

**UNITED STATES OF AMERICA
BEFORE THE
SECURITIES AND EXCHANGE COMMISSION**

In the Matter of the Application of
Charles Scott Burford, Sr. (CRD No. 1658201)

For Review of Disciplinary Action,
NAC Decision: March 14, 2024
FINRA Decision: July 7, 2022

Administrative Proceeding

Case No. 2019064656601

NOTICE OF APPEAL AND APPLICATION FOR REVIEW OF FINRA NAC DECISION

April 12, 2024

Thank you for considering my appeal of the disciplinary actions proposed by FINRA Enforcement.

The following pertinent facts in this case are not in dispute:

- I facilitated the premature distribution of my deceased customer's assets to his widow and sole primary beneficiary of his will.
- The will had not been probated before I made these distributions, and I knew that I was not in compliance with my firm's written supervisory procedures.
- This case is closed and all distributions I made to his widow were legally hers.
- The deceased customer was my wife's first cousin and I had advised the family's related legacy accounts since 1992.
- I knew my customer.
- I realized no personal gain.
- I caused no harm to others.
- My actions were legal.

I had a moral obligation to help his widow.

Please consider reversing the NAC decision based on the idea that avoiding harm to someone is more important than following procedures.

Charles Scott Burford, Sr

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