



Issue Date: 03 May 2011

CASE NO: 2010-SOX-00053

In the Matter of:

MARK KATZENBERGER,
Complainant,

v.

BANK OF MONTREAL,
HARRIS FINANCIAL CORPORATION, and
SULLIVAN, BRUYETTE, SPEROS & BLANEY, INC.,
d/b/a/ HARRIS SBSB,
Respondents.

ORDER APPROVING SETTLEMENT AGREEMENT AND DISMISSING COMPLAINT

This proceeding arises from a complaint filed by Mark Katzenberger against the Bank of Montreal, Harris Financial Corporation, and Sullivan, Bruyette Speros & Blaney, Inc., d/b/a/ Harris SBSB, alleging violation of § 806 of the Corporate and Criminal Fraud Accountability Act of 2002, 18 U.S.C. § 1514A (“the Act”). The parties have submitted a Settlement Agreement (the “Agreement”) that became fully executed on April 12, 2011 and resolves the Complainant’s action. To the extent the Agreement contains provisions that may relate to actions by Complainant or Respondent under any other statute, the instant order makes no determination regarding the propriety of such provisions. Having reviewed the Agreement with regard to the complaint under the Act, I make the following findings:

1. The Agreement appears to be fair and reasonable on its face and to effectuate the purposes and policies of the Act;
2. The Complainant is deemed to have waived any further proceedings before the U.S. Department of Labor regarding the matters which are the subject of the Agreement; and
3. The instant Order shall have the same force and effect as one made after a full hearing on the merits.

Based on the foregoing, and in accordance with the terms of the Agreement, it is ORDERED that:

1. The Agreement is APPROVED pursuant to 29 U.S.C. § 1980.111(d)(2); and
2. The complaint in this matter is DISMISSED with prejudice.

SO ORDERED.

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PAUL C. JOHNSON, JR.
Administrative Law Judge