

MEMORANDUM

TO: File No. S7-11-13

FROM: Smeeta S. Ramarathnam
Office of Commissioner Luis A. Aguilar

DATE: April 8, 2014

SUBJECT: Meeting with Representatives of NASAA

On April 7, 2014, Commissioner Aguilar and Smeeta S. Ramarathnam, Chief of Staff to the Commissioner, met with the following individuals:

- Andrea Seidt, NASAA President and Ohio Securities Commissioner
- Bill Beatty, NASAA President-elect and Washington Director of Securities
- Faith Anderson, General Counsel, Washington Securities Division
- Melanie Lubin, Maryland Securities Commissioner
- Russ Iuculano, NASAA Executive Director
- Joey Brady, NASAA General Counsel

The discussion included, among other things, the Commission's Proposed Rule Amendments for Small and Additional Issues Exemptions Under Section 3(b) of the Securities Act.