

**U.S. District Court**  
**United States District Court for the Southern District of New York (Foley Square)**  
**CIVIL DOCKET FOR CASE #: 1:96-cv-03779-JGK**

Martens, et al v. Smith Barney, Inc., et al  
Assigned to: Judge John G. Koeltl  
Demand: \$0  
Case in other court: U.S.C.A. 2nd Cir., 04-00890-cv  
02-07632  
03-07744.

Date Filed: 05/20/1996  
Date Terminated: 07/11/2003  
Jury Demand: Plaintiff  
Nature of Suit: 442 Civil Rights: Jobs  
Jurisdiction: Federal Question

Cause: 42:2000e Job Discrimination (Employment)

**Plaintiff**

**Pamela K. Martens**  
*TERMINATED: 05/15/2000*

represented by **Gary E. Phelan**  
Ottten & Golden, LLP (NYC)  
3 Park Avenue, 29th Floor  
New York, NY 10016  
(212)-245-1000  
Fax: (212)-977-4005  
Email: gp@outtengolden.com  
*TERMINATED: 05/15/2000*  
*LEAD ATTORNEY*

**Joseph D. Garrison**  
Garrison, Phelan, Levin-Epstein & Penzel  
405 Orange Stret  
New Haven, CT 06511  
(203) 777-4425  
*TERMINATED: 05/15/2000*  
*LEAD ATTORNEY*

**Linda Friedman**  
Leng Stowell et al.  
321 S. Plymouth Court, 14th Fl.  
Chicago, IL 60604  
*TERMINATED: 09/10/1997*  
*LEAD ATTORNEY*

**Matthew Eli Moloshok**  
Hellring Lindeman Goldstein & Siegal  
One Gateway Center  
Newark, NJ 07102-5386  
(201) 621-9020  
*TERMINATED: 09/10/1997*  
*LEAD ATTORNEY*

**Michele Lang Palter**  
Garrison, Phelan, Levin-Epstein & Penzel  
405 Orange Stret  
New Haven, CT 06511  
(203) 777-4425  
*TERMINATED: 05/15/2000*  
*LEAD ATTORNEY*

**Plaintiff**

**Judith P. Mione**  
*TERMINATED: 05/15/2000*

represented by **Gary E. Phelan**  
(See above for address)  
*TERMINATED: 05/15/2000*  
*LEAD ATTORNEY*

**Joseph D. Garrison**  
(See above for address)  
*TERMINATED: 05/15/2000*  
*LEAD ATTORNEY*

**Linda Friedman**  
(See above for address)  
*TERMINATED: 03/27/1998*  
*LEAD ATTORNEY*

**Matthew Eli Moloshok**  
(See above for address)  
*TERMINATED: 03/27/1998*  
*LEAD ATTORNEY*

**Michele Lang Palter**  
(See above for address)  
*TERMINATED: 05/15/2000*  
*LEAD ATTORNEY*

**Plaintiff**

**Roberta O'Brien Thomann**  
*on behalf of themselves and all others*  
*similarly situated*

represented by **Kelly M. Dermody**  
Lieff Cabraser Heimann & Bernstein, LLP( SF )  
275 Battery Street, 30th Floor  
San Francisco, CA 94111  
(415)-956-1000  
Fax: (415)-956-1008  
Email: kdermody@lchb.com  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Linda Friedman**  
(See above for address)  
*LEAD ATTORNEY*

**Matthew Eli Moloshok**  
(See above for address)  
*LEAD ATTORNEY*

**Plaintiff**

**Robin Tompkins**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Linda Friedman**  
(See above for address)  
*LEAD ATTORNEY*

**Matthew Eli Moloshok**  
(See above for address)  
*LEAD ATTORNEY*

**Plaintiff**

**Patricia Hanlon**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Kent Spriggs**  
Spriggs Law Firm  
324 West College Avenue

Tallahassee, FL 32301-1406  
(850) 224-8700  
*LEAD ATTORNEY*

**Linda Friedman**  
(See above for address)  
*TERMINATED: 09/25/2002*  
*LEAD ATTORNEY*

**Matthew Eli Moloshok**  
(See above for address)  
*LEAD ATTORNEY*

V.

**Defendant**

**Smith Barney, Inc.**  
*TERMINATED: 07/24/1998*  
*also known as*  
Shearson Lehman Brothers Holdings, Inc..  
*also known as*  
Shearson/American Express  
*also known as*  
Shearson Lehman Brothers

represented by **Brad Scott Karp**  
Paul, Weiss, Rifkind, Wharton &Garrison,  
Esqs.  
1285 Avenue of the Americas  
New York, NY 10019  
212-373-3000  
*LEAD ATTORNEY*

**Daniel John Toal**  
Paul, Weiss, Rifkind, Wharton &Garrison  
LLP (NY)  
1285 Avenue of the Americas  
New York, NY 10019  
(212)-373-3869  
Fax: (212)-492-0869  
Email: dtoal@paulweiss.com  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Defendant**

**Shearson Lehman Hutton**  
*TERMINATED: 07/24/1998*  
*also known as*  
Shearson Lehman Brothers

represented by **Brad Scott Karp**  
(See above for address)  
*LEAD ATTORNEY*

**Defendant**

**Smith Barney/Shearson, Inc.**  
*TERMINATED: 07/24/1998*

represented by **Brad Scott Karp**  
(See above for address)  
*LEAD ATTORNEY*

**Defendant**

**James Dimon**  
*TERMINATED: 07/24/1998*

represented by **Brad Scott Karp**  
(See above for address)  
*LEAD ATTORNEY*

**Defendant**

**Nicholas Cuneo**  
*TERMINATED: 07/24/1998*

**Defendant**

**The New York Stock Exchange**

**Defendant**

**The National Association of Securities  
Dealers**

**Claimant**

**Phyllis Jamison**

represented by **Phyllis Jamison**  
P.O. Box 343  
Clinton, MT 59825  
(406) 825-2004  
PRO SE

**All Plaintiffs**

**Plaintiffs**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Plaintiff**

**Lorraine Parker**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Plaintiff**

**Bette Laswell**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Plaintiff**

**Jennifer Alvarez**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Plaintiff**

**Marianne Dalton**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Kent Spriggs**  
(See above for address)  
*LEAD ATTORNEY*

**Plaintiff**

**Patricia Clemente**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Kent Spriggs**  
(See above for address)  
*LEAD ATTORNEY*

**Plaintiff**

**Simone Schwendener**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Plaintiff**

**Cara Beth Walker**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Richard Montanez**  
Res.  
88 Coachlight Circle  
Prospect, CT 06712  
*LEAD ATTORNEY*

**Plaintiff**

**Edna Broyles**

represented by **Gary E. Phelan**  
(See above for address)  
*LEAD ATTORNEY*

**Joseph D. Garrison**  
(See above for address)  
*LEAD ATTORNEY*

**Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Michele Lang Palter**  
(See above for address)  
*LEAD ATTORNEY*

**Plaintiff**

**Edna Tompkins**

*TERMINATED: 11/08/1996*

**Plaintiff**

**Stephanie Rodruck**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Plaintiff**

**Danielle Saccone**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Plaintiff**

**Beverly Trice**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Plaintiff**

**Lori Hurwitz**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Plaintiff**

**Lydia Klein**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Kent Spriggs**  
(See above for address)  
*LEAD ATTORNEY*

**Plaintiff**

**Eileen Valentino**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Kent Spriggs**  
(See above for address)  
*LEAD ATTORNEY*

**Robert Z. Dobrish**  
Hoffinger, Friedland, Dobrish & Stern,  
P.C.  
110 East 59th Street  
New York, NY 10022  
(212) 421-4000  
*LEAD ATTORNEY*

**Plaintiff**

**Patricia Hanloin**

*TERMINATED: 11/08/1996*

**Plaintiff**

**Teresa Tedesco**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Kent Spriggs**  
(See above for address)  
*LEAD ATTORNEY*

**Plaintiff**

**Mary Ann Cabell**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Plaintiff**

**Mary Ann Cabell**

*TERMINATED: 11/09/1996*

**Plaintiff**

**Ardis Vinnecour**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Plaintiff**

**Tracy Gibbs**

represented by **Kelly M. Dermody**  
(See above for address)  
*LEAD ATTORNEY*

**Plaintiff**

**Lisa Mays**

represented by **Kelly M. Dermody**  
 (See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Kent Spriggs**  
 (See above for address)  
*LEAD ATTORNEY*

V.

**Defendant**

**James Dimon**

*TERMINATED: 11/08/1996*

represented by **Brad Scott Karp**  
 (See above for address)  
*LEAD ATTORNEY*

**Defendant**

**Shearson Lehman Hutton Inc**

*TERMINATED: 11/08/1996*

represented by **Brad Scott Karp**  
 (See above for address)  
*LEAD ATTORNEY*

**Defendant**

**Smith Barney/Shearson, Inc**

*TERMINATED: 11/08/1996*

represented by **Brad Scott Karp**  
 (See above for address)  
*LEAD ATTORNEY*

| Date Filed | # | Docket Text  |
|------------|---|--|
| 05/20/1996 | 1 | COMPLAINT filed; Summons issued and Notice pursuant to 28 U.S.C. 636(c); Jury Trial Dem. FILING FEE \$ 120 RECEIPT # 262443 (sc) (Entered: 05/21/1996)   |
| 05/20/1996 |   | It is suggested that the case be classified as complex. Magistrate Judge Bernikow is so Designated. (sc) (Entered: 05/21/1996)   |
| 06/11/1996 | 2 | Order setting pretrial conference for the purposes of discussing settlement, motions, discovery schedule and setting a date for trial ; Pretrial conference set for 4:15 9/3/96. ( signed by Judge Allen G. Schwartz ) (lam) (Entered: 06/13/1996) |
| 07/02/1996 | 3 | NOTICE OF FILING of Amended Compl. w/ the Clerk of the U.S. District Curt for the Southern Dist. of NY by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann (ls) (Entered: 07/08/1996)   |
| 07/22/1996 | 4 | NOTICE OF MOTION by Pamela K. Martens, Judith P. Mione and Roberta O'Brien Thomann through their att'y for Mary Stowell and Linda D. Friedman to appear pro hac vice Return date 9/3/96. (kw) (Entered: 07/23/1996)                                |
| 07/22/1996 | 4 | AFFIDAVIT in support by Mary Stowell of Re: [4-1] motion for Mary Stowell and Linda D. Friedman to appear pro hac vice. (kw) (Entered: 07/23/1996)   |
| 07/22/1996 | 4 | AFFIDAVIT in support by Linda D. Friedman of Re: [4-1] motion for Mary Stowell and Linda D. Friedman to appear pro hac vice. (kw) (Entered: 07/23/1996)  |
| 07/22/1996 | 4 | DECLARATION in support by Matthew E. Moloshok, attorney for plaintiffs, of [4-1] motion for Mary Stowell and Linda D. Friedman to appear pro hac vice. (kw) (Entered: 07/23/1996)  |

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| 07/22/1996 | 5  | MEMORANDUM by plaintiffs through their attorney in support of [4-1] motion for Mary and Linda D. Friedman to appear pro hac vice. (kw) (Entered: 07/23/1996)   |
| 09/04/1996 | 6  | ORDER granting [4-1] motion for Mary Stowell and Linda D. Friedman to appear pro hac vice for plaintiffs. SO ORDERED: ( signed by Judge Allen G. Schwartz ) (ae) (Entered: 09/04/1996)   |
| 09/23/1996 | 7  | Order that case be referred to the Clerk of Court for assignment to a Magistrate Judge for Discovery Disputes ( signed by Judge Allen G. Schwartz ) Referred to Magistrate Judge Leonard A. Bernikow (kg) (Entered: 09/24/1996)  |
| 10/17/1996 | 8  | AMENDED COMPLAINT by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann , (Answer due 10/30/96 for Nat. Asso. of Secur., for The N.Y. Stock Exch., for Nicholas Cuneo, for James Dimon, for Smith Barney/Shear., for Shearson Leh. Hutt., for Smith Barney, Inc. ) amending [1-1] complaint against Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Edna Tompkins, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Patricia Hanloin, Teresa Tedesco, Mary Ann Cabell, Mary Ann Cabell, Ardis Vinnecour, Tracy Gibbs, James Dimon, Shearson Lehman Hutt, Smith Barney/Shearso; Summons issued. (djc) (Entered: 10/18/1996)                              |
| 10/23/1996 | 9  | STIPULATION AND ORDER SCHEDULING BRIEFING OF MOTIONS TO DISMISS, plttfs will file their second Amended Complaint on or before 10/17/96, set amended pleadings due for 10/17/96. Defts will have until 10/25/96 to notify plttfs whether they intend to amend their Motions to dismiss. If defts notify plttfs on 10/25/96, that they do not desire to amend their Motions to Dismiss, plttfs will respond to the pending Motions to Dismiss w/in 14 days. If defts desire to amend their Motions to Dismiss, they shall do so on or before 11/25/96; and in such case plttfs will respond to such amended Motions to dismiss w/in 39 days after service , set motion filing deadline for 11/25/96 ( signed by Judge G. Schwartz ); Copies mailed (kg) (Entered: 10/24/1996)                                |
| 10/23/1996 | 10 | CORRECTED SECOND AMENDED COMPLAINT by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Edna Tompkins, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Patricia Hanloin, Teresa Tedesco, Mary Ann Cabell, Mary Ann Cabell, Ardis Vinnecour, Tracy Gibbs , (Answer due 11/5/96 for Smith Barney/Shearso, for Shearson Lehman Hutt, for James Dimon, for Nat. Asso. of Secur., for The N.Y. Stock Exch., for Nicholas Cuneo, for James Dimon, for Smith Barney/Shear., for Shearson Leh. Hutt., for Smith Barney, Inc. ) amending [8-1] amended complaint ; Summons issued. (ba) (Entered: 10/24/1996) |
| 11/01/1996 | 11 | NOTICE of CHARGING LIEN – You are hereby Notified that we, Lewis, Vegosen, Rosenbach & Silber, P.A.... as former attys for plaintiff Cara Beth Walker, claim a lien on the final judgment rendered in the above-styled action and on any recovery of any monies due, owing and/or received pursuant to plaintiff's claims herein through settlement or otherwise. Our lien on the aforesaid judgment and/or recovery is for costs and legal services rendered to plaintiff, Cara Beth Walker, for which we have not been compensated in the above-styled action. The amount of the lien is attorneys fees of \$4,031.50 and costs in the amount of \$352.65.... (djc) (Entered: 11/06/1996)  |
| 11/08/1996 | 12 | NOTICE by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann that on November 8, 1996, attys for plaintiffs, filed the attached plaintiffs' consolidated Memorandum in Opposition to Defendants' Motions to Dismiss and Exhibits A-K with the Clerk of the United States District Court for the Southern District of New York. (djc) (Entered: 11/12/1996)  |
| 11/08/1996 | 13 | CORRECTED SECOND AMENDED COMPLAINT by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Schwendener, Cara Beth Walker, Edna Broyles, Stephanie Rodruck, Danielle Saccone, Beverly Trice,  |



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|            |    | Lori Hurwitz, Lydia Klein, Eileen Valentino, Teresa Tedesco, Mary Ann Cabell, Ardis Vinneour, Tracy Gibbs, Robin Tompkins, Patricia Hanlon , (Answer due 11/21/96 for Smith Barney, Inc., for Shearson Leh. Hutt., for Smith Barney/Shear., for James Dimon, for Nicholas Cuneo, for The N.Y. Stock Exch., for Nat. Asso. of Secur. ) amending [10-1] amended complaint ; Summons issued. (lam) (Entered: 11/13/1996)   |
| 11/08/1996 | 14 | MEMORANDUM by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Teresa Tedesco, Mary Ann Cabell, Ardis Vinneour, Tracy Gibbs, Robin Tompkins, Patricia Hanlon in OPPOSITION to defts' Motions to Dismiss (not filed). (lam) (Entered: 11/13/1996) |
| 11/25/1996 | 15 | NOTICE OF MOTION by Nat. Asso. of Secur. to dismiss count VII of the amended complaint , Return date 11/6/96; attached are papers in support (cd) (Entered: 11/26/1996)   |
| 11/25/1996 | 16 | CORRECTED MEMORANDUM by Nat. Asso. of Secur. in support of [15-1] motion to dismiss count VII of the amended complaint (cd) (Entered: 11/26/1996)   |
| 11/25/1996 | 17 | REPLY MEMORANDUM by Nat. Asso. of Secur. re: [15-1] motion to dismiss count VII of the amended complaint (cd) (Entered: 11/26/1996)   |
| 11/25/1996 | 18 | NOTICE OF MOTION by Smith Barney/Shear. to dismiss count VII of the amended complaint , Return date 11/6/96; attached are papers in support (cd) (Entered: 11/26/1996)  |
| 11/25/1996 | 19 | MEMORANDUM by Smith Barney/Shear. in support of [18-1] motion to dismiss count VII of the amended complaint (cd) (Entered: 11/26/1996)  |
| 11/25/1996 | 20 | REPLY MEMORANDUM by Smith Barney/Shear. re: [18-1] motion to dismiss count VII of the amended complaint (cd) (Entered: 11/26/1996)  |
| 11/25/1996 | 21 | NOTICE OF MOTION by The N.Y. Stock Exch. to dismiss counts VII of the amended complaint , Return date 11/6/96; attached are papers in support (cd) (Entered: 11/26/1996)  |
| 11/25/1996 | 22 | MEMORANDUM by The N.Y. Stock Exch. in support of [21-1] motion to dismiss counts VII of the amended complaint (cd) (Entered: 11/26/1996)  |
| 11/25/1996 | 23 | REPLY MEMORANDUM by The N.Y. Stock Exch. re: [21-1] motion to dismiss counts VII of the amended complaint (cd) (Entered: 11/26/1996)  |
| 11/25/1996 | 24 | MEMORANDUM by Pamela K. Martens in opposition to [15-1] motion to dismiss count VII of the amended complaint, [21-1] motion to dismiss counts VII of the amended complaint (cd) (Entered: 11/26/1996)   |
| 11/26/1996 |    | Before MJ Bernikow; Pre-trial conference held (cd) (Entered: 12/02/1996)  |
| 01/09/1997 | 25 | STIPULATION and ORDER, Third party American Broadcasting Companies is allowed to intervene for the limited purpose of opposing entry of a protective order restricting disclosure of discovery material ( signed by Judge Allen G. Schwartz ). (cd) (Entered: 01/09/1997)   |
| 06/26/1997 | 26 | Notice of reassignment to Judge Constance B. Motley Copy of notice and judge's rules mailed to Attorney(s) of record: Linda Friedman, Matthew Eli Moloshok . (jp) (Entered: 06/30/1997)   |
| 07/22/1997 | 27 | NOTICE OF MOTION by plaintiffs for leave to file supplemental authority in support of consolidated response to defendants' motions to dismiss (kw) (Entered: 07/25/1997)  |
| 08/13/1997 | 28 | NOTICE OF MOTION by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Edna Tompkins, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz,   |

