

## MEMORANDUM

TO: File No. 4-698

FROM: Claire O'Sullivan  
Counsel to Commissioner Caroline Crenshaw

RE: Meeting with representatives of FINRA

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On March 2, 2023, Commissioner Crenshaw and Claire O'Sullivan spoke with representatives of FINRA, including:

- Robert Cook, President and CEO
- Bob Colby, EVP and Chief Legal Officer
- Stephanie Dumont, EVP Market Regulation
- Nathaniel Stankard, EVP Regulatory Operations
- Greg Dean, SVP Government Affairs

Among the topics discussed were the submission of the Joint Industry Plan: Notice of Filing of Amendments to the National Market System Plan Governing the Consolidated Audit Trail.