

MEMORANDUM

TO: File for Public Comments on SEC Regulatory Initiatives Under the
Dodd-Frank Act

FROM: Michael E. Coe
Office of Commissioner Luis A. Aguilar

DATE: May 5, 2011

SUBJECT: Meeting with Representatives of Barclays Capital

On May 5, 2011, Commissioner Aguilar, along with Michael E. Coe, Counsel to the Commissioner, met with Barclays Capital representatives Patrick Durkin, Managing Director; Allison Parent, Director of Government Policy; Anna Yu, Director, Finance; and Jeffrey Samuel, Director, Treasury. In addition, the following Barclays representatives participated in the meeting by telephone: Diane Hilleard, Finance Department; Paul Martin, Head of Capital Reporting; and Roger Versluys, Managing Director, U.K. Regulatory Reporting and Policy. The discussion included, among other things, the provisions of the Dodd-Frank Act regarding capital and margin requirements for security-based swaps dealers and the provisions of the Dodd-Frank Act regarding credit rating agencies rulemaking.