

CLOSED, CASREF, ECF, RELATED

**U.S. District Court
Southern District of New York (Foley Square)
CIVIL DOCKET FOR CASE #: 1:08-cv-07747-BSJ-DCF**

Mayfield et al v. Citigroup, Inc et al
Assigned to: Judge Barbara S. Jones
Referred to: Magistrate Judge Debra C. Freeman
Related Case: [1:08-cv-07746-BSJ-DCF](#)
Cause: 15:1 Antitrust Litigation

Date Filed: 09/04/2008
Date Terminated: 01/26/2010
Jury Demand: Plaintiff
Nature of Suit: 410 Anti-Trust
Jurisdiction: Federal Question

Plaintiff

Russell Mayfield

*individually on behalf of themselves and
all others similarly situated*

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Date Filed	#	Docket Text
09/04/2008	<u>1</u>	COMPLAINT against Citigroup, Inc, Citigroup Global Markets, Inc., UBS AG, UBS Securities LLC, UBS Financial Services, Inc., Merrill Lynch & Co, Inc, Morgan Stanley, Lehman Brothers Holdings Inc., Bank of America Corp., Wachovia Corporation, Wachovia Securities, LLC, Wachovia Capital Markets, LLC, The Goldman Sachs Group, Inc., JP Morgan Chase & Co., Royal Bank of Canada, Deutsche Bank, AG. (Filing Fee \$ 350.00, Receipt Number 662202)Document filed by Paul Walton, John Abbott, Russell Mayfield.(rdz) (Entered: 09/09/2008)
09/04/2008		SUMMONS ISSUED as to Citigroup, Inc, Citigroup Global Markets, Inc., UBS AG, UBS Securities LLC, UBS Financial Services, Inc., Merrill Lynch & Co, Inc, Morgan Stanley, Lehman Brothers Holdings Inc., Bank of America Corp., Wachovia Corporation, Wachovia Securities, LLC, Wachovia Capital

		Markets, LLC, The Goldman Sachs Group, Inc., JP Morgan Chase & Co., Royal Bank of Canada, Deutsche Bank, AG. (rdz) (Entered: 09/09/2008)
09/04/2008		CASE REFERRED TO Judge Denise L. Cote as possibly Related to 08-cv-7746. (rdz) (Entered: 09/09/2008)
09/04/2008		Case Designated ECF. (rdz) (Entered: 09/09/2008)
09/16/2008	2	NOTICE OF INITIAL PRETRIAL CONFERENCE: Initial Conference set for 10/17/2008 at 03:00 PM in Courtroom 11B, 500 Pearl Street, New York, NY 10007 before Judge Denise L. Cote. (Signed by Judge Denise L. Cote on 9/16/2008) (jfe) (Entered: 09/16/2008)
09/17/2008	3	NOTICE of Service of Notice of Initial Pretrial Conference and Court Practices. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 09/17/2008)
09/17/2008		CASE ACCEPTED AS RELATED. Create association to 1:08-cv-07746-DLC. Notice of Assignment to follow. (laq) (Entered: 09/25/2008)
09/17/2008	13	NOTICE OF CASE ASSIGNMENT to Judge Denise L. Cote. Judge Unassigned is no longer assigned to the case. (laq) (Entered: 09/25/2008)
09/18/2008	4	NOTICE of Bankruptcy. Document filed by Lehman Brothers Holdings Inc.. (Attachments: # 1 Exhibit A--Bankruptcy Petition)(Gaffey, Robert) (Entered: 09/18/2008)
09/18/2008	5	NOTICE OF APPEARANCE by Andrew Jay Frackman on behalf of Bank of America Corp. (Frackman, Andrew) (Entered: 09/18/2008)
09/18/2008	6	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Document filed by Bank of America Corp..(Frackman, Andrew) (Entered: 09/18/2008)
09/18/2008	7	NOTICE OF APPEARANCE by Jonathan Rosenberg on behalf of Bank of America Corp. (Rosenberg, Jonathan) (Entered: 09/18/2008)
09/18/2008	8	NOTICE OF APPEARANCE by Bradley Jay Butwin on behalf of Bank of America Corp. (Butwin, Bradley) (Entered: 09/18/2008)
09/23/2008	9	NOTICE OF APPEARANCE by Thomas C. Rice on behalf of JP Morgan Chase & Co. (Rice, Thomas) (Entered: 09/23/2008)
09/23/2008	10	NOTICE OF APPEARANCE by Jonathan K. Youngwood on behalf of JP Morgan Chase & Co. (Youngwood, Jonathan) (Entered: 09/23/2008)
09/23/2008	11	NOTICE OF APPEARANCE by Gregory Arthur Markel on behalf of Morgan Stanley (Markel, Gregory) (Entered: 09/23/2008)
09/23/2008	12	NOTICE OF APPEARANCE by Ronit Setton on behalf of Morgan Stanley (Setton, Ronit) (Entered: 09/23/2008)
09/24/2008		Magistrate Judge Theodore H. Katz is so designated. (laq) (Entered: 09/25/2008)
09/29/2008	14	NOTICE OF APPEARANCE by Arthur S. Greenspan on behalf of Wachovia Corporation, Wachovia Securities, LLC, Wachovia Capital Markets, LLC

