

MEMORANDUM

June 16, 2023

TO: File Nos.: S7-06-23; S7-07-23; and S7-23-22

FROM: Robert Fisher
Office of Commissioner Mark T. Uyeda

RE: Meeting with Representatives of DTCC

On June 14, 2023, Commissioner Mark T. Uyeda and his counsel, Robert Fisher, had a meeting with DTCC. Commissioner Uyeda and the attendees met in-person. The DTCC representatives in attendance consisted of:

- Frank La Salla – President and CEO
- Ann Shuman – General Counsel
- Tim Cuddihy – Group Chief Risk Officer

Among other matters, the participants discussed DTCC's comment letters filed in connection with the Standards for Covered Clearing Agencies for U.S. Treasury Securities and Application of the Broker-Dealer Customer Protection Rule With Respect to U.S. Treasury Securities; Regulation Systems Compliance and Integrity; and 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.