

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

CRAIG STANTON NORTON
(CRD No. 349405),

Respondent.

Disciplinary Proceeding
No. 2016048837401

Hearing Officer–DRS

**ORDER GRANTING ENFORCEMENT'S REQUEST TO
CORRECT THE HEARING TRANSCRIPT**

On October 5, 2021, the Department of Enforcement filed an affidavit of Brody W. Weichbrodt, one of its counsel of record in this proceeding, requesting that I issue an order correcting certain purported transcription errors in the hearing transcript. The affidavit represents that Weichbrodt reviewed the transcript and identified two recurring errors: (a) the stock symbol “BFRH” was incorrectly transcribed as “VRFH”; and (b) the word “volume” was incorrectly transcribed as “value.” Enforcement attached to the affidavit an errata sheet identifying the requested corrections.¹ The affidavit also represents that Norton does not object to the requested changes.

Under FINRA Rule 9265(c), which governs the process for correcting a transcript,

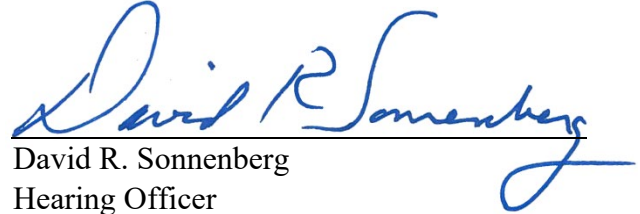
[p]rior to the filing of post-hearing briefs or proposed findings and conclusions, or within such earlier time as ordered by the Hearing Officer, a Party or witness may seek to correct his or her transcript. A proposed correction of the transcript shall be submitted to the Hearing Officer by affidavit. Upon notice to all Parties to the disciplinary proceeding, the Hearing Officer may order the correction to the transcript as requested or sua sponte.

Enforcement filed its request to correct the transcript after the parties had filed their post-hearing briefs. Thus, the request is untimely. Even so, given the importance of having an accurate hearing transcript, and because Norton does not object to the proposed corrections, I

¹ Enforcement Identified Errata, Attachment A to the request.

find that good cause exists to grant to request. For these reasons, I **GRANT** the request and **ORDER** that the corrected version of the hearing transcript be deemed the official hearing transcript in this proceeding.²

SO ORDERED.


David R. Sonnenberg
Hearing Officer

Dated: October 12, 2021

Copies to:

D. Craig Parry, Esq. (via email)
Mark O. Van Wagoner, Esq. (via email)
Brody W. Weichbrodt, Esq. (via email)
John R. Baraniak, Jr., Esq. (via email)
Mark Fernandez, Esq. (via email)
Carolyn Craig, Esq. (via email)
Jennifer L. Crawford, Esq. (via email)

² The parties confirmed to the Case Administrator assigned to this case that the court reporting service provided them with corrected versions of the transcript for days 2, 3, 4, 5, 7 and 9 of the hearing—the days on which the transcription errors occurred. The Office of Hearing Officers also received revised copies of those days' transcripts.