

**U.S. District Court**  
**District of Connecticut (New Haven)**  
CIVIL DOCKET FOR CASE #: 3:97-cv-00189-AVC

Cronan, et al v. Northeast Utilities, et al  
Assigned to: Judge Alfred V. Covello  
Demand: \$0  
Case in other court: ç1, 3:97-cv-00322  
ç1, 3:97-cv-00472  
ç1, 3:97-cv-00485  
ç1, 3:97-cv-00536  
Cause: 15:78m(a) Securities Exchange Act

Date Filed: 01/29/1997  
Jury Demand: Plaintiff  
Nature of Suit: 850  
Securities/Commodities  
Jurisdiction: Federal Question

**Plaintiff**

**Rosalie Cronan**  
*Individually & o/b/o a class of other  
similarly situated*

represented by **Brian P. Daniels**  
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**Plaintiff**

**all plaintiffs**

V.

**Consol Plaintiff**

**Susan Katz**

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**Consol Plaintiff**

**Steven J. Konis**

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**Consol Plaintiff**

**Peter Badas**

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**Consol Plaintiff**

**Diane Crovo**

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**Consol Plaintiff**

**Carlton Leonard**

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**Consol Plaintiff**

**George Heelan**

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**Consol Plaintiff**

**Randee Carol Schepps**

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V.

**Defendant**

**Bernard M. Fox**

**Defendant**

**John H. Noyes**

**Defendant**

**John Keane**

*TERMINATED: 04/09/1998*

V.

**Consol Defendant**

**Northeast Utilities**

represented by **Allan B. Taylor**  
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**Philip Smith Wellman**

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**Consol Defendant**

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**Philip Smith Wellman**  
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**Thomas J. Groark, Jr.**  
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**Consol Defendant**

**Robert E. Busch**

represented by **Allan B. Taylor**  
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**Thomas J. Groark, Jr.**  
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*LEAD ATTORNEY*

*ATTORNEY TO BE NOTICED*

<b>Date Filed</b>	<b>#</b>	<b>Docket Text</b>
01/29/1997	1	COMPLAINT Filing Fee \$ 150.00 Receipt # 156515 (Villano, P.) (Entered: 02/03/1997)
01/29/1997		SUMMONS(ES) issued for Northeast Utilities (Villano, P.) (Entered: 02/03/1997)
01/29/1997	2	ORDER on Pretrial Deadlines handed to counsel. Discovery cutoff 7/31/97 ; Dispositive Motions due 8/30/97 Amended Pleadings due 3/31/97 Motions to Dismiss due 4/29/97 (Villano, P.) (Entered: 02/03/1997)
02/12/1997	3	APPEARANCE of Attorney for Northeast Utilities -- Thomas J. Groark Jr., Allan B. Taylor, Philip Smith Wellman (Wood, R.) (Entered: 02/13/1997)
03/03/1997	4	AMENDED COMPLAINT by Rosalie Cronan adding Bernard M. Fox, John H. Noyes amending [1-1] complaint; jury demand (Blue,A.) (Entered: 03/04/1997)
03/25/1997	5	MOTION by Rosalie Cronan for Harvey Greenfield & Mark Levine to Appear Pro Hac Vice (Grady, B.) (Entered: 03/31/1997)
03/31/1997	6	APPEARANCE of Attorney for Rosalie Cronan -- Brian P. Daniels (D'Onofrio, B.) (Entered: 04/03/1997)
03/31/1997	7	MOTION by Rosalie Cronan To Appoint Rosalie Cronan, Donald Kassan & John Marhoefer to serve as Lead Plaintiffs and for Approval of Proposed Lead Plaintiffs' Choice of Lead Counsel (Brief Due 4/21/97 ) (D'Onofrio, B.) (Entered: 04/03/1997)
03/31/1997	8	MEMORANDUM by Rosalie Cronan in support of [7-1] motion To Appoint Rosalie Cronan, Donald Kassan & John Marhoefer to serve as Lead Plaintiffs and for Approval of Proposed Lead Plaintiffs' Choice of Lead Counsel (D'Onofrio, B.) (Entered: 04/03/1997)
03/31/1997	9	AFFIDAVIT of Mark Levine by Rosalie Cronan Re [7-1] motion To Appoint Rosalie Cronan, Donald Kassan & John Marhoefer to serve as Lead Plaintiffs and for Approval of Proposed Lead Plaintiffs' Choice of Lead Counsel by Rosalie Cronan (D'Onofrio, B.) (Entered: 04/03/1997)
04/02/1997		ENDORSEMENT granting [5-1] motion for Harvey Greenfield & Mark Levine to Appear Pro Hac Vice (signed by Judge Robert N. Chatigny) (Grady, B.) (Entered: 04/02/1997)
04/03/1997	10	ORDER of Transfer ( signed by Judge Robert N. Chatigny ) to Judge Alfred V. Covello (Bauer, J.) (Entered: 04/04/1997)
04/17/1997	24	MOTION by Rosalie Cronan to Consolidate Case with docket number(s): , & for Status Conference (Wiggins, M.) (Entered: 09/19/1997)
04/17/1997	25	MEMORANDUM by Rosalie Cronan in support of [24-1] motion to Consolidate Case with docket number(s):, [24-2] motion for Status Conference (Wiggins, M.)

