

MEMORANDUM

TO: File No. S7-07-18
FROM: Division of Trading and Markets
RE: Telephone Meeting with Morgan Lewis & Bockius
DATE: March 5, 2019

On February 21, 2019, Lourdes Gonzalez and Alicia Goldin of the Division of Trading and Markets participated in a telephone meeting with Brian Baltz of Morgan Lewis & Bockius.

The participants discussed the proposed standard of conduct for broker-dealers as well as alternative standards proposed by other regulators.