

**U.S. District Court
Southern District of New York (Foley Square)
CIVIL DOCKET FOR CASE #: 1:09-cv-03161-LAK**

Fait et al v. Regions Financial Corporation et al
Assigned to: Judge Lewis A. Kaplan
Member case: ([View Member Case](#))
Related Case: [1:09-cv-03976-LAK](#)
Cause: 15:78m(a) Securities Exchange Act

Date Filed: 04/01/2009
Date Terminated: 05/17/2010
Jury Demand: Plaintiff
Nature of Suit: 850
Securities/Commodities
Jurisdiction: Federal Question

Plaintiff

Alfred Fait
Individually

represented by **Samuel Howard Rudman**
Robbins Geller Rudman & Dowd LLP(LI)
58 South Service Road
Suite 200
Melville, NY 11747
(631) 367-7100
Fax: (631) 367-1173
Email: srudman@csgrr.com
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Andrew J. Brown
Robbins Geller Rudman & Dowd LLP
(San Diego)
655 West Broadway
Suite 1900
San Diego, CA 92101
(619) 213 1058
Fax: 619 231 7423
Email: andrewb@rgrdlaw.com
PRO HAC VICE
ATTORNEY TO BE NOTICED

Darren J. Robbins
Robbins Geller Rudman & Dowd LLP
(SANDIEGO)
655 West Broadway
Suite 1900
San Diego, CA 92101
619-231-1058
Fax: 619-231-7423
Email: e_file_sd@lerachlaw.com

*PRO HAC VICE
ATTORNEY TO BE NOTICED*

David Avi Rosenfeld
Robbins Geller Rudman & Dowd LLP(LI)
58 South Service Road
Suite 200
Melville, NY 11747
631-367-7100
Fax: 631-367-1173
Email: drosenfeld@csgrr.com
ATTORNEY TO BE NOTICED

Eric I. Niehaus
Robbins Geller Rudman & Dowd LLP
(San Diego)
655 West Broadway
Suite 1900
San Diego, CA 92101
(619) 231-1058
Fax: (619) 231-7423
Email: ericn@rgrdlaw.com
*PRO HAC VICE
ATTORNEY TO BE NOTICED*

Lucas F. Olts
Robbins Geller Rudman & Dowd LLP
(San Diego)
655 West Broadway
Suite 1900
San Diego, CA 92101
619 213 1058
Fax: 619 231 7423
Email: lolts@rgrdlaw.com
ATTORNEY TO BE NOTICED

Matthew Montgomery
Robbins Geller Rudman & Dowd LLP
(SANDIEGO)
655 West Broadway
Suite 1900
San Diego, CA 92101
(619)-231-1058
Fax: (619)-231-7423
Email: mattm@csgrr.com
ATTORNEY TO BE NOTICED

Plaintiff

Alfred Fait
on behalf of all others similarly situated

represented by **Samuel Howard Rudman**
(See above for address)

*LEAD ATTORNEY
ATTORNEY TO BE NOTICED*

Andrew J. Brown
(See above for address)
*PRO HAC VICE
ATTORNEY TO BE NOTICED*

Darren J. Robbins
(See above for address)
*PRO HAC VICE
ATTORNEY TO BE NOTICED*

David Avi Rosenfeld
(See above for address)
ATTORNEY TO BE NOTICED

Eric I. Niehaus
(See above for address)
*PRO HAC VICE
ATTORNEY TO BE NOTICED*

Lucas F. Olts
(See above for address)
ATTORNEY TO BE NOTICED

Matthew Montgomery
(See above for address)
ATTORNEY TO BE NOTICED

Plaintiff

Howard M. Rensin
Trustee for the Howard M. Rensin IRA

represented by **David Avi Rosenfeld**
(See above for address)
*LEAD ATTORNEY
ATTORNEY TO BE NOTICED*

Andrew J. Brown
(See above for address)
*PRO HAC VICE
ATTORNEY TO BE NOTICED*

Darren J. Robbins
(See above for address)
*PRO HAC VICE
ATTORNEY TO BE NOTICED*

Eric I. Niehaus
(See above for address)
*PRO HAC VICE
ATTORNEY TO BE NOTICED*

Lucas F. Olts

Robbins Geller Rudman & Dowd LLP
(San Diego)
655 West Broadway
Suite 1900
San Diego, CA 92101
619 213 1058
Fax: 619 231 7423
Email: lolts@csgrr.com
ATTORNEY TO BE NOTICED

Matthew Montgomery

(See above for address)
ATTORNEY TO BE NOTICED

Samuel Howard Rudman

(See above for address)
ATTORNEY TO BE NOTICED

V.

Movant

Trustee Howard M. Rensin
TERMINATED: 11/02/2009

represented by **David Avi Rosenfeld**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

V.

Defendant

Regions Financial Corporation

represented by **David Bruce Tulchin**
Sullivan and Cromwell, LLP(NYC)
125 Broad Street
New York, NY 10004
212-558-4000
Fax: 212-558-3588
Email: tulchind@sullcrom.com
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter

Sullivan and Cromwell, LLP(NYC)
125 Broad Street
New York, NY 10004
212 558-7440
Fax: 212 558 4709
Email: hunterc@sullcrom.com
TERMINATED: 03/02/2010

William J. Snipes
Sullivan & Cromwell, LLP(NYC)
125 Broad Street
New York, NY 10004
(212) 558-4000
Fax: (212)-558-3588
Email: snipesw@sullcrom.com
ATTORNEY TO BE NOTICED

Defendant

Regions Financing Trust III

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter
(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

C. Dowd Ritter

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter
(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

Samuel W. Bartholomew, Jr.

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter
(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)

ATTORNEY TO BE NOTICED

Defendant

George W. Bryan

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter
(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

David J. Cooper

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter
(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

Earnest W. Deavenport, Jr.

