

**U.S. District Court**  
**Southern District of New York (Foley Square)**  
**CRIMINAL DOCKET FOR CASE #: 1:09-cr-00581-WHP All Defendants**

Case title: USA v. Daugerdas et al

Date Filed: 06/09/2009

| Date Filed | #          | Docket Text  |
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| 10/20/2010 | <u>181</u> | CONSENT PRELIMINARY ORDER OF FORFEITURE as to Erwin Mayer. On or about March 4, 2010, ERWIN MAYER, (the "defendant" ), among others, was charged in a thirty-one count Superseding Indictment S3 09 Cr. 581 (WHP) (the "Indictment") with violations of Title 18, United States Code, Section 371 (Count One); tax evasion as to various tax shelter clients,.... the Indictment included a forfeiture allegation...that constitutes or is derived from proceeds traceable to the commission of the offenses alleged in Counts One and Thirty-One, including but not limited to the following: a. At least \$180,000,000 in United States currency, in that such sum in aggregate is property representing the amount of proceeds obtained as a result of the conspiracy to commit the mail and wire fraud offenses; b. All that lot or parcel of land, together with its buildings, appurtenances, improvements, fixtures, attachments and easements, located at 340 White Oak Lane, Winnetka, Illinois 60093,....; c. All that lot or parcel of land, together with its buildings, appurtenances, improvements, fixtures, attachments and easements, located at 570 Illinois Avenue, Green Lake, Wisconsin 54941,....; d. A sum of at least \$10,000,000 in securities, notes, United States currency, funds, or other monetary instruments, on deposit at Goldman Sachs &Co.,....; e. A sum of at least \$10,000,000 in securities, notes, United States currency, funds, or other monetary instruments, on deposit at Goldman Sachs &Co.,....; f. All United States currency, funds, or other monetary instruments on deposit in account number 4352882 in the name of ERWIN MAYER and Jennifer Mayer at Northern Trust, and all accounts... SO ORDERED. (See this Consent Preliminary Order of Forfeiture for complete text.). (Signed by Judge William H. Pauley, III on 10/20/2010)(ja) (Entered: 10/21/2010) |
| 10/19/2010 |            | Minute Entry for proceedings held before Judge William H. Pauley, III: as to Erwin Mayer; Sentencing set for 2/10/2011 at 02:00 PM before Judge William H. Pauley III. (jw) (Entered: 10/20/2010)  |
| 10/19/2010 |            | Minute Entry for proceedings held before Judge William H. Pauley, III: Plea entered by Erwin Mayer (2) Guilty as to Count 1sss,29sss. (jw) (Entered: 10/20/2010)   |
| 10/19/2010 |            | Change of Not Guilty Plea to Guilty Plea as to Erwin Mayer (2) Count 1sss,29sss. (jw) (Entered: 10/20/2010)  |
| 10/19/2010 |            | Minute Entry for proceedings held before Judge William H. Pauley, III:Change of Plea Hearing as to Erwin Mayer held on 10/19/2010. Defendant ERWIN MAYER present w/atty Thomas McNulty, Esq. AUSA present Stanley J. Okula and Nanette Davis. IRS Special Agent Christine Mazzella present. Court reporter present Bill Richards. Defendant MAYER w/draws his previously entered plea of not guilty and pled guilty to counts 1 and 29 (S3 08 Cr. 851). Sentencing set for 2/10/11 at 2:00 p.m. Bail continued. (jw) (Entered: 10/20/2010)   |
| 10/14/2010 | <u>180</u> | ORDER as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse. Defendants move for an order: (1) precluding the Government from eliciting expert testimony at trial; (2) directing the Government to produce complete and un-redacted copies of white papers, power-point slides, correspondence and other materials provided by Jenkins &Gilchrist ("J"), BDO Seidman LLP, and Deutsche Bank (collectively, "The Employing Firms") during the Government's investigation of those entities; (3) directing the Government to produce Internal Revenue Service ("IRS") documents reflecting internal IRS deliberations regarding the legality of the tax shelters at issue; and (4) directing the Government to produce a witness list and all 3500 material by October 15, 2010. Accordingly, the Government is directed to  |

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|            |            | provide Defendants with a witness list and 3500 material by November 22, 2010. This direction is without prejudice to the Government making a further application to the Court to substitute or add witnesses or 3500 material in the interests of justice and for good cause. SO ORDERED. (Signed by Judge William H. Pauley, III on 10/14/2010)(jw) (Entered: 10/15/2010)   |
| 10/14/2010 | 179        | TRANSCRIPT of Proceedings as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse held on September 28, 2010 before Judge William H. Pauley, III. (mro) (Entered: 10/14/2010)  |
| 10/12/2010 | <u>178</u> | ORDER as to Denis Field. It is therefore ORDERED, pursuant to Federal Rule of Evidence 502(d), that BDO's disclosure in response to the Subpoena in this litigation now pending before the Court of a document protected by the attorney-client privilege or work-product doctrine will not constitute or be deemed a waiver or a subject matter waiver of any such privilege or protection, nor shall such disclosure be a waiver in any other Federal or State proceeding, including any and all arbitration's and private dispute resolution proceedings. It is further ORDERED that no party to this litigation shall disseminate any material produced in response to the Subpoena to a person who is not a party or his or her counsel; It is further ORDERED that BDO shall affix a legend to all materials produced identifying such materials as subject to this Order. (Signed by Judge William H. Pauley, III on 10/12/10)(jw) (Entered: 10/13/2010)   |
| 10/05/2010 | 177        | Letter by Denis Field as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker and David Parse addressed to Judge William H. Pauley from Caroline Rule dated 9/30/2010 re: Counsel for Defendant Mr. Field writes to follow up on questions raised during the 9/28/2010 hearing, in connection with Mr. Field's Motion Seeking Exclusion of Documents Wrongly Produced by BDO Seidman, LLP in Violation of the Attorney-Client Privilege, Docket #107, 110-111, and 152. (ab) (Entered: 10/05/2010)   |
| 10/04/2010 | <u>176</u> | NOTICE of Change of Address as to David Parse. New Address: Brune &Richard LLP, One Battery Park Plaza, 34th Floor, New York, New York, 10004., (Trzaskoma, Theresa) (Entered: 10/04/2010)  |
| 10/04/2010 | <u>175</u> | NOTICE of Change of Address as to David Parse. New Address: Brune &Richard LLP, One Battery Park Plaza, 34th Floor, New York, New York, 10004., (Brune, Susan) (Entered: 10/04/2010)  |
| 10/04/2010 | <u>174</u> | NOTICE OF ATTORNEY APPEARANCE: Alexandra A. E. Shapiro appearing for Denis Field. (Shapiro, Alexandra) (Entered: 10/04/2010)  |
| 09/28/2010 |            | Minute Entry for proceedings held before Judge William H. Pauley, III:Status Conference as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse held on 9/28/2010. Oral argument held. Defendant DAUGERDAS present w/atty Charles Sklarsky, Esq. and Chris Gair, Esq. Defendant MAYER NOT present, his atty present Thomas McNulty, Esq. Defendant GUERIN present w/atty Mark Rotert, Esq. Defendant FIELD present w/atty Caroline Rule, Esq. and Alexandra Shapiro, Esq. Defendant BRUBAKER present w/atty Barry Berke, Esq. and Paul Schoeman, Esq. Defendant PARSE present w/atty Susan Brune, Esq. and Laurie Edelstein, Esq. AUSA present Stanley J. Okula, Nanette Davis and Jason Hernandez. Special Agent Christine Mazzella of the IRS present. Court reporter present Sam Mauro and Jerry Harrison. A final PTC will be held on 2/9/11 at 1:30 p.m. Motions in limine shall be submitted on 1/19/11, responses on 1/26/11, and any reply on 2/2/10. Bail continued.Pauley, J (ajc) (Entered: 09/29/2010) |
| 09/08/2010 | 172        | Letter by USA as to Denis Field addressed to Judge Pauley from Nanette L. Davis dated 8/3/2010 re: Pursuant to your Honor's July 15, 2010 order, the Government submits this letter in response to the letter memorandum of Sonnenschein, Nath and Rosenthal LLP's regarding its simultaneous representation of Denis Field and Adrian Dicker. As explained below, this situation constitutes a violation of the New York Rules of Professional Conduct Section 1.7 and 1.10(a) and is contradictory to the case law of the Second Circuit. For a variety of reasons, Mr. Mark A. Flessner of SNR should be disqualified from representing defendant Field in this criminal prosecution. (jw) (Entered: 09/08/2010)   |

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| 09/08/2010 | 171        | Letter by Denis Field addressed to Judge Pauley from Mark A. Flessner dated 7/29/10 re: This letter responds to your Honor's July 15, 2010 request for a letter memorandum relating to the alleged potential conflict of interest issues raised by the government arising from the simultaneous representation by Sonnenschein Nath & Rosenthal LLP of Denis Field and Adrian Dicker. As set forth below, we believe that the limited scope of our representation of Mr. Field does not rise to the level of a conflict of interest. (jw) (Entered: 09/08/2010)  |
| 09/08/2010 | 170        | Letter concerning defendant Denis Field addressed to Judge William H. Pauley III from Attorney Mark A. Flessner dated August 23, 2010 re: Although I recognize that your Honor's July 15, 2010 Order did not contemplate any correspondence following my August 6, 2010 letter memorandum, I am compelled to respond to the Government's recent August 20, 2010 letter, because the Government cites additional authority and misstates Sonnenschein's position. Additionally, the record must be clear that the Government has no basis to claim that Sonnenschein has violated its ethical wall. [*** Received in Judge Pauley's Chambers on 8/24/2010 ***] (bw) (Entered: 09/08/2010)                     |
| 09/08/2010 | 169        | Letter by USA as to defendant Denis Field addressed to Judge William H. Pauley III from AUSA Nanette L. Davis dated August 20, 2010 re: Pursuant to your Honor's July 15, 2010 order, the Government submits this brief letter in response to the August 6, 2010 letter memorandum reply of Sonnenschein, Nath, and Rosenthal LLP's ("SNR") regarding its simultaneous representation of Denis Field and Adrian Dicker.... SNR still faces an insurmountable actual conflict in loyalties in representing a cooperator and the defendant against whom the cooperator will testify. Accordingly, SNR should be disqualified from further representation of defendant Denis Field. (bw) (Entered: 09/08/2010)  |
| 09/08/2010 | 168        | Letter concerning defendant Denis Field addressed to Judge William H. Pauley III from Attorney Mark A. Flessner dated August 6, 2010 re: Pursuant to your Honor's July 15, 2010 request, this letter replies to the Government's August 3, 2010 letter memorandum complaining of an alleged potential conflict arising from the Sonnenschein's simultaneous representation of Denis Field and Adrian Dicker. In short, neither the Government's response nor its cited authority alters the conclusion that the limited scope of our representation of Mr. Field does not even create a potential conflict of interest. [*** Received in Judge Pauley's Chambers on 8/9/2010 ***] (bw) (Entered: 09/08/2010) |
| 09/07/2010 | <u>173</u> | ENDORSED LETTER as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker and David Parse addressed to Judge William H. Pauley dated 8/27/2010 re: Counsel writes to request permission to rule a Replay that contains 16 pages of text. ENDORSED: Application Granted. SO ORDERED. (Signed by Judge William H. Pauley, III on 9/3/2010)(ab) (Entered: 09/13/2010)  |
| 09/07/2010 | <u>167</u> | ENDORSED LETTER as to Denis Field addressed to Judge William H. Pauley from Caroline Rule dated 8/27/2010 re: Counsel writes to request permission to file a reply brief of 20 pages. ENDORSED: Application Granted. SO ORDERED. (Signed by Judge William H. Pauley, III on 9/3/2010)(ab) (Entered: 09/07/2010)  |
| 09/03/2010 | <u>166</u> | MEMORANDUM & ORDER: As to Denis Field. The Government moves to disqualify the law firm of Sonnenschein, Nath & Rosenthal LLP ("Sonnenschein") from representing Defendant Denis Field ("Field") based on Sonnenschein's simultaneous representation of cooperating witness Adrian Dicker ("Dicker")... For the foregoing reasons, the Government's motion to disqualify the law firm of Sonnenschein, Nath & Rosenthal LLP from representing Denis Field is granted. SO ORDERED. (Signed by Judge William H. Pauley, III on 9/3/2010)(dnd) (Entered: 09/03/2010)   |
| 09/02/2010 | <u>165</u> | NOTICE OF ATTORNEY APPEARANCE: Chris C. Gair appearing for Paul M. Daugerdas. (Gair, Chris) (Entered: 09/02/2010)  |
| 08/31/2010 | 164        | TRANSCRIPT of Proceedings (Motions) as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse held on August 2, 2010 2:40 p.m. before Judge William H. Pauley, III. (bw) (Entered: 09/01/2010)  |

