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Administrative Proceeding File No: 3-16509**Respondents:**

Daspin, Edward M. a/k/a "Edward (ED) Michael"; Luigui, Agostini; andLux, Lawrence

Filed Date	Event Description	Release No
4/23/2015 16:06	Order Instituting Administrative and Cease and Desist Proceedings Pursuant to Section 8A of the Securities Act of 1933 and Sections 15(b) and 21C of the Securities Act of 1934, with party letters	33-9755
4/24/2015 15:22	Order Scheduling Hearing and Designating Presiding Judge	AP-2581
5/4/2015 12:28	Division's Notice of Appearance. (as to Kevin P. McGrath)	
5/4/2015 12:30	Division's Notice of Appearance. (as to Nathaniel I. Kolodny)	
5/5/2015 14:08	Notice of Appearance. (as to Attys David M. Rosenfield, K. Heather Robinson, and Chantelle L. Aris of Herrick, Feinstein, LLP on Behalf of Respondents Daspin and Agostini)	
5/7/2015 13:11	Letter dated 5/6/15 to OS from Division re parties' request that the hearing date be adjourned until a later date convenient to court and parties. The parties currently anticipate hearing will take approx 2 wks. Also request hearing take place in NY.	
5/8/2015 15:17	Postponement Order	AP-2654
5/14/2015 11:23	Respondent Daspin's Motion to Dismiss the Comn's Order Instituting Admin Procg, or in the Alternative, To Stay Procg, and Memo in Support w/Attach Declarations of AVPuzino, KHRobinson, DMRosenfield, and Proposed Order Granting Motion to Dismiss/Stay	
5/14/2015 12:00	Respondent Daspin's Application for a Protective Order for Sealing and Confidential Treatment of a Motion to Dismiss or Stay, and All Supporting Documents, Filed by Respondent Edward M. Daspin, w/Attach Exh A and Proposed Order Granting Mtn for Protective Order	
5/14/2015 12:05	(UNDER SEAL) Respondent Daspin's Application for an Order that Respondent Daspin Need Not File An Answer Unless and Until His Motion to Dismiss is Denied, w/Attached Prop Order Granting Motion for an Order Extending the Time for Respondent Daspin to Answer	
5/20/2015 17:27	Prehearing Order	AP-2699
5/20/2015 17:54	(UNDER SEAL) Division's Expedited Memorandum in Opposition to Respondent Daspin's Motion to Dismiss the Commission's OIP, or, in the Alternative, to Stay the Proceedings, with Attached Exhibits A-P. (UNDER SEAL)	
5/22/2015 14:23	(UNDER SEAL) Division's Memorandum in Opposition to Respondent Daspin's Motion to Dismiss the Commission's Order Instituting Administrative Proceedings, or, in the Alternative, to Stay the Proceedings, with Attachments A-D. (fax copy; hard copy 5/22/16) (UNDER SEAL)	
5/26/2015 16:50	Prehearing Order	AP-2725

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5/29/2015 9:36	Mtn and Declaration in Oppos to SEC's Oppos to Respondent Daspin's Mtn to Dismiss and In Supp of Mtn to Move Case to Fed' Ct in NJ. Opposing Div's Oppos to Respondent's Mtn to Dismiss OIP, Supp Resp's Mtn to Dismiss or Stay (Rcvd from Chair Ofc)	
6/2/2015 15:14	Letter dated 6/1/15 from Division re letter of 5/27/15 from Lawrence May re email and proposed order transferring case to Fedl Ct. - Mr. Mays is not a party in proceeding and Div requests Court take no judicial notice of Mr. Mays' improper submissions	
6/3/2015 9:01	Respondent Luigi Agostini's Answer to the OIP and a Cease and Desist Proceedings (fax copy; hard copy 6/4/15)	
6/4/2015 9:51	Respondent Edward M. Daspin's Answer to the OIP and Cease and Desist Proceedings	
6/4/2015 10:24	Letter dated 6/3/15 re status of settlement discussions btwn Div and Respondent Lux. Div has no objection to continuing to defer Lux's time to answer OIP in view of ongoing settlement negotiations. Request 6/24/15 to report back to Court	
6/4/2015 16:33	Prehearing Order	AP-2773
6/4/2015 16:47	Transcript of 5/20/15 Telephonic Prehearing Conference; pp 1-19	
6/9/2015 15:42	(UNDER SEAL) Respondent Daspin's Reply Brief in Further Support of His Motion to Dismiss the Commission's OIP, or in the Alternative, to Stay the Proceedings ... (Cont'd) (UNDER SEAL) (fax copy/ hard copy 6/9/15)	
6/9/2015 15:51	(Cont'd) Respondent Daspin's Reply Brief, with Attached Declaration of Dr. Alan V. Puzino, Chantelle L. Aris and Larry May. (UNDER SEAL) (fax copy/hard copy 6/9/15)	
6/10/2015 8:24	(UNDER SEAL) Letter dated 6/10/15 from Respondent Daspin Regarding Request to File a Supplemental Reply Brief and Declaration, with a proposed order attached (fax copy; hard copy rcvd 6/11/15)	
6/15/2015 12:42	Order	AP-2810
6/15/2015 15:27	Order	AP-2811
6/23/2015 14:42	(UNDER SEAL) Division's Motion for Modification of the Court's 6/15/15 Order to Require An Earlier and Documented Report by Daspin as to the Status of His Health, with CDs. (UNDER SEAL)	
6/24/2015 11:31	Letter of 6/24/15 to ALJ from Division advising of the status of the settlement discussions between the Division and Respondent Lux, who is pro se. (fax copy; hard copy rcvd 6/25/15)	
6/25/2015 13:47	Order	AP-2863
6/29/2015 10:24	(UNDER SEAL) Respondent Daspin's Letter-Brief in Opposition to the SEC's 6/22/15 Motion for Modification (fax copy; hard copy 6/30/15) (UNDER SEAL)	
7/1/2015 8:35	(UNDER SEAL) Division's Reply Brief In Further Support Of Its Motion for A Modification of the Court's 6/15/15 Order (UNDER SEAL) (fax copy/ hard copy 7/2/15)	

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7/15/2015 8:45	Letter of 7/15/15 to ALJ from Division re Advise the Court of the Status of Settlement Discussions Btwn the Div and Respondent Lawrence Lux. Div Request Permission to Report Back to Court on 7/29/15, As to Status of Negotiations. (fax copy; hard copy 7/16/15)	
7/16/2015 15:05	Order	AP-2936
7/17/2015 12:36	Order	AP-2939
7/29/2015 16:42	Letter of 7/29/15 from Division (Nathaniel I. Kolodny) Advising the Court that the Div and Respondent Lawrence Lux Have Reached An Agreement in Principle to Settle Matter w/Respect to Mr. Lux. Agreement is Subject to Comn Approval. (fax copy/ hard copy 8/3/15)	
7/30/2015 12:26	Stay Order as to Lawrence R. Lux	AP-2991
7/31/2015 8:48	Order Redesignating Presiding Judge	AP-2999
7/31/2015 16:08	Letter of 7/31/15 from David M. Rosenfield re Respondent Edward M. Daspin's medical records from his Physician related to recent and ongoing evaluations. (fax copy/ hard copy 8/3/15) (Medical Records UNDER SEAL)	
8/3/2015 12:51	Notice	AP-3003
8/10/2015 14:50	Order Scheduling Prehearing Conference	AP-3023
8/10/2015 16:01	Letter of 8/6/15 to ALJ Grimes from Division, requesting (jointly with Respondents) adj. of the 11/2/15 hearing as to Mr. Agostini and sched. a telephonic status conf. after receipt of Mr. Daspin's 9/26/15 medical status report or, alternatively, (cont'd.)	
8/10/2015 16:38	(cont'd) after receipt of a status report prepared following Mr. Daspin's 9/26/15 cardiology appointment,	
8/11/2015 14:16	Order Rescheduling Prehearing Conference	AP-3027
8/14/2015 8:46	Scheduling Order	AP-3041
8/27/2015 14:43	Transcript of 8/12/15 Telephonic Prehearing Conference; pp 1-23.	
8/31/2015 10:44	(UNDER SEAL) Respondent Edward M. Daspin's Medical Records from 8/1/15 to Present. (UNDER SEAL) (fax copy/ hard copy 9/1/15)	
9/23/2015 13:18	Notice of Withdrawal of Herrick, Feinstein, LLP from Representation of Respondents Edward M. Daspin and Luigi Agostini, and request for stay of all proceedings including the 1/4/16 hearing date.	
9/29/2015 13:55	(UNDER SEAL) Division's Opposition to Respondent Daspin and Agostini's Motion For a Stay of All Deadlines and the Hearing Date. (fax copy/ hard copy 9/30/15) (UNDER SEAL)	
9/30/2015 16:57	Order Denying Stay Request	AP-3183
10/2/2015 17:04	(UNDER SEAL) Letter of 10/2/15 to ALJ from Division re Request that Court Direct Respondent Daspin to Promptly Comply with Court's 7/17/15 and 8/14/15 Order Directing Him to Provide Court and Division with His Medical Records. (fax copy/ hard copy 9/30/15) (UNDER SEAL)	

