

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

Respondent.

Disciplinary Proceeding  
No. 2010021196801

Hearing Officer – MAD

**ORDER REGARDING RESPONDENT'S MOTION TO STAY**

On April 15, 2011, Respondent, through counsel, filed a motion to stay the proceeding because Respondent suffers from a medical condition that impacts his ability to participate in this proceeding.

On May 3, 2011, the Hearing Officer issued an Order requiring Respondent to supplement his motion with a report from his treating physician detailing the condition and treatment. The May 3 Order also stated that the supplemental report should address the Respondent's ability to participate in this proceeding, and if the Respondent is not able to participate, the report should include an estimate of when he will be able to participate in his defense. While Respondent provided medical records to the Office of Hearing Officers, his filing did not provide a report from his treating physician addressing the above topics. Accordingly, the Respondent is ordered to file a report from his treating physician addressing:

- (1) Respondent's current medical condition,
- (2) Respondent's ability to understand the charges in the Complaint and participate in his defense,

**This Order has been published by FINRA's Office of Hearing Officers and should be cited as OHO Order 11-07 (2010021196801).**

(3) whether Respondent is clinically stable enough to participate in this FINRA disciplinary hearing, and

(4) if the Respondent is not able to participate, an estimate of when he will be able to participate in his defense.

Respondent shall submit the physician's report on or before June 20, 2011. The report shall be filed under seal. Respondent also shall provide a copy of the report to counsel for the Department of Enforcement ("Enforcement"), who shall treat the report as confidential. The report shall not be duplicated or provided to anyone other than the attorneys who have entered an appearance in this proceeding. Enforcement shall file its response to Respondent's motion by June 27, 2011.

**SO ORDERED.**

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Maureen A. Delaney  
Hearing Officer

Dated: June 1, 2011