

The JS-44 civil cover sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law, except as provided by local rules of court. This form, approved by the Judicial Conference of the United States in September 1974, is required for use of the Clerk of Court for the purpose of initiating the civil docket sheet.

PLAINTIFFS
Securities and Exchange Commission

DEFENDANTS
Ho Wan Kwok, Kin Ming Je, Mountains of Spices LLC, G Club Operations LLC
& Relief Defendants Mei Guo, Qiang Guo, Hing Chi Ngok, Sin Ting Rong

ATTORNEYS (FIRM NAME, ADDRESS, AND TELEPHONE NUMBER)
Antonia M. Apps, Thomas Smith, Sandeep Satwalekar, Daniel Loss, William Conway, Amanda Rios; 100 Pearl Street, Suite 20-100, New York, NY 10004-2616; (212) 336-5571

ATTORNEYS (IF KNOWN)

CAUSE OF ACTION (CITE THE U.S. CIVIL STATUTE UNDER WHICH YOU ARE FILING AND WRITE A BRIEF STATEMENT OF CAUSE)
(DO NOT CITE JURISDICTIONAL STATUTES UNLESS DIVERSITY)

Securities Fraud - 15 U.S.C. §§ 77q(a), 77o(b), 78j(b), 78t(e); Sale of Unregistered Securities - 15 U.S.C. § 77e

Has this action, case, or proceeding, or one essentially the same been previously filed in SDNY at any time? No Yes Judge Previously Assigned

If yes, was this case Vol. Invol. Dismissed. No Yes If yes, give date _____ & Case No. _____

IS THIS AN INTERNATIONAL ARBITRATION CASE? No Yes

(PLACE AN [x] IN ONE BOX ONLY)

