

1
2
3
4
5
6
7
8 **UNITED STATES DISTRICT COURT**
9 **CENTRAL DISTRICT OF CALIFORNIA**

10 SECURITIES AND EXCHANGE
11 COMMISSION,

12
13 Plaintiff,

14 vs.

15 ALEX DUAIN FORESTER, an individual;
16 MICHAEL ROBERT HICKS, an
17 individual; YARDEN MOSHE MONY
18 KRAMPF, an individual; CHRISTOPHER
19 BYUNGIN LEE, an individual; SEAN
20 ANDREW O'NEAL, an individual;
21 MICHAEL ROY RAYNOR, an individual;
and LEE SOBEL, an individual,

22 Defendants.
23
24

Case No.: CV 20-9813-DMG (AFMx)

**FINAL JUDGMENT AS TO
DEFENDANT LEE SOBEL [61]**

25 The Court having granted in part Plaintiff United States Securities and Exchange
26 Commission's ("Commission's") Motion for Summary Judgment as to Defendant Lee
27 Sobel ("Defendant") by Order dated September 17, 2021 [Doc. # 63], the Court
28 ORDERS as follows:

I.

IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that Defendant is permanently restrained and enjoined from violating, directly or indirectly, Section 15(a)(1) of the Exchange Act [15 U.S.C. § 78o(a)(1)] by using any means or instrumentality of interstate commerce, or of the mails, or of any facility of any national securities exchange, to effect transactions in, or induce or attempt to induce the purchase or sale of, securities while not registered with the Commission as a broker or dealer or while not associated with an entity registered with the Commission as a broker or dealer.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that, as provided in Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also binds the following who receive actual notice of this Judgment by personal service or otherwise: (a) Defendant's officers, agents, servants, employees, and attorneys; and (b) other persons in active concert or participation with Defendant or with anyone described in (a).

II.

IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that Defendant is permanently restrained and enjoined from, directly or indirectly, including, but not limited to, through any entity owned or controlled by Defendant, soliciting any person or entity to purchase or sell any security.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that, as provided in Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also binds the following who receive actual notice of this Judgment by personal service or otherwise: (a) Defendant's officers, agents, servants, employees, and attorneys; and (b) other persons in active concert or participation with Defendant or with anyone described in (a).

III.

IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that Defendant shall pay a civil penalty in the amount of \$3,000 to the Securities and Exchange Commission pursuant to Section 21(d)(3) of the Exchange Act [15 U.S.C. §

1 78u(d)(3)]. Defendant shall make this payment within 30 days after entry of this Final
2 Judgment.

3 Defendant may transmit payment electronically to the Commission, which will
4 provide detailed ACH transfer/Fedwire instructions upon request. Payment may also be
5 made directly from a bank account via Pay.gov through the SEC website at
6 <http://www.sec.gov/about/offices/ofm.htm>. Defendant may also pay by certified check,
7 bank cashier's check, or United States postal money order payable to the Securities and
8 Exchange Commission, which shall be delivered or mailed to

9 Enterprise Services Center
10 Accounts Receivable Branch
11 6500 South MacArthur Boulevard
12 Oklahoma City, OK 73169

13 and shall be accompanied by a letter identifying the case title, civil action number, and
14 name of this Court; Lee Sobel as a defendant in this action; and specifying that payment
15 is made pursuant to this Final Judgment.

16 Defendant shall simultaneously transmit photocopies of evidence of payment and
17 case identifying information to the Commission's counsel in this action. By making this
18 payment, Defendant relinquishes all legal and equitable right, title, and interest in such
19 funds and no part of the funds shall be returned to Defendant. The Commission shall send
20 the funds paid pursuant to this Final Judgment to the United States Treasury.

21 The Commission may enforce the Court's judgment for penalties by the use of all
22 collection procedures authorized by law, including the Federal Debt Collection
23 Procedures Act, 28 U.S.C. § 3001 et seq., and moving for civil contempt for the violation
24 of any Court orders issued in this action. Defendant shall pay post-judgment interest on
25 any amounts due after 30 days of the entry of this Final Judgment pursuant to 28 USC §
26 1961.

IV.

IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that, solely for purposes of exceptions to discharge set forth in Section 523 of the Bankruptcy Code, 11 U.S.C. §523, the allegations in the complaint are true and admitted by Defendant, and further, any debt for disgorgement, prejudgment interest, civil penalty or other amounts due by Defendant under this Final Judgment or any other judgment, order, consent order, decree or settlement agreement entered in connection with this proceeding, is a debt for the violation by Defendant of the federal securities laws or any regulation or order issued under such laws, as set forth in Section 523(a)(19) of the Bankruptcy Code, 11 U.S.C. §523(a)(19)

V.

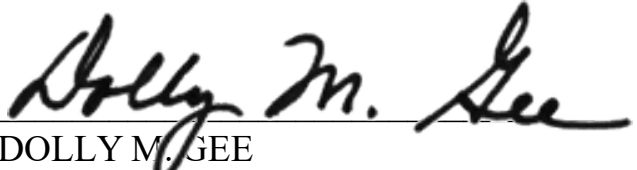
IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that this Court shall retain jurisdiction of this matter for the purposes of enforcing the terms of this Final Judgment.

VI.

There being no just reason for delay, pursuant to Rule 54(b) of the Federal Rules of Civil Procedure, the Clerk is ordered to enter this Final Judgment forthwith and without further notice.

IT IS SO ORDERED.

DATED: December 27, 2021


DOLLY M. GEE
UNITED STATES DISTRICT JUDGE