

U.S. District Court
Southern District of New York (Foley Square)
CIVIL DOCKET FOR CASE #: 1:00-cv-00958-MBM

Hoffman v. TD Waterhouse, et al
Assigned to: Chief Judge Michael B. Mukasey
Demand: \$0
Cause: 15:78m(a) Securities Exchange Act

Date Filed: 02/08/2000
Jury Demand: Plaintiff
Nature of Suit: 850
Securities/Commodities
Jurisdiction: Federal Question

Plaintiff

Tony H. Hoffman
*individually and on behalf of all others
similarly situated*

represented by **Dennis J. Johnson**
Law Offices of Dennis J. Johnson
1690 Williston Road
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LEAD ATTORNEY

Jacob Perkinson
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James P. Bonner
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(212) 686-8004
LEAD ATTORNEY

V.

Defendant

TD Waterhouse Investor Services, Inc.

Defendant

John H. Chapel

Date Filed	#	Docket Text
02/08/2000	1	CLASS ACTION COMPLAINT filed; Summons issued and Notice pursuant to 28 U.S.C. 636(c); FILING FEE \$ 150.00 RECEIPT # 365955. (bm) (Entered: 02/14/2000)
02/08/2000		Magistrate Judge Dolinger is so Designated. (bm) (Entered: 02/14/2000)
02/24/2000	2	Affidavit of service as to TD Waterhouse, John H. Chapel of Notice of Rule 16 Conference by mail on 2/23/00. (pl) (Entered: 02/28/2000)
03/08/2000	3	NOTICE OF CONFERENCE; all motions for the appointment of lead plttfs and lead counsel in this action will be served by 4/10/00. All papers in opposition to any such motion will be served by 4/25/00. All reply papers in support of any such motion will be served by 5/2/00. The lead plttf or plttfs will serve an amended complaint or notify defts of their intention to stand on the original complaint within 20 days of the Court's decision on any motions referred to in paragraph 1. At that time, lead plttfs' counsel will request a conference to schedule further proceedings in this action . The time for defts to answer or move, and discovery are stayed pending further order of the Court . (signed by Judge Michael B. Mukasey); Copies mailed. (sn) (Entered: 03/09/2000)
03/14/2000	4	Affidavit of service of summons and complaint as to TD Waterhouse by Elizabeth Fass on 2/11/00; Answer due on 3/2/00 for TD Waterhouse; (djc) (Entered: 03/15/2000)
03/14/2000	5	Affidavit of service of summons and complaint as to John H. Chapel by Elizabeth Fass on 2/11/00. Answer due on 3/2/00 for John H. Chapel. (djc) (Entered: 03/15/2000)
03/28/2000	6	NOTICE OF MOTION by Tony H. Hoffman; for an order, purs. to Local Civil Rule 1.3 admitting Dennis J. Johnson and Jacob B. Perkinson as counsel in this action pro hac vice on behalf of Tony H. Hoffman ; Return date not indicated; Affdvt. of Dennis J. Johnson in support attached; Affdvt. of Jacob B. Perkinson attached (ls) Modified on 03/29/2000 (Entered: 03/29/2000)
04/04/2000	7	ORDER, granting [6-1] motion for an order, purs. to Local Civil Rule 1.3 admitting Dennis J. Johnson and Jacob B. Perkinson as counsel in this action pro hac vice on behalf of Tony H. Hoffman . (signed by Chief Judge Michael B. Mukasey); Copies mailed; (forwarded orig. doc. to the Attorney Admissions Clerk) (cd) (Entered: 04/04/2000)
04/10/2000	8	NOTICE OF MOTION by Tony H. Hoffman for appointment of lead plntfs Tony Hoffman, Reuben Hekmat, Thomas Maddux, Eleen Leung, Brent Nowak and Marcia Nowak and lead counsel, Law offices of Dennis J. Johnson and Shalov Stone & Bonner ; Return date not indicated; attached is an affirmation of James Bonner in support (cd) (Entered: 04/12/2000)
04/10/2000	9	MEMORANDUM OF LAW by Tony H. Hoffman in support of [8-1] motion for appointment of lead plntfs Tony Hoffman, Reuben Hekmat, Thomas Maddux, Eleen Leung, Brent Nowak and Marcia Nowak and lead counsel, Law offices of Dennis J. Johnson and Shalov Stone & Bonner; (fld in the night deposit box on

