

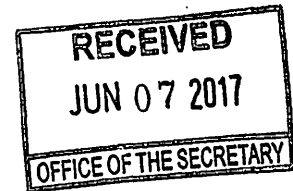
UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION
June 5, 2017

In the Matter of:

DAVID K. MALLET
C.D. No. 5145838

FINRA CASE NUMBER
2015047762601

3-18015



NOTICE OF APPEAL
TO THE U.S. SECURITIES AND EXCHANGE COMMISSION

Comes now David K. Mallett hereinafter referred to as "Respondent", by his attorney, and for his Notice of Appeal states:

1. On May 8, 2017, Respondent received notice from Financial Industry Regulatory Authority (FINRA) that he was suspended from Association as of May 8, 2017.
2. Respondent disagrees with FINRA'S decision and hereby appeals that decision to the U.S. Securities and Exchange Commission.
3. For cause, Respondent states:
 - a. He did not fail to report the arrest incident described in paragraph 1 of FINRA'S letter dated September 7, 2016. While not reported on a specific form, on July 18, 2016, the arrest was published in the local newspaper and the undersigned responded to a telephonic request from Wunderlich's attorney, Jim Ritt and provided him with an oral summary of the events and sent copies of all documents in his possession related to the arrest and subsequent charges. A copy of that e-mail is attached hereto as exhibit 1.
 - b. On September 15, 2015, he was not aware that the lien should be reported to his employer. Less than three months later, he made his employer aware of the filing of the lien.
 - c. On or about August 21, 2016, Respondent moved from his former marital home at 4801 Brandywine Cove, North Little Rock, AR 72120. He filed forwarding orders with the United States Postal Service, but did not receive any of the letters from FINRA.

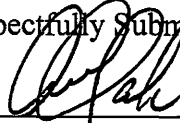
d. Although working for Wunderlich, he did not receive any correspondence from his employer.

e. FINRA failed to exercise due caution/diligence when trying to serve Respondent with Notices.

f. Respondent suffered from a medical disability during a majority of the time that the events described in the FINRA letter occurred that made it difficult for him to make rational decisions.

4. Respondent resides at [REDACTED] Greenbrier, AR [REDACTED]. He may be contacted directly or through the undersigned. His phone number is [REDACTED]. E-mail is [REDACTED]@gmail.com.

Respectfully Submitted:



Andrew L. Clark AR Bar No. 73018

1 Samantha Lane

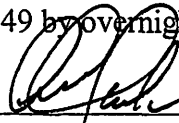
Maumelle, AR 72113

501-658-0294

lawyerclark@msn.com

CERTIFICATE OF SERVICE

I hereby certify that I have served copies of the foregoing Notice Of Appeal upon FINRA to Alan Lawhead, Esq. Office of General Counsel FINRA 1735 K Street, NW, Washington, D.C. 20006 and upon The Office of the Secretary, U.S. Securities and Exchange Commission 100 F Street, NE, Mail Stop 1090, Washington, D.C. 20549 by overnight courier service.



Andrew L. Clark

FW: David Kevin Mallett

Andrew Clark

Mon 7/18/2016 1:53 PM

[REDACTED]@gmail.com <[REDACTED]@gmail.com>;

📎 3 attachments (4 MB)

Information and Warrant.pdf; Police Report.pdf; [REDACTED]

Andrew L. Clark
Attorney at Law (Retired)
Certified Mediator for Civil and Domestic Relations
1 Samantha Lane
Maumelle, AR 72113
501-658-0294

From: lawyerclark@msn.com
To: jimritt@wundernet.com
Subject: David Kevin Mallett
Date: Mon, 18 Jul 2016 13:51:02 -0500

Mr. Ritt: Here's the information you need.

Andrew L. Clark
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Certified Mediator for Civil and Domestic Relations
1 Samantha Lane
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EX 1