

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

Administrative Proceedings Rulings
Release No. 6565 / May 6, 2019

Administrative Proceeding
File No. 3-15574

In the Matter of

**Harding Advisory LLC and
Wing F. Chau**

Order Following Reassignment

On March 20, 2019, the Securities and Exchange Commission remanded this proceeding to the Office of Administrative Law Judges to give respondents “the opportunity for a new hearing before an ALJ who did not previously participate in the matter.” *Harding Advisory LLC*, Securities Act of 1933 Release No. 10617, 2019 WL 1276417, at *1 (Mar. 20, 2019).¹ The Commission’s Chief Administrative Law Judge assigned me to this case on April 29, 2019. *See Harding Advisory*, Admin. Proc. Rulings Release No. 6553, 2019 SEC LEXIS 987, at *1.

In light of the Commission’s order, the parties are directed to confer about the conduct of further proceedings in this matter. By May 28, 2019, the parties should submit a joint proposal for the conduct of these proceedings, including a prehearing, hearing, and post-hearing schedule.² The parties’

¹ The parties should review the Commission’s order, which can be found at <https://www.sec.gov/litigation/opinions/2019/33-10617.pdf>. In particular, the Commission directed that this proceeding will be governed by the Commission’s Rules of Practice as amended on July 13, 2016. *Harding Advisory*, 2019 WL 1276417, at *2.

² In considering possible dates to start the hearing, the parties should review Rule of Practice 360(a)(2)(ii) and the Commission’s guidance in amending Rule 360, giving particular attention to the admonition that “the maximum prehearing period should be the exception rather than the norm.” Amendments to the Commission’s Rules of Practice, 81 Fed. Reg. 50,212,

(continued...)

proposal should reflect any agreement regarding service of the order instituting proceedings and address the numbered items referenced in 17 C.F.R. § 201.221(c). The parties should also propose times between June 4 and 7, 2019, to hold a telephonic prehearing conference.

If the parties are unable to agree, they may submit separate proposals.

The parties are asked to e-mail text-searchable PDF courtesy copies of all filings to alj@sec.gov.

James E. Grimes
Administrative Law Judge

50,214 & n.18 (July 29, 2016); *see* 17 C.F.R. § 201.360(a)(2)(ii). In considering possible locations for the hearing, the parties should review Rule of Practice 200(c). 17 C.F.R. § 201.200(c); *see also* 5 U.S.C. § 554(b) (“In fixing the time and place for hearings, due regard shall be had for the convenience and necessity of the parties or their representatives.”).