

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

Monday, September 3, 2018

Labor Day – Federal Holiday

Tuesday, September 4, 2018

9:30 am Meeting with staff
10:00 am Meeting with staff
10:30 am Meeting with staff
11:00 am Meeting with staff
11:30 am Meeting with Ernst and Young, including: Kelly Grier, Americas Area Managing Partner; Frank Mahoney, Vice Chair of Assurance; David Kane, Vice Chair of Professional Practice; and Bridget Neill, Americas Deputy Vice Chair for Public Policy
12:00 pm Meeting with staff
1:00 pm Meeting with staff
1:30 pm Meeting with staff
3:00 pm Meeting with Commissioner
4:00 pm Meeting with Commissioner
5:00 pm Meeting with Senator Richard Shelby

Wednesday, September 5, 2018

8:15 am Meeting with Richard Breeden, former SEC Chairman
9:30 am Meeting with staff
10:30 am Meeting with the Loan Syndications and Trading Association, including: Lee Shaiman, Executive Director; Meredith Coffey, Executive Vice President; and Elliot Ganz, Chief of Staff
11:00 am Meeting with staff
11:30 am Meeting with staff
12:50 pm Meeting with staff
1:00 pm Meeting with staff
2:00 pm Meeting with staff
3:00 pm Meeting with staff
3:30 pm Meeting with Damon Silvers, Director of Policy, AFL-CIO
4:10 pm Meeting with Commissioner
6:00 pm Meeting with Congressman Sean Duffy
7:00 pm Meeting with staff

Thursday, September 6, 2018

8:00 am Federal Advisory Council meeting
9:30 am Phone call with Randal Quarles, Vice Chairman for Supervision, Federal Reserve Board
10:00 am Phone call with John Ashcroft, Chairman, Ashcroft Law Firm
10:30 am Meeting with staff
11:00 am Meeting with staff
11:15 am Meeting with staff
12:00 pm Meeting with Harvey Pitt, CEO, Kalorama Partners
1:30 pm Meeting with staff
2:00 pm Closed Commission Meeting
3:00 pm Meeting with staff
3:30 pm Meeting with Stacey Friedman, General Counsel, JP Morgan Chase

Friday, September 7, 2018

3:00 pm Phone call with Miguel Messmacher, Undersecretary for Revenues, Mexican Ministry of Finance

Monday, September 10, 2018

9:30 am Speaking engagement at the Southwest Securities Conference

Tuesday, September 11, 2018

8:00 am Phone call with Chris Giancarlo, Chairman, Commodity Futures Trading Commission (CFTC)
9:00 am Phone call with Allan Weinberg, Senior Partner, McKinsey & Co.
9:30 am Phone call with Odile Renaud-Basso, Director General, French Treasury
9:40 am Meeting with staff
10:00 am Interview with Tom Hudson, WRLN Radio
11:00 am Meeting with staff
11:30 am Phone call with Katharine Braddick, Director General, UK Financial Services
11:40 am Meeting with staff
1:00 pm Meeting with staff
2:00 pm Meeting with the North American Securities Administrators Association (NASAA), including: Joe Borg, President; Joey Brady, Executive Director; A. Valerie Mirko, General Counsel; and Andrea Seidt, Commissioner, Ohio Department of Commerce
3:30 pm Meeting with staff
4:00 pm Meeting with the Institute for Portfolio Alternatives, including: Tony Chereso, President; Anya Coverman, Senior Vice President for Government Affairs; Mark Quinn, Director of Regulatory Affairs, Cetera Financial Group; Nathan Headrick,

Chief Strategy Officer, Triloma Securities; Howard Hirsch, General Counsel for Securities, Griffin Capital Company; Adam Warot, Vice President, LPL Financial; and Chris McCannell, Partner, Eris Group

