

**U.S. District Court  
Southern District of New York (Foley Square)  
CIVIL DOCKET FOR CASE #: 1:08-cv-10353-SHS**

**Minneapolis Firefighter's Relief Association et al v. Rosen et al**

**Date Filed:** Nov. 26, 2008  
**Nature of suit:** 850 Securities/Commodities  
**Assigned to:** [Judge Sidney H. Stein](#)  
**Case in other court:** State Court-Supreme, 650414-08  
**Cause:** 28:1441 Notice of Removal  
**Jurisdiction:** Federal Question  
**Jury demand:** Defendant  
**Lead case:** 1:08-cv-09522-SHS  
**Member cases:** 1:08-cv-10353-SHS  
**Related cases:** 1:07-cv-09901-SHS

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on behalf of itself and all others similarly situated

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**Defendant**

**J.P. Morgan Chase & Co.**

**Defendant**

**Bear Stearns & Co.**

**Defendant**

**J.P. Morgan Securities, Inc.**

**Defendant**

**Goldman, Sachs & Co.**

**Defendant**

**Merrill Lynch, Pierce, Fenner & Smith Inc.**

**Defendant**

**UBS Securities LLC**

**Defendant**

**Morgan Stanley & Co.**

**Defendant**

**Banc of America Securities LLC**

**Defendant**

**H&R Block Financial Advisors Inc.**

**Defendant**

**HSBC Securities(USA) Inc.**

**Defendant**

**Wachovia Capital Securities, LLC**

**Defendant**

**A.G. Edwards & Sons, Inc.**

**Defendant**

**Barclays Capital Inc.**

**Defendant**

**ABN AMRO Inc.**

**Defendant**

**Charles Schwab & Co.**

**Defendant**

**Deutsche Bank Securities Inc.**

**Defendant**

**Comerica Securities Inc.**

**Defendant**

**Keybanc Capital Markets, Oppenheimer & Co. Inc.**

**Defendant**

**Piper Jaffray & Co.**

**Defendant**

**Raymond James & Associates, Inc.**

**Defendant**

**TD Ameritrade, Inc.**

**Defendant**

**TD Securities (USA) LLC**

**Defendant**

**Wells Fargo Investments, LLC**

**Defendant**

**SBK-Brooks Investment Corp.**

**Defendant**

**Apex Pryor Securities**

**Defendant**

**Utendahl Capital Partners, L.P.**

**Defendant**

**Loop Capital Markets LLC**

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**Toussaint Capital Markets, LLC**

**Defendant**

**Credit Suisse Securities (USA) LLC**

**Defendant**

**Greenwich Capital Markets Inc.**

**Defendant**

**Jackson Securities LLC**

**Defendant**

**The Williams Capital Group, L.P.**

**Defendant**

**Castleoak Securities, L.P.**

**Defendant**  
**Guzman & Co.**

**Defendant**  
**Cabrera Capital Markets**

**Defendant**  
**Samuel A. Ramirez & CO., Inc.**

**Defendant**  
**Muriel Siebert & Co.**

**Defendant**  
**Danske A/S**

**Defendant**  
**Fortis Bank NV-SA**

**Defendant**  
**Dain Rauscher Inc.**

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**RBC Capital Markets Corporation**

**Defendant**  
**B.C. Ziegler and Company**

**Defendant**  
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**Blaylock & Co., Inc.**

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**Blaylock Robert Van, LLC**

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**C.L. King & Assoc., Inc.**

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**Crowell, Weedon & Co.**

**Defendant**

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**Defendant**

**Ferris, Baker Watts, Inc.**

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**J.J.B. Hilliard**

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**W.L. Lyons, Inc.**

**Defendant**

**Janney Montgomery Scott LLC**

**Defendant**

**Fidelity Capital Markets**

**Defendant**

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**Melvin Securities, Mesirow Financial, Inc.**

**Defendant**

**Morgan Keegan & Company, Inc.**

**Defendant**

**Pershing LLC**

**Defendant**

**Robert W. Baird & Co. Inc.**

**Defendant**

**Ryan Beck & Co. Inc.**

**Defendant**

**Sandler, O'neill & Partners, L.P.**

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**Stifel, Nicolaus & Company, Inc.**

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**Stone & Youngberg LLC**

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**Wedbush Morgan Securities Inc.**

