BEFORE THE
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, DC

In the Matter of the Application of

Rebecca Joann Duval

For Review of Action Taken by

FINRA

File No. 3-22666

FINRA'S MOTION FOR EXTENSION OF TIME
TO CERTIFY AND FILE THE RECORD

FINRA moves for an extension of time until August 21, 2026, to certify and file the record in this proceeding. In support of its motion, FINRA states:

1. Under Rule of Practice 420(e), fourteen days after receipt of an application for review, FINRA is required to certify and file a copy of the record upon which the action complained of was taken.

2. FINRA's Office of General Counsel (OGC) is responsible for compiling, certifying, and filing the record in proceedings before the Commission.

3. At 6:40 p.m. on August 3, 2026, Applicant Rebecca Joann Duval emailed a copy of her application for review to a general inbox assigned to FINRA's Office of the Corporate Secretary.

4. FINRA's OGC was not aware that Duval had filed an application for review with the Commission until Friday, August 7, 2026, when it received a service copy, vie eFAP, of a letter dated August 6, 2026, from the Commission's Office of the Secretary to Duval acknowledging its "August 4, 2026 receipt" of Duval's application for review.

5. FINRA's OGC was not aware until Monday, August 10, 2026, that Duval previously had emailed a copy of her application for review to FINRA's Office of the Corporate Secretary.

6. Rule of Practice 161(a) provides that the Commission "may, for good cause shown, extend or shorten any time limits prescribed . . . for the filing of any papers[.]" 17 C.F.R. § 201.161(a). "Rule 161 directs the Commission to consider the following factors in determining whether to grant [a] . . . motion for an extension of time: (i) the length of the proceeding to date, (ii) the number of postponements, adjournments, or extensions already granted, (iii) the stage of the proceedings at the time of the request, and (iv) any other such matters as justice may require." *See Brian Michael Sterz*, Exchange Act Release No. 105148, 2026 SEC LEXIS 917, at *1 (Apr. 2, 2026).

7. FINRA requests an extension of time until August 21, 2026, to certify and file the record in this proceeding. Good cause exists for an extension because, although Duval emailed a copy of her application for review to FINRA's Office of the Corporate Secretary on August 3, 2026, FINRA's OGC was not aware that an application for review had been filed until August 7, 2026, and therefore could not begin compiling the record until that date. The other relevant factors also weigh in favor of an extension because: (i) this proceeding is less than three weeks old, (ii) there have been no postponements, adjournments, or extensions granted, (iii) this proceeding is in its early stages, and (iv) Duval will not be unfairly prejudiced by a brief delay in FINRA's certification and filing of the record.

8. FINRA conferred with Duval about this motion, and Duval does not consent to FINRA's request for an extension.

OS Received 08/14/2026

For the foregoing reasons, the Commission should grant FINRA's Motion for Extension of Time to Certify and File the Record and extend until August 20, 2026, the deadline for FINRA to certify and file the record in this proceeding.

Respectfully submitted,

/s/ Michael M. Smith
Michael M. Smith
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Dated: August 14, 2026

CERTIFICATE OF COMPLIANCE

I, Michael M. Smith, certify that this motion complies with the Commission's Rules of Practice by omitting or redacting any sensitive personal information described in Rule of Practice 151(e).

Respectfully submitted,

/s/ Michael M. Smith
Michael M. Smith
Associate General Counsel
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CERTIFICATE OF SERVICE

I, Michael M. Smith, certify that on this 14th day of August 2026, I caused a copy of FINRA's Motion for Extension of Time to Certify and File the Record, in the matter of the Application for Review of Rebecca Joann Duval, Administrative Proceeding File No. 3-22666, to be filed through the SEC's eFAP system on:

Vanessa A. Countryman
Securities and Exchange Commission
100 F St., NE
Room 10915
Washington, DC 20549-1090

I further certify that, on this date, I caused copy of the motion in the foregoing matter to be served by electronic service on:

Rebecca Joann Duvall
[redacted]

/s/ Michael M. Smith
Michael M. Smith
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OS Received 08/14/2026