

To: File No.: S7-12-22 and S7-02-22
From: Amanda Fischer
Date: June 7, 2022
Re: Meeting on Further Definition of “As a Part of a Regular Business” in the Definition of Dealer and Government Securities Dealer and Amendments Regarding the Definition of “Exchange” and Alternative Trading Systems (ATSs) That Trade U.S. Treasury and Agency Securities, National Market System (NMS) Stocks, and Other Securities

On June 6, 2022, Chair Gensler met with the following attendees about the above-referenced rulemaking proposals. Meeting attendees discussed issues related to the scope of the definition of “exchange” and how dealers and government securities dealers provide liquidity on all-to-all trading venues.

MarketAxess:

Chris Concannon
Rick McVey
Scott Pintoff

Brownstein Farber Hyatt Schreck

Katelynn Bradley

SEC:

Chair Gary Gensler
Sai Rao, Policy Counsel
Amanda Fischer, Senior Counselor
Healthier Slavkin Corzo, Policy Director
Haoxiang Zhu, Director of the Division of Trading and Markets