

MEMORANDUM

To: File Nos. S7-19-21; S7-05-22

From: Josh Nimmo
Division of Trading and Markets

Re: Webex Meeting with SIFMA Representatives

Date: March 11, 2020

On March 7, 2022, Haoxiang Zhu, David Saltiel, Roni Bergoffen, Meredith Macvicar, Josh Nimmo, David Shillman, Josephine Tao, Carol McGee, Jeffrey Mooney, Emily Russell, Elizabeth Sandoe, Tyler Raimo, David Hsu, Heidi Pilpel, Matthew Lee, Joanne Kim, Joanne Rutkowski, Elizabeth Sandoe, Lourdes Gonzalez, Dmitry Bulkin, and Mark Donohue, all from the Division of Trading and Markets, participated in a meeting conducted by Webex with the following representatives of the Securities Industry and Financial Markets Association (“SIFMA”):

- Ken Bentsen, President and CEO
- Kyle Brandon, MD, Head of Derivatives
- Ellen Greene, MD, Equity & Options Market Structure
- Chris Killian, MD, Securitization
- Melissa MacGregor, MD, Associate General Counsel
- Joe Seidel, Chief Operating Officer
- Rob Toomey, MD, Rates & Associate General Counsel
- Tom Price, MD, Technology and Operation
- Kevin Carroll, MD and Associate General Counsel

Among the topics discussed were the proposed amendments to the Electronic Recordkeeping Requirements for Broker-Dealers, Security-Based Swap Dealers, and Major Security-Based Swap Participants (Release No. 34-93614) and the proposal to shorten the settlement cycle (Release No. 34-94196).