

APPEAL

U.S. District Court
District of Rhode Island (Providence)
CIVIL DOCKET FOR CASE #: 1:09-cv-00471-S-PAS

Transamerica Life Insurance Company v. Caramadre et al
Assigned to: Judge William E. Smith
Referred to: Magistrate Judge Patricia A. Sullivan
Lead case: 1:09-cv-00470-S-PAS

Date Filed: 10/02/2009
Jury Demand: Both
Nature of Suit: 110 Insurance
Jurisdiction: Diversity

Member cases:

1:09-cv-00470-S-PAS
1:09-cv-00471-S-PAS
1:09-cv-00472-S-PAS
1:09-cv-00473-S-PAS
1:09-cv-00502-S-PAS
1:09-cv-00549-S-PAS
1:09-cv-00564-S-PAS

related Cases: 1:09-cv-00502-S-PAS
1:09-cv-00549-S-PAS
1:09-cv-00564-S-PAS

Cause: 28:1332 Diversity-Insurance Contract

Plaintiff

Transamerica Life Insurance Company

represented by **Brooks R. Magratten**
Pierce Atwood LLP
10 Weybosset St.
Suite 400
Providence, RI 02903
588-5113
Fax: 588-5166
Email: bmagratten@pierceatwood.com
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Michael J. Daly
Pierce Atwood LLP
10 Weybosset Street
Suite 400
Providence, RI 02903
588-5113
Fax: 588-5166
Email: mdaly@pierceatwood.com
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

David E. Barry
Pierce Atwood LLP
Merrills Wharf

254 Commercial Street
Portland, ME 04101
207-791-1376
Fax: 207-791-1350
Email: dbarry@pierceanwood.com
PRO HAC VICE
ATTORNEY TO BE NOTICED

V.

Defendant

Joseph Caramadre

represented by **Robert G. Flanders , Jr.**
Hinckley, Allen & Snyder LLP
50 Kennedy Plaza
Suite 1500
Providence, RI 02903
274-2000
Fax: 277-9600
Email: rflanders@haslaw.com
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Adam M. Ramos
Hinckley, Allen & Snyder LLP
50 Kennedy Plaza
Suite 1500
Providence, RI 02903
274-2000
Fax: 277-9600
Email: aramos@haslaw.com
ATTORNEY TO BE NOTICED

Eric S. Giroux
Robins Kaplan Miller & Ciresi, LLP
800 Boylston St.
25th Floor
Boston, MA 02199
617-267-2300
Fax: 617-267-8288
Email: esgiroux@rkmc.com
TERMINATED: 05/09/2011
ATTORNEY TO BE NOTICED

Matthew H. Parker
Whelan & Siket, LLP
30 Kennedy Plaza
Suite 402
Providence, RI 02903
(401) 270-4500
Fax: (401) 270-3760
Email: mparker@whelansiket.com

TERMINATED: 10/07/2011
ATTORNEY TO BE NOTICED

Defendant

Raymour Radhakrishnan

represented by **Robert G. Flanders , Jr.**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Adam M. Ramos
(See above for address)
ATTORNEY TO BE NOTICED

Eric S. Giroux
(See above for address)
TERMINATED: 05/09/2011
ATTORNEY TO BE NOTICED

Matthew H. Parker
(See above for address)
TERMINATED: 10/07/2011
ATTORNEY TO BE NOTICED

Defendant

Estate Planning Resources, Inc.

represented by **Robert G. Flanders , Jr.**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Adam M. Ramos
(See above for address)
ATTORNEY TO BE NOTICED

Eric S. Giroux
(See above for address)
TERMINATED: 05/09/2011
ATTORNEY TO BE NOTICED

Matthew H. Parker
(See above for address)
TERMINATED: 10/07/2011
ATTORNEY TO BE NOTICED

Defendant

Estella Rodrigues

represented by **Robert G. Flanders , Jr.**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Adam M. Ramos
(See above for address)

ATTORNEY TO BE NOTICED

Eric S. Giroux

(See above for address)

TERMINATED: 05/09/2011

ATTORNEY TO BE NOTICED

Matthew H. Parker

(See above for address)

TERMINATED: 10/07/2011

ATTORNEY TO BE NOTICED

Defendant

Edward Maggiacomo, Jr.

represented by **Anthony M. Traini**

56 Pine Street

Providence, RI 02903

401-621-4700

Fax: 401-621-5888

Email: amt@atrainilaw.com

LEAD ATTORNEY

ATTORNEY TO BE NOTICED

Robert G. Flanders , Jr.

(See above for address)

ATTORNEY TO BE NOTICED

Defendant

Lifemark Securities Corp.

represented by **Joseph V. Cavanagh , Jr.**

Blish &Cavanagh, LLP

30 Exchange Terrace

Providence, RI 02903

831-8900

Fax: 751-7542

Email: jvc@blishcavlaw.com

ATTORNEY TO BE NOTICED

Mary C. Dunn

Blish &Cavanagh, LLP

30 Exchange Terrace

Providence, RI 02903

831-8900

Fax: 751-7542

Email: mcd@blishcavlaw.com

ATTORNEY TO BE NOTICED

Defendant

Patrick Garvey

Counter Claimant

Lifemark Securities Corp.

represented by **Joseph V. Cavanagh , Jr.**

(See above for address)
ATTORNEY TO BE NOTICED

Mary C. Dunn
(See above for address)
ATTORNEY TO BE NOTICED

V.

Counter Defendant

Transamerica Life Insurance Company

represented by **Brooks R. Magratten**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Michael J. Daly
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

David E. Barry
(See above for address)
PRO HAC VICE
ATTORNEY TO BE NOTICED

Counter Claimant

Lifemark Securities Corp.

represented by **Joseph V. Cavanagh , Jr.**
(See above for address)
ATTORNEY TO BE NOTICED

Mary C. Dunn
(See above for address)
ATTORNEY TO BE NOTICED

V.

Counter Defendant

Transamerica Life Insurance Company

represented by **Brooks R. Magratten**
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Michael J. Daly
(See above for address)
LEAD ATTORNEY
ATTORNEY TO BE NOTICED

David E. Barry
(See above for address)
PRO HAC VICE

ATTORNEY TO BE NOTICED

Date Filed	#	Page	Docket Text
10/02/2009	<u>1</u>		COMPLAINT against all defendants (Filing fee \$ 350.00; Receipt number 14670001993), filed by Transamerica Life Insurance Company. (Attachments: # <u>1</u> Civil Cover Sheet, # <u>2</u> Exhibit A: Program Specifics, # <u>3</u> Exhibit C: Affidavit of Patrick Garvey, # <u>4</u> Exhibit D: Annuity Application, # <u>5</u> Exhibit F: Rescission Letter) -- NOTE: Exhibits B and E docketed separately. (Duhamel, John) (Entered: 10/02/2009)
10/02/2009	<u>2</u>		EXHIBIT B (Annuity Brochure) by Transamerica Life Insurance Company in support of <u>1</u> Complaint. (Duhamel, John) (Entered: 10/02/2009)
10/02/2009	<u>3</u>		EXHIBIT E (Annuity Policy) by Transamerica Life Insurance Company in support of <u>1</u> Complaint. (Duhamel, John) (Entered: 10/02/2009)
10/02/2009			Summonses Issued as to: Patrick Garvey, Joseph Caramadre, Raymour Radhakrishnan, Estate Planning Resources, Inc.; Estella Rodrigues, Edward Maggiacomo, Jr.; Lifemark Securities Corp. (Duhamel, John) (Entered: 10/02/2009)
10/02/2009			CASE CONDITIONALLY ASSIGNED: Related Case Number 09-470ML based upon the indication on the cover sheet that a related case previously was assigned to the presiding judge. The assignment is subject to the presiding judge's determination that the cases, in fact, are related. (Duhamel, John) (Entered: 10/02/2009)
10/02/2009	<u>4</u>		MOTION to Expedite <i>Discovery</i> With Supporting Memo by Transamerica Life Insurance Company. Responses due by 10/19/2009 (Daly, Michael) (Entered: 10/02/2009)
10/05/2009			CASE PERMANENTLY ASSIGNED: Since Chief Judge Mary M Lisi has determined that this case is in fact related to CA 09-470ML this case is permanently assigned to Chief Judge Mary M Lisi for all further proceedings (Barletta, Barbara) (Entered: 10/05/2009)
10/05/2009			MOTIONS REFERRED: <u>4</u> MOTION to Expedite <i>Discovery</i> Motions referred to David L. Martin for determination (Barletta, Barbara) (Entered: 10/05/2009)
10/06/2009	<u>5</u>		STIPULATION by Transamerica Life Insurance Company, Joseph Caramadre, Estate Planning Resources, Inc.. (Magratten, Brooks) (Entered: 10/06/2009)
10/08/2009	<u>6</u>		SUMMONS Returned Executed by Transamerica Life Insurance Company. Estella Rodrigues served on 10/5/2009, answer due 10/26/2009. (Daly, Michael) (Entered: 10/08/2009)
10/08/2009	<u>7</u>		SUMMONS Returned Executed by Transamerica Life Insurance Company. Edward Maggiacomo, Jr served on 10/5/2009, answer due 10/26/2009. (Daly, Michael) (Entered: 10/08/2009)
10/14/2009	<u>8</u>		SUMMONS Returned Executed by Transamerica Life Insurance Company. Lifemark Securities Corp. served on 10/5/2009, answer due 10/26/2009.

		(Magratten, Brooks) (Entered: 10/14/2009)
10/16/2009	<u>9</u>	AMENDED COMPLAINT against Patrick Garvey, Joseph Caramadre, Raymour Radhakrishnan, Estate Planning Resources, Inc., Estella Rodrigues, Edward Maggiacomo, Jr, Lifemark Securities Corp., filed by Transamerica Life Insurance Company. (Attachments: # <u>1</u> Exhibit 1 Catholic Paper Ad)(Daly, Michael) (Entered: 10/16/2009)
10/16/2009	<u>10</u>	NOTICE AND ORDER <u>4</u> MOTION to Expedite <i>Discovery</i> : Motion Hearing set for 10/26/2009 10:00 AM in Courtroom B before Magistrate Judge David L. Martin. (Noel, Jeannine) (Entered: 10/16/2009)
10/16/2009	<u>11</u>	NOTICE of Appearance by Anthony M. Traini on behalf of Edward Maggiacomo, Jr (Traini, Anthony) (Entered: 10/16/2009)
10/21/2009		NOTICE of Hearing:(Telephone Conference set for Thursday, 10/22/2009 at 09:00 AM before Chief Judge Mary M Lisi.) (Barletta, Barbara) (Entered: 10/21/2009)
10/21/2009	<u>12</u>	NOTICE of Appearance by Robert G. Flanders, Jr on behalf of Joseph Caramadre, Raymour Radhakrishnan, Estate Planning Resources, Inc., Estella Rodrigues (Flanders, Robert) (Entered: 10/21/2009)
10/22/2009		Minute Entry for proceedings held before Chief Judge Mary M Lisi: Telephone Conference held on 10/22/2009; counsel of record present (Barletta, Barbara) (Entered: 10/22/2009)
10/26/2009		Minute Entry for proceedings held before Magistrate Judge David L. Martin: Motion Hearing held on 10/26/2009 re (3 in 1:09-cv-00473-ML-DLM) MOTION to Expedite <i>Discovery</i> filed by Western Reserve Life Assurance Co. of Ohio, (4 in 1:09-cv-00470-ML-DLM) MOTION to Expedite <i>Discovery</i> filed by Western Reserve Life Assurance Co. of Ohio, (4 in 1:09-cv-00471-ML-DLM) MOTION to Expedite <i>Discovery</i> filed by Transamerica Life Insurance Company, (2 in 1:09-cv-00472-ML-DLM) MOTION to Expedite <i>Discovery</i> filed by Western Reserve Life Assurance Co. of Ohio, (2 in 1:09-cv-00473-ML-DLM) MOTION to Expedite <i>Discovery</i> filed by Western Reserve Life Assurance Co. of Ohio. Court grants the motion. (Courtroom B at 10:13.) (Saucier, Martha) (Entered: 10/26/2009)
10/27/2009	<u>13</u>	STIPULATION by Transamerica Life Insurance Company, Joseph Caramadre, Raymour Radhakrishnan, Estate Planning Resources, Inc., Estella Rodrigues. (Flanders, Robert) (Entered: 10/27/2009)
10/27/2009	<u>14</u>	STIPULATION re <u>9</u> Amended Complaint, <i>Extending Time for Responsive Pleading</i> by Edward Maggiacomo, Jr. (Traini, Anthony) (Entered: 10/27/2009)
10/27/2009	<u>15</u>	SUMMONS Returned Executed by Transamerica Life Insurance Company. Patrick Garvey served on 10/21/2009, answer due 11/10/2009. (Magratten, Brooks) (Entered: 10/27/2009)
10/27/2009	16	Sealed Document placed in Magistrate Judges' Vault. (Saucier, Martha) (Entered: 10/27/2009)
10/30/2009		

		TEXT ORDER entering <u>13</u> Stipulation filed by Estella Rodrigues, Transamerica Life Insurance Company, Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph Caramadre, <u>14</u> Stipulation filed by Edward Maggiacomo, Jr. – So Ordered by Chief Judge Mary M Lisi on 10/30/09. (Barletta, Barbara) (Entered: 10/30/2009)
10/30/2009		Reset Deadlines: Joseph Caramadre answer due 11/16/2009; Raymour Radhakrishnan answer due 11/16/2009; Estate Planning Resources, Inc. answer due 11/16/2009; Estella Rodrigues answer due 11/16/2009; Edward Maggiacomo, Jr answer due 11/16/2009. (Barletta, Barbara) (Entered: 10/30/2009)
11/03/2009	<u>17</u>	MOTION for Entry of Default of <i>Lifemark Securities Corp.</i> With Supporting Memo by Transamerica Life Insurance Company. Responses due by 11/20/2009 (Daly, Michael) (Entered: 11/03/2009)
11/04/2009	<u>18</u>	Clerk's ENTRY OF DEFAULT as to Lifemark Securities Corp. (Duhamel, John) (Entered: 11/04/2009)
11/04/2009	<u>19</u>	NOTICE of Appearance by Joseph V. Cavanagh, Jr on behalf of Lifemark Securities Corp. (Cavanagh, Joseph) (Entered: 11/04/2009)
11/04/2009	<u>20</u>	STIPULATION by Transamerica Life Insurance Company, Lifemark Securities Corp.. (Cavanagh, Joseph) (Entered: 11/04/2009)
11/04/2009	<u>21</u>	NOTICE of Appearance by Mary C. Dunn on behalf of Lifemark Securities Corp. (Dunn, Mary) (Entered: 11/04/2009)
11/05/2009	<u>22</u>	ORDER OF RECUSAL: Chief Judge Mary M Lisi recused; Case reassigned to Judge William E Smith for all further proceedings -- So Ordered by Chief Judge Mary M Lisi on 11/5/09. (Barletta, Barbara) (Entered: 11/05/2009)
11/05/2009	<u>23</u>	Corporate Disclosure Statement by Transamerica Life Insurance Company. (Daly, Michael) (Entered: 11/05/2009)
11/11/2009	<u>24</u>	Corporate Disclosure Statement by Estate Planning Resources, Inc.. (Flanders, Robert) (Entered: 11/11/2009)
11/12/2009	<u>25</u>	STIPULATION re <u>9</u> Amended Complaint, <i>Extending Time to File Responsive Pleading</i> by Edward Maggiacomo, Jr. (Traini, Anthony) (Entered: 11/12/2009)
11/13/2009	<u>26</u>	MOTION to Dismiss WITH SUPPORTING MEMO by Joseph Caramadre, Raymour Radhakrishnan, Estate Planning Resources, Inc., Estella Rodrigues. Responses due by 11/30/2009 (Attachments: # <u>1</u> Exhibit A1, # <u>2</u> Exhibit A2, # <u>3</u> Exhibit B)(Flanders, Robert) (Entered: 11/13/2009)
11/16/2009	<u>27</u>	MOTION for David E. Barry to Appear Pro Hac Vice by Transamerica Life Insurance Company. (Daly, Michael) (Entered: 11/16/2009)
11/16/2009	<u>28</u>	STIPULATION to <i>Extend Time to Answer or Otherwise Respond to Complaint</i> by Lifemark Securities Corp.. (Cavanagh, Joseph) (Entered: 11/16/2009)
11/16/2009	<u>29</u>	APPLICATION FOR ADMISSION PRO HAC VICE re <u>27</u> MOTION for David E. Barry to Appear Pro Hac Vice by Transamerica Life Insurance Company. (Smith, Rana) (Entered: 11/17/2009)