		(Entered: 09/19/1997)
04/28/1997	11	MOTION by Northeast Utilities, Bernard M. Fox, John H. Noyes to Dismiss the First Amended Class Action Complaint (Brief Due 5/19/97 ) (Grady, B.) (Entered: 04/29/1997)
04/28/1997	12	MEMORANDUM by Northeast Utilities, Bernard M. Fox, John H. Noyes in support of [11-1] motion to Dismiss the First Amended Class Action Complaint (Grady, B.) (Entered: 04/29/1997)
04/28/1997	13	Appendix by Northeast Utilities, Bernard M. Fox, John H. Noyes to [11-1] motion to Dismiss the First Amended Class Action Complaint by John H. Noyes, Bernard M. Fox, Northeast Utilities (Grady, B.) (Entered: 04/29/1997)
05/29/1997	14	MOTION by Rosalie Cronan to Extend Time to 07/01/97 to respond to the Motion to Dismiss (Grady, B.) (Entered: 05/29/1997)
06/02/1997		ENDORSEMENT granting [14-1] motion to Extend Time to 07/01/97 to respond to the Motion to Dismiss, Brief Deadline set for 7/1/97 [11-1] motion to Dismiss the First Amended Class Action Complaint ( signed by Judge Alfred V. Covello ) (Grady, B.) (Entered: 06/02/1997)
06/02/1997	15	ORDER: The parties shall jointly reimburse the parajudicial officer at a rate of \$150 per hour ( signed by Judge Alfred V. Covello ) (Grady, B.) (Entered: 06/03/1997)
07/07/1997	21	MOTION by Rosalie Cronan to Extend Time to 07/9/97 to respond to the Motion to Dismiss (Grady, B.) (Entered: 08/07/1997)
07/09/1997	17	MEMORANDUM by Rosalie Cronan in opposition to [11-1] motion to Dismiss the First Amended Class Action Complaint by John H. Noyes, Bernard M. Fox, Northeast Utilities (Former Employee) (Entered: 07/17/1997)
07/16/1997	16	MOTION by Northeast Utilities, Bernard M. Fox, John H. Noyes to Extend Time to 7/31/97 to reply to response to Motion to Dismiss (D'Onofrio, B.) (Entered: 07/16/1997)
07/18/1997	18	NOTICE to Counsel of Record regarding meeting to be held on 08/18/7 at 10:30 a.m. by Edward J. Daly, Jr. (Grady, B.) (Entered: 07/24/1997)
07/21/1997		ENDORSEMENT granting [16-1] motion to Extend Time to 7/31/97 to reply to response to Motion to Dismiss, Brief Deadline set for 7/31/97 [11-1] motion to Dismiss the First Amended Class Action Complaint ( signed by Judge Alfred V. Covello ) (Grady, B.) (Entered: 07/23/1997)
07/23/1997		ENDORSEMENT granting, nunc pro tunc, [21-1] motion to Extend Time to 07/9/97 to respond to the Motion to Dismiss ( signed by Judge Alfred V. Covello ) (Grady, B.) (Entered: 08/07/1997)
07/31/1997	19	REPLY MEMORANDUM by Northeast Utilities, Bernard M. Fox, John H. Noyes in support of [11-1] motion to Dismiss the First Amended Class Action Complaint (Grady, B.) (Entered: 08/04/1997)
07/31/1997	20	Appendix by Northeast Utilities, Bernard M. Fox, John H. Noyes to [11-1] motion to Dismiss the First Amended Class Action Complaint by John H. Noyes, Bernard

