

Record Index

as of 3/20/2023

Page 1 of 4

Administrative Proceeding File No: 3-16047**Respondents:**

The Robare Group, Ltd.; Robare, Mark L.; and Jones, Jack L., Jr.

Filed Date	Event Description	Release No
9/2/2014 16:27	Order Instituting Administrative and Cease-and-Desist Proceedings Pursuant to Section 15(b) of the Securities and Exchange Act of 1934, Sectors 203(e), 203(f) and 203(k) of the Investment Advisors Act of 1940 and Section 9(b) of the Investment Company Act of 1940 and Notice of Hearing, with party letters	34-72950
9/5/2014 16:25	Order Scheduling Hearing and Designating Presiding Judge	AP-1767
9/16/2014 16:12	Division's Motion for Adjournment of Hearing and for Scheduling Prehearing Conference (fax copy; hard copy rcvd 9/17/14)	
9/17/2014 15:06	Order Postponing Hearing and Scheduling Prehearing Conference	AP-1815
9/24/2014 12:02	Notice of Appearance, Alan M. Wolper and Heidi E. VonderHeide, of Ulmer & Berne LLP, on behalf of the Respondents (fax copy; hard copy rcvd 9/25/14)	
9/24/2014 12:28	Respondents' Answer and Defenses to the Order Instituting Public Administrative and Cease-and-Desist Proceedings (fax copy; hard copy rcvd 9/25/14)	
9/25/2014 12:44	Notice of Appearance, Janie L. Frank, on behalf of the Division (fax copy; hard copy rcvd 9/26/14)	
10/7/2014 9:56	Order Setting Prehearing Schedule and General Prehearing Order	AP-1895
10/22/2014 12:33	Transcript of 10/6/14 Telephonic Prehearing Conference; pp. 1-19	
12/3/2014 17:10	Order Setting Hearing Location	AP-2085
1/13/2015 10:39	Notice of Appearance, Jessica B. Magee, on behalf of the Division (fax copy; hard copy rcvd 1/15/15)	
1/13/2015 16:12	Division's Witness List (fax copy; hard copy rcvd 1/15/15)	
1/14/2015 13:07	Respondents' Witness List	
1/14/2015 13:52	Respondents' Exhibit List	
1/15/2015 14:04	Expert Report of Miriam Lefkowitz with Attachments	
1/20/2015 9:24	Division's Objections to Respondents' Exhibits (fax copy; hard copy rcvd 1/21/15)	
1/20/2015 9:24	Division's Motion in Limine and Memorandum in Support, with Exhibits 79 and 95 Attached (fax copy; hard copy rcvd 1/21/15)	
1/20/2015 10:16	Division's Objections to Respondents' Witnesses (fax copy; hard copy rcvd 1/21/15)	
1/20/2015 13:29	Division's Request for Subpoena (as to V. Buschfort, T. Fahey, K. Mysliwiec, and M. Zizza) (fax copy)	
1/21/2015 15:58	Respondents' Objections to the Division's Exhibit and Witness Lists	
1/26/2015 9:01	Respondents' Response to Division's Motion in Limine, with Exhibits A and B Attached (fax copy; hard copy rcvd 1/27/15)	

