

## MEMORANDUM

TO: File No. S7-10-20

FROM: Erika Berg  
Division of Trading and Markets

DATE: September 8, 2021

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

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On September 7, 2021, Commission staff met with the following representatives of FINRA:

John Brady  
Robert Colby  
Stephanie Dumont  
Alex Ellenberg  
Len Gatrell  
Tigran Khrimian  
Jon Kroeper  
Raquel Russell  
Greg Wolff

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 Dave Shillman, David Hsu, Mark Donohue, Erika Berg, and Andrew Sherman. Andrew Krug from the Office of Information Technology and Hugh Beck from the Office of the Chief Data Officer were also present.