

**U.S. District Court
Southern District of New York (Foley Square - Suspense)
CIVIL DOCKET FOR CASE #: 2:08-cv-03449-LAK**

Defer LP v. Raymond James Financial, Inc., et al
Assigned to: Judge Lewis A. Kaplan
Cause: 15:78m(a) Securities Exchange Act

Date Filed: 04/08/2008
Jury Demand: Both
Nature of Suit: 850
Securities/Commodities
Jurisdiction: Federal Question

Lead Plaintiff

Laurie Rubin

represented by **Daniel Charles Girard**
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Plaintiff

Defer LP

*Individually and On Behalf of all
Others Similarly Situated*

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Plaintiff

Jonathan Gold

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Jonathan K. Levine
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V.

Defendant

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Defendant

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ATTORNEY TO BE NOTICED

E. Andrew Southerling

(See above for address)

TERMINATED: 05/12/2011

LEAD ATTORNEY

Jill M. Baisinger

(See above for address)

TERMINATED: 05/12/2011

LEAD ATTORNEY

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Joaquin Javier Ezcurra

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TERMINATED: 09/23/2009

Defendant

**Raymond James Financial
Services, Inc.**

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TERMINATED: 09/23/2009

Date Filed	#	Docket Text
04/08/2008	<u>1</u>	COMPLAINT against Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc.. (Filing Fee \$ 350.00, Receipt Number 646945) Document filed by Defer LP.(rdz) (Entered: 04/11/2008)
04/08/2008		SUMMONS ISSUED as to Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc.. (rdz) (Entered: 04/11/2008)
04/08/2008		Magistrate Judge Andrew J. Peck is so designated. (rdz) (Entered: 04/11/2008)
04/08/2008		Case Designated ECF. (rdz) (Entered: 04/11/2008)
04/08/2008	<u>2</u>	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. No Corporate Parent. Document filed by Defer LP.(rdz) (Entered: 04/11/2008)
04/22/2008	<u>3</u>	NOTICE OF CASE REASSIGNMENT to Judge Lewis A. Kaplan. Judge Shirley Wohl Kram is no longer assigned to the case. (jeh) (Entered: 04/30/2008)
05/01/2008		***DELETED DOCUMENT. Deleted document number 4 ORDER RE SCHEDULING AND INITIAL PRETRIAL CONFERENCE. The document was incorrectly filed in this case. (db) (Entered: 05/06/2008)
05/02/2008	<u>5</u>	ORDER RE SCHEDULING AND INITIAL PRETRIAL CONFERENCE: Initial Conference set for 5/30/2008 at 10:00 AM in Courtroom 12D, 500 Pearl Street, New York, NY 10007 before Judge Lewis A. Kaplan. (Signed by Judge Lewis A. Kaplan on 5/2/08) (tro) (Entered: 05/02/2008)

05/09/2008	6	STIPULATION: It is hereby stipulated and agreed, by and between the undersigned counsel for the parties, that Defendants' time to move, answer or otherwise respond to the Complaint is adjourned without date, pending appointment of Lead Plaintiff and filing of an amended complaint. So Ordered (Signed by Judge Lewis A. Kaplan on 5/9/08) (js) (Entered: 05/09/2008)
05/09/2008		***DELETED DOCUMENT. Deleted document number 7 Stipulation. The document was incorrectly filed in this case. (js) (Entered: 05/13/2008)
05/28/2008	7	MOTION for E. Andrew Southerling to Appear Pro Hac Vice. Document filed by Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc.(dle) (Entered: 05/29/2008)
05/28/2008	8	MOTION for Christian Bartholomew to Appear Pro Hac Vice. Document filed by Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc.(dle) (Entered: 05/29/2008)
05/30/2008	9	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Identifying Raymond James Financial, Inc. as Corporate Parent. Document filed by Raymond James & Associates, Inc..(Ezcurra, Joaquin) (Entered: 05/30/2008)
05/30/2008	10	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Identifying Raymond James Financial, Inc. as Corporate Parent. Document filed by Raymond James Financial Services, Inc..(Ezcurra, Joaquin) (Entered: 05/30/2008)
05/30/2008	11	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Identifying Raymond James Financial, Inc. as Corporate Parent. Document filed by Raymond James Financial, Inc..(Ezcurra, Joaquin) (Entered: 05/30/2008)
05/30/2008	12	MOTION for Norman E. Siegel and Matthew L. Dameron to Appear Pro Hac Vice. Document filed by Defer LP.(dle) (Entered: 06/02/2008)
06/02/2008	13	MOTION for Christina H.C. Sharp to Appear Pro Hac Vice. Document filed by Defer LP.(dle) (Entered: 06/03/2008)
06/02/2008	14	MOTION for Daniel C. Girard to Appear Pro Hac Vice. Document filed by Defer LP.(dle) (Entered: 06/03/2008)
06/02/2008	15	MOTION for Aaron M. Sheanin to Appear Pro Hac Vice. Document filed by Defer LP.(dle) (Entered: 06/03/2008)
06/02/2008	16	MOTION for A.J. De Bartolomeo to Appear Pro Hac Vice. Document filed by Defer LP.(dle) (Entered: 06/03/2008)
06/03/2008	17	MEMO-ENDORSEMENT granting 7 Motion for Andrew Southerling to Appear Pro Hac Vice. (Signed by Judge Lewis A. Kaplan on 6/3/08) (pl) (Entered: 06/03/2008)

