

US District Court Civil Docket as of 8/24/2011
Retrieved from the court on August 24, 2011

**U.S. District Court
Southern District of New York (Foley Square)
CIVIL DOCKET FOR CASE #: 1:07-cv-08538-RWS -MHD**

Freudenberg v. E*Trade Financial Corporation et al
Assigned to: Judge Robert W. Sweet
Referred to: Magistrate Judge Michael H. Dolinger
Member cases:

Date Filed: 10/02/2007
Jury Demand: Plaintiff
Nature of Suit: 850
Securities/Commodities
Jurisdiction: Federal Question

[1:07-cv-08808-RWS](#)

[1:07-cv-09651-RWS](#)

[1:07-cv-10400-RWS](#)

[1:07-cv-10540-RWS](#)

Related Cases: [1:07-cv-09651-RWS](#)

[1:07-cv-10400-RWS](#)

[1:07-cv-08808-RWS](#)

[1:07-cv-10540-RWS](#)

[1:08-cv-07296-RWS](#)

[1:07-cv-08612-RWS](#)

[1:07-cv-08619-RWS](#)

[1:07-cv-09697-RWS](#)

Cause: 15:78m(a) Securities Exchange Act

Lead Plaintiff

The Kristen-Straxton Group

represented by **David A.P. Brower**
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Lead Plaintiff

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Plaintiff

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Individually and on Behalf of All Others
Similarly Situated

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Plaintiff

Grant Robert

represented by **Grant Robert**
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Plaintiff

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Plaintiff

Straxton Properties, Inc.

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Plaintiff

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Plaintiff

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Plaintiff

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V.

Consolidated Plaintiff

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Consolidated Plaintiff

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V.

Movant

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Movant

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Movant

**E*TRADE Institutional Investor
Group**

other

Mississippi Public Employees
Retirement System

other

AFA Livfrskringsaktiebolag

other

Kollektivavtalsstiftelsen TSL

other

AFA Sjukfrskringsaktiebolag

other

AFA Trygghetsforskringsaktiebolag

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Movant

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Movant

First Derivative Traders LP

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Movant

Ira Newman

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Defendant

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Andrew Edward Krause

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Defendant

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Defendant

Dennis E. Webb

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*LEAD ATTORNEY
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Non-Party

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Date Filed	#	Docket Text
10/02/2007	1	COMPLAINT against E*Trade Financial Corporation, Mitchell H. Caplan, Robert J. Simmons. (Filing Fee \$ 350.00, Receipt Number 628550) Document filed by Larry Freudenberg.(mbe) Additional attachment(s) added on 10/9/2007 (Becerra, Maribel). (Entered: 10/03/2007)
10/02/2007		SUMMONS ISSUED as to E*Trade Financial Corporation, Mitchell H. Caplan, Robert J. Simmons. (mbe) (Entered: 10/03/2007)
10/02/2007		Magistrate Judge Michael H. Dolinger is so designated. (mbe) (Entered: 10/03/2007)
10/02/2007		Case Designated ECF. (mbe) (Entered: 10/03/2007)
10/30/2007	2	AFFIDAVIT OF SERVICE. E*Trade Financial Corporation served on 10/23/2007, answer due 11/12/2007. Service was accepted by Nikki Chapple, Clerk. Document filed by Larry Freudenberg. (Rosenfeld, David) (Entered: 10/30/2007)
11/14/2007	3	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. No Corporate Parent. Document filed by E*Trade Financial Corporation.(Ludmerer, Nancy) (Entered: 11/14/2007)

11/16/2007	4	STIPULATION AND ORDER: It is hereby stipulated and agreed by and among the undersigned attorneys for the parties to these actions as follows: 1. Plaintiffs shall have 60 days after entry of the Order selecting lead plaintiffs and appointing lead plaintiffs counsel to serve a Consolidated Amended Complaint. 2. Defendants shall have 60 days after service of the CAC to answer, move, or otherwise respond to CAC. 3. Plaintiffs shall have 60 days after service of defendants' response to the CAC to serve opposition papers. 4. Defendants shall have 45 days after service of plaintiffs' opposition papers to serve reply papers. 5. Davis Pollack & Wardwell will accept service of process of the Freudenberg Complaint and the Boston Complaint, respectively, on behalf of any of the three defendants in the above captioned two cases who has not yet been served. All other provisions as set forth in this order. So Ordered (Signed by Judge Robert W. Sweet on 11/16/07) (Signed by Judge Robert W. Sweet on 11/16/07) (js) (Entered: 11/16/2007)
11/19/2007	5	STIPULATION AND ORDER: Plaintiffs shall have 60 days after entry of the Order selecting lead plaintiffs and appointing lead plaintiffs' counsel to serve a Consolidated Amended Complaint. Defendants shall have 60 days after service of the CAC to answer, to the CAC. Plaintiffs shall have 60 days after service of defendants' response to the CAC to serve opposition papers. Defendants have 45 days after service of plaintiffs' opposition papers to serve reply papers. (Signed by Judge Robert W. Sweet on 11/14/2007) (jar) (Entered: 11/20/2007)
11/28/2007	6	PRETRIAL ORDER: (Pretrial Conference set for 1/16/2008 at 04:30 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet.) (Signed by Judge Robert W. Sweet on 11/28/07) (js) (Entered: 11/28/2007)
12/03/2007	7	MOTION to Appoint State Teachers Retirement System of Ohio to serve as lead plaintiff(s). Document filed by State Teachers Retirement System of Ohio.(Spanier, Judith) (Entered: 12/03/2007)
12/03/2007	8	MEMORANDUM OF LAW in Support re: 7 MOTION to Appoint State Teachers Retirement System of Ohio to serve as lead plaintiff(s).. Document filed by State Teachers Retirement System of Ohio. (Spanier, Judith) (Entered: 12/03/2007)
12/03/2007	9	DECLARATION of Judith L. Spanier in Support re: 7 MOTION to Appoint State Teachers Retirement System of Ohio to serve as lead plaintiff(s).. Document filed by State Teachers Retirement System of Ohio. (Attachments: # 1 Exhibit, # 2 Exhibit, # 3 Exhibit, # 4 Exhibit, # 5 Text of Proposed

