

MEMORANDUM

TO: File No. S7-05-15

FROM: Alba Baze, Division of Trading and Markets

RE: Conference Call with Representatives of the Financial Industry Regulatory Authority, Inc. ("FINRA")

DATE: June 9, 2023

On April 12, 2023, Commission staff in the Division of Trading and Markets met with representatives from FINRA regarding the Commission's proposal to amend Rule 15b9-1.

The FINRA representatives present included Alex Ellenberg and Racquel Russell. Commission staff from the Division of Trading and Markets included Eric Juzenas, Michael Bradley and Nicholas Shwayri.