

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

THOMAS JOHN LYKOS, JR.
(CRD No. 2017220),

Respondent.

Disciplinary Proceeding
No. 2018059510201

Hearing Officer—DDM

ORDER GOVERNING POST-HEARING BRIEFING

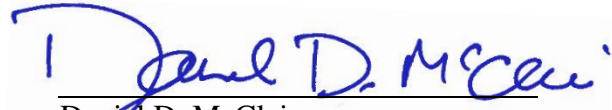
At the conclusion of the hearing on January 29, 2020 and after consulting with the Hearing Panelists, I direct the parties to file post-hearing briefs as follows:

1. Each party shall file one post-hearing brief. The filing deadline for the briefs is **March 13, 2020**. Each party's brief shall not exceed **25 pages**, exclusive of any cover sheets, table of contents, and table of authorities.
2. The briefs shall include separate sections containing proposed findings of fact¹ and conclusions of law and shall address, among other things, (a) the factual allegations in the Complaint; (b) each defense separately; (c) witness credibility; and (d) the arguments made by the opposing party during closing arguments.
3. In the conclusions of law section of the briefs, the parties shall address the legal issues in the case and whether Complainant has proven a violation of the rules charged in the Complaint (NASD Rule 1080 and, separately, FINRA Rule 2010). Complainant's brief shall also address sanctions for each alleged rule violation. Respondent may—but is not required to—address sanctions in his brief. Sanctions discussions should include references to relevant provisions in FINRA's Sanction Guidelines.
4. The briefs shall be double-spaced and use 12-point Times New Roman font in the text and 10-point Times New Roman font in the footnotes. The body of the footnotes shall be single-spaced, with double-spaced separations between footnotes. The parties shall

¹ Pursuant to FINRA Rule 9266(b), all proposed findings of fact or other factual statements in the briefs shall be supported by specific references to the record.

minimize their use of lengthy textual footnotes. The briefs shall not include any attachments or appendices without obtaining my prior approval.

SO ORDERED.


Daniel D. McClain
Hearing Officer

Dated: January 31, 2020

Copies to:

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