



**LegalMetric District Report
New York Southern District Court
in Non-SEC Securities Cases**

January 2013-March 2016

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Overview

This report covers the securities cases (excluding SEC cases) of the active judges in the New York Southern District Court as of March 2016 (the date of the most recent LegalMetric docket download for this court). Cases of inactive judges are not included.

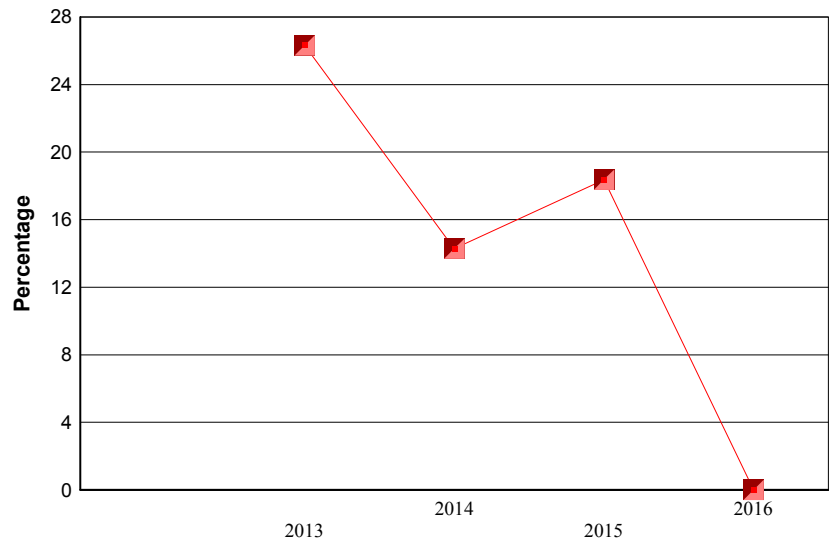
The number of cases, judgments, contested judgments, and trials for this court are shown below.

	Number
Total Cases	443
Open Cases	68
Closed Cases	375
Judgments	125
Contested Judgmnts	107
Trials	2
Bench	1
Jury	1

The overall win rate, contested win rate, and trial win rate for the plaintiff are shown below. Note that contested win rate does not include consent and default judgments.

	Pift. Win Rate
Overall	16.8
Contested	2.8
Trial	0.0
Bench	0.0
Jury	0.0

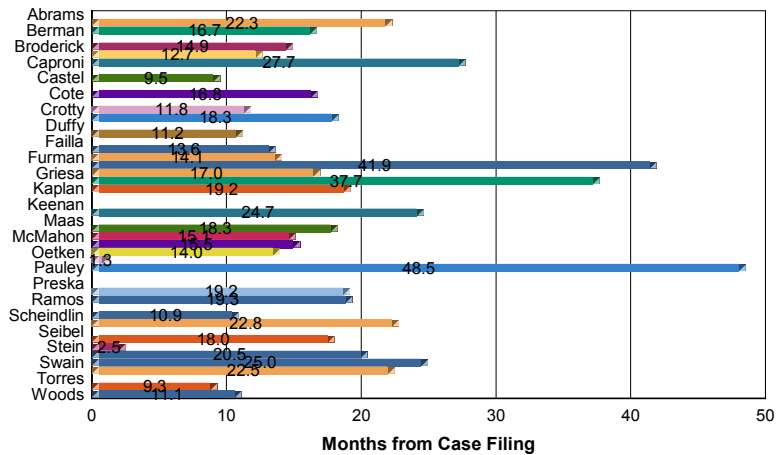
Plaintiff Win Rate by Year



The average times to termination for all cases, for all cases terminated by judgment, for all contested judgments, and for all cases terminated by trials are shown below.

	Months
All Cases	15.1
Judgments	17.8
Contested	16.8
Trial	35.2
Bench	30.8
Jury	39.5

Average Time to Termination by Judgment



Larger Version in Body of Report

The average and median award amounts for this district are:

Average: \$43,361,219
Median: \$6,000,000

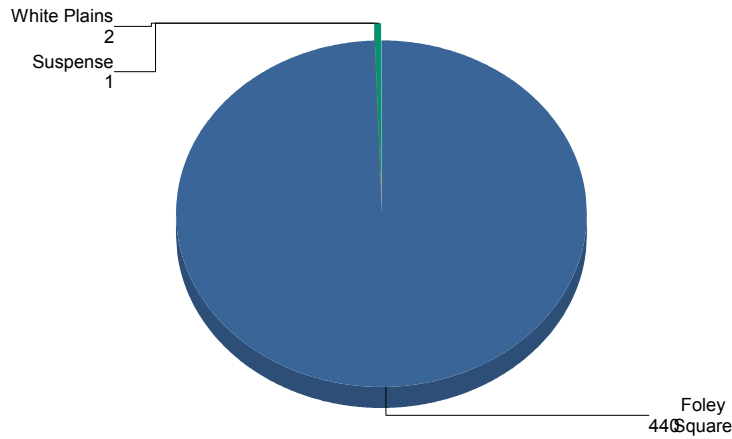
Appeals:

	Number of Appeals	Complete Affirmance Rate
Total	59	80.0

Breakdown by Division

The breakdown of non-SEC securities cases by division is illustrated in the following chart:

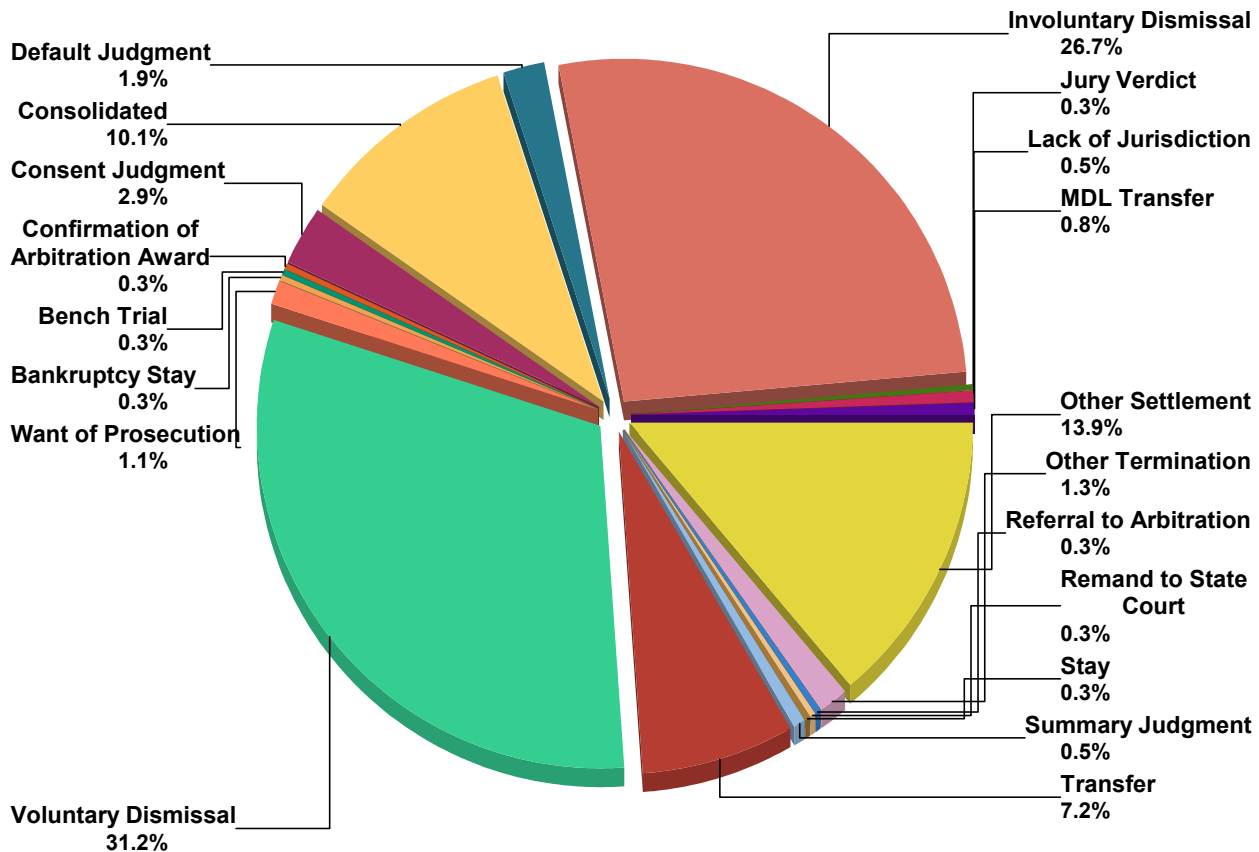
Total Cases, by Division



Breakdown by Case Outcome

The breakdown of non-SEC securities cases by case outcome is illustrated in the following chart:

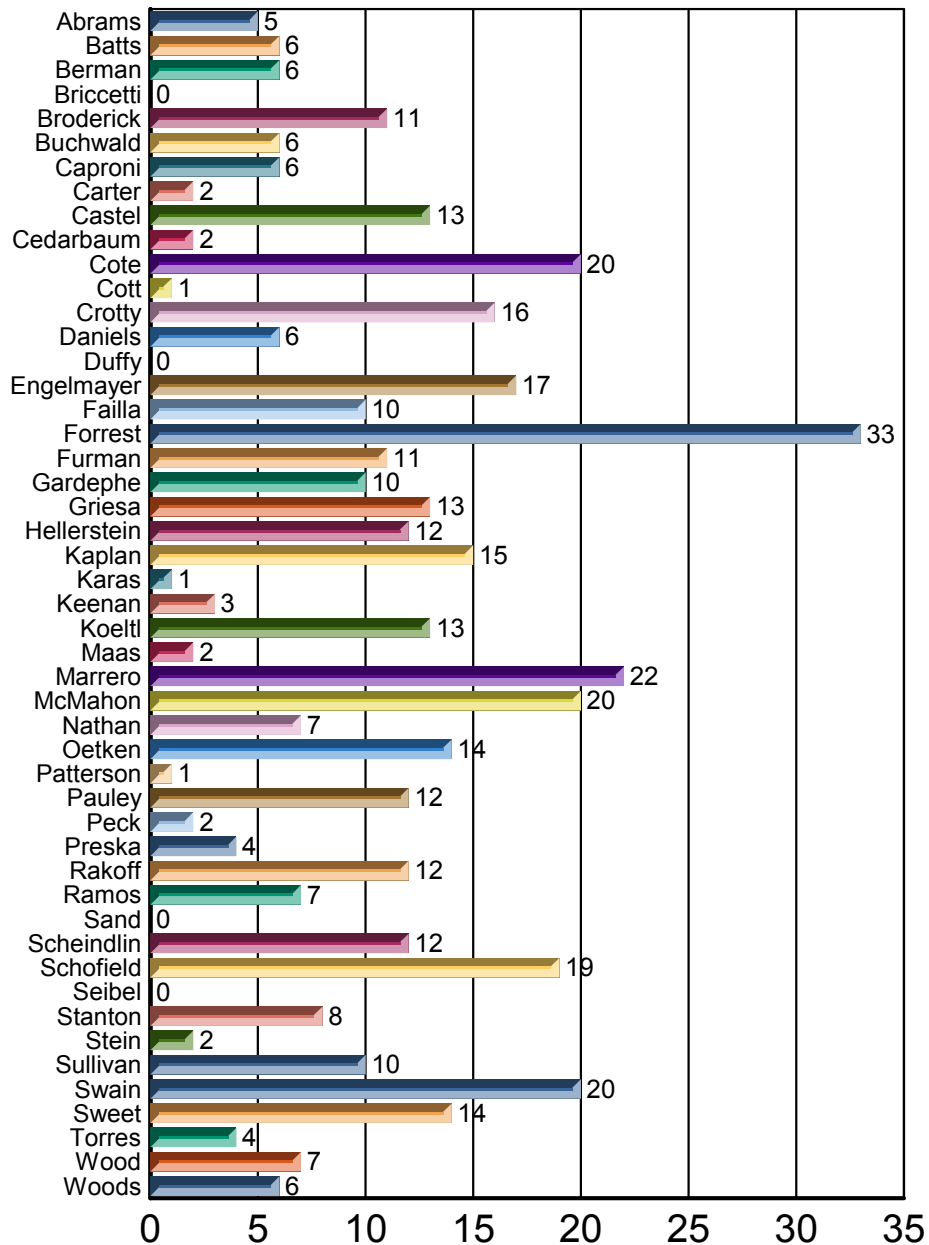
Case Outcomes by Type



Breakdown by Judge

The chart and table below illustrates the total number of non-SEC securities cases for each of the active judges in the district. In addition, the table shows the number of non-SEC securities cases for the past three years assigned to each judge.

Number of Cases, by Judge



	All Cases	Last Three Years
District	443	270
Abrams	5	4
Batts	6	1
Berman	6	6
Briccetti	0	0
Broderick	11	10
Buchwald	6	4
Caproni	6	5
Carter	2	2
Castel	13	8
Cedarbaum	2	0
Cote	20	13
Cott	1	1
Crotty	16	11
Daniels	6	5
Duffy	0	0
Engelmayer	17	11
Failla	10	9
Forrest	33	15
Furman	11	11
Gardephe	10	2
Griesa	13	5
Hellerstein	12	4
Kaplan	15	4
Karas	1	1
Keenan	3	2
Koeltl	13	5
Maas	2	1
Marrero	22	13
McMahon	20	12
Nathan	7	6
Oetken	14	5
Patterson	1	1
Pauley	12	9
Peck	2	2

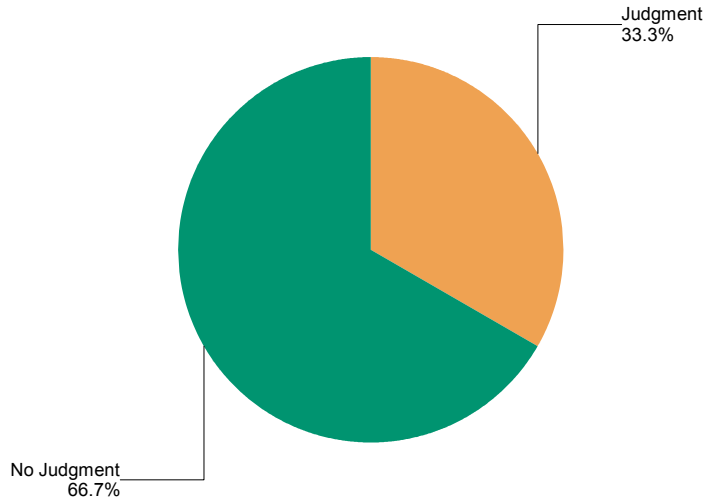
	All Cases	Last Three Years
Preska	4	1
Rakoff	12	7
Ramos	7	6
Sand	0	0
Scheindlin	12	8
Schofield	19	15
Seibel	0	0
Stanton	8	5
Stein	2	2
Sullivan	10	7
Swain	20	12
Sweet	14	5
Torres	4	4
Wood	7	4
Woods	6	6

What are the Odds: Termination by Judgment

The percentage of closed securities cases terminated by judgment are shown in the chart to the right.

Terminations by judgments include terminations resulting from trials, from dispositive summary judgment motions, from involuntary dismissals, from consent judgments, and from default judgments.

Cases Closed by Judgment

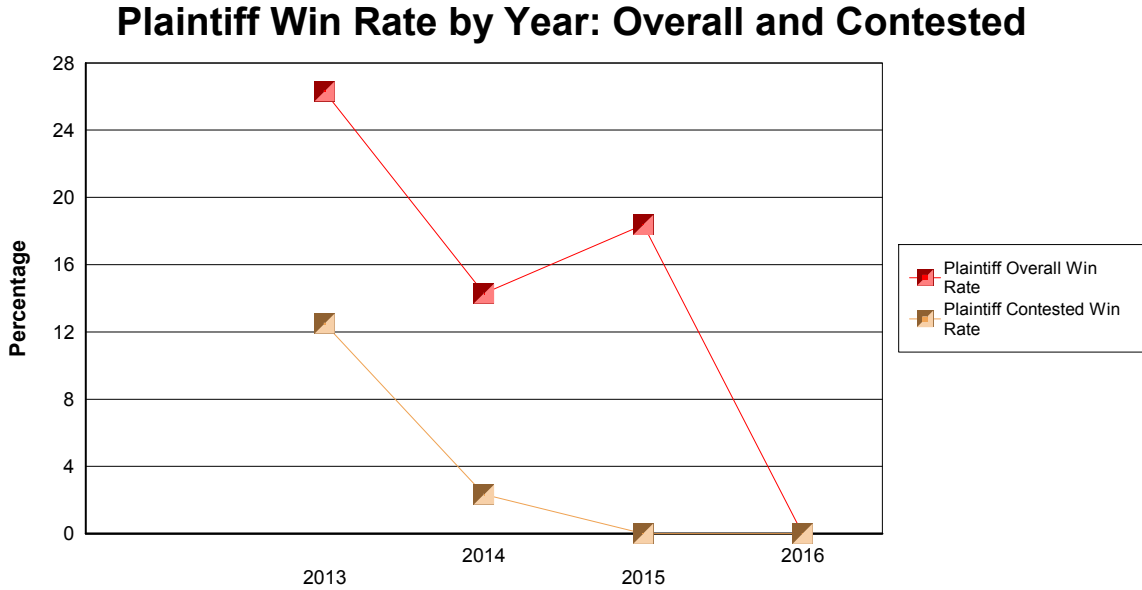


The number of judgments by each outcome, the overall plaintiff win rate, the contested plaintiff win rate, and the trial win rate for each outcome are shown below. Note that the overall win rate includes consent and default judgments, whereas the contested win rate does not include consent and default judgments.

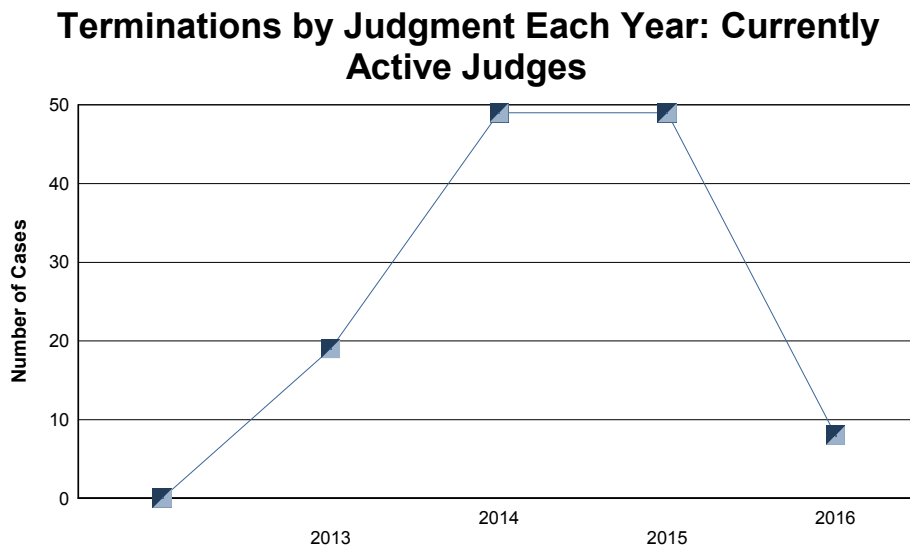
	Number of Judgments	Overall Win Rate	Contested Win Rate	Trial Win Rate
Bench Trial	1	0.0	0.0	0.0
Confirmation of Arbitration Award	1	100.0	100.0	
Consent Judgment	11	100.0		
Consolidated	1	100.0	100.0	
Default Judgment	7	100.0		
Involuntary Dismissal	100	0.0	0.0	
Jury Verdict	1	0.0	0.0	0.0
Other Termination	1	0.0	0.0	
Summary Judgment	2	50.0	50.0	

Win Rates by Year

The following chart shows the plaintiff overall win rate and contested win rate for the active judges in the New York Southern District Court by year. Note that the contested win rates are usually much lower than the overall win rates since they exclude consent and default judgments.



