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UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF CALIFORNIA

SECURITIES AND EXCHANGE  
COMMISSION,  
  
Plaintiff,  
  
v.  
  
JOHN MARQUES AND LIFELINE  
INNOVATIONS & INSURANCE  
SOLUTIONS, LLC,  
  
Defendants.

Case No.: 4:21-cv-09796-JST  
  
~~PROPOSED~~ FINAL JUDGMENT AS  
TO DEFENDANTS JOHN  
MARQUES AND LIFELINE  
INNOVATIONS & INSURANCE  
SOLUTIONS, LLC

The Court having reviewed the Securities and Exchange Commission’s (“Commission”) Motion for Default and Final Judgment Against Defendants John Marques and Lifeline Innovations & Insurance Solutions, LLC (“Defendants”) and finding good cause, the Motion is GRANTED and:

I.

PERMANENT INJUNCTIVE RELIEF

A.

Section 5 of the Securities Act of 1933 (“Securities Act”)

1           **IT IS HEREBY ORDERED, ADJUDGED, AND DECREED** that Defendants are  
2 permanently restrained and enjoined from violating Section 5 of the Securities Act [15  
3 U.S.C. § 77e] by, directly or indirectly, in the absence of any applicable exemption:

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

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

12           (c) Making use of any means or instruments of transportation or communication  
13 in interstate commerce or of the mails to offer to sell or offer to buy through  
14 the use or medium of any prospectus or otherwise any security, unless a  
15 registration statement has been filed with the Commission as to such security,  
16 or while the registration statement is the subject of a refusal order or stop order  
17 or (prior to the effective date of the registration statement) any public  
18 proceeding or examination under Section 8 of the Securities Act [15 U.S.C. §  
19 77h].

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

25           **B.**

26           **Section 15(a)(1) of the Securities Exchange Act of 1934 ("Exchange Act")**

27           **IT IS FURTHER ORDERED, ADJUDGED, AND DECREED** that Defendants  
28 are permanently restrained and enjoined from violating, directly or indirectly, Section

1 15(a)(1) of the Exchange Act [15 U.S.C. § 78o(a)(1)] by making use of any means or  
2 instrumentality of interstate commerce or of the mails and engaging in the business of  
3 effecting transactions in securities for the accounts of others, or inducing or effecting the  
4 purchase and sale of securities, while not registered with the Commission in accordance  
5 with the provisions of Section 15(b) of the Exchange Act, or while not associated with a  
6 broker-dealer that was so registered.

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

12 **II.**

13 **DISGORGEMENT, PREJUDGMENT INTEREST AND CIVIL PENALTY**

14 **IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED** that  
15 Defendants are liable for disgorgement of \$824,000, jointly and severally,  
16 representing net profits gained as a result of the conduct alleged in the Complaint,  
17 together with prejudgment interest thereon in the amount of \$64,513, and/or a civil  
18 penalty in the amount of \$100,000 pursuant to Section 20(d) of the Securities Act and  
19 Section 21(d)(3) of the Exchange Act. Defendants shall satisfy this obligation by  
20 paying \$988,513 to the SEC within 30 days after entry of this Final Judgment.  
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23 Defendants may transmit payment electronically to the Commission, which will  
24 provide detailed ACH transfer/Fedwire instructions upon request. Payment may also be  
25 made directly from a bank account via Pay.gov through the SEC website at  
26 <http://www.sec.gov/about/offices/ofm.htm>. Defendants may also pay by certified check,  
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1 bank cashier's check, or United States postal money order payable to the Securities and  
2 Exchange Commission, which shall be delivered or mailed to:

3  
4 Enterprise Services Center  
5 Accounts Receivable Branch  
6 6500 South MacArthur Boulevard  
7 Oklahoma City, OK 73169

8 and shall be accompanied by a letter identifying the case title, civil action number, and  
9 name of this Court; John Marques and Lifeline Innovations & Insurance Solutions, LLC  
10 as defendants in this action; and specifying that payment is made pursuant to this Final  
11 Judgment.

