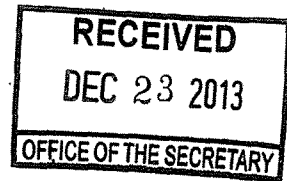


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**UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION**



**ADMINISTRATIVE PROCEEDING
File No. 3-15581**

In the matter of:

TODD NEWMAN,

Respondent.

**REPLY MEMORANDUM OF LAW IN FURTHER SUPPORT OF THE DIVISION
OF ENFORCEMENT'S MOTION FOR SUMMARY DISPOSITION AGAINST
RESPONDENT TODD NEWMAN**

DIVISION OF ENFORCEMENT
Daniel Marcus
Matthew Watkins
Valerie A. Szczepanik
Securities and Exchange Commission
New York Regional Office
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(212) 336-0021 (Marcus)
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Dated: December 20, 2013

In his response to the Division's Motion for Summary Disposition, respondent Todd Newman ("Newman") does not dispute that the Division is entitled to a bar based on Newman's criminal conviction for insider trading and the related injunctions entered in the Commission's civil proceeding against him. Nor does Newman dispute that the appropriate bar is a permanent collateral industry bar.

However, Newman suggests that a decision on this motion be deferred until the end of the 210-day period that the Court has for issuing an initial decision. *See* Todd Newman's Memorandum of Points and Authorities in Response to the Division of Enforcement's Motion for Summary Disposition ("Response") at 4-5. There is, however, no sound reason for delaying the initial decision. The Commission has previously considered such a request and rejected it. *See In re Charles Phillip Elliott*, 50 S.E.C. 1273, S.E.C. Rel. No. 31202, 1992 WL 258850, at *3 n. 15 (Sept. 17, 1992) ("At one point, Elliott argued that the Commission should withhold judgment pending the appeal of his conviction. However, we see no need to delay this proceeding until the outcome of his appeal."). As in any case, the Division and the public both have an interest in obtaining the appropriate legal remedy as expeditiously as possible, and a six-month delay of a remedy to which all parties agree the Division is entitled surely prejudices both the Division and the investing public. And that prejudice outweighs any inconvenience to Newman that will result if he wins his appeal and then seeks to lift a bar imposed in this proceeding.

Finally, although Newman suggests that this Court should delay the institution of the bar because the Second Circuit "may (or may not)" decide his appeal before the initial decision deadline of May 19, 2014, Response at 4, it is unlikely that the appeal will be resolved by then. Briefing for the appeal was just completed two days ago and no date has

been set for oral argument. *See* Marcus Declaration in Further Support of Motion for Summary Disposition against Respondent Todd Newman (“Marcus Decl.”) Ex. 1 [docket in *U.S. v. Newman*]. Using other recently-decided Second Circuit decisions in criminal insider trading cases as a guide, it appears that a decision on Newman’s appeal will most likely be issued after May 19, 2014. *See, e.g.*, Marcus Decl. Ex. 2 [docket in *U.S. v. Gupta*] (oral argument on May 21, 2013, decision not yet issued nearly 7 months later); Ex. 3 [docket in *U.S. v. Rajaratnam*] (oral argument on October 25, 2012, decision issued on June 24, 2013, nearly 8 months later); Ex. 4 [docket in *U.S. v. Goffe et al.*] (oral argument on March 11, 2013, decision issued on July 1, 2013, nearly 4 months later).

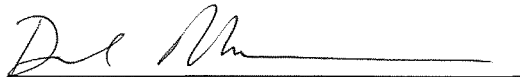
Accordingly, the Division respectfully submits that the Court should decide the Division’s motion without regard to the status of Newman’s criminal appeal.

CONCLUSION

For the foregoing reasons, the Division respectfully requests that its motion for summary disposition be granted, and that an order issue permanently barring Newman from association with any investment adviser, broker, dealer, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization.

Dated: December 20, 2013.

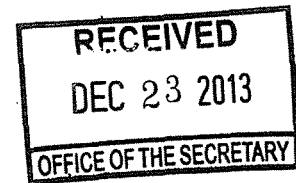
Respectfully submitted,
DIVISION OF ENFORCEMENT



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**UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION**



**ADMINISTRATIVE PROCEEDING
File No. 3-15581**

In the matter of:

TODD NEWMAN,

Respondent.

DECLARATION OF DANIEL R. MARCUS

I, Daniel R. Marcus, pursuant to 28 U.S.C. § 1746, declare as follows:

1. I am over 18 years old and a member of the bar of the State of New York.
2. I am employed as a Senior Counsel in the Division of Enforcement

("Division") at the New York Regional Office of the Securities and Exchange Commission ("Commission"). I make this declaration to provide to the Court certain documents cited in the Division's Reply Memorandum of Law in Further Support of the Division of Enforcement's Motion for Summary Disposition against Respondent Todd Newman.

3. Attached as exhibits to this Declaration are true and correct copies of the following documents:

Exhibit 1: the docket in *U.S. v. Newman*, No. 13-1917 (2d Cir.), as of December 19, 2013.

Exhibit 2: the docket in *U.S. v. Gupta*, No. 12-4448 (2d Cir.), as of December 19, 2013.

Exhibit 3: the docket in *U.S. v. Raj Rajaratnam*, No. 11-4416 (2d Cir.), as of
December 19, 2013.

Exhibit 4: the docket in *U.S. v. Goffer et al.*, No. 11-3591 (2d Cir.), as of December
19, 2013.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on December 20, 2013
New York, New York

A handwritten signature in black ink, appearing to read "Daniel R. Marcus", written over a horizontal line.

Daniel R. Marcus



**General Docket
Court of Appeals, 2nd Circuit**

Court of Appeals Docket #: 13-1837 Docketed: 05/10/2013 United States of America v. Newman Appeal From: SDNY (NEW YORK CITY) Fee Status: Paid											
Case Type Information: 1) Criminal 2) Direct Criminal 3) none											
Originating Court Information: District: 0208-1 : 1:12-cr-121-1 Trial Judge: Richard J. Sullivan, U.S. District Judge Date Filed: 02/07/2012 Date Order/Judgment: 05/09/2013 Date NOA Filed: 05/10/2013 Date Rec'd COA: 05/10/2013											
Prior Cases: None											
Current Cases: <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:15%;"></th> <th style="width:15%; text-align:center">Lead</th> <th style="width:15%; text-align:center">Member</th> <th style="width:15%; text-align:center">Start</th> <th style="width:15%; text-align:center">End</th> </tr> </thead> <tbody> <tr> <td>Consolidated</td> <td style="text-align:center">13-1837</td> <td style="text-align:center"><u>13-1917</u></td> <td style="text-align:center">05/16/2013</td> <td></td> </tr> </tbody> </table>			Lead	Member	Start	End	Consolidated	13-1837	<u>13-1917</u>	05/16/2013	
	Lead	Member	Start	End							
Consolidated	13-1837	<u>13-1917</u>	05/16/2013								
Panel Assignment: Not available											

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Danny Kuo Defendant	
Hyung G. Lim Defendant	
Michael Steinberg Defendant	

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United States of America,

Appellee,




























v.



























Jon Horvath, Danny Kuo, Hyung G. Lim, Michael Steinberg,

Defendants,


























Todd Newman, Anthony Chiasson,












Defendants - Appellants.

05/10/2013	 1 60 pg, 304.39 KB	NOTICE OF CRIMINAL APPEAL, with district court docket, on behalf of Appellant Todd Newman, FILED. [934132] [13-1837]
05/10/2013	 2	PAYMENT OF DOCKETING FEE, on behalf of Appellant Todd Newman, district court receipt # 4654-01067236, FILED.[934138] [13-1837]
05/10/2013	 3 7 pg, 2.24 MB	DISTRICT COURT JUDGMENT, dated 05/09/2013, RECEIVED.[934140] [13-1837]
05/10/2013	 4 61 pg, 336 KB	ELECTRONIC INDEX, in lieu of record, FILED.[934144] [13-1837]
05/10/2013	 5 209 pg, 2.42 MB	MOTION, for bail, on behalf of Appellant Todd Newman, FILED. Service date 05/10/2013 by email. [934150] [13-1837]
05/10/2013	 6 25 pg, 90.49 KB	SUPPLEMENTARY PAPERS TO MOTION [5], on behalf of Appellant Todd Newman, FILED. Service date 05/10/2013 by email.[934154][6] [13-1837]
05/13/2013	 12 1 pg, 37.88 KB	ARGUMENT NOTICE, to attorneys/parties, TRANSMITTED.[935410] [13-1837]
05/13/2013	 13 1 pg, 123.08 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellee USA United States of America, FILED. Service date 05/13/2013 by CM/ECF. [935487] [13-1837]
05/13/2013	 14	ATTORNEY, Antonia Marie Apps for United States of America, in case 13-1837 , [13], ADDED.[935669] [13-1837]
05/16/2013	 15 49 pg, 322.39 KB	NOTICE OF CRIMINAL APPEAL, with district court docket, on behalf of Appellant Anthony Chiasson in 13-1917, FILED. [939350] [13-1917, 13-1837]
05/16/2013	 16 7 pg, 2.4 MB	DISTRICT COURT JUDGMENT, dated 05/14/2013, RECEIVED.[939368] [13-1917]
05/16/2013	 17	NOTE: See lead case, 13-1837, containing complete set of docket entries.[939383] [13-1917]
05/16/2013	 18 1 pg, 123.9 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellee USA United States of America in 13-1837, FILED. Service date 05/16/2013 by CM/ECF. [939482] [13-1917, 13-1837]
05/16/2013	 19	ATTORNEY, Antonia Marie Apps for United States of America, in case 13-1917 , [18], ADDED.[939490] [13-1917]
05/16/2013	 20 1 pg, 37.36 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Anthony Chiasson in 13-1917, 13-1837, FILED. Service date 05/16/2013 by CM/ECF. [939725] [13-1917, 13-1837]
05/16/2013	 21	ATTORNEY, Alexandra A.E. Shapiro for Anthony Chiasson, in case 13-1917 Alexandra A.E. Shapiro for Anthony Chiasson, in case 13-1837 , [20], ADDED.[939736] [13-1917, 13-1837]
05/16/2013	 22 106 pg, 7.01 MB	MOTION, for bail, on behalf of Appellant Anthony Chiasson in 13-1917, 13-1837, FILED. Service date 05/16/2013 by CM/ECF. [940026] [13-1917, 13-1837]
05/16/2013	 26 1 pg, 58.47 KB	ACKNOWLEDGMENT AND NOTICE OF APPEARANCE, on behalf of Appellant Anthony Chiasson in 13-1837, 13-1917, FILED. Service date 05/16/2013 by CM/ECF.[940385] [13-1837, 13-1917]
05/16/2013	 27 3 pg, 268.05 KB	MOTION, to consolidate for argument, on behalf of Appellant Todd Newman in 13-1837, FILED. Service date 05/16/2013 by CM/ECF. [940450] [13-1837, 13-1917]
05/16/2013	 28 1 pg, 33.17 KB	ACKNOWLEDGMENT AND NOTICE OF APPEARANCE, on behalf of Appellant Todd Newman in 13-1837, FILED. Service date 05/16/2013 by CM/ECF.[940452] [13-1837, 13-1917]
05/17/2013	 31 1 pg, 32.23 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Todd Newman, FILED. Service date 05/17/2013 by CM/ECF. [940820] [13-1837]
05/17/2013	 32	ATTORNEY, John A. Nathanson for Todd Newman, in case 13-1837 , [31], ADDED.[941109] [13-1837, 13-1917]
05/17/2013	 34 1 pg, 24.19 KB	FORM B, on behalf of Appellant Todd Newman , FILED. Service date 05/17/2013 by CM/ECF.[941164] [13-1837]
05/17/2013	 38 1 pg, 37.09 KB	NEW CASE MANAGER, Toneta Sula, ASSIGNED.[941481] [13-1837, 13-1917]
05/20/2013	 39 48 pg, 202.83 KB	ELECTRONIC INDEX, in lieu of record, FILED.[942006] [13-1917]
05/20/2013	 40 1 pg, 32.33 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Anthony Chiasson in 13-1917, 13-1837, FILED. Service date 05/20/2013 by CM/ECF. [942215] [13-1917, 13-1837]
05/20/2013	 41	ATTORNEY, Daniel J. O'Neill for Anthony Chiasson, in case 13-1917 , [40], ADDED.[942258] [13-1917]

