

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 75005 / May 20, 2015

INVESTMENT COMPANY ACT OF 1940
Release No. 31611 / May 20, 2015

Admin. Proc. File No. 3-16175

In the Matter of

KENNETH C. MEISSNER

NOTICE THAT INITIAL DECISION HAS BECOME FINAL

The time for filing a petition for review of the initial decision in this proceeding has expired. No such petition has been filed by Kenneth C. Meissner and the Commission has not chosen to review the decision on its own initiative.

Accordingly, notice is hereby given, pursuant to Rule 360(d) of the Commission's Rules of Practice,¹ that the initial decision of the administrative law judge has become the final decision of the Commission with respect to Kenneth C. Meissner.² The orders contained in that decision are hereby declared effective. The initial decision ordered that, a) pursuant to Section 21C of the Securities Exchange Act of 1934, Kenneth C. Meissner shall cease and desist from committing any violations or future violations of Sections 15(a)(1) of the Exchange Act; b) pursuant to Section 15(b) of the Exchange Act, Kenneth C. Meissner is permanently barred from associating with a broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization, and is permanently barred from participating in an offering of penny stock, including acting as a promoter, finder, consultant, agent, or other person who engages in activities with a broker, dealer, or issuer for purposes of the issuance or trading in any penny stock, or inducing or attempting to induce the purchase or sale of any penny stock; c) pursuant to Section 9(b) of the Investment Company Act of 1940, Kenneth C. Meissner is permanently prohibited from serving or acting as an employee, officer, director, member of an advisory board, investment adviser or

¹ 17 C.F.R. § 201.360(d).

² *Kenneth C. Meissner, James Doug Scott, and Mark S. "Mike" Tomich*, Initial Decision Release No. 768 (Apr. 7, 2015), 111 SEC Docket 05, 2015 WL 1534398.

depositor of, or principal underwriter for, a registered investment company, or affiliated person of such investment adviser, depositor, or principal underwriter; and d) pursuant to Sections 21B(e) and 21C(e) of the Exchange Act, and Section 9(e) of the Investment Company Act, Kenneth C. Meissner shall disgorge \$19,268.70.

For the Commission, by the Office of the General Counsel, pursuant to delegated authority.

Brent J. Fields
Secretary