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UNITED STATES DISTRICT COURT
CENTRAL DISTRICT OF CALIFORNIA

SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

SACV11-1962-JVS(ANX)

v.

HEART TRONICS, INC., MITCHELL JAY
STEIN, WILLIE JAMES GAULT,
J. ROWLAND PERKINS, II, MARTIN
BERT CARTER, MARK CROSBY
NEVDAHL, and RYAN ALLAN RAUCH,

Defendants,

TRACEY HAMPTON-STEIN, ARC
FINANCE GROUP, LLC, ARC BLIND
TRUST, THS BLIND TRUST, JAYMI
BLIND TRUST, OAK TREE
INVESTMENTS BLIND TRUST, WBT
INVESTMENTS BLIND TRUST, CATCH
83 GENERAL PARTNERSHIP, and FIVE
INVESTMENTS PARTNERSHIP,

Relief Defendants.

FINAL JUDGMENT AS TO DEFENDANT RYAN RAUCH

The Securities and Exchange Commission having filed a Complaint and
Defendant Ryan Rauch having entered a general appearance; consented to the
Court's jurisdiction over Defendant and the subject matter of this action; consented

1 to entry of this Final Judgment without admitting or denying the allegations of the
2 Complaint (except as to jurisdiction); waived findings of fact and conclusions of
3 law; and waived any right to appeal from this Final Judgment:
4

5 I.

6 IT IS HEREBY ORDERED, ADJUDGED, AND DECREED that Defendant
7 and Defendant's agents, servants, employees, attorneys, and all persons in active
8 concert or participation with them who receive actual notice of this Final Judgment
9 by personal service or otherwise are permanently restrained and enjoined from
10 violating, directly or indirectly, Section 17(b) of the Securities Act of 1933 (the
11 "Securities Act") [15 U.S.C. § 777q(b)] by using any means or instrumentality of
12 interstate commerce, or of the mails, to publish, give publicity to, or circulate any
13 notice, circular, advertisement, newspaper, article, letter, investment service, or
14 communication which, though not purporting to offer a security for sale, describes
15 such security for a consideration received or to be received, directly or indirectly,
16 from an issuer, underwriter, or dealer, without fully disclosing the receipt, whether
17 past or prospective, of such consideration and the amount thereof.
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22 II.

23 IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED
24 that Defendant is barred, for a period of three years from the date of this Final
25 Judgment, from participating in an offering of penny stock, including engaging in
26 activities with a broker, dealer, or issuer for purposes of issuing, trading, or
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1 inducing or attempting to induce the purchase or sale of any penny stock. A penny
2 stock is any equity security that has a price of less than five dollars, except as
3 provided in Rule 3a51-1 under the Exchange Act [17 C.F.R. 240.3a51-1].
4

5 III.

6 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that
7 Defendant is liable for disgorgement of \$15,000, representing profits gained as a
8 result of the conduct alleged in the Complaint, together with prejudgment interest
9 thereon in the amount of \$2,789.84, and a civil penalty in the amount of \$20,000
10 pursuant to Section 20(d) of the Securities Exchange Act [15 U.S.C. § 77t(d)].
11 Defendant shall satisfy this obligation by paying \$37,789.84 within 30 days after
12 entry of this Final Judgment by certified check, bank cashier's check, or United
13 States postal money order payable to the Securities and Exchange Commission.
14 The payment shall be delivered or mailed to the Office of Financial Management,
15 Securities and Exchange Commission, 100 F Street, NE, Mail Stop 6042,
16 Washington DC 20549, and shall be accompanied by a letter identifying Ryan
17 Rauch as a defendant in this action; setting forth the title and civil action number of
18 this action and the name of this Court; and specifying that payment is made
19 pursuant to this Final Judgment. Defendant shall pay post-judgment interest on
20 any delinquent amounts pursuant to 28 USC § 1961. The Commission shall remit
21 the funds paid pursuant to this paragraph to the United States Treasury.
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28 IV.

