

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

ADMINISTRATIVE PROCEEDINGS RULINGS
Release No. 6818/March 4, 2021

ADMINISTRATIVE PROCEEDING
File No. 3-20220

In the Matter of :
:
ROSEDALE ASSET MANAGEMENT, LLC, f/k/a : PREHEARING
PRINCETON ADVISORY WEALTH MANAGEMENT, LLC : ORDER

The Securities and Exchange Commission instituted this proceeding with an Order Instituting Proceedings, pursuant to Section 203(k) of the Investment Advisers Act of 1940, on February 5, 2021. The OIP includes the Commission's acceptance of Respondent Rosedale Asset Management, LLC's offer of settlement: the OIP (1) concludes that Respondent violated Advisers Act Sections 206(1), 206(2), and 206(4) and Rule 206(4)-3; (2) imposes a cease-and-desist order; and (3) imposes a civil penalty in an amount to be determined in these additional proceedings.

A prehearing conference was held today. Keefe Bernstein appeared for the Division of Enforcement, and Jay A. Dubow and Thomas H. Cordova of Troutman Pepper Hamilton Sanders LLP appeared for Respondent Rosedale Asset Management, LLC. The Division will file a motion for summary disposition, pursuant to 17 C.F.R. § 201.250, in May 2021. The parties will propose a schedule of due dates for the motion, opposition, and reply and a date for oral argument on the filings.

IT IS SO ORDERED.

/S/ Carol Fox Foelak
Carol Fox Foelak
Administrative Law Judge

Served by email on both parties