NATURE OF SUIT

TORTS		ACTIONS UNDER STATUTES			
CONTRACT	PERSONAL INJURY	PERSONAL INJURY	FORFEITURE/PENALTY	BANKRUPTCY	OTHER STATUTES
[] 110 INSURANCE	[] 310 AIRPLANE	[] 367 HEALTHCARE/ PHARMACEUTICAL PERSONAL	[] 625 DRUG RELATED	[] 422 APPEAL	[] 375 FALSE CLAIMS
[] 120 MARINE	[] 315 AIRPLANE PRODUCT LIABILITY	[] 365 PERSONAL INJURY PRODUCT LIABILITY	[] 625 DRUG RELATED SEIZURE OF PROPERTY 21 USC 881	[] 422 APPEAL 28 USC 158	[] 376 QUI TAM
[] 130 MILLER ACT	[] 320 ASSAULT, LIBEL & SLANDER	[] 368 ASBESTOS PERSONAL INJURY PRODUCT LIABILITY	[] 690 OTHER	[] 423 WITHDRAWAL 28 USC 157	[] 400 STATE REAPPORTIONMENT
[] 140 NEGOTIABLE INSTRUMENT	[] 330 FEDERAL EMPLOYERS' LIABILITY	PERSONAL PROPERTY	PROPERTY RIGHTS	[] 423 WITHDRAWAL 28 USC 157	[] 410 ANTITRUST
[] 150 RECOVERY OF OVERPAYMENT & ENFORCEMENT OF JUDGMENT	[] 340 MARINE	[] 370 OTHER FRAUD	[] 820 COPYRIGHTS	[] 423 WITHDRAWAL 28 USC 157	[] 430 BANKS & BANKING
[] 151 MEDICARE ACT	[] 345 MARINE PRODUCT LIABILITY	[] 371 TRUTH IN LENDING	[] 830 PATENT	[] 423 WITHDRAWAL 28 USC 157	[] 430 BANKS & BANKING
[] 152 RECOVERY OF DEFAULTED STUDENT LOANS (EXCL VETERANS)	[] 350 MOTOR VEHICLE	[] 380 OTHER PERSONAL PROPERTY DAMAGE	[] 835 PATENT-ABBREVIATED NEW DRUG APPLICATION	[] 423 WITHDRAWAL 28 USC 157	[] 450 COMMERCE
[] 153 RECOVERY OF OVERPAYMENT OF VETERAN'S BENEFITS	[] 355 MOTOR VEHICLE PRODUCT LIABILITY	[] 385 PROPERTY DAMAGE PRODUCT LIABILITY	[] 840 TRADEMARK	[] 423 WITHDRAWAL 28 USC 157	[] 460 DEPORTATION
[] 160 STOCKHOLDERS SUITS	[] 360 OTHER PERSONAL INJURY	[] 463 ALIEN DETAINEE	LABOR	[] 423 WITHDRAWAL 28 USC 157	[] 470 RACKETEER INFLU- ENCED & CORRUPT ORGANIZATION ACT (RICO)
[] 190 OTHER CONTRACT	[] 362 PERSONAL INJURY - MED MALPRACTICE	[] 510 MOTIONS TO VACATE SENTENCE 28 USC 2255	[] 710 FAIR LABOR STANDARDS ACT	[] 423 WITHDRAWAL 28 USC 157	[] 480 CONSUMER CREDIT
[] 195 CONTRACT PRODUCT LIABILITY	ACTIONS UNDER STATUTES	PRISONER PETITIONS	[] 720 LABOR/MGMT RELATIONS	[] 423 WITHDRAWAL 28 USC 157	[] 485 TELEPHONE CONSUMER PROTECTION ACT
[] 196 FRANCHISE	CIVIL RIGHTS	[] 530 HABEAS CORPUS	[] 740 RAILWAY LABOR ACT	[] 423 WITHDRAWAL 28 USC 157	[] 490 CABLE/SATELLITE TV
	[] 440 OTHER CIVIL RIGHTS (Non-Prisoner)	[] 535 DEATH PENALTY	[] 751 FAMILY MEDICAL LEAVE ACT (FMLA)	[] 423 WITHDRAWAL 28 USC 157	[] 490 CABLE/SATELLITE TV
	[] 441 VOTING	[] 540 MANDAMUS & OTHER	[] 751 FAMILY MEDICAL LEAVE ACT (FMLA)	[] 423 WITHDRAWAL 28 USC 157	[] 490 CABLE/SATELLITE TV
REAL PROPERTY	[] 442 EMPLOYMENT	PRISONER CIVIL RIGHTS	[] 751 FAMILY MEDICAL LEAVE ACT (FMLA)	[] 423 WITHDRAWAL 28 USC 157	[] 490 CABLE/SATELLITE TV
[] 210 LAND CONDEMNATION	[] 443 HOUSING/ ACCOMMODATIONS	[] 550 CIVIL RIGHTS	[] 751 FAMILY MEDICAL LEAVE ACT (FMLA)	[] 423 WITHDRAWAL 28 USC 157	[] 490 CABLE/SATELLITE TV
[] 220 FORECLOSURE	[] 445 AMERICANS WITH DISABILITIES - EMPLOYMENT	[] 555 PRISON CONDITION	[] 751 FAMILY MEDICAL LEAVE ACT (FMLA)	[] 423 WITHDRAWAL 28 USC 157	[] 490 CABLE/SATELLITE TV
[] 230 RENT LEASE & EJECTMENT	[] 446 AMERICANS WITH DISABILITIES -OTHER	[] 560 CIVIL DETAINEE CONDITIONS OF CONFINEMENT	[] 751 FAMILY MEDICAL LEAVE ACT (FMLA)	[] 423 WITHDRAWAL 28 USC 157	[] 490 CABLE/SATELLITE TV
[] 240 TORTS TO LAND	[] 448 EDUCATION		[] 751 FAMILY MEDICAL LEAVE ACT (FMLA)	[] 423 WITHDRAWAL 28 USC 157	[] 490 CABLE/SATELLITE TV
[] 245 TORT PRODUCT LIABILITY			[] 751 FAMILY MEDICAL LEAVE ACT (FMLA)	[] 423 WITHDRAWAL 28 USC 157	[] 490 CABLE/SATELLITE TV
[] 290 ALL OTHER REAL PROPERTY			[] 751 FAMILY MEDICAL LEAVE ACT (FMLA)	[] 423 WITHDRAWAL 28 USC 157	[] 490 CABLE/SATELLITE TV

Check if demanded in complaint:

CHECK IF THIS IS A CLASS ACTION UNDER F.R.C.P. 23

DO YOU CLAIM THIS CASE IS RELATED TO A CIVIL CASE NOW PENDING IN S.D.N.Y. AS DEFINED BY LOCAL RULE FOR DIVISION OF BUSINESS 13? IF SO, STATE:

DEMAND \$ _____ OTHER _____ JUDGE _____ DOCKET NUMBER _____

Check YES only if demanded in complaint

JURY DEMAND: YES NO

NOTE: You must also submit at the time of filing the Statement of Relatedness form (Form IH-32).

