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9 **UNITED STATES DISTRICT COURT**
10 **CENTRAL DISTRICT OF CALIFORNIA**
11 **Western Division**

12 **SECURITIES AND EXCHANGE**
13 **COMMISSION,**

14 Plaintiff,

15 vs.

16 **RALPH T. IANNELLI and ESSEX**
17 **CAPITAL CORPORATION,**

18 Defendants.

Case No. 2:18-cv-05008-FMO-AFM

**REPORT OF PRELIMINARY
ACCOUNTING OF DEFENDANT
ESSEX CAPITAL CORPORATION
AND RECOMMENDATIONS;
DECLARATION OF COURT-
APPOINTED MONITOR GEOFF
WINKLER**

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20 In accordance with Section X of this Court’s October 1, 2018, the court-
21 appointed monitor, Geoff Winkler, has prepared the enclosed written report
22 containing a preliminary accounting for Defendant Essex and a recommendation as to
23 whether the monitorship should be converted to a permanent receivership, whether
24 the monitorship should continue or be expanded, or whether the monitorship should
25 be limited or terminated.

26 Because the court-appointed monitor has not yet retained counsel, and in an
27 effort to minimize the cost and expense of the monitorship, Plaintiff Securities and
28 Exchange Commission is electronically filing this Report of Preliminary Accounting

1 of Defendant Essex Capital Corporation and Recommendations, and declaration in
2 support thereof on behalf of the court-appointed monitor, Geoff Winkler. *See*
3 Attachment 1.

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6 Dated: December 6, 2018

7 */s/ Douglas M. Miller*
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9 DOUGLAS M. MILLER
10 Attorney for Plaintiff
11 Securities and Exchange Commission
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PROOF OF SERVICE

I am over the age of 18 years and not a party to this action. My business address is:

U.S. SECURITIES AND EXCHANGE COMMISSION,
444 S. Flower Street, Suite 900, Los Angeles, California 90071
Telephone No. (323) 965-3998; Facsimile No. (213) 443-1904.

On December 6, 2018, I caused to be served the document entitled **REPORT OF PRELIMINARY ACCOUNTING OF DEFENDANT ESSEX CAPITAL CORPORATION AND RECOMMENDATIONS; DECLARATION OF COURT-APPOINTED MONITOR GEOFF WINKLER** on all the parties to this action addressed as stated on the attached service list:

OFFICE MAIL: By placing in sealed envelope(s), which I placed for collection and mailing today following ordinary business practices. I am readily familiar with this agency’s practice for collection and processing of correspondence for mailing; such correspondence would be deposited with the U.S. Postal Service on the same day in the ordinary course of business.

PERSONAL DEPOSIT IN MAIL: By placing in sealed envelope(s), which I personally deposited with the U.S. Postal Service. Each such envelope was deposited with the U.S. Postal Service at Los Angeles, California, with first class postage thereon fully prepaid.

EXPRESS U.S. MAIL: Each such envelope was deposited in a facility regularly maintained at the U.S. Postal Service for receipt of Express Mail at Los Angeles, California, with Express Mail postage paid.

HAND DELIVERY: I caused to be hand delivered each such envelope to the office of the addressee as stated on the attached service list.

UNITED PARCEL SERVICE: By placing in sealed envelope(s) designated by United Parcel Service (“UPS”) with delivery fees paid or provided for, which I deposited in a facility regularly maintained by UPS or delivered to a UPS courier, at Los Angeles, California.

ELECTRONIC MAIL: By transmitting the document by electronic mail to the electronic mail address as stated on the attached service list.

E-FILING: By causing the document to be electronically filed via the Court’s CM/ECF system, which effects electronic service on counsel who are registered with the CM/ECF system.

FAX: By transmitting the document by facsimile transmission. The transmission was reported as complete and without error.

I declare under penalty of perjury that the foregoing is true and correct.

Date: December 6, 2018

/s/ Douglas M. Miller
DOUGLAS M. MILLER

1 **SEC v. RALPH T. IANNELLI, et al.**
2 **United States District Court—Central District of California**
3 **Case No. 2:18-cv-05008-FMO-AFM**

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