

MEMORANDUM

TO: File No. S7-01-13

FROM: Marc Sharma
Office of the Investor Advocate

DATE: October 29, 2014

RE: Meeting with Representatives of IEX Group, Inc. and IEX Services LLC

On October 28, 2014, Investor Advocate Rick Fleming and SEC Ombudsman Tracey McNeil met with the following representatives of IEX Group, Inc.: Bradley T. Katsuyama, President and Chief Executive Officer; John Schwall, Chief Operating Officer; Sophia Lee, General Counsel; Ronan Ryan, Chief Strategy Officer; and Donald Bollerman, Head of Market Operations. Also in attendance was Benjamin Small, Head of Quantitative Research at IEX Services LLC. The meeting took place at IEX Group, Inc. offices in New York City. The discussion included, among other things, the Commission's proposed rules regarding Regulation Systems Compliance and Integrity.