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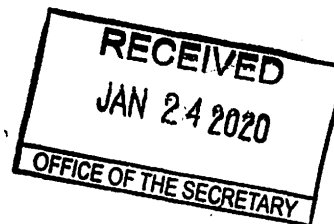
UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

ADMINISTRATIVE PROCEEDING
File No. 3-18792

In the Matter of

ALLAN MICHAEL ROTH,

Respondent.



**DIVISION OF ENFORCEMENT'S MOTION FOR SUMMARY DISPOSITION
AGAINST RESPONDENT ALLAN MICHAEL ROTH**

I. INTRODUCTION

The Division of Enforcement (the "Division"), pursuant to Rule 250(b) of the Commission's Rules of Practice, 17 C.F.R. § 201.250(b), moves for summary disposition of this matter. The Division sets forth the grounds below.

II. HISTORY OF THE CASE

The Commission issued the Order Instituting Proceedings ("OIP") on September 27, 2018 pursuant to Section 15(b) of the Securities Exchange Act of 1934 ("Exchange Act"). In summary, the OIP alleges that Roth, who formerly was associated with Commission-registered broker-dealers, solicited investors to purchase unregistered securities. These facts led to Roth's guilty plea in the criminal case against him.

In January 2019, Roth moved to postpone his answer to the OIP, citing a pending motion to vacate his conviction. On March 14, 2019, the Commission denied the motion. Exch. Act Rel. No. 85327.

In March 2019, Roth filed (but did not serve on the Division) a motion to dismiss the OIP citing 18 U.S.C. § 3301, which is the statute of limitations for criminal securities fraud prosecutions. That motion remains pending.¹

In May 6, 2019, Roth filed (but again did not serve on the Division) “Answers and Explanations to Order Instituting Administrative Proceedings.” As noted in the Division’s recently filed status report: (a) based on a telephone call with Roth in June 2019, the Division’s counsel believed that Roth was going to offer to settle the matter, (b) a conversation with Roth in November 2019 made clear that this was not the case, and (c) on December 17, 2019, the Division sent Roth a copy of the investigative file in this matter.

III. MEMORANDUM OF LAW

A. Roth’s Criminal Case

On February 24, 2015, the State Attorney for the Sixth Judicial Circuit of Florida filed a 68-count information against Roth charging him with 34 counts of selling unregistered securities, in violation of Chapters 517.07 and 517.302 of the Florida Statutes, and 34 counts of selling securities while not being registered in violation of Chapters 517.12 and 517.302 of the Florida Statutes.² On March 6, 2017, Roth pled guilty, pursuant to a plea agreement, to all counts of the information.³ On June 12, 2017, the court sentenced Roth to a total term of imprisonment of six

¹The Division did not respond to the motion. However, as we address in this motion, *see infra* Part III.C.1, the applicable statute for this proceedings is ten years from the date of conviction; the criminal statute of limitations is of no moment.

²Exh. 1 (Felony Information, *State v. Roth*, Case No. 15-02055-CF (Circuit Court, Sixth Judicial Circuit of Fla.)). Chapter 517.07(1) makes it unlawful “to sell or offer to sell a security within [Florida] unless the security is exempt . . . is sold in [an exempt] transaction exempt . . . is a federal covered security, or is registered pursuant to this chapter.” Chapter 517.12 prohibits a “dealer, associated person, or issuer of securities” from selling securities in Florida or to Florida residents without registering with state authorities. Chapter 517.302(1) makes violation of these provisions a felony. Proof of scienter is not required. *State v. Houghtaling*, 181 So. 2d 636 (Fla. 1965).

³Exh. 2 (Plea Form); Exh. 3 (Transcript of Guilty Plea Proceeding, Mar. 6, 2017).

years and 1 day, followed by 3 years and 364 days of probation, and ordered Roth to pay restitution totaling \$293,145.69.⁴

B. Facts Determined Against Roth

Roth's guilty plea binds him to the facts he admitted. *See Gary L. McDuff*, Exch. Act Rel. No. 74803, at 5 & n.18, 2015 WL 1873119 (Apr. 23, 2015); *Don Warner Reinhard*, Exch. Act Rel. No. 63720, at 11-12, 2011 WL 121451 (Jan. 14, 2011) (respondent who pleaded guilty "cannot now dispute the accuracy of the findings set out in the Factual basis for Plea Agreement"); *Gary M. Kornman*, Exch. Act Rel. No. 59403, at 12, 2009 WL 367635 (Feb. 13, 2009) (criminal conviction based on guilty plea precludes litigation of issues in Commission proceedings), *aff'd*, 592 F.3d 173 (D.C. Cir. 2010).

The plea proceeding⁵ established that Roth was employed by JACO Financial, LLC, an unregistered entity owned by Jack Augsback, an unregistered individual. While associated with JACO (at a time he was no longer associated with a registered broker-dealer), Roth solicited former brokerage customers to purchase shares of BizRocket.com, Inc. ("BZRT"),⁶ which they did based on Roth's representations. Between January 1, 2012 and May 2, 2012, while employed by JACO, Roth sold or offered to sell securities in BZRT to 20 different investors in 34 separate transactions, receiving a total of \$295,465.69 in investor funds in the form of checks payable to JACO.

⁴Exh. 4 (Judgment of Conviction). The publicly available version of the Judgment of Conviction does not reflect a disposition of every count. However, the docket entries for the sentencing reflect that sentence was imposed on every count. Exh. 5 (Docket Entries).

⁵Exh. 3 (Transcript of Guilty Plea Proceeding, Mar. 6, 2017, at 18:7-20:23).

⁶In Exchange Act Release No. 67868 (Sept. 17, 2012), the Commission announced a temporary suspension of trading in BZRT securities pursuant to Exchange Act Section 12(k).

C. Summary Disposition is Appropriate

Summary disposition should be granted if there is “no genuine issue with regard to any material fact and the party making the motion is entitled to summary disposition as a matter of law.” 17 C.F.R. § 201.250(b). “[S]ummary disposition is ordinarily appropriate in follow-on proceedings.” *James S. Tagliaferri*, Securities Act Rel. No. 10308, at 10-11, 2017 WL 632134 (Feb. 15, 2017) (footnote omitted). To oppose summary disposition, the respondent “may not rely on bare allegations or denials but instead must present specific facts showing a genuine issue of material fact for resolution at a hearing.” *Id.* at 11 (citation, quotation, and footnote omitted).

The facts established by Roth’s guilty plea show that the Division is entitled to the relief it seeks under Exchange Act Section 15(b)(6)(A), which provides in relevant part:

With respect to any person . . . at the time of the alleged misconduct, who was associated . . . with a broker . . . the Commission, by order, shall censure, place limitations on the activities or functions of such person, or suspend for a period not exceeding 12 months, or bar any such person from being associated with a broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization, or from participating in an offering of penny stock, if the Commission finds, on the record after notice and opportunity for a hearing, that such censure, placing of limitations, suspension, or bar is in the public interest and that such person—

* * * *

(ii) has been convicted of any offense specified in [Exchange Act Section 15(b)(4)(B)] within 10 years of the commencement of the proceedings under this paragraph

15 U.S.C. § 78o(b)(6)(A). Each of the requirements of these provisions—timely issuance of the OIP, conviction under a qualifying statute, and misconduct committed while Roth was associated with a broker-dealer—is satisfied here.

1. The Division Timely Filed this Action

The Division must commence a proceeding under Section 15(b)(6)(A)(ii) within “10 years” of the criminal conviction. *See Joseph Contorinis*, Exch. Act Rel. No. 72031, at 4-6, 2014 WL 1665995 (Apr. 25, 2014) (10-year limitations period governs Section 15(b)(6)(A)(ii) proceeding; limitations period runs from date of conviction, not underlying conduct). Here, Roth was convicted in 2017 and the OIP was instituted in 2018. Therefore, this matter was timely filed.

2. Roth Was Convicted of a Qualifying Offense

Under Exchange Act Sections 15(b)(4)(B)(iv) and 15(b)(6)(A)(ii), the Commission may sanction Roth for an offense that “involves . . . the purchase or sale of a security.” Here, Roth was convicted under statutes relating to the sale of unregistered securities and the sale of securities by unregistered persons. Therefore this condition is satisfied.

3. Roth was Associated with a Broker at the Time of the Misconduct

Exchange Act Section 15(b)(6)(A) requires that Roth have been associated with a broker at the time of the misconduct. The broker in question need not have been a registered broker. *See Tzemach David Netzer Korem*, Exch. Act Rel. No. 70044, at 12 and n.68, 2013 WL 3864511 (July 26, 2013). The criminal conviction can “supply the factual and legal predicates for finding that” Roth acted as a broker, even if his broker status was not an element of the criminal offense. *Tagliarferri*, Securities Act Rel. No. 10308, at 5, 2017 WL 632134.

With respect to Roth’s broker status, Exchange Act Section 3(a)(4)(A) defines a “broker” as “any person engaged in the business of effecting transactions in securities for the account of others.” 15 U.S.C. § 78c(a)(4)(A). A “person associated with broker” includes any person “controlling . . . such broker.” Exchange Act § 3(a)(18), 15 U.S.C. § 78c(a)(18). A person engages in the business of effecting securities by “participat[ing] in purchasing and selling securities involving more than a few isolated transactions; there is no requirement that such

activity be a person's principal business or the principal source of income." *Anthony Fields*, Securities Act Rel. No. 9727, at 30, 2015 WL 728005 (Feb. 20, 2015) (quotations and alterations omitted). Indications of broker activity "include holding oneself out as a broker-dealer, recruiting or soliciting potential investors, handling client funds and securities, negotiating with issuers, and receiving transaction-based compensation." *Id.*; *Tagliarferri*, Securities Act Rel. No. 10308, at 6-7, 2017 WL 632134 (respondent acted as a broker by actively finding investors, being closely involved in negotiations, and receiving transaction based compensation).

Here, Roth's registration records and his guilty plea establishes that he acted as a broker. From February 1989 through August 2011, Roth was associated with Commission registered broker dealers.⁷ From January 2012 through June 2012, Roth solicited 20 of his former brokerage customers to purchase BZRT, which they did on his recommendation, investing nearly \$300,000 in 34 separate transactions. Roth's conduct went beyond a few isolated transactions, especially considering he was soliciting former clients on the heels of the end of his 22 years as a registered representative and involved former clients.⁸ Since he was a broker, Roth was also a person "controlling . . . such broker," thus satisfying the requirement that he have been a person associated with a broker. *See Allen M. Perres*, Exch. Act. Rel. No. 10287, at 4, 2017 WL 280080 (Jan. 23, 2017) (a finding that an individual "acted as an unregistered broker also establishes that

⁷Exh. 6 (CRD report).

⁸The OIP alleges that Roth received compensation in the form of 14.5 million BZRT shares. OIP ¶ II.A.1 However, this fact was not established as part of the plea proceeding, and, since Roth denies it in his answer, the Division is not relying on it for purposes of this motion. However, while receipt of transaction-based compensation is an important factor in determining whether a person acted as a broker, it is not a necessary one. *Warrior Fund*, Exch. Act Rel. No. 61625, 2010 WL 717795, *3 n.8 (Mar. 2, 2010) (settled order) ("[T]ransaction-based compensation is not a necessary element to determine whether someone is a broker."); *see also SEC v. Imperiali*, 594 F. App'x 957, 961 (11th Cir. 2014) (finding individual who spoke with investors, acted as the "closer" for his sales team, and drafted memoranda for potential investors acted as unregistered broker without any reference to transaction-based compensation).

he was associated with a broker”); *cf* *Anthony J. Benincasa*, Advisers Act Rel. No. 1923, 2001 WL 99813, *2 (Feb. 7, 2001) (individual acting as investment adviser would also control the investment adviser, and therefore be a “person associated with an investment adviser”).

4. **Industry Bar and Penny Stock Bars Are Appropriate Sanctions**

In determining whether “industry and penny stock bars . . . are in the public interest,” the Commission

consider[s], among other things, the egregiousness of the respondent’s actions, the isolated or recurrent nature of the infraction, the degree of scienter involved, the sincerity of the respondent’s assurances against future violations, the respondent’s recognition of the wrongful nature of his conduct, and the likelihood that the respondent’s occupation will present opportunities for future violations.

David R. Wulf, Exch. Act Rel. No. 77411, at 5-6, 2016 WL 1085661 (Mar. 21, 2016). “Absent extraordinary mitigating circumstances, an individual who has been convicted cannot be permitted to remain in the securities industry.” *Frederick W. Wall*, Exch. Act Rel. No. 52467, at 8, 2005 WL 2291407 (Sept. 19, 2005) (quotation omitted); *accord Shreyans Desai*, Exch. Act Rel. No. 80129, at 6, 2017 WL 782152 (Mar. 1, 2017).

Here, these factors weigh in favor of industry and penny stock bars. First, Roth’s actions were egregious. His conviction establishes that he violated the Florida state statutes relating to the sale of unregistered securities and acting as an unregistered broker. Second, this was not a one-time lapse in judgment, as his conduct extended over five months and involved twenty clients. Third, with respect to scienter, although the state statute does not require proof of scienter, given Roth’s 22-years as a registered representative, his violations were extremely reckless at a minimum.

With respect to the fourth and fifth factors, notwithstanding his guilty plea, Roth has provided no assurances that he will avoid *future* violations of the law. Although “[c]ourts have

held that the existence of a past violation, without more, is not a sufficient basis for imposing a bar[.] . . . the existence of a violation raises an inference that it will be repeated.” *Korem*, Exch. Act Rel. No. 70044, at 10 n.50, 2013 WL 3864511 (quotation and alternations omitted). Roth can offer no evidence to rebut that inference.

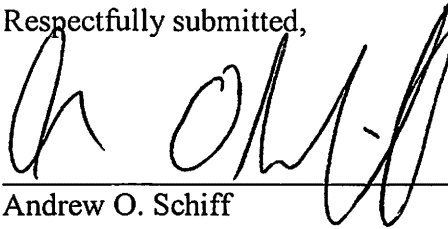
Sixth, although Roth is currently in custody, he will be released in 2021, and unless he is barred from the securities industry, he will have the chance to again harm investors.

IV. CONCLUSION

For the reasons discussed above, the Division asks the Commission to sanction Roth by issuing a penny stock bar and barring him from association with any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or NRSRO.

January 23, 2020

Respectfully submitted,



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DIVISION OF ENFORCEMENT
SECURITIES AND EXCHANGE COMMISSION
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Miami, FL 33131
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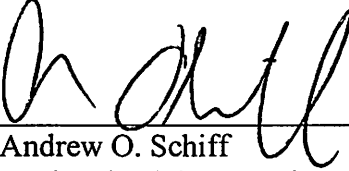
CERTIFICATE OF SERVICE

I hereby certify that an original and three copies of the foregoing were filed with the Securities and Exchange Commission, Office of the Secretary, 100 F Street, N.E., Washington, D.C. 20549-9303, and that a true and correct copy of the foregoing has been served on this 23rd day of January 2020, on the following persons entitled to notice:

VIA CERTIFIED U.S. MAIL DELIVERY

Mr. Allan Michael Roth

[REDACTED]
[REDACTED]
[REDACTED]
P.O. Box [REDACTED]
Raiford, FL [REDACTED]



Andrew O. Schiff
Regional Trial Counsel

IN THE CIRCUIT COURT FOR THE SIXTH JUDICIAL CIRCUIT
OF FLORIDA IN AND FOR PINELLAS COUNTY

STATE OF FLORIDA

15-02055CF

ISSUE
CAPIAS

VS.

FELONY INFORMATION

ALLAN MICHAEL ROTH
PID [REDACTED]
W/M; DOB: [REDACTED]

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PERSON, OR ISSUER OF
SECURITIES TO REGISTER, 3° F

IN THE NAME AND BY THE AUTHORITY FOR THE STATE OF FLORIDA:

BERNIE McCABE, State Attorney for the Sixth Judicial Circuit of Florida, in and for Pinellas County, prosecuting for the State of Florida, in the said County, under oath, Information makes that

ALLAN MICHAEL ROTH

in the County of Pinellas and State of Florida, between February 1, 2012 and February 21, 2012, did unlawfully sell or offer to sell a security to [REDACTED], said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT TWO

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 1, 2012 and February 21, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED], while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT THREE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between January 31, 2012 and February 8, 2012, did unlawfully sell or offer to sell a security to [REDACTED] said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FOUR

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between January 31, 2012 and February 8, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] [REDACTED] while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FIVE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 3, 2012 and February 13, 2012, did unlawfully sell or offer to sell a security to [REDACTED] [REDACTED] said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT SIX

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 3, 2012 and February 13, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] [REDACTED] while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT SEVEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 1, 2012 and March 12, 2012, did unlawfully sell or offer to sell a security to [REDACTED] [REDACTED], said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT EIGHT

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 1, 2012 and March 12, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT NINE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between January 22, 2012 and February 13, 2012, did unlawfully sell or offer to sell a security to Ronald L. Cournaya, said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT TEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between January 22, 2012 and February 13, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to Ronald L. Cournaya, while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT ELEVEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 18, 2012 and February 24, 2012, did unlawfully sell or offer to sell a security to Ronald L. Cournaya, said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT TWELVE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 18, 2012 and February 24, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to Ronald L. Cournaya, while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT THIRTEEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 6, 2012 and February 8, 2012, did unlawfully sell or offer to sell a security to [REDACTED], said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FOURTEEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 6, 2012 and February 8, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FIFTEEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 15, 2012 and February 21, 2012, did unlawfully sell or offer to sell a security to [REDACTED] said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT SIXTEEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 15, 2012 and February 21, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED], while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT SEVENTEEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 13, 2012 and February 21, 2012, did unlawfully sell or offer to sell a security to [REDACTED], Jr., said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT EIGHTEEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 13, 2012 and February 21, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED], while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT NINETEEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between January 1, 2012 and February 8, 2012, did unlawfully sell or offer to sell a security to [REDACTED], said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT TWENTY

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between January 1, 2012 and February 8, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to Mario C. Cucuzzella, while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT TWENTY-ONE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 4, 2012 and February 21, 2012, did unlawfully sell or offer to sell a security to Mario C. Cucuzzella, said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT TWENTY-TWO

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 4, 2012 and February 21, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to Mario C. Cucuzzella, while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT TWENTY-THREE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 1, 2012 and February 27, 2012, did unlawfully sell or offer to sell a security to [REDACTED], said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT TWENTY-FOUR

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 1, 2012 and February 27, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] [REDACTED], while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT TWENTY-FIVE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 24, 2012 and February 27, 2012, did unlawfully sell or offer to sell a security to [REDACTED] said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT TWENTY-SIX

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 24, 2012 and February 27, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] [REDACTED], while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNTY TWENTY-SEVEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 25, 2012 and March 16, 2012, did unlawfully sell or offer to sell a security to [REDACTED] [REDACTED] said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT TWENTY-EIGHT

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 25, 2012 and March 16, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED], while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT TWENTY-NINE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 22, 2012 and March 12, 2012, did unlawfully sell or offer to sell a security to [REDACTED] [REDACTED] said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT THIRTY

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 22, 2012 and March 12, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] [REDACTED], while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT THIRTY-ONE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between March 8, 2012 and April 2, 2012, did unlawfully sell or offer to sell a security to [REDACTED] [REDACTED], said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT THIRTY-TWO

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between March 8, 2012 and April 2, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT THIRTY-THREE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 5, 2012 and February 21, 2012, did unlawfully sell or offer to sell a security to [REDACTED] [REDACTED] said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT THIRTY-FOUR

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 5, 2012 and February 21, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] [REDACTED] while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT THIRTY-FIVE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 23, 2012 and February 27, 2012, did unlawfully sell or offer to sell a security to [REDACTED] [REDACTED], also known as [REDACTED] [REDACTED] said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT THIRTY-SIX

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 23, 2012 and February 27, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] [REDACTED] also known as [REDACTED] [REDACTED], while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes, contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT THIRTY-SEVEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between January 10, 2012 and February 14, 2012, did unlawfully sell or offer to sell a security to [REDACTED] [REDACTED] said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT THIRTY-EIGHT

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between January 10, 2012 and February 14, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT THIRTY-NINE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between January 31, 2012 and February 8, 2012, did unlawfully sell or offer to sell a security to [REDACTED] [REDACTED] said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FORTY

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between January 31, 2012 and February 8, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] [REDACTED] while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FORTY-ONE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 6, 2012 and April 16, 2012, did unlawfully sell or offer to sell a security to [REDACTED] said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FORTY-TWO

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 6, 2012 and April 16, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] [REDACTED], while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes, contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FORTY-THREE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 1, 2012 and February 8, 2012, did unlawfully sell or offer to sell a security to [REDACTED] [REDACTED] [REDACTED], said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FORTY-FOUR

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 1, 2012 and February 8, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to Robert Snayely, Sr., while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FORTY-FIVE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 7, 2012 and February 14, 2012, did unlawfully sell or offer to sell a security to [REDACTED], said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FORTY-SIX

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 7, 2012 and February 14, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED], while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FORTY-SEVEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 13, 2012 and February 27, 2012, did unlawfully sell or offer to sell a security to Christine Sullivan, said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FORTY-EIGHT

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 13, 2012 and February 27, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to Christine Sullivan, while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FORTY-NINE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 25, 2012 and March 15, 2012, did unlawfully sell or offer to sell a security to Christine Sullivan, said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FIFTY

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 25, 2012 and March 15, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to Christine Sullivan, while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FIFTY-ONE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between March 16, 2012 and March 23, 2012, did unlawfully sell or offer to sell a security to [REDACTED], also known as [REDACTED] said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FIFTY-TWO

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between March 16, 2012 and March 23, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] also known as [REDACTED] [REDACTED] while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FIFTY-THREE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between April 30, 2012 and May 1, 2012, did unlawfully sell or offer to sell a security to Christine Sullivan, also known as [REDACTED], said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FIFTY-FOUR

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between April 30, 2012 and May 1, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] also known as [REDACTED] [REDACTED], while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FIFTY-FIVE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 1, 2012 and February 15, 2012, did unlawfully sell or offer to sell a security to [REDACTED] [REDACTED], said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FIFTY-SIX

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 1, 2012 and February 15, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FIFTY-SEVEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 14, 2012 and March 15, 2012, did unlawfully sell or offer to sell a security to [REDACTED], said security was not registered as required by Chapter 517, Florida Statutes, contrary to Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FIFTY-EIGHT

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 14, 2012 and March 15, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] [REDACTED] while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT FIFTY-NINE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, on April 16, 2012, did unlawfully sell or offer to sell a security to [REDACTED], said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT SIXTY

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, on April 16, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNTY SIXTY-ONE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between April 26, 2012 and April 27, 2012, did unlawfully sell or offer to sell a security to [REDACTED] said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT SIXTY-TWO

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between April 26, 2012 and April 27, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED], while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT SIXTY-THREE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between April 29, 2012 and May 2, 2012, did unlawfully sell or offer to sell a security to [REDACTED], said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT SIXTY-FOUR

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between April 29, 2012 and May 2, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to [REDACTED] [REDACTED] while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT SIXTY-FIVE

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between January 12, 2012 and February 15, 2012, did unlawfully sell or offer to sell a security to Douglas R. Wenger, said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT SIXTY-SIX

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between January 12, 2012 and February 15, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to Douglas R. Wenger, while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT SIXTY-SEVEN

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 9, 2012 and February 24, 2012, did unlawfully sell or offer to sell a security to Douglas R. Wenger, said security was not registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.07/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

COUNT SIXTY-EIGHT

And the State Attorney aforesaid, under oath as aforesaid, further information makes that ALLAN MICHAEL ROTH, in the County of Pinellas, State of Florida, between February 9, 2012 and February 24, 2012, did unlawfully sell or offer for sale, from an office within this state, a security to Douglas R. Wenger, while being a dealer, associated person or issuer of securities, and not being registered as required by Chapter 517, Florida Statutes; contrary to Chapter 517.12/517.302, Florida Statutes, and against the peace and dignity of the State of Florida.

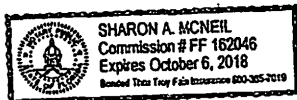
STATE OF FLORIDA
PINELLAS COUNTY

Personally appeared before me, BERNIE McCABE, State Attorney for the Sixth Judicial Circuit of Florida, in and for Pinellas County, or his duly designated Assistant State Attorney, who being first duly sworn, says that the allegations as set forth in the foregoing information are based upon facts that have been sworn to as true, and which if true, would constitute the offense therein charged; hence this information is filed in good faith in instituting this prosecution, and that he has received testimony under oath from the material witness or witnesses for the offense.

The foregoing instrument was acknowledged before me this 19 day of FEB, 2015, by ALLAN MICHAEL ROTH, who is personally known to me and who did take an oath.

Sharon A. McNeil
NOTARY PUBLIC

James A. Dell'Anno
Assistant State Attorney for the Sixth
Judicial Circuit of the State of Florida,
Prosecuting for said State
OT14-044906 F14-03456-C SPEC:RMB:0127GN4



IN THE CIRCUIT COURT OF THE SIXTH JUDICIAL CIRCUIT
OF THE STATE OF FLORIDA IN AND FOR PINELLAS COUNTY

STATE OF FLORIDA

v.

WITNESS AFFIDAVIT

ALLAN MICHAEL ROTH

W/M; DOB: [REDACTED]

PID # [REDACTED]

BEFORE ME, A NOTARY PUBLIC, personally appeared Robert Seimetz who being duly sworn says:

My name is Robert Seimetz, a Financial Investigator with the State of Florida Office of Financial Regulation, Bureau of Financial Investigations; I have been so employed since November 2012. My duties and responsibilities with the Office of Financial Regulation include the collection and analysis of evidence, taking statements from witnesses, victims, and suspects, reviewing books and records, and writing investigative reports. From March 2010 until November 2012, I had similar duties and responsibilities as an Investigator Specialist II with the Florida Department of Health. I have attended continuing education and training events provided by the Office of Financial Regulation, participated in online training provided by the National White Collar Crime Center, and attended training events provided by the North American Securities Administrators Association. I earned a Bachelor of Arts degree in Criminal Justice from Western Michigan University in 2006.

In January 2013, the Office of Financial Regulation received a complaint forwarded by the United States Securities and Exchange Commission regarding an allegation of fraudulent investment scheme; the initial complainant was [REDACTED] the complaint was levied against ALLAN MICHAEL ROTH of JACO Financial, LLC. Your Affiant was assigned to investigate the initial complaint, and during the course of the investigation, your Affiant identified at least nineteen (19) additional investors who purchased unregistered securities from ALLAN MICHAEL ROTH, who, at the time of the sale of securities, was not registered to conduct business under Chapter 517, F.S.

During the course of the investigation, your Affiant, among other things, interviewed investors regarding the facts and circumstances surrounding their purchase of stock from ALLAN MICHAEL ROTH, consulted with an expert in the area of securities law, and reviewed business entity records, bank account and other financial records, employment history records, securities license and registration compliance records, stock transfer records, driver license records, United States post office address records, telephone subscriber information, and email subscriber information.

Your Affiant's investigation revealed that during the time period of January 1, 2012 and May 2, 2012, ALLAN MICHAEL ROTH did unlawfully sell or offer to sell securities to twenty (20) different investors during thirty-four (34) separate transactions,

said securities were not registered as required by Chapter 517, F.S., contrary to Chapter 517.07/517.302, F.S., and against the peace and dignity of the State of Florida.

Your Affiant's investigation revealed that during the time period of January 1, 2012 and May 2, 2012, ALLAN MICHAEL ROTH did unlawfully sell or offer for sale, from an office within this state, securities to twenty (20) different investors during thirty-four (34) separate transactions, while being a dealer, associated person or issuer of securities and not being registered as required by Chapter 517, F.S., contrary to 517.12/517.302, F.S., and against the peace and dignity of the State of Florida.

Your Affiant has identified thirty-four (34) checks made payable to JACO Financial totaling \$295,465.69 from twenty (20) different investors who purchased shares of BizRocket.com, Inc. stock (hereinafter "BZRT stock") from ALLAN MICHAEL ROTH. Attached and incorporated herein is a list of the thirty-four (34) separate securities transactions which are the subject of this affidavit and which took place between January 1, 2012 and May 2, 2012; said list identifies, for each sales transaction, 1) the date written on the check, 2) the date the check posted to the JACO Financial bank account, 3) the check number, 4) the check amount, 5) the investor's name, 6) the number of shares of BZRT stock purchased, and 7) the corresponding felony information counts. (See EXHIBIT A - Sales Transactions - BZRT Stock)

Your Affiant reviewed each check and noted that every check is made payable to JACO Financial. Eighteen (18) out of twenty (20) investors (excluding [REDACTED] and [REDACTED]) told your Affiant that ALLAN MICHAEL ROTH instructed them to make their investment check(s) payable to JACO Financial.

