

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

ADMINISTRATIVE PROCEEDINGS RULINGS  
Release No. 4181/September 20, 2016

ADMINISTRATIVE PROCEEDING  
File No. 3-17393

In the Matter of

CURTIS A. PETERSON

ORDER POSTPONING HEARING  
AND DIRECTING THE PARTIES  
TO HOLD AN INITIAL  
PREHEARING CONFERENCE

On August 23, 2016, the Securities and Exchange Commission issued an order instituting proceedings (OIP) against Respondent. Based on the return receipt provided by the Office of the Secretary, service of the OIP on Respondent appears to have occurred on August 26, 2016. On September 12, 2016, Respondent filed an answer asserting a number of affirmative defenses. A hearing is currently scheduled for September 29, 2016. On September 15, 2016, the Division of Enforcement filed a motion to postpone the hearing and schedule a telephonic prehearing conference.

I POSTPONE the hearing and direct the parties to hold an initial prehearing conference without the hearing officer by October 3, 2016, to discuss each numbered item in Rule of Practice 221(c), 17 C.F.R. § 201.221(c), including the date by which each item will be accomplished. By October 7, 2016, the parties shall file a joint prehearing conference statement which: (1) addresses each numbered item in Rule 221(c), including proposed due dates where applicable (the parties may denote that an item is “not applicable” in their filing); (2) confirms the date the OIP was served on Respondent in accordance with 17 C.F.R. § 201.141; (3) indicates whether Respondent waives his right to a hearing between thirty and sixty days after service of the OIP, *see* OIP at 6, 15 U.S.C. § 78u-3(b); (4) proposes a procedural schedule that will result in a hearing commencing approximately four months after service of the OIP; and (5) addresses the potential location and length of a hearing. Based on this statement, a subsequent prehearing conference with the hearing officer will be scheduled if appropriate. If the parties are unable to hold a prehearing conference by October 3, 2016, the Division shall notify my office before that date.

The parties should email courtesy copies of any filings in this proceeding in PDF text-searchable format and, when possible, in Word format, to [alj@sec.gov](mailto:alj@sec.gov).

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Jason S. Patil  
Administrative Law Judge