

**United States District Court
District of Massachusetts (Boston)
CIVIL DOCKET FOR CASE #: 1:05-cv-10176-RGS**

McKeown v. Advest, Inc. et al
Assigned to: Judge Richard G. Stearns
Case in other court: First Circuit, 07-01367
Cause: 15:78m(a) Securities Exchange Act

Date Filed: 01/28/2005
Date Terminated: 12/29/2006
Jury Demand: None
Nature of Suit: 850
Securities/Commodities
Jurisdiction: Federal Question

Consolidated Plaintiff

ACA Financial Guaranty Corporation

represented by **Michael Tabb**
Greene & Hoffman PC
125 Summer Street
Boston, MA 02110
617-261-0040
Fax: 617-261-3558
Email: matabb@greenehoffman.com
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Consolidated Plaintiff

Dryden National Municipals Fund, Inc.

represented by **Michael Tabb**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Consolidated Plaintiff

John Moore

represented by **Michael Tabb**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Consolidated Plaintiff

Lois Moore

represented by **Michael Tabb**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Consolidated Plaintiff

**Smith Barney Income Funds/Smith
Barney Municipal High Income Fund**

represented by **Michael Tabb**
(See above for address)
ATTORNEY TO BE NOTICED

Consolidated Plaintiff

**T. Row Price Tax-Free High Yield
Fund, Incorporated**

represented by **Michael Tabb**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Plaintiff

Denise McKeown

represented by **Denise McKeown**
PRO SE

William A. Sheridan
Law Offices of William A. Sheridan
One Center Plaza
Suite 240
Boston, MA 02108
617-720-2700
Fax: 617-720-2709
Email: was@wsheridanlaw.com
TERMINATED: 03/19/2007
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Plaintiff

Robert Lutts

represented by **Robert Lutts**
PRO SE

William A. Sheridan
(See above for address)
TERMINATED: 03/19/2007
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

V.

Defendant

Advest, Inc.

represented by **Jonathan L. Kotlier**
Nutter, McClennen & Fish, LLP
World Trade Center West
155 Seaport Boulevard
Boston, MA 02210-2604
617-439-2000

Fax: 617-310-9683
Email: jkotlier@nutter.com
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Sarah E. Walters
Nutter, McClennen & Fish, LLP
World Trade Center West
155 Seaport Boulevard
Boston, MA 02210-2604
617-439-2459
Fax: 617-310-9459
Email: swalters@nutter.com
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Karen Sughrue

represented by **Ann L. Carpenter**
Sullivan, Weinstein & McQuay, P.C.
Two Park Plaza
Boston, MA 02116
617-348-4300
Fax: 617-348-4343
Email: lcarpenter@swmlawyers.com
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Robert E. Sullivan
Sullivan Weinstein & McQuay, P.C.
Suite 600
Two Park Plaza
Boston, MA 02116
617-348-4322
Fax: 617-348-4343
Email: sulli@swmlawyers.com
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
Sullivan, Weinstein & McQuay
Suite 610
2 Park Plaza
Boston, MA 02116
617-348-4300
Fax: 617-348-4343
Email: sroberts@swmlawyers.com
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Garry Crago

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Robert E. Sullivan
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Jean Childs

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Robert E. Sullivan
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Paula Edwards Cochran

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Robert E. Sullivan
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

G. Stevens Davis, Jr.

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Julia DeMoss

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Robert E. Sullivan
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

William R. Dill

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Robert E. Sullivan
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Leslie A. Ferlazzo

represented by **Ann L. Carpenter**

(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Joyce Shaffer Fleming

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Robert E. Sullivan
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Eric W. Hayden

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Robert E. Sullivan
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Catherine Chapin Kobacker

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Robert E. Sullivan
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Anne Marcus

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Robert E. Sullivan
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Celeste Reid

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Robert E. Sullivan
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Richard J. Sheehan, Jr.

