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UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF CALIFORNIA  
SAN FRANCISCO DIVISION

IN RE CHARLES SCHWAB CORP.  
SECURITIES LITIGATION

No. 08-cv-01510 WHA

THIS DOCUMENT RELATES TO:

~~PROPOSED~~ ORDER TO SHOW  
CAUSE

All Actions

Date Action Filed: March 18, 2008

1 Before the Court is the parties' Joint Administrative Motion for an Order to Show Cause  
2 (the "Motion") pertaining to certain non-responding intermediary broker-dealers. The Court finds  
3 that the broker-dealers identified below were provided a copy of this Court's Order Amending  
4 Proposed Settlements and Directing the Settlement Notice be Provided to Intermediary Account  
5 Class Members (Dkt. No. 858) and failed to produce the information specified in the Order:

Count	Name of Broker-Dealer
1	Alaska Trust Company
2	Atwell & Co
3	Barclays Capital Inc.
4	Ferris Baker Watts Inc.
5	Fiserv
6	FTC & Co.
7	Lehman Brothers Inc.
8	Marshall & Ilsey Bank
9	MCHC Service Corporation Ret. Plan
10	MG Capital Trust Co.
11	Mid Atlantic Capital Corporation
12	Morgan Keegan & Co., Inc.
13	Morgan Stanley Smith Barney LLC (also sometimes designated as MS & Co. Inc.)
14	National Investor Services Corp.
15	PrimeVest Financial Services Inc.
16	Prudential Investment Management Services
17	Reliance Trust Company
18	Stern, Agee & Leech Inc.
19	TD Ameritrade
20	Union Bank of California
21	US Trust Company of New York
22	Wachovia Bank NA
23	Wells Fargo Bank
24	Wilmington Trust Company

24  
25 The foregoing brokers are ordered to appear and demonstrate, if they can, why they should  
26 not be sanctioned for failing to abide by the Court's Order. They may file a responsive brief in this  
27 Court no later than December 30, 2010, at noon and serve it on all parties by the same date and  
28 time.

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The parties may file any replies thereto on or before January 4, 2011, at noon.

A hearing to consider the responses and to determine whether the foregoing broker-dealers should be sanctioned and, if so, the nature of the sanction, is scheduled for January 5, 2011, at 2 p.m.

The parties are directed to serve this order on the foregoing broker-dealers.

DATED: December 21, 2010.



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THE HONORABLE WILLIAM ALSUP  
UNITED STATES DISTRICT JUDGE