## FINANCIAL INDUSTRY REGULATORY AUTHORITY OFFICE OF HEARING OFFICERS

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DEPARTMENT OF ENFORCEMENT,		
Complainant,	Disciplinary Proceeding No. [	
v.	Hearing Officer-[]	
[ ] (CRD No. [ ]),		
Respondent.		

## **RESPONDENT'S ANSWER**

Note: The Notice of Complaint informed Respondent of his obligation to file an answer ("Answer") to the Complaint in "the manner and form described by FINRA Rule 9215." The Answer shall contain numbered paragraphs, corresponding to the numbered paragraphs of the Complaint. Respondent shall specifically admit or deny each paragraph in the Complaint unless he lacks sufficient information to do so and is unable to obtain the needed information (in which case he shall assert lack of sufficient information in response to each applicable paragraph in the Complaint). If Respondent fails to deny or state insufficient knowledge with regard to any specific paragraph of the Complaint, it will be deemed admitted.

	Respondent [	] answers the Complaint as follows:
1.		
2.		
3.		
AFFIRMATIVE DEFENSES		

*Note: Any affirmative shall be asserted in the Answer.* 

1.

2.

3.

## **REQUEST FOR HEARING**

Respondent requests a hearing on the allegations in the Complaint.

Respectfully submitted,

Name:

Address:

Phone:

Email:

## **CERTIFICATE OF SERVICE**

I hereby certify that on was filed and sent by email to:

, a true and correct copy of this filing

FINRA Office of Hearing Officers Email: OHOCaseFilings@finra.org 1735 K Street, NW, 2nd Floor Washington, DC 20006

and

FINRA Department of Enforcement [Note: Send to the Enforcement attorney of record for the case]

Respectfully submitted,

Name:

Address:

Phone:

Email: