

## MEMORANDUM

**To:** File Nos. SR-BatsBZX-2017-37; SR-BatsEDGX-2017-23; SR-BOX-2017-17; SR-C2-2017-018; SR-CBOE-2017-041; SR-FINRA-2017-013; SR-ISE-2017-46; SR-IEX-2017-18; SR-MIAX-2017-20; SR-PEARL-2017-23; SR-NASDAQ-2017-055; SR-BX-2017-027; SR-PHLX-2017-43; SR-NYSE-2017-23; SR-NYSEArca-2017-57; SR-NYSEArca-2017-59; SR-NYSEMKT-2017-29; SR-NYSEMKT-2017-30; Proposed Rule Changes to Eliminate Requirements That Will Be Duplicative of CAT

**From:** Ted Uliassi  
Division of Trading and Markets

**Date:** August 7, 2017

**Re:** Staff meeting with representatives of Jordan and Jordan, Financial Information Forum (“FIF”), Thomson Reuters, and Security Traders Association (“STA”)

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On July 27, 2017, Commission staff from the Division of Trading and Markets (“TM”) met with representatives of Jordan and Jordan, FIF, Thomson Reuters, and STA regarding the Consolidated Audit Trail (“CAT”), including the retirement of existing self-regulatory organization data reporting systems in light of CAT.

TM Staff in attendance included: John Roeser, Associate Director; David Saltiel, Associate Director; David Hsu, Assistant Director; Jennifer Colihan, Special Counsel; Leigh Duffy, Special Counsel; Rebekah Liu, Special Counsel; Susan Poklemba, Attorney Advisor; and Ted Uliassi, Special Counsel. Michael Gaw, Assistant Director, and Kathleen Gross, Special Counsel, participated telephonically.

Also in attendance were: Tom Jordan, President & CEO, Jordan & Jordan; Bill Hebert, Managing Director, FIF; Manisha Kimmel, Chief Regulatory Officer, Wealth Management, Thomson Reuters; and Jim Toes, President & CEO, STA.