

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 95591 / August 24, 2022

INVESTMENT ADVISERS ACT OF 1940
Release No. 6096 / August 24, 2022

Admin. Proc. File No. 3-20874

In the Matter of

RICHARD G. DUNCAN

ORDER REGARDING SERVICE

The Securities and Exchange Commission (“Commission”) issued an order instituting administrative proceedings (“OIP”) on June 2, 2022, pursuant to Section 15(b) of the Securities Exchange Act of 1934 and Section 203(f) of the Investment Advisers Act of 1940, against Richard G. Duncan.¹ It appears that there have been no filings in this proceeding since issuance of the OIP, including as to whether the OIP was served upon Duncan. To assist the Office of the Secretary in maintaining a record of service that establishes that the OIP has been properly served,² IT IS ORDERED that the Division of Enforcement file a status report concerning service of the OIP by September 7, 2022, 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.³

¹ *Richard G. Duncan*, Exchange Act Release No. 95023, 2022 WL 1905180 (June 2, 2022); *see* 15 U.S.C. §§ 78o(b), 80b-3(f).

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

³ *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*,

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

Vanessa A. Countryman
Secretary

<https://www.sec.gov/efapdocs/instructions.pdf>. The amendments 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.