Rule 10b-5 promulgated thereunder, 17 C.F.R. § 240.10b-5, by using any means or

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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.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that, as provided in Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also binds the following who receive actual notice of this Final Judgment by personal service or otherwise: (a) Defendant's officers, agents, servants, employees, and attorneys; and (b) other persons in active concert or participation with Defendant or with anyone described in (a).

II.

IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that Defendant is liable for disgorgement of \$11,320, representing profits gained as a result of the conduct alleged in the Complaint, together with prejudgment interest thereon in the amount of \$909.22. This disgorgement and prejudgment interest award shall be deemed satisfied by the entry of the forfeiture order in <u>United States v. Wiegand, et al.</u>, Crim. No. 15-cr-01462-DMS (S.D. Cal.).

III.

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

IV. 1 2 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that, for purposes of exceptions to discharge set forth in Section 523 of the Bankruptcy Code, 11 3 U.S.C. § 523, the allegations in the complaint are true and admitted by Defendant, and 4 5 further, any debt for disgorgement, prejudgment interest, civil penalty or other amounts due by Defendant under this Final Judgment or any other judgment, order, consent order, 6 7 decree or settlement agreement entered in connection with this proceeding, is a debt for 8 the violation by Defendant of the federal securities laws or any regulation or order issued 9 under such laws, as set forth in Section 523(a)(19) of the Bankruptcy Code, 11 U.S.C. § 523(a)(19). 10 11 V. 12 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that this Court 13 shall retain jurisdiction of this matter for the purposes of enforcing the terms of this Final 14 Judgment. 15 VI. There being no just reason for delay, pursuant to Rule 54(b) of the Federal Rules of 16 17 Civil Procedure, the Clerk is ordered to enter this Amended Judgment forthwith and without further notice. 18 19 Dated: August 16, 2018 20 Hon. Michael M. Anello United States District Judge 21 22 23 24 25 26 27 28