

## Record Index

as of 3/29/2023

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**Administrative Proceeding File No:** 3-18831**Respondents:**

Dicken, Shawn K.

Filed Date	Event Description	Release No
9/24/2018 11:51	Order Instituting Administrative Proceedings Pursuant to Section 15(b) of the Securities Exchange Act of 1934 and Notice of Hearing, with party letter	34-84272
1/15/2019 12:50	Order (staying all AP cases until further order of the Commission)	33-10602
1/30/2019 12:50	Order (lifting stay and extending due dates by 14 days for filings due from 12/27/2018 and 1/30/2019)	33-10603
4/4/2019 15:55	Division's Motion for Order Finding Respondent in Default and Imposing Sanctions and Brief in Support (fax copy; hard copy rcvd 4/5/19)	
5/3/2019 14:28	Order to Show Cause	34-85778
8/12/2020 11:58	Order Requesting Additional Briefing	34-89526
9/11/2020 10:42	Supplemental Brief of the Division of Enforcement	
9/11/2020 10:45	Declaration of John E. Birkenheier	
10/16/2020 14:44	Order Requesting Additional Materials	34-90215
10/22/2020 16:52	Respondent's Response to Order Requesting Additional Briefing	
11/4/2020 15:19	Division's Reply Brief	
12/10/2020 10:35	Division's Second Supplemental Brief with Exhibits	
4/8/2021 15:09	Second Order to Show Cause	34-91512
4/15/2021 15:57	Division's Birkenheier and Klawans Notice Pursuant to Commission Rule of Practice 102(d)(2)	
5/17/2021 16:54	Email dated 5/17/2021 from Michael Kazee Transmitting an Electronic Filing Response to the OIP on behalf of Respondent Shawn Dickens	
5/27/2021 15:33	Notice with Exhibit	
9/13/2022 15:42	Order Discharging Order to Show Cause and Directing Prehearing Conference	34-95762
11/17/2022 17:34	Division's Statement that Prehearing Conference Was Not Held, with Exhibits 1-3	
12/9/2022 11:03	Division's Further Statement Regarding Prehearing Conference	
3/8/2023 10:56	Order Regarding Prehearing Conference	34-97075
3/27/2023 8:48	Order Making Findings and Imposing Remedial Sanctions, with party letter	34-97203
3/27/2023 8:49	Offer of Settlement dated 2/14/23	