		(Attachments: # 1 Certificate of Service)(Greenspan, Arthur) (Entered: 09/29/2008)
09/29/2008	15	NOTICE OF APPEARANCE by Patricia C. O'Prey on behalf of Wachovia Corporation, Wachovia Securities, LLC, Wachovia Capital Markets, LLC (Attachments: # 1 Certificate of Service)(O'Prey, Patricia) (Entered: 09/29/2008)
10/02/2008	16	NOTICE OF APPEARANCE by Anastasia Angelova Angelova on behalf of Deutsche Bank, AG (Angelova, Anastasia) (Entered: 10/02/2008)
10/02/2008	17	NOTICE OF APPEARANCE by Leah Edmunds on behalf of Deutsche Bank, AG (Edmunds, Leah) (Entered: 10/02/2008)
10/02/2008	18	NOTICE OF APPEARANCE by Toby S Soli on behalf of Deutsche Bank, AG (Soli, Toby) (Entered: 10/02/2008)
10/02/2008	19	NOTICE OF APPEARANCE by Stephen L. Saxl on behalf of Deutsche Bank, AG (Saxl, Stephen) (Entered: 10/02/2008)
10/02/2008	20	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Document filed by Deutsche Bank, AG.(Saxl, Stephen) (Entered: 10/02/2008)
10/02/2008	25	NOTICE OF CASE REASSIGNMENT to Judge Barbara S. Jones. Judge Denise L. Cote is no longer assigned to the case. (laq) (Entered: 10/07/2008)
10/03/2008	21	NOTICE OF APPEARANCE by David Maxwell Rein on behalf of The Goldman Sachs Group, Inc. (Rein, David) (Entered: 10/03/2008)
10/03/2008	22	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. No Corporate Parent. Document filed by The Goldman Sachs Group, Inc..(Rein, David) (Entered: 10/03/2008)
10/03/2008	23	NOTICE OF APPEARANCE by Hillary Cherry Mintz on behalf of JP Morgan Chase & Co. (Mintz, Hillary) (Entered: 10/03/2008)
10/03/2008	24	AFFIDAVIT OF SERVICE of Notice of Appearance and Corporate Disclosure Statement served on All Parties and Counsel on Oct. 3. Service was made by Mail. Document filed by The Goldman Sachs Group, Inc.. (Rein, David) (Entered: 10/03/2008)
10/07/2008		Mailed notice to the attorney(s) of record. (laq) (Entered: 10/07/2008)
10/07/2008	26	STIPULATION AND ORDER: The time for any defendants that have been serve to answer or otherwise respond to the Class Action Complaint is extended without date, and the parties shall confer in due course concerning an appropriate schedule for responses and briefing of any motions to dismiss. (Signed by Judge Barbara S. Jones on 10/6/08) (tro) (Entered: 10/07/2008)
10/07/2008	27	ORDER: The Court has referred this case to Magistrate Judge Katz for the Initial Pretrial Conference, originally scheduled by Judge Cote for Friday, 10/17/08 at 3:00pm. Plaintiff is directed to contact Judge Katz to determine when that conference will now occur. (Signed by Judge Barbara S. Jones on 10/6/08) (tro) (Entered: 10/07/2008)

10/07/2008	28	NOTICE OF APPEARANCE by Jay B. Kasner on behalf of Merrill Lynch & Co, Inc (Kasner, Jay) (Entered: 10/07/2008)
10/07/2008	29	NOTICE OF APPEARANCE by Shepard Goldfein on behalf of Merrill Lynch & Co, Inc (Goldfein, Shepard) (Entered: 10/07/2008)
10/07/2008	30	NOTICE OF APPEARANCE by Paul Madison Eckles on behalf of Merrill Lynch & Co, Inc (Eckles, Paul) (Entered: 10/07/2008)
10/07/2008	31	ORDER REFERRING CASE TO MAGISTRATE JUDGE. Order that case be referred to the Clerk of Court for assignment to a Magistrate Judge for General Pretrial (includes scheduling, discovery, non-dispositive pretrial motions, and settlement). Referred to Magistrate Judge Theodore H. Katz. (Signed by Judge Barbara S. Jones on 10/6/2008) (tve) (Entered: 10/07/2008)
10/08/2008	32	NOTICE OF APPEARANCE by Sean Miles Murphy on behalf of Royal Bank of Canada (Murphy, Sean) (Entered: 10/08/2008)
10/08/2008	33	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. No Corporate Parent. Document filed by Royal Bank of Canada.(Murphy, Sean) (Entered: 10/08/2008)
10/08/2008	34	NOTICE OF APPEARANCE by George S. Canellos on behalf of Royal Bank of Canada (Canellos, George) (Entered: 10/08/2008)
10/08/2008	35	CERTIFICATE OF SERVICE. Document filed by Royal Bank of Canada. (Pater, Joshua) (Entered: 10/08/2008)
10/09/2008	36	MOTION for Lisa Marie Black to Appear Pro Hac Vice. Document filed by Paul Walton, John Abbott, Russell Mayfield.(dle) (Entered: 10/10/2008)
10/09/2008	37	MOTION for Allan Steyer to Appear Pro Hac Vice. Document filed by Paul Walton, John Abbott, Russell Mayfield.(dle) (Entered: 10/10/2008)
10/09/2008		***Attorney Lisa Marie Black for Paul Walton, John Abbott and Russell Mayfield added. (dle) (Entered: 10/10/2008)
10/10/2008	43	MOTION for Jill M. Manning to Appear Pro Hac Vice. Document filed by Paul Walton, John Abbott, Russell Mayfield.(dle) (Entered: 10/15/2008)
10/13/2008	38	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Identifying No as Corporate Parent. Document filed by Wachovia Corporation. (Attachments: # 1 Certificate of Service)(O'Prey, Patricia) (Entered: 10/13/2008)
10/13/2008	39	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Identifying Wachovia Corporation and Prudential Financial Inc. as Corporate Parent. Document filed by Wachovia Securities, LLC. (Attachments: # 1 Certificate of Service)(O'Prey, Patricia) (Entered: 10/13/2008)
10/13/2008	40	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Identifying Wachovia Corporation as Corporate Parent. Document filed by Wachovia Capital Markets, LLC. (Attachments: # 1 Certificate of Service)(O'Prey, Patricia) (Entered: 10/13/2008)
10/14/2008	41	

