



HAMERSLEYTM

P A R T N E R S

Marcia E. Asquith
Office of the Corporate Secretary FINRA
1735 K Street, NW
Washington, DC 20006-1506

Re: Regulatory Notice 14-09

Dear Ms. Asquith,

My firm is a FINRA member specializing in placement agent services to institutional investors, primarily corporate and public pension plans and investment consulting firms. I am also a member of the Third Party Marketer's Association (3PM). I have had an opportunity to review 3PM's comprehensive comments regarding the rule set proposed by Regulatory Notice 14-09 for Limited Corporate Finance Brokers (LCFB). I urge FINRA's Board to carefully consider 3PM's thoughtful and informed commentary in the attached PDF, which has earned my strong support.

Regards,

Andrew Phillips
Principal – Hamersley Partners