

MEMORANDUM

TO: File No. S7-18-21
FROM: Division of Trading and Markets
RE: Meeting with Representatives of DTCC
DATE: January 5, 2022

On January 5, 2022, representatives of the Division of Trading and Markets (“TM”) met with representatives of the DTCC. The TM representatives were Josephine Tao, John Guidroz and Theresa Hajost. The DTCC representatives were Aimee Bandler, Brandon Becker, Rosa Chang, Michele Hillery, Laura Klimpel and Kenneth Riitho.

The participants discussed, among other things, the Commission’s proposed Rule 10c-1.