

MEMORANDUM

To: File No. SR-CTA/CQ-2017-02

From: Andrew Sioson
Office of Market Supervision, Division of Trading and Markets
U.S. Securities and Exchange Commission

Date: May 17, 2017

Subject Meeting with the Securities Industry and Financial Markets
Association

On May 8 2017, representatives from the U.S. Securities and Exchange Commission (“SEC”) met with representatives from the Securities Industry and Financial Markets Association (“SIFMA”). The SEC representatives were Heather Seidel, Gary Goldsholle, David Shillman, John Roeser, Dan Gray, Katherine England, Nicholas Shwayri, and Marlene Olsen from the Division of Trading and Markets. The SIFMA representatives were Melissa MacGregor and T.R. Lazo. Also in attendance were Steven Listhaus (Wells Fargo), Brett Redfearn (JP Morgan), Jeff Brown (Charles Schwab), Michael Masone, (Citi), George Wolf (UBS), John Markle (TD Ameritrade), William Troost (Bloomberg), and Greg Babyak (Bloomberg). The participants in the meeting discussed, among other things, the Consolidate Tape Association’s non-display proposal, filed as the Twenty-Second Charges Amendment to the Second Restatement of the CTA Plan and the Thirteenth Charges Amendment to the Restated CQ Plan [Release. 34-80300].