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**U.S. District Court**  
**Southern District of New York (Foley Square)**  
**CRIMINAL DOCKET FOR CASE #: 1:20-cr-00402-NRB All Defendants**

## USA v. YAN

**Date Filed:** Aug 10, 2020  
**Status:** Electronic Case Format  
**Assigned to:** [Judge Naomi Reice Buchwald](#)

## Parties and Attorneys

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**Defendant (1)**

**Cary Yan**  
also known as: **Sealed Defendant 1**

**Representation**

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**Defendant (2)**

**Gina Zhou**

also known as: **Sealed Defendant 2**

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**Plaintiff**

**USA**

**Representation**

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## Charges

ID	Party Name	Status	Description
1	Cary Yan	Pending	18:371.F CONSPIRACY TO VIOLATE THE FOREIGN CORRUPT PRACTICES ACT (1)
1	Cary Yan	Pending	FOREIGN SECURITIES EXCHANGES (VIOLATION OF THE FOREIGN CORRUPT PRACTICES ACT; DOMESTIC CONCERN) (2)
1	Cary Yan	Pending	15:78D.F FOREIGN SECURITIES EXCHANGES (VIOLATION OF THE FOREIGN CORRUPT PRACTICES ACT; WITHIN THE U.S.) (3)
1	Cary Yan	Pending	18:1956-4999.F MONEY LAUNDERING - FRAUD, OTHER (conspiracy) (4)
1	Cary Yan	Pending	18:1956-4999.F MONEY LAUNDERING - FRAUD, OTHER (5)
2	Gina Zhou	Pending	18:371.F CONSPIRACY TO VIOLATE THE FOREIGN CORRUPT PRACTICES ACT (1)
2	Gina Zhou	Pending	FOREIGN SECURITIES EXCHANGES (VIOLATION OF THE FOREIGN CORRUPT PRACTICES ACT; DOMESTIC CONCERN) (2)
2	Gina Zhou	Pending	15:78D.F FOREIGN SECURITIES EXCHANGES (VIOLATION OF THE FOREIGN CORRUPT PRACTICES ACT; WITHIN THE U.S.) (3)
2	Gina Zhou	Pending	18:1956-4999.F MONEY LAUNDERING - FRAUD, OTHER (conspiracy) (4)
2	Gina Zhou	Pending	18:1956-4999.F MONEY LAUNDERING - FRAUD, OTHER (5)

## Docket Entries

Numbers shown are court assigned numbers.

Entry #	Filing Date	Description
2	Aug 10, 2020	SEALED INDICTMENT as to Sealed Defendant 1 (1) count(s) 1, 2, 3, 4, 5, Sealed Defendant 2 (2) count(s) 1, 2, 3, 4, 5. (jm) (Entered: 09/02/2022)
1	Aug 11, 2020	SEALED DOCUMENT placed in vault. (dn) (Entered: 08/12/2020)
3	Sep 2, 2022	Order to Unseal Indictment as to Sealed Defendant 1, Sealed Defendant 2. (Signed by Magistrate Judge Jennifer E Willis on 9/2/22)(jm) (Entered: 09/02/2022)
	Sep 2, 2022	INDICTMENT UNSEALED as to Cary Yan, Gina Zhou. (jm) (Entered: 09/02/2022)
	Sep 2, 2022	Case Designated ECF as to Cary Yan, Gina Zhou. (jm) (Entered: 09/02/2022)
	Sep 2, 2022	Case as to Cary Yan, Gina Zhou ASSIGNED to Judge Naomi Reice Buchwald. (jm) (Entered: 09/02/2022)
	Sep 2, 2022	Attorney update in case as to Cary Yan, Gina Zhou. Attorney Lara Elizabeth

