

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

ADMINISTRATIVE PROCEEDING
File No. 3-20147

In the Matter of

Joshua Stephens-Anselm,

Respondent.

**MOTION FOR ENTRY OF DEFAULT
AND LEAVE TO FILE MOTION FOR
SUMMARY DISPOSITION**

The Division of Enforcement (“Division”) respectfully requests entry of default against Respondent Joshua Stephens-Anselm (“Stephens-Anselm”) pursuant to Rules 155(a)(2) and 220(f) of the Commission’s Rules of Practice (“Practice Rules”), 17 C.F.R. §§ 201.155(a)(2) and 201.220(f). In addition, the Division respectfully seeks leave to submit a motion for summary disposition on the issue of remedial sanctions.

1. Stephens-Anselm Is in Default.

The Commission commenced this proceeding on November 9, 2020, with an Order Instituting Administrative Proceedings Pursuant to Section 15(b) of the Securities Exchange Act of 1934 and Notice of Hearing (“Order”), Exchange Act Rel. No. 90374 (Nov. 9, 2020). The Order alleges, in summary, that Stephens-Anselm pled guilty to one count of grand larceny in the second degree in violation of New York Penal Law 155.40-1, before the Criminal Court of the City of New York, in *New York v. Joshua Stephens-Anselm*, Superior Court Information No.

2464/2018. Order at II.B.1. The count of the criminal information to which Stephens-Anselm pled guilty alleged, among other things, that, between June 2016 and July 2017, Stephens-Anselm “stole property having an aggregate value exceeding fifty thousand dollars.” See Order at II.B.2. On November 10, 2020, the Commission’s Office of the Secretary served Stephens-Anselm with the Order by U.S. Mail at his current address at [REDACTED], [REDACTED] Far Rockaway, NY [REDACTED], and U.S. Mail records indicate the Order was delivered on November 12, 2020. See Declaration of Service of Sheldon Mui, filed herewith.

In the Order, Stephens-Anselm was directed to file an Answer within twenty days after service of the Order. See Order at IV; see also Practice Rules 160(a) and 220(b), 17 C.F.R. §§ 201.160(a) and 201.220(b) (providing that a time period runs until the end of the next day that is not a Saturday or Sunday and that a respondent’s answer is due within 20 days of service). Under these provisions, Stephens-Anselm’s answer was due no later than December 2, 2020. Stephens-Anselm has not filed or served an answer upon the Division as of the date of this motion. Because Stephens-Anselm has failed to appear and file an answer, entry of default is appropriate pursuant to Practice Rules 155(a)(2) and 220(f), 17 C.F.R. §§ 201.155(a)(2) and 201.220(f).

2. A Motion for Summary Disposition Is Appropriate.

The Division also requests leave to file a motion for summary disposition pursuant to Practice Rule 250, 17 C.F.R. § 201.250. The Division alleges in the Order that Stephens-Anselm has pleaded guilty to the violation described above and requests the entry of remedial sanctions. Determination of the appropriate sanctions, if any, may be resolved by summary disposition.

Therefore, the Division respectfully requests that default be entered against Stephens-Anselm and that the Division be granted leave to submit a motion for summary disposition addressing the sanctions that should be entered against him.

Dated: March 5, 2021.

Respectfully submitted,



Todd D. Brody, Esq.
Sheldon Mui, Esq.

Attorneys for the Division of Enforcement
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212-336-0080

CERTIFICATE OF SERVICE

I certify that on March 5, 2021, I have caused the attached **Motion For Entry of Default And Leave to File Motion for Summary Disposition and Declaration of Service of Sheldon Mui (with exhibits) dated March 5, 2021** to be served on Respondent and the original plus three copies to be sent to the Office of the Secretary, in each case via U.S. mail, at the addresses listed below:

Vanessa A. Countryman
Office of the Secretary
Securities and Exchange Commission
100 F. Street, N.S.
Washington, D.C. 20549
(Emailed to APFilings@sec.gov)

Mr. Joshua Stephens-Anselm
[REDACTED]
Far Rockaway, NY [REDACTED]



Todd D. Brody

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SECURITIES AND EXCHANGE COMMISSION

ADMINISTRATIVE PROCEEDING
File No. 3-20147

In the Matter of

Joshua Stephens-Anselm,

Respondent.

DECLARATION OF SERVICE

I, Sheldon Mui, pursuant to 28 U.S.C. § 1746, declare as follows:

1. I am employed by Plaintiff Securities and Exchange Commission (the “Commission”) in the Commission’s New York Regional Office as a Senior Counsel.
2. On or about November 10, 2020, the Commission’s Office of the Secretary (“OS”) caused the following documents (collectively, the “OIP Package”) to be sent via U.S. Mail to Respondent Joshua Stephens-Anselm (“Respondent”) at his address at [REDACTED]
[REDACTED], Far Rockaway, NY [REDACTED]
 - a. Order Instituting Administrative Proceedings Pursuant to Section 15(b) of the Securities Exchange Act of 1934 and Notice of Hearing;
 - b. Party Letter; and
 - c. Service List.

3. Attached as Exhibit 1 is a true and correct copy of the November 10, 2020 e-mail from the OS confirming the OIP Package was sent via certified U.S. Mail to Respondent, with the tracking number 70143490000080882529.

4. Attached as Exhibit 2 is a true and correct copy of a printout from the USPS.com website showing that the OIP Package, tracking number 70143490000080882529, was delivered on November 12, 2020.

5. I declare under penalty of perjury that the foregoing is true and correct.

Dated: New York, New York
March 5, 2021

/s/ Sheldon Mui
Sheldon Mui
Securities and Exchange Commission
New York Regional Office
200 Vesey Street, Suite 400
New York, New York 10281-1022
(212) 336-0138
Muis@sec.gov

Mui, Sheldon

From: Richards, Gwendolyn (Contractor)
Sent: Tuesday, November 10, 2020 9:30 AM
To: Mui, Sheldon
Subject: New tracking info re Joshua Anselm [7014-3490-0000-8088-2529]

It's been my pleasure to assist you today.

Gwendolyn “GeeGee” Richards
Comment Letter Support Specialist
Office of the Secretary
U.S. Securities and Exchange Commission
100 F Street, N.E.
Washington, DC 20549
(202) 551-4701 | richardsgw@sec.gov

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Street & A, or PO Box Mr. Joshua Stephens-Anselm

City, State, Far Rockaway, NY

PS Form 3

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Your item was delivered to an individual at the address at 2:13 pm on November 12, 2020 in FAR ROCKAWAY, NY 11691.

Feedback

Delivered

November 12, 2020 at 2:13 pm
Delivered, Left with Individual
FAR ROCKAWAY, NY 11691

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Tracking History



November 12, 2020, 2:13 pm

Delivered, Left with Individual
FAR ROCKAWAY, NY 11691

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November 12, 2020, 7:59 am

Out for Delivery

FAR ROCKAWAY, NY 11691

November 12, 2020, 7:48 am

Arrived at Unit

FAR ROCKAWAY, NY 11691

November 12, 2020, 12:04 am

Departed USPS Regional Facility

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November 11, 2020, 1:12 pm

Arrived at USPS Regional Facility

BROOKLYN NY DISTRIBUTION CENTER

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