

BEFORE

THE UNITED STATES SECURITY AND EXCHANGE COMMISSION

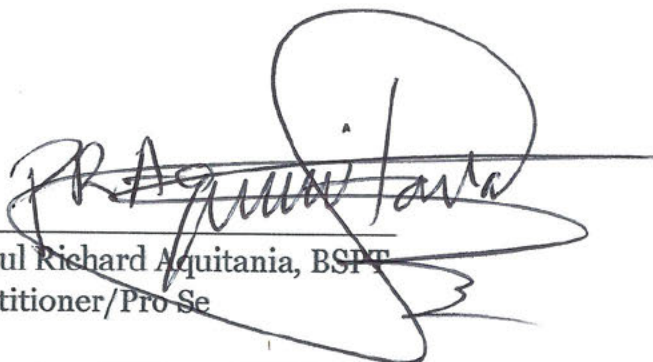
WASHINGTON, D.C. 20549

CERTIFICATE OF COMPLIANCE

File No. 3-20793

I, Paul Richard Aquitania, certify that this Brief and Preempt complies with Commission's Rules of Practice by omitting or redacting any sensitive personal information describe in Rule of Practice 151(e).

Respectfully submitted by,


Paul Richard Aquitania, BSPT
Petitioner/Pro Se

[REDACTED]



June 21, 2022

CERTIFICATE OF SERVICE

I, Paul Richard Aquitania, certify that on this 21st day of June 2022 I have brought a copy of the foregoing Notices In Pursuant to Commission Rule of Practice 450 (a)(b) 17 C.F.R. § 201.420 (e) Action and Title 42 USC Section 1985 Title 18 USC Sec 371 & 372. In the Matter of the Application of Paul Richard Aquitania. Administrative Proceeding File No. 3-20793, to be filed through the SEC's eFAP system on:

Her Excellency Madam Vanessa Countryman
Secretary Securities and Exchange Commission
100 F Street, NE Washington, DC 20549-1 090

And send by electronic mail on:

Madam Megan Rauch
Associate General Counsel, FINRA
1735K Street, NW Washington, DC 24406
(202) 728-8863
megan.rauch@finra.org
nac.casefilings@finra.org
nora.sassounian@finra.org
cheryl.abuan@finra.org


Paul Richard Aquitania, BSPT
Petitioner

DDTWIN




BEFORE THE
UNITED STATES SECURITY AND EXCHANGE COMMISSION
WASHINGTON, D.C.

In the Matter of the Application of

Paul Richard Aquitania

File No. 3-20793

June 21, 2022

TO ALL PARTIES AND THEIR ATTORNEY OF RECORD: PLEASE COME AND TAKE NOTICE: PETITIONER SUBMITS ITS BRIEF; ANSWERS TO COMMISSION ORDER SCHEDULING BRIEFS PURSUANT TO RULE OF PRACTICE 450 (A) SECURITY ACT OF 1934; THE ABOVE CAPTIONED SEC FILE NUMBER IS A SUPPOSITIOUS VIOLATES U.S. CONSTITUTION PURSUANT TO TITLE 42 USC SEC 1985 AND TITLE 18 USC 371 AND 372

Rule of Practice 202 (d) and 320 Rule 320 restate the Administrative Procedure Act (APA) standard for the reception of evidence. 5 U.S.C. § 556(c) (3) and (d) 17 CFR 420(c) (e) and 150 et al

SEC Commissioner[s], an independent honorable personnel of an independent agency of a FEDERAL Government of the United States of America, working in concert under Security Exchange Act of 1934, orders Petitioner and Respondent et al to produce pertinent briefs in support to application for review and Respondent et al in opposition. Petitioner is hereby believe without any string attach, among commission few discretionary but arbitrarily acts 1] order scheduling briefs 2] suggests that the brief is a dispute as to whether Petitioner's Account with FINRA member firm had incur OVERDRAWN solely in a specific acts of FINRA member firm, due to Finra's Agent in the name of Paul Austin, in the behest of Finra member firm in the name of Merrill Edge, and SEC, actually right-after FINRA point blank admission connecting the dots between the three elites receiving a bad news, that one of the Respondents refused to accept the complaints. Petitioner can only assumed that after the words got out in letter sent via email and to Finra Portal. FINRA quickly denied initial claim as ineligible for Forum, which is seems a sudden maneuver without apparent reason rather utilized overused Customer Rule 12203(a) or Code Rule 13203(a), follows an statement "we decline to accept your claim, accordingly, we closed this case without prejudice" attached hereto Exhibit #A January 25, & 28 2022 Letters to FINRA, and FINRA Dispute Resolution Party Case Submissions: DR0452069 01/28/2022 at 07:06:38pm Case ID: 021-02924 and DR0450922 01/25/2022 at

03:10:54pm; Exhibit #A2 January 6, 2022 Amended Complaint and removal of Agent Paul Austin, and Exhibit #A3 Finra Dispute Resolution Party Case Submission Tracking Number: DR0446528 Submitted 01/06/2022 at 11:30:03PM and FINRA Certified Index Page 2 #A2

In addition, Finra may have also declined to accept Petitioner's claim after learning that Petitioner is actually not seeking monetary damages and after FINRA toying allege monetary damages, a inference medieval sorcerer style put in numbering as damages without Petitioner knowledge. Neither permission nor he had been asked about it such FINRA bold but incompetent knows no bound, it is only fair and appropriate to Petitioner sought immediate assistance including justice to SEC. Apparently, this seeking is no longer achievable the fact that, Commission ruled themselves which violate allotted prescriptive time actually anticipate no time for briefing, it appears they glean from them that Commissioners' allows respondent et al to recompose after blown mining Petition to Inform The Commission on April 20, 2022, following a Petition to Produce on May 16, 2022 exposes both, a bit late to repair damages.

17 C.F.R. § 201.402(e) see also Paul Aquitania, Exchange Act Release No. 94551, 2022WL 969926 (March 30, 2022) Granting Finra's request for an extention of time to file the certified record)

I am not stepping on anyone shoes, as a party to subject matters I notice conspiracy all along. The SEC Commissioners et al does not have to prove the existence of a formal or written agreement, or an express oral agreement spelling out the details of the/ their understanding. Commissioners also does not have to prove that all members of the conspiracy directly met, or discussed between themselves their unlawful objectives or agree to all details, or agreed to what the means were by which the objectives would be accomplished in Overt Act, unfortunately failed violates Title 42 USC Section 1985.

