

MEMORANDUM

TO: File No. 4-606
FROM: Kevin Schopp
Division of Trading and Markets
DATE: March 26, 2015
RE: Meeting Relating to Section 913 of the Dodd-Frank Act

On March 26, 2015, Gary Goldsholle, Heather Seidel, Paula Jenson, Lourdes Gonzalez, Dan Fisher (via telephone), Kevin Schopp, and Stacy Puente, all of the Division of Trading and Markets, and Rachel Loko, of the Division of Investment Management, met with Hugh Berkson, Jason Doss, Robin Ringo, and Marty Lambert of the Public Investors Arbitration Bar Association. The discussion included issues related to Section 913 of the Dodd-Frank Act and the duties of brokers, dealers, and investment advisers.