

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

ADMINISTRATIVE PROCEEDINGS RULINGS
Release No. 4185/September 21, 2016

ADMINISTRATIVE PROCEEDING
File No. 3-16349

In the Matter of

BARBARA DUKA

ORDER FOLLOWING
PREHEARING CONFERENCE AND
SETTING PROCEDURAL
SCHEDULE

Yesterday, I held a telephonic prehearing conference during which the Division of Enforcement and counsel for Respondent jointly proposed a prehearing and hearing schedule. As discussed, I ADOPT the parties' proposed schedule, with modifications, as follows:

- October 14, 2016: The parties shall exchange and file (and provide my office with) witness lists and expert reports, and shall exchange (but not file or submit to my office) exhibit lists and pre-marked exhibits.
- October 21, 2016: The parties shall exchange and file (and provide my office with) supplemental witness lists and final exhibit lists (Joint, Division, and Respondent), and shall exchange (but not file or submit to my office) supplemental pre-marked exhibits. Supplemental exhibits or witnesses may be identified in good faith based on a party's review of the original witness or exhibit list submitted by the opposing party.
- October 26, 2016: Motions in *limine* and objections to exhibits or witnesses due.
- October 31, 2016: Oppositions to motions in *limine* and responses to objections to exhibits or witnesses due.
- November 7, 2016: Prehearing briefs and any stipulations due, and a final telephonic pre-hearing conference at 2:00 p.m. Eastern.
- November 21, 2016: Hearing commences in New York, NY, at a courtroom to be determined, and continues through November 22, 2016.
- December 5, 2016: Hearing resumes and continues, as necessary, through December 6, 2016.

December 19, 2016: Hearing resumes and continues, as necessary, through December 22, 2016.

January 3, 2017: Hearing resumes, and continues, as necessary, through January 6, 2017.

The parties are reminded that all filings must be filed in hard copy with the Office of the Secretary. *See* 17 C.F.R. §§ 201.151, .152. They are asked to always email courtesy copies of filings to alj@sec.gov in Word and in PDF text-searchable format. Electronic copies of exhibits should not be combined into a single PDF file, but sent as separate attachments, and should be provided in text-searchable format whenever practicable.

James E. Grimes
Administrative Law Judge