

From: [Boyle, Richard](#)
To: (b)(6); (b)(7)(C)
Cc: [Gibbon, Jay](#)
Subject: Meta Materials Inc. (MMAT and MMTLP) / Next Bridge Hydrocarbons, Inc.
Date: Friday, December 2, 2022 10:46:34 AM
Attachments: [image001.png](#)

CAUTION: This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Good morning (b)(6); (b)(7)(C) I believe you've had conversations with FINRA's OTC Corporate Actions team regarding the above issuer and its proposed spin-off transaction. Would one of you have time on Monday or Tuesday to discuss this matter? FINRA's Market Fraud Investigations team recently received several tips that appear to have also been sent to the SEC. Below are some proposed times to discuss but we can work around your schedules if these don't work for you. Thanks.

Monday – between 11:30 ET and 2:30 ET or between 4:30 ET and 5:30 ET

Tuesday – between 4:30 ET and 5:30 ET

Rich Boyle

National Cause and Financial Crimes Detection Programs | 15200 Omega Drive, Suite 210 | Rockville, MD 20850
Phone: (240) 386-5008 | richard.boyle@finra.org | www.finra.org



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Non Responsive Record

From: Draddy, Sam <Sam.Draddy@finra.org>

Sent: Monday, November 29, 2021 5:03 PM

To: (b)(6); (b)(7)(C) <[REDACTED]@SEC.GOV>; (b)(6); (b)(7)(C) <[REDACTED]@SEC.GOV>

Cc: (b)(6); (b)(7)(C) <[REDACTED]@SEC.GOV>; Casimates, Patricia <Patricia.Casimates@finra.org>

Subject: RE: Inquiry

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(b)(6); (b)(7)(C) —I believe it was Patti Casimates from our Market Ops group who reached out to (b)(6); I have included her on the email so you can reach out to her directly. Hope all is well!

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Non Responsive Record

From: [Cook, Robert](#)
To: (b)(6); (b)(7)(C)
Subject: Fwd: FINRA Operating Status (1 of 2)
Date: Sunday, December 11, 2022 6:38:18 PM

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Hi (b)(6); (b)(7)(C)

You may be aware already, but we have received a large number of complaints (on social media and directly to FINRA) related to a trade halt that we issued on Friday.

Some of these communications have included threats related to FINRA in general, as well as to certain of our employees. Out of an abundance of caution, we are asking our team to work from home tomorrow and the rest of the week, unless there is a particular business need to be in the office.

I have forwarded below the first of two emails we sent to our staff today. I will send the second one separately.

We would be happy to provide you and your team with a more detailed briefing on this if that would be helpful.

Kind regards,
Robert

Robert W. Cook
President and CEO
Financial Industry Regulatory Authority
1735 K Street NW
Washington, DC 20006
t: 202-728-8425
f: 202-728-8075
robert.cook@finra.org
www.finra.org

Non Responsive Record

From: [Cook, Robert](#)
To: (b)(6); (b)(7)(C)
Subject: Fwd: FINRA Operating Status (Message 2 of 2)
Date: Sunday, December 11, 2022 6:39:02 PM

CAUTION: This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

This is the second of the two emails I mentioned in my other email to you just now.

Kind regards,
Robert.

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robert.cook@finra.org
www.finra.org

Non Responsive Record

From: [Dumont, Stephanie](#)
To: (b)(6); (b)(7)(C)
Cc: [Russell, Racquel](#)
Subject: MMTLP
Date: Sunday, December 11, 2022 8:33:02 PM

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Hi (b)(6); (b)(7)(C) I hope you're doing well. We wondered if you had a few minutes tomorrow for us to give you an update on what's been happening with MMTLP and the recent trading halt. Would Monday/tomorrow at 9 am work?

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Non Responsive Record

From: Draddy, Sam <Sam.Draddy@finra.org>

Sent: Monday, December 5, 2022 9:07 AM

To: (b)(6); (b)(7)(C)@SEC.GOV>

Cc: (b)(6); (b)(7)(C)@SEC.GOV>; (b)(6); (b)(7)(C)@SEC.GOV>; Boyle, Richard <Richard.Boyle@finra.org>; Gibbon, Jay <Jay.Gibbon@finra.org>

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(b)(6); (b)(7)(C) —looks like this MMAT/MMTLP matter has now hit my Fraud team’s radar screen (and seemingly a lot of other radar screens as well). I know you have spoken to Patti Casimates and our General Counsel’s office—but was wondering if it made sense for my Fraud team to have a conversation directly with you and your folks working on the matter so we are not duplicating efforts. We are looking at the two issuers from a fraud/manipulation angle and, in fact, bluesheeting both MMAT and MMTLP as we speak.

If you think a comparison of notes is worth a quick call—let me know a good day/time. I can set up a zoom and feel free to let me know if (b)(6); (b)(7)(C) or anyone else should be included.

Thanks (b)(6); (b)(7)(C)

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(b)(6); (b)(7)(C) @SEC.GOV>

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From: Draddy, Sam <Sam.Draddy@finra.org>
Sent: Monday, December 5, 2022 10:14 AM
To: (b)(6); (b)(7)(C) @SEC.GOV>
Subject: RE: Inquiry

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Moved it to 2-2:30pm ET.

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Sent: Monday, December 5, 2022 9:29 AM
To: (b)(6); (b)(7)(C) @SEC.GOV>
Cc: Boyle, Richard <Richard.Boyle@finra.org>; Gibbon, Jay <Jay.Gibbon@finra.org>; (b)(6); (b)(7)(C) @SEC.GOV>
Subject: RE: Inquiry

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On Dec 11, 2022, at 4:38 PM, Cook, Robert <Robert.Cook@finra.org> wrote:

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Hi (b)(6); (b)(7)(C)

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Kind regards,
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On Dec 11, 2022, at 6:33 PM, Dumont, Stephanie
<Stephanie.Dumont@finra.org> wrote:

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