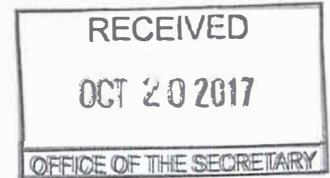


UNITED STATES OF AMERICA  
before the  
SECURITIES AND EXCHANGE COMMISSION



Admin. Proc. File No. 3-18262

In the Matter of

APPLICATION FOR REVIEW

RICHARD ALLEN RIEMER, JR.

Richard Allen Riemer, Jr. (“Riemer”) files this application for review, pursuant to 17 CFR § 201.420, of the final disciplinary action of FINRA, as set forth in the Decision rendered by FINRA’s National Adjudicatory Council (“NAC”) in *Dep’t of Enforcement v. Riemer*, Complaint No. 2013038986001 (Oct. 5, 2017).

Errors in the Determination

1. The hearing panel’s and NAC’s finding that willful misconduct resulting in statutory disqualification is not a sanction but merely an operation of Section 3(a)(39)(F) of the Exchange Act.
2. The hearing officer’s finding that the “potential of statutory disqualification is sort of not all that relevant ...” Tr. 64:21-22.
3. The hearing panel’s rejection of an offer of settlement wherein Riemer proposed to execute an undertaking in which he irrevocably and permanently agreed to refrain from seeking registration with a FINRA member firm.
4. The NAC’s finding that a rejected offer of settlement is not reviewable by the NAC.

5. The NAC's finding that the Hearing Officer did not abuse his discretion in denying Riemer's motion for a continuance.

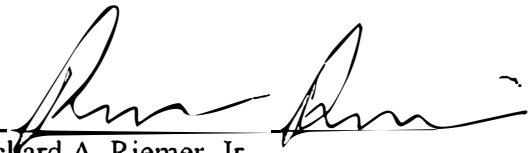
The errors in the determination have subjected Riemer to (a) a fundamentally unfair disciplinary hearing wherein the impact of a finding of willfulness, and hence statutory disqualification, is not considered by the adjudicators; and (b) statutory disqualification and the collateral consequences associated therewith.

Service

Riemer can be served at [REDACTED] Clifton, NJ [REDACTED]

Dated: October 19, 2017

Respectfully submitted,

  
Richard A. Riemer, Jr.  
Pro Se

UNITED STATES OF AMERICA  
before the  
SECURITIES AND EXCHANGE COMMISSION

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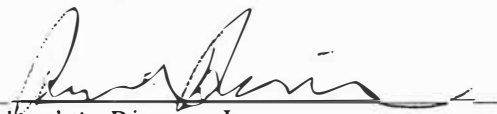
RICHARD ALLEN RIEMER, JR.

CERTIFICATE OF SERVICE

I certify that on October 19, 2017, I served the Application for Review, Motion for Stay and my accompanying affidavit by Federal Express upon:

Brent J. Fields  
Secretary  
U.S. Securities and Exchange Commission  
100 F Street, NE  
Washington, DC 20549

Leo F. Orenstein, Esq.  
FINRA Department of Enforcement  
15200 Omega Drive, 3<sup>rd</sup> Floor  
Rockville, MD 20850-3241

  
Richard A. Riemer, Jr.  
Pro Se