The total number of terminations by judgment per year by the currently active judges during the same period in the New York Southern District Court is shown in the following chart:



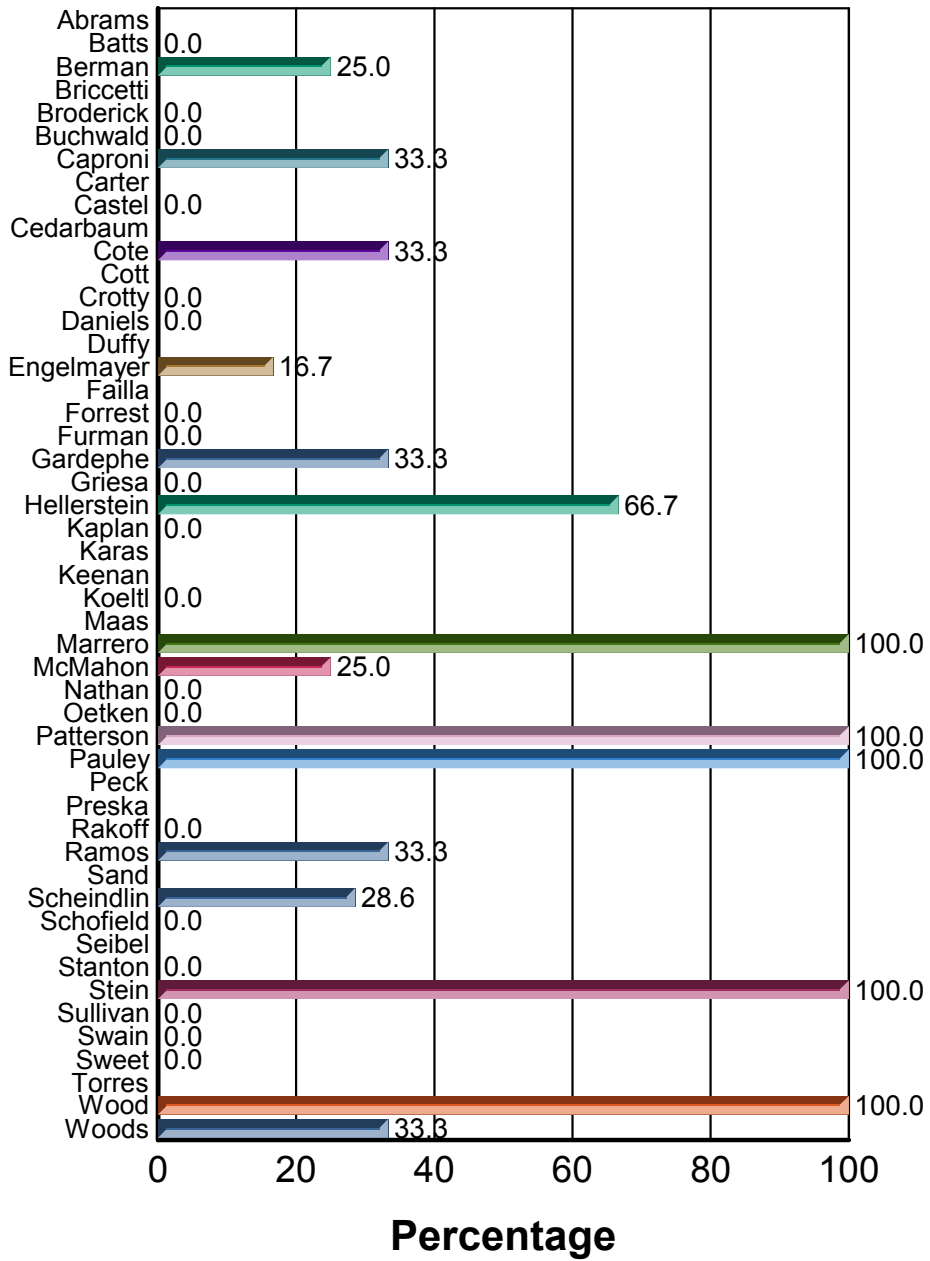
The actual number of judgments, number of plaintiff "wins", and the corresponding win rates are shown below.

	Plaintiff Wins	Total Decisions	Plaintiff Win Rate
2013	5	19	26.3
2014	7	49	14.3
2015	9	49	18.4
2016	0	8	0.0

Plaintiff Overall and Contested Win Rates: By Judge

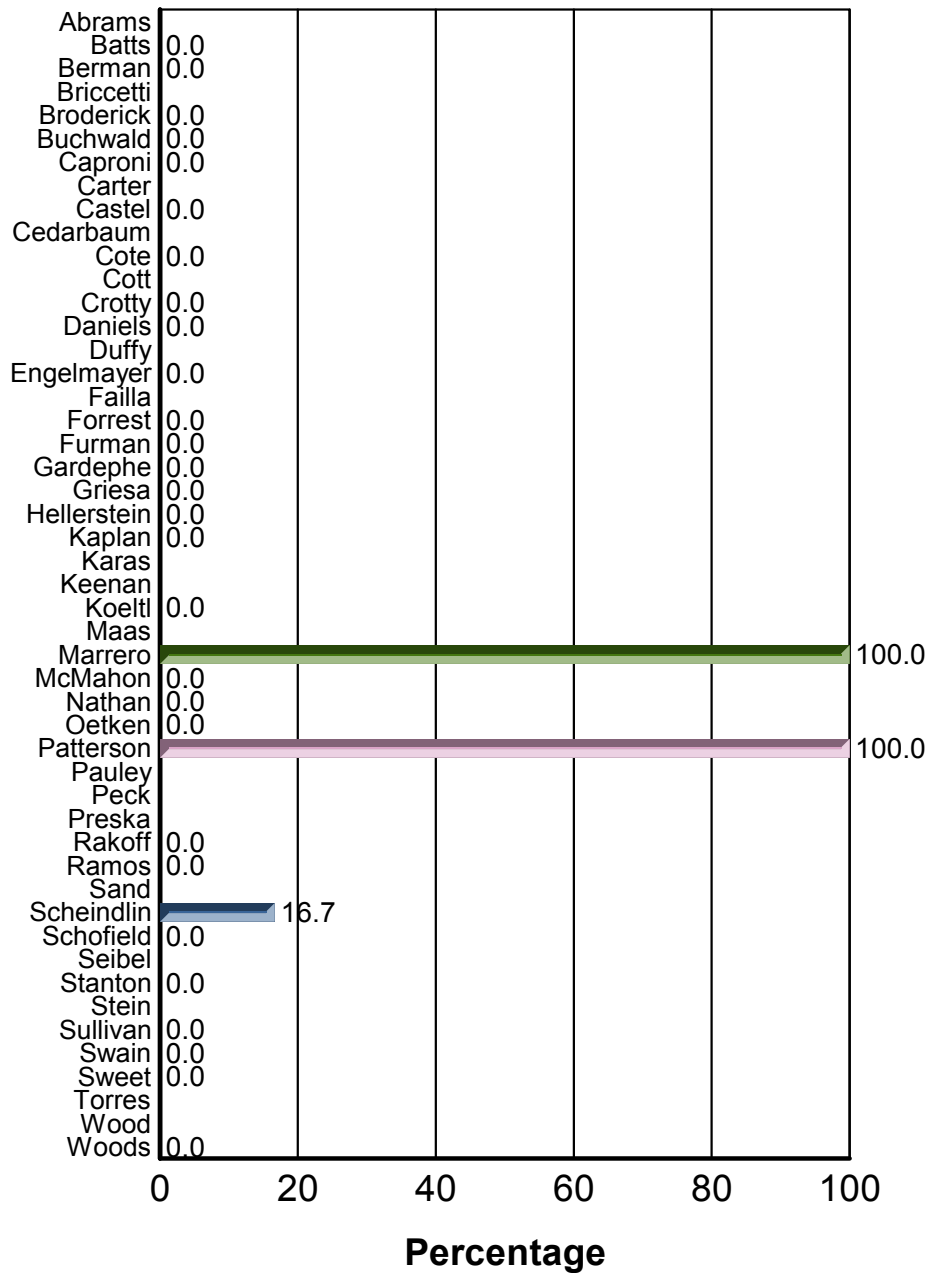
The overall plaintiff win rate varies significantly from judge to judge over the period covered by this report. The chart below illustrates these win rates for these judges. The win rate for judges with no terminations by judgment is left blank.

Plaintiff Overall Win Rate: By Judge



The plaintiff contested win rate for these judges is shown below. Note that contested win rates do not include consent and default judgments. The win rate for judges with no contested judgments is left blank.

Plaintiff Contested Win Rate: By Judge



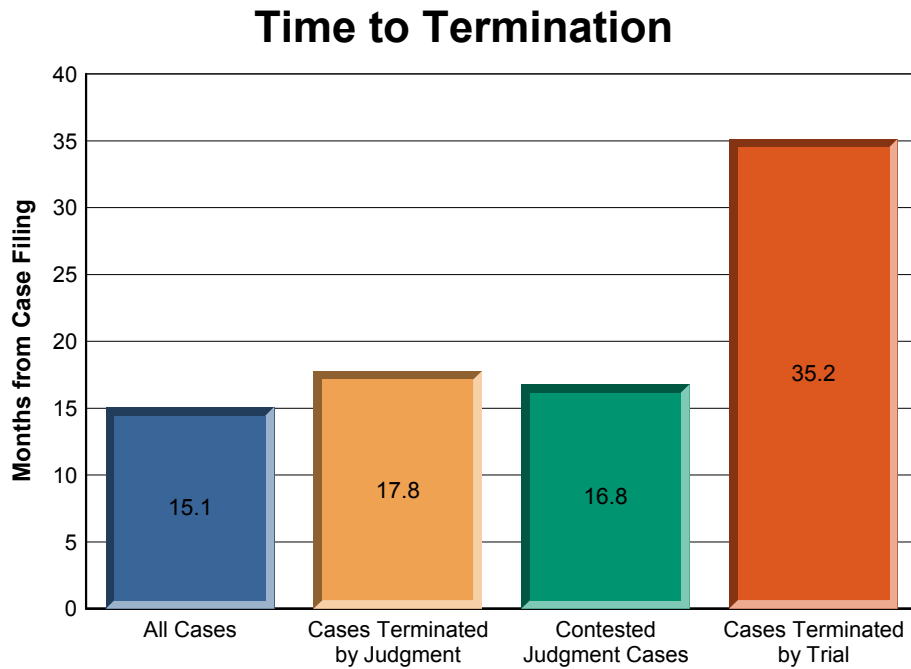
The table below includes the plaintiff overall and contested win rates for each active judge, along with the number of terminations by judgment and by contested judgment by that judge in non-SEC securities cases during the period covered by this report.

	Overall Win Rate	Number of Judgments	Contested Win Rate	Contested Judgments
Total	16.8	125	2.8	107
Abrams		0		0
Batts	0.0	2	0.0	2
Berman	25.0	4	0.0	3
Briccetti		0		0
Broderick	0.0	1	0.0	1
Buchwald	0.0	2	0.0	2
Caproni	33.3	3	0.0	2
Carter		0		0
Castel	0.0	2	0.0	2
Cedarbaum		0		0
Cote	33.3	3	0.0	2
Cott		0		0
Crotty	0.0	5	0.0	5
Daniels	0.0	2	0.0	2
Duffy		0		0
Engelmayer	16.7	6	0.0	5
Failla		0		0
Forrest	0.0	14	0.0	14
Furman	0.0	6	0.0	6
Gardephe	33.3	3	0.0	2
Griesa	0.0	3	0.0	3
Hellerstein	66.7	3	0.0	1
Kaplan	0.0	5	0.0	5
Karas		0		0
Keenan		0		0
Koeltl	0.0	4	0.0	4
Maas		0		0
Marrero	100.0	2	100.0	1
McMahon	25.0	8	0.0	6
Nathan	0.0	1	0.0	1

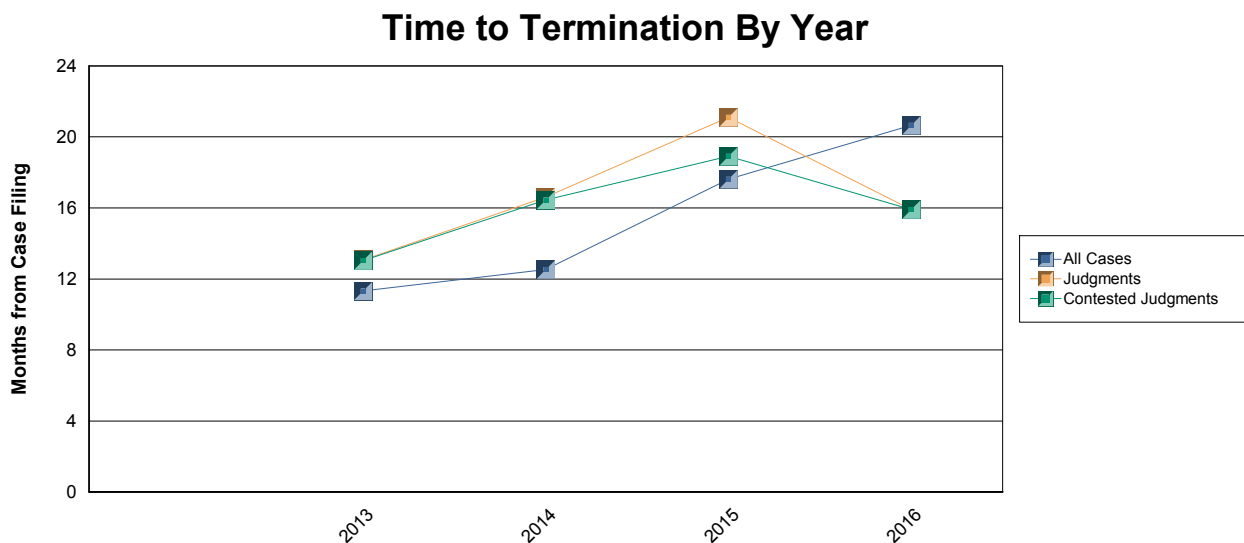
	Overall Win Rate	Number of Judgments	Contested Win Rate	Contested Judgments
Oetken	0.0	4	0.0	4
Patterson	100.0	1	100.0	1
Pauley	100.0	2		0
Peck		0		0
Preska		0		0
Rakoff	0.0	5	0.0	5
Ramos	33.3	3	0.0	2
Sand		0		0
Scheidlin	28.6	7	16.7	6
Schofield	0.0	3	0.0	3
Seibel		0		0
Stanton	0.0	4	0.0	4
Stein	100.0	1		0
Sullivan	0.0	4	0.0	4
Swain	0.0	2	0.0	2
Sweet	0.0	5	0.0	5
Torres		0		0
Wood	100.0	2		0
Woods	33.3	3	0.0	2

How Long? Time to Termination

The average time from case filing to termination for all closed cases, for all cases terminated by judgment, for all cases terminated by contested judgment, and for all cases terminated by trial covered by this report are shown below.



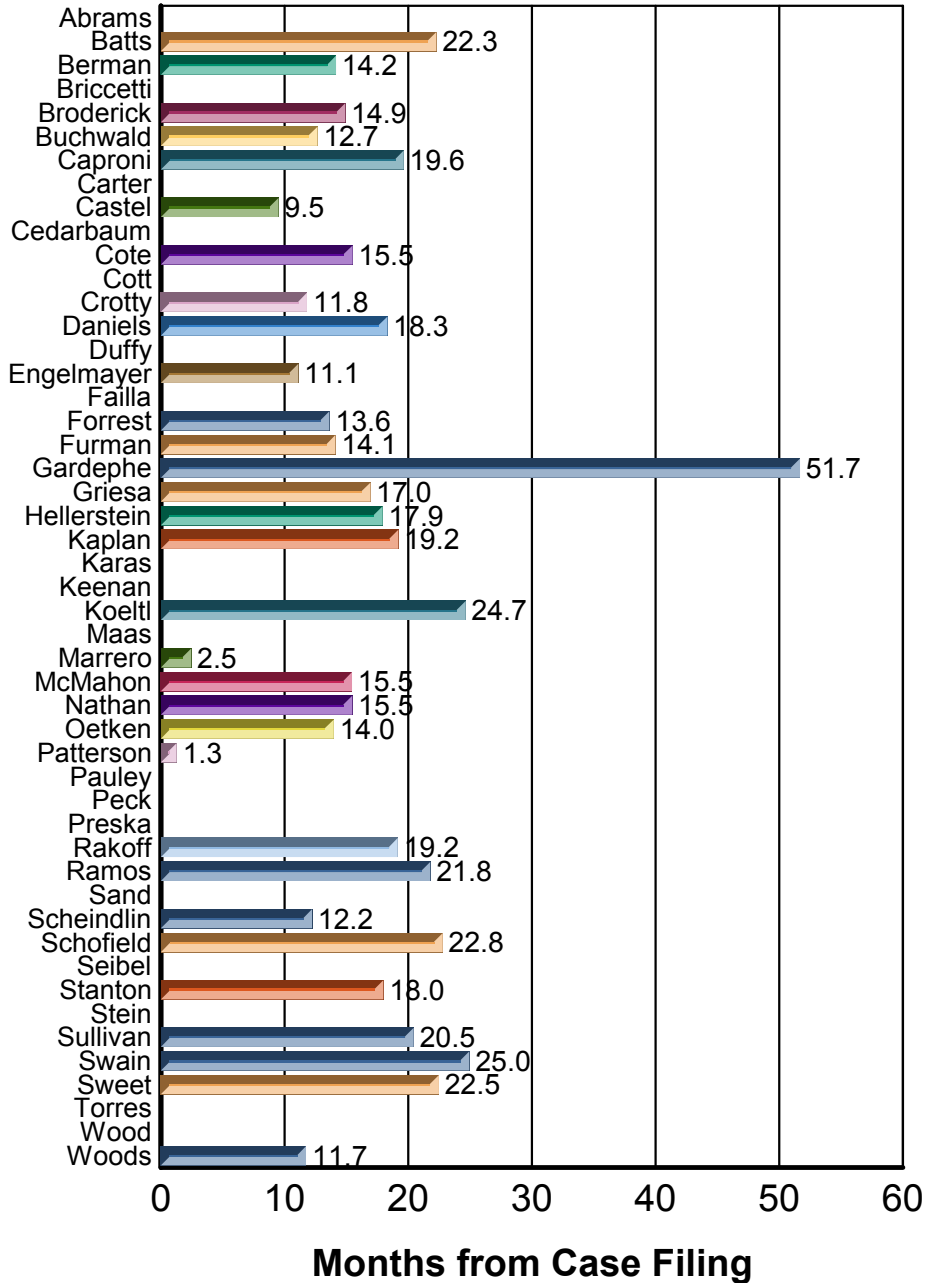
The average time from case filing to termination for all closed cases by year, for all cases terminated by judgment, for all cases terminated by contested judgment, and for all cases terminated by trial covered by this report are shown below.



Time to Contested Judgment: By Judge

The average time from case filing to contested judgment for the active judges in this district is shown in the chart below.

