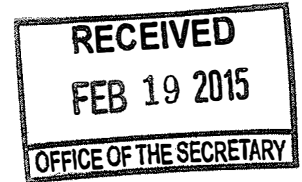


UNITED STATES OF AMERICA  
Before the  
SECURITIES AND EXCHANGE COMMISSION



ADMINISTRATIVE PROCEEDING  
File No. 3-16358

In the Matter of

SPECTRUM CONCEPTS, LLC,  
DONALD JAMES WORSWICK,  
MICHAEL NICHOLAS GROSSO,  
and MICHAEL PATRICK  
BROWN,

Respondents.

DIVISION OF ENFORCEMENT'S THIRD  
STATUS REPORT ON SERVICE OF  
PROCESS (RESPONDENTS BROWN AND  
GROSSO)

The Division of Enforcement ("the Division") hereby submits this third status report on its efforts to obtain service of the Order Instituting Proceedings ("OIP") on Respondents Brown and Grosso. The Commission initiated this proceeding by instituting the OIP on January 23, 2015. On January 27, 2015, Chief ALJ Murray entered an order which, among other things, set the hearing in this matter for 9:30 am on February 27, 2015. By later order dated February 6, 2015, the hearing was cancelled and an initial prehearing conference was scheduled in this matter for 9:30 am on February 26, 2015.

I. SERVICE OF PROCESS ON AND FILE PRODUCTION TO RESPONDENT BROWN

Throughout the staff's investigation in this matter, none of the four Respondents retained attorneys to represent them in this matter. The individuals all appeared pro se.


Counsel for the Division contacted RGP Attorney Services, LLC on January 23, 2015 and sent that firm the OIP and relevant addresses to perfect service of the OIP on the four Respondents, including on Respondents Brown and Grosso. To date, the process server has not obtained

*personal* service of process on Michael Patrick Brown at his last known address of [REDACTED] [REDACTED]. However, on February 9, 2015, undersigned Division counsel received a signed Domestic Return Receipt for delivery of the OIP to Mr. Brown at that address on January 29, 2015. This signed receipt was obtained by the Office of the Secretary, and provided to the Division. A true and correct copy of the Domestic Return Receipt signed by one Jeanette Baptiste at Brown's last known address was previously filed by the Division with its last status report. The Division has no reason to believe that the signed, returned receipt at Brown's last known address would not constitute good service on Respondent Brown. Following receipt of the signed service card at Brown's last known address, undersigned counsel contacted Mr. Brown by telephone, and spoke with him on February 10, 2015. In that conversation, Mr. Brown confirmed that the service address of the Baptistes was still a good address for him, and that he was aware that the Baptistes were holding mail for him at that address. Based upon Mr. Brown's representation that the service address was his, the Division provided Mr. Brown with its file production at that same address. A true and correct copy of the cover letter of that file production dated February 10, 2015 is attached hereto as Exhibit A. A true and correct copy of the correspondence of the Division to Mr. Brown relating to the password for the relevant disk productions is attached hereto as Exhibit B.

## **II. SERVICE OF PROCESS EFFORTS ON RESPONDENT GROSSO**

Service of process efforts on Respondent Grosso continue at this time. The process server retained by the Division has learned that Mr. Grosso recently moved from his last known address at 4 Ridge Road, Rocky Point, NY 11778. The Division has retained a skip tracer in its efforts to obtain service on Mr. Grosso, but has not located him at this time. Therefore, service of process has not been effectuated on Mr. Grosso at this time.

Respectfully submitted, this 18<sup>th</sup> day of February, 2015.

A handwritten signature in cursive script, appearing to read "Edward G. Sullivan", written over a horizontal line.

