

This Order has been published by the NASDR Office of Hearing Officers and should be cited as OHO Order 01-12 (C05010012).

**NASD REGULATION, INC.  
OFFICE OF HEARING OFFICERS**

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DEPARTMENT OF ENFORCEMENT,	:	
	:	
Complainant,	:	Disciplinary Proceeding
	:	No. C05010012
v.	:	
	:	Hearing Officer - AWH
	:	
	:	
	:	
Respondent.	:	

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**ORDER GRANTING  
RESPONDENT’S REQUEST FOR PRODUCTION OF DOCUMENTS  
PURSUANT TO NASD PROCEDURAL RULE 9252**

Respondent filed a request, pursuant to NASD Rule 9252, that the NASD invoke Rule 8210 to compel \_\_\_\_\_ to produce certain documents. The Department of Enforcement does not oppose the request.

Good cause has been shown for granting the request because (1) the information sought is relevant, material, and non-cumulative; (2) the requesting Party has previously attempted in good faith to obtain the desired documents through other means but has been unsuccessful in such efforts; and (3) each of the persons from whom the documents are sought is subject to the Association’s jurisdiction. Rule 9252(b). The request is neither unreasonable, oppressive, excessive in scope, or unduly burdensome. *Id.*

Accordingly the request is hereby *granted*, subject to the condition that the information produced in response to the attached Rule 8210 Request for Documents shall be used only for

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purposes of this proceeding and shall otherwise not be disclosed unless permitted by law or regulation.

**SO ORDERED.**

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Alan W. Heifetz  
Hearing Officer

Dated: Washington, DC  
May 11, 2001