

UNITED STATES DISTRICT COURT
District of New Jersey

UNITED STATES OF AMERICA

v.

Case Number 2:13-00810-JLL-01

CONVERGEX GLOBAL MARKETS LIMITED

Defendant.

JUDGMENT IN A CRIMINAL CASE
(For Offenses Committed On or After November 1, 1987)

The defendant, CONVERGEX GLOBAL MARKETS LIMITED, was represented by KELLY A. KOSCUISZKA and CRAIG S. WARKOL.

The defendant pled guilty to count(s) 1-2 of the INFORMATION on 12/18/2013. Accordingly, the court has adjudicated that the defendant is guilty of the following offense(s):

<u>Title & Section</u>	<u>Nature of Offense</u>	<u>Date of Offense</u>	<u>Count Number(s)</u>
18 U.S.C. § 1349	Conspiracy to Committ Securities & Wire Fraud	06/2006-08/2011	ONE
18 U.S.C. § 1343	Wire Fraud	01/2011	TWO

As pronounced on NOVEMBER 19, 2014, the defendant is sentenced as provided in pages 2 through 3 of this Judgment. The sentence is imposed pursuant to the Sentencing Reform Act of 1984.

It is ordered that the defendant shall pay to the United States a special assessment of \$800.00 (\$400 per Count), for count(s) 1-2, which shall be due immediately. Said special assessment shall be made payable to the Clerk, U.S. District Court.

It is further ordered that the defendant shall notify the United States Attorney for this district within 30 days of any change of name, residence, or mailing address until all fines, restitution, costs, and special assessments imposed by this Judgment are fully paid. If ordered to pay restitution, the defendant shall notify the court and United States Attorney of any material change in the defendant's economic circumstances.

Signed this the 19 day of NOVEMBER, 2014.



JOSE L. LINARES
United States District Judge

Defendant: CONVERGEX GLOBAL MARKETS LIMITED
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FINE

The defendant shall pay a fine of \$8,200,000.

This fine is due immediately and shall be paid in full by within 10 business days.

The Court determines that the interest is waived.

If the fine is not paid, the court may sentence the defendant to any sentence which might have been originally imposed. See 18 U.S.C. § 3614.

Unless the court has expressly ordered otherwise, if this judgment imposes imprisonment, payment of criminal monetary penalties is due during imprisonment. All criminal monetary penalties, except those payments made through the Federal Bureau of Prisons' Inmate Financial Responsibility Program, are made to the clerk of the court.

Payments shall be applied in the following order: (1) assessment, (2) restitution principal, (3) restitution interest, (4) fine principal, (5) community restitution, (6) fine interest, (7) penalties, and (8) costs, including cost of prosecution and court costs.

Defendant: CONVERGEX GLOBAL MARKETS LIMITED
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RESTITUTION AND FORFEITURE

RESTITUTION

The defendant shall make restitution in the amount of \$12,789,972.95. The Court will waive the interest requirement in this case. Payments should be made payable to the **U.S. Treasury** and mailed to Clerk, U.S.D.C., 402 East State Street, Rm 2020, Trenton, New Jersey 08608, for distribution as directed by The Department of Justice, 1400 New York Avenue NW, Washington DC 20005.

The restitution is due immediately and shall be paid in full within 360 days of sentencing.

It is further **ORDERED** that the defendant shall make payment within ten business days of sentencing in the amount of \$5,000,000 to the United States Postal Consumer Fraud Fund, 475 L'Enfant Plaza SW, Washington, DC 20260.

Unless the court has expressly ordered otherwise, if this judgment imposes imprisonment, payment of criminal monetary penalties is due during imprisonment. All criminal monetary penalties, except those payments made through the Federal Bureau of Prisons' Inmate Financial Responsibility Program, are made to the clerk of the court.

Payments shall be applied in the following order: (1) assessment, (2) restitution principal, (3) restitution interest, (4) fine principal, (5) community restitution, (6) fine interest, (7) penalties, and (8) costs, including cost of prosecution and court costs.