		4/10/00 at 10:53 pm) (cd) (Entered: 04/12/2000)
05/04/2000	10	REPLY MEMORANDUM by Tony H. Hoffman in support of re: [8-1] motion for appointment of lead plntfs Tony Hoffman, Reuben Hekmat, Thomas Maddux, Eleen Leung, Brent Nowak and Marcia Nowak lead counsel, Law offices of Dennis J. Johnson and Shalov Stone & Bonner (pl) (Entered: 05/08/2000)
05/10/2000	11	ORDER; that the objection to the Newark plaintiffs serving as lead plaintiffs is overruled without prejudice to renewal should discovery disclose further basis for objection. The parties will settle an order appointing led plaintiffs and lead counsel ; plaintiffs will file an amended complaint by 5/30/00; defendants will move to dismiss by 7/14/00; plaintiffs will file answering papers by 8/18/00; defendants reply to response to motion deadline 9/8/00 ; (signed by Chief Judge Michael B. Mukasey); Copies mailed. (pl) (Entered: 05/10/2000)
06/02/2000	12	AMENDED COMPLAINT by Tony H. Hoffman (Answer due 6/15/00 for John H. Chapel, for TD Waterhouse) amending [1-1] complaint ; Summons issued. (jp) (Entered: 06/06/2000)
07/14/2000	13	NOTICE OF MOTION by TD Waterhouse, John H. Chapel; for an order pursuan to Rule 12(b)(6), of the F.R.C.P. to dismissing the Amended Complaint ; w/ atch. affidavit in support by Robert S. Frenchman; Return date 9/11/00. (pl) (Entered: 07/17/2000)
07/14/2000	14	MEMORANDUM OF LAW by Tony H. Hoffman, TD Waterhouse in support of [13-1] motion for an order pursuan to Rule 12(b)(6), of the F.R.C.P. to dismissing the Amended Complaint . (pl) (Entered: 07/17/2000)
08/04/2000	15	NOTICE OF MOTION by Tony H. Hoffman for an order revising the briefing schedule on the motion to dismiss that has been fld by defts TD Waterhouse and John Chapel ; Return date not indicated; attached is a declaration of James P. Bonner in support (cd) (Entered: 08/07/2000)
08/29/2000	16	ORDER; plttfs' response to motion reset to 9/1/00 for [13-1] motion for an order pursuan to Rule 12(b)(6), of the F.R.C.P. to dismissing the Amended Complaint ; defts' reply to response to motion reset to 9/22/00 for [13-1] motion for an order pursuan to Rule 12(b)(6), of the F.R.C.P. to dismissing the Amended Complaint ; (signed by Chief Judge Michael B. Mukasey); Copies mailed. (lf) (Entered: 08/29/2000)
09/06/2000	17	MEMORANDUM OF LAW by Tony H. Hoffman in opposition to [13-1] motion for an order pursuan to Rule 12(b)(6), of the F.R.C.P. to dismissing the Amended Complaint . (lf) (Entered: 09/07/2000)
09/22/2000	18	REPLY MEMORANDUM by TD Waterhouse, John H. Chapel in support of [13-1] motion for an order pursuan to Rule 12(b)(6), of the F.R.C.P. to dismissing the Amended Complaint. (sn) (Entered: 09/25/2000)
03/30/2001		Terminated documents 8-1; 15-1 pursuant to instructions of Judge Mukasey. (rag) (Entered: 04/09/2001)
06/21/2001	19	OPINION and ORDER #85742; that for the reasons set forth in this Order, defendants' [13-1] motion to dismiss the complaint is granted and the complaint is dismissed. (signed by Chief Judge Michael B. Mukasey); Copies mailed. Original

		document forwarded to Judgment Clerk. (kkc) (Entered: 06/21/2001)
06/25/2001	20	JUDGMENT, that for the reasons stated in the Court's Opinion (85742) and Order dated 6/20/01, defts' motion is granted and the complaint is dismissed (signed by James M. Parkison, Clerk of Court); Mailed copies and notice of right to appeal. Entered On Docket: 6/26/01. (cd) (Entered: 06/26/2001)
06/25/2001		Case closed. (cd) (Entered: 06/26/2001)

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