



# **LegalMetric Individual Judge Quarterly Report**

## **Judge X**

### **Securities, Commodities, And Exchanges Cases**

**May 26, 1995 to February 9, 2009**

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## Table of Contents

Overview .....	3
Executive Summary—Judge            Securities, Commodities, And Exchanges Cases .....	4
What are the Odds—Terminations on the Merits .....	4
Introduction.....	6
Motions.....	6
Trials .....	10
Awards and Settlements .....	11
Case Outcomes .....	12
How Long?—Time to Termination.....	13
a. Terminations by Month.....	14
b. Terminations by Outcome .....	15
c. Terminations as a Function of Jury Demands .....	16
What are the Odds? Plaintiff and Defendant Win Rates .....	17
Appeals.....	18
Jury Demands.....	19
Prevailing Parties .....	20
Default Motions.....	21
Discovery Motions.....	22
Dismissal Motions .....	24
Preliminary Injunction Motions.....	28
Remand Motions .....	29
Sanctions/Attorneys Fees Motions.....	30
Stay Motions .....	32
Motions for Summary Judgment .....	33
Temporary Restraining Order Motions .....	34
Transfer Motions .....	35
Attachment A - Judge            Securities Cases.....	36
Attachment B - Closed Securities Cases by Type of Termination.....	40
Attachment C - Securities Cases by Party(ies) Demanding a Jury .....	43

## Overview

<b>Biographical Sketch: X</b> <sup>1</sup>	<b>Total Cases and Decisions on the Merits:</b> During the period covered by this report, Judge X had 135 securities, commodities, and exchanges cases. Of these, 124 cases have been terminated. There have been judgments on the merits in 24 of these cases. <sup>2</sup> Plaintiffs prevailed in 87.5% of these cases (while defendants prevailed in 12.5% of these cases).	
Born 19xx		
<b>Federal Judicial Service:</b>		
<b>Education:</b>		<b>Trials:</b> None of Judge X's securities, commodities, and exchanges cases went to trial.
<b>Professional Career:</b>		<b>Appeals:</b> 3 of Judge X's securities, commodities, and exchanges cases were appealed. Of those 1 was affirmed; 1 is pending; and 1 was reversed in part and remanded.
<b>Race or Ethnicity:</b>		
<b>Gender:</b>		
	<b>Motion Activity:</b> Default win rate: 100.0% (3 of 3) Discovery win rate: 33.3% (2 of 6) Dismiss win rate: 72.7% (24 of 33) Remand win rate: 100.0% (1 of 1) Sanctions/Attorneys Fees win rate: 75.0% (9 of 12) Stay win rate: 100.0% (1 of 1) Summary Judgment win rate: 75.0% (3 of 4) TRO win rate: 50.0% (1 of 2) Transfer win rate: 100.0% (4 of 4) Docket entries reflecting the judge's rulings on these motions are contained in the body of this report under the appropriate headings.	
	<b>Time to Termination—All Cases:</b> The average time from filing to termination for all Judge X's securities, commodities, and exchanges cases over this time period was 9.1 months.	
	<b>Time to Termination—On the Merits:</b> The average time from filing to termination on the merits for Judge X's securities, commodities, and exchanges cases was 23.1 months.	

<sup>1</sup> Information in the Biographical Sketch obtained from the Federal Judicial Center.

<sup>2</sup> In this report, a termination on the merits includes not only judgments after trial and summary judgments, but also enforceable judgments such as default judgments and consent judgments. In the absence of an indication to the contrary, consent judgments and default judgments are counted as “wins” for the plaintiff. Decisions, such as transfer orders, that do not reflect a decision on the merits, are not counted as a “win” by either party. The data in general does not reflect any activity upon appeal. Additional time and changes in outcome resulting from an appeal are reflected only in the appeals section of the report.

## Executive Summary—Judge X Securities, Commodities, And Exchanges Cases

### How Long? Time to Termination<sup>3</sup> for Closed Cases:

Average: .....	9.1 months
One-Third <sup>4</sup> :.....	1.8 months
One-Half <sup>5</sup> : .....	3.1 months
Two-Thirds <sup>6</sup> : .....	4.3 months
All <sup>7</sup> : .....	92.4 months
Average (on the merits):.....	23.1 months
Jury Demand by Plaintiff Only-Average <sup>8</sup> : .....	7.7 months
Jury Demand by Defendant Only-Average <sup>9</sup> :.....	23.3 months
Jury Demand by Both Parties-Average <sup>10</sup> : .....	27.2 months
No Jury Demand-Average <sup>11</sup> : .....	10.3 months

### What are the Odds<sup>12</sup>—Terminations on the Merits

Of the 124 closed securities, commodities, and exchanges cases of Judge X, 19.4% were terminated on the merits, i.e., by trial, pre-trial motion, default or consent judgment. The winning percentages in those cases were:

Judge X Terminations		Plaintiff		Defendant
At Trial	n/a	( 0 / 0 )	n/a	( 0 / 0 )
Bench Trial	n/a	( 0 / 0 )	n/a	( 0 / 0 )
Jury Verdict	n/a	( 0 / 0 )	n/a	( 0 / 0 )
Consent Judgment <sup>13</sup>	100.0%	( 19 / 19 )	0.0%	( 0 / 19 )
Default Judgment	100.0%	( 1 / 1 )	0.0%	( 0 / 1 )
Involuntary Dismissal	0.0%	( 0 / 2 )	100.0%	( 2 / 2 )
Other Termination	100.0%	( 1 / 1 )	0.0%	( 0 / 1 )
Summary Judgment	0.0%	( 0 / 1 )	100.0%	( 1 / 1 )
Overall (on the Merits)	87.5%	( 21 / 24 )	12.5%	( 3 / 24 )

<sup>3</sup> Termination statistics in this report are measured from the filing of papers in federal court to the terminating event, usually voluntary dismissal or entry of judgment. This may vary from the date the file was closed due to post-trial and ministerial activity.

<sup>4</sup> The time it took for one-third of the total cases of this type to terminate, measured from the filing date in federal court.

<sup>5</sup> The time it took for one-half of the total cases of this type to terminate, measured from the filing date in federal court.

<sup>6</sup> The time it took for two-thirds of the total cases of this type to terminate, measured from the filing date in federal court.

<sup>7</sup> The time it took until all the closed cases of this type were terminated.

<sup>8</sup> The time it took, on average, for cases of this type to terminate where only the plaintiff demanded a jury.

<sup>9</sup> The time it took, on average, for cases of this type to terminate where only the defendant demanded a jury.

<sup>10</sup> The time it took, on average, for cases of this type to terminate where both parties demanded a jury.

<sup>11</sup> The time it took, on average, for cases of this type to terminate where neither party demanded a jury.

<sup>12</sup> If there were any cases in which both parties prevailed (for example, the plaintiff prevailed on its complaint and the defendant prevailed on an unrelated counterclaim), such a case is counted as one-half of a “win” for plaintiff and one-half of a “win” for defendant. Fractional numbers of “wins”, therefore, can occur.

<sup>13</sup> Consent judgments are presumed to be in favor of the plaintiff unless the docket indicates otherwise.

These figures should be compared to the corresponding nationwide figures set out below.

Nationwide Terminations <sup>14</sup>		Plaintiff		Defendant
At Trial	54.4%	( 217 / 399 )	45.6%	( 182 / 399 )
Bench Trial	63.3%	( 100 / 158 )	36.7%	( 58 / 158 )
Jury Verdict	48.5%	( 117 / 241 )	51.5%	( 124 / 241 )
Pretrial Motion	32.1%	( 877 / 2733 )	67.9%	( 1856 / 2733 )
Overall	56.0%	( 3177 / 5674 )	44.0%	( 2497 / 5674 )

**Experience:**

135 securities, commodities, and exchanges cases (11 open / 124 closed)  
 13 years 10 months as a district court judge

**Case Outcomes:**

Bankruptcy Stay	0.8%
Consent Judgment	15.3%
Consolidated	62.1%
Default Judgment	0.8%
Involuntary Dismissal	1.6%
Other Settlement	4.0%
Other Termination	8.1%
Remand to State Court	0.8%
Stay	0.8%
Summary Judgment	0.8%
Transfer	3.2%
Trials: Bench	0.0%
Trials: Jury	0.0%
Voluntary Dismissal	1.6%

**Jury Demands:**

Overall	117 / 135	(86.7%)
Plaintiff only	107 / 135	(79.3%)
Defendant only	3 / 135	(2.2%)
Both	7 / 135	(5.2%)
Neither	18 / 135	(13.3%)

