

MEMORANDUM

To: File No. S7-16-18

From: Kristina Littman, Senior Advisor to the Chairman

Re: Meeting with Stephen Kohn, Dean Zerbe, Michael D. Kohn, John Kostyack and Siri Nelson

Date: October 23, 2019

On October 23, 2019, Chairman Jay Clayton, Sean Memon, Stephanie Avakian, Jane Norberg and Kristina Littman met with Stephen Kohn of Kohn, Kohn and Colapinto, Dean Zerbe of Zerbe, Miller, Fingeret, Frank & Jadav, Michael D. Kohn of Kohn, Kohn and Colapinto, John Kostyack of the National Whistleblower Center, and Siri Nelson of the National Whistleblower Center. The topic of the discussion was the SEC's proposed rule amendments relating to the whistleblower program.