

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES ACT OF 1933
Release No. 10733 / December 17, 2019

SECURITIES EXCHANGE ACT OF 1934
Release No. 87770 / December 17, 2019

INVESTMENT COMPANY ACT OF 1940
Release No. 33718 / December 17, 2019

ADMINISTRATIVE PROCEEDING
File No. 3-17260

In the Matter of

CHRISTOPHER DAY,

Respondent.

AMENDED ORDER PURSUANT TO SECTION 8A OF THE SECURITIES ACT OF 1933, SECTIONS 15(b), 17A AND 21C OF THE SECURITIES EXCHANGE ACT OF 1934, AND SECTION 9(b) OF THE INVESTMENT COMPANY ACT OF 1940, MAKING FINDINGS, AND IMPOSING REMEDIAL SANCTIONS AND A CEASE-AND-DESIST ORDER

I.

On May 25, 2016, the Securities and Exchange Commission (“Commission”) instituted administrative and cease-and-desist proceedings pursuant to Section 8A of the Securities Act of 1933 (“Securities Act”), Sections 15(b), 17A and 21C of the Securities Exchange Act of 1934 (“Exchange Act”), and Section 9(b) of the Investment Company Act of 1940 (“Investment Company Act”), against American Registrar & Transfer Company and Christopher Day (“Day” or “Respondent”). In anticipation of the institution of the proceedings, Day submitted an offer of settlement and consented to the entry of the May 25, 2016 Order Instituting Administrative and Cease-And-Desist Proceedings, Pursuant to Section 8A of the Securities Act of 1933, Sections 15(b), 17A and 21C of the Securities Exchange Act of 1934, and Section 9(b) of the Investment Company Act of 1940, Making Findings, and Imposing Remedial Sanctions and a Cease-And-Desist Order (the “2016 Order”)¹

¹ See Securities Act Rel. No. 10082, May 25, 2016, Admin. Proc. File No. 3-17260

II.

Day has submitted an Amended Offer of Settlement for Amended Order Pursuant to Section 8A of the Securities Act of 1933, Sections 15(b), 17A and 21C of the Securities Exchange Act of 1934, and Section 9(b) of the Investment Company Act of 1940, Making Findings, and Imposing Remedial Sanctions and a Cease-And-Desist Order (“Offer”) proposing to relieve Day of the prohibition from participating in any offering of a penny stock in accordance with paragraph IV.H.3 of the 2016 Order. Solely for purposes of these proceedings and any other proceedings brought by or on behalf of the Commission, or to which the Commission is a party, and without admitting or denying the findings herein, except as to the Commission’s jurisdiction over him and the subject matter of these proceedings, which are admitted, Day consents to the entry of this Amended Order Pursuant to Section 8A of the Securities Act of 1933, Sections 15(b), 17A and 21C of the Securities Exchange Act of 1934, and Section 9(b) of the Investment Company Act of 1940, Making Findings, and Imposing Remedial Sanctions and a Cease-And-Desist Order (“Order”), as set forth below.

III.

The Commission deems it appropriate and in the public interest to amend the 2016 Order as agreed to in Day’s Offer.

Accordingly, IT IS HEREBY ORDERED that:

1. Paragraph IV.H. of the 2016 Order is amended to remove the following language:
 - (3) barred from participating in any offering of a penny stock, including: acting as a promoter, finder, consultant, agent or other person who engages in activities with a broker, dealer or issuer for purposes of the issuance or trading in any penny stock, or inducing or attempting to induce the purchase or sale of any penny stock.
2. All other provisions of the 2016 Order remain in effect.

By the Commission.

Vanessa A. Countryman
Secretary