

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

ADMINISTRATIVE PROCEEDING
File No. 3-21973

In the Matter of

NICOLE J. WALKER,

Respondent.

JOINT STATUS REPORT

In accordance with the Order Directing Status Reports dated June 13, 2025, the Division of Enforcement (the “Division”) and Respondent Nicole J. Walker (“Respondent”) submit this status report:

1. On June 18, 2024, the Commission issued an Order Instituting Administrative Proceedings Pursuant to Section 15(b) of the Securities Exchange Act of 1934 and Notice of Hearing (“OIP”) against Respondent. On February 14, 2025, Respondent filed her Answer to the OIP.

2. The parties held a prehearing conference on February 28, 2025, and filed a joint statement regarding it on March 13, 2025 (the “Joint Statement”).

3. The parties discussed a potential settlement during the prehearing conference and have continued those discussions. As of this filing, a settlement has not been reached.

4. Division’s position: The Division submits that this matter can be determined on summary disposition pursuant to Rule 250 of the Commission’s Rules of Practice, 17 C.F.R. §201.250. As such and in accordance with the Joint Statement, the Division proposes the following briefing schedule: the Division shall file its motion for summary disposition by September 19, 2025,

Respondent shall file any Opposition by October 20, 2025, and the Division shall file any Reply by November 18, 2025.

5. Respondent's position: The Respondent remains hopeful that the parties can reach a mutually agreeable settlement and welcomes continued dialogue in good faith. The Respondent is committed to engaging in any meaningful discussions that may lead to a resolution. However, if a resolution is not achieved, the Respondent believes that this matter should be adjudicated before an Administrative Law Judge (ALJ). Proceedings before an ALJ provide important due process protections and promote reasoned, transparent adjudication. Accordingly, the Respondent does not believe summary disposition is appropriate at this time.

July 14, 2025

Respectfully submitted,

<div></div> <div>Christine Nestor, Esq. Senior Trial Counsel Direct Line: (305) 982- 6367 nestorc@sec.gov Stephanie N. Moot, Esq. Senior Trial Counsel Direct Line: (305) 982-6313 moots@sec.gov Counsel for Division of Enforcement Miami Regional Office Securities and Exchange Commission 801 Brickell Avenue, Suite 1950 Miami, FL 33131 Phone: (305) 982-6300 Fax: (703) 813-9526</div>	<div></div> <div>Respondent, pro se</div> <div></div>
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