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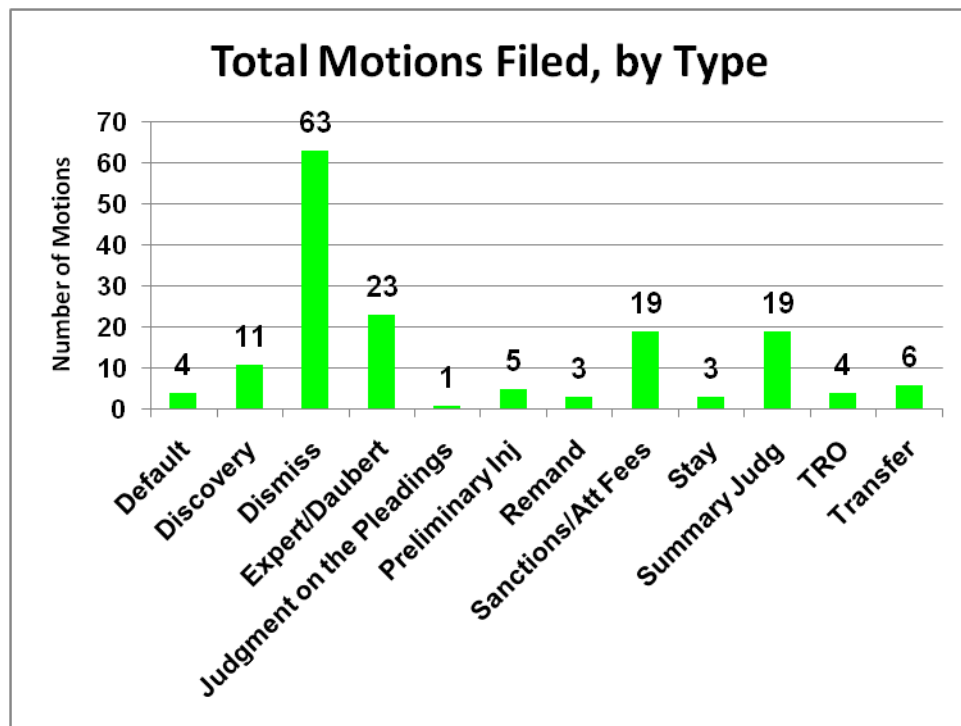
<sup>14</sup> Nationwide figures are for the period 1990-2001.

## Introduction

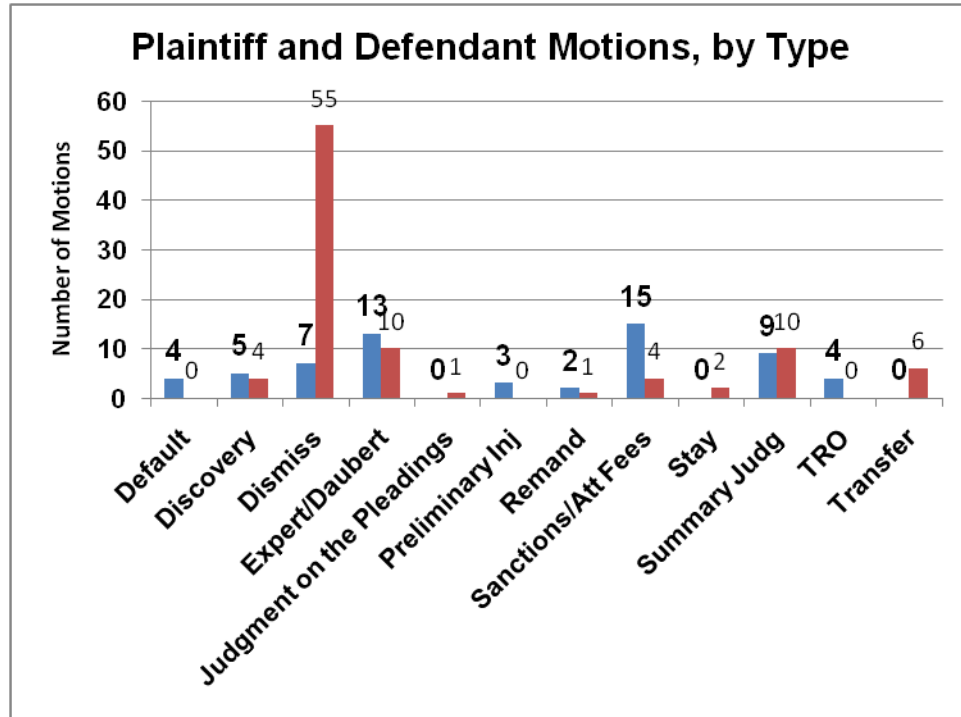
Judge X joined the court on May 26, 1995. Since May 26, 1995 he/she has been assigned 135 securities, commodities, and exchanges cases. Of the cases covered by this report, 124 have terminated, and 11 are still active. All 135 cases are listed in Attachment A.

## Motions

Judge X had 4 default motions (5 by plaintiff), 11 discovery motions (4 by defendant, 5 by plaintiff, 2 uncontested), 63 dismissal motions (55 by defendant, 7 by plaintiff, 1 uncontested), 23 expert/Daubert motions (10 by defendant, 13 by plaintiff), 1 judgment on the pleadings motion (by defendant), 5 preliminary injunction motions (3 by plaintiff, 2 uncontested), 3 remand motions (1 by defendant, 2 by plaintiff), 19 sanctions/attorneys fees motions (4 by defendant, 15 by plaintiff), 3 stay motions (2 by defendant, 1 uncontested), 19 motions for summary judgment (10 by defendant, 9 by plaintiff), 4 temporary restraining order motions (all by plaintiff), and 6 transfer motions (all by defendant). Motions decided by magistrate judges are not included in these figures.



The number of motions by plaintiff and defendant are illustrated below:



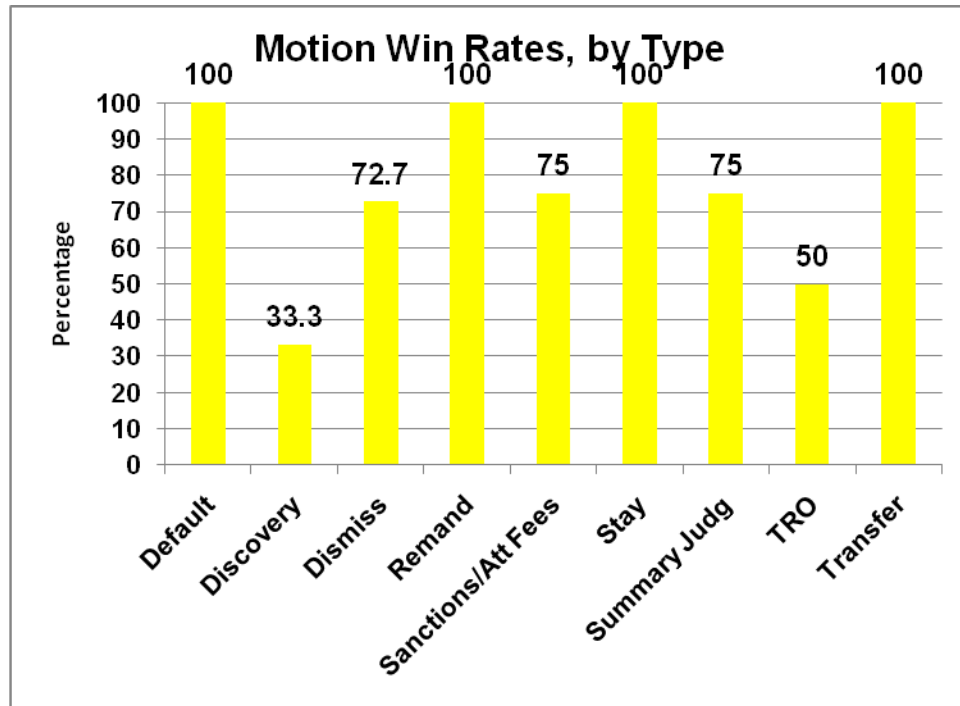
Of the 4 default motions, 1 was copy, and 3 were granted. Contested win rate: 100.0% (3 of 3). The average time from motion filing to decision was 1.9 months. The plaintiff's win rate on its motions was 100.0% (4 of 4).

Of the 11 discovery motions, 1 was copy, 3 were denied, 3 were granted (2 uncontested), 1 was granted in part, denied in part, 2 were not decided, and 1 is open. Contested win rate: 33.3% (2 of 6) (counting each granted in part, denied in part ruling as two rulings). The average time from motion filing to decision was 1.0 months. The defendant's win rate on its motion was 0.0% (0 of 1). The plaintiff's win rate on its motions was 40.0% (2 of 5).

Of the 63 dismissal motions, 4 were denied, 1 was dismissed, 1 was duplicate, 20 were granted (1 uncontested), 5 were granted in part, denied in part, 15 were not decided, and 17 are open. Contested win rate: 72.7% (24 of 33). The average time from motion filing to decision was 4.0 months. The defendant's win rate on its motions was 70.0% (21 of 30). The plaintiff's win rate on its motions was 100.0% (3 of 3).

Of the 23 expert/Daubert motions, 23 are open.

The 1 judgment on the pleadings motion was not decided.



Of the 5 preliminary injunction motions, 1 was dismissed, 2 were granted (both uncontested), and 2 were not decided.

