

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

INTEGRITY BROKERAGE SERVICES,  
INC. (CRD No. 117589)

and

JOSHUA HELMLE  
(CRD No. 2195760),

Respondents.

Disciplinary Proceeding  
No. 2018056436001

Hearing Officer–LOM

**ORDER MEMORIALIZING RULINGS AT PRE-HEARING CONFERENCE**

On November 18, 2020, I held a pre-hearing conference in this matter. At the conference, I **GRANTED** the Department of Enforcement's motion to admit prior testimony given by Marc Jaffe, in light of his anticipated absence due to ill health from the upcoming hearing scheduled to begin December 7, 2020. As a consequence, CX-90 (excerpts from Jaffe's testimony on December 7, 2016, in support of the MC-400 application of Integrity Brokerage Services, Inc. ("IBS") to employ Jaffe as a registered representative) and CX-95 (the entirety of Jaffe's testimony under oath in an on-the-record interview conducted on March 8, 2019) will be admitted into evidence at the hearing.

I also **ORDERED** the entity Respondent, IBS, to file and serve by November 20, 2020, a written designation of a corporate representative. From the commencement of this proceeding in April 2020, Respondent Joshua Helmlle has acted on behalf of IBS. He filed an amended answer on June 9, 2020, on behalf of himself and IBS. He has appeared at pre-hearing conferences on behalf of himself and IBS. At today's pre-hearing conference, however, he announced for the first time that he does not represent IBS. He said that the firm no longer exists but also that it has been sold. He said he no longer owns the firm but acknowledged that he is its Chief Compliance Officer. The circumstances are murky.

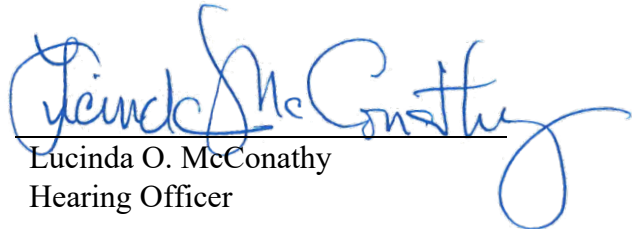
FINRA Rule 9141 requires that a representative of an entity, including a bona fide officer of a corporation, must file and keep current a notice of appearance that includes contact

information. Accordingly, IBS must, **by November 20, 2020, at 6:00 p.m., Eastern Time**, designate either an attorney or a bona fide officer of the entity as a corporate representative to appear on its behalf at all pre-hearing conferences (including the final pre-hearing conference scheduled for November 23, 2020, as detailed below); make submissions and filings pursuant to FINRA's Code of Procedure and all other relevant FINRA Rules; attend the hearing that starts on December 7, 2020; do whatever else is necessary and appropriate in the presentation of the entity's defense; and comply with all orders and instructions of the Hearing Officer.

FINRA Rule 9142 requires that a person who represents a party but later seeks to withdraw from that representation file a motion to withdraw setting forth good cause and providing contact information for who in the future will act on behalf of the party no longer represented. If Mr. Helmle no longer represents IBS in this proceeding, he must therefore file such a motion to withdraw **by November 20, 2020, at 6:00 p.m., Eastern Time**.

The Final Pre-Hearing Conference is scheduled for **Monday, November 23, 2020**, by Zoom. The Case Administrator provided the Zoom link for that conference by email this afternoon. Respondents are cautioned that a failure to appear at the pre-hearing conference or the hearing, in person or through counsel or a representative, may be deemed a default.

**SO ORDERED.**

  
Lucinda O. McConathy  
Hearing Officer

Dated: November 18, 2020

Copies to:

Integrity Brokerage Services, Inc. (via email)  
Joshua Helmle (via email)  
John Luburic, Esq. (via email)  
Andrew C. Boldt, Esq. (via email)  
Robert Miller, Esq. (via email)  
Jennifer L. Crawford, Esq. (via email)