

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

DEPARTMENT OF MARKET
REGULATION,

Complainant,

v.

WILLIAM NORRIS JORDAN, JR.
(CRD No. 1385105),

Respondent.

Disciplinary Proceeding
No. 20120317482-03

Hearing Officer–RES

**POST-DECISION ORDER REVISING
SUSPENSION START DATE FOR RESPONDENT**

On September 26, 2017, the Office of Hearing Officers issued an Amended Hearing Panel Decision,¹ in which Respondent William Norris Jordan, Jr. was fined \$7,000, suspended from associating with any FINRA member in any capacity for one year, and ordered to pay disgorgement plus prejudgment interest. Respondent was also ordered to pay costs associated with the proceeding. The Amended Hearing Panel Decision indicates that Respondent’s one-year suspension will commence with the opening of business on November 20, 2017.

On October 19, 2017, Respondent filed a motion (the “Motion”) requesting that the effective date of his suspension be moved back to October 16, 2017, the suspension start date in the original Hearing Panel Decision. In the Motion, Respondent avers that in reliance on the original start date, he hired a new principal to replace him, surrendered his Bloomberg connection and contract, and made other personal and financial commitments. The Hearing Officer also recognizes that the change in start date came about through no fault of Respondent’s. In an Addendum filed with this Office, Respondent undertakes to waive his right to appeal and pay his fine and disgorgement amounts within three business days of the issuance of a further amended order.

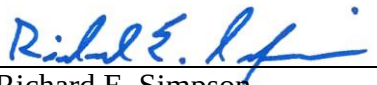
FINRA’s Department of Market Regulation has filed an opposition to the Motion. The Department’s weightiest argument is that Respondent seeks to commence his suspension before this disciplinary proceeding becomes final and that the National Adjudicatory Council (“NAC”)

¹ The Hearing Officer amended the Hearing Panel Decision dated August 23, 2017, to clarify the monetary sanctions.

might call the case for review. According to FINRA Rules, the NAC has until November 10, 2017 to do this.²

The Hearing Officer will do what he can to ameliorate the unintended harm caused Respondent by the change in the suspension start date. The September 26, 2017 Amended Hearing Panel Decision is hereby revised to indicate that Respondent's suspension in all capacities will commence effective the opening of business on Monday, November 13, 2017.

SO ORDERED.



Richard E. Simpson
Hearing Officer

Date: October 24, 2017

Copies to:
Richard A. Levan, Esq. (via email and first-class mail)
Jon-Jorge Aras, Esq. (via email)
Gary E. Jackson, Esq. (via email and first-class mail)
Kevin M. McGee, Esq. (via email)
James J. Nixon, Esq. (via email)

² FINRA Rule 9312(a)(1).