

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

ADMINISTRATIVE PROCEEDINGS RULINGS
Release No. 3031/August 13, 2015

ADMINISTRATIVE PROCEEDING
File No. 3-16723

In the Matter of

CHARLES K. MOSLEY

ORDER POSTPONING HEARING AND
DIRECTING PARTIES TO HOLD A
PREHEARING CONFERENCE

On August 5, 2015, the Securities and Exchange Commission issued an Order Instituting Proceedings (OIP) against Charles K. Mosley, pursuant to Section 203(f) of the Investment Advisers Act of 1940. Mosley's Answer to the OIP's allegations is due twenty days after service. OIP at 3; 17 C.F.R. § 201.220(b). A hearing is currently scheduled for August 31, 2015.

Based on tracking information provided by the Office of the Secretary, the OIP was sent by U.S. Postal Service certified mail to Mosley's residence in Vernon Hills, Illinois, and there was attempted delivery on August 10, 2015. It therefore does not appear that service has been accomplished in accordance with Rule of Practice 141(a)(2)(i), 17 C.F.R. § 201.141(a)(2)(i).

It is ORDERED that the hearing currently scheduled for August 31, 2015, is postponed *sine die*. The Division of Enforcement is directed to file, by August 31, 2015, a declaration regarding the status of service including, if applicable, any evidence that service has been accomplished.

It is FURTHER ORDERED that the parties shall hold an initial prehearing conference without the hearing officer by August 31, 2015, to discuss each numbered item in Rule of Practice 221(c), 17 C.F.R. § 201.221(c).¹ By September 2, 2015, the parties shall file a joint prehearing conference statement, which addresses each numbered item in Rule of Practice 221(c), and includes proposed due dates where applicable. Specifically, the joint statement should address whether this proceeding may be resolved by summary disposition and, if so, include proposed due dates for motions, oppositions, and replies. 17 C.F.R. §§ 201.221(c)(7), .250.

¹ The Rules are online at <http://www.sec.gov/about/rulesofpractice.shtml>.

The parties' submissions and any documents in support shall be filed in paper format with the Commission's Office of the Secretary, U.S. Securities and Exchange Commission, 100 F. Street N.E., Mail Stop 1090, Washington, D.C. 20549. Among other requirements, each filing must include a signed original and three copies, and a certification that copies have been served on the other party. *See* 17 C.F.R. §§ 201.151, .152, .153.

Electronic courtesy copies of the parties' submissions should be emailed to ALJ@sec.gov in PDF text-searchable format. Electronic copies of exhibits should not be combined into a single PDF file, but sent as separate attachments.

Cameron Elliot
Administrative Law Judge