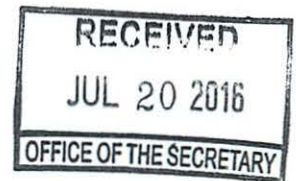


**COPY**

UNITED STATES OF AMERICA  
Before the  
SECURITIES AND EXCHANGE COMMISSION



ADMINISTRATIVE PROCEEDING  
File No. 3-17319

In the Matter of

JAN E. HELEN,

Respondent.

PROPOSED STIPULATED PRE-HEARING  
SCHEDULE

The Securities and Exchange Commission issued an Order Instituting Administrative and Cease-and-Desist Proceedings (“OIP”) against Respondent Jan E. Helen (“Respondent”) on June 28, 2016. In anticipation of the telephonic prehearing conference set for July 26, 2016 at 10:00 a.m. EDT, the Division of Enforcement (“Division”) and counsel for Respondent Jan E. Helen (“Respondent”) have conferred and respectfully submit this proposed schedule of prehearing deadlines for consideration.<sup>1</sup>

- |                    |  |
|--------------------|--|
| July 25, 2016:     | Respondent shall file an answer.   |
| August 26, 2016:   | Motions for summary disposition [if permitted] shall be filed.   |
| September 9, 2016: | Oppositions to motions for summary disposition [if permitted] shall be filed.  |
| October 10, 2016:  | The parties shall exchange lists of witnesses and exhibits, and shall exchange pre-marked exhibits.                      |
| October 17, 2016:  | The parties shall exchange and file expert reports, if any.  |
| October 24, 2016:  | The parties shall exchange and file objections to witnesses and exhibits, if any, and motions <i>in limine</i> , if any. |
| October 31, 2016:  | The parties shall exchange and file stipulations, if any, and rebuttal expert reports, if any.                           |
| November 7, 2016:  | The parties shall exchange and file oppositions to motions <i>in limine</i> , if any, and shall file prehearing briefs.  |

<sup>1</sup> Respondent waives his statutory right to a hearing not earlier than thirty or later than sixty days after service of the OIP. See Section 8A of the Securities Act of 1933, Section 21C of the Securities Exchange Act of 1934, and Section 203(k) of the Investment Advisors Act of 1940.

November 14, 2016: [If the Administrative Law Judge is available] the hearing will commence at a location to be determined in Denver, Colorado. The parties anticipate that the hearing will last 3 to 4 days.

Dated: July 19, 2016

Respectfully submitted,



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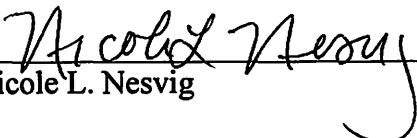
**CERTIFICATE OF SERVICE**

I hereby certify that a true copy of the **Division of Enforcement's PROPOSED STIPULATED PRE-HEARING SCHEDULE** was served on the following on this 19<sup>th</sup> day of July, 2016, in the manner indicated below:

Securities and Exchange Commission  
Brent Fields, Secretary  
100 F Street, N.E.  
Mail Stop 1090  
Washington, D.C. 20549  
(By Facsimile and original and three copies by UPS)

Honorable Brenda P. Murray  
Chief Administrative Law Judge  
100 F Street, N.E.  
Mail Stop 2582  
Washington, D.C. 20549  
(By Email)

David A. Zisser, Esq.  
Jones & Keller, P.C.  
1999 Broadway, Suite 3150  
Denver, CO 80202  
(By Email)

  
Nicole L. Nesvig