AO245b (USDC-CT Rev. 9/07)

UNITED STATES DISTRICT COURT

Page 1 _____ District of Connecticut _____

UNITED STATES OF AMERICA	**JUDGMENT IN A CRIMINAL CASE**
v.	CASE NO. *3:13CR73 (MPS)*
	USM NO:
RBS SECURITIES JAPAN LIMITED	
	PATRICK FRIEL STOKES
	GARY A. WINTERS
	Assistant United States Attorney
	BENJAMIN A. BERRINGER
	DAVID RASKIN
	Defendant's Attorney

THE DEFENDANT: Pled guilty to Count **1** of the Information.

Accordingly the defendant is adjudicated guilty of the following offense:

Title & Section	Nature of Offense	Offense Concluded	Count
18 U.S.C. Section 1343	Wire Fraud	2010	1

The following sentence is imposed pursuant to the Sentencing Reform Act of 1984. The Court imposed a sentence outside the Guidelines system to implement the parties' plea agreement under Fed. R. Crim. P. 11(c)(1)(C). The Court finds that such a sentence is sufficient but not greater than necessary to comply with the purposes of sentencing because the fine imposed is only part of the overall amount the Defendant's parent will pay for the conduct underlying the offense of conviction and related conduct.

CRIMINAL MONETARY PENALTIES

The defendant must pay the total criminal monetary penalties under the schedule of payments as follows.

Special Assessment:	$400.00
Fine:	$50,000,000.00

PROBATION IS NOT IMPOSED.

THE MANDATORY and STANDARD CONDITIONS ARE NOT IMPOSED.

It is further ordered that the defendant will notify the United States Attorney for this district within 30 days of any change of name, residence or mailing address until all fines and special assessments imposed by this judgment, are paid.

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January 6, 2014
Date of Imposition of Sentence

___/s/_____
Michael P. Shea
United States District Judge
Date: January 13, 2014

Judgment received by U.S. Marshal at _____ on _____.

Print name   _____

Signature   _____
               Deputy Marshal