

**Form
19B**

**U.S. Securities and Exchange Commission
Administrative Law Judge
CATS - Events Transmittal**

Revision

1. Admin. Proceeding File No. 3-	2. Case Name		3. Signature
4. Event Date	5. Scheduled Date	6. Additional information (20 characters)	

7. Type of Event (Event Code)

- ALC Administrative Law Judge Decision Review/Comm.
- ALJ Administrative Law Judge Assigned
- ORA Oral Argument Before Administrative Law Judge
- ORD Administrative Law Judge Order
- 176 - Scheduling Hearing
- 204 - Extending Time for All Respondents to File Answers
- 461 - Changing Place of Hearing
- 462 - Permitting Brief in Excess of 60 Pages
- 463 - Designating Judge to Rule on Motions
- 464 - Rule 20(a)(4) Memo Taking Official Notice
- 465 - Extending Time to File Initial Decision
- 466 - Extending Time to File Post-Hearing Documents
- 467 - Changing Hour of Commencement of Hearing
- 468 - Scheduling Prehearing Conference, Scheduling Hearing and Designating Presiding Judge
- 469 - Designating Substitute Presiding Judge
- 470 - Cancelling Hearing
- 471 - Cancelling Hearing Without Prejudice
- 472 - Scheduling Hearing and Designating Presiding Judge
- 473 - Extending Time for Individual Named Respondents to File Answer
- 474 - Change in Dates for Answers to Motion
- 475 - Confidentiality Order
- 476 - Extension Order
- 477 - Findings and Order Imposing Remedial Sanctions
- 478 - Notice Concerning Prehearing Conference
- 479 - Notice of Hearing
- 480 - Notice of Ruling Change
- 481 - Notice of Telephone Conference
- 482 - Notice that Initial Decision has Become Final
- 483 - Opinion of the Commission
- 484 - Amending Prehearing Conference Order
- 485 - Changing Conference Date and Time
- 486 - Changing Hearing Date and Admitting Evidence
- 487 - On Conference Procedures
- 488 - Deferring Motion to Dismiss
- 489 - Denying Motion to Dismiss
- 490 - Denying Motion for a Prehearing Conference and Order Clarifying the Issues
- 491 - Denying Request to Postpone the Hearing
- 492 - Designating Presiding Judge
- 493 - Extending Procedural Dates
- 494 - Granting Motion to Postpone Scheduled Hearing
- 495 - Granting Stay

[continued on reverse side]

7. Type of Event (Event Code)

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- 496 - Granting Waiver of Page Limitation
- 497 - Imposing Remedial Sanctions
- 498 - Public Proceeding and Notice of Hearing Pursuant to Sections 15(b)(6) and
of the Securities Exchange Act of 1934
- 499 - Postponing Hearing and Setting New Procedural Dates
- 572 - Instituting Private Proceedings and Notice of Hearing Pursuant to Rule 2(e) of
Commission's Rules of Practice
- 573 - Pursuant to Remand
- 574 - Regarding Jencks Act Issues
- 575 - Regarding Length of Brief
- 576 - Respecting Motion to Quash Subpoenas
- 577 - Scheduling Prehearing Conference
- 578 - Setting New Filing Dates
- 579 - Setting New Hearing Date and Denying Motion to Sever
- 580 - Setting Prehearing Conference and Postponing Hearing
- 581 - Prehearing Conference Order
- 582 - Ruling on Admission of Exhibits and Deposition
- 583 - Rulings and Briefing Dates
- 584 - Supplementary Order Pursuant to Remand
- 585 - Stipulation and Order for the Withdrawal of Evidence
- 586 - Ruling on Motion
- 587 - Change in Procedural Schedule
- 588 - Correcting Prior Procedural Order
- 632 - Postponing Hearing
- 774 - Briefing Schedule