

From: [Metivier, Jacob](#)
To: [Antonio Linares](#)
Subject: Public Records Request
Date: Wednesday, September 7, 2022 2:31:29 PM
Attachments: [Public Records Cover Letter and Results.pdf](#)

Mr. Linares:

Please find attached a cover letter from Christopher Curtis regarding your public records request. Included with the letter are the results of our search.

Please let me know if you have any questions.

Jacob Metivier, Paralegal
Vermont Attorney General's Office
Consumer Protection Division

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05609-1001

September 7, 2022

Franklin D. Azar & Associates, P.C.
Attn: Antonio Linares
14426 East Evans Ave
Aurora, CO 80014
Via email: linaresa@fdazar.com

RE: Public Records Request

Mr. Linares:

Please find attached the responsive documents to your public records request to the Vermont Attorney General's Office. This is the extent of the responsive documents in our records from the search criteria you provided.

We apologize for the delayed response caused by the technology difficulties. Considering the delay our office will waive any fees related to this public records request.

Please contact our office if you have any further questions.

Sincerely,

/s/ Christopher Curtis

Christopher Curtis
Chief, Public Protection Division
Office of the Attorney General
State of Vermont
109 State Street
Montpelier, VT 05609
802-279-5496

From: [Securities Law360](#)
To: [Young, Susanne](#)
Subject: Big Bank 'Mishmash' Revived Because Docs Weren't Mailed
Date: Friday, August 5, 2016 4:01:10 AM



SECURITIES

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Friday, August 5, 2016



TOP NEWS

Big Bank 'Mishmash' Revived Because Docs Weren't Mailed

A Texas federal judge has resurrected a proposed class action against several banking giants and others that he previously described as "a mishmash of conclusory, repetitious and rather manic accusations," because the banks' dismissal motions were not served by mail.

Del. Judge Tosses Invalid Shares Suit As 12 Years Too Late

A Delaware Chancery judge has tossed a Tradeworx Inc. investor's suit that sought to void more than 1 million Tradeworx shares held by asset manager WisdomTree Investments Inc., saying the investor waited too long to sue.

Ex-JPMorgan Banker Denies Insider Trading Claims At Trial

A former JPMorgan Chase & Co. investment banker on Thursday took the witness stand to testify in his own defense against allegations that he leaked inside information about mergers in the health care sector, and flatly denied ever purposely tipping off his father so he could trade on nonpublic information.

DOJ Asks 2nd Circ To Undo Toss Of BofA \$1.3B Mortgage Fine

The U.S. Attorney's Office in Manhattan asked the Second Circuit on Thursday to reconsider its decision to toss a \$1.3 billion penalty against Bank of America for a financial crisis-era mortgage program, arguing that the decision overlooked important evidence.

DFC Global Investors Win Cert. In Suit Over Loan Standards

A Pennsylvania federal judge Thursday certified a class of institutional investors in DFC Global Corp. who alleged the payday lender violated securities laws by misrepresenting its financial health and quality of lending practices, finding the investors satisfied class certification requirements.

SEC Says Franklin Fund Must Allow Vote On Discount Plan

The Securities and Exchange Commission has told a Franklin Templeton Investments mutual fund that it must let shareholders vote on a proposal to address the fund's discounted share price that could require the fund's board to liquidate or convert the fund.

ANALYSIS

Goldman's \$36M Fine Turns Data Security Scrutiny Inward

The Federal Reserve on Wednesday flexed its data security enforcement muscles by hitting Goldman Sachs with a \$36.3 million fine over a former employee's alleged misuse of confidential information to attract clients, highlighting the need for financial institutions to be mindful of not just external threats, but also internal security risks that could land them in hot water with

New Cases

Securities (8)

LAW FIRMS

Akin Gump
Barrack Rodos & Bacine
Bayard PA
Bernstein Liebhard
Bernstein Litowitz
Bonnett Fairbourn
Bracewell LLP
Bryan Cave
Cahill Gordon
Clarence Dyer
Cleary Gottlieb
Crowley Norman
DLA Piper
Dechert
Dentons
Faegre Baker
Fish & Richardson
Freshfields
Gibson Dunn
Glancy Prongay
Goodwin Procter
Gray Plant
Hanglely Aronchick
Hogan Lovells
Hughes Hubbard
Ice Miller
Kasowitz Benson
Kaufman Dolowich
Kaye Scholer
Keil & Goodson PA
Kelly & Walker
Kessler Topaz
Kirkland & Ellis
Klehr Harrison

increasingly active regulators.

M&A Litigation Shrinks In Wake Of Trulia

Litigation targeting transactions dwindled significantly during the first half of 2016, a direct impact of the tough stance taken by the Delaware Chancery Court against disclosure-only settlements in the Trulia merger case in January, experts say.

Dual-Listed IPOs Carve A Small But Steady Niche

Dual-listed initial public offerings, where a foreign company issues shares simultaneously in their home market and in the U.S., are more challenging and complex for both issuers and their legal teams, but lawyers say such listings are worth the hassle under the right circumstances.

