

JUDGE LIMAN

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

UNITED STATES OF AMERICA

- v. -

FRANK GLASSNER,

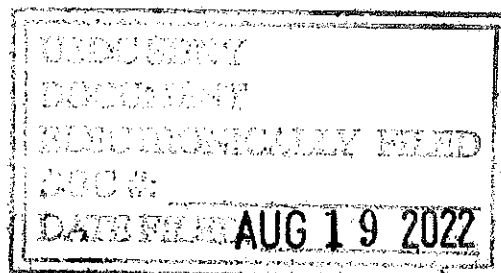
Defendant.

INFORMATION

22 Cr.

22 CRIM 451

COUNT ONE
(Securities Fraud)



The United States Attorney charges:

1. From at least in or about July 2021 through at least in or about September 2021, in the Southern District of New York and elsewhere, FRANK GLASSNER, the defendant, willfully and knowingly, directly and indirectly, by use of the means and instrumentalities of interstate commerce, and of the mails and the facilities of national securities exchanges, used and employed manipulative and deceptive devices and contrivances, in connection with the purchase and sale of securities, in violation of Title 17, Code of Federal Regulations, Section 240.10b-5, by: (a) employing devices, schemes, and artifices to defraud; (b) making and causing to be made untrue statements of material facts and omitting to state material facts necessary in order to make the statements made, in the light of the circumstances under which they were made, not misleading; and (c) engaging in acts, practices, and courses of

business which operated and would operate as a fraud and deceit upon persons, to wit, GLASSNER executed transactions in the securities of Kadmon Holdings, Inc. ("Kadmon") based on material, non-public information regarding the forthcoming acquisition of Kadmon by Sanofi, S.A., which information GLASSNER misappropriated through his employment as an executive compensation consultant for Kadmon, and in breach of his duties to Kadmon.

(Title 15, United States Code, Sections 78j(b) & 78ff;
Title 17, Code of Federal Regulations, Sections 240.10b-5;
and Title 18, United States Code, Section 2.)

FORFEITURE ALLEGATION

2. As a result of committing the offense charged in Count One of this Information, FRANK GLASSNER, the defendant, shall forfeit to the United States pursuant to Title 18, United States Code, Section 981(a)(1)(C) and Title 28, United States Code, Section 2461(c), any and all property, real and personal, that constitutes or is derived from proceeds traceable to the commission of said offenses, including but not limited to a sum of money in United States currency representing the amount of proceeds traceable to the commission of said offense.

Substitute Asset Provision

3. If any of the above described forfeitable property, as a result of any act or omission of the defendant:

- (a) cannot be located upon the exercise of due diligence;
- (b) has been transferred or sold to, or deposited with,

a third party;

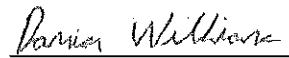
(c) has been placed beyond the jurisdiction of the Court;

(d) has been substantially diminished in value; or

(e) has been commingled with other property which cannot be subdivided without difficulty;

it is the intent of the United States, pursuant to Title 21, United States Code, Section 853(p) and Title 28, United States Code, Section 2461(c), to seek forfeiture of any other property of the defendant up to the value of the above forfeitable property.

(Title 18, United States Code, Section 981,
Title 21, United States Code, Section 853, and
Title 28, United States Code, Section 2461.)



DAMIAN WILLIAMS
United States Attorney

Form No. USA-33s-274 (Ed. 9-25-58)

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78ff; Title 17, Code of Federal Regulations,
Section 240.10b-5; and Title 18, United States
Code, Section 2.)

DAMIAN WILLIAMS

United States Attorney
