

UNITED STATES DISTRICT COURT  
FOR THE  
DISTRICT OF COLUMBIA

SECURITIES AND EXCHANGE COMMISSION,	:	
	:	
	Plaintiff,	00 Civ. 00-0177
	:	
	v.	
	:	
ARTHUR TAB WILLIAMS, JR.,	:	
	:	
	Defendant.	

**FILED**

FEB - 9 2000

NANCY MAYER WHITTINGTON, CLERK  
U.S. DISTRICT COURT

**FINAL JUDGMENT OF PERMANENT INJUNCTION AND OTHER  
RELIEF AS TO DEFENDANT ARTHUR TAB WILLIAMS, JR.**

Plaintiff SECURITIES AND EXCHANGE COMMISSION (the "Commission"), having duly commenced this action by filing its COMPLAINT (the "COMPLAINT"), and defendant ARTHUR TAB WILLIAMS, JR. ("WILLIAMS"), having in his CONSENT AND UNDERTAKING OF DEFENDANT ARTHUR TAB WILLIAMS, JR. (the "CONSENT") entered a general appearance herein, having admitted the jurisdiction of this court over him and over the subject matter of this action, having waived the filing of an Answer to the COMPLAINT and the entry of findings of fact and conclusions of law pursuant to Rule 52 of the Federal Rules of Civil Procedure, and without admitting or denying any of the allegations of the COMPLAINT, except as to jurisdiction, which he admits, having consented to the entry of this FINAL JUDGMENT OF PERMANENT INJUNCTION AND OTHER RELIEF AS TO DEFENDANT ARTHUR TAB WILLIAMS, JR. ( the "FINAL JUDGMENT"), permanently restraining and enjoining WILLIAMS from violating Section 10(b) of the Securities Exchange

(N)

2

Act of 1934 (the “Exchange Act”)[15 U.S.C. § 78j(b)] and Rule 10b-5 promulgated thereunder [17 C.F.R. § 240.10b-5]; and it further appearing that this court has jurisdiction over WILLIAMS and the subject matter hereof, and the court being fully advised in the premises:

I.

**IT IS HEREBY ORDERED, ADJUDGED AND DECREED** that defendant WILLIAMS, his officers, agents, servants, employees, attorneys-in-fact and all persons in active concert or participation with WILLIAMS who receive actual notice of this FINAL JUDGMENT by personal service or otherwise, and each of them, be and hereby are permanently restrained and enjoined from, directly or indirectly, violating Section 10(b) of the Exchange Act [15 U.S.C. § 78j(b)] and Rule 10b-5 promulgated thereunder [17 C.F.R. § 240.10b-5], by the use of any means or instrumentality of interstate commerce, or of the mails, or of any facility of a national securities exchange by:

- (a) employing any device, scheme, or artifice to defraud,
- (b) making any untrue statement of a material fact or omitting to state a material fact necessary in order to make the statements made, in the light of the circumstances under which they were made, not misleading, or
- (c) engaging in any act, practice, or course of business which operates or would operate as a fraud or deceit upon any person,

in connection with the purchase or sale of any security.

II.

**IT IS FURTHER ORDERED, ADJUDGED AND DECREED** that defendant WILLIAMS pay disgorgement in the amount of \$160,196, representing his illegal profits, as alleged in the COMPLAINT, plus prejudgment interest thereon of \$52,903.53. It is further ordered that WILLIAMS pay a civil money penalty in the amount of \$160,196, pursuant to Section 21A of the Exchange Act [15 U.S.C. § 78u-1], representing a penalty on WILLIAMS' profits, as alleged in the COMPLAINT.

III.

**IT IS FURTHER ORDERED, ADJUDGED AND DECREED** that the disgorgement, prejudgment interest thereon, and civil money penalty ordered in paragraph II shall be paid as follows. Within 10 days of the entry of this FINAL JUDGMENT, WILLIAMS shall pay \$373,295.53 to the United States Treasury. Such payment shall be: (A) made by United States postal money order, certified check, bank cashier's check or bank money order; (B) made payable to the United States Securities and Exchange Commission; (C) hand-delivered or mailed to the Comptroller, United States Securities and Exchange Commission, Operations Center, 6432 General Green Way, Stop 0-3, Alexandria, VA 22312; and (D) submitted with a cover letter that identifies WILLIAMS as a defendant in this action, the caption and the civil action number of this action, and the name of this court, and a copy of the cover letter and money order or check shall also be sent to Paul V. Gerlach, Associate Director, Division of Enforcement, United States Securities and Exchange Commission, 450 Fifth Street, N.W., Washington, D.C. 20549-0801.

IV.

**IT IS FURTHER ORDERED, ADJUDGED AND DECREED** that the annexed CONSENT be, and the same hereby is, incorporated herein by reference with the same force and effect as if fully set forth herein.

V.

**IT IS FURTHER ORDERED, ADJUDGED AND DECREED** that this court shall retain jurisdiction of this matter for the purposes of enforcing the terms of this FINAL JUDGMENT.

VI.

There being no reason for delay, the clerk of the Court is hereby directed, pursuant to Rule 54(b) of the Federal Rules of Civil Procedure, to enter this FINAL JUDGMENT forthwith.

**SO ORDERED**, this 8<sup>th</sup> day of February, 2000.

  
John A. Keeler  
UNITED STATES DISTRICT JUDGE