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10/5/2015 13:00	(UNDER SEAL) Letter of 10/2/15 to ALJ from Division in response to Respondent Daspin's email to the ALJ of the same date, with transcript of 2/28/14 hearing attached. (UNDER SEAL)	
10/6/2015 15:41	Order	AP-3202
10/7/2015 16:14	Undated Letter from Respondent Daspin re Medical Records To Be Sent to Dr. Alan Puzino, Kevin McGrath, NYRO and KolodnyN. (fax copy)	
10/8/2015 16:06	(UNDER SEAL) Letter of 10/7/15 from Div Re 9 Pages of Medical Records from Respondent Daspin's Cardiology Consultation. Based Upon Represent by Respondent and Former Counsel Rosenfield, Div Does Not Know of Any Outstanding Medical Records Not Produced. (UNDER SEAL)	
10/9/2015 11:24	Letter to OS from Respondent Agostini re Date Correction. (Typo in Respondent Agostini's 10/9/15 Motion and Documents Previously Received - Respondent Daspin's Motion Date Correction of 10/4/2015.) (fax copy)	
10/9/2015 15:41	(UNDER SEAL) Ltr of 10/9/15 w/ Attach Respondent Agostini's 10/9/15 Mtn to Intervene and Order Herrick Feinstein, LLP to Rescind Notice of Withdraw or Alternatively Direct Firm to Return A Sufficient Portion of Billing to Enable Respondent to Retain New Counsel. (UNDER SEAL) (Fax)	
10/14/2015 10:08	(UNDER SEAL) Division Memorandum in Opposition To Respondents' Motion To Dismiss or Postpone This Proceeding or Alternatively for the Court To Recuse Itself. (Fax Copy/Hard Copy 10/15/15) (UNDER SEAL)	
10/14/2015 13:17	Order	AP-3222
10/15/2015 12:05	Ltr of 10/15/15 from Herrick Re Respondent Agostini's 10/9/15 Ltr Motion to Intervene and Order Herrick to Rescind Notice of With or Alternatively Direct Firm to Return A Sufficient Portion of Billing to Enable Respondent to Retain New Counsel. (fax)	
10/15/2015 12:52	Ltr of 10/15/15 to OS from Respondent Agostini's Counsel re: An Amended Certificate of Service Correcting An Email Address For Respondent Agostini. (Fax Copy/Hard Copy Rec'd 10/16/15)	
10/16/2015 16:50	Order Making Findings and Imposing Remedial Sanctions and a Cease and Desist Order Pursuant to Section 8A of the Securities Act of 1933 and Sections 15(b) and 21C of the Securities Exchange Act of 1934 as to Lawrence R. Lux	33-9963
10/19/2015 15:49	(UNDER SEAL) Fax received from Respondent Daspin enclosing a letter dated 9/25/15 from his physician regarding his medical condition with treatment notes attached. (UNDER SEAL)	
10/22/2015 17:17	Letter of 10/22/15 from Div re ALJ's Order of 10/6/15 Directing Respondent Daspin to Cease Sending Emails to ALJ's and Respectfully Requests that Court Further Direct Respondent Not To Send Any More Substantive Email Communications to the Court. (fax; hard copy 10/23/15)	
10/28/2015 9:29	Order	AP-3263
10/29/2015 9:02	(UNDER SEAL) Respondent Daspin's Reply to SEC Opposition to Motion for Reconsideration of Alan V. Puzino's, MD Declaration Rebuttal. (UNDER SEAL) (Rcvd from ALJ)	

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11/3/2015 15:25	Letter of 11/2/15 re Parties Jointly Submitted Plan for Accommodating Respondent Daspin's Condition During the Hearing. Div ask the Court to Deny Respondent Daspin's Request to Appear at the Hearing via Skype. (fax copy; hard copy rcvd 11/3/15)	
11/5/2015 13:10	Respondent Daspin's Motion for a 6-Month Extension of the Scheduled Hearing. (Duplicate Entry: See Event 11/13/15 Ltr from Respondent Daspin) (MEDICAL RECORDS UNDER SEAL)	
11/13/2015 15:05	Division's Memorandum in Opposition to Respondent Daspin's Motion For a Six Month Tolling of the Scheduled Hearing. (fax copy) (UNDER SEAL)	
11/13/2015 17:20	(UNDER SEAL) Letter from Respondent Daspin re: Motion and Letter Brief for A 6 Month Tolling of Scheduled Hearing for Respondents. (UNDER SEAL)	
11/18/2015 16:52	Order	AP-3328
11/23/2015 15:56	(UNDER SEAL) Letter of 11/17/15 from Respondent Daspin to OS With Documents To Support the 6 Month Extension Request Given As Exhibits to Mr. McGrath. (UNDER SEAL)	
11/24/2015 14:19	Division's Expert Report dated 11/23/15 of Carl Sheeler, Ph.D., ASA in the matter of Edward M. Daspin, et al. w/ Exhibits (Fax Copy/Hard Copy 11/24/15).	
11/30/2015 11:09	Division's Proposed Witness List. (fax copy/ hard copy 12/1/15))	
11/30/2015 11:43	Luigi Agostini's Proposed Witness List. (fax copy)	
12/1/2015 10:42	Division's Revised Proposed Witness List. (Adding Mr. Edward Daspin) (fax copy)	
12/1/2015 10:43	Letter of 12/1/15 from Division to ALJ re Renewing Its Request that the Court Deny Mr. Daspin's Motion to Appear Remotely. (fax copy/ hard copy 12/1/15)	
12/2/2015 12:38	(UNDER SEAL) Letter and Rebuttal from Respondent Daspin to Rebut Expert Report of Carl Sheeler. (UNDER SEAL)	
12/4/2015 9:50	Order	AP-3372
12/4/2015 15:02	Detail of documents by alphabetical order from ALJ. (Copy from ALJ/ hard copy 12/7/15)	
12/7/2015 10:40	Email dated 11/29/15 from Respondent Daspin to KMcGrath re Directory of Exhibits and Rush Delivery with Disc.	
12/7/2015 12:34	(UNDER SEAL) 18 Page Email of 12/4/15 from Respondent Daspin Addressed to Mr. Kolodny re Misrepresentation and Making It Appear as Though Respondent Daspin was Uncooperative, w/ Attach Medical Records. (FILED UNDER SEAL). (Received from ALJ on 8/23/16)	
12/7/2015 13:43	Email dated 11/28/15 from Division (Kevin McGrath) re: Request for Witness List and Disc Containing All Proposed Pre-Marked Exhibit Lists by 12/7/15. (Rcvd from ALJ)	
12/7/2015 13:53	Respondent Daspin's Current Witness List. (Rcvd from ALJ)	
12/9/2015 11:53	Division's Motion in Limine to Strike Certain Individuals from Respondents' Witness List. (fax copy/ hard copy 12/10/15)	

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12/9/2015 11:55	Division's Subpoena Request for Its Proposed Witnesses. (Wm McFarlane, AGiuliano, AMain, AYoung, ABederjikian, DHeisterkamp, DLockett, DMain, EMDaspin, GLange, JDaspin, LLux, LAgostini, MKroll and TSullivan) (fax copy/ hard copy 12/10/15)	
12/9/2015 16:57	(UNDER SEAL) Email dated 12/1/15 from Respondent Daspin to Nathaniel Kolodny re His Opposition to Document Discovery List, Request for An Additional Witness to be Added and Other Issues, with Attached Medical Information. (UNDER SEAL).	
12/11/2015 11:36	(UNDER SEAL) Letter dated 12/6/15 to Ms. Shields (ALJ) from Resp. Daspin regarding his prior correspondence submitted to the Division. Exhibits A,C,D are attached. The Resp. notes that Exhibit B was previously submitted by disc. (UNDER SEAL)	
12/14/2015 11:24	Ltrs dated 12/7 and 12/8/15 from Respondent Daspin Re: supplemental declaration in further support of motion to court. Respondent requests that the Commission weigh the evidence, halt the proceeding and/or dismiss the case.	
12/14/2015 12:45	Division's Notice of Appearance. (As to Atty Barry O'Connell). (fax copy/ hard copy 12/14/15)	
12/14/2015 13:57	Division's Memorandum in Opposition to Respondent Daspin's Motion for Summary Disposition.	
12/14/2015 16:38	Division's Opposition to Respondent Daspin's Motion to Stay the Proceedings. (fax copy; hard copy 12/15/15.	
12/14/2015 17:18	Order	AP-3393
12/15/2015 13:05	Ltr of 12/14/15 to ALJ Grimes from Div Re: Respondent Daspin's Time Proposed for the Prehearing Teleconference Scheduled for 12/21/15. Respondent Daspin Proposed 1:30pm and Respondent Agostini Agreed With Time. Time is Acceptable for the Division.	
12/16/2015 14:56	Letter dated 12/10/15 from Respondent Daspin Re: opposition to the in lime request of the SEC to quash my witness list (Respondent requests that the court makes its own examination of prosecutorial misconduct) w/ exhibits.	
12/16/2015 17:32	Order	AP-3403
12/17/2015 13:02	Order	AP-3409
12/17/2015 17:03	Letter dated 12/11/15 from Respondent Daspin to OS re 5 Emails From WMMA Financial Investors w/ Attached Email Exhibits.	
12/18/2015 11:19	The Division's Pre-Hearing Memorandum. (fax copy/hard copy 12/21/15)	
12/18/2015 11:19	Respondent Agostini's Wells Submission in Lieu of a Prehearing Memorandum. (Received from ALJ on 8/22/16)	
12/18/2015 13:04	Order	AP-3416
12/21/2015 10:32	Letter dated 12/14/15 to OS from Respondent Daspin requesting a motion for a summary disposition w/attachments.	
12/22/2015 11:05	Division's Request for Official Notice. (Request to make certain documents public.) (fax copy/ hard copy 12/22/15)	
12/22/2015 11:34	Order	AP-3429

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12/22/2015 11:49	Division's Objections to Respondents' Exhibits. (fax copy/hard copy 12/22/15)	
12/22/2015 12:01	Respondent Daspin's Witness List. (fax copy)	
12/23/2015 13:40	Letter dated 12/20/15 to ALJ Grimes from the Division seeking permission to file a corrected brief.	
12/29/2015 16:02	Respondent Daspin's Response to Prehearing Memorandum. (fax copy/hard copy 1/4/16)	
12/29/2015 16:05	Email of 2/21/16 Respondent Daspin's Rebuttal Brief to the Division's Prehearing Allegations.	
12/29/2015 16:52	Respondent Daspin's reponse to preliminary statement to Division's prehearing conference.	
1/4/2016 12:56	Ltr of 12/23/15 to OS from Resp requesting that he be provided an electronic file of all of the declarations and supplemental declarations that he has filed including his motions and will gladly pay for a link and/or hard paper copy stating computer problems.	
1/4/2016 13:00	Letter undated to OS from Resp enclosing his response to the Division's prehearing memorandum.	
1/4/2016 13:14	Fax of 12/22/15 to Division from Respondent Daspin Listing his witnesses.	
1/4/2016 13:16	Fax of 12/22/15 to Division from Respondent Daspin Listing an additional witness.	
1/4/2016 13:29	Transcript of 12/21/15 telephonic prehearing conference; pp 42-91.	
1/4/2016 13:33	Corrected Transcript of 8/12/15 Telephonic Prehearing Conference; pp 19-41. (amended page numbers only) (19-40)	
1/5/2016 12:47	Order	AP-3465
1/6/2016 14:53	Transcript of 1/4/16 Hearing; New York, NY, pgs. 1-10.	
1/6/2016 16:30	Motion to the Commission for Extension	AP-3470
1/7/2016 9:42	(UNDER SEAL) Psychiatric Evaluation of Respondent Daspin's hospitalization w/ attachments. (rcv'd from the Division) (Fax Copy; Hard Copy 1/7/16) (UNDER SEAL)	
1/7/2016 14:05	Letter dated 1/7/16 to ALJ Grimes from Respondent Agostini opposing the Division's request for an extension, as in the Scheduling Order dated August 14, 2015. Respondent Agostini moves the Court to dismiss case against him.	
1/8/2016 11:29	Order Following PreHearing Conference	AP- 3481
1/11/2016 13:38	(UNDER SEAL) Letter dated 1/8/16 to ALJ Grimes from the Division requesting issuance of 4 subpoenas, a psychiatric evaluation and medical records of Resp. Daspin w/ 4 subpoenas attached. (fax copy; hard copy 1/11/16) (UNDER SEAL)	
1/12/2016 8:54	Letter dated 1/12/16 from Respondent Agostini re Attached Copy of the US Court of Appeals for the 2nd Circuit dated 1/12/16, Staying the SEC's Proceeding Against Respondent Agostini. (fax copy)	
1/13/2016 15:16	Transcript of 1/8/16 Telephonic Hearing; pp. 1-23.	
1/14/2016 8:15	Division's Motion to the Commission to Stay Proceeding In Light Of Order of the US Court of Appeals for the Second Circuit.	