		M. Fox, Northeast Utilities (Johnson, D.) (Entered: 08/05/1997)
08/18/1997	22	Status Conference held ( Daly, PJO) (Wiggins, M.) (Entered: 08/21/1997)
08/28/1997		ENDORSEMENT denying as moot [7-1] motion To Appoint Rosalie Cronan, Donald Kassan & John Marhoefer to serve as Lead Plaintiffs and for Approval of Proposed Lead Plaintiffs' Choice of Counsel ( signed by Judge Alfred V. Covello ) (Johnson, D.) (Entered: 09/02/1997)
09/11/1997	23	Order of Consolidation Consolidated with 3:97cv322, 3:97cv472, 3:97cv485 & 3:97cv536 ( signed by Judge Alfred V. Covello ) Notice to counsel re: consolidation mailed (Blue,A.) (Entered: 09/12/1997)
09/30/1997		ENDORSEMENT denying [11-1] motion to Dismiss the First Amended Class Action Complaint ( signed by Judge Alfred V. Covello ) (Grady, B.) (Entered: 09/30/1997)
10/01/1997	26	ORDER regarding stipulation and case management order #1 ( signed by Judge Alfred V. Covello ) (Grady, B.) (Entered: 10/01/1997)
10/15/1997	27	ORDER of Transfer ( signed by Clerk ) to Judge Christopher F. Droney (Torday, B.) (Entered: 10/15/1997)
11/03/1997	28	ORDER, setting Status Report deadline to 11/18/97 ( signed by Judge Christopher F. Droney ) (Grady, B.) (Entered: 11/03/1997)
11/21/1997	29	MOTION by Rosalie Cronan, Susan Katz, Steven J. Konis, Peter Badas, Diane Crovo, William B. Ellis, Robert E. Busch, Carlton Leonard, George Heelan, Rande Carol Schepps to Extend Time to 12/22/97 to serve the Consolidated Amended Complaint (Grady, B.) (Entered: 11/21/1997)
12/01/1997		ENDORSEMENT granting [29-1] motion to Extend Time to 12/22/97 to serve the Consolidated Amended Complaint ( signed by Judge Christopher F. Droney ) (Grady, B.) (Entered: 12/01/1997)
12/23/1997	30	AMENDED COMPLAINT by Rosalie Cronan, Susan Katz, Steven J. Konis, Peter Badas, Diane Crovo, William B. Ellis, Robert E. Busch, Carlton Leonard, George Heelan, Rande Carol Schepps amending [4-1] amended complaint by Rosalie Cronan; jury demand (Grady, B.) (Entered: 12/29/1997)
01/23/1998	31	MOTION by Northeast Utilities, Bernard M. Fox, John H. Noyes, Robert E. Busch, William B. Ellis to Extend Time 02/27/98 to respond to the Consolidated Amended Complaint (Grady, B.) (Entered: 01/27/1998)
02/04/1998		ENDORSEMENT vacating [27-1] transfer order ( signed by Clerk ) (Bauer, J.) (Entered: 02/04/1998)
02/04/1998		CASE reassigned to Chief Judge Alfred V. Covello (Bauer, J.) (Entered: 02/04/1998)
02/12/1998		ENDORSEMENT granting in part, denying in part [31-1] motion to Extend Time 02/27/98 to respond to the Consolidated Amended Complaint ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 02/13/1998)
02/24/1998	32	MOTION by Northeast Utilities, Bernard M. Fox, John H. Noyes, William B. Ellis,

