

FINANCIAL INDUSTRY REGULATORY AUTHORITY  
OFFICE OF HEARING OFFICERS

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

WILSON-DAVIS & CO., INC.  
(CRD No. 3777),

JAMES C. SNOW, JR.  
(CRD No. 2761102),

LYLE WESLEY DAVIS  
(CRD No. 62352),

BYRON BERT BARKLEY  
(CRD No. 12469),

and

CRAIG STANTON NORTON  
(CRD No. 349405),

Respondents.

Disciplinary Proceeding  
No. 2016048837401

Hearing Officer-DRS

**AMENDED ORDER REGARDING REVIEW AND REDACTION OF EXHIBITS<sup>1</sup>**

The hearing in this proceeding is scheduled to begin on July 19, 2021. In connection with the upcoming hearing, I remind the parties that the Order Establishing Procedures Regarding Treatment of SAR Information and the Case Management and Scheduling Order ("CMSO"), Section VII, together, contain instructions to the parties about how to treat SAR Information, Personal Confidential Information ("PCI"), and Personal Sensitive Information ("PSI") in exhibits. Additionally, I hereby **ORDER** that where practical, the parties shall remove (redact) PSI, as identified in the CMSO, Section VII.B., from their exhibits unless the information is necessary for the determination of the issues in this disciplinary proceeding.

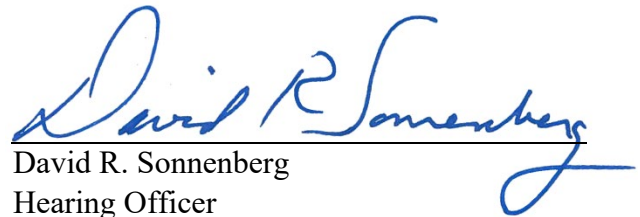
<sup>1</sup> This order is amended to clarify the instructions given in paragraph 4 below.

To ensure compliance with these instructions, I **ORDER** as follows:

1. Respondents shall review the RX exhibits for the presence of SAR Information or PSI.
2. Enforcement shall review the CX and JX exhibits for the presence of SAR Information or PSI.
3. On or before **June 15, 2021**, each party shall make a filing with the Office of Hearing Officers (“Filing”) representing that it/he performed the above-referenced review and stating whether their respective exhibits contain any SAR Information. If a party locates SAR Information in its/his exhibits, that party shall identify in the Filing the exhibit(s) containing the SAR Information.
4. If a party locates any PSI in its/his exhibits,<sup>2</sup> that party shall, on or before **June 15, 2021**, redact the PSI and resubmit the affected exhibit(s) electronically, unless that party determines that redaction of the PSI is impractical or the PSI is necessary for the determination of the issues in this disciplinary proceeding. Before filing any redacted exhibits, a party shall contact Ms. Shaffer for the appropriate method for resubmitting the exhibit(s).

By further order, I will instruct the parties about the submission of hard copies of the exhibits.

**SO ORDERED.**

  
David R. Sonnenberg  
Hearing Officer

Dated: May 20, 2021

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<sup>2</sup> For example, it appears that CX-7 contains PSI: customers’ telephone numbers.

Copies to:

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