05/23/2013	 <u>46</u> 1 pg, 142.6 KB	ORDER, dated 05/23/2013, adjourning oral argument, FILED.[946530] [13-1837, 13-1917]
05/24/2013	 <u>48</u> 1 pg, 38.46 KB	ARGUMENT NOTICE, to attorneys/parties, TRANSMITTED.[947032] [13-1837, 13-1917]
05/28/2013	 <u>50</u>	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Anthony Chiasson in 13-1837, 13-1917, FILED. Service date 05/28/2013 by CM/ECF. [948568] [13-1837, 13-1917]
05/28/2013	 <u>51</u> 2 pg, 55.68 KB	DEFECTIVE DOCUMENT, notice of additional counsel, [50], on behalf of Appellant Anthony Chiasson, FILED.[948596] [13-1917]
05/29/2013	 <u>52</u> 2 pg, 25.9 KB	FORM B, on behalf of Appellant Anthony Chiasson in 13-1917, 13-1837, FILED. Service date 05/29/2013 by CM/ECF.[949663] [13-1917, 13-1837]
05/29/2013	 <u>53</u> 1 pg, 33.4 KB	SCHEDULING NOTIFICATION, on behalf of Appellant Anthony Chiasson in 13-1917, 13-1837, informing Court of proposed due date 08/15/2013, RECEIVED. Service date 05/29/2013 by CM/ECF.[949695] [13-1917, 13-1837]
05/29/2013	 <u>55</u> 1 pg, 15.67 KB	SCHEDULING NOTIFICATION, on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, informing Court of proposed due date 08/15/2013, RECEIVED. Service date 05/29/2013 by CM/ECF.[949727] [13-1837, 13-1917]
05/29/2013	 <u>57</u>	OPPOSITION TO MOTION for bail [5], for bail [22], on behalf of Appellee USA United States of America in 13-1837, 13-1917, FILED. Service date 05/29/2013 by CM/ECF. [950787][57] [13-1837, 13-1917]
05/30/2013	 <u>59</u> 1 pg, 55.25 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellee USA United States of America in 13-1837, 13-1917, FILED. Service date 05/30/2013 by CM/ECF. [951033] [13-1837, 13-1917]
05/30/2013	 <u>60</u> 2 pg, 55.79 KB	DEFECTIVE DOCUMENT, motion for leave to file an oversized response, [57], on behalf of Appellee United States of America in 13-1917, FILED.[951115] [13-1837, 13-1917]
05/30/2013	 <u>61</u> 30 pg, 158.54 KB	MOTION, to file oversized brief, on behalf of Appellee USA United States of America in 13-1837, 13-1917, FILED. Service date 05/30/2013 by CM/ECF. [951336] [13-1837, 13-1917]
05/30/2013	 <u>63</u>	CURED DEFECTIVE MOTION, [60], [61], on behalf of Appellee USA United States of America in 13-1917, FILED.[951655] [13-1837, 13-1917]
05/31/2013	 <u>70</u> 1 pg, 39.41 KB	SO-ORDERED SCHEDULING NOTIFICATION, setting Appellant Anthony Chiasson Brief due date as 08/15/2013; Joint Appendix due date as 08/15/2013, FILED.[952347] [13-1837, 13-1917]
05/31/2013	 <u>71</u> 1 pg, 33.67 KB	NOTICE, for the submission of additional paper copies of the appendix or joint appendix, SENT.[952359] [13-1837, 13-1917]
05/31/2013	 <u>72</u> 1 pg, 39.41 KB	SO-ORDERED SCHEDULING NOTIFICATION, setting Appellant Todd Newman Brief due date as 08/15/2013; Joint Appendix due date as 08/15/2013, FILED.[952373] [13-1837, 13-1917]
05/31/2013	 <u>73</u> 1 pg, 33.67 KB	NOTICE, for the submission of additional paper copies of the appendix or joint appendix, SENT.[952390] [13-1837, 13-1917]
05/31/2013	 <u>74</u>	ATTORNEY, Brent Scott Wible for United States of America, in case 13-1917, 13-1837, [59], ADDED. [952753] [13-1837, 13-1917]
06/05/2013	 <u>75</u> 1 pg, 108.46 KB	LETTER, correcting a statement made in the affirmation in opposition to Appellants' motion for bail, on behalf of Appellee United States of America, RECEIVED. Service date 06/05/2013 by CM/ECF.[957236] [13-1837]--[Edited 06/06/2013 by TS]
06/10/2013	 <u>78</u> 41 pg, 1.31 MB	MOTION, to file oversized brief, on behalf of Appellant Anthony Chiasson in 13-1917, 13-1837, FILED. Service date 06/10/2013 by CM/ECF. [960342] [13-1917, 13-1837]
06/10/2013	 <u>83</u> 184 pg, 21.42 MB	REPLY TO OPPOSITION [57], on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 06/10/2013 by CM/ECF.[960891][83] [13-1837, 13-1917]
06/11/2013	 <u>87</u> 1 pg, 38.08 KB	MOTION ORDER, granting motion to file oversized brief [78] filed by Appellant Anthony Chiasson in 13-1837, FILED. [961585][87] [13-1837, 13-1917]
06/13/2013	 <u>89</u> 39 pg, 1.26 MB	REPLY TO OPPOSITION [57], on behalf of Appellant Anthony Chiasson in 13-1917, 13-1837, FILED. Service date 06/10/2013 by CM/ECF.[964110][89] [13-1917, 13-1837]
06/20/2013	 <u>93</u> 1 pg, 36.55 KB	NEW CASE MANAGER, Frank Perez, ASSIGNED.[970248] [13-1837, 13-1917]
06/21/2013	 <u>95</u> 1 pg, 28.52 KB	REQUEST FOR ARGUMENT CD, with fee, RECEIVED.[971993] [13-1837, 13-1917]
06/21/2013	 <u>96</u> 1 pg, 146.96 KB	MOTION ORDER, granting motions for bail pending appeal [5], filed by Appellant Todd Newman, [22] and Appellant Anthony Chiasson, by GC, JAC, BDP, C.JJ., FILED. [972134][96] [13-1837, 13-1917]
06/21/2013	 <u>97</u> 1 pg, 398.6 KB	CERTIFIED ORDER, dated 06/21/2013, to SDNY, ISSUED.[972254] [13-1837, 13-1917]

06/21/2013	99 1 pg, 51.45 KB	REQUEST FOR ARGUMENT CD from Securities and Exchange Comm., with fee, RECEIVED.[972502] [13-1837, 13-1917]
06/24/2013	100 1 pg, 110.84 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Anthony Chiasson in 13-1837, 13-1917, FILED. Service date 06/24/2013 by CM/ECF. [973216] [13-1837, 13-1917]
06/24/2013	101 1 pg, 38.3 KB	LETTER, dated 06/19/2013, on behalf of Jennifer K. Vakiener from Morvillo LLp requesting CD of the Oral Argument. Fee Paid. Forwarded to Calendar Team. Receipt # 218952. RECEIVED. Service date 06/24/2013 by US mail.[973672] [13-1917, 13-1837]
06/25/2013	102	ATTORNEY, Gregory Robert Morvillo for Anthony Chiasson, in case 13-1837 , [100], ADDED.[974090] [13-1837]
06/26/2013	103	ARGUMENT CD, TRANSMITTED.[976197] [13-1837, 13-1917]
06/26/2013	104	ARGUMENT CD, TRANSMITTED.[976203] [13-1837, 13-1917]
06/28/2013	105	ARGUMENT CD, TRANSMITTED.[978548] [13-1837, 13-1917]
07/01/2013	106	ARGUMENT CD, TRANSMITTED.[979468] [13-1917, 13-1837]
07/09/2013	107 1 pg, 39.11 KB	REQUEST FOR ARGUMENT CD from Shapiro et al., with fee, RECEIVED.[985109] [13-1837, 13-1917]
07/16/2013	108	ARGUMENT CD, TRANSMITTED.[991089] [13-1837, 13-1917]
08/01/2013	109 5 pg, 183.92 KB	MOTION, to file oversized brief, on behalf of Appellant Anthony Chiasson in 13-1837, 13-1917, FILED. Service date 08/01/2013 by CM/ECF. [1005492] [13-1837, 13-1917]
08/06/2013	114 1 pg, 156.82 KB	MOTION ORDER, granting motion to file oversized brief [109] filed by Appellant Anthony Chiasson, by DC, FILED. [1009318][114] [13-1837, 13-1917]
08/09/2013	115 1 pg, 1.07 MB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Anthony Chiasson in 13-1917, FILED. Service date 08/09/2013 by CM/ECF. [1013344] [13-1917, 13-1837]
08/12/2013	116	ATTORNEY, Jeremy Michael Licht for Anthony Chiasson, in case 13-1917 Jeremy Michael Licht for Anthony Chiasson, in case 13-1837 , [115], ADDED.[1013518] [13-1837, 13-1917]
08/15/2013	117 64 pg, 187.49 KB	BRIEF, on behalf of Appellant Todd Newman, FILED. Service date 08/15/2013 by CM/ECF.[1018181] [13-1837, 13-1917]
08/15/2013	118 270 pg, 8.35 MB	JOINT APPENDIX, volume 1 of 12, (pp. 1-255), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018186] [13-1837, 13-1917]
08/15/2013	119 301 pg, 1.63 MB	JOINT APPENDIX, volume 2 of 12, (pp. 256-541), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018188] [13-1837, 13-1917]
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08/15/2013	121 261 pg, 1.69 MB	JOINT APPENDIX, volume 4 of 12, (pp. 742-987), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018190] [13-1837, 13-1917]
08/15/2013	122 297 pg, 1.87 MB	JOINT APPENDIX, volume 5 of 12, (pp. 988-1269), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018193] [13-1837, 13-1917]
08/15/2013	123 244 pg, 1.63 MB	JOINT APPENDIX, volume 6 of 12, (pp. 1270-1498), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018194] [13-1837, 13-1917]
08/15/2013	124 284 pg, 1.82 MB	JOINT APPENDIX, volume 7 of 12, (pp. 1499-1767), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018195] [13-1837, 13-1917]
08/15/2013	125 310 pg, 7.51 MB	JOINT APPENDIX, volume 8 of 12, (pp. 1768-2062), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018196] [13-1837, 13-1917]
08/15/2013	126 114 pg, 6.81 MB	JOINT APPENDIX, volume 9 of 12, (pp. 2063-2361), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018197] [13-1837, 13-1917]
08/15/2013	127 100 pg, 7.91 MB	JOINT APPENDIX, volume 9 of 12, (pp. 2162-2261), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018198] [13-1837, 13-1917]
08/15/2013	128 50 pg, 6.17 MB	JOINT APPENDIX, volume 9 of 12, (pp. 2262-2311), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018199] [13-1837, 13-1917]
08/15/2013	129 50 pg, 4.43 MB	JOINT APPENDIX, volume 9 of 12, (pp. 2312-2361), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018201] [13-1837, 13-1917]
08/15/2013	130 187 pg, 5.19 MB	JOINT APPENDIX, volume 10 of 12, (pp. 2362-2533), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018204] [13-1837, 13-1917]

