

## MEMORANDUM

TO: File No. S7-01-13

FROM: Heidi Pilpel

RE: Proposed Regulation Systems Compliance and Integrity

DATE: April 8, 2013

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On April 5, 2013, representatives from the Division of Trading and Markets (David Shillman, David Liu, Heidi Pilpel, Jonathon Balcom, Yue Ding, Dhawal Sharma) had a teleconference with representatives from Rosenblatt Securities (Justin Schack and Andrew Upward).

The topic discussed was proposed Regulation SCI generally, including the proposal to require the provision of information to SCI members and participants regarding SCI events, and the proposal's request for comment on whether non-ATS broker-dealers should be covered.