06/03/2008	18	MEMO-ENDORSEMENT granting 8 Motion for Christian Bartholomew to Appear Pro Hac Vice. (Signed by Judge Lewis A. Kaplan on 6/3/08) (pl) (Entered: 06/03/2008)
06/03/2008		Transmission to Attorney Admissions Clerk. Transmitted re: 18 Order on Motion to Appear Pro Hac Vice, 17 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (pl) (Entered: 06/03/2008)
06/04/2008	19	MEMO ENDORSEMENT on 13 Motion for Christina H. C. Sharp to Appear Pro Hac Vice. ENDORSEMENT: Granted.(Signed by Judge Lewis A. Kaplan on 6/4/08) (mme) (Entered: 06/04/2008)
06/04/2008	20	MEMO ENDORSEMENT on 16 Motion for A.J. De Bartolomeo to Appear Pro Hac Vice. ENDORSEMENT: Granted.(Signed by Judge Lewis A. Kaplan on 6/4/08) (mme) Modified on 6/11/2008 (mme). (Entered: 06/04/2008)
06/04/2008		Transmission to Attorney Admissions Clerk. Transmitted re: 19 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (mme) (Entered: 06/04/2008)
06/04/2008		Transmission to Attorney Admissions Clerk. Transmitted re: 20 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (mme) (Entered: 06/04/2008)
06/04/2008	21	MEMO ENDORSEMENT on 14 Motion for Daniel C. Girard to Appear Pro Hac Vice. ENDORSEMENT: Granted. (Signed by Judge Lewis A. Kaplan on 6/4/08) (mme) Modified on 6/11/2008 (mme). (Entered: 06/04/2008)
06/04/2008		Transmission to Attorney Admissions Clerk. Transmitted re: 21 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (mme) (Entered: 06/04/2008)
06/04/2008	22	MEMO ENDORSEMENT on 15 Motion for Aaron M. Sheanin to Appear Pro Hac Vice. ENDORSEMENT: Granted.(Signed by Judge Lewis A. Kaplan on 6/4/08) (mme) Modified on 6/11/2008 (mme). (Entered: 06/04/2008)
06/04/2008		Transmission to Attorney Admissions Clerk. Transmitted re: 22 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (mme) (Entered: 06/04/2008)
06/05/2008		CASHIERS OFFICE REMARK on 7 Motion to Appear Pro Hac Vice, 8 Motion to Appear Pro Hac Vice in the amount of \$50.00, paid on 5/28/08, Receipt Number 652525. (Quintero, Marcos) (Entered: 06/05/2008)
06/05/2008		CASHIERS OFFICE REMARK on 12 Motion to Appear Pro Hac Vice in the amount of \$50.00, paid on 05/30/2008, Receipt Number

