

## MEMORANDUM

TO: File No. S7-13-20  
FROM: Geeta Dhingra, Division of Trading and Markets  
RE: Meeting with Mark Berman, CompliGlobe Ltd.  
DATE: November 2, 2020

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On Monday, November 2, 2020, representatives of the Securities and Exchange Commission (“SEC”) participated in a meeting with Mark Berman of CompliGlobe Ltd. The SEC representatives were Christian Sabella, Emily Westerberg Russell, Joanne Rutkowski, Shauna Sappington, and Geeta Dhingra from the Division of Trading and Markets.

The participants discussed, among other things, the SEC’s Notice of Proposed Exemptive Order Granting Conditional Exemption from the Broker Registration Requirements of Section 15(a) of the Securities Exchange Act of 1934 for Certain Activities of Finders.