

MEMORANDUM

TO: File No. SR-OCC-2014-813

FROM: Neil Lombardo
Office of Commissioner Luis A. Aguilar

DATE: January 6, 2015

SUBJECT: Meeting with Representatives of The Options Clearing Corporation (OCC)

On January 6, 2015, Paul A. Gumagay, Counsel to Commissioner Aguilar, and Neil Lombardo, Counsel to Commissioner Aguilar, met with OCC representatives Jim Brown (Executive Vice President and General Counsel), Jim Hall (Director of Government Relations), and Joseph Corcoran (First VP and Head of Government Relations). The discussion included, OCC's proposal to amend its capital plan.