		Order)(Spanier, Judith) (Entered: 12/03/2007)
12/03/2007	10	CERTIFICATE OF SERVICE of Motion for Appointment of Lead Plaintiff served on all counsel of record on 12/3/07. Service was made by Mail. Document filed by State Teachers Retirement System of Ohio. (Spanier, Judith) (Entered: 12/03/2007)
12/03/2007	11	MOTION to Appoint The Kristen-Straxton Group to serve as lead plaintiff(s). Document filed by The Kristen-Straxton Group. (Attachments: # 1 Certificate of Service)(Schmid, Elizabeth) (Entered: 12/03/2007)
12/03/2007	12	MEMORANDUM OF LAW in Support re: 11 MOTION to Appoint The Kristen-Straxton Group to serve as lead plaintiff(s).. Document filed by The Kristen-Straxton Group. (Schmid, Elizabeth) (Entered: 12/03/2007)
12/03/2007	13	DECLARATION of Elizabeth A. Schmid in Support re: 11 MOTION to Appoint The Kristen-Straxton Group to serve as lead plaintiff(s).. Document filed by The Kristen-Straxton Group. (Attachments: # 1 Exhibit A, # 2 Exhibit B-F, # 3 Exhibit G & H, # 4 Exhibit I, # 5 Text of Proposed Order)(Schmid, Elizabeth) (Entered: 12/03/2007)
12/03/2007	14	CERTIFICATE OF SERVICE of Motion for Lead Plaintiff and supporting documents served on all counsel of record (Amended Certificate of Service) on 12/03/07. Service was made by mail. Document filed by State Teachers Retirement System of Ohio. (Spanier, Judith) (Entered: 12/03/2007)
12/03/2007	15	NOTICE OF APPEARANCE by Daniel Patrick Chiplock on behalf of Skandia Life Insurance Company Ltd. (Chiplock, Daniel) (Entered: 12/03/2007)
12/03/2007	16	MOTION to Consolidate Cases 1:07-CV-08808, 1:07-CV-9651, 1:07-CV-10400 <i>1:07-CV-08538.</i> , MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s)., MOTION to Approve Skandia Life Insurance Company Ltd.'s Selection of Counsel. Document filed by Skandia Life Insurance Company Ltd..(Chiplock, Daniel) (Entered: 12/03/2007)
12/03/2007	17	MEMORANDUM OF LAW in Support re: 16 MOTION to Consolidate Cases 1:07-CV-08808, 1:07-CV-9651, 1:07-CV-10400 <i>1:07-CV-08538.</i> MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s). MOTION to Approve Skandia Life Insurance Company Ltd.'s Selection of Counsel. MOTION to Appoint Skandia Life Insurance Company Ltd. to serve

		as lead plaintiff(s).. Document filed by Skandia Life Insurance Company Ltd.. (Chiplock, Daniel) (Entered: 12/03/2007)
12/03/2007	18	DECLARATION of James M. Hughes in Support re: 16 MOTION to Consolidate Cases 1:07-CV-08808, 1:07-CV-9651, 1:07-CV-10400 <i>1:07-CV-08538</i> . MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s). MOTION to Approve Skandia Life Insurance Company Ltd.'s Selection of Counsel. MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s).. Document filed by Skandia Life Insurance Company Ltd.. (Attachments: # 1 Exhibit A, # 2 Exhibit B, # 3 Exhibit C, # 4 Exhibit D, # 5 Exhibit E, # 6 Exhibit F-1, # 7 Exhibit F-2, # 8 Exhibit F-3, # 9 Exhibit F-4A, # 10 Exhibit F-4B, # 11 Exhibit F-5, # 12 Exhibit F-6, # 13 Exhibit G)(Chiplock, Daniel) (Entered: 12/03/2007)
12/03/2007	19	CERTIFICATE of Counsel by Daniel Patrick Chiplock on behalf of Skandia Life Insurance Company Ltd.. Re: 16 MOTION to Consolidate Cases 1:07-CV-08808, 1:07-CV-9651, 1:07-CV-10400 <i>1:07-CV-08538</i> . MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s). MOTION to Approve Skandia Life Insurance Company Ltd.'s Selection of Counsel. MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s).. <i>of Service</i> (Chiplock, Daniel) (Entered: 12/03/2007)
12/03/2007	20	MOTION to Appoint <i>Intitutional Investor Group (Mississippi PERS & AFA)</i> . Document filed by E*TRADE Institutional Investor Group. (Attachments: # 1 Certificate of Service)(Jarvis, Geoffrey) (Entered: 12/03/2007)
12/03/2007	21	MEMORANDUM OF LAW in Support re: 20 MOTION to Appoint <i>Intitutional Investor Group (Mississippi PERS & AFA)</i> .. Document filed by E*TRADE Institutional Investor Group. (Attachments: # 1 Exhibit Rule 7.1 Disclosure Statement, # 2 Affidavit Declaration of Jay W. Eisenhofer in Support of the Institutional Investor Group's Motion to Consolidate Actions, To Be Appointed Lead Plaintiff and for Approval of Its Selection of Counsel, # 3 Certificate of Service)(Jarvis, Geoffrey) (Entered: 12/03/2007)
12/03/2007	22	MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s). Document filed by Grant Robert, Grant Jessica, First Derivative Traders LP. (Attachments: # 1 Memorandum of Law in Support of First Derivative Traders LP and Robert and Jessica Grants Motion for Consolidation, Appointment as Lead Plaintiffs, and Approval of Lead Plaintiffs Selection of Lead Counsel, # 2 Declaration of Service, # 3 Declaration of Gregory M. Nespole in Support of First Derivative Traders LP and Robert and Jessica Grant's Motion for Consolidation, Appointment as

		Lead Plaintiffs, and Approval of Lead Plaintiffs' Selection of Lead Counsel)(Nespole, Gregory) (Entered: 12/03/2007)
12/03/2007	23	MOTION to Appoint Ira Newman to serve as lead plaintiff(s). Document filed by Ira Newman.(Korsinsky, Eduard) (Entered: 12/03/2007)
12/03/2007	24	MEMORANDUM OF LAW in Support re: 23 MOTION to Appoint Ira Newman to serve as lead plaintiff(s).. Document filed by Ira Newman. (Korsinsky, Eduard) (Entered: 12/03/2007)
12/03/2007	25	DECLARATION of Eduard Korsinsky in Support re: 23 MOTION to Appoint Ira Newman to serve as lead plaintiff(s).. Document filed by Ira Newman. (Korsinsky, Eduard) (Entered: 12/03/2007)
12/04/2007	26	ENDORSED LETTER addressed to Judge Robert W. Sweet from Nancy B. Ludmerer dated 12/3/07 re: We write on behalf of all parties in these two cases to request that the pretrial conferences currently scheduled for Wednesday, January 16, 2008, at 4:30 p.m. be cancelled at this time. ENDORSEMENT: So Ordered. (Signed by Judge Robert W. Sweet on 12/3/07) (js) (Entered: 12/04/2007)
12/07/2007	27	ORDER: The motions to appoint lead plaintiff and counsel will be heard on 1/16/2008 at 12:00 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet. (Signed by Judge Robert W. Sweet on 12/6/2007) (jar) (Entered: 12/10/2007)
12/20/2007	28	MEMORANDUM OF LAW in Opposition re: 20 MOTION to Appoint <i>Intitutional Investor Group (Mississippi PERS & AFA)</i> ., 22 MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s). MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s). MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s)., 23 MOTION to Appoint Ira Newman to serve as lead plaintiff(s)., 11 MOTION to Appoint The Kristen-Straxton Group to serve as lead plaintiff(s)., 7 MOTION to Appoint State Teachers Retirement System of Ohio to serve as lead plaintiff(s).. Document filed by Skandia Life Insurance Company Ltd.. (Chiplock, Daniel) (Entered: 12/20/2007)
12/20/2007	29	DECLARATION of JAMES M. HUGHES in Opposition re: 20 MOTION to Appoint <i>Intitutional Investor Group (Mississippi PERS & AFA)</i> ., 22 MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve

