

ROTHSTEIN, J.

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CLERK U.S. DISTRICT COURT
WESTERN DISTRICT OF WASHINGTON
DEPUTY
BY

UNITED STATES DISTRICT COURT
WESTERN DISTRICT OF WASHINGTON
AT SEATTLE

FILED
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AUG 30 1999
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8/31/99
AT SEATTLE
CLERK U.S. DISTRICT COURT
WESTERN DISTRICT OF WASHINGTON
DEPUTY
BY

U.S. SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

v.

UNITED FIRE TECHNOLOGY, INC., ET AL.,

Defendants.

Cause No. C97-1151R

FINAL JUDGMENT OF
PERMANENT INJUNCTIVE
AND OTHER RELIEF BY
CONSENT AGAINST
CHARLES JONES

Plaintiff U.S. SECURITIES AND EXCHANGE COMMISSION ("Commission") having commenced this action by filing a complaint on July 15, 1997 against, inter alia, defendant CHARLES JONES ("Jones") for permanent injunctive and other relief ("Complaint"), charging Jones with violations of Section 5 of the Securities Act of 1933 ("Securities Act"), 15 U.S.C. § 77e, and Section 15(a) of the Securities Exchange Act of 1934 ("Exchange Act"), 15 U.S.C. § 78o(a); and Jones having appeared pro se in this action, although consulting with counsel, but not having filed an answer to the Complaint or a motion directed to the Complaint; and Jones having executed the annexed Consent of Charles Jones ("Consent"), in which, without admitting or denying the allegations of the Complaint, Jones admits the in personam jurisdiction of the Court over him, the Court's jurisdiction over the subject matter of this action, and the service of the

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1 summons and Complaint upon him, waives the entry of findings of fact and conclusions of law
2 pursuant to Rule 52 of the Federal Rules of Civil Procedure, and consents to the entry, without
3 further notice, of this Final Judgment of Permanent Injunctive and Other Relief by Consent
4 Against Charles Jones ("Final Judgment"); and there being no just reason for delaying the entry of
5 this Final Judgment:

6
7 **L.**

8 **IT IS HEREBY ORDERED, ADJUDGED, AND DECREED** that Jones hereby is permanently
9 enjoined and restrained from, directly or indirectly, singly or in concert:

- 10 (a) making use of any means or instruments of transportation or
11 communication in interstate commerce or of the mails to sell a security,
12 through the use or medium of any prospectus or otherwise unless a
13 registration statement is in effect with the Commission as to such security
14 or an exemption or safe-harbor is applicable;
15
16 (b) carrying or causing to be carried through the mails or in interstate
17 commerce, by any means or instruments of transportation, any security for
18 the purpose of sale or for delivery after sale unless a registration statement
19 is in effect with the Commission as to such security or an exemption or
20 safe-harbor is applicable; or
21
22 (c) making use of any means or instruments of transportation or
23 communication in interstate commerce or of the mails to offer to sell or
24 offer to buy through the use or medium of any prospectus or otherwise any
25

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1 security, unless a registration has been filed with the Commission as to
2 such security or an exemption or safe-harbor is applicable, or while the
3 registration statement is the subject of a refusal order or stop order or
4 (prior to the effective date of the registration statement) any public
5 proceeding or examination under Section 8 of the Securities Act, 15 U.S.C.
6 § 77h;

7 in violation of Sections 5(a) and 5(c) of the Securities Act, 15 U.S.C. §§ 77e(a) and 77e(c).

8
9 **II.**

10 **IT IS FURTHER ORDERED, ADJUDGED, AND DECREED** that Jones is
11 permanently restrained and enjoined, directly or indirectly, singly or in concert, by the use of any
12 means or instrumentality of interstate commerce or of the mails, or of any facility of any national
13 securities exchange, from effecting any transactions in, or inducing or attempting to induce the
14 purchase or sale of, any security unless Jones is registered as a broker or dealer or associated with
15 a registered broker or dealer pursuant to Section 15(b) of the Exchange Act, in violation of
16 Section 15(a) of the Exchange Act, 15 U.S.C. § 77o(a).

17
18 **III.**

19 **IT IS FURTHER ORDERED, ADJUDGED, AND DECREED** that this Final
20 Judgment is binding upon Jones, his agents, servants, employees, and attorneys, and upon those
21 persons in active concert or participation with him who receive actual notice of this Final
22 Judgment by personal service or otherwise.

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26 **FINAL JUDGMENT OF PERMANENT**
27 **INJUNCTIVE AND OTHER RELIEF**
28 **BY CONSENT AGAINST**
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V.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that this Court shall retain jurisdiction of this matter for all purposes.

VI.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that the annexed Consent is incorporated in this Final Judgment with the same force and effect as it fully set forth herein.

VII.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED there being no just reason for delay, the Clerk of the Court is hereby directed to enter this Final Judgment pursuant to Rule 54(b) of the Federal Rules of Civil Procedure.

PRESENTED BY:


JOHN J. GRAUBARD

Dated this 30th day of August, 1998.


UNITED STATES DISTRICT JUDGE

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