

## MEMORANDUM

To: File No. SR-FINRA-2014-010

From: Division of Trading and Markets

Date: May 1, 2014

RE: Meeting with Sutherland Asbill & Brennan LLP (“Sutherland”) for the  
Committee of Annuity Insurers

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On May 1, 2014, Eric Arnold and Cliff Kirsch, both of Sutherland, met with Paula Jenson and Daniel Fisher, both of the SEC’s Division of Trading and Markets, to discuss FINRA’s proposed rule change regarding disclosure and reporting obligations related to registered representative recruitment practices. Messrs. Arnold and Kirsch discussed the points raised in Sutherland’s comment letter, dated April 18, 2014 (available at <http://www.sec.gov/comments/sr-finra-2014-010/finra2014010-29.pdf>).