

MEMORANDUM

TO: File Nos. SR-NYSEMKT-2016-52 and SR-NYSEArca-2016-103

FROM: Adam T. Moore, Senior Counsel
Office of the Investor Advocate
U.S. Securities and Exchange Commission

DATE: October 14, 2016

RE: Conference call with representatives of NASAA

On Thursday, October 13, 2016, Rick Fleming, Investor Advocate, and Adam T. Moore, Senior Counsel, from the Office of the Investor Advocate participated in a conference call with representatives from the North American Securities Administrators Association, including A. Valerie Mirko (General Counsel) and Christopher Staley (Counsel).

Among the topics discussed were the Form U5 filing process and the proposed rule changes, File Nos. SR-NYSEMKT-2016-52 and SR-NYSEArca-2016-103.