

MEMORANDUM

July 26, 2023

TO: File Nos.: S7-29-22; S7-30-22; S7-31-22; S7-32-22; S7-12-22; and S7-07-23.

FROM: Robert Fisher
Office of Commissioner Mark T. Uyeda

RE: Meeting with Representatives of FIA Principal Traders Group (“FIA PTG”)

On July 25, 2023, Commissioner Mark T. Uyeda Counsel Robert Fisher and Legal Intern Jakell Larson had a meeting with FIA PTG. The attendees met in-person. FIA PTG’s representatives in attendance consisted of:

- Scott Parsons, Delta Strategy Group
- Edmund Perry, Delta Strategy Group
- Graham Harper, DRW
- Mike Berman, Citadel
- Kelly McGrath, Citadel
- Liam Smith, Optiver
- Adam Nunes, Hudson River Trading
- Paul Jiganti, IMC

Among other matters, the participants discussed FIA PTG’s comment letters filed in connection with: Disclosure of Order Execution Information; Regulation NMS: Minimum Pricing Increments, Access Fees, and Transparency of Better Priced Orders; Order Competition Rule; Regulation Best Execution; Regulation Systems Compliance and Integrity; Further Definition of “As a Part of a Regular Business” in the Definition of Dealer and Government Securities Dealer and Regulation Systems Compliance and Integrity.