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Robert E. Sullivan
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Joseph Short

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Gregory E. Thomas

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Robert E. Sullivan
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Scott A. Roberts
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Defendant

Susan K. Turben

represented by **Ann L. Carpenter**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Robert E. Sullivan
(See above for address)
LEAD ATTORNEY

ATTORNEY TO BE NOTICED

Scott A. Roberts

(See above for address)

LEAD ATTORNEY

ATTORNEY TO BE NOTICED

Defendant

Donald W Kiszka

represented by **Ann L. Carpenter**

(See above for address)

LEAD ATTORNEY

ATTORNEY TO BE NOTICED

Scott A. Roberts

(See above for address)

LEAD ATTORNEY

ATTORNEY TO BE NOTICED

Date Filed	#	Docket Text
01/28/2005	1	COMPLAINT against all defendants Filing fee: \$ 150, receipt number 61703, filed by Robert Lutts, Denise McKeown. (Attachments: # 1 # 2)(Flaherty, Elaine) (Entered: 02/01/2005)
01/28/2005		Summons Issued as to Julia DeMoss, William R. Dill, Leslie A. Ferlazzo, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Donald W Kiszka, Advest, Inc., Karen Sughrue, Garry Crago, Jean Childs, Paula Edwards Cochran, G. Stevens Davis, Jr. (Flaherty, Elaine) (Entered: 02/01/2005)
01/28/2005		If the trial Judge issues an Order of Reference of any matter in this case to a Magistrate Judge, the matter will be transmitted to Magistrate Judge Cohen. (Flaherty, Elaine) (Entered: 02/01/2005)
03/08/2005	2	ACKNOWLEDGEMENT OF SERVICE Executed by Advest, Inc.. Advest, Inc. served on 2/24/2005, answer due 3/16/2005. Acknowledgement filed by Advest, Inc.. (Flaherty, Elaine) (Entered: 03/08/2005)
03/11/2005	3	MOTION to Consolidate case with ca 04-11667 RGS by Robert Lutts, Denise McKeown.(Flaherty, Elaine) (Entered: 03/14/2005)
03/11/2005	10	SUMMONS Returned Executed Karen Sughrue served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	11	SUMMONS Returned Executed Garry Crago served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	12	SUMMONS Returned Executed Jean Childs served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)

03/11/2005	13	SUMMONS Returned Executed Paula Edwards Cochran served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	14	SUMMONS Returned Executed G. Stevens Davis, Jr served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	15	SUMMONS Returned Executed Julia DeMoss served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	16	SUMMONS Returned Executed William R. Dill served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	17	SUMMONS Returned Executed Leslie A. Ferlazzo served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	18	SUMMONS Returned Executed Joyce Shaffer Fleming served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	19	SUMMONS Returned Executed Eric W. Hayden served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	20	SUMMONS Returned Executed Catherine Chapin Kobacker served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	21	SUMMONS Returned Executed Anne Marcus served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	22	SUMMONS Returned Executed Celeste Reid served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	23	SUMMONS Returned Executed Richard J. Sheehan, Jr served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	24	SUMMONS Returned Executed Gregory E. Thomas served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	25	SUMMONS Returned Executed Susan K. Turben served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	26	SUMMONS Returned Executed Donald W Kiszka served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/16/2005)
03/11/2005	27	SUMMONS Returned Executed Joseph Short served on 3/8/2005, answer due 3/28/2005. (Flaherty, Elaine) (Entered: 03/17/2005)
03/14/2005	4	NOTICE of Appearance by Sarah E. Walters, Jonathan L. Kotlier on behalf of Advest, Inc. (Flaherty, Elaine) (Entered: 03/16/2005)
03/14/2005	5	MOTION to Dismiss by Advest, Inc..(Flaherty, Elaine) (Entered: 03/16/2005)
03/14/2005	6	MEMORANDUM in Support re 5 MOTION to Dismiss filed by Advest, Inc.. (Attachments: # 1)(Flaherty, Elaine) (Entered: 03/16/2005)
03/14/2005	7	MOTION for Leave to File Excess Pages in support of motion to dismiss by Advest, Inc..(Flaherty, Elaine) (Entered: 03/16/2005)

