

UNITED STATES OF AMERICA  
before the  
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940  
Release No. 5910 / November 18, 2021

Admin. Proc. File No. 3-20616

In the Matter of  
RICHARD VU NGUYEN

ORDER REGARDING SERVICE

On September 30, 2021, the Securities and Exchange Commission issued an order instituting administrative proceedings (“OIP”) against Richard Vu Nguyen pursuant to Section 203(f) of the Investment Advisers Act of 1940.<sup>1</sup> It appears that there have been no other filings in this proceeding since issuance of the OIP, including as to whether the OIP was served upon Nguyen. To assist the Office of the Secretary in maintaining a record of service that establishes that the OIP has been properly served,<sup>2</sup> IT IS ORDERED that the Division of Enforcement file a status report concerning service of the OIP by December 2, 2021, and every 28 days thereafter until service is accomplished.

The parties’ attention is directed to the most recent amendments to the Commission’s Rules of Practice, which took effect on April 12, 2021, and which include new e-filing requirements.<sup>3</sup>

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<sup>1</sup> *Richard Vu Nguyen*, Advisers Act Release No. 5882, 2021 WL 4500203 (Sept. 30, 2021); *see* 15 U.S.C. § 80b–3(f).

<sup>2</sup> *See* Rule of Practice 141(a)(3), 17 C.F.R. § 201.141(a)(3).

<sup>3</sup> *Amendments to the Commission’s Rules of Practice*, Exchange Act Release No. 90442, 2020 WL 7013370 (Nov. 17, 2020), 85 Fed. Reg. 86,464, 86,474 (Dec. 30, 2020), <https://www.sec.gov/rules/final/2020/34-90442a.pdf>; *Instructions for Electronic Filing and Service of Documents in SEC Administrative Proceedings and Technical Specifications*, <https://www.sec.gov/efapdocs/instructions.pdf>. The amendments also impose other obligations such as a new redaction and omission of sensitive personal information requirement. *Amendments to the Commission’s Rules of Practice*, 85 Fed. Reg. at 86,465–81.

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

Vanessa A. Countryman  
Secretary