		652690. (jd) (Entered: 06/05/2008)
06/05/2008	23	MOTION for Jill M. Baisinger to Appear Pro Hac Vice. Document filed by Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc.(dle) (Entered: 06/06/2008)
06/06/2008		CASHIERS OFFICE REMARK on 16 Motion to Appear Pro Hac Vice, 15 Motion to Appear Pro Hac Vice, 13 Motion to Appear Pro Hac Vice, 14 Motion to Appear Pro Hac Vice in the amount of \$100.00, paid on 06/02/2008, Receipt Number 652824. (jd) (Entered: 06/06/2008)
06/09/2008	24	MOTION to Appoint Counsel., MOTION to Appoint Laurie Rubin to serve as lead plaintiff(s). Document filed by Laurie Rubin. (Attachments: # 1 Text of Proposed Order)(Levine, Jonathan) (Entered: 06/09/2008)
06/09/2008	25	MEMORANDUM OF LAW in Support re: 24 MOTION to Appoint Counsel. MOTION to Appoint Laurie Rubin to serve as lead plaintiff(s).. Document filed by Laurie Rubin. (Levine, Jonathan) (Entered: 06/09/2008)
06/09/2008	26	DECLARATION of Jonathan K. Levine in Support re: 24 MOTION to Appoint Counsel. MOTION to Appoint Laurie Rubin to serve as lead plaintiff(s).. Document filed by Laurie Rubin. (Levine, Jonathan) (Entered: 06/09/2008)
06/10/2008		CASHIERS OFFICE REMARK on 23 Motion to Appear Pro Hac Vice in the amount of \$25.00, paid on 06/05/2008, Receipt Number 653206. (jd) (Entered: 06/10/2008)
06/10/2008	27	MEMO ENDORSEMENT on re: 23 MOTION for Jill M. Baisinger to Appear Pro Hac Vice. Filed by Raymond James & Associates, Inc., Raymond James Financial Services, Inc., Raymond James Financial, Inc., ENDORSEMENT: Granted. So Ordered. (Signed by Judge Lewis A. Kaplan on 6/10/2008) (jfe) Modified on 6/23/2008 (jfe). (Entered: 06/10/2008)
06/10/2008		Transmission to Attorney Admissions Clerk. Transmitted re: 27 Memo Endorsement, to the Attorney Admissions Clerk for updating of Attorney Information. (jfe) (Entered: 06/10/2008)
06/18/2008	28	RESPONSE to Motion re: 24 MOTION to Appoint Counsel. MOTION to Appoint Laurie Rubin to serve as lead plaintiff(s).. Document filed by Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc.. (Ezcurra, Joaquin) (Entered: 06/18/2008)
06/26/2008	29	RESPONSE in Support re: 24 MOTION to Appoint Counsel. MOTION to Appoint Laurie Rubin to serve as lead plaintiff(s).. Document filed by Laurie Rubin. (Sheanin, Aaron) (Entered: 06/26/2008)
07/01/2008	30	MEMO ENDORSED granting 12 Motion for Norman E. Siegel and

		Matthew L. Dameron to Appear Pro Hac Vice. (Signed by Judge Lewis A. Kaplan on 7/1/08) (mme) (Entered: 07/01/2008)
07/01/2008		Transmission to Attorney Admissions Clerk. Transmitted re: 30 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (mme) (Entered: 07/01/2008)
07/02/2008	31	ORDER granting 24 Motion to Appoint Girard Gibbs LLP as Lead Counsel ; granting 24 Motion to Appoint Laurie Rubin as Lead Plaintiff. This Motion is Denied in all other respects. (Signed by Judge Lewis A. Kaplan on 7/2/08) (db) (Entered: 07/02/2008)
07/29/2008	32	STIPULATION AND ORDER: It is hereby stipulated and agreed that if the Motion to Transfer for Coordination is denied, the parties shall confer and, within 20 days of the JMPL's ruling, submit to this Court a proposed schedule, including a schedule for the filing of an amended complaint. If the Motion to Transfer for Coordination is granted, Lead Plaintiff in this action shall file an amended complaint as directed by the transferee Court selected by the JPML. (Signed by Judge Lewis A. Kaplan on 7/29/2008) (jfe) (Entered: 07/29/2008)
10/10/2008	33	CERTIFIED TRUE COPY OF MDL ORDER FROM THE MDL PANEL DENYING TRANSFER....that the motion, pursuant to 28 U.S.C. 1407(c), for transfer of the action to the United States District Court - Southern District of New York, be, and the same hereby is denied. (Signed by MDL Panel on 10/9/08) (laq) (Entered: 10/20/2008)
10/30/2008	34	ORDER: THEREFORE, it is hereby stipulated and agreed by the parties, by and through their undersigned counsel, that: Lead plaintiff Laurie Rubin shall submit an amended complaint on or before December 1, 2008. Defendants shall answer, move, or otherwise respond to the amended complaint on or before January 7, 2009. If defendants move to dismiss, lead plaintiff's response thereto shall be filed on or before February 6, 2009. If defendants move to dismiss, defendants' reply brief shall be filed on or before February 20, 2009. (Signed by Judge Lewis A. Kaplan on 10/30/2008) (jfe) (Entered: 10/30/2008)
10/30/2008		Set/Reset Deadlines: Motions due by 2/6/2009. (jfe) (Entered: 11/06/2008)
12/01/2008	35	FIRST AMENDED CLASS ACTION COMPLAINT amending 1 Complaint against Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc. Document filed by Laurie Rubin. Related document: 1 Complaint filed by Defer LP.(dle) (Entered: 12/02/2008)
01/07/2009	36	MOTION to Dismiss <i>the First Amended Class Action Complaint</i> . Document filed by Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc..(Bartholomew, Christian) (Entered: 01/07/2009)