SEC and its commissioners are not even required to prove that all of the people and entities named in this investigation or would be indictment are, in fact, parties to the agreement, or that all members of the alleged conspiracy are named or, that all members of the conspiracy are even known. What the United States Constitution must prove beyond a reasonable doubt is that ***two or more*** persons in some way or manner arrived at some type of agreement, mutual understanding, or meeting of minds to try to accomplish a common and unlawful objective. Title 18 USC Sec 371 and 372 and RICO ACT Title 18 USC Sec 1970 Title 42 USC Sec 1985

The United States Constitution may consider both direct evidence and circumstantial evidence to deciding whether the government [SEC, COMMISSIONERS, and FINRA et al has proved beyond a reasonable doubt exit in commission of Failed Overt Act. Title 18 USC Sec 371 and 372

Your Honors, those previous motions consisted more than enough briefs as you wanted in the first place, honorable commission if I may have, rather those were consisted of serious implications that Finra is out of line, and control, the latter had came up with monetary numbering themselves to represent the Petitioner allege monetary claims which at this moment is none. My motion on May 16, 2022, is clear as an ice "this is over, before it begins". Attached hereto Exhibit B FINRA Dispute Resolution Party Case Submission Tracking No DR0444314 Case ID 21-02924, Exhibit #B2 and B3 photo Copy of a JPMorgan Check in the amount of \$2,200.00 bearing number 348; and \$15,200.00 bearing Check number 349; Exhibit #B4: FINRA Dispute Resolution Party Case Submission dated 12/27/2021 at 08:41:36 PM Tracking Number:DR0444325 Page 1 and 2and Tracking Number DR0444314 at 06:48:00PM page 2

I am very disappointed not only to that record manipulation worse has disappeared. I notice data not mine Finra have gotten a \$22, 200.00 extra Cash. In pursuant to record review these are the monetary investment put in the Merrill Edge Account ending: xxxx, deposit \$15,500.00, \$5,500.00, \$2,200.00 and \$2,700.00 and change in the name of our good Jesus Christ, FINRA really know how to read numbers? They deliberately sabotage the Petitioner info for the second time around where is this \$22,000.00 money derived from? Attached hereto is a cop[y of FINRA Dispute Resolution Party Case Submission, and canceled photo copies of JP Morgan Chase Checks and in pursuant to redaction rules account numbers and routing numbers were deliberately hidden in compliance with the aforesaid Rule of Practice.

It is a sheer disbelief that the Commissioners managed to figure it out the core of this complaint stated "Whether his account with the FINRA firm member had became OVERDRAWN unquote. You are so smart Sir/Madam.

Question how did you know? That this is the underlying subject matter arising out in the complaints and petition for review. As far as the documentary evidences are concerned includes motions filed, there neither one nor mentioned once allege OVERDRAWN. Party Case Submission and photo copy of checks and statement bearing all deposits made to Merrill Edge. In hypothetical situation; Your Honors you said OVERDRAWN in contras FINRA said nope there's added \$22,200.00 more altogether resulting a grand total of \$67, 700.00 these alleged stocks that had been purchased would not OVERDRAWN the FINRA member firm account holder because according to FINRA the total amount used to purchase allege stocks in February 2015 was whooping \$56,000 minus \$67,700.00 there is a difference of \$11,000.00, a positive not negative, therefore I would asks the commissioners' as to what is going on here? Where is overdrawn situated now? Other thing is SEC was named in Fresenius Global Release Agreement on October 17, 3019 did you bend backward to indulge them? Honorable Security Exchange Commission and Commissioners should have recused or inhibited upon learning this conflict of interest. Attached hereto Exhibit #C FINRA Dispute Resolution Party Case Submission Tracking Number

DR0446528 on 01/05/2022 at 11:030:03 pm Merrill credited the account with the following amounts \$15, 500.00, \$5,500.00 and \$2,200.00 NOT \$22,200.00 FINRA recorded and certified documents to falsely incriminate the US Constitution, Federal Intelligence liaison and IRS. If the latter amount draws a scenario as to what the commissioners were implying, however, actuality and actionably this should be construed an addition of a indiscretion, and may no longer be construed excuse or error, both indiscretions are now meant intentional as one planting of evidences.

Multiple conspiracies are separate agreements operating independently of each other, however, a finding of a master conspiracy that includes other, sub-schemes does not constitutes a finding of multiple, unrelated conspiracies. A single conspiracy may exist when there is a continuing core agreement that attracts different members at different times and which involves different sub-groups committing acts in furtherance of overall objectives. In determining whether a series of events constitutes a single conspiracy or separate and unrelated conspiracies it should consider whether there was a common goal among alleged conspirators, wheteher there existed common or similar methods; whether and to what extent allged participants overlapped in their various dealings; whether and to what extent the activities of the allege conspirators were realeted and independent: How helpul each alleged conspirator's contributions were to the goals of the others and whether the scheme contemplated a continuing objective that would not be achieved without the ongoing cooperation of all the conspirators.

see Paul Aquitania May 16, 2022 Petition To Compel Produce Record and Continuing Assaults To Falsely Incriminate FIL -Petitioner

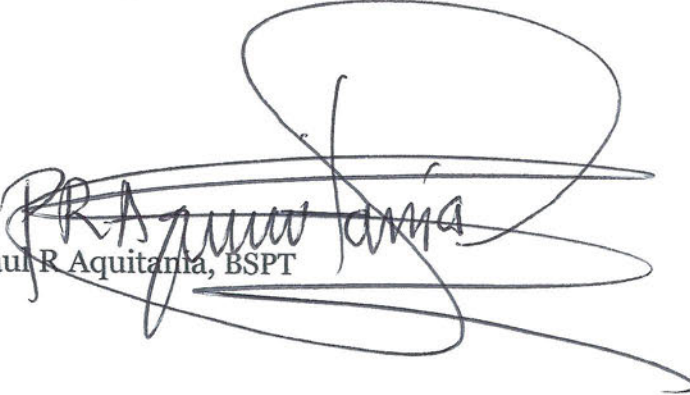
No law shall exist, and no Action shall be or may be pending or threatened in or before any Governmental Authority, which [i] purports to enjoin, prohibits, restrain or otherwise affect the consumption of an unlawful acts, transactions that contemplated in the foregoing, or [II] has or could reasonably be expected to have a material adverse affect on or impair the ability of the Petitioner to perform its obligations hereunder or of to enforce Petitioner's rights pursuant to accorded rights under the US Constitution. Any other action violates Title 42 USC Sec 1985, Title 18 USC Sec 371, 372 and 1970 Gustavo Act

