

1 JOHN BERRY, Cal. Bar No. 295760
Email: berryj@sec.gov
2 PETER F. DEL GRECO, Cal. Bar No. 164925
Email: delgreco@sec.gov
3

4 Attorneys for Plaintiff
Securities and Exchange Commission
5 Michele Wein Layne, Regional Director
Lorraine B. Echavarria, Associate Regional Director
6 John Berry, Regional Trial Counsel
444 South Flower Street, Suite 900
7 Los Angeles, California 90071
Telephone: (323) 965-3998
8 Facsimile: (213) 443-1904

CASE CLOSED

9
10 **UNITED STATES DISTRICT COURT**
11 **CENTRAL DISTRICT OF CALIFORNIA**
12 **WESTERN DIVISION**

13
14 **SECURITIES AND EXCHANGE
COMMISSION,**

15 **Plaintiff,**

16 **vs.**

17 **SAMUEL BRASLAU, RAND J.
18 CHORTKOFF, and STUART E.
RAWITT,**

19 **Defendants.**
20
21
22
23
24
25
26
27
28

Case No. CV 14-01290-ODW (AJWx)

**JUDGMENT OF PERMANENT
INJUNCTION AND OTHER
RELIEF AGAINST DEFENDANT
SAMUEL BRASLAU**

(Hon. Otis D. Wright)

Date: September 28, 2015

Time: 1:30 p.m.

Ctrm: Room 11, Spring Street Level

1 Plaintiff Securities and Exchange Commission (“SEC”) having filed a Complaint
2 and defendant Samuel Braslau (“Braslau”) having entered a general appearance; the SEC
3 having filed a motion for summary judgment as to liability and non-monetary relief
4 against Braslau; and the Court having granted the SEC’s motion for summary judgment,
5 after having fully considered all evidence, papers and arguments presented by the parties:

6 **I.**

7 IT IS HEREBY ORDERED, ADJUDGED, AND DECREED that Braslau and
8 Braslau’s agents, servants, employees, attorneys, and all persons in active concert or
9 participation with them who receive actual notice of this Judgment by personal service or
10 otherwise are permanently restrained and enjoined from violating, directly or indirectly,
11 Section 10(b) of the Securities Exchange Act of 1934 (the “Exchange Act”), 15 U.S.C. §
12 78j(b), and Rule 10b-5 promulgated thereunder, 17 C.F.R. § 240.10b-5, by using any
13 means or instrumentality of interstate commerce, or of the mails, or of any facility of any
14 national securities exchange, in connection with the purchase or sale of any security:

- 15 (a) to employ any device, scheme, or artifice to defraud;
- 16 (b) to make any untrue statement of a material fact or to omit to state a material
17 fact necessary in order to make the statements made, in the light of the
18 circumstances under which they were made, not misleading; or
- 19 (c) to engage in any act, practice, or course of business which operates or would
20 operate as a fraud or deceit upon any person.

21 **II.**

22 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that Braslau and
23 Braslau’s agents, servants, employees, attorneys, and all persons in active concert or
24 participation with them who receive actual notice of this Judgment by personal service or
25 otherwise are permanently restrained and enjoined from violating Section 17(a) of the
26 Securities Act of 1933 (the “Securities Act”), 15 U.S.C. § 77q(a), in the offer or sale of
27 any security by the use of any means or instruments of transportation or communication
28 in interstate commerce or by use of the mails, directly or indirectly:

- 1 (a) to employ any device, scheme, or artifice to defraud;
- 2 (b) to obtain money or property by means of any untrue statement of a material
- 3 fact or any omission of a material fact necessary in order to make the
- 4 statements made, in light of the circumstances under which they were made,
- 5 not misleading; or
- 6 (c) to engage in any transaction, practice, or course of business which operates
- 7 or would operate as a fraud or deceit upon the purchaser.

8 **III.**

9 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that this Court shall
10 retain jurisdiction of this matter for the purposes of enforcing the terms of this Judgment
11 or any final judgment.

12 **IV.**

13 There being no just reason for delay, pursuant to Rule 54(b) of the Federal Rules of
14 Civil Procedure, the Clerk is ordered to enter this Judgment forthwith and without further
15 notice.

16
17 DATED: _May 20, 2016



18 _____
19 HONORABLE OTIS D. WRIGHT
20 UNITED STATES DISTRICT JUDGE
21
22
23
24
25
26
27
28