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U.S. District Court
United States District Court for the Southern District of New York (Foley Square)
CIVIL DOCKET FOR CASE #: 1:08-cv-02967-LMM

In re UBS Auction Rate Securities Litigation

Date Filed: Mar. 21, 2008
Status: Open
Nature of suit: 850 Securities/Commodities
Assigned to: Judge Lawrence M. McKenna
Cause: 15:78m(a) Securities Exchange Act
Jurisdiction: Federal Question
Jury demand: Plaintiff
Lead case: 1:08-cv-03082-LMM
Member cases: 1:08-cv-02967-LMM
Related cases: 1:08-cv-03082-LMM
1:08-cv-04352-LMM
1:08-cv-05251-LMM

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Docket Proceedings[Reverse Proceedings](#)

| Req # | Filed | # | Docket Text |
|-------------------|---------------|---|--|
| 1 | Mar. 21, 2008 | 1 | MANUALLY-COLLECTED COMPLAINT COMPLAINT against UBS Securities LLC., UBS Financial Services Inc. UBS AG. (Filing Fee \$ 350.00, Receipt Number 645599)Document filed by David Chandler(Individually), David Chandler(As Trustees of the Chandler Trust Dated 12/28/05 and on behalf of All Others Similarly Situated), Shelly Chandler(Individually), Shelly Chandler(As Trustees of |

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|--------------------|---------------|---|---|
| | | | the Chandler Trust Dated 12/28/05, And On Behalf of All Others Similarly Situated).(js) (Entered: 03/24/2008) |
| 2 | Mar. 21, 2008 | | SUMMONS ISSUED as to UBS Securities LLC., UBS Financial Services Inc., UBS AG. (js) (Entered: 03/24/2008) |
| 3 | Mar. 21, 2008 | | Case Designated ECF. (js) (Entered: 03/24/2008) |
| 4 | Mar. 21, 2008 | | Magistrate Judge Theodore H. Katz is so designated. (js) (Entered: 03/24/2008) |
| 5 | Apr. 02, 2008 | 2 | ORDER: A Status Conference shall be held on 6/20/2008 at 09:00 AM before Judge Denise L. Cote to consider any motions for appointment of lead plaintiff and lead counsel and for consolidation. (Signed by Judge Denise L. Cote on 4/2/08) (db) (Entered: 04/02/2008) |
| 6 | Apr. 16, 2008 | 3 | FILING ERROR - WRONG DOCUMENT TYPE SELECTED FROM MENU - NOTICE of of Related Cases. Document filed by UBS Securities LLC., UBS Financial Services Inc., UBS AG. (Choa, Jonathan) Modified on 4/18/2008 (db). (Entered: 04/16/2008) |
| 7 | Apr. 18, 2008 | | ***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - DOCUMENT TYPE ERROR. Note to Attorney Jonathan Andrew Choa to RE-FILE Document 3 Notice (Other). Use the document type Sratement of Relatedness found under the document list Other Documents. (db) (Entered: 04/18/2008) |
| 8 | Apr. 18, 2008 | 4 | STATEMENT OF RELATEDNESS PURSUANT TO LOCAL RULE 1.6 re: that this action be filed as related to 08cv2753. Document filed by UBS Securities LLC., UBS Financial Services Inc., UBS AG.(Choa, Jonathan) (Entered: 04/18/2008) |
| 9 | Apr. 18, 2008 | 6 | NOTICE OF CASE REASSIGNMENT to Judge Lawrence M. McKenna. Judge Denise L. Cote is no longer assigned to the case. (laq) (Entered: 04/24/2008) |
| 10 | Apr. 24, 2008 | 5 | AFFIDAVIT OF SERVICE of Summons and Complaint,. UBS Securities LLC. served on 4/9/2008, answer due 4/29/2008; UBS Financial Services Inc., served on 4/9/2008, answer due 4/29/2008. Document filed by David Chandler(Individually); Shelly Chandler(Individually). (Weiss, Stephen) (Entered: 04/24/2008) |
| 11 | Apr. 25, 2008 | 7 | MOTION for James Wareham, William Sullivan, Howard Privette, John Durrant to Appear Pro Hac Vice. Document filed by UBS Securities LLC., UBS Financial Services Inc.,(dle) (Entered: 04/29/2008) |
| 12 | Apr. 28, 2008 | 8 | STIPULATION AND ORDER: Defendants, including all defendants both named and unnamed, need not answer, move against or otherwise respond to any complaint in this and any related Exchange Act actions until 60 days after a consolidated complaint is filed by lead plaintiff and lead plaintiff and lead plaintiff counsel as appointed by the Court, as set forth herein. (Signed by Judge Lawrence M. McKenna on 4/28/2008) (jpo) (Entered: 04/29/2008) |
| 13 | Apr. 30, 2008 | | CASHIERS OFFICE REMARK on 7 Motion to Appear Pro Hac Vice in the amount of \$100.00, paid on 04/25/2008, Receipt Number 649134. (jd) (Entered: 04/30/2008) |
| 14 | May 02, 2008 | 9 | ORDER granting 7 Motion for John S. Durrant, Howard M. Privette, William F. Sullivan, and James D. Wareham to Appear Pro Hac Vice for defendants UBS Securiteis LLC and UBS Financial Services. (Signed by Judge Lawrence M. McKenna on 5/2/08) (cd) (Entered: 05/02/2008) |