03/14/2005	8	CORPORATE DISCLOSURE STATEMENT by Advest, Inc.. (Flaherty, Elaine) (Entered: 03/16/2005)
03/14/2005	9	APPENDIX/EXHIBIT re 5 MOTION to Dismiss by Advest, Inc.. (Flaherty, Elaine) (Entered: 03/16/2005)
03/25/2005	28	Assented top MOTION for Extension of Time to 5/16/05 to oppose motion to dismiss by Robert Lutts, Denise McKeown.(Flaherty, Elaine) (Entered: 03/29/2005)
03/30/2005		Judge Richard G. Stearns : Electronic ORDER entered granting in part and denying in part 28 Motion for Extension of Time "Oppositions due by 4/15/05." (Flaherty, Elaine) (Entered: 03/30/2005)
04/04/2005	29	MOTION for Reconsideration re Order on Motion for Extension of Time by McKeown and Robert Lutts.(Flaherty, Elaine) (Entered: 04/08/2005)
04/08/2005		Judge Richard G. Stearns : Electronic ORDER entered denying 29 Motion for Reconsideration (Flaherty, Elaine) (Entered: 04/08/2005)
04/08/2005	30	NOTICE of Appearance by Scott A. Roberts on behalf of Julia DeMoss, William R. Dill, Leslie A. Ferlazzo, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Donald W Kiszka, Karen Sughrue, Garry Crago, Jean Childs, Paula Edwards Cochran, G. Stevens Davis, Jr (Flaherty, Elaine) (Entered: 04/13/2005)
04/11/2005		Judge Richard G. Stearns : Electronic ORDER entered granting 3 Motion to Consolidate Cases, granting 7 Motion for Leave to File Excess Pages (Flaherty, Elaine) (Entered: 04/11/2005)
04/15/2005	32	MOTION for Leave to File Excess Pages in opposition to def't's motion to dismiss by Robert Lutts, Denise McKeown.(Flaherty, Elaine) (Entered: 04/20/2005)
04/19/2005	31	MOTION to Dismiss <i>Complaint Filed by Denise McKeown and Robert Lutts</i> by Julia DeMoss, William R. Dill, Leslie A. Ferlazzo, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Donald W Kiszka, Karen Sughrue, Garry Crago, Jean Childs, Paula Edwards Cochran, G. Stevens Davis, Jr.(Roberts, Scott) (Entered: 04/19/2005)
04/20/2005		Judge Richard G. Stearns : Electronic ORDER entered granting 32 Motion for Leave to File Excess Pages (Flaherty, Elaine) (Entered: 04/25/2005)
04/20/2005	33	MEMORANDUM in Opposition re 31 MOTION to Dismiss <i>Complaint Filed by Denise McKeown and Robert Lutts</i> filed by Denise McKeown. (Attachments: # 1)(Flaherty, Elaine) (Entered: 04/25/2005)
04/20/2005	34	NOTICE of Appearance by Robert E. Sullivan on behalf of Julia DeMoss, William R. Dill, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Karen Sughrue, Garry Crago, Jean Childs, Paula Edwards Cochran (Flaherty, Elaine) (Entered: 04/26/2005)

