

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

GURPREET CHANDHOKE
(CRD No. 4999369),

and

STEPHEN SHEA
(CRD No. 3274649),

Respondents.

Disciplinary Proceeding
No. 2015047244701

Hearing Officer-LOM

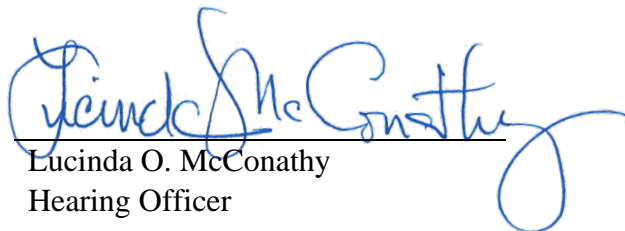
**ORDER REQUIRING ENFORCEMENT TO TRANSMIT TO THE HEARING PANEL
ANY OFFER OF SETTLEMENT AND PROPOSED ORDER OF ACCEPTANCE
PURSUANT TO FINRA RULE 9270(e)**

A hearing in this disciplinary proceeding began on October 12, 2020, by videoconference. On October 14, due to technical difficulties, I halted the hearing and ordered the matter reheard from the beginning at a later date. I instructed the parties to consult and present a new hearing schedule by October 19, 2020.

The parties have informed the Office of Hearing Officers that they have reached an agreement in principle to settle the case. They have asked for guidance as to the process for review and approval in light of the status of the proceeding.

A hearing on the merits began, although I directed that the matter be reheard afresh. Therefore, I ORDER Enforcement to transmit to the Hearing Panel any offer of settlement and proposed order of acceptance pursuant to FINRA Rule 9270(e).

SO ORDERED.


Lucinda O. McConathy
Hearing Officer

Dated: October 19, 2020

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