

Exhibit 3 – Omnibus Memoranda

	Matters affected by the Omnibus Memorandum	Nature of the recommendation in the Adjudication Memorandum	Memorandum first made available in OS database	Date ENF administrative staff accessed memorandum	Date ENF staff first emailed memorandum to other ENF staff	Whether memorandum was uploaded to the ENF Centralized Database	Date of Commission vote on the recommended action ¹	Date Commission issued the corresponding order
1	All administrative proceedings pending before the Commission on review of an ALJ initial decision in which a respondent would be able to seek review of a final order of the Commission in the Tenth Circuit	Stay the matters described in light of the Tenth Circuit’s denial of rehearing en banc in <i>Bandimere v. SEC</i> Link to the corresponding order	5/17/17	5/23/17	Not applicable	No	5/22/17	5/22/17
2	All administrative proceedings pending either before an ALJ in which no initial decision had yet been issued or before the Commission in which an ALJ had issued an initial decision	Ratify ALJ appointments; direct ALJs to reconsider and reopen the record to determine whether to ratify actions in open proceedings; remand matters in which an ALJ initial decision was issued, to allow ALJs to reopen and reconsider the record; and lift the stay on matters described Link to the corresponding order	11/29/17	12/1/17 ²	12/1/17 ³	Yes ⁴	11/30/17	11/30/17
3	All administrative proceedings that were remanded to an ALJ as part of the Commission’s November 30, 2017 order where, prior to that order, an initial decision had been issued and petition for review had not been filed	Modify certain deadlines and specify further procedures in the matters described [No corresponding order – recommendation withdrawn on 6/21/18 before Commission vote]	6/11/18	6/12/18	Not applicable	No	Not applicable	Not applicable
4	All pending administrative proceedings initiated by an order instituting proceedings that set the matter for a hearing before an ALJ	Stay the matters described in light of the Supreme Court’s decision in <i>Lucia v. SEC</i> Link to the corresponding order	6/21/18	6/26/18	Not applicable	No	6/21/18	6/21/18
5	All pending administrative proceedings initiated by an order instituting proceedings that set the matter for a hearing before an ALJ	Extend the stay issued on 6/21/18 in light of the Supreme Court’s decision in <i>Lucia v. SEC</i> Link to the corresponding order	7/18/18	7/19/18	Not applicable	No	7/19/18	7/20/18

¹ Reflects the date the last Commissioner voted on the staff recommendation.

² An ENF supervisory accountant and a trial attorney, neither of whom were assigned to this matter, accessed this memorandum via the ENF Centralized Database on April 12, 2019 and February 18, 2020, respectively.

³ On December 6, 2017, an administrative staff member emailed this memorandum to an ENF supervisor in the Chicago Regional Office who was not assigned to the matter.

⁴ This memorandum was uploaded to the following case files: (1) *David S. Hall, P.C. d/b/a The Hall Group CPAs, David S. Hall, CPA, Michelle L. Helterbran Cochran, CPA, and Susan A. Cisneros*, Admin. Proc. 3-17228, (2) *Laurie Bebo and John Buono, CPA*, Admin. Proc. 3-16293, (3) *Traci J. Anderson, CPA, Timothy W. Carnahan and CYIOS Corporation*, Admin. Proc. 3-16386, (4) *James A. Winkelmann, Sr., and Blue Ocean Portfolios LLC*, Admin. Proc. 3-17253, and (5) *Saving2Retire, LLC, and Marian P. Young*, Admin. Proc. 3-17352.

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6	All pending administrative proceedings initiated by an order instituting proceedings that set the matter for a hearing before an ALJ	Allow the stay issued on 6/21/18 (and extended on 7/20/18) to expire and specify the course of further proceedings in the matters described in light of the Supreme Court’s decision in <i>Lucia v. SEC</i> Link to the corresponding order	8/21/18	8/22/18	Not applicable	No	8/22/18	8/22/18
7	All pending administrative proceedings initiated by an order instituting proceedings that set the matter for a hearing before either an ALJ or the Commission	Stay the matters described, due to a lapse in appropriations Link to the corresponding order	1/15/19	1/28/19	Not applicable	No	1/16/19	1/16/19
8	All pending administrative proceedings initiated by an order instituting proceedings that set the matter for a hearing before either an ALJ or the Commission	Lift the stay imposed on 1/16/2019 due to a lapse in appropriations Link to the corresponding order	1/29/19	1/30/19	Not applicable	No	1/30/19	1/30/19