

**A B S T R A C T   O F   J U D G M E N T**  
**N O T I C E**

Names and Addresses of Parties against whom Judgments have been obtained	Names of Parties in whose favor judgments have been obtained	
Frank G. Mazzola 27 Dogwood Hill Road Upper Saddle River, NJ 07458	UNITED STATES SECURITIES AND EXCHANGE COMMISSION	
Amount of Judgment	Names of Creditors' Attorneys	Docketed
<u>\$4,155,000.00</u>  (Disgorgement and Prejudgment Interest)  <u>Plus Post-Judgment interest</u>	U.S. Securities and Exchange Commission Carol E. Schultze Division of Enforcement Office of Collections 100 F. Street, N.E. Washington, DC 20549-4010	Judgment Entry Date: 12/22/2017  Case No.3:16-cv-01386-EMC  Document No. 295

UNITED STATES OF AMERICA, CLERK'S OFFICE U.S. DISTRICT COURT FOR THE

\_\_\_\_\_ NORTHERN \_\_\_\_\_ DISTRICT OF \_\_\_\_\_ CALIFORNIA \_\_\_\_\_

I CERTIFY that the foregoing is a correct Abstract of the Judgment entered or registered by this Court.

Dated.                     MAY 22 2018                    , 20\_\_\_\_

By                     SHEILA CRASH                    , Clerk



**A B S T R A C T   O F   J U D G M E N T**  
**N O T I C E**

Pursuant to Title 28, United States Code, Section 3201, this judgment, upon the filing of this abstract in the manner in which a notice of tax lien would be filed under paragraphs (1) and (2) of 26 U.S.C. §6323(f), creates a lien on all real property of the defendant(s) and has priority over all other liens or encumbrances which are perfected later in time. The lien created by this section is effective, unless satisfied, for a period of 20 years and may be renewed by filing a notice of renewal. If such notice of renewal is filed before the expiration of the 20-year period to prevent the expiration of the lien and the court approves the renewal, the lien shall relate back to the date the judgment is filed.

Names and Addresses of Parties against whom Judgments have been obtained	Names of Parties in whose favor judgments have been obtained
Frank G. Mazzola 27 Dogwood Hill Road Upper Saddle River, NJ 07458	UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Amount of Judgment	Names of Creditors' Attorneys	Docketed
<u>\$200,000.00</u>  (PENALTY and Prejudgment Interest)  Plus Post-Judgment interest	U.S. Securities and Exchange Commission Division of Enforcement Office of Collections 100 F. Street, N.E. Washington, DC 20549-4010	Judgment Entry Date: 12/22/2017 Case No. 3:16-cv-01386-EMC Document No. 295

UNITED STATES OF AMERICA, CLERK'S OFFICE U.S. DISTRICT COURT FOR THE

\_\_\_\_\_ Northern \_\_\_\_\_ DISTRICT OF \_\_\_\_\_ CALIFORNIA \_\_\_\_\_

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Dated,           MAY 22 2018          , 20\_\_\_\_

By           SHELLA RASH          , Clerk

**A B S T R A C T   O F   J U D G M E N T**  
**N O T I C E**

Names and Addresses of Parties against whom Judgments have been obtained	Names of Parties in whose favor judgments have been obtained
Michelle J. Mazzola 27 Dogwood Hill Road Upper Saddle River, NJ 07458	UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Amount of Judgment	Names of Creditors' Attorneys	Docketed
<u>\$1,800,000.00</u>  (Disgorgement and Prejudgment Interest)  <u>Plus Post-Judgment interest</u>	U.S. Securities and Exchange Commission Carol E. Schultze Division of Enforcement Office of Collections 100 F. Street, N.E. Washington, DC 20549-4010	Judgment Entry Date: 12/22/2017  Case No.3:16-cv-01386-EMC  Document No. 295

UNITED STATES OF AMERICA, CLERK'S OFFICE U.S. DISTRICT COURT FOR THE  
                    NORTHERN                    DISTRICT OF                    CALIFORNIA                    

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