POLICY & REGULATION

LSE Warns Brexit Turmoil Could Damage Trading Volume

The London Stock Exchange Group PLC warned Thursday that Britain's decision to leave the European Union could damage investor confidence and reduce trading volume in the second half of 2016, as well as potentially destabilize markets if more European countries explore a similar route.

ENFORCEMENT

Doctor In Charge Of Drug Trial Accused Of Insider Trading

A Connecticut cardiologist who served as lead investigator in a clinical trial for an experimental drug now faces civil claims and criminal charges of insider trading on nonpublic information, federal prosecutors and securities regulators announced Thursday.

FINRA Probe Targets Business Development Companies

The Financial Industry Regulatory Authority has opened an investigation of some securities firms that sell investments in non-traded business development companies, asking on Thursday about which ones the firms are selling and how they vet the funds and brokers beforehand.

Convicted Chicago Spoofer Wants Bail During 'Novel' Appeal

The nation's first trader to be convicted of "spoofing" asked an Illinois federal court Wednesday to grant him bail while he appeals, arguing that he plans to present "novel and substantial questions of law" regarding the new market manipulation statute.

LITIGATION

Russia Says New Evidence Forces Dismissal of Yukos Suit

The Russian Federation sought Wednesday to amend its motion to dismiss a suit by former shareholders of Yukos Oil Co. aiming to enforce \$50 billion in arbitration awards, saying that a "former member of the Russian Oligarchs' inner circle" has finally come forward with testimony regarding "his former employers' criminal activities," according to papers filed in the federal court in the District of Columbia.

SouthWest Water Investors Assert New Evidence Revives Suit

Investors who sued SouthWest Water Co. after it admitted financial statements were false asked the Ninth Circuit on Thursday to revive their securities class action, saying new evidence the water utility acted with "deliberate recklessness" should override a lower court's dismissal.

Lehman Bros. Suit Over Credit Swap Terminations Narrowed

A New York bankruptcy judge on Thursday dismissed breach of contract claims in billion-dollar litigation brought by Lehman Brothers Special Financing against Bank of America and other financial institutions over the early termination of credit default swaps after Lehman Brothers' declared

Kobre & Kim

Labaton Sucharow

Latham & Watkins

Lewis Baach

Lewis Roca

Locke Lord

Matthews Campbell

Mayer Brown

McGuireWoods

Mitchell Williams

Morgan Lewis

Morris Nichols

Munger Tolles

Nixon Peabody

O'Melveny & Myers

Olshan Frome Wolosky

Orrick Herrington

Pepper Hamilton

Potter Minton

Prickett Jones

Proctor Heyman

Robinson & Cole

Ross Aronstam

Schulte Roth

Shearman & Sterling

Sherman & Howard

Shipman & Goodwin

Shook Hardy

Sidley Austin

Simpson Thacher

Stradley Ronon

Sullivan & Cromwell

Taylor Law Partners

Vinson & Elkins

White & Case

Williams & Connolly

WilmerHale

Wilson Sonsini

Winthrop & Weinstine

Wollmuth Maher

Woods Oviatt

Young Conaway

COMPANIES

A.P. Moller-Maersk

Affymetrix, Inc.

Alibaba Group Holdings Ltd.

Alstom SA

Apple Inc.

Bank of America Corporation

Bayer AG

Bayer CropScience Ltd.

Centerbridge Partners LP

bankruptcy in 2008.

LifeLock Dodges Claims It Hid Slow Alerts, FTC Action

An Arizona federal judge dismissed a proposed shareholder class action Wednesday that claimed identity protection service LifeLock Inc. misled investors about the impending fallout from its violation of a Federal Trade Commission settlement.

ETE Unit-Offer Challengers Want Court To Order Doc Release

Energy Transfer Equity investors claim in court papers made public Wednesday that the company is wrongly holding back documents sought for their suit challenging a private securities offering they claim largely benefits CEO Kelcy Warren, a deal that attracted scrutiny amid ETE's now-scuttled \$38 billion merger with the Williams Cos.

Hercules Offshore Postpones Confirmation To Seek Mediation

Hercules Offshore Inc. postponed its Chapter 11 confirmation hearing and sought mediation with its creditors Thursday, one week ahead of what was expected to become a protracted legal battle pitting the company and its liquidation plan against equity holders and other objectors.

Liberty Off Hook For MusclePharm's \$3M Indemnity Claim

A Colorado federal judge on Thursday tossed MusclePharm Corp.'s coverage suit against a Liberty Insurance unit in which it sought \$3 million to cover costs stemming from a U.S. Securities and Exchange Commission investigation, saying the agency's probe did not allege a "wrongful act" as required by the policy.

EXPERT ANALYSIS

SDNY Opens The Door To Privilege Waiver Arguments

A recent Southern District of New York decision in a criminal insider trading case against a JPMorgan banker is another reminder of how responses to routine regulatory inquiries can play a prominent role in enforcement actions. While the notion that attorney-client privilege is waived as to such communications is hardly new, the potential to trigger a broader privilege waiver is cause for concern, say attorneys with Kaye Scholer LLP.

