

## MEMORANDUM

**TO:** File Number S7-05-14

**FROM:** Valentina Minak Deng  
Special Counsel  
Office of Financial Responsibility, Division of Trading and Markets  
U.S. Securities and Exchange Commission

**DATE:** June 10, 2015

**RE:** Meeting with SIFMA Representatives

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On June 2, 2015, Commission staff participated in a conference call with representatives of the Securities Industry and Financial Markets Association (“SIFMA”) to discuss the proposed rules and rule amendments on recordkeeping and reporting requirements for security-based swap dealers, major security-based swap participants, and broker-dealers, and the capital rule for certain security-based swap dealers (release number 34-71958).

Commission staff included Valentina Deng, Timothy Fox, Joseph Levinson, Michael Macchiaroli, and Randall Roy. In addition, Yui Chan of the Financial Industry Regulatory Authority attended the meeting.

SIFMA representatives at the meeting included Maria Barcelona (SIFMA), Thomas Favia (Goldman Sachs), Mary Kay Scucci (SIFMA), Ralph Mattone (Nomura), and William Tirrell (Merrill Lynch).