

U.S. SECURITIES & EXCHANGE COMMISSION

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In the Matter of the Appeal of

DEPARTMENT OF ENFORCEMENT

Complainant,

vs.

THOMAS LEE JOHNSON

Respondent.

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**NOTICE OF APPEAL  
OF NAC Decision in  
Complaint No. 2018056848101  
Thomas Lee Johnson**

**DATE OF SERVICE  
November 2, 2021**

**NOTICE OF APPEAL- ORAL ARGUMENT REQUESTED**

**PLEASE TAKE NOTICE**, that pursuant to SEC Rule 19d-3,

Mr. Thomas Lee Johnson (“Mr. Johnson” or “Appellant”), by his undersigned counsel, hereby appeals the decision of the National Adjudicatory Council (“NAC”) of the Financial Industry Regulatory Authority (“FINRA”) ratifying and extending on October 6, 2021 the prior decision of a hearing panel, arising from Complaint No. 2018056848101.

Appellant appeals:

1. NAC’s finding that Mr. Johnson violated FINRA Rule 2010 for converting funds from his former employer firm which is in error and unsupported by the record;
2. NAC’s imposition against Mr. Johnson of a bar from associating with any FINRA member firm in any capacity which is in error and unsupported by the record;
3. NAC’s order that Mr. Johnson pay \$3,068.30 in hearing costs and \$1,710.30 in appeal costs;
4. NAC’s ratification of the hearing panel’s findings that Mr. Johnson’s mitigating evidence was insufficient; and
5. NAC’s affirmation of the hearing panel’s lifetime bar of Mr. Johnson, which was arbitrary and erroneous, grossly excessive, inherently punitive, and was premised upon a misreading of the law and factual determinations not supported by the record.

Appellant requests *de novo* review of the decision of the NAC and reversal of the decision. Appellant requests oral argument before the Commission because he believes oral argument will be of assistance to the Commission given the NAC’s misapprehension of the record evidence, controlling law, and sanctions.

Dated: November 2, 2021

Respectfully submitted,

/s/Jon-Jorge Aras

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