08/15/2013	 131 155 pg, 5.58 MB	JOINT APPENDIX, volume 11 of 12, (pp. 2534-2673), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018206] [13-1837, 13-1917]
08/15/2013	 132 105 pg, 3.09 MB	JOINT APPENDIX, volume 11 of 12, (pp. 2674-2778), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018207] [13-1837, 13-1917]
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08/15/2013	 134 209 pg, 8.27 MB	JOINT APPENDIX, volume 12 of 12, (pp. 2814-3007), on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018210] [13-1837, 13-1917]
08/15/2013	 135 29 pg, 2.01 MB	SPECIAL APPENDIX, on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018211] [13-1837, 13-1917]
08/15/2013	 136 91 pg, 605.61 KB	BRIEF, on behalf of Appellant Anthony Chiasson in 13-1837, 13-1917, FILED. Service date 08/15/2013 by CM/ECF.[1018214] [13-1837, 13-1917]
08/15/2013	 137 2 pg, 18.57 KB	SCHEDULING NOTIFICATION, on behalf of Appellee USA United States of America in 13-1837, 13-1917, informing Court of proposed due date 11/14/2013, RECEIVED. Service date 08/15/2013 by CM/ECF. [1018229] [13-1837, 13-1917]
08/16/2013	 140 1 pg, 39.14 KB	SO-ORDERED SCHEDULING NOTIFICATION, setting Appellee USA United States of America Brief due date as 11/14/2013, FILED.[1018540] [13-1837]
08/22/2013	 146 1 pg, 51.17 KB	NOTICE OF APPEARANCE AS AMICUS COUNSEL, on behalf of Amicus Curiae National Association of Criminal Defense Lawyers , FILED. Service date 08/22/2013 by CM/ECF. [1023567] [13-1837, 13-1917]--[Edited 08/22/2013 by FP]
08/22/2013	 148	NEW PARTY, Amicus Curiae National Association of Criminal Defense Lawyers in 13-1837 and Amicus Curiae National Association of Criminal Defense Lawyers in 13-1917, ADDED.[1023647] [13-1837, 13-1917]
08/22/2013	 149 32 pg, 82.67 KB	AMICUS BRIEF, Amicus Curiae National Association of Criminal Defense Lawyers, FILED. Service date 08/22/2013 by CM/ECF. [1023725] [13-1837]--[Edited 08/23/2013 by FP]
08/30/2013	 154 4 pg, 161.88 KB	LETTER, on behalf of Appellant Anthony Chiasson, RECEIVED. Service date 08/30/2013 by US mail, CM/ECF.[1030797] [13-1837]
09/03/2013	 156 3 pg, 24.01 KB	LETTER, on behalf of Appellee USA United States of America, RECEIVED. Service date 09/03/2013 by CM/ECF.[1032037] [13-1837]
09/09/2013	 160 14 pg, 512.43 KB	MOTION, for "transmission of briefs", on behalf of Appellant Anthony Chiasson in 13-1837, 13-1917, FILED. Service date 09/09/2013 by CM/ECF. [1036737] [13-1837, 13-1917]--[Edited 09/10/2013 by FP]
09/17/2013	 164 1 pg, 38.39 KB	MOTION ORDER, referring motion to file copies of briefs, to the panel assigned to hear the merits argument in U.S. v. Whitman, No. 13-491, [160] filed by Appellant Anthony Chiasson in 13-1837, FILED. [1043936][164] [13-1837, 13-1917]
09/17/2013	 165 1 pg, 18.58 KB	LETTER, on behalf of Appellee USA United States of America, RECEIVED. Service date 09/17/2013 by CM/ECF.[1044068] [13-1837]
10/23/2013	 167 1 pg, 40.19 KB	MOTION ORDER, denying as moot motion for permission to transmit the Government's brief, [160] filed by Appellant Anthony Chiasson in 13-1837, FILED. [1074029][167] [13-1837, 13-1917]
11/05/2013	 168 6 pg, 113.01 KB	MOTION, to file oversized brief, on behalf of Appellee USA United States of America in 13-1837, 13-1917, FILED. Service date 11/05/2013 by CM/ECF. [1084818] [13-1837, 13-1917]
11/06/2013	 170 1 pg, 30.86 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Todd Newman, FILED. Service date 11/06/2013 by CM/ECF. [1085586] [13-1837]
11/06/2013	 171 6 pg, 58.67 KB	MOTION, to extend time, on behalf of Appellant Anthony Chiasson in 13-1837, 13-1917, FILED. Service date 11/06/2013 by CM/ECF. [1086054] [13-1837, 13-1917]
11/07/2013	 173	ATTORNEY, Jason Michael Swergold for Todd Newman, in case 13-1837 , [170], ADDED.[1086417] [13-1837]
11/12/2013	 175 1 pg, 138.32 KB	MOTION ORDER, granting motion to extend time to file appellants reply briefs until 12/18/2013 [171] filed by Appellant Anthony Chiasson, FILED. [1088714][175] [13-1837, 13-1917]
11/14/2013	 178 1 pg, 146.32 KB	MOTION ORDER, granting motion to file oversized brief of up to 34,000 words [168] filed by Appellee USA United States of America, by RCW, FILED. [1092182][178] [13-1837, 13-1917]
11/14/2013	 179 149 pg, 612.22 KB	BRIEF, on behalf of Appellee USA United States of America in 13-1837, 13-1917, FILED. Service date 11/14/2013 by CM/ECF, US mail. [1092928] [13-1837, 13-1917]
11/22/2013	 182 1 pg, 51.37 KB	ORAL ARGUMENT STATEMENT LR 34.1 (a), on behalf of filer Attorney Mark F Pomerantz for Appellant Anthony Chiasson in 13-1837, 13-1917, FILED. Service date 11/22/2013 by CM/ECF. [1099461] [13-1837, 13-1917]

11/22/2013	 <u>183</u> 1 pg, 51.58 KB	ORAL ARGUMENT STATEMENT LR 34.1 (a), on behalf of filer Attorney Stephen Fishbein, Esq. for Appellant Todd Newman in 13-1837, Attorney Stephen Fishbein, Esq. for Todd Newman in 13-1917, FILED. Service date 11/22/2013 by CM/ECF. [1099818] [13-1837, 13-1917]
11/22/2013	 <u>184</u> 5 pg, 56.04 KB	MOTION, to file oversized brief, on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 11/22/2013 by CM/ECF. [1099916] [13-1837, 13-1917]
11/22/2013	 <u>185</u> 1 pg, 129.5 KB	ORAL ARGUMENT STATEMENT LR 34.1 (a), on behalf of filer Attorney Ms. Antonia Marie Apps for Appellee USA United States of America in 13-1837, 13-1917, FILED. Service date 11/22/2013 by CM/ECF. [1100007] [13-1837, 13-1917]
11/26/2013	 <u>192</u> 2 pg, 18.84 KB	MOTION ORDER, granting motion to file oversized brief <u>[184]</u> filed by Appellant Todd Newman, by RAK FILED. [1101741][192] [13-1837, 13-1917]
12/06/2013	 <u>193</u> 6 pg, 147.75 KB	MOTION, to file oversized brief, on behalf of Appellant Anthony Chiasson in 13-1837, 13-1917, FILED. Service date 12/06/2013 by CM/ECF. [1109273] [13-1837, 13-1917]
12/11/2013	 <u>197</u> 1 pg, 146.02 KB	MOTION ORDER, granting motion to file oversized reply brief containing up to 12,000 words <u>[193]</u> filed by Appellant Anthony Chiasson, by GEL, FILED. [1112265][197] [13-1837, 13-1917]
12/18/2013	 <u>198</u> 52 pg, 143.82 KB	REPLY BRIEF, on behalf of Appellant Todd Newman, FILED. Service date 12/18/2013 by CM/ECF. [1117928] [13-1837, 13-1917]
12/18/2013	 <u>199</u> 55 pg, 172.51 KB	REPLY BRIEF, on behalf of Appellant Anthony Chiasson in 13-1837, 13-1917, FILED. Service date 12/18/2013 by CM/ECF. [1118075] [13-1837, 13-1917]
12/18/2013	 <u>200</u> 50 pg, 7.12 MB	MOTION, to file supplemental appendix, on behalf of Appellant Todd Newman in 13-1837, Anthony Chiasson in 13-1917, FILED. Service date 12/18/2013 by CM/ECF. [1118106] [13-1837, 13-1917]--[Edited 12/18/2013 by KS]
12/19/2013	 <u>203</u> 1 pg, 138.14 KB	MOTION ORDER, granting motion to file supplemental appendix <u>[200]</u> filed by Appellant Todd Newman, Todd Newman, FILED. [1118514][203] [13-1837, 13-1917]
12/19/2013	 <u>204</u> 45 pg, 7.06 MB	SUPPLEMENTAL APPENDIX, on behalf of Appellant Todd Newman in 13-1837, Todd Newman in 13-1917, FILED. Service date 12/19/2013 by CM/ECF. [1118620] [13-1837, 13-1917]

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2

General Docket
Court of Appeals, 2nd Circuit

Court of Appeals Docket #: 12-4448 United States of America v. Gupta Appeal From: SDNY (NEW YORK CITY) Fee Status: Paid		Docketed: 11/13/2012
Case Type Information: 1) Criminal 2) Direct Criminal 3) none		
Originating Court Information: District: 0208-1 : 1:11-cr-907-1 Trial Judge: Jed S. Rakoff, U.S. District Judge Date Filed: 10/25/2011 Date Order/Judgment: 11/09/2012		
	Date NOA Filed: 11/09/2012	Date Rec'd COA: 11/13/2012
Prior Cases: None		
Current Cases: None		
Panel Assignment: Not available		

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Appellee,





v.

Rajat K. Gupta,

Defendant - Appellant.

11/13/2012	<input type="checkbox"/> <u>1</u> 24 pg, 543.3 KB	NOTICE OF CRIMINAL APPEAL, with district court docket, on behalf of Appellant Rajat K. Gupta, FILED. [765984] [12-4448]
11/13/2012	<input type="checkbox"/> <u>2</u>	PAYMENT OF DOCKETING FEE, on behalf of Appellant Rajat K. Gupta, district court receipt # 465401052546, FILED.[766005] [12-4448]
11/13/2012	<input type="checkbox"/> <u>3</u> 7 pg, 958.46 KB	DISTRICT COURT JUDGMENT, dated 11/09/2012, RECEIVED.[766009] [12-4448]
11/13/2012	<input type="checkbox"/> <u>4</u> 23 pg, 228.68 KB	ELECTRONIC INDEX, in lieu of record, FILED.[766011] [12-4448]
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11/13/2012	<input type="checkbox"/> <u>7</u>	ATTORNEY, Seth P. Waxman for Rajat K. Gupta, in case 12-4448 , [5], ADDED.[766400] [12-4448]
11/13/2012	<input type="checkbox"/> <u>8</u> 1 pg, 37.24 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Rajat K. Gupta, FILED. Service date 11/13/2012 by CM/ECF. [766405] [12-4448]
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11/13/2012	<input type="checkbox"/> <u>11</u>	ATTORNEY, Paul Reinherz Wolfson for Rajat K. Gupta, in case 12-4448 , [6], ADDED.[766414] [12-4448]
11/13/2012	<input type="checkbox"/> <u>12</u>	ATTORNEY, Daniel Joseph Aguilar for Rajat K. Gupta, in case 12-4448 , [8], ADDED.[766419] [12-4448]
11/13/2012	<input type="checkbox"/> <u>13</u>	ATTORNEY, Megan Barbero for Rajat K. Gupta, in case 12-4448 , [10], ADDED.[766421] [12-4448]
11/13/2012	<input type="checkbox"/> <u>14</u> 1 pg, 305.65 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Rajat K. Gupta, FILED. Service date 11/13/2012 by CM/ECF. [766428] [12-4448]
11/13/2012	<input type="checkbox"/> <u>15</u>	ATTORNEY, Alan E Schoenfeld for Rajat K. Gupta, in case 12-4448 , [14], ADDED.[766444] [12-4448]
11/13/2012	<input type="checkbox"/> <u>16</u> 188 pg, 4.52 MB	MOTION, to stay, on behalf of Appellant Rajat K. Gupta, FILED. Service date 11/13/2012 by email, CM/ECF, hand delivery. [766559] [12-4448]
11/16/2012	<input type="checkbox"/> <u>21</u> 1 pg, 48.98 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Rajat K. Gupta, FILED. Service date 11/16/2012 by CM/ECF. [771323] [12-4448]
11/19/2012	<input type="checkbox"/> <u>22</u>	ATTORNEY, David Stanley Frankel for Rajat K. Gupta, in case 12-4448 , [21], ADDED.[771899] [12-4448]
11/20/2012	<input type="checkbox"/> <u>24</u> 1 pg, 76.46 KB	ACKNOWLEDGMENT AND NOTICE OF APPEARANCE, on behalf of Appellant Rajat K. Gupta, FILED. Service date 11/20/2012 by CM/ECF.[773689] [12-4448]
11/20/2012	<input type="checkbox"/> <u>25</u> 1 pg, 66.42 KB	FORM B, on behalf of Appellant Rajat K. Gupta , FILED. Service date 11/20/2012 by CM/ECF.[773690] [12-4448]
11/26/2012	<input type="checkbox"/> <u>28</u> 1 pg, 102.87 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellee USA United States of America, FILED. Service date 11/24/2012 by CM/ECF. [777537] [12-4448]
11/26/2012	<input type="checkbox"/> <u>29</u> 25 pg, 77.42 KB	OPPOSITION TO MOTION to stay [16], on behalf of Appellee USA United States of America, FILED. Service date 11/26/2012 by CM/ECF. [77716][29] [12-4448]
11/27/2012	<input type="checkbox"/> <u>30</u>	ATTORNEY, Reed Michael Brodsky for United States of America, in case 12-4448 , [28], ADDED.[777752] [12-4448]
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11/27/2012	<input type="checkbox"/> <u>36</u> 1 pg, 49.88 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Rajat K. Gupta, FILED. Service date 11/27/2012 by CM/ECF. [779131] [12-4448]
11/28/2012	<input type="checkbox"/> <u>37</u>	ATTORNEY, Alan Roy Friedman for Rajat K. Gupta, in case 12-4448 , [36], ADDED.[779314] [12-4448]
11/29/2012	<input type="checkbox"/> <u>38</u> 1 pg, 39.23 KB	**REVISED**ARGUMENT NOTICE, to attorneys/parties, TRANSMITTED.[782026] [12-4448]
11/30/2012	<input type="checkbox"/> <u>39</u> 15 pg, 43.09 KB	REPLY TO OPPOSITION [29], on behalf of Appellant Rajat K. Gupta, FILED. Service date 11/30/2012 by CM/ECF.[783034][39] [12-4448]
12/05/2012	<input type="checkbox"/> <u>113</u> 2 pg, 62.96 KB	REQUEST FOR ARGUMENT CD, with fee, RECEIVED.[883667] [12-4448]

