

MEMORANDUM

TO: File
FROM: Richard Gabbert
RE: Meeting with Representative of Cadwalader, Wickersham & Taft LLP
DATE: October 18, 2013

On October 18, 2013, representatives of the Securities and Exchange Commission (“SEC”) participated in a meeting with Steven Lofchie and Jeffrey Robins of Cadwalader, Wickersham & Taft LLP (“Cadwalader”). The SEC representatives present at the meeting were John Ramsay, James Burns, Brian Bussey, Peter Curley, Heather Seidel, Jo Anne Swindler, Michael Gaw, Wenchi Hu, Matthew Daigler, Nataliya Cowen, Donna Chambers, Christian Sabella, Joshua Kans, Kim Allen, Angie Le, Stephanie Park, Yvonne Fraticelli, Andrew Shanbrom, Elizabeth Fitzgerald, Narahari Phatak, Abraham Jacob, Margaret Rubin, Laura Compton, and Richard Gabbert.

At the meeting, the Cadwalader representatives presented their views on the SEC’s Cross-Border Proposal and discussed implementation of Title VII in the global swaps and security-based swaps markets.