04/20/2005	35	NOTICE of Appearance by Ann L. Carpenter on behalf of Julia DeMoss, William R. Dill, Leslie A. Ferlazzo, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Donald W Kiszka, Karen Sughrue, Garry Crago, Jean Childs, Paula Edwards Cochran, G. Stevens Davis, Jr (Flaherty, Elaine) (Entered: 04/26/2005)
04/21/2005	36	Assented to MOTION for Extension of Time to 6/1/05 to respond to motion to dismiss by Robert Lutts, Denise McKeown.(Flaherty, Elaine) (Entered: 04/27/2005)
04/28/2005		Judge Richard G. Stearns : Electronic ORDER entered granting 36 Motion for Extension of Time (Flaherty, Elaine) (Entered: 04/28/2005)
05/02/2005	37	MOTION for Leave to File Excess Pages memo in opposition to motion to dismiss amended complaint by ACA Financial Guaranty Corporation, Dryden National Municipals Fund, Inc., John Moore, Lois Moore, Smith Barney Income Funds/Smith Barney Municipal High Income Fund, T. Row Price Tax-Free High Yield Fund, Incorporated.(Flaherty, Elaine) (Entered: 05/04/2005)
05/02/2005	38	MOTION to Strike certain documents in support of Bradford Defendants' Motion to Dismiss by ACA Financial Guaranty Corporation, Dryden National Municipals Fund, Inc., John Moore, Lois Moore, Smith Barney Income Funds/Smith Barney Municipal High Income Fund, T. Row Price Tax-Free High Yield Fund, Incorporated. (Attachments: # 1 # 2 # 3 # 4)(Flaherty, Elaine) (Entered: 05/04/2005)
05/05/2005		Judge Richard G. Stearns : Electronic ORDER entered granting 37 Motion for Leave to File Excess Pages (Flaherty, Elaine) (Entered: 05/05/2005)
05/05/2005	39	MEMORANDUM in Opposition re 31 MOTION to Dismiss <i>Complaint Filed by Denise McKeown and Robert Lutts</i> , 5 MOTION to Dismiss filed by ACA Financial Guaranty Corporation, Dryden National Municipals Fund, Inc., John Moore, Lois Moore, Smith Barney Income Funds/Smith Barney Municipal High Income Fund, T. Row Price Tax-Free High Yield Fund, Incorporated. (Attachments: # 1 # 2 # 3)(Flaherty, Elaine) (Entered: 05/05/2005)
05/31/2005	40	MOTION to Strike 39 Memorandum in Opposition to Motion, by Robert Lutts, Denise McKeown.(Flaherty, Elaine) (Entered: 06/01/2005)
05/31/2005	41	MOTION for Leave to File Excess Pages in opposition to defendants motion to dismiss by Robert Lutts, Denise McKeown.(Flaherty, Elaine) (Entered: 06/01/2005)
06/24/2005	42	NOTICE of Hearing on Motion 5 MOTION to Dismiss, 38 MOTION to Strike, 40 MOTION to Strike 39 Memorandum in Opposition to Motion,, 31 MOTION to Dismiss <i>Complaint Filed by Denise McKeown and Robert Lutts</i> : Motion Hearing set for 10/6/2005 02:30 PM in Courtroom 21 before Judge Richard G. Stearns. (Johnson, Mary) (Entered: 06/24/2005)
06/29/2005		Judge Richard G. Stearns : Electronic ORDER entered granting 41 Motion for Leave to File Excess Pages (Flaherty, Elaine) (Entered: 06/29/2005)
07/29/2005	43	Assented to MOTION for Leave to File <i>Reply to Plaintiffs' Oppositions to</i>

		<i>Motions to Dismiss and to Enlarge Page Limit</i> by Julia DeMoss, William R. Dill, Leslie A. Ferlazzo, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Donald W Kiszka, Karen Sughrue, Garry Crago, Jean Childs, Paula Edwards Cochran, G. Stevens Davis, Jr.(Carpenter, Ann) (Entered: 07/29/2005)
07/29/2005	44	REPLY to Response to Motion re 31 MOTION to Dismiss <i>Complaint Filed by Denise McKeown and Robert Lutts In Support of Bradford Defendants' Motions to Dismiss</i> filed by Julia DeMoss, William R. Dill, Leslie A. Ferlazzo, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Donald W Kiszka, Karen Sughrue, Garry Crago, Jean Childs, Paula Edwards Cochran, G. Stevens Davis, Jr. (Attachments: # 1 Exhibit A# 2 Exhibit B# 3 Exhibit C)(Carpenter, Ann) (Entered: 07/29/2005)
07/29/2005	45	RESPONSE to Motion re 38 MOTION to Strike <i>Bradford Defendants' Opposition to Plaintiffs' Motions to Strike in Support of Their Oppositions to Defendants' Motions to Dismiss</i> filed by Julia DeMoss, William R. Dill, Leslie A. Ferlazzo, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Donald W Kiszka, Karen Sughrue, Garry Crago, Jean Childs, Paula Edwards Cochran, G. Stevens Davis, Jr. (Carpenter, Ann) (Entered: 07/29/2005)
07/29/2005	46	MOTION for Leave to File reply memo in support of motions to dismiss, filed by Advest, Inc..(Flaherty, Elaine) (Entered: 08/01/2005)
08/24/2005		Judge Richard G. Stearns : Electronic ORDER entered granting 43 Motion for Leave to File, granting 46 Motion for Leave to File (Flaherty, Elaine) (Entered: 08/24/2005)
10/11/2005		Electronic Clerk's Notes for proceedings held before Judge Richard G. Stearns : Motion Hearing held on 10/11/2005 re 40 MOTION to Strike, 39 Memorandum in Opposition to Motion, 31 MOTION to Dismiss Complaint, 5 MOTION to Dismiss, 38 MOTION to Strike. Atty. Tabb present for Plaintiffs; Atty. Roberts present for the Bradford Defendants; Atty. Kotlier present for Advest. After argument, the court takes the matters under advisement. Plaintiffs have until October 21, 2005 to submit a response to the Sughrue Affidavit, including a proposal for discovery on this issue should they feel the need. (Court Reporter James Gibbons.) (Tyler, Rebecca) Modified on 3/22/2007 (Flaherty, Elaine). (Entered: 10/11/2005)
10/17/2005	48	MOTION supplement opposition to motion to dismiss with written response in lieu of oral argument by Robert Lutts, Denise McKeown, filed.(Flaherty, Elaine) (Entered: 10/24/2005)
10/20/2005	47	Supplemental Opposition re 31 MOTION to Dismiss <i>Complaint Filed by Denise McKeown and Robert Lutts and Proposal for Discovery on Trustee Compensation</i> filed by T. Row Price Tax-Free High Yield Fund, Incorporated. (Attachments: # 1)(Tabb, Michael) (Entered: 10/20/2005)
10/25/2005	49	Judge Richard G. Stearns : ElectronicORDER entered granting 48 Motion file

