

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES ACT OF 1933
Release No. 9743 / April 8, 2015

SECURITIES EXCHANGE ACT OF 1934
Release No. 74683 / April 8, 2015

Admin. Proc. File No. 3-13871

In the Matter of

ROBERT GORGIA

ORDER VACATING ORDER IMPOSING REMEDIAL SANCTIONS AND DISMISSING
PUBLIC ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS AS TO ROBERT
GORGIA, DECEASED

On April 27, 2010, the Commission instituted public administrative and cease-and-desist proceedings pursuant to Section 8A of the Securities Act of 1933 (“Securities Act”) and Sections 15(b) and 21C of the Securities Exchange Act of 1934 (“Exchange Act”) against Robert Gorgia (“Gorgia”) and others to determine, in part, whether Gorgia failed reasonably to supervise others at Leeb Brokerage Services, Inc. with regard to any violations of Sections 5(a) and 5(c) of the Securities Act of 1933, and whether Gorgia willfully aided and abetted and caused violations of Section 17(a) of the Securities Exchange Act of 1934 and Exchange Act Rule 17a-8.¹

On April 26, 2011, an Initial Decision was entered against Gorgia and others.² Gorgia sought review of the Initial Decision by the Commission, and on February 27, 2014 the Commission issued an order imposing remedial sanctions upon Ronald S. Bloomfield, Robert Gorgia, and John Earl Martin, Sr.³

With respect to Gorgia, the Commission ordered that he be barred from association with any broker or dealer; provided, however, that he may apply to become so associated in a non-proprietary, non-supervisory capacity after two years, that he cease and desist from committing

¹ *In the Matter of Ronald S. Bloomfield, et al.*, Securities Act Rel. No. 9121 and Securities Exchange Act Rel. No. 61988 (April 27, 2010).

² *In the Matter of Ronald S. Bloomfield*, Initial Decision 416-A (April 26, 2011).

³ *Ronald S. Bloomfield, et al.*, Securities Act Rel. No. 9553 and Securities Exchange Act Rel. No. 71632 (Feb. 27, 2014).

or causing any violations or future violations of Section 17(a) of the Securities Exchange Act of 1934 and Exchange Act Rule 17a-8, and that he pay a civil money penalty of \$335,000.

It has now come to the attention of the Commission that Gorgia died on February 4, 2014, before the Commission entered its order imposing remedial sanctions upon him. In light of his death, the Commission has determined to vacate its Order of February 27, 2014 as to Gorgia only, and the Commission has further determined to dismiss the public administrative and cease-and-desist proceedings as to Gorgia only.⁴

It is therefore ORDERED that the Commission's Order of February 27, 2014 as to Robert Gorgia only be vacated, and the administrative and cease-and-desist proceedings against him be dismissed.

By the Commission.

Brent J. Fields
Secretary

⁴ Vacating the Commission Order as to Gorgia and dismissing the public administrative and cease-and-desist proceedings as to him is not intended to, and does not, affect any other party to such proceedings.