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Administrative Proceeding File No: 3-18483**Respondents:**

Scarpino, Timothy C.

Filed Date	Event Description	Release No
5/15/2018 14:26	Order Instituting Administrative and Cease-and-Desist Proceedings Pursuant to Section 8A of the Securities Act of 1933, Sections 15(b) and 21C of the Securities Exchange Act of 1934, and Section 9(b) of the Investment Company Act, Making Findings, and Imposing Remedial Sanctions and a Cease-and-Desist Order and Notice of Hearing	34-10496
5/15/2018 14:27	Offer of Settlement, Timothy Scarpino, dated 08/07/2018	
5/16/2018 10:19	Order Designating Presiding Judge	AP-5729
6/21/2018 12:19	Order (staying case for 30 days or pending further order of the Commission)	33-10510
6/28/2018 13:00	Notice	AP-5874
7/20/2018 8:50	Order (staying case until August 22, 2018 or until further order of the Commission)	33-10522
7/25/2018 16:25	Notice	AP-5952
8/22/2018 13:20	Order (lifting stay, remanding matters on Exhibit A, directing reassignment, and other procedures)	33-10536
8/23/2018 16:52	Notice from the Chief Administrative Law Judge	AP-5954
9/12/2018 8:04	Chief Administrative Law Judge's Order Assigning Proceedings Post Lucia v. SEC	AP-5955
9/14/2018 16:18	Order Following Reassignment	AP-5977
10/1/2018 8:25	Letter from Division to ALJ Requesting a Stay of This Proceeding Pending the Resolution of a Related Action in Federal District Court	
10/4/2018 10:51	Order on Procedures	AP-6141
1/16/2019 8:13	Order (staying all AP cases until further order of the Commission)	33-10602
1/30/2019 8:13	Order (lifting stay and extending due dates by 14 days for filings due from 12/27/2018 and 1/30/2019)	33-10603
5/7/2020 11:25	Divisions Waiver of Paper Service	
11/3/2021 14:47	Order for Status Report	AP-6835
11/15/2021 15:20	Order Following Status Report	AP-6836
11/15/2021 17:06	Division's Status Report	
11/15/2021 17:11	Notice of Appearance, Duane K. Thompson, Esq., Daniel Maher, Esq., and Jennie B. Krasner, Esq., on behalf of the Division	
11/17/2021 10:59	Notice of Withdrawal, Marc Johnson, Esq., on behalf of the Division	
4/29/2022 12:46	Division's Second Status Report	
5/4/2022 14:19	Order Following Second Status Report	AP-6847

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7/28/2022 14:20	Division's Third Status Report	
7/28/2022 17:08	Order Following Third Status Report	AP-6859
9/6/2022 13:18	Order Redesignating Presiding Judge	AP-6865
9/29/2022 12:39	Division's Fourth Status Report	
9/30/2022 10:26	Order	AP-6874