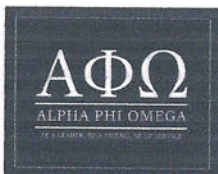
I hereby notify the SEC commissioners this is an attempt to preempt and will not result in a violation of US Constitution and such action is also necessary as to not to create condition which may expressed hope that cooperation in this area based on observation on the factors that inexorably to deepened crisis will be conducive to prevention and is the only way under such rare circumstances in the foregoing underlying subject matter any attempt to destroy records again is considered an enemy of the state.

If I wanted or have grudges with Bank of America, why I walked away six years ago? If I wanted to do a scene that could be applied sooner rather than six years ago, I am under no such obligation to neither make revenge nor amend in accordance with respective duties under the United States Constitution, with all due respect the thing is, someone told us that you have infinite power too. I just want to get a confirmation with that your HONORS.

Exhibit #D Merrill Partial Copy of Monthly Statements January 31, 2015 through February 27, 2015 Page 5 of 8 and February 28, 2015 through March 31, 2015 Page 2, 3 of 6

Respectfully Submitted by


Paul R Aquitania, BSPT



Paul Richard Aquitania
[Redacted]

RETURN TO SENDER

UNITED STATES
POSTAL SERVICE

Retail

P

US POSTAGE PAID

\$9.90

Origin: 91205
01/08/22
0530150714-33

PRIORITY MAIL 2-DAY®

0 Lb 8.90 Oz

1006

-R-T-S- 32081-RFS-1N *95 01/21/22

RETURN TO SENDER
REFUSED
UNABLE TO FORWARD
RETURN TO SENDER



USPS TRACKING® #



9505 5133 7246 2008 5333 00

And
Me
26'
Poi...

RFS

RUF

OS Received 06/21/2022

Handwritten initials/signature

Returned Mail to Mr. Andrew Rodriguez.pdf(1/25/2022 3:12:16 PM)

A handwritten signature in black ink, consisting of a stylized 'A' followed by a horizontal line extending to the right.

Submitted Documents by Party

Subject Posted on 01/25/2022

Party Case Submission Form for Tracking Number DR0450922.pdf(1/25/2022 3:12:10 PM)

Returned Mail to Mr. Andrew Rodriguez.pdf(1/25/2022 3:12:16 PM)

A handwritten signature in black ink, consisting of a stylized, cursive script that is difficult to decipher. It appears to be a single name or set of initials.

**Party Case Submission Form for Tracking Number
DR0450922.pdf(1/25/2022 3:12:10 PM)**

Handwritten signature or initials in black ink, consisting of a stylized 'R' followed by a stylized 'A'.

FINRA Dispute Resolution Party Case Submission

Your form was submitted to FINRA successfully. Please print this page if you wish to retain a copy for your records.

Tracking Number: DR0450922

Case ID: 21-02924

Case Name: Paul Richard Aquitania vs. Merrill Lynch Pierce Fenner & Smith Inc., Paul Vincent Austin, Andre L. Green, Andre Dupre, et al.

Submitted By: Paul Aquitania

Submitted Date: 01/25/2022 03:10:54 PM

Payment Method: I request a waiver of the fees associated with this filing.

Attachments

Attachment Type	File Name	Description
Other	Returned Mail to Mr. Andrew Rodriguez.pdf	Returned Mail

I affirm that I have complied with FINRA rules relating to protecting personal confidential information in documents filed with FINRA

Document Service

Do NOT Serve Attachments on Any Parties in this Case

I affirm that there are no documents attached to this submission that must be served on other parties to this case.

FINRA's Voluntary Mediation Program

I am interested in FINRA's voluntary mediation program. Please contact me.

~~EXHIBIT~~

~~HA~~

FINRA Dispute Resolution Party Case Submission

Your form was submitted to FINRA successfully. Please print this page if you wish to retain a copy for your records.

Tracking Number: DR0450922

Case ID: 21-02924

Case Name: Paul Richard Aquitania vs. Merrill Lynch Pierce Fenner & Smith Inc., Paul Vincent Austin, Andre L. Green, Andre Dupre, et al.

Submitted By: Paul Aquitania

Submitted Date: 01/25/2022 03:10:54 PM

Payment Method: I request a waiver of the fees associated with this filing.

Attachments

Attachment Type	File Name	Description
Other	Returned Mail to Mr. Andrew Rodriguez.pdf	Returned Mail

I affirm that I have complied with FINRA rules relating to protecting personal confidential information in documents filed with FINRA

Document Service

Do NOT Serve Attachments on Any Parties in this Case

I affirm that there are no documents attached to this submission that must be served on other parties to this case.

FINRA's Voluntary Mediation Program

I am interested in FINRA's voluntary mediation program. Please contact me.

EXHIBIT A

Paul Richard Aquitania



FINRA Dispute Resolution
300 S. Grand Avenue, Suite 1700
Los Angeles, CA 90071
Tel: (213) 613-2680
Fax: (301) 527-4766
westemprocessingcenter@finra.org

January 25, 2022

Subject: Mail Returned

re: FINRA CASE ID: 21-02924

Dear Sir and Madam,

The electronic communication provide earlier and this letter is to advise you that the US Postal Service returned one of the Respondent's mails addressed to Mr. Andrew Rodriguez, Vice President Merrill.

US Postal Service returned the underlying subject matter back to sender noting that the addressee had refused to accept and acknowledge the service mail.