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|            |    | Lydia Klein, Eileen Valentino, Teresa Tedesco, Ardis Vinnecour, Tracy Gibbs to withdraw as counsel to plaintiff Pamela K. Martens , no return date w. affidavit of service (dj) (Entered: 08/18/1997)  |
| 08/13/1997 | 29 | MEMORANDUM of LAW by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Edna Tompkins, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Teresa Tedesco, Ardis Vinnecour, Tracy Gibbs in support of [28-1] motion withdraw as counsel to plaintiff Pamela K. Martens (dj) (Entered: 08/18/1997)   |
| 09/09/1997 | 31 | NOTICE OF MOTION by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Teresa Tedesco, Mary Ann Cabell, Ardis Vinnecour, Tracy Gibbs, Robin Tompkins, Patricia Hanlon; for leave to file supplemental authority ; return date not entered on motion (ls) Modified on 09/11/1997 (Entered: 09/11/1997) |
| 09/10/1997 | 30 | ORDER, the law firm of Leng, Stonwell, Friedman, &Vernon; and the law firm of Hellring, Lindeman, Goldstein &Siegal be, and they hereby are, relieved forthwith as counsel to Pamela K. Martens. the law firm of Leng, Stowell, Friedman, &Vernon; and the law firm of Hellring, Lindeman, Goldstein &Siegal remain counsel of record to the other plaintiffs listed in the above-captioned case and the puntative class members (signed by Judge Constance B. Motley); Copies mailed (pl) (Entered: 09/10/1997)   |
| 09/22/1997 | 32 | ORDER, set pretrial conference for 10:00 a.m. 10/9/97 ( signed by Judge Constance B. Motley); Copies mailed. (kg) (Entered: 09/22/1997)  |
| 10/15/1997 | 33 | PRE-TRIAL SCHEDULING ORDER: set pretrial conference for 10:00 a.m. on 11/18/97. ( signed by Judge Constance B. Motley ) ; Copies mailed (kw) (Entered: 10/16/1997)   |
| 11/19/1997 | 35 | Petition for provisional class certification and preliminary approval of settlement stipulation. Received in the night deposit box on 11/19/97 at 7:29 p.m. (sac) (Entered: 11/26/1997)  |
| 11/19/1997 | 36 | DECLARATION of Mary Stowell by plttfs in support [35-1] remark. Received in the night deposit box on 11/19/97 at 7:30 p.m. (sac) Modified on 11/26/1997 (Entered: 11/26/1997)  |
| 11/19/1997 | 37 | DECLARATION of Linda D. Friedman by plttfs in support [35-1] remark. Received in the night deposit box 11/19/97 at 7:29 p.m. (sac) (Entered: 11/26/1997)   |
| 11/19/1997 | 38 | DECLARATION of Lorraine Parker by plttfs in support [35-1] remark. Received in the night deposit box on 11/19/97 at 7:30 p.m. (sac) (Entered: 11/26/1997)  |
| 11/21/1997 | 34 | STIPULATION and ORDER, preliminarily approving class action settlement, conditionally certifying settlement class, providing for notice, and scheduling a fairness hearing for 4/10/98 at 10:00 a.m. ( signed by Judge Constance B. Motley ). (cd) (Entered: 11/24/1997)   |
| 12/05/1997 | 39 | ORDER, pursuant to the written request of counsel for the defts, dated 12/2/97, the fairness hearing scheduled for 4/10/98 is rescheduled to 4/9/98 at 10:00 a.m. in courtroom 26-A at 500 Pearl St. All other aspects of this court's Order of 11/21/97, remain in full force and effect ( signed by Judge Constance B. Motley ); Copies mailed (cd) (Entered: 12/08/1997)  |
| 12/10/1997 | 40 | CLASS ACTION; SUMMARY NOTICE OF PENDENCY OF CLASS ACTION, CERTIFICATION OF SETTLEMENT CLASS, PROPOSED SETTLEMENT AND FAIRNESS HEARING; under the Proposed Class Settlement, if approved by District Court, (SDNY), Smith Barney Inc has agreed to spend not less than 15 million over the next four years on diversity programs  |

|            |    |  |
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|            |    | and initiatives and endeavor to meet certain specified employment goals relating to the hiring and promotion of women. Also as part of the Proposed Class Settlement, a dispute resolution process will be established and made available to Settlement Class Members ; Fairness hearing will be held before the District Court at 10:00 a.m. on April 9, 1998; However, you do not need to appear at the Fairness Hearing to participate in the Proposed Class Settlement (signed by Judge Constance B. Motley) (djc) (Entered: 12/12/1997) |
| 12/10/1997 | 41 | NOTICE of SUBMISSION by Smith Barney, Inc., James Dimon re: of proposed summary publication notice. (ae) (Entered: 12/12/1997)   |
| 12/19/1997 | 42 | ORDER, extending time to mail the notice of class settlement from 12/22/97 to 1/5/98. All other aspects of this court's Order Preliminarily Approving Class Action Settlement etc dated 11/21/97, remain in full force and effect ( signed by Judge Constance B. Motley ); Copies mailed (cd) (Entered: 12/22/1997)  |
| 01/16/1998 | 43 | Letter filed by Dole Derica Fontroy dated 01/08/98 re notifying court of change of address (not named as party) (djc) (Entered: 01/23/1998)  |
| 02/04/1998 | 45 | MEMORANDUM of LAW in support of motion for an order pursuant to General Rule 3(c) of the Rules of the USDC SDNY and Disciplinary Rule 5-105(B), permitting Stowell Friedman & Vernon and Hellring Lindeman Goldstein & Siegal to withdraw as counsel to plaintiff Judith P. Mione. (djc) Modified on 05/28/1998 (Entered: 02/05/1998)  |
| 02/04/1998 | 46 | NOTICE OF MOTION for an order pursuant to General Rule 3(c) of the Rules of the SDNY and Disciplinary Rule 5-105(B), permitting Stowell Friedman & Vernon and Hellring Goldstein & Siegal to withdraw as counsel for plaintiff Judith P. Mione. , w/affidavit of Mary Stowell attached. Return date 2/25/98 (djc) Modified on 05/28/1998 (Entered: 02/19/1998)   |
| 03/16/1998 | 47 | Objection(s) to the proposed settlement by Leslie A. Hart (ls) (Entered: 03/19/1998)   |
| 03/19/1998 | 48 | NOTICE OF MOTION for an order pursuant to General Rule 3(c) of the Rules of the USDC SDNY and Disciplinary Rule 5-105(B), permitting Stowell Friedman & Vernon and Hellring Lindeman Goldstein & Siegal to withdraw as counsel to plaintiff Edna V. Broyles w/affidavit of Mary Stowell attached. (kw) Modified on 05/28/1998 (Entered: 03/20/1998)  |
| 03/19/1998 | 49 | MEMORANDUM in support of motion [48-1] for an order pursuant to General Rule 3(c) of the Rules of the USDC SDNY and Disciplinary Rule 5-105(B), permitting Stowell Friedman & Vernon and Hellring Lindeman Goldstein & Siegal to withdraw as counsel to plaintiff Edna V. Broyles. (kw) Modified on 05/28/1998 (Entered: 03/20/1998)   |
| 03/27/1998 | 50 | ORDER, granting [46-1] motion for the law firm of Leng, Stowell, Friedman & Vernon and the law firm of Hellring, Lindeman, Goldstein & Siegal to be relieved as counsel to Judith P. Mione; the law firm of Leng, Stowell, Friedman & Vernon and the law firm of Hellring, Lindeman, Goldstein & Siegal shall remain counsel for the remaining class representatives and the putative class ( signed by Judge Constance B. Motley ); Copies mailed (ae) (Entered: 03/30/1998)  |
| 03/30/1998 | 51 | NOTICE OF MOTION by The National Organization For Women-New York State, Inc. for permission to file amicus curiae brief ; Return date not indicated (sac) Modified on 05/29/1998 (Entered: 04/02/1998)   |
| 04/01/1998 | 52 | Objection(s) to the proposed settlement by Constance E. Cole (sac) (Entered: 04/02/1998)   |
| 04/01/1998 | 53 | Objection(s) to the proposed settlement by Joanne Fama (sac) (Entered: 04/02/1998)   |
| 04/01/1998 | 54 | Objection(s) to the proposed settlement by Carlene Brumant (sac) (Entered: 04/02/1998)   |

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| 04/03/1998 | 55 | NOTICE of attorney appearance for Pamela K. Martens, Judith P. Mione by Gary Phelan (sac) (Entered: 04/03/1998)   |
| 04/03/1998 | 56 | NOTICE of attorney appearance for Edna Broyles by Gary Phelan. My appearance on her behalf will be limited to: (1) representing her with respect to plttf's counsel's Motion to Withdraw as her counsel filed 3/18/98 and (2) serving as her atty at the 4/9/98 Fairness Hearing for the purpose of stating her comments on and objections to the Proposed Settlement (sac) (Entered: 04/03/1998) |
| 04/03/1998 | 93 | NOTICE of attorney appearance for Pamela K. Martens, and Judith P. Mione by Michele Lang Palter. (kw) (Entered: 04/10/1998)   |
| 04/03/1998 | 94 | NOTICE of attorney appearance for Edna Broyles by Michele Lang Palter. (kw) (Entered: 04/10/1998)   |
| 04/03/1998 | 95 | NOTICE of attorney appearance for Edna Broyles by Joseph D. Garrison. (kw) (Entered: 04/10/1998)  |
| 04/03/1998 | 96 | NOTICE of attorney appearance for Pamela K. Martens, and Judith P. Mione by Joseph D. Garrison. (kw) (Entered: 04/10/1998)  |
| 04/06/1998 | 57 | Letter filed by Mathilda B. Lefeure to Judge Motley dated 3/11/98, re: objections to the proposed settlement (ae) (Entered: 04/07/1998)   |
| 04/06/1998 | 58 | Letter filed by Cathy Renneker to Judge Motley dated 3/13/98, re: objecting to the proposed settlement (ae) (Entered: 04/07/1998)   |
| 04/06/1998 | 59 | Letter filed Lucille R. Bakalian to Judge Motley dated 3/13/98, re: regarding problems in the industry and with management at Smith Barney Shearson (ae) (Entered: 04/07/1998)  |
| 04/06/1998 | 60 | Letter filed by Janet (last name not legible) dated 3/15/98 re: in response to the proposed settlement (ae) (Entered: 04/07/1998)   |
| 04/06/1998 | 61 | Letter filed by Jennifer George to Judge Motley dated 8/15/98, re: regarding the work environment at Shearson Lehman Brothers/Smith Barney (ae) (Entered: 04/07/1998)   |
| 04/06/1998 | 62 | Letter filed by Roberta Thomann to Judge Motley dated 3/26/98, re: in response to the pending settlement (ae) (Entered: 04/07/1998)   |
| 04/06/1998 | 63 | Letter filed by Bette Laswell to Judge Motley dated 3/20/98 re: in response to the proposed settlement (ae) (Entered: 04/07/1998)   |
| 04/06/1998 | 64 | Letter filed by Michelle Tuttle to Judge Motley dated 3/16/98, re: regarding sexual harrassment during employment at Smith Barney (ae) (Entered: 04/07/1998)  |
| 04/06/1998 | 65 | Letter filed by Kristi A. Mandt to Judge Motley dated 3/13/98, re: regarding discrimination experienced while employed at Smith Barney (ae) (Entered: 04/07/1998)   |
| 04/06/1998 | 66 | Letter filed by Karen A. Johnson to Judge Motley dated 2/17/98, re: regarding work experience in Smith Barney (ae) (Entered: 04/07/1998)  |
| 04/06/1998 | 67 | Letter filed by Kimberly Hutcheson to Judge Motley dated 3/23/98, re requesting to be excluded from this case. (ae) (Entered: 04/07/1998)   |
| 04/06/1998 | 68 | Letter filed by Edna Broyles dated 3/30/98 re that Gary Phelan will appear as Edna Broyles attny at the Fairness Hearing that is scheduled forf 4/9/98, to explain the factual and legal basis for Ms. Broyles objections to the proposed settlement (ls) (Entered: 04/07/1998)   |
| 04/06/1998 | 69 | Letter filed by Helen J. Tieber to Judge Motley dated 3/18/98, re: formal request that she be excluded from this action (ae) (Entered: 04/08/1998)  |
| 04/06/1998 | 70 | Letter filed by Judith Mione to Judge Motley dated 3/21/98 re: request for exclusion (ae) (Entered: 04/08/1998)   |

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| 04/06/1998 | 71 | Letter filed by Pamela Kay Martens to Judge Motley dated 3/21/98, re: request for exclusion (ae) (Entered: 04/08/1998)  |
| 04/06/1998 | 72 | Letter filed by Joan Chasin to Judge Motley dated 3/21/98 re: request for exclusion (ae) (Entered: 04/08/1998)  |
| 04/06/1998 | 73 | Letter filed by Pamela Kay Martens dated 3/30/98, re: having duly opposed the proposed settlement by the required date of March 16, 1998, herewith request permission to appear at the Fairness Hearing on April 9, 1998 and to speak for myself or have my legal representative speak for me. (ae) Modified on 05/28/1998 (Entered: 04/08/1998)  |
| 04/06/1998 | 74 | Letter filed by Judith P. Mione dated 3/30/98, re: having duly opposed in writing the proposed settlement by the required date of 3/16/98, herewith request permission to appear at the Fairness Hearing on April 9, 1998 and to speak for myself or have my legal representative speak for me. (ae) Modified on 05/28/1998 (Entered: 04/08/1998) |
| 04/06/1998 | 75 | Letter filed by Edna V. Broyles to Judge Motley dated 3/27/98, re: requesting permission to have her legal representative speak on her behalf (ae) (Entered: 04/08/1998)  |
| 04/06/1998 | 76 | Letter filed by Evelyn Martinez to Judge Motley dated 3/9/98, re: opposing the proposed settlement (ae) (Entered: 04/08/1998)   |
| 04/06/1998 | 77 | Letter filed by N.Y.C. Chapter of the National Organization for Women to Judge Motley dated 3/16/98, re: requesting permission to speak at the 4/9/98 fairness hearing on the proposed settlement (ae) (Entered: 04/08/1998)  |
| 04/06/1998 | 78 | Letter filed by Edna Broyles to Judge Motley dated 3/13/98 re: objecting to the proposed settlement (ae) (Entered: 04/08/1998)  |
| 04/06/1998 | 79 | Letter filed by Teresa Tedesco to Judge Motley dated 3/11/98, re: opposing the proposed settlement (ae) (Entered: 04/08/1998)   |
| 04/06/1998 | 80 | Letter filed by Margaret Newman Smith dated 3/15/98, re: responding to the proposed settlement (ae) (Entered: 04/08/1998)   |
| 04/06/1998 | 81 | Letter filed by Joan Chasin to Judge Motley dated 3/12/98, re: opposing the proposed settlement (ae) (Entered: 04/08/1998)  |
| 04/06/1998 | 82 | Letter filed by Judith P. Mione to Judge Motley, re: wishing to add my endorsement to each of the issues raised in the opposition papers presented to this Court by Pamela Kay Martens (ae) (Entered: 04/08/1998)   |
| 04/06/1998 | 83 | Letter filed by Pamela K. Martens to Judge Motley dated 3/13/98, re: opposing the proposed settlement (ae) (Entered: 04/08/1998)  |
| 04/07/1998 | 85 | NOTICE of Filing of petition for fees and reimbursement by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann et al (cd) (Entered: 04/09/1998)   |
| 04/07/1998 | 86 | NOTICE of Filing of Class plntfs' memo in support of request for fees by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann, Smith Barney, Inc. et al (cd) (Entered: 04/09/1998)   |
| 04/07/1998 | 87 | NOTICE of Filing of Class plntfs' motion to strike objections and motion to bar them from presenting oral argument fairness hearing etc by Pamela K. Martens, Judith P. Mione et al (cd) (Entered: 04/09/1998)  |
| 04/07/1998 | 88 | NOTICE of Filing of Class plntfs' memo in support of motion to strike objections etc by Pamela K. Martens, Judith P. Mione (cd) (Entered: 04/09/1998)   |
| 04/07/1998 | 89 | NOTICE of Filing of Class plntfs' memo in oppositon to motion for leave, to file Amicus Brief of NYS NOW by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann et al (cd) (Entered: 04/09/1998)  |
| 04/07/1998 | 90 | NOTICE of Filing of Class Plntfs' Memo in support of settlement by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann et al (cd) (Entered: 04/09/1998)   |

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| 04/07/1998 | 91  | NOTICE of Filing of Class plntfs' response to objections to settlemen by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann et al (cd) (Entered: 04/09/1998)   |
| 04/07/1998 | 92  | NOTICE of Filing of Compendium of exhibits for fairness hearing by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann et al (cd) (Entered: 04/09/1998)   |
| 04/08/1998 | 84  | ORDER granting [48-1] motion for an order for Stowell Friedman &Vernon to withdraw as attorney to Edna V. Broyles; the law firm of Leng, Stowell, Friedman &Vernon and the law firm of Hellring, Lindeman, Goldstein &Siegal remain counsel class representative and the putative class (signed by Judge Constance B. Motley); Copies mailed. (kg) (Entered: 04/08/1998)  |
| 04/08/1998 | 97  | Letter filed dated 04/03/98 from Mary Jean Lacidonia (djc) (Entered: 04/13/1998)  |
| 04/10/1998 | 99  | ORDER, only those individuals who have remained in the class, i.e. who have not opted out, and have submitted timely objections (i.e. on or before 3/16/98) may offer oral argument at the Fairness Hearing in this action, scheduled for 4/9/98. Thus, no individual who has excluded herself from the class or has not filed timely objections may participate at the hearing; the participation of NOW/New York State and NOW/New York City is hereby limited to the submission of amicus curiae briefs. The request of NOW/New York State and NOW/New York City to offer testimony at the Fairness Hearing is hereby Denied; Ms. Edna V. Broyles is hereby limited to oral argument on those subjects about which she timely filed objections (i.e. on or before 3/16/98) before the court ( signed by Judge Constance B. Motley ); Copies mailed (ae) Modified on 04/17/1998 (Entered: 04/16/1998) |
| 04/14/1998 | 98  | NOTICE OF FILING THE DECLARATION OF Mary Stowell by Plaintiffs. (kg) (Entered: 04/15/1998)  |
| 06/08/1998 | 100 | Transcript of record of proceedings before Judge Motley filed for dates of April 9, 1998 (jp) (Entered: 06/08/1998)   |
| 06/24/1998 | 101 | ORDER, for the reasons set forth in the opinion fld simultaneously herewith, the court denies final approval of the proposed settlement ( signed by Judge Constance B. Motley ); Copies mailed (cd) (Entered: 06/25/1998)   |
| 06/24/1998 | 102 | OPINION ON PROPOSED SETTLEMENT #80787; for purposes of this settlement, plttfs constitute a proper class presenting claims properly in federal court. The settlement they propose, however, defers for future non-judicial resolution any questions regarding what the as-yet-amorphous Smith Barney diversity programs and initiatives can and cannot include. The Court cannot declare its duty to evaluate the settlement complete before the parties more meaningfully clarify what it does. Accordingly, the court denies final approval to the proposed settlement ( Signed by Judge Constance B. Motley ); Copies mailed. (sac) (Entered: 06/25/1998)  |
| 07/02/1998 | 104 | NOTICE OF MOTION by Edna Broyles for an order granting reconsideration of that portion of the Court's decision docketed 6/24/98 which approved the Dispute Resolution Process adopted by the Settlement Agreement (kw) (Entered: 07/07/1998)  |
| 07/02/1998 | 105 | MEMORANDUM by Edna Broyles in support of [104-1] motion for an order granting reconsideration of that portion of the Court's decision docketed 6/24/98 which approved the Dispute Resolution Process adopted by the Settlement Agreement. (kw) (Entered: 07/07/1998)  |
| 07/06/1998 | 103 | REVISED MEMORANDUM of LAW by Edna Broyles in support of Motion for Reconsideration. (djc) (Entered: 07/06/1998)   |
| 07/10/1998 | 106 | ORDER, a conference in this matter is hereby schedule for 7/24/98 at 10:00 a.m. in Courtroom 26-A of the US Courthouse at 500 Pearl St. (signed by Judge Constance B. Motley); Copies mailed. (kg) (Entered: 07/13/1998)  |