		Robert E. Busch to Exceed Page Limit (Grady, B.) (Entered: 02/27/1998)
02/27/1998	33	MOTION by Northeast Utilities, Bernard M. Fox, John H. Noyes, William B. Ellis, Robert E. Busch to Dismiss (Brief Due 3/20/98 ) (Grady, B.) (Entered: 03/02/1998)
02/27/1998	34	MEMORANDUM (appendix 1-40 attached) by Northeast Utilities, Bernard M. Fox, John H. Noyes, William B. Ellis, Robert E. Busch in support of [33-1] motion to Dismiss (Grady, B.) (Entered: 03/02/1998)
03/04/1998		ENDORSEMENT granting [32-1] motion to Exceed Page Limit ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 03/05/1998)
03/25/1998	35	MOTION by all plaintiffs for Reconsideration of endorsement order dated re: [21-1] motion to Extend Time to respond to the Motion to Dismiss (Bauer, J.) (Entered: 03/25/1998)
03/30/1998		ENDORSEMENT granting [35-1] motion for Reconsideration, vacating order dated 02/12/98, re: [31-1] motion to Extend Time 02/27/98 to respond to the Consolidated Amended Complaint Brief Deadline set for 4/13/98 [33-1] motion to Dismiss ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 03/31/1998)
04/09/1998	36	STIPULATION AND ORDER: The action is dismissed as to John Keane ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 04/09/1998)
04/13/1998	37	MEMORANDUM (Appendix attached) by Rosalie Cronan, Susan Katz, Steven J. Konis, Peter Badas, Diane Crovo, Carlton Leonard, George Heelan, Randee Carol Schepps in opposition to [33-1] motion to Dismiss by Robert E. Busch, William B. Ellis, John H. Noyes, Bernard M. Fox, Northeast Utilities (Grady, B.) (Entered: 04/14/1998)
04/13/1998	38	AFFIDAVIT of Gregory C. Minor by Rosalie Cronan, Susan Katz, Steven J. Konis, Peter Badas, Diane Crovo, Carlton Leonard, George Heelan, Randee Carol Schepps in support of [37-1] opposition memorandum, re: [33-1] motion to Dismiss by Robert E. Busch, William B. Ellis, John H. Noyes, Bernard M. Fox, Northeast Utilities (Grady, B.) (Entered: 04/14/1998)
04/13/1998	39	AFFIDAVIT of R. Alan Miller by Rosalie Cronan, Susan Katz, Steven J. Konis, Peter Badas, Diane Crovo, Carlton Leonard, George Heelan, Randee Carol Schepps in support of [37-1] opposition memorandum, re: [33-1] motion to Dismiss by Robert E. Busch, William B. Ellis, John H. Noyes, Bernard M. Fox, Northeast Utilities (Grady, B.) (Entered: 04/14/1998)
04/13/1998	40	MOTION by all plaintiffs to File brief in excess of page limit (Grady, B.) (Entered: 04/14/1998)
04/23/1998		ENDORSEMENT granting [40-1] motion to File brief in excess of page limit ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 04/23/1998)
04/30/1998	41	REPLY by Northeast Utilities, Bernard M. Fox, John H. Noyes, Robert E. Busch, William B. Ellis to response to [33-1] motion to Dismiss by Robert E. Busch, William B. Ellis, John H. Noyes, Bernard M. Fox, Northeast Utilities (Grady, B.) (Entered: 05/01/1998)

