

MEMORANDUM

TO: File No. 4-698, Notice of Filing of the National Market System Plan Governing the Consolidated Audit Trail

FROM: Ted Uliassi
Division of Trading and Markets

DATE: August 19, 2016

RE: Staff meeting with Financial Industry Regulatory Authority (“FINRA”)

On August 15, 2016, Commission staff met with representatives of FINRA regarding the proposed National Market System Plan Governing the Consolidated Audit Trail.

Commission staff in attendance included Steve Luparello, Director, Gary Goldsholle, Deputy Director, David Shillman, Associate Director, Carl Emigholz, Counsel to the Director, Leigh Duffy, Special Counsel, John Lee, Special Counsel, and Ted Uliassi, Attorney Adviser, all from the Division of Trading and Markets. David Hsu, Assistant Director and Rebekah Liu, Special Counsel, both from the Division of Trading and Markets, participated telephonically.

FINRA representatives in attendance included Robert Colby, Chief Legal Officer, Jonathan Sokobin, Chief Economist and Senior Vice President, Paul McKenney, Director, and Brant Brown, Associate General Counsel. A. Duer Meehan, Vice President in FINRA’s Market Regulation group, participated telephonically.