

## Record Index

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**Administrative Proceeding File No:** 3-19145**Respondents:**

Rossi, Matthew R.; SJL Capital, LLC

Filed Date	Event Description	Release No
4/17/2019 13:58	Order Instituting Administrative and Cease-and-Desist Proceedings, Making Findings, and Imposing Remedial Sanctions and a Cease-and-Desist Order and Notice of Hearing	33-10628
4/17/2019 16:15	Offer of Settlement, Matthew R. Rossi and SJL Capital, LLC, dated 3/21/2019	
4/29/2019 14:25	Order Designating Presiding Judge	AP-6555
5/1/2019 17:35	Order Scheduling Prehearing Conference	AP-6558
5/8/2019 14:02	Parties' Joint Proposal For Conduct of Proceedings	
5/16/2019 16:01	Agreed Motion for Protective Order	
5/17/2019 10:38	Protective Order	AP-6577
5/17/2019 10:45	Scheduling Order	AP-6578
5/28/2019 15:48	Transcript of 5/8/19 Telephonic Prehearing Conference, pp. 1-20	
6/7/2019 16:14	Division's Statement of Material Facts	
6/7/2019 16:18	Division's Notice to Pro Se Respondent	
6/7/2019 16:25	Division's Motion for Summary Disposition Against Respondents and Memorandum in Support, with Appendix A-D	
6/7/2019 18:49	Respondents' Motion for Summary Disposition of Inability to Pay (UNDER SEAL)	
7/12/2019 11:11	Respondents' Motion of Opposition Against Motion for Summary Disposition (UNDER SEAL)	
7/15/2019 18:35	Division's Opposition to Respondents' Motion for Summary Disposition of Inability to Pay (REDACTED)	
7/15/2019 18:41	Division's Opposition to Respondents' Motion for Summary Disposition of Inability to Pay (UNDER SEAL)	
7/15/2019 18:43	Division's Response to Respondents' Statement of Material Facts, with Exhibits A - E (UNDER SEAL)	
7/23/2019 14:03	Order on Cross Motions for Summary Disposition	AP-6636
7/26/2019 16:13	Letter dated 07/26/19 from Respondents with Supporting Documentation Regarding Inability to Pay (UNDER SEAL)	
7/29/2019 15:27	Division's Reply Brief Supporting Summary Disposition on Civil Penalties	
8/1/2019 15:01	Notice of Hearing Location	AP-6647
8/1/2019 16:06	Parties' Joint List of Proposed Exhibits and Witnesses	
8/5/2019 13:31	Respondents' Supplemental List of Proposed Exhibits (UNDER SEAL)	
9/5/2019 18:12	Joint Exhibits (1-34)	

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9/10/2019 19:48	Transcript of 8/21/2019 of Hearing Conference, pp. 1-116, Brooklyn, NY	
9/24/2019 19:37	Division's Post-Hearing Brief (UNDER SEAL REQUESTED ON 11/26/19)	
9/24/2019 19:39	Respondents' Post Hearing Brief	
10/8/2019 13:29	Division's Reply to Respondents' Post-Hearing Brief	
10/11/2019 14:48	Respondents' Document List Presented at Hearing, with Exhibit 1 (Offered but Not Admitted)	
10/11/2019 15:57	Respondents' Document List of Presented at Hearing, with Exhibits 2A (UNDER SEAL) (Offered but Not Admitted)	
10/11/2019 16:00	Respondents' Document List of Presented at Hearing, with Exhibits 2B, 3 (UNDER SEAL)	
10/11/2019 16:01	Respondents' Supplemental List of Proposed Exhibits, with Exhibits 1-7 (UNDER SEAL)	
10/15/2019 14:25	ALJ's Exhibit List Pursuant to Rule 351	
11/14/2019 15:15	Order Regarding Confidential Information	AP-6707
11/15/2019 16:09	Transcript of 8/19/19 Telephonic PreHearing Conference, pp. 1-18	
11/26/2019 8:43	Respondents' Motion to Seal Confidential Information	
11/26/2019 15:56	Division's Post-Hearing Brief (REDACTED) with Letter to OS Requesting Brief Filed on 9/24/19 be Removed from Docket and Placed Under Seal	
11/29/2019 10:15	Order Scheduling Post-Hearing Conference	AP-6713
12/4/2019 12:52	Post-Hearing Protective Order	AP-6715
12/5/2019 14:25	Record Index Prepared by the Office of the Secretary	
12/11/2019 13:48	Second Post-Hearing Protective Order	AP-6717
12/11/2019 14:01	Joint Exhibits 2, 9-10, 16, and 30-31 (REDACTED)	
12/11/2019 14:02	Division's Redacted Version of the Hearing Transcript	
12/11/2019 14:02	Division's Redacted Version of Respondent's Exhibit 3	
12/19/2019 15:29	Transcript of 12/3/19 Telephonic Post-Hearing Conference, pp. 1-30	
12/23/2019 14:39	Initial Decision	ID-1393
1/13/2020 10:07	Amended Transcript of 8/21/19 Hearing, pp. 1-124 (Vol. 1) (except pages 36, 48, 50 74 and 75 Which Are Bound Separately UNDER SEAL), Brooklyn, NY	
1/21/2020 13:10	Petition for Review of Initial Decision and Brief in Support, with Form D-A Attached (UNDER SEAL REQUESTED)	
1/23/2020 10:13	Amended Transcript of 8/21/19 Hearing, pages 36, 48, 50 74 and 75, Brooklyn, NY (UNDER SEAL) (rcvd from ALJ)	
2/6/2020 10:52	Order Granting Petition for Review and Scheduling Briefs	34-88138
2/25/2020 10:08	Oder Granting Request for Protective Order	33-10759
3/5/2020 15:05	Division's Motion to Compel Respondents' Compliance with Rule 150(a)	
3/24/2020 12:34	Respondents Review and Scheduling Brief	

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4/8/2020 17:38	Division's Brief in Opposition to Petition for Review	
4/22/2020 8:08	Respondent's Final Brief	
12/22/2020 9:24	Order Extending Time to Issue Decision	33-10910
3/22/2021 11:32	Order Extending Time to Issue Decision	33-10936
4/21/2021 10:27	Supplemental Notice of Appearance, Daniel J. Hayes, Esq., on behalf of the Division	
6/21/2021 13:55	Order Extending Time to Issue Decision	33-10947
9/20/2021 17:48	Order Extending Time to Issue Decision	33-10986
12/20/2021 16:27	Order Extending Time to Issue Decision	33-11017
3/21/2022 16:31	Order Extending Time to Issue Decision	33-11044
6/21/2022 12:37	Order Extending Time to Issue Decision	33-11076
9/19/2022 11:02	Order Extending Time to Issue Decision	33-11103
12/19/2022 12:43	Order Extending Time to Issue Decision	33-11141
3/20/2023 14:24	Order Extending Time to Issue Decision	33-11169