

**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

**AMENDED ORDER DENYING RESPONDENT’S
MOTION TO SUPPLEMENT THE RECORD**

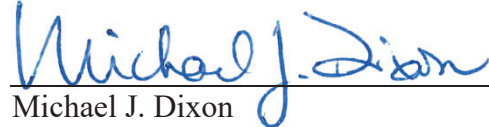
I originally issued this Order on March 31, 2026, denying Respondent’s motion to supplement the record. I inadvertently omitted from the Order the word “no” in the last sentence of the last paragraph, which should correctly have read, “Because the letter purports to respond to the Rule 8210 requests and makes no new assertions of fact not in the record, I deny Respondent’s motion to supplement the record.” (Emphasis added.) Accordingly, I issue this amended Order so that the last paragraph reads correctly.

The Complaint in this disciplinary proceeding alleges in a single cause of action that Respondent Sebastian G. Bongiovanni failed to produce documents and information in violation of FINRA Rules 8210 and 2010. Respondent filed an Answer denying the allegations and requesting a hearing. The hearing took place on February 18, 2026. Both parties participated and introduced evidence.

On March 30, 2026, Respondent filed what he called a “Post-Hearing Letter” that he requests be made part of the record. He also requests that the letter serve as his response to FINRA staff’s December 12, 2023, and January 2, 2024, Rule 8210 requests. Respondent’s alleged failure to comply with the two requests form the basis of the Complaint.

I treat the letter as a motion to supplement the record. Because the letter purports to respond to the Rule 8210 requests and makes no new assertions of fact not in the record, I deny Respondent's motion to supplement the record with the letter.

SO ORDERED.


Michael J. Dixon
Hearing Officer

Dated: May 7, 2026

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)