

MEMORANDUM

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

FROM: John Lee
Division of Trading and Markets

DATE: August 19, 2016

RE: Staff meeting with Financial Services Roundtable

On August 16, 2016, Commission staff met with representatives of the Financial Services Roundtable regarding the proposed National Market System Plan Governing the Consolidated Audit Trail.

Commission staff in attendance included: from the Division of Trading and Markets, Gary Goldsholle, Deputy Director, David Shillman, Associate Director, David Hsu, Assistant Director, Rebekah Liu, Special Counsel, John Lee, Special Counsel; from the Division of Economic and Risk Analysis, Amy Edwards, Assistant Director, Laura Tuttle, Senior Financial Economist, Woodrow Johnson, Senior Financial Economist, Claire O'Sullivan, Attorney-Adviser; from the Chair's Office, Christopher Hetner, Senior Advisor for Cybersecurity Policy; and from the Office of Information Technology, Andrew Krug, Chief Information Security Officer.

Financial Services Roundtable representatives in attendance included: from Financial Services Roundtable, Felicia Smith, Vice President and Senior Counsel for Regulatory Affairs, Josh Magri, Vice President, Counsel for Regulation and Developing Technologies; from LPL Financial, Sarah Gill, Senior Vice President and Head of Policy, Government Relations; from Wells Fargo, Sara Silk, Vice President, Brokerage Regulatory Reform; and from Debevoise & Plimpton, Lee Schneider, Counsel, and Lilya Tessler, Associate.