11/17/2009			NOTICE of Hearing:In Chambers Conference <i>scheduled for 11/20/2009 at 11:00 AM in Judge Smith Chambers</i> before Judge William E. Smith. (Jackson, Ryan) (Entered: 11/17/2009)
11/19/2009	<u>30</u>		STIPULATION by Transamerica Life Insurance Company, Joseph Caramadre, Raymour Radhakrishnan, Estate Planning Resources, Inc., Estella Rodrigues. (Magratten, Brooks) (Entered: 11/19/2009)
11/20/2009			Minute Entry for proceedings held before Judge William E Smith: In Chambers Conference held on 11/20/2009; counsel present: M. Daly; D. Sherman; J. Rosenquest; R. Flanders; M. Parker; D. Prentiss; A. Traini; J. Cavanagh; A. Batastini (Jackson, Ryan) (Entered: 11/20/2009)
11/20/2009			NOTICE of Hearing: Status Conference <i>scheduled for 12/10/2009 at 11:00 AM in Judge Smith Chambers</i> before Judge William E. Smith (Jackson, Ryan) (Entered: 11/20/2009)
11/20/2009			TEXT ORDER re <u>25</u> Stipulation filed by Edward Maggiacomo, Jr., Transamerica Life Insurance. So Ordered by Judge William E. Smith on 11/20/09. (Jackson, Ryan) (Entered: 11/20/2009)
11/20/2009			Reset Deadlines: Edward Maggiacomo, Jr answer/responsive pleading due 12/4/2009. (Jackson, Ryan) (Entered: 11/20/2009)
11/20/2009			TEXT ORDER: All response deadlines to pending motions in these related matters are POSTPONED until the status conference scheduled before Judge William E. Smtih on 12/10/09, when new response deadlines will be established for all pending motions. So Ordered by Judge William E. Smith on 11/20/09. (Jackson, Ryan) (Entered: 11/20/2009)
11/20/2009			TEXT ORDER re <u>28</u> Stipulation filed by Lifemark Securities Corp., Transamerica Life Insurance. So Ordered by Judge William E. Smith on 11/20/09. (Jackson, Ryan) (Entered: 11/20/2009)
11/20/2009			Reset Deadlines: Lifemark Securities Corp. answer due 12/4/2009. (Jackson, Ryan) (Entered: 11/20/2009)
12/03/2009	<u>31</u>		Corporate Disclosure Statement by Lifemark Securities Corp.. (Cavanagh, Joseph) (Entered: 12/03/2009)
12/04/2009	<u>32</u>		MOTION to Dismiss with Supporting Memo by Lifemark Securities Corp.. Responses due by 12/21/2009 (Cavanagh, Joseph) (Entered: 12/04/2009)
12/04/2009	<u>33</u>		MOTION to Dismiss WITH SUPPORTING MEMO by Edward Maggiacomo, Jr. Responses due by 12/21/2009 (Attachments: # <u>1</u> Supporting Memorandum, # <u>2</u> Exhibit 1–Annuity Contract, # <u>3</u> Exhibit 2–Annuity Application)(Traini, Anthony) (Entered: 12/04/2009)
12/10/2009			Minute Entry for proceedings held before Judge William E Smith: Status Conference held on 12/10/2009; counsel present: B. Magratten, M. Daly; R. Flanders, M. Parker; A. Traini; J. Cavanaugh; J. Rosenquest; A. Moser; J. Brenner, A. Batastini (Jackson, Ryan) (Entered: 12/10/2009)
12/21/2009	<u>34</u>		SCHEDULING ORDER. So Ordered by Judge William E. Smith on 12/21/09. (Jackson, Ryan) (Entered: 12/21/2009)
12/23/2009			

		TEXT ORDER granting (23) Motion to Appear Pro Hac Vice of David E. Barry in case 1:09-cv-00470-S-DLM; granting (29) Motion to Appear Pro Hac Vice of David E. Barry in case 1:09-cv-00472-S-DLM; granting (27) Motion to Appear Pro Hac Vice of David E. Barry in case 1:09-cv-00471-S-DLM; granting (25) Motion to Appear Pro Hac Vice of David E. Barry in case 1:09-cv-00473-S-DLM; granting (20) Motion to Appear Pro Hac Vice of David E. Barry in case 1:09-cv-00502-S-DLM. So Ordered by Judge William E. Smith on 12/23/09. (Jackson, Ryan) (Entered: 12/23/2009)
12/23/2009	<u>35</u>	MOTION For a Standing Order Regarding Filing And Service of Redacted Documents with supporting memo by Transamerica Life Insurance Company. Responses due by 1/11/2010 (Daly, Michael) (Entered: 12/23/2009)
01/04/2010		NOTICE of Hearing: Telephone Conference <i>scheduled for 1/11/2010 at 3:30 PM</i> before Judge William E. Smith; dial-in information and conference call ID # will be sent to all case participants via email; please contact the Clerk's Office if you have any questions regarding this conference call. (Jackson, Ryan) (Entered: 01/04/2010)
01/11/2010		Minute Entry for proceedings held before Judge William E Smith: Telephone Conference held on 1/11/2010; all counsel of record present on call (Jackson, Ryan) (Entered: 01/12/2010)
01/13/2010		NOTICE of Hearing on Motion <u>26</u> MOTION to Dismiss, <u>33</u> MOTION to Dismiss, <u>32</u> MOTION to Dismiss : Motion Hearing <i>scheduled for 3/15/2010 at 2:00 PM in Courtroom 2</i> before Judge William E. Smith(Jackson, Ryan) (Entered: 01/13/2010)
01/15/2010		Motion Forwarded to Chambers (26 in 1:09-cv-00502-S-DLM) MOTION For a Standing Order Regarding Filing And Service of Redacted Documents, (35 in 1:09-cv-00472-S-DLM) MOTION For a Standing Order Regarding Filing and Service of Redacted Documents, (35 in 1:09-cv-00471-S-DLM) MOTION For a Standing Order Regarding Filing And Service of Redacted Documents, (33 in 1:09-cv-00473-S-DLM) MOTION For a Standing Order Regarding Filing and Service of Redacted Documents, (32 in 1:09-cv-00470-S-DLM) MOTION For a Standing Order Regarding Filing And Service of Redacted Documents FORWARDED to Chambers of Judge William E. Smith. (Jackson, Ryan) (Entered: 01/15/2010)
01/26/2010	<u>36</u>	CASE MANAGEMENT ORDER granting (32) Motion for a Standing Order Re: Filing and Service of Redacted Documents in case 1:09-cv-00470-S-DLM; granting (35) Motion for a Standing Order Re: Filing and Service of Redacted Documents in case 1:09-cv-00472-S-DLM; granting (35) Motion for a Standing Order Re: Filing and Service of Redacted Documents in case 1:09-cv-00471-S-DLM; granting (33) Motion for a Standing Order Re: Filing and Service of Redacted Documents in case 1:09-cv-00473-S-DLM; granting (26) Motion for a Standing Order Re: Filing and Service of Redacted Documents in case 1:09-cv-00502-S-DLM. So Ordered by Judge William E. Smith on 1/25/10. (Jackson, Ryan) (Entered: 01/26/2010)
02/01/2010	<u>37</u>	RESPONSE in Opposition re <u>26</u> MOTION to Dismiss, <u>33</u> MOTION to

		Dismiss WITH SUPPORTING MEMO filed by Transamerica Life Insurance Company. (Attachments: # <u>1</u> Exhibit A – Agent Agreement)(Daly, Michael) (Entered: 02/01/2010)
02/05/2010	<u>38</u>	Consent MOTION for an Extension of Time to File Response/Reply as to <u>37</u> Response in Opposition to Motion <i>to Dismiss</i> by Joseph Caramadre, Raymour Radhakrishnan, Estate Planning Resources, Inc., Estella Rodrigues, Edward Maggiacomo, Jr, Lifemark Securities Corp.. Responses due by 2/22/2010 (Flanders, Robert) (Entered: 02/05/2010)
02/08/2010		Motion Forwarded to Chambers (37 in 1:09-cv-00473-S-DLM) Consent MOTION for an Extension of Time to File Response/Reply as to (36) Response in Opposition to Motion <i>to Dismiss</i> Consent MOTION for an Extension of Time to File Response/Reply as to (36) Response in Opposition to Motion <i>to Dismiss</i> , (38 in 1:09-cv-00470-S-DLM) Consent MOTION for an Extension of Time to File Response/Reply as to (37) Response in Opposition to Motion <i>to Dismiss</i> , (18 in 1:09-cv-00549-S-DLM) Consent MOTION for an Extension of Time to File Response/Reply as to (17) Response in Opposition to Motion <i>to Dismiss</i> Consent MOTION for an Extension of Time to File Response/Reply as to (17) Response in Opposition to Motion <i>to Dismiss</i> , (38 in 1:09-cv-00471-S-DLM) Consent MOTION for an Extension of Time to File Response/Reply as to (37) Response in Opposition to Motion <i>to Dismiss</i> Consent MOTION for an Extension of Time to File Response/Reply as to (37) Response in Opposition to Motion <i>to Dismiss</i> , (38 in 1:09-cv-00472-S-DLM) Consent MOTION for an Extension of Time to File Response/Reply as to (37) Response in Opposition to Motion <i>to Dismiss</i> Consent MOTION for an Extension of Time to File Response/Reply as to (37) Response in Opposition to Motion <i>to Dismiss</i> , (12 in 1:09-cv-00564-S-DLM) Consent MOTION for an Extension of Time to File Response/Reply as to (11) Response in Opposition to Motion <i>to Dismiss</i> Consent MOTION for an Extension of Time to File Response/Reply as to (11) Response in Opposition to Motion <i>to Dismiss</i> FORWARDED to Chambers of Judge William E. Smith. (Jackson, Ryan) (Entered: 02/08/2010)
02/09/2010		TEXT ORDER granting (38) Motion for Extension of Time to File Response/Reply re (21 in 1:09-cv-00470-S-DLM) MOTION to Dismiss, (22 in 1:09-cv-00470-S-DLM) MOTION to Dismiss (Replies due by 2/22/2010.) in case 1:09-cv-00470-S-DLM; granting (38) Motion for Extension of Time to File Response/Reply re (21 in 1:09-cv-00470-S-DLM) MOTION to Dismiss, (22 in 1:09-cv-00470-S-DLM) MOTION to Dismiss in case 1:09-cv-00472-S-DLM; granting (38) Motion for Extension of Time to File Response/Reply re (21 in 1:09-cv-00470-S-DLM) MOTION to Dismiss, (22 in 1:09-cv-00470-S-DLM) MOTION to Dismiss in case 1:09-cv-00471-S-DLM; granting (37) Motion for Extension of Time to File Response/Reply re (21 in 1:09-cv-00470-S-DLM) MOTION to Dismiss, (22 in 1:09-cv-00470-S-DLM) MOTION to Dismiss in case 1:09-cv-00473-S-DLM; granting (29) Motion for Extension of Time to File Response/Reply re (21 in 1:09-cv-00470-S-DLM) MOTION to Dismiss, (22 in 1:09-cv-00470-S-DLM) MOTION to Dismiss in case 1:09-cv-00502-S-DLM; granting (18) Motion for Extension of Time to File Response/Reply re (21 in 1:09-cv-00470-S-DLM) MOTION to Dismiss, (22 in 1:09-cv-00470-S-DLM) MOTION to Dismiss in case

		1:09-cv-00549-S-DLM; granting (12) Motion for Extension of Time to File Response/Reply re (21 in 1:09-cv-00470-S-DLM) MOTION to Dismiss, (22 in 1:09-cv-00470-S-DLM) MOTION to Dismiss in case 1:09-cv-00564-S-DLM in case 1:09-cv-00470-S-DLM. So Ordered by Judge William E. Smith on 2/9/10. (Jackson, Ryan) (Entered: 02/09/2010)
02/22/2010	<u>39</u>	REPLY MEMORANDUM re <u>26</u> MOTION to Dismiss <i>CONSOLIDATED REPLY MEMORANDUM IN FURTHER SUPPORT OF THEIR MOTIONS TO DISMISS</i> . (Flanders, Robert) (Entered: 02/22/2010)
02/22/2010	<u>40</u>	REPLY to Response to Motion re <u>37</u> Response in Opposition to Motion filed by Edward Maggiacomo, Jr. (Traini, Anthony) (Entered: 02/22/2010)
02/22/2010	<u>41</u>	REPLY to Response to Motion re <u>37</u> Response in Opposition to Motion filed by Lifemark Securities Corp.. (Cavanagh, Joseph) (Entered: 02/22/2010)
02/23/2010		NOTICE of Hearing: In Chambers Conference <i>scheduled for 2/25/2010 at 3:00 PM in Judge Smith Chambers</i> before Judge William E. Smith (Jackson, Ryan) (Entered: 02/23/2010)
02/23/2010		Motion Forwarded to Chambers <u>26</u> MOTION to Dismiss, <u>33</u> MOTION to Dismiss, <u>32</u> MOTION to Dismiss FORWARDED to Chambers of Judge William E. Smith. (Jackson, Ryan) (Entered: 02/23/2010)
02/25/2010		Minute Entry for proceedings held before Judge William E Smith: In Chambers Conference held on 2/25/2010; counsel present: M. Daly; D. Sherman; A. Traini; J. Kilpatrick; J. Greene; R. Prentiss; J. Cavanagh; A. Batastini; L. Vilker. Present via teleconference: B. Magratten; D. Barry; D. Friednash; R. Flanders. (Jackson, Ryan) (Entered: 02/25/2010)
03/15/2010		Minute Entry for proceedings held before Judge William E Smith: Motion Hearing held on 3/15/2010 re (21 in 1:09-cv-00470-S-DLM) MOTION to Dismiss filed by Fortune Financial Services, Inc., (32 in 1:09-cv-00471-S-DLM) MOTION to Dismiss filed by Lifemark Securities Corp., (7 in 1:09-cv-00564-S-DLM) MOTION to Dismiss filed by Fortune Financial Services, Inc., (24 in 1:09-cv-00472-S-DLM) MOTION to Dismiss filed by The Leaders Group, Inc., (16 in 1:09-cv-00502-S-DLM) MOTION to Dismiss filed by The Leaders Group, Inc., (26 in 1:09-cv-00471-S-DLM) MOTION to Dismiss filed by Estella Rodrigues, Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph Caramadre, (27 in 1:09-cv-00472-S-DLM) MOTION to Dismiss filed by Estate Planning Resources, Inc., ADM Associates, LLC, Raymour Radhakrishnan, Edward Hanrahan, Joseph Caramadre, (33 in 1:09-cv-00471-S-DLM) MOTION to Dismiss filed by Edward Maggiacomo, Jr., (9 in 1:09-cv-00564-S-DLM) MOTION to Dismiss filed by Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph Caramadre, Harrison Condit, (15 in 1:09-cv-00549-S-DLM) MOTION to Dismiss filed by Lifemark Securities Corp., (21 in 1:09-cv-00473-S-DLM) MOTION to Dismiss filed by The Leaders Group, Inc., (13 in 1:09-cv-00549-S-DLM) MOTION to Dismiss filed by Edward Maggiacomo, Jr., (17 in 1:09-cv-00502-S-DLM) MOTION to Dismiss filed by Estate Planning Resources, Inc., Raymour Radhakrishnan, Edward Hanrahan, Joseph Caramadre, (22 in 1:09-cv-00473-S-DLM) MOTION to Dismiss filed by Estate Planning Resources, Inc., Raymour Radhakrishnan,

		Edward Hanrahan, Joseph Caramadre, DK LLC, (9 in 1:09-cv-00549-S-DLM) MOTION to Dismiss filed by Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph Caramadre, (22 in 1:09-cv-00470-S-DLM) MOTION to Dismiss filed by Conreal LLC, Harrison Condit. B. Magratten and M. Daly for Plaintiffs. R. Flanders, Jr.; A. Triani; D. Sherming; J. Cavanagh; A. Batastini; D. Prentiss; and J. Rosenquest, III for Defendants. Court addresses. Arguments heard as to all Motions to Dismiss in civil actions: 09-470, 09-471, 09-472, 09-473, 09-502, 09-549, and 09-564. Court takes all matters under advisement and will issue a ruling. (Court Reporter Anne Clayton in Courtroom 2 at 2:14 p.m.) (Smith, Rana) (Entered: 03/15/2010)
04/07/2010	<u>42</u>	NOTICE of Appearance by Matthew H. Parker on behalf of Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Estella Rodrigues (Parker, Matthew) (Entered: 04/07/2010)
04/14/2010	<u>43</u>	Joint MOTION for Protective Order by Joseph Caramadre, Edward Maggiacomo, Jr, Raymour Radhakrishnan. Responses due by 5/3/2010 (Attachments: # <u>1</u> Exhibit 1, # <u>2</u> Exhibit 2, # <u>3</u> Exhibit 3)(Flanders, Robert) (Entered: 04/14/2010)
04/15/2010		NOTICE of Hearing: In Chambers Conference <i>scheduled for 4/15/2010 at 3:00 PM in Judge Smith Chambers</i> before Judge William E. Smith; counsel for SEC will attend via teleconference – this office will initiate that call. (Jackson, Ryan) (Entered: 04/15/2010)
04/15/2010		Minute Entry for proceedings held before Judge William E Smith: In Chambers Conference held on 4/15/2010;counsel present: B. Magratten, D. Barry (via telecnf.), M. Daly; R. Hershfang, J. Kaleba, E. Moynahan (via telecnf.); A. Traini; R. Flanders, M. Parker; J. Cavanagh; D. Prentiss (via telecnf.); D. Sherman (Jackson, Ryan) (Entered: 04/15/2010)
04/27/2010	<u>44</u>	RESPONSE in Support re <u>43</u> Joint MOTION for Protective Order filed by Joseph Caramadre, Edward Maggiacomo, Jr, Raymour Radhakrishnan. (Flanders, Robert) (Entered: 04/27/2010)
04/28/2010	<u>45</u>	NOTICE of Appearance by Eric S. Giroux on behalf of Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Estella Rodrigues (Giroux, Eric) (Entered: 04/28/2010)
06/02/2010	<u>46</u>	OPINION AND ORDER granting in part and denying in part (21) Motion to Dismiss; granting in part and denying in part (22) Motion to Dismiss in case 1:09-cv-00470-S-DLM; granting in part and denying in part (24) Motion to Dismiss; granting in part and denying in part (27) Motion to Dismiss in case 1:09-cv-00472-S-DLM; granting in part and denying in part (26) Motion to Dismiss; granting in part and denying in part (32) Motion to Dismiss; granting in part and denying in part (33) Motion to Dismiss in case 1:09-cv-00471-S-DLM; granting in part and denying in part (21) Motion to Dismiss; granting in part and denying in part (22) Motion to Dismiss in case 1:09-cv-00473-S-DLM; granting in part and denying in part (16) Motion to Dismiss; granting in part and denying in part (17) Motion to Dismiss in case 1:09-cv-00502-S-DLM; granting in part and denying in part (9) Motion to Dismiss; granting in part and denying in part (13) Motion to Dismiss; granting in part and denying in part (15) Motion to Dismiss in case

