

TERMED

**U.S. District Court
District of Colorado (Denver)
CIVIL DOCKET FOR CASE #: 1:04-cv-01266-WYD**

SEC v. Haggerty
Assigned to: Judge Wiley Y. Daniel
Demand: \$0
Case in other court: USDC CO, 03-D-1925(MJW)
Cause: 15:78 Securities Exchange Act

Date Filed: 06/21/2004
Date Terminated: 06/21/2004
Jury Demand: None
Nature of Suit: 850
Securities/Commodities
Jurisdiction: U.S. Government Plaintiff

Plaintiff**Securities and Exchange Commission**

represented by **Ian Sven Karpel**
U.S. Securities & Exchange
Commission-CO
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LEAD ATTORNEY
ATTORNEY TO BE NOTICED

V.

Defendant**Steve L. Haggerty**

Date Filed	#	Docket Text
06/21/2004	1	COMPLAINT (Summons(es) issued) (gms) (Entered: 06/22/2004)
06/21/2004	2	Consent and ACCEPTANCE OF SERVICE by defendant signed on 4/17/04 by Steven L. Haggerty (gms) (Entered: 06/22/2004)
06/21/2004	3	Final JUDGMENT: by Wiley Y. Daniel, United States District Court Judge, It is Hereby ORDERED, ADJUDGED, and DECREED that Dft shall pay a civil penalty in the amt of \$30,000 pursuant to Section 21(d) (3) of the SEC Act of 1934 [15 U.S.C. 78u(d)(3)]. Dft shall make this pmt within ten business days after entry of this Final Jgm by certified check, or United States postal money order payable to the SEC. The pmt shall be delivered or mailed to the Office of Financial Managemeny, SEC; Dts consent is incorporated herein with the same force and effect as

	<p>if fully set forth herein, and that Dft shall comply with all of the undertakings and agreements set forth herein. 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 Jgm dismissing case (cc: all counsel) ; entry date : 6/23/04 (erv) (Entered: 06/23/2004)</p>
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