



## U.S. Securities and Exchange Commission

### Thank you for taking the time to comment on this release.

**Your comments for file number 3-18527 were received on June 27, 2020.**

*Please save this page for your records.*

#### Comments received from:

James E Dadd  
Brize Norton, Carterton  
United Kingdom

Email: james\_dadd@yahoo.com

#### Comments:

Dear Sir/Madam,

I would like to be included in the SEC's Fair Fund resulting from the deVere USA litigation.

I was a client of deVere USA, advised by Benjamin Alderson of their NYC office. They reviewed my situation and recommended the transfer of my UK pension to a QROPS fund without the following:

- Lack of disclosure on the compensation/upfront commission to transfer my pension to a QROPS with RL360.
- Lack of disclosure on the compensation/upfront commission to invest my funds in a UBS structured note or mutual funds paying adviser's commission.
- Lack of disclosure on conflicts of interest.

I look forward to your consideration of this request, and your decision in due course.

Kind regards,

James E. Dadd

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Thank you for submitting a comment to the U.S. Securities and Exchange Commission. This auto-reply message is your notification that we have received your comment letter.

The SEC posts comments on the SEC's Internet Website (<https://www.sec.gov>). Comments are also available for website viewing and printing in the SEC's Public Reference Room, 100 F Street, NE, Washington, DC 20549 on official business days between the hours of 10:00 am and 3:00pm. We reserve the right, but shall have no obligation, to review, to refuse to post or to remove any or all of your submission from [www.sec.gov](http://www.sec.gov) that is deemed to be inappropriate for publication, including, but not limited to, obscene language, personally identifiable information, copyrighted material, and irrelevant content. When multiple comments are submitted with identical or near-identical content, only the first copy of the comment received is posted publicly, along with a running total number of that comment received. We may redact personally identifiable information from submissions, but have no obligation to do so. You should submit only information that you wish to make available publicly. We generally post comments within 2 to 3 business days after we receive them electronically.

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We appreciate your taking the time to communicate your thoughts on our proposed rules.

Sincerely,  
Office of the Secretary  
U.S. Securities and Exchange Commission

<https://www.sec.gov/cgi-bin/ruling-comments>