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1/14/2016 12:16	Letter dated 1/13/16 to ALJ Grimes from the Div. Re: Resp. Agostini's letter dated 1/12/16 and Daspin's email to indicate the he intends to seek a stay of this proceeding from the Second Court. The Div. requests a stay due to pending legal developments.	
1/14/2016 16:46	Order Staying Proceeding as to Luigi Agostini	AP-3508
1/22/2016 11:17	Order Sealing Hearing and Setting Hearing Location	AP-3532
1/27/2016 11:12	Order Scheduling Prehearing Conference	AP-3539
1/28/2016 13:23	Division's Motion Seeking Expedited Consideration of Its January 14 Motion to Stay.	
2/1/2016 11:25	Order Following Prehearing Conference. (Hearing is scheduled for 2/11/16 to address the reason for Respondent Daspin's absence on 1/4/16.)	AP-3564
2/1/2016 14:39	(UNDER SEAL) Respondent Daspin's Declaration with attached letter dated 1/17/16 to ALJ Grimes and Mr. Perlman. (UNDER SEAL)	
2/1/2016 16:29	Respondent Daspin's letter joining in Division's Motion to Stay in light of Court of Appeals' order, with Exhibit A, and service list that included additional language from Respondent.	
2/3/2016 12:46	Transcript of 1/29/16 telephonic prehearing conference; pp. 92-105.	
2/4/2016 12:23	(UNDER SEAL) Letter dated 2/3/16 to ALJ Grimes from the Division to update ALJ about preparations for 2/11/16 Hearing, and requesting subpoenas w/ attached Exhibits A-B and subpoenas. (UNDER SEAL)	
2/8/2016 14:43	(UNDER SEAL) Respondent Daspin's letter to Mrs. Sheilds [sic] starting out with, "Please advise the court that I cannot attend: ..." (UNDER SEAL)	
2/8/2016 15:04	(UNDER SEAL) Respondent Daspin's letter starting out with, "Dear Mr. Charville [sic], 1] Please excuse my attempt to ask you to conform to all notices that you ..." "please exclude Mr. Lawrence Lux from all emails and by thysis email ..." (UNDER SEAL)	
2/9/2016 10:43	Letter dated 2/9/16 to ALJ from SABurachinsky, Esq. Atlantic Medical Group re Subpoena to Testify for Dr. Alan V. Puzino, M.D. Due to Dr. Puzino's Schedule He Requests to Be Permitted to Testify via Telephone, with Attached Subpoena. (Rcvd from ALJ)	
2/9/2016 11:37	Order Denying Stay	33-10038
2/9/2016 15:52	Order	AP-3586
2/10/2016 9:58	Carrier Clinic's Motion to Quash Subpoena or Modify Subpoena.	
2/10/2016 13:10	Order	AP-3594
2/10/2016 13:45	(UNDER SEAL) Division's Memorandum of Law in Opposition to Respondent Daspin and Joan Daspin's Objection to, and Motion to Quash, Various Subpoenas Medical Records and Testimony, w/ Attachment. (UNDER SEAL) (fax copy/ hard copy 2/11/16)	
2/10/2016 14:13	(UNDER SEAL) Division's Memorandum of Law in Opposition to Carrier Clinic's Motion to Quash or Modify Subpoena. (UNDER SEAL) (fax copy/ hard copy 2/11/16)	

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2/10/2016 14:53	Letter dated 2/3/16 from Division to Custodian of Records Carrier Clinic re Court-Ordered Subpoena to Produce Requested Documents by 2/5/16, or at Latest by 2/8/16. (Rcvd from ALJ)	
2/10/2016 16:09	Order	AP-3597
2/12/2016 16:24	(UNDER SEAL) Division's Exhibits. (RX: 1, 1A, 2-12) (UNDER SEAL)	
2/16/2016 9:06	Respondent Daspin's Ltr of 2/3/16 to The 2nd Circuit Court of Appeals re Ms Katherine O Hagen Wolfe [sic] starting out with, "Please convey my apology to the justices of the 2nd circuit court of appeals .1 ,mispoke in my" ... w/attached correction of record.	
2/16/2016 13:55	Order to Show Cause	AP-3606
2/16/2016 15:26	(UNDER SEAL) Transcript of 2/11/16 Hearing; New York, NY; pp. 11-80. (UNDER SEAL)	
2/16/2016 15:39	Respondent Daspin's Letter to Mr. Brent Fields [sic] starting out with "I] Please Be Advised and Copy Judge Grimes on My Objection(s) to the Subpoenas, That Under " ... (Objection[and in the alternative a motion to quash To Subpoena)	
2/16/2016 15:55	Respondent Daspin's Ltr to Attention Secretary Fields of the SEC [sic] starting out with, "Please Consider My Moving Papers as an Answer to the SEC Giving the Reasons That I am Respecting the Stay That The Second Circuit" ..., w/Attached "I am Responding to This"	
2/18/2016 8:30	Order Granting Extension	33-10040
2/18/2016 12:11	Respondent Daspin's letter undated re bearer of bad news. Husbands have duties to their wives that supersede duties to all others when it comes to protecting wives from dangerous circumstances which are not beyond control , with attached A.	
2/23/2016 17:11	(UNDER SEAL) Respondent Daspin's Answer to Court's Order of 2/10/16. (with Ex. A). (UNDER SEAL)	
2/24/2016 17:10	Letter dated 2/23/16 from Division to ALJ Informing Court that the US Court of Appeals for the 2nd Circuit Denied Respondent Daspin's Motion to Stay, with Attached Order.	
2/26/2016 10:19	(UNDER SEAL) Letter dated 2/23/16 from Resp. Daspin to Mr. Fields [sic] starting out with, "Please accept this response to the Hon James j grimes ADJL Of the SEC. I could not respond to the Secs paper as i had written 90%" (UNDER SEAL)	
3/7/2016 11:01	(UNDER SEAL) Division's Memorandum of Law in Opposition to Respondent Daspin's Response to the 2/16/16 Order to Show Cause. (fax copy/ hard copy 3/7/16) (UNDER SEAL)	
3/8/2016 12:46	(UNDER SEAL) Order Finding Respondent Daspin in Default. (Filed Under Seal and Redacted Version)	AP-3683
3/10/2016 8:38	Respondent Daspin's Notice of Motion for Reconsideration and Open Default. (Rcvd from ALJ)	
3/10/2016 16:12	Respondent Daspin's 2/28/16 Notice of Motion Request for A 10-Day Time to Reply to The SEC's Response Notice of Intention to Appeal the Second Circuits Denial of Resp's Notice for Stay.	

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3/11/2016 11:13	Ltr dated 3/11/16 to ALJ from Div re Response to Court's Order Finding Respondent Daspin in Default. Div Requests Leave To Move for Sanctions Against Respondent Daspin (fax/ hard copy)	
3/15/2016 10:11	Cover Letter to Mr. Fields dated 3/10/16. (Respondent Daspin's Reconsideration and Motion to Set Aside, with Attached Documents UNDER SEAL.)	
3/16/2016 12:05	Order Denying Motion to Set Aside Default and Setting Motion for Sanctions Schedule	AP-3713
3/17/2016 16:11	Respondent Daspin's Supplemental Motion to Set Aside Default.	
3/21/2016 8:26	Order on Transcript Corrections. (Transcript be Corrected To Reflect Hearing Occurred on 2/11/16. Corrections should Include: Pg 11: In the Date Field, Change 1/11/16 to 2/11/16 and Pg. 79, Line 9: 1/11/16 to 2/11/16. Issue Amended Transcript.)	AP-3724
4/1/2016 13:26	(UNDER SEAL) Respondent Daspin's Motion to Protect all Information filed Hereunder. (protective order requested) (UNDER SEAL)	
4/5/2016 15:29	Protective Order. (Motion is Granted. Daspin's Form D-A and Attached Tax Documents Subject to A Protective Order.)	AP-3764
4/6/2016 9:07	Division's Memorandum of Law in Support of Motion for Sanctions on Respondent Daspin. (fax copy/ hard copy rcvd 4/7/16)	
4/6/2016 9:12	(UNDER SEAL) Declaration of Elizabeth Baier in Support of Division's Motion for Sanctions, with Attached Exhibits A-E. (fax copy/ hard copy rcvd 4/7/16) (UNDER SEAL)	
4/11/2016 14:55	Order to Submit Exhibit List. (Order Division to email ALJ a List of Exhibits Admitted Into Evidence during the 2/11/16 Hearing by 4/15/16.)	AP-3776
4/14/2016 13:13	(UNDER SEAL) Amended Transcript of 2/11/16 Hearing; New York, NY; pp. 11-80. (UNDER SEAL)	
4/20/2016 15:00	(UNDER SEAL) ALJ's Exhibit List Pursuant to Rule 351. (UNDER SEAL)	
4/20/2016 15:20	(UNDER SEAL) Respondent Daspin's Ltr (No Date) to Dear Mr. Feild; [sic] starting out with, "I would like to express thanks for your patience with a pro see. I also need to inform you that enclosed is my response and opposition" w/Exhs 1-22... (Rcd ALJ) (Under Seal) (hard copy 4/22/16)	
5/3/2016 11:39	(UNDER SEAL) Respondent Daspin's undated letter to Secretary Fields titled "additional supplemental declaration". (UNDER SEAL)	
5/3/2016 15:33	Letter dated 5/3/16 from Division to ALJ Grimes requesting 3-day extension of time to file its Reply Brief in Support of its Motion for Sanctions. (fax copy; hard copy rcvd 5/4/16)	
5/3/2016 16:56	Order Granting Extension	AP-3822
5/6/2016 13:34	(UNDER SEAL) Letter Dated 5/4/16 from Respondent Daspin to OS re Extension Order Modification. (Received from ALJ) (UNDER SEAL)	
5/10/2016 16:35	(UNDER SEAL) Respondent Daspin's 5/9/16 Motion for Correction of Record with Attached Extra Exhibits. (UNDER SEAL)	

