

MEMORANDUM

TO: File Nos. SR-FINRA-2023-006 and SR-FINRA-2023-007

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

RE: SIFMA

DATE: October 20, 2023

On October 20, 2023, counsels to Commissioner Jaime Lizárraga, Parisa Haghshenas, Diem-Mi Lu, and Brandon Hill, met with the following representatives of SIFMA:

- Saima Ahmed, SIFMA
- Bernard Canepa, SIFMA
- Dee O’Neill, Raymond James
- Jennifer Szaro, XML Securities
- Luciano Moschetta, Wells Fargo Advisors
- Chad Nichols, Charles Schwab
- David Spero, Fidelity
- David Blake, LPL

Among the topics discussed were the proposed rule filings under FINRA Rule 3110 (Supervision) to adopt Supplementary Material .18 (Remote Inspections Pilot Program) and Supplementary Material .19 (Residential Supervisory Location).