

In view of the reassignment of the proceeding, Harris will be afforded an opportunity to file an Answer, and Alfaya, an amended Answer, which will be due by November 9, 2018. If Harris does not file an Answer, he will be deemed to be in default, and the undersigned will enter an order barring him from the securities industry. Alfaya (and Harris, if he files an Answer) and the Division should submit proposals for the conduct of further proceedings by December 14, 2018. The proposal may include resolving the proceeding by motion[s] for summary disposition pursuant to 17 C.F.R. § 201.250(b).¹ If Alfaya (or Harris, if he files an Answer) fails to submit a proposal (or to participate in a joint proposal), he will be deemed to be in default, and the undersigned will enter an order barring him from the securities industry. *See* August 22 Order, 2018 WL 4003609, at *1.

IT IS SO ORDERED.

/S/ Carol Fox Foelak
Carol Fox Foelak
Administrative Law Judge

¹ The Division is reminded of its obligation to make the investigative file available to a respondent, pursuant to 17 C.F.R. § 201.230, as a precondition for a motion for summary disposition pursuant to 17 C.F.R. § 201.250(b). *See Byron S. Rainer*, Exchange Act Release No. 59040, 2008 WL 5100855 (Dec. 2, 2008); *José P. Zollino*, Exchange Act Release No. 51632, 2005 WL 2615277 (Apr. 29, 2005).