

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

Administrative Proceedings Rulings
Release No. 6355 / November 21, 2018

Administrative Proceeding
File No. 3-17848

In the Matter of
James P. Griffin

Second Stay Order

The Division of Enforcement has submitted a second joint motion to stay this proceeding based upon the parties' agreement in principle to a settlement on all major terms.¹ The first stay lapsed when Respondent was unable to return his signed settlement offer within the allotted time, but he has done so now. To permit the Securities and Exchange Commission to consider the offer, the second joint motion is GRANTED, and the proceeding is STAYED, subject to compliance with Rule of Practice 161(c)(2), 17 C.F.R. § 201.161(c)(2), requiring that this office be notified promptly if any of the requirements of the rule are not met.

Cameron Elliot
Administrative Law Judge

¹ Respondent was unable to sign the motion before it was filed because he is incarcerated but indicated his agreement to the motion to the Division in writing.