

MEMORANDUM

TO: File No. S7-01-13

FROM: Marc Sharma  
Office of the Investor Advocate

DATE: October 29, 2014

RE: Meeting with Representatives of the New York Stock Exchange

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On October 27, 2014, Investor Advocate Rick Fleming and SEC Ombudsman Tracey McNeil met with the following representatives of the New York Stock Exchange: Thomas W. Farley, President; Sudhir Bhattacharyya, Vice President; and John Tuttle, Head of Corporate Affairs. The discussion included, among other things, the Commission's proposed rules regarding Regulation Systems Compliance and Integrity.