In pursuant to US Postal Service protocol a memo regarding a refusal by addressee is utilized to address this issue. Governing US Postal Service Mandated Law

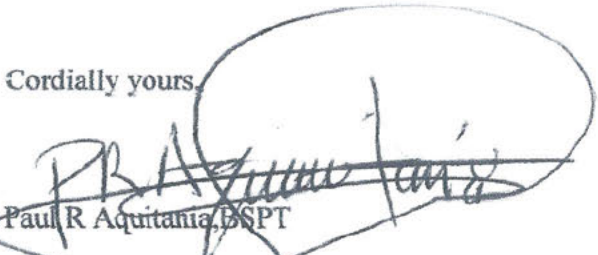
The recipient address was entered correctly as provided by Ms Abuan

Thank you, please find attached photocopy of mail and US Postal memo.

The US Postal Service comment made in front of the large brown envelope was submitted a moment ago via FINRA Portal.

Thanks so much and God Blessed

Cordially yours,



Paul R Aquitania, BSPT

Enclosure: Front Photocopy of Mail

EXHIBIT # A

FINRA Dispute Resolution Party Case Submission

Your form was submitted to FINRA successfully. Please print this page if you wish to retain a copy for your records.

Tracking Number: DR0451072

Case ID: 21-02924

Case Name: Paul Richard Aquitania vs. Merrill Lynch Pierce Fenner & Smith Inc., Paul Vincent Austin, Andre L. Green, Andre Dupre, et al.

Submitted By: Paul Aquitania

Submitted Date: 01/25/2022 07:47:00 PM

Payment Method: I request a waiver of the fees associated with this filing.

Attachments

Attachment Type	File Name	Description
Other	Letter to FINRA Returned Mail by Mr. Andrew Rodriguez, VP Merrill.pdf	SUPPORTING EVIDENCE
Other	Returned Mail to Mr. Andrew Rodriguez Copy.pdf	front mail memo from US Postal

I affirm that I have complied with FINRA rules relating to protecting personal confidential information in documents filed with FINRA

Document Service

Serve Attachments on ALL Parties in this Case

I affirm that I am serving a copy of these documents on all other parties to this case, either through the DR Portal by using the "Serve Attachments" option on this form or by other means for parties not required to use the DR Portal. For parties I am serving by other means, I am providing proof of service. (Exception: You are not required to serve a copy of your arbitrator or mediator ranking sheet or fee waiver request to the opposing parties.)

FINRA's Voluntary Mediation Program

I am interested in FINRA's voluntary mediation program. Please contact me.

A
EXHIBIT

FINRA Dispute Resolution Party Case Submission

Your form was submitted to FINRA successfully. Please print this page if you wish to retain a copy for your records.

Tracking Number: DR0452069

Case ID: 21-02924

Case Name: Paul Richard Aquitania vs. Merrill Lynch Pierce Fenner & Smith Inc., Paul Vincent Austin, Andre L. Green, Andre Dupre, et al.

Submitted By: Paul Aquitania

Submitted Date: 01/28/2022 07:06:38 PM

Payment Method: I request a waiver of the fees associated with this filing.

Attachments

Attachment Type	File Name	Description
Other	Response to FINRA Portal Posted Document 1-28-22.pdf	SUPPORTING EVIDENCE
Other	Letter To FINRA 1-25-2022.pdf	SUPPORTING EVIDENCE
Other	Service Letter to Andrew Rodriguez (2).pdf	Your Letter 12-31-21

I affirm that I have complied with FINRA rules relating to protecting personal confidential information in documents filed with FINRA

Document Service

Serve Attachments on ALL Parties in this Case

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EXHIBIT # A

Paul Richard Aquitania
[REDACTED]
[REDACTED]
[REDACTED]

January 28, 2022

FINRA Dispute Resolution
Attn: Cheryl Abuan and Norma Sasossounian
300 S. Grand Avenue, Suite 1700
Los Angeles, CA 90071
Tel: (213) 613-2680
Fax: (301) 527-4766
Westernprocessingcenter@finra.org

Re: FINRA Case ID 21-02924

Dear Sir/Madam,

This letter is to advise you that the Petitioner accessed customer online portal this morning, and notice a new file is posted, upon further examination Portal has records pertains to Petitioner submitted exhibit, a front photo copy of brown envelope with memo or note "returned mail" the underlying subject matter was initially and originally sent to Andrew Rodriguez and was returned by the US Postal Service stating Undeliverable or RFS. Also a second duplicate copy of same was provided for further clarification. The initial submission using FINRA Portal consisted of the exhibit and a couple of words such as "other" and "evidence" However, email consisted with an explanation as to what transpired furnishes FINRA's personnel and Respondent's representative Cereo Unal via electronic communalization, which Petitioner tried his best attaching the underlying subject matter but yahoo e-mail system won't accommodate the size scanned document, hence, Petitioner have actually decided to availing FINRA customer portal service. The aforementioned exhibit is separated with the letter of explanation.

Please see attached copy of the email to FINRA and Ceren Unal as well as Ms. Cheryl Abuan letter to Petitioner situated in FINRA Customer portal dated 12-31-2021. Record shows Mr. Andrew Rodriguez specific address with Finra's Submission Agreement, the same address utilized by Petitioner.

Thanks so much, if you may have any further questions, please do not hesitate to contact me.

Sincerely,


Paul R. Aquitania, BSPT

encl: Email to FINRA & Cerna Unal 1-25-2022 and Ms. Abuan correspondence 12-31-21

(1)



FINRA Dispute Resolution Party Case Submission

Your form was submitted to FINRA successfully. Please print this page if you wish to retain a copy for your records.

Tracking Number: DR0445079

Case ID: 21-02924

Case Name: Paul Richard Aquitania vs. Merrill Lynch Pierce Fenner & Smith Inc., Paul Vincent Austin, et al.

Submitted By: Paul Aquitania

Submitted Date: 12/30/2021 08:33:30 PM

Payment Method: I request a waiver of the fees associated with this filing.

Attachments

Attachment Type	File Name	Description
Amended Claim	Amendment of the Complaints, 12-30-21 Proof of Service 12-30-21 and Exhibits #2A and #4A.pdf	Amended Complaints Proof of Srv.Exh2A 4A
Other	United Airlines Priority Boarding March 3, 2015 and eTicket Itinerary and Receipt January 25, 2015 EXHIBIT #2A.pdf	Exhibit #2A

I affirm that I have complied with FINRA rules relating to protecting personal confidential information in documents filed with FINRA

Document Service

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FINRA's Voluntary Mediation Program

I am interested in FINRA's voluntary mediation program. Please contact me.

