

MEMORANDUM

To: File No. S7-14-19

From: John Guidroz
Division of Trading and Markets

Re: Meeting with Mitchell Partners, LP

Date: January 21, 2020

On January 21, 2020, Mark Wolfe (U.S. Securities and Exchange Commission (“SEC”), Division of Trading and Markets (“TM”)), Josephine Tao, Elizabeth Sandoe, Joan Collopy, John Guidroz, Laura Gold, Theresa Hajost, and Ajay Sutara (TM), along with Olga Itenberg (SEC Division of Economic and Risk Analysis (“DERA”)), Andrew Glickman and K. Jeremy Ko (DERA) participated in a meeting with Jim Mitchell of Mitchell Partners, LP and Ben Brown and Walton Liles of Blue Ridge Law & Policy.

The meeting participants discussed the SEC’s proposed amendments to Exchange Act Rule 15c2-11.