

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940
Release No. 6100 / August 29, 2022

Admin. Proc. File No. 3-20134

In the Matter of

PAUL HORTON SMITH, SR.

ORDER REGARDING SERVICE

The Securities and Exchange Commission (“Commission”) issued an order instituting administrative proceedings (“OIP”) on October 22, 2020, pursuant to Section 203(f) of the Investment Advisers Act of 1940, against Paul Horton Smith, Sr.¹ 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 Smith. To assist the Office of the Secretary in maintaining a record of service that establishes that the OIP has been properly served,² IT IS ORDERED that the Division of Enforcement file a status report concerning service of the OIP by September 12, 2022, and every 28 days thereafter until service is accomplished.

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.³

¹ *Paul Horton Smith, Sr.*, Advisers Act Release No. 5618, 2020 WL 6262345 (Oct. 22, 2020).

² *See* Rule of Practice 141(a)(3), 17 C.F.R. § 201.141(a)(3).

³ *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 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.

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

Vanessa A. Countryman
Secretary