

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

ADMINISTRATIVE PROCEEDINGS RULINGS
Release No. 2155/December 19, 2014

ADMINISTRATIVE PROCEEDING
File No. 3-15514

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

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 701¹; 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.