

April 9, 2008

Ms. Nancy Morris
Secretary
Security and Exchange Committee
100 F Street, NE
Washington, DC 20549

Re: **File No. SR-FINRA 2007-021**

Proposed amending Rules 12206 and 12505 of the Customer Code
and Rules 13206 and 13504 of the Industry Code to address
motions
to dismiss

Dear Ms. Morris:

I am a licensed securities broker and a licensed insurance agent. I began my insurance career in September of 1969 and passed my securities exam in January of 1970 and have a Series One license. In my career I have always been very careful in investing my clients assets. We are in a very litigious society. Legitimate cases need to be heard. However, a system has been established to set reasonable time limits for cases to be presented and a system where cases that have little merit can be dismissed.

Most plaintiffs hire attorneys on a contingency basis and incur almost no expense. The attorney is "betting" on a large payoff and is willing to invest their time. As a defendant I am forced to pay my own expenses. Even with E & O coverage there is expense in money and time lost on my part. In addition we are forced to have our U-4s marked with a complaint. Even innocent, we are still "marked".

Arbitration and motions to dismiss allow professionals to review cases and make sure truly legitimate cases are heard in a timely manner. The court system is loaded. Legitimate cases may take too long before they can be presented. We need these options to allow people that have been wronged to get justice as soon as possible and brokers that are innocent to be free from the burden of unjust litigation.

We need the option of motions to dismiss.

Thank you for your time.

Sincerely,

Alan F. Hartman, CLU, ChFC

Legacy Partners of Georgia