



## Comments on Proposed Rule: Prohibitions and Restrictions on Proprietary Trading and Certain Interests in, and Relationships With, Hedge Funds and Private Equity Funds

**[Release No. 34-65545; File No. S7-41-11]**

See also: [Comments](#) for Dodd Frank Act Title VI, Prohibitions on Proprietary Trading and Certain Relationships with Hedge Funds and Private Equity Funds

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Comments have been received from individuals and entities using the following Letter [Type A](#): 608

Comments have been received from individuals and entities using the following Letter [Type B](#): 15,839

Comments have been received from individuals and entities using the following Letter [Type C](#): 16

Comments have been received from individuals and entities using the following Letter [Type D](#): 1,737

Comments have been received from individuals and entities using the following Letter [Type E](#): 46,883

### Submitted Comments

*([Click here](#) for meetings with SEC officials)*

Dec. 9, 2013 William Frederick Derbyshire

Dec. 4, 2013 Business Roundtable, Financial Executives International, National Association of Corporate Treasurers, The Real Estate Roundtable, The U.S. Chamber of Commerce

Dec. 3, 2013 Robert Toomey, Managing Director and Associate General Counsel, SIFMA

Nov. 25, 2013 David T. Hirschmann, President and Chief Executive Officer, Center for Capital Markets Competitiveness, U.S. Chamber of Commerce

Nov. 21, 2013 Dennis Kelleher, President & CEO, Better Markets, Inc.

Nov. 21, 2013 Dennis Kelleher, President & CEO; David Frenk, Director of Research; and Caitlin Kline, Derivatives Specialist; Better Markets, Inc., Washington, District of Columbia

Nov. 7, 2013 David T. Hirschmann, President and Chief Executive Officer, Center for Capital Markets Competitiveness, U.S. Chamber of Commerce

Oct. 31, 2013 Aaron Klein, Director, Financial Regulatory Reform Initiative, Bipartisan Policy Center

Oct. 30, 2013 Aaron Klein, Director, Financial Regulatory Reform Initiative, Bipartisan Policy Center

Oct. 24, 2013 Capital Markets Task Force, Bipartisan Policy Center

Oct. 24, 2013 Suzanne Shatto

Sep. 25, 2013 Tom Quaadman, Vice President, Center for Capital Markets Competitiveness, U.S. Chamber of Commerce

Jun. 5, 2013 Ralph S. Saul

Jun. 4, 2013 Americans for Financial Reform

Dec. 10, 2012 David Hirschmann, President and CEO, Center for Capital Markets Competitiveness, and Myron Brilliant, Senior Vice President, International Affairs, U.S. Chamber of Commerce

Dec. 3, 2012 Brandon Reddick

Nov. 17, 2012 Robert E. Rutkowski

Nov. 16, 2012 Tom Quaadman, Vice President, Center for Capital Markets Competitiveness, U.S. Chamber of Commerce

Nov. 16, 2012 Americans for Financial Reform

Nov. 13, 2012 John Gidman, President, Association of Institutional INVESTORS

Nov. 9, 2012 Phillip Gillespie, State Street Global Advisors

Oct. 22, 2012 Michael Nicholas, Chief Executive Officer, Bond Dealers of America

Sep. 7, 2012 John Gidman, President, Association of Institutional INVESTORS

Sep. 7, 2012 Howard Marsh, Managing Director and Head of the Municipal Securities Division, Citigroup Global Markets Inc.

Aug. 31, 2012 Brackett B. Denniston III, Senior Vice President and General Counsel, GE Company, and David G. Nason, Vice President, GE Company, Chief Regulatory Officer, GE Capital

Aug. 23, 2012 Tom Deutsch, Executive Director, American Securitization Forum

Jul. 27, 2012 Tom Deutsch, Executive Director, American Securitization Forum

Jul. 24, 2012 Tom Quaadman, Vice President, Center for Capital Markets Competitiveness, U.S. Chamber of Commerce

Jul. 5, 2012 R. Bram Smith, Executive Director, Loan Syndications and Trading Association, New York, New York

Jun. 19, 2012 Dennis Kelleher, President and CEO and Marc Iarsulic, Chief Economist, Better Markets, Inc., Washington, District of Columbia

Jun. 12, 2012 Michael Pettit

Jun. 10, 2012 Gerard Allen Hinson

Jun. 8, 2012 Stephen Brancaccio

May 24, 2012 Jeanne Shaheen, United States Senator

May 21, 2012 Richard A. Dorfman, Managing Director, Head of Securitization, and Christopher B. Killian, Managing Director, SIFMA

May 17, 2012 Jeff A. Merkley and Carl Levin, Unites States Senate

May 14, 2012 Ben Tamlyn, New York, New York

May 4, 2012 Henry T. Bernstein

Apr. 30, 2012 Rep. Earl Blumenauer, et al., U.S. House of Representatives

Apr. 30, 2012 Denise L. Nappier, Treasurer of the State of Connecticut, Hartford, Connecticut

Apr. 26, 2012 Sen. Jeffrey A. Merkley, et al., United States Senate

Apr. 27, 2012 S. Kaplan

Apr. 23, 2012 David Lawton, Acting Director of Markets, Financial Services Authority, London, United Kingdom

Apr. 19, 2012 J. Scott Colesanti, Associate Professor of Legal Writing, and Melissa Cefalu, David Feldman, Alexander Sand, Le-el Sinai, and Judd Taback, Law Students, Hofstra University

Apr. 16, 2012 Stephen S. Roach, Senior Fellow, Yale University

Apr. 13, 2012 Sen. Sherrod Brown and Sen. Tom Harkin, U.S. Senators

Apr. 12, 2012 Robert Pickel, Chief Executive Officer, International Swaps and Derivatives Association, Inc.

Apr. 9, 2012 Ralph S. Saul

Mar. 28, 2012 Mike Nicholas, Chief Executive Officer, Bond Dealers of America

Mar. 26, 2012 Timothy Peters, Boise, Idaho

Mar. 23, 2012 Susan S. Chang, Chairperson for and on behalf of The Bankers Association of the Republic of China

Mar. 21, 2012 Tom Deutsch, Executive Director, American Securitization Forum

Mar. 20, 2012 Sen. Carl Levin, U.S. Senate

Mar. 19, 2012 Peter Pang, Chairman, Executive Board, Treasury Markets Association, Hong Kong

Mar. 16, 2012 Rep. James A. Himes, U.S. House of Representatives

Mar. 16, 2012 Robert P. Casey, Jr., United States Senator

Mar. 15, 2012 Akshat Tewary, Esq., New York, New York

Mar. 12, 2012 Louise Milone, Decatur, Georgia

Mar. 12, 2012 Sarah Magee, Providence, Kentucky

Mar. 12, 2012 Christopher Wilson, Torrance, California

Mar. 11, 2012 John Albin, New York, New York

Mar. 10, 2012 John Baka, San Francisco, California

Mar. 10, 2012 Kathy Propst-Dasilva, Garden Grove, California

Mar. 10, 2012 Lew Douglas, Oakland, California

Mar. 10, 2012 Janine Nichols, Brooklyn, New York

Mar. 9, 2012 Steve Israel, Member of Congress

Mar. 9, 2012 Securities Industry and Financial Markets Association, American Bankers Association, The Financial Services Roundtable, and The Clearing House Association

Mar. 9, 2012 David Goldschmidt, Princeton, New Jersey

Mar. 9, 2012 Lucy Subhasirawatana, New York, New York

Mar. 9, 2012 Richard Malato, Chicago, Illinois

Mar. 9, 2012 Michael Glynn, Durham, North Carolina

Mar. 8, 2012 Enrico Petrucco, Schenectady, United States Minor Outlying Islands

Mar. 8, 2012 Christopher Glasspool, Chelan, Washington

Mar. 7, 2012 Keith Jones, South Amboy, New Jersey

Mar. 7, 2012 Ryan Huggins, Merriam, Kansas

Mar. 7, 2012 Sandra Ryan, Houston, Texas

Mar. 6, 2012 Demetri Kofinas, Washington, District of Columbia

Mar. 5, 2012 Brody Bothwell, Pelham, Alabama

Mar. 5, 2012 Gordon Anderson, Houston, Texas

Mar. 3, 2012 Patrick Regan, Munich, Germany

Feb. 28, 2012 Manuel Sager, Ambassador, Embassy of Switzerland in the United States of America

Feb. 27, 2012 Bob Goodlatte, Member of Congress

Feb. 28, 2012 Juan Pablo Arango Arango, Superintendente Financiero de Colombia

Feb. 26, 2012 Benedetta A. Kissel, Retired Attorney, Arlington, Virginia

Feb. 25, 2012 George Determann, Louisville

Feb. 24, 2012 Senator Michael F. Bennet, U.S. Senate

Feb. 23, 2012 Andrew Reyburn, Michigan

Feb. 21, 2012 Margrethe Vestager, Minister of Economic Affairs and the Interior, Denmark, and President, EU Council of Ministers

Feb. 21, 2012 Abbott Laboratories, American Insurance Corporation, Anadarko Petroleum Corporation, Arch Coal, Inc., Association for Financial Professionals, Business Roundtable, Caterpillar Inc., Chesapeake Energy Corporation, Convergys, Darden Restaurants, Inc., Devon Energy Corporation, DuPont Co., Eaton Corporation, Financial Executives International, FMC, GE, Goodrich, HCA, Macy's Inc., Motorola Solutions, National Association of Corporate Treasurers, National Association of Manufacturers, Nissan Motor Acceptance Corporation, Qualcomm Incorporated, Safeway Inc., The Boeing Company, The Real Estate Roundtable, The U.S. Chamber of Commerce, UPS, Yocum Oil Company, Inc.

