

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

ADMINISTRATIVE PROCEEDINGS RULINGS  
Release No. 4287/October 20, 2016

ADMINISTRATIVE PROCEEDING  
File No. 3-16649

In the Matter of

IRONRIDGE GLOBAL PARTNERS, LLC,  
IRONRIDGE GLOBAL IV, LTD.

ORDER FOLLOWING  
PREHEARING CONFERENCE

The United States District Court for the Northern District of Georgia enjoined this proceeding on November 17, 2015, prompting me to cancel the schedule then in place. *See Ironridge Glob. IV, Ltd. v. SEC*, 146 F.Supp. 3d 1294 (N.D. Ga. 2015); *Ironridge Glob. Partners, LLC*, Admin. Proc. Rulings Release No. 3329, 2015 SEC LEXIS 4759 (ALJ Nov. 17, 2015). On September 20, 2016, Plaintiffs in the district court action—Respondents in this proceeding—filed a notice of voluntary dismissal under Federal Rule of Civil Procedure 41(a)(1)(A)(i). *See Ironridge Glob. IV, Ltd. v. SEC*, No. 1:15-cv-2512 (N.D. Ga.), ECF No. 32. The district court’s docket reflects that on September 28, 2016, the court entered an order “approving” the notice of voluntary dismissal.

On October 19, 2016, I held a prehearing conference at which counsel for all parties appeared. The parties agreed that Respondents’ notice of voluntary dismissal was immediately effective. *See Matthews v. Gaither*, 902 F.2d 877, 880 (11th Cir. 1990). Operating under the notion that the district court’s September 28, 2016 order was merely ministerial in nature and that the district court’s injunction was dissolved before the September 27, 2016 effective date of the recent amendments to the Commission’s Rules of Practice, the parties proposed a procedural schedule based on the belief that some of the recent amendments do not apply to this proceeding. *See Amendments to the Commission’s Rules of Practice*, 81 Fed. Reg. 50212, 50212, 50229-30 (July 29, 2016) (to be codified at 17 C.F.R. pt. 201).

I adopt the parties’ proposed procedural schedule with some modifications, as follows:

November 10, 2016: Parties file responses to pending motions in limine

- November 28, 2016: Parties serve (but do not file) any amended exhibit and witness lists,<sup>1</sup> and exchange pre-marked copies of exhibits not previously exchanged
- December 5, 2016: Parties file objections to any amended exhibit or witness lists
- December 12, 2016: Parties file rebuttal expert reports
- February 1, 2017: Stipulations, admissions of fact, and requests for official notice
- February 14, 2017: Parties file prehearing briefs if desired
- February 14, 2017: Final telephonic prehearing conference at a time to be determined
- February 21, 2017: Hearing begins in Hearing Room 2 at Commission Headquarters, Washington, D.C.

As stated during the conference, I will not reconsider my prior rulings as to the hearing location unless the parties agree that the hearing should be held somewhere other than Washington, D.C. *See Ironridge Glob. Partners, LLC*, Admin. Proc. Rulings Release Nos. 3049, 2015 SEC LEXIS 3392 (ALJ Aug. 18, 2015); 2987, 2015 SEC LEXIS 3075 (ALJ July 28, 2015).

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James E. Grimes  
Administrative Law Judge

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<sup>1</sup> Although not included in the parties' scheduling proposal, given the intervening injunction and passage of time since their original lists were exchanged, the parties may exchange amended witness lists.