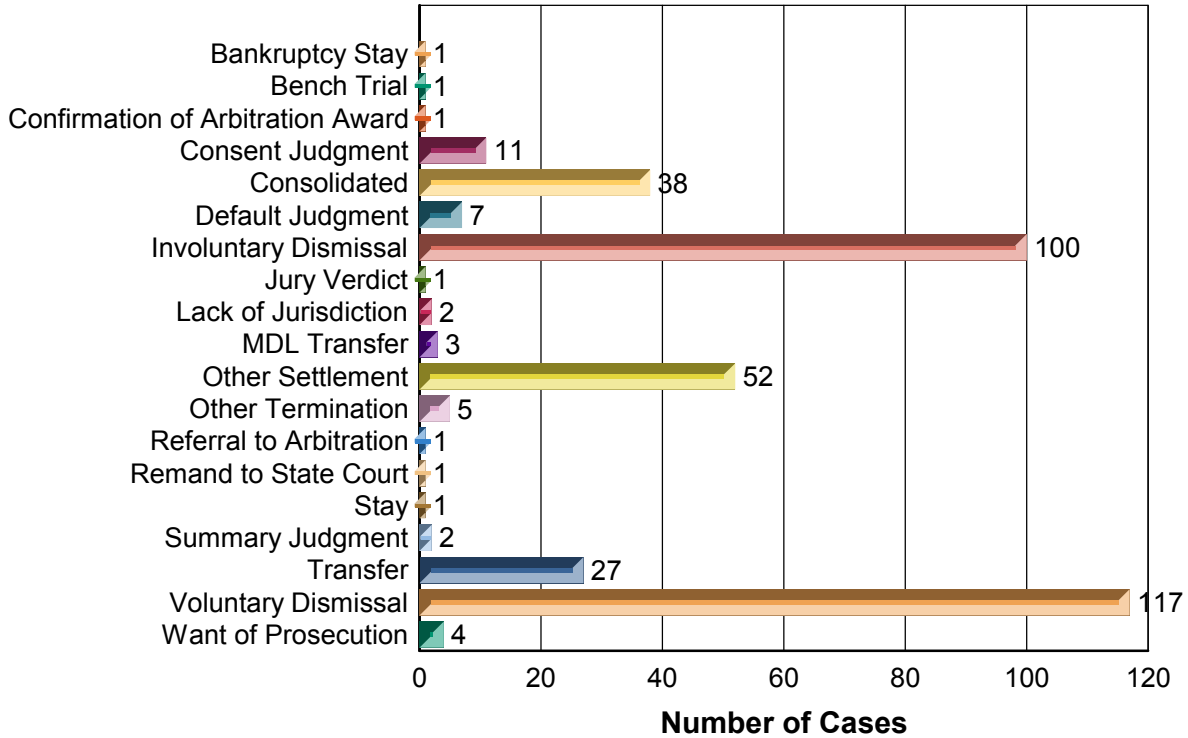
Average Time to Contested Judgment: By Judge



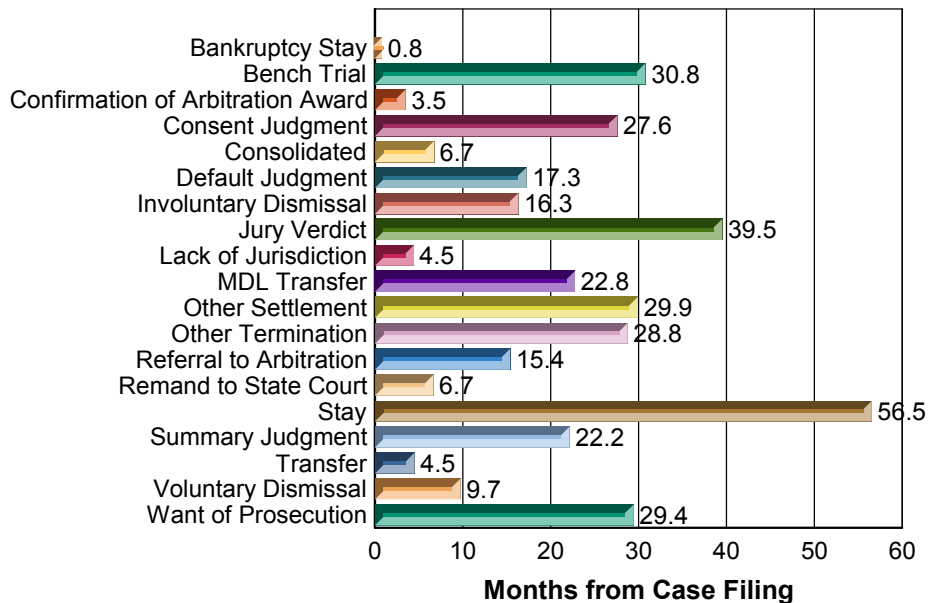
Average Time to Termination by Case Outcomes

The number of cases terminated by each outcome for the active judges in this district is shown in the chart below, and the average time to termination for each outcome is shown in the second chart below.

Case Outcomes



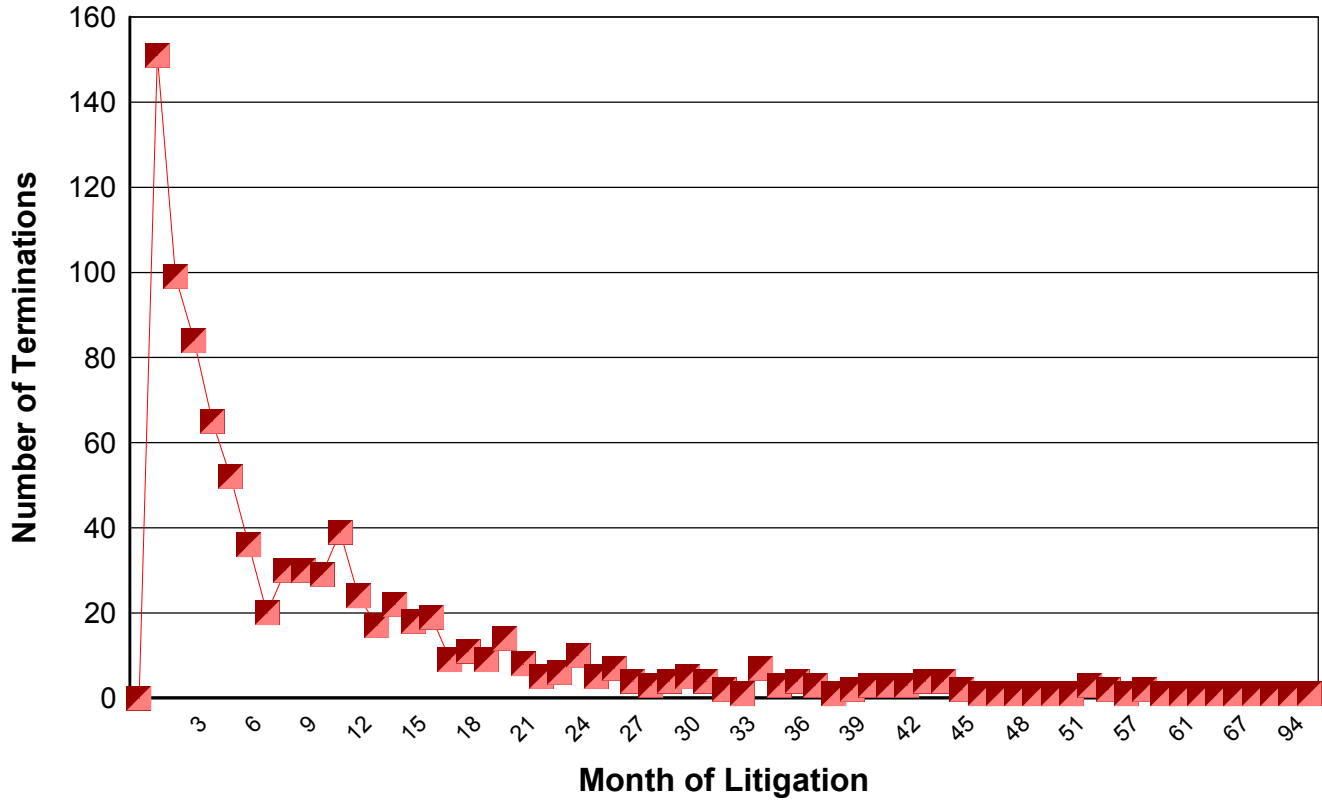
Average Time to Termination by Outcome



Termination by Month of Litigation

An overview of when terminations typically occur is found in the following chart, which shows the number of non-SEC securities cases in the New York Southern District Court that were terminated each month of litigation. The first month of litigation is labeled "1", etc. Months with no case terminations are omitted

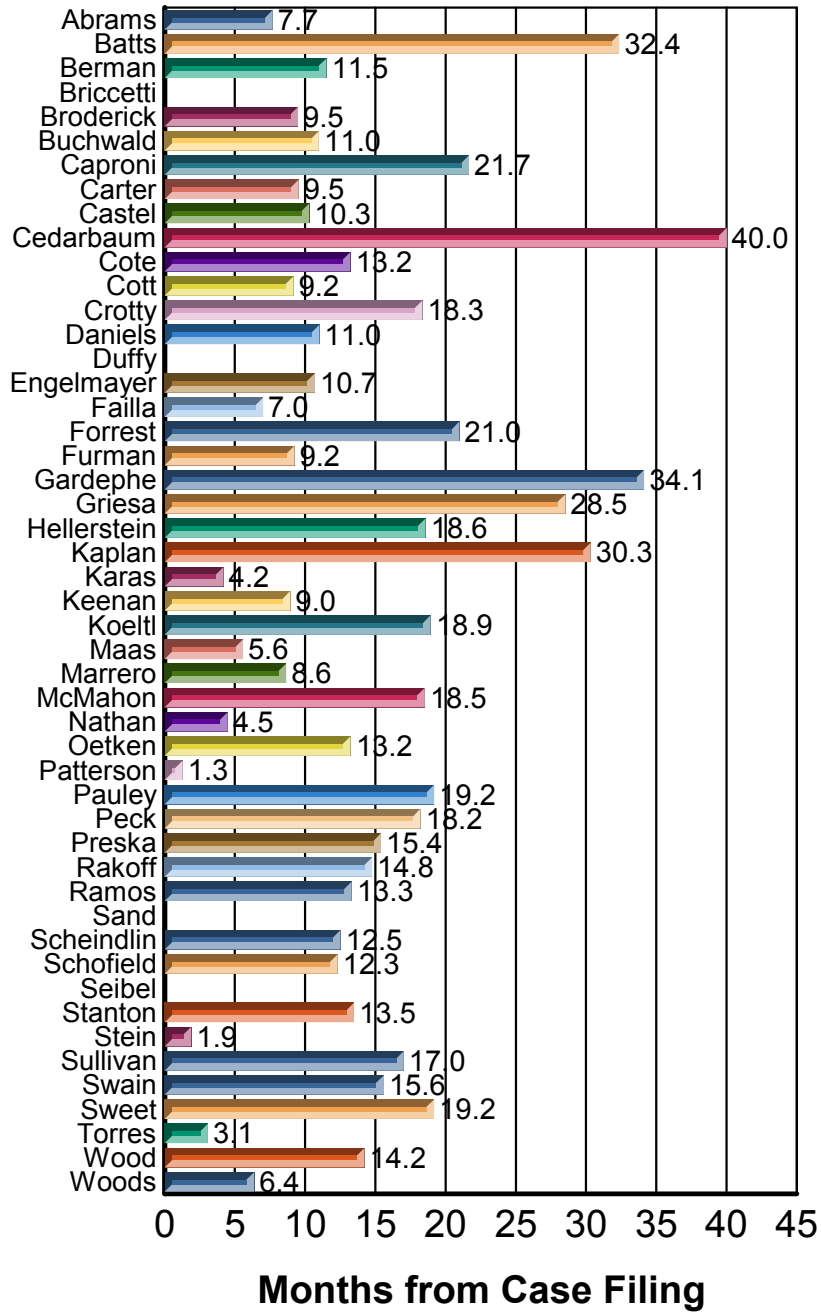
Closed Cases Each Month



Average Pendency for All Cases: By Judge

The variation in pendency for all closed cases is shown below.

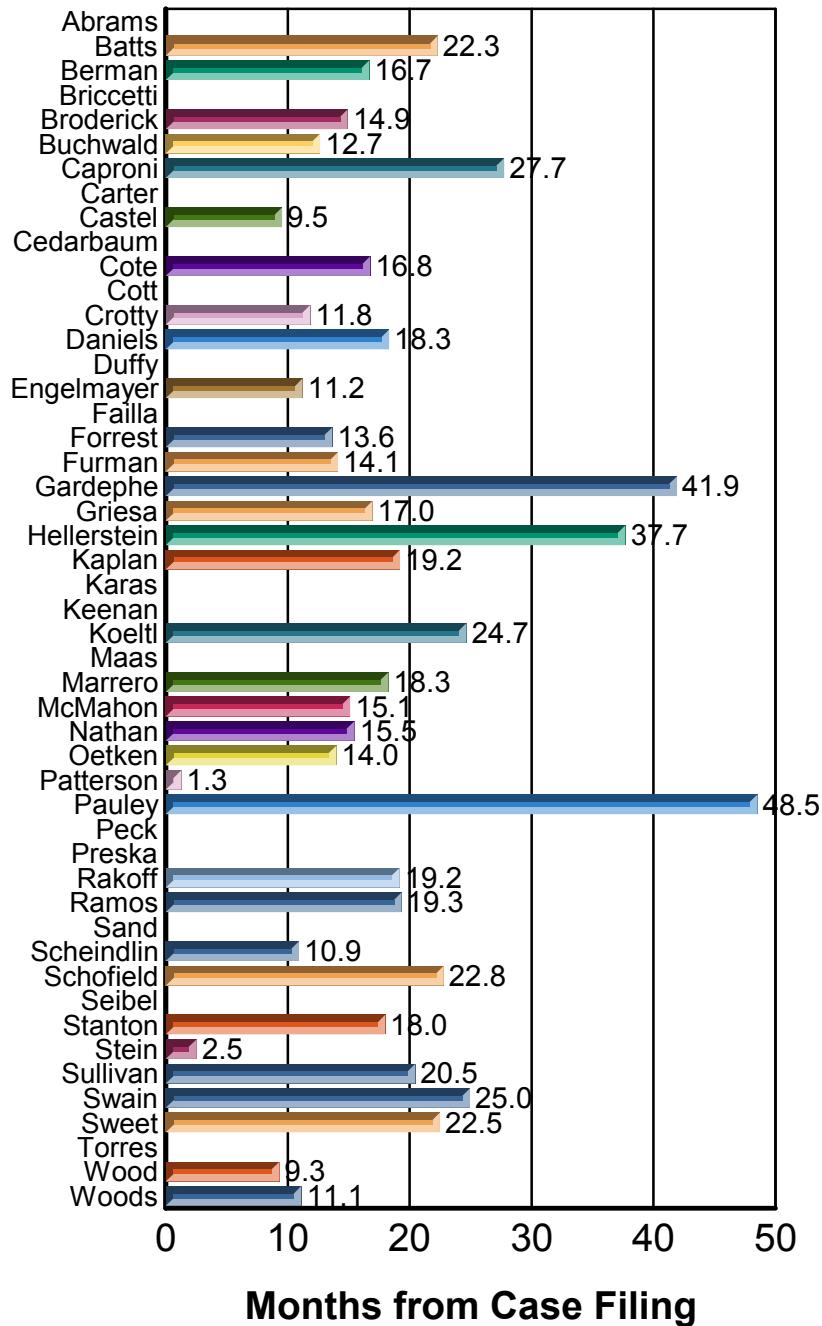
Average Time to Termination for All Cases



Average Pendency for Cases Terminated by Judgment: By Judge

The variation in pendency for all cases terminated by judgment is shown below.

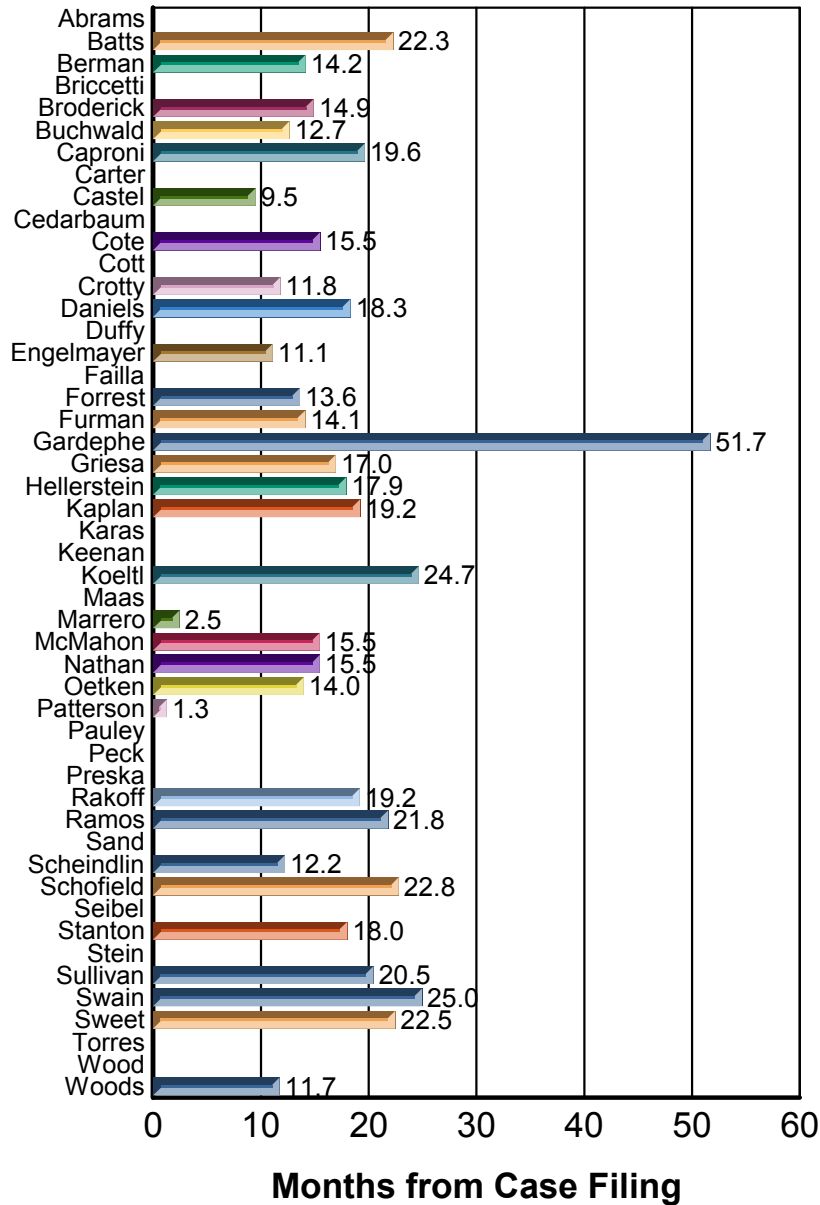
Average Time to Termination by Judgment



Average Pendency for Cases Terminated by Contested Judgment: By Judge

The variation in pendency for all cases terminated by contested judgment is shown below.

Average Time to Termination by Contested Judgment



Case and Judgment Outcomes

The number of outcomes by judgment, the plaintiff win rate for those outcomes, and the average time to termination for those outcomes for this court are shown below, broken out by type of outcome.

	Number of Judgments	Plft. Win Rate	Average Time to Termination
Total	125	16.8	17.8
Bench Trial	1	0.0	30.8
Confirmation of Arbitration Award	1	100.0	3.5
Consent Judgment	11	100.0	27.6
Consolidated	1	100.0	2.5
Default Judgment	7	100.0	17.3
Involuntary Dismissal	100	0.0	16.3
Jury Verdict	1	0.0	39.5
Other Termination	1	0.0	45.7
Summary Judgment	2	50.0	22.2

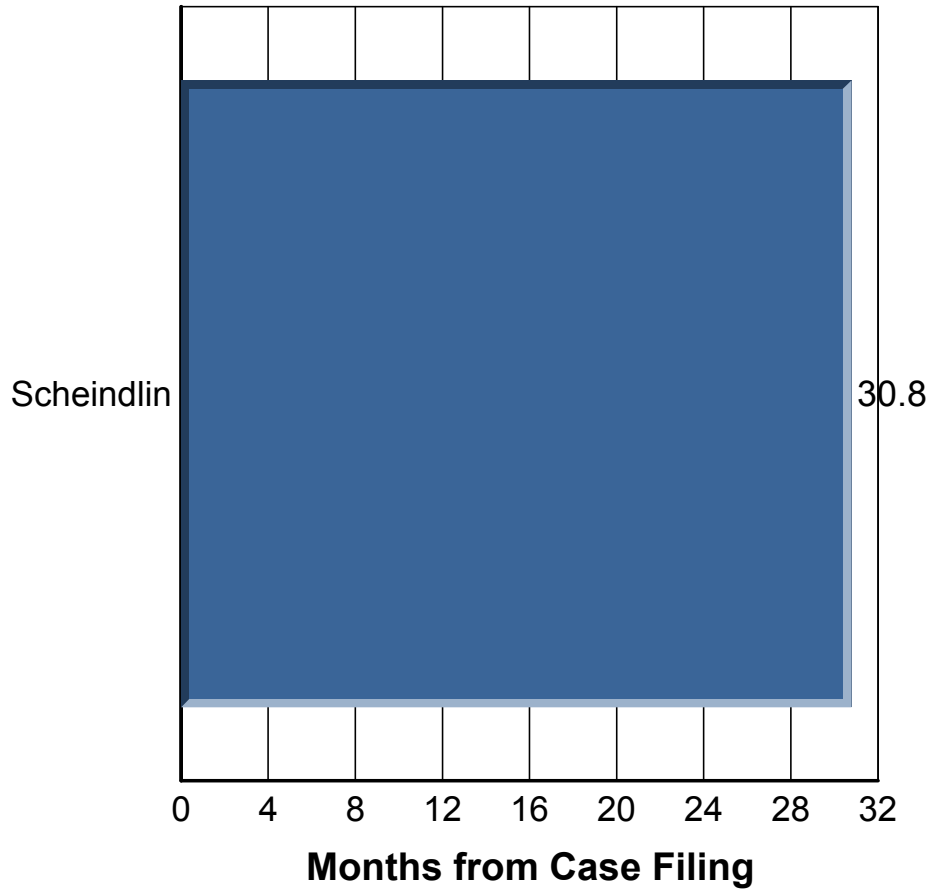
Detailed information about these cases, broken out by type of outcome, is shown in the following sections.

Bench Trial

The number of Bench Trial outcomes and the average time to termination by that outcome are shown below for the district and for each judge who has at least one such outcome.

