

MEMORANDUM

To: File No. S7-14-19

From: Richard Gabbert, Counsel to Commissioner Hester M. Peirce

Re: Telephone Call with Representative of the Financial Industry Regulatory Authority (FINRA)

On June 8, 2020, Commissioner Hester Peirce and her legal advisor, Richard Gabbert, participated in a telephone call with the following representatives of FINRA:

- Robert Cook,
- Robert Colby,
- Jon Kroeper, and
- Greg Dean.

Among the topics discussed was the proposal to amend Exchange Act Rule 15c2-11.