07/27/1998	42	ORDER: This action is assigned to Parajudicial Officer Edward J. Daly, Jr. for purposes of determining whether a set of standards and procedures should be developed which would govern any ultimate award of attorney's fees in this action ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 07/28/1998)
09/11/1998		ENDORSEMENT denying [33-1] motion to Dismiss ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 09/14/1998)
06/14/1999	43	PRETRIAL ORDER setting Filing of Trial Memorandum by 7/14/99 ( signed by Chief Judge Alfred V. Covello ) (Wiggins, M.) (Entered: 06/14/1999)
07/14/1999	44	MOTION by all plaintiffs to Extend Time to submit settlement agreement and to defer trial memorandum until further order of the court (Grady, B.) (Entered: 07/14/1999)
07/20/1999		ENDORSEMENT granting [44-1] motion to Extend Time to submit settlement agreement and to defer trial memorandum until further order of the court ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 07/20/1999)
09/22/1999	45	MEMORANDUM by all plaintiffs in support of [42-1] order (Grady, B.) (Entered: 09/23/1999)
10/01/1999	46	ORDER APPROVIING AND ADOPTING FINDING OF PARAJUDICIAL OFFICER ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 10/04/1999)
03/27/2000	47	STIPULATION Agreement of Settlement by all plaintiffs, Northeast Utilities (Grady, B.) (Entered: 03/28/2000)
03/27/2000	48	ORDER in connection with settlement proceedings. See for furthers ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 03/29/2000)
07/19/2000	49	MEMORANDUM (Compendium of affidavits attached) by Rosalie Cronan, Susan Katz, Steven J. Konis, Peter Badas, Diane Crovo, Carlton Leonard, George Heelan, Rande Carol Schepps in support of final approval of the proposed settlement and application for an award of attorneys' fees and reimbursement of out-of-pocket expenses, re: [47-1] stipulation (Grady, B.) (Entered: 07/19/2000)
07/19/2000	50	AFFIDAVIT of Stuart Dym by Rosalie Cronan, Susan Katz, Steven J. Konis, Peter Badas, Diane Crovo, Carlton Leonard, George Heelan, Rande Carol Schepps regarding mailing of the class notice, and proof of claim and release forms, re: [47-1] stipulation (Grady, B.) (Entered: 07/19/2000)
07/19/2000	51	AFFIDAVIT of Robert M. Kornreich and Mark Levine by Rosalie Cronan, Susan Katz, Steven J. Konis, Peter Badas, Diane Crovo, Carlton Leonard, George Heelan, Rande Carol Schepps in support of the proposed settlement and request for attorneys' fees and reimbursement of expenses, re: [47-1] stipulation (Grady, B.) (Entered: 07/19/2000)
07/21/2000	52	AFFIDAVIT of Mark Levine in support of certification of settlement class, re: [47-1] stipulation by Northeast Utilities, all plaintiffs (Grady, B.) (Entered: 07/24/2000)
07/24/2000	54	Fairness Hearing Held ( AVC) (Grady, B.) (Entered: 07/26/2000)
07/25/2000	53	ORDER AND FINAL JUDGMENT (signed by Chief Judge Alfred V. Covello)

