

Record Index

as of 3/29/2023

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Administrative Proceeding File No: 3-18781**Respondents:**

Susan E. Walker

Filed Date	Event Description	Release No
9/18/2018 13:15	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	34-84182
10/18/2018 10:58	Notice of Appearance, Olivia S. Choe and Stephan J. Schlegelmilch, on behalf of the Division	
11/7/2018 17:27	Declaration of Stephan J. Schlegelmilch to Assist Secretary with Record of Service, with Exhibit 1	
1/15/2019 8:24	Order (staying all AP cases until further order of the Commission)	33-10602
1/30/2019 8:25	Order (lifting stay and extending due dates by 14 days for filings due from 12/27/2018 and 1/30/2019)	33-10603
2/26/2019 12:26	Division's Motion for Default Judgment and Imposition of Sanctions Against Respondent and Declaration of H. Norman Knickle	
6/18/2020 15:49	Order to Show Cause	34-89097
2/17/2021 13:06	Division's Status Report	
4/23/2021 12:00	Notice of Appearance, Stephan J. Schlegelmilch, on behalf of the Division	
10/29/2021 15:33	Notice of Substitution of Counsel and Notice of Appearance, for Timothy K. Halloran Replacing Stephan J. Schlegelmilch, on behalf of the Division	