

MEMORANDUM

TO: File No. S7-15-18

FROM: Adam B. Glazer
Counsel to Commissioner Hester M. Peirce

RE: Meeting with Representatives of the New York Stock Exchange (“NYSE”)

DATE: December 4, 2018

On December 3, 2018, Commissioner Hester M. Peirce and her legal advisor, Adam Glazer, met with the following representatives of NYSE:

- Douglas Yones, Head of Exchange Traded Products; and
- Hope Jarkowski, Co-Head of Government Affairs.

The participants discussed, among other things, the Commission’s proposed new rule, 6c-11 under the Investment Company Act, in Investment Company Act Release No. 33140 (June 28, 2018).