		MEMO ENDORSEMENT on NOTICE OF MOTION TO ADMIT ALLAN STEYER PRO HAC VICE: Allan Steyer is hereby granted admission pro hac vice to the United States District Court for the Southern District of New York, for the purpose of appearing in this action, pursuant to Rule 1.3(c) of the Local Rules of the United States District Court for the Southern District of New York. (Signed by Judge Barbara S. Jones on 10/14/2008) (jpo) Modified on 11/17/2008 (jpo). (Entered: 10/14/2008)
10/14/2008	42	MEMO ENDORSEMENT on NOTICE OF MOTION TO ADMIT LISA MARIE BLACK PRO HAC VICE: Lisa Marie Black is hereby granted admission pro hac vice to the United States District Court for the Southern District of New York, for the purpose of appearing in this action, pursuant to Rule 1.3(c) of the Local Rules of the United States District Court for the Southern District of New York. (Signed by Judge Barbara S. Jones on 10/14/2008) (jpo) (Entered: 10/14/2008)
10/14/2008		Transmission to Attorney Admissions Clerk. Transmitted re: 42 Order on Motion to Appear Pro Hac Vice, 41 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (jpo) (Entered: 10/14/2008)
10/14/2008	58	NOTICE OF REASSIGNMENT OF A REFERRAL TO ANOTHER MAGISTRATE JUDGE. The referral in the above entitled action has been reassigned to Magistrate Judge Debra C. Freeman, for General Pretrial. Magistrate Judge Theodore H. Katz no longer referred to the case. (mbe) (mbe). (Entered: 10/24/2008)
10/15/2008	44	ORDER REFERRING CASE TO MAGISTRATE JUDGE. Order that case be referred to the Clerk of Court for assignment to a Magistrate Judge for General Pretrial (includes scheduling, discovery, non-dispositive pretrial motions, and settlement). Referred to Magistrate Judge Debra C. Freeman. (Signed by Judge Barbara S. Jones on 10/14/2008) (jpo) Modified on 12/1/2008 (jpo). (Entered: 10/15/2008)
10/15/2008	45	ORDER: Accordingly, Plaintiff is directed to contact Judge Freeman to determine when the Initial Pretrial Conference, originally scheduled by Judge Cote for Friday, October 17 at 3:00 p.m., will now occur. (Signed by Judge Barbara S. Jones on 10/15/2008) (jpo) (Entered: 10/15/2008)
10/16/2008	46	NOTICE OF APPEARANCE by Molly S. Boast on behalf of UBS AG, UBS Securities LLC, UBS Financial Services, Inc. (Boast, Molly) (Entered: 10/16/2008)
10/16/2008	47	NOTICE OF APPEARANCE by Donald W. Hawthorne on behalf of UBS AG, UBS Securities LLC, UBS Financial Services, Inc. (Hawthorne, Donald) (Entered: 10/16/2008)
10/16/2008	48	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Identifying UBS AG as Corporate Parent. Document filed by UBS AG, UBS Securities LLC, UBS Financial Services, Inc..(Boast, Molly) (Entered: 10/16/2008)
10/16/2008	49	

		RULE 7.1 CORPORATE DISCLOSURE STATEMENT. No Corporate Parent. Document filed by JP Morgan Chase & Co.. (Attachments: # 1 Certificate of Service)(Rice, Thomas) (Entered: 10/16/2008)
10/17/2008	50	ORDER GRANTING APPLICATION OF JILL M. MANNING FOR ADMISSION PRO HAC VICE granting 43 Motion for Jill M. Manning to Appear Pro Hac Vice. (Signed by Judge Barbara S. Jones on 10/17/08) (mme) (Entered: 10/17/2008)
10/17/2008		Transmission to Attorney Admissions Clerk. Transmitted re: 50 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (mme) (Entered: 01/08/2009)
10/20/2008	51	NOTICE OF APPEARANCE by Brad Scott Karp on behalf of Citigroup, Inc, Citigroup Global Markets, Inc. (Karp, Brad) (Entered: 10/20/2008)
10/20/2008	52	NOTICE OF APPEARANCE by Charles Edward Davidow on behalf of Citigroup, Inc, Citigroup Global Markets, Inc. (Davidow, Charles) (Entered: 10/20/2008)
10/20/2008	53	NOTICE OF APPEARANCE by Kenneth Anthony Gallo on behalf of Citigroup, Inc, Citigroup Global Markets, Inc. (Gallo, Kenneth) (Entered: 10/20/2008)
10/20/2008	54	NOTICE OF APPEARANCE by Andrew Corydon Finch on behalf of Citigroup, Inc, Citigroup Global Markets, Inc. (Finch, Andrew) (Entered: 10/20/2008)
10/20/2008	55	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. No Corporate Parent. Document filed by Citigroup, Inc, Citigroup Global Markets, Inc.. (Karp, Brad) (Entered: 10/20/2008)
10/21/2008	56	NOTICE OF APPEARANCE by Margaret Elizabeth Bartlett on behalf of Goldman Sachs Group, Inc., The (Bartlett, Margaret) (Entered: 10/21/2008)
10/22/2008	57	NOTICE OF APPEARANCE by Julia Marie Guaragna on behalf of The Goldman Sachs Group, Inc. (Guaragna, Julia) (Entered: 10/22/2008)
10/22/2008		Transmission to Attorney Admissions Clerk. Transmitted re: 50 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (mme) (Entered: 10/22/2008)
10/27/2008	59	STIPULATION AND ORDER, It is hereby stipulated and agreed that the time for defendants to answer or otherwise respond to the class action complaint shall be due by and including December 17, 2008. If defendants choose to respond to the class action complaint by filing one or more motions to dismiss, plaintiffs shall file any opposition by and including February 17, 2009. Defendants shall file any reply by and including March 19, 2009. (Signed by Magistrate Judge Debra C. Freeman on 10/27/08) (mme) (Entered: 10/27/2008)
10/28/2008	60	AFFIDAVIT OF SERVICE of Summons and Complaint served on Citigroup, Inc. on 9/11/08. Service was accepted by Cecilia Silfa, Paralegal. Document

		filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 10/28/2008)
10/28/2008	61	AFFIDAVIT OF SERVICE of Summons and Complaint served on Citigroup Global Markets, Inc. on 9/11/08. Service was accepted by Fern Strauss, Managing Paralegal. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 10/28/2008)
10/28/2008	62	AFFIDAVIT OF SERVICE of Summons and Complaint served on UBS Securities, LLC on 9/15/08. Service was accepted by Cynthia M. Walshe, Director. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 10/28/2008)
10/28/2008	63	AFFIDAVIT OF SERVICE of Summons and Complaint served on UBS Financial Services, Inc. on 9/10/08. Service was accepted by Tashana Constantine, Legal Administrative Assistant. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 10/28/2008)
10/28/2008	64	AFFIDAVIT OF SERVICE of Summons and Complaint served on Merrill Lynch & Co., Inc. on 9/10/08. Service was accepted by Jenny Lee, Paralegal. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 10/28/2008)
10/28/2008	65	AFFIDAVIT OF SERVICE of Summons and Complaint served on Morgan Stanley on 9/11/08. Service was accepted by Barbara Valente, Paralegal. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 10/28/2008)
10/28/2008	66	AFFIDAVIT OF SERVICE of Summons and Complaint served on Bank of America on 9/16/08. Service was accepted by Alejandro Cordero, Banking Manager. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 10/28/2008)
10/28/2008	67	AFFIDAVIT OF SERVICE of Summons and Complaint served on Wachovia Corporation on 9/16/08. Service was accepted by Elizabeth Gass, Paralegal. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 10/28/2008)
10/28/2008	68	AFFIDAVIT OF SERVICE of Summons and Complaint served on Wachovia Securities, LLC on 9/11/08. Service was accepted by Tara Randle, Admin Assistant. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 10/28/2008)
10/28/2008	69	AFFIDAVIT OF SERVICE of Summons and Complaint served on Wachovia Capital Markets, LLC on 9/16/08. Service was accepted by Elizabeth Gass, Paralegal. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 10/28/2008)
10/28/2008	70	AFFIDAVIT OF SERVICE of Summons and Complaint served on The Goldman Sachs Group, Inc. on 9/10/08. Service was accepted by Joanne Cook, Vice President. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 10/28/2008)
10/28/2008	71	

		AFFIDAVIT OF SERVICE of Summons and Complaint served on JP Morgan Chase & Co. on 9/10/08. Service was accepted by Linda A. Platone, Legal Specialist III. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 10/28/2008)
10/28/2008	72	AFFIDAVIT OF SERVICE of Summons and Complaint served on Deutsche Bank AG on 9/10/08. Service was accepted by Norma Jean Clark, authorized by appointment to accept service. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 10/28/2008)
10/29/2008		CASHIERS OFFICE REMARK on 42 Order on Motion to Appear Pro Hac Vice, 41 Order on Motion to Appear Pro Hac Vice, in the amount of \$50.00, paid on 10/09/2008, Receipt Number 665187. (jd) (Entered: 10/29/2008)
10/29/2008		CASHIERS OFFICE REMARK on 50 Order on Motion to Appear Pro Hac Vice in the amount of \$25.00, paid on 10/10/2008, Receipt Number 665411. (jd) (Entered: 10/29/2008)
12/11/2008	73	NOTICE of Substitution of Law Firm. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 12/11/2008)
12/11/2008	74	NOTICE of Change of Firm Affiliation. Document filed by Paul Walton, John Abbott, Russell Mayfield. (Olson, Steig) (Entered: 12/11/2008)
12/12/2008	75	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Identifying State Street Bank & Trust Company as Corporate Parent. Document filed by Morgan Stanley.(Markel, Gregory) Modified on 1/20/2009 (ama). (Entered: 12/12/2008)
01/09/2009	76	STIPULATION AND ORDER; that the time for Defendants to answer or otherwise respond to the Class Action Complaint shall be by and including 1/15/2009. If Defendants choose to respond to the Class Action Complaint by filing one or more Motions to Dismiss, Plaintiffs shall file any Opposition by and including 3/19/2009. Defendants shall file any Reply by and including 4/16/2009. SO ORDERED. (Signed by Magistrate Judge Debra C. Freeman on 1/9/2009) (tve) (Entered: 01/09/2009)
01/15/2009	77	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Identifying Bank of America Corporation as Corporate Parent. Document filed by Merrill Lynch & Co, Inc.(Kasner, Jay) (Entered: 01/15/2009)
01/15/2009	78	JOINT MOTION to Dismiss <i>Dismiss the Class Action Complaints</i> . Document filed by Goldman Sachs Group, Inc., The, Citigroup, Inc, Citigroup Global Markets, Inc., UBS AG, UBS Securities LLC, UBS Financial Services, Inc., Merrill Lynch & Co, Inc, Morgan Stanley, Bank of America Corp., Wachovia Corporation, Wachovia Securities, LLC, Wachovia Capital Markets, LLC, The Goldman Sachs Group, Inc., JP Morgan Chase & Co., Royal Bank of Canada, Deutsche Bank, AG.(Youngwood, Jonathan) (Entered: 01/15/2009)
01/15/2009	79	DECLARATION of Johnathan K. Youngwood in Support re: 78 JOINT MOTION to Dismiss <i>Dismiss the Class Action Complaints</i> .. Document filed by JP Morgan Chase & Co.. (Attachments: # 1 Exhibit A-M, # 2 Exhibit N-Y) (Youngwood, Jonathan) (Entered: 01/15/2009)