		supplement (Flaherty, Elaine) (Entered: 10/25/2005)
11/02/2005	50	MOTION for Leave to File <i>Reply to Plaintiffs' Supplemental Opposition to Motion to Dismiss Regarding Applicability of Charitable Immunity Doctrine and Plaintiffs' Proposal for Discovery on Trustee Compensation</i> by Julia DeMoss, William R. Dill, Leslie A. Ferlazzo, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Donald W Kiszka, Karen Sughrue, Garry Crago, Jean Childs, Paula Edwards Cochran, G. Stevens Davis, Jr.(Roberts, Scott) (Entered: 11/02/2005)
11/02/2005	51	MOTION for Leave to File <i>Reply to "Written Supplementation in Lieu of Oral Argument Regarding Defendants' Motions to Dismiss" Submitted by Plaintiffs Denise McKeown and Robert Lutts</i> by Julia DeMoss, William R. Dill, Leslie A. Ferlazzo, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Donald W Kiszka, Karen Sughrue, Garry Crago, Jean Childs, Paula Edwards Cochran, G. Stevens Davis, Jr.(Roberts, Scott) (Entered: 11/02/2005)
11/15/2005	52	MEMORANDUM in Support re 31 MOTION to Dismiss <i>Complaint Filed by Denise McKeown and Robert Lutts and Bradford Defendants' Response to Plaintiffs McKeown and Lutts' Written Supplementation in Lieu of Oral Argument Regarding Defendants' Motion to Dismiss</i> filed by Julia DeMoss, William R. Dill, Leslie A. Ferlazzo, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Donald W Kiszka, Karen Sughrue, Garry Crago, Jean Childs, Paula Edwards Cochran, G. Stevens Davis, Jr. (Carpenter, Ann) (Entered: 11/15/2005)
11/15/2005	53	MEMORANDUM in Support re 31 MOTION to Dismiss <i>Complaint Filed by Denise McKeown and Robert Lutts and Bradford Defendants' Response to Plaintiffs' Supplemental Opposition to Bradford Trustee Defendants' Motion to Dismiss and Proposal for Discovery on Trustee Compensation</i> filed by Julia DeMoss, William R. Dill, Leslie A. Ferlazzo, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Donald W Kiszka, Karen Sughrue, Garry Crago, Jean Childs, Paula Edwards Cochran, G. Stevens Davis, Jr. (Carpenter, Ann) (Entered: 11/15/2005)
11/29/2005		Judge Richard G. Stearns : Electronic ORDER entered granting 50 Motion for Leave to File, granting 51 Motion for Leave to File (Flaherty, Elaine) (Entered: 11/29/2005)
12/22/2005	54	MOTION to Strike in support of their opposition to defendants motions to dismiss by Smith Barney Income Funds/Smith Barney Municipal High Income Fund, T. Row Price Tax-Free High Yield Fund, Incorporated et al.(Originally filed 5/2/05 in ca 04-11667-RGS, to view exhibits to this motion, please see that docket)(Flaherty, Elaine) (Entered: 12/22/2005)
12/29/2005	55	NOTICE issued to Attorney William A. Sheridan regarding mandatory use of ECF in compliance with Local Rule 5.4. Failure to comply may result in the imposition

