

## MEMORANDUM

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

FROM: Brandon Hill – Counsel to Commissioner Jaime Lizárraga – U.S. Securities and Exchange Commission

RE: Meeting with Bond Dealers of America and Brean Capital

DATE: October 11, 2022

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On October 11, 2022, Commissioner Jaime Lizárraga, Parisa Haghshenas, Laura D’Allaird, Diem-Mi Lu and Brandon Hill met with the following representatives from the Bond Dealers of America and Brean Capital:

- 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 Group
- Robert Tirschwell, Head of Capital Markets, Brean Capital
- Adrienne Ward, Partner, Olshan Frome Wolosky
- Joseph Koffer, Chief Compliance Officer, Ramirez and Co.

The participants discussed the FINRA rule filing referenced above.