

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Application of

JOHN F. MANGAN, JR., CRD #125558

For Review of Action Taken by Self-
Regulatory Organization

File No. 3-22478

MANGAN’S REQUEST FOR A STATUS UPDATE

Mr. John F. Mangan, Jr. respectfully submits this request for a status update on the Commission’s consideration of his pending Application for Review.¹ Mr. Mangan has been subject to a meritless Letter of Acceptance, Waiver and Consent (“AWC”) for twenty years. In this action, Mr. Mangan seeks review of FINRA’s refusal to meaningfully consider his October 17, 2024 petition to vacate this AWC.

Mr. Mangan prevailed in the SEC’s case against him, when that matter was dismissed by the Federal District Court for Western District of North Carolina in 2008.² FINRA’s action against him was based on substantially the same facts and arguments and he has been seeking relief from FINRA ever since. Between 2008 and 2024, Mr. Mangan repeatedly met with Senior FINRA personnel to discuss the AWC and the permanent bar it imposed, and FINRA refused to

¹ Application, *In re John F. Mangan, Jr.*, File No. 3-22478 (May 23, 2025).

² See Tr. of Proceedings Held on Oct. 24, 2007, *SEC v. Mangan*, No. 6-cv-531 (W.D.N.C. Nov. 2, 2007), Dkt. No. 28; Order Granting Mot. for Summ. J., *SEC v. Mangan*, No. 6-cv-531 (W.D.N.C. Aug. 20, 2008), Dkt. No. 51; *see also* Mangan’s Opp’n to FINRA’s Mot. to Dismiss and to Stay Briefing, at pp. 14–17, *In re John F. Mangan, Jr.*, File No. 3-22478 (June 16, 2025).

act.³ Mr. Mangan submitted his Petition to the FINRA Board of Governors to Vacate the AWC on October 17, 2024.⁴ FINRA again refused to act.⁵

Left with no alternatives, Mr. Mangan filed his Application for Review in this matter on May 23, 2025.⁶ Shortly thereafter, FINRA again sought to prevent Mr. Mangan from receiving substantive review of his case, filing a Motion to Dismiss and Stay Briefing on June 9, 2025.⁷ The Motion to Dismiss is now fully briefed and is ready for a decision and briefing schedule.⁸

Mr. Mangan therefore respectfully requests a status update on Mr. Mangan's pending Application for Review and FINRA's pending motion.

September 30, 2025

Respectfully submitted,

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³ See Exhibit A to Mangan's Index of Attachments, at 3, 7–8, *In re John F. Mangan, Jr.*, No. 3-22478 (May 23, 2025).

⁴ *Id.*

⁵ See Exhibit C to Mangan's Index of Attachments, *In re John F. Mangan, Jr.*, No. 3-22478 (May 23, 2025).

⁶ Application, *In re John F. Mangan, Jr.*, File No. 3-22478 (May 23, 2025).

⁷ See FINRA's Mot., *In re John F. Mangan, Jr.*, File No. 3-22478 (June 9, 2025).

⁸ See *id.*; Mangan's Opp'n, *In re John F. Mangan, Jr.*, File No. 3-22478 (June 16, 2025); FINRA's Reply In Support of its Mot. to Dismiss and to Stay Briefing, *In re John F. Mangan, Jr.*, File No. 3-22478 (June 20, 2025); Mangan's Mot. to File a Surreply and Surreply, *In re John F. Mangan, Jr.*, File No. 3-22478 (June 25, 2025); FINRA's Opp'n to Mangan's Mot. to File a Surreply, *In re John F. Mangan, Jr.*, File No. 3-22478 (June 27, 2025).

CERTIFICATE OF SERVICE

I, A. Kristina Littman, on September 30, 2025, served Mr. John F. Mangan, Jr.'s Motion to Request a Status Update ("Status Request") on the Securities and Exchange Commission Office of the Secretary by electronic filing.

On this date, I also served a copy of Mangan's Status Request on FINRA General Counsel by electronic email to nac.casefilings@finra.org

On this date, I also caused service of copies of Mangan's Status Request on the Securities and Exchange Commission Office of the Secretary and FINRA General Counsel by mail to:

Office of the Secretary
U.S. Securities and Exchange Commission
100 F Street, NE
Washington, DC 20549-1090

FINRA - Office of General Counsel
1700 K Street, NW
Washington, DC 20006


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