

**madhoff**

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From: Swanson, Eric J.

To: McCarthy, John A. [McCarthyJA@sec.gov]

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I spoke with Shauna Madhoff today and she asked whether you would be available to participate in a roundtable discussion of b/d compliance-related issues in late sept or early oct. Apparently, she is part of an SIA compliance committee and is hosting a breakfast roundtable discussion at AG Edwards in St. Louis. She would like to have someone from the Commission speak on BD issues, such as preparing for an examination, the NASD's new certification policies, etc. She described the session as informal and conversational, not a speech. She asked specifically for you, but I got the sense that she just wants someone from the Commission who would be willing to these issues - perhaps Rich?

Possible dates are: 9/30, 10/1, 10/2.

Her number is Personal Privacy Let me know if you want me to call her back.