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FILED
CLERK, U.S. DISTRICT COURT
CENTRAL DISTRICT OF CALIFORNIA
BY [Signature]
JUL 7 2006

FILED
CLERK, U.S. DISTRICT COURT
CENTRAL DISTRICT OF CALIFORNIA
BY [Signature]
JUL - 7 2006
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12 **UNITED STATES DISTRICT COURT**

13 **FOR THE CENTRAL DISTRICT OF CALIFORNIA**

14 **WESTERN DIVISION**

15 SECURITIES AND EXCHANGE
16 COMMISSION,

17 Plaintiff,

18 vs.

19 HENRY C. YUEN, ELSIE M. LEUNG,
20 JONATHAN B. ORLICK, and CRAIG M.
21 WAGGY,

22 Defendants.

Case No. CV 03-4376 MRP (PLAx)

**FINAL JUDGMENT IMPOSING
CIVIL PENALTY AS TO
DEFENDANT CRAIG M. WAGGY**

DOCKETED ON CM
JUL 10 2006
BY mg 009

23 The Securities and Exchange Commission ("Commission") having filed a
24 Complaint and Defendant Craig M. Waggy ("Defendant") having entered a general
25 appearance; consented to the Court's jurisdiction over Defendant and the subject
26 matter of this action; consented to entry of this Final Judgment without admitting
27 or denying the allegations of the Complaint (except as to jurisdiction); waived
28

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SCANNED

1 findings of fact and conclusions of law; and waived any right to appeal from this
2 Final Judgment:

3 **I.**

4 IT IS ORDERED, ADJUDGED, AND DECREED, in furtherance of the
5 administrative settlement reached between Defendant and Plaintiff, that Defendant
6 shall pay a civil penalty in the amount of \$25,000 pursuant to Section 21(d)(3) of
7 the Securities Exchange Act of 1934, 15 U.S.C. § 78u(d)(3). Defendant shall make
8 this payment within ten (10) business days after entry of this Final Judgment by
9 certified check, bank cashier's check, or United States postal money order payable
10 to the Securities and Exchange Commission. The payment shall be delivered or
11 mailed to the Office of Financial Management, Securities and Exchange
12 Commission, Operations Center, 6432 General Green Way, Mail Stop 0-3,
13 Alexandria, Virginia 22312, and shall be accompanied by a letter identifying Craig
14 M. Waggy as a defendant in this action; setting forth the title and civil action
15 number of this action and the name of this Court; and specifying that payment is
16 made pursuant to this Final Judgment. Defendant shall pay post-judgment interest
17 on any delinquent amounts pursuant to 28 U.S.C. § 1961.

18 **II.**

19 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that the
20 Consent is incorporated herein with the same force and effect as if fully set forth
21 herein, and that Defendant shall comply with all of the undertakings and
22 agreements set forth therein.

23 **III.**

24 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that this
25 Court shall retain jurisdiction of this matter for the purposes of enforcing the terms
26 of this Final Judgment and to entertain Defendant's motion to dismiss the
27 remaining counts of the Complaint.

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SCANNED

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IV.

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.

DATED: July 7, 2006

Mariana R. Pfaelzer
THE HON. MARIANA R. PFAELZER
UNITED STATES DISTRICT JUDGE

PROOF OF SERVICE

SCANNED

I am over the age of 18 years and not a party to this action. My business address is:

U.S. SECURITIES AND EXCHANGE COMMISSION, 5670 Wilshire Boulevard, 11th Floor, Los Angeles, California 90036-3648 Telephone No. (323) 965-3998; Facsimile No. (323) 965-3908.

On July 6, 2006, I caused to be delivered the document entitled **FINAL JUDGMENT IMPOSING CIVIL PENALTY AS TO DEFENDANT CRAIG M. WAGGY** upon the parties to this action addressed as stated on the attached service list:

OFFICE MAIL: By placing in sealed envelope(s), which I placed for collection and mailing today following ordinary business practices. I am readily familiar with this agency's practice for collection and processing of correspondence for mailing; such correspondence would be deposited with the U.S. Postal Service on the same day in the ordinary course of business.

PERSONAL DEPOSIT IN MAIL: By placing in sealed envelope(s), which I personally deposited with the U.S. Postal Service. Each such envelope was deposited with the U.S. Postal Service at Los Angeles, California, with first class postage thereon fully prepaid.

EXPRESS U.S. MAIL: Each such envelope was deposited in a facility regularly maintained at the U.S. Postal Service for receipt of Express Mail at Los Angeles, California, with Express Mail postage paid.

HAND DELIVERY: I caused to be hand delivered each such envelope to the office of the addressee only as indicated on the attached service list.

FEDERAL EXPRESS :By placing in sealed envelope(s) designated by Federal Express with delivery fees paid or provided for, which I deposited in a facility regularly maintained by Federal Express or delivered to a Federal Express courier, at Los Angeles, California.

ELECTRONIC MAIL: By transmitting the document by electronic mail to the electronic mail address as stated on the attached service list.

FAX: By transmitting the document by facsimile transmission. The transmission was reported as complete and without error.

(Federal) I declare that I am employed in the office of a member of the bar of this Court, at whose direction the service was made. I declare under penalty of perjury that the foregoing is true and correct.

Date: July 6, 2006

Magnolia M. Marcelo
MAGNOLIA M. MARCELO

SCANNED

SEC v. HENRY C. YUEN et al.
United States District Court - Central District of California
Case No. CV 03-4376 MRP (PLAx)
(LA-2590)

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