| Req # | Filed | # | Docket Text |
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| 15 | May 02, 2008 | | Transmission to Attorney Admissions Clerk. Transmitted re: 9 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (cd) (Entered: 05/02/2008) |
| 16 | May 06, 2008 | | Minute Entry for proceedings held before Judge Lawrence M. McKenna: All parties present. Upon the filing of an Amended Complaint by Plaintiff, Ronald D. Kassover, the defendants shall file a Motion to Dismiss the Amended Complaint of Plaintiff, Ronald D. Kassover, on notice. Plaintiffs' Chandler and Sanchez are to submit an Order of Consolidation with the Court, on notice. No transcript taken. (jw) (Entered: 05/12/2008) |
| 17 | May 08, 2008 | 10 | RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Identifying UBS AG as Corporate Parent. Document filed by UBS Securities LLC., UBS Financial Services Inc.,(Sullivan, William) (Entered: 05/08/2008) |
| 18 | May 15, 2008 | 11 | STATEMENT OF RELATEDNESS PURSUANT TO LOCAL RULE 1.6 re: that this action be filed as related to 08cv4352. Document filed by UBS Securities LLC., UBS Financial Services Inc.,(Choa, Jonathan) (Entered: 05/15/2008) |
| 19 | May 15, 2008 | 12 | NOTICE of STIPULATION REQUESTING CONSOLIDATION OF RELATED CASES. Document filed by David Chandler(Individually), Shelly Chandler(Individually). (Levine, Jonathan) (Entered: 05/15/2008) |
| 20 | May 16, 2008 | 13 | STIPULATION AND ORDER OF CONSOLIDATION OF RELATED CASES: The Chandler and Sanchez actions are hereby consolidated for all purposes, including discovery, pretrial proceedings, trial proceedings, and post-trial proceedings, pursuant to Rule 42(a) of the F.R.C.P. This action shall be captioned " In re UBS Auction Rate Securities Litigation," and the files of this action shall be maintained in one file under Master File No. 08-CV-2967. Any other actions now pending or hereafter filed in this District, or transferred to this District, which arise out of common alleged facts and include the same alleged claims against Defendants as alleged in the Chandler and Sanchez cases, shall be consolidated into this action for all purposes, if and when they are drawn to the Court's attention. This order is without prejudice to the rights of any party to apply to the Court for severance of any claim, issue, party or action, or for modification of this Order, for good cause shown. (Signed by Judge Lawrence M. McKenna on 5/16/2008) Filed In Associated Cases: 1:08-cv-02967-LMM, 1:08-cv-03082-LMM(tve) (Entered: 05/16/2008) |
| 21 | May 20, 2008 | 14 | MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s), Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions. Document filed by Randolph Bonnist and UBS ARS Group. (Attachments: # 1 Text of Proposed Order)(Guglielmo, Joseph) Modified on 5/21/2008 (KA). (Entered: 05/20/2008) |
| 22 | May 20, 2008 | 15 | MEMORANDUM OF LAW in Support re: 14 MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions. MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions.. Document filed by Randolph Bonnist. (Guglielmo, Joseph) (Entered: 05/20/2008) |
| 23 | May 20, 2008 | 16 | DECLARATION of Michael J. Flannery in Support re: 14 MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead |

