

MEMORANDUM

To: File

From: Josephine J. Tao
Assistant Director
Office of Trading Practices
Division of Trading and Markets
U.S. Securities and Exchange Commission

Date: February 23, 2015

Re: Discussion with AIMA

On Wednesday, February 11, 2015, staff from the Division of Trading and Markets spoke with Jiří Król (Deputy CEO) and Brian O’Keefe (Managing Director, Americas) representing the Alternative Investment Management Association, and their counsel, Daniel F. C. Crowley and Andres Gil from K&L Gates.

Among the topics discussed were the proposed rule to prohibit fraud, manipulation and deception in connection with security-based swaps (Release No. 34-63236; File No. S7-32-10) and proposed rules and amendments for capital, margin, and segregation requirements for security-based swap dealers and major security-based swap participants and capital requirements for broker-dealers (Release No. 34-68071; File No. S7-08-12).

The following staff attended on behalf of the Division of Trading and Markets:

Gary Barnett
Gary Goldsholle
David Shillman
Brian Bussey
Marie-Louise Huth
Gena Lai
Josephine Tao
Richard Gabbert
Angela Mokodean
Elizabeth Sandoe
John Guidroz
Andrew Shanbrom
Jeffrey Mooney
Marta Chaffee
Tom McGowan
Carol McGee