12/06/2012	 <u>47</u> 2 pg, 80.29 KB	MOTION ORDER, granting motion to stay [16] filed by Appellant Rajat K. Gupta, by JAC, RR, FILED. [787606][47] [12-4448]
12/06/2012	 <u>48</u> 2 pg, 80.29 KB	EXPEDITED SCHEDULING ORDER re: Brief due date as 01/18/2013; Brief due date as 03/15/2013, Appellant reply brief due date as 03/29/2013; FILED.[787609] [12-4448]
12/06/2012	 <u>50</u> 2 pg, 334.55 KB	CERTIFIED ORDER, dated 12/06/2012, to SDNY (NEW YORK CITY), ISSUED.[787631] [12-4448]
12/06/2012	 <u>52</u> 1 pg, 37.41 KB	NEW CASE MANAGER, Gerard Whidbee, ASSIGNED.[788210] [12-4448]
12/20/2012	 114	ARGUMENT CD, TRANSMITTED.[883668] [12-4448]
01/15/2013	 <u>54</u> 4 pg, 361.2 KB	MOTION, for ___relief, on behalf of Appellant Rajat K. Gupta, FILED. Service date 01/15/2013 by CM/ECF. [816247] [12-4448]
01/17/2013	 <u>59</u> 1 pg, 148.75 KB	MOTION ORDER, granting motion for permission to file non-conforming exhibits, [54] filed by Appellant Rajat K. Gupta, by CFD, FILED. [819291][59] [12-4448]
01/18/2013	 <u>61</u> 50 pg, 1.39 MB	SPECIAL APPENDIX, on behalf of Appellant Rajat K. Gupta, FILED. Service date 01/18/2013 by CM/ECF. [821195] [12-4448]
01/18/2013	 <u>62</u> 267 pg, 11.84 MB	JOINT APPENDIX, volume 1 of 6, (pp. 1-251), on behalf of Appellant Rajat K. Gupta, FILED. Service date 01/18/2013 by CM/ECF.[821368] [12-4448]
01/18/2013	 <u>63</u> 287 pg, 1.16 MB	JOINT APPENDIX, volume 2 of 6, (pp. 252-522), on behalf of Appellant Rajat K. Gupta, FILED. Service date 01/18/2013 by CM/ECF.[821372] [12-4448]
01/18/2013	 <u>64</u> 287 pg, 1.17 MB	JOINT APPENDIX, volume 3 of 6, (pp. 523-793), on behalf of Appellant Rajat K. Gupta, FILED. Service date 01/18/2013 by CM/ECF.[821377] [12-4448]
01/18/2013	 <u>65</u> 287 pg, 1.3 MB	JOINT APPENDIX, volume 4 of 6, (pp. 794-1064), on behalf of Appellant Rajat K. Gupta, FILED. Service date 01/18/2013 by CM/ECF.[821385] [12-4448]
01/18/2013	 <u>66</u> 306 pg, 15.64 MB	JOINT APPENDIX, volume 5 of 6, (pp. 1065-1354), on behalf of Appellant Rajat K. Gupta, FILED. Service date 01/18/2013 by CM/ECF.[821393] [12-4448]
01/18/2013	 <u>67</u> 310 pg, 20.32 MB	JOINT APPENDIX, volume 6 of 6, (pp. 1355-1647), on behalf of Appellant Rajat K. Gupta, FILED. Service date 01/18/2013 by CM/ECF.[821493] [12-4448]
01/18/2013	 <u>68</u> 72 pg, 147.28 KB	BRIEF, on behalf of Appellant Rajat K. Gupta, FILED. Service date 01/18/2013 by CM/ECF.[821496] [12-4448]
01/18/2013	 73	EXHIBITS, on CD-ROM volume(s) 1 of 1, on behalf of Appellant Rajat K. Gupta, FILED. Service date 01/18/2013 by CM/ECF.[823771] [12-4448]
01/23/2013	 <u>69</u> 1 pg, 33.72 KB	NOTICE, for the submission of additional paper copies of the appendix or joint appendix, SENT.[823602] [12-4448]
02/11/2013	 79	CASE CALENDARING, for the week of 04/01/2013, PROPOSED.[843043] [12-4448]
02/12/2013	 <u>80</u> 1 pg, 58.54 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellee USA United States of America, FILED. Service date 02/12/2013 by CM/ECF. [844074] [12-4448]
02/12/2013	 <u>111</u> 1 pg, 40.48 KB	REQUEST FOR ARGUMENT CD, with fee, RECEIVED.[883454] [12-4448]
02/13/2013	 81	ATTORNEY, Justin S. Weddle for United States of America, in case 12-4448, [80], ADDED.[844253] [12-4448]
02/15/2013	 <u>82</u> 8 pg, 374.65 KB	MOTION, to extend time, on behalf of Appellant Rajat K. Gupta, FILED. Service date 02/15/2013 by CM/ECF. [848020] [12-4448]
02/15/2013	 <u>83</u> 1 pg, 61.51 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellee USA United States of America, FILED. Service date 02/15/2013 by CM/ECF. [848306] [12-4448]
02/19/2013	 85	ATTORNEY, Richard Tarlowe for United States of America, in case 12-4448, [83], ADDED.[848684] [12-4448]
02/28/2013	 <u>90</u> 1 pg, 148.89 KB	MOTION ORDER, granting motion to extend time [82] filed by Appellant Rajat K. Gupta, by RKW, FILED. [860063][90] [12-4448]
03/07/2013	 <u>91</u> 1 pg, 79.86 KB	ORAL ARGUMENT STATEMENT LR 34.1 (a), on behalf of filer Attorney Mr. Seth P. Waxman for Appellant Rajat K. Gupta, FILED. Service date 03/07/2013 by CM/ECF. [867792] [12-4448]
03/08/2013	 <u>92</u> 6 pg, 155.4 KB	MOTION, to file oversized brief, on behalf of Appellee USA United States of America, FILED. Service date 03/08/2013 by CM/ECF. [869484] [12-4448]

03/11/2013	 <u>94</u> 4 pg, 16.56 KB	OPPOSITION TO MOTION to file oversized brief [92], on behalf of Appellant Rajat K. Gupta, FILED. Service date 03/11/2013 by CM/ECF. [870078][94] [12-4448]
03/11/2013	 <u>96</u>	CASE CALENDARING, for the week of 04/29/2013, PROPOSED.[870304] [12-4448]
03/11/2013	 <u>112</u>	ARGUMENT CD, TRANSMITTED.[883455] [12-4448]
03/13/2013	 <u>103</u> 1 pg, 19.65 KB	MOTION ORDER, granting motion to file oversized brief [92] filed by Appellee United States of America, by RCW, FILED. [874660][103] [12-4448]
03/19/2013	 <u>104</u> 1 pg, 19 KB	LETTER, on behalf of Appellant Rajat K. Gupta, RECEIVED. Service date 03/19/2013 by CM/ECF. [880757] [12-4448]
03/20/2013	 <u>107</u>	CASE CALENDARING, for argument on 04/29/2013, SET.[882091] [12-4448]
03/20/2013	 <u>109</u> 1 pg, 37.98 KB	ORDER, oral argument adjourned, FILED.[882131] [12-4448]
03/20/2013	 <u>110</u>	CASE CALENDARING, for the week of 05/20/2013, PROPOSED.[882830] [12-4448]
03/21/2013	 <u>115</u> 6 pg, 54.09 KB	MOTION, for ___relief, on behalf of Appellant Rajat K. Gupta, FILED. Service date 03/21/2013 by CM/ECF. [884628] [12-4448]
03/22/2013	 <u>117</u> 89 pg, 306.74 KB	BRIEF, on behalf of Appellee USA United States of America, FILED. Service date 03/22/2013 by CM/ECF. [886063] [12-4448]
03/27/2013	 <u>123</u> 5 pg, 355.06 KB	MOTION, to file oversized brief, on behalf of Appellant Rajat K. Gupta, FILED. Service date 03/27/2013 by CM/ECF. [889945] [12-4448]
04/04/2013	 <u>128</u> 1 pg, 37.63 KB	MOTION ORDER, granting motion to preserve the expedited schedule for briefing, [115] filed by Appellant Rajat K. Gupta, FILED. [896743][128] [12-4448]
04/04/2013	 <u>129</u> 1 pg, 37.52 KB	MOTION ORDER, granting motion to file oversized brief [123] filed by Appellant Rajat K. Gupta, FILED. [896865][129] [12-4448]
04/09/2013	 <u>131</u>	CASE CALENDARING, for argument on 05/21/2013, SET.[901251] [12-4448]
04/10/2013	 <u>132</u> 2 pg, 45.79 KB	ARGUMENT NOTICE, to attorneys/parties, TRANSMITTED.[902909] [12-4448]
04/12/2013	 <u>134</u> 1 pg, 55.35 KB	NOTICE OF HEARING DATE ACKNOWLEDGMENT, on behalf of Appellant Rajat K. Gupta, FILED. Service date 04/12/2013 by CM/ECF. [906567] [12-4448]
04/12/2013	 <u>135</u> 42 pg, 106.88 KB	REPLY BRIEF, on behalf of Appellant Rajat K. Gupta, FILED. Service date 04/12/2013 by CM/ECF. [906570] [12-4448]
04/23/2013	 <u>141</u> 21 pg, 131.21 KB	1ST SUPPLEMENTAL ELECTRONIC INDEX, in lieu of record, FILED.[916861] [12-4448]
05/21/2013	 <u>142</u>	CASE, before JON, ALK, RSP, C.JJ., HEARD.[943678] [12-4448]
05/21/2013	 <u>143</u> 1 pg, 39.05 KB	REQUEST FOR ARGUMENT CD, with fee, RECEIVED.[944193] [12-4448]
05/22/2013	 <u>144</u>	ARGUMENT CD, TRANSMITTED.[945425] [12-4448]
05/24/2013	 <u>145</u> 1 pg, 39.05 KB	REQUEST FOR ARGUMENT CD, with fee, RECEIVED.[947994] [12-4448]
05/29/2013	 <u>146</u>	ARGUMENT CD, TRANSMITTED.[950387] [12-4448]
08/28/2013	 <u>148</u> 2 pg, 153.76 KB	ORDER, dated 08/28/2013, directing that the appeal filed under 13-916 be held in abeyance pending the determination of the appeal in 12-4448, by JON, ALK, RSP, FILED.[1028489] [12-4448]

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3

General Docket
Court of Appeals, 2nd Circuit

Court of Appeals Docket #: 11-4416 United States of America v. Raj Rajaratnam Appeal From: SDNY (NEW YORK CITY) Fee Status: Paid		Docketed: 10/25/2011 Termed: 06/24/2013
Case Type Information: 1) Criminal 2) Direct Criminal 3) none		
Originating Court Information: District: 0208-1 : 1:09-cr-1184-1 Trial Judge: Richard J. Holwell, U.S. District Judge Date Filed: 12/15/2009 Date Order/Judgment: 10/25/2011 Date NOA Filed: 10/25/2011		
Prior Cases: None		
Current Cases: None		
Panel Assignment: Not available		

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




















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











Professor G. Robert Blakey
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











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United States of America,
Appellee,
v.
Raj Rajaratnam,
Defendant - Appellant.

