

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
OFFICE OF HEARING OFFICERS**

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

CRD No.

Respondent.

Disciplinary Proceeding
No.

Hearing Officer –

MOTION REGARDING

Respondent respectfully requests as follows:

Respectfully submitted,

Name:

Address:

Phone:

Email:

STATEMENT REGARDING MEET AND CONFER

I hereby certify that on _____ I sent a true and exact copy of this filing to the
Department of Enforcement by email to _____ @finra.org. I subsequently
had a telephone conversation on _____, with Enforcement's representative,
_____, who stated that Enforcement _____ object to the motion.

Respectfully submitted,

Name:

Address:

Phone:

Email:

CERTIFICATE OF SERVICE

I hereby certify that on _____, a true and correct copy of this filing
was filed and sent by email to:

FINRA Office of Hearing Officers
Email: OHOCasFilings@finra.org
1700 K Street, NW
Washington, DC 20006

and

FINRA Department of Enforcement
[Note: Send to the Enforcement attorney of record for the case]

Respectfully submitted,

Name:

Address:

Phone:

Email: