

MEMORANDUM

TO: File No. S7-01-13

FROM: David Liu

RE: Proposed Regulation Systems Compliance and Integrity

DATE: October 1, 2013

On September 25, 2013, staff from the Commission's Division of Trading and Markets (Heather Seidel, David Hsu, John Roeser, David Dimitrious, Daniel Gray, David Liu, Cristie March, Tyler Raimo, Theodore S. Venuti, Yvonne Fraticelli, Kathleen Gross, Eugene Hsia and Charles Sommers) participated in a telephone call with representatives from Citigroup (Pat Cerny, Mike Masone, Kevin Murphy, Ken Wilson, and Slade Winchester). The participants discussed, among other things, proposed Regulation Systems Compliance and Integrity, including the proposal's requirements for business continuity and disaster recovery plan testing.