01/07/2009	37	FILING ERROR - DEFICIENT DOCKET ENTRY - MEMORANDUM OF LAW in Support re: 36 MOTION to Dismiss <i>the First Amended Class Action Complaint</i> .. Document filed by Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc.. (Attachments: # 1 Declaration of Christian R. Bartholomew, # 2 Index of Exhibits, # 3 Exhibit 1, # 4 Exhibit 2, # 5 Exhibit 3, # 6 Exhibit 4, # 7 Exhibit 5, # 8 Exhibit 6, # 9 Exhibit 7, # 10 Exhibit 8, # 11 Exhibit 9, # 12 Exhibit 10, # 13 Exhibit 11)(Bartholomew, Christian) Modified on 1/8/2009 (jar). (Entered: 01/07/2009)
01/07/2009		***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - DEFICIENT DOCKET ENTRY ERROR. Note to Attorney Christian Bartholomew to RE-FILE Document 37 Memorandum of Law in Support of Motion. ERROR(S): Each supporting document must be filed individually. Use the event type Declaration in Support found under event list Replies, Oppositions, Supporting Documents. *REMINDER: The Memorandum of Law must be re-filed. (jar) (Entered: 01/08/2009)
01/08/2009	38	MEMORANDUM OF LAW in Support re: 36 MOTION to Dismiss <i>the First Amended Class Action Complaint</i> .. Document filed by Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc.. (Bartholomew, Christian) (Entered: 01/08/2009)
02/06/2009	39	MEMORANDUM OF LAW in Opposition re: 36 MOTION to Dismiss <i>the First Amended Class Action Complaint</i> .. Document filed by Laurie Rubin. (Sheanin, Aaron) (Entered: 02/06/2009)
02/06/2009	40	DECLARATION of Aaron M. Sheanin in Opposition re: 36 MOTION to Dismiss <i>the First Amended Class Action Complaint</i> .. Document filed by Laurie Rubin. (Sheanin, Aaron) (Entered: 02/06/2009)
02/20/2009	41	REPLY MEMORANDUM OF LAW in Support re: 36 MOTION to Dismiss <i>the First Amended Class Action Complaint</i> .. Document filed by Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc.. (Bartholomew, Christian) (Entered: 02/20/2009)
06/19/2009	42	NOTICE of Withdrawal of Joaquin Javier Ezcurra as Attorney of Record for Defendants. Document filed by Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc.. (Bartholomew, Christian) (Entered: 06/19/2009)
08/31/2009	43	MOTION for Matthew L. Dameron to Withdraw as Attorney. Document filed by Defer LP.(Dameron, Matthew) (Entered: 08/31/2009)
09/02/2009	44	MEMO ENDORSEMENT re: 43 Motion to Withdraw as Attorney. Added attorney Norman E. Siegel for Laurie Rubin and Defer LP. Attorney Matthew L. Dameron terminated. ENDORSEMENT:

