

MEMORANDUM

TO: File No. S7-18-21
FROM: Division of Trading and Markets
RE: Meeting with Representatives of the Securities Industry and Financial Markets Association
DATE: November 30, 2021

On November 30, 2021, representatives of the Division of Trading and Markets (“TM”) met with representatives of the Securities Industry and Financial Markets Association (“SIFMA”). The TM representatives were Josephine Tao, John Guidroz, Theresa Hajost, and Samuel Litz. The SIFMA representatives were Robert Toomey and Joseph Corcoran.

The participants discussed, among other things, the Commission’s proposed Rule 10c-1.