

MEMORANDUM

TO: File No. S7-18-21
FROM: Division of Trading and Markets
RE: Meeting with Representatives of Finra
DATE: June 10, 2022

On June 3, 2022, members of the SEC staff had a teleconference with representatives of Finra. SEC staff at the meeting from the Division of Trading and Markets included Josephine J. Tao, John Guidroz, Joan Collopy, Liz Sandoe, Brandon Figg, and Theresa Hajost. SEC staff from the Division of Economic and Risk Analysis included Amy Edwards and Peter Dixon. The Finra representatives included Christopher Stone, Racquel Russell, Bill Wollman, Kris Dailey, Jocelyn Mello, Yvonne Huber, Robert McNamee, Randy Rivera, David Aman, and James Barry.

The participants discussed Proposed Rule 10c-1.