

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

SPARTAN CAPITAL SECURITIES, LLC  
(CRD No. 146251),

JOHN D. LOWRY  
(CRD No. 4336146),

and

KIM M. MONCHIK  
(CRD No. 2528972),

Respondents.

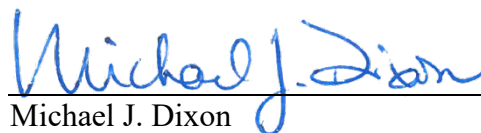
Disciplinary Proceeding  
No. 2019061528001

Hearing Officer–MJD

**ORDER DENYING RESPONDENTS' REQUEST FOR ORAL ARGUMENT  
ON ENFORCEMENT'S PENDING RULE 9285 MOTION FOR  
CONDITIONS AND RESTRICTIONS**

On June 5, 2023, Respondents moved to supplement their opposition to the Department of Enforcement's motion seeking conditions and restrictions pursuant to FINRA Rule 9285. In their motion, Respondents request that I hear oral argument from the parties on Enforcement's motion. Rule 9285(a)(5) states in relevant part, "Unless ordered otherwise by the Hearing Officer, the motion for conditions or restrictions shall be decided based on the moving and opposition papers and without oral argument." I find that oral argument is not necessary to decide Enforcement's motion for conditions or restrictions. Accordingly, Respondents' request is **DENIED**.

**SO ORDERED.**



Michael J. Dixon  
Hearing Officer

Dated: June 6, 2023

Copies to:

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