

MEMORANDUM

TO: File No. S7-14-16

FROM: Andrew Sherman
Attorney-Adviser
Office of Market Supervision, Division of Trading and Markets
U.S. Securities and Exchange Commission

DATE: June 5, 2018

SUBJECT: Meeting with Representatives of Rosenblatt Securities and Asset
Management Representatives

On June 5, 2018, Brett Redfearn, Ajay Sutaria, Andrea Orr, David Metzman, David Shillman, John Roeser, Daniel Gray, Theodore Venuti, Richard Holley, Arisa Kettig, Johnna Dumler, Erika Berg, Andrew Sherman, Benjamin Bernstein and Emerald Greywoode, from the Division of Trading and Markets, met with the following individuals.

David Schneider, Baron Capital
Justin Schack, Rosenblatt Securities
Joe Gawronski, Rosenblatt Securities
Joe Benanti, Rosenblatt Securities
Chris Fiorito, River Road Asset Management
Craig Gaskin, TD Asset Management
David Warhoftig, Avalon Advisors
Mark Allan, Scopia Capital Management
Melissa Hinmon, Glenmede Investment Management
Sean Paylor, AJO

The discussion concerned, among other things, the proposed rulemaking relating to disclosure of order handling information [Release No. 34-78309].