

MEMORANDUM

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

FROM: Jennifer Colihan
Division of Trading and Markets

DATE: September 13, 2016

RE: Staff meeting with the Securities Industry and Financial Markets Association (SIFMA)

On September 13, 2016, Commission staff met with representatives of SIFMA and others 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; and from the Division of Economic and Risk Analysis, Claire O'Sullivan, Attorney-Adviser. Amy Edwards, Assistant Director from the Division of Economic and Risk Analysis, participated telephonically.

SIFMA representatives in attendance included: Ellen Greene, Managing Director and T.R. Lazo, Managing Director. Also in attendance were: David Emero, Vice President, Goldman Sachs; Maura Miller, Director, Credit Suisse; Deborah Mittelman, Executive Director, UBS; Michael Collins, Vice President Compliance, National Financial Services LLC; and Ron Veith, Executive Director, Equities Compliance, JP Morgan.