

MEMORANDUM

TO: File no. S7-18-21

FROM: Sai Rao
Policy Counsel, Office of the Chair

RE: Meeting with FINRA

DATE: April 12, 2022

On April 12th, Adam Large and Sai Rao, Policy Counsels for the Chair met with representatives from FINRA:

- Robert Cook, President and CEO
- Stephanie Dumont, EVP Market Regulation
- Bob Colby, EVP and Chief Legal Officer
- Nathaniel Stankard, Senior Advisor
- Jonathan Sokobin, SVP and Chief Economist
- Ola Persson, SVP and Head of Transparency Services
- Racquel Russell, SVP and Director Capital Markets Regulatory Practice and Policy
- Greg Dean, SVP Government Affairs

The participants discussed the mechanics of reporting securities lending transactions and the differences between repurchase agreements and securities lending transactions.