

MEMORANDUM

TO: File No. S7-10-20

FROM: Katriana Roh
Division of Trading and Markets

DATE: November 18, 2021

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

On November 18, 2021, Commission staff met with the following representatives of FINRA:

John Brady
Darlene Brown
Aaron Carreras
Stephanie Dumont
Alex Ellenberg
Robert Gatrell
Tigran Khrimian
Jon Kroeper
Raghu Ramman
Racquel Russell
Nathan 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, and Katriana Roh. Hugh Beck from the Office of the Chief Data Officer and Zhongwei Young and Paul Mussey from the Office of Information Technology were also present.