

Record Index

as of 3/29/2023

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Administrative Proceeding File No: 3-18774**Respondents:**

Wivolin, Heidi

Filed Date	Event Description	Release No
9/17/2018 11:50	Order Instituting Administrative Proceedings Pursuant to Section 15(b) of the Securities Exchange Act of 1934 and Section 203(f) of the Investment Advisers Act of 1940 and Notice of Hearing	34-84164
12/19/2018 14:06	Declaration of Andrew O. Schiff to Assist Secretary with Record of Service, with Exhibits 1-2 (fax copy; hard copy rcvd 12/20/18)	
1/15/2019 7:59	Order (staying all AP cases until further order of the Commission)	33-10602
1/30/2019 7:59	Order (lifting stay and extending due dates by 14 days for filings due from 12/27/2018 and 1/30/2019)	33-10603
4/15/2019 15:50	Order to Show Cause	34-85653
5/7/2019 18:09	Division's Motion for Default and Other Relief (fax copy; hard copy 5/8/2019)	
4/26/2021 11:08	Notice of Appearance, Andrew O. Schiff, on behalf of the Division	
5/6/2021 17:24	Notice of Appearance, Andrew O. Schiff, Esq., on behalf of the Division (revised submission rcvd 5/6/2021)	
7/28/2022 14:30	Notice of Appearance, Teresa J. Verges, on behalf of the Division	