

MEMORANDUM

TO: File No. S7-06-11

FROM: Adam Moore

RE: Implementation of Dodd-Frank Wall Street Reform and Consumer Protection Act
S7-06-11 – Registration and Regulation of Security-Based Swap Execution
Facilities

DATE: September 28, 2012

On September 25, 2012, representatives from the Division of Trading and Markets (Nancy Burke-Sanow, David Liu, Tom Eady, Amar Kuchinad, Heidi Pilpel, Susie Cho, Leah Mesfin, Sarah Schandler, Tyler Raimo, Michael Bradley, Adam Moore, Chester Hill and Jasmin Sethi) met with representatives from the National Futures Association (“NFA”) (Edward Dasso, Karen Wuertz, Jane Croessmann, Michael Abramowitz, Matthew Blumenfeld, Melissa Dundon, Shifra Katz, Steven Bartfield, Trilliam Jeong, Michael Schreiber, Patricia Finnegan, Timothy McHenry, Kathleen Owens, Robert O’Mahoney and Yaniv Lusky).

The topic discussed included a demonstration of capabilities of the NFA’s Swap Surveillance System.

[No agenda available for this meeting.]