

UNITED STATES DISTRICT COURT
DISTRICT OF CONNECTICUT

SECURITIES AND EXCHANGE)	
COMMISSION,)	
)	3:15 CV 1760 (JAM)
Plaintiff,)	
)	
v.)	<u>ANSWER</u>
)	
HOMERO JOSHUA GARZA, et al.,)	
)	
Defendants.)	

Defendant Homero Joshua Garza (“Defendant”), by his attorneys, Ballard Spahr LLP, for his Answer to the above-captioned Complaint, states:

1. Defendant is aware of an investigation by the United States Attorney for the District of Connecticut into the same subject matter as alleged in the Complaint.
2. Accordingly, on the advice of counsel, Defendant respectfully declines to answer the allegations set forth in the Complaint, based on his rights under the Fifth Amendment to the United States Constitution.
3. Defendant reserves the right to amend this Answer upon the resolution of any criminal investigation or related proceedings.

Dated: New York, New York
February 7, 2017

BALLARD SPAHR LLP

By: /s/ Marjorie J. Peerce
Marjorie J. Peerce (*pro hac vice*)

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