

## Record Index

as of 3/29/2023

Page 1 of 2

**Administrative Proceeding File No:** 3-18014**Respondents:**

Evolucia, Inc.; Legend International Holdings, Inc.; and OSL Holdings, Inc.

Filed Date	Event Description	Release No
6/7/2017 16:24	Order Instituting Administrative Proceedings and Notice of Hearing Pursuant to Section 12(j) of the Securities Exchange Act of 1934, with party letter	34-80880
6/7/2017 16:25	Letters dated 6/8/2017 to Respondents from Division Regarding the Availability of Documents for Inspection and Copying (mailed with OIP)	
6/8/2017 16:17	Order Scheduling Hearing and Designating Presiding Judge	AP-4858
6/12/2017 10:42	Declaration of Neil J. Welch Jr. to Assist Secretary with Record of Service, with Exhibits 1-2	
6/13/2017 11:37	Order Postponing Hearing and Finding Service as to Two Respondents (Evolucia, Inc., and OSL Holdings, Inc.)	AP-4868
6/23/2017 14:50	Declaration of David S. Frye Concerning the Status of Service on Respondent Legend International Holdings, Inc.	
6/27/2017 15:51	Order to Show Cause as to Two Respondents	AP-4891
7/11/2017 11:05	Initial Decision of Default as to Two Respondents (Evolucia, Inc. and OSL Holdings, Inc.)	ID-1153
8/4/2017 15:30	Order Postponing Prehearing Conference	AP-4950
8/23/2017 9:30	Supplemental Declaration of Neil J. Welch Jr. to Assist Secretary with Record of Service	
8/24/2017 15:51	Order Regarding Service	AP-4999
8/30/2017 12:20	Declaration of Service of Ronald Turnbaugh	
8/31/2017 15:58	Order Regarding Service on Legend International Holdings, Inc.	AP-5015
9/8/2017 13:51	Supplemental Declaration of Neil J. Welch Jr. to Assist Secretary with Record of Service	
9/8/2017 15:23	Order Regarding Service on Legend International Holdings, Inc.	AP-5035
9/29/2017 13:46	Second Supplemental Declaration on Status Of Service on Legend International Holdings Inc.	
10/2/2017 15:11	Third Order Regarding Service on Legend International Holdings, Inc.	AP-5125
10/5/2017 11:03	Notice that Initial Decision Has Become Final as to Evolucia, Inc. and OSL Holdings, Inc.	34-81833
10/5/2017 17:23	Order Making Findings and Revoking Registration of Securities as to Legend International Holdings, Inc., with party letter	34-81829
10/5/2017 17:24	Offer of Settlement, Legend International Holdings, Inc., dated 10/5/2017	
11/30/2017 11:58	Order (ratifying appointment of Administrative Law Judges)	33-10440

## Record Index

as of 3/29/2023

Page 2 of 2

12/4/2017 15:31	Order Ratifying Administrative Law Judges' Assignments	AP-5247
12/7/2017 10:52	Notice to the Parties and Order Following Remand	AP- 5328
1/3/2018 15:02	Letter dated 1/3/18 from Division to ALJ Requesting ALJ to Conduct a De Novo Review of the Administrative Record, with Proposed Order	
1/22/2018 16:39	Order Ratifying Actions	AP-5497
6/21/2018 15:01	Order (staying case for 30 days or pending further order of the Commission)	33-10510
7/20/2018 11:07	Order (staying case until August 22, 2018 or until further order of the Commission)	33-10522
8/22/2018 13:10	Order (lifting stay, remanding matters on Exhibit A, directing reassignment, and other procedures)	33-10536
8/23/2018 17:06	Notice from the Chief Administrative Law Judge	AP-5954
9/12/2018 7:26	Chief Administrative Law Judge's Order Assigning Proceedings Post Lucia v. SEC	AP-5955
9/20/2018 15:52	Order	AP-6044
10/9/2018 13:45	Order to Show Cause (as to Evolucia, Inc. and OSL Holdings, Inc.)	AP-6146
10/24/2018 15:48	Initial Decision Making Findings and Revoking Registrations by Default (as to Evolucia, Inc.; and OSL Holdings, Inc.)	ID-1265
1/16/2019 14:49	Order (staying all Administrative Proceeding cases until further order of the Commission)	33-10602
1/30/2019 14:50	Order (lifting stay and extending due dates by 14 days for filings due from 12/27/2018 and 1/30/2019)	33-10603
4/26/2021 14:41	Notice of Appearance, Christopher Bruckmann and Sandhya C. Harris, as Co-Counsel, on behalf of the Division	