BizRocket.com, Inc. and Robert G. Williams

Your Affiant reviewed business entity records from the Secretary of State, Nevada, for BizRocket.com, Inc., which shows that said company was registered on June 20, 1995, and that Robert G. Williams, 2360 Corporate Circuit, Suite 400, Henderson NV 89074, was listed as the director and president of the corporation. Your Affiant reviewed business entity records from the Secretary of State, Florida, for BizRocket.com, Inc., which shows that said corporation, organized under the laws of the State of Nevada, received authorization to transact business in the State of Florida on January 8, 1998, and that, as of June 3, 2011, Robert G. Williams, [REDACTED] Coral Springs FL [REDACTED] 1, is listed as the president and director. Your Affiant reviewed State of Florida driver license records for Robert G. Williams, FL DL [REDACTED], DOB [REDACTED], which show an address on file of [REDACTED] Coral Springs FL [REDACTED]. Your Affiant reviewed records from Bank United for account ending [REDACTED] in the name of Robert G. Williams, FL DL [REDACTED], DOB [REDACTED]; Robert G. Williams is the owner and authorized signer of said account. Your Affiant determined that during the time

period of February 3, 2012 thru November 9, 2012, Robert G. Williams received \$62,400 from JACO Financial, LLC.

JACO Financial, LLC, and Jack Augsback

Your Affiant reviewed business entity records from the Secretary of State, Nevada, for JACO Financial, LLC, which shows that said company was registered on August 23, 2004, and that Jack Augsback, [REDACTED] Palm Harbor FL [REDACTED] was listed as the managing member. Your Affiant reviewed State of Florida driver license records for Jack Augsback, FL DL [REDACTED] 0, DOB [REDACTED], [REDACTED] Palm Harbor, FL [REDACTED]. Your Affiant reviewed records from Wells Fargo Bank for account ending [REDACTED] in the name of JACO Financial, LLC, with an account address of [REDACTED], Palm Harbor FL [REDACTED] (hereinafter "JACO Financial bank account"); Jack Augsback is an authorized signer on said account. Your Affiant determined that the thirty-four (34) investor checks made payable to JACO Financial totaling \$295,465.69 were deposited and posted to the JACO Financial bank account.

ALLAN MICHAEL ROTH

Your Affiant reviewed State of Florida driver license records for ALLAN MICHAEL ROTH, FL DL [REDACTED], DOB [REDACTED]

Your Affiant reviewed detail reports containing information from the CRD (Central Registration Depository) system or the IARD (Investment Advisers Registration Depository) which are operated

by FINRA (Financial Industry Regulation Authority), a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. Said records show that ALLAN MICHAEL ROTH was assigned an individual CRD License Number 1926020.

Your Affiant reviewed the FINRA broker qualifications report for ALLAN MICHAEL ROTH (CRD #1926020). Said report shows that ALLAN MICHAEL ROTH passed four separate securities industry exams in the 1990s and received four securities licenses, Series 8, Series 7, Series 63, and Series 65. Said report shows that ALLAN MICHAEL ROTH was continuously registered as a broker and continuously associated with an investment firm during the time period of January 1990 thru September 2011. Said report shows that ALLAN MICHAEL ROTH was last associated with and/or employed by Regal Securities, an investment firm. Said report shows that, as of September 6, 2011, ALLAN MICHAEL ROTH was no longer licensed and/or registered to conduct securities business.

Your Affiant determined that ALLAN MICHAEL ROTH knew that he was no longer licensed and/or registered to conduct securities business. Your Affiant reviewed Regal Securities employment

records for ALLAN MICHAEL ROTH. Said records contain a resignation letter in the form of an email dated August 9, 2011, from ALLAN MICHAEL ROTH to Robert Villaflor, Senior Vice President of Regal Securities, wherein he requests that Regal Securities "suspend my license until I can sell my home" and that Regal Securities "please accept this letter of resignation immediately."

Your Affiant determined that during the time period which is the subject of this affidavit, ALLAN MICHAEL ROTH was not licensed to engage in business under Chapter 517, F.S.; specifically, ALLAN MICHAEL ROTH was not licensed to sell securities and he was not licensed to sell shares of BZRT stock to the investors which are the subject of this affidavit.

Your Affiant spoke with and reviewed certificates issued by Holly Hinson, Custodian of Records, Division of Securities, State of Florida, Office of Financial Regulation, and your Affiant determined, among other things:

- that the Office of Financial Regulation issues all permits to do business in the State of Florida pursuant to Chapter 517, Florida Statutes, the Securities & Investor Protection Act;
- that, from January 29, 1990 to September 6, 2011, ALLAN MICHAEL ROTH (CRD# 1926020) was registered to conduct business under Chapter 517, F.S.;
- that, after September 6, 2011 and continuing during the entire time period which is the subject of this affidavit,

ALLAN MICHAEL ROTH (CRD# 1926020) was not registered to conduct business pursuant to Chapter 517, F.S.;

- that Jack Augsback is not registered to conduct business pursuant to Chapter 517, F.S.;
- that JACO Financial, LLC is not registered to conduct business pursuant to 517, F.S.;
- that BizRocket.com, Inc. is not registered to conduct business pursuant to Chapter 517, F.S.;
- that BizRocket.com, Inc. security is not registered pursuant to Chapter 517, F.S.; and
- that BZRT stock is not registered pursuant to Chapter 517, F.S.

Your Affiant determined that ALLAN MICHAEL ROTH was residing and working in Pinellas County, Florida, during the time period which is the subject of this affidavit, to wit:

- State of Florida driver license records for ALLAN MICHAEL ROTH list mailing and residential addresses in Palm Harbor, Florida, and Oldsmar, Florida, during the time period of December 13, 2010 thru November 17, 2013.
- ALLAN MICHAEL ROTH told investor [REDACTED] that he was running JACO Financial, LLC, out of his apartment to cut down on administrative costs.
- Seven (7) out of twenty (20) investors [REDACTED] [REDACTED] [REDACTED], [REDACTED].

[REDACTED] told your Affiant that ALLAN MICHAEL ROTH instructed them to mail their investment checks to [REDACTED], Palm Harbor, Florida. ALLAN MICHAEL ROTH has on more than one occasion listed this PO Box address on his driver license and motor vehicle records as a mailing address.

- Two (2) out of twenty (20) investors [REDACTED] and [REDACTED] were unable to provide a specific PO Box number but told your Affiant that ALLAN MICHAEL ROTH instructed them to mail their investment checks to a PO Box located in Palm Harbor, Florida.
- Four (4) out of twenty (20) investors [REDACTED], [REDACTED], [REDACTED], [REDACTED] told your Affiant that they met face-to-face with ALLEN MICHAEL ROTH at various locations in Pinellas County, Florida, and hand delivered their investment checks to ALLAN MICHAEL ROTH.

Your Affiant determined that ALLAN MICHAEL ROTH was associated with JACO Financial and Jack Augsback and that ALLAN MICHAEL ROTH was authorized to sell BZRT stock on behalf of JACO Financial during the time period which is the subject of this affidavit, to wit:

- ALLAN MICHAEL ROTH left a voice message with investor [REDACTED] E. [REDACTED] on April 11, 2012, wherein he states "Hey Dave, this is Allan Roth, uh, JACO Financial, I just wanted to give you

an update when you get a chance "

- ALLAN MICHAEL ROTH sent an email to investor [REDACTED] on December 17, 2012, wherein he refers to Jack Augsback as his "boss" and as the "principal of JACO Financial."
- At least twelve (12) out of twenty (20) investors [REDACTED], [REDACTED], [REDACTED], [REDACTED] asked for and received from ALLAN MICHAEL ROTH confirmation slips as proof of purchase of BZRT stock; ALLAN MICHAEL ROTH sent confirmation slips identifying the principal amount of investment and the number of BZRT shares purchased; said confirmation slips contain the name and registered address of JACO Financial LLC, 1801 East Lake Road - Suite 13F, Palm Harbor, FL 34685.
- At least three (3) out of twenty (20) investors [REDACTED] [REDACTED] received emails from ALLAN MICHAEL ROTH wherein he identifies himself as "National Sales Manager" for "JACO Financial."
- At least seven (7) out of twenty (20) investors [REDACTED] [REDACTED] [REDACTED] received emails and other correspondence from ALLAN MICHAEL ROTH which contained information related to BizRocket.com,

Inc., and BZRT stock including, but not limited to, stock offerings, press releases, and reorganization plans.

- Wells Fargo Bank records for account ending [REDACTED] in the name of JACO Financial, LLC, contain fifteen (15) checks totaling \$1,644.57 payable to ALLAN MICHAEL ROTH; said checks were issued during the time period of March 16, 2012 thru December 4, 2012; the check memo lines on some of the checks indicate reimbursement for "expenses."
- Bank of America records for account ending [REDACTED] in the name of Jack Augsback contain one (1) check totaling \$72.00 payable to ALLAN MICHAEL ROTH.
- For his work, ALLAN MICHAEL ROTH was paid a commission or compensation in the form of 14,500,000 shares of BZRT stock.

Your Affiant determined that ALLAN MICHAEL ROTH, FL DL [REDACTED] [REDACTED], DOB [REDACTED], is associated with the address, phone numbers and email address used by the person who sold BZRT stock to the investors, to wit:

- Address - PO Box [REDACTED], Palm Harbor FL [REDACTED], a United States Post Office Box; Seven (7) out of twenty (20) investors

[REDACTED]
[REDACTED]

[REDACTED] told your Affiant that the individual who offered and sold them BZRT stock instructed them to make their investment checks payable to JACO Financial and to mail said checks to

PO Box [REDACTED], Palm Harbor, Florida.

- o ALLAN MICHAEL ROTH has on more than one occasion listed this PO Box address on his driver license and motor vehicle records as a mailing address.
- o ALLAN MICHAEL ROTH, manager of Health Care Benefits of America, a Florida limited liability company, has on more than one occasion listed this address with the Secretary of State as the company's mailing address.
- o ALLAN MICHAEL ROTH, chief executive officer and registered agent of Sterling Financial Consultants, a Florida limited liability company, has on more than one occasion listed this address with the Secretary of State as the company's mailing address.
- o ALLAN MICHAEL ROTH listed this address with FINRA as an office of employment address.
- o ALLAN MICHAEL ROTH listed this PO Box address on his 2009 Tax Form 1099 on file with Regal Securities and provided this PO Box address to the Regal Securities Compliance Officer.
- o United States Postal Service records show that PO Box [REDACTED] was assigned to customer Health Care Benefits - Sterling Financial during the time period of December 20, 2005 thru December 31, 2013; Ms. Sharon Tidwell, Manager, Palm Harbor Post office, confirmed that PO Box [REDACTED] was opened by ALLEN MICHAEL ROTH on December 20, 2005.

- o Regions Bank records for account ending [REDACTED] in the name of ALLAN MICHAEL ROTH indicate payments made to the United States Postal Service for PO Box [REDACTED] Palm Harbor FL.
- Phone Number - [REDACTED] [REDACTED]; Nine (9) out of twenty (20) investors [REDACTED] [REDACTED] [REDACTED] told your Affiant that the person who sold them BZRT stock communicated with them using this phone number.
 - o MetroPCS subscriber records show that phone number [REDACTED] [REDACTED] belongs to ALLAN MICHAEL ROTH.
 - o Regions Bank records show that ALLAN MICHAEL ROTH is the owner and authorized signer on numerous bank accounts with this phone number listed as his "home phone."
 - o Regal Securities records show that ALLAN MICHAEL ROTH provided this phone number to the Regal Securities Compliance Officer.
 - o ALLAN MICHAEL ROTH of JACO Financial left a voice message with investor [REDACTED] on April 11, 2012, wherein he identifies this telephone number as his cell phone number.
 - o ALLAN MICHAEL ROTH sent emails to investors identifying this telephone number as his cell phone number.
- Phone Number - [REDACTED] [REDACTED]; Four (4) out of twenty (20) investors ([REDACTED] [REDACTED]) told your Affiant that the

the Secretary of State for the years 2011 and 2012 are the same addresses found in State of Florida Driver license records for ALLAN MICHAEL ROTH, DL [REDACTED], DOB [REDACTED]. At least three (3) out of twenty (20) investors [REDACTED] [REDACTED] [REDACTED]) told your Affiant that, prior to selling them BZRT stock, ALLAN MICHAEL ROTH provided professional services to them under the name Sterling Financial Consultants and/or Health Care Benefits of America, LLC.

Your Affiant reviewed Regions Bank records for account ending [REDACTED] in the name of Health Care Benefits of America, with an account address of [REDACTED] Palm Harbor FL [REDACTED] (hereinafter Regions # [REDACTED]); records show that the authorized signer of said account is ALLAN MICHAEL ROTH.

Your Affiant determined that BizRocket.com, Inc. was using Madison Stock Transfer, Incorporated (Madison), based out of Brooklyn, NY, as their stock transfer agent. The United States Securities and Exchange Commission states that stock transfer agents record changes of ownership, maintain the issuer's security holder records, cancel and issue certificates, and distribute dividends. Your Affiant reviewed stock transfer journals and stock certificates which show that, on March 23, 2012, ALLAN MICHAEL ROTH received 14,500,000 shares of BZRT stock. Your Affiant reviewed check #1313 dated March 23, 2012, in the amount of \$318.00 written by ALLAN MICHAEL ROTH; check #1313 was drawn on Regions # [REDACTED]; the memo line on check #1313 states "Consideration

BZRT." Your Affiant determined that check #1313 was deposited into the JACO Financial bank account.

Counts 1 and 2

The sworn statement, supporting documentation and business records involving [REDACTED] show, in part, that 1) on or about February 1, 2012, while residing in California, [REDACTED] received a cold call from his former stockbroker, ALLAN MICHAEL ROTH, who said he was associated with JACO Financial and selling shares of BZRT stock, 2) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] decided to purchase 250,000 shares of BZRT stock, 3) Mr. [REDACTED] mailed to ALLAN MICHAEL ROTH check #169 dated February 13, 2012, payable to JACO Financial in the amount of \$2,500, and 4) on February 21, 2012, check #169 posted to the JACO Financial bank account.

Counts 3 and 4

The investor's statements, supporting documentation and business records involving [REDACTED] show, in part, that 1) on or about January 31, 2012, Mr. Anson learned about a potential investment opportunity from a co-worker, [REDACTED], 2) [REDACTED] introduced Mr. Anson to his stockbroker, ALLAN MICHAEL ROTH, 3) ALLAN MICHAEL ROTH told [REDACTED] that he was currently working for JACO Financial and that he was selling shares of BZRT stock, 4) ALLAN MICHAEL ROTH provided [REDACTED] investment materials related to BZRT stock and BizRocket.com,

Inc., 5) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased 100,000 shares of BZRT stock, 6) Mr. Anson mailed to ALLAN MICHAEL ROTH check #1625 dated February 3, 2012, payable to JACO Financial in the amount of \$1,000, 7) on February 8, 2012, check #1625 posted to the JACO Financial bank account, and 8) ALLAN MICHAEL ROTH sent Mr. Anson a confirmation slip as proof of purchase of BZRT stock.

Counts 5 and 6

The investor's statements, supporting documentation and business records involving [REDACTED] [REDACTED] show, in part, that 1) on or about February 3, 2012, while residing in Central Florida, Mr. Brenner received a cold call from his former stockbroker, ALLAN MICHAEL ROTH, who said, among other things, that he was working for JACO Financial and selling shares of BZRT stock, 2) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased 1,000,000 shares of BZRT stock, 3) [REDACTED] mailed to ALLAN MICHAEL ROTH check #1192 dated February 6, 2012, payable to JACO Financial in the amount of \$10,000, 4) on February 13, 2012, check #1192 posted to the JACO Financial bank account, and 5) ALLAN MICHAEL ROTH sent [REDACTED] a confirmation slip as proof of purchase of BZRT stock.

Counts 7 and 8

The investor's statements, supporting documentation and business records involving [REDACTED] show, in part, that 1) on

or about February 1, 2012, while residing in the State of Delaware, [REDACTED] received a cold call from her former insurance agent and financial representative, ALLAN MICHAEL ROTH, who described a new penny stock opportunity with BizRocket.com, Inc., that he was recommending to his clients, 2) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased 500,000 shares of BZRT stock, 3) [REDACTED] mailed to ALLAN MICHAEL ROTH check #1218 dated February 18, 2012, payable to JACO Financial in the amount of \$4,665.69 4) on March 12, 2012, check #1218 posted to the JACO Financial bank account, and 6) ALLAN MICHAEL ROTH sent [REDACTED] a confirmation slip as proof of purchase of BZRT stock.

Counts 9, 10, 11, and 12

The investor's statements, supporting documentation and business records involving [REDACTED] show, in part, that 1) on or about January 22, 2012, while residing in the State of Illinois, [REDACTED] received a cold call from his former stockbroker, ALLAN MICHAEL ROTH, who said he was now working with JACO Financial and described a penny stock offering with BizRocket.com, Inc., that he was recommending to his clients, 2) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased 500,000 shares of BZRT stock, 3) [REDACTED] mailed to ALLAN MICHAEL ROTH check #667 dated February 5, 2012, payable to JACO Financial in the amount of \$5,000, 4) on February 13, 2012, check #667 posted to the JACO Financial bank

account, 5) [REDACTED] purchased an additional 500,000 shares of BZRT stock and mailed to ALLAN MICHAEL ROTH check #673 dated February 18, 2012, payable to JACO Financial in the amount of \$5,000, 6) on February 24, 2012, check #673 posted to the JACO Financial bank account, and 7) ALLAN MICHAEL ROTH sent [REDACTED] [REDACTED] at least one confirmation slip as proof of purchase of BZRT stock.

Counts 13, 14, 15, and 16

The investor's statements, supporting documentation and business records involving [REDACTED] show, in part, that 1) on or about January 1, 2012, [REDACTED] learned about the BZRT stock investment opportunity from her boyfriend, Mario C. Cucuzzella, 2) [REDACTED] purchased 200,000 shares of BZRT stock, 3) [REDACTED] mailed check #147 dated February 6, 2012, payable to JACO Financial in the amount of \$2,000, 4) on February 8, 2012, check #147 posted to the JACO Financial bank account, 5) [REDACTED] [REDACTED] purchased an additional 200,000 shares of BZRT stock, 6) [REDACTED] mailed check #148 dated February 15, 2012, payable to JACO Financial in the amount of \$2,000, and 7) on February 21, 2012, check #148 posted to the JACO Financial bank account.

Counts 17 and 18

The investor's statements, supporting documentation and business records involving [REDACTED], show, in part, that 1) on or about February 13, 2012, [REDACTED].

learned of BZRT stock from his father, [REDACTED], and his brother, [REDACTED], 2) [REDACTED], spoke with ALLAN MICHAEL ROTH who said that he had been in the stock business for twenty-five years and that for twenty of those years, he had been acting as [REDACTED]'s stockbroker, 3) ALLAN MICHAEL ROTH told [REDACTED], that he was offering penny stocks in BizRocket.com, Inc., 4) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased 250,000 shares of BZRT stock, 5) [REDACTED] mailed to ALLAN MICHAEL ROTH check #184 dated February 16, 2012, payable to JACO Financial in the amount of \$2,500, and 6) on February 21, 2012, check #184 posted to the JACO Financial bank account.

Counts 19, 20, 21, and 22

The investor's statements, supporting documentation and business records involving [REDACTED] [REDACTED] show, in part, that 1) on or about January 1, 2012, [REDACTED] [REDACTED] received a call from his stockbroker, ALLAN MICHAEL ROTH, who described a new investment opportunity in BZRT stock that he was offering to his clients, 2) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased 400,000 shares of BZRT stock, 3) [REDACTED] mailed to ALLAN MICHAEL ROTH check #3397 dated February 3, 2012, payable to JACO Financial in the amount of \$4,000, 4) on February 8, 2012, check #3397 posted to the JACO Financial bank account, 5) on or about February 4,

2012, ALLAN MICHAEL ROTH asked [REDACTED] if he knew anybody else that wanted to invest in BZRT stock, 6) [REDACTED] purchased an additional 250,000 shares of BZRT stock, 7) [REDACTED] mailed to ALLAN MICHAEL ROTH check #3401 dated February 15, 2012, made payable to JACO Financial in the amount of \$2,500, 8) on February 21, 2012, check #3401 posted to the JACO Financial bank account, and 9) ALLAN MICHAEL ROTH sent [REDACTED] confirmation slips as proof of purchase of BZRT stock.

Counts 23 and 24

The investor's statements, supporting documentation and business records involving [REDACTED] show, in part, that 1) on or about February 1, 2012, [REDACTED] spoke with his father, [REDACTED], and learned about an investment opportunity being offered by ALLAN MICHAEL ROTH, his father's stockbroker, 2) ALLAN MICHAEL ROTH told [REDACTED] that he was a licensed stockbroker with twenty plus years of experience in selling and trading stocks, that he was running JACO Financial, LLC, out of his apartment to cut down on administrative costs, and that he was offering penny stocks in BizRocket.com, Inc. which traded as "BZRT," 3) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased 500,000 shares of BZRT stock, 4) [REDACTED] mailed to ALLAN MICHAEL ROTH check #871 dated February 20, 2012, payable to JACO Financial in the amount of \$5,000, 5) on

February 27, 2012, check #871 posted to the JACO Financial bank account, and 6) ALLAN MICHAEL ROTH sent [REDACTED] a confirmation slip as proof of purchase of BZRT stock.

Counts 25, 26, 27, and 28

The investor's statements, supporting documentation and business records involving [REDACTED] show, in part, that 1) on or about February 24, 2012, [REDACTED] learned of BZRT stock from her friend, [REDACTED] 2) [REDACTED] met face-to-face with ALLAN MICHAEL ROTH who made a presentation regarding BizRocket.com, Inc., and BZRT stock, 3) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased 6,500,000 shares of BZRT stock, 4) [REDACTED] hand delivered to ALLAN MICHAEL ROTH check #6272 dated February 24, 2012, payable to JACO Financial in the amount of \$65,000, 5) on February 27, 2012, check #6272 posted to the JACO Financial bank account, 7) on or about February 25, 2012, ALLAN MICHAEL ROTH told [REDACTED] that he had additional shares of BZRT stock available for purchase, 8) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased an additional 480,000 shares of BZRT stock, 7) [REDACTED] hand delivered to ALLAN MICHAEL ROTH check #6277 dated March 15, 2012, payable to JACO Financial in the amount of \$4,800, 8) on March 16, 2012, check #6277 posted to the JACO Financial bank account, and 9) ALLAN MICHAEL ROTH sent [REDACTED] confirmation slips as proof of purchase of BZRT stock.

Counts 29, 30, 31, 32

The investor's statements, supporting documentation and business records involving ██████████ show, in part, that

- 1) on or about February 22, 2012, ██████████ learned of BZRT stock from her friend, ██████████
- 2) ██████████ spoke with ALLAN MICHAEL ROTH who described a penny stock opportunity from BizRocket.com, Inc.,
- 3) ALLAN MICHAEL ROTH told ██████████ that he was affiliated with a brokerage firm and that he was very involved with stocks,
- 4) relying on statements and representations made by ALLAN MICHAEL ROTH, ██████████ purchased 500,000 shares of BZRT stock,
- 5) ██████████ purchased official check #2130466545 dated March 7, 2012, payable to JACO Financial in the amount of \$5,000 and mailed said check to an address in Palm Harbor, Florida,
- 6) on March 12, 2012, official check #2130466545 posted to the JACO Financial bank account,
- 7) on or about March 8, 2012, ALLAN MICHAEL ROTH started calling ██████████ two or three times per week encouraging her to invest more money in BZRT stock,
- 8) relying on statements and representations made by ALLAN MICHAEL ROTH, ██████████ purchased an additional 250,000 shares of BZRT stock,
- 9) ██████████ purchased official check #2130467211 dated March 23, 2012, payable to JACO Financial in the amount of \$5,000 and mailed said check to an address provided by ALLAN MICHAEL ROTH,
- 10) on April 2, 2012, official check #2130467211 posted to the JACO Financial bank account, and
- 11) ALLAN MICHAEL ROTH sent ██████████ confirmation slips as proof of purchase of BZRT stock.

Counts 33 and 34

The investor's statements, supporting documentation and business records involving [REDACTED] show, in part, that 1) on or about February 5, 2012, while residing in the State of Illinois, [REDACTED] received a cold call from his former stockbroker, ALLAN MICHAEL ROTH, who said, among other things, that he was recommending a new penny stock with BizRocket.com, Inc., to his clients and that he had a block of shares of BZRT stock to sell, 2) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased 120,000 shares of BZRT stock, 3) [REDACTED] mailed to ALLAN MICHAEL ROTH check #1864 dated February 12, 2012, payable to JACO Financial in the amount of \$1,200, 4) on February 21, 2012, check #1864 posted to the JACO Financial bank account, and 5) ALLAN MICHAEL ROTH sent [REDACTED] a confirmation slip as proof of purchase of BZRT stock.

Counts 35 and 36

The investor's statements, supporting documentation and business records involving [REDACTED] also known as [REDACTED] show, in part, that 1) on or about February 23, 2012, [REDACTED] learned of BZRT stock from her friend, [REDACTED] 2) [REDACTED] met face-to-face with ALLAN MICHAEL ROTH who described a penny stock opportunity from BizRocket.com, Inc., 3) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased

2,000,000 shares of BZRT stock, 4) [REDACTED] hand delivered to ALLAN MICHAEL ROTH check #101 dated February 24, 2012, payable to JACO Financial in the amount of \$20,000, 5) on February 27, 2012, check #101 posted to the JACO Financial bank account, and 6) ALLAN MICHAEL ROTH sent [REDACTED] a confirmation slip as proof of purchase of BZRT stock.

Counts 37 and 38

The investor's statements, supporting documentation and business records involving [REDACTED] show, in part, that 1) on or about January 10, 2012, while residing in the State of Illinois, [REDACTED] received a cold call from his former stockbroker, ALLAN MICHAEL ROTH, who described a new investment opportunity with BizRocket.com that he was recommending to his clients and represented that he had a limited number of BZRT shares left to sell, 2) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased 700,000 shares of BZRT stock, 3) [REDACTED] mailed to ALLAN MICHAEL ROTH check #3180 dated February 10, 2012, payable to JACO Financial in the amount of \$7,000, and 4) on February 14, 2012, check #3180 posted to the JACO Financial bank account.

Counts 39 and 40

The investor's statements, supporting documentation and business records involving [REDACTED] show, in part, that 1) [REDACTED] utilized the services of an insurance agent

and stockbroker named Allan Roth who was located in Palm Harbor, Florida, 2) [REDACTED] issued check #646 dated January 31, 2012, in the amount of \$10,000 payable to JACO Financial, 3) on February 8, 2012, check #646 posted to the JACO Financial bank account, and 4) [REDACTED] received a confirmation slip as proof of purchase of 1,000,000 shares of BZRT stock.

Counts 41 and 42

The investor's statements, supporting documentation and business records involving [REDACTED] show, in part, that 1) on or about February 6, 2012, while residing in the State of California, [REDACTED] received a cold call from his former stockbroker, ALLAN MICHAEL ROTH, who described an investment opportunity with BizRocket.com that he was recommending to his clients, 2) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased 1,400,000 shares of BZRT stock, 3) [REDACTED] mailed to ALLAN MICHAEL ROTH check #2100 dated April 13, 2012, payable to JACO Financial in the amount of \$14,000, and 4) on April 16, 2012, check #2100 posted to the JACO Financial bank account.

Counts 43, 44, 45, and 46

The investor's statements, supporting documentation and business records involving [REDACTED] show, in part, that 1) on or about February 1, 2012, while residing in the State of California, [REDACTED], Sr., received a cold call from his

former stockbroker, ALLAN MICHAEL ROTH, who described an investment opportunity with BizRocket.com, Inc., that he was recommending to his clients, 2) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED], purchased 1,250,000 shares of BZRT stock, 3) [REDACTED], mailed to ALLAN MICHAEL ROTH check #420 dated February 6, 2012, payable to JACO Financial in the amount of \$12,500, 4) on February 8, 2012, check #420 posted to the JACO Financial bank account, 5) on or about February 7, 2012, ALLAN MICHAEL ROTH called [REDACTED], and encouraged him to invest more money in BZRT stock, 6) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED], purchased an additional 360,000 shares of BZRT stock, 7) [REDACTED] mailed to ALLAN MICHAEL ROTH check #426 dated February 10, 2012, payable to JACO Financial in the amount of \$3,600, and 8) on February 14, 2014, check #426 posted to the JACO Financial bank account.

