

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

CRD No.

Respondent.

Disciplinary Proceeding  
No.

Hearing Officer –

**MOTION REGARDING**

Respondent respectfully requests as follows:

Respectfully submitted,

\_\_\_\_\_  
Name:

Address:

Phone:

Email:

## STATEMENT REGARDING MEET AND CONFER

I hereby certify that on \_\_\_\_\_ I sent a true and exact copy of this filing to the  
Department of Enforcement by email to \_\_\_\_\_ @finra.org. I subsequently  
had a telephone conversation on \_\_\_\_\_, with Enforcement's representative,  
\_\_\_\_\_, who stated that Enforcement \_\_\_\_\_ object to the motion.

Respectfully submitted,

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Name:

Address:

Phone:

Email:

## CERTIFICATE OF SERVICE

I hereby certify that on \_\_\_\_\_, I filed a true and correct copy of this filing with FINRA's Office of Hearing Officers by uploading the filing to the OHO Docket Portal. Filing through the OHO Docket Portal also constitutes service on FINRA's Department of Enforcement and all other parties to this proceeding.

Respectfully submitted,

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Name:

Address:

Phone:

Email: