

Exhibit 2b

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM A COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
1.	06/16/09	Daniel Abelson	Abelson & Company LLC
2.	06/18/09	James Agrawal	J. Agrawal Financial Group
3.	06/17/09	Steve Aguiar	AWM
4.	06/24/09	Tambi Aks	ING Financial Partners
5.	06/17/09	Richard Aldridge	Wealth Preservers LLC
6.	06/22/09	James Alexander	Cunningham Powell Alexander, A.C.
7.	06/16/09	Bart Allard	Allard Financial Advisors, LLC
8.	06/16/09	Edgar Allison	First Charter Financial Corporation
9.	06/17/09	Terry R. Altman	Altman Financial LLC
10.	06/16/09	Walter Altorfer	WRA & Associates
11.	06/17/09	Marc Anderson	Financial Network
12.	06/16/09	Roy Anderson	Mutual Service Corporation
13.	06/19/09	Dalilia Badajos	The Rule Group
14.	06/17/09	Jennifer K. Baker	Richardson & Stout Financial Services, Inc.
15.	06/17/09	Vernon Baker	Royal Alliance Associates, Inc.
16.	06/16/09	Virginia Ballard	ProEquities, Inc
17.	06/26/09	Andrew Bambeck	Raymond James Financial Service, Inc
18.	06/17/09	Scott Barber	Barber Financial Co., Inc
19.	06/17/09	Jay Barclay	DCS Wealth Advisory Services LLC
20.	06/19/09	William Barron	FSC Securities
21.	06/17/09	Darin Basler	Raymond James Financial Services
22.	06/19/09	Richard Basler	Raymond James Financial Service, Inc
23.	06/16/09	Mark Bass	Pennington, Bass & Associates
24.	06/17/09	Thomas Baughman	Thomas Boughman
25.	06/17/09	Thomas Baumler	SagePoint Financial
26.	06/16/09	Donald Baxter	Baxter & Associates, Inc.
27.	06/23/09	Mark Beam	ING Financial Partners
28.	06/16/09	Donna Bellamy	FPI & Associates
29.	06/24/09	Carey Berger	BSR
30.	06/17/09	Sean Berger	Adirondack Retirement Specialists
31.	06/16/09	Jon Best	Raymond James Financial Service, Inc
32.	06/24/09	Nancy Bidrowski	ING Financial Partners
33.	06/16/09	James Billmyer	Raymond James Financial Service, Inc
34.	06/19/09	Thomas Bodensteiner	Bodensteiner Investment Advisors
35.	06/16/09	Jeanine Bodie	First Command
36.	06/17/09	Bradley Bofford	Financial Principles
37.	06/17/09	Joseph Bollinger	LPL Financial

REGULATORY NOTICE 09-25			
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	Date Letter Received	Sender	Company Name
38.	06/17/09	James Bone	Bone Financial Group, Inc.
39.	06/17/09	Richard Bores	Commonwealth Financial Network
40.	06/16/09	James Bowen	Atlantic Financial Services
41.	06/16/09	David Bowman	--
42.	06/16/09	Brandon Boyd	Heritage Planning Financial Group
43.	06/16/09	Bruce Boyd	Heritage Planning Financial Group
44.	06/17/09	Tiffany Boykin	Financial Services
45.	06/18/09	Hugh Boyle	BS Financial Advisers
46.	06/18/09	Lincoln A. Boyle	Savage & Associates
47.	06/16/09	Brock J Brady	ING Financial Partners
48.	06/17/09	Nick Brait	Lasting Legacy Ltd
49.	06/17/09	Verna Brand	Raymond James Financial Service, Inc
50.	06/18/09	Gerald Brandman	Savage and Associates
51.	06/18/09	Max Brann	Brann Financial Services, LLP
52.	06/17/09	Dr. Abbott Brayton	Bell Wealth Management
53.	06/16/09	Jack Brkich	JMB Financial Managers
54.	06/16/09	Paul Brown	Heritage Planning Financial Group
55.	06/17/09	John Buckley	Raymond James Financial Service, Inc
56.	06/17/09	Dale Buelow	Buelow Financial Group
57.	06/16/09	Merrick Burleson, Sr	Burleson Financial Strategies, Inc
58.	06/16/09	George M Bush	Advanced Financial & Pension Solutions
59.	06/17/09	Peter Bush	Horizon Wealth Management LLC
60.	06/17/09	Tom Butler	ATI Financial Services
61.	06/22/09	Edna Buys	Main Street Financial/INVEST Corp
62.	06/18/09	Joe Bynum	Raymond James Financial Service, Inc
63.	06/17/09	John C. Campbell	Savage & Associates
64.	06/17/09	Charlene Carter	Carter & Carter Financial
65.	06/16/09	Julie Casserly	JMC Wealth Management, Inc
66.	06/17/09	Robert Chamberlain	Raymond James Financial Service, Inc
67.	06/22/09	Todd Chamberlain	Masters Legacy
68.	06/18/09	Alan Chandler	Chandler & Edem Financial Consultants
69.	06/19/09	Nathaniel Cheney	Raymond James Financial Service, Inc
70.	06/19/09	Scott Cheshire	Jim Barlow Advisors
71.	06/17/09	Paul D. Christ	The Financial Network Group, LTD
72.	06/16/09	Wayne Christian	Wayne Christian Financial Services
73.	06/16/09	Shaun Clasby	Woodbury Financial
74.	06/17/09	Casey Cleveland	CGC Financial
75.	06/16/09	Barbara Coffey	Raymond James Financial Service, Inc
76.	06/16/09	Jon Cohen	CG Financial Services

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

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77.	06/22/09	Rich Colacino	Royal Alliance Associates
78.	06/19/09	Kevin Collier	Collier Wealth Management Inc
79.	06/23/09	Nellie Coltrain	Financial Network Investment Corp
80.	06/17/09	Frank Congemi	LPL/MSC
81.	06/17/09	Bruce Cook	Cook and Philips Wealth Management Group
82.	06/16/09	Paul Cooper	--
83.	06/16/09	Thomas Corcoran	Mid-America Insurance Services, Inc
84.	06/21/09	Luana Corral	--
85.	06/19/09	Marge Coyle	ISD
86.	06/16/09	John Cozart	Lincoln Financial Services
87.	06/16/09	Jerry Crader	Raymond James Financial Service, Inc
88.	06/17/09	Allan Cranfill	Cranfill & Associates Wealth Mgmt
89.	06/17/09	William Cruz	CFS Brokerage
90.	06/17/09	Michael Curtis	Curtis Financial Services
91.	06/16/09	Timothy Custer	First Command Financial Planning Inc.
92.	06/17/09	Kelly J. Daly	Daly Insurance Brokerage Services, LLC
93.	06/22/09	Sandra Darling	First State Bank Investment Services
94.	06/17/09	Ryan L. Dauterman	Savage & Associates
95.	06/17/09	Allen Dearing	Waterstone Financial Group
96.	06/16/09	David Decker	Decker Financial Group
97.	06/16/09	Michael DeLorey	Prism Financial Group
98.	06/18/09	Patrick DeMay	Carver Financial Services
99.	06/18/09	Mark Denay	Raymond James Financial Service, Inc
100.	06/16/09	John DeSalva	Georgetown Financial Group Inc
101.	06/16/09	Alan Dickson	Energi Pension Systems, Inc
102.	06/16/09	Thomas Diehl	Raymond James Financial Services
103.	06/24/09	Chester Dilday	The ASA Group
104.	06/17/09	Marijo Dluzak	FSC Securities Corporation
105.	06/23/09	Joy Dobbs	--
106.	06/17/09	Scott Dolitsky	DB Strategic Wealth
107.	06/16/09	Frank Doyle	ING Financial Partners
108.	06/18/09	Frederick Driscoll	ING Financial Partners
109.	06/30/09	Susan Dukes	ING Financial Partners
110.	06/17/09	Mike Dunbar	Financial & Retirement Planners, NW
111.	06/16/09	Amy Duncan	Woodbury Financial
112.	06/19/09	Constance Dupras	Capital Assets Planning, Inc.
113.	06/16/09	Angela K. Eickhoff	White & Associates
114.	06/17/09	Brian Eilers	M.J. Smith and Associates
115.	06/18/09	Patricia Ela	Ela Financial Group, Inc.

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116.	06/18/09	Thomas Ela	Ela Financial Group, Inc.
117.	06/19/09	Tarik Eldin	Financial Network
118.	06/16/09	Patrick K. Elmore	Raymond James Financial Services, Inc.
119.	08/03/09	Martin Empey	Ashworth & Empey Financial, Inc.
120.	06/17/09	Roger Engel	Engel & Associates
121.	06/22/09	Linda Erickson	Erickson Advisors
122.	06/16/09	Mark Erwin	Erwin Financial
123.	06/16/09	Peter Eshoo	ING Financial Partners
124.	06/16/09	Jennifer Failla	Failla Financial
125.	06/16/09	Carl Ferrazza	Vantage Financial Group
126.	06/16/09	Timothy Ferris	FSC Securities Corporation
127.	06/18/09	Al Figliolia	Cornerstone Professional Advisor Services, LLC
128.	06/17/09	Brady Fineske	Savage & Associates
129.	06/19/09	Alan Flake	VSR Financial Services, Inc.
130.	06/17/09	Kimerli Fleck	PFG
131.	06/17/09	David Flecker	Dewitt Stern Insurance & Risk Advisory
132.	06/17/09	Michael Flower	Financial Principles, LLC
133.	06/16/09	Michael Floyd	Raymond James
134.	06/19/09	Patrick J. Flynn	Financial Network Investment Corporation
135.	06/18/09	John Foerster	Financial Network Investment Corp
136.	06/16/09	Sarah Foley	BIPAC
137.	06/18/09	John Forney	Forney Financial Solutions LLC
138.	06/21/09	Alan Freedman	Geronimo Financial, LLC
139.	06/16/09	William Freund	Freund & Co. Investment Advisors, LC
140.	06/25/09	Craig Friedrichsen	ING Financial Partners
141.	06/19/09	David M Gallagher	LPL Financial
142.	06/16/09	David Garberg	Financial Network Investment Corp
143.	06/17/09	Michael Garrison	Garrison Financial, Inc.
144.	06/16/09	Mary Jo Garvey	Bill Hickey Financial
145.	06/17/09	Daniel Gavin	Gavin & Associates LLC
146.	06/26/09	Bob Gerber	Premier FM
147.	06/17/09	Stephen Geremia	Ashwood Advisors, LLC
148.	06/17/09	Chera Gerstein	Willis HRH
149.	06/23/09	Cindy Gettel	ING Financial Partners
150.	06/22/09	Carol Girvin	FSC Securities
151.	06/20/09	Brian Glickman	The Investment Center
152.	06/16/09	Glenn Goldman	LPL Financial
153.	06/16/09	Stanley Gordon	Protective Life

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154.	06/16/09	Lawrence A. Grabenstein	Potomac Financial Group, Ltd.
155.	06/19/09	David Grabner	Grabner Financial
156.	06/24/09	William Grace	ING Financial Partners
157.	06/17/09	John Grady	MultiFin
158.	06/19/09	C. Eric Greth	Financial Network Investment Corporation
159.	06/22/09	William F. Greulich	WFG Associates, Inc.
160.	06/17/09	James Grey	GA Advisors
161.	06/19/09	John Griffin	Raymond James Financial Service, Inc
162.	06/17/09	Raymond J. Grubbs	Raymond J. Grubbs & Associates, Inc.
163.	06/26/09	Amel Guigli	Raymond James Financial Service, Inc
164.	06/16/09	Ronald Guiler	Executax Corp.
165.	06/16/09	William Guise	Woodbury Financial
166.	06/19/09	Jeff Gurman	Gurman WM
167.	06/23/09	Penelope Haase	Financial Network Investment Corp
168.	06/19/09	David Halfaker	GFP Direct
169.	06/17/09	Gerald Hall	Raymond James Financial Service, Inc
170.	06/17/09	Michelle Brennan Hall	Brennan Financial Services
171.	06/17/09	Sandra Hall	The Financial Network Group, LTD
172.	06/16/09	James Hallett	Hallett Advisors
173.	06/23/09	Frank W. Hamill	--
174.	06/25/09	Craig Hardy	--
175.	06/22/09	Robby Harfst	Raymond James Financial Service, Inc
176.	06/17/09	Suellen Hawking	Hawking Financial Group, LLC
177.	06/17/09	Jennifer Hector	Raymond James Financial Service, Inc
178.	06/23/09	Daniel Helander	ING Financial Partners
179.	06/17/09	Joseph Henegan	Henegan Financial Services
180.	06/17/09	Richard Herrick	Savage & Associates
181.	06/18/09	Susan Herrmann	Interactive Wealth Dynamics, Inc.
182.	06/19/09	Mel R Hertz	The Retirement Coach
183.	06/17/09	Louis L. Hibbs	Savage & Associates
184.	06/17/09	Adam Hill	Maxwell Financial Management
185.	06/22/09	Jack Hill	Raymond James Financial Service, Inc
186.	06/17/09	John Hinck	Centaurus Financial Inc.
187.	06/17/09	James Hohman	Allegheny Investments
188.	06/17/09	Doug Hollen	Frontline Financial
189.	06/17/09	Carleton "Holly" Hollister	Savage & Associates
190.	06/18/09	David Holtz	NEXT Financial Group
191.	06/23/09	Roy Holtz	NEXT Financial Group, Inc.

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192.	06/18/09	Byron Holz	SagePoint Financial
193.	06/25/09	Jocelyn Holzwarth	Holzwarth Financial Services
194.	06/17/09	Joseph Hoover	Allegheny Investments
195.	06/16/09	Richard Hoover	SagePoint Financial
196.	06/24/09	Billie Houk	ING Financial Partners
197.	06/18/09	Ronald Housley	Housley Financial Services
198.	06/18/09	Frederick Hubler, Jr.	Creative Capital Wealth Management Group
199.	06/17/09	Jaime Huffman	Integrity Financial Advisors
200.	06/16/09	Steve Hurt	Raymond James Financial Service, Inc
201.	06/23/09	Fred Huse	Thomas-Huse Financial Services, Inc
202.	06/16/09	Van Huynh	--
203.	06/17/09	David Hynes	Focus Financial
204.	06/17/09	Donald Imler	Allegheny Investments
205.	06/17/09	Tom Jacobsen	M.J. Smith and Associates
206.	06/17/09	David Jeter	Allegheny Investments
207.	06/19/09	Robert Jilek	Midwest Financial Services
208.	06/29/09	James L Johnson	INGFP
209.	06/16/09	Kevin Johnson	ING Financial Partners
210.	06/18/09	Philip Johnson	Savage and Associates
211.	06/16/09	Rob Johnson	Woodbury Financial
212.	06/17/09	Roy F Johnson	Coleman-Johnson
213.	06/16/09	Paul Johnston	Generations Financial Advisors Inc
214.	06/17/09	Robert Joki	ING Financial Partners
215.	06/19/09	Warren Kalmenson	INGFP
216.	06/17/09	Kevin Kane	Raymond James Financial Service, Inc
217.	06/17/09	Antone Keller	--
218.	06/17/09	William Kelly	Kelly Financial Group, LLC
219.	06/18/09	Steven Kennedy	Towne Investment Group
220.	06/16/09	Randall Kim	R.W.KIM and Company
221.	06/17/09	Frank Kimmel	Kimmel Financial Network
222.	06/18/09	David King	Rogers Financial Corp.
223.	06/26/09	Donald M Kohnstamm	Desmon & Kohnstamm, Inc
224.	06/17/09	Mike Konopelski	Hurstweiss
225.	06/17/09	Nicholas Kralj	BCI Group, Inc.
226.	06/22/09	Stephen Kremer	Centaurus Financial
227.	06/16/09	Ian Kutner	Ian Kutner
228.	06/22/09	Sheldon Kuwana	Benefits International, Inc.
229.	06/23/09	Allen Lakner	--
230.	06/17/09	Brian Lakner	LAMB Financial Services