7th Circ. Limits Section 546(e) Safe Harbor

A recent Seventh Circuit decision in FTI Consulting v. Merit Management means parties other than the entities listed in Section 546(e) of the Bankruptcy Code will not receive the safe harbor's protection. This is probably most significant for selling stockholders in the leveraged buyout context, say Shmuel Vasser and Andrew Harmeyer of Dechert LLP.

Law Firm Employees Can Better Defend Against Cyberthreats

In a recent survey of 150 legal firms, it was revealed that "careless employees" was the No. 1 cybersecurity concern for firms by a wide margin. Law firms are smart to be worried about the risks their employees — from the interns to the partners — can pose, usually unintentionally, says Tom DeSot, chief information officer of Digital Defense Inc.

LEGAL INDUSTRY

Litigation Powerhouse: Orrick

With extensive trial experience and one of the largest groups of appellate specialists in the country, Orrick Herrington & Sutcliffe LLP is the go-to firm for companies such as Dow Agrosciences, Apple and DirecTV in bet-the-company trials and must-win appeals, landing the firm a spot on Law360's list of Litigation Powerhouses.

Client Restitution Funds Weather Storm Of Big Payouts

The lawyer-supported funds for repaying clients ripped off by attorneys in

Cleveland Clinic Foundation
Cornerstone Research Inc.
Credit Suisse Group AG
DISH Network Corporation
Deutsche Bank AG
Dollar Financial Corp.
DraftKings Inc.
Energy Transfer Equity, L.P.
FTI Consulting Inc.
FanDuel Inc.
Fannie Mae
Financial Industry Regulatory Authority Inc.
Fitbit Inc.
Franklin Resources Inc.
Freddie Mac
Friedman LLP
Gen-Probe Incorporated
Goldman Sachs Group Inc.
HSBC Holdings PLC
Hercules Offshore, Inc.
ITC Holdings Corp.
JPMorgan Chase & Co.
Johnson Controls Inc.
Kendle International Inc.
Kinetic Concepts, Inc.
Kleiner Perkins Caufield & Byers
LINE Corp.
Lehman Brothers Holdings Inc.
LifeLock Inc.
Lincare Holdings Inc.
London Stock Exchange Group PLC
Lone Star Funds
Microsoft Corporation
Morgan Stanley
MusclePharm Corp.
NASDAQ OMX Group Inc.
Nascar Holdings Inc.
Naver Corp.
Nomura Holdings, Inc.
Ocwen Financial Corporation
PG&E Corporation
Perella Weinberg Partners
Purshe Kaplan Sterling Investments
RBS Citizens Financial Group Inc.
Riverbed Technology, Inc.
Robert W. Baird & Co.
State Bar of California
Target Corporation
Texas Instruments Inc.

New York, New Jersey and Pennsylvania suffered record-setting claim payouts in recent years, according to fund disclosures, leaving directors to hope another financial storm won't hit anytime soon.

Splitting Of Calif. Bar Nixed For More Reform Efforts

The State Bar of California has released a final report by an appointed task force recommending fixes for issues identified within the administrative body, including its system of attorney discipline and mission of protecting the public, but some members are pushing deunification of the bar as the only remedy.

High Court Justices Lack Ethics Oversight, Watchdog Says

U.S. Supreme Court justices are held to lower standards than officials in the executive and legislative branches, who are subject to ethics, disclosure, personal finance and travel requirements not imposed on the justices, according to a watchdog group's report.

Irate Mo. Public Defender's Budget Fix: Put Governor To Work

Faced with budget cuts and an increased caseload, the director of the Missouri State Public Defender System has appointed an unlikely attorney to represent an indigent defendant — Missouri Gov. Jay Nixon.

5 Attys Sanctioned For Forum Shopping USAA Settlement

An Arkansas federal judge on Wednesday sanctioned five local attorneys for forum shopping as they represented a proposed class suing insurer United Services Automobile Association over its depreciation practices, and chastised them for blatant efforts at evading a proper review of a \$3.5 million settlement.

Law360's Weekly Verdict: Legal Lions & Lambs

Potter Minton PC and Kirkland & Ellis LLP scored a mighty win Friday for Apple when a Texas federal judge vacated VirnetX's colossal \$625 million patent infringement verdict against the technology giant, while Gibson Dunn's arguments for the arbitration of a class action against Uber were slammed by a federal judge Friday as "legal fiction."

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New York, New York

Junior Associate

Stevens & Lee
Reading, Pennsylvania

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Thoma Bravo LLC
Tobira Therapeutics Inc.
Town Sports International Holdings, Inc.
Trump Organization Inc.
Twitter Inc.
U.S. Bancorp
UHY Advisors
Uber Technologies Inc.
United Services Automobile Association
VirnetX Holding Corporation
Wells Fargo & Co.
WisdomTree Investments Inc.
Zillow Inc.

GOVERNMENT AGENCIES

Consumer Financial Protection Bureau
Federal Communications Commission
Federal Reserve Bank of NY
Federal Reserve System
Federal Trade Commission
Permanent Court of Arbitration
Securities and Exchange Commission
Texas Commission on Environmental Quality
U.S. Attorney's Office
U.S. Department of Justice
U.S. Supreme Court

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