4:30 pm Meeting with staff

Wednesday, September 12, 2018

8:00 am Phone call with Ryozo Himino, Vice Commissioner for International Affairs, Japan Financial Services Agency
9:00 am Meeting with staff
9:30 am Meeting with staff
10:00 am Meeting with SEC Investor Advisory Committee members
10:30 am Meeting with staff
1:30 pm Financial Stability Oversight Council meeting
2:30 pm Financial and Banking Information Infrastructure Committee meeting
3:15 pm President's Working Group on Financial Markets meeting
5:00 pm Meeting with staff

Thursday, September 13, 2018

6:30 am Phone call with Gerben Everts, Board Member, Dutch Authority for the Financial Markets
7:00 am Phone call with International Organization of Securities Commissions (IOSCO) Principals
8:15 am Meeting with US Policy Metrics, including: Phil Gramm, Senior Advisor; Mike Solon, Partner; and Steve McMillin, Partner
9:00 am SEC Investor Advisory Committee Meeting
10:00 am Meeting with staff
10:30 am Meeting with staff
11:00 am Meeting with staff
11:30 am Phone call with Randal Quarles, Vice Chairman for Supervision, Federal Reserve Board
11:45 am Meeting with staff
1:00 pm Meeting with Dennis Kelleher, President, Better Markets
2:00 pm Closed Commission Meeting

Sunday, September 16, 2018

2:15 pm Phone call with staff

Monday, September 17, 2018

- 12:00 pm Meeting with staff
- 1:30 pm Meeting with the AARP, including: Nancy LeaMond, Chief Advocacy and Engagement Officer; Cristina Martin Firvida, Director, Financial Security and Consumer Affairs; David Certner, Legislative Counsel and Policy Director; and Jasmine Vasquez, Government Affairs Staff
- 2:00 pm Meeting with the Securities Industry and Financial Markets Association (SIFMA), including: Ken Bentsen, President; Ira Hammerman, Executive Vice President; Timothy Scheve, President, Janney; Michael Crow, Group Managing Director, UBS Group Americas; Jeff Brown, Senior Vice President of Legislative and Regulatory Affairs, Charles Schwab; Claire Santaniello, Head of Operations, BNY Mellon Pershing; Bill Edwards, Global Information Security Officer, BNY Mellon Pershing; and Steve Sparks, Managing Director, Bank of America
- 3:00 pm Meeting with Commissioner
- 4:00 pm Meeting with the CAT Advisory Committee, including: Manisha Kimmel, Chief Regulatory Officer for Wealth Management, Thomsen Reuters; Gregg Berman, Director of Market Analytics and Regulatory Structure, Citadel Securities; Allan Goldstein, Chief Operating Officer, Trade Informatics; Judy McDonald, Associate, Susquehanna International Group; Ron Veith, Executive Director, JP Morgan; and Jess Haberman, Director of Compliance, Fidessa

Tuesday, September 18, 2018

- 10:00 am Meeting with staff
- 10:30 am Meeting with staff
- 11:00 pm Meeting with staff
- 12:00 pm Phone call with Senator Amy Klobuchar
- 1:00 pm Meeting with staff
- 2:00 pm Meeting with staff
- 3:00 pm Meeting with staff
- 4:00 pm Meeting with Commissioner

Wednesday, September 19, 2018

- 8:30 am Meeting with Senator Chuck Grassley
- 9:00 am Speaking engagement, SEC Administrative and Support Professionals Symposium
- 9:30 am Meeting with staff
- 10:00 am Meeting with staff
- 10:30 am Meeting with Jon Kroeper, Executive Vice President, Financial Industry Regulatory Authority (FINRA); Cindy Retterer, Vice President, NASDAQ; Shelly Bohlin, Vice President of Quality Markets, FINRA; Soniya Shrivastav,

Director of Global Technology, NYSE Euronext; Thomas Busch, Director, Cboe Global Markets; and Andre Owens, Partner, WilmerHale

12:00 pm Meeting with Laura Unger, former SEC Commissioner

1:30 pm Meeting with staff

2:00 pm Meeting with the SEC Diversity Council

3:00 pm Meeting with ClickIPO, including: James Farrelly, President; Scott Coyle, CEO; John Ashcroft, Advisory Board Member; and David Weild, Advisory Board Member

