

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

Administrative Proceedings Rulings
Release No. 6356 / November 21, 2018

Administrative Proceeding
File No. 3-18288

In the Matter of
Lawrence E. Penn, III

**Order Correcting Prehearing
Conference Transcript**

I held a telephonic prehearing conference in this matter on October 24, 2018. I ORDER that the following corrections be made to the transcript of the conference:

Page/Line	Original Text	Corrected Text
20:14	this case in order that it be reassigned	this case and ordered that it be reassigned
28:23	-- if I want to rely on your previous	-- if you want to rely on your previous
29:23-25	e-mails. So the parties agreed to serve each other with papers by e-mail. Mr. Fischer, can you addressed that?	e-mails. So, have the parties agreed to serve each other with papers by e-mail? Mr. Fischer, can you address that?
36:8	would like clarify?	would like to clarify?

I direct the court reporter to implement the above changes and issue a complete, amended transcript for the conference held on October 24, 2018. The amended transcript should also be provided in electronic format to my office.

James E. Grimes
Administrative Law Judge