Feb. 20, 2012 Thomas S. Hodge, Chief Operating Officer, Frazier Healthcare Ventures

Feb. 20, 2012 Sally Wong, Chief Executive Officer, Hong Kong Investment Funds Association

Feb. 19, 2012 Joan Budd

Feb. 17, 2012 Gary C. Peters, Joseph Crowley, Jared Polis, Ron Kind, Cedric L. Richmond, James P. Moran, Adam Smith, Gwen Moore, Allyson Schwartz, Carolyn McCarthy, William L. Owens, Jason Almire, John Barrow, Russ Carnahan, John C. Carney, Jr., Ed Perlmutter, Loretta Sanchez, Gerald E. Connolly, Lois Capps, Adam B. Schiff, Kurt Schrader, Jay Inslee, Rick Larsen, Karen Bass, and Mike Quigley

Feb. 17, 2012 Senator Barbara Boxer, U.S. Senate

Feb. 17, 2012 Robert McCann, CEO; Mark S. Shelton, General Counsel; Darryll Hendricks Head of Strategy, Investment Bank; UBS Americas

Inc., Stamford, Connecticut

- Feb. 17, 2012 Members of Congress
- Feb. 16, 2012 Senators Thomas R. Carper, Pat Toomey, Mark Warner, Mike Crapo, Christopher Coons, and Scott Brown, United States Senate
- Feb. 16, 2012 E. Benjamin Nelson, United States Senator
- Feb. 16, 2012 John Gilbert
- Feb. 16, 2012 Jiri Krol, Director of Government and Regulatory AffairsThe Alternative Investment Management Association Limited
- Feb. 16, 2012 Ernest Seinfeld
- Feb. 15, 2012 Duncan Fairweather, Chair, Financial Industry Council of Australia
- Feb. 15, 2012 Kurt N. Schacht, CFA, Managing Director, Standards and Financial Market Integrity, and James C. Allen, CFA, Head, Capital Markets Policy, CFA Institute
- Feb. 15, 2012 Kimberly Unger, Executive Director, The Security Traders Association of New York, Inc., New York, New York
- Feb. 15, 2012 Pauline I. Yahr, Irvine, California
- Feb. 15, 2012 Duncan Fairweather, Chair, Finance Industry Council of Australia
- Feb. 15, 2012 Woodbine Associates, Stamford, Connecticut
- Feb. 14, 2012 Abbott Laboratories, American Insurance Association, Anadarko Petroleum Corporation, Arch Coal, Inc., Association for Financial Professional, Business Roundtable, Caterpillar Inc, Chesapeake Energy Corporation, Convergys, Darden Restaurants, Inc., Devon Energy Corporation, Dominion Resources Inc., DuPont Co., Eaton Corporation, Financial Executives International, FMC, GE, Goodrich, HCA, Macy's, Inc., Nissan Motor Acceptance Corporation, Qualcomm Incorporated, Safeway Inc., The Boeing Company, The Real Estate Roundtable
- Feb. 14, 2012 Teri L. List-Stoll, Chair, Committee on Corporate Treasury, Financial Executives International
- Feb. 14, 2012 Dave Donald
- Feb. 14, 2012 Remy
- Feb. 14, 2012 Jordan Mechanic, Washington, D.C.
- Feb. 14, 2012 Jonathan Dean
- Feb. 14, 2012 Ramon Fernandez, Director, Direction Générale du Trésor; Christian Noyer, Chairman, Autorité contrôle prudentiel; Jean-Pierre Jouyet, Chairman, Autorité des marchés financiers
- Feb. 14, 2012 Howard Delano
- Feb. 13, 2012 Nixon Peabody LLP submitted on behalf of PNC Bank, National Association and Royal Bank of Canada
- Feb. 13, 2012 Michael A. Mazzuchi and Paul R. St. Lawrence, Cleary Gottlieb Steen & Hamilton LLP, on behalf of Apollo Global Management LLC, Babson Capital Management LLC, Bank of America Merrill Lynch, CIFIC, Citigroup Global Markets Inc., Crescent Capital Group, Deutsche Bank AG, Doral Bank, Golub Capital, GSO/Blackstone Debt Funds Management LLC, Halcyon Asset Management LLC, JPMorgan Chase & Co., Morgan Stanley,

## Prudential Fixed Income, WCAS Fraser Sulitvan Investment Management LLC, Wells Fargo &amp; Company

Feb. 13, 2012 Bob Corker, United States Senator

Feb. 13, 2012 Carolann Jensen, Chief Administration Officer, Iowa Finance Authority

Feb. 13, 2012 Brandon Becker, Executive Vice President and Chief Legal Officer, TIAA-CREF

Feb. 13, 2012 David Aronoff, Jeff Bussgang, Michael Greeley, Chip Hazard, and Jon Karlen, General Partners, Flybridge Capital Partners

Feb. 13, 2012 Thomas M. Graf, Executive Director, Massachusetts Educational Financing Authority

Feb. 13, 2012 Dan Waters, Managing Director, ICI Global

Feb. 13, 2012 Kenneth W. Anderson, Jr., Commissioner, Public Utility Commission of Texas

Feb. 13, 2012 Christopher Holt, General Counsel, Clark Consulting

Feb. 13, 2012 Kelvin Anderson, President, OptumHealth Bank

Feb. 13, 2012 Paul Schott Stevens, President & CEO, Investment Company Institute

Feb. 13, 2012 Barbara Novick, Vice Chairman, and Matthew J. Mallow, General Counsel, BlackRock, Inc.

Feb. 13, 2012 Margaret Risk

Feb. 13, 2012 Robert M. Williamson

Feb. 13, 2012 Rhoda Schermer

Feb. 13, 2012 G. L. Lawton

Feb. 13, 2012 Doub Grinbergs

Feb. 13, 2012 Anonymous

Feb. 13, 2012 Eugenia Kuttler

Feb. 13, 2012 Paul B. Bellamy

Feb. 13, 2012 E. Schmidt

Feb. 13, 2012 Tina Gregory

Feb. 13, 2012 Jim Steitz

Feb. 13, 2012 Americans for Financial Reform

Feb. 13, 2012 Douglas Lowenstein, President, Private Equity Growth Capital Council

Feb. 13, 2012 Janet Cowell, State Treasurer of North Carolina

Feb. 13, 2012 Americans for Financial Reform

Feb. 13, 2012 Patrick J. Foye, Executive Director, Port Authority of New York and New Jersey

Feb. 13, 2012 Senators Jeff Merkley and Carl Levin, U.S. Senate

Feb. 13, 2012 Joanne De Laurentiis, President and CEO, Investment Funds Institute of Canada

Feb. 13, 2012 Paul Voisin, Chief Executive Officer, Natixis Asset Management

Feb. 13, 2012 Angela Knight, Chief Executive, British Bankers' Association

Feb. 13, 2012 Katten Muchin Rosenman LLP

Feb. 13, 2012 Anat R. Admati, George G.C. Parker Professor of Finance and Economics, and and Paul Pfleiderer, C.O.G. Miller Distinguished Professor of Finance, Graduate School of Business, Stanford University, Stanford, California

Feb. 13, 2012 Andre, NY

Feb. 13, 2012 Brian Leach, Chief Risk Officer, Citigroup Inc.

Feb. 13, 2012 Russell Wasson, Director of Tax, Finance and Accounting Policy, The National Rural Electric Cooperative Association

Feb. 13, 2012 Richard H. Baker, President and CEO, Managed Funds Association

Feb. 13, 2012 John F.W. Rogers, Chief of Staff, The Goldman Sachs Group, Inc.

Feb. 13, 2012 John F.W. Rogers, Chief of Staff, The Goldman Sachs Group, Inc.

Feb. 13, 2012 Trabue Bland, Vice President, Regulatory Affairs and Assistant General Counsel, IntercontinentalExchange, Inc.

Feb. 13, 2012 Mary Dent, General Counsel, SVB Financial Group

Feb. 12, 2012 Louis S. Citron, Chief Legal Officer, New Enterprise Associates, Inc.

Feb. 13, 2012 Agustin Guillermo Carstens Carstens, Governor, Banco de Mexico

Feb. 13, 2012 Simon Johnson

Feb. 13, 2012 David Stepp, Venrock

Feb. 13, 2012 Stephen B. Tracy and Tony Grappone, Novogradac & Company LLP on behalf of the Renewable Energy Tax Credit Working Group

Feb. 13, 2012 Allen & Overy LLP

Feb. 13, 2012 Dennis M. Kelleher, President and CEO, Better Markets Inc.

Feb. 13, 2012 Andy Rappaport, August Capital

Feb. 13, 2012 Payson F. Swaffield, CFA, Chief Income Investment Officer, Eaton Vance Management

Feb. 13, 2012 IHS Inc.