		1:09-cv-00549-S-DLM; granting in part and denying in part (7) Motion to Dismiss; granting in part and denying in part (9) Motion to Dismiss in case 1:09-cv-00564-S-DLM. So Ordered by Judge William E. Smith on 6/2/10. (Jackson, Ryan) (Entered: 06/02/2010)
06/11/2010		TEXT ORDER denying (42) Motion for Protective Order in case 1:09-cv-00472-S-DLM pursuant to the Opinion and Ordered entered on 6/10/10 in MC10-52-S; denying (43) Motion for Protective Order in case 1:09-cv-00471-S-DLM pursuant to the Opinion and Ordered entered on 6/10/10 in MC10-52-S. So Ordered by Judge William E. Smith on 6/10/10. (Jackson, Ryan) (Entered: 06/11/2010)
06/14/2010	<u>47</u>	STIPULATION re <u>1</u> Complaint, <i>Extension of Time to Respond to Amended Complaint</i> by Joseph Caramadre, Estate Planning Resources, Inc., Lifemark Securities Corp., Edward Maggiacomo, Jr, Raymour Radhakrishnan, Estella Rodrigues. (Flanders, Robert) (Entered: 06/14/2010)
06/16/2010	<u>48</u>	MOTION to Stay WITH SUPPORTING MEMO by Joseph Caramadre, Edward Maggiacomo, Jr, Raymour Radhakrishnan. Responses due by 7/6/2010 (Attachments: # <u>1</u> Supporting Memorandum, # <u>2</u> Exhibit)(Flanders, Robert) (Entered: 06/16/2010)
06/17/2010		TEXT ORDER ENTERING (27 in 1:09-cv-00549-S-DLM) Stipulation filed by Estate Planning Resources, Inc., Raymour Radhakrishnan, Edward Maggiacomo, Jr., Joseph Caramadre, Lifemark Securities Corp., (47 in 1:09-cv-00471-S-DLM) Stipulation, filed by Estella Rodrigues, Estate Planning Resources, Inc., Raymour Radhakrishnan, Edward Maggiacomo, Jr., Joseph Caramadre, Lifemark Securities Corp., (46 in 1:09-cv-00472-S-DLM) Stipulation, filed by Estate Planning Resources, Inc., Charles Buckman, ADM Associates, LLC, The Leaders Group, Inc., Raymour Radhakrishnan, Edward Hanrahan, Joseph Caramadre, (20 in 1:09-cv-00564-S-DLM) Stipulation filed by Fortune Financial Services, Inc., Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph Caramadre, Harrison Condit, (36 in 1:09-cv-00502-S-DLM) Stipulation filed by Estate Planning Resources, Inc., The Leaders Group, Inc., Raymour Radhakrishnan, Edward Hanrahan, Joseph Caramadre, (47 in 1:09-cv-00470-S-DLM) Stipulation filed by Fortune Financial Services, Inc., Conreal LLC, Anthony Pitocco, Harrison Condit, (44 in 1:09-cv-00473-S-DLM) Stipulation, filed by Estate Planning Resources, Inc., The Leaders Group, Inc., Raymour Radhakrishnan, Edward Hanrahan, Joseph Caramadre, Western Reserve Life Assurance Co. of Ohio, DK LLC. So Ordered by Judge William E. Smith on 6/17/10. (Jackson, Ryan) (Entered: 06/17/2010)
06/21/2010		NOTICE of Hearing: In Chambers Conference <i>scheduled for 6/28/2010 at 2:00 PM in Judge Smith Chambers</i> before Judge William E. Smith. (Jackson, Ryan) (Entered: 06/21/2010)
06/22/2010		NOTICE of Hearing: In Chambers Conference <i>RE-SCHEDULED for 7/20/2010 at 2:00 PM in Judge Smith Chambers</i> before Judge William E. Smith. (Jackson, Ryan) (Entered: 06/22/2010)
06/22/2010		Reset Deadlines: ANSWERS DUE BY 7/23/10 for all defendants (Jackson, Ryan) (Entered: 06/22/2010)

06/28/2010	<u>49</u>	STIPULATION by Transamerica Life Insurance Company. (Magratten, Brooks) (Entered: 06/28/2010)
07/06/2010	<u>50</u>	Incorrect document filed; motion to be terminated; see <u>51</u> for correct filing MOTION for Final Judgment WITH SUPPORTING MEMO by Estella Rodrigues. Responses due by 7/23/2010 (Attachments: # <u>1</u> Exhibit A)(Flanders, Robert) Modified on 7/7/2010 (Smith, Rana). (Entered: 07/06/2010)
07/07/2010	<u>51</u>	MOTION for Final Judgment (<i>CORRECTED</i>) WITH SUPPORTING MEMO by Estella Rodrigues. Responses due by 7/26/2010 (Attachments: # <u>1</u> Supporting Memorandum, # <u>2</u> Exhibit)(Flanders, Robert) (Entered: 07/07/2010)
07/09/2010		TEXT ORDER granting extention, re: Stipulation <u>49</u> – response to Motion to Stay is due 7/13/10. So Ordered by Judge William E Smith on 7/9/10. (Gilfillan, Barbara) (Entered: 07/09/2010)
07/13/2010	<u>52</u>	RESPONSE to Motion re <u>48</u> MOTION to Stay With Supporting Memorandum filed by Transamerica Life Insurance Company. (Attachments: # <u>1</u> Supporting Memorandum)(Magratten, Brooks) (Entered: 07/13/2010)
07/15/2010		Motion Forwarded to Chambers (47 in 1:09-cv-00472-S-DLM) MOTION to Stay, (45 in 1:09-cv-00473-S-DLM) MOTION to Stay, (37 in 1:09-cv-00502-S-DLM) MOTION to Stay, (21 in 1:09-cv-00564-S-DLM) MOTION to Stay, (28 in 1:09-cv-00549-S-DLM) MOTION to Stay, (48 in 1:09-cv-00471-S-DLM) MOTION to Stay, (48 in 1:09-cv-00470-S-DLM) MOTION to Stay FORWARDED to Chambers of Judge William E. Smith. (Jackson, Ryan) (Entered: 07/15/2010)
07/20/2010		Minute Entry for proceedings held before Judge William E Smith: In Chambers Conference held on 7/20/2010; Counsel present: B. Magratten, M. Daly, D. Barry; J. Brenner; A. Traini; J. Cavanagh; M. Waring; R. Flanders, M. Parker; D. Sherman, D. Friednash (via teleconference) (Jackson, Ryan) (Entered: 07/21/2010)
07/21/2010	53	NOTICE of Hearing on Motion (50 in 1:09-cv-00470-S-DLM) MOTION for Final Judgment, (48 in 1:09-cv-00470-S-DLM) MOTION to Stay, (48 in 1:09-cv-00471-S-DLM) MOTION to Stay, (51 in 1:09-cv-00471-S-DLM) MOTION for Final Judgment (<i>CORRECTED</i>), (50 in 1:09-cv-00472-S-DLM) MOTION for Final Judgment (<i>CORRECTED</i>), (47 in 1:09-cv-00472-S-DLM) MOTION to Stay, (45 in 1:09-cv-00473-S-DLM) MOTION to Stay, (48 in 1:09-cv-00473-S-DLM) MOTION for Final Judgment (<i>CORRECTED</i>), (37 in 1:09-cv-00502-S-DLM) MOTION to Stay, (28 in 1:09-cv-00549-S-DLM) MOTION to Stay, (21 in 1:09-cv-00564-S-DLM) MOTION to Stay : Motion Hearing <i>scheduled for 8/17/2010 at 10:00 AM in Courtroom 2</i> before Judge William E. Smith. (Jackson, Ryan) (Entered: 07/21/2010)
07/22/2010	<u>54</u>	STIPULATION by Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Estella Rodrigues, Transamerica Life Insurance Company. (Magratten, Brooks) (Entered: 07/22/2010)

07/22/2010	<u>55</u>	REPLY MEMORANDUM re <u>52</u> Response to Motion <i>IN FURTHER SUPPORT OF MOTION TO STAY</i> . (Flanders, Robert) (Entered: 07/22/2010)
07/23/2010	<u>56</u>	STIPULATION re <u>9</u> Amended Complaint, by Joseph Caramadre, Estate Planning Resources, Inc., Lifemark Securities Corp., Edward Maggiacomo, Jr, Raymour Radhakrishnan, Estella Rodrigues, Transamerica Life Insurance Company. (Flanders, Robert) (Entered: 07/23/2010)
07/28/2010		TEXT ORDER ENTERING (54 in 1:09-cv-00471-S-DLM) Stipulation filed by Estella Rodrigues, Transamerica Life Insurance Company, Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph Caramadre, (53 in 1:09-cv-00473-S-DLM) Reply Memorandum, (53 in 1:09-cv-00470-S-DLM) Stipulation filed by Harrison Condit, Western Reserve Life Assurance Co. of Ohio, (53 in 1:09-cv-00472-S-DLM) Stipulation filed by Estate Planning Resources, Inc., ADM Associates, LLC, Raymour Radhakrishnan, Edward Hanrahan, Joseph Caramadre, Western Reserve Life Assurance Co. of Ohio. So Ordered by Judge William E. Smith on 7/28/10. (Jackson, Ryan) (Entered: 07/28/2010)
07/28/2010		TEXT ORDER ENTERING (55 in 1:09-cv-00470-S-DLM) Stipulation filed by Fortune Financial Services, Inc., Conreal LLC, Anthony Pitocco, Harrison Condit, Western Reserve Life Assurance Co. of Ohio, (54 in 1:09-cv-00473-S-DLM) Stipulation filed by Estate Planning Resources, Inc., The Leaders Group, Inc., Raymour Radhakrishnan, Edward Hanrahan, Joseph Caramadre, Western Reserve Life Assurance Co. of Ohio, DK LLC, (33 in 1:09-cv-00549-S-DLM) Stipulation filed by Transamerica Life Insurance Company, Estate Planning Resources, Inc., Raymour Radhakrishnan, Edward Maggiacomo, Jr., Joseph Caramadre, Lifemark Securities Corp., (26 in 1:09-cv-00564-S-DLM) Stipulation filed by Fortune Financial Services, Inc., Estate Planning Resources, Inc., Western Reserve Life Assurance Co. of Ohio, Raymour Radhakrishnan, Joseph Caramadre, Harrison Condit, (55 in 1:09-cv-00472-S-DLM) Stipulation, filed by Charles Buckman, Edward Hanrahan, Western Reserve Life Assurance Co. of Ohio, Estate Planning Resources, Inc., ADM Associates, LLC, The Leaders Group, Inc., Raymour Radhakrishnan, Joseph Caramadre, (56 in 1:09-cv-00471-S-DLM) Stipulation filed by Edward Maggiacomo, Jr., Estella Rodrigues, Transamerica Life Insurance Company, Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph Caramadre, Lifemark Securities Corp., (42 in 1:09-cv-00502-S-DLM) Stipulation filed by Edward Hanrahan, Western Reserve Life Assurance Co. of Ohio, Estate Planning Resources, Inc., The Leaders Group, Inc., Raymour Radhakrishnan, Joseph Caramadre. So Ordered by Judge William E. Smith on 7/28/10. (Jackson, Ryan) (Entered: 07/28/2010)
08/06/2010	<u>57</u>	RESPONSE to Motion re <u>51</u> MOTION for Final Judgment (<i>CORRECTED</i>) With Supporting Memorandum filed by Transamerica Life Insurance Company. (Daly, Michael) (Entered: 08/06/2010)
08/13/2010		Motion Forwarded to Chambers (48 in 1:09-cv-00473-S-DLM) MOTION for Final Judgment (<i>CORRECTED</i>), (50 in 1:09-cv-00470-S-DLM) MOTION for Final Judgment, (50 in 1:09-cv-00472-S-DLM) MOTION for Final Judgment (<i>CORRECTED</i>), (51 in 1:09-cv-00471-S-DLM) MOTION for Final Judgment (<i>CORRECTED</i>) FORWARDED to Chambers

		of Judge William E. Smith. (Jackson, Ryan) (Entered: 08/13/2010)
09/07/2010	<u>58</u>	AMENDED COMPLAINT (<i>Second</i>) against Joseph Caramadre, Estate Planning Resources, Inc., Patrick Garvey, Lifemark Securities Corp., Edward Maggiacomo, Jr, Raymour Radhakrishnan, Estella Rodrigues, filed by Transamerica Life Insurance Company.(Daly, Michael) (Entered: 09/07/2010)
09/13/2010	<u>59</u>	INITIAL CASE MANAGEMENT ORDER. So Ordered by Judge William E. Smith on 9/10/10. (Jackson, Ryan) (Entered: 09/13/2010)
09/13/2010		NOTICE of Hearing: Status Conference <i>scheduled for 1/3/2011 at 10:00 AM in Judge Smith Chambers</i> before Judge William E. Smith. (Jackson, Ryan) (Entered: 09/13/2010)
10/04/2010	<u>60</u>	<i>Defendant LifeMark Securities Corp.'s</i> ANSWER to <u>58</u> Amended Complaint, <i>and</i> , COUNTERCLAIM against Transamerica Life Insurance Company by Lifemark Securities Corp..(Cavanagh, Joseph) (Entered: 10/04/2010)
10/04/2010	<u>61</u>	MOTION to Dismiss <i>and Request for Reconsideration</i> WITH SUPPORTING MEMO by Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Estella Rodrigues. Responses due by 10/21/2010 (Attachments: # <u>1</u> Supporting Memorandum Memorandum of Law, # <u>2</u> Exhibit A, # <u>3</u> Exhibit B, # <u>4</u> Exhibit C, # <u>5</u> Exhibit D, # <u>6</u> Exhibit E, # <u>7</u> Exhibit F)(Flanders, Robert) (Entered: 10/04/2010)
10/04/2010	<u>62</u>	MOTION to Dismiss <i>and Request for Reconsideration</i> WITH SUPPORTING MEMO by Edward Maggiacomo, Jr. Responses due by 10/21/2010 (Attachments: # <u>1</u> Supporting Memorandum)(Traini, Anthony) (Entered: 10/04/2010)
10/19/2010	<u>63</u>	STIPULATION re <u>61</u> MOTION to Dismiss <i>and Request for Reconsideration</i> , <u>62</u> MOTION to Dismiss <i>and Request for Reconsideration</i> by Joseph Caramadre, Estate Planning Resources, Inc., Edward Maggiacomo, Jr, Raymour Radhakrishnan, Estella Rodrigues, Transamerica Life Insurance Company. (Flanders, Robert) (Entered: 10/19/2010)
10/19/2010	<u>64</u>	STIPULATION by Joseph Caramadre, Estate Planning Resources, Inc., Edward Maggiacomo, Jr, Transamerica Life Insurance Company. (Flanders, Robert) (Entered: 10/19/2010)
10/25/2010	<u>65</u>	Reply to Counterclaim <i>of Lifemark Securities Corp.</i> by Transamerica Life Insurance Company. (Barry, David) (Entered: 10/25/2010)
10/27/2010		TEXT ORDER ENTERING (69 in 1:09-cv-00473-S-DLM) Stipulation filed by Estate Planning Resources, Inc., Raymour Radhakrishnan, Edward Hanrahan, Joseph Caramadre, Western Reserve Life Assurance Co. of Ohio, (31 in 1:09-cv-00564-S-DLM) Stipulation filed by Estate Planning Resources, Inc., Western Reserve Life Assurance Co. of Ohio, Raymour Radhakrishnan, Joseph Caramadre, Harrison Condit, (63 in 1:09-cv-00471-S-DLM) Stipulation, filed by Estella Rodrigues, Transamerica Life Insurance Company, Estate Planning Resources, Inc., Raymour Radhakrishnan, Edward Maggiacomo, Jr., Joseph Caramadre, (63 in 1:09-cv-00470-S-DLM) Stipulation filed by Estate Planning Resources, Inc., Raymour Radhakrishnan, Harrison Condit, Western Reserve Life

		Assurance Co. of Ohio, Joseph A. Caramadre, (61 in 1:09-cv-00472-S-DLM) Stipulation filed by Estate Planning Resources, Inc., Raymour Radhakrishnan, Edward Hanrahan, Joseph Caramadre, Western Reserve Life Assurance Co. of Ohio, (47 in 1:09-cv-00502-S-DLM) Stipulation filed by Estate Planning Resources, Inc., Raymour Radhakrishnan, Edward Hanrahan, Joseph Caramadre, Western Reserve Life Assurance Co. of Ohio, (39 in 1:09-cv-00549-S-DLM) Stipulation, filed by Transamerica Life Insurance Company, Estate Planning Resources, Inc., Raymour Radhakrishnan, Edward Maggiacomo, Jr., Joseph Caramadre. So Ordered by Judge William E Smith on 10/26/10. (Jackson, Ryan) (Entered: 10/27/2010)
11/17/2010	<u>66</u>	MOTION to Withdraw as Attorney WITH SUPPORTING MEMO by Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Estella Rodrigues. Responses due by 12/6/2010 (Attachments: # <u>1</u> Exhibit Affidavit of Matthew H. Parker, # <u>2</u> Exhibit Notices of Assent)(Flanders, Robert) (Entered: 11/17/2010)
11/17/2010	<u>67</u>	RESPONSE in Opposition re <u>61</u> MOTION to Dismiss <i>and Request for Reconsideration</i> , <u>62</u> MOTION to Dismiss <i>and Request for Reconsideration</i> With Supporting Memo filed by Transamerica Life Insurance Company. (Attachments: # <u>1</u> Exhibit A – EPR/Maggiacomo, # <u>2</u> Exhibit B – Affidavit, # <u>3</u> Exhibit C – Appointment Agreement, # <u>4</u> Exhibit D – Bulletin)(Daly, Michael) (Attachment 3 replaced with redacted version on 11/18/2010) (Smith, Rana). (Entered: 11/17/2010)
11/18/2010	<u>68</u>	STIPULATION <i>Dismissal</i> by Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan. (Flanders, Robert) (Entered: 11/18/2010)
11/29/2010	<u>69</u>	MOTION For Entry of a Confidentiality Order With Supporting Memorandum by Transamerica Life Insurance Company. Responses due by 12/16/2010 (Attachments: # <u>1</u> Exhibit Proposed Confidentiality Order)(Magratten, Brooks) (Entered: 11/29/2010)
12/01/2010	<u>70</u>	STIPULATION re <u>62</u> MOTION to Dismiss <i>and Request for Reconsideration</i> by Joseph Caramadre, Estate Planning Resources, Inc., Edward Maggiacomo, Jr, Raymour Radhakrishnan, Estella Rodrigues, Transamerica Life Insurance Company. (Flanders, Robert) (Entered: 12/01/2010)
12/03/2010		TEXT ORDER ENTERING (70 in 1:09-cv-00471-S-DLM) Stipulation, filed by Estella Rodrigues, Transamerica Life Insurance Company, Estate Planning Resources, Inc., Raymour Radhakrishnan, Edward Maggiacomo, Jr., Joseph Caramadre; TEXT ORDER ENTERING (72 in 1:09-cv-00472-S-DLM) Stipulation filed by Estate Planning Resources, Inc., The Leaders Group, Inc.; TEXT ORDER ENTERING (71 in 1:09-cv-00470-S-DLM) Stipulation filed by Estate Planning Resources, Inc., Raymour Radhakrishnan, Harrison Condit, Western Reserve Life Assurance Co. of Ohio, Joseph A. Caramadre; TEXT ORDER ENTERING (82 in 1:09-cv-00473-S-DLM) Stipulation filed by Estate Planning Resources, Inc., Raymour Radhakrishnan, Edward Hanrahan, Joseph Caramadre, Western Reserve Life Assurance Co. of Ohio; TEXT ORDER ENTERING (57 in 1:09-cv-00502-S-DLM) Stipulation filed by Estate Planning Resources, Inc., Raymour Radhakrishnan, Edward Hanrahan, Joseph Caramadre, Western Reserve Life Assurance Co. of Ohio; TEXT

