

Reference TC # 1422641796173

Dana de Windt:

I felt that the submission made several years ago was somehow insufficient in achieving the intended results. For that I am sorry because the violations of security misrepresentation as well as documented 8 years of Blue-Sky violations seemed to be well organized in the submission. So, I took the time to write the entire Story named CHECKMATE to carefully lead the Whistleblower team through the very difficult investigation I have been involved in to produce the intended results. I have included a copy of The Story CHECKMATE with this submission. I have always felt jilted by your staff in never reaching out to discuss the TCR filing. I am convinced that the original expectation of the NASD/FINRA award being to that date the largest in their history certainly missed the mark. That comment was made by Gene Davis, lead examiner of the investigation through their New Orleans office. A call to Gene could certainly confirm several pieces of information which could assist you in your evaluation. As to CHECKMATE itself, it has now been released worldwide so that my former colleagues and their clients would get a real understanding of what happened to them in this fleecing. I am also offering 3 pages of information on the former Chairperson of both FINRA and later the SEC, Mary Schapiro. Mary was positioned with each regulator to walk this through to its intended result which would be complete rescission for all Kemper Lumbermens Surplus Notes. This noteworthy part of her exemplary career is perfectly fine. However, following her SEC tenure, she was elected to the Morgan Stanley Board of Directors in 2018 with a very attractive compensation package. To me, it seems infuriating to have the head of your agency joining Morgan Stanley after apparently passing on the proper resolution for investors counting on the SEC to protect them from these violations. You'll also see where she was found to be soft of a penalty phase with the Bank of America by what turned out to over \$100,000,000. Of course, I bring the Schapiro information to you confidentially. I ask you to engage with me in this matter for a resolution we can all be proud of.

Dated 9/15/2023