

This order has been published by the NASDR Office of the Hearing Officers and should be cited as OHO Order 97-15 (C01970032).

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

DEPARTMENT OF ENFORCEMENT,	:	
	:	
Complainant,	:	Disciplinary Proceeding
	:	No. C01970032
v.	:	
	:	Hearing Officer—AHP
	:	
Respondent.	:	

**ORDER STRIKING ANSWER FILED ON BEHALF OF RESPONDENT
AND DIRECTING THE DEPARTMENT OF ENFORCEMENT
TO SEND A SECOND NOTICE OF COMPLAINT**

On November 17, 1997, Respondent _____ was served with a copy of the Complaint in this proceeding. Pursuant to Code of Procedure Rule 9215(a), _____ was required to file an answer with the Office of Hearing Officers by December 15, 1997. On December 11, 1997, Respondent _____ filed an Answer on behalf of Respondent _____, and then on December 17, 1997, _____ filed a corrected cover letter indicating that the Answer had been intended to be filed on behalf of _____.

NASD Code of Procedure Rule 9141(b) governs who may represent a respondent in a disciplinary proceeding. Pursuant to Rule 9141(b), an individual may either represent himself or he may be represented by an attorney at law. Because _____ has not indicated

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that he is a licensed attorney at law, he may not represent _____. Therefore, the Answer is stricken from the record as to _____.

Pursuant to Rule 9215(f), the Department of Enforcement is ordered to serve _____ with a Second Notice of Complaint (Second Notice). The Second Notice shall require _____ to serve an answer to the Complaint on each of the other Parties in this proceeding and to file the answer with the Office of Hearing Officers within 14 calendar days after service of the Second Notice. Further, in accordance with Rule 9137, _____ answer shall either be signed by himself or by his attorney, and the answer shall include an address for service of further papers on _____ in this proceeding.

SO ORDERED.

Andrew H. Perkins
Hearing Officer

Dated: Washington, DC
December 19, 1997