

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 25, 2023, Commission staff in the Division of Trading and Markets and the Division of Economic and Risk Analysis met with representatives from FINRA regarding the Commission’s proposal to amend Rule 15b9-1.

The FINRA representatives present included Robert Colby, Jonathan Sokobin, Racquel Russell, Alex Ellenberg, and Jon Kroeper. Staff from the Division of Trading and Markets included Eric Juzenas, Michael Bradley, Yue Ding, Nicholas Shwayri, David Michehl, Vince Vuong, and Alba Baze. Staff from the Division of Economic and Risk Analysis included Thomas Shofi and Benjamin Liebman.