**Defendant**

**William Blair & Company L.L.C.**

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**Jeffries & Company, Inc.**

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**Docket Proceedings**[Reverse Proceedings](#)

Req #	Filed	#	Docket Text
			<a href="#">MANUALLY-COLLECTED COMPLAINT</a>
<a href="#">1</a>	Nov. 26, 2008	1	NOTICE OF REMOVAL from Supreme Court, County of New York. Case Number: 650414-08. (Filing Fee \$ 350.00, Receipt Number 670977).Document filed by Saul Rosen, James Garnett, Scott Freidenrich, Michael Conway, David Winkler, Eric L. Wentzel, Robert L. Ryan, Franklin A. Thomas, Robert E. Rubin, Judith Rodin, Richard D. Parsons, Ann M. Mulcahy, Dudley C. Mecum, Andrew N. Liveris, Klaus Kleinfeld, Ann Dibble Jordan, Roberto Hernandez Ramirez, John M. Deutch, Kenneth T. Derr, George David, Alain J.P. Belda, C. Michael Armstrong, Sanford I. Weill, John C. Gerspach, Gary Crittenden, Sallie L. Krawcheck, Vikram Pandit, Sir Winfried F.W. Bischoff, Charles Price, Citigroup Inc., Citigroup Funding, Inc. Citigroup Capital XIV, Citigroup Capital XV, Citigroup Capital XVI, Citigroup Capital XVII, Citigroup Capital XIX, Citigroup XX and Citigroup XXI. (Additional attachment(s) added on 12/4/2008: # 1 notice of removal part.2) (ama). Modified on 12/8/2008 (ama). (Entered: 12/04/2008)
<a href="#">2</a>	Nov. 26, 2008		CASE REFERRED TO Judge Sidney H. Stein as possibly Related to 1:07-cv-9901. (ama) (Entered: 12/04/2008)
<a href="#">3</a>	Nov. 26, 2008		Case Designated ECF. (ama) (Entered: 12/04/2008)

<b>Req #</b>	<b>Filed</b>	<b>#</b>	<b>Docket Text</b>
<a href="#"><u>4</u></a>	Nov. 26, 2008	2	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Identifying Citigroup Inc., Citigroup Funding, Inc., Citigroup Capital XIV, Citigroup XV, Citigroup Capital XVI, Citigroup XVII, Citigroup Capital XIX, Citigroup XX, Citigroup XXI, as Corporate Parent. Document filed by Citigroup Global Markets Inc.(ama) (Entered: 12/04/2008)
<a href="#"><u>5</u></a>	Dec. 04, 2008	3	FILING ERROR - DEFICIENT DOCKET ENTRY - (DUE TO INITIAL COURT CLERICAL ERROR) - AFFIDAVIT OF SERVICE of Notice of Removal, Civil Cover Sheet, Corporate Disclosure Statement, and USDC Electronic Case Filing Rules & Instructions served on Bernstein Litowitz Berger & Grossman LLP on November 26, 2008. Document filed by HSBC Securities(USA) Inc., Wachovia Capital Securities, LLC, A.G. Edwards & Sons, Inc., Barclays Capital Inc., ABN AMRO Inc., Charles Schwab & Co., Deutsche Bank Securities Inc., Comerica Securities Inc., Keybank Capital Markets, Oppenheimer & Co. Inc., Piper Jaffray & Co., Raymond James & Associates, Inc., TD Ameritrade, Inc., TD Securities (USA) LLC, Wells Fargo Investments, LLC, SBK-Brooks Investment Corp., Apex Pryor Securities, Utendahl Capital Partners, L.P., Loop Capital Markets LLC, Toussaint Capital Markets, LLC, Credit Suisse Securities (USA) LLC, Greenwich Capital Markets Inc., Jackson Securities LLC, The Williams Capital Group, L.P., Castleoak Securities, L.P., Guzman & Co., Cabrera Capital Markets, Samuel A. Ramirez & CO., Inc., Muriel Siebert & Co., Danske A/S, Fortis Bank NV-SA, Michael Conway, Dain Rauscher Inc., RBC Capital Markets Corporation, B.C. Ziegler and Company, BB&T Capital Markets, Blaylock & Co., Inc., Blaylock Robert Van, LLC, BNP Paribas Securities Corp., C.L. King & Assoc., Inc., Crowell, Weedon & Co., D.A. Davidson & Co., Davenport & Company LLC, Doley Securities, LLC, Ferris, Baker Watts, Inc., J.J.B. Hilliard, W.L. Lyons, Inc., Janney Montgomery Scott LLC, Fidelity Capital Markets, Keefe, Bruyette & Woods, Inc., Melvin Securities, Mesirow Financial, Inc., Morgan Keegan & Company, Inc., Pershing LLC, Robert W. Baird & Co. Inc., Ryan Beck & Co. Inc., Sandler, O'Neill & Partners, L.P., Stifel, Nicolaus & Company, Inc., Stone & Youngberg LLC, Suntrust Capital Markets, Inc., Wedbush Morgan Securities Inc., William Blair & Company L.L.C., David Winkler, Jeffries & Company, Inc., nabCapital Securities, LLC, Fixed Income Securities, LP, Eric L. Wentzel, Robert L. Ryan, Franklin A. Thomas, Robert E. Rubin, Judith Rodin, Richard D. Parsons, Ann M. Mulcahy, Dudley C. Mecum, Saul Rosen, Andrew N. Liveris, Klaus Kleinfeld, Ann Dibble Jordan, Roberto Hernandez Ramirez, John M. Deutch, Kenneth Derr, George David, Alain J.P. Belda, Michael C. Armstrong, Sanford I. Weill, James Garnett, John C. Gerspach, Gary Crittenden, Sallie L. Krawcheck, Vikram Pandit, Winfried F.W. Bischoff, Charles Prince, Citigroup Global Markets Inc., J.P. Morgan Chase & Co., Bear Stearns & Co., J.P. Morgan Securities, Inc., Goldman, Sachs & Co., Merrill Lynch, Pierce, Fenner & Smith Inc., UBS Securities LLC, Morgan Stanley & Co., Banc of America Securities LLC, H&R Block Financial Advisors Inc., Scott Freidenrich. (Karp, Brad) Modified on 12/5/2008 (gp). (Entered: 12/04/2008)
<a href="#"><u>6</u></a>	Dec. 05, 2008	4	AFFIDAVIT OF SERVICE of Notice of Removal, Civil Cover Sheet, Corporate Disclosure Statement, and USDC Electronic Case Filing Rules

