

MEMORANDUM

TO: File Nos. SR-BatsBYX-2017-11, SR-BatsBZX-2017-38, SR-BatsEDGA-2017-13, SR-BatsEDGX-2017-22, SR-BOX-2017-16, SR-BX-2017-023, SR-C2-2017-017, SR-CBOE-2017-040, SR-CHX-2017-08, SR-FINRA-2017-011, SR-GEMX-2017-17, SR-IEX-2017-16, SR-ISE-2017-45, SR-MIAX-2017-18, SR-MRX-2017-04, SR-Nasdaq-2017-046, SR-NYSE-2017-22, SR-NYSEArca-2017-52, SR-NYSEMKT-2017-26, SR-PEARL-2017-20 and SR-Phlx-2017-37

FROM: David Hsu
Division of Trading and Markets

RE: Meeting with the SROs and Counsel to the SROs

DATE: December 12, 2017

On December 11, 2017, Chairman Clayton, Jeffrey Dinwoodie (Senior Counsel to Chairman Clayton) and David Hsu (Assistant Director, Office of Market Supervision, Division of Trading and Markets) met with Lisa Fall (President of Chief Legal Officer of BOX), Chris Concannon (President and Chief Operating Officer of CBOE), Marguerite Donovan (Senior Vice President, Chief Compliance Officer and Chief Regulatory Officer of CHX), Tom Gira (Executive Vice President, Market Regulation of FINRA), John Ramsay (Chief Market Policy Officer of IEX), Edward Deitzel (Regulatory Officer of MIAX), John Zecca (Senior Vice President, Nasdaq), Elizabeth King (General Counsel of NYSE), Bob Walley (Partner, Deloitte) and Andre Owens, Stephanie Evans and Jeremy Morehouse (Wilmer Hale, Counsel to the SROs). Among the topics discussed were files listed above.