

**UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF FLORIDA**

**CASE NO. 15-23489-CIV-ALTONAGA/O'Sullivan**

**UNITED STATES SECURITIES  
AND EXCHANGE COMMISSION,**

Plaintiff,

v.

**CHRISTOPHER J. HALL,**

Defendant.

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**FINAL JUDGMENT**

**THIS CAUSE** came for trial before the Court and a jury, United States District Judge, Cecilia M. Altonaga, presiding, and the issues having been duly tried (*see* Minute Entry [ECF Nos. 104–108, 111, 115]), and the jury having duly rendered its Verdict [ECF No. 112] on February 22, 2017 finding Defendant, Christopher J. Hall liable for violating section 17(a) of the Securities Act of 1933, 15 U.S.C. section 77q(a); section 10(b) of the Securities Exchange Act of 1934, 15 U.S.C. section 78j(b); and Rule 10b-5 promulgated thereunder, 17 C.F.R. section 240.10b-5; it is

**ORDERED AND ADJUDGED** as follows:

1. Judgment is entered in favor of Plaintiff, the Securities and Exchange Commission, and against Defendant, Christopher J. Hall.

***Permanent Injunction Against Future Violations  
of the Exchange Act Section 10(b) and Rule 10b-5***

2. Hall is permanently restrained and enjoined from violating, directly or indirectly, Section 10(b) of the Securities Exchange Act of 1934, 15 U.S.C. § 78j(b), and Rule 10b-5 promulgated thereunder, 17 C.F.R. § 240.10b-5, by using any means or

instrumentality of interstate commerce, or of the mails, or of any facility of any national securities exchange, in connection with the purchase or sale of any security:

- a) to employ any device, scheme, or artifice to defraud;
- b) to make any untrue statement of a material fact, or to omit to state a material fact necessary in order to make the statements made, in the light of the circumstances under which they were made, not misleading, or
- c) to engage in any act, practice, or course of business which operates or would operate as a fraud or deceit upon any person

by, directly or indirectly, (i) creating a false appearance or otherwise deceiving any person about the price or trading market for any security, or (ii) making any false or misleading statement, or disseminating any false or misleading documents, materials, or information, concerning matters relating to a decision by an investor or prospective investor to buy or sell securities of any company.

3. As provided in Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also binds the following who receive actual notice of this Final Judgment by personal service or otherwise: (a) Defendant's officers, agents, servants, employees, and attorneys; and (b) other persons in active concert or participation with Defendant or with anyone described in (a).

***Permanent Injunction Against Future Violations  
of the Securities Act Section 17(a)***

4. Hall is permanently restrained and enjoined from violating Section 17(a) of the Securities Act of 1933, 15 U.S.C. § 77q(a), in the offer or sale of any security by the use of any means or instruments of transportation or communication in interstate commerce or by use of the mails, directly or indirectly:

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- a) to employ any device, scheme, or artifice to defraud;
- b) to obtain money or property by means of any untrue statement of a material fact or any omission of a material fact necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading; or
- c) to engage in any transaction, practice, or course of business which operates or would operate as a fraud or deceit upon the purchaser.

by, directly or indirectly, (i) creating a false appearance or otherwise deceiving any person about the price or trading market for any security, or (ii) making any false or misleading statement, or disseminating any false or misleading documents, materials, or information, concerning matters relating to a decision by an investor or prospective investor to buy or sell securities of any company.

5. As provided in Federal Rule of Civil Procedure 65(d)(2), the foregoing paragraph also binds the following who receive actual notice of this Final Judgment by personal service or otherwise: (a) Defendant's officers, agents, servants, employees, and attorneys; and (b) other persons in active concert or participation with Defendant or with anyone described in (a).

***Civil Money Penalty***

6. Christopher J. Hall shall pay the Securities and Exchange Commission a civil penalty in the amount of **\$225,000.00**, for which sum let execution issue. Hall shall make this payment within 30 days after entry of this Final Judgment.
7. Hall may transmit payment electronically to the SEC, which will provide detailed ACH transfer/Fedwire instructions upon request. Payment may also be made

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directly from a bank account via Pay.gov through the SEC's website at <http://www.sec.gov/about/offices/ofm.htm>. Hall may also pay by certified check, bank cashier's check, or United States postal money order payable to the Securities and Exchange Commission, which shall be delivered or mailed to

Enterprise Services Center  
Accounts Receivable Branch  
6500 South MacArthur Boulevard  
Oklahoma City, OK 73169

and shall be accompanied by a letter identifying the case title, civil action number, and name of this Court; Christopher J. Hall as Defendant in this action; and specifying that payment is made pursuant to this Final Judgment.

Hall shall simultaneously transmit photocopies of evidence of payment and case identifying information to the SEC's counsel in this action. By making this payment, Hall relinquishes all legal and equitable right, title, and interest in such funds and no part of the funds shall be returned to Hall. The SEC shall send the funds paid pursuant to this Final Judgment to the United States Treasury. Hall shall pay post-judgment interest on any delinquent amounts pursuant to 28 U.S.C. § 1961.

***Permanent Officer-and-Director Bar***

8. Hall is prohibited for 10 years, until April 13, 2027, from acting as an officer or director of any issuer that has a class of securities registered pursuant to Section 12 of the Exchange Act, 15 U.S.C. § 78, and that is required to file reports under Section 15(d) of the Exchange Act, 15 U.S.C. § 78o(d), pursuant to Section 21(d)(2) of the Exchange Act, 15 U.S.C. § 78u(d)(2), and Section 20(e) of the Securities Act, 15 U.S.C. § 77t(e).

***Post-Judgment Interest, Enforcement, and Good Faith Undertaking***

9. This judgment shall bear post-judgment interest at the rate prescribed by 28 U.S.C. § 1961, and shall be enforceable as prescribed by 28 U.S.C. §§ 2001–2007, 28 U.S.C. §§ 3001–3307, and Federal Rule of Civil Procedure 69(a).
10. Hall shall cooperate fully with and assist the SEC and shall take no action, directly or indirectly, to hinder, obstruct, or otherwise interfere with the SEC in its efforts to execute and recover any penalties ordered under this Final Judgment.

***Bankruptcy Nondischargeability***

11. Solely for purposes of exceptions to discharge set forth in Section 523 of the Bankruptcy Code, 11 U.S.C. § 523, the allegations in the complaint are true and admitted by Defendant, and further, any debt for prejudgment interest, civil penalty or other amounts due by Defendant under this Final Judgment or any other judgment, order, consent order, decree or settlement agreement entered in connection with this proceeding, is a debt for the violation by Hall of the federal securities laws or any regulation or order issued under such laws, as set forth in Section 523(a)(19) of the Bankruptcy Code, 11 U.S.C. § 523(a)(19).

***Jurisdiction***


12. This Court shall retain jurisdiction of this matter for the purposes of enforcing this Final Judgment.

***Rule 54(b) Certification***

13. There being no just reason for delay, pursuant to Rule 54(b) of the Federal Rules of Civil Procedure, the Clerk is ordered to enter this Final Judgment forthwith and without further notice.

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**DONE AND ORDERED** in Miami, Florida, this 13th day of April, 2017.

  
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**CECILIA M. ALTONAGA**  
**UNITED STATES DISTRICT JUDGE**

cc: counsel of record