

## MEMORANDUM

July 27, 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 July 27, 2023, Commissioner Mark T. Uyeda's Counsel Robert Fisher had a meeting with the Leadership Team of the Consolidated Audit Trail LLC ("Leadership Team"). The attendees met virtually. The Leadership Team representatives in attendance consisted of:

- Soniya Shrivastav: CAT Leadership Team (NYSE)
- Cindy Retterer: CAT Leadership Team (Nasdaq)
- Robert (Len) Gatrell: CAT Leadership Team (FINRA)
- Jennifer Lamie: CAT Leadership Team (Cboe)
- Brandon Becker: Chair, CAT Operating Committee
- Shelly Bohlin: FINRA CAT (CAT NMS Plan Processor)
- Scott Donaldson: FINRA CAT (CAT NMS Plan Processor)
- Duer Meehan: CAT CCO
- Andre Owens: WilmerHale
- Dan Martin: WilmerHale

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).