

MEMORANDUM

November 1, 2023

TO: File Nos. S7-23-22 and S7-11-23

FROM: Holly Hunter-Ceci
Office of Commissioner Mark T. Uyeda

RE: Meeting with Representatives of Nomura

On October 26, 2023, Commissioner Mark T. Uyeda and his counsel, Holly Hunter-Ceci met in person with the following:

- Satoshi Kawamura, Senior Managing Director of Nomura Holdings; CEO & President of Nomura Holding America; CEO & President of Nomura Securities International
- Vinny Primiano, Co-CEO & Co-President of Nomura Holding America; Co-CEO of Nomura Securities International
- Angie Karna, Head of Global Markets Legal, Americas, Nomura Securities International
- Samira Fazili, Americas Public Policy & Government Affairs
- Paul Nikodem, Head of Securitized Products and Agency Mortgage Research, Head of U.S. Fixed Income Research, Nomura Securities International
- Bill Kloepfer, Managing Director, Rates, Nomura Securities International
- Rich Volpe, Senior Managing Director & Global Head of Rates, Nomura Securities International
- Jason Varano, Managing Director, U.S. Equities, Nomura Securities International
- Charlie McElligott, Managing Director, Cross-Asset Strategy, Global Equity Derivatives, Nomura Securities International
- Steve Licini, Managing Director, Rates, Nomura Securities International
- Anthony Kowalski, Managing Director, Rates, Nomura Securities International
- Bill Hughes, Managing Director, Operations, Nomura Securities International
- Christy Schaffner, Managing Director, Regulatory Reporting, Nomura Securities International
- Meghan Sullivan, Head of Americas Corporate Transformation and Regulatory Program Management

Among other matters, the participants discussed SIFMA and ISDA comment letters submitted in response to standards for covered clearing agencies for U.S. Treasury securities and the daily computation of customer and broker-dealer reserve requirements of rule 15c3-3 under the Securities Exchange Act of 1934, as applicable.