

MEMORANDUM

FILE: S7-09-13

FROM: Heather Percival
Honors Intern
Office of Chief Counsel, Division of Trading and Markets
U.S. Securities and Exchange Commission

RE: Meeting with the Board of Directors from STA

DATE: November 7, 2013

On November 6, 2013, Commission staff met with board members of the Securities Transfer Association, Inc. (“STA”), to discuss the proposed rules to implement Title III of the Jumpstart Our Business Startups Act. STA also discussed other matters relating to transfer agent regulations, transfer agents’ role in the clearing and settlement systems, and the current state of the industry.

The following Commission staff representatives participated: David Blass, Peter Curley, Joseph Furey, Leila Bham, Timothy White, Carla Carriveau, Sharon Lawson, Abraham Jacob, Andrew Shanbrom, Zachery Hunter, Mark Saltzburg, Moshe Rothman, Kate Azevedo, and Heather Percival from the Division of Trading and Markets; Jonathan Ingram, Sebastian Gomez Abero, and Jessica Dickerson from the Division of Corporation Finance.

The following board members of STA participated: Charles Rossi, Executive VP of US Client Services, Computershare; Thomas Montrone, President and CEO, Registrar and Transfer Co.; Steven Nelson, Chairman and President, Continental Stock Transfer and Trust Co.; Salli Marinov, President and CEO, First American Stock Transfer, Inc.; Mike Nespoli, Executive Director of Relationship Management, American Stock Transfer and Trust Company, LLC; Mario Passudetti, Managing Director, The Bank of New York Mellon; Cynthia Jones, Executive Director, Securities Transfer Association, Inc.; Edward Pittman, Dechert, LLP.