		of sanctions. (Johnson, Mary) (Entered: 12/29/2005)
09/30/2006	56	Judge Richard G. Stearns : Memorandum and Order entered.(Giannotti, Diane) (Entered: 10/03/2006)
09/30/2006		Judge Richard G. Stearns : Electronic ORDER entered granting 31 Motion to Dismiss, finding as moot 38 Motion to Strike, finding as moot 40 Motion to Strike, finding as moot 54 Motion to Strike, granting 5 Motion to Dismiss (Giannotti, Diane) (Entered: 10/03/2006)
09/30/2006		Civil Case Terminated. (Giannotti, Diane) (Entered: 10/03/2006)
10/05/2006	57	Judge Richard G. Stearns : ORDER OF DISMISSAL entered. (Johnson, Mary) (Entered: 10/05/2006)
10/20/2006	58	MOTION to Vacate 57 Order of Dismissal by ACA Financial Guaranty Corporation, Dryden National Municipals Fund, Inc., John Moore, Lois Moore, Smith Barney Income Funds/Smith Barney Municipal High Income Fund, T. Row Price Tax-Free High Yield Fund, Incorporated.(Tabb, Michael) (Entered: 10/20/2006)
10/20/2006	59	MOTION to Amend <i>Complaint</i> by ACA Financial Guaranty Corporation, Dryden National Municipals Fund, Inc., John Moore, Lois Moore, Smith Barney Income Funds/Smith Barney Municipal High Income Fund, T. Row Price Tax-Free High Yield Fund, Incorporated. (Attachments: # 1 Proposed Second Amended Complaint-Pt. 1# 2 Proposed Second Amended Complaint-pt.2)(Tabb, Michael) (Entered: 10/20/2006)
10/20/2006	60	MEMORANDUM in Support re 59 MOTION to Amend <i>Complaint</i> , 58 MOTION to Vacate 57 Order of Dismissal filed by ACA Financial Guaranty Corporation, Dryden National Municipals Fund, Inc., John Moore, Lois Moore, Smith Barney Income Funds/Smith Barney Municipal High Income Fund, T. Row Price Tax-Free High Yield Fund, Incorporated. (Tabb, Michael) (Entered: 10/20/2006)
10/20/2006	61	AFFIDAVIT in Support re 58 MOTION to Vacate 57 Order of Dismissal by <i>Thomas Hoffman</i> filed by ACA Financial Guaranty Corporation, Dryden National Municipals Fund, Inc., John Moore, Lois Moore, Smith Barney Income Funds/Smith Barney Municipal High Income Fund, T. Row Price Tax-Free High Yield Fund, Incorporated. (Tabb, Michael) (Entered: 10/20/2006)
10/25/2006		Case Reopened (Flaherty, Elaine) (Entered: 10/25/2006)
10/25/2006	62	Assented to MOTION for Extension of Time to December 8, 2006 to File Response/Reply as to 60 Memorandum in Support of Motion,, 58 MOTION to Vacate 57 Order of Dismissal, 59 MOTION to Amend <i>Complaint</i> , 61 Affidavit in Support of Motion, by all defendants.(Walters, Sarah) (Entered: 10/25/2006)
10/26/2006		Judge Richard G. Stearns : Electronic ORDER entered granting 62 Motion for Extension of Time to File Response/Reply (Flaherty, Elaine) (Entered: 10/26/2006)
11/30/2006	63	Assented to MOTION to Correct 59 MOTION to Amend <i>Complaint and Proposed Second Amended Complaint</i> by ACA Financial Guaranty Corporation, Dryden National Municipals Fund, Inc., John Moore, Lois Moore, Smith Barney

