

## MEMORANDUM

**To:** File 27-10-21

**From:** Parisa Haghshenas  
Counsel to Commissioner Allison Herren Lee  
U.S. Securities and Exchange Commission

**Date:** November 17, 2021

**Re:** Virtual Meeting with representatives from Robinhood

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On November 17, 2021, Commissioner Lee and staff from the Office of Commissioner Lee, including Andrea Orr, Frank Buda, and Parisa Haghshenas met virtually with the following representatives of Robinhood: Vlad Tenev, Chief Executive Officer of Robinhood; Jim Swartwout, President and Chief Operating Officer of Robinhood Securities; Lucas Moskowitz, Deputy General Counsel; Aparna Chennapragada, Chief Product Officer; and Ben Brown from Blue Ridge Law & Policy.

Among the topics discussed was the Commission's Request for information and public comment on Broker-Dealer and Investment Adviser Digital Engagement Practices, Related Tools and Methods, and Regulatory Considerations and Potential Approaches.