

MEMORANDUM

TO: Commission File No. S7-19-15

FROM: Adela Choi
Office of General Counsel

DATE: November 10, 2015

SUBJECT: Meeting with Representatives of Financial Industry Regulatory Authority, Inc.

On November 10, 2015, Laura Jarsulic, Associate General Counsel, Lynn Powalski, Deputy Secretary, and Adela Choi, Senior Counsel, met with the following representatives of Financial Industry Regulatory Authority, Inc.: Alan Lawhead, Vice President – Appellate Group Office of General Counsel, Jennifer Brooks, Associate General Counsel, Michael Garawski, Associate General Counsel, and Ann-Marie Mason, Director and Counsel – Department of Member Regulation.

The discussion included the Commission's proposed amendments to its Rules of Practice that would require persons involved in administrative proceedings to redact documents and file them electronically.