		Income Funds/Smith Barney Municipal High Income Fund, T. Row Price Tax-Free High Yield Fund, Incorporated. (Attachments: # 1 Exhibit A)(Tabb, Michael) (Entered: 11/30/2006)
12/08/2006	64	Assented to MOTION for Leave to File Excess Pages <i>for Advest, Inc.'s Opposition to Plaintiffs' Motion to Vacate Dismissal and Plaintiffs' Motion for Leave to File Second Amended Complaint</i> by Advest, Inc..(Walters, Sarah) (Entered: 12/08/2006)
12/08/2006	65	AMENDED DOCUMENT by Advest, Inc.. <i>Amended Corporate Disclosure Statement of Defendant Advest, Inc.</i> . (Walters, Sarah) (Entered: 12/08/2006)
12/08/2006	66	MOTION for Leave to File Excess Pages <i>for Bradford Defendants' Opposition to T. Rowe Price Plaintiffs' Motions to Vacate Dismissal and For Leave to File a Second Amended Complaint</i> by Julia DeMoss, William R. Dill, Leslie A. Ferlazzo, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Donald W Kiszka, Karen Sughrue, Garry Crago, Jean Childs, Paula Edwards Cochran, G. Stevens Davis, Jr.(Carpenter, Ann) (Entered: 12/08/2006)
12/08/2006	67	Opposition re 58 MOTION to Vacate 57 Order of Dismissal, 59 MOTION to Amend <i>Complaint</i> filed by Julia DeMoss, William R. Dill, Leslie A. Ferlazzo, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Donald W Kiszka, Karen Sughrue, Garry Crago, Jean Childs, Paula Edwards Cochran, G. Stevens Davis, Jr. (Attachments: # 1 # 2)(Carpenter, Ann) (Entered: 12/08/2006)
12/08/2006	68	Opposition re 58 MOTION to Vacate 57 Order of Dismissal, 59 MOTION to Amend <i>Complaint [Second]</i> filed by Advest, Inc.. (Attachments: # 1 Exhibit 1# 2 Exhibit A to Reply# 3 Exhibit B to Reply# 4 Exhibit C to Reply# 5 Exhibit D to Reply# 6 Exhibit E to Reply)(Walters, Sarah) (Entered: 12/08/2006)
12/13/2006		Judge Richard G. Stearns : Electronic ORDER entered granting in part and denying in part 64 Motion for Leave to File Excess Pages "ALLOWED if not in excess of 33 pages." (Flaherty, Elaine) (Entered: 12/13/2006)
12/14/2006	69	Opposition re 58 MOTION to Vacate 57 Order of Dismissal, 59 MOTION to Amend <i>Complaint [Second]</i> filed by Advest, Inc.. (Attachments: # 1 Exhibit 1# 2 Exhibit A to Reply Memorandum# 3 Exhibit B to Reply Memorandum# 4 Exhibit C to Reply Memorandum# 5 Exhibit D to Reply Memorandum# 6 Exhibit E to Reply Memorandum)(Walters, Sarah) (Entered: 12/14/2006)
12/15/2006		Judge Richard G. Stearns : Electronic ORDER entered granting 66 Motion for Leave to File Excess Pages "Allowed, not to exceed thirty (30) pages." (Flaherty, Elaine) (Entered: 12/15/2006)
12/19/2006	70	Amended Opposition re 58 MOTION to Vacate 57 Order of Dismissal, 59 MOTION to Amend <i>Complaint</i> filed by Julia DeMoss, William R. Dill, Leslie A. Ferlazzo, Joyce Shaffer Fleming, Eric W. Hayden, Catherine Chapin Kobacker, Anne Marcus, Celeste Reid, Richard J. Sheehan, Jr, Joseph Short, Gregory E. Thomas, Susan K. Turben, Donald W Kiszka, Karen Sughrue, Garry Crago, Jean

