

UNITED STATES OF AMERICA  
before the  
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940  
Release No. 5986 / March 29, 2022

Admin. Proc. File No. 3-19849

In the Matter of  
NEIL BURKHOLZ

SECOND SUPPLEMENTAL ORDER REGARDING SERVICE

On July 1, 2020, the Securities and Exchange Commission issued an order instituting administrative proceedings (“OIP”) against Neil Burkholz 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 upon Burkholz.

On October 19, 2021, the Commission issued an Order Regarding Service, directing the Division of Enforcement to file a status report concerning service of the OIP by November 2, 2021, and every 28 days thereafter until service is accomplished.<sup>2</sup> Upon receiving no response, the Commission issued a Supplemental Order Regarding Service on December 13, 2021, directing the Division to file a status report concerning service of the OIP by January 10, 2022, and every 28 days thereafter until service is accomplished.<sup>3</sup> To date, no status report has been filed, nor has the Division otherwise responded to the October 19 or December 13 orders.

Accordingly, IT IS ORDERED that the Division file a status report concerning service of the OIP on Burkholz by April 12, 2022, and every 28 days thereafter until service is accomplished.

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<sup>1</sup> *Neil Burkholz*, Advisers Act Release No. 5530, 2020 WL 3605042 (July 1, 2020); *see* 15 U.S.C. § 80b–3(f).

<sup>2</sup> *Neil Burkholz*, Advisers Act Release No. 5892, 2021 WL 4868336, at \*1 (Oct. 19, 2021).

<sup>3</sup> *Neil Burkholz*, Advisers Act Release No. 5923, 2021 WL 5907842, at \*1 (Dec. 13, 2021).

The parties' attention is directed to the most recent amendments to the Commission's Rules of Practice, which took effect on April 12, 2021, and which include new e-filing requirements.<sup>4</sup>

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

Vanessa A. Countryman  
Secretary

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<sup>4</sup> *Amendments to the Commission's Rules of Practice*, Exchange Act Release No. 90442, 2020 WL 7013370 (Nov. 17, 2020), 85 Fed. Reg. 86,464, 86,474 (Dec. 30, 2020), <https://www.sec.gov/rules/final/2020/34-90442a.pdf>; *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 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.