

MEMORANDUM

April 18, 2023

TO: File No. 4-698

FROM: Robert Fisher
Office of Commissioner Mark T. Uyeda

RE: Meeting with Representatives of Leadership Team of the Consolidated Audit Trail LLC

On April 17, 2023, Commissioner Mark T. Uyeda and his counsel, Robert Fisher, had a meeting with the Leadership Team of the Consolidated Audit Trail LLC (“Leadership Team”). Commissioner Uyeda and the attendees met virtually. The Leadership Team representatives in attendance consisted of:

- 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 other matters, the participants discussed the Leadership Team’s March 15, 2023, submission of the Joint Industry Plan: Notice of Filing of Amendments to the national Market System Plan Governing the Consolidated Audit Trail (Release No. 34-97151; File No. 4-698).