

MEMORANDUM

TO: File No. S7-18-21
FROM: Division of Trading and Markets
RE: Meeting with Representatives of Finra
DATE: March 21, 2022

On March 21, 2022, members of the SEC staff had a teleconference with representatives of Finra. SEC representatives from the Division of Trading and Markets included Haoxiang Zhu, Justin Pica, Joshua Nimmo, Steve Gibson, Tom Eady, Josephine J. Tao, John Guidroz, Joan Collopy, Michael Gaw, and Theresa Hajost. Viktoria Baklanova of the Division of Investment Management also participated in the call. The Finra representatives included Robert Cook, Robert Colby, Nathaniel Stankard, Stephanie Dumont, Jonathan Sokobin, Christopher Stone, and Racquel Russell.

Among other things, the participants discussed Proposed Rule 10c-1.