

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 55827/May 30, 2007

ADMINISTRATIVE PROCEEDING
File No. 3-12606

In the Matter of	:	
	:	ORDER MAKING FINDINGS AND
KENNETH KO	:	IMPOSING SANCTION BY
	:	DEFAULT
	:	

The Securities and Exchange Commission (Commission) issued its Order Instituting Proceedings (OIP) on April 3, 2007, pursuant to Section 15(b) of the Securities Exchange Act of 1934. The Division of Enforcement (Division) and the Office of the Secretary have provided evidence that Respondent Kenneth Ko (Ko) was served with the OIP by April 16, 2007. 17 C.F.R. § 201.141(a)(2). Ko has not filed an Answer to the OIP, due twenty days after service. OIP at 2, 17 C.F.R. § 201.220(b).

On May 9, 2007, the Division filed a motion for entry of default due to Ko's failure to file a response to the OIP. To date, Ko has not filed a response to that motion. Before ruling on that motion, I ordered Ko to show cause on or before May 24, 2007, why he should not be found in default and be barred from association with any broker or dealer. To date, Ko has not filed any response to the Show Cause Order. Accordingly, Ko is in default for failure to file an Answer, respond to a dispositive motion, or otherwise defend the proceeding. 17 C.F.R. §§ 201.155(a), .220(f). Pursuant to Rule 155(a) of the Commission's Rules of Practice, I find the following allegations in the OIP to be true.

Ko, thirty-seven years old, is a resident of Arlington Heights, Illinois. From August 1992 through October 1998, Ko was employed at John Dawson & Associates (JDAI), a broker-dealer registered with the Commission, as JDAI's Director of Special Projects and a Managing Director. Ko was responsible for providing technical support to JDAI employees, servicing computer and network systems used by JDAI's trading operations, serving as a liaison with JDAI's technical vendors and acting as an assistant to JDAI's largest producing broker.

On June 7, 2006, Ko pleaded guilty to obstruction of justice under 18 U.S.C. § 1505 before the United States District Court for the Northern District of Illinois, in United States v. Ko, No. 1:05-CR-901. On August 26, 2006, a judgment in the criminal case was entered against Ko. He was sentenced to one month in prison and two years' supervised release.

The counts of the criminal indictment to which Ko pleaded guilty alleged, inter alia, that Ko corruptly and knowingly endeavored to influence, obstruct and impede the due and proper administration of law before the Commission by knowingly making false statements under oath to Commission staff members investigating JDAI and certain of its officers, directors and employees.

In consideration of the above, I find it is in the public interest to bar Ko from association with any broker or dealer.

ORDER

IT IS ORDERED THAT, pursuant to Section 15(b) of the Securities Exchange Act of 1934, Kenneth Ko is hereby barred from association with any broker or dealer.

Robert G. Mahony
Administrative Law Judge