

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 97864 / July 10, 2023

Admin. Proc. File No. 3-20127

In the Matter of the Application of

ERIC S. SMITH

For Review of Disciplinary Action Taken by

FINRA

ORDER EXTENDING TIME TO ISSUE DECISION

The Commission has determined, in its discretion, that it is appropriate to extend by 90 days the period within which the decision in this matter may be issued. Accordingly, IT IS ORDERED that such period be, and hereby is, extended to October 10, 2023.¹

By the Commission.

Vanessa A. Countryman
Secretary

¹ October 8, 2023, is a Sunday, and October 9, 2023, is a holiday.