

Subject: [EXTERNAL] SEC Rulemaking R23-01

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From: Chris Mechels

To: Commission, Ethics, SEC

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Comment #1 for the upcoming Rulemaking.

This comments concerns 1.8..1.13 NMAC;

While I am pleased with the treatment of "informal" complaints by the SEC I suggest an additional, minor, addition.

I suggest a requirement to inform the complainant if no action is taken. It is common, and extremely frustrating, to the submit a complaint and get no response or closure. This is common practice for instance with the Attorney General's office. Closure is very important, lest the public involvement, already sparse, be further discouraged.

Regards,

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