

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

SCOTT A. RICHARDSON
(CRD No. 5403906),

Respondent.

Expedited Proceeding
No. ARB260002

RCM No. 20260889547

Hearing Officer—MPD

**ORDER (1) GRANTING IN PART AND DENYING IN PART
ENFORCEMENT'S MOTION TO CONTINUE PRE-HEARING DEADLINES
AND HEARING DATE, AND (2) SCHEDULING PRE-HEARING CONFERENCE**

The hearing in this expedited proceeding is currently scheduled to take place on April 1, 2026. The parties' pre-hearing submissions were due today.

At approximately 3:00 p.m. ET today, the Department of Enforcement filed a motion ("Motion") in which it requests that I postpone the hearing for approximately five weeks, until May 12, 2026. In support of the Motion, Enforcement states that it needs additional time to review the voluminous financial documents that Respondent Scott A. Richardson has produced, and to identify and request the production of additional financial documents. Enforcement also states it is requesting such a lengthy extension because its counsel and counsel for Respondent have scheduling conflicts at various times during the month of April. Enforcement represents that Respondent consents to the Motion.

The hearing in this expedited proceeding was originally scheduled to take place on February 17, 2026. Although this is Enforcement's first request for an extension, I already have adjourned the hearing in this matter three times at Respondent's request. Enforcement opposed Respondent's latest request for an adjournment of the hearing date, until April 16, 2026, on the ground that the requested extension was inconsistent with the expedited nature of this proceeding. During the pre-hearing conference that I held with the parties on March 16, 2026, Enforcement ultimately consented to a shorter adjournment, until April 1, 2026, to give Enforcement counsel more time to review Respondent's financial information. At that time, Enforcement was aware of the voluminous nature of Respondent's financial information, and it represented that Respondent already had produced approximately 1,500 pages of documents.

In the instant Motion, Enforcement counsel states that Respondent produced an additional approximately 250 pages of documents in response to Enforcement's second supplemental requests on March 20, 2026. I find that neither Respondent's production of these additional

documents—one week ago—nor Enforcement’s apparent desire to make a *third* supplemental request for the production of documents establishes good cause for a five-week adjournment of this expedited proceeding in which Respondent bears the burden of proof.

That said, I find it appropriate to grant Enforcement a shorter continuance to give it some more time to review Respondent’s financial documents. Thus, for good cause shown, the hearing is hereby rescheduled to be held by videoconference on **April 14, 2026, at 11:00 a.m. (Eastern Time)**. The Office of Hearing Officers will issue a separate notice with instructions for joining the hearing.

The following pre-hearing schedule is adopted for this matter:

- | | |
|----------------|--|
| March 31, 2026 | Deadline for Enforcement to request supplemental documents regarding Respondent’s financial condition. |
| April 2, 2026 | Deadline for Respondent to produce supplemental documents regarding Respondent’s financial condition. |
| April 9, 2026 | Deadline for the parties to email the Case Administrator a list of each hearing attendee’s name and email address. This list must include parties, party representatives, counsel, any staff supporting counsel during the hearing, and witnesses. |
| April 9, 2026 | <p>The parties shall file with the Office of Hearing Officers and serve on each other through the OHO Docket Portal their pre-hearing submissions, which shall include a list of all witnesses they expect to call at the hearing, a list of all exhibits they intend to offer, and any stipulations of facts. The parties shall also file and serve copies of all proposed exhibits through the OHO Docket Portal combined as a ZIP file.</p> <p>The party presenting a witness shall ensure that the witness has, at the time of testifying, copies of all exhibits that relate to the witness’s direct testimony, as well as any exhibits that the opposing party may designate for use on cross-examination. Additionally, the party presenting a witness shall have the witness available during a block of time when it is reasonable to expect that the witness will be called to testify at the hearing, so that the hearing is not unduly disrupted if the testimony of prior witnesses is longer or shorter than expected.</p> |

April 13, 2026

For any witness testifying at the hearing who is subject to FINRA jurisdiction or is a FINRA employee, the party presenting the witness shall file with the Office of Hearing Officers and serve on all other parties through the OHO Docket Portal a notarized affirmation or affidavit from the witness stating that his or her testimony at the hearing will be truthful.

For any other witness, the party presenting the witness shall file with the Office of Hearing Officers and serve on all other parties through the OHO Docket Portal a written declaration that the testimony given at the hearing will be truthful.¹

All other provisions in the January 20, 2026 Notice of Hearing and Case Management Scheduling Order shall remain in effect.

Additionally, I will hold a pre-hearing conference with the parties on **April 1, 2026**, at **11:00 a.m. (Eastern Time)**. The Case Administrator will email a separate invitation that includes the Zoom link, Meeting ID, and password for the parties to participate in the conference. Any party who is unable to connect to the conference shall immediately contact Case Administrator Oni Timothy, at Oni.Timothy@finra.org.

SO ORDERED.


Megan P. Davis
Hearing Officer

Date: March 27, 2026

Copies to:

Daniel H. Kline, Esq., Counsel for Respondent (via OHO Docket Portal)
Michael Manning, Esq., FINRA Enforcement (via OHO Docket Portal)
Christopher Perrin, Esq., FINRA Enforcement (via OHO Docket Portal)
Christen Sproule, Esq., FINRA Enforcement (via OHO Docket Portal)

¹ Form declarations, affidavits, and affirmations to be completed and notarized are available in the OHO Docket Portal under Party Reference Documents. Detailed instructions for using the OHO Docket Portal, including Party Reference Documents, are available within the OHO Docket Portal and at www.finra.org/oho/ohodocketportal.