

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 101219 / September 30, 2024

Admin. Proc. File No. 3-21982

In the Matter of the Application of
NORMAN THORN ROBERTSON
For Review of Action Taken by
FINRA

ORDER REQUESTING ADDITIONAL BRIEFING

On July 22, 2024, Norman Thorn Robertson filed an application under Section 19(d)(2) of the Securities Exchange Act of 1934 for review of action taken by FINRA. On August 21, 2024, the Commission issued an order scheduling briefs, which set a deadline of September 20, 2024, for Robertson's opening brief.¹ On September 25, 2024, Robertson filed a motion to extend the time to file his brief in support of his application to October 7, 2024.² Robertson represents that FINRA does not oppose this motion.

Rule of Practice 161(a) provides that the Commission may extend a filing deadline prescribed in the Rules of Practice "for good cause shown."³ However, Robertson's motion does not provide a justification for extending the deadline to file his brief in support of his application. Robertson's motion also fails to mention that he is requesting leave to submit a late brief, rather

¹ *Norman Thorn Robertson*, Exchange Act Release No. 100794, 2024 WL 3889004 (Aug. 21, 2024).

² The motion also requests extension of the deadlines for the submission of FINRA's brief in opposition and Robertson's reply brief.

³ 17 C.F.R. § 201.161(a); *see also In re: Pending Admin. Proceedings*, Exchange Act Release No. 88415, 2020 WL 1322001, at *1 (Mar. 18, 2020) (stating that "pending further order of the Commission, all reasonable requests for extensions of time will not be disfavored as stated in Rule 161").

than simply an extension of the deadline to file a brief.⁴ The certificate of service attached to Robertson's motion also fails to list the FINRA attorney who has entered an appearance in this matter.⁵ Accordingly, it is ORDERED that Robertson file a supplement to his motion addressing these issues by October 2, 2024.

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

Vanessa A. Countryman
Secretary

⁴ *Cf.* Rule of Practice 450(a), 17 C.F.R. § 201.450(a) (“No briefs in addition to those specified in the briefing schedule order may be filed except with leave of the Commission.”); *Robertson*, 2024 WL 3889004, at *1 (“No briefs other than those specified in this schedule may be filed without leave of the Commission.”).

⁵ *See* Rules of Practice 150(a)-(b), 151(d), 17 C.F.R. § 201.150(a)-(b), .151(d) (providing rules regarding service of papers and certificates of service).