		(Grady, B.) (Entered: 07/25/2000)
07/25/2000		Case closed (Grady, B.) (Entered: 07/26/2000)
09/21/2000	55	MOTION by Susan Katz to Refer fee allocation dispute to parajudicial officer (Brief Due 10/12/00 ) (Grady, B.) (Entered: 09/25/2000)
09/21/2000	56	AFFIDAVIT of R. Bartley Halloran by Susan Katz Re [55-1] motion to Refer fee allocation dispute to parajudicial officer (Grady, B.) (Entered: 09/25/2000)
09/22/2000	57	MOTION by Rosalie Cronan to Show Cause (Brief Due 10/13/00 ) (Grady, B.) (Entered: 09/25/2000)
09/22/2000	58	AFFIDAVIT of Harvey Greenfield by Rosalie Cronan Re [57-1] motion to Show Cause (Grady, B.) (Entered: 09/25/2000)
09/26/2000	59	ORDER TO SHOW CAUSE issued Re: Motion to allocate fees and expense. Hearing set for 11/13/00 at 11:00 A.M. ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 09/27/2000)
09/26/2000		ENDORSEMENT granting [57-1] motion to Show Cause ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 09/27/2000)
09/28/2000	60	MOTION by Rosalie Cronan for Appointment of new mediator , to Compel time, fee & expense records , and for Payment Order for disputed fees (Brief Due 10/19/00 ) (Bauer, J.) (Entered: 10/03/2000)
09/28/2000	61	AFFIDAVIT of Harvey Greenfield by Rosalie Cronan Re [60-1] motion for Appointment of new mediator by Rosalie Cronan, [60-2] motion to Compel time, fee & expense records by Rosalie Cronan, [60-3] motion for Payment Order for disputed fees by Rosalie Cronan (Bauer, J.) (Entered: 10/03/2000)
10/06/2000	62	ORDER granting [60-1] motion for Appointment of new mediator; under advisement [60-2] motion to Compel time, fee & expense records; under advisement [60-3] motion for Payment Order for disputed fees, Brief Deadline set for 10/13/00 [60-2] motion to Compel time, fee & expense records, [60-3] motion for Payment Order for disputed fees ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 10/10/2000)
10/13/2000	63	RESPONSE by all plaintiffs to [57-1] motion to Show Cause (Grady, B.) (Entered: 10/16/2000)
10/13/2000	64	AFFIDAVIT of Mark Levine by all plaintiffs in support of [63-1] motion response, re: [57-1] motion to Show Cause (Grady, B.) (Entered: 10/16/2000)
10/13/2000	65	AFFIDAVIT of Jules Brody by all plaintiffs in support of [63-1] motion response, re: [57-1] motion to Show Cause (Grady, B.) (Entered: 10/16/2000)
10/13/2000	66	AFFIDAVIT of Robert M. Kornreich by all plaintiffs in support of [63-1] motion response, re: [57-1] motion to Show Cause (Grady, B.) (Entered: 10/16/2000)
10/18/2000	67	MOTION by Rosalie Cronan to Compel production , and for Order requiring co-lead counsel Jules Brody's presence at mediation and hearing (Brief Due 11/8/00 ) (Grady, B.) (Entered: 10/18/2000)

10/18/2000		ENDORSEMENT granting [67-1] motion to Compel production, [67-2] motion for Order requiring co-lead counsel Jules Brody's presence at mediation and hearing under advisement ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 10/18/2000)
10/20/2000	68	AFFIDAVIT of Jules Brody Re [67-1] motion to Compel production by Harvey Greenfield of all Plaintiffs' counsel's time records and listing of fees and expenses paid to all counsel and for an Order requiring co-lead counsel Jules Brody's presence at mediation and hearing (Wiggins, M.) (Entered: 10/20/2000)
10/25/2000		ENDORSEMENT: Construed as a motion to be excused from attendance at the mediation, the motion is granted, re: [68-1] affidavit ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 10/26/2000)
11/03/2000	69	STIPULATION withdrawing applications with prejudice by Rosalie Cronan (Grady, B.) (Entered: 11/07/2000)
11/09/2000		ENDORSEMENT granting [69-1] stipulation withdrawing applications with prejudice ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 11/09/2000)
05/18/2001	70	MOTION by all plaintiffs to Approve distribution of the net settlement fund (Brief Due 6/8/01 ) (Grady, B.) (Entered: 05/21/2001)
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05/23/2001		ENDORSEMENT granting [70-1] motion to Approve distribution of the net settlement fund ( signed by Chief Judge Alfred V. Covello ) (Grady, B.) (Entered: 05/23/2001)
05/23/2001	72	ORDER approving distribution of the net settlement fund (signed by Chief Judge Alfred V. Covello) (Grady, B.) (Entered: 05/23/2001)
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