

MEMORANDUM

TO: File No. SR-CBOE-2013-100; SR-FINRA-2013-036
FROM: Leigh Duffy
Office of Market Supervision, Division of Trading and Markets
DATE: January 22, 2014
SUBJECT: Meeting with the Futures Industry Association

On January 22, 2014, John Ramsay, James Burns, David Shillman, Heather Seidel, Gregg Berman, Chuck Collver, Tina C. Barry, Kristie Diemer, Mia Zur and Leigh Duffy from the Division of Trading and Markets, met with the following representatives of the Futures Industry Association (FIA):

Rob Creamer (Geneva Trading, Chairman of FIA Principal Traders Group)
Jim Draddy (Jump Trading)
Richard Gorelick (RGM Advisors)
Elizabeth King (KCG Holdings)
Scott Parsons (Delta Strategy Group)
Joanna Mallers (FIA Principal Traders Group).

The participants discussed a proposed rule change by the Chicago Board Options Exchange, Incorporated (CBOE) relating to CBOE Stock Exchange (CBSX) trading permit holder eligibility, and a proposed rule change by the Financial Industry Regulatory Authority, Inc. (FINRA) relating to wash sale transactions and FINRA Rule 5210 (Publication of Transactions and Quotations). The representatives reiterated concerns raised in FIA's comment letters on the proposed rule changes.