

**UNITED STATES OF AMERICA**  
**Before the**  
**SECURITIES AND EXCHANGE COMMISSION**

**ADMINISTRATIVE PROCEEDING**  
**File No. 3-21152**

**In the Matter of**

**JOSE LUIS CASERO  
SANCHEZ,**

**Respondent.**

**DIVISION OF ENFORCEMENT'S  
TENTH STATUS REPORT  
CONCERNING SERVICE OF ORDER  
INSTITUTING ADMINISTRATIVE  
PROCEEDINGS**

The Division of Enforcement ("Division") respectfully submits its tenth status report pursuant to the Order Regarding Service dated February 15, 2023, and states as follows:

As set forth in the Ninth Status Report, the Division provided Spanish authorities with a copy of Respondent's Documento Nacional de Identidad in an attempt to locate any real property in which Respondent has an ownership interest as a means to effect service in response to the Division's Hague Service Convention request. On or about October 10, 2023, the Division was notified that the Spanish authorities were unable to locate any property in Respondent's name. The Division now is in the process of coordinating with the Department of Justice's Office of Foreign Litigation to further assist in attempting to effect personal service on Respondent.


In the meantime, counsel for the Division again attempted to contact Respondent on November 3, 2023 at [REDACTED], which is the only email address the Division has identified that did not result in an undeliverable message in reply. To date, Respondent has not replied to this or any message from Division counsel and has not otherwise contacted counsel for the Division.

The Division will continue its efforts to contact and serve Respondent, including by coordinating with the Spanish authorities and the Office of Foreign Litigation. If such efforts to serve Respondent are unsuccessful, the Division will continue to evaluate whether it may be appropriate to seek leave to effect service by alternative means consistent with SEC Rule of Practice 141.

Pursuant to the Order Regarding Service dated February 15, 2023, the Division will file a further status report on December 1, 2023.

Dated: November 3, 2023

Respectfully Submitted,

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Kara F. Sweet  
Securities and Exchange Commission  
Philadelphia Regional Office  
One Penn Center  
1617 JFK Boulevard, Suite 520  
Philadelphia, PA 19103  
(215) 861-9607 (telephone)  
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*Counsel for Division of Enforcement*


**CERTIFICATE OF SERVICE**

I hereby certify that on November 3, 2023 I caused a true and correct copy of the Division of Enforcement’s Tenth Status Report Concerning Service of Order Instituting Administrative Proceedings to be filed and served by the eFAP system upon the following:

Vanessa A. Countryman, Secretary  
Office of the Secretary  
Securities and Exchange Commission  
100 F Street, NW  
Washington, DC 20549-1090

An additional certificate of service will be filed after the Division of Enforcement effects personal service of this document and the Order Instituting Administrative Proceedings upon the respondent, Jose Luis Casero Sanchez.

Respectfully submitted,

  
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One Penn Center  
1617 JFK Blvd., Ste. 520  
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*Counsel for the Division of Enforcement*