		ORDER ENTERING (39 in 1:09-cv-00564-S-DLM) Stipulation filed by Estate Planning Resources, Inc., Western Reserve Life Assurance Co. of Ohio, Raymour Radhakrishnan, Joseph Caramadre, Harrison Condit; TEXT ORDER ENTERING (46 in 1:09-cv-00549-S-DLM) Stipulation filed by Transamerica Life Insurance Company, Estate Planning Resources, Inc., Raymour Radhakrishnan, Edward Maggiacomo, Jr., Joseph Caramadre. So Ordered by Judge William E. Smith on 12/3/10. (Jackson, Ryan) (Entered: 12/03/2010)
12/04/2010	<u>71</u>	MOTION for Protective Order With Supporting Memo by Transamerica Life Insurance Company. Responses due by 12/21/2010 (Attachments: # <u>1</u> Exhibit A)(Daly, Michael) (Entered: 12/04/2010)
12/10/2010	<u>72</u>	RESPONSE in Opposition re <u>71</u> MOTION for Protective Order WITH SUPPORTING MEMO filed by Estate Planning Resources, Inc.. (Flanders, Robert) (Entered: 12/10/2010)
12/10/2010	<u>73</u>	RESPONSE in Support re <u>61</u> MOTION to Dismiss <i>and Request for Reconsideration</i> filed by Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Estella Rodrigues. (Flanders, Robert) (Entered: 12/10/2010)
12/15/2010	<u>74</u>	REPLY to Response to Motion re <u>67</u> Response in Opposition to Motion, filed by Edward Maggiacomo, Jr. (Traini, Anthony) (Entered: 12/15/2010)
12/16/2010	<u>75</u>	RESPONSE in Opposition re <u>69</u> MOTION For Entry of a Confidentiality Order WITH SUPPORTING MEMO filed by Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Estella Rodrigues. (Attachments: # <u>1</u> Supporting Memorandum of Law, # <u>2</u> Exhibit A, # <u>3</u> Exhibit B)(Flanders, Robert) (Entered: 12/16/2010)
12/17/2010		Motion Forwarded to Chambers (66 in 1:09-cv-00471-S-DLM) MOTION to Withdraw as Attorney, (61 in 1:09-cv-00471-S-DLM) MOTION to Dismiss <i>and Request for Reconsideration</i> , (67 in 1:09-cv-00473-S-DLM) MOTION to Dismiss (<i>PARTIAL</i>), (66 in 1:09-cv-00470-S-DLM) MOTION to Withdraw as Attorney, (62 in 1:09-cv-00470-S-DLM) MOTION to Dismiss <i>and Request for Reconsideration</i> , (59 in 1:09-cv-00472-S-DLM) MOTION to Dismiss <i>and Request for Reconsideration</i> , (65 in 1:09-cv-00473-S-DLM) MOTION to Dismiss <i>and Request for Reconsideration</i> , (45 in 1:09-cv-00549-S-DLM) MOTION For Entry of a Confidentiality Order, (45 in 1:09-cv-00502-S-DLM) MOTION to Dismiss <i>and Request for Reconsideration</i> , (81 in 1:09-cv-00473-S-DLM) MOTION For Entry of a Confidentiality Order, (37 in 1:09-cv-00549-S-DLM) MOTION to Dismiss <i>and Request for Reconsideration</i> , (54 in 1:09-cv-00502-S-DLM) MOTION to Withdraw as Attorney, (42 in 1:09-cv-00549-S-DLM) MOTION to Withdraw as Attorney, (30 in 1:09-cv-00564-S-DLM) MOTION to Dismiss <i>and Request for Reconsideration</i> , (60 in 1:09-cv-00470-S-DLM) MOTION to Dismiss <i>Plaintiff's Second Amended Complaint</i> , (56 in 1:09-cv-00502-S-DLM) MOTION For Entry of a Confidentiality Order, (62 in 1:09-cv-00471-S-DLM) MOTION to Dismiss <i>and Request for Reconsideration</i> , (38 in 1:09-cv-00549-S-DLM) MOTION to Dismiss <i>and Request for Reconsideration</i> , (70 in 1:09-cv-00472-S-DLM) MOTION For Entry of a confidentiality Order, (38 in 1:09-cv-00564-S-DLM) MOTION

		For Entry of a Confidentiality Order, (69 in 1:09-cv-00471-S-DLM) MOTION For Entry of a Confidentiality Order, (78 in 1:09-cv-00473-S-DLM) MOTION to Withdraw as Attorney, (68 in 1:09-cv-00472-S-DLM) MOTION to Withdraw as Attorney, (34 in 1:09-cv-00564-S-DLM) MOTION to Withdraw as Attorney, (70 in 1:09-cv-00470-S-DLM) MOTION For Entry of a Confidentiality Order, (29 in 1:09-cv-00564-S-DLM) MOTION to Dismiss <i>Plaintiff's Amended Complaint</i> FORWARDED to Chambers of Judge William E. Smith. (Jackson, Ryan) (Entered: 12/17/2010)
12/22/2010	<u>76</u>	REPLY to Response to Motion re <u>75</u> Response in Opposition to Motion, <i>For a Confidentiality Order</i> filed by Transamerica Life Insurance Company. (Magratten, Brooks) (Entered: 12/22/2010)
01/03/2011		Minute Entry for proceedings held before Judge William E Smith: Status Conference held on 1/3/2011; all counsel of record present: Magratten, Daly, Barry; Flanders, Parker; Lepizzera; Sherming; Prentiss; MacFadyen; Traini; Brenner; Cavanagh (Jackson, Ryan) (Entered: 01/03/2011)
01/03/2011		MOTIONS REFERRED: (73 in 1:09-cv-00472-S-DLM) MOTION for Protective Order, (59 in 1:09-cv-00502-S-DLM) MOTION for Protective Order, (45 in 1:09-cv-00549-S-DLM) MOTION For Entry of a Confidentiality Order, (81 in 1:09-cv-00473-S-DLM) MOTION For Entry of a Confidentiality Order, (72 in 1:09-cv-00470-S-DLM) MOTION for Protective Order, (40 in 1:09-cv-00564-S-DLM) MOTION for Protective Order, (47 in 1:09-cv-00549-S-DLM) MOTION for Protective Order, (56 in 1:09-cv-00502-S-DLM) MOTION For Entry of a Confidentiality Order, (71 in 1:09-cv-00471-S-DLM) MOTION for Protective Order, (70 in 1:09-cv-00472-S-DLM) MOTION For Entry of a confidentiality Order, (69 in 1:09-cv-00471-S-DLM) MOTION For Entry of a Confidentiality Order, (70 in 1:09-cv-00470-S-DLM) MOTION For Entry of a Confidentiality Order, (84 in 1:09-cv-00473-S-DLM) MOTION for Protective Order referred to Magistrate Judge David L. Martin for determination. (Jackson, Ryan) (Entered: 01/03/2011)
01/03/2011		NOTICE of Hearing on Motions (71 in 1:09-cv-00471-S-DLM) MOTION for Protective Order, (69 in 1:09-cv-00471-S-DLM) MOTION For Entry of a Confidentiality Order, (73 in 1:09-cv-00472-S-DLM) MOTION for Protective Order, (70 in 1:09-cv-00472-S-DLM) MOTION For Entry of a confidentiality Order, (84 in 1:09-cv-00473-S-DLM) MOTION for Protective Order, (81 in 1:09-cv-00473-S-DLM) MOTION For Entry of a Confidentiality Order, (56 in 1:09-cv-00502-S-DLM) MOTION For Entry of a Confidentiality Order, (59 in 1:09-cv-00502-S-DLM) MOTION for Protective Order, (47 in 1:09-cv-00549-S-DLM) MOTION for Protective Order, (45 in 1:09-cv-00549-S-DLM) MOTION For Entry of a Confidentiality Order, (40 in 1:09-cv-00564-S-DLM) MOTION for Protective Order, (38 in 1:09-cv-00564-S-DLM) MOTION For Entry of a Confidentiality Order : Motion Hearing set for 1/7/2011 02:00 PM in Courtroom B before Magistrate Judge David L. Martin. (Saucier, Martha) (Entered: 01/03/2011)
01/07/2011		Minute Entry for proceedings held before Magistrate Judge David L. Martin: Motion Hearing held on 1/7/2011 re (73 in 1:09-cv-00472-S-DLM)

		<p>MOTION for Protective Order filed by Western Reserve Life Assurance Co. of Ohio, (59 in 1:09-cv-00502-S-DLM) MOTION for Protective Order filed by Western Reserve Life Assurance Co. of Ohio, (45 in 1:09-cv-00549-S-DLM) MOTION For Entry of a Confidentiality Order filed by Transamerica Life Insurance Company, (81 in 1:09-cv-00473-S-DLM) MOTION For Entry of a Confidentiality Order filed by Western Reserve Life Assurance Co. of Ohio, (72 in 1:09-cv-00470-S-DLM) MOTION for Protective Order filed by Western Reserve Life Assurance Co. of Ohio, (40 in 1:09-cv-00564-S-DLM) MOTION for Protective Order filed by Western Reserve Life Assurance Co. of Ohio, (47 in 1:09-cv-00549-S-DLM) MOTION for Protective Order filed by Transamerica Life Insurance Company, (56 in 1:09-cv-00502-S-DLM) MOTION For Entry of a Confidentiality Order filed by Western Reserve Life Assurance Co. of Ohio, (71 in 1:09-cv-00471-S-DLM) MOTION for Protective Order filed by Transamerica Life Insurance Company, (70 in 1:09-cv-00472-S-DLM) MOTION For Entry of a confidentiality Order filed by Western Reserve Life Assurance Co. of Ohio, (38 in 1:09-cv-00564-S-DLM) MOTION For Entry of a Confidentiality Order filed by Western Reserve Life Assurance Co. of Ohio, (69 in 1:09-cv-00471-S-DLM) MOTION For Entry of a Confidentiality Order filed by Transamerica Life Insurance Company, (70 in 1:09-cv-00470-S-DLM) MOTION For Entry of a Confidentiality Order filed by Western Reserve Life Assurance Co. of Ohio, (84 in 1:09-cv-00473-S-DLM) MOTION for Protective Order filed by Western Reserve Life Assurance Co. of Ohio. Brooks Magratten and Michael Daly for the plaintiff; Matthew Parker, Anthony Traini, Deming Sherman, R. Daniel Prentiss and Jeffrey Brenner for the defendants; Both sides argue motions; Court grants the motion for confidentiality order; Court to issue an order; Court denies the motion for protective order; Mr. Parker to prepare an order. (Courtroom B at 11:42.) (Saucier, Martha) (Entered: 01/07/2011)</p>
01/10/2011	<u>77</u>	<p>ORDER granting (70) Motion for Entry of a Confidentiality Order in case 1:09-cv-00470-S-DLM; granting (69) Motion in case 1:09-cv-00471-S-DLM; granting (81) Motion in case 1:09-cv-00473-S-DLM; granting (56) Motion in case 1:09-cv-00502-S-DLM; granting (45) Motion in case 1:09-cv-00549-S-DLM. So Ordered by Magistrate Judge David L. Martin on 1/10/11. (Saucier, Martha) (Entered: 01/10/2011)</p>
01/13/2011	<u>78</u>	<p>ORDER granting (72) Motion for Protective Order in case 1:09-cv-00470-S-DLM; granting (73) Motion for Protective Order in case 1:09-cv-00472-S-DLM; granting (71) Motion for Protective Order in case 1:09-cv-00471-S-DLM; granting (84) Motion for Protective Order in case 1:09-cv-00473-S-DLM; granting (59) Motion for Protective Order in case 1:09-cv-00502-S-DLM; granting (47) Motion for Protective Order in case 1:09-cv-00549-S-DLM; granting (38) Motion ; granting (40) Motion for Protective Order in case 1:09-cv-00564-S-DLM/CONFIDENTIALITY ORDER. So Ordered by Magistrate Judge David L. Martin on 1/13/11. (Attachments: # <u>1</u> Exhibit A) (Saucier, Martha) (Entered: 01/13/2011)</p>
01/14/2011	<u>79</u>	<p>ORDER Denying re (73 in 1:09-cv-00472-S-DLM) MOTION for Protective Order filed by Western Reserve Life Assurance Co. of Ohio, (59 in 1:09-cv-00502-S-DLM) MOTION for Protective Order filed by Western</p>

		Reserve Life Assurance Co. of Ohio, (72 in 1:09-cv-00470-S-DLM) MOTION for Protective Order filed by Western Reserve Life Assurance Co. of Ohio, (40 in 1:09-cv-00564-S-DLM) MOTION for Protective Order filed by Western Reserve Life Assurance Co. of Ohio, (47 in 1:09-cv-00549-S-DLM) MOTION for Protective Order filed by Transamerica Life Insurance Company, (71 in 1:09-cv-00471-S-DLM) MOTION for Protective Order filed by Transamerica Life Insurance Company, (84 in 1:09-cv-00473-S-DLM) MOTION for Protective Order filed by Western Reserve Life Assurance Co. of Ohio. So Ordered by Magistrate Judge David L. Martin on 1/14/11. (Saucier, Martha) (Entered: 01/14/2011)
01/21/2011	<u>80</u>	APPEAL OF MAGISTRATE JUDGE DECISION to District Court by Transamerica Life Insurance Company re <u>79</u> Order,, (Daly, Michael) (Entered: 01/21/2011)
01/31/2011	<u>81</u>	RESPONSE IN OPPOSITION by Estate Planning Resources, Inc. re <u>80</u> Appeal of Magistrate Judge Decision to District Court. (Attachments: # <u>1</u> Exhibit A, # <u>2</u> Exhibit B)(Flanders, Robert) (Entered: 01/31/2011)
02/01/2011		Referred (<u>83</u> in CA09-470) APPEAL OF MAGISTRATE JUDGE DECISION to District Court by Western Reserve Life Assurance Co. of Ohio re (<u>80</u> in CA09-470) Order (Plaintiffs' Objection to the Magistrate Judge's Denial of Plaintiffs' Omnibus Motion for Protective Order Striking Defendant Estate Planning Resources, Inc.'s Interrogatories AND Plaintiffs' Motion to Stay the Magistrate Judge's Order Pending Determination of this Objection) to Chambers of Judge William E. Smith (Jackson, Ryan) (Entered: 02/01/2011)
02/16/2011	<u>82</u>	ORDER DENYING (80 in 1:09-cv-00471-S-DLM) Appeal of Magistrate Judge Decision to District Court filed by Transamerica Life Insurance Company, (83 in 1:09-cv-00470-S-DLM) Appeal of Magistrate Judge Decision to District Court filed by Western Reserve Life Assurance Co. of Ohio, (49 in 1:09-cv-00564-S-DLM) Appeal of Magistrate Judge Decision to District Court filed by Western Reserve Life Assurance Co. of Ohio, (82 in 1:09-cv-00472-S-DLM) Appeal of Magistrate Judge Decision to District Court filed by Western Reserve Life Assurance Co. of Ohio, (56 in 1:09-cv-00549-S-DLM) Appeal of Magistrate Judge Decision to District Court filed by Transamerica Life Insurance Company, (99 in 1:09-cv-00473-S-DLM) Appeal of Magistrate Judge Decision to District Court filed by Western Reserve Life Assurance Co. of Ohio, (68 in 1:09-cv-00502-S-DLM) Appeal of Magistrate Judge Decision to District Court filed by Western Reserve Life Assurance Co. of Ohio. So Ordered by Judge William E. Smith on 2/16/11. (Jackson, Ryan) (Entered: 02/16/2011)
02/18/2011	<u>83</u>	CONSOLIDATION ORDER. So Ordered by Judge William E. Smith on 2/18/11. (Jackson, Ryan) (Entered: 02/18/2011)
02/18/2011		Cases associated: Create association to 1:09-cv-00470-S-DLM. (Jackson, Ryan) (Entered: 02/18/2011)
02/21/2011	<u>84</u>	STIPULATION <i>Regarding Plaintiffs' Responses to EPR's Interrogatories</i> by Estate Planning Resources, Inc., Western Reserve Life Assurance Co. of Ohio, Transamerica Life Insurance Company, Western Reserve Life

		Assuance Co. of Ohio. Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 02/21/2011)
02/22/2011	<u>85</u>	STIPULATION <i>regarding plaintiff's response to DK's discovery</i> by DK LLC, Western Reserve Life Assurance Co. of Ohio. Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 02/22/2011)
03/04/2011	<u>86</u>	TRANSCRIPT of Motion Hearing Proceedings held on January 7, 2011 before Judge David L. Martin. Court Reporter/Transcriber Maryann V. Young, Telephone number 508-384-2003. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER NOTICE TO COUNSEL: Redaction Requests must be filed for personal identifiers only. All other redactions must be requested by motion. Redaction Request due 3/25/2011. Redacted Transcript Deadline set for 4/4/2011. Release of Transcript Restriction set for 6/2/2011. Associated Cases: 1:09-cv-00470-S-DLM et al.(Young, Maryann) (Entered: 03/04/2011)
03/07/2011	<u>87</u>	STIPULATION by Estate Planning Resources, Inc., Western Reserve Life Assurance Co. of Ohio, Transamerica Life Insurance Company, Western Reserve Life Assuance Co. of Ohio. Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 03/07/2011)
03/07/2011	<u>88</u>	AMENDED COMPLAINT (<i>THIRD</i>) against Joseph A. Caramadre, Estate Planning Resources, Inc., Fortune Financial Services, Inc., Harrison Condit, Raymour Radhakrishnan, filed by Western Reserve Life Assurance Co. of Ohio. Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 03/07/2011)
03/07/2011	<u>89</u>	AMENDED COMPLAINT (<i>THIRD</i>) against Joseph Caramadre, Estate Planning Resources, Inc., Patrick Garvey, Lifemark Securities Corp., Edward Maggiacomo, Jr, Raymour Radhakrishnan, Estella Rodrigues, filed by Transamerica Life Insurance Company.(Daly, Michael) (Entered: 03/07/2011)
03/09/2011	<u>90</u>	STIPULATION re (58 in 1:09-cv-00564-S-DLM) Amended Complaint, (57 in 1:09-cv-00564-S-DLM) Amended Complaint, <i>Extension of Time to Respond</i> by Joseph Caramadre, DK LLC, Estate Planning Resources, Inc., Raymour Radhakrishnan, Western Reserve Life Assurance Co. of Ohio, Joseph A. Caramadre, Conreal LLC, Harrison Condit, Transamerica Life Insurance Company, Western Reserve Life Assuance Co. of Ohio, Estella Rodrigues. Associated Cases: 1:09-cv-00470-S-DLM et al.(Flanders, Robert) (Entered: 03/09/2011)
03/14/2011		TEXT ORDER ENTERING <u>90</u> in 1:09-cv-00471-S-DLM (59 in 1:09-cv-00564-S-DLM, 66 in 1:09-cv-00549-S-DLM, 114 in 1:09-cv-00473-S-DLM, 92 in 1:09-cv-00470-S-DLM, 92 in 1:09-cv-00472-S-DLM, 78 in 1:09-cv-00502-S-DLM) Stipulation, filed by Conreal LLC, Western Reserve Life Assuance Co. of Ohio, Western Reserve Life Assurance Co. of Ohio, DK LLC, Estella Rodrigues, Transamerica Life Insurance Company, Estate Planning Resources, Inc., Raymour Radhakrishnan, Harrison Condit, Joseph Caramadre, Joseph A. Caramadre. So Ordered by Judge William E Smith on 3/14/11. Associated

		Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 03/14/2011)
03/14/2011		Reset Deadlines: Joseph Caramadre answer due 4/6/2011; Estate Planning Resources, Inc. answer due 4/6/2011; Raymour Radhakrishnan answer due 4/6/2011; Joseph A. Caramadre answer due 4/6/2011; Harrison Condit answer due 4/6/2011; ADM Associates, LLC answer due 4/6/2011; Estella Rodrigues answer due 4/6/2011. Associated Cases: 1:09-cv-00470-S-DLM, 1:09-cv-00471-S-DLM, 1:09-cv-00472-S-DLM, 1:09-cv-00473-S-DLM, 1:09-cv-00502-S-DLM, 1:09-cv-00549-S-DLM, 1:09-cv-00564-S-DLM(Jackson, Ryan) (Entered: 03/14/2011)
03/17/2011	<u>91</u>	STIPULATION by Fortune Financial Services, Inc.. Associated Cases: 1:09-cv-00470-S-DLM et al.(Brenner, Jeffrey) (Entered: 03/17/2011)
03/24/2011	<u>92</u>	MOTION to Dismiss <i>the Newly Amended Complaints and Request for Reconsideration</i> WITH SUPPORTING MEMO by Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph A. Caramadre, Harrison Condit, ADM Associates, LLC, Estella Rodrigues. Responses due by 4/11/2011 (Attachments: # <u>1</u> Supporting Memorandum, # <u>2</u> Exhibit A, # <u>3</u> Exhibit B, # <u>4</u> Exhibit C)Associated Cases: 1:09-cv-00470-S-DLM et al.(Flanders, Robert) (Entered: 03/24/2011)
04/04/2011	<u>93</u>	MOTION to Dismiss <i>Third Amended Complaint</i> With Supporting Memo by DK LLC. Responses due by 4/21/2011 (Attachments: # <u>1</u> Supporting Memorandum)Associated Cases: 1:09-cv-00470-S-DLM et al.(Prentiss, R.) (Entered: 04/04/2011)
04/06/2011	<u>94</u>	MOTION to Dismiss <i>and Request for Consideration Or, in the Alternative, For a More Definite Statement</i> With Supporting Memo by Edward Hanrahan. Responses due by 4/25/2011 (Attachments: # <u>1</u> Exhibit Application, # <u>2</u> Exhibit Broker-Dealer Agreement)Associated Cases: 1:09-cv-00470-S-DLM et al.(MacFadyen, John) (Entered: 04/06/2011)
04/07/2011	<u>95</u>	Reply to Counterclaim of <i>Defendant The Leaders Group, Inc.</i> by Western Reserve Life Assurance Co. of Ohio. Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 04/07/2011)
04/08/2011	<u>96</u>	ANSWER to <u>89</u> Amended Complaint,, COUNTERCLAIM against Transamerica Life Insurance Company by Lifemark Securities Corp..(Cavanagh, Joseph) (Entered: 04/08/2011)
04/11/2011	<u>97</u>	STIPULATION by Joseph Caramadre, DK LLC, Estate Planning Resources, Inc., Raymour Radhakrishnan, Western Reserve Life Assurance Co. of Ohio, Joseph A. Caramadre, Harrison Condit, Transamerica Life Insurance Company, ADM Associates, LLC, Western Reserve Life Assurance Co. of Ohio, Estella Rodrigues. Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 04/11/2011)
04/13/2011		TEXT ORDER ENTERING (73 in 1:09-cv-00549-S-DLM, 124 in 1:09-cv-00473-S-DLM, 86 in 1:09-cv-00502-S-DLM, 66 in 1:09-cv-00564-S-DLM, 98 in 1:09-cv-00470-S-DLM, 100 in 1:09-cv-00472-S-DLM, 97 in 1:09-cv-00471-S-DLM) Stipulation, filed by Western Reserve Life Assurance Co. of Ohio, Western Reserve Life Assurance Co. of Ohio, DK LLC, Estella Rodrigues, Estate Planning

		Resources, Inc., Transamerica Life Insurance Company, ADM Associates, LLC, Raymour Radhakrishnan, Harrison Condit, Joseph Caramadre, Joseph A. Caramadre extending time for parties to respond to Motions to Dismiss. So Ordered by Judge William E. Smith on 4/13/11. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 04/13/2011)
04/13/2011		Reset Deadlines: Responses re: <u>94</u> MOTION to Dismiss the Newly Amended Complaints and Request for Reconsideration and <u>95</u> MOTION to Dismiss Third Amended Complaint due by 4/25/2011 Associated Cases: 1:09-cv-00470-S-DLM, 1:09-cv-00471-S-DLM, 1:09-cv-00472-S-DLM, 1:09-cv-00473-S-DLM, 1:09-cv-00502-S-DLM, 1:09-cv-00549-S-DLM, 1:09-cv-00564-S-DLM(Jackson, Ryan) (Entered: 04/13/2011)
04/18/2011	<u>98</u>	Reply to Counterclaim of <i>Lifemark Securities Corp.</i> by Transamerica Life Insurance Company. Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 04/18/2011)
04/18/2011	<u>99</u>	Reply to Counterclaim of <i>LifeMark Securities Corp.</i> by Transamerica Life Insurance Company. Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 04/18/2011)
04/18/2011	<u>100</u>	STIPULATION by Edward Maggiacomo, Jr., Transamerica Life Insurance Company, Edward Maggiacomo, Jr. Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 04/18/2011)
04/20/2011		TEXT ORDER Entering (76 in 1:09-cv-00549-S-DLM, 100 in 1:09-cv-00471-S-DLM, 101 in 1:09-cv-00470-S-DLM) Stipulation filed by Transamerica Life Insurance Company, Edward Maggiacomo, Jr. re: responses to Amended Complaints. So Ordered by Judge William E. Smith on 4/20/11. Associated Cases: 1:09-cv-00470-S-DLM, 1:09-cv-00471-S-DLM, 1:09-cv-00549-S-DLM(Jackson, Ryan) (Entered: 04/20/2011)
04/25/2011	<u>101</u>	RESPONSE in Opposition re (118 in 1:09-cv-00473-S-DLM, 95 in 1:09-cv-00472-S-DLM, 92 in 1:09-cv-00471-S-DLM, 94 in 1:09-cv-00470-S-DLM, 62 in 1:09-cv-00564-S-DLM, 68 in 1:09-cv-00549-S-DLM, 81 in 1:09-cv-00502-S-DLM) MOTION to Dismiss <i>the Newly Amended Complaints and Request for Reconsideration</i> , (96 in 1:09-cv-00470-S-DLM, 98 in 1:09-cv-00472-S-DLM, 84 in 1:09-cv-00502-S-DLM, 70 in 1:09-cv-00549-S-DLM, 94 in 1:09-cv-00471-S-DLM, 64 in 1:09-cv-00564-S-DLM, 122 in 1:09-cv-00473-S-DLM) MOTION to Dismiss <i>and Request for Consideration Or, in the Alternative, For a More Definite Statement</i> , (95 in 1:09-cv-00470-S-DLM, 93 in 1:09-cv-00471-S-DLM, 69 in 1:09-cv-00549-S-DLM, 121 in 1:09-cv-00473-S-DLM, 83 in 1:09-cv-00502-S-DLM, 97 in 1:09-cv-00472-S-DLM, 63 in 1:09-cv-00564-S-DLM) MOTION to Dismiss <i>Third Amended Complaint WITH SUPPORTING MEMO</i> filed by All Plaintiffs. Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 04/25/2011)
04/27/2011		Motion Forwarded to Chambers <u>94</u> (in 1:09-cv-00470-S-DLM) MOTION to Dismiss <i>the Newly Amended Complaints and Request for Reconsideration</i> , <u>96</u> (in 1:09-cv-00470-S-DLM) MOTION to Dismiss <i>and Request for</i>

		<p><i>Consideration Or, in the Alternative, For a More Definite Statement, <u>95</u></i> (in 1:09-cv-00470-S-DLM) MOTION to Dismiss <i>Third Amended Complaint</i> FORWARDED to Chambers of Judge William E. Smith. Associated Cases: 1:09-cv-00470-S-DLM, 1:09-cv-00471-S-DLM, 1:09-cv-00472-S-DLM, 1:09-cv-00473-S-DLM, 1:09-cv-00502-S-DLM, 1:09-cv-00549-S-DLM, 1:09-cv-00564-S-DLM(Jackson, Ryan) (Entered: 04/27/2011)</p>
04/28/2011	<u>102</u>	<p>STIPULATION re (70 in 1:09-cv-00564-S-DLM) Response in Opposition to Motion,, <i>Extending Time to May 19, 2011 for Stipulating Defendants to File a Reply Memorandum to Plaintiffs' Consolidated Objection to Defendants' Motions for Reconsideration, Dismissal and for a More Definitive Statement</i> by Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Western Reserve Life Assurance Co. of Ohio, Joseph A. Caramadre, Fortune Financial Services, Inc., Harrison Condit, Transamerica Life Insurance Company, ADM Associates, LLC, Western Reserve Life Assurance Co. of Ohio, Estella Rodrigues. Associated Cases: 1:09-cv-00470-S-DLM et al.(Parker, Matthew) (Entered: 04/28/2011)</p>
04/28/2011	<u>103</u>	<p>RESPONSE in Support re (121 in 1:09-cv-00473-S-DLM) MOTION to Dismiss <i>Third Amended Complaint</i> filed by DK LLC. Associated Cases: 1:09-cv-00470-S-DLM et al.(Prentiss, R.) (Entered: 04/28/2011)</p>
04/28/2011		<p>NOTICE of Hearing: In Chambers Conference <i>SCHEDULED for 5/19/2011 at 2:30 PM in Chambers</i> before Judge William E. Smith. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 04/28/2011)</p>
04/29/2011		<p>Reset Hearings re: Notice of In Chambers Conference <i>RE-SCHEDULED for 5/26/2011 at 3:30 PM in Chambers</i> before Judge William E. Smith. Associated Cases: 1:09-cv-00470-S-DLM, 1:09-cv-00471-S-DLM, 1:09-cv-00472-S-DLM, 1:09-cv-00473-S-DLM, 1:09-cv-00502-S-DLM, 1:09-cv-00549-S-DLM, 1:09-cv-00564-S-DLM(Jackson, Ryan) (Entered: 04/29/2011)</p>
04/29/2011	<u>104</u>	<p>STIPULATION by Edward Hanrahan. Associated Cases: 1:09-cv-00470-S-DLM et al.(MacFadyen, John) (Entered: 04/29/2011)</p>
04/29/2011		<p>TEXT ORDER Entering <u>103</u> (in 1:09-cv-00470-S-DLM) Stipulation filed by Fortune Financial Services, Inc., Western Reserve Life Assurance Co. of Ohio, Western Reserve Life Assurance Co. of Ohio, Estella Rodrigues, Estate Planning Resources, Inc., Transamerica Life Insurance Company, ADM Associates, LLC, Raymour Radhakrishnan, Harrison Condit, Joseph Caramadre, Joseph A. Caramadre extending Defendants reply memorandum filing deadline to 5/19/11. So Ordered by Judge William E. Smith on 4/29/11. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 04/29/2011)</p>
05/03/2011		<p>TEXT ORDER Entering <u>105</u> in 1:09-cv-00470-S-DLM Stipulation filed by Edward Hanrahan, Western Reserve Life Assurance Co. of Ohio, Transamerica Life Ins. Co., Eastate Planning Resources, Inc., Joseph A. Caramadre, Raymour Radhadkirshnan, Harrison Condit, Estela Rodrigues, ADM Associates, Edward Maggiacomo allowing Defendants up to and including 5/19/11 to file a reply memorandum re: Plaintiffs' Consolidated Objection to Defendants' Motions for Reconsideration, Dismissal and for a</p>

		More Definite Statement. So Ordered by Judge William E. Smith on 5/3/11. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 05/03/2011)
05/06/2011	<u>105</u>	NOTICE by Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph A. Caramadre, Harrison Condit, ADM Associates, LLC, Estella Rodrigues <i>Withdrawal of Appearance of Eric S. Giroux</i> Associated Cases: 1:09-cv-00470-S-DLM et al.(Giroux, Eric) (Entered: 05/06/2011)
05/18/2011	<u>106</u>	RESPONSE in Support re (118 in 1:09-cv-00473-S-DLM, 95 in 1:09-cv-00472-S-DLM, 92 in 1:09-cv-00471-S-DLM, 94 in 1:09-cv-00470-S-DLM, 62 in 1:09-cv-00564-S-DLM, 68 in 1:09-cv-00549-S-DLM, 81 in 1:09-cv-00502-S-DLM) MOTION to Dismiss <i>the Newly Amended Complaints and Request for Reconsideration Consolidated Reply Memorandum of Law in Further Support</i> filed by Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph A. Caramadre, Harrison Condit, ADM Associates, LLC, Estella Rodrigues. Associated Cases: 1:09-cv-00470-S-DLM et al.(Flanders, Robert) (Entered: 05/18/2011)
05/18/2011	<u>107</u>	RESPONSE in Support re (122 in 1:09-cv-00473-S -DLM) MOTION to Dismiss <i>and Request for Consideration Or, in the Alternative, For a More Definite Statement</i> filed by Edward Hanrahan. Associated Cases: 1:09-cv-00470-S -DLM et al.(MacFadyen, John) (Entered: 05/18/2011)
05/26/2011		Minute Entry for proceedings held before Judge William E Smith: In Chambers Conference held on 5/26/2011; counsel present: B. Magratten, M. Daly; R. Flanders, M. Parker; A. Traini; J. Brenner; T. MacFadyen; M. Dunn; J. Rosenquest; D. Prentiss Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 05/26/2011)
05/31/2011		NOTICE of Hearing on Motions: (<u>95</u> in 1:09-cv-00470-S-DLM) MOTION to Dismiss <i>Third Amended Complaint</i> ; (<u>94</u> in 1:09-cv-00470-S-DLM) MOTION to Dismiss <i>the Newly Amended Complaints and Request for Reconsideration</i> ; (<u>96</u> in 1:09-cv-00470-S-DLM) MOTION to Dismiss <i>and Request for Consideration Or, in the Alternative, For a More Definite Statement</i> : Motion Hearing <i>scheduled for 7/20/2011 at 9:30 AM in Courtroom 2</i> before Judge William E. Smith. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 05/31/2011)
05/31/2011		TEXT ORDER finding as moot (48) Motion to Stay in case 1:09-cv-00470-S-DLM; finding as moot (47) Motion to Stay in case 1:09-cv-00472-S-DLM; finding as moot (48) Motion to Stay in case 1:09-cv-00471-S-DLM; finding as moot (45) Motion to Stay in case 1:09-cv-00473-S-DLM; finding as moot (37) Motion to Stay in case 1:09-cv-00502-S-DLM; finding as moot (28) Motion to Stay in case 1:09-cv-00549-S-DLM; finding as moot (21) Motion to Stay in case 1:09-cv-00564-S-DLM. So Ordered by Judge William E. Smith on 5/31/11. Associated Cases: 1:09-cv-00470-S -DLM et al.(Jackson, Ryan) (Entered: 05/31/2011)
07/20/2011		Minute Entry for proceedings held before Judge William E Smith: Motion

