

MEMORANDUM

TO: File no. S7-10-20

FROM: Sai Rao
Policy Counsel, Office of the Chair

RE: Meeting with FINRA

DATE: July 22, 2022

On July 22, 2022, Sai Rao, Policy Counsel, Office of the Chair, met with the following representatives from FINRA

- Stephanie Dumont, EVP Market Regulation
- Alex Ellenberg, VP Regulatory Risk Control
- Jon Kroeper, EVP Quality of Markets
- Len Gatrell, Senior Director, FINRA SRO CAT Regulatory
- Racquel Russell, SVP and Director Capital Markets Regulatory Practice & Policy
- Steve Randich, EVP and Chief Information Officer
- Eric Pickersgill, SVP Cyber Security & Information Security

The participants discussed the CAT Data Security Amendment and FINRA's current use of CAT data.