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| 07/15/1998 | 107 | DECLARATION of Mary Stowell in opposition [104-1] motion for an order granting reconsideration of that portion of the Court's decision docketed 6/24/98 which approved the Dispute Resolution Process adopted by the Settlement Agreement (sac) (Entered: 07/16/1998)  |
| 07/21/1998 | 108 | DECLARATION of Gary Phelan in replying to the Re: [107-1] opposition to plaintiff Edna Broyles' motion for reconsideration. (kw) (Entered: 07/22/1998)   |
| 07/21/1998 | 109 | MEMORANDUM by Edna Broyles in support of [104-1] motion for an order granting reconsideration of that portion of the Court's decision docketed 6/24/98 which approved the Dispute Resolution Process adopted by the Settlement Agreement. (kw) (Entered: 07/22/1998)   |
| 07/24/1998 | 110 | FINAL ORDER AND JUDGMENT APPROVING CLASS ACTION SETTLEMENT AND DISMISSING CLAIMS: the Notice of Class Action Settlement Approval annexed as Exhibit 1 to Amendment 3A to Stipulation of Settlement dated 11/18/97 is hereby approved by this Court; Smith Barney shall bear all costs reasonably associated with printing, mailing, and publishing the Notice of Class Action Settlement Approval and the summary thereof as required by Paragraphs 16 and 17 as set forth in this Final Order and Judgment, including, w/out limitation, the cost of any vendors retained by Class Counsel to aid in effectuating such notice; this action is hereby dismissed in its entirety, on the merits and with prejudice, as against defendants Smith Barney, James Dimon, and Nicholas Cuneo, and w/out costs to any party, except to the extent otherwise expressly provided in the Settlement Stipulation; all members of the Class as well as those who have duly requested exclusion from the Class are hereby permanently enjoined fully, forever and irrevocably, as set forth in this Final Order and Judgment; this Court approves the application for fees filed by Class Counsel on 4/6/98 in the amounts set forth in this Final Order and Judgment; this Court approves the application for fees filed by the law firm of Altshuler, Nussbau, Berzon, &Rubin on 4/6/98 in the amount of \$50,000; this Court approves the application for incentive payments filed by the Class Representatives and Named Plaintiff Bette Laswell on 4/6/98 in the aggregate amount of \$1,900,000; ( Signed by Judge Constance B. Motley ); Mailed copies and notice of right to appeal. EOD 7/27/98 (ae) (Entered: 07/27/1998) |
| 07/24/1998 |     | Case closed (ae) (Entered: 07/27/1998)   |
| 07/24/1998 | 113 | FINAL ORDER AND JUDGMENT APPROVING CLASS ACTION SETTLEMENT AND DISMISSING CLAIMS; this Final Order and Judgment Approving Class Action Settlement is binding on all members of the Class as defined in the Preliminary Approval Order. The Notice of Class Action Settlement Approval annexed as Exhibit 1 to Amendment 3A to Stip. of Settlement dtd 11/18/97 is hereby approved by this Court. Smith Barney shall bear all costs reasonably associated with printing, mailing, and publishing the Notice of Class Action Settlement Approval and the summary thereof as required by Paragraphs 16 and 17 as set forth in this order, including, w/o limitation, the cost of any outside vendors retained by Class Counsel to aid in effectuating such notice. This action is hereby dismissed in its entirety, on the merits and w/prejudice, as against defts Smith Barney, James Dimon, and Nicholas Cueno, and w/o costs to any party. This Court approves the application for fees filed by class Counsel on 4/6/98 in the amounts stated in this order. This Court approves the application for incentive payments filed by the Class Representatives and named plttf Bette Laswell on 4/6/98 in the aggregate amount of \$1,900,000. (signed by Judge Constance B. Motley); Mailed copies and notice of right to appeal. EOD:7/28/98 (kg) (Entered: 07/29/1998)  |
| 07/24/1998 |     | Case reopened. Case Closed in Error. (dcap) (Entered: 03/15/1999)  |
| 07/27/1998 | 111 | FOURTH AMENDMENT TO STIPULATION OF SETTLEMENT DATED 11/18/97, the Stipulation of Settlement dated 11/18/97 as preliminarily approved by the District Court on 11/21/97, amended on 4/9/98, supplemented on 6/15/98, and amended again on 7/1/98 and 7/15/98, shall be further amended as set forth in this Stipulation and Order ( signed by Judge Constance B. Motley ). (ae) (Entered: 07/28/1998)   |

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| 07/27/1998 | 112 | AMENDMENT NO. 3A TO STIPULATION OF SETTLEMENT DATED 11/18/97, this Amendment No. 3A to Stipulation of Settlement Dated 11/18/97 shall supersede and replace in its entirety the Third Amendment to Stipulation of Settlement dated 11/18/97, dated 7/15/98 ( signed by Judge Constance B. Motley ). (ae) (Entered: 07/28/1998)  |
| 08/03/1998 | 114 | DECLARATION in support of Mary Stowell in support of Proposed Order with respect to notice of class action settlement approval and effective date and summary notice of class action settlement agreement (dj) (Entered: 08/04/1998)  |
| 08/06/1998 | 115 | Transcript of record of proceedings filed before Judge Motley for dates of 11/18/97 (sac) (Entered: 08/06/1998)   |
| 08/07/1998 | 116 | SUMMARY NOTICE OF CLASS ACTION SETTLEMENT APPROVAL, pursuant to Rule 23 of the FRCP and the Final Order and Judgment Approving Class Action Settlement and Dismissing Claims issued by the U.S.D.C. for the S.D.N.Y. in this action on 7/24/98 ( signed by Judge Constance B. Motley ); Copies mailed (ae) (Entered: 08/10/1998)  |
| 08/07/1998 | 117 | ORDER WITH RESPECT TO NOTICE OF CLASS ACTION SETTLEMENT APPROVAL AND EFFECTIVE DATE; The summary Notice of Class Action Settlement Approval submitted by the parties on 7/31/98 is approved ( signed by Judge Constance B. Motley ); Copies mailed (jp) (Entered: 08/10/1998)   |
| 08/26/1998 | 118 | NOTICE OF MOTION by plaintiffs striking the motion for reconsideration under FRCP 9(b) filed by Pamela Martens, Edna Broyles and Judith Mione , Return date 9/14/98; Declaration in support (dj) Modified on 09/21/1998 (Entered: 08/27/1998)   |
| 08/26/1998 | 119 | RESPONSE by plaintiffs in opposition to motion to reconsider(dj) Modified on 09/21/1998 (Entered: 08/27/1998)   |
| 08/26/1998 | 120 | MEMORANDUM by plaintiffs in support of [118-1] motion striking the motion for reconsideration under FRCP 9(b) (dj) Modified on 09/21/1998 (Entered: 08/27/1998)   |
| 09/04/1998 | 121 | Transcript of record of proceedings before Judge Motley filed for dates of July 23, 1998 (jp) (Entered: 09/04/1998)   |
| 11/19/1998 | 122 | ORDER; Pltff's motion for reconsideration dated 8/13/98, is denied on the grounds stated in this order ; granting [118-1] motion striking the motion for reconsideration under FRCP 9(b) filed by Pamela Martens, Edna Broyles and Judith Mione ( signed by Judge Constance B. Motley ); Copies mailed (sac) (Entered: 11/20/1998)  |
| 04/06/1999 | 123 | ORDER, set pre-trial conference for 2:00 p.m. on 6/10/99 in courtroom 26-A; all parties other than the defendants dismissed by settlement must arrive and be prepared for hearing on all pending motions. ; that class counsel submit to the court, by Thursday, June 24, 1999, a report summarizing progress an implementation of the settlement approved on 7/24/98. ( signed by Judge Constance B. Motley ); Copies mailed (pl) Modified on 04/07/1999 (Entered: 04/07/1999) |
| 06/24/1999 | 124 | Report on the implementation of the settlement filed by Stowell &Friedman, Class Counsel. (jp) (Entered: 06/25/1999)  |
| 08/02/1999 | 125 | NOTICE OF MOTION by Smith Barney/Shear., James Dimon to dismiss the action ; to stay proceedings ; to compel arbitration ; Return date 8/26/99 (cd) Modified on 08/03/1999 (Entered: 08/03/1999)  |
| 08/02/1999 | 126 | DECLARATION of Eugene Clark by Smith Barney/Shear., James Dimon in support Re: [125-1] motion to dismiss, [125-2] motion to stay, [125-3] motion to compel arbitration . (cd) (Entered: 08/03/1999)   |
| 08/02/1999 | 127 | MEMORANDUM by Smith Barney/Shear., James Dimon in support of [125-1] motion to dismiss, [125-2] motion to stay, [125-3] motion to compel arbitration (cd) (Entered: 08/03/1999)   |



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| 08/11/1999 | 128 | NOTICE OF MOTION by Pamela K. Martens, Judith P. Mione Plntf's Response to motion [125-1] motion to dismiss the action, [125-2] motion to stay proceedings, [125-3] motion to arbitration to be extended to 9/7/99 ; Return date not indicated (cd) (Entered: 08/12/1999)  |
| 08/25/1999 | 129 | ORDER; plttfs' response to motion reset to 9/7/99 for [125-3] motion to compel arbitration ; the next pre-trial conference, at which the parties must be prepared for hearing on all pending motions, is scheduled for 10:00 a.m. on Tuesday, 9/21/99 in courtroom 26-A in the U.S. Courthouse at 500 Pearl Street ; ( signed by Judge Constance B. Motley ) ; copies mailed. (ls) (Entered: 08/25/1999)   |
| 08/25/1999 | 130 | SCHEDULING AMENDMENT TO STIPULATION OF SETTLEMENT; The Settlement Stipulation shall be further amended as set forth in this order. (signed by Judge Constance B. Motley); Copies mailed. (djc) Modified on 08/27/1999 (Entered: 08/26/1999)  |
| 09/07/1999 | 131 | MEMORANDUM by Pamela K. Martens, Judith P. Mione in opposition to [125-1] motion to dismiss the action, [125-2] motion to stay proceedings, [125-3] motion to compel arbitration (jp) (Entered: 09/08/1999)  |
| 09/21/1999 | 132 | REPLY MEMORANDUM by Smith Barney, Inc., James Dimon re: in support of [125-1] motion to dismiss the action, [125-2] motion to stay proceedings, [125-3] motion to compel arbitration. (rec'd in the night deposit box on 9/21/99 at 7:21 p.m.) (sac) (Entered: 09/22/1999)   |
| 09/21/1999 | 133 | SUPPLEMENTAL DECLARATION of Eugene V. Clark by Smith Barney, Inc., James Dimon in support Re: [125-1] motion to dismiss the action, [125-2] motion to stay proceedings, [125-3] motion to compel arbitration. (sac) (Entered: 09/22/1999)  |
| 10/27/1999 | 134 | NOTICE OF CROSS MOTION by Smith Barney, Inc., James Dimon striking plntfs Pamela Martens and Judith Mione's motion to strike the Supplemental Declaration submitted by Smith Barney ; for attorney fees ; Return date 11/19/99 (fld in the night deposit box on 10/27/99) (cd) (Entered: 10/29/1999)   |
| 10/27/1999 | 135 | DECLARATION of Hallie Levin by Smith Barney, Inc., James Dimon in support Re: [134-1] cross motion striking plntfs Pamela Martens and Judith Mione's motion to strike the Supplemental Declaration submitted by Smith Barney, [134-2] cross motion for attorney fees (fld in the night deposit box on 10/27/99) (cd) (Entered: 10/29/1999)   |
| 10/27/1999 | 136 | MEMORANDUM OF LAW by Smith Barney, Inc., James Dimon in support of [134-1] cross motion striking plntfs Pamela Martens and Judith Mione's motion to strike the Supplemental Declaration submitted by Smith Barney, [134-2] cross motion for attorney fees (fld in the night deposit box on 10/27/99) (cd) (Entered: 10/29/1999)  |
| 11/04/1999 | 137 | NOTICE OF MOTION by Marianne Dalton, Cara Beth Walker, Teresa Tedesco; for an Order, purs. to Local Rule 1.3(c), admitting Kent Spriggs pro hac vice for plttfs ; Return date not indicated. Declaration of Kent Spriggs in support of motion attached. (jp) (Entered: 11/08/1999)   |
| 11/09/1999 | 138 | NOTICE OF MOTION by Deborah N. Archer, counsel for plttfs in this action; for an order purs. to Local Rule 1.3 (c) admitting Paul C. Sprenger pro hac vice in this matter on behalf of plttfs ; Return date not indicated; Declaration of Paul C. Sprenger Purs. to 28 U.S.C. 1746 attached (ls) (Entered: 11/10/1999)   |
| 11/12/1999 | 139 | NOTICE OF MOTION by Pamela K. Martens, Judith P. Mione; for an order to strike the Supplemental Declaration of Eugene V. Clark submitted by dft's Smith Barney and James Dimon, after the hearing held before the Cour ton 9/21/99 ; to strike that portion of the defendants Reply Brief that state that NASB Arbitration Code provided individuals with the right to take depositions ; Return date: not indicated. (pl) (Entered: 11/16/1999) |
| 11/12/1999 | 140 | MEMORANDUM OF LAW by Pamela K. Martens, Lori Hurwitz in support of [139-1] motion for an order to strike the Supplemental Declaration of Eugene V. Clark submitted by dft's Smith Barney and James Dimon, after the hearing held before the Cour ton 9/21/99, [139-2] motion to strike that portion of the   |

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|            |     | defendants Reply Brief that state that NASB Arbitration Code provided individuals with the right to take depositions (pl) (Entered: 11/16/1999)   |
| 11/12/1999 | 141 | NOTICE OF MOTION by Pamela K. Martens, Judith P. Mione; for an order granting permission to conduct limited discovery ; to submit a surreply brief relating to Smith Barney, James Dimon and Nicholas Cuneo's pending Motion to Compel Arbitration ; Return date: not indicated (pl) Modified on 11/16/1999 (Entered: 11/16/1999)   |
| 11/12/1999 | 142 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione in support of [141-1] motion for an order granting permission to conduct limited discovery; [141-2] motion to submit a surreply brief relating to Smith Barney, James Dimon and Nicholas Cuneo's pending Motion to Compel Arbitration (pl) (Entered: 11/16/1999)  |
| 11/12/1999 | 143 | DECLARATION of Gary Phelan by Pamela K. Martens, Judith P. Mione in support of Re: [141-1] motion for an order granting permission to conduct limited discovery; [141-2] motion to submit a surreply brief relating to Smith Barney, James Dimon and Nicholas Cuneo's pending Motion to Compel Arbitration. (pl) (Entered: 11/16/1999)                                      |
| 11/17/1999 | 144 | Transcript of record of proceedings before Judge Constance B. Motley for the date(s) of 9/21/99 11:45 a.m. (bw) (Entered: 11/17/1999)   |
| 11/18/1999 | 145 | NOTICE OF MOTION by Edna Broyles to enforce the Stipulation of Settlement and to Order Mediation ; Return date 12/10/99 (cd) (Entered: 11/19/1999)  |
| 11/18/1999 | 146 | AFFIDAVIT of Claire Saady by Edna Broyles in support Re: [145-1] motion to enforce the Stipulation of Settlement and to Order Mediation . (cd) (Entered: 11/19/1999)  |
| 11/18/1999 | 147 | MEMORANDUM OF LAW by Edna Broyles in support of [145-1] motion to enforce the Stipulation of Settlement and to Order Mediation (cd) (Entered: 11/19/1999)   |
| 11/19/1999 | 148 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann in opposition to [134-1] cross motion striking plntfs Pamela Martens and Judith Mione's motion to strike the Supplemental Declaration submitted by Smith Barney, [134-2] cross motion for attorney fees (pl) (Entered: 11/22/1999)   |
| 11/19/1999 | 149 | DECLARATION of Gary Phelan by Pamela K. Martens, Judith P. Mione in opposition to Re: [134-1] cross motion striking plntfs Pamela Martens and Judith Mione's motion to strike the Supplemental Declaration submitted by Smith Barney; [134-2] cross motion for attorney fees. (pl) (Entered: 11/22/1999)  |
| 11/19/1999 | 150 | NOTICE OF MOTION by Cara Beth Walker, Lisa Mays, and Teresa Tedesco; for an Order allowing them to discharge Stowell & Friedman as their counsel in their roles as representative plttfs and substitute Kent Spriggs of Spriggs & Davis as counsel for them in their status as representative plttfs in this action ; Return date not indicated. (jp) (Entered: 11/22/1999) |
| 11/19/1999 | 151 | NOTICE OF EMERGENCY MOTION by Cara Beth Walker, Lisa Mays, and Teresa Tedesco; for relief from "Individual Practices of Judge Motley" 2(C) ; Return date not indicated. (jp) (Entered: 11/22/1999)  |
| 11/19/1999 | 152 | NOTICE OF MOTION by Cara Beth Walker, Lisa Mays, and Teresa Tedesco; for an Order enforcing the Order of 7/28/98, approving the Consolidated Stipulation of Settlement ; Return date not indicated. Memorandum of law in support of motion attached. (jp) (Entered: 11/22/1999)   |
| 11/19/1999 | 153 | DECLARATIONS of Kristina Carman, John C. Davis, Janet Hill, Lisa Mays, Gary Phelan, Deborah C. Reid, Kent Spriggs, Cara Beth Walker and Robert E. Weisberg, by Cara Beth Walker, Teresa Tedesco in support of: [152-1] motion for an Order enforcing the Order of 7/28/98, approving the Consolidated Stipulation of Settlement. (jp) (Entered: 11/22/1999)                 |

