

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION
February 21, 2014

SECURITIES EXCHANGE ACT OF 1934
Release No. 71601 / February 21, 2014

INVESTMENT ADVISERS ACT OF 1940
Release No. 3784 / February 21, 2014

INVESTMENT COMPANY ACT OF 1940
Release No. 30922 / February 21, 2014

ADMINISTRATIVE PROCEEDING
File No. 3-15006r

In the Matter of

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

ORDER
GRANTING
PETITIONS
FOR REVIEW
AND SCHEDULING
BRIEFS

Pursuant to Commission Rule of Practice 411,¹ the petition of Raymond J. Lucia Companies, Inc. and Raymond J. Lucia, Sr., and the cross-petition of the Division of Enforcement for review of an administrative law judge's initial decision² are granted. Pursuant to Rule of Practice 411(d),³ the Commission will determine what sanctions, if any, are appropriate in this matter.

Accordingly, IT IS ORDERED, pursuant to Rule of Practice 450(a),⁴ that Raymond J. Lucia Companies, Inc. and Raymond J. Lucia, Sr.'s brief in support of their petition for review shall be filed by March 24, 2014. The Division of Enforcement shall file a brief in opposition to Lucia and Lucia Sr.'s petition and in support of its cross petition by April 23, 2014, and Lucia and

¹ 17 C.F.R. ' 201.411.

² *Raymond J. Lucia Companies, Inc. and Raymond J. Lucia, Sr.*, Initial Decision on Remand Rel. No. 540 (Dec. 6, 2013), 107 SEC Docket 15.

³ 17 C.F.R. ' 201.411(d).

⁴ 17 C.F.R. ' 201.450(a).

Lucia, Sr. shall file their reply brief by May 7, 2014.⁵ Pursuant to Rule of Practice 180(c),⁶ failure to file a brief in support of a petition may result in dismissal of this review proceeding as to that petitioner.

For the Commission, by the Office of General Counsel, pursuant to delegated authority.

Elizabeth M. Murphy
Secretary

⁵ As provided by Rule of Practice 450(a), no briefs in addition to those specified in this schedule may be filed without leave of the Commission. Attention is called to Rules 150 – 153, 17 C.F.R. ' ' 201.150 – 153, with respect to form and service, and Rules of Practice 450(b) and (c), 17 C.F.R. ' ' 201.450(b), 201.450(c), with respect to content and length limitations. Requests for extensions of time to file briefs are disfavored.

⁶ 17 C.F.R. ' 201.180(c).