

MEMORANDUM

To: File No. S7-14-16

From: Andrew Sioson
Office of Market Supervision, Division of Trading and Markets
U.S. Securities and Exchange Commission

Date: September 27, 2016

Subject Meeting with Managed Funds Association and Institutional Investor
Representatives

On September 26, 2016, representatives from the U.S. Securities and Exchange Commission (“SEC”) met with representatives from the Managed Funds Association (“MFA”). The SEC representatives were Gary Goldsholle, Theodore Venuti, Steve Kuan, Amir Katz, Jennifer Colihan, Sarah Albertson, Andrew Sioson, and Neelanjan Maitra from the Division of Trading and Markets. The MFA representatives were Stuart Kaswell, Jennifer Han, Ben Allensworth, Matt Newell, and Laura Harper Powell. Also in attendance were Darcy Bradbury (D.E. Shaw Group), Gil Raviv (Millennium Management LLC), and Jim Gange (Davidson Kempner Capital Management LP). The participants in the meeting discussed, among other things, the proposed rulemaking relating to disclosure of order handling information [Release No. 34-78309].