		Childs, Paula Edwards Cochran, G. Stevens Davis, Jr. (Attachments: # 1 # 2)(Carpenter, Ann) (Entered: 12/19/2006)
12/26/2006		Judge Richard G. Stearns : Electronic ORDER entered granting 63 Assented to Motion to Substitute a Corrected Version of the Proposed Second Amended Complaint. (Tyler, Rebecca) (Entered: 12/26/2006)
12/29/2006	71	Judge Richard G. Stearns : ORDER entered. MEMORANDUM AND ORDER on Plaintiffs' Motion to Vacate Order of Dismissal and Motion for Leave to File Second Amended Complaint.(Tyler, Rebecca) (Entered: 12/29/2006)
12/29/2006		Judge Richard G. Stearns : Electronic ORDER entered denying 58 Motion to Vacate, dismissing 59 Motion to Amend for lack of jurisdiction. (Tyler, Rebecca) (Entered: 12/29/2006)
12/29/2006		Civil Case Terminated. (Tyler, Rebecca) (Entered: 12/29/2006)
01/26/2007	72	NOTICE OF APPEAL as to 57 Order, 71 Memorandum & ORDER by ACA Financial Guaranty Corporation, Dryden National Municipals Fund, Inc., John Moore, Lois Moore, Smith Barney Income Funds/Smith Barney Municipal High Income Fund, T. Row Price Tax-Free High Yield Fund, Incorporated. NOTICE TO COUNSEL: A Transcript Report/Order Form, which can be downloaded from the First Circuit Court of Appeals web site at http://www.ca1.uscourts.gov/clerks/transcript.htm MUST be completed and submitted to the Court of Appeals. (Tabb, Michael) (Entered: 01/26/2007)
02/01/2007		Filing fee: \$ 455., receipt number 77952 for 71 Memorandum & ORDER (Flaherty, Elaine) (Entered: 02/01/2007)
02/09/2007	73	TRANSCRIPT ORDER FORM by ACA Financial Guaranty Corporation, Dryden National Municipals Fund, Inc., John Moore, Lois Moore, Smith Barney Income Funds/Smith Barney Municipal High Income Fund, T. Row Price Tax-Free High Yield Fund, Incorporated for proceedings held on 10/7/2005 before Judge Stearns, re 72 Notice of Appeal,, Transcript due by 2/9/2007. (Tabb, Michael) (Entered: 02/09/2007)
02/28/2007	74	Certified and Transmitted Record on Appeal to US Court of Appeals re 72 Notice of Appeal, (Attachments: # 1)(Ramos, Jeanette) (Entered: 02/28/2007)
03/06/2007	75	USCA Case Number 07-1367 for 72 Notice of Appeal, filed by John Moore, ACA Financial Guaranty Corporation, Lois Moore, Smith Barney Income Funds/Smith Barney Municipal High Income Fund, Dryden National Municipals Fund, Inc., T. Row Price Tax-Free High Yield Fund, Incorporated,. (Ramos, Jeanette) (Entered: 03/06/2007)
03/16/2007	76	Supplemental Record on Appeal transmitted to US Court of Appeals re 72 Notice of Appeal, Documents included: 66 & endorsed order (Ramos, Jeanette) (Entered: 03/16/2007)
03/20/2007		TRANSCRIPT ORDER ACKNOWLEDGMENT FORM received from USCA and addressed to James P. Gibbons Transcript order form filed in USCA on 10/20/07. Transcript ordered: 10/6/05 Motion Hearing due by 5/21/2007. (Scalfani, Deborah) (Entered: 03/22/2007)

05/21/2007	77	TRANSCRIPT of Motion Hearing held on October 6, 2005 before Judge Stearns. Court Reporter: James P. Gibbons. The original transcripts are maintained in the case file in the Clerk's Office. Copies may be obtained by contacting the court reporter at 617/428-0402 or the Clerk's Office. (Scalfani, Deborah) (Entered: 05/21/2007)
05/21/2007	78	Supplemental Record on Appeal transmitted to US Court of Appeals re 72 Notice of Appeal,, Documents included: 77 (Scalfani, Deborah) (Entered: 05/21/2007)
01/31/2008	79	USCA Mandate as to 72 Notice of Appeal,, filed by Lois Moore, John Moore, Dryden National Municipals Fund, Inc., Smith Barney Income Funds/Smith Barney Municipal High Income Fund, T. Row Price Tax-Free High Yield Fund, Incorporated, ACA Financial Guaranty Corporation. Upon consideration whereof, it is now here ordered, adjudged and decreed as follows: The judgment of the district court is affirmed. Mandate issued in the USCA 1/31/2008 (Ramos, Jeanette) Modified on 1/31/2008 (Ramos, Jeanette). (Entered: 01/31/2008)
01/31/2008		Appeal Record Returned: 72 Notice of Appeal, (Ramos, Jeanette) (Entered: 01/31/2008)

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>