

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 14, 2011

On November 3, 2011, Heather Seidel, Nancy Burke-Sanow, Michael Gaw, Tom Eady, David Liu, Heidi Pilpel, Susie Cho, Tyler Raimo, Adam Moore, Sarah Schandler, Iliana Lundblad, Chester Hill, and Jasmin Sethi, met with Shawn Bernardo (Tullett Prebon), Chris Ferreri (ICAP), Patrick McCarty (ICAP), Jeffrey Letzler (BGC Partners), Chris Giancarlo (GFI Group), Julian Harding (Tradition), Micah Green (Patton Boggs) and Matt Kulkin (Patton Boggs).

The agenda topics were: (1) State of the SEF/SBSEF rulemakings; (2) Issues related to trade execution; and (3) Implementation and harmonization of the SEF/SBSEF rules, including the “made available to trade” requirement.

[No agenda available for this meeting.]