



Gregg Templeton <greggtempleton@gmail.com>

RE: Fwd: Enforcement Matter 2015046811401: Revised AWC in Clean and Redline

1 message

Ercolino, Gino F <Gino.Ercolino@finra.org>

Thu, Mar 30, 2017 at 7:44 PM

To: Gregg Templeton <greggtempleton@gmail.com>, "Virga, Elizabeth" <Elizabeth.Virga@finra.org>

Mr. Templeton,

As Liz Virga clearly stated in her email to you yesterday (below), your proposed changes to the AWC are unacceptable to FINRA. The version of the AWC that Liz emailed to you on March 28, 2017 represents the final language FINRA can accept - which includes revisions based on our previous discussions with you.

If you are still interested in resolving this matter with an AWC (for failing to provide documents and information), then sign and return tomorrow the revised AWC that Liz emailed to you on March 28, 2017. Alternatively, Enforcement will move forward with its investigation into your conduct, schedule your on the record testimony and expect you to provide all of the documents and information requested in FINRA's December 19, 2016 Rule 8210 request.

Thank you.

From: Gregg Templeton <greggtempleton@gmail.com>**Date:** Thursday, Mar 30, 2017, 6:20 PM**To:** Virga, Elizabeth <Elizabeth.Virga@finra.org>**Cc:** Ercolino, Gino F <Gino.Ercolino@finra.org>**Subject:** [EXTERNAL] Re: Fwd: Enforcement Matter 2015046811401: Revised AWC in Clean and Redline

Liz,

#1 - Yes, I have NO interest in spending any more money to move forward. I still want to settle and attached is my signed AWC to this email again for your counter signature.

#2 - I did not change any language at all. Just included ONE DATE confirming the complete facts that will on my permanent record, The first FINRA Rule 8210 Request from September 24th 2015. No language was changed at all.

#3 - I thought I attached FINRA Rule 8210 "Initial Request" received from Oliver Kamp - Principal Investigator that I received dated September 24th 2015 yesterday as a reminder. My apologies if that attachment did not come through yesterday.

#4 - Both FINRA Rule 8210 requests were responded to with multiple attachments as well.

#5 - Please reference this to your boss and inform him/her that you are already again in possession of my signed AWC since yesterday.

Hopefully, this will complete everything.

~ Greg

On Wed, Mar 29, 2017 at 6:04 PM, Virga, Elizabeth <Elizabeth.Virga@finra.org> wrote:

Gregg:

Unfortunately, FINRA cannot accept your proposed changes to the AWC. As we explained to you yesterday on the phone, the version of the AWC I sent you yesterday, which I have attached for reference, is the final language we can accept. If you still want to settle, please execute the 3-28-2017 AWC that FINRA sent to you and send it back to me.

Alternatively, if you have changed your mind and intend to fully respond to each of the questions in Enforcement's 12/19/16 Rule 8210 request for documents and information, please provide me with responses to each question and provide dates during the first two weeks of April 2017 when you are available for Enforcement to take your on the record testimony ("OTR").

Elizabeth M. Virga

Principal Counsel, Enforcement

Brookfield Place

200 Liberty Street

New York, NY 10281

Elizabeth.Virga@finra.org

(P) 646-315-7360

(F) 301-527-4942

From: Gregg Templeton [mailto:greggtempleton@gmail.com]

Sent: Wednesday, March 29, 2017 5:20 PM

To: Ercolino, Gino F; Virga, Elizabeth

Subject: [EXTERNAL] Fwd: Enforcement Matter 2015046811401: Revised AWC in Clean and Redline

Gino and Elizabeth,

Following up from my last email.

I added couple of words and one date and signed it.

Hopefully, FINRA will accept this AWC, countersign and so we can all finally move on with life.

Please let me know what else I need to do.

Thank you.

~ Gregg

----- Forwarded message -----

From: **Gregg Templeton** <greggtempleton@gmail.com>

Date: Wed, Mar 29, 2017 at 4:41 PM

Subject: Re: Enforcement Matter 2015046811401: Revised AWC in Clean and Redline

To: "Virga, Elizabeth" <Elizabeth.Virga@finra.org>

Cc: "Ercolino, Gino F" <Gino.Ercolino@finra.org>

Gino and Elizabeth,

I just got home and ready to sign, scan and email you back the AWC and finally move on.

However, can you please add another 2 words and 1 date, all factual, and I'm ready to sign it, Its the last request, I promise.

I attached the "Initial Request" under FINRA Rule 8210 from Oliver Kamp - Principal Investigator that I received dated September 24th 2015, which I responded to with multiple attachments as well.

I also communicated directly with him through multiple emails from him as well to comply with FINRA Rule 8210.

Under your "Facts of Violative Conduct" Can you please the add 2 words and 1 date at the beginning of the sentence to confirm my cooperation since your first 8210 request. It came from your same office and address.

Please add - "On September 24th 2015 and" - before the start of the sentence "On May 26, 2016, FINRA staff sent Templeton....."

Thank you and you will have it back signed today. Promise.

~ Gregg

On Tue, Mar 28, 2017 at 5:27 PM, Virga, Elizabeth <Elizabeth.Virga@finra.org> wrote:

Gregg,

Attached please find a revised AWC in both redline and clean form. The redline shows FINRA's final changes. When signing the AWC, please be sure to sign the clean version. Please return the executed AWC to me by email no later than tomorrow, Wednesday March 29, 2017, and also send the original AWC to me in the mail at the address below.

As discussed, alternatively, if it is your intention to fully respond to each of the questions in Enforcement's 12/19/16 Rule 8210 request for documents and information, please provide me with responses to each question and provide dates during the first two weeks of April 2017 when you are available for Enforcement to take your on the record testimony ("OTR").

Elizabeth M. Virga

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