

Chairman Jay Clayton
Public Calendar
November 1, 2018 to November 30, 2018

Thursday, November 1, 2018

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| 9:15 am | Speaking engagement at Georgetown University's 2018 Financial Markets Quality Conference |
| 11:00 am | Meeting with staff |
| 12:00 pm | Meeting with staff |
| 12:30 pm | Meeting with staff |
| 1:00 pm | Meeting with ExxonMobil, including: Darren Woods, Chief Executive Officer; Dan Easley, Senior Director for Government Relations; and Gantt Walton, Vice President-Washington Office |
| 2:00 pm | Closed Commission Meeting |
| 2:50 pm | Meeting with staff |

Friday, November 2, 2018

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| 10:30 am | Phone call with Chris Giancarlo, Chairman, Commodity Futures Trading Commission (CFTC); Maureen Jensen, Chair, Ontario Securities Commission; Carolyn Shaw-Rimmington, Director of Communications and Public Affairs, Ontario Securities Commission; Perry Quinton, Manager of Communications, Ontario Securities Commission; and Eric Pan, Director of International Affairs, CFTC |
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Monday, November 5, 2018

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| 9:30 am | Meeting with UK Finance, including: Nemnaja Eckert, Principal, International and Brexit Policy; and Ronald Kent, Managing Director for Wholesale and Financial Policy |
| 10:00 am | Meeting with Dubai Financial Services Authority, including: Saeb Eigner, Chairman; Bryan Stirewalt, Chief Executive; Andrew Spindler, Board Member; and Mark McGinness, Director of International Relations |
| 10:30 am | Meeting with staff |
| 11:00 am | Meeting with NASDAQ, including: Adena Friedman, President; Ed Knight, Executive Vice President; and Eric Folkemer, Head of NASDAQ Private Market |
| 11:30 am | Meeting with staff |
| 11:45 am | Phone call with Bill Duhnke, Chairman, Public Company Accounting Oversight Board (PCAOB) |
| 12:00 pm | Meeting with Alex Acosta, Secretary, Department of Labor |
| 2:00 pm | Town hall meeting with SEC employees |
| 3:00 pm | Meeting with Commissioner |
| 4:00 pm | Meeting with staff |
| 4:30 pm | Meeting with staff |

5:00 pm Meeting with Bill Duhnke, Chairman, PCAOB

Tuesday, November 6, 2018

9:30 am Meeting with staff
10:00 am Meeting with Facebook, including: Kevin Martin, Vice President for Mobile and Global Access Policy; Dave Kling, General Counsel & Corporate Secretary; John Muller, Associate General Counsel; David Marcus, Lead, Blockchain-Facebook; and Tomer Barel, Vice President for Risk and Operations, Blockchain-Facebook
10:30 am Meeting with staff
11:00 pm Meeting with staff
1:00 pm Meeting with staff
1:30 pm Closed Commission Meeting
3:00 pm Meeting with staff
3:30 pm Meeting with the Government Accountability Office (GAO)
4:05 pm Meeting with staff
4:15 pm Meeting with the Association of Corporate Growth, including: Patrick Morris, President, ACG Global; Maria Wolvin, Vice President of Public Policy, ACG Global; Scott Gluck, Special Counsel, Duane Morris LLP; Richard Jaffe, Partner, Duane Morris LLP; Gretchen Perkins, Partner for Business Development, Huron Capital; Joshua Cherry-Seto, CFO, Blue Wolf Capital Partners; and Martin Okner, President, dpHue
4:45 pm Meeting with staff

Wednesday, November 7, 2018

9:00 am Meeting with the Organization for Economic Cooperation and Development, including: Greg Medcraft, Director for Financial and Enterprise Affairs; and Will Davis, Head of Washington Center
10:00 am Meeting with staff
1:00 pm Meeting with job applicant
1:30 pm Meeting with staff
2:00 pm Phone call with the SEC Investor Advisory Committee
2:30 pm Meeting with staff
3:00 pm Meeting with staff
3:30 pm Meeting with staff
4:00 pm Meeting with Commissioner
5:00 pm Meeting with staff

Thursday, November 8, 2018

10:55 am Speaking engagement, Ontario Securities Commission Regulatory Dialogue
12:00 pm Meeting with Barbara Novick, Vice Chairman, BlackRock
2:30 pm Meeting with staff

