

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

Administrative Proceedings Rulings
Release No. 6225 / October 18, 2018

Administrative Proceeding
File No. 3-17888

In the Matter of

William D. Bucci

**Order Finding Service,
Directing Respondent
to Show Cause, and
Scheduling Prehearing
Conference**

On March 22, 2017, the Securities and Exchange Commission issued an order instituting proceedings (OIP) against William D. Bucci under Section 15(b) of the Securities Exchange Act of 1934 and Section 203(f) of the Investment Advisers Act of 1940. After a prior initial decision was vacated by the Commission, the proceeding was reassigned to me on September 12, 2018. *Pending Admin. Proc.*, Admin. Proc. Rulings Release No. 5955, 2018 SEC LEXIS 2264, at *2–3 (ALJ). The parties were provided the opportunity to propose how further proceedings should be conducted. *William D. Bucci*, Admin. Proc. Rulings Release No. 5979, 2018 SEC LEXIS 2322, at *1 (ALJ Sept. 14, 2018). Bucci filed nothing. The Division represents that it was unable to contact him and proposes that I order him to show cause.

After reviewing a portion of the evidentiary record, I have determined that in May 2017, the Division submitted an affidavit of a process server establishing that Bucci was served with the OIP on April 24, 2017, by personal delivery. 17 C.F.R. § 201.141(a)(2)(i). His answer was therefore due by May 15, 2017. OIP at 3; 17 C.F.R. §§ 201.160(a), .220(b). To date, he has not answered.

In light of the above, I ORDER Bucci to SHOW CAUSE by November 8, 2018, why he should not be found in default due to his failure to file an answer or otherwise defend this proceeding. *See Pending Admin. Proc.*, Securities Act of 1933 Release No. 10536, 2018 WL 4003609, at *1 (Aug. 22, 2018) (“if a party fails to submit a proposal, the ALJ may enter a default against that party”); 17 C.F.R. §§ 201.155(a)(2), .220(f).

I FURTHER ORDER that a telephonic prehearing conference will take place on November 8, 2018, at 2:00 p.m. EST. In the event that Bucci fails to respond to this order, the Division should be prepared to address whether it intends to rely on the existing record or to supplement or substitute its previous filings.

James E. Grimes
Administrative Law Judge