

MEMORANDUM

TO: File No. SR-FINRA-2013-031

FROM: Drew Zimmerman

DATE: July 31, 2013

RE: Meeting with Representatives from National Stock Exchange, Inc.

On July 31, 2013, Dave Shillman, John Roeser and Drew Zimmerman from the Division of Trading and Markets had a telephone conference call with National Stock Exchange, Inc. (“NSX”) representatives David Harris, Susan Ameel and Rick Roberts.

The discussion included, among other things, FINRA’s proposed rule change regarding the requirements for members seeking registration as FINRA Alternative Display Facility (“ADF”) Market Participants. The NSX representatives sought to discuss certain questions and comments about FINRA’s ADF proposal.