		as lead plaintiff(s). MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s). MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s)., 23 MOTION to Appoint Ira Newman to serve as lead plaintiff(s)., 11 MOTION to Appoint The Kristen-Straxton Group to serve as lead plaintiff(s)., 7 MOTION to Appoint State Teachers Retirement System of Ohio to serve as lead plaintiff(s).. Document filed by Skandia Life Insurance Company Ltd.. (Chiplock, Daniel) (Entered: 12/20/2007)
12/20/2007	30	CERTIFICATE OF SERVICE of MEMORANDUM OF LAW IN FURTHER SUPPORT OF SKANDIA LIFE INSURANCE COMPANY LTD.'S MOTION FOR CONSOLIDATION, APPOINTMENT AS LEAD PLAINTIFF, AND APPROVAL OF ITS SELECTIONS OF COUNSEL, AND IN OPPOSITION TO COMPETING MOTIONS; DECLARATION OF JAMES M. HUGHES IN FURTHER SUPPORT OF SKANDIA LIFE INSURANCE COMPANY LTD.'S MOTION FOR CONSOLIDATION, APPOINTMENT AS LEAD PLAINTIFF, AND APPROVAL OF ITS SELECTION OF COUNSEL, AND IN OPPOSITION TO COMPETING MOTIONS. Document filed by Skandia Life Insurance Company Ltd.. (Chiplock, Daniel) (Entered: 12/20/2007)
12/20/2007	31	MEMORANDUM OF LAW in Opposition re: 20 MOTION to Appoint <i>Intitutional Investor Group (Mississippi PERS & AFA)</i> ., 22 MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s). MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s). MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s)., 23 MOTION to Appoint Ira Newman to serve as lead plaintiff(s)., 16 MOTION to Consolidate Cases 1:07-CV-08808, 1:07-CV-9651, 1:07-CV-10400 <i>1:07-CV-08538</i> . MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s). MOTION to Approve Skandia Life Insurance Company Ltd.'s Selection of Counsel. MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s)., 11 MOTION to Appoint The Kristen-Straxton Group to serve as lead plaintiff(s).. Document filed by State Teachers Retirement System of Ohio. (Spanier, Judith) (Entered: 12/20/2007)
12/20/2007	32	DECLARATION of Judith L. Spanier in Opposition re: 20 MOTION to Appoint <i>Intitutional Investor Group (Mississippi PERS & AFA)</i> ., 22 MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s). MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s). MOTION to Appoint

		<p>First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s)., 23 MOTION to Appoint Ira Newman to serve as lead plaintiff(s)., 16 MOTION to Consolidate Cases 1:07-CV-08808, 1:07-CV-9651, 1:07-CV-10400 <i>1:07-CV-08538</i>. MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s). MOTION to Approve Skandia Life Insurance Company Ltd.'s Selection of Counsel. MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s)., 11 MOTION to Appoint The Kristen-Straxton Group to serve as lead plaintiff(s).. Document filed by State Teachers Retirement System of Ohio. (Spanier, Judith) (Entered: 12/20/2007)</p>
12/20/2007	33	<p>DECLARATION of Professor Frank Partnoy in Opposition re: 20 MOTION to Appoint <i>Intitutional Investor Group (Mississippi PERS & AFA)</i>., 22 MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s). MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s). MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s)., 23 MOTION to Appoint Ira Newman to serve as lead plaintiff(s)., 16 MOTION to Consolidate Cases 1:07-CV-08808, 1:07-CV-9651, 1:07-CV-10400 <i>1:07-CV-08538</i>. MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s). MOTION to Approve Skandia Life Insurance Company Ltd.'s Selection of Counsel. MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s)., 11 MOTION to Appoint The Kristen-Straxton Group to serve as lead plaintiff(s).. Document filed by State Teachers Retirement System of Ohio. (Spanier, Judith) (Entered: 12/20/2007)</p>
12/20/2007	34	<p>CERTIFICATE OF SERVICE of Memorandum of Law in Opposition to Motions for Lead Plaintiff and all supporting documents served on all counsel of record on 12/20/07. Service was made by mail. Document filed by State Teachers Retirement System of Ohio. (Spanier, Judith) (Entered: 12/20/2007)</p>
12/20/2007	35	<p>NOTICE of Withdrawal by First Derivative Traders LP and Robert and Jessica Grant's Motion and in Support of the Motion by the State Teachers Retirement System of Ohio for Consolidation, Appointment of Lead Plaintiff, and Approval of Lead Plaintiff's Selection of Lead Counsel re: 22 MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s). MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s). MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s).. Document filed by Grant Robert, Grant Jessica, First Derivative Traders LP. (Attachments: # 1 Declaration of Service)(Nespole, Gregory)</p>

		(Entered: 12/20/2007)
12/20/2007	36	MOTION to Withdraw 20 MOTION to Appoint <i>Intitutional Investor Group (Mississippi PERS & AFA)</i> ., 21 Memorandum of Law in Support of Motion,. Document filed by E*TRADE Institutional Investor Group.(Jarvis, Geoffrey) (Entered: 12/20/2007)
12/20/2007	37	MEMORANDUM OF LAW in Opposition re: 11 MOTION to Appoint The Kristen-Straxton Group to serve as lead plaintiff(s).. Document filed by The Kristen-Straxton Group. (Schmid, Elizabeth) (Entered: 12/20/2007)
12/20/2007	38	DECLARATION of Elizabeth A. Schmid in Opposition re: 20 MOTION to Appoint <i>Intitutional Investor Group (Mississippi PERS & AFA)</i> ., 23 MOTION to Appoint Ira Newman to serve as lead plaintiff(s)., 22 MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s). MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s). MOTION to Appoint First Derivative Traders LP and Robert and Jessica Grant to serve as lead plaintiff(s)., 16 MOTION to Consolidate Cases 1:07-CV-08808, 1:07-CV-9651, 1:07-CV-10400 <i>1:07-CV-08538</i> . MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s). MOTION to Approve Skandia Life Insurance Company Ltd.'s Selection of Counsel. MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s)., 7 MOTION to Appoint State Teachers Retirement System of Ohio to serve as lead plaintiff(s).. Document filed by The Kristen-Straxton Group. (Attachments: # 1 Exhibit A-1, # 2 Exhibit A-2, # 3 Exhibit B, # 4 Exhibit C-1, # 5 Exhibit C-2, # 6 Exhibit C-3, # 7 Exhibit C-4, # 8 Exhibit C-5, # 9 Exhibit C-6, # 10 Exhibit C-7, # 11 Exhibit C-8, # 12 Exhibit D, # 13 Exhibit E, # 14 Exhibit E-1, # 15 Exhibit E-2, # 16 Exhibit E-3, # 17 Exhibit E-4, # 18 Exhibit F, # 19 Exhibit G, # 20 Exhibit H, # 21 Exhibit I, # 22 Exhibit J, # 23 Exhibit K, # 24 Exhibit L, # 25 Exhibit M, # 26 Exhibit M-1, # 27 Exhibit M-2, # 28 Exhibit M-3)(Schmid, Elizabeth) (Entered: 12/20/2007)
12/20/2007	39	CERTIFICATE OF SERVICE of Memorandum of Law in Opposition to Motions for Lead Plaintiff and all supporting documents served on All Counsel of Record on 12/20/2007. Document filed by The Kristen-Straxton Group. (Schmid, Elizabeth) (Entered: 12/20/2007)
01/02/2008	40	STIPULATION AND ORDER: All papers in opposition to any movant's motion to be appointed lead plaintiff will be filed and served on or before 12/20/07. All reply paper on the lead plaintiff motions will be filed and served on or before 1/7/08. A hearing on the lead plaintiff motions and such other

