

CJA

FILED
IN CLERK'S OFFICE
U.S. DISTRICT COURT, E.D.N.Y.
★ JUN 1 2011 ★
LONG ISLAND OFFICE

**UNITED STATES DISTRICT COURT
EASTERN DISTRICT OF NEW YORK**

**SECURITIES AND EXCHANGE
COMMISSION,**

Plaintiff,

v.

09 Civ. 4547 (LDW) (ETB)

**CHARLES C. SLOWEY, JR; ENDEAVOR
PARTNERS, LLC; ENDEAVOR CAPITAL
MANAGEMENT GROUP, LLC; EDWARD D.
PUTTICK, SR.; ADVANCED PLANNING
SECURITIES, INC.; GREGORY L. OLDHAM;
GLENN R. HARRIS; and OLDHAM HARRIS
INC.,**

Defendants.

FINAL JUDGMENT AS TO DEFENDANT GLENN R. HARRIS

The Securities and Exchange Commission having filed a Complaint and Defendant Glenn R. Harris ("Defendant" or "Harris") having entered a general appearance; consented to the Court's jurisdiction over Defendant and the subject matter of this action; consented to entry of this Final Judgment without admitting or denying the allegations of the Complaint (except as to jurisdiction); waived findings of fact and conclusions of law; and waived any right to appeal from this Final Judgment:

I.

IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that Defendant and Defendant's agents, servants, employees, attorneys, and all persons in active concert or participation with them who receive actual notice of this Final Judgment by personal service or

otherwise are permanently restrained and enjoined from violating Section 5 of the Securities Act [15 U.S.C. § 77e] by, directly or indirectly, in the absence of any applicable exemption:

- (a) Unless a registration statement is in effect as to a security, making use of any means or instruments of transportation or communication in interstate commerce or of the mails to sell such security through the use or medium of any prospectus or otherwise;
- (b) Unless a registration statement is in effect as to a security, carrying or causing to be carried through the mails or in interstate commerce, by any means or instruments of transportation, any such security for the purpose of sale or for delivery after sale; or
- (c) Making use of any means or instruments of transportation or communication in interstate commerce or of the mails to offer to sell or offer to buy through the use or medium of any prospectus or otherwise any security, unless a registration statement has been filed with the Commission as to such security, or while the registration statement is the subject of a refusal order or stop order or (prior to the effective date of the registration statement) any public proceeding or examination under Section 8 of the Securities Act [15 U.S.C. § 77h].

II.

IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that Defendant is jointly and severally liable, with Defendant Gregory L. Oldham, for disgorgement of \$512,163, representing profits gained as a result of the conduct alleged in the Complaint, together with prejudgment interest thereon in the amount of \$161,826, for a total of \$673,989.

Based on Defendant's sworn representations in his voluntary bankruptcy petition and schedules (the "Bankruptcy Filing"), filed on January 26, 2011 in the United States Bankruptcy Court for the Northern District of California, and other documents and information submitted to the Commission, however, the Court is not ordering Defendant to pay a civil penalty and disgorgement and pre-judgment interest thereon is waived. The determination not to impose a civil penalty and to waive disgorgement and pre-judgment interest is contingent upon the accuracy and completeness of Defendant's Bankruptcy Filing. If at any time following the entry of this Final Judgment the Commission obtains information indicating that Defendant's Bankruptcy Filing was fraudulent, misleading, inaccurate, or incomplete in any material respect as of the time his filing was made, the Commission may, at its sole discretion and without prior notice to Defendant, petition the Court for an order requiring Defendant to pay the unpaid portion of the disgorgement, pre-judgment and post-judgment interest thereon, and the maximum civil penalty allowable under the law. In connection with any such petition, the only issue shall be whether Defendant's Bankruptcy Filing was fraudulent, misleading, inaccurate, or incomplete in any material respect as of the time the Bankruptcy Filing was made. In its petition, the Commission may move this Court to consider all available remedies, including, but not limited to, ordering Defendant to pay funds or assets, directing the forfeiture of any assets, or sanctions for contempt of this Final Judgment. The Commission may also request additional discovery. Defendant may not, by way of defense to such petition: (1) challenge the validity of the Consent or this Final Judgment; (2) contest the allegations in the Complaint filed by the Commission; (3) assert that payment of disgorgement, pre-judgment and post-judgment interest or a civil penalty should not be ordered; (4) contest the amount of disgorgement and pre-judgment and post-