10/25/2011	 <u>1</u> 43 pg, 517.1 KB	NOTICE OF CRIMINAL APPEAL, with district court docket, on behalf of Appellee Raj Rajaratnam, FILED. [428845] [11-4416]
10/25/2011	 <u>2</u> 6 pg, 352.05 KB	DISTRICT COURT JUDGMENT, dated 10/25/2011, RECEIVED.[428849] [11-4416]
10/25/2011	 <u>3</u> 28 pg, 332.06 KB	MOTION, for stay of surrender and for bail pending appeal, on behalf of Appellant Raj Rajaratnam, FILED. Service date 10/25/2011 by email.[428852] [11-4416]
10/25/2011	 <u>4</u> 17 pg, 433.79 KB	MOTION, to seal document, on behalf of Appellant Raj Rajaratnam, FILED. Service date 10/25/2011 by email.[428859] [11-4416]
10/26/2011	 <u>5</u>	PAPERS, SEALED APPENDIX 11, RECEIVED.[428952] [11-4416]
10/26/2011	 <u>7</u> 1 pg, 44.38 KB	FORM B, on behalf of Appellee Raj Rajaratnam , FILED. Service date 10/26/2011 by CM/ECF.[429187] [11-4416]
10/26/2011	 <u>15</u> 1 pg, 66.78 KB	ACKNOWLEDGMENT AND NOTICE OF APPEARANCE, on behalf of Appellant Raj Rajaratnam, FILED. Service date 10/26/2011 by CM/ECF.[430136] [11-4416]
10/26/2011	 <u>16</u> 1 pg, 41.41 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Raj Rajaratnam, FILED. Service date 10/26/2011 by CM/ECF. [430138] [11-4416]
10/26/2011	 <u>17</u> 1 pg, 42.47 KB	NOTICE OF APPEARANCE AS SUBSTITUTE COUNSEL, on behalf of Appellant Raj Rajaratnam, FILED. Service date 10/26/2011 by CM/ECF. [430146] [11-4416]
10/26/2011	 <u>18</u> 1 pg, 43.71 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Raj Rajaratnam, FILED. Service date 10/26/2011 by CM/ECF. [430149] [11-4416]
10/26/2011	 <u>19</u> 1 pg, 29 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Raj Rajaratnam, FILED. Service date 10/26/2011 by CM/ECF. [430186] [11-4416]
10/26/2011	 <u>20</u> 1 pg, 46.95 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellant Raj Rajaratnam, FILED. Service date 10/26/2011 by CM/ECF. [430201] [11-4416]
10/27/2011	 <u>21</u>	ATTORNEY, Patricia A. Millet, [17], in place of attorney Terence J. Lynam, SUBSTITUTED.[430724] [11-4416]
10/27/2011	 <u>22</u>	ATTORNEY, James Eamonn Sherry for Raj Rajaratnam, in case 11-4416 , [18], ADDED.[430730] [11-4416]
10/27/2011	 <u>23</u>	ATTORNEY, Samidh Guha for Raj Rajaratnam, in case 11-4416 , [19], ADDED.[430737] [11-4416]
10/27/2011	 <u>24</u>	ATTORNEY, Hyland Hunt for Raj Rajaratnam, in case 11-4416 , [20], ADDED.[430739] [11-4416]
10/27/2011	 <u>25</u> 1 pg, 37.64 KB	NEW CASE MANAGER, Michelle Roker, ASSIGNED.[430750] [11-4416]
10/28/2011	 <u>27</u> 1 pg, 176.76 KB	LETTER, dated 10/28/2011, on behalf of Appellee USA United States of America, RECEIVED. Service date 10/28/2011 by CM/ECF.[432291] [11-4416]
10/31/2011	 <u>32</u> 1 pg, 144.96 KB	ORDER, dated 10/31/2011, the Government's opposition to the motion for bail is due Monday, 11/14/2011 and the Appellant's reply in support of the motion is due Monday, 11/21/2011, FILED.[433733] [11-4416]
10/31/2011	 <u>36</u> 1 pg, 145.1 KB	ORDER, dated 10/31/2011, On October 25, 2011, the appellant filed a motion for stay of surrender and for bail pending appeal. By letter dated 10/28/2011, the parties propose the following briefing schedule for the Appellant's motion; the Government's opposition to the motion due Monday, November 14, 2011; and the Appellant's reply in support of the motion due Monday, November 21, 2011. The proposed briefing schedule is so ordered. The parties will receive notice once the date and time of oral argument have been set, FILED.[434050] [11-4416]
11/02/2011	 <u>39</u> 1 pg, 23.55 KB	SCHEDULING NOTIFICATION, on behalf of Appellant Raj Rajaratnam, informing Court of proposed due date 01/25/2012, RECEIVED. Service date 11/02/2011 by CM/ECF.[436746] [11-4416]
11/03/2011	 <u>42</u> 1 pg, 38.04 KB	ARGUMENT/SUBMITTED NOTICE, to attorneys/parties, TRANSMITTED.[438196] [11-4416]
11/03/2011	 <u>43</u> 1 pg, 38.82 KB	SO-ORDERED SCHEDULING NOTIFICATION, setting Appellant Raj Rajaratnam Brief due date as 01/25/2012; Joint Appendix due date as 01/25/2012, FILED.[438314] [11-4416]
11/07/2011	 <u>44</u> 1 pg, 79.84 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellee USA United States of America, FILED. Service date 11/07/2011 by CM/ECF. [440648] [11-4416]
11/07/2011	 <u>45</u>	ATTORNEY, Jonathan Streeter for Appellee United States of America, in case 11-4416, [44], ADDED. [440667] [11-4416]
11/08/2011	 <u>47</u> 1 pg, 38.52 KB	ARGUMENT/SUBMITTED NOTICE, to attorneys/parties, TRANSMITTED.[442060] [11-4416]

11/08/2011	 <u>48</u> 1 pg, 37.75 KB	MOTION ORDER, granting motion for stay of Surrender [3] filed by Appellant Raj Rajaratnam, FILED. [442188][48] [11-4416]
11/08/2011	 <u>49</u> 1 pg, 37.98 KB	MOTION ORDER, granting motion to seal appendix 11[4] filed by Appellant Raj Rajaratnam, FILED. [442194][49] [11-4416]
11/14/2011	 <u>50</u> 25 pg, 76.31 KB	OPPOSITION TO MOTION for stay of removal [3], on behalf of Appellee USA United States of America, FILED. Service date 11/14/2011 by CM/ECF, email. [446606][50] [11-4416]
11/16/2011	 <u>53</u> 5 pg, 136.24 KB	MOTION, to file oversized brief, on behalf of Appellee USA United States of America, FILED. Service date 11/16/2011 by CM/ECF, email. [448939] [11-4416]
11/16/2011	 <u>55</u> 4 pg, 72.74 KB	OPPOSITION TO MOTION to file oversized brief [53], on behalf of Appellant Raj Rajaratnam, FILED. Service date 11/16/2011 by CM/ECF. [449433][55] [11-4416]
11/17/2011	 <u>62</u> 1 pg, 37.52 KB	MOTION ORDER, granting motion to file oversized opposition [53] filed by Appellee USA United States of America, , FILED. [450663][62] [11-4416]
11/21/2011	 <u>63</u> 16 pg, 50.79 KB	REPLY TO OPPOSITION [50], on behalf of Appellant Raj Rajaratnam, FILED. Service date 11/21/2011 by CM/ECF.[452731][63] [11-4416]
11/28/2011	 <u>66</u> 66 pg, 1.34 MB	LETTER, dated 11/28/2011, on behalf of Appellant Raj Rajaratnam, RECEIVED. Service date 11/28/2011 by CM/ECF.[457004] [11-4416]
11/28/2011	 <u>68</u> 66 pg, 1.92 MB	LETTER, dated 11/28/2011, on behalf of Appellee USA United States of America, RECEIVED. Service date 11/28/2011 by CM/ECF.[457502] [11-4416]
12/01/2011	 <u>72</u> 1 pg, 17.71 KB	ORDER, dated 12/01/2011, denying Appellant Raj Rajaratnam's motion for release pending appeal. The defendant shall surrender at such time and place as shall be instructed by the district court, by DJ,Ch.J., RAK, PWH, C.JJ., FILED.[461521] [11-4416]
12/01/2011	 <u>73</u> 1 pg, 272.1 KB	CERTIFIED COPY OF ORDER, dated 12/01/2011, to SDNY, ISSUED.[461538] [11-4416]
12/01/2011	 <u>104</u> 1 pg, 34.61 KB	REQUEST FOR ARGUMENT CD, with fee, RECEIVED.[515456] [11-4416]
12/12/2011	 <u>105</u>	ARGUMENT CD, TRANSMITTED.[515457] [11-4416]
01/20/2012	 <u>74</u> 1 pg, 34.01 KB	NOTICE, for the submission of additional paper copies of the appendix or joint appendix, SENT.[502855] [11-4416]
01/25/2012	 <u>75</u> 99 pg, 403.26 KB	BRIEF, on behalf of Appellant Raj Rajaratnam, FILED. Service date 01/25/2012 by CM/ECF.[507426] [11-4416]
01/25/2012	 <u>76</u> 286 pg, 8.69 MB	JOINT APPENDIX, volume 1 of 4, on behalf of Appellant Raj Rajaratnam, FILED. Service date 01/25/2012 by CM/ECF.[507446] [11-4416]
01/25/2012	 <u>77</u> 289 pg, 4.91 MB	JOINT APPENDIX, volume 2 of 4, on behalf of Appellant Raj Rajaratnam, FILED. Service date 01/25/2012 by CM/ECF.[507454] [11-4416]
01/25/2012	 <u>78</u> 151 pg, 6.95 MB	JOINT APPENDIX, volume 3 of 4, on behalf of Appellant Raj Rajaratnam, FILED. Service date 01/25/2012 by CM/ECF.[507458] [11-4416]
01/25/2012	 <u>79</u> 271 pg, 7.12 MB	JOINT APPENDIX, volume 4 of 4, on behalf of Appellant Raj Rajaratnam, FILED. Service date 01/25/2012 by CM/ECF.[507463] [11-4416]
01/25/2012	 <u>80</u> 104 pg, 5.03 MB	SPECIAL APPENDIX, on behalf of Appellant Raj Rajaratnam, FILED. Service date 01/25/2012 by CM/ECF.[507470] [11-4416]
01/25/2012	 <u>81</u> 2 pg, 94.97 KB	NOTICE OF APPEARANCE AS AMICUS COUNSEL, on behalf of, Amicus Curiae Retired Federal Judges, FILED. Service date 01/25/2012 by CM/ECF. [507473] [11-4416]--[Edited 10/10/2012 by KS]
01/25/2012	 <u>82</u> 2 pg, 38.17 KB	NOTICE OF APPEARANCE AS AMICUS COUNSEL, on behalf of, Amicus Curiae, FILED. Service date 01/25/2012 by CM/ECF. [507528] [11-4416]--[Edited 01/27/2012 by MR]
01/25/2012	 <u>83</u> 2 pg, 57.31 KB	DEFECTIVE NOTICE OF APPEARANCE [81], on behalf of Amicus Curiae, FILED.[507568] [11-4416]--[Edited 01/27/2012 by MR]
01/25/2012	 <u>84</u> 2 pg, 38.22 KB	NOTICE OF APPEARANCE AS AMICUS COUNSEL, on behalf of, Amicus Curiae , FILED. Service date 01/25/2012 by CM/ECF. [507870] [11-4416]--[Edited 01/27/2012 by MR]
01/26/2012	 <u>85</u> 1 pg, 87.9 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellee USA United States of America, FILED. Service date 01/26/2012 by CM/ECF. [509478] [11-4416]
01/27/2012	 <u>86</u>	ATTORNEY, Reed Michael Brodsky for United States of America, in case 11-4416 , [85], ADDED.[509669] [11-4416]