		Granted. SO ORDERED. (Signed by Judge Lewis A. Kaplan on 9/1/2009) (tve) (Entered: 09/02/2009)
09/17/2009	45	MEMORANDUM OPINION #98034 For the foregoing reasons, defendants' motion to dismiss the First Amended Class Action Complaint [docket item 36] is granted. Nevertheless, it is far from clear that plaintiff cannot state a legally sufficient claim against some or all of the defendants. Accordingly, plaintiff is granted leave to amend on or before October 16, 2009. SO ORDERED. (Amended Pleadings due by 10/16/2006.) (Signed by Judge Lewis A. Kaplan on 9/17/2009) (jmi) Modified on 9/18/2009 (eef). (Entered: 09/17/2009)
09/18/2009	46	MOTION for Rachel E. Schwartz to Appear Pro Hac Vice. Document filed by Defer LP.(mro) (Entered: 09/22/2009)
09/23/2009	47	MEMO ENDORSED ON PLAINTIFF'S MOTION TO ADMIT COUNSEL PRO HAC VICE: ENDORSEMENT: Granted. So Ordered (Signed by Judge Lewis A. Kaplan on 9/22/09) (js) (Entered: 09/23/2009)
09/23/2009		Transmission to Attorney Admissions Clerk. Transmitted re: 47 Memo Endorsement, to the Attorney Admissions Clerk for updating of Attorney Information. (js) (Entered: 09/23/2009)
09/23/2009	48	MEMO ENDORSEMENT on MOTION TO WITHDRAW JOAQUIN JAVIER EZCURRA AS AN ATTORNEY OF RECORD FOR DEFENDANTS. ENDORSEMENT: So Ordered (Signed by Judge Lewis A. Kaplan on 9/23/2009) (jpo) (Entered: 09/23/2009)
09/24/2009		CASHIERS OFFICE REMARK on 46 Motion to Appear Pro Hac Vice in the amount of \$25.00, paid on 09/15/2009, Receipt Number 09/24/2009. (jd) (Entered: 09/24/2009)
10/16/2009	49	STIPULATION TO SET SCHEDULE FOR MOTION TO DISMISS SECOND AMENDED COMPLAINT, 1. Defendants shall answer, move, or otherwise respond to the Second Amended Complaint on or before November 16, 2009; 2. If defendants move to dismiss, any response in opposition thereto shall be filed on or before December 16, 2009; 3. If defendants move to dismiss, defendants' reply brief shall be filed on or before January 6, 2010. (Signed by Judge Lewis A. Kaplan on 10/15/09) (pl) (Entered: 10/16/2009)
10/16/2009	50	SECOND AMENDED COMPLAINT amending 35 Amended Complaint, against Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc..Document filed by Laurie Rubin, Defer LP, Jonathan Gold. Related document: 35 Amended Complaint, filed by Laurie Rubin.(rdz) (dle). (Entered: 10/19/2009)
10/23/2009	51	MEMO ENDORSEMENT on re: 46 MOTION for Rachel E. Schwartz to Appear Pro Hac Vice. ENDORSEMENT: Granted. So

		Ordered. (Signed by Judge Lewis A. Kaplan on 10/22/2009) (jfe) (Entered: 10/23/2009)
10/23/2009		Transmission to Attorney Admissions Clerk. Transmitted re: 51 Order Admitting Attorney Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (jfe) (Entered: 10/23/2009)
11/12/2009	52	ENDORSED LETTER addressed to Judge Lewis A. Kaplan from Christian R. Bartholomew dated 11/6/2009 re: Requesting leave of the Court to file an opening memorandum of up to 45 pages in support of their Motion to Dismiss and file a reply memorandum of up to 15 pages. ENDORSEMENT: Granted. (Signed by Judge Lewis A. Kaplan on 11/12/2009) (jpo) (Entered: 11/12/2009)
11/16/2009	53	MOTION to Dismiss <i>the Second Amended Class Action Complaint</i> . Document filed by Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc..(Bartholomew, Christian) (Entered: 11/16/2009)
11/16/2009	54	MEMORANDUM OF LAW in Support re: 53 MOTION to Dismiss <i>the Second Amended Class Action Complaint</i> .. Document filed by Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc.. (Bartholomew, Christian) (Entered: 11/16/2009)
11/16/2009	55	DECLARATION of Christian R. Bartholomew in Support re: 53 MOTION to Dismiss <i>the Second Amended Class Action Complaint</i> .. Document filed by Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc.. (Attachments: # 1 Index of Exhibits, # 2 Exhibit 1, # 3 Exhibit 2, # 4 Exhibit 3, # 5 Exhibit 4, # 6 Exhibit 5, # 7 Exhibit 6, # 8 Exhibit 7, # 9 Exhibit 8, # 10 Exhibit 9, # 11 Exhibit 10, # 12 Exhibit 11, # 13 Exhibit 12, # 14 Exhibit 13, # 15 Exhibit 14, # 16 Exhibit 15, # 17 Exhibit 16, # 18 Exhibit 17, # 19 Exhibit 18, # 20 Exhibit 19, # 21 Exhibit 20, # 22 Exhibit 21, # 23 Exhibit 22, # 24 Exhibit 23, # 25 Exhibit 24, # 26 Exhibit 25, # 27 Exhibit 26, # 28 Exhibit 27, # 29 Exhibit 28, # 30 Exhibit 29, # 31 Exhibit 30, # 32 Exhibit 31, # 33 Exhibit 32 (Part 1), # 34 Exhibit 32 (Part 2), # 35 Exhibit 33 (Part 1), # 36 Exhibit 33 (Part 2), # 37 Exhibit 34 (Part 1), # 38 Exhibit 34 (Part 2), # 39 Exhibit 35, # 40 Exhibit 36)(Bartholomew, Christian) (Entered: 11/16/2009)
12/16/2009	56	MEMORANDUM OF LAW in Opposition re: 53 MOTION to Dismiss <i>the Second Amended Class Action Complaint</i> .. Document filed by Laurie Rubin, Jonathan Gold. (Sheanin, Aaron) (Entered: 12/16/2009)
12/16/2009	57	DECLARATION of Aaron M. Sheanin in Opposition re: 53 MOTION to Dismiss <i>the Second Amended Class Action Complaint</i> .. Document filed by Laurie Rubin, Jonathan Gold. (Sheanin, Aaron) (Entered: 12/16/2009)
01/06/2010	58	REPLY MEMORANDUM OF LAW in Support re: 53 MOTION to

