ADMINISTRATIVE PROCEEDINGS RULINGS

ADMINISTRATIVE PROCEEDING
File No. 3-15514

In the Matter of:

DONALD J. ANTHONY, JR.,
FRANK H. CHIAPPONE,
RICHARD D. FELDMANN,
WILLIAM P. GAMELLO,
ANDREW G. GUZZETTI,
WILLIAM F. LEX,
THOMAS E. LIVINGSTON,
BRIAN T. MAYER,
PHILIP S. RABINOVICH, AND
RYAN C. ROGERS

ORDER ON EXHIBITS

The Securities and Exchange Commission (Commission) issued an Order Instituting Administrative and Cease-and-Desist Proceedings in this proceeding against ten respondents on September 23, 2013. In preparing the list of exhibits admitted, and exhibits offered but not allowed into evidence, I cannot find transcript pages reflecting that the exhibits, discussed below, were either offered and admitted or offered and refused. See 17 C.F.R. § 201.351(b).

Accordingly, I now ORDER that the following exhibits are ADMITTED: Division Exhibits 378, 396, 645-FINRA, and 701; Chiappone Exhibit 16; Guzzetti Exhibit 39; and Rabinovich, Mayer and Rogers Exhibits 66, 112, 513B, 733, 872, 898, Fowler 1, Fowler 2, Fowler 4, Fowler 5, Fowler 6, Fowler 7, Fowler 8, Fowler 9, Fowler 10, Fowler 11, Fowler 14, and Fowler 15. I FURTHER ORDER that: Division Exhibits 595A and 617, although offered at hearing, are NOT ADMITTED; and Respondent Chiappone must provide the Commission’s Office of the Secretary, by December 30, 2014, with a copy, in hardcopy, of Chiappone Exhibit 50, which was offered, but not admitted.

Brenda P. Murray
Chief Administrative Law Judge

1 Division Exhibit 705 is a video recording of Stephen Fowler’s deposition. The record supports that it was admitted, see Tr. 3848-49, but it was not then designated as Division Exhibit 705.