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| 08/30/2010 | <u>163</u> | NOTICE OF ATTORNEY APPEARANCE Jason Peter Hernandez appearing for USA. (Hernandez, Jason) (Entered: 08/30/2010)   |
| 08/27/2010 | <u>162</u> | DECLARATION of Stephanie Atkinson in Support as to Denis Field re: <u>104</u> MOTION for Discovery <i>and Hearing Concerning Government Interference with Fifth and Sixth Amendment Rights..</i> (Attachments: # <u>1</u> Exhibit A – C)(Rule, Caroline) (Entered: 08/27/2010)  |
| 08/27/2010 | <u>161</u> | REPLY MEMORANDUM OF LAW in Support as to Denis Field re: <u>104</u> MOTION for Discovery <i>and Hearing Concerning Government Interference with Fifth and Sixth Amendment Rights..</i> (Rule, Caroline) (Entered: 08/27/2010)   |
| 08/27/2010 | <u>160</u> | REPLY MEMORANDUM OF LAW in Support as to David Parse re: <u>113</u> MOTION to Dismiss. <i>Counts as Barred by the Statute of Limitations.</i> (Brune, Susan) (Entered: 08/27/2010)  |
| 08/27/2010 | <u>159</u> | REPLY MEMORANDUM OF LAW in Support as to David Parse re: <u>108</u> MOTION To Sever Count 25. <i>of the Third Superseding Indictment.</i> (Brune, Susan) (Entered: 08/27/2010)  |
| 08/27/2010 | <u>158</u> | DECLARATION of Mark L. Rotert in Support by Donna Guerin as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse re: <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute Of Limitations And To Dismiss The Tax Evasion And Obstruction Counts.. (Attachments: # <u>1</u> Exhibit A)(Rotert, Mark) (Entered: 08/27/2010) |
| 08/27/2010 | <u>157</u> | REPLY MEMORANDUM OF LAW in Support by Donna Guerin as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse re: <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute Of Limitations And To Dismiss The Tax Evasion And Obstruction Counts.. (Rotert, Mark) (Entered: 08/27/2010)  |
| 08/27/2010 | <u>156</u> | JOINT REPLY MEMORANDUM OF LAW in Support by Paul M. Daugerdas, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse re: <u>102</u> MOTION to Dismiss.. (Rotert, Mark) (Entered: 08/27/2010)   |
| 08/27/2010 | <u>155</u> | REPLY MEMORANDUM OF LAW in Support as to Paul M. Daugerdas re: <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute Of Limitations And To Dismiss The Tax Evasion And Obstruction Counts.. (Attachments: # <u>1</u> Exhibit A, # <u>2</u> Exhibit B, # <u>3</u> Certificate of Service)(Fischer, Brian) (Entered: 08/27/2010)  |
| 08/27/2010 | <u>154</u> | REPLY MEMORANDUM OF LAW in Support as to Paul M. Daugerdas re: <u>113</u> JOINT MOTION to Dismiss <i>Counts as Barred by the Statute of Limitations..</i> (Attachments: # <u>1</u> Certificate of Service)(Fischer, Brian) (Entered: 08/27/2010)  |
| 08/27/2010 | <u>153</u> | REPLY MEMORANDUM OF LAW in Support as to Paul M. Daugerdas re: <u>100</u> MOTION to Dismiss <i>Time–Barred, Duplicitous and Irrelevant Allegations in Count 25 of the Indictment..</i> (Attachments: # <u>1</u> Certificate of Service)(Fischer, Brian) (Entered: 08/27/2010)   |
| 08/27/2010 | <u>152</u> | REPLY MEMORANDUM OF LAW in Support as to Denis Field re: <u>107</u> MOTION to Exclude <i>Documents Wrongly Produced By BDO In Violation Of Attorney–Client Privilege..</i> (Rule, Caroline) (Entered: 08/27/2010)   |
| 08/27/2010 | <u>151</u> | REPLY MEMORANDUM OF LAW in Support by Raymond Craig Brubaker as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse re: <u>117</u> MOTION to Strike <i>Surplusage..</i> (Berke, Barry) (Entered: 08/27/2010)   |
| 08/12/2010 | 150        | TRANSCRIPT of Proceedings as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse held on August 2, 2010 at 2:40 pm before Judge William H. Pauley, III. (eef) (Entered: 08/13/2010)   |
| 08/03/2010 | <u>149</u> | MEMORANDUM in Opposition by USA as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse re: <u>134</u> MOTION That Defendant Donna Guerin Joins in Defendant Daugerdas Motion to Invalidate Stipulations to Extend the Statute of Limitations   |

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|            |            | and to Dismiss the Tax Evasion and Obstruction Counts re <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute MOTION That Defendant Donna Guerin Joins in Defendant Daugerdas Motion to Invalidate Stipulations to Extend the Statute of Limitations and to Dismiss the Tax Evasion and Obstruction Counts re <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute, <u>113</u> MOTION to Dismiss., <u>102</u> MOTION to Dismiss., <u>122</u> MOTION for Discovery., 123 MOTION To Invalidate Stipulations and To Dismiss Counts., <u>108</u> MOTION To Sever Count 25., <u>100</u> MOTION to Dismiss <i>Time-Barred, Duplicitous and Irrelevant Allegations in Count 25 of the Indictment.</i> , 107 MOTION to Exclude <i>Documents Wrongly Produced By BDO In Violation Of Attorney-Client Privilege.</i> , 117 MOTION to Strike <i>Surplusage.</i> , 104 MOTION for Discovery and Hearing <i>Concerning Government Interference with Fifth and Sixth Amendment Rights.</i> , 115 MOTION for Discovery., 119 MOTION for Joinder., 112 MOTION various for <i>Defendant Denis Field to Join in the Motions of Co-Defendants.</i> (Okula, Stanley) (Entered: 08/03/2010)   |
| 08/02/2010 |            | Minute Entry for proceedings held before Judge William H. Pauley, III: Status Conference (Oral Argument) as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse held on 8/2/2010. Oral argument held. Defendant DAUGERDAS present w/atty Charles Sklarsky, Esq. Defendant MAYER present w/atty Daniel Reidy, Esq. Defendant GUERIN present w/atty Mark Rotert, Esq. Defendant FIELD present w/atty Caroline Rule, Esq. Defendant BRUBAKER present w/atty Barry Berke, Esq. and Paul Schoeman, Esq. Defendant PARSE present w/atty Susan Brune, Esq. AUSA present Stanley J. Okula and Nanette Davis. Special Agent Christine Mazzella of the IRS present. Court reporter present Tom Murray. Bail continued. Pauley, J (ajc) (Entered: 08/04/2010)   |
| 08/02/2010 | <u>148</u> | DECLARATION of Nanette L. Davis in Opposition by USA as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse re: <u>134</u> MOTION That Defendant Donna Guerin Joins in Defendant Daugerdas Motion to Invalidate Stipulations to Extend the Statute of Limitations and to Dismiss the Tax Evasion and Obstruction Counts re <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute MOTION That Defendant Donna Guerin Joins in Defendant Daugerdas Motion to Invalidate Stipulations to Extend the Statute of Limitations and to Dismiss the Tax Evasion and Obstruction Counts re <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute, <u>113</u> MOTION to Dismiss., <u>122</u> MOTION for Discovery., 123 MOTION To Invalidate Stipulations and To Dismiss Counts., 107 MOTION to Exclude <i>Documents Wrongly Produced By BDO In Violation Of Attorney-Client Privilege.</i> , 104 MOTION for Discovery and Hearing <i>Concerning Government Interference with Fifth and Sixth Amendment Rights.</i> , 115 MOTION for Discovery., 112 MOTION various for <i>Defendant Denis Field to Join in the Motions of Co-Defendants.</i> (Attachments: # <u>1</u> Exhibit Exhibit A, # <u>2</u> Exhibit Exhibit B, # <u>3</u> Exhibit Exhibit C, # <u>4</u> Exhibit Exhibit D, # <u>5</u> Exhibit Exhibit E, # <u>6</u> Exhibit Exhibit F, # <u>7</u> Exhibit Exhibit G, # <u>8</u> Exhibit Exhibit H, # <u>9</u> Exhibit Exhibit I, # <u>10</u> Exhibit Exhibit J, # <u>11</u> Exhibit Exhibit K, # <u>12</u> Exhibit Exhibit L, # <u>13</u> Exhibit Exhibit M, # <u>14</u> Exhibit Exhibit N, # <u>15</u> Exhibit Exhibit O, # <u>16</u> Exhibit Exhibit P, # <u>17</u> Exhibit Exhibit Q, # <u>18</u> Exhibit Exhibit R, # <u>19</u> Exhibit Exhibit S, # <u>20</u> Exhibit Exhibit T, # <u>21</u> Exhibit Exhibit U, # <u>22</u> Exhibit Exhibit V, # <u>23</u> Exhibit Exhibit W, # <u>24</u> Exhibit Exhibit X)(Okula, Stanley) (Entered: 08/02/2010) |
| 08/02/2010 | <u>147</u> | DECLARATION of Stanley Okula in Opposition by USA as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse re: <u>134</u> MOTION That Defendant Donna Guerin Joins in Defendant Daugerdas Motion to Invalidate Stipulations to Extend the Statute of Limitations and to Dismiss the Tax Evasion and Obstruction Counts re <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute MOTION That Defendant Donna Guerin Joins in Defendant Daugerdas Motion to Invalidate Stipulations to Extend the Statute of Limitations and to Dismiss the Tax Evasion and Obstruction Counts re <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute, <u>113</u> MOTION to Dismiss., <u>102</u> MOTION to Dismiss., 123 MOTION To Invalidate Stipulations and To Dismiss Counts., <u>108</u> MOTION To Sever Count 25., <u>100</u> MOTION to Dismiss <i>Time-Barred, Duplicitous and Irrelevant Allegations in Count 25 of the Indictment.</i> , 117 MOTION to Strike <i>Surplusage.</i> , 119 MOTION  |

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|            |            | for Joinder., 112 MOTION various <i>for Defendant Denis Field to Join in the Motions of Co-Defendants.</i> , <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute Of Limitations And To Dismiss The Tax Evasion And Obstruction Counts.. (Attachments: # <u>1</u> Exhibit Exhibit A, # <u>2</u> Exhibit Exhibit B, # <u>3</u> Exhibit Exhibit C, # <u>4</u> Exhibit Exhibit D-1, # <u>5</u> Exhibit Exhibit D-2, # <u>6</u> Exhibit Exhibit E-1, # <u>7</u> Exhibit Exhibit E-2, # <u>8</u> Exhibit Exhibit E-3)(Okula, Stanley) (Entered: 08/02/2010)  |
| 07/28/2010 | <u>146</u> | DECLARATION of Theresa Trzaskoma in Support as to David Parse re: <u>115</u> MOTION for Discovery.. (Attachments: # <u>1</u> Exhibit 1)(Trzaskoma, Theresa) (Entered: 07/28/2010)  |
| 07/28/2010 | <u>145</u> | REPLY MEMORANDUM OF LAW in Support as to David Parse re: <u>115</u> MOTION for Discovery.. (Trzaskoma, Theresa) (Entered: 07/28/2010)  |
| 07/28/2010 | <u>144</u> | REPLY MEMORANDUM OF LAW in Support as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse re: <u>122</u> MOTION for Discovery. <i>and Particulars.</i> (Berke, Barry) (Entered: 07/28/2010)  |
| 07/27/2010 | 143        | TRANSCRIPT of Proceedings as to Denis Field held on 7/15/2010 before Judge William H. Pauley, III. (ab) (Entered: 07/28/2010)  |
| 07/27/2010 | 142        | TRANSCRIPT of Proceedings as to Denis Field held on 7/15/2010 before Judge William H. Pauley, III. (ab) (Entered: 07/28/2010)  |
| 07/21/2010 | <u>141</u> | ORDER granting <u>128</u> Motion for Chris C. Gair to Appear Pro Hac Vice as to Paul M. Daugerdas (1). (Signed by Judge William H. Pauley, III on 7/20/2010) (ja) (Entered: 07/21/2010)  |
| 07/16/2010 | <u>140</u> | DECLARATION of Stanley J. Okula, Jr. in Opposition by USA as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse re: <u>122</u> MOTION for Discovery.. (Okula, Stanley) (Entered: 07/16/2010)   |
| 07/16/2010 | <u>139</u> | RESPONSE to Motion by USA as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse re <u>122</u> MOTION for Discovery.. (Attachments: # <u>1</u> Exhibit 1: United States v. Coplan Transcript, # <u>2</u> Exhibit 2: United States v. Stein – Judge Kaplan Order)(Okula, Stanley) (Entered: 07/16/2010)  |
| 07/15/2010 |            | Minute Entry for proceedings held before Judge William H. Pauley, III: As to Denis Field: Defendants motion on the issue of one law firms representation of both a cooperating witness and an indicted defendant in the same case shall be submitted by 7/29/10. Government Reply due by 8/3/2010. Defendant Reply due by 8/6/2010. (ajc) (Entered: 07/22/2010)  |
| 07/15/2010 |            | Minute Entry for proceedings held before Judge William H. Pauley, III: Status Conference as to Denis Field held on 7/15/2010. Conference held. Defendant FIELD present w/atty Caroline Rule, Esq. Also present Mark Flessner, Esq., Todd Welty, Esq., and Glen Colton, Esq. AUSA present Stanley Okula and Nanette Davis. Court reporter present Tom Murray. Defendants motion on the issue of one law firms representation of both a cooperating witness and an indicted defendant in the same case shall be submitted by 7/29/10. The Governments response shall be submitted by 8/3/10. Any reply shall be submitted by 8/6/10. Pauley, J (ajc) (Entered: 07/22/2010) |
| 07/09/2010 | <u>138</u> | ENDORSED LETTER as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse addressed to Judge William H. Pauley III from AUSAs Stanley J. Okula Jr./Nanette L. Davis, dated June 24, 2010 re: We write to request a conference with the Court regarding a conflict that has emerged with respect to counsel for defendant Denis Field and cooperating witness Adrian Dicker. ENDORSEMENT: Application granted. A conference will be held on July 15, 2010 at 5:00 p.m. So Ordered. (Signed by Judge William H. Pauley, III on 7/8/2010)(bw) (Entered: 07/13/2010)   |
| 07/09/2010 | <u>137</u> | MOTION FOR LEAVE of Sevan Ogulluk to Withdraw his appearance on behalf of Defendant Erwin Mayer Document filed by Erwin Mayer. Pursuant to Civil Rule 1.4 of the Local Rules of the United States District Courts for the Southern   |