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter
(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

Don DeFosset

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter
(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

James R. Malone

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter
(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

Susan W. Matlock

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter
(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

Charles D. McCrary

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter
(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

Claude B. Nielsen

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter
(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

Jorge M. Perez

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter
(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

Lee J. Styslinger, III

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter
(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

Spence L. Wilson

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter

(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

John R. Roberts

represented by **David Bruce Tulchin**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Claire Elizabeth Hunter
(See above for address)
TERMINATED: 03/02/2010

William J. Snipes
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

UBS Securities LLC

represented by **Bradley Jay Butwin**
O'Melveny & Myers, LLP(NYC)
7 Times Square
New York, NY 10036
212-408-2424
Fax: 212-000-0000
Email: bbutwin@omm.com
TERMINATED: 07/27/2009

Douglas W Henkin
Milbank, Tweed, Hadley & McCloy LLP
(NYC)
1 Chase Manhattan Plaza
New York, NY 10005
(212) 530-5000
Fax: (212) 530-5219
Email: dhenkin@milbank.com

Jonathan Rosenberg
O'Melveny & Myers LLP
7 Times Square
New York, NY 10036
212-326-2000
Fax: 212-326-2061
Email: jrosenberg@omm.com
TERMINATED: 07/27/2009

Mark Scott Germann

O'Melveny & Myers LLP
7 Times Square
New York, NY 10036
2123262228
Fax: 2123262061
Email: mgermann@gmail.com
TERMINATED: 07/27/2009

Scott Alexander Edelman
Milbank, Tweed, Hadley & McCloy LLP
(NYC)
1 Chase Manhattan Plaza
New York, NY 10005
(212)530-5000
Fax: (212)530-5219
Email: sedelman@milbank.com

William Joseph Sushon
O'Melveny & Myers, LLP(NYC)
7 Times Square
New York, NY 10036
212 728-5693
Fax: 212 218 9693
Email: wsushon@omm.com
TERMINATED: 07/27/2009

Defendant

Citigroup Global Markets Inc.

represented by **Bradley Jay Butwin**
(See above for address)
TERMINATED: 07/27/2009

Douglas W Henkin
(See above for address)

Jonathan Rosenberg
(See above for address)
TERMINATED: 07/27/2009

Mark Scott Germann
(See above for address)
TERMINATED: 07/27/2009

Scott Alexander Edelman
(See above for address)

William Joseph Sushon
(See above for address)
TERMINATED: 07/27/2009

Defendant

**Merrill Lynch, Pierce, Fenner & Smith
Incorporated**

represented by **Bradley Jay Butwin**
(See above for address)
TERMINATED: 07/27/2009

Douglas W Henkin
(See above for address)

Jonathan Rosenberg
(See above for address)
TERMINATED: 07/27/2009

Mark Scott Germann
(See above for address)
TERMINATED: 07/27/2009

Scott Alexander Edelman
(See above for address)

William Joseph Sushon
(See above for address)
TERMINATED: 07/27/2009

Defendant

Wachovia Capital Markets, LLC

represented by **Bradley Jay Butwin**
(See above for address)
TERMINATED: 07/27/2009

Douglas W Henkin
(See above for address)

Jonathan Rosenberg
(See above for address)
TERMINATED: 07/27/2009

Mark Scott Germann
(See above for address)
TERMINATED: 07/27/2009

Scott Alexander Edelman
(See above for address)

William Joseph Sushon
(See above for address)
TERMINATED: 07/27/2009

Defendant

Morgan Stanley & Co. Incorporated

represented by **Bradley Jay Butwin**
(See above for address)
TERMINATED: 07/27/2009

Douglas W Henkin
(See above for address)

Jonathan Rosenberg
(See above for address)
TERMINATED: 07/27/2009

Mark Scott Germann
(See above for address)
TERMINATED: 07/27/2009

Scott Alexander Edelman
(See above for address)

William Joseph Sushon
(See above for address)
TERMINATED: 07/27/2009

Defendant

Morgan Keegan & Company, Inc.
TERMINATED: 11/02/2009

represented by **Bradley Jay Butwin**
(See above for address)
TERMINATED: 07/27/2009

Douglas W Henkin
(See above for address)

Jonathan Rosenberg
(See above for address)
TERMINATED: 07/27/2009

Mark Scott Germann
(See above for address)
TERMINATED: 07/27/2009

Scott Alexander Edelman
(See above for address)

William Joseph Sushon
(See above for address)
TERMINATED: 07/27/2009

Defendant

Ernst & Young LLP

represented by **Justin Bishop Grewell**
Mayer Brown LLP (Chicago)
71 South Wacker Drive
Chicago, IL 60606
(312)-701-8608
Fax: (312)-701-7711
Email: jgrewell@mayerbrown.com
LEAD ATTORNEY

ATTORNEY TO BE NOTICED

Mauricio Alejandro Espana
Mayer Brown LLP
1675 Broadway
New York, NY 10019
(212)-506-2508
Fax: (212)-262-1910
Email: mespana@mayerbrown.com
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Stanley J. Parzen
Gibson, Dunn & Crutcher LLP (CA2)
333 S. Grand Avenue, Suite 4600
Los Angeles, CA 90070
(213)-229-7148
Fax: (213)-229-6148
Email: sparzen@mayerbrown.com
LEAD ATTORNEY
PRO HAC VICE
ATTORNEY TO BE NOTICED

John Joseph Tharp , Jr
Mayer Brown LLP (Chicago)
71 South Wacker Drive
Chicago, IL 60606
(312)-701-7146
Fax: (312)-706-8603
Email: jtharp@mayerbrown.com
ATTORNEY TO BE NOTICED

Date Filed	#	Docket Text
04/01/2009	1	COMPLAINT against Regions Financial Corporation, Regions Financing Trust III, C. Dowd Ritter, Samuel W. Bartholomew, Jr, George W. Bryan, David J. Cooper, Earnest W. Deavenport, Don DeFosset, James R. Malone, Susan W. Matlock, Charles D. McCrary, Claude B. Nielsen, Jorge M. Perez, Lee J. Styslinger, III, Spence L. Wilson, John R. Roberts, UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc., Ernst & Young LLP. (Filing Fee \$ 350.00, Receipt Number 683116)Document filed by Alfred Fait(Individually), Alfred Fait(on behalf of all others similarly situated).(ama) (ama). (Entered: 04/06/2009)
04/01/2009		SUMMONS ISSUED as to Regions Financial Corporation, Regions Financing Trust III, C. Dowd Ritter, Samuel W. Bartholomew, Jr, George W. Bryan, David J. Cooper, Earnest W. Deavenport, Don DeFosset, James R. Malone, Susan W. Matlock, Charles D. McCrary, Claude B. Nielsen, Jorge M. Perez, Lee J. Styslinger, III, Spence L. Wilson, John R. Roberts, UBS Securities LLC, Citigroup Global Markets, Inc., Merrill

		Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc., Ernst & Young LLP. (ama) (Entered: 04/06/2009)
04/01/2009		Magistrate Judge Frank Maas is so designated. (ama) (Entered: 04/06/2009)
04/01/2009		Case Designated ECF. (ama) (Entered: 04/06/2009)
04/09/2009	2	NOTICE OF CASE REASSIGNMENT due to a Judge's Recusal to Judge Lewis A. Kaplan. Judge Richard M. Berman is no longer assigned to the case. (rdz) (Entered: 04/13/2009)
04/27/2009	3	ORDER FOR INITIAL PRETRIAL CONFERENCE: Initial Conference set for 5/29/2009 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 4/27/09) (db) (Entered: 04/27/2009)
04/28/2009	4	STIPULATION AND ORDER: The time for plaintiff, or the individual or entity appointed lead plaintiff in accordance with 15 U.S.C. section 78u-4(a)(3), to file any consolidated amended complaint in this action is extended through and including sixty (60) days after entry of the order appointing lead plaintiff and approving of selection of lead counsel. The time for defendants to answer, move or otherwise respond to a consolidated amended complaint is extended through and including sixty (60) days after the service and filing of a consolidated amended complaint by lead plaintiff in this action. (Signed by Judge Lewis A. Kaplan on 4/28/2009) (rw) (Entered: 04/28/2009)
05/05/2009	5	NOTICE OF APPEARANCE by Bradley Jay Butwin on behalf of UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc. (Butwin, Bradley) (Entered: 05/05/2009)
05/05/2009	6	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Document filed by UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc..(Butwin, Bradley) (Entered: 05/05/2009)
05/05/2009	7	NOTICE OF APPEARANCE by William Joseph Sushon on behalf of UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc. (Sushon, William) (Entered: 05/05/2009)
05/05/2009	8	NOTICE OF APPEARANCE by Mark Scott Germann on behalf of UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc. (Germann, Mark) (Entered: 05/05/2009)
05/05/2009	9	NOTICE OF APPEARANCE by Jonathan Rosenberg on behalf of UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc. (Rosenberg, Jonathan) (Entered: 05/05/2009)
05/28/2009	10	NOTICE of Substitution of Attorney. Old Attorney: Bradley J. Butwin, Jonathan Rosenberg, William J. Sushon, Mark S. Germann, New Attorney: Scott A. Edelman, Douglas W. Henkin, Address: Milbank, Tweed, Hadley & McCloy LLP, One Chase

		Manhattan Plaza, New York, New York, USA 10005, 212-530-5000. Document filed by UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc.. (Henkin, Douglas) (Entered: 05/28/2009)
05/28/2009	11	DECLARATION of /Douglas W. Henkin in Support re: 10 Notice of Substitution of Attorney,,. Document filed by UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc.. (Henkin, Douglas) (Entered: 05/28/2009)
05/29/2009	12	NOTICE OF APPEARANCE by Claire Elizabeth Hunter on behalf of Regions Financial Corporation, Regions Financing Trust III, C. Dowd Ritter, Samuel W. Bartholomew, Jr, George W. Bryan, David J. Cooper, Earnest W. Deavenport, Don DeFosset, James R. Malone, Susan W. Matlock, Charles D. McCrary, Claude B. Nielsen, Jorge M. Perez, Lee J. Styslinger, III, Spence L. Wilson, John R. Roberts (Hunter, Claire) (Entered: 05/29/2009)
05/29/2009	13	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. No Corporate Parent. Document filed by Regions Financial Corporation.(Hunter, Claire) (Entered: 05/29/2009)
05/29/2009	14	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. Identifying Regions Financial Corporation as Corporate Parent. Document filed by Regions Financing Trust III.(Hunter, Claire) (Entered: 05/29/2009)
05/29/2009	15	NOTICE OF APPEARANCE by William J. Snipes on behalf of Regions Financial Corporation, Regions Financing Trust III, C. Dowd Ritter, Samuel W. Bartholomew, Jr, George W. Bryan, David J. Cooper, Earnest W. Deavenport, Don DeFosset, James R. Malone, Susan W. Matlock, Charles D. McCrary, Claude B. Nielsen, Jorge M. Perez, Lee J. Styslinger, III, Spence L. Wilson, John R. Roberts (Snipes, William) (Entered: 05/29/2009)
05/29/2009		Minute Entry for proceedings held before Judge Lewis A. Kaplan: Interim Pretrial Conference held on 5/29/2009. (ama) (Entered: 06/12/2009)
06/01/2009	16	MOTION to Consolidate Cases 1:09-cv-03161, 1:09-cv-03976., MOTION to Appoint Howard M. Rensin, Trustee to serve as lead plaintiff(s)., MOTION to Appoint Counsel. Document filed by Howard M. Rensin. (Attachments: # 1 Text of Proposed Order)(Rosenfeld, David) (Entered: 06/01/2009)
06/01/2009	17	MEMORANDUM OF LAW in Support re: 16 MOTION to Consolidate Cases 1:09-cv-03161, 1:09-cv-03976. MOTION to Appoint Howard M. Rensin, Trustee to serve as lead plaintiff(s). MOTION to Appoint Counsel. MOTION to Appoint Howard M. Rensin, Trustee to serve as lead plaintiff(s).. Document filed by Howard M. Rensin. (Rosenfeld, David) (Entered: 06/01/2009)
06/01/2009	18	DECLARATION of David A. Rosenfeld in Support re: 16 MOTION to Consolidate Cases 1:09-cv-03161, 1:09-cv-03976. MOTION to Appoint Howard M. Rensin, Trustee to serve as lead plaintiff(s). MOTION to Appoint Counsel. MOTION to Appoint Howard M. Rensin, Trustee to serve as lead plaintiff(s).. Document filed by Howard M. Rensin. (Attachments: # 1 Exhibit A, # 2 Exhibit B, # 3 Exhibit C, # 4

