

Memo of Meeting

Date: October 15, 2008

Callers: Steve Silverman, Acting Director of OE

Mutahar Shamsi, DCB, NWE-DO
[REDACTED] CO, NWE-DO

. Kathleen Anderson, CDER/OC
[REDACTED] CDER/OC
[REDACTED] CDER/OC

[REDACTED] OCC
[REDACTED] OCC

NWE-DO expressed that before we re-inspect the firm we need to respond to the firm's 1/5/2007 Warning Letter response because the firm may feel their correction is adequate since we didn't respond to their response.

It was agreed that OCC will get a response letter to the firm before we do an inspection.

[REDACTED] said that [REDACTED] would review the letter before it is sent.

[REDACTED]
Compliance Officer
New England District