| Req # | Filed | # | Docket Text |
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| | | | Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions. MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions.. Document filed by Randolph Bonnist. (Attachments: # 1 Exhibit A, # 2 Exhibit B, # 3 Exhibit C, # 4 Exhibit D)(Guglielmo, Joseph) (Entered: 05/20/2008) |
| 24 | May 20, 2008 | 17 | FILING ERROR - WRONG DOCUMENT TYPE SELECTED FROM MENU - NOTICE of Motion to Appoint Sanchez Group as lead plaintiff and Levi & Korsinsky as lead counsel. Document filed by Ricardo L. Sanchez. (Attachments: # 1 Text of Proposed Order Order to Appoint Sanchez Group as lead plaintiff and Levi & Korsinsky as lead counsel)(Monteverde, Juan) Modified on 5/21/2008 (KA). (Entered: 05/20/2008) |
| 25 | May 20, 2008 | 18 | MOTION to Appoint Counsel Levi & Korsinsky, LLP as lead counsel. Document filed by Ricardo L. Sanchez.(Monteverde, Juan) (Entered: 05/20/2008) |
| 26 | May 20, 2008 | 19 | MEMORANDUM OF LAW in Support re: 18 MOTION to Appoint Counsel Levi & Korsinsky, LLP as lead counsel.. Document filed by Ricardo L. Sanchez. (Attachments: # 1 Text of Proposed Order [PROPOSED] ORDER APPOINTING THE SANCHEZ GROUP AS LEAD PLAINTIFF AND APPROVING ITS SELECTION OF LEAD COUNSEL FOR THE CLASS)(Monteverde, Juan) (Entered: 05/20/2008) |
| 27 | May 20, 2008 | 20 | DECLARATION of Joseph E. Levi in Support re: 18 MOTION to Appoint Counsel Levi & Korsinsky, LLP as lead counsel.. Document filed by Ricardo L. Sanchez. (Monteverde, Juan) (Entered: 05/20/2008) |
| 28 | May 20, 2008 | 21 | MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s). Document filed by Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust. (Attachments: # 1 Exhibit Proposed Order)(Bronson, Kent) (Entered: 05/20/2008) |
| 29 | May 20, 2008 | 22 | MEMORANDUM OF LAW in Support re: 21 MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s). MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s).. Document filed by Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust. (Bronson, Kent) (Entered: 05/20/2008) |
| 30 | May 20, 2008 | 23 | DECLARATION of Kent A. Bronson in Support re: 21 MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s). MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s).. Document filed by Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust. (Attachments: # 1 Exhibit A - Certification, # 2 Exhibit B - Notice, # 3 Exhibit C - Milberg Resume, # 4 Exhibit D - Shohet Resume)(Bronson, Kent) (Entered: 05/20/2008) |
| 31 | May 20, 2008 | 24 | MOTION to Appoint Steven Oppenheimer to serve as lead plaintiff(s). Document filed by Steven Oppenheimer. (Attachments: # 1 Text of Proposed Order Proposed Order)(Glavin, James) (Entered: 05/20/2008) |

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| 32 | May 20, 2008 | 25 | DECLARATION of James Henry Glavin IV in Support re: 24 MOTION to Appoint Steven Oppenheimer to serve as lead plaintiff(s).. Document filed by Steven Oppenheimer. (Attachments: # 1 Exhibit Ex. A, # 2 Exhibit Ex. B, # 3 Exhibit Ex. C, # 4 Exhibit Ex. D)(Glavin, James) (Entered: 05/20/2008) |
| 33 | May 20, 2008 | 26 | MEMORANDUM OF LAW in Support re: 24 MOTION to Appoint Steven Oppenheimer to serve as lead plaintiff(s).. Document filed by Steven Oppenheimer. (Glavin, James) (Entered: 05/20/2008) |
| 34 | May 20, 2008 | 27 | MOTION to Consolidate Cases 08-CV-04352., MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s)., MOTION to Appoint Counsel. Document filed by David Chandler(As Trustees of the Chandler Trust Dated 12/28/05 and on behalf of All Others Similarly Situated). (Attachments: # 1 Text of Proposed Order)(Levine, Jonathan) (Entered: 05/20/2008) |
| 35 | May 20, 2008 | 28 | MEMORANDUM OF LAW in Support re: 27 MOTION to Consolidate Cases 08-CV-04352. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s). MOTION to Appoint Counsel. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s).. Document filed by David Chandler(As Trustees of the Chandler Trust Dated 12/28/05 and on behalf of All Others Similarly Situated). (Levine, Jonathan) (Entered: 05/20/2008) |
| 36 | May 20, 2008 | 29 | DECLARATION of JONATHAN K. LEVINE in Support re: 27 MOTION to Consolidate Cases 08-CV-04352. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s). MOTION to Appoint Counsel. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s).. Document filed by David Chandler(As Trustees of the Chandler Trust Dated 12/28/05 and on behalf of All Others Similarly Situated). (Attachments: # 1 Exhibit A - K)(Levine, Jonathan) (Entered: 05/20/2008) |
| 37 | May 30, 2008 | 30 | RESPONSE to Motion re: 27 MOTION to Consolidate Cases 08-CV-04352. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s). MOTION to Appoint Counsel. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s)., 24 MOTION to Appoint Steven Oppenheimer to serve as lead plaintiff(s)., 21 MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s). MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s)., 18 MOTION to Appoint Counsel Levi & Korsinsky, LLP as lead counsel.. Document filed by Randolph Bonnist. (Guglielmo, Joseph) (Entered: 05/30/2008) |
| 38 | May 30, 2008 | 31 | DECLARATION of Michael J. Flannery in Support re: 14 MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions. MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions.. Document filed by Randolph Bonnist. (Attachments: # 1 Exhibit A)(Guglielmo, Joseph) (Entered: 05/30/2008) |
| 39 | May 30, 2008 | 32 | MOTION for Norman E. Siegel and Matthew L. Dameron to Appear Pro Hac Vice. Document filed by David Chandler(Individually), David |

