

Record Index

as of 3/24/2023

Page 1 of 8

Administrative Proceeding File No: 3-16386**Respondents:**

Anderson, Traci J., CPA; Carnahan, Timothy W.; and CYIOS Corporation

Filed Date	Event Description	Release No
2/13/2015 11:47	Order Instituting Administrative and Cease-and-Desist Proceedings Pursuant to Section 8A of the Securities Act of 1933, Sections 4C and 21C of the Securities Exchange Act of 1934 and Rule 102(e) of the Commission's Rules of Practice, with party letters	33-9725
2/18/2015 13:24	Order Scheduling Hearing and Designating Presiding Judge	AP-2319
3/3/2015 15:30	Division's Motion for Adjournment of Hearing and for Scheduling Prehearing Conference (fax copy; hard copy rcvd 3/4/15)	
3/6/2015 8:20	Order Postponing Hearing and Scheduling Prehearing Conference	AP-2383
3/9/2015 15:34	Respondents' Answer, with Exhibits 1-3	
3/23/2015 9:02	Order Following Prehearing Conference	AP-2455
4/6/2015 12:31	Transcript of 3/23/15 telephonic prehearing conference; pp. 1-16	
4/30/2015 12:17	Division's Motion for Summary Disposition (fax copy; hard copy rcvd 5/1/15)	
5/1/2015 15:18	Division's Appendix in Support of Division's Motion for Summary Disposition (fax copy; hard copy rcvd 5/1/15)	
5/1/2015 15:18	Declaration of Christopher A. Davis, with Exhibits A-T (fax copy; hard copy rcvd 5/1/15)	
5/15/2015 10:12	Division's Opposition to Respondents' Motion for Summary Disposition (fax copy; hard copy rcvd 5/18/15)	
5/15/2015 15:26	Order	AP-2682
5/19/2015 11:52	Division's Response in Partial Opposition to Respondents' Request for 30 Day Continuance to 6/29/15 (fax copy; hard copy rcvd 5/20/15)	
5/19/2015 11:53	Order on Respondents' Request for Continuance	AP-2692
5/20/2015 10:21	Order Extending Procedural Deadlines	AP-2698
5/21/2015 14:35	Respondents' Response Objecting to Division's Response dated 5/19/15 to ALJ Order No. 2692 dated 5/19/15 (copy from ALJ)	
5/26/2015 15:21	Respondents' Motion for Dismissal and Response to Motion of Summary Disposition of SEC's Claims for Violations as Stated in File 3-16386, with 6 Attachments	
6/3/2015 12:08	Division's Reply to Respondents' Response to 5/1/15 Motion for Summary Disposition and Motion for Dismissal (fax copy; hard copy rcvd 6/4/15)	
6/4/2015 13:43	Respondents' Supplemental Reply to the Division's Summary Disposition Submitted 5/15/15 (copy from ALJ)	

