

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF COLUMBIA**

UNITED STATES OF AMERICA,	:	
	:	
Plaintiff	:	CRIMINAL NO.
	:	
v.	:	
	:	VIOLATION:
DAVID HUMPHREY,	:	18 U.S.C. § 1001(a)(1)
	:	(False Statements)
Defendant.	:	

INFORMATION

The United States Attorney charges that:

General Allegations

1. From in or about 1998 through August 2014, the defendant, DAVID HUMPHREY (“HUMPHREY”), was an employee of the Securities and Exchange Commission’s (“SEC”) Division of Corporate Finance, at the SEC headquarters in Washington, within the District of Columbia. He was a branch chief from September 2004 to August 2014. The SEC is a department or agency within the executive branch of the United States.

2. HUMPHREY was required annually to submit an Office of Government Ethics Confidential Financial Disclosure Report (“Form 450”), disclosing, among other things, reportable assets held for investment with a value greater than \$1,000 at the end of the reporting period (which was the previous calendar year) or which produced more than \$200 in income during the reporting period.

3. From 2013 to 2014, HUMPHREY was required to certify, through the SEC's Personal Trading Compliance System, that he complied with SEC rules regarding prohibited holdings for the calendar years 2012 and 2013.

COUNT ONE

False Writing
(18 U.S.C. § 1001)

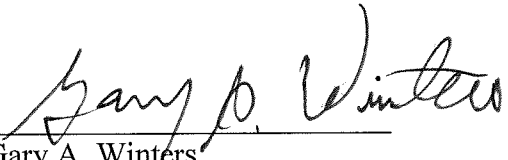
4. Paragraphs 1 through 3 of this Information are realleged and incorporated herein by reference as if fully set forth herein.

5. From on or about January 7, 2013 through on or about March 11, 2014, while in the District of Columbia, in a matter within the jurisdiction of the executive branch of the United States, HUMPHREY willfully and knowingly falsified and concealed a material fact; that is, as an employee of the Securities and Exchange Commission, HUMPHREY made and delivered Confidential Financial Disclosure Reports (*i.e.*, Form 450s) in which he concealed his ownership of assets held for investment with a value greater than \$1,000 at the end of the prior calendar year, or assets held for investment which produce more than \$200 in income during the prior calendar year, and which he falsely certified to be "true, complete, and correct, to the best of [his] knowledge"; and certified through the SEC's Personal Trading Compliance System that he was in compliance with SEC regulations regarding prohibited holdings, when in truth and fact, HUMPHREY had traded in options.

All in violation of Title 18, United States Code, Section 1001.

ANDREW WEISSMANN
Chief, Fraud Section
Criminal Division
United States Department of Justice

By:



Gary A. Winters
Trial Attorney