

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

ADMINISTRATIVE PROCEEDINGS RULINGS

Release No. 4084/August 23, 2016

ADMINISTRATIVE PROCEEDING
File No. 3-16509

In the Matter of

EDWARD M. DASPIN, a/k/a “EDWARD (ED) MICHAEL”;
LUIGI AGOSTINI; and
LAWRENCE R. LUX

ORDER ON REVISIONS TO
RECORD INDEX

The Division of Enforcement has filed proposed corrections to the record index in this matter, which was issued by the Office of the Secretary on August 5, 2016. Some of the errors the Division proposes to remedy are not errors in the actual record index but instead appear to have resulted from the Division’s process of rendering a PDF document into a different format. Other proposed corrections concern descriptions used by the Office of the Secretary to identify documents, spelling errors, or the date the Office of the Secretary recorded a document’s filing. With the exceptions below, corrections along these lines will not be ordered. Likewise, removal of possibly duplicative filings will not be ordered.

In light of the Division’s proposed corrections, I ORDER the following additions to the record index:

- 11/05/2015: Respondent Daspin’s Motion for a 6-month extension of the scheduled hearing
- 12/07/2015: Respondent Daspin’s 18-page letter motion for summary disposition (emailed at 8:00 p.m. on 12/4/2015) (UNDER SEAL)
- 12/18/2015: Respondent Agostini’s Wells Submission (submitted in lieu of a prehearing brief)¹

¹ The Division proposed a date for this entry of “12/28/2015.” However, my office’s records indicate this document was received on the evening of December 18, 2015.

I also ORDER the following corrections to the record index:

- The second entry for February 16, 2016, describes an order to show cause answerable “On or before 2/26/15.” That date should be amended to read “2/26/16.”
- The third entry for February 16, 2016, lists a “Transcript of 1/11/16 Hearing.” It should instead list a “Transcript of 2/11/16 Hearing.”
- The entry for March 11, 2016, should be amended to read as follows:

“Ltr dated 3/11/16 to ALJ from Div re Response to Court’s Order Finding Resp Daspin in Default. Div requests leave to move for sanctions against Resp Daspin (fax/hard copy)”

The Office of the Secretary shall make these corrections to the record index, however, it need not issue a revised record index until after the close of the hearing as to Respondent Luigi Agostini.

James E. Grimes
Administrative Law Judge