Record Index

as of 3/24/2023

Page 2 of 8

6/4/2015 13:44	Respondents' Motion for Summary Disposition of SEC's Claim for Violations as Stated in File 3-16386 (copy from ALJ)	
6/8/2015 8:59	Respondents' Supplemental Reply to the Divisions Motion for Summary Disposition Submitted 5/15/15 (copy from ALJ)	
6/9/2015 14:07	Order on Motion for Summary Disposition	AP-2786
6/16/2015 14:46	Respondents' Motion for Certification of Interlocutory Appeal and Memorandum of Points and Authorities in Support Thereof (copy from ALJ)	
6/17/2015 7:05	Order Denying Certification of Ruling for Interlocutory Review	AP-2826
6/17/2015 11:27	Joint Report Regarding Hearing Schedule (fax copy; hard copy rcvd 6/18/15)	
6/18/2015 13:21	Order on Procedural Schedule	AP-2830
6/26/2015 11:58	Respondent Carnahan's Form DA (FILED UNDER SEAL)	
6/26/2015 11:58	Respondent Anderson's Form DA (FILED UNDER SEAL)	
7/1/2015 14:42	Protective Order	AP-2884
8/19/2015 12:17	Division's Motion for Judicial Notice, with Exhibit A (fax copy; hard copy rcvd 8/20/15)	
8/19/2015 12:42	Division's Witness List (fax copy; hard copy rcvd 8/20/15)	
8/19/2015 12:42	Division's Exhibit List (fax copy; hard copy rcvd 8/20/15)	
8/19/2015 12:43	Division's Expert Report of Charles R. Lundelius, Jr., CPA/ABV./CFF, with Appendices A-B (fax copy; hard copy rcvd 8/20/15)	
8/24/2015 11:38	Order Scheduling Second Prehearing Conference	AP-3063
8/25/2015 9:11	Division's Amended Exhibit List, with Attachments (fax copy; hard copy rcvd 8/26/15)	
8/26/2015 15:14	Division's Second Amended Exhibit List (fax copy; hard copy rcvd 8/27/15)	
8/26/2015 15:15	Declaration of Angelia Stewart, with Attachments (fax copy)	
8/26/2015 16:18	Order Following Second Prehearing Conference	AP-3070
8/28/2015 9:37	Division's Motion in Limine (fax copy, hard copy rcvd 8/31/15)	
8/28/2015 9:38	Division's Third Amended Exhibit List (fax copy, hard copy rcvd 8/31/15)	
9/1/2015 12:46	Division's Fourth Amended Exhibit List (fax copy; hard copy rcvd 9/2/15)	
9/3/2015 13:29	Post Hearing Order	AP-3094
9/14/2015 11:10	Transcript of 8/25/15 telephonic prehearing conference; pp, 1-27	
9/16/2015 14:07	Transcript of 9/2/15 hearing; pp. 1-240 (except pp. 146-148 and 195-197 which are bound separately under seal)	
9/16/2015 14:09	Transcript of 9/2/15 hearing; pp. 146-148; pp. 195-197 (FILED UNDER SEAL)	
9/24/2015 8:29	Joint Exhibit List (fax copy/ hard copy rcvd 9/28/15)	
9/25/2015 16:44	Division's Post-Hearing Brief (fax copy; hard copy 9/28/15)	
9/28/2015 16:43	Respondents' Joint Exhibits (RESP 1-12) (SEALED VERSION)	
9/28/2015 16:45	Division's Joint Exhibits (DOE 1-32) (SEALED VERSION)	

