

MEMORANDUM

TO: File Number S7-08-12

FROM: Valentina Minak Deng, Special Counsel
Office of Financial Responsibility, Division of Trading and Markets
U.S. Securities and Exchange Commission

DATE: August 9, 2018

RE: Meeting with Representatives of NextGen Strategic Advisors

On August 8, 2018, Commission staff met with representatives of NextGen Strategic Advisors (“NextGen”) to discuss the proposed rules and rule amendments regarding capital, margin, and segregation requirements for security-based swap dealers and/or major security-based swap participants and capital requirements for broker-dealers (release number 34-68071).

Commission staff at the meeting included James Canavan, Michelle Danis, Valentina Deng, Raymond Lombardo, Michael Macchiaroli, and Randall Roy from the Division of Trading and Markets.

NextGen representatives at the meeting included Gary Mandelblatt and Douglas Butler.