Average Time to Termination

For Bench Trial

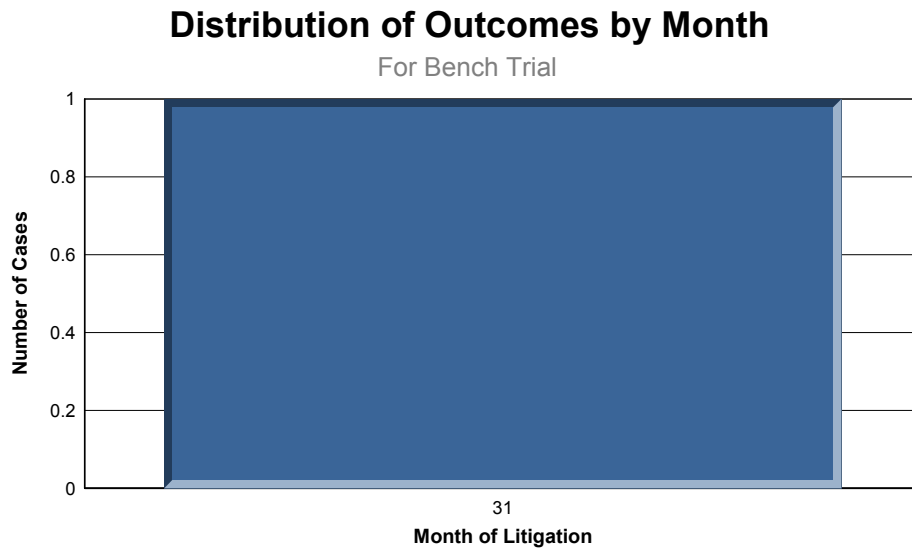


Bench Trial

	Average Time to Termination	Number of Cases
District	30.8	1
Scheindlin	30.8	1

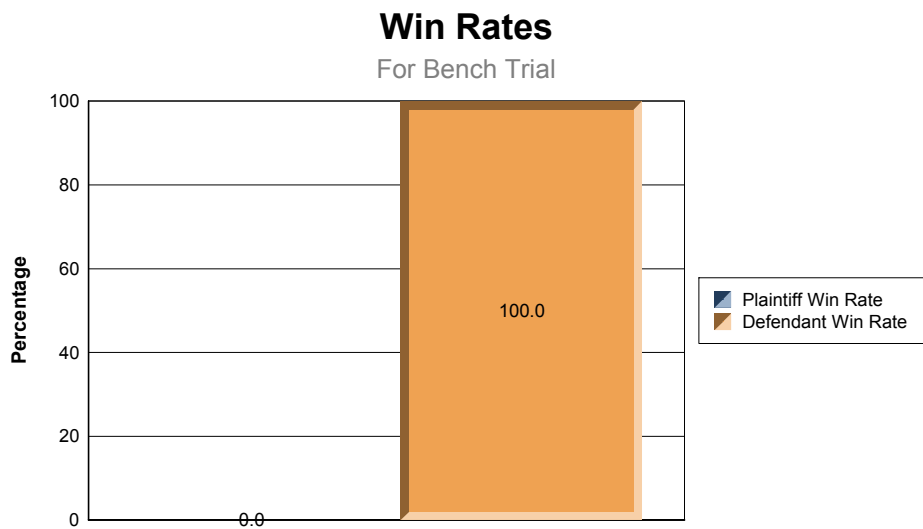
Bench Trial

The distribution of these outcomes by month of litigation is shown below. Months with no outcomes are omitted from the chart.



Bench Trial

The plaintiff and defendant win rates for cases with this outcome are shown below for the judges and the district as a whole.



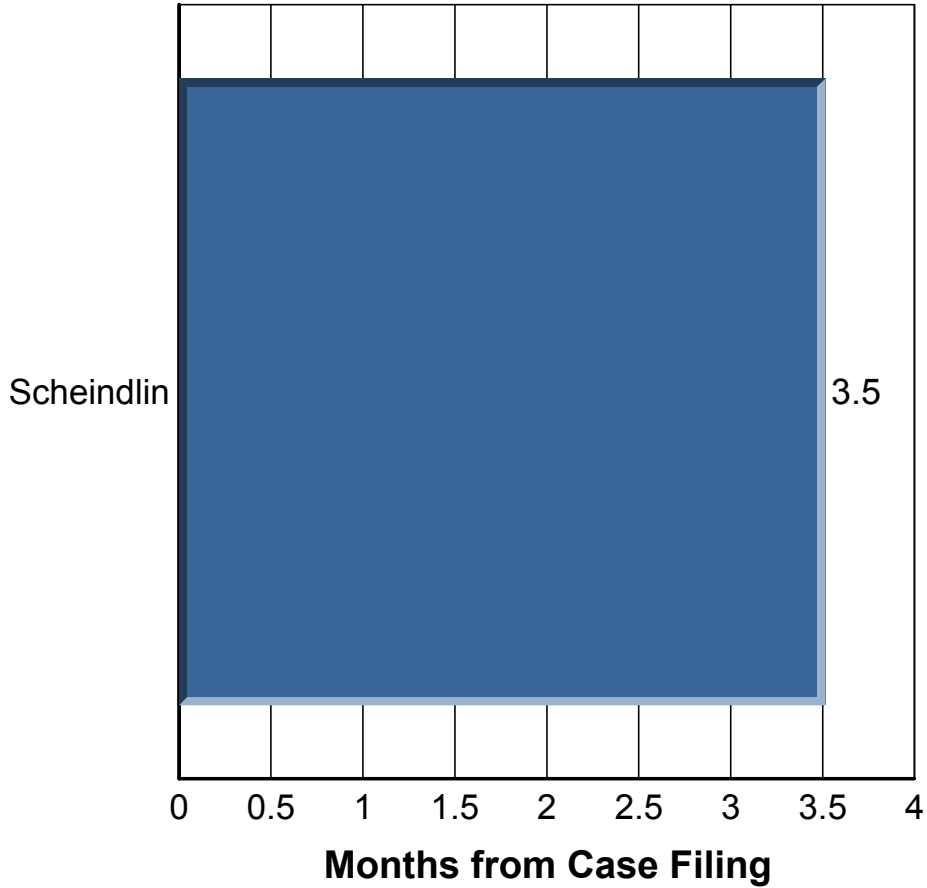
Bench Trial

<u>Case Number</u>	<u>Judge</u>	<u>Prevailing Party</u>	<u>Pendency</u>	<u>Case Name</u>
1:11cv04164	Scheindlin	Defendant	30.8	Sawabeh Information Services Company et al v. Brody et al

Confirmation of Arbitration Award

The number of Confirmation of Arbitration Award outcomes and the average time to termination by that outcome are shown below for the district and for each judge who has at least one such outcome.

Average Time to Termination For Confirmation of Arbitration Award

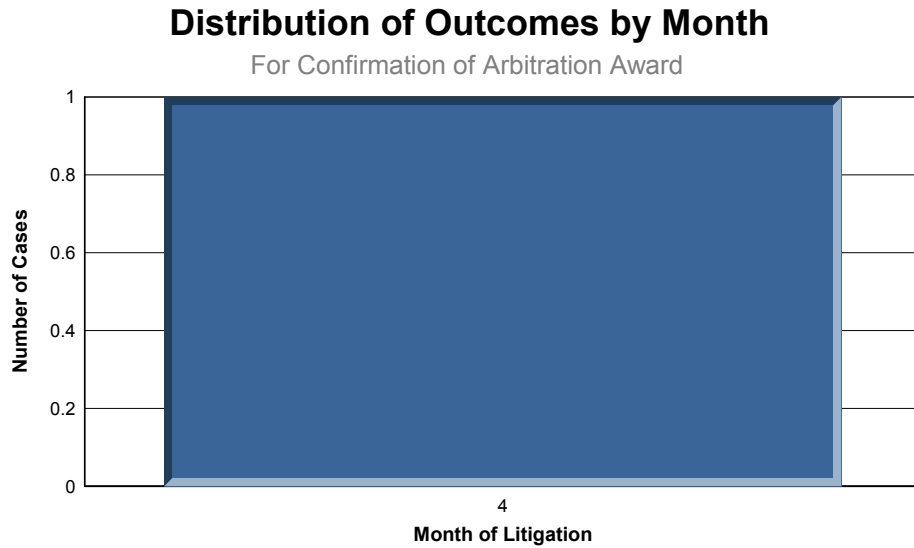


Confirmation of Arbitration Award

	Average Time to Termination	Number of Cases
District	3.5	1
Scheidlin	3.5	1

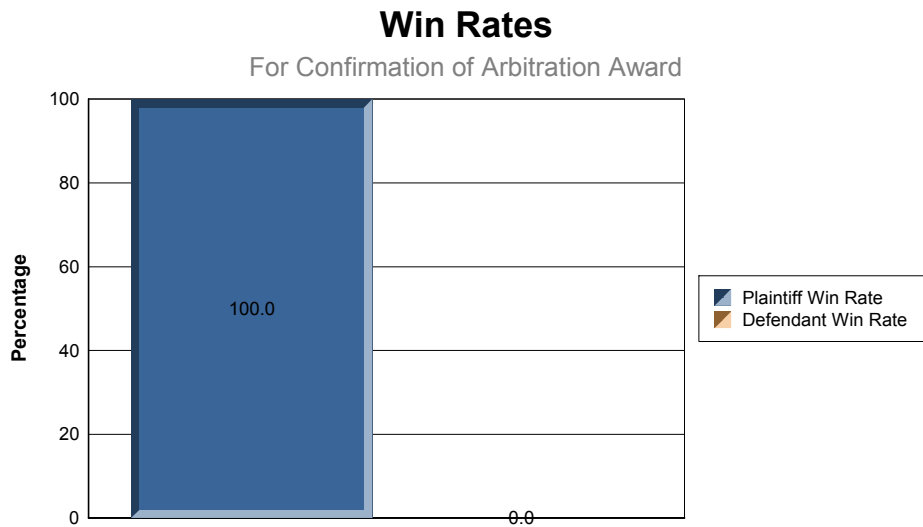
Confirmation of Arbitration Award

The distribution of these outcomes by month of litigation is shown below. Months with no outcomes are omitted from the chart.



Confirmation of Arbitration Award

The plaintiff and defendant win rates for cases with this outcome are shown below for the judges and the district as a whole.

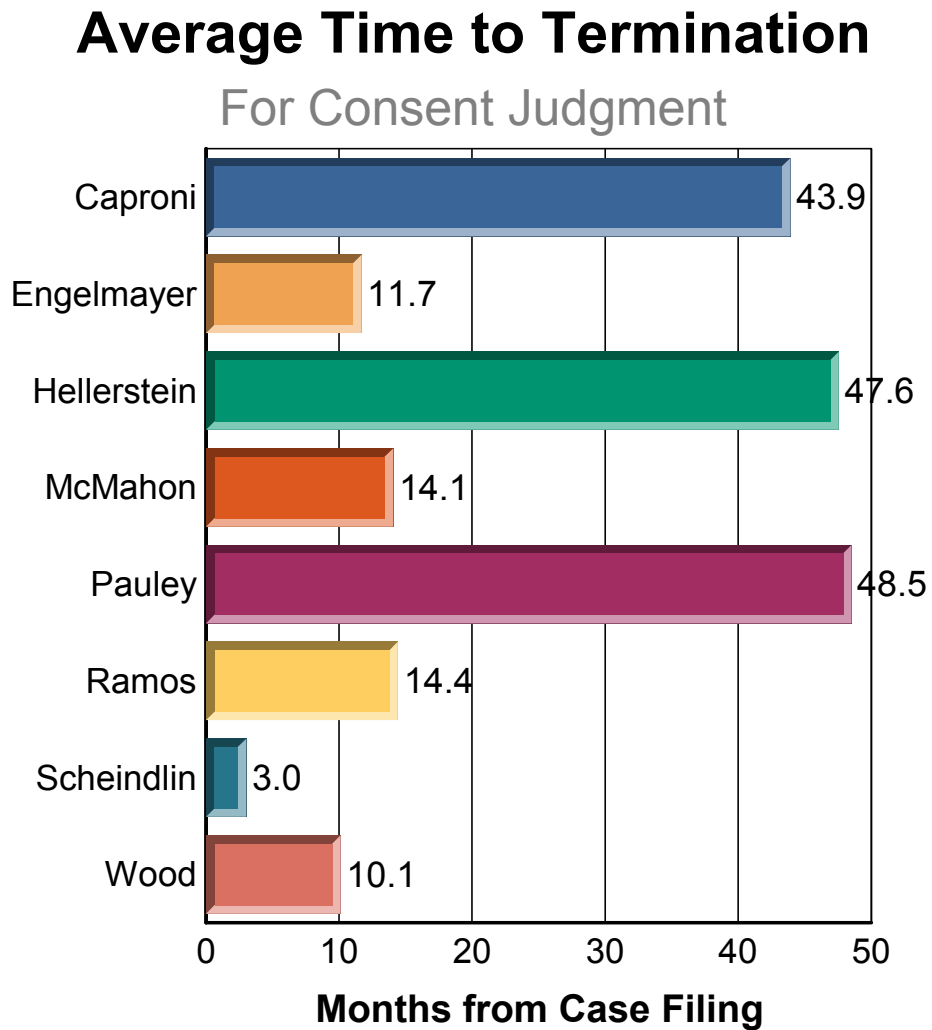


Confirmation of Arbitration Award

<u>Case Number</u>	<u>Judge</u>	<u>Prevailing Party</u>	<u>Pendency</u>	<u>Case Name</u>
1:13cv06982	Scheindlin	Plaintiff	3.5	Max Great Technology Co., Ltd v. Maxray Optical Technology Co., Ltd

Consent Judgment

The number of Consent Judgment outcomes and the average time to termination by that outcome are shown below for the district and for each judge who has at least one such outcome.

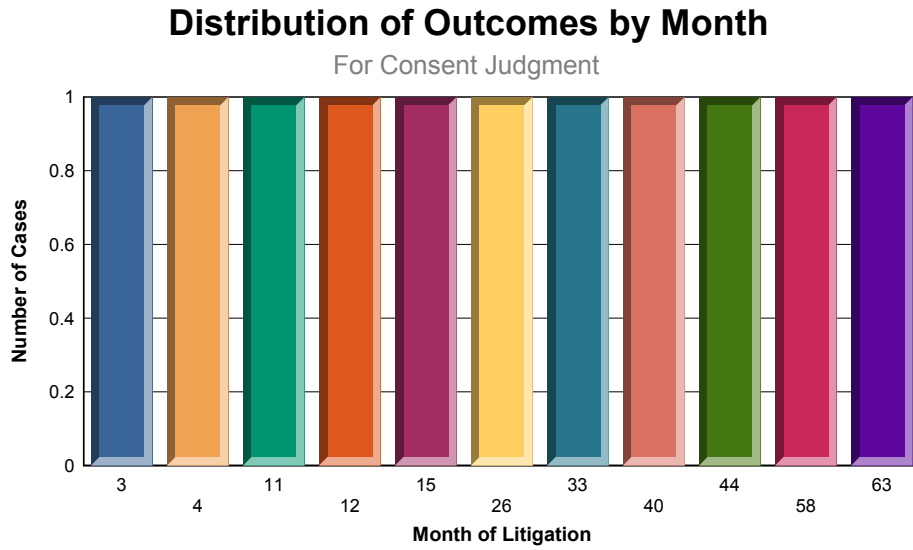


Consent Judgment

	Average Time to Termination	Number of Cases
District	27.6	11
Caproni	43.9	1
Engelmayer	11.7	1
Hellerstein	47.6	2
McMahon	14.1	2
Pauley	48.5	2
Ramos	14.4	1
Scheindlin	3.0	1
Wood	10.1	1

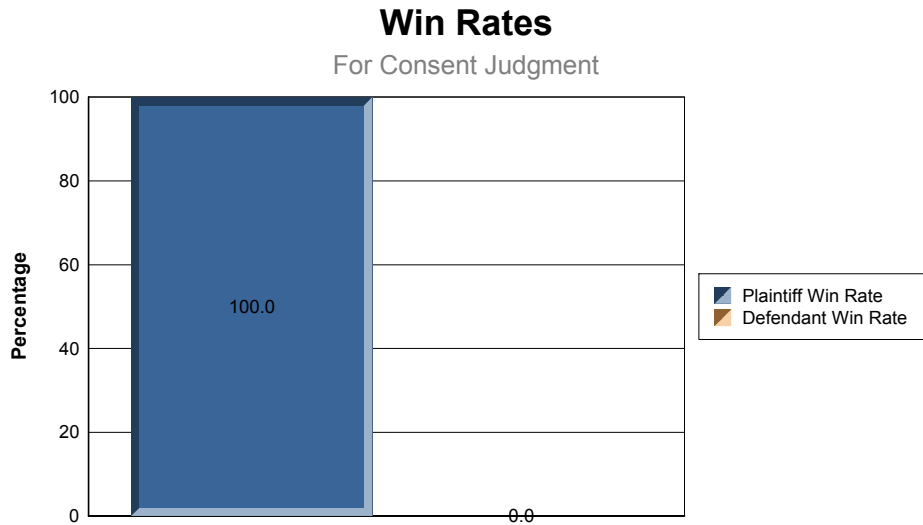
Consent Judgment

The distribution of these outcomes by month of litigation is shown below. Months with no outcomes are omitted from the chart.



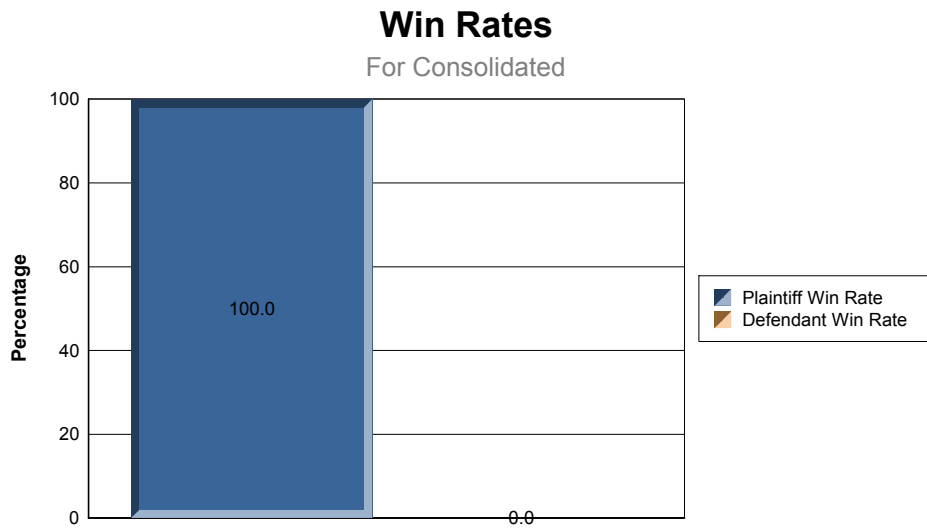
Consent Judgment

The plaintiff and defendant win rates for cases with this outcome are shown below for the judges and the district as a whole.



Consolidated

The plaintiff and defendant win rates for cases with this outcome are shown below for the judges and the district as a whole.

