The number assigned to this disaster for physical damage is 11986 6 and for economic injury is 11987 0.

The States which received an EIDL Declaration # are Alabama, Florida. (Catalog of Federal Domestic Assistance Numbers 59002 and 59008)

Karen G. Mills, Administrator.

BILLING CODE 8025–01–P

SUMMARY OF APPLICATION: Applicant requests that the Commission issue an order under section 206A of the Advisers Act exempting it and its investment advisory subsidiaries from Advisers Act rule 206(4)–3(a)(2)(iii)(A)(3), which requires any cash solicitor for an investment adviser to provide a prospective client with a separate solicitor’s disclosure document at the time of the solicitation, and from Advisers Act rule 206(4)–3(a)(2)(iii)(B), which requires an investment adviser to receive a prospective client’s written acknowledgement of receipt of the separate solicitor’s document prior to entering into any advisory contract with that client.

FILING DATES: The application was filed on April 27, 2009, and an amended and restated application was filed on October 30, 2009.

HEARING OR NOTIFICATION OF HEARING: An order granting the application will be issued unless the Commission orders a hearing. Interested persons may request a hearing by writing to the Commission’s Secretary and serving Applicant with a copy of the request, personally or by mail. Hearing requests should be received by the SEC by 5:30 p.m. on February 10, 2010 and should be accompanied by proof of service on Applicant, in the form of an affidavit or, for lawyers, a certificate of service.

Hearing requests should state the nature of the writer’s interest, the reason for the request, and the issues contested. Persons may request notification of a hearing by writing to the Commission’s Secretary.


FOR FURTHER INFORMATION CONTACT: Sarah G. ten Siethoff, Senior Counsel, or Daniel S. Kahl, Branch Chief, at (202) 551–6787 (Office of Investment Adviser Regulation, Division of Investment Management).

SUPPLEMENTARY INFORMATION: The following is a summary of the application. The complete application may be obtained for a fee at the SEC’s Public Reference Branch, 100 F Street, NE., Washington, DC 20549–0102 (telephone (202) 551–5850).

Applicant’s Representations
1. Applicant is a publicly traded holding company conducting investment management and ancillary businesses primarily through a variety of directly or indirectly wholly owned registered investment advisory...