

MEMORANDUM

TO: File No. S7-07-18
FROM: Geeta Dhingra, Division of Trading and Markets
RE: Meeting with Representatives of SIFMA
DATE: May 18, 2018

On Wednesday, May 16, 2018, 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 Vanessa Countryman, Jennifer Juergens, and Narahari Phatak from the Division of Economic and Risk Analysis and Bradford Bartels, Roni Bergoffen, Geeta Dhingra, Alicia Goldin, Lourdes Gonzalez, Brett Redfearn, and Emily Westerberg Russell from the Division of Trading and Markets. The SIFMA representatives present were Kevin Carroll, Ira Hammerman, Cristina Jaramillo (WilmerHale), Yoon-Young Lee (WilmerHale), and Stephanie Nicolas (WilmerHale).

The participants discussed, among other things, the SEC’s proposed Regulation Best Interest.