

To: File No.: S7-05-15
From: Office of Public Engagement
Date: 6/15/23
Re: Meeting with FINRA

On June 15, 2023, Chair Gensler and SEC staff met with FINRA to discuss, among other matters, the Broker-Dealer Membership in Securities Associations proposed rule.

- Broker-Dealer Membership in Securities Associations – S7-05-15

Members of the SEC included:

- Chair Gary Gensler
- Amanda Fischer, Chief of Staff
- Heather Slavkin Corzo, Policy Director
- Jessica Wachter, Chief Economist, Director of Division of Economic and Risk Analysis
- Haoxiang Zhu, Director, Division of Trading and Markets
- Barb Roper, Senior Advisor
- Sai Rao, Trading and Markets Counsel
- Heather Percival, Trading and Markets Counsel

Representatives from FINRA included:

- Robert Cook, President and Chief Executive Officer
- Bob Colby, Executive Vice President and Chief Legal Officer
- Nathaniel Stankard, Executive Vice President and Chief of Staff to the CEO for Regulatory Operations
- Greg Dean, Senior Vice President for Government Affairs