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VIA EMAIL: RichardsL@SEC.gov

Ms. Lori Richards
Director
Office of Compliance Inspections and Examinations
U.S. Securities and Exchange Commission
Washington, D.C. 20549

Re: Complaints – NASD Dispute Resolution

Dear Ms. Richards:

I filed Petition for Rulemaking (4-502) and a supplement thereto, in the form of a comment letter, with the Securities and Exchange Commission (“SEC”). Due to recent communication with Ms. Catherine McGuire, Chief Counsel, Division of Market Regulation, it appears that the matters addressed should also be deemed as complaints against NASD Dispute Resolution and directed to the Office of Compliance Inspections and Examinations.

A copy of the Petition, supplemental comment letter and letter from Ms. McGuire accompany this letter.

Very truly yours,

LES GREENBERG

LG:ms