Record Index

as of 3/20/2023

Page 2 of 4

1/26/2015 12:25	Division's Prehearing Brief (fax copy; hard copy rcvd 1/27/15)	
1/26/2015 15:27	Respondents' Response to Division's Objections (to Respondents' Exhibits) (fax copy; hard copy rcvd 1/27/15)	
1/26/2015 16:56	Respondents' Prehearing Brief (fax copy; hard copy rcvd 1/27/15)	
1/27/2015 10:49	Division's Response to Respondents' Objections to Division's Witnesses and Exhibits (fax copy; hard copy rcvd 1/28/15)	
1/30/2015 11:44	Respondents' Reply in Further Support of its Objections (fax copy; hard copy rcvd 2/2/15)	
2/2/2015 12:57	Order on Motions in Limine	AP-2271
2/2/2015 16:32	Joint Stipulations of Fact (fax copy; hard copy rcvd 2/3/15)	
2/13/2015 15:41	Post-Hearing Order	AP- 2310
2/19/2015 17:25	Order Scheduling Briefs	AP-2327
2/23/2015 15:05	Transcript of 2/4/15 Telephonic Prehearing Conference; pp. 1-24	
2/25/2015 15:07	Transcript of 2/9/15 Hearing, Houston, TX ; pp. 1-322	
2/25/2015 15:24	Transcript of 2/10/15 Hearing, Houston, TX ; pp. 323-651	
2/25/2015 15:27	Transcript of 2/11/15 Hearing, Houston, TX ; pp. 652-938	
2/26/2015 10:16	Letter dated 2/26/15 to ALJ from Janie L. Frank Regarding Division's Requests for Court Overrule Respondents' Objections to Division's Exhibit 84 and Admit into the Record, with Exhibit 84 Attached (fax copy; hard copy rcvd 2/27/15)	
2/26/2015 11:10	Letter dated of 2/26/15 to ALJ from Respondents' Counsel, Heidi E. VonderHeide, Requesting for Court to Sustain Objections Raised and Not Admit Exhibit 84 into the Record (fax copy; hard copy rcvd 2/27/15)	
3/2/2015 15:58	Letter dated 2/20/15 to ALJ from Division Regarding Division's Withdrawal of Exhibits 51, 54, and 85 (rcvd from ALJ)	
3/3/2015 14:23	Division's Final Exhibit List (fax copy; hard copy rcvd 3/4/15)	
3/4/2015 12:38	Division's Exhibits (Exs: 1-50, 52-53, 55-83, 86-97)	
3/4/2015 16:46	Order	AP-2379
3/6/2015 8:51	Division's Unopposed Motion for Leave to File Post Hearing Brief in Excess of Word Limit (fax copy; hard copy rcvd 3/9/15)	
3/9/2015 12:52	Order	AP-2389
3/10/2015 10:38	Respondent's Index of Hearing Exhibits and Letter dated 3/9/15 to ALJ Regarding Submission of Disc Containing Electronic Copies of Respondents' Final Hearing Exhibits (rcvd from ALJ)	
3/12/2015 17:12	Respondents' Hearing Exhibits, with Exhibits1-124 Attached (fax copy; hard copy rcvd 3/13/15)	
3/13/2015 14:17	Order Granting Extension	AP-2422
3/20/2015 16:20	Respondents' Proposed Findings of Fact and Conclusions of Law (fax copy; hard copy rcvd 3/23/15)	

