

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
OFFICE OF HEARING OFFICERS**

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

STEPHEN BROWN
(CRD No. 1799847)

and

JAMES GOETZ
(CRD No. 2826111),

Respondents.

Disciplinary Proceeding
No. 2014042690502

Hearing Officer—CC

**POST-DECISION ORDER REVISING SUSPENSION START DATE
FOR RESPONDENT GOETZ**

On August 2, 2017, I issued an Amended Extended Hearing Panel Decision,¹ in which Respondent James Goetz was fined \$25,000 and suspended from associating with any member firm in any capacity for one month. Goetz was also ordered to pay costs associated with the proceeding. The Amended Extended Hearing Panel Decision indicates that Goetz's one-month suspension would commence with the opening of business on October 2, 2017.

On August 23, 2017, Goetz requested that the effective date of his suspension be moved to August 31, 2017. Goetz seeks to waive his appeal time, commence his suspension on August 31, 2017, and pay his fine.² FINRA's Department of Enforcement has advised the Office of Hearing Officers that it takes no position on the issue of revising the start date of Goetz's suspension.

¹ I amended the Extended Hearing Panel Decision dated July 31, 2017, solely to correct the name of the law firm with which Respondents' counsel is affiliated.

² In order to return to the securities industry, Goetz will also be required to pay all costs assessed to him.

The August 2, 2017 Amended Extended Hearing Panel Decision is hereby revised to indicate that Goetz's suspension in all capacities will commence on **August 31, 2017**.

SO ORDERED.

A handwritten signature in cursive script, appearing to read 'Carla Carloni', written over a horizontal line.

Carla Carloni
Hearing Officer

Date: August 25, 2017

Copies to: Thomas B. Lewis, Esq. (via email and first-class mail)
Jonathan A. Scobie, Esq. (via email and first class mail)
Edwin Aradi, Esq. (via email and first-class mail)
Min Choi, Esq. (via email)
Jeffrey D. Pariser, Esq. (via email)