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ESTABLISHED 1913

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E-MAIL TO PUBCOM(@.FINRA.ORG

Marcia E. Asquith, Esq.  
FINRA - Office of the Corporate Secretary  
1735 K Street, NW  
Washington, DC 20006-1506

Re: FINRA Regulatory Notice 18-22

Dear Ms. Asquith:

The purpose of this letter is to provide the Financial Industry Regulatory Authority, Inc. with comments on the above referenced Regulatory Notice which was issued by FINRA on July 26, 2018.

I am a lawyer whose practice includes the representation of individual investors in their disputes with securities firms. I also taught business ethics at Suffolk University Business School for fifteen years.

It is my understanding that the Regulatory Notice requests comment on whether FINRA should require Respondents to produce certain insurance information upon an investor's request. It is my opinion that allowing investment firms to hide this information is harmful to the investing public. In lawsuits in Massachusetts and in the Federal Courts, the disclosure of this information is required. The disclosure facilitates settlement.

In the event that you should have any questions with respect to the preceding, please do not hesitate to contact me.

Yours very truly,

John E. Sutherland

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