



MEMORANDUM

TO: File

FROM: Tim Fox
Office of Financial Responsibility

RE: Meeting with Realpoint to Discuss Rules 17g-5(a)(3) and 17g-5(e) under
the Securities Exchange Act of 1934.

DATE: November 1, 2010

On September 30, 2010, Mike Macchiaroli, Randall Roy, Joe Levinson and Tim Fox (staff from the Division of Trading & Markets) met with Joe Petro (Realpoint), Robert Doblis (Realpoint), Kimberly Andrascik (Andrascik & Tita LLC), Richard Robbins (Morningstar), and Joe Butera (attorney-at-law). The group discussed the implementation of Rules 17g-5(a)(3) and 17g-5(e) under the Exchange Act.