REGULATORY NOTICE 09-25			
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	Date Letter Received	Sender	Company Name
231.	06/16/09	John Lamb	ING Financial Partners
232.	06/17/09	Carol K Lampe	Lampe Asset Management
233.	06/27/09	M Sue Larkin	Larkin & Associates
234.	06/17/09	Barry Laufman	Advanced LTC Insurance Services, LLC
235.	06/17/09	Nancy Laug-Sholin	Financial Network
236.	06/16/09	Sally Law	Law & Associates, Inc
237.	06/16/09	Paul M. League	League Fin. & Ins. Serv.
238.	06/16/09	Judith Lefton	ING Financial Partners
239.	06/26/09	Douglas Lemon	Cambridge
240.	06/17/09	Lisa Leonard	ING Financial Partners
241.	06/25/09	Dennis Leonida	Capital Financial Group, Inc
242.	06/24/09	William Lervaag	Commonwealth Financial Group
243.	06/18/09	Gary LeSage	Savage & Associates, Inc.
244.	06/16/09	Scott Leverenz	Financial Resource Group
245.	06/17/09	Chris Lewis	Royal Alliance Associates
246.	06/16/09	John Lewis	--
247.	06/19/09	Donald Lindgren	Silbernagel and Jasen
248.	06/19/09	Monica Littlefield	1 st Global Capital Corp.
249.	06/19/09	David Lloyd	Financial Strategies, Inc.
250.	06/16/09	Jason Loiselle	FSC Securities Corporation
251.	06/17/09	Richard Longo	RAL Services, Inc.
252.	06/18/09	Vicki Lublin	Financial Matters
253.	06/17/09	Jeannie Luckey	Raymond James Financial Service, Inc
254.	06/17/09	John Lugauer	Investment Centers of America
255.	06/17/09	James Lumpkin III	Raymond James Financial Service, Inc
256.	06/17/09	Judith Lutzzy	Judy F. Lutzzy, CFP
257.	06/16/09	Valentine Lynch	FSC Securities Corporation
258.	06/20/09	Michael Mackin	MAPS Financial Inc
259.	06/17/09	G. Carl Mahler, Jr	The Pinnacle Group
260.	06/17/09	Darla Main	Main Advisory Inc
261.	06/17/09	Timothy Makovkin	ING Financial Partners
262.	06/17/09	Pat Manzo	Quality Financial Group, Inc.
263.	06/17/09	Donald L. Maricle	C&M Capital Resources, Inc.
264.	06/19/09	Paul Marrella	Raymond James Financial Service, Inc
265.	06/19/09	Ryan Marshall	Financial Network Investment Corp
266.	06/17/09	Roger Martin	Coble Cravens Financial Services
267.	06/16/09	Steven Martin	--
268.	06/22/09	Austin Maschino	Royal Alliance Associates
269.	06/17/09	Brian Matthews	Brian Matthews & Company

REGULATORY NOTICE 09-25			
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270.	06/17/09	Susan McClelland	Multifin
271.	06/16/09	Edward McCloud	ING Financial Partners
272.	06/24/09	John McFadden	McFadden & Associates
273.	06/26/09	Donald R McFarland	SBC Global
274.	06/16/09	Judith McGee	Raymond James Financial Service, Inc
275.	06/22/09	Jane McGinnis	Raymond James Financial Services, Inc.
276.	06/16/09	Jon McGraw	Buttonwood Financial Group, LLC
277.	06/24/09	Michael McKay	ING Financial Partners
278.	06/18/09	Donald L. McLean	SunPlan Financial Services
279.	06/16/09	Nancy McMillan	McMillan Financial Services
280.	06/18/09	Michael McNamara	McNamara Financial
281.	06/17/09	Susan McNamara	Commonwealth Financial Network
282.	06/16/09	Jonathan Meaney	CASCFM
283.	06/17/09	Kay Melton	Kay Melton & Associates
284.	06/19/09	John Meo	LPL Financial
285.	06/17/09	Michael Mercurio	Financial Resource Advisors
286.	06/17/09	Graham Merk	IA Financial Advisors
287.	06/17/09	Louis Merkle, III	Merkle Financial Group
288.	06/17/09	Roy Meyers	RJM Associates
289.	06/25/09	Stephen Michaels	Woodbury Financial
290.	06/17/09	Thomas Michaels	Foreguard Agencies, Inc.
291.	06/17/09	Jeffrey Miller	Financial Network
292.	06/17/09	Kyle Miller	Financial Network Investment Corp
293.	06/17/09	Paul Miller	Axial Financial Group
294.	06/16/09	Robert Miller	ING Financial Partners
295.	06/16/09	Matt Mitcham	Mitcham Financial
296.	06/19/09	Deanna Mohorich	Financial Network
297.	06/22/09	Curtis Mohr	Royal Alliance Associates
298.	06/17/09	Jack Mole	Raymond James Financial Service, Inc
299.	06/16/09	John Moore	--
300.	06/24/09	Walter Moore	Crown Capital Securities, LP
301.	06/17/09	Stephen D. Morr	Savage & Associates
302.	06/22/09	Travis Morrow	3 Rivers Financial Group
303.	06/19/09	Lee Morthland	Raymond James Financial Services, Inc.
304.	06/17/09	Michael Murray	Foundryf Financial Services, LLC
305.	06/17/09	Barry Musser	Central Penn Advisors
306.	06/17/09	Laurence Myers	Royal Alliance Associates, Inc.
307.	06/17/09	Gregory E. Nemeč	Lincoln Financial Securities
308.	06/22/09	Roberta Nestor	Commonwealth Financial

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309.	06/17/09	Lois Nichols	SBC Global
310.	06/17/09	Clark Nicholson	F&M Bank
311.	06/18/09	Lee Nickle	--
312.	06/16/09	Michael Niedenfuehr	--
313.	06/16/09	Brian J Nikulski	Nikulski Financial Inc
314.	06/17/09	Cheryl Norman	Savage & Associates
315.	06/17/09	Vincent Notte	Royal Alliance Associates
316.	06/19/09	David O'Block	The Equity Advisor Group, Inc.
317.	06/17/09	Virginia O'Donnell	Allegheny Investments
318.	06/23/09	Ronald O'Dowd	Oakwood Financial Group, Inc.
319.	06/16/09	Kelly O'Malley	Oak Brook Wealth Management
320.	06/18/09	W. Douglas O'Rear	Woodbury Financial
321.	06/16/09	Sam Ogrizovich	Ogrizovich Financial Management
322.	06/17/09	Nancy Onderko	CFO Financial Services, Inc.
323.	06/17/09	Damian J. Ogrodowski	Savage & Associates
324.	06/18/09	Steven Orr	Orr Financial Group
325.	06/17/09	James Osborne	Raymond James Financial Service, Inc
326.	06/16/09	Rick Otto	Financial Centers Inc
327.	06/19/09	Richard Overdorf	Multi-Financial
328.	06/19/09	Jerome Panther	Financial Network
329.	06/17/09	Graham Parsons	GCP Consulting
330.	06/17/09	Richard Pascoe	Raymond James Financial Services, Inc.
331.	06/17/09	Bryan A. Paul	Richardson & Stout Financial Services, Inc.
332.	06/18/09	Kathleen Peake	Woodbury Financial Services
333.	06/19/09	Tamara Peiffer	Savage and Associates
334.	06/24/09	Brian Perley	Hammond Financial
335.	08/19/09	Thomas Perretta	The Investment Center
336.	06/16/09	Randal Perrier	Perrier Wealth Management
337.	06/17/09	Richard Perry	Commonwealth Financial Network
338.	06/16/09	John Peters	Professional Wealth Strategies, Inc
339.	06/16/09	Paul Peterson	ING Financial Partners
340.	06/17/09	Thomas Pettis	LPL
341.	06/16/09	Dan Phillips	Royal Alliance Associates Inc
342.	06/19/09	Frank Pickett	Raymond James Financial Services, Inc.
343.	06/25/09	Tony Pizelo	Pacific West Financial Group
344.	06/16/09	Michael Keith Poe	Compensation Designs, LLC
345.	06/17/09	Norman Politziner	NJP Associates
346.	06/17/09	A. Wayne Potter	Integrated Wealth Advisors, Inc.
347.	06/16/09	Thomas Powell	Raymond James Financial Service, Inc

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348.	06/16/09	Tim Powell	Royal Alliance Associates
349.	06/17/09	Christopher Pratt	Wolters, Hagar & Pratt Financial Planning, Inc.
350.	06/17/09	Robert Pugliese	Premier Cir.
351.	06/17/09	Charles Quattrochi	Raymond James Financial Service, Inc
352.	06/20/09	Richard Ralston	Parkway Financial Group
353.	06/16/09	James Ramsey	Ramsey Capital Investments
354.	06/16/09	Lindsey Randolph	Financial Network Investment Corp
355.	06/17/09	William Raney	GNB Investments
356.	06/17/09	Allen Rausch	ING Financial Partners
357.	06/17/09	Gerald Raymond	Raymond Wesley Wealth Management Inc
358.	06/17/09	David Rearick	Allegheny Investments
359.	06/16/09	D Stephen Reed	Reed Financial Network
360.	06/18/09	Richard Reiser	Investment Centers of America
361.	06/22/09	Philip Renten	Woodbury Financial
362.	06/17/09	Bryan Rex	INVEST Financial
363.	06/17/09	Richard Reynolds	SagePoint Financial
364.	06/16/09	Stephen Rice	Steve Rice and Associates
365.	06/16/09	Jamie Richardson	ViewPoint Investment Group
366.	06/19/09	Jamie Richardson	Raymond James Financial Service, Inc
367.	06/17/09	John M. Richardson	Richardson & Stout Financial Services, Inc.
368.	06/24/09	Michael Richardson	ING Financial Partners
369.	06/17/09	Stephen Riley	Riley, Nichols & Munn
370.	06/17/09	Jim Riutta	First Command
371.	06/17/09	Domenic Rizzi	Reliant Financial Services
372.	06/17/09	Williams Robbins	Coordinated Capital Securities, Inc.
373.	06/17/09	David P. Robinson	Resource Consulting Group, Inc.
374.	06/17/09	David Robson	Allegheny Investments
375.	06/17/09	Christine Roessel	Commonwealth Financial Network
376.	06/23/09	Bronson J. Rogers	Financial Network Investment Companies
377.	06/17/09	Joseph Romano	Romano-Romano
378.	06/18/09	Donald Rook	AssetDynamics
379.	06/17/09	Michael J. Rosenberg	Savage & Associates
380.	06/16/09	Steve Ross	First Command Financial Planning
381.	06/17/09	Adam Rothman	Tower Square Securities
382.	06/16/09	Joe Rubinstein	Diversified Securities Inc
383.	06/24/09	Rod Rumelhart	--
384.	06/17/09	John Ruzza	MainStreet Financial
385.	06/19/09	Michael Ryan	Ram Financial
386.	06/25/09	Robert Ryan	--

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM A COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
387.	06/17/09	James Saling	Raymond James Financial Service, Inc
388.	06/26/09	Rick Sany	SagePoint Financial
389.	06/17/09	Scott Schayot	Raymond James Financial Services
390.	06/17/09	Michael Schick	Comprehensive Financial Group
391.	06/17/09	Reina Schlager	Schlager Sonntag & Levin
392.	06/17/09	Louis Schwartz	Schwartz Financial Services
393.	06/18/09	Sidney Schwartz	FSC Securities
394.	06/27/09	Edward Sella	SPC Financial, Inc.
395.	06/17/09	Steve Seward	Cambridge Investment Research
396.	06/20/09	Eric Shank	Woodbury Financial
397.	06/23/09	Karren Sharp	ING Financial Partners
398.	06/26/09	Charlotte Shaw	Shaw Financial
399.	06/16/09	Edward Shockley	FNIC
400.	06/17/09	Jacob Short	--
401.	06/16/09	David Shrom	FSC Securities Corporation
402.	06/22/09	Nancy Sides	Sides Financial Strategies, Inc
403.	06/22/09	Mitch Silberman	--
404.	06/17/09	Steven Simon	Equity-Services, Inc.
405.	06/24/09	Erik Sjodin	Al Sjodin & Associates
406.	06/19/09	William R. Skeeters	Great American Advisors
407.	06/17/09	John Sklencar	FSC Securities Corp.
408.	06/17/09	James Smith	James D Smith Financial Services
409.	06/22/09	James Smith	Georgetown Financial Group, Inc.
410.	06/17/09	Mark J. Smith	M.J. Smith and Associates
411.	06/16/09	Ronald Smith	Honeysutt Smith & Associates
412.	06/18/09	Karl Smrekar	Allegheny Financial Group
413.	06/18/09	Rick Spalding	American Financial Advisors / American Nat'l Bank
414.	06/16/09	Brenda Speer	Professional Benefit Solutions, LLC
415.	06/26/09	Christopher Stein	LPL Financial
416.	06/18/09	Daniel N. Steinberg	Savage & Associates
417.	06/16/09	Brian Stephens	H D Vest Investments
418.	06/16/09	Mary Sterk	Sterk Financial Services
419.	06/17/09	Mark Stevens	--
420.	06/17/09	William F. Stevens, Jr.	Raymond James Financial Service, Inc
421.	06/16/09	Daniel Stewart	VSRFin
422.	06/19/09	William Stewart	Christopher Financial Group
423.	06/17/09	Brenda Stone	Financial Services
424.	06/16/09	Nick Stowell	Financial Services

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM A COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
425.	06/17/09	Robert Stroud, Jr.	Stroud Financial Services
426.	06/22/09	Niki Sturm	--
427.	06/17/09	Nancy Swain	Swain Hicks Financial Group, Inc.
428.	06/17/09	Valerie Swan	Allegheny Investments
429.	06/19/09	Douglas Swartout	Crown Capital Securities, Inc.
430.	06/18/09	Bryan Sweet	Sweet Financial
431.	06/18/09	Richard T	Raymond James Financial Service, Inc
432.	06/17/09	Debra Brennan Tagg	Brennan Financial Services
433.	06/17/09	Alan Tanenblatt	Royal Alliance Associates, Inc.
434.	06/17/09	David Tanner	Raymond James Financial Service, Inc
435.	06/17/09	Richard Tate	FSC Securities
436.	06/16/09	J Lawrence Taunt	Regal Financial Group, SagePoint Financial
437.	06/16/09	Nicholas Taverna	Royal Alliance Associates
438.	06/17/09	Cheryl Taylor	Equity Services
439.	06/25/09	Dennis W. Taylor	--
440.	06/17/09	William Taylor	Family Wealth Advisors
441.	06/17/09	Mark Teachout	Mark W Teachout, CIC, CFP & Associates
442.	06/17/09	Jane Terry	Raymond James Financial Service, Inc
443.	06/16/09	Lawrence J. Thaul	Millennium Financial Inc
444.	06/17/09	Clint Thomas	M.J. Smith and Associates
445.	06/22/09	Daniel Thomas, Jr	Thomas Financial Group, LLC
446.	06/29/09	David L Timmons	ProEquities
447.	06/19/09	Tim Toland	Savage and Associates
448.	06/20/09	Bryan Tole	Investment Centers of America
449.	06/17/09	Joseph Towson	Raymond James Financial Service, Inc
450.	06/17/09	Daniel G. Trout	Financial Principles, LLC
451.	06/16/09	Ronald F Troyan	Rogers & Troyan Advisory Group, Inc
452.	06/17/09	Joel Tschantz	Savage and Associates
453.	06/17/09	Kevin Tucker	Tucker Financial Services
454.	06/19/09	William Tufts	Crown Capital Securities LP
455.	06/23/09	Thomas G. Tuke	Tower Square Securities, Inc.
456.	06/16/09	Ed Ulledalen	Raymond James Financial Service, Inc
457.	06/17/09	Charles Valenzuela	PDI Financial Group, Inc.
458.	06/24/09	Edward J Vespa	Financial Services
459.	06/24/09	Thomas Vickers III	Financial Planning Associates, LLC
460.	06/16/09	Charles Vickery	Vickery Financial Services, Inc.
461.	06/19/09	Gilberto Villarreal	IRA Retirement Advisors, Inc.
462.	06/16/09	Gerrit Vrieze	Compensation Designs, LLC
463.	06/18/09	William Wagner	Tower Square Securities, Inc.

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM A COMMENT LETTERS

	Date Letter Received	Sender	Company Name
464.	06/23/09	Evan Walker	--
465.	06/18/09	Dan Wallen	Wallen Wealth Management
466.	06/17/09	Jonathan W. Webb	BACH Investments Plus, LLC
467.	06/18/09	Sherri Frank Weintrop	Wealth Management Advisors, Inc.
468.	06/19/09	Richard Wheeler	Richard C Wheeler
469.	06/16/09	Kenneth White	White & Associates Financial Services
470.	06/16/09	Sherri White	--
471.	06/16/09	Mark Wiacek	Heritage Planning Financial Group
472.	06/16/09	Dan Wilburn	R.B. Smith Co., Inc
473.	06/16/09	Trevor Wilde	Wilde Wealth Management Group, Inc
474.	06/30/09	Darrell Williams	ING Financial Partners
475.	06/16/09	Kelly Williams	First Command Financial Planning
476.	06/16/09	Michael Williams	ALTIUS Financial
477.	06/18/09	Lucius Williamson, Jr.	Williamson & Associates
478.	06/16/09	A. Rhodes Wilson	A. Rhodes Wilson & Associates, Inc.
479.	06/16/09	Daniel Wilson	Raymond James Financial Service, Inc
480.	06/16/09	Randall Wimsatt	ING Financial Partners
481.	06/25/09	Bradley Windell	Windell Financial
482.	06/17/09	Edward Wise	ING Financial Partners
483.	06/19/09	Emerson Wiser	Allied Financial Services
484.	06/23/09	Richard Wojcik	New England Financial Planning Group
485.	06/17/09	Darryl Wolff	Wolff Financial Service
486.	06/17/09	Stephen Woods	Resource Financial Planning, Inc.
487.	06/17/09	James Woytcke	Financial Success, LTD
488.	06/17/09	Gregory Wynn	Greg Wynn Financial Services
489.	06/18/09	E. W. Woody Young	Quest Capital Management, Inc.
490.	06/16/09	Anthony Zambri	--
491.	06/17/09	David Vander Zwaag	National Planning Corp.

