

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

ADMINISTRATIVE PROCEEDINGS RULINGS
Release No. 3159 / September 22, 2015

ADMINISTRATIVE PROCEEDING
File No. 3-16706

In the Matter of

SACHIN K. UPPAL

ORDER EXTENDING ANSWER DUE DATE

The Securities and Exchange Commission instituted this proceeding on July 28, 2015, when it issued an Order Instituting Proceedings (OIP) under Section 203(f) of the Investment Advisers Act of 1940. At a prehearing conference held on August 10, I determined that Respondent Sachin K. Uppal was served on August 4 and his Answer to the OIP's allegations was due August 24. *Sachin K. Uppal*, Admin. Proc. Rulings Release No. 3029, 2015 SEC LEXIS 3265 (Aug. 11, 2015). I also set a briefing schedule for motions for summary disposition. *Id.*

On September 3, I issued an Order to Show Cause due to Uppal's failure to timely file an Answer to the OIP. *Sachin K. Uppal*, Admin. Proc. Rulings Release No. 3093, 2015 SEC LEXIS 3601. I also directed the Division of Enforcement to respond to Uppal's motion for extension, as it appeared that Uppal was requesting an extension of time to file an Answer on the basis that he had not received the Division's investigative file. *Id.* I noted that Uppal's motion did not include a certificate of service, and that it was not apparent why Uppal needed papers from the Division to Answer the OIP. *Id.*

On September 10, the Division filed a response, stating it had sent Uppal all non-privileged documents from its investigative file on September 4 and that it did not object to a reasonable extension of time for Uppal to file an Answer. On September 21, Uppal filed a response, confirming receipt of the Division's investigative file and stating that "[s]ince [he] is now in possession of the investigative file, a reasonable extension may be granted"

I extend the due date for Uppal's Answer to the OIP to October 2, 2015. No further extension will be granted. Uppal's response to the Division's motion for summary disposition remains due October 19, 2015.

James E. Grimes
Administrative Law Judge