

MEMORANDUM

TO: File
FROM: Margaret Rubin
RE: Meeting with Representative of UBS AG.
DATE: March 23, 2015

On March 20, 2015, representatives from the Securities and Exchange Commission (“SEC”) participated in a conference call with a representative from Barclays.

The SEC representatives present were Brian Bussey, Carol McGee, Richard Gabbert, Narahari Phatak, Charles Lin, and Margaret Rubin. The UBS AG representative was Shahriar Hafizi. At the meeting, the SEC and UBS representative discussed issues related to implementation of Title VII of the Dodd-Frank Act.