



U.S. Securities and Exchange Commission

Comments on Amendments to Form ADV and Investment Advisers Act Rules

[Release Nos. IA-4091; File No. S7-09-15]

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Submitted Comments

- Aug. 11, 2015 Anonymous
- Aug. 11, 2015 John Gebauer, President, National Regulatory Services
- Aug. 11, 2015 Anne Tuttle Cappel, Financial Engines Advisors, L.L.C.
- Aug. 11, 2015 Krista Zipfel, President & CEO, Advisor Solutions Group, Inc., Newport Beach, California
- Aug. 11, 2015 Dechert LLP
- Aug. 11, 2015 Christopher Gilkerson, SVP, General Counsel, Charles Schwab & Co., Inc.
- Aug. 11, 2015 David P. Bergers, General Counsel, LPL Financial LLC
- Aug. 11, 2015 Karen B. Huey, CEO, Professional Compliance Assistance, Inc., Woodstock, Georgia
- Aug. 11, 2015 Barbara Novick, Vice Chairman, and Benjamin Archibald, Managing Director, BlackRock, Inc.
- Aug. 11, 2015 William Beatty, President, North American Securities Administrators Association (NASAA), Washington Securities Administrator
- Aug. 11, 2015 David W. Blass, General Counsel, Investment Company Institute, Washington, District of Columbia
- Aug. 11, 2015 David Lekich, Chief Counsel, Charles Schwab Investment Management, Inc., San Francisco, California
- Aug. 11, 2015 Jason Mulvihill, General Counsel, Private Equity Growth Capital Council, Washington, District of Columbia
- Aug. 11, 2015 John M. Zerr, Senior Vice President, Invesco Advisers, Inc., Houston, Texas
- Aug. 11, 2015 Craig D. Pfeiffer, President & CEO, Money Management Institute
- Aug. 11, 2015 Robert C. Grohowski, General Counsel, Investment Adviser Association
- Aug. 11, 2015 Timothy W. Cameron, Esq., Head, and Lindsey Weber Keljo, Esq., Vice President and Assistant General Counsel, Asset Management Group, Securities Industry and Financial Markets Association, Washington, District of Columbia
- Aug. 11, 2015 David Oestreicher, Chief Legal Counsel, and Jonathan D. Siegel, Senior Legal Counsel, T. Rowe Price Associates, Inc., Baltimore, Maryland
Schulte Roth & Zabel LLP, New York, New York

- Aug. 11, 2015
- Aug. 11, 2015 Mortimer J. Buckley, Chief Investment Officer, Vanguard
- Aug. 11, 2015 Stefan M. Gavell, Executive Vice President and Head of Regulatory, Industry and Government Affairs, State Street Corporation
- Aug. 11, 2015 Paul F. Roye, Senior Vice President, and Rachel V. Nass, Counsel, Capital Research and Management Company
- Aug. 11, 2015 Stuart J. Kaswell, Executive Vice President & Managing Director, General Counsel, Managed Funds Association
- Aug. 11, 2015 Gary A. LaBranche, FASB, CAE, President & CEO, Association for Corporate Growth
- Aug. 11, 2015 Shearman & Sterling LLP, New York City, New York
- Aug. 10, 2015 Ari Gabinet, EVP Gen Counsel, OFI Global (OppenheimerFunds), New York, New York
- Aug. 10, 2015 Debra Brown, Esquire, Brown Associates LLC, Boston, Massachusetts
- Aug. 10, 2015 Kurt N. Schacht, CFA, Managing Director, Standards and Financial Market Integrity, and Linda L. Rittenhouse, Director, Capital Markets Policy, CFA Institute
- Aug. 7, 2015 Sheila Bair, Chair, on behalf of the Systemic Risk Council
- Aug. 6, 2015 Jiří Król, Deputy Chief Executive Officer, Global Head of Government Affairs, Alternative Investment Management Association Limited, London, UK
- Aug. 5, 2015 Tannenbaum Helpert Syracuse & Hirschtritt LLP
- Aug. 4, 2015 Russ Wermers, Ph.D., University of Maryland, Rockville, Maryland
- Jul. 22, 2015 Judith Gross, Principal, JG Advisory Services LLC, New York, New York
- Jul. 2, 2015 L. A. Schnase
- Jun. 28, 2015 Thomas K. Morgan, Esq., South Orange, New Jersey
- Jun. 24, 2015 Charles E. Dodson, Chief Compliance Officer, JAG Capital Management LLC, St. Louis, Missouri
- Jun. 11, 2015 Pat Hyman
- Jun. 8, 2015 Michael D. Berlin, San Diego
- Jun. 8, 2015 Carrie Devorah, The Center For Copyright Integrity, Washington, District of Columbia
- May 22, 2015 Jeff J. Diercks, Tampa, Florida
- May 21, 2015 Adrian Day, President, Adrian Day Asset Management

Meetings with SEC Officials

- Jul. 29, 2015 Memorandum from the Division of Investment Management regarding a July 28, 2015, meeting with representatives of the Securities Industry and Financial Markets Association
- Jul. 27, 2015 Memorandum from the Division of Investment Management regarding a July 23, 2015, meeting with representatives of the Managed Funds Association
- Jul. 24, 2015

- Memorandum from the Division of Investment Management regarding a July 23, 2015, meeting with representatives of the Investment Adviser Association
- Jul. 24, 2015 Memorandum from the Office of Commissioner Kara Stein regarding a July 24, 2015 meeting with representatives of the Managed Funds Association
- Jul. 23, 2015 Memorandum from the Office of Commissioner Michael S. Piwowar regarding a July 23, 2015, meeting with representatives of the Managed Funds Association
- Jul. 21, 2015 Memorandum from the Division of Investment Management regarding a July 13, 2015, meeting with representatives of BlackRock

<http://www.sec.gov/comments/s7-09-15/s70915.shtml>

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