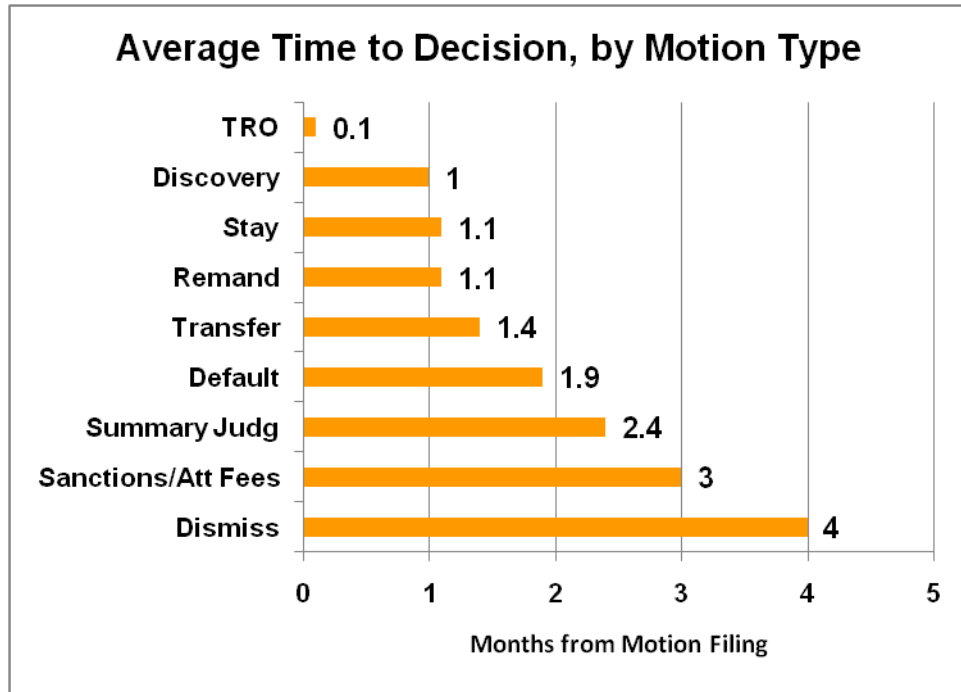
Of the 3 remand motions, 1 was dismissed, 1 was granted, and 1 was not decided. Contested win rate: 100.0% (1 of 1). The average time from motion filing to decision was 1.1 months. This motion was by defendant.

Of the 19 sanctions/attorneys fees motions, 2 were copy, 1 was denied, 1 was dismissed, 7 were granted, 2 were granted in part, denied in part, 2 were not decided, and 4 are open. Contested win rate: 75.0% (9 of 12). The average time from motion filing to decision was 3.0 months. The defendant's win rate on its motions was 50.0% (1 of 2). The plaintiff's win rate on its motions was 80.0% (8 of 10).

Of the 3 stay motions, 1 was granted, and 2 were not decided. Contested win rate: 100.0% (1 of 1). The average time from motion filing to decision was 1.1 months. This motion was by defendant.

Of the 19 motions for summary judgment, 2 were copy, 2 were granted, 1 was granted in part, denied in part, 1 was not decided, and 13 are open. Contested win rate: 75.0% (3 of 4). The average time from motion filing to decision was 2.4 months. All of these motions were by defendant.





Of the 4 temporary restraining order motions, 1 was denied, 1 was dismissed, 1 was granted, and 1 was not decided. Contested win rate: 50.0% (1 of 2). The average time from motion filing to decision was 0.1 months. Both of these motions were by plaintiff.

Of the 6 transfer motions, 4 were granted, and 2 were not decided. Contested win rate: 100.0% (4 of 4). The average time from motion filing to decision was 1.4 months. All of these motions were by defendant.

## **Trials**

Of the 24 cases with an identifiable winner, none went to trial.

## **Awards and Settlements**

The case names, outcomes and amounts for each award or settlement amount are shown in the following table. Caution: Awards and amounts not listed in the dockets are not included.

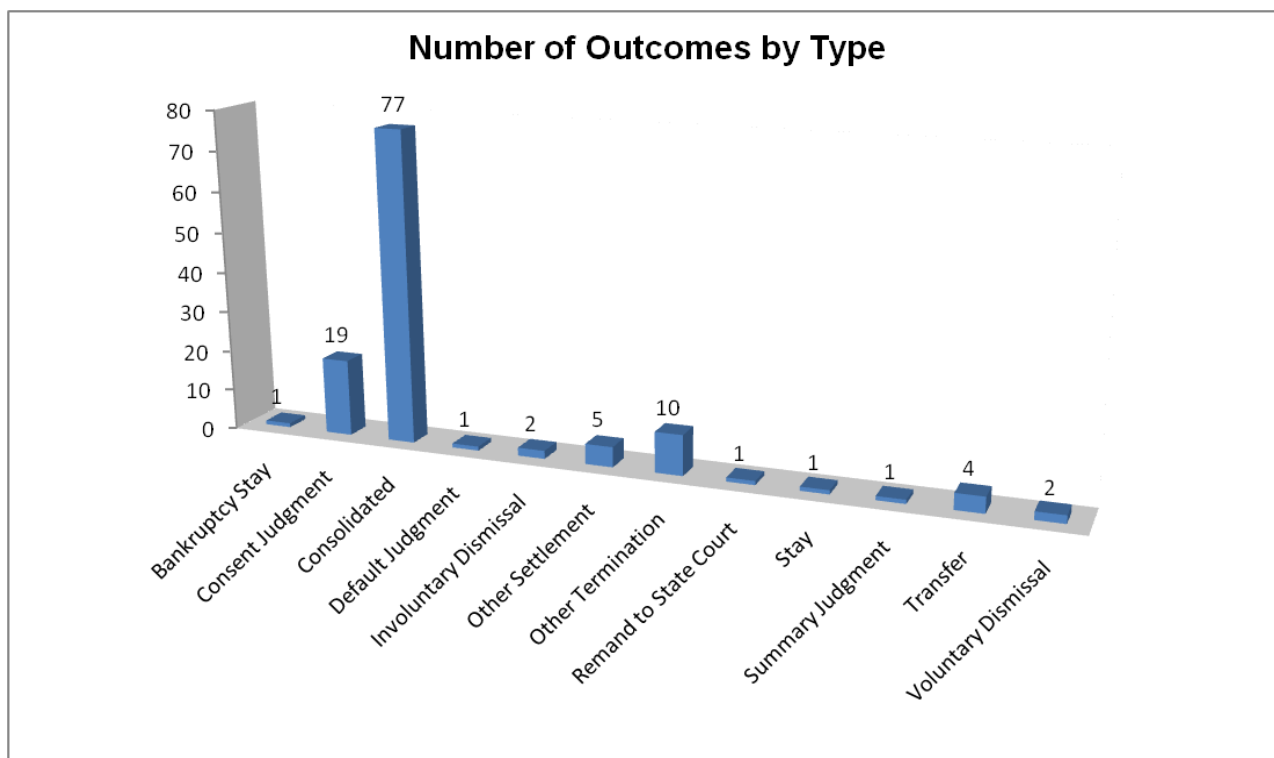
<b>Case Number</b>	<b>Case Name</b>	<b>Date of Award or Settlement Amount</b>	<b>Case Outcome</b>	<b>Amount</b>
<b>0:00cv00000</b>	<b>X, et al v. Y, et al</b>	<b>2008-06-10</b>	<b>Consent Judgment</b>	<b>\$1,050,000.00</b>
<b>0:00cv00000</b>	<b>X, et al v. Y, et al</b>	<b>1996-05-14</b>	<b>Consent Judgment</b>	<b>\$302,520.00</b>
<b>0:00cv00000</b>	<b>X, et al v. Y, et al</b>	<b>2001-10-17</b>	<b>Other Termination</b>	<b>\$4,017,285.00</b>
<b>0:00cv00000</b>	<b>X, et al v. Y, et al</b>	<b>2002-03-25</b>	<b>Summary Judgment</b>	<b>\$175,798.00</b>

## Case Outcomes

Of the 124 terminated cases,

- 1 (0.8%) was terminated by bankruptcy stay, with a pendency of 15.6 months
- 19 (15.3%) were terminated by consent judgment, with an average pendency of 21.6 months
- 77 (62.1%) were terminated by consolidation, with an average pendency of 2.4 months
- 1 (0.8%) was terminated by default judgment, with a pendency of 13.3 months
- 2 (1.6%) were terminated by involuntary dismissal, with an average pendency of 27.4 months
- 5 (4.0%) were terminated by miscellaneous settlement, with an average pendency of 18.0 months
- 10 (8.1%) were terminated by other miscellaneous termination, with an average pendency of 25.4 months
- 1 (0.8%) was terminated by remand to state court, with a pendency of 3.4 months
- 1 (0.8%) was terminated by stay, with a pendency of 2.3 months
- 1 (0.8%) was terminated by summary judgment, with a pendency of 59.5 months
- 4 (3.2%) were terminated by transfer, with an average pendency of 4.2 months
- 0 (0.0%) were terminated by bench trial
- 0 (0.0%) were terminated by jury trial
- 2 (1.6%) were terminated by voluntary dismissal, with an average pendency of 10.7 months

The chart below illustrates the case outcomes for Judge X in securities, commodities, and exchanges cases:



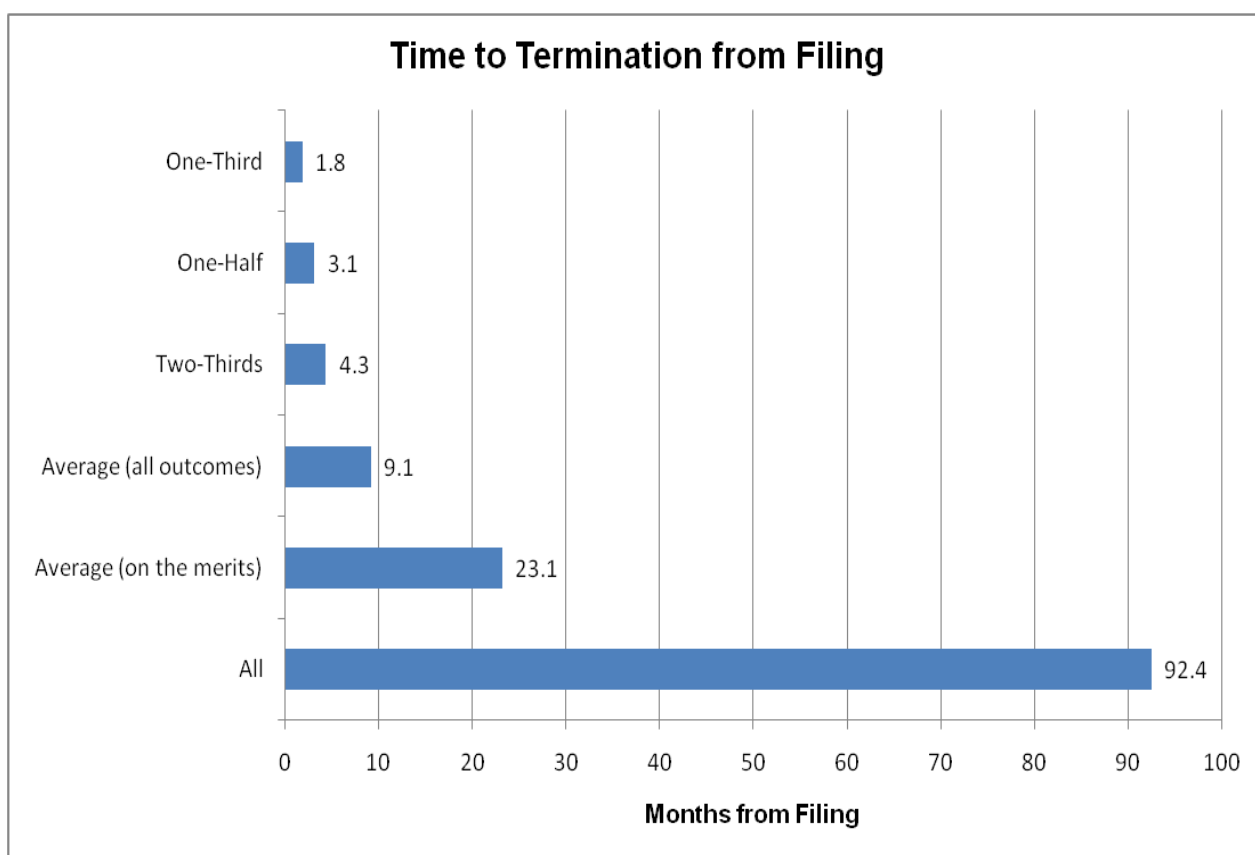
Attachment B contains a listing of each of the closed cases, with pendencies, categorized by type of termination.

## How Long?—Time to Termination

For all types of outcomes, Judge X's securities, commodities, and exchanges cases were pending<sup>15</sup> for the following times:

Average (all outcomes): .....9.1 months  
Average (on the merits): .....23.1 months  
One-Third:.....1.8 months  
One-Half: .....3.1 months  
Two-Thirds: ..... 4.3 months  
All: .....92.4 months

These figures are illustrated in the chart below.

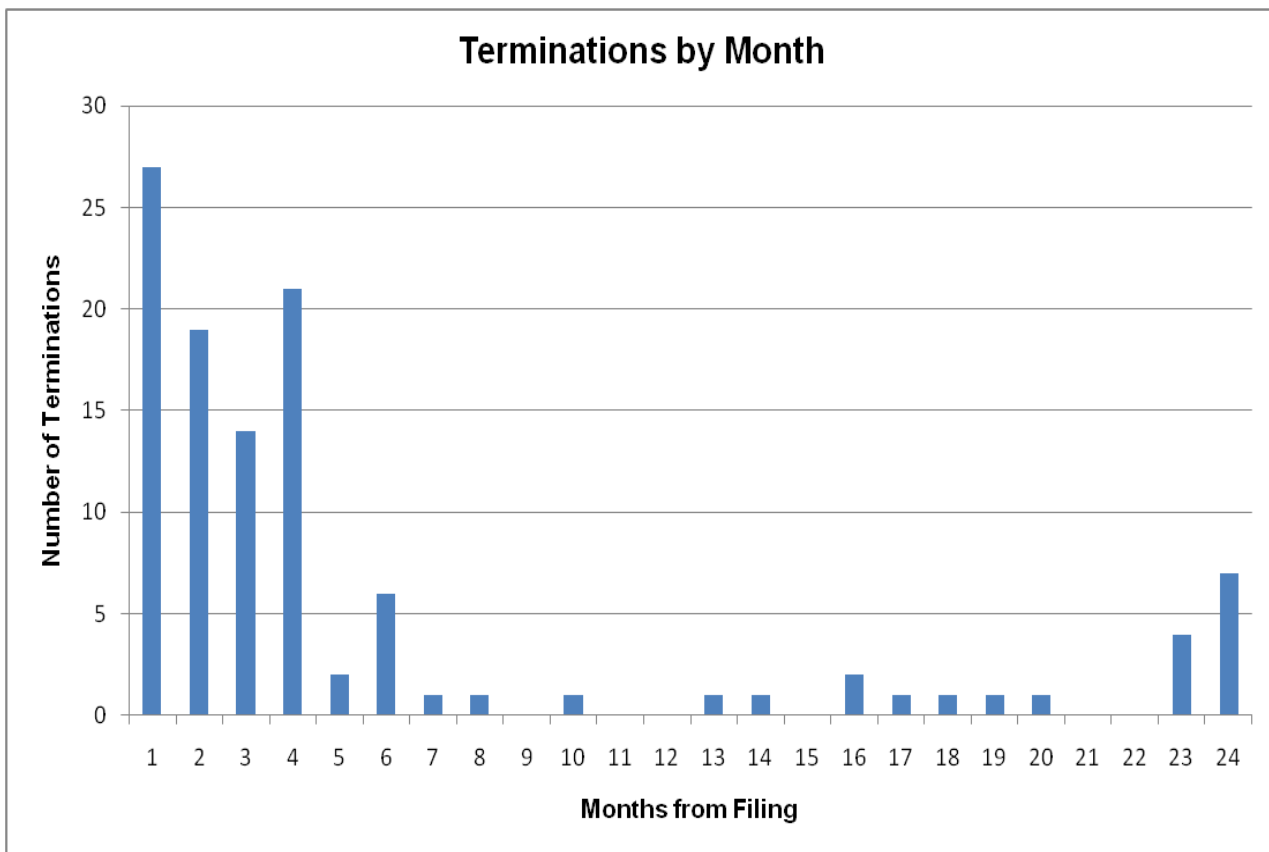


That is, one-third of Judge X's securities, commodities, and exchanges cases were terminated within 1.8 months of commencement of the case; one-half were terminated within 3.1 months of the commencement; two-thirds were terminated within 4.3 months of commencement; and all were terminated within 92.4 months of commencement. The average of all terminations was 9.1 months. The average time for a termination on the merits in these cases was 23.1 months.

<sup>15</sup> Pendency in this report is measured from commencement of the action in this court until the final dispositive act (entry of judgment, transfer order, etc.) except where an appeal occurs. In the event of an appeal, the pendency is measured from commencement until the occurrence of the act that was appealed, and the pendency of the appeal is measured separately, even though additional activity at the district court after appeal might be required.