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| 11/24/1999 | 154 | NOTICE OF CROSS MOTION by Smith Barney, Inc., James Dimon for attorney fees and costs incurred in connection with responding to plntfs pamela Martens and Judith Mione's Motion for Permission to Conduct Limited Discovery ; Return date 12/21/99 (cd) (Entered: 11/30/1999)  |
| 11/24/1999 | 155 | DECLARATION of Hallie Levin by Smith Barney, Inc., James Dimon in support Re: [154-1] cross motion for attorney fees and costs incurred in connection with responding to plntfs pamela Martens and Judith Mione's Motion for Permission to Conduct Limited Discovery . (cd) (Entered: 11/30/1999)  |
| 11/24/1999 | 156 | MEMORANDUM OF LAW by Smith Barney, Inc., Shearson Leh. Hutt., Smith Barney/Shear., James Dimon in support of [154-1] cross motion for attorney fees and costs incurred in connection with responding to plntfs pamela Martens and Judith Mione's Motion for Permission to Conduct Limited Discovery (cd) (Entered: 11/30/1999)   |
| 11/30/1999 | 157 | NOTICE OF MOTION by Marianne Dalton, Cara Beth Walker, Teresa Tedesco, for an order pursuant to Local Rule 1.3(c) admitting Lawrence P. Schaefer pro hac vice on behalf of four plaintiffs in this action, Cara Beth Walker, Marianne Dalton, Lisa Mays, and Teresa Tedesco , Return date not indicated. (Declaration of Lawrence P. Schaefer attached in support) (ri) (Entered: 12/02/1999)  |
| 11/30/1999 | 158 | REPLY MEMORANDUM by Smith Barney, Inc., James Dimon in further support re: [134-1] cross motion striking plntfs Pamela Martens and Judith Mione's motion to strike the Supplemental Declaration submitted by Smith Barney, [134-2] cross motion for attorney fees. (Rec'd in N.B. 11/30/99 9:08 PM) (sn) (Entered: 12/02/1999)   |
| 12/03/1999 | 159 | OPINION #83173. For the reasons outlined in this memorandum opinion, the court now grants defendant NYSE's and defendant NASD's motions to dismiss. The title VII gender discrimination claim against NASD and NYSE is dismissed in keeping with the Second Circuit's ruling that Title VII does not preclude NASD or NYSE from seeking mandatory arbitration of brokers' Title VII claims ; The court now allows Pamela K. Martens and Judith P. Mione to elect to rejoin the plaintiff class and participate as named plaintiffs as per the terms of the court-approved settlement agreement. Martens and Mione may exercise this option by submitting such request in writing to the court within thirty days of the date of this opinion and attached order. (signed by Judge Constance B. Motley); Copies mailed. (djc) (Entered: 12/06/1999) |
| 12/03/1999 | 160 | ORDER granting [125-1] motion to dismiss Count VII against NASD and NYSE pursuant to FRCP 12(b)(6); The Court now presents Pamela K. Martens and Judith P. Mione, named plaintiffs who previously opted out of the class and class settlement, the option to rejoin the class and participate in the court-approved class settlement as named plaintiffs. Plaintiffs Martens and Mione may exercise this option by writing to the court to express their intent to rejoin the class and participate in the court-approved settlement as per their its terms within 30 days of the of this order . (signed by Constance B. Motley); Copies mailed. (ri) Modified on 12/09/1999 (Entered: 12/07/1999)  |
| 12/06/1999 | 161 | MEMORANDUM OF LAW by Smith Barney, Inc., James Dimon in opposition to [150-1] motion for an Order allowing them to discharge Stowell &Friedman as their counsel in their roles as representative plttfs and substitute Kent Spriggs of Spriggs &Davis as counsel for them in their status as representative plttfs in this action (sac) (Entered: 12/08/1999)  |
| 12/08/1999 | 162 | NOTICE OF MOTION by Plaintiffs for leave to file a memorandum in excess of 25 pages to respond adequately to moving plttfs' motion and memorandum . No return date indicated. (sn) (Entered: 12/10/1999)   |
| 12/08/1999 | 163 | NOTICE OF MOTION by Plaintiffs for leave to file their memorandum in opposition to motion to enforce settlement stipulation and memorandum in opposition to Kent Spriggs' motion to substitute . No return date indicated. (sn) (Entered: 12/10/1999)  |
| 12/08/1999 | 164 | NOTICE OF MOTION by Plaintiffs to strike certain assertions of fact made by Moving Plttfs . No return date indicated. (sn) (Entered: 12/10/1999)   |

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| 12/08/1999 | 165 | MEMORANDUM OF LAW by Plaintiffs in support of [164-1] motion to strike certain assertions of fact made by Moving Pltffs. (sn) (Entered: 12/10/1999)  |
| 12/08/1999 | 166 | MEMORANDUM OF LAW by Plaintiffs in opposition to [150-1] motion for an Order allowing them to discharge Stowell &Friedman as their counsel in their roles as representative pltffs and substitute Kent Spriggs of Spriggs &Davis as counsel for them in their status as representative pltffs in this action. (sn) (Entered: 12/10/1999)               |
| 12/08/1999 | 167 | DECLARATION of Mary Stowell, Linda D. Friedman, Max Fischer, Nathan Vogt, Beverly Trice, Stanette Rose, Derrick Brent by Plaintiffs in opposition to motion to enforce settlement stipulation. (sn) (Entered: 12/10/1999)  |
| 12/08/1999 | 168 | MEMORANDUM OF LAW by Plaintiffs in opposition to motion to enforce settlement stipulation. (sn) (Entered: 12/10/1999)  |
| 12/10/1999 | 170 | MEMORANDUM OF LAW by Smith Barney, Inc., James Dimon in further opposition to [145-1] motion to enforce the Stipulation of Settlement and to Order Mediation. (sn) (Entered: 12/15/1999)   |
| 12/12/1999 | 169 | DECLARATION of Joyce S. Huang by Smith Barney, Inc., James Dimon in further opposition Re: [145-1] motion to enforce the Stipulation of Settlement and to Order Mediation. (sn) (Entered: 12/15/1999)  |
| 12/15/1999 | 171 | DECLARATION of Eugene V. Clark by Smith Barney, Inc. in support Re: [170-1] opposition memorandum. (ri) (Entered: 12/16/1999)  |
| 12/16/1999 | 172 | REPLY by Cara Beth Walker, Teresa Tedesco, Lisa Mays Re: [170-1] opposition memorandum (sac) (Entered: 12/20/1999)   |
| 12/17/1999 | 173 | EMERGENCY MOTION by Beth Walker, Lisa Mays and Teresa Tedesco, for relief from "Individual Practices of Judge Motley" 2(C) as regards their reply to opposition of Class Counsel to motion of plaintiffs Walker, Mays and Tedesco to enforce the settlement stipulation . Return date not indicated. (ri) Modified on 12/20/1999 (Entered: 12/20/1999) |
| 12/17/1999 | 174 | REPLY by Cara Beth Walker, Teresa Tedesco, and Lisa Mays to Opposition of Class counsel to Motion of plaintiffs Walker, Mays and Tedesco to enforce the settlement stipulation with memorandum of law. (ri) (Entered: 12/20/1999)  |
| 12/17/1999 | 175 | REPLY by Cara Beth Walker, Teresa Tedesco in support of [150-1] motion for an Order allowing them to discharge Stowell &Friedman as their counsel in their roles as representative pltffs and substitute Kent Spriggs of Spriggs &Davis as counsel for them in their status as representative pltffs this action. (ri) (Entered: 12/20/1999)           |
| 12/17/1999 | 176 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione in support of their motion for reconsideration of the Court's 12/2/99 Opinion (ls) (Entered: 12/20/1999)   |
| 12/17/1999 | 177 | REPLY MEMORANDUM of LAW by Smith Barney/Shear., James Dimon in further support of [154-1] cross motion for attorney fees and costs incurred connection with responding to plntfs pamelamartens and Judith Mione's Motion for Permission to Conduct Limited Discovery; (docmt filed in night dep. on 12/17/99 at 8:31 p.m.) (djc) (Entered: 12/21/1999) |
| 12/20/1999 | 178 | ORDER: all parties are ordered to attend a status conference on Wednesday, 1/26/00 at 2:00 p.m. at 500 Pearl Street in Courtroom 26A. ( signed by Judge Constance B. Motley ); Copies mailed. (sac) (Entered: 12/21/1999)  |
| 12/20/1999 | 179 | REPLY by Edna Broyles Re: [145-1] motion to enforce the Stipulation of Settlement and to Order Mediation (cd) (Entered: 12/22/1999)  |
| 12/20/1999 | 180 | NOTICE OF MOTION by Pamela K. Martens, Judith P. Mione for reconsideration of the Court's 12/2/99 Opinion Return date not indicated (cd) (Entered: 12/22/1999)   |
| 12/27/1999 | 181 | MEMORANDUM OF LAW by Cara Beth Walker, Teresa Tedesco and Lisa Mays in opposition to [164-1] motion to strike certain assertions fact made by  |

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|            |     | Moving Pltffs. (ri) (Entered: 12/28/1999)  |
| 12/28/1999 | 182 | CORRECTED MEMORANDUM OF LAW by Plaintiffs in opposition to motion to enforce settlement Stipulation (ls) (Entered: 12/29/1999)   |
| 12/29/1999 | 183 | NOTICE OF MOTION by Pamela K. Martens, Judith P. Mione; for a four-day extension to submit the Memorandum of Law and accompanying exhibits in Opposition to the Defts' Motion to Strike and for Attny's fees they filed on 11/19/99 ; Return date not indicated (ls) (Entered: 01/03/2000)   |
| 12/29/1999 | 184 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione in support of [183-1] motion for a four-day extension to the Memorandum of Law and accompanying exhibits in Opposition to the Defts' Motion to Strike and for Attny's fees they filed on 11/19/99 (ls) (Entered: 01/03/2000)   |
| 12/29/1999 | 185 | DECLARATION of Gary Phelan by Pamela K. Martens, Judith P. Mione in opposition Re: (a) the defts' opposition to the pltffs' motion for permission to conduct limited discovery and to submit a surreply brief, (b) the defts' further support of their cross-motion to strike and for attny's fees and costs, and (c) in opposition to the defts' cross-motion for attny's fees and costs (ls) (Entered: 01/03/2000)   |
| 12/29/1999 | 186 | REPLY MEMORANDUM by Pamela K. Martens, Judith P. Mione in response re: defts, Smith Barney, Inc. and James Dimon's, opposition to pltffs' motion for permission to conduct limited discovery and to submit a surreply brief, in opposition to defts' further support of their cross-motion to strike and for attny's fees and costs and in opposition to their cross-motion for attny's fees and costs (ls) (Entered: 01/03/2000)  |
| 12/29/1999 |     | Remark by Cashier's on copy of Notice of Motion (doc.#7): pd. \$25.00, 362872, 12/29/99 (ls) (Entered: 01/03/2000)   |
| 12/29/1999 | 187 | MEMORANDUM OF LAW by Nicholas Cuneo in opposition to Two Plaintiffs' Motion for Permission to conduct Limited Discovery and to Submit a Surreply Brief (djc) (Entered: 01/03/2000)   |
| 12/29/1999 | 188 | MEMORANDUM OF LAW by Nicholas Cuneo in opposition to [145-1] motion to enforce the Stipulation of Settlement and to Order Mediation (djc) (Entered: 01/03/2000)  |
| 12/29/1999 | 189 | MEMORANDUM OF LAW by Nicholas Cuneo in opposition to [145-1] motion to enforce the Stipulation of Settlement and to Order Mediation And joins co-defendants' opposition to the motions (djc) (Entered: 01/03/2000)   |
| 12/29/1999 | 190 | MEMORANDUM OF LAW by Nicholas Cuneo in support of the Motion to Compel Arbitration. (djc) (Entered: 01/03/2000)  |
| 01/05/2000 | 191 | CERTIFICATE OF SERVICE by the firm of Paul Weiss Rifkind Wharton & Garrison of the Memo of Law of defendants Smith Barney and James Dimon in opposition to Motion for Reconsideration. (ri) (Entered: 01/06/2000)  |
| 01/12/2000 | 192 | MEMORANDUM OF LAW by James Dimon, Smith Barney/Shearso in opposition to [183-1] motion for a four-day extension to submit the Memorandum of Law and accompanying exhibits in Opposition to the Defts' Motion to Strike and for Attny's fees they filed on 11/19/99 and Accompanying motion papers in opposition to defendants' [154-1] cross motion for attorney fees and costs incurred in connection with responding to plntfs pamelamartens and Judith Mione's Motion for Permission to Conduct Limited Discovery, [139-1] motion for an order to strike the Supplemental Declaration of Eugene V. Clark submitted by dft's Smith Barney and James Dimon, after the hearing held before the Cour ton 9/21/99, [139-2] motion to strike that portion of the defendants Reply Brief that state that NASB Arbitration Code provided individuals with the right to take depositions, [134-1] cross motion striking plntfs Pamela Martens and Judith Mione's motion to strike the Supplemental Declaration submitted by Smith Barney, [134-2] cross motion for attorney fees (djc) (Entered: 01/13/2000) |

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| 01/14/2000 | 193 | REPLY MEMORANDUM by Pamela K. Martens, Judith P. Mione re: [180-1] motion for reconsideration of the Court's 12/2/99 Opinion (cd) (Entered: 01/18/2000)  |
| 01/18/2000 | 194 | MEMORANDUM OF LAW by Smith Barney, Inc., James Dimon in opposition to [180-1] motion for reconsideration of the Court's 12/2/99 Opinion (sac) (Entered: 01/19/2000)  |
| 01/25/2000 | 195 | MEMORANDUM OPINION #83380; this court certified a settlement class and, in 1998, approved a settlement agreement between plttf and the Smith Barney defts; named plttfs Pamela K. Martens and Judith P. Mione opted out of the settlement before it was finally approved by this court; when plttfs Pamela K. Martens and Judith P. Mione opted out of this action at the time this court preliminarily approved a proposed settlement, they had the right to: 1) pursue their individual claims against Smith Barney in this action, or 2) file a new action before the statute of limitations had run; they did neither; Smith Barney has now moved to dismiss this action against it by these plttfs who opted out; in response to that motion, this court, believing that the opt out plttfs may have misunderstood the effect on their claims of opting out of the class settlement, by opinion and order dtd. 12/2/99, clarified for plttfs the consequences of having opted out of the class settlement; this court then gave plttfs the option of rejoining the class w/in 30 days from the date of the accompanying order; these opt out plttfs advised the court on 12/22/99 that they did not wish to rejoin the class; they then moved this court to reconsider its opinion and order of 12/2/99 and permit them to pursue their individual claims against Smith Barney in this action which they had initially brought on behalf of themselves and all other similiary situated; defts have opposed the motion for reconsideration on the grounds that plttfs have failed to cite any controlling opinion or authority or factual matters overlooked which might have materially influenced the opinion and order; plttfs also ask the court to again grant them an opportunity to reconsider rejoining the class if their individual claims are now barred for some reason; plttfs filed only a motion to reconsider this court's opinion regarding the opt out plttfs; they did not file a motion requesting that the statute of limitations if applicable, be tolled; they simply argued this position in their brief in support of their motion for reconsideration; defts, in response, have not requested an opportunity to answer; this court now rules that plttfs will not be given a further opportunity to opt back into the class beyond the ten day period which remained when they filed their motion to reconsider; if they should not take advantage of this option in the next ten days, that would, of course, end this matter; if they do not, this court rules that plttfs' individual claims remained pending as such but may now have been barred by laches of the statute of limitations; the parties will now be given 31 days from the date of the accompanying order to brief both the laches and statute of limitations questions if plttfs again reject the option to opt back into the class and settlement w/in the next ten days; ea. party will then have 30 days to answer the other party's submission; the court will then hear arguments on the questions only on 4/24/00; no extensions of time from that schedule will be granted ; ( signed by Judge Constance B. Motley ); copies mailed (ls) (Entered: 01/26/2000) |
| 01/25/2000 |     | Oral argument set for 4/24/00 before Judge Constance B. Motley (ls) (Entered: 01/26/2000)  |
| 01/25/2000 | 196 | ORDER, that the conference scheduled for 1/26/00 is canceled; Opt out plaintiffs Pamela K. Martens and Judith P. Mione have 10 days from the date of this Order to elect to rejoin the class. If the opt out plaintiffs do not elect to rejoin the plaintiff class then the parties are ordered to brief the issues of laches and statutes of limitations; Both parties are to submit briefs within 31 days of the date of this Order and both parties will have 30 days to respond to the submissions of the other party. No extensions will be granted. The Court will hear arguments only on the issues of laches and statute of limitations in Courtroom 26A in 500 Pearl Street on 1/24/00 at 2:00 p.m.) . ( signed by Judge Constance B. Motley ); Copies mailed. (ri) (Entered: 01/26/2000)   |
| 01/25/2000 | 197 | REPLY MEMORANDUM by Pamela K. Martens, Judith P. Mione in support of re: [183-1] motion for a four-day extension to submit the Memorandum of Law and accompanying exhibits in Opposition to the Defts' Motion to Strike and for  |

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|            |     | Attny's fees they filed on 11/19/99 (sac) (Entered: 01/26/2000)  |
| 01/31/2000 | 198 | MEMORANDUM OPINION AND ORDER #83412; Mr. Spriggs' motion to enforce the settlement is denied for its gross failure to comply with the page limits of this court's Individual Rules. If Mr. Spriggs elects to refile this motion in compliance with this court's rules relating to motions, he is instructed that any factual allegations regarding improprieties by class counsel or Smith Barney or both in connection with the DRP be properly supported by affidavits, signed by individuals with personal knowledge of the alleged improprieties. Mr. Spriggs has 21 days from the date of this order to serve and refile his motion in compliance with this court's rules and the court's instructions herein. Opposing counsel will have 21 days to answer. Mr. Spriggs will have ten days to reply. The court has found no record from which it can conclude that Mr. Spriggs is currently admitted to practice in the SDNY. Mr. Spriggs must demonstrate compliance with Rule 1.3 prior to entering an appearance before this court. Mr. Spriggs is instructed to submit either proof of admission to practice in the SDNY and current good standing therein or a motion to appear pro hac vice supported by proof of admission to practice and current good standing in another jurisdiction. If a new motion is filed, a hearing is scheduled for Wednesday, 4/12/00 at 10:00 a.m. in Courtroom 26A at 500 Pearl St. At that time the court will hear the motion to enforce the settlement stipulation and motion to substitute counsel, meaning that the court will hear testimony of various witnesses and receive exhibits. ( signed by Judge Constance B. Motley ); Copies mailed. (sac) (Entered: 01/31/2000) |
| 01/31/2000 | 199 | NOTICE OF MOTION by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann for an order, purs. to Rule 1.3(c); admitting John C. Davis to appear pro hac vice ; Return date not indicated. (sac) (Entered: 02/01/2000)  |
| 02/03/2000 | 200 | RENEWED NOTICE OF MOTION by Plaintiffs; for an order admitting Kent Spriggs pro hac vice on behalf of plttfs in this action ; Return date not indicated (ls) (Entered: 02/04/2000)   |
| 02/15/2000 | 201 | ORDER; granting [200-1] motion for an order admitting Kent Spriggs pro hac vice on behalf of plttfs in this action; granting [199-1] motion for an order, purs. to Rule 1.3(c); admitting John C. Davis to appear pro hac vice. (signed by Judge Constance B. Motley); Copies mailed. (docmt forwarded to Atty Admissions Clerk) (dj) (Entered: 02/16/2000)  |
| 02/23/2000 | 202 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione in support of their argument that their pending individual claims are not barred by the statute of limitations or laches. (jp) (Entered: 02/24/2000)   |
| 02/23/2000 | 203 | DECLARATION of Gary Phelan by Pamela K. Martens, Judith P. Mione. (jp) (Entered: 02/24/2000)   |
| 02/24/2000 | 204 | MEMORANDUM OF LAW by Smith Barney, Inc., James Dimon In Support Of A Determinatin That The Statutes Of Limitations And Laches Bar Martens' And Mione's Individual Claims (ls) (Entered: 02/25/2000)  |
| 02/24/2000 | 205 | DECLARATION of Daniel J. Toal by Smith Barney, Inc., James Dimon in support Re: [204-1] support memorandum (ls) (Entered: 02/25/2000)  |
| 02/28/2000 | 206 | NOTICE OF MOTION by Cara Beth Walker, Teresa Tedesco for leave to file a revised motion to enforce settlement stipulation as set forth on this motion ; Return date not indicated. (jp) (Entered: 02/29/2000)  |
| 03/07/2000 | 207 | ORDER; that Spriggs' request for an extension of time in which to file his motion to enforce the settlement stipulation is granted ; Spriggs will have 21 days from the date of this order to file this motion. Plaintiffs and defendants will have 21 days in which to answer. All other provisions of the 1/28/00 order remain in effect ; If a new motion is filed, the hearing will be held on 4/27/00, at 10:00 a.m. in Courtroom 26 A. The hearing schedule for 4/12/00 is postponed . ( signed by Judge Constance B. Motley ); Copies mailed. (pl) Modified on 03/08/2000 (Entered: 03/07/2000)   |