Entry #	Filing Date	Description
		Pomerantz,Hagan Cordell Scotten,Derek Wikstrom for USA added. (jm) (Entered: 09/02/2022)
6	Sep 2, 2022	ORDER as to Cary Yan, Gina Zhou for the limited unsealing of this matter. (Filed under seal on 8/10/20) (Signed by Magistrate Judge Paul E. Davison on 8/10/20)(jm) (Entered: 09/02/2022)
7	Sep 2, 2022	ORDER as to Cary Yan, Gina Zhou for the limited unsealing of this matter. (Filed under seal on 12/4/20. (Signed by Magistrate Judge Katharine H. Parker on 12/4/20)(jm) (Entered: 09/02/2022)
8	Sep 2, 2022	NOTICE OF ATTORNEY APPEARANCE: Jonathan Bolz appearing for Cary Yan. Appearance Type: Retained. (Bolz, Jonathan) (Entered: 09/02/2022)
9	Sep 2, 2022	NOTICE OF ATTORNEY APPEARANCE: Edward Young Kyu Kim appearing for Cary Yan. Appearance Type: Retained. (Kim, Edward) (Entered: 09/02/2022)
10	Sep 2, 2022	NOTICE OF ATTORNEY APPEARANCE: Georgia V. Kostopoulos appearing for Cary Yan. Appearance Type: Retained. (Kostopoulos, Georgia) (Entered: 09/02/2022)
11	Sep 2, 2022	NOTICE OF ATTORNEY APPEARANCE: Shawn Geovjian Crowley appearing for Gina Zhou. Appearance Type: Retained. (Crowley, Shawn) (Entered: 09/02/2022)
12	Sep 2, 2022	NOTICE OF ATTORNEY APPEARANCE: Mark Aaron Weiner appearing for Gina Zhou. Appearance Type: Retained. (Weiner, Mark) (Entered: 09/02/2022)
13	Sep 6, 2022	RULE 5(F)ORDER as to Cary Yan, Gina Zhou (Signed by Judge Naomi Reice Buchwald on 9/6/22)(jw) (Entered: 09/06/2022)
	Sep 6, 2022	Minute Entry for proceedings held before Judge Naomi Reice Buchwald: Initial Appearance as to Cary Yan, Gina Zhou held on 9/6/2022. Present: AUSA Hagan Scotten for the Government; Edward Kim, Jonathan Bolt, and Georgia Kostopoulos for Defendant Cary Yan; Shawn Crowley and Mark Weiner for Defendant Gina Zhou; Defendant Cary Yan; Defendant Gina Zhou; Court Reporter; Mandarin Translator for Defendant Cary Yan. An arraignment, presentment, and initial conference for Defendants Cary Yan and Gina Zhou was held September 6, 2022 before Judge Buchwald. Defendants Cary Yan and Gina Zhou pleaded not guilty. The next conference is scheduled for October 25, 2022 at 3:30 p.m. Speedy Trial Time is excluded until October 25, 2022. (bw) (Entered: 09/06/2022)
	Sep 6, 2022	Minute Entry for proceedings held before Judge Naomi Reice Buchwald: Arraignment as to Cary Yan (1) Count 1,2,3,4,5 and Gina Zhou (2) Count 1,2,3,4,5 held on 9/6/2022. Plea entered by Cary Yan (1) Count 1,2,3,4,5 and Gina Zhou (2) Count 1,2,3,4,5 -- Not Guilty. (bw) (Entered: 09/06/2022)
	Sep 6, 2022	ORAL ORDER as to Cary Yan, Gina Zhou. Time excluded from 9/6/2022 until 10/25/2022. Status Conference set for 10/25/2022 at 03:30 PM before Judge Naomi Reice Buchwald. (bw) (Entered: 09/06/2022)
14	Sep 6, 2022	Minute Entry on Disposition Sheet for proceedings held before Judge Naomi Reice Buchwald: Status Conference (Rule 5, Rule 9) as to Cary Yan held on 9/6/2022. AUSA Hagan Scotten. Defense Counsel Edward Kim (Retained). Mandarin Interpreter needed. Defendant waives pretrial report. BAIL DISPOSITION: Detention on consent without prejudice. ADDITIONAL PROCEEDINGS: Conference before District Judge on Oct. 25, 2022 3 p.m. Speedy Trial Time excluded under 18 U.S.C. Section 3161(h)(7)

Entry #	Filing Date	Description
		until October 25, 2022. (bw) (Entered: 09/06/2022)
15	Sep 6, 2022	Minute Entry on Disposition Sheet for proceedings held before Judge Naomi Reice Buchwald: Status Conference (Rule 5, Rule 9) as to Gina Zhou held on 9/6/2022. AUSA Hagan Scotten. Defense Counsel Shawn Crowley (Retained). Defendant waives pretrial report. BAIL DISPOSITION: Detention on consent without prejudice. ADDITIONAL PROCEEDINGS: Conference before District Judge on Oct. 25, 2022 3 p.m. Speedy Trial Time excluded under 18 U.S.C. Section 3161(h)(7) until Oct. 25, 2022. (bw) (Entered: 09/06/2022)
16	Sep 6, 2022	NOTICE OF ATTORNEY APPEARANCE Gerald Michael Moody appearing for USA. (Moody, Gerald) (Entered: 09/06/2022)

## General Information

<b>Case Name</b>	USA v. YAN
<b>Court</b>	U.S. District Court for the Southern District of New York
<b>Date Filed</b>	Mon Aug 10 00:00:00 EDT 2020
<b>Judge(s)</b>	Naomi Reice Buchwald
<b>Federal Nature of Suit</b>	Criminal
<b>Docket Number</b>	1:20-cr-00402
<b>Parties</b>	USA; Cary Yan; Gina Zhou