

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

JOHN PELLETIER
(CRD No. 4205289),

Respondent.

Disciplinary Proceeding
No. 2021071094401

Hearing Officer–MC

AMENDED ORDER RELATING TO AUDIO FILES

Among the pre-hearing submissions filed by the parties in this proceeding, proposed exhibits JX-3 through JX-53, and CX-53, are audio files of recorded phone calls. CX-80 through CX-105 are transcripts of recorded phone calls. Upon reviewing the exhibits, it appears that not all of the proposed audio file exhibits have been transcribed. For example, CX-80 appears to be a transcript of a February 1, 2016, recorded phone call. JX-3 is an audio file with a recording of part of that call. However, only a fragment of it appears transcribed at the beginning of CX-80; the rest is not. JX-4 is another audio file recording related to the same call but not transcribed.

In an email exchange on Friday, February 2, 2024, between the Office of Hearing Officers and the parties, Enforcement represented that it intends to introduce transcripts for “certain audio files in this case, including most of the JX audio files.”

For the purpose of ensuring an accurate and easily accessible record of the hearing, there should be a certified true transcript of each audio file offered in evidence. Therefore, the offering party shall submit a certified true transcript of any audio file the party intends to introduce at the hearing. The transcript should be submitted as a supplemental exhibit no later than 12:00 p.m. (Eastern Time) on **February 20, 2024**.

SO ORDERED.



Matthew Campbell
Hearing Officer

Dated: February 6, 2024

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