Counts 47, 48, 49, 50, 51, 52, 53, and 54

The investor's statements, supporting documentation and business records involving [REDACTED] also known as [REDACTED] show, in part, that 1) on or about February 13, 2012, [REDACTED] learned of BZRT stock from her ex-husband, [REDACTED], 2) [REDACTED] met face-to-face with ALLAN MICHAEL ROTH who represented that he was a licensed stockbroker and stated that he had "1 million shares of BZRT stock left" to sell, 3) relying on statements and representations made by ALLAN

MICHAEL ROTH, [REDACTED] purchased 1,000,000 shares of BZRT stock, 4) [REDACTED] purchased cashier's check #5005695575 dated February 24, 2012, payable to JACO Financial in the amount of \$10,000 and hand delivered said check to ALLAN MICHAEL ROTH, 5) on February 27, 2012, cashier check #5005695575 posted to the JACO Financial bank account, 6) on or about February 25, 2012, ALLAN MICHAEL ROTH told [REDACTED] that he had additional shares of BZRT stock available for purchase, 7) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased an additional 500,000 shares of BZRT stock, 8) [REDACTED] purchased cashier's check #5005695652 dated March 14, 2012, payable to JACO Financial in the amount of \$5,000 and hand delivered said check to ALLAN MICHAEL ROTH, 9) on March 15, 2012, cashier's check #5005695652 posted to the JACO Financial bank account, 10) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased an additional 500,000 shares of BZRT stock, 11) [REDACTED] met face-to-face with ALLAN MICHAEL ROTH and Jack Augsack and hand delivered to Jack Augsack check #4750 dated March 16, 2012, payable to JACO Financial in the amount of \$5,000, 12) on March 23, 2012, check #4750 posted to the JACO Financial bank account, 13) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased an additional 1,200,000 shares of BZRT stock, 14) Ms. Sullivan met face-to-face with ALLAN MICHAEL ROTH and hand delivered to him check #4756 dated April 30, 2012, payable to JACO Financial in the

amount of \$12,000, 15) on May 1, 2012, check #4756 posted to the JACO Financial bank account, and 16) ALLAN MICHAEL ROTH sent [REDACTED] [REDACTED] confirmation slips as proof of purchase of BZRT stock.

Your Affiant was present when investor Christine Sullivan was shown a Florida driver license photograph of ALLAN MICHAEL ROTH, FL DL [REDACTED] [REDACTED] positively identified ALLAN MICHAEL ROTH as the person who sold her shares of BZRT stock.

Counts 55, 56, 57, 58, 59, 60, 61, 62, 63, and 64

The investor's statements, supporting documentation and business records involving [REDACTED] show, in part, that 1) [REDACTED] has known ALLAN MICHAEL ROTH since on or about 1995, 2) ALLAN MICHAEL ROTH told [REDACTED] that he had a Series 8 license and worked for Regal Securities, 3) on or about February 1, 2012, [REDACTED] met face-to-face with ALLAN MICHAEL ROTH who said that he was currently working for JACO Financial, that he had a new investment opportunity in BizRocket.com, Inc., and that he only had a few shares of BZRT stock remaining for sale, 4) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] [REDACTED] purchased 2,000,000 shares of BZRT stock, 5) [REDACTED] hand delivered to ALLAN MICHAEL ROTH check #1069 dated February 13, 2012, payable to JACO Financial in the amount of \$20,000, 6) on February 15, 2012, check #1069 posted to the JACO Financial bank account, 7) on or about February 14, 2012, ALLAN MICHAEL ROTH told

██████████ that he had additional shares of BZRT stock available for purchase, 8) relying on statements and representations made by ALLAN MICHAEL ROTH, ██████████ purchased an additional 1,000,000 shares of BZRT stock, 9) ██████████ hand delivered to ALLAN MICHAEL ROTH check #1071 dated March 16, 2012 [sic], payable to JACO Financial in the amount of \$10,000, 10) on March 15, 2012, check #1071 posted to the JACO Financial bank account, 11) relying on statements and representations made by ALLAN MICHAEL ROTH, ██████████ ██████████ purchased an additional 1,000,000 shares of BZRT stock, 12) ██████████ purchased cashier's check #5005695789 dated April 16, 2012, payable to JACO Financial in the amount of \$10,000 and hand delivered said check to ALLAN MICHAEL ROTH, 13) on April 16, 2012, cashier's check #50056955789 posted to the JACO Financial bank account, 14) relying on statements and representations made by ALLAN MICHAEL ROTH, ██████████ purchased an additional 1,000,000 shares of BZRT stock, 15) ██████████ purchased cashier's check #6611500165 dated April 26, 2012, payable to JACO Financial in the amount of \$10,000 and hand delivered said check to ALLAN MICHAEL ROTH, 16) on April 27, 2012, cashier's check #6611500165 posted to the JACO Financial bank account, 17) relying on statements and representations made by ALLAN MICHAEL ROTH, ██████████ purchased an additional 420,000 shares of BZRT stock, 18) ██████████ hand delivered to ALLAN MICHAEL ROTH check #2889 dated April 29, 2012, payable to JACO Financial in the amount of \$4,200, and 19) on May 2, 2012, check #2889 posted to the JACO Financial bank account.

Investor [REDACTED] provided your Affiant two photographs of the person who sold him and his friends BZRT stock. Your Affiant compared these photographs to Florida driver license photographs of ALLAN MICHAEL ROTH, FL DL [REDACTED] and determined that [REDACTED] has positively identified ALLAN MICHAEL ROTH as the person who sold him and his friends shares of BZRT stock.

Counts 65, 66, 67, and 68

The investor's statements, supporting documentation and business records involving [REDACTED] show, in part, that 1) on or about January 12, 2012, while residing in the State of California, [REDACTED] received a cold call from his former stockbroker, ALLAN MICHAEL ROTH, who said he was now associated with JACO Financial and described an investment opportunity with BizRocket.com, Inc. that he was recommending to his clients, 2) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased 1,000,000 shares of BZRT stock, 3) [REDACTED] mailed to ALLAN MICHAEL ROTH check #5779 dated February 8, 2012, payable to JACO Financial in the amount of \$10,000, 4) on February 15, 2012, check #5779 posted to the JACO Financial bank account, 5) on or about February 9, 2012, [REDACTED] received another call from ALLAN MICHAEL ROTH who asked if [REDACTED] had more money to invest in BZRT stock, 6) relying on statements and representations made by ALLAN MICHAEL ROTH, [REDACTED] purchased an additional 500,000 shares of BZRT stock, 7) [REDACTED] mailed to ALLAN MICHAEL ROTH check #5784 dated February 15, 2012, payable

to JACO Financial in the amount of \$5,000, and 8) on February 24, 2014, check #5784 posted to the JACO Financial bank account.

Investor [REDACTED] provided your Affiant with investment materials containing a photograph of the person who sold him BZRT stock. Your Affiant compared this photograph to Florida driver license photographs of ALLAN MICHAEL ROTH and determined that [REDACTED] has positively identified ALLAN MICHAEL ROTH as the person who sold him BZRT stock.

Your Affiant determined that between January 1, 2012 thru May 2, 2012, ALLAN MICHAEL ROTH sold shares of BZRT stock during thirty-four (34) separate transactions with a principal investment value of \$295,465.69 to the investors whom are the subject of this affidavit. As of the date of this affidavit, only one (1) investor out of twenty (20) investors received any monies from ALLAN MICHAEL ROTH, JACO Financial, LLC, Jack Augsback, and/or BizRocket.com, Inc; [REDACTED] received a check in the amount of \$2,320.00 representing return of ¼ of her initial investment.

Your Affiant is aware that materials relating to the offer and sale of the penny stock which are the subject of this affidavit have been reviewed by Philip J. Snyderburn, Esquire, a licensed member of the Florida Bar who specializes in the areas of securities law and who has previously been qualified in Florida courts to offer opinions regarding whether particular solicitations and investments constitute securities as defined in

Chapter 517, F.S. Your Affiant reviewed a Securities Opinion prepared by Mr. Snyderburn, Esquire, dated September 16, 2014, wherein he states that, in his opinion:

- the solicitation and investment of money from various investors by Allan Roth, JACO Financial, LLC, BizRocket.com, Inc, and Jack Augsback were for "securities" as that term is defined in Chapter 517, F.S.;
- such "securities" were not exempt from the registration requirements of Chapter 517 under the provisions of Section 517.051 or Section 517.061, F.S.;
- Allan Roth, Jack Augsback, JACO Financial, LLC, and BizRocket.com, Inc., acted as a dealer, associated person, or issuer of securities in connection with the sale of the unregistered securities and Allan Roth, Jack Augsback, JACO Financial, LLC, and BizRocket.com, Inc., failed to register as required by Section 517.12(1), F.S.; and
- such dealer, associated person, or issuer of securities were not exempt from the registration requirements of Chapter 517 under the provisions of Section 517.051 or Section 517.061, F.S.

Your Affiant's investigation revealed that between January 1, 2012 and May 2, 2012, ALLAN MICHAEL ROTH did unlawfully sell or offer to sell securities to twenty (20) different investors during thirty-four (34) separate transactions, said securities were not

registered as required by Chapter 517, F.S., contrary to Chapter 517.07/517.302, Florida Statutes.

Your Affiant's investigation revealed that during the time period of January 1, 2012 and May 2, 2012, ALLAN MICHAEL ROTH did unlawfully sell or offer for sale, from an office within this state, securities to twenty (20) different investors during thirty-four (34) separate sales transactions, while being a dealer, associated person or issuer of securities and not being registered as required by Chapter 517, F.S., contrary to 517.12/517.302, Florida Statutes.

Your Affiant respectfully requests that this Honorable Court issue a *cahpi* for ALLAN MICHAEL ROTH so that he may be made to answer to the charges of Failure to Register Securities in violation of Section 517.07/517.302, F.S., and to the charges of Failure of Dealer, Associated Person, or Issuer of Securities to Register, in violation of Sections 517.12/517.302, F.S..

Your Affiant respectfully requests that this Honorable Court issue a *cahpi* for ALLAN MICHAEL ROTH so that he may be made to answer to the following third degree felonies:

(Thirty-four (34) ODD Numbered Counts - 1, 3, 5, 7, 9, 11, 13, 15, 17, 19, 21, 23, 25, 27, 29, 31, 33, 35, 37, 39, 41, 43, 45, 47, 49, 51, 53, 55, 57, 59, 61, 63, 65, 67) - Failure to Register Securities, in violation of Sections 517.07/517.302, F.S.

(Thirty-four (34) EVEN Numbered Counts - 2, 4, 6, 8, 10, 12, 14, 16, 18, 20, 22, 24, 26, 28, 30, 32, 34, 36, 38, 40, 42, 44, 46, 48, 50, 52, 54, 56, 58, 60, 62, 64, 66, 68) - Failure of Dealer, Associated Person, or Issuer of Securities to Register, in violation of Sections 517.12/517.302, F.S.

Robert Seimetz
Signature, Affiant

Robert Seimetz
Print Name, Affiant

1313 North Tampa Street, Suite 615, Tampa, FL 33602 813-218-5339
Address and Telephone Number of Affiant

This foregoing instrument was acknowledged before me this 18th day of February 2015 by ROBERT SEIMETZ, who is personally known to me or who has produced FLORIDA D.I. as identification and who did take an oath.

Edie Miller
Notary Public: (Sign and Notary Stamp)



FINDING OF PROBABLE CAUSE

I have reviewed this affidavit and do find there is probable cause to hold and bind over for trial the DEFENDANT named in this affidavit.

Date: 2/19/15

[Signature]
Judge

Clerk of this Court is hereby directed to ISSUE
CAPIAS for arrest of Defendant

Name: ALLAN MICHAEL ROTH

Defendant is to be admitted to Bail in the sum of

\$ 5,000.00 , on Ct. 1, including surcharge
\$ 5,000.00 , on Ct. 2, including surcharge
\$ 5,000.00 , on Ct. 3, including surcharge
\$ 5,000.00 , on Ct. 4, including surcharge
\$ 5,000.00 , on Ct. 5, including surcharge
\$ 5,000.00 , on Ct. 6, including surcharge
\$ 5,000.00 , on Ct. 7, including surcharge
\$ 5,000.00 , on Ct. 8, including surcharge
\$ 5,000.00 , on Ct. 9, including surcharge
\$ 5,000.00 , on Ct.10, including surcharge
\$ 5,000.00 , on Ct.11, including surcharge
\$ 5,000.00 , on Ct.12, including surcharge
\$ 5,000.00 , on Ct.13, including surcharge
\$ 5,000.00 , on Ct.14, including surcharge
\$ 5,000.00 , on Ct.15, including surcharge
\$ 5,000.00 , on Ct.16, including surcharge
\$ 5,000.00 , on Ct.17, including surcharge
\$ 5,000.00 , on Ct.18, including surcharge
\$ 5,000.00 , on Ct.19, including surcharge
\$ 5,000.00 , on Ct.20, including surcharge
\$ 5,000.00 , on Ct.21, including surcharge
\$ 5,000.00 , on Ct.22, including surcharge
\$ 5,000.00 , on Ct.23, including surcharge
\$ 5,000.00 , on Ct.24, including surcharge
\$ 5,000.00 , on Ct.25, including surcharge
\$ 5,000.00 , on Ct.26, including surcharge
\$ 5,000.00 , on Ct.27, including surcharge
\$ 5,000.00 , on Ct.28, including surcharge
\$ 5,000.00 , on Ct.29, including surcharge
\$ 5,000.00 , on Ct.30, including surcharge
\$ 5,000.00 , on Ct.31, including surcharge
\$ 5,000.00 , on Ct.32, including surcharge
\$ 5,000.00 , on Ct.33 including surcharge
\$ 5,000.00 , on Ct.34 including surcharge

Continued on Page 22

Ray Federo
Circuit / County Judge

Ray Federo
JUDGE

2/19/15
DATE

Clerk of this Court is hereby directed to ISSUE
CAPIAS for arrest of Defendant

Name: ALLAN MICHAEL ROTH

Defendant is to be admitted to Bail in the sum of

\$ 5,000.00 , on Ct.35, including surcharge
\$ 5,000.00 , on Ct.36, including surcharge
\$ 5,000.00 , on Ct.37, including surcharge
\$ 5,000.00 , on Ct.38, including surcharge
\$ 5,000.00 , on Ct.39, including surcharge
\$ 5,000.00 , on Ct.40, including surcharge
\$ 5,000.00 , on Ct.41, including surcharge
\$ 5,000.00 , on Ct.42, including surcharge
\$ 5,000.00 , on Ct.43, including surcharge
\$ 5,000.00 , on Ct.44, including surcharge
\$ 5,000.00 , on Ct.45, including surcharge
\$ 5,000.00 , on Ct.46, including surcharge
\$ 5,000.00 , on Ct.47, including surcharge
\$ 5,000.00 , on Ct.48, including surcharge
\$ 5,000.00 , on Ct.49, including surcharge
\$ 5,000.00 , on Ct.50, including surcharge
\$ 5,000.00 , on Ct.51, including surcharge
\$ 5,000.00 , on Ct.52, including surcharge
\$ 5,000.00 , on Ct.53, including surcharge
\$ 5,000.00 , on Ct.54, including surcharge
\$ 5,000.00 , on Ct.55, including surcharge
\$ 5,000.00 , on Ct.56, including surcharge
\$ 5,000.00 , on Ct.57, including surcharge
\$ 5,000.00 , on Ct.58, including surcharge
\$ 5,000.00 , on Ct.59, including surcharge
\$ 5,000.00 , on Ct.60, including surcharge
\$ 5,000.00 , on Ct.61, including surcharge
\$ 5,000.00 , on Ct.62, including surcharge
\$ 5,000.00 , on Ct.63, including surcharge
\$ 5,000.00 , on Ct.64, including surcharge
\$ 5,000.00 , on Ct.65, including surcharge
\$ 5,000.00 , on Ct.66, including surcharge
\$ 5,000.00 , on Ct.67 including surcharge
\$ 5,000.00 , on Ct.68 including surcharge

\$ 340,000.00 Total on Counts 1 thru 68

Debra Fedeno
Circuit / County Judge

Advisory judge may or may not modify
bail at first appearance.

Debra Fedeno
JUDGE

2/19/15
DATE

EXHIBIT A

34 Sales Transactions - BZRT Stock

<u>Transaction Number</u>	<u>Check Date</u>	<u>Date Check Posted to JACO Acct</u>	<u>Check Number</u>	<u>Check Amount</u>	<u>Investor Name (Name on Investment Check, if Different)</u>	<u>Shares Purchased</u>	<u>INFO Counts</u>
1	02/13/12	02/21/12	169	\$2,500.00	[REDACTED]	250,000	1 - 2
2	02/03/12	02/08/12	1625	\$1,000.00	[REDACTED]	100,000	3 - 4
3	02/06/12	02/13/12	1192	\$10,000.00	[REDACTED]	1,000,000	5 - 6
4	02/18/12	03/12/12	1218	\$4,665.69	[REDACTED]	500,000	7 - 8
5	02/05/12	02/13/12	667	\$5,000.00	[REDACTED]	500,000	9 - 10
6	02/18/12	02/24/12	673	\$5,000.00	[REDACTED]	500,000	11 - 12
7	02/06/12	02/08/12	147	\$2,000.00	[REDACTED]	200,000	13 - 14
8	02/15/12	02/21/12	148	\$2,000.00	[REDACTED]	200,000	15 - 16
9	02/16/12	02/21/12	184	\$2,500.00	[REDACTED]	250,000	17 - 18
10	02/03/12	02/08/12	3397	\$4,000.00	[REDACTED]	400,000	19 - 20
11	02/15/12	02/21/12	3401	\$2,500.00	[REDACTED]	250,000	21 - 22
12	02/20/12	02/27/12	871	\$5,000.00	[REDACTED]	500,000	23 - 24

<u>Transaction Number</u>	<u>Check Date</u>	<u>Date Check Posted to JACO Acct</u>	<u>Check Number</u>	<u>Check Amount</u>	<u>Investor Name (Name on Investment Check, if Different)</u>	<u>Shares Purchased</u>	<u>INFO Counts</u>
13	02/24/12	02/27/12	6272	\$65,000.00		6,500,000	25 - 26
14	03/15/12	03/16/12	6277	\$4,800.00		480,000	27 - 28
15	03/07/12	03/12/12	2130466545	\$5,000.00		500,000	29 - 30
16	03/23/12	04/02/12	2130467211	\$5,000.00		250,000	31 - 32
17	02/12/12	02/21/12	1864	\$1,200.00		120,000	33 - 34
18	02/24/12	02/27/12	101	\$20,000.00		2,000,000	35 - 36
19	02/10/12	02/14/12	3180	\$7,000.00		700,000	37 - 38
20	01/31/12	02/08/12	646	\$10,000.00	(J)	1,000,000	39 - 40
21	04/13/12	04/16/12	2100	\$14,000.00		1,400,000	41 - 42
22	02/06/12	02/08/12	420	\$12,500.00		1,250,000	43 - 44
23	02/10/12	02/14/12	426	\$3,600.00		360,000	45 - 46
24	02/24/12	02/27/12	5005695575	\$10,000.00		1,000,000	47 - 48
25	03/14/12	03/15/12	5005695652	\$5,000.00	(Cashier's Check)	500,000	49 - 50
26	03/16/12	03/23/12	4750	\$5,000.00		500,000	51 - 52
27	04/30/12	05/01/12	4756	\$12,000.00		1,200,000	53 - 54

<u>Transaction Number</u>	<u>Check Date</u>	<u>Date Check Posted to JACO Acct</u>	<u>Check Number</u>	<u>Check Amount</u>	<u>Investor Name (Name on Investment Check, if Different)</u>	<u>Shares Purchased</u>	<u>INFO Counts</u>	
28	02/13/12	02/15/12	1069	\$20,000.00	[REDACTED]	2,000,000	55 - 56	
29	03/16/12 [sic]	03/15/12	1071	\$10,000.00		1,000,000	57 - 58	
30	04/16/12	04/16/12	5005695789	\$10,000.00		1,000,000	59 - 60	
31	04/26/12	04/27/12	6611500165	\$10,000.00		1,000,000	61 - 62	
32	04/29/12	05/02/12	2889	\$4,200.00		420,000	63 - 64	
33	02/08/12	02/15/12	5779	\$10,000.00		1,000,000	65 - 66	
34	02/15/12	02/24/12	5784	\$5,000.00		500,000	67 - 68	
				\$295,465.69			29,330,000	
34 checks were deposited into Wells Fargo Bank account ending [REDACTED] in the name of JACO Financial, LLC								

PERSONAL DATA INFORMATION SHEET

WARRANT/CAPIAS #:
(TO BE ASSIGNED)

FOLLOWING INFORMATION TO BE PROVIDED BY INVESTIGATING OFFICER
WHEN REFERRING A CASE!

*Note: starred lines are required for computer warrant entries *FCIC system (local) **NCIC system*

*Defendant's Full Name:

Allen Michael Roth

Alias: _____

SSN: _____

Last Known Address: _____
Tampa, FL _____

Place of Employment:

(Company)

(Business Address)

*DOB: _____

*SEX: Male

*RACE: White

**HT: 6'0"

**WT: 180

**HAIR: Brown

EYES: Brown

OTHER FEATURES:

Beard, Marks, Scars, Tattoos

PHOTO AVAILABLE: YES NO

FINGERPRINTS AVAILABLE: YES NO



*AGENCY: Office of Financial Regulation

*OFFENSE NUMBER: 44906

*INVESTIGATING OFFICER(S): Robert Seimetz

IN THE CIRCUIT COURT OF THE SIXTH JUDICIAL CIRCUIT
IN AND FOR PINELLAS COUNTY, FLORIDA
CRIMINAL DIVISION

STATE OF FLORIDA,

vs.

Allan Michael Roth
aka _____
Defendant.


Case Number(s): 15-2055-CFANC

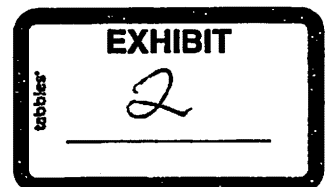
Person ID/SPN: _____

MAR 06 2017
KEN BURKE
CLERK CIRCUIT COURT

PLEA FORM

1. I, Allan Michael Roth, Defendant herein, do hereby withdraw my plea of Not Guilty and enter a plea of Guilty No Contest an Admission to the charge(s) of 34 counts of 517.07(1) and 34 counts of 517.12(1) in the above-referenced case(s). This plea is to reduced charge(s) _____.
2. I understand that a plea of Not Guilty denies my guilt, a plea of No Contest means that I will not contest the evidence against me, and a plea of Guilty or Admission to a violation of probation/community control admits my guilt. I understand that if the Court accepts my plea there will be no trial or evidentiary hearing and I will be sentenced based upon my plea.
3. I understand that the Judge may question me about the offense(s) and entry of the plea and that any false answer may be used against me in a perjury prosecution.
4. I understand that if the Court accepts my plea, I give up the following rights:
 - a. The right to a trial by jury or, for a violation of probation/community control, the right to a hearing before a judge.
 - b. The right to be represented by an attorney at every stage of the proceedings and the right to have an attorney appointed if I cannot afford one.
 - c. The right to confront and cross-examine witnesses at trial or a hearing on a violation of probation/community control.
 - d. The right to compel the attendance of witnesses at trial or a hearing on a violation of probation/community control.
 - e. The right not to testify or be compelled to incriminate myself.
 - f. The right to require the State to prove my guilt beyond a reasonable doubt or, if charged with a violation of probation/community control, the right to require the State to prove that I have willfully violated my probation by the greater weight of the evidence.
 - g. The right to appeal all matters related to the judgment within 30 days, including the issue of guilt or innocence, unless expressly reserved. I retain my right to review by appropriate collateral attack.
5. I understand the charge(s) placed against me and to which I am pleading. If applicable to my case(s), my lawyer has reviewed the sentencing guidelines scoresheet with me. My lawyer has also explained the following to me:
 - a. The essential elements of the charge(s) to which I am pleading.
 - b. Any possible defenses I may have to the charge(s) to which I am pleading.
 - c. The lowest permissible guidelines sentence and maximum sentence provided by law for the charge(s) to which I am pleading, which is/are: 14,765 years DOC to 340 years DOC
 - d. Any minimum-mandatory penalties provided by law for the charge(s) to which I am pleading, which is/are: N/A


Def. Initial



6. I understand that if I am being sentenced as a () Habitual Felony Offender, () Habitual Violent Felony Offender, () Three-Time Violent Felony Offender, () Violent Career Criminal, or () Prison Releasee Reoffender, the statutory scoresheet recommendation will NOT apply to my sentence. If entitled to notice, I have received notice of the State's intention to enhance my sentence, or I hereby waive my right to such notice. I acknowledge that I have the requisite prior felony convictions to qualify for the indicated designation, that I have not been pardoned for the offense(s) connected with those convictions, and that none of those convictions have been set aside in any postconviction proceeding.

7. I understand that the Department of Corrections is solely responsible for awarding gain time or any type of early release. I further understand that, depending on the nature of the offense(s) to which I am pleading, I may NOT be eligible for gain time credits or release programs that shorten the length of the sentence(s) imposed. I understand that any information I have received concerning gain time or early release is not a part of any plea discussion or agreement.

8. I am entering this plea because I acknowledge my guilt or acknowledge that the plea is in my best interest. No one has pressured me or forced me to enter this plea against my will and no one has promised me anything to entice me to enter this plea; however, there has been an understanding that my sentence will consist of:

see attached Negotiated Plea Terms, March 6, 2017 letter from Allan Rott, and Restitution Spreadsheet

which () includes a minimum-mandatory term of N/A.

9. I am not aware of any physical evidence disclosed by the State for which DNA testing may exonerate me. I am not aware of any other physical evidence containing DNA known to exist that could exonerate me.

10. I do not require the State to tell the Judge the facts upon which the charge is based before the Judge accepts my plea and I agree that the Judge may rely upon any probable cause statement or affidavit in the court file for a factual basis to justify the acceptance of my plea.

11. I am not presently suffering from any mental, emotional, or physical problems, which adversely affect my understanding of this plea and I am not under the influence of alcohol, drugs, or medicine at the present time except for _____.


12. My education consists of 14 years of school.

13. I understand that if I am not a United States Citizen, this plea may have the additional consequence of changing my immigration status, including deportation or removal from the United States. I understand that if I need additional time to discuss this matter with counsel, I must request to do so at this time, and the court must allow me a reasonable amount of time to confer with counsel before accepting my plea.

14. I understand that if I have ever been convicted of or pled Guilty or No Contest to a sexually violent or sexually motivated offense, or if I am required to register as a sexual offender, or if I have ever been placed in the custody of the Department of Children and Families for evaluation as a sexual violent predator, I may be subject to a civil commitment proceeding for sexually violent predators as a result of this plea.

15. If I am entering a plea to an offense for which automatic, mandatory driver's license suspension or revocation is required, regardless of whether the suspension or revocation is by the court or by a separate agency, I understand that this plea may result in the automatic, mandatory suspension or revocation of my driver's license.

16. I understand that if I am on parole/conditional release, this plea may result in the revocation of my parole/conditional release and my return to prison to complete the sentence from which I was released. I further understand that if I am on probation/community control, this plea may result in the revocation of my probation/community control and the imposition of a separate sentence up to the maximum penalty for the offense for which I was placed on probation/community control.


Det: Initial

Page 3 of 4 (Circuit Plea Form) Defendant: Allan Michael Pat Case Number(s): 15-2055-CFAND

17. I understand that if the Judge permits me to remain at liberty pending sentencing, I must notify my lawyer, my bondsman or ROR officer, and the Court of any change of address.
18. I understand that sentencing is scheduled for: May 12, 2017 at 8:30 AM / PM.

Presentence Investigation

19. I understand that if I am being sentenced for my first felony offense, or as a Habitual Felony Offender, a Habitual Violent Felony Offender, Or Three-time Violent Felony Offender, I am entitled to a Presentence Investigation (PSI). I further understand that if I am a juvenile being prosecuted as an adult, I have the right to have the Court consider a Predisposition Report prepared by juvenile authorities, which would assist the Court in deciding if adult or juvenile sanctions should be imposed upon me. I hereby waive my right to a Pre-Sentence Investigation or Predisposition Report so that I may proceed directly to sentencing.

