

MEMORANDUM

TO: File No. S7-06-11

FROM: David Liu, Special Counsel
Division of Trading and Markets

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: January 27, 2020

On October 2, 2019, Commission staff in the Division of Trading and Markets met with representatives from Bloomberg L.P. to discuss developments in the security-based swap market and topics related to security-based swap execution facilities.

The Bloomberg representatives present included Derek Kleinbauer, Paul Kaplan, Nicholas Bean, Gregory Dumark, Gregory Babyak, William Troost, Dan Vogel, Irene Moyseyenko, and Devi Shanmugham. Commission staff included Nancy Burke-Sanow, Michael Bradley, Ira Brandriss, David, Liu, Leah Mesfin, Michou Nguyen, Geoff Pemble, and Sarah Schandler.