

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

(CRD No.),

Respondent.

Expedited Proceeding
No.

STAR No.

Hearing Officer—

RESPONDENT’S MOTION REGARDING

Respondent respectfully requests that _____.

Respectfully submitted,

Respondent _____
Address _____
Telephone number _____
Email _____

STATEMENT REGARDING MEET AND CONFER

I HEREBY CERTIFY that on _____, I sent a true and exact copy of the above filing to the Department of Enforcement via email at _____. I subsequently had a telephone conversation on _____ with the Enforcement’s representative, _____, who informed me that Enforcement object to the filing of this motion.

Respectfully submitted,

Respondent _____
Address _____
Telephone number _____
Email _____

CERTIFICATE OF SERVICE

I hereby certify that on _____ a true and correct copy of Respondent’s Motion was filed and sent by email and regular mail to:

FINRA - Office of Hearing Officers
1735 K Street, N.W., 2nd Floor
Washington, D.C., 20006
Tel: (202) 728-8008
Email: OHOCasFilings@finra.org

FINRA Department of Enforcement
[**Note:** *Send to the Enforcement attorney listed in the Service List*]

Respectfully submitted,

Respondent _____
Address _____
Telephone number _____
Email _____