

MEMORANDUM

TO: File No. S7-06-11

FROM: Michael Bradley, 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 16, 2019, Commission staff in the Division of Trading and Markets participated in a teleconference with representatives from BGC Partners and GFI Group to discuss developments in the security-based swap market and topics related to security-based swap execution facilities.

The representatives from BGC Partners and GFI Group were Bill Shields, Michael Sulfaro, Scott Brand, Kenneth Sklover, and Colleen McDade. Commission staff included Nancy Burke-Sanow, David Liu, Geoff Pemble, Leah Mesfin, Sarah Schandler, and Michael Bradley.