

MEMORANDUM

TO: File No. SR-FINRA-2024-007

FROM: Division of Trading and Markets

RE: Meeting with the Investment Company Institute and member firms

DATE: June 27, 2024

On June 27, 2024, staff representatives from the Division of Trading and Markets met with representatives from the Investment Company Institute (“ICI”) and some of the ICI’s member firms, which included State Street, BlackRock, and Brown Brothers Harriman. During the meeting, the participants discussed issues related to ICI’s comment letter on FINRA’s proposed rule change to adopt the FINRA Rule 6500 Series (Securities Lending and Transparency Engine (SLATETM)).

Commission staff who attended the meeting included Josephine Tao, Elizabeth Sandoe, Laura Weber, Joan Collopy, James Curley, Michael Bradley, Susie Cho, Sakisha Jackson, and Beth Van Derslice.

The attendees from the ICI were Sarah Bessin and Kimberly Thomasson. The attendee from BlackRock was Jason Strofs. The attendees from State Street were Glenn Horner and Robert McKeon. The attendee from Brown Brothers Harriman was Ranada Ferguson. The attendee from Willkie Fahr & Gallagher LLP was Brian Baltz, the ICI’s counsel.