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August 3, 2023

Via Electronic Filing (eFAP)

The Office of the Secretary
Securities and Exchange Commission
100 F Street, NE
Room 10915
Washington, D.C. 20549

Re: In the Matter of the Application of Ricky Alan Mantei,
Admin. Proc. File No. 3-21516

Ladies and Gentlemen:

We represent Respondent Rick Mantei in the above referenced matter. Accompanying this letter is Mr. Mantei's Unopposed Motion to amend the July 31, 2023 Order Scheduling Briefs.

This Motion is unopposed by the Department of Enforcement. Counsel for the Department, Ms. Megan Rauch, has reviewed this letter and the Motion.

Thank you for your courtesies.

Sincerely,

/s/ Katherine B. Harrison

Katherine B. Harrison

[Enclosure]

cc: All Counsel (via email)

U.S. SECURITIES AND EXCHANGE COMMISSION

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FINRA DEPARTMENT OF ENFORCEMENT, :

Complainant, :

v. : FINRA Disciplinary Proceeding
No. 2015045257501

RICKY ALAN MANTEI (CRD No. 1098981), : Admin. Proc. File No. 3-21516

Respondent. :
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UNOPPOSED MOTION FOR AMENDED BRIEFING SCHEDULE

Pursuant to Section 201.161 of the Commission’s Rules of Practice, Respondent Rick Mantei respectfully submits this Unopposed Motion to amend the July 31, 2023 Order issued by the Commission setting the briefing schedule in this matter. The Department of Enforcement (the “Department”) does not oppose the filing of this motion.

Respondent submits that this application is made for good cause and in order to prevent prejudice to his case. Respondent respectfully requests an extension, through and including October 27, 2023, to file his opening brief. This request is necessitated by the need to thoroughly review the voluminous record in this matter, which is based on allegations extending back to 2014. This matter has been dormant for more than 34 months since the hearing on this matter ended and the record has not been reviewed for any purpose for several years. Additionally, Respondent requires an extension for briefing because his lead attorneys have long-planned vacation time for most of the rest of August and the lead associate on the case has her wedding planned for the third week of September. The briefing schedule submitted to the Commission is as follows:

- Respondent’s Opening Brief shall be filed by October 27, 2023;
- Department’s Opposition Brief shall be filed by November 30, 2023;
- Respondent’s Reply Brief shall be filed by December 21, 2023.

These requested extended dates were discussed and agreed to by counsel for the Department and Mr. Mantei. Therefore, Respondent respectfully requests that the Commission enter an order modifying the July 31, 2023 Order Scheduling Briefs to reflect the agreement of the parties as to the foregoing dates.

Dated: New York, New York
August 3, 2023

PADUANO & WEINTRAUB LLP

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