

MEMORANDUM

TO: File
FROM: Margaret Rubin
RE: Meeting with Representatives of Securities Industry and Financial Markets
Association
DATE: August 6, 2015

On July 23, 2015, representatives of the Securities and Exchange Commission (“SEC”) participated in a meeting with representatives of the Securities Industry and Financial Markets Association (“SIFMA”). The SEC representatives present were Brian Bussey, Carol McGee, Richard Gabbert, Narahari Phatak, Michael Gaw, George Gilbert, Yvonne Fraticelli, Joanne Rutkowski, Stacy Puente, and Margaret Rubin. The SIFMA representatives present were Kyle Brandon (SIFMA), Craig Griffith (SIFMA), John Vitha (Goldman Sachs), Andy Alter (BNP Paribas), Seth Bender (HSBC), Don Bendernagel (Citigroup), Matt Danton (Barclays), Angie Karna (Nomura), Greg Todd (Bank of America Merrill Lynch), Annette Nazareth (Davis Polk & Wardwell LLP), and Gabe Rosenberg (Davis Polk & Wardwell LLP).

At the meeting, the SEC and SIFMA representatives discussed issues related to Regulation SBSR and the Commission’s April 29, 2015 proposal.