

MEMORANDUM

TO: File No. S7-06-11

FROM: Iliana Lundblad

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: November 1, 2011

On October 27, 2011, Heather Seidel, Nancy Burke-Sanow, Tom Eady, David Liu, Iliana Lundblad, Sarah Schandler, Tyler Raimo, Adam Moore, Chester Hill, and Jasmin Sethi from the Division of Trading and Markets met with Rick McVey (MarketAxess), Chuck Hood (MarketAxess), Florencia Panizza (MarketAxess) and Mark Young (Skadden).

The discussion topic included trading protocols for SB SEFs, block trading exemptions, SB swaps available for trading, and implementation of the SB SEF rules.

[No agenda available for this meeting.]