

## MEMORANDUM

**TO:** File

**FROM:** Carrie O'Brien

**RE:** Meeting with the Capital Steering Committee of the Securities Industry and Financial Markets Association

**DATE:** October 28, 2010

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On September 8, 2010 Commission Staff met with the Capital Steering Committee of the Securities Industry and Financial Markets Association ("SIFMA") to discuss the implementation of Title VII of Dodd-Frank. A list of attendees, as well as the agenda, is attached.



Securities Industry and  
Financial Markets Association

***Capital Steering Committee Meeting***  
***Wednesday, September 8, 2010 – 2 p.m.***  
**Securities Industry and Financial Markets Association**  
**120 Broadway, 2<sup>nd</sup> Floor**  
**Trinity Room**  
**New York, New York**

***Attendees***

Mark Holloway, Chair – Goldman Sachs  
Peter Allman-Ward – Wedbush (*Via Conf. Call*)  
David Aman – Cleary, Gottlieb  
Dan Budofsky – Davis Polk (*Via Conf. Call*)  
Mary Chen-Eng – Deutsche Bank  
Robert Colby – Davis Polk  
James Collins – JP Morgan  
Joseph D'Auria – Morgan Stanley  
Matt Hughey – UBS  
Ralph Mattone – Nomura  
Alan Maxwell – Wells Fargo  
Dan McIsaac – KPMG  
Charles Milone – Credit Suisse  
Joseph Regan – Barclays  
Gabe Rosenberg – Davis Polk  
Howard Spindel – Integrated Management Solutions  
Bill Tirrell – Bank of America Merrill Lynch  
John Valenti – Citigroup  
Barbara Wierzynski – Futures Industry Association (*Via Conf. Call*)  
Kathy Downse – CME

***Regulators***

Robert Cook – SEC (*Via Conf. Call*)  
Jennifer Marietta-Westberg – SEC (*Via Conf. Call*)  
Henry Hu – SEC (*Via Conf. Call*)  
Sheila Swartz – SEC (*Via Conf. Call*)  
Mike Macchiaroli – SEC  
Tom McGowan – SEC  
Marshall Levinson – SEC  
Mark Attar – SEC  
Carrie O'Brien – SEC  
Grace Vogel – FINRA  
Yui Chan – FINRA  
Kris Dailey – FINRA  
Bill Wollman – FINRA (*Via Conf. Call*)

***SIFMA Staff***

Jerry Quinn  
Kyle Brandon  
Jeremy Simon  
Randy Snook  
Cory Strupp  
Sean Davy (*Via Conf. Call*)



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***AGENDA***

1. Welcome and Introduction
2. SEC Division of Trading and Markets discussion of Dodd-Frank implementation: Margin, Capital and Segregation Requirements