Friday, November 9, 2018

7:00 am Meeting with staff
7:30 am Meeting with John Williams, President, Federal Reserve Bank of New York
10:00 pm Meeting with staff
10:30 am Phone call with Steve Mnuchin, Secretary, U.S. Department of the Treasury; Chris Giancarlo, Chairman, CFTC; and Randal Quarles, Vice Chairman for Supervision, Federal Reserve Board

Monday, November 12, 2018

Veterans Day – Federal Holiday

9:35 am Speaking engagement, Financial Executives International Conference
11:00 am Meeting with Barry Melancon, CEO, American Institute of CPAs
12:00 pm Meeting with Lynne Doughtie, Chairman, KPMG
5:00 pm Meeting with Paul Packer, Chairman, Commission for the Preservation of America's Heritage Abroad; Scott Yagoda, General Counsel, Vitaquest International LLC; Camilla Kearns Rudy, National Director, SEC Professionals Group; Joe Howell, Vice President of Strategic Initiatives, Workiva; Bob Herz, Owner, Robert H. Herz LLC; and Abe Zeines, President, PCRV International

Tuesday, November 13, 2018

9:00 am Meeting with staff
9:30 am Meeting with Securities Industry and Financial Markets Association (SIFMA), including: Ken Bentsen, Chief Executive Officer; Will Leahey, Vice President; T.R. Lazo, Managing Director; Ira Hammerman, General Counsel; Greg Russo, Senior Vice President, Bank of America Merrill Lynch; Eric Colchamiro, Vice President, Goldman Sachs; David Emero, Vice President for Regulatory Operations, Goldman Sachs; Ron Veith, Executive Director, JP Morgan; Bill Freilich, Managing Director, JP Morgan; Denise Garrett, Executive Director, Morgan Stanley; Rob O'Connor, Managing Director, Morgan Stanley; and Jesse Lawrence, Managing Director, Pershing
10:00 am Meeting with Commissioner
10:15 am Meeting with staff
10:30 am Meeting with staff
11:00 am Meeting with staff
11:15 am Meeting with staff
11:30 am Meeting with staff
12:30 pm Meeting with Larry Kudlow, Director, National Economic Council
3:00 pm Federal Housing Finance Oversight Board meeting
6:00 pm Reception for Bill Donaldson, former SEC Chairman

Wednesday, November 14, 2018

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| 9:00 am | Meeting with Commissioner |
| 9:30 am | Meeting with staff |
| 10:30 am | Meeting with staff |
| 11:00 am | Meeting with staff |
| 12:00 pm | Meeting with staff |
| 12:30 pm | Meeting with staff |
| 12:45 pm | Meeting with staff |
| 1:00 pm | Meeting with staff |
| 1:30 pm | Meeting with Futures Industry Association Principal Traders Group, including: James Overdahl, Partner, Delta Strategy Group; Graham Harper, Partner, Delta Strategy Group; Kevin Osborn, Jump Trading; Matt Haraburda, President, XR Trading; and Richard Gorelick, Head of Market Structure, DRW Holdings |
| 2:00 pm | Meeting with staff |
| 2:30 pm | Meeting with staff |
| 3:00 pm | Meeting with Healthy Markets, including: Joe Scafidi, Associate Director of Trading, Brandes Investment Partners; Don Pontes, Investment Director, CalPERS; Ray Ross, Chief Technology Officer, Clearpool Group; Barbara Francis, Director of Portfolio Trading, Dash Financial; Jay Froscheiser, Vice President Financial Analytics, DTN; Ty Gellach, Executive Director, Healthy Markets; Chris Nagy, Co-Founder, Healthy Markets; Dave Lauer, Co-Founder, Healthy Markets; John Halloran, Executive Director, IHS Markit; Brent Robertson, Managing Director of Trading, OMERS; Geoff Bernard, Assistant Vice President, OppenheimerFunds; Carlos Oliveira, Brandes Investment Partners; Dennis Adams, Sands Capital Management; and John Schwall, IEX |
| 3:45 pm | Meeting with U.S. Attorney's Office for the Southern District of New York, including: Damian Williams, Assistant United States Attorney; and Jason Cowley, Co-Chief Securities and Commodities Fraud Task Force |
| 4:00 pm | Meeting with Commissioner |

Thursday, November 15, 2018

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| 9:00 am | SEC Proxy Roundtable |
| 12:00 pm | Meeting with Mary Schapiro, Vice Chair for Global Public Policy, Bloomberg L.P. |
| 1:40 pm | Meeting with staff |
| 2:00 pm | Closed Commission Meeting |
| 3:45 pm | Meeting with Congressman Jeb Hensarling |
| 4:30 pm | Meeting with staff |
| 6:00 pm | Meeting with Commissioner |

