

MEMORANDUM

TO: File No. SR-FINRA-2009-077

FROM: Michael E. Coe
Office of Commissioner Luis A. Aguilar

DATE: April 4, 2011

SUBJECT: Meeting with Representatives of the FINRA

On April 1, 2011, Michael E. Coe, Counsel to Commissioner Aguilar, met with FINRA Representatives Matthew J. Shimkus, Director, Office of Government Relations; Stephanie M. Dumont, Director of Capital Markets Policy; and Christopher B. Stone, Vice President, Equity Business Products. The discussion included, among other things, FINRA's Proposed Rule Change Relating to the Restructuring of Quotation Collection and Dissemination of OTC Equity Securities.