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2 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that the
3 Consent is incorporated herein with the same force and effect as if fully set forth
4 herein, and that Defendant shall comply with all of the undertakings and
5 agreements set forth therein.
6

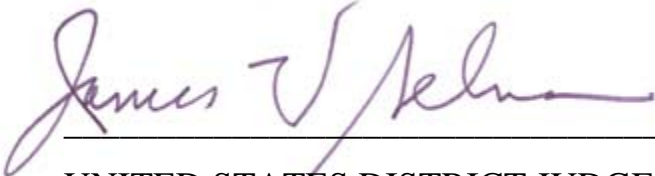
7 V.
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9 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that this
10 Court shall retain jurisdiction of this matter for the purposes of enforcing the terms
11 of this Final Judgment.
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13 VI.
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16 There being no just reason for delay, pursuant to Rule 54(b) of the Federal
17 Rules of Civil Procedure, the Clerk is ordered to enter this Final Judgment
18 forthwith and without further notice.
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22 Dated: August 09, 2012

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26 UNITED STATES DISTRICT JUDGE
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(ANx), **CLOSED**, DISCOVERY, MANADR

**UNITED STATES DISTRICT COURT for the CENTRAL DISTRICT OF CALIFORNIA
(Southern Division - Santa Ana)
CIVIL DOCKET FOR CASE #: 8:11-cv-01962-JVS-AN**

Securities and Exchange Commission v. Heart Tronics Inc et al
Assigned to: Judge James V. Selna
Referred to: Magistrate Judge Arthur Nakazato
Cause: 15:78m(a) Securities Exchange Act

Date Filed: 12/20/2011
Date Terminated: 05/31/2012
Jury Demand: None
Nature of Suit: 850
Securities/Commodities
Jurisdiction: U.S. Government Plaintiff

Plaintiff

Securities and Exchange Commission

represented by **David J Van Havermaat**
Securities and Exchange Commission
5670 Wilshire Boulevard 11th Floor
Los Angeles, CA 90036-3648
323-965-3998
Fax: 323-965-3908
Email: vanhavermaatd@sec.gov
ATTORNEY TO BE NOTICED

Mark David Lanpher
Securities Exchange Commission
100 F Street NE
Washington, DC 20549
202-551-4879
Fax: 202-772-928
Email: lanpher@sec.gov
PRO HAC VICE
ATTORNEY TO BE NOTICED

V.

Intervenor Plaintiff

United States of America

represented by **Albert B Stieglitz , Jr**
United States Department of Justice
Criminal Division
1400 New York Avenue NW
Washington, DC 20530
202-305-4002
Fax: 202-514-6118
ATTORNEY TO BE NOTICED

Andrew H Warren
US Department of Justice
1400 New York Avenue NW
Washington, DC 20005
202-305-4002

Email: andrew.warren@usdoj.gov
ATTORNEY TO BE NOTICED

V.

Defendant

Heart Tronics Inc

represented by **Timothy A Horton**
McKenna Long and Aldridge LLP
4435 Eastgate Mall Suite 400
San Diego, CA 92121
619-595-5400
Fax: 619-595-5450
Email: thorton@mckennalong.com
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

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Washington, DC 20006
202-496-7500
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Email: mscheininger@mckennalong.com
PRO HAC VICE
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Washington, DC 20006
202-496-7352
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Email: thalloran@mckennalong.com
PRO HAC VICE
ATTORNEY TO BE NOTICED

Defendant

Mitchell Jay Stein

represented by **Andrew M Weitz**
Apire Law Group LLP
28720 Canwood Street Suite 204
Agoura Hills, CA 91201
877-475-2448
Fax: 818-597-2123
Email: admin@spirelawgroupllp.com
ATTORNEY TO BE NOTICED

Eric Wittenberg
Eric J. Wittenberg Co LPA
60 West Columbus Street
Pickerington, OH 43147
614-834-9650
Fax: 314-837-5432

