

UNITED STATES OF AMERICA  
before the  
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934  
Release No. 93824 / December 17, 2021

Admin. Proc. File No. 3-20535

In the Matter of the Application of  ALPINE SECURITIES CORPORATION  For Review of Action Taken by  FINRA
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ORDER GRANTING MOTION TO WITHDRAW APPLICATION FOR REVIEW

On September 9, 2021, Alpine Securities Corporation filed with the Commission a Combined Petition for Review and to Amend, Repeal, or Suspend Changes to FINRA Rule 9261 (the “Petition”). In the Petition, Alpine sought Commission review under Exchange Act Sections 19(d) and 19(f) of an order that FINRA’s Chief Hearing Officer issued in an ongoing FINRA disciplinary proceeding against Alpine providing that the remainder of the enforcement proceeding would continue by remote means pursuant to FINRA Rule 9261.<sup>1</sup>

On October 15, 2021, Alpine filed an Unopposed Motion to Amend its Petition for Review. In that motion, Alpine stated that it “requests that the Commission allow it to amend its Petition for Review and remove its requests for review and relief under Sections 19(d) and 19(f).” According to Alpine, “[t]he reason for [its] Motion is that the FINRA disciplinary hearing at issue has concluded (via Zoom under amended Rule 9261) and Alpine has lodged its objection to the proceeding in that hearing.” We construe Alpine’s filing as a motion to withdraw its Petition to the extent it requested Commission review under Exchange Act Sections 19(d) and 19(f). Under the circumstances, it is appropriate to grant Alpine’s request.<sup>2</sup>

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<sup>1</sup> In the Petition, Alpine also requested that the Commission exercise its authority under Exchange Act Section 19(c) to “abrogate, add to, [or] delete from” FINRA’s rules with respect to FINRA Rule 9261. That request will be addressed by the Commission separately.

<sup>2</sup> In light of our determination to grant Alpine’s motion to withdraw its request for review under Exchange Act Sections 19(d) and 19(f), FINRA’s pending motion to dismiss Alpine’s request for review under Exchange Act Sections 19(d) and 19(f) is moot.

Accordingly, IT IS ORDERED that the request of Alpine Securities Corporation to withdraw its application for review under Sections 19(d) and 19(f) of the Securities Exchange Act of 1934 is granted and that this review proceeding is dismissed.

For the Commission, by the Office of the General Counsel, pursuant to delegated authority.

Vanessa A. Countryman  
Secretary