

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 96036 / October 12, 2022

INVESTMENT ADVISERS ACT OF 1940
Release No. 6168 / October 12, 2022

Admin. Proc. File No. 3-20874

In the Matter of
RICHARD G. DUNCAN

SUPPLEMENTAL 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.

On August 24, 2022, the Commission issued an Order Regarding Service.² The order directed the Division of Enforcement to file a status report concerning service of the OIP by September 7, 2022, and every 28 days thereafter until service is accomplished.³ To date, no such status report has been filed, nor has the Division otherwise responded to the August 24 order.

Accordingly, IT IS ORDERED that the Division of Enforcement file a status report concerning service of the OIP by October 26, 2022, and every 28 days thereafter until service is accomplished.

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 *Richard G. Duncan*, Exchange Act Release No. 95591, 2022 WL 3703810 (Aug. 24, 2022).

³ *Id.* at *1.

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.⁴

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

Vanessa A. Countryman
Secretary

⁴ *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 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.