

UNITED STATES OF AMERICA  
Before the  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

ADMINISTRATIVE PROCEEDINGS RULINGS  
Release No. 3029/August 11, 2015

ADMINISTRATIVE PROCEEDING  
File No. 3-16706

In the Matter of  
  
SACHIN K. UPPAL

ORDER FOLLOWING PREHEARING  
CONFERENCE

On July 28, 2015, the Securities and Exchange Commission issued an Order Instituting Proceedings (OIP) against Sachin K. Uppal, pursuant to Section 203(f) of the Investment Advisers Act of 1940.

I held a prehearing conference yesterday, attended by Uppal and counsel for the Division of Enforcement. Based on an affidavit submitted by the Division, I determined that Uppal was served on August 4 and his Answer to the OIP's allegations is due August 24. *See* OIP at 2; 17 C.F.R. §§ 201.141(a)(2)(i), .220(b).

I ordered the following briefing schedule:

September 21, 2015: Motions for summary disposition are due.

October 19, 2015: Oppositions are due.

November 2, 2015: Replies, if any, are due.

Uppal was granted leave to file his own motion for summary disposition, but he is not required to do so.

A motion for summary disposition should include: 1) proposed findings of fact with citations to supporting evidence or documents; 2) proposed conclusions of law addressing, among any other issues, the statutory basis for this action under Section 203(f) of the Advisers Act and whether that basis is satisfied; 3) whether summary disposition is appropriate; and 4) whether sanctions are in the public interest. Summary disposition will not be granted without appropriate evidence and substantive analysis in support. *See Gary L. McDuff*, Exchange Act Release No. 74803, 2015 SEC LEXIS 1657, at \*11-14 (Apr. 23, 2015); *Ross Mandell*, Exchange Act Release No. 71668, 2014 SEC LEXIS 849, at \*7-8 (Mar. 7, 2014). An opposition responds to a motion for summary disposition and may set forth its own alternative findings and conclusions. A reply responds to an opposition.

The parties' submissions and any documents in support shall be filed with the Commission's Office of the Secretary in paper format, pursuant to Rules of Practice 151 and 152, 17 C.F.R. §§ 201.151, .152.<sup>1</sup> For each filing, an original and three copies shall be mailed to the Office of the Secretary, U.S. Securities and Exchange Commission, 100 F. Street N.E., Mail Stop 1090, Washington, D.C. 20549. Also, a copy shall be mailed to the other party.

Electronic courtesy copies of the parties' submissions should be emailed to [ALJ@sec.gov](mailto:ALJ@sec.gov) in PDF text-searchable format. Electronic copies of the parties' exhibits should not be combined into a single PDF file, but sent as separate attachments. Uppal is not required to send electronic copies.

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James E. Grimes  
Administrative Law Judge

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<sup>1</sup> The Rules are online at <http://www.sec.gov/about/rulesofpractice.shtml>.