

UNITED STATES DISTRICT COURT
DISTRICT OF OREGON

SECURITIES AND EXCHANGE COMMISSION, et al

Case No.: 3:16-cv-00438-JR

Plaintiff(s),

v.

APPLICATION FOR SPECIAL
ADMISSION – *PRO HAC VICE*

AEQUITAS MANAGEMENT, LLC, et al.,

Defendant(s).

Application for *Pro Hac Vice* Admission and CM/ECF Registration

Attorney Greg D. Pendleton requests special admission *pro hac vice* to the Bar of the United States District Court for the District of Oregon in the above-captioned case for the purposes of representing the following party(s):

Intervenor Brian Rice

In support of this application, I certify that: 1) I am an active member in good standing with the Washington State Bar; and 2) that I have read and am familiar with the Federal Rules of Evidence, the Federal Rules of Civil and Criminal Procedure, the Local Rules of this Court, and this Court's Statement of Professionalism.

I understand that my admission to the Bar of the United States District Court for the District of Oregon is solely for the purpose of litigating in the above matter and will be terminated upon the conclusion of the matter.

(1) PERSONAL DATA:Name: Pendleton, Greg D.

(Last Name)

(First Name)

(MI)

(Suffix)

Agency/firm affiliation: Gordon Tilden Thomas & Cordell LLPMailing address: 600 University Street, Suite 2915City: SeattleState: WAZip: 98101Phone number: (206) 467-6477Fax number: (206) 467-6292Business e-mail address: gpendleton@gordontilden.com

(2) BAR ADMISSION INFORMATION:

(a) State bar admission(s), date(s) of admission, and bar number(s):

Washington State Bar #38361 (admitted 11/16/2006)

Massachusetts State Bar #675398 (admitted 12/04/2009)

(b) Other federal court admission(s) and date(s) of admission:

U.S.D.C., Western District of Washington (admitted 09/02/2008)

U.S.D.C., District of Massachusetts (admitted March 2010)

(3) CERTIFICATION OF DISCIPLINARY ACTIONS:

☒ I am not now, nor have I ever been subject to any disciplinary action by any state or federal bar association.

☐ I am now or have been subject to disciplinary action by a state or federal bar association. (See attached letter of explanation.)

(4) CERTIFICATION OF PROFESSIONAL LIABILITY INSURANCE:

Pursuant to LR 83-3, 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) CM/ECF REGISTRATION:

I acknowledge that I will become a registered user of the Court's case management and electronic case filing system (CM/ECF) upon approval of this application, and I will receive electronic service pursuant to Fed. R. Civ. P. 5(b)(2)(E) and the Local Rules of the District of Oregon.

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

DATED: 08/07/2019.

s/ Greg D. Pendleton

(Signature)

REQUIREMENT TO ASSOCIATE WITH LOCAL COUNSEL:

LR 83-3(a)(1) requires applicants for *pro hac vice* admission to associate with local counsel, unless requesting a waiver of the requirement under LR 45-1.

To request a waiver of the requirement to associate with local counsel under LR 45-1, check the following box:

- ☐ I seek admission for the limited purpose of filing a motion related to a subpoena that this Court did not issue. Pursuant to LR 45-1(b), I request a waiver of the LR 83-3(a)(1) requirement to associate with local counsel and therefore do not include a certification from local counsel with this application.

To associate with local counsel, complete the following section and obtain the signature of local counsel.

Name: Clifford Dwain M
(Last Name) *(First Name)* *(MI)* *(Suffix)*

OSB number: 025074

Agency/firm affiliation: Ball Janik LLP

Mailing address: 101 SW Main St., Suite 1100

City: Portland State: OR Zip: 97204

Phone number: (503) 228-2525 Fax number: (503) 295-1058

Business e-mail address: dclifford@balljanik.com

CERTIFICATION OF ASSOCIATE 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 case number [3:16-cv-00438-JR](#) .

DATED: 08/07/2019

s/Dwain M. Clifford (*Signature of Local Counsel*)

COURT ACTION

Application for *pro hac vice* admission by Greg D. Pendleton in case number:
3:16-cv-00438-JR is hereby:

- ☐ Approved subject to payment of fees.
- ☐ Denied.

DATED: _____.

Judge