

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 4, 2018

RE: Meeting with Representatives of Barclays

On April 4, 2018, Commission staff met via teleconference with the following representatives of Barclays:

- Brendan Reilly
- Alan Kaplan
- Matthew Danton
- Adam Kezsbom

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 Alan Cohen, Carol McGee, Randall Roy, Bonnie Gauch, Ajay Sutaria and William Katt.