Feb. 13, 2012 Ken Taymor, Executive Director, Berkeley Center for Law, Business and the Economy, University of California, Berkeley

Feb. 13, 2012 Garth B. Rieman, Director of Housing Advocacy and Strategic Initiatives, National Council of State Housing Agencies

Feb. 13, 2012 David Love, Director, Policy and International Affairs, Australian Financial Markets Association

Feb. 13, 2012 James L. McIntire, Washington State Treasurer

Feb. 13, 2012 Novogradac & Company LLP, on behalf of the Low Income Housing Tax Credit Working Group

Feb. 13, 2012 Andrea Psoras

Feb. 13, 2012 Mark A. Standish, Co-Group Head, Capital Markets, Royal Bank of Canada

Feb. 13, 2012 Tony Burke, Policy Director, Australian Bankers' Association Inc.

Feb. 13, 2012 Scott C. Goebel, Senior Vice President and General Counsel, Fidelity Investments

Feb. 13, 2012 Russell Goldsmith, Chairman, Midsize Bank Coalition of America

- Feb. 13, 2012 Michael J. Novogradac and Brad Elphick, Novogradac & Company LLP
- Feb. 13, 2012 Martin L. Flanagan, President and Chief Executive Officer, Invesco Ltd.
- Feb. 13, 2012 Carlos Serrano, Vice President for Regulatory Policy, Comision Nacional Bancaria y de Valores (National Banking and Securities Commission - Mexico)
- Feb. 13, 2012 Stephen M. Renna, Chief Executive Officer, Commercial Real Estate Finance Council
- Feb. 13, 2012 Richard M. Whiting, Executive Director and General Counsel, The Financial Services Roundtable
- Feb. 13, 2012 Patrick J. McCoy, Director - Finance, The Metropolitan Transportation Authority of the State of New York
- Feb. 13, 2012 Terry Campbell, President & Chief Executive Officer, Association Des Banquiers Canadiens (Canadian Bankers Association)
- Feb. 13, 2012 Craig S. Donohue, Chief Executive Officer, CME Group
- Feb. 13, 2012 Colm Kelleher, Co-President, Institutional Securities Group, and Jim Rosenthal, Chief Operating Officer, Morgan Stanley
- Feb. 13, 2012 Robert Johnson, Executive Director, Senior Fellow and Director of Global Finance, Roosevelt Institute, and Joseph Stiglitz
- Feb. 13, 2012 Matthew Richardson, NYU Stern School of Business
- Feb. 13, 2012 Robert L. Megna, New York State Division of the Budget
- Feb. 13, 2012 Andrew F. Barth, Chairman, Capital Guardian Trust Company and Paul G. Haaga, Jr., Chairman, Capital Research and Management Company, The Capital Group Companies, Inc.
- Feb. 13, 2012 Robert M. Kimmitt and Russell J. Bruemmer, WilmerHale
- Feb. 13, 2012 Allen & Overy LLP, on behalf of Bank of Montréal, The Bank of Nova Scotia, Canadian Imperial Bank of Commerce, National Bank of Canada, The Royal Bank of Canada, and The Toronto-Dominion Bank
- Feb. 13, 2012 Allen & Overy LLP, on behalf of Bank of Montreal, The Bank of Nova Scotia, Canadian Imperial Bank of Commerce, Deutsche Bank AG, HSBC Global Asset Management, Royal Bank of Canada, Société Générale, Standard Chartered Bank, and The Toronto-Dominion Bank
- Feb. 13, 2012 Michael A. Mazzuchi and Paul R. St. Lawrence, Cleary Gottlieb Steen & Hamilton LLP, on behalf of Apollo Global Management, LLC, Babson Capital Management LLC, Bank of America, Merrill Lynch, CIBC, Citigroup Global Markets, Inc., Crescent Capital Group, Deutsche Bank AG, Doral Bank, Golub Capital, GSO / Blackstone Debt Funds Management LLC, Halcyon Asset Management LLC, JPMorgan Chase & Co., Morgan Stanley, WCAS Fraser Sullivan Investment Management, LLC, and Wells Fargo & Company
- Feb. 13, 2012 David Oestreicher, Vice President and Chief Legal Counsel, T. Rowe Price Associates, Inc.; Christine M. Morgan, Vice President and Managing Legal Counsel, T. Rowe Price Associates, Inc.; Jonathan D. Siegel, Vice President and Senior Legal Counsel, T. Rowe Price Associates, Inc.
- Feb. 13, 2012 Katten Muchin Rosenman LLP



- Feb. 13, 2012 Chris Ballinger Group Vice President & Chief Financial Officer, Toyota Motor Credit Corporation
- Feb. 13, 2012 Peter G. Mugo, Massachusetts Mutual Life Insurance Company
- Feb. 13, 2012 Country Financial, Mutual of Omaha, Nationwide Mutual Insurance Company, Principal Financial Group, The Prudential Insurance Company of America, State Farm Mutual Automobile Insurance Company, TIAA-CREF, Westfield Group
- Feb. 13, 2012 Michael Sacks Chief Executive Officer, Grovesnor Capital Management, LP
- Feb. 13, 2012 Michael E. Cahill, General Counsel, The TCW Group, Inc.; and Sean Plater, Associate General Counsel, The TCW Group, Inc.
- Feb. 13, 2012 Frank Pignanelli, Executive Director, National Association of industrial Bankers; Bill Himpler, Executive Vice President, the American Financial Services Association; Bill Uffelman, President & Chief Executive Officer, the Nevada Bankers Association; and Howard Headlee, President, the Utah Bankers Association
- Feb. 13, 2012 Gus Sauter Chief Investment Officer, Vanguard; and Bob Auwaerter, Head of Fixed Income, Vanguard
- Feb. 13, 2012 Allen & Overy LLP
- Feb. 13, 2012 Phillip Gillespie, State Street Global Advisors
- Feb. 13, 2012 Edward P. O'Keefe, Executive Vice President, General Counsel, Bank of America
- Feb. 13, 2012 David Arkush, Director, Public Citizen's Congress Watch; and Bartlett Naylor Financial Policy Advocate, Public Citizen's Congress Watch
- Feb. 13, 2012 Steven Alan Bennett, Executive Vice President, General Counsel & Corporate Secretary, United Services Automobile Association
- Feb. 13, 2012 Allen & Overy LLP
- Feb. 13, 2012 Michael S. Whitman, Principal and Founder, Stuyvesant Trading Group, LLC , New York, New York
- Feb. 13, 2012 The PNC Financial Services Group, Inc., U.S. Bancorp, Capital One Financial Corporation, SunTrust Banks, Inc., Branch Banking and Trust Company, Fifth Third Bancorp, Regions Financial Corporation, KeyCorp
- Feb. 13, 2012 Tom Deutsch, Executive Director, American Securitization Forum
- Feb. 13, 2012 American Public Power Association, Council of Infrastructure Financing Authorities, Government Finance Officers Association, Education Finance Council, International City/County Management Association, International Municipal Lawyers Association, Large Public Power Council, National Association of Counties, National Association of Health and Educational Facilities Finance Authorities, National Association of Local Housing Finance Agencies, National Association of State Auditors, Comptrollers and Treasurers, National Association of State Treasurers, National Conference of State Legislatures, National Council of State Housing Agencies, National League of Cities
- Feb. 13, 2012 James M. Strother, Senior Executive Vice President and General Counsel, Wells Fargo
- Feb. 13, 2012 James M. Strother, Senior Executive Vice President and General Counsel, Wells Fargo

- Feb. 13, 2012 Wayne A. Abernathy, Executive Vice President of Financial Institutions Policy and Regulatory Affairs, American Bankers Association
- Feb. 13, 2012 Kristin H.R. Franceschi, President, National Association of Bond Lawyers
- Feb. 13, 2012 Ernest C. Goodrich Jr., Managing director - Legal Department, Deutsche Bank AG; and Salvatore P. Palazzolo, Managing Director - Legal Department, Deutsche Bank AG
- Feb. 13, 2012 Ernest C. Goodrich Jr., Managing director - Legal Department, Deutsche Bank AG; and Salvatore P. Palazzolo, Managing Director - Legal Department, Deutsche Bank AG
- Feb. 13, 2012 Julie H. Hertzog, Executive Director, The Affordable Housing Investors Council
- Feb. 13, 2012 Hal S. Scott, Director, Committee on Capital Markets Regulation
- Feb. 13, 2012 Frank Keating, President & CEO, American Bankers Association
- Feb. 13, 2012 Sarah A. Miller, Chief Executive Officer, Institute of International Bankers and Guido Ravoet, Secretary General, European Banking Federation
- Feb. 13, 2012 Tom Deutsch, Executive Director, American Securitization Forum
- Feb. 13, 2012 Fixed Income Forum and Credit Roundtable, New York, New York
- Feb. 13, 2012 Ryan K. Brist, Head of U.S. High Grade Credit, and Stephen A. Walsh, Chief Investment Officer, Western Asset Management Company
- Feb. 13, 2012 Carl B. Wilkerson, Vice President & Chief Counsel, Securities & Litigation, American Council of Life Insurers
- Feb. 13, 2012 Monique S. Botkin, Assistant General Counsel, Investment Adviser Association
- Feb. 13, 2012 Nobuyuki Hirano, Deputy President, Mitsubishi UFJ Financial Group, Inc.
- Feb. 13, 2012 Angelo R. Aldana, General Manager, Mizuho Corporate Bank, Ltd.
- Feb. 13, 2012 Jerry del Missier, Co-Chief Executive, Barclays Capital
- Feb. 13, 2012 Christopher R. Kunkle, Director Securities Lending, Securities Lending Division of the Risk Management Association; and Michael P. McAuley, Chairman RMA Executive Committee, Securities Lending Division of the Risk Management Association
- Feb. 13, 2012 Robert L. Reynolds, President and Chief Executive Officer, Putnam Investments
- Feb. 13, 2012 Barry L. Zubrow, Executive Vice President, JPMorgan Chase & Co.
- Feb. 13, 2012 Jim Vogel, Executive Vice President, FTN Financial Capital Markets
- Feb. 13, 2012 R. Bram Smith, Executive Director, Loan Syndications and Trading Association
- Feb. 13, 2012 David F. Freeman, Jr., Arnold & Porter
- Feb. 13, 2012 Christine R. McGillis, President, SunTrust Banks, Inc.; and David T. Bloom, Senior Vice President and Deputy General Counsel, SunTrust Banks, Inc.

