

MEMORANDUM

TO: File Number S7-08-12

FROM: Randall W. Roy
Deputy Associate Director
Office of Financial Responsibility, Division of Trading and Markets
U.S. Securities and Exchange Commission

DATE: March 26, 2019

RE: Meeting with Representatives of Mizuho

On March 21, 2019, Commission staff participated in a meeting with representatives of Mizuho Securities USA LLC (“Mizuho”) 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 John Blassingame, Michelle Danis, Jason Leung, Michael Macchiaroli, Thomas McGowan, and Randall Roy.

Mizuho representatives at the meeting included Timothy Healy (Mizuho), Adam Hopkins (Mizuho), Paul Hughes (Mizuho), Yoji Imafuku (Mizuho), Gary Mendelblatt (NextGen), and William Robinson (Mizuho).