

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

ADMINISTRATIVE PROCEEDINGS RULINGS
Release No. 849/September 6, 2013

ADMINISTRATIVE PROCEEDING
File No. 3-15211

In the Matter of

GREGG C. LORENZO,
FRANCIS V. LORENZO, and
CHARLES VISTA, LLC

:
: PREHEARING ORDER
:
:

The Securities and Exchange Commission instituted this proceeding with an Order Instituting Proceedings, pursuant to Section 8A of the Securities Act of 1933 and Sections 15(b), 21B, and 21C of the Securities Exchange Act of 1934 on February 15, 2013, and the hearing was scheduled to commence on September 16, 2013. A prehearing conference was held today. Jack Kaufman and Alex Janghorbani, Esqs., appeared on behalf of the Division of Enforcement (Division); and Francis V. Lorenzo (Lorenzo) appeared pro se.¹

The Division's September 3, 2013, Motion to Permit Witness William Rothe to Testify by Telephone was granted. The hearing was postponed to commence on September 18, 2013, at 10:00 a.m. EDT, and Lorenzo's September 3, 2013, Request for an Adjournment was otherwise denied. The Division has timely filed its prehearing brief, exhibit list, and witness list. Lorenzo has filed none of these but confirmed that he does not intend to call any witnesses other than himself. He intends to offer exhibits consisting of emails that he sent to customers who experienced losses, and he will email these to the Division today.

IT IS SO ORDERED.

/S/ Carol Fox Foelak
Carol Fox Foelak
Administrative Law Judge

¹ The proceeding has been stayed as to Respondents Gregg C. Lorenzo and Charles Vista, LLC. Gregg C. Lorenzo, Administrative Proceedings Rulings Release No. 831 (A.L.J. Sept. 3, 2013).