

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 97759 / June 20, 2023

Admin. Proc. File No. 3-21206

In the Matter of

DANIEL THOMAS BROYLES

ORDER DIRECTING STATUS REPORT FROM THE DIVISION OF ENFORCEMENT

The Securities and Exchange Commission issued an order instituting administrative proceedings (“OIP”) on October 11, 2022, pursuant to Section 15(b) of the Securities Exchange Act of 1934, against Daniel Thomas Broyles.¹ On April 27, 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 May 11, 2023, and every 28 days thereafter until service was accomplished.³

On May 11, 2023, the Division filed a status report regarding service. In its report, the Division stated that it had been “notified by the Office of the Secretary that Mr. Broyles was served with the OIP on or about October 13, 2022.” Contrary to its typical practice for establishing service of an OIP, the Division did not submit a declaration describing how service was made on Broyles and whether that method of service complied with the requirements of Rule 141(a)(2)(i) of the Commission’s Rules of Practice.⁴ As a result, we cannot determine whether service has been accomplished in this case.

¹ *Daniel Thomas Broyles*, Exchange Act Release No. 96025, 2022 WL 7145333 (Oct. 11, 2022).

² *Daniel Thomas Broyles*, Exchange Act Release No. 97390, 2023 WL 3120387 (April 27, 2023).

³ *Id.* at *1.

⁴ See 17 C.F.R. § 201.141(a)(2)(i); see also Rule of Practice 141(a)(3), 17 C.F.R. § 201.131(a)(3) (requiring the Secretary to “maintain a record of service on parties” of OIPs, which identifies “the party given notice, the method of service, the date of service, the address to which service was made, and the person who made service”).

Accordingly, IT IS ORDERED that the Division file a status report concerning service of the OIP by July 6, 2023, describing how service was made on Broyles and whether that method of service complied with the requirements of Rule 141(a)(2)(i).

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

Vanessa A. Countryman
Secretary