

UNITED STATES DISTRICT COURT
of the
DISTRICT OF COLUMBIA

SECURITIES AND EXCHANGE COMMISSION

Plaintiff,

v.

W. BLAKE BROCK;
KATHY O. BROCK; and
KENNETH L. UNKER

Defendants.

Civil No. 01 1067

FILED ✓

MAY 18 2001

NANCY MAYER WHITTINGTON, CLERK
U.S. DISTRICT COURT

JUDGMENT AS TO DEFENDANTS
W. BLAKE BROCK AND KATHY O. BROCK

Defendants W. Blake Brock and Kathy O. Brock (“Defendants”) having each: (i) entered a general appearance; (ii) consented to the Court’s jurisdiction over himself or herself and the subject matter of this action; (iii) without admitting or denying the allegations of the Complaint, consented to entry of this Judgment without further notice; (iv) waived findings of fact and conclusions of law; and (v) waived any right to appeal from this Judgment, it is now:

ORDERED, ADJUDGED AND DECREED that Defendants, and Defendants’ officers, agents, servants, employees and attorneys, and those persons in active concert of participation with them who receive actual notice of this Judgment, are permanently restrained and enjoined from violating Section 10(b) of the Securities Exchange Act of 1934 (“Exchange Act”) [15 U.S.C. §

(M)

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78j(b)] and Rule 10b-5 [17 CFR § 240.10b-5] thereunder, directly or indirectly, by the use of any means or instrumentality of interstate commerce, or of the mails, or of any facility of any national securities exchange, in connection with the purchase or sale of any security, (1) employing any device, scheme or artifice to defraud, (2) 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 (3) engaging in any act, practice or course of business which operates or would operate as a fraud or deceit upon any person.

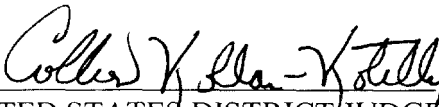
ORDERED, ADJUDGED AND DECREED that Defendants are jointly and severally liable for disgorgement of \$26,368.75, representing profits gained as a result of the conduct alleged in the Complaint, together with prejudgment interest in the amount of \$8,081.27, for a total of \$34,450.02. This obligation will be satisfied by payment of \$34,450.02 within ten business days to the Clerk of this Court, together with a letter specifying that payment is made pursuant to this Judgment. Defendants shall simultaneously transmit photocopies of such payment and letter to the Plaintiff Securities and Exchange Commission's ("the Commission") counsel in this action. The Clerk shall hold these funds in the Registry, in an interest-bearing account, pending further order. By making this payment, Defendants relinquish all legal and equitable right, title and interest in such funds, and no part of the funds shall be returned to the Defendants.

ORDERED, ADJUDGED AND DECREED that Defendants are jointly and severally liable to pay a civil penalty of \$57,712.40 pursuant to Section 21A of the Exchange Act [15 U.S.C. § 78u-1]. This obligation will be satisfied by payment of \$57,712.40 within ten business days to the Comptroller of the Commission, together with a letter specifying that payment is made pursuant to this Judgment. Defendants shall simultaneously transmit photocopies of such payment and letter to

the Commission's counsel in this action. The Commission shall forward such funds to the U.S. Treasury.

There being no just reason for delay, pursuant to Fed. R. Civ. P. 54(b), the Clerk is ordered to enter this Judgment forthwith and without further notice.

Dated: May 17, 2001


UNITED STATES DISTRICT JUDGE