

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 98986 / November 20, 2023

INVESTMENT ADVISERS ACT OF 1940
Release No. 6485 / November 20, 2023

Admin. Proc. File No. 3-21030

In the Matter of

LEON VACCARELLI

ORDER DIRECTING DIVISION OF ENFORCEMENT TO MAIL FILING TO
RESPONDENT'S CURRENT ADDRESS

On September 2, 2022, the Securities and Exchange Commission issued an order instituting administrative proceedings against Leon Vaccarelli pursuant to Section 15(b) of the Securities Exchange Act of 1934 and Section 203(f) of the Investment Advisers Act of 1940.¹ On May 25, 2023, the Division of Enforcement filed a motion for summary disposition in which it requested that the Commission impose an industry-wide associational bar on Vaccarelli. On October 16, 2023, the Commission issued an order requesting additional briefing and materials from the parties, a copy of which is attached to this order.²

On November 6, 2023, the Division filed a response to the October 16 order. According to the certificate of service attached to the Division's filing, the Division sent the filing to Vaccarelli at a federal medical center. But based on information provided by the Federal Bureau of Prisons inmate locator website ("BOP Inmate Locator"), of which we take official notice,³ it appears that respondent was no longer located at the medical center location on November 6 and subsequently was transferred to another facility. Rule of Practice 102(d)(1) requires an individual representing himself in an administrative proceeding before the Commission to "state on the record, and keep current," his mailing address.⁴ But it appears that Vaccarelli may have

¹ *Leon Vaccarelli*, Exchange Act Release No. 95671, 2022 WL 4011090 (Sept. 2, 2022).

² *Leon Vaccarelli*, Exchange Act Release No. 98757, 2023 WL 6879121 (Oct. 16, 2023).

³ <https://www.bop.gov/inmateloc/>; Rule of Practice 323, 17 C.F.R. § 201.323.

⁴ 17 C.F.R. § 201.102(d)(1).

lacked sufficient time to file a notice of his change in address with the Commission's Office of Secretary and serve it on counsel for the Division before the Division served its brief.

Given the circumstances, it is ordered that, by December 4, 2023, the Division mail a copy of its November 6 filing to Vaccarelli at the address for him then listed in the BOP Inmate Locator and file a certificate of service attesting to that mailing.

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

Vanessa A. Countryman
Secretary