

MEMORANDUM

To: File No. S7-07-19

From: William Middlebrooks, Counsel to Commissioner Hester M. Peirce

Re: Meeting with Representatives of Nomura Securities

On December 4, 2019, Commissioner Hester M. Peirce and William Middlebrooks, Counsel to Commissioner Peirce, met with the following representatives from Nomura Securities:

- James DeNaut, President & Chief Executive Officer, Nomura Securities International, Inc.
- Steven Aloupis, Chief Operation Officer, Nomura Holding America
- Eugene Chiulli, Chief Financial Officer, Nomura Holding America
- Angie Karna, Head of Global Markets Legal, Nomura Holding America
- Randall Ross, Head of Public Affairs, Nomura Holding America

Topics discussed included the Commission's Proposed Rule Amendments and Guidance Addressing Cross-Border Application of Certain Security-Based Swap Requirements, set forth in Release No. 34-85823 (May 10, 2018).