

MEMORANDUM

TO: File Nos. SR-NSCC-2013-802, SR-NSCC-2013-02

FROM: Christopher McLean
Office of Commissioner Luis A. Aguilar

DATE: August 12, 2013

SUBJECT: Meeting with Representatives from ConvergeX

On August 6, 2013, Commissioner Aguilar and Chris McLean, Counsel to Commissioner Aguilar, met with Christopher Springer, Chief Financial Officer of ConvergeX, Scott Brown, Associate General Counsel of ConvergeX, and their counsel Julian Rainero and David Sieradzki, Partners at Bracewell & Giuliani LLP. The discussion addressed, among other things, a proposal filed by the National Securities Clearing Corporation with the Commission as proposed rule change SR-NSCC-2013-02 and as advance notice SR-NSCC-2013-802.