01/15/2009	80	JOINT MEMORANDUM OF LAW in Support re: 78 JOINT MOTION to Dismiss <i>Dismiss the Class Action Complaints.</i> . Document filed by Citigroup, Inc, Citigroup Global Markets, Inc., UBS AG, UBS Securities LLC, UBS Financial Services, Inc., Merrill Lynch & Co, Inc, Morgan Stanley, Bank of America Corp., Wachovia Corporation, Wachovia Securities, LLC, Wachovia Capital Markets, LLC, The Goldman Sachs Group, Inc., JP Morgan Chase & Co., Royal Bank of Canada, Deutsche Bank, AG. (Youngwood, Jonathan) (Entered: 01/15/2009)
01/16/2009	81	NOTICE OF APPEARANCE by William Henry Wagener on behalf of Goldman Sachs Group, Inc., The (Wagener, William) (Entered: 01/16/2009)
03/18/2009	85	MOTION for Michael P. Lehmann to Appear Pro Hac Vice. Document filed by Paul Walton, John Abbott, Russell Mayfield.(dle) (Entered: 03/20/2009)
03/19/2009	82	MEMORANDUM OF LAW in Opposition re: 78 JOINT MOTION to Dismiss <i>Dismiss the Class Action Complaints.</i> . Document filed by Paul Walton, John Abbott, Russell Mayfield. (Subramanian, Arun) (Entered: 03/19/2009)
03/19/2009	83	DECLARATION of Arun S. Subramanian in Opposition re: 78 JOINT MOTION to Dismiss <i>Dismiss the Class Action Complaints.</i> . Document filed by Paul Walton, John Abbott, Russell Mayfield. (Attachments: # 1 Exhibit Exhibit A)(Subramanian, Arun) (Entered: 03/19/2009)
03/19/2009	84	RESPONSE in Opposition re: 78 JOINT MOTION to Dismiss <i>Dismiss the Class Action Complaints. Request for Judicial Notice.</i> Document filed by Paul Walton, John Abbott, Russell Mayfield. (Attachments: # 1 Exhibit Exhibit 1, # 2 Exhibit Exhibit 2, # 3 Exhibit Exhibit 3, # 4 Exhibit Exhibit 4, # 5 Exhibit Exhibit 5, # 6 Exhibit Exhibit 6)(Subramanian, Arun) (Entered: 03/19/2009)
03/25/2009	86	ORDER granting 85 Motion for Michael P. Lehmann to Appear Pro Hac Vice. (Signed by Judge Barbara S. Jones on 3/25/09) (cd) (Entered: 03/27/2009)
03/27/2009		Transmission to Attorney Admissions Clerk. Transmitted re: 86 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (cd) (Entered: 03/27/2009)
03/31/2009	87	NOTICE OF CHANGE OF ADDRESS by Steig Olson on behalf of Russell Mayfield. New Address: HAUSFELD LLP, 11 Broadway, Suite 615, New York, NY, USA 10004, 212-278-0877. (Olson, Steig) (Entered: 03/31/2009)
04/03/2009		CASHIERS OFFICE REMARK on 85 Motion to Appear Pro Hac Vice in the amount of \$25.00, paid on 03/18/2009, Receipt Number 681929. (jd) (Entered: 04/03/2009)
04/16/2009	88	JOINT REPLY MEMORANDUM OF LAW in Support re: 78 JOINT MOTION to Dismiss <i>Dismiss the Class Action Complaints.</i> . Document filed by Citigroup, Inc, Citigroup Global Markets, Inc., UBS AG, UBS Securities LLC, UBS Financial Services, Inc., Merrill Lynch & Co, Inc, Morgan Stanley, Bank of America Corp., Wachovia Corporation, Wachovia Securities, LLC, Wachovia Capital Markets, LLC, The Goldman Sachs Group, Inc., JP Morgan

