

## MEMORANDUM

**TO:** File No. S7-27-15

**FROM:** Mark Saltzburg  
Division of Trading and Markets

**DATE:** October 18, 2016

**RE:** Transfer Agent Regulations – Release No. 34-76743

On October 12, 2016, staff of the Division of Trading and Markets (Gary Goldsholle (Deputy Director), Christian Sabella (Associate Director), Moshe Rothman (Counsel to Director), Mark Saltzburg (Senior Counsel), Thomas Etter (Senior Counsel), Catherine Whiting (Senior Counsel), and Elizabeth DeBoyrie (Attorney-Adviser)) and of the Division of Investment Management (Kathleen Joaquin (Senior Fellow)) met with representatives of the Investment Company Institute (Tamara Salmon (Senior Associate Counsel – Securities Regulation), Dorothy Donohue (Deputy General Counsel – Securities Regulation), Joanne Kane (Director – Operations & Transfer Agency), and Martin Burns (Chief Industry Operations Officer)).

The purpose of the meeting was to discuss the Advance Notice of Proposed Rulemaking, Concept Release and Request for Comment on Transfer Agent Regulations (Release No. 34-76743, December 22, 2015), including regulation of transfer agents to registered investment companies.