

MEMORANDUM

To: File Nos. S7-07-18, S7-08-18, S7-09-18

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

Date: April 16, 2019

Re: Meeting with Representatives from Janney Montgomery Scott (“Janney”)

On April 16, 2019, Commissioner Elad L. Roisman and his Counsels, Nicholas Losurdo, Elizabeth Blase, and Christina Thomas, met with the following representatives from Janney:

- Tim Scheve
- Jerry Lombard
- Kevin Reed
- Joe Timmins
- Tony Miller
- Karen Shakoske
- Greg McShea
- Caroline Hall
- Doug Foster
- Alan Smith
- Jessica Lempa
- Peter Sheridan
- Joe Culley
- Dave Mullan
- Tom Hohenstein

The topics discussed included the Commission’s proposed Regulation Best Interest. Janney has submitted a letter to the comment files on these matters.