

MEMORANDUM

To: File No. S7-32-10

From: Carol M. McGee, Assistant Director, Office of Derivatives Policy, Division of Trading and Markets

Re: Meeting with staff of the Australian Securities and Investments Commission (ASIC)

On Thursday, January 13, 2022, Carol McGee, Rajal Patel and Pam Carmody (staff of the Division of Trading and Markets) and, Jonathan Balcom, Steven Benham and Natasha Kaden (staff of the Office of International Affairs) met with representatives of ASIC. The general topic discussed was the Commission's proposed rules on Prohibition against Fraud, Manipulation, or Deception in Connection with Security-Based Swaps; Prohibition against Undue Influence over Chief Compliance Officers; Position Reporting of Large Security-Based Swap Positions.