

UNITED STATES OF AMERICA  
before the  
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940  
Release No. 5712 / April 5, 2021

Admin. Proc. File No. 3-19497

In the Matter of  
  
ANTHONY VASSALLO

ORDER REGARDING SERVICE

On September 24, 2019, the Securities and Exchange Commission issued an order instituting administrative proceedings (“OIP”) against Anthony Vassallo pursuant to Section 203(f) of the Investment Advisers Act of 1940.<sup>1</sup> It appears that there have been no other filings in this proceeding since issuance of the OIP, including as to whether the OIP was served on Vassallo.

Accordingly, IT IS ORDERED that the Division of Enforcement file a status report concerning service of the OIP by April 19, 2021, and every 28 days thereafter until service is accomplished. The parties’ attention is called to the Commission’s March 18, 2020 order regarding the filing and service of papers, which provides that, pending further order of the Commission, parties to the extent possible shall submit all filings electronically at [apfilings@sec.gov](mailto:apfilings@sec.gov).<sup>2</sup> Also, the Commission’s Rules of Practice were recently amended to include new e-filing requirements, which take effect on April 12, 2021.<sup>3</sup>

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<sup>1</sup> *Anthony Vassallo*, Advisers Act Release No. 5362, 2019 WL 4640456 (Sept. 24, 2019).

<sup>2</sup> *Pending Administrative Proceedings*, Exchange Act Release No. 88415, 2020 WL 1322001 (Mar. 18, 2020), <https://www.sec.gov/litigation/opinions/2020/33-10767.pdf>.

<sup>3</sup> *Amendments to the Commission’s Rules of Practice*, 85 Fed. Reg. 86,464, 86,474 (Dec. 30, 2020); *see also Amendments to the Commission’s Rules of Practice*, Exchange Act Release No. 90442, 2020 WL 7013370 (Nov. 17, 2020); *Instructions for Electronic Filing and Service of Documents in SEC Administrative Proceedings and Technical Specifications*, <https://www.sec.gov/efapdocs/instructions.pdf>. The amendments also impose other obligations on parties to administrative proceedings such as a new redaction and omission of sensitive personal information requirement. *Amendments to the Commission’s Rules of Practice*, 85 Fed. Reg. at 86,465–81.

For the Commission, by the Office of the General Counsel, pursuant to delegated authority.

Vanessa A. Countryman  
Secretary