

## **MEMORANDUM**

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

FROM: Division of Trading and Markets

RE: Meeting with Representatives of Edward Jones

DATE: July 30, 2018

---

On Monday, July 30, 2018, representatives of the Securities and Exchange Commission (“SEC”) participated in a meeting with representatives of Edward Jones. The SEC representatives were Sara Cortes, Benjamin Kalish, Gena Lai, Naseem Nixon, and Jennifer Porter from the Division of Investment Management; and Bradford Bartels, Roni Bergoffen, Geeta Dhingra, Alicia Goldin, Lourdes Gonzalez, Brett Redfearn, and Heather Seidel from the Division of Trading and Markets. The Edward Jones representatives were Merri Jo Gillette, Jesse Hill, Chris Lewis, Rick Roberts (RR&G, LLC), and Jim Weddle.

The participants discussed, among other things, the SEC’s proposed rules and interpretation relating to standards of conduct for investment professionals.