

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

\_\_\_\_\_  
(CRD No. \_\_\_\_\_),

Respondent.

Disciplinary Proceeding

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 (does/does not) 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

**Respectfully submitted,**

\_\_\_\_\_  
Respondent \_\_\_\_\_  
Address \_\_\_\_\_  
Telephone number \_\_\_\_\_  
Email \_\_\_\_\_