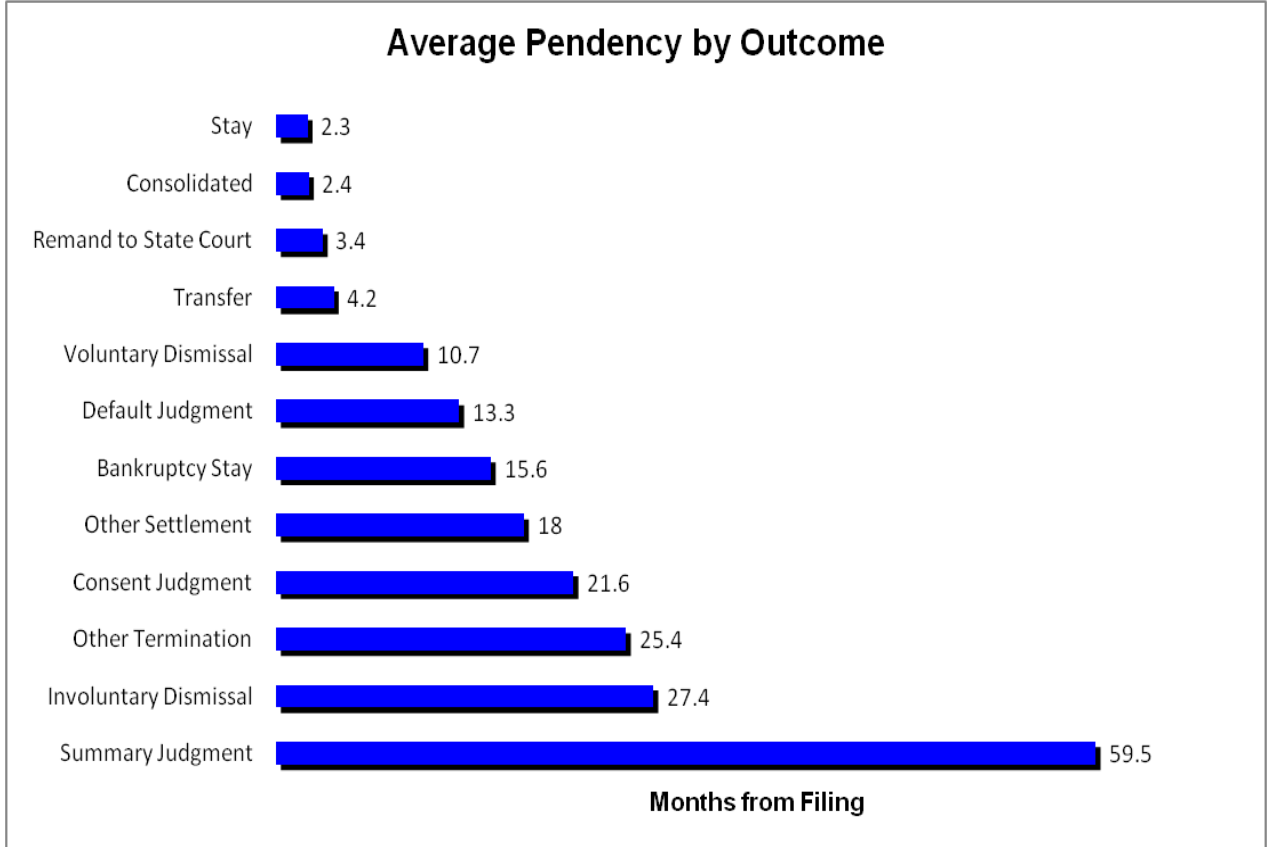
### a. Terminations by Month

An overview of when terminations typically occur is found in the following chart, which shows the number of Judge X's securities, commodities, and exchanges cases that were terminated per month, for the first two years after filing:



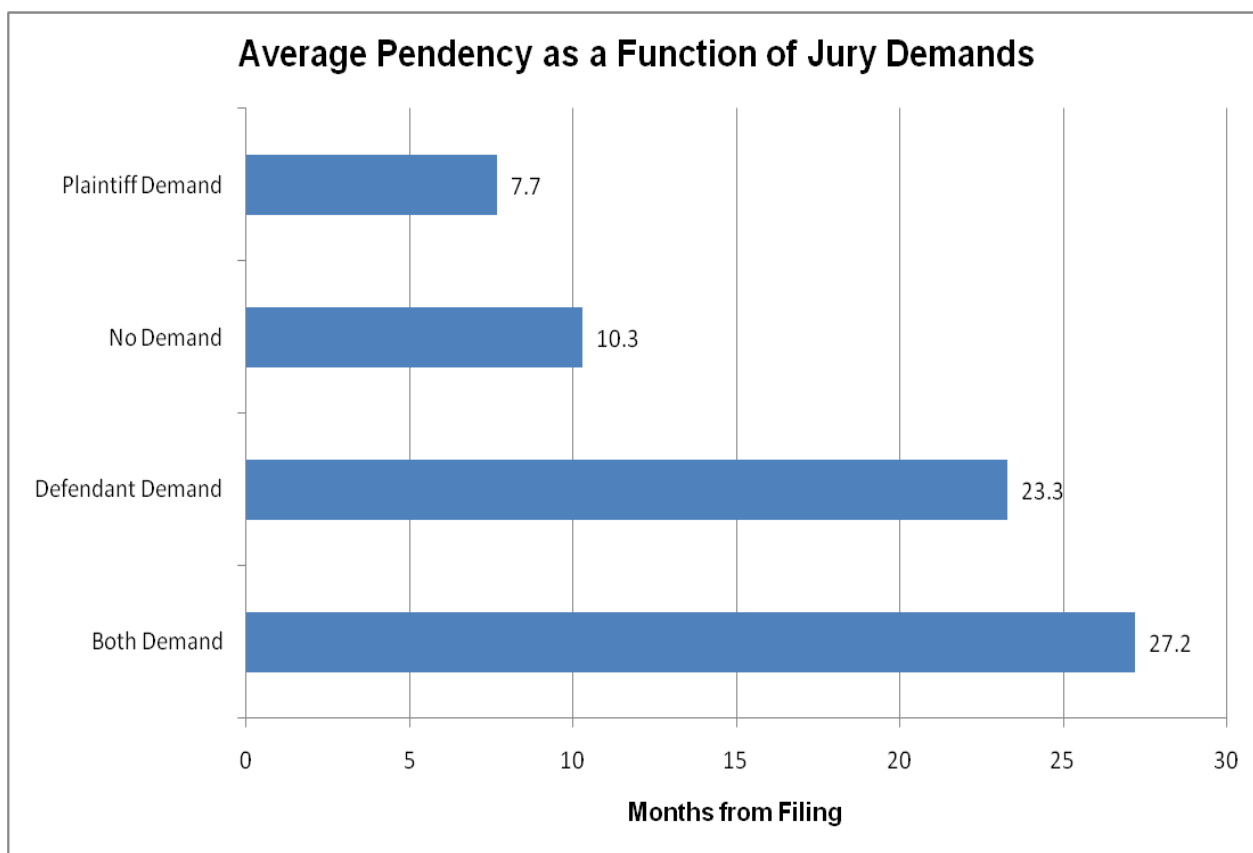
### b. Terminations by Outcome

Pendency usually varies by type of termination. For example, transfers typically occur much earlier in litigation than summary judgments. The average case pendency for each type of outcome for Judge X's securities, commodities, and exchanges cases is shown below.



### c. Terminations as a Function of Jury Demands

Many times pendency can be a function of which party or parties demand a jury. For example, in Judge X's securities, commodities, and exchanges cases where only the plaintiff demands a jury, termination occurs on average in 7.7 months. Where only the defendant demands a jury, termination occurs on average in 23.3 months. Where both parties demand a jury, termination occurs on average in 27.2 months. And where neither party demands a jury, termination occurs on average in 10.3 months.



Attachment C shows the pendency for each terminated case organized by jury demand.

## What are the Odds? Plaintiff and Defendant Win Rates

Of the 124 closed securities, commodities, and exchanges cases assigned to Judge X during the period covered by this report, none were decided at trial.

There were 21 judgments on the merits in favor of the plaintiff other than by trial. Plaintiff prevailed in 19 cases by consent judgment, 1 case by default judgment and 1 case by other termination.

There were 3 judgments on the merits in favor of the defendant other than by trial. Defendant prevailed in 2 cases by involuntary dismissal and 1 case by summary judgment.

Judge X Terminations		Plaintiff		Defendant
At Trial	n/a	( 0 / 0 )		n/a ( 0 / 0 )
Bench Trial	n/a	( 0 / 0 )		n/a ( 0 / 0 )
Jury Verdict	n/a	( 0 / 0 )		n/a ( 0 / 0 )
Consent Judgment <sup>16</sup>	100.0%	( 19 / 19 )		0.0% ( 0 / 19 )
Default Judgment	100.0%	( 1 / 1 )		0.0% ( 0 / 1 )
Involuntary Dismissal	0.0%	( 0 / 2 )		100.0% ( 2 / 2 )
Other Termination	100.0%	( 1 / 1 )		0.0% ( 0 / 1 )
Summary Judgment	0.0%	( 0 / 1 )		100.0% ( 1 / 1 )
Overall (on the Merits)	87.5%	( 21 / 24 )		12.5% ( 3 / 24 )

Nationwide, plaintiffs prevail in 56.0% of these cases overall, and in 54.4% of these cases at trial. (When trial was to a jury, plaintiff prevailed in 48.5% of these cases nationwide.) Conversely, defendants nationwide prevail in 44.0% of these cases overall, and in 45.6% of these cases at trial. (When trial was to a jury, defendant prevailed in 51.5% of these cases nationwide.)

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<sup>16</sup> Consent judgments are presumed to be in favor of the plaintiff unless the docket indicates otherwise.



