

MEMORANDUM

TO: File Number SR-FINRA-2015-036

FROM: Jessica Mark
Law Clerk
Office of Financial Responsibility, Division of Trading and Markets
U.S. Securities and Exchange Commission

DATE: March 10, 2016

RE: Meeting with FINRA

On March 10, 2016, Commission staff met with representatives of the Financial Industry Regulatory Authority, Inc. (“FINRA”) to discuss FINRA’s proposed rule change to amend FINRA Rule 4210 (Margin Requirements) to establish margin requirements for the TBA Market (Release No. 34-76908).

Commission staff at the meeting were Michael Macchiaroli, Randall Roy, Timothy Fox, Sheila Swartz, and Jessica Mark from the Division of Trading and Markets.

The FINRA attendees at the meeting were William Wollman, Robert Mendelson, Ozzy Akay, Adam Arkel, Kris Dailey, Glen Garofalo, and Jonathan Sokobin.