

MEMORANDUM

TO: File No. S7-07-18
FROM: Bradford Bartels, Division of Trading and Markets
RE: Meeting with Representatives of Morgan, Lewis & Bockius LLP
DATE: December 6, 2018

On Tuesday, November 13, 2018, representatives of the Securities and Exchange Commission (“SEC”) participated in a meeting with representatives of Morgan, Lewis & Bockius LLP (“Morgan Lewis”). The SEC representatives were Lourdes Gonzalez, Emily Westerberg Russell, Alicia Goldin, Dan Fisher, Geeta Dhingra, Stephen Benham, and Bradford Bartels from the Division of Trading and Markets; and Jennifer Juergens and Iulian Obreja from the Division of Economic Risk and Analysis. The Morgan Lewis representatives were Steven Stone and Brian Baltz.

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