

Appendix A – Additions to Record Index

Filed Date	Description
11/30/2017	Order (ratifying appointment of ALJs) (33-10440)
12/4/2017	Letter from Respondents regarding constitutional objections to administrative proceeding (dated 12/4/17)
12/4/2017	Order Ratifying Administrative Law Judge Assignments (AP-5247)
12/6/2017	Letter from Division in response to Respondents' constitutional objections to administrative proceeding (dated 12/6/17)
12/6/2017	Notice to the Parties and Order Allowing New Evidence (AP-5281)
1/5/2018	Letter from Division requesting that ALJ ratify all prior actions (dated 1/5/18)
1/8/2018	Respondents' Response to Commission's November 30, 2017, Order (dated 1/5/18)
1/17/2018	Letter from Division in response to Respondents' 1/5/18 submission (dated 1/12/18)
1/22/2018	Letter from Respondents in response to Division's 1/5/18 and 1/12/18 submissions (dated 1/19/18)
2/6/2018	Letter from Respondents in response to ALJ's request for briefing on ALJ's authority to dismiss proceeding (dated 2/5/18)
2/13/2018	Letter from Division in response to ALJ's request for briefing on ALJ's authority to dismiss proceeding (dated 2/12/18)
2/16/2018	Order Extending Deadline for Decision on Ratification (AP-5618)

Filed Date	Description
2/23/2018	Order on Ratification (AP-5625)
4/20/2018	Motion to the Commission for Extension of Time to File Initial Decision (AP-5688)
5/1/2018	Order Directing Supplemental Briefing (AP-5708)
5/21/2018	Respondents' Disgorgement Brief (dated 5/18/18)
5/22/2018	Division's Supplemental Brief Regarding Disgorgement (dated 5/18/18)
5/31/2018	Division's Response to Supplemental Brief Regarding Disgorgement (dated 5/30/18)
6/1/2018	Respondents' Disgorgement Reply Brief (dated 5/30/18)
6/4/2018	Letter from Division objecting to Ex. B to the Respondents' 5/30/18 submission and to address Respondents' objection to the Division's 5/30/18 brief (dated 6/1/18)
6/4/2018	Letter from Respondents objecting to Exs. A & B to Division's response to Suppl. Br. Regarding Disgorgement (dated 5/31/18)
6/21/2018	Order Regarding <i>Lucia v. SEC</i> (AP-5813)
6/21/2018	Order (staying case for 30 days or pending further order of the Commission) (33-10510)
6/22/2018	Notice of Stay (AP-5828)
7/20/2018	Order (staying case until August 22, 2018 or until further order of the Commission) (33-10522)
7/24/2018	Notice of Extension of Stay (AP-5928)

Filed Date	Description
8/22/2018	Order (lifting stay, remanding matters, directing reassignment, and other procedures) (33-10536)
8/23/2018	Notice from Chief Administrative Law Judge (AP-5954)
9/7/2018	Parties' Joint Agreement on Alternative Procedures
9/12/2018	Chief Administrative Law Judge's Order Assigning Proceedings Post <i>Lucia v. SEC</i> (AP-5955)
9/18/2018	Email dated 9/12/18 from T. Healy (counsel for Respondents) that Respondents do not seek further briefing in this matter
9/21/2018	Order Affirming Assignments (AP-6062)