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| | | | Chandler(As Trustees of the Chandler Trust Dated 12/28/05 and on behalf of All Others Similarly Situated), Shelly Chandler(Individually), Shelly Chandler(As Trustees of the Chandler Trust Dated 12/28/05, And On Behalf of All Others Similarly Situated).(dle) (Entered: 06/02/2008) |
| 40 | Jun. 05, 2008 | | CASHIERS OFFICE REMARK on 32 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) |
| 41 | Jun. 05, 2008 | 33 | WAIVER OF SERVICE RETURNED EXECUTED. UBS AG waiver sent on 5/14/2008, answer due 7/14/2008. Document filed by David Chandler(Individually); David Chandler(As Trustees of the Chandler Trust Dated 12/28/05 and on behalf of All Others Similarly Situated); Shelly Chandler(Individually); Shelly Chandler(As Trustees of the Chandler Trust Dated 12/28/05, And On Behalf of All Others Similarly Situated). (Weiss, Stephen) (Entered: 06/05/2008) |
| 42 | Jun. 05, 2008 | 34 | ORDER granting 32 Motion for Norman E. Siegel and Matthew L. Dameron to Appear Pro Hac Vice. (Signed by Judge Lawrence M. McKenna on 6/5/2008) (jpo) (Entered: 06/05/2008) |
| 43 | Jun. 05, 2008 | | Transmission to Attorney Admissions Clerk. Transmitted re: 34 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (jpo) (Entered: 06/05/2008) |
| 44 | Jun. 06, 2008 | 35 | MOTION for Christina H.C. Sharp to Appear Pro Hac Vice. Document filed by David Chandler(Individually), David Chandler(As Trustees of the Chandler Trust Dated 12/28/05 and on behalf of All Others Similarly Situated), Shelly Chandler(Individually), Shelly Chandler(As Trustees of the Chandler Trust Dated 12/28/05, And On Behalf of All Others Similarly Situated).(dle) (Entered: 06/09/2008) |
| 45 | Jun. 06, 2008 | 36 | MOTION for A.J. De Bartolomeo to Appear Pro Hac Vice. Document filed by David Chandler(Individually), David Chandler(As Trustees of the Chandler Trust Dated 12/28/05 and on behalf of All Others Similarly Situated), Shelly Chandler(Individually), Shelly Chandler(As Trustees of the Chandler Trust Dated 12/28/05, And On Behalf of All Others Similarly Situated).(dle) (Entered: 06/09/2008) |
| 46 | Jun. 06, 2008 | 37 | MOTION for Aaron M. Sheanin to Appear Pro Hac Vice. Document filed by David Chandler(Individually), David Chandler(As Trustees of the Chandler Trust Dated 12/28/05 and on behalf of All Others Similarly Situated), Shelly Chandler(Individually), Shelly Chandler(As Trustees of the Chandler Trust Dated 12/28/05, And On Behalf of All Others Similarly Situated).(dle) (Entered: 06/09/2008) |
| 47 | Jun. 06, 2008 | 38 | MOTION for Daniel C. Girard to Appear Pro Hac Vice. Document filed by David Chandler(Individually), David Chandler(As Trustees of the Chandler Trust Dated 12/28/05 and on behalf of All Others Similarly Situated), Shelly Chandler(Individually), Shelly Chandler(As Trustees of the Chandler Trust Dated 12/28/05, And On Behalf of All Others Similarly Situated).(dle) (Entered: 06/09/2008) |
| 48 | Jun. 09, 2008 | 39 | MEMORANDUM OF LAW in Opposition re: 27 MOTION to Consolidate Cases 08-CV-04352. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s). MOTION to Appoint Counsel. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s)., 32 MOTION for Norman E. Siegel and Matthew L. Dameron to Appear Pro |

