

**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

**Brief in Support of  
the Application for Review of  
Charles Scott Burford, SR.  
AP File No. 3-21915**

**DATE OF SERVICE  
June 27, 2024**

Charles Scott Burford, SR., hereby submits this brief in support of the application for review of the National Adjudicatory Council's decision regarding FINRA Complaint No. 2019064656601.

When the widow of my deceased client asked me for help to meet her ongoing expenses, I had a decision to make. Following my firm's supervisory procedures would have caused financial hardship for her. Knowing what I knew, I could not, in good conscience, have turned away. I agreed to help but made her aware that the assets could be "frozen" at any time, and I could do nothing about it.

Please consider vacating FINRA Enforcement's sanctions based on my adherence to our industry's highest principles relating to consumer protection and self-dealing. Indeed, the core goals of FINRA rule 2010.

Respectfully submitted,

Charles Scott Burford, Sr.  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

Dated: June 27, 2024

Electronically Served to:

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June 27, 2024