

MEMORANDUM

TO: File No. S7-23-15

FROM: Megan Mitchell
Attorney
Office of Market Supervision, Division of Trading and Markets
U.S. Securities and Exchange Commission

DATE: June 14, 2016

SUBJECT: Meeting with Rosenblatt Securities and Buy-Side Representatives

On June 14, 2016, representatives from the U.S. Securities and Exchange Commission (“SEC”) met with representatives from Rosenblatt Securities (“Rosenblatt”). The SEC representatives were Gary Goldsholle, David Shillman, Ted Venuti, Arisa Kettig, Steve Kuan, Derek James, Matthew Cursio, and Megan Mitchell from the Division of Trading and Markets. The Rosenblatt representatives were Justin Schack, Joseph Gawronski, and Alex Kemmsies. Also in attendance were Melissa Hinmon (Glenmede Investment Management), Mehmet Kinak (T. Rowe Price Associates), David Tattersall (Brandywine Global Investment Management), Andrew Tourney (Peak 6 Capital Management), David Schneider (Baron Capital Management), and Sean Webb (Peak 6 Capital Management). The participants in the meeting discussed, among other things, the regulation of NMS Stock Alternative Trading Systems [Release No. 34-76474].