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|            |            | and Eastern Districts of New York. Sevan Ogulluk hereby moves to withdraw his appearance in this action as attorney of record for defendant Erwin Mayer ("Mayer"). Mayer is represented in this action by Thomas P. McNulty, Daniel E. Reidy and Erin L. Shencopp, each of whom is a member of the law firm of Jones Day. I understand that Messrs. McNulty and Reidy and Ms. Shencopp have each been issued an Order to appear pro hac vice on behalf of Mayer (see Exhibit A attached hereto). WHEREFORE, the undersigned moves to withdraw his appearance as attorney of record for Mayer in this matter. (jw) (Entered: 07/09/2010)  |
| 07/02/2010 | <u>136</u> | DECLARATION of Mark L. Rotert in Support by Donna Guerin as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse re: <u>134</u> MOTION That Defendant Donna Guerin Joins in Defendant Daugerdas Motion to Invalidate Stipulations to Extend the Statute of Limitations and to Dismiss the Tax Evasion and Obstruction Counts re <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute MOTION That Defendant Donna Guerin Joins in Defendant Daugerdas Motion to Invalidate Stipulations to Extend the Statute of Limitations and to Dismiss the Tax Evasion and Obstruction Counts re <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute. (Attachments: # <u>1</u> Exhibit A)(Rotert, Mark) (Entered: 07/02/2010) |
| 07/02/2010 | <u>135</u> | MEMORANDUM in Support by Donna Guerin as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse re <u>134</u> MOTION That Defendant Donna Guerin Joins in Defendant Daugerdas Motion to Invalidate Stipulations to Extend the Statute of Limitations and to Dismiss the Tax Evasion and Obstruction Counts re <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute MOTION That Defendant Donna Guerin Joins in Defendant Daugerdas Motion to Invalidate Stipulations to Extend the Statute of Limitations and to Dismiss the Tax Evasion and Obstruction Counts re <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute. (Rotert, Mark) (Entered: 07/02/2010)  |
| 07/02/2010 | <u>134</u> | MOTION That Defendant Donna Guerin Joins in Defendant Daugerdas Motion to Invalidate Stipulations to Extend the Statute of Limitations and to Dismiss the Tax Evasion and Obstruction Counts re <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute Of Limitations And To Dismiss The Tax Evasion And Obstruction Counts.. Document filed by Donna Guerin as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse. (Rotert, Mark) (Entered: 07/02/2010)  |
| 07/01/2010 | <u>133</u> | ORDER granting <u>129</u> Motion for Nicole A. Allen to Appear Pro Hac Vice as to Paul M. Daugerdas (1). (Signed by Judge William H. Pauley, III on 7/1/2010) (ja) (Entered: 07/02/2010)   |
| 07/01/2010 | <u>132</u> | ENDORSED LETTER as to Donna Guerin addressed to Judge Pauley, from Mark L. Rotert, atty for the dft, dated 6/28/2010, re: asking the Court's permission to file the enclosed pleading on behalf of client, Donna M. Guerin, As explained herein, I seek to have Ms. Guerin included as a Movant on a motion previously filed by two other dfts in this case.... --- Judge endorsed: Application granted. SO ORDERED. (Signed by Judge William H. Pauley, III on 7/1/2010)(ja) (Entered: 07/02/2010)  |
| 07/01/2010 | <u>131</u> | NOTICE OF ATTORNEY APPEARANCE: Christopher Michael Egleson appearing for Robert Greisman. (Egleson, Christopher) (Entered: 07/01/2010)   |
| 07/01/2010 | <u>130</u> | MOTION for Sevan Ogulluk to Withdraw as Attorney. Document filed by Erwin Mayer. (Attachments: # <u>1</u> Exhibit A)(Ogulluk, Sevan) (Entered: 07/01/2010)   |
| 06/30/2010 |            | CASHIERS OFFICE REMARK as to Paul M. Daugerdas on <u>129</u> Motion to Appear Pro Hac Vice, <u>128</u> Motion to Appear Pro Hac Vice in the amount of \$50.00, paid on 06/24/2010, Receipt Number 907383. (jd) (Entered: 06/30/2010)   |
| 06/24/2010 | <u>129</u> | MOTION for Nicole A. Allen to Appear Pro Hac Vice. Document filed by Paul M. Daugerdas. Declaration of Brian J. Fischer in Support attached. (ja) (Entered: 06/28/2010)  |
| 06/24/2010 |            | ***DELETED DOCUMENT. Deleted document number 128 Pro Hac Vice Motion, as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field,   |

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|            |            | Raymond Craig Brubaker, David Parse. The document was incorrectly filed in this case. (dnd) (Entered: 06/28/2010)   |
| 06/24/2010 | <u>128</u> | MOTION for Chris C. Gair to Appear Pro Hac Vice. Document filed by Paul M. Daugerdas. (dnd) (Entered: 06/28/2010)   |
| 06/23/2010 | 127        | TRANSCRIPT of Proceedings as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse held on 6/11/2010 before Judge William H. Pauley, III. (jw) (Entered: 06/24/2010)  |
| 06/23/2010 | <u>126</u> | MEMORANDUM in Support by Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse re <u>122</u> MOTION for Discovery.. <i>and Particulars</i> (Berke, Barry) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>125</u> | DECLARATION of Paul H. Schoeman, Esq. in Support as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse re: <u>122</u> MOTION for Discovery.. (Attachments: # <u>1</u> Exhibit A-T, # <u>2</u> Exhibit U-GG, # <u>3</u> Exhibit HH-YY, # <u>4</u> Exhibit ZZ-DDD)(Berke, Barry) (Entered: 06/23/2010)                                   |
| 06/23/2010 | <u>124</u> | MEMORANDUM in Support by Erwin Mayer re <u>123</u> MOTION To Invalidate Stipulations and To Dismiss Counts.. (Attachments: # <u>1</u> Exhibit A, # <u>2</u> Exhibit B, # <u>3</u> Exhibit C, # <u>4</u> Exhibit D, # <u>5</u> Transmittal Affidavit)(Shencopp, Erin) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>123</u> | MOTION To Invalidate Stipulations and To Dismiss Counts. Document filed by Erwin Mayer. (Shencopp, Erin) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>122</u> | JOINT MOTION for Discovery <i>and Particulars</i> . Document filed by Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse. (Berke, Barry) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>121</u> | MEMORANDUM in Support by Raymond Craig Brubaker re <u>117</u> MOTION to Strike <i>Surplusage</i> .. (Berke, Barry) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>120</u> | DECLARATION of Paul H. Schoeman, Esq. in Support as to Raymond Craig Brubaker re: <u>117</u> MOTION to Strike <i>Surplusage</i> .. (Attachments: # <u>1</u> Exhibit A-D)(Berke, Barry) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>119</u> | MOTION for Joinder. Document filed by David Parse. (Brune, Susan) (Entered: 06/23/2010)   |
| 06/23/2010 | <u>118</u> | DECLARATION of Laurie Edelstein in Support as to David Parse re: <u>115</u> MOTION for Discovery.. (Attachments: # <u>1</u> Exhibit A)(Edelstein, Laura) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>117</u> | MOTION to Strike <i>Surplusage</i> . Document filed by Raymond Craig Brubaker. (Berke, Barry) (Entered: 06/23/2010)   |
| 06/23/2010 | <u>116</u> | MEMORANDUM in Support by David Parse re <u>115</u> MOTION for Discovery.. (Brune, Susan) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>115</u> | MOTION for Discovery. Document filed by David Parse. Return Date set for 8/2/2010 at 02:30 PM. (Brune, Susan) (Entered: 06/23/2010)   |
| 06/23/2010 | <u>114</u> | MEMORANDUM in Support by Paul M. Daugerdas, Erwin Mayer, Donna Guerin as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse re <u>113</u> MOTION to Dismiss.. (Attachments: # <u>1</u> Exhibit A, # <u>2</u> Exhibit B, # <u>3</u> Exhibit C, # <u>4</u> Transmittal Affidavit)(Shencopp, Erin) (Entered: 06/23/2010) |
| 06/23/2010 | <u>113</u> | JOINT MOTION to Dismiss <i>Counts as Barred by the Statute of Limitations</i> . Document filed by Paul M. Daugerdas, Erwin Mayer, Donna Guerin as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse. (Shencopp, Erin) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>112</u> | MOTION various <i>for Defendant Denis Field to Join in the Motions of Co-Defendants</i> . Document filed by Denis Field. (Rule, Caroline) (Entered: 06/23/2010)   |



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| 06/23/2010 | <u>111</u> | MEMORANDUM in Support by Denis Field re <u>107</u> MOTION to Exclude <i>Documents Wrongly Produced By BDO In Violation Of Attorney–Client Privilege.</i> (Rule, Caroline) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>110</u> | DECLARATION of Stephanie Atkinson in Support as to Denis Field re: <u>107</u> MOTION to Exclude <i>Documents Wrongly Produced By BDO In Violation Of Attorney–Client Privilege.</i> (Attachments: # <u>1</u> Exhibit A to Atkinson Decl. (1 of 2), # <u>2</u> Exhibit A to Atkinson Decl. (2 of 2), # <u>3</u> Exhibit B to Atkinson Decl. (1 of 3), # <u>4</u> Exhibit B to Atkinson Decl. (2 of 3), # <u>5</u> Exhibit B to Atkinson Decl. (3 of 3), # <u>6</u> Exhibit C to Atkinson Decl., # <u>7</u> Exhibit D to Atkinson Decl., # <u>8</u> Exhibit E to Atkinson Decl., # <u>9</u> Exhibit F to Atkinson Decl., # <u>10</u> Exhibit G to Atkinson Decl., # <u>11</u> Exhibit H to Atkinson Decl., # <u>12</u> Exhibit I to Atkinson Decl., # <u>13</u> Exhibit J to Atkinson Decl., # <u>14</u> Exhibit K to Atkinson Decl., # <u>15</u> Exhibit L to Atkinson Decl., # <u>16</u> Exhibit M to Atkinson Decl., # <u>17</u> Exhibit N to Atkinson Decl., # <u>18</u> Exhibit O to Atkinson Decl., # <u>19</u> Exhibit P to Atkinson Decl., # <u>20</u> Exhibit R to Atkinson Decl., # <u>21</u> Exhibit R to Atkinson Decl.)(Rule, Caroline) (Entered: 06/23/2010)   |
| 06/23/2010 | <u>109</u> | MEMORANDUM in Support by Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse re <u>108</u> MOTION To Sever Count 25.. (Shencopp, Erin) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>108</u> | JOINT MOTION To Sever Count 25 of the <i>Third Superseding Indictment.</i> Document filed by Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse. (Shencopp, Erin) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>107</u> | MOTION to Exclude <i>Documents Wrongly Produced By BDO In Violation Of Attorney–Client Privilege.</i> Document filed by Denis Field. (Rule, Caroline) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>106</u> | MEMORANDUM in Support by Denis Field re <u>104</u> MOTION for Discovery and <i>Hearing Concerning Government Interference with Fifth and Sixth Amendment Rights.</i> (Rule, Caroline) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>105</u> | DECLARATION of Caroline Rule in Support as to Denis Field re: <u>104</u> MOTION for Discovery and <i>Hearing Concerning Government Interference with Fifth and Sixth Amendment Rights.</i> (Attachments: # <u>1</u> Exhibit A to Rule Decl., # <u>2</u> Exhibit B to Rule Decl., # <u>3</u> Exhibit C to Rule Decl., # <u>4</u> Exhibit D to Rule Decl., # <u>5</u> Exhibit E to Rule Decl., # <u>6</u> Exhibit F to Rule Decl., # <u>7</u> Exhibit G to Rule Decl., # <u>8</u> Exhibit H to Rule Decl., # <u>9</u> Exhibit I to Rule Decl., # <u>10</u> Exhibit J to Rule Decl., # <u>11</u> Exhibit K to Rule Decl., # <u>12</u> Exhibit L to Rule Decl., # <u>13</u> Exhibit M to Rule Decl., # <u>14</u> Exhibit N to Rule Decl., # <u>15</u> Exhibit O to Rule Decl., # <u>16</u> Exhibit P to Rule Decl., # <u>17</u> Exhibit Q to Rule Decl. (1 of 2), # <u>18</u> Exhibit Q to Rule Decl. (2 of 2), # <u>19</u> Exhibit R to Rule Decl., # <u>20</u> Exhibit S to Rule Decl., # <u>21</u> Exhibit T to Rule Decl., # <u>22</u> Exhibit U to Rule Decl., # <u>23</u> Exhibit V to Rule Decl., # <u>24</u> Exhibit W to Rule Decl., # <u>25</u> Exhibit X to Rule Decl., # <u>26</u> Exhibit Y to Rule Decl., # <u>27</u> Exhibit Z to Rule Decl., # <u>28</u> Exhibit AA to Rule Decl., # <u>29</u> Exhibit BB to Rule Decl., # <u>30</u> Exhibit CC to Rule Decl.)(Rule, Caroline) (Entered: 06/23/2010) |
| 06/23/2010 | <u>104</u> | MOTION for Discovery and <i>Hearing Concerning Government Interference with Fifth and Sixth Amendment Rights.</i> Document filed by Denis Field. (Rule, Caroline) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>103</u> | MEMORANDUM in Support by Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse re <u>102</u> MOTION to Dismiss.. <i>Evasion Counts for Failure to Allege Willfulness</i> (Rotert, Mark) (Entered: 06/23/2010)   |
| 06/23/2010 | <u>102</u> | JOINT MOTION to Dismiss <i>Evasion Counts for Failure to Allege Willfulness.</i> Document filed by Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse as to Paul M. Daugerdas, Erwin Mayer,  |

