

## MEMORANDUM

TO: File No. S7-13-20  
FROM: Geeta Dhingra, Division of Trading and Markets  
RE: Meeting with Shane Hansen, Warner Norcross & Judd LLP  
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 Shane Hansen of Warner Norcross & Judd LLP. The SEC representatives were Joanne Rutkowski, Tim White, Darren Vieira, 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.