

UNITED STATES DISTRICT COURT
DISTRICT OF MASSACHUSETTS

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SECURITIES AND EXCHANGE COMMISSION,)	
)	Miscellaneous Business
Applicant,)	Docket No.
)	
v.)	
)	
CARLOS R. GARZA,)	
Respondent.)	
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**APPLICATION FOR ORDER TO SHOW CAUSE AND FOR
ORDER TO COMPLY WITH ADMINISTRATIVE SUBPOENA**

Respondent Carlos R. Garza (“Garza”) has refused to comply with an administrative subpoena seeking testimony issued by the staff of the Securities and Exchange Commission (the “Commission”) in connection with the Commission’s formal investigation, In the Matter of GAW Miners, LLC, File No. B-02979. The Commission subpoenaed Garza to testify on Wednesday, August 12, 2015. Garza appeared for testimony but refused to answer any questions. Garza also failed to produce any documents requested in the subpoena, including a document he had earlier represented that he would produce. The Commission therefore respectfully submits this Application for the Court to issue: (1) an Order to Show Cause why Garza should not comply with the administrative subpoena directing him to testify before, and produce documents to, the Commission staff; and (2) an Order compelling Garza to appear for testimony in the Commission’s Boston Regional Office and to produce all non-privileged documents in his possession, custody or control responsive to the Commission’s subpoena.

In support of this Application, the SEC relies on the Memorandum of Law filed herewith, as well as the Declarations of Gretchen Lundgren and Kathleen Shields and their attached Exhibits.

Respectfully submitted,

//s//Kathleen Burdette Shields
Kathleen Burdette Shields (BBO# 637438)
Gretchen Lundgren (BBO#644742)
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COMMISSION
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Counsel for Applicant
Securities and Exchange Commission

Dated: August 14, 2015

Certificate of Service

I, Kathleen Burdette Shields, hereby certify that on August 14, 2015, I caused a true copy of the foregoing document to be served via overnight mail upon the following persons:

Carlos R. Garza
136 Hillcrest Terrace
Brattleboro, VT 05301

//s//Kathleen Burdette Shields
Kathleen Burdette Shields