

## **MEMORANDUM**

**To:** File Nos. SR-FINRA-2013-031, S7-11-10

**From:** Jaime Klima, Counsel to Michael S. Piwowar

**Re:** Meeting with Representatives of National Stock Exchange ("NSX")

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On September 26, 2013, Commissioner Michael S. Piwowar and Jaime Klima, Counsel to the Commissioner, met with the following individuals:

- David Harris, Chairman and CEO, NSX
- Susan Ameal, Chief Regulatory Officer, NSX
- Richard Y. Roberts, Roberts, Raheb & Gradler

The topics discussed were (1) FINRA's proposed amendments to Rules 6271 and 6272 regarding members seeking registration as Alternative Display Facility market participants and (2) the Consolidated Audit Trail.