

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

SHOPOFF SECURITIES, INC.
(CRD No. 142866),

WILLIAM A. SHOPOFF
(CRD No. 1273471),

and

STEPHEN R. SHOPOFF
(CRD No. 5276325),

Respondents.

Disciplinary Proceeding
No. 2016048393501

Hearing Officer—CC

**ORDER GRANTING MOTION FOR LEAVE TO FILE FIRST AMENDED
COMPLAINT AND INDEX TO THE FIRST AMENDED COMPLAINT**

On March 29, 2019, the Department of Enforcement filed a Motion for Leave to File a First Amended Complaint and Index to the First Amended Complaint. The proposed amendments to the Complaint correct several typographical errors in paragraphs 36(a)-(c), 75(a)-(c), 57, 59, and 80. The Amended Index to the Complaint will identify the individuals' initials omitted from the Original Index. The First Amended Complaint does not alter the nature of the claims against Respondents. Enforcement notes that Respondents do not oppose the motion.

FINRA Rule 9212(b) states that the Hearing Officer may permit Enforcement to amend a complaint after the filing of an answer if Enforcement shows good cause for the amendment and the respondent will not suffer unfair prejudice if the amendment is allowed. Rule 9212 states that amendments will be freely granted when justice so requires. The requested relief does not

unfairly prejudice Respondents. For good cause shown, I grant Enforcement's motion to file a First Amended Complaint and Index to the First Amended Complaint.

SO ORDERED.



Carla Carloni
Hearing Officer

Date: April 1, 2019

Copies:

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