

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

ADMINISTRATIVE PROCEEDINGS RULINGS  
Release No. 4336/November 9, 2016

ADMINISTRATIVE PROCEEDING  
File No. 3-16349

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In the Matter of

BARBARA DUKA

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ORDER FOLLOWING  
PREHEARING CONFERENCE

On November 7, 2016, I held a telephonic prehearing conference in this matter. Addressed, among other things, was Respondent's motion in limine to exclude the testimony of Jon Garrett and Glen Kneeland, two witnesses that the Division of Enforcement included on its supplemental witness list. As discussed during the conference, I will permit the Division to call Garrett and Kneeland as rebuttal witnesses.

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James E. Grimes  
Administrative Law Judge