

**IN THE UNITED STATES DISTRICT COURT  
FOR THE DISTRICT OF COLORADO**

Civil Action No. 10-cv-02794-REB-KLM

SECURITIES AND EXCHANGE COMMISSION,

Plaintiff,

v.

UNIVERSAL CONSULTING RESOURCES LLC, and  
RICHARD DALTON,

Defendants,

and

MARIE DALTON,

Relief Defendant.

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**DEFAULT JUDGMENT**

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This Default Judgment is entered pursuant to Fed. R. Civ. P. 55(b) and in accordance with the **Order Granting Motion for Default Judgment Against Richard Dalton and Permanent Injunction** [#90] entered by Judge Robert E. Blackburn on December 1, 2011, which order is incorporated herein by this reference.

**THEREFORE, IT IS ORDERED** as follows:

1. That the **Plaintiff's Motion for Default Judgments Against Defendants Richard Dalton and Universal Consulting Resources LLC** [#78] filed October 24, 2011, is **GRANTED** as to the relief requested against the defendant, Richard Dalton;
2. That the defendant, Richard Dalton, and his agents, servants, employees, attorneys, and all persons in active concert or participation with them who receive actual

notice of this **Order Granting Motion for Default Judgment Against Richard Dalton and Permanent Injunction** by personal service or otherwise are **PERMANENTLY RESTRAINED AND ENJOINED** from violating, directly or indirectly, Section 10(b) of the Securities Exchange 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], by using 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:

- (a) to employ any device, scheme, or artifice to defraud;
- (b) to make any untrue statement of a material fact or to omit 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) to engage in any act, practice, or course of business which operates or would operate as a fraud or deceit upon any person;

3. That the defendant, Richard Dalton, and his agents, servants, employees, attorneys, and all persons in active concert or participation with them who receive actual notice of the **Order Granting Motion for Default Judgment Against Richard Dalton and Permanent Injunction** by personal service or otherwise are **PERMANENTLY RESTRAINED AND ENJOINED** from violating Section 17(a) of the Securities Act of 1933 (the "Securities Act") [15 U.S.C. § 77q(a)] in the offer or sale of any security by the use of any means or instruments of transportation or communication in interstate commerce or by use of the mails, directly or indirectly:

- (a) to employ any device, scheme, or artifice to defraud;
- (b) to obtain money or property by means of any untrue statement of a

material fact or any omission of a material fact necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading; or

(c) to engage in any transaction, practice, or course of business which operates or would operate as a fraud or deceit upon the purchaser;

4. That the defendant, Richard Dalton, and his agents, servants, employees, attorneys, and all persons in active concert or participation with them who receive actual notice of the **Order Granting Motion for Default Judgment Against Richard Dalton and Permanent Injunction** by personal service or otherwise are **PERMANENTLY RESTRAINED AND ENJOINED** from violating Section 5 of the Securities Act [15 U.S.C. § 77e] by, directly or indirectly, in the absence of any applicable exemption:

(a) Unless a registration statement is in effect as to a security, making use of any means or instruments of transportation or communication in interstate commerce or of the mails to sell such security through the use or medium of any prospectus or otherwise;

(b) Unless a registration statement is in effect as to a security, carrying or causing to be carried through the mails or in interstate commerce, by any means or instruments of transportation, any such security for the purpose of sale or for delivery after sale; or

(c) Making use of any means or instruments of transportation or communication in interstate commerce or of the mails to offer to sell or offer to buy through the use or medium of any prospectus or otherwise any security, unless a registration statement has been filed with the

Commission as to such security, or while the registration statement is the subject of a refusal order or stop order or (prior to the effective date of the registration statement) any public proceeding or examination under Section 8 of the Securities Act [15 U.S.C. § 77h];

5. That the defendant, Richard Dalton, and his agents, servants, employees, attorneys, and all persons in active concert or participation with them who receive actual notice of the **Order Granting Motion for Default Judgment Against Richard Dalton and Permanent Injunction** by personal service or otherwise are **PERMANENTLY RESTRAINED AND ENJOINED** from violating, directly or indirectly, Section 15(a) of the Exchange Act [15 U.S.C. § 78o(a)], by using any means or instrumentality of interstate commerce, or of the mails, or of any facility of any national securities exchange to effect any transactions in, or to induce or attempt to induce the purchase or sale of, any security (other than an exempted security or commercial paper, bankers' acceptances, or commercial bills) unless such person is registered with the Commission as a broker or dealer in accordance with Section 15(b) of the Exchange Act.

6. That it is **ADJUDGED AND DECREED** that the defendant, Richard Dalton, is jointly and severally liable with the defendant, Universal Consulting Resources, LLC, for payment of a total of fifteen million, eight hundred forty two thousand, nine hundred forty eight dollars (\$15,842,948.00), representing disgorgement of ill-gotten gains of seven million, five hundred forty nine thousand, four hundred fifty eight dollars (\$7,549,458.00), prejudgment interest thereon of seven hundred forty four thousand, thirty two dollars (\$744,032.00), and third tier civil penalties of seven million, five hundred forty nine thousand, four hundred fifty eight dollars (\$7,549,458.00);

7. That the defendant, Richard Dalton, **SHALL PAY** post-judgment interest on any delinquent amounts pursuant to 28 U.S.C. § 1961;

8. That this court **SHALL RETAIN** jurisdiction over this matter for the purposes of enforcing the terms of this **Order Granting Motion for Default Judgment Against Richard Dalton and Permanent Injunction** and the judgment that will enter as a result of this order, and for the purpose of resolving the contempt proceedings currently pending against the defendant, Richard Dalton;

9. That under FED. R. CIV. P. 55(b), **JUDGMENT IS ENTERED** in favor of the plaintiff, the Securities and Exchange Commission, against the defendants, Richard Dalton and Universal Consulting Resources, LLC, and the relief defendant, Marie Dalton, consistent with the terms of this order and the concurrent orders directing entry of judgment against Universal Consulting Resources, LLC, and Marie Dalton; and

10. That the plaintiff is **AWARDED** its costs, to be taxed by the Clerk of the Court under Fed.R.Civ.P. 54(d)(1) and D.C.COLO.LCivR 54.1


DATED at Denver, Colorado, this 7th day of December, 2011.

FOR THE COURT:

Gregory C. Langham, Clerk

By: s/Edward P. Butler  
Edward P. Butler  
Deputy Clerk

APPROVED BY THE COURT:

  
Robert E. Blackburn  
Robert E. Blackburn  
United States District Judge