Email: eric@ewittenberglaw.com

PRO HAC VICE

ATTORNEY TO BE NOTICED

Defendant

Willie James Gault

represented by **Douglas C Emhoff**

Venable LLP

2049 Century Park East Suite 2100

Los Angeles, CA 90067

310-229-9900

Fax: 310-229-9901

Email: demhoff@venable.com

ATTORNEY TO BE NOTICED

Jennifer Levin

Venable LLP

2049 Century Park East Suite 2100

Los Angeles, CA 90067

310-229-9908

Fax: 310-229-9901

Email: jlevin@venable.com

ATTORNEY TO BE NOTICED

Defendant

J. Rowland Perkins, II

represented by **Timothy A Horton**

(See above for address)

LEAD ATTORNEY

ATTORNEY TO BE NOTICED

Michael G Scheininger

(See above for address)

PRO HAC VICE

ATTORNEY TO BE NOTICED

Timothy K Halloran

(See above for address)

PRO HAC VICE

ATTORNEY TO BE NOTICED

Defendant

Martin Bert Carter

Defendant

Mark Crosby Nevdahl

Defendant

Ryan Allan Rauch

Defendant

Tracey Hampton Stein

represented by **Andrew M Weitz**

(See above for address)

ATTORNEY TO BE NOTICED

Eric Wittenberg
 (See above for address)
PRO HAC VICE
ATTORNEY TO BE NOTICED

Defendant

ARC Finance Group LLC

Defendant

ARC Blind Trust

Defendant

THS Blind Trust

Defendant

Jaymi Blind Trust

Defendant

Oak Tree Investments Blind Trust

Defendant

WBT Investments Blind Trust

Defendant

Catch 83 General Partnership

represented by **Douglas C Emhoff**
 (See above for address)
ATTORNEY TO BE NOTICED

Jennifer Levin
 (See above for address)
ATTORNEY TO BE NOTICED

Defendant

Five Investments Partnership

Date Filed	#	Docket Text
12/20/2011	<u>1</u>	COMPLAINT against defendants ARC Blind Trust, ARC Finance Group LLC, Martin Brett Carter, Catch 83 General Partnership, Five Investments Partnership, Willie James Gault, Tracey Hampton Stein, Heart Tronics Inc, Jaymi Blind Trust, Mark Crosby Nevdahl, Oak Tree Investments Blind Trust, J. Rowland Perkins, II, Ryan Allan Rauch, Mitchell Jay Stein, THS Blind Trust, WBT Investments Blind Trust. Case assigned to Judge James V. Selna for all further proceedings. Discovery referred to Magistrate Judge Arthur Nakazato. (No Fee) Filed by plaintiff Securities and Exchange Commission. (ade) (Entered: 12/21/2011)
12/20/2011		21 DAY Summons Issued re Complaint - (Discovery) <u>1</u> as to defendants ARC Blind Trust, ARC Finance Group LLC, Martin Brett Carter, Catch 83 General Partnership, Five Investments Partnership, Willie James Gault, Tracey Hampton Stein, Heart Tronics Inc, Jaymi Blind Trust, Mark Crosby Nevdahl, Oak Tree Investments Blind Trust, J. Rowland Perkins, II, Ryan Allan Rauch, Mitchell Jay Stein, THS Blind Trust,

