

UNITED STATES DISTRICT COURT  
DISTRICT OF OREGON

SECURITIES AND EXCHANGE  
COMMISSION

\_\_\_\_\_  
**Plaintiff(s),**

v.

AEQUITAS MANAGEMENT, LLC, et al

\_\_\_\_\_  
**Defendant(s).**

**Civil Case No.** 3:15-cv-00438-PK

APPLICATION FOR SPECIAL  
ADMISSION – *PRO HAC VICE*

Attorney JOSEPH C. PEIFFER requests special admission *pro hac vice* in  
the above-captioned case.

**Certification of Attorney Seeking *Pro Hac Vice* Admission:** I have read and understand the  
requirements of LR 83-3, and certify that the following information is correct:

**(1) PERSONAL DATA:**

Name: Peiffer Joseph C.  
(Last Name) (First Name) (MI) (Suffix)  
Firm or Business Affiliation: PEIFFER ROSCA WOLF, ET AL  
Mailing Address: 201 St. Charles Avenue, Suite 4610  
City: New Orleans State: LA Zip: 70006  
Phone Number: (504) 523-2434 Fax Number: (504) 523-2464  
Business E-mail Address: jpeiffer@prwlegal.com

**(2) BAR ADMISSIONS INFORMATION:**

- (a) State bar admission(s), date(s) of admission, and bar ID number(s):  
Louisiana Supreme Court, October 1999; Bar Roll No. 26459
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- (b) Other federal court admission(s), date(s) of admission, and bar ID number(s):  
USDC for the Eastern District of LA, 1999; USDC for the Western and  
Middle Districts of LA, 2003; U.S. Ct of Appeals, Fifth Circuit, 2003;  
U.S. Supreme Court - 2005; U.S. Ct of Appeals Second Circuit 2009
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**(3) CERTIFICATION OF DISCIPLINARY ACTIONS:**

- (a) ☒ I am not now, nor have I ever been subject to any disciplinary action by any state or federal bar association; or
- (b) ☐ I am now or have been subject to disciplinary action from a state or federal bar association. (See attached letter of explanation.)

**(4) CERTIFICATION OF PROFESSIONAL LIABILITY INSURANCE:**

Per LR 83-3(a)(3), I have professional liability insurance, or financial responsibility equivalent to liability insurance, that meets the insurance requirements of the Oregon State Bar for attorneys practicing in this District, and that will apply and remain in force for the duration of the case, including any appeal proceedings.

**(5) REPRESENTATION STATEMENT:**

I am representing the following party(s) in this case:

Rahel Abraham, Virginia Adams, Richard Ader, Paul and Ernestine Allen,  
Peter Anderson and Susan Roeseler, Karl Balzer and Anne Hadley,  
Emma and James Barber, Steven Beaird, Gregory and Barbara Bergere,  
Muraldharan Bhoopathy and Amudha Sundaramurthy, et al  
Muraldharan Bhoopathy and Amudha Sundaramurthy, et al

**(6) CM/ECF REGISTRATION:**

Concurrent with approval of this *pro hac vice* application, I acknowledge that I will become a registered user of the Court's Case Management/Electronic Case File system. (See the Court's website at [ord.uscourts.gov](http://ord.uscourts.gov)), and I consent to electronic service pursuant to Fed. R. Civ. P 5(b)(2)(E) and the Local Rules of the District of Oregon.

**DATED** this 9th day of March, 2017



(Signature of Pro Hac Counsel)

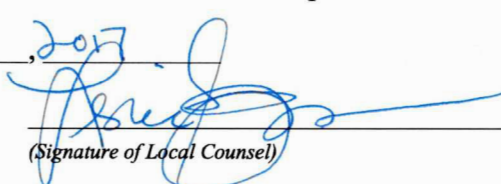
JOSEPH C. PEIFFER

(Typed Name)

**CERTIFICATION OF ASSOCIATED LOCAL COUNSEL:**

I certify that I am a member in good standing of the bar of this Court, that I have read and understand the requirements of LR 83-3, and that I will serve as designated local counsel in this particular case.

**DATED** this 14th day of April, 2017



(Signature of Local Counsel)

Name: Johnson Leslie S.  
(Last Name) (First Name) (MI) (Suffix)

Oregon State Bar Number: \_\_\_\_\_

Firm or Business Affiliation: Kent & Johnson, LLP

Mailing Address: 205 SE Spokane Street, #300

City: Portland State: OR Zip: 97202

Phone Number: (503) 220-0717 Business E-mail Address: johnson@kentlaw.com

**COURT ACTION**

☐ Application approved subject to payment of fees.

☐ Application denied.

**DATED** this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_

\_\_\_\_\_  
Judge