Credit for Time Served in County Jail

20. I understand that pursuant to this negotiated plea agreement, I will receive credit for time incarcerated in a county facility before the imposition of the sentence as outlined in this section. I also understand that I am waiving any entitlement to jail credit in the above-styled case(s) other than what is explicitly agreed to below as part of this negotiated plea agreement.

Case Number(s)*	Jail Credit
15-2055-CFAND	2 days

*Include all case numbers to which this plea applies.


Restitution

21. I agree to restitution in the amount indicated in the attached Restitution Addendum incorporated as page 4 of 4. If the amount of restitution is not decided at this time, I understand that I will have 30 days from the date written notification of the preliminary amount of restitution is mailed to me, or otherwise delivered to me, to deliver to the Court a written request for a hearing contesting the preliminary amount of restitution. Failure to deliver a written request for a restitution hearing within the 30 day time period specified herein will result in the preliminary amount of restitution being established as the final amount of restitution.

- () A restitution hearing has been scheduled for TBD, 20__ at ____ AM / PM.
- () I hereby waive my right to be present at the restitution hearing.

Costs and Fines

22. If I am to be placed on probation or community control, I will pay the cost of supervision as ordered by this Court commencing with the first day of probation or community control.
23. My attorney has reviewed with me all statutory costs being assessed by the Court. My attorney has further advised me that I have a right to have the amount of each discretionary cost individually announced in open court. I hereby waive my right to such individual announcement and agree to pay all fines and costs, including the fines and costs checked on the attached sheets. The total fines and costs are 650.00.



Def: Initial

Attorney Fees and Costs

24. If my lawyer was appointed to represent me, I understand that the Court will assess an application fee as part of my sentence or as a condition of probation if the application fee was not paid at the time of filing my affidavit of indigence with the Clerk of the Circuit Court. I understand that attorney fees and costs will be assessed against me pursuant to Section 938.29, Florida Statutes. I understand that I have a right to a hearing before the Court to determine the amount of attorney's fees and/or costs in excess of the minimum fees and costs provided by Section 938.29, Florida Statutes, and that I will be waiving or giving up that right if I do not deliver my written request for a contested hearing to the Court within 30 days from the date the preliminary amount is mailed or otherwise delivered to me.
25. I further understand that there will be lien(s) placed against me and/or my real property for any unpaid fines, attorney fees, costs of prosecution, and court costs.

I have read or had this plea form read to me by the undersigned interpreter, have understood every word, and have discussed it with my lawyer. I am completely satisfied with the services of my lawyer and I feel that I have had enough time to discuss my case(s) and this plea with my lawyer.

SWORN TO, SIGNED, AND FILED IN OPEN COURT in the presence of my lawyer and the Judge this 6th day of March, 2017.

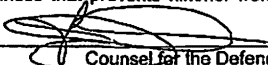

Defendant

I have read this form to the Defendant in _____
(language)

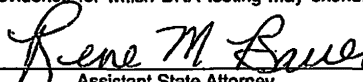
Interpreter

CERTIFICATE OF COUNSEL

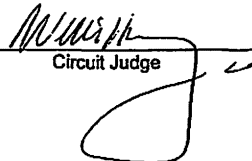
I hereby certify that I am counsel for the above-named Defendant and that I have discussed this case with my client and explained the rights, defenses, elements, and evidence relating to this case to my client. I have further reviewed with my client all mandatory and discretionary statutory fines and costs being assessed against him/her. I have reviewed the discovery disclosed by the State, including a listing or a description of physical evidence. I reviewed the nature of the evidence disclosed through discovery with my client. I am personally unaware of any physical evidence for which DNA testing may exonerate my client. I have advised the Defendant of the deportation consequences of this plea including whether this plea will invoke any presumptively mandatory deportation proceedings under the Immigration and Nationality Act. I believe the Defendant understands this plea form, his/her rights and the consequences of pleading and that he/she is entering this plea freely, voluntarily, and knowingly. I do not believe the Defendant to be under the influence of any substances or suffering from any mental or emotional illness that prevents him/her from understanding these proceedings.


Counsel for the Defendant

I hereby certify that I am personally unaware of any physical evidence for which DNA testing may exonerate the above-named Defendant.


Assistant State Attorney

I hereby find that the above-named Defendant did, on this date, freely, voluntarily, and knowingly change his/her plea in the above-referenced case(s).


Circuit Judge

IN THE CIRCUIT COURT OF THE SIXTH JUDICIAL CIRCUIT
OF THE STATE OF FLORIDA, PINELLAS COUNTY

STATE OF FLORIDA,

Plaintiff,

Case No. CRC15-02055CFANO

vs.

ALLAN MICHAEL ROTH,

Defendant.

PROCEEDINGS: Change of Plea
DATE: March 06, 2017
BEFORE: The Honorable William H. Burgess, III
Circuit Court Judge
PLACE: Pinellas County Justice Center
14250 49th Street North
Clearwater, Florida
REPORTER: Mary Tolson
Digital Court Reporter

Administrative Office of the Courts
Digital Court Reporting Department
Pinellas County Justice Center
14250 49th Street North, Ste H-2000
Clearwater, Florida 33762
(727) 453-7474



A P P E A R A N C E S

APPEARING ON BEHALF OF THE STATE OF FLORIDA:

Rene M. Bauer, Assistant State Attorney
Office of Bernie McCabe, State Attorney
Sixth Judicial Circuit, Pinellas County
14250 49th Street North
Clearwater, Florida 33762

APPEARING ON BEHALF OF THE DEFENDANT:

Timothy W. Weber, Esquire
Weber, Crabb, and Wein, P.A.
5999 Central Avenue, Suite 203
Saint Petersburg, Florida 33710

P R O C E E D I N G S

1
2 THE COURT: All right. We're back on the
3 record.

4 State of Florida versus Allan Michael Roth.
5 That is CRC15-02055CFANO.

6 And we have Mr. Weber for the defense and
7 Ms. Bauer for the State.

8 What's happening with this case?

9 MS. BAUER: Your Honor, over the last week
10 defense counsel and the State of Florida have entered
11 into plea negotiations and we have come to a
12 resolution today.

13 It's my understanding the defendant is prepared
14 to change his plea of not guilty to guilty to all 68
15 charges.

16 THE COURT: Okay.

17 MS. BAUER: And then the -- we've prepared
18 documentation for the Court to review with the
19 defendant what the understanding is as far as the
20 -- what the sentence will be.

21 I know that the family has indicated a
22 willingness to come up with a \$100,000 up front
23 towards the total restitution and I understand that
24 they're going to need maybe six weeks to come up with
25 that money.

1 So today we're here just to get the plea and set
2 off sentencing.

3 THE COURT: Okay. All right. Is he out on
4 bond?

5 MR. WEBER: He is, Your Honor.

6 THE COURT: Is the bondsman going to stay on the
7 bond?

8 MR. WEBER: Yes. Yes, Your Honor.

9 THE COURT: Have you got documentation of that?
10 Have you shown that to the State?

11 MR. WEBER: Not today, but I understand there's
12 no problem there.

13 THE COURT: Okay. If the State doesn't mind
14 then that's fine; we can do it that way.

15 MS. BAUER: I would just ask that -- normally we
16 would either have a letter --

17 THE COURT: Sure.

18 MS. BAUER: -- I don't mind if we take a break
19 at some point and let's get him on the phone. Just
20 if I can verbally hear that they're willing --

21 THE COURT: Sure.

22 MS. BAUER: -- to stay on.

23 THE COURT: What we've done in the past is we've
24 asked them to send a text or --

25 MS. BAUER: That'd be good.

1 THE COURT: Do you want to step in the back and
2 do that while I'm doing some other stuff?

3 Got to take full advantage of the modern
4 technology that we have available to us.

5 MS. BAUER: So, basically, he's got to indicate
6 that the bondsman is willing to stay on the bond
7 pending sentencing.

8 MR. WEBER: Pending sentencing.

9 MS. BAUER: Yes.

10 Your Honor, can I just approach and give Your
11 Honor the documents to look at?

12 THE COURT: Sure, sure.

13 MS. BAUER: And once defense counsel gets back
14 he can give you the copies that his client signed --

15 THE COURT: Okay.

16 MS. BAUER: -- and I'll take those back. At
17 least you can start looking at those.

18 THE COURT: Thank you.

19 (Thereupon, there was a pause in the proceedings.)

20 (Unrelated conversations.)

21 THE COURT: Okay. All right.

22 Okay. Mr. Weber, were you able to get a hold of
23 the bondsman?

24 MR. WEBER: Yes, Your Honor. Mr. Estes is going
25 to send me an email to my email account confirming --

1 THE COURT: Okay.

2 MR. WEBER: -- that he's willing to remain on
3 the bond pending sentencing.

4 THE COURT: Okay. All right. Well, while we're
5 waiting for that, I've got a memorandum here that
6 says "Negotiated plea terms" and has as a place for
7 Mr. Roth's signature and Mr. Weber's signature.

8 Is this the document you're going to execute
9 today?

10 MR. WEBER: Yes, Your Honor. It will be
11 attached to the plea form itself. And I actually
12 have an executed copy already here (unintelligible).

13 THE COURT: Okay. And the -- and then there's
14 another -- it looks like a letter to be signed by
15 Mr. Roth.

16 MR. WEBER: Correct, Your Honor.

17 THE COURT: Okay. And in addition -- and this
18 is going to be a *Quarterman* plea. In other words he
19 has to show up on time, in a sober condition at the
20 day of sentencing otherwise this will function as an
21 open plea, correct?

22 That's what a *Quarterman* plea is.

23 MR. WEBER: Correct, Your Honor. He does have
24 to appear at sentencing.

25 THE COURT: Okay. And there's also the

1 additional court costs.

2 Are there any investigative costs?

3 MS. BAUER: No, Your Honor.

4 THE COURT: So it's going to be 550 concurrent
5 on all counts. So -- is he going to be adjudicated
6 on all counts?

7 MS. BAUER: Yes, Your Honor.

8 THE COURT: Okay. Adjudication, 550 concurrent,
9 and no investigative costs.

10 MS. BAUER: Correct, Your Honor.

11 THE COURT: Okay.

12 MS. BAUER: And this is the Office of Financial
13 Regulation case.

14 THE COURT: Okay.

15 MS. BAUER: And our priority is having the
16 defendant pay restitution.

17 THE COURT: Okay.

18 MS. BAUER: So we're not seeking any costs.

19 THE COURT: Are you looking for DNA?

20 MS. BAUER: Yes, Your Honor.

21 THE COURT: All right. \$7 for DNA.

22 \$100 State Attorney's fee. Okay.

23 And I'll address that --

24 MR. WEBER: Your Honor, so the aggregate of all
25 costs would be --

1 THE COURT: In other words, the -- every felony
2 there's a standard cost of \$550. What I'm saying is
3 I'll run that concurrent. So there's going to be one
4 \$500 -- 550 fee. There's also going to be a \$7 fee
5 for DNA and a \$100 State Attorney's fee for
6 prosecuting the case. So that's just --

7 MR. WEBER: So \$657 would be the aggregate.

8 THE COURT: Yeah. It's the costs -- court
9 costs, basically.

10 MR. WEBER: I understand.

11 (Attorney/client conference.)

12 THE COURT: Counsel for the State, the way this
13 memorandum headline negotiated title -- negotiated
14 plea terms, this is the order in which the sentences
15 are to be served; is that correct? Subparagraph 2, A
16 through M.

17 MS. BAUER: Correct, Your Honor.

18 THE COURT: So --

19 MS. BAUER: Those should follow what's in the
20 spreadsheet.

21 THE COURT: Okay. All right.

22 MS. BAUER: Of course, each count, as indicated
23 in the spreadsheet, has an amount of restitution
24 attached to it.

25 THE COURT: Okay. All right. Have we heard

1 from our bondsman yet?

2 MR. WEBER: Not yet, Your Honor.

3 MS. BAUER: While he's looking at that, Your
4 Honor, my understanding too is not only did the
5 defendant sign the negotiated plea agreement and the
6 letter from him, but he -- I believe either initialed
7 and dated or signed and dated --

8 THE COURT: Okay.

9 MS. BAUER: -- each page of the spreadsheet.

10 THE COURT: All right. We can go ahead and take
11 the plea at this point. And we'll wait -- I have no
12 doubt your word, Mr. Weber. So, we'll just go ahead
13 and hopefully we'll see something --

14 MR. WEBER: I'm not sure Mr. Estes uses email a
15 lot and my email address is very long. So I'm hoping
16 he got it correctly.

17 THE COURT: A lot of people don't use email. So
18 let's -- but we'll -- you're an officer of the Court
19 and I'll take your word at it right now.

20 MR. WEBER: Thank you, Your Honor.

21 THE COURT: All right. Have we executed a plea
22 form?

23 MR. WEBER: We have, Your Honor. The only blank
24 in the plea form was the sentencing date. Other than
25 that everything is complete.

1 THE COURT: Okay. When do you guys want to come
2 back? It will be after May 1, right?

3 MR. WEBER: Correct, Your Honor. I'm wide open
4 that week and the next.

5 THE COURT: Okay. How about -- how about if we
6 set it for Friday, May 12th at 8:30?

7 MR. WEBER: I'm clear with that, Your Honor.

8 MS. BAUER: That should be --

9 THE COURT: Is that going to give everybody
10 enough time to get everything done?

11 MR. WEBER: Yes, Your Honor.

12 MS. BAUER: May 12th at 8:30?

13 THE COURT: Yep.

14 MS. BAUER: 8:30.

15 THE COURT: I want to get going first thing in
16 the morning.

17 Okay. Mr. Weber, if that's completed, show it
18 to the State if you would and we'll --

19 MR. WEBER: I believe she's reviewed it, but
20 I'll let her review the entire package.

21 THE COURT: Okay. Mr. Weber, if you've got the
22 plea form done, I'll take it.

23 Okay. Thank you. Why don't you have your
24 client step up to the lectern?

25 MS. BAUER: Your Honor, while he's doing that,

1 may I approach and get my copies of the documents I
2 gave you?

3 THE COURT: Sure.

4 MS. BAUER: Thanks.

5 THE COURT: Here you go.

6 MS. BAUER: Thank you.

7 THE COURT: All right. Let me take a look at
8 this.

9 Okay. How many counts are there total?

10 MR. WEBER: Sixty-eight, Your Honor.

11 MS. BAUER: Sixty-eight.

12 THE COURT: Sixty-eight. And they're -- half of
13 them are failure to register securities and half are
14 failure of dealer, associated person, or issuer of
15 securities to register; is that correct?

16 MR. WEBER: That's correct, Your Honor.

17 MS. BAUER: Correct, Your Honor.

18 THE COURT: Okay. Mr. Roth, if you would please
19 raise your right hand.

20 (Defendant sworn.)

21 THE COURT: You are -- let's see here -- Allan
22 Michael Roth; is that correct?

23 THE DEFENDANT: Yes, Your Honor.

24 THE COURT: And today in case number CRC15-
25 02055CFANO you're pleading guilty to a 68-count

1 information, 34 counts of which is third-degree
2 felony failure to register securities and 34 counts
3 of which is third-degree felony failure of dealer,
4 associated person, or issuer of securities to
5 register. Is that correct?

6 THE DEFENDANT: Yes, Your Honor.

7 THE COURT: All right. And the agreed upon
8 disposition for this case, if you show up on time, in
9 a sober condition, with no new charges on the
10 sentencing date we've picked of May 12th at 8:30 in
11 the morning here in this courtroom is as outlined in
12 this signed memo titled Negotiated Plea Terms. Is
13 that correct?

14 THE DEFENDANT: Yes, Your Honor.

15 THE COURT: And in addition to that there'd also
16 be concurrent \$550 fines and costs, \$7 DNA, \$100
17 State Attorney's fee; that is 550 concurrent on each
18 of the counts; one time payment. There's \$7 DNA,
19 \$100 State Attorney's fee, and you'll be adjudicated
20 guilty on all of those counts, correct?

21 THE DEFENDANT: Yes, Your Honor.

22 THE COURT: And do you understand that if you
23 fail to show up on time, in a sober condition, with
24 no new charges, that is if you violate on any one of
25 those three terms, that your plea today will function

1 as an open plea; do you understand that?

2 THE DEFENDANT: Yes, Your Honor.

3 THE COURT: And that would expose you to the
4 equivalent of 340 years' worth of prison; do you
5 understand that?

6 THE DEFENDANT: Yes, Your Honor.

7 THE COURT: Okay. As I go through the plea
8 colloquy if I ask you a question that you don't hear
9 or don't understand, please let me know and I'll
10 explain it or repeat the question as required. If
11 you need to stop the plea colloquy for any reason,
12 such as to speak with your attorney, Mr. Weber, just
13 let me know and I'll give you whatever time you need;
14 do you understand?

15 THE DEFENDANT: Yes, Your Honor.

16 THE COURT: All right. Are you able to
17 understand, read, and write in the English language?

18 THE DEFENDANT: Yes, sir.

19 THE COURT: Are you under the influence of any
20 prescription medication, alcohol, or any other drug
21 which is affecting your ability to understand these
22 proceedings?

23 THE DEFENDANT: No, Your Honor.

24 THE COURT: Do you have a history of mental
25 illness?

1 THE DEFENDANT: No, Your Honor.

2 THE COURT: In looking at the plea form and
3 attachments that we have here, it appears that the
4 negotiated disposition is summarized below paragraph
5 number eight and the last page of the plea form is
6 signed; is this your signature, Mr. Roth?

7 THE DEFENDANT: Yes, Your Honor.

8 THE COURT: On the other pages of the plea form,
9 in the lower right hand corner, there are initials;
10 are those your initials?

11 THE DEFENDANT: Yes, Your Honor.

12 THE COURT: Have you gone over this plea form
13 completely with your attorney?

14 THE DEFENDANT: Yes, sir.

15 THE COURT: Do you understand everything that's
16 printed and handwritten on this plea form?

17 THE DEFENDANT: Yes, sir.

18 THE COURT: Do you understand the nature of the
19 offenses you're pleading guilty to --

20 THE DEFENDANT: Yes, Your Honor.

21 THE COURT: -- and what the maximum possible
22 penalty is for each?

23 THE DEFENDANT: I do.

24 THE COURT: Are you satisfied with the advice
25 and representation of your attorney?

1 THE DEFENDANT: Yes, Your Honor.

2 THE COURT: And you understand that if you
3 wanted to, instead of entering the plea you're
4 entering today you can set this case for trial and
5 actually go to trial with this case; do you
6 understand that?

7 THE DEFENDANT: Yes, Your Honor.

8 THE COURT: And do you understand that if you
9 exercise your right to take this case to trial that
10 you would also have the right to be tried by a jury,
11 the right to the assistance of counsel, the right to
12 compel the attendance of witnesses on your behalf,
13 the right to confront and cross-examine witnesses
14 against you, and the right not to testify or be
15 compelled to incriminate yourself?

16 THE DEFENDANT: Yes, I do, Your Honor.

17 THE COURT: Do you understand that by your plea
18 you're giving up the right to appeal all matter
19 relating to judgment including the issue of guilt or
20 innocence?

21 THE DEFENDANT: I understand, Your Honor.

22 THE COURT: Do you understand that by pleading
23 guilty you're waiving the right to trial and that
24 there will not be a trial in this case?

25 THE DEFENDANT: Yes, Your Honor.

1 THE COURT: I'm required to advise you,
2 Mr. Roth, that if you are not a citizen of the United
3 States, a finding of guilt by the Court and the
4 acceptance of your plea of guilty may have the
5 additional consequence of changing your immigration
6 status including deportation or removal from the
7 United States. That you should consult with counsel
8 if you need additional information concerning the
9 potential deportation consequences of a plea, and
10 that if you have not discussed the potential
11 deportation consequences with your attorney, you'll
12 be allowed a reasonable amount of time to permit you
13 to consider the appropriateness of a plea in light of
14 this advisement. Do you understand that?

15 THE DEFENDANT: Yes, Your Honor.

16 THE COURT: On the second page of the plea form
17 submitted by your attorney, Mr. Weber, paragraph
18 number 14 reads as follows: "I understand that if
19 I've ever been convicted of or plead guilty or no
20 contest to a sexually violent or sexually motivated
21 offense, or if I'm required to register as a sexual
22 offender, or if I've ever been placed in the custody
23 of the Department of Children and Families for
24 evaluation as a sexual violent predator, I may be
25 subject to a civil commitment proceeding for sexually

1 violent predators as a result of this plea.”

2 Has your attorney gone over that paragraph with
3 you?

4 THE DEFENDANT: Yes, Your Honor.

5 THE COURT: Do you understand that paragraph?

6 THE DEFENDANT: Yes.

7 THE COURT: Has counsel for the defense reviewed
8 discovery disclosed by the State?

9 MR. WEBER: I have, Your Honor.

10 THE COURT: Has this discovery included a
11 listing or description of physical items of evidence?

12 MR. WEBER: It has.

13 THE COURT: Has counsel reviewed the nature of
14 this evidence with the defendant?

15 MR. WEBER: I have.

16 THE COURT: Is the defendant, counsel for the
17 defendant, or counsel for the State aware of any
18 physical evidence containing DNA that could exonerate
19 the defendant?

20 MS. BAUER: No, Your Honor.

21 MR. WEBER: No, Your Honor.

22 THE COURT: After everything we've discussed,
23 Mr. Roth, do you still wish to enter this plea of
24 guilty and believe that it is in your best interest
25 to do so?

1 THE DEFENDANT: Yes, sir.

2 THE COURT: Are you entering this plea of
3 guilty, freely, knowingly, and voluntarily?

4 THE DEFENDANT: Yes, sir.

5 THE COURT: Counsel for the State, if you would,
6 please provide a factual basis for this plea?

7 MS. BAUER: Your Honor, these offenses occur
8 between January 1, 2012 and May 2, 2012 in Pinellas
9 County, Florida, at various locations including his
10 home and place of business.

11 During that time period, Your Honor, the
12 defendant unlawfully sold or offered to sell
13 securities to 20 different investors during 34
14 separate transactions and said securities from a
15 company called BizRocket.com were not registered as
16 required by Chapter 517.

17 Also during that same time period, Your Honor,
18 the defendant did unlawfully sell or offer to sell
19 from an office within this state those BizRocket.com
20 securities to 20 different investors during 34
21 separate transactions while the defendant was acting
22 as a dealer, associated person, or issuer of the
23 securities and those securities were not registered
24 as required by Chapter 517.

25 The evidence in this case revealed 34 separate

1 checks payable to JACO Financial, a company owned by
2 and operated in Pinellas County operated by a man
3 named Jack Augsback.

4 The defendant -- evidence shows the defendant
5 was employed by and associated with JACO Financial
6 and authorized to act on behalf of that company. And
7 while employed by JACO that's when the defendant
8 reached out to former clients.

9 The defendant was a licensed stockbroker for
10 over 20 years and he gave up that license in 2011.
11 And it was, again, beginning in January of '12 when
12 he reached out to some customers old -- that he
13 hadn't talked to in a long time and that's when he
14 pitched the idea of the BizRocket stock and sold
15 those securities.

16 The evidence in this case also shows, Your
17 Honor, that all of the investor funds totaling over
18 -- it's \$295,465.69. The investors would have
19 testified that the defendant instructed them to make
20 the checks payable to JACO Financial and the
21 defendant received the checks and passed them on.
22 Those checks were deposited into the JACO bank
23 account.

24 The evidence also shows there's a certificate --
25 certificates that we received from the State of

1 Florida, which shows that the defendant was not
2 registered during the time period, Jack Augsback was
3 not registered to sell securities, JACO Financial was
4 not registered, and that the BizRocket.com security
5 was not registered. And we would have had a witness
6 testify to that had we gone forward with the trial.

7 The evidence shows that the defendant was
8 working and residing in Pinellas County when he sold
9 these stocks -- the BizRocket stocks.

10 Also, Your Honor, there -- the defendant
11 identified himself to the investors or provided
12 documentation to the investors which shows that,
13 again, he worked for or was authorized to act on
14 behalf of JACO Financial.

15 These are strict liability crimes and the State
16 was prepared to put on all the investors to testify
17 that they did -- that the defendant sold the
18 BizRocket shares to them, he pitched it to them, and
19 it was based on the representations he made that they
20 turned the money over to the defendant.

21 And, again, the defendant was not licensed and
22 the securities were not registered as required under
23 Chapter 517.

24 THE COURT: Okay. Thank you.

25 Attached to the plea form executed by the

1 defendant is a two-page document titled Negotiated
2 Plea Terms with paragraphs 1 and 2, that is 2A
3 through M.

4 Mr. Roth, is this your signature on this
5 document?

6 THE DEFENDANT: Yes, Your Honor.

7 THE COURT: And, Mr. Weber, you've also signed
8 this document.

9 MR. WEBER: I have, Your Honor.

10 THE COURT: This lays out the negotiated plea
11 terms if Mr. Roth shows up on time in a sober
12 condition with no new charges on May 12; is that
13 correct?

14 MR. WEBER: It does, Your Honor.

15 THE COURT: And then there's another document
16 entitled State of Florida versus Allan Michael Roth,
17 2015-02055CFANO and this appears to be an agreement
18 to pay restitution in a total amount of \$293,145.69.
19 Mr. Roth, is this your signature?

20 THE DEFENDANT: Yes, Your Honor.

21 THE COURT: And this is also incorporated as
22 part of the plea today.

23 There's also a multi-page spreadsheet; oversized
24 spreadsheet. Mr. Roth, are these your initials up
25 here?

1 THE DEFENDANT: Yes, Your Honor.

2 THE COURT: Who else's initials are there?

3 MR. WEBER: Those are mine in the top right
4 corner.

5 THE COURT: And, Mr. Weber you -- and Mr. Roth,
6 this spreadsheet lays out the way the restitution is
7 supposed to be paid as well as what the length of
8 probation or Department of Corrections time there
9 will be for each count. Is that your understanding?

10 THE DEFENDANT: Yes, Your Honor.

11 THE COURT: And this is what -- this is
12 incorporated into your plea agreement; is that
13 correct?

14 THE DEFENDANT: Yes, Your Honor.

15 THE COURT: Okay. All right. In addition to
16 all of that, as I said before, you understand that
17 you'll be adjudicated guilty on each count, assessed
18 \$550 fines and costs, that's one time for -- it's
19 concurrent for all 68 counts. There will be a
20 onetime \$7 for DNA and \$100 State Attorney fee.

21 Do you understand all of that?

22 THE DEFENDANT: Yes, sir.

23 THE COURT: Okay. All right. And you
24 understand that again if you fail to appear, on time,
25 if you're not in a sober condition, if you've picked

1 up any new charges, then today's plea will function
2 as an open plea and the Court will be able to
3 sentence you to any lawful sentence; do you
4 understand that?

5 THE DEFENDANT: Yes, sir.

6 THE COURT: And do you understand that the
7 presumptive minimum in this case, that is the State
8 is agreeing to a downward departure and that the
9 presumptive minimum would be 14.7185 years; is that
10 your understanding?

11 THE DEFENDANT: Yes, sir.

12 THE COURT: So that means that if you show up on
13 time, in a sober condition, with no new charges, the
14 State is going to agree to a downward departure and
15 then in all of the attached documents to the plea
16 form will lay out what the disposition will be; you
17 understand that? Mr. Roth.

18 THE DEFENDANT: Yes. When you said
19 14-and-a-half that's the minimum but that's --

20 THE COURT: Presumptive minimum.

21 THE DEFENDANT: Okay. Yes. I understand.

22 THE COURT: That means that if you -- if there
23 was no negotiated disposition, that the starting
24 point for the Court --

25 THE DEFENDANT: Yes, sir.

1 THE COURT: -- absent any lawful basis for
2 departure would be that figure. And then it would go
3 up to the statutory maximum.

4 THE DEFENDANT: I understand.

5 THE COURT: But this agreement preempts all of
6 that and that if you show up on time, in a sober
7 condition, with no new charges, this -- these
8 documents encompass what the disposition you'll
9 receive will be.

10 The Court will accept the plea finding there is
11 a sufficient factual basis for the plea. You, sir,
12 to be alert and intelligent, that the change of plea
13 is entered freely and voluntarily, that you
14 understand the rights you have, the rights that you
15 are voluntarily giving up, and the consequences of
16 your plea and that you've been represented by able
17 trial counsel with whom you are satisfied.