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
1.	06/24/09	Terry D. A	New York Life Insurance Co.
2.	06/23/09	Robelynn Abadle	Abadie Financial Services
3.	06/23/09	Laurie Adams	Country Financial
4.	06/23/09	Ernest Aiguier	New York Life Insurance Co.
5.	06/25/09	Dane E. Albright	Cincinnati Life Insurance Co.
6.	06/23/09	Brad Alderfer	Northwestern Mutual Financial Network
7.	06/26/09	Tim Alexander	KYFB Ins.
8.	06/23/09	Robert Allen	Triad
9.	06/23/09	Susan Allen	--
10.	06/23/09	Sue Allhiser	--
11.	06/23/09	Monti Allison	Lincoln Financial Network
12.	06/24/09	Albert Althaus	--
13.	06/23/09	Daniel Anderson	HTK
14.	06/23/09	Eddie F. Anderson	Hawkins-Group
15.	06/23/09	Gregory Anderson	Northwestern Mutual Financial Network
16.	06/23/09	Richard Anderson	SFB CIC
17.	06/29/09	Scott Anderson	Anderson Financial Services
18.	06/26/09	Stephen Anderson	Chartwell Financial Group
19.	06/25/09	Drucilla Andrews	SSA Brokerage
20.	06/25/09	Russell S. Andrews	Dreamscape
21.	06/25/09	Jason M. Apolenis	Avenue Wealth
22.	06/26/09	Steven Aquino	AW Fin
23.	06/26/09	“Cheeto” A.G. Arellano	ARGOFA
24.	06/23/09	Jameel Arif	Financial Network
25.	06/25/09	Scott Arnold	KYF Bins
26.	06/29/09	Greg Atkins	SBC Global
27.	06/29/09	Michael Atkinson	FBFS
28.	06/25/09	Michael Atterberry	--
29.	06/26/09	Ed Auble	Auble Financial
30.	06/25/09	Robert Avery	--
31.	06/24/09	Michael Axton	Megagate
32.	06/23/09	John Back	--
33.	06/23/09	Gregory Badgerow	Horace Mann
34.	06/25/09	Galt Baker	Baker Birdwell
35.	06/25/09	Judy D. Baker	New York Life Insurance Co.
36.	06/23/09	EJ Bud Baldwin	--
37.	06/23/09	Christopher Ball	Northwestern Mutual Financial Network
38.	06/25/09	Derek Baltimore	--
39.	06/25/09	David Barber	Northwestern Mutual Financial Network
40.	06/25/09	William Barber	Barber Insurance
41.	06/23/09	James Barlow	--

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM B COMMENT LETTERS

	Date Letter Received	Sender	Company Name
42.	06/24/09	Kevin Barnes	Farmers Agent
43.	06/26/09	W. Stanley Barnes	Fin Svcs.
44.	06/26/09	Gregory Barnett	Fin Svcs
45.	06/25/09	Alex Barnwell	--
46.	06/26/09	Rolando Barrera	--
47.	06/25/09	Lawrence C. Barrett	Sagemark Consulting
48.	06/23/09	Robert L. Barrett, Jr.	NYL
49.	06/23/09	David L. Barrist	--
50.	06/23/09	Roland Basinski	--
51.	06/23/09	Bernard Baudin	New York Life Insurance Co.
52.	06/24/09	Mark Bauman	Ameritech
53.	06/28/09	Dennis Baumhover	State Farm Insurance
54.	06/23/09	Deborah M. Beahan	--
55.	06/23/09	William Beasing	Northwestern Mutual Financial Network
56.	06/26/09	Beth Peckinpaugh Beasley	--
57.	06/23/09	Ron Becker	Forman Associates
58.	06/23/09	Jeb Beckley	Northwestern Mutual Financial Network
59.	06/25/09	John Beckwith	Beckwith Group
60.	06/23/09	Josh Beecher	Rice Brown
61.	06/25/09	Dan Beeler	Dan Beeler Agency
62.	06/29/09	Gene Beerbohm	--
63.	06/25/09	John A. Bell	--
64.	06/23/09	Kevin Bell	SBC Global
65.	06/25/09	Drew Bennett	American National Insurance
66.	06/25/09	Jim Bennett	Jim Bennett Insurance
67.	06/23/09	Kent Bennett	KA Bainc
68.	06/23/09	Lawrence A. Bennett	New York Life Insurance Co.
69.	06/29/09	Matthew Benson	Fin Svcs
70.	06/23/09	Marty Berger	--
71.	06/23/09	Thane Bernbeck	Northwestern Mutual Financial Network
72.	06/25/09	Marc Bernstein	--
73.	06/26/09	Michael B. Berry	WF Advisors
74.	06/23/09	Patricia Berry	FHB
75.	06/23/09	Roni Roslyn Berson	AM Seminars
76.	06/29/09	Gregory A. Berstler	--
77.	06/27/09	Nancy W. Bertacini	Financial Network Investment Corp
78.	06/25/09	Anthony Bertasi, Jr.	Northwestern Mutual Financial Network
79.	06/25/09	Eric Bervig	Investment Service Center
80.	06/26/09	Robbie G. Beucler, Jr.	The ONF Group
81.	06/25/09	George A. Beutter	InFarm Bureau
82.	06/23/09	Doug BeVille	Profit Plans LLC
83.	06/23/09	Samuel Bianchi	LFG

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
84.	06/29/09	Lucas Bielfelt	--
85.	06/23/09	Laura Biesemeyer	Summit Alliance
86.	06/23/09	Jeff Biggs	FBFS
87.	06/25/09	Michael A. Biordi	AXA Advisors
88.	06/25/09	Stephen Biron	--
89.	06/26/09	Emily Blackburn	GA – Insurance
90.	06/23/09	Ronald Blau	FWG
91.	06/29/09	Josh Blevins	TFBF
92.	06/25/09	A.J. Block	--
93.	06/23/09	David Block	Insurance-Specialties
94.	06/23/09	James R. Bocinsky	Keever Capital, LLC
95.	06/28/09	Ann Boeckenstedt	AMFAM
96.	06/23/09	Lyn F. Boening	--
97.	06/24/09	Glenna Bohling	Thrivent Financial for Lutherans
98.	06/23/09	Matthew Bond	SGC Financial
99.	06/26/09	Charles D. Booth	Asset Conservation
100.	06/29/09	Earl R. Borders III	Borgers IFG
101.	06/24/09	David Boren	SBC Global
102.	06/24/09	Charles Douglas Borrell	SB Group Inc
103.	06/23/09	Shirley Boston-Otis	--
104.	06/23/09	Kurt Bogseth	Northwestern Mutual Financial Network
105.	06/23/09	Shanna Bottoms	AXA Advisors
106.	06/23/09	Terry Boulter	--
107.	06/23/09	Bruce Bowen	New York Life Insurance, Co.
108.	06/24/09	Thomas Bowen	--
109.	06/23/09	James D. Boydston	Mass Financial Group, Inc.
110.	06/25/09	Dawn Boyer	Gordon Marketing
111.	06/26/09	Greg Boyer	--
112.	06/24/09	Richard Boyer	AXA Advisors
113.	06/24/09	James Boylan	--
114.	06/24/09	Gary Bradford	Northwestern Mutual Financial Network
115.	06/23/09	Pat Bradley	LTCI Partners
116.	06/26/09	John Brady	New York Life Insurance Co.
117.	07/31/09	Lauro A. Braganza	Prudential
118.	06/23/09	Bonita Brakefield	Prudential
119.	06/25/09	John t. Branstrom	Fin Svcs
120.	06/23/09	Dean Brant	FBFS
121.	06/25/09	Don Bratcher	Bratcher Financial
122.	06/25/09	Steven Braunschweiger	Field Underwriters
123.	06/29/09	Todd Brehmer	Packerland Brokerage
124.	06/23/09	Rick D. Breinin	Country Financial
125.	06/24/09	Thomas R. Brennaman	Fin Svcs

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM B COMMENT LETTERS

	Date Letter Received	Sender	Company Name
126.	06/26/09	Darrel Brock	Allstate
127.	06/25/09	Albert Brodbeck	Prudential
128.	06/23/09	Thomas Brophy	--
129.	06/23/09	Emmett Brost	State Farm Insurance
130.	06/25/09	Allen Carter Brown	Ivy Insurance
131.	06/24/09	Don Brown	--
132.	06/26/09	James L. Brown	NAIFA
133.	06/25/09	Larry Brown	Met Life
134.	06/23/09	Rice Brown	--
135.	06/23/09	Robert Brunton	Northwestern Mutual Financial Network
136.	06/24/09	Grover Bryan, Jr.	Liberty Agency
137.	06/26/09	Mel Budreau	Budreau Financial
138.	06/23/09	Anthony Buechier	--
139.	06/23/09	Peter Buechler	--
140.	06/26/09	Twayne Buhler	Qwest
141.	06/26/09	Ron Bullis	Northwestern Mutual Financial Network
142.	06/23/09	Ray Bunnell	FBFS
143.	06/24/09	Don Burkall	Northwestern Mutual Financial Network
144.	06/24/09	Terry Burke	Farmers Agent
145.	06/23/09	Sylvia Burnett	--
146.	06/29/09	Garry Burry	Northwestern Mutual Financial Network
147.	06/23/09	Michael Bussard	Pacific Life
148.	06/23/09	Derek Butler	--
149.	06/23/09	Michaelene Butler	--
150.	06/26/09	Deb Butt	State Farm Insurance
151.	06/23/09	Ken Byers	--
152.	06/25/09	Karen Byrd	Jack Turner
153.	06/24/09	Michael Calabrese	--
154.	06/25/09	Mark Caldon	New York Life Insurance Co.
155.	06/28/09	Sally B. Camp	--
156.	07/06/09	Gary Campbell	Financial Advocates
157.	06/26/09	Roger Campbell	KYFB Ins.
158.	06/26/09	Taylor Campbell	--
159.	06/26/09	Thomas W. Campbell	--
160.	06/25/09	Joseph Catanzaro	--
161.	06/29/09	Jeffrey Cantrell	Bowman Gaskins
162.	06/28/09	Tony Capraro III	State Farm Insurance
163.	06/29/09	Cathy Carlson	KYFbins
164.	06/23/09	John Carlson	Am. Fam
165.	06/25/09	Glenn Carpenter	--
166.	06/27/09	Duane Carr	--
167.	06/23/09	Roderick Carr	New York Life Insurance Co.

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM B COMMENT LETTERS

	Date Letter Received	Sender	Company Name
168.	06/25/09	Al Carrico	State Farm Insurance
169.	06/23/09	Edward Carvalho	--
170.	06/26/09	Michael Casey	ING Financial Partners
171.	06/25/09	Susan Cathey	Allstate
172.	06/23/09	Kurt Cecconi	Princor Financial Services
173.	06/23/09	Joseph Chalom	Retirement Council
174.	06/29/09	Gary F. Champa	NAIFA
175.	06/23/09	Joe Chenoweth	--
176.	06/23/09	Terry Chick	Money Geeks
177.	06/25/09	Melvin Chilewich	--
178.	06/24/09	Jan Christensen	New York Life Insurance Co.
179.	06/23/09	Kirk Chugg	--
180.	06/23/09	Ron Church	--
181.	06/25/09	Steve Church	Creative Planning Concepts
182.	06/24/09	Robert A. Cinalli	AXA-Advisors
183.	06/23/09	James Clabuesch	--
184.	06/23/09	Gary Clair	New York Life Insurance Co.
185.	06/26/09	Brian Clark	John Hancock
186.	06/23/09	Michael Clark	--
187.	06/25/09	Stephen Clark	NCFB Ins.
188.	06/23/09	Timothy Clark	New York Life Insurance Co.
189.	06/23/09	J. Brandon Clarke	Benfinancial
190.	06/23/09	Kendall Clenney	--
191.	06/25/09	Edward Clink	Cap-Ins
192.	06/26/09	James Codr	Wiigcodr
193.	06/23/09	Michael Coe	State Farm Insurance
194.	06/29/09	Scott Coenen	JH Network
195.	06/26/09	Charles Cole	DW Associates
196.	06/23/09	Jim Cole	--
197.	06/23/09	Ruth Cole	Kemneriott
198.	06/26/09	Ann Coleman	Quantumins
199.	06/25/09	Chase Coleman	State Farm Insurance
200.	06/25/09	Cyrus Coleman	New York Life Insurance Co.
201.	06/26/09	John Collier	NV Silver
202.	06/23/09	Willie Colston	Kentucky Farm Bureau
203.	06/23/09	Donald Compton	State Farm Insurance
204.	06/26/09	Shawn Connolly	AXA Advisors
205.	06/27/09	Parker Consaul	--
206.	06/25/09	Thomas Coplin	--
207.	06/23/09	Tom Corbitt	--
208.	06/23/09	Thomas Corey	--
209.	06/23/09	James Counter	JA Counter

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
210.	06/23/09	Joe Counts	--
211.	06/23/09	Chad Courtois	New York Life Insurance Co.
212.	06/23/09	Jana Cowgill	Century Tel
213.	06/23/09	Mitchell Cox	NCFBINS
214.	06/26/09	Mike Crane	KYFB
215.	06/24/09	Scott A. Crawford	--
216.	06/24/09	James E. Creeden, Sr.	--
217.	06/26/09	Jan Crewes-Jones	--
218.	06/23/09	Ronald Crist	--
219.	06/23/09	Gina Cromwell	New York Life Insurance Co.
220.	06/23/09	Russell Crooks	--
221.	06/25/09	Jonathan Cross	Northwestern Mutual Financial Network
222.	06/25/09	Margaret Crossland	--
223.	06/26/09	Frank Crowe	--
224.	06/25/09	Jay B. Crowther	Allstate
225.	06/23/09	Anthony Cubellis	--
226.	06/23/09	Dennis Cuccinelli	Professional Economic Growth Group
227.	06/26/09	Brian Cunningham	In Farm Bureau
228.	06/29/09	Tim Curran	New York Life Insurance Co.
229.	06/29/09	Jon Cyganiak	Cyganiak Planning
230.	06/23/09	Gregory Daigle	Pinnacle Group
231.	06/29/09	J. 'Mike' Dalsaso	DA-Ins
232.	06/23/09	Richard Damico	My Excel
233.	06/23/09	Spencer Daniels	Fin Svcs
234.	06/24/09	Lou Danna	Danna Agency
235.	06/29/09	Carolyn Dannatt	Thrivent Financial for Lutherans
236.	06/23/09	George Danusis	--
237.	06/23/09	Mark Daoust	First Heartland
238.	06/24/09	Christi M. Daughenbaugh	Borden Hamman Agency
239.	06/25/09	Bryan K. Davis	Richmond Financial Group
240.	06/24/09	Doug Davis	Northwestern Mutual Financial Network
241.	06/23/09	Gary Davis	GLIC
242.	06/26/09	Jeff Davis	State Farm Insurance
243.	06/23/09	O. Taylor Davis	Northwestern Mutual Financial Network
244.	06/25/09	Bruce W. Dawkins	Med-Link
245.	06/25/09	Brian D. Dawson	--
246.	06/25/09	Lesley Day	Northwestern Mutual Financial Network
247.	06/23/09	Mike DeBoer	--
248.	06/23/09	William J. DeBruin	--
249.	06/25/09	Christopher DeCola	Fin Svcs.
250.	06/24/09	Laura P. DeGolier	Degolier Insurance
251.	06/25/09	Tim Deitemeyer	--

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
252.	06/23/09	Troy D. DeLair	FBFS
253.	06/29/09	Christopher D. DeLarme	FI Strategies
254.	06/26/09	Thomas Deleot	Fin Svcs
255.	06/23/09	John Demboski	--
256.	06/23/09	Richard Denmark	--
257.	06/23/09	Richard Dent	New York Life Insurance Co.
258.	06/23/09	Albert Depew	--
259.	06/28/09	Peter Derrenbacher	Northwestern Mutual Financial Network
260.	06/23/09	John DeSantis	ING Financial Partners
261.	06/23/09	Eugene Devol	BRCFS
262.	06/26/09	Rick Dhabalt	--
263.	06/23/09	Donna M. DiBiasio	--
264.	06/24/09	Robert Dibley	--
265.	06/25/09	Joseph DiCandilo	--
266.	06/24/09	Anthony Dickinson	NCF Bins
267.	06/25/09	Robert A. Dicola	--
268.	06/27/09	Diane Dillett	Dillett Company
269.	06/26/09	Ronald Dilling	SBC Global
270.	06/23/09	Charles Dinise	--
271.	06/23/09	Art Dinkin	Central Financial
272.	06/23/09	R. Anthony Diregolo II	SGC-Financial
273.	06/25/09	Herman Dixon	--
274.	06/26/09	Julie Doak	Insight BB
275.	06/29/09	Richard Dobson	CFU
276.	06/25/09	Lisa Dodson	--
277.	06/29/09	Daniel E. Doerr	Thrivent Financial for Lutherans
278.	06/23/09	Troy Dollyhigh	Guilford County Farm Bureau
279.	06/25/09	Paul Donas	JH Network
280.	06/26/09	Frederick Dorn	--
281.	06/23/09	Jared Dosch	Northwestern Mutual Financial Network
282.	06/29/09	Richard Douglass	Northwestern Mutual Financial Network
283.	06/25/09	Philip Downey	Allstate
284.	06/23/09	Kimball Doxey	BenLife
285.	06/23/09	Dennis Drake	--
286.	06/23/09	David Dreifuss	TAIFP
287.	06/23/09	John Drews	--
288.	06/26/09	James Driesbach	INDY Trans
289.	06/25/09	Kirk Dryden	Johnson Dugan
290.	06/23/09	John Dugan	Prudential
291.	06/26/09	Pamela Duncan	ING Financial Partners
292.	06/25/09	Michael Dunkley	Allstate
293.	06/25/09	Hayven W. Dunn	--

