

## MEMORANDUM

TO: Files No. S7-12-23, S7-32-22, S7-31-22, S7-30-22 and S7-29-22

FROM: Brandon Hill – Counsel to Commissioner Jaime Lizárraga – U.S. Securities and Exchange Commission

RE: Charles Schwab

DATE: November 7, 2023

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On November 7, 2023, Parisa Haghshenas, Brandon Hill, and Diem-Mi Lu, met with the following representatives of Charles Schwab:

- Peter Roberson, Schwab Government Affairs
- Jeff Brown, Schwab Government Affairs
- John Roeser, Schwab Chief Counsel for Trading and Markets

Among the topics discussed were the Commission's proposed rules on Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers, Regulation Best Execution, Disclosure of Order Execution Information, Order Competition, and Regulation NMS: Minimum Pricing Increments, Access Fees, and Transparency of Better Priced Orders.