18 THE DEFENDANT: Yes, sir.

19 THE COURT: We are going to continue sentencing
20 until May 12 at 8:30 in the morning in this
21 courtroom.

22 I anticipate that this will be the very first
23 thing that we will take care of and it will certainly
24 be the priority.

25 Now, Mr. Weber, have you heard back from

1 Mr. Estes?

2 MR. WEBER: Let me check that, Your Honor.

3 THE COURT: And, Counsel for the State, I need
4 you to sign the plea form if you would?

5 MS. BAUER: Yes, Your Honor.

6 MR. WEBER: No email yet, Your Honor. I can try
7 him on the phone, again; verify that email address.

8 THE COURT: Okay.

9 MS. BAUER: Maybe we can call from here.

10 THE COURT: Why don't you call from here and
11 then you can use the phone right here if you want.
12 You can give me the number.

13 MR. WEBER: That would be good.

14 Its 571 --

15 THE DEFENDANT: Actually, I have his cell
16 number.

17 MR. WEBER: -- 9999.

18 THE DEFENDANT: That's the next number down.

19 (The Court contacted Mr. Estes via telephone)

20 UNIDENTIFIED SPEAKER: Al Estes bonding.

21 THE COURT: Yeah, this is Judge Burgess in
22 Circuit Court. I'm looking for Mr. Estes.

23 UNIDENTIFIED SPEAKER: Just a moment, sir.

24 MR. ESTES: Hello.

25 THE COURT: Mr. Estes, this is Judge Burgess.

1 How are you today?

2 MR. ESTES: Oh fair-to-middling.

3 THE COURT: Are you going to stay on the bond
4 for Mr. Roth while he's --

5 MR. ESTES: Yes.

6 THE COURT: Okay.

7 MR. ESTES: Yes.

8 THE COURT: All right.

9 MR. ESTES: I'm fixing to send over -- the
10 attorney requested me to send him a deal that I would
11 continue on those bonds.

12 THE COURT: Okay. All right. Well, your word
13 is good for me.

14 MR. ESTES: The -- you know he -- right after I
15 wrote that bond he went out to Oregon and he came
16 back. So, of course he wasn't found guilty of
17 anything yet either.

18 THE COURT: Okay. All right.

19 MR. ESTES: So I'm going to go ahead and stay on
20 it. He's got a nice family.

21 THE COURT: Okay. All right, Mr. Estes. Thanks
22 a lot. You have a good day.

23 MR. ESTES: Thank you. Bye.

24 (Telephone call ended.)

25 THE COURT: Okay. All right. We're good to go.

1 We'll see you on May 12th at 8:30 in the morning,
2 sir.

3 THE DEFENDANT: We'll be early.

4 THE COURT: Right.

5 MS. BAUER: Your Honor, I can't pull up my
6 Outlook for some reason. Do you mind if I call my
7 secretary real quick? I just want to double check
8 that date.

9 THE COURT: Go ahead and call.

10 MS. BAUER: Thank you.

11 THE COURT: Madam Clerk, I'm going to give you
12 all this stuff so we can put it all together.

13 THE CLERK: Okay. Are you wanting me to retain
14 this for --

15 THE COURT: Yes.

16 Because it's now public record. I can't hold on
17 to a public record.

18 Okay. Are we all set?

19 MS. BAUER: Yes, Your Honor.

20 MR. WEBER: Yes. May 12th, Your Honor.

21 THE COURT: All right. You guys have a good
22 day.

23 (Proceedings concluded.)

24

25

CERTIFICATE OF COURT REPORTER

STATE OF FLORIDA

COUNTY OF PINELLAS

I, Mary Tolson, a digital court reporter for the Sixth Judicial Circuit, do hereby certify that I was authorized to and did transcribe the foregoing proceedings and that the transcript is a true and correct record of said proceedings.

DATED this 28th day of September, 2017.

/S Mary J. Tolson

Mary J. Tolson
Digital Court Reporter
Sixth Judicial Circuit Court

R
1

IN THE CIRCUIT COURT, SIXTH JUDICIAL CIRCUIT,
IN AND FOR PINELLAS COUNTY FLORIDA
DIVISION: FELONY

UCN : S22015CF002055000APC

REF No. : 15-02055-CF - C

OBTS NUMBER _____

STATE OF FLORIDA
VS.
ALLAN MICHAEL ROTH
Defendant
PERSON ID: [REDACTED]
SS#: [REDACTED]

FILED
JUN 12 2017
KEN BURKE
CLERK OF CIRCUIT COURT

JUDGMENT

The Defendant, ALLAN MICHAEL ROTH, being personally before this court represented by
TIMOTHY W WEBER the attorney of record, and the state represented by RENE MARIE BAUER, Assistant
State Attorney, and having:

entered a plea of guilty to the following crime(s)

COUNT	CRIME	OFFENSE STATUTE NUMBER (S)	DEGREE OF CRIME
01,03,05,07,09,11,13,15, 17,19,21,23,25,27,29,31 33,35,37,39,41,43,45,47, 49,51,53,55,57,59,61,63, 65,67	FAILURE TO REGISTER SECURITIES	517.07	3F
02,04,06,08,10,12,14, 16,18,20,22,24,26,28, 30,32,34,36,38,40,42, 44,46,48,50,52,54,56, 58,60,62,64,66,68	FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER	517.12	3F

X and no cause being shown why the defendant should not be adjudicated guilty, IT IS ORDERED
THAT the Defendant is ADJUDICATED GUILTY of the above crime(s).

(ICD-JDMT-III 17027602)

RETURN TO:
CRIMINAL COURT RECORDS

CIG

EXHIBIT
4

Defendant : ALLAN MICHAEL ROTH

UCN : 522015CF002055000APC
REF No. : 15-02055-CF - C

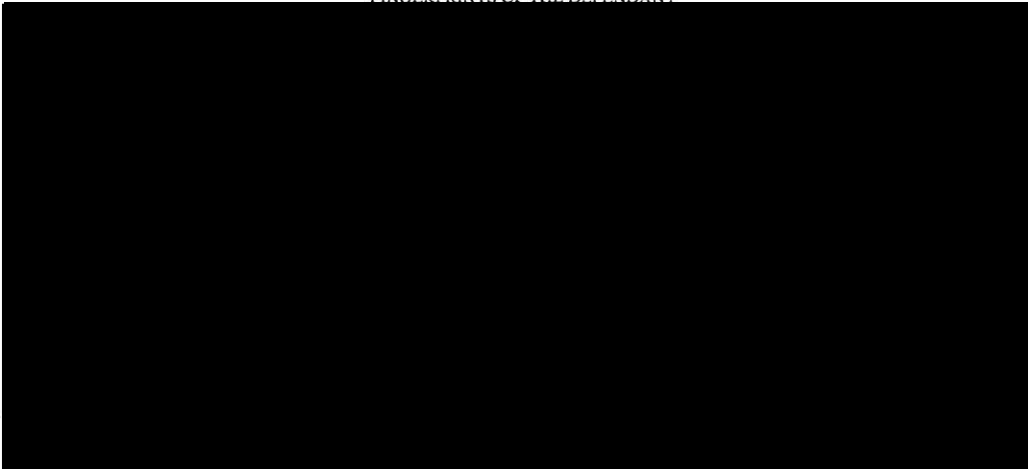
The Defendant in Open Court was advised of the right to appeal from this Judgment by filing notice of appeal with the Clerk of the Court within thirty days following the date sentence is imposed or probation is ordered pursuant to this adjudication. The Defendant was also advised of the right to the assistance of counsel in taking said appeal at the expense of the State upon showing of indigency.

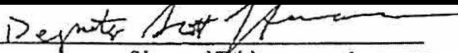
DONE AND ORDERED in open court in Pinellas County, Florida on June 12, 2017.



JUDGE

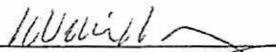
FINGERPRINTS OF THE DEFENDANT





(Name and Title) 01360030

I HEREBY CERTIFY that the above and foregoing fingerprints on this judgment are the fingerprints of the defendant, ALLAN MICHAEL ROTH, and that they were placed thereon by the defendant in my presence in open court this day.



JUDGE

Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF003055000APC
REF No.: 15-02055-CF - C

OBTS Number

SENTENCE

(as to Count 01)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF002035000APC
REF No.: 15-02055-CF - C

OBTS Number

SENTENCE

(as to Count 03)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, **TIMOTHY W WEBER**, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 5 Years.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Please see the last page of this document for other provisions.

Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF002055000APC
REF No.: 15-02055-CF - C

OBTS Number

SENTENCE

(as to Count 04)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, **TIMOTHY W WEBER**, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 5 Years.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 3 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 122015CF002055000APC
REF No.: 15-02055-CF - C

OBTS Number

SENTENCE

(as to Count 05)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, **TIMOTHY W WEBER**, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 52201SCF002055000APC
REF No.: 15-02035-CF - C

OBTS Number

SENTENCE

(as to Count 07)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 512015CF002055000APC
REF No.: 15-02035-CF - C

OBTS Number

SENTENCE

(as to Count 11)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF002055000APC
REF No.: 15-02055-CF - C

OBTS Number

SENTENCE

(as to Count 15)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF002035000APC
REF No.: 15-02635-CF - C

OBTS Number

SENTENCE

(as to Count 17)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF02055000APC
REF No.: 19-02855-CF - C

OBTs Number

SENTENCE

(as to Count 21)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: S22015CF002055000APC
REF No.: 15-02035-CF - C

OBTS Number

SENTENCE

(as to Count 23)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF02055000APC
REF No.: 15-02055-CF - C

OBTS Number

SENTENCE

(as to Count 27)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF002055000APC
REF No.: 15-02055-CF - C

OBTS Number _____

SENTENCE

(as to Count 31)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF002055000APC
REF No.: 15-02055-CF - C

OBTS Number

SENTENCE

(as to Count 33)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run consecutive with the sentence set forth in count 3

Defendant: ALLAN MICHAEL ROTH

UCN: S2201SCF002055000APC
REF No.: 15-02055-CF - C

OBTS Number

SENTENCE

(as to Count 35)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF002055000APC
REF No.: 15-02055-CF - C

OBTS Number

SENTENCE

(as to Count 37)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As It is further ordered that the sentence imposed for this count shall
To Other Counts run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF002053000APC
REF No.: 15-02035-CF - C

OBTS Number

SENTENCE

(as to Count 39)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTB

UCN: 522015CF002055000APC
REF No.: 15-02035-CF - C

OBTS Number

SENTENCE

(as to Count 41)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF002055000APC
REF No.: 15-02055-CF - C

OBTS Number

SENTENCE

(as to Count 45)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF002055000APC
REF No.: 15-02055-CF - C

OBTS Number

SENTENCE

(as to Count 47)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, **TIMOTHY W WEBER**, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: S22015CF002055000APC
REF No.: 15-02055-CF - C

OBTS Number

SENTENCE

(as to Count 59)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

The Defendant is to be imprisoned for a term of 1 Year 1 Day.

Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF002055000APC
REF No.: 15-02055-CF - C

OBTS Number

SENTENCE

(as to Count 67)

The defendant, being personally before the court, accompanied by the defendant's attorney of record, TIMOTHY W WEBER, and having been adjudicated guilty, and the court having given the defendant an opportunity to be heard and to offer matters in mitigation of sentence, and to show cause why the defendant should not be sentenced as provided by law, and no cause being shown,

It Is the Sentence Of the Court That:

The Defendant pay total statutory costs in the amount of \$650.00 , inclusive of, \$100.00 as a Costs of Prosecution assessment. These assessments are concurrent with Count 1.

The Defendant is committed to the custody of the Department of Corrections.

Unless otherwise prohibited by law, the Sheriff is authorized to release the Defendant on electronic monitoring or other sentencing programs subject to the Sheriff's discretion.

To Be Imprisoned:

- : The Defendant is to be imprisoned for a term of 1 Year 1 Day.
- : Followed by a period of 3 Years 364 Days Probation under the supervision of the Department of Corrections according to the terms and conditions of supervision set forth in a separate order entered.

In the event the defendant is ordered to serve additional split sentences, all incarceration portions shall be satisfied before the defendant begins service of the supervision terms.

SPECIAL PROVISIONS

By appropriate notation, the following provisions apply to the sentence imposed:

Mandatory/Minimum Provisions:

No Mandatory/Minimum provisions are imposed on this count.

Other Provisions:

Consecutive/Concurrent As To Other Counts It is further ordered that the sentence imposed for this count shall run concurrent with the sentence set forth in count 33 of this case.

Defendant: ALLAN MICHAEL ROTH

UCN: 527015CF002055060APC
REF No.: 15-02055-CF - C

OBTS Number

Other Provisions: (continued)

Jail Credit

It is further ordered that the defendant shall be allowed a total of 3 Days as credit for time incarcerated before imposition of this sentence.

It is further ordered that:

Restitution is ordered as follows:

\$2000.00 to

OAKHURST, CA

\$1000.00 to

LAND O'LAKES, FL

\$4800.00 to BRENNER, MARC S

MAITLAND, FL

\$4800.00 to

EDGERTON, WI

\$2000.00 to

TAMPA, FL

\$3800.00 to

TAMPA, FL

\$2000.00 to

BOONTON, NJ

\$3800.00 to

MARY ESTHER, FL

PALM HARBOR, FL

\$4800.00 to

PALM COAST, FL

\$1200.00 to

CATLIN, IL

\$10800.00 to

SAFETY HARBOR, FL

\$3800.00 to

PO BOX

(GCD-SENTENCE 17029191)

Defendant: ALLAN MICHAEL ROTH

UCN: S12015CF002055000APC
REF No.: 15-02055-CF-C

OBTS Number

LEONORE, IL 61332.

\$8200.00 to [REDACTED]

C/O SHAPLAND MANAGEMENT COMPANY, 1203 S. MATTIS AVENUE
CHAMPAIGN, IL 61821.

\$7800.00 to [REDACTED]

ST PETERSBURG, FL

\$7800.00 to [REDACTED]

\$21800.00 to [REDACTED]

LUTZ, FL

\$7800.00 to [REDACTED]

MONTEREY, CA

\$2345.69 to [REDACTED]

BEAR, DE

\$500.00 to [REDACTED]

OAKHURST, CA.

\$5200.00 to [REDACTED]

MAITLAND, FL

\$1000.00 to [REDACTED]

EDGERTON, WI

\$200.00 to [REDACTED]

EDGERTON, WI

\$1000.00 to [REDACTED]

TAMPA, FL

\$500.00 to [REDACTED]

TAMPA, FL

\$500.00 to [REDACTED]

BOONTON, NJ.

\$1500.00 to [REDACTED]

TAMPA, FL

\$700.00 to [REDACTED]

(ICD-SENTENCE 17029191)

Defendant: ALLAN MICHAEL ROTR

UCN: 522015CF062055000APC
REF No.: 15-02055-CF - C

OBTS Number

TAMPA, FL
\$1200.00 to

MARY ESTHER, FL
\$11000.00 to

APT

PALM HARBOR, FL
\$1000.00 to

APT

PALM HARBOR, FL
\$1000.00 to

PALM COAST, FL
\$200.00 to

PALM COAST, FL
\$4000.00 to

EDGERTON, WI
\$9200.00 to

SAFETY HARBOR, FL
\$3200.00 to

P O BOX

LEONORE, IL

\$5200.00 to

C/O SHAPLAND MGMT. CO.,

CAHMPAIGN, IL

\$6200.00 to

ST PETERSBURG, FL

\$4000.00 to

C/O FRESNO CTY GUARDIA,

FRESNO, CA

\$800.00 to

C/O FRESNO CTY GUARNIA,

FRESNO, CA

\$5200.00 to

PALM HARBOR, FL

\$5000.00 to

LUTZ, FL

\$2400.00 to

LUTZ, FL

Defendant: ALLAN MICHAEL ROTH

UCN: 523015CF002055000APC
REF No.: 15-02035-CF - C

OBTS Number

\$20000.00 to [REDACTED]

LUTZ, FL [REDACTED]
\$5000.00 to [REDACTED]

LUTZ, FL [REDACTED]
\$2500.00 to [REDACTED]

MONTEREY, CA [REDACTED]
\$2500.00 to [REDACTED]

MONTEREY, CA [REDACTED]
\$2200.00 to [REDACTED]

MONTEREY, CA [REDACTED]
\$500.00 to [REDACTED]

TAMPA, FL [REDACTED]
\$20000.00 to [REDACTED]

[REDACTED] APT [REDACTED]
PALM HARBOR, FL [REDACTED]
\$4000.00 to [REDACTED]

PALM COAST, FL [REDACTED]
\$3500.00 to [REDACTED]
C/O FRESNO CTY GUARDIA [REDACTED]
FRESNO, CA [REDACTED]
\$12000.00 to [REDACTED]

PALM HARBOR, FL [REDACTED]

Restitution to State:

If applicable, you must make payment of any debt due and owing to the state under section 960.17 and 948.03(1)(h) Florida Statutes. The amount of such debt shall be determined by the Court at a later date upon final payment of the Crimes Compensation Trust Fund on behalf of the victim.

In the event the above sentence is to the Department of Corrections, the Sheriff of Pinellas County, Florida, is hereby ordered and directed to deliver the defendant to the Department of Corrections at the facility designated by the department together with a copy of this judgment and sentence and any other documents specified by Florida Statute.

The defendant in open court was advised of the right to appeal from this sentence by filing a notice of appeal within 30 days from this date with the clerk of the court and the defendant's right to the assistance of counsel in taking the appeal at the expense of the state on showing of indigency.

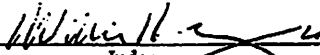
Defendant: ALLAN MICHAEL ROTH

UCN: 522015CF002045000APC
REF No.: 15-02035-CF - C

OBTS Number _____

In imposing this sentence, the court further orders:
The defendant shall pay a \$7.00 fee to the Pinellas County Sheriff's Office for DNA testing.

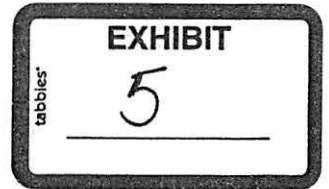
DONE AND ORDERED in open court at Clearwater, Pinellas County, Florida on June 12, 2017.



Judge

REGISTER OF ACTIONS

CASE NO. 15-02055-CF



Order Documents! [Click Here!](#)

Request Now! Including Certified!

STATE OF FLORIDA vs. ROTH, ALLAN MICHAEL

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Case Type: DIRECT INFORMATION - FELONY
Date Filed: 02/24/2015
Location: Division C
Judicial Officer: BURGESS, WILLIAM H, III
UNIFORM CASE NUMBER: 522015CF002055000APC

PARTY INFORMATION

Attorneys

BONDSMAN/DIAL ESTES BONDING AGENCY INC
5019 ULMERTON RD
CLEARWATER, FL 33760
Removed: 06/12/2017
DISCHARGE OF SURETY BOND

DEFENDANT ROTH, ALLAN MICHAEL
[REDACTED]
PO BOX [REDACTED]
RAIFORD, FL [REDACTED]
Other Agency Numbers
[REDACTED] TRUE SPN

Male White
DOB: [REDACTED]
6' 0", 180 lbs

TIMOTHY W WEBER, ESQ

WEBER CRABB WEIN P A
5453 CENTRAL AVE
ST PETERSBURG, FL 33740

727-828-9949(W)

STATE STATE OF FLORIDA

RENE MARIE BAUER

STATE ATTORNEY'S OFFICE
PO BOX 5028
CLEARWATER, FL 33758

727-464-6221(W)

CHARGE INFORMATION - (CHECK PCSO FOR CUSTODY INFO)

Charges: ROTH, ALLAN MICHAEL	Statute	Level	Date
1. FAILURE TO REGISTER SECURITIES	517.07/517.302	FELONY - 3RD DEGREE	02/01/2012
2. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER	517.12/517.302	FELONY - 3RD DEGREE	02/01/2012
3. FAILURE TO REGISTER SECURITIES	517.07/517.302	FELONY - 3RD DEGREE	01/31/2012
4. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER	517.12/517.302	FELONY - 3RD DEGREE	01/31/2012
5. FAILURE TO REGISTER SECURITIES	517.07/517.302	FELONY - 3RD DEGREE	02/03/2012
6. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER	517.12/517.302	FELONY - 3RD DEGREE	02/03/2012
7. FAILURE TO REGISTER SECURITIES	517.07/517.302	FELONY - 3RD DEGREE	02/01/2012
8. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER	517.12/517.302	FELONY - 3RD DEGREE	02/01/2012
9. FAILURE TO REGISTER SECURITIES	517.07/517.302	FELONY - 3RD DEGREE	01/22/2012
10. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER	517.12/517.307	FELONY - 3RD DEGREE	01/22/2012
11. FAILURE TO REGISTER SECURITIES	517.07/517.302	FELONY - 3RD DEGREE	02/18/2012
12. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER	517.12/517.302	FELONY - 3RD DEGREE	02/18/2012
13. FAILURE TO REGISTER SECURITIES	517.07/517.302	FELONY - 3RD DEGREE	02/06/2012
14. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER	517.12/517.302	FELONY - 3RD DEGREE	02/06/2012
15. FAILURE TO REGISTER SECURITIES	517.07/517.302	FELONY - 3RD DEGREE	02/15/2012
16. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER	517.12/517.302	FELONY - 3RD DEGREE	02/15/2012

59. FAILURE TO REGISTER SECURITIES	517.07/517.302	FELONY - 3RD DEGREE	04/16/2012
60. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER	517.12/517.302	FELONY - 3RD DEGREE	04/14/2012
61. FAILURE TO REGISTER SECURITIES	517.07/517.302	FELONY - 3RD DEGREE	04/26/2012
62. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER	517.12/517.302	FELONY - 3RD DEGREE	04/26/2012
63. FAILURE TO REGISTER SECURITIES	517.07/517.302	FELONY - 3RD DEGREE	04/29/2012
64. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER	517.12/517.302	FELONY - 3RD DEGREE	04/29/2012
65. FAILURE TO REGISTER SECURITIES	517.07/517.302	FELONY - 3RD DEGREE	01/12/2012
66. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER	517.12/517.302	FELONY - 3RD DEGREE	01/12/2012
67. FAILURE TO REGISTER SECURITIES	517.07/517.302	FELONY - 3RD DEGREE	02/09/2012
68. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER	517.12/517.302	FELONY - 3RD DEGREE	02/09/2012

Bonds

SURETY BOND #FCS51461959 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:1
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283845;

SURETY BOND #FCS51461953 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:2
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283846;

SURETY BOND #FCS51461954 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:3
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283847;

SURETY BOND #FCS51461955 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:4
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283848;

SURETY BOND #FCS51461956 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:5
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283849;

SURETY BOND #FCS51461957 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:6
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283851;

SURETY BOND #FCS51461958 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:7
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283852;

SURETY BOND #FCS51461960 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:8
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283853;

1/23/2020

<https://ccmspa.pinellascounty.org/PublicAccess/CaseDetail.aspx?CaseID=16913159>

SURETY BOND #FCS51461961 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:9
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283854;

SURETY BOND #FCS51461962 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:10
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283855;

SURETY BOND #FCS51461971 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:11
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283856;

SURETY BOND #FCS51461972 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:12
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283857;

SURETY BOND #FCS51461974 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:14
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283859;

SURETY BOND #FCS51461975 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:15
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283860;

SURETY BOND #FCS51461973 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:13
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283858;

SURETY BOND #FCS51461976 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:16
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283861;

SURETY BOND #FCS51461977 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:17
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283862;

SURETY BOND #FCS51461978 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:18
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283863;

SURETY BOND #FCS51461979 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:19
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283864;

1/23/2020

<https://ccmspa.pinellascounty.org/PublicAccess/CaseDetail.aspx?CaseID=16913159>

SURETY BOND #FCS51461980 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:20
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283865;

SURETY BOND #FCS51461963 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:21
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283866;

SURETY BOND #FCS51461964 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:22
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283867;

SURETY BOND #FCS51461965 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:23
06/12/2017 Arrest Date
Comments: PCSO Receipt Number 000283868;

SURETY BOND #FCS51461966 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:24
06/12/2017 Arrest Date
Comments: PCSO Receipt Number 000283869;

SURETY BOND #FCS51461967 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:25
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283872;

SURETY BOND #FCS51461968 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:26
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283873;

SURETY BOND #FCS51461969 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:27
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283874;

SURETY BOND #FCS51461970 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:28
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283875;

SURETY BOND #FCS51461981 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:29
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283876;

SURETY BOND #FCS51461993 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:39
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283884;

SURETY BOND #FCS51461984 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:30
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283888;

SURETY BOND #FCS51461985 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:31
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283889;

SURETY BOND #FCS51461986 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:32
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283891;

SURETY BOND #FCS51461987 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:33
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283892;

SURETY BOND #FCS51461988 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:34
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283894;

SURETY BOND #FCS51461989 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:35
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283895;

SURETY BOND #FCS51461990 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:36
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283897;

SURETY BOND #FCS51461991 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:37
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283899;

SURETY BOND #FCS51461992 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:38
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283901;

SURETY BOND #FCS51461994 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:40
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283902;

SURETY BOND #FCS51461995 \$2,500
03/04/2015 OPEN BOND
06/12/2017 RELEASED BOND
Counts:41
03/03/2015 Arrest Date
Comments: PCSO Receipt Number 000283893;

SURETY BOND 03/04/2015 06/12/2017 Counts:42 03/03/2015 Comments:	#FCS51461996 OPEN BOND RELEASED BOND Arrest Date PCSO Receipt Number 000283896;	\$2,500
SURETY BOND 03/04/2015 06/12/2017 Counts:43 03/03/2015 Comments:	#FCS51461997 OPEN BOND RELEASED BOND Arrest Date PCSO Receipt Number 000283898;	\$2,500
SURETY BOND 03/04/2015 06/12/2017 Counts:44 03/03/2015 Comments:	#FCS51461998 OPEN BOND RELEASED BOND Arrest Date PCSO Receipt Number 000283900;	\$2,500
SURETY BOND 03/04/2015 06/12/2017 Counts:45 03/03/2015 Comments:	#FCS51461999 OPEN BOND RELEASED BOND Arrest Date PCSO Receipt Number 000283905;	\$2,500
SURETY BOND 03/04/2015 06/12/2017 Counts:46 03/03/2015 Comments:	#FCS51462000 OPEN BOND RELEASED BOND Arrest Date PCSO Receipt Number 000283908;	\$2,500
SURETY BOND 03/04/2015 06/12/2017 Counts:47 03/03/2015 Comments:	#FCS51462001 OPEN BOND RELEASED BOND Arrest Date PCSO Receipt Number 000283909;	\$2,500
SURETY BOND 03/04/2015 06/12/2017 Counts:48 03/03/2015 Comments:	#FCS51462002 OPEN BOND RELEASED BOND Arrest Date PCSO Receipt Number 000283911;	\$2,500
SURETY BOND 03/04/2015 06/12/2017 Counts:49 03/03/2015 Comments:	#FCS51462003 OPEN BOND RELEASED BOND Arrest Date PCSO Receipt Number 000283913;	\$2,500
SURETY BOND 03/04/2015 06/12/2017 Counts:50 03/03/2015 Comments:	#FCS51462004 OPEN BOND RELEASED BOND Arrest Date PCSO Receipt Number 000283915;	\$2,500
SURETY BOND 03/04/2015 06/12/2017 Counts:51 03/03/2015 Comments:	#FCS101462010 OPEN BOND RELEASED BOND Arrest Date PCSO Receipt Number 000283904;	\$2,500
SURETY BOND 03/04/2015 06/12/2017 Counts:52 03/03/2015 Comments:	#FCS101462011 OPEN BOND RELEASED BOND Arrest Date PCSO Receipt Number 000283906;	\$2,500

SURETY BOND #FCS101462012 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:53
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283907;

SURETY BOND #FCS101462013 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:54
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283910;

SURETY BOND #FCS101462014 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:55
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283912;

SURETY BOND #FCS101462015 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:56
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283914;

SURETY BOND #FCS101462016 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:57
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283917;

SURETY BOND #FCS101462017 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:58
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283919;

SURETY BOND #FCS101452720 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:60
 06/12/2017 Arrest Date
 Comments: PCSO Receipt Number 000283890;

SURETY BOND #FCS101462020 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:62
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283918;

SURETY BOND #FCS101462021 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:63
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283920;

SURETY BOND #FCS51462005 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:68
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283916;

SURETY BOND #FCS101462018 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:59
 06/12/2017 Arrest Date
 Comments: PCSO Receipt Number 000283922;