01/27/2012	<input type="checkbox"/> 87	CURED DEFECTIVE NOTICE OF APPEARANCE [84], on behalf of Amicus Curiae, FILED.[509673] [11-4416]--[Edited 01/27/2012 by MR]
01/27/2012	<input type="checkbox"/> 88	NEW PARTY, Amicus Curiae Retired Federal Judges, ADDED.[509827] [11-4416]
01/27/2012	<input type="checkbox"/> 89	ATTORNEY, Lawrence S. Lustberg for Amicus Curiae Retired Federal Judges, in case 11-4416 , [87], ADDED.[509835] [11-4416]
01/27/2012	<input type="checkbox"/> 90 1 pg, 99.13 KB	SCHEDULING NOTIFICATION, on behalf of Appellee USA United States of America, informing Court of proposed due date 04/25/2012, RECEIVED. Service date 01/27/2012 by CM/ECF.[509943] [11-4416]
01/27/2012	<input type="checkbox"/> 92	ATTORNEY, Alicia Bannon for Retired Federal Judges, in case 11-4416 , [82], ADDED.[510477] [11-4416]
01/27/2012	<input type="checkbox"/> 94 1 pg, 38.57 KB	SO-ORDERED SCHEDULING NOTIFICATION, setting Appellee USA United States of America Brief due date as 04/25/2012, FILED.[510834] [11-4416]
01/31/2012	<input type="checkbox"/> 95 4 pg, 125.23 KB	MOTION, to amend caption, on behalf of Appellant Raj Rajaratnam, FILED. Service date 01/31/2012 by CM/ECF. [513651] [11-4416]
01/31/2012	<input type="checkbox"/> 96 1 pg, 36 KB	NOTICE OF APPEARANCE AS AMICUS COUNSEL, on behalf of Professor G. Robert Blakey, FILED. Service date 01/31/2012 by CM/ECF. [513763] [11-4416]--[Edited 02/01/2012 by MR]
02/01/2012	<input type="checkbox"/> 99	NEW PARTY, Amicus Curiae Professor G. Robert Blakey, ADDED.[514469] [11-4416]
02/01/2012	<input type="checkbox"/> 100	ATTORNEY, Tai H Park for Professor G. Robert Blakey, in case 11-4416 , [96], ADDED.[514475] [11-4416]
02/01/2012	<input type="checkbox"/> 101 39 pg, 239.65 KB	AMICUS BRIEF, of Professor G. Robert Blakey in support of appellant, FILED. Service date 02/01/2012 by CM/ECF. [514927] [11-4416]--[Edited 02/15/2012 by MR]
02/01/2012	<input type="checkbox"/> 102 34 pg, 98.2 KB	AMICUS BRIEF, of Retired Federal Judges in support of niether party, FILED. Service date 02/01/2012 by CM/ECF. [515202] [11-4416]--[Edited 02/15/2012 by MR]
02/01/2012	<input type="checkbox"/> 103 24 pg, 153.69 KB	AMICUS BRIEF, for National Legal Aid & Defender Association and the Bronx Defenders in support of defendant-appellant, FILED. Service date 02/01/2012 by CM/ECF. [515288] [11-4416]--[Edited 02/15/2012 by MR]
02/02/2012	<input type="checkbox"/> 107 1 pg, 51.2 KB	MOTION ORDER, dated 02/02/2012, granting appellant's motion to amend caption to remove Danielle Chiesi [95] , FILED. [516187][107] [11-4416]
02/03/2012	<input type="checkbox"/> 108 1 pg, 57.91 KB	NOTICE OF APPEARANCE AS AMICUS COUNSEL, on behalf of, Amicus Curiae Nat'l Legal Aid & Assoc. and the Bronx Defenders, FILED. Service date 02/03/2012 by CM/ECF. [516629] [11-4416]--[Edited 10/10/2012 by KS]
02/03/2012	<input type="checkbox"/> 109	NEW PARTY, Amicus Curiae Nat'l Legal Aid & Assoc. and the Bronx Defenders, ADDED.[516656] [11-4416]
03/27/2012	<input type="checkbox"/> 117 1 pg, 68.83 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellee USA United States of America, FILED. Service date 03/27/2012 by CM/ECF. [563775] [11-4416]
03/30/2012	<input type="checkbox"/> 118	ATTORNEY, Andrew Fish for Appellee United States of America, in case 11-4416, [117], ADDED.[567213] [11-4416]
04/10/2012	<input type="checkbox"/> 119 6 pg, 147.43 KB	MOTION, to file oversized brief, on behalf of Appellee USA United States of America, FILED. Service date 04/10/2012 by CM/ECF. [576052] [11-4416]
04/20/2012	<input type="checkbox"/> 124 1 pg, 154.18 KB	MOTION ORDER, granting motion to file oversized brief [119] filed by Appellee USA United States of America, by PWH, FILED. [586601][124] [11-4416]
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04/28/2012	<input type="checkbox"/> 128	ORAL ARGUMENT STATEMENT LR 34.1 (a), on behalf of filer Attorney Mr. Reed Michael Brodsky, Esq. for Appellee USA United States of America, FILED. Service date 04/28/2012 by CM/ECF. [593556] [11-4416]
04/30/2012	<input type="checkbox"/> 129 2 pg, 57.34 KB	DEFECTIVE DOCUMENT, Oral Argument Statement, [128], on behalf of Appellee United States of America, FILED.[593829] [11-4416]
05/02/2012	<input type="checkbox"/> 131 5 pg, 154.75 KB	MOTION, to extend time, on behalf of Appellant Raj Rajaratnam, FILED. Service date 05/02/2012 by CM/ECF. [596919] [11-4416]
05/03/2012	<input type="checkbox"/> 134 1 pg, 64.61 KB	ORAL ARGUMENT STATEMENT LR 34.1 (a), on behalf of filer Attorney Mr. Reed Michael Brodsky, Esq. for Appellee USA United States of America, FILED. Service date 05/03/2012 by CM/ECF. [599239] [11-4416]
05/04/2012	<input type="checkbox"/> 135 2 pg, 102.07 KB	LETTER, on behalf of Appellee USA United States of America, RECEIVED. Service date 05/04/2012 by CM/ECF.[600323] [11-4416]

05/07/2012	 139 1 pg, 41.19 KB	MOTION ORDER, granting motion to extend time [131] filed by Appellant Raj Rajaratnam, FILED. [601126] [139] [11-4416]
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05/14/2012	 147 1 pg, 144.37 KB	MOTION ORDER, granting motion to file oversized brief [140] filed by Appellant Raj Rajaratnam, by RCW, FILED. [608631] [147] [11-4416]
05/16/2012	 148 46 pg, 269.99 KB	REPLY BRIEF, on behalf of Appellant Raj Rajaratnam, FILED. Service date 05/16/2012 by CM/ECF. [611812] [11-4416]
05/18/2012	 149	CURED DEFECTIVE Oral Argument Statement, [134] , on behalf of Appellee USA United States of America, FILED. [613612] [11-4416]
07/24/2012	 151 2 pg, 39.3 KB	LETTER, on behalf of Appellant Raj Rajaratnam, RECEIVED. Service date 07/24/2012 by CM/ECF. [671990] [11-4416]
07/26/2012	 154 2 pg, 44.64 KB	LETTER, on behalf of Appellant Raj Rajaratnam, RECEIVED. Service date 07/26/2012 by CM/ECF. [675172] [11-4416]
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09/12/2012	 160 2 pg, 46.04 KB	ARGUMENT NOTICE, to attorneys/parties, TRANSMITTED. [717413] [11-4416]
09/12/2012	 161 1 pg, 43.99 KB	NOTICE OF HEARING DATE ACKNOWLEDGMENT, on behalf of Appellant Raj Rajaratnam, FILED. Service date 09/12/2012 by CM/ECF. [717708] [11-4416]
09/12/2012	 162 1 pg, 38.6 KB	NOTICE OF HEARING DATE ACKNOWLEDGMENT, on behalf of Appellee USA United States of America, FILED. Service date 09/12/2012 by CM/ECF. [718057] [11-4416]
10/16/2012	 168 1 pg, 48.91 KB	REQUEST FOR ARGUMENT CD, with fee, RECEIVED. [783127] [11-4416]
10/25/2012	 163	CASE, before JAC*, RDS, SLC, C.JJ., HEARD. [756405] [11-4416]
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06/24/2013	 176 1 pg, 37.57 KB	NEW CASE MANAGER, Connie Mazariego, ASSIGNED. [972887] [11-4416]
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07/24/2013	 <u>189</u> 50 pg, 389.08 KB	PETITION FOR REHEARING/REHEARING EN BANC, on behalf of Appellant Raj Rajaratnam, FILED. Service date 07/24/2013 by CM/ECF.[998669] [11-4416]
07/31/2013	 <u>191</u> 28 pg, 356.7 KB	MOTION, to file amicus curiae brief, on behalf of Amicus Curiae Professor G. Robert Blakey, FILED. Service date 07/31/2013 by CM/ECF. [1004610] [11-4416]
08/07/2013	 <u>196</u> 1 pg, 145.59 KB	MOTION ORDER, granting motion to file amicus curiae brief [191] filed by Amicus Curiae Professor G. Robert Blakey, by JAC, FILED. [1009917][196] [11-4416]
08/08/2013	 <u>197</u> 18 pg, 112.95 KB	AMICUS BRIEF, on behalf of Amicus Curiae Professor G. Robert Blakey, FILED. Service date 08/08/2013 by CM/ECF.[1011346] [11-4416]
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12/02/2013	 <u>202</u> 1 pg, 410.67 KB	JUDGMENT MANDATE, ISSUED.[1104168] [11-4416]

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4

General Docket
Court of Appeals, 2nd Circuit

Court of Appeals Docket #: 11-3591 United States of America v. Goffer (Goldfarb) Appeal From: SDNY (NEW YORK CITY) Fee Status: Paid		Docketed: 09/06/2011 Termed: 04/10/2012																									
Case Type Information: 1) Criminal 2) Direct Criminal 3) none																											
Originating Court Information: District: 0208-1 : 1:10-cr-56-3 Trial Judge: Richard J. Sullivan, U.S. District Judge Date Filed: 01/21/2010 Date Order/Judgment: 08/22/2011																											
		Date NOA Filed: 09/02/2011																									
		Date Rec'd COA: 09/06/2011																									
Prior Cases: None																											
Current Cases: <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:15%;"></th> <th style="width:15%;">Lead</th> <th style="width:15%;">Member</th> <th style="width:15%;">Start</th> <th style="width:15%;">End</th> </tr> </thead> <tbody> <tr> <td>Consolidated</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>11-3591</td> <td><u>11-3778</u></td> <td>09/20/2011</td> <td></td> </tr> <tr> <td></td> <td>11-3591</td> <td><u>11-4193</u></td> <td>10/04/2011</td> <td></td> </tr> <tr> <td></td> <td>11-3591</td> <td><u>11-4409</u></td> <td>10/24/2011</td> <td></td> </tr> </tbody> </table>				Lead	Member	Start	End	Consolidated						11-3591	<u>11-3778</u>	09/20/2011			11-3591	<u>11-4193</u>	10/04/2011			11-3591	<u>11-4409</u>	10/24/2011	
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	11-3591	<u>11-4409</u>	10/24/2011																								
Panel Assignment: Not available																											

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United States of America,

Appellee,

v.
























Zvi Goffer, Craig Drimal, Michael Kimelman,

Defendants - Appellants,



























Jason Goldfarb, Arthur Cutillo, Emanuel Goffer, David Plate,

Defendants.


























09/06/2011	<u>1</u> 50 pg, 231.71 KB	NOTICE OF CRIMINAL APPEAL, with district court docket, on behalf of Appellant Jason Goldfarb, FILED. [385513] [11-3591]
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09/19/2011	<u>6</u> 64 pg, 434.99 KB	NEW CASE # 11-3778, on behalf of Craig Drimal, FILED.[396548] [11-3591]
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09/22/2011	<u>8</u> 1 pg, 68.86 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellee USA United States of America in 11-3778, FILED. Service date 09/22/2011 by CM/ECF. [398696] [11-3591, 11-3778]
09/22/2011	<u>9</u>	ATTORNEY, Andrew Fish for United States of America, in case 11-3591 , [8], ADDED.[398829] [11-3591]
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09/30/2011	<u>11</u> 1 pg, 39.91 KB	ORDER, dismissing appeal by 10/14/2011, unless appellant Craig Drimal, submits form B, FILED. [406029] [11-3778]
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10/25/2011	<u>33</u>	ATTORNEY, Reed Michael Brodsky for United States of America, in case 11-4409 , [32], ADDED. [428312] [11-4409]




