		matters and the Court wishes to address will be held on 1/23/08 at 12:00 noon. (Signed by Judge Robert W. Sweet on 12/19/07) (tro) (Entered: 01/03/2008)
01/07/2008	41	REPLY MEMORANDUM OF LAW in Support re: 16 MOTION to Consolidate Cases 1:07-CV-08808, 1:07-CV-9651, 1:07-CV-10400 <i>1:07-CV-08538</i> . MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s). MOTION to Approve Skandia Life Insurance Company Ltd.'s Selection of Counsel. MOTION to Appoint Skandia Life Insurance Company Ltd. to serve as lead plaintiff(s).. Document filed by Skandia Life Insurance Company Ltd.. (Chiplock, Daniel) (Entered: 01/07/2008)
01/07/2008	42	CERTIFICATE OF SERVICE. Document filed by Skandia Life Insurance Company Ltd.. (Chiplock, Daniel) (Entered: 01/07/2008)
01/07/2008	43	REPLY MEMORANDUM OF LAW in Support re: 7 MOTION to Appoint State Teachers Retirement System of Ohio to serve as lead plaintiff(s).. Document filed by State Teachers Retirement System of Ohio. (Spanier, Judith) (Entered: 01/07/2008)
01/07/2008	44	DECLARATION of Second Supplemental Declaration of Judith L. Spanier in Support re: 7 MOTION to Appoint State Teachers Retirement System of Ohio to serve as lead plaintiff(s).. Document filed by State Teachers Retirement System of Ohio. (Attachments: # 1 Exhibit Exhibit A to 2nd Supplemental Declaration of Judith L. Spanier, # 2 Exhibit Exhibit B to the Second Supplemental Declaration of Judith L. Spanier)(Spanier, Judith) (Entered: 01/07/2008)
01/07/2008	45	CERTIFICATE OF SERVICE. Document filed by State Teachers Retirement System of Ohio. (Spanier, Judith) (Entered: 01/07/2008)
01/07/2008	46	REPLY MEMORANDUM OF LAW in Support re: 11 MOTION to Appoint The Kristen-Straxton Group to serve as lead plaintiff(s).. Document filed by The Kristen-Straxton Group. (Schmid, Elizabeth) (Entered: 01/07/2008)
01/07/2008	47	DECLARATION of Elizabeth A. Schmid in Support re: 11 MOTION to Appoint The Kristen-Straxton Group to serve as lead plaintiff(s).. Document filed by The Kristen-Straxton Group. (Attachments: # 1 Exhibit A, # 2 Exhibit B1, # 3 Exhibit B2, # 4 Exhibit C, # 5 Exhibit D, # 6 Exhibit E, # 7 Exhibit F, # 8 Exhibit G, # 9 Exhibit H, # 10 Exhibit I, # 11 Exhibit J, # 12 Exhibit K, # 13 Exhibit L)(Schmid, Elizabeth) (Entered: 01/07/2008)

01/07/2008	48	CERTIFICATE OF SERVICE. Document filed by The Kristen-Straxton Group. (Schmid, Elizabeth) (Entered: 01/07/2008)
01/08/2008	49	NOTICE OF APPEARANCE by Nancy B. Ludmerer on behalf of E*Trade Financial Corporation, Mitchell H. Caplan, Robert J. Simmons (Ludmerer, Nancy) (Entered: 01/08/2008)
01/08/2008	50	NOTICE OF APPEARANCE by Andrew Edward Krause on behalf of E*Trade Financial Corporation, Mitchell H. Caplan, Robert J. Simmons (Krause, Andrew) (Entered: 01/08/2008)
01/09/2008	51	NOTICE OF APPEARANCE by Dennis Eugene. Glazer on behalf of E*Trade Financial Corporation, Mitchell H. Caplan, Robert J. Simmons (Glazer, Dennis) (Entered: 01/09/2008)
01/16/2008	52	MOTION for James M. Hughes to Appear Pro Hac Vice for Skandia Life Insurance Company Ltd. Document filed by Skandia Life Insurance Company Ltd.(db) (Entered: 01/24/2008)
01/28/2008	53	NOTICE OF APPEARANCE by Jill Sharyn Abrams on behalf of State Teachers Retirement System of Ohio (Attachments: # 1 Certificate of Service)(Abrams, Jill) (Entered: 01/28/2008)
01/28/2008	54	NOTICE OF APPEARANCE by Orin Robert Kurtz on behalf of State Teachers Retirement System of Ohio (Attachments: # 1 Certificate of Service)(Kurtz, Orin) (Entered: 01/28/2008)
01/29/2008	55	ORDER granting 52 Motion for James M. Hughes to Appear Pro Hac Vice for Skandia Life Insurance. (Signed by Judge Robert W. Sweet on 1/29/08) (cd) (Entered: 01/30/2008)
01/29/2008		Transmission to Attorney Admissions Clerk. Transmitted re: 55 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (cd) (Entered: 01/30/2008)
01/31/2008		CASHIERS OFFICE REMARK on 55 Order on Motion to Appear Pro Hac Vice in the amount of \$25.00, paid on 01/16/2008, Receipt Number 638477. (jd) (Entered: 01/31/2008)
02/05/2008	56	NOTICE OF APPEARANCE by James M. Hughes on behalf of Skandia Life

