

MEMORANDUM

TO: File No. S7-27-15

FROM: Catherine Whiting
Division of Trading and Markets

DATE: May 3, 2016

SUBJECT: Meeting with Shareholders Services Association

On February 17, 2016, representatives from the Securities and Exchange Commission's Division of Trading and Markets (Moshe Rothman, Thomas Etter, Catherine Whiting, Mark Saltzburg, and Elizabeth DeBoyrie), Office of Compliance Inspections and Examinations (Eric Garvey, Samuel Thomas, and Christopher Curran), and Division of Corporation Finance (Jonathan Ingram, David Fredrickson and Raymond Be) met with Alvin Santiago, Abby Cowart, Joan DiBlasi, Christopher Dowd, Patrick Burke, Mark Gereb, Bernadette Maffei, and Kathryn Sevcik, representatives of the Shareholders Services Association ("SSA"). Representatives discussed, among other topics, the Commission's Advance Notice of Proposed Rulemaking and Concept Release, issued on December 22, 2015.