11/01/2011	 34 3 pg, 344.63 KB	MOTION, to seal document, on behalf of Appellant Michael Kimelman in 11-4409, FILED. Service date 11/01/2011 by CM/ECF. [435278] [11-4409, 11-3591]
11/03/2011	 38 1 pg, 453.59 KB	ACKNOWLEDGMENT AND NOTICE OF APPEARANCE FORM, on behalf of Party Craig Drimal, FILED. Service date 11/04/2011 by CM/ECF.[438915] [11-3778]
11/03/2011	 39 1 pg, 343 KB	SCHEDULING NOTIFICATION, on behalf of Appellant Craig Drimal, informing Court of proposed due date 01/31/2012, RECEIVED. Service date 11/04/2011 by CM/ECF.[438941] [11-3778]
11/04/2011	 40	FORM B, on behalf of Appellant Craig Drimal , FILED. Service date 11/04/2011 by CM/ECF.[438950] [11-3778]
11/04/2011	 41 2 pg, 57.62 KB	DEFECTIVE DOCUMENT, Form B, [40], on behalf of Appellant Craig Drimal, FILED.[438953] [11-3778]
11/08/2011	 45 1 pg, 17.86 KB	MOTION ORDER, granting motion to seal document [34] filed by Appellant Michael Kimelman, by RSP, FILED. [441253][45] [11-4409]
11/14/2011	 46 1 pg, 39.33 KB	ORDER, dismissing appeal by 11/28/2011, unless appellant Zvi Goffer, submits Form B, FILED.[445886] [11-4193]
11/14/2011	 47 3 pg, 123.67 KB	FORM B, on behalf of Appellant Zvi Goffer , FILED. Service date 11/14/2011 by CM/ECF, US mail. [446128] [11-4193]
11/15/2011	 48	SEAL MOTION, for appointment of CJA counsel, on behalf of Appellant Michael Kimelman, FILED. Service date 11/15/2011 by 3rd party, email.[450542] [11-4409]
11/22/2011	 54 1 pg, 149.63 KB	MOTION ORDER, denying motion for appointment of CJA counsel [48] filed by Appellant Michael Kimelman in 11-4409, by GEL, FILED. [453943][54] [11-3591, 11-4409]
11/30/2011	 55 1 pg, 39.16 KB	ORDER, dismissing appeal by 12/14/2011, unless appellant Jason Goldfarb, submits an acknowledgment/appearance form, FILED.[459974] [11-3591]
12/01/2011	 57 1 pg, 391.61 KB	FORM B, on behalf of Appellant Craig Drimal , FILED. Service date 12/02/2011 by CM/ECF.[462522] [11-3778]
12/02/2011	 56 1 pg, 40.64 KB	ORDER, dismissing appeal by 12/16/2011, unless appellant Michael Kimelman, submits Form B, FILED. [461962] [11-4409]
12/02/2011	 58	CURED DEFECTIVE, Form B [57] , on behalf of Appellant Craig Drimal, FILED.[462524] [11-3778]
12/02/2011	 60 1 pg, 56.01 KB	FORM B, on behalf of Appellant Michael Kimelman , FILED. Service date 10/24/2011 by CM/ECF, email. [462442] [11-4409]
12/08/2011	 61 6 pg, 1.74 MB	LETTER, dated 12/06/2011, on behalf of Appellant Jason Goldfarb, RECEIVED. Service date 12/12/2011 by CM/ECF.[469927] [11-3591]
12/13/2011	 63 3 pg, 1.14 MB	ACKNOWLEDGMENT AND NOTICE OF APPEARANCE, on behalf of Appellant Jason Goldfarb, FILED. Service date 12/13/2011 by CM/ECF.[471281] [11-3591]
12/15/2011	 69 1 pg, 37.35 KB	NEW CASE MANAGER, Frank Perez, ASSIGNED.[474015] [11-3591]
12/15/2011	 70 1 pg, 37.24 KB	NEW CASE MANAGER, Frank Perez, ASSIGNED.[474030] [11-3778]
12/15/2011	 71 1 pg, 3.75 KB	NEW CASE MANAGER, Frank Perez, ASSIGNED.[474034] [11-4193]
12/15/2011	 72 1 pg, 3.76 KB	NEW CASE MANAGER, Frank Perez, ASSIGNED.[474039] [11-4409]
01/06/2012	 73 4 pg, 360.63 KB	MOTION, to file oversized brief, on behalf of Appellant Michael Kimelman in 11-4409, 11-3591, FILED. Service date 01/06/2012 by email, CM/ECF. [491185] [11-4409, 11-3591]
01/10/2012	 75 1 pg, 39.03 KB	SO-ORDERED SCHEDULING NOTIFICATION, setting Appellant Michael Kimelman Brief due date as 01/23/2012; Joint Appendix due date as 01/23/2012, FILED.[492629] [11-3591]
01/11/2012	 79 1 pg, 39.1 KB	SO-ORDERED SCHEDULING NOTIFICATION, setting Appellant Zvi Goffer Brief due date as 01/24/2012; Joint Appendix due date as 01/24/2012, FILED.[495032] [11-3591]
01/11/2012	 80 1 pg, 39.01 KB	SO-ORDERED SCHEDULING NOTIFICATION, setting Appellant Craig Drimal Brief due date as 01/31/2012; Joint Appendix due date as 01/31/2012, FILED.[495056] [11-3591]
01/12/2012	 82 1 pg, 17.49 KB	MOTION ORDER, granting Appellant Kimelman's motion to file an oversized brief not to exceed 25,000 words [73] , by SLC, FILED. [496564][82] [11-3591]













01/22/2012	 <u>83</u> 2 pg, 80.71 KB	NOTICE OF APPEARANCE AS ADDITIONAL COUNSEL, on behalf of Appellee USA United States of America in 11-3591, 11-3778, 11-4193, 11-4409, FILED. Service date 01/22/2012 by CM/ECF. [503916] [11-3591, 11-3778, 11-4193, 11-4409]
01/23/2012	 <u>84</u>	ATTORNEY, Richard Tarlowe for United States of America, in case 11-3591 , [83], ADDED.[503959] [11-3591]
01/23/2012	 <u>85</u> 125 pg, 2.08 MB	BRIEF & SPECIAL APPENDIX, on behalf of Appellant Michael Kimelman in 11-3591, 11-4409, FILED. Service date 01/23/2012 by CM/ECF, hand delivery. [505075] [11-3591, 11-4409]
01/23/2012	 <u>86</u> 305 pg, 19.98 MB	JOINT APPENDIX, volume 1 of 13, on behalf of Appellant Michael Kimelman, FILED. Service date 01/23/2012 by hand delivery, CM/ECF, 3rd party.[505092] [11-3591]
01/23/2012	 <u>87</u> 306 pg, 42.03 MB	JOINT APPENDIX, volume 2 of 13, on behalf of Appellant Michael Kimelman, FILED. Service date 01/23/2012 by hand delivery, CM/ECF, 3rd party.[505112] [11-3591]
01/23/2012	 <u>88</u> 261 pg, 52.13 MB	JOINT APPENDIX, volume 3 of 13, on behalf of Appellant Michael Kimelman, FILED. Service date 01/23/2012 by CM/ECF, 3rd party, hand delivery.[505146] [11-3591]
01/23/2012	 <u>89</u> 306 pg, 54.15 MB	JOINT APPENDIX, volume 4 of 13, on behalf of Appellant Michael Kimelman, FILED. Service date 01/23/2012 by CM/ECF, hand delivery, 3rd party.[505161] [11-3591]
01/23/2012	 <u>90</u> 271 pg, 646.2 KB	JOINT APPENDIX, volume 5 of 13, on behalf of Appellant Michael Kimelman, FILED. Service date 01/23/2012 by 3rd party, CM/ECF, hand delivery.[505163] [11-3591]
01/23/2012	 <u>91</u> 305 pg, 684.58 KB	JOINT APPENDIX, volume 6 of 13, on behalf of Appellant Michael Kimelman, FILED. Service date 01/23/2012 by CM/ECF, hand delivery, 3rd party.[505164] [11-3591]
01/23/2012	 <u>92</u> 275 pg, 716.95 KB	JOINT APPENDIX, volume 7 of 13, on behalf of Appellant Michael Kimelman, FILED. Service date 01/23/2012 by CM/ECF, 3rd party, hand delivery.[505167] [11-3591]
01/23/2012	 <u>93</u> 282 pg, 719.85 KB	JOINT APPENDIX, volume 8 of 13, on behalf of Appellant Michael Kimelman, FILED. Service date 01/23/2012 by hand delivery, CM/ECF, 3rd party.[505168] [11-3591]
01/23/2012	 <u>94</u> 315 pg, 1.36 MB	JOINT APPENDIX, volume 9 of 13, on behalf of Appellant Michael Kimelman, FILED. Service date 01/23/2012 by hand delivery, CM/ECF, 3rd party.[505169] [11-3591]
01/23/2012	 <u>95</u> 328 pg, 17.44 MB	JOINT APPENDIX, volume 10 of 13, on behalf of Appellant Michael Kimelman, FILED. Service date 01/23/2012 by CM/ECF, 3rd party, hand delivery.[505175] [11-3591]
01/23/2012	 <u>96</u> 267 pg, 6.24 MB	JOINT APPENDIX, volume 11 of 13, on behalf of Appellant Michael Kimelman, FILED. Service date 01/23/2012 by 3rd party, hand delivery, CM/ECF.[505178] [11-3591]
01/23/2012	 <u>97</u> 282 pg, 35.75 MB	JOINT APPENDIX, volume 12 of 13, on behalf of Appellant Michael Kimelman, FILED. Service date 01/23/2012 by 3rd party, hand delivery, CM/ECF.[505181] [11-3591]
01/23/2012	 <u>98</u> 287 pg, 27.6 MB	JOINT APPENDIX, volume 13 of 13, on behalf of Appellant Michael Kimelman, FILED. Service date 01/23/2012 by CM/ECF, 3rd party, hand delivery.[505183] [11-3591]
01/23/2012	 <u>101</u>	SEALED PRE-SENTENCE REPORT, on behalf of Appellant Michael Kimelman, RECEIVED.[505246] [11-3591]
01/24/2012	 <u>106</u> 1 pg, 152.8 KB	ORDER, setting Appellant brief due date as 03/05/2012, for Appellant Jason Goldfarb failure to submit a scheduling notification, FILED.[505903] [11-3591]
01/24/2012	 <u>107</u> 74 pg, 3.16 MB	BRIEF & SPECIAL APPENDIX, on behalf of Appellant Zvi Goffer in 11-3591, FILED. Service date 01/24/2012 by hand delivery, CM/ECF. [506516] [11-4193, 11-3591]
01/24/2012	 <u>108</u> 262 pg, 9.08 MB	JOINT APPENDIX, volume 1 of 4, on behalf of Appellant Zvi Goffer, FILED. Service date 01/24/2012 by CM/ECF, hand delivery.[506519] [11-3591]
01/24/2012	 <u>109</u> 262 pg, 6.31 MB	JOINT APPENDIX, volume 2 of 4, on behalf of Appellant Zvi Goffer, FILED. Service date 01/24/2012 by CM/ECF, hand delivery.[506522] [11-3591]
01/24/2012	 <u>110</u> 262 pg, 7.3 MB	JOINT APPENDIX, volume 3 of 4, on behalf of Appellant Zvi Goffer, FILED. Service date 01/24/2012 by CM/ECF, hand delivery.[506523] [11-3591]
01/24/2012	 <u>111</u> 263 pg, 17.16 MB	JOINT APPENDIX, volume 4 of 4, on behalf of Appellant Zvi Goffer, FILED. Service date 01/24/2012 by CM/ECF, hand delivery.[506526] [11-3591]
01/24/2012	 <u>112</u> 74 pg, 3.16 MB	BRIEF & SPECIAL APPENDIX, on behalf of Appellant Zvi Goffer, FILED. Service date 01/24/2012 by hand delivery, CM/ECF. [506529] [11-3591]
01/24/2012	 <u>114</u>	SEALED PRE-SENTENCE REPORT, on behalf of Appellant Zvi Goffer, RECEIVED.[507481] [11-3591]
02/15/2012	 <u>122</u> 1 pg, 40.58 KB	ORDER, dated 02/15/2012, setting Appellant Drimal Brief due date as 03/07/2012, FILED.[525708] [11-3591]

