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9 **UNITED STATES DISTRICT COURT**
10 **CENTRAL DISTRICT OF CALIFORNIA**

11 SECURITIES AND EXCHANGE
12 COMMISSION,
13 Plaintiff,
14 vs.
15 TWEED FINANCIAL SERVICES,
16 INC. and ROBERT RUSSEL TWEED,
17 Defendants.

Case No. 2:17-cv-07251-FMO-E

**FINAL JUDGMENT AS TO ROBERT
RUSSEL TWEED**

1 The Securities and Exchange Commission having filed a Complaint and
2 Defendant Robert Russel Tweed having entered a general appearance; consented to
3 the Court's jurisdiction over Defendant and the subject matter of this action;
4 consented to entry of this Final Judgment without admitting or denying the
5 allegations of the Complaint (except as to jurisdiction and except as otherwise
6 provided herein in paragraph V); waived findings of fact and conclusions of law; and
7 waived any right to appeal from this Final Judgment:

8 I.

9 IT IS HEREBY ORDERED, ADJUDGED, AND DECREED that
10 Defendant is permanently restrained and enjoined from directly or indirectly, by the
11 use of the mails or any means or instrumentality of interstate commerce, while acting
12 as an investment adviser to a pooled investment vehicle:

13 A. making any untrue statement of a material fact or omitting to state a
14 material fact necessary to make the statements made, in the light of the
15 circumstances under which they were made, not misleading, to any
16 investor or prospective investor in a pooled investment vehicle;

17 B. engaging in any act, practice, or course of business that is fraudulent,
18 deceptive, or manipulative with respect to any investor or prospective
19 investor in a pooled investment vehicle;

20 in violation of Section 206(4) of the Advisers Act, 15 U.S.C. § 80b-6(4), and
21 Rule 206(4)-8 thereunder, 17 C.F.R. § 275.206(4)-8.

22 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that, as
23 provided in Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also
24 binds the following who receive actual notice of this Final Judgment by personal
25 service or otherwise: (a) Defendant's officers, agents, servants, employees, and
26 attorneys; and (b) other persons in active concert or participation with Defendant or
27 with anyone described in (a).

1 II.

2 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that Defendant
3 shall pay a civil penalty in the amount of \$100,000 to the Securities and Exchange
4 Commission pursuant to Section 209(e)(1) of the Advisers Act, 15 U.S.C. § 80b-
5 9(e)(1). Defendant shall make this payment pursuant to the terms of the payment
6 schedule set forth in paragraph III below after entry of this Final Judgment.

7 Defendant may transmit payment electronically to the Commission, which will
8 provide detailed ACH transfer/Fedwire instructions upon request. Payment may also
9 be made directly from a bank account via Pay.gov through the SEC website at
10 <http://www.sec.gov/about/offices/ofm.htm>. Defendant may also pay by certified
11 check, bank cashier's check, or United States postal money order payable to the
12 Securities and Exchange Commission, which shall be delivered or mailed to

13 Enterprise Services Center
14 Accounts Receivable Branch
15 6500 South MacArthur Boulevard
16 Oklahoma City, OK 73169

17 and shall be accompanied by a letter identifying the case title, civil action number,
18 and name of this Court; Robert Russel Tweed as a defendant in this action; and
19 specifying that payment is made pursuant to this Final Judgment.

20 Defendant shall simultaneously transmit photocopies of evidence of payment
21 and case identifying information to the Commission's counsel in this action. By
22 making this payment, Defendant relinquishes all legal and equitable right, title, and
23 interest in such funds and no part of the funds shall be returned to Defendant. The
24 Commission shall send the funds paid pursuant to this Final Judgment to the United
25 States Treasury. Defendant shall pay post-judgment interest on any delinquent
26 amounts pursuant to 28 USC § 1961.

27 III.

28 Tweed shall pay the total penalty due of \$100,000 in four installments to the
Commission according to the following schedule: (1) \$25,000 within 60 days of entry

