

Criminal Case Cover Sheet

U.S. District Court - District of Massachusetts

Place of Offense: _____ Category No. II Investigating Agency FBICity BostonCounty Suffolk

Related Case Information:

Superseding Ind./ Inf. _____ Case No. _____

Same Defendant _____ New Defendant _____

Magistrate Judge Case Number _____

Search Warrant Case Number See Attached

R 20/R 40 from District of _____

Defendant Information:

Is this case related to an existing criminal action pursuant to Rule 40.1(h)? If yes, case number See Attached ☒ Yes ☐ NoDefendant Name ZM QUANT INVESTMENT LTDJuvenile: ☐ Yes ☒ NoIs this person an attorney and/or a member of any state/federal bar: ☐ Yes ☒ No

Alias Name: _____

Address: British Virgin Islands

Birth date (Yr only): _____ SSN (last 4#): _____ Sex: _____ Race _____ Nationality: _____

Defense Counsel if known: _____ Address: _____

Bar Number: _____

U.S. Attorney Information

AUSA: Christopher J. Markham; David M. Holcomb Bar Number if applicable: 685591; 694712Interpreter: ☐ Yes ☒ No List language and/or dialect: _____Victims: ☒ Yes ☐ No If yes, are there multiple crime victims under 18 USC§3771(d)(2) ☒ Yes ☐ NoMatter to be SEALED: ☒ Yes ☐ No☐ Warrant Requested ☒ Regular Process ☐ In Custody

Location Status: _____

Arrest Date: _____

☐ Already in Federal Custody as of _____ in _____☐ Already in State Custody at _____ ☐ Serving Sentence ☐ Awaiting Trial☐ On Pretrial Release: Ordered by: _____ on _____Charging Document: ☐ Complaint ☐ Information ☒ IndictmentTotal # of Counts: ☐ Petty _____ ☐ Misdemeanor _____ ☒ Felony 2

Continue on Page 2 for Entry of U.S.C. Citations

☒ I hereby certify that the case numbers of any prior proceedings before a Magistrate Judge are accurately set forth above.Date: 6/27/2024Signature of AUSA: /s/ Christopher J. Markham

District Court Case Number (To be filled in by deputy clerk): _____

Name of Defendant ZM QUANT INVESTMENT LTD

U.S.C. Citations

	<u>Index Key/Code</u>	<u>Description of Offense Charged</u>	<u>Count Numbers</u>
Set 1	<u>18 U.S.C. § 371</u>	<u>Conspiracy to Commit Market Manipulation and Wire Fraud</u>	<u>1</u>
Set 2	<u>18 U.S.C. § 1343</u>	<u>Wire Fraud</u>	<u>2-4</u>
Set 3	<u>18 U.S.C. § 981(a)(1)(C) and 28 U.S.C. § 2461</u>	<u>Forfeiture Allegation</u>	<u>---</u>
Set 4	_____	_____	_____
Set 5	_____	_____	_____
Set 6	_____	_____	_____
Set 7	_____	_____	_____
Set 8	_____	_____	_____
Set 9	_____	_____	_____
Set 10	_____	_____	_____
Set 11	_____	_____	_____
Set 12	_____	_____	_____
Set 13	_____	_____	_____
Set 14	_____	_____	_____
Set 15	_____	_____	_____

ADDITIONAL INFORMATION:

Related Cases

- 23-cr-10135-AK (Max Hernandez)
- 23-cr-10325-AK (Michael Thompson)
- 24-cr-10014-AK (Russell Armand)
- 24-cr-10137-AK (Vy Pham)

Search Warrants

- 23-mj-6501-MPK
- 23-mj-6502-MPK
- 23-mj-6503-MPK
- 23-mj-6504-MPK
- 23-mj-5553-JGD
- 23-mj-6601-MPK
- 23-mj-6602-MPK
- 23-mj-6603-MPK
- 23-mj-6604-MPK
- 23-mj-6605-MPK
- 23-mj-6606-MPK
- 24-mj-6194-MPK
- 24-mj-6195-MPK
- 24-mj-1363 (CDCA)
- 24-mj-4086-DHH
- 24-mj-4087-DHH

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U.S. District Court - District of Massachusetts

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Related Case Information:

Superseding Ind./ Inf. _____ Case No. _____

Same Defendant _____ New Defendant _____

Magistrate Judge Case Number _____

Search Warrant Case Number See Attached

R 20/R 40 from District of _____

Defendant Information:

Is this case related to an existing criminal action pursuant to Rule 40.1(h)? If yes, case number See Attached ☒ Yes ☐ NoDefendant Name Baijun OuJuvenile: ☐ Yes ☒ NoIs this person an attorney and/or a member of any state/federal bar: ☐ Yes ☒ NoAlias Name: "Eric Ou"Address: Hong KongBirth date (Yr only): 1992 SSN (last 4#): _____ Sex: M Race _____ Nationality: _____

