

To: File Nos.: SR-FICC-2024-005; SR-FICC-2024-009
From: Office of Public Engagement
Date: 7/3/24
Re: Meeting with FIA PTG

On July 2, 2024, Chair Gensler and SEC staff met with the Futures Industry Association (FIA) Principal Traders Group (PTG). The general topics discussed included proposals filed by the Fixed Income Clearing Corporation with the Commission as proposed rule changes SR-FICC-2024-005 and SR-FICC-2024-009.

Members of the SEC included:

- Chair Gary Gensler
- Jay Krawitz, Acting Director of Policy
- Jessica Wachter, Chief Economist & Director of the Division of Economic and Risk Analysis
- Haoxiang Zhu, Director of the Division of Trading and Markets
- Elizabeth Fitzgerald, Assistant Director, Division of Trading and Markets

Representatives from FIA PTG included:

- Joanna Mallers, Executive Director, FIA PTG
- Allison Lurton, General Counsel & Chief Legal Officer, FIA
- Scott Parsons, Founding Partner & Managing Partner, Delta Strategy Group
- Jonah Platt, U.S. Head of Government and Regulatory Policy, Citadel
- Graham Harper, Head of Public Policy and Market Structure, DRW
- Mark Wendland, Chief Operating Officer, DRW
- Scott McClure, Business Operations Manager, Hudson River Trading
- Adam Nunes, Head of Business Development, Hudson River Trading
- Graham McDannel, Market Structure and Corporate Strategy, Optiver
- Stephanie Davis, Business Operations, Radix Trading
- Greg Connor, Chief Compliance Officer, 3 Red Partners
- Jason Downey, US Chief Compliance Officer, IMC Trading
- Aidan Butler, Compliance Manager, Jump Trading
- Andrew Haning, Business Development FX and Treasuries, Jump Trading
- Steve Waldron, Head of Global Clearing, Jump Trading
- Bob Tierney, Managing Member & Owner, Kore Trading
- Joe Balcarcel, Chief Administrative Officer, Prime Trading
- William Bregenzer, Managing Director, Tower Research Capital