03/08/2012	 124 17 pg, 7.34 MB	NOTICE OF APPEARANCE AS SUBSTITUTE COUNSEL, on behalf of Appellant Craig Drimal in 11-3778, FILED. Service date 03/07/2012 by US mail, email, CM/ECF. [546273] [11-3778, 11-3591, 11-4193, 11-4409]
03/08/2012	 125	NOTICE OF APPEARANCE AS SUBSTITUTE COUNSEL, on behalf of Appellant Craig Drimal in 11-3778, FILED. Service date 03/07/2012 by CM/ECF, email, US mail. [546297] [11-3778, 11-3591]
03/08/2012	 126	ATTORNEY, Arlene Villamia-Drimal for Craig Drimal, in case 11-3778 , [124], ADDED.[546338] [11-3778]
03/08/2012	 127	ATTORNEY, Arlene Villamia-Drimal for Craig Drimal, in case 11-3591 , [125], ADDED.[546354] [11-3591]
03/08/2012	 130 2 pg, 66.4 KB	DEFECTIVE DOCUMENT, Notice of appearance form and motions, [125], on behalf of Appellant Craig Drimal in 11-3778, FILED.[546396] [11-3591, 11-3778]
03/09/2012	 131 10 pg, 706.52 KB	MOTION, for extension of time, on behalf of Appellant Craig Drimal in 11-3778, FILED. Service date 03/06/2012 by US mail, email. [547759] [11-3778, 11-3591]--[Edited 03/13/2012 by FP]
03/09/2012	 132 10 pg, 706.52 KB	MOTION, for extension of time, on behalf of Appellant Craig Drimal in 11-3778, FILED. Service date 03/06/2012 by email, US mail. [547775] [11-3778, 11-3591]--[Edited 03/13/2012 by FP]
03/09/2012	 133 6 pg, 313.6 KB	MOTION, for admission pro hac vice, on behalf of Appellant Craig Drimal in 11-3778, FILED. Service date 03/06/2012 by email, US mail. [547804] [11-3778, 11-3591]
03/09/2012	 134	CURED DEFECTIVE MOTIONS [133], [132], [131], on behalf of Appellant Craig Drimal, FILED.[547994] [11-3591]
03/09/2012	 135	CURED DEFECTIVE MOTIONS [133], [132], [131], on behalf of Appellant Craig Drimal, FILED.[548015] [11-3778]
03/09/2012	 137 6 pg, 383.19 KB	MOTION, for admission pro hac vice, on behalf of Appellant Craig Drimal in 11-3778, FILED. Service date 03/06/2012 by US mail, email. [548039] [11-3591, 11-3778, 11-4193, 11-4409]
03/09/2012	 138 15 pg, 5.56 MB	MOTION, for extension of time, on behalf of Appellant Craig Drimal in 11-3591, 11-3778, FILED. Service date 03/07/2012 by email, CM/ECF, US mail. [548049] [11-3591, 11-3778, 11-4193, 11-4409]--[Edited 03/13/2012 by FP]
03/16/2012	 147 1 pg, 158.34 KB	MOTION ORDER, granting motion for admission pro hac vice [137], by RR, FILED. [554192][147] [11-3591]
03/16/2012	 148 1 pg, 19.89 KB	MOTION ORDER, granting motion for extension of time [138] filed by Appellant Craig Drimal, by RKW, FILED. [554200][148] [11-3591]
03/16/2012	 149 1 pg, 39.92 KB	ORDER, dated 03/16/2012, dismissing appeal by March 30, 2012, unless appellant Jason Goldfarb, submits a brief and appendix, FILED.[554252] [11-3591]
04/10/2012	 150 1 pg, 322.06 KB	SCHEDULING NOTIFICATION, on behalf of Appellee USA United States of America in 11-3591, 11-3778, informing Court of proposed due date 07/09/2012, RECEIVED. Service date 04/10/2012 by CM/ECF. [575702] [11-3591, 11-3778, 11-4193, 11-4409]
04/10/2012	 154 2 pg, 69.3 KB	DEFECTIVE DOCUMENT, APPENDIX, [575417-2], on behalf of Appellant Craig Drimal, FILED.[576035] [11-3778]
04/10/2012	 155 1 pg, 38.94 KB	SO-ORDERED SCHEDULING NOTIFICATION, setting Appellee USA United States of America Brief due date as 07/09/2012, FILED.[576072] [11-3591]
04/10/2012	 156 1 pg, 37.6 KB	NEW CASE MANAGER, Margaret Lain, ASSIGNED.[576081] [11-3591]
04/10/2012	 157	ORDER, [149] appeal dismissed for Appellant Jason Goldfarb failure to file brief and appendix, EFFECTIVE.[576085] [11-3591]
04/12/2012	 158	BRIEF, on behalf of Appellant Craig Drimal, FILED. Service date 04/11/2012 by CM/ECF.[579030] [11-3591]
04/12/2012	 159	BRIEF & APPENDIX, on behalf of Appellant Craig Drimal, FILED. Service date 04/12/2012 by CM/ECF. [579118] [11-3591]
04/13/2012	 160	BRIEF & APPENDIX, on behalf of Appellant Craig Drimal, FILED. Service date 04/12/2012 by CM/ECF. [579119] [11-3591]
04/13/2012	 161	BRIEF & APPENDIX, on behalf of Appellant Craig Drimal, FILED. Service date 04/12/2012 by CM/ECF. [579120] [11-3591]
04/17/2012	 164 1 pg, 3.75 KB	NEW CASE MANAGER, Frank Perez, ASSIGNED.[582534] [11-3591]
04/27/2012	 165	BRIEF & SPECIAL APPENDIX, on behalf of Appellant Craig Drimal in 11-3591, 11-3778, FILED. Service date 04/27/2012 by CM/ECF. [592947] [11-3591, 11-3778, 11-4193, 11-4409]

04/30/2012	166 1 pg, 292.7 KB	CERTIFIED COPY OF ORDER, dated 03/16/2012, disposing of the appeal to SDNY, ISSUED.[Mandate] [594129] [11-3591]
05/04/2012	167	BRIEF & SPECIAL APPENDIX, on behalf of Appellant Craig Drimal in 11-3778, FILED. Service date 05/04/2012 by CM/ECF. [599945] [11-3591, 11-3778, 11-4193, 11-4409]
05/08/2012	168 2 pg, 57.96 KB	DEFECTIVE DOCUMENT, BRIEF and APPENDIX, [158], [159], [160], [161], [165], [167], on behalf of Appellant Craig Drimal in 11-3591, FILED.[602848] [11-3591, 11-3778]
05/10/2012	169 7 pg, 280.75 KB	MOTION, to extend time, to waive a requirement, for assignment of pro bono counsel, on behalf of Appellant Craig Drimal in 11-3778, 11-3591, FILED. Service date 05/10/2012 by CM/ECF. [604975] [11-3778, 11-3591, 11-4193, 11-4409]
05/14/2012	173 1 pg, 146.6 KB	MOTION ORDER, granting motion to extend time [169] filed by Appellant Craig Drimal in 11-3591; filed by Appellant Craig Drimal in 11-3591, FILED. [608759][173] [11-3591, 11-3778]
05/15/2012	174	BRIEF & SPECIAL APPENDIX, on behalf of Appellant Craig Drimal in 11-3591, 11-3778, FILED. Service date 05/15/2012 by CM/ECF, fax. [610064] [11-3591, 11-3778, 11-4193, 11-4409]
05/15/2012	175	BRIEF & SPECIAL APPENDIX, on behalf of Appellant Craig Drimal in 11-3591, 11-3778, FILED. Service date 05/15/2012 by CM/ECF. [610165] [11-3591, 11-3778, 11-4193, 11-4409]
05/15/2012	176	APPENDIX, volume 1 of 4, on behalf of Appellant Craig Drimal, FILED. Service date 05/15/2012 by CM/ECF.[610189] [11-3591]
05/15/2012	177	APPENDIX, volume 2 of 4, on behalf of Appellant Craig Drimal, FILED. Service date 05/15/2012 by CM/ECF.[610194] [11-3591]
05/15/2012	178	APPENDIX, volume 3 of 4, on behalf of Appellant Craig Drimal, FILED. Service date 05/15/2012 by CM/ECF.[610199] [11-3591]
05/15/2012	179	APPENDIX, volume 4 of 4, on behalf of Appellant Craig Drimal, FILED. Service date 05/15/2012 by CM/ECF.[610203] [11-3591]
05/16/2012	181 2 pg, 57.73 KB	DEFECTIVE DOCUMENT, BRIEF & APPENDIX, [179], [178], [177], [176], [175], on behalf of Appellant Craig Drimal, FILED.[611483] [11-3591]
05/16/2012	182	BRIEF & SPECIAL APPENDIX, on behalf of Appellant Craig Drimal in 11-3591, 11-3778, FILED. Service date 05/16/2012 by CM/ECF. [612069] [11-3591, 11-3778, 11-4193, 11-4409]
05/16/2012	183	APPENDIX, volume 1 of 3, on behalf of Appellant Craig Drimal, FILED. Service date 05/16/2012 by CM/ECF.[612070] [11-3591]
05/16/2012	184	APPENDIX, volume 3 of 3, on behalf of Appellant Craig Drimal, FILED. Service date 05/16/2012 by CM/ECF.[612071] [11-3591]
05/21/2012	186 2 pg, 65.22 KB	DEFECTIVE DOCUMENT, BRIEF and APPENDIX, [184], [183], [182], on behalf of Appellant Craig Drimal in 11-3591, FILED.[615146] [11-3591, 11-3778]
05/24/2012	191 1 pg, 39.17 KB	STRIKE ORDER, striking Appellant Craig Drimal in 11-3591 BRIEF and APPENDIX [186] from the docket, FILED.[619763] [11-3591, 11-3778]
05/25/2012	192 1 pg, 40.56 KB	ORDER, dated 05/25/2012, dismissing appeal by 6/08/2012, unless appellant Craig Drimal submits a brief and appendix , FILED.[620094] [11-3778, 11-3591]--[Edited 05/25/2012 by FP]
06/04/2012	193	CORRECTED APPENDIX, on behalf of Appellant Craig Drimal, FILED. Service date 06/04/2012 by CM/ECF. [626644] [11-3591]
06/04/2012	194	APPENDIX, volume 1 of 3, on behalf of Appellant Craig Drimal, FILED. Service date 06/04/2012 by CM/ECF.[626699] [11-3591]
06/13/2012	196 2 pg, 57.71 KB	DEFECTIVE DOCUMENT, BRIEF and APPENDIX, [194], [193], [174], on behalf of Appellant Craig Drimal in 11-3591, FILED.[635654] [11-3591, 11-3778]
06/21/2012	201 1 pg, 39.92 KB	STRIKE ORDER, striking Appellant Craig Drimal in 11-3778 BRIEF and APPENDIX [196] from the docket, FILED.[643459] [11-3591, 11-3778]
06/21/2012	202 1 pg, 40.54 KB	ORDER, dismissing appeal by 07/05/2012 unless appellant Craig Drimal submits a brief and appendix, FILED.[643484] [11-3591, 11-3778]
06/27/2012	203 51 pg, 1.23 MB	BRIEF & SPECIAL APPENDIX, on behalf of Appellant Craig Drimal in 11-3591, 11-3778, FILED. Service date 06/27/2012 by CM/ECF. [649403] [11-3591, 11-3778, 11-4193, 11-4409]
06/27/2012	204 299 pg, 1.82 MB	APPENDIX, volume 1 of 3, on behalf of Appellant Craig Drimal, FILED. Service date 06/27/2012 by CM/ECF.[649405] [11-3591]
06/27/2012	205 287 pg, 1.24 MB	APPENDIX, volume 2 of 3, on behalf of Appellant Craig Drimal, FILED. Service date 06/27/2012 by CM/ECF.[649406] [11-3591]

06/27/2012	 206 259 pg, 1.22 MB	APPENDIX, volume 3 of 3, on behalf of Appellant Craig Drimal, FILED. Service date 06/07/2012 by CM/ECF. [649407] [11-3591]
07/02/2012	 208 1 pg, 101.44 KB	SCHEDULING NOTIFICATION, on behalf of Appellee USA United States of America in 11-3591, 11-3778, informing Court of proposed due date 07/23/2012, RECEIVED. Service date 07/02/2012 by CM/ECF. [652507] [11-3591, 11-3778, 11-4193, 11-4409]
07/02/2012	 212 1 pg, 38.93 KB	SO-ORDERED SCHEDULING NOTIFICATION, setting Appellee USA United States of America Brief due date as 07/23/2012, FILED. [652720] [11-3591]
07/23/2012	 220 120 pg, 444.76 KB	BRIEF, on behalf of Appellee USA United States of America, FILED. Service date 07/23/2012 by CM/ECF. [671202] [11-3591]
07/23/2012	 221 1 pg, 124.41 KB	ORAL ARGUMENT STATEMENT LR 34.1 (a), on behalf of filer Attorney Mr. Andrew Fish for Appellee USA United States of America in 11-3591, 11-3778, FILED. Service date 07/23/2012 by CM/ECF. [671265] [11-3591, 11-3778, 11-4193, 11-4409]
07/24/2012	 222 1 pg, 57.29 KB	ORAL ARGUMENT STATEMENT LR 34.1 (a), on behalf of filer Attorney Mr. Michael S Sommer, Esq. for Appellant Michael Kimelman in 11-4409, FILED. Service date 07/24/2012 by CM/ECF. [671771] [11-3591, 11-4409]
07/26/2012	 226 1 pg, 120.14 KB	ORAL ARGUMENT STATEMENT LR 34.1 (a), on behalf of filer Attorney Arlene Villamia-Drimal, Esq. for Appellant Craig Drimal in 11-3591, 11-3778, FILED. Service date 07/26/2012 by CM/ECF. [674792] [11-3591, 11-3778, 11-4193, 11-4409]
07/26/2012	 227 1 pg, 1.45 MB	ORAL ARGUMENT STATEMENT LR 34.1 (a), on behalf of filer Attorney Arlene Villamia-Drimal, Esq. for Appellant Craig Drimal in 11-3591, 11-3778, FILED. Service date 07/26/2012 by CM/ECF. [674889] [11-3591, 11-3778, 11-4193, 11-4409]
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08/02/2012	 229 4 pg, 134.25 KB	MOTION, to file oversized brief, on behalf of Appellant Michael Kimelman in 11-3591, 11-4409, FILED. Service date 08/02/2012 by CM/ECF. [680923] [11-3591, 11-4409]
08/03/2012	 232 4 pg, 82.79 KB	MOTION, to file supplemental appendix, on behalf of Appellant Michael Kimelman in 11-3591, 11-4409, FILED. Service date 08/03/2012 by CM/ECF. [682263] [11-3591, 11-4409]
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09/10/2012	 244 1 pg, 68.42 KB	LETTER, on behalf of Appellant Michael Kimelman, RECEIVED. Service date 09/10/2012 by CM/ECF. [714943] [11-3591]
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