

January 13, 2016

By Electronic Submission

Mr. Robert W. Errett Deputy Secretary Securities and Exchange Commission 100 F Street N.E. Washington, DC 20549-1090

File Number: SR-FINRA-2015-054.

Dear Mr. Errett,

My firm is a FINRA member specializing in assisting investment manager clients to identify, qualify, solicit and when appropriate, refer institutional investors to investment manager clients (i.e., placement agent/finder activities). 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 SR-FINRA-2015-054 for Capital Acquisition Broker (CAB). I urge the SEC and FINRA to carefully consider 3PM's thoughtful and informed commentary, which has earned my strong support.

Sincerely,

Manager