		Insurance Company Ltd. (Hughes, James) (Entered: 02/05/2008)
07/07/2008	57	NOTICE of Supplemental Authority re: 11 MOTION to Appoint The Kristen-Straxton Group to serve as lead plaintiff(s).. Document filed by The Kristen-Straxton Group. (Attachments: # 1 Supplement Letter, # 2 Exhibit A)(Brower, David) (Entered: 07/07/2008)
07/09/2008	58	RESPONSE in Support re: 11 MOTION to Appoint The Kristen-Straxton Group to serve as lead plaintiff(s)., 7 MOTION to Appoint State Teachers Retirement System of Ohio to serve as lead plaintiff(s). <i>Response by State Teachers Retirement System of Ohio to Notice of Supplemental Authority.</i> Document filed by State Teachers Retirement System of Ohio. (Attachments: # 1 Exhibit A, # 2 Affidavit Certificate of Service)(Spanier, Judith) (Entered: 07/09/2008)
07/17/2008	59	ORDER: The motions to consolidate the actions are granted. The motion of KSG to serve as lead plaintiff is granted, Newman's motion is granted to the extent that he is appointed co-lead plaintiff, the motions of STRS and Skandia are denied, and the selection of counsel is approved. (Signed by Judge Robert W. Sweet on 7/16/2008) Filed In Associated Cases: 1:07-cv-08538-RWS, 1:07-cv-08808-RWS, 1:07-cv-09651-RWS, 1:07-cv-10400-RWS, 1:07-cv-10540-RWS(jpo) (Entered: 07/18/2008)
07/23/2008	60	NOTICE OF APPEARANCE by David A.P. Brower on behalf of The Kristen-Straxton Group (Brower, David) (Entered: 07/23/2008)
08/04/2008	61	FILING ERROR - DEFICIENT DOCKET ENTRY - MOTION for Motley Rice and Lief Cabraser Heimann & Bernstein LLP to Withdraw as Attorney. Document filed by Skandia Life Insurance Company Ltd.(Chiplock, Daniel) Modified on 8/5/2008 (jar). (Entered: 08/04/2008)
08/04/2008	62	MOTION for Motley Rice and Lief Cabraser Heimann & Bernstein LLP to Withdraw as Attorney. Document filed by Skandia Life Insurance Company Ltd.. (Attachments: # 1 Text of Proposed Order Proposed Order Granting Motion to Withdraw as Counsel)(Chiplock, Daniel) (Entered: 08/04/2008)
08/05/2008	63	PRETRIAL ORDER: Counsel are directed to meet and discuss settlement, pretrial discovery and all preliminary matters. If this action has been settled or otherwise terminated, counsel are directed to file or mail a stipulation of discontinuance, voluntary dismissal, or other proof of termination of the action prior to the date of the pretrial conference with Tsz Chan, Courtroom Clerk to

		Judge Sweet, Room 18C; otherwise counsel are directed to appear in courtroom 18C on 11/5/2008 at 04:30 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet for a pretrial conference for the purpose of discussing settlement with the court, exploring contemplated motions, stipulating facts, arranging a plan and schedule for all discovery, resolving any anticipated discovery issues, and setting a time for trial. Plaintiff(s)' counsel ARE REQUIRED TO NOTIFY COUNSEL FOR ALL PARTIES OF THIS CONFERENCE. (Signed by Judge Robert W. Sweet on 8/5/08) (tro) (Entered: 08/05/2008)
08/19/2008	64	ORDER GRANTING MOTION TO WITHDRAW AS COUNSEL: granting (62) Motion to Withdraw in case 1:07-cv-08538-RWS; granting (14) Motion to Withdraw in case 1:07-cv-08808-RWS; granting (9) Motion to Withdraw in case 1:07-cv-09651-RWS; granting (9) Motion to Withdraw in case 1:07-cv-10400-RWS. Having considered the motion, the Court GRANTS the motion of counsel to withdraw from the above-captioned consolidated cases. It is so ordered. (Signed by Judge Robert W. Sweet on 8/13/2008) Filed In Associated Cases: 1:07-cv-08538-RWS, 1:07-cv-08808-RWS, 1:07-cv-09651-RWS, 1:07-cv-10400-RWS, 1:07-cv-10540-RWS(tve) Modified on 10/30/2008 (tve). (Entered: 08/19/2008)
09/04/2008	65	STIPULATION AND ORDER: This Order supersedes the November 14 Scheduling Order. Plaintiffs shall have until 12/30/08 to file and serve a Consolidated Amended Complaint. Defendant shall have until 3/16/09 to answer, move or otherwise respond to the Consolidated Amended Complaint. Plaintiffs shall have until 6/1/09 to file and serve opposition papers in response to any motion to dismiss filed by any defendant. Defendants shall have until 7/31/09 to file and serve reply papers with respect to any motion to dismiss filed by any defendant. Every document filed in the Consolidated Action shall bear the caption appearing at the top of this Stipulation and shall be filed only in Civil Action No. 07 Civ. 8538 (RWS). (Signed by Judge Robert W. Sweet on 8/28/08) (tro) (Entered: 09/04/2008)
11/05/2008	66	ENDORSED LETTER addressed to Judge Robert W. Sweet from Nancy B. Ludmerer dated 10/31/2008 re: The parties jointly respectfully request that the pretrial conference currently scheduled for Wednesday, November 5, 2008, at 430 p.m. be canceled at this time. ENDORSEMENT: So Ordered. (Signed by Judge Robert W. Sweet on 11/3/2008) Filed In Associated Cases: 1:07-cv-08538-RWS, 1:07-cv-08808-RWS(jfe) (Entered: 11/05/2008)
01/05/2009	67	STIPULATION FOR EXTENSION OF TIME AND ORDER: It is hereby ordered that this Revised Scheduling Order supersedes the September 4th

