

MEMORANDUM

TO: File Number S7-08-12

FROM: Sheila Dombal Swartz, Senior Special Counsel
Office of Financial Responsibility, Division of Trading and Markets
U.S. Securities and Exchange Commission

DATE: February 6, 2019

RE: Meeting with Gary Mandelblatt, NextGen Strategic Advisors

On February 6, 2019, Commission staff participated in meeting with Gary Mandelblatt of NextGen Strategic Advisors to discuss the proposed rules and rule amendments regarding capital, margin, and segregation requirements for security-based swap dealers and capital requirements for broker-dealers (Release No. 34-68071); and the comment period re-opening for the proposed rules and amendments (Release No. 34-84409).

Commission staff at the meeting included Tom McGowan, Randall Roy, Sheila Swartz (telephonically), Michelle Danis, and Valentina Deng (telephonically) from the Division of Trading and Markets.