

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

SEBASTIAN G. BONGIOVANNI
(CRD No. 4398600),

Respondent.

Disciplinary Proceeding
No. 2022077443302

Hearing Officer—MJD

**ORDER DENYING ENFORCEMENT’S MOTION FOR
REMOTE VIDEOCONFERENCE TESTIMONY**

The hearing in this disciplinary proceeding is scheduled to take place in Jersey City, New Jersey, on December 8 and 9, 2025. The Complaint’s one cause of action alleges that Respondent Sebastian G. Bongiovanni failed to produce documents and information during an investigation conducted by the Department of Enforcement, in violation of FINRA Rules 8210 and 2010.

On November 12, 2025, Enforcement filed a motion to permit remote testimony by videoconference or telephone (“Motion”) from one of the three witnesses it has identified on its witness list—Enforcement counsel Yah Demann.¹

Enforcement states that Demann is based in FINRA’s San Francisco office and lives in the San Francisco Bay area. It anticipates that Demann will testify about the procedural history of this matter and her direct testimony will take less than 30 minutes.² Because of the limited duration and scope of Demann’s testimony, Enforcement argues that requiring her to travel across the country is not practical or efficient.³ Enforcement represents that Respondent consents to the Motion.⁴

¹ Aside from Respondent himself, Enforcement’s other proposed witness, according to its witness list, is a FINRA investigations manager who is expected to testify about the alleged FINRA Rule 8210 violations at issue in the Complaint.

² Department of Enforcement’s Motion to Permit Testimony by Videoconference or Telephone (“Mot.”) (Nov. 12, 2025) 2.

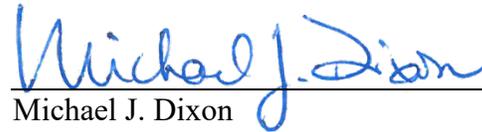
³ Mot. 2-3.

⁴ Mot. 1.

Demann is a FINRA employee. Even though leave to present videoconference or telephone testimony is commonly granted in FINRA disciplinary proceedings,⁵ I find that, as a FINRA employee, it is appropriate in this case that Demann attend the hearing in person regardless of the anticipated length of her testimony and the inconvenience to her.⁶ I note that, based on a review of Enforcement's proposed exhibits, Demann is the sender or recipient of multiple emails and letters in connection with proceedings under FINRA Rule 9552 that FINRA initiated for Respondent's alleged failure to produce documents and information. The Rule 9552 proceedings constitute a significant part of the procedural history that led to the filing of the Complaint and which Respondent has challenged in his Answer and recent motion to dismiss and for other relief.

I find that under the circumstances present in this case Enforcement has failed to establish good cause to permit videoconference or telephone testimony from Yah Demann. I therefore **DENY** the Motion.

SO ORDERED.



Michael J. Dixon
Hearing Officer

Dated: November 13, 2025

Copies to:

Sebastian G. Bongiovanni, Respondent (via email, overnight courier, and first-class mail)
Christen Sproule, Esq., FINRA Enforcement (via email)
John R. Baraniak, Jr., Esq., FINRA Enforcement (via email)
Jennifer L. Crawford, Esq., FINRA Enforcement (via email)

⁵ See *Dep't of Enforcement v. Brigandi*, No. C10040025, 2007 NASD Discip. LEXIS 3, at *24 n.20 (NAC Jan. 17, 2007) (citing *Daniel Joseph Alderman*, Exchange Act Release No. 35997, 1995 SEC LEXIS 1823, at *4 n.6 (July 20, 1995), *aff'd*, 104 F.3d 285, 288 n.4 (9th Cir. 1997)).

⁶ See OHO Order 24-25 (2022076149301) (Sept 10, 2024), at 2, https://www.finra.org/sites/default/files/2024-12/24-25_Petruska_20240910.pdf (denying motion for leave to present remote videoconference testimony from FINRA employee).