12 Defendants shall simultaneously transmit photocopies of evidence of payment and  
13 case identifying information to the Commission's counsel in this action. By making this  
14 payment, Defendants relinquish all legal and equitable right, title, and interest in such  
15 funds and no part of the funds shall be returned to Defendants.  
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18 The Commission may enforce the Court's judgment for disgorgement and  
19 prejudgment interest by using all collection procedures authorized by law, including, but  
20 not limited to, moving for civil contempt at any time after 30 days following entry of this  
21 Final Judgment.  
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23 The Commission may enforce the Court's judgment for penalties by the use of all  
24 collection procedures authorized by law, including the Federal Debt Collection  
25 Procedures Act, 28 U.S.C. § 3001 *et seq.*, and moving for civil contempt for the violation  
26 of any Court orders issued in this action. Defendants shall pay post judgment interest on  
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1 any amounts due after 30 days of the entry of this Final Judgment pursuant to 28 U.S.C. §  
2 1961. The Commission shall hold the funds, together with any interest and income  
3 earned thereon (collectively, the “Fund”), pending further order of the Court.  
4

5 The Commission may propose a plan to distribute the Fund subject to the Court’s  
6 approval. Such a plan may provide that the Fund shall be distributed pursuant to the Fair  
7 Fund provisions of Section 308(a) of the Sarbanes-Oxley Act of 2002. The Court shall  
8 retain jurisdiction over the administration of any distribution of the Fund and the Fund  
9 may only be disbursed pursuant to an Order of the Court.  
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12 Regardless of whether any such Fair Fund distribution is made, amounts ordered to  
13 be paid as civil penalties pursuant to this Judgment shall be treated as penalties paid to  
14 the government for all purposes, including all tax purposes. To preserve the deterrent  
15 effect of the civil penalty, Defendants shall not, after offset or reduction of any award of  
16 compensatory damages in any Related Investor Action based on Defendants’ payment of  
17 disgorgement in this action, argue that they are entitled to, nor shall they further benefit  
18 by, offset or reduction of such compensatory damages award by the amount of any part of  
19 Defendants’ payment of a civil penalty in this action (“Penalty Offset”). If the court in  
20 any Related Investor Action grants such a Penalty Offset, Defendants shall, within 30  
21 days after entry of a final order granting the Penalty Offset, notify the Commission’s  
22 counsel in this action and pay the amount of the Penalty Offset to the United States  
23 Treasury or to a Fair Fund, as the Commission directs. Such a payment shall not be  
24 deemed an additional civil penalty and shall not be deemed to change the amount of the  
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1 civil penalty imposed in this Judgment. For purposes of this paragraph, a “Related  
2 Investor Action” means a private damages action brought against Defendants by or on  
3 behalf of one or more investors based on substantially the same facts as alleged in the  
4 Complaint in this action.  
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6 **III.**

7 **RETENTION OF JURISDICTION**

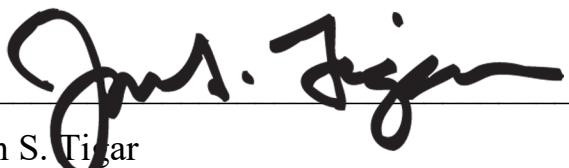
8 **IT IS FURTHER ORDERED, ADJUDGED, AND DECREED** that this Court  
9 shall retain jurisdiction of this matter for the purposes of enforcing the terms of this  
10 Judgment.  
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12 **IV.**

13 **RULE 54(b) CERTIFICATION**

14 There being no just reason for delay, pursuant to Rule 54(b) of the Federal Rules of  
15 Civil Procedure, the Clerk is ordered to enter this Judgment forthwith and without further  
16 notice.  
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18 Dated: December 8, 2022

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21 Jon S. Tigar  
22 United States District Judge  
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