

Terri L. Reicher
Associate Vice President
Associate General Counsel
Telephone (202) 728-8967
FAX (202) 728-8894
Terri.Reicher@finra.org

January 23, 2019

Via Email

Dana de Windt
4131 S.E. Henley Lane
Stuart, Florida 34997
settle22@msn.com

Glenn J. Webber, Esq.
101 S.E. Ocean Blvd., Suite 203
Stuart, Florida 34994
glenn@webberfl.com

Re: **FOIA Request to FINRA**

Dear Mr. de Windt and Mr. Webber:

I am responding to your undated letter to FINRA Vice President Erin Vocke, which was received on January 22, 2019, requesting a FINRA investigative file and related materials pursuant to the Freedom of Information Act, 5 U.S.C. § 552, the Privacy Act, 5 U.S.C. § 552a and analogous Florida law.

FINRA is a private Delaware corporation, not a government entity. Therefore, FINRA is not subject to FOIA, the Privacy Act, or any Florida public records laws. FINRA investigative files are non-public. Moreover, the 2005 examination you seek is well beyond FINRA's document retention obligations. 15 U.S.C. § 17a.

Accordingly, FINRA will not provide any materials in response to your request.

Very truly yours,

Terri L. Reicher

Terri L. Reicher
Associate General Counsel

cc: Erin Vocke
Grant Gibbons