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5/12/2016 13:41	(UNDER SEAL) Division's Reply Memo of Law in Support of Its Mtn for Various Sancs on Respondent Daspin, w/ Supple Declaration of Elizabeth Baier in Support of The Div's Mtn for Sancs, EXs A-H. (fax copy; hard copy 5/13/16) (Declaration FILED UNDER SEAL)	
5/19/2016 12:37	(UNDER SEAL) Respondent Daspin's Supplemental Declaration in Support of Dismissal Motion and in Opposition to Request for Sanctions. (Rcvd from ALJ) (UNDER SEAL)	
5/20/2016 16:04	(UNDER SEAL) Respondent Daspin's Supplemental Declaration in Opposition to the Sanctions Motions and in Support of Relief that Motion Requested that the Court Consider to Dismiss. (UNDER SEAL)	
6/7/2016 13:28	(UNDER SEAL) Declaration/Supplemental in Support of Respondent Daspin's Motion to Dismiss. (copy/signed copy received 6/9/16) (FILED UNDER SEAL)	
6/13/2016 17:06	(UNDER SEAL) Respondent Daspin's 6/9/16 Document in Support of Motion to Cancel and Dismiss. (UNDER SEAL)	
6/21/2016 15:54	(UNDER SEAL) Letter dated 6/20/16 from Respondent Daspin re responding to the Division's email query to the court. (UNDER SEAL)	
7/12/2016 15:13	Ltr of 7/11/16 to ALJ from Div advising that on 7/11/16 the US Ct of Appeals for the 2nd Cir. vacated its stay of procs against Respondent Agostini. Div requests that the court schedule a telephonic status conf during week of 7/18, or any date thereafter.	
7/12/2016 15:29	Order Scheduling Prehearing Conference	AP-3980
7/18/2016 17:08	Motion to the Commission For Extension	AP-3996
7/19/2016 13:06	Email dated 7/19/16 to ALJ from Respondent Daspin re Thank you for Notice of Extension. (Received from ALJ)	
7/20/2016 16:30	Order Following Prehearing Conference	AP-4005
7/22/2016 15:15	Respondent's Motion to Dismiss for Bias, Elimination of Defenses.	
7/25/2016 15:01	Transcript of 7/19/16 Pre-hearing Conference; pp. 106-130.	
7/27/2016 16:06	Respondent Daspin's Supplemental Declaration and Motion to Dismiss the ALJ in House Motion to Dismiss with Attached (UNDER SEAL Email dated 7/25/16 re Mr. McConnell's email.)	
8/1/2016 15:48	Order on Transcript Corrections	AP-4031
8/3/2016 14:10	(UNDER SEAL) Email of 10/2/15 to ALJ from Respondent Daspin re Herrick Firm Given Authority by Respondent Daspin to Contact Each Doctor and Request they Send Herrick a Copy of the Results of Respondent Daspin's Tests and All Pertinent Records. (Rcvd from LJ) (UNDER SEAL)	
8/3/2016 16:07	(UNDER SEAL) Ltr. (Undated) to OS from Respondent Daspin re Marked Ex A that he disputes the changes that the court has attempted to make on the taped hrg and objections to the changes, to the fact that Judge Grimes is not properly appointed, with Attached Ex A. (UNDER SEAL)	
8/5/2016 11:29	Letter dated 2/11/16 to OS from Division (NIKolodny) re Enclosing Original Set of Exhibits Admitted into Evidence. (Received from ALJ)	

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8/5/2016 14:01	(UNDER SEAL) Letter to ALJ Grimes from Respondent Daspin re brief filed represents his Motion for Summary Judgement to be granted. (Under Seal) (Received from ALJ)	
8/5/2016 15:59	Record Index Prepared by the Office of the Secretary.	
8/9/2016 11:54	Amended Transcript of 8/4/16 Prehearing Conference; pp. 106-128.	
8/12/2016 15:15	Ltr dated 8/11/16 to ALJ from Div re Inquiry whether the time and location of hearing has been determined. If not, Div respectfully requests Court to extend deadline for submitting written subpoena requests until several days after the date.	
8/15/2016 14:55	Letter dated 8/15/16 to ALJ from Respondent Agostini re Enclosing Trial Subpoena Requests, with Attached Subpoenas. (fax copy)	
8/15/2016 16:58	Letter dated 8/12/16 from Division re 14 Witness Subpoena Request, as Per the Court's Instructions in its 7/20/16 Order Following the Prehearing Conference, attached Subpoenas.	
8/16/2016 16:47	Order on Subpoena Requests	AP-4067
8/22/2016 12:06	Letter dated 8/22/16 to OS from the Div. enclosing the Div.'s Proposed Corrections to the Record Index and blackline Comparison of the Division's Proposed Corrections. (fax copy; hard copy rcvd 8/23/16)	
8/22/2016 15:11	Order	AP-4080
8/23/2016 16:04	Initial Decision of Default As To Edward M. Daspin	ID-1051
8/23/2016 17:15	Order On Revisions To Record Index	AP-4084
8/26/2016 16:55	Respondent Agostini's Letter dated 8/26/16 Response to Order on Subpoena Request and to Show Cause. (fax copy)	
8/31/2016 14:28	Order	AP-4107
9/1/2016 16:56	Respondent Daspin's 8/29/16 Mtn to Either Dissolve and/or Vacate Find on 3/8/16 Find the Defen's Guilty of All Allega and In Supp of Agostini's Req for Short Extension and Such Other Witns and Notes and Investigators Relief, Attach 8/16 Wolf Ltr and Decl)	
9/2/2016 11:46	Order Scheduling Prehearing Conference	AP-4120
9/2/2016 12:29	Div's Opposition to Respondent Agostini's Motion for Issuance of Trial Subpoenas for Issuance of Trial Subpoenas to Div Staff; For Witness Interview Notes and Brady Disclosures, w/Attachments A-C and 9/1/16 Declaration of Barry O'Connell.	
9/7/2016 10:06	Respondent Daspin's Response to the SEC Opposition to Production of the Additional Brady Information. (fax copy)	
9/8/2016 8:41	Letter dated 9/8/16 to ALJ from TFBreen, D'Amato and Lynch LLP re Subpoena from Respondent Agostini with Attached Subpoena Addressed to Jaime Acker. Firm Request that Mailing of Subpoena to D'Amato and Lynch be Hekd as Invalid Service. (fax/ hard copy 9/15/16)	
9/8/2016 16:23	Order Following Prehearing Conference	AP-4140

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9/9/2016 8:56	Letter of 9/9/16 to ALJ Grimes from Division re Commission Approval for Agreement Reached between Division and Respondent Agostini re a Settlement on All Major Terms of the Matter Against Respondent Agostini. Division Received Signed OS. (fax/ hard copy 9/12/16)	
9/12/2016 11:16	(UNDER SEAL) Letter dated 9/10/16 from Respondent Daspin with Attached Motion to Correct Manifest of Errors. (UNDER SEAL)	
9/12/2016 12:54	Stay Order	AP-4146
9/15/2016 15:35	Respondent Daspin's Declaration made on 9/14/16 - Motion to Correct a Manifest Error to the Order of 9/8/16.	
9/15/2016 17:29	(UNDER SEAL) Respondent Daspin's Court Requested To Correct Error Correction. (UNDER SEAL)	
9/19/2016 16:43	Transcript of 9/7/16 telephonic prehearing conference, pp. 131-165.	
9/21/2016 15:07	Respondent Daspin's Motion to Set Aside Default, with Attached Exhibit A. (Petition for Review)	
9/21/2016 16:06	Order	AP-4184
9/26/2016 8:15	(UNDER SEAL) Division's Memorandum of Law In Opp. To Resp. Edward Daspin's Motion For The Commission To Set Aside Default Judgment, with Attached Declaration of Barry O'Connell dated 9/29/16. (FILED UNDER SEAL) (fax copy/ hard copy 9/27/16)	
9/29/2016 10:36	Letter dated 9/26/16 to OS from Respondent Daspin - Declaration and Statement Regarding His Appeal, with Attached Exhibits A-B.	
9/29/2016 17:00	(UNDER SEAL) Division's Memorandum of Law in Opposition to Respondent Daspin's Motion Under Rule 111 to Correct A Manifest of Error and Upon Such Relief Move the Matter to Federal Dist Ct of Newark, NJ if Not Settled by Parties. (fax copy/ hard copy 09/30/16)	
9/30/2016 11:23	Respondent Daspin's Motion Under Rule 111, To Correct Manifest of Error and Upon Such Relief Move The Matter To the Federal District Court of Newark, N.J. If Not Settled by Parties.	
10/3/2016 12:32	Respondent Daspin's Opposition to Division's Opposition to Motion to Set Aside Default and to Change Jurisdiction and Venue for all Derivative Proceedings to District Court, Newark, NJ, with Ex. A	
10/6/2016 9:04	(UNDER SEAL) Respondent Daspin's Supplemental Support Under Rule 155 B, To Set Aside The Default Judgement As it Was Unequitable, with Attached Exhibits A-C. (Filed Under Seal) (Received from ALJ/ hard copy 10/7/16)	
10/13/2016 14:30	Div's Mot for Leave to File Sur-Reply To Respondent Daspin's Two Decls Filed In Reply To Div's Opp to Daspin's Motion To Set Aside Default Judgment, Div's Memo of Law, and Declaration of Barry O'Connell w/Exh A-O. (Fax/Hard Cpy 10/14/16)	
10/19/2016 13:24	Respondent Daspin's 10/15/16 Motion for Leave to File a Motion to Oppose the Div's Opposition Sur To Motion As in Sur Reply and Retraction of an Error Made in Dr Puzino's Declarations re visit.	