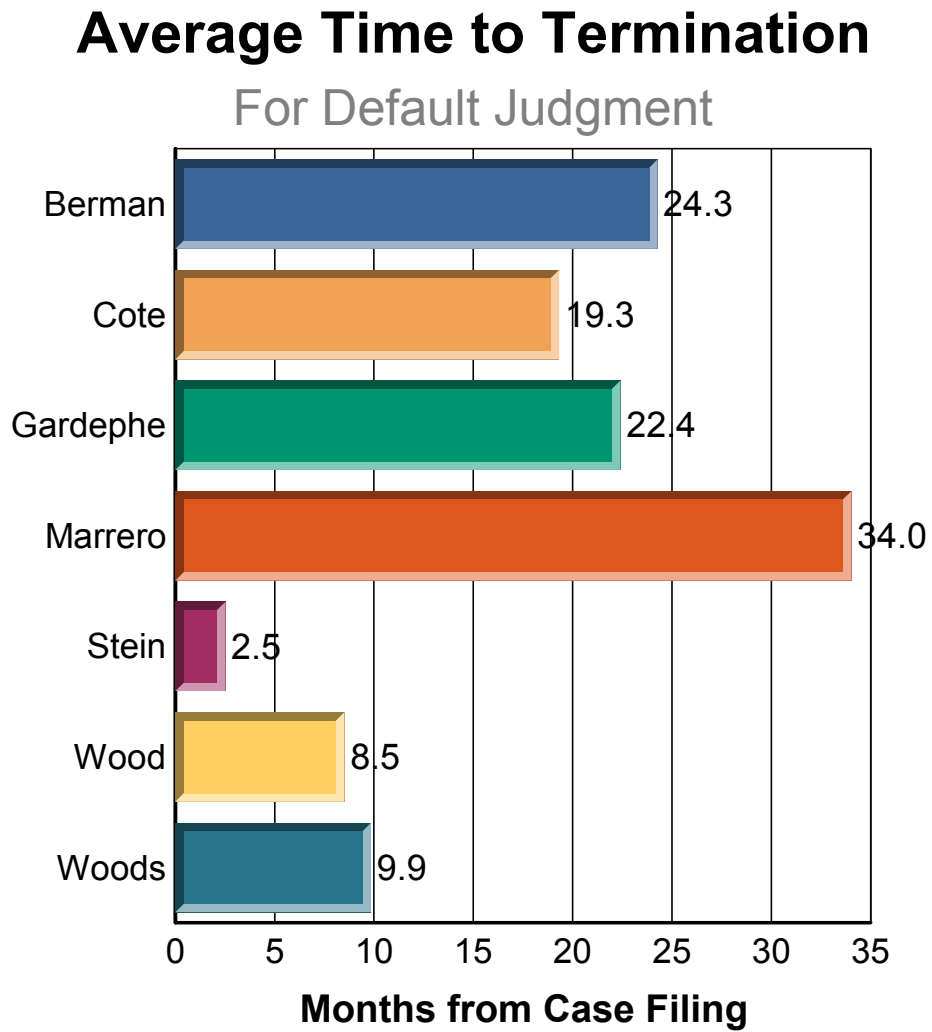


Consolidated

<u>Case Number</u>	<u>Judge</u>	<u>Prevailing Party</u>	<u>Pendency</u>	<u>Case Name</u>
1:13cv04263	Marrero	Plaintiff	2.5	Blaylock Robert Van, LLC v. KWE Capital Management LLC et al

Default Judgment

The number of Default Judgment outcomes and the average time to termination by that outcome are shown below for the district and for each judge who has at least one such outcome.

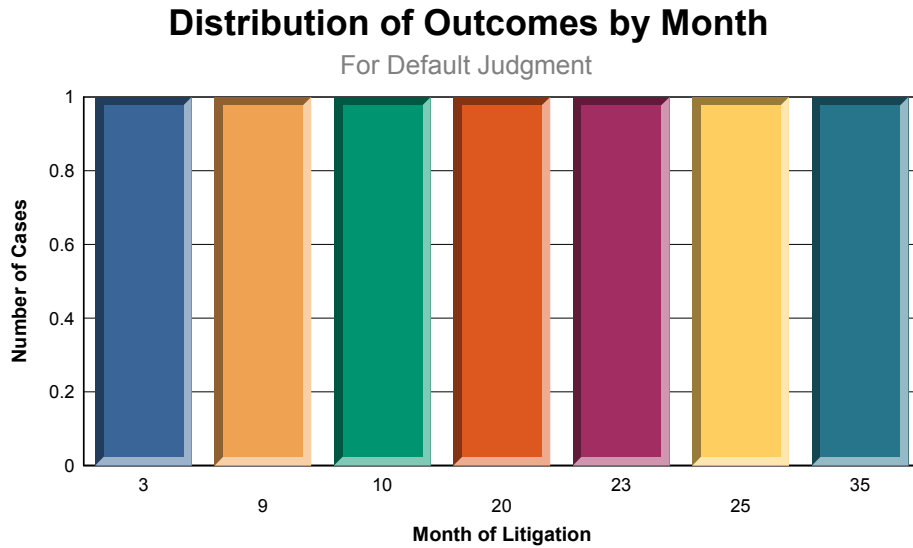


Default Judgment

	Average Time to Termination	Number of Cases
District	17.3	7
Berman	24.3	1
Cote	19.3	1
Gardephe	22.4	1
Marrero	34.0	1
Stein	2.5	1
Wood	8.5	1
Woods	9.9	1

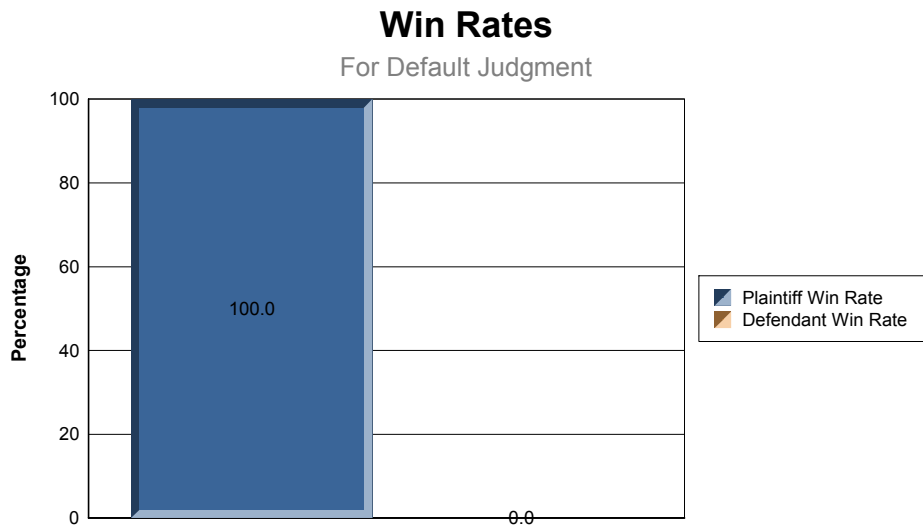
Default Judgment

The distribution of these outcomes by month of litigation is shown below. Months with no outcomes are omitted from the chart.



Default Judgment

The plaintiff and defendant win rates for cases with this outcome are shown below for the judges and the district as a whole.

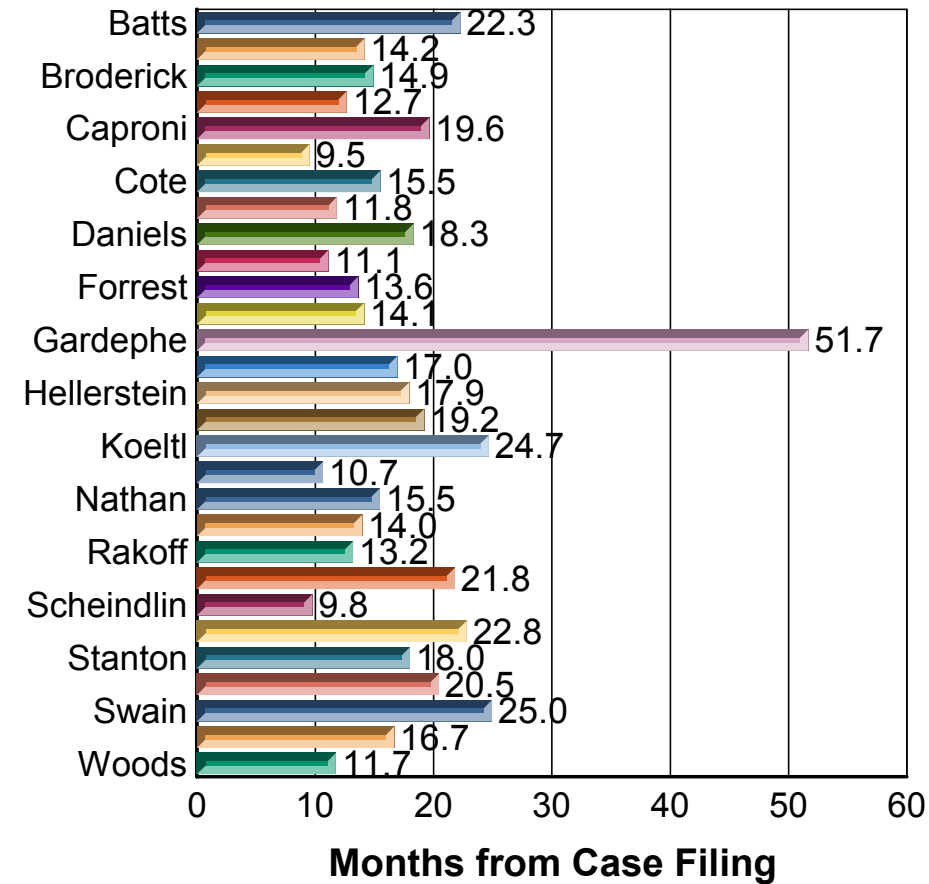


Involuntary Dismissal

The number of Involuntary Dismissal outcomes and the average time to termination by that outcome are shown below for the district and for each judge who has at least one such outcome.

Average Time to Termination

For Involuntary Dismissal

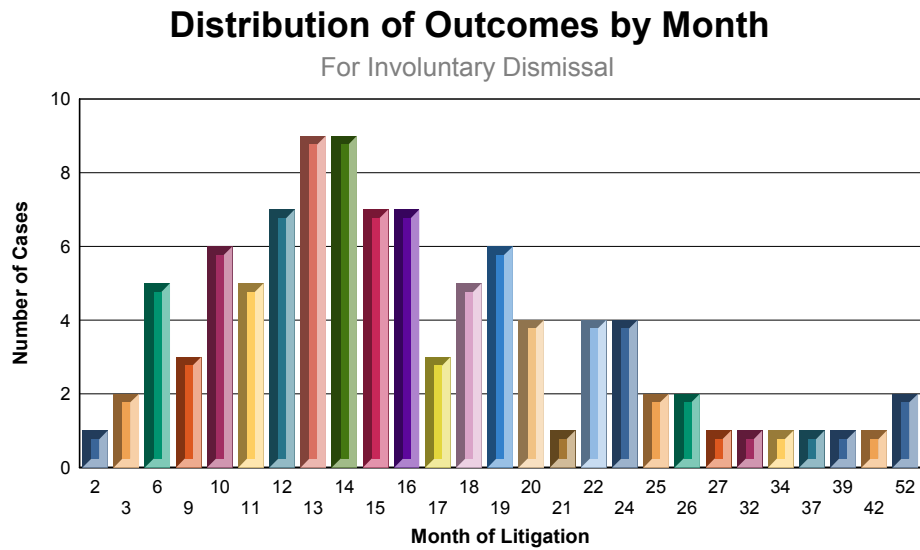


Involuntary Dismissal

	Average Time to Termination	Number of Cases
District	16.3	100
Batts	22.3	2
Berman	14.2	3
Broderick	14.9	1
Buchwald	12.7	2
Caproni	19.6	2
Castel	9.5	2
Cote	15.5	2
Crotty	11.8	5
Daniels	18.3	2
Engelmayer	11.1	5
Forrest	13.6	14
Furman	14.1	6
Gardephe	51.7	2
Griese	17.0	3
Hellerstein	17.9	1
Kaplan	19.2	5
Koeltl	24.7	4
McMahon	10.7	5
Nathan	15.5	1
Oetken	14.0	4
Rakoff	13.2	4
Ramos	21.8	2
Scheidlin	9.8	4
Schofield	22.8	3
Stanton	18.0	4
Sullivan	20.5	4
Swain	25.0	2
Sweet	16.7	4
Woods	11.7	2

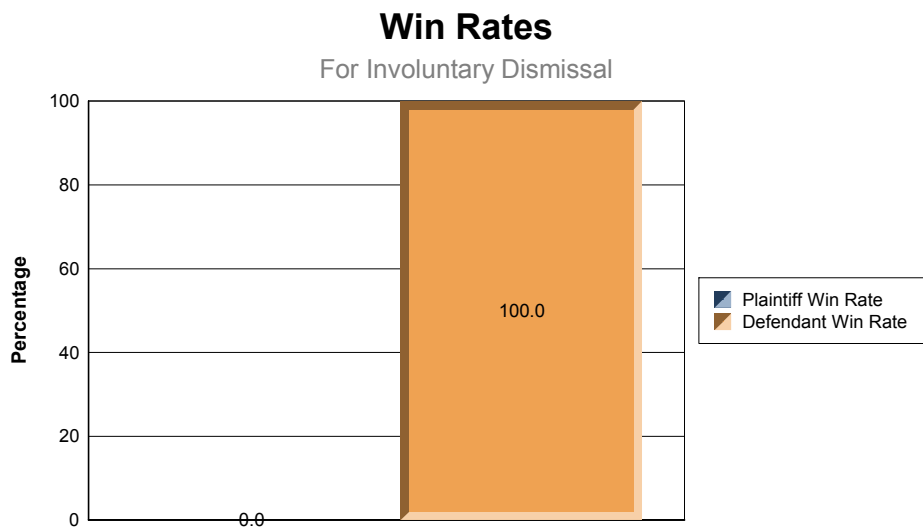
Involuntary Dismissal

The distribution of these outcomes by month of litigation is shown below. Months with no outcomes are omitted from the chart.



Involuntary Dismissal

The plaintiff and defendant win rates for cases with this outcome are shown below for the judges and the district as a whole.



Involuntary Dismissal

<u>Case Number</u>	<u>Judge</u>	<u>Prevailing Party</u>	<u>Pendency</u>	<u>Case Name</u>
1:14cv00386	Stanton	Defendant	1.8	Omnicom Group Inc. v. Chevedden
1:14cv05365	Rakoff	Defendant	2.3	Forward Industries, Inc. v. Wise et al
1:13cv06708	Rakoff	Defendant	2.4	CNH Diversified Opportunities Master Account, L.P. et al v. Wehner
1:14cv01041	Crotty	Defendant	5.1	Central Laborers Pension Fund et al v. Dimon et al
1:14cv00651	Scheindlin	Defendant	5.1	Santos-Buch v. Financial Industry Regulatory Authority
1:13cv01224	Engelmayer	Defendant	5.5	Donoghue v. Dole Food Company, Inc. et al
1:14cv00688	Crotty	Defendant	5.6	Steinberg v. Dimon et al
1:14cv02258	Castel	Defendant	5.9	Cartica Management, LLC et al v. Corpbanca S.A. et al
1:13cv05977	Forrest	Defendant	8.0	Federman v. McCormick Day et al
1:14md02589	Furman	Defendant	8.3	In Re: Barclays Liquidity Cross and High Frequency Trading Litigation
1:13cv08933	Kaplan	Defendant	9.0	White Pacific Securities, Inc. et al v. Gulak
1:13cv02033	Rakoff	Defendant	9.2	Donoghue v. Patterson Companies, Inc. et al
1:13cv06712	McMahon	Defendant	9.4	Booth v. Linn Energy LLC et al
1:13cv02692	Sweet	Defendant	9.6	SRM Global Master Fund Limited Partnership v. The Bear Stearns Companies L.L.C. et al
1:14cv05450	Buchwald	Defendant	9.6	Singh v. Schikan et al
1:13cv04596	Forrest	Defendant	9.7	In re Lululemon Securities Litigation
1:13cv00790	McMahon	Defendant	9.9	Kopylay v. Cirrus Logic, Inc. et al
1:14cv02211	Engelmayer	Defendant	10.1	AG Funds, L.P. et al v. Sanofi et al
1:14cv05668	Scheindlin	Defendant	10.6	Erie Group LLC et al v. Guyaba Capital, LLC et al
1:13cv02316	Scheindlin	Defendant	10.7	Portnoy v. Niubo et al
1:13cv05808	McMahon	Defendant	10.7	Frank v. Linco, LLC et al
1:13cv04016	Sweet	Defendant	10.7	Lowinger v. Morgan Stanley & Co. LLC et al
1:13cv05309	McMahon	Defendant	11.4	The Stollberg Family Trust v. Linn Energy LLC et al
1:15cv02476	Woods	Defendant	11.7	Olagues v. Icahn et al
1:15cv02478	Woods	Defendant	11.8	Olagues v. Icahn et al
1:13cv03119	Berman	Defendant	11.8	Davison et al v. Ventrus Biosciences, Inc. et al

1:13cv04875	McMahon	Defendant	11.9	Donio et al v. Linn Energy, LLC et al
1:12cv06154	Cote	Defendant	11.9	Shareholder Representative Services LLC v. Sandoz Inc. et al
1:13cv01307	Forrest	Defendant	11.9	Park v. Keryx Biopharmaceuticals, Inc. et al
1:14cv09709	Forrest	Defendant	12.1	Stadnick v. Vivint Solar, Inc. et al
1:14cv00287	Oetken	Defendant	12.3	Sodhi v. Gentium S.p.A. et al
1:13cv00448	Sweet	Defendant	12.6	Turner v. MagicJack VocalTec Ltd. et al
1:13cv03899	Forrest	Defendant	12.6	Macatte v. Magnum Hunter Resources Corp. et al
1:14cv00646	Berman	Defendant	12.6	Doscher v. Sobel & Co., L.L.C. et al
1:14cv09283	Forrest	Defendant	12.6	Stadnick v. Vivint Solar, Inc. et al
1:13cv00842	Scheindlin	Defendant	12.7	Monroe County Employees' Retirement System v. YPF Sociedad Anonima et al
1:13cv00755	Forrest	Defendant	12.7	In re Keryx Biopharmaceuticals, Inc., Securities Litigation
1:13cv08846	Schofield	Defendant	12.9	Megly et al v. Turquoise Hill Resources Ltd. et al
1:15cv01476	Engelmayer	Defendant	13.0	Lopez v. Ctpartners Executive Search Inc. et al
1:13cv03446	Forrest	Defendant	13.1	Pappas v. Magnum Hunter Resources Corporation et al
1:14cv09624	Castel	Defendant	13.1	In re Sanofi Securities Litigation
1:13cv08991	Engelmayer	Defendant	13.3	Stasiulewicz v. Sanofi Pharmaceuticals, Inc. et al
1:13cv08806	Engelmayer	Defendant	13.6	IN RE SANOFI SECURITIES LITIGATION
1:13cv02969	Forrest	Defendant	13.7	Atchley v. Magnum Hunter Resources Corporation et al
1:11cv08466	Oetken	Defendant	13.8	Hastings v. Agnico-Eagle Mines Limited et al
1:13cv00760	Crotty	Defendant	13.9	Brautigam v. Blankfein et al
1:13cv02766	Forrest	Defendant	14.0	Foster v. Magnum Hunter Resources Corporation et al
1:13cv02668	Forrest	Defendant	14.0	In re Magnum Hunter Resources Corporation Securities Litigation
1:14cv06069	Schofield	Defendant	14.1	In re EDAP TMS S.A. Securities Litigation
1:12cv01513	Forrest	Defendant	14.2	Sinay v. CNOOC Limited et al
1:12cv00336	Oetken	Defendant	14.5	Loginovskaya v. Batratchenko et al
1:13cv04507	Furman	Defendant	14.5	Hensley v. IEC Electronics Corp. et al
1:14cv04321	Furman	Defendant	14.5	Flynn et al v. Bank Of America Corporation et al
1:14cv05012	Broderick	Defendant	14.9	Zweiman v. AXA Equitable Life Insurance Company

1:14cv03608	Furman	Defendant	15.3	Harel Insurance Co, Ltd. v. Bats Global Markets, Inc. et al
1:11cv07133	Oetken	Defendant	15.4	Peters v. Jinkosolar Holding Co., Ltd. et al
1:14cv09906	Daniels	Defendant	15.4	Fialkov v. Alcobra Ltd. et al
1:13cv08759	Nathan	Defendant	15.5	Silberstein v. Aetna, Inc. et al
1:13cv08364	Crotty	Defendant	15.5	Medina v. Tremor Video, Inc. et al
1:12cv03553	Buchwald	Defendant	15.7	City of Taylor General Employees Retirement System v. Magna International Inc. et al
1:14cv03133	Furman	Defendant	15.9	American European Insurance Company v. Bats global markets, inc. et al
1:13cv07972	Griesa	Defendant	16.2	Tran v. Blackberry Limited et al
1:14cv02811	Furman	Defendant	16.3	City of Providence, Rhode Island v. Bats Global Markets, Inc. et al
1:13cv07804	Sullivan	Defendant	16.8	West Palm Beach Police Pension Fund et al v. Francesca's Holding Corporation et al
1:13cv07132	Griesa	Defendant	17.2	Kohanim v. Blackberry Limited et al
1:13cv07060	Griesa	Defendant	17.4	Pearlstein v. Blackberry Limited et al
1:12cv04924	Forrest	Defendant	17.9	C.D.T.S. No. 1 and A.T.U. Local 1321 Pension Plan v. UBS AG et al
1:14cv01786	Kaplan	Defendant	17.9	Dweck et al v. Fairway Group Holdings Corp. et al
1:14cv00232	Hellerstein	Defendant	17.9	Woebel v. INTL FCStone Inc. et al
1:13cv05543	Berman	Defendant	18.1	Harbinger Capital Partners LLC et al v. Deere & Company et al
1:13cv06882	Sullivan	Defendant	18.1	Ortuzar v. Francesca's Holdings Corporation et al
1:14cv05477	Koeltl	Defendant	18.2	Barger v. Lions Gate Entertainment Corp. et al
1:14cv05197	Koeltl	Defendant	18.5	In Re: LIONS GATE ENTERTAINMENT CORP. SECURITIES LITIGATION
1:14cv01015	Kaplan	Defendant	18.7	Paul v. Fairway Group Holdings Corp. et al
1:14cv00950	Kaplan	Defendant	18.8	In re Fairway Group Holdings Corp. Securities Litigation
1:12cv03497	Cote	Defendant	19.1	IN RE AOL, INC. REPURCHASE OFFER LITIGATION
1:13cv05697	Crotty	Defendant	19.1	In re Molycorp. Inc. Securities Litigation
1:14cv00945	Caproni	Defendant	19.5	Sears v. Amtrust Financial Services Inc. et al
1:14cv00736	Caproni	Defendant	19.8	Harris v. Amtrust Financial Services, Inc. et al

