

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 97117 / March 13, 2023

Admin. Proc. File No. 3-21220

In the Matter of

HUNG WAI “HOWARD” SHERN

ORDER REGARDING SERVICE

The Securities and Exchange Commission (“Commission”) issued an order instituting administrative proceedings (“OIP”) on October 26, 2022, pursuant to Section 15(b) of the Securities Exchange Act of 1934, against respondent Hung Wai “Howard” Shern.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 Shern. 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 March 27, 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.³

¹ *Hung Wai “Howard” Shern*, Exchange Act Release No. 96157, 2022 WL 15292823 (Oct. 26, 2022).

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 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