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| | | | Hac Vice., 14 MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions. MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions., 24 MOTION to Appoint Steven Oppenheimer to serve as lead plaintiff(s)., 21 MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s). MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s)., 18 MOTION to Appoint Counsel Levi & Korsinsky, LLP as lead counsel.. Document filed by Ronald D. Kassover. (Schirripa, Frank) (Entered: 06/09/2008) |
| 49 | Jun. 09, 2008 | 40 | DECLARATION of Joel P. Laitman in Opposition re: 27 MOTION to Consolidate Cases 08-CV-04352. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s). MOTION to Appoint Counsel. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s)., 14 MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions. MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions., 24 MOTION to Appoint Steven Oppenheimer to serve as lead plaintiff(s)., 21 MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s). MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s)., 18 MOTION to Appoint Counsel Levi & Korsinsky, LLP as lead counsel.. Document filed by Ronald D. Kassover. (Attachments: # 1 Exhibit A, # 2 Exhibit B, # 3 Exhibit C)(Schirripa, Frank) (Entered: 06/09/2008) |
| 50 | Jun. 09, 2008 | 41 | MEMORANDUM OF LAW in Opposition re: 27 MOTION to Consolidate Cases 08-CV-04352. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s). MOTION to Appoint Counsel. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s)., 14 MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions. MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions., 21 MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s). MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s)., 18 MOTION to Appoint Counsel Levi & Korsinsky, LLP as lead counsel.. Document filed by Steven Oppenheimer. (D'Agnew, Jason) (Entered: 06/09/2008) |
| 51 | Jun. 09, 2008 | 42 | RESPONSE to Motion re: (27 in 1:08-cv-02967-LMM, 27 in 1:08-cv-02967-LMM, 27 in 1:08-cv-02967-LMM) MOTION to Consolidate Cases 08-CV-04352. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s). MOTION to Appoint Counsel. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s).. Document filed |

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| | | | by David Chandler(Individually). Filed In Associated Cases: 1:08-cv-02967-LMM, 1:08-cv-03082-LMM(Levine, Jonathan) (Entered: 06/09/2008) |
| 52 | Jun. 09, 2008 | 43 | MEMORANDUM OF LAW in Opposition re: 27 MOTION to Consolidate Cases 08-CV-04352. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s). MOTION to Appoint Counsel. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s)., 14 MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions. MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions., 24 MOTION to Appoint Steven Oppenheimer to serve as lead plaintiff(s)., 18 MOTION to Appoint Counsel Levi & Korsinsky, LLP as lead counsel.. Document filed by Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust. (Bronson, Kent) (Entered: 06/09/2008) |
| 53 | Jun. 09, 2008 | 44 | DECLARATION of JEROME M. CONGRESS in Opposition re: 27 MOTION to Consolidate Cases 08-CV-04352. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s). MOTION to Appoint Counsel. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s)., 24 MOTION to Appoint Steven Oppenheimer to serve as lead plaintiff(s)., 18 MOTION to Appoint Counsel Levi & Korsinsky, LLP as lead counsel., 14 MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions. MOTION to Appoint UBS ARS Group to serve as lead plaintiff(s) , Approval of Lead Plaintiffs' Selection of Lead Counsel, and Consolidation of Related Actions.. Document filed by Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust. (Attachments: # 1 Exhibit A, # 2 Exhibit B, # 3 Exhibit C, # 4 Exhibit D, # 5 Exhibit E, # 6 Exhibit F, # 7 Exhibit G, # 8 Exhibit H, # 9 Exhibit I, # 10 Exhibit J, # 11 Exhibit K, # 12 Exhibit L)(Bronson, Kent) (Entered: 06/09/2008) |
| 54 | Jun. 10, 2008 | 45 | ORDER granting 35 Motion for Christina H.C. Sharp to Appear Pro Hac Vice. (Signed by Judge Lawrence M. McKenna on 6/10/2008) (jfe) (Entered: 06/10/2008) |
| 55 | Jun. 10, 2008 | 46 | ORDER granting 36 Motion for A.J. De Bartolomeo to Appear Pro Hac Vice. (Signed by Judge Lawrence M. McKenna on 6/10/2008) (jfe) (Entered: 06/10/2008) |
| 56 | Jun. 10, 2008 | 47 | ORDER granting 37 Motion for Aaron M. Sheanin to Appear Pro Hac Vice. (Signed by Judge Lawrence M. McKenna on 6/10/2008) (jfe) (Entered: 06/10/2008) |
| 57 | Jun. 10, 2008 | 48 | ORDER granting 38 Motion for Daniel C. Girard to Appear Pro Hac Vice. (Signed by Judge Lawrence M. McKenna on 6/10/2008) (jfe) (Entered: 06/10/2008) |
| 58 | Jun. 10, 2008 | | Transmission to Attorney Admissions Clerk. Transmitted re: 46 Order on Motion to Appear Pro Hac Vice, 45 Order on Motion to Appear Pro Hac Vice, 47 Order on Motion to Appear Pro Hac Vice, 48 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (jfe) (Entered: 06/10/2008) |

