

**From:** [James Ochner](#)  
**To:** [Comments, Public](#)  
**Subject:** Rule 4560 Recommendations  
**Date:** Wednesday, July 7, 2021 10:39:13 PM

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To whom it may concern,

Thank you for seeking additional input from retail investors for changes to Rule 4560. As a long time investor I appreciate your desire to increase transparency and accountability. I reviewed you suggested changes and completely concur. Here are some of the things, as a retail investor, that I would like to see implemented.

1. T1 Reporting
2. Full disclosure of ALL short positions, including synthetic short positions
3. Location requirements for All short positions
4. Expanded suspension, revocation, or limitation of trading specific securities (ie; short positions) for members, firms, and individuals that violate any and all rules, regulations, and laws in addition to fines (ie; if members, firms, or individuals violate any rule, regulation, or law not only would they be fined but the violation would result in a suspension, revocation, or limitation of ALL parties ability to trade said security instrument). In the event of multiple infractions for additional security instruments, the suspension, revocation, or limitation would apply to each instrument for ALL parties.

Thank you for your consideration.

Respectfully,  
James Ochner

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