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
294.	06/26/09	Richard Dworsky	--
295.	06/23/09	Dave Dykstra	Heartland-Isn Group
296.	06/23/09	Andrew Dzurinko	--
297.	06/23/09	Matt Echelmeier	--
298.	06/23/09	Gary Eckelkamp	Allstate
299.	06/24/09	Wayne M. Eckman	State Farm Insurance
300.	06/23/09	Matthew Edelstein	--
301.	06/24/09	Kolleen Edwards	JK Izziah
302.	06/25/09	Rafael Ekstein	Ekstein Financial Services
303.	06/23/09	Matthew Elkins	--
304.	06/25/09	Albert Elliott	Frontier Net
305.	06/23/09	Daryl R. Ellis	New York Life Insurance Co.
306.	06/26/09	Jacob Elrod	Prudential
307.	06/29/09	Merle Elsberry	Iowa Telecom
308.	06/23/09	Ethan Emmett	--
309.	06/24/09	Philip Engelmann	Miami NEF
310.	06/23/09	Fritz Engels	--
311.	06/25/09	A. Christopher Engle	Eye On Argus
312.	06/23/09	John Enright	LFG
313.	06/23/09	Roger Entley	GFB
314.	06/29/09	Joseph Eppolito	Fin Svcs
315.	06/26/09	Robert Erkel	Northwestern Mutual Financial Network
316.	06/23/09	John Erskine	--
317.	06/23/09	Bijan Eshaghian	New York Life Insurance Co.
318.	06/26/09	Eric Evans	State Farm Insurance
319.	06/23/09	Kenneth Evans	--
320.	06/23/09	Marlene Evans	--
321.	06/23/09	Stan Evetts	Country Financial
322.	06/26/09	Robert Fahey, Jr.	The Fahey Group
323.	06/23/09	John Falgoust	New York Life Insurance Co.
324.	06/23/09	Carsten Falkenberg	Thrivent Financial for Lutherans
325.	06/25/09	Robert Farabaugh	Prudential
326.	06/25/09	Brad Farley	--
327.	06/29/09	Michael D. Farmer	--
328.	06/24/09	Paul Farr	NCFB Ins.
329.	06/23/09	Thomas Fay	--
330.	06/23/09	Vince Fazio	Northwestern Mutual Financial Network
331.	06/23/09	Norman Feinstein	Corp. Con Inc
332.	06/24/09	Dennis Felcher	Summit Brokerage
333.	06/23/09	Marvin Feldman	Feldman Financial Group
334.	06/29/09	Will Felts	Fin Svcs.
335.	06/23/09	Andrew Ferguson	Heritage Financial Services

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM B COMMENT LETTERS

	Date Letter Received	Sender	Company Name
336.	06/25/09	Lines R. Bob Ferguson, Jr.	New York Life Insurance Co.
337.	06/25/09	Bradley Fike	Fike Agency
338.	06/23/09	Karen Fike-Henderson	Fike Agency
339.	06/26/09	Steven Fisher	Stinkin Genius Productions
340.	06/23/09	Kevin FitzPatrick	The Cap Group
341.	06/27/09	Robert H. FitzSimmons	--
342.	06/24/09	Quin Flaig	State Farm Insurance
343.	06/23/09	Martin Flaxman	Windsor Insurance
344.	06/29/09	Helen Fliege	Thrivent Financial for Lutherans
345.	06/24/09	Sherry L. Flint	The Principal Financial Group
346.	06/23/09	Daniel J. Flores	Execfs
347.	06/29/09	Sherry Flynn	--
348.	06/23/09	Maureen E. Foley	New York Life Insurance Co.
349.	06/25/09	Robert W. Folger	--
350.	06/23/09	Grant Foster	NAIFA
351.	06/26/09	Bill Foudy	--
352.	06/26/09	Stephen Foust	Fin Svcs
353.	06/23/09	Frank Francione	--
354.	06/23/09	Steven Frank	--
355.	06/23/09	Rosie Franklin	New York Life Insurance Co.
356.	06/23/09	Sara Franklin	New York Life Insurance Co.
357.	06/25/09	Ben Freedman	New York Life Insurance Co.
358.	06/23/09	Erin Freize	Northwestern Mutual Financial Network
359.	06/23/09	Bob Frentzs	New York Life Insurance Co.
360.	06/23/09	Justin C. Frisco	Principal Financial Group
361.	06/23/09	Sue Fritz	--
362.	06/26/09	Jeffrey Fritzke	Met Life
363.	06/24/09	Heath A. Frost	Thrivent Financial for Lutherans
364.	06/25/09	Lisa Frye	State Farm Insurance
365.	06/23/09	Janelle Fuhrmann	Thrivent Financial for Lutherans
366.	06/23/09	Peter Fulchiron	--
367.	06/23/09	James M. Fuller	Snider Fuller
368.	06/25/09	Terry Fullmer	Prudential
369.	06/23/09	Donald T. Fulton	--
370.	06/23/09	Daniel Furtado	--
371.	06/23/09	Laurel Gabbard	Am Fam
372.	06/23/09	Guido Gaeffke	--
373.	06/23/09	Michael Gaeta	--
374.	06/23/09	Carisse Gafni	New York Life Insurance Co.
375.	06/25/09	Robert Gaines, Jr.	--
376.	06/23/09	Jay Gallacher	New York Life Insurance Co.
377.	06/29/09	Chris Gallman	--

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM B COMMENT LETTERS

	Date Letter Received	Sender	Company Name
378.	06/23/09	Michelle Gams	Retire Solutions
379.	06/23/09	Lawrence Ganim	Ganim Group
380.	06/29/09	Kim Garbers	Welchlin Associates
381.	06/23/09	Debra S. Garcia	SBC Global
382.	06/23/09	Frannie Gardner	Ayres Financial Group
383.	06/25/09	Vycke Garman	FBFS
384.	06/25/09	Arnette Garris	Thrivent Financial for Lutherans
385.	06/25/09	Richard Gary	SS&G Financial Services, Inc.
386.	06/23/09	Elizabeth Gavino	Lewin and Gavino
387.	06/23/09	Thomas Gearhart	Northwestern Mutual Financial Network
388.	06/23/09	Jim Geitgey	--
389.	06/26/09	Kent Georgel	Allstate
390.	06/23/09	Michael Gerber	NAIFA
391.	06/23/09	Arthur J. Gerry	J H Network
392.	06/23/09	Marshall W. Gifford	North Star Resource Group
393.	06/23/09	Steve Gifford	Mutual of Omaha
394.	06/23/09	Tom Gilbertson	AFSMN
395.	06/23/09	Keith M. Gillies	NAIFA
396.	06/29/09	Tim Gilman	Wealth SG
397.	06/26/09	F. James Ginnane	Fin Svcs
398.	06/25/09	Lloyd Ginsberg	Farmers Agent
399.	06/29/09	William Girone	--
400.	06/23/09	Melvin Glazier	Hartford Life
401.	06/26/09	Kayla Goetz	FBFS
402.	06/27/09	Dale Goff	AMPF
403.	06/23/09	Frank Golden	--
404.	06/24/09	David B. Goldfarb	Finsvcs
405.	06/26/09	Howard Gomer	Westland Insurance
406.	06/23/09	James Goodacre	SBC Global
407.	06/23/09	Shirley Goodacre	SBC Global
408.	06/23/09	Lawrence Gordon	New York Life Insurance Co.
409.	06/26/09	John Gossin	INEbraska
410.	06/25/09	Eldon Gourley	Country Financial
411.	06/23/09	Roy Grady	--
412.	06/25/09	Charles Graham	Ameritech
413.	06/23/09	Robert L. Graham	Graham Advisory
414.	06/23/09	Edgar L. Graves	--
415.	06/25/09	Joseph Gray	--
416.	06/23/09	Max Greene	--
417.	06/24/09	Judy Gregory	New York Life Insurance Co.
418.	06/26/09	Jim Griffin	New York Life Insurance Co.
419.	06/23/09	Mark Griffin	--

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
420.	06/23/09	Robert Gruber	--
421.	06/25/09	Shawn Gruenberg	Farmers Agent
422.	06/23/09	William R. Guise	Woodmen Financial Resources
423.	06/23/09	Gary Gundell	--
424.	06/23/09	James A. Gunn	LPL Financial
425.	06/23/09	Richard A. Gurdjian	--
426.	06/23/09	Charles Guthrey	LFG
427.	06/23/09	Richard Gutner	G. F. S. Brokerage Network
428.	06/23/09	Marc Haberman	Cypress Ridge Solutions
429.	06/25/09	John C. Haffner	Northwestern Mutual Financial Network
430.	06/23/09	Jill Halker	Hardy Financial Group
431.	06/25/09	Franklin Hall	--
432.	06/23/09	Randall Hall	Northwestern Mutual Financial Network
433.	06/23/09	William Hall	Hall and Associates
434.	06/23/09	Wyatt Hall	--
435.	06/25/09	Leah Hallock	State Farm Insurance
436.	06/23/09	Michael Halloran	--
437.	06/23/09	Heidi L. Halus	New York Life Insurance Co.
438.	06/25/09	Kirk Halverson	New York Life Insurance Co.
439.	06/23/09	James J. Van Ham	Country Financial
440.	06/23/09	Augustus Hampson	Northwestern Mutual Financial Network
441.	06/24/09	Sokhalay Hang	SGC Financial
442.	06/23/09	Lars Hansen	Saz Agency
443.	06/23/09	Sharon Hansen	--
444.	06/23/09	Sherri Hansen	--
445.	06/23/09	William Hanzlik	--
446.	06/25/09	William Haraway	--
447.	06/29/09	Ron Hargis	Tinker FCU
448.	06/23/09	Charles R. (Chad) Harlan	Northwestern Mutual Financial Network
449.	06/23/09	Chris Harmon	IOMS
450.	06/23/09	Elie Harriett	--
451.	06/25/09	Rosie Harrington	AmFam
452.	06/23/09	Dwight Harris	Pension Programs
453.	06/23/09	Ron Harris	Money Concepts
454.	06/23/09	Scott Harris	Carta Group
455.	06/26/09	Stephen E. Harris	AXA Advisors
456.	06/25/09	James Harrison	Cinat Bank
457.	06/23/09	John Hartman	J. Hartman Associates
458.	06/23/09	Timothy Hartnell	Country Financial
459.	06/25/09	Donna Hatcher	Garland Ins.
460.	06/28/09	Paul Hauser	--
461.	06/23/09	Philip Hauser	Iowa Connect

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
462.	06/23/09	Gary Havir	Horace Mann
463.	06/23/09	Art Hayes	Country Financial
464.	06/24/09	J. Sadler Hayes, II	--
465.	06/23/09	Scott Haynie	C Planning
466.	06/23/09	Kenneth Head	Head Financial
467.	06/23/09	Terry Headley	Headley Scott
468.	06/25/09	Mark R. Hedge	Knights of Columbus Insurance
469.	06/23/09	David Heeter	Northwestern Mutual Financial Network
470.	06/23/09	Judy Heidesch	FBFS
471.	06/27/09	Debby Hein	State Farm Insurance
472.	06/23/09	Michael Heintz	Allstate
473.	06/26/09	Bruce C Hendrickson	--
474.	06/23/09	Keith Hennessey	FBFS
475.	06/23/09	Jason Henry	CR Wealth Management
476.	06/23/09	Don Hensley	--
477.	06/25/09	Kyle Herman	Farmers Agent
478.	06/26/09	Pauline Hermann	FBFS
479.	06/28/09	Gary Hershgordon	--
480.	06/25/09	Nancy Hertwig	New York Life Insurance Co.
481.	06/25/09	Carl Hessel	--
482.	06/23/09	Allan Hibbard	Hibbard Financial
483.	06/25/09	Mark W. Hicks	Van Fin
484.	06/23/09	Wes Higgs	AmFam
485.	06/23/09	Christopher Higman	--
486.	06/26/09	Dean Hildebrand	Agency One Insurance
487.	06/25/09	David Hilditch	Woodbury Financial
488.	06/23/09	Donald Hill	InfarmBureau
489.	06/23/09	Michael Hill	Hill Financial & Insurance Services
490.	06/25/09	Tasha Jo Hill	Capital Planners, Inc.
491.	06/23/09	Edward Dee Hinds III	Hinds Financial Group, LLC
492.	06/25/09	Thomas Hodges	--
493.	06/29/09	Bonnie B. Hoegemeyer	Heritage Planning Financial Group
494.	06/23/09	Brett J. Hoffman	The Insurance Exchange, Inc.
495.	06/23/09	Kirk Hoffman	King Trust
496.	06/24/09	Nataniel Hoffman	North Star Financial
497.	06/25/09	David Hogan	American National Insurance
498.	06/23/09	J. Quinn Hogan	Northwestern Mutual Financial Network
499.	06/23/09	Melissa Holcomb	CFA Group
500.	06/23/09	Mark Holder	Northwestern Mutual Financial Network
501.	06/25/09	Jeff J. Holland & Ashley Watts	HollandStivers & Associates, LLC
502.	06/25/09	John S. Holmes III	New York Life Insurance Co.

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
503.	06/24/09	Stanley Holmes, Jr.	--
504.	06/25/09	Patricia Holtsclaw	MSHA
505.	06/25/09	Bryon Holz	--
506.	06/23/09	Lawrence Holzberg	Rampart Life
507.	06/23/09	Joni M. Horrell	Northwestern Mutual Financial Network
508.	06/25/09	Dennis Houlehan	Desmond Ins.
509.	06/23/09	Charles J. Housner	North Star Financial
510.	06/25/09	Janice Howard	Jan Howard Advising Your Future
511.	06/23/09	James R. Howell	Country Financial
512.	06/25/09	John Howes	State Farm Insurance
513.	06/29/09	Thomas Hruby	Paul Bunyan
514.	06/26/09	Todd Hruby	New York Life Insurance Co.
515.	06/26/09	Jerry Hubner	Hubner Financial
516.	06/25/09	George Hudspeth	--
517.	06/25/09	Robert B. Hughes	--
518.	06/23/09	Marcus Hunter	MetLife
519.	06/23/09	Matt Huntington	Farmers Agent
520.	06/25/09	Bob Hurley	AXA Advisors
521.	06/23/09	Joseph C. Hurlimann	PS&E, LLC
522.	06/25/09	Albert Hurst	--
523.	06/23/09	John Husbands	Soules Insurance
524.	06/23/09	Perry Imes	Imes Insurance Associates, Inc.
525.	06/26/09	Matt Immel	Immel Insurance & Financial Services
526.	06/29/09	David Ion	--
527.	06/23/09	Anthony Izzo	--
528.	06/25/09	Bryan Jackson	State Farm Insurance
529.	06/25/09	Jerry D. Jackson	--
530.	06/23/09	Andrew S. Jacobs	North Star Consultants, Inc.
531.	06/23/09	George A. Jacobs	Jacobs Financial
532.	06/23/09	Lewis Jacobs	Jacobs Co
533.	06/26/09	Brian D. Jacobsen	Farmers Agent
534.	06/24/09	Barbara James	Northwestern Mutual Financial Network
535.	06/26/09	Debbie Jans	--
536.	06/23/09	Douglas Jarett	--
537.	06/23/09	Richard Jasper	CFS LLC
538.	06/23/09	Robert Jenner	--
539.	06/26/09	David Jensen	Gossin Agency
540.	06/26/09	Paul S. Jensen	--
541.	06/25/09	Shawna Jewell	State Farm Insurance
542.	06/25/09	Earl Jewett	--
543.	06/23/09	Barry Johnson	--
544.	06/23/09	Chris Johnson	--

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
545.	06/23/09	Clarence Johnson	--
546.	06/25/09	Dell Johnson	FBFS
547.	06/23/09	James Seth Johnson	--
548.	06/25/09	Larry G. Johnson	FB Insmi
549.	06/25/09	Mark Johnson	Thrivent Financial for Lutherans
550.	06/23/09	Scott Johnson	--
551.	06/23/09	Freddy Johnston	Farmers Insurance District Office
552.	06/25/09	Joel Johnston	--
553.	06/23/09	Danielle Johs	--
554.	06/23/09	Kevin Joiner	NCF Bins
555.	06/23/09	Robert Joki	ING Financial Partners
556.	06/26/09	Andrew Jones	Thompson Financial Group
557.	06/26/09	Brian Jones	Northwestern Mutual Financial Network
558.	06/23/09	Douglas Jones	SCFBins
559.	06/23/09	Jason Jones	--
560.	07/26/09	Maye Jones	New York Life Insurance Co.
561.	06/23/09	Tracy Jones	Ernest J. Jones Assoc., Inc.
562.	06/23/09	Patricia Jorczak	MetLife
563.	06/23/09	Charles M. Jordan III	--
564.	06/29/09	Thomas Joseph	FFS Inc.
565.	06/23/09	Fred Joyner	CBA Insure
566.	06/25/09	Bradley Justice	Northwestern Mutual Financial Network
567.	06/23/09	Gary Kallo	--
568.	06/23/09	Arnold Kaminer	Kaminer Financial Group, Ltd.
569.	06/23/09	Charles M. Kardon	Financial PG
570.	06/25/09	Sam Kashanchi	MetLife
571.	06/25/09	David Kasprovicz	--
572.	06/24/09	Leroy Kawai	Pacific Bridge
573.	06/26/09	Warren Kearns	JO Life Capital
574.	06/26/09	William Kecskemety	SBC Global
575.	06/25/09	Gregg L. Keefer	Fin Svcs
576.	06/25/09	Sandra Keenan	Woodbury Financial
577.	06/25/09	Gary Kees	Horrace Mann
578.	06/25/09	Judith L. Keiner	--
579.	06/29/09	F. Nicholas Kelley	Fin Svcs
580.	06/23/09	Thecia Kelly-Smith	TK Smith
581.	06/25/09	Mike Kerns	Field Underwriters
582.	06/23/09	Ryan Keshenberg	North Star Consultants
583.	06/23/09	Jim Keung	Country Financial
584.	06/23/09	Carl L. Kickham	Fin Svcs
585.	06/23/09	Michael Kidd	Farmers Insurance and Financial Services
586.	06/23/09	Scott Kieper	MW Financial

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM B COMMENT LETTERS

	Date Letter Received	Sender	Company Name
587.	06/23/09	GW King	--
588.	06/23/09	Jim King	Northwestern Mutual Financial Network
589.	06/29/09	Frank Kinter	--
590.	06/26/09	Wayne Kissler	State Farm Insurance
591.	06/24/09	Peter Kitzerow	--
592.	06/29/09	Jaslynn Klein	Fin Svcs
593.	06/23/09	Edward Klesack	--
594.	06/25/09	Neal Kloke	--
595.	06/23/09	Gary D. Knapp	Country Financial
596.	06/26/09	Samantha Knisley	--
597.	06/25/09	John Knott	--
598.	06/29/09	Allen Knox	Associates
599.	06/23/09	Rhonda Knudson	AmFam
600.	06/23/09	John Koehler	--
601.	06/23/09	Michael Kolb	SFBCIC
602.	06/24/09	T. Kolkmann	--
603.	06/23/09	John Korzec	--
604.	06/29/09	Luba Kos	--
605.	06/25/09	Joseph Kosek	LFG
606.	06/26/09	William "Buddy" Kosic	--
607.	06/23/09	John Kotchian	Prudential
608.	06/25/09	Paul Koverdan	KYFB Ins.
609.	06/24/09	David Krake	OA Securities
610.	06/23/09	Patricia Krarup	SBC Global
611.	06/23/09	Martin M. Krause	Profinium Insurance Agency of Fairmont, Inc
612.	06/23/09	Robert Krikourian	--
613.	06/26/09	Doug Kruce	AMFam
614.	06/29/09	Bruce Kruse	Frontier Net
615.	06/29/09	Randy Kruse	FBFS
616.	06/29/09	Lanny Kuehl	New York Life Insurance Co.
617.	06/27/09	Otto Kuehne	New York Life Insurance Co.
618.	06/23/09	Teresa Kuhn	--
619.	06/23/09	Lloyd Kull	Kull Agency
620.	06/25/09	Daniel Kunhardt	New York Life Insurance Co.
621.	06/29/09	Alexandra Kurlowicz	Metlife
622.	06/25/09	Kevin M. Kutz	Creative Insurance Solutions, LLC
623.	06/23/09	Jeff Kyle	--
624.	06/23/09	Anthony P. Ladas	--
625.	06/25/09	Keith Laidlaw	Allstate
626.	06/23/09	Frank Laise	Capital Wealth Advisory, LLC
627.	06/23/09	Scott Lake	--
628.	06/23/09	Lisa Laliberte	--

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
629.	06/26/09	Jim Lammers	Lammers Financial
630.	06/25/09	Chad Langeland	Northwestern Mutual Financial Network
631.	06/23/09	Michael A. LaPorte	LaPorte Financial Group/Walnut Street Securities, Inc.
632.	06/25/09	Heath Larkin	MetLife
633.	06/23/09	Sandra Latham	LTCI Partners
634.	06/23/09	Mitch Laughton	The Laughton Company
635.	06/24/09	Drew Lawrence	--
636.	06/25/09	Marcia Lawson	Thrivent Financial for Lutherans
637.	06/25/09	Nicholas Lawton	Solidarity Financial
638.	06/25/09	David Lazell	FBFS
639.	06/26/09	J. Chris LeBlanc	MFG 4 Life
640.	06/29/09	Mark Lee	--
641.	06/26/09	Lary Lehman	--
642.	06/27/09	Henry Lehn	--
643.	06/29/09	William Lehr	--
644.	06/29/09	Jim LeMessurier	State Farm Insurance
645.	06/26/09	Lynda Lenz	--
646.	06/23/09	Nathan M. Leonardelli	Rural Ins,
647.	06/23/09	William P. Leschinsky	--
648.	06/23/09	Shayla Lester	PCRG
649.	06/26/09	John Levin	FBFS
650.	06/25/09	Michael Levin	--
651.	06/25/09	Betty A. Lewis	New York Life Insurance Co.
652.	06/29/09	Dewane Lewis	--
653.	06/23/09	Jonathan Lewis	--
654.	06/26/09	Marylee Lewis	Koptis
655.	06/23/09	Larry R. Lexow	Fin Svcs
656.	06/24/09	Kelli Liepke	Winter and Associates
657.	06/23/09	William Lind	--
658.	06/23/09	Paul A. Lindberg	3 Rivers Financial
659.	06/23/09	Karen Lindsay	TSSI
660.	06/23/09	Steven Lindsay	Thrivent Financial for Lutherans
661.	06/24/09	Brian D. Lipinski	Executive Brokerage Services, Inc.
662.	06/24/09	Les Littleton	SBC Global
663.	06/25/09	Courtney L. Livingston	Thrivent Financial for Lutherans
664.	06/26/09	Daniel T. Lloyd	--
665.	06/29/09	Sylvester Lloyd	Fin Svcs
666.	06/23/09	Jonathan Lohman	Lohman Companies
667.	06/25/09	Stan Lovelace	STG Fin.
668.	06/23/09	Doyle Lowe	TXFB-Insurance
669.	06/24/09	Daniel Lucas	--

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
670.	06/23/09	Donna Ludovissy	Friedman Group
671.	06/23/09	Philip Lukins	--
672.	06/27/09	William R. Lund	--
673.	06/25/09	Patrick Lyman	--
674.	06/23/09	Karen Lynaugh	--
675.	06/23/09	Scott Macaluso	--
676.	06/25/09	Catherine MacEachen	--
677.	06/23/09	Christopher John Mackenzie	Northwestern Mutual Financial Network
678.	06/23/09	Smokey Maggard	--
679.	06/23/09	John Maggio	--
680.	06/23/09	Debra K. Maher	Thrivent Financial for Lutherans
681.	06/25/09	Tim Mahoney	New York Life Insurance Co.
682.	06/23/09	Matthew Makowski	SGC Financial
683.	06/25/09	Louis Malherbe	Farmers Agent
684.	06/23/09	Michael Malinowski	Crump
685.	06/26/09	Ron Mallam	Windstream
686.	06/23/09	Ronald Maloney	--
687.	06/29/09	Lisa Mancinelli	--
688.	06/23/09	Philip Maness	AXA Advisors
689.	06/24/09	Caroline Manger	--
690.	06/24/09	Michael Mantong	Allstate
691.	06/25/09	William Marcus	Source 1 Fin.
692.	06/25/09	Spencer Mark	Fin Svcs
693.	06/29/09	Thomas W. Markley	--
694.	06/23/09	Donald C. Marriott	New York Life Insurance Co.
695.	06/23/09	Angela Marshall	--
696.	06/28/09	E. Lindsay Marston, Jr.	--
697.	06/27/09	Ford Martin	The-CIA
698.	06/23/09	Ken Martin	Advisor Tool
699.	06/23/09	Scott Martin	--
700.	06/25/09	Karen Martinie	Northwestern Mutual Financial Network
701.	06/24/09	Brad M. Maruschak	The Spectrum Financial
702.	06/23/09	William Mathers	Thrivent Financial for Lutherans
703.	06/25/09	Michael Mathews	Northwestern Mutual Financial Network
704.	06/23/09	Terry Mathias	--
705.	06/29/09	Mark Matulia	--
706.	06/26/09	Lisa Maxwell	State Farm Insurance
707.	06/26/09	Jason May	State Farm Insurance
708.	06/25/09	Richard Maze	Woodbury Financial
709.	06/26/09	Stanly McAfee	FBFS
710.	06/23/09	Barry McBride	SunCornerstone
711.	06/23/09	Thomas McCaffrey	Allstate

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
712.	06/23/09	Sean McCann	Eagle Strategies
713.	06/27/09	J. Edward McClendon	--
714.	06/25/09	Mike McClure	STGFIN
715.	06/23/09	Jay McCluskey	New York Life Insurance Co.
716.	06/25/09	Sherrell McConnell	State Farm Insurance
717.	06/24/09	Melissa McConville	Kiselis
718.	06/26/09	Larry E. McCoy	New York Life Insurance Co.
719.	06/23/09	Wayne McCullough	MFG 4 Life
720.	06/23/09	Charles McDaniels	McDainels Financial
721.	06/29/09	Ron McDonald	BBM Ins.
722.	06/25/09	John McDowell	Fin Svcs
723.	06/28/09	Phillip Shaun McDuffee	North Star Financial
724.	06/25/09	Linda McFarland	--
725.	06/28/09	Ann McGreevy	MetLife
726.	06/23/09	William K. McGreevy	McGreevy Associates
727.	06/23/09	James McGuinness	SBU Ins.
728.	06/25/09	Susan McKay	--
729.	06/26/09	Lamar McKenzie	State Farm Insurance
730.	06/25/09	Juli McNeely	McNeely Financial
731.	06/28/09	Stephen McNeely	McNeely Financial
732.	06/24/09	Howard McRoberts	--
733.	06/23/09	Larry D. Medaris	Country Financial
734.	06/23/09	Andy Meehan	eSoutheastern
735.	06/25/09	Kelly Meldrum	State Farm Insurance
736.	06/23/09	Sandra Melendi	--
737.	06/23/09	C. Kenneth Melvin	NCF bins
738.	06/25/09	Timothy Melvin	Horace Mann
739.	06/23/09	Thomas Menozi	Country Financial
740.	06/23/09	Jude Mertes	Country Financial
741.	06/27/09	Angela Mueting	Thrivent Financial for Lutherans
742.	06/23/09	David Michalski	NYLTCB
743.	06/23/09	Willis Middlemiss	--
744.	06/25/09	Tom Midkiff	--
745.	06/23/09	Joseph Mignogna	--
746.	06/25/09	Matt Miles	Miles Financial Services
747.	06/23/09	Sandra Miles	FBFS
748.	06/23/09	Carolyn Miller	General Agency Company
749.	06/23/09	Dennis Miller	--
750.	06/23/09	Jonathan Miller	--
751.	06/23/09	Michael Miller	Farmers Agent
752.	06/24/09	Thomas Miller	New York Life Insurance Co.
753.	06/29/09	David Mills	--

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM B COMMENT LETTERS

	Date Letter Received	Sender	Company Name
754.	06/23/09	Holland "Dutch" Mills	--
755.	06/23/09	Robert Mills	Mills, McCaghren & Associates
756.	06/24/09	KC Mink	TP Group
757.	06/24/09	Mark J. Modzeleski	Syracuse
758.	06/25/09	Jeff Mohr	--
759.	06/26/09	Brian C. Moldt	Moldt Financial
760.	06/25/09	Katrina Molter	--
761.	06/23/09	Michael Monroe	Allstate
762.	06/23/09	Bruce D. Moore	State Farm Insurance
763.	06/24/09	Jarrett Moore	Utulsa
764.	06/28/09	Tim Moran	--
765.	06/27/09	Jeff Morehead	Monumental Life Insurance
766.	06/23/09	Kim Morgan	--
767.	06/23/09	Nancy A. Morgan	State Farm Insurance
768.	06/29/09	Norman Morgan	--
769.	06/23/09	Robby Morris	New York Life Insurance Co.
770.	06/23/09	Travis Morrow	3 Rivers Financial
771.	06/23/09	Charles Morton	LFG
772.	06/23/09	Derrick Morton	GLIC
773.	06/23/09	Linda Morton	--
774.	06/23/09	Edward C. Moscato	Edward C. Moscato Insurance & Financial Services
775.	06/25/09	Stephen Moscinski	--
776.	06/23/09	Jim Moseley	Moseley McGill
777.	06/25/09	Connie Mosley	--
778.	06/24/09	John Mosley	Eagle Strategies
779.	06/23/09	Kent E. Moss	--
780.	06/23/09	Scott A. Mullen	PBSGO
781.	06/24/09	Larry Mullins	MCHSI
782.	06/29/09	Lisa Mulvaney	--
783.	06/25/09	Raymond Munger	Field Underwriters
784.	06/23/09	Kevin Murphey	--
785.	06/25/09	Richard C. Murphy	--
786.	06/25/09	Gregory Murray	STG Fin
787.	06/25/09	Trevor Murray	--
788.	06/23/09	Scott Nasca	Country Financial
789.	06/23/09	Jamal Nasser	--
790.	06/27/09	Brian Nauman	--
791.	06/25/09	Dallas H. Neal	--
792.	06/25/09	Dawn Nelson	--
793.	06/25/09	Mark Nelson	Allstate
794.	06/26/09	Michael Nepl	--

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
795.	06/24/09	Marc Neuburger	--
796.	06/26/09	Andrew Nevin	DW Associates
797.	06/24/09	Charles Newman	--
798.	06/24/09	Gerald Newton	New York Life Insurance Co.
799.	06/23/09	Thomas Newton	SBC Global
800.	06/23/09	Daniel M. Nichols	Strategic Financial Group, LLC
801.	06/25/09	Kevin Nicholson	WNFG
802.	06/26/09	Janice Ruth Nickell	Horace Mann
803.	06/25/09	Zachary A. Nielson	HFGMT West
804.	06/23/09	Richard Nilmeier	SBC Global
805.	06/23/09	Lee Ninneman	Packerland Brokerage
806.	06/23/09	Clark Nisbett	LPL Financial Advisor
807.	06/24/09	Joseph Nolan	AXA Advisors
808.	06/23/09	Barbara Norman	--
809.	06/29/09	John Norman	--
810.	06/23/09	Barbara A. Nye	J. Alden Associates, Inc.
811.	06/26/09	Brian O'Brien	Principal
812.	06/23/09	James O'Hara	Northwestern Mutual Financial Network
813.	06/23/09	Timothy O'Shea	LFG
814.	06/26/09	Ronald Oakley	WS Life
815.	06/25/09	Gregory Ochalek	Gregory & Ingrid Ochalek
816.	06/23/09	James Oder	State Farm Insurance
817.	06/23/09	Eric Odle	John Drakulich
818.	06/23/09	Patrick Olguin	--
819.	06/23/09	Rex Oliver	INFO West
820.	06/26/09	Sam Olshan	Fifth Ave. Financial
821.	06/23/09	Charles Olson	OCI Services
822.	06/23/09	Charles Olson II	OCI Services
823.	06/23/09	Mark Olson	--
824.	06/25/09	Vince Orlando	Eager 1
825.	06/23/09	Roscoe Orton	--
826.	06/26/09	Faye Osborn	--
827.	06/23/09	Daryl Osmus	Thrivent Financial for Lutherans
828.	06/29/09	Joshua T. Oswald	Northwestern Mutual Financial Network
829.	06/25/09	Christyne J. Overbeek	Northwestern Mutual Financial Network
830.	06/23/09	Todd Overbeek	Benefits That Fit
831.	06/23/09	Aldous K. Paalani	--
832.	06/23/09	W.R. Bob Page	--
833.	06/23/09	Michael Palet	--
834.	06/25/09	Paula M. Palmer	--
835.	06/25/09	Ted Paris	--
836.	06/23/09	John Park	--

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM B COMMENT LETTERS

	Date Letter Received	Sender	Company Name
837.	06/27/09	Irene Parker	--
838.	06/23/09	Shelley Parson	Farmers Agent
839.	06/26/09	Bob Parsons	Allstate
840.	06/25/09	Joe Partise	JP Advisor
841.	06/23/09	Ferlincia Patterson	State Farm Insurance
842.	06/23/09	Richard Patterson	--
843.	06/25/09	James Patton	Northwestern Mutual Financial Network
844.	06/23/09	John E. Pauley	New York Life Insurance Co.
845.	06/25/09	Matt Pawloski	State Farm Insurance
846.	06/23/09	Garry Payne	LFG
847.	06/25/09	Ronald L. Peabody	New York Life Insurance Co.
848.	06/25/09	Todd Pearson	--
849.	06/26/09	Jack Peckinpaugh	Peckinpaugh & Beasley, Inc.
850.	06/23/09	David J. Pederson	North Star Financial
851.	06/23/09	David J. Peichert	--
852.	06/23/09	George Peralta	CBS Financial
853.	06/23/09	J. Reynolds Perlee	LFG
854.	06/23/09	Les Perlson	CB Planning Corp.
855.	06/25/09	Kevin Perry	--
856.	06/26/09	Lee G. Pesakoff	Fin Svcs
857.	06/23/09	John Peters	PWSAZ
858.	06/23/09	Cynthia Petersen	--
859.	06/29/09	Brett Peterson	Benfinancial
860.	06/23/09	Derek Peterson	Northwestern Mutual Financial Network
861.	06/25/09	James G. Peterson	Marshall
862.	06/23/09	John Peterson	Dempsey Serves
863.	06/23/09	Rick Peterson	MetLife
864.	06/26/09	Peter Petrakis	New York Life Insurance Co.
865.	06/29/09	Donovan Pfaff	Fin Svcs.
866.	06/25/09	Ben Phillips	Northwestern Mutual Financial Network
867.	06/28/09	James Phillips	SBC Global
868.	06/29/09	Garry Phipps	AmFam
869.	06/23/09	Chad Picou	Affiliated Insurance
870.	06/25/09	Kelly Pinney	Mang Insurance
871.	06/25/09	Patricia Pinney	Maine Insure
872.	06/26/09	R. Jan Pinney	Pinney Insurance
873.	06/26/09	Brian Pitell	Park Avenue Securities
874.	06/26/09	Steve Politz	State Farm Insurance
875.	06/23/09	Norman Politziner	--
876.	06/23/09	Robert Pollinger	Del Mar Financial Planning
877.	06/25/09	Lesley Post	--
878.	06/25/09	Jerry Potter	--

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
879.	06/23/09	Charles W. Potts	--
880.	06/23/09	Mary Powers	State Farm Insurance
881.	06/26/09	Edward Prescott	PMG Financial
882.	06/25/09	Robert Preston	FDG Online
883.	06/23/09	Hillary Koritz Price	Koritz Insurance
884.	06/25/09	Michael Priganc	Fortune Financial Services
885.	06/29/09	Charles R. Pruett	Northwestern Mutual Financial Network
886.	06/26/09	Michael Pruitt II	NCFBINS
887.	06/23/09	Abe Poretz	MetLife
888.	06/23/09	Dave Quaglia	--
889.	06/29/09	Denton Quick	Thrivent Financial for Lutherans
890.	06/25/09	Larry Quigley	--
891.	06/26/09	Fred Quinn	--
892.	06/29/09	Koriahn Quint	LPL
893.	06/26/09	Lynn Quirion	Maine Insure
894.	06/29/09	Michelle Raber	--
895.	06/23/09	Brad T. Raborn	Allstate
896.	06/24/09	Duncan Radcliffe	Principal
897.	06/23/09	Rollin Radwick	The Nautilus Group
898.	06/24/09	Barry K. Rake	KA Baine
899.	06/25/09	Silvia Ramos	Allstate
900.	06/23/09	Gregory Randolph	Northwestern Mutual Financial Network
901.	06/23/09	James Rankin	Wil Sec
902.	06/23/09	Jeffrey Ranz	Allstate
903.	06/29/09	Nancy Rausch	C.M. Smith Agency, Inc.
904.	06/26/09	Thomas Rausch	Rausch Ins.
905.	06/23/09	Don Reader	--
906.	06/25/09	Kurt Reber	Reber and Associates
907.	06/24/09	Rob Recine	NYL
908.	06/25/09	Larry Redden	Met Life
909.	06/25/09	Ottis Reed	KYFB Ins.
910.	06/23/09	Steve Reed	Northwestern Mutual Financial Network
911.	06/27/09	David J. Reedy	--
912.	06/23/09	Michael Reid	New York Life Insurance Co.
913.	06/26/09	Thomas Reikse	LTCI Partners
914.	06/25/09	Alan Resnik	Ozan & Resnik
915.	06/23/09	Dale Rettenmeier	AXA-Advisors
916.	06/23/09	Jeremy Rettick	CR Producers
917.	06/25/09	Steven Reuter	Northwestern Mutual Financial Network
918.	06/29/09	Randy Rhodes	Financial Solutions NE
919.	06/25/09	Lisa Rice	--
920.	06/25/09	William T. Rice	--

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM B COMMENT LETTERS

	Date Letter Received	Sender	Company Name
921.	06/25/09	Suzan K. Richar	--
922.	06/23/09	Ted L. Ridings	--
923.	06/24/09	Tom Ripperda	--
924.	06/23/09	John Rippinger	RFG Inc.
925.	06/25/09	Burt Ritchie	State Farm Insurance
926.	06/24/09	Dale Robertson	VAFB
927.	06/25/09	Patrick Robison	Northwestern Mutual Financial Network
928.	06/25/09	Meagen E. Roddy	Lifetime Financial
929.	06/25/09	Gary Roebuck	--
930.	06/25/09	Tim Roels, Jr.	Hyoder
931.	06/23/09	Darlene Roe-Poundstone	MTCO
932.	06/23/09	Randall Roethel	Roethel Financial
933.	06/29/09	Vincent B. Rogers	Compass Financial Group
934.	06/29/09	John Roland	--
935.	06/23/09	Rex Rolfig	MN Life
936.	06/25/09	Brett Romine	Country Financial
937.	06/24/09	Gregory A. Ronneburger	AXA Advisors
938.	06/29/09	Kevin R. Rood	Chartered Financial Consultant
939.	06/23/09	Howard Rosenblatt	--
940.	06/23/09	Jodi Rosenbloom	--
941.	06/23/09	Thomas Roser, Jr.	CPlanning
942.	06/23/09	Tom Rountree	Rountree AFP
943.	06/23/09	Robert Routson	New York Life Insurance Co.
944.	06/29/09	Anne M. Rubeo	--
945.	06/23/09	Gary Ruden	--
946.	06/25/09	Sheryl Ruiz	Oxbow Mkt
947.	06/26/09	Philip Russell	--
948.	06/26/09	Sarah Rutledge	OCI Services
949.	06/23/09	Ralph Sabbagh	Pacific Advisors
950.	06/26/09	Arthur Sachs	Metlife
951.	06/26/09	Jeff Sadler	--
952.	06/23/09	Gregory Sailer	Sailer Benefit
953.	06/27/09	Rich Salvin	--
954.	06/23/09	Chad Eric Salzwedel	Minnesota Financial
955.	06/23/09	Cindy Samuels	--
956.	06/25/09	William Sanderson	Your IFG
957.	06/23/09	Timothy Sands	--
958.	06/24/09	Jennifer Sauter	--
959.	06/23/09	Sean Savage	Savage and Associates
960.	06/23/09	Tom Scallon	AXA Advisors
961.	06/26/09	Tu Scaparotti	State Farm Insurance
962.	06/25/09	Gregory Scherschel	Northwestern Mutual Financial Network

REGULATORY NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
FORM B COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
963.	06/23/09	Renee Schiffhauer	--
964.	06/26/09	Joseph B. Schildt	Fin Congp
965.	06/25/09	Bradley Schlafer	Schlafer Financial
966.	06/23/09	Gregg Schlaudecker	--
967.	06/26/09	Donald Schleicher	Schleicher Financial
968.	06/26/09	Donna Schmidt	Clay and Land
969.	06/24/09	Edward Schmitt	--
970.	06/23/09	Edward Schmitz	--
971.	06/26/09	Ronald Schmitz	AXA Advisors
972.	06/23/09	Peggy D. Schneider	Allstate
973.	06/26/09	Todd Schober	Johnson Ins.
974.	06/23/09	Daniel Scholz	Qwest
975.	06/23/09	Paul Scholz	OCI Services
976.	06/25/09	Jeffrey A. Schumaker	Henriott
977.	06/23/09	Marc Schwartz	Windsor Insurance
978.	06/23/09	Camelia Scott	LMG Consulting, LLC
979.	06/26/09	Danette Scott	Gossin Agency
980.	06/25/09	Walter D. Scott	New York Life Insurance Co.
981.	06/23/09	Shannon Sealey	KSC Benefits
982.	06/23/09	Harry E Sechman	H.E. Sechman Retirement Planning
983.	06/24/09	Joe Seed	--
984.	06/25/09	Sanford Seide	--
985.	06/23/09	Jack Seligson	--
986.	06/23/09	Danielle Yvette Sellers	Prudential
987.	06/25/09	Walter J. Sexton	--
988.	06/23/09	Lawrence Shafier	Prudential
989.	06/29/09	Roy Shankel	Charter MI
990.	06/24/09	Bruce Shaw	Holmes-Shaw
991.	06/24/09	Scott W. Shaw	Veritas Strategies, Inc.
992.	06/26/09	William D. Shaw	Nav Fin
993.	06/26/09	Kenneth Shelin	Keystone FBR
994.	06/29/09	Paul Sherburne	PCTR
995.	06/23/09	Shine Shim	City Insurance
996.	06/23/09	Rex P. Shipp	Vantage Financial
997.	06/25/09	Meliss Shumaker	Jackson Brokerage
998.	06/29/09	Larry Siegfried	--
999.	06/25/09	Roger Sill	Infarm Bureau
1000.	06/23/09	David Silver	Ackley Financial Group
1001.	06/26/09	Cindy Simcox	Aflac
1002.	06/29/09	Timothy Simmons	--
1003.	06/23/09	Joshua Sirek	TC Agency
1004.	06/23/09	Marc Siverson	Wagner Financial Services

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM B COMMENT LETTERS

	Date Letter Received	Sender	Company Name
1005.	06/23/09	Peter Skelton	KALF
1006.	06/23/09	Lisa Skinner	GP Com
1007.	06/25/09	Marsha H. Slater	--
1008.	06/25/09	Jeffrey Slattery	New York Life Insurance Co.
1009.	06/23/09	Aaron Smith	--
1010.	06/23/09	Charles A. Smith	TCFG-FL
1011.	06/23/09	Edward Smith	Integrated Equity
1012.	06/25/09	George P. Smith, Jr.	State Farm Insurance
1013.	06/26/09	Gerald Smith	OFG Financial
1014.	06/26/09	Pamela Smith	OFG Financial
1015.	06/23/09	Ray Smith	AIC Invest
1016.	06/26/09	Ronald J. Smith	R.J. Smith & Associates
1017.	06/23/09	Russell Smith	Torimax
1018.	06/25/09	Kathy Smithson	--
1019.	06/23/09	Craig Snavelly	Farmers Agent
1020.	06/28/09	Jack K. Snow	Triad
1021.	06/25/09	Greg Snyder	State Farm Insurance
1022.	06/29/09	Doug Snyders	MWA Rep
1023.	06/23/09	Art Sobczak	The Hartford – Cleveland Life Sales
1024.	06/26/09	David Sola	Thrivent Financial for Lutherans
1025.	06/23/09	Kathy Soonier	--
1026.	06/23/09	Glenn Sowalskie	New York Life Insurance Co.
1027.	06/29/09	K. Mark Spears	Prudential
1028.	06/25/09	Dave Spellman	--
1029.	06/26/09	Marvin Spreen	Thrivent Financial for Lutherans
1030.	06/25/09	Anthony Spurlock	--
1031.	06/24/09	Joanne Squires	New York Life Insurance Co.
1032.	06/23/09	William Stagner	--
1033.	06/23/09	Jon B. Stang	Stang Insurance Group
1034.	06/23/09	Jim Stasios	--
1035.	06/25/09	Paul Stec	Farmers Agent
1036.	06/25/09	John P. Steele	Mebc Inc.
1037.	06/26/09	Ava Steinbrink	--
1038.	06/23/09	Al Stelling	FBFS
1039.	06/25/09	Stafford Stephenson	--
1040.	06/29/09	Charles Stevens	Farmers Agent
1041.	06/25/09	Brett Stewart	FBFS
1042.	06/24/09	David Stieber	--
1043.	06/23/09	Joseph Stiles	The ONF Group
1044.	06/29/09	Michael Stimmel	FBFS
1045.	06/25/09	Anita Stinnett	AXA-Advisors
1046.	06/29/09	Lauren Stone	Lauren Stone Agency

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM B COMMENT LETTERS

	Date Letter Received	Sender	Company Name
1047.	06/25/09	David L. Stratton	LFG
1048.	06/24/09	Garrick Straub	--
1049.	06/26/09	Raymond Straub	Fin Svcs
1050.	06/24/09	Thomas Straub	FAODV
1051.	06/26/09	Margaret Stubbs	--
1052.	06/23/09	Wm. M. Stubbs	Stubbs and Associates
1053.	06/29/09	James Stueck	--
1054.	06/25/09	John Styer	New York Life Insurance Co.
1055.	06/24/09	Bob Sukolsky	Northwestern Mutual Financial Network
1056.	06/23/09	John Sullivan	John Sullivan CLU
1057.	06/24/09	Peter Sullivan	Sullivan Financial Group
1058.	06/24/09	David J. Sullwold	WFG Advisors
1059.	06/23/09	Dennis Sunderman	LBL Group
1060.	06/23/09	Gary Sutter	Fin Svcs
1061.	06/25/09	Stephanie Sutter	KYFB Ins.
1062.	06/25/09	Janice Sutton	--
1063.	06/23/09	Jozef Svec	SBC Global
1064.	06/23/09	Steve Swann	State Farm Insurance
1065.	06/24/09	G. Scott Sweeney	--
1066.	06/23/09	Christopher L. Sweet	New York Life Insurance Co.
1067.	06/24/09	Robert Sweiss	Country Financial
1068.	06/26/09	Charles Swoope	New York Life Insurance Co.
1069.	06/23/09	Joseph Sztapka	MWA Rep
1070.	06/26/09	Susan Tabar	Allstate
1071.	06/24/09	Jeffrey J. Taggart	--
1072.	06/23/09	Luke Tai	Sage Point Advisor
1073.	06/23/09	Donald Talerico	Prudential
1074.	06/23/09	Mark Tan	Country Financial
1075.	06/25/09	Barney G. Tanner	New York Life Insurance Co.
1076.	06/25/09	Barney G. Tanner	New York Life Insurance Co.
1077.	06/26/09	Stephen Target	--
1078.	06/24/09	Ted Tasky	RFG Chicago
1079.	06/23/09	Matthew Tassej	Scribner Insurance
1080.	06/26/09	Edward Tate, Jr.	SBC Global
1081.	06/25/09	Robert L. Taylor	--
1082.	06/23/09	David Teche	CFSL Inc.
1083.	06/23/09	Randall Teegardin	360 Financial Partners, LLC
1084.	06/23/09	Mark Teitelman	Insurance PA
1085.	06/29/09	Kimberley Templin	--
1086.	06/29/09	Michael Theis	I Nebraska
1087.	06/23/09	Steven B. Theising	Ins Bus Plan
1088.	06/24/09	Brent D. Thoman	BPFS, Inc.

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM B COMMENT LETTERS

	Date Letter Received	Sender	Company Name
1089.	06/23/09	Robert Thunselle	Thrivent Financial for Lutherans
1090.	06/24/09	Lynn Thurgood	Benfinancial
1091.	06/25/09	Robin Thurston	Sacoriver
1092.	06/25/09	Deborah Tiell	--
1093.	06/23/09	Frankie Tilley	--
1094.	06/23/09	Mark Tiralosi	--
1095.	06/23/09	William Toay	--
1096.	06/23/09	Christopher G. Tobey	--
1097.	06/23/09	John O. Todd III	Northwestern Mutual Financial Network
1098.	06/24/09	Ben Tomaino	Allstate
1099.	06/24/09	Kathleen Totman	--
1100.	06/29/09	Charlie Totoro	State Farm Insurance
1101.	06/23/09	David L. Towry, Sr.	New York Life Insurance Co.
1102.	06/25/09	Stephen Travers	Western Rivers
1103.	06/25/09	Vitamarie Trincali	MetLife
1104.	06/23/09	Chad Troester	Mutual of Omaha
1105.	06/24/09	Jim Trout	--
1106.	06/23/09	William J. Trueman	AAA Michigan
1107.	06/26/09	Kenneth Truman	New York Life Insurance Co.
1108.	06/23/09	Frederick Tucker	Biddle Services
1109.	06/23/09	John Tucker	--
1110.	06/26/09	Mitchell Tunink	Gossin Agency
1111.	06/26/09	Brian D. Turner	FBFS
1112.	06/23/09	Frederick Turner	--
1113.	06/23/09	Lynda D. Turner	AXA Advisors
1114.	06/23/09	Karin Tyson	The AFP Group
1115.	06/25/09	Charmaine Uhrig	State Farm Insurance
1116.	06/25/09	Stephen Urash	Prudential
1117.	06/25/09	Stuart Valen	AXA Advisors
1118.	06/23/09	Peter Valeri	Valeri Agency
1119.	06/25/09	Ralph Van Winkle	VWIG
1120.	06/23/09	Phillip A. Vance	--
1121.	06/23/09	Robert Vandy	--
1122.	06/23/09	Harriet A. Veenker	North Woods Retirement Services
1123.	06/24/09	Julie A. Veltus	Fin Svcs
1124.	06/25/09	Michael Venters	ANPACNM
1125.	06/25/09	Thomas Vickers III	FPA Wealth Mgmt
1126.	06/29/09	Peter Viliesis	The Executive Benefits Guy
1127.	06/25/09	George M. Villa	MTCO
1128.	06/25/09	Michele Vitale	--
1129.	06/23/09	Tom Voake	Effective Choices
1130.	06/23/09	Tom Vorenberg	Vorenberg Associates

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM B COMMENT LETTERS

	Date Letter Received	Sender	Company Name
1131.	06/25/09	Kristopher Wadsworth	MetLife
1132.	06/23/09	Allen Wagner	--
1133.	06/23/09	Gloria Wagner	Met Life
1134.	06/26/09	Thomas Wagner	Fin Svcs
1135.	06/23/09	Wayne T. Wagner	New York Life Insurance Co.
1136.	06/23/09	William Wagner	--
1137.	06/23/09	Brian H. Wahe	Fin Svcs
1138.	06/25/09	Robert E. Wahrman	FBFS
1139.	06/26/09	John Walker	FB Ins Mi
1140.	06/23/09	Leigh Wallace	--
1141.	06/23/09	Richard W. Walsh	Walsh Financial Services
1142.	06/23/09	Jerry Ward	--
1143.	06/23/09	Peirce Ward	--
1144.	06/24/09	Roy Ward	State Farm Insurance
1145.	06/26/09	Thomas Waring, Jr.	Fin Svcs
1146.	06/26/09	Terry Washburn	ANPAC ANICO
1147.	06/26/09	Dr. Napoleon Washington, Jr.	SBC Global
1148.	06/25/09	Wesley Watkins	UDB Insurance
1149.	06/26/09	Cynthia S. Watson	--
1150.	06/26/09	Sherry L. Watson	--
1151.	06/23/09	Sandra Way	--
1152.	06/23/09	Steve Way	--
1153.	06/29/09	Toni Weaver	Future Focus Financial
1154.	06/23/09	Eric Weinberg	--
1155.	06/23/09	Richard Weirnerman	LFG
1156.	06/23/09	Scott Weinstein	--
1157.	06/23/09	John Weiss	--
1158.	06/23/09	Kirsten Weiss	--
1159.	06/25/09	Thomas Weiss	Fin Svcs
1160.	06/25/09	Daniel Wells	Farmers Agent
1161.	06/26/09	Kathleen A. Wells	--
1162.	06/26/09	Marlin D. Wells	AXA Advisors
1163.	06/25/09	Herman Werner	--
1164.	06/23/09	Robert West	--
1165.	06/29/09	Keith Westbrook	--
1166.	06/23/09	Bonita Westfall	--
1167.	06/28/09	Paul Westhoven	MetLife
1168.	06/25/09	Bradley Wethington	SBC Global
1169.	06/23/09	Gail A. Wetzork	--
1170.	06/29/09	Sandy Wheaton	ING Financial Partners
1171.	06/23/09	Roger Whitaker	--
1172.	06/25/09	Brad White	P Financial

REGULATORY NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

FORM B COMMENT LETTERS

	Date Letter Received	Sender	Company Name
1173.	06/26/09	David White	DW Associates
1174.	06/25/09	Peter White	PFinancial
1175.	06/25/09	Donna Whited	--
1176.	06/25/09	Jan Whitehead	State Farm Insurance
1177.	06/25/09	Robert S. Whitmore	Discover CFI
1178.	06/25/09	Stephanie Whitson	--
1179.	06/26/09	Roger Whittaker	--
1180.	06/25/09	Stephen Widmer	IDFB Ins.
1181.	06/23/09	Allen L. Wiederstein	Allstate
1182.	06/23/09	Susan Wier	1 st American Trust
1183.	06/23/09	Evan Wilbanks	New York Life Insurance Co.
1184.	06/23/09	Mike Wilcox	MetLife
1185.	06/26/09	Thomas Wilkinson	Heritage Financial Services
1186.	06/25/09	Jennifer Williams	--
1187.	06/23/09	Arthur Wilson	--
1188.	06/26/09	Cliff F. Wilson	SAZ Agency
1189.	06/23/09	Clint Wilson	State Farm Insurance
1190.	06/23/09	Joseph Winslow	SGC Financial
1191.	06/25/09	Ronald B. Wiser	--
1192.	06/23/09	John M. Woleben	Friedman Insurance
1193.	06/23/09	Dwynette Wood	Medford
1194.	06/23/09	Barry Woolard	NCFbins
1195.	06/23/09	Marles Wyman	Douglas GRP Inc.
1196.	06/23/09	Wynn Hall	--
1197.	06/25/09	Don Yates	FBFS
1198.	06/23/09	Joe Yeager	Schafer Agency
1199.	06/29/09	Manny Yifat	Cornellins
1200.	06/25/09	Lawrence D. Yingling, Jr.	MetLife
1201.	06/29/09	J. Kenneth Yonan	--
1202.	06/25/09	James Young	Syracuse
1203.	06/23/09	Anthony Zambri	--

NOTICE 09-25			
Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations			
INDIVIDUAL COMMENT LETTERS			
	Date Letter Received	Sender	Company Name
1.	06/28/09	Ralph G Adamo	Integrity
2.	06/29/09	Andrew S Adil	CM Smith
3.	06/23/09	Aaron Agte	Vantage Wealth Management LLC
4.	06/26/09	Andrew K. Alepra	LPL Financial Services
5.	06/23/09	Byron F. Allen	American Savings Life Insurance Company
6.	06/25/09	George R. Allen	Northwestern Mutual Financial Network ("NMFN")
7.	06/26/09	Reid L Allen	Income Architects
8.	06/29/09	Amal Aly	SIFMA
9.	06/05/09	Antonio L. Amante	--
10.	06/23/09	Adam G Anderson	NMFN
11.	06/25/09	Sue Anderson	State Farm Insurance
12.	06/24/09	Terry Anderson	One America Securities
13.	06/24/09	Deborah Ann	Great American Senior Benefits
14.	06/23/09	Geoffrey Arnold	Benfinancial
15.	06/25/09	Gene R. Auriemma	Independent Insurance Agent
16.	06/25/09	Jerry Bailey	One America Securities
17.	06/06/09	William Baker	--
18.	06/23/09	Beverly Barr	Bar Associates, Inc
19.	06/24/09	Joe Bartkoski	Bankers & Investors, Inc.
20.	06/23/09	David P Barnett	Finsvcs
21.	06/25/09	Tom R Baughman	Finsvcs
22.	06/26/09	Mark Bauman	Union Central Life
23.	06/25/09	Michael Bennetti	--
24.	06/23/09	Michael Berenson	Morgan, Lewis & Bockius LLP
25.	06/25/09	Robert S Berz	Berz, White & Cooper
26.	06/23/09	Doug Beville	Profit Plans LLC
27.	06/24/09	Debra J Blair	FOADV
28.	06/23/09	Bronislaus Blaszkowski	Metlife
29.	06/26/09	Derek D Bohne	Farm Bureau Financial Services
30.	06/25/09	Norm Bohnert	State Farm Insurance
31.	06/23/09	Scott Bolitho	Glenwood Insurance Agency
32.	06/23/09	Peter L. Borowski	--
33.	06/23/09	Marlene Bowen	Mehringer Associates
34.	06/23/09	Richard N. Bowes	--
35.	06/21/09	Stuart D. Boxenbaum	--
36.	06/25/09	Douglas M. Brauer	Pacific Advisors, Inc.

NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

INDIVIDUAL COMMENT LETTERS

	Date Letter Received	Sender	Company Name
37.	06/29/09	Dale E Brown	Financial Services Institute (FSI)
38.	06/25/09	Robin Brown	State Farm Insurance
39.	06/26/09	Sharon Brown	State Farm Insurance
40.	06/29/09	Stephanie L Brown	LPL Financial
41.	06/23/09	Gloria J. Bruner	Phares Financial Services, Inc.
42.	06/24/09	Grover C. Bryan, Jr.	Liberty Agency
43.	06/23/09	Yvonne G. Bryant	IPASS
44.	06/29/09	Steve Buchanan	NCFBINS
45.	06/25/09	John Burlingame	Farmers Agent
46.	06/29/09	George E Burnette	--
47.	06/25/09	Wanda Caffrey	Ameritas Investment Corp.
48.	06/25/09	Tony Cammack	Cable Lynx
49.	06/23/09	Mark Cannon	Mark Cannon Insurance
50.	06/25/09	Mike Carney	Luttner Financial Group
51.	06/24/09	Tom Carsten	New York Life Insurance Co
52.	06/29/09	Robert R Carter and David A Stertzer	Association for Advanced Life Underwriting (AALU)
53.	06/29/09	Steven B Caruso	Maddox Hargett & Caruso, PC
54.	06/24/09	Glen Castle	Western Southern Life
55.	06/03/09	Peter J. Chepucavage	International Association of Small Broker Dealers and Advisors (Plexus Consulting LLC)
56.	06/25/09	Jake Chesney	O.N. Equity Sales Company
57.	07/16/09	Ernest A Chletcos	New York Life Insurance Company
58.	06/24/09	Marlene Ciapetti	--
59.	06/23/09	Lorry Ciporkin	Ciporkin Care
60.	06/24/09	Larry C. Clayton	CFH Financial Services, Inc.
61.	06/26/09	Kris Cloyd	--
62.	07/21/09	G Ted Coene	Pacific Southwest Region
63.	06/24/09	Steven C. Colson	OFG Financial
64.	06/25/09	Bill Conley	State Farm Insurance
65.	06/25/09	Buell Connell	State Farm Insurance
66.	06/25/09	Bob Coode	Skoda Minotti
67.	06/08/09	Phillip M. Cook	The Merlin Group
68.	06/25/09	Timothy J Copeland	Virginia Farm Bureau Insurance
69.	06/23/09	Maxwell A. Coulliette	Intermountain Financial Advisors, Inc.
70.	06/26/09	Bill Cox	Financial Services
71.	06/23/09	Jamie Cox	Axcess Financial Group
72.	06/26/09	George Coxhead	--

NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

INDIVIDUAL COMMENT LETTERS

	Date Letter Received	Sender	Company Name
73.	06/18/09	Nick Cozzone	Woodbury Financial
74.	06/23/09	Gerald W Craft	NAIFA
75.	06/24/09	Thomas R. Crane, Jr.	Lincoln Securities
76.	06/25/09	Beverly Crangle	--
77.	06/23/09	Peter W. Crimmins	PSFIN
78.	06/23/09	Elmo Cure, Jr.	Cure Financial
79.	06/26/09	Alan J Cyr	Cyr & Cyr Insurance Services
80.	06/24/09	Roy L. Dalessandro	--
81.	06/25/09	Brendan Daly	Commonwealth Financial Network
82.	06/30/09	John M Damgard	Futures Industry Association ("FIA")
83.	06/24/09	William M. Daubenmire	Western-Southern
84.	05/26/09	Charles E Day, Jr	Mutual of Omaha
85.	06/29/09	H. Keith de Noble	deNoble and James
86.	06/24/09	Merrell E. Dean	--
87.	06/23/09	Scott Dean	Anrest Bank Group
88.	06/26/09	Christine Denham	Raymond James
89.	06/29/09	Renee Dietz	National Planning Corp.
90.	06/25/09	David M. Dinn	--
91.	06/24/09	Craig W. Dolan	FedIns
92.	06/23/09	Marty Dooley	Highland Capital Brokerage
93.	06/03/09	Bob Douchette	Financial Brokerage, Inc.
94.	06/23/09	Ranny Duncan	First Western Agency, LLC
95.	06/23/09	Tom Dunn	Wollman Insurance
96.	06/23/09	Matt Echelmeier	Echelmeier Insurance Agency
97.	06/29/09	Howard B Edelstein	Edelstein Financial Corporation
98.	06/29/09	Oscar D Edmiston	SBC Global
99.	06/23/09	Adam J Edwards	NMFN
100.	06/26/09	David M. Edwards	Princor
101.	06/26/09	Ross Elliott	--
102.	06/26/09	David Ellis	Beneficial Financial Group
103.	06/08/09	Paul B. Epstein	Epstein Insurance Services
104.	06/23/09	Jay Eslick	--
105.	06/24/09	Barry D Estell	--
106.	06/23/09	Chris Everett	Everett and Associates
107.	06/26/09	Carol N. Falke	Seymour and Associates
108.	06/29/09	Matthew Farley	Drinker Biddle & Reath LLP
109.	06/23/09	James J. Feist	Fifth Avenue Agency
110.	06/28/09	Jeffrey A Feldman	--

NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

INDIVIDUAL COMMENT LETTERS

	Date Letter Received	Sender	Company Name
111.	06/25/09	Sal Ferraro	Independent Insurance Agent
112.	06/26/09	Martin Ferrell	Ferrell Financial, LLC
113.	06/28/09	Brenton L Fewox	The Oxford Group, LLC
114.	06/29/09	Calvin M Finn	Northwestern Mutual Financial Network
115.	06/23/09	David J. Fisher	Ackley Financial Group, Inc
116.	06/25/09	Paul W. Fitzgerald	Northwestern Mutual Financial Network
117.	06/29/09	Daniel A. Flees	McNeely Financial Services, Inc
118.	06/24/09	John Floyd	Floyd Financial Services
119.	06/26/09	Gerald F. Foran, Jr.	GF Pension Corp.
120.	06/23/09	Ralph Ford	State Farm Insurance
121.	06/24/09	Charles Fradkin	--
122.	06/17/09	William Franke	Raymond James
123.	06/23/09	Douglas R. Franklin	Champagne Financial Network
124.	06/28/09	Elaine Fremling	--
125.	06/23/09	James Freudenberger	AXA Advisors
126.	06/17/09	Pam Fritz	Modern Woodmen of America ("WMA")
127.	06/25/09	Ken Gamelin	First American Capital & Trading Corp.
128.	06/23/09	Bret Gardner	NMFN
129.	06/25/09	Kenneth D. Gardopee	--
130.	06/24/09	James W. Gates	Fells Ridge Financial
131.	06/26/09	Julie J Gebert	Cambridge Investment Research, Inc
132.	06/25/09	Mark George	ISSUE Insurance Agency
133.	06/25/09	J. David Gibson	New York Life Insurance Co.
134.	06/26/09	P. Kevin Gilman	Northwestern Mutual Financial Network
135.	06/24/09	Wayne F. Gledhill	Oxford Financial Group
136.	06/23/09	Rod L. Goeman	Farmers Insurance Group
137.	06/29/09	Stanley F Goodin	New York Life
138.	06/25/09	Denise Gott	LTC Financial Partners, LLC
139.	06/23/09	James R. Gray	Country Financial
140.	06/17/09	Fred Greene	Woodforest Financial Services Inc.
141.	06/22/09	Max Greene	Max Greene Financial Services Group, LLC
142.	06/29/09	Jill I Gross & Barbara Black	Pace University School of Law
143.	06/23/09	Jerry N. Grove	Grove & Associates
144.	06/29/09	Daniel R. Guerette	Ryoal Alliance Associates, Inc
145.	06/24/09	Carol Guerieri	Policyowner Advisory, Inc.
146.	06/26/09	Mark Gurley	Northwestern Mutual Financial Network
147.	06/25/09	Kurt T. Haibach	Gary B. Haibach & Associates

NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

INDIVIDUAL COMMENT LETTERS

	Date Letter Received	Sender	Company Name
148.	06/23/09	Cecile A Haines	Park Avenue Investments
149.	06/25/09	Kirk M. Halverson	New York Life Insurance Co.
150.	06/23/09	Steve Hamilton	Legacy Planning Partners Inc
151.	06/25/09	Karen R. Hammond	The Hammond Agency, Inc.
152.	07/01/09	James L. Harding	James L. Harding & Associates, Inc.
153.	06/23/09	Lorne Hargis	--
154.	06/26/09	Peter Harrington, Christine Lazaro, and Lisa A. Catalano	St John's University School of Law
155.	06/23/09	Stephen E. Harris	AXA Advisors, LLC
156.	06/25/09	Jim Harter	Insurance and Planning Solutions
157.	06/06/09	S. Robert Hartman	--
158.	06/29/09	Bari Havlik	Charles Schwab & Co, Inc.
159.	06/23/09	Donald E. Hedrick	--
160.	06/25/09	Jeffery Heilesen	Northwestern Mutual Financial Network
161.	06/23/09	Dave Henderson	Pacific Life
162.	06/23/09	Rick Henks	Henks Financial Group
163.	06/26/09	Thomas H. Herlong	The Herlong Financial Group
164.	06/25/09	Geoffrey Herring	Insured Financial Solutions, LLC
165.	06/25/09	Nancy P. Hertwig	New York Life Insurance Co.
166.	06/23/09	David R. Hill	SGC Financial
167.	06/23/09	Wayne Hillman	Financial Designs, Inc.
168.	06/29/09	Joan Hinchman	National Society of Compliance Prof. ("NSCP")
169.	06/23/09	Donald E Hines	Thrivent Financial for Lutherans
170.	06/25/09	Howard D. Hines	AXA Advisors
171.	06/23/09	Scott M. Hinman	National Life Insurance Co.
172.	06/29/09	Michael J Hogan	FOLIOfn Investments, Inc
173.	06/08/09	Michael A. Howard	The Howard Group Financial Services
174.	06/24/09	Eric Howell	--
175.	06/24/09	Dennis Hruby	--
176.	06/23/09	Bruce Hubbard	--
177.	06/25/09	Chuck Hudspeth	--
178.	06/29/09	David L Hunke	TierOne Financial
179.	06/25/09	Carol Hurley	Hurley Associates
180.	06/26/09	Vicki Hutchens-Bennett	New York Life Insurance Co.
181.	06/26/09	Michael Isaac	J.P. Turner & Company
182.	06/25/09	George W. Jackson	--
183.	06/27/09	William A Jacobson	Cornell University – Cornell Law School

NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

INDIVIDUAL COMMENT LETTERS

	Date Letter Received	Sender	Company Name
184.	06/23/09	David C Janson	Modern Woodmen of America ("WMA")
185.	06/23/09	Steven D. Jedlund	North Star Resource Group
186.	06/26/09	Todd Jensen	--
187.	06/26/09	Rod Jewell	Financial Services
188.	06/29/09	Ann W Johnson	LUTCF
189.	06/23/09	Diana Johnston	J.A. Counter & Associates Inc
190.	06/26/09	Robert B Joki	ING Financial Partners
191.	06/25/09	Stephen Kagawa	The Pacific Bridge Companies
192.	06/08/09	Grover Kahl	G.T. Kahl Financial Services LLC
193.	06/25/09	Austin A. Kanter	Kanter Associates
194.	06/25/09	Daniel L Kanter	Kanter Associates
195.	06/23/09	Derenda Keating	State Farm Insurance
196.	06/29/09	Clifford E Kirsch	John Hancock Life Insurance Co., MetLife, Inc, and The Prudential Life Insurance Co. of America
197.	06/29/09	Clifford Kirsch and Eric Arnold	Committee of Annuity Insurers
198.	06/23/09	Victor W. Kirsch	--
199.	06/29/09	Douglas Klein	Investment Literacy
200.	06/29/09	Steve Klein	Farmers Financial Solutions
201.	06/23/09	Henry P. Knickerbocker III	Niemann General Agency
202.	06/29/09	Raymond D Kojetin	--
203.	06/24/09	David M. Koll	Mutual of Omaha
204.	06/23/09	John Korzec	New York Life Insurance Co.
205.	06/29/09	Kristian P. Kraszewski	Levin Law
206.	06/26/09	Barbara L Kreifels	New York Life Insurance Company
207.	06/29/09	James Kruzan	Raymond James
208.	06/23/09	Jerry K. Kuhlmann	--
209.	06/25/09	Robert J Lafaro	Mantsch-Lafaro Insurance Agency
210.	06/29/09	Christopher P. Laia	Financial Advice and Solutions Group
211.	06/23/09	Allen Lakner	Lamb Financial Services
212.	06/25/09	James Landon	ARGOFA
213.	07/02/09	Terri Landry	State Farm Insurance
214.	06/26/09	R. Mike Latta	Intrusco
215.	06/23/09	John Lawler	McGreevy & Assoc
216.	06/23/09	Dirk P.C. Lawson	Northwestern Mutual Financial Network
217.	06/23/09	Jeff Layne	Capitol Financial Solutions
218.	06/01/09	Royal Lea	Bingham & Lea, PC
219.	06/23/09	Jim C. Leap	JC Leap Insurance Services

NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

INDIVIDUAL COMMENT LETTERS

	Date Letter Received	Sender	Company Name
220.	06/25/09	Deborah Lederman	Lederman Financial Strategies LLC
221.	06/26/09	Jim Leggott	Ameritas Investment Corp.
222.	06/26/09	Bob Lindboe	Pinney Insurance Center
223.	06/27/09	Prof. Seth E. Lipner	Zicklin School of Business – Baruch College, CUNY
224.	06/29/09	James Livingston	National Planning National Holdings, Inc
225.	06/25/09	Mark Loftis	New England Securities
226.	06/29/09	Ronald C Long	Wells Fargo Advisors
227.	06/25/09	Les Von Losberg	--
228.	06/29/09	Bret Maffett	CM Smith
229.	06/23/09	Jonathan A. Magno	Highland Capital Brokerage Northwest
230.	06/23/09	Melvin Maltz	Lone Star Advisory Group
231.	06/25/09	Patrick Manning	Capital Planners
232.	06/23/09	Connie Marcum	Marcum Benefit
233.	06/30/09	John S. Markle	TD Ameritrade Holding Corporation
234.	06/25/09	Jay H. Marks	JHM Financial Services Group, Inc.
235.	06/25/09	Ed Martell	Ed Martell & Associates
236.	06/23/09	David J. Martinez	Insurance Planning Services, Inc.
237.	06/25/09	Jennifer Maughan	Benfinancial
238.	06/29/09	Sarah McCafferty	T. Rowe Price Investment Services, Inc
239.	06/29/09	Steven M McCauley	Law Offices of Charles C. Mihalek
240.	06/25/09	Stephen R. McDanald	Northwestern Mutual Financial Network
241.	06/23/09	Edwin McKnight	McKnight Financial
242.	06/23/09	Michael J. McNair	Principal
243.	06/29/09	Thomas McNeely	First Bankers' Banc Securities
244.	06/23/09	James McPartland	True Noth Companies
245.	06/29/09	Michael T McRaith	Illinois Department of Insurance
246.	06/25/09	Roy Mears	Insurance Agent
247.	06/25/09	S. Medler	--
248.	06/23/09	Walter F. Meinhart	Principal Financial Group
249.	06/25/09	Owen Menchhofer	EquiTrust Marketing Securities, LLC
250.	06/26/09	Brian J. Metzger	CRUMP Insurance Group
251.	06/23/09	Mgump6@aol.com	--
252.	06/25/09	David A. Middaugh	Middaugh & Associates, Inc.
253.	06/23/09	Joe Mignogna	Andraos
254.	06/26/09	Shawn Mihal	GA Advisors
255.	06/29/09	Charles C Mihalek	Law Offices of Charles C. Mihalek
256.	06/25/09	Roger Miles	Miles Financial Services, Inc.

NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

INDIVIDUAL COMMENT LETTERS

	Date Letter Received	Sender	Company Name
257.	06/23/09	Mark Miller	Ameritas Investment Corp.
258.	06/23/09	Owen Miller	--
259.	06/29/09	Richard Miller	Northwestern Mutual Financial Network
260.	06/23/09	F. John Millette	IMG Financial Group
261.	06/25/09	Chris Milsom	State Farm Insurance
262.	06/25/09	Jay Mitchell	Shelter Insurance
263.	06/23/09	David Montemurro	--
264.	06/28/09	Errold F Moody, Jr	EF Moody
265.	06/23/09	Tom Moore	SBC Global
266.	06/23/09	David Morse	Country Financial
267.	06/23/09	Derrick P. Morton	Redbud Financial Group
268.	06/18/09	Daniel A. Murphy	PlanMember Securities Corporation (PSEC)
269.	06/02/09	Neal Nakagiri	NPB Financial Group, LLC
270.	06/23/09	Michael Nakashima	Innovate Financial, Inc.
271.	06/29/09	Maurice L Naylor III	The Financial Architects
272.	06/30/09	Michael Negley	Fin Svcs
273.	06/24/09	David Neuman	Stoltmann Law Offices, P.C.
274.	06/25/09	Robert Newman Newman	--
275.	06/23/09	Steve Nimmer	Wisconsin College Planning, LLC
276.	06/23/09	Mike Nitchen	--
277.	06/26/09	Martin F. O'Brien	Principal Financial Group
278.	06/24/09	Joseph F. O'Connor	Northwestern Mutual Financial Network
279.	06/23/09	Richard C. Orvis	Principal Life Insurance Co.
280.	06/23/09	Douglas Osborne	--
281.	06/29/09	Michael Pagano	1 st Global
282.	06/23/09	Paul Parker	State Farm Insurance
283.	06/23/09	Denwood Parrish	--
284.	06/26/09	Barton C. Pasco	Pasco Financial Group, LLC
285.	06/23/09	Bill Peckinpaugh	Peckinpaugh Financial Group
286.	06/26/09	E. Lewis Penfield, Jr.	--
287.	06/23/09	George E. Peralta	Cullum & Burks Securities
288.	06/29/09	Brian R Phares	Phares Financial
289.	06/30/09	Patricia Miller Picardi	Independence Planning Group
290.	06/23/09	F. Joseph Pickett	--
291.	06/25/09	George B. Pickett	Pickett, Bradford & Associates
292.	06/29/09	Robert C Port	Cohen Goldstein Port & Gottlieb, LLP
293.	06/27/09	Rick Powell	Financial Service Professionals ("FSP")

NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

INDIVIDUAL COMMENT LETTERS

	Date Letter Received	Sender	Company Name
294.	06/24/09	G. T. Powers, Jr.	G. T. Powers, Jr. & Associates
295.	06/29/09	Richard Paul Probst	LPL Investment Advisor
296.	06/25/09	Mark Prudhomme	Northwestern Mutual Financial Network
297.	06/25/09	Ray Quint	Financial Decisions Group
298.	06/23/09	Diana Radabaugh	American Family Insurance
299.	06/26/09	Steven Blake Rainey	Safe Planning, Inc.
300.	06/23/09	Larry B. Rash	New York Life Insurance Co.
301.	06/23/09	Ronald Reimert	NAIFA-WV
302.	06/29/09	Marvin R Reynolds	Oxford Financial Group
303.	06/24/09	Tom Riekse, Jr.	LTCI Partners, LLC
304.	06/25/09	Z. Jane Riley	The Leaders Group, Inc/TLG Advisors, Inc.
305.	06/26/09	William Roberts	Farm Bureau Financial Services
306.	07/01/09	Judith Romaine	UBS Securities LLC
307.	06/29/09	Daniel C Rome	Taurus Compliance Consulting LLC
308.	06/29/09	Alin Rosca	JSC Ltd
309.	06/30/09	Lisa Roth	National Association of Independent Broker-Dealers, Inc. ("NAIBD")
310.	06/29/09	Daniel L Russell	Russell Financial Services, LLC
311.	06/25/09	Eben H. Sales	RCN
312.	06/25/09	David Salminen	ING Financial Partners
313.	06/29/09	Tamara K Salmon	Investment Company Institute ("ICI")
314.	06/26/09	Landon Samuel	State Farm Insurance
315.	06/29/09	Gary A Sanders	National Association of Insurance and Financial Advisors (NAIFA)
316.	06/23/09	Kendall Schlake	Farm Bureau Financial Services
317.	06/23/09	Michael Schmitz	SGC Financial
318.	06/23/09	Thomas & Wendy Schreiner	KOFC
319.	06/23/09	David M. Schuman	Farmers Agent
320.	06/23/09	Jerry A. Schutte	Northwestern Mutual Financial Network
321.	06/25/09	Steve Van Scoik	Holmes Insurance
322.	06/23/09	Mark Scott	Headley Scott
323.	06/26/09	Theodore A. Scroback	--
324.	06/23/09	Victoria M Seedhouse	Yellowstone Financial Consultants
325.	06/27/09	Edward G. Sella	SPC Financial, Inc.
326.	06/26/09	Greg Sernett	Ameritas Investment Corp
327.	06/29/09	Thomas W. Sexton	National Futures Association ("NFA")
328.	07/01/09	Mansukh J. Shah	AXA Advisors, LLC
329.	06/26/09	Scott R. Shewan	Born, Pape & Shewan, LLP

NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

INDIVIDUAL COMMENT LETTERS

	Date Letter Received	Sender	Company Name
330.	06/29/09	Birgitta K Siegel	Syracuse University
331.	06/24/09	Barbara Silvey	--
332.	06/25/09	Ben C Sims	Sims & Associates
333.	06/26/09	Andy Small	Scottrade
334.	06/26/09	Brian N. Smiley	Public Investors Arbitration Bar Association (PIABA)
335.	06/25/09	Brian D Smith	Vista Pointe Wealth Solutions
336.	06/23/09	Dixie Hughes Smith	Eagle Strategies LLC
337.	06/29/09	Ken Smith	--
338.	06/25/09	Mark Smith	Western & Southern Financial Group
339.	06/29/09	Robert O Smith	Northwestern Mutual Finance Network (NMFN)
340.	06/22/09	David M. Sobel	Able/Noser Corp.
341.	06/26/09	David M. Sobel	Abel/Noser Corp.
342.	06/23/09	Matthew Spangler	John Hancock Financial Network
343.	06/25/09	Thomas H. Staebler	The Staebler Group
344.	06/23/09	Lee Staniar	ING
345.	06/26/09	Jack Stanton	--
346.	07/13/09	Rex A Staples	North American Securities Administrators Association, Inc. (NASAA)
347.	06/24/09	Bradley R Stark	Florida Int'l University - Miami
348.	06/23/09	Sternman	--
349.	06/29/09	Matthew R. Stout	Integrity
350.	06/25/09	Mike Struebing	Heritage Financial Services
351.	06/05/09	Summit Theological	--
352.	06/26/09	David Sunderland	The Sunderland Group
353.	06/23/09	Paul SuPrise	First Capital Benefits Group
354.	06/23/09	Rona Swanson	American National Insurance
355.	06/23/09	Elwood Syverson	Equitrust Marketing Services, LLC
356.	06/23/09	Roland X Szukhent	Ameritas Financial Services Inc
357.	06/23/09	Christopher Taggart	Taggart Company
358.	06/29/09	Charles Taylor	--
359.	06/25/09	Hugh Taylor	Taylor Insnm
360.	06/23/09	Cynthia M Thixton	New York Life Insurance Company
361.	06/25/09	C Clyde Thomas II	Northwestern Mutual Finance Network (NMFN)
362.	06/24/09	Heath Threadgill	--
363.	06/29/09	Chris Tilley	--

NOTICE 09-25

Proposed Consolidated FINRA Rules Governing Suitability and Know-Your-Customer Obligations

INDIVIDUAL COMMENT LETTERS

	Date Letter Received	Sender	Company Name
364.	06/23/09	Darlene Tucker	Modern Woodmen Fraternal Financial
365.	06/23/09	John S. Tuttle	Northwestern Mutual Financial Network
366.	06/23/09	Ken Tynes	SFBCIC
367.	06/23/09	Bruce Udell	Udell Associates
368.	06/23/09	Bruce Umeda	Pacific Guardian
369.	06/23/09	Susan Unger	FinSvcS
370.	06/23/09	Mary Ann Wagner	Catholic Knights
371.	06/25/09	Carl Walbert	--
372.	06/25/09	Peirce Ward	Thompson Financial Group
373.	06/23/09	Wayne L. Warren	New York Life Insurance Co.
374.	06/23/09	Michael J. Weaver	Ackley Financial Group
375.	06/24/09	Ted Weaver	--
376.	06/26/09	Walker L. Wellford, III	MassMutual Financial Group
377.	06/23/09	C. David Welsheimer	Buckeye Planning Concepts, Inc.
378.	06/23/09	R. David Wentz	Tax Favored Benefits, Inc.
379.	06/23/09	Buster West	Hickory Tech
380.	06/23/09	Mike West	The Forker Company
381.	06/25/09	Ralph P. White	White & Associates
382.	06/29/09	Jeffrey B Williams	Northwestern Mutual Investment Services
383.	06/23/09	Rita Wishard	Wishard Insurance
384.	06/23/09	Rory Wold	--
385.	06/23/09	Dennis C. Wong	NAIFA Members
386.	06/30/09	Pamela Yellen	--
387.	07/01/09	Gary Young	The Financial Group
388.	06/25/09	Michael J. Youso	FBFS
389.	06/23/09	Paul Zietlow	--