Record Index

as of 3/24/2023

Page 3 of 8

9/28/2015 16:46	Division's Joint Exhibits (DOE 1-32) (PUBLIC VERSION)	
9/28/2015 17:11	Respondents' Joint Exhibits (RESP 1-12) (PUBLIC VERSION)	
9/30/2015 14:24	Respondent Traci J. Anderson's Opening Post Hearing Brief (REVISED)	
10/15/2015 11:13	Division's Post Hearing Reply Brief (fax copy; hard copy rcvd 10/16/15)	
10/19/2015 9:43	ALJ Elliot's Exhibit List Pursuant to Rule 351	
10/22/2015 13:03	Respondent Traci Anderson's Post Hearing Reply	
10/30/2015 17:06	Order to Show Cause and Directing Supplemental Briefing	AP-3278
11/9/2015 11:59	Record Index Prepared by the Office of the Secretary	
11/13/2015 14:36	Division's Supplemental Briefing and Response to October 30, 2015 Show Cause Order (fax copy; hard copy rcvd 11/13/15)	
12/4/2015 9:55	Respondent Traci Anderson's Reply to Division's Supplemental Briefing and Response to 10/30/15 OTSC (copy from ALJ)	
12/4/2015 9:56	Respondent Timothy Carnahan's Reply Brief (copy from ALJ)	
12/21/2015 13:44	Initial Decision (as to all Respondents)	ID-930
1/4/2016 11:35	Division's Response to Respondents Carnahan and Cyios Corporation's Motion to Correct Manifest Errors of Fact (fax copy; hard copy 1/5/16)	
1/5/2016 11:15	Respondents Timothy W. Carnahan and CYIOS Corporation's Motion Under Rule 111 to Correct Manifest Errors of Fact (rcvd by email from ALJ)	
1/5/2016 11:17	Respondents Timothy W. Carnahan and CYIOS Corp.'s Notice of Motion for Certification of Order for Appeal Pursuant to 28 USC Section 1292(b), Memorandum of Points and Authorities in Support Thereof (rcvd by email from ALJ)	
1/6/2016 16:06	Order Denying Post-Hearing Motions	AP-3472
1/12/2016 12:14	Respondents Carnahan and CYIOS Corporation's Motion Under Rule 410(a) and (e) Appeal of Initial Decisions by Hearing Officers and Prerequisite to Judicial Review (rcvd from ALJ by email)	
1/12/2016 17:09	Notice	AP-3499
2/2/2016 17:00	Notice that Initial Decision has become Final (as to Respondent Traci J. Anderson, CPA)	33-10032
2/2/2016 17:03	Order Granting Petition for Review and Scheduling Briefs	33-10031
3/2/2016 14:24	Respondents Carnahan and CYIOS Corporation's Brief in Support of the Petition for Review	
3/17/2016 12:16	Respondents Carnahan and CYIOS Corporation's Attachment Referenced on Page 19 of their Brief in Support of Petition for Review (fax copy)	
3/31/2016 13:16	Division's Brief in Opposition to Petition for Review (fax copy; hard copy rcvd 4/1/16)	
4/5/2016 12:20	Respondents Timothy Carnahan and CYIOS Corporation's Reply Brief to Division's Opposition Brief (fax copy; hard copy rcvd 4/11/16)	

Record Index

as of 3/24/2023

Page 4 of 8

7/11/2016 16:52	Respondents Timothy Carnahan and CYIOS Corporation's Post Hearing Brief, dated 9/25/15 (rcvd from Division on 7/11/16)	
8/2/2016 15:40	Fax from Respondent Timothy Carnahan Indicating New Address and Inquiring if He Missed Receiving Any Mailings Due to Address Change and Update on Docket	
11/30/2017 11:11	Order	33-10440
12/4/2017 14:27	Order Ratifying Administrative Law Judges' Assignments	AP-5247
12/7/2017 13:42	Order Following Remand and Scheduling Conference	AP-5308
12/14/2017 17:00	Order Following Telephonic Conference	AP-5384
1/10/2018 14:27	Division's Brief in Response to Respondents' Reply Brief and in Support of Ratification of all Prior Actions, with Proposed Order (fax copy; hard copy rcvd 1/11/18)	
1/11/2018 14:34	Respondents Timothy W. Carnahan and Cyios Corporation's Reply Brief Regarding AP-5384 (fax copy; hard copy rcvd 1/23/18)	
1/12/2018 14:22	Order Ratifying Actions	AP-5461
2/8/2018 14:52	Supplemental Briefing Order	33-10457
3/12/2018 14:40	Division's Brief in Opposition to Petition for Review (fax copy; hard copy rcvd 3/13/18)	
3/12/2018 15:43	Respondents Timothy Carnahan and CYIOS Corporation's Opening Brief (fax copy; hard copy rcvd 3/15/18)	
3/26/2018 1:35	Division's Reply to Respondents' Opening Brief in Support of Petition for Review (fax copy; hard copy rcvd 3/27/18)	
3/27/2018 11:42	Respondents Timothy Carnahan and CYIOS Corporation's Supplemental Briefing (fax copy; hard copy rcv'd 4/2/18)	
6/21/2018 12:56	Order	33-10510
7/20/2018 10:06	Order	33-10522
8/22/2018 13:11	Order	33-10536
8/23/2018 17:13	Notice from the Chief Administrative Law Judge	AP-5954
9/12/2018 7:08	Chief Administrative Law Judge's Order Assigning Proceedings Post Lucia v. SEC	AP-5955
10/1/2018 15:08	Order	AP-6126
10/9/2018 16:25	Respondents Timothy Carnahan and Cyios Corporation's Notice of Motion for Certification of Order for Appeal	
10/10/2018 14:34	Division's Brief in Opposition to Respondents' Motion for Certification of Order for Appeal (fax copy; hard copy rcvd 10/12/18)	
10/15/2018 15:22	Carnahan's Reply Memorandum of Law in Further Support of Motion for Certification of Order of Appeal	
10/18/2018 16:04	Order	AP-6223
10/29/2018 12:58	Respondents' Motion in Limine to Strike Division's Response Based upon Rule 470 (fax copy)	

