

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

FREDERICK DAVID HOLLOWAY
(CRD No. 248814),

Respondent.

Disciplinary Proceeding
No. 2016050025401

Hearing Officer–MJD

**ORDER GRANTING MOTION FOR LEAVE
TO FILE SECOND AMENDED COMPLAINT**

On July 27, 2018, the Department of Enforcement filed a Bill of Particulars¹ and a motion for leave to file a Second Amended Complaint. The proposed amendments address factual errors in paragraphs 13, 14, 16, and 28. The Second Amended Complaint does not alter the nature of the claims against Respondent. It reduces and narrows the scope of the allegations against Respondent.

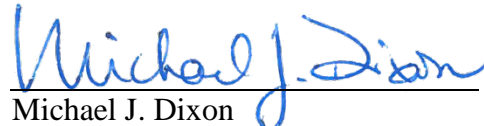
Enforcement notes that Respondent does not oppose the motion.

FINRA Rule 9212(b) states that the Hearing Officer may permit Enforcement to amend a complaint after an answer has been filed after considering whether Enforcement has shown good cause for the amendment and whether any respondent will suffer any 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 Respondent. For good cause shown, Enforcement's motion to file a second amended complaint is granted. The complaint is deemed amended as to paragraphs 13, 14, 16, and 28 as of August 1, 2018.

¹ On July 17, 2018, I ordered Enforcement to file a Bill of Particulars in response to Respondent's motion for a more definite statement.

Pursuant to Rule 9215(e), Respondent is ordered to file an Answer to the Second Amended Complaint, including a response to Enforcement's Bill of Particulars, no later than August 13, 2018.

SO ORDERED.


Michael J. Dixon
Hearing Officer

Dated: August 1, 2018

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