

HARD COPY
FINANCIAL INDUSTRY REGULATORY AUTHORITY
OFFICE OF HEARING OFFICERS

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

KJM SECURITIES, INC.
(CRD No. 20277),

Respondent

3-19651

RECEIVED

DEC 30 2019

OFFICE OF THE SECRETARY

Expediting Proceeding
No.FPI190006

STAR No. 20190634989

Hearing Officer- David R. Sonnenberg

APPEAL REGARDING NOTICE OF EXPEDITED HEARING PANEL DECISION

BACKGROUND:

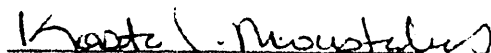
KJM Securities, Inc. has engaged its PCAOB Auditors to perform its 2019 Annual Audit. The firm has provided all documentation that has been requested. Our Auditors have been fully paid as per our engagement letter. We await our Opinion Letter which has not been received as of date.

APPEAL REGARDING NOTICE OF EXPEDITED HEARING PANEL DECISION

KJM Securities, Inc. in its continued efforts to resolve the claims of The Department of Enforcement hereby files this appeal dated November 30, 2019, to avoid being expelled from membership.

KJM Securities, Inc.

Dated: November 30, 2019


Kosta J. Moustakas

President and CEO

914-793-7043

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Copies To:

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Mr. Alan Lawhead, Director- Appellate Group
FINRA
Office of General Counsel
1735 K Street, NW
Washington, DC 20006

David R. Sonnenberg
Hearing Officer for the Panel
via (E-mail)