

Submit Comments on 4-692 10-5-2016

Report on the Review of the Definition of 'Accredited Investor'

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Asking for a definition of “Accredited Investor” is offensive to Main Street, to the Accredited Investor in that too often, the initial client documents the client is told to sign on the dotted line for, only where indicated, reason give, ‘because the advisor must wait for the firm to give the client a client number before the rest of the information can be filled in.’

What is needed to clean up Wall Street is the definition backed up with documentation of an Accredited Advisor/Financial Consultant.

No. This is not a one off. This happens to one investor back to back only to learn post the matter being settled since FINRA has its own rules of Discovery which do not include the investor succeeding at getting Discovery from FINRA’s dues paying members, the brokers and brokerages the investment client is suing in a forum that Congress NEVER gave oversight to the FINRA or 100% FINRA owner, the NASD Holdings Co.

The Client will never get to see the Firm knew accounts were being robbed systematically for over a decade, the removal of the Investment Client’s social security number, wrong DOB, misspelled street name and wrong address number. The Client will never see who took the Client’s award points from point-per-dollar-spent. The Client will never get to see their accounts balances were manipulated over the decade, being changed, as it turns out, AFTER THE FINRA matter was filed, within two weeks by someone who left a “Hit List” on the Encrypted CD the firm sent to the client, the PDF’s created by an employee who left RBC in s2004, yet their signature is digitally encrypted in 2010.

The FINRA confirms that person is the architect of the RBC system. So what was that question?

The answer to what needs to be done is that the Client must receive authentication from the firm as to who that Financial Consultant is. No no no not Investment Advisor or Securities Broker, but, as FINRA lables them, Financial Consultant the organized coordinated message the FINRA creates, the “duck blind” hook with which FINRA pulls investment clients in to the FINRA silent silo claiming FOIA privilege, with the help of PIABA, a similar business league but of securities lawyers who know that Congress never gave the only SRO the Commission approved, the right of oversight of Investment Client and Investment Advisor complaint resolution, a twist the PIABA and the FINRA use to their advantage positioning the harmed Investment Client in to a corner where the Courts state, ‘you submitted to a DRS’, ignoring the fact the DRS is not FAA compliant nor neutral.

You cannot get a neutral adjudication in a forum belonging to the dues collecting business league the people you are suing belong to.

Moreso, the FINRA “members” are licensed on a state by state basis which puts them under the UCC for a state by state prosecution.

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The regs that need to be written are

- 1- Making it required that an Investment Client be given the E&O information of any ‘financial consultant’ they work with allowing the complainant a chance of getting stolen funds back above the current FINRA formula of 1/10th claimed
- 2- Requiring that ALL complaints- denied, settled, expunged appear on the FINRA brokercheck timeline currently making most Brokercheck posted look like choirboys, appear on the “brokerages” U4 and Brokercheck, too
- 3- Holding all interns and other staff culpable for crimes of the boss in that they benefited from the bosses crimes
- 4- Requiring all clients receive a copy of the contracted name the Brokerage is providing Clearing access to

As you can see, the Investment Client is the one needing proof their life savings are being turned over to an accredited Financial Person. Moreso, what every client needs to be given by claims that went in to FINRA, is their monies back along with jail sentences for the Cartels abuse of Congress’ intent, along with complicit SEC employees and PIABA involved in misleading Investors that the NASD or the FINRA was where they go.

Quite the cottage industry, n’est ce pas?

Cartel..... spelled.... F-I-N-R-A. Regulate these crimes get turned over to Cops instead of keeping them on FINRA’s hamster wheel away from “guilty or not guilty pleas.

Sincerely

Carrie Devorah

PUBLIC INVESTOR 12-03894

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Founder

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