

MEMORANDUM

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

FROM: Adam Moore, Senior Counsel  
Office of the Investor Advocate

DATE: Nov. 21, 2023

RE: Virtual Meeting with Representative of XML Securities, LLC (“XML”)

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On November 15, 2023, Cristina Martin Firvida, Investor Advocate, and staff from the Office of the Investor Advocate met virtually with representatives of XML.

The following representatives from the Office of the Investor Advocate participated in the meeting:

- Cristina Martin Firvida, Investor Advocate;
- Stacy Puente, Ombuds
- Adam Moore, Senior Counsel; and
- Lisa Skrycki, Senior Counsel.

The following representative from XML participated in the meeting:

- Jennifer L Szaro, Chief Compliance Officer.

The participants discussed, among other topics, the proposed rule filing under FINRA Rule 3110 (Supervision) to adopt *Supplementary Material .18 (Remote Inspections Pilot Program)* [Release No. 34-97398] and the proposed rule filing under FINRA Rule 3110 (Supervision) to adopt *Supplementary Material .19 (Residential Supervisory Location)* [Release No. 34-97398].