EXHIBIT
A2

UNITED **Priority Boarding**D4CQEG 31D 67
UA 360**AQUITANIA/PAULRMR**

UA-*****855

Los Angeles to Washington-Dulles

UA 360

GATE

BOARDING BEGINS

SEAT

LAX-IAD**Not Yet
Assigned****7:16 AM****31D****BOARDING
GROUP
2**

Tuesday, March 03, 2015

Boarding ends: 7:46 AM

Aisle

Flight departs: 8:01 AM

Economy

Flight arrives: 3:54 PM

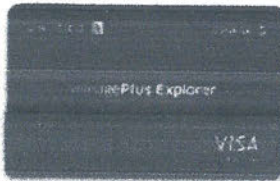
Confirmation: D4CQEG

Ticket: 01624361370505

A STAR ALLIANCE MEMBER **Los Angeles terminal consolidation**

Starting in October 2014, all United departures and most arrivals will use LAX Terminals 7 and 8. Premier Access check-in at LAX has been relocated from Terminal 6 to Terminal 7, and as of October 27, the United Club in Terminal 6 will close.

Bag check must be completed no later than 45 minutes before departure. Each traveler is allowed to carry-on one bag and one personal item. Please note your bag must not exceed 45 in or 115 cm (L+W+H) or weigh more than 40 lbs or 18 kg. You must be at the boarding gate at least 15 minutes prior to departure. Failure to be at the boarding gate by the required time could result in the loss of your seat without compensation, regardless of whether you are already checked in or have a confirmed seat. Refer to United's Contract of Carriage at united.com for more information on United's terms and conditions.

**Earn 30,000 bonus miles and get these great Card benefits:**

- Free Checked Bag*
- Priority Boarding
- 2 United ClubSM Passes

For additional details and to apply, go to UnitedExplorerCard.com.

*FREE CHECKED BAG: Free bag is for first checked bag for the primary cardmember and one companion traveling on the same reservation. Service charges for additional/over sized/overweight bags may apply. Purchase of tickets with Card is required. See united.com/checkedbag for details.
 Account subject to credit approval. Restrictions and limitations apply. United MileagePlus credit cards are issued by Chase Bank USA, N.A. Offer subject to change. See www.UnitedExplorerCard.com for pending small assets details.
 United MileagePlus Miles, awards, and benefits issued are subject to the rules of the United MileagePlus program. For details, see www.united.com.

Exhibit #2A

FINRA Dispute Resolution Party Case Submission

Your form was submitted to FINRA successfully. Please print this page if you wish to retain a copy for your records.

Tracking Number: DR0446528

Case ID: 21-02924

Case Name: Paul Richard Aquitania vs. Merrill Lynch Pierce Fenner & Smith Inc., Paul Vincent Austin, Andre L. Green, Andre Dupre, et al.

Submitted By: Paul Aquitania

Submitted Date: 01/06/2022 11:30:03 PM

Payment Method: This filing does not require any (additional) fees to be paid.

Attachments

Attachment Type	File Name	Description
Other	Proof of Service 1-6-22, Additional Case, Expulsion Paul Austin FINRA Submission Agreement 1-6-22 Schedule B 1040 IRS Letter 10321.pdf	SUPPORTING EVIDENCE

I affirm that I have complied with FINRA rules relating to protecting personal confidential information in documents filed with FINRA

Document Service

Serve Attachments on ALL Parties in this Case

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FINRA's Voluntary Mediation Program

I am interested in FINRA's voluntary mediation program. Please contact me.

~~Handwritten signature~~
A A2

1 PAUL RICHARD AQUITANIA, BSPT

2 [REDACTED]

3 PROOF OF SERVICE

4 UNITED STATES OF AMERICA
5 STATE OF CALIFORNIA
6 COUNTY OF LOS ANGELES

7 FINRA CASE ID: 21-02924

8 FIERA Arbitration Court
9 300 S GRAND AVE., SUITE 1700
10 LOS ANGELES, CA. 90071
11 TEL: 213-613-2680

12 I am over the age of 18 and a party to this action.

13 I am a residence in the aforesaid County, [REDACTED], USA Address is:

14 On January 6, 2022 I served the foregoing document(s) described as:

- 15 1) FINRA Arbitration Submission Agreement January 6, 2022
16 2) Additional added complaint and Removal of Paul V Austin
17 3) IRS Letter regarding IRC 168(k)(7)
18 4) Schedule B Form 1040

19 To: Merrill Lynch Pierce Fenner & Smith Inc.
20 Andre L Green, Andre' Dupre' and Andrews Rodriguez

21 Address: 4802 Deer Lake Drive East West
22 Jacksonville, Florida 32246

23 Facsimile: 866-341-9047
24 866-994-7807

25 [X] (By Facsimile) I utilized Electronic or Facsimile transmission located in the City of
26 Glendale, California.

27 [] I served a true and correct copy by US Mail and I am aware that on or about the
28 foregoing motion / paperwork catered.

I declare under penalty of perjury under the laws of the State of California that the
foregoing is true and correct.

DATED: January 6, 2022


PAUL RICHARD AQUITANIA
Declarant

(1)

EXHIBIT A2

1 FINRA Dispute Resolution
2 300 S. Grand Avenue, Suite 1700
3 Los Angeles, CA 90071 (213) 613-2680
4 Fax: (301) 527-4766
5 Westernprocessingcenter@finra.org

January 6, 2022

6 Paul Richard Aquitania

FINRA CASE ID: 21-02924



10 *Petitioner*

11 ADDED COMPLAINT AND REMOVAL OF A RESPONDENT

12 *re: Additional Complaint and Removal of a Respondent*
13 *and [Planting] Illegal Dividend*
14 *FINRA Rule 12100 (CODE)*
15 *Inclusion of Additional Complaint*
16 *Authorizing and Requesting FINRA Perform Under FINRA*
17 *Rule 8210*

18 vs.

