

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940
Release No. 6177 / October 27, 2022

Admin. Proc. File No. 3-21125

In the Matter of
JACOB C. GLICK

ORDER REGARDING SERVICE

The Securities and Exchange Commission (“Commission”) issued an Order Instituting Proceedings (“OIP”), on September 22, 2022, pursuant to Section 203(f) of the Investment Advisers Act of 1940, against respondent Jacob C. Glick (“Respondent”).¹ The OIP alleged that Glick had been enjoined from violating the antifraud provisions of the federal securities laws and initiated proceedings to determine whether remedial action was appropriate in the public interest.

On October 21, 2022, the Division of Enforcement filed a status report, which asserted that the OIP was served on Respondent by mailing it to his counsel in the underlying civil litigation. But that counsel has not entered an appearance in this case, and the status report does not otherwise explain why service upon counsel is proper under the Commission’s Rules of Practice.² Therefore, it appears that the record does not establish that service of the OIP has been accomplished.³

Accordingly, IT IS ORDERED that the Division of Enforcement file a status report concerning service of the OIP by November 10, 2022, and every 28 days thereafter until service is accomplished.

¹ *Jacob C. Glick*, Advisers Act Release No. 6144, 2022 WL 4445453 (Sept. 22, 2022).

² *See* Rule of Practice 141(a)(2)(i), 17 C.F.R. § 201.141(a)(2)(i) (governing service of orders instituting proceedings on individuals).

³ *See Theron Res. Grp.*, Exchange Act Release No. 93439, 2021 WL 4991158 (Oct. 27, 2021) (concluding that it did not appear that the record established that service of the OIP had been accomplished by mailing and emailing the OIP to counsel who had not entered an appearance where the certificate of service did not otherwise explain why service on that individual was proper under the Rules of Practice).

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 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 redaction and omission of sensitive personal information requirement. *Amendments to the Commission's Rules of Practice*, 85 Fed. Reg. at 86,465-81.