

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940
Release No. 6194 / November 30, 2022

Admin. Proc. File No. 3-20134

In the Matter of

PAUL HORTON SMITH, SR.

ORDER DIRECTING STATUS REPORT FROM THE DIVISION OF ENFORCEMENT

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 filings in this proceeding since issuance of the OIP, including as to whether the OIP was served upon Smith.

On August 29, 2022, the Commission issued an Order Regarding Service.² The order directed the Division of Enforcement to file a status report concerning service of the OIP by September 12, 2022, and every 28 days thereafter until service is accomplished.³ To date, no such status report has been filed, nor has the Division otherwise responded to the August 29 order.

Accordingly, IT IS ORDERED that the Division of Enforcement file a status report concerning service of the OIP by December 14, 2022, and every 28 days thereafter until service is accomplished.

The parties’ attention is directed to the e-filing requirements in the Rules of Practice.⁴

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

² *Paul Horton Smith, Sr.*, Advisers Act Release No. 6100, 2022 WL 3716557 (Aug. 29, 2022).

³ *Id.* at *1.

⁴ *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*,

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

Vanessa A. Countryman
Secretary

<https://www.sec.gov/efapdocs/instructions.pdf>. The amendments impose other obligations such as a redaction and omission of sensitive personal information requirement. *Amendments to the Commission's Rules of Practice*, 85 Fed. Reg. at 86,465–81.