

MEMORANDUM

TO: File No. 4-698

FROM: Sakisha Jackson
Division of Trading and Markets

DATE: July 22, 2022

SUBJECT: Meeting with Representatives of The Securities Industry and Financial
Markets Association (“SIFMA”)

On July 22, 2022, Commission staff met with the following representatives of SIFMA:

David Andrews, Ameriprise
Brad Hahn, Ameriprise
Andy Margolin, Bank of America
Gregg Berman, Citadel
Aileen Foley, Fidelity
Shafiq Perry, Goldman Sachs
Ben Hoffart, Goldman Sachs
David Emero, Goldman Sachs
Sapna Patel, Morgan Stanley
Doug Bloom, Morgan Stanley
George Wolf, UBS
Tom Merritt, Virtu
Ellen Greene, SIFMA
Joe Corcoran, SIFMA
Ken Bentsen, SIFMA
Joe Seidel, SIFMA

During the meeting, SIFMA discussed its comments, as reflected in its June 30, 2022 comment letter to the Commission, regarding the SROs’ proposed amendment to the national market system plan governing the consolidated audit trail to modify the reporter agreements. SIFMA also discussed its comments, as reflected in its June 22, 2022 comment letter to the Commission, regarding the SRO’s proposed amendment to the national market system plan to revise the funding model. The Commission staff representatives from the Division of Trading and Markets were David Shillman, David Hsu, Mark Donohue, Erika Berg, Andrew Sherman, Gita Subramaniam, Sakisha Jackson, Leigh Duffy and Jennifer Colihan.