Friday, November 16, 2018

8:00 am Meeting with the CFTC, including: Chris Giancarlo, Chairman; and Mike Gill, Chief of Staff
10:55 am Speaking engagement, Conference on Inclusive Capitalism

Monday, November 19, 2018

10:00 am Meeting with staff
11:00 am Meeting with job applicant
12:00 pm Meeting with staff
1:00 pm Meeting with staff
3:00 pm Meeting with job applicant
4:00 pm Meeting with Commissioner
7:30 pm Meeting with Craig Phillips, Counselor to the Secretary, U.S. Department of the Treasury

Tuesday, November 20, 2018

9:00 am Meeting with the American Retirement Association, including: Doug Fisher, Director of Retirement Policy; Craig Hoffman, General Counsel; and Joe Caruso, Government Affairs Counsel, National Association of Plan Advisors
9:45 am Meeting with Paul Clement, Partner, Kirkland & Ellis LLP
10:45 am Meeting with Daniel Mathews, Commissioner for the Public Buildings Service, General Services Administration
1:00 pm Meeting with Commissioner
1:30 pm Meeting with staff
3:00 pm Meeting with staff
3:30 pm Meeting with Senator Mark Warner

Thursday, November 22, 2018

Thanksgiving - Federal Holiday

Friday, November 23, 2018

4:00 pm Meeting with staff

Monday, November 26, 2018

7:45 am Phone call with the Financial Stability Board
8:30 am Phone call with Heath Tarbert, Assistant Secretary for International Markets and Investment Policy, U.S. Department of the Treasury

9:00 am Meeting with John O’Conner, Chairman, JH Whitney Investment; and Ira Greenstein, General Counsel, Global Risk Advisors LLC
3:30 pm Interview with Bob Pisani, CNBC

Tuesday, November 27, 2018

2:20 pm Meeting with Jan Van Eck, CEO, Van Eck Associates Corporation
3:00 pm Speaking engagement at CoinDesk’s Consensus Invest 2018
6:00 pm SEC Historical Society Dinner

Wednesday, November 28, 2018

9:30 am Meeting with staff
10:30 am Meeting with staff
11:45 am Meeting with Senator Sherrod Brown
12:30 pm Meeting with staff
1:00 pm Meeting with Rostin Behnam, Commissioner, CFTC
1:30 pm Meeting with the Managed Funds Association, including: Richard Baker, President; Benjamin Allensworth, Associate General Counsel; Mathew Newell, Associate General Counsel; Jennifer Han, Associate General Counsel; Nicola Watson, Chief Executive Officer, Winton Fund Management; Hunter Landrum, Vice President of Regulatory and Government Affairs, Two Sigma Investments; Steve Waldman, Partner, Tudor Investment Corporation; Darcy Bradbury, Managing Director, D.E. Shaw Group; Randy Stuzin, Managing Director, King Street Capital Management; and Helene Glotzer, Chief Compliance Officer, Bridgewater Associates
2:15 pm Meeting with Senator Chuck Schumer
3:00 pm Meeting with staff
3:45 pm Meeting with Senator Mike Crapo
5:00 pm Meeting with Commissioner

Thursday, November 29, 2018

9:00 am Meeting with staff
9:30 am Meeting with staff
10:30 am Meeting with staff
11:00 am Phone call with Randy Quarles, Vice Chairman for Supervision, Federal Reserve Board; and Heath Tarbert, Assistant Secretary for International Markets and Investment Policy, Department of the Treasury
11:30 am Phone call with Jared Roscoe, Senior Banking Counsel, Office of Senator Mark Warner
12:30 pm Meeting with Josh Stein, Chief Executive Officer, Harbor, Inc.; and Justin Daly, Founder, Daly Consulting Group

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| 1:00 pm | Meeting with BNY Mellon Pershing, including: Lisa Dolly, Chief Executive Officer; and Joan Schwartz, Chief Legal Officer |
| 2:00 pm | Closed Commission Meeting |
| 4:00 pm | Meeting with Commissioner |
| 6:30 pm | Interview with Andrew Ross Sorkin, The New York Times |

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| Friday, November 30, 2018 |
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| 11:00 am | Meeting with staff |
| 11:30 am | Meeting with staff |
| 11:50 am | Phone call with Congressman Bruce Poliquin |
| 12:30 pm | Phone call with Senator Joe Donnelly |
| 3:00 pm | Phone call with Bill Duhnke, Chairman, PCAOB |