Feb. 13, 2012 Joseph L. Seidel, Managing Director, Credit Suisse Securities (USA) LLC

Feb. 13, 2012 Michael W. Williams, Managing Director, Credit Suisse Securities (USA) LLC

Feb. 13, 2012 Daniel McCardell, Senior Vice President and Head of Regulatory Affairs, The Clearing House Association L.L.C.

Feb. 13, 2012 William J. Sweet, Skadden, Arps, Slate, Meagher & Flom LLP

Feb. 13, 2012 Alex Radetsky, Vice President and Assistant General Counsel, The Clearing House Association L.L.C.; and Cecelia A. Calaby, Senior Vice President and Executive Director, ABA Securities Association

Feb. 13, 2012 Mike Nicholas, Chief Executive Officer, Bond Dealers of America

Feb. 13, 2012 Brett Palmer, Small Business Investor Alliance

Feb. 13, 2012 Cecelia Calaby, Executive Director and General Counsel, ABA Securities Association

Feb. 13, 2012 David Nason, General Electric Company

Feb. 13, 2012 Scott Weikart, Palo Alto, CA

Feb. 13, 2012 Lynn A. Stout, Marc and Beth Goldberg Distinguished Visiting Professor of law, Cornell Law School, Paul Hastings Distinguished Professor of Corporate and Securities Law, UCLA School of Law

Feb. 13, 2012 Robert Pickel, Chief Executive Officer, International Swaps and Derivatives Association, Inc.

Feb. 13, 2012 Stefan M. Gavell, Executive Vice President and Head of Regulatory and Industry Affairs, State Street Corporation

Feb. 13, 2012 Bank of New York Mellon Corporation, Northern Trust Corporation, and State Street Corporation

Feb. 13, 2012 Paul V. Noble, The Bank of Montreal; Jordy Chilcott, The Bank of Nova Scotia; Steve Geist, Canadian Imperial Bank of Commerce; Richard Koo, National Bank of Canada; Thomas A. Smee, Royal Bank of Canada; and Brian Murdock, The Toronto-Dominion Bank

Feb. 13, 2012 E. William Parsley, Executive Vice President, Chief Investment Officer and Treasurer, PNC Financial Services Group, Inc.

Feb. 13, 2012 Karsten Langer, Chairman, European Private Equity and Venture Capital Association

Feb. 13, 2012 Dan Flynn, Jay Kaufman, Greg Wren, and Fukunaga, National Conference of State Legislatures

Feb. 13, 2012 Marshall Blume and Kenneth E. Scott, Shadow Financial Regulatory Committee

Feb. 13, 2012 Richard Hopkin, Managing Director, Association for Financial Markets in Europe; Nicholas de Boursac, Chief Executive Officer, Asia Securities Industry & Financial Markets Association; and Ruari Ewing, Director, Primary Markets, International Capital Market Association

Feb. 13, 2012 James E. Roselle, Associate General Counsel, Northern Trust

Feb. 13, 2012 Oliver Wyman | Financial Services

Feb. 13, 2012 John Leith-Tetrault, National Trust for Historic Preservation & Historic Tax Credit Coalition

Feb. 13, 2012 Stuart Alderoty, Senior Executive Vice President and General Counsel, HSBC Bank USA

- Feb. 13, 2012 Philippa Hall, Head of Regulatory Strategy, F&C Management Ltd.
- Feb. 13, 2012 Kun Ho Hwang, Chairman, International Council of Securities Associations (ICSA) and Duncan Fairweather, Chairman, ICSA Standing Committee on Regulatory Affairs
- Feb. 13, 2012 Jonathan Gray, Regulatory Developments Director, Lloyds Banking Group
- Feb. 13, 2012 Paul Beresford, Chief Actuary, HSBC Life (international) Limited
- Feb. 13, 2012 Occupy the SEC
- Feb. 13, 2012 Chris Fielding, Executive Director, UK Regulated Covered Bond Council
- Feb. 13, 2012 Bill Magness, Vice-President & General Counsel, Electric Reliability Council of Texas, Inc.
- Feb. 13, 2012 Mark Page, Office of Management and Budget, The City of New York
- Feb. 13, 2012 Hans Joachim Reinke and Dr. Andreas Zubrod, Union Asset Management Holding AG
- Feb. 13, 2012 Lawrence K. Orr, General Partner, Trinity Ventures
- Feb. 13, 2012 Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin) and Deutsche Bundesbank
- Feb. 13, 2012 John S. Reed
- Feb. 13, 2012 Alice Arant-Cousins, Phoenix, Arizona
- Feb. 13, 2012 Pierre Bollon, Association Française de la Gestion financière
- Feb. 13, 2012 Marcel Rencin, Chairman, Association Française des Professionnels des Titres
- Feb. 13, 2012 Laura Schisgall, Managing Director & Senior Counsel, and Jason Hoberman, Director & Counsel, Société Générale
- Feb. 13, 2012 Pierre de Lauzun, French Banking Federation
- Feb. 13, 2012 Peter De Proft, Director General, European Fund and Asset Management Association
- Feb. 13, 2012 François DeloizBNP PARIBAS Investment Partners
- Feb. 13, 2012 Thomas Richter and Dr. Magdalena Kuper, BVI Bundesverband Investment and Asset Management, Germany
- Feb. 13, 2012 James M. Flaherty, Minister of Finance, Canada
- Feb. 13, 2012 Mark Carney, Governor, Bank of Canada
- Feb. 13, 2012 Guido Ravoet, Chief Executive, European Banking Federation
- Feb. 13, 2012 Securities Industry and Financial Markets Association, American Bankers Association, Financial Services Roundtable, The Clearing House Association
- Feb. 13, 2012 David Hirschmann, U.S.Chamber of Commerce, Washington, District of Columbia
- Feb. 13, 2012 Securities Industry and Financial Markets Association, American Bankers Association, Financial Services Roundtable, The Clearing House Association
- Feb. 13, 2012 Timothy W. Cameron, Esq. Managing Director, Asset Management Group, Securities Industry and Financial Markets

## Association

Feb. 13, 2012 International Regulatory Strategy Group

Feb. 13, 2012 Richard A. Dorfman, Managing Director, Head of Securitization, and Christopher B. Killian, Managing Director, Securities Industry and Financial Markets Association

Feb. 13, 2012 Peter De Proft, Director General, Investment Management Association, United Kingdom

Feb. 13, 2012 David L. Cohen, Managing Director, Associate General Counsel, Municipal Securities Division, Securities Industry and Financial Markets Association, New York, New York

Feb. 13, 2012 Barbara Ridpath, Chief Executive, and John Andrews, Research Analyst, International Centre for Financial Regulation

Feb. 13, 2012 Camille Thommes, Director General, and Marc Saluzz, President, Association of the Luxembourg Fund Industry

Feb. 13, 2012 Paul A. Volcker

Feb. 13, 2012 Janine Guillot, Chief Operating Investment Officer, California Public Employees' Retirement System (CalPERS)

Feb. 13, 2012 Magnus Carlsson and Mats Beckman, Merchant Banking Division, Skandinaviska Enskilda Banken AB

Feb. 13, 2012 National Association of Mutual Insurance Companies

Feb. 13, 2012 Daniel Lowenstein and Kathy Hamilton, Denver, Colorado

Feb. 13, 2012 Susan Buchan, Merced, California

Feb. 13, 2012 Martha Ramsey, Brattleboro, Vermont

Feb. 12, 2012 Joan Rutherford

Feb. 12, 2012 Catherine Mason

Feb. 12, 2012 Catherine Mason

Feb. 11, 2012 Marie Leven

Feb. 11, 2012 Karen Thaw

Feb. 11, 2012 Ralph Harrison

Feb. 11, 2012 Armida Brashears

Feb. 11, 2012 Rep. Susan Almy, GR 11, New Hampshire

Feb. 10, 2012 William F. Truscott, Chairman, Columbia Management Investment Advisers, LLC

Feb. 10, 2012 Susan Whetstone, Interim President-Executive Director, Connecticut Housing Finance Authority