Defense Counsel if known: _____ Address: _____

Bar Number: _____

U.S. Attorney Information

AUSA: Christopher J. Markham; David M. Holcomb Bar Number if applicable: 685591; 694712Interpreter: ☐ Yes ☒ No List language and/or dialect: _____Victims: ☒ Yes ☐ No If yes, are there multiple crime victims under 18 USC§3771(d)(2) ☒ Yes ☐ NoMatter to be SEALED: ☒ Yes ☐ No☒ Warrant Requested ☐ Regular Process ☐ In CustodyLocation Status: Lives in Hong Kong

Arrest Date: _____

☐ Already in Federal Custody as of _____ in _____☐ Already in State Custody at _____ ☐ Serving Sentence ☐ Awaiting Trial☐ On Pretrial Release: Ordered by: _____ on _____Charging Document: ☐ Complaint ☐ Information ☒ IndictmentTotal # of Counts: ☐ Petty _____ ☐ Misdemeanor _____ ☒ Felony 2

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District Court Case Number (To be filled in by deputy clerk): _____

Name of Defendant Baijun Ou**U.S.C. Citations**

	<u>Index Key/Code</u>	<u>Description of Offense Charged</u>	<u>Count Numbers</u>
Set 1	<u>18 U.S.C. § 371</u>	<u>Conspiracy to Commit Market Manipulation and Wire Fraud</u>	<u>1</u>
Set 2	<u>18 U.S.C. § 1343</u>	<u>Wire Fraud</u>	<u>2-4</u>
Set 3	<u>18 U.S.C. § 981(a)(1)(C) and 28 U.S.C. § 2461</u>	<u>Forfeiture Allegation</u>	<u>---</u>
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Set 6	_____	_____	_____
Set 7	_____	_____	_____
Set 8	_____	_____	_____
Set 9	_____	_____	_____
Set 10	_____	_____	_____
Set 11	_____	_____	_____
Set 12	_____	_____	_____
Set 13	_____	_____	_____
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- 23-mj-6504-MPK
- 23-mj-5553-JGD
- 23-mj-6601-MPK
- 23-mj-6602-MPK
- 23-mj-6603-MPK
- 23-mj-6604-MPK
- 23-mj-6605-MPK
- 23-mj-6606-MPK
- 24-mj-6194-MPK
- 24-mj-6195-MPK
- 24-mj-1363 (CDCA)
- 24-mj-4086-DHH
- 24-mj-4087-DHH

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Magistrate Judge Case Number _____

Search Warrant Case Number See Attached

R 20/R 40 from District of _____

Defendant Information:

Is this case related to an existing criminal action pursuant to Rule 40.1(h)? If yes, case number See Attached ☒ Yes ☐ NoDefendant Name Ruiqi LiuJuvenile: ☐ Yes ☒ NoIs this person an attorney and/or a member of any state/federal bar: ☐ Yes ☒ NoAlias Name: "Ricky Lau"Address: United Kingdom and Hong KongBirth date (Yr only): 1997 SSN (last 4#): _____ Sex: M Race _____ Nationality: _____

Defense Counsel if known: _____ Address: _____

Bar Number: _____

U.S. Attorney Information

AUSA: Christopher J. Markham; David M. Holcomb Bar Number if applicable: 685591; 694712Interpreter: ☐ Yes ☒ No List language and/or dialect: _____Victims: ☒ Yes ☐ No If yes, are there multiple crime victims under 18 USC§3771(d)(2) ☒ Yes ☐ NoMatter to be SEALED: ☒ Yes ☐ No☒ Warrant Requested ☐ Regular Process ☐ In CustodyLocation Status: Lives in United Kingdom and Hong Kong

Arrest Date: _____

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District Court Case Number (To be filled in by deputy clerk): _____

Name of Defendant Ruiqi Liu**U.S.C. Citations**

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Set 1	<u>18 U.S.C. § 371</u>	<u>Conspiracy to Commit Market Manipulation and Wire Fraud</u>	<u>1</u>
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- 23-mj-6502-MPK
- 23-mj-6503-MPK
- 23-mj-6504-MPK
- 23-mj-5553-JGD
- 23-mj-6601-MPK
- 23-mj-6602-MPK
- 23-mj-6603-MPK
- 23-mj-6604-MPK
- 23-mj-6605-MPK
- 23-mj-6606-MPK
- 24-mj-6194-MPK
- 24-mj-6195-MPK
- 24-mj-1363 (CDCA)
- 24-mj-4086-DHH
- 24-mj-4087-DHH