

MEMORANDUM

TO: File Number S7-08-12

FROM: Valentina Minak Deng, Special Counsel
Office of Financial Responsibility, Division of Trading and Markets
U.S. Securities and Exchange Commission

DATE: February 8, 2019

RE: Meeting with SIFMA AMG Representatives

On February 7, 2019, Commission staff participated in a meeting with representatives of the Securities Industry and Financial Markets Association Asset Management Group (“SIFMA AMG”) to discuss the proposed rules and rule amendments regarding capital, margin, and segregation requirements for security-based swap dealers and capital requirements for broker-dealers (release number 34-68071), and the comment period re-opening for the proposed rules and amendments (release number 34-84409).

Commission staff at the meeting included Valentina Deng, Timothy Fox, Michael Macchiaroli, Thomas McGowan, Randall Roy, Ajay Sutaria, and Sheila Swartz.

SIFMA AMG representatives at the meeting included Joseph Demetrick (MetLife), Jaime Madell (Guggenheim), Andrew Ruggiero (SIFMA AMG), Jason Silverstein (SIFMA AMG), William Thum (Vanguard), and Wendy Yun (GSAM).