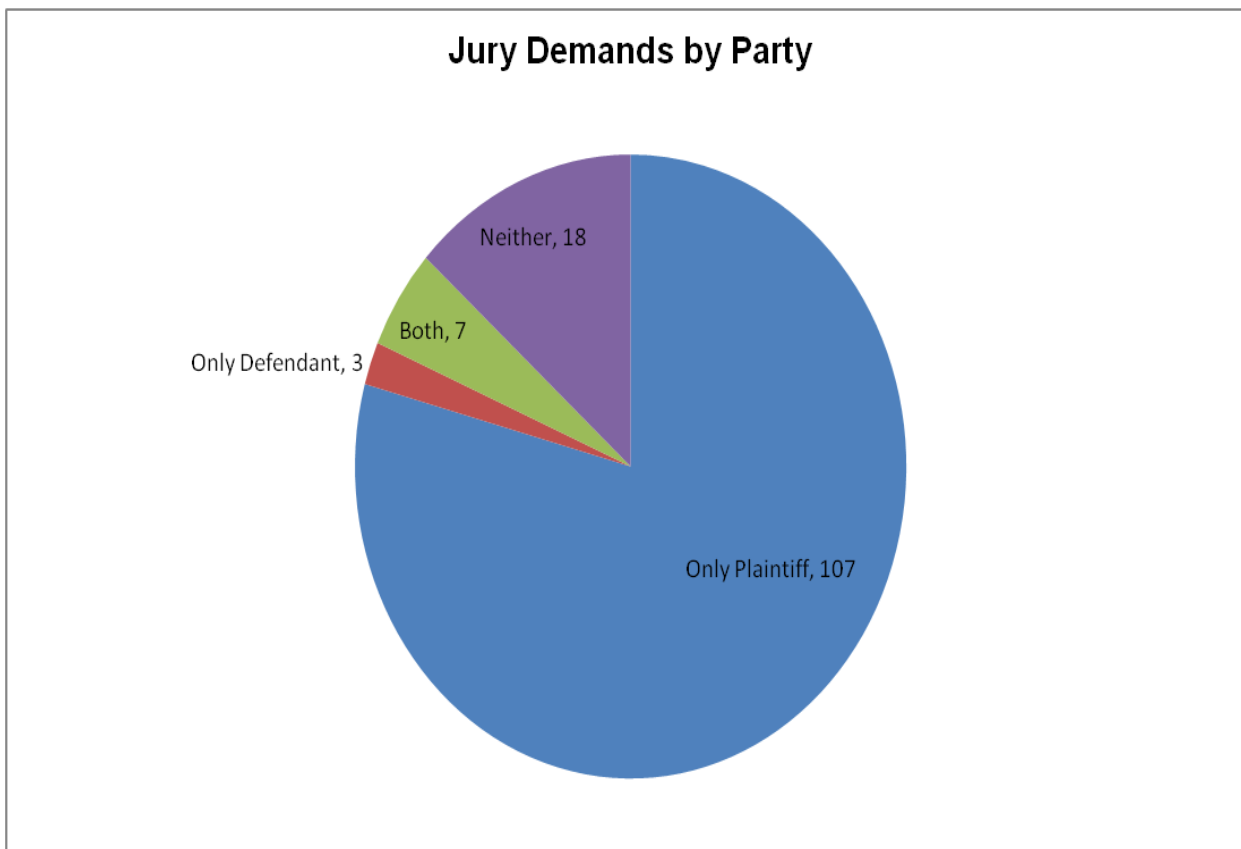
## Appeals

Of the 124 closed securities, commodities, and exchanges cases of Judge X, 3 were appealed. Of those 1 was affirmed; 1 is pending; and 1 was reversed in part and remanded. The results of those appeals are shown in the following chart:

<b>Case Name</b>	<b>Case Number</b>	<b>Result of Appeal</b>
<b>X, et al v. Y, et al</b>	<b>0:00cv00000</b>	<b>Affirmed</b>
<b>X, et al v. Y, et al</b>	<b>0:00cv00000</b>	<b>Pending</b>
<b>X, et al v. Y, et al</b>	<b>0:00cv00000</b>	<b>Reversed in part and Remanded</b>

## Jury Demands

Of the 135 securities, commodities, and exchanges cases (both open and closed) before Judge X, at least one of the parties demanded a jury in 86.7% of the cases (117 of 135 cases). Both sides demanded a jury in 5.2% of the cases (7 of 135). The plaintiff, but not the defendant, demanded a jury in 79.3% of the cases (107 of 135). The defendant, but not the plaintiff, demanded a jury in 2.2% of the cases (3 of 135). Neither party demanded a jury in 13.3% of the cases (18 of 135). The chart below illustrates the jury demands for Judge X for securities, commodities, and exchanges cases over this period.



## Prevailing Parties

Plaintiffs are identified as the prevailing party in 21 of the 24 securities, commodities, and exchanges cases decided on the merits. Defendants are identified as the prevailing party in 3 of these 24 cases.

**At Trial:** None cases went to trial. Plaintiff prevailed in no cases and defendant prevailed in 0 cases. See Trials section for details.

### Other Terminations on the Merits:

Those cases where the plaintiff prevailed other than at trial are:

Case Number	Case Name	Resolution
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Default Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Other Termination
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment
0:00cv00000	X, et al v. Y, et al	Consent Judgment

Those cases where the defendant prevailed other than at trial are:

Case Number	Case Name	Resolution
0:00cv00000	X, et al v. Y, et al	Involuntary Dismissal
0:00cv00000	X, et al v. Y, et al	Involuntary Dismissal
0:00cv00000	X, et al v. Y, et al	Summary Judgment

## Default Motions

Docket entries reflecting rulings on these motions are contained in the following table:

Case Number	Movant	Outcome	Docket Entry Date	Docket Entry
0:00cv00000	Plaintiff	Granted	2001-04-30	MINUTES: ( C/R None) ( Hearing Date: 04/27/01) granting motion to enter default judgment against X, Y, Z, AA, BB [8-1], the plaintiff withdrew its motion for Confirmation of the Arbitration Award, since the complaint has not been served. The motion shall be removed from the Court's pending motion report. [0:00cv00000] (ys) [Entry date 05/11/01] [Edit date 05/11/01]
0:00cv00000	Plaintiff	Granted	2001-08-31	DEFAULT ENTERED as to defendant X, defendant Y (cc: all counsel) [0:00cv00000] (ys) [Entry date 08/31/01]
0:00cv00000	Plaintiff	Granted	2001-12-06	DEFAULT ENTERED as to defendant X (cc: all counsel) [0:00cv00000] (ys) [Entry date 12/06/01]
0:00cv00000	Plaintiff	Granted	2006-12-07	Clerk's Notice ENTRY OF DEFAULT as to defendant X on December 7, 2006. (Related documents(s) [26]) (ys, COURT STAFF) (Filed on 12/7/2006) (Entered: 12/07/2006)

## Discovery Motions

Docket entries reflecting rulings on these motions are contained in the following table:

Case Number	Movant	Outcome	Docket Entry Date	Docket Entry
0:00cv00000	Plaintiff	Denied	1997-12-08	ORDER by Judge X : Plaintiff motions - granting motion to compel responses to plaintiffs' first set of interrogatories to the Underwriter defendants ; [164-1], denying motion to compel the X defendants' production of documents being withheld on improper claims of privilege [171-1], denying motion to compel X defendants to produce documents from storage facility; memorandum in support thereof. [179-1] ( Date Entered: 12/11/97) (cc: all counsel) [0:00cv00000] (cgd) [Entry date 12/11/97] [0:00cv00000]
0:00cv00000	Plaintiff	Denied	1997-12-08	ORDER by Judge X : Plaintiff motions - granting motion to compel responses to plaintiffs' first set of interrogatories to the Underwriter defendants ; [164-1], denying motion to compel the X defendants' production of documents being withheld on improper claims of privilege [171-1], denying motion to compel X defendants to produce documents from storage facility; memorandum in support thereof. [179-1] ( Date Entered: 12/11/97) (cc: all counsel) [0:00cv00000] (cgd) [Entry date 12/11/97] [0:00cv00000]
0:00cv00000	Defendant	Denied	2006-04-04	ORDER by Judge X denying [266] Motion for Protective Order, granting in part and denying in part [268] Motion to Compel ; referring motion (263) to magistrate-judge (ts, COURT STAFF) (Filed on 4/4/2006) (Entered: 04/04/2006)

**-Section Truncated for Sample-**

## Dismissal Motions

Docket entries reflecting rulings on these motions are contained in the following table:

Case Number	Movant	Outcome	Docket Entry Date	Docket Entry
0:00cv00000	Defendant	Denied	1995-09-27	ORDER by Judge X denying motion to dismiss case and granting motion for a more definite statement [21-1]; pltf to file amended petition by 10/16/95 ( Date Entered: 9/28/95) (cc: all counsel) [0:00cv00000] (wk) [Entry date 09/28/95] [0:00cv00000]
0:00cv00000	Defendant	Denied	1996-12-23	ORDER by Judge X denying motion to dismiss [56-1] ( Date Entered: 12/24/96) (cc: all counsel) [0:00cv00000] (wk) [Entry date 12/24/96] [0:00cv00000]
0:00cv00000	Defendant	Denied	2005-11-21	ORDER by Judge X denying [63] Motion to Dismiss. (tl, COURT STAFF) (Filed on 11/21/2005) (Entered: 11/21/2005)
0:00cv00000	Defendant	Denied	2007-04-13	ORDER by Judge X granting [32] Motion to Withdraw as Attorney. effective 5/14/07, denying [11] Motion to Dismiss (SI, COURT STAFF) (Filed on 4/13/2007) (Entered: 04/13/2007)
0:00cv00000	Plaintiff	Dismissed	2008-01-29	ORDER of dismissal re: #132. Signed by Judge X on 1/29/08. (ts, COURT STAFF) (Filed on 1/29/2008) (Entered: 01/29/2008)
0:00cv00000	Defendant	Granted	2000-06-30	ORDER of Dismissal Upon Settlement by Judge X dismissing the removal complaint [1-1] dismissing action with prejudice . However, that if any party hereto certifies to this court within 90 days from the date hereof, that settlement has not in fact occurred, the foregoing Order shall be vacated and this cause shall forthwith be restored to the calendar for further proceedings. ( Date Entered: 7.3.00) (cc: all counsel) [0:00cv00000] (cgd) [Entry date 07/03/00]
0:00cv00000	Defendant	Granted	2002-05-15	ORDER by Judge X granting [41] Motion to Dismiss, granting [43] Motion to Dismiss (ts, ) Additional attachment(s) added on 5/15/2002 (bf, ). (Entered: 05/15/2002)
0:00cv00000	Defendant	Granted	2002-05-15	ORDER by Judge X granting [41] Motion to Dismiss, granting [43] Motion to Dismiss (ts, ) Additional attachment(s) added on 5/15/2002 (bf, ). (Entered: 05/15/2002)

**-Section Truncated for Sample-**

## Preliminary Injunction Motions

Docket entries reflecting rulings on these motions are contained in the following table:

Case Number	Movant	Outcome	Docket Entry Date	Docket Entry
0:00cv00000	Plaintiff	Dismissed	1997-04-16	STIPULATION and ORDER by Judge X : for preliminary injunction, to stay case pending final determination in arbitration vacating [8-1] motion for temporary restraining order, vacating [8-2] motion for preliminary injunction, vacating [8-3] motion for expedited discovery, vacating [8-4] motion remanding case to state court (cc: all counsel) [0:00cv00000] (wk) [Entry date 04/17/97] [0:00cv00000]
0:00cv00000	Uncontested	Granted	2001-01-23	STIPULATION and ORDER by Judge X : for preliminary injunction, Defendant is restrained and enjoined... (cc: all counsel) [0:00cv00000] (db) [Entry date 01/30/01]
0:00cv00000	Uncontested	Granted	2006-11-22	PRELIMINARY INJUNCTION, Motions terminated:. Signed by Judge X on 11/22/06. (ts, COURT STAFF) (Filed on 11/22/2006) Modified on 11/22/2006 (ts, COURT STAFF). 12/15/06 motion hearing vacated (Entered: 11/22/2006)

## Remand Motions

Docket entries reflecting rulings on these motions are contained in the following table:

Case Number	Movant	Outcome	Docket Entry Date	Docket Entry
0:00cv00000	Plaintiff	Dismissed	1997-04-16	STIPULATION and ORDER by Judge X : for preliminary injunction, to stay case pending final determination in arbitration vacating [8-1] motion for temporary restraining order, vacating [8-2] motion for preliminary injunction, vacating [8-3] motion for expedited discovery, vacating [8-4] motion remanding case to state court (cc: all counsel) [0:00cv00000] (wk) [Entry date 04/17/97] [0:00cv00000]
0:00cv00000	Defendant	Granted	2002-05-06	ORDER by Judge X granting [8] Motion to Stay, [11] Motion to remand, are hereby STAYED until the entry of an order by the MDL Panel ruling on the status of the potential tag-along actions, of which this case is one. Defendant X shall immediately notify this Court of the entry of said order (ys, ) (Entered: 05/06/2002)



## Sanctions/Attorneys Fees Motions

Docket entries reflecting rulings on these motions are contained in the following table:

Case Number	Movant	Outcome	Docket Entry Date	Docket Entry
0:00cv00000	Plaintiff	Denied	2005-08-10	ORDER by Judge X granting [138] Motion to Certify Class, denying [149] Motion for contempt and sanctions (ts, COURT STAFF) (Filed on 8/10/2005) (Entered: 08/10/2005)
0:00cv00000	Plaintiff	Dismissed	2005-02-15	(Filed on 2/15/2005) Modified on 2/16/2005 (ewn, COURT STAFF). (Entered: 02/15/2005)
0:00cv00000	Plaintiff	Granted	2002-01-03	ORDER by Judge X granting motion application for award of attorneys' fees [97-1], granting motion reimbursement of expenses [97-2] ( Date Entered: 1/4/02) (cc: all counsel) [0:00cv00000] (ys) [Entry date 01/04/02] [0:00cv00000]
0:00cv00000	Plaintiff	Granted	2002-07-31	ORDER by Judge X re: attorney fees and expenses The Court awards fees in the amount of 20% of the settlement fund, and plaintiffs' counsel costs and expenses in the amount of \$150,376.66. The attorneys' fees and expenses are awarded together with interest earned thereon for the same time period and at the same rate as that earned on the settlement fund until paid. [87-1] ( Date Entered: 8/1/02) (cc: all counsel) [0:00cv00000] (ys) [Entry date 08/01/02] [Edit date 08/01/02] [0:00cv00000]
0:00cv00000	Plaintiff	Granted	2003-02-19	Minute Entry: Motion Hearing re [92] final approval of class settlement - granted, [93] plaintiff's motion for approval of plan of allocation of settlement proceeds - granted, [94], [100] - submitted plaintiff's motion for award of attorneys' fees and reimbursement of expenses held on 2/14/2003 before X. (Court Reporter X.) (ys, ) (Entered: 02/20/2003)

**-Section Truncated for Sample-**

## Stay Motions

Docket entries reflecting rulings on these motions are contained in the following table:

Case Number	Movant	Outcome	Docket Entry Date	Docket Entry
0:00cv00000	Defendant	Granted	2002-05-06	ORDER by Judge X granting [8] Motion to Stay, [11] Motion to remand, are hereby STAYED until the entry of an order by the MDL Panel ruling on the status of the potential tag-along actions, of which this case is one. Defendant X shall immediately notify this Court of the entry of said order (ys, ) (Entered: 05/06/2002)

## Motions for Summary Judgment

Docket entries reflecting rulings on these motions are contained in the following table:

Case Number	Movant	Outcome	Docket Entry Date	Docket Entry
0:00cv00000	Defendant	Granted	2001-07-11	ORDER by Judge X denying objection [126-1], granting motion for summary judgment [103-1], granting in part and denying in part motion for summary judgment [98-1] ( Date Entered: 7/12/01) (cc: all counsel) [0:00cv00000] (ys) [Entry date 07/12/01] [0:00cv00000]
0:00cv00000	Defendant	Granted	2002-03-25	ORDER by Judge X denying as moot defendants' motion for entry of partial judgment [151-1] , granting motion for summary judgment [150-1] dismissing case ; appeal filing ddl 4/24/02 ( Date Entered: 3/25/02) (cc: all counsel) [0:00cv00000] (ys) [0:00cv00000]
0:00cv00000	Defendant	Granted in part, Denied in Part	2001-07-11	ORDER by Judge X denying objection [126-1], granting motion for summary judgment [103-1], granting in part and denying in part motion for summary judgment [98-1] ( Date Entered: 7/12/01) (cc: all counsel) [0:00cv00000] (ys) [Entry date 07/12/01] [0:00cv00000]

## Temporary Restraining Order Motions

Docket entries reflecting rulings on these motions are contained in the following table:

Case Number	Movant	Outcome	Docket Entry Date	Docket Entry
0:00cv00000	Plaintiff	Denied	2000-11-07	ORDER by Judge X denying plaintiff's motion for temporary restraining order restraining defendant X from redemption of 6 1/4% convertible secured note due 2002 [67-1], or for order shortening time for on a motion for preliminary injunction [67-2] (cc: all counsel) [0:00cv00000] (tn) [Entry date 11/15/00] [0:00cv00000]
0:00cv00000	Plaintiff	Dismissed	1997-04-16	STIPULATION and ORDER by Judge X : for preliminary injunction, to stay case pending final determination in arbitration vacating [8-1] motion for temporary restraining order, vacating [8-2] motion for preliminary injunction, vacating [8-3] motion for expedited discovery, vacating [8-4] motion remanding case to state court (cc: all counsel) [0:00cv00000] (wk) [Entry date 04/17/97] [0:00cv00000]
0:00cv00000	Plaintiff	Granted	2000-09-06	TEMPORARY RESTRAINING ORDER by Judge X ; order to show cause hrg set for 9:00a.m. on 10/13/00 ; order to show cause ddl to file opposition at 5:00p.m. on 9/22/00 ; Reply due 9/29/00. (cc: all counsel) [0:00cv00000] (cgd) [Entry date 09/11/00]

## Transfer Motions

Docket entries reflecting rulings on these motions are contained in the following table:

Case Number	Movant	Outcome	Docket Entry Date	Docket Entry
0:00cv00000	Defendant	Granted	1996-02-13	ORDER by Judge X granting motion to transfer case [4-1] to transfer case to Dist of: Idaho ( Date Entered: 2/14/96) (cc: all counsel) [0:00cv00000] (bt) [Entry date 02/14/96]
0:00cv00000	Defendant	Granted	2002-12-04	JOINT STIPULATION AND CONSENT ORDER ON DEFENDANTS' MOTION TO TRANSFER AND PLAINTIFFS' MOTION FOR APPOINTMENT AS LEAD PLAINTIFF AND APPROVAL OF CHOICE OF LEAD COUNSEL by Judge X granting [25] Motion to Transfer Case (ys, ) (Entered: 12/05/2002)
0:00cv00000	Defendant	Granted	2007-02-14	ORDER by Judge X granting [5] Motion to Transfer Case (SI, COURT STAFF) (Filed on 2/14/2007) (Entered: 02/14/2007)
0:00cv00000	Defendant	Granted	2007-03-16	ORDER TRANSFERRING CASE.. Signed by Judge X on 3/15/07. (ts, COURT STAFF) (Filed on 3/16/2007) (Entered: 03/16/2007)

## Attachment A - Judge X Securities, Commodities, And Exchanges Cases

Case Number	Case Name	Date Filed	Status
0:00cv00000	X, et al v. Y, et al	02/06/2009	open
0:00cv00000	X, et al v. Y, et al	12/19/2008	open
0:00cv00000	X, et al v. Y, et al	10/01/2008	open
0:00cv00000	X, et al v. Y, et al	09/23/2008	open
0:00cv00000	X, et al v. Y, et al	08/28/2008	open
0:00cv00000	X, et al v. Y, et al	04/18/2008	closed
0:00cv00000	X, et al v. Y, et al	04/03/2008	closed
0:00cv00000	X, et al v. Y, et al	03/12/2008	open
0:00cv00000	X, et al v. Y, et al	12/06/2007	closed
0:00cv00000	X, et al v. Y, et al	12/03/2007	closed
0:00cv00000	X, et al v. Y, et al	11/20/2007	closed
0:00cv00000	X, et al v. Y, et al	11/15/2007	closed
0:00cv00000	X, et al v. Y, et al	10/31/2007	open
0:00cv00000	X, et al v. Y, et al	09/06/2007	closed
0:00cv00000	X, et al v. Y, et al	09/04/2007	open
0:00cv00000	X, et al v. Y, et al	07/25/2007	closed
0:00cv00000	X, et al v. Y, et al	06/06/2007	open
0:00cv00000	X, et al v. Y, et al	12/22/2006	closed
0:00cv00000	X, et al v. Y, et al	11/22/2006	closed
0:00cv00000	X, et al v. Y, et al	11/16/2006	closed
0:00cv00000	X, et al v. Y, et al	11/08/2006	open
0:00cv00000	X, et al v. Y, et al	10/25/2006	closed
0:00cv00000	X, et al v. Y, et al	09/11/2006	closed
0:00cv00000	X, et al v. Y, et al	01/21/2005	closed
0:00cv00000	X, et al v. Y, et al	01/20/2005	closed
0:00cv00000	X, et al v. Y, et al	01/05/2005	closed
0:00cv00000	X, et al v. Y, et al	12/15/2004	closed
0:00cv00000	X, et al v. Y, et al	12/09/2004	closed
0:00cv00000	X, et al v. Y, et al	09/29/2004	closed
0:00cv00000	X, et al v. Y, et al	09/09/2004	closed
0:00cv00000	X, et al v. Y, et al	08/16/2004	closed
0:00cv00000	X, et al v. Y, et al	07/20/2004	closed
0:00cv00000	X, et al v. Y, et al	07/16/2004	closed
0:00cv00000	X, et al v. Y, et al	07/07/2004	closed
0:00cv00000	X, et al v. Y, et al	06/25/2004	closed
0:00cv00000	X, et al v. Y, et al	06/18/2004	closed
0:00cv00000	X, et al v. Y, et al	06/17/2004	closed
0:00cv00000	X, et al v. Y, et al	06/16/2004	closed
0:00cv00000	X, et al v. Y, et al	06/15/2004	closed
0:00cv00000	X, et al v. Y, et al	06/09/2004	closed
0:00cv00000	X, et al v. Y, et al	11/10/2003	closed
0:00cv00000	X, et al v. Y, et al	09/16/2003	closed
0:00cv00000	X, et al v. Y, et al	09/05/2003	closed

**-Attachment Truncated for Sample-**

## Attachment B - Closed Securities, Commodities, And Exchanges Cases by Type of Termination

Case Name	Termination Category	Pendency
X, et al v. Y, et al	Bankruptcy Stay	476
X, et al v. Y, et al	Consent Judgment	0
X, et al v. Y, et al	Consent Judgment	5
X, et al v. Y, et al	Consent Judgment	6
X, et al v. Y, et al	Consent Judgment	14
X, et al v. Y, et al	Consent Judgment	106
X, et al v. Y, et al	Consent Judgment	130
X, et al v. Y, et al	Consent Judgment	542
X, et al v. Y, et al	Consent Judgment	676
X, et al v. Y, et al	Consent Judgment	678
X, et al v. Y, et al	Consent Judgment	691
X, et al v. Y, et al	Consent Judgment	699
X, et al v. Y, et al	Consent Judgment	706
X, et al v. Y, et al	Consent Judgment	713
X, et al v. Y, et al	Consent Judgment	713
X, et al v. Y, et al	Consent Judgment	714
X, et al v. Y, et al	Consent Judgment	714
X, et al v. Y, et al	Consent Judgment	1,062
X, et al v. Y, et al	Consent Judgment	1,493
X, et al v. Y, et al	Consent Judgment	2,812
X, et al v. Y, et al	Consolidated	0
X, et al v. Y, et al	Consolidated	0
X, et al v. Y, et al	Consolidated	7
X, et al v. Y, et al	Consolidated	10
X, et al v. Y, et al	Consolidated	12
X, et al v. Y, et al	Consolidated	13
X, et al v. Y, et al	Consolidated	14
X, et al v. Y, et al	Consolidated	14
X, et al v. Y, et al	Consolidated	14
X, et al v. Y, et al	Consolidated	14
X, et al v. Y, et al	Consolidated	15
X, et al v. Y, et al	Consolidated	15
X, et al v. Y, et al	Consolidated	16
X, et al v. Y, et al	Consolidated	16
X, et al v. Y, et al	Consolidated	17
X, et al v. Y, et al	Consolidated	18
X, et al v. Y, et al	Consolidated	19
X, et al v. Y, et al	Consolidated	20
X, et al v. Y, et al	Consolidated	21
X, et al v. Y, et al	Consolidated	27
X, et al v. Y, et al	Consolidated	28
X, et al v. Y, et al	Consolidated	28

**-Attachment Truncated for Sample-**

## Attachment C - Securities, Commodities, And Exchanges Cases by Party(ies) Demanding a Jury

Case Name	Party Demanding Jury	Pendency
X, et al v. Y, et al	Both	open
X, et al v. Y, et al	Both	open
X, et al v. Y, et al	Both	open
X, et al v. Y, et al	Both	39
X, et al v. Y, et al	Both	715
X, et al v. Y, et al	Both	1,062
X, et al v. Y, et al	Both	1,493
X, et al v. Y, et al	Defendant	102
X, et al v. Y, et al	Defendant	215
X, et al v. Y, et al	Defendant	1,811
X, et al v. Y, et al	Neither	0
X, et al v. Y, et al	Neither	5
X, et al v. Y, et al	Neither	6
X, et al v. Y, et al	Neither	7
X, et al v. Y, et al	Neither	14
X, et al v. Y, et al	Neither	34
X, et al v. Y, et al	Neither	71
X, et al v. Y, et al	Neither	90
X, et al v. Y, et al	Neither	130
X, et al v. Y, et al	Neither	142
X, et al v. Y, et al	Neither	154
X, et al v. Y, et al	Neither	154
X, et al v. Y, et al	Neither	154
X, et al v. Y, et al	Neither	184
X, et al v. Y, et al	Neither	511
X, et al v. Y, et al	Neither	573
X, et al v. Y, et al	Neither	608
X, et al v. Y, et al	Neither	2,812
X, et al v. Y, et al	Plaintiff	0
X, et al v. Y, et al	Plaintiff	0
X, et al v. Y, et al	Plaintiff	open
X, et al v. Y, et al	Plaintiff	open
X, et al v. Y, et al	Plaintiff	open
X, et al v. Y, et al	Plaintiff	open
X, et al v. Y, et al	Plaintiff	open
X, et al v. Y, et al	Plaintiff	open
X, et al v. Y, et al	Plaintiff	open
X, et al v. Y, et al	Plaintiff	open
X, et al v. Y, et al	Plaintiff	10
X, et al v. Y, et al	Plaintiff	12
X, et al v. Y, et al	Plaintiff	13
X, et al v. Y, et al	Plaintiff	14

**-Attachment Truncated for Sample-**