

MEMORANDUM

To: SR-NYSE-2019-67

From: Eric Juzenas
Counsel to Commissioner Allison Herren Lee
U.S. Securities and Exchange Commission

Date: October 13, 2020

Re: Meeting with ASA

On October 13, 2020, Commissioner Allison Herren Lee, Frank Buda, and Eric Juzenas met with:

- Curt Bradbury, COO of Stephens Inc.
- Ron Kruszewski, Chairman and CEO of Stifel Financial Corp./Chairman of the American Securities Association
- Christopher Iacovella, CEO, American Securities Association
- Jeff Solomon, Chair and CEO of Cowen Inc.

NYSE's proposed rule change to allow direct listings, SR-NYSE-2019-67, was discussed.