

**Alphabetical List of Written Comments**  
**Regulatory Notice 21-40**

1. Kenneth E. Bentsen, Jr., Securities Industry and Financial Markets Association (“SIFMA”) (May 10, 2022)
2. Stephen Berkeley, Loop Capital Markets LLC (“Loop Capital”) (January 18, 2022)
3. A. Brad Busscher, InspereX LLC (“InspereX”) (January 14, 2022)
4. Michael Decker, Bond Dealers of America (“BDA”) (January 18, 2022)
5. Michael Decker, Bond Dealers of America (“BDA”) (March 15, 2022)
6. Michael Decker, Bond Dealers of America (“BDA”) (May10, 2022)
7. David R. Jones, CastleOak Securities, L.P. (“CastleOak”) (January 28, 2022)
8. Jeffrey D. Karpf, Cleary Gottlieb Steen & Hamilton LLP (“Cleary”) (January 18, 2022)
9. Kelli McMorrow, American Securities Association (“ASA”) (January 18, 2022)
10. Karolina Pajdak, R. Seelaus & Co., LLC (“R. Seelaus”) (January 18, 2022)
11. Suzanne Shank, Siebert Williams Shank & Co., LLC (“SWS”) (January 18, 2022)
12. David Wong, Mizuho Securities USA LLC (“Mizuho”) (January 18, 2022)