

**FILED**

**MAY 02 2016**

**STATE BAR COURT  
CLERK'S OFFICE  
LOS ANGELES**

THE STATE BAR OF CALIFORNIA  
OFFICE OF THE CHIEF TRIAL COUNSEL  
CHARLES A. MURRAY  
845 South Figueroa Street  
Los Angeles, California 90017-2515  
Telephone: (213) 765-1000

IN THE STATE BAR COURT OF THE STATE BAR OF CALIFORNIA

IN THE MATTER OF THE CONVICTION OF:  <b>ROBERT LEE WALDMAN,</b> <b>No. 120397,</b>  A Member of the State Bar.	) Case No. 09-C-10290 ) ) Transmittal of Records of Conviction of Attorney (Bus. & Prof. ) Code §§ 6101-6102; Cal. Rules of Court, rule 9.5 et seq.) ) ) [ X] Felony; ) [X] Crime(s) involved moral turpitude; ) [ ] Probable cause to believe the crime(s) involved moral ) turpitude; ) [ ] Crime(s) which may or may not involve moral turpitude or ) other misconduct warranting discipline; ) [ X] Transmittal of Notice of Finality of Conviction.
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To the CLERK OF THE STATE BAR COURT:

1. Transmittal of records.

- [X] A. Pursuant to the provisions of Business and Professions Code, section 6101-6102 and California Rules of Court, rule 9.5 et seq., the Office of the Chief Trial Counsel transmits a certified copy of the record of convictions of the following member of the Bar and for such consideration and action as the Court deems appropriate:
- [ ] B. Notice of Appeal
- [X] C. Evidence of Finality of Conviction (Minutes/Docket)
- [X] D. Other

Name of Member: ROBERT LEE WALDMAN

Date member admitted to practice law in California: December 10, 1985

Member's Address of Record: Supplement Regulation Specialist  
1 Silver Fir  
Irvine, CA 92604

2. Date and court of conviction; offense(s).

The record of conviction reflects that the above-named member of the State Bar was convicted as follows:

Date of entry of conviction: December 18, 2014



Convicting court: Superior Court, County of Orange

Case number(s): 09ZF0072

Crime(s) of which convicted and classification(s): Violation of Corporations Code §25110 (Unlawfully Sell or Offer to Sell Security in an Issuer Transaction without Qualification), a count added by interlineation, a felony involving moral turpitude analogous to *In re Murphy* (1975) 15 Cal.3d 533, in which the Respondent was convicted of Corporations Code §25540 (Unlawfully Sell or Offer to Sell Security without a Stock Permit),

[ X ] 3. Compliance with Rule 9.20. (Applicable only if checked.)

We bring to the Court's attention that, should the Court enter an order of interim suspension herein, the Court may wish to require the above-named member to comply with the provisions of rule 9.20, California Rules of Court, paragraph (a), within 30 days of the effective date of any such order; and to file the affidavit with the Clerk of the State Bar Court provided for in paragraph (c) of rule 9.20 within 40 days of the effective date of said order, showing the member's compliance with the provisions of rule 9.20.

[ X ] 4. Other information to assist the State Bar Court

At sentencing on February 27, 2015, the remaining charges: Corporations Code §25401 (Fraud in the Offer or Sale of a Security), a felony, three counts; Penal Code 487(a) (Grand Theft), a felony, three counts; and Corporations Code §25541(a) (Fraudulent Securities Scheme), a felony, one count, were dismissed. Because the court clerk has declined to complete the State Bar's Notice of Lack of Appeal form, the complete docket certified on February 17, 2016 is being presented as proof that no party has filed an appeal within 30 days after pronouncement of Judgment on February 27, 2015 (See Cal. Rules of Court, rule 8.853) or within 60 days after pronouncement of Judgment (See Cal. Rules of Court, rule 8.308).

DOCUMENTS TRANSMITTED:

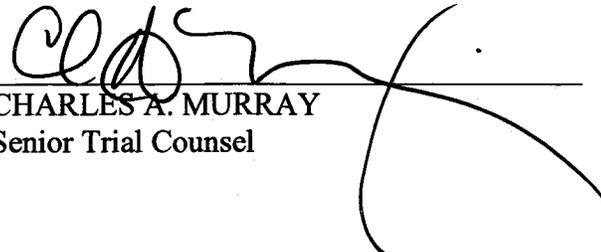
Certified Indictment  
Certified Plea  
Certified Minutes/Docket

THE STATE BAR OF CALIFORNIA  
OFFICE OF THE CHIEF TRIAL COUNSEL

DATED:

4/29/2016

BY:

  
CHARLES A. MURRAY  
Senior Trial Counsel

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**DECLARATION OF SERVICE BY CERTIFIED MAIL**

**CASE NUMBER: 09-C-10290**

I, the undersigned, over the age of eighteen (18) years, whose business address and place of employment is the State Bar of California, 845 South Figueroa Street, Los Angeles, California 90017, declare that I am not a party to the within action; that I am readily familiar with the State Bar of California's practice for collection and processing of correspondence for mailing with the United States Postal Service; that in the ordinary course of the State Bar of California's practice, correspondence collected and processed by the State Bar of California would be deposited with the United States Postal Service that same day; that I am aware that on motion of party served, service is presumed invalid if postal cancellation date or postage meter date on the envelope or package is more than one day after date of deposit for mailing contained in the affidavit; and that in accordance with the practice of the State Bar of California for collection and processing of mail, I deposited or placed for collection and mailing in the City and County of Los Angeles, on the date shown below, a true copy of the within

**TRANSMITTAL OF RECORDS OF CONVICTION OF ATTORNEY  
AND  
THE STATE BAR OF CALIFORNIA'S MOTION FOR SUMMARY DISBARMENT;  
MEMORANDUM OF POINTS AND AUTHORITIES**

in a sealed envelope placed for collection and mailing as certified mail, return receipt requested, Article No.: 9414 7266 9904 2010 0669 65, at Los Angeles, on the date shown below, addressed to:

**Robert Lee Waldman  
1 Silver Fir  
Irvine, CA 92604**

in an inter-office mail facility regularly maintained by the State Bar of California addressed to:

N/A

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct. Executed at Los Angeles, California, on the date shown below.

DATED: May 2, 2016

Signed:   
Lupe Pacheco  
Declarant