

MEMORANDUM

TO: File No. S7-10-20

FROM: Erika Berg
Division of Trading and Markets

DATE: August 4, 2021

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

On June 24, 2021, Commission staff met with the following representatives of FINRA:

Robert Colby
Stephanie Dumont
Alex Ellenberg
Len Gatrell
Jon Kroeper

During the 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 to the Commission. The Commission staff representatives from the Division of Trading and Markets were David Saltiel, Dave Shillman, David Hsu, Mark Donohue, Erika Berg, and Kate Roh. Andrew Krug from the Office of Information Technology and Laura Tuttle from the Division of Economic and Risk Analysis were also present.