		Scheduling Order. Revised Scheduling Order: Plaintiff shall have until January 16, 2009, to file and serve a Consolidated Amended Complaint. Defendants shall have until April 2, 2009, to file and serve answers, move, or otherwise respond to the CAC. Plaintiffs shall have until June 18, 2009, to file and serve opposition papers in response to any motion to dismiss filed by any defendant. Defendant's shall have until August 17, 2009, to file and serve reply papers with respect to any motion to dismiss filed by any defendant. (Signed by Judge Robert W. Sweet on 12/20/2008) (jfe) (Entered: 01/05/2009)
01/20/2009	68	CONSOLIDATED AMENDED CLASS ACTION COMPLAINT amending 1 Complaint against Dennis E. Webb, E*Trade Financial Corporation, Mitchell H. Caplan, Robert J. Simmons. Document filed by Kristen Management Limited, Straxton Properties, Inc., Javed Fiyaz, Andrea Frascaroli, Peter Farah, Ira Newman. Related document: 1 Complaint filed by Larry Freudenberg.(dle) (dle). (Entered: 01/21/2009)
02/03/2009	69	NOTICE of Errata re: 68 Amended Complaint,. Document filed by Kristen Management Limited, Straxton Properties, Inc., Javed Fiyaz, Andrea Frascaroli, Peter Farah, Ira Newman. (Brower, David) (Entered: 02/03/2009)
03/10/2009	70	ENDORSED LETTER addressed to Judge Robert W. Sweet from Nancy B. Ludmerer dated 2/26/09 re: Counsel for defendants write to request permission to exceed the page limits for memoranda of law set forth in Section 2.C of Your Honor's Individual Practices. Defendants respectfully request that they be permitted to submit a single memorandum on behalf of all defendant of up to 50 pages and a single reply memorandum on behalf of all defendants of up to 25 pages. Counsel for Leaf Plaintiffs likewise requests that they be permitted to submit an opposition memorandum of up to 50 pages. ENDORSEMENT: So ordered. (Signed by Judge Robert W. Sweet on 3/4/09) (tro) (Entered: 03/11/2009)
04/01/2009	71	NOTICE OF APPEARANCE by Amelia Temple Redwood Starr on behalf of Dennis E. Webb, E*Trade Financial Corporation, Mitchell H. Caplan, Robert J. Simmons (Starr, Amelia) (Entered: 04/01/2009)
04/02/2009	72	MOTION to Dismiss <i>the Consolidated Amended Class Action Complaint</i> . Document filed by Dennis E. Webb, E*Trade Financial Corporation, Mitchell H. Caplan, Robert J. Simmons. Return Date set for 9/9/2009 at 12:00 PM.Filed In Associated Cases: 1:07-cv-08538-RWS, 1:07-cv-08808-RWS, 1:07-cv-09651-RWS, 1:07-cv-10400-RWS, 1:07-cv-10540-RWS(Starr, Amelia) (Entered: 04/02/2009)

04/02/2009	73	MEMORANDUM OF LAW in Support re: (18 in 1:07-cv-10540-RWS, 25 in 1:07-cv-08808-RWS, 19 in 1:07-cv-09651-RWS, 18 in 1:07-cv-10400-RWS, 72 in 1:07-cv-08538-RWS) MOTION to Dismiss.. Document filed by Dennis E. Webb, E*Trade Financial Corporation, Mitchell H. Caplan, Robert J. Simmons. Filed In Associated Cases: 1:07-cv-08538-RWS, 1:07-cv-08808-RWS, 1:07-cv-09651-RWS, 1:07-cv-10400-RWS, 1:07-cv-10540-RWS(Starr, Amelia) (Entered: 04/02/2009)
04/02/2009	74	DECLARATION of AMELIA T.R. STARR in Support re: (18 in 1:07-cv-10540-RWS, 25 in 1:07-cv-08808-RWS, 19 in 1:07-cv-09651-RWS, 18 in 1:07-cv-10400-RWS, 72 in 1:07-cv-08538-RWS) MOTION to Dismiss.. Document filed by Dennis E. Webb, E*Trade Financial Corporation, Mitchell H. Caplan, Robert J. Simmons. (Attachments: # 1 Exhibit 1, # 2 Exhibit 2, # 3 Exhibit 3, # 4 Exhibit 4, # 5 Exhibit 5, # 6 Exhibit 6, # 7 Exhibit 7, # 8 Exhibit 8, # 9 Exhibit 9, # 10 Exhibit 10, # 11 Errata 11, # 12 Exhibit 12, # 13 Exhibit 13, # 14 Exhibit 14, # 15 Exhibit 15, # 16 Errata 16)Filed In Associated Cases: 1:07-cv-08538-RWS, 1:07-cv-08808-RWS, 1:07-cv-09651-RWS, 1:07-cv-10400-RWS, 1:07-cv-10540-RWS(Starr, Amelia) (Entered: 04/02/2009)
04/03/2009	75	ORDER: Defendants' motion to dismiss will be heard on noon on 5/6/09, in courtroom 18C. All motion papers shall be served in accordance with Local Civil Rule 6.1. Set Deadlines/Hearing as to 72 MOTION to Dismiss <i>the Consolidated Amended Class Action Complaint</i> : (Motion Hearing set for 5/6/2009 at 12:00 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet.) (Signed by Judge Robert W. Sweet on 4/3/09) (db) (Entered: 04/03/2009)
04/06/2009	76	ORDER: In light of the Court's December 20, 2008 Revised Scheduling Order, the Court's April 3, 2009 scheduling order is vacated. Defendants' motion to dismiss will be heard on submission, without oral argument on 9/9/09. All motions papers shall be served in accordance with the 12/20/08 Revised Scheduling Order. (Signed by Judge Robert W. Sweet on 4/6/09) (tro) (Entered: 04/07/2009)
06/18/2009	77	STIPULATION FOR EXTENSION OF TIME AND ORDER, plaintiffs shall have until 7/2/09, to file and serve opposition papers in response to Defendants' motion to dismiss and defendant shall have until 8/31/09 to reply. (Reply due by 8/31/2009. Response due by 7/2/2009) (Signed by Judge Robert W. Sweet on 6/17/09) (cd) (Entered: 06/18/2009)
06/24/2009	78	NOTICE of Firm Registration as an LLP and Name Change to Davis Polk & Wardwell LLP. Document filed by Dennis E. Webb, E*Trade Financial

		Corporation, Mitchell H. Caplan, Robert J. Simmons. (Starr, Amelia) (Entered: 06/24/2009)
07/02/2009	79	MEMORANDUM OF LAW in Opposition re: 72 MOTION to Dismiss <i>the Consolidated Amended Class Action Complaint.</i> . Document filed by Javed Fiyaz, Andrea Frascaroli, Peter Farah, The Kristen-Straxton Group, Ira Newman. (Brower, David) (Entered: 07/02/2009)
07/02/2009	80	DECLARATION of David A.P. Brower in Opposition re: 72 MOTION to Dismiss <i>the Consolidated Amended Class Action Complaint.</i> . Document filed by Javed Fiyaz, Andrea Frascaroli, Peter Farah, The Kristen-Straxton Group, Ira Newman. (Attachments: # 1 Exhibit A, # 2 Exhibit B, # 3 Exhibit C, # 4 Exhibit D, # 5 Exhibit E)(Brower, David) (Entered: 07/02/2009)
08/31/2009	81	REPLY MEMORANDUM OF LAW in Support re: 72 MOTION to Dismiss <i>the Consolidated Amended Class Action Complaint.</i> . Document filed by Dennis E. Webb, E*Trade Financial Corporation, Mitchell H. Caplan, Robert J. Simmons. (Starr, Amelia) (Entered: 08/31/2009)
08/31/2009	82	DECLARATION of AMELIA T.R. STARR in Support re: 72 MOTION to Dismiss <i>the Consolidated Amended Class Action Complaint.</i> . Document filed by Dennis E. Webb, E*Trade Financial Corporation, Mitchell H. Caplan, Robert J. Simmons. (Attachments: # 1 Exhibit 1, # 2 Exhibit 2, # 3 Exhibit 3, # 4 Exhibit 4, # 5 Exhibit 5, # 6 Exhibit 6, # 7 Exhibit 7A, # 8 Exhibit 7B, # 9 Exhibit 7C, # 10 Exhibit 7D, # 11 Exhibit 8, # 12 Exhibit 9)(Starr, Amelia) (Entered: 08/31/2009)
09/02/2009	83	AMENDED REPLY MEMORANDUM OF LAW in Support re: 72 MOTION to Dismiss <i>the Consolidated Amended Class Action Complaint.</i> . Document filed by Dennis E. Webb, E*Trade Financial Corporation, Mitchell H. Caplan, Robert J. Simmons. (Starr, Amelia) (Entered: 09/02/2009)
05/11/2010	84	OPINION #98936 re: 72 MOTION to Dismiss <i>the Consolidated Amended Class Action Complaint</i> filed by Robert J. Simmons, Mitchell H. Caplan, E*Trade Financial Corporation, Dennis E. Webb. In light of the foregoing authorities and conclusions, Defendants' motion to dismiss is denied. (Signed by Judge Robert W. Sweet on 5/10/2010) (tro) Modified on 5/12/2010 (ajc). (Entered: 05/11/2010)
05/18/2010	85	STIPULATION AND ORDER REGARDING DEFENDANTS' ANSWER TO CONSOLIDATED AMENDED CLASS ACTION COMPLAINT. Dennis

