

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

JAMES W. FLOWER  
(CRD No. 2817701),

Respondent.

Disciplinary Proceeding  
No. 2017052701101

Hearing Officer—LOM

**ORDER REQUIRING REPLACEMENT OF CERTAIN HEARING EXHIBITS  
WITH MORE LEGIBLE COPIES**

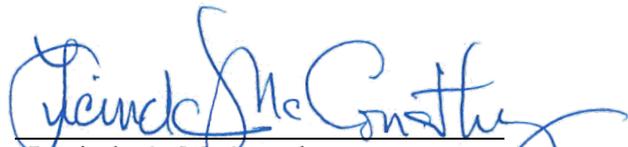
The evidentiary hearing in this matter concluded on January 26, 2021. The hearing was conducted by videoconference. During the hearing, the exhibits admitted into evidence were displayed on participants' computer screens, and the Department of Enforcement assisted the parties and Extended Hearing Panel to review the exhibits during testimony by enlarging portions of the documents being discussed.

The Extended Hearing Panel received hard copies of the exhibits to use after the hearing when reviewing the record and conducting their deliberations. The Panel has discovered, however, that some hard copy exhibits have been condensed in such a way as to render them near useless for the purpose of review. Collections of account statements and trade confirmations have been condensed such that as many as four pages of an exhibit may appear on a single page of the hard copy, resulting in miniscule font. Furthermore, since the exhibits are numbered on each page of the exhibit, and not each page of the hard copy, it is more difficult to locate a particular page of an exhibit.

The Department of Enforcement is **ORDERED** to file three hard copies with the Office of Hearing Officers and serve one hard copy of the following exhibits, with one page of the original document on one physical page of the hard copy. Enforcement shall also file and serve these exhibits electronically. The more legible copies will replace the copies previously filed and served. The replacement copies should be accompanied by a certification representing that the replacements are true and correct copies of the exhibits previously admitted into evidence.

Exhibit	Description
CX-61	Baron cell phone records 130 pages in original
JX-3	Wynne account statements 220 pages in original
JX-4	Wynne trade confirmations 268 pages in original
JX-9	Thompson account statements 368 pages in original
JX-10	Thompson trade confirmations 416 pages in original
JX-24	Krueger account statements 122 pages in original
JX-25	Krueger trade confirmations 178 pages in original
JX-32	Wegman account statements 120 pages in original
JX-34	Wegman trade confirmations 122 pages in original
JX-39	Neeley account statements 266 pages in original
JX-40	Neeley trade confirmations 570 pages in original

**SO ORDERED.**

  
 Lucinda O. McConathy  
 Hearing Officer

Dated: January 29, 2021

Copies to:

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Michael Perkins, Esq. (via email)

Adam Balin, Esq. (via email)

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