

United States Court of Appeals For the First Circuit

Nos. 23-1669, 23-1812

U.S. SECURITIES AND EXCHANGE COMMISSION,

Plaintiff, Appellee/Cross-Appellant,

v.

HENRY B. SARGENT,

Defendant, Appellant/Cross-Appellee,

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

Defendants.

ERRATA SHEET

The opinion of this court issued on February 13, 2025, is amended as follows:

On page 13, footnote 5, "Herold" is replaced with "Herod."

On page 18, line 2, the first "1998" is deleted.

On page 39, line 3, "Securities Exchange Commission" is replaced with "Securities and Exchange Commission."