

Exhibit 5 – Other Pending Matters Encompassed by Omnibus Memoranda

	Matter	Order Instituting Proceeding Date	Omnibus Memorandum Issued 5/22/17	Omnibus Memorandum Issued 11/30/17	Omnibus Memorandum Withdrawn by the Staff on 6/21/18 before Commission Vote	Omnibus Memorandum Issued 6/21/18	Omnibus Memorandum Issued 7/20/18	Omnibus Memorandum Issued 8/22/18	Omnibus Memorandum Issued 1/16/19	Omnibus Memorandum Issued 1/30/19
1 ¹	<i>Dennis B. Levine, Admin. Proc. 3-6673</i>	6/5/1986 (5/22/2017)							✓	✓
2	<i>Andrew A. Srebnik, Admin. Proc. 3-12893</i>	11/20/2007 (5/19/2017)							✓	✓
3	<i>William B. Blount, Admin. Proc. 3-13974</i>	7/22/2010 (7/17/2017)							✓	✓
4	<i>Roman Lyniuk, Admin. Proc. 3-14304</i>	3/23/2011 (7/13/2017)							✓	✓
5	<i>Dean Zenon Pinard, Admin. Proc. 3-14655</i>	12/8/2011 (7/10/2017)							✓	✓
6	<i>Eric David Wanger, Admin. Proc. 3-14676</i>	12/23/2011 (7/16/2018)							✓	✓
7	<i>Gerasimowicz, Walter V.; Meditron Asset Management, LLC; and Meditron Management Group, LLC, Admin. Proc. 3-15024</i>	9/14/2012 (3/3/2016)							✓	✓
8	<i>Lyman J. Bruhn, Admin. Proc. 3-15074</i>	10/23/2012 (10/1/2017)							✓	✓
9	<i>Russell K. Cannon, Admin. Proc. 3-15314</i>	5/3/2013 (2/22/2016)							✓	✓
10	<i>Jon Harvey Deal, Admin. Proc. 3-15380</i>	7/18/2013 (2/23/2016)							✓	✓
11	<i>Zhou, Huakang (a/k/a David Zhou) Warner Technology and Investment Corporation, Admin. Proc. 3-15586</i>	10/23/2013 (8/1/2017)							✓	✓
12	<i>Visionary Trading LLC, Lightspeed Trading LLC, Andrew Actman, Joseph Dondero, Eugene Giaquinto, Lee Heiss, and Jason Medvin, Admin. Proc. 3-15823</i>	4/4/2014 (3/8/2016)							✓	✓
13	<i>Michael H. Johnson, Admin. Proc. 3-15874</i>	5/19/2014 (3/2/2016)							✓	✓
14	<i>Everett C. Miller, Admin. Proc. 3-15896</i>	5/30/2014 (2/26/2016)							✓	✓

¹ Matters listed in rows 1-46 were resolved upon issuance of a final Commission order but are now reopened as of the date indicated in parentheses due to one or more requests to vacate a remedial bar. The Commission has not yet issued orders addressing these requests.

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15	<u>Demosthenes Dritsas, Admin. Proc. 3-16032</u>	8/22/2014 (3/28/2016)							✓	✓
16	<u>Stephen Stuart, Admin. Proc. 3-16151</u>	9/22/2014 (2/22/2016)							✓	✓
17	<u>MacDonald, III, Duncan J., Admin. Proc. 3-16181</u>	9/29/2014 (3/1/2016)							✓	✓
18	<u>Bill C. (Billy) Crafton, Jr. Admin. Proc. 3-16343</u>	1/15/2015 (7/14/2017)							✓	✓
19	<u>David B. Havanich, Jr., Carmine A. DellaSala, Matthew D. Welch, Richard Hampton Scurlock, III, RTAG Inc. d/b/a Retirement Tax Advisory Group, Jose F. Carrio, Dennis K. Karasik, Carrio, Karasik & Associates, LLP, and Michael J. Salovay, Admin. Proc. 3-16354</u>	1/23/2015 (6/25/2017)							✓	✓
20	<u>Stuart E. Rawitt, Admin. Proc. 3-16357</u>	1/23/2015 (11/11/2017)							✓	✓
21	<u>Glen Allan Galemmo, Admin. Proc. 3-16359</u>	1/23/2015 (4/4/2016)							✓	✓
22	<u>International Capital Group, LLC, Brian R. Nord, Larry Russell, Jr., and Todd J. Bergeron, Admin. Proc. 3-16366</u>	1/29/2015 (11/15/2017)							✓	✓
23	<u>Stephen A. Colangelo, Jr., Admin. Proc. 3-16556</u>	5/22/2015 (7/7/2017)							✓	✓
24	<u>Mark G. Brickman and Mark E. Baratto, Admin. Proc. 3-16576</u>	6/5/2015 (10/31/2017)							✓	✓
25	<u>Toby D. Hunter, Admin. Proc. 3-16687</u>	7/14/2015 (6/26/2017)							✓	✓
26	<u>Gold Mountain Management, LLC, and Gregory Bied, Admin. Proc. 3-16714</u>	8/4/2015 (12/6/2017)							✓	✓
27	<u>Murat M. Dorkan, Admin. Proc. 3-16725</u>	8/5/2015 (10/25/2017)							✓	✓
28	<u>Dean A. Esposito, Admin. Proc. 3-16736</u>	8/10/2015 (6/30/2017)							✓	✓
29	<u>Joseph DeVito, Admin. Proc. 3-16737</u>	8/10/2015 (6/30/2017)							✓	✓