Record Index

as of 3/20/2023

Page 3 of 4

3/20/2015 16:52	Respondents' Post-Hearing Brief, with Exhibits A-D Attached (fax copy; hard copy rcvd 3/23/15)	
3/20/2015 17:31	Division's Post-Hearing Brief (fax copy; hard copy rcvd 3/23/15)	
3/23/2015 14:53	Division's Proposed Findings of Fact and Conclusions of Law (fax copy)	
4/3/2015 9:07	Division's Response to Respondents' Post-Hearing Brief (fax copy; hard copy 4/6/15)	
4/3/2015 14:51	Respondents' Response to the Division's Post-Hearing Brief (fax copy; hard copy 4/6/15)	
4/7/2015 11:36	ALJ's Exhibit List Pursuant to Rule 351 (fax copy; hard copy 4/7/15)	
4/24/2015 13:45	Record Index Prepared by the Office of the Secretary	
6/4/2015 11:58	Initial Decision	ID-806
6/26/2015 16:30	Division's Petition for Review of Initial Decision (fax copy; hard copy rcvd 6/29/15)	
7/10/2015 12:33	Respondent's Motion for Summary Affirmance (fax copy)	
7/17/2015 8:36	Division's Opposition to Respondents' Motion for Summary Affirmance (fax copy/hard copy rcvd 7/20/15)	
7/22/2015 16:55	Respondents' Reply in Further Support of Motion for Summary Affirmance (fax copy; hard copy rcvd 7/24/15)	
8/12/2015 9:17	Order Denying Motion for Summary Affirmance, Granting Petition for Review, and Scheduling Briefs	IA-4168
9/11/2015 8:42	Division's Brief in Support of Petition for Review (fax copy)	
10/13/2015 11:33	Respondent's Response to Enforcement's Brief in Support of Petition for Review (fax copy)	
10/26/2015 11:21	Division's Reply Brief in Support of Petition for Review (fax copy/ hard copy rcvd 10/27/15)	
11/7/2016 10:43	Opinion of the Commission and Order Imposing Remedial Sanctions	IA-4566
7/15/2019 15:06	Order Scheduling Briefs	IA-5300
7/16/2019 13:51	Corrected Order Scheduling Briefs	IA-5300
8/1/2019 16:17	Respondents' Unopposed Motion for Extension of Briefing Schedule (fax copy; hard copy rcvd 8/2/19)	
8/5/2019 14:16	Extension Order	IA-5314
8/23/2019 12:23	Respondents' Brief to Commission on Remand (fax copy; hard copy rcvd 8/26/19)	
9/23/2019 15:28	Division's Response to Respondents' Opening Brief on Remand (fax copy; hard copy rcvd 9/24/19)	
10/7/2019 16:03	Respondents' Reply in Support of Opening Brief to Commission on Remand (fax copy; hard copy rcvd 10/8/19)	
3/31/2020 9:49	Joint Waiver of Paper Service (rcvd from APFilings)	
6/5/2020 12:09	Order Extending Time to Issue Decision	IA-5518
8/7/2020 9:45	Order Extending Time to Issue Decision	IA-5559

Record Index

as of 3/20/2023

Page 4 of 4

10/6/2020 9:52	Order Extending Time to Issue Decision	IA-5606
12/7/2020 15:40	Order Extending Time to Issue Decision	IA-5641
1/6/2021 12:35	Order Extending Time to Issue Decision	IA-5662
2/5/2021 10:34	Order Extending Time to Issue Decision	IA-5681
2/19/2021 14:22	Order Extending Time to Issue Decision	IA-5687
3/5/2021 13:36	Order Extending Time to Issue Decision	IA-5695
3/19/2021 13:51	Order Extending Time to Issue Decision	IA-5699
4/2/2021 13:44	Order Extending Time to Issue Decision	IA-5711
4/16/2021 9:12	Order Extending Time to Issue Decision	IA-5720
4/19/2021 12:34	Notice of Appearance of Counsel, Janie L. Frank, Esq., on behalf of the Division	
5/17/2021 15:01	Order Extending Time to Issue Decision	IA-5736
6/16/2021 12:32	Order Extending Time to Issue Decision	IA-5755
7/15/2021 15:11	Order Extending Time to Issue Decision	IA-5779
8/17/2021 11:35	Order Extending Time to Issue Decision	IA-5823
9/15/2021 12:12	Order Extending Time to Issue Decision	IA-5862
10/15/2021 12:52	Order Extending Time to Issue Decision	IA-5889
11/15/2021 12:01	Order Extending Time to Issue Decision	IA-5908
12/20/2021 15:45	Joint Motion to Stay	
2/14/2022 15:00	Order Extending Time to Issue Decision	IA-5960
3/21/2022 16:51	Joint Notice of Non-Settlement	
5/16/2022 14:16	Order Extending Time to Issue Decision	IA-6024
8/15/2022 9:31	Order Extending Time to Issue Decision	IA-6088
11/15/2022 10:48	Order Extending Time to Issue Decision	IA-5908
2/13/2023 9:33	Order Extending Time to Issue Decision	IA-6235