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|            |            | Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse. (Rotert, Mark) (Entered: 06/23/2010)   |
| 06/23/2010 | <u>101</u> | MEMORANDUM in Support by Paul M. Daugerdas re <u>100</u> MOTION to Dismiss <i>Time-Barred, Duplicitous and Irrelevant Allegations in Count 25 of the Indictment..</i> (Attachments: # <u>1</u> Exhibit A, # <u>2</u> Exhibit B, # <u>3</u> Exhibit C, # <u>4</u> Certificate of Service)(Fischer, Brian) (Entered: 06/23/2010)  |
| 06/23/2010 | <u>100</u> | MOTION to Dismiss <i>Time-Barred, Duplicitous and Irrelevant Allegations in Count 25 of the Indictment.</i> Document filed by Paul M. Daugerdas. (Fischer, Brian) (Entered: 06/23/2010)   |
| 06/23/2010 | <u>99</u>  | MEMORANDUM in Support by Paul M. Daugerdas re <u>98</u> MOTION To Invalidate Stipulations To Extend The Statute Of Limitations And To Dismiss The Tax Evasion And Obstruction Counts.. (Attachments: # <u>1</u> Exhibit A, # <u>2</u> Exhibit B, # <u>3</u> Exhibit C, # <u>4</u> Exhibit D, # <u>5</u> Exhibit E, # <u>6</u> Exhibit F, # <u>7</u> Exhibit G, # <u>8</u> Exhibit H, # <u>9</u> Transmittal Affidavit Of Chris C. Gair, # <u>10</u> Certificate Of Service)(Fischer, Brian) (Entered: 06/23/2010)   |
| 06/23/2010 | <u>98</u>  | MOTION To Invalidate Stipulations To Extend The Statute Of Limitations And To Dismiss The Tax Evasion And Obstruction Counts. Document filed by Paul M. Daugerdas. (Fischer, Brian) (Entered: 06/23/2010)   |
| 06/10/2010 |            | As to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse. Defendants Substantive Motions and Discovery due by 6/23/2010. Government shall respond to Substantive Motions by 7/30/2010. Government shall respond to Discovery due by 7/16/2010. Defendants reply to Government Discovery response due by 7/28/2010. Argument on Discovery issues (Status Conference) set for 8/2/2010 at 02:30 PM before Judge William H. Pauley III. Defendants shall reply to Government Substantive response 8/27/2010. Argument on the Substantive issues will be heard on 9/28/10 at 2:30 p.m. before Judge William H. Pauley III. (ajc) Modified on 6/21/2010 (ad). (Entered: 06/11/2010)  |
| 06/10/2010 |            | Minute Entry for proceedings held before Judge William H. Pauley, III: Plea entered by Paul M. Daugerdas (1) Count 1sss,2sss–23sss,25sss,26sss–28sss,31sss and Erwin Mayer (2) Count 1sss,2sss–7sss,9sss,11sss,13sss,17sss,24sss,29sss–30sss and Donna Guerin (3) Count 1sss,8sss,14sss–16sss,18sss–23sss,24sss,31sss and Denis Field (4) Count 1sss,8sss,10sss,21sss–22sss,24sss,31sss and Raymond Craig Brubaker (6) Count 1sss,2sss–7sss,17sss,24sss,31sss and David Parse (7) Count 1sss,21sss–23sss,24sss,31sss Not Guilty. (ajc) (Entered: 06/11/2010)  |
| 06/10/2010 |            | Minute Entry for proceedings held before Judge William H. Pauley, III: Arraignment as to Paul M. Daugerdas (1) Count 1sss,2sss–23sss,25sss,26sss–28sss,31sss and Erwin Mayer (2) Count 1sss,2sss–7sss,13sss,17sss,24sss,29sss–30sss,31sss and Donna Guerin (3) Count 1sss,8sss,12sss,14sss–16sss,18sss–23sss,24sss,31sss and Denis Field (4) Count 1sss,8sss,10sss,21sss–22sss,24sss,31sss and Raymond Craig Brubaker (6) Count 1sss,2sss–7sss,17sss,24sss,31sss and David Parse (7) Count 1sss,21sss–23sss,24sss,31sss held on 6/10/2010. (ajc) (Entered: 06/11/2010)  |
| 06/10/2010 |            | Minute Entry for proceedings held before Judge William H. Pauley, III: Pretrial Conference as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse held on 6/10/2010. PTC held. Defendant DAUGERDAS present w/atty Charles Sklarsky, Esq. Defendant MAYER present w/atty Tom McNulty, Esq. Defendant GUERIN present w/atty William Zieglmueller, Esq. Defendant FIELD present w/atty Caroline Rule, Esq. Defendant BRUBAKER present w/atty Barry Berke, Esq. and Paul Schoeman, Esq. Defendant PARSE present w/atty Susan Brune, Esq. AUSA present Stanley J. Okula, Esq. Special Agent Christine Mazzella of the IRS present. Court reporter present Sonia Huggins. All defendants arraigned on S3 09 Cr. 581. All defendants pled not guilty. The Government shall provide a letter to defendants detailing their intentions to produce or to dispute all of the requested discovery and Brady material. Defendants shall submit their substantive motions and their discovery motions by 6/23/10. The Government shall respond to discovery motions by 7/16/10. The defendants shall reply to the Governments discovery response by |

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|            |           | 7/28/10. Argument on discovery issues will be heard on 8/2/10 at 2:30 p.m. The Government shall respond to substantive motions by 7/30/10. The defendants shall reply to the Governments substantive response by 8/27/10. Argument on the substantive issues will be heard on 9/28/10 at 2:30 p.m. Bail continued.Pauley, J (ajc) Modified on 6/21/2010 (ad). (Entered: 06/11/2010)   |
| 06/10/2010 |           | CASHIERS OFFICE REMARK as to Donna Guerin on <u>95</u> Motion to Appear Pro Hac Vice in the amount of \$25.00, paid on 06/03/2010, Receipt Number 905385. (jd) (Entered: 06/10/2010)  |
| 06/09/2010 |           | Attorney update in case as to Donna Guerin. Attorney William P. Ziegelmueller for Donna Guerin added. (ab) (Entered: 06/10/2010)  |
| 06/09/2010 | <u>97</u> | ORDER GRANTING <u>95</u> Motion for William P. Ziegelmueller, Esq. to Appear Pro Hac Vice as to Donna Guerin (3). (Signed by Judge William H. Pauley, III on 6/8/2010) (ab) (Entered: 06/10/2010)   |
| 06/09/2010 | <u>96</u> | ENDORSED LETTER as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse addressed to Judge William H. Pauley from Theresa Trzaskoma dated 6/7/2010 re: Counsel writes to confirm that the conference in this matter has been rescheduled for Thursday, June 10 at 3 p.m. We also confirm that defendants will file their motions after the conference in accordance with a revised briefing schedule. Endorsed: Application Granted. SO ORDERED. (Signed by Judge William H. Pauley, III on 6/9/2010)(ab) (Entered: 06/09/2010) |
| 06/03/2010 | <u>95</u> | MOTION for William P. Ziegelmueller to Appear Pro Hac Vice. Document filed by (S1-09-Cr-581-03) Donna Guerin. [*** Cashier's Remark: 905385 \$25 JUN 03 2010 ***] (bw) (Entered: 06/04/2010)  |
| 05/27/2010 |           | Attorney update in case as to Robert Greisman. Attorney Douglass Bayley Maynard for Robert Greisman added. Attorney Scott Andrew Resnik terminated. (ja) (Entered: 05/28/2010)  |
| 05/27/2010 | <u>94</u> | STIPULATION AND ORDER as to Robert Greisman. The undersigned counsel hereby stipulate that the law firm of Akin Gump Strauss Hauer &Feld LLP be substituted as counsel for dft Robert Greisman in place of the law firm of Karten Muchin Rosenman LLP. (Signed by Judge William H. Pauley, III on 5/7/2010)(ja) (Entered: 05/28/2010)   |
| 05/20/2010 | <u>93</u> | ENDORSED LETTER as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse, addressed to Judge Pauley, from Stanley J. Okula, Jr./Nanette L. Davis, AUSAs, dated 5/14/2010, re: request that the Gov't be allowed to submit its status report on Monday, May 17, 2010.... -- Judge endorsed: Application granted. SO ORDERED. (Signed by Judge William H. Pauley, III on 5/18/2010)(ja) (Entered: 05/20/2010)  |
| 05/20/2010 | <u>92</u> | NOTICE OF ATTORNEY APPEARANCE: Laura Joy Edelstein appearing for David Parse. (Edelstein, Laura) (Entered: 05/20/2010)  |
| 05/07/2010 | 91        | SEALED DOCUMENT placed in vault. (nm) (Entered: 05/07/2010)   |
| 04/14/2010 | 90        | TRANSCRIPT of Proceedings as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse held on March 24, 2010 11:30 a.m. before Judge William H. Pauley, III. (ajc) (Entered: 04/15/2010)  |
| 04/14/2010 | 89        | TRANSCRIPT of Proceedings as to Paul M. Daugerdas held on March 16, 2010 12:30 p.m. before Judge William H. Pauley, III. (ajc) (Entered: 04/15/2010)  |
| 04/12/2010 | 88        | Letter by USA as to Paul M. Daugerdas addressed to Judge William H. Pauley III from AUSAs Stanley J. Okula, Jr./Nanette L. Davis, dated March 31, 2010 re: We write to confirm our oral advise to the Court of last week to the effect that counsel for the Government and defendant Paul Daugerdas have reached agreement with respect to the Daugerdas legal fees issue. Accordingly, there is no need for the Court to address Daugerdas's Monsanto claims. (bw) (Entered: 04/13/2010)   |

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| 04/12/2010 | 87        | Letter by USA as to (S2-09-Cr-581-) Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse addressed to Judge William H. Pauley III from AUSAs Stanley J. Okula, Jr., Nanette L. Davis dated February 19, 2010 re: Pursuant to Your Honor's directive, what follows is the First Joint Status Report by the parties in the above-referenced case. (bw) (Entered: 04/13/2010)  |
| 03/31/2010 | 86        | TRANSCRIPT of Proceedings as to Paul M. Daugerdas held on March 16, 2010 12:30 p.m. before Judge William H. Pauley, III. (ajc) (Entered: 03/31/2010)   |
| 03/30/2010 | 85        | Letter by USA as to Paul M. Daugerdas, Denis Field addressed to Judge William H. Pauley III from AUSAs Stanley J. Okula, Jr./Nanette L. Davis, dated March 15, 2010 re: We write in connection with the status conference for defendants Denis Field and Paul Daugerdas, which is currently scheduled for tomorrow, March 16, 2010, at noon. (bw) (Entered: 03/31/2010)  |
| 03/24/2010 |           | Minute Entry for proceedings held before Judge William H. Pauley, III:Status Conference as to Denis Field held on 3/24/2010. Defendant FIELD present w/atty Caroline Rule, Esq. AUSA present Stanley Okula. Court reporter present Jennifer Thun. Defendant Field is directed to provide the Government with a concise financial report. Any negotiations regarding Monsanto issues shall be concluded by 4/14/10 and the parties are directed to advise the Court in writing if the issue is resolved or if the parties are unable to reach an agreement. (jw) (Entered: 03/29/2010)  |
| 03/16/2010 |           | Minute Entry for proceedings held before Judge William H. Pauley, III:Status Conference as to Paul M. Daugerdas held on 3/16/2010. Defendant DAUGERDAS present w/atty Charles Sklarsky, Esq. AUSA present Stanley Okula. Court reporter present Jennifer Thun. Any negotiations regarding Monsanto issues shall be concluded by 3/26/10 and the parties are directed to advise the Court in writing if the issue is resolved or if the parties are unable to reach an agreement. (jw) (Entered: 03/24/2010)  |
| 03/10/2010 | <u>84</u> | ORDER granting <u>78</u> Motion for Thomas P. McNulty to Appear Pro Hac Vice as to Erwin Mayer (2). (Signed by Judge William H. Pauley, III on 3/9/2010) (ja) (Entered: 03/11/2010)  |
| 03/10/2010 | <u>83</u> | ORDER granting <u>80</u> Motion for Daniel E. Reidy to Appear Pro Hac Vice as to Erwin Mayer (2). (Signed by Judge William H. Pauley, III on 3/9/2010) (ja) (Entered: 03/11/2010)  |
| 03/10/2010 | <u>82</u> | ORDER granting <u>79</u> Motion for Erin L. Shencopp to Appear Pro Hac Vice as to Erwin Mayer (2). (Signed by Judge William H. Pauley, III on 3/9/2010) (ja) (Entered: 03/11/2010)   |
| 03/05/2010 |           | CASHIERS OFFICE REMARK as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse on 79 Motion to Appear Pro Hac Vice, 80 Motion to Appear Pro Hac Vice, 78 Motion to Appear Pro Hac Vice in the amount of \$75.00, paid on 03/01/2010, Receipt Number 895611. (jd) (Entered: 03/05/2010)   |
| 03/04/2010 | <u>81</u> | (S3) SUPERSEDING INDICTMENT FILED as to Paul M. Daugerdas (1) count(s) 1sss, 2sss-23sss, 25sss, 26sss-28sss, 31sss, Erwin Mayer (2) count(s) 1sss, 2sss-7sss, 9sss, 11sss, 13sss, 17sss, 24sss, 29sss-30sss, 31sss, Donna Guerin (3) count(s) 1sss, 8sss, 12sss, 14sss-16sss, 18sss-23sss, 24sss, 31sss, Denis Field (4) count(s) 1sss, 8sss, 10sss, 21sss-22sss, 24sss, 31sss, Raymond Craig Brubaker (6) count(s) 1sss, 2sss-7sss, 17sss, 24sss, 31sss, David Parse (7) count(s) 1sss, 21sss-23sss, 24sss, 31sss. (ja) (Entered: 03/10/2010)   |
| 03/03/2010 | <u>77</u> | ENDORSED LETTER as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse addressed to Judge Pauley from AUSAs Stanley J. Okula, Jr. / Nanette L. Davis, dated February 19, 2010 re: Pursuant to Your Honor's directive, what follows is the First Joint Status Report by the parties in the above-referenced case. ENDORSEMENT: This Court will hold a conference concerning the Monsanto issues on March 16, 2010 at 12:00 p.m. The Government is not required to respond to defendants Mayer and Field motions relating to the application of the statute of limitations of the Government's forfeiture claims until substantive motions have been made. So |