		Dismiss <i>the Second Amended Class Action Complaint</i> .. Document filed by Raymond James Financial, Inc., Raymond James & Associates, Inc., Raymond James Financial Services, Inc.. (Bartholomew, Christian) (Entered: 01/06/2010)
09/02/2010	59	MEMORANDUM OPINION: #99386 For the foregoing reasons, defendants' motion to dismiss the complaint [DI 53] is granted in all respects except that motion is denied with respect to plaintiff Gold's (1) Section 10(b) and Rule 10b-5 claim against RJA for the period November 2007 through February 13, 2008, and (2) the Section 20(a) claim against RJF based thereon. (Signed by Judge Lewis A. Kaplan on 9/1/2010) (jpo) (Main Document 59 replaced on 9/2/2010) (jpo). Modified on 9/7/2010 (ajc). (Entered: 09/02/2010)
09/17/2010	60	STIPULATION TO EXTEND THE TIME FOR DEFENDANTS TO ANSWER THE SECOND AMENDED COMPLAINT THEREFORE, it is hereby stipulated and agreed by the parties, by and through their undersigned counsel, and subject to this Court's approval, that Defendants shall answer the Second Amended Complaint on or before October 14, 2010. Raymond James & Associates, Inc. answer due 10/14/2010; Raymond James Financial Services, Inc. answer due 10/14/2010; Raymond James Financial, Inc., answer due 10/14/2010. (Signed by Judge Lewis A. Kaplan on 9/17/2010) (jmi) (Entered: 09/17/2010)
10/14/2010	61	ANSWER to Amended Complaint with JURY DEMAND. Document filed by Raymond James & Associates, Inc., Raymond James Financial, Inc., Related document: 50 Amended Complaint, filed by Defer LP, Laurie Rubin, Jonathan Gold.(Bartholomew, Christian) (Entered: 10/14/2010)
11/03/2010	62	SECOND ORDER RE SCHEDULING CONFERENCE. Counsel for all parties are directed to confer regarding an agreed scheduling order. If counsel are able to agree on a schedule and the agreed schedule calls for filing of the pretrial order not more than six (6) months from the date of this order, counsel shall sign and email a PDF of the proposed schedule to the Orders and Judgment Clerk* within twenty-one (21) days from the date hereof by using the consent scheduling order form annexed for the Court's consideration. If such a consent order is not filed within the time provided, a conference will be held on 12/17/10 in courtroom 12D, 500 Pearl Street, New York, New York at 9:30am. (Status Conference set for 12/17/2010 at 09:30 AM in Courtroom 12D, 500 Pearl Street, New York, NY 10007 before Judge Lewis A. Kaplan). (Signed by Judge Lewis A. Kaplan on 11/2/10) (djc) (Entered: 11/03/2010)
11/23/2010	63	RULE 26(f) DISCOVERY PLAN REPORT.Document filed by Jonathan Gold.(Girard, Daniel) (Entered: 11/23/2010)
12/03/2010	64	CONSENT SCHEDULING ORDER. Amended Pleadings due by 6/30/2011. Joinder of Parties due by 6/30/2011. Dispositive Motions due by 10/31/2011. Responses due by 11/30/2011 Replies due by

