

MEMORANDUM

TO: File No. S7-10-20

FROM: Erika Berg
Division of Trading and Markets

DATE: December 8, 2020

SUBJECT: Meeting with Representatives and Members of the Securities Industry and Financial Markets Association (“SIFMA”)

On September 11, 2020, Commission staff met with the following representatives and members of SIFMA:

Mike Bass (Morgan Stanley)
Ken Bentson, Jr. (SIFMA)
Gregg Berman (Citadel Securities)
Douglas Bloom (Morgan Stanley)
Joe Corcoran (SIFMA)
David Emero (Goldman Sachs)
Yair Frankel (BNY Mellon)
Ellen Greene (SIFMA)
Lisa Hunt (Charles Schwab)
Spyro Karetzos (TD Ameritrade)
Sean Knappenberger (Charles Schwab)
Patrick Lee (Morgan Stanley)
Judy McDonald (Susquehanna International Group)
Joseph Nadreau (Wells Fargo)
Nikki Nielson (Morgan Stanley)
Jeff Rosen (Société Générale)
Joe Sweeney (Ameriprise Financial)
Gary Thomas (Pershing LLC)

During that meeting, SIFMA discussed its views on the proposed amendments to the national market system plan governing the consolidated audit trail to enhance data security, which were subsequently reflected in a comment letter to the Commission. The Commission staff representatives from the Division of Trading and Markets were Brett Redfearn, Dave Shillman, David Hsu, Mark Donohue, Rebekah Liu, Andrew Sherman, and Erika Berg. Andrew Krug from the Office of Information Technology and Manisha Kimmel, Senior Policy Advisor, Regulatory Reporting, were also present.