

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 100190 / May 21, 2024

INVESTMENT ADVISERS ACT OF 1940
Release No. 6610 / May 21, 2024

Admin. Proc. File No. 3-21160

In the Matter of

SEAN ANDREW O'NEAL

ORDER DIRECTING STATUS REPORT FROM THE DIVISION OF ENFORCEMENT

On September 27, 2022, the Securities and Exchange Commission issued an order instituting proceedings against respondent Sean Andrew O'Neal, pursuant to Section 15(b) of the Securities Exchange Act of 1934.¹ On December 7, 2023, we issued an order to show cause why O'Neal should not be deemed to be in default and why this proceeding should not be decided against him due to his failure to file an answer or otherwise defend the proceeding.²

O'Neal did not respond to the order to show cause, but on February 9, 2024, the Division of Enforcement filed a status report in which it represented that it is in settlement negotiations with O'Neal and would update the Commission on the status of those negotiations within 30 days of the date of the status report. More than 30 days have passed since the Division filed its status report and no updated status report has been filed.

Accordingly, it is ORDERED that the Division of Enforcement file a status report concerning its settlement negotiations with O'Neal by June 20, 2024.

¹ *Sean Andrew O'Neal*, Exchange Act Release No. 95915, 2022 WL 4484020 (Sept. 27, 2022).

² *Sean Andrew O'Neal*, Exchange Act Release No. 99101, 2023 WL 8527146 (Dec. 7, 2023).

The parties' attention is directed to the e-filing requirements in the Rules of Practice.³ We also remind the parties that any document filed with the Commission must be served upon all participants in the proceeding and be accompanied by a certificate of service.⁴

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

Vanessa A. Countryman
Secretary

³ See Rules of Practice 151, 152(a), 17 C.F.R. §§ 201.151, .152(a) (providing procedure for filing papers with the Commission and mandating electronic filing in the form and manner posted on the Commission's website); *Instructions for Electronic Filing and Service of Documents in SEC Administrative Proceedings and Technical Specifications*, <https://www.sec.gov/efapdocs/instructions.pdf>. Parties generally also must certify that they have redacted or omitted sensitive personal information from any filing. Rule of Practice 151(e), 17 C.F.R. § 201.151(e).

⁴ See Rule of Practice 150, 17 C.F.R. § 201.150 (generally requiring parties to serve each other with their filings); Rule of Practice 151(d), 17 C.F.R. § 201.151(d) ("Papers filed with the Commission . . . shall be accompanied by a certificate stating the name of the person or persons served, the date of service, the method of service, and the mailing address or email address to which service was made, if not made in person.").