

IN THE UNITED STATES DISTRICT COURT
FOR THE EASTERN DISTRICT OF PENNSYLVANIA

SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

v.

WILLIAM DEAN CHAPMAN, JR.,
ALEXANDER CAPITAL MARKETS,
LLC, and
ALEXANDER FINANCIAL, LLC,
Defendants.

CIVIL ACTION

NO. 13-5648

ORDER

AND NOW, this 19th day of January, 2021, upon consideration of Plaintiff's Motion for Summary Judgment Against All Defendants (Document No. 22, filed May 1, 2015), Defendant's Response (Document No. 24, filed August 6, 2015), Plaintiff Securities and Exchange Commission's Reply in Support of its Motion for Summary Judgment (Document No. 25, filed August 11, 2015), the Motion to Deny Summary Judgment and (1) Dismiss, or (2) Allow Discovery (Document No. 63, filed September 3, 2020), Plaintiff Securities and Exchange Commission's Supplemental Memorandum of Law in Support of its Motion for Summary Judgment and in Opposition to Defendant Chapman's Motion to Dismiss or for Discovery (Document No. 67, filed September 28, 2020), Defendant's Response to Securities and Exchange Commission's Supplemental Memorandum of Law, Dated September 28, 2020 (Document No. 68, filed November 23, 2020), and Plaintiff Securities and Exchange Commission's Reply Memorandum of Law in Support of its Motion for Summary Judgment and in Opposition to Defendant Chapman's Motion to Dismiss or for Discovery, for the reasons set forth in the accompanying Memorandum dated January 19, 2021, **IT IS ORDERED** as follows:

1. *Pro se* defendant William Dean Chapman, Jr.'s Motion to Deny Summary Judgment and (1) Dismiss, or (2) Allow Discovery is **DENIED**.

2. To the extent that Plaintiff's Motion for Summary Judgment Against All Defendants seeks summary judgment against *pro se* defendant William Dean Chapman, Jr., the Motion is **GRANTED. JUDGMENT IS ENTERED** in **FAVOR** of plaintiff Securities and Exchange Commission, and **AGAINST** *pro se* defendant William Dean Chapman, Jr.

3. With respect to defendants Alexander Capital Markets, LLC and Alexander Financial, LLC, Plaintiff's Motion for Summary Judgment Against All Defendants, treated as a motion for default judgment, is **GRANTED. JUDGMENT IS ENTERED** in **FAVOR** of plaintiff Securities and Exchange Commission, and **AGAINST** Alexander Capital Markets, LLC and Alexander Financial, LLC.

4. Defendants are permanently **ENJOINED** from violating Section 10(b) of the Securities Exchange Act of 1934, 15 U.S.C. § 78j(b), and Rule 10b-5 thereunder, 17 C.F.R. § 240.10b-5.

5. *Pro se* defendant William Dean Chapman, Jr. is permanently **ENJOINED** from violating Section 20(a) of the Exchange Act, 15 U.S.C. § 78t(a) as a control person.

6. *Pro se* defendant William Dean Chapman, Jr. and Alexander Capital Markets, LLC are jointly and severally liable for disgorgement of \$445,910, plus prejudgment interest in the amount of \$77,978, for a total of \$523,888. **JUDGMENT IS ENTERED** in **FAVOR** of plaintiff Securities and Exchange Commission and **AGAINST** *pro se* defendant William Dean Chapman, Jr. and Alexander Capital Markets, LLC in the amount of \$523,888.

7. *Pro se* defendant William Dean Chapman, Jr. and Alexander Financial, LLC are jointly and severally liable for disgorgement of \$104,669, plus prejudgment interest in the amount of \$18,304, for a total of \$122,973. **JUDGMENT IS ENTERED** in **FAVOR** of plaintiff Securities and Exchange Commission and **AGAINST** *pro se* defendant William Dean Chapman, Jr. and Alexander Financial, LLC in the amount of \$104,669.

8. The judgments against defendants for disgorgement and prejudgment interest are **DEEMED SATISFIED** by the judgment in *United States v. Chapman*, No. 13-233 (E.D. Va.), ordering *pro se* defendant William Dean Chapman, Jr. to pay restitution of \$34,742,925.

IT IS FURTHER ORDERED that the Clerk of Court shall **MARK** the case **CLOSED**.

BY THE COURT:

/s/ **Hon. Jan E. DuBois**

DuBOIS, JAN E., J.