

**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

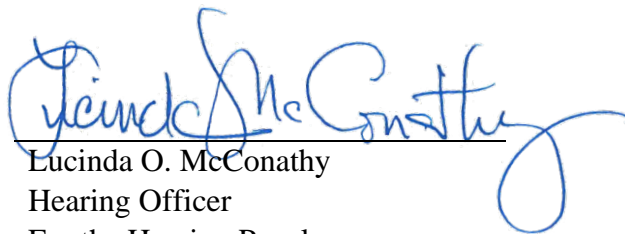
Hearing Officer-LOM

**ORDER ON BEHALF OF HEARING PANEL ACCEPTING OFFER OF SETTLEMENT
AND PROPOSED ORDER OF ACCEPTANCE PURSUANT TO FINRA RULE 9270(e)**

After a hearing began in this disciplinary proceeding on October 12, 2020, by videoconference, the parties informed the Office of Hearing Officers that they had reached an agreement in principle to settle the case. Pursuant to FINRA Rule 9270(e), the Hearing Officer then ordered the Department of Enforcement to transmit to the Hearing Panel any offer of settlement and proposed order of acceptance.

The Hearing Panel has received and reviewed Respondents' uncontested offer of settlement and Enforcement's proposed order of acceptance. Pursuant to FINRA Rule 9270(e), we accept the offer and proposed order and forward them with this Order to the National Adjudicatory Council, which may accept or reject the offer and proposed order.

SO ORDERED.


Lucinda O. McConathy
Hearing Officer
For the Hearing Panel

Dated: October 30, 2020

Copies to:

Alan Wolper, Esq. (via email)

Jonathon D. Drews, Esq. (via email)

Eugene Illovsky, Esq. (via email)

Matthew Dirkes, Esq. (via email)

Robert Kennedy, Esq. (via email)

Carolyn Craig, Esq. (via email)

John Luburic, Esq. (via email)

Jennifer L. Crawford, Esq. (via email)