Record Index

as of 3/24/2023

Page 5 of 8

10/29/2018 15:59	Division's Opposition to Respondents' Motion for Reconsideration for Recertification of Interlocutory Review, in Alternative, Dismiss this Case (fax copy; hard copy rcvd 10/30/18)	
10/31/2018 7:40	Notice of Withdrawal, Timothy S. McCole, on behalf of the Division	
10/31/2018 16:13	Respondent's Motion for Reconsideration for Certification for Interlocutory Review, in Alternative, Dismiss this Case (fax copy; hard copy rcvd 11/5/18)	
11/5/2018 16:17	Order	AP-6293
11/16/2018 15:20	Respondents' Response to Order for Proposal, in Alternative, Motion to Dismiss this Case, in Alternative, Motion to Show Cause (fax copy; hard copy rcvd 11/27/18)	
11/16/2018 16:21	Notice of Withdrawal, Timothy S. McCole, on behalf of the Division (fax copy)	
11/19/2018 17:33	Division's Proposal for the Conduct of Further Proceedings	
1/16/2019 16:28	Order	33-10602
1/30/2019 16:29	Order	33-10603
3/4/2019 11:11	Order Redesignating Presiding Judge	AP-6474
3/11/2019 14:54	Order Scheduling Prehearing Conference	AP-6492
3/18/2019 16:38	Order Following Prehearing Conference	AP-6510
3/25/2019 16:13	Joint Proposed Hearing Date and Prehearing Schedule (fax copy; hard copy rcvd 3/26/19)	
3/26/2019 16:46	Scheduling Order	AP-6519
3/28/2019 16:19	Respondents Timothy Carnahan and Cyios Corporation's Response to Order for Revised Answer, or in the Alternative, Motion to Dismiss this Case (fax copy; hard copy rec'd 4/1/2019)	
4/2/2019 13:21	Division's Opposition to Respondents' Motion to Dismiss (fax copy; hard copy rcvd 4/3/19)	
4/4/2019 15:49	Transcript of telephonic Prehearing Conference, pp. 1-29	
4/24/2019 14:59	Order Deferring Ruling on, in Part, and Denying, in Part, Respondents' Motion for Ruling on the Pleadings	AP-6549
4/25/2019 14:00	Division's Expert Report of Charles R. Lundelius, Jr., CPA/ABV/CFF	
5/1/2019 13:27	Division's Supplemental Brief Pursuant to the Court's April 24, 2019 Order	
5/22/2019 15:51	Respondents' Response to the Court's Order of April 24, 2019 (fax copy; rcvd from ALJ; hard copy rcvd 6/8/19)	
6/19/2019 16:14	Division's Motion for the Admission of Prior Testimony, or in the Alternative, Request for Subpoena (fax copy; hard copy rcvd 6/20/19)	
6/24/2019 10:53	Order Denying Division's Motion to Admit Prior Testimony and Respondents' Renewed Motion for Ruling on the Pleadings	AP-6613
6/24/2019 12:18	Division's Witness List (fax copy; hard copy rcvd 6/25/19)	
6/24/2019 12:19	Division's Exhibit List (fax copy; hard copy rcvd 6/25/19)	
6/24/2019 12:20	Division's List of Hearing Attendees (fax copy; hard copy rcvd 6/25/19)	