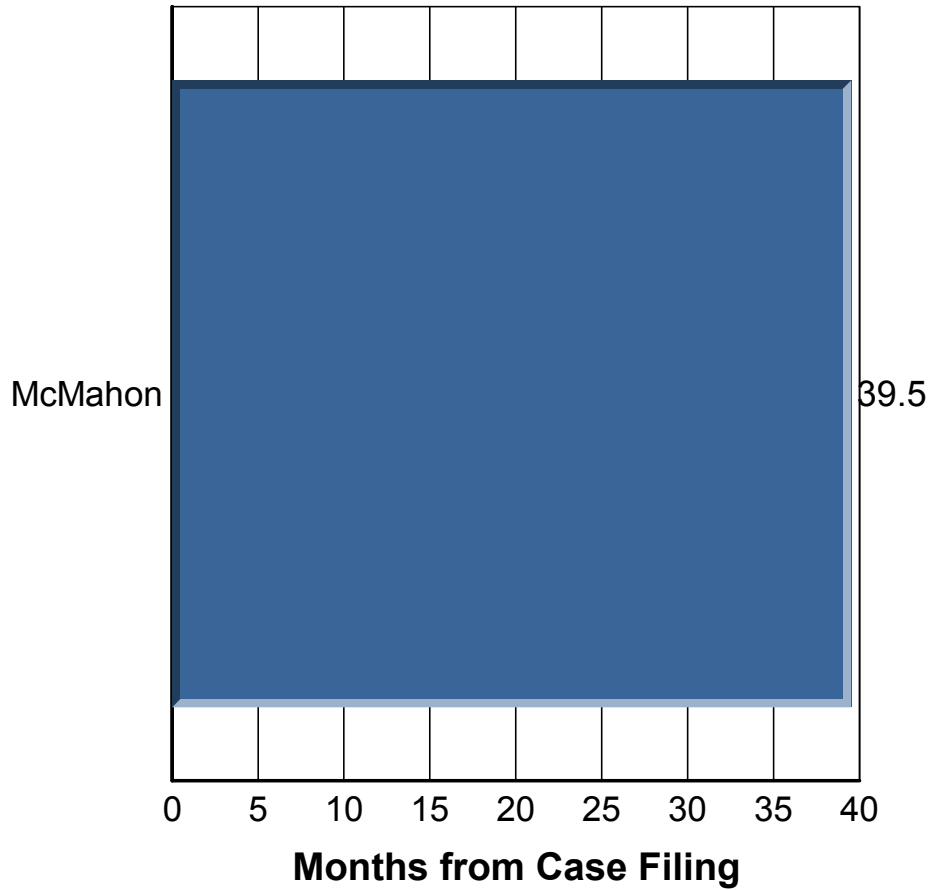
1:13cv09100	Ramos	Defendant	20.5	Elstein v. Net 1 UEPS Technologies Inc et al
1:12cv04839	Daniels	Defendant	21.2	In re Lone Pine Resources, Inc., 12-cv-4839-GBD
1:12cv03185	Batts	Defendant	21.3	Locals 302 and 612 Of The International Union Of Operating Engineers-Employers Construction Industry Retirement Fund et al v. SAIC, Inc. et al
1:11cv04068	Sullivan	Defendant	21.5	IN RE RESEARCH IN MOTION LIMITED SECURITIES LITIGATION
1:12cv02807	Stanton	Defendant	21.7	Percoco v. Carbo Ceramics, Inc. et al
1:13cv06180	Ramos	Defendant	23.1	In re Petrochina Company Ltd. Securities Litigation
1:12cv01353	Batts	Defendant	23.3	In re SAIC, Inc. Securities Litigation
1:13cv06883	Swain	Defendant	23.4	Dempsey v. Vieau et al
1:12cv01034	Stanton	Defendant	23.7	Henderson v. Carbo Ceramics, Inc. et al
1:12cv00672	Forrest	Defendant	24.3	Lattimore v. GLG Life Tech Corporation et al
1:12cv06166	Stanton	Defendant	24.8	Federal Deposit Insurance Corporation As Receiver For Colonial Bank v. Chase Mortgage Finance Corp. et al
1:12cv02307	Koeltl	Defendant	25.1	Silsby v. Icahn et al
1:14cv00919	Sullivan	Defendant	25.5	IN RE COTY INC. SECURITIES LITIGATION
1:12cv05124	Swain	Defendant	26.5	Scott et al v. Whitacre et al
1:12cv01041	Kaplan	Defendant	31.6	Jason v. Chen et al
1:10cv04430	Sweet	Defendant	33.8	Janbay et al v. Canadian Solar Inc. et al
1:12cv07581	Koeltl	Defendant	36.8	Millennium Partners, L.P. et al v. U.S. Bank National Association et al
1:12cv03166	Rakoff	Defendant	38.9	Hanson v. Frazer Frost, LLP et al
1:10cv07498	Schofield	Defendant	41.4	Bricklayers and Masons Local Union No. 5 Ohio Pension Fund v. Transocean Ltd. et al
1:10cv04552	Gardephe	Defendant	51.7	Cellular South, Inc. v. J.P. Morgan Securities, Inc. et al
1:10md02157	Gardephe	Defendant	51.7	IN RE: JP MORGAN AUCTION RATE SECURITIES (ARS) MARKETING LITIGATION

Jury Verdict

The number of Jury Verdict outcomes and the average time to termination by that outcome are shown below for the district and for each judge who has at least one such outcome.

Average Time to Termination

For Jury Verdict

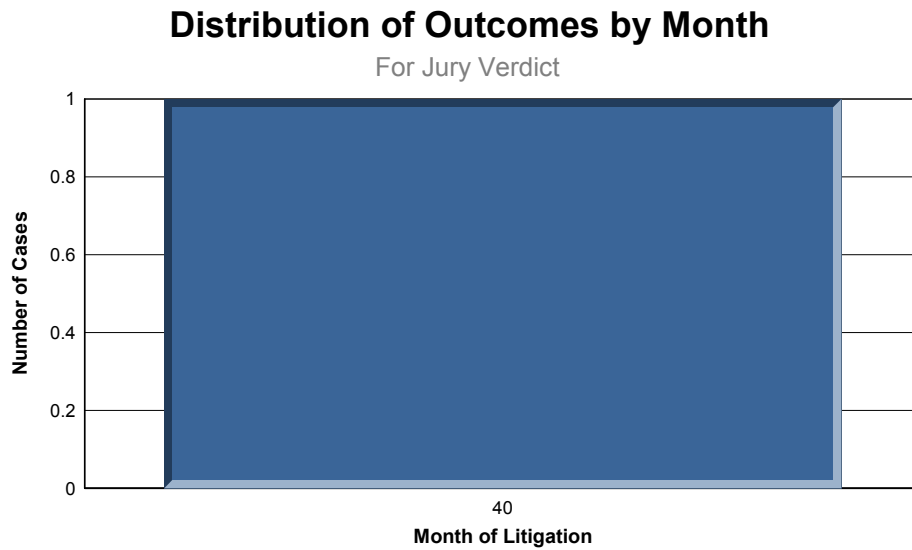


Jury Verdict

	Average Time to Termination	Number of Cases
District	39.5	1
McMahon	39.5	1

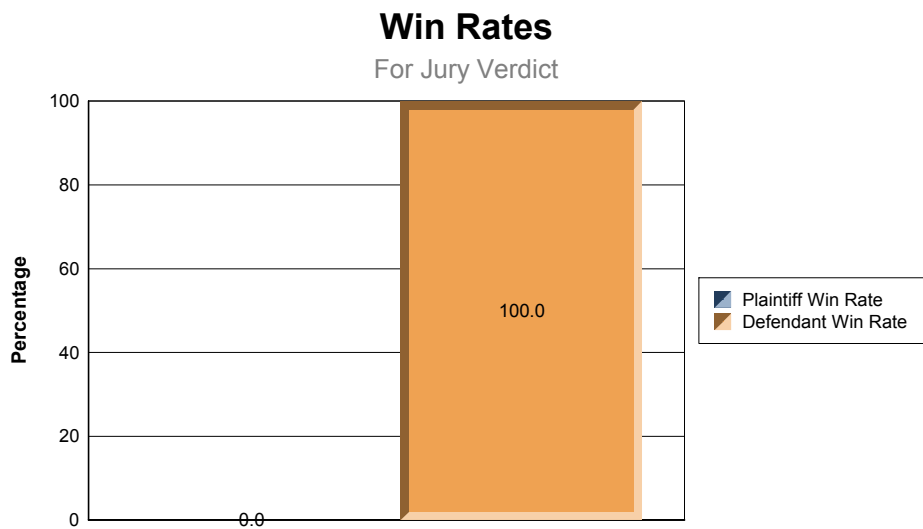
Jury Verdict

The distribution of these outcomes by month of litigation is shown below. Months with no outcomes are omitted from the chart.



Jury Verdict

The plaintiff and defendant win rates for cases with this outcome are shown below for the judges and the district as a whole.



Jury Verdict

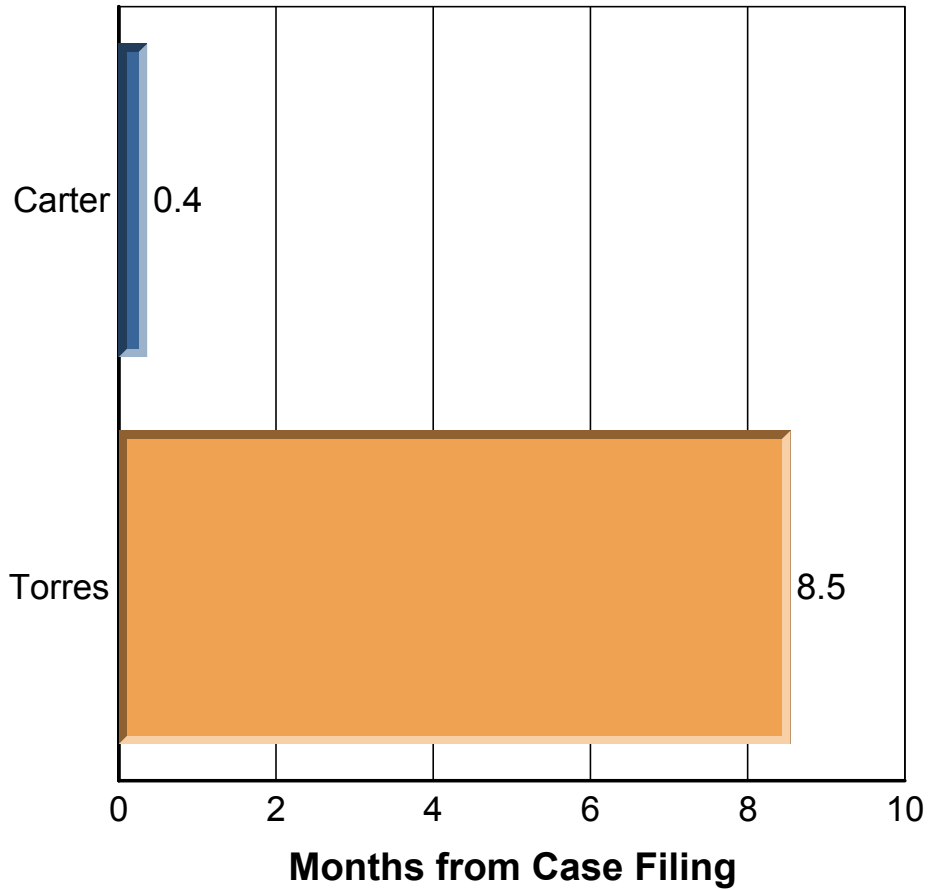
<u>Case Number</u>	<u>Judge</u>	<u>Prevailing Party</u>	<u>Pendency</u>	<u>Case Name</u>
1:12cv05966	McMahon	Defendant	39.5	Veleron Holding, B.V. v. BNP Paribas SA et al

Lack of Jurisdiction

The number of Lack of Jurisdiction outcomes and the average time to termination by that outcome are shown below for the district and for each judge who has at least one such outcome.

Average Time to Termination

For Lack of Jurisdiction

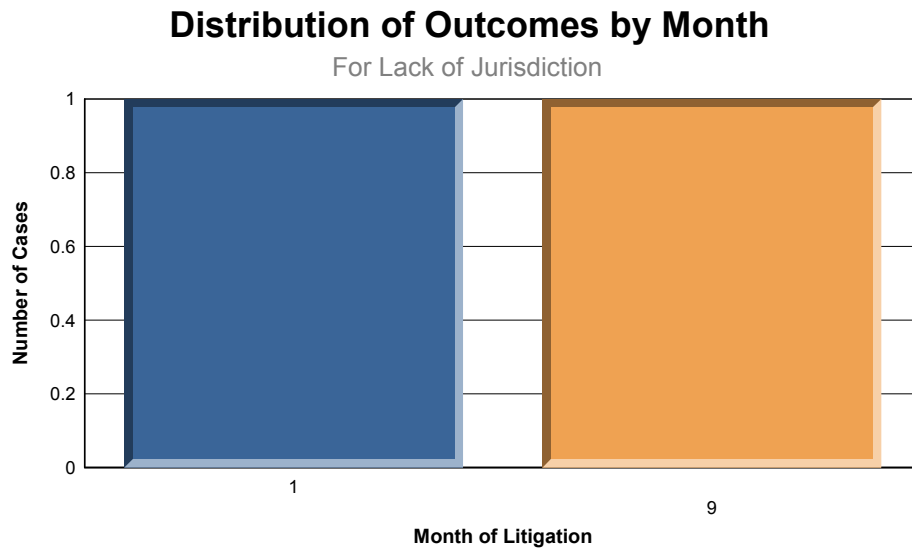


Lack of Jurisdiction

	Average Time to Termination	Number of Cases
District	4.5	2
Carter	0.4	1
Torres	8.5	1

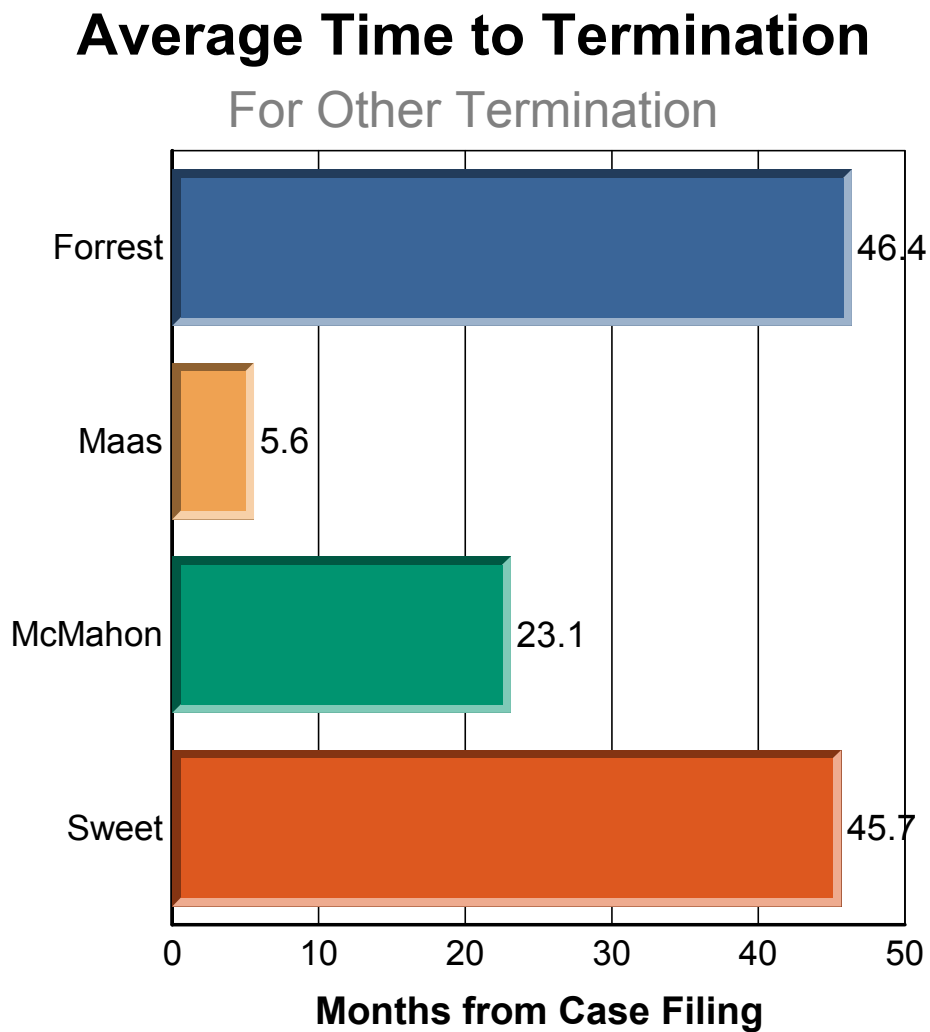
Lack of Jurisdiction

The distribution of these outcomes by month of litigation is shown below. Months with no outcomes are omitted from the chart.



Other Termination

The number of Other Termination outcomes and the average time to termination by that outcome are shown below for the district and for each judge who has at least one such outcome.

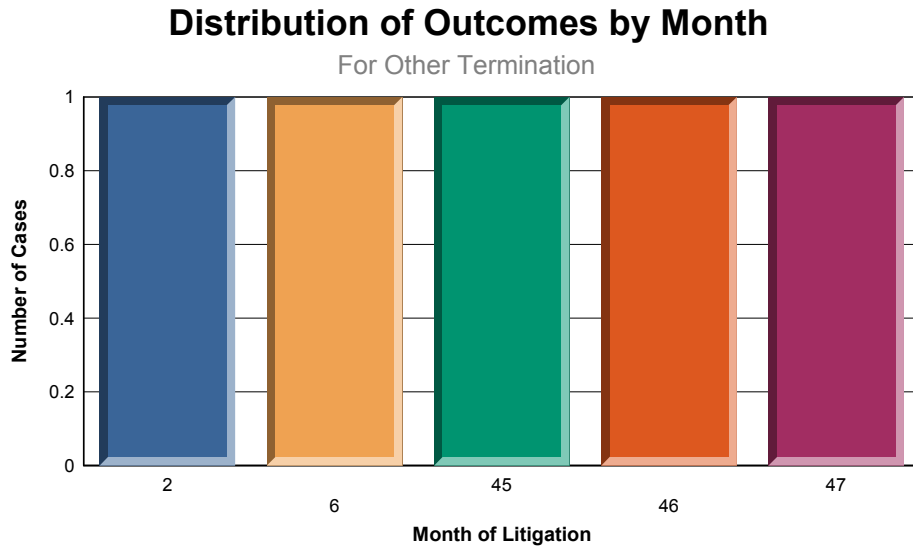


Other Termination

	Average Time to Termination	Number of Cases
District	28.8	5
Forrest	46.4	1
Maas	5.6	1
McMahon	23.1	2
Sweet	45.7	1

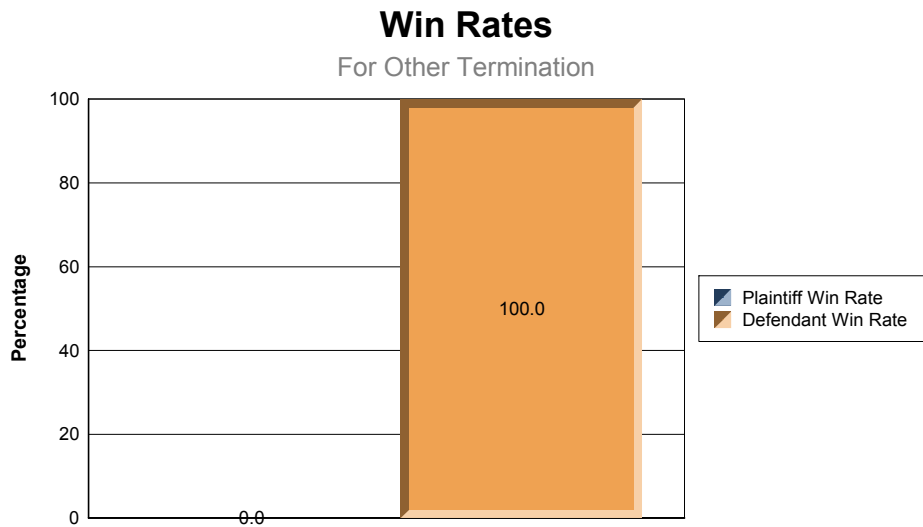
Other Termination

The distribution of these outcomes by month of litigation is shown below. Months with no outcomes are omitted from the chart.