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11/1/2016 16:52	Order Making Findings And Imposing Remedial Sanctions And A Cease And Desist Order, As To Luigi Agostini, with party letters, offer	33-10243
11/28/2016 17:02	Order Granting Petition for Review and Scheduling Briefs	33-10260
12/28/2016 12:17	Respondent's Brief in Support of Petition for Review, with attachments.	
12/29/2016 8:41	Email dated 12/29/16 to ALJ from Respondent Daspin providing a wide page version of his declaration for ease of reading. (1st 10 pages his brief and the remaining his declaration) (email copy from ALJ)	
12/29/2016 9:47	Respondent's Brief in Support of Petition for Review that supercedes the Brief filed earlier today. (copy from ALJ)	
1/24/2017 16:51	Revised Record Index Pursuant to ALJ's 8/23/16 Order	AP-4084
1/25/2017 8:29	Division's Motion Seeking Expedited Leave From the Commission for Additional Words to Respond to Respondent Daspin's 26,000 Plus Word Submissions on Appeal. (fax copy/ hard copy 1/26/17)	
1/26/2017 16:53	Order Denying Request to Exceed Word Limit (Denied)	33-10296
1/27/2017 14:50	Div.'s Mem. of Law In Opp to Resp's Pet For Rev of ID Entered Against Him 8/23/16 (Fax copy; hard copy rcvd 1/30/17)	
1/30/2017 8:38	Division's Motion for Leave to Adduce Additional Evidence (Fax copy; hard copy rcv'd 2/1/17)	
1/30/2017 14:42	Declaration of Barry O'Connell (Fax copy; hard copy rcv'd 1/30/17)	
1/30/2017 14:43	Div.'s Certificate of Compliance with Rule of Practice 450(c) (Fax copy; hard copy rcv'd 1/30/17)	
2/7/2017 15:34	Respondent Daspin's Rule 452 Motion to Adduce Additional Evidence and Amend Request for Review to Include Appointments Clause Issue, with Request for an Extension of Time to File Reply Brief.	
2/8/2017 15:31	Div's Opposition to Respondent Daspin's Motion to Stay his Tlme to File his Reply Brief and for Other Relief. (fax copy; hard copy rcv'd 2/9/17)	
2/14/2017 16:53	Respondent's Reply to Division's Opposition to Rule 452 Motion to Adduce Additional Evidence And Amend Request for Review to Also Include The Appointments Clause Issue Based Upon The Recent Bandimere.	
2/17/2017 11:38	Order Denying Request for Extension of Time to File Reply Brief. (Respondent Daspin's Request is Denied. Reply Brief is Due by 2/22/17)	33-10310
2/28/2017 15:15	Email dated 2/28/17 to ALJ from Petitioner re Attached 2/28/17 Request for Reconsideration of Denial to Reply and for Dismissal. (Received from ALJ/ hard copy 3/1/17)	
11/30/2017 11:31	Order (ratifying appointment of ALJs)	33-10440
12/4/2017 15:25	Order Ratifying Administrative Law Judges' Assignments	AP-5247
12/7/2017 12:12	Notice to the Parties and Order Following Remand	AP-5307
12/14/2017 15:07	(UNDER SEAL REQUESTED) Respondent Daspin's Motion for Reconsideration of Remand Order, Brief in Support, and Declaration in Support, with Ex. A (UNDER SEAL REQUESTED)	

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12/20/2017 17:19	(UNDER SEAL REQUESTED) Letter (Motion) dated 12/18/17 to B. Fields from Respondent Daspin requesting delay of remand awaiting ruling on Daspin's 12/14/17 Motion for Reconsideration and Declaration. (UNDER SEAL REQUESTED)	
12/22/2017 9:41	Letter dated 12/21/17 from Division to ALJ in response to recent filings of Respondent, with Attachment A. (fax copy; hard copy rcv'd 12/26/17)	
12/22/2017 9:44	Division's Opposition to Respondent Daspin's Motion for Reconsideration of the Commission's Order Remanding this Proceeding to the Assigned ALJ and for other Relief. (fax copy; hard copy rcv'd 12/26/17)	
12/26/2017 8:21	Respondent Daspin's Opposition (dated 12/22/17) to Division's request to deny Respondent's motion for reconsideration and Respondent's Declaration	
12/27/2017 14:40	Order Granting in Part Motion for Extension	AP-5424
12/27/2017 15:28	Respondent Daspin's brief and declaration in opposition to the Division's opposition to Respondent's motion for reconsideration	
12/27/2017 15:30	Respondent Daspin's Supplemental brief and declaration in opposition to Division's motion to deny Reconsideration .	
12/29/2017 14:22	Respondent Daspin's Supplemental Brief Requesting the Commission grant motion for additional time to be represented by counsel as well as provide a ruling on reversing the default judgement against him.	
1/11/2018 16:21	(UNDER SEAL REQUESTED) Respondent Daspin's Supplemental motion for restraining order against ALJ; Brief in support; and Declaration of Daspin (UNDER SEAL REQUESTED)	
1/12/2018 7:46	Division's Memorandum of Law in Support of Ratification of This Court's Prior Actions and Rulings (Fax copy; hard copy rcv'd 1/16/18)	
1/12/2018 12:57	(UNDER SEAL) Respondent Daspin's Motion To Restrain From any Hearings in Case (UNDER SEAL)	
1/19/2018 6:46	Division's letter dated 1/19/18 to ALJ re procedural issues raised by Respondent Daspin's two most recent filings (Fax copy; hard copy rcv'd 1/22/18)	
1/22/2018 11:08	Declaration of EM Daspin (dated 1/12/18) in Opposition to Division's memorandum, in support of ratification of this courts prior actions and rulings and brief (rcv'd from Div. via email 1/22/18)	
1/22/2018 11:11	Respondent Daspin's substitute Brief and Declaration (rcv'd from Div. via email 1/22/18; hard copy rcv'd 1/23/2018)	
1/22/2018 11:12	Order Regarding Respondent's Unauthorized Filings	AP-5508
1/22/2018 11:12	(UNDER SEAL) Respondent Daspin's email correspondence to ALJ in opposition to the Division's request for additional time to respond (rcv'd via email from the Division) (UNDER SEAL)	
1/23/2018 16:55	(UNDER SEAL) Division's Memorandum of Law in Opposition to Respondent Daspin's January 13, 2018 Motion, with Ex. A-O, and Declaration of Barry O'Connell (Fax copy; hard copy rcv'd 1/24/18) (FILED UNDER SEAL)	
1/23/2018 17:55	Respondent, Edward Daspin's Pro Se Substitute Declaration.	
1/24/2018 16:53	Respondent Daspin's Motion in support of the court expanding the remand.	

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1/30/2018 18:39	Letter dated 1/30/2018 from Division in response to Respondent Edward Daspin's Memorandum and Declaration email on January 27, 2018. (fax copy; hard copy rcv'd 1/31/2018)	
1/31/2018 17:58	Respondent's Opposition to Division's Memorandum of Law and Request for Motion	
2/1/2018 18:01	(UNDER SEAL) Respondent, Edward Daspin's Request, Declaration Brief in support of Defendant Motion to Enlarge Record (UNDER SEAL)	
2/6/2018 18:17	(UNDER SEAL) Respondent Daspin's Letter dated 2/5/18 and attachments including "Declaration Brief," Requesting the Commissioners Grant Relief.(UNDER SEAL)	
2/9/2018 14:35	Letter dated 2/9/18 from Division to ALJ in opposition to Respondent Daspin's request for a one-week stay. (fax copy; hard copy 2/12/2018).	
2/12/2018 14:32	Respondent Daspin's Motion dated 2/8/2018 for a One-Week Extension of Time to Provide the Parties the Opportunity to Resolve the Complaint's Issues Prior to any Review, with Declaraiton in Support.	
2/13/2018 18:05	Respondent's, Edward M. Daspin, Declaration, Brief, Approving or Denying, The Divisions Opposition to the One Week Stay Based on the Courts Order.	
2/15/2018 15:34	Order Extending Deadline for Decision on Ratification	AP-5607
2/20/2018 12:58	Respondent's Briefs' Submitted and in Support of a Motion to Either Dismiss or Grant Leave.	
2/20/2018 15:50	Public Redacted Order on Ratification (Public REDACTED Version)	AP-5619
2/20/2018 15:55	(UNDER SEAL) Order on Ratification (Under Sealed Version)	AP-5619
2/26/2018 13:22	Respondent Edward M. Daspin's request for a 10 day extension.	
2/28/2018 14:02	Letter from Division in Response to Edward Daspin's Letter Dated February 24, 2018 Requesting a 10 day Extension of Time to File a Motion (fax copy; hard copy rcv'd 3/01/2018).	
2/28/2018 18:32	Order Denying Request for Extension	AP-5633
3/6/2018 15:51	(UNDER SEAL REQUESTED) Division of Enforcement Memorandum of Law in Opposition to Respondent Edward Daspin's Rule 111(h) Motion. (Under Seal Requested) (fax copy; hard copy rcv'd 3/7/2018).	
3/8/2018 15:25	Order Denying Motion for Reconsideration	33-10468
3/9/2018 18:11	Letter date 3/7/2018 from Respondent Edward M. Daspin.	
3/13/2018 15:10	Order Denying Rule 111 Motion	AP-5646
4/2/2018 11:14	Dapsin's Declaration Superseding Declaration of 3/29/2018	
4/6/2018 10:50	Daspin's Declaration in Support of Motion and Brief to Order, dated 4/5/2018.	
4/6/2018 10:52	Daspin's Brief in Support of Motion to Review form of Order, dated 4/5/2018.	
5/7/2018 15:25	Supplemental Briefing Order	33-10493
5/14/2018 15:40	Letter dated 5/13/2019, Certificate of Compliance and Request for Help.	
5/18/2018 18:15	Division's Motion to Strike Daspin's May 14, 2018 Filing.	

