

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

ADMINISTRATIVE PROCEEDINGS RULINGS
Release No. 4331/November 8, 2016

ADMINISTRATIVE PROCEEDING
File No. 3-17507

In the Matter of

JOSEPH L. PITTERA, ESQ.

ORDER DIRECTING PARTIES
TO HOLD A PREHEARING
CONFERENCE

On October 26, 2016, the Securities and Exchange Commission issued an order directing a hearing in this matter. A hearing is currently scheduled for November 21, 2016, at Commission headquarters in Washington, D.C.

I ORDER as follows:

- 1) Each party must file with the Commission, and keep current, a notice of appearance in accordance with Rule of Practice 102, 17 C.F.R. § 201.102.
- 2) By November 15, 2016, the parties shall hold an initial prehearing conference without the hearing officer to discuss each numbered item in Rule of Practice 221(c), 17 C.F.R. § 201.221(c).¹ By November 18, 2016, the parties shall file a joint prehearing conference statement reflecting the results of their conference. That statement must:
 - (a) address each numbered item in Rule of Practice 221(c), and include proposed due dates where applicable (the parties may denote that an item is “not applicable” in their filing);
 - (b) confirm the date the Commission’s Order directing a hearing was served on Respondent in accordance with 17 C.F.R. § 201.141(b).
 - (c) propose a procedural schedule that will result in a hearing no later than sixty days from the date of this order; and

¹ The Rules of Practice are available online at <https://www.sec.gov/about/rules-of-practice-2016.pdf>. General instructions for Respondents, including the mailing address for filings, are available online at <http://www.sec.gov/alj/alj-instructions-for-respondents.pdf>.

(d) address the date(s), potential location,² and length of any hearing.

If the parties wish for the hearing to take place on November 21, 2016, as originally scheduled, they should advise my office as soon as possible, and I will strive to accommodate that schedule. Based on the prehearing statement, a subsequent prehearing conference with the hearing officer will be scheduled if appropriate. If the parties are unable to hold a prehearing conference within the time provided, the Division shall promptly notify my office.

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.

Jason S. Patil
Administrative Law Judge

² The hearing location “shall be fixed with due regard for the public interest and the convenience and necessity of the parties, other participants, or their representatives.” Rule of Practice 200(c), 17 C.F.R. § 201.200(c). The parties should address whether Los Angeles, South Florida, Washington, D.C., or another location is appropriate.