

MEMORANDUM

TO: File No. SR-NASDAQ-2012-090
FROM: Charles Sommers, Division of Trading and Markets
DATE: January 7, 2013
SUBJECT: Meeting with Representatives of UBS Securities LLC

On January 7, 2013, Division of Trading and Markets staff (John Ramsey, James Burns, David Shillman, Theodore Venuti, Johnna Dumler, Yue Ding, and Charles Sommers) met with representatives of UBS Securities LLC (Mark Shelton, UBS, David Travin, UBS, Leslie Fagen, Paul Weiss, and David Huntington, Paul Weiss) regarding The NASDAQ Stock Market LLC's proposal to amend Rule 4626—Limitation of Liability.