Edward G. Sullivan  
Counsel for Division of Enforcement  
Securities and Exchange Commission  
Atlanta Regional Office  
950 East Paces Ferry Road, N.E., Suite 900  
Atlanta, Georgia 30326-1392  
[sullivan@sec.gov](mailto:sullivan@sec.gov)  
(404) 842-7612  
(404) 842-7666 (fax)





U.S. SECURITIES AND EXCHANGE COMMISSION  
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Atlanta, GA 30326-1382

EDWARD G. SULLIVAN  
Senior Trial Counsel

Direct Line (404) 842-7612  
Facsimile (404) 842-7666

February 10, 2015

VIA UNITED PARCEL SERVICE, for overnight delivery

Michael Patrick Brown  
18153 181<sup>st</sup> Circle South  
Boca Raton, FL 33498

RE: In the Matter of Spectrum Concepts, LLC; Donald James Worswick; Michael Nicholas Grosso; and Michael Patrick Brown, Administrative Proceeding File No. 3-16358 (Before the Securities and Exchange Commission)

Dear Mr. Brown:

This follows service of process of the Order Instituting Proceedings ("OIP") on you by certified mail with Domestic Return Receipt showing delivery to your last known address, and signed for, on January 29, 2015. Undersigned counsel became aware of the signed card evidencing delivery of the OIP to you by certified mail, when the signed card became available on February 9, 2015. Please let me know if and when you retain counsel to represent you in this matter.

This also follows our telephone conversation this morning in which you confirmed to me that the above address is still a good address for you. You also advised that you are aware the Baptistes are holding mail for you at this address from the SEC. Based upon your address confirmation to me today, I am herewith providing you with the SEC's file materials in this matter.

Pursuant to SEC Rule of Practice 230, and in connection with the above-referenced matter, the Division of Enforcement is providing the enclosed documents and electronic media to you. These documents are being timely delivered to you in compliance with Rule 230(d). As the rule speaks in terms of *Documents to be Available for Inspection and Copying*, this electronic production format is the reasonable alternative to you coming to Atlanta to "inspect and copy" the documents as set forth in SEC Rule of Practice 230(a)(1), and is provided to you to expedite the transfer of documents.

The documents and electronic media included comprise the Division's investigative file, including among other things all testimony taken, exhibits identified, and third party productions pursuant to SEC issued investigative subpoenas. Enclosed you will find 2 CDs, and one box of hardcopy documents. The latter comprise the SEC staff's external e-mail messages related to this

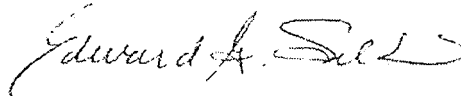


Mr. Brown  
February 10, 2015  
Page 2

investigation. The CDs are encrypted; I will provide the relevant passwords to you separately for purposes of security.

Please contact me with any questions or concerns.

Sincerely,

A handwritten signature in cursive script that reads "Edward G. Sullivan". The signature is written in dark ink and is positioned above the printed name.

Edward G. Sullivan  
Senior Trial Counsel

Enclosures


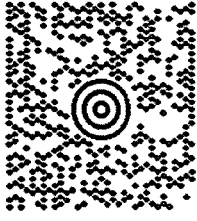
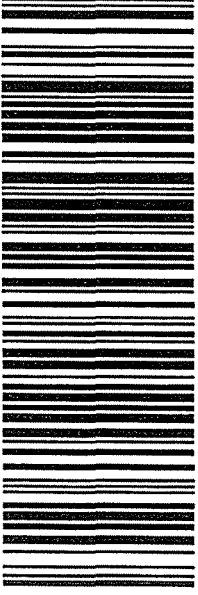
**UPS CampusShip: View/Print Label**

1. **Ensure there are no other shipping or tracking labels attached to your package.** Select the Print button on the print dialog box that appears. Note: If your browser does not support this function select Print from the File menu to print the label.
2. **Fold the printed label at the solid line below.** Place the label in a UPS Shipping Pouch. If you do not have a pouch, affix the folded label using clear plastic shipping tape over the entire label.
3. **GETTING YOUR SHIPMENT TO UPS**  
**UPS locations include the UPS Store®, UPS drop boxes, UPS customer centers, authorized retail outlets and UPS drivers.**  
 Schedule a same day or future day Pickup to have a UPS driver pickup all your CampusShip packages.  
 Hand the package to any UPS driver in your area.  
 Take your package to any location of The UPS Store®, UPS Drop Box, UPS Customer Center, UPS Alliances (Office Depot® or Staples®) or Authorized Shipping Outlet near you. Items sent via UPS Return Services(SM) (including via Ground) are also accepted at Drop Boxes. To find the location nearest you, please visit the Resources area of CampusShip and select UPS Locations.