Req #	Filed	#	Docket Text
			& Instructions served on Bernstein Litowitz Berger & Grossman LLP on November 26, 2008. Document filed by Citigroup, Inc., Citigroup Funding, Inc., Citigroup Capital XIV, Citigroup Capital XV, Citigroup Capital XVI, Citigroup Capital XVII, Citigroup Capital XIX, Citigroup Capital XX, Citigroup Capital XXI, Michael Conway, David Winkler, Eric L. Wentzel, Robert L. Ryan, Franklin A. Thomas, Robert E. Rubin, Judith Rodin, Richard D. Parsons, Ann M. Mulcahy, Dudley C. Mecum, Saul Rosen, Andrew N. Liveris, Klaus Kleinfeld, Ann Dibble Jordan, Roberto Hernandez Ramirez, John M. Deutch, Kenneth Derr, George David, Alain J.P. Belda, Michael C. Armstrong, Sanford I. Weill, James Garnett, John C. Gerspach, Gary Crittenden, Sallie L. Krawcheck, Vikram Pandit, Winfried F.W. Bischoff, Charles Prince, Scott Freidenrich. (Karp, Brad) (Entered: 12/05/2008)
<a href="#">7</a>	Dec. 08, 2008	5	NOTICE OF APPEARANCE by John Patrick Coffey on behalf of Minneapolis Firefighter's Relief Association, Louisiana Sheriffs' Pension and Relief Fund (Coffey, John) (Entered: 12/08/2008)
<a href="#">8</a>	Dec. 08, 2008	6	NOTICE OF APPEARANCE by Gerald Harlan Silk on behalf of Minneapolis Firefighter's Relief Association, Louisiana Sheriffs' Pension and Relief Fund (Silk, Gerald) (Entered: 12/08/2008)
<a href="#">9</a>	Dec. 08, 2008	7	NOTICE OF APPEARANCE by Mark Lebovitch on behalf of Minneapolis Firefighter's Relief Association, Louisiana Sheriffs' Pension and Relief Fund (Lebovitch, Mark) (Entered: 12/08/2008)
<a href="#">10</a>	Dec. 08, 2008	8	NOTICE OF APPEARANCE by Kurt Michael Hunciker on behalf of Minneapolis Firefighter's Relief Association, Louisiana Sheriffs' Pension and Relief Fund (Hunciker, Kurt) (Entered: 12/08/2008)
<a href="#">11</a>	Dec. 08, 2008	9	AFFIDAVIT OF SERVICE of Notices of Appearance served on All Defendants on December 8, 2008. Service was made by ECF/Mail. Document filed by Minneapolis Firefighter's Relief Association, Louisiana Sheriffs' Pension and Relief Fund. (Hunciker, Kurt) (Entered: 12/08/2008)
<a href="#">12</a>	Dec. 10, 2008		CONSOLIDATED MEMBER CASE: Create association to 1:08-cv-09522-UA.. (mme) (Entered: 12/10/2008)
<a href="#">13</a>	Dec. 10, 2008	10	STIPULATION AND ORDER It is hereby stipulated and agreed subject to the approval of the court as follows: The Louisiana Firefighters' Action and the Minneapolis Firefighters' Action shall be identified as related to the Consolidated Action and, subject to the supervision and authority of Lead Plaintiff's and Lead Counsel, shall be coordinated with the Consolidated Action for all pre-trial purposes, pursuant to Case Management Order No. 1. The Bond Actions shall be consolidated and the docket number of the Louisiana Firefighters Action, Case No. 08 Civ. 9522, constitute the Master File number for the Bond Actions and any similar actions filed subsequently (the :Consolidated Bond Action) The Consolidated Bond Action shall be referred to as In Re: Citigroup Inc. Bond Litigation. All documents shall be failed in the Master File and noted on the Master Docket. No further docket need be made. The authority of Lead Plaintiffs and Lead Counsel in the Consolidated Action shall include the Consolidated Bond Action entries. Notwithstanding the provisions of Paragraph 6 in Case Management Order No. I, Bond Plaintiffs and their counsel, the law firm Bernstein Litowitz Berger & Grossmann LLP ("Bond Counsel"), shall, subject to the supervision and authority, of Lead Plaintiffs