Feb. 10, 2012 Richard Leining

Feb. 10, 2012 Robina Quale-Leach

Feb. 10, 2012 Karisa Bohon

Feb. 10, 2012 Arline DeMaio

Feb. 10, 2012 Lee Smith

Feb. 10, 2012 Sherry Reames

Feb. 10, 2012 David Georgi

Feb. 10, 2012 Susan Verdicchio

Feb. 10, 2012 Michele Smith

Feb. 10, 2012 Bryan Morris

Feb. 10, 2012 Edward Bright

Feb. 10, 2012 Raun Norquist

Feb. 10, 2012 Ken Converse

Feb. 10, 2012 Janet Nelson

Feb. 10, 2012 Fran Fortino

Feb. 10, 2012 Lynn Manzione

Feb. 10, 2012 Sarah Reid

Feb. 10, 2012 James Stevenson

Feb. 10, 2012 Jeffrey Wallace

Feb. 10, 2012 Judith Zitko

Feb. 10, 2012 Dawn Stamp

Feb. 10, 2012 Todd Johnston

Feb. 10, 2012 Mary A. Carroll

Feb. 10, 2012 Mike Rudnick

Feb. 10, 2012 Kevin Falcon, Minister and Deputy Premier, Province of British Columbia, Canada

Feb. 10, 2012 Zachary Boyers, U.S. Bancorp Community Development Corporation

Feb. 10, 2012 Committee on Investment of Employee Benefit Assets

Feb. 10, 2012 Cadmus Hicks, Managing Director, Nuveen Asset Management

Feb. 10, 2012 Kevin M. McCarty, President, and Therese M. Vaughn, Ph.D., Chief Executive Officer, National Association of Insurance Commissioners

Feb. 10, 2012 James M. Olsen, VP, Accounting and Investment Policy, Property Casualty Insurers Association of America

Feb. 10, 2012 Ashurst LLP, on behalf of JPMorgan Chase & Co., Wells Fargo Bank, N.A., Deutsche Bank AG, New York Branch, RBC Capital Markets, LLC, and Societe Generale, New York Branch

Feb. 10, 2012 Charles H. Dallara, Managing Director, Institute of International Finance

Feb. 10, 2012 Douglas A. Sheline, Senior Vice President and Assistant Treasurer, M&T Bank

Feb. 10, 2012 Rose M. Oswald, Poels President/CEO, Wisconsin Bankers Association

Feb. 10, 2012 Michael Kemmer, General Manager, Member of the Board of Directors, Association of German Banks and Hans-Joachim Massenberg, Member of the Management Board, Association of German Banks

Feb. 10, 2012 Charlie Bracken, Executive Vice President, Co-Chief Financial Officer, Liberty Global, Inc.

Feb. 10, 2012 Mimi Hodsoll

Feb. 10, 2012 Nathaniel Boonin, Newark, Delaware

Feb. 10, 2012 Robert Krouskoff, White Plains, New York

Feb. 10, 2012 Frances Vreman

Feb. 10, 2012 Rita Ray

Feb. 10, 2012 Lisa Kazmier

Feb. 10, 2012 Michael Wenger

Feb. 9, 2012 Mark R. Thresher, Executive Vice President, Chief Financial Officer, Nationwide Insurance

Feb. 9, 2012 Debbie Notkin

Feb. 9, 2012 James Ofsink

Feb. 9, 2012 Alexander Clayton

Feb. 9, 2012 Dyanne Dirosario

Feb. 9, 2012 Karen Bauer

Feb. 9, 2012 Kenneth Rose

Feb. 9, 2012 Andrew Pilling

Feb. 9, 2012 John Witmer

Feb. 9, 2012 Tom And Rosalie Cripps

Feb. 9, 2012 Susan Pashkoff

Feb. 9, 2012 Ronald Gedrim

Feb. 9, 2012 Teresa Priem

Feb. 9, 2012 Phillip Baker

Feb. 9, 2012 Allan Richardson

Feb. 9, 2012 Rosemary Wyche

Feb. 9, 2012 Janet Bullock

Feb. 9, 2012 Barry Rein

Feb. 9, 2012 Mary Starzyk

Feb. 9, 2012 David Annis

Feb. 9, 2012 Lawrence York

Feb. 9, 2012 Karen Hensley, Reston, Washington

Feb. 9, 2012 Janet McGinness, Senior Vice President and Corporate Secretary, NYSE Euronext

Feb. 9, 2012 Brandon Becker, Executive Vice President and Chief Legal Officer, TIAA-CREF

Feb. 9, 2012 Jack Mcgregor

Feb. 9, 2012 Kenneth Glidden

Feb. 9, 2012 Casey Maddren

Feb. 9, 2012 Paul Perkal

Feb. 9, 2012 Tim White

Feb. 9, 2012 Michael Iltis

Feb. 9, 2012 Judith Braun

Feb. 9, 2012 Sandra Stevens

Feb. 9, 2012 Franklin Neubauer

Feb. 9, 2012 Doug Gilbert

Feb. 9, 2012 Stephen J. Pew

Feb. 9, 2012 J. L. Cone

Feb. 9, 2012 Wendy Emlinger

Feb. 9, 2012 Randy Childers

Feb. 9, 2012 Joseph Satriano

Feb. 9, 2012 Terrence Karney

Feb. 9, 2012 David B. Chandler

Feb. 9, 2012 Marc De Puy

Feb. 9, 2012 Glenn Krakower

Feb. 9, 2012 Tim Peterson

Feb. 9, 2012 Steve Dickman

Feb. 9, 2012 Cadwalader, Wickersham & Taft LLP

Feb. 9, 2012 Luc Monty, Deputy Minister of Finance, Quebec, Canada

Feb. 9, 2012 Sarah Reed, General Counsel, On Behalf of Charles River Ventures, LLC

Feb. 9, 2012 Scott A. Cammam, Cadwalader, Wickersham & Taft LLP

Feb. 9, 2012 Samrat Pathania

Feb. 8, 2012 Michel Barnier, Member, European Commission

Feb. 8, 2012 William R. Hambrecht, Chairman and CEO, WR Hambrecht + Co

Feb. 8, 2012 Adair Turner, Chairman, Financial Services Authority

Feb. 8, 2012 Michael A. Carusi, Managing Director, Advanced Technology Ventures

Feb. 8, 2012 Andrew Kahn and Donald Campbell

Feb. 8, 2012 Andrew Thornborrow, Operating Partner, BlueRun Ventures

Feb. 8, 2012 Mary Jane Sutliff

Feb. 8, 2012 Kate Mitchell, Managing Director, Scale Venture Partners and Sharon Wienbar, Managing Director, Scale Venture Partners

Feb. 8, 2012 Karen Michaelis

Feb. 8, 2012 Ben Leet

Feb. 8, 2012 Steve Westly, Managing Partner The Westly Group

Feb. 8, 2012 David J. Stertzler, Chief Executive Officer, Association for Advanced Life Underwriting

Feb. 8, 2012 Zane E. Brown, Partner & Fixed Income Strategist, Lord, Abbett & Co. LLC

Feb. 8, 2012 Lee Brown, Lee S. Brown Fine Arts

Feb. 8, 2012 Sarah McKee



Feb. 8, 2012 David R. Wilkes

Feb. 8, 2012 Dan W. Schneider, Baker & McKenzie LLP, Counsel to the Association

Feb. 8, 2012 Mary Levendos

Feb. 8, 2012 Liz Amsden

Feb. 8, 2012 Mike Cramton

Feb. 8, 2012 Jonathan L. Rosenthal, Senior Managing Director, Metropolitan Life Insurance Company

Feb. 8, 2012 Chuah Mei Lin, Executive Director, The Association of Banks in Malaysia

Feb. 7, 2012 Kurt J. Laning, FSA, President, Clark Consulting

Feb. 7, 2012 Scott A. Cammarn, Special Counsel, Cadwalader, Wickersham & Taft LLP

Feb. 6, 2012 David Fischer, Manager, Gal Hill Capital

Feb. 6, 2012 Joshua L. Green, General Partner, Mohr Davidow

Feb. 6, 2012 Joe B. Jones, Financial Representative, The Jayhawk Financial Group, Lawrence, Kansas

Feb. 6, 2012 Chuck Bracht, Executive Vice President, BBVA Compass Consulting and Benefits, Inc.

Feb. 6, 2012 George Michaels, CEO, G2 FinTech

Feb. 3, 2012 Bruce A. Ortwine, General Counsel, Americas, The Sumitomo Trust & Banking Co., Ltd.

Feb. 3, 2012 Eric Young, Partner, Canaan Partners

Feb. 3, 2012 Brent Ahrens, General Partner, Canaan Partners

Feb. 3, 2012 Deepak Kamra, General Partner, Canaan Partners

Feb. 3, 2012 Richard M. Whiting, Executive Director and General Counsel, Financial Services Roundtable

Feb. 3, 2012 Mark G. Heesen, President, National Venture Capital Association

Feb. 2, 2012 Dan Fleming, Managing Director, River Cities Capital

Feb. 2, 2012 Hooman Shahlavi, Esq., Secretary and General Counsel Sofinnova Ventures

Feb. 2, 2012 Stephen E. Roth and Federick R. Bellamy, Sutherland Asbill & Brennan LLP, on behalf of the Committee of Annuity Insurers

Jan. 31, 2012 Gadi Mayman, Chief Executive Officer, Ontario Financing Authority

Jan. 31, 2012 Alan D. Polsky, Chair, Municipal Securities Rulemaking Board

Jan. 30, 2012 Eric Wedbush, President, Wedbush, Inc., Los Angeles, California

Jan. 28, 2012 Sheila Waddell

Jan. 27, 2012 Rep. Carolyn McCarthy, et al., Members of Congress

Jan. 27, 2012 Eric Benhamou

Jan. 27, 2012 Howard Marsh, Managing Director and Head of the Municipal Securities Division, Citigroup Global Markets Inc.

