

VIA FINRA DR PORTAL

March 25, 2023

Lisa Lasher
FINRA Dispute Resolution Services
Boca Center Tower 1
5200 Town Center Circle, Suite 200
Boca Raton, Florida 33486

Re: [REDACTED]

Dear Ms. Lasher:

During the final hearing in the above-referenced matter, the customer who submitted the complaint leading to the disclosure at issue requested the audio recording of the hearing. A FINRA representative on the videoconference indicated that an audio recording of the hearing would be provided to the customer.

Claimant objects to providing a recording or transcript of the hearing to the customer. The customer is neither a party nor counsel of record in the matter. Documents deemed confidential were read into the record during the hearing. The hearing itself is considered confidential itself. This is also the reason that the customer is not given access to the portal for the matter. As such, it is inappropriate to provide a non-party individual with either a recording or transcript of the hearing, and Claimant objects to the production of a recording or transcript of the hearing to the customer.

Very truly yours,

/s/ James P Galvin
James P. Galvin, Esq.
Galvin Legal, PLLC

Attorney for Claimant

Cc: Katelyn Wilson, Esq. (Via FINRA DR Portal)