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8 **UNITED STATES DISTRICT COURT**
9 **CENTRAL DISTRICT OF CALIFORNIA**

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11 SECURITIES AND EXCHANGE
12 COMMISSION,

13 Plaintiff,

14 vs.

15 RICHARD VU NGUYEN, A/K/A
16 NGUYEN THANH VU, and NTV
FINANCIAL GROUP, INC.,

17 Defendants,

18 and

19 MAI DO,

20 Relief Defendant.
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Case No. 8:19-cv-01174-SVW-KES

**FINAL JUDGMENT AS TO RELIEF
DEFENDANT MAI DO**

FINAL JUDGMENT AS TO RELIEF DEFENDANT MAI DO

The Securities and Exchange Commission having filed a Complaint and Relief Defendant Mai Do (“Relief Defendant”) having entered a general appearance; consented to the Court’s jurisdiction over Relief Defendant and the subject matter of this action; consented to entry of this Final Judgment without admitting or denying the allegations of the Complaint (except as to jurisdiction and except as otherwise provided herein in paragraph II); waived findings of fact and conclusions of law; and waived any right to appeal from this Final Judgment:

I.

IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED that Relief Defendant is liable for disgorgement of \$267,889.64, representing net profits gained as a result of the conduct alleged in the Complaint, together with prejudgment interest thereon in the amount of \$50,899.12, all of which defendant Richard Vu Nguyen shall be jointly and severally liable for with Relief Defendant. Relief Defendant shall satisfy these obligations by paying \$318,788.76 to the Securities and Exchange Commission within 30 days after entry of this Final Judgment.

Relief Defendant may transmit payment electronically to the Commission, which will provide detailed ACH transfer/Fedwire instructions upon request. Payment may also be made directly from a bank account via Pay.gov through the SEC website at <http://www.sec.gov/about/offices/ofm.htm>. Relief Defendant may also pay by certified check, bank cashier’s check, or United States postal money order payable to the Securities and Exchange Commission, which shall be delivered or mailed to

Enterprise Services Center
Accounts Receivable Branch
6500 South MacArthur Boulevard
Oklahoma City, OK 73169

and shall be accompanied by a letter identifying the case title, civil action number,

1 and name of this Court; Mai Do as a relief defendant in this action; and specifying
2 that payment is made pursuant to this Final Judgment.

3 Relief Defendant shall simultaneously transmit photocopies of evidence of
4 payment and case identifying information to the Commission's counsel in this
5 action. By making this payment, Relief Defendant relinquishes all legal and
6 equitable right, title, and interest in such funds and no part of the funds shall be
7 returned to Defendant.

8 The Commission may enforce the Court's judgment for disgorgement and
9 prejudgment interest by using all collection procedures authorized by law,
10 including, but not limited to, moving for civil contempt at any time after 30 days
11 following entry of this Final Judgment.

12 The Commission may enforce the Court's judgment for penalties by the use
13 of all collection procedures authorized by law, including the Federal Debt
14 Collection Procedures Act, 28 U.S.C. § 3001 *et seq.*, and moving for civil
15 contempt for the violation of any Court orders issued in this action. Relief
16 Defendant shall pay post judgment interest on any amounts due after 30 days of the
17 entry of this Final Judgment pursuant to 28 U.S.C. § 1961. The Commission shall
18 hold the funds, together with any interest and income earned thereon (collectively,
19 the "Fund"), pending further order of the Court.

20 The Commission may propose a plan to distribute the Fund subject to the
21 Court's approval. Such a plan may provide that the Fund shall be distributed
22 pursuant to the Fair Fund provisions of Section 308(a) of the Sarbanes-Oxley Act
23 of 2002. The Court shall retain jurisdiction over the administration of any
24 distribution of the Fund and the Fund may only be disbursed pursuant to an Order
25 of the Court.

26 II.

27 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that, solely
28 for purposes of exceptions to discharge set forth in Section 523 of the Bankruptcy

1 Code, 11 U.S.C. § 523, the allegations in the complaint are true and admitted by
2 Relief Defendant, and further, any debt for disgorgement, prejudgment interest,
3 civil penalty or other amounts due by Relief Defendant under this Final Judgment
4 or any other judgment, order, consent order, decree or settlement agreement
5 entered in connection with this proceeding, is a debt for the violation by Relief
6 Defendant of the federal securities laws or any regulation or order issued under
7 such laws, as set forth in Section 523(a)(19) of the Bankruptcy Code, 11 U.S.C. §
8 523(a)(19).

9 **III.**

10 IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that this
11 Court shall retain jurisdiction of this matter for the purposes of enforcing the terms
12 of this Final Judgment.

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14 Dated: March 1, 2024



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16 HONORABLE STEPHEN V. WILSON
17 UNITED STATES DISTRICT JUDGE
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