Other Termination

The plaintiff and defendant win rates for cases with this outcome are shown below for the judges and the district as a whole.



Other Termination

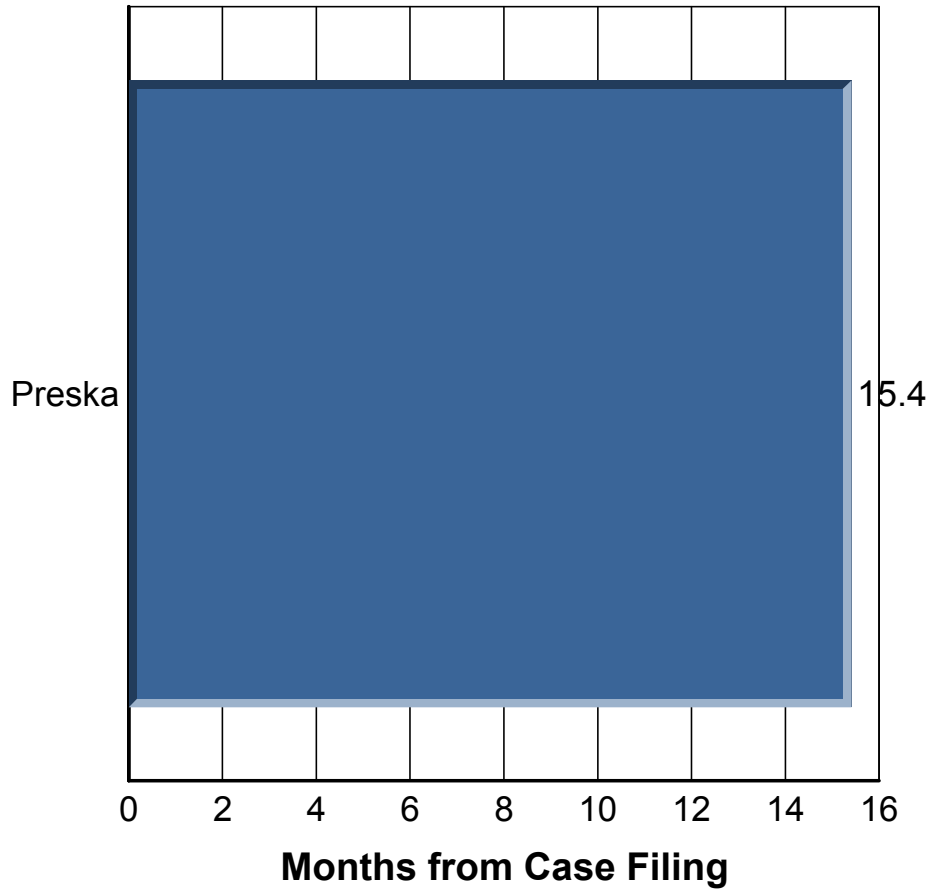
<u>Case Number</u>	<u>Judge</u>	<u>Prevailing Party</u>	<u>Pendency</u>	<u>Case Name</u>
1:11cv05643	Sweet	Defendant	45.7	Vivine H Wang v. The Bear Stearns Companies LLC et al

Referral to Arbitration

The number of Referral to Arbitration outcomes and the average time to termination by that outcome are shown below for the district and for each judge who has at least one such outcome.

Average Time to Termination

For Referral to Arbitration

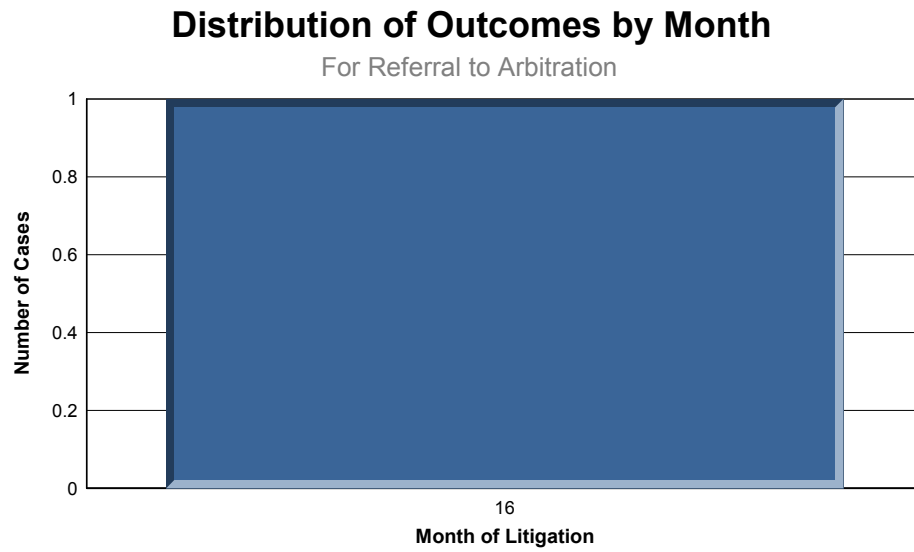


Referral to Arbitration

	Average Time to Termination	Number of Cases
District	15.4	1
Preska	15.4	1

Referral to Arbitration

The distribution of these outcomes by month of litigation is shown below. Months with no outcomes are omitted from the chart.

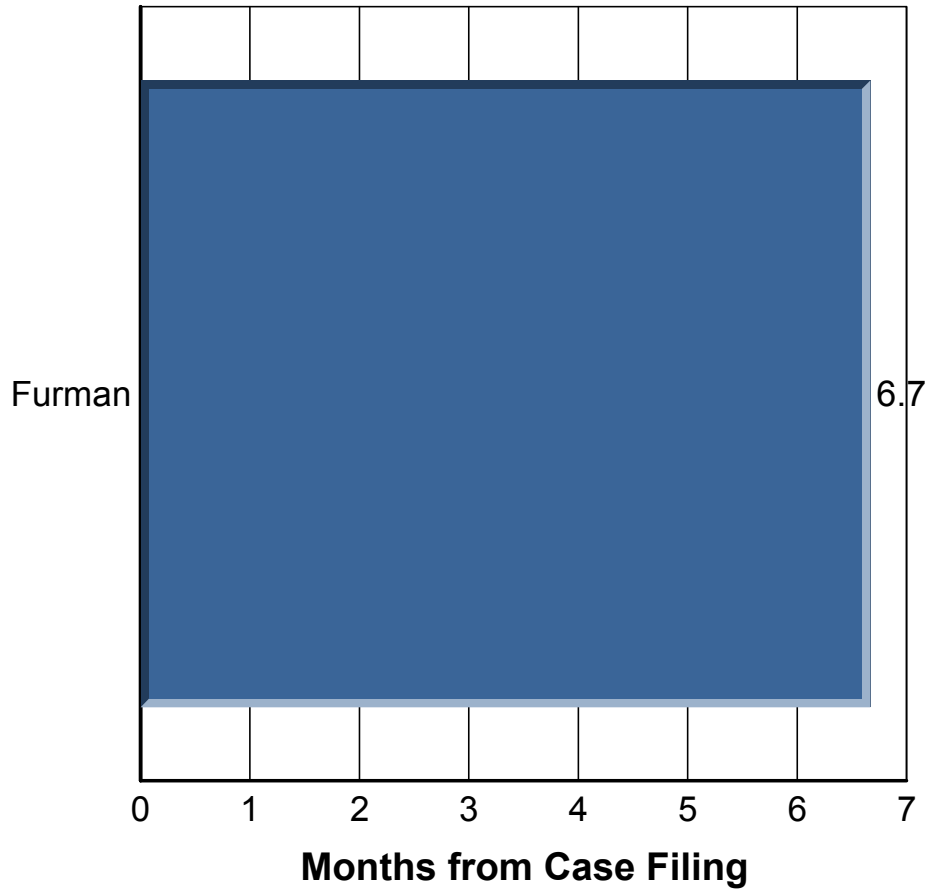


Remand to State Court

The number of Remand to State Court outcomes and the average time to termination by that outcome are shown below for the district and for each judge who has at least one such outcome.

Average Time to Termination

For Remand to State Court

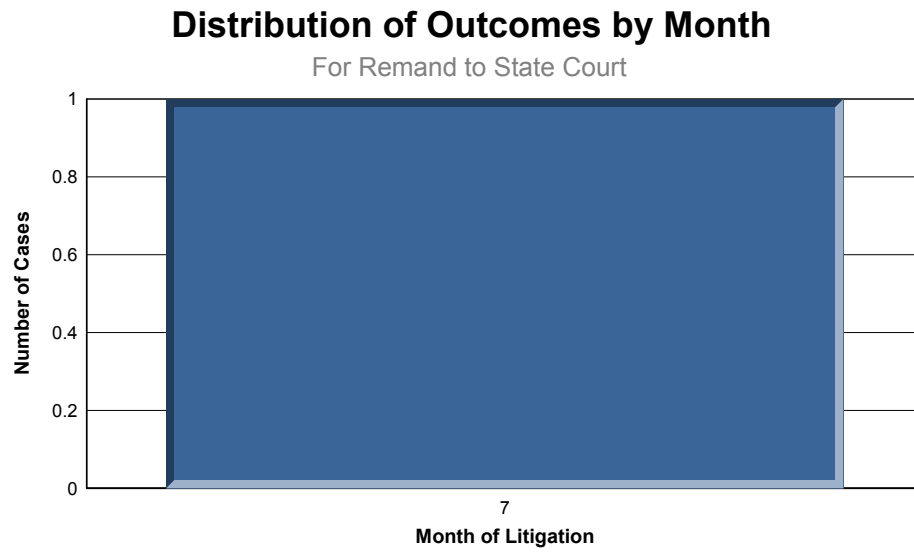


Remand to State Court

	Average Time to Termination	Number of Cases
District	6.7	1
Furman	6.7	1

Remand to State Court

The distribution of these outcomes by month of litigation is shown below. Months with no outcomes are omitted from the chart.

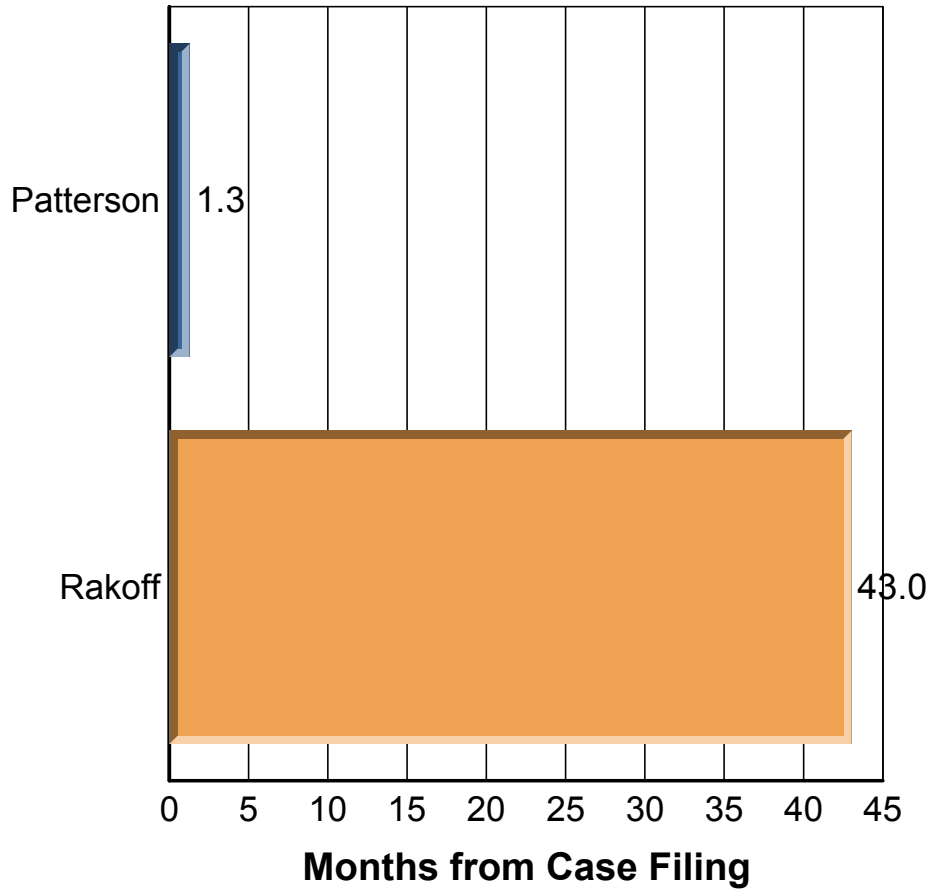


Summary Judgment

The number of Summary Judgment outcomes and the average time to termination by that outcome are shown below for the district and for each judge who has at least one such outcome.

Average Time to Termination

For Summary Judgment

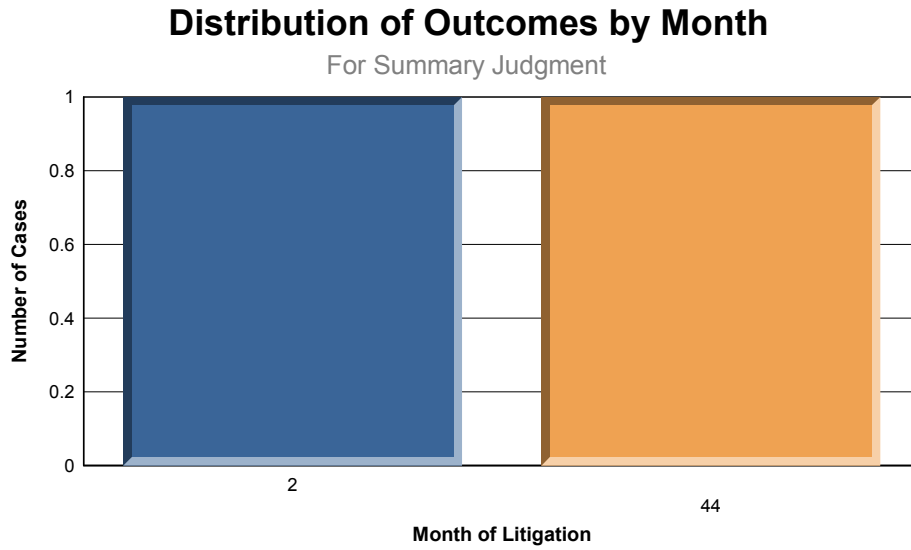


Summary Judgment

	Average Time to Termination	Number of Cases
District	22.2	2
Patterson	1.3	1
Rakoff	43.0	1

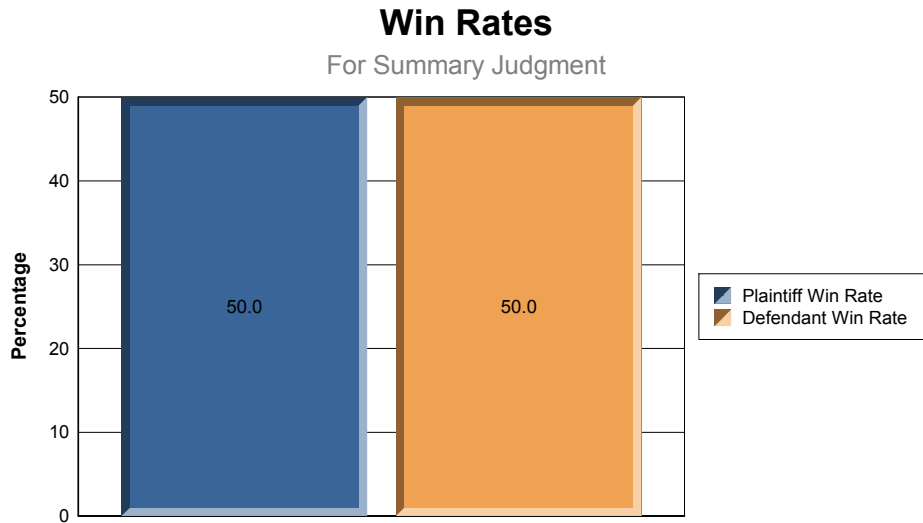
Summary Judgment

The distribution of these outcomes by month of litigation is shown below. Months with no outcomes are omitted from the chart.



Summary Judgment

The plaintiff and defendant win rates for cases with this outcome are shown below for the judges and the district as a whole.

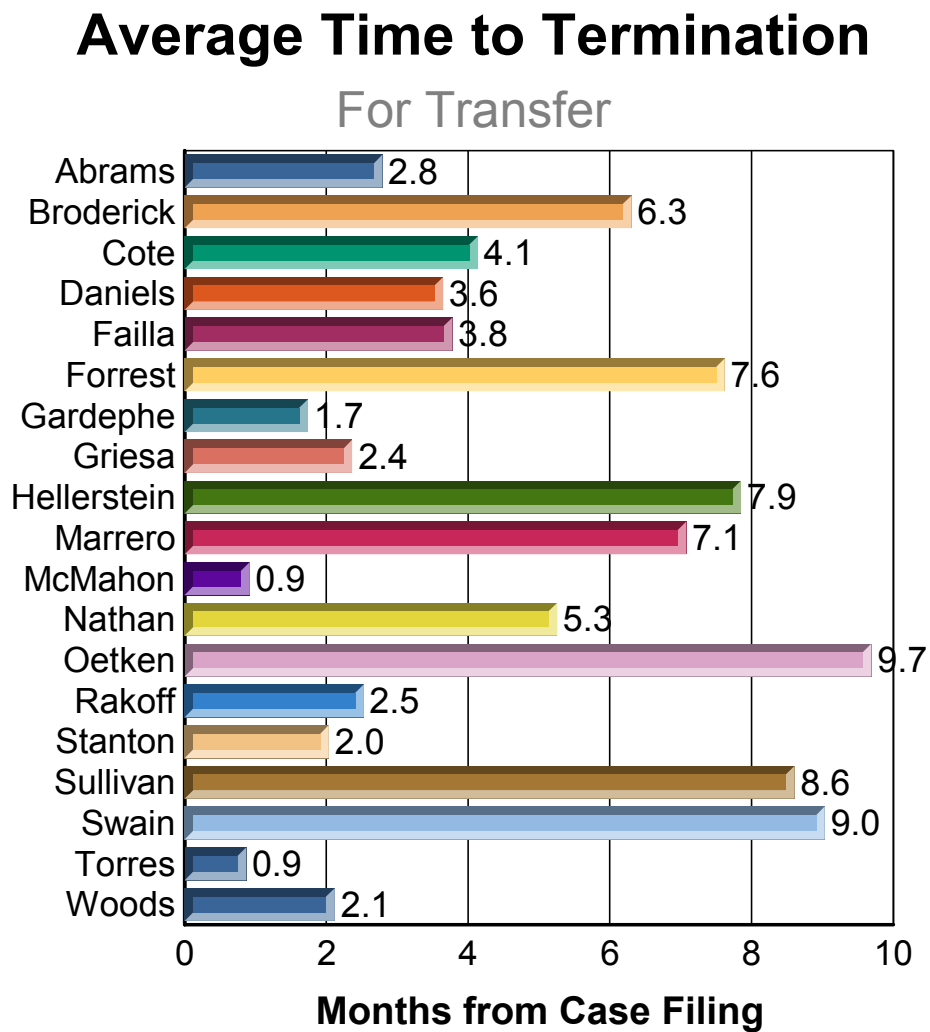


Summary Judgment

<u>Case Number</u>	<u>Judge</u>	<u>Prevailing Party</u>	<u>Pendency</u>	<u>Case Name</u>
1:13cv05608	Patterson	Plaintiff	1.3	Dugaw et al v. Suntech Power Holdings Co., Ltd.
1:11cv09665	Rakoff	Defendant	43.0	Gordon v. Sonar Capital Management LLC et al

Transfer

The number of Transfer outcomes and the average time to termination by that outcome are shown below for the district and for each judge who has at least one such outcome.