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|            |           | Ordered. (Signed by Judge William H. Pauley, III on 3/3/2010)(bw) (Entered: 03/04/2010)  |
| 03/01/2010 | <u>80</u> | MOTION for Daniel E. Reidy to Appear Pro Hac Vice. Document filed by Erwin Mayer. Attorney Sevan Ogulluk's Affidavit in Support attached. (ja) (ja). (Entered: 03/04/2010)   |
| 03/01/2010 | <u>79</u> | MOTION for Erin L. Shencopp to Appear Pro Hac Vice. Document filed by Erwin Mayer. Attorney Sevan Ogulluk's Affidavit in Support attached. (ja) (Entered: 03/04/2010)  |
| 03/01/2010 | <u>78</u> | MOTION for Thomas P. McNulty to Appear Pro Hac Vice. Document filed by Erwin Mayer. Attorney Sevan Ogulluk's Affidavit in Support attached. (ja) (Entered: 03/04/2010)   |
| 02/12/2010 | <u>76</u> | REPLY TO RESPONSE to Motion by Paul M. Daugerdas re <u>60</u> MOTION to Dismiss <i>Count I Of The Second Superseding Indictment Insofar As It Charges A Conspiracy To Violate 18 U.S.C. § 1343 And To Dismiss All Forfeiture Allegations..</i> (Attachments: # <u>1</u> Exhibit 1, # <u>2</u> Exhibit 2, # <u>3</u> Certificate Of Service)(Fischer, Brian) (Entered: 02/12/2010)  |
| 02/12/2010 | <u>75</u> | REPLY TO RESPONSE to Motion by Paul M. Daugerdas re <u>63</u> MOTION for Hearing / <i>Motion For A Monsanto Hearing..</i> (Attachments: # <u>1</u> Certificate Of Service)(Fischer, Brian) (Entered: 02/12/2010)   |
| 02/09/2010 | <u>74</u> | ENDORSED LETTER as to Erwin Mayer addressed to Judge Pauley from Attorney Thomas P. McNulty dated January 29, 2010 re: We are writing to request that Mr. Mayer be allowed to travel to Hawaii on two relatively short trips on or around February 23, 2010 and December 22, 2010. ENDORSEMENT: Application Granted. So Ordered. (Signed by Judge William H. Pauley, III on 2/5/2010)(bw) (Entered: 02/09/2010)  |
| 01/29/2010 | <u>73</u> | MEMORANDUM in Opposition by USA as to Paul M. Daugerdas re <u>63</u> MOTION for Hearing / <i>Motion For A Monsanto Hearing..</i> , <u>60</u> MOTION to Dismiss <i>Count I Of The Second Superseding Indictment Insofar As It Charges A Conspiracy To Violate 18 U.S.C. § 1343 And To Dismiss All Forfeiture Allegations..</i> (Okula, Stanley) (Entered: 01/29/2010)   |
| 01/29/2010 | <u>72</u> | DECLARATION of Stanley J. Okula, Jr. in Opposition by USA as to Paul M. Daugerdas re: <u>63</u> MOTION for Hearing / <i>Motion For A Monsanto Hearing..</i> , <u>60</u> MOTION to Dismiss <i>Count I Of The Second Superseding Indictment Insofar As It Charges A Conspiracy To Violate 18 U.S.C. § 1343 And To Dismiss All Forfeiture Allegations..</i> (Attachments: # <u>1</u> Exhibit Exhibit A, # <u>2</u> Exhibit Exhibit B-1, # <u>3</u> Exhibit Exhibit B-2, # <u>4</u> Exhibit Exhibit C-1, # <u>5</u> Exhibit Exhibit C-2, # <u>6</u> Exhibit Exhibit C-3, # <u>7</u> Exhibit Exhibit D, # <u>8</u> Exhibit Exhibit E)(Okula, Stanley) (Entered: 01/29/2010) |
| 01/28/2010 | <u>71</u> | DECLARATION of Sevan Ogulluk in Support as to Erwin Mayer re: <u>69</u> MOTION to Dismiss <i>Count 1 of Second Superseding Indictment and Forfeiture Allegations..</i> (Ogulluk, Sevan) (Entered: 01/28/2010)  |
| 01/28/2010 | <u>70</u> | MEMORANDUM in Support by Erwin Mayer re <u>69</u> MOTION to Dismiss <i>Count 1 of Second Superseding Indictment and Forfeiture Allegations..</i> (Attachments: # <u>1</u> Exhibit A, # <u>2</u> Exhibit B, # <u>3</u> Exhibit C, # <u>4</u> Exhibit D, # <u>5</u> Exhibit E)(Ogulluk, Sevan) (Entered: 01/28/2010)   |
| 01/28/2010 | <u>69</u> | MOTION to Dismiss <i>Count 1 of Second Superseding Indictment and Forfeiture Allegations.</i> Document filed by Erwin Mayer. (Ogulluk, Sevan) (Entered: 01/28/2010)  |
| 01/28/2010 | <u>68</u> | NOTICE OF ATTORNEY APPEARANCE: Sevan Ogulluk appearing for Erwin Mayer. (Ogulluk, Sevan) (Entered: 01/28/2010)   |
| 01/27/2010 | 67        | Letter by (S2-09-Cr-581-04) Denis Field addressed to Judge William H. Pauley III from Attorney Caroline Rule dated January 15, 2010 re: Your Honor set today as the deadline for motions pursuant to United States v. Monsanto, 924 F.2d 1186 (2d Cir. 1991). We write to inform the Court that we do not at this time have grounds for making such a motion. [*** Received by Judge Pauley's Chambers on  |

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|            |           | 1/19/10 ***] (bw) (Entered: 01/28/2010)   |
| 01/27/2010 | <u>66</u> | DECLARATION of Caroline Rule in Support as to Denis Field re: <u>64</u> MOTION to Dismiss <i>Count I and Forfeiture</i> .. (Rule, Caroline) (Entered: 01/27/2010)   |
| 01/27/2010 | <u>65</u> | MEMORANDUM in Support by Denis Field re <u>64</u> MOTION to Dismiss <i>Count I and Forfeiture</i> .. (Rule, Caroline) (Entered: 01/27/2010)   |
| 01/27/2010 | <u>64</u> | MOTION to Dismiss <i>Count I and Forfeiture</i> . Document filed by Denis Field. (Rule, Caroline) (Entered: 01/27/2010)   |
| 01/15/2010 | <u>63</u> | MOTION for Hearing / <i>Motion For A Monsanto Hearing</i> . Document filed by Paul M. Daugerdas. (Attachments: # <u>1</u> Exhibit 1, # <u>2</u> Exhibit 2)(Fischer, Brian) (Entered: 01/15/2010)  |
| 01/15/2010 | <u>62</u> | AFFIDAVIT of Chris C. Gair in Support as to Paul M. Daugerdas re <u>60</u> MOTION to Dismiss <i>Count I Of The Second Superseding Indictment Insofar As It Charges A Conspiracy To Violate 18 U.S.C. § 1343 And To Dismiss All Forfeiture Allegations</i> .. (Fischer, Brian) (Entered: 01/15/2010)   |
| 01/15/2010 | <u>61</u> | AFFIDAVIT of Charles B. Sklarsky in Support as to Paul M. Daugerdas re <u>60</u> MOTION to Dismiss <i>Count I Of The Second Superseding Indictment Insofar As It Charges A Conspiracy To Violate 18 U.S.C. § 1343 And To Dismiss All Forfeiture Allegations</i> .. (Fischer, Brian) (Entered: 01/15/2010)   |
| 01/15/2010 | <u>60</u> | MOTION to Dismiss <i>Count I Of The Second Superseding Indictment Insofar As It Charges A Conspiracy To Violate 18 U.S.C. § 1343 And To Dismiss All Forfeiture Allegations</i> . Document filed by Paul M. Daugerdas. (Attachments: # <u>1</u> Exhibit A, # <u>2</u> Exhibit B, # <u>3</u> Exhibit C, # <u>4</u> Exhibit D, # <u>5</u> Exhibit E, # <u>6</u> Exhibit F, # <u>7</u> Exhibit G, # <u>8</u> Exhibit H, # <u>9</u> Exhibit I, # <u>10</u> Exhibit J)(Fischer, Brian) (Entered: 01/15/2010)  |
| 01/13/2010 | <u>59</u> | PROTECTIVE ORDER as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Raymond Craig Brubaker, David Parse. IT IS HEREBY ORDERED, pursuant to Rule 16(d) of the Federal Rules of Criminal Procedure and pursuant to Title 26, United States Code, Section 6103(h)(4)(D), and in due consideration of the congressional policy favoring the confidentiality of returns and return information as set forth in Title 26: 1) All documents (and the information contained therein) disclosed by the Government in discovery ("disclosed documents") may be reviewed by defendants and their defense counsel and shall be used by the defendants, their defense counsel, and their defense counsel's agents only for purposes of the defense of, and pursuit of any appeals in, this criminal action. To the extent disclosed documents are shown or provided to additional persons consistent with the terms set forth below, those additional persons may use the documents and information shown or provided only in connection with this criminal action. The term "defense counsel" means the full time, part-time and contract employees of the law firms of each defendant's counsel of record in this case. 2) The following information contained within disclosed documents is "confidential information": a. individuals' social security numbers; b. individuals' street addresses; c. individuals' telephone numbers; d. return and return information, as those terms are defined in Title 26, United States Code, Section 6103(b); e. individuals' bank and securities trading account numbers; and f. tax identification numbers, addresses, phone numbers, and bank and securities account numbers for entities (such as partnerships and S corps). 3) Documents that do not contain confidential information, or from which confidential information has been redacted, may be shown to any person, or his or her counsel, provided that the persons to whom the documents are shown may not retain copies of such documents. 4) Except insofar as less restrictive disclosure is permitted under the terms of paragraph 6, below, copies of disclosed documents may be provided to any person, or their counsel, provided however that any confidential information must be redacted from such copies. 5) Except insofar as less restrictive disclosure is permitted under the terms of paragraph 6, below, copies of disclosed documents containing unredacted confidential information may be shown to any person, or his or her counsel, provided that the persons to whom the documents are shown may not retain copies of such documents or take notes regarding the confidential information contained therein. 6) To the extent consistent with paragraph 1, copies of disclosed documents containing confidential information may be provided |

without redaction to the following persons: a. independent expert witnesses, expert advisors or other professionals retained by the defendants or defense counsel in connection with this criminal action; b. any person with whom tax shelters were discussed (including any current, former, or potential client or customer of Jenkens & Gilchrist ("J"), Deutsche Bank, Bank One, or BDO Seidman LLP), or any person who, for purposes of a tax shelter, was a partner to or who otherwise participated in a tax shelter with such person, or counsel or other professional advisor to a person described in this paragraph 6(b), and then only to the extent that the disclosed documents pertain to such person, his or her partner[s], or any entity formed by such person[s] that was used in connection with a tax shelter; c. the individuals who produced the documents to the Government, and current agents or employees of any entity that produced the documents to the Government, as well as counsel to such persons; d. current and former agents and employees of JDeutsche Bank, Bank One, BDO Seidman LLP, other banks, accounting firms, brokerage firms, financial institutions, and law firms, as well as counsel to such individuals, if the documents provided relate to a current or former client, potential client or customer of such entity (regardless of the source of the documents), and if the current or former agent or employee remains under a regulatory, ethical, professional or contractual obligation to maintain the confidentiality of information relating to those clients, potential clients and customers; e. with respect to current and former agents or employees of any entity, other than those listed in paragraph 6(d), as well as counsel to such individuals, copies of disclosed documents containing confidential information may be provided, if those documents were produced to the Government by any such entity, or if the face of the documents indicate that the documents were at some point received by any such entity; and f. such other persons as hereafter may be authorized by the Court upon ex parte application by the defendants, provided, however, that confidential information must be redacted from such copies unless the Court specifically authorizes the disclosure of unredacted documents.

7) Notwithstanding any of the provisions stated above in paragraphs 3, 4, 5 and 6, any return, as that term is defined in Title 26, United States Code, Section 6103(b), for a particular client or customer shall be shown only to that client or customer (including any partners or shareholders thereof with respect to a tax shelter), counsel or financial advisors for that client or customer, any accountant who assisted in the preparation of the tax return, and any experts hired by the defendants or their counsel in connection with this criminal case.