		Chase & Co., Royal Bank of Canada, Deutsche Bank, AG. (Youngwood, Jonathan) (Entered: 04/16/2009)
05/06/2009	89	NOTICE of Withdrawal of Appearance of Molly S. Boast as attorney for UBS AG, UBS Securities, LLC and UBS Financial Services, Inc. Document filed by UBS AG, UBS Securities LLC, UBS Financial Services, Inc.. (Boast, Molly) (Entered: 05/06/2009)
05/11/2009	90	ENDORSED LETTER addressed to Judge Barbara S. Jones from Molly S. Boast dated 5/6/2009 re: request your permission to have my name removed from the court's docket and ECF electronic mailing distribution list. ENDORSEMENT: Application is granted. (Signed by Judge Barbara S. Jones on 5/7/2009) (jar) (Entered: 05/11/2009)
05/26/2009	91	MOTION for Margaret K. Aleks to Appear Pro Hac Vice. Document filed by Paul Walton, John Abbott, Russell Mayfield.(dle) (Entered: 05/28/2009)
05/27/2009		Minute Entry for proceedings held before Magistrate Judge Debra C. Freeman: Conference held on 5/27/2009. Motion to stay denied. Parties to submit joint proposed scheduling order by June 10, 2009. (mbe) (Entered: 06/11/2009)
06/01/2009	92	ORDER granting 91 Motion for Margaret K. Aleks to Appear Pro Hac Vice. Upon consideration of the Motion to Admit Margaret K. Aleks pro hac vice and the supporting documents attached hereto, it is hereby order that the Motion is GRANTED. (Signed by Judge Barbara S. Jones on 6/1/09) (tro) (Entered: 06/02/2009)
06/01/2009		Transmission to Attorney Admissions Clerk. Transmitted re: 92 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (tro) (Entered: 06/02/2009)
06/05/2009	93	ORDER: Upon consideration of the Motion to Admit Margaret K. Aleks pro hac vice and the supporting documents attached thereto, it is hereby ordered that the Motion is GRANTED. (Signed by Judge Barbara S. Jones on 6/1/2009) (tve) (Entered: 06/05/2009)
06/05/2009		Transmission to Attorney Admissions Clerk. Transmitted re: 93 Order Admitting Attorney Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (tve) (Entered: 06/05/2009)
06/22/2009	94	ENDORSED LETTER addressed to Magistrate Judge Debra C. Freeman from Allan Steyer dated 6/10/09 re: The parties present their joint discovery proposal as further set forth in this letter. ENDORSEMENT: The within proposed schedule is adopted. Counsel are directed to attend a status conference before the Court on July 15, 2009, at 11:00 a.m., in Courtroom 17A, 500 Pearl St. (Signed by Magistrate Judge Debra C. Freeman on 6/19/09) (tro) (Entered: 06/22/2009)
06/23/2009	95	AMENDED ENDORSED LETTER addressed to Magistrate Judge Debra Freeman from Allen Steyer and Jonathan Youngwood dated 6/10/2009 re: As the Court instructed at the May 27, 2009 conference in the above-reference actions, plaintiffs' and defendants' counsel have met and conferred regarding initial disclosures and discovery. The parties present the following joint

		discovery proposal. Protective Order Plaintiffs and defendants have agreed that defendants will provide plaintiffs with a proposed protective order for their review by June 15, 2009. Fed. Rule Civ. Proc. 26(a) Initial Disclosures Plaintiffs and defendants have agreed that Rule 26(a) disclosures will be exchanged by the parties on July 10, 2009. Discussions Regarding Preliminary Issues Including Document Preservation. E-Discovery Issues and Fed. Rule Evid. 502 Plaintiffs and defendants have agreed that they will discuss the above issues by July 20, 2009. Initial Discovery Requests Plaintiffs and defendants agree that a first round of initial interrogatories and document requests will be served by all parties on July 24, 2009. Initial Discovery Responses Plaintiffs and defendants agree that responses to the first round of interrogatories and document requests should be served by August 24, 2009. Status Conference with Court Plaintiffs and defendants agree that, subject to the Court's schedule and convenience, a status conference before the Court should be set during the weeks of September 8 or 14, 2009. AMENDED ENDORSEMENT: The within proposed schedule is adopted. Counsel are directed to attend a status conference before the Court on September 15, 2009, at 11:00 am, in courtroom 17A, 500 Pearl Street. SO ORDERED. (Status Conference set for 9/15/2009 at 11:00 AM in Courtroom 17A, 500 Pearl Street, New York, NY 10007 before Magistrate Judge Debra C. Freeman.) (Signed by Magistrate Judge Debra C. Freeman on 6/23/2009) (jmi) Modified on 6/29/2009 (jmi). (Entered: 06/23/2009)
06/24/2009		CASHIERS OFFICE REMARK on 91 Motion to Appear Pro Hac Vice in the amount of \$25.00, paid on 05/26/2009, Receipt Number 688945. (jd) (Entered: 06/24/2009)
06/24/2009		CASHIERS OFFICE REMARK on 91 Motion to Appear Pro Hac Vice in the amount of \$25.00, paid on 05/26/2009, Receipt Number 688946. (jd) (Entered: 06/24/2009)
10/02/2009	96	PROTECTIVE ORDER: Regarding procedures to be followed that shall govern the handling of confidential material. ENDORSEMENT: Any request to maintain the confidentiality of any evidence introduced at trial shall be made to the trial judge. (Signed by Magistrate Judge Debra C. Freeman on 10/2/09) (db) (Entered: 10/02/2009)
11/04/2009	97	ORDER: The Parties are directed to appear before this Court for argument on Defendant's pending Joint Motion to Dismiss the Class Action Complaints in the above captioned matter on 11/13/2009 at 02:30 PM in Courtroom 17C, 500 Pearl Street, New York, NY 10007 before Judge Barbara S. Jones. (Signed by Judge Barbara S. Jones on 11/4/09) (tro) (Entered: 11/04/2009)
11/04/2009		***DELETED DOCUMENT. Deleted document number 98 Endorsed Letter. The document was incorrectly filed in this case. (tro) (Entered: 11/05/2009)
11/10/2009	98	ORDER: In response to Plaintiffs' letter application, the hearing before this Court for argument on Defendants' pending Joint Motion to Dismiss the Class Action Complaint in the above captioned matter is rescheduled to 11/24/09 at 2:30 p.m. in Courtroom 17C, 500 Pearl Street, New York, NY 10007 before Judge Barbara S. Jones. (Signed by Judge Barbara S. Jones on 11/10/09) (tro) (Entered: 11/12/2009)