		WBT Investments Blind Trust. (ade) Modified on 12/27/2011 (lwag). (Entered: 12/21/2011)
12/20/2011	2	NOTICE TO PARTIES OF ADR PROGRAM filed.(ade) (Entered: 12/21/2011)
01/11/2012	3	APPLICATION for attorney Mark Lanpher to Appear Pro Hac Vice (PHV FEE WAIVED.) filed by Plaintiff Securities and Exchange Commission. (Attachments: # 1 Proposed Order On Application of Non-Resident Attorney to Appear)(Van Havermaat, David) (Entered: 01/11/2012)
01/12/2012	4	WAIVER OF SERVICE Returned Executed filed by Plaintiff Securities and Exchange Commission. upon Martin Bert Carter waiver sent by Plaintiff on 1/4/2012, answer due 3/4/2012. Waiver of Service signed by Martin B. Carter. (Lanpher, Mark) (Entered: 01/12/2012)
01/12/2012	5	WAIVER OF SERVICE Returned Executed filed by Plaintiff Securities and Exchange Commission. upon Mark Crosby Nevdahl waiver sent by Plaintiff on 1/4/2012, answer due 3/4/2012. Waiver of Service signed by Mark Roth, Esq. (Lanpher, Mark) (Entered: 01/12/2012)
01/12/2012	6	ORDER by Judge James V. Selna: granting 3 Application to Appear Pro Hac Vice by Attorney Mark Lanpher on behalf of Plaintiff SEC, designating David J. Van Havermaat as local counsel. (lt) (Entered: 01/17/2012)
01/17/2012	7	WAIVER OF SERVICE Returned Executed filed by Plaintiff Securities and Exchange Commission. upon Willie James Gault waiver sent by Plaintiff on 1/4/2012, answer due 3/4/2012; Heart Tronics Inc waiver sent by Plaintiff on 1/4/2012, answer due 3/4/2012; J. Rowland Perkins, II waiver sent by Plaintiff on 1/4/2012, answer due 3/4/2012. Waiver of Service signed by Jared Scharf, Esq.. (Lanpher, Mark) (Entered: 01/17/2012)
01/18/2012	8	Initial ORDER Following the Filing of Complaint by Judge James V. Selna. (ade) (Entered: 01/18/2012)
01/26/2012	9	WAIVER OF SERVICE Returned Executed filed by Plaintiff Securities and Exchange Commission. upon Ryan Allan Rauch waiver sent by Plaintiff on 1/25/2012, answer due 3/25/2012. Waiver of Service signed by Ryan Rauch. (Lanpher, Mark) (Entered: 01/26/2012)
01/31/2012	10	PROOF OF SERVICE Executed by Plaintiff Securities and Exchange Commission, upon Defendant Mitchell Jay Stein served on 1/21/2012, answer due 2/11/2012. Service of the Summons and Complaint were executed upon Tracy Hampton-Stein, wife of defendant Mitchell Stein, in compliance with Federal Rules of Civil Procedure by substituted service at home address and no service by mail was executed. Original Summons NOT returned. (Lanpher, Mark) (Entered: 01/31/2012)
01/31/2012	11	PROOF OF SERVICE Executed by Plaintiff Securities and Exchange Commission, upon Defendant Tracey Hampton Stein served on 1/21/2012, answer due 2/11/2012. Service of the Summons and Complaint were executed upon Tracy Hampton-Stein in compliance with Federal Rules of Civil Procedure by personal service. Original Summons NOT returned. (Lanpher, Mark) (Entered: 01/31/2012)
02/07/2012	12	NOTICE NOTICE OF APPEARANCE FOR WILLIE JAMES GAULT filed by DEFENDANT Willie James Gault. (Emhoff, Douglas) (Entered: 02/07/2012)
02/07/2012	13	NOTICE Amended Notice of Appearance for Willie James Gault filed by DEFENDANT Willie James Gault. (Emhoff, Douglas) (Entered: 02/07/2012)

