

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 96790 / February 1, 2023

Admin. Proc. File No. 3-21291

In the Matter of the Application of
CHRISTOPHER ANTHONY SUMNER

ORDER REQUESTING ADDITIONAL WRITTEN SUBMISSION

On August 24, 2015, FINRA barred Christopher Anthony Sumner from association with any FINRA member in any capacity pursuant to FINRA Rule 9552(h), after Sumner failed to timely respond to FINRA requests for information.¹ On August 31, 2022, Sumner emailed the Commission two letters: (i) a letter from Sumner to FINRA dated August 16, 2022; and (ii) a letter from Sumner to the Commission dated August 30, 2022. In the letter to FINRA, Sumner states that he is responding to FINRA's 2015 inquiries, which he did not "discover[]" until 2022 due to personal issues. Sumner provides answers to what appear to be 16 questions from FINRA, and states that he is "seeking to clear [his] name" and "move forward." It is unclear if FINRA received or responded to Sumner's letter.

The letter to the Commission has the subject line, "FINRA Reinstatement Request." Sumner states that he "failed to respond on time" to FINRA's information requests due to personal issues, and that he "[r]equest[s] to clear [his] name from this matter and return to work as a productive member of society."

It is unclear whether Sumner's submission to the Commission is an application for the Commission to review the bar imposed by FINRA under FINRA Rule 9552(h) on August 24, 2015,² or whether Sumner is seeking some other form of relief. Because of this lack of clarity,

¹ See BrokerCheck, available at https://files.brokercheck.finra.org/individual/individual_4334586.pdf.

² Exchange Act Section 19(d)(2), 15 U.S.C. § 78s(d)(2) (granting the Commission authority to review, upon the timely application of an associated person, FINRA disciplinary sanctions imposed on that person); Exchange Act Section 19(f), 15 U.S.C. § 78s(f) (providing the standard for Commission review of expedited disciplinary proceedings, such as under FINRA Rule 9552, and granting the Commission authority to set aside the sanction under certain conditions).

further briefing would be helpful to the Commission. Sumner is thus directed to file an additional written submission clarifying the relief he seeks in this matter.

Accordingly, it is ORDERED that by February 15, 2023, Christopher Anthony Sumner shall file a statement clarifying the relief he seeks from the Commission. In addition, if Sumner intended to file an application for review, it is ORDERED that by February 22, 2023, he file an application that conforms with Rule of Practice 420, which governs applications for the Commission to review FINRA determinations.³ This includes the requirement under Rule of Practice 420(c) that the applicant serve the application on FINRA.⁴

Pursuant to Rule of Practice 180(c), a party's failure to file a brief or comply with this order may result in the Commission's determination of the matter at issue against that party, an entry of default, or dismissal of one or more claims.⁵ In issuing this order, we express no views as to the substance of Sumner's submissions. The parties' attention is also directed to the e-filing requirements in the Rules of Practice.⁶

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

Vanessa A. Countryman
Secretary

³ 17 C.F.R. § 201.420. A copy of the Commission's Rules of Practice can be found at <https://www.sec.gov/about/rulesofpractice>.

⁴ 17 C.F.R. § 201.420(c).

⁵ 17 C.F.R. § 201.180(c).

⁶ *Amendments to the Commission's Rules of Practice*, Exchange Act Release No. 90442, 2020 WL 7013370 (Nov. 17, 2020), 85 Fed. Reg. 86,464, 86,474 (Dec. 30, 2020), <https://www.sec.gov/rules/final/2020/34-90442a.pdf>; *Instructions for Electronic Filing and Service of Documents in SEC Administrative Proceedings and Technical Specifications*, <https://www.sec.gov/efapdocs/instructions.pdf>. The amendments impose other obligations such as a redaction and omission of sensitive personal information requirement. *Amendments to the Commission's Rules of Practice*, 85 Fed. Reg. at 86,465–81.