

MEMORANDUM

To: File No. S7-27-15

From: Richard Gabbert, Counsel to Commissioner Hester M. Peirce

Re: Telephone Call with Representatives of the Securities Transfer Association

On May 1, 2020, Commissioner Hester Peirce, and her legal advisors, Richard Gabbert and Coy Garrison, and intern James Smith, participated in a telephone call with the following representatives of STA:

- Todd May (EQ by Equinti),
- Peter Duggan (Computershare),
- Steve Nelson (Continental Stock Transfer & Trust Co.)
- Charlie Rossi (STA), and
- Melissa Cabocel (STA).

Participants discussed, among other things, the Advance Notice of Proposed Rulemaking, Concept Release and Request for Comment on Transfer Agent Regulations (Release No. 34-76743, December 22, 2015), including regulation of transfer agents to registered investment companies.