

MEMORANDUM

To: File No. S7-16-18

From: William K. Shirey, Office of the General Counsel

Re: Meeting with Stephen Kohn (of Kohn, Kohn and Colapinto (“KKC”)), Sharon Watkins, Michael Kohn (of KKC), John Kostyack (of the National Whistleblower Center (“NWC”)), David Colapinto (of NWC), and Siri Nelson

Date: October 9, 2019

On October 8, 2019, Sean Memon, Kristina Littman, Stephen Yoder, Cree Kelly, and William Shirey met with the individuals identified above. The topic of the discussion was the SEC’s proposed rule amendments relating to the whistleblower program.