3:45 pm Phone call with Bill Duhnke, Chairman, Public Company Accounting Oversight Board (PCAOB)

4:00 pm Meeting with Commissioner

Thursday, September 20, 2018

9:00 am Meeting with Greg Gilman, President, National Treasury Employees Union Chapter 293

9:15 am Meeting with staff

9:30 am Meeting with staff

10:00 am Meeting with the Investments and Wealth Institute, including: Sean Walters, CEO; Robert Frankel, Standards and Legal Counsel; Brian Ullsperger, Board of Directors; and Duane Thompson, President, Potomac Strategies

12:00 pm Meeting with staff

12:30 pm Meeting with staff

1:00 pm Meeting with staff

1:30 pm Closed Commission Meeting

6:00 pm SEC Roundtable with investors, Baltimore, Maryland

Friday, September 21, 2018

12:00 pm Meeting with Commissioner

1:00 pm Phone call with Leo Strine, Chief Justice, Delaware Supreme Court; and Larry Hamermesh, Delaware Law School

Sunday, September 23, 2018

6:30 pm Meeting with Jorg Kukies, State Secretary, German Federal Ministry of Finance

7:00 pm Financial Stability Board meeting

Monday, September 24, 2018

7:00 am Meeting with Olivier Guersent, Director-General for Financial Stability, European Commission

8:30 am Financial Stability Board Steering Committee meeting

- 12:00 pm Meeting with Ryozo Himino, Vice Commissioner for International Affairs, Japan
Financial Services Agency
- 7:00 pm Financial Stability Board meeting

Tuesday, September 25, 2018

- 7:30 am Meeting with staff
- 7:45 am Meeting with the CFTC including: Chris Giancarlo, Chairman; Brian Quintenz, Commissioner; and Hester Peirce, Commissioner, SEC
- 8:00 am Meeting with CFTC
- 10:15 am Meeting with staff
- 10:30 am Meeting with staff
- 11:00 am Meeting with staff
- 11:30 am Meeting with staff
- 12:00 pm Speaking engagement, SEC Hispanic Heritage Month event
- 1:30 pm Meeting with Hans Hoogervorst, Chairman, International Accounting Standards Board
- 2:00 pm Meeting with staff
- 2:30 pm Meeting with Morgan Stanley, including: James Gorman, CEO; and Eric Grossman, Chief Legal Officer
- 3:45 pm Meeting with Chris Giancarlo, Chairman, CFTC

Wednesday, September 26, 2018

- 7:00 am IOSCO meeting
- 9:30 am Speaking engagement, SEC Roundtable on Combatting Retail Fraud
- 9:45 am Meeting with staff
- 11:00 am Introduction of Christopher Wray, Director, Federal Bureau of Investigations at the SEC Enforcement Conference
- 1:00 pm Meeting with State Street Global Advisors, including: Cyrus Taraporevala, CEO; Jim Ross, Executive Vice President; Phil Gillespie, Executive Vice President; Joe Barry, Senior Vice President; Steve Patterson, Managing Director; and Justin Daly, President, Daly Consulting Group
- 3:00 pm Meeting with staff
- 4:00 pm Meeting with staff
- 4:15 pm Meeting with staff

Thursday, September 27, 2018

- 8:00 am Meeting with Stan Magidson, Chair, Alberta Securities Commission
- 9:40 am Speaking engagement, Global Exchange Leader Conference
- 12:00 pm FINRA Board Meeting
- 2:00 pm Closed Commission Meeting
- 3:30 pm Meeting with staff

6:15 pm Speaking engagement, International Forum of Commercial Courts with Loretta Preska, Judge, U.S. District Court for the Southern District of New York

Friday, September 28, 2018

11:45 am Meeting with Denise Cote, Judge, U.S. District Court for the Southern District of New York

12:45 pm Meeting with Richard Sullivan, Judge, U.S. District Court for the Southern District of New York

1:30 pm Meeting with Katherine Failla, Judge, U.S. District Court for the Southern District of New York