

MEMORANDUM

TO: File No.: S7-23-15
File No.: S7-14-16
Comment file: “*Comments on Measures to Facilitate Cross-Border Implementation of the European Union’s MiFID II’s Research Provisions*”

FROM: Sirimal R. Mukerjee
Counsel to Commissioner Kara M. Stein

RE: Meeting with Healthy Markets, *et al.*

DATE: March 14, 2018

On March 14, 2018, Commissioner Kara M. Stein and Sirimal R. Mukerjee, Counsel to Commissioner Stein, met with the following representatives:

- Tyler Gellasch, Executive Director, Healthy Markets
- Christopher Nagy, Co-Founder, Healthy Markets
- Stuart George, Senior Vice President, Head of Equity Trading, Macquarie Investment Management, Americas
- Don Pontes, Jr., Investment Director, Execution Services & Strategy, CalPERS
- Joseph Scafidi, Director of Trading, Brandes Investment Partners, L.P.
- Geoffrey Bernard, Assistant Vice President Equity Trade Analyst, OppenheimerFunds

Among other things, the participants discussed matters relating to the rulemakings regarding amendments to Regulation ATS and the disclosure of order routing information as well as the staff’s no-action relief regarding the implementation of the European Union’s MiFID II’s research provisions.