Jan. 27, 2012 Jeffrey D. DeBoer, President and Chief Executive Officer, The Real

## Estate Roundtable

- Jan. 26, 2012 Robert Waters
- Jan. 26, 2012 Robert D. Atkinson, President, Information Technology & Innovation Foundation
- Jan. 25, 2012 Sen. Kirsten E. Gillibrand, U.S. Senate
- Jan. 25, 2012 William A. O'Malley, CFA Managing Principal, Income Research & Management
- Jan. 25, 2012 The Norinchukin Bank, Japan
- Jan. 24, 2012 Julie A. Spiezio, Senior Vice President, Insurance Regulation & Deputy General Counsel, American Council of Life Insurers
- Jan. 24, 2012 Christopher L. Rizik, Renaissance Venture Capital Fund
- Jan. 23, 2012 Jackie Speier, Member of Congress
- Jan. 23, 2012 George Osborne
- Jan. 23, 2012 Cleary Gottlieb Steen & Hamilton LLP, Davis Polk & Wardwell LLP, and Sullivan & Cromwell LLP
- Jan. 20, 2012 Len Canty, Black Economic Council; Jorge Corralejo, Latino Business Chamber of Greater LA; Faith Bautista, National Asian American Coalition, and Robert Gnaizda, Counsel
- Jan. 19, 2012 Amy E. Koch, Director of Fixed Income Trading, Standish Mellon Asset Management Company LLC
- Jan. 19, 2012 Paul v. Noble, Deputy General Counsel, Private Client Group, Bank of Montreal; Jordy Chilcott, Head Canadian Mutual Funds, The Bank of Nova Scotia; Steve Geist, President, CIBC Asset Management, Canadian Imperial Bank of Commerce; Thomas A. Smee, Senior Vice President & Deputy General Counsel, RBC Law Group, Royal Bank of Canada and Brian Muedock, Executive Vice President, The Toronto-Dominion Bank
- Jan. 17, 2012 Alice W. Handy, President and CEO, Investsure LLC
- Jan. 17, 2012 Tom Quaadman, Vice President, U.S. Chamber of Commerce, Washington, District of Columbia
- Jan. 16, 2012 Darrell Duffie, Professor, Graduate School of Business, Stanford University
- Jan. 13, 2012 Senator Kay R. Hagan, U.S. Senate
- Jan. 13, 2012 Japanese Bankers Association
- Jan. 12, 2012 Kathleen G. Luckard, Los Angeles, California
- Jan. 12, 2012 Perry M. Traquina, President and Chief Executive Officer, Wellington Management Company, LLP
- Jan. 10, 2012 Ronald M. Diner, President, Raymond James Tax Credit Funds, Inc.
- Jan. 9, 2012 Hendrik R. Woods, Illinois
- Dec. 29, 2011 Anonymous
- Dec. 29, 2011 Kenneth E. Bentsen, Jr., EVP Public Policy and Advocacy, SIFMA
- Dec. 28, 2011 Masamichi Kono, Vice Commissioner for International Affairs, Financial Services Agency, Government of Japan, and Kenzo Yamamoto, Executive Director, Bank of Japan

- Dec. 28, 2011 Julie Dickson, Superintendent, Office of the Superintendent of Financial Institutions Canada
- Dec. 26, 2011 Alfred J. Michelhaus, Accountant
- Dec. 25, 2011 David Herrington, Syracuse, New York
- Dec. 24, 2011 Herbert L. Wilson, Laredo, Texas
- Dec. 23, 2011 Rep. Zoe Lofgren, U.S. House of Representatives
- Dec. 23, 2011 Jeffrey Moskin, Culver City, California
- Dec. 23, 2011 Charles Waldron, Los Angeles, California
- Dec. 23, 2011 Curtis Bowling, Argillite, Kentucky
- Dec. 23, 2011 American International Group, Inc.: APG Algemene Pensioen Groep N.V.; BlackRock, Inc.; California Public Employees' Retirement System; Dodge & Cox; GE Asset Management; Income Research & Management; Legal and General Investment Management America; Loomis, Sayles & Company, L.P.; McDonnell Investment Management, LLC; MetLife, Inc.; Nationwide Mutual Insurance Company; The Vanguard Group, Inc.
- Dec. 22, 2011 Paul Schott Stevens, President & CEO, Investment Company Institute, Washington, District of Columbia
- Dec. 22, 2011 Anthony G. Flynn, Jr., and Koral Fusselman, Lexington, Virginia
- Dec. 21, 2011 Orim Graves, CFA, Executive Director, National Association of Securities Professionals
- Dec. 21, 2011 Terry Campbell, President & Chief Executive Officer, Canadian Bankers Association
- Dec. 21, 2011 Ian Russell, FCSI, President and CEO, Investment Industry Association of Canada
- Dec. 20, 2011 Members of Congress
- Dec. 20, 2011 Rep. Michael M. Honda, U.S. House of Representatives
- Dec. 20, 2011 Ralph S. Saul, West Conshohocken, Pennsylvania
- Dec. 19, 2011 Rep. Michael L. Burgess, M.D., U.S. House of Representatives
- Dec. 19, 2011 Randel Pilo, Verona, Wisconsin
- Dec. 16, 2011 Suzanne H. Shatto, Seattle, Washington
- Dec. 16, 2011 Rep. David Schweikert, U.S. House of Representatives
- Dec. 16, 2011 John Gidman, The Association of Institutional Investors
- Dec. 16, 2011 Tony Burke, Policy Director, Australian Bankers' Association
- Dec. 15, 2011 David T. Hirschmann, President and Chief Executive Officer, Center for Capital Markets Competitiveness, U.S. Chamber of Commerce
- Dec. 13, 2011 Rep. Anna G. Eshoo, U.S. House of Representatives
- Dec. 12, 2011 Michael M. Chamberlin, Executive Director, EMTA
- Dec. 12, 2011 Alfred Brock
- Dec. 9, 2011 Dennis M. Kelleher, President & CEO, Better Markets, Inc.
- Dec. 7, 2011 Reps. Spencer Bachus, Jeb Hensarling, Shelby Moore Capito, and Scott Garrett, Committee on Financial Services, U.S. House of

## Representatives

- Nov. 30, 2011 The American Bankers Association, the Financial Services Roundtable, the Financial Services Forum, the Institute of International Bankers and the Securities Industry and Financial Markets Association
- Nov. 29, 2011 Capital One Financial Corporation, Fifth Third Bancorp and Regions Financial Corporation
- Nov. 27, 2011 Obaid M. Syed, Undergraduate at Yale, New Haven, Connecticut
- Nov. 22, 2011 Chris Barnard, Germany
- Nov. 17, 2011 David Hirschmann, President and Chief Executive Officer, Center for Capital Markets Competitiveness, U.S. Chamber of Commerce
- Nov. 16, 2011 Peter S. Kraus, Chairman and CEO, AllianceBernstein L.P.
- Nov. 13, 2011 Kirstin Dvorchak, Denver, Colorado
- Nov. 8, 2011 David McClean, Rutgers University
- Nov. 2, 2011 Len Canty, Chairman, Black Economic Council; Jorge Corralejo, Chairman, Latino Business Chamber of Greater LA; and Faith Bautista, President and CEO, National Asian American Coalition
- Oct. 29, 2011 Suzanne H. Shatto, Seattle, Washington
- Oct. 28, 2011 Samuel D. Kimbrell, Hendersonville, North Carolina
- Oct. 24, 2011 Jason Bright, Law Student, University of Missouri, Columbia, Missouri
- Oct. 19, 2011 Ralph S. Saul
- Oct. 17, 2011 Len Canty, Chairman, Black Economic Council; Jorge Corralejo, Chairman, Latino Business Chamber of Greater LA; and Faith Bautista, President and CEO, National Asian American Coalition
- Oct. 17, 2011 David Brooke
- Oct. 12, 2011 Noel Weichbrodt, Saint Louis, Missouri
- Oct. 12, 2011 Frank A. LoSchiavo, Jr., Atascadero, California
- Oct. 12, 2011 Chris Zontine, San Jose, California
- Oct. 11, 2011 Alice Bartoo, San Tan Valley, Arizona
- Oct. 10, 2011 Mike P. McKeever
- Oct. 8, 2011 Mike P. McKeever

**Meetings with SEC Officials**

*([Click here](#) for submitted comments from the public)*

- Jan. 9, 2014 Memorandum from the Office of Commissioner Kara Stein regarding a January 9, 2014, phone call with Counsel for Senator Merkley
- Jan. 9, 2014 Memorandum from the Office of Commissioner Kara Stein regarding a January 9, 2014, phone call with Simon Johnson
- Jan. 8, 2014 Memorandum from the Office of Commissioner Kara Stein regarding a January 8, 2014, meeting with Counsel for Senator Merkley
- Jan. 7, 2014 Memorandum from the Office of Commissioner Kara Stein regarding a January 7, 2014, phone call with a representative of Better Markets

