

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

ADMINISTRATIVE PROCEEDINGS RULINGS
Release No. 1048/November 18, 2013

ADMINISTRATIVE PROCEEDING
File No. 3-15574

In the Matter of

HARDING ADVISORY LLC AND
WING F. CHAU

ORDER SETTING PREHEARING
SCHEDULE

The Securities and Exchange Commission (Commission) instituted this Administrative and Cease-and-Desist Proceeding on October 18, 2013, pursuant to Section 8A of the Securities Act of 1933 (Securities Act), Sections 203(e), 203(f), and 203(k) of the Investment Advisers Act of 1940, and Section 9(b) of the Investment Company Act of 1940, against Harding Advisory LLC and Wing F. Chau (collectively, Respondents).

A telephonic prehearing conference was held today, and was attended by the Division of Enforcement and counsel for Respondents. At the prehearing conference, service was deemed to have occurred on November 18, 2013, and Respondents were ordered to file their Answer by a modified due date of January 2, 2014. Respondents waived their right to hold a hearing between thirty and sixty days after service of notice of the proceedings under Securities Act Section 8A. See 15 U.S.C. § 77h-1(b). The following procedural schedule was established:

- February 18, 2014:¹ The parties shall exchange and file (and provide this Office with) witness lists;
- March 3, 2014: The parties shall exchange and file (and provide this Office with) exhibit lists and expert reports, and shall exchange (but should not file) pre-marked exhibits;
- March 17, 2014: The parties shall file prehearing briefs, any motions in limine, and any objections to exhibits and witnesses;

¹ During the prehearing conference, the parties agreed to exchange and file witness lists by February 17, 2014; however, that date is a federal holiday.

March 24, 2014: The parties shall file any written stipulations and participate in a final telephonic prehearing conference at 9:30 a.m. EDT;

March 31, 2014: The hearing will commence in Hearing Room 2 at Commission Headquarters, 100 F Street, NE, Washington, D.C. 20549.

During the prehearing conference, counsel for Respondents requested (1) a detailed withheld document list and (2) Brady and Jencks material. I GRANTED Respondents' request for a withheld document list and ORDERED the Division to provide a categorized withheld document list, pursuant to Rule 230(c) of the Commission's Rules of Practice, to Respondents by January 2, 2014. See 17 C.F. R. § 201.230(c). I DENIED, without prejudice, Respondents' request for Brady and Jencks material.

The parties are reminded that they must file hard copies of all filings with the Office of the Secretary, but are also encouraged to send each other – and the Office of Administrative Law Judges, when applicable – electronic copies, via e-mail, of materials to be filed and exchanged.

SO ORDERED.

Cameron Elliot
Administrative Law Judge