

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 101385 / October 18, 2024

Admin. Proc. File No. 3-21516

In the Matter of the Application of

RICKY ALAN MANTEI

For Review of Disciplinary Action Taken by

FINRA

ORDER GRANTING MOTION TO SUBMIT SUPPLEMENTAL BRIEFING

On August 15, 2024, Ricky Alan Mantei filed a motion requesting leave to submit supplemental briefing addressing the constitutionality of the process by which the Financial Industry Regulatory Authority (“FINRA”) disciplined him. Mantei asked for leave to address, among other things, whether the Seventh Amendment’s jury trial requirement applied to FINRA’s disciplinary proceeding against him following the Supreme Court’s decision in *SEC v. Jarkesy*.¹ FINRA opposes Mantei’s motion.

We have determined to grant Mantei’s request for additional briefing. Accordingly, we accept the parties’ briefs already filed² and further ORDER that Mantei may file a supplemental

¹ 144 S. Ct. 2117, 2139 (Jun. 27, 2024).

² This includes Mantei’s brief filed August 15, 2024, FINRA’s opposition filed August 22, 2024, and Mantei’s reply filed August 27, 2024. This order should not be construed as expressing any view as to the merits of the parties’ arguments, or whether those arguments have been properly exhausted before FINRA.

brief, not to exceed 5,000 words, by November 15, 2024. FINRA may file a response, also not to exceed 5,000 words, by December 13, 2024.

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

Vanessa A. Countryman
Secretary