

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 96929 / February 14, 2023

Admin. Proc. File No. 3-20839

In the Matter of

JUSTIN WALLACE HERMAN

ORDER DIRECTING STATUS REPORT FROM THE DIVISION OF ENFORCEMENT

The Securities and Exchange Commission issued an order instituting administrative proceedings (“OIP”) on May 5, 2022, pursuant to Section 15(b) of the Securities Exchange Act of 1934, against Justice Wallace Herman.¹ It appears that, other than notices of appearance by Division of Enforcement counsel, there have been no filings in this proceeding since issuance of the OIP, including as to whether the OIP was served upon Herman.

On January 6, 2023, 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 January 20, 2023, 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 January 6 order.

Accordingly, IT IS ORDERED that the Division of Enforcement file a status report concerning service of the OIP by February 28, 2023, 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 *Justin Wallace Herman*, Exchange Act Release No. 94833, 2022 WL 1306666 (May 5, 2022).

² *Justin Wallace Herman*, Exchange Act Release No. 96608, 2023 WL 120615 (Jan. 6, 2023).

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*, <https://www.sec.gov/efapdocs/instructions.pdf>. The amendments impose other obligations such

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

Vanessa A. Countryman
Secretary

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.