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| 03/07/2000 | 208 | MEMORANDUM OF LAW by Smith Barney, Inc., James Dimon in opposition to [206-1] motion for leave to file a revised motion to enforce settlement stipulation as set forth on this motion; (djc) (Entered: 03/08/2000)  |
| 03/09/2000 | 209 | NOTICE OF MOTION by Smith Barney, Inc., James Dimon for an order, for reconsideration of the Court's Order dated 3/6/00 ; and, accordingly, for an order denying the Motion for Time to File Revised Motion to Enforce Settlement Stipulation filed by plttfs Cara Beth Walker, Teresa Tedesco and Lisa Mays on 2/28/00 ; Return date 4/10/00. (rec'd in the night deposit box on 3/9/00 at 7:38 p.m.) (sac) (Entered: 03/13/2000)                  |
| 03/09/2000 | 210 | DECLARATION of Joyce S. Huang by Smith Barney, Inc., James Dimon in support Re: [209-1] motion for an order, for reconsideration of the Court's Order dated 3/6/00, [209-2] motion for an order denying the Motion for Time to File Revised Motion to Enforce Settlement Stipulation filed by plttfs Cara Beth Walker, Teresa Tedesco and Lisa Mays on 2/28/00. (rec'd in the night deposit box on 3/9/00 at 7:37 p.m.) (sac) (Entered: 03/13/2000) |
| 03/16/2000 | 211 | RESPONSE by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann to [209-1] motion for an order, for reconsideration of the Court's Order dated 3/6/00, [209-2] motion for an order denying the Motion for Time to File Revised Motion to Enforce Settlement Stipulation filed by plttfs Cara Beth Walker, Teresa Tedesco and Lisa Mays on 2/28/00 (pl) (Entered: 03/17/2000)  |
| 03/24/2000 | 212 | OPPOSITION MEMORANDUM OF LAW by Smith Barney, Inc., James Dimon In Support Of A Determination That The Statutes Of Limitations And Laches Bar Martens' And Mione's Individual Claims (ls) (Entered: 03/27/2000)   |
| 03/24/2000 | 213 | REPLY MEMORANDUM by Pamela K. Martens, Judith P. Mione in support of their argument that their pending individual claims are not barred by the Statute of Limitations or laches. (jp) (Entered: 03/27/2000)   |
| 03/27/2000 | 214 | NOTICE OF MOTION with memorandum of law by Cara Beth Walker, Teresa Tedesco to enforce the Order dated 7/28/00, approving the Consolidated Stipulation of Settlement in the respects detailed herein . No return date indicated. (sn) (Entered: 03/28/2000)   |
| 04/13/2000 | 215 | ORDER; the hearing on the issues and statute of limitations scheduled for April 24, 2000 at 2:00 p.m. will begin at 3:00 p.m. on that date in Courtroom 26A at 500 Pearl Street ; (signed by Judge Constance B. Motley ); Copies mailed. (djc) (Entered: 04/13/2000)  |
| 04/17/2000 | 216 | MEMORANDUM OF LAW by Smith Barney, Inc. in opposition to [214-1] motion to enforce the Order dated 7/28/00, approving the Consolidated Stipulation of Settlement in the respects detailed herein (cd) (Entered: 04/18/2000)   |
| 04/19/2000 | 217 | ORDER; Plaintiff's request to postpone the hearing scheduled for April 27, 2000 is granted. The hearing on the motion to enforce the settlement agreement will be held on May 15, 2000 at 10:00 a.m. in courtroom 26A at 500 Pearl Street ; (signed by Judge Constance B. Motley); Copies mailed. (djc) Modified on 04/20/2000 (Entered: 04/19/2000)  |
| 04/19/2000 |     | Deadline(s) updated: Motion hearing set for 10:00 a.m. on 5/15/00 for [214-1] motion to enforce the Order dated 7/28/00, approving the Consolidated Stipulation of Settlement in the respects detailed herein . (djc) Modified on 04/20/2000 (Entered: 04/20/2000)  |
| 04/19/2000 | 218 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann in opposition to [214-1] motion to enforce the Order dated 7/28/00, approving the Consolidated Stipulation of Settlement in the respects detailed herein (cd) (Entered: 04/20/2000)  |
| 04/19/2000 | 219 | DECLARATION of Mary Stowell by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann in support Re: [218-1] opposition memorandum . (cd) (Entered: 04/20/2000)  |



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| 04/25/2000 | 220 | NOTICE OF MOTION by Smith Barney, Inc.; pursuant to Rule 45 (c)(3) of the F.R.C.P., quashing the 4/11/00 subpoena issued by Robert Z. Dobrish of Hoffinger, Friedland, Dobrish & Stern, putative counsel for plaintiffs Cara Beth Walker, Lisa Mays and Teresa Tedesco ; pursuant to Rule 45(c)(1) of the F.R.C.P. and 28 U.S.C. section 1927, awarding Smith Barney its attorneys' fees and costs incurred in connection with the instant motion ; Return date 5/17/00. (pl) (Entered: 04/26/2000)                |
| 04/25/2000 | 221 | MEMORANDUM OF LAW by Smith Barney, Inc. in support of [220-1] motion pursuant to Rule 45 (c)(3) of the F.R.C.P., quashing the 4/11/00 subpoena issued by Robert Z. Dobrish of Hoffinger, Friedland, Dobrish & Stern, putative counsel for plaintiffs Cara Beth Walker, Lisa Mays and Teresa Tedesco (pl) (Entered: 04/26/2000)   |
| 04/27/2000 | 222 | DECLARATION of Daniel J. Toal by Smith Barney, Inc. in support Re: [221-1] support memorandum . (djc) (Entered: 05/02/2000)  |
| 05/08/2000 | 223 | RESPONSE by Cara Beth Walker, Teresa Tedesco Re: [220-1] motion pursuant to Rule 45 (c)(3) of the F.R.C.P., quashing the 4/11/00 subpoena issued by Robert Z. Dobrish of Hoffinger, Friedland, Dobrish & Stern, putative counsel for plaintiffs Cara Beth Walker, Lisa Mays and Teresa Tedesco, [220-2] motion pursuant to Rule 45(c)(1) of the F.R.C.P. and 28 U.S.C. section 1927, awarding Smith Barney its attorneys' fees and costs incurred in connection with the instant motion (jp) (Entered: 05/09/2000) |
| 05/10/2000 | 224 | ORDER, class counsel request to cancel the hearing on the motion to enforce the settlement stipulation is denied. The hearing on the motion to enforce the settlement agreement will occur as scheduled on 5/15/00 at 10:00 a.m. ( signed by Judge Constance B. Motley ); Copies mailed. (cd) (Entered: 05/10/2000)  |
| 05/11/2000 | 225 | ORDER, that Kent Spriggs is to file a reply to class counsel's and Smith Barney's oppositions to his motion to enforce the settlement stipulation by 9:00 a.m. on 5/15/00 . ( signed by Judge Constance B. Motley ); Copies mailed. (ri) (Entered: 05/11/2000)   |
| 05/15/2000 | 226 | ORDER; that for the reasons outlined in the memorandum opinion filed simultaneously herewith, all individual claims of plaintiffs Pamela K. Martens and Judith P. Mione in this case are dismissed with prejudice pursuant to F.R.C.P. 41(b) for failure to prosecute . ( signed by Judge Constance B. Motley ); Copies mailed. (pl) (Entered: 05/16/2000)   |
| 05/15/2000 | 227 | MEMORANDUM OPINION #83955; that the court finds the Martens' and Mione's fifteen month delay in pursuing their individual claims was unreasonable and inexcusable. As such, all of Martens' and Mione's individual claims shall be dismissed with prejudice pursuant to F.R.C.P. 41(b) for failure to prosecute . ( signed by Judge Constance B. Motley ); Copies mailed. (pl) (Entered: 05/16/2000)   |
| 05/15/2000 | 228 | AFFIRMATION of Claire Saady, Esq. by Edna Broyles, Constance Bladon and Jane Hyatt Zimmerman Re: in support of B. Walker and T. Tedesco's Motion to Enforce the Terms of the Consolidated Stipulation of Settlement. (djc) (Entered: 05/16/2000)   |
| 05/15/2000 | 236 | NOTICE OF MOTION by Plaintiffs to strike the affirmation of Claire Saady, Esq. in support of B. Walker and T. Tedesco's motion to enforce the terms of the consolidated stipulation of settlement , or, in the alternative, to strike their response to Saady's Affirmation . No return date indicated. (sn) (Entered: 05/19/2000)   |
| 05/15/2000 | 237 | MEMORANDUM IN RESPONSE by Plaintiffs re: NOW-NYC's Amicus Brief. (sn) Modified on 05/19/2000 (Entered: 05/19/2000)   |
| 05/15/2000 | 238 | REPLY by Plaintiffs to Class Counsel's opposition to motion to enforce the settlement stipulation. (sn) (Entered: 05/19/2000)  |
| 05/15/2000 | 239 | REPLY MEMORANDUM OF LAW by Plaintiffs in reply to Smith Barney and James Dimon's opposition to their motion to enforce settlement stipulation. (sn) (Entered: 05/19/2000)  |

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| 05/15/2000 | 250 | Transcript of record of proceedings before Judge Constance B. Motley for the date(s) of 5/15/00. (cd) (Entered: 07/10/2000)   |
| 05/17/2000 | 229 | ORDER; for the reasons outlined in the memorandum opinion filed simultaneously herewith, the Court now rescinds Kent Spriggs' pro hac vice admission to this Court . ( signed by Judge Constance B. Motley ); Copies mailed. (sn) Modified on 05/18/2000 (Entered: 05/17/2000)  |
| 05/17/2000 | 230 | MEMORANDUM OPINION #83961, the court revokes its previous order granting Kent Spriggs and John C. Davis permission to appear in this action pro hac vice ; purs to the court's authority under FRCP 11(c)(1)(B) the court imposes sanctions of \$5,000 each against Kent Spriggs and John C. Davis for violations of Rule 11 ( signed by Judge Constance B. Motley ); Copies mailed. (cd) (Entered: 05/17/2000)   |
| 05/17/2000 | 231 | ORDER, purs to the court's authority under FRCP 11(c)(1)(B) the court now imposes sanctions against Kent Spriggs and John C. Davis in the amount of \$5,000 each. Kent Spriggs and John C. Davis are each ordered to pay \$5,000 to the Clerk of Court within 30 days of the date of this order ( signed by Judge Constance B. Motley ); Copies mailed. (cd) (Entered: 05/17/2000)  |
| 05/17/2000 | 232 | ORDER, that John C. Davis of the law firm Springs & Davis of Tallahassee, Florida was admitted to practice pro hac vice upon showing of good standing as a member of the Florida Bar. For the reasons outlined in the memorandum opinion filed on this date, this Court determined that the conduct of John C. Davis before this court violated FRCP 11. Based on this misconduct the court now rescinds John C. Davis' pro hac vice admission . ( signed by Judge Constance B. Motley ); Copies mailed. (Original forwarded to the Attorney Admissions Clerk) (ri) (Entered: 05/17/2000) |
| 05/17/2000 | 233 | ORDER; for the reasons stated on the record in the hearing conducted on 5/15/00 the motion to enforce the settlement stipulation filed on behalf of plttfs Cara Beth Walker and Teresa Tedesco is denied. ( signed by Judge Constance B. Motley ); Copies mailed. (sac) (Entered: 05/18/2000)   |
| 05/17/2000 | 234 | REPLY MEMORANDUM by Smith Barney, Inc. in support of re: [220-1] motion pursuant to Rule 45 (c)(3) of the F.R.C.P., quashing the 4/11/00 subpoena issued by Robert Z. Dobrish of Hoffinger, Friedland, Dobrish & Stern, putative counsel for plaintiffs Cara Beth Walker, Lisa Mays and Teresa Tedesco, [220-2] motion pursuant to Rule 45(c)(1) of the F.R.C.P. and 28 U.S.C. section 1927, awarding Smith Barney its attorneys' fees and costs incurred in connection with the instant motion. (rec'd in the night deposit box on 5/17/00 at 7:39 p.m.) (sac) (Entered: 05/19/2000)     |
| 05/18/2000 | 235 | ORDER, that Pamela K. Martens' and Judith P. Mione's motion for reconsideration of [230-1] order the court revokes its previous order granting Kent Spriggs and John C. Davis permission to appear in this action pro hac vice, is denied . (signed by Judge Constance B. Motley); Copies mailed. (ri) (Entered: 05/19/2000)  |
| 05/18/2000 | 240 | NOTICE OF MOTION by Pamela K. Martens, Judith P. Mione for reconsideration of the Court's May 15, 2000 Opinion ; Return date not indicated. (djc) (Entered: 05/19/2000)   |
| 05/18/2000 | 241 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione in support of [240-1] motion for reconsideration of the Court's May 15, 2000 Opinion (djc) (Entered: 05/19/2000)  |
| 05/18/2000 | 242 | ORDER; granting [220-1] motion pursuant to Rule 45 (c)(3) of the F.R.C.P., quashing the 4/11/00 subpoena issued by Robert Z. Dobrish of Hoffinger, Friedland, Dobrish & Stern, putative counsel for plaintiffs Cara Beth Walker, Lisa Mays and Teresa Tedesco; denying [220-2] motion pursuant to Rule 45(c)(1) of the F.R.C.P. and 28 U.S.C. section 1927, awarding Smith Barney its attorneys' fees and costs incurred in connection with the instant motion . ( signed by Judge Constance B. Motley ); Copies mailed. (pl) (Entered: 06/02/2000)                                       |
| 05/19/2000 | 243 | AFFIRMATION of Claire Saady, Esq by Edna Broyles in Opposition to [236-1] motion to strike the affirmation of Claire Saady, Esq. in support of B. Walker  |

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|            |     | and T. Tedesco's motion to enforce the terms of the consolidated stipulation of settlement. (djc) (Entered: 05/23/2000)   |
| 05/25/2000 | 244 | NOTICE OF APPEAL by Pamela K. Martens, Judith P. Mione ; from [226-1] order that for the reasons outlined in the memorandum opinion filed simultaneously herewith, all individual claims of plaintiffs Pamela K. Martens and Judith P. Miione in this case are dismissed with prejudice pursuant to F.R.C.P. 41(b) for failure to prosecute, [226-2] relief . Copies of notice of appeal mailed to Attorney(s) of Record: Paul Weiss, Rjifking, Wharton & Garrison, Stowell & Friedman, Theodore A. Krebsbach & Associates, P.C.*(\$105 paid on 5/25/00 receipt # E374633. (sl) (Entered: 05/31/2000)   |
| 05/31/2000 |     | Notice of appeal and certified copy of docket to USCA: [244-1] appeal by Judith P. Mione, Pamela K. Martens ; Copy of notice of appeal sent to District Judge. (sl) (Entered: 05/31/2000)   |
| 06/08/2000 | 246 | NOTICE of Compliance with the Court's Order of 5/16/00 by Cara Beth Walker, Lisa Mays and Teresa Tedesco (ri) (Entered: 06/09/2000)   |
| 06/09/2000 | 245 | Transcript of record of proceedings before Judge Constance B. Motley for the date(s) of 4/27/00. (jp) (Entered: 06/09/2000)   |
| 06/12/2000 | 247 | NOTICE OF APPEAL by Cara Beth Walker, Teresa Tedesco and attorneys Kent Spriggs and John Davis ; from [229-1] order for the reasons outlined in the memorandum opinion filed simultaneously herewith, the Court now rescinds Kent Spriggs' pro hac vice admission to this Court, [231-1] order purs to the court's authority under FRCP 11(c)(1)(B) the court now imposes sanctions against Kent Spriggs and John C. Davis in the amount of \$5,000 each. Kent Spriggs and John C. Davis are each ordered to pay \$5,000 to the Clerk of Court within 30 days of the date of this order, [232-1] order that John C. Davis of the law firm Springs & Davis of Tallahassee, Florida was admitted to practice pro hac vice upon showing of good standing as a member of the Florida Bar. For the reasons outlined in the memorandum opinion filed on this date, this Court determined that the conduct of John C. Davis before this court violated FRCP 11. Based on this misconduct the court now rescinds John C. Davis' pro hac vice admission . Copies of notice of appeal mailed to Attorney(s) of Record: Linda Friedman and Brad S, Karp. \$105.00 Appeal filing fee paid 6/12/00 on receipt # E 375845. (dt) (Entered: 06/13/2000) |
| 06/12/2000 | 248 | NOTICE OF APPEAL by Cara Beth Walker, Teresa Tedesco ; from [233-1] order for the reasons stated on the record in the hearing conducted on 5/15/00 the motion to enforce the settlement stipulation filed on behalf of plttfs Cara Beth Walker and Teresa Tedesco is denied., [242-1] order . Copies of notice of appeal mailed to Attorney(s) of Record: Linda Friedman and Brad S. Karp. \$105.00 Appeal filing fee paid 6/12/00 on receipt # E 375847. (dt) (Entered: 06/13/2000)  |
| 06/13/2000 |     | Notice of appeal and certified copy of docket to USCA: [247-1] appeal by Teresa Tedesco, Cara Beth Walker ; Copy of notice of appeal sent to District Judge. (dt) (Entered: 06/13/2000)   |
| 06/13/2000 |     | Notice of appeal and certified copy of docket to USCA: [248-1] appeal by Teresa Tedesco, Cara Beth Walker ; Copy of notice of appeal sent to District Judge. (dt) (Entered: 06/13/2000)   |
| 06/21/2000 | 249 | NOTICE of filing of letter of 1/3/00 by Cara Beth Walker, Teresa Tedesco re in the Motion to Enforce the Settlement Stipulation on page 60 paragraph b, the moving plttfs requested that Class Counsel be ordered to "report to the Court basic facts concerning the implementation of the DRP thus far... so that the Court and parties have a factual basis for fully assessing whether the Settlement Stipulation is being implemented in accordance w/ the letter and intent of the Court's Order" (lf) (Entered: 06/23/2000)   |
| 08/28/2000 | 251 | Notice that the record on appeal has been certified and transmitted to the U.S. Court of Appeals: [244-1] appeal by Judith P. Mione, Pamela K. Martens (sl) (Entered: 08/28/2000)   |