01/26/2010	99	ORDER: For the reasons set forth above, Defendants Motion to Dismiss both the Investor Complaint and the Issuer Complaint is GRANTED. Because no further issues remain to be decided, the Clerk of the Court is directed to close both of the above-captioned cases. (Signed by Judge Barbara S. Jones on 1/26/2010) (jfe) (Entered: 01/26/2010)
01/30/2010	100	CLERK'S JUDGMENT That for the reasons stated in the Court's Order dated January 26, 2010, defendants' motion to dismiss both the Investor Complaint and the Issuer Complaint is granted; accordingly, both of the above-captioned cases are closed. (Signed by J. Michael McMahon, clerk on 1/30/10) (Attachments: # 1 notice of right to appeal)(ml) (Entered: 01/30/2010)
03/01/2010	101	NOTICE OF APPEAL from 100 Clerk's Judgment,. Document filed by Paul Walton, John Abbott, Russell Mayfield. Filing fee \$ 455.00, receipt number E 895588. (nd) (Entered: 03/01/2010)
03/01/2010		Transmission of Notice of Appeal to the District Judge re: 101 Notice of Appeal. (nd) (Entered: 03/01/2010)
03/01/2010		Transmission of Notice of Appeal and Certified Copy of Docket Sheet to US Court of Appeals re: 101 Notice of Appeal. (nd) (Entered: 03/01/2010)
03/01/2010		Appeal Record Sent to USCA (Electronic File). Certified Indexed record on Appeal Electronic Files for 14 Notice of Appearance filed by Wachovia Capital Markets, LLC, Wachovia Corporation, Wachovia Securities, LLC, 22 Rule 7.1 Corporate Disclosure Statement filed by The Goldman Sachs Group, Inc., 93 Order Admitting Attorney Pro Hac Vice, 59 Stipulation and Order, Set Deadlines,,, 44 Order Referring Case to Magistrate Judge, 86 Order on Motion to Appear Pro Hac Vice, 17 Notice of Appearance filed by Deutsche Bank, AG, 6 Rule 7.1 Corporate Disclosure Statement filed by Bank of America Corp., 94 Endorsed Letter, Set Deadlines/Hearings,, 91 MOTION for Margaret K. Aleks to Appear Pro Hac Vice. filed by Paul Walton, John Abbott, Russell Mayfield, 67 Affidavit of Service Other filed by Paul Walton, John Abbott, Russell Mayfield, 4 Notice (Other) filed by Lehman Brothers Holdings Inc., 79 Declaration in Support of Motion filed by JP Morgan Chase & Co., 12 Notice of Appearance filed by Morgan Stanley, 3 Notice (Other) filed by Paul Walton, John Abbott, Russell Mayfield, 97 Order, Set Deadlines/Hearings,, 40 Rule 7.1 Corporate Disclosure Statement filed by Wachovia Capital Markets, LLC, 85 MOTION for Michael P. Lehmann to Appear Pro Hac Vice. filed by Paul Walton, John Abbott, Russell Mayfield, 65 Affidavit of Service Other filed by Paul Walton, John Abbott, Russell Mayfield, 60 Affidavit of Service Other filed by Paul Walton, John Abbott, Russell Mayfield, 34 Notice of Appearance filed by Royal Bank of Canada, 101 Notice of Appeal filed by Paul Walton, John Abbott, Russell Mayfield, 70 Affidavit of Service Other filed by Paul Walton, John Abbott, Russell Mayfield, 36 MOTION for Lisa Marie Black to Appear Pro Hac Vice. filed by Paul Walton, John Abbott, Russell Mayfield, 11 Notice of Appearance filed by Morgan Stanley, 89 Notice (Other) filed by UBS Financial Services, Inc., UBS Securities LLC, UBS AG, 87 Notice of Change of Address filed by Russell Mayfield, 39 Rule 7.1 Corporate Disclosure Statement filed by Wachovia Securities, LLC, 30 Notice of Appearance filed by Merrill Lynch & Co, Inc, 9

