

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 97310 / April 14, 2023

Admin. Proc. File No. 3-21291

In the Matter of the Application of
CHRISTOPHER ANTHONY SUMNER

ORDER DISMISSING APPLICATION FOR REVIEW

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 he wrote to FINRA dated August 16, 2022; and (ii) a letter he wrote to the Commission dated August 30, 2022. The letter to the Commission had the subject line “FINRA Reinstatement Request” and stated that Sumner “failed to respond on time” to FINRA’s information requests due to personal issues but that he “[r]equest[ed] to clear [his] name from this matter and return to work as a productive member of society.”

Because it was unclear whether Sumner’s submission to the Commission was an application for the Commission to review the bar imposed by FINRA, or whether Sumner was applying for some other form of relief,² the Commission issued an order on February 1, 2023, requesting additional written submissions.³ The order directed Sumner to (i) file an additional written submission clarifying the relief he seeks in this matter by February 15, 2023; and (ii) if Sumner intended to file an application for review of the FINRA bar, to file an application that

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

² See Exchange Act Section 19(d)(2), 15 U.S.C. § 78s(d)(2) (authorizing Commission review of action by self-regulatory organization, like FINRA, that imposes a final disciplinary sanction; denies applicant’s membership or participation; prohibits or limits access to services; or bars person from becoming associated); see also Rule of Practice 420, 17 C.F.R. § 201.420 (providing procedures for seeking Commission review of a self-regulatory organization’s final disciplinary sanction; denial or conditioning of membership or participation; prohibition or limitation of access to services; or impose a bar from association).

³ Christopher Anthony Sumner, Exchange Act Release No. 96790, 2023 WL 1464381 (Feb. 1, 2023).

conforms with Rule of Practice 420 by February 22, 2023. The order further stated that, pursuant to Commission 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.”⁴ To date, Sumner has not filed any documents in response to the order.

On March 16, 2023, FINRA filed a motion to dismiss Sumner’s application as abandoned due to Sumner’s failure to file any documents in response to the order. Sumner had five days to respond to FINRA’s motion under Rule of Practice 154(b),⁵ but has not done so. Nor has Sumner filed a request for an extension, or any other documents, with the Commission.

It therefore appears that Sumner has abandoned his application for relief from the Commission. Under the circumstances, we find it appropriate to dismiss Sumner’s application.⁶

Accordingly, it is ORDERED that the application filed by Christopher Anthony Sumner is dismissed.

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

Vanessa A. Countryman
Secretary

⁴ *Id.*

⁵ 17 C.F.R. § 201.154(b).

⁶ *See, e.g., McBarron Capital LLC*, Exchange Act Release No. 80499, 2017 WL 1406911 (Apr. 20, 2017) (dismissing an application for review where the applicant failed to file a brief supporting his application or respond to FINRA’s motion to dismiss).