

MEMORANDUM

February 11, 2014

To: File No. 4-668

From: Jennifer Colihan, Division of Trading and Markets

Re: Staff Meeting with Financial Information Forum

On February 6, 2014, staff from the Division of Trading and Markets (David Hsu, Assistant Director; Jennifer Colihan, Special Counsel; Leigh Duffy, Special Counsel; and Carl Tugberk, Special Counsel) met with representatives of the Financial Information Forum (Manisha Kimmel, Executive Director and Thomas Jordan, Advisory Committee Chair).

FIF discussed the proposed national market system plan governing the process of selecting a plan processor and the implementation of the consolidated audit trail pursuant to Rule 613. FIF also discussed issues raised in its comment letters on the proposal.