

MEMORANDUM

September 30, 2010

TO: File No. 4-606

FROM: Leila Bham
Division of Trading and Markets

RE: Section 913 of the Dodd-Frank Wall Street Reform Act of 2010 (the “Act”)

On September 30, 2010, James Brigagliano, Lourdes Gonzalez, Dan Fisher, Emily Russell, and Leila Bham of the Division of Trading and Markets; Doug Scheidt, David Grim, Sara ten Siethoff and Holly Hunter-Ceci of the Division of Investment Management; Mavis Kelly and Sarah Young of the Office of Compliance Inspections and Examinations; Rich Ferlauto of the Office of Investor Education and Advocacy; Jennifer Marietta-Westberg of the Division of Risk, Strategy and Financial Innovation; and Sarah Buescher of the Office of the General Counsel, met with James Tricarico, General Counsel; Christopher Lewis, Deputy General Counsel; Jesse Hill, Head of Regulatory Relations; and Ken Cella, Principal, Managed Investments and Packaged Solutions, all of Edward Jones & Co., L.P. (“Edward Jones”), and K. Susan Grafton of Gibson, Dunn & Crutcher LLP. At the meeting, the Edward Jones representatives discussed the issues listed on the attached agenda that they had provided in advance of the meeting.

Proposed Agenda:

1. Harmonization with Existing Laws and Rules
2. Maintaining Investor Choice
3. Investor Disclosures and Consents
4. Registration and Licensing