

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940
Release No. 5665 / January 8, 2021

INVESTMENT COMPANY ACT OF 1940
Release No. 34168 / January 8, 2021

Admin. Proc. File No. 3-19024

IN THE MATTER OF

ASCENSION ASSET MANAGEMENT, LLC AND
GRENVILLE M. GOODER, JR.

NOTICE THAT INITIAL DECISION HAS BECOME FINAL

The time for filing a petition for review of the initial decision in this proceeding has expired. No such petition has been filed by Ascension Asset Management, LLC, Grenville M. Gooder, Jr., or the Division of Enforcement, and the Commission has not chosen to review the decision on its own initiative.

Accordingly, notice is hereby given, pursuant to Rule 360(d) of the Commission's Rules of Practice,¹ that the initial decision of the administrative law judge has become the final decision of the Commission with respect to Ascension Asset Management, LLC, and Grenville M. Gooder, Jr.² The orders contained in that decision are hereby declared effective. The initial decision ordered that: (a) pursuant to Sections 203(i) of the Investment Advisers Act of 1940 and 9(d) of the Investment Company Act of 1940, Ascension Asset Management, LLC, and Grenville M. Gooder, Jr., shall pay, jointly and severally, a civil money penalty in the amount of \$50,000; and (b) pursuant to Sections 203(e) and (f) of the Investment Advisers Act of 1940, Ascension Asset Management, LLC, is censured for violating Sections 206(4) and 207 of the Investment Advisers Act of 1940 and Rules 206(4)-7 and 206(4)-2 thereunder, and Grenville M. Gooder, Jr., is censured for violating Section 207 of the Investment Advisers Act of 1940.

¹ 17 C.F.R. § 201.360(d).

² *Ascension Asset Management, LLC, and Grenville M. Gooder, Jr.*, Initial Decision Release No. 1400, 2020 WL 1699565 (Apr. 3, 2020).

For the Commission, by the Office of the General Counsel, pursuant to delegated authority.

Vanessa A. Countryman
Secretary