

MEMORANDUM

To: File

From: Robert Peak
Senior Advisor to Commissioner Kara Stein
U.S. Securities and Exchange Commission

Date: June 5, 2014

Re: Discussion with representatives from Financial Information Forum (FIF)

On March 20, 2014, Allison Lee, Counsel for Commission Stein, and Robert Peak, Senior Advisor to Commissioner Kara Stein, met with representatives of the Financial Information Forum (FIF) regarding the Consolidated Audit Trail, including Manisha Kimmel and Tom Jordan.

The topic discussed was the 2014 CAT NMS Plan.