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| 59 | Jun. 13, 2008 | 49 | MOTION for Jeff Westerman to Appear Pro Hac Vice. Document filed by David Chandler(Individually), David Chandler(As Trustees of the Chandler Trust Dated 12/28/05 and on behalf of All Others Similarly Situated), Shelly Chandler(Individually), Shelly Chandler(As Trustees of the Chandler Trust Dated 12/28/05, And On Behalf of All Others Similarly Situated).(dle) (Entered: 06/16/2008) |
| 60 | Jun. 13, 2008 | 50 | MOTION for George A. Shoheit to Appear Pro Hac Vice. Document filed by David Chandler(Individually), David Chandler(As Trustees of the Chandler Trust Dated 12/28/05 and on behalf of All Others Similarly Situated), Shelly Chandler(Individually), Shelly Chandler(As Trustees of the Chandler Trust Dated 12/28/05, And On Behalf of All Others Similarly Situated).(dle) (Entered: 06/16/2008) |
| 61 | Jun. 16, 2008 | 51 | ENDORSED LETTER addressed to Judge Lawrence M. McKenna from Jerome M. Congress dated 6/13/08 re: Counsel requests leave to file a reply memorandum of law in further support of the Streits' motion of no more than 15 pages. ENDORSEMENT: Granted. So ordered. (Signed by Judge Lawrence M. McKenna on 6/16/08) (mme) (Entered: 06/16/2008) |
| 62 | Jun. 16, 2008 | 52 | PROPOSED] ORDER ON ADMISSION TO PRACTICE PRO HAC VICE. Attorney George A. Shoheit is admitted Pro Hac Vice on behalf of plaintiffs. (Signed by Judge Lawrence M. McKenna on 6/16/08) (mme) Modified on 7/10/2008 (mme). (Entered: 06/19/2008) |
| 63 | Jun. 16, 2008 | 58 | [PROPOSED] ORDER ON ADMISSION TO PRACTICE PRO HAC VICE Attorney George A. Shoheit for David Chandler and Shelly Chandler admitted Pro Hac Vice. (Signed by Judge Lawrence M. McKenna on 6/16/08) (mme) (Entered: 06/24/2008) |
| 64 | Jun. 16, 2008 | 65 | PROPOSED ORDER ON ADMISSION TO PRACTICE PRO HAC VICE. Attorney Jeff S. Westerman for David Chandler and Shelly Chandler admitted Pro Hac Vice. (Signed by Judge Lawrence M. McKenna on 6/16/08) (mme) (Entered: 07/14/2008) |
| 65 | Jun. 17, 2008 | | CASHIERS OFFICE REMARK on 48 Order on Motion to Appear Pro Hac Vice, 46 Order on Motion to Appear Pro Hac Vice, 45 Order on Motion to Appear Pro Hac Vice, 47 Order on Motion to Appear Pro Hac Vice in the amount of \$100.00, paid on 06/06/2008, Receipt Number 653292. (jd) (Entered: 06/17/2008) |
| 66 | Jun. 18, 2008 | | CASHIERS OFFICE REMARK on 49 Motion to Appear Pro Hac Vice, 50 Motion to Appear Pro Hac Vice, in the amount of \$50.00, paid on 06/13/2008, Receipt Number 654092. (jd) (Entered: 06/18/2008) |
| 67 | Jun. 19, 2008 | | Transmission to Attorney Admissions Clerk. Transmitted re: 52 Order Admitting Attorney Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (mme) (Entered: 06/19/2008) |
| 68 | Jun. 19, 2008 | 53 | REPLY MEMORANDUM OF LAW in Support re: (24 in 1:08-cv-02967-LMM) MOTION to Appoint Steven Oppenheimer to serve as lead plaintiff(s).. Document filed by Steven Oppenheimer. Filed In Associated Cases: 1:08-cv-02967-LMM, 1:08-cv-03082-LMM(Glavin, James) (Entered: 06/19/2008) |
| 69 | Jun. 19, 2008 | 54 | REPLY MEMORANDUM OF LAW in Support re: (27 in 1:08-cv-02967-LMM, 27 in 1:08-cv-02967-LMM, 27 in 1:08-cv-02967-LMM) MOTION to Consolidate Cases 08-CV-04352. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s). MOTION to Appoint |