		Exhibit D)(Rosenfeld, David) (Entered: 06/01/2009)
06/09/2009	19	NOTICE OF APPEARANCE by Douglas W. Henkin on behalf of UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc. (Henkin, Douglas) (Entered: 06/09/2009)
06/09/2009	20	NOTICE OF APPEARANCE by Scott Alexander Edelman on behalf of UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc. (Edelman, Scott) (Entered: 06/09/2009)
06/15/2009	21	NOTICE OF APPEARANCE by Mauricio Alejandro Espana on behalf of Ernst & Young LLP (Espana, Mauricio) (Entered: 06/15/2009)
06/17/2009	22	NOTICE of Non-Opposition re: 16 MOTION to Consolidate Cases 1:09-cv-03161, 1:09-cv-03976. MOTION to Appoint Howard M. Rensin, Trustee to serve as lead plaintiff(s). MOTION to Appoint Counsel. MOTION to Appoint Howard M. Rensin, Trustee to serve as lead plaintiff(s).. Document filed by Howard M. Rensin. (Attachments: # 1 Text of Proposed Order)(Rosenfeld, David) (Entered: 06/17/2009)
06/29/2009	23	ORDER granting (16) Motion to Consolidate Cases 09-3161 (as Lead Case) with 09-3976; granting (16) Motion to Appoint Trustee Howard M. Rensin as Lead Plaintiff(s); granting (16) Motion to Appoint Counsel in case 1:09-cv-03161-LAK. Plaintiff's motion to consolidate 09 Civ. 3976 with and into 09 Civ. 3161, to appoint a lead plaintiff and to appoint lead counsel is granted [09 Civ. 3161 docket item 16] in ail respects, save the it is denied as moot insofar as it seeks consolidation. SO ORDERED. (Signed by Judge Lewis A. Kaplan on 6/29/2009) Filed In Associated Cases: 1:09-cv-03161-LAK, 1:09-cv-03976-LAK(jmi) (Entered: 06/30/2009)
06/29/2009	24	MOTION for Stanley J. Parzen, John J. Tharp Jr. and J. Bishop Grewell to Appear Pro Hac Vice. Document filed by Ernst & Young LLP.(dle) (Entered: 06/30/2009)
06/30/2009	25	TRANSCRIPT of proceedings held on May 29, 2009 10:55 a.m. before Judge Lewis A. Kaplan. (bw) (Entered: 07/06/2009)
07/07/2009	26	MEMO ENDORSEMENT on re: 24 Motion for Stanley J. Parzen, John J. Tharp Jr. and J. Bishop Grewell to Appear Pro Hac Vice. ENDORSEMENT: Granted. (Signed by Judge Lewis A. Kaplan on 7/6/2009) (jfe) (Entered: 07/07/2009)
07/07/2009		Transmission to Attorney Admissions Clerk. Transmitted re: 26 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (jfe) (Entered: 07/07/2009)
07/07/2009		Transmission to Attorney Admissions Clerk. Transmitted re: 26 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (jfe) (Entered: 07/07/2009)
07/08/2009		CASHIERS OFFICE REMARK on 24 Motion to Appear Pro Hac Vice in the amount of \$75.00, paid on 06/29/2009, Receipt Number 692955. (jd) (Entered: 07/08/2009)
07/15/2009	27	MOTION for Andrew J. Brown to Appear Pro Hac Vice. Document filed by Alfred Fait(Individually), Alfred Fait(on behalf of all others similarly situated).(mro) (Entered: 07/17/2009)

07/15/2009	28	MOTION for Eric I. Niehaus to Appear Pro Hac Vice. Document filed by Alfred Fait(Individually), Alfred Fait(on behalf of all others similarly situated).(mro) (Entered: 07/17/2009)
07/15/2009	29	MOTION for Lucas F. Olts to Appear Pro Hac Vice. Document filed by Alfred Fait(Individually), Alfred Fait(on behalf of all others similarly situated).(mro) (Entered: 07/17/2009)
07/21/2009	30	MEMO ENDORSED granting 28 Motion for Eric I. Niehaus to Appear Pro Hac Vice for Alfred Fait (Individually), Alfred Fait (on behalf of all others similarly situated). (Signed by Judge Lewis A. Kaplan on 7/20/2009) (jmi) (Entered: 07/22/2009)
07/21/2009	31	MEMO ENDORSED granting 29 Motion for Lucas F. Olts to Appear Pro Hac Vice for Alfred Fait (Individually), Alfred Fait (on behalf of all others similarly situated). (Signed by Judge Lewis A. Kaplan on 7/20/2009) (jmi) (Entered: 07/22/2009)
07/21/2009	32	MEMO ENDORSED granting 27 Motion for Andrew J. Brown to Appear Pro Hac Vice for Alfred Fait (Individually), Alfred Fait (on behalf of all others similarly situated). (Signed by Judge Lewis A. Kaplan on 7/20/2009) (jmi) (Entered: 07/22/2009)
07/21/2009		Transmission to Attorney Admissions Clerk. Transmitted re: 30 Order on Motion to Appear Pro Hac Vice, 32 Order on Motion to Appear Pro Hac Vice, 31 Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (jmi) (Entered: 07/22/2009)
07/24/2009		CASHIERS OFFICE REMARK on 27 Motion to Appear Pro Hac Vice, 29 Motion to Appear Pro Hac Vice, 28 Motion to Appear Pro Hac Vice in the amount of \$75.00, paid on 07/16/2009, Receipt Number 694369. (jd) (Entered: 07/24/2009)
07/27/2009	33	MEMO ENDORSEMENT re: NOTICE OF SUBSTITUTION OF COUNSEL: That the attorneys of record for Defendants UBS Securities LLC, Citigroup Global Markets Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co., Incorporated, and Morgan Keegan & Company, Inc. have changed, and that Scott A. Edelman and Douglas W. Henkin of Milbank, Tweed, Hadley & McCloy LLP, One Chase Manhattan Plaza, New York, New York 10005, (212) 530-5000, are to be substituted as attorneys for such defendants in theplace of O'Melveny & Myers LLP. O' Melveny & Myers LLP hereby withdraws from resenting Defendants VBS Securitics IIC, Citigroup Global Markets Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co., Incorporated, and Morgan Keegan & Company, Inc. in this action. The parties are requested to serve copies of all future.tiled papers on Milbank, Tweed, Hadley & McCloy LLP. ENDORSEMENT: SO ORDERED. Attorney Douglas W. Henkin for UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated and Morgan Keegan & Company, Inc. added. Attorney Jonathan Rosenberg; William Joseph Sushon; Bradley Jay Butwin and Mark Scott Germann terminated. (Signed by Judge Lewis A. Kaplan on 7/27/09) (db) (Entered: 07/27/2009)
08/28/2009	34	FIRST AMENDED COMPLAINT amending 1 Complaint against Regions Financial Corporation, Regions Financing Trust III, C. Dowd Ritter, Howard M. Rensin, Samuel W. Bartholomew, Jr, George W. Bryan, David J. Cooper, Earnest W. Deavenport, Don DeFosset, James R. Malone, Susan W. Matlock, Charles D. McCrary, Claude B. Nielsen, Jorge M. Perez, Lee J. Styslinger, III, Spence L. Wilson, John R. Roberts,

		UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc., Ernst & Young LLP.Document filed by Alfred Fait(Individually), Alfred Fait(on behalf of all others similarly situated). Related document: 1 Complaint filed by Alfred Fait.(mbe) (ama). (Entered: 08/31/2009)
10/27/2009	35	MOTION to Dismiss <i>the First Amended Complaint</i> . Document filed by Regions Financial Corporation, Regions Financing Trust III, C. Dowd Ritter, Samuel W. Bartholomew, Jr, George W. Bryan, David J. Cooper, Earnest W. Deavenport, Don DeFosset, James R. Malone, Susan W. Matlock, Charles D. McCrary, Claude B. Nielsen, Jorge M. Perez, Lee J. Styslinger, III, Spence L. Wilson, John R. Roberts.(Hunter, Claire) (Entered: 10/27/2009)
10/27/2009	36	MEMORANDUM OF LAW in Support re: 35 MOTION to Dismiss <i>the First Amended Complaint</i> .. Document filed by Regions Financial Corporation, Regions Financing Trust III, C. Dowd Ritter, Samuel W. Bartholomew, Jr, George W. Bryan, David J. Cooper, Earnest W. Deavenport, Don DeFosset, James R. Malone, Susan W. Matlock, Charles D. McCrary, Claude B. Nielsen, Jorge M. Perez, Lee J. Styslinger, III, Spence L. Wilson, John R. Roberts. (Hunter, Claire) (Entered: 10/27/2009)
10/27/2009	37	DECLARATION of Claire E. Hunter in Support re: 35 MOTION to Dismiss <i>the First Amended Complaint</i> .. Document filed by Regions Financial Corporation, Regions Financing Trust III, C. Dowd Ritter, Samuel W. Bartholomew, Jr, George W. Bryan, David J. Cooper, Earnest W. Deavenport, Don DeFosset, James R. Malone, Susan W. Matlock, Charles D. McCrary, Claude B. Nielsen, Jorge M. Perez, Lee J. Styslinger, III, Spence L. Wilson, John R. Roberts. (Attachments: # 1 Exhibit A-B, # 2 Exhibit C, # 3 Exhibit D, # 4 Exhibit E-G, # 5 Exhibit H-J, # 6 Exhibit K-S, # 7 Exhibit T-Z, # 8 Exhibit AA-GG)(Hunter, Claire) (Entered: 10/27/2009)
10/27/2009	38	AFFIDAVIT OF SERVICE. Document filed by Regions Financial Corporation, Regions Financing Trust III, C. Dowd Ritter, Samuel W. Bartholomew, Jr, George W. Bryan, David J. Cooper, Earnest W. Deavenport, Don DeFosset, James R. Malone, Susan W. Matlock, Charles D. McCrary, Claude B. Nielsen, Jorge M. Perez, Lee J. Styslinger, III, Spence L. Wilson, John R. Roberts. (Hunter, Claire) (Entered: 10/27/2009)
10/27/2009	39	MOTION to Dismiss. Document filed by Ernst & Young LLP.(Parzen, Stanley) (Entered: 10/27/2009)
10/27/2009	40	MEMORANDUM OF LAW in Support re: 39 MOTION to Dismiss.. Document filed by Ernst & Young LLP. (Parzen, Stanley) (Entered: 10/27/2009)
10/27/2009	41	DECLARATION of J. Bishop Grewell in Support re: 39 MOTION to Dismiss.. Document filed by Ernst & Young LLP. (Attachments: # 1 Exhibit 1 Part 1, # 2 Exhibit 1 Part 2, # 3 Exhibit 2, # 4 Exhibit 3 Part 1, # 5 Exhibit 3 Part 2, # 6 Exhibit 4)(Parzen, Stanley) (Entered: 10/27/2009)
10/27/2009	42	JOINDER to join re: 36 Memorandum of Law in Support of Motion, 35 MOTION to Dismiss <i>the First Amended Complaint</i> . Joinder of the Underwriter Defendants to the Regions Parties' Motion to Dismiss the First Amended Complaint and the Memorandum in Support Thereof. Document filed by UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia

		Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc..(Henkin, Douglas) (Entered: 10/27/2009)
10/27/2009	43	CERTIFICATE OF SERVICE. Document filed by UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc.. (Henkin, Douglas) (Entered: 10/27/2009)
11/02/2009	44	CORRECTED 1RST AMENDED COMPLAINT amending 34 Amended Complaint, against Regions Financial Corporation, Regions Financing Trust III, C. Dowd Ritter, Samuel W. Bartholomew, Jr, George W. Bryan, David J. Cooper, Earnest W. Deavenport, Don DeFosset, James R. Malone, Susan W. Matlock, Charles D. McCrary, Claude B. Nielsen, Jorge M. Perez, Lee J. Styslinger, III, Spence L. Wilson, John R. Roberts, UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Ernst & Young LLP.Document filed by Alfred Fait(Individually), Howard M. Rensin, Alfred Fait(on behalf of all others similarly situated). Related document: 34 Amended Complaint,, filed by Alfred Fait.(ama) (Entered: 11/03/2009)
11/12/2009	45	ENDORSED LETTER addressed to Judge Lewis A. Kaplan from Douglas W. Henkin dated 11/6/2009 re: Requesting that the Your Honor so order this letter to permit the clerk's office to correct the docket so that our addresses are listed as set forth in this letter. ENDORSEMENT: SO ORDERED. (Signed by Judge Lewis A. Kaplan on 11/12/2009) (jpo) (Entered: 11/12/2009)
12/07/2009	46	ENDORSED LETTER addressed to Judge Lewis A. Kaplan from Eric I. Niehaus dated 12/3/09 re: Lead Plaintiff requests that it be permitted to file a consolidated opposition memorandum 45 pages in length. ENDORSEMENT: Granted,. (Signed by Judge Lewis A. Kaplan on 12/7/09) (djc) (Entered: 12/07/2009)
12/21/2009	47	MEMORANDUM OF LAW in Opposition re: 35 MOTION to Dismiss <i>the First Amended Complaint.</i> , 39 MOTION to Dismiss.. Document filed by Howard M. Rensin. (Brown, Andrew) (Entered: 12/21/2009)
12/22/2009	48	NOTICE OF APPEARANCE by David Bruce Tulchin on behalf of Regions Financial Corporation, Regions Financing Trust III, C. Dowd Ritter, Samuel W. Bartholomew, Jr, George W. Bryan, David J. Cooper, Earnest W. Deavenport, Don DeFosset, James R. Malone, Susan W. Matlock, Charles D. McCrary, Claude B. Nielsen, Jorge M. Perez, Lee J. Styslinger, III, Spence L. Wilson, John R. Roberts (Tulchin, David) (Entered: 12/22/2009)
01/20/2010	49	REPLY MEMORANDUM OF LAW in Support re: 35 MOTION to Dismiss <i>the First Amended Complaint.</i> . Document filed by Regions Financial Corporation, Regions Financing Trust III, C. Dowd Ritter, Samuel W. Bartholomew, Jr, George W. Bryan, David J. Cooper, Earnest W. Deavenport, Don DeFosset, James R. Malone, Susan W. Matlock, Charles D. McCrary, Claude B. Nielsen, Jorge M. Perez, Lee J. Styslinger, III, Spence L. Wilson, John R. Roberts. (Hunter, Claire) (Entered: 01/20/2010)
01/20/2010	50	JOINDER to join re: 49 Reply Memorandum of Law in Support of Motion,. Document filed by UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc..(Henkin, Douglas) (Entered: 01/20/2010)

01/20/2010	51	CERTIFICATE OF SERVICE. Document filed by UBS Securities LLC, Citigroup Global Markets, Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keegan & Company, Inc.. (Henkin, Douglas) (Entered: 01/20/2010)
01/20/2010	52	REPLY MEMORANDUM OF LAW in Support re: 39 MOTION to Dismiss.. Document filed by Ernst & Young LLP. (Tharp, John) (Entered: 01/20/2010)
03/02/2010	53	ENDORSED LETTER addressed to Judge Lewis A. Kaplan from William J. Snipes dated 2/25/10 re: counsel requests that Claire Hunter be withdrawn as counsel for the named defendants: Regions Financial Corporation, Regions Financing Trust III, C. Dowd Ritter, Samuel W. Bartholomew, Jr., George W. Bryan, David J. Cooper, Earnest W. Deavenport, Jr., Don DeFosset, James R. Malone, Susan W. Matlock, Charles D. McCrary, Claude B. Nielson, Jorge M. Perez, Lee J. Styslinger, III, Spence L. Wilson, and John R. Roberts. ENDORSEMENT: Granted. (Signed by Judge Lewis A. Kaplan on 3/2/10) (djc) Modified on 3/2/2010 (djc). (Entered: 03/02/2010)
03/24/2010	54	NOTICE of Firm Name Change. Document filed by Howard M. Rensin. (Brown, Andrew) (Entered: 03/24/2010)
05/10/2010	55	MEMORANDUM OPINION; #98931 Defendants motions to dismiss the amended complaint [DI 35, 39] are granted. (Signed by Judge Lewis A. Kaplan on 5/10/10) (pl) Modified on 5/12/2010 (ajc). (Entered: 05/10/2010)
05/10/2010		Transmission to Judgments and Orders Clerk. Transmitted re: 55 Memorandum & Opinion, to the Judgments and Orders Clerk. (pl) (Entered: 05/10/2010)
05/11/2010	56	ORDER: For the reasons stated in the Court's May 10, 2010 Memorandum Opinion [DI 55], all claims against defendants Merrill Lynch, Pierce, Fenner & Smith Incorporated, UBS Securities LLC, Citigroup Global Markets Inc., Wachovia Capital Markets, LLC, Morgan Stanley & Co., Incorporated, and Morgan Keegan & Company, Inc., which joined in the Regions Defendants' Motion to Dismiss the Amended Complaint [DI 35, 42], are dismissed. SO ORDERED. (Signed by Judge Lewis A. Kaplan on 5/11/2010) (tve) (Entered: 05/11/2010)
05/17/2010	57	CLERK'S JUDGMENT That for the reasons stated in the Court's Memorandum Opinion and Order dated May 10, 2010 and May 11, 2010, the Regions Defendants' motion to dismiss the amended complaint is granted; and all claims against defendants Merrill Lynch, Pierce, Fenner & Smith Incorporated, UBS Securities LLC, Citigroup Global Markets Inc., Wachovia Capital Markets, LLC, Morgan Stanley & Co., Incorporated, and Morgan Keegan & Company, Inc., which joined in the Regions Defendants' motion to dismiss the amended complaint, are dismissed also. (Signed by Clerk of Court Ruby Krajick on 5/17/10) (Attachments: # 1 notice of right to appeal)Filed In Associated Cases: 1:09-cv-03161-LAK, 1:09-cv-03976-LAK(ml) (Entered: 05/17/2010)
05/18/2010	58	AMENDED JUDGMENT amending (57 in 1:09-cv-03161-LAK, 23 in 1:09-cv-03976-LAK) Clerk's Judgment, That for the reasons stated in the Court's Memorandum Opinion and Order dated May 10, 2010 and May 11, 2010, the Regions Defendants and Ernst & Young LLP's motions to dismiss the amended complaint are granted; and all claims against defendants Merrill Lynch, Pierce, Fenner & Smith Incorporated, UBS Securities LLC, Citigroup Global Markets Inc., Wachovia Capital Markets, LLC, Morgan Stanley & Co., Incorporated, and Morgan Keegan & Company, Inc., which

