

# United States Court of Appeals

For the Seventh Circuit

Chicago, Illinois 60604

## NOTICE OF DOCKETING APPEAL

Appeal No.: 02-3926

Date: November 6, 2002

TO: William Bock III, Esq.  
KROGER, GARDIS & REGAS  
Suite 900  
111 Monument Circle  
Bank One Building  
Indianapolis, IN 46204-0

Counsel of Record for the following Appellant(s):  
(This court's practice is to only list the first five parties per side.)

James A. Knauer

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Caption:

JAMES A. KNAUER, as the Court Appointed Receiver for  
HEARTLAND FINANCIAL SERVICES, INCORPORATED, JMS INVESTMENT  
GROUP, LLC,

Plaintiff - Appellant

v.

JONATHON ROBERTS FINANCIAL GROUP, INCORPORATED, ALLIANCE  
CAPITAL MANAGEMENT CORPORATION, ANDOVER SECURITIES,  
INCORPORATED, et al.,

Defendants - Appellees

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District Court Information:

No. 01 C 1168

Judge John D. Tinder

Southern District of Indiana, Indianapolis Division

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NOV 11 2002 10:00 AM  
U.S. DISTRICT COURT  
SOUTHERN DISTRICT OF INDIANA  
INDIANAPOLIS DIVISION

Date Notice of Appeal filed in District Court: 10/29/02  
Date Appeal docketed in Court of Appeals: 11/5/02

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Current Fee Status: pd

Pending Deadlines: Fee:  
Appellant's Brief: 12/16/02  
Docketing Statement:  
Transcript Information Sheet: 11/15/02

**NOTE:** This notice is issued to counsel of record, in furtherance of the revised Circuit Rule 3(d), to provide necessary information regarding this appeal. Please verify this notice for accuracy. Counsel are encouraged to provide a fax and/or e-mail address to the court. If any corrections are necessary, please indicate those corrections on this notice and return it to the Clerk's Office within ten days.

**THIS NOTICE SHALL NOT ACT AS A SUBSTITUTE FOR MOTIONS FOR NON-INVOLVEMENT/SUBSTITUTION OF COUNSEL. COUNSEL ARE STILL REQUIRED TO FILE THE APPROPRIATE MOTIONS.**

(1229-032897)