

**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 RESPONDENT’S SECOND
MOTION TO SUPPLEMENT THE RECORD**

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

On March 30, 2026, more than five weeks after the completion of the hearing, Respondent submitted a document he titled “Post Hearing Letter” that he requested be made part of the record for this proceeding. On March 31, 2026, I issued an Order stating the I treated Respondent’s letter as a motion to supplement the record because Respondent asked that the letter also 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 denied Respondent’s motion because the letter makes no new assertions of fact not already in the record.¹

Later on the same day that I denied his motion, Respondent filed another document that he titled “Respondent’s Request to Have Post Hearing Letter Included as Part of the Record”

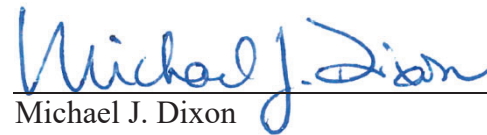
¹ On May 7, 2026, I issued an Order amending my March 31, 2026 Order because I inadvertently omitted the word “no” in the final sentence of the Order which should have stated, “Because the letter purports to respond to the Rule 8210 requests and makes no new assertions of fact not in the record, I deny Respondent’s motion to supplement the record.” (Emphasis added.)

(“Motion”), asking that another “post hearing letter” (“Letter”) be made part of the record.² In his email transmitting the Motion, Respondent asserts that the Letter “does NOT contain any evidence not previously submitted.” The Letter effectively recites some of the chronology developed at the hearing, while making certain statements of fact, including offering reasons for his alleged non-compliance with the Rule 8210 requests and repeating arguments he made at the hearing.³ It also asks that the Hearing Panel “refer this matter back to” Enforcement to allow him a chance “to turn over all relevant documents.”⁴

Enforcement filed an Opposition to the Motion, arguing among other things that the Letter is substantively the same as the prior post-hearing letter Respondent filed and that it contains nothing that could not have been stated at the hearing.⁵ Enforcement adds that, even if there were some new probative evidence, Respondent failed to show that there were reasonable grounds for not presenting the evidence earlier.⁶

The Letter contains no new evidence or arguments. Even if the Letter contained new evidence, Respondent has failed to identify any material facts that could not have been presented at the hearing. Accordingly, he has failed to establish good cause to reopen the record. I **DENY** the Motion.⁷

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)

² Respondent’s Request to Have Post Hearing Letter Included as Part of the Record, Apr. 1, 2026. Although the Motion and Letter are dated April 1, Respondent filed both on March 31, 2026.

³ Letter 2-3.

⁴ Letter 3.

⁵ Department of Enforcement’s Opposition to Respondent’s Motion to Supplement the Record, Apr. 13, 2026 (“Opp.”).

⁶ Opp. 2-3.

⁷ On April 14, 2026, Respondent filed a Reply to Enforcement’s Opposition. The Case Management and Scheduling Order, § V.F., entered in this proceeding on July 30, 2025, requires a moving party to get permission from the hearing officer to file a Reply. To the extent Respondent seeks permission to file a Reply, I deny the request. Additionally, I note that Respondent’s Reply, like his initial submission, contains no new evidence.