<b>Req #</b>	<b>Filed</b>	<b>#</b>	<b>Docket Text</b>
			and Lead Counsel, be responsible for prosecuting all claims on behalf of investors in Citigroup Notes or other debt securities (collectively, "Citigroup Bonds") and preferred stock or depository shares representing interests in preferred stock issued by Citigroup or its affiliates (collectively, "Citigroup Preferred Stock"). Notwithstanding the provisions of Paragraphs 6 and 9 in Case Management Order No. 1, Bond Counsel shall, subject to the supervision and authority of Lead Plaintiffs and Lead Counsel, file a consolidated complaint in the Bond Action (the "Consolidated Bond Action Complaint"), which shall be the operative complaint on behalf of Citigroup Bonds and CitiGroup Preferred Stock class members on or before December 15, 2008. Defendants in the Consolidated Bond Action shall file their response(s) to the Consolidated Bond Action Complaint on or before February 6, 2009. If Defendants in the Consolidated Bond Action move to dismiss the Consolidated Bond Action Complaint, Plaintiffs shall respond on or before March 23, 2009 and Defendants shall reply on or before April 13, 2009. No Defendants shall be required to answer, move or otherwise respond to, and all Defendants are hereby expressly relieved from answering, moving or otherwise responding to, the complaints in the Louisiana Sheriffs' Action and the Minneapolis Firefighters' Action. (Signed by Judge Sidney H. Stein on 12/10/08) Filed In Associated Cases: 1:08-cv-09522-UA, 1:08-cv-10353-UA(mme) Modified on 12/11/2008 (mme). (Entered: 12/10/2008)
<a href="#">14</a>	Dec. 12, 2008		CASE ACCEPTED AS RELATED. Create association to 1:07-cv-09901-SHS. (laq) (Entered: 12/23/2008)
<a href="#">15</a>	Dec. 12, 2008	11	NOTICE OF CASE ASSIGNMENT to Judge Sidney H. Stein. Judge Unassigned is no longer assigned to the case. (laq) (Entered: 12/23/2008)
<a href="#">16</a>	Dec. 12, 2008		Magistrate Judge Frank Maas is so designated. (laq) (Entered: 12/23/2008)