02/16/2012	14	ORDER setting rule 26(f) scheduling conference by Judge James V. Selna. See order for more information. (Scheduling Conference set for 4/23/2012 11:30 AM before Judge James V. Selna.) (twdb) (Entered: 02/16/2012)
02/24/2012	15	First STIPULATION Extending Time to Answer the complaint as to Willie James Gault answer now due 3/26/2012, re Complaint - (Discovery), Complaint - (Discovery), Complaint - (Discovery) 1 filed by Defendant Willie James Gault.(Levin, Jennifer) (Entered: 02/24/2012)
02/24/2012	16	APPLICATION for attorney Timothy K. Halloran to Appear Pro Hac Vice (PHV FEE NOT PAID.) filed by Defendants Heart Tronics Inc, J. Rowland Perkins, II. (Attachments: # 1 Proposed Order)(Horton, Timothy) (Entered: 02/24/2012)
02/24/2012	17	APPLICATION for attorney Michael G. Scheininger to Appear Pro Hac Vice (PHV FEE NOT PAID.) filed by Defendants Heart Tronics Inc, J. Rowland Perkins, II. (Attachments: # 1 Proposed Order)(Horton, Timothy) (Entered: 02/24/2012)
02/24/2012	18	NOTICE of Appearance filed by attorney Timothy A Horton on behalf of Defendants Heart Tronics Inc, J. Rowland Perkins, II (Horton, Timothy) (Entered: 02/24/2012)
02/29/2012	19	ORDER by Judge James V. Selna: granting 16 Application to Appear Pro Hac Vice by Attorney Timothy K. Halloran on behalf of Defendants Heart Tronics, Inc. and J. Rowland Perkins,II, designating Timothy A. Horton as local counsel. (lt) (Entered: 03/01/2012)
02/29/2012	20	ORDER by Judge James V. Selna: granting 17 Application to Appear Pro Hac Vice by Attorney Michael G. Scheininger on behalf of Defendants Heart Tronics, Inc. and J. Rowland Perkins,II, designating Timothy A. Horton as local counsel. (lt) (Entered: 03/01/2012)
03/01/2012	21	NOTICE of Appearance filed by attorney Jennifer Levin on behalf of Defendant Catch 83 General Partnership (Levin, Jennifer) (Entered: 03/01/2012)
03/07/2012	22	CORPORATE DISCLOSURE STATEMENT filed by Defendants Heart Tronics Inc, J. Rowland Perkins, II (Horton, Timothy) (Entered: 03/07/2012)
03/07/2012	23	<i>Certification</i> of Interested Parties filed by Defendants Heart Tronics Inc, J. Rowland Perkins, II, identifying Heart Tronics, Inc. and its unnamed shareholders; Mitchell Jay Stein; Willie James Gault; J. Rowland Perkins, II; Martin Bert Carter; Mark Crosby Nevdahl; Ryan Allan Rauch; Tracey Hampton-Stein; James N. Fiedler; John Martin Woodbury, Jr.; ARC Finance Group, LLC; ARC Blind Trust; THS Blind Trust; JAYMI Blind Trust; Oak Tree Investments Blind Trust; WBT Investments Blind Trust; Catch 83 General Partnership; Five Investments Partnership; AXIS Insurance Company. (Horton, Timothy) (Entered: 03/07/2012)
03/07/2012	24	Joint STIPULATION for Extension of Time to File Answer or Motion to Dismiss, or Otherwise Respond to Complaint filed by Defendants Heart Tronics Inc, J. Rowland Perkins, II. (Attachments: # 1 Proposed Order)(Horton, Timothy) (Entered: 03/07/2012)
03/08/2012	25	ORDER by Judge James V. Selna: Pursuant to the Joint Stipulation 24 entered into by Plaintiff Securities and Exchange Commission (Plaintiff), Defendants Heart Tronics, Inc., J. Rowland Perkins, Willie James Gault, Mark Crosby Nevdahl, Martin Bert Carter, and Ryan Rauch (collectively the Defendants), IT IS ORDERED that: 1. The deadline for each of the Defendants to answer, move to dismiss, or otherwise respond to the Complaint shall be Wednesday, April 4, 2012. 2. Should Defendants move to

