

MEMORANDUM

TO: File Number S7-19-21

FROM: Timothy C. Fox
Branch Chief
Office of Financial Responsibility, Division of Trading and Markets
U.S. Securities and Exchange Commission

DATE: January 28, 2022

RE: Conference Call with NCC Group Representatives

On December 10, 2021, Commission staff participated in a meeting conducted by Webex with representatives from the NCC Group to discuss the proposed amendments to the Electronic Recordkeeping Requirements for Broker-Dealers, Security-Based Swap Dealers, and Major Security-Based Swap Participants (Release No. 34-93614).

Commission staff in the meeting included Michael Macchiaroli, Thomas McGowan, Randall Roy, and Timothy Fox

Shawn Brazeu and John Trotti from NCC Group also participated in the meeting.