

By First Class Mail and E-Mail [REDACTED]

June 11, 2009

Stuart D. Meissner
Stuart D. Meissner, LLC
450 Seventh Avenue, Suite 2205
New York, NY 10123

Re: [REDACTED] Matter No. [REDACTED]

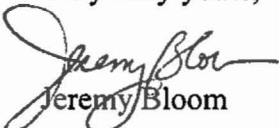
Dear Mr. Meissner:

On June 11, 2009, the staff of FINRA's Enforcement Department advised you that it made a preliminary determination to recommend that disciplinary action be brought against your client, [REDACTED], for violations of NASD Conduct Rules 2310 and 2110. During that conversation, the staff also advised you of the nature of the potential violations. Please treat this letter as written notification that [REDACTED] is the subject of an investigation for purposes of triggering an obligation on his part to update his Form U-4 (Uniform Application for Securities Industry Registration or Transfer) or Forms U-5 (Uniform Termination Notice for Securities Industry Registration).

The staff also advised you that in the event your client wishes to file a "Wells" submission indicating why an action should not be brought against him for some or all of the proposed alleged violations, it is due three weeks from June 11, 2009 (*i.e.*, by July 2, 2009). The Wells submissions must not exceed 35 pages. Wells submissions are *not* treated as settlement documents and any statements contained therein may be used against your client at, among other things, a FINRA disciplinary proceeding.

If you have any questions, please call me at (646) 315-7310.

Very truly yours,


Jeremy Bloom