

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

ADMINISTRATIVE PROCEEDINGS RULINGS
Release No. 6710/November 21, 2019

ADMINISTRATIVE PROCEEDING
File No. 3-15006

In the Matter of

RAYMOND J. LUCIA COMPANIES, INC., and : ORDER
RAYMOND J. LUCIA, SR. :

The Securities and Exchange Commission instituted this proceeding, pursuant to Section 15(b) of the Securities Exchange Act of 1934, 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, on September 5, 2012.¹ The hearing was scheduled to commence on March 2, 2020, and a prehearing schedule was set. *Raymond J. Lucia Cos.*, Admin. Proc. Rulings Release No. 6657, 2019 SEC LEXIS 2111 (A.L.J. Aug. 16, 2019). The parties, at Respondents' request, have requested a postponement of the scheduled dates stemming from the personal circumstances of Respondent Lucia. Taking into account those circumstances and the availability of counsel, the parties propose that the hearing be postponed to commence May 26, 2020, and the prehearing schedule adjusted accordingly. For good cause shown, pursuant to 17 C.F.R. § 201.161, the requested postponement of the schedule will be granted:

February 14, 2020 – parties to exchange expert disclosures
March 13, 2020 – parties to exchange witness and exhibit lists, any rebuttal expert reports, and pre-marked exhibits
April 10, 2020 – close of fact discovery
April 24, 2020 – close of expert discovery, parties to exchange any supplemental exhibits
May 12, 2020 – parties to file and exchange final prehearing briefs and motions in limine
May 18, 2020 – telephonic final prehearing conference
May 26, 2020 – hearing to commence in San Diego

IT IS SO ORDERED.

/s/ Carol Fox Foelak

Carol Fox Foelak
Administrative Law Judge

¹ On July 8, 2013, an Initial Decision imposed various sanctions on Respondents, who appealed a series of adverse decisions, eventually reaching the Supreme Court. *See Raymond J. Lucia Cos.*, 138 S. Ct. 2044 (2018) (reversing and remanding); 736 F. App'x 2 (D.C. Cir. 2018) (setting aside Commission decision and remanding to Commission for a new hearing). Accordingly, the Commission ordered that Respondents "be provided with the opportunity for a new hearing before an ALJ who did not previously participate in the matter"; the proceeding was reassigned to the undersigned. *Pending Admin. Proc.*, Securities Act of 1933 Release No. 10536, 2018 SEC LEXIS 2058, at *2 (Aug. 22, 2018); Admin. Proc. Rulings Release No. 5955, 2018 SEC LEXIS 2264 (C.A.L.J. Sept. 12, 2018).