

MEMORANDUM

TO: File No. S7-18-21
FROM: Division of Trading and Markets
RE: Meeting with Representatives of RMA
DATE: March 31, 2022

On March 31, 2022, members of the SEC staff had a teleconference with representatives of Finra. SEC representatives from the Division of Trading and Markets included Josephine J. Tao, Joshua Nimmo, John Guidroz, Joan Collopy, Brandon Figg, and Theresa Hajost. SEC representatives from the Division of Economics and Risk Analysis included Paul Barton, Peter Dixon, and Qiyu Liu. The RMA representatives included Aileen Foley, Fran Garritt, Thomas Poppey, Jason Strofs, Ranada Ferguson, Jay Lovejoy, Tamela Merriweather, Stacey Burke, Mark Whipple, Chad Wolfe, Rebecca Goldenberg, George Rennick, Glenn Horner, Sandra Linn, Laura Weiss, Mike McAuley, Jared Black, and Mary Breslin.

The participants discussed RMA's comments on Proposed Rule 10c-1.