		dismiss or strike allegations in the Complaint, the deadline for Plaintiff to oppose any Motion to Dismiss and/or Motion to Strike shall be extended to thirty (30) days after the deadline for a response, to Friday, May 4, 2012; 3. The deadline for Defendants to reply shall be extended to twenty-one (21) days after Plaintiffs Opposition(s) are due, to Friday, May 25, 2012; and 4. The hearing on any motion in response to the Complaint will be Monday, June 11, 2012, at 1:30 p.m. (rla) (Entered: 03/12/2012)
03/19/2012	26	NOTICE TO FILER OF DEFICIENCIES in Electronically Filed Documents RE: Notice (Other) 12 , 13 . The following error(s) was found: Incorrect event selected. The correct event is: Appearance of Counsel. In response to this notice the court may order (1) an amended or correct document to be filed (2) the document stricken or (3) take other action as the court deems appropriate. You need not take any action in response to this notice unless and until the court directs you to do so. (lom) (Entered: 03/19/2012)
03/23/2012	27	WAIVER OF SERVICE Returned Executed filed by Plaintiff Securities and Exchange Commission. upon ARC Blind Trust waiver sent by Plaintiff on 2/22/2012, answer due 4/22/2012. Waiver of Service signed by Eric Wittenberg, Esq.. (Lanpher, Mark) (Entered: 03/23/2012)
03/23/2012	28	WAIVER OF SERVICE Returned Executed filed by Plaintiff Securities and Exchange Commission. upon ARC Finance Group LLC waiver sent by Plaintiff on 2/22/2012, answer due 4/22/2012. Waiver of Service signed by Eric Wittenberg, Esq.. (Lanpher, Mark) (Entered: 03/23/2012)
03/23/2012	29	WAIVER OF SERVICE Returned Executed filed by Plaintiff Securities and Exchange Commission. upon THS Blind Trust waiver sent by Plaintiff on 2/22/2012, answer due 4/22/2012. Waiver of Service signed by Eric Wittenberg, Esq.. (Lanpher, Mark) (Entered: 03/23/2012)
03/23/2012	30	WAIVER OF SERVICE Returned Executed filed by Plaintiff Securities and Exchange Commission. upon Jaymi Blind Trust waiver sent by Plaintiff on 2/22/2012, answer due 4/22/2012. Waiver of Service signed by Eric Wittenberg, Esq.. (Lanpher, Mark) (Entered: 03/23/2012)
03/23/2012	31	WAIVER OF SERVICE Returned Executed filed by Plaintiff Securities and Exchange Commission. upon Oak Tree Investments Blind Trust waiver sent by Plaintiff on 2/22/2012, answer due 4/22/2012. Waiver of Service signed by Eric Wittenberg, Esq.. (Lanpher, Mark) (Entered: 03/23/2012)
03/23/2012	32	WAIVER OF SERVICE Returned Executed filed by Plaintiff Securities and Exchange Commission. upon WBT Investments Blind Trust waiver sent by Plaintiff on 2/22/2012, answer due 4/22/2012. Waiver of Service signed by Eric Wittenberg, Esq. (Lanpher, Mark) (Entered: 03/23/2012)
03/23/2012	33	WAIVER OF SERVICE Returned Executed filed by Plaintiff Securities and Exchange Commission. upon Five Investments Partnership waiver sent by Plaintiff on 2/22/2012, answer due 4/22/2012. Waiver of Service signed by Eric Wittenberg, Esq. (Lanpher, Mark) (Entered: 03/23/2012)
03/23/2012	34	WAIVER OF SERVICE Returned Executed filed by Plaintiff Securities and Exchange Commission. upon Catch 83 General Partnership waiver sent by Plaintiff on 2/14/2012, answer due 4/14/2012. Waiver of Service signed by Jennifer Levin, Esq. (Lanpher, Mark) (Entered: 03/23/2012)
03/27/2012	35	APPLICATION for Order for to adjourn Rule 26(f) Scheduling Conference filed by