8) The defendants or their defense counsel shall provide a copy of this Order to all persons to whom they show or provide copies of disclosed documents pursuant to paragraphs 4, 5 and 6. All such persons shall be subject to the terms of this Order, and shall sign the acknowledgment form annexed to this Order, thereby agreeing to be bound by its terms before disclosed documents are made available for their review. A copy of each acknowledgment shall be maintained by the defendants or their attorneys. Violations of the terms of this Order may be punishable by a sanction deemed appropriate by the Court.

9) All persons to whom documents (in paper or electronic form) are provided by defense counsel consistent with the terms of this Protective Order shall, at the conclusion of the trial in this matter, or sooner in defense counsel's discretion, return the documents to defense counsel. In lieu of returning documents to defense counsel, such person may provide defense counsel with a signed statement that the original set of disclosed documents, and all copies made from the original set, have been destroyed, which in turn, will be provided to the Government. With respect to documents subject to this Protective Order that are maintained in the files of defense counsel and defendants, at such time as the documents are no longer needed for this criminal action, at the end of the criminal proceedings, or upon Order of the Court, whichever occurs first, all documents (in paper or electronic form) will be returned to the Government to the extent practicable. To the extent neither return nor destruction by defense counsel and defendants is practicable, defense counsel and defendants will undertake to ensure that any confidential information within the remaining files is maintained as confidential indefinitely.

10) The provisions of this Order shall not be construed as preventing the disclosure of any information in any motion, hearing, or trial held in this action or to any Judge or Magistrate Judge of this Court for purposes of this action, provided, however, that confidential information as defined in paragraph 2, above, shall be redacted in all public filings in accordance with Rule 49.1(e) of the Federal Rules of Criminal Procedure.

11) The terms of this Protective Order shall not apply to documents or information obtained by a defendant from a source other

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|            |           | than the Government's discovery. To the extent the Government's discovery contains documents that are also publicly available (without fault of a defendant), nothing in this Order shall restrict the use of such publicly available documents. (Signed by Judge William H. Pauley, III on 1/13/2010)(jw) (Entered: 01/14/2010)  |
| 12/04/2009 |           | Minute Entry for proceedings held before Judge William H. Pauley, III: Curcio Hearing as to Donna Guerin, David Parse held on 12/4/2009. Defendant GUERIN present w/atty Mark Rotert, Esq. Defendant PARSE present w/atty Susan Brune, Esq. AUSA present Stanley J. Okula, Esq. and Nanette Davis, Esq. Special Agent Christine Mazzella of the IRS present. Court reporter present Tom Murray. This Court finds that these defendants knowingly and voluntarily waived their right to conflict-free representation. Bail continued. (jw) (Entered: 12/14/2009)   |
| 12/04/2009 |           | Minute Entry for proceedings held before Judge William H. Pauley, III: Arraignment as to Paul M. Daugerdas (1) Count 1ss,2ss-23ss,25ss,26ss-28ss and Erwin Mayer (2) Count 1ss,2ss-23ss,24ss,29ss-30ss and Donna Guerin (3) Count 1ss,2ss-23ss,24ss and Denis Field (4) Count 1ss,2ss-23ss,24ss and Raymond Craig Brubaker (6) Count 1ss,2ss-23ss,24ss and David Parse (7) Count 1ss,24ss held on 12/4/2009. Defendant DAUGERDAS present w/atty Steven Kessler, Esq. Defendant MAYER present w/atty Daniel Reidy, Esq. Defendant GUERIN present w/atty Mark Rotert, Esq. Defendant FIELD present w/atty Caroline Rule, Esq. Defendant BRUBAKER present w/atty Barry Berke, Esq. Defendant PARSE present w/atty Susan Brune, Esq. AUSA present Stanley J. Okula, Esq. and Nanette Davis, Esq. Special Agent Christine Mazzella of the IRS present. Court reporter present Tom Murray. All defendants arraigned on S2 09 Cr. 581. All defendants pled not guilty. Jury selection and trial is set for 2/28/11. If Monstanto issues are not resolved amongst the parties, any application concerning frozen assets shall be filed by 1/15/10. A stipulation and order of confidentiality shall be submitted by 12/18/09 or, in the alternative, motions on confidentiality issues shall be filed on 1/4/10, with responses submitted by 1/15/10, and replies by 1/22/10. The Government is directed to complete electronic production of discovery by 1/15/10. Pretrial motions shall be submitted on 5/24/10, the Government shall respond on 7/23/10, and any reply shall be submitted on 8/20/10. Oral argument on the motions and the next PTC will be held on 11/5/10 at 11:30 a.m. Joint status reports from the parties outlining the status of the case and any dispute that requires or may require judicial intervention shall be submitted on 2/19/10, 5/14/10, and 8/20/10. SPT excluded from 12/4/09 to 2/28/11 under 18 U.S.C. 3161 (h)(8)(A). Bail continued (jw) (Entered: 12/08/2009) |
| 12/03/2009 | <u>57</u> | MOTION for Hearing <i>Regarding Conflicts Waivers</i> . Document filed by USA as to Donna Guerin, David Parse. Return Date set for 12/4/2009 at 12:00 PM. (Attachments: # <u>1</u> Affirmation in Support, # <u>2</u> Proposed Curcio Questions (Parse), # <u>3</u> Proposed Curcio Questions (Guerin), # <u>4</u> Text of Proposed Order, # <u>5</u> Service Certificate)(Okula, Stanley) (Entered: 12/03/2009)  |
| 12/01/2009 |           | ***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - DEFICIENT DOCKET ENTRY ERROR. Note to Attorney Stanley Okula as to Donna Guerin, David Parse: to RE-FILE Document <u>55</u> MOTION for Hearing.. ERROR(S): Case selection error. Select the case which specifically names the defendant as to whom the filing pertains (Ex. 1:09-cr-00581-WHP-3 Donna Guerin; 1:09-cr-00581-WHP-7 David Parse). NOTE: Cases may be selected by clicking in the check box next to each defendants individual name and case. (jar) (Entered: 12/02/2009)  |
| 12/01/2009 | <u>55</u> | FILING ERROR - DEFICIENT DOCKET ENTRY - MOTION for Hearing <i>Regarding Conflict Waivers</i> . Document filed by USA as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse. Return Date set for 12/4/2009 at 12:00 PM. (Attachments: # <u>1</u> Affirmation, # <u>2</u> Proposed Questions (Guerin), # <u>3</u> Proposed Questions (Parse), # <u>4</u> Text of Proposed Order, # <u>5</u> Service Certificate)(Okula, Stanley) Modified on 12/2/2009 (jar). (Entered: 12/01/2009)   |
| 11/25/2009 | <u>54</u> | ENDORSED LETTER as to Paul M. Daugerdas, addressed to Judge Pauley, from Charles B. Sklarsky, atty for dft, dated 11/20/09, re: seeking an enlargement of time in which to make Application regarding ex parte restraints on certain of his assets - to extend date for filing to 12/18/09. --- Judge endorsed: Application   |



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|            |           | granted on consent of the government. SO ORDERED. (Signed by Judge William H. Pauley, III on 11/24/09)(ja) (Entered: 11/25/2009)  |
| 11/25/2009 | <u>53</u> | ENDORSED LETTER as to Erwin Mayer, addressed to Judge Pauley, from Thomas P. McNulty, atty for dft, dated 11/19/09, re: request an additional extension of time in which to make an application regarding the ex parte restraint assets... request that the date for filing an application regarding the ex parte restraint of assets extended to 12/18/09. — Judge endorsed: Application granted on consent of the government. SO ORDERED. (Signed by Judge William H. Pauley, III on 11/24/09)(ja) (Entered: 11/25/2009)  |
| 11/19/2009 | <u>56</u> | (S2) SUPERSEDING INDICTMENT FILED as to Paul M. Daugerdas (1) count(s) 1ss, 2ss–23ss, 25ss, 26ss–28ss, Erwin Mayer (2) count(s) 1ss, 2ss–23ss, 24ss, 29ss–30ss, Donna Guerin (3) count(s) 1ss, 2ss–23ss, 24ss, Denis Field (4) count(s) 1ss, 2ss–23ss, 24ss, Raymond Craig Brubaker (6) count(s) 1ss, 2ss–23ss, 24ss, David Parse (7) count(s) 1ss, 2ss–23ss, 24ss. (ja) (Entered: 12/01/2009)  |
| 11/13/2009 | <u>51</u> | ENDORSED LETTER as to Erwin Mayer, addressed to Judge Pauley, from Thomas P. McNulty, atty for dft, dated 11/6/09, re: request an additional extension of time in which to make an application regarding the ex parte restraint of assets.... be extended to 11/23/09. AUSA Stanley Okula and the gov't does not object to this extension. — Judge endorsed: Application granted. SO ORDERED. (Signed by Judge William H. Pauley, III on 11/12/09)(ja) (Entered: 11/16/2009)  |
| 11/11/2009 | <u>52</u> | ORDER: As to Diane Field (Non–Party). This Court has received the attached letter from Diana Parker, Esq., counsel for Diane Field, and now forwards it to counsel. The Government shall respond to this Court by November 16, 2009. SO ORDERED. (Signed by Judge William H. Pauley, III on 11/10/2009)(dnd) (Entered: 11/16/2009)  |
| 11/11/2009 |           | ***DELETED DOCUMENT. Deleted document number 51, ORDER, as to Denis Field. The document was incorrectly filed in this case. (bw) (Entered: 11/12/2009)  |
| 11/04/2009 | <u>50</u> | ENDORSED LETTER: As to Paul M. Daugerdas addressed to Judge William H. Pauley III from Charles Sklarsky dated 10/23/2009. re: Through this letter, the defendant Daugerdas seeks an enlargement of time in which to make Application regarding exparte restraints on certain of his assets. He respectfully requests that the filing date for such Application be extended to November 23 2009. ENDORSEMENT: SO ORDERED. (Signed by Judge William H. Pauley, III on 11/2/2009)(dnd) (Entered: 11/04/2009)   |
| 10/07/2009 | <u>48</u> | ENDORSED LETTER: As to Erwin Mayer addressed to Judge William H. Pauley III from Thomas P. McNulty dated 9/28/2009. We represent defendant Erwin Mayer in the above–captioned matter. We are writing respectfully to request an additional extension of time in which to make an application regarding the ex parte restraint of assets. We have been in discussions with the government regarding the ex parte restraint of assets, and would like additional time to continue discussions in hope of resolving, completely or partially, issues regarding the ex parte restraint of assets. Accordingly, we request that the date for filing an application regarding the ex parte restraint of assets be extended to November 9, 2009. We have communicated with Assistant United States Attorney Stanley Okula about this request, and the government does not object to this extension. ENDORSEMENT: Application Granted. SO ORDERED. (Signed by Judge William H. Pauley, III on 10/5/2009)(dnd) (Entered: 10/07/2009) |
| 10/07/2009 | <u>47</u> | ENDORSED LETTER as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse addressed to Judge Loretta A. Preska from Stanley J. Okula dated 10/1/2009 re: We write to provide the Court with an update regarding the discovery in the above referenced case and to request, with the consent of all defendants, that the status conference in the case be adjourned from October 8, 2009 until December 4, 2009 at noon and that time be excluded from speedy trial calculations from October 8, 2009 until December 4, 2009. ENDORSEMENT: Application Granted. No further adjournments will be granted. A trial date will be set at the December 4, 2009 conference. SO ORDERED. (Signed by Judge William H. Pauley, III on 10/6/2009)(dnd) (Entered: 10/07/2009)   |