Notice of Appearance filed by JP Morgan Chase & Co., [2](#) Order for Initial Pretrial Conference, [80](#) Memorandum of Law in Support of Motion, filed by Wachovia Capital Markets, LLC, Morgan Stanley, Citigroup, Inc, The Goldman Sachs Group, Inc., UBS Financial Services, Inc., Wachovia Securities, LLC, JP Morgan Chase & Co., Deutsche Bank, AG, Bank of America Corp., Royal Bank of Canada, UBS AG, UBS Securities LLC, Wachovia Corporation, Citigroup Global Markets, Inc., Merrill Lynch & Co, Inc, [15](#) Notice of Appearance filed by Wachovia Capital Markets, LLC, Wachovia Securities, LLC, Wachovia Corporation, [45](#) Order, [56](#) Notice of Appearance filed by Goldman Sachs Group, Inc., The, [82](#) Memorandum of Law in Opposition to Motion filed by John Abbott, Russell Mayfield, Paul Walton, [7](#) Notice of Appearance filed by Bank of America Corp., [13](#) Notice of Case Assignment/Reassignment, [51](#) Notice of Appearance filed by Citigroup, Inc, Citigroup Global Markets, Inc., [23](#) Notice of Appearance filed by JP Morgan Chase & Co., [57](#) Notice of Appearance filed by The Goldman Sachs Group, Inc., [47](#) Notice of Appearance filed by UBS Financial Services, Inc., UBS AG, UBS Securities LLC, [42](#) Order on Motion to Appear Pro Hac Vice, [48](#) Rule 7.1 Corporate Disclosure Statement filed by UBS Financial Services, Inc., UBS AG, UBS Securities LLC, [1](#) Complaint,, filed by John Abbott, Russell Mayfield, Paul Walton, [8](#) Notice of Appearance filed by Bank of America Corp., [78](#) JOINT MOTION to Dismiss *Dismiss the Class Action Complaints*. filed by Goldman Sachs Group, Inc., The, JP Morgan Chase & Co., Royal Bank of Canada, UBS AG, Citigroup Global Markets, Inc., Merrill Lynch & Co, Inc, Wachovia Capital Markets, LLC, Morgan Stanley, Citigroup, Inc, The Goldman Sachs Group, Inc., UBS Financial Services, Inc., Deutsche Bank, AG, Wachovia Securities, LLC, Bank of America Corp., UBS Securities LLC, Wachovia Corporation, [63](#) Affidavit of Service Other, filed by Russell Mayfield, Paul Walton, John Abbott, [88](#) Reply Memorandum of Law in Support of Motion,, filed by JP Morgan Chase & Co., Royal Bank of Canada, UBS AG, Citigroup Global Markets, Inc., Merrill Lynch & Co, Inc, Wachovia Capital Markets, LLC, Morgan Stanley, Citigroup, Inc, The Goldman Sachs Group, Inc., UBS Financial Services, Inc., Wachovia Securities, LLC, Deutsche Bank, AG, Bank of America Corp., Wachovia Corporation, UBS Securities LLC, [26](#) Stipulation and Order, [100](#) Clerk's Judgment, [74](#) Notice (Other) filed by Russell Mayfield, Paul Walton, John Abbott, [66](#) Affidavit of Service Other filed by Russell Mayfield, Paul Walton, John Abbott, [29](#) Notice of Appearance filed by Merrill Lynch & Co, Inc, [20](#) Rule 7.1 Corporate Disclosure Statement filed by Deutsche Bank, AG, [73](#) Notice (Other) filed by Russell Mayfield, Paul Walton, John Abbott, [41](#) Order on Motion to Appear Pro Hac Vice, [28](#) Notice of Appearance filed by Merrill Lynch & Co, Inc, [25](#) Notice of Case Assignment/Reassignment, [33](#) Rule 7.1 Corporate Disclosure Statement filed by Royal Bank of Canada, [10](#) Notice of Appearance filed by JP Morgan Chase & Co., [27](#) Order, [55](#) Rule 7.1 Corporate Disclosure Statement filed by Citigroup Global Markets, Inc., Citigroup, Inc, [99](#) Order, [5](#) Notice of Appearance filed by Bank of America Corp., [64](#) Affidavit of Service Other filed by Russell Mayfield, Paul Walton, John Abbott, [35](#) Certificate of Service Other filed by Royal Bank of Canada, [46](#) Notice of Appearance filed by UBS AG, UBS Financial Services, Inc., UBS Securities LLC, [54](#) Notice of Appearance filed by Citigroup Global Markets,

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06/01/2010	102	NOTICE of Withdrawal of Appearance. Document filed by John Abbott. (Olson, Steig) (Entered: 06/01/2010)
07/12/2010	103	STIPULATION ORDER: It is hereby Stipulated and agreed that the following documents shall be added to the record for purposes of appeal: 1. Transcript of the oral argument held on November 24, 2009 before the Honorable Barbara S. Jones. 2. Defendants' December 4, 2009 letter to the Honorable Barbara S. Jones and the exhibits attached thereto. 3. Plaintiffs' December 10, 2009 letter to the Honorable Barbara S. Jones. 4. Defendants' December 18, 2009 letter to the Honorable Barbara S. Jones and the exhibits attached thereto. The documents described in this Stipulation will be held by Attorneys of record until requested by the United States Court of Appeals for the Second Circuit. (Signed by Judge Barbara S. Jones on 7/9/2010) (jfe) (Entered: 07/12/2010)
04/15/2011	104	NOTICE of Notice of Withdrawal of Appearance of Steig D. Olson. Document filed by John Abbott, Russell Mayfield, Paul Walton. (Lehmann, Michael) (Entered: 04/15/2011)
06/21/2011	105	

		NOTICE of Withdrawal. Document filed by John Abbott, Russell Mayfield, Paul Walton. (Olson, Steig) (Entered: 06/21/2011)
07/09/2012	106	NOTICE OF CHANGE OF ADDRESS by Donald W. Hawthorne on behalf of UBS AG, UBS Financial Services, Inc., UBS Securities LLC. New Address: Axinn, Veltrop & Harkrider, 114W 47th Street, New York, New York, United States 10036, 212-261-5665. (Hawthorne, Donald) (Entered: 07/09/2012)
03/26/2013	107	MANDATE of USCA (Certified Copy) as to 101 Notice of Appeal filed by Paul Walton, John Abbott, Russell Mayfield USCA Case Number 10-0722(L); 10-0867(Con). It is Hereby Ordered, Adjudged and Decreed that the judgment of the District Court is AFFIRMED in accordance with the opinion of this court. Catherine O'Hagan Wolfe, Clerk USCA for the Second Circuit. Issued As Mandate: 3/26/2013. (tp) (Entered: 03/26/2013)
03/26/2013		Transmission of USCA Mandate/Order to the District Judge re: 107 USCA Mandate. (tp) (Entered: 03/26/2013)

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