		E. Webb answer due 6/25/2010; E*Trade Financial Corporation answer due 6/25/2010; Mitchell H. Caplan answer due 6/25/2010; Robert J. Simmons answer due 6/25/2010. (Signed by Judge Robert W. Sweet on 5/17/10) (djc) (Entered: 05/18/2010)
06/03/2010	86	CASE MANAGEMENT PLAN: On or before July 12, 2010, the parties shall submit to the Court a proposed stipulated protective order, which will govern the parties' use of all information and documents that are designated as confidential and produced in discovery and, if applicable, filed with the Court. Any motion to join additional parties shall be filed no later than June 17, 2011. The parties may amend any affirmative pleadings no later than June 17, 2011. Plaintiffs shall move for Class Certification no later than September 7, 2011. The brief in support of the motion shall be no more than twenty-five (25) pages. Any motions for summary judgment shall be filed and served no later than April 9, 2012. Briefs in opposition to any summary judgment motions shall be filed and served no later than May 14, 2012. Briefs in reply to any opposition shall be filed and served no later than June 18, 2012. A pretrial conference shall be held no later than thirty (30) days after the Court issues a decision on any motion(s) for summary judgment. All motions in limine shall be filed and served no later than thirty (30) days after the Court issues a decision on any motion(s) for summary judgment. Briefs in opposition to any motions in limine shall be filed and served no later than twenty one (21) days after service of the motion. Briefs in reply to any opposition shall be filed and served no later than ten (10) days after service of the opposition. (Signed by Judge Robert W. Sweet on 6/1/2010) (tve) (Entered: 06/03/2010)
06/25/2010	87	ANSWER to Amended Complaint. Document filed by E*Trade Financial Corporation. Related document: 68 Amended Complaint, filed by Andrea Frascaroli, Straxton Properties, Inc., Kristen Management Limited, Ira Newman, Peter Farah, Javed Fiyaz.(Starr, Amelia) (Entered: 06/25/2010)
07/16/2010	88	STIPULATED PROTECTIVE ORDER...regarding procedures to be followed that shall govern the handling of confidential material... (Signed by Judge Robert W. Sweet on 7/13/2010) (tro) (Entered: 07/16/2010)
11/11/2010	89	NOTICE OF APPEARANCE by Shannon Lee Hopkins on behalf of Ira Newman (Hopkins, Shannon) (Entered: 11/11/2010)
11/30/2010	90	NOTICE OF APPEARANCE by William Scott Holleman on behalf of Ira Newman (Holleman, William) (Entered: 11/30/2010)

12/10/2010	91	MOTION to Quash Plaintiffs' Subpoena Served on Non-Party Labaton Sucharow LLP. Document filed by Countrywide Financial Corporation. Return Date set for 1/12/2011 at 12:00 PM.(Shapiro, Alexis) (Entered: 12/10/2010)
12/10/2010	92	MEMORANDUM OF LAW in Support re: 91 MOTION to Quash Plaintiffs' Subpoena Served on Non-Party Labaton Sucharow LLP.. Document filed by Countrywide Financial Corporation. (Shapiro, Alexis) (Entered: 12/10/2010)
12/10/2010	93	DECLARATION of Alexis L. Shapiro in Support re: 91 MOTION to Quash Plaintiffs' Subpoena Served on Non-Party Labaton Sucharow LLP.. Document filed by Countrywide Financial Corporation. (Attachments: # 1 Exhibit 1, # 2 Exhibit 2, # 3 Exhibit 3, # 4 Exhibit 4, # 5 Exhibit 5)(Shapiro, Alexis) (Entered: 12/10/2010)
12/13/2010	94	MOTION to Quash Plaintiffs' Subpoena Served on Non-Party Kaplan Fox & Kilsheimer LLP. Document filed by Countrywide Financial Corporation. Return Date set for 1/12/2011 at 12:00 PM.(Shapiro, Alexis) (Entered: 12/13/2010)
12/13/2010	95	MEMORANDUM OF LAW in Support re: 94 MOTION to Quash Plaintiffs' Subpoena Served on Non-Party Kaplan Fox & Kilsheimer LLP.. Document filed by Countrywide Financial Corporation. (Shapiro, Alexis) (Entered: 12/13/2010)
12/13/2010	96	DECLARATION of Alexis L. Shapiro in Support re: 94 MOTION to Quash Plaintiffs' Subpoena Served on Non-Party Kaplan Fox & Kilsheimer LLP.. Document filed by Countrywide Financial Corporation. (Attachments: # 1 Exhibit 1, # 2 Exhibit 2, # 3 Exhibit 3, # 4 Exhibit 4, # 5 Exhibit 5)(Shapiro, Alexis) (Entered: 12/13/2010)
01/03/2011	97	ORDER that plaintiff's letter, dated 12/14/10, will be treated as a motion to compel and will be heard on submission, without oral argument, at noon on Wednesday, 1/5/11. (Signed by Judge Robert W. Sweet on 12/24/10) (cd) (Entered: 01/03/2011)
01/03/2011	98	ENDORSED LETTER addressed to Judge Robert W. Sweet from Alexis Shapiro dated 12/20/10 re: Request that the Court withdraw Countrywide's motions to quash the subpoenas (docket entries 91-96). ENDORSEMENT: So Ordered. (Signed by Judge Robert W. Sweet on 12/24/10) (cd) (Entered: 01/03/2011)

