

Jose L. Centeno

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

UNITED STATES OF AMERICA SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Application of
JOSE L. CENTENO,
For Review of Adverse Action Taken By
FINRA

APPLICATION FOR REVIEW

To: The Office of the Secretary
Securities and Exchange Commission
100 F Street NE
Washington, DC 20549

PLEASE TAKE NOTICE that JOSE CENTENO (“Centeno”) hereby applies for review, pursuant to Section 19(d) of the Securities Exchange Act of 1934, of the decision of FINRA’s National Adjudicatory Council issued on September 30, 2025 (the “Decision”), a copy of which is attached. Centeno seeks review of each and every aspect of the Decision, particularly the conclusions that Centeno had a financial interest in marking exception reports as “reviewed,” and that Centeno did not accept full responsibility for any misconduct. Centeno also seeks review of the appropriateness of the sanctions imposed by FINRA, which are excessive and lack

OS Received 10/30/2025

precedence.

Respectfully submitted,



Name: Jose L. Centeno



Jose L. Centeno

[REDACTED]
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**SENSITIVE PERSONAL
INFORMATION CERTIFICATION**

I hereby certify, on October 30, 2025, that all Sensitive and Personal Information has been excluded from this application, and excluded from any corresponding exhibits.

Respectfully submitted,

[REDACTED]

Name: Jose L. Centeno

[REDACTED]
[REDACTED]
[REDACTED]

Jose L. Centeno

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

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CERTIFICATE OF SERVICE

I hereby certify that on October 30, 2025, a true and correct copy of this filing was delivered electronically to:

Ashley Martin
Office of General Counsel
FINRA
Ashley.Martin@finra.org

and

Nac.casefilings@finra.org

Respectfully submitted,

[Redacted signature]

Name: Jose L. Centeno

[Redacted contact information]