19 Merrill Lynch Pierce Fener & Smith Inc., et al
20 Paul Vincent Austin, et al. Andrea Green et al Andre' Dupre' et al and Andrew
21 Rodriguez et al

22 4802 Deer Lake Drive East
23 Jacksonville, FL. 32246
24 Direct Line 904-416-2604
25 Client Line: 877-653-4732
26 Direct Fax Line: 866-341-9047
27 Client Fax Line: 866-994-7807

28 *Respondents et al*

STATEMENT OF ISSUE

FINRA's December 31, 2021 Electronic Communication advising Petitioner regarding [CODE] and appealed from Petitioner FINRA submission of agreement signed December 30, 2021 to remove Paul Vincent Austin because FINRA declaration showed that records of Paul Vincent Austin concerning membership credential is no longer active, hence,

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1 the aforesaid code within its authority and relationship to Paul V Austin, in nature curing
2 is impossible due to the fact that, a conflict of interest exist, having said that Paul V
3 Austin expulsion gives no joy to the Petitioner. However, who is the poor and hapless
4 Petitioner to disagreed, the rule is rule.

5 I hereby declare under the penalty of the US Constitution that Petitioner is withdrawing
6 action against Paul V Austin in pursuant to FINRA Rule 12100 Code of the Arbitration
7 Procedure for Customer Dispute {CODE}.

8 *Although, Petitioner withdrew his claim against Paul V Austin in this Forum action*
9 *against the aforementioned for the reason above Petitioner will only contend the right,*
10 *and opportunity to proceeds challenge expelled Respondent from this forum to Federal*
11 *building in Washington, DC. This also means Petitioner will inform the expelled*
12 *Respondent the allege exact location and time if ever..*

13 *For the reasons outlined it is found that FINRA Rule 8210 may help the IRS in*
14 *facilitating and collection of evidence detailed and reasoned below.*

15 Couple days ago Petitioner, run across last year saved TurboTax Amended Tax Return
16 September 2021 there is also consistency with a previous violation. This documentation
17 shows dividend in the amount of \$88.93 located at Schedule B 1040 Interest and
18 Ordinary Dividend submitted by Merrill Lynch Pierce Fenner and Smith Inc. This data
19 was documented by the aforementioned named entities and TurboTax conducted retrieval
20 using electronic accesses connected the Petitioner Merrill Edge CMA Customer Account
21 No. 28Z-95546 from TurboTax innovation technology they called it "Great news" We
22 Got Your Merrill Lynch -Merrill Edge Form we save your time by pulling your 1099B
23 and other Forms.

24 A single act of unknown Dividend Paid by Respondents to CMA Account 28Z-95546 in
25 the amount of \$88.93 appeared on Schedule B Part II Ordinary Dividends 5 List Number
26 4 Merrill Lynch Pierce Fenner & Smith Amount \$88.93

27 Attached hereto, exhibit #A copy of 2020 Schedule B Form 1040.

28 The discovery should benefited the IRS because according to September 2021 record
from Tax Preparer/TurboTax transmission was rejected for the second time Amended
return 2020 CODE 1040X-035. Those initial transmissions do not include the underlying
subject matter, Merrill Lynch Pierce Fenner and Smith Inc, the fact that, Petitioner did
not buy nor seek stock from the aforementioned company ever.

Recent telephonic conversation with Merrill employee John Rickard held on 01/04/2022
at 11:51AM and follow up with Laura Carpenter at 6:26pm. Both personnel advised the
Petitioner that the Respondents, et al do not have a stock currently on the Market for sale.
Petitioner did in fact verify and find out with help of Yahoo Finance search, two relevant
articles showing Merrill Lynch name within the following data:

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Merrill Lynch Depositor Inc. 6.0518% Index Plus Trust Series 2003-1 (IPB) and Merrill Lynch Capital Trust I GTD CAP 6.45% (MER-PK)

The Petitioner lack knowledge and understanding in the aforementioned highlighted data manner be construed he can not make comment with respect and there's no relationship with underlying subject matter..

It is a sheer disappointment that someone had the audacity plant evidence against the US Constitution, with an obvious sole purpose and reason to Falsely Incriminate the Bank from State of Delaware Federal Intelligence liaison Petitioner, an individual investor and the United States Federal Government, Petitioner proposes' that we should starts the healing process be contended in a peaceful means, rally and dialogue in some sorts, that is in contras to the Respondents et al evidence to be Self-Serving, Inconsistent and Inherently Improbable. In sum, the lack duly noted supervision by Bank of America may have triggers the subsidiary Merrill act of disobedience, without prior reprimands or warning's, generally a Misconduct that act interferences with the orderly conduct of the Queen's business (Bank of America) or injures or threatening to injure the Queens interest and its customer (Petitioner) in a consequential or substantial manner. In the present case the Respondents insubordination put Petitioner et al into an edge, Respondents et al had warnings, including at least 2 or more 1) for failing to assist Petitioner locate CCL whereabouts 2) lied continuously when Petitioner asked about SR ticker, 3) block the sale of CCL in September 2021 and so forth. Respondents et al in 2014-2015 thereafter cut corners in purchasing and selling stocks in the care of Petitioner investment which have had dire consequences for the health of Bank of America's customer-Petitioner investment

Supporting factual findings of Misconduct connected with work, is a substantial breach by Respondents et al of an important duty or obligation owed the Petitioner and Bank of America and the US Constitution, a fundamental disarray, malevolent, incompetency or blunder calculation, that no near norms. Given the high degree of integrity required and without the intervening action and quick application by the Petitioners search for equal justice our basic fundamental achievements and rights is out at the open, sold in the lowest bidder in careful reading this nation was so Great"because of the principle we all stood by, that Great Nation such America never had before until founding fathers finds a foundation as refuge to every human decency and honor has live in their hearts then and now, called "Compassion".. a human nature that allows abilities of its citizen to forgive and forget, a proportionate response as the Petitioner and his Family had always seen that in this world there's no such thing as perfect, we are all different from each other, however, at the eyes of God we are all equally important and the same, in such was even declared in our US Constitution that All Men Are Created Equal.

State of California FTB processed Petitioner Amended tax return 2020 was consistent with May 2021 filing and record,

The September 2021 alleged filing has never materialized because Petitioner never submitted the actual form which requires mailing them, and TurboTax submitted tax

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1 return electronically to IRS which I haven't had the chance to click the submit button
2 because of CAP shack issue, when suddenly in an instance Petitioner saw on the screen
3 Submitted. Also Petitioner took pictures and recording while this communication
4 between TurboTax and Merrill is being process such as the one previously mentioned
5 Transmission of Information, this connection will not be possible without Petitioner
6 essential information such as password and username.