(PLACE AN X IN ONE BOX ONLY)

ORIGIN

- 1 Original Proceeding
- 2 Removed from State Court
- 3 Remanded from Appellate Court
- 4 Reinstated or Reopened
- 5 Transferred from (Specify District)
- 6 Multidistrict Litigation (Transferred)
- 7 Appeal to District Judge from Magistrate Judge
- a. all parties represented
- b. At least one party is pro se.
- 8 Multidistrict Litigation (Direct File)

(PLACE AN X IN ONE BOX ONLY)

BASIS OF JURISDICTION

IF DIVERSITY, INDICATE CITIZENSHIP BELOW.

- 1 U.S. PLAINTIFF
- 2 U.S. DEFENDANT
- 3 FEDERAL QUESTION (U.S. NOT A PARTY)
- 4 DIVERSITY

CITIZENSHIP OF PRINCIPAL PARTIES (FOR DIVERSITY CASES ONLY)

(Place an [X] in one box for Plaintiff and one box for Defendant)

CITIZEN OF THIS STATE	PTF [] 1	DEF [] 1	CITIZEN OR SUBJECT OF A FOREIGN COUNTRY	PTF [] 3	DEF [] 3	INCORPORATED and PRINCIPAL PLACE OF BUSINESS IN ANOTHER STATE	PTF [] 5	DEF [] 5
CITIZEN OF ANOTHER STATE	[] 2	[] 2	INCORPORATED or PRINCIPAL PLACE OF BUSINESS IN THIS STATE	[] 4	[] 4	FOREIGN NATION	[] 6	[] 6

PLAINTIFF(S) ADDRESS(ES) AND COUNTY(IES)

Securities and Exchange Commission, Division of Enforcement, New York Regional Office, 100 Pearl Street, Suite 20-100, New York, NY 10004-2616

DEFENDANT(S) ADDRESS(ES) AND COUNTY(IES)

Ho Wan Kwok & Hing Chi Ngok, 373 Taconic Road, Greenwich, CT 06831 (Fairfield County); Kin Ming Je & Sin Ting Rong, 87 Balmoral House, Earls Way, London, UK SE1 2QR; Mountains of Spices LLC, 40 Brompton Road, Great Neck, NY 11021 (Nassau County), G Club Operations LLC, 53 Palmeras Street, Suite 1401, Puerta de Tierra, San Juan, PR 00901, Mei Guo, 492 Broome Street, Apt. 3, New York, New York 10012 (New York County) Qiang Guo, 5 Princeton Gate, Apt. 6, London, UK SW7 1QJ

DEFENDANT(S) ADDRESS UNKNOWN

REPRESENTATION IS HEREBY MADE THAT, AT THIS TIME, I HAVE BEEN UNABLE, WITH REASONABLE DILIGENCE, TO ASCERTAIN THE RESIDENCE ADDRESSES OF THE FOLLOWING DEFENDANTS:

COURTHOUSE ASSIGNMENT

I hereby certify that this case should be assigned to the courthouse indicated below pursuant to Local Rule for Division of Business 18, 20 or 21.

Check one: THIS ACTION SHOULD BE ASSIGNED TO: WHITE PLAINS MANHATTAN

/s/ Daniel Loss
DATE 03/15/2023
SIGNATURE OF ATTORNEY OF RECORD

ADMITTED TO PRACTICE IN THIS DISTRICT
[] NO
 YES (DATE ADMITTED Mo. July Yr. 2012)
Attorney Bar Code # DL1941

RECEIPT #

Magistrate Judge is to be designated by the Clerk of the Court.

Magistrate Judge _____ is so Designated.

Ruby J. Krajick, Clerk of Court by _____ Deputy Clerk, DATED _____.

UNITED STATES DISTRICT COURT (NEW YORK SOUTHERN)