		joined in the Regions Defendants' motion to dismiss the amended complaint, are dismissed also. (Signed by Clerk of Court Ruby Krajick on 5/18/10) (Attachments: # 1 NOTICE OF RIGHT TO APPEAL)Filed In Associated Cases: 1:09-cv-03161-LAK, 1:09-cv-03976-LAK(ml) (Entered: 05/18/2010)
06/09/2010	59	NOTICE OF APPEAL from 57 Clerk's Judgment,, 56 Order, Add and Terminate Parties,, 55 Memorandum & Opinion, 58 Amended Judgment,,,. Document filed by Howard M. Rensin, Howard M. Rensin. Filing fee \$ 455.00, receipt number E 905984. (nd) (Entered: 06/11/2010)
06/11/2010		Transmission of Notice of Appeal to the District Judge re: 59 Notice of Appeal,. (nd) (Entered: 06/11/2010)
06/11/2010		Transmission of Notice of Appeal and Certified Copy of Docket Sheet to US Court of Appeals re: 59 Notice of Appeal,. (nd) (Entered: 06/11/2010)
06/11/2010		Appeal Record Sent to USCA (Electronic File). Certified Indexed record on Appeal Electronic Files for 42 Joinder,, filed by Wachovia Capital Markets, LLC, Merrill Lynch, Pierce, Fenner & Smith Incorporated, UBS Securities LLC, Morgan Stanley & Co. Incorporated, Citigroup Global Markets, Inc., Morgan Keagan & Company, Inc., 41 Declaration in Support of Motion, filed by Ernst & Young LLP, 54 Notice (Other) filed by Howard M. Rensin, 57 Clerk's Judgment,, 11 Declaration in Support, filed by Wachovia Capital Markets, LLC, Merrill Lynch, Pierce, Fenner & Smith Incorporated, UBS Securities LLC, Morgan Stanley & Co. Incorporated, Citigroup Global Markets, Inc., Morgan Keagan & Company, Inc., 5 Notice of Appearance, filed by Wachovia Capital Markets, LLC, Merrill Lynch, Pierce, Fenner & Smith Incorporated, UBS Securities LLC, Morgan Stanley & Co. Incorporated, Citigroup Global Markets, Inc., Morgan Keagan & Company, Inc., 50 Joinder, filed by Wachovia Capital Markets, LLC, Merrill Lynch, Pierce, Fenner & Smith Incorporated, UBS Securities LLC, Morgan Stanley & Co. Incorporated, Citigroup Global Markets, Inc., Morgan Keagan & Company, Inc., 38 Affidavit of Service Other, filed by Claude B. Nielsen, Regions Financing Trust III, George W. Bryan, Susan W. Matlock, James R. Malone, Regions Financial Corporation, John R. Roberts, Charles D. McCrary, Spence L. Wilson, Jorge M. Perez, Earnest W. Deavenport, C. Dowd Ritter, Lee J. Styslinger, III, David J. Cooper, Samuel W. Bartholomew, Jr., Don DeFosset, 59 Notice of Appeal, filed by Howard M. Rensin, 43 Certificate of Service Other, filed by Merrill Lynch, Pierce, Fenner & Smith Incorporated, Citigroup Global Markets, Inc., Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc., UBS Securities LLC, 56 Order, Add and Terminate Parties,,. 9 Notice of Appearance, filed by Merrill Lynch, Pierce, Fenner & Smith Incorporated, Citigroup Global Markets, Inc., Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc., UBS Securities LLC, 26 Order on Motion to Appear Pro Hac Vice, 1 Complaint,, filed by Alfred Fait, 22 Notice (Other), Notice (Other) filed by Howard M. Rensin, 10 Notice of Substitution of Attorney,, filed by Merrill Lynch, Pierce, Fenner & Smith Incorporated, Citigroup Global Markets, Inc., Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc., UBS Securities LLC, 7 Notice of Appearance, filed by Merrill Lynch, Pierce, Fenner & Smith Incorporated, Citigroup Global Markets, Inc., Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc., UBS Securities LLC, 6 Rule 7.1 Corporate Disclosure Statement, filed by Merrill Lynch, Pierce, Fenner & Smith Incorporated, Citigroup Global

