

To: File No.: S7-17-22; S7-16-22; S7-10-22; S7-06-22; S7-20-22; S7-03- 22
From: Office of Public Engagement
Date: 12/22/2022
Re: Virtual Meeting with Advocates

On December 22, 2022, Chair Gensler and SEC staff met with various advocates to discuss, among other matters, the following items below.

- Environmental, Social, and Governance Disclosures for Investment Advisers and Investment Companies - S7-17-22
- Investment Company Names - S7-16-22
- The Enhancement and Standardization of Climate-Related Disclosures for Investors, S7-10-22
- Beneficial Ownership Reporting, S7-06-22
- Substantial Implementation, Duplication, and Resubmission of Shareholder Proposals Under Exchange Act Rule 14a-8, S7-20-22
- Private Fund Advisers; Documentation of Registered Investment Adviser Compliance Reviews - S7-03-22

Members of the SEC included:

- Chair Gary Gensler
- Prashant Yerramalli, Chief of Staff
- Sai Rao, Trading and Markets Counsel
- Corey Klemmer, Corporation Finance Counsel
- Minu Nagashunmugam, Special Assistant to the Chief of Staff

Advocates included:

1. Brandon Rees, Deputy Director, Office of Investment, AFL-CIO
2. Carin Zelenko, Director of Capital Strategies, AFL-CIO
3. Natalia Renta, Senior Policy Counsel for Corporate Governance and Power at AFR Education Fund
4. Jessica Garcia, Climate Finance Policy Analyst, AFR Education Fund
5. Dennis Kelleher, Co-founder, President and Chief Executive Officer, Better Markets
6. Steve Hall, Legal Director and Securities Specialist, Better Markets
7. Alexandra Thornton, Senior Director of Tax Policy, Economic Center for American Progress
8. Steven Rothstein, Managing Director, Ceres
9. Randi Mail, Director of Campaigns, Ceres
10. Dan Mauer, Director of Government Affairs, Communications Workers of America (CWA)
11. Tyler Gellasch, President and Chief Executive Officer, Healthy Markets Association (HMA)
12. Chris Nagy, Co-Founder and Director, Healthy Markets Association (HMA)
13. Josh Zinner, Chief Executive Officer, Interfaith Center on Corporate Responsibility (ICCR)
14. Lisa Gilbert, Executive Vice President, Public Citizen
15. Paul Rissman, Co-founder, Rights CoLab
16. Sanford Lewis, Director, Shareholder Rights Group
17. Renaye Manley, Deputy Director, Strategic Initiatives, Service Employees International Union (SEIU)