

UNITED STATES OF AMERICA  
before the  
SECURITIES AND EXCHANGE COMMISSION  
November 28, 2022

SECURITIES EXCHANGE ACT OF 1934  
Release No. 96390 / November 28, 2022

Admin. Proc. File No. 3-21222

In the Matter of the Application of

LAURENCE G. ALLEN

For Review of Action Taken by

FINRA

ORDER  
SCHEDULING  
BRIEFS

Laurence G. Allen filed an application, pursuant to Section 19(d)(2) of the Securities Exchange Act of 1934,<sup>1</sup> for review of action taken against him by the Financial Industry Regulatory Authority ("FINRA"). FINRA filed a copy of the index to the record on November 7, 2022, pursuant to Rule 420(e) of the Rules of Practice.<sup>2</sup>

Accordingly, IT IS ORDERED, pursuant to Rule 450(a) of the Rules of Practice,<sup>3</sup> that a brief in support of the application for review shall be filed by December 28, 2022. A brief in

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<sup>1</sup> 15 U.S.C. § 78s(d)(2).

<sup>2</sup> 17 C.F.R. § 201.420(e).

<sup>3</sup> 17 C.F.R. § 201.450(a).

opposition shall be filed by January 27, 2023, and any reply brief shall be filed by February 10, 2023.<sup>4</sup> Pursuant to Rule 180(c) of the Rules of Practice, failure to file a brief in support of the application may result in dismissal of this review proceeding.<sup>5</sup>

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

Vanessa A. Countryman  
Secretary

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<sup>4</sup> 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 Rule of Practice 450(b) and (c), 17 C.F.R. § 201.450(b) and (c), with respect to content and length limitations, and Rules of Practice 150 - 153, 17 C.F.R. § 201.150 - 153, with respect to form and service. Also, the Commission's Rules of Practice were recently amended to include new e-filing requirements, which took effect on April 12, 2021. *Amendments to the Commission's Rules of Practice*, Exchange Act Release No. 90442, 2020 WL 7013370 (Nov. 17, 2020), 85 Fed. Reg. 86,464, 86,474 (Dec. 30, 2020), <https://www.sec.gov/rules/final/2020/34-90442a.pdf>; *Instructions for Electronic Filing and Service of Documents in SEC Administrative Proceedings and Technical Specifications*, <https://www.sec.gov/efapdocs/instructions.pdf>. The amendments impose other obligations such as a new redaction and omission of sensitive personal information requirement. *Amendments to the Commission's Rules of Practice*, 85 Fed. Reg. at 86,465–81.

<sup>5</sup> 17 C.F.R. § 201.180(c).