

MEMORANDUM

TO: File

FROM: Troy Stoddard
Special Counsel
Office of the Chief Counsel, Division of Trading and Markets
U.S. Securities and Exchange Commission

RE: Meeting with representatives from FINRA

DATE: November 19, 2012

On November 19, 2012, Commission staff met with representatives from FINRA to discuss issues regarding the implementation of Title III of the Jumpstart Our Business Startups Act.

The following Commission representatives were present: Joseph Furey, Joanne Rutkowski, Leila Bham, Dan Gien, Shaheen Haji, Troy Stoddard, and Timothy White, from the Division of Trading and Markets; and Lona Nallengara and Lillian Brown from the Division of Corporation Finance.

The following representatives from FINRA were present: Adam Arkel, Joe Sheirer, Rick Pullano, Patrice Gliniecki, and Tom Selman