



KENNY AKINDEMOWO

Administrative Proceeding FILE NO. 3-17076

Request for Review of Disciplinary Action Taken by FINRA

I first became licensed as a registered representative with ("Pruco") in approximately January of 2001. I remained with Pruco until approximately June of 2001, then affiliated with various broker-dealers, until I became a registered representative with Waddell and Reed, Inc. in October of 2008. I remained with Waddell and Reed until July of 2009. While I was affiliated with these broker dealers I received many awards and commendations including rookie of the year at Pruco securities and agent of the year at Metlife insurance.

I was not affiliated with any broker-dealer from approximately July of 2009 until July of 2010. In approximately July of 2010, I returned to Pruco, where I remained until October 2011. I am not currently affiliated with any broker-dealer.

I have never had a complaint against me arising out of my securities business or my affiliation with any FINRA member. Ms. Baufield's and Ms. Garcia's allegations involve private dealings and friendships that went sour. The transactions involved have nothing to do with my securities business, and no FINRA rules were violated.

I should not be punished in a way that affects my livelihood, when the transactions at issue were private matters that had nothing to do with any securities or with my affiliation with any FINRA member. The disciplinary action by FINRA is too extreme and unwarranted.

I did not violate any FINRA rules, as the above matters did not involve securities, nor did they involve my securities business or my affiliation with any FINRA member.

Rule 2010 provides that, "a member, in the conduct of its business, shall observe high standards of commercial honor in just and equitable principles of trade." This rule has no applicable application to the present matter, because the transactions at issue did not involve the conduct of my business, but were rather personal transactions involving personal friends.

Rule 2020 provides that, "no member shall affect the transaction in, or induce the purchase or sale of, any security by means of an manipulative, deceptive or other fraudulent device or contrivance." This rule has no application to the present matter, because neither transaction involved a security.

Rule 3030 provides that, "no person associated with a member in any registered capacity shall be employed by, or accept compensation from, any person as a result of any business activity, other than a passive investment, outside the scope of his relationship with his employer firm, unless he has provide prompt written notice to the member." This rule has no application to the present matter, because I was not associated with a FINRA member at the time of my personal dealings with Ms. Garcia and my transaction with Ms. Baufield simply involved her loaning him money as a friend.

Rule 3040 provides that "no person associated with a member shall participate in any manner in a private securities transaction except in accordance with the requirements of this Rule." This rule has no applicability to the present matter, because: (i) no securities transactions were involved; and (ii) I was not associated with a FINRA member during my interactions with Ms. Garcia.

I have never had a customer complaint involving my securities business. I have dealt with all investors fairly and ethically, and I did not violate FINRA Rules. I don't deserve the sanction FINRA handed down for my conduct in the present matter.

FINRA alleged that I failed to accurately update my U4 this is not true I updated my U4 with every new information and my supervising director always reviews this update and always approves all new update if there are any inaccuracies in my U4 he should be questioned or sanction for failure to supervise but no charges was ever brought against him

FINRA and Pruco securities in their quest to force Ms Garcia and Ms Baufield to testify they offered to pay them in return for their testimony this is an inducement and the payment to both of them prejudice their testimonies against me

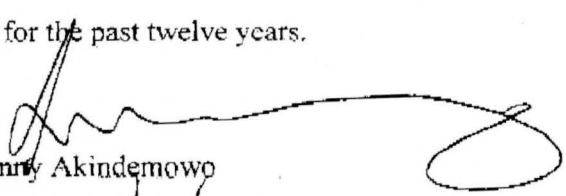
The proceedings were not transparent and fair FINRA was the judge, the prosecutor and the Jury I did not receive a fair hearing because the punishment was already determine before hearing was schedule and each member of the hearing panel was given one instruction to approve FINRA'S Recommendation for sanction. There was absolutely no diversity among the hearing panel members

1. CONCLUSION

When the issue was first brought to the attention of Pruco securities Pruco declined to sanction or pursue any action against me because they said my relationship with Ms Garcia and Baufield is personal and has nothing to do with my registration as a registered rep or my business as a financial Advisor. Pruco decided to report issue to FINRA when I announced my resignation to join Mutual of Omaha this is a retaliation a violation of FINRA and SEC policies For the reasons stated, I respectfully request that



the matter and the sanction handed down by FINRA be dismissed or reviewed, and that I be allowed to continue to faithfully and honorably serve the citizens of Minnesota, as I have done for the past twelve years.


Kenry Akindemowo

4/18/2014

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