

MEMORANDUM

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

RE: Meeting with representatives of the FINRA

DATE: February 8, 2013

On February 8, 2013, Commission staff met with representatives of the Financial Industry Regulatory Authority (FINRA), to discuss issues regarding the implementation of Title III of the Jumpstart Our Business Startups Act.

The following Commission representatives were present: David Blass, Joseph Furey, Lourdes Gonzalez, Joanne Rutkowski, Leila Bham, Timothy White, Shaheen Zuver, Wonju Sul and Catherine Yin from the Division of Trading and Markets; Lona Nallengara, Tamara Brightwell, Lillian Brown and Sebastian Gomez-Abero from the Division of Corporation Finance; Sarah Buescher and Parisa Haghshenas from the Division of Investment Management; and Scott Bauguess and Ivan Ivanov from the Division of Risk, Strategy, and Financial Innovation.

The following representatives of FINRA were present: Patrice Gliniecki, Tom Selman, Joe Savage, Angela Goelzer, Adam Arkel and Phil Shaikun. The following representatives of FINRA attended by phone: Mike Rufino and Joe Sheirer.