

MEMORANDUM

TO: File No. S7-18-21
FROM: Division of Trading and Markets
RE: Meeting with Representatives of Finra
DATE: July 19, 2022

On July 19, 2022, members of the SEC staff had a teleconference with representatives of Finra. SEC staff at the meeting included staff from the Division of Trading and Markets (“TM”) and the Division of Economic & Risk Analysis (“DERA”). The TM representatives were Carol McGee, Josephine J. Tao, John Guidroz, Joan Collopy, and Theresa Hajost. The DERA representatives were Amy Edwards, Paul Barton, and Peter Dixon. The Finra representatives included Christopher Stone, Racquel Russell, Brendan Loonam, Yvonne Huber, Robert McNamee, David Aman, Bill Wollman, James Barry, Randy Rivera, and Kris Dailey.

The participants discussed Proposed Rule 10c-1.