

To: Comment File SR-FINRA-2023-007
From: The Office of the Chair, U.S. Securities and Exchange Commission
Date: October 26, 2023
Re: Meeting with the North American Securities Administrators Association

On October 25, 2023, Chair Gensler and staff from the Chair's Office met with representatives of the North American Securities Administrators Association (NASAA). Topics discussed included the FINRA Proposed Rule Change to establish a Remote Inspections Pilot Program.

NASAA Attendees:

Claire McHenry, Deputy Director, Nebraska Bureau of Securities, NASAA President
Melanie Senter Lubin, Maryland Securities Commissioner
Leslie Van Buskirk, Administrator, Wisconsin Division of Securities
Joseph Brady, Executive Director
Kristin Hutchens, Director of Policy and Government Affairs
Vince Martinez, General Counsel

SEC Attendees:

Chair Gensler
Amanda Fischer, Chief of Staff
Barbara Roper, Senior Advisor to the Chair