

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

ADMINISTRATIVE PROCEEDINGS RULINGS

Release No. 6339/November 16, 2018

ADMINISTRATIVE PROCEEDING

File No. 3-15514

In the Matter of

DONALD J. ANTHONY, JR. :
FRANK H. CHIAPPONE, :
RICHARD D. FELDMANN, :
WILLIAM P. GAMELLO, : STAY ORDER
ANDREW G. GUZZETTI :
WILLIAM F. LEX, :
THOMAS E. LIVINGSTON, :
BRIAN T. MAYER :
PHILIP S. RABINOVICH, and :
RYAN C. ROGERS :

The Securities and Exchange Commission instituted this proceeding with an Order Instituting Proceedings, pursuant to Section 8A of the Securities Act of 1933, Sections 15(b) and 21C of the Securities Exchange Act of 1934, Section 203(f) of the Investment Advisers Act of 1940, and Section 9(b) of the Investment Company Act of 1940 on September 23, 2013. Only Frank H. Chiappone, Andrew G. Guzzetti, William F. Lex, Thomas E. Livingston, Brian T. Mayer, and Philip S. Rabinovich (Respondents) remain in the proceeding, following the February 25, 2015, Initial Decision. *See Donald J. Anthony, Jr.*, Securities Act Release No. 9571, 2014 SEC LEXIS 1223 (Apr. 3, 2014) (settlement order as to Richard D. Feldmann); Initial Decision Release No. 745, 2015 SEC LEXIS 707 (C.A.L.J. Feb. 25, 2015), *finality order as to Donald J. Anthony, Jr., William P. Gamello, and Ryan C. Rogers*, Exchange Act Release No. 75195, 2015 SEC LEXIS 2450 (June 17, 2015)

The Division of Enforcement and Respondents have jointly moved for a stay pursuant to 17 C.F.R. § 201.161(c)(2), stating that they have reached an agreement in principle to a settlement. Accordingly, the proceeding will be stayed, including all procedural dates, contingent upon compliance with 17 C.F.R. § 201.161(c)(2).

IT IS SO ORDERED.

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