

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: Webex Meeting with SIFMA Representatives

On January 18, 2022 Commission staff participated in a meeting conducted by Webex with representatives from the Securities Industry and Financial Markets Association (“SIFMA”) and their counsel 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, Raymond Lombardo, Joseph Levinson, and Timothy Fox

Melissa MacGregor from SIFMA participated in the meeting, as well as Christopher Salter and Derek Manners from Allen and Overy.