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| 09/18/2000 | 255 | NOTICE of Attorney's Lien for reasonable fees and expenses upon Stacey Kovach. (pl) (Entered: 09/21/2000)  |
| 09/19/2000 | 252 | NOTICE OF MOTION by Edna Broyles for default judgment against Smith Barney for failure to comply with the terms of the Consolidated Stipulaiton of Settlement or in the alternative ordering Smith Barney to submit to arbitration ; Return date 10/6/00. (djc) (Entered: 09/21/2000)  |
| 09/19/2000 | 253 | MEMORANDUM OF LAW by Edna Broyles in support of [252-1] motion for default judgment against Smith Barney for failure to comply with the terms of the Consolidated Stipulaiton of Settlement, [252-2] motion ordering Smith Barney to submit to arbitration . (djc) (Entered: 09/21/2000)   |
| 09/19/2000 | 254 | AFFIRMATION of Claire Saady and Exhibits by Edna Broyles in support of Re: [252-1] motion for default judgment against Smith Barney for failure to comply with the terms of the Consolidated Stipulaiton of Settlement, [252-2] motion ordering Smith Barney to submit to arbitration . (djc) (Entered: 09/21/2000)                              |
| 10/02/2000 | 256 | MEMORANDUM OF LAW in opposition to [252-1] motion for default judgment against Smith Barney for failure to comply with the terms of the Consolidated Stipulaiton of Settlement, [252-2] motion ordering Smith Barney to submit to arbitration . (pl) (Entered: 10/05/2000)   |
| 10/02/2000 | 257 | DECLARATION of Joyce S. Huang in support of Re: [252-1] motion for default judgment against Smith Barney for failure to comply with the terms of the Consolidated Stipulaiton of Settlement, [252-2] motion ordering Smith Barney to submit to arbitration . (pl) (Entered: 10/05/2000)  |
| 01/16/2001 | 258 | ORDER, Motion hearing set for 3:00 on 1/26/01 in Courtroom 26-A for [252-2] motion ordering Smith Barney to submit to arbitration . ( signed by Judge Constance B. Motley ); Copies mailed. (kg) Modified on 01/17/2001 (Entered: 01/17/2001)  |
| 01/23/2001 | 259 | SUPPLEMENTAL DECLARATION of Joyce S. Huang by Smith Barney, Inc. in opposition to Re: [252-1] motion for default judgment against Smith Barney for failure to comply with the terms of the Consolidated Stipulaiton of Settlement. (Received in the night deposit box on 1/23/01 at 5:22 p.m.) (kw) Modified on 01/25/2001 (Entered: 01/25/2001) |
| 01/24/2001 | 260 | ORDER, at the request of plaintiff Edna Broyles the hearing of plaintiff's application to compel arbitration, originally scheduled for 1/26/01 at 3:00 p.m., is hereby adjourned. The rescheduled conference will take place 4/3/01 at 11:00 a.m. ( signed by Judge Constance B. Motley ); Copies mailed. (kw) (Entered: 01/30/2001)             |
| 04/09/2001 | 261 | NOTICE By Former Counsel of Attorney Fees and Cost Lien Relating to Resolution of claims of Cindy Van Lammeren by Roberta O'Brien Thomann . (cd) (Entered: 04/10/2001)   |
| 09/27/2001 | 262 | NOTICE by former counsel of attorney fee and costs lien relating to resolution of claims of Cara Beth Walker. (tp) (Entered: 10/10/2001)   |
| 10/10/2001 | 263 | AFFIDAVIT of Cara Beth Walker by Cara Beth Walker in opposition to her former counsel's attorney fee and cost lien dated 9/19/01 (cd) (Entered: 10/15/2001)  |
| 10/26/2001 |     | Indexed record on appeal files (00-7688) sent to the U.S.C.A. *(Files requested by Vincenza Singleton from the U.S.C.A.)*. (dt) (Entered: 10/26/2001)  |
| 12/03/2001 | 264 | NOTICE OF MOTION by Pamela K. Martens, Judith P. Mione pursuant to FRCP 16(a) and (b), requesting that the Court schedule a pretrial and/or scheduling conference related to both a pending motion and discovery . Return date not indicated. (yv) (Entered: 12/06/2001)   |
| 12/11/2001 | 265 | MEMORANDUM OF LAW by Smith Barney, Inc., James Dimon in opposition to [264-1] motion pursuant to FRCP 16(a) and (b), requesting that the Court schedule a pretrial and/or scheduling conference related to both a pending motion and discovery . (djc) (Entered: 12/12/2001)   |

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| 12/26/2001 | 266 | REPLY MEMORANDUM of LAW by Pamela K. Martens, Judith P. Mione in response to [265-1] opposition memorandum (djc) (Entered: 01/02/2002)  |
| 12/26/2001 | 267 | Letter filed by Pamela K. Martens, Judith P. Mione addressed to Clerk of Court from Gary Phelan, dated 12/20/01; re: counsel notifies court that he has relocated to firm of Klebanoff & Phelan, P.c., Corporate Center West, 433 South Main Street, Suite 117, West Hartford, CT 06110. (djc) (Entered: 01/02/2002)  |
| 02/13/2002 | 268 | MANDATE OF USCA (certified copy) Re: appo. [248-1] appeal by Teresa Tedesco, Cara Beth Walker, [247-1] appeal by Teresa Tedesco, Cara Beth Walker, [244-1] appeal by Judith P. Mione, Pamela K. Martens. It is hereby ordered, adjudged and decreed that the judgment of said district court be and it hereby is vacated and remanded for further proceedings in accordance with the opinion of this Court. Issued as Mandate: 2/5/02, 00-7688(L), 00-7768(CON), &00-7772(CON) Roseann B. MacKechnie, Clerk, U.S.C.A. (sb) (Entered: 02/14/2002)  |
| 02/14/2002 | 269 | ORDER; On November 20, 2001, the United States Court of Appeal for the second Circuit issued an opinion in this matter. The mandate, however, has yet to issue. Until such time as the mandate issues, this court lacks jurisdiction over the issues raised in the appeal ; Plaintiff's requests for a conference is denied without prejudice as premature and procedurally defective ; Plaintiff Edna Broyles' request for a stay of unspecified arbitration proceedings is denied without prejudice as premature and procedurally defective ; Plaintiff Patricia Clemente petition for a revised f the proceedings of the DRP process is denied without prejudice as premature and procedurally defective ; Plaintiffs Pamela K. Martens and Judith P. Mione filed a motion 12/3/01 seeking a pretrial conference. The motion of Martens and Mione is denied without prejudice as premature ; ( signed by Judge Constance B. Motley ); Copies mailed. (djc) (Entered: 02/19/2002) |
| 02/25/2002 | 270 | ORDER, Deadline for filing of all motions by 3/8/02; Response to motion deadline 3/29/02, not to exceed 25 pages ; Reply to response to motion deadline 4/10/02, no to exceed 10 pages; Pretrial conference set for 10:00 5/1/02, in Courtroom 26 A, 500 Pearl St., NY NY. All parties must arrive prepared to argue any pending motions ( signed by Judge Constance B. Motley ); Copies mailed. (cd) (Entered: 02/26/2002)   |
| 03/08/2002 | 272 | NOTICE OF MOTION by Pamela K. Martens, Judith P. Mione; for an Order granting the parties permission to submit a supplemental memorandum of law relating to defendants' motion to compel arbitration , and to issue a scheduling order . No return date set. (kkc) (Entered: 03/12/2002)  |
| 03/08/2002 | 273 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione in support of [272-1] motion for an Order granting the parties permission to submit a supplemental memorandum of law relating to defendants' motion to compel arbitration, [272-2] motion to issue a scheduling order. (kkc) (Entered: 03/12/2002)  |
| 03/08/2002 | 274 | NOTICE OF MOTION by Cara Beth Walker, Lisa Mays, Patricia Clemente, Marianne Dalton, Teresa Tedesco; for an Order for leave to conduct discovery , and to allow supplementation of motions and briefs based on such discovery . No return date set. Declaration of Kent Spriggs attached. (kkc) (Entered: 03/12/2002)   |
| 03/08/2002 | 275 | NOTICE OF MOTION by Cara Beth Walker, Lisa Mays, Patricia Clemente, Marianne Dalton, Teresa Tedesco; for an Order to enforce the Order of 7/28/98 approving the consolidated stipulation of settlement . No return date set. (kkc) (Entered: 03/12/2002)  |
| 03/08/2002 | 276 | MEMORANDUM OF LAW by Cara Beth Walker, Lisa Mays, Patricia Clemente, Marianne Dalton, Teresa Tedesco in support of [275-1] for an Order to enforce the Order of 7/28/98 approving the consolidated stipulation of settlement. (kkc) (Entered: 03/12/2002)   |
| 03/08/2002 | 277 | NOTICE OF MOTION by Smith Barney, Inc., James Dimon; for an Order for a ruling on their pending motion, which the parties have fully briefed, for an Order compelling plaintiffs Pamela K. Martens and Judith P. Mione to arbitration and staying this action pending arbitration . Return date 5/1/02. (kkc) (Entered: 03/12/2002)   |

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|            |     | 03/12/2002)  |
| 03/08/2002 | 279 | NOTICE OF MOTION for an Order extending the March 8, 2002 deadline for filing motions by sixty (60) days , to reopen the settlement of Phyllis Jamison and, to conduct discovery . Return date not indicated. (yv) (Entered: 03/19/2002)   |
| 03/11/2002 | 271 | NOTICE OF APPEAL to the United States District Court for the Southern District of New York by Edna Broyles ; from ; the Decision and Order of the Alternate Dispute Resolution (ADR) Panel, dated January 11, 2002. Copies of notice of appeal mailed to Attorney(s) of Record: Paul, Weiss, Rifkind, Wharton &Garrison, Brad Karp, Esq. (dt) (Entered: 03/11/2002)  |
| 03/11/2002 |     | Notice of appeal to the United States District Court for the Southern District of New York. Sent copy of Appeal to District Court Judge Motley. [271-1] appeal by Edna Broyles. (dt) (Entered: 03/11/2002)   |
| 03/11/2002 | 278 | NOTICE OF MOTION by Cara Beth Walker for an order granting default judgment against Smith Barney, Inc. Return date, not indicated. Memorandum of law in support and exhibits attached (moc) (Entered: 03/14/2002)  |
| 03/14/2002 |     | Record on appeal files (00-7688) returned from U.S. Court of Appeals: [247-1] appeal by Teresa Tedesco, Cara Beth Walker, [248-1] appeal by Teresa Tedesco, Cara Beth Walker. (dt) (Entered: 03/19/2002)   |
| 03/29/2002 | 280 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione in opposition to [277-1] motion for an Order for a ruling on their pending motion, which the parties have fully briefed, for an Order compelling plaintiffs Pamela K. Martens and Judith P. Mione to arbitration and staying this action pending arbitration . (bai) (Entered: 04/02/2002)   |
| 03/29/2002 | 281 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Edna Tompkins, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Patricia Hanloin, Teresa Tedesco, Mary Ann Cabell, Mary Ann Cabell, Ardis Vinnecour, Tracy Gibbs, Robin Tompkins, Patricia Hanlon in opposition to [275-1] motion for an Order to enforce the Order of 7/28/98 approving the consolidated stipulation of settlement . (bai) (Entered: 04/02/2002)  |
| 03/29/2002 | 282 | MEMORANDUM IN RESPONSE by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Edna Tompkins, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Patricia Hanloin, Teresa Tedesco, Mary Ann Cabell, Mary Ann Cabell, Ardis Vinnecour, Tracy Gibbs, Robin Tompkins, Patricia Hanlon [279-1] motion for an Order extending the March 8, 2002 deadline for filing motions by sixty (60) days, [279-2] motion to reopen the settlement of Phyllis Jamison, [279-3] motion to conduct discovery (bai) (Entered: 04/02/2002) |
| 03/29/2002 | 283 | PROPOSED FINDINGS OF FACT AND CONCLUSIONS OF LAW filed by plaintiffs. RE: motion of moving plaintiffs to enforce the settlement stipulation. (bai) (Entered: 04/02/2002)   |
| 03/29/2002 | 284 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Edna Tompkins, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Patricia Hanloin, Teresa Tedesco, Mary Ann Cabell, Mary Ann Cabell, Ardis Vinnecour, Tracy Gibbs, Robin Tompkins, Patricia Hanlon in opposition to the moving plaintiffs' motion for leave to conduct discovery, allow supplementation of motion, and for an order scheduling the same. (bai) (Entered: 04/02/2002)  |
| 03/29/2002 | 285 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne   |

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|            |     | Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Edna Tompkins, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Patricia Hanloin, Teresa Tedesco, Mary Ann Cabell, Mary Ann Cabell, Ardis Vinnecour, Tracy Gibbs, Robin Tompkins, Patricia Hanlon in opposition to [214-1] motion to enforce the Order dated 7/28/00, approving the Consolidated Stipulation of Settlement in the respects detailed herein . Exhibits attached. (bai) (Entered: 04/02/2002)   |
| 03/29/2002 | 286 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Edna Tompkins, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Patricia Hanloin, Teresa Tedesco, Mary Ann Cabell, Mary Ann Cabell, Ardis Vinnecour, Tracy Gibbs, Robin Tompkins, Patricia Hanlon in opposition to [275-1] motion for an Order to enforce the Order of 7/28/98 approving the consolidated stipulation of settlement . Declarations vol #I attached. (bai) (Entered: 04/02/2002)  |
| 03/29/2002 | 287 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione, Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Edna Tompkins, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Patricia Hanloin, Teresa Tedesco, Mary Ann Cabell, Mary Ann Cabell, Ardis Vinnecour, Tracy Gibbs, Robin Tompkins, Patricia Hanlon in opposition to [275-1] motion for an Order to enforce the Order of 7/28/98 approving the consolidated stipulation of settlement . Declarations vol #II attached. (bai) (Entered: 04/02/2002) |
| 03/29/2002 | 288 | NOTICE OF CROSS-MOTION by Smith Barney, Inc. for an order pursuant to FRCP 12(b)(1), 122(b)(6) to strike the motion of Phyllis Jamison for an extension of time, to re-open her settlement and to conduct discovery Return date 5/1/02 at 10:00. (bai) (Entered: 04/02/2002)   |
| 03/29/2002 | 289 | NOTICE OF CROSS-MOTION by Smith Barney, Inc. for an order pursuant to FRCP 12(b)(1), 12(b)(6) to strike the motion of Cara Beth Walker for default judgment and the papers submitted in support thereof Return date 5/1/02 at 10:00. (bai) (Entered: 04/02/2002)   |
| 03/29/2002 | 290 | MEMORANDUM OF LAW by Smith Barney, Inc. in support of [289-1] cross motion for an order pursuant to FRCP 12(b)(1), 12(b)(6) to strike the motion of Cara Beth Walker for default judgment and the papers submitted in support thereof . (bai) (Entered: 04/02/2002)  |
| 03/29/2002 | 291 | MEMORANDUM OF LAW by Smith Barney, Inc., James Dimon in opposition to plaintiffs Martens' and Mione's motion for further supplemental briefing and for a scheduling conference. (bai) Modified on 04/05/2002 (Entered: 04/02/2002)   |
| 03/29/2002 | 292 | DECLARATION of Joyce S. Huang by Smith Barney, Inc. in opposition Re: [278-1] motion for an order granting default judgment against Smith Barney, Inc., and in support of Smith Barney's cross-motion to strike the motion. (bai) (Entered: 04/02/2002)  |
| 03/29/2002 | 293 | MEMORANDUM OF LAW by Smith Barney, Inc. in opposition to [278-1] motion for an order granting default judgment against Smith Barney, Inc., and in support of its cross-motion to strike . (bai) (Entered: 04/02/2002)  |
| 03/29/2002 | 294 | MEMORANDUM OF LAW by Smith Barney, Inc. in opposition to the motion of plaintiffs Lisa Mays, Patricia Clemente, Marianne Dalton and Teresa Tedesco to enforce the settlement stipulation. (bai) (Entered: 04/02/2002)  |
| 03/29/2002 | 295 | DECLARATION of Daniel J. Toal by Smith Barney, Inc. in support Re: [294-1] opposition memorandum . (bai) (Entered: 04/02/2002)   |
| 04/08/2002 | 297 | AFFIDAVIT OF SERVICE of Memo of Law of Defts memo in opposition to plntf motion fo r further supplemetnal briefing, by personal svc on 4/8/02 (cd) (Entered: 04/11/2002)   |

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| 04/09/2002 | 296 | ORDER; Pltff Cara Beth Walker's written request for an extension of time until 4/27/02, to file her reply brief is denied. The Court, however, will grant an extension until 4/22/02. Ms. Walker must file and serve her reply papers before 5:00 PM on that date . ( signed by Judge Constance B. Motley ); Copies mailed. (sn) (Entered: 04/10/2002)   |
| 04/10/2002 | 298 | MEMORANDUM OF LAW by Smith Barney, Inc., James Dimon in opposition to plaintiff Martens' and Mione's unauthorized supplemental submission filed 3/29/02. (tp) (Entered: 04/12/2002)  |
| 04/10/2002 | 299 | REPLY MEMORANDUM by Pamela K. Martens, Judith P. Mione of [272-1] motion for an Order granting the parties permission to submit a supplemental memorandum of law relating to defendants' motion to compel arbitration, [272-2] motion to issue a scheduling order. (jco) (Entered: 04/15/2002)   |
| 04/10/2002 | 300 | Moving Plaintiffs' NOTICE of Filing by Marianne Dalton, Patricia Clemente, Teresa Tedesco, Mayes. (jco) (Entered: 04/17/2002)  |
| 04/10/2002 | 301 | REPLY MEMORANDUM to that of Class counsel in support of motion to enforce by Marianne Dalton, Patricia Clemente, Teresa Tedesco, Meyes. (jco) (Entered: 04/17/2002)  |
| 04/10/2002 | 302 | REPLY to Class Counsel's opposition to Motion for leave to conduct discovery, allow supplementation of Motions, and for an Order scheduling the same and supporting memorandum of law by Marianne Dalton, Patricia Clemente, Teresa Tedesco, Meyes. (jco) (Entered: 04/17/2002)  |
| 04/10/2002 | 303 | REPLY MEMORANDUM to that of Smith Barney in support of Motion to Enforce by Marianne Dalton, Patricia Clemente, Teresa Tedesco, Meyes. Exhibits attached. (jco) Modified on 04/17/2002 (Entered: 04/17/2002)   |
| 04/16/2002 | 304 | NOTICE OF MOTION by Plaintiffs; for an Order for Thomas E. Johnson to appear pro hac vice to represent Stowell &Friedman Ltd., class counsel , for an Order for Anne Megan Davis to appear pro hac vice to represent Stowell &Friedman Ltd., class counsel . No return date set. Affidavit of Janice Goodman attached. (kkc) (Entered: 04/19/2002)   |
| 04/22/2002 | 305 | RESPONSE by Cara Beth Walker to [289-1] cross motion for an order pursuant to FRCP 12(b)(1), 12(b)(6) to strike the motion of Cara Beth Walker for default judgment and the papers submitted in support thereof (cd) (Entered: 04/24/2002)   |
| 04/23/2002 | 306 | DECLARATION of Gary Phelan in opposition Re: [289-1] cross motion for an order pursuant to FRCP 12(b)(1), 12(b)(6) to strike the motion of Cara Beth Walker for default judgment and the papers submitted in support thereof . (bai) (Entered: 04/25/2002)   |
| 04/25/2002 | 307 | ORDER, granting [304-1] motion for an Order for Thomas E. Johnson to appear pro hac vice to represent Stowell &Friedman Ltd., class counsel, and granting [304-2] motion for an Order for Anne Megan Davis to appear pro hac vice to represent Stowell &Friedman Ltd., class counsel. ( signed by Judge Constance B. Motley ); Copies mailed. (Sent to the Attorney Admissions Clerk). (kw) Modified on 04/25/2002 (Entered: 04/25/2002)   |
| 05/03/2002 |     | Thomas E. Johnson and Anne Megan Davis have been admitted to practice pro hac vice. \$50 fee was received int he cashiers office on 5/1/02 receipt #437690. (bai) (Entered: 05/03/2002)  |
| 05/03/2002 | 308 | MEMORANDUM OPINION AND ORDER #86915, granting [277-1] for an order compelling plaintiffs Pamela K. Martens and Judith P. Mione to arbitration and staying this action pending arbitration; denying [272-1] motion for an order granting the parties permission to submit a supplemental memorandum of law relating to defendants' motion to compel arbitration; denying [272-2] motion to issue a scheduling order; Plaintiff Edna Broyles's written request for a scheduling conference is denied . Smith Barney's written request to strike Ms. Broyle's Notice of Appeal (Doc. #271) is granted ; granting [289-1] cross motion for order pursuant to FRCP 12(b)(1), 12(b)(6) to strike the motion of Cara Beth Walker for default judgment and the papers submitted in support thereof; denying [279-1] motion for an Order extending the March 8, 2002 deadline for |