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| 10/07/2009 | <u>46</u> | ENDORSED LETTER: As to Paul M. Daugerdas addressed to Judge William H. Pauley III from Charles Sklarsky dated 9/25/2009. We represent defendant Paul M. Daugerdas ("Daugerdas") in the above-captioned matter. Through this letter, Daugerdas seeks an enlargement of time in which to make Application regarding ex parte restraints on certain of his assets. The original filing date set by the Court for making such Application was July 21, 2009. Daugerdas made, and Your Honor granted, three prior requests to extend this date to August 11, September 1, and September 28, respectively. We have made substantial progress in negotiating an agreement with the United States Attorney's Office, but anticipate that final resolution will take several more weeks. Accordingly, Daugerdas respectfully requests that the filing date for such Application be extended to October 23, 2009. ENDORSEMENT: Application Granted. SO ORDERED. (Signed by Judge William H. Pauley, III on 10/5/2009)(dnd) (Entered: 10/07/2009) |
| 10/01/2009 | <u>45</u> | NOTICE OF ATTORNEY APPEARANCE: Paul Henry Schoeman appearing for Raymond Craig Brubaker. (Schoeman, Paul) (Entered: 10/01/2009)  |
| 09/29/2009 | <u>44</u> | ENDORSED LETTER: As to Erwin Mayer, addressed to Judge William H. Pauley III from Thomas P. McNulty dated 9/17/2009. re: Counsel for defendant Erwin Mayer in the above-captioned matter are writing respectfully to request an additional extension of time in which to make an application regarding the ex parte restraint of assets... ENDORSEMENT: Application Granted on consent of the government. SO ORDERED. (Signed by Judge William H. Pauley, III on 9/21/2009)(dnd) (Entered: 09/29/2009)   |
| 09/02/2009 | <u>43</u> | ENDORSED LETTER as to Paul M. Daugerdas addressed to Judge Pauley from Charles B. Sklarsky dated 8/28/09 re: Accordingly, Daugerdas respectfully requests that the filing date for such Application be extended to September 28, 2009....ENDORSEMENT...Application Granted. SO ORDERED. (Signed by Judge William H. Pauley, III on 8/31/09)(jw) (Entered: 09/02/2009)  |
| 08/25/2009 | <u>42</u> | ENDORSED LETTER as to Erwin Mayer, addressed to Judge Pauley, from Thomas P. McNulty, atty for dft, dated 8/14/09, re: request an extension of time to make an application regarding the ex parte restraint of assets – from 8/17/09 to 9/21/09. AUSA Stanley Okula does not object to this extension. -- Judge endorsed: Application granted on consent of the Government. SO ORDERED. (Signed by Judge William H. Pauley, III on 8/21/09)(ja) (Entered: 08/26/2009)  |
| 08/11/2009 | <u>41</u> | ENDORSED LETTER: As to Paul M. Daugerdas addressed to Judge William H. Pauley III from Charles B. Sklarsky dated 8/10/2009. We represent defendant Paul M. Daugerdas ("Daugerdas") in the above-captioned matter. Through this letter, Daugerdas seeks an additional enlargement of time in which to make Application regarding ex parte restraints on certain of his assets. The original filing date set by the Court for making such Application was July 21, 2009. Daugerdas made, and Your Honor granted, one prior request to extend this date to August 11, 2009. Accordingly, Daugerdas respectfully requests that the filing date for such Application be extended to September 1, 2009. ENDORSEMENT: Application Granted. SO ORDERED. (Signed by Judge William H. Pauley, III on 8/11/2009)(dnd) (Entered: 08/12/2009)   |
| 08/10/2009 | 40        | SEALED DOCUMENT placed in vault. (rt) (Entered: 08/10/2009)  |
| 08/06/2009 |           | Attorney update in case as to Donna Guerin. Attorney Mark Rotert for Donna Guerin added. (dnd) (Entered: 08/06/2009)   |
| 08/06/2009 | <u>39</u> | ORDER granting <u>30</u> Motion for Mark L. Rotert to Appear Pro Hac Vice as to Donna Guerin (3). (Signed by Judge William H. Pauley, III on 7/31/2009) (dnd) (Entered: 08/06/2009)  |
| 08/05/2009 | 38        | TRANSCRIPT of Proceedings as to Robert Greisman held on 7/9/2009 before Judge William H. Pauley, III. (dnd) (Entered: 08/05/2009)  |
| 08/04/2009 | 37        | APPLICATION OF ASSISTANT U.S. ATTORNEY STANLEY J. OKULA, JR., IN SUPPORT OF EX PARTE POST-INDICTMENT RESTRAINING ORDER PURSUANT TO 21 U.S.C. SEC. 853(e)(1)(A), by USA as to Paul M. Daugerdas, Erwin Mayer. (ja) (Entered: 08/05/2009)  |

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| 08/04/2009 | 36        | AFFIDAVIT of Special Agent Christine Mazzella in Support as to Paul M. Daugerdas, Erwin Mayer re: 35 Ex Parte Post Indictment Restraining Order Pursuant to 21 U.S.C. Sec. 853(e)(1)(A). (Document originally filed under seal 7/6/09.) (ja) (Entered: 08/05/2009)   |
| 08/04/2009 | 35        | EX PARTE POST-INDICTMENT RESTRAINING ORDER (on S1), PURSUANT TO 18 U.S.C. Sec. 853(e)(1)(A) as to Paul M. Daugerdas, Erwin Mayer. (Signed by Judge William H. Pauley, III on 7/9/09). The Clerk's Office Has Mailed Copies.(ja) (Entered: 08/05/2009)  |
| 08/04/2009 | <u>33</u> | UNSEALING ORDER as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse. ORDERED that the Government's application for a Post-Indictment Restraining Order, the affidavit of Special Agent Christine Mazzella submitted in support thereof, and the transcript of the ex parte proceeding before the Court leading to the signing of the Post-Indictment Restraining Order are hereby UNSEALED. SO ORDERED. (Signed by Judge William H. Pauley, III on 7/16/09)(jw) (Entered: 08/04/2009)  |
| 08/03/2009 | 34        | Letter by USA as to Paul M. Daugerdas addressed to Judge Pauley from Stanley J. Okula, Jr. dated 7/16/09 re: The Court issued a Post-Indictment Restraining Order in the above-referenced case that included a restraint on Account Number 4XDG held in the name of Eleanor Daugerdas at Goldman Sachs &Co. After receiving this inquiry, the Government conferred with counsel for the defendant, Paul M. Daugerdas, who expressed a preference for maintain the status quo and allowing the trading to continue. Accordingly, the Government has informed Goldman Sachs that it may maintain the status quo, but wished to inform the Court of these conversations in the event that the Court would like to provide any further instructions with respect to the management of the Account (jw) (Entered: 08/04/2009) |
| 07/24/2009 |           | CASHIERS OFFICE REMARK as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse on 30 Motion to Appear Pro Hac Vice in the amount of \$25.00, paid on 07/17/2009, Receipt Number 694565. (jd) (Entered: 07/24/2009)   |
| 07/21/2009 | <u>32</u> | ENDORSED LETTER as to Erwin Mayer addressed to Judge Pauley from Thomas P. McNulty dated 7/20/09 re: Reschedule Briefing as to Erwin Mayer( Brief due by 8/17/2009.)...ENDORSEMENT...Application Granted. SO ORDERED. (Signed by Judge William H. Pauley, III on 7/21/09)(jw) (Entered: 07/22/2009)  |
| 07/21/2009 | <u>31</u> | ENDORSED LETTER as to Paul M. Daugerdas addressed to Judge Pauley from Charles B. Sklarsky dated 7/17/09 re: Reschedule Briefing as to Paul M. Daugerdas( Brief due by 8/11/2009.)...ENDORSEMENT..Application Granted. SO ORDERED. (Signed by Judge William H. Pauley, III on 7/20/09)(jw) (Entered: 07/22/2009)   |
| 07/17/2009 | <u>30</u> | MOTION for Mark L. Rotert to Appear Pro Hac Vice. Document filed by Donna Guerin. Declaration of Susan E. Brune, Esq. in Support attached. (ja) (Entered: 07/21/2009)  |
| 07/15/2009 | 29        | SEALED DOCUMENT placed in vault. (rt) (Entered: 07/15/2009)  |
| 07/15/2009 | 28        | SEALED DOCUMENT placed in vault. (rt) (Entered: 07/15/2009)  |
| 07/09/2009 |           | ORAL ORDER as to (S1-09-Cr-581-05) Robert Greisman. Sentencing set for 10/23/2009 at 02:00 PM before Judge William H. Pauley III. (bw) (Entered: 07/10/2009)   |
| 07/09/2009 |           | Minute Entry for proceedings held before Judge William H. Pauley, III: Plea entered by (S1-09-Cr-581-) Robert Greisman (5) Guilty as to Count 1s,8s,21s. (bw) (Entered: 07/10/2009)  |
| 07/09/2009 |           | Change of Not Guilty Plea to Guilty Plea as to (S1-09-Cr-581-) Robert Greisman (5) Count 1s,8s,21s. (bw) (Entered: 07/10/2009)   |
| 07/09/2009 |           | Minute Entry for proceedings held before Judge William H. Pauley, III: Change of Plea Hearing as to (S1-09-Cr-581-05) Robert Greisman held on 7/9/2009. Change of plea held. Defendant Robert Greisman present w/atty Scott Resnik, Esq.   |

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|            |           | AUSA present Nanette L. Davis, Esq. and Stanley J. Okula, Esq. IRS Special Agent Christine Mazzella present. Court reporter present Patricia Nilsen. Defendant Greisman withdraws his previously entered plea of not guilty and pled guilty to counts 1, 8, and 21 (S1-08-Cr-851). Sentencing set for 10/23/09 at 2:00 p.m. Bail continued. (bw) (Entered: 07/10/2009)   |
| 07/09/2009 | <u>26</u> | ORDER granting <u>23</u> Motion for Charles B. Sklarsky to Appear Pro Hac Vice as to Paul M. Daugerdas (1). (Signed by Judge William H. Pauley, III on 7/9/09) (ja) (Entered: 07/09/2009)  |
| 07/01/2009 | <u>24</u> | BILL OF PARTICULARS by USA as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse. (Okula, Stanley) (Entered: 07/01/2009)   |
| 07/01/2009 |           | CASHIERS OFFICE REMARK as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse on <u>23</u> Motion to Appear Pro Hac Vice in the amount of \$25.00, paid on 06/26/2009, Receipt Number 692810. (jd) (Entered: 07/01/2009)  |
| 06/30/2009 | 25        | TRANSCRIPT of Proceedings as to Paul M. Daugerdas held on June 24, 2009 at 10:10 am before Judge William H. Pauley, III. (eef) (Entered: 07/02/2009)   |
| 06/26/2009 | <u>23</u> | MOTION for Admission Charles B. Sklarsky to Appear Pro Hac Vice. Document filed by Paul M. Daugerdas. (jw) (Entered: 07/01/2009)   |
| 06/26/2009 | 18        | SEALED DOCUMENT placed in vault. (jri) (Entered: 06/29/2009)   |
| 06/24/2009 | 22        | NOTICE OF ATTORNEY APPEARANCE: Mark Rotert appearing for Donna Guerin. (ja) (Entered: 06/30/2009)  |
| 06/24/2009 |           | ORAL ORDER as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse. Time excluded from 6/24/09 until 10/8/09. Brief (any relating to ex parte restraints) due by 7/21/2009. Discovery due by 7/31/2009. Pretrial Conference set for 10/8/2009 at 02:15 PM before Judge William H. Pauley III. (bw) (Entered: 06/30/2009)   |
| 06/24/2009 |           | Minute Entry for proceedings held before Judge William H. Pauley, III: Pretrial Conference as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse held on 6/24/2009. PTC held. Defendant DAUGERDAS present w/atty Charles Sklarsky, Esq. Defendant MAYER present w/atty Tom McNulty, Esq. Defendant GUERIN present w/atty Mark Rotert, Esq. Defendant FIELD present w/atty Caroline Rule, Esq. Defendant GREISMAN present w/atty Scott Resnik, Esq. Defendant BRUBAKER present w/atty Barry Berke, Esq. Defendant PARSE present w/atty Susan Brune, Esq. AUSA present Stanley J. Okula, Esq. and Nanette Davis, Esq. Special Agent Christine Mazzella of the IRS present. Court reporter present Michelle Bulkley. The Government is directed to produce any statement of any defendant to all defendants by 6/26/09, all discovery in electronic format by 7/31/09, and any remaining unscanned documents by 8/20/09. Any applications relating to ex parte restraints shall be filed by 7/21/09. Next PTC set for 10/8/09 at 2:15 pm. SPT excluded from 6/24/09 to 10/8/09 under 18 U.S.C. 3161 (h)(8)(A). Bail continued. (bw) (Entered: 06/30/2009) |
| 06/24/2009 | <u>20</u> | NOTICE OF ATTORNEY APPEARANCE: Theresa Marie Trzaskoma appearing for David Parse. (bw) (Entered: 06/29/2009)   |
| 06/24/2009 | <u>19</u> | NOTICE OF ATTORNEY APPEARANCE: Charles B. Sklarsky appearing for Paul M. Daugerdas. * Subject to pro hac vice admission to be made forthwith. (bw) (Entered: 06/29/2009)   |
| 06/24/2009 | <u>10</u> | NOTICE OF ATTORNEY APPEARANCE: Brian Jason Fischer appearing for (S1-09-Cr-581-01) Paul M. Daugerdas. (bw) (Entered: 06/25/2009)   |
| 06/24/2009 | 9         | NOTICE OF ATTORNEY APPEARANCE: Caroline Rule appearing for (S1-09-Cr-581-04) Denis Field, for purposes of First Appearance and Arraignment only on 6/23/09. (bw) (Entered: 06/25/2009)   |