- Nov. 20, 2013 Memorandum from the Office of the Chair regarding a November 7, 2013, meeting with representatives of Goldman Sachs
- Nov. 20, 2013 Memorandum from the Office of Commissioner Kara Stein regarding a November 20, 2013, conference call with representatives of The National Asian American Coalition
- Nov. 20, 2013 Memorandum from the Office of the Chair regarding an October 1, 2013, meeting with representatives of HSBC
- Nov. 20, 2013 Memorandum from the Office of the Chair regarding a November 19, 2013, meeting with a representative of Pew Charitable Trusts
- Nov. 18, 2013 Memorandum from the Office of Commissioner Kara Stein regarding a November 18, 2013, meeting with representatives of The Center for Capital Markets Competitiveness
- Nov. 18, 2013 Memorandum from the Office of Commissioner Daniel M. Gallagher regarding a November 7, 2013, meeting with representatives of Goldman Sachs
- Nov. 14, 2013 Memorandum from the Office of Commissioner Kara Stein regarding a November 14, 2013, meeting with representatives of Goldman Sachs
- Nov. 14, 2013 Memorandum from the Office of Commissioner Daniel M. Gallagher regarding a November 13, 2013, meeting with representatives of the Loan Syndications & Trading Association and WilmerHale
- Nov. 14, 2013 Memorandum from the Office of Commissioner Michael S. Piwowar regarding a November 14, 2013, meeting with representatives of Goldman Sachs
- Nov. 8, 2013 Memorandum from the Office of the Chair regarding October 24, 2013, and November 8, 2013, phone calls with staff from the Office of U.S. Senator Jeff Merkley
- Nov. 7, 2013 Memorandum from the Office of Commissioner Luis A. Aguilar regarding a November 7, 2013, meeting with representatives of Goldman Sachs
- Nov. 7, 2013 Memorandum from the Office of Commissioner Kara Stein regarding a November 7, 2013, meeting with representatives of Goldman Sachs
- Nov. 6, 2013 Memorandum from the Office of Commissioner Kara Stein regarding a November 6, 2013, meeting with representatives of the Securities Industry and Financial Markets Association (SIFMA)
- Nov. 5, 2013 Memorandum from the Division of Investment Management regarding a November 5, 2013, meeting with representatives of HSBC
- Nov. 4, 2013 Memorandum from the Office of Commissioner Kara Stein regarding a November 1, 2013, meeting with representatives of the Institute of International Bankers
- Nov. 1, 2013 Memorandum from the Office of Commissioner Michael S. Piwowar regarding a November 1, 2013, meeting with representatives of the Institute of International Bankers
- Oct. 23, 2013 Memorandum from the Division of Trading and Markets regarding an October 23, 2013, meeting with representatives of HSBC

- Oct. 2, 2013 Memorandum from the Office of Commissioner Kara Stein regarding an October 2, 2013, meeting with Andrew Green from the Office of U.S. Senator Jeff Merkley
- Oct. 1, 2013 Memorandum from the Division of Trading and Markets regarding an October 1, 2013, meeting with representatives of HSBC
- Oct. 1, 2013 Memorandum from the Office of Commissioner Michael S. Piwowar regarding an October 1, 2013, meeting with representatives of HSBC
- Sep. 30, 2013 Memorandum from the Office of the Chair regarding a September 30, 2013, meeting with representatives of Better Markets
- Sep. 26, 2013 Memorandum from the Office of Commissioner Daniel M. Gallagher regarding a September 19, 2013, meeting with representatives of PNC Financial Services Group, Inc.
- Sep. 26, 2013 Memorandum from the Office of Commissioner Kara Stein regarding a September 26, 2013, phone call with a representative of Better Markets
- Sep. 18, 2013 Memorandum from the Office of Commissioner Kara Stein regarding a September 16, 2013, meeting with representatives of Americans for Financial Reform
- Sep. 16, 2013 Memorandum from the Office of Commissioner Michael S. Piwowar regarding an September 16, 2013, meeting with representatives of SIFMA
- Sep. 16, 2013 Memorandum from the Office of Commissioner Kara Stein regarding a September 16, 2013, meeting with representatives of SIFMA
- Sep. 13, 2013 Memorandum from the Office of Commissioner Kara Stein regarding a September 13, 2013, meeting with representatives of Better Markets
- Sep. 12, 2013 Memorandum from the Office of Commissioner Kara Stein regarding a September 12, 2013, meeting with representatives of the American Bankers Association
- Aug. 27, 2013 Memorandum from the Division of Trading and Markets regarding an August 27, 2013, meeting with Greg Smith
- Jul. 30, 2013 Memorandum from the Division of Trading and Markets regarding a July 30, 2013, meeting with the Treasury Borrowing Advisory Committee
- Jul. 18, 2013 Memorandum from the Office of the Chair regarding a July 11, 2013, meeting with representatives of BlackRock
- Jun. 27, 2013 Memorandum from the Division of Investment Management regarding a June 12, 2013, meeting with representatives of the Securities Industry and Financial Markets Association (SIFMA) and Davis Polk & Wardwell LLP
- Jun. 18, 2013 Memorandum from the Office of the Chair regarding a June 14, 2013, meeting with representatives of the U.S. Chamber of Commerce Center for Capital Markets Competitiveness
- Jun. 18, 2013 Memorandum from the Office of the Chair regarding a June 14, 2013, meeting with representatives of SIFMA
- Jun. 14, 2013 Memorandum from the Office of the Chair regarding a June 6, 2013, meeting with a representative of the AFL-CIO
- Jun. 14, 2013 Memorandum from the Office of the Chair regarding a June 6, 2013, meeting with representatives of Better Markets

- Jun. 11, 2013 Memorandum from the Office of the Chair regarding a June 7, 2013, meeting with a representative of Goldman Sachs
- May 28, 2013 Memorandum from the Office of the Chairman regarding a May 24, 2013, meeting with representatives of the Systemic Risk Council
- May 21, 2013 Memorandum from the Division of Trading and Markets regarding a May 21, 2013, meeting with representatives of TIAA-CREF
- May 3, 2013 Memorandum from the Division of Trading and Markets regarding a May 3, 2013, meeting with representatives of State Street Global Advisors
- Apr. 8, 2013 Memorandum from the Division of Trading and Markets regarding an April 8, 2013, meeting with representatives of Barclays
- Mar. 14, 2013 Memorandum from the Division of Trading and Markets regarding a March 14, 2013, meeting with representatives of the Securities Industry and Financial Markets Association ("SIFMA") and SIFMA Member Firms
- Feb. 26, 2013 Memorandum from the Office of Commissioner Paredes regarding a February 26, 2013, meeting with representatives of Morgan Stanley
- Feb. 26, 2013 Memorandum from the Division of Trading and Markets regarding a February 26, 2013, meeting with representatives of Morgan Stanley
- Feb. 12, 2013 Memorandum from the Division of Trading and Markets regarding a February 12, 2013, meeting with representatives of the Bond Dealers of America
- Jan. 23, 2013 Memorandum from the Division of Trading and Markets regarding a January 23, 2013, meeting with representatives of Goldman Sachs
- Jan. 10, 2013 Memorandum from the Division of Investment Management regarding a January 10, 2013, meeting with representatives of the Alternative Investment Management Association
- Dec. 19, 2012 Memorandum from the Office of Commissioner Luis A. Aguilar regarding a December 17, 2012, meeting with representatives of Americans for Financial Reform, Consumer Federation of America and other organizations
- Dec. 5, 2012 Memorandum from the Division of Investment Management regarding a December 5, 2012, meeting with representatives of BlackRock
- Nov. 13, 2012 Memorandum from the Office of Commissioner Paredes regarding a November 13, 2012, meeting with representatives of Capstone LLC, et al.
- Aug. 21, 2012 Memorandum from the Division of Investment Management regarding an August 21, 2012, meeting with representatives of SVB Financial Group
- Jul. 11, 2012 Memorandum from the Division of Trading and Markets regarding a July 11, 2012, meeting with representatives of the Bond Dealers of America
- Jun. 4, 2012 Memorandum from the Division of Trading and Markets regarding a June 4, 2012, meeting with representatives of Better Markets
- Jun. 1, 2012 Memorandum from the Division of Trading and Markets regarding a June 1, 2012, meeting with representatives of the Investment Company Institute