Record Index

as of 3/24/2023

Page 6 of 8

7/2/2019 9:27	Respondents' Motion to Vacate Order AP-6613 (fax copy)	
7/2/2019 9:28	Division's Opposition to Respondents' Motion to Vacate Order (fax copy; hard copy rcvd 7/2/19)	
7/2/2019 13:22	Order Denying Respondents' Motion to Vacate Prior Order, Revoke Subpoena, and Dismiss Proceeding	AP-6620
7/3/2019 13:45	Division's Motion for the Court to Take Official Notice (fax copy; hard copy rcv'd 7/5/19)	
7/8/2019 16:09	Respondent's Petition to the Commission for an Interlocutory Review	
7/10/2019 12:08	Order Taking Official Notice Pursuant to 17 C.F.R. s. 201.323	AP-6622
7/11/2019 16:44	Order Denying Respondents' Motion for Certification of Previous Orders for Interlocutory Review and Notice Following Final Prehearing Conference	AP-6626
7/18/2019 13:50	Post-Hearing Order	AP-6632
7/18/2019 17:42	Transcript of 7/10/2019 Pre-Hearing Conference, pp. 30-61, Fort Worth, TX	
7/22/2019 16:44	Division's Final Exhibit List (fax copy; hard copy rcvd 7/23/19)	
7/23/2019 12:14	Divison's Exhibits (1-3; 11-22; 26; 31-44)	
7/23/2019 14:44	Division's Motion for Adverse Inference (fax copy; hard copy rcvd 7/24/19)	
7/24/2019 16:12	Transcript of 7/17/19 Hearing Vol. 1, pp. 1-146, Washington, DC	
7/25/2019 13:32	Order on Transcript Corrections	AP-6643
7/31/2019 12:43	Notice of Withdrawal and Appearance, Matthew J. Gulde, Esq., on behalf of the Division (fax copy; hard copy rcvd 8/2/19)	
8/1/2019 12:59	Amended Transcript of 7/17/19 Hearing, Vol. I, pp. 1-146, Washington, DC	
8/6/2019 10:53	Order Drawing Adverse Inferences and Admitting Exhibits	AP-6650
8/20/2019 14:57	ALJ's Exhibit List Pursuant to Rule 351	
9/5/2019 4:45	Division's Post Hearing Brief (fax copy; hard copy rcvd 9/6/19)	
9/9/2019 10:11	Record Index Prepared by the Office of the Secretary	
1/10/2020 11:51	Initial Decision	ID-1394
1/13/2020 10:11	Respondents Timothy Carnahan and Cyios Corp.'s Motion to Strike/Dismiss Order (Initial Decision) and Dismiss Case (fax copy; hard copy rcvd 1/16/20)	
1/13/2020 10:12	Respondents Timothy Carnahan and Cyios Corp.'s Motion for Recusal of ALJ Grimes (fax copy; hard copy rcvd 1/16/20)	
1/21/2020 10:08	Respondents Timothy Carnahan and CYIOS Corp.'s Motion to Correct Manifest Errors of Fact (fax copy; hard copy rcvd 1/21/20)	
1/21/2020 13:15	Division's Opposition to Respondents' Motions for Recusal and to Strike/Dismiss Initial Decision and Dismiss Case	
1/22/2020 16:56	Division's Response to Respondents' Motion to Correct Manifest Errors of Fact (fax copy)	
1/30/2020 15:14	Order Denying Respondents' Motion for Recusal and Notice Regarding Respondents' Motion to Strike/Dismiss	AP-6728

