

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: November 6, 2018

RE: Call with Mizuho Americas LLC Staff

On November 6, 2018, Commission staff participated in a call with Adam Hopkins of Mizuho Americas LLC 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 on the call included John Blassingham, Michelle Danis, Valentina Deng, Ray Doherty, Randall Roy, and Chul Park from the Division of Trading and Markets.