though fully set forth herein. This claim arises out of Securities violations as to the trading of naked
17 short shares, Racketeering violations & the aiding and abetting of tax evasions and money
18 laundering.
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21 16. In December 2022, on multiple occasions, Plaintiff purchased shares of MMTLP
22 offered through Fidelity. At about the same time, Plaintiff was also the owner of MMAT shares .
23 Plaintiff purchased the MMTLP shares with the understanding provided thru Fidelity (and backed
24 and supported and controlled by the other named defendants and does to be named later) that
25 Plaintiff could trade the stock up until and thru December 8, 2022, or wait until MMTLP went
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