



Services, Inc. and JMS Investment Group, LLC.

3. Plaintiff, James A. Knauer (the "Receiver"), is the Receiver for Heartland Financial Services, Inc. ("Heartland") and JMS Investment Group, LLC ("JMS") appointed by the United States District Court for the Southern District of Indiana on August 21, 2000.

4. The Receiver is an Indiana resident.

5. Heartland is an Indiana corporation with its principal place of business in Indianapolis, Indiana.

6. JMS is an Indiana limited liability company with its principal place of business in Indianapolis, Indiana.

7. Defendant, Jonathon Roberts Financial Group, Inc. ("Jonathon Roberts") is a Florida corporation with its principal place of business at 13902 N. Dale Mabry Highway, Suite 103, Tampa, Florida 33618.

8. Upon information and belief, Defendant, Alliance Capital Management Corp. ("Alliance") was or is a Florida corporation with its principal place of business in Tampa, Florida.

9. Jonathon Roberts is a successor in interest in Alliance and is responsible for all debts and liabilities of Alliance.

10. Upon information and belief, Andover Securities, Inc. ("Andover") is or was a Kansas corporation with its principal place of business in Kansas.

11. Upon information and belief, Andover is a predecessor to Andover Brokerage, LLC and Andover Brokerage Corp. (collectively "Andover Brokerage") and Andover Brokerage is liable for all debt and liabilities of Andover.

12. Andover Brokerage is a New York limited liability company with its principal place

of business at 400 Rella Blvd., Montebello, New York, 10901.

13. FSC Securities, Corp. (“FSC”) is a Delaware corporation with its principal place of business at 2300 WindyRidge Parkway, Suite 1100, Atlanta, Georgia 30339.

14. FFP Securities, Inc. (“FFP”) is a Missouri corporation with its principal place of business at 15455 Conway Road, St. Louis, Missouri 63017-2022.

15. The acts, practices and course of business constituting the securities violations alleged in the Receiver’s Complaint herein occurred in material part in the Southern District of Indiana.

16. The amount in controversy exceeds \$75,000.00.

17. The District Court has jurisdiction over this action pursuant to Sections 20,21(e) and 27 of the Securities And Exchange Act of 1934, as amended (the “Exchange Act”) [15 U.S.C. §§ 78t, 78u(e) and 78aa] and pursuant to 28 U.S.C. § 1331, because they arise under the laws of the United States and the District Court has jurisdiction over all claims pursuant to the District Court’s supplemental jurisdiction defined by 28 U.S.C. § 1367. The District Court also has jurisdiction over all claims pursuant to the District Court’s diversity jurisdiction defined by 28 U.S.C. § 1332.

#### **Appellate Jurisdiction**

18. On September 30, 2002, the District Court, issued its Entry On Motions To Dismiss and entered a Judgment of Dismissal dismissing all claims in the case.

19. No motions have been filed to toll the time within which to appeal. The Receiver is filing his Notice of Appeal simultaneously with the filing of this Docketing Statement.

20. The United States Court of Appeals for the Seventh Circuit has appellate jurisdiction pursuant to 28 U.S.C. §§ 1291 and 1294.

Respectfully submitted,



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**Attorneys for Appellant, James A. Knauer,  
As Court Appointed Receiver for Heartland  
and JMS Investment Group, LLC**

**CERTIFICATE OF SERVICE**

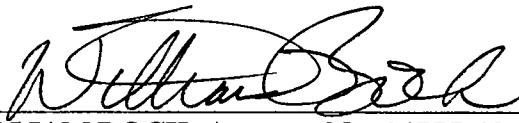
The undersigned hereby certifies that on the 29<sup>th</sup> day of October, 2002, a true and accurate copy of the above and foregoing pleading was served by depositing the same in the United States mail, first class, postage prepaid to:

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