

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

AMI KATHRYN FORTE
(CRD No. 2457536),

and

CHARLES JOSEPH LAWRENCE
(CRD No. 3131566),

Respondents.

Disciplinary Proceeding
No. 2016049321302

Hearing Officer–MC

ORDER GRANTING CONSENT MOTION TO SEQUESTER WITNESSES

On September 18, 2019, the Department of Enforcement filed a motion to sequester the witnesses during the hearing, with the exception of Respondents Ami Forte and Charles Lawrence; Enforcement's case-agent witness, Sandra Sensebe; and the parties' expert witnesses, Mark Conner and Hugh Cohen. Respondents consent to the motion.

Sequestration is commonly used in courtrooms and in FINRA hearings to ensure that a witness's testimony is not influenced by the testimony of other witnesses heard in the hearing room or by conversations with others during hearing breaks and adjournments.¹ Sequestration discourages fabrication, collusion, tailoring, and giving inaccurate testimony.² It may be employed when, as in this case, because of the nature of the charges of churning and unauthorized trading, numerous witnesses will testify and may provide overlapping testimony.³

For good cause shown, the motion is granted. Accordingly, all witnesses, with the exceptions noted above, are excluded from the hearing except when they testify. All witnesses

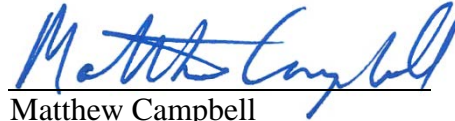
¹ A request for the sequestration of witnesses is so well known in federal, state, and administrative adjudication that counsel routinely call upon a court or administrative body to "invoke the Rule." OHO Order 06-53 (EAF0300770001) (Nov. 9, 2006), at 1, http://www.finra.org/sites/default/files/OHODecision/p018443_0.pdf

² OHO Order 06-22 (CAF040079) (Mar. 9, 2006), at 2, http://www.finra.org/sites/default/files/OHODecision/p017561_0_0.pdf

³ OHO Order 18-08 (2014039775501) (May 3, 2018), at 2, https://www.finra.org/sites/default/files/OHO_Order_18-08_2014039775501.pdf.

and counsel are ordered not to discuss the testimony of any witness with any other witness for the duration of the hearing, with the exception of disclosures that counsel may properly make to the expert witnesses. The party calling a witness subject to sequestration shall advise the witness of this prohibition and shall notify the witness when all witnesses have completed their testimony and are not subject to recall.

SO ORDERED.



Matthew Campbell
Hearing Officer

Dated: September 19, 2019

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