

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 30, 2018

RE: Meeting with Representatives of UBS

On April 30, 2018, Commission staff met with the following representatives of UBS:

- Gordon Kiesling
- Ulrich Hannich

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 Brett Redfearn, Heather Seidel, Randall Roy, Tom McGowan, Carol McGee, Lourdes Gonzalez, Justin Pica, Joshua Kans, Ajay Sutaria, Andrea Orr, David Metzman, Roni Bergoffen, Jon Balcom, Laura Compton, and William Katt.