

Paul Huynh



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From: Susan Baker-Toth on behalf of SEC-AOD
Sent: Thursday, April 23, 2015 9:43 AM
To: Paul Huynh
Subject: FW: Docket of General Inquiry

ORIGINAL

From: Karl Schroeder [<mailto:karl@4KASH.COM>]
Sent: Thursday, April 23, 2015 9:32 AM
To: SEC-AOD
Subject: RE: Docket of General Inquiry

Arizona Corporation Commission
DOCKETED

JUN 17 2015

To Paul or Whom It May Concern:
re: Docket# S-00000E-15-0129

DOCKETED BY 

Please keep me updated on the requirements or modifications on this matter.

Thanks,

Karl Schroeder, RFC
Investment Advisor Representative
Schroeder Financial Services, Inc.
9666 East Riggs Road #136
Sun Lakes, AZ 85248
480-895-0611 office
480-895-2105 fax
karl@4kash.com

RECEIVED
2015 JUN 17 A 10:26
AZ CORP COMMISSION
DOCKET CONTROL

From: Susan Baker-Toth [<mailto:Sbakertoth@azcc.gov>] **On Behalf Of** SEC-AOD
Sent: Wednesday, April 22, 2015 3:45 PM
Subject: Docket of General Inquiry

To Whom It May Concern:

The Commission has opened a docket of general inquiry. As a courtesy, you have been provided a copy of the opening letter. If you would like further information or if you would like to be added to the service list please review the attached letter.

Regards,

Arizona Corporation Commission, Securities Division



FIVE MILE RIVER *Investment Management, LLC*

May 15, 2015

Arizona Corporation Commission
Securities Division
1300 West Washington Street, 3rd Floor
Phoenix, Arizona 85007

Dear Sirs:

In response to your letter dated April 22, 2015, please include me in future publications regarding further discussion and findings of the Commission's rulemaking proposals for licensing requirements affecting investment management registrations. Please sent information to:

Thayer B. Robbins
Managing Director
Five Mile River Investment Management LLC
7 Edgehill Drive
Darien, CT 06820

Thank you for including me in this discussion and findings.

Sincerely,

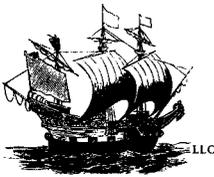
Thayer B. Robbins



7 Edgehill Drive, Darien, CT 06820

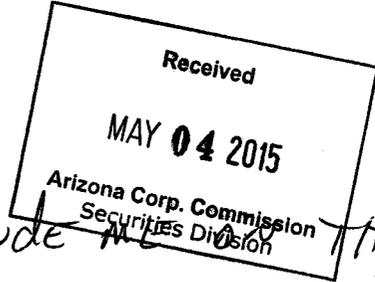
Telephone: 203-388-4810 Fax: 203-388-4811 E-mail: info@fivemileriver.com

www.fivemileriver.com



BATTLE CAPITAL
ASSET MANAGEMENT

Terry D. Ormsbee
Managing Director



PLEASE include ~~ALL~~ THE

~~THE~~ MAILING list FOR:

DOCKET No: ~~S 00000~~ E-15-0129

THANK YOU-

TERRY ORMSBEE
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