



DIVISION OF
ENFORCEMENT

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

September 26, 2017

Jane Norberg, Chief
Office of the Whistleblower
Phone: (202) 551-4790
Fax: (703) 813-9322

Kathryn Honecker
Rose Law Group, PC
7144 E. Stetson Drive, Suite 300
Scottsdale, AZ 85251

TCR Submission number: TCR1505137733667
Submission dated: August 7, 2017

Dear Ms. Honecker:

Thank you for your information and request to be considered for an award under the SEC's Whistleblower Program on behalf of your client. We greatly appreciate your bringing this matter to our attention. The success of the whistleblower program depends on individuals providing the Commission with specific, timely, and credible information.

Members of the staff of the Division of Enforcement may contact you for additional assistance or information. In addition, we encourage you to submit any additional supporting information or materials that you believe will assist us in analyzing and fully understanding this matter.

On August 12, 2011 the final Whistleblower rules went into effect. It is now required that you submit a signed Form-TCR (including the declarations page) in order to be considered for a whistleblower award. You are encouraged to submit the form using our online questionnaire, which you can access at www.sec.gov/whistleblower. That website also has link to a pdf of the Form-TCR that you may also complete and sign and send to us via hard copy at Office of the Whistleblower, 100 F Street, NE, Mail Stop 5971, Washington, DC 20549 or fax it to (703) 813-9322.

Thank you again for taking the opportunity to submit your information to us. Efforts by persons such as yourself and your client are critical to the success of this program.

Please do not hesitate to contact the Office of the Whistleblower if you have any questions or concerns.

Best Regards,

A handwritten signature in black ink, appearing to be "Jane Norberg".

Jane Norberg

JOHN McCAIN
ARIZONA

CHAIRMAN, COMMITTEE ON
ARMED SERVICES
COMMITTEE ON HOMELAND SECURITY
AND GOVERNMENTAL AFFAIRS
COMMITTEE ON INDIAN AFFAIRS

United States Senate

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SUITE 103
TUCSON, AZ 85701
(520) 670-6334

November 2, 2017

Anil Vazirani
14301 N 87th St
Suite 216
scottsdale, AZ 85260

Dear Anill,

Thank you for your information regarding your support for the proposed fiduciary rule. I am always interested in matters that affect my constituents.

Thank you again for bringing this matter to my attention.

Sincerely,



John McCain
United States Senator

JM/xvjg