

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

ADMINISTRATIVE PROCEEDINGS RULINGS

Release No. 1977/November 3, 2014

ADMINISTRATIVE PROCEEDING

File No. 3-16130

In the Matter of

SEAN C. COOPER

ORDER SETTING PREHEARING SCHEDULE

On September 17, 2014, the Securities and Exchange Commission issued an Order Instituting Proceedings against Respondent pursuant to Sections 203(f) and (k) of the Investment Advisers Act of 1940 and Section 9(b) of the Investment Company Act of 1940.

On October 27, 2014, the parties submitted their joint proposed prehearing schedule, agreeing to a hearing beginning on March 2, 2015. Respondent has therefore waived the right to a hearing within thirty to sixty days of service of the OIP. *See* 15 U.S.C. § 80b-3(k); OIP at 6. I adopt the parties' proposed prehearing schedule as follows:

- January 20, 2015: Parties shall file witness and exhibit lists and exchange, but not file, copies of exhibits.
- January 26, 2015: The Division of Enforcement (Division) shall file its expert report.
- January 27, 2015: Parties shall file any requests for official notice, stipulations, admissions of fact, and stipulations concerning the contents, authenticity, or admissibility into evidence of documents.
- February 2, 2015: Respondent shall file his expert report.
- February 9, 2015: The Division shall file its rebuttal expert report. Parties shall file any motions in limine and objections to exhibits and witnesses.
- February 23, 2015: Parties shall file prehearing briefs.
- February 25, 2015: Parties shall participate in a final telephonic prehearing conference, if necessary, at a time to be determined.
- March 2, 2015: Hearing shall begin in San Francisco, California, at a venue to be determined.

The parties are reminded that they must file hard copies of all filings with the Office of the Secretary, but are also encouraged to send each other – and the Office of Administrative Law Judges, when applicable – electronic copies, via e-mail, of materials to be filed and exchanged.

SO ORDERED.

Jason S. Patil
Administrative Law Judge