

MEMORANDUM

TO: File Number S7-05-14

FROM: Bonnie Gauch
Division of Trading and Markets
U.S. Securities and Exchange Commission

DATE: December 15, 2016

RE: Meeting with Barclays

On October 13, 2016, Commission staff met with representatives of Barclays to discuss the registration requirements for Security-Based Swap Dealers. During the meeting the representatives from Barclays and Commission staff also discussed the proposed rules and rule amendments on the recordkeeping and reporting requirements for security-based swap dealers and major security-based swap participants.

Commission staff included Heather Seidel, Paula Jenson, Joanne Rutkowski, Bonnie Gauch, Brian Bussey, Carol McGee, William Katt, Thomas McGowan, Katherine Martin, and Jonathan Balcom.

Barclays representatives at the meeting included Keith Baily, Alan Kaplan, Matthew Danton, Bret Hester, and Duncan Campbell.