

MEMORANDUM

TO: File No. SR-MSRB-2015-03

FROM: Tim Weiler
Office of Municipal Securities

DATE: October 5, 2015

RE: Meeting with Representatives of the Bond Dealers of America (“BDA”)

On October 5, 2015, Jessica S. Kane, Rebecca Olsen, Mary Simpkins, Cori Shepherd, and Tim Weiler from the Office of Municipal Securities met with representatives from BDA. The representatives were:

- Tom Henson, Managing Director, Janney Montgomery Scott LLC
- Frank Fairman, Managing Director, Piper Jaffray Companies
- Guy Yandel, Executive Vice President, George K. Baum & Company
- Hank Morgan, Associate Corporate Counsel, Raymond James & Associates, Inc.
- Dan Deaton, Partner, Nixon Peabody LLP
- Jessica Giroux, General Counsel and Managing Director, BDA
- Elizabeth Columbo, Partner, Nixon Peabody LLP
- Richard Vaney, BDA

The participants discussed the Municipal Securities Rulemaking Board’s proposed new rule G-42, on duties of non-solicitor municipal advisors.