

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 98134 / August 15, 2023

Admin. Proc. File No. 3-21516

In the Matter of the Application of

RICKY ALAN MANTEI

For Review of Action Taken by

FINRA

ORDER GRANTING EXTENSION OF TIME

On June 27, 2023, Ricky Alan Mantei filed an application for review of a FINRA disciplinary action. On July 31, 2023, the Commission issued an order scheduling briefs, which direct Mantei to file a brief in support of his application for review by August 30, 2023, FINRA file an opposition brief by September 29, 2023, and Mantei file any reply brief by October 13, 2023.

On August 3, 2023, Mantei filed a motion requesting a briefing extension of approximately two months, in part due to pre-existing commitments of his attorneys. FINRA does not oppose the motion. Under the circumstances, it appears appropriate to grant the requested extension for good cause shown.¹ Accordingly, IT IS ORDERED pursuant to Rule 450(a) of the Rules of Practice,² that a brief in support of the application for review shall be filed by October 27, 2023. A brief in opposition shall be filed by November 30, 2023, and any reply brief shall be filed by December 21, 2023.³ Pursuant to Rule 180(c) of the Rules of Practice,

¹ See Rule of Practice 161, 17 C.F.R. § 201.161; *see also In re Pending Administrative Proceedings*, Exchange Act Release No. 88415, 2020 WL 1322001 (Mar. 18, 2020) (stating that “pending further order of the Commission, all reasonable requests for extensions of time will not be disfavored as stated in Rule 161” (citing 17 C.F.R. § 201.161(b)(1))).

² 17 C.F.R. § 201.450(a).

³ 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 amended to include e-filing requirements, which took

failure to file a brief in support of the application may result in dismissal of this review proceeding.⁴

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

Vanessa A. Countryman
Secretary

effect on April 12, 2021. *Amendments to the Commission's Rules of Practice*, 85 Fed. Reg. 86,464, 86,474 (Dec. 30, 2020); *see also* *Amendments to the Commission's Rules of Practice*, Exchange Act Release No. 90442, 2020 WL 7013370 (Nov. 17, 2020); *Instructions for Electronic Filing and Service of Documents in SEC Administrative Proceedings and Technical Specifications*, <https://www.sec.gov/efapdocs/instructions.pdf>. The amendments also impose other obligations such as a redaction and omission of sensitive personal information requirement. *Amendments to the Commission's Rules of Practice*, 85 Fed. Reg. at 86,465–81.

⁴ 17 C.F.R. § 201.180(c).