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|            |     | filing motions by sixty (60) days; denying [279-2] motion to reopen the settlement of Phyllis Jamison; denying [279-3] motion to conduct discovery; granting [288-1] cross motion for an order pursuant to FRCP 12(b)(1), 122(b)(6) to strike the motion of Phyllis Jamison for an extension of time, to re-open her settlement and to conduct discovery. ( signed by Judge Constance B. Motley ); Copies mailed. (ae) (Entered: 09/16/2002)  |
| 05/21/2002 | 321 | NOTICE OF INTERLOCUTORY APPEAL by Phyllis Jamison from [308-1] order Plaintiff Edna Broyles's written request for a scheduling conference is denied, [308-2] order Smith Barney's written request to strike Ms. Broyle's Notice of Appeal (Doc. #271) is granted, [308-3] order Entered on docket 5/3/02; Copies of notice of interocutory appeal mailed to Attorney(s) of Record: Kent Spriggs, Linda Friedman, Matthew Eli Moloshok, and Joseph D. Garrison. (\$105.00 APPEAL FILING FEE DUE). (sb) (Entered: 09/16/2002) |
| 05/23/2002 | 310 | Notice of Case Reassignment to Judge John G. Koeltl . Copy of notice and judge's rules mailed to Attorney(s) of record: Linda Friedman, Matthew Eli Moloshok, Joseph D. Garrison, Michele Lang Palter, Gary Phelan . (rmo) (Entered: 05/28/2002)  |
| 05/24/2002 | 309 | NOTICE OF APPEAL by Edna Broyles from [308-1] order Plaintiff Edna Broyles's written request for a scheduling conference is denied, [308-2] order Smith Barney's written request to strike Ms. Broyle's Notice of Appeal (Doc. #271) is granted, [308-3] order . Copies of notice of appeal mailed to Attorney(s) of Record: Brad S. Karp. \$105.00 Appeal Filing Fee paid 5/24/02 on receipt # E440411. (sb) (Entered: 09/16/2002)   |
| 05/28/2002 |     | Notice of appeal and certified copy of docket to USCA: [309-1] appeal by Edna Broyles ; Copy of notice of appeal sent to District Judge. (sb) (Entered: 09/16/2002)   |
| 06/03/2002 | 329 | NOTICE OF APPEAL by Cara Beth Walker from [308-1] order Plaintiff Edna Broyles's written request for a scheduling conference is denied, [308-2] order Smith Barney's written request to strike Ms. Broyle's Notice of Appeal (Doc. #271) is granted, [308-3] order . Copies of notice of appeal mailed to Attorney(s) of Record: Kent Spriggs, Linda Friedman, Matthew Eli Moloshok, and Joseph D. Garrison. (\$105.00 APPEAL FILING FEE DUE) (sb) (Entered: 09/16/2002)  |
| 06/20/2002 | 312 | ORDER; Defendants' counsel is directed to notify the Court of the status of the appeals of plaintiffs Walker, Jamison, and Broyles, and the outcome of attempts to enter into appropriate stipulations regarding those appeals, by June 26, 2002 . ( signed by Judge John G. Koeltl ); Copies mailed. (jco) (Entered: 06/27/2002)   |
| 06/24/2002 | 311 | STIPULATION, regarding the issues concerning the stipulation and agreement between Smith Barney Inc. and James Dimon, through their undersigned counsel and Phyllis Jamison as further set forth herein . ( signed by Judge John G. Koeltl ) (tp) (Entered: 06/25/2002)   |
| 06/26/2002 | 313 | Memo-Endorsement on letter addressed to Judge Koeltl from Richard Montanez, dated 6/21/02. Application for Mr. Montanez to appear pro hac vice granted . ( signed by Judge John G. Koeltl ); Copies mailed. (Sent to the Attorney Admissions Clerk). (kw) (Entered: 06/28/2002)   |
| 07/08/2002 | 314 | ORDER; that Counsel for plaintiff Broyles and counsel for the defendants are directed to notify the Court of the Status of the appeals of plaintiffs Walker and Broyles by 7/9/02 . ( signed by Judge John G. Koeltl ); Copies mailed. (pl) (Entered: 07/09/2002)   |
| 07/08/2002 | 315 | ORDER, plaintiff Jamison's application for leave to file an interlocutory appeal is denied as moot without prejudice . ( signed by Judge John G. Koeltl ); Copies mailed. (kw) (Entered: 07/10/2002)  |
| 07/10/2002 |     | CASHIER'S OFFICE REMARK on in the amount of \$25.00 paid on 7/10/02 Receipt # 444619. (jco) (Entered: 07/16/2002)   |
| 07/11/2002 | 316 | Transcript of record of proceedings before Judge Constance B. Motley for the date(s) of 5/1/02 at 11:00 am. (gf) (Entered: 07/11/2002)  |

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| 07/16/2002 | 317 | NOTICE of attorney appearance for Cara Beth Walker by Richard Montanez, for the sole purpose of prosecuting an appeal on her behalf. (sb) (Entered: 07/18/2002)  |
| 07/19/2002 | 318 | NOTICE OF MOTION by Marianne Dalton, Patricia Clemente, Teresa Tedesco, Lisa Mays for permission to supplement motion to enforce ; for leave to file supplement to motion in excess of 25 pages ; Return Date not indicated (cd) (Entered: 07/23/2002)   |
| 07/19/2002 | 319 | NOTICE OF MOTION by Marianne Dalton, Patricia Clemente, Teresa Tedesco, Lisa Mays to supplement motion to enforce ; Return Date not indicated (cd) (Entered: 07/23/2002)   |
| 07/19/2002 | 320 | DECLARATIONS of F. Norm Bahramipour et al by Marianne Dalton, Patricia Clemente, Teresa Tedesco, Lisa Mays in support Re: [319-1] motion to supplement motion to enforce . (cd) (Entered: 07/23/2002)  |
| 07/22/2002 |     | USCA Case Number Re: [309-1] appeal by Edna Broyles USCA NUMBER: 02-7632 (sb) (Entered: 09/16/2002)  |
| 07/30/2002 |     | by Phyllis Jamison, Indexed record on appeal files sent to the U.S.C.A. (dt) (Entered: 07/30/2002)   |
| 07/30/2002 |     | Notice of appeal and certified copy of docket to USCA: [321-1] interlocutory appeal by Phyllis Jamison ; Copy of notice of appeal sent to District Judge. (sb) (Entered: 09/16/2002)   |
| 07/30/2002 | 322 | Notice that the record on appeal has been certified and transmitted to the U.S. Court of Appeals: [321-1] interlocutory appeal by Phyllis Jamison (sb) (Entered: 09/16/2002)   |
| 08/01/2002 | 323 | Transcript of record of proceedings before Judge John G. Koeltl for the date(s) of 6/18/02. (laq) (Entered: 08/02/2002)  |
| 08/02/2002 | 324 | DECLARATION IN SUPPORT OF REQUEST TO PROCEED IN FORMA PAUPERIS by Phyllis Jamison. (ae) (Entered: 08/06/2002)  |
| 08/02/2002 | 325 | MEMORANDUM OF LAW by Smith Barney, Inc. in opposition to motion of plttfs Lisa Mays, Patricia Clemente, Marianne Dalton & Teresa Tedesco for permission to Supplement their motion to enforce the Settlement Stipulation. (sac) (Entered: 08/08/2002)  |
| 08/08/2002 | 326 | Memo-Endorsement on letter addressed to Judge Koeltl from Laura J. Swezey, dated 7/24/02. Re: plaintiff Laura Swezey requests a stay in her case for 90 days to give her time to find a new counsel. The defendants are requested to respond to the request by 7/29/02 . ( signed by Judge John G. Koeltl ); Copies mailed. (kw) (Entered: 08/12/2002)   |
| 08/08/2002 | 327 | PLAINTIFFS' OPPOSITION by Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Teresa Tedesco, Mary Ann Cabell, Ardis Vinneour, Tracy Gibbs, Robin Tompkins, Patricia Hanlon, Lisa Mays to moving plaintiffs' : [319-1] motion to supplement motion to enforce, [318-1] motion for permission to supplement motion to enforce, [318-2] motion for leave to file supplement to motion in excess of 25 pages (dle) Modified on 08/14/2002 (Entered: 08/14/2002) |
| 08/21/2002 |     | MEMO-ENDORSEMENT on [324-1] Declaration in support of IFP; for plaintiff to proceed in forma pauperis . ( signed by Judge John G. Koeltl ); copies mailed. (db) Modified on 09/16/2002 (Entered: 08/22/2002)   |
| 08/26/2002 | 328 | Memo-Endorsement on letter addressed to Judge Koeltl from (not indicated), dated 7/9/02: Certification is not necessary because the plaintiff is purporting to pursue an appeal from final order. Other plaintiffs are doing the same. see attached letter. The appeal should therefore be processed and any objections can be raised on appeal . ( signed by Judge John G. Koeltl ); Copies mailed. (tp) (Entered: 08/27/2002)  |

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| 08/30/2002 | 330 | PROPOSED FINDINGS OF FACT AND CONCLUSIONS OF LAW by Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Patricia Hanloin, Teresa Tedesco, Mary Ann Cabell, Ardis Vinnecour, Tracy Gibbs, Robin Tompkins, Patricia Hanlon . (moc) (Entered: 09/06/2002)   |
| 08/30/2002 | 331 | MEMORANDUM OF LAW by Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Patricia Hanloin, Teresa Tedesco, Mary Ann Cabell, Ardis Vinnecour, Tracy Gibbs, Robin Tompkins, Patricia Hanlon in opposition to motion of moving plaintiffs to enforce the settlement stipulation. (moc) (Entered: 09/06/2002)  |
| 09/09/2002 |     | by Cara Beth Walker, Indexed record on appeal files sent to the U.S.C.A. (dt) (Entered: 09/09/2002)  |
| 09/09/2002 |     | Notice of appeal and certified copy of docket to USCA: [329-1] appeal by Cara Beth Walker ; Copy of notice of appeal sent to District Judge. (sb) (Entered: 09/16/2002)  |
| 09/09/2002 | 332 | Notice that the record on appeal has been certified and transmitted to the U.S. Court of Appeals: [329-1] appeal by Cara Beth Walker. (sb) (Entered: 09/16/2002)   |
| 09/17/2002 |     | USCA appeal fees paid on 9/17/02 in the amount \$ 105.00 on receipt # E 450585. for the appeal of Cara Beth Walker. (pr) (Entered: 09/19/2002)   |
| 09/17/2002 | 333 | MEMO-ENDORSEMENT on Notice of Substitution of Counsel by Plaintiff and Class Representative Eileen Valentino; Plaintiff and Class Representative Eileen Valentino gives notice that she has retained Spriggs & Davis, P.A., and no longer wishes to be represented in her role as Class Representative by the firm of Stowell & Friedman ; granting plaintiff Eileen Valentino's request that she be added to the pending motions of the Moving Plaintiffs as stated and set forth in this Memo Endorsement . ( signed by Judge John G. Koeltl ); (ae) (Entered: 09/26/2002) |
| 09/25/2002 | 334 | MEMO-ENDORSEMENT on Notice of Substitution; Plaintiff and Class Representative Patricia Hanlon gives notice that she has retained Spriggs & Davis, P.A., and no longer wishes to be represented in her role as Class Representatives by the firm of Stowell & Friedman ; Plaintiff Patricia Hanlon requests that her name be added to the pending motions of the moving plaintiffs as further set forth herein . ( signed by Judge John G. Koeltl ); Copies faxed by Chambers on 9/24/02. (tp) (Entered: 09/26/2002)   |
| 09/27/2002 | 335 | NOTICE OF MOTION by Pamela K. Martens, Judith P. Mione for permission to certify an interlocutory appeal under 28 USC 1292(b) of the 5/2/02 order granting the deft's motion to compel arbitration ; for reconsideration of the Court's 5/2/02 order to correct an error because the court should have permitted limited discovery on the costs of arbitration ; Return Date not indicated (cd) (Entered: 10/02/2002)  |
| 09/27/2002 | 336 | MEMORANDUM OF LAW by Pamela K. Martens, Judith P. Mione in support of [335-1] motion for permission to certify an interlocutory appeal under 28 USC 1292(b) of the 5/2/02 order granting the deft's motion to compel arbitration, [335-2] motion for reconsideration of the Court's 5/2/02 order to correct an error because the court should have permitted limited discovery on the costs of arbitration . (cd) (Entered: 10/02/2002)  |
| 10/03/2002 | 337 | AFFIRMATION of Neil A. Sussman by Madeleine Antekelian in opposition to Salomon Smith Barney's Motion for a temporary and permanent injunction. (sb) (Entered: 10/07/2002)   |
| 10/10/2002 | 338 | ORDER; dft. Salomon Smith Barney, Inc. and non-party dft. Madeleine Antekelian, will appear for a hearing on 10/15/02 at 3:00 p.m. on the dft's motion for a preliminary injunction ; the defendant may submit any further papers by   |

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|            |     | 10/7/02 at 5:00 p.m. The non-party defendant may submit responsive papers by 10/11/02 at 5:00 p.m. Reply papers, if any, must be submitted by 10/15/02 at 10:00 a.m. ; this Order decides the defendants' Order to Show Cause for a temporary restraining order. For the reasons stated on the record, the defendant's application for temporary restraining order is denied . ( signed by Judge John G. Koeltl ): Copies Faxed by Chambers. (pl) (Entered: 10/15/2002)                       |
| 10/11/2002 | 339 | MEMORANDUM OF LAW by Smith Barney, Inc., James Dimon in opposition to [335-1] motion for permission to certify an interlocutory appeal under 28 USC 1292(b) of the 5/2/02 order granting the deft's motion to compel arbitration, [335-2] motion for reconsideration of the Court's 5/2/02 order to correct an error because the court should have permitted limited discovery on the costs of arbitration. Received in night deposit box on 10/11/02 at 8:30 p.m. (yv) (Entered: 10/21/2002) |
| 10/18/2002 | 341 | ORDER TO SHOW CAUSE by Smith Barney, Inc. for temporary restraining order (Unsigned). (kw) (Entered: 10/24/2002)  |
| 10/18/2002 | 342 | AFFIRMATION of Neil A. Sussman in opposition to Solomon Smith Barney's motion for Temporary and Permanent Injunction. (kw) (Entered: 10/24/2002)  |
| 10/21/2002 | 340 | Memo-Endorsement on letter addressed to Judge Koeltl from Aimee Meltzer Florin, dated 10/7/02; counsel writes to request withdrawal of defendant Salomon Smith Barney's Order to Show Cause for an injunction against class member Madeline Antekelian in an arbitration pending before the NASD. Order to Show Cause withdrawn . ( signed by Judge John G. Koeltl ); Copies Faxed by Chambers. (kkc) (Entered: 10/24/2002)   |
| 10/25/2002 | 343 | REPLY MEMORANDUM by Plaintiffs in support re: [335-1] motion for permission to certify an interlocutory appeal under 28 USC 1292(b) of the 5/2/02 order granting the deft's motion to compel arbitration, [335-2] motion for reconsideration of the Court's 5/2/02 order to correct an error because the court should have permitted limited discovery on the costs of arbitration . (moc) (Entered: 10/30/2002)  |
| 11/04/2002 | 344 | ORDER; Class Counsel and Smith Barney's Response to Motion (Memoranda may not exceed 55 pages) set for 11/25/02 re: [319-1] motion to supplement motion to enforce ; Movants' Reply to Response to Motion (not to exceed 15 pages to each of the responsive briefs) set for 12/9/02 re: [319-1] motion to supplement motion to enforce ( signed by Judge John G. Koeltl ); Copies faxed and mailed by Chambers (djc) (Entered: 11/06/2002)  |
| 11/13/2002 | 345 | NOTICE of filing by Class Counsel. (yv) (Entered: 11/14/2002)   |
| 12/02/2002 | 346 | Memo-Endorsement on letter addressed to Judge Koeltl. from Anne Megan Davis, dated 11/20/02: Class Counsel and Smith Barney's Response to Motion reset for 12/9/02 re: [319-1] motion to supplement motion to enforce , Moving Plaintiffs' Reply to Response to Motion reset for 12/23/02 re: [319-1] motion to supplement motion to enforce . ( signed by Judge John G. Koeltl ); Copies faxed by Chambers. (tp) (Entered: 12/03/2002)   |
| 12/02/2002 |     | MEMO-ENDORSEMENT on [345-1] notice; time to file responsive briefs extended to 12/09/02; Time to file reply briefs extended to 12/23/02; Same page limits apply ; ( signed by Judge John G. Koeltl ); (djc) (Entered: 12/03/2002)   |
| 12/09/2002 | 348 | MEMORANDUM OF LAW by Smith Barney, Inc. in opposition to Plntf's Motion to Enforce the Settlement Stipulation (cd) (Entered: 12/12/2002)  |
| 12/09/2002 | 349 | DECLARATION of Kevin McManus by Smith Barney, Inc. in support Re: [348-1] opposition memorandum . (cd) (Entered: 12/12/2002)  |
| 12/09/2002 | 350 | Plntfs' Consolidated MEMORANDUM OF LAW in opposition to moving plntfs' motion to enforce settlement stipulation and motion to supplement motion to enforce (cd) (Entered: 12/12/2002)   |
| 12/09/2002 | 351 | DECLARATIONS n support Re: [350-1] opposition memorandum (cd) (Entered: 12/12/2002)   |

