



Federal Registry - Rule 15c2-11

From Tom Carroll <tom@provident-advisors.com>
Date Tue 4/14/2026 11:57 AM
To PaperworkReductionAct <PaperworkReduct@sec.gov>

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c/o Tanya Ruttengerg

Re: Rule 15c2-11

Mrs. Ruttenberg,

I am seeking information regarding the resumption of quotations for fixed income securities in the proposed exemptive relief amendments. The Notice filed by the SEC on 4/1/2026 (dated: 3/27/2026) references 27 OTC securities of “catch-all issuers”. I own, personally and for clients, several of the securities that were restricted under Rule 15c2-11 following adoption in 2020. I wish to know if there is a list of the 27 securities referenced by the SEC in the posted notice [Federal Register :: Agency Information Collection Activities; Proposed Collection; Comment Request; Extension: Rule 15c2-11?](#)

As you may or may not be aware of, securities of formerly publicly traded companies were captured in this rule. Some securities are debt issues and some are fixed income preferred shares that traded on the exchange before restriction. I wish to know if the securities I hold will be provided relief from Rule 15c2-11. Can you provide me with a list of the 27 “catch-all issuers”?

I appreciate any relief clarification you can provide.

Regards,

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