

**JOINT SEC-CFTC ROUNDTABLE ON
DATA FOR SWAPS AND SECURITY-BASED SWAPS, SWAP DATA REPOSITORIES,
SECURITY-BASED SWAP DATA REPOSITORIES, AND REAL TIME PUBLIC
REPORTING
September 14, 2010**

LIST OF PARTICIPANTS

Panel One:

SDR Registration, Functions and Responsibilities:

- Athanassios Diplas, Managing Director, Deutsche Bank
- Mark Dixon, Chief Operating Officer, Evolution Markets
- Jeff Gooch, Chief Executive Officer, MarkitSERV and Executive Vice President, Portfolio Valuations
- Stewart MacBeth, Managing Director, The Depository Trust & Clearing Corporation (DTCC), General Manager, DTCC Trade Information Warehouse
- Jiro Okochi, Chief Executive Officer, Reval
- Raf Pritchard, Chief Executive Officer, North America, TriOptima
- Chester Spatt, Pamela R. and Kenneth B. Dunn Professor of Finance at the Tepper School of Business at Carnegie Mellon University and Director of its Center for Financial Markets
- Bruce Tupper, Director, Market Development, ICE eConfirm

Panel Two:

Mechanics of Data Reporting:

- Jeremy Barnum, Managing Director, Investment Banking, J.P. Morgan Chase
- Sunil Cutinho, Director, Clearing Solutions, CME Group Inc.
- Mark Dixon, Chief Operating Officer, Evolution Markets
- Joseph R. Glace, Chief Risk Officer, Exelon, representing Coalition for Derivatives End-Users

- Stewart MacBeth, Managing Director, The Depository Trust & Clearing Corporation (DTCC), General Manager, DTCC Trade Information Warehouse
- Robert Pickel, Executive Vice Chairman, International Swaps and Derivatives Association, Inc. (ISDA)
- Raf Pritchard, Chief Executive Officer, North America, TriOptima
- Nicholas Themelis, Chief Information Officer, MarketAxess Corporation

Panel Three:

Models for Real-Time Transparency and Public Reporting:

- Peter Axilrod, Managing Director, New Business Development, The Depository Trust & Clearing Corporation (DTCC)
- Shawn Bernardo, Managing Director, Tullett Prebon Americas Corp., representing Wholesale Markets Brokers Association
- Trabue Bland, Director of Regulatory Affairs and Assistant General Counsel, ICE Trust
- John Gidman, Executive Vice President, Loomis, Sayles & Company, Vice Chairman of SIFMA Asset Managers Group
- Jeff Gooch, Chief Executive Officer, MarkitSERV and Executive Vice President, Portfolio Valuations
- George Harrington, Global Head of Credit Markets, Bloomberg
- Steve Joachim, Executive Vice President of Transparency Services, Financial Industry Regulatory Authority (FINRA)
- Michael W. Masters, President, Masters Capital Management, representing Better Markets Inc.
- Lee Olesky, Chief Executive Officer, TradeWeb
- Jim Toffey, Chief Executive Officer, Benchmark Solutions

Panel Four:

Effect of Transparency on Liquidity: Block Trade Exception:

- Michael W. Masters, President, Masters Capital Management, representing Better Markets Inc.

- Peter Shapiro, Managing Director, Swap Financial Group
- Yunho Song, Managing Director/Senior Trader, Bank of America Merrill Lynch
- Chester Spatt, Pamela R. and Kenneth B. Dunn Professor of Finance at the Tepper School of Business at Carnegie Mellon University and Director of its Center for Financial Markets
- Conrad Voldstad, Chief Executive Officer, International Swaps and Derivatives Association, Inc. (ISDA)
- Neal Wolkoff, Chief Executive Officer, ELX Futures, L.P.

**JOINT SEC-CFTC ROUNDTABLE ON SWAP EXECUTION FACILITIES AND
SECURITY-BASED SWAP EXECUTION FACILITIES
September 15, 2010**

LIST OF PARTICIPANTS

Panel One:

Swap Execution Facilities (“SEFs”) and Security-Based Swap Execution Facilities (“SB SEFs”)

- William De Leon, Global Head of Portfolio Risk Management, PIMCO
- Yves P. Denizé, Director & Associate General Counsel, TIAA-CREF
- Andrew Downes, Managing Director, UBS Securities LLC
- Richard DuFour, Executive Vice President, Chicago Board Options Exchange
- Julian Harding, Executive Director, Tradition Brokerage, Chairman, Wholesale Markets Brokers Association Americas
- John J. Jeffers, Senior Vice President and General Counsel, OTC Global Holdings
- Ben MacDonald, Global Head of Trading, Bloomberg L.P.
- Lee Olesky, Chief Executive Officer and Co-founder, Tradeweb
- Stephen Semlitz, Managing Director, HESS
- Heather Slavkin, Senior Legal Policy Advisor for the Office of Investment, AFL-CIO
- Jeff Sprecher, Chairman and Chief Executive Officer, IntercontinentalExchange, Inc.
- S. “Vish” Viswanathan, Professor, Fuqua School of Business, Duke University

Panel Two:

Compliance with Core Principles for SEFs and SB SEFs

- Athanassios Diplas, Managing Director and Global Head of Counterparty Management Group, Deutsche Bank
- William De Leon, Global Head of Portfolio Risk Management, PIMCO
- Yves P. Denizé, Director & Associate General Counsel, TIAA-CREF
- Bryan T. Durkin, Chief Operating Officer and Managing Director, Products and Services, CME Group

- Julian Harding, Executive Director, Tradition Brokerage, Chairman, Wholesale Markets Brokers Association Americas
- Edward S. Knight, Executive Vice President and General Counsel, The NASDAQ OMX Group, Inc.
- Michael Masters, President, Masters Capital Management, Americans for Financial Reform
- Richard McVey, Chief Executive Officer, MarketAxess
- Stephen Semlitz, Managing Director, HESS
- S. “Vish” Viswanathan, Professor, Fuqua School of Business, Duke University
- Philip Weisberg, Chief Executive Officer, FXall
- Brian S. Yelvington, Director – Strategy, Knight Capital Group