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| | | | Counsel. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s).. Document filed by David Chandler(Individually). Filed In Associated Cases: 1:08-cv-02967-LMM, 1:08-cv-03082-LMM(Levine, Jonathan) (Entered: 06/19/2008) |
| 70 | Jun. 19, 2008 | 55 | DECLARATION of Aaron M. Sheanin in Support re: (27 in 1:08-cv-02967-LMM, 27 in 1:08-cv-02967-LMM, 27 in 1:08-cv-02967-LMM) MOTION to Consolidate Cases 08-CV-04352. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s). MOTION to Appoint Counsel. MOTION to Appoint THE CHANDLER GROUP to serve as lead plaintiff(s).. Document filed by David Chandler(Individually). Filed In Associated Cases: 1:08-cv-02967-LMM, 1:08-cv-03082-LMM(Levine, Jonathan) (Entered: 06/19/2008) |
| 71 | Jun. 19, 2008 | 56 | REPLY MEMORANDUM OF LAW in Support re: 21 MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s). MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s).. Document filed by Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust. (Congress, Jerome) (Entered: 06/19/2008) |
| 72 | Jun. 19, 2008 | 57 | DECLARATION of JEROME M. CONGRESS in Support re: 21 MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s). MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s).. Document filed by Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust. (Attachments: # 1 Exhibit A, # 2 Exhibit B, # 3 Exhibit C, # 4 Exhibit D)(Congress, Jerome) (Entered: 06/19/2008) |
| 73 | Jun. 20, 2008 | | ***DELETED DOCUMENT. Deleted document number 58 motion. The document was incorrectly filed in this case. (dle) (Entered: 06/23/2008) |
| 74 | Jun. 20, 2008 | | ***DELETED DOCUMENT. Deleted document number 59 motion. The document was incorrectly filed in this case. (dle) (Entered: 06/23/2008) |
| 75 | Jun. 24, 2008 | | Transmission to Attorney Admissions Clerk. Transmitted re: 58 Order Admitting Attorney Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (mme) (Entered: 06/24/2008) |
| 76 | Jun. 27, 2008 | 59 | RESPONSE in Support re: 21 MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s). MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s). Defendants' Supplemental Response in Support of Consolidation. Document filed by UBS Securities LLC., UBS Financial Services Inc., UBS AG. (Sullivan, William) (Entered: 06/27/2008) |
| 77 | Jun. 27, 2008 | 60 | DECLARATION of William F. Sullivan in Support re: 21 MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s). MOTION to Appoint Aric A. Streit and Mary Streit, as Trustees for the Benefit of The Streit Living Trust to serve as lead plaintiff(s).. Document filed by UBS Securities LLC., UBS Financial Services Inc., UBS AG. (Attachments: # 1 Exhibit A)(Sullivan, William) (Entered: 06/27/2008) |
| 78 | Jul. 03, 2008 | 61 | MOTION to Consolidate Cases 08-cv-2753, 08-cv-2967 For Limited Pre- |