7 At the first glance I seen Merrill Lynch name with amount \$88.93 Petitioner did not pay
8 much attention because it seems a part of dividends from other stock which was
9 aggregated and it was first to Petitioner encounters such transaction, since not sure what's
10 going on, I deleted the first acquisition then re-run it again to get more understanding
11 and took picture and video from cell phone, I even called TurboTax asks what was going
12 on, was advised that those were part of the Petitioner dividends from his stocks.

13 From my prospective and research I came into a inescapable conclusion that some how
14 TurboTax manipulated record to make look like dividend was deriving from Merrill
15 Lynch, but Petitioner cannot make that determination due to lack of resource.

16 I hereby confirm that claim against Paul V Austin is withdrawn in pursuant to FINRA 's
17 aforementioned code.

18 At the present matter, TurboTax had warnings, including at least 3 or 4 for failing to
19 disclosed information that were not available for Petitioner's eyes and failure to informed
20 the US and State Governments regarding the TRUTH of Form IRC168 (k)(7).
21 Subsequently correspondence was addressed to IRS regarding the aforementioned code,
22 explaining that Petitioner had no actual knowledge of the FORM and was attached to
23 2020 return as well as W9 Form which was also attached to the 2020 return.. TurboTax is
24 a bad, bad tax preparer and manipulator. Petitioner only hope is that subject will change,
25 and it is still not too late.

26 Attached hereto, exhibit #A Amended FINRA Arbitration Submission Agreement
27 expelling Paul Austin as Respondent.

28 And IRS Correspondence Exhibit #B IRS Letter on 10/03/21 IRC 168(k)(7)

Respectfully submitted


Paul R. Aquilina

Petitioner


cc: Respondents et al

(4)

A2

CERTIFIED INDEX FINRA

DESCRIPTION	BATES NO.
Deficiency Notice to Claimant's December 29, 2021 Submissions dated December 29, 2021	000729
Sixth Amended Statement of Claim, dated December 30, 2021	000731
Seventh Amended Statement of Claim, dated December 31, 2021	000759
Corrected Statement of Claim, dated December 31, 2021	000791
Letter to Claimant Denying the Expedited Proceeding Request, dated December 31, 2021	000821
Letter to Claimant Granting the Fee Deferral Request, dated December 31, 2021	000823
Letter to Claimant re Assigned Case Administrator, dated December 31, 2021	000825
Letter to Michael E. Bury re: Notification of Being Named Party to Arbitration, dated December 31, 2021	000827
Letter to Claimant re: Notification of Paul Vincent Austin's FNRA Membership or Registration as Inactive, dated December 31, 2021	000835
Notification to Parties re: Preliminary Situs, dated December 31, 2021	000839
Notification to Parties re: Amended Statement of Claim, dated December 31, 2021	000841
Letter to Paul Vincent Austin re: Notification of Being Named Party to Arbitration, dated December 31, 2021	000843
Letter to Parties re: California Out of State Attorney Requirements, dated December 31, 2021	000845
Ninth Amended Statement of Claim, dated January 6, 2022	000847
Claimant's Amended Submission Agreement, dated January 6, 2022	000857
Notification to Parties re: Amended Statement of Claim, dated January 7, 2022	000859
Claimant's Proof of Service for Michael E. Bury and Merrill Lynch, dated January 8, 2022	000861
Claimant's Proof of Service for Andrew Rodriguez and Merrill Lynch dated January 8, 2022	000863

EXHIBIT A 

PO BOX 182051
COLUMBUS OH 43218-2051

To Contact us:	
Personal Accounts:	1-800-935-9935
Small Business Accounts:	1-800-242-7338
Commercial Accounts:	1-888-434-3030
Para Espanol:	1-877-312-4273
Hearing Impaired	1-800-242-7383
Consumer Internet:	www.chase.com



41562 CRP 703 001 15221 NNNNNNNNNNNN DRP01

PAUL AQUITANIA



May 29, 2021



Acct # _____

Dear PAUL AQUITANIA:

We received your recent request related to your account 936306836, and have enclosed the information that you asked for. Any applicable fees for this service will appear on your next statement.

If you have any questions about this information, please call us at one of the toll-free telephone numbers above.

Thank you for choosing Chase.

Sincerely,

Customer Service

Enclosure(s)

B3

LCHSP1

OS Received 06/21/2022

152534700300102078000100000020

UNCOMMON VALOR

90-7162-3222

348

Paul Richard Aquitania
Rafaela C. Aquitania



2/6/15 DATE

PAY TO THE ORDER OF Paul Aquitania \$ 2,200.00

Two thousand two hundred DOLLARS

JPMORGAN CHASE BANK, N.A.
(800) 935-9935
WWW.CHASE.COM

FOR # 20X-46104

Rafaela C. Aquitania

322276271



68360348

EXHIBIT # B3



15253470030302078004200000020

PO BOX 182051
COLUMBUS OH 43218-2051

To Contact us:
Personal Accounts: 1-800-935-9935
Small Business Accounts: 1-800-242-7338
Commercial Accounts: 1-888-434-3030
Para Espanol: 1-877-312-4273
Hearing Impaired 1-800-242-7383
Consumer Internet: www.chase.com



41557 ORP 703 001 15221 NNNNNNNNNNNN OFP01

PAUL AQUITANIA



May 29, 2021



Acct # 936306836

Dear PAUL AQUITANIA:

We received your recent request related to your account 936306836, and have enclosed the information that you asked for. Any applicable fees for this service will appear on your next statement.

If you have any questions about this information, please call us at one of the toll-free telephone numbers above.

Thank you for choosing Chase.

Sincerely,

Customer Service

Enclosure(s)

B2

LCHSP1

OS Received 06/21/2022

1525347003001020730000100000020

GIVE ME YOUR TIRED, YOUR POOR ...