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5/25/2018 12:36	Respondent's filing containing 5 emails, 3 Motions (to Expand Response, etc.; Supp M to Expand; Motion For Discovery, etc.), 2 Oppositions (to Strike Brief Limits, etc.:To Strike Resp's 8 page Brief, etc.) and 1 Brief (entitled "Short Brief.")	
6/1/2018 16:48	Motion for Discovery of the 3 Judges w duplicate copies (duplicate copies also rcv'd from ALJ office via a forward email from respondent dated 5/31/2018).	
6/1/2018 16:55	Motion in Opposition to Strike and Motion; if the Opposition to Strike and Motion to Reverse the Default Judgement and the Financial and Other Penalties is Denied, Motion to Given Subpoena Power. (rcv'd from ALJ office via a forward email from respondent).	
6/2/2018 15:07	Email dated 6/2/2018 from Respondent requesting the last submission ALJ made to the Commission be resubmitted to him and thanking the court of its efforts in answering his objections, with attachment letter (rcv'd from ALJ office).	
6/3/2018 12:23	Email dated 6/3/2018 from Respondent, responding to article 2 appointment clause (rcv'd from ALJ office).	
6/3/2018 17:03	Email dated 6/3/2018 from Respondent w/ attachment Opposition to Judge Denying Rule 11 Motion to Dismiss as it was no the 2nd Rule 111 H Motion and Motion to Strike (duplicate email rcv'd 6/7/2018; hard copy rcv'd 6/8/2018) (rcv'd from ALJ office).	
6/6/2018 18:05	(UNDER SEAL REQUESTED) Division's Supplemental Brief in Support of the ALJ's Ratification Order and in Further Opposition to Respondent Edward Daspin's Appeal of the Initial Decision (under seal requested) (fax copy; hard copy rcv'd 6/7/2018).	
6/7/2018 17:05	Email dated 6/6/2018 from Respondent with attachment of White House letter (dupliate email rcv'd 6/7/2018; hard copy rcv'd 6/8/2018) (rcv'd from ALJ office).	
6/20/2018 17:55	Division's Supplemental Reply Brief in Response to Respondent Edward Daspin's Various Filings Concerning the ALJ's Ratification Order. (fax copy; hard copy rcv'd 6/21/2018)	
6/21/2018 13:26	Order (staying case for 30 days or pending further order of the Commission)	33-10510
7/20/2018 10:02	Order (staying case until August 22, 2018 or until further order of the Commission)	33-10522
8/22/2018 13:07	Order (lifting stay, remanding matters on Exhibit A, directing reassignment, and other procedures)	33-10536
8/23/2018 17:03	Notice from the Chief Administrative Law Judge	AP-5954
8/28/2018 17:02	Respondent's brief seeking to vacate the complaint, to void default judgement and financial penalties, and such other relief as requested in the three orders attached to the brief (hard copy rcv'd 8/28/2018) (duplicate email rcv'd from ALJ office).	
9/5/2018 12:41	Division of Enforcement's Response to Respondent Daspin's August 28, 2018 Filing (fax copy; hard copy rcv'd 9/6/2018).	
9/10/2018 14:38	Letter dated 9/7/18 Resp. Daspin's Reply to Enforcement's Reply to his 8/25/18 Declaration with Supplemental Modification Declaration and Brief Re:8/25/18.	
9/10/2018 14:47	Letter dated 9/7/18 Resp. Daspin's Reply to his 8/25/18 submissions and Motion for summary judgement.	

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9/10/2018 14:51	Letter dated 8/5/2018, Respondent Daspin's Supplemental Modified Declaration and Brief Re: 8/25/18; to the Commissioners submissions.	
9/12/2018 7:09	Chief Administrative Law Judge's Order Assigning Proceedings Post Lucia v. SEC	AP-5955
9/12/2018 13:56	Respondent's Proposed Order(s) for Summary Disposition/settlements'; Request for \$2,800,000; email; and letter.	
9/13/2018 12:47	Email dated 9/13/2018, Respondent's update to vacate his case (rcv'd from ALJ)	
9/14/2018 11:43	Email dated 9/14/2018 from Resp.w/ 5 duplicate docs.: Declaration of Daspin Motion and Prayer for Relief (hard copy rcv'd 9/17/18); Proposed Order(s) for Summary Disposition/settlements'; Request for \$2,800,000; email; and letter (rcv'd from ALJ office).	
9/17/2018 16:46	Order Following Reassignment	AP-5988
10/29/2018 17:50	Division's Letter to ALJ dated 10/29/2018 with exhibits A-E. (fax copy; hard copy rcv'd 10/30/2018)	
10/30/2018 17:57	Daspin's Brief in Support and Declaration of the motions, with exhibits 1-8.	
11/2/2018 11:39	Order Scheduling Prehearing Conference	AP-6284
11/6/2018 15:14	(UNDER SEAL REQUESTED) Division's Response to Respondent Daspin's October 30, 2018 Filing and Related Submissions (Under Seal Requested) (Fax copy; hard copy rcv'd 11/07/2018)	
11/14/2018 16:30	Email dated 11/14/2018 from Resp. w/ declaration and Brief and certificate of service. (rcv'd from ALJ office; hard copy rcv'd 11/14/2018).(duplicate hrad copy rcv'd 11/15/2018)	
11/19/2018 13:10	Order Following Prehearing Conference (as to Edward Daspin)	AP-6342
11/23/2018 12:35	Transcript of 11/14/2018 of Pre-Hearing Conference, pp. 1-54, New York, NY.	
11/30/2018 17:00	Order Regarding Request for Copies of Record Materials	AP-6382
12/12/2018 13:48	Respondent's confidential brief and declaration and supplement declaration.	
12/12/2018 18:39	Division of Enforcement's Opposition to Respondent Daspin's December 5, 2018 Filing. (fax copy; hard copy rcv'd 12/13/2018)	
12/14/2018 16:56	Respondent's Declaration and Response to Division's Reply to Respondent's Declaration of 12/7/18.	
12/17/2018 17:59	Division's Request for Court to Issue Disposition Subpoenas for Respondent and his wife, Joan Daspin (fax copy;hard copy rcv'd 12/18/2018).	
12/17/2018 18:01	Division's Motion to Dismiss or Strike Respondent's December 11, 2018 Filings. (fax copy; hard copy rcv'd 12/18/2018).	
12/26/2018 13:17	Order on Edward M. Daspin's Motion for Reconsideration	AP-6423
12/26/2018 14:54	Letter dated 12/21/18, from Alan Puzino V, MD, Daspin Doctor, to Judge, Medical Opinion.	
1/15/2019 15:21	Order (staying all AP cases until further order of the Commission)	33-10602
1/28/2019 17:40	Letter dated 1/8/2019 from Respondent, Declaration of Support of a modification of Judge's Subpoena.	

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1/28/2019 17:42	Letter dated 1/9/2019 from Repsondent, requesting review of Judge's order.	
1/28/2019 17:43	Letter dated 1/10/2019 from Respondent, advising the court of settlement.	
1/28/2019 17:44	Letter dated 1/14/2019 from Respondent, Declaration Request.	
1/28/2019 17:45	Letter dated 1/20/2019 from Respondent, Supplemental declaration in opposition to the Divisions' contempt motion.	
1/28/2019 17:47	Letter dated 1/25/2019 from Respondent, Supplemental Declaration In Support of Dismal, Vacate and/or Settlement and Opposition to Contempt.	
1/28/2019 18:26	Letter from Division, dated December 27, 2018	
1/28/2019 18:28	(UNDER SEAL) Division's Motion for an Order to Show Cause Why Respondent Daspin Should Not be Deemed in Default (UNREDACTED) (filed under seal)	
1/30/2019 18:04	Order (lifting stay and extending due dates by 14 days for filings due from 12/27/2018 and 1/30/2019	33-10603
2/1/2019 18:27	Letter from Division, dated January 31, 2019.	
2/5/2019 14:50	Letter dated 2/5/2019 from the Division of Enforcement, regarding follow-up to 1/31/2019 letter requesting that the Court schedule a telephonic status conference. (fax copy; hard copy rcv'd 2/6/2019)	
2/6/2019 13:19	Order Denying Motion for an Order to Show Cause and Entering Protective Order	AP-6441
2/13/2019 16:54	Division's Motion for an Order to Show Cause Why Respondent Daspin Should Not be Deemed in Default (REDACTED)	
2/14/2019 13:46	Daspin's Appeal for the Commissioners, dated 2/13/2019.	
2/14/2019 16:34	Order Denying Motion to Postpone Hearing and for Issuance of Subpoenas	AP-6459
2/15/2019 18:14	Division's Letter to Chief ALJ seeking the issuance of three deposition and document subpoenas	
2/19/2019 14:03	Respondent's Brief for the additional motions', dated 2/15/2019.	
2/25/2019 17:57	Division's Response to Respondent Edward Daspin's February 13, 2019 and February 15, 2019 Filings.	
2/25/2019 17:59	Division's Response to Respondent Daspin's February 15, 2109 Filings Regarding "Documents from the Division".	
2/28/2019 14:28	Notice of Hearing Location and Order Denying Motion	AP-6471
2/28/2019 17:08	Letter dated 2/20/2019 from Respondent to ALJ re: ALJ orders Feburary 6, 14, 21.	
3/4/2019 18:02	Division's Response to Respondent' Filing Dated February 20, 2019.	
3/5/2019 17:58	Notice of Withdrawl of Counsel, Nathaniel I. Kolodny, on behalf of the Division of Enforcement. Counsel Representation, Kevin P. McGrath and Barry P. O'Connell, on behalf of the Division. (fax copy; hard copy 6/6/2019)	
3/6/2019 13:32	Order Denying Motion for Extension of Procedural Schedule and to Quash or Modify Subpoenas	
3/8/2019 17:04	Order Denying Motion for Stay or Dismissal	AP-6490