SURETY BOND #FCS101462019 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:61
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283924;

SURETY BOND #FCS101462022 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:64
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283921;

SURETY BOND #FCS101462023 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:65
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283923;

SURETY BOND #FCS101462024 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:66
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283925;

SURETY BOND #FCS101462025 \$2,500
 03/04/2015 OPEN BOND
 06/12/2017 RELEASED BOND
 Counts:67
 03/03/2015 Arrest Date
 Comments: PCSO Receipt Number 000283926;

EVENTS & ORDERS OF THE COURT

DISPOSITIONS

- 03/06/2017 **Plea** (Judicial Officer: BURGESS, WILLIAM H, III)
1. FAILURE TO REGISTER SECURITIES
CHANGED PLEA TO GUILTY
 2. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
CHANGED PLEA TO GUILTY
 3. FAILURE TO REGISTER SECURITIES
CHANGED PLEA TO GUILTY
 4. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
CHANGED PLEA TO GUILTY
 5. FAILURE TO REGISTER SECURITIES
CHANGED PLEA TO GUILTY
 6. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
CHANGED PLEA TO GUILTY
 7. FAILURE TO REGISTER SECURITIES
CHANGED PLEA TO GUILTY
 8. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
CHANGED PLEA TO GUILTY
 9. FAILURE TO REGISTER SECURITIES
CHANGED PLEA TO GUILTY
 10. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
CHANGED PLEA TO GUILTY
 11. FAILURE TO REGISTER SECURITIES
CHANGED PLEA TO GUILTY
 12. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
CHANGED PLEA TO GUILTY
 13. FAILURE TO REGISTER SECURITIES
CHANGED PLEA TO GUILTY
 14. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
CHANGED PLEA TO GUILTY
 15. FAILURE TO REGISTER SECURITIES
CHANGED PLEA TO GUILTY
 16. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
CHANGED PLEA TO GUILTY
 17. FAILURE TO REGISTER SECURITIES
CHANGED PLEA TO GUILTY
 18. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
CHANGED PLEA TO GUILTY
 19. FAILURE TO REGISTER SECURITIES
CHANGED PLEA TO GUILTY

62. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
CHANGED PLEA TO GUILTY
63. FAILURE TO REGISTER SECURITIES
CHANGED PLEA TO GUILTY
64. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
CHANGED PLEA TO GUILTY
65. FAILURE TO REGISTER SECURITIES
CHANGED PLEA TO GUILTY
66. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
CHANGED PLEA TO GUILTY
67. FAILURE TO REGISTER SECURITIES
CHANGED PLEA TO GUILTY
68. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
CHANGED PLEA TO GUILTY

06/12/2017 **Disposition** (Judicial Officer: BURGESS, WILLIAM H, III)

1. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
2. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
3. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
4. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
5. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
6. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
7. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
8. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
9. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
10. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
11. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
12. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
13. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
14. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
15. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
16. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
17. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
18. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
19. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
20. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
21. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
22. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
23. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
24. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
25. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
26. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
27. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
28. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
29. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
30. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
31. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
32. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
33. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
34. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY

- 35. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 36. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 37. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 38. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 39. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 40. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 41. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 42. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 43. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 44. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 45. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 46. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 47. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 48. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 49. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 50. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 51. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 52. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 53. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 54. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 55. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 56. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 57. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 58. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 59. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 60. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 61. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 62. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 63. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 64. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 65. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 66. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY
- 67. FAILURE TO REGISTER SECURITIES
NO TRIAL - ADJUDICATED GUILTY
- 68. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
NO TRIAL - ADJUDICATED GUILTY

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

- 1. FAILURE TO REGISTER SECURITIES
 Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)
 Credit for Time Served: 3 Days
 State Probation (3 Yr 364 Days , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)
 Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,
 Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; COST OF PROS
 CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)
 Restitution (\$2,000.00, Comment:)
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 1)

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

2. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER

State Probation (5 Yr , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)

Provisions (Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$500.00, Comment: [REDACTED])

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 2)

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

3. FAILURE TO REGISTER SECURITIES

Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 5 Yr , DEPARTMENT OF CORRECTIONS)

Credit for Time Served: 3 Days

Provisions (Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$1,000.00, Comment: [REDACTED])

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 3)

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

4. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER

Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 5 Yr , DEPARTMENT OF CORRECTIONS)

Credit for Time Served: 3 Days

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 003)

Provisions (Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 4)

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

5. FAILURE TO REGISTER SECURITIES

Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)

Credit for Time Served: 3 Days

State Probation (3 Yr 364 Days , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)

Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION, Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$4,800.00, Comment: BRENNER, MARC S)

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 5)

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

6. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER

State Probation (5 Yr , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)

Provisions (Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$5,200.00, Comment: BRENNER, MARC S)

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 6)

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

7. FAILURE TO REGISTER SECURITIES

Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)

Credit for Time Served: 3 Days

State Probation (3 Yr 364 Days , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)

Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION, Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$2,345.69, Comment: BROWN, JOY P)

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 7)

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

8. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER

State Probation (5 Yr , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)

Provisions (Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 8)

- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
9. FAILURE TO REGISTER SECURITIES
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$1,000.00, Comment: COURNAYA, RONALD L)
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 9)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
10. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$4,000.00, Comment: COURNAYA, RONALD L)
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 10)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
11. FAILURE TO REGISTER SECURITIES
 Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)
 Credit for Time Served: 3 Days
 State Probation (3 Yr 364 Days , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)
 Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,
 Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$4,800.00, Comment: COURNAYA, RONALD L)
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 11)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
12. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$200.00, Comment: COURNAYA, RONALD L)
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 12)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
13. FAILURE TO REGISTER SECURITIES
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONSECUTIVE, Case #: 15-02055-CF, Counts: 033)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$1,000.00, Comment: CROWLEY, DIANE M)
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 13)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
14. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$500.00, Comment: DIANE M CROWLEY)
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 14)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
15. FAILURE TO REGISTER SECURITIES
 Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)
 Credit for Time Served: 3 Days
 State Probation (3 Yr 364 Days , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)
 Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,
 Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$2,000.00, Comment: [REDACTED])

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 15)

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

16. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER

State Probation (5 Yr , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)

Provisions (Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$500.00, Comment: [REDACTED])

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 16)

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

17. FAILURE TO REGISTER SECURITIES

Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)

Credit for Time Served: 3 Days

State Probation (3 Yr 364 Days , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)

Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,

Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$2,000.00, Comment: [REDACTED])

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 17)

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

18. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER

State Probation (5 Yr , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)

Provisions (Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$500.00, Comment: [REDACTED])

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 18)

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

19. FAILURE TO REGISTER SECURITIES

State Probation (5 Yr , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)

Provisions (Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$1,500.00, Comment: [REDACTED])

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 19)

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

20. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER

State Probation (5 Yr , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)

Provisions (Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$500.00, Comment: [REDACTED])

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 20)

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

21. FAILURE TO REGISTER SECURITIES

Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)

Credit for Time Served: 3 Days

State Probation (3 Yr 364 Days , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)

Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,

Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$3,800.00, Comment: [REDACTED])

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 21)

06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)

22. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$700.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 22)
- 06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)
 23. FAILURE TO REGISTER SECURITIES
 Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)
 Credit for Time Served: 3 Days
 State Probation (3 Yr 364 Days , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)
 Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,
 Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$3,800.00, Comment: CUCUZZELLA, STEVEN D)
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 23)
- 06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)
 24. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$1,200.00, Comment: CUCUZZELLA, STEVEN D)
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 24)
- 06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)
 25. FAILURE TO REGISTER SECURITIES
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$11,000.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 25)
- 06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)
 26. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$30,000.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 26)
- 06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)
 27. FAILURE TO REGISTER SECURITIES
 Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)
 Credit for Time Served: 3 Days
 State Probation (3 Yr 364 Days , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)
 Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,
 Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$27,800.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 27)
- 06/12/2017 Sentence (Judicial Officer: BURGESS, WILLIAM H, III)
 28. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO

PCSO)
 Restitution (\$1,000.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 28)

- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 29. FAILURE TO REGISTER SECURITIES
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$1,000.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 29)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 30. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$4,000.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 30)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 31. FAILURE TO REGISTER SECURITIES
 Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)
 Credit for Time Served: 3 Days
 State Probation (3 Yr 364 Days , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)
 Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,
 Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$4,800.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 31)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 32. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$200.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 32)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 33. FAILURE TO REGISTER SECURITIES
 Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)
 Credit for Time Served: 3 Days
 State Probation (3 Yr 364 Days , Comment: DOC)
 Sentence Status (CONSECUTIVE, Case #: 15-02055-CF, Counts: 003)
 Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,
 Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$1,200.00, Comment: MEHARRY, JAMES P)
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 33)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 34. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 34)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 35. FAILURE TO REGISTER SECURITIES
 Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)
 Credit for Time Served: 3 Days

- State Probation (3 Yr 364 Days , Comment: DOC)
Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)
Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,
Special Provision SENTENCED UNDER GUIDELINES)
Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
PCSO)
Restitution (\$10,800.00, Comment: PIPP, MARY A)
Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 35)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
36. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
State Probation (5 Yr , Comment: DOC)
Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
Provisions (Special Provision SENTENCED UNDER GUIDELINES)
Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
PCSO)
Restitution (\$9,200.00, Comment: MARY A PIPP)
Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 36)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
37. FAILURE TO REGISTER SECURITIES
Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)
Credit for Time Served: 3 Days
State Probation (3 Yr 364 Days , Comment: DOC)
Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)
Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,
Special Provision SENTENCED UNDER GUIDELINES)
Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
PCSO)
Restitution (\$3,800.00, Comment: SCHMITT, RANDY)
Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 37)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
38. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
State Probation (5 Yr , Comment: DOC)
Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
Provisions (Special Provision SENTENCED UNDER GUIDELINES)
Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
PCSO)
Restitution (\$3,200.00, Comment: [REDACTED])
Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 38)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
39. FAILURE TO REGISTER SECURITIES
Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)
Credit for Time Served: 3 Days
State Probation (3 Yr 364 Days , Comment: DOC)
Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)
Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,
Special Provision SENTENCED UNDER GUIDELINES)
Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
PCSO)
Restitution (\$4,800.00, Comment: [REDACTED])
Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 39)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
40. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
State Probation (5 Yr , Comment: DOC)
Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
Provisions (Special Provision SENTENCED UNDER GUIDELINES)
Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
PCSO)
Restitution (\$5,200.00, Comment: [REDACTED])
Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 40)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
41. FAILURE TO REGISTER SECURITIES
Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)
Credit for Time Served: 3 Days
State Probation (3 Yr 364 Days , Comment: DOC)
Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)
Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,
Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$7,800.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 41)

- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 42. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$6,200.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 42)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 43. FAILURE TO REGISTER SECURITIES
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$4,000.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 43)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 44. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$3,500.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 44)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 45. FAILURE TO REGISTER SECURITIES
 Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)
 Credit for Time Served: 3 Days
 State Probation (3 Yr 364 Days , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)
 Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,
 Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$7,800.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 45)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 46. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$800.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 46)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 47. FAILURE TO REGISTER SECURITIES
 Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)
 Credit for Time Served: 3 Days
 State Probation (3 Yr 364 Days , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)
 Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,
 Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
 FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
 PCSO)
 Restitution (\$14,800.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 47)

- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
48. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
State Probation (5 Yr , Comment: DOC)
Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
Provisions (Special Provision SENTENCED UNDER GUIDELINES)
Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
PCSO)
Restitution (\$5,200.00, Comment: CHRISTINE SULLIVAN)
Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 48)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
49. FAILURE TO REGISTER SECURITIES
State Probation (5 Yr , Comment: DOC)
Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
Provisions (Special Provision SENTENCED UNDER GUIDELINES)
Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
PCSO)
Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 49)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
50. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
State Probation (5 Yr , Comment: DOC)
Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
Provisions (Special Provision SENTENCED UNDER GUIDELINES)
Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
PCSO)
Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 50)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
51. FAILURE TO REGISTER SECURITIES
State Probation (5 Yr , Comment: DOC)
Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
Provisions (Special Provision SENTENCED UNDER GUIDELINES)
Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
PCSO)
Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 51)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
52. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
State Probation (5 Yr , Comment: DOC)
Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
Provisions (Special Provision SENTENCED UNDER GUIDELINES)
Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
PCSO)
Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 52)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
53. FAILURE TO REGISTER SECURITIES
State Probation (5 Yr , Comment: DOC)
Sentence Status (CONSECUTIVE, Case #: 15-02055-CF, Counts: 013)
Provisions (Special Provision SENTENCED UNDER GUIDELINES)
Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
PCSO)
Restitution (\$12,000.00, Comment: CHRISTINE SULLIVAN)
Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 53)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
54. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
State Probation (5 Yr , Comment: DOC)
Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
Provisions (Special Provision SENTENCED UNDER GUIDELINES)
Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB;
FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO
PCSO)
Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 54)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
55. FAILURE TO REGISTER SECURITIES
State Probation (5 Yr , Comment: DOC)
Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
Provisions (Special Provision SENTENCED UNDER GUIDELINES)
Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)
 Restitution (\$20,000.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 55)

- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 56. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 56)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 57. FAILURE TO REGISTER SECURITIES
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)
 Restitution (\$5,000.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 57)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 58. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)
 Restitution (\$5,000.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 58)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 59. FAILURE TO REGISTER SECURITIES
 Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)
 Credit for Time Served: 3 Days
 State Probation (3 Yr 364 Days , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)
 Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION, Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)
 Restitution (\$21,800.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 59)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 60. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)
 Restitution (\$2,400.00, Comment: [REDACTED])
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 60)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 61. FAILURE TO REGISTER SECURITIES
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)
 Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)
 Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 61)
- 06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
 62. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER
 State Probation (5 Yr , Comment: DOC)
 Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)
 Provisions (Special Provision SENTENCED UNDER GUIDELINES)
 Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)
Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 62)

06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)
63. FAILURE TO REGISTER SECURITIES

State Probation (5 Yr , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)

Provisions (Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 63)

06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)

64. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER

State Probation (5 Yr , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)

Provisions (Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 64)

06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)

65. FAILURE TO REGISTER SECURITIES

State Probation (5 Yr , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)

Provisions (Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$2,500.00, Comment: DOUGLAS R WENGER)

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 65)

06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)

66. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER

State Probation (5 Yr , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 053)

Provisions (Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$2,500.00, Comment: DOUGLAS R WENGER)

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 66)

06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)

67. FAILURE TO REGISTER SECURITIES

Confinement (Effective 06/12/2017, Min. Not Applicable, Max. 1 Yr 1 Days , DEPARTMENT OF CORRECTIONS)

Credit for Time Served: 3 Days

State Probation (3 Yr 364 Days , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 033)

Provisions (Provisions JAIL TIME FOLLOWED BY PROBATION,

Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$7,800.00, Comment: WENGER, DOUGLAS R)

Charge Reopen Status (01/04/2019, CORRECT, REDUCE OR MODIFY SENTENCE, 67)

06/12/2017 **Sentence** (Judicial Officer: BURGESS, WILLIAM H, III)

68. FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER

State Probation (5 Yr , Comment: DOC)

Sentence Status (CONCURRENT, Case #: 15-02055-CF, Counts: 013)

Provisions (Special Provision SENTENCED UNDER GUIDELINES)

Attorneys at Sentencing (Lead Prosecutor BAUER, RENE MARIE, Lead Defense WEBER, TIMOTHY W, ESQ)

Comment (FINE/COST \$550.00; COST OF PROSECUTION \$100.00; FINE/COST IMPOSED AS LIEN; FINE/COST A COND OF PROB; FINE/COST CONCURRENT WITH COUNT 01; COST OF PROS CONCURRENT WITH COUNT 01; DNA TESTING PAY \$7.00 TO PCSO)

Restitution (\$2,200.00, Comment: DOUGLAS R WENGER)

Charge Reopen Status (05/31/2019, CHARGE REOPENED, 68)

OTHER EVENTS AND HEARINGS

06/07/2019 **ORDER GRANTING** Doc # 24

DEFENDANTS MOTION TO DISMISS AND DISMISSING DEFENDANTS MOTION TO SET ASIDE SENTENCE

06/03/2019 **COPY OF MOTION FORWARDED TO COURT** Doc # 23

PETITIONERS MOTION TO DISMISS MOTION TO SET ASIDE

05/31/2019 **MOTION TO DISMISS** Doc # 22
MOTION TO SET ASIDE

03/21/2019 **ORDER GRANTING EXTENSION OF TIME** Doc # 21

03/18/2019 **COPY OF MOTION FORWARDED TO COURT** Doc # 20

03/14/2019 **MOTION FOR EXTENSION OF TIME** Doc # 19

02/06/2019 **INDIGENT CRIMINAL DEFENSE FEE ASSESSED** Doc # 17
\$50.00 FOR COSTS

02/06/2019 **DETERMINATION OF STATUS - INDIGENT** Doc # 18
FOR COSTS

01/17/2019 **ORDER** Doc # 15
STRIKING IN PART AND RESERVING RULING IN PART DEFENDANT'S "MOTION TO SER ASIDE SENTENCE"

01/14/2019 **TRANSCRIPT OF PROCEEDINGS** Doc # 14
061217 SENTENCING HEARING

01/07/2019 **COPY OF MOTION FORWARDED TO COURT** Doc # 13

01/04/2019 **MOTION TO TRANSPORT** Doc # 11

01/04/2019 **MOTION TO MITIGATE, RECONSIDER OR REDUCE SENTENCE** Doc # 12

01/04/2019 **AFFIDAVIT OF INDIGENT STATUS** Doc # 16
FOR COSTS

12/27/2018 **MISCELLANEOUS TEXT** Doc # 10
READ NOTES

10/06/2017 **JUDGMENT & SENTENCE (R)** Doc # 9
*AMENDED JUDGMENT REGARDING RESTITUTION PER COURT ORDER
Vol./Book 19811, Page 475, 28 pages*

10/05/2017 **RESPONSE** Doc # 8
TO FLORIDA DEPARTMENT OF FINANCIAL SERVICES SENT CERTIFIED COPIES

10/03/2017 **TRANSCRIPT OF PROCEEDINGS** Doc # 6
CHANGE OF PLEA 03/06/17

10/02/2017 **CORRESPONDENCE** Doc # 7
FROM FLORIDA DEPARTMENT OF FINANCIAL SERVICES REQUEST CERTIFIED COPIES

09/29/2017 **MOTION (8:45 AM) (Judicial Officer BURGESS, WILLIAM H, III)**
CORRECT SCRIVENERS ERROR
Result: HEARING HELD

09/29/2017 **ORDER GRANTING - IN COURT** Doc # 2
S/MTN TO CORRECT SCRIVENER'S ERROR
Charges:
20 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
39 FAILURE TO REGISTER SECURITIES (51707)

09/29/2017 **RESTITUTION ORDERED** Doc # 3
\$500.00 CUCUZZELLA, MARIO C, SR
Charges:
20 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

09/29/2017 **MISCELLANEOUS TEXT** Doc # 4
COURT DIRECTS CLERK TO AMEND JUDGMENT AND SENTENCE AND PROBATION ORDER ON COUNT 20 TO REFLECT RESTITUTION ORDERED IN THE AMOUNT OF \$500.00 TO [REDACTED]. AMOUNT ORDERED IS AS A CONDITION OF PROBATION
Charges:
20 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

09/29/2017 **MISCELLANEOUS TEXT** Doc # 5
COURT DIRECTS CLERK TO AMEND JUDGMENT AND SENTENCE AND PROBATION ORDER ON COUNT 39 TO REFLECT RESTITUTION ORDERED IN THE AMOUNT OF \$4800.00 TO JOANNE SHAPLAND
Charges:
39 FAILURE TO REGISTER SECURITIES (51707)

06/21/2017 **COMMITMENT PACKET TO DEPARTMENT OF CORRECTIONS**

06/21/2017 **COPY OF JUDGMENT & SENTENCE TO ATTORNEY**
TIMOTHY W WEBER

06/15/2017 **CERTIFICATE OF DISCHARGE TO BOND AGENCY**

06/12/2017 **MOTION (2:30 PM) (Judicial Officer BURGESS, WILLIAM H, III)**
SENTENCING
Result: HEARING HELD

06/12/2017 **JUDGMENT & SENTENCE (R)** Doc # 1
Vol./Book 19681, Page 797, 28 pages
Charges:
1 FAILURE TO REGISTER SECURITIES (51707)
3 FAILURE TO REGISTER SECURITIES (51707)
4 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
5 FAILURE TO REGISTER SECURITIES (51707)
7 FAILURE TO REGISTER SECURITIES (51707)
11 FAILURE TO REGISTER SECURITIES (51707)
15 FAILURE TO REGISTER SECURITIES (51707)
17 FAILURE TO REGISTER SECURITIES (51707)
21 FAILURE TO REGISTER SECURITIES (51707)
23 FAILURE TO REGISTER SECURITIES (51707)
27 FAILURE TO REGISTER SECURITIES (51707)
31 FAILURE TO REGISTER SECURITIES (51707)
33 FAILURE TO REGISTER SECURITIES (51707)
35 FAILURE TO REGISTER SECURITIES (51707)
37 FAILURE TO REGISTER SECURITIES (51707)
39 FAILURE TO REGISTER SECURITIES (51707)
41 FAILURE TO REGISTER SECURITIES (51707)
45 FAILURE TO REGISTER SECURITIES (51707)
47 FAILURE TO REGISTER SECURITIES (51707)
59 FAILURE TO REGISTER SECURITIES (51707)
67 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **MISCELLANEOUS TEXT**
DEFENDANT REMANDED

- 53 FAILURE TO REGISTER SECURITIES (51707)
- 54 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 55 FAILURE TO REGISTER SECURITIES (51707)
- 56 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 57 FAILURE TO REGISTER SECURITIES (51707)
- 58 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 59 FAILURE TO REGISTER SECURITIES (51707)
- 60 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 61 FAILURE TO REGISTER SECURITIES (51707)
- 62 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 63 FAILURE TO REGISTER SECURITIES (51707)
- 64 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 65 FAILURE TO REGISTER SECURITIES (51707)
- 66 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 67 FAILURE TO REGISTER SECURITIES (51707)
- 68 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

06/12/2017 FINE/COSTS DUE WITHIN/BY

Charges:

- 1 FAILURE TO REGISTER SECURITIES (51707)
- 5 FAILURE TO REGISTER SECURITIES (51707)
- 7 FAILURE TO REGISTER SECURITIES (51707)
- 11 FAILURE TO REGISTER SECURITIES (51707)
- 15 FAILURE TO REGISTER SECURITIES (51707)
- 17 FAILURE TO REGISTER SECURITIES (51707)
- 21 FAILURE TO REGISTER SECURITIES (51707)
- 23 FAILURE TO REGISTER SECURITIES (51707)
- 27 FAILURE TO REGISTER SECURITIES (51707)
- 31 FAILURE TO REGISTER SECURITIES (51707)
- 33 FAILURE TO REGISTER SECURITIES (51707)
- 35 FAILURE TO REGISTER SECURITIES (51707)
- 37 FAILURE TO REGISTER SECURITIES (51707)
- 39 FAILURE TO REGISTER SECURITIES (51707)
- 41 FAILURE TO REGISTER SECURITIES (51707)
- 45 FAILURE TO REGISTER SECURITIES (51707)
- 47 FAILURE TO REGISTER SECURITIES (51707)
- 59 FAILURE TO REGISTER SECURITIES (51707)
- 67 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 RESTITUTION ORDERED

\$2000.00

Charges:

- 1 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 MISCELLANEOUS TEXT

DEFENDANT WAIVE HIS RIGHT TO APPEAL

Charges:

- 1 FAILURE TO REGISTER SECURITIES (51707)
- 2 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 3 FAILURE TO REGISTER SECURITIES (51707)
- 4 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 5 FAILURE TO REGISTER SECURITIES (51707)
- 6 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 7 FAILURE TO REGISTER SECURITIES (51707)
- 8 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 9 FAILURE TO REGISTER SECURITIES (51707)
- 10 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 11 FAILURE TO REGISTER SECURITIES (51707)
- 12 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 13 FAILURE TO REGISTER SECURITIES (51707)
- 14 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 15 FAILURE TO REGISTER SECURITIES (51707)
- 16 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 17 FAILURE TO REGISTER SECURITIES (51707)
- 18 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 19 FAILURE TO REGISTER SECURITIES (51707)
- 20 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 21 FAILURE TO REGISTER SECURITIES (51707)
- 22 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 23 FAILURE TO REGISTER SECURITIES (51707)
- 24 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 25 FAILURE TO REGISTER SECURITIES (51707)
- 26 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 27 FAILURE TO REGISTER SECURITIES (51707)
- 28 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 29 FAILURE TO REGISTER SECURITIES (51707)
- 30 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 31 FAILURE TO REGISTER SECURITIES (51707)
- 32 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 33 FAILURE TO REGISTER SECURITIES (51707)
- 34 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 35 FAILURE TO REGISTER SECURITIES (51707)
- 36 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 37 FAILURE TO REGISTER SECURITIES (51707)
- 38 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 39 FAILURE TO REGISTER SECURITIES (51707)
- 40 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

- 30 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 32 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 34 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 36 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 38 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 40 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 42 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 43 FAILURE TO REGISTER SECURITIES (51707)
- 44 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 46 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 48 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 49 FAILURE TO REGISTER SECURITIES (51707)
- 50 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 51 FAILURE TO REGISTER SECURITIES (51707)
- 52 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 53 FAILURE TO REGISTER SECURITIES (51707)
- 54 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 55 FAILURE TO REGISTER SECURITIES (51707)
- 56 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 57 FAILURE TO REGISTER SECURITIES (51707)
- 58 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 60 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 61 FAILURE TO REGISTER SECURITIES (51707)
- 62 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 63 FAILURE TO REGISTER SECURITIES (51707)
- 64 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 65 FAILURE TO REGISTER SECURITIES (51707)
- 66 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 68 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

06/12/2017 **RESTITUTION ORDERED**

\$500.00 [REDACTED]

Charges:

- 2 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

06/12/2017 **RESTITUTION OUT OF BOND**

\$93644.00 [REDACTED]

Charges:

- 2 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

06/12/2017 **FINE/COSTS DUE WITHIN/BY**

Charges:

- 3 FAILURE TO REGISTER SECURITIES (51707)
- 4 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

06/12/2017 **RESTITUTION ORDERED**

\$1000.00 [REDACTED]

Charges:

- 3 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **MISCELLANEOUS TEXT**

APPLY MONEY HELD IN SUSPENSE / ANSON, DAVID EDWARD

Charges:

- 3 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **RESTITUTION ORDERED**

\$4800.00 [REDACTED]

Charges:

- 5 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **MISCELLANEOUS TEXT**

APPLY MONEY HELD IN SUSPENSE [REDACTED]

Charges:

- 5 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **RESTITUTION ORDERED**

\$5200.00 [REDACTED]

Charges:

- 6 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

06/12/2017 **RESTITUTION ORDERED**

\$2345.69 [REDACTED]

Charges:

- 7 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **MISCELLANEOUS TEXT**

APPLY MONEY HELD IN SUSPENSE [REDACTED]

Charges:

- 7 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **RESTITUTION ORDERED**

\$1000.00 [REDACTED]

Charges:

- 9 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **RESTITUTION ORDERED**

\$4000.00 [REDACTED]

Charges:

- 10 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

06/12/2017 **RESTITUTION ORDERED**

\$4800.00 [REDACTED]

Charges:

- 11 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **MISCELLANEOUS TEXT**

APPLY MONEY HELD IN SUSPENSE [REDACTED]

Charges:

06/12/2017 11 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$200.00 [REDACTED]
 Charges:

06/12/2017 12 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
RESTITUTION ORDERED
 \$1000.00 [REDACTED]
 Charges:

06/12/2017 13 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$500.00 [REDACTED]
 Charges:

06/12/2017 14 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
RESTITUTION ORDERED
 \$2000.00 [REDACTED]
 Charges:

06/12/2017 15 FAILURE TO REGISTER SECURITIES (51707)
MISCELLANEOUS TEXT
 APPLY MONEY HELD IN SUSPENSE / [REDACTED]
 Charges:

06/12/2017 15 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$500.00 [REDACTED]
 Charges:

06/12/2017 16 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
RESTITUTION ORDERED
 \$2000.00 [REDACTED]
 Charges:

06/12/2017 17 FAILURE TO REGISTER SECURITIES (51707)
MISCELLANEOUS TEXT
 APPLY MONEY HELD IN SUSPENSE / [REDACTED]
 Charges:

06/12/2017 17 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$500.00 [REDACTED]
 Charges:

06/12/2017 18 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
RESTITUTION ORDERED
 \$1500.00 [REDACTED]
 Charges:

06/12/2017 19 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$3800.00 [REDACTED]
 Charges:

06/12/2017 21 FAILURE TO REGISTER SECURITIES (51707)
MISCELLANEOUS TEXT
 APPLY MONEY HELD IN SUSPENSE / [REDACTED]
 Charges:

06/12/2017 21 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$700.00 [REDACTED]
 Charges:

06/12/2017 22 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
RESTITUTION ORDERED
 \$3800.00 [REDACTED]
 Charges:

06/12/2017 23 FAILURE TO REGISTER SECURITIES (51707)
MISCELLANEOUS TEXT
 APPLY MONEY HELD IN SUSPENSE / [REDACTED]
 Charges:

06/12/2017 23 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$1200.00 [REDACTED]
 Charges:

06/12/2017 24 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
RESTITUTION ORDERED
 \$11000.00 [REDACTED]
 Charges:

06/12/2017 25 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$30000.00 [REDACTED]
 Charges:

06/12/2017 26 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
RESTITUTION ORDERED
 \$27800.00 [REDACTED]
 Charges:

06/12/2017 27 FAILURE TO REGISTER SECURITIES (51707)
MISCELLANEOUS TEXT
 APPLY MONEY HELD IN SUSPENSE / [REDACTED]
 Charges:

06/12/2017 27 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$1000.00 [REDACTED]
 Charges:

06/12/2017 28 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
RESTITUTION ORDERED
 \$1000.00 [REDACTED]
 Charges:
 29 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **RESTITUTION ORDERED**
 \$4000.00 [REDACTED]
 Charges:
 30 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

06/12/2017 **RESTITUTION ORDERED**
 \$4800.00 [REDACTED]
 Charges:
 31 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **MISCELLANEOUS TEXT**
 APPLY MONEY HELD IN SUSPENSE / [REDACTED]
 Charges:
 31 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **RESTITUTION ORDERED**
 \$200.00 [REDACTED]
 Charges:
 32 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

06/12/2017 **RESTITUTION ORDERED**
 \$1200.00 [REDACTED]
 Charges:
 33 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **RESTITUTION ORDERED**
 \$10800.00 [REDACTED]
 Charges:
 35 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **MISCELLANEOUS TEXT**
 APPLY MONEY HELD IN SUSPENSE / [REDACTED]
 Charges:
 35 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **RESTITUTION ORDERED**
 \$9200.00 [REDACTED]
 Charges:
 36 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

06/12/2017 **RESTITUTION ORDERED**
 \$3800.00 [REDACTED]
 Charges:
 37 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **MISCELLANEOUS TEXT**
 APPLY MONEY HELD IN SUSPENSE / SCHMITT, RANDY
 Charges:
 37 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **RESTITUTION ORDERED**
 \$3200.00 [REDACTED]
 Charges:
 38 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

06/12/2017 **RESTITUTION ORDERED**
 \$8200.00 [REDACTED]
 Charges:
 39 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **MISCELLANEOUS TEXT**
 APPLY MONEY HELD IN SUSPENSE / [REDACTED]
 Charges:
 39 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **RESTITUTION ORDERED**
 \$5200.00 [REDACTED]
 Charges:
 40 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

06/12/2017 **RESTITUTION ORDERED**
 \$7800.00 [REDACTED]
 Charges:
 41 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **MISCELLANEOUS TEXT**
 APPLY MONEY HELD IN SUSPENSE / [REDACTED]
 Charges:
 41 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **RESTITUTION ORDERED**
 \$6200.00 [REDACTED]
 Charges:
 42 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

06/12/2017 **RESTITUTION ORDERED**
 \$4000.00 [REDACTED]
 Charges:
 43 FAILURE TO REGISTER SECURITIES (51707)

06/12/2017 **RESTITUTION ORDERED**
 \$3500.00 [REDACTED]
 Charges:
 44 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

06/12/2017 **RESTITUTION ORDERED**
 \$7800.00 [REDACTED]
 Charges:

06/12/2017 45 FAILURE TO REGISTER SECURITIES (51707)
MISCELLANEOUS TEXT
 APPLY MONEY HELD IN SUSPENSE / [REDACTED]
 Charges:
 06/12/2017 45 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$800.00 [REDACTED]
 Charges:
 06/12/2017 46 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
RESTITUTION ORDERED
 \$14800.00 [REDACTED]
 Charges:
 06/12/2017 47 FAILURE TO REGISTER SECURITIES (51707)
MISCELLANEOUS TEXT
 APPLY MONEY HELD IN SUSPENSE / [REDACTED]
 Charges:
 06/12/2017 47 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$5200.00 [REDACTED]
 Charges:
 06/12/2017 48 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
RESTITUTION ORDERED
 \$12000.00 [REDACTED]
 Charges:
 06/12/2017 53 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$20000.00 [REDACTED]
 Charges:
 06/12/2017 55 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$5000.00 [REDACTED]
 Charges:
 06/12/2017 57 FAILURE TO REGISTER SECURITIES (51707)
 58 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
RESTITUTION ORDERED
 \$21800.00 [REDACTED]
 Charges:
 06/12/2017 59 FAILURE TO REGISTER SECURITIES (51707)
MISCELLANEOUS TEXT
 APPLY MONEY HELD IN SUSPENSE / [REDACTED]
 Charges:
 06/12/2017 59 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$2400.00 [REDACTED]
 Charges:
 06/12/2017 60 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
RESTITUTION ORDERED
 \$2500.00 [REDACTED]
 Charges:
 06/12/2017 65 FAILURE TO REGISTER SECURITIES (51707)
 66 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
RESTITUTION ORDERED
 \$7800.00 [REDACTED]
 Charges:
 06/12/2017 67 FAILURE TO REGISTER SECURITIES (51707)
RESTITUTION ORDERED
 \$2200.00 [REDACTED]
 Charges:
 06/12/2017 68 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
FINE/COSTS ORDERED - ADJUDICATED GUILTY
 Charges:
 06/12/2017 1 FAILURE TO REGISTER SECURITIES (51707)
COSTS OF PROSECUTION ASSESSED - CF
 Charges:
 06/12/2017 1 FAILURE TO REGISTER SECURITIES (51707)
FINE/COSTS DUE WITHIN/BY
 Charges:
 06/12/2017 1 FAILURE TO REGISTER SECURITIES (51707)
MISCELLANEOUS TEXT
RESTITUTION ORDER
 06/12/2017 **MISCELLANEOUS TEXT**
 AMENDED NEGOTIATED PLEA TERMS
 06/12/2017 **SENTENCED UNDER GUIDELINES**
 05/12/2017 **MOTION** (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
 SENTENCING
 Result: HEARING HELD
 05/12/2017 **SENTENCING SET**
 05/12/2017 **NOTICE OF HEARING GENERATED IN COURT**
 04/26/2017 **ORDER**
 DIRECTING THE CLERK OF COURT TO ACCEPT RESTITUTION PAYMENTS, TO PLACE SAID FUNDS IN THE CLERKS REGISTRY, AND TO
 HOLD SAID FUNDS IN SUSPENSE UNTIL SENTENCING
 03/29/2017 **ORDER TO PAY**
 857.50 TO SNYDERBURN, RISHOI & SWANN
 03/27/2017 **CANCELED TRIAL** (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)

ORDER FROM COURT
 SET FOR TWO WEEKS
 03/27/2017 **CANCELED JURY TRIAL** (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
 ORDER FROM COURT
 03/27/2017 **CORRESPONDENCE**
 SAO TO COURT RE: MOTION AND ORDER TO PAY FEES
 03/06/2017 **PRE-TRIAL** (1:30 PM) (Judicial Officer BURGESS, WILLIAM H, III)
 Result: HEARING HELD
 03/06/2017 **REMOVE FROM**
 TRIAL 3/27/2017 8:30 AM C
 03/06/2017 **SENTENCING SET**
 03/06/2017 **DEFENDANT TO REMAIN ON BOND PENDING SENTENCING**
 03/06/2017 **NOTICE OF HEARING GENERATED IN COURT**
 03/06/2017 **MISCELLANEOUS TEXT**
 RESTITUTION SPREADSHEET
 03/06/2017 **CORRESPONDENCE**
 FROM DEFENDANT
 03/03/2017 **CANCELED MOTION** (2:30 PM) (Judicial Officer BURGESS, WILLIAM H, III)
 OTHER
 COP QUARTERMAN
 03/03/2017 **CANCELED MOTION** (2:30 PM) (Judicial Officer BURGESS, WILLIAM H, III)
 OTHER
 COP QUARTERMAN
 03/03/2017 **MOTION** (2:30 PM) (Judicial Officer BURGESS, WILLIAM H, III)
 Result: HEARING HELD
 02/28/2017 **STATE'S MOTION**
 AND ORDER TO PAY \$682.50 TO SNYDERBURN, RICHOI & SWANN, LLP
 02/20/2017 **CANCELED PRE-TRIAL** (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
 ORDER FROM COURT
 01/23/2017 **PRE-TRIAL** (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
 Result: HEARING HELD
 01/23/2017 **HEARING SET**
 PENDING MOTIONS
 01/23/2017 **PRE-TRIAL HEARING SET**
 01/23/2017 **REMOVE FROM**
 PRE TRIAL 2/20/2017 8:30 AM C
 12/21/2016 **ACKNOWLEDGMENT OF ADDITIONAL DISCOVERY**
 #10
 12/19/2016 **PRE-TRIAL** (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
 Result: HEARING HELD
 12/08/2016 **STATE'S MOTION**
 EXPARTE MOTION FOR FEES AND ORDER TO PAY FEES 1,137.50 TO SNYDERBURN, RISHOI & SWANN LLP
 12/08/2016 **STATE'S MOTION**
 EXPARTE MOTION FOR FEES AND ORDER TO PAY FEES 4,031.30 TO SNYDERBURN, RISHOI & SWANN LLP
 11/30/2016 **ACKNOWLEDGMENT OF ADDITIONAL DISCOVERY**
 11/29/2016 **MOTION** (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
 PTL
 Result: HEARING HELD
 11/29/2016 **PRE-TRIAL** (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
 Result: HEARING HELD
 11/29/2016 **ORDER GRANTING**
 STATE'S MOTION TO RELEASE COPIES OF CONFIDENTIAL FINRA REPORTS AND INVESTIGATION RECORDS
 11/15/2016 **STATE'S MOTION**
 EXPARTE AND ORDER TO PAY \$52.50 TO SNYDERBURN, RICHOI & SWANN, LLP
 11/15/2016 **CORRESPONDENCE**
 ASA R BAUER TO COURT RE: EXPARTE MOTION AND ORDER FOR FEES ENCLOSED
 11/04/2016 **TRANSCRIPT OF PROCEEDINGS**
 MOTION HEARING SEPTEMBER 15, 2016
 10/25/2016 **HEARING** (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
 Result: HEARING HELD
 10/25/2016 **HEARING** (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
 Result: HEARING HELD
 10/25/2016 **HEARING** (8:45 AM) (Judicial Officer BURGESS, WILLIAM H, III)
 Result: HEARING HELD
 10/25/2016 **HEARING** (8:45 AM) (Judicial Officer BURGESS, WILLIAM H, III)
 Result: HEARING HELD
 10/25/2016 **PRE-TRIAL HEARING SET**
 10/25/2016 **PRE-TRIAL HEARING SET**
 10/25/2016 **TRIAL SET**
 10/25/2016 **PRE-TRIAL HEARING SET**
 10/25/2016 **PRE-TRIAL HEARING SET**
 10/17/2016 **TRANSCRIPT OF PROCEEDINGS**
 PRETRIAL JUNE 28, 2016
 10/13/2016 **STATUS CHECK/CONFERENCE** (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
 RE: TRIAL PREP/ WITNESSES
 Result: HEARING HELD
 09/26/2016 **PRE-TRIAL** (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
 Result: HEARING HELD
 09/26/2016 **WAIVER OF APPEARANCE**
 PRETRIAL
 09/26/2016 **STATUS CHECK SET**
 RE: TRIAL PREP/ WITNESSES
 09/15/2016 **MOTION** (1:45 PM) (Judicial Officer BURGESS, WILLIAM H, III)
 PRETRIAL SET FROM 9/12

Result: HEARING HELD
09/15/2016 NOTICE
OF FILING CASE LAW
09/15/2016 ORDER DENYING
D/MOTN TO EXCLUDE INVESTIGATIVE SUBPOENAS
09/12/2016 PRE-TRIAL (1:30 PM) (Judicial Officer BURGESS, WILLIAM H, III)
09/12/2016 09/12/2016 Reset by Court to 09/12/2016
Result: HEARING HELD
09/12/2016 MOTION (1:45 PM) (Judicial Officer BURGESS, WILLIAM H, III)
SAO MOTION EXTEND DISCOVERY
Result: HEARING HELD
09/12/2016 DEFENDANT'S MOTION
REGARDING IEVESTIGATIVE SUBPOENAS
09/12/2016 STATE'S MOTION
TO CONTINUE OR EXTEND THE DISCOVERY DEADLINE
09/12/2016 HEARING SET
PTL
09/12/2016 PRE-TRIAL HEARING SET
09/12/2016 ORDER GRANTING
S/MOTION TO EXTEND DISCOVERY IN PART DISCOVERY CUT OFF BOTH SIDES 12/30/16 5PM
09/12/2016 PRE-TRIAL HEARING SET
09/12/2016 TRIAL SET
09/11/2016 DEFENDANT'S MOTION
TO EXCLUDE TESTIMONY OF STATES EXPERT WITNESS PHILIP J SNYDERBURN
09/11/2016 MOTION IN LIMINE
#6 EXCLUSION OF IMPROPER CHARACTER EVIDENCE
09/11/2016 MOTION IN LIMINE
#7 EXCLUSION OF EVIDENCE CONCERNING FINRA INVESTIGATION
09/11/2016 DEFENDANT'S
SUPPLEMENTAL DISCOVERY
09/09/2016 ACKNOWLEDGMENT OF ADDITIONAL DISCOVERY
09/09/2016 ACKNOWLEDGMENT OF ADDITIONAL DISCOVERY
(#7)
09/09/2016 ACKNOWLEDGMENT OF ADDITIONAL DISCOVERY
(#8)
09/09/2016 DEFENDANT'S MOTION
FOR CERTIFICATE TO COMPEL ATTENDANCE OF OUT OF STATE WITNESS, [REDACTED], TO TESTIFY AT TRIAL
09/09/2016 DEFENDANT'S MOTION
FOR CERTIFICATE TO COMPEL ATTENDANCE OF OUT OF STATE WITNESS, [REDACTED], TO TESTIFY AT TRIAL
09/09/2016 AFFIDAVIT
OF TIMOTHY W WEBER IN SUPPORT OF MOTION FOR CERTIFICATE FOR TESTIMONY OF [REDACTED] 1
09/09/2016 AFFIDAVIT
OF TIMOTHY W WEBER IN SUPPORT OF MOTION FOR TESTIMONY OF [REDACTED]
09/09/2016 MOTION IN LIMINE
#1 EVIDENCE REGARDING TEMPORARY SUSPENSION OF BIZROCKET TRADING BY THE SEC
09/09/2016 MOTION IN LIMINE
#2 EXCLUSION OF EVIDENCE REGARDING ALLEGED PROMISES OF INVESTMENT RETURNS
09/09/2016 MOTION IN LIMINE
#3 EXCLUSION OF EVIDECE THAT DEFENDANT WAS FORMERLY A STOCKBROKER
09/09/2016 MOTION IN LIMINE
#4 EXCLUSION OF EVIDENCE REGARDING INVESTORS ECONOMIC LOSS
09/09/2016 MOTION IN LIMINE
#5 EXCLUSION OF EVIDENCE REGARDING SOPHISTICATION OF THE INVESTORS OR SUITABILITY OF THE INVESTMENT
08/30/2016 CORRESPONDENCE
SAO TO COURT RE: MOTION/ORDER
08/25/2016 DEFENDANT'S
SUPPLEMENTAL WITNESS LIST
08/05/2016 CANCELED MOTION (8:45 AM) (Judicial Officer BURGESS, WILLIAM H, III)
OTHER
MTN CONT DISCOVERY DEADLINE
07/29/2016 NOTICE
OF FILING DEPOSITION OF ROBERT WILLIAMS TAKEN 11/18/15 INCLUDING DEFENDANT'S EXHIBITS AND STATE'S EXHIBITS
07/29/2016 DEFENDANT'S
EXHIBIT
07/29/2016 DEFENDANT'S
EXHIBIT
07/29/2016 DEPOSITION
OF ROBERT WILLIAMS
07/29/2016 DEFENDANT'S
EXHIBIT
07/29/2016 DEFENDANT'S
EXHIBIT
07/29/2016 DEFENDANT'S
EXHIBIT
07/29/2016 DEFENDANT'S
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07/29/2016 DEFENDANT'S
EXHIBIT
07/29/2016 DEFENDANT'S
EXHIBIT
07/29/2016 DEFENDANT'S
EXHIBIT
07/29/2016 DEFENDANT'S
EXHIBIT

EMAIL BETWEEN ROBERT WILLIAMS AND ROBERT SELMETZ

07/29/2016 EXHIBIT
COPY OF BANKING TRANSACTIONS

07/29/2016 EXHIBIT
COPY OF BANKING TRANSACTIONS

07/29/2016 EXHIBIT
COPY OF BANKING TRANSACTIONS

07/29/2016 EXHIBIT
COPY OF BANKING TRANSACTIONS

07/29/2016 EXHIBIT
COPY OF BANKING TRANSACTIONS

07/29/2016 EXHIBIT
COPY OF BANKING TRANSACTIONS

07/29/2016 EXHIBIT
COPY OF BANKING TRANSACTIONS

06/28/2016 PRE-TRIAL (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
Result: HEARING HELD

06/28/2016 ORDER GRANTING
D/MTN TO CONTINUE

06/28/2016 WAIVED RIGHT TO SPEEDY TRIAL
(REAFFIRMED)

06/28/2016 PRE-TRIAL HEARING SET

04/29/2016 NOTICE OF TAKING DEPOSITION

04/18/2016 PRE-TRIAL (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
Result: HEARING HELD

04/18/2016 WAIVED RIGHT TO SPEEDY TRIAL

04/18/2016 PRE-TRIAL HEARING SET

04/18/2016 CHANGE OF ADDRESS

02/29/2016 MOTION (1:30 PM) (Judicial Officer BURGESS, WILLIAM H, III)
MTN TO PERPETUATE TESTIMONY
Result: HEARING HELD

02/29/2016 PRE-TRIAL (1:45 PM) (Judicial Officer BURGESS, WILLIAM H, III)
FRM EXCEPT RPT 2/17/16
Result: HEARING HELD

02/29/2016 WAIVED RIGHT TO SPEEDY TRIAL
(REAFFIRMED)

02/29/2016 PRE-TRIAL HEARING SET

02/26/2016 NOTICE
OF FILING AUTHORITY

02/18/2016 NOTICE OF HEARING
DEFENDANT MOTION TO TAKE DEPOSITION 2/29/16 1:30 PM

02/17/2016 PRE-TRIAL (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
Result: HEARING HELD

02/17/2016 HEARING SET
MTN TO PERPETUATE TESTIMONY

02/17/2016 PRE-TRIAL HEARING SET

02/17/2016 MISCELLANEOUS TEXT
DEFENDANT PRESENCE WAIVED FOR MOTION ON 022916

02/16/2016 MOTION TO TAKE DEPOSITION TO PERPETUATE TESTIMONY
APPOINT COMMISSIONER AND REQUEST FOR SERVICE OF PROCESS

12/04/2015 PRE-TRIAL (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
Result: HEARING HELD

12/04/2015 DEMAND FOR DISCOVERY
FIRST

12/04/2015 ORDER GRANTING
D/MTN TO CONTINUE

12/04/2015 WAIVED RIGHT TO SPEEDY TRIAL
(REAFFIRMED)

12/04/2015 PRE-TRIAL HEARING SET

11/18/2015 STATE'S MOTION
FOR FEES EX PARTE

11/18/2015 ORDER TO PAY
FEES

11/10/2015 ORDER DENYING
DEFENDANT'S MOTION TO DISMISS

11/09/2015 CORRESPONDENCE
SAO-COURT RE: DEFT

11/09/2015 CORRESPONDENCE
SAO-COURT RE: DEFT

10/27/2015 NOTICE OF TAKING DEPOSITION

10/06/2015 STATE'S MOTION
EXPARTE AND ORDER TO PAY \$1,203.35 TO SNYDERBURN, RISHOI & SWANN, LLP

10/02/2015 PRE-TRIAL (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)
Result: HEARING HELD

10/02/2015 ORDER GRANTING
D/MTN TO CONTINUE

10/02/2015 PRE-TRIAL HEARING SET

09/28/2015 CORRESPONDENCE
ASA TO COURT RE: EXPARTE MOTION AND ORDER

09/11/2015 DEFENDANT'S
SUPPLEMENTAL MEMORANDUM OF LAW IN SUPPORT OF MOTION TO DISMISS

09/09/2015 ACKNOWLEDGEMENT OF ADDITIONAL TANGIBLE EVIDENCE
AND/OR ADDITIONAL LIST OF WITNESSES (#5)

08/17/2015 PRE-TRIAL (8:30 AM) (Judicial Officer BURGESS, WILLIAM H, III)

Result: HEARING HELD
08/17/2015 **MOTION (1:30 PM)** (Judicial Officer BURGESS, WILLIAM H, III)
MOTION DISMISS/PTC BRING
Result: HEARING HELD
08/17/2015 **TAKEN UNDER ADVISEMENT**
D/MTN TO DISMISS
08/17/2015 **PRE-TRIAL HEARING SET**
07/16/2015 **NOTICE OF TAKING DEPOSITION**
07/08/2015 **NOTICE OF HEARING**
081715/0130 PM - DEFENDANT'S MOTION TO DISMISS
06/22/2015 **PRE-TRIAL (8:30 AM)** (Judicial Officer BURGESS, WILLIAM H, III)
Result: HEARING HELD
06/22/2015 **ORDER GRANTING**
D/MTN TO CONTINUE
06/22/2015 **WAIVED RIGHT TO SPEEDY TRIAL**
06/22/2015 **PRE-TRIAL HEARING SET**
06/16/2015 **ACKNOWLEDGEMENT OF ADDITIONAL TANGIBLE EVIDENCE**
AND/OR ADDITIONAL LIST OF WITNESSES (#4)
05/18/2015 **PRE-TRIAL (8:30 AM)** (Judicial Officer BURGESS, WILLIAM H, III)
Result: HEARING HELD
05/18/2015 **WAIVED RIGHT TO SPEEDY TRIAL**
05/18/2015 **PRE-TRIAL HEARING SET**
05/13/2015 **ACKNOWLEDGEMENT OF ADDITIONAL TANGIBLE EVIDENCE**
AND/OR ADDITIONAL LIST OF WITNESSES (#3)
04/28/2015 **ACKNOWLEDGEMENT OF ADDITIONAL TANGIBLE EVIDENCE**
& ADDITIONAL LIST OF WITNESSES #2
04/20/2015 **PRE-TRIAL (8:30 AM)** (Judicial Officer BURGESS, WILLIAM H, III)
Result: HEARING HELD
04/20/2015 **ORDER GRANTING**
D/MTN TO CONTINUE
04/20/2015 **MISCELLANEOUS TEXT**
SPEEDY TRIAL IS NOT WAIVED AT THIS DATE
04/20/2015 **PRE-TRIAL HEARING SET**
04/10/2015 **ACKNOWLEDGEMENT OF ADDITIONAL TANGIBLE EVIDENCE**
AND ADDITIONAL LIST OF WITNESSES
03/23/2015 **ARRAIGNMENT (1:30 PM)** (Judicial Officer BURGESS, WILLIAM H, III)
Result: HEARING HELD
03/23/2015 **PRE-TRIAL HEARING SET**
03/20/2015 **WRITTEN PLEA NOT GUILTY BY ATTORNEY**
03/20/2015 **DEFENDANT'S MOTION**
TO DISMISS
03/18/2015 **ANSWER TO DEMAND FOR DISCOVERY**
03/18/2015 **DEMAND NOTICE OF INTENTION TO CLAIM ALIBI**
03/10/2015 **ORDER GRANTING**
DEFENDANT'S MOTION TO REDUCE BOND
03/05/2015 **SURETY BOND POSTED**
Charges:
1 FAILURE TO REGISTER SECURITIES (51707)
03/05/2015 **SURETY BOND POSTED**
Charges:
2 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
03/05/2015 **SURETY BOND POSTED**
Charges:
3 FAILURE TO REGISTER SECURITIES (51707)
03/05/2015 **SURETY BOND POSTED**
Charges:
4 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
03/05/2015 **SURETY BOND POSTED**
Charges:
5 FAILURE TO REGISTER SECURITIES (51707)
03/05/2015 **SURETY BOND POSTED**
Charges:
6 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
03/05/2015 **SURETY BOND POSTED**
Charges:
7 FAILURE TO REGISTER SECURITIES (51707)
03/05/2015 **SURETY BOND POSTED**
Charges:
9 FAILURE TO REGISTER SECURITIES (51707)
03/05/2015 **SURETY BOND POSTED**
Charges:
8 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
03/05/2015 **SURETY BOND POSTED**
Charges:
10 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
03/05/2015 **SURETY BOND POSTED**
Charges:
11 FAILURE TO REGISTER SECURITIES (51707)
03/05/2015 **SURETY BOND POSTED**
Charges:
12 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
03/05/2015 **SURETY BOND POSTED**
Charges:
15 FAILURE TO REGISTER SECURITIES (51707)

- 03/05/2015 **SURETY BOND POSTED**
Charges:
14 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
13 FAILURE TO REGISTER SECURITIES (51707)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
16 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
17 FAILURE TO REGISTER SECURITIES (51707)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
19 FAILURE TO REGISTER SECURITIES (51707)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
18 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
20 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
21 FAILURE TO REGISTER SECURITIES (51707)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
22 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
23 FAILURE TO REGISTER SECURITIES (51707)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
24 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
25 FAILURE TO REGISTER SECURITIES (51707)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
26 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
27 FAILURE TO REGISTER SECURITIES (51707)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
29 FAILURE TO REGISTER SECURITIES (51707)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
28 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
39 FAILURE TO REGISTER SECURITIES (51707)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
30 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
60 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
31 FAILURE TO REGISTER SECURITIES (51707)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
32 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
41 FAILURE TO REGISTER SECURITIES (51707)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
33 FAILURE TO REGISTER SECURITIES (51707)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
34 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
35 FAILURE TO REGISTER SECURITIES (51707)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
42 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
36 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)
- 03/05/2015 **SURETY BOND POSTED**
Charges:
37 FAILURE TO REGISTER SECURITIES (51707)

03/05/2015 **SURETY BOND POSTED**
Charges:
43 FAILURE TO REGISTER SECURITIES (51707)

03/05/2015 **SURETY BOND POSTED**
Charges:
44 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

03/05/2015 **SURETY BOND POSTED**
Charges:
40 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

03/05/2015 **SURETY BOND POSTED**
Charges:
38 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

03/05/2015 **SURETY BOND POSTED**
Charges:
51 FAILURE TO REGISTER SECURITIES (51707)

03/05/2015 **SURETY BOND POSTED**
Charges:
45 FAILURE TO REGISTER SECURITIES (51707)

03/05/2015 **SURETY BOND POSTED**
Charges:
52 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

03/05/2015 **SURETY BOND POSTED**
Charges:
46 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

03/05/2015 **SURETY BOND POSTED**
Charges:
53 FAILURE TO REGISTER SECURITIES (51707)

03/05/2015 **SURETY BOND POSTED**
Charges:
47 FAILURE TO REGISTER SECURITIES (51707)

03/05/2015 **SURETY BOND POSTED**
Charges:
54 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

03/05/2015 **SURETY BOND POSTED**
Charges:
55 FAILURE TO REGISTER SECURITIES (51707)

03/05/2015 **SURETY BOND POSTED**
Charges:
49 FAILURE TO REGISTER SECURITIES (51707)

03/05/2015 **SURETY BOND POSTED**
Charges:
48 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

03/05/2015 **SURETY BOND POSTED**
Charges:
56 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

03/05/2015 **SURETY BOND POSTED**
Charges:
50 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

03/05/2015 **SURETY BOND POSTED**
Charges:
62 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

03/05/2015 **SURETY BOND POSTED**
Charges:
63 FAILURE TO REGISTER SECURITIES (51707)

03/05/2015 **SURETY BOND POSTED**
Charges:
68 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

03/05/2015 **SURETY BOND POSTED**
Charges:
58 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

03/05/2015 **SURETY BOND POSTED**
Charges:
57 FAILURE TO REGISTER SECURITIES (51707)

03/05/2015 **SURETY BOND POSTED**
Charges:
59 FAILURE TO REGISTER SECURITIES (51707)

03/05/2015 **SURETY BOND POSTED**
Charges:
65 FAILURE TO REGISTER SECURITIES (51707)

03/05/2015 **SURETY BOND POSTED**
Charges:
64 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

03/05/2015 **SURETY BOND POSTED**
Charges:
66 FAILURE OF DEALER, ASSOCIATED PERSON, OR ISSUER OF SECURITIES TO REGISTER (51712)

03/05/2015 **SURETY BOND POSTED**
Charges:
67 FAILURE TO REGISTER SECURITIES (51707)

03/05/2015 **SURETY BOND POSTED**
Charges:
61 FAILURE TO REGISTER SECURITIES (51707)

03/05/2015 **COPY OF INFORMATION SENT TO ATTORNEY**

03/04/2015 **MOTION (8:45 AM) (Judicial Officer BURGESS, WILLIAM H, III)**
BOND REDUCTION

Result: HEARING HELD
03/04/2015 **ADVISORY - MALE, FELONY (1:30 PM)** (Judicial Officer COVERT, THANE)
SPN/PersonID: 1357797 Case Number: 15-02055-CF Name: ROTH, ALLAN Booking Number: SO1627604
Result: HEARING HELD
03/04/2015 **BOND AMENDED**
\$170000.00
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 01
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 02
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 03
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 04
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 05
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 06
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 07
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 08
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 09
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 10
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 11
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 12
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 13
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 14
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 15
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 16
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 17
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03/04/2015 **MISCELLANEOUS TEXT**
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03/04/2015 **MISCELLANEOUS TEXT**
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03/04/2015 **MISCELLANEOUS TEXT**
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03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 31
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 32
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 33
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 34
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 35
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 36
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 37
03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 38
03/04/2015 **MISCELLANEOUS TEXT**
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03/04/2015 **MISCELLANEOUS TEXT**
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03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 41

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 42

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 43

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 44

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 45

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 46

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 47

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 48

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 49

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 50

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 51

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 52

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 53

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 54

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 55

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 56

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 57

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 58

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 59

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 60

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 61

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 62

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 63

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 64

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 65

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 66

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 67

03/04/2015 **MISCELLANEOUS TEXT**
BOND AMENDED \$2500.00 - CHARGE 68

03/04/2015 **ORDER GRANTING**
D/MTN FOR BOND REDUCTION

03/04/2015 **MISCELLANEOUS TEXT**
DEFENSE WAIVES ADVISORIES

03/04/2015 **NO CONTACT**
VICTIM

03/04/2015 **COMPLAINT**

03/03/2015 **WARRANT SERVED**

03/03/2015 **NOTICE OF APPEARANCE**
TIMOTHY W WEBER

03/03/2015 **DEMAND AND REQUEST FOR COPY OF INFORMATION**

03/03/2015 **DEMAND FOR DISCOVERY**

03/02/2015 **NOTICE OF HEARING**
030515/0830 AM - MOTION TO REDUCE BOND

02/27/2015 **DEFENDANT'S MOTION**
TO REDUCE BOND

02/25/2015 **CAPIAS ISSUED**

02/24/2015 **INFORMATION FILED**

FINANCIAL INFORMATION

DEFENDANT ROTH, ALLAN MICHAEL



Court Ordered [Click Here!](#)

Pay Now! Fines, Fees, Costs?

