

## MEMORANDUM

TO: File No. S7-10-20

FROM: Erika Berg  
Division of Trading and Markets

DATE: March 12, 2024

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

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On March 12, 2024, Commission staff met with the following representatives of FINRA:

Stephanie Dumont  
Alexander Ellenberg  
Len Gatrell  
Racquel Russell  
Thomas Scully  
Heather Seidel  
Jonathan Sokobin

During that meeting, FINRA discussed its views on 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 that FINRA has submitted to the Commission. The Commission staff representatives from the Division of Trading and Markets were Frank Pigott, Dave Shillman, Mark Donohue, Erika Berg, Andrew Sherman, and Sakisha Jackson. Laura Tuttle of the Division of Economic and Risk Analysis was also present.