

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

Administrative Proceedings Rulings
Release No. 6026 / September 19, 2018

Administrative Proceeding
File No. 3-17848

In the Matter of
James P. Griffin

Order Following Reassignment

This proceeding was assigned to me following the Securities and Exchange Commission's order dated August 22, 2018, which remanded this matter for further proceedings. *Pending Admin. Proc.*, Securities Act of 1933 Release No. 10536, 2018 SEC LEXIS 2058, at *2-3; *Pending Admin. Proc.*, Admin. Proc. Rulings Release No. 5955, 2018 SEC LEXIS 2264 (ALJ Sept. 12, 2018). I direct the parties to submit proposals for the conduct of further proceedings by October 9, 2018. The parties should confer and, if possible, submit a joint proposal that reflects any agreement regarding service of the order instituting proceedings and addresses the numbered items referenced in 17 C.F.R. § 201.221(c). The joint proposal or, in the absence of a joint proposal, the parties' separate proposals should also include the parties' availability between October 15 and October 26, 2018, for a telephonic prehearing conference. The parties are advised that I have not yet reviewed the prior record.

Cameron Elliot
Administrative Law Judge