Record Index

as of 3/24/2023

Page 7 of 8

1/31/2020 16:16	Order Denying Respondents' Motion to Correct	AP-6729
2/3/2020 8:40	CYIOS Corporation's Petition for Review of Initial Decision (fax copy; hard copy rcvd 2/3/20)	
2/5/2020 16:09	Notice of Appearance, Jonathan D. Leinwand, on behalf of Respondent CYIOS Corporation (fax copy)	
2/10/2020 15:29	Respondent's Motion to Strike/Remove from Record "CYIOS Corporation's Petition for Review of Initial Decision" filed February 3, 2020 (Claiming Fraudulent Filing) (fax copy; hard copy rcvd 2/14/20)	
2/14/2020 11:36	Division's Brief in Opposition to CYIOS Corporation's Petition for Review (fax copy; hard copy rcvd 2/14/20)	
2/20/2020 9:08	Respondent Timothy Carnahan's Motion to Strike/Remove from Record CYIOS Corp's Petition for Review of Initial Decision and Division's Response in Opposition	
2/21/2020 11:01	Resps Timothy Carnahan and CYIOS Corp.'s Petition for Review of Initial Decision (fax copy; re-faxed corrected copy with Ex. A; hard copy rcvd 2/26/20)	
3/2/2020 15:57	Division's Opposition to Respondents' Rule 410(a) & (e) Appeal of Initial Decisions by Hearing Officers & Prerequisite to Judicial Review (fax copy; hard copy rcvd 3/3/2020)	
3/25/2020 11:05	Joint Waiver of Paper Service (rcvd from APFilings)	
1/25/2021 12:46	Order Denying Divisions Motion for Summary Affirmance, Granting Respondents Petition for Review, and Scheduling Briefs (as to Timothy Carnahan and CYIOS Corporation)	33-10922
2/24/2021 12:46	CYIOS Corporation's Unopposed Motion for Extension of Time to File Briefs Pursuant to Rule 450(a) of the Rules of Practice	
2/24/2021 16:24	CYIOS Corporation's Appeal Brief Pursuant to Rule of Practice 450(a) Per Order Dated: January 25, 2021	
2/26/2021 15:05	Order Denying Motion for Extension of Time to File Briefs	33-10931
3/4/2021 14:26	Motion for Reconsideration of CYIOS Corporations Unopposed Motion for Extension of Time to File Briefs Pursuant to Rule 450(a) of the Rules of Practice	
3/15/2021 16:02	Order Granting Renewed Motion For Extension of Time to File Briefs and to Adduce Additional Evidence	33-10933
3/26/2021 15:54	Division's Brief in Response to Respondent Timothy Carnahan's Appeal of the Administrative Law Judge's Initial Decision	
3/29/2021 9:30	Motion of Petitioner CYIOS Corporation for Oral Argument	
3/29/2021 9:31	Opening Brief in Support of Application of CYIOS Corporation for Modification or Reversal of Initial Decision of Administrative Law Judge	
3/29/2021 9:33	Response to Division's Response Pursuant to Rule of Practice 450(a) Per Order	
4/14/2021 19:57	Notice of Appearance, Matthew J. Gulde, Esq. on behalf of the Division	
4/19/2021 12:18	Amended Notice of Appearance, Matthew J. Gulde, Esq. on behalf of the Division	
4/26/2021 9:24	Division's Brief in Response to Respondent CYIOS's Petition for Review of the Administrative Law Judge's Initial Decision	

Record Index

as of 3/24/2023

Page 8 of 8

5/10/2021 15:25	Reply Brief in Support of Application of CYIOS Corporation for Modification or Reversal of Initial Decision of Administrative Law Judge	
5/10/2021 15:33	Respondent Timothy W. Carnahan Response Brief to Division's Response to CYIOS Brief	
1/10/2022 15:26	Order Extending Time to Issue Decision	33-11022
2/10/2022 17:42	Notice of Appearance, Mark David Hunter, Jenny D. Johnson-Sardella, and Sharifa G. Hunter of Hunter Taubman Fischer & Li LLC, on behalf of the Respondent	
4/11/2022 15:06	Order Extending Time to Issue Decision	33-11051
7/11/2022 15:33	Order Extending Time to Issue Decision	33-11081
10/11/2022 11:56	Order Extending Time to Issue Decision	33-11119
1/9/2023 18:14	Order Extending Time to Issue Decision	33-11145