

MEMORANDUM

TO: File
FROM: Margaret Rubin
RE: Meeting with Representatives of The Wholesale Markets Brokers'
Association, Americas
DATE: July 13, 2015

On June 25, 2015, representatives from the Securities and Exchange Commission (“SEC”) participated in a meeting with representatives from The Wholesale Markets Brokers’ Association, Americas (“WMBAA”).

The SEC representatives present were Brian Bussey, Carol McGee, Richard Gabbert, Margaret Rubin, Nancy Sanow, Mike Bradley, and Leah Mesfin. The WMBAA representatives present were Brian Donnelly (Tullett Prebon), Patrick J. McCarty (ICAP), Jeff Mehan (Tradition), Scott Fitzpatrick (Tradition), Bill Shields (GFI), Matthew Kulkin (Squire Patton Boggs), Micah Green (Squire Patton Boggs), and Grace Kim (Squire Patton Boggs). At the meeting, the SEC and Goldman Sachs representatives discussed issues related to the regulation of security-based swap execution facilities and the April 29, 2015 proposal.