

FILED

SEP 17 2021

CLERK, U.S. DISTRICT COURT
NORTHERN DISTRICT OF OHIO
TOLEDO

IN THE UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF OHIO
WESTERN DIVISION

UNITED STATES OF AMERICA,

Plaintiff,

v.

JAMES SIMPSON,

Defendant.

) INFORMATION

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3:21 CR 677

JUDGE KNEPP

CASE NO. MAG. JUDGE CLAY

Title 15, United States Code,

Section 80b-6

COUNT 1

(Investment Adviser Fraud, 15 U.S.C. § 80b-6)

The United States Attorney charges:

Beginning in 2019, and continuing to August 2021, in the Northern District of Ohio, Western Division, the Defendant JAMES SIMPSON, an investment advisor, knowingly and willfully engaged in a transaction, practice, or course of business which operated or would operate as a fraud or deceit on any client or prospective client in connection with investment advisory services totaling over \$400,000 that involved the use of any means or instrumentality of interstate commerce, in violation of Title 15, United States Code, Section 80b-6.

BRIDGET M. BRENNAN
Acting United States Attorney

By:



AVA R. DUSTIN
Executive Assistant United States
Attorney

Revised 12/20/11 (CP)

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF OHIO

FILED

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CLERK, U.S. DISTRICT COURT
NORTHERN DISTRICT OF OHIO
TOLEDO

CRIMINAL DESIGNATION FORM (To be completed by the U.S. Attorney)

- CRIMINAL CATEGORY: 1. General Criminal Felony
 2. All Misdemeanor, Minor, and Petty Offenses

OFFENSE(S) CHARGED: Title and Section:
 Description of Offense:
 Statutory Penalty:

3:21 CR 677
JUDGE KNEPP
MAG. JUDGE CLAY

THE UNITED STATES ATTORNEY CERTIFIES:

- This superseding indictment or superseding information supersedes and supplants the entire previously filed indictment or information.
 This supplemental information adds a count or counts for a defendant (or defendants) in a previously filed indictment or information.

THE SUPERSEDING INDICTMENT, SUPERSEDING INFORMATION OR SUPPLEMENTAL INFORMATION TO BE DIRECTLY ASSIGNED TO THE SAME JUDGE

Case No Judicial Officer

This is a related case in that:

- This indictment is returned against a defendant(s) who is pending trial or sentencing or is on probation or supervised release (Judge and Case No. below), and this new case involves only the said defendant(s); OR
 This criminal prosecution arises out of the same criminal transaction or series of criminal transactions as are charged in

Case No Judicial Officer

Other Information:

(THIS RELATED CASE IS TO BE FILED BY RANDOM DRAW, AFTER WHICH REASSIGNMENT PURSUANT TO LCR 57.9 MAY BE SOUGHT.)

PREVIOUSLY FILED CRIMINAL CAUSE, IF ANY (INCLUDING COMPLAINTS)

CASE NO. Judicial Officer

COUNTY THAT CONTROLS AS TO THE LOCATION OF COURT WHERE THIS CASE IS BEING FILED:

COUNTY: (CHECK ONE) 1. DEFENDANT'S RESIDENCE 2. SITUS OF ALLEGED CRIME
 3. OTHER

NAME AND ADDRESS OF DEFENDANT(S) AND DEFENSE ATTORNEY(S)

Custody: State or Local Federal Writ Required

Defendant(s):

Name
 Address
 City, Zip
 Telephone

Attorney(s):

Name
 Address
 City, Zip
 Telephone
 E-Mail

Assistant US Attorney

Asset/Forfeiture handled by:

Date

Telephone

AO 455 (Rev. 01/09) Waiver of an Indictment

UNITED STATES DISTRICT COURT

for the

Northern District of Ohio

United States of America

v.

James Simpson

Defendant

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Case No.

3:21 CR 677

JUDGE KNEPP

MAG. JUDGE CLAY

WAIVER OF AN INDICTMENT

I understand that I have been accused of one or more offenses punishable by imprisonment for more than one year. I was advised in open court of my rights and the nature of the proposed charges against me.

After receiving this advice, I waive my right to prosecution by indictment and consent to prosecution by information.

Date: _____

Defendant's signature

Signature of defendant's attorney

Printed name of defendant's attorney

Judge's signature

Judge's printed name and title