

MEMORANDUM

TO: File 4-606 (and others)

FROM: Raymond Lombardo
Branch Chief, Division of Trading & Markets

DATE: April 1, 2011

SUBJECT: Meeting with the Financial Services Roundtable

On March 23, 2011, staff from the Division of Trading and Markets met with staff of the Financial Services Roundtable and financial services industry representatives; the attendee list is attached.

At the meeting, the representatives of The Financial Services Roundtable discussed the issues listed on the attached agenda which they had provided in advance of the meeting.

ATTENDEES

Joseph J. Barry

Senior Vice President
Regulatory, Government and Industry
Affairs
State Street Corporation

William Blumenthal

Government Affairs Director
State Farm Insurance Companies

Brennen Britton

Law Clerk
The Financial Services Roundtable

Steven H. Brownlee

Associate General Counsel
Capital One

Victoria Bova

Attorney
AEGON/Transamerica

Sairah Burki

Director
Treasury Policy Affairs
Capitol One

Jodi Erlandsen

Vice President & Corporate Counsel
ING Investment Management

Denise Ferguson

Senior Vice President
Federal Government Affairs
Ameriprise

Maureen Baker Fialcowitz

Vice President and Corporate Counsel
Prudential

Margaret Foran
Chief Governance Officer,
Vice President and Corporate Secretary
Prudential

Peter Freeman
Vice President for Insurance
The Financial Services Roundtable

Mariana Gomez
Technology Group Counsel
BITS

Bridget F. Hagan
Associate Vice President
Government Relations, Insurance and
Financial Services
Nationwide

Laura Donovan Haines
Assistant Vice President
Government Affairs
**The Hartford Financial Services Group,
Inc.**

Robert Hatch
Attorney
The Financial Services Roundtable

Jesse D. Hill
Principal
Edward Jones

Richard Hoffman
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Prudential

Bradley Ipema
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The Financial Services Roundtable

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Assurant Inc.

Maurya Keating
Vice President and Associate General
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AXA Financial Inc.

Mary A. Kelly
Vice President and Corporate Counsel
Prudential

Gary A. Klein
Deputy General Counsel
LPL Financial LLC

Mary Pat Lawrence
Senior Managing Director
SNR Denton US LLP

Peter Lefkin
Senior Vice President
Government and External Affairs
Allianz of America

Kimberly M. Quish
Vice President, Legislative and Regulatory
Affairs
Charles Schwab Corporation

R. Lucia Riddle
Vice President
Federal Government Relations
Principal Financial Group

Felicia Smith
Regulatory Attorney
The Financial Services Roundtable

Robert Sussman
Managing Director and Managing Counsel
BNY Mellon

James Brigagliano
Deputy Director
Division of Trading and Markets
Securities and Exchange Commission

Lillian C. Brown
Senior Special Counsel
Division of Corporation Finance
Securities and Exchange Commission

Robert W. Cook
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Securities and Exchange Commission

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Securities and Exchange Commission

Martha M. Haines
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Office of Municipal Securities
Division of Trading and Markets
Securities and Exchange Commission

Daniel S. Kahl

Assistant Director, Investment Adviser
Regulatory Office

Division of Investment Management
Securities and Exchange Commission

Felicia Kung

Chief, Office of Rulemaking

Division of Corporation Finance
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Raymond A. Lombardo

Branch Chief

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Jennifer Porter

Attorney-Adviser, Executive
Compensation

Division of Investment Management
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John Ramsay

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Securities and Exchange Commission

Nadya B. Roytblat

Assistant Chief Counsel

Division of Investment Management
Securities and Exchange Commission

Jennifer Zepralka

Senior Special Counsel

Division of Corporation Finance
Securities and Exchange Commission

AGENDA

ITEM

TOPIC

1. Commission Staff Study on Investment Advisers and Broker-Dealers As Required by Section 913 of the Dodd-Frank Act (January 2011)

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Commission Staff Study on Enhancing Investment Adviser Examinations As Required by Section 914 of the Dodd-Frank Act (January 2011)

2. Pace of Commission Rulemaking Pursuant to the Dodd-Frank Wall Street Reform and Consumer Protection Act (the “Dodd-Frank Act”)
3. Registration of Municipal Advisors As Required by Section 975 of the Dodd-Frank Act (December 20, 2010)
4. Incentive-Based Compensation Arrangements Pursuant to Section 956 of the Dodd-Frank Act (March 2011)
5. “Volker Rule”
6. Adjourn