

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Rel. No. 58751 / October 8, 2008

Admin. Proc. File No. 3-13004

In the Matter of

DOUGLAS G. FREDERICK

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NOTICE THAT INITIAL DECISION HAS BECOME FINAL

The time for filing a petition for review of the initial decision in this proceeding has expired. No such petition has been filed by Douglas G. Frederick, and the Commission has not chosen to review the decision as to him on its own initiative.

Accordingly, notice is hereby given, pursuant to Rule 360(d) of the Commission's Rules of Practice, 1/ that the initial decision of the administrative law judge 2/ has become the final decision of the Commission with respect to Douglas G. Frederick. The order contained in that decision is hereby declared effective. The initial decision ordered that Douglas G. Frederick be barred from association with any broker or dealer.

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

Florence E. Harmon
Acting Secretary

1/ 17 C.F.R. § 201.360(d).

2/ Douglas G. Frederick, Initial Decision Rel. No. 356 (September 9, 2008), ___ SEC Docket ___.