

Letter from a Senior Investor

Robert W. Cook
FINRA President and CEO
1735 K St. NW, Washington, DC 20006

Dear Mr. Cook,

I just would like to take a moment to express my gratitude to your FINRA Department of Enforcement personnel for their outstanding caring and concern in connection with my 2-day Disciplinary Hearings.

For the first time, after several distressing years, I had a great sleep. I woke up whistling and with a fresh new beginning. Having my voice heard in the hearing proceedings, has brought me peace of mind. I finally have closure. I can move forward and accept responsibility for myself.

Perhaps the most important thing that FINRA can do for the victims taken advantage of by financial advisors, is the possibility to recover compensation. I still have hope that FINRA may be able to bring back my hard-earned retirement savings money.

The success or failure of any business is always determined by the dedication and efforts of its personnel. FINRA's culture, organization, and strategy all come down to the motivation and enthusiasm of its loyal employees. The team that helped me are the visible, effective face of the FINRA's organization. Having FINRA's experienced professional supporting team made all the difference. They gave me all the confidence I needed to be an effective witness.

Please express my heartfelt gratitude to the FINRA's team for all their tireless work to ensure that justice would prevail. Their legal expertise and professionalism went above and beyond my expectations. I am very thankful for their legal advice, time, and efforts.