

MEMORANDUM

To: File No. S7-27-15

From: Andrew Glickman, Counsel to Commissioner Hester M. Peirce

Re: Call with representatives of the Securities Transfer Association

On December 11, 2020, Commissioner Hester M. Peirce, and her legal advisors Richard Gabbert, Coy Garrison, and Andrew Glickman participated in a conference call with representatives from the Securities Transfer Association: Todd May (STA Board President), Peter Duggan (STA Board Vice President), Steve Nelson (STA Board Secretary), Melissa Cabocel (STA Executive Dir.), and Charlie Rossi (Advisor to the STA Board). The general topic discussed was the Commission's Advance Notice of Proposed Rulemaking, Concept Release, and Request for Comment on Transfer Agent Regulations (Release No. 34-76743, December 22, 2015).