		Plaintiff Securities and Exchange Commission. (Attachments: # 1 Proposed Order) (Lanpher, Mark) (Entered: 03/27/2012)
04/03/2012	36	UNITED STATES' UNOPPOSED MOTION to Intervene, and Stay Discovery In the Civil Case Pending CRIMINAL DISPOSITION; filed by Intervener United States of America. Lodged ORDER. (rla) (Entered: 04/05/2012)
04/04/2012	37	ORDER by Judge James V. Selna. WHEREAS Plaintiff Securities and Exchange Commission (the "SEC"), has submitted an unopposed application 35 to adjourn the Rule 26(f) Scheduling Conference in this case, currently scheduled for April 23, 2012 at 11:30 a.m., for a period of 60 days. AND WHEREAS this Court finds that there is good cause to adjourn the Rule 26(f) Scheduling Conference for a period of 60 days. IT IS HEREBY ORDERED that the Rule 26(f) Scheduling Conference in this case is rescheduled for June 18, 2012 at 11:00 a.m. (dro) (Entered: 04/05/2012)
04/04/2012	39	ORDER GRANTING UNITED STATES' UNOPPOSED MOTION TO INTERVENE AND STAY DISCOVERY IN THE CIVIL CASE PENDING CRIMINAL DISPOSITION, by Judge James V. Selna. On March 30, 2012, the United States moved to intervene and stay discovery 36 of this case pending resolution of the parallel criminal prosecution, United States of America v. Mitchell J. Stein, No. 11-80205-CR-MARRA/HOPKINS, currently pending in the Southern District of Florida. No party in this case opposed the applicable law, as well as the lack of opposition from all parties in this case, the Court permits the United States to intervene pursuant to Federal Rule of Civil Procedure 24 and determines that a stay of discovery in the instant proceeding is appropriate pending the outcome of the parallel criminal proceeding. Accordingly, the Court hereby: STAYS discovery in this case pending the outcome of United State of America v. Mitchell J. Stein, No. 11-80205-CR-MARRA/HOPKINS. (dro) (Entered: 04/06/2012)
04/04/2012	41	NOTICE OF DISCREPANCY AND ORDER: by Judge James V. Selna, ORDERING Complaint submitted by Plaintiff Securities and Exchange Commission received on 4/3/12 is not to be filed but instead rejected. Denial based on: No certification of interested parties. (twdb) (Entered: 04/09/2012)
04/05/2012	38	APPLICATION for attorney Eric J. Wittenberg to Appear Pro Hac Vice (PHV FEE NOT PAID.) filed by defendant Mitchell Jay Stein. (Weitz, Andrew) (Entered: 04/05/2012)
04/06/2012	40	STIPULATION for Extension of Time to File Briefing Schedule to Response to Plaintiffs Complaint filed by Defendants J. Rowland Perkins, II. (Attachments: # 1 Proposed Order Extending Briefing Schedule for Defendants to Respond to Plaintiff's Complaint)(Horton, Timothy) (Entered: 04/06/2012)
04/09/2012	42	ORDER by Judge James V. Selna, re Stipulation for Extension of briefing schedule for defendants to respond to plaintiffs complaint 40 . (twdb) (Entered: 04/09/2012)
05/04/2012	43	Joint STIPULATION for Extension of Time to File Answer to June 4, 2012 re Complaint - (Discovery), Complaint - (Discovery), Complaint - (Discovery) 1 filed by Defendants Catch 83 General Partnership, Willie James Gault. (Attachments: # 1 Proposed Order)(Levin, Jennifer) (Entered: 05/04/2012)
05/04/2012	44	NOTICE OF MOTION AND MOTION to Dismiss Complaint filed by Defendant Mitchell J. Stein, et al. Mitchell Jay Stein. (Wittenberg, Eric) (Entered: 05/04/2012)
05/04/2012	45	NOTICE OF MOTION AND MOTION to Dismiss Case filed by Defendants Heart Tronics Inc, J. Rowland Perkins, II. Motion set for hearing on 7/9/2012 at 01:30 PM

