

MEMORANDUM

TO: File No. SR-FINRA-2023-007

FROM: Daniel Fisher
Branch Chief
Office of Chief Counsel, Division of Trading and Markets
U.S. Securities and Exchange Commission

DATE: June 29, 2023

RE: Meeting with Securities Industry and Financial Markets Association (“SIFMA”)
Private Client Services Committee (“PCS Committee”)

On June 15, 2023, Haoxiang Zhu, Emily Westerberg Russell, and Roni Bergoffen from the Division of Trading and Markets participated in a meeting conducted via Zoom with John Maurello from SIMFA and the following members of the SIFMA PCS Committee: John Boccio, Sandy Bolton, Rich Boyd, Deborah Castiglioni, Evan Charkes, R. Cory Colvin, Bryan Cram, James Deutsche, James Dixon III, Jim Furlong, Michael Galantino, Carmen Gary, Mike Hildreth, David Holtzer, Heather Hunt-Ruddy, Stephen Langlois, Tom McDonald, Alyson Mencio Stevens, Lina Rubin, Jeff Silverman, Erica Snyder, Steve Snyder, and Scott Zebra.

The proposed rule filing under FINRA Rule 3110 (Supervision) to adopt Supplementary Material .18 (Remote Inspections Pilot Program) (Release No. 34-97398) was among the various topics discussed during the PCS Committee meeting.