

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

ADMINISTRATIVE PROCEEDING
File No. 3-20184

In the Matter of

MUNISH SOOD,

Respondent.

DIVISION OF ENFORCEMENT'S
STATUS REPORT

The Division of Enforcement (“Division”) provides the following status report in the above-referenced matter:

1. On December 21, 2020, the Commission instituted this proceeding with an Order Instituting Administrative Proceedings Pursuant to Section 203(f) of the Advisers Act and Section 15(b) of the Exchange Act and Notice of Hearing (“OIP”).
2. On January 11, 2021, Sood submitted an Answer to the OIP in which he admitted to his criminal conviction and his association with an investment adviser and broker-dealer during the pertinent period.
3. On March 1, 2021, the Commission issued a scheduling order authorizing the Division to file a motion for summary disposition by April 30, 2021. The scheduling order was limited to an agreed briefing schedule on the motion for summary disposition.
4. On April 29, 2021, the Division filed a motion for summary disposition.
5. On May 31, 2021, Respondent responded to the motion. Respondent has also requested oral argument.
6. On June 10, 2021, the Division filed a reply in support of the motion.

7. Accordingly, the Division's motion for summary disposition was fully briefed as of June 10, 2021, and the matter is ripe for decision.

Dated: February 20, 2024



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CERTIFICATE OF SERVICE

In accordance with Rule 150 of the Commission's Rules of Practice, I hereby certify that a true and correct copy of the foregoing *Division of Enforcement's Status Report* was electronically filed via eFAP system on February 20, 2024, and served on the parties listed below.

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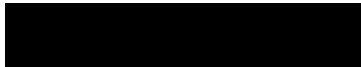
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