**Customers with a Daily Pickup**

Your driver will pickup your shipment(s) as usual.

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NANA JORJOLADZE 0.0 LBS LTR 1 OF 1 SHIP TO: MICHAEL PATRICK BROWN MICHAEL PATRICK BROWN	FL 332 6-06 	 UPS NEXT DAY AIR TRACKING #: 1Z A37 49A NT 9243 4895 1	
BILLING: P/P ATTENTION UPS DRIVER: SHIPPER RELEASE Reference # 1: spectrum-brown_docs Reference # 2: eggs CS 17.1.04. WNTHE100 60.0A 01/2015			



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EDWARD G. SULLIVAN  
Senior Trial Counsel

Direct Line (404) 842-7612  
Facsimile (404) 842-7666

February 10, 2015

VIA UNITED PARCEL SERVICE

Michael Patrick Brown  
[REDACTED]

RE: In the Matter of Spectrum Concepts, LLC, Donald James Worswick, Michael Nicholas Grosso and Michael James Brown, Administrative Proceeding File No. 3-16358 (Before the Securities and Exchange Commission)

Dear Mr. Brown:

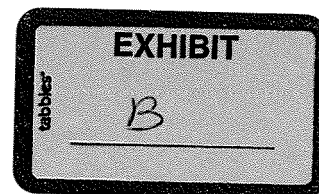
This letter is sent the same day as the separate file production by the Division of Enforcement. In this correspondence, I include the secured passwords and download instructions for the 2 disks which make up the substantial portion of the Division's investigative file in this matter. The remainder of the production is the banker's box of staff external e-mails in hard copy.

For the disk in the white sleeve, you will need to download the free software "TrueCrypt." After you have downloaded the software, the password is Sec\_A-03448\$. In the disk in the orange sleeve, it is a regular DVD (not in TrueCrypt), and the password is the same—Sec\_A-03448\$.

Please contact me with any questions or concerns.

Sincerely,

Edward G. Sullivan  
Senior Trial Counsel





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3. **GETTING YOUR SHIPMENT TO UPS**  
**UPS locations include the UPS Store®, UPS drop boxes, UPS customer centers, authorized retail outlets and UPS drivers.**  
 Schedule a same day or future day Pickup to have a UPS driver pickup all your CampusShip packages.  
 Hand the package to any UPS driver in your area.  
 Take your package to any location of The UPS Store®, UPS Drop Box, UPS Customer Center, UPS Alliances (Office Depot® or Staples®) or Authorized Shipping Outlet near you. Items sent via UPS Return Services(SM) (including via Ground) are also accepted at Drop Boxes. To find the location nearest you, please visit the Resources area of CampusShip and select UPS Locations.

**Customers with a Daily Pickup**

Your driver will pickup your shipment(s) as usual.

FOLD HERE

NANA JORJOLADZE [Redacted] 0.0 LBS LTR 1 OF 1 SHIP TO: MICHAEL PATRICK BROWN MICHAEL PATRICK BROWN [Redacted]	FL 332 6-06 [Barcode] UPS NEXT DAY AIR TRACKING #: 1Z A37 49A NT 9411 3308 1	[Barcode] BILLING: P/P ATTENTION UPS DRIVER: SHIPPER RELEASE Reference #1: spectrum-brown-egs GS 17.1.04. WNTHE100 60.0A 01/2015	[UPS Logo]
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