

1 UNITED STATES DISTRICT COURT
2 NORTHERN DISTRICT OF CALIFORNIA

3
4 TIMOTHY C SULLIVAN, ET AL.,

5 Plaintiffs,

6 v.

7 SII INVESTMENTS, INC.,

8 Defendant.

Case No. [18-cv-00666-SI](#)

ORDER DIRECTING RESPONSE

Re: Dkt. No. 32

9
10 The Court is considering plaintiffs' motion for leave to file a motion for partial
11 reconsideration of this Court's Order (Dkt. No. 30) denying plaintiffs' application for a TRO.
12 Among other things, plaintiffs assert in that motion that defendant SII Investment, Inc. has
13 "block[ed] the transfer of accounts" for which plaintiffs' clients have submitted the necessary
14 paperwork to transfer their accounts to plaintiffs' current brokerage firm. Dkt. No. 35 at ¶ 8-10.
15 Plaintiffs allege this block is not industry protocol, that the custodial broker-dealer Pershing
16 refused to process the transfer because the accounts were "blocked" and that SSI has imposed the
17 block. Plaintiffs also allege that when they inquired as to the status of their accounts SII told them
18 "[a]ll your accounts are frozen."
19

20 The Court directs defendant to respond in writing on this issue, explaining whether, when
21 and by what authority any such block was imposed. Such response shall be filed no later than
22 March 12, 2018.

23
24 **IT IS SO ORDERED.**

25 Dated: March 8, 2018

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SUSAN ILLSTON
28 United States District Judge