

MEMORANDUM

To: File No. S7-16-18

From: Kristina Littman, Senior Advisor to the Chairman

Re: Meeting with Sean McKessy

Date: October 23, 2019

On October 23, 2019, Chairman Jay Clayton, Sean Memon, Stephanie Avakian, Jane Norberg and Kristina Littman met with Sean McKessy of Phillips & Cohen. The topic of the discussion was the SEC's proposed rule amendments relating to the whistleblower program.