

MEMORANDUM

TO: File No. S7-13-20
FROM: Geeta Dhingra, Division of Trading and Markets
RE: Meeting regarding Proposed Exemptive Order for Finders
DATE: November 4, 2020

On Wednesday, November 4, 2020, representatives of the Securities and Exchange Commission (“SEC”) participated in a meeting with Linda Lerner of Halloran Farkas & Kittila LLP; Faith Colish of Carter Ledyard & Milburn LLP; Martin Hewitt of Fried, Frank, Harris, Shriver & Jacobson LLP; and Richard Alvarez of Law Offices of Richard Alvarez. The SEC representatives were Joanne Rutkowski, Darren Vieira, and Geeta Dhingra from the Division of Trading and Markets and Sebastian Gomez Abero and Colin Caleb from the Office of the Advocate for Small Business Capital Formation.

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.