		<p>Hearing held on 7/20/2011 re (118 in 1:09-cv-00473-S -DLM, 95 in 1:09-cv-00472-S -DLM, 92 in 1:09-cv-00471-S -DLM, 94 in 1:09-cv-00470-S -DLM, 62 in 1:09-cv-00564-S -DLM, 68 in 1:09-cv-00549-S -DLM, 81 in 1:09-cv-00502-S -DLM) MOTION to Dismiss <i>the Newly Amended Complaints and Request for Reconsideration</i> filed by Estella Rodrigues, Estate Planning Resources, Inc., ADM Associates, LLC, Raymour Radhakrishnan, Joseph Caramadre, Harrison Condit, Joseph A. Caramadre, (96 in 1:09-cv-00470-S -DLM, 98 in 1:09-cv-00472-S -DLM, 84 in 1:09-cv-00502-S -DLM, 70 in 1:09-cv-00549-S -DLM, 94 in 1:09-cv-00471-S -DLM, 64 in 1:09-cv-00564-S -DLM, 122 in 1:09-cv-00473-S -DLM) MOTION to Dismiss <i>and Request for Consideration Or, in the Alternative, For a More Definite Statement</i> filed by Edward Hanrahan, (95 in 1:09-cv-00470-S -DLM, 93 in 1:09-cv-00471-S -DLM, 69 in 1:09-cv-00549-S -DLM, 121 in 1:09-cv-00473-S -DLM, 83 in 1:09-cv-00502-S -DLM, 97 in 1:09-cv-00472-S -DLM, 63 in 1:09-cv-00564-S -DLM) MOTION to Dismiss <i>Third Amended Complaint</i> filed by DK LLC.(Magratten, Daly, Flanders, Traini, MacFayden, Prentiss, Sherman, Brenner, Parker, Dunn) Arguments heard on defendants motions to dismiss. Court takes matter under advisement and will issue a written ruling. Recess. (Court Reporter Anne Clayton in Courtroom 2 at 9:32 a.m.) Associated Cases: 1:09-cv-00470-S -DLM et al.(Urizandi, Nisshy) (Entered: 07/20/2011)</p>
08/10/2011		<p>NOTICE of Hearing: Status Conference <i>scheduled for 8/24/2011 at 3:00 PM in Chambers</i> before Judge William E. Smith (Associated Cases: 1:09-cv-00470-S -DLM et al.)(Jackson, Ryan) (Entered: 08/10/2011)</p>
08/11/2011	<u>108</u>	<p>NOTICE of Appearance by Raymond M. Ripple on behalf of The Leaders Group, Inc. Associated Cases: 1:09-cv-00470-S -DLM et al.(Ripple, Raymond) (Entered: 08/11/2011)</p>
08/11/2011	<u>109</u>	<p>NOTICE by The Leaders Group, Inc. <i>Withdrawal of Appearance by John B. Rosenquest III</i> Associated Cases: 1:09-cv-00470-S -DLM et al.(Rosenquest, John) (Entered: 08/11/2011)</p>
08/15/2011		<p>HEARING CANCELLED re: Status Conference previously scheduled for 8/24/2011 at 3:00 p.m. in Chambers before Judge William E. Smith is hereby CANCELLED. Associated Cases: 1:09-cv-00470-S -DLM et al.(Urizandi, Nisshy) (Entered: 08/15/2011)</p>
08/23/2011	<u>110</u>	<p>NOTICE by The Leaders Group, Inc. <i>Notice of Withdrawal of Appearance Pro Hac Vice of Douglas J. Friednash</i> Associated Cases: 1:09-cv-00470-S -DLM et al.(Sherman, Deming) (Entered: 08/23/2011)</p>
08/23/2011	<u>111</u>	<p>MOTION for David G. Palmer to Appear Pro Hac Vice by The Leaders Group, Inc.. Associated Cases: 1:09-cv-00470-S -DLM et al.(Sherman, Deming) (Entered: 08/23/2011)</p>
08/23/2011	<u>112</u>	<p>MOTION for Kelly M. Moore to Appear Pro Hac Vice by The Leaders Group, Inc.. Associated Cases: 1:09-cv-00470-S -DLM et al.(Sherman, Deming) (Entered: 08/23/2011)</p>
08/23/2011	<u>113</u>	<p>APPLICATION FOR ADMISSION PRO HAC VICE re <u>112</u> MOTION for David G. Palmer to Appear Pro Hac Vice by The Leaders Group, Inc. Associated Cases: 1:09-cv-00470-S -DLM et al.(Urizandi, Nisshy)</p>

		(Entered: 08/26/2011)
08/23/2011	<u>114</u>	APPLICATION FOR ADMISSION PRO HAC VICE re <u>113</u> MOTION for Kelly M. Moore to Appear Pro Hac Vice by The Leaders Group, Inc. Associated Cases: 1:09-cv-00470-S -DLM et al.(Urizandi, Nisshy) (Entered: 08/26/2011)
09/26/2011	<u>115</u>	TRANSCRIPT REQUEST for proceedings held on 07/20/2011 before Judge William E. Smith.. Associated Cases: 1:09-cv-00470-S -DLM et al.(Daly, Michael) (Entered: 09/26/2011)
09/26/2011	<u>116</u>	MOTION to Compel Defendant Estate Planning Resources to Respond to Interrogatories by Western Reserve Life Assurance Co. of Ohio, Transamerica Life Insurance Company, Western Reserve Life Assurance Co. of Ohio. Responses due by 10/13/2011 (Attachments: # <u>1</u> Exhibit Defendant Estate Planning Resources, Inc.'s Answer to Plaintiff's First Set of Interrogatories)Associated Cases: 1:09-cv-00470-S -DLM et al.(Magratten, Brooks) (Entered: 09/26/2011)
09/28/2011	<u>117</u>	NOTICE by Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph A. Caramadre, Harrison Condit, ADM Associates, LLC, Estella Rodrigues <i>Withdrawal of Appearance of Matthew H. Parker and Entry of Appearance of Adam M. Ramos</i> Associated Cases: 1:09-cv-00470-S -DLM et al.(Parker, Matthew) (Entered: 09/28/2011)
10/13/2011	<u>118</u>	RESPONSE in Opposition re (85 in 1:09-cv-00564-S-DLM) MOTION to Compel Defendant Estate Planning Resources to Respond to Interrogatories WITH SUPPORTING MEMO filed by Estate Planning Resources, Inc.. (Attachments: # <u>1</u> Supporting Memorandum, # <u>2</u> Exhibit A - Initial Case Management Order, # <u>3</u> Exhibit B - Answers to Interrogatories)Associated Cases: 1:09-cv-00470-S -DLM et al.(Flanders, Robert) (Entered: 10/13/2011)
10/14/2011		MOTIONS REFERRED: <u>117</u> (in 1:09-cv-00470-S-DLM) MOTION to Compel Defendant Estate Planning Resources to Respond to Interrogatories referred to Magistrate Judge David L. Martin for determination. Associated Cases: 1:09-cv-00470-S -DLM, 1:09-cv-00471-S -DLM, 1:09-cv-00472-S -DLM, 1:09-cv-00473-S -DLM, 1:09-cv-00502-S -DLM, 1:09-cv-00549-S-DLM, 1:09-cv-00564-S-DLM(Jackson, Ryan) (Entered: 10/14/2011)
10/17/2011		NOTICE of Hearing on Motion (117 in 1:09-cv-00470-S -DLM, 116 in 1:09-cv-00471-S -DLM, 119 in 1:09-cv-00472-S -DLM, 144 in 1:09-cv-00473-S -DLM, 105 in 1:09-cv-00502-S -DLM, 92 in 1:09-cv-00549-S-DLM, 85 in 1:09-cv-00564-S-DLM) MOTION to Compel Defendant Estate Planning Resources to Respond to Interrogatories : Motion Hearing set for <u>10/28/2011 10:00 AM</u> in Courtroom B before Magistrate Judge David L. Martin. (Saucier, Martha) (Entered: 10/17/2011)
10/24/2011	<u>119</u>	REPLY to Response to Motion re (87 in 1:09-cv-00564-S-DLM) Response in Opposition to Motion, filed by All Plaintiffs. (Attachments: # <u>1</u> Exhibit A - Transcript)Associated Cases: 1:09-cv-00470-S -DLM et al.(Daly, Michael) (Entered: 10/24/2011)

10/28/2011		Minute Entry for proceedings held before Magistrate Judge David L. Martin: Motion Hearing held on 10/28/2011 re (92 in 1:09-cv-00549-S-DLM, 105 in 1:09-cv-00502-S -DLM, 117 in 1:09-cv-00470-S -DLM, 119 in 1:09-cv-00472-S -DLM, 144 in 1:09-cv-00473-S -DLM, 85 in 1:09-cv-00564-S-DLM, 116 in 1:09-cv-00471-S -DLM) MOTION to Compel Defendant Estate Planning Resources to Respond to Interrogatories filed by Transamerica Life Insurance Company, Western Reserve Life Assuance Co. of Ohio, Western Reserve Life Assurance Co. of Ohio. (Daly, Ramos, Brenner, Prentiss, O'Brien, Sherman) Argument; Court takes matter under advisement (Courtroom B at 10:14 am.) (Noel, Jeannine) (Entered: 10/28/2011)
10/28/2011	<u>120</u>	TRANSCRIPT of Motions to Dismiss held on July 20, 2011, before Judge William E. Smith. Court Reporter Anne M. Clayton, Telephone number 401-255-2310. Transcript may be viewed at the court public terminal or purchased through the Court Reporter before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER NOTICE TO COUNSEL: Redaction Requests must be filed for personal identifiers only. All other redactions must be requested by motion. Redaction Request due 11/18/2011. Redacted Transcript Deadline set for 11/28/2011. Release of Transcript Restriction set for 1/26/2012. Associated Cases: 1:09-cv-00470-S -DLM et al.(Clayton, Anne) (Entered: 10/28/2011)
11/01/2011	<u>121</u>	ORDER GRANTING IN PART PLAINTIFFS' MOTION TO COMPEL DEFENDANT ESTATE PLANNING RESOURCES TO RESPOND TO INTERROGATORIES (117) Motion to Compel in case 1:09-cv-00470-S -DLM; (119) Motion to Compel in case 1:09-cv-00472-S -DLM; (116) Motion to Compel in case 1:09-cv-00471-S -DLM; (144) Motion to Compel in case 1:09-cv-00473-S -DLM; (105) Motion to Compel in case 1:09-cv-00502-S -DLM; (92) Motion to Compel in case 1:09-cv-00549-S-DLM; (85) Motion to Compel in case 1:09-cv-00564-S-DLM. So Ordered by Magistrate Judge David L. Martin on 11/1/2011. Associated Cases: 1:09-cv-00470-S -DLM et al.(Noel, Jeannine) (Entered: 11/01/2011)
11/22/2011	<u>122</u>	Emergency MOTION for an Extension of Time to Comply with Court Order and Answer Interrogatories by Estate Planning Resources, Inc.. Responses due by 12/9/2011 Associated Cases: 1:09-cv-00470-S -DLM et al.(Ramos, Adam) (Entered: 11/22/2011)
11/22/2011		MOTIONS REFERRED: <u>123</u> in 1:09-cv-00470-S-DLM Emergency MOTION for an Extension of Time to Comply with Court Order and Answer Interrogatories referred to Magistrate Judge David L. Martin for determination. Associated Cases: 1:09-cv-00470-S -DLM, 1:09-cv-00471-S -DLM, 1:09-cv-00472-S -DLM, 1:09-cv-00473-S -DLM, 1:09-cv-00502-S -DLM, 1:09-cv-00549-S-DLM, 1:09-cv-00564-S-DLM(Jackson, Ryan) (Entered: 11/22/2011)
11/22/2011		NOTICE of Hearing on Motion (123 in 1:09-cv-00470-S -DLM, 122 in 1:09-cv-00471-S -DLM, 125 in 1:09-cv-00472-S -DLM, 150 in 1:09-cv-00473-S -DLM, 111 in 1:09-cv-00502-S -DLM, 98 in 1:09-cv-00549-S-DLM, 91 in 1:09-cv-00564-S-DLM) Emergency

		MOTION for an Extension of Time to Comply with Court Order and Answer Interrogatories : <u>Motion Hearing set for 11/23/2011 02:00 PM</u> in Courtroom B before Magistrate Judge David L. Martin. Associated Cases: 1:09-cv-00470-S -DLM et al.(Saucier, Martha) (Entered: 11/22/2011)
11/23/2011		Minute Entry for proceedings held before Magistrate Judge David L. Martin: Motion Hearing held on 11/23/2011 re (91 in 1:09-cv-00564-S-DLM, 123 in 1:09-cv-00470-S -DLM, 125 in 1:09-cv-00472-S -DLM, 111 in 1:09-cv-00502-S -DLM, 98 in 1:09-cv-00549-S-DLM, 150 in 1:09-cv-00473-S -DLM, 122 in 1:09-cv-00471-S -DLM) Emergency MOTION for an Extension of Time to Comply with Court Order and Answer Interrogatories filed by Estate Planning Resources, Inc. Michael Daly for the plaintiff; Adam Ramos for defendant Estate Planning Resources; Jeffrey Brenner for defendant Fortune Financial Services, Inc. Plaintiff states objection to the motion; Defendant EPR responds to the objection; Court grants the motion; Mr. Ramos to prepare an order. (Courtroom B at 2:01.) Associated Cases: 1:09-cv-00470-S -DLM et al.(Saucier, Martha) (Entered: 11/23/2011)
11/28/2011	<u>123</u>	ORDER granting (123) Motion for Extension of Time in case 1:09-cv-00470-S -DLM; granting (125) Motion for Extension of Time in case 1:09-cv-00472-S -DLM; granting (122) Motion for Extension of Time in case 1:09-cv-00471-S -DLM; granting (150) Motion for Extension of Time in case 1:09-cv-00473-S -DLM; granting (111) Motion for Extension of Time in case 1:09-cv-00502-S -DLM; granting (98) Motion for Extension of Time in case 1:09-cv-00549-S-DLM; granting (91) Motion for Extension of Time in case 1:09-cv-00564-S-DLM. EPR shall have until 12/12/11 to answer interrogatories.. So Ordered by Magistrate Judge David L. Martin on 11/23/11. (Saucier, Martha) (Entered: 11/28/2011)
12/05/2011	<u>124</u>	Emergency MOTION to Stay , <i>in Part</i> with Supporting Memo by Joseph Caramadre, Raymour Radhakrishnan, Joseph A. Caramadre, ADM Associates, LLC, Estella Rodrigues. Responses due by 12/22/2011 (Attachments: # <u>1</u> Exhibit A)Associated Cases: 1:09-cv-00470-S -DLM et al.(Ramos, Adam) (Entered: 12/05/2011)
12/05/2011	<u>125</u>	Emergency MOTION to Appoint Custodian <i>Agent to Answer Interrogatories - Conditional</i> with Supporting Memo by Estate Planning Resources, Inc.. Responses due by 12/22/2011 (Attachments: # <u>1</u> Exhibit A - November 1, 2011 Order, # <u>2</u> Exhibit B - Ramos Declaration, # <u>3</u> Exhibit C - November 23, 2011 Order)Associated Cases: 1:09-cv-00470-S -DLM et al.(Ramos, Adam) (Entered: 12/05/2011)
12/05/2011	<u>126</u>	DECLARATION re (94 in 1:09-cv-00564-S-DLM) Emergency MOTION to Appoint Custodian <i>Agent to Answer Interrogatories - Conditional of Adam M. Ramos</i> by Estate Planning Resources, Inc.. Associated Cases: 1:09-cv-00470-S -DLM et al.(Ramos, Adam) (Entered: 12/05/2011)
12/05/2011		Motion Forwarded to Chambers <u>125</u> in 1:09-cv-00470-S-DLM Emergency MOTION to Stay , <i>in Part</i> , <u>126</u> in 1:09-cv-00470-S-DLM Emergency MOTION to Appoint Custodian <i>Agent to Answer Interrogatories - Conditional</i> FORWARDED to Chambers of Judge William E. Smith. Associated Cases: 1:09-cv-00470-S -DLM, 1:09-cv-00471-S -DLM, 1:09-cv-00472-S -DLM, 1:09-cv-00473-S -DLM, 1:09-cv-00502-S

			-DLM, 1:09-cv-00549-S-DLM, 1:09-cv-00564-S-DLM(Jackson, Ryan) (Entered: 12/05/2011)
12/05/2011	<u>127</u>		MOTION To Join Emergency Motion For Partial Stay re <u>124</u> Emergency MOTION to Stay , <i>in Part</i> by Edward Maggiacomo, Jr. Responses due by 12/22/2011 (Traini, Anthony) (Entered: 12/05/2011)
12/06/2011			NOTICE of Hearing: In Chambers Conference <i>scheduled for 12/9/2011 at 10:00 AM in Chambers</i> before Judge William E. Smith. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 12/06/2011)
12/06/2011	<u>128</u>		MOTION to Stay re (93 in 1:09-cv-00564-S-DLM) Emergency MOTION to Stay , <i>in Part</i> by Edward Hanrahan. Responses due by 12/23/2011 Associated Cases: 1:09-cv-00470-S -DLM et al.(MacFadyen, John) (Entered: 12/06/2011)
12/09/2011			Minute Entry for proceedings held before Judge William E Smith: In Chambers Conference held on 12/9/2011; counsel present: B. Magratten, M. Daly; A. Ramos; T. Traini; R. Ripple; J. Brenner; J. MacFadyen; D. Prentiss; O. Thompson; M. Lepizerra; J. Cavanagh; L. Vilker. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 12/12/2011)
12/12/2011			TEXT ORDER staying the deadline for Estate Planning Resources, Inc.'s answer to interrogatories until the Court decides <u>125</u> Emergency Motion to Stay in Part by Joseph Caramadre, Raymour Radhakrishnan, ADM Associates, LLC and Estella Rodrigues. So Ordered by Judge William E. Smith on 12/09/11. Associated Cases: 1:09-cv-00470-S -DLM et al.(Jackson, Ryan) (Entered: 12/12/2011)
12/30/2011	<u>129</u>		STIPULATION re (96 in 1:09-cv-00564-S-DLM) MOTION to Stay re (93 in 1:09-cv-00564-S-DLM) Emergency MOTION to Stay , <i>in Part</i> by All Parties. Associated Cases: 1:09-cv-00470-S -DLM et al.(Daly, Michael) (Entered: 12/30/2011)
01/05/2012			TEXT ORDER Entering <u>129</u> in 1:09-cv-00470-S-DLM (117 in 1:09-cv-00502-S -DLM, 156 in 1:09-cv-00473-S -DLM, 97 in 1:09-cv-00564-S-DLM, 131 in 1:09-cv-00472-S -DLM, 104 in 1:09-cv-00549-S-DLM, 129 in 1:09-cv-00471-S -DLM) Stipulation filed by Charles Buckman, Edward Maggiacomo, Jr., ADM Associates, LLC, Raymour Radhakrishnan, Harrison Condit, Lifemark Securities Corp., Joseph A. Caramadre, Fortune Financial Services, Inc., Jason Veveiros, Patrick Garvey, Natco Products Corp., Conreal LLC, Western Reserve Life Assuance Co. of Ohio, Anthony Pitocco, Western Reserve Life Assurance Co. of Ohio, Edward Hanrahan, DK LLC, Estella Rodrigues, Estate Planning Resources, Inc., Transamerica Life Insurance Company, The Leaders Group, Inc., Joseph Caramadre. So Ordered by Judge William E. Smith on 1/5/12. Associated Cases: 1:09-cv-00470-S -DLM et al.(Jackson, Ryan) (Entered: 01/05/2012)
01/05/2012			Reset Deadlines: Responses to Motions to Stay due by 1/6/2012 ; Associated Cases: 1:09-cv-00470-S -DLM, 1:09-cv-00471-S -DLM, 1:09-cv-00472-S -DLM, 1:09-cv-00473-S -DLM, 1:09-cv-00502-S -DLM, 1:09-cv-00549-S-DLM, 1:09-cv-00564-S-DLM(Jackson, Ryan) (Entered: 01/05/2012)