90-7162-3222

349

Paul Richard Aquitania
Rafaela C. Aquitania

2-9-15 DATE

PAY TO
THE ORDER OF

PAUL AQUITANIA

\$ 15,200 ⁰⁰/₁₀₀

FIFTEEN THOUSAND TWO HUNDRED

⁰⁰/₁₀₀ DOLLARS

Security Features
Visible
Only on Real

JPMORGAN CHASE BANK, N.A.
(800) 935-9935
WWW.CHASE.COM

Merrill Edge Acct:

FOR

20X-46104

Paul Richard Aquitania

⑆322271627⑆

⑆06836⑆0349

EXHIBIT # B2

15253470030010207300020000020

100551888

FOR DEPOSIT ONLY
TO MERRILL LYNCH

CHAS. F. SWANSON & ASSOCIATES

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FINRA Dispute Resolution Party Case Submission

Your form was submitted to FINRA successfully. Please print this page if you wish to retain a copy for your records.

Tracking Number: DR0444314

Case ID: 21-02924

Case Name: Paul Richard Aquitania vs. Merrill Lynch Pierce Fenner & Smith Inc., Paul Vincent Austin, et al.

Submitted By: Paul Aquitania

Submitted Date: 12/27/2021 06:48:00 PM

Payment Method: This filing does not require any (additional) fees to be paid.

Attachments

Attachment Type	File Name	Description
Other	December 15 2021 Response to Mr. Patrick F December 8 2021 Wells fargo Bank Correspondence and Attachment.pdf	SUPPORTING EVIDENCE OF CORRUPTION
Other	Proof Of Service.pdf	PROOF
Other	Merrill Edge Deposit Receipt Feb 9, 2015 \$15,200.00 Cash.pdf	EVIDENCE
Other	Citibank Letter. June 6 2021 via US mail.pdf	Probe
Other	Letter To Merrill Edge October 17, 2021.pdf	SUPPORTING EVIDENCE
Other	DISCOVER CARD STATEMENT Feb. 27 2015 -MARCH 26 2015 - Copy.pdf	Probe
Other	DELCATH DCTH HISTORICAL DATA FEB 24 2015.pdf	Probe
Other	DELCATH DCTH HISTORICAL DATA FEB 20 2015.pdf	Probe
Other	Merrill Edge Deposit Receipt Feb 9, 2015 \$15,200.00 Cash (1).pdf	Preponderance of Evidence
Other	Merrill Edge Deposit Receipt Feb 6 2015 \$22,000.00 CASH Deposit by Me.pdf	Probe
Other	EXHIBIT #FF--.pdf	EVIDENCE
Other	DISCOVER CARD STATEMENT Feb. 27 2015 -MARCH 26 2015.pdf	Probe
Other	A Dupree, Merril Letter November 23, 2021.pdf	Probe
Other	Acknowledging Verbal Conversations With Andre Green , and Email sent to Paul November 5, 2014 and Paul Austin Telephone Conversation with Paul Aquitania.pdf	Probe
Other	Approval 09012014 and others exhibit 1A.pdf	

EXHIBIT #B

Other	Approval 09012014 and others exhibit 1A-Copy.pdf	Probe
Other	Chase Statements December 17, 2014 through January 20, 2015, and January 21, 2015 through February 18, 2015, Discover Statements 12272014 close jan 26, 2015 and Jan 27,2015 close Feb 26, 2015.pdf	Probe
Other	Discover Card Customer Monthly Statement Open date February 27, 2015 close date March 26, 2015-Copy.pdf	Probe
Other	Emendation Letter to Merrill Nov. 30, 2021.pdf	Probe

I affirm that I have complied with FINRA rules relating to protecting personal confidential information in documents filed with FINRA

Document Service

Serve Attachments on ALL Parties in this Case

I affirm that I am serving a copy of these documents on all other parties to this case, either through the DR Portal by using the "Serve Attachments" option on this form or by other means for parties not required to use the DR Portal. For parties I am serving by other means, I am providing proof of service. (Exception: You are not required to serve a copy of your arbitrator or mediator ranking sheet or fee waiver request to the opposing parties.)

FINRA's Voluntary Mediation Program

I am interested in FINRA's voluntary mediation program. Please contact me.

EXHIBIT
A B 5

FINRA Dispute Resolution Party Case Submission

Your form was submitted to FINRA successfully. Please print this page if you wish to retain a copy for your records.

Tracking Number: DR0444325

Case ID: 21-02924

Case Name: Paul Richard Aquitania vs. Merrill Lynch Pierce Fenner & Smith Inc., Paul Vincent Austin, et al.

Submitted By: Paul Aquitania

Submitted Date: 12/27/2021 08:41:36 PM

Payment Method: This filing does not require any (additional) fees to be paid.

Attachments

Attachment Type	File Name	Description
Other	Bank of America Letter to Paul 09232021 and Photo Copy Check CMA Merrill ending 7866.pdf	Probe
Other	Discover Bank November 1, 2021.pdf	Probe
Other	Merrill Edge Deposit Receipt Feb 6 2015 \$22,000.00 CASH-Copy.pdf	EVIDENCE
Other	Exhibit #4A and #5A.pdf	Probe
Other	Emendation Letter to Merrill Dated 10282021 and Merrill Letter To Paul A Dated October 13, 2021 and Envelope.pdf	Probe
Other	Approval 09012014 and others exhibit 1A.pdf	EVIDENCE
Other	STMT_12312014_XXXXX104_TAX REPORTINGSTMT.pdf	Probe
Other	STMT_12312015_XXXXX104_TAX REPORTINGSTMT.pdf	Probe
Other	STMT_12312020_XXXXX104_TAX REPORTINGSTMT (1).pdf	Probe
Other	United Airlines Priority Boarding March 3, 2015 and eTicket Itinerary and Receipt January 25, 2015.pdf	EVIDENCE
Other	Transfer Funds Authorization Specifically From Chase Bank To Merrill. And No Other Authorization Funds Transfer Is allowed.pdf	EVIDENCE
Other	My Letter dated 10192021;10172021 and 09092021; Decalth and MarketWatch Historical Data, and January 2015 to Febraruay 2015 and Feb 2015 to March 2015 Merrill Monthly Statements-Copy.pdf	EVIDENCE
Other	STMT_10292021_XXXXX546_EquityCostBasisState.pdf	EVIDENCE
Other	STMT_10292021_XXXXX546_CMA Edge.pdf	EVIDENCE