

MEMORANDUM

October 2, 2013

TO: File No. SR-NYSE-2013-07

FROM: Mark T. Uyeda
Counsel to Commissioner Michael S. Piwowar

RE: Meeting with Representatives of Broadridge Financial Solutions, Inc.

On October 1, 2013, Commissioner Michael S. Piwowar and his legal counsel, Mark Uyeda, met with Robert Schifellite, president of the Investor Communications Solutions division of Broadridge Financial Solutions, Inc. (“Broadridge”), Charles Callen, vice president of legal and regulatory affairs of Broadridge, and their counsel, David Martin of Covington & Burling LLP and Annette Nazareth of Davis, Polk & Wardwell LLP, to discuss the above-referenced proposed rule filing and Broadridge’s comment letter on the filing.