

MEMORANDUM

TO: File No. S7-01-13

FROM: Heidi Pilpel

RE: Proposed Regulation Systems Compliance and Integrity

DATE: February 3, 2014

On January 16, 2014, Commission staff participated in a meeting with representatives of several self-regulatory organizations (SROs) to discuss comment letters submitted by the SROs concerning Table A in proposed Regulation Systems Compliance and Integrity. In attendance in person or via teleconference were the following:

From the Commission's Office of Information Technology: Thomas Bayer, Todd Scharf.

From the Commission's Division of Trading and Markets: Jim Burns, Dave Shillman, David Liu, Gregg Berman, Elizabeth Badawy, Heidi Pilpel, Sara Hawkins, Yue Ding, Jonathan Balcom, Dhawal Sharma, Marc Liebman.

From the Commission's Office of Compliance Inspections and Examinations: John Polise, Michael Hershaft, Jen McCarthy.

From the SROs: Ray Tamayo (OCC), Rodney Burt (BATS), Aaron Weissenfluh (BATS), John Kerin (CHX), Tom Wagner (Direct Edge), Alexandra Albright (CBOE), Robert Corti (NYSE), Sunil Seshadri (ICE/NYSE), Joseph Schifano (NYSE), Jerry Perullo (ICE), Mark Graff (NASDAQ OMX), Thomas Fay (NASDAQ OMX), Maurice Chavarra (FINRA), Steve Randich (FINRA), Justin Peavey (Omgeo/DTCC), John Brady (FINRA), Brad Peterson (NASDAQ OMX), Bruce Kulback (NSX), Curt Schumacher (CBOE), Todd Furney (CBOE), Gerry O'Connell (CBOE), Jeremy Sanchez (NSX), Mark Murphy (BOX), Michael Nawrath (Direct Edge), Chris Isaacson (BATS), Dan DeWaal (OCC), Dan Friel (ISE), Mark Clancy (DTCC), Robert Vilaro (NASDAQ OMX), Richard Wallace (OCC), Bruce Kelber (OCC), Thomas Farley, Robert Cornish (ISE), Chris Brown (CHX), Kevin Kometer (CME), M. Bonkowski (CHX), Randy Guy (Omgeo), Lisa Seibold (DTC), Patrick Zielinski, Tom Sinott, John Yetter.