01/06/2012	<u>130</u>	RESPONSE in Opposition re (93 in 1:09-cv-00564-S-DLM) Emergency MOTION to Stay , <i>in Part</i> , (96 in 1:09-cv-00564-S-DLM) MOTION to Stay re (93 in 1:09-cv-00564-S-DLM) Emergency MOTION to Stay , <i>in Part</i> WITH SUPPORTING MEMO filed by All Plaintiffs. (Attachments: # <u>1</u> Exhibit A, # <u>2</u> Exhibit B) Associated Cases: 1:09-cv-00470-S -DLM et al.(Daly, Michael) (Entered: 01/06/2012)
01/11/2012		Motion Forwarded to Chambers <u>125</u> in 1:09-cv-00470-S-DLM Emergency MOTION to Stay , <i>in Part</i> , <u>126</u> in 1:09-cv-00470-S-DLM) Emergency MOTION to Appoint Custodian <i>Agent to Answer Interrogatories - Conditional</i> , <u>128</u> in 1:09-cv-00470-S-DLM MOTION to Stay, and 127 (in 1:09-cv-00471-S-DLM) MOTION To Join Emergency Motion For Partial Stay, FORWARDED to Chambers of Judge William E. Smith. Associated Cases: 1:09-cv-00470-S-DLM, 1:09-cv-00471-S-DLM, 1:09-cv-00472-S-DLM, 1:09-cv-00473-S-DLM, 1:09-cv-00502-S-DLM, 1:09-cv-00549-S-DLM, 1:09-cv-00564-S-DLM(Jackson, Ryan) (Entered: 01/11/2012)
01/17/2012	<u>131</u>	REPLY to Response to Motion re (105 in 1:09-cv-00549-S-DLM, 132 in 1:09-cv-00472-S-DLM, 118 in 1:09-cv-00502-S-DLM, 98 in 1:09-cv-00564-S-DLM, 130 in 1:09-cv-00471-S-DLM, 157 in 1:09-cv-00473-S-DLM, 130 in 1:09-cv-00470-S-DLM) Response in Opposition to Motion, filed by Fortune Financial Services, Inc.. Associated Cases: 1:09-cv-00470-S-DLM et al.(Brenner, Jeffrey) (Entered: 01/17/2012)
02/07/2012	<u>132</u>	OPINION AND ORDER granting in part and denying in part (60) Motion to Dismiss; granting in part and denying in part (62) Motion to Dismiss; granting in part and denying in part (94) Motion to Dismiss; granting (95) Motion to Dismiss; granting in part and denying in part (96) Motion to Dismiss in case 1:09-cv-00470-S-DLM; granting in part and denying in part (59) Motion to Dismiss; granting in part and denying in part (95) Motion to Dismiss; granting (97) Motion to Dismiss; granting in part and denying in part (98) Motion to Dismiss in case 1:09-cv-00472-S-DLM; granting in part and denying in part (61) Motion to Dismiss; granting in part and denying in part (62) Motion to Dismiss; granting in part and denying in part (92) Motion to Dismiss; granting (93) Motion to Dismiss; granting in part and denying in part (94) Motion to Dismiss in case 1:09-cv-00471-S-DLM; finding as moot (61) Motion for Judgment on the Pleadings; granting in part and denying in part (65) Motion to Dismiss; finding as moot (67) Motion to Dismiss; granting in part and denying in part (118) Motion to Dismiss; granting (121) Motion to Dismiss; granting in part and denying in part (122) Motion to Dismiss in case 1:09-cv-00473-S-DLM; granting in part and denying in part (45) Motion to Dismiss; granting in part and denying in part (81) Motion to Dismiss; granting (83) Motion to Dismiss; granting in part and denying in part (84) Motion to Dismiss in case 1:09-cv-00502-S-DLM; granting in part and denying in part (37) Motion to Dismiss; granting in part and denying in part (38) Motion to Dismiss; granting in part and denying in part (68) Motion to Dismiss; granting (69) Motion to Dismiss; granting in part and denying in part (70) Motion to Dismiss in case 1:09-cv-00549-S-DLM; granting in part and denying in part (29) Motion to Dismiss; granting in part and denying in part (30) Motion to Dismiss; granting in part and denying in part (62) Motion to Dismiss;

		granting (63) Motion to Dismiss; granting in part and denying in part (64) Motion to Dismiss in case 1:09-cv-00564-S-DLM. So Ordered by Judge William E. Smith on 2/7/12. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 02/07/2012)
02/07/2012		NOTICE of Hearing: Status Conference <i>scheduled for 2/22/2012 at 9:30 AM in Chambers</i> before Judge William E. Smith. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 02/07/2012)
02/17/2012		Reset Hearing re: Status Conference <i>RE-SCHEDULED for 2/22/2012 at 9:00 AM in Chambers</i> before Judge William E. Smith. Associated Cases: 1:09-cv-00470-S-DLM, 1:09-cv-00471-S-DLM, 1:09-cv-00472-S-DLM, 1:09-cv-00473-S-DLM, 1:09-cv-00502-S-DLM, 1:09-cv-00549-S-DLM, 1:09-cv-00564-S-DLM(Jackson, Ryan) (Entered: 02/17/2012)
02/17/2012	<u>133</u>	STIPULATION <i>Extending time for all Defendants to file Answers to Remaining Counts of Complaints</i> by Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph A. Caramadre, Harrison Condit. Associated Cases: 1:09-cv-00470-S-DLM et al.(Ramos, Adam) (Entered: 02/17/2012)
02/22/2012		Minute Entry for proceedings held before Judge William E Smith: Status Conference held on 2/22/2012; counsel present: B. Magratten, M. Daly; R. Flanders, A. Ramos; R. Ripple; A. Traini; J. Brenner; J. MacFadyen; D. Prentiss; M. Dunn; M. Lepizerra; J. McAdams. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 02/22/2012)
02/22/2012		TEXT ORDER finding as moot (50) Motion for Final Judgment; finding as moot (66) Motion to Withdraw as Attorney in case 1:09-cv-00470-S-DLM; finding as moot (50) Motion for Final Judgment; finding as moot (68) Motion to Withdraw as Attorney in case 1:09-cv-00472-S-DLM; finding as moot (51) Motion for Final Judgment; finding as moot (66) Motion to Withdraw as Attorney in case 1:09-cv-00471-S-DLM; finding as moot (48) Motion for Final Judgment; finding as moot (78) Motion to Withdraw as Attorney in case 1:09-cv-00473-S-DLM; finding as moot (54) Motion to Withdraw as Attorney in case 1:09-cv-00502-S-DLM; finding as moot (42) Motion to Withdraw as Attorney in case 1:09-cv-00549-S-DLM; finding as moot (34) Motion to Withdraw as Attorney in case 1:09-cv-00564-S-DLM. So Ordered by Judge William E. Smith on 2/22/12. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 02/22/2012)
02/28/2012		TEXT ORDER granting (111) Motion to Appear Pro Hac Vice of David G. Palmer; granting (112) Motion to Appear Pro Hac Vice of Kelly M. Moore in case 1:09-cv-00471-S-DLM, 1:09-cv-00549-S-DLM, 1:09-cv-00564-S-DLM. So Ordered by Judge William E. Smith on 2/28/12. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 02/28/2012)
03/02/2012	<u>134</u>	STAY ORDER granting (125) Motion to Stay; granting (128) Motion to Stay in case 1:09-cv-00470-S-DLM; granting (127) Motion to Stay; granting (130) Motion to Stay in case 1:09-cv-00472-S-DLM; granting (124) Motion to Stay; granting (128) Motion to Stay in case 1:09-cv-00471-S-DLM; granting (152) Motion to Stay; granting (155)

		Motion to Stay in case 1:09-cv-00473-S-DLM; granting (113) Motion to Stay; granting (116) Motion to Stay in case 1:09-cv-00502-S-DLM; granting (100) Motion to Stay; granting (103) Motion to Stay in case 1:09-cv-00549-S-DLM; granting (93) Motion to Stay; granting (96) Motion to Stay in case 1:09-cv-00564-S-DLM. So Ordered by Judge William E. Smith on 3/2/12. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 03/02/2012)
03/19/2012	<u>135</u>	MOTION for Final Judgment <i>Pursuant to Rule 54(b)</i> with Supporting Memo by Joseph A. Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan. Responses due by 4/5/2012 Associated Cases: 1:09-cv-00470-S-DLM et al.(Ramos, Adam) (Entered: 03/19/2012)
03/19/2012	<u>136</u>	MOTION for Final Judgment <i>Pursuant to Rule 54(b)</i> with Supporting Memo by Estella Rodrigues. Responses due by 4/5/2012 (Ramos, Adam) (Entered: 03/19/2012)
03/22/2012	<u>137</u>	MOTION for Reconsideration re (121 in 1:09-cv-00471-S-DLM, 124 in 1:09-cv-00472-S-DLM, 149 in 1:09-cv-00473-S-DLM, 122 in 1:09-cv-00470-S-DLM, 110 in 1:09-cv-00502-S-DLM, 90 in 1:09-cv-00564-S-DLM, 97 in 1:09-cv-00549-S-DLM) Order on Motion to Compel,, with Supporting Memo by Estate Planning Resources, Inc.. Responses due by 4/9/2012 (Attachments: # <u>1</u> Exhibit A – EPR Opposition to Motion to Compel, # <u>2</u> Exhibit B – EPR Motion to Appoint Agent, # <u>3</u> Exhibit C – Ramos Declaration in Support of Motion to Appoint Agent, # <u>4</u> Exhibit D – Stay Order)Associated Cases: 1:09-cv-00470-S-DLM et al.(Ramos, Adam) (Entered: 03/22/2012)
04/05/2012	<u>138</u>	RESPONSE in Opposition re (136 in 1:09-cv-00471-S-DLM) MOTION for Final Judgment <i>Pursuant to Rule 54(b)</i> , (162 in 1:09-cv-00473-S-DLM) MOTION for Final Judgment <i>Motion of DK, LLC for Entry of Final Judgment</i> , (138 in 1:09-cv-00472-S-DLM) MOTION for Final Judgment <i>Pursuant to Rule 54(b)</i> , (135 in 1:09-cv-00470-S-DLM) MOTION for Final Judgment <i>Pursuant to Rule 54(b)</i> With Supporting Memorandum filed by Western Reserve Life Assurance Co. of Ohio, Transamerica Life Insurance Company. Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 04/05/2012)
04/06/2012		Motion Forwarded to Chambers (138 in 1:09-cv-00472-S-DLM) MOTION for Final Judgment <i>Pursuant to Rule 54(b)</i> , (135 in 1:09-cv-00470-S-DLM, 135 in 1:09-cv-00471-S-DLM, 137 in 1:09-cv-00472-S-DLM) MOTION for Final Judgment <i>Pursuant to Rule 54(b)</i> , (136 in 1:09-cv-00471-S-DLM) MOTION for Final Judgment <i>Pursuant to Rule 54(b)</i> FORWARDED to Chambers of Judge William E. Smith. Associated Cases: 1:09-cv-00470-S-DLM, 1:09-cv-00471-S-DLM, 1:09-cv-00472-S-DLM(Jackson, Ryan) (Entered: 04/06/2012)
04/09/2012	<u>139</u>	STIPULATION re (136 in 1:09-cv-00470-S-DLM) MOTION for Reconsideration re (121 in 1:09-cv-00471-S-DLM, 124 in 1:09-cv-00472-S-DLM, 149 in 1:09-cv-00473-S-DLM, 122 in 1:09-cv-00470-S-DLM, 110 in 1:09-cv-00502-S-DLM, 90 in 1:09-cv-00564-S-DLM, 97 in 1:09-cv-00549-S-DLM) Order on Motion to Compe by Western Reserve Life Assurance Co. of Ohio, Estate Planning

		Resources, Inc., Transamerica Life Insurance Company, Western Reserve Life Assurance Co. of Ohio. Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 04/09/2012)
04/10/2012	<u>140</u>	RESPONSE in Opposition re (111 in 1:09-cv-00549-S-DLM, 139 in 1:09-cv-00472-S-DLM, 137 in 1:09-cv-00471-S-DLM, 124 in 1:09-cv-00502-S-DLM, 136 in 1:09-cv-00470-S-DLM, 165 in 1:09-cv-00473-S-DLM, 104 in 1:09-cv-00564-S-DLM) MOTION for Reconsideration re (121 in 1:09-cv-00471-S-DLM, 124 in 1:09-cv-00472-S-DLM, 149 in 1:09-cv-00473-S-DLM, 122 in 1:09-cv-00470-S-DLM, 110 in 1:09-cv-00502-S-DLM, 90 in 1:09-cv-00564-S-DLM, 97 in 1:09-cv-00549-S-DLM) Order on Motion to Compe WITH SUPPORTING MEMO filed by All Plaintiffs. (Attachments: # <u>1</u> Exhibit A – Discovery Order, # <u>2</u> Exhibit B – Email, # <u>3</u> Exhibit C – Motion to Compel)Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 04/10/2012)
04/11/2012		TEXT ORDER Entering (138 in 1:09-cv-00470-S-DLM) Stipulation,, filed by Transamerica Life Insurance Company, Estate Planning Resources, Inc., Western Reserve Life Assurance Co. of Ohio, Western Reserve Life Assurance Co. of Ohio : Plaintiffs may have until 4/13/12 to Respond to Defendant's Motion for Reconsideration. So Ordered by Judge William E. Smith on 4/11/12. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 04/11/2012)
04/18/2012	<u>141</u>	MOTION for Entry of Judgment under Rule 54(b) (<i>Separate Final</i>) With Supporting Memo by Fortune Financial Services, Inc.. Responses due by 5/7/2012 Associated Cases: 1:09-cv-00470-S-DLM et al.(Brenner, Jeffrey) (Entered: 04/18/2012)
04/19/2012		Motion Forwarded to Chambers (137 in 1:09-cv-00471-S-DLM, 139 in 1:09-cv-00472-S-DLM, 124 in 1:09-cv-00502-S-DLM, 111 in 1:09-cv-00549-S-DLM, 136 in 1:09-cv-00470-S-DLM, 104 in 1:09-cv-00564-S-DLM, 165 in 1:09-cv-00473-S-DLM) MOTION for Reconsideration re (121 in 1:09-cv-00471-S-DLM, 124 in 1:09-cv-00472-S-DLM, 149 in 1:09-cv-00473-S-DLM, 122 in 1:09-cv-00470-S-DLM, 110 in 1:09-cv-00502-S-DLM, 90 in 1:09-cv-00564-S-DLM, 97 in 1:09-cv-00549-S-DLM) Order FORWARDED to Chambers of Judge William E. Smith. Associated Cases: 1:09-cv-00470-S-DLM, 1:09-cv-00471-S-DLM, 1:09-cv-00472-S-DLM, 1:09-cv-00473-S-DLM, 1:09-cv-00502-S-DLM, 1:09-cv-00549-S-DLM, 1:09-cv-00564-S-DLM(Jackson, Ryan) (Entered: 04/19/2012)
05/01/2012	<u>142</u>	MOTION to Amend/Correct WITH SUPPORTING MEMO by Western Reserve Life Assurance Co. of Ohio. Responses due by 5/18/2012 (Attachments: # <u>1</u> Exhibit A – proposed complaint (470), # <u>2</u> Exhibit B – proposed complaint (473))Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 05/01/2012)
05/08/2012	<u>143</u>	RESPONSE in Opposition re (143 in 1:09-cv-00472-S-DLM, 141 in 1:09-cv-00471-S-DLM, 128 in 1:09-cv-00502-S-DLM, 115 in 1:09-cv-00549-S-DLM, 169 in 1:09-cv-00473-S-DLM, 140 in 1:09-cv-00470-S-DLM, 108 in 1:09-cv-00564-S-DLM) MOTION for