		12/15/2011. All Discovery due by 9/30/2011. Joint Pretrial Order due by 1/31/2012 and as further set forth. (Signed by Judge Lewis A. Kaplan on 11/30/10) (rjm) (Entered: 12/03/2010)
12/03/2010	65	STIPULATED PROTECTIVE ORDER regarding procedures to be followed that shall govern the handling of confidential material. ENDORSEMENT: Notwithstanding anything to the contrary herein: 1. Any papers filed under seal in this action shall be made part of the public record on or after 11/30/2015 unless the Court otherwise orders. 2. Any person may apply to the Court for access to any papers filed under seal pursuant to this order. Should such an application be made the person or persons who designated the sealed material as Confidential shall have the burden of establishing good cause for the continuation of the sealing order unless the Court previously made an individualized determination of the existence of good cause for sealing. (Signed by Judge Lewis A. Kaplan on 11/30/10) (rjm) (Entered: 12/03/2010)
03/01/2011	66	MOTION for Aaron M. Sheanin to Withdraw as Attorney. Document filed by Defer LP, Jonathan Gold, Laurie Rubin.(Sheanin, Aaron) (Entered: 03/01/2011)
03/09/2011	67	NOTICE OF WITHDRAWAL. PLEASE TAKE NOTICE that, pursuant to Rule 1.4 of the Local Rules for the United States District Courts for the Southern and Eastern Districts of New York. I. Aaron M. Sheanin, a partner with the law firm of Girard Gibbs LLP, attorney for Plaintiffs Defer LP, Laurie Rubin, and Jonathan Gold in the above-entitled action, hereby withdraw as an attorney of record, as I am leaving Girard Gibbs LLP. Daniel C. Girard, Jonathan K. Levine, and Christina H. C. Sharp of Girard Gibbs LLP will continue to serve as counsel of record. to Plaintiffs in the above-referenced matter. I hereby request that my name and email address be removed from the case's official docket. (Signed by Judge Lewis A. Kaplan on 3/9/11) (djc) Modified on 3/11/2011 (djc). (Entered: 03/09/2011)
03/16/2011	68	STIPULATION ORDER TO STAY ACTION AND TO VACATE SCHEDULE: This action is STAYED for 120 days from the date this stipulated order is entered, until otherwise ordered by the Court. The parties will provide a joint report to the Court on the status of this matter no later than 120 days from the entry of this stipulated order. This stay is without prejudice to the parties seeking an additional stay. The case is transferred to the suspense docket. (Signed by Judge Lewis A. Kaplan on 3/15/2011) (tro) (Entered: 03/16/2011)
03/16/2011		***DELETED DOCUMENT. Deleted document number 69 STIPULATED ORDER TO STAY AND TO VACATE SCHEDULE. The document was incorrectly filed in this case. (jpo) (Entered: 03/16/2011)
03/21/2011	69	SEALED DOCUMENT placed in vault.(nm) (Entered: 03/21/2011)

05/09/2011	70	NOTICE OF CHANGE OF ADDRESS by Christian R. Bartholomew on behalf of Raymond James & Associates, Inc., Raymond James Financial Services, Inc., Raymond James Financial, Inc., New Address: Weil, Gotshal & Manges LLP, 1300 Eye Street NW, Ste 900, Washington, DC, United States 20005, (202) 682-7070. (Bartholomew, Christian) (Entered: 05/09/2011)
05/12/2011	71	MEMO ENDORSEMENT on re: NOTICE OF WITHDRAWAL OF JILL BAISINGER AND E. ANDREW SOUTHERLING AS ATTORNEYS OF RECORD FOR DEFENDANTS. ENDORSEMENT: So Ordered. (Signed by Judge Lewis A. Kaplan on 5/12/2011) (jfe) (Entered: 05/12/2011)
07/13/2011	72	STATUS REPORT. Document filed by Raymond James & Associates, Inc., Raymond James Financial Services, Inc., Raymond James Financial, Inc.,. (Attachments: # 1 Exhibit A, # 2 Exhibit B, # 3 Exhibit C)(Bartholomew, Christian) (Entered: 07/13/2011)

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