**U.S. District Court  
District of New Jersey [LIVE] (Trenton)  
CIVIL DOCKET FOR CASE #: 3:15-cv-07118-AET-LHG**

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| SECURITIES AND EXCHANGE COMMISSION v. SPALLINA et al Assigned to: Judge Anne E. Thompson Referred to: Magistrate Judge Lois H. Goodman   |  |  | | --- | --- | | Related Case: | [3:13-cv-00494-AET-DEA](https://ecf.njd.uscourts.gov/cgi-bin/DktRpt.pl?284335) |   Cause: 15:78m(a) Securities Exchange Act | Date Filed: 09/28/2015 Date Terminated: 10/01/2015 Jury Demand: None Nature of Suit: 850 Securities/Commodities Jurisdiction: U.S. Government Plaintiff |

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| **Plaintiff** |
| **SECURITIES AND EXCHANGE COMMISSION** | represented by | **CHRISTOPHER R. KELLY** U.S. SECURITIES & EXCHANGE COMMISSION  PHILADELPHIA REGIONAL OFFICE  ONE PENN CENTER  1617 JFK BLVD.  STE. 520  PHILADELPHIA, PA 19103  215-597-3741  Email: kellycr@sec.gov  *LEAD ATTORNEY*  *ATTORNEY TO BE NOTICED*  **PAUL T. CHRYSSIKOS** U.S. SECURITIES AND EXCHANGE COMMISSION  PHILADELPHIA REGIONAL OFFICE  701 MARKET STREET  SUITE 2000  PHILADELPHIA, PA 19106  (215) 597-3100  Email: chryssikosp@sec.gov  *LEAD ATTORNEY*  *ATTORNEY TO BE NOTICED*  **SCOTT A. THOMPSON** U.S. SECURITIES & EXCHANGE COMMISSION  701 MARKET STREET  SUITE 2000  PHILADELPHIA, PA 19106  215-597-3100  Email: thompsons@sec.gov  *LEAD ATTORNEY*  *ATTORNEY TO BE NOTICED* |
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| V. |  |  |
| **Defendant** |  |  |
| **ROBERT L. SPALLINA** |  |  |
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| **Defendant** |  |  |
| **THOMAS J. PALERMO** |  |  |
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| **Defendant** |  |  |
| **BRIAN H. MARKOWITZ** |  |  |
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| **Defendant** |  |  |
| **STEVEN G. ROSEN** |  |  |
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| **Defendant** |  |  |
| **DONALD R. TESCHER** |  |  |
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| **Date Filed** | **#** | **Docket Text** |
| 09/28/2015 | [1](https://ecf.njd.uscourts.gov/doc1/119010259868) | COMPLAINT against BRIAN H. MARKOWITZ, THOMAS J. PALERMO, STEVEN G. ROSEN, ROBERT SPALLINA, L, DONALD R. TESCHER, filed by SECURITIES AND EXCHANGE COMMISSION. (Attachments: # [1](https://ecf.njd.uscourts.gov/doc1/119110259869) Civil Cover Sheet)(km) (Entered: 09/28/2015) |
| 09/28/2015 | [2](https://ecf.njd.uscourts.gov/doc1/119110259883) | SUMMONS ISSUED as to BRIAN H. MARKOWITZ, THOMAS J. PALERMO, STEVEN G. ROSEN, ROBERT SPALLINA, L, DONALD R. TESCHER Attached is the official court Summons, please fill out Defendant and Plaintiffs attorney information and serve. Issued By \*Karen McGonigle\* (km) (Entered: 09/28/2015) |
| 09/28/2015 | [3](https://ecf.njd.uscourts.gov/doc1/119010260108) | NOTICE by SECURITIES AND EXCHANGE COMMISSION *of Consent as to Robert L. Spallina* (Attachments: # [1](https://ecf.njd.uscourts.gov/doc1/119110260109) Text of Proposed Order)(KELLY, CHRISTOPHER) (Entered: 09/28/2015) |
| 09/28/2015 | [4](https://ecf.njd.uscourts.gov/doc1/119010260128) | NOTICE by SECURITIES AND EXCHANGE COMMISSION *of Consent as to Thomas J. Palermo* (Attachments: # [1](https://ecf.njd.uscourts.gov/doc1/119110260129) Text of Proposed Order)(KELLY, CHRISTOPHER) (Entered: 09/28/2015) |
| 09/28/2015 | [5](https://ecf.njd.uscourts.gov/doc1/119010260161) | NOTICE by SECURITIES AND EXCHANGE COMMISSION *of Consent as to Brian H. Markowitz* (Attachments: # [1](https://ecf.njd.uscourts.gov/doc1/119110260162) Text of Proposed Order)(KELLY, CHRISTOPHER) (Entered: 09/28/2015) |
| 09/28/2015 | [6](https://ecf.njd.uscourts.gov/doc1/119010260181) | NOTICE by SECURITIES AND EXCHANGE COMMISSION *of Consent of Steven G. Rosen* (Attachments: # [1](https://ecf.njd.uscourts.gov/doc1/119110260183) Text of Proposed Order)(KELLY, CHRISTOPHER) (Entered: 09/28/2015) |
| 09/28/2015 | [7](https://ecf.njd.uscourts.gov/doc1/119010260212) | NOTICE by SECURITIES AND EXCHANGE COMMISSION *of Consent as to Donald R. Tescher* (Attachments: # [1](https://ecf.njd.uscourts.gov/doc1/119110260213) Text of Proposed Order)(KELLY, CHRISTOPHER) (Entered: 09/28/2015) |
| 10/01/2015 | [8](https://ecf.njd.uscourts.gov/doc1/119110272183) | CONSENT ORDER and Final Judgment entering Judgment in the amount of $263,123 against Defendant Thomas Palermo. Signed by Judge Anne E. Thompson on 10/1/2015. (eaj) (Entered: 10/01/2015) |
| 10/01/2015 | [9](https://ecf.njd.uscourts.gov/doc1/119110272248) | CONSENT ORDER and Final Judgment entering Judgment in the amount of $20,564 against Defendant Donald Tescher. Signed by Judge Anne E. Thompson on 10/1/2015. (eaj) (Entered: 10/01/2015) |
| 10/01/2015 | [10](https://ecf.njd.uscourts.gov/doc1/119110272266) | CONSENT ORDER and Final Judgment entering Judgment in the amount of $68,502 against Defendant Brian H. Markowitz. Signed by Judge Anne E. Thompson on 10/1/2015. (eaj) (Entered: 10/01/2015) |
| 10/01/2015 | [11](https://ecf.njd.uscourts.gov/doc1/119110272285) | CONSENT ORDER and Final Judgment entering Judgment in the amount of $57,259 against Defendant Steven G. Rosen. Signed by Judge Anne E. Thompson on 10/1/2015. (eaj) (Entered: 10/01/2015) |
| 10/01/2015 | [12](https://ecf.njd.uscourts.gov/doc1/119110272298) | CONSENT ORDER and Final Judgment entering Judgment in the amount of $40,950 against Defendant Robert Spallina. Signed by Judge Anne E. Thompson on 9/29/2015. (eaj) Modified on 10/1/2015 (eaj, ). (Entered: 10/01/2015) |
| 10/01/2015 |  | \*\*\*Civil Case Terminated. (eaj) (Entered: 10/01/2015) |

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