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3/11/2019 11:12	Letter dated 3/1/19, from Respondent's Declaration and Brief to support motion for a tolling of time to postpone the case for medical reasons or dismiss it for those reasons (rc'vd in ALJ 3/8/19 via email. ALJ forward to OS 3/11/18; hard copy rcv'd 3/12/19	
3/12/2019 15:12	Letter from respondent to ALJ office and OS; with redlined attachment dated 3/10/19 (rcv'd in ALJ on 3/11/19).	
3/13/2019 13:20	Letter dated March 12, 2019, from Division of Enforcement to ALJ office.	
3/13/2019 16:03	Order Clarifying Procedural Schedule	AP-6494
3/22/2019 17:05	Division's letter seeking issuance of hearing subpoenas.	
3/27/2019 15:52	Division's letter dated 3/26/2019, providing Chief Judge Murray with a copy of the disposition transcript of Dr. Alan Puzino.	
4/1/2019 17:45	Letter from Respondent to ALJ's office, dated 3/30/2019	
4/1/2019 17:55	Letter from Respondent to Division and ALJ, regarding certified mail delivery and extension.	
4/5/2019 10:18	Division of Enforcement's Final Request to Issue Official Notice. (fax copy missing pages;	
4/5/2019 13:59	Declaration of Barry O'Connell (fax copy, missing pages; hard copy rcv'd 4/8/2019)	
4/5/2019 14:00	Plaintiff's Motion for Evidentiary Sanctions (fax copy, missing pages; hard copy rcv'd 4/8/2019)	
4/5/2019 14:01	Division of Enforcement's Request for Official Notice (fax copy, missing pages; hard copy rcv'd 4/8/2019)	
4/5/2019 17:33	Division of Enforcement's Prehearing Memorandum (fax copy, missing pages; hard copy rcv'd 4/8/2019)	
4/10/2019 14:06	Letter dated 4/3/2019 from Respondent to ALJ and OS; Declaration and brief and opposition to contempt and Proof of Innocence.	
4/10/2019 17:33	Final Prehearing Order	AP-6538
4/22/2019 9:58	Transcript of 4/16/2019 of Hearing Vol. 1, pp. 1-301, New York, NY.	
4/23/2019 9:56	Transcript of 4/16/2019 of Hearing Vo1. 2, pp. 302-571, New York, NY.	
4/25/2019 15:18	Transcript of 4/17/2019 of Hearing Vo1. 3, pp. 572-852, New York, NY.	
4/25/2019 15:19	Transcript of 4/18/2019 of Hearing Vo1. 4, pp. 853-1162, New York, NY.	
4/25/2019 15:20	Transcript of 4/19/2019 of Hearing Vo1. 5, pp. 1163-1328, New York, NY.	
4/30/2019 18:58	Transcript of 4/22/2019 of Hearing Vol. 6, pp. 1329 -1724, New York, NY.	
5/3/2019 16:25	Order for Continued Hearing	AP-6562
5/7/2019 19:00	(UNDER SEAL) Transcript of 4/23/2019 of Hearing Vol. 7, pp. 1725-2034, New York, NY. (UNDER SEAL)	
5/7/2019 19:01	Transcript of 4/24/2019 of Hearing Vol. 8, pp. 2035-2355, New York, NY.	
5/7/2019 19:02	(UNDER SEAL) Transcript of 4/25/2019 of Hearing Vol. 9, pp. 2356-2643, New York, NY. (UNDER SEAL)	

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5/7/2019 19:03	Transcript of 4/26/2019 of Hearing Vol.10, pp. 2644-2722, New York, NY.	
5/8/2019 16:11	Respondent's Exhibit 50 (3 minute audio recorded conversation. (rcv'd in ALJ's office on 5/6/2019).	
5/9/2019 12:39	(UNDER SEAL) ORDER	AP-6559
5/9/2019 17:25	Respondent's Exhibits (1-50)(Rcv'd in ALJ office on 5/6/2019)	
5/10/2019 13:10	Order for Continued Hearing	AP-6570
5/17/2019 7:17	Transcript of 5/8/2019 of Hearing Vol.11, pp. 2723-2734, New York, NY.	
5/20/2019 13:08	Post-Hearing Order	AP-6582
5/22/2019 13:52	Letter dated 5/21/19 from Division to ALJ notifying ALJ that it does not intend to respond to Respondent's interim emails.	
5/23/2019 7:27	Transcript of 5/14/2019 of Hearing Vol.12, pp. 2735-3015, New York, NY.	
5/24/2019 16:03	Email from Respondent to ALJ; dated 5/20/2019 regarding making certain factual and legal arguments related to the hearing that just concluded.(rcv'ed from ALJ via email on 5/24/2019)	
5/28/2019 15:44	Transcript of 5/15/2019 of Hearing, Vol. 13, pp. 3041-3433, New York, NY.	
6/4/2019 15:53	List of Division's Exhibits and List of Mr. Daspin Exhibits	
6/13/2019 15:27	Letter dated 6/6/19 from Respondent regarding motion for relief and for a turnover order to the division. (rcv'd from ALJ office via email)	
6/13/2019 15:35	Letter from the Division, dated 6/12/2019, providing Chief Judge Murray w/ electronic copies of the exhibits the Division introduced into evidence. Division moved for a protective order limiting from disclosure Division's Exhibits 489, 490, 491, and 492	
6/14/2019 17:05	Order Denying Motion for Relief	AP-6609
6/24/2019 17:56	Email from Respondent to ALJ officer; re: request for transcript copy (rcv'd via email from ALJ's Office).	
6/24/2019 17:56	Order Denying Motion for Transcript Copy	AP-6614
6/28/2019 7:43	Order Denying Interlocutory Motions	33-10654
7/3/2019 16:54	The Division of Enforcement's Post-Hearing Memorandum (fax copy; hard copy rcv'd 7/5/2019)	
7/15/2019 18:13	Div. Admitted Ex. Vol.1 (1-4; 6-12; 12A; 15-22; 25-30; 32;34; 36-37;40; 48; 55-55; 55A; 57-65; 67; 67A; 67B; 69-80; 80A; 83;93-96; 103;137; 139; 147-149; 149A; 151; 154; 154A; 156-157; 162; 166-189; 197; 200-202; 203A; 204-206; 206A; 207; 207A)	
7/15/2019 18:31	Div. Admitted Ex. Vol.2 (209; 209A; 209B; 211; 211A; 214-216; 224; 237-239; 247; 251; 262-264; 268; 272; 280; 284; 288; 292;296-297; 300-301; 303;321; 329-330;336-337; 342; 344; 351; 359; 366-370; 377-378; 380-381; 383-387; 389-392; 399)	
7/15/2019 18:44	Div. Admitted Ex. Vol. 3 (406-407; 409; 414; 421; 421A; 421B; 422; 433-439; 448; 450; 453-457; 466; 469; 470; 481A; 484; 487-488, 493-496; 496A; 496B; 497-504; 506-507; 514-518; 520-521; 524; 528; 530; 547-548)	

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7/15/2019 19:08	Div. Admitted Ex. Vol.4 (493-496; 496A; 496B; 497-504; 506-507; 514-518; 520-521; 524; 528; 530; 547-548; 557; 564; 568-570; 572-573; 577; 597; 600; 603-605; 608-609; 616; 618; 622; 624-625; 627-628; 630-631; 633-635;637; 655-656)	
7/15/2019 19:14	(UNDER SEAL) Div. Exhibits Unredacted Admitted Vol.1 (Under Seal) (25-28; 34; 37; 40; 48; 55; 55A; 57-63; 63A; 64; 65; 67; 67A; 67B; 70; 72-74; 83; 93; 96; 148-149; 149A; 151; 156-517; 162; 166-189; 237-239; 247; 262; 268; 297; 321; 329-330; 336-337; 342; 344; 351)	
7/15/2019 19:26	(UNDER SEAL) Div. Ex. Unredacted Admitted Vol. 1 (359; 366-370; 377; 380; 386; 392; 399; 406-407; 409; 421-422; 433; 438-439; 457; 470; 481A; 489; 490;490A;491; 491A; 492; 492A; 514-518; 520; 524; 528; 547-548; 564; 570; 572-573; 597; 600; 604-605; 608)	
7/15/2019 19:36	(UNDER SEAL) Div. Ex. Unredacted Admitted Vol. 1 continued (616; 622; 624-625; 627-628; 630-631; 633-635; 367; 655; 656)	
7/23/2019 13:37	Email dated July 20, 2019, from Respondent Daspin to ALJ; requesting notes from Judge Murray. (rcv'd in ALJ's office on 7/20/2019; sent via email to OS).	
7/23/2019 13:39	Order Denying Motion for Judge's Notes	AP-6637
7/29/2019 14:36	Post-hearing Order on Exhibits	AP-6645
7/30/2019 16:04	Order Granting Extension	AP-6646
7/31/2019 15:47	Letter dated 7/29/2019 from Division of Enforcement to Chief Judge Murray.	
8/2/2019 13:58	Letter dated 8/1/2019 from Division of Enforcement to Chief Judge Murray.	
8/5/2019 10:10	Email dated 7/31/2019 from Respondent to ALJ's office, requesting extension to file briefs. (rcv'd from ALJ office)	
8/5/2019 11:10	Order Denying Extensions and Leave to File Reply Brief	AP-6649
8/6/2019 15:42	Letter dated 8/5/2019 from Respondent, "Ther wasno..." (rcv'd via email from ALJ's office, rv'd in ALJ's Office 8/6/2019)	
8/7/2019 14:01	Division of Enforcement's Post-Hearing Reply Memorandum (fax copy; hard copy rcv'd 8/9/2019).	
8/12/2019 13:20	Letter undated from Respondent Daspin (6 pages) starting with: "there was no SEC interhear and if ther was the procecutor did not assist..." (sent to OS by TM Division).	
8/12/2019 14:38	Declarations of Puzino, Robinson and Rosenfeld in Support of Motion to Dismiss/Stay and Proposed order (rcv'd in ALJ's office 5/14/2015)	
8/12/2019 14:40	Letter dated June 24, 2015, from Div. to ALJ to Advise the Court of the Status of the Settlement Discussions between the Div. and Respondent Lawrence Lux, who is pro se. (rcv'd in ALJ's office on 7/16/2015)	
8/12/2019 14:43	Exhibit A - Daspin's Declaration 10/03/2015, Exhibits 1- 18 (rcv'd in ALJ's office 10/07/2015)	
8/12/2019 14:44	(UNDER SEAL) Letter dated 10/25/15, from Monut Sinai Heart, Dr. Halperin, to Dr. Puzino and OS, Details of Daspin's Clinical History and Findings (fax 10/19/15) (Filed Under Seal). (rcv'd in ALJ's office 10/20/2015)	

