

MEMORANDUM

November 13, 2020

TO: File No. S7-19-15

FROM: Stephen D. Robinson
Office of General Counsel

RE: Amendments to the Commission's Rules of Practice—Release No. 34-75977

On July 23, 2020, Benjamin L. Schiffrin, Associate General Counsel, and Stephen D. Robinson, Senior Adjudication Counsel of the Office of the General Counsel, and J. Matthew DeLesDernier, Assistant Secretary of the Office of the Secretary, met by video conference with Alan Lawhead, Vice President and Director, and Michael Garawski, Associate General Counsel of FINRA.

The purpose of the meeting was to discuss certain issues raised in FINRA's comment letter regarding the above-referenced proposal.