

Brant Brown:

We are not in favor of adopting the proposed ([09-29](#): FINRA Requests Comment on Proposed FINRA Rule Addressing the Origination and Circulation of Rumors). As a small BD the challenges of constantly amending our WSP & compliance in general has overshadowed what or 90 year old firm main objective is. We take compliance quite serious and I'm proud to say that our clients are too quite pleased with our services. I would be remiss if I didn't share with you that we are spending more & more time on compliance regulations to the point that our WSP manual is nearly 300 pages vs. the 40 page manual that it once was not long ago. Trying to keep up is not only a difficult task but it's also frustrating as we don't have the luxury of in house council and when we're looking for an interpretation from our FINRA liaison they don't seem to respond to our email request ! I would prefer to see more emphasis spent on the parties that intentionally abuse or defraud our industry and clients. (Mr. Markopolos synopsis of our regulations shouldn't be taken lightly).

Again I am not trying to be disrespectful but I do would like to be heard !

Sincerely,

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