
From: Jim Leggott [mailto:jleggott@aicinvest.com]
Sent: Friday, June 26, 2009 11:12 PM
To: Comments, Public
Subject: FINRA Regulatory notice 09-25

FINRA,

I am a Registered Representative working with securities and insurance products. I am emailing to voice my concerns about FINRA's plan to enlarge the area its suitability rules will be required. This should NOT, include sales which are not dealing with securities.

Non-securities sales and products are already strongly regulated at the state level. State regulators and state insurance departments work hard to protect the citizens of their state from unsuitable and fraudulent practices. If FINRA were to enter this area, I believe confusion would abound in the industry. Confusion can only hurt the client.

YES, I am against the expansion of FINRA's area of jurisdiction, however, I do believe that those who practice unsuitable and misleading methods in their sales should BE prosecuted. They not only do harm to their clients, but to the entire financial services industry.

Finally, more regulations or legislation will not stop those who would use methods to mislead or deceive possible clients. They will always look for methods to short-cut the process and hurt others for their gain.

Thank you for taking the time to consider my comments, and once again, I ASK that you NOT enlarge FINRA's jurisdiction to encompass non-securities sales and products.

Jim Leggott
Registered Representative

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