

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

CABOT LODGE SECURITIES LLC  
(CRD No. 159712),

Respondent.

Disciplinary Proceeding  
No. 2014041541401

Hearing Officer—MC

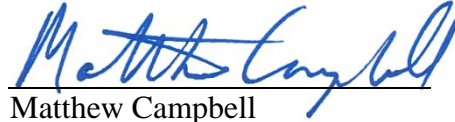
**ORDER REQUIRING CERTIFICATION OF COMPLIANCE WITH FINRA RULE 9910**

On June 10, 2020, Michael Watling, Esq., entered his appearance on behalf of Respondent Cabot Lodge Securities LLC in this disciplinary proceeding brought by FINRA through the Department of Enforcement. Mr. Watling is a former FINRA employee who served with the Department of Enforcement from August 2012 until November 2, 2018. For the two years preceding his departure from FINRA, he was a senior litigation attorney located in New York City.

FINRA Rule 9910 contains conflict-of-interest provisions that apply to former FINRA employees. Among other provisions, Rule 9910(b) forbids former FINRA employees from appearing before FINRA on behalf of another person in connection with a matter involving a specific party, in which FINRA is a party, and the matter is one “in which the former employee participated personally and substantially as an employee.” Furthermore, Rule 9910(c) forbids former FINRA employees from appearing for two years after being employed by FINRA in a matter involving a specific party, in which FINRA is a party, and the matter is one “which the former employee knows or reasonably should know was actually pending under the former employee’s official responsibility, within the one year period prior to the termination of his or her employment with FINRA.” Information about these “Revolving Door Rules” may be found on FINRA’s website at <http://www.finra.org/about/revolving-door-rules>.

**To continue as Counsel for the Respondent in this matter, Mr. Watling is directed to file with this office and serve on Enforcement a notarized affidavit indicating that his appearance in this matter complies with FINRA Rule 9910.**

**SO ORDERED.**



Matthew Campbell  
Hearing Officer

Dated: June 18, 2020

Copies to:

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