

## MEMORANDUM

TO: File no. S7-12-22

FROM: Sai Rao  
*Policy Counsel, Office of the Chair*

RE: Meeting with FINRA

DATE: January 29, 2024

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On January 29, 2024, Sai Rao, Heather Percival, and Jay Krawitz, Policy Counsels, Office of the Chair; Andrea Orr, Deputy Director of the Division of Trading and Markets; and Jessica Wachter, Chief Economist, met with the following representatives from FINRA:

- Bob Colby, General Counsel
- Jonathan Sokobin, Chief Economist
- Racquel Russell, Senior Vice President
- Alex Ellenberg, Vice President

The participants discussed the impacts of FINRA rules for broker-dealer obligations.