		01/03/2011)
01/04/2011	99	NOTICE OF APPEARANCE by Brian C. Kerr on behalf of The Kristen-Straxton Group (Kerr, Brian) (Entered: 01/04/2011)
01/13/2011	100	ENDORSED LETTER addressed to Judge Robert W. Sweet from Shannon L. Hopkins dated 12/14/10 re: Discovery Dispute. ENDORSEMENT: Treat as motion returnable 12/29 on submission. Documents from January 1, 2005 relating to underwriting guidelines and risk* management guidelines will be produced and the confidential witnesses* identified. So Ordered. (Signed by Judge Robert W. Sweet on 1/10/11) (db) Modified on 1/18/2011 (db). *-amended as per 102 Endorsement. (Entered: 01/13/2011)
01/18/2011	101	CASE MANAGEMENT ORDER #2: The dates set forth in Case Management Order No. 1 are amended as follows and as set forth in this order: Amended Pleadings due by 6/16/2011. Motions for summary judgment due by 8/15/2012. Briefs in opposition due by 9/20/2012 Briefs in reply due by 10/24/2012. Depositions of all experts due by 5/15/2012. (Signed by Judge Robert W. Sweet on 1/14/2011) (jar) Modified on 1/19/2011 (jar). (Entered: 01/18/2011)
01/18/2011	102	ENDORSED LETTER addressed to Judge Robert W. Sweet from Amelia T.R. Starr dated 1/14/11 re: Based on our reading of the Court's handwritten endorsement, we believe the docket entry for Docket Item #100 is inaccurate. The relevant portion of the docket entry currently reads: "Documents from January 1, 2005 relating to underwriting guidelines and use management guidelines will be produced and the confidential portions identified" (emphasis added). We believe the docket entry should read: "Documents from January 1, 2005 relating to underwriting guidelines and risk management guidelines will be produced and the confidential witnesses identified.". ENDORSEMENT: So Ordered. (Signed by Judge Robert W. Sweet on 1/14/11) (db) (Entered: 01/18/2011)
02/15/2011	103	ORDER: Plaintiffs' letter, dated January 26, 2011, will be treated as a motion to compel and will heard on submission without argument, on Wednesday, March 2, 2011. (Signed by Judge Robert W. Sweet on 2/14/2011) (jpo) (Entered: 02/15/2011)
04/15/2011	104	CASE MANAGEMENT ORDER NO. 3: Subject to ruling on any objections, good faith production or documents shall be completed no later than July 8, 2011. No contention interrogatories or requests for admission shall be served

		<p>before the completion of merits document discovery on July 8, 2011. Merits document discovery, including production of documents and responses to non-contention interrogatories, shall be completed by July 8, 2011. Any motion to join additional parties shall be filed no later than December 2, 2011. The parties may amend any affirmative pleadings no later than December 2, 2011. Depositions of merits witnesses shall be completed by February 10, 2012. Expert Discovery and Class Certification dates as further set forth in this order. Expert dispositions due by 8/17/2012. Any motions for summary judgment shall be filed and served no later than November 30, 2012. Briefs in opposition to any summary judgment motions shall be filed and served no later than January 4, 2013. Briefs in reply to any opposition shall be filed and served no later than February 1, 2013. All other dates as set forth in this order. (Amended Pleadings due by 12/2/2011. Motions due by 11/30/2012. Responses due by 1/4/2013 Replies due by 2/1/2013. Deposition due by 8/17/2012. Discovery due by 7/8/2011.) (Signed by Judge Robert W. Sweet on 8/15/2011) (jar) (Entered: 04/15/2011)</p>
05/06/2011	105	<p>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). Referred to Magistrate Judge Michael H. Dolinger. (Signed by Judge Robert W. Sweet on 5/5/2011) (jfe) (Entered: 05/06/2011)</p>
05/16/2011	106	<p>ENDORSED LETTER: addressed to Magistrate Judge Michael H. Dolinger from Amelia T. R. Starr dated 5/10/2011 re: Defendants request that they be given until may 20, 2011 to respond to plaintiffs' Letter. ENDORSEMENT: Application Granted. So Ordered. (Signed by Magistrate Judge Michael H. Dolinger on 5/12/11) (js) (Entered: 05/16/2011)</p>
05/23/2011	107	<p>NOTICE OF CHANGE OF ADDRESS by Brian C. Kerr on behalf of The Kristen-Straxton Group. New Address: Brower Piven, 488 Madison Avenue, Eighth Floor, New York, NY, United States 10022, 212-501-9000. (Kerr, Brian) (Entered: 05/23/2011)</p>
05/26/2011		<p>Minute Entry for proceedings held before Magistrate Judge Michael H. Dolinger: Discovery Hearing held on 5/26/2011. (mbe) (Entered: 05/31/2011)</p>
06/14/2011	108	<p>TRANSCRIPT of Proceedings re: Conference held on 5/26/2011 before Magistrate Judge Michael H. Dolinger. Court Reporter/Transcriber: Andrew Walker, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be</p>

		obtained through PACER. Redaction Request due 7/8/2011. Redacted Transcript Deadline set for 7/18/2011. Release of Transcript Restriction set for 9/15/2011.(McGuirk, Kelly) (Entered: 06/14/2011)
06/14/2011	109	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Conference proceeding held on 5/26/2011 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/14/2011)
07/09/2011	110	ENDORSED LETTER addressed to Magistrate Judge Michael H. Dolinger from Amelia T.R. Starr dated 6/30/2011 re: Counsel request leave to report back to the Court within one month and, depending on the outcome of the parties' negotiations, either propose a new deadline for document discovery or request a conference with Your Honor to resolve any outstanding issues. ENDORSEMENT: For present purposes, we extend the deadline to complete document production to August 10, 2011. Before that time, the parties will be expected to complete their document negotiations and (failing full agreement) to have presented their respective positions to the court in writing. So Ordered. (Signed by Magistrate Judge Michael H. Dolinger on 7/5/2011) (jfe) (Entered: 07/11/2011)
08/24/2011	111	ORDER: A Conference is set for 9/7/2011 at 04:00 PM in Courtroom 17D, 500 Pearl Street, New York, NY 10007 before Magistrate Judge Michael H. Dolinger. (Signed by Magistrate Judge Michael H. Dolinger on 8/23/2011) Copies Sent By Chambers. (ab) (Entered: 08/24/2011)

Note: Links in this docket are stored in the PACER system (**P**ublic **A**ccess to **C**ourt **E**lectronic **R**ecords). PACER is a service of United States Judiciary. To view and retrieve the linked documents from PACER, you must be a registered user. To register, fill out one of the registration forms available on the PACER site. The United States Congress has given the Judicial Conference of the United States, the judicial governing body of the U.S. Federal Courts, authority to impose user fees for electronic access to case information. For more information visit the PACER site at <http://pacer.psc.uscourts.gov/pacerdesc.html>