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| | | | trial Coordination, and to Appoint Schoengold Sporn Laitman & Lometti, P.C. as Interim Class Counsel with respect to the Investment Advisers Act of 1940 and common law claims. Document filed by Ronald D. Kassover.(Schirripa, Frank) (Entered: 07/03/2008) |
| 79 | Jul. 03, 2008 | 62 | MEMORANDUM OF LAW in Support re: 61 MOTION to Consolidate Cases 08-cv-2753, 08-cv-2967 For Limited Pre-trial Coordination, and to Appoint Schoengold Sporn Laitman & Lometti, P.C. as Interim Class Counsel with respect to the Investment Advisers Act of 1940 and common law claims.. Document filed by Ronald D. Kassover. (Schirripa, Frank) (Entered: 07/03/2008) |
| 80 | Jul. 03, 2008 | 63 | DECLARATION of Frank R. Schirripa in Support re: 61 MOTION to Consolidate Cases 08-cv-2753, 08-cv-2967 For Limited Pre-trial Coordination, and to Appoint Schoengold Sporn Laitman & Lometti, P.C. as Interim Class Counsel with respect to the Investment Advisers Act of 1940 and common law claims.. Document filed by Ronald D. Kassover. (Attachments: # 1 Exhibit Ex. A - June 29, 2008 New York Times article, # 2 Exhibit Ex. B - SSSL Firm Biography)(Schirripa, Frank) (Entered: 07/03/2008) |
| 81 | Jul. 10, 2008 | 64 | ENDORSED LETTER addressed to Judge Lawrence M. McKenna from Joel P. Laitman dated 7/8/2008 re: Counsel writes in opposition to defendant's UBS AG's and UBS Financial Services's, Inc., request, seeking to defer filing their motion to dismiss. ENDORSEMENT: The above action (08 Civ. 2753) and 08 Civ. 2967, 08 Civ. 3082, 08 Civ. 4352 and 08 Civ. 5251 are stayed pending decision on all outstanding motions for consolidation and appointment of lead plaintiff and or interim counsel. The stay will expire 10 business days following decision on such matter. So Ordered. (Signed by Judge Lawrence M. McKenna on 7/9/2008) Filed In Associated Cases: 1:08-cv-02967-LMM, 1:08-cv-03082-LMM(jfe) (Entered: 07/10/2008) |
| 82 | Jul. 14, 2008 | | Transmission to Attorney Admissions Clerk. Transmitted re: 58 Order Admitting Attorney Pro Hac Vice, 52 Order Admitting Attorney Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (mme) (Entered: 07/14/2008) |
| 83 | Jul. 14, 2008 | | Transmission to Attorney Admissions Clerk. Transmitted re: 65 Order Admitting Attorney Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (mme) (Entered: 07/14/2008) |
| 84 | Jul. 16, 2008 | 66 | ORDER: The motion for its consolidation with the present matter is granted. The Streit case, insofar as it alleges claims under the Securities Exchange Act, is also consolidated with the present matter for substantially the same reasons given as to the Bonnist case; insofar as the Streit case alleges claims under the Investment Advisors Act and state law, a limited consolidation, as in the case of Kassover, is granted. Accordingly, the Court finds that the Chandler Group is presumed to be the most adequate plaintiff. The Chandler Group is appointed as lead plaintiff as to all claims brought under the Securities Exchange Act. The Chandler Groups selections -- Girard Gibbs L.L.P., (Lead Counsel), Stueve Siegel Hanson L.L.P., (Co-Lead Counsel) and Seeger Weiss L.L.P., (Liaison Counsel) -- are therefore appointed as counsel for Securities Exchange Act claims. Counsel in the Kassover case did the initial work on those claims, and it |

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| 85 | Aug. 05, 2008 | 67 | <p>makes sense that they should remain responsible for prosecuting those claims. Those counsel --Schoengold Sporn Laitman & Lometti -- are appointed as interim class counsel for Investment Advisors Act and state law claims. (Signed by Judge Lawrence M. McKenna on 7/16/2008) Filed In Associated Cases: 1:08-cv-02967-LMM, 1:08-cv-03082-LMM Copies Mailed By Chambers.(jfe) (Entered: 07/16/2008)</p> <p>STIPULATION & ORDER: Lead Plaintiff shall file the consolidated amended complaint in this action on or before 9/5/08. Defendants need not answer, move against or otherwise respond to the consolidated amended complaint in this action until 60 days after the consolidated amended complaint is filed. Should Defendant file a motion to dismiss the consolidated amended complaint, the briefing schedule on such motion shall be as follows: a. Lead Plaintiff shall file an opposition to Defendants' motion to dismiss within 60 days of the filing of the motion to dismiss; and b. Defendants shall file any reply in support of the motion to dismiss within 30 days of the filing of Lead Plaintiff's opposition to the motion to dismiss. (Amended Pleadings due by 9/5/2008.) (Signed by Judge Lawrence M. McKenna on 8/4/08) Filed In Associated Cases: 1:08-cv-02967-LMM, 1:08-cv-03082-LMM, 1:08-cv-02967, 1:08-cv-04352, 1:08-cv-5251. (tro) (Entered: 08/05/2008)</p> |