

# United States Court of Appeals For the First Circuit

---

No. 22-1596

U.S. SECURITIES AND EXCHANGE COMMISSION,

Plaintiff, Appellant,

v.

HENRY B. SARGENT,

Defendant, Appellee,

FREDERICK M. MINTZ; ALAN P. FRAADE; JOSEPH J. TOMASEK; PATRICK  
GIORDANO,

Defendants.

---

## **ERRATA SHEET**

The opinion of this Court, issued on April 18, 2023, is amended as follows:

On page 2, line 23, change "state" to "slate"