

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: September 13, 2016

RE: Staff meeting with Better Markets

On September 8, 2016, Commission staff met with representatives of Better Markets 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, Jennifer Colihan, Special Counsel, Rebekah Liu, Special Counsel, Leigh Duffy, Special Counsel, John Lee, Special Counsel, Ted Uliassi, Special Counsel, and Steven Samson, CAT Program Manager; from the Division of Economic and Risk Analysis, Amy Edwards, Assistant Director. Laura Tuttle, Senior Financial Economist, and Claire O’Sullivan, Attorney-Adviser, both from the Division of Economic and Risk Analysis, participated telephonically.

Better Markets representatives in attendance included Stephen W. Hall, Legal Director and Securities Specialist, and Lev Bagramian, Senior Securities Policy Advisor.