

To: File Nos.: S7-03-22, S7-04-22, S7-10-22, S7-16-22, S7-17-22, S7-25-22, S7-05-23,
S7-06-23, S7-07-23
From: Office of Public Engagement
Date: 8/7/23
Re: Virtual Meeting with National Association of Insurance Commissioners

On July 24, 2023, Chair Gensler and SEC staff met with the National Association of Insurance Commissioners (NAIC) to discuss the following proposals:

- Regulation Systems Compliance and Integrity
- Cybersecurity Risk Management Rule for Broker-Dealers, Clearing Agencies, Major Security-Based Swap Participants, the Municipal Securities Rulemaking Board, National Securities Associations, National Securities Exchanges, Security-Based Swap Data Repositories, Security-Based Swap Dealers, and Transfer Agents
- Regulation S-P: Privacy of Consumer Financial Information and Safeguarding Customer Information
- Outsourcing by Investment Advisers
- Enhanced Disclosures by Certain Investment Advisers and Investment Companies About Environmental, Social, and Governance Investment Practices
- Investment Company Names
- The Enhancement and Standardization of Climate-Related Disclosures for Investors
- Cybersecurity Risk Management for Investment Advisers, Registered Investment Companies, and Business Development Companies
- Private Fund Advisers; Documentation of Registered Investment Adviser Compliance Reviews

Members of the SEC included:

- Chair Gary Gensler
- Heather Slavkin Corzo, Director of Policy
- Jessica Wachter, Chief Economist and Director of the Division of Economic Risk and Analysis
- William Birdthistle, Director of the Division of Investment Management
- Erik Gerding, Director of the Division of Corporation Finance
- Barb Roper, Senior Advisor

Representatives from NAIC included:

- Chlora Lindley-Myers, President, NAIC, and Director, Missouri Department of Insurance, Financial Institutions, and Professional Registration
- Andrew Mais, President-Elect, NAIC, and Connecticut Commissioner of Insurance
- Jon Godfread, Vice President, NAIC, and North Dakota Insurance Commissioner
- Scott White, NAIC Secretary-Treasurer, and Virginia Commissioner of Insurance
- Lori Wing-Heier, Director of Insurance, State of Alaska
- Ricardo Lara, California Insurance Commissioner
- Doug Ommen, Iowa Insurance Commissioner
- Jim Donelon, Louisiana Insurance Commissioner
- Judith French, Director, Ohio Department of Insurance
- Beth Dwyer, Director, Rhode Island Department of Business Regulation
- Nathan Houdek, Wisconsin Commissioner of Insurance
- Jeff Johnston, Managing Director, Financial Regulatory Affairs, NAIC

- Ethan Sonnichsen, Managing Director, Government Affairs, NAIC
- Kay Noonan, General Counsel, NAIC
- Dan Daveline, Director, Financial Regulatory Services, NAIC
- Eric Kolchinsky, Director, Structured Securities Group, NAIC
- Shana Oppenheim, Senior Financial Services Policy and Legislative Advisor, NAIC
- Charles Therriault, Director, Securities Valuation Office, NAIC