- May 23, 2012 Memorandum from the Division of Trading and Markets regarding a May 23, 2012, meeting with representatives of Credit Suisse
- May 23, 2012 Memorandum from the Division of Trading and Markets regarding a May 23, 2012, meeting with representatives of the National Bank Financial
- May 23, 2012 Memorandum from the Division of Investment Management regarding a May 23, 2012, meeting with representatives of GE Capital Corp.
- May 17, 2012 Memorandum from the Division of Trading and Markets regarding a May 17, 2012, meeting with representatives of Australian Banks
- May 15, 2012 Memorandum from the Office of Commissioner Aguilar regarding a May 9, 2012, meeting with representatives of the Bond Dealers of America
- May 7, 2012 Memorandum from the Office of Commissioner Troy A. Paredes regarding a May 1, 2012, meeting with representatives of the British Bankers' Association
- May 4, 2012 Memorandum from the Division of Trading and Markets regarding a May 4, 2012, meeting with representatives of Americans for Financial Reform, Public Citizen, and the International Brotherhood of Teamsters
- May 4, 2012 Memorandum from the Office of the Chairman regarding an April 26, 2012, meeting with representatives of the National Association of Insurance Commissioners
- Apr. 25, 2012 Memorandum from the Division of Trading and Markets regarding an April 25, 2012, meeting with EU Economic Counselors
- Apr. 24, 2012 Memorandum from the Division of Trading and Markets regarding an April 24, 2012, meeting with Professor Matthew Richardson
- Apr. 23, 2012 Memorandum from the Division of Trading and Markets regarding an April 23, 2012, meeting with representatives of the Massachusetts Educational Financing Authority
- Apr. 19, 2012 Memorandum from the Office of the Chairman regarding an April 19, 2012, meeting with representatives of Credit Suisse Group AG
- Apr. 10, 2012 Memorandum from the Division of Trading and Markets regarding a meeting with members of SIMFA, Citigroup, RBS Global Banking and Markets, Bank of America, Deutsche Bank and Sidley Austin
- Apr. 6, 2012 Memorandum from the Division of Trading and Markets regarding an April 6, 2012, meeting with representatives of Americans for Financial Reform
- Apr. 4, 2012 Memorandum from the Office of Commissioner Aguilar regarding an April 3, 2012 meeting with representatives of Americans for Financial Reform, AFL-CIO, Consumer Federation of America, and Public Citizen
- Mar. 28, 2012 Memorandum from the Division of Trading and Markets regarding a March 28, 2012, meeting with representatives of SIFMA
- Mar. 27, 2012 Memorandum from the Office of Commissioner Aguilar regarding a March 27, 2012, meeting with representatives of Morgan Stanley



- Mar. 21, 2012 Memorandum from the Division of Investment Management regarding a March 21, 2012, meeting with a representative of U.S. Insurer
- Mar. 20, 2012 Memorandum from the Division of Investment Management regarding a February 10, 2012, meeting with a representative of the Roosevelt Institute
- Mar. 20, 2012 Memorandum from the Division of Trading and Markets regarding a March 20, 2012, meeting with representatives of Occupy the SEC
- Mar. 19, 2012 Memorandum from the Office of the Chairman regarding a March 14, 2012, meeting with representatives of the European Fund and Asset Management Association (EFAMA)
- Mar. 13, 2012 Memorandum from the Division of Investment Management regarding a March 13, 2012, meeting with representatives of The Loan Syndications & Trading Association
- Mar. 13, 2012 Memorandum from the Office of Commissioner Walter regarding a February 29, 2012, meeting with representatives of Morgan Stanley
- Mar. 12, 2012 Memorandum from the Office of the Chairman regarding a March 12, 2012, meeting with representatives of HSBC Global Banking and Markets
- Mar. 7, 2012 Memorandum from the Division of Trading and Markets regarding a March 7, 2012, meeting with representatives of Goldman Sachs
- Mar. 6, 2012 Memorandum from the Division of Trading and Markets regarding a March 6, 2012, meeting with representatives of TIAA-CREF
- Mar. 6, 2012 Memorandum from the Division of Trading and Markets regarding a March 6, 2012, meeting with representatives of London Financial Services Authority
- Mar. 1, 2012 Memorandum from the Office of the Chairman regarding a March 1, 2012, meeting with representatives of SIFMA
- Feb. 29, 2012 Memorandum from the Trading and Markets regarding a February 29, 2012, conference call with representatives of the Canadian Securities Administrators
- Feb. 28, 2012 Memorandum from the Division of Trading and Markets regarding a February 28, 2012, meeting with Professor Simon Johnson
- Feb. 23, 2012 Memorandum from the Division of Trading and Markets regarding a February 23, 2012, meeting with representatives of the Committee on Investment of Employee Benefit Assets (CIEBA)
- Feb. 22, 2012 Memorandum from the Office of the Chairman regarding a February 16, 2012, meeting with representatives of the Financial Services Roundtable
- Feb. 22, 2012 Memorandum from the Office of the Chairman regarding a February 16, 2012, meeting with BlackRock
- Feb. 17, 2012 Memorandum from the Office of the Chairman regarding a February 15, 2012, meeting with Paul A. Volcker
- Feb. 15, 2012 Memorandum from the Division of Trading and Markets regarding a February 15, 2012, meeting with Professor Darrell Duffie
- Feb. 15, 2012 Memorandum from the Office of Commissioner Aguilar regarding a February 15, 2012, meeting with representatives of the Alternative Investment Management Association

- Feb. 10, 2012 Memorandum from the Division of Trading and Markets regarding a February 10, 2012, meeting with representatives of the Credit Roundtable and Fixed Income Forum
- Feb. 10, 2012 Memorandum from the Division of Investment Management regarding a February 10, 2012, meeting with representatives of the U.S. Senate Committee on Banking, Housing and Urban Affairs
- Feb. 8, 2012 Memorandum from the Division of Trading and Markets regarding a February 8, 2012, meeting with representatives of Bank of Oliver Wyman
- Feb. 8, 2012 Memorandum from the Office of Commissioner Aguila regarding a February 8, 2012, meeting with representatives of Bank of America and Merrill Lynch
- Feb. 8, 2012 Memorandum from the Division of Investment Management regarding a February 8, 2012, meeting with representatives of Grosvenor Capital Management, L.P.
- Feb. 7, 2012 Memorandum from the Office of the Chairman regarding a February 7, 2012, meeting with representatives of Morgan Stanley
- Feb. 6, 2012 Memorandum from the Division of Trading and Markets regarding a February 6, 2012, meeting with representatives from Canadian Banks and the Canadian Bankers' Association
- Feb. 6, 2012 Memorandum from the Office of the Chairman regarding a February 3, 2012, meeting with representatives of the Investment Company Institute
- Jan. 30, 2012 Memorandum from the Office of Commissioner Luis A. Aguilar regarding a January 30, 2012, meeting with representatives of Goldman Sachs
- Jan. 24, 2012 Memorandum from the Division of Trading and Markets regarding a January 24, 2012, meeting with representatives of the U.S. Chamber of Commerce
- Jan. 12, 2012 Memorandum from the Division of Investment Management regarding a January 12, 2012, conference call with representatives of Occupy the SEC
- Jan. 11, 2012 Memorandum from the Division of Investment Management regarding a January 11, 2012, conference call with representatives of Sutherland
- Jan. 5, 2012 Memorandum from the Division of Investment Management regarding a January 5, 2012, meeting with representatives of the Institute of International Bankers and Cleary Gottlieb Steen & Hamilton LLP
- Jan. 4, 2012 Memorandum from the Division of Investment Management regarding a January 4, 2012, meeting with representatives of the Institute of International Bankers and Cleary Gottlieb Steen & Hamilton LLP
- Dec. 22, 2011 Memorandum from the Division of Trading and Markets regarding a December 22, 2011, conference call with representatives of Goldman Sachs
- Dec. 22, 2011 Memorandum from the Division of Investment Management regarding a December 22, 2011, conference call with representatives of Davis Polk
- Dec. 22, 2011 Memorandum from the Division of Investment Management

regarding a December 19, 2011, conference call with representatives of Sutherland

- Dec. 21, 2011 Memorandum from the Division of Trading and Markets regarding a December 21, 2011, meeting with representatives of Credit Suisse
- Dec. 20, 2011 Memorandum from the Division of Trading and Markets regarding a December 20, 2011, meeting with representatives of SIFMA and David Polk
- Dec. 20, 2011 Memorandum from the Division of Investment Management regarding a December 20, 2011, meeting with representatives of BNY/Mellon, Northern Trust, State Street
- Dec. 19, 2011 Memorandum from the Division of Investment Management regarding a December 19, 2011, meeting with representatives of Barclays Capital
- Dec. 15, 2011 Memorandum from the Division of Trading and Markets regarding a December 15, 2011, meeting with representatives of Goldman Sachs
- Dec. 14, 2011 Memorandum from the Division of Corporation Finance regarding a December 13, 2011, conference call with representatives from Goldman Sachs
- Dec. 12, 2011 Memorandum from the Division of Trading and Markets regarding a December 12, 2011, meeting with representatives of Bank of America
- Nov. 30, 2011 Memorandum from the Division of Investment Management regarding a November 30, 2011, meeting with representatives of Bank of America, Citigroup, Goldman Sachs, JP Morgan Chase, Morgan Stanley, and General Electric
- Nov. 17, 2011 Memorandum from the Division of Trading and Markets regarding a November 17, 2011, meeting with representatives of Barclays
- Nov. 9, 2011 Memorandum from the Division of Trading and Markets regarding a November 9, 2011, meeting with representatives from Goldman Sachs, JP Morgan, and Morgan Stanley
- Nov. 3, 2011 Memorandum from the Division of Investment Management regarding a November 3, 2011, meeting with representatives of SVB Financial Group and Debevoise & Plimpton LLP

<http://www.sec.gov/comments/s7-41-11/s74111.shtml>

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