

MEMORANDUM

TO: File No. S7-14-16

FROM: Andrew Sherman
Attorney-Adviser
Office of Market Supervision, Division of Trading and Markets
U.S. Securities and Exchange Commission

DATE: October 3, 2018

SUBJECT: Meeting with Representatives of SIFMA and SIFMA Member Firms

On October 3, 2018, Brett Redfearn, Andrea Orr, Ajay Sutaria, Theodore Venuti, Richard Holley, Katherine England, Nicholas Shwayri, Steve Kuan, Amir Katz, Sarah Albertson (via telephone), Andrew Sherman and Emerald Greywoode, from the Division of Trading and Markets, met with the following individuals.

Jeff Brown, Schwab
Dmitry Bulkin, Citi
Vlad Khandros, UBS
Todd Lopez, UBS
Mike Masone, Citi
Sapna Patel, Morgan Stanley
Rich Steiner, RBC
Ian Weston, JP Morgan
T.R. Lazo, SIFMA
Wes Althoff, SIFMA

The discussion concerned, among other things, the proposed rulemaking relating to disclosure of order handling information [Release No. 34-78309].