United States District Court Southern District of Texas

#### **ENTERED**

August 26, 2016

David J. Bradley, Clerk

## IN THE UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF TEXAS HOUSTON DIVISION

SECURITIES AND EXCHANGE	§.	
COMMISSION,	§	
	§	
Plaintiff,	§	Civil Action No.
v.	§	4:14-CV-02345
	§	
ANDREW I. FARMER,	8	
CHARLES E. GROB, JR.,	<b>§</b>	
CAROLYN AUSTIN,	8	
BALDEMAR P. RIOS, and	<b>§</b>	
CHIMERA ENERGY CORP.	§	
	8	
Defendants	J	

# FINAL JUDGMENT AS TO CHARLES E. GROB, JR.

Upon the Unopposed Motion for Entry of Final Judgment, the Court enters the following Final Judgment as to Charles E. Grob, Jr.:

I.

IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that the Court imposes disgorgement against Charles E. Grob, Jr. in the amount of \$72,500.00, plus prejudgment interest thereon in the amount of \$6,606.89, and a civil penalty in the amount of \$15,000.00; that Charles E. Grob, Jr. shall satisfy this obligation by paying \$94,106.89 to the Securities and Exchange Commission within 14 days after entry of this Final Judgment by:

- (1) transmitting payment electronically to the Commission, which will provide detailed ACH transfer/Fedwire instructions upon request,
- (2) making payment directly from a bank account via Pay.gov through the SEC

website at http://www.sec.gov/about/offices/ofm.htm, or

(3) paying 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; Charles E. Grob, Jr. as a defendant in this action; and specifying that payment is made pursuant to this Final Judgment; that Charles E. Grob, Jr. shall simultaneously transmit photocopies of evidence of payment and case identifying information to the Commission's counsel in this action, at which time the Commission shall send the funds paid pursuant to this Final Judgment to the United States Treasury; and that Charles E. Grob, Jr. shall pay post judgment interest on any delinquent amounts pursuant to 28 U.S.C. § 1961.

II.

IT IS HEREBY ORDERED, ADJUDGED, AND DECREED that for three years from the date of entry of this Judgment, Charles E. Grob, Jr. is restrained and enjoined from:

- (1) violating Section 17(a) of the Securities Act of 1933 ("Securities Act") [15 U.S.C. § 77q(a)] and Section 10(b) of the Securities Exchange Act of 1934 and ("Exchange Act") [15 U.S.C. § 78j(b)] and Rules 10b-5(a) and (c) thereunder [17 C.F.R. § 240.10b-5-5(a) and (c)];
- (2) directly or indirectly, participating in the offer, issuance, purchase or sale of any penny stock. A penny stock is any equity security that has a price of less than five dollars, except as provided in Rule 3a51-1 under the Exchange Act [17]

C.F.R. § 240.3a51-1]

(3) 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. § 781] or that is required to file reports pursuant to Section 15(d) of the Exchange Act [15 U.S.C. § 78o(d)].

III.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that this Court shall retain jurisdiction of this and any related matter as it pertains to Charles E. Grob, Jr., including but not limited to any enforcement of the terms of this Final Judgment.

IV.

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.

SIGNED at Houston, Texas on this \_25\*\* day of \_August\_\_\_\_\_, 2016.

HON. KEITH P. ELLISON

UNITED STATES DISTRICT JUDGE

## Agreed as to form:

s/ Matthew J. Gulde Matthew J. Gulde U.S. Securities and Exchange Commission 801 Cherry Street, 19th Floor Fort Worth, Texas 76102 Tel. (817) 978-1410 Fax. (817) 978-4927

Counsel for Plaintiff Securities and Exchange Commission

## Sovany Law Firm

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