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8/12/2019 14:45	Transcripts, dated 08/12/15, pages 19-41, Pre-Hearing Conference (Amended) (rcv'd in ALJ's office 12/29/15)	
8/12/2019 14:48	Letter dated 01/17/16, from Daspin to OS, to be Sealed as Personal Medical Information Contained herein and hearunder (rcv'd in ALJ's office 02/03/16)	
8/12/2019 14:49	Division's Issued 5 Subpoenas (3 Forthwith and 2 Testimony) (rcv'd in ALJ's office 02/03/16)	
8/12/2019 14:50	Letter dated 01/30/18, from Div. to Judge, Response to Respondent's Memorandum and Declaration emailed on 01/27/18 (rcv'd in ALJ's office 02/05/18).	
8/12/2019 14:51	Letter dated 09/13/18, from Respondent to Commissioners and Judge; Declaration of E.M. Daspin, Motion and Prayer for Relief (rcv'd in ALJ's office 09/17/18)	
8/12/2019 15:03	Request for Motion to Stay (Agostini only) (rcv'd in ALJ's office 9/12/16)	
8/13/2019 13:49	Letter undated from Respondent (8 pages) starting: "Dear Ms. Shields; I read Mr. Oconell post hearing memorandum..."(rcv'd in ALJ's office 8/13/2019)	
8/13/2019 13:52	Division of Enforcement's Response to Respondent Daspin's Untimely, Serial Filings (fax copy; hard copy rcv'd 8/14/2019)	
8/19/2019 14:51	Amended Transcript of 5/23/2019 of Hearing Vol. 7, pp. 1725-2034, New York, NY. (Amended 8/15/2019)	
8/19/2019 14:57	Amended Transcript of 4/25/2019 of Hearing Vol. 9, pp. 2356-2643, New York, NY. (Amended 8/15/2019)	
8/19/2019 18:12	OS Record of Index Issued	
9/19/2019 15:32	Letter dated 9/18/2019 from Respondent to ALJ (rcv'd in ALJ's office)	
9/19/2019 16:16	Letters date 7/14/2019 from Respondent with Motion (Post Hearing Brief) (rcv'd in ALJ's office 7/27/2019)	
9/30/2019 18:22	(UNDER SEAL REQUESTED) Letter dated, 8/28/2019 from Respondent to ALJ's office (under seal requested) (rcv'd from ALJ; rcv'd in ALJ's office 8/28/2019 via email).	
10/16/2019 11:23	Respondent's Exhibits (rcv'd by ALJ; rcv'd in ALJ's office on 10/16/2019)	
10/16/2019 15:05	Initial Decision	ID-1387
11/4/2019 19:40	Letter dated 10/29/1 from Respondent regarding Declaration and Motions; to Extend time to Prove Manifest Errors of Fact (rcv'd in ALJ's office 11/4/2019; hard copy rcv'd in OS 11/13/82019)	
11/4/2019 19:44	Letter dated 1/11/2019 from Respondent regarding Declaration and Motion and Brief for the Following Violations (rcv'd in ALJ's office 11/4/2019)	
11/12/2019 19:37	Email dated 11/9/2019 from Respondent regarding respondent's request (rcv'd in ALJ's office via email 11/12/2019)	
11/13/2019 13:51	Letter dated 10/29/1 from Respondent Daspin, Declaration and Motion to Extend the time to prove Manifest Errors...with Initial Decision as exhibit.	
11/13/2019 13:54	Letter undated from Respondent to Region Oil.	
11/14/2019 17:48	Email dated 11/12/2019 from Respondent Daspin regarding subpoenas of ALJs (rcv'd via hard copy filing)	

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11/20/2019 18:30	Email dated 11/14/2019 from Respondent starting with "Hi, Please copy 2 chronological sets..." (rcv'd via hard copy filing)	
11/20/2019 18:33	Email dated 11/12/2019 from Respondent starting, " 1] she has conflicts of interest..." (rcv'd via hard copy filing)	
11/22/2019 14:42	Letter dated 11/14/19 from Daspin to OS requesting "2 chronological sets from the beginning of the record keeping to day to the SEC" (duplicate received 12/10/19)	
12/4/2019 12:42	Notice	AP-6714
12/6/2019 14:30	Letter dated 12/4/19 from Respondent to OS requesting additional time to respond to the Initial Decision (rcvd from ALJ; hard copy rcvd 12/10/19)	
12/12/2019 14:12	Division's Partial Opposition to Respondent's Requests for a Free Hearing Transcript, Exhibit Copies, and More Time to File a Motion to Correct Manifest Errors of Fact, Declaration of Barry O'Connel, and Ex. A-K	
12/19/2019 15:45	Copies of various filings previously made	
1/10/2020 13:37	Extension Order	33-10743
1/21/2020 10:10	Respondent's Petition for Review of the Initial Decision (titled "Supplemental Appeal and Corrections of Manifest Errors of Fact") (rcvd from ALJ; rcvd from respondent on 1/22/20)	
1/29/2020 15:53	Respondent's Supplemental Due Process Violation, Declaration and Renewed Dismissal Motion, Clarification of Prior Submissions	
3/4/2020 1:00	Respondent's Motion and Declaration to Dismiss	
3/4/2020 2:00	Respondent's Supplemental Declaration and Motion to Dismiss	
3/4/2020 3:00	Respondent's Superceding Supplmental Declaration and Motion to Dismiss	
4/1/2020 7:35	Respondent's Motion / Extension / Settlement / Declaration (rcvd from ALJ)	
4/16/2020 12:59	Order Granting Petition for Review and Scheduling Briefs	33-10773
5/18/2020 16:00	Letter dated 5/18/2020 from Respondent to OS requesting extension of time; notifying of address change; and refusing to waive paper service (rcvd from APFiling)	
5/21/2020 10:56	Division's Waiver of Paper Service (rcvd from APFilings)	
5/21/2020 10:57	Division's Response to Resp's Request for Extension of Time to File Appeal Brief (rcvd from Apfilings)	
5/26/2020 11:15	Extension Order	33-10787
6/8/2020 9:25	Letter (undated) from Respondent Daspin to OS requesting 75-day extension of time to file briefs (rcvd from ALJ)	
6/10/2020 17:03	Respondent's Declaration/Brief/Request Whisleblower Fee of 3.5 Million (marked "DRAFT") (rcvd from Apfilings)	
6/11/2020 16:31	Undated letter from Respondent to OS requesting 75-day extension of time (different letter from prior letter requesting same)	

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6/15/2020 16:32	Division's Response to Respondent's Request for Extension of Time to File His Appeal Brief and for Other Relief, with Declaration of Barry O'Connell and Exhibits A-K	
6/15/2020 16:34	Undated letter from Respondent to OS requesting 10 day additional extension of time, and providing additional email address	
6/19/2020 10:24	Extension Order	33-10792
6/23/2020 10:21	Respondent's Declaration, Brief, and Motions for Dismissal and Whistleblower Fee of \$3.5 million	
7/1/2020 16:12	Division's Motion Requesting Guidance	
7/2/2020 15:51	Letter dated 7/2/20 from Respondent to OS in response to Division's Motion Requesting Guidance	
7/6/2020 11:35	Extension Order	33-10799
7/17/2020 16:27	Respondent's Supplemental Declaration-Brief-Motion (rcvd from ALJ)	
7/17/2020 16:28	Respondent's Supplemental Exhibit in Further Support of Supplemental Declaration-Brief-Motion	
8/3/2020 10:34	Order Denying Request for Documents	33-10813
8/6/2020 8:26	Respondent's Final Supplemental Declaration and Brief in Support of Motions	
8/10/2020 14:22	Respondent's Conclusion and Finale and Supplemental Declaration in Support of Motions	
8/18/2020 16:19	Respondent's Conclusion and Finale and Supplemental Declaration in Support of Motions	
8/18/2020 16:20	Respondent's Declaration, Brief, Motions	
8/18/2020 16:20	Respondent's Motion for Reconsideration of Order Denying Request for Documents	
8/24/2020 17:18	Email from Respondent to OS inquiring about the rules of practice	
9/1/2020 10:05	Brief Support of Prior Motions To Dismiss	
10/2/2020 17:26	Division's Brief in Opposition to Respondent's Petition for Review of Initial Decision	
10/13/2020 13:38	Order Denying Request for Documents	
10/13/2020 15:41	Email from Division to Respondent re Page Limits to Opening and Opposition Briefs	
10/14/2020 14:19	Division's Opposition to Respondent Daspin's Motion for Extension of Time to File his Reply Brief	
10/14/2020 14:37	Respondent Daspin's Motion for Extension of Time to File his Reply Brief	
10/15/2020 11:25	Order Extending Time to File Reply Brief	33-10875
10/15/2020 11:39	Respondent Daspin's Response to Divison's Request to Deny Extension Request	
10/16/2020 16:34	Email Dated 10/16/20 from Respondent to ALJ	
10/19/2020 9:25	Respondent Daspin Motion for Extension of Time to 10/25/20	
10/22/2020 10:57	Supplemental Extension Declaration and Disclosure	

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10/26/2020 17:00	Order Denying Motion for Extension of Time	33-10879
10/27/2020 9:37	Respondent's Motion to Dismiss under Due Process Violations	
11/9/2020 10:36	Supplemental No Due Process Dismissal Motion	
11/12/2020 12:10	Corrected Supplemental Corrected and Enhanced Motions	
11/13/2020 9:22	Respondent's Motion Reconsideration and for Innocence and Dismissal for Manifest	
4/23/2021 13:46	Notice of Appearance, Kevin P. McGrath , On Behalf of Divisions	
4/23/2021 13:47	Notice of Appearance, Barry OConnell , On Behalf of Divisions	
8/23/2021 16:35	Order Extending Time to Issue Decision	33-10966
11/23/2021 14:53	Order Extending Time to Issue Decision	33-11009
2/22/2022 11:38	Order Extending Time to Issue Decision	33-11031
3/22/2022 12:25	Letter dated 03-22-2022 from Respondent Daspin providing OS with a corrected zip code and new email addresses	
3/31/2022 12:09	Letter with no date from Respondent Daspin correcting previous declarations	
4/29/2022 13:33	Notice of Appearance, Lawrence May, On Behalf of Respondent	
4/29/2022 13:51	Respondent Daspin Declaration With Exhibit A and B	
5/23/2022 14:17	Order Extending Time to Issue Decision	33-11065
7/7/2022 12:08	(UNDER SEAL REQUESTED) Respondent's Final Declaration to Commission	
7/8/2022 12:35	(UNDER SEAL REQUESTED) Supplemental Declaration Attached and Made a Part of My Declaration of July 7, 2022 in Support of Motions Submitted to the Commission	
8/9/2022 14:02	Letter with no date from Respondent Daspin to Commissioners	
8/22/2022 14:41	Order Extending Time to Issue Decision	33-11094
9/8/2022 16:56	(UNDER SEAL Requested) Supplemental Modification of Last Declaration in Support of Motion(s) and Certificate of Service	
9/22/2022 11:24	Supplemental Declaration to Declaration of September 8,2022 in further Support of my Prior Declarations Motion in addition to Restructuring the inhouse Process with Exhibit A	
11/7/2022 13:56	Declaration of Respondent in Support of Motion for an OSC to Restrain the SEC Commissioners from Making further Extensions.	
11/14/2022 13:38	Respondent's Petition to the Third District Court	
11/21/2022 9:17	Order Extending Time to Issue Decision	33-11135
2/9/2023 17:12	Respondent's Two Service Declarations and Documents for Court with Exhibits	
2/16/2023 15:49	Respondent Clarification of Plan for Case	
2/21/2023 10:30	Order Extending Time to Issue Decision	33-11158