

MEMORANDUM

TO: File no. 4-698

FROM: Sai Rao
Policy Counsel, Office of the Chair

RE: Meeting with the CAT Operating Committee

DATE: July 10th, 2023

On July 6th, the following representatives from the Office of the Chair:

- Heather Slavkin Corzo, Policy Director
- Sai Rao, Trading and Markets Counsel
- Heather Percival, Trading and Markets Counsel
- Corey Klemmer, Corporation Finance Counsel
- Minu Nagashunmugam, Special Assistant to the Chief of Staff

Met with the following representatives from FINRA CAT and the CAT Operating Committee:

- Brandon Becker, CAT NMS Plan Operating Committee Chair
- Soniya Shrivastav, Director, Regulatory Initiatives, NYSE
- Cindy Retterer, VP, Nasdaq
- Jennifer Lamie, VP, Chief Regulatory Advisor, Cboe
- Larry O'Leary, VP, Regulatory Services, MIAX
- Shelly Bohlin, COO, CAT LLC
- Scott Donaldson, Chief Technology Officer, CAT LLC
- Duer Meehan, CCO, CAT LLC
- Andre Owens, Partner, WilmerHale, CAT LLC Counsel
- Daniel Martin, Counsel, WilmerHale

The participants continued to discuss current and planned cost containment measures for CAT. The participants also discussed the funding proposal.