

MEMORANDUM

To: Public Comment File on proposed Regulation Best Interest (File No. S7-07-18), proposed amendments to the Volcker Rule (File No. S7-14-18)

From: Elizabeth Blase, Counsel to Commissioner Elad L. Roisman

Re: Meeting with SIFMA

On October 22, 2018, Commissioner Elad L. Roisman and his counsels (Elizabeth Blase, Christina Thomas, Matthew Estabrook, and Nicholas Losurdo) met with the following representatives from SIFMA:

- Kenneth Bentsen (President and CEO);
- Ira Hammerman (Executive Vice President and General Counsel);
- Kevin Carroll (Managing Director and Associate General Counsel); and
- T.R. Lazo (Managing Director & Associate General Counsel, Equities).

The participants discussed a number of issues, including the Commission's proposed Regulation Best Interest and proposed amendments to the Volcker Rule. SIFMA has submitted comment letters to the Commission on both proposals.