

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 85535 / April 5, 2019

Admin. Proc. File No. 3-18980

In the Matter of the Application of

KEVIN CLAYTON COX

For Review of Action Taken by

FINRA

ORDER
SCHEDULING
BRIEFS

Kevin Clayton Cox filed an application for review of action taken by the Financial Industry Regulatory Authority (“FINRA”). FINRA filed a copy of the index to the record on February 13, 2019, pursuant to Rule 420(e) of the Rules of Practice.¹ At this time, the parties should submit briefs limited to the issue of whether the Commission has jurisdiction over this appeal pursuant to Section 19(d)(2) of the Securities Exchange Act of 1934.²

Accordingly, IT IS ORDERED, pursuant to Rule 450(a) of the Rules of Practice,³ that the applicant file a brief addressing the issue of the Commission’s jurisdiction by May 6, 2019. FINRA shall file a response brief addressing that issue by June 5, 2019, and the applicant shall

¹ 17 C.F.R. § 201.420(e).

² 15 U.S.C. § 78s(d)(2).

³ 17 C.F.R. § 201.450(a).

file any reply brief by June 19, 2019.⁴ Pursuant to Rule 180(c) of the Rules of Practice, failure to file a brief may result in dismissal of this review proceeding.⁵

For the Commission, by the Office of the General Counsel, pursuant to delegated authority.

Vanessa A. Countryman
Acting Secretary

⁴ As provided by Rule 450(a), no briefs in addition to those specified in this schedule may be filed without leave of the Commission. Attention is called to Rules of Practice 150 - 153, 17 C.F.R. § 201.150 - 153, with respect to form and service, and Rule of Practice 450(b) and (c), 17 C.F.R. § 201.450(b) and (c), with respect to content and length limitations. Requests for extensions of time to file briefs will be disfavored.

⁵ 17 C.F.R. § 201.180(c).