

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

ELLEN VRATORIC  
(CRD No. 2345611),

Respondent.

Disciplinary Proceeding  
No. 2016049420501

Hearing Officer– DRS

**SECOND ORDER RESCHEDULING INITIAL PRE-HEARING CONFERENCE**

On January 23, 2018, I issued a Notice of Receipt of Answer and Order Setting Initial Pre-Hearing Conference (“Order”). The Order informed the parties that, among other things, I would conduct an Initial Pre-Hearing Conference (“IPHC”) in this disciplinary proceeding on February 8, 2018, at 2 p.m., (Eastern Time). I convened the IPHC as scheduled. The Department of Enforcement appeared; Respondent did not appear. So, that day, without excusing Respondent’s failure to appear, I issued an order rescheduling the IPHC for February 15, 2018, at 2 p.m. (Eastern Time).

Yesterday, the Case Administrator assigned to this matter received a phone call from a person purporting to be Respondent’s husband. He informed the Case Administrator that Respondent will not appear at the February 15, 2018 conference. He went on to explain that Respondent is currently hospitalized; would not be discharged for ten days; is retired; and is not interested in participating in this matter. The caller did not claim to be acting as Respondent’s attorney.

In light of this phone call, I am rescheduling the IPHC for **Friday, March 2, 2018, at 2 p.m. (Eastern Time)** in order to, among other things, hear directly from Respondent (or her attorney, should she retain one) about whether she intends to participate in this proceeding.<sup>1</sup>

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<sup>1</sup> Enforcement informed the Case Administrator that it did not object to rescheduling the IPHC for March 2, 2018. By rescheduling the IPHC, I do not, at this time, excuse Respondent’s failure to appear at the February 8, 2018 IPHC.

## 1. Conference Call Information

The IPHC will be held by telephone. The conference call number is 800-519-4276, and the access code is 7288423. 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

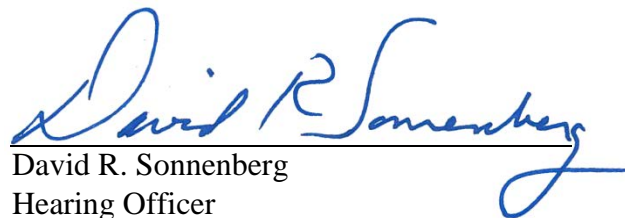
In advance of the IPHC, the parties should attempt to agree upon **dates for the hearing no later than the end of June 2018**. The parties should also prepare a proposed pre-hearing schedule. The schedule should include deadlines for filing motions and pre-hearing submissions, and a date and location for the hearing, as well as such other matters as may aid in the orderly and expeditious disposition of the proceeding.

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 IPHC. If the parties have *not* reached an agreement, they should be prepared to discuss and agree upon the schedule during the IPHC.

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

**The parties are reminded that a failure to appear at the IPHC, in person or through counsel or a representative, may be deemed a default. Also, absent a showing of good cause, communications by Respondent to the Office of Hearing Officers must be made by her, directly, or through counsel, and not by anyone else, including her husband.**

**SO ORDERED.**

  
David R. Sonnenberg  
Hearing Officer

Dated: February 14, 2018

Copies to:

Ellen Vratoric (via email and first-class mail)  
Melissa Turitz, Esq. (via email and first-class mail)  
Sara Raisner, Esq. (via email)  
Gina Petrocelli, Esq. (via email)  
Jeffrey Pariser, Esq. (via email)