

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: September 16, 2022

RE: Webex Meeting with NCC Group

On September 16, 2022, Commission staff participated in a meeting conducted by Webex with representatives of NCC Group staff 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.

NCC Group representatives in the meeting included Shawn Brazeau and John Trotti.