		before Judge James V. Selna. (Attachments: # 1 Memorandum, # 2 Proposed Order, # 3 Proof of Service)(Horton, Timothy) (Entered: 05/04/2012)
05/04/2012	46	REQUEST FOR JUDICIAL NOTICE re MOTION to Dismiss Case 45 filed by Defendants Heart Tronics Inc, J. Rowland Perkins, II. (Attachments: # 1 Exhibit A-J) (Horton, Timothy) (Entered: 05/04/2012)
05/04/2012	47	ORDER granting Stipulation to Extending Defendants Willie James Gault and Catch 83 General Partnership's Deadline to respond to Plaintiff's Complaint 43 . IT IS ORDERED that the deadline for Defendants to answer, move to dismiss or otherwise respond to the Complaint shall be extended by 31 days to June 4, 2012. (rrp) (Entered: 05/04/2012)
05/30/2012	48	APPLICATION for Order for adjournment of Rule 26(f) Scheduling Conference (<i>Unopposed</i>) filed by Plaintiff Securities and Exchange Commission. (Attachments: # 1 Proposed Order, # 2 Proof of Service)(Lanpher, Mark) (Entered: 05/30/2012)
05/31/2012	50	ORDER by Judge James V. Selna: granting 48 Application. IT IS HEREBY ORDERED that the Rule 26(f) Scheduling Conference is adjourned and will be rescheduled after the stay of discovery previously entered in this case is lifted. (twdb) (Entered: 06/01/2012)
05/31/2012	51	MINUTE ORDER IN CHAMBERS by Judge James V. Selna: ORDER REMOVING ACTION FROM ACTIVE CASELOAD. In order to permit the Court to monitor this action, the Court hereby orders the parties to file a joint status report not later than August 31, 2012. Successive reports shall be filed every ninety (90) days thereafter. Each report must indicate the date on which the next report is due. (Made JS-6. Case Terminated.) (twdb) (Entered: 06/01/2012)
06/01/2012	49	Joint STIPULATION for Extension of Time to File Answer to August 3, 2012 re Complaint - (Discovery), Complaint - (Discovery), Complaint - (Discovery) 1 filed by Defendants Catch 83 General Partnership, Willie James Gault. (Attachments: # 1 Proposed Order)(Levin, Jennifer) (Entered: 06/01/2012)
06/04/2012	52	ORDER by Judge James V. Selna, re Stipulation to Extend Time to Answer (More than 30 days) 49 . IT IS ORDERED that the deadline for Defendants to answer, move to dismiss or otherwise respond to the Complaint shall be extended by 60 days to August 3, 2012. (twdb) (Entered: 06/04/2012)
06/04/2012	53	MEMORANDUM in Opposition to MOTION to Dismiss Case 45 filed by Plaintiff Securities and Exchange Commission. (Attachments: # 1 Proof of Service)(Lanpher, Mark) (Entered: 06/04/2012)
06/04/2012	54	MEMORANDUM in Opposition to MOTION to Dismiss Complaint 44 filed by Plaintiff Securities and Exchange Commission. (Attachments: # 1 Proof of Service) (Lanpher, Mark) (Entered: 06/04/2012)
06/21/2012	55	MINUTE ORDER IN CHAMBERS by Judge James V. Selna, Vacating Defendants Motion to Dismiss: The Court removed this action from the active caseload on May 31, 2012 pursuant to the stay in this case pending conclusion of a related criminal matter in the Southern District of Florida. (Docket No. 51.) Accordingly, the motion to dismiss (originally noticed for July 9, 2012) will not be heard until the stay is lifted. Defendant Heart Tronics may re-notice the motion once the Court vacates the stay. (rla) (Entered: 06/21/2012)
08/08/2012	56	NOTICE of Filing of Defendant Martin Carter's Consent and Proposed Final

		Judgment filed by Plaintiff Securities and Exchange Commission. (Attachments: # 1 Exhibit A, # 2 Exhibit B)(Lanpher, Mark) (Entered: 08/08/2012)
08/08/2012	57	NOTICE of Filing of Defendant Ryan Rauch's Consent and Proposed Final Judgment filed by Plaintiff Securities and Exchange Commission. (Attachments: # 1 Exhibit A, # 2 Exhibit B)(Lanpher, Mark) (Entered: 08/08/2012)
08/09/2012	58	FINAL JUDGMENT as to Martin Carter by Judge James V. Selna, Related to: Notice (Other) 57 . (twdb) (Entered: 08/10/2012)
08/09/2012	59	FINAL JUDGMENT as to defendant Ryan Rauch by Judge James V. Selna, Related to: Judgment 58 (twdb) (Entered: 08/10/2012)
08/31/2012	60	NOTICE of filing of Joint Status Report filed by plaintiff Securities and Exchange Commission. (Lanpher, Mark) (Entered: 08/31/2012)
