

JS-6

1 SPENCER E. BENDELL, Cal. Bar No. 181220
Email: bendells@sec.gov
2 CAROL LALLY, Cal. Bar. No. 226392
Email: lallyc@sec.gov

3 Attorneys for Plaintiff
Securities and Exchange Commission
4 Rosalind R. Tyson, Regional Director
Michele Wein Layne, Associate Regional Director
5 5670 Wilshire Boulevard, 11th Floor
Los Angeles, California 90036
6 Telephone: (323) 965-3998
7 Facsimile: (323) 965-3908

8 UNITED STATES DISTRICT COURT
9 CENTRAL DISTRICT OF CALIFORNIA

10
11 SECURITIES AND EXCHANGE
12 COMMISSION,

13 Plaintiff,

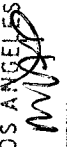
14 vs.

15 NOAH J. GRIGGS, JR.,

16 Defendant.

Case No. **CV 12-2203** - GAF
(FMO)
~~PROPOSED~~ FINAL JUDGMENT
AS TO DEFENDANT NOAH J.
GRIGGS, JR.

17
18
19
20
21
22
23
24
25
26
27
28

2012 MAR 15 PM 2:13
CLERK U.S. DISTRICT COURT
CENTRAL DIST. OF CALIF.
LOS ANGELES
BY: 

1 The Securities and Exchange Commission having filed a Complaint and
2 Defendant Noah J. Griggs, Jr. ("Defendant" or "Griggs") having entered a general
3 appearance; consented to the Court's jurisdiction over Defendant and the subject
4 matter of this action; consented to entry of this Final Judgment without admitting
5 or denying the allegations of the Complaint (except as to jurisdiction); waived
6 findings of fact and conclusions of law; and waived any right to appeal from this
7 Final Judgment:

8 **I.**

9 IT IS HEREBY ORDERED, ADJUDGED, AND DECREED that
10 Defendant and Defendant's agents, servants, employees, attorneys, and all persons
11 in active concert or participation with them who receive actual notice of this Final
12 Judgment by personal service or otherwise are permanently restrained and
13 enjoined from violating, directly or indirectly, Section 10(b) of the Securities
14 Exchange Act of 1934 (the "Exchange Act") [15 U.S.C. § 78j(b)] and Rule 10b-5
15 promulgated thereunder [17 C.F.R. § 240.10b-5(a) & (c)], by using any means or
16 instrumentality of interstate commerce, or of the mails, or of any facility of any
17 national securities exchange, in connection with the purchase or sale of any
18 security:

19 (a) to employ any device, scheme, or artifice to defraud;

20 (b) to make any untrue statement of a material fact or to omit to state a
21 material fact necessary in order to make the statements made, in the light of the
22 circumstances under which they were made, not misleading; or

23 (c) to engage in any act, practice, or course of business which operates or
24 would operate as a fraud or deceit upon any person.

25 **II.**

26 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that,
27 pursuant to Section 21(d)(2) of the Exchange Act, 15 U.S.C. § 78u(d)(2),
28 Defendant is prohibited, for ten (10) years following the date of entry of this Final

1 Judgment, from acting as an officer or director of any issuer that has a class of
2 securities registered pursuant to Section 12 of the Exchange Act, 15 U.S.C. § 78l,
3 or that is required to file reports pursuant to Section 15(d) of the Exchange Act, 15
4 U.S.C. § 78o(d).

5 **III.**

6 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that
7 Defendant is liable for disgorgement of \$145,430, representing profits gained as a
8 result of the conduct alleged in the Complaint, together with prejudgment interest
9 thereon in the amount of \$11,035.74, and a civil penalty in the amount of
10 \$111,730 pursuant to Section 21A of the Exchange Act, 15 U.S.C. § 78u-1.
11 Defendant shall satisfy this obligation by paying \$268,195.74 within 14 days after
12 entry of this Final Judgment by certified check, bank cashier's check, or United
13 States postal money order payable to the Securities and Exchange Commission.
14 The payment shall be delivered or mailed to the Office of Financial Management,
15 Securities and Exchange Commission, 100 F Street, NE, Stop 6042, Washington
16 DC 20549, and shall be accompanied by a letter identifying Noah J. Griggs, Jr. as
17 a defendant in this action; setting forth the title and civil action number of this
18 action and the name of this Court; and specifying that payment is made pursuant
19 to this Final Judgment. Defendant shall pay post-judgment interest on any
20 delinquent amounts pursuant to 28 USC § 1961. The Commission shall remit the
21 funds paid pursuant to this paragraph to the United States Treasury.

22 **IV.**

23 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that this
24 Court shall retain jurisdiction of this matter for the purposes of enforcing the
25 terms of this Final Judgment.

26 ///

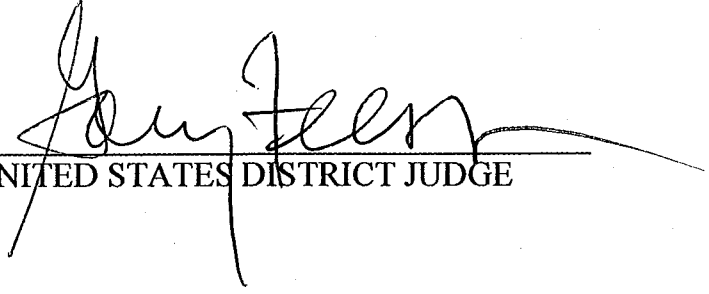
27 ///

28 ///

V.

There being no just reason for delay, pursuant to Rule 54(b) of the Federal Rules of Civil Procedure, the Clerk is ordered to enter this Final Judgment forthwith and without further notice.

Dated 3/20, 2012.


UNITED STATES DISTRICT JUDGE

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28