

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

DENNIS ALLEN HAYES  
(CRD No. 4403550),

Respondent.

Disciplinary Proceeding  
No. 2016050883001

Hearing Officer-RES

**NOTICE OF RECEIPT OF ANSWER AND ORDER SETTING  
INITIAL PRE-HEARING CONFERENCE**

The Office of Hearing Officers received a Response of Respondent Dennis Hayes on February 28, 2019. The Hearing Officer will conduct an Initial Pre-Hearing Conference in this disciplinary proceeding on March 21, 2019, at 10:00 a.m. (Eastern Time).

**1. Conference Call Information.**

The Conference will be held by telephone. The conference call number is 800-519-4276, and the access code is 7288024. Any party who is unable to connect to the conference call shall immediately contact the Office of Hearing Officers at 202-728-8008.

**2. Conference Preparation.**

In advance of the Initial Pre-Hearing Conference, the parties should attempt to agree upon **dates to hold the hearing no later than the end of June 2019**. The parties should also prepare a proposed pre-hearing schedule. The schedule should include deadlines for filing motions and pre-hearing submissions, and a date and location for the hearing, as well as such other matters as may aid in the orderly and expeditious disposition of the proceeding. Sample Case Management and Scheduling Orders can be found on FINRA's website at [www.finra.org/oho/casemanagementandschedulingorders](http://www.finra.org/oho/casemanagementandschedulingorders).

If the parties reach an agreement, they should file the proposed schedule with the Office of Hearing Officers at least one business day before the Initial Pre-Hearing Conference. If the parties have *not* reached an agreement, they should be prepared to discuss and agree upon the schedule during the Conference.

Other topics for discussion during the Conference may include all those listed in Procedural Rule 9241(c).

The parties are reminded that a failure to appear at the Conference, in person or through counsel or a representative, may be deemed a default.

**SO ORDERED.**



Richard E. Simpson  
Hearing Officer

Dated: March 4, 2019

Copies to:

Dennis Allen Hayes (via email and first-class mail)  
Carolyn O'Leary, Esq. (via email and first-class mail)  
Gina Petrocelli, Esq. (via email)  
Sara Raisner, Esq. (via email)  
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