

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

JAMES LUKEZIC
(CRD No. 4284800),

Respondent.

Disciplinary Proceeding
No. 2022073425001

Hearing Officer—MPD

ORDER GRANTING ENFORCEMENT'S MOTION FOR SEQUESTRATION

On September 15, 2025, the Department of Enforcement filed a motion to sequester all witnesses in this matter, other than Respondent James Lukezic and Enforcement's case agent, Edward Quinn. Enforcement additionally seeks an order prohibiting all witnesses and counsel from disclosing the substance of any witness's testimony to any other witness during the hearing. Enforcement represents that Respondent does not oppose the Motion.

FINRA Rule 9235(a) "grants the Hearing Officer broad discretionary authority for all aspects of case management, from the institution of the proceeding to its conclusion."¹ Ordering the sequestration of witnesses falls within that broad discretionary authority.² The purpose of sequestration is "to ensure a witness's testimony is not influenced by the testimony of other witnesses whom the witness has heard while sitting in the hearing room . . . and that a witness is not influenced by conversations with others in hearing breaks, adjournments, or recesses."³ "Testimony that is a witness's own, not influenced by others, promotes fairness to the parties and accuracy in the truth-seeking process."⁴ Sequestration also "discourages fabrication, collusion, and tailoring of testimony."⁵

¹ OHO Order 97-12 (CMS970028) (Dec. 15, 1997), at 4, https://www.finra.org/sites/default/files/OHODecision/p007833_0_0.pdf.

² *See id.* at 5; OHO Order 25-10 (2022075597101) (July 1, 2025), at 1, <https://www.finra.org/sites/default/files/2025-08/25-10-2022075597101-Lowry-Monchik-20250701.pdf>.

³ OHO Order 19-01 (2016050938301) (Jan. 9, 2019), at 1, https://www.finra.org/sites/default/files/2019-10/OHO_Order_19-01_2016050938301.pdf.

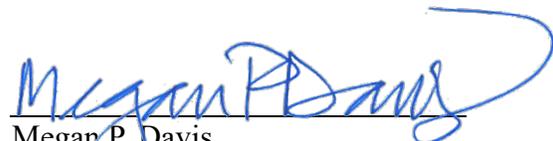
⁴ *Id.*

⁵ *Id.*

I find that Enforcement's request for sequestration is appropriate in this case. I also find the exclusions from sequestration sought by Enforcement for Respondent and Quinn are appropriate.

Accordingly, Enforcement's motion is **GRANTED**. All witnesses, with the two exceptions listed above, are excluded from the hearing except when they testify. All witnesses and counsel are also ordered not to discuss the testimony of any witness with any other witness for the duration of the hearing. The party calling a witness subject to sequestration shall advise the witness of this prohibition and shall notify the witness when all witnesses have completed their testimony and are not subject to recall.

SO ORDERED.


Megan P. Davis
Hearing Officer

Dated: September 19, 2025

Copies to:

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