Markets, Inc., Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc., UBS Securities LLC, [18](#) Declaration in Support of Motion, filed by Howard M. Rensin, [47](#) Memorandum of Law in Opposition to Motion filed by Howard M. Rensin, [33](#) Memo Endorsement, Add and Terminate Attorneys,,,,,, [13](#) Rule 7.1 Corporate Disclosure Statement filed by Regions Financial Corporation, [3](#) Order for Initial Pretrial Conference, [52](#) Reply Memorandum of Law in Support of Motion filed by Ernst & Young LLP, [51](#) Certificate of Service Other, filed by Merrill Lynch, Pierce, Fenner & Smith Incorporated, Citigroup Global Markets, Inc., Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc., UBS Securities LLC, [19](#) Notice of Appearance, filed by Merrill Lynch, Pierce, Fenner & Smith Incorporated, Citigroup Global Markets, Inc., Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc., UBS Securities LLC, [31](#) Order on Motion to Appear Pro Hac Vice, [27](#) MOTION for Andrew J. Brown to Appear Pro Hac Vice. filed by Alfred Fait, [24](#) MOTION for Stanley J. Parzen, John J. Tharp Jr. and J. Bishop Grewell to Appear Pro Hac Vice. filed by Ernst & Young LLP, [2](#) Notice of Case Assignment/Reassignment, [37](#) Declaration in Support of Motion,, filed by Claude B. Nielsen, Regions Financing Trust III, George W. Bryan, Susan W. Matlock, Regions Financial Corporation, James R. Malone, John R. Roberts, Charles D. McCrary, Spence L. Wilson, Jorge M. Perez, Earnest W. Deavenport, C. Dowd Ritter, Lee J. Styslinger, III, David J. Cooper, Samuel W. Bartholomew, Jr., Don DeFosset, [14](#) Rule 7.1 Corporate Disclosure Statement filed by Regions Financing Trust III, [36](#) Memorandum of Law in Support of Motion, filed by Claude B. Nielsen, Regions Financing Trust III, George W. Bryan, Susan W. Matlock, Regions Financial Corporation, James R. Malone, John R. Roberts, Charles D. McCrary, Spence L. Wilson, Jorge M. Perez, Earnest W. Deavenport, C. Dowd Ritter, Lee J. Styslinger, III, David J. Cooper, Samuel W. Bartholomew, Jr., Don DeFosset, [48](#) Notice of Appearance, filed by Claude B. Nielsen, Regions Financing Trust III, George W. Bryan, Susan W. Matlock, Regions Financial Corporation, James R. Malone, John R. Roberts, Charles D. McCrary, Spence L. Wilson, Jorge M. Perez, Earnest W. Deavenport, C. Dowd Ritter, Lee J. Styslinger, III, David J. Cooper, Samuel W. Bartholomew, Jr., Don DeFosset, [23](#) Order on Motion to Consolidate Cases, Order on Motion to Appoint Lead Plaintiff(s), Order on Motion to Appoint Counsel,, Order on Motion to Appoint Lead Plaintiff(s),,, Order on Motion to Appoint Lead Plaintiff(s), [21](#) Notice of Appearance filed by Ernst & Young LLP, [15](#) Notice of Appearance, filed by Claude B. Nielsen, Regions Financing Trust III, George W. Bryan, Susan W. Matlock, Regions Financial Corporation, James R. Malone, John R. Roberts, Charles D. McCrary, Spence L. Wilson, Jorge M. Perez, Earnest W. Deavenport, C. Dowd Ritter, Lee J. Styslinger, III, David J. Cooper, Samuel W. Bartholomew, Jr., Don DeFosset, [30](#) Order on Motion to Appear Pro Hac Vice, [53](#) Endorsed Letter,, [32](#) Order on Motion to Appear Pro Hac Vice, [45](#) Endorsed Letter, [29](#) MOTION for Lucas F. Olts to Appear Pro Hac Vice. filed by Alfred Fait, [35](#) MOTION to Dismiss *the First Amended Complaint*. filed by Claude B. Nielsen, Regions Financing Trust III, George W. Bryan, Susan W. Matlock, Regions Financial Corporation, James R. Malone, John R. Roberts, Charles D. McCrary, Spence L. Wilson, Jorge M. Perez, Earnest W. Deavenport, C. Dowd Ritter, Lee J. Styslinger, III, David J. Cooper, Samuel W. Bartholomew, Jr., Don DeFosset, [44](#) Amended Complaint,, filed by Alfred Fait, Howard M. Rensin, [28](#) MOTION for Eric I. Niehaus to Appear Pro Hac Vice. filed by Alfred Fait, [20](#) Notice of Appearance, filed by Merrill Lynch, Pierce, Fenner & Smith Incorporated, Citigroup Global Markets, Inc., Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc., UBS Securities LLC, [17](#)

		<p>Memorandum of Law in Support of Motion, filed by Howard M. Rensin, 49 Reply Memorandum of Law in Support of Motion, filed by Claude B. Nielsen, Regions Financing Trust III, George W. Bryan, Susan W. Matlock, Regions Financial Corporation, James R. Malone, John R. Roberts, Charles D. McCrary, Spence L. Wilson, Jorge M. Perez, Earnest W. Deavenport, C. Dowd Ritter, Lee J. Styslinger, III, David J. Cooper, Samuel W. Bartholomew, Jr., Don DeFosset, 16 MOTION to Consolidate Cases 1:09-cv-03161, 1:09-cv-03976. MOTION to Appoint Howard M. Rensin, Trustee to serve as lead plaintiff(s). MOTION to Appoint Counsel. MOTION to Appoint Howard M. Rensin, Trustee to serve as lead plaintiff(s). filed by Howard M. Rensin, 4 Stipulation and Order, Set Deadlines/Hearings,,,,, 39 MOTION to Dismiss. filed by Ernst & Young LLP, 46 Endorsed Letter, 34 Amended Complaint,,, filed by Alfred Fait, 58 Amended Judgment,,, 40 Memorandum of Law in Support of Motion filed by Ernst & Young LLP, 8 Notice of Appearance, filed by Merrill Lynch, Pierce, Fenner & Smith Incorporated, Citigroup Global Markets, Inc., Wachovia Capital Markets, LLC, Morgan Stanley & Co. Incorporated, Morgan Keagan & Company, Inc., UBS Securities LLC, 12 Notice of Appearance, filed by Claude B. Nielsen, Regions Financing Trust III, George W. Bryan, Susan W. Matlock, Regions Financial Corporation, James R. Malone, John R. Roberts, Charles D. McCrary, Spence L. Wilson, Jorge M. Perez, Earnest W. Deavenport, C. Dowd Ritter, Lee J. Styslinger, III, David J. Cooper, Samuel W. Bartholomew, Jr., Don DeFosset were transmitted to the U.S. Court of Appeals. (nd) (Entered: 06/11/2010)</p>
11/02/2011	60	<p>MANDATE of USCA (Certified Copy) as to 59 Notice of Appeal, filed by Howard M. Rensin USCA Case Number 10-2311. The appeal in the above captioned case from the judgment of United States District Court for the Southern District of New York was argued on the district courts record and the partiesbriefs. Upon consideration thereof, IT IS HEREBY ORDERED, ADJUDGED and DECREED that the judgment of the district court is AFFIRMED in accordance with the opinion of this court. Catherine O'Hagan Wolfe, Clerk USCA for the Second Circuit. Issued As Mandate: 11/02/2011. (tp) (Entered: 11/02/2011)</p>
11/02/2011		<p>Transmission of USCA Mandate/Order to the District Judge re: 60 USCA Mandate.(tp) (Entered: 11/02/2011)</p>

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