

**EXHIBIT 2b**

**Alphabetical List of Written Comments  
Regulatory Notice 17-06**

1. David T. Bellaire, Financial Services Institute (“FSI”) (March 27, 2017)
2. Jason Berkowitz, Insured Retirement Institute (“IRI”) (March 27, 2017)
3. Anthony Chereso, Investment Program Association (“IPA”) (March 27, 2017)
4. Molly Diggins, Monument Group Inc. (“Monument”) (May 17, 2017)
5. Donna DiMaria, Third-Party Marketer’s Association (“3PM”) (March 27, 2017)
6. Dorothy Donohue, Investment Company Institute (“ICI”) (March 27, 2017)
7. Alexander C. Gavis, Fidelity Investments (“Fidelity”) (March 27, 2017)
8. Christopher A. Iacovella, Equity Dealers of America (“EDA”) (March 7, 2017)
9. Nicole Iannarone & Majda Muhic, Georgia State University College of Law Investor Advocacy Clinic (“GSU”) (March 27, 2017)
10. Clifford Kirsch & Susan Krawczyk, Eversheds Sutherland (US) LLP for Committee of Annuity Insurers (“CAI”) (March 27, 2017)
11. Marnie C. Lambert, Public Investors Arbitration Bar Association (“PIABA”) (March 27, 2017)
12. Peter W. LaVigne, Securities Regulation Committee of the Business Law, New York State Bar Association (“NYBAR Committee”) (March 30, 2017)
13. Roger Machlis, Credit Suisse Securities (USA) LLC (“Credit Suisse”) (March 27, 2017)
14. Robert J. McCarthy, Wells Fargo Advisors (“Wells Fargo”) (March 27, 2017)
15. Neal E. Nakagiri, NPB Financial Group, LLC (“NPB”) (March 9, 2017)

16. Craig D. Pfeiffer, Money Management Institute (“MMI”) (March 27, 2017)
17. Mike Rothman, North American Securities Administrators Association, Inc. (“NASAA”) (March 24, 2017)
18. Molly Shannon, Wellington Management Advisers, Inc. (“Wellington”) (March 27, 2017)
19. Kenneth D. Stephen, M. Holdings Securities, Inc. (“M Holdings”) (March 23, 2017)
20. Robert L. Stype, ACA Compliance Group (“ACA”) (March 27, 2017)
21. Christopher Tolla, Odeon Capital Group LLC (“Odeon”), (April 26, 2017)
22. WealthForge Securities, LLC (“WealthForge”) (March 27, 2017)
23. Kevin A. Zambrowicz , Securities Industry and Financial Markets Association (“SIFMA”) (March 27, 2017)