

MEMORANDUM

TO: File No. 4-698

FROM: Claire O'Sullivan
Counsel to Commissioner Caroline Crenshaw

RE: Meeting with representatives of the Consolidated Audit Trail LLC

On May 2, 2023, Commissioner Crenshaw and Claire O'Sullivan spoke with representatives of CAT LLC, including:

- Soniya Shrivastav, Leadership Team, Consolidated Audit Trail LLC
- Cindy Retterer, Leadership Team, Consolidated Audit Trail LLC
- Jennifer Lamie, Leadership Team, Consolidated Audit Trail LLC
- Robert Gatrell, Leadership Team, Consolidated Audit Trail LLC
- Larry O'Leary, Leadership Team, Consolidated Audit Trail LLC
- Brandon Becker, Chair, Operating Committee, Consolidated Audit Trail LLC
- Andre Owens, Partner, WilmerHale (Counsel to Consolidated Audit Trail LLC)

Among the topics discussed were the submission of the Joint Industry Plan: Notice of Filing of Amendments to the National Market System Plan Governing the Consolidated Audit Trail.