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| 06/24/2009 | <u>8</u>  | NOTICE OF ATTORNEY APPEARANCE: Barry H. Berke appearing for (S1-09-Cr-581-06) Raymond Craig Brubaker. (bw) (Entered: 06/25/2009)  |
| 06/24/2009 | <u>7</u>  | NOTICE OF ATTORNEY APPEARANCE: Thomas Patrick McNulty appearing for (S1-09-Cr-581-02) Erwin Mayer. (bw) (Entered: 06/25/2009)   |
| 06/24/2009 | <u>4</u>  | NOTICE OF ATTORNEY APPEARANCE: Erin Anne Walter appearing for Raymond Craig Brubaker. (Walter, Erin) (Entered: 06/24/2009)  |
| 06/24/2009 | <u>3</u>  | NOTICE OF ATTORNEY APPEARANCE: Dani R. James appearing for Raymond Craig Brubaker. (James, Dani) (Entered: 06/24/2009)  |
| 06/24/2009 | <u>2</u>  | NOTICE OF ATTORNEY APPEARANCE: Barry H Berke appearing for Raymond Craig Brubaker. (Berke, Barry) (Entered: 06/24/2009)   |
| 06/23/2009 | 58        | PRB Bond Entered as to David Parse in amount of \$ 500,000.00. Co-signed by wife. Secured by property: Home in Hinsdale, Ill. Travel restricted to Continental US. Surrender travel documents (&No new applications). Deft to be released upon following conditions: When deft signs bond. Remaining conditions to be met by 7/7/09. (jw) (Entered: 12/03/2009)   |
| 06/23/2009 | 49        | Arrest Bond Entered as to Donna Guerin in amount of \$ 500,000. Agreed Bail Package: \$500,000 PRB, Husband, Cash/Property: Residence, Travel restricted to SDNY, EDNY, Continental US, Surrender travel documents (&No new applications), Deft to be released upon following conditions: When deft signs bond, Remaining conditions to be met by 7/7/09. (dnd) (Entered: 10/22/2009)   |
| 06/23/2009 | 27        | Appearance Bond Entered as to (S1-09-Cr-581-01) Paul M. Daugerdas in amount of \$1,000,000.00. \$1,000,000 PRB cosigned by wife &son &secured by home in Willmette, ILL; travel restricted to Continental U.S.; surrender travel documents &no new applications. Deft to be released when he signs bond with remaining conditions to be met by 7/7/09. (bw) (Entered: 07/13/2009)   |
| 06/23/2009 | <u>21</u> | NOTICE OF ATTORNEY APPEARANCE: Susan E. Brune appearing for David Parse. (ja) (Entered: 06/30/2009)   |
| 06/23/2009 | 17        | ADVICE OF PENALTIES AND SANCTIONS as to (S1-09-Cr-581-07) David Parse. Defendant Released. (bw) (Entered: 06/26/2009)   |
| 06/23/2009 |           | Minute Entry for proceedings held before Magistrate Judge Henry B. Pitman:Arraignment as to David Parse (7) Count 1,1s,21,21s held on 6/23/2009. Plea entered by David Parse (7) Count 1,1s,21,21s --- Not Guilty. (bw) (Entered: 06/26/2009)   |
| 06/23/2009 |           | Minute Entry on 'Disposition Sheet' for proceedings held before Magistrate Judge Henry B. Pitman: Initial Appearance as to (S1-09-Cr-581-07) David Parse held on 6/23/2009. Date of Arrest: 6/23/09, vol. surrender. AUSA Stan Okula; Defense Counsel Susan Brune (Retained); Proceeding - Rule 9. Bail Disposition: Agreed bail package, \$500,000 PRB, wife; Property (see Disposition Sheet); travel restricted to Continental; surrender travel documents (&no new applications). Defendant to be released upon following conditions: when deft signs bond. Remaining conditions to be met by 7-7-09. OTHER: Deft arraigned and pleads not guilty. (bw) (Entered: 06/26/2009) |
| 06/23/2009 |           | Arrest of David Parse. [*** Refer to Disposition Sheet for Rule 9 Proceeding held on 6/23/09. ***] (bw) (Entered: 06/26/2009)   |
| 06/23/2009 |           | Minute Entry for proceedings held before Magistrate Judge Henry B. Pitman:Arraignment as to Raymond Craig Brubaker (6) Count 1,1s,2,2s-7s,3-7,17,17s,21,21s held on 6/23/2009. Plea entered by Raymond Craig Brubaker (6) Count 1,1s,2,2s-7s,3-7,17,17s,21,21s --- Not Guilty. (bw) (Entered: 06/26/2009)   |
| 06/23/2009 |           | Minute Entry on 'Disposition Sheet' for proceedings held before Magistrate Judge Henry B. Pitman: Initial Appearance as to (S1-09-Cr-581-06) Raymond Craig Brubaker held on 6/23/2009. Arrest: 6/23/09, vol. surrender. AUSA Stan Okula; Defense Counsel Barry Berke (Retained); Proceeding - Rule 9. Bail Disposition: Agreed bail package, \$500,000 PRB, wife; Property (see Disposition Sheet); travel restricted to Continental US; surrender travel documents (&no new applications).   |

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|            |    | Defendant to be released upon following conditions: Deft signs bond. Remaining conditions to be met by 7-7-09. OTHER: Deft arraigned and pleads not guilty. (bw) (Entered: 06/26/2009)  |
| 06/23/2009 |    | Arrest of Raymond Craig Brubaker. [*** Refer to Disposition Sheet for Rule 9 Proceeding held on 6/23/09. ***] (bw) (Entered: 06/26/2009)  |
| 06/23/2009 |    | Minute Entry for proceedings held before Magistrate Judge Henry B. Pitman:Arraignment as to Denis Field (4) Count 1,1s,8,8s,10,10s,21,21s held on 6/23/2009. Plea entered by Denis Field (4) Count 1,1s,8,8s,10,10s,21,21s --- Not Guilty. (bw) (Entered: 06/26/2009)   |
| 06/23/2009 |    | Minute Entry on 'Disposition Sheet' for proceedings held before Magistrate Judge Henry B. Pitman: Initial Appearance as to (S1-09-Cr-581-04) Denis Field held on 6/23/2009. Date of Arrest: 6/23/09, vol. surrender. AUSA Stan Okula; Defense Counsel Caroline Rule (Retained); Proceeding - Rule 9. Bail Disposition: Agreed bail package, \$1,000,000 PRB, Melissa Gvon; Property (see Disposition Sheet); travel restricted to SDNY/EDNY/Continental; surrender travel documents (&no new applications). Defendant to be released upon following conditions: when deft signs bond. Remaining conditions to be met by 7-7-09. OTHER: Deft arraigned and pleads not guilty. (bw) (Entered: 06/26/2009)             |
| 06/23/2009 |    | Arrest of Denis Field. [*** Refer to Disposition Sheet for Rule 9 Proceeding held on 6/23/09. ***] (bw) (Entered: 06/26/2009)   |
| 06/23/2009 | 16 | ADVICE OF PENALTIES AND SANCTIONS as to (S1-09-Cr-581-02) Erwin Mayer. Defendant Released. (bw) (Entered: 06/26/2009)   |
| 06/23/2009 |    | Minute Entry for proceedings held before Magistrate Judge Henry B. Pitman:Arraignment as to Erwin Mayer (2) Count 1,1s,2,2s-7s,3-7,9,9s,11,11s,13,13s,17,17s,21,21s,26-27,26s-27s held on 6/23/2009. Plea entered by Erwin Mayer (2) Count 1,1s,2,2s-7s,3-7,9,9s,11,11s,13,13s,17,17s,21,21s,26-27,26s-27s --- Not Guilty. (bw) (Entered: 06/26/2009)   |
| 06/23/2009 |    | Minute Entry on 'Disposition Sheet' for proceedings held before Magistrate Judge Henry B. Pitman: Initial Appearance as to (S1-09-Cr-581-02) Erwin Mayer held on 6/23/2009. Date of Arrest: 6/23/09, vol. surrender. AUSA Stan Okula; Defense Counsel Thomas McNulty (Retained); Waives Pretrial Report; Proceeding - Rule 9. Bail Disposition: Agreed bail package, \$500,000 PRB, wife; Property (see Disposition Sheet); travel restricted to Continental US; surrender travel documents (&no new applications). Defendant to be released upon following conditions: when deft signs bond. Remaining conditions to be met by 7-7-09. OTHER: Deft arraigned and pleads not guilty. (bw) (Entered: 06/26/2009)     |
| 06/23/2009 |    | Arrest of Erwin Mayer. [*** Refer to Disposition Sheet for Rule 9 Proceeding held on 6/23/09. ***] (bw) (Entered: 06/26/2009)   |
| 06/23/2009 | 15 | ADVICE OF PENALTIES AND SANCTIONS as to (S1-09-Cr-581-01) Paul M. Daugerdas. Defendant Released. (bw) (Entered: 06/26/2009)   |
| 06/23/2009 |    | Minute Entry for proceedings held before Magistrate Judge Henry B. Pitman:Arraignment as to Paul M. Daugerdas (1) Count 1s,1,2s-20s,2,3-19,20,22,22s,23-25,23s-25s held on 6/23/2009. Plea entered by Paul M. Daugerdas (1) Count 1s,1,2s-20s,2,3-19,20,22,22s,23-25,23s-25s --- Not Guilty. (bw) (Entered: 06/26/2009)   |
| 06/23/2009 |    | Minute Entry on 'Disposition Sheet' for proceedings held before Magistrate Judge Henry B. Pitman: Initial Appearance as to (S1-09-Cr-581-01) Paul M. Daugerdas held on 6/23/2009. Date of Arrest: 6/23/09, vol. surrender. AUSA Stan Okula; Defense Counsel Charles Sklarsky (Retained), Brian Fischer; Proceeding - Rule 9. Bail Disposition: Agreed bail package, \$1,000,000 PRB, wife &son; Property (see Disposition Sheet); travel restricted to Continental US; surrender travel documents (&no new applications). Defendant to be released upon following conditions: when he signs bond. Remaining conditions to be met by 7-7-09. OTHER: Deft arraigned and pleads Not Guilty. (bw) (Entered: 06/26/2009) |

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| 06/23/2009 |           | Arrest of Paul M. Daugerdas. [*** Refer to Disposition Sheet for Rule 9 Proceeding held on 6/23/09. ***] (bw) (Entered: 06/26/2009)   |
| 06/23/2009 | <u>14</u> | (S1) SUPERSEDING INDICTMENT FILED as to Paul M. Daugerdas (1) count(s) 1s, 2s-20s, 22s, 23s-25s, Erwin Mayer (2) count(s) 1s, 2s-7s, 9s, 11s, 13s, 17s, 21s, 26s-27s, Donna Guerin (3) count(s) 1s, 8s, 12s, 14s-16s, 18s-20s, 21s, Denis Field (4) count(s) 1s, 8s, 10s, 21s, Robert Greisman (5) count(s) 1s, 8s, 10s, 21s, Raymond Craig Brubaker (6) count(s) 1s, 2s-7s, 17s, 21s, David Parse (7) count(s) 1s, 21s. (Attachments: # <u>1</u> S1 Indictment, Part 1 and Part 2) (bw) (Entered: 06/26/2009)                            |
| 06/23/2009 | 11        | ADVICE OF PENALTIES AND SANCTIONS as to Donna Guerin. (jw) (Entered: 06/25/2009)  |
| 06/23/2009 |           | Minute Entry for proceedings held before Magistrate Judge Henry B. Pitman: Plea entered by Donna Guerin (3) Count 1,8,12,14-16,18-19,20,21 Not Guilty. (jw) (Entered: 06/25/2009)   |
| 06/23/2009 |           | Minute Entry for proceedings held before Magistrate Judge Henry B. Pitman:Arraignment on Disposition Sheet as to Donna Guerin (3) Count 1,8,12,14-16,18-19,20,21 held on 6/23/2009. Deft present with atty Mark Rotert. AUSA Stan Okula present. Deft arraigned and pleads not guilty. Deft may possess one shot gun. (jw) (Entered: 06/25/2009)  |
| 06/23/2009 |           | Minute Entry for proceedings held before Magistrate Judge Henry B. Pitman:Initial Appearance on Disposition Sheet as to Donna Guerin held on 6/23/2009. Deft present with atty Mark Rotert. AUSA Stan Okula present. Agreed Bail Package: \$500,000 PRB, Husband, Cash/Property: Residence, Travel restricted to SDNY, EDNY, Continental US, Surrender travel documents (&No new applications), Deft to be released upon following conditions: When deft signs bond, Remaining conditions to be met by 7/7/09. (jw) (Entered: 06/25/2009) |
| 06/23/2009 | <u>6</u>  | ADVICE OF PENALTIES AND SANCTIONS as to Raymond Craig Brubaker. (jw) (Entered: 06/25/2009)  |
| 06/23/2009 | <u>5</u>  | ADVICE OF PENALTIES AND SANCTIONS as to Denis Field. (jw) (Entered: 06/25/2009)   |
| 06/22/2009 |           | Minute Entry for proceedings held before Magistrate Judge Henry B. Pitman: Plea entered by Robert Greisman (5) Count 1,8,10,21 Not Guilty. (jw) (Entered: 06/25/2009)   |
| 06/22/2009 | 13        | NOTICE OF ATTORNEY APPEARANCE: Scott Andrew Resnik appearing for Robert Greisman. (dnd) (Entered: 06/25/2009)   |
| 06/22/2009 |           | Minute Entry on Disposition Sheet for proceedings held before Magistrate Judge Henry B. Pitman: Arraignment as to Robert Greisman (5) Count 1,8,10,21 held on 6/22/2009. Defendant arraigned and pleads not guilty. (dnd) (Entered: 06/25/2009)   |
| 06/22/2009 |           | Minute Entry on Disposition Sheet for proceedings held before Magistrate Judge Henry B. Pitman: as to Robert Greisman. Initial Appearance held on 6/22/2009. Defendant present with counsel, attorney Scott A. Resnik. AUSA Nanette Davis present for the Government. Agreed bail package. \$100,000.00 PRB, Wife. Travel restricted to Continental U.S. Defendant to be released upon the following conditions: When defendant signs bond. Remaining conditions to be met by 7/1/2009. (dnd) (Entered: 06/25/2009)                       |
| 06/22/2009 | 12        | ADVICE OF PENALTIES AND SANCTIONS as to Robert Greisman. (dnd) (Entered: 06/25/2009)  |
| 06/09/2009 |           | Case Designated ECF as to Paul M. Daugerdas, Erwin Mayer, Donna Guerin, Denis Field, Robert Greisman, Raymond Craig Brubaker, David Parse. (jm) (Entered: 06/10/2009)   |
| 06/09/2009 | <u>1</u>  | INDICTMENT FILED as to Paul M. Daugerdas (1) count(s) 1, 2, 3-19, 20, 22, 23-25, Erwin Mayer (2) count(s) 1, 2, 3-7, 9, 11, 13, 17, 21, 26-27, Donna Guerin (3) count(s) 1, 8, 12, 14-16, 18-19, 20, 21, Denis Field (4) count(s) 1, 8, 10, 21, Robert Greisman (5) count(s) 1, 8, 10, 21, Raymond Craig Brubaker (6) count(s) 1, 2, 3-7, 17, 21, David Parse (7) count(s) 1, 21. (Attachments: # <u>1</u> Indictment part 2)   |

(jm) (Entered: 06/10/2009)