

MEMORANDUM

May 6, 2010

To: S7-18-09
S7-10-10
SR-FINRA-2009-077

From: Gena Lai
Office of Commissioner Troy A. Paredes

Re: Political Contributions by Certain Investment Advisers;
Large Trader Reporting System
Notice of Filing of Proposed Rule Change Relating to the Restructuring of
Quotation Collection and Dissemination for OTC Equity Securities

On April 23, 2010, Commissioner Troy A. Paredes and Gena Lai, Counsel to the Commissioner, participated in a meeting with the following representatives of the Financial Industry Regulatory Authority (FINRA): Rick Ketchum, CEO; Steve Joachim, Executive Vice President; and Julie Bauer. The participants discussed the above referenced rulemakings and rule filing.