

MEMORANDUM

TO: File No. SR-FINRA-2021-010

FROM: Yue Ding, Counsel to Commissioner Lee

RE: Meeting with Representatives from Bond Dealers of America

DATE: June 8, 2022

On June 7, 2022, Commissioner Lee, Parisa Haghshenas, and Yue Ding held a videoconference with:

- DiAnne Calabrisotto, Chief Operating Officer & Chief Compliance Officer, Siebert Williams Shank
- Michael Decker, Senior Vice President, Bond Dealers of America
- Tom Fleming, Partner, Olshan Frome Wolosky
- Kathryn Phillips, Chief Operating Officer, The Baker Gorup
- Robert Tirschwell, Head of Capital Markets, Brean Capital
- Adrienne Ward, Partner, Olshan Frome Wolosky

The participants discussed the FINRA rule filing referenced above.