

MEMORANDUM

To: File Nos. S7-05-18; S7-14-16

From: Nicholas J. Losurdo
Counsel to Commissioner Elad L. Roisman

Date: October 30, 2018

Re: Meeting with Representatives from RBC and Others

On October 30, 2018, Commissioner Elad L. Roisman and his Counsels (Nicholas Losurdo, Elizabeth Blase, Matthew Estabrook, and Christina Thomas) met with the following individuals:

- Bobby Grubert, RBC Capital Markets;
- Rich Steiner, RBC Capital Markets;
- Danielle Barrett, Royal Bank of Canada;
- Shawn Maher, Royal Bank of Canada.
- Dan Royal, Janus-Henderson Investors;
- Matt Waldner, Columbia Threadneedle Investments;
- Mett Kinak, T. Rowe Price;
- Craig Hurl, Ontario Teachers Pension Plan;
- Mike Buek, Vanguard Group;
- Joe Scafidi, Brandes Partners;
- Jeff Estella, MFS; and
- Jason Vedder, Driehaus Capital Management.

The topics discussed included the Commission's proposed Transaction Fee Pilot for NMS Stocks and the Commission's proposed rule on Disclosure of Order Handling Information.