

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

(CRD No. _____),

Respondent.

Disciplinary Proceeding

No. _____

Hearing Officer—

RESPONDENT'S ANSWER

Respondent _____ answers the Complaint as follows:

[Note: The Notice of Complaint informed Respondent of his obligation to file an answer ("Answer") to the Complaint in "the manner and form described by FINRA Rule 9215." The Answer shall contain numbered paragraphs, corresponding to the numbered paragraphs of the Complaint. Respondent shall specifically admit or deny each paragraph in the Complaint unless he lacks sufficient information to do so and is unable to obtain the needed information (in which case he shall assert lack of sufficient information in response to each applicable paragraph in the Complaint). If Respondent fails to deny or state insufficient knowledge with regard to any specific paragraph of the Complaint, it will be deemed admitted.]

- 1.
- 2.
- 3.
- 4.
- 5.

AFFIRMATIVE DEFENSES

[Note: Any affirmative defense shall be asserted in the answer.]

REQUEST FOR HEARING

Respondent requests a hearing on the allegations in the Complaint.

Respectfully submitted,

Respondent _____
Respondent's Address _____
Telephone number _____
Email _____

CERTIFICATE OF SERVICE

I hereby certify that on _____ a true and correct copy of Respondent's Answer 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

And

FINRA Department of Enforcement
[**Note:** *Send to the Enforcement attorney listed in the Notice of Complaint*]

Respectfully submitted,

Respondent _____
Respondent's Address _____
Telephone number _____
Email _____