		Entry of Judgment under Rule 54(b) (<i>Separate Final</i>) WITH SUPPORTING MEMO filed by Western Reserve Life Assurance Co. of Ohio, Western Reserve Life Assurance Co. of Ohio. Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 05/08/2012)
05/16/2012	<u>144</u>	STIPULATION re (141 in 1:09-cv-00470-S-DLM) MOTION to Amend/Correct <i>extending time to answer or otherwise respond up to and including May 25, 2012</i> by Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph A. Caramadre. Associated Cases: 1:09-cv-00470-S-DLM et al.(Ramos, Adam) (Entered: 05/16/2012)
05/24/2012	<u>145</u>	NOTICE by The Leaders Group, Inc. <i>Notice of Withdrawal of Appearance Pro Hac Vice of Kelly M. Moore</i> Associated Cases: 1:09-cv-00470-S-DLM et al.(Sherman, Deming) (Entered: 05/24/2012)
05/25/2012	<u>146</u>	RESPONSE in Opposition re (109 in 1:09-cv-00564-S-DLM) MOTION to Amend/Correct with Supporting Memo filed by Joseph Caramadre, Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph A. Caramadre, Harrison Condit. Associated Cases: 1:09-cv-00470-S-DLM et al.(Ramos, Adam) (Entered: 05/25/2012)
05/29/2012	<u>147</u>	RESPONSE in Opposition re (109 in 1:09-cv-00564-S-DLM) MOTION to Amend/Correct filed by Edward Hanrahan. Associated Cases: 1:09-cv-00470-S-DLM et al.(MacFadyen, John) (Entered: 05/29/2012)
05/29/2012		TEXT ORDER Entering (143 in 1:09-cv-00470-S-DLM) Stipulation, filed by Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph Caramadre, Joseph A. Caramadre. So Ordered by Judge William E. Smith on 5/29/12. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 05/29/2012)
05/29/2012		Motion Forwarded to Chambers (144 in 1:09-cv-00472-S-DLM, 109 in 1:09-cv-00564-S-DLM, 116 in 1:09-cv-00549-S-DLM, 129 in 1:09-cv-00502-S-DLM, 170 in 1:09-cv-00473-S-DLM, 142 in 1:09-cv-00471-S-DLM, 141 in 1:09-cv-00470-S-DLM) MOTION to Amend/Correct FORWARDED to Chambers of Judge William E. Smith. Associated Cases: 1:09-cv-00470-S-DLM, 1:09-cv-00471-S-DLM, 1:09-cv-00472-S-DLM, 1:09-cv-00473-S-DLM, 1:09-cv-00502-S-DLM, 1:09-cv-00549-S-DLM, 1:09-cv-00564-S-DLM(Jackson, Ryan) (Entered: 05/29/2012)
06/04/2012	<u>148</u>	RESPONSE in Support re (141 in 1:09-cv-00470-S-DLM, 170 in 1:09-cv-00473-S-DLM) MOTION to Amend/Correct <i>Complaints</i> filed by Western Reserve Life Assurance Co. of Ohio. (Attachments: # <u>1</u> Exhibit Proposed Stay Orders)Associated Cases: 1:09-cv-00470-S-DLM et al.(Daly, Michael) (Entered: 06/04/2012)
06/14/2012		NOTICE of Hearing on Motions: (140 in 1:09-cv-00470-S-DLM, 141 in 1:09-cv-00471-S-DLM, 143 in 1:09-cv-00472-S-DLM, 169 in 1:09-cv-00473-S-DLM, 128 in 1:09-cv-00502-S-DLM, 115 in 1:09-cv-00549-S-DLM, 108 in 1:09-cv-00564-S-DLM) MOTION for Entry of Judgment under Rule 54(b) (<i>Separate Final</i>), (136 in 1:09-cv-00470-S-DLM, 137 in 1:09-cv-00471-S-DLM, 139 in 1:09-cv-00472-S-DLM, 165 in 1:09-cv-00473-S-DLM, 124 in 1:09-cv-00502-S-DLM, 111 in 1:09-cv-00549-S-DLM, 104 in

		<p>1:09-cv-00564-S-DLM) MOTION for Reconsideration re (121 in 1:09-cv-00471-S-DLM, 124 in 1:09-cv-00472-S-DLM, 149 in 1:09-cv-00473-S-DLM, 122 in 1:09-cv-00470-S-DLM, 110 in 1:09-cv-00502-S-DLM, 90 in 1:09-cv-00564-S-DLM, 97 in 1:09-cv-00549-S-DLM) Order on Motion to Compe, (135 in 1:09-cv-00470-S-DLM, 135 in 1:09-cv-00471-S-DLM, 137 in 1:09-cv-00472-S-DLM, 163 in 1:09-cv-00473-S-DLM, 123 in 1:09-cv-00502-S-DLM, 110 in 1:09-cv-00549-S-DLM, 103 in 1:09-cv-00564-S-DLM) MOTION for Final Judgment <i>Pursuant to Rule 54(b)</i>, (141 in 1:09-cv-00470-S-DLM, 142 in 1:09-cv-00471-S-DLM, 144 in 1:09-cv-00472-S-DLM, 170 in 1:09-cv-00473-S-DLM, 129 in 1:09-cv-00502-S-DLM, 116 in 1:09-cv-00549-S-DLM, 109 in 1:09-cv-00564-S-DLM) MOTION to Amend/Correct , (136 in 1:09-cv-00471-S-DLM) MOTION for Final Judgment <i>Pursuant to Rule 54(b)</i>, (138 in 1:09-cv-00472-S-DLM) MOTION for Final Judgment <i>Pursuant to Rule 54(b)</i>, (162 in 1:09-cv-00473-S-DLM) MOTION for Final Judgment <i>Motion of DK, LLC for Entry of Final Judgment : Motion Hearing scheduled for 7/18/2012 at 2:00 PM in Courtroom 2 before Judge William E Smith.</i> Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 06/14/2012)</p>
07/18/2012		<p>TEXT ORDER granting (136) Motion for Reconsideration ; denying (140) Motion for Entry of Judgment under Rule 54(b) in case 1:09-cv-00470-S-DLM; granting (138) Motion for Final Judgment; granting (139) Motion for Reconsideration ; denying (143) Motion for Entry of Judgment under Rule 54(b) in case 1:09-cv-00472-S-DLM; granting (136) Motion for Final Judgment; granting (137) Motion for Reconsideration ; denying (141) Motion for Entry of Judgment under Rule 54(b) in case 1:09-cv-00471-S-DLM; granting (162) Motion for Final Judgment; granting (165) Motion for Reconsideration ; denying (169) Motion for Entry of Judgment under Rule 54(b) in case 1:09-cv-00473-S-DLM; granting (124) Motion for Reconsideration ; denying (128) Motion for Entry of Judgment under Rule 54(b) in case 1:09-cv-00502-S-DLM; granting (111) Motion for Reconsideration ; denying (115) Motion for Entry of Judgment under Rule 54(b) in case 1:09-cv-00549-S-DLM; granting (104) Motion for Reconsideration ; denying (108) Motion for Entry of Judgment under Rule 54(b) in case 1:09-cv-00564-S-DLM. So Ordered by Judge William E. Smith on 7/18/2012. Associated Cases: 1:09-cv-00470-S-DLM et al.(Urizandi, Nisshy) (Entered: 07/20/2012)</p>
07/20/2012		<p>Minute Entry for proceedings held before Judge William E. Smith: Motion Hearing held on 7/18/2012 re (163 in 1:09-cv-00473-S-DLM, 110 in 1:09-cv-00549-S-DLM, 103 in 1:09-cv-00564-S-DLM, 137 in 1:09-cv-00472-S-DLM, 123 in 1:09-cv-00502-S-DLM, 135 in 1:09-cv-00470-S-DLM, 135 in 1:09-cv-00471-S-DLM) MOTION for Final Judgment <i>Pursuant to Rule 54(b)</i> filed by Estate Planning Resources, Inc., Raymour Radhakrishnan, Joseph A. Caramadre, (137 in 1:09-cv-00471-S-DLM, 124 in 1:09-cv-00502-S-DLM, 111 in 1:09-cv-00549-S-DLM, 136 in 1:09-cv-00470-S-DLM, 165 in 1:09-cv-00473-S-DLM, 139 in 1:09-cv-00472-S-DLM, 104 in 1:09-cv-00564-S-DLM) MOTION for Reconsideration re (121 in 1:09-cv-00471-S-DLM, 124 in 1:09-cv-00472-S-DLM, 149 in</p>

		<p>1:09-cv-00473-S-DLM, 122 in 1:09-cv-00470-S-DLM, 110 in 1:09-cv-00502-S-DLM, 90 in 1:09-cv-00564-S-DLM, 97 in 1:09-cv-00549-S-DLM) Order on Motion to Compe filed by Estate Planning Resources, Inc., (144 in 1:09-cv-00472-S-DLM, 109 in 1:09-cv-00564-S-DLM, 141 in 1:09-cv-00470-S-DLM, 116 in 1:09-cv-00549-S-DLM, 129 in 1:09-cv-00502-S-DLM, 170 in 1:09-cv-00473-S-DLM, 142 in 1:09-cv-00471-S-DLM) MOTION to Amend/Correct filed by Western Reserve Life Assurance Co. of Ohio, (143 in 1:09-cv-00472-S-DLM, 141 in 1:09-cv-00471-S-DLM, 128 in 1:09-cv-00502-S-DLM, 115 in 1:09-cv-00549-S-DLM, 169 in 1:09-cv-00473-S-DLM, 140 in 1:09-cv-00470-S-DLM, 108 in 1:09-cv-00564-S-DLM) MOTION for Entry of Judgment under Rule 54(b) (<i>Separate Final</i>) filed by Fortune Financial Services, Inc., (136 in 1:09-cv-00471-S-DLM) MOTION for Final Judgment <i>Pursuant to Rule 54(b)</i> filed by Estella Rodrigues, (138 in 1:09-cv-00472-S-DLM) MOTION for Final Judgment <i>Pursuant to Rule 54(b)</i> filed by ADM Associates, LLC.(Daly, Ramos, Prentiss, Brenner, MacFadyen) Court addresses. Arguments heard on motion to amend/correct the complaint (filed by plaintiffs in CA 09-470 and CA 09-473; ECF #141). Court questions. Each side responds. Court allows Caramadre, Radhakrishnan, and EPR to file supplemental briefing on the matter and will issue an order after it considers such briefing. The ruling on this motion will affect the ruling on defts' motion for entry of final judgment pursuant to Rule 54(b) as to Caramadre, Radhakrishnan, and EPR (filed in CA 09-470; ECF #135), and therefore this matter is also taken under advisement. Next, Court hears argument on defts motion for reconsideration (filed by defendant EPR in all related cases; ECF #136). Court questions. Each side responds. Court grants motion. Finally, Court hears argument on the individual motions for entry of final judgment pursuant to Rule 54(b) as to defendants: Estella Rodrigues, DK LLC, ADM Associates, and Fortune Financial Services. Court grants motion as to Estella Rodrigues (filed in CA 09-471; ECF #136), DK LLC (filed in CA 09-473; ECF #162), and ADM Associates (filed in CA 09-472; ECF #138). Court denies motion as to Fortune Financial Services (filed in 09-470; ECF #140; CA 09-564; ECF #108, and CA 09-472; ECF #143). Recess. (Court Reporter Anne Clayton in Courtroom 2 at 2:10 p.m.) Associated Cases: 1:09-cv-00470-S-DLM et al.(Urizandi, Nisshy) (Entered: 07/20/2012)</p>
07/27/2012		<p>TEXT ORDER: Counsel for Defendants Caramadre, Radhakrishnan, and EPR has contacted the Court to indicate that they do not wish to file further briefing in response to Plaintiffs Motion to Amend Complaints. Accordingly, based on the arguments set forth by the parties in their briefing and at oral argument, the Court hereby DENIES the Motion for Entry of Final Judgment Pursuant to Rule 54(b) filed by Defendants Caramadre, Radhakrishnan, and EPR (filed in C.A. No. 09-470, ECF No. 135) and GRANTS Plaintiffs Motion to Amend Complaints (filed in C.A. Nos. 09-470 and 09-473, ECF No. 141); TEXT ORDER denying (135) Motion for Final Judgment; granting (141) Motion to Amend/Correct in case 1:09-cv-00470-S-DLM; denying (137) Motion for Final Judgment; granting (144) Motion to Amend/Correct in case 1:09-cv-00472-S-DLM; denying (135) Motion for Final Judgment; granting (142) Motion to Amend/Correct in case 1:09-cv-00471-S-DLM; denying (163) Motion for Final Judgment; granting (170) Motion to Amend/Correct in case 1:09-cv-00473-S-DLM; denying (123) Motion for</p>

			Final Judgment; granting (129) Motion to Amend/Correct in case 1:09-cv-00502-S-DLM; denying (110) Motion for Final Judgment; granting (116) Motion to Amend/Correct in case 1:09-cv-00549-S-DLM; denying (103) Motion for Final Judgment; granting (109) Motion to Amend/Correct in case 1:09-cv-00564-S-DLM. So Ordered by Judge William E. Smith on 7/27/12. Associated Cases: 1:09-cv-00470-S-DLM et al.(Jackson, Ryan) (Entered: 07/27/2012)
08/02/2012	<u>149</u>	47	JUDGMENT in favor of Estella Rodrigues against Transamerica Life Insurance Company. So Ordered by Deputy Clerk: Ryan H. Jackson on 8/2/12. (Jackson, Ryan) (Entered: 08/02/2012)
08/30/2012	<u>150</u>	45	NOTICE OF APPEAL as to <u>149</u> Judgment by Transamerica Life Insurance Company. NOTICE TO COUNSEL: Counsel should register for a First Circuit CM/ECF Appellate Filer Account at http://pacer.psc.uscourts.gov/cmecf/. Counsel should also review the First Circuit requirements for electronic filing by visiting the CM/ECF Information section at http://www.ca1.uscourts.gov/efiling.htm Appeal Record due by 10/1/2012. (Daly, Michael) (Entered: 08/30/2012)
08/30/2012	<u>151</u>		USCA Appeal Fees received \$ 455 receipt number 14670008856 re <u>150</u> Notice of Appeal, filed by Transamerica Life Insurance Company. (McGuire, Vickie) (Entered: 08/31/2012)
10/03/2012			Case Reassigned to Magistrate Judge Patricia A. Sullivan. Magistrate Judge David L. Martin no longer assigned to the case. (Farrell Pletcher, Paula) (Entered: 10/03/2012)
10/05/2012	<u>152</u>	41	APPEAL COVER SHEET Re: <u>150</u> Notice of Appeal,, filed by Transamerica Life Insurance Company (Urizandi, Nisshy) (Entered: 10/05/2012)
10/05/2012	<u>153</u>	43	CLERK'S CERTIFICATE RE: Record on Appeal re <u>150</u> Notice of Appeal,, (Urizandi, Nisshy) (Entered: 10/05/2012)

UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF RHODE ISLAND

APPEAL COVER SHEET

1. Case Number: **CA 09-471S**
2. Case Title: **Transamerica Life Ins. Co. v. Caramadre, et al.**
3. Name and Address of Counsel for Appellant(s):
Brooks R. Magratten, Esq.
Michael J. Daly, Esq.
David E. Barry, Esq. (Pro Hac Vice)
Pierce Atwood LLP
10 Weybosset Street, Ste 400
Providence, RI 02903
4. Name & Address of Counsel for Appellee(s):
Robert G. Flanders, Jr., Esq.
Adam M. Ramos, Esq.
Hinckley, Allen, & Snyder LLP
50 Kennedy Plaza, Ste 1500
Providence, RI 02903
5. Name of Judge: **William E. Smith**
6. Court-Appointed Counsel: Yes No
7. Fee Paid: Yes No
8. In Forma Pauperis: Yes No
9. Guidelines Case: Yes No
10. Related Case on Appeal: Yes No
If yes, list the CCA#(s) and date of last Notice of Appeal filed:

11. Special Comments: Abbreviated Record on Appeal

UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF RHODE ISLAND

DAVID A. DIMARZIO
CLERK OF COURT

October 5, 2012

Margaret Carter
Clerk of Court
United States Court of Appeals
John Joseph Moakley U.S. Courthouse
1 Courthouse Way, Suite 2500
Boston, MA 02210

RE: **Transamerica Life Ins. Co. v. Caramadre, et al.**
CA 09-471

Dear Ms. Carter:

Enclosed herewith please find the Abbreviated Record on Appeal for the above entitled case.

Sincerely yours,

David A. DiMarzio
Clerk of Court

/s/ **Nisshy D. Urizandi**
Deputy Clerk

Enc: Abbreviated Record on Appeal

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF RHODE ISLAND**

I, David A. DiMarzio, Clerk of the United States District court for the District of Rhode Island, do hereby certify that the foregoing contains all the original papers in the file dealing with the action or proceedings in which the appeal is taken and includes all the original papers as set forth in the Table of Contents herein.

Witness my hand and the Seal of said Court at Providence in said District, on the 5th day of October.

David A. DiMarzio, CLERK

BY: /s/ Nisshy D. Urizandi
Deputy Clerk

IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF RHODE ISLAND

TRANSAMERICA LIFE INSURANCE)	
COMPANY,)	
Plaintiff,)	
)	
vs.)	
)	C.A. No. 09-471-S
JOSEPH CARAMADRE, RAYMOUR)	
RADHAKRISHNAN, ESTATE PLANNING)	
RESOURCES, INC., ESTELLA)	
RODRIGUES, EDWARD MAGGIACOMO,)	
JR., LIFEMARK SECURITIES CORP., and)	
PATRICK GARVEY,)	
Defendants.)	

NOTICE OF APPEAL

Notice is hereby given that plaintiff Transamerica Life Insurance Company hereby appeals to the United States Court of Appeals for the First Circuit from the Judgment entered in this action on August 2, 2012 pursuant to the Text Order entered by the Court on July 18, 2012, the Opinion and Order of the Court entered on February 7, 2012, and the Opinion and Order of the Court entered on June 2, 2010, dismissing Counts I and II as alleged in the Third Amended Complaint.

Dated: August 30, 2012

/s/ Brooks R. Magratten
 Brooks R. Magratten, Esq., No. 3585
 David E. Barry, Esq., *pro hac vice* admitted
 Michael J. Daly, Esq. No. 6729
 PIERCE ATWOOD LLP
 Attorneys for Plaintiffs
 10 Weybosset St., Suite 400
 Providence, RI 02903
 (401) 588-5113 [Tel.]
 (401) 588-5166 [Fax]
 bmagratten@pierceatwood.com
 dbarry@pierceatwood.com
 mdaly@pierceatwood.com

CERTIFICATE OF SERVICE

I certify that the within document was electronically filed with the clerk of the court on August 30, 2012, and that it is available for viewing and downloading from the Court's ECF system. Service by electronic means has been effectuated on all counsel of record.

/s/ Michael J. Daly

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF RHODE ISLAND**

TRANSAMERICA LIFE INSURANCE
COMPANY,
Plaintiff,

v.

C.A. No. 09-471 S

JOSEPH CARAMADRE, et al.,
Defendants.

JUDGMENT

Jury Verdict. This action came before the Court for a trial by jury. The issues have been tried and the jury has rendered its verdict.

Decision by the Court. This action came to trial or hearing before the Court. The issues have been tried or heard and a decision has been rendered.

IT IS ORDERED AND ADJUDGED:

Pursuant to the Text Order entered by this Court on July 18th, 2012 judgment hereby enters for the Defendant Estella Rodrigues and against the Plaintiff Transamerica Life Insurance Company.

Enter:

/s/ Ryan H. Jackson

Deputy Clerk

Dated: August 2nd, 2012