

MEMORANDUM

TO: File No. S7-12-20

FROM: Joanne Kim
Office of Market Supervision, Division of Trading and Markets
U.S. Securities and Exchange Commission

DATE: October 30, 2020

SUBJECT: Conference Call with Representatives from Nasdaq

On October 30, 2020, representatives from the U.S. Securities and Exchange Commission (“SEC”) had a conference call with representatives from Nasdaq. The SEC representatives were Elizabeth Baird, David Shillman, David Saltiel, Andrea Orr, Tyler Raimo, Tom Eady, Heidi Pilpel, Steven Despres, Steven Gibson, Patrick Norton, Matthew Cursio, David Garcia, Megan Mitchell, An Phan, and Joanne Kim from the Division of Trading and Markets, and Marie-Louise Huth, Chantal Hernandez, Ilia Rainer, Cuyler Strong, and Seung Won Woo from the Division of Economic and Risk Analysis. The Nasdaq representatives were Ted Bragg, Steve Matthews, and Walt Smith.

The discussion concerned, among other things, the SEC proposal concerning “Regulation ATS for ATSS that Trade U.S. Government Securities, NMS Stock, and Other Securities; Regulation SCI for ATSS that Trade U.S. Treasury Securities and Agency Securities; and Electronic Corporate Bond and Municipal Securities Markets” [Release No. 34-90019].