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| 12/10/2002 | 347 | Transcript of record of proceedings before Judge John G. Koeltl for the date(s) of 10/3/02. (ja) (Entered: 12/10/2002)  |
| 12/20/2002 | 352 | PROPOSED FINDINGS OF FACT AND CONCLUSIONS OF LAW w/ Respect to Motion of Moving Plaintiffs to Enforce the Settlement Stipulation and Motion to Supplement Motion to Enforce by Roberta O'Brien Thomann, Lorraine Parker, Bette Laswell, Jennifer Alvarez, Marianne Dalton, Patricia Clemente, Simone Schwendener, Cara Beth Walker, Edna Broyles, Stephanie Rodruck, Danielle Saccone, Beverly Trice, Lori Hurwitz, Lydia Klein, Eileen Valentino, Teresa Tedesco, Mary Ann Cabell, Ardis Vinnecour, Tracy Gibbs, Robin Tompkins, Patricia Hanlon, Lisa Mays . (ae) (Entered: 12/30/2002) |
| 12/24/2002 | 353 | ORDER, that the parties are requested to provide courtesy copies of the briefs in connection with the moving plaintiffs' motion for leave to conduct discovery . ( signed by Judge John G. Koeltl ); Copies faxed by Chambers. (tp) (Entered: 12/30/2002)   |
| 01/08/2003 | 354 | ORDER, the parties are requested to provide coutesy copies of the briefs in connection with the moving plaintiffs' motion for leave to conduct discovery . ( signed by Judge John G. Koeltl ); Document faxed by Chambers. (yv) (Entered: 01/10/2003)   |
| 01/08/2003 | 355 | OPINION AND ORDER # 87913: for reasons further set forth in said opinion and order, plttfs' [335-1] motion for permission to certify an interlocutory appeal is DENIED, in the alternative, plttfs' [335-2] motion for reconsideration is also DENIED. ( signed by Judge John G. Koeltl ) (db) (Entered: 01/14/2003)  |
| 01/09/2003 | 357 | NOTICE OF MOTION (filed on service date) by Plaintiffs, for an Order striking moving plaintiff's Reply Memorandum to Stowell &Friedman filed 12/23/02 ; or, in the alternative, for an Order granting plaintiffs leave to file a sue-reply with additional declarations . Return Date not indicated. Exhibit A is attached. (tp) (Entered: 01/17/2003)  |
| 01/10/2003 | 356 | NOTICE of filing of Motion to Strike Reply Brief or, in the alternative, Motion for leave to file a surreply by Plaintiffs upon parties further listed herein. (tp) (Entered: 01/17/2003)   |
| 01/17/2003 | 358 | NOTICE OF MOTION (FILED ON SERVICE DATE) by Judith P. Mione, Smith Barney, Inc., Jennifer Alvarez, Patricia Clemente, Eileen Valentino, Patricia Hanloin moving plttfs' request that Class Counsel's motion to strike is not well founded, and should be denied , or, in the alternative for leave to file sur-rebuttal . Notice of Filing attached. No Return Date indicated. (db) (Entered: 01/27/2003)   |
| 02/11/2003 | 359 | MANDATE OF USCA (certified copy) Re: Plaintiff Phyllis Jamison appeals from a district court order denying her motion to conduct further discovery. Discovery orders are not appealable prior to the entry of a final judgment. ORDERED that the appeal is DISMISSED. ISSUED AS MANDATE 2/4/03, 02-7884. ROSEANN B. MACKECHNIE, CLERK, USCA. (pr) (Entered: 02/13/2003)   |
| 02/11/2003 | 360 | MANDATE OF USCA (certified copy) Re: [309-1] appeal by Edna Broyles. Plaintiff Enda Broyles appeals from the district court order striking Broyles's notice of appeal from an order of an Arbitration Panel. ORDERED that the appeal is DISMISSED. ISSUED AS MANDATE 2/4/03, 02-7632(L). ROSEANN B. MACKECHNIE, CLERK, USCA. (pr) (Entered: 02/13/2003)   |
| 02/11/2003 | 361 | MANDATE OF USCA (certified copy) Re: Plaintiff Cara Beth Walker appeals from a district court order denying her motion for a default judgment. ORDERED that the appeal is DISMISSED. ISSUED AS MANDATE 2/4/03, 02-9088. ROSEANN B. MACKECHNIE, CLERK. USCA. (pr) (Entered: 02/13/2003)  |
| 02/13/2003 | 374 | PLAINTIFFS' REPLY BRIEF in support of their motion to strike moving plaintiffs' reply brief. (ae, ) (Entered: 12/29/2003)   |
| 02/19/2003 | 362 | Memo-Endorsement on letter addressed to Judge Koeltl from Anne Megan Davis, dated 2/5/03. Class Counsel assumes that under Local Civil Rule 6.1, they   |

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|            |     | have five business days from this date to file their reply brief in support to their motion to strike reply brief, and they will do so promptly. Application granted. ( signed by Judge John G. Koeltl ); Copies faxed by Chambers. (sb) (Entered: 02/24/2003)   |
| 04/17/2003 |     | Record on appeal files (02-9088) returned from U.S. Court of Appeals: [329-1] appeal by Cara Beth Walker. (dt) (Entered: 04/18/2003)   |
| 04/17/2003 | 363 | ORDER, that oral argument in this matter is hereby scheduled for 4:30 p.m. on Monday, 4/28/03 . ( signed by Judge John G. Koeltl ); (tp) (Entered: 04/18/2003)   |
| 05/21/2003 | 364 | ORDER, regarding the Court's response to the letter form counsel for Smith Barney dated 5/9/03 . ( signed by Judge John G. Koeltl ); (kw) (Entered: 05/27/2003)  |
| 05/21/2003 | 365 | ORDER, regarding the Court's response to Ms. Jamison's 5/14/03 letter. The Court cannot require the parties to attempt to reopen the appeal. If the parties do not agree to do that, the parties should advise the Court no later than 5/23/03 and the Court will proceed with Ms. Jamison's motion along with the other motions before the Court . ( signed by Judge John G. Koeltl ); (kw) (Entered: 05/27/2003)   |
| 05/29/2003 | 366 | NOTICE of Firm Registration as an LLP and name change by Smith Barney, Inc., James Dimon. (jco) (Entered: 06/04/2003)  |
| 06/10/2003 |     | Record on appeal file (02-7884) mreturned from U.S. Court of Appeals: [309-1] appeal by Edna Broyles (pr) (Entered: 06/10/2003)  |
| 07/09/2003 | 367 | DUPLICATE ORIGINAL OPINION AND ORDER #88736, the "motion to supplement" has been granted only to the extent the Court has considered all of the evidence and arguments contained in that motion, but those submissions do not justify granting the relief sought in the motion to enforce. The motion for leave to conduct discovery is denied . ( signed by Judge John G. Koeltl ); (kw) (Entered: 07/10/2003)  |
| 07/11/2003 | 368 | ORDER, that the motion for reconsideration filed by Jamison is denied without prejudice to reinstatement within thirty days of any order of the court of appeals refusing to take Ms. Jamison's appeal which is the subject of a motion for reconsideration of dismissal of the appeal . ( signed by Judge John G. Koeltl ); (dle) (Entered: 07/14/2003)   |
| 07/11/2003 | 369 | Order of dismissal; All pending motions in this case are now disposed of and the Clerk of Court is directed to close the case. ( signed by Judge John G. Koeltl ) (sb) (Entered: 07/14/2003)   |
| 07/11/2003 |     | Case closed. (sb) (Entered: 07/14/2003)  |
| 07/18/2003 | 370 | NOTICE OF APPEAL by Marianne Dalton, Lydia Klein, Lisa Mays from [367-1] order the "motion to supplement" has been granted only to the extent the Court has considered all of the evidence and arguments contained in that motion, but those submissions do not justify granting the relief sought in the motion to enforce. The motion for leave to conduct discovery is denied . Copies of notice of appeal mailed to Attorney(s) of Record: Mary Stoweell, Linda Friedman, Thomas E. Johnson, Ann Megan Davis and Brad S. Karp. \$105.00 Appeal filing fee paid 7/18/03 on receipt # E 480028. (dt) (Entered: 07/24/2003) |
| 07/18/2003 | 371 | Transcript of record of proceedings before Judge John G. Koeltl for the date(s) of 5/5/03. (df) (Entered: 08/27/2003)  |
| 07/24/2003 |     | Notice of appeal and certified copy of docket to USCA: [370-1] appeal by Lisa Mays, Lydia Klein, Marianne Dalton ; Copy of notice of appeal sent to District Judge. (dt) (Entered: 07/24/2003)   |
| 09/24/2003 |     | USCA Case Number Re: [370-1] appeal by Lisa Mays, Lydia Klein, Marianne Dalton USCA NUMBER: 03-7744. (dt) (Entered: 09/24/2003)  |
| 10/15/2003 | 372 | Notice that the record on appeal has been certified and transmitted to the U.S. Court of Appeals: [370-1] appeal by Lisa Mays, Lydia Klein, Marianne Dalton. (dt) (Entered: 10/15/2003)  |

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| 12/10/2003 | 373 | ORDER; the Court requests that the depts provide courtesy copies of the Stipulation of Settlement along with the supplements and amendments. (Signed by Judge John G. Koeltl on 12/9/2003) (Pecorino, Joseph) (Entered: 12/24/2003)   |
| 12/15/2003 | 375 | ORDER; that for the reasons set forth on this order, Ms. Jamison's motion for reconsideration is denied. (Signed by Judge John G. Koeltl on 12/12/03) (Pecorino, Joseph) (Entered: 12/31/2003)  |
| 12/19/2003 | 376 | ENDORSED LETTER addressed to Judge Koeltl from Phyllis Jamison dated 12/19/03 re: Report to Your Honor by claimant.; Smith Barney should provide to Ms. Jamison the same set of Settlement Stipulations previously provided to this Court. (Signed by Judge John G. Koeltl on 12/16/03) (pl, ) (Entered: 01/06/2004)                  |
| 12/24/2003 | 378 | ORDER (duplicate original). Ms. Jamison's motion for reconsideration is denied. (Signed by Judge John G. Koeltl on 12/12/03) (yv, ) (Entered: 01/13/2004)   |
| 01/12/2004 | 377 | TRANSCRIPT of proceedings held on 11/18/03 before Judge John G. Koeltl.(jf, ) (Entered: 01/12/2004)   |
| 01/29/2004 | 379 | NOTICE OF APPEAL from 375 Order. Document filed by Phyllis Jamison. Copies of Notice of Appeal mailed to Attorney(s) of Record: Brad S, Karp, Esq.. (dt, ) (Entered: 02/17/2004)  |
| 02/17/2004 |     | \$255.00 APPEAL FILING FEE DUE. Document filed by Phyllis Jamison. (dt, ) (Entered: 02/17/2004)   |
| 02/17/2004 |     | Transmission of Notice of Appeal and Certified Copy of Docket Sheet to US Court of Appeals re: 379 Notice of Appeal. (dt, ) (Entered: 02/17/2004)   |
| 02/17/2004 |     | Transmission of Notice of Appeal to the District Judge re: 379 Notice of Appeal. (dt, ) (Entered: 02/17/2004)   |
| 02/17/2004 | 381 | DECLARATION IN SUPPORT OF REQUEST TO PROCEED IN FORMA PAUPERIS. Document filed by Phyllis Jamison.(tp, ) (Entered: 03/11/2004)  |
| 02/18/2004 | 380 | Appeal Record Sent to USCA (Index). Notice that the Original index to the record on Appeal for 379 Notice of Appeal filed by Phyllis Jamison 3 Copies of the index, Certified Clerk Certificate and Certified Docket Sheet were transmitted to the U.S. Court of Appeals. (dt, ) (Entered: 02/18/2004)                                |
| 02/18/2004 |     | Appeal Record Sent to USCA (File). Indexed record on Appeal Files for 379 Notice of Appeal filed by Phyllis Jamison were transmitted to the U.S. Court of Appeals. (dt, ) (Entered: 02/18/2004)   |
| 03/08/2004 |     | USCA Case Number 04-0890-cv from the U.S.C.A. 2nd Cir. assigned to 379 Notice of Appeal filed by Phyllis Jamison. (dt, ) (Entered: 03/08/2004)  |
| 03/31/2004 |     | ENDORSEMENT on Declaration in Support of Request to Proceed In Forma Pauperis, I.F.P. REQUEST IS GRANTED. (Signed by Judge John G. Koeltl on 3/19/04) (tp, ) (Entered: 04/01/2004)  |
| 12/09/2004 | 382 | MANDATE of USCA (Certified Copy) as to 370 Notice of Appeal,, filed by Marianne Dalton, Lydia Klein, Lisa Mays USCA Case Number 03-7744. It is hereby Ordered, Adjudged and Decreed that the judgment of the District Court is AFFIRMED. Roseann B. MacKechnie, Clerk USCA. Issued As Mandate: 11/23/04. (dt, ) (Entered: 12/09/2004) |
| 12/09/2004 |     | Costs Taxed as to 382 USCA Mandate, USCA Case Number 03-7744. in the amount of \$450.42. Docketed as Judgment #04,2195 on 12/9/04 in favor of Appellees, Smith Barney, Inc., et al against Appellants, Marianne Dalton, et al. (Original Attached To Doc.# 382. (dt, ) (Entered: 12/09/2004)  |
| 12/09/2004 |     | Transmission of USCA Mandate/Order to the District Judge re: 382 USCA Mandate,. (dt, ) (Entered: 12/09/2004)  |
| 06/10/2005 | 383 | NOTICE OF MOTION (FILED ON SERVICE DATE) to Reopen Case and Enjoining Martens class members Deborah Orlando and Kathryn N. Varner... Document filed by Smith Barney, Inc. (mde, ) (Entered: 06/14/2005)   |

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| 06/10/2005 | 384        | MEMORANDUM OF LAW in Support re: 383 MOTION (FILED ON SERVICE DATE) to Reopen Case and Enjoining Martens class members Deborah Orlando and Kathryn N. Varner.. Document filed by Smith Barney, Inc.. (mde, ) (Entered: 06/14/2005)   |
| 06/10/2005 | 385        | AFFIDAVIT of David Hess in Support re: 383 MOTION (FILED ON SERVICE DATE) to Reopen Case and Enjoining Martens class members Deborah Orlando and Kathryn N. Varner.. Document filed by Smith Barney, Inc.. (mde, ) (Entered: 06/14/2005)   |
| 06/10/2005 | 386        | DECLARATION of Jay Cohen in Support re: 383 MOTION (FILED ON SERVICE DATE) to Reopen Case and Enjoining Martens class members Deborah Orlando and Kathryn N. Varner.. Document filed by Smith Barney, Inc.. (mde, ) (Entered: 06/14/2005)  |
| 06/17/2005 | 387        | MANDATE of USCA (Certified Copy) as to 379 Notice of Appeal filed by Phyllis Jamison, USCA Case Number 04-0890-cv. Ordered, Adjudged and Decreed that the judgment of the District Court is AFFIRMED. MACKECHNIE, Clerk USCA. Issued As Mandate: 6/16/05. (pr, ) (Entered: 06/22/2005)   |
| 06/17/2005 |            | Transmission of USCA Mandate/Order to the District Judge re: 387 USCA Mandate,. (pr, ) (Entered: 06/22/2005)   |
| 06/24/2005 | <u>388</u> | ENDORSED LETTER addressed to Judge John G. Koeltl from Piper Hoffman dated 6/22/05 re: Any response to the pending motion in this Court by any interested party must be filed by 7/8/05. Any reply must be filed by 7/15/05. THE Court will consider whetherit have argument after reveisng the papers. (Signed by Judge John G. Koeltl on 6/24/05) (sac, ) (Entered: 06/27/2005)  |
| 07/12/2005 | <u>389</u> | ENDORSED LETTER addressed to Judge John G. Koeltl from Piper Hoffman dated 6/29/05 re: Application GRANTED. The Amochaev plaintiffs opposition to defendants motion to transfer is due 7/18/05, reply due 7/25. (Signed by Judge John G. Koeltl on 6/30/05) (db, ) (Entered: 07/13/2005)   |
| 07/21/2005 | 391        | RESPONSE to Motion re: 383 NOTICE OF MOTION (FILED ON SERVICE DATE) to Reopen Case and Enjoining Martens class members Deborah Orlando and Kathryn N. Varner... Document filed by Smith Barney, Inc. (sac, ) (Entered: 07/28/2005)   |
| 07/25/2005 | 390        | ENDORSED LETTER addressed to Judge Koeltl from Jay Cohen dated 7/20/05 re: request for an extension of time to file reply papers until 7/27/05., Set Deadlines/Hearing as to 383 MOTION (FILED ON SERVICE DATE) to Reopen Case.: Replies due by 7/27/2005. Application granted (Signed by Judge John G. Koeltl on 7/20/05) (yv, ) (Entered: 07/27/2005)  |
| 07/27/2005 | 392        | REPLY MEMORANDUM OF LAW in Further Support re: 383 MOTION (FILED ON SERVICE DATE) to Reopen Case.. Document filed by Smith Barney, Inc.. (pf, ) (Entered: 08/02/2005)  |
| 09/07/2005 |            | Appeal Record Returned. Indexed record on Appeal Files for 329 Notice of Appeal, filed by Cara Beth Walker,, 321 Notice of Interlocutory Appeal,, filed by Phyllis Jamison,, 370 Notice of Appeal,, filed by Marianne Dalton,, Lydia Klein,, Lisa Mays,, 309 Notice of Appeal, filed by Edna Broyles,, 248 Notice of Appeal, filed by Cara Beth Walker,, Teresa Tedesco,, 271 Notice of Appeal, filed by Edna Broyles,, 244 Notice of Appeal,, filed by Pamela K. Martens,, Judith P. Mione,, 379 Notice of Appeal filed by Phyllis Jamison,, 247 Notice of Appeal,,, filed by Cara Beth Walker,, Teresa Tedesco, USCA Case Number 04-0890-cv, returned from the U.S. Court of Appeals. (nd, ) (Entered: 09/08/2005) |
| 10/11/2005 | <u>393</u> | MEMORANDUM OPINION AND ORDER;92270 re: 383 MOTION (FILED ON SERVICE DATE) to Reopen Case. filed by Smith Barney, Inc.. (Signed by Judge John G. Koeltl on 10/7/05) (pl, ) Modified on 10/14/2005 (ns, ). (Entered: 10/12/2005)   |
| 10/13/2005 | 394        | MEMO ENDORSEMENT on motion for Kelly M. Dermody to appear pro hac vice. So Ordered. (Signed by Judge John G. Koeltl on 10/7/05) (js, ) (Entered: 10/14/2005)   |



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| 10/14/2005 |            | Transmission to Attorney Admissions Clerk. Transmitted re: 394 Memo Endorsement, to the Attorney Admissions Clerk for updating of Attorney Information. (js, ) (Entered: 10/14/2005)   |
| 10/20/2005 | <u>395</u> | MEMORANDUM OPINION AND ORDER; that Smith Barney's motion to enjoin certain plaintiffs in this action from pursuant the Amochaev action in the U.S.D.C. for the Northern District of California is denied. (Signed by Judge John G. Koeltl on 10/7/05) (pl, ) (Entered: 10/21/2005) |
| 09/29/2006 | 396        | TRANSCRIPT of proceedings held on 10/7/05 before Judge John G. Koeltl. (jw, ) (Entered: 09/29/2006)  |