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30	<i>Shawn A. Becker, Admin. Proc. 3-16805</i>	9/10/2015 (7/17/2017)							✓	✓
31	<i>Douglas J. Anisky, Admin. Proc. 3-16845</i>	9/29/2015 (11/11/2017)							✓	✓
32	<i>Edward T. Borg and Brian J. Mulkeen, Admin. Proc. 3-16875</i>	9/30/2015 (3/1/2016)							✓	✓
33	<i>James Goodland, and Securus Wealth Management, LLC, Admin. Proc. 3-16878</i>	9/30/2015 (7/18/2017)							✓	✓
34	<i>Arthur F. Jacob, CPA and Innovative Business Solutions, LLC, Admin. Proc. 3-16883</i>	10/5/2015 (10/26/2017)							✓	✓
35	<i>Jonathan Warren Brooks, Admin. Proc. 3-16936</i>	11/2/2015 (11/7/2017)							✓	✓
36	<i>Joseph A. Giordano, Admin Proc. 3-17137</i>	2/26/2016 (11/6/2017)							✓	✓
37	<i>Bruce A. Hartshorn, Admin. Proc. 3-17216</i>	4/19/2016 (11/8/2017)							✓	✓
38	<i>Jose Alejandro Hurtado, Admin. Proc. 3-17232</i>	4/27/2016 (10/30/2017)							✓	✓
39	<i>John Steven Blount, Admin. Proc. 3-17251</i>	5/12/2016 (10/27/2017)							✓	✓
40	<i>William Emery Matthews, Admin. Proc. 3-17334</i>	7/11/2016 (11/9/2017)							✓	✓
41	<i>Timothy A. Nemeckay, Admin. Proc. 3-17360</i>	7/25/2016 (11/9/2017)							✓	✓
42	<i>Brad R. Hawkins, Admin. Proc. 3-17373</i>	8/10/2016 (11/2/2017)							✓	✓
43	<i>Pamella B. Watson, Admin. Proc. 3-17511</i>	8/29/2016 (11/7/2017)							✓	✓
44	<i>Mario Pincheira, Admin. Proc. 3-17521</i>	8/31/2016 (11/7/2017)							✓	✓
45	<i>David Kayatta, Admin. Proc. 3-17522</i>	8/31/2016 (10/31/2017)							✓	✓
46	<i>Dennis Duban, CPA, Admin. Proc. 3-17612</i>	9/30/2016 (11/13/2017)							✓	✓
47	<i>Biovest International, Inc., Olie, Inc. (n/k/a Syndicate Business Development Corp.), StarGate</i>	4/20/2017		✓	✓	✓	✓	✓	✓	✓

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	<u>Entertainment, Inc., and Three Sigma Ventures, Inc., Admin. Proc. 3-17935</u>									
48	<u>Atomic Paintball, Inc., North American Oil and Gas Corp., and VelaTel Global Communications, Inc., Admin. Proc. 3-17991</u>	5/16/2017		✓	✓	✓	✓	✓	✓	✓
49	<u>A.C. Simmonds and Sons, Inc., Joshua Gold Resources, Inc. (f/k/a Enhanced Energy Solutions, Inc.), Game Plan Holdings, Inc., and HashingSpace Corp., Admin. Proc. 3-17999</u>	5/24/2017		✓	✓	✓	✓	✓	✓	✓
50	<u>Cardinal Resources, Inc., and StationDigital Corp., Admin. Proc. 3-18004</u>	5/31/2017		✓	✓	✓	✓	✓	✓	✓
51	<u>New Western Energy Corp., Preferred Restaurant Brands, Inc., and Primco Management, Inc., Admin. Proc. 3-18007</u>	6/1/2017		✓	✓	✓	✓	✓	✓	✓
52	<u>Evolucia, Inc., Legend International Holdings, Inc., and OSL Holdings, Inc., Admin. Proc. 3-18014</u>	6/7/2017		✓	✓	✓	✓	✓	✓	✓
53	<u>Huixin Waste Water Solutions, Inc., Admin. Proc. 3-18187</u>	9/18/2017		✓	✓	✓	✓	✓	✓	✓
54	<u>Anton & Chia, LLP, Gregory A. Wahl, CPA, Michael Deutchman, CPA, Georgia Chung, CPA, and Tommy Shek, CPA, Admin. Proc. 3-18292</u>	12/4/2017			✓	✓	✓	✓	✓	✓
55	<u>Cynthia Holder, CPA, Jeffrey Wada, CPA, David Middendorf, CPA, Thomas Whittle, CPA, and David Britt, CPA, Admin. Proc. 3-18346</u>	1/22/2018			✓	✓	✓	✓	✓	✓
56	<u>Affirmative Insurance Holdings, Inc.; Armada Oil, Inc.; China Energy Technology Corp., Ltd.; and Chuma Holdings, Inc., Admin. Proc. 3-18378</u>	2/22/2018			✓	✓	✓	✓	✓	✓
57	<u>Timothy C. Scarpino, Admin. Proc. 3-18483</u>	5/15/2018			✓	✓	✓	✓	✓	✓

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58	<i>Heidi Wivolin, Admin. Proc. 3-18774</i>	9/17/2018							✓	✓
59	<i>Jennifer R. Johnson, Admin. Proc. 3-18780</i>	9/18/2018							✓	✓
60	<i>Susan E. Walker, Admin. Proc. 3-18781</i>	9/18/2018							✓	✓
61	<i>Daniel Joseph Touizer, Admin. Proc. 3-18867</i>	10/12/2018							✓	✓