

MEMORANDUM

TO: File Number S7-05-14

FROM: William J. Katt, Jr.
Special Counsel
Office of Derivatives Policy, Division of Trading and Markets
U.S. Securities and Exchange Commission

DATE: April 3, 2018

RE: Meeting with Representatives of Société Générale

On April 3, 2018, Commission staff met via teleconference with the following representatives of Société Générale:

- Laura Schisgall – General Counsel
- Joerg Riegel – Senior Counsel
- Caitlyn Gale – Counsel
- Jim Hubbert – Chief Compliance Officer, SGAS
- John Nicholas – Senior Regulatory Compliance Officer
- Ed Cullen - Chief Financial Officer, SGAS
- Andrew Wohl – Head of Regulatory Reporting, SGAS

Among the topics discussed were issues surrounding the certification and opinion of counsel and associated person recordkeeping requirements applicable to applicants for registration as security-based swap dealers and major security-based swap participants under Dodd Frank Title VII.

Commission staff included Richard Gabbert, Carol McGee, Randall Roy, Joanne Rutkowski, Bonnie Gauch, Ajay Sutaria, and William Katt.