

## MEMORANDUM

TO: File Nos. S7-27-09, S7-02-10, S7-03-10

FROM: Michael E. Coe  
Office of Commissioner Luis A. Aguilar

DATE: January 20, 2010

SUBJECT: Meeting with Representatives of BNY ConvergeX Group

On January 13, 2010, Commissioner Aguilar and Michael E. Coe, Counsel to the Commissioner, met with the following representatives of BNY ConvergeX Group: Lee Schneider, General Counsel; Joseph Virgil, Managing Director, Strategy and Technology Planning; Joseph Cangermi, Managing Director and Head of Equity Sales and Trading; Craig Viani, Managing Director, Electronic Trading Product Management; Barclay Frey, Managing Director and Head of Wholesale Services; and Laura Pruitt of the law firm Schiff Hardin LLP. The discussion included, among other things, the Commission's proposed rules regarding Regulation of Non-Public Trading Interest and Risk Management Controls for Brokers or Dealers with Market Access and the Commission's Concept Release on Equity Market Structure.