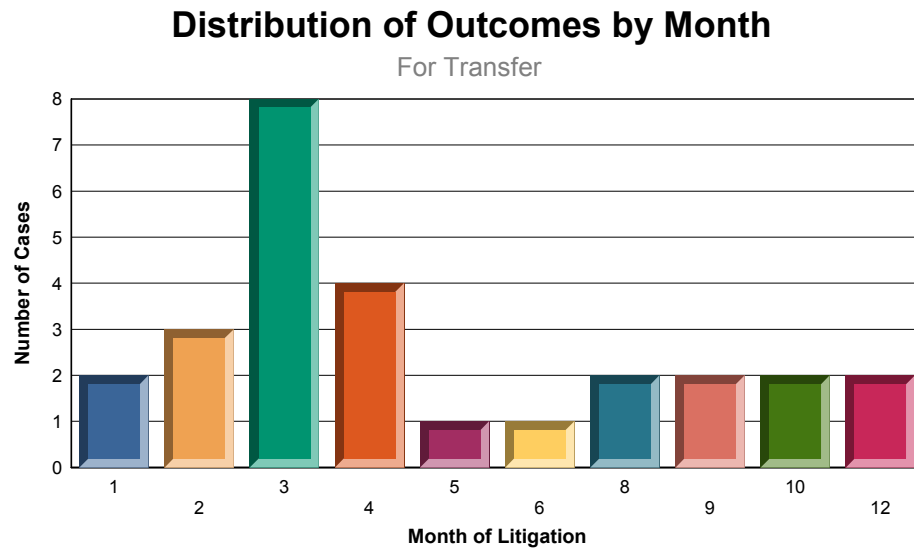


Transfer

	Average Time to Termination	Number of Cases
District	4.5	27
Abrams	2.8	2
Broderick	6.3	2
Cote	4.1	1
Daniels	3.6	1
Faila	3.8	2
Forrest	7.6	1
Gardephe	1.7	1
Griosa	2.4	1
Hellerstein	7.9	1
Marrero	7.1	2
McMahon	0.9	1
Nathan	5.3	1
Oetken	9.7	1
Rakoff	2.5	1
Stanton	2.0	2
Sullivan	8.6	1
Swain	9.0	2
Torres	0.9	2
Woods	2.1	2

Transfer

The distribution of these outcomes by month of litigation is shown below. Months with no outcomes are omitted from the chart.



Awards and Settlement Amounts

The case names and judges for each award or settlement amount found (if any) are shown in the following tables. Caution: Awards and settlement amounts not shown in the dockets are not included.

	Average	Median
Total	43,361,219	6,000,000
Confirmation of Arbitration	102,160	102,160
Consent Judgment	57,270,865	2,025,000
Consolidated	576,725	576,725
Default Judgment	91,902,673	2,243,433
Other Settlement	35,160,054	8,500,000
Summary Judgment	10,000	10,000

<u>Case Number</u>	<u>Case Name</u>	<u>Date of Award or Settlement</u>	<u>Judge</u>	<u>Case Outcomes</u>	<u>Award Amounts</u>
1:13cv05608	Dugaw et al v. Suntech Power Holdings Co., Ltd.	9/20/2013	Patterson	Summary Judgment	10,000.00
1:13cv04263	Blaylock Robert Van, LLC v. KWE Capital Management LLC et al	9/3/2013	Marrero	Consolidated	576,725.00
1:14cv02025	U.S. Commodity Futures Trading Commission v. SK Madison commodities, LLC et al	6/9/2014	Stein	Default Judgment	2,486,865.00
1:15cv06939	Rubenstein v. HC2 Holdings, Inc. et al	12/3/2015	Scheindlin	Consent Judgment	150,000.00
1:13cv06982	Max Great Technology Co., Ltd v. Maxray Optical Technology Co., Ltd	1/17/2014	Scheindlin	Confirmation of Arbitration Award	102,160.00
1:15cv03004	Sangamo Biosciences, Inc. v. RA Capital Healthcare Fund, L.P. et al	8/20/2015	Crotty	Other Settlement	14,500,000.00
1:14cv00298	Merrill Lynch, Pierce, Fenner & Smith Incorporated v. 3 C Capital LLC et al	10/2/2014	Wood	Default Judgment	228,126.00
1:15cv04928	Roth v. Ra Capital Management, LLC et al	3/15/2016	Pauley	Other Settlement	15,750,000.00
1:14cv08353	Donoghue v. Achillion Pharmaceuticals, Inc. et al	7/13/2015	Crotty	Other Settlement	10,400,000.00
1:15cv01492	Donoghue v. Northwest Biotherapeutics, Inc. et al	12/2/2015	Failla	Other Settlement	948,681.00
1:14cv08709	BCM Energy Partners, Inc. v. Black Diamond Capital Appreciation Fund, L.P. et al	8/27/2015	Woods	Default Judgment	2,000,000.00
1:13cv06879	U.S. Commodity Futures Trading Commission v. Brooks	8/1/2014	Wood	Consent Judgment	500,000.00
1:14cv03860	In re L&M Energy Inc Securities Litigation	8/3/2015	Peck	Other Settlement	3,500,000.00
1:14cv07640	Donoghue et al v. Retrophin, Inc. et al	12/2/2015	Ramos	Consent Judgment	2,025,000.00
1:14cv06383	Donoghue v. Netsol Technologies, Inc., et al	11/18/2015	Crotty	Other Settlement	123,197.00

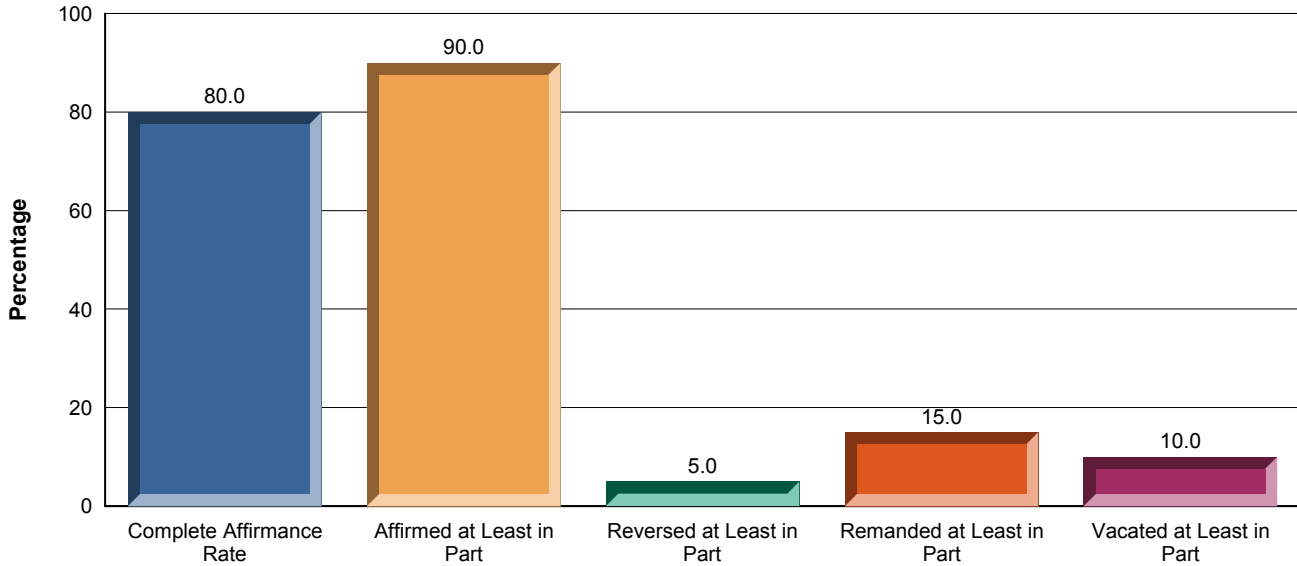
1:13cv02546	Construction Laborers Pension Trust of Greater St. Louis v. Autoliv, Inc. et al	10/29/2014	Oetken	Other Settlement	22,500,000.00
1:13cv07204	Uni-World Capital, L.P. et al v. Preferred Fragrance, Inc. et al	6/8/2015	Engelmayer	Other Settlement	3,500,000.00
1:13cv06016	Bai v. Lightinthebox Holding Co., Ltd. et al	5/8/2015	Caproni	Other Settlement	1,600,000.00
1:13cv06704	In re: L & L ENERGY, INC. SECURITIES LITIGATION	8/3/2015	Peck	Other Settlement	3,500,000.00
1:13cv06168	U.S. Securities and Exchange Commission v. Feldstein et al	7/17/2015	Gardephe	Default Judgment	220,143.00
1:11cv07673	McKenna et al v. Smart Technologies, Inc. et al	9/17/2013	Forrest	Other Settlement	15,250,000.00
1:13cv07183	Arkansas Teacher Retirement System v. Bankrate Inc. et al	9/22/2015	Rakoff	Other Settlement	18,000,000.00
1:13cv06726	National Credit Union Administration Board v. RBS Securities, Inc. et al	9/21/2015	Cote	Other Settlement	129,600,000.00
1:13cv02287	U.S. Commodity Futures Trading Commission v. 4X Solutions, Inc. et al	4/17/2015	Berman	Default Judgment	10,980,904.00
1:11cv01638	Harborview Value Master Fund, L.P. et al v. Freeline Sport, Inc. et al	4/29/2013	McMahon	Consent Judgment	1,262,787.00
1:13cv08216	Simmons v. Spencer et al	1/28/2016	Sweet	Other Settlement	1,500,000.00
1:13cv06705	National Credit Union Administration Board v. Morgan Stanley & Co., Inc. et al	1/28/2016	Cote	Other Settlement	225,000,000.00
1:13cv07608	In re NQ Mobile, Inc. Securities Litigation	3/11/2016	Pauley	Other Settlement	5,100,000.00
1:13cv03116	IN RE DELCATH SYSTEMS, INC. SECURITIES LITIGATION	10/22/2015	Schofield	Other Settlement	8,500,000.00
1:11cv07132	The City of Providence v. Aeropostale, Inc. et al	5/9/2014	McMahon	Other Settlement	15,000,000.00
1:12cv02497	Commodity Futures Trading Commission v. Royal Bank of Canada	12/18/2014	Hellerstein	Consent Judgment	35,000,000.00
1:11cv07387	U.S. Securities and Exchange Commission v. Citigroup Global Markets Inc.	8/5/2014	Rakoff	Other Settlement	285,000,000.00
1:11cv07320	Van Dongen v. Cninsure Inc. et al	8/15/2014	Broderick	Other Settlement	6,625,000.00
1:11cv05794	In re Enher1, Inc. Securities Litigation	6/18/2014	Crotty	Other Settlement	4,200,000.00
1:11cv01895	Chaudhuri v. China Media Express Holdings, Inc. et al	1/17/2014	Marrero	Default Judgment	535,500,000.00
1:12cv02322	Goldberg v. Nevsun Resources Ltd. et al	2/13/2015	Gardephe	Other Settlement	6,000,000.00
1:13cv01620	In Re ITT Educational Services, Inc. Securities Litigation	3/8/2016	Oetken	Other Settlement	16,962,500.00
1:12cv01873	U.S. Commodity Futures Trading Commission v. Welsh	6/17/2015	Pauley	Consent Judgment	500,000.00

1:12cv05724	Sax v. New Oriental Education & Technology Group, Inc. et al	11/9/2015	Koeltl	Other Settlement	4,500,000.00
1:12cv00086	Fox v. Camelot Information Systems, Inc. et al	7/1/2015	Gardephe	Other Settlement	2,750,000.00
1:12cv02121	Freedman v. Weatherford International Ltd. et al	11/4/2015	Kaplan	Other Settlement	120,000,000.00
1:12cv01203	City of Austin Police Retirement System v. Kinross Gold Corporation et al	10/15/2015	Caproni	Consent Judgment	33,000,000.00
1:12cv05329	Gusinsky v. Barclays PLC et al	3/14/2016	Scheindlin	Other Settlement	14,000,000.00
1:11cv08861	Wallace v. Intralinks Holdings, Inc. et al	11/12/2015	Griesa	Other Settlement	14,000,000.00
1:11cv07866	Deangelis v. Corzine et al	11/25/2015	Marrero	Other Settlement	129,500,000.00
1:11cv03600	IN RE: CRUDE OIL COMMODITY FUTURES LITIGATION	1/21/2016	Forrest	Other Settlement	16,500,000.00
1:10cv04273	Waxman v. Moore Capital Management, LP et al	2/27/2015	Pauley	Other Settlement	5,392,500.00
1:10cv03617	In Re: Platinum and Palladium Commodities Litigation	2/27/2015	Pauley	Consent Judgment	43,000,000.00
1:10cv07838	Hill v. China-Biotics, Inc. et al	9/10/2015	Crotty	Other Settlement	1,400,000.00
1:10cv03864	Jones et al v. Pfizer, Inc. et al	7/30/2015	Hellerstein	Consent Judgment	400,000,000.00
1:10cv06523	In re: DG FASTCHANNEL, INC. SECURITIES LITIGATION	3/2/2016	Sullivan	Other Settlement	2,000,000.00
1:10cv02515	In re FUQI INTERNATIONAL, INC SECURITIES LITIGATION	2/19/2016	Batts	Other Settlement	7,500,000.00
1:09cv03708	Meridian Horizon Fund, LP et al v. Tremont Group Holdings, Inc. et al	6/5/2015	Griesa	Other Settlement	100,000,000.00

Appeals

The number of rulings on appeal in these cases and the rulings themselves are found in the table below. The Complete Affirmance Rate (the number of appeals which were affirmed with no other ruling, divided by the total number of appeals decision-not counting dismissed and pending appeals), the percentage of appeal rulings which affirmed the lower court at least in part, the percentage which reversed this court at least in part, the percentage which remanded this court at least in part, and the percentage which vacated this court at least in part are shown in the chart immediately below.

Appeal Outcomes



	Total
Affirmed	16
Affirmed,Reversed	1
Affirmed,Vacated,Remanded	1
Dismissed	19
Pending	20
Remanded	1
Vacated,Remanded	1

<u>Case Name</u>	<u>Case Number</u>	<u>Judge</u>	<u>Result of Appeal</u>
Silsby v. Icahn et al	1:12cv02307	Koeltl	Affirmed
Gavin/Solmonese LLC et al v. D'Arnaud-Taylor et al	1:13cv06400	Preska	Affirmed
Santos-Buch v. Financial Industry Regulatory Authority	1:14cv00651	Scheidlin	Affirmed
Janbay et al v. Canadian Solar Inc. et al	1:10cv04430	Sweet	Affirmed
Harbinger Capital Partners LLC et al v. Deere & Company et al	1:13cv05543	Berman	Affirmed
The City of Providence v. Aeropostale, Inc. et al	1:11cv07132	McMahon	Affirmed
Scott et al v. Whitacre et al	1:12cv05124	Swain	Affirmed
Medina v. Tremor Video, Inc. et al	1:13cv08364	Crotty	Affirmed
Brautigam v. Blankfein et al	1:13cv00760	Crotty	Affirmed
Central Laborers Pension Fund et al v. Dimon et al	1:14cv01041	Crotty	Affirmed
IN RE RESEARCH IN MOTION LIMITED SECURITIES LITIGATION	1:11cv04068	Sullivan	Affirmed
U.S. Commodity Futures Trading Commission v. Parnon Energy Inc. et al	1:11cv03543	Forrest	Affirmed
IN RE: CRUDE OIL COMMODITY FUTURES LITIGATION	1:11cv03600	Forrest	Affirmed
Sinay v. CNOOC Limited et al	1:12cv01513	Forrest	Affirmed
C.D.T.S. No. 1 and A.T.U. Local 1321 Pension Plan v. UBS AG et al	1:12cv04924	Forrest	Affirmed
Loginovskaya v. Batratchenko et al	1:12cv00336	Oetken	Affirmed
Sawabeh Information Services Company et al v. Brody et al	1:11cv04164	Scheidlin	Affirmed,Reversed
In re SAIC, Inc. Securities Litigation	1:12cv01353	Batts	Affirmed,Vacated,Remanded
IN RE AOL, INC. REPURCHASE OFFER LITIGATION	1:12cv03497	Cote	Dismissed
Dugaw et al v. Suntech Power Holdings Co., Ltd.	1:13cv05608	Patterson	Dismissed
Gordon v. Sonar Capital Management LLC et al	1:11cv09665	Rakoff	Dismissed
Donoghue v. Patterson Companies, Inc. et al	1:13cv02033	Rakoff	Dismissed
Forward Industries, Inc. v. Wise et al	1:14cv05365	Rakoff	Dismissed
Vivine H Wang v. The Bear Stearns Companies LLC et al	1:11cv05643	Sweet	Dismissed
Turner v. MagicJack VocalTec Ltd. et al	1:13cv00448	Sweet	Dismissed
Veleron Holding, B.V. v. BNP Paribas SA et al	1:12cv05966	McMahon	Dismissed

In Re: Platinum and Palladium Commodities Litigation	1:10cv03617	Pauley	Dismissed
City of Taylor General Employees Retirement System v. Magna International Inc. et al	1:12cv03553	Buchwald	Dismissed
Singh v. Schikan et al	1:14cv05450	Buchwald	Dismissed
In re Lone Pine Resources, Inc., 12-cv-4839-GBD	1:12cv04839	Daniels	Dismissed
Cartica Management, LLC et al v. Corpbanca S.A. et al	1:14cv02258	Castel	Dismissed
Ortuzar v. Francesca's Holdings Corporation et al	1:13cv06882	Sullivan	Dismissed
West Palm Beach Police Pension Fund et al v. Francesca's Holding Corporation et al	1:13cv07804	Sullivan	Dismissed
Donoghue v. Dole Food Company, Inc. et al	1:13cv01224	Engelmayer	Dismissed
Uni-World Capital, L.P. et al v. Preferred Fragrance, Inc. et al	1:13cv07204	Engelmayer	Dismissed
Gordon et al v. Ramot-At-Tel-Aviv-University et al	1:13cv05105	Torres	Dismissed
Zweiman v. AXA Equitable Life Insurance Company	1:14cv05012	Broderick	Dismissed
Pearlstein v. Blackberry Limited et al	1:13cv07060	Griesa	Pending
Millennium Partners, L.P. et al v. U.S. Bank National Association et al	1:12cv07581	Koeltl	Pending
In Re: LIONS GATE ENTERTAINMENT CORP. SECURITIES LITIGATION	1:14cv05197	Koeltl	Pending
Federal Deposit Insurance Corporation As Receiver For Colonial Bank v. Chase Mortgage Finance Corp. et al	1:12cv06166	Stanton	Pending
SRM Global Master Fund Limited Partnership v. The Bear Stearns Companies L.L.C. et al	1:13cv02692	Sweet	Pending
Lowinger v. Morgan Stanley & Co. LLC et al	1:13cv04016	Sweet	Pending
Waxman v. Moore Capital Management, LP et al	1:10cv04273	Pauley	Pending
Deangelis v. Corzine et al	1:11cv07866	Marrero	Pending
In re Molycorp. Inc. Securities Litigation	1:13cv05697	Crotty	Pending
Agostini v. U.S. Securities and Exchange Commission	1:15cv09595	Carter	Pending
In re Magnum Hunter Resources Corporation Securities Litigation	1:13cv02668	Forrest	Pending
In re Lululemon Securities Litigation	1:13cv04596	Forrest	Pending
Stadnick v. Vivint Solar, Inc. et al	1:14cv09283	Forrest	Pending

City of Providence, Rhode Island v. Bats Global Markets, Inc. et al	1:14cv02811	Furman	Pending
In Re: Barclays Liquidity Cross and High Frequency Trading Litigation	1:14md02589	Furman	Pending
IN RE SANOFI SECURITIES LITIGATION	1:13cv08806	Engelmayer	Pending
AG Funds, L.P. et al v. Sanofi et al	1:14cv02211	Engelmayer	Pending
In re Petrochina Company Ltd. Securities Litigation	1:13cv06180	Ramos	Pending
Bricklayers and Masons Local Union No. 5 Ohio Pension Fund v. Transocean Ltd. et al	1:10cv07498	Schofield	Pending
Harris v. Amtrust Financial Services, Inc. et al	1:14cv00736	Caproni	Pending
Meridian Horizon Fund, LP et al v. Tremont Group Holdings, Inc. et al	1:09cv03708	Griesa	Remanded
U.S. Securities and Exchange Commission v. Citigroup Global Markets Inc.	1:11cv07387	Rakoff	Vacated, Remanded

Jury Demands

The number of jury demands by party type is shown below.

