

Comments of K E Posey
Spring, Texas
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Dear NASAA,

My elderly parents, along with several other Senior Citizens were victims of elder abuse by a well known broker/dealer in their state. It took FINRA enforcement action and also that of NASAA to put a stop to this particular firm.

I would like to see strong enforcement action language within the proposed regulation along with limited expungement options being granted to the firms and/or broker by regulators.

These firms will not change unless they have strong regulatory language in place to discourage this type of behavior.

Regards,

K E Posey
Spring, TX