

MEMORANDUM

TO: File No. S7-10-20

FROM: Erika Berg
Division of Trading and Markets

DATE: October 18, 2021

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

On October 14, 2021, Commission staff met with the following representatives of FINRA:

John Brady
Darlene Brown
Stephanie Dumont
Alex Ellenberg
Len Gatrell
Tigran Khrimian
Jon Kroeper
Nate Weisz
Greg Wolff

During the meeting, FINRA discussed its technological architecture, to further illustrate the concerns discussed in its comment letter. The Commission staff representatives from the Division of Trading and Markets were David Hsu, Mark Donohue, Erika Berg, Yvonne Fraticelli, Andrew Sherman, and Kate Roh. Hugh Beck and Sze Wing Wong from the Office of the Chief Data Officer, and Zhongwei Young from the Office of Information Technology were also present.