



Administrative Proceeding

File No. 3-16590

In the Matter of

**BRIAN J. OURAND**

Respondent

**PRE-HEARING BRIEF**

**Hon. Carol Fox Foelak**

The Respondent, Brian J. Ourand, respectfully submits this Pre-Hearing Memorandum in support of his position that he did not willfully violate Sections 206 (1) and (2) of the Advisers Act.

**INTRODUCTION/STATEMENT OF FACTS**

My basic responsibilities as a Financial Advisor for my clients included bill paying, tax preparation and investment planning. Additional responsibilities involved will preparation, helping draft pre-marital agreements, coordinating insurance policies (life, auto, home), securing mortgage loans, working with various client family members, and performing many other personal and business related requests. I had great relationships with my clients because of everything I did for them.

**CONCLUSION**

I firmly believe and the Court will conclude that I acted in good faith and that there was no intent to defraud. With the witnesses I question and with the exhibits I present, the Court will have a better understanding of how business was conducted for the professional athletes in question. In addition, the Court will determine that the investigation into my activities with each of my clients was not only deeply flawed, it was simply not objective and very damaging to me, personally and professionally.

Respectfully submitted,

Brian J. Ourand

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Chicago, IL ██████

Dated December 7, 2015