

This Order has been published by FINRA's Office of Hearing Officers and should be cited as OHO Order 10-01 (200500224102).

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

RESPONDENT 1,

RESPONDENT 2,

and

RESPONDENT 3,

Respondents.

Disciplinary Proceeding
No. 200500224102

Hearing Officer—Andrew H. Perkins

**ORDER LIMITING THE DISSEMINATION OF
PERSONAL, CONFIDENTIAL INFORMATION**

On April 8, 2010, the parties filed a joint motion seeking entry of an order limiting the dissemination and use of personal, confidential information ("PCI"), which the parties may obtain or produce in the course of this proceeding.

For the purpose of this case, the term PCI is defined as the name of an individual, coupled with any or all of the following information:

1. The individual's social security number;
2. The individual's tax identification number;
3. The individual's date of birth;
4. The individual's driver's license number, state of issuance, or expiration date;

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5. The individual's cellular telephone number;
6. The individual's fax telephone numbers;
7. The individual's electronic mail address;
8. The identity of any bank account, including name of bank or account number;
9. Any description of assets (and value of assets) owned by an individual;
10. The identity of any securities brokerage account, including name of the brokerage firm or account number;
11. The investment history, investment objectives, or other financial information regarding the individual appearing in securities brokerage account forms and correspondence (including account statements and confirmations) between the brokerage account and the individual;
12. Specific investments made by the individual;
13. Any and all information relating to credit or debit cards held by individuals; or
14. Compensation information including salary, bonus, commission arrangements with employers.

The motion is granted. All documents and information obtained or produced by parties that contain PCI shall be treated as confidential during the pendency of this action. The parties and their attorneys shall use such PCI solely for purposes of this disciplinary proceeding, including any appellate proceedings, and are prohibited from publishing or disclosing the information or documents to anyone other than the following: (1) attorneys who represent the parties in this proceeding; (2) persons assisting the attorneys for the parties in the preparation and trial of this proceeding, including experts and paralegals, or other necessary employees; (3) witnesses in this proceeding; (4) Hearing Panelists in this proceeding; and (5) court reporters in this proceeding.

It is further ordered that within 60 days of the conclusion of this proceeding (and the exhaustion of all appeals), each Respondent shall either return all PCI to Enforcement for destruction, or shall certify that he has destroyed all PCI obtained from the other parties in the

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course of this proceeding. Enforcement shall maintain its investigative files in accordance with FINRA's standards governing the protection of PCI.

IT IS SO ORDERED.

Andrew H. Perkins
Hearing Officer

Dated: April 26, 2010