Total Financial Assessment			100,848.77
Total Payments and Credits			100,798.77
Balance Due as of 01/23/2020			50.00

03/23/2015	Transaction Assessment				61.00
03/23/2015	COUNTER PAYMENT	Receipt # CJ-2015-19322	ROTH, ALLAN MICHAEL		(61.00)
06/13/2017	Transaction Assessment				7.00
06/13/2017	Transaction Assessment				102,070.00
06/13/2017	Transaction Assessment				100.00
06/13/2017	Transaction Assessment				550.00
05/29/2018	Transaction Assessment				10.77
05/29/2018	MAIL PAYMENT	Receipt # CJ-2018-33829	FL DEPT OF CORRECTIONS		(10.77)
02/06/2019	Transaction Assessment				50.00

Composite Information

Individual CRD#: 1926020

Individual Name: ROTH, ALLAN M

Full Legal Name ROTH, ALLAN MICHAEL

Social Security Number ██████████

Date Of Birth ██████████

Residential Address ██████████ United States

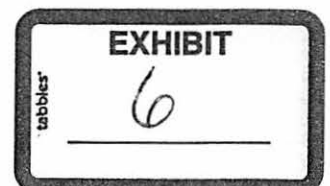
Reportable Disclosures? Yes

Statutory Disqualification Status	Requires Review	Last Updated	10/06/2018
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Has Material Difference in Disclosure? No

Current CE Status 2 Year Termed from Industry

Disclosure Counts	Criminal	Regulatory Action	Customer Complaint	Other
- Current Disclosures	1	1	0	0
- Historical Disclosures	0	0	1	2



Personal Information

Individual CRD#: 1926020

Individual Name: ROTH, ALLAN M

Other Names Known by

Social Security Number [REDACTED]
Date of Birth [REDACTED]
State/Country of Birth PA United States

Sex M
Height 5 ft 11 in
Weight 185 lbs
Hair Color Brown
Eye Color Brown

Personal Residential History

From	To	Street	City	State/Country	Zip
11/2010	Present	[REDACTED]	PALM HARBOR	FL	[REDACTED]
07/2009	11/2010	[REDACTED]	NEWPORT RICHEY	FL	[REDACTED]
04/2007	07/2009	[REDACTED]	OLDSMAN	FL	[REDACTED]
02/2005	04/2007	[REDACTED]	OLDSMAN	FL	[REDACTED]
12/2004	02/2005	[REDACTED]	PINELLAS PARK	FL	[REDACTED]
08/2004	12/2004	[REDACTED]	PALM HARBOR	FL	[REDACTED]
01/2002	08/2004	[REDACTED]	PALM HARBOR	FL	[REDACTED]
04/2004	05/2004	[REDACTED]	PALM HARBOR	FL	[REDACTED]
02/2004	04/2004	[REDACTED]	NEWPORT RICHEY	FL	[REDACTED]
06/2002	02/2004	[REDACTED]	PALM HARBOR	FL	[REDACTED]
08/1995	01/2002	[REDACTED]	PALM HARBOR	FL	[REDACTED]
11/1992	08/1995	[REDACTED]	GULFPORT	FL	[REDACTED]

U4 Employment History

Individual CRD#: 1926020

Individual Name: ROTH, ALLAN M

Office of Employment Address History

From	To	Firm	CRD Branch Number	NYSE Branch Code	Firm Billing Code	Address	Type of Office	Private Residence
11/11/2010	08/11/2011	REGAL SECURITIES, INC. (7297)	Non Registered Location			██████████ PALM HARBOR, FL ██████████, United States	Located At	Yes
03/26/2010	11/11/2010	REGAL SECURITIES, INC. (7297)	Non Registered Location			██████████ PALM HARBOR, FL ██████████, United States	Located At	No
07/18/2009	03/25/2010	REGAL SECURITIES, INC. (7297)	Non Registered Location			██████████ RICHEY, FL ██████████, United States	Located At	Yes
03/24/2009	08/11/2011	REGAL SECURITIES, INC. (7297)	146382		A	950 N. MILWAUKEE AVE 102 GLENVIEW, IL 60025, United States	Supervised From	No
08/09/2007	08/13/2007	REGAL SECURITIES, INC. (7297)	Non Registered Location			950 N MILWAUKEE AVE GLENVIEW, IL 60025, United States	Located At	No
08/08/2007	07/17/2009	REGAL SECURITIES, INC. (7297)	Non Registered Location			██████████ AVE PO ██████████ ██████████ HARBOR, FL ██████████, United States	Located At	Yes
08/08/2007	03/23/2009	REGAL SECURITIES, INC. (7297)	BD Main			950 MILWAUKEE AVE. SUITE 102 GLENVIEW, IL 60025, UNITED STATES	Supervised From	No
07/02/2007	08/17/2007	WEDBUSH MORGAN SECURITIES INC. (872)	BD Main	56		1000 WILSHIRE BLVD. SUITE 900 ATTN: BUSINESS CONDUCT LOS ANGELES, CA 90017-2457, UNITED STATES	Located At	No
02/01/2006	07/03/2007	BROOKSTREET SECURITIES CORPORATION (14667)	133452			██████████ ██████████ HARBOR, FL ██████████, United States	Located At	No
01/14/2005	02/01/2006	BROOKSTREET SECURITIES CORPORATION (14667)	Non Registered Location			██████████ ██████████ HARBOR, FL ██████████, United States	Located At	No
09/29/2001	12/31/2004	LASALLE ST SECURITIES, L.L.C. (7191)	Non Registered Location			3060 US ALTERNATE 19N PALM HARBOR, FL 34683, United States	Located At	No
10/28/1999	09/29/2001	EISNER SECURITIES, INC. (40585)				2706 U.S. ALTERNATE 19N	Located At	No

05/23/1991	10/28/1999	ADVEST, INC. (10)	Non Registered Location	4830	PALM HARBOR, FL 34683, United States	28050 US HWY 19 N STE 302	Located At	No
09/12/1990	05/22/1991	KOBER FINANCIAL CORP. (17551)	Non Registered Location		CLEARWATER, FL 34621, United States	5100 W. LEMON ST. STE 304	Located At	No
10/12/1989	09/12/1990	THE STUART-JAMES COMPANY, INCORPORATED (11691)	Non Registered Location		CLEARWATER, FL 34619, United States	2600 MCCORMICK DR STE 210	Located At	No
02/01/1989	09/12/1990	F.D. ROBERTS SECURITIES, INC. (693)	Non Registered Location		TAMPA, FL 33634, United States	4902 EISEN HOWER BLVD #381	Located At	No

Please note that data contained in the U4 EMPLOYMENT HISTORY SCREEN is updated only by a U4 and does not reflect any changes made by the filing of a U5.

Employment History

From	To	Name	Investment Related Business?	City	State	Country	Position
08/2007	Present	REGAL SECURITIES	Y	PALM HARBOR	FL	United States	INDEPENDENT REGISTERED REPRESENTATIVE
07/2007	Present	WEDBUSH MORGAN SECURITIES INC.	Y	LOS ANGELES	CA	United States	REGISTERED REPRESENTATIVE
11/1999	Present	HEALTH CARE BENEFITS OF AMERICA	Y	PALM HARBOR	FL	United States	PRESIDENT
01/1999	Present	STERLING FINANCIAL INVESTMENTS, LLC	Y	TARPON SPRINGS	FL	United States	PRESIDENT
01/2005	06/2007	BROOKSTREET SECURITIES	Y	TARPON SPRINGS	FL	United States	REGISTERED REPRESENTATIVE
09/2001	12/2004	LASALLE ST SECURITIES	Y	CHICAGO	IL	United States	REGISTERED REP
10/1999	09/2001	EISNER SECURITIES	Y	ST LOUIS	MO	United States	INVESTMENT ADVISOR
05/1991	10/1999	ADVEST, INC.	Y	CLEARWATER	FL	United States	NOT PROVIDED
09/1990	05/1991	KOBER FINANCIAL CORP.	Y	TAMPA	FL	United States	NOT PROVIDED
10/1989	09/1990	THE STUART-JAMES COMPANY, INCORPORATED	Y	CLEARWATER	FL	United States	NOT PROVIDED
02/1989	09/1990	F.D. ROBERTS SECURITIES, INC.	Y	TAMPA	FL	United States	NOT PROVIDED
02/1987	10/1989	BUBBAS DELI	N	PINELLAS PARK	FL	United States	OTHER - OWNER/OPERATOR

Registrations Summary

Individual CRD#: 1926020

Individual Name: ROTH, ALLAN M

Current Firm(s):

Registrations Summary With Current Employers

⚠ No Current Employers Found.

Prior Firm(s):

Registrations Summary With Prior Employers

Firm Name	Firm CRD	Start Date	End Date	IARD Regs.	CRD Regs.	SFG Member	Disciplined Firm
<u>REGAL SECURITIES, INC.</u>	<u>7297</u>	08/2007	08/2011	N	N	N	N
<u>WEDBUSH MORGAN SECURITIES INC.</u>	<u>877</u>	07/2007	08/2007	N	N	N	N
<u>BROOKSTREET SECURITIES CORPORATION</u>	<u>14667</u>	01/2005	07/2007	N	N	N	N
<u>LASALLE ST SECURITIES, L.L.C.</u>	<u>7191</u>	09/2001	12/2004	N	N	N	N
<u>EISNER SECURITIES, INC.</u>	<u>40585</u>	10/1999	09/2001	N	N	N	N
<u>ADVEST, INC.</u>	<u>10</u>	05/1991	10/1999	N	N	N	N
<u>KOBER FINANCIAL CORP.</u>	<u>17551</u>	09/1990	05/1991	N	N	N	N
<u>F.D. ROBERTS SECURITIES, INC.</u>	<u>693</u>	02/1989	09/1990	N	N	N	N
<u>THE STUART-JAMES COMPANY, INCORPORATED</u>	<u>11691</u>	10/1989	09/1990	N	N	N	N

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Registrations with Prior Employers

Firm CRD # : 7297

Firm Name : REGAL SECURITIES, INC.

Employment Start Date	08/08/2007
Employment End Date	08/11/2011
Reason for Termination	Voluntary
Termination Comment	
Firm Name at Termination	REGAL SECURITIES, INC.

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	<u>GS</u>	08/13/2007	09/06/2011	TERMED	08/17/2007
FL	<u>AG</u>	08/13/2007	09/06/2011	TERMED	08/17/2007
NQX	<u>GS</u>	08/13/2007	09/06/2011	TERMED	08/17/2007
CA	<u>AG</u>	08/13/2007	12/31/2010	TERMED	08/17/2007
IL	<u>AG</u>	08/13/2007	12/31/2010	TERMED	08/17/2007
IN	<u>AG</u>	08/13/2007	11/19/2007	TERMED	08/20/2007
MA	<u>AG</u>	08/13/2007	12/31/2010	TERMED	08/17/2007
MI	<u>AG</u>	08/13/2007	10/01/2007	T_NOREG	
TX	<u>AG</u>	08/13/2007	12/31/2010	TERMED	08/28/2007
VA	<u>AG</u>	08/13/2007	11/19/2007	TERMED	08/20/2007

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Firm Name : WEDBUSH SECURITIES INC.

Employment Start Date	07/02/2007
Employment End Date	08/17/2007
Reason for Termination	Voluntary
Termination Comment	
Firm Name at Termination	WEDBUSH MORGAN SECURITIES INC.

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	<u>GS</u>	07/02/2007	08/17/2007	TERMED	07/02/2007
FINRA	<u>SU</u>	07/02/2007	08/17/2007	TERMED	07/02/2007
FL	<u>AG</u>	07/02/2007	08/17/2007	TERMED	07/12/2007

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
NQX	<u>GS</u>	07/02/2007	08/17/2007	TERMED	07/02/2007
NQX	<u>SU</u>	07/02/2007	08/17/2007	TERMED	07/02/2007
NYSE	<u>GS</u>	07/02/2007	08/17/2007	TERMED	07/03/2007
AR	<u>AG</u>	07/02/2007	08/17/2007	TERMED	07/02/2007
CA	<u>AG</u>	07/02/2007	08/17/2007	TERMED	07/02/2007
IL	<u>AG</u>	07/02/2007	08/17/2007	TERMED	07/02/2007
IN	<u>AG</u>	07/02/2007	08/17/2007	TERMED	07/19/2007
MA	<u>AG</u>	07/02/2007	08/17/2007	TERMED	07/02/2007
MI	<u>AG</u>	07/02/2007	08/17/2007	T_NOREG	
MI	<u>AG</u>	07/02/2007	07/11/2007	TEMP_WD	07/02/2007
PA	<u>AG</u>	07/02/2007	08/17/2007	TERMED	07/02/2007
TX	<u>AG</u>	07/02/2007	08/17/2007	T_NOREG	
TX	<u>AG</u>	07/02/2007	07/10/2007	TEMP_WD	07/02/2007

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Registrations with Prior Employers

Firm CRD # : 14667 Firm Name : BROOKSTREET SECURITIES CORPORATION

Employment Start Date	01/14/2005
Employment End Date	07/03/2007
Reason for Termination	Voluntary
Termination Comment	
Firm Name at Termination	BROOKSTREET SECURITIES CORPORATION

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	<u>GS</u>	01/14/2005	07/03/2007	TERMED	01/14/2005
FINRA	<u>SU</u>	01/14/2005	07/03/2007	TERMED	01/14/2005
FL	<u>AG</u>	01/14/2005	07/03/2007	TERMED	01/14/2005

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
NQX	<u>GS</u>	07/29/2006	07/03/2007	TERMED	07/12/2006
NQX	<u>SU</u>	07/29/2006	07/03/2007	TERMED	07/12/2006
AR	<u>AG</u>	03/14/2005	07/03/2007	TERMED	03/15/2005
CA	<u>AG</u>	01/14/2005	07/03/2007	TERMED	01/14/2005
IL	<u>AG</u>	01/14/2005	07/03/2007	TERMED	01/14/2005
IN	<u>AG</u>	01/14/2005	07/03/2007	TERMED	01/26/2005
MA	<u>AG</u>	03/02/2005	07/03/2007	TERMED	03/07/2005
MI	<u>AG</u>	02/11/2005	07/03/2007	TERMED	02/14/2005
PA	<u>AG</u>	03/02/2005	07/03/2007	TERMED	03/03/2005
TX	<u>AG</u>	04/05/2007	07/03/2007	TERMED	04/23/2007

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Registrations with Prior Employers

Firm CRD # : 7191 Firm Name : LASALLE ST SECURITIES, L.L.C.

Employment Start Date	09/29/2001
Employment End Date	12/31/2004
Reason for Termination	Voluntary
Termination Comment	
Firm Name at Termination	LASALLE ST SECURITIES, L.L.C.

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	<u>GS</u>	09/29/2001	12/31/2004	TERMED	09/29/2001
FINRA	<u>SU</u>	11/21/2001	12/31/2004	TERMED	11/21/2001
FL	<u>AG</u>	09/29/2001	12/31/2004	TERMED	09/29/2001

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
AR	AG	09/29/2001	12/31/2004	TERMED	09/29/2001
CA	AG	09/29/2001	12/31/2004	TERMED	09/29/2001
CO	AG	09/29/2001	12/31/2004	TERMED	09/29/2001
CT	AG	09/29/2001	12/31/2004	TERMED	09/29/2001
IL	AG	09/29/2001	12/31/2004	TERMED	09/29/2001
IN	AG	09/29/2001	12/31/2004	TERMED	09/29/2001
KY	AG	09/29/2001	12/31/2002	TERMED	09/29/2001
MA	AG	01/02/2004	12/31/2004	TERMED	01/07/2004
MA	AG	09/29/2001	12/31/2002	TERMED	09/29/2001
MI	AG	09/29/2001	12/31/2004	TERMED	09/29/2001
MO	AG	09/29/2001	12/31/2002	TERMED	09/29/2001
NE	AG	09/29/2001	12/31/2004	TERMED	09/29/2001
NJ	AG	09/29/2001	12/31/2002	TERMED	09/29/2001
NM	AG	09/29/2001	12/31/2002	TERMED	09/29/2001
NY	AG	09/29/2001	12/31/2002	TERMED	09/29/2001
OH	AG	09/29/2001	12/31/2002	TERMED	09/29/2001
OK	AG	09/29/2001	12/31/2002	TERMED	09/29/2001
PA	AG	09/29/2001	12/31/2004	TERMED	09/29/2001
TX	AG	09/29/2001	12/31/2004	TERMED	09/29/2001
VA	AG	09/29/2001	12/31/2004	TERMED	09/29/2001

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Registrations with Prior Employers

Firm CRD # : 40585

Firm Name : EISNER SECURITIES, INC.

Employment Start Date	10/28/1999
Employment End Date	09/29/2001
Reason for Termination	Voluntary
Termination Comment	
Firm Name at Termination	EISNER SECURITIES, INC.

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	GS	10/28/1999	10/01/2001	TERMED	10/29/1999
FINRA	SU	05/08/2000	10/01/2001	TERMED	05/08/2000
FL	AG	10/28/1999	10/01/2001	TERMED	10/29/1999

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
AR	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
AZ	AG	10/28/1999	12/31/2000	TERMED	10/29/1999
CA	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
CO	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
CT	AG	10/28/1999	10/01/2001	TERMED	10/29/1999

DE	AG	10/28/1999	12/31/2000	TERMED	10/29/1999
GA	AG	10/28/1999	12/31/2000	TERMED	10/29/1999
IA	AG	10/28/1999	12/31/2000	TERMED	10/29/1999
IL	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
IN	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
KY	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
MA	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
MD	AG	10/28/1999	12/31/2000	TERMED	10/29/1999
MI	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
MN	AG	10/28/1999	12/31/2000	TERMED	10/29/1999
MO	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
MS	AG	10/28/1999	12/31/2000	TERMED	10/29/1999
NC	AG	10/28/1999	12/31/2000	TERMED	10/29/1999
NE	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
NJ	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
NM	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
NV	AG	10/28/1999	12/31/2000	TERMED	10/29/1999
NY	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
OH	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
OK	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
PA	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
TN	AG	01/30/2001	02/09/2001	TERMED	02/01/2001
TN	AG	10/28/1999	05/31/2000	TERMED	10/29/1999
TX	AG	10/28/1999	10/01/2001	TERMED	10/29/1999
VA	AG	10/28/1999	10/01/2001	TERMED	10/29/1999

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Registrations with Prior Employers

Firm CRD # : 10

Firm Name : ADVEST, INC.

Employment Start Date	05/23/1991
Employment End Date	10/28/1999
Reason for Termination	Voluntary
Termination Comment	
Firm Name at Termination	ADVEST, INC.

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	GS	07/05/1999	11/22/1999	TERMED	05/28/1991
FINRA	SU	07/05/1999	11/22/1999	TERMED	04/25/1995
FL	AG	07/05/1999	11/22/1999	TERMED	05/28/1991

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
CBOE	GS	07/05/1999	11/22/1999	TERMED	06/03/1991
CBOE	SU	07/05/1999	11/22/1999	TERMED	04/25/1995

NYSE	BM	07/05/1999	11/22/1999	TERMED	04/25/1995
NYSE	GS	07/05/1999	11/22/1999	TERMED	05/28/1991
NYSE-AMER	BM	07/05/1999	11/22/1999	TERMED	04/25/1995
NYSE-AMER	GS	07/05/1999	11/22/1999	TERMED	06/03/1991
PHLX	GS	07/05/1999	11/22/1999	TERMED	10/16/1993
PHLX	SU	07/05/1999	11/22/1999	TERMED	04/25/1995
AL	AG	07/05/1999	11/04/1992	TERMED	04/06/1992
AR	AG	07/05/1999	11/22/1999	TERMED	12/01/1995
AZ	AG	07/05/1999	11/22/1999	TERMED	07/12/1995
CA	AG	07/05/1999	11/22/1999	TERMED	06/03/1991
CO	AG	07/05/1999	11/22/1999	TERMED	05/28/1991
CT	AG	07/05/1999	11/22/1999	TERMED	11/30/1995
DC	AG	10/11/1999	11/22/1999	TERMED	10/11/1999
DE	AG	07/05/1999	11/22/1999	TERMED	02/11/1993
GA	AG	07/05/1999	11/22/1999	TERMED	11/10/1992
IA	AG	07/05/1999	11/22/1999	TERMED	04/07/1997
ID	AG	07/05/1999	12/31/1994	TERMED	07/10/1991
IL	AG	07/05/1999	11/22/1999	TERMED	05/28/1991
IN	AG	07/05/1999	11/22/1999	TERMED	10/31/1991
KY	AG	07/05/1999	11/22/1999	TERMED	06/08/1995
MA	AG	07/05/1999	11/22/1999	TERMED	08/03/1992
MD	AG	07/05/1999	11/22/1999	TERMED	07/15/1994
MI	AG	07/05/1999	11/22/1999	TERMED	06/04/1991
MN	AG	07/05/1999	11/22/1999	TERMED	07/30/1991
MO	AG	07/05/1999	11/22/1999	TERMED	12/03/1993
MS	AG	07/05/1999	11/22/1999	TERMED	06/11/1992
NC	AG	07/05/1999	11/22/1999	TERMED	07/24/1995
ND	AG	07/05/1999	11/04/1992	TERMED	06/16/1992
NE	AG	07/05/1999	11/22/1999	TERMED	06/06/1995
NJ	AG	07/05/1999	11/22/1999	TERMED	05/13/1993
NM	AG	07/05/1999	11/22/1999	TERMED	05/28/1991
NV	AG	07/05/1999	11/22/1999	TERMED	08/17/1995
NY	AG	07/05/1999	11/22/1999	TERMED	05/28/1991
OH	AG	07/05/1999	11/22/1999	TERMED	07/02/1991
OK	AG	07/05/1999	11/22/1999	TERMED	06/07/1995
PA	AG	07/05/1999	11/22/1999	TERMED	05/28/1991
TN	AG	07/05/1999	11/22/1999	TERMED	09/09/1994
TX	AG	07/05/1999	11/22/1999	TERMED	05/28/1991
VA	AG	07/05/1999	11/22/1999	TERMED	10/29/1991

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Employment Start Date

09/12/1990

Employment End Date

05/22/1991

Reason for Termination Voluntary
Termination Comment
Firm Name at Termination KOBER FINANCIAL CORP.

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	GS	07/05/1999	06/04/1991	TERMED	09/14/1990
FL	AG	07/05/1999	06/04/1991	TERMED	09/14/1990

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
CA	AG	07/05/1999	06/04/1991	TERMED	09/14/1990
CO	AG	07/05/1999	06/04/1991	TERMED	09/14/1990
IL	AG	07/05/1999	06/04/1991	TERMED	09/14/1990
NM	AG	07/05/1999	06/04/1991	TERMED	01/08/1991
NY	AG	07/05/1999	06/04/1991	TERMED	01/08/1991
PA	AG	07/05/1999	06/04/1991	TERMED	09/14/1990
TX	AG	07/05/1999	06/04/1991	TERMED	09/14/1990

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Registrations with Prior Employers

Firm CRD # : 693 **Firm Name :** F.D. ROBERTS SECURITIES, INC.

Employment Start Date 02/01/1989
Employment End Date 09/12/1990
Reason for Termination TAT/Non-Disciplinary
Termination Comment TAT/Non-Disciplinary
Firm Name at Termination F.D. ROBERTS SECURITIES, INC.

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	GS	07/05/1999	09/10/1989	PURGED	

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
CO	AG	07/05/1999	09/10/1989	PURGED	

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Registrations with Prior Employers

Firm CRD # : 11691 **Firm Name :** THE STUART-JAMES COMPANY, INCORPORATED

Employment Start Date 10/12/1989
Employment End Date 09/12/1990
Reason for Termination Voluntary

Termination Comment

Firm Name at Termination

THE STUART-JAMES COMPANY, INCORPORATED

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	<u>GS</u>	07/05/1999	09/20/1990	TERMED	01/23/1990
FL	<u>AG</u>	07/05/1999	09/20/1990	TERMED	01/29/1990

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
CA	<u>AG</u>	07/05/1999	09/20/1990	TERMED	02/20/1990
CO	<u>AG</u>	07/05/1999	09/20/1990	TERMED	01/23/1990
IL	<u>AG</u>	07/05/1999	09/20/1990	TERMED	02/20/1990
PA	<u>AG</u>	07/05/1999	09/20/1990	TERMED	02/20/1990
TX	<u>AG</u>	07/05/1999	09/20/1990	TERMED	07/20/1990

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Exam Information

Individual CRD#: 1926020

Individual Name: ROTH, ALLAN M

Exam History

Exam ID	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Begin Date	Window End Date	Exam Validity
S7	19724853	Official Result	01/20/1990	01/20/1990	Passed				Expired
S8	19724854	Official Result	04/18/1995	04/18/1995	Passed				Expired
S63	19724849	Official Result	02/05/1990	02/05/1990	Passed				Expired
S65	19724850	Official Result	05/26/1998	05/26/1998	Passed				Expired