

**VIA FINRA DR PORTAL**

March 28, 2023

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

Re:



Dear Ms. Lasher:

I am in receipt of FINRA's response to Claimant's objection to providing the customer with an audio recording of the final hearing. None of the items in your response say anything about providing any documents or recordings to the customer if he/she chooses to participate. However, FINRA Rule 12606 directly addresses the issue of the recordings of hearings. FINRA Rule 12606(a)(1) specifically states that "[t]he Director will provide a copy of the recording to any party upon request." The rule does not provide that the customer may request or be provided with a recording. As such, Claimant again objects to the production of the recording to a non-party in the matter.

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)