

## MEMORANDUM

**To:** File

**From:** Andrew Green  
Counsel to Commissioner Kara Stein  
U.S. Securities and Exchange Commission

**Date:** October 21, 2015

**Re:** Discussion with Alexis Goldstein from Americans for Financial Reform

On Thursday, October 15, 2015 and Tuesday October 20, 2015, Andrew Green, staff to Commissioner Stein, spoke by phone with Alexis Goldstein of Americans for Financial Reform.

Among the topics discussed were the Commission's proposed rules to Applications by Security-Based Swap Dealers or Major Security-Based Swap Participants for Statutorily Disqualified Associated Persons to Effect or Be Involved in Effecting Security-Based Swaps (File No.: S7-14-15).