

MEMORANDUM

TO: File Nos. S7-07-18, S7-08-18, S7-09-18
FROM: Division of Trading and Markets
RE: Meeting with Representative of the CCMC
DATE: September 14, 2018

On Tuesday, September 11, 2018, representatives of the Securities and Exchange Commission (“SEC”) participated in a meeting with a representative of the Center for Capital Markets Competitiveness of the U.S. Chamber of Commerce (“CCMC”). The SEC representatives were Dalia Blass, Parisa Haghshenas, Gena Lai, James McGinnis, Jennifer Porter, Sarah ten Siethoff, and Jennifer Songer from the Division of Investment Management; and Bradford Bartels, Roni Bergoffen, Geeta Dhingra, and Lourdes Gonzalez from the Division of Trading and Markets. The CCMC representative was Samantha DeZur.

The participants discussed, among other things, the SEC’s proposed rules and interpretation relating to standards of conduct for investment professionals.