

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
OFFICE OF HEARING OFFICERS**

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

CANTONE RESEARCH INC.
(CRD No. 26314),

ANTHONY J. CANTONE
(CRD No. 1066139),

and

RAYMOND J. DEROBIO
(CRD No. 1092310),

Respondents.

Disciplinary Proceeding
No. 2017055886402

Hearing Officer–LOM

**ORDER DENYING THE DEPARTMENT OF ENFORCEMENT'S
OBJECTION TO ONE OF RESPONDENTS' WITNESSES,
BUT IMPOSING CERTAIN REQUIREMENTS ON RESPONDENTS**

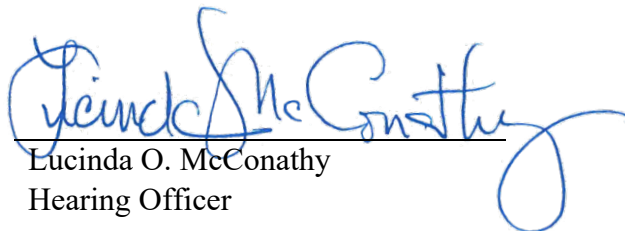
The Department of Enforcement objects to one of the Respondents' proposed witnesses, Robert Crowther. Respondents identified Mr. Crowther as a witness they may call, but they provided no contact information for him. They said that his address is unknown, and they included no telephone number. They declared that he is retired, without identifying his former employer. As for the subject matter of his testimony, they vaguely said that he would testify "regarding offering at issue." Mr. Crowther's relationship to the offerings and issues in this matter is not clear, and, without contact information, Enforcement is prevented from speaking with him in advance of the hearing.

Enforcement lodged an objection to Mr. Crowther's testimony on the basis that Respondents' failure to provide contact information for him did not comply with the Case Management and Scheduling Order in this case and did not give Enforcement an opportunity to speak with him before the hearing. Respondents responded to those objections, saying that they do not have "current" contact information for Mr. Crowther. They provided a telephone number

that they said was his last known phone number and said that Enforcement has information about Mr. Crowther because he is a formerly registered person.

Given that Respondents assert they do not have “current” contact information for Mr. Crowther, it is unclear how they expect to arrange for him to testify. If they have any prearrangement for him to testify or they expect him to contact them or their counsel to make an arrangement to testify, Respondents should provide Enforcement with the details so that Enforcement can prepare for the hearing. As soon as Respondents or their counsel have contact with Mr. Crowther, they should gather any telephone numbers and addresses where Enforcement can reach him and communicate those to Enforcement. Unless Respondents provide contact information for Mr. Crowther to Enforcement promptly upon receiving it, he may not be allowed to testify. If he testifies, he may be questioned about the circumstances in which he came to make himself available.

SO ORDERED.


Lucinda O. McConathy
Hearing Officer

Dated: February 21, 2023

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