

MEMORANDUM

TO: File No. S7-01-13

FROM: Dhawal Sharma

RE: Proposed Regulation Systems Compliance and Integrity

DATE: May 2, 2013

On April 25, 2013, Commission staff had a teleconference with representatives of Financial Industry Regulatory Authority (“FINRA”) to discuss proposed Regulation SCI.

Commission staff included David Shillman, David Liu, Heidi Pilpel, Elizabeth Badawy, Dick D’Anna, Harrison Luo, Keith Riley, Gordon Fuller, Jonathan Balcom, Yue Ding, and Dhawal Sharma from the Division of Trading and Markets.

The FINRA attendees at the meeting were Stephanie Dumont, Lisa Horrigan, Julia Bogolin, Steve Joachim, Chris Stone, Dan Sibears, Angela Posillico, Duer Meehan, Lorraine Reilly, Matt Daugherty, John Brady, Emery Freeman, Michael Hourigan, Regina Jenkins, and Mike Greene.