

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

ADMINISTRATIVE PROCEEDINGS RULINGS

Release No. 6666/August 29, 2019

ADMINISTRATIVE PROCEEDING

File No. 3-19024

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In the Matter of

ASCENSION ASSET MANAGEMENT, LLC, and :           ORDER  
GRENVILLE M. GOODER, JR. :  
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The Securities and Exchange Commission instituted this proceeding with an Order Instituting Proceedings on March 7, 2019, pursuant to Sections 203(e), 203(f), and 203(k) of the Investment Advisers Act of 1940 and Section 9(b) of the Investment Company Act of 1940. The hearing, expected to last one week or less, is scheduled to commence on September 9, 2019, in Washington, DC. *Ascension Asset Mgmt., LLC*, Advisers Act Release No. 5230, 2019 SEC LEXIS 1055 (May 7, 2019); Admin. Proc. Rulings Release No. 6583, 2019 SEC LEXIS 1199 (A.L.J. May 21, 2019).

Under consideration is Respondents' August 16, 2019, Application to Quash the Subpoena Issued to David N. Platt and the Division of Enforcement's Opposition. Respondents state that Platt is 90 years old and argue that requiring him to travel to Washington from his residence in New York City would be unduly burdensome in view of his age. They note that the Division took investigative testimony from Platt on December 12, 2016, and deposed him on June 18, 2019, and that transcripts of these are available for introduction at the hearing. The Division states that depending on how the undersigned ruled on its then-pending motion for summary disposition, Platt's testimony may be unnecessary. However, in view of the motion's pendency, the Division argues that Respondents have not provided evidence of, or even alleged, specific limitations that would make Platt's appearance at the hearing unduly burdensome.

The undersigned has now ruled on the Division's motion for summary disposition. *Ascension Asset Mgmt., LLC*, Admin. Proc. Rulings Release No. 6665, 2019 SEC LEXIS \_\_\_\_\_ (A.L.J. Aug. 29, 2019). If the Division still wishes to introduce evidence from Platt, it may consider using excerpts from the transcripts of his December 12, 2016, testimony and June 19, 2019, deposition or making arrangements for live testimony via videoconference.

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