

## MEMORANDUM

TO: File No. S7-10-20

FROM: Katriana Roh  
Division of Trading and Markets

DATE: December 14, 2021

SUBJECT: Meeting with Representatives of The Financial Industry Regulatory Authority “FINRA”)

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On December 10, 2021, Commission staff met with the following representatives of FINRA:

Stephanie Dumont  
Alex Ellenberg  
Robert Gatrell  
Jon Kroeper  
Racquel Russell

During the meeting, FINRA discussed its views on use of CAT data in light of the proposed amendments to the national market system plan governing the consolidated audit trail to enhance data security, which are reflected in a comment letter to the Commission. The Commission staff representatives from the Division of Trading and Markets were David Shillman, David Hsu, Mark Donohue, Meredith MacVicar, Catherine Moore, Erika Berg, Andrew Sherman, and Katriana Roh. Carolyn Welshans from the Division of Enforcement, Jim Reese and Carrie O’Brien from